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Thematic Studies on SHEN Dan's Academic Contribution: An Introduction

Jiang Hong

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SHEN Dan is one of China's most prestigious First-Class Professors in the humanities and social sciences and a Boya Chair Professor of English at Peking [Beijing] University. She is an internationally famous scholar, being on the advisory boards of the American journals *Narrative* (2012—) and *Style* (2011—), on the editorial or advisory boards of the British *Language and Literature* (1999—), *JLS: Journal of Literary Semantics* (2008—2021) and *The Translator: Studies in Intercultural Communication* (2001—2014), as well as a consultant editor of *The Routledge Encyclopedia of Narrative Theory*. She is also on the editorial or advisory boards of more than ten CSSCI indexed prestigious Chinese journals. Shen Dan is a leading figure in China's narratological and stylistic fields, having acted as the President of China Narratology Association (2005—2017) and the President of China Stylistic Association (2004—2012) and now being Honorary President of both associations. She has published more than one hundred essays in major international and Chinese journals and has published nine books (seven being single-authored and two with her as the first-author) and two collections of essays, the single-authored ones including *Style and Rhetoric of Short Narrative Fiction* (2016[2014]) and *Dual Narrative Dynamics* (2023) from Routledge. Her book *Discourse and Style: What Narratology and Stylistics Will Do for Each Other* is forthcoming from Routledge. Since 2014, she has been continuously listed among Elsevier's Most Cited Chinese Researchers, and she is on Stanford List of World's Top 2% Scientists 2022. In China, Shen Dan's works have enjoyed the most citation in the fields of narrative studies and literary studies.

Shen Dan has won international recognition in several fields, especially narrative studies and stylistics. This column devoted to the discussion of Shen Dan's research consists of one interview and four essays. In the interview, Ning Yizhong

asks Shen Dan a number of focused questions, and from her answers we can see her admirable contributions in terms of clarifying the relationship between different disciplines or approaches, in revealing the essence of key theoretical concepts, and, moreover, in proposing new theoretical concepts and models that have significantly promoted the development of the relevant fields.

The four essays following the interview are marked by a narrowing down of focus. The first one by Feng Zongxin, discusses Shen Dan's contribution to interdisciplinary research that involves narratology, stylistics, linguistics, literary criticism, and translation studies. Shen Dan took the lead in systematically revealing the complementary relation between stylistics and narratology, and her interdisciplinary study has been highly influential in both the stylistic field and the narratological field.

The second essay, by Hui Haifeng, focuses on Shen Dan's contributions to narrative studies. It more or less traces the diachronic development of Shen Dan's research, starting from Shen Dan's innovative discussion of classical narrative poetics in association with stylistics, to Shen Dan's contribution to postclassical narratological theory, then to Shen Dan's contribution to narrative criticism through discovering "covert progression," an undercurrent paralleling the plot development, and finally, to how Shen Dan proceeds to establish the new theory of dual narrative dynamics.

Of the different schools or branches in the field of narrative studies, Shen Dan has been largely engaged in the rhetorical one, and the third essay, by Wang Liya, concentrates on Shen Dan's research in rhetorical narrative studies. It discusses how Shen Dan pioneered a more comprehensive structure-style rhetorical analysis by linking narratology with stylistics, how Shen Dan put forward an integrated model of intratextual-extratextual-intertextual "overall-extended close reading." It also addresses Shen Dan's theoretical contribution in establishing her new theory of covert progression and further, that of dual narrative dynamics.

The last essay of this column, by Zhang Xin and Hong Yongliang, discusses the theory of dual narrative dynamics by Shen Dan from a fresh angle. The essay directs attention to the academic circumstances for the production of the theory and the application of the theory in different genres and media. But of course, it also addresses the theoretical framework of the theory, focusing on its eight dual models of narrative analysis.

From the discussions in this column of interview and essays, we can see that Shen Dan is a scholar with penetrating insight and strong problem awareness, evident, for instance, in her brilliant analysis of the concept of "implied author"

and Derrida's misreading of Saussure in the interview. She has published numerous original works in narratology, stylistics, and translation studies. In-depth research in each of these fields has enabled her to conduct fruitful interdisciplinary studies, which in turn has helped promote her research in each of these fields. Shen Dan's theoretical contribution culminates in her construction of the new theory of dual narrative dynamics, a theory that presents a major breakthrough beyond the Aristotelian tradition. The theory has become highly influential, being applied to the analysis of literary works in different genres and to that of media studies. As Hui Haifeng puts it in his essay, Shen Dan's achievements and world-wide recognitions constitute "a significant source of inspiration for younger generations of Chinese scholars."

Since Shen Dan has made a lot of achievements in multiple fields, what the authors of this column can possibly offer here is far from comprehensive. We sincerely hope that our discussions focusing on her major contributions can be beneficial as well as invitatory so that more will join us in further study.

From Theoretical Revelation to Theoretical Innovation: An Interview with SHEN Dan

Ning Yizhong & SHEN Dan

Abstract: As we can see from Jiang Hong's introduction in the Guest Editor's Column, SHEN Dan or Dan Shen in English is an internationally famous scholar and one of the most influential and respected scholars in the humanities in China. Her research spans several fields, including narrative studies, stylistics, and translation studies. This interview singles out some important issues to discuss. Shen first shares her insights into the following issues: the essential relation between classical narratology and post classical narratologies, the contextual potential of the second and third generations of the Chicago School (rhetorical narrative theory), the complementary relation between narratology and stylistics, and Derrida's misrepresentation of Saussure's theory of the language system. Then Shen goes on to explicate why she created "covert progression" and "dual narrative dynamics" and how these original theoretical concepts and models can extend and transform narrative studies, stylistics, and translation studies.

Keywords: theoretical revelation; theoretical innovation; essential relationship; true meaning; dual narrative dynamics

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标题：从理论揭示到理论创新：申丹访谈

内容摘要：从本栏目特邀主编姜红的介绍可以看到，申丹教授是国际著名学者，也是中国人文学科领域学术地位最高和最有影响力的学者之一。她的研究兴趣广泛，包括叙事研究、文体学、翻译学等。本次采访选择了一些重要问题进行讨论。申丹首先分享了自己对相关理论的真正内涵和流派之间本质关系的揭示，包括经典叙事学与后经典叙事学之间的本质关系、芝加哥学派第二代和第三代（即修辞性叙事）理论中的语境化潜能、叙事学与文体学之

间的互补性，以及德里达如何误解了索绪尔关于语言系统的理论。然后她阐述了为何会首创"隐性进程"和"双重叙事进程"的理论，以及她的原创理论能如何拓展和革新叙事研究、文体学和翻译学。

关键词：理论揭示；理论创新；本质关系；实质内涵；双重叙事进程

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Ning Yizhong (hereafter Ning for short): Professor SHEN Dan, we know that your research covers a wide range, including narrative theory and criticism, literary theory, stylistics, and translation studies. But your main interest for the past two or three decades is narrative theory and criticism. Would you please say something about your studies in general?

SHEN Dan: When I was doing my research degrees at Edinburgh University, I was mainly engaged in studying linguistics, stylistics, and translation studies. In writing my PhD dissertation, I found that stylistics and narratology were very much complementary to each other, and I began to take interest in narratology, and by extension, in literary studies. No matter in what field and whether in theory or in practice, we need to "penetrate the phenomenon to grasp the essence." As you say, I've been mainly doing narratology since the 1990s, and so we can start with this field.

Revealing the Essential Relation
Between Classical and Postclassical Narratologies

Ning：In the field of narratology, you have revealed various kinds of true meaning and essential relationship, such as the nature of unnatural narratives,[1] the relation among narrative, reality and narrator as construct,[2] the fact that transgressions of modes of focalization are a matter of breaking conventional barriers,[3] the essential relationship between story and discourse,[4] and that between rhetorical and cognitive

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1　See Dan Shen, "What are Unnatural Narratives? What are Unnatural Elements?" *Style* 4 (2016): 483-489.

2　See Dan Shen, "What are Unnatural Narratives? What are Unnatural Elements?" *Style* 4 (2016): 483-489.

3　See Dan Shen, "Breaking Conventional Barriers: Transgressions of Modes of Focalization," *New Perspectives on Narrative Perspective*, edited by Willie van Peer and Seymour Chatman, New York: SUNY Press, 2001, 159-172.

4　See Dan Shen, "Defense and Challenge: Reflections on the Relation Between Story and Discourse," *Narrative* 3 (2002): 222-243.

approaches to unreliability,[1] among other things. You've also paid much attention to the relation between classical and post-classical narratologies. Would you like to comment on this issue?

SHEN Dan: At the turn of the century, there emerged many stories of narratological evolution, either from structuralist narratology to poststructuralist narratology, or from structuralist narratology to cultural and historical narratology, or from a strictly formalist poetics to a contextualist narratology, or from traditional narratology to postmodern narrative theory, with the term "narratology" itself seen as obsolete. Such stories vary but one idea remains constant: the decontextualized formal investigation of generic structures and techniques had been and should be abandoned, and narratologists should always take contexts into consideration.

But I found that in examining respectively narratological theorizing and narratological criticism—often occurring since the late 1980s in the same narratological study—a different picture emerges. In terms of narratological criticism, the picture is indeed one of evolution from a decontextualized investigation subject to formalist limitations to a more valid and fuller investigation that takes into account contexts and readers. As regards narratological theorizing, however, the picture is quite different. Postclassical or contextual narratologies have greatly enriched narratological theorizing in various ways, but I found that when the investigation is concerned with the classification of generic structures and generic functions, there is actually neither room nor need for the consideration of varied specific contexts. But of course, when investigating the function of a given structure used in a particular text, we need to take into account the socio-historical context in which the text was created and interpreted. In light of this, the criticism of structuralist narratology for decontextualization is unjustified insofar as narrative grammar or narrative poetics is concerned.

I published an essay "Why Contextual and Formal Narratologies Need Each Other" (2005) to argue that the relation between classical and postclassical narratologies is not one of replacement, but one of mutual nourishment. The essay reveals that within and beyond contextualists' investigations marked by dual emphasis on poetics and criticism, there exists an unacknowledged triple dialogical relationship: first, the mutually-benefiting relationship between their new formal theorizing and their contextual criticism; in other words, they develop new formal tools that enable new kinds of contextualized interpretations even as those interpretations sharpen those tools; secondly, the mutually-benefiting relationship between their new contributions to formal narrative poetics and classical narratology; in other words, their theoretical

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1   See Dan Shen, "Unreliability," *Handbook of Narratology*, 2nd edition, edited by Peter Huhn et. al, Berlin: De Gruyter, 2014, 896-909.

contributions both depend upon and expand classical narrative poetics; and thirdly, the mutually-benefiting relationship between classical narrative poetics and contextualized narratological criticism, the former providing technical tools for the latter, which in turn helps the former to gain current relevance.

Ning: I quite agree with you about the respective functions of structuralist narratology and contextual narratologies and about their actually complementary relationship, rather than the latter replacing the former. Your judgement was made at the turn of the century, and it proves to be correct. Models and concepts of classical narratology remain very useful tools, and postclassical narratologists have often come up with new structural classifications in contextualized critical practices, which helps enrich and extend decontextualized narrative "grammar" or "poetics."

SHEN Dan: Yes, my view about the relation between classical and post-classical narratologies seems to have a role to play even today. In the autumn of 2017, De Gruyter published *Emerging Vectors of Narratology*, and my essay "'Contextualized Poetics' and Contextualized Rhetoric: Consolidation or Subversion?" is positioned right after the preface of the volume. The essay centers around the idea that contextualized post-classical narratologies actually have consolidated rather than subverted classical narrative poetics.

Interestingly, a comparison between the situation in the West and in China may shed light on the issue. Classical narrative poetics started thriving in China from the late 1980s when it was claimed by some to be "dead" in the West. The contrastive rise and fall of classical narrative poetics during the same period are closely associated with the divergent academic milieus in different countries. While formalist approaches more or less dominated the Western academic field for decades until deconstructive, sociocultural, and political criticism gained increasing momentum from the 1980s, China witnessed several decades of sociological and political criticism until the late 1970s. In the 1980s and 1990s, classical narratology and stylistics presented great appeal to Chinese scholars, who, after decades of socio-political criticism, shifted attention to formal and aesthetic studies. The beginning of the 21st century has witnessed the harmonious coexistence and mutual promotion between classical exploration of narrative poetics and postclassical contextualized narrative criticism in China.

Revealing the Contextual Potential of Contemporary American Rhetorical Narrative Theory

Ning: In the field of narrative studies, you have paid much attention to contempo-

rary rhetorical narrative theory pertaining to the American Chicago School. Would you talk about that?

SHEN Dan: Surely, contemporary American rhetorical narrative theory has been constructed and developed by the second and third generations of the Chicago School. The first generation, as represented by Ronald Crane, inherited Aristotle's idea that literature was a matter of imitation and advocated focusing on the work itself, to the neglect of historical context. In the field of narrative studies, it is widely believed that the rhetorical theories of the second and third generations of the Chicago School, like the poetic theories of the first generation, ignore historical context. However, I found that there is actually an essential difference between them: Unlike the poetic theories of the first generation, the rhetorical theories of the second and third generations have the potential for contextualization or historicization, a potential that has remained unseen for various reasons. If we look beyond the surface and come to see this potential, we'll find that contemporary rhetorical narrative theory has achieved a certain balance between form and history. I published the article "Implicit Author, Authorial Audience, and Context: Form and History in Neo-Aristotelian Rhetorical Theory" in the American journal *Narrative* (summer, 2013) to reveal this essential feature of contemporary American rhetorical narrative theory.

Ning: Indeed, that contextualizing potential is generally ignored and it is important for you to reveal it. A core concept of contemporary rhetorical narrative theory is "implied author." The academic circles of both China and other countries regard it as one that is text-oriented and de-contextulized. You, however, hold that this concept essentially contains historical potential. Would you please expound it in more details?

SHEN Dan: As for the concept of the "implied author," it has been misunderstood by many scholars both in the West and in China, and so, first of all, we need to get at what the concept really means. Booth proposed this concept in *The Rhetoric of Fiction* (1961) at the height of formalist criticism that very much excluded the consideration of the author. Under enormous pressure, Booth has used a metaphorical expression that the real author "creates" the implied author. What he means is that a person, in the process of writing a literary work, would break away from the usual state of natural relaxation and enter a certain ideal, literary state of writing, a state of what he calls "role playing" (Booth, "Resurrection" 75-78). This metaphor has formed an almost unavoidable pitfall for many narrative theorists. They take it that the so-called "real author" is the writer of the text who, when writing, literally creates the "implied author" as an ontologically distinct entity and that the "implied

author" forms a textual authorial image superior to that of the "real author" who has written the text.[1] Now, everyone will agree that the textual authorial image *is and can only be* the image of the person who has written the text. Then, how is it possible that the textual image of the writer is superior to the writer? The logical way of thinking is consistently offered by Booth sometimes behind his metaphorical language of "creation": A person can behave differently on different occasions, and can become better in the process of writing a text so that the textual image of the writer will be superior to the image of the person in everyday life.[2]

With the clarification of the "implied author," we can now go ahead to discuss its contextual potential. A comparison between two statements respectively made by Crane and Booth may shed light on the issue. In his famous essay "The Concept of Plot and the Plot of Tom Jones," Crane describes the poetic method of the first generation of the Chicago School as "one which depends on the analytical isolation of works of art, as finished products, from the circumstances and processes of their origin. It is better fitted to explain those effects which would be specifically the same in any other work, of whatever date, that was constructed in accordance with the same combination of artistic principles than those effects which must be attributed to the fact that the work was produced by a given artist" (92). Compare the following observation by Booth in *The Rhetoric of Fiction*, "Just as one's personal letters imply different versions of oneself, depending on the differing relationships with each correspondent and the purpose of each letter, so the writer sets himself out with a different air [the implied author in the process of writing a given text] depending on the needs of particular works" (71). While in Crane's poetic theory, we lose sight of the writer and only have in view a timeless and autonomous text, in Booth's rhetorical theory, it is the role-playing writer who forms the focus of attention—the implied author *of a given work* makes his or her textual choices *in a particular manner* according to his or her specific rhetorical purposes and overall textual design.

Since Booth's distinction between the implied author (whose image is text-based) and the so-called real author (whose image is biography-based) is only a matter of the same person in the writing process versus in daily life, we can consider both the difference and the connection between them. If the implied author's literary writing is influenced by his experiences in daily life, we need to consider biographical information in order to understand the implied author's textual choices better. For instance, in the case of Stephan Crane, the implied author's explicit satire

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1   See Dan Shen, "What is the implied author?" *Style* 1 (2011): 80-94.
2   See Dan Shen, "What is the implied author?" *Style* 1 (2011): 81-87.

against romanticized heroics in "War is Kind" and the implied author's implicit satire against war in "An Episode of War" have much to do with Crane's going to the front to report on the Greco-Turkish War and the Spanish-American War.[1] In such cases, getting to know the relevant experiences of the "real author" enables us to understand better the implied author's creation of the textual norms.

Ning: It needs a sharp eye to see Booth's deep-delved contextual idea in this concept. A further question is, if "implied author" has historicizing potential, can concepts like "implied reader" or "authorial audience" also have such potential?

SHEN Dan: It is widely believed that Booth's "implied reader" and its synonymous "authorial audience" proposed by Peter J. Rabinowitz (a representative of the third generation of the Chicago School) are concepts marked by decontextualization. But I've found that this is not the case. In the poetic theory of the first generation of the neo-Aristotelians as represented by Crane and Sheldon Sacks, "a twentieth-century reader, taking *Tom Jones* from a drugstore rack, could find himself in immediate contact with its moving aesthetic force, that is to say, with the essential meaning and value of the novel" (Rader, "Tom Jones" 49). The case is fundamentally different with the rhetorical theory of the second and third generations of the Chicago School. As I just quoted, in Booth's view, the implied author of a given text "sets himself out with a different air" "depending on" the relationship with the particular type of reader he has in mind, and Booth designates this particular type of reader as the "implied reader." Booth quotes Montgomery Belgion's words to support his rhetorical position: "Only when the moral beliefs of the reader tally exactly with those on which a story is based will the reader have the whole of the emotion which it is potentially able to produce in him" (Booth, *Rhetoric* 118). In the afterword to the second edition of *The Rhetoric of Fiction* (422-424), Booth subscribes to Rabinowitz's distinction among "authorial audience" (the implied author's ideal or hypothetical audience, corresponding to Booth's "implied reader"), "narrative audience," and "actual audience"—individual readers with different experiences and social-positioning that influence interpretation (Rabinowitz, "Truth" 126-128). Rabinowitz defines the "authorial audience" as unequivocally contextualized: "[T]he author of a novel designs his work rhetorically for a specific hypothetical audience. Like a philosopher, historian, or journalist, he cannot write without making certain assumptions about his readers' beliefs, knowledge, and familiarity with conventions" ("Truth" 126). The implied author creates the text in history and his or her textu-

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1   See Dan Shen, *Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots*, New York: Routledge, 2016, 51-69.

al choices are often based on contextual information accessible to readers in that particular sociohistorical period. In such cases, the "authorial audience" ("implied reader") the implied author writes to is essentially a contextualized or historicized audience. When the implied Fielding was writing *Tom Jones* in eighteenth-century England, he intended the novel for an authorial audience/implied reader with the knowledge of "the latitudinarians and eighteenth-century thought" (Rader, "Tom Jones" 49). When reading *Tom Jones* in twenty-first-century China, we need to take into account the relevant historical information in order to enter the position of Fielding's authorial audience or implied reader in that socio-cultural context. This is a prerequisite for a successful communication between the implied author and us readers. Seen in this light, the consideration of the historical context in which a text was produced is not only allowed but also required by rhetorical narrative theory. However, this contextual requirement in rhetorical theory has been backgrounded, undeveloped, and very much unacknowledged by many scholars both outside and inside the rhetorical camp.

Revealing the Complementary Relation between Narratology and Stylistics

Ning: Though narrative studies is your principal interest, you started your career doing stylistics, and you have always been attaching importance to interdisciplinary studies between narratology and stylistics. How have you made it?

SHEN Dan: On the surface, the narratological distinction between story and discourse seems to match the stylistic distinction between content and style. "Discourse" refers to how the story is told and "style" to how the content is presented.[1] That is to say, "discourse" and "style" appear to be very much interchangeable, both referring to the level of presentation in contrast with that of content. But a careful examination can lead to the discovery that the superficial similarity conceals an essential difference—"discourse" in narratology and "style" in stylistics, in effect, differ to a great extent from each other, with only a limited amount of overlap between them. Recognizing that difference and the respective limited coverage of "discourse" and "style" leads to the perception of the necessity and the value of synthesizing narratological and stylistic approaches to how literary narratives are presented. Since the 1990s, I've devoted much effort to promoting the interface between narratology and stylistics both in China and in the West.

In China, my book *Narratology and Fictional Stylistics: An Interdisciplinary*

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1   See Seymour Chatman, *Story and Discourse: Narrative Structure in Fiction and Film*, Ithaca: Cornell University Press, 1978, 9; Geoffrey Leech and Mick Short, *Style in Fiction*, 2nd edition, Harlow: Pearson Education, 2007, 38.

Study (1998) has made considerable impact on the field—it has been cited by more than two-thousand journal essays. Its fourth edition published in 2019 is now being translated into English, though with significant adaptation and updating (Routledge, forthcoming). Internationally, I was invited by James Phelan and Peter J. Rabinowitz to contribute a chapter "What Narratology and Stylistics Can Do for Each Other" to *A Companion to Narrative Theory*, by Michael Burke to contribute a chapter "Stylistics and Narratology" to *The Routledge Handbook of Stylistics*. Besides, Dan McIntyre and Beatrix Busse, the editors of *Language and Style*, invited me to write a chapter for this volume in honor of Mick Short, a chapter that is also marked by an interdisciplinary stylistic-narratological approach.

Ning: Would you specify your work in this respect?

SHEN Dan: I've revealed the essential difference between narratology's "discourse" and stylistics' "style" behind their superficial similarity, and pointed out the reasons for the actual divergence. A comparison between two discussions respectively of "style" and "discourse" by Michael Toolan may shed light on the issue. In *Language in Literature: An Introduction to Stylistics*, Toolan says, "Stylistics is the study of the language in literature. [...] Stylistics is crucially concerned with excellence of technique" (viii-ix); and in his *Narrative: A Critical Linguistic Introduction*, Toolan observes that "[narratology's] *discours* roughly denotes all the techniques that authors bring to bear in their varying manner of presentation of the basic story" (11). From the two definitions, we may derive the approximate equation: "Style ≈ Language ≈ Technique ≈ [narratology's] Discourse." This equation, however, only shows the surface similarity between "style" and "discourse," an equation that will turn out to be untenable if we examine what "style" and "discourse" actually refer to. When investigating style, stylisticians, as pointed out by Toolan, focus on why the author has chosen "these word-choices, clause-patterns, rhythms, and intonations, contextual implications [of conversation], cohesive links [among sentences], choices of voice and perspective and transitivity [of clause structure], etc." (*Language* ix). By contrast, in exploring "discourse" composed of the levels of text and narration, the focus shifts to very different elements: "At the level of text, the teller [author] decides upon and creates a particular sequencing of events, the time/space spent presenting them, the sense of (changing) rhythm and pace in the discourse. Additionally, choices are made as to just how (in what detail, and in what order) the particularity of the various characters is to be presented. […] At the level of narration, the [structural] relations between the posited narrator and the narrative she tells are probed" (Toolan, *Narrative* 11-12).

Significantly, although both narratology and stylistics are characterized by the interface of literature and linguistics, the former only uses linguistics in a metaphorical way, while the latter applies linguistics literally, rather than metaphorically, to the analysis of literary texts. Thus, narratology's "discourse" mainly covers supra-linguistic structural techniques and stylistics' "style," by contrast, refers to linguistic techniques. Although the same term "rhythm" appears in both observations by Toolan just quoted, it means entirely different things in the two disciplinary contexts. In the stylistic context, "rhythm" is a matter of verbal movement resulting from the features of words (e.g., monosyllabic versus polysyllabic) and their combination (e.g., different meter, different sentence length, or different use of punctuation). By contrast, in the narratological context, "rhythm" refers to narrative movement resulting from the different relations between textual duration and event duration (such as the alternation between, say, detailed scenic presentation and brief summary or ellipsis of events). To investigate fully the art of narrative, it is necessary to take both kinds of techniques—linguistic choices and supra-linguistic—into consideration.

Apart from the contrast between literal and metaphorical usage of linguistics, I've also revealed that the boundary between style and discourse is in part a result of the different ways in which narratology and stylistics relate to poetic analysis. The stylistic analysis of prose fiction is not much different from the stylistic analysis of poetry. Both focus on the use of language, a use manifested in different forms. By contrast, narratological analysis of prose fiction has departed from the poetic analytical tradition, focusing attention on the relation between story events and their rearrangement. In investigating prose fiction, stylisticians have adopted the Prague school's concept of "foregrounding," a concept initially based on the investigation of poetry. Not surprisingly, the concept of "foregrounding," as a matter of psychological prominence due to deviations from ordinary or conventional use of *language*, has not entered the realm of narratology. What figures prominently in narratology is the concept of "anachrony" (Genette 35-36), which takes the form of various kinds of deviation from the causal, chronological sequence of events.[1]

Ning: How to further advance the interdisciplinary studies of narratology and stylistics, then?

SHEN Dan: First of all, it is necessary to give more specific definitions of stylistics' "style" and narratology's "discourse." As regards narratives in the verbal medium, it

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1   See Dan Shen, "What Narratology and Stylistics Can Do for Each Other," *A Companion to Narrative Theory*, edited by James Phelan and Peter J. Rabinowitz, Oxford: Blackwell, 2005, 139-140.

needs to be pointed out that narrative presentation or "how the story is told" consists of two aspects: one organizational and the other verbal, with a certain amount of overlap in between. Thus, "style" may be defined as "the language aspect of how the story is presented" and accordingly, "stylistic features" will be understood as choices of *verbal* form or *verbal* techniques. On the narratological side, while "discourse" can still be defined as "how the story is presented," it is necessary to point out that in narratological investigations of "discourse," attention is focused on the structural organization of story events, leaving aside style or language choices. Accordingly, "narratological features" will be understood as narrative strategies or organizational techniques.

Moreover, in a stylistic book, it would be helpful to draw attention to narratology's concern with structural strategies and techniques. Similarly, in a narratological book, it would be beneficial to delineate the scope of inquiry for readers, and point out that in order to gain a fuller view of "how the story is presented," more attention needs to be paid to the writer's style.

I myself have benefited immensely from combining narratological and stylistic methods in the investigation of narrative fiction. John Pier published a review essay on my work entitled "At the Crossroads of Narratology and Stylistics: A Contribution to the Study of Fictional Narrative," in which he says, "An accomplished stylistician, [...] Shen approaches narrative analysis through a perceptive and productive synthesis of narratology and stylistics" (112). Pier observes that in contrast with narratologistis who preclude questions of style, my interest is to see how narratological features and stylistic features interact and reinforce each other because "a full picture of narrative presentation combines the textual/organizational dimension and the linguistic/stylistic level" (112).

Ning: You have made very clear distinctions between stylistics and narratology, and your suggestion about drawing on both disciplines in literary research is valuable. I want to post a related question: Saussure's structuralism is the common source for the birth of both narratology and stylistics. You not only concern yourself with structuralism but also with deconstruction. Could you comment on the relationship between the two?

SHEN Dan: In terms of philosophical positions, it is commonly held that Saussure's emphasis on the relational nature of language in *Course in General Linguistics* lent much force to Derrida's theory of deconstruction. But I found that Derrida's drawing on Saussure is marked by misinterpretation. Saussure says, "Although both the signified and the signifier are purely differential and negative when considered

separately, their combination is a positive fact; it is even the sole type of facts that language has, for maintaining the parallelism between the two classes of differences is the distinctive function of the linguistic institution" (1960: 120-121). Saussure unequivocally defines language (not just the signifier separately) as "a system of signs in which the only essential thing is the union of meanings and sound-images" although both the sound-images (signifiers) and the signified concepts are purely differential and "psychological" (15). Regrettably, Derrida and his numerous followers have only paid attention to Saussure's view when seeing the signifier "separately" and have completely overlooked the "positive fact" of the "combination" or "union" between the signifier and the signified, a combination based on convention. In effect, Saussure has set much store by the conventional nature of the connection between the signifier and the signified: "The arbitrary nature of the sign explains in turn why the social fact alone can create a linguistic system. The community is necessary if values that owe their existence solely to usage and general acceptance are to be set up; by himself the individual is incapable of fixing a single value" (113). A Western language consists of signs that are in general totally arbitrary, hence by no means positive terms. But we have to be aware that *differences alone cannot generate signification*. In English, "sun" (/sʌn/) can function as a sign not only because of its difference from other signs in sound or "sound-image," but also because of the conventional union or combination between the sound-image "sun" and the signified concept. Given, for instance, the following sound-images "lun"(/lʌn/), "sul" (/sʌl/) and "qun" (/kwʌn/), although each can be identified by its difference from the others, none of them can function as a sign, because there is no established conventional connection between sound-images and signified concepts.

Saussure in *Course in General Linguistics* has distinguished three arbitrary relations in the formation of language: (1) the arbitrary system of differences among signifiers; (2) the arbitrary system of differences among signifieds (the way that languages cut up meaning into individual signifieds is arbitrary and varies from language to language), and (3) the conventional connection of a given signifier to a given signified. Whether purposefully or unwittingly, when commenting on Saussure's theory of language in *Positions* and other works, Derrida does not pay any attention to (3), and consequently the connection between (1) and (2) cannot be established for the simple reason that (3) functions as the only and the indispensable link between (1) and (2). Without (3), language becomes a play of signifiers themselves, which cannot be connected to any signifieds or signified, and meaning naturally becomes forever indeterminable.

Derrida's theory of the sign is a most important premise of deconstruction, a

premise that is in effect ill-grounded. This, however, does not mean that narratologists are not positively influenced by deconstruction. In the post-structuralist era, narratologists have become more realistic and have modified the original tone of objectivity, certainty, or finality.[1] There is no denial that literary meaning is often hard to determine especially in modernist and postmodernist texts. Moreover, readers' interpretations are more or less influenced by personal experiences and sociohistorical positioning among other things. Nevertheless, we still need to acknowledge the union between signifiers and signified concepts, and the fact that not only can authors make structural and verbal choices to convey meaning but also the communication among author, narrator, and reader are usually more or less successful. Indeed, if language were merely a play of signifiers, communication through language would become impossible, and both narratological and stylistics investigations would lose their foundation and become meaningless.

Creating the Theory of Covert Progression and Dual Narrative Dynamics

Ning: Over and above theoretical revelation, in recent years, you've put in much effort in theoretical innovation. You have originated concepts and analytic models like "context-determined irony,"[2] Overall-Extended Close Reading[3]. But your most significant innovation lies in putting forward the theory of "covert progression" and "dual narrative dynamics." In China, more than one hundred journal essays have applied this theory of yours to the analysis of novels, short stories, drama, film, and television series. And in the West, your "covert progression" has been included in the glossary of RéNaF as one of the widely-circulated narratological concepts.[4] At the fifth biennial conference of the European Narratology Network held in Prague in 2017, you were invited to give a keynote speech "How Dual Narrative Movements Can Transform and Extend Narratology," a keynote that was very well received. Most impressively, the American journal *Style* devoted its spring, 2021 issue to the discussion of your target essay "Covert Progression and Dual Narrative Dynamics." The special issue carries sixteen responses to your target essay by scholars—most of them leading or famous figures—from different parts of the world, followed by your rejoinder "Debating and Extending a 'Covert Progression' and Dual Dynamics."

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1   See Dan Shen, "Why Contextual and Formal Narratologies Need Each Other," *JNT: Journal of Narrative Theory* 2 (2005): 144-146.

2   See Dan Shen, "Non-ironic Turning Ironic Contextually: Multiple Context-Determined Irony in 'The Story of an Hour'," *JLS: Journal of Literary Semantics* 2 (2009): 115-130.

3   See Dan Shen, "'Overall-Extended Close Reading' and Subtexts of Short Stories," *English Studies* 2 (2010): 150-169.

4   See https://wp.unil.ch/narratologie/glossaire/. Accessed 10 Sept. 2023.

Would you like to comment on this new theory?

SHEN Dan: Whether in China or in the West, the critical field has always taken for granted that narrative dynamics of mimetic fiction reside in the plot development. Since the turn of the century, numerous publications on narrative progression have appeared, shedding significant light from various angles on the nature and functioning of narrative dynamics and on the complicated relations among the author, narrator, character, and readers.[1] Because of the long-established critical tradition, they are only concerned with the plot-based overt progression. But I've found that, in many fictional narratives, there is what I designate "covert progression"—a powerful hidden dynamic that exists in different degrees of tension with the plot-based overt progression and that runs, at a deeper level, throughout the text. The covert and overt progressions constitute "dual narrative dynamics," a phenomenon that has been neglected in the long narrative critical tradition. Since the creation of dual dynamics often involves elaborative skills and designs, it is a phenomenon typically found in modernist narratives, although it is by no means confined to this genre. No matter in what genre or media, if there are double dynamics, focusing on the plot-based overt progression to the neglect of the covert one will unavoidably result in a partial or misleading picture.

Significantly, covert progression is different from all other types of deeper-level meaning as previously investigated. Generations of critics have tried to unearth the deeper-level meanings of plot development (which possibly contains different branches or subplots, with various ambiguities and complexities), but they have not paid attention to "covert progression" as a separate narrative movement. No matter to what extent the sequences of events in the two narrative movements overlap each other, covert and overt dynamics always progress along two contrastive or even opposed thematic trajectories, portray different character images and generate distinct aesthetic values, arousing or having the potential to arouse complex response from the same reader. When the double dynamics come into view, textual details that appear odd, puzzling, trivial or digressive in relation to the overt progression may fall into place in the undercurrent and newly take on thematic and aesthetic significance. Although following clearly distinctive trajectories that never cross each other, the two parallel narrative movements ultimately function as parts of a larger authorial design. That is to say, to gain a fuller and more balanced understanding of the text, we need to perceive both narrative movements.

The relationship between overt and covert progressions varies from text to

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1   See, for instance, James Phelan, *Experiencing Fiction: Judgments, Progressions, and the Rhetorical Theory of Narrative*, Columbus: The Ohio State University Press, 2007.

text, ranging from harmonious complementation to complementation with different degrees of tension, to drastic subversion (Shen, *Dual* 23-28).

Ning: Routledge has successively published your two books on this issue. Could you comment on their relationship?

SHEN Dan: In 2014, Routledge published my book *Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots*, with the paperback edition appearing in 2016. And in January, 2023, Routledge published my *Dual Narrative Dynamics*. The latter book seeks to break new ground in significant ways. It is the first book that offers a systematic theoretical discussion of covert progression and dual narrative dynamics. My earlier Routledge book consists of six chapters, all of which are concerned with practical analyses of covert progressions. By contrast, the latter book devotes its five chapters of Part I to a full-fledged theoretical construction, respectively dealing with "Uniqueness of 'Covert Progression' and its Different Relations with Overt Plot," "Why Have Covert Progressions Been Neglected and How to Uncover them?" "How Can Dual Dynamics Extend Stylistics?" "How Can Dual Dynamics Extend Narrative Theory?" "How Can Dual Dynamics Extend Translation Studies?" The theoretical discussion is followed by practical criticism in Part II, which brings to light the dual dynamics of various narratives. The best way to read the two books in question will be to start with the theoretical discussion in the latter book, and then proceed to the analytical chapters of both books.

It's worth mentioning that apart from differing from the earlier book in terms of theoretical construction, the latter book focuses more closely on the joint functioning of the covert and overt narrative movements. In the earlier book, I tended to dismiss the overt plot as a false appearance, but later I came to see that, in many literary narratives, plot development is as important as, or sometimes even more important than, covert progression. That is to say, it is necessary to explore carefully how the overt and covert narrative movements, although often conflicting and incompatible, join forces in contributing to the rich thematic significance, complex character images, and complicated aesthetic values of the narrative.

Ning: Could you comment on the innovation of specific narratological models your new theory has brought about?

Shen Dan: Dual narrative dynamics calls for the dualization of various narratological models. When a narrative contains dual dynamics, the author may adopt a particular stance in the plot-based overt progression and a different stance in the covert progression; the event structure may belong to the "revelation" type in the overt

progression but to the contrastive "resolution" type in the covert progression, the narrator may be unreliable in one way in the overt progression and in another way in the covert progression; the same mode of focalization may play one role in the overt progression and a contradictory role in the covert progression, among other kinds of duality. To account for and encourage the search for such duality, I have offered various dual narratological models, such as a dual model of authorial communication, a dual model of event structure, a dual model of unreliability, a dual model of focalization, and on a higher and more general level, a dual model of story and discourse.[1]

Ning: You are engaged not only in narratology but also in stylistics as we have touched upon just now. The new theory, though mainly of narratological dimensions, can also incorporate stylistic elements. How does your new theory bear on stylistics?

SHEN Dan: When a narrative contains a covert progression behind the overt one, the same words tend to take on dual or even triple literal, implied, or symbolic meanings along parallel thematic trajectories. The contrastive or even incompatible meanings of the same words account for, to a great extent, the tension and semantic density of the relevant literary texts. Moreover, some words crucial or important to the covert progression may be peripheral or digressive to the overt progression, or vice versa. This means that in a narrative with dual dynamics, the linguistic choices may at once be pulled toward divergent thematic orientations and made to play contrastive characterizing functions in parallel narrative movements. Seen in this light, what determines meaning production is a particular narrative movement as a trajectory of signification, which may be contradicted by another trajectory in the same text. Existing stylistic analyses, no matter what approach is adopted, invariably only pay attention to the meaning words generate in the co-text of a narrative and are only concerned with one kind of thematic significance. To account for the different kinds of meaning the same words simultaneously generate in the parallel narrative movements, we need to double (or even triple) analytic procedures and carry out stylistic analyses along different thematic trajectories in the same text.[2]

Ning: One of your research interests is translation studies. I think all fields of your

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1   See Dan Shen, *Dual Narrative Dynamics*, London: Routledge, 2023, 41-50; Dan Shen, "Covert Progression, Language and Context," *Rethinking Language, Text and Context*, edited by Ruth Page, Beatrix Busse and Nina Nørgaard, London: Routledge, 2019, 19-23.

2   See Dan Shen, *Dual Narrative Dynamics*, London: Routledge, 2023, 51-62.

studies are somehow connected by your overall thinking of them, not as separate fields. Then how does your new theory have to do with the field of translation?

SHEN Dan: Without being aware of the existence of dual dynamics in the original, a translator may unwittingly undermine it because his certain choices that are commendable in terms of transference of the plot development may turn out to be detrimental or even fatal to the covert progression. Thus, the existence of dual dynamics in some fictional narratives presents a hitherto unknown challenge for translators and for translation criticism. In translation criticism, one is faced with the task of revealing what choices made by a translator are at once adequate as regards plot development but injurious to covert progression. In terms of theory, the criteria of translation need to be transformed in order to ensure that both narrative movements can be effectively preserved in the target language. Strategies and methods for satisfactorily rendering both dynamics must be developed.[1]

Ning: It is very important to discover covert progression and dual narrative dynamics if this phenomenon exists in a narrative, but it is not easy to do so. Could you provide some guidelines as how to facilitate the discovery?

SHEN Dan: I've unraveled various factors underlying previous neglect of covert progression and dual narrative dynamics, and I've put forward the following theses to facilitate the discovery of this phenomenon[2]: ***Thesis One***, in order to discover covert progression, it is a prerequisite that we break free of the bondage of the narrative critical tradition that only pays attention to the plot-based overt progression. ***Thesis Two***, it is necessary to free ourselves of the bondage of a fixed authorial image. We need to be aware that the same person, in writing different narratives, may adopt different or even opposed stances, or may adopt a stance contrastive to that of the person in daily life. ***Thesis Three***, a consideration of the historical context may shed light on covert progression. ***Thesis Four***, intertextual comparison may also be conducive to the uncovering of covert progression. ***Thesis Five***, we often need to discern the author's purposeful camouflage in order to discover covert progression. ***Thesis Six***, the author in his letters, journal, interview and so on may only describe the overt progression without touching on the covert one in a text, and so we cannot take on trust the biographical information and need to examine the text itself carefully. ***Thesis Seven***, a covert progression may reside to a significant extent in textual choices that appear peripheral or digressive to the plot development. When

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1   See Dan Shen, *Dual Narrative Dynamics*, London: Routledge, 2023, 63-74.

2   See Dan Shen, *Dual Narrative Dynamics*, London: Routledge, 2023, 30-40; Dan Shen, "Covert Progression, Language and Context," *Rethinking Language, Text and Context*, edited by Ruth Page, Beatrix Busse and Nina Nørgaard, London: Routledge, 2019, 9-19.

encountering such choices, instead of skipping over them or trying to fit them in the interpretation of the plot, we need find out whether these elements interact with other textual elements in different parts of the text to constitute another narrative movement that goes in a contrastive or even opposite thematic direction. ***Thesis Eight***, the overt and covert progressions can be contrastive to each other in terms of being ironic or non-ironic, and can take on contrastive kinds of irony. We need therefore open our eyes to the possible existence of different levels of irony/non-irony in two or three parallel narrative movements of the same text. ***Thesis Nine***, the same short fragment of a text may be crucial to both dynamics but with a division of labor: one part being pivotal to the overt progression and the other to the covert progression. In order to discover the dual dynamics, we need to examine carefully the different functions the same short fragment of the text plays in the two parallel narrative movements. ***Thesis Ten***, we need to be perceptive of the author's subtle stylistic techniques. Indeed, in some narratives, the fulcrum of the covert progression is constituted by some very subtle stylistic devices, and we need therefore be very careful in examining the author's stylistic choices, otherwise the covert progression can easily elude attention. ***Thesis Eleven***, because the fulcrum of the covert progression may appear in the middle or the end of the text, to discover the undercurrent, we need to read the text more than once, to see whether stylistic and structural choices in different parts of the text implicitly interact with each other to form an undercurrent throughout the narrative. ***Thesis Twelve***, as distinct from the complementary relations where the overt plot always has a more or less substantial role to play, when the overt and covert dynamics subvert each other, the function of the overt plot varies drastically: It is sometimes only a deceptive cloak, sometimes a functional foil to set off the covert, and sometimes as important as the covert. In order to discover the dual dynamics as such, we need to open our eyes to the different functions of the plot development. ***Thesis Thirteen***, in some narratives, there are two covert progressions behind the plot development, and so we need to open our eyes to the possible existence of two undercurrents paralleling the plot development. ***Thesis Fourteen***, covert progression and dual dynamics may occur in other media, where we also need to search consciously for the possible existence of an undercurrent behind the plot development.

Ning: As you mentioned, dual narrative dynamics is by no means omnipresent and only exists in some narratives. In those narratives without a covert progression, is this theory of yours still relevant?

SHEN Dan: In narratives with only the plot-based overt progression, my theory of

dual dynamics may still have a role to play. Susan S. Lanser has applied the theory to the analysis of Assaf Gavron's novel *The Hilltop*, a novel containing a complex plot development open at least to two contrastive kinds of reading. The distinctive feature of Lanser's analysis is that, while other critics only opt for one kind of reading and take that kind to be "the" correct kind, she finds the plot development accommodating both kinds of reading, which mitigate each other. In conclusion, Lanser says, "But what I take to be Dan Shen's approach has certainly encouraged a fuller, deeper, and bolder scrutiny of narrative dynamics than I would have undertaken otherwise" (98). Her analysis points to an additional kind of utility of my theory of dual dynamics: directing attention to the joint functioning of two contrastive thematic trajectories of the *overt* plot development itself. I myself, in investigating Kate Chopin's "A Pair of Silk Stockings," has directed attention to the complementarity between two incompatible thematic trajectories of the overt plot development, while revealing a covert progression in this narrative.[1]

Interestingly, I find an ambiguous case in H. Porter Abbott's application of my theory to unearth an undercurrent in Virginia Woolf's *Mrs Dalloway*. This narrative has what Chatman defines as a "plot of revelation" versus a "plot of resolution" (47-48). With his critical acumen, Abbott finds that Clarissa's childhood trauma of seeing "her sister Sylvia crushed to death by a falling tree" underlies "much of what we see riding on the surface of the novel." In other words, he insightfully perceives Clarissa's "skittishness, her deliberate meandering, the jerkiness of her mind" as "effects derived from a cause" (Abbott 66). Here, we can treat the undercurrent either as a covert dimension of the plot development (only giving a deeper account of Clarissa's behavior without changing thematic orientation) or as a covert progression marked by causality versus a plot development characterized by contingency. Whatever way we take it, one thing is for sure: Paying attention to dual narrative dynamics can broaden and deepen our understanding of the narrative.

Ning: When talking with you, I feel deeply touched by your erudition, profound thinking, and sharp insight. You can always delve into the essential qualities of things instead of staying on the surface level. Consequently, your research is marked by penetrating insight and innovation, which helps promote academic development in the relevant fields. Thank you very much for giving me the opportunity for this interview.

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1   See Dan Shen, "Naturalistic Covert Progression behind Complicated Plot: Kate Chopin's 'A Pair of Silk Stockings'," *JNT: Journal of Narrative Theory* 1 (2022): 1-24.

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At the Intersections of Stylistics, Narratology, and Translatology: SHEN Dan's Interdisciplinary Studies

Feng Zongxin

Abstract: This paper enquires into SHEN Dan's interdisciplinary studies especially at the intersections of three apparently distinct disciplines, i.e. stylistics, narratology, and translatology, by focusing on her prolific international publications. First, it investigates how she combines linguistics and literary criticism and enriches stylistics through innovating linguistic models and proposing new critical concepts; secondly, it explicates how her approach of combining stylistics and narratology to the study of narratives has contributed to the development of both disciplines; thirdly, it discusses how her taking the combined interdisciplinary approach to fictional translation studies has remolded translatology from both disciplinary perspectives, and shows how her translation studies has retroactively transformed literary stylistics and narratology. It concludes from a semiotic point of view that Shen has theoretically and methodologically blazed new trails in the study of language and literature, broadened stylistics, narratology, and translatology by promoting their interactions, and offered insights into further interdisciplinary studies.

Keywords: SHEN Dan; interdisciplinarity; stylistics; narratology; translatology

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标题：申丹在文体学、叙事学、翻译学交汇点上的跨学科研究

内容摘要：本文聚焦申丹丰硕的国际论著，主要探讨了她在文体学、叙事学、翻译学交汇点上的跨学科研究。她将语言学和文学批评相结合，并通过在语言学模式上的创新和提出文学批评的新概念，丰富了文学文体学研究；她在叙事作品研究领域将文体学与叙事学相结合的研究路径，对这两个学科的发展都做出了贡献；她把文体学和叙事学整合起来用于小说翻译研究，从两个学科视角重塑了翻译学；她的翻译研究又推动了文学文体学和叙事学的创新。结论从符号学视角指出，申丹在理论和方法上为语言与文学研究开辟了新的路径，通过促进学科间的互动拓宽了文体学、叙事学和翻译学，并为

进一步的跨学科研究提供了洞见。

关键词：申丹；跨学科；文体学；叙事学；翻译学

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From her thought-provoking arguments on fidelity vs. pragmatism in translation ("Fidelity" 1985), subjectivity vs. objectivity in stylistics ("Stylistics" 1988), story vs. discourse in narratology ("Defense" 2002), then to her systematic construction of the new theory of covert progression and dual narrative dynamics involving all three fields ("'Covert'" 2021), and from her *Literary Stylistics and Fictional Translation* (1995), *Style and Rhetoric of Short Narrative Fiction* (2014) to *Dual Narrative Dynamics* (2023), SHEN Dan has continuously made original and significant contributions to stylistics, narratology, and translatology as distinctive disciplines on the one hand, and to interdisciplinary studies between or among them on the other. She has revisited key concepts and principles in stylistics, narratology, and translatology, and addressed a series of issues that are important or crucial in theories and methods of interdisciplinary studies. Shen's academic achievements can be conceived from the heights of semiotics of language and discourse, semiotics of literature, and semiotics of translation. Even one of these disciplines or fields of research might preoccupy an individual scholar for a lifetime, but Shen has contributed to all these from interdisciplinary or multidisciplinary perspectives. Her remarkable achievements can be partly seen in her 15 articles published in *Style* (the international journal that "addresses questions of style, stylistics, and poetics […]") alone, 5 in *Narrative* (the official journal of the International Society for the Study of Narrative), 4 in *Babel: International Journal of Translation*, and numerous articles in other A&HCI indexed international journals, including *Journal of Literary Semantics*, *Poetics*, *Poetics Today*, *Journal of Narrative Technique*, *Journal of Narrative Theory*, *ARIEL: A Review of International English Literature*, *Partial Answers*, *Nineteenth-Century Literature*, *English Studies*, *Comparative Literature Studies*, and *Language and Literature*, as well as about one hundred articles in major journals of literary, narrative, stylistic, and translation studies in China. Moreover, she has published seven single-authored and two first-author books in Chinese and in English. This study will focus on her publications in English and concentrate on her interdisciplinary studies from a semiotic perspective.

Connecting Linguistics and Literary Criticism

Part of Shen's interdisciplinary studies covers linguistics and literary criticism,

with stylistics bridging up the two and cutting through her narrative and translation studies. Well-informed in linguistics (especially functional linguistics) and literary theory and highly competent in critical practice, she is a keen observer of subtleties of linguistic choices in English and intricacies in Anglo-American literary narratives and an enthusiastic proponent of stylistics to other disciplines. Key words in her works include "syntax," "transitivity," "modes of speech," "mind-style," "trajectories of signification," "modes of speech presentation," "literary stylistics," and "literary significance."

Shen tries to develop stylistics and literary criticism through her innovative use of linguistics. In her article "Internal Contrast and Double Decoding," for instance, she makes a contribution concurrently to the three disciplines. Since the 1970s, there have appeared many linguistic and stylistic investigations of transitivity, which invariably focus on the contrast between different types of transitivity process. Shen breaks a new path by directing attention to how a literary writer creates a thematically-motivated contrast within the same (sub-)type of transitivity process. Shen's insightful exploration shows: First, such an internal contrast may, "by way of semantic and cognitive reorganization, change the nature of certain transitivity processes on a deeper level" (53). Secondly, such context-determined meaning at a deeper level, which interacts with the conventional surface meaning, depends on reader's double decoding. Thirdly, a systematic and penetrating transitivity analysis of clause patterning can shed new light on literary interpretation, as exemplified by Shen's brilliant stylistic analysis of Langston Hugh's "On the Road," an analysis that uncovers the thematically-significant symbolic meaning, which has eluded the attention of literary critics. Fourth, such a stylistic analysis can help understand the complex relation between the real author and the implied author.

Shen also tries to enrich stylistics through proposing new critical concepts. In her article "Non-ironic Turning Ironic Contextually," for example, Shen proposes the concept of "context-determined irony" to facilitate the stylistic analysis of Kate Chopin's "The Story of an Hour." Shen points out that although various existing types of irony are more or less related to context, none of them totally hinges upon context like the type she brings into attention. She convincingly shows that, in comparison with the well-known verbal and situational irony, "context-determined irony" generates more semantic density and textual tension due to the co-existence between the conventionally positive meaning and the contextually determined ironic meaning of the linguistic choices involved. By bringing to light multiple context-determined irony in the "The Story of an Hour," Shen reveals that it is, in effect, not a feminist text as believed by many stylisticians and literary critics.

With broad theoretical vision and insightful practical analysis as a solid basis, Shen has been vigorously and repeatedly defended the validity of stylistics and its helpfulness and usefulness for literary interpretation. Her article "Defending the Validity of Stylistics," which attempts to avail stylistics to literary interpretation, is a leading article in the section of "Stylistics – Language Varieties – Perspectives of Presentation" in *Linguistics and Literary Studies* edited by Monika Fludernik, making a very loud voice to justify a critical practice that is both linguistic and literary.

There has been a clear division of labor, even opposition, between language studies and literature studies since the early twentieth century. Roger Fowler describes the situation in Britain as "a lamentable spectacle of two close neighbours" who do not talk but argue irrationally (2). Mary Louise Pratt describes the same situation on the other side of the Atlantic as the MLA and the LSA having their annual meetings at the same time and in the same city but in different hotels, without exchanging programs or street guides (vii). Later, Roger Sell found that the situation was more complicated by "further sub-specialisation" in the two fields, and ironically, those who tried to bring the two sides together had sometimes been accused of "understanding neither" (xii-xiv). Even in 2007, Geoffrey Leech and Mick Short still find that "many mainstream" linguists and "almost all" literary critics know nothing about or studiously ignore stylistics even though it is useful to both groups (287). Fortunately, Sell observed that "such divisiveness and despair" were not universal, since in his department of foreign languages at Åbo Akademi, Finland, attention was naturally given to linguistic aspects of literary texts (xii).

Shen has played a key role in the interface of linguistics and literary studies both in China and in the West. In terms of the former, apart from the division of language and literature in the same department in China's universities, there is also a division of "foreign" and "Chinese" in different departments. And departments of Chinese have people doing "foreign literature" who rarely talk with literature people in departments of foreign languages and literature (Feng, "Foreign Language" 340-341). Under Shen's leadership, China Association of Stylistics, since its establishment in 2004, has drawn literary linguists, discourse analysts, and literary scholars from both Chinese and foreign language/literature sectors together at national and international conferences. With persistent efforts, she has been leading stylistics in China to develop into an important part of the world's map of stylistic study, and she has also played a significant role on the international stage by delivering invited key-note speeches attempting to bring linguistics, stylistics, and literary studies together, such as at the 2011 annual conference of Poetics and Linguistics Association (PALA) and at the International Conference "Linguistics & Literary Studies" (Freiburg, 2009).

Having kept pace with the ever-growing trends of stylistics, from formal, through functional, discourse, sociocultural, pragmatic stylistics to cognitive stylistics, she has substantiated the "narrative turn" in stylistics and the "stylistic turn" in narrative studies, and has considerably invigorated both stylistics and narratology.

Connecting Narratology and Stylistics

The narratological study of storytelling structures and techniques is paradigmatically and methodologically different from the stylistic study of language features of literary texts with various linguistics models, although both disciplines are related to or motivated by structuralism and semiotics. Early linguistic-stylistic studies of fiction are a far cry from narratological studies. Norman Page's *Speech in the English Novel* (1973) offers a pioneering study on a topic of common interest in linguistics and literature—the nature and function of fictional dialogue and its relationship to real speech and his analyses of literary texts are for discussions of "stylistic questions." Leech and Short's *Style in Fiction: Linguistic Introduction to English Fictional Prose* (1981) gives a broader stylistic inquiry into "the relation between language and artistic function" in fiction. But neither makes any reference to "narratology" or "narrative theory" in their first editions. Linguistic studies of the language of fiction was a reaction against Practical Criticism and New Criticism preoccupied with short poems, but the study of the universal structural patterns in narratives since the 1960s based on works of Vladimir Propp, Claude Lévi-Strauss, Roland Barthes, Algirdas J. Greimas, Tzvetan Todorov, Gérard Genette, etc. for a long time did not attract much of stylisticians' attention.

Works on narratology, for example, Prince's *Narratology* (1982) and Bal's *Narratology* (1985) present different pictures with varying focuses. Prince deals with "signs of narrating" rather than "linguistic signs" and concentrates on certain traits "particularly pertinent to narrative texts." Although he seems aware of Banfield's "narrative style" and Fish's "affective stylistics," he declares his unwillingness to "discuss the problem of style" (Prince 134). In presenting a systematic account of the theory of narrative for use in the study of literary and other narrative texts, Bal does pay attention to linguistic and stylistic issues, but she has students of literature in mind throughout the four editions. It is noticeable that William Labov's sociolinguistic discussion of narrative structure makes a loud sound in Prince's narratology but remains silent in Bal's.

Shen's *Narratology and Stylistics of Fiction* (in Chinese and published in four editions from 1998 to 2019) is neither an introduction nor a textbook, but an in-depth account of relevant theories and methods of narratology and stylistics,

focusing on the complementary relationship between the two disciplines. Significantly, her work predates by nine years the second edition of Leech and Short's *Style in Fiction* which recognizes narratology as a discipline "probably the most notable for stylisticians interested in the study of prose fiction" (284) and makes references to works by major narratologists such as Bal, Chatman, Genette, Fludernik, and Prince for the first time in the last chapter. Rather than transplanting theories and methods of stylistics to narrative analysis, Shen analyzes modes of speech in novels, for example, with weightiness in both. Not only does she inquire into the modes' special manifestations in Chinese narrative fiction, but also into their transference from Chinese into English. Her book can be labeled "style and narrative structure in fiction" (in contrast to Leech and Short's title "style in fiction") and regarded as a theoretical complement to any work in stylistics attempting to draw on narratology and any work in narratology that finds stylistics useful. An abridged and updated version of the book translated into English, *Discourse and Style: What Narratology and Stylistics Can Do for Each Other*, is forthcoming from Routledge. Part of her updating work, in the shape of an article titled "Narratology, Stylistics, and Point of View: Partiality, Complementarity, and a New Definition" has just appeared in *Style*.

In the article "The Stylistics of Narrative Fiction," Shen discusses two theoretical issues (point of view and speech/thought presentation) that have attracted the attention of both stylisticians and narratologists and analyzes different versions of a mini-narrative from both stylistic and narratological perspectives. It is the leading article of the longest section in *Language and Style* in honor of Mick Short that takes her title as the heading and "reflects the dominance of prose analysis within stylistics" (McIntyre and Busse 11).

Interdisciplinarily, Shen has considered the ways in which stylisticians can draw on narratology ("How Stylisticians") and what they can do for each other ("What Narratology and Stylistics," "Stylistics and Narratology") in the journal *Style*, Blackwell's *A Companion to Narrative Theory*, and *The Routledge Handbook of Stylistics*. Moreover, she has contributed five entries "diegesis," "mind-style," "mood," "narrating," and "story-discourse distinction" to the *Routledge Encyclopedia of Narrative Theory*, with "mind-style" pertaining to the field of stylistics. These efforts were made when narratologists and most stylisticians were working independently. Against the background of the superficial similarity of the dichotomies of "content and style" in stylistics and "story and discourse" in narratology and the subsequent equation of "style" and "discourse" as respective concerns of stylistics and narratology, Shen points out the essential difference between "discourse" in narratology and "style" in stylistics despite a certain amount of overlap, and reveals

the essentially complementary relation between them. When discourse stylistics and contextual stylistics were emerging and when postclassical theories of narrative were developing, she timely inquired into the mutually benefiting relations between contextual narratologies and formal narrative poetics ("Why Contextual") and the nature of contextualized poetics and rhetoric ("Contextualized"), a discussion that is relevant to the relation between contextual stylistics and formal stylistic distinctions, such as that among different modes of speech.[1]

As a narratologist-stylistician, Shen is aware of how narratologists' contributions can interest stylisticians and how the latter can help the former, and has offered insights to both disciplines by showing how they can intersect and collaboratively deepen our understanding of narrative presentation. Shen has also investigated the different ways stylisticians draw on narratology by offering a clear taxonomy with the distinction of three approaches: the "mild," the "radical," and the "parallel" ("How" 383). Shen reveals that due to the difference between the investigation of "style" in verbal and nonverbal media, and due to the fundamental differences between "style" in stylistics and "discourse" in narratology, an ambitious attempt to incorporate narratology into stylistics—what she terms the "radical" approach— may bring undesirable consequences: losing the footing and characteristics of stylistic investigation, while also departing from narratological investigation ("How" 385-390). What Shen advocates is the "mild" approach that uses narrative concepts or models as frameworks for stylistic analysis of linguistic patterning. The importance of her finding is not only that neither stylistics nor narratology can cover the other, but also that their concepts and frameworks can be applied in the analysis of the same text. Her proposal is to sustain the disciplinary distinction on one hand and to bring their complementary relation into full play on the other. Her approach becomes more systematic in *Style and Rhetoric of Short Narrative Fiction*, which had been cited, while it was still in press, as one of the two "specialist monograph-length treatments of narrative from a stylistic perspective" as "narrative stylistics" (Simpson, *Stylistics* 278).

Shen's interdisciplinary stylistic-narratological analysis has helped her to reveal two types of "progression" in many narratives, the overt (the plot development) and the covert (what she terms "covert progression"). She has found that the "covert progression" or "hidden dynamic" parallels the "overt dynamic" throughout the text and that the two textual dynamics invite "dual response from readers" ("Covert

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1   Dan Shen also pays attention to the complementary relation among different schools in the literary field, as exemplified by her essay "The Future of Literary Theories: Exclusion, Complementarity, Pluralism."

Progression" 2). Her exploration of dual narrative dynamics culminated in her *Dual Narrative Dynamics* (Routledge 2023) and her article "'Covert Progression' and Dual Narrative Dynamics," the latter appeared as the "Target Essay" in a special issue of *Style* (51.1, 2021)[1] and was responded to by sixteen articles contributed by scholars from nine different countries, including eminent narrative theorists James Phelan, John Pier, Patrick Hogan, Susan Lanser, among others, followed by Shen's 40-page "Rejoinder." Pier sees Shen standing "at the crossroads of narratology and stylistics" and observes that the key to "detecting the relations between overt and covert progressions is stylistic analysis in conjunction with narratological analysis" ("Dan Shen's Rhetorical Narratology" 29). Hogan writes that the idea of covert progression is "a worthwhile addition to what is called the 'narratologist's toolbox'" (48).

Shen's stylistic-narrative studies have made use of, and enriched, both the narratological toolbox and the stylistic toolkits by adding a narrative dimension to stylistics and a stylistic perspective to the study of narratives which are linguistically (in the semiotic sense) describable and analyzable. To readers of authoritative reference books such as *A Companion to Narrative Theory*, Shen emphasizes the complementary relation between the two, trying to bring narratologists closer to the analysis of "style" as the central concern of stylisticians, and makes them aware of a semiotic level on which narrative techniques can be more adequately analyzed. Ruth Page asserts that Shen's pioneering discussion of the difference and complementarity between stylistics' style and narratology's discourse has led to a tendency where a stylistics of micro-level features (such as lexis or syntax) and a narratology of macro-level structure (particularly plot and voice) can work hand in hand in analyzing the same text (95). Seen from the long-standing division of labor, lack of dialogue, and hostile relations between the language/linguistics sector and the literature sector, Shen's academic venture in the integration of stylistics and narratology is very significant in helping remove the barriers between the two.

Like her academic leadership in stylistics in China, she has been concurrently leading China Association of Narratology. In reflecting, challenging, and contributing to the world's narrative theory, she has also been leading Chinese narratology to the

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1   This special issue, according to the Editor's Note, is the seventh since 2008 devoted to a type of format "found in several of the life sciences," after Joseph Carroll's "An Evolutionary Paradigm for Literary Study" (42.2 & 3, 2008), Alan Palmer's "Social Minds in Criticism and Fiction" (45.2, 2011), Peter Rabinowitz and Corinne Bancroft's "Euclid at the Core: Re-centering Literary Education" (48.1, 2014), Brian Richardson's "Unnatural Narrative Theory" (50.4, 2016), James Phelan's "Authors, Resources, Audiences: Toward a Rhetorical Poetics of Narrative" (52.1 & 2, 2018), and Richard Walsh's "Fictionality as Rhetoric" (53.4, 2019).

world's forefront.

Connecting Stylistics and Narratology with Translatology

Shen's studies in translatology are characterized with stylistic and narratological perspectives on the semiotic level. Modern semiotics and linguistics have provided important frameworks for analyzing and understanding meaning-making, but the long history of translation is full of mysticism and legends. Although translation was related to linguistics, literary criticism, and stylistics in the creative work carried out by Prague School linguists many decades ago (Nida, *Toward* 21), translators can do their work "without knowing anything about linguistics" (Nida, "Science" 483). Although the science of language cannot interpret any linguistic specimen "without a translation of its signs into other signs of the same system or into signs of another system" (Jakobson, "On Linguistic Aspects" 234), not many translators realize that they are involved in a semiotic activity. Even if some translators are conscious of the power of stylistics in poetic translation, very few are aware of the power of literary stylistics in fictional translation.

Shen's academic career started in fictional translation studies while doing her Ph.D. at Edinburgh University in the 1980s, when she courageously criticized Eugene A. Nida's influential theory of "formal equivalence." Her 1989 article "Literalism: NON 'formal-equivalence'" caught immediate international attention and she was invited to contribute a 5000-word entry "Literalism" to *An Encyclopedia of Translation*. Many ideas in her Ph.D. dissertation *Literary Stylistics and Fictional Translation* were further developed into seven independent journal articles (e.g. "Stylistics"; "Syntax"; "Aesthetic Function") that caught attention from both stylisticians and translation theorists.

Against the background that the principles of literary translation criticism are subjective and impressionistic under the influence of traditional literary criticism, Shen found that stylistic analysis can lay bare the delicacies in the text and is therefore a powerful tool for translation studies. In her pioneering efforts to apply theories and methods of literary stylistics to fictional translation, Shen points out some problematic areas and addresses important issues in cross-lingual transfer. Her insistence on taking into account "both expression and content" (*Literary Stylistics* 31) manifests a semiotic principle that "language expresses" and "style stresses" (Riffaterre 155). While Riffaterre takes style as "an emphasis (expressive, affective or aesthetic) added to the information conveyed by the linguistic structure, without alteration of meaning" (155) in the same language, Shen conceptualizes style as a cross-language parameter and points out that, in tranalsting prose fiction where

the translator tends to focus on content, insufficient attention to style can easily result in what she calls "deceptive equivalence" or "deceptive correspondence" marked by not only the loss of aesthetic effect but also the distortion of the original message (Shen, *Literary Stylistics* 90-124; Shen and Fang, "Stylistics"). She calls for the production of "functional correspondence" and "expressive identity." For the translator to avoid "deceptive" correspondence, it is necessary to enhance stylistic competence; and for the translation critic to uncover this phenomenon, it is necessary to carry out stylistic analysis (ibid.).

Upon her insightful observations on the translator's "emotional involvement" and "detachment and impartiality" (*Literary Stylistics* 128-129), Shen asserts that "any notable change by the translator in authorial evaluation may have a significant bearing on characterization" (130), a point that she convincingly backs up with stylistic analysis. She cautions translators against what Wayne Booth defines as "practical interests" since the translator should assume the role of the original author rather than the reader if the aim is to transfer the original faithfully rather than to fulfil various pragmatic ends (Shen, "Fidelity"). With her discovery that "what is conventional is objective and what is personal is subjective," she asserts that "[o]bjectivity [...] is a matter of conventionality" since the concept "can be best construed" as such in the social reality of language ("Stylistics, Objectivity, and Convention" 221). In translation, both the original author's encoding and the translator's decoding are based on the conventional meaning of language. To be objective, the translator need try to get free of the influence of his or her personal inclinations and social positioning and to understand fully the original author's purposeful utilization of the conventional signs in specific textual and sociocultural contexts. Shen calls for "the translator's objectivity" ("Objectivity in the Translation" 132; *Literary Stylistics* 128) by extending a semiotic and linguistic principle to cross-linguistic analysis of translation. This principle is theoretically significant in solving "the myth of objectivity in literary scholarship" (Bassnett, *Comparative Literature* 66) and providing a qualified objective term in place of the "unqualifiedly objective terms for the reader of SL and TL text" (Bassnett, *Translation Studies* 84) in both literary and translation studies.

Human interpretation of language is essentially intuitive and subjective, and individuals' interpretations of the same text may be different. Objectivity in humanities is only a relative term compared against objectivity or verifiability in social and natural sciences. Ronald Carter points out that textual analysis and interpretation are guided by the individual's subjective intuitions and again limited by them; and an individual commentator's intuitions may or may not be shared by

others and "a measure of inter-subjective agreement" can help since "inter-subjective intuitions are more reliable" than the purely subjective (64). Shen's theory of conventionality and objectivity precedes Carter's and is more explicitly stated. Her discussion of translator's objectivity shifts the critic's attention from the translated text to the translating process and calls on the translator to respect the original author and cater for the target reader in unbiased and unprejudiced ways if the basic stance of translation is fidelity to the original. She has highlighted the responsibility of the translator who are in fact "discursive participants" (Feng, "Literary Discourse" 45) and "partners in joint-venture projects in translation" that have contributed "substantially to the literary history of target-language literatures" (50). Shen's theory also has semiotic implications on other types of objectivity in translation, including the objectivity of the reader and the critic. Her theory is paradigmatically and methodologically significant not only for translation and stylistics, but also for a number of other disciplines in the humanities and even social sciences.

Shen's stylistic study of translation has solidly justified "literary stylistics as a touchstone for literary translation criticism" (Feng, "Literary Stylistics" 40). Her approach predates all other relevant studies, e.g. Boase-Beier's *Stylistic Approaches to Translation* (2006), Baker's "Towards a Methodology for Investigating the Style of a Literary Translation" (2000), and Malmkjaer's "Translational Stylistics" (2004). Theoretically, her cutting-edge views on "validity" vs. "fidelity" and "loyalists" vs. "pragmatists," etc. on more general levels (Shen, "Fidelity") have challenged, redefined, and invigorated classical principles of translation (such as "faithfulness," "transparency," etc.). Practically, she has offered scientific and aesthetic guidelines and requirements to translators and translation critics.

Objectivity is associated with reliability and subjectivity with unreliability, a hot topic in the field of narratology. As the author of the 5000-word entry "Unreliability" in the second edition of *Handbook of Narratology* (De Gruyter, 2014), Shen has contributed to translation studies with her narratological-stylistic investigation of this issue. In "Unreliablity and Characterization," she reveals that in translating prose fiction, some translators are inclined to objectify characters' subjective and unreliable perceptions and judgments and that such efforts to increase reliability often lead to "the loss of the characters' individuality as found in the source text" (300). With her admirable narratological-stylistic analysis, Shen persuasively shows that unreliability as intentionally encoded by the original author "may have a significant role to play in revealing or reinforcing narratorial stance, in characterizing a particular consciousness, or in more general terms, in fulfilling the work's thematic and aesthetic goals" (309) and thus it should be preserved in translation. Shen's narratological-

stylistic investigation as such not only sheds fresh light on translation and adds a new dimension to translation criticism, but also enriches stylistic analysis with narratological models such as focalization and the distinction between the narrating and experiencing selves (306-308) and with translation as a new area for stylistic investigation of unreliability. Moreover, her extending the discussion of unreliability to fictional translation and to characters versus narrators has also contributed to narratology. Ansgar Nünning, in "Unreliable, Compared to What?" appreciates Shen's essay as the only one addressing the relation between unreliability and characters' traits, an issue that calls for more investigation (59). Indeed, Shen's pioneering exploration of "the function of unreliability found in a character as a reflecting versus a speaking entity" (op. cit. 300) breaks a new path in all the three fields in question.

What is more, Shen's narratological-stylistic investigation of dual narrative dynamics has enabled her to promote translation studies from a fresh angle. In her second book from Routledge, *Dual Narrative Dynamics*, Chapter 5 is titled "How Dual Dynamics Challenges Translation and How to Meet the Challenge." Dual dynamics in the shape of a covert progression paralleling the plot development in many literary narratives is a phenomenon that has eluded the attention of narratologists, stylisticians, and translators/translation critics alike. In translating a text with dual dynamics, a translator may unwittingly undermine it because what is satisfactory or desirable as regards the transference of the plot development may prove to be undesirable or even fatal to the covert progression in the original. Seen in this light, this literary phenomenon presents a great challenge both to translators and to translation studies, calling for the relevant transformation of translation theory, criticism, and also the teaching of translation. With substantial exemplification, Shen convincingly shows that, to uncover the dual dynamics, one needs to carry out an in-depth narratological-stylistic analysis, and these examples taken from inter-lingual translation can help enrich both narratological and stylistic investigations.

Shen's translatology, as I am inclined to term it, is not a mere combination or a willful trespassing from stylistics and narratology into translation but a battery of interdisciplinary inquiries in a field that is ontologically linguistic, semiotic, literary, and cross-cultural. In blazing the trails in pinpointing problems of translation and proposing remedies from stylistic and narratological perspectives, she has justifiably developed translatology in the senses of "translation studies" as well as "Translation Studies" and demonstrated the usefulness of stylistic and narrative analyses for literary translation with unquestionable philosophical significance and semiotic importance.

Conclusion

The term "interdisciplinarity" prototypically refers to the transfer of methods from one discipline to another. While it denotes an overflow of disciplines, its goal still remains within the framework of disciplinary research. Shen's interdisciplinarity is not an approach, but approaches that do not simply combine two different or neighboring disciplines together by applying stylistic methods to narratological analysis or vice versa, or impose stylistic and narratological terminology on the study of fictional translation. Instead of taking stylistics and narratology as tools for analyzing literature, or taking literary texts as the data for stylistic-narratogical analysis, she explores issues in one discipline from the perspective of others, trying to show how one can shed light on another or how the different disciplines can draw from each other. In so doing, she has not only brought different disciplines together but also offered insights that can illuminate further interdisciplinary perspectives.

Put another way, Shen's academic venture is neither a stylistic scholarship that borrows from narrative studies nor a narratological scholarship that borrows from stylistics nor a translational scholarship that borrows from the other two. Her approaches to any one of these are multi-leveled and multi-dimensioned, each actively drawing on and retroactively contributing to the others, and are stylistic, narratological, and translatological at the same time. Shen's stylistics seamlessly combines analysis of lexical-grammatical features and associated structural features of narratives without overlooking what is inaccessible to stylistic methods; her stylistic narratology is more accommodative than many other narratologists' work; and her stylistic-narratological translation enterprise has reshaped some fundamental principles of translatology.

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Theoretical Innovation, Critical Practice, and Interdisciplinary Approach: SHEN Dan's Contribution to Narrative Studies

Hui Haifeng

Abstract: SHEN Dan is a pioneering and leading figure in the field of narrative studies over the past few decades. This article provides an overview of Shen's outstanding contributions to narrative theory and criticism both in China and in the West, including how she clarifies and develops theoretical concepts, issues, and models in classical narrative poetics and postclassical narratologies, how she reveals various kinds of significant relations both within narratology and between narratology and stylistics. In particular, the article will explicate how Shen's profound interest in the underlying meanings of literary texts has driven her to offer innovative interpretations through an interdisciplinary approach, culminating in the establishment of her new theory and criticism of covert progression and dual narrative dynamics, which goes beyond the Aristotelian tradition focusing on plot development and which has extended and transformed not only narratology but also fictional stylistics and fictional translation studies.
Keywords: SHEN Dan; narrative studies; theoretical development; critical innovation; interdisciplinary approach
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标题：理论创新、批评实践和跨学科方法：申丹对叙事研究的贡献
内容摘要：近几十年以来，申丹教授一直是叙事研究领域的领军人物。本文梳理了申丹在国内外对叙事理论和文本阐释做出的杰出贡献，包括她如何澄清并发展了经典叙事诗学和后经典叙事学中的理论概念、议题和模型，以及她如何揭示了叙事学内部以及叙事学与文体学之间的各种重要关系。本文重点阐述了申丹对文学文本隐含意义的深切关注如何推动她采用跨学科方法提出创新的阐释，并最终创建了隐性进程和双重叙事动力的新理论。这超越了亚里士多德研究传统对情节发展的关注，不仅拓展和革新了叙事学，而且也

拓展和革新了文学文体学和小说翻译研究。

关键词：申丹；叙事研究；理论发展；批评创新；跨学科方法

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SHEN Dan conducts research in the fields of narratology, fictional stylistics, and fictional translation studies. These three areas are interconnected rather than discrete in her research. She got her Ph.D. from the University of Edinburgh, where she completed a doctoral dissertation titled "Literary Stylistics and Fictional Translation," which formed the basis of her first book in English with the same title published by Peking University Press in 1995. During this period, she gradually discovered that fictional stylistics, which focuses on linguistic techniques, forms a strong complementary relation with narratology, which centers on structural techniques. Since completing her Ph.D. studies and returning to China, Shen has increasingly devoted her attention to narrative studies often with her characteristic interdisciplinary approach. The present article will focus on Shen's contributions to narrative studies both in China and in the West.

1. Shen's Innovative Discussion of Classical Narrative Poetics in Relation to Stylistics

Shen's first book in Chinese, *Narratology and the Stylistics of Fiction* (1998)[1], is a landmark in classical narrative poetics and fictional stylistics, characterized by her pioneering interdisciplinary approach. Shen argues in this book that narratology (primarily classical narrative poetics at that time) and fictional stylistics are complementary to each other, and that both are necessary for a fuller understanding of literary narratives. Narratology focuses on classifying and analyzing various structural techniques, whereas fictional stylistics focuses on analyzing language choices in literary texts. They have different methodological approaches to the study of literature, yet both are concerned with presentational techniques in narrative texts. Shen contends that the two disciplines are interconnected and that a comprehensive analysis of narrative presentation requires taking an interdisciplinary approach. She suggests that narrative poetics can provide structural frameworks with which stylisticians can better analyze verbal strategies used in a narrative, while stylistics can provide a more detailed understanding of the effects and implications of language use in a narrative. To facilitate readers' comprehension of the mutual benefits of

1   Winner of First Prize of the 4th National Excellent Foreign Literature Books Award.

narratology and stylistics, the first part of the book, on the one hand, addresses three significant topics in narrative poetics—the distinction between story and discourse, the concept of the plot, and the study of character and characterization, and, on the other, it discusses the principles and properties of different branches of stylistics, with a focus on literary stylistics. The second half of the book explores the overlapping areas of narratology (narrative poetics) and fictional stylistics, encompassing the relationship between narratology's discourse and stylistics' style, various categories of narrative focalization, and modes of speech presentation. Part of the discussion fed into a chapter Shen was invited to write for *A Companion to Narrative Theory* (2005), "What Narratology and Stylistics Can Do for Each Other." Shen argues that, although "discourse" and "style" may superficially resemble each other, they conceal an essential difference that, once acknowledged, "underscores the necessity and value of combining narratological and stylistic approaches to the presentation of narrative" (136). The boundary between the two stems from the fact that narratology's notion of discourse is mainly structural, an aspect that is often taken for granted by stylisticians when investigating choices of language. In contrast, narratologists often focus their attention on structural relations and techniques, very much neglecting different ways of using language. This boundary is partly due to the contrastive approaches of narratology and stylistics to literary analysis, as well as their different connections to linguistics. Shen's discussion aims at showing that "narratological features and stylistic features interact and reinforce each other, and it is necessary to see their interaction" (146) in order to gain a fuller understanding of a literary work. Shen has also systematically investigated interdisciplinary attempts in the stylistic field and published "How Stylisticians Draw on Narratology: Approaches, Advantages, and Disadvantages" in *Style* (2005).

Shen's first book in Chinese was published in a period when the field of foreign literary studies in China was eager to absorb Western academic achievements in aesthetic and other kinds of literary studies. Significantly, Shen's book differs from many other books published at that time aimed at introducing Western theory and methodology since it is marked by Shen's keen critical insight and innovative thinking. Apart from its pioneering attempt at systematically revealing the complementary relation between narratology and stylistics, the book displays Shen's superb abilities: (1) to draw distinctions about various aspects of narrative through lucid discussion of examples; (2) to reveal the essence of various key theoretical concepts and important relations; (3) to clear up theoretical confusion and point out relevant partiality and limitations in Western theory; (4) to make up for the deficiencies in existing studies with ample exemplification from both Western

and Chinese fiction; (5) to bring to light the peculiarities of speech presentation in Chinese prose fiction and offering her own classification of Chinese blend modes.

Shen's distinctive way of investigating Western theory with her admirable intellect has enabled her to contribute to theoretical discussions in prestigious Western journals and volumes. I have already mentioned how her exploration of the relation between narratology and stylistics in this book fed into her chapter in *A Companion to Narrative Theory*, actually with Shen as the only non-Western contributor. To take, for another example, Chapter 1 of Shen's first book in Chinese that discusses the distinction and relation between story and discourse. Shen first outlines the historical development of the story-discourse distinction, highlighting its validity while pointing out the limitations of Western tripartite classifications of narrative structure. Then, she extensively examines instances where the boundary between story and discourse becomes blurred and so there is no point distinguishing the two. This chapter paved the way for her further discussion in "Defense and Challenge: Reflections on the Relation Between Story and Discourse" published in *Narrative* (2002). In this article, Shen refutes existing subversive challenges to the distinction and offers her own non-deconstructive challenges in terms of "(1) narrated speech; (2) character's perception when used as the "angle of vision" by the narrator; and (3) certain homodiegetic narration." She argues that, when a character's voice or consciousness becomes narrativized and temporarily elevated to the level of discourse, various distortions of fictional reality may occur. Likewise, when a character's perception/focalization takes on a dual nature, it blurs the distinction between story and discourse. Furthermore, in instances of homodiegetic narration when the I's narratorial function and character function converge, the distinction also dissolves. In her subsequent article "What Do Temporal Antinomies Do to the Story-Discourse Distinction?" Shen addresses the issue of "mimesis" and explores various situations that extend beyond the framework of classical narratology. As a result of her astute exploration of the issue, Shen was invited to contribute a one-thousand-word entry "Story-Discourse Distinction" to the *Routledge Encyclopedia of Narrative Theory* (2005).

In her first book in Chinese, Shen has also devoted a chapter to the discussion of focalization, part of which has formed the basis of her two articles: "Breaking Conventional Barriers: Transgressions of Modes of Focalization" in *New Perspectives on Narrative Perspective* and "Difference Behind Similarity: Focalization in Third-Person Center of Consciousness and First-Person Retrospective Narration" in *Acts of Narrative*. The very titles of these articles indicate Shen's theoretical acumen and innovativeness. She points out that the boundaries among different modes

of focalization are not natural but conventional, and therefore authors can easily transgress relevant boundaries for various thematic and aesthetic purposes. While contemporary narrative theorists focus on the similarity in focalization between third-person center of consciousness and first-person retrospective narration, to the point of equating the two, Shen goes in the opposite direction and reveals various differences between the two modes of focalization in terms of rhetorical and aesthetic effects. These discussions shed fresh light on the relevant issues and enable us to gain a clearer and fuller picture. This book has also benefited from Shen's publications in the West. Chapter 6, for instance, has drawn on her "Stylistics, Objectivity, and Convention" published in *Poetics* in 1988. Whether it is a matter of her discussion in China feeding into her publication in the West, or wise versa, it is characterized by the gradual and systematic expansion and refinement of her theoretical inquiry.

Due to its profound academic insights and valuable guidance for researchers, the book received immediate recognition and acclaim from the academic community in China, establishing itself as the most influential monographs in the field of narrative studies over the past four decades. Since its publication, it has been cited by more than 2500 journal articles. Not surprisingly, the fourth edition of the book was selected in 2021 as one receiving "The Chinese Academic Translation Project of the National Social Science Fund," and, since then, Shen has been translating an abridged and updated version of this book, which is forthcoming from Routledge[1]. Part of her updating of the discussion of focalization in the book, titled "Narratology, Stylistics, and Point of View: Partiality, Complementarity, and a New Definition," has appeared as a leading essay in the winter, 2023 issue of *Style*.

2. Shen's Contribution to Postclassical Narratological Theory

While Shen's first book in Chinese in 1998 focuses on the relation between narrative poetics, which was at that time still classical narratology[2], and stylistics, her second book in Chinese, *A Study of Anglo-American Narrative Theory* quickly follows the latest trend in postclassical narratologies and showcases her study in this area. Indeed, Shen has played a leading role in introducing postclassical narratologies into China, having published numerous articles explicating rhetorical narratology, feminist narratology, cognitive narratology, and the deconstructive "ananarratology," as well as having edited a seminal series of English-into-Chinese translation of

1   See Dan Shen, *Discourse and Style: What Narratology and Stylistics Can Do for Each Other*, London: Routledge, forthcoming.

2   David Herman first proposed the notion of postclassical narratology in 1997.

books on postclassical narratologies[1]. In her co-authored second book in Chinese[2], Shen is the sole author of the latter half on "Postclassical Narratologies." Shen claims herself to be primarily a rhetorical narratologist and has paid more attention to this approach, which therefore calls for a separate article for discussion.[3]

As for feminist narratology, in this book Shen has analyzed systematically the differences between feminist narratology and feminist criticism, and revealed the hidden complementary relation between feminist narratology and classical narrative poetics, which fed into her articles "Why Contextual and Formal Narratologies Need Each Other" (2005) and "'Contextualized Poetics' and Contextualized Rhetoric" in *Emerging Vectors of Narratology* (2017). Shen is also a feminist narratologist herself, with a series of articles uncovering feminist undercurrents that protest against patriarchal oppression (see below). However, being open-minded and very perceptive, she has also brought to light the fact that Kate Chopin's "The Story of an Hour" is in effect not a feminist text ("Non-Ironic"), in contradistinction to critical consensus both in China and in the West.

In terms of cognitive narratology, Shen's discussion in this book has also fed into the two articles just mentioned respectively appearing in *JNT: Journal of Narrative Theory* and *Emerging Vectors of Narratology*. Shen has clarified the picture by distinguishing between generic cognitive context and sociohistorical context, as well as between generic readers and individual readers in cognitive investigations. Moreover, Shen has revealed the complementary rather than mutually exclusive relation among three kinds of narratological approaches: (1) the decontextualized investigation of generic textual structures; (2) the investigation of hypothetical generic reader's understanding of narrative, and (3) the empirical study of actual readers' cognitive processes. What is more, her shrewd examination of Monika Fludernik's cognitive narratological investigation paved the way for her discussion in "Two Conceptions of Experientiality and Narrativity."

As for the deconstructive ananarratoloy as represented by J. Hillis Miller, Shen insightfully reveals the hidden complementary relation between Miller's ananarratological approach and narratological approach in critical practice. Shen's discussion in this book echoes her "Broadening the Horizon: On J. Hillis Miller's Ananarratology" in *Provocations to Reading*.

Shen has also addressed unnatural narrative theory. In "What are Unnatural

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1   Peking University Press, 2002-2011.

2   Winner of two prestigious national book prizes.

3   See Wang's article in this issue focusing on Shen's contribution to rhetorical narratology in the West.

Narratives? What are Unnatural Elements?" (2016) Shen clarifies the picture by revealing the essential difference between the "unnatural" in Shakespeare's plays/realist fiction and postmodernist fiction and by classifying different kinds of unnatural elements that do not break the mimetic illusion of the whole work. Unnatural narrative theory is defined by Brian Richardson as "the theory of fictional narratives [whole texts] that defy the conventions of nonfictional narratives and fiction that closely resembles nonfiction" (385). Shen points out that this theoretical concern with whole texts is shared by "unnatural narrative theory," "unnatural narratology," and "poetics of unnatural narrative," but, in practice, scholars in this field often deal with unnatural textual elements in works that maintain the mimetic illusion. In order to get rid of this inconsistency, Shen proposes a clearer new definition: "*Unnatural narrative theory is the theory of fictional narratives and fictional elements (in generally mimetic texts) that defy nonfictional and mimetic conventions*" (486)[1].

Shen has altogether published nine books (seven being single-authored), two collections of essays, and more than one hundred articles in the areas of classical narrative poetics, post-classical narratologies, fictional stylistics, literary theory, and translation studies in major Chinese and Western journals. Whether in China or in the West, Shen has played a leading role in revealing and clarifying the essence of relevant key theoretical concepts, important models, or relations in narrative studies. What is more, Shen has also put forward various new theoretical concepts and models, such as "context-determined irony" (Shen, "Non-ironic"), "overall-extended close reading" (Shen, "Overall-Extended"), the association between unreliability and characterization (Shen, "Unreliability and Characterization), the distorting function of the linguistic medium in realistic fiction (Shen, "Distorting Medium"), and "deceptive equivalence" or "deceptive correspondence" in fictional translation (Shen, *Literary*; Shen and Fang "Stylistics").

3. Shen's Contribution to Narrative Criticism through
Discovering Covert Progression

Before 2005, Shen's books and articles are primarily theoretical in orientation, including both classical narrative poetics and postclassical narratologies, aimed at introducing, clarifying, and developing theoretical topics and issues. Since 2005, however, she has been increasingly engaged in narrative criticism with an interdisciplinary narratological-stylistic approach that is characterized by the uncovering of deep or hidden meanings in classic narratives, most of which enjoy a publication history of more than one hundred years. Thus, Shen's interpretations

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1   The original quotation is italics.

challenge or subvert those of generations of critics. It is in this period that Shen gradually identified the shortcomings of existing approaches in the fields of literary, narratological, and stylistic criticism of narrative texts that invariably focus on the plot development, to the neglect of what she designates "covert progression" existing in many literary narratives. The term "covert progression," coined by a Chinese scholar, has gained international acceptance and influence. Shen's provocative and subversive interpretations of Western classic narratives have proved successful, accepted for publication in prestigious Western journals such as *Style*, *Nineteenth-Century Literature*, *Poetics Today*, *Journal of Literary Semantics*, *English Studies*, and *JNT: Journal of Narrative Theory*.

Shen's discovery of "covert progression" was not a sudden revelation but rather an explorative process of many years. The success of Shen's unearthing deeper or hidden meanings in classic narratives may be accounted for by the following factors: (1) her distinguished mastery of relevant literary, narrative, and stylistic theories and her strong ability in applying theories to critical practice; (2) her continuous efforts to search for and establish effective analytic models that facilitate the analysis; (3) her interdisciplinary approach; (4) her penetrating insight and ingenious analytical skills, able to probe into the subtle nuances of textual details, especially those that may appear trivial or irrelevant to the plot development.

The hidden meanings Shen discovered in literary texts were respectively concerned first with "subtext" and then "covert progression," which finally developed into "dual narrative progression."[1] While these terms share a common emphasis on the underlying or concealed meanings in literary texts, their differentiation signifies Shen's shift in critical focus and marks the step-by-step development of her theory. Prior to 2012, Shen seemed to adhere to conventional practice and was only concerned with the plot-based narrative progression in her pursuit of underlying meanings, a pursuit she referred to as the exploration of "subtext." At this stage, due to the constraints of traditional plot-oriented analysis, she often adopted an either-or stance, tending to dismiss previous interpretations when finding the subtext presenting contrastive or subversive meaning. If she took the surface meaning into account, she also tried to bring the deeper meanings onto the track of the plot development together with the surface meaning. Later on, when she was analyzing Mansfield's "The Fly," she found that, if one could break free of the conventional hermeneutic framework that is limited to the plot-based single narrative movement, one may perceive another narrative movement in which textual details that appear irrelevant or digressive to the plot may become organized and meaningful, taking on important thematic functions.

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1 To be discussed in the next section.

This additional narrative movement is what she designates "covert progression."[1]

Shen has contributed over twenty articles to the discussion of covert progression (since 2006) and dual narrative dynamics (since 2015). Her theorizing and critical efforts culminate in one book in Chinese on dual narrative dynamics, published by Peking University Press in 2021, and two books in English successively published by Routledge: one in 2014 (on covert progression) and the other in 2023 (on dual narrative dynamics). Although the book in Chinese has been highly influential in China, considering the lack of availability of the book to English-speaking readers, the present study will focus on the two books in English published in the West. The first is titled *Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots* (reprinted in paperback in 2016). The book, as stated on the beginning page, "shows that to miss the covert progression is to get only a partial or false picture of the thematics, the characters, and the aesthetic values of the narrative" (i). It also reiterates the importance of stylistic analysis for the investigation of covert progression, evident in the repeated use of "style" as the initial word in all the chapter titles. The book discusses covert progressions in the works of Edgar Allan Poe, Stephen Crane, Kate Chopin, and Katherine Mansfield. As Porter H. Abbott lauds in his book review, it is "a shining example for 21st-century narrative theory in the forceful and comprehensive way it insists on binding the craft of interpretation to the craft of fiction" (560). Abbott's commendation of Shen's work highlights her dedication to unearthing hidden meanings, often overlooked even by capable and experienced critics because "their interpretive equipment won't allow them to see" these meanings in another narrative movement as distinct from the plot development (560). By ingeniously analyzing the carefully-chosen exemplar texts, Shen persuasively demonstrates the presence of covert progression, and, in some cases, multiple covert progressions, which form a contrastive, complementary, or subversive relation to the overt plot-based progression. She reveals (1) two covert progressions, one main and the other subsidiary, in Poe's "The Tell-Tale Heart," each of which forms an overall dramatic irony and implicitly conveys a moral; (2) a covert progression in Crane's "An Episode of War," which renders war devoid of meaning and satirizes romanticized notions of heroism; (3) a subversive racist covert progression behind an anti-racist overt progression in Chopin's "Désirée's Baby"; (4) a covert progression in Mansfield's "Revelations" directing irony at the patriarchal society's subjugation of an upper-middle-class woman or upper-middle-class women in general behind an overt plot directing irony at the woman herself; (5) a covert progression in Mansfield's "The Singing Lesson"

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1   See Dan Shen, "Covert Progression, Language and Context," *Rethinking Language, Text and Context*, edited by Beatrix Busse Ruth Page and Nina Nørgaard, London: Routledge, 2019, 17-28.

with deep sympathy for a singing teacher ensnared in a male-dominated culture behind an overt plot with scathing satire against her own emotional instability; (6) an ironic covert progression in Mansfield's "The Fly" that exposes the boss's vanity and self-importance behind a non-ironic plot development centering on big issues such as war and death. What enabled Shen to make such discoveries partly lies in her interdisciplinary combination of stylistic and narratological approaches to literature. Shen's analysis demonstrates that, to attain a more comprehensive understanding of a text's meaning, one must engage in rhetorical readings supported by stylistic analysis, while also considering relevant biographical, intertextual, and social contexts. This is exemplified by Shen's taking into account the "insanity debate" in American history when analyzing "The Tell-Tale Heart," and her exploration of variations in the author's attitude across his or her different works in discussing "Revelations" and "Désirée's Baby."

4. Going beyond Covert Progression to Dual Narrative Dynamics

However, before 2015, Shen still more or less neglected the joint functioning of the covert progression and the plot-based overt progression. This deficiency was made up since 2015 when she started to elucidate the interplay between plot development and covert progression. This approach allows for a more balanced and more comprehensive interpretation of literary narratives, and goes beyond her previously discussed covert progression towards a fuller exploration of the two types of narrative progressions. It is during this phase that she has frequently employed the term "dual" to characterize the previously-neglected important phenomenon, as seen in articles such as "Dual Textual Dynamics and Dual Readerly Dynamics" (2015), "Joint Functioning of Two Parallel Trajectories of Signification" (2017), "Dual Narrative Progression and Dual Ethics" (2018), "Dual Narrative Progression as Dual Authorial Communication: Extending the Rhetorical Model" (2018), "Fictionality as a Rhetorical Resource for Dual Narrative Progression" (2019), "Focalization, Dual Progression, and Twofold Irony" (2022). The shift from the focus on covert progression to a broader concern with dual narrative progression signifies the maturement of her theory.

In her 2015 article "Joint Functioning of Two Parallel Trajectories of Signification: Ambrose Bierce's 'A Horseman in the Sky'," Shen explores how the same words simultaneously take on two incompatible meanings in the plot development and the covert progression. This narrative has been regarded by many critics as concentrating on criticizing the cruelty of war, which has caused the tragedy of patricide, but Shen uncovers a covert progression that at once contradicts

and complements the plot development. In this undercurrent, not only the soldier's carrying out his duty by killing his father is justified but also both the father's and the son's taking duty to be of primary importance is glorified. The conflicting, conditioning, and complementing relation between the two narrative movements invites complicated reactions from readers.

This broadening of perspective to the joint functioning of more than one narrative movement has enabled Shen to offer a new theoretical perspective on literary signification. In her article "Same Words Generating Dual or Multiple Meanings in Different Narrative Movements: An Overlooked Aspect of Literary Signification," Shen argues that the overt and covert progressions "constitute different trajectories of signification, in which words tend to take on dual or even multiple literary, implied, or symbolic meanings" (721). Shen challenges the shared interpretive assumption in the fields of literary criticism, narratology, stylistics, and translation studies that the meaning of words is generated *in a text* and argues that since different narrative movements in the same text call into being different meanings of the same words, in a text with more than one narrative movement, *meaning is actually generated in a given narrative movement as a particular trajectory of signification*. This article, with examples taken from different narratives, convincingly shows that the same words can yield dual or even multiple meanings in different narrative progressions of the same text, a literary phenomenon that has hitherto been neglected both in China and in the West.

Moreover, Shen's investigation of parallel narrative movements in the same text has provided a new way of dealing with critical controversy. Franz Kafka's famous short story "The Judgement" has aroused fierce critical debates and the text is regarded as being enigmatic. Previous interpretations tend to concentrate on the plot's depiction of conflicts between the father and the son, taking either the father or the son as the victimizer, treating either the former as being tyrannical or the latter as being self-centered. Shen, however, discovers a covert progression that portrays both the father and the son in the same boat as pitiable victims of societal pressures ("Hidden Conflicts"). With the discovery of the covert progression, various textual elements that appear illogical or conflicting in terms of the plot development will fall into place and the picture will turn from an enigmatic one to a clear one with two mutually conflicting, conditioning, and complementary narrative movements, each moving along its logical and coherent trajectory of signification.[1]

In her article "Dual Narrative Dynamics: Different Kinds of Interaction and

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1   See Dan Shen, "Covert Progression, Language and Context," *Rethinking Language, Text and Context*, edited by Ruth Page, Beatrix Busse and Nina Nørgaard, London: Routledge, 2019, 17-28.

Reasons for their Eluding Attention," Shen conducts a thorough and systematic investigation into the various types of relationships between covert and overt narrative progressions. She categorizes these relationships into two types: complementary and subversive. The complementary category encompass several distinct sub-types, including: (1) different conflicts depicted in two parallel progressions (as in Kafka's "The Judgement"), (2) portrayal of different images of the same character in two parallel narrative movements (as in Katherine Mansfield's "Life of Ma Parker," in which Ma Parker is depicted as a deplorable and pitiable working-class woman inviting sympathy in the plot development and, by contrast, in the covert progression as a person embodying traditionally-conceived strong male attributes like perseverance, self-restraint, and open-mindedness, assuming the role of the family's pillar, thus inviting reader's respect and even admiration), (3) two parallel narrative movements, one with and the other without symbolic meaning (as in Mansfield's "The Fly," where the plot development is rich in symbolic meaning whereas the covert progression is non-symbolic), (4) a satirical covert progression paralleling a non-satirical plot development (as in Stephen Crane's "An Episode of War," where the plot development appears to be a non-ironically realistic or naturalistic depiction of war, but the covert progression directs scathing satire against war and traditional notions of heroism), (5) parallel progressions with differing moral implications (as in Bierce's "A Horseman in the Sky," where the plot development criticizes the cruelty of war while the covert progression extols the son's dutiful actions), (6) parallel progressions with contrastive ironies (as in Mansfield's "Revelations"), (7) mutually conflicting triple narrative progressions with distinct directions (as in Chopin's "A Pair of Silk Stockings"), (8) the triple parallel narrative progressions in the same general direction, though each with a different thematic concern (as in Poe's "The Tell-Tale Heart").

As for the subversive kind of relationship between the covert progression and the plot development, there are at least two distinct sub-types: (1) socially acceptable plot development and socially unacceptable covert progression (as in Chopin's "Désirée's Baby" (1893) where the real thematic meaning affirming racist prejudice can hardly be accepted by social morals at the time of publication and therefore has to be hidden in the covert progression behind an anti-racist plot development), (2) contrasting character relationships in different progressions (as in Mansfield's "Psychology," where the female protagonist projects her passionate unrequited love on the male protagonist, forming a contrast with the plot development where they secretly love each other). As Shen explains, the reason why these hidden narrative dynamics have been neglected for a long time, sometimes even more than a hundred years, can be primarily attributed to the Aristotelian tradition that confines narrative

dynamics to the plot-based progression, thereby impeding the perception of different thematic meanings, character images, and techniques that pertain to another narrative movement (97).

Following the publication of this pivotal article on the taxonomy of covert progression and given the term's widespread acclaim among literary scholars, Shen received an invitation from *Foreign Literature*, one of China's esteemed literary criticism journals, to contribute an explanatory article on "covert progression" to the journal's "Keywords in Western Critical Theory" column. This article, published in 2019, significantly bolstered the term's influence. Shen further elaborated on the term's significance and application potential to Chinese scholars and published "Different Trajectories of Signification and Transformation of Stylistic Models" in *Foreign Language Teaching and Research*, the top journal in linguistics and stylistics in China. Shen advocates for a transformation of stylistic models by getting rid of the long-term confinement to only one textual trajectory of signification and by investigating linguistic techniques along different trajectories of signification as constituted by overt and covert narrative movements, so as to gain a fuller and more accurate understanding of the relevant texts.

Apart from extending her theory of dual narrative dynamics to the field of stylistics, Shen has also pointed out the application potential of the theory in translation studies. In her article "What Challenge Does Covert Progress Pose to Translation? And How to Meet This Challenge?" published in *Foreign Languages Research* in 2015, Shen builds upon her concept of covert progression and argues that covert progression in many narratives carries distinct thematic significance and character portrayals, aspects that have so far been overlooked by literary critics and translators alike. As a result, a translation that effectively captures the plot development may fall short in conveying the covert progression. Consequently, Shen asserts that translators, like literary critics, should liberate themselves from the long-standing critical tradition that concentrates on the plot development. Translators should consciously search for the possible existence of covert progression in the source text and ensure that the relevant textual elements serving both progressions are effectively conveyed into the target text. Moreover, Shen argues that, in terms of translation theory and criticism, the existence of dual narrative dynamics calls for extending and transforming the criteria of translation in order to account for the success and failure in translating both narrative movements. In this article, Shen systematically offers strategies and methods for rendering satisfactorily both dynamics in fictional translation.

Additionally, alongside the publication of numerous articles in China, Shen

has extensively published in the West at the same time, explicating her model of dual narrative dynamics and applying her theory to various works. The warm international reception of Shen's theory is evident in the inclusion of "covert progression" in the glossary of narratological concepts that are widely circulated in the international research community at the French website RéNaF.[1] Shen was invited to give a keynote speech titled "How Dual Narrative Movement Can Metamorphose or Extend Narratology" at the Fifth Biannual European Narratology Network Conference (2017), where she delivered an extended presentation lasting sixty minutes, which was well received and aroused heated discussion in the ensuing twenty-minute Q&A session.

The most notable indication of the significance of this theory by Shen is the special issue of *Style* in 2021, which is devoted to the discussion of her theory and which is the seventh of this kind of special issue in the history of the journal. It begins with Shen's target essay "'Covert Progression' and Dual Narrative Dynamics," followed by sixteen 2000-word responses[2] that offer their considered opinions, as well as a rejoinder by Shen. In the target essay, Shen expounds her theory in a systematic and concise way. The responses from other scholars appreciate the insightfulness of Shen's theory and its remarkable potential in helping yield new interpretations, with some of them applying Shen's theory to the analysis of drama, short stories, novel, fairy-tale, and comics. They also discuss provocations and questions dual progression theory has raised and offer their challenges. In her 39-page rejoinder, Shen addresses the challenges presented by the responses, provide clarification regarding relevant misinterpretations of her theory, and discuss the application of the theory to different genres and media.

Shen's second monograph from Routledge, *Dual Narrative Dynamics* (2023), epitomizes her investigation in this aspect. The monograph is divided into two parts. Part I comprises theoretical discussions that begin by differentiating covert progression from previously explored deeper or ironic meanings, the latter still operating within the realm of the plot while the former being a separate narrative movement paralleling the plot development. It then delves into the reasons underlying previous neglect of covert progression and dual narrative dynamics, and offers strategies for uncovering this significant phenomenon in many literary narratives. This paves the way for Shen's discussion of how dual narrative dynamics

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1   See Dan Shen, "Progression cachée / Covert Progression," translated by Raphaël Baroni. Glossaire du RéNaF, Dec. 2019. 2 March 2024 <https://wp.unil.ch/narratologie/2019/12/progression-cachee-covert-progression/>.

2   By fourteen Western scholars and two Chinese scholars.

can extend and transform respectively narratology, stylistics, and translation. As regards narratology, Shen explicates systematically how dual narrative dynamics calls for the doubling of narratological models, such as a dual model of authorial communication, a dual model of event structure, a dual model of unreliability, a dual model of focalization, and on a higher and more general level, a dual model of story and discourse.

Part Two of the book is devoted to the application of the theory to the analysis of specific works, including "A Pair of Silk Stockings," "A Horseman in the Sky," "The Judgment," "Psychology," "A Dill Pickle," and "Life of Ma Parker." This book has gone a step beyond its sister book coming out earlier from Routledge in that it devotes Part I to theoretical discussion whereas the body of the earlier book is only concerned with practical analysis, and, moreover, it pays continuous attention to the interplay or joint functioning of plot development and covert progression in critical practice, which is very much neglected in the earlier book.

Not surprisingly, Shen's originating and comprehensive development of the theory of covert progression and dual narrative progression has substantially reshaped scholars' perspectives on narrative dynamics, previously characterized by the confinement to the dynamics of the plot development. There have already appeared nearly one hundred and fifty articles in Chinese journals discussing her theory or applying her theory to the analysis of two or more parallel narrative movements in short stories, novels, films, drama, and television series.

Shen has won numerous book prizes and research awards in the field of narrative studies, and since 2014, because of her influential publication in the West, she has been continuously on the Elsevier annual list of the Most Cited Chinese Researchers and she is on Stanford List of World's Top 2% Scientists 2022. However, it is neither possible nor necessary to enumerate all of Shen's achievements and recognitions. But it is worth mentioning that in China, Shen's work has proven to be beneficial and inspiring for numerous Chinese scholars, motivating them to adopt a more rigorous and innovative approach to literary research. In Europe and North America, Shen has remained the best known and most influential non-Western narrative theorist since the beginning of this century, which has also constituted a significant source of inspiration for younger generations of Chinese scholars.

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创新理论，转变范式：申丹的修辞叙事研究
Shifting the Paradigm with Theoretical Innovation: SHEN Dan's Rhetorical Narrative Study

王丽亚（**Wang Liya**）

内容摘要：申丹教授是当代中国最重要和最具影响的人文学者之一，也是国际叙事学界的著名学者，尤其是在修辞叙事研究方面做出了重要贡献。申丹的原创性理论建树突破了叙事理论界囿于亚里士多德诗学的批评传统，其修辞叙事研究主要有以下几方面的贡献：（1）倡导将叙事学研究与文体学研究相结合，创建跨学科的结构－文体修辞叙事分析新方法；（2）寻绎历史语境在修辞叙事研究中的理论潜能，并重视互文比较，提出文内－文外－文间"整体细读"的研究模式；（3）首创"隐性进程"概念，揭示情节背后独立运行的"叙事暗流"；（4）开创"双重叙事动力"理论，揭示情节发展与隐性进程在相互对照、相互冲突关系中的共同作用与修辞效果。

关键词：申丹；修辞叙事学；结构－文体跨学科研究；整体细读；隐性进程；双重叙事动力

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Title: Shifting the Paradigm with Theoretical Innovation: SHEN Dan's Rhetorical Narrative Study

Abstract: SHEN Dan stands as one of the most significant and influential scholars in the humanities in contemporary China. She is also a famous scholar in the international academia of narrative studies, with significant contributions to rhetorical narratology in particular. Her theoretical innovation in rhetorical narratology extends beyond the Aristotelian tradition. Her main contributions in this field are the following: (1) championing the notion of "comprehensive structure-style analysis" by taking an interdisciplinary approach; (2) proposing an integrated model of intratextual-extratextual-intertextual "overall-extended close reading" through taking into consideration sociohistorical context and extending attention to intertextual comparison; (3) putting forward the concept of "covert progression," revealing the undercurrent paralleling the plot development; (4) pioneering the exploration of dual

narrative dynamics and revealing the joint functioning of plot development and covert progression which contrast or conflict with each other.

Keywords: SHEN Dan; rhetorical narratology; structure-style interdisciplinary study; overall-extended close reading; covert progression; dual narrative dynamics

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当代修辞叙事学（rhetorical narratology）是后经典叙事学的三大主流分支之一。它兴起于 20 世纪 90 年代美国叙事学界，属于芝加哥学派的第三代，深受亚里士多德诗学传统影响，注重情节对作品完整性的统领作用。这一学派主张通过分析作品的修辞策略探究作者、文本、读者三者之间的互动关系，以期全面揭示叙事运作基本规律。其领军人物费伦（James Phelan）2015 年在总结最新成果时认为，芝加哥学派第四代已经形成，申丹是重要代表之一。[1] 申丹在修辞叙事研究领域的成就出类拔萃，具有广泛的国际影响。2021 年春，国际顶级期刊《文体》（*Style*）以她的 "'隐性进程'与双重叙事动力"（"'Covert Progression' and Dual Narrative Dynamics"）为 "目标论文"，邀请九个国家的十六位学者撰写文章，专门讨论由她首创的超越亚里士多德研究传统的 "隐性进程"（covert progression）和 "双重叙事动力"（dual narrative dynamics）理论，足见这一理论意义重大。无论是申丹对于隐性进程的挖掘，还是其对双重叙事进程之互动的探究，都得益于她一直倡导的将叙事学与文体学相结合的跨学科研究和文内－文外－文间 "整体细读" 的分析模式。

申丹主要研究叙事学，但也精通文体学、文学翻译学、语言学、文学阐释学。跨学科的知识体系，独立的学术品格，严谨缜密的逻辑思辨，孕育了原创的理论思想。她的修辞叙事研究内涵极其丰富，限于篇幅，本文选取以下四个方面简要加以评述。鉴于中文读者了解申丹在国内的发表，本文着重介绍她在国际上发表的部分英文著述，概述理论要点，略说方法要领。

一、引入文体分析，创建结构－文体跨学科研究方法

2011 年，申丹在《文体》期刊上发表 "新亚里士多德修辞性叙事研究：需要考虑文体、历史语境和文间比较"，揭示新亚里士多德修辞批评存在的两个问题：轻视语言技巧，忽视历史语境。[2] 申丹指出，这实际上是修辞叙事理论的两种 "自我设限"；她倡导，修辞叙事研究应当摆脱 "自我禁锢"，将

1　参见 James Phelan, "The Chicago School: From Neo-Aristotelian Poetics to the Rhetorical Theory of Narrative," *Theoretical Schools and Circles in the Twentieth-Century Humanities*, edited by Marina Crishakova and Silvi Salupere, New York: Routledge, 2015, 133-151.

2　参见 Dan Shen, "Neo-Aristotelian Rhetorical Narrative Study: Need for Integrating Style, Context and Intertext," *Style* 4 (2011): 576-597.

语言文体和历史语境纳入研究范围，成为一种更好的阐释方法。[1] 这一立场对于拓展修辞叙事研究具有深远意义。鉴于两个观点各自的重要性，以下分两节加以介绍。

　　叙事作品的表达层包含结构技巧和语言技巧，前者为连接各部分的宏观框架，后者指遣词造句。就展现的介质而言，语言是作品的存在方式。申丹指出，芝加哥学派的第一代排斥对语言技巧的关注，这一方面是因为承继了亚里士多德将语言文体视为从属于结构关系的研究传统，另一方面则是因为该学派与当时兴起的新批评派相互争斗和相互排斥。两者都以文本为中心，但新批评派聚焦于语言技巧，芝加哥学派则仅关注情节结构和人物塑造。这种对文字技巧的排斥延续到了第二、三代芝加哥学派：尽管从"文本诗学"转向了探究叙事交流机制，但依然在很大程度上忽略或轻视文体选择。申丹强调，修辞叙事学探究作者如何通过文本策略与读者展开交流的机制，而篇章结构和文字技巧均为文本策略，若重视章法结构，忽视遣词造句，显然失之偏颇。申丹提出，结构安排与语言技巧一体两面，共同构成文本形式层面的修辞力量，因此，修辞叙事研究应当采取"结构－文体综合分析"方法（comprehensive structure-style analysis），以更好地把握隐含作者在文中建立的叙事规范。[2]

　　结构与文体并举，这一立场贯穿于申丹的修辞叙事理论与阐释实践。在专著《叙述学与小说文体学研究》中，她详细阐述了叙事学与文体学之间的相关性与差异点。她指出，文体学将作品分为"内容"和"文体"，从表面上看，这一区分近似于叙事学的"故事"和"话语"之分，给人以"文体即话语"的印象；然而，细研两个概念所指可以发现，"话语"强调对事件的结构安排，"文体"关注的则是运用语言的具体方式。即便在二者共同关注的视角（视点）和人物话语表达方式等范畴，依然存在差异。她强调，正是因为这种实际差异，二者之间具有很强的互补性。2005 年，申丹在国际叙事学界权威参考书《叙事理论指南》（*A Companion to Narrative Theory*）中专章论述叙事学与文体学何以互补这一议题，深入辨析"文体"与"话语"的差异（"What Narratology and Stylistics"）。她指出，这两个概念的不同所指源于叙事学和文体学对"诗学"的不同理解：叙事学关注叙事作品，把谋篇布局看作叙事文区别于诗歌的文类特征；文体学同样关注叙事作品，但聚焦于作品中的诗性语言。此外，虽然叙事学和文体学都取法于现代语言学，但是，叙事学所谓的语言学模式只是象征运用，文体学则不然。[3] 从叙事作品的构成来

1　参见 Dan Shen, "Neo-Aristotelian Rhetorical Narrative Study: Need for Integrating Style, Context and Intertext," *Style* 4 (2011): 591.

2　参见 Dan Shen, "Neo-Aristotelian Rhetorical Narrative Study: Need for Integrating Style, Context and Intertext," *Style* 4 (2011): 580.

3　参见 Dan Shen, "What Narratology and Stylistics Can Do for Each Other." *A Companion to Narrative Theory*, edited by James Phelan and Peter Rabinowitz. Oxford: Blackwell, 2005, 136-149, 136-140.

看，她强调指出，谋篇布局（叙事学的"话语"）与遣词造句（文体学的"文体"）都是文本的形式表达，倘若顾此失彼，对作品的阐释势必失之偏颇，无法全面揭示"故事如何得到展现"（Shen, "What Narratology and Stylistics" 142）。

需要重视的是，将文体学用于叙事分析，绝非简单地将文体学平移至叙事研究，而是仔细考察文字技巧在叙事进程中产生的意义。申丹特别强调，在修辞叙事分析时细研语言技巧，可以看到文体意义并非来自所在的局部语境，而是生成于叙事进程，在持续前行的进程中显现意义，这在含有隐性进程和双重叙事进程的作品中尤为重要（详见下文）。很多时候，同样的文字在不同叙事进程中产生不同甚至相反的意义。[1] 至于不同意义之间的轻重关系，往往取决于所在进程在作品中的主次、显隐关系。[2] 这些观点对文体学研究提出了挑战，对于修辞叙事研究和文学批评具有重要的实践指导意义：当我们重新重视叙事作品的语言艺术时，我们除了关注文字技巧在文本局部的象征意义与上下文意义，还要辨析语言选择在进程中产生的意义与过程；即便作品并无双重进程，这一原则同样适用。

二、寻绎理论的语境化潜能，倡导文内 – 文外 – 文间"整体细读"

就上一节提到的修辞叙事研究看待历史语境的认识局限而言，申丹追根溯源，指出芝加哥学派之所以兴起于 20 世纪 30 年代，主要在于研究者不满当时批评界片面重视历史语境的做法，转而坚持亚里士多德将文学作品视为"摹仿"的传统，主张以文本为关注对象，将人物视为艺术的产物。以布思 Wayne C. Booth 为代表的第二代芝加哥学派则处于 20 世纪中叶形式主义盛行时期，因此即便从文本诗学转向了作者 – 文本 – 读者之间的修辞交流，但依然排斥对创作和阐释语境的考虑。值得重视的是，布思提出了暗含历史语境意义的"隐含作者"这一核心概念，但在当时学术氛围下迫于压力，将其伪装成了囿于文本的概念。这一立场影响了芝加哥学派第三代看待历史语境与修辞关系的认识。[3]

申丹指出，历史语境，特别是创作语境，原本为修辞叙事研究所需要，属于其内在要求，但这一点由于历史原因一直被遮掩。[4] 发掘修辞叙事研究的语境潜能，将语境引入对文体 – 结构的细致分析，同时对不同文本进行比较研

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1   参见 Dan Shen, "Joint Functioning of Two Parallel Trajectories of Signification," *Style* 2 (2017): 125-145; Dan Shen, "Dual Narrative Progression as Dual Authorial Communication: Extending the Rhetorical Model," *Style* 1-2 (2018): 61-66.

2   参见 Dan Shen, *Dual Narrative Dynamics.* London and New York: Routledge, 2023, 5-7.

3   参见 Dan Shen, "Neo-Aristotelian Rhetorical Narrative Study: Need for Integrating Style, Context and Intertext," *Style* 4 (2011): 576-597; Dan Shen, "What Narratology and Stylistics Can Do for Each Other," *A Companion to Narrative Theory*, edited by James Phelan and Peter Rabinowitz, Oxford: Blackwell, 2005, 136-149.

4   参见 Dan Shen, "Implied Author, Authorial Audience, and Context: Form and History in Neo-Aristotelian Rhetorical Theory," *Narrative* 2 (2013): 140-158, 154.

究，对作品进行"整体细读"（overall-extended close reading），这是申丹又一项开创性的工作。

"整体细读"方法的要领在于"细读"和"整体"。与新批评提倡的"细读"形成对照，申丹倡导的"细读"包括两个要点：其一，关注遣词造句，同时重视叙事策略；其二，在"细读"（《叙事、文体与潜文本》12）局部成分时仔细考察该成分在作品全局中的作用。"整体"涵盖三个方面：一是对作品中各成分之间的相互作用加以综合考察；二是对作品和语境展开综合分析；三是对一个作品与相关作品的相似和对照进行互文比较。概括起来说，"整体细读"是"宏观阅读与微观阅读的有机结合，两者相互关照，相互关联，不可分离"（《叙事、文体与潜文本》13）。参照前一节关于"结构－文体"跨学科方法的介绍，我们可以清晰地看到这一研究方法的要义："结构－文体"关注作品分析，"整体细读"进一步将作品置于文本之间，以及作品与语境的关系中，以期全面探究作者、作品与阅读之间多维度动态关系。就"整体性"涉及的作品内外关系而言，历史语境至关重要。

作为发掘语境潜能的第一步，申丹全面考察修辞叙事理论发展历程。她指出，不同于第一代芝加哥学派的"文本诗学"，自布思以后的修辞叙事理论实际上蕴含了对历史语境的要求；揭示这一理论潜能，能够帮助修辞叙事研究摆脱自身束缚，拓展研究视野。她发表于国际顶级期刊《叙事》（*Narrative*）上的文章"隐含作者、作者的读者与语境：新亚里士多德修辞理论中的形式与历史"，堪称这一开创性工作的集中体现。申丹剖析了修辞叙事理论两个核心概念——"隐含作者"和"作者的读者"，从中挖掘出该理论对考虑历史语境的潜在要求。

"隐含作者"这一核心概念在西方学界长期被误解，争议不断。2011 年，《文体》期刊邀请著名理论家撰文专门讨论这一概念。申丹发表"何为隐含作者？"（"What is the Implied Author"），详细辨析概念内涵。国际学界一直认为"隐含作者"是"真实作者"在写作时创造出来的囿于文本的另一个主体。通过缜密分析这一概念在布思理论中的所指，申丹指出，"隐含作者"本意指作家在创作某一作品时以特定姿态和立场进行创作的作者（布思称之为此人的"角色扮演"），而"真实作者"则是创作过程之外的主体，前者与后者实为同一人。若要推导出隐含作者的形象，我们需要阅读那一作品本身，而若要推导出所谓"真实作者"的形象，我们则需要阅读自传、传记、信件、日记等各种史料。[1]这一辨析揭示，"隐含作者"涵盖文本意义（作者在文本中的形象）和意义的来源（作家）两个方面。

由于长期误解了"隐含作者"概念所指，包括修辞叙事研究者在内的不少学者在论及作者意图时，往往只关注文本的意义构成，忽略作品的写作者（其被误以为是创造出隐含作者的"真实作者"）。依照费伦（James Phelan）的

1　参见 Dan Shen, "What is the Implied Author?" *Style* 1 (2011): 80-98, 81-93.

观点，修辞叙事研究所探讨的作者意图指作品中"公开的、文本化的意图"（"The Implied" 124-125）。芝加哥学派第三代另一位重要代表拉比诺维茨（Peter J. Rabinowitz）的表达更加直截了当："修辞叙事研究所探讨的意图无关真实作者——作品的写作者"（*Before Reading* 22）。对此，申丹认为，文本化的作者意图固然是修辞叙事的首要关注，但是，布思的"隐含作者"其实就是"以某种方式来写作的作家"（"What" 81-82），因此，作家的个人经历、家庭背景以及所处的历史语境与修辞研究就有了理论上的相关性；事实上，这些因素往往以不同程度影响其写作方式与立场，并以不同方式体现在作品中。[1]

正如《文体》特邀主编里查逊（Brian Richardson）称赞，申丹"以崭新的角度对隐含作者进行了强有力的辩护"，澄清了理论界长期以来对隐含作者概念的严重误解（"Introduction" 2）。《文体》主编费伦在编者按中特别提到，申丹对这一概念的"深层逻辑进行了富有洞见的分析"（Phelan, "Editor's" 137）。厘清"隐含作者"概念内涵意义重大，它有助于发掘修辞叙事理论的语境化潜能，同时，对当今文学批评实践具有指导意义。首先，所谓 "真实作者"（日常生活中的这个人）不同于隐含作者（以特定方式创作某一具体作品的这个人），因此，我们不能将某一作品的意识形态与（通过日记、信件、传记等来了解的）"真实作者"的相提并论；其次，同一作家在创作不同作品时往往采取不同的写作立场，隐含作者形象不尽相同，甚至大异其趣，要求读者详加辨析。[2] 以肖邦（Kate Chopin）的《比上帝还聪明》（"Wiser Than God", 1889）和《懊悔》（"Regret", 1895）两部作品为例，申丹以细致的结构和文体分析指出，前者表现为支持女主人公拒绝婚姻束缚，追求独立，后者则揭示坚持独身的女主人公看似刚强实质孤独沮丧的心理危机。[3] 这一现象表明，我们必须摒弃对作者形象的单一和固化认识，针对具体作品展开分析，推导不同作品中不同的隐含作者形象。[4] 此外，具体到如何判定真实作者与隐含作者之间的差异，以及不同作品中的不同隐含作者，我们需要详细考察作品产生的历史文化语境。[5]

我们知道，布思在提出"隐含作者"的同时提出了"隐含读者"概念——即前者心目中的理想读者。立场相近，拉比诺维茨提出"作者的读者"（authorial

1　参见 Dan Shen, "What is the Implied Author?" *Style* 1 (2011): 95-96; Dan Shen, "Implied Author, Authorial Audience, and Context: Form and History in Neo-Aristotelian Rhetorical Theory," *Narrative* 2 (2013): 140-158.

2　参见 Dan Shen, "Implied Author, Authorial Audience, and Context: Form and History in Neo-Aristotelian Rhetorical Theory," *Narrative* 2 (2013): 140-158.

3　参见 Dan Shen, "Neo-Aristotelian Rhetorical Narrative Study: Need for Integrating Style, Context and Intertext," *Style* 4 (2011): 587-588.

4　参见 Dan Shen, "What is the Implied Author?" *Style* 1 (2011): 95; Dan Shen, *Dual Narrative Dynamics*, London and New York: Routledge, 2023, 36.

5　参见 Dan Shen, *Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots*, London and New York: Routledge, 2014, 66-69.

audience）概念，形容那些理解作者意图，并对作品展开相应阐释的理想读者。[1]申丹指出，修辞叙事学的语境潜能同样见于"作者的读者"概念。依照拉比诺维茨的观点，小说家在构思阶段通常设想某一类"假设的读者"（hypothetical audience），想象这类读者在价值信仰、知识视野、文学常识等方面的总体倾向，继而根据这些想象考虑谋篇布局，选择修辞策略；从阅读角度讲，修辞阅读成功与否在很大程度上取决于读者是否发现显见或藏匿于作品中的文本策略，并对暗含其中的修辞意图进行解码。[2]用拉比诺维茨的话说，"好读者总是尽力成为作者的读者"（Rabinowitz, "Truth" 130, 126）。值得注意的是，拉比诺维茨重提"作者的读者"概念时特别强调，小说家对读者的想象包含了特定的历史知识或背景。[3]对此，申丹认为，与"隐含读者"可以互换的"作者的读者"本质上是"语境化或历史化的读者"，与"隐含作者"含有的语境化潜能相呼应；也就是说，隐含作者的创作行为发生在特定历史语境中，其文本选择常常基于作家对具体语境中的读者的想象与假定。从阅读角度讲，若要充分理解隐含作者的文本选择和修辞意图，解析作品在美学旨趣与主题意义，读者必须努力成为"历史语境中的作者的读者"（authorial audience in history），并从这一阅读位置深入辨析文本策略。[4]

反观布思在《小说修辞学》（*The Rhetoric of Fiction*, 1983）第二版后记中对"作者的读者"概念的解释，申丹认为，布思认同拉比诺维茨的立场，肯定这一概念包含了特定的历史知识与价值信仰，但她同时指出了布思阐述中的一个盲点。依照布思的看法，有些与历史语境有关的信息没有显现于文本中，主要因为隐含作者认定"作者的读者"了解这些信息，因而无需提及。对此，申丹指出，布思忽视了一个认识要点：隐含作者对"作者的读者"的想象与预设往往受制于特定条件下的创作语境；对于那些与创作语境相距甚远的读者而言，遥远的历史时空，以及不同的文化环境，难免造成阅读障碍。此种情形下，若要进入隐含作者的阅读位置，成为"作者的读者"，了解创作语境无疑是修辞阅读的必要环节。[5]据此，她倡导将创作语境纳入修辞叙事研究，以平衡形式研究和历史分析，促进修辞叙事学全面发展。[6]

1　参见 Peter J. Rabinowitz, *Before Reading: Narrative Conventions and the Politics of Interpretation*, Ithaca: Cornell University Press, 1987, 22.

2　参见 Dan Shen, "Neo-Aristotelian Rhetorical Narrative Study: Need for Integrating Style, Context and Intertext," *Style* 4 (2011): 585.

3　参见 Peter J. Rabinowitz, *Before Reading: Narrative Conventions and the Politics of Interpretation*, Ithaca: Cornell University Press, 1987, 21.

4　参见 Dan Shen, "Implied Author, Authorial Audience, and Context: Form and History in Neo-Aristotelian Rhetorical Theory," *Narrative* 2 (2013): 152.

5　参见 Dan Shen, "Implied Author, Authorial Audience, and Context: Form and History in Neo-Aristotelian Rhetorical Theory," *Narrative* 2 (2013): 153-154.

6　参见 Dan Shen, "Implied Author, Authorial Audience, and Context: Form and History in Neo-Aristotelian Rhetorical Theory," *Narrative* 2 (2013): 156; Dan Shen, "Neo-Aristotelian Rhetorical Narrative Study: Need for Integrating Style, Context and Intertext," *Style* 4 (2011): 585-588.

立足于文本整体分析，同时考虑创作语境，这一理论立场体现在申丹的阐释实践中。早在 2005 年，在为《叙事理论指南》撰写的一章中，她以海明威（Ernest Hemingway）的短篇集《我们的时代》（*In Our Time*, 1925）中的一则随笔为例证，结合叙事与文体分析方法，同时参考作家一战经历，以及与随笔相关的真实事件与新闻报道，解析简约风格暗藏的象征意义。[1] 这种跨学科、重语境的解读方法贯穿于她阐述隐性进程和双重叙事进程的著述中。这里不妨引证两个例子。以肖邦的《黛西蕾的婴孩》（*Désirée's Baby*, 1892）为例，申丹以绵密细致的文体与结构分析展示，作品含有捍卫美国南方奴隶制的隐性进程。结合作家生活经历，申丹认为，这一立场映射了肖邦家庭背景对隐含作者创作姿态的影响。从作品谋篇布局以及文字技巧来看，隐含作者在作品中埋设了一个隐性进程，主要出于作者对废除奴隶制以后社会现实的自觉。再如在解读坡（Edgar Allan Poe）的《泄密的心》（*The Tell-Tale Heart*, 1843）时，申丹认为，读者如果了解美国 19 世纪中期引发广泛争议的"精神病抗辩"，就不难发现作品中一个充满戏剧反讽的隐性进程：叙述者"我"声称自己在谋杀、藏尸整个过程中一直神志清醒，这一自我辩护在当时的历史语境中无异于自我定罪。[2] 这些阐述谨严有序，充分说明隐含作者的历史意蕴：隐含作者在特定社会历史语境中创作某一作品，此人的生平经历、家庭背景、社会文化氛围等因素可能会影响其创作选择，因此，了解相关史料，有助于我们深入理解叙事交流关系（作者、叙述者、人物、读者），使得阐释更接近于隐含作者的修辞意图。[3]

三、首创"隐性进程"理论，突破"情节诗学"阐释框架

申丹更为重要的创新在于揭示了叙事的"隐性进程"，以及创建的理论模式。这一崭新的理论冲破了自亚里士多德以来集中于情节发展的批评传统的束缚，将眼光投向情节背后另一个持续演进的表意轨道，开拓了叙事研究新视野。从阐释角度讲，隐性进程有着重要指导意义：如果作品中存在与情节发展相对照甚或相对立的隐性进程，而我们只留意情节发展，就会导致阐释偏颇，甚至严重误读。

情节是叙事作品的基本要素，也是现代小说理论的核心议题。从俄国形式主义到当代叙事学，理论家们一向看重情节，有的视之为决定故事形态的

1　参见 Dan Shen, "What Narratology and Stylistics Can Do for Each Other," *A Companion to Narrative Theory*, edited by James Phelan and Peter Rabinowitz, Oxford: Blackwell, 2005, 136-149.

2　参见 Dan Shen, *Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots*, London and New York: Routledge, 2014, 44-49.

3　参见 Dan Shen, "Neo-Aristotelian Rhetorical Narrative Study: Need for Integrating Style, Context and Intertext," *Style* 4 (2011): 576, 591.

叙事功能 [1]，有的称之为表现作品主题、表达作家意图的修辞手段 [2]；也有形容它为统领作品的枢纽 [3]，还有把它看作吸引读者继续阅读的驱动力 [4]。定义不同，对情节的重视程度不相上下。

情节对于作品整体至关重要，这一共识植根于亚里士多德的情节观（mythos）。亚里士多德在论述悲剧艺术要素时强调，"安排事件"是悲剧艺术的第一要义。[5] 诚然，亚里士多德的情节指悲剧中人物的行动，以及剧作家对行动序列的安排，并不包括当代学界讨论情节时涉及的人物、背景、思想与主题。但是，强调"安排事件"对作品整体结构的关键作用，这一观念一直影响修辞叙事研究。在回顾第一代芝加哥学派研究成果时，布思称这一代学者的研究止步于"情节诗学"（*The Rhetoric of Fiction* 437）。在小说批评界，评论家们均同样看重情节发展，把情节结构视为作品的"主题结构"（Culler, "Fabula and Sjuzhet" 32）。

纵观叙事理论界围绕情节展开的研究，申丹指出，研究者们长期关注情节发展，却从未注意在不少作品的情节发展背后存在独立前行的"隐性进程"（"叙事动力被忽略的一面" 120）。2013 年，她在国际顶级杂志《今日诗学》（*Poetics Today*）上发表"情节发展背后的隐性进程"（"Covert Progression behind Plot Development"）一文，首次在国际叙事学界提出"隐性进程"概念。粗略总结，我们可以归纳其三个基本要点：其一，隐性进程是情节发展背后的叙事运动，它始终与情节发展并行前进，但表达的主题意义不同于情节发展；其二，隐性进程与情节发展构成两种基本关系：互相补充或彼此颠覆；其三，隐性进程很多时候取决于对情节发展而言显得次要或者离题的各种文本细节。

隐性进程是情节发展背后的文本运动——第一个要点表明，隐性进程不属于情节范畴，因此从根本上不同于学界用于描述情节分叉或深层意义的种种术语，如"第二故事"（second story）、"隐性情节"（covert plot）、"隐匿故事"（submerged story）、"潜文本"（subtext）（Shen, "Covert" 150-151）。同样重要的是，隐性进程构成"一股**持续**的暗流"[6]，与情节发展"从头至尾"并列运行。反观以往的进程研究，隐性进程是"叙事动力被忽略的另一面"（申丹，"叙事动力被忽略的一面"119）。

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1   参见 Vladimir Propp, *Morphology of the Folktale*, Austin and London: University of Texas Press, 1968, 21.

2   参见 R.S. Crane, "The Concept of Plot and the Plot of *Tom Jones*," *Critics and Criticism: Ancient and Modern*, edited by R. S. Crane, Chicago: University of Chicago Press, 1952, 614-647.

3   参见 Gerald Prince, *A Dictionary of Narratology*, Lincoln and London: University of Nebraska Press, 1987, 71-72.

4   参见 Paul Ricoeur, "Narrative Time," *On Narrative*, edited by W. J. T. Mitchell. Chicago and London: University of Chicago Press, 1981, 165-186; Peter Brooks, *Reading for the Plot: Design and Intention in Narrative*, New York: Vintage Books, 1984.

5   参见 亚里士多德：《诗学》，罗念生译，北京：人民文学出版社，2000 年，第 25-31 页。

6   重点为原文所有。

　　"叙事进程"由当代修辞叙事理论家费伦提出，用于描述"一个叙事建立向前发展的运动，及其引发读者的种种反应"（Phelan, *Narrative* 90）。用"进程"取代传统情节概念，意在从头至尾追寻叙事动力的发展，以便全面探究作者、文本与读者关系，揭示作者意图、修辞手段与阅读反应之间的内在关系。不过，费伦的"叙事进程"基本上立足于情节范畴。这一立场集中体现在他阐述叙事进程的著作《阅读人物、阅读情节》（*Reading People, Reading Plots*, 1989）中。可以说，中外学界迄今为止仅仅关注了情节发展这一种叙事运动。申丹的隐性进程理论不亚于一次范式革命，突破了修辞叙事学囿于情节的进程研究，深刻影响整个叙事文学研究。

　　2014 年，劳特里奇出版社推出申丹的专著《短篇叙事小说的文体与修辞：显性情节背后的隐性进程》（*Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots*）。在为该专著撰写的序言中，米勒（J. Hillis Miller）称赞申丹提出了"崭新的叙事进程"，称之为叙事理论的"重大突破"（"Foreword" ix）。这部专著结合文体分析与叙事研究，兼顾作品社会历史文化语境和互文比较，详细阐述了隐性进程在不同作品中的不同样式，说明隐性进程的伦理意义与审美价值，以及对读者产生的修辞力量。申丹以出自英美短篇小说大师之笔的六个经典作品为例证，详解隐性进程典型表现方式及其修辞作用。这些作品历经近百年批评史，为各路评家以各种理论或阐释立场所阐释，然而，蕴含伦理与审美价值，且代表隐含作者修辞意图与立场倾向的隐性进程一直未被发现，导致不少误读或曲解。

　　隐性进程独立于情节发展，以不同的表意方式存在于作品中——这一基本特点表明，隐性进程为隐含作者精心设计的修辞策略，目的在于邀请隐含读者与隐含作者展开隐秘交流。从表现方式上看，隐性进程很多时候取决于作者匠心独具的文体运用和结构安排。作者巧妙地创造出一些看似琐细的文本细节，赋予细节以深邃、复杂的意义。同时，借助相关事件和视角、反讽等叙述策略，使得局部细节与文本中其它成分前后照应，生成一股强大的"伦理－审美暗流"，并与情节发展形成互补或颠覆关系。[1]

　　正如第一节介绍"结构－文体"方法时所提及，解析隐性进程的文本构成需要从宏观结构和微观结构两个方面进行，不可顾此失彼。这一要点表明，隐性进程具有一般规律，但具体表现方式十分丰富，需要针对具体作品进行具体分析。就情节发展依赖的基本事件与隐性进程关系而言，申丹归纳了四种情形：第一，隐性进程与情节发展共享事件序列，但在各自表意轨道上行进；第二，隐性进程与情节发展表面上共享事件序列，实际上并非如此；第三，两

1　参见 Dan Shen, *Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots*, London and New York: Routledge, 2014, 3; Dan Shen, "Debating and Extending 'Covert Progression' and Dual Dynamics: Rejoinders to Scholars," *Style* 1 (2021): 117-156, 132-133; Dan Shen, *Dual Narrative Dynamics*, London and New York: Routledge, 2023, 163.

个进程很多时候共享事件序列，但隐性进程也有赖于对其至关重要而对于情节发展而言属于离题的事件；第四，隐性进程完全取决于一些从情节发展角度看显得次要或离题的事件。[1]

相较于事件序列在隐性进程中的差异表现，隐性进程依赖的其它叙事成分与安排，如聚焦模式、不可靠叙述、叙述声音，则更加丰富多样。[2] 至于作家对语言和文体的创造性运用，需要读者针对具体作品进行细读，发现语言文字的局部意义在进程中显示的整体意义。[3] 概括而言，隐性进程的文本构成涵盖结构与文体两个方面，有序地分布于作品的开头、中腰与结尾，前后呼应，彼此照应，要求读者"对文体和结构给予同等关注"（Shen, *Style and Rhetoric* 146）。

四、开创"双重叙事动力"理论，拓展叙事进程研究

2015 年以前，申丹认为在隐性进程与情节发展相冲突的情况下，隐性进程往往是隐含作者真正想要表达的意图，情节发展只是表面假象。自 2015 年以来，她转向了情节发展与隐性进程合力构成的双重叙事动力研究，着力探讨隐性进程如何与情节发展联手塑造多面的人物形象，产生丰富多维的主题意义和审美价值，并进行了系统的理论建构。

在一定批评实践的基础上[4]，申丹 2018 年在《文体》上发表文章"作为双重作者型交流的双重叙事进程：对修辞研究模式的拓展"，探究隐性进程和情节发展之间的合力机制，进而创新修辞叙事理论。文章提出，双重叙事进程涉及两个"作者型交流轨道"，表达隐含作者不同修辞意图，引发读者产生互为映照，甚至截然相反的阅读立场（"Dual Narrative Progression" 63），这要求将单一的作者型修辞交流模式拓展为双重模式。从关注情节发展转向关注情节背后的隐性进程，再拓展至重视双重叙事进程，平衡考虑二者之间的动态关系，并进行多维度的理论建构（见下文），这是叙事进程研究的一次重大创新，正如费伦赞言，申丹提出双重叙事进程，建构相关理论，在修辞

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1   参见 Dan Shen, "Debating and Extending 'Covert Progression' and Dual Dynamics: Rejoinders to Scholars," *Style* 1 (2021): 127-128.

2   参见 Dan Shen, "Dual Textual Dynamics and Dual Readerly Dynamics," *Style* 4 (2015): 411-438; Dan Shen, "One Focalization, Dual Progression, and Twofold Irony: Katherine Mansfield's 'A Dill Pickle'," *Style* 1-2 (2022): 10-31; Dan Shen, *Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots*, London and New York: Routledge, 2014.

3   参见 Dan Shen, *Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots*, London and New York: Routledge, 2014; Dan Shen, "Joint Functioning of Two Parallel Trajectories of Signification," *Style* 2 (2017): 125-145.

4   参见 Dan Shen, "Dual Textual Dynamics and Dual Readerly Dynamics," *Style* 4 (2015): 411-438; Dan Shen, "Joint Functioning of Two Parallel Trajectories of Signification," *Style* 2 (2017): 125-145.

叙事研究领域率先迈出了重要的步伐。[1]

2023 年，劳特里奇出版社推出申丹的英文著作《双重叙事动力》（*Dual Narrative Dynamics*）。她在这部专著中全面系统阐述双重叙事进程理论，并以六个经典作品为例证，阐明双重叙事动力的基本原理。双重叙事进程思想内涵丰富，理论系统圆融。限于篇幅，以下选择三个要点，略说要义。

首先，情节发展和隐性进程均为隐含作者的修辞设计，以不同方式构成一明一暗两个表意轨道，"联手"形成文本的双重动力，共同作用于读者，引导读者发现作品中不同的阅读立场，从而加深对作品的伦理思考和审美体验。[2] 双重叙事进程理论要求读者从三个方面进行细致辨析：其一，情节发展轨道中的意义；其二，隐性进程轨道中的意义；其三，情节发展与隐性进程之间的关系。[3] 围绕双重叙事进程在文本中的合力机制，以及对读者的修辞作用，申丹提出了与隐性进程有关的十五个基本理论命题。这些命题覆盖对于修辞叙事研究至关重要的作者－文本－读者关系，也特别关注如何发现隐性进程。申丹强调指出，首先必须摆脱自亚里士多德以来集中于情节发展的批评传统，否则无法发现隐性进程。命题涉及的其他相关重要问题包括需要破除单一作者形象定式思维，需要关注对情节发展无关紧要但对隐性进程至关重要的文本细节，需要考虑创作语境与隐性进程关系，需要比较不同文本异同关系，需要重视相同文字在不同进程中形成的不同意义，需要辨析语言技巧与整体结构关系等。此外，根据双重叙事进程在文本中的交互影响与修辞作用，申丹还创制了一系列新的理论模式，如"双重事件结构模式"、"双重人物塑造与人物形象模式"、"双重不可靠叙述模式"、"双重作者型交流模式"、"双重隐含作者和作者的读者模式"、"双重叙述视角模式"、"故事与话语的双重关系模式"、"话语层面的双重张力模式"、"双重读者反应模式"（Shen, "'Covert'" 9-23; *Dual* 41-49）等。这些新的研究模式拓展了叙事进程研究范围，同时对原先用于探究单一进程的理论术语，如"不稳定关系"、"张力"等，提出了新的理论要求。简言之，双重叙事动力揭示了崭新的叙事进程，要求重构原先限于情节发展的种种术语、概念与分析模式。

其二，申丹提出，隐性进程与情节发展构成互补与颠覆关系，但是，互补与颠覆这两大类各有不同小类，需要具体作品具体分析。如在卡夫卡（Franz Kafka）的《判决》（*The Judgment*, 1913）中，情节发展和隐性进程均围绕冲突发展，但是，前者集中于父子冲突，后者落点于个人与社会的冲突[4]，情节发展揭露战争之残酷，隐性进程表现军人以履职为重。与此相应，情节发展显示父亲是战争的牺牲品，引发读者悲悯；隐性进程表现父子同心，履行军

1　参见 James Phelan, "Theorizing Dual Progression: Some Questions for Dan Shen," *Style* 1 (2021): 36-42.

2　参见 Dan Shen, *Dual Narrative Dynamics*, London and New York: Routledge, 2023, 3.

3　参见 Dan Shen, "Dual Textual Dynamics and Dual Readerly Dynamics," *Style* 4 (2015): 411-438.

4　参见 Dan Shen, *Dual Narrative Dynamics*, London and New York: Routledge, 2023, 108-114.

人职责，令人赞叹；两个进程携手并进，引发读者复杂的情感反应和难以协调的伦理判断 [1]。以主题、反讽、人物形象、人物关系为主要考察，申丹对互补关系存在的 9 种分型进行了归纳，总结每一种互补关系的不同表现形式及其修辞效果。[2]

其三，当隐性进程与情节发展互为颠覆时，情节发展往往是作者的"有意伪装"，掩饰暗含在隐性进程中的真正意图。换句话说，有时受制于特定历史文化语境，隐含作者采用隐性进程暗暗表达与社会主流价值相悖的另一种立场。[3] 以肖邦的《黛西蕾的婴孩》为例，申丹以"文内－文外"整体细读向我们展露了一直被忽视的文本事实与作者意图：情节发展抨击种族主义和父权制，隐性进程暗含的却是对美国南方奴隶制的美化，以及黑人血统的丑化。[4] 这一观察具有三方面理论意义，其一，指出了双重叙事进程蕴含的历史语境；其二，揭示了双重叙事进程引发的"双重伦理"（Shen, "Dual Ethics" 513-514）；其三，强调了隐性进程在颠覆型关系中的作者意图。换言之，在含有隐性进程的作品中，当隐性进程与情节发展彼此颠覆时，读者如果忽略隐性进程，很有可能完全误读作品主旨。再以曼斯菲尔德（Katherine Mansfield）的短篇故事《心理》（"Psychology", 1920）为例，申丹的分析显示，情节发展表现男女主人公彼此激情暗恋，却不敢表达，关系尴尬；隐性进程展示的是则是女主人公单相思，男主人公始终没有动情。在情节发展里，两人之间的关系没有任何进展，令人遗憾，而隐性进程则描述了女方的心理转变——从起初的单相思逐渐变为与对方保持纯洁友谊，与男主人公走到了同一条轨道上。[5] 正是通过两个进程之间的不同关系，作品"邀请"读者逐步发现作者的真正修辞意图，改变起初集中于情节发展获得的看法与判断，从而全面理解作品主题、人物关系，以及作品审美价值。[6]

有必要强调的是，双重叙事进程由两个并行发展的"表意轨道"构成，但同时，我们仍然需要区分情节本身包含的多线结构及其意义轨道；同样，隐性进程本身也可能存在多个意义轨道。此种情形下，两个进程各自包含的多个表意轨道使得作品进程及其修辞作用变得更加复杂。以《一双丝袜》（*A Pair of Silk Stockings*, 1897）和《泄密的心》为例，申丹从情节发展和隐性进

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1   参见 Dan Shen, *Dual Narrative Dynamics*, London and New York: Routledge, 2023, 94-103.

2   参见 Dan Shen, *Dual Narrative Dynamics*, London and New York: Routledge, 2023, 23-27.

3   参见 Dan Shen, *Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots*, London and New York: Routledge, 2014, 122-124; Dan Shen, "Dual Narrative Progression and Dual Ethics," *Symplokē: A Journal for the Intermingling of Literary, Cultural and Theoretical Scholarship* 1-2(2018): 511-515.

4   参见 Dan Shen, *Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots*, London and New York: Routledge, 2014, 70-84.

5   参见 Dan Shen, "Dual Textual Dynamics and Dual Readerly Dynamics," *Style* 4 (2015): 411-438.

6   参见 Dan Shen, "Dual Textual Dynamics and Dual Readerly Dynamics," *Style* 4 (2015): 413.

程的构成关系入手，层层深入，辨析双重叙事进程的复杂变体。在《一双丝袜》中，情节发展含有女性主义和消费主义两个主题意义。同时，隐性进程围绕社会环境对人物行为的影响这一自然主义主题发展。三个表意轨道并行前进，但主人公的形象和意义各不相同，相互冲突。三个并行的表意轨道分别呈现父权文化、消费主义，以及周边环境对人物的不同影响，丰富和深化作品整体意义。[1] 与这一模式形成对照，《泄密的心》表现为两个隐性进程和一个显性进程：显性进程围绕人物叙述者"我"的谋杀行为展开，与此同步的两个隐性进程分头演进：一个暗暗围绕凶手无意中的自我谴责展开，另一个则暗暗围绕凶手无意中的自我定罪展开，两者构成两股贯穿全文的戏剧反讽暗流。[2]

双重叙事进程在具体作品中有着不同的表现方式，要求读者辨析由不同表意轨道以及其相互关系构成的整体意义与修辞作用。这一核心要义使得双重叙事进程理论在其他相关领域也具有重要的理论价值和实践指导意义。以翻译学为例，当同样的文字同时在两个进程中起作用时，倘若译者仅从情节发展角度对相关文字加以翻译，必然导致丢失另一半意义；此种情形下，翻译是否成功在很大程度上取决于译者是否发现作品含有双重叙事进程，并以相应的文字加以展现。[3] 事实上，双重叙事进程理论为学术界广泛引用，其思想意义已经溢出叙事学和文字艺术研究，延伸至文体学、翻译学、戏剧研究、影视研究、连环漫画研究等。[4]

修辞叙事学结合修辞研究与叙事分析，探究作者、文本与读者之间的叙事交流关系，以期揭示叙事艺术多维度联动机制。然而，深受"情节诗学"传统和阐释框架影响，当代修辞叙事研究止步于情节发展；此外，由于历史原因，在认识上表现为重结构轻语言、忽视创作语境两大局限。申丹以深厚的学术修养，创造性地提出了"结构－文体"跨学科研究法、文内－文外－文间"整体细读"法，首创隐性进程和双重叙事进程理论，并在多个维度上更新了理论和方法，拓展了研究视野与范围。这些新理论、新方法在当代修辞叙事学研究领域独树一帜，引领研究前沿发展。

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4　详见本专栏张欣的文章。

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申丹的双重叙事进程：
后理论语境、理论架构与实际应用
SHEN Dan's Dual Narrative Progression: Post-theoretical Context, Theoretical Framework, and Practical Application

张　欣（**Zhang Xin**）　　洪永亮（**Hong Yongliang**）

内容摘要： 申丹的双重叙事进程理论是"后理论"思潮席卷之下当代国际叙事学研究领域重要的理论突破，引发国内外学界广泛关注和跟踪讨论。"理论之后"是一个亟待构建创新性理论体系的时代，更是中国学者参与国际文学理论话语体系建构的重要窗口期。双重叙事进程理论在创新性继承当代修辞叙事学研究范式的基础上，通过"隐性进程"概念的提出和进一步关注隐性进程与情节发展的共同作用，开创性地冲破了囿于情节发展的传统束缚，并以八种"双重"研究模式形成其叙事学方面理论体系的基本架构，为多文类、多媒介的叙事文本提供了有效的阐释路径。文章从双重叙事进程理论的"后理论"产生语境、其理论架构和实际应用这三个维度进行梳理。

关键词： 申丹；双重叙事进程理论；后理论生产语境；理论架构；实际应用

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Title: SHEN Dan's Dual Narrative Progression: Post-theoretical Context, Theoretical Framework, and Practical Application

Abstract: SHEN Dan's theory of dual narrative progression forms a significant breakthrough in contemporary narrative studies against the backdrop of the pervasive trend of "post-theory." It has garnered widespread attention and sparked heated discussions among researchers both at home and abroad. The "after theory" era is of paramount importance for constructing innovative theoretical systems and serves as a pivotal juncture for Chinese scholars to engage in the development of the international discourse system in the field of literary theory. Drawing from the research paradigm of contemporary rhetorical narratology, Shen's theory of

dual narrative progression goes beyond the traditional focus on plot development by introducing the concept of "covert progression" and, moreover, by paying attention to the joint functioning of covert progression and plot development. Its narratological theoretical framework is built upon eight "dual" models, providing an effective approach for interpretative narrative texts across various literary genres and media. Situated in the "post-theoretical" context, this essay reviews the three dimensions of the theory of dual narrative progression: the post-theory context of its production, the construction of its theoretical framework, and its application in critical practice.

Keywords: SHEN Dan; dual narrative progression; post-theory productive context; theoretical framework; practical application

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申丹的双重叙事进程（dual narrative progression）理论是新世纪"后理论"语境下中国学者成功建构创新性文学批评理论的典范。进入新世纪以来，"后理论"和"理论之后"等概念被引入中国大陆后，不仅引发新的理论研究热点，也成为人文科学研究面临的一种具有全球性和根本性的文化语境。自20世纪下半叶开始从人文学科内部生发的"理论终结"和"文学死亡"等论断，作为一种危机意识的表象，实则是"推动文学理论变革，催生新的文学理论以解决问题"（聂珍钊等 80）的时代诉求。从上世纪80年代开始，在西方当代叙事学的刺激与召唤下，中国叙事学研究产生并获得迅速发展，成为"最近四十多年来中国人文社会科学成绩最显著的领域之一"（张开焱 80）。修辞性叙事学作为后经典叙事学主要流派之一，其研究体系更是尤为完备。正因如此，希利斯·米勒（J. Hillis Miller）在为申丹（SHEN Dan / Dan Shen）的英文专著《短篇叙事小说的文体与修辞：显性情节背后的隐性进程》（*Style and Rhetoric of Short Narrative Fiction: Covert Progressions Behind Overt Plots*, 2014）所作的序言中写道："在修辞性叙事研究这类体系完备的学科领域取得重大突破绝非易事"，但申丹的这部专著"毫无疑问取得了这样的突破"（xii）[1]。作为芝加哥学派第四代代表性学者，申丹从2012年推出"隐性进程"（covert progression）概念，不断通过理论建构和批评实践反思，创立了"双重叙事进程"理论体系，2021年出版该理论核心著作《双重叙事进程

1　本文外文引文均出自笔者译。

研究》，为多文类、多媒介文本批评实践提供了一套行之有效的阐释方法。

一、"后理论"走向与文学理论生产

从 20 世纪 50 年代前的新批评理论，到 60 年代"语言学转向"背景下的结构主义理论，再到 70 年代"文化转向"下的后结构主义阶段，"理论"与文学文本渐行渐远，溢出了文学研究的边界，呈现出显著的甚至是本质性的跨学科特征。20 世纪 80 年代，北美"反理论"运动拉开序幕，然而"反理论运动并未真正对理论事业产生多少副作用，反倒客观上助推了理论的知识生产"（陈后亮 81）。无论是斯泰恩·豪格姆·奥尔森（Stein Haugom Olsen）1987 年出版的《文学理论的终结》（*The End of Literary Theory*），还是 1991 年弗雷德里克·詹姆逊（Fredric Jameson）在《后现代，或晚期资本主义的文化逻辑》（*Postmodernism, or, the Cultural Logic of Late Capitalism*）中发出理论终结的"讣告"，都没有带来理论的死亡，反而使理论在经历了死亡幻象的洗礼后，开启了对"众生喧哗、杂语共生"的西方文化群体的反思，从而推动"西方理论界对自身发展的把握日趋成熟"（王晓路 145-146）。

纵观90年代，随着有关理论死亡的传言甚嚣尘上，西方学界对于这一濒临死亡的"理论"也有了更深层的共识，即"后理论"要"后"（告别）的是乔纳森·卡勒（Jonathan Culler）所称的"大理论"（the grand theory）。这种后理论带来的理论转向，"更加强调多元性和具体性，既不同于现代文学理论的单一语言学模式，也有别于后现代理论的超学科范式，而是吸取两种范式所长的新建构"（周宪 86）。也就是说，后理论告别统摄一切的大理论之后，更加注重自身的反思性。正因如此，"西方学界90年代以来的变化之一就是开始重视不同文论样态及理论话语。〔……〕其文论发展的主线就是理论家针对原有理论的缺陷从各自不同的角度切入，从而生发出新的学说"（王晓路 145）。

申丹的双重叙事进程理论正是针对文学理论和叙事理论长期以来仅关注情节发展这一缺陷提出的。叙事学领域始终是一个理论生产和批评实践蓬勃兴旺的热门研究领域。从发端于 20 世纪 60 年代的以结构主义语言学为背景聚焦文本形式与结构特征的经典叙事学，到 90 年代由"叙事转向"（narrative turn）生发的以语境主义为主要范式的后经典叙事学，诸多不同的新流派和新理论不断涌现。修辞性叙事学作为后经典叙事学的主要流派之一，实现了修辞关注与叙事学方法的结合，是对经典与后经典叙事学之间围绕文本诗学与修辞语境争论取舍的融合和超越，体现了其全面性和平衡性特质。[1] 但是，像其他文学研究流派一样，修辞性叙事学在研究叙事动力时，也仅仅关注情节发展，忽略了在不少作品中存在的情节发展背后的隐性进程和两者之间复杂的互动关系。作为芝加哥学派第四代学者中的典型代表，申丹的"隐性进程"概

1　参见 申丹："修辞性叙事学"，《外国文学》1（2020）：80-95。

念打破了自亚里士多德以来聚焦于情节发展的研究传统，进而形成了双重叙事进程这一创新性理论体系和修辞研究框架，获得了国际学界高度关注。该理论也成为中国学者在国际叙事学领域实现系统理论建构的首例和典范。

2012年申丹的"隐性进程"（covert progression）概念在国内学界问世[1]，次年通过《今日诗学》（*Poetics Today*）在国际学界面世。[2]2014年劳特利奇出版社推出的申丹英文专著*Style and Rhetoric*使"隐性进程"概念理论化。2015年与2017年申丹经过对"隐性进程"理论中排斥情节发展的偏颇立场进行反思，修正性地提出了"双重文本动力"和"双重读者动力"概念，聚焦情节发展与隐性进程的协同作用。[3]经过数年潜心打磨，"双重叙事进程"（dual narrative progression）概念于2018年通过美国文体和叙事学权威期刊《文体》（*Style*）在国际上首发。[4]时至2021年，《文体》春季刊全部用以探讨申丹首创的这一理论。同年申丹出版中文专著《双重叙事进程研究》，该作成为首部提供系统理论阐释和模式建构的文本。十年的历程，从概念到理论，由反思到完善，双重叙事进程理论完成了其历史性出场。这不仅是当代西方后经典叙事学研究领域的重要事件，也是中国学者原创理论参与国际理论话语体系建构的突破性事件。

在面对2002年米勒在《论文学》（*On Literature*）中提出的"文学终结"命题时，聂珍钊采取了辨证二分的解读方法：他认为米勒提出网络等新形态文学载体导致传统"文学已死"的论断，体现了文学的危机；但同时他对米勒的"文学理论促成了文学的死亡"这一论断深表质疑。他认为，文学理论作为关于文学创作、文学鉴赏和文学批评规律的概括，主要用于文学文本及与文学相关问题的分析、解释和评价。因此，"文学死亡"的危机催生新的文学理论来予以解决，而非归咎于文学理论或直接导致文学理论的终结。[5]换句话说，"如果文学理论不能发挥引导作用，不能解决现实问题，理论就会因为无用而死去"（聂珍钊565）。申丹的双重叙事进程理论之所以会产生越来越大的影响，在很大程度上在于其实用价值。越来越多的学者将这一理论应

1　参见 申丹："叙事动力被忽略的另一面——以《苍蝇》中的'隐性进程'为例"，《外国文学评论》2（2012）：119-137。

2　参见 Dan Shen, "Covert Progression behind Plot Development: Katherine Mansfield's 'The Fly'," *Poetics Today* 1-2 (2013): 147-175.

3　参见 Dan Shen, "Dual Textual Dynamics and Dual Readerly Dynamics: Double Narrative Movements in Mansfield's 'Psychology'," *Style* 4 (2015): 411-438; Dan Shen, "Joint Functioning of Two Parallel Trajectories of Signification: Ambrose Bierce's 'A Horseman in the Sky'," *Style* 2 (2017): 125-145.

4　参见 Dan Shen, "Dual Narrative Progression as Dual Authorial Communication: Extending the Rhetorical Model," *Style* 1-2 (2018): 61-66.

5　参见 Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 189-207; Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 383-398.

用于多文类、多媒介叙事文本的批评阐释。这充分说明了该理论批评实践中的"引导作用"和"解决现实问题"的能力。

二、双重叙事进程理论的跨学科理论架构

作为一套系统性文学理论，文学理论架构（literary theory framework）是其基础结构。文学理论架构是一种有关文学理论系统的观念，也可以称之为文学理论体系的模式。"具体来说，它是文学理论的底层逻辑形式，是文学理论的基础理论和原理，同时也是文学理论的基本框架和核心观点。它是寻找文学新解释、孕育文学新观点的研究路径，是建构新的文学理论、文学观点以及批评话语的前提"（聂珍钊等 82）。

双重叙事进程理论的核心观念在于挑战过往叙事学、文学批评、文体学、翻译学等多学科和跨学科研究中对于情节发展这一单一叙事进程的研究框架和批评限域。它通过创设"隐性进程"概念，突破性冲出单一情节发展框架内各种深层含义的视域局限。如果将过往所关注的情节发展中各类深层含义，比拟为由"文本地表"逐渐深入"文本地壳"的传统地下矿产开采工程，那么隐性进程则是多元宇宙中的"平行空间"。在含有双重叙事进程的作品中，二者就好比我们身处的现实空间与量子力学理论带给我们的平行宇宙。二者构成两个主题发展轨道，相互独立，又相互影响，使"叙事进程中的意义"在相互冲突、相互制衡和相互补充中，产生文学作品特有的矛盾张力、语义密度和复杂主题。申丹在对"双重叙事进程"进行开创性和系统性理论建构时，在叙事学领域提出了双重故事结构模式、双重人物形象模式、双重不可靠叙述模式、双重叙事距离模式、双重叙述视角模式、双重叙述口吻模式、双重故事与话语关系模式、双重读者认知模式等八个维度的研究模式[1]，构建了叙事学研究的基本理论框架。

就"双重故事结构模式"而言，研究需分别沿着情节发展和隐性进程两个不同的叙事轨道，探究各自呈现的不同矛盾冲突与事件结构，并考察两者之间的互动关系。"双重人物形象模式"表明情节发展与隐性进程可能会呈现不同的人物形象，因而研究需关注两条叙事轨道各自塑造的人物形象以及分别凸显的性格特征，并探究两种人物形象之间具有何种互动关系。"双重不可靠叙述模式"聚焦情节发展与隐性进程的叙述（不）可靠性，要求分别考察叙述者在两条叙事轨道的叙述是否可靠，考量各自判断不可靠性的标准以及两种叙述之间的关系。至于"双重叙事距离模式"，它要求我们关注作者、叙述者、人物和读者之间在两种叙事进程中不同的距离，并探究不同叙事距离之间有何交互关系。"双重叙述视角模式"要求关注情节发展与隐性进程各自呈现的视角模式以及各自的聚焦者，并探究两种不同的视角模式之间的互动关系。与之类似，"双重叙述口吻模式"要求分析两个叙事进程各自具有

1　参见 申丹：《双重叙事进程研究》，北京：北京大学出版社，2021 年，第81-91 页。

的叙事口吻，并考察两者之间的共同作用。申丹指出，鉴于叙述视角与叙述口吻的叙事研究模式都展现了对双重模式的需求，其他各种单一的叙述技巧模式在日后的叙事研究中也需要拓展成"双重"的，才能加深对情节发展与隐性进程的认识与理解。

同时，由于不同的叙事进程会以不同的方式呈现故事层面的事件／人物与话语层面的表达技巧，因而故事与话语之间的关系也会相应变得更为复杂。为此申丹也提出了"双重故事与话语关系模式"，指出需要分别围绕情节发展与隐性进程探讨其各自事件层和话语表达层之间的关系，并关注两者之间的交互作用。不同的叙事进程会邀请读者做出不同的反应，因而现有的"读者认知"模式也需拓展成"双重读者认知模式"，探究两种叙事进程中读者认知的情况以及两种认知之间的交互作用。如果回到上文平行空间的比拟，这种双重叙事进程视域下的新型文本研究和阐释模式，与进入平行空间的高维空间相似，是比三维空间具有更多维度和更丰富结构的空间。

申丹双重叙事进程理论的核心观念和研究模式，使我们得以跳出"从古至今，批评界一直在考虑文字在上下文中的意义"这一传统，将注意力转向文字在叙事进程中产生的意义：同样的文字在不同叙事进程中可能会产生互为对照、相互冲突甚或相互颠覆的意义。这就要求重构文体学研究模式，在进行文体分析之前，就需要通过仔细考察文本来大致判断是否可能存在双重叙事进程。若发现了这种可能，就需要沿着两条不同的表意轨道来分析作品的语言，在分析过程中不断调整和修正先前的判断，并关注不同表意轨道中不同文体意义之间的互动。[1]

在翻译研究领域，申丹指出，由于对隐性进程非常重要的文字，从情节发展的角度看可能显得琐碎离题，因此容易被译者省略或改动，这可能会导致对隐性进程的严重损害，甚至令其不复存在。也正是因为同样的文字会在双重进程中表达出不同的意义，就情节发展来说相当成功的翻译，从隐性进程的角度来看，则有可能是失败的。这就要求对翻译理论和翻译批评模式加以重构，需要将以往仅考虑了情节发展的翻译标准和规范拓展和更新为"针对双重叙事进程翻译的标准和规范"，也需要探索如何翻译双重叙事进程的策略和方法。[2]

双重叙事进程理论因其开拓性得到了国际学界的广泛关注。申丹在《文体》2021 春季刊题为"'隐性进程'与双重叙事动力"（"'Covert Progression' and Dual Narrative Dynamics"）的论文中，系统地介绍了双重叙事进程理论，就参与学术对话的各国学者提出的疑问撰文予以回应[3]，清除误解，阐明理论体系

1　参见 申丹：《双重叙事进程研究》，北京：北京大学出版社，2021 年，第 68-80 页。

2　参见 申丹：《双重叙事进程研究》，北京：北京大学出版社，2021 年，第 111-126 页。

3　参见 Dan Shen, "Debating and Extending 'Covert Progression' and Dual Dynamics: Rejoinders to Scholars," *Style* 1 (2021): 117-156.

深层逻辑及应用路径。本文下一节将转而探讨该理论的实际应用。[1]

三、双重叙事进程理论的多文类、多媒介批评实践

双重叙事进程理论的建构以申丹对短篇小说的批评分析为基础。她对西方经典短篇小说的重新阐释成为双重叙事进程理论应用的范本，启发众多学者关注短篇小说的双重叙事进程[2]。同时，鉴于该理论同样适用于阐释其他文类和媒介中含有隐性进程的作品，因此也被中外学者广泛应用于中、长篇小说（包括三部曲）、戏剧、电影、连环漫画、诗歌以及圣经等的阐释。他们的研究成果不仅增进了对作品主题意义、人物塑造与审美价值的理解，而且从不同维度丰富了双重叙事进程理论的应用范畴。

就中、长篇小说而言，张甜将申丹的理论与戈夫曼的拟剧理论相结合，探讨《犹太人之王》（*King of the Jews*, 1979）中复杂的人物塑造与双重叙事动力之间的关系，指出隐性进程有助于全面理解作者的矛盾心理与创作立场。[3]梁晓晖、庞好农、张同胜等皆以双重叙事进程理论对古今中外小说做了深入的分析。[4]除聚焦单部作品，还有学者探究长篇小说三部曲的双重叙事进程。姜淑芹聚焦《哈利·波特》系列小说（*Harry Potter*, 1997-2005），揭示了以关注家庭与成长的微观叙事为核心的隐性进程。[5]

此外，亦有国外学者运用双重叙事进程理论对长篇小说进行阐释。苏珊·兰瑟（Susan S. Lanser）、雅各布·卢特（Jakob Lothe）与 H.·伯特·阿波特（H. Porter Abbott）从双重叙事进程的视角分别对《小山顶》（*The Hilltop*, 2014）、《赎罪》（*Atonement*, 2001）以及《达洛维夫人》（*Mrs. Dalloway*, 1925）进行了分析。[6]他们的批评实践都彰显了双重叙事进程理论对于全面且深入地把握小说主题意义与审美价值等方面不可或缺的作用。此外，学者们

1　双重叙事进程理论是申丹最为重要的突破，本栏目中惠海峰和王丽亚的论文都从不同角度对其进行了阐述。为避免重复，本文对于已详述的部分略去不谈，而着重补充理论在国内外的实际应用。

2　参见 龚璇："约翰·班维尔《物性论》中的未叙述、假设叙述与双重叙事进程"，《外国文学研究》1（2022）：46-57；姜苓："厄普代克《摩洛哥》中双重叙事动力下的非虚构书写"，《当代外国文学》4（2022）：20-26 等。

3　参见 张甜："言说之殇：莱斯利·爱泼斯坦二战犹太大屠杀小说《犹太人之王》中的拟剧叙事及隐性进程"，《解放军外国语学院学报》3（2020）：51-58+99。

4　参见 梁晓晖："《月亮虎》的隐性叙事进程与'伪'女性主义"，《国外文学》4（2021）：103-112+156；庞好农："双重叙事进程理论视阈下《弗兰肯斯坦》的叙事特色"，《浙江外国语学院学报》3（2023）：101-107；张同胜："隐性进程叙事视域中的贾环形象论略"，《红楼梦学刊》1（2023）：202-217。

5　参见 姜淑芹："《哈利·波特》系列的双重叙事运动"，《外国语文》6（2020）：32-38。

6　参见 Susan S. Lanser, "Reading Dual Progression: A View from *The Hilltop*," *Style* 1 (2021): 94-99; Jakob Lothe, "Dan Shen's Theory of Dual Narrative Dynamics Linked to Ian McEwan's *Atonement*," *Style* 1 (2021): 100-105; H. Porter Abbott, "Thoughts on 'Dual Narrative Dynamics'," *Style* 1 (2021): 63-68.

还就"情节发展与隐性进程的互动关系"等方面提出了问题，而申丹也对此做出回应。[1] 这不仅能帮助国外学者扫除对双重叙事进程理论的疑惑，还进一步增强了双重叙事进程理论在国际学界的影响力。

就儿童文学而言，段枫受申丹的"双重读者认知模式"启发，探讨文学童话的两类不同读者，聚焦《快乐王子》（"The Happy Prince", 1966），揭示作品中面向儿童读者的童话情节与面向成人读者的展现同性之爱的隐性进程，两条叙事进程相辅相成，"呼唤着读者作出更为复杂的阅读反应"（190）。刘江关注《饥饿游戏》三部曲（*The Hunger Games*, 2008-2010），通过挖掘控诉战争对个体侵害的隐性进程，揭示其与情节发展互为颠覆的关系。[2]

就戏剧这一体裁而言，其作为公开表演的艺术形式，遭受的严苛审查往往会推动剧作家以创造隐性进程的手法来表达复杂的主题意义。笔者曾通过挖掘《阁楼上的玩具》（*Toys in the Attic*, 1960）中"种族越界"的隐性进程，指出其"与女性情欲的显性情节在'逃离'这一主题意义上形成了强烈的互补关系，凸显了美国旧南方伦理秩序的颓势"（张欣 49）。笔者等通过分析《蝴蝶君》（*M. Butterfly*, 1988; 2017）双重叙事动力，展现两位主人公的"权力博弈和伪装策略"，及其背道而驰的人物形象，拨开作品"一明一暗两条叙事线"及其"模拟和隐射的冷战时期西方中心主义话语体系建构的策略"（张欣 何淑敏 19）。此外，张青青与王占斌、李昭明与王卓宇以及凯莉·马什（Kelly A. Marsh）也对国外戏剧的双重叙事进程进行了探讨。[3]

还有学者把双重叙事进程理论应用于诗歌分析。康俊揭示了张曙光的叙事诗《1965 年》中呈现"现实的我"对以往经历反思的隐性进程，并以此阐释了显性情节下"童年的我"充满了恐惧与忧虑的原因。[4] 除了小说、戏剧与诗歌，还有学者将这一理论运用于圣经的分析。王学晟剖析了圣经《使徒行传》（*Acts of the Apostles*, 2004）的隐性进程，指出隐性进程揭示了耶路撒冷教会领袖的保守态度阻碍了福音传播，而隐含作者正是通过在叙事中构建隐性进程传达其神学立场与宣教态度。[5]

上述批评皆聚焦于传统的文学文类，而在以图像与文字等多模态信息为

1　参见 Dan Shen, "Debating and Extending 'Covert Progression' and Dual Dynamics: Rejoinders to Scholars," *Style* 1 (2021): 132-134, 147-149.

2　参见 刘江："双重叙事进程策略下《饥饿游戏》三部曲中的战争观审视"，《河南大学学报（社会科学版）》3（2023）：81-86+154-155。

3　参见 张青青、王占斌："拒绝于无望的拓荒——《毛猿》显性情节发展背后的叙事暗流"，《当代戏剧》2（2021）：32-35；李昭明、王卓玉："'双重奏'或'双重叙事'——双人模式小剧场戏剧在荷兰"，《四川戏剧》11（2019）：53-55；Kelly A. Marsh, "Dual Narrative Dynamics and the Critique of Privilege," *Style* 1 (2021): 42-47.

4　参见 康俊："张曙光诗歌叙事学分析——以《1965 年》为例"，《文艺评论》1（2022）：98-110。

5　参见 Wang, Nathanael Xuesheng, "An Analysis of the Covert Progression in the *Acts of the Apostles*," *Sino-Christian Studies* 35 (2023): 33-63.

叙事手段的影视作品研究领域，亦有不少学者采用双重叙事进程理论进行分析。张净雨聚焦电影《暴雪将至》，发掘呈现社会转型时期国企工人沦落悲剧的隐性进程。[1] 赵世佳、杨蕾也对中外电影的隐性进程做了考察，以此深化对电影主题意义与人物形象的认识。[2] 此外，沈安妮认为"'隐性进程'的提出，为我们将文学与电影的关联这种文本外的相关内容，再次应用到文本阐释中提供了一种默许的途径"（124），小说通过与电影互文书写来构建双重叙事进程，从而表达对宏大叙事与现实性的质疑。[3]

还有国外学者将双重叙事进程理论应用于连环漫画的分析。丹尼尔·坎德尔（Daniel Candel）沿着"悬念—好奇—意外"的事件发展模式分析了连环漫画《斯巴达 300 勇士》（*300*, 1998）的隐性进程，揭示隐性进程和情节发展蕴含的两种矛盾冲突，两者走向不同，但互为补充，联手表达作品的主题意义。[4] 坎德尔指出连环漫画是"依靠多种语言与文体的（视觉性的、文本性的、具备独特连续性的）媒介，因而可以产生多重不稳定性"（727），形成多轨并行的故事，因此关注图像与文本的交互作用有助于挖掘漫画的隐性进程，从而增进对漫画的理解。

除了应用于文学与文化作品的阐述，双重叙事进程理论还为学者用于翻译研究。高佳艳采用申丹的理论考察文学翻译及其在英语世界的接受。[5] 杨陇借用语料库文体学的方法，探究译本对双重叙事进程的翻译建构。[6] 由此可见，双重叙事进程理论也成为检验文学翻译质量的一个重要理论依据。

不论是小说、戏剧、以及（以其抒情性而贯被排除在叙事学研究对象之外的）诗歌，还是以图像和文字等多模态叙事媒介呈现丰富叙事张力的连环漫画、影视作品等多类别影像叙事，都通过双重叙事进程理论的应用，拓展了多种主题上的阐释空间，也带来了丰富的审美体验。此外，双重叙事进程理论的应用还延伸至翻译批评领域，为文学翻译研究的变革与发展提供机遇。

20世纪80年代，形式主义、新批评等流派和西方各种"新论"成为学界焦点，译介和采用西方学者提出的理论概念和批评方法成为中国外国文学研

1　参见 张净雨："《暴雪将至》：叙事的隐暗面"，《电影艺术》1（2018）：77-80。

2　参见 赵世佳："电影《我的姐姐》中的多重叙事进程"，《电影文学》18（2021）：104-107；杨蕾："矛盾背后的矛盾：《头号玩家》中的隐性叙事进程"，《电影新作》1（2019）：122-125。

3　参见 沈安妮："《被掩埋的巨人》与电影《潜行者》联动的双重叙事进程"，《东北大学学报（社会科学版）》1（2021）：121-126。

4　参见 Daniel Candel, "Covert Progression in Comics: A Reading of Frank Miller's *300*," *Poetics Today* 4 (2020): 705-729.

5　参见 高佳艳："《棋王》走向英语世界的历程——隐性进程的损伤与'寻根'的变异"，《外语研究》2（2022）：71-77。

6　参见 杨陇："语料库视域下中国先锋小说英译之双重叙事进程翻译建构"，《外语研究》4（2023）：72-79。

究者的集体倾向，以至于"我们在短短的〔20世纪末的〕二十多年间，几乎把现当代西方文论整个抬了过来"（王晓路 144）。在这样一个西方"理论帝国"的时代，申丹将自己置于一个反思西方理论和理性批判权威的时代场域中，为"中国外语领域的学者努力在国际前沿开拓创新，帮助建构由中国学者创立的理论话语体系"踏出一条路径（申丹，《跨越》 IV）。"后理论"带来中外学界不同形式的理论危机思潮，同时也为中国外国文学研究自主创新理论话语体系提供了深层思考的空间。

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The Literary Representations of Holocaust Perpetrators and Its Ethical Dilemma

Liu Yan

Abstract: This essay discusses the representations of Holocaust perpetrators in Bernhard Schlink's *The Reader* and Rachel Seiffert's *The Dark Room*. The narrator/protagonists in the two stories are thrown into ethical chaos upon realization of the multiple identities of their loved ones and they strive to gain ethical judgment by exercising reason and through different ways of education before finally taking ethical action to accept the past of their perpetrator (grand)fathers. Their experiences reveal that the second and third-generation German war descendants find diversified ways of recognizing the contradicting identities of their ancestors. The essay further argues that the writers of the two stories use similar writing strategies to sustain the basic ethical position in treating materials in relation to mass killing.

Keywords: *The Reader*; *The Dark Room*; Holocaust perpetrator; literary representation; ethical dilemma

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标题： 大屠杀事件施暴者的文学表征及其伦理困境

内容摘要： 本文研究的是本哈德·施林克在《朗读者》和瑞秋·塞弗特在《暗房》中塑造的施暴者形象。两部小说的叙事主人公在意识到亲人的多重身份后陷入伦理混乱的境地，努力通过理性思考和多重教育手段获得伦理判断，最终采取伦理行动以面对施暴者亲人的过去。他们的经历表明，德国战争第二代和第三代后人经由差异化途径终于认可了先辈的矛盾身份。本文据此进一步指出，小说作者采用了相似的书写策略以维系在处理大屠杀材料上的根本伦理立场。

关键词： 《朗读者》；《暗房》；大屠杀施暴者；文学表征；伦理困境

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Holocaust literature is generally divided into three kinds based on its "principals"

(Lang 96)—victims, perpetrators and bystanders. Among these three kinds, those portraying perpetrators as the central characters, especially written by the second and third-generation German descendants of WWII, appeared in the recent decades, much later than the other two. In comparison with their (grand)fathers who may or may not have been involved in the persecution of the non-Aryans during WWII but who chose to remain silent about it afterwards, the younger generations are brave enough to engage in writing the perpetrators directly in the hope of reflecting over the effects of their misbehavior on the offspring and on the German ethnicity. For them, whether the Holocaust can be represented in the form of literature is no longer a question although the debate over its validity lasts for several decades.

However, how to represent the perpetrators' deeds in the war, how to portray the complex humanity of the perpetrators, and how to evaluate the perpetrators' behavior upon himself and others—all these questions involve ethical judgment and ethical choice. On elucidating the objectives of ethical literary criticism, Nie Zhenzhao argues that it intends to "criticize literature from the perspective of historicity, and to shed a new light on literature of different historical periods from an ethical point of view" ("Towards an Ethical Literary Criticism" 91). Seen in this light, it is necessary to appeal to ethical literary criticism in order to address the above-mentioned questions closely. Only by placing the perpetrators and their stories back into the particular historical contexts can we discover the ethical dilemma that were faced by writers and the corresponding writing strategies that are adopted in representing the criminals. In Nie's theoretical discussions, ethical selection[1] is more important than biological selection elucidated by Charles Darwin since it "explains the distinction between human beings and animals in a cognitive sense": "It is ethical selection that helps to endow human beings with reason and ethical consciousness, and thus eventually turns them into ethical beings" ("Ethical Literary Criticism" 386). Thus, this stage transcends the biological level to the cognitive level in determining the ethical identity of a human being. In this process, reason and education play important roles in shaping one's ethical consciousness. In Holocaust stories, the descendants of perpetrator (grand)fathers are thrown into ethical chaos since they are faced with two opposing images of their beloved, that of a (grand)father and that of Nazi perpetrator. They must go through a difficult journey of making ethical choice by way of reason and education in order to

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1   In Nie Zhenzhao's theoretical construction of ethical literary criticism, "ethical selection" and "ethical choice" are different. Whereas the former is related to a stage of human evolution in comparison and contrast to natural selection, the latter refers to the specific action made by the agent in a specific situation. See Nie Zhenzhao, "Value Choice and the Theoretical Construction of Ethical Literary Criticism," *Social Sciences in China* 10 (2020): 73.

develop the complicated ethical identity as perpetrator descendants.

This essay will discuss these inter-related issues in light of Nie's ethical literary criticism, by analyzing two Holocaust stories which portray the complex characterization of the perpetrators, namely *The Reader* (1998) by Bernhard Schlink and *The Dark Room* (2001) by Rachel Seiffert, written respectively from the perspectives of the second and the third-generation German war descendants. It is intended to achieve a better understanding of the effects of the Holocaust upon the German younger generations, especially with reference to the formation of their ethical identities and their attitudes toward history.

1. The Revelation of Ethical Chaos

In Nie's elaboration of ethical literary criticism, the realization of the multiple identities is the central ethical knot since the protagonists have to face the consequences of such revelation. As the story goes, the changes of the characters' ethical identities directly cause ethical chaos and the original ethical order collapses immediately. It is this moment that marks the critical turn in the narrative progression. It is natural to find the complexity of one's identity since "the moral implications of the text within specific historical times" are determined by "the intricacy of characters and plots" (Nie, "Ethical Literary Criticism" 398). In this ethically chaotic situation, man is forced to make an ethical choice in order to resolve "dilemmas around good and evil, duty and pleasure, loyalty and freedom" (Tihanov 560). In this sense, ethical chaos is a preliminary stage for a person to untie the ethical knot and to develop ethical consciousness.

In both *The Reader* and *The Dark Room*, the ethical knot is the revelation of the multiple identities of the beloved family member to the narrators. The story of *The Reader* is told from the perspective of a 15-year-old schoolboy by the name of Michael Berg who, upon realizing the SS identity of the girl he loves, struggles to help her toward redemption. In a similar way, the story of *The Dark Room* is also concerned with the revelation of a hidden identity. In this case, it is the SS identity of the grandfather of the protagonist Michael Lehner (Micha). The pursuit of the historical truth remains as the central storyline of both stories. The revelation of the multiple identities of the (grand)father throws the narrators into ethical chaos where he struggles to find salvation.

The Reader begins with the narrator Michael recalling his adolescence when he was struck down with hepatitis. It was just during this period of staying away from school that he fell in love with Hanna, a tram conductor. The affectionate feeling that was developed between them grew stronger each day until Hanna

disappeared all of a sudden. The next time when they meet again is in a courtroom. Michael is now a college student of law and Hanna is on trial for causing the death of several hundred women by imprisoning them in a village church during a bomb attack. Michael does not recognize her until her name is called, but he feels numb: "I recognized her, but I felt nothing. Nothing at all" (Schlink 93). This numbness continues when Michael sits in the several hearings and pieces together what Hanna may have done during the war. The emotional detachment of Michael suggests his negation of the past connections with Hanna since it is against his moral principles to feel sympathetic with a war criminal. It is not that Michael forgets the past romance that has taken place between them, but that his amnesia is the best way to remember the past since forgetfulness and recollection are complementary means of memory.[1] In this sense, it is better to remain numb to the woman he loved. Only by doing so can he keep those sweet memories intact.

Apart from Michael's deliberate forgetfulness of the connection with Hanna who is now tried in court as a perpetrator, his numbness is also attributed to the loss of verbal expression upon realizing the horrendous deeds that the criminals have done. Judging from the age gap between them[2], Michael's attitude toward the perpetrator represents that of the second-generation German offspring. Looking at those people who perform different duties in court, he is puzzled and shocked at the same time at how the lives of the common people have been significantly changed by the war: " […] when I was preoccupied by this general numbness, and by the fact that it had taken hold not only of the perpetrators and victims, but of all of us, judges and lay members of the court, prosecutors and recorders, who had to deal with these events now" (Schlink 101). What Michael sees now challenges his vision of the world which further causes the collapse of the ethical order in his mind. The ethical chaos has driven him speechless since "he is unable to reconcile his knowledge of Hanna the perpetrator with his experience of Hanna the lover" (McGlothlin 204).

Similar ethical chaos also happens to high school English teacher Micha in *The Dark Room* who travels to Belarus three times in order to find out whether his grandfather has been involved in the shooting of the Jews. Different from the previous story, however, this story takes place almost half a century after WWII and focuses on the third-generation offspring of the perpetrator. Micha remembers

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1   See Patrick J. Geary, "History as Memory," translated by Chen Hao, *History, Memory and Writing*, edited by Luo Xin, Beijing: Peking University Press, 2018, 137.

2   Hanna was 36 years old when she developed affectionate feelings with the 15-year-old Michael. She always addresses Michael as "kid." This suggests a parent-child age relationship between the two characters.

his grandfather as a kind old man who loves his family. On a colored photo taken shortly before grandfather's death, "Michael sits on his Opa's lap, legs dangling, smiling into the lens […] Opa has his hands folded across Michael's tummy and is smiling, too, but not at the lens. He is looking only at the boy on his lap" (Seiffert 234). This intimate and affectionate relationship between the grandfather and the grandson is imprinted on the photo and remains in Micha's memory for many years after grandfather's death. However, when he wonders whether Opa was an SS soldier and thus a war criminal, the loving image of Opa on the family photo changes: "My Opa. Mostly. But sometimes he's a Nazi, now" (Seiffert 245). The reason why the same image carries different meanings is that people tend to understand the world based on what they think and feel about it. The static image on the family photo reveals only one aspect of a person, "a fragment": "A photograph changes according to the context in which it is seen" (Sontag 82).

Micha's hesitation suggests his ethical chaos since the image of a loving grandfather and the image of a possible SS killer go against each other. He later engages in three trips to where his grandfather has served in the army until he meets Josef, a survivor and "collaborator." Josef is a person from the past and embodies the legacies of the war. In him Micha reconnects to the lost memories that the family photo fails to convey, thus clearing his doubts about his grandfather's involvement in the mass killing. The ethical knot in the story remains tied until Micha reaches the historical site of the killing in his third trip: "Micha stands on the edge of the clearing […]. Feet on the boundary where forest floor gives way to grass. Fists, teeth, stomach clenched. [He] can't stand here on this soft ground, on this grass and moss. He turns away again" (Seiffert 386-387). Micha's escape from the site of the killing reveals his inner terror at facing the historical truth. For the third-generation war descendants such as Micha, they can only establish a link to the past through imagination and by reconnecting to "the referent of the mark" (McGlothlin 10), which may include the oral narrative of the survivors, the photos of the historical events and the historical remains. Thus, standing by the clearing means a return to the past, a bare truth which is too shocking for Micha to face. This moment marks the complete collapse of the ethical order for him.

In both stories, the narrator/protagonists experience a similar moment of mental confusion. The revelation of the different identities of the persons they love is the ethical knot in the narrative progression. This moment of revelation is crucial in the development of the story since it requires them to make ethical judgment. For both Michaels, the revelation is a betrayal of their emotions, a denial of their own previous lives and a challenge to their past memories. Their immediate actions, to remain

silent or to run away, are their unconscious responses, but neither action is an ethical choice made upon reason.

2. The Development of Ethical Consciousness

Both Michaels experience similar dilemma and only after they react to the situation with reason can they become "ethical beings" (Nie, "Ethical Literary Criticism" 386). The development of reason is an important process for human beings to become "an advanced species with ethical consciousness" (Nie, "Towards an Ethical Literary Criticism" 89). The ethical consciousness gained through reason is crucial in helping human beings to form "notion of good and evil" and furthermore, in differentiating them from animals (Nie, "Ethical Literary Criticism" 386). Therefore, the development of ethical consciousness is the necessary step for human beings to gain salvation from ethical chaos. As discussed above, both Michaels in the two selected stories have to face two contradicting identities of those to whom they feel emotionally attached. In *The Reader*, Michael tries to put together the two sides of Hanna, and in a similar way, Micha in *The Dark Room* struggles "to reconcile the images of the Opa with those of the Nazi" (Berberich 272). However, two Michaels experience different ways to acquire ethical consciousness.

For Michael in *The Reader*, the acquisition of ethical consciousness is made possible through several hearings at court. As a law school student, Michael has the opportunity to sit in the courtroom to observe the trial. "The persecutors sat in front of the windows, and against the bright spring and summer daylight they were no more than black silhouettes. The court, three judges in black robes and six selected citizens, was in place at the head of the courtroom and on the right-hand side was the bench of defendants and their lawyers" (Schlink 93). The detailed description of the layout of the courtroom displays a solemn atmosphere against which Hanna appears. The persecutors, sitting against the sunlight, do not show clear facial expressions and they represent anonymous power of accusation; whereas the faces of the defendants and their lawyers are fully exposed in the sunlight. Against the several charges, Hanna insists on what she believes to be right or wrong: "When she thought she was being done an injustice, she contradicted it, and when something was rightly claimed or alleged, she acknowledged it" (Schlink 108). Hanna's honesty paves the way for the upcoming puzzle. When the judge asks her whether she has made room for the new prisoners by sending them to be killed, she comes up with a question that remains as central to the debate: "[…] so what would you have done?" (Schlink 110) This question is directed to the judge since Hanna is at a loss with what she could otherwise have done in that circumstance. It is also directed to all others in the courtroom—

judges, lawyers, prosecutors and the jury panel—to question whether they could have done the same thing as Hanna did. Michael certainly takes that question seriously and he begins to question whether Hanna's choice is an ethical one.

Michael's reason is reinforced by his discussions with his professor at law school, "one of the few at that time who were working on the Nazi past and the related trials" (Schlink 88). Michael participates in his seminar during which the topic of "retroactive justice"[1] is brought to open discussion. After a chain of five questions concerning law and law enforcement, Michael is awakened to the realization that probably no one would believe that they have committed the same crime now. The concept of "retroactive justice" is believed to be put forward by Randy E. Barnett to refer to the possibility of doing justice after the event, particularly by reflecting on the effects of the deeds afterwards. To evaluate justice across a span of historical time is to think of the issue in the perspective of historical materialism. Nie reiterates the importance of placing a text into "specific historical contexts or ethical environments." Only by doing so can we locate the ethical value of a text (Nie, "Towards an Ethical Literary Criticism" 85). As a result of all the legal debates he has participated in, Michael gains ethical consciousness concerning the judgment of the past deeds of Hanna. He sits calmly in the courtroom to listen to the final verdict of Hanna.

For Micha in *The Dark Room*, the acquisition of ethical consciousness is gained from his visits to Belarus where he meets the war survivor Josef and hears him recall the past. At the same time, his discussions with his family members about Opa's possible misbehavior in the war only drive him more bewildered. His sister Luise negates Opa's participation in the mass killing and tries to find excuses for him, "maybe he never really knew what to think himself […] it was war and it was cruel and confusing and he couldn't tell right from wrong any more" (Seiffert 373). Micha's wife Mina draws his attention to "all those nice things" that Opa has done to his family (Seiffert 379). His father, too, insists that he should remember Opa's love for the grandchildren. However, Opa's image on the family photo sustains the image of a loving ancestor, "the myth of the ideal family" (Hirsch 8); whereas Opa's duty as an SS soldier is only imagined in Micha's mind based on his knowledge of history. The stronger the family negate the dark side of Opa, the more anxious Micha becomes to probe into the historical truth. Therefore, for Micha, ethical consciousness is only acquired by listening to the oral narratives of those who went through the war and by visiting the historical site.

1   For a definition of "retroactive justice," see Randy E. Barnett, "Restitution: A New Paradigm of Criminal Justice," *Ethics* 4 (1977): 279-301.

Both Michaels were absent from the historical sites. Michael in *The Reader* lives through the war but did not join the army because of his young age, so he was not present in Hanna's event. He belongs to the second-generation descendants to make judgment about their parents' misdeeds during the war. Micha in *The Dark Room* is the third-generation offspring of the war criminals. He, too, was not part of Opa's experiences. "The offspring of perpetrators inherit the history of their parents' unacknowledged crimes, a legacy of violence and violation whose effects are felt as a stain upon their souls" (McGlothlin 9). Since the memories of the second and third-generation offspring are not direct, they have to check the validity of the materials again and again before they are able to reach an ethical judgment. Such is the case with Micha whose judgment of Opa comes only after he finally arrives at the clearing in the woods, the remains of the mass shooting. Since historical remains are the foundational support of memory[1], Micha now gains ethical judgment concerning Opa's deeds during the war.

Although the two Michaels in the selected stories experience different ways of acquiring ethical consciousness, they successfully become ethical beings after mental struggles. Governed by reason, they are able to distinguish two contradicting sides that coexist in the same person: The good side is the one that they cherish as loving persons in their lives; the bad side is the one as SS soldiers that should be condemned as war criminals. This ethical judgment marks the turning point in the story lines since the narrator/protagonists have to respond ethically to the circumstance that they have found themselves in. The final resolution shows the triumph of the human factor over the animal factor because only the former "contributes to the formation of ethical consciousness" and works further as "the determining component of human nature" (Nie, "Ethical Literary Criticism" 388). This ethical choice salvages the narrator/protagonists from the previous mental confusion and marks their transcendence over the biological desires to the cognitive level of understanding history and humanity.

3. The Ethical Position in Literary Representations

Now that both Michaels have recognized the contradicting sides of the same person, they are now ready to untie the ethical knot based on their ethical judgment. The exercise of reason over the situation has helped them to gain salvation from the ethical chaos. The final resolution of the stories leads to further consideration over the ethics of representing perpetrators in literary writings, which is related to the

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1   See Aleida Assmann, *Spaces of Memory*, translated by Pan Lu, Beijing: Peking University Press, 2016, 364.

purposes of such representation for the writers as well as for the readers since "the ethical value of literature is its positive moral edification value" (Nie, "Value Choice and the Theoretical Construction" 88). The possible choices that the writers have made and the objectives that they intend to achieve in the process of writing these stories, therefore, should not escape from our attention.

Both *The Reader* and *The Dark Room* concern the representation of perpetrators, Hanna and Opa respectively. In portraying the perpetrators, Schlink and Seiffert take extra precaution since an essential ethical dilemma is placed before them: To portray perpetrators as mere criminals, they end up with creating flat characters that fit into character stereotypes; to portray perpetrators as complicated human beings who have their excuses for performing horrendous deeds during WWII, they run the risk of "speak[ing] on their behalf" (Adams 4), thus losing the basic ethical position. Against this ethical dilemma, the writers have appealed to a few writing strategies to avoid falling into this primary trap.

In the first place, neither writer writes the mass killing scene in a direct way. The horrible killing action is deliberately omitted in the narrative as if it is a taboo. In order to maintain the basic ethical position, both writers avoid writing the killing scene for fear that they would possibly be accused of beautifying the evil and of arousing uneasiness among readers. In *The Reader*, a gap of a few years is inserted between the initial acquaintances of the two protagonists and the courtroom scene. When Michael meets Hanna on trial again, the killing action has already taken place. In *The Dark Room*, too, the crime has already been committed when Micha was born. Therefore, neither Michael was present at the crime scenes, which does not disrupt the basic ethical order in the narrative since as Micha says to himself: "Stupid to feel guilty about things that were done before I was born" (Seiffert 247). However, the absence from the crime scenes does not guarantee total ignorance of the past tragedy since Michael realizes that he should be "guilty of having loved a criminal" (Schlink 133) and Micha realizes that he has been held dearly in the family photos by a killer Opa. In a way, "it is the very absence of this experience that is often an uncanny presence" (Grimwood 3). The emotional connection to the ones whom they love forces them to make ethical judgment with regard to history. In this sense, both writers place emphasis on the effects of the killing over the loved ones rather than the killing action itself.

Moreover, both writers aim at presenting the stories as a collective tragedy rather than an individual case, which strengthens the effects of Holocaust both for those who live through the war and for those who were born long after it. It is true in a sense that "[t]he Holocaust remains a profoundly personal matter for many

people who were not there" (Grimwood 30). The first-person narrative perspective in *The Reader* creates an intimate circumstance to bring the reader into the story. This perspective makes it easier for the reader to experience the same situation as the young protagonist who goes through mental confusion and who finally exerts his efforts to achieve salvation. Hanna herself is conscious that she was not alone in obeying the orders. The plural form of "we" (Schlink 114) that she uses to defend herself in court reveals a collective crime that the Nazi soldiers have committed against common people. Different from the first-person narrative perspective in *The Reader*, *The Dark Room* applies the third person point of view, and the story of Micha is presented in a relatively detached way. However, it is equally important for the reader "to consider the experience of alterity, of the otherness of others" (Nünning 47). This distance makes it easier for the reader to reach an ethical judgment in Micha's situation. For Micha, his quest for Opa's past is not only a personal obsession to know what is not written as family history, but also a collective reflection over this part of the national history. By making the personal collective, both Schlink and Seiffert successfully draw the attention of the reader to the nature of the Holocaust which is linked to the collective memory of the Germans.

Furthermore, both writers arrange for the narrator/protagonists to take the right ethical actions after gaining ethical consciousness. Both Michaels choose to accept the historical past: Michael in *The Reader* decides to help Hanna gain redemption, and Michael in *The Dark Room* takes his daughter to visit Oma (grandmother) as a way of "coming to terms with the past" (Berberich 267). In either way, they accept their identity as the descendants of war perpetrators. "Ethical choice is decided by one's identity. Different persons may make different choices, and different choices construct new identities" (Nie, "Value Choice and the Theoretical Construction" 77). The mutual influence between one's identity and ethical choice is well illustrated in the two stories in which the narrator/protagonists, caught in the ethical chaos as a result of the revelation of the contrasting identities of their loved ones, have to take ethical actions with regard to how to evaluate the deeds of their (grand)fathers in the war. The two writers, therefore, convey a clear message to the reader as to how to face the historical legacy of WWII, especially in relation to the deeds of war perpetrators, thus maintaining the essential ethical position in literary representations.

Ethical literary criticism "attempts to unpack the ethical values of literature, and the truth about social life depicted in literature from an ethical perspective" (Nie, "Towards an Ethical Literary Criticism" 100). For literary writings of the Holocaust, this ethical perspective is first revealed through the ethical judgment that the

protagonists have made, and then impregnated in the ethical duties of the writers. When Michael asks himself, "What should our second generation have done, what should it do with the knowledge of the horrors of the extermination of the Jews? […] Should we only fall silent in revulsion, shame, and guilt? To what purpose?" (Schlink 102) He may not have affirmative answers in mind, leaving some space for the readers to think over the ethical choice that they would have made. Micha's story continues with the discussion and provides affirmative answers to those questions. By persistently probing into the historical truth, Micha realizes that it is not ethical to remain silent about the past; neither is it ethical to pretend that the Holocaust has nothing to do with people of the present day. By writing about the effects of the event on the second and third-generation German war descendants, both writers aim at increasing the reader's awareness of how the darkness of humanity could bring such catastrophe to mankind. In literary spaces, they establish "mental processes that can subsequently be activated in real-life situations" (Nünning 47) so that mankind can avoid committing similar crimes again. In this sense, both writers display strong ethical duties toward history.

Bernard Schlink was born in 1944, shortly before the end of WWII and works as a law teacher at college. Rachel Seiffert was born to a German mother and she now lives in the UK. Both writers ask questions about the legacy of the war and what it means to be born a German. In their writings they try to reconstruct a link with history, from the perspectives of the second and the third-generation war descendants respectively. Both stories represent the complex identities of the perpetrators in the hope of enlightening an understanding of the complexity of humanity. Faced with the ethical chaos that has arisen from the multiple identities of their loved ones, both narrator/protagonists in the selected texts exercise reason to help make ethical judgment. Their final resolution reveals the triumph of the human factor to make them ethical beings. This process of moving from revelation to realization suggests that in reading Holocaust literatures, it is not enough to develop hatred, anger or condemnation on the part of the reader, but it is more important to keep alert to any possible danger that the darkness of humanity may lead to. It is this latter concern that stays much longer and deeper with every reader and that marks the true value of perpetrator representations in Holocaust literature.

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Trans-boundary and Trans-identity: *Pachinko*

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Abstract: Who hasn't questioned one's identity? *Pachinko* is a direct record and testimony of the narrative of Korean-Japanese who is struggling with his or her identity under the discrimination and prejudice that has continued from the past to the present, including the people who wander adrift. In the words of Foucault, we should hold a skeptical view toward ourselves, our present, our appearance and here and today. In this sense, the boundary crossing of Koreans described in *Pachinko* showcases the potential for enabling readers to critically contemplate violent discrimination in the era of multiculturalism and multiracialism, increasing their understanding of minorities and their cultures, and ultimately acquiring ethical insights from new perspectives. Furthermore, *Pachinko* can be seen as contents that present the possibility of acquiring ethics by understanding those who are discriminated against in society. This study examines narratives of discrimination and prejudice as they are represented across media in the novel *Pachinko* and the TV series *Pachinko*. This study also examines various aspects of life that move toward a decolonizing subject through the struggling life of characters. We interpret the existential aspect of characters as trans-identity and illustrate various aspects of identity transformation of characters that appear in narrative contents. Humans cannot be free from their ethical and identity related anxieties through the past, present and future. We are sure that literature, or content can continue to play a role that criticizes and supports those anxieties.

Keywords: *Pachinko*; trans-identity; decolonizing subject; Good Korean; Bad Korean; adrift

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标题：《柏青哥》的越界与身份转换

内容摘要：试问，谁不曾对自己的身份产生过疑问？《柏青哥》是一部记录，也是一部见证录，赤裸裸地再现了在长期以来的歧视与偏见之下，苦苦寻觅身份认同的在日朝鲜人，以及漂浮在世界各地的局外人的故事。借用福柯的

话说，我们确实有必要正视我们自己、我们的现在、我们的现状、我们所在的地方、以及我们所处的时代。从这个意义上说，《柏青哥》可以视作是通过在日朝鲜人的身份构建，对多元文化和多元种族时代中暴力性排斥的一种批判与反思。此外，这部作品还为我们提供了理解他者并将伦理性付诸实践的可能性。本研究考察了小说版和电视剧版《柏青哥》中歧视与偏见叙事的表达。同时，也探讨了人物通过奋斗蜕变为去殖民化主体的存在方式。研究通过"身份转换理论"对人物的生存方式进行解读与图式化，展示了人物身份转换的不同范畴与形式，包括完成身份转换的人物、位于身份转换桥上的人物以及因转换失败后最终选择自杀的人物。无论是过去、现在或未来，人类都无法摆脱关于伦理（性）和身份认同的苦恼。而文学与文化创本，正是对这种苦恼的批判与慰藉。

关键词：《柏青哥》；身份转换；去殖民化；好朝鲜人；坏朝鲜人；漂泊

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1. Why *Pachinko*?

When a writer creates a writing without reflecting his or her self in it, it is destined to fade swiftly. Only writings that breathe the essence of the writer's life can bear the weight of passing time and establish their presence in cracks of the changing world and human society. *Pachinko* is a concrete example of directness in emphasizing the position of Koreans who were deprived of their independent lives and unable to settle in one place. Ethical literary criticism is a field that examines issues on various ethical relationships, such as those between literature and ethical phenomena described in it, between a writer and creation, and between literature and society, by combining the fictional artistic world with the real world.[1] It is said that "true art and criticism serve moral purposes" (Goldberg 23). As such, ethical literary criticism pursues evident integrity and clear ethical objectives. The range of researchers in literature is not limited to literary critics or historians. Moreover, literature is always intertwined with ethical and moral issues. For this reason, it provides the potential for researchers to develop the field of literature-related ethics.[2]

    About ethical literary criticism of Nie's approach lies in the fact that he tried

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1   See Nie Zhenzhao, *Introduction to Ethical Literary Criticism*, Beijing: Peking University Press, 2014, 99; Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 189.

2   See Nie Zhenzhao, *Introduction to Ethical Literary Criticism*, Beijing: Peking University Press, 2014, 98-99; Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 189-190.

to seek to differentiate moral and ethical criticism. The moral criticism "being guided by the need to pass judgement from the mommentator's / reader's current perspective," while the ethical criticism "sets out to understand the specific evolution of literature as a tool of facing and resolving dilemmas around good and evil, duty and pleasure, loyalty and freedom" (Tihanov 560). In this regard, *Pachinko* serves as a record or evidence that directly describes the lives of Koreans who were deeply concerned about their own identity under discrimination and prejudice against them, which would still exist to this day, and who had to move from one country to another as strangers in the world.

Michel Foucault stated that "philosophers have a challenging duty to address current occurrences instead of eternal existence" (Foucault, *Dits et écrits* 581). He emphasized that we should hold a skeptical view toward ourselves, current moments, and conditions as well as existing places and the present day.[1] Foucault's arguments raise questions on why he stressed the skeptical analysis of the present. A clue for such curiosity can be found in human willingness to pose current problems to live as the owner of the future.[2] Foucault also argued that power-knowledge leads to formation of discussions.[3] In this sense, the boundary crossing of Koreans described in *Pachinko* showcases the potential for enabling readers to critically contemplate violent discrimination in the era of multiculturalism and multiracialism, increasing their understanding of minorities and their cultures, and ultimately acquiring ethical insights from new perspectives. In other words, *Pachinko* is the outcome of the writer's intense effort to extend issues on the isolation and identity of otherized boundary-crossers to those on universality in the trans-national era.

Pachinko is a novel by Korean-American Min Jin Lee that follows the lives of four generations of a family, spanning nearly 80 years of modern history from 1910 to 1989. *Pachinko* became widely known in 2019 when Barack Obama quoted the novel's opening line, "History has failed us, but no matter" (3). *Pachinko* was a finalist for the National Book Award. A *New York Times* bestseller, Pachinko was a Top 10 Book of the Year for the *New York Times*, *USA Today*, BBC, and the New York Public Library. And, Lee, the writer of *Pachinko* has received the NYFA Fellowship for Fiction, the Peden Prize from the *Missouri Review* for Best Story, and the *Narrative* Prize for New and Emerging Writers. Its success in Korea is likely due to the resonance of Anglo-American praise with the author's personal

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1   See Michel Foucault, *Dits et écrits 1954-1988* I&II, Paris: Éditions Gallimard, 1994, 750.

2   See Michel Foucault, *Dits et écrits 1954-1988* I&II, Paris: Éditions Gallimard, 1994, 434.

3   See Michel Foucault, *The Order of Things: An Archaeology of the Human Sciences*, New York: Vintage Book, 1994.

history. The author's personal history is a bold statement of directness. As a person who has moved to another country and made a life for herself, Min Jin Lee is a person who can empathize with the displacement and the subject as a stranger. The directness inherent in the author's life has the power to read the gaps that ordinary people cannot see and imagine new scenes.

Min Jin Lee said in an interview, "I knew important it was to focus on document-based analysis, and I really didn't want to get stuff wrong. Moreover, I couldn't eliminate or disregard the points of view that are so often marginalized or erased in traditional historical works" (Dilworth & Morefoot 22-23). In short, she made efforts to revive the lives of various surrounding people, which are overlooked in most traditional historical novels, based on detailed descriptions in her writing. She also intended to shed light on the existence of unknown individuals and events who and which were placed outside the center of attention. She would have scrutinized the life stories of outsiders, which were removed from the purview of the mainstream, due to her own experience of diasporic identity as a Korean-American.

As shown in the title of her book *Pachinko*, Lee introduced the concept of a pachinko to address a negative perception in Japan and criticize pervasive exclusivity in Japanese society. In other words, the idea behind this gambling machine was used to criticize Japanese society for its lack of understanding of diversity. Additionally, this idea suggests that the operation of pachinko is not a shameful business.

The author's empathy and awareness of diasporic identity is embodied in the story of the Korean people and the Pachinko. Lee explains that the game of pachinko is a metaphor for willpower. "The pinball-like game pachinko, which is deeply woven into the novel's fabric, serves as a metaphor for many things, but for me, it is primarily an idea of responding to an unfair situation with a sense of playfulness and vitality; it is a wish to stay in the game and play anyway, because you choose to live" (Dilworth & Morefoot 22-23). By borrowing Mozasu's insights from the novel, the author's directness toward Pachinko is revealed as a vehicle for instilling new possibilities and hope into a Korean life stained by images of crime and darkness. "Mozasu believed that life was like this game where the player could adjust the dials yet also expect the uncertainty of factors he couldn't control. He understood why his customers wanted to play something that looked fixed but which also left room for randomness and hope" (Min 292-293).[1]

Thus, a pachinko represents the indomitable will of people to survive in a

1   See Min Jin Lee, *Pachinko*, New York: Grand Central Publishing, 2017. All references will be cited hereafter in parentheses.

country ALTHOUGH they are neither recognized as citizens and nor allowed to do anything in this country. It can be inferred that a pachinko is used as a metaphor to imply that people leave their lives to uncertain results and gamble their fate. To put it differently, this gambling machine symbolizes the persistent lives of Koreans who strived to survive beyond challenges caused by historical flow.

Foucault stated that "every desire must be expressed in the pure light of a representative discourse" (Foucault, *Order of Things* 222). As indicated in his quote, modern literature directly addresses history but does not intervene in it. The role of literature is not to take sides but to bear witness. In other words, it whispers to give testimony to a certain event. *Pachinko* is a literary work where the logic of classical representation exists with the contemporary experience of desire. This novel has gained global reputation by conveying not only the life stories of Koreans based on their direct experience in the past but also the narratives of our ongoing experiences.

This study analyzed issues on the isolation and identity of main characters depicted in the literary and dramatic versions of *Pachinko*. To this end, it examined the aspects of existence of Koreans who faced discrimination and violence against them by overlapping images represented in both media. It also investigated the ways of highlighting the diasporic identity of Koreans, who were divided into "good Koreans" and "bad Koreans," and depicting hope in the literary and dramatic versions of *Pachinko*. Moreover, it structured the transformation of main characters by connecting it to the trans-identity of independent characters pursuing decolonization. Accordingly, it analyzed a shift in thinking of Koreans, who were excluded from the mainstream narratives of Korea and Japan, that they made to embrace their identity as boundary-crossers and strive for self-created lives by moving away from their identity stigmatized by racism. Through these analytic processes, it identified the intention of the writer of *Pachinko* who rejected the reproduction and categorization of racial and ethnic stereotypes and sought the possibilities of new identities.

2. The Ink under Fingernails: Indelible Scarlet, Blood

While reading *Pachinko*, it is hard to get Fanon out of the head. "O my body, always make me a man who questions!" (Fanon, "Wretched" 232) Racism in our society remains unresolved, and so do our imperialistic desires. Some questions must be raised with the body in contact with the earth. Who am I? Why do I live? What choices will I make? Each character in *Pachinko* suffers from identity confusion for different reasons, which can be self-inflicted or caused by society.

Pachinko is organized into three parts: Book 1 Gohyang / Hometown 1910-1933 with 17 chapters, Book 2 Motherland 1939-1962 with 20 chapters, and Book

3 *Pachinko* 1962-1989 with 21 chapters. Otherwise, the Korean translation is arranged in two books: Book 1 HOMETOWN 1910-1949 with 26 chapters and Book 2 MOTHERLAND 1953-1989 with 32 chapters. In addition, each chapter in the original is subtitled with the place and year, while the translation sets the main events or key points of each chapter as the subheadings. The author chose specific places and years as chapter subheadings because time and place are important factors in understanding the work. Unlike the titles of Book 1 and Book 2, which are related to places such as "Gohyang/Hometown" and "Motherland," respectively, the title of Book 3, "Pachinko," suggests that the ultimate theme of the novel is the characters' settlement.

Pachinko describes the dichotomous identities of Koreans in Japan as "good Koreans" and "bad Koreans" created by Japanese society. Koreans ultimately choose their attitude toward Japanese society: to remain silent and conform (assimilating under the guise of cleanliness) or to resist (remaining dirty and barbaric). It seems to mirror Fanon's portrayal of racism, which equates black people with ugliness, sinfulness, darkness, and immorality in a white-centered racist society.[1] Japanese society degraded Koreans to anonymity and fixated them to the boundaries it has created, treating Koreans as objects and erasing their individual subjects. The representative example is Noa and Mozasu, the sons of Sunja, the second generation of Korean in Japan.

Noa was a person who thoroughly conformed to the system and sought recognition from Japanese society above all else. He made every effort to become a "good Korean" to survive in a society where the Japanese looked down on Koreans as dirty blood. Having endured discrimination and being derogatorily referred to as a "garlic turd," Noa aspired to transcend his Korean identity and assimilate into Japanese culture. His self-hatred towards his Korean heritage stems from an illusory concept of fixed identity perpetuated by a deterministic Japan that emphasizes "blood." This represents a compliance with societal expectations without challenging its inherent absurdities, embodying a passive acceptance of one's predetermined destiny.

The turning point in Noa's downfall centers on his father. Noa held great pride in his father, Isak, who not only possessed cultural refinement and strong moral values but also met his demise while resisting the Japanese. His father's nobility served as his final support. However, when it is revealed that he is the son of the "scheming" yakuza Hansu, Noa retreats into hiding, driven by self-hatred for his perceived tainted lineage. In his quest to conceal his Korean blood and assume a

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1　See Frantz Fanon, *Black Skin, White Masks*, translated by Charles Lam Markmann, New York: Grove Press, 1967, 109-140.

Japanese identity, he discards his previous names of Baek Noa, Boku Nobuo, and Bando Nobuo, adopting the guise of Ban Nobuo. In Nagano, he continues to lead a double life, but deep within him, but "carried the story of his life as a Korean like a dark, heavy rock within him" (358).

Unlike his older brother, Mozasu embodies the image of a "bad Korean." In contrast to Noa, who excels academically and is an exemplary student, Mozasu doesn't feel like he can live up to what Japanese society wants, so he focuses on earning money early on. By immersing himself in the pachinko business, he harbors the belief that acquiring wealth would grant him recognition and equal treatment. In some cases, Mozasu can be interpreted as a movement of resistance to become a bad Korean and to escape from what Japanese society wants a Korean to be, but he is not trying to overcome prejudice. Instead of striving to alter or escape the dichotomous perceptions prevalent in Japanese society, Mozasu embraces the negative stereotypes and lives his life on his own terms. Through his decision to send his son, Solomon, to the United States, he aspires to break free from Japan and embark on a fresh start, diverging from his own unfulfilled existence, instilling in his son the quintessential American dream of a land that promises freedom and opportunity.

The lives of the brothers are predetermined and categorized by their nationality and social class, devoid of individual agency. Like Fanon's description of a "new race" being created by the white gaze,[1] the negative image of Koreans is a colonialist fiction created by Japanese society and its perspective. In the reality of being labeled as Korean residents and placed in that position by others, Noa and Mozasu are deprived of their autonomy and are merely victims of the images imposed upon them. In that sense, their existence serves as emblematic of the alienation and distorted identities resulting from internalizing the ideologies of a racist society.

Immanuel Kant argued that human beings are not free to live according to their own desires, but are bound by a moral law derived from pure reason inherent in every individual.[2] The categorical imperative is that humans should follow their own rules of behavior, a moral law established by pure reason and this moral law should be universally applicable to all human beings. It is also said that when one does a good deed in accordance with one's code of conduct, the motive must be the

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[1] "White civilization and European culture have forced an existential deviation on the Negro. I shall demonstrate elsewhere that what is often called the black soul is a white man's artifact." See Frantz Fanon, *Black Skin, White Masks*, translated by Charles Lam Markmann, New York, Grove Press, 1967, 14.

[2] See Immanuel Kant, *Kritik der praktischen Vernunft*, translated from the German by Paek Chong-Hyon, Seoul: Daewoo Classical Library Acanet, 2002, 437-466.

code of conduct itself, and that doing a good deed to fulfill one's personal desires is a violation of the code of conduct. In other words, genuine moral action can only occur when reason is used in a public manner. Saying "I will do something for a certain purpose" is a private use of one's beliefs. Acting on one's desire to assimilate into Japanese society, or to become rich to gain acceptance, is also a private use of reason. This is not a truly enlightened act because it involves aligning one's standards of humanity with the rules of the society to which one belongs.

The brothers' diasporic situation is directly reflected in their names. Like Korean residing in Japan, Mozasu has three names: Baek Moses, the Korean name; Boku Mozasu, the Japanese name; and Bando Mozasu, the Japanese surname on school documents and residency cards. Interpellation is a marker of self-definition, and thus expresses the undefined identity of the Koreans as perpetual outsiders. This places them in a heterotopian space that Foucault describes as "existing outside of all places, dreaming of a land that is nowhere between two or more names and two or more places."[1] This is different from the characterization of Sunja's father, who is "born with a cleft palate and a twisted foot," expressing his unstable identity as a Korean born in a colonized land, struggling to find balance on both fronts.

 "Culture comes to be associated, often aggressively, with the nation or the state; this differentiates 'us' from 'them,' almost always with some degree of xenophobia" (Said 8). Edward Said argues against the marginalization and identity issues faced by individuals residing in border regions. He challenges the idea of culture and nation as extensions of colonialism and imperialism. The latent culture of colonialism in *Pachinko* can be summarized as the "Ikaino,"[2] the only space where Koreans live in Japan. Unlike the pristine Japanese residences, it is a slum where "comprised of mismatched, shabby house. the shacks were uniform in their poorly built manner and flimsy materials" (100), and is "place is fit for only pig and Koreans" (100), making it a sub-colony within Japan.

In contrast to Noa and Mozasu, there is also a figure who defies the constructed image imposed by Japanese society and instead fulfills a prophetic calling - Sunja. Sunja, is a third-world woman who destined to endure "endless work and suffering"

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1   "Brothels and colonies are two extreme types of heterotopia, and if we think, after all, that the boat is a floating piece of space, a place without a place, that exists by itself, that is closed in on itself and at the same time is given over to the infinity of the sea and that." See Michel Foucault, "Of Other Spaces: Utopias and Heterotopias," Architecture/ Mouvement/ Continuité in October 1984, was the basis of a lecture given by Michel Foucault in March 1967. Translated from the French by Jay Miskowiec.

2   No one will rent to the Korean; a dozen in a room that should be for two, men and families sleeping in shifts. Pigs and chickens inside home. No running water. No heat. The Japanese think Koreans are filthy, but they have no choice but to live in squalor (119).

and is a "worm" who lives an inferior and barbaric life in the eyes of the Japanese. According to the customs of Joseon at the time, she was not easy to get married; her father was a disability and she got pregnant with Hansu Koh who was already married. Sunja is a woman of many layers of marginalization, intertwined with ethnicity, class, disability, and education. She accepts the fatalism that "a woman's lot is to suffer" (414), but she challenges her fate. She is a vibrant character who does not subscribe to the blood determinism of "bad blood, bad seed" (414), but lives her life as "a pragmatic woman" (222) and as a person "to understand how to survive" (109).

This is the kind of person who overcomes racist and imperialist societies. Sunja presents a life of self-choice and self-making, refusing to conform to predetermined circumstances. Albert Camus said, "It is tragic only at the rare moments when it becomes conscious. There is no fate that cannot be surmounted by scorn" (90). No matter how harsh the fate, it can lose its power the moment we recognize it. By understanding the origin of our suffering, we can distance ourselves from it. If we can realize the fate and the blood are not our choices, but something given, then they no longer hold sway over us. The key difference between Sunja and Noa lies in self-awareness. Noa, unaware of his circumstances, continued to live his life according to the expectations of Japanese society, which denied his humanity.

To overcome these challenges, we must be able to face the true enemy. When we know exactly who the enemy is that has kept us from defining ourselves. However, Noa did not know the direct enemy responsible for his anguish. This is because the abstraction of an enemy does not directly shake or resonate with his personal experiences in the world. He could only curse his own tainted blood, and he could not curse the society that had created the situation or slander Japan. His shame regarding his blood prevented him from fully understanding himself, his parents, and his lineage, making it difficult to overcome these obstacles. While he wanted to be the good, sincere human being his father admired, but he was too young to fully embrace his father's ideals.

The lack of clarity about who the enemy is comes from the emotional disconnect between direct experience and pain it inflicts. It should be an intensely agonizing and challenging process, but our perception of the difficulty is shaped by our own imaginations. We cannot fully understand each other because the pain and suffering of the past generations is so deeply incomprehensible to the younger generations. Life becomes wearisome, empty, and devoid of vitality when we lost a tangible enemy to fight against. This can be traced back to the event of Noa's suicide. Shame does not lead to new possibilities. The moment we recognize the

true nature of our pain, we can move away from it.

3. Composed Intone and Aggressive Impart: *Pachinko* (2017) and *Pachinko* (2022)

Pachinko is a successful content that has gained significant acclaim as a literary masterpiece and raised a budget close to 130 million dollars per season on Apple TV. It is also remarkable that a Korean-American, skillfully using the story of four generations of Korean Japanese to depict the absurdity of modern Japanese society, was able to resonating with the hearts and minds of the American audience. This can highlight the role of literature in the age of globalization. The life of an immigrant in any country is not easy, but I believe that Americans would have actively sympathized with the author's sense of subject matter, focusing on the uniqueness of Japanese society that cannot be absorbed even after generations.

In terms of authorship and immigrant narrative, *Pachinko* can be introduced as a diasporic work that deals with the hardships of immigrants throughout history. People loves the book because of its generality, but it is more discriminating because it pinpoints the specificity of the maladies of current Japanese society. Above all, the critical mind of this book is along the same lines as Ruth Benedict's *The Chrysanthemum and the Sword: Patterns of Japanese Culture*. And I would dare to say that *Pachinko* is a novel that mirrors the image of Japan in *The Chrysanthemum and the Sword*, which accurately pointed out Japan's regressive and uncivilized aspects.

Criticism of Japan is more directly expressed in TV series adaptation of *Pachinko*. Unlike the novel, which unfolds in a chronological order along Sunja's trail, the series employs a narrative structure that alternates between her past and present perspectives. For the sake of dramatic impact, its episode crosses between Sunja's past and Solomon's present, making present the lines of discrimination drawn by Min Jin Lee. By superimposing the narrative of Sunja, who has moved from the periphery of imperial colonization and normal family discourse to the periphery of another discriminatory front, marked by "dirty blood (Korean ancestry)," and the narrative of Solomon, who has fallen through the cracks while striving to acquire wealth and rise in status in order to erase the stigma of being a Korean in Japan, the series captures the blood that cannot be erased even after 50 years.

The interesting point is that the TV series made by American staff are much more political and social. And the series was edited to more clearly reflect the societal tendencies prevalent in Japan at that time. Through the lives of Koreans

who were forced to settle in Japan, the series exposes the discrimination and insularity of Japanese society, which is not well known, by incorporating additional episodes not covered in the original novel. The Korean resistance during the Japanese occupation, which was not absent in the source material, drawing parallels to the relationship between Jews and Nazis, while portraying Koreans as a resilient and proud people.

While the novel unfolds its narrative chronologically, the TV series subverts the conventional sense of time by conveying images that intersect past and present. And the intersection of past and present, the intersection of the Sunja's experience and Solomon's reality, is what allows the later generation to understand the earlier generation. In other words, the series makes it possible for us to infer and experience a little bit of the experience of the generation before us.

The Solomon episode shows it in contrast. "All that matters really, is that at the end of the day your own tally defies gravity" (Episode 3 20:23). Solomon's values are "upward." His quest for success is visually represented through the mise-en-scène, with his first appearance in an elevator ascending towards greater heights. When he visits to grandmother's house, determined to acquire it for a Japanese company, begins with a purposeful climb up the stairs. But she does not want to sell her hard-earned home in Tokyo to a Japanese company that pretends to be noble. Everyone (even her children) including Solomon, tells her to let go of the past. Solomon's boss, Kazu says, lacks of understanding, "Why can't people just get over that, you know? It's the past. It's done" (Episode 2 9:22). But when Solomon, who has been told that the past doesn't matter, comes to understand grandmother's words, "the past can't be forgotten," the trajectory of his life takes a downward turn. He throws his tie, a symbol of his success, down the stairs and rushes down the stairs from the top floor where he rode the elevator. This scene is symmetrical to the scene in the past when Sunja and Isak were constantly descending to the lowest compartment on the ship bound for Osaka. Solomon finally settles at the bottom feeling relieved understanding the past of the Korean-Japanese who were treated like cockroaches or pigs and had to live like pigs in a pigsty because no one would rent them a house. In the end, he reaches a point of understanding the pain of history and his people.

Solomon's awakening is depicted very dramatically in Episode 4 of *Pachinko*. The understanding of the past is conveyed through the medium of "water." In a scene where Solomon sits dazed in a conference room after the failed contract, the camera zooms in on a rippling glass of water in front of him, cracking his highly goal-oriented life. At the bottom of the seemingly endless stairs, Solomon is drenched

in the pouring rain. This is in contrast to the Japanese people around him who open their umbrellas. In the very next scene, the Sunja in Busan steps out of the taxi and starts to get rained on. The scene cuts to show Solomon dancing in the rain to the music of a street band, while the Sunja walks into the sea and bursts into tears. In this moment, the deeply ingrained "Han 恨 " that had been lost and forgotten to the force of time, modernization, and capitalization, connects across the past and present. Although they are more connected by blood than anyone else, their frustration at not being able to understand the pain of past generations erupts into Solomon's dance. The repeated intercutting of Solomon and Sunja expresses that the pain of the past must be understood and empathized with by the next generation. Only then will we be able to untangle the knots of previous generations and stand up straight. As the younger generation first draws the pain of the past into the present and soaks it into their bodies like rain, the older generation then sends the pain that has accumulated over the years out of their bodies in waves. This scene conveys the meaning of rain and waves, or the cycle of water, as a way for the younger generation to understand the unforgettable national "Han," ensuring the continued flow and progression of our history.

"[…] it was reckless, it was dangerous, He should never have been trusted. He made a fool of us" (Episode 4 55:35). The arrogant Japanese chairman continues his dismissive attitude towards Korean. The image of the Japanese avoiding the rain is a metaphor for the Japanese tendency to hide the past and distorting history. In contrast, the moment Solomon understands and sympathizes with what happened in the past, Sunja looks much relieved than ever on the screen. The tears that were shed between Sunja and her mother before she left for Osaka are resolved through Solomon's empathy.

Narratives that criticize the intolerance of Japanese society do so in a variety of ways. The first time a character appears on screen, in particular, the writer or director has done a lot of work for the careful portrayal. One such significant scene occurs with introduction of Hana. Hana is Etsuko's teenage daughter and Solomon's first love. She was discriminated against in Japanese society because of her mother's dating history with multiple men. The scene in which she makes a noise of scratching the fence, the boundary of the school, is an expression of Hana's frustration at not being able to enter the mainstream of Japanese society, but only touching the edge. Hana desired America, the land of the free, a world where she would be treated equally unlike Japanese society from her childhood to her death. However, as she became an adult and fell ill, her utopia of freedom from discrimination became unattainable. Her unfulfilled dreams and hopes for

that place are represented by a scene in which the Coke she drinks in her hospital room, symbolizing America, disappears completely. The three scenes, Hana's death, Sunja's grieving face, and the flashback to the past depicting Sunja on the day her husband was arrested are intercut. At the moment of Hana's death, she watches a bird flying in the sky. The bird flying out of Japanese society, where it was trapped by discrimination and boundaries and into the open sky, is a metaphor for her destiny, granting her freedom through death. The bird flying into the sky connects the ends of Hana and Noa, who were unable to overcome discrimination and scorn, and Isak, who dreamed of a new world but was unable to fulfill it. In the TV series, the sky and the birds are connected to the death of a character who longed for equality. After Kyunghee, Isak's sister-in-law was dead, the two metaphors also appear when scattering her ashes into the sea.

In the TV series, the sea serves as a symbolic representation of Sunja's "*Gohyang*/Hometown." For Sunja, the sea is not only the source of her family's livelihood but also a place where she healed from the loss of her father. In Episode 4, when Sunja returns to Busan, the ocean is also the place where she cries her heart out. For Koreans who could not even eat rice from their own land, the sea is described as a space like a mother who gave away everything she had. It used to protect the lives of people who had everything taken away by the Japanese government. Moreover, the sea is a medium for expressing the profound "Jung 情 " of our nation, as Sunja's family relies on it for their livelihood, and maintains connections with their neighbors. The sea of our homeland, which was the last place to remain purely ours while everything on the ground was being trampled by Japan, can be interpreted as a maternal figure that embraces us. That is why Sunja chooses to bury Kyunghee's ashes at sea, rather than on land.

Sunja gives Solomon the watch, which she had received from Hansu, can be seen as a transfer of subjective agency to Solomon. There are two different life style. One is the life of Hansoo, who aimed to "live well" after enduring the tragedy of the Great Kanto Earthquake, and the other is the life of Sunja, who aimed to "how to live well" without compromising her integrity. Sunja lost Isak due to Japanese oppression in the 1930s and Hana due to Japanese society's discrimination against the socially disadvantaged in the 1980s. The intersection of the past and present events, which shows that Japan's barbarism and discrimination still persist, gives Solomon a crucial choice regarding his own life in Japan. The two belief, Hansu's belief in guiding Noa to take the "shortcut, not the path where the music is heard" and Sunja's belief in "raising you up right" were passed on to Solomon through the watch. This leads to the inference of Solomon's fate: will he choose between

the two options of Hansu's life and Sunja's life, or will he create a new life of his own? The upcoming season of *Pachinko* is expected to delve into the results of the character's variations/choices and how they have shaped their lives.

4. Decolonizing the Subject and Trans-identity

Finally, here expands the understanding of the character by connecting Franz Fanon's concept of decolonizing the subject and its relevance to trans-identity. The term trans-identity refers to the ever-changing nature of identity, but more importantly, the intention is to move beyond fixed perceptions of the world and the problems that arise from one's incomplete identity. In the real world we live in, the question of identity is high on the agenda; past and present even future. This is because human existence itself revolves around the search for self-identity within the context of surrounding world, interactions with others, and the larger societal framework.

Daegeun Lim, who had a discussion about identity, explains the value of the prefix "trans-" as "a critique of a system of perception that treats the world as a separate object, but one that interferes with, penetrates, traverses, and transcends each other in various ways" (Lim, "Concept" 139). Dichotomous ideas, binary oppositions, necessarily lead to hierarchies between two distinct realms. These dichotomies, such as center/periphery, subject/other, right/wrong, hierarchy/column, good/evil, and so on, assume certain domains as universal while relegating others to a particular status, leading to oppression and exclusion. In the realm of identity itself, there is a constant clash between the two perspectives of what we perceive ourselves to be and what society defines us to be, raising the perpetual question of which perspective holds the essence of our being. Humans are forced to choose a category and try to fit their identity within its boundaries. However, the concept of "trans-" criticizes the dichotomous thinking that dominates the world, and seeks diverse perspectives and freedom of thought. Humans are constantly trancing (traversing). To pursue personal happiness and seek answers to existential questions about our own identities, we must transcend societal perceptions that are confined within a binary framework. The socially constructed identities arbitrarily impose and oppress one another. This conflict of identities is very evident in the characters of the narrative. And *Pachinko*, which weaves a narrative centered on Japanese blood, is a more dramatic example of this than any other.

According to Fanon, the decolonization of the subject requires a constant critique of Eurocentric values and worldviews, as well as a constant vigilance against their naturalization. It aims not to mimic European achievements, technologies, and forms,

but to "create new human beings (subjects)" that Europe cannot imagine.[1] The new history of humanity must be a history of struggle against the enemies that dehumanize human beings, that is, the struggle to create a society in which human beings are not oppressed, exploited, and discriminated against by fellow human beings. This identity shifting is reflected in the narrative of the human's constant self-doubt in the characters. "The transition of identity can begin with the denial and departure of the old identity and end with the acceptance and arrival of the new identity, with a myriad of functional relationships occurring along the way. This process is accomplished by crossing an identity bridge that connects the departing and arriving identities, but it does not happen in a straight line or in one direction. It is a function of a myriad of phenomena, including forward and backward movement, progress and stopping, concealment and exposure, obstacles and overcoming" (Lim, "Some Representations" 276).

In the process of decolonization, Fanon always situates the problem of the subject in relation to socioeconomic realities. In The Cursed of the Earth, the problem of race cannot be detached from the problem of class. The process of modern colonization was a globalization expansion of capital, whereby non-Western peoples were colonized and victimized as the absolute other, representing barbarism, in order to delay the crisis of Western capital accumulation. The globalization of capital and colonial racism entails the dehumanization of the proletariat and black (colonized) people. Western humanism, which claims the inherent equality of human beings, is a bourgeois ideology and a political ploy to cover up the oppression of others. Instead, Fanon argues that the new humanism should not be a humanism formally declared to justify the superiority of Western civilization and its colonization, but rather a process of decolonization for individuals to liberate themselves and become new human beings. In other words, political decolonization can only be completed when it is linked to the decolonization of the subject and its consciousness. This decolonization intersects with Lim's shift in self-awareness to trans-identity.

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1 "Let us decide not to imitate Europe; let us combine our muscles and our brains in a new direction. Let us try to create the whole man, whom Europe has been incapable of bringing to triumphant birth." See Frantz Fanon, *The Wretched of the Earth*, translated by Constance Farrington, New York, Grove Press, 1963, 313.
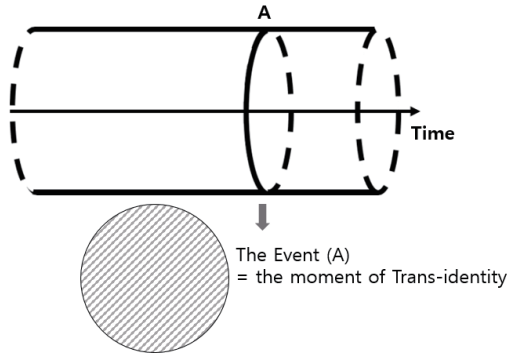
Figure 1 The Mise-en-Scène of Trans-identity

Imagine a large cylinder as an imaginary stream of time. If you cut off a section of the long cylinder and unfold it, you can see a scene in the stream of time. In this cross-section, the character bends and shifts identities according to events. The moment of transition can be fleeting, or it can linger, lamenting the cylinder. The elongated structure of the cylinder depicts a character drifting on an identity bridge. Being neither fully Japanese nor Korean, they are heterotopian in their very existence as foreigners living in Japan, unable to belong to any category. They are separated by blood and space.[1]

Sunja, portrayed as a strong-willed character. She embarks on selling kimchi to support herself, and eventually builds a life with her roots. "This is the kimchi my mom taught me. It's the best kimchi in Osaka." It's a gritty scene that shows a determination to survive on the land. To live a life is to take control of one's life. Sunja's business is seen as a step towards self-reliance as a human being, and it is a scene that reveals the power of her being an agent in her own life, a moment that shouts out her presence in Osaka, a city where she has been forced to be passive. She stood tall as a new person-the head of the family. The adept who gains that power does not care what others define her as; she establishes herself as a mother and as the head of the family. Sunja This has no implications for Sunja's recognition as Japanese. She has achieved subjective independence and has established her own position; she is a figure who can be named a decolonized subject, just as Solomon is portrayed in the TV series as a figure headed for a new fulfillment.

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1   Their space was named Ikaino, which means "the place where pigs are beaten." After moving to Osaka in 1933, Sunja and Isak gathered in a Korean community called Ikaino. Ikaino is a colony within Japanese imperialism in that it is adjacent to the burakumin settlement, an untouchable people in Japan, and unlike the Japanese settlement. The hierarchy and segregation of human species is a continuation of Ikaino's colonial society and an institutional reflection of Japan's racist society.

the events (a, a', a'', a''', a'''', a''''')
= repeated Failures of Trans-identity
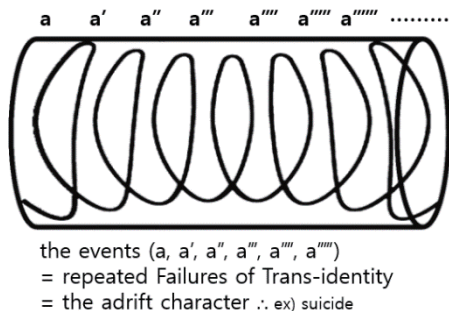= the adrift character ∴ ex) suicide

Figure 2 The Shape of Failure in Identity Transitions: Adrift

Noa admires the renowned writer Dickens, whose brilliance shone despite growing up without a father. For him, the role of a father carries significant weight in life. He believed that if he lived a good person, the world, which was hostile to him, would accept him as Japanese. However, his naive ideals were blinded by the structural problems rooted in Japanese society. The moment he discovers that his biological father was Hansu, whom he perceives as having "dirty blood," he falls into a state of self-loathing, disowning his family and running from his life.[1] He works as a bookkeeper at Pachinko and pretends to be Japanese. His aspect is a different transition from Sunja's struggle to make a life in a new land. He has not reached the destination of his desired identity. He ends his life lost and adrift, lost in the process of crossing identities to become Japanese.
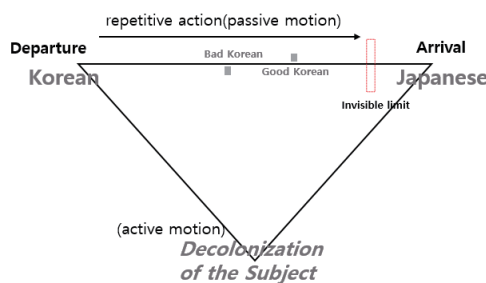
Figure 3 Trans-identity Triangle: Decolonization

The behavior of Noa and Mozasu, which attempt to define them as either "a good Korean" or "a bad Korean" fail to establish their identity as Japanese regardless of the process involved. Perhaps even the starting identity of being a

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1   Reiko Tamura, a cheerful middle school teacher who had been kind to him, was from Nagano, and for some reason, he'd always considered her hometown as a place populated with gentle, benevolent Japanese (325). He was anxious and hurt enough to head to Nagano for that reason.

Korean in Japan is ultimately indefinable due to the prevailing intolerant centrism within Japanese society. People might feel happy when one can live among the people where the person was born and raised. They were born and raised in Japan, but because of their BLOOD they treated as the most inferior person and perceived as a foreigner. It gives the person the motivation to continue to think about and consider the discrimination that is perpetuated against socially marginalized people, who are not able to stand as subjects in society and are constantly forced to be the other. The feeling of not being welcomed by those around you, the feeling that your very existence is ostracized by others, can inflict profound suffering. This is not a fictional occurrence but a poignant reflection of our present-day society.

    Pachinko depicts several types of human beings. The first is the one who stays on the bridge as a floating figure, unable to find his/her place, unrecognized by the community to which he/she belongs. There is also a person who struggles to occupy a new position, who wants to pioneer a different path. There are also several types of people who long for recognition but are frustrated by the challenges of navigating societal barriers. We can sense and relate to others through literature as a material that can crack open an entrenched society. Also "ethics is a discourse that should be discussed in the multi-layered power relationships" (Lim, "Academic Value" 197), and the criticism in our society can be understood as the activity of literature.[1] One might question why, in the 2020s, we continue to promote outdated notions of racism or nationalism. But the reality is that we are still in the midst of naming it, and it is unresolved. And as a means of communicating the past and the present, content *Pachinko* plays a powerful role.

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1   See Sojeong Oh, "The Ethics of Empathy: Subversion of the Gaze and Performativity in *Kim Jiyoung, Born 1982* and *It's Okay, That's Love*," *Interdisciplinary Studies of Literature* 2 (2021): 209-210.

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生态的认知：关于伦理符号学的反思
Ecological Cognition: A Reflection on Semioethics

张　杰（**Zhang Jie**）　　余红兵（**Yu Hongbing**）

内容摘要：意义生成是当代符号学研究的核心问题。如何把意义的符号呈现、现实生活的伦理旨趣与释放意义、关爱生命相互融合在一起，是伦理符号学与精神文化符号学所共同追求的目标。本文依据《易传》中的"各正性命"思想，在精神文化符号学的视域下，基于文学伦理学批评的相关论述和文学创作实践，对伦理符号学进行反思。通过"符号"与"症状"、"大脑"与"身体"、"文本"与"本体"之间关系的分析，强调关爱包括"己者"在内的一切生命体，甚至把非生命体也视为是"个性"，以此彰显一条回归自然、返回本体、释放意义、追求自由的符号学研究路径。这条路径的特色，是从生态的视角来看认知，即将认知视为一种生态活动。

关键词：各正性命；意义生成；伦理符号学；精神文化符号学

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Title: Ecological Cognition: A Reflection on Semioethics

Abstract: Meaning generation is a central issue in contemporary semiotics. How to integrate the symbolic presentation of meaning, the ethical intentions of real-life situations, the release of meaning, and the care for life into a coherent framework is a shared objective of semioethics and cultural semiotics of Jingshen. Based on the concept of "life as situated" found in the *Commentary on the Book of Changes*, this article his article engages in a reflection on semioethics within the perspective of cultural semiotics of Jingshen. It does so by drawing upon relevant discussions in ethical literary criticism and literary creative practices. Through an analysis of the relationships between "signs" and "symptoms," "brain" and "body," "text" and "being," the article emphasizes the importance of caring for all forms of life, including "the self," and even extends this consideration to non-living entities, viewing them as possessing "individuality." This approach highlights a path of semiotic research that involves returning to nature, being, the release of meaning,

and the pursuit of freedom. This path is characterized by an ecological perspective on cognition, that is, treating cognition as ecological activity.

Keywords: life as situated; meaning-generation; semioethics; cultural semiotics of Jingshen

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聂珍钊、王松林曾指出："人类文明的发展是由三个选择阶段构成的，即自然选择（natural selection）、伦理选择（ethical selection）和科技选择（scientific selection）"（1）。可以说，科学技术与伦理道德是人类社会文明程度的两大重要标志。然而，科学技术在不断改善人类社会生活的同时，又反过来控制着人本身；伦理道德一方面提升人类的文明，另一方面又在压抑人的个性。这似乎就构成了一对难以调和的矛盾。然而，我们不禁要问：人类科学技术和伦理道德的发展，难道就只是从对自然客体或人类社会的研究中归纳出某种规律或规范，且必然要以牺牲人的个性乃至人性为代价吗？认知行为的发生者是自然和身体，还是人及其大脑？这些问题，其实都可以从符号学的跨学科视角来审视。[1]

意大利学者苏珊·佩特里利（Susan Petrilli）和奥古斯都·庞奇欧（Augusto Ponzio）早在 2003 年就提出了"伦理符号学"（semioethics），对上述部分问题做出了初步探讨。该理论秉承了美国符号学家托马斯·阿尔伯特·西比奥克（Thomas Albert Sebeok）反"人类中心主义"和反"语言中心主义"的学术思想，研究的核心问题是全球视域下的"关爱生命"（care for life）[2]。其价值是显而易见的，至少开辟了将科学与伦理、符号与意义、他者与己者、大脑与身体等融合研究的路径。然而，在我们看来，该研究还应进一步拓深，不仅要超越人类中心主义，还要提倡与生物界以外的非生命体的平等，实现更广义也更深刻的全球视域。

1　这里的符号学，我们取其广义，即跨学科的方法论工具。也可将其视为研究意义生成的学问（inquiry）。

2　参见 Susan Petrilli and Augusto Ponzio, "Semioethics," *The Routledge Companion to Semiotics*, edited by Paul Cobley, London: Routledge, 2010, 151.

　　本文沿着伦理符号学开辟的路径，结合精神文化符号学[1]的观点，对以上问题展开进一步探索。我们将依据《易传》中的"各正性命"思想，聚焦文学创作实践，同时也对符号学的方法进行反思。我们认为，在文学创作中，并非用语言符号弘扬人类某一时代的伦理道德精神就是关爱生命。相反，符号学研究应该通过回归自然本体，让意义充分释放，关爱包括"己者"在内的一切生命体，甚至把非生命体也视为是广义的"个性"。这才是把符号学与生命真正融合在一起，才能够真正担负起符号学研究的科学使命和伦理责任，从生态视域下的认知维度，探索一条回归自然、返回本体、释放意义、追求自由的符号学研究路径。

一、"关爱生命"："符号"与"症状"

　　符号学作为研究意义生成的学问，早已为人们揭示：任何意义的符号表征又无法避免"遮蔽"现象，符号表征越复杂，人离所表征的事物的"本体"越遥远。[2] 人似乎被悬置、包裹在自己创造出来的各种符号之网中，这个网是意义之网，构成了一种独特的现实维度。[3] 在人工智能快速发展的今天，如果依旧沿着知识积累、规律探索或意义表征的道路前进，已然明显不足，甚至人脑都有被人工智能超越的可能。AlphaGo 在 2016 年挑战围棋世界冠军李世石并取得 4-1 的胜利，就是很好的例证。如何走出语言表征的困境，"超越"科技选择，已经不再是传统符号学自身可以解决的问题。我们必须引入生命的视角，而"伦理符号学"就是一个较好的理论尝试。

　　伦理符号学是一种研究意义生成的独特方法与态度。它显示出迥异于科学技术和伦理道德发展轨迹的反向意义生成，即不再是从对自然客体或人类社会的研究中归纳出某种科学规律或伦理道德规范，而是反其道而行之。　佩特里利和庞奇欧依据西比奥克的生物符号学理论，从源头上探寻符号与意义的关系，认为符号学起源于以生命健康为宗旨为核心的症状学（semeiotics 或 symptomatology），甚至将希波克拉底（约前 466- 前 377）视为符号学之祖。然而，伦理符号学并非要根据"症状"医治病患，而是"关爱生命"。所以我们不妨将"症状"一词理解为生命力的各种身体表达，像"体态"一般的呈现[4]，是对生命内在价值的认同与尊重，而不是作为需要解决的"问题"或"毛

1　参见 张杰、余红兵："反思与建构：关于精神文化符号学的几点设想"，《符号与传媒》1（2021）：1-13。

2　参见 Ernst Cassirer, *An Essay on Man: An Introduction to a Philosophy of Human Culture*, New Haven: Yale University Press, 2021, 25.

3　参见 Yu Hongbing, "Confucius the Untouchable: On the Semiotics of Historization," *Chinese Semiotic Studies* 3 (2022): 319-412.

4　对照精神文化符号学对"精神"的定义：由心灵、生命力与创造力共同形成的流动变化的整体。参见 Zhang Jie and Yu Hongbing, "A Cultural Semiotics of Jingshen: A Manifesto," *Chinese Semiotic Studies* 4 (2020): 517.

病"。正如佩特里利和庞奇欧所言："重要的是明确'关爱'之不同于'根治'或'治疗'。以符号活动即生命[1]为中心而关注病征的符号学者，并不是医生，也不是一般从业者或专家〔……〕今天的符号学必须要恢复人类符号活动的价值论维度"（151）。

伦理符号学把符号学与生命研究联系在一起，以"关爱生命"为目的，体现了一种在当今全球语境中比以往任何时候都关键的研究方法、视角和方向。它似乎拓展出了一条从"症状"→"身体"→"本体"的符号学研究路径，不再沿着"符号"→"文本"→"文明"的轨迹前进。伦理符号学要在人类进入"科技选择"时代之际，从运用符号表征意义，返回到生命体本身。这种反向研究的跨学科路径是与人工智能的发展轨迹相悖的，更能够彰显生命体的伦理价值。人类无法沿着科学技术的跑道匹敌人工智能的演算力和发展速度，或许相悖而行才是较为明智的选择。从符号表征返回本体，至少可以使得意义敞开，给予人类无限的可阐释空间。这也是符号学回归生态，返回人体本身的认知探索。

这个思路上的启示，放在文学研究的领域尤其合适。我们以托尔斯泰的《安娜·卡列尼娜》（*Anna Karenina*, 1992）为例。该小说曾引发过读者和文学批评界的广泛争议。在改革开放初期，当该小说被改编成电视剧公开上映时，甚至遭到了部分观众的联名反对。他们将主人公安娜视为是一个道德败坏的女人，不应该被塑造成一位追求新生活的女性。其实，作者托尔斯泰一开始的本意，就是想将安娜描写成一个"不贞洁"的女人。[2]文学批评界从社会伦理道德和文学的教诲功能出发，也对安娜形象有过相关的评论。不过，在俄罗斯文学的教科书和文学史的评介中，安娜又被无可争议地肯定为追求新生活的女性典型，是世界众多文学经典形象中当之无愧的一员，安娜的爱情悲剧强烈地震撼着一代又一代读者。

那么究竟该如何评价主人公安娜有违社会伦理道德的行为？安娜到底是在与上流社会的恶劣环境相抗争、追求新生活，还是在道德沦丧呢？如果简单把安娜归结为道德败坏的女人，显然是不合适的，但从关爱"他者"的伦理维度来看，又很难把她抛夫弃子、与沃伦斯基私奔的行为肯定为女性追求新生活的表现。然而，如果从伦理符号学的回归"症状"、"己者"和"关爱生命"的视角出发，细致地分析主人公安娜不同场合的言谈举止等"体态"特征，读者就不难发现安娜性格的矛盾复杂性及心理演变的过程。任何一种简单的概括和归纳都是不合适的，应该从返回人体的生态维度，回到人物形象

1　佩特里利和庞奇欧秉承了西比奥克辩证的生命符号观，即一切生命的标准特征是符号活动，而符号活动即预设了生命，二者互为条件、互相定义。参见 Thomas A. Sebeok, *Global Semiotics*, Bloomington and Indianapolis: Indiana University Press, 2001, 10.

2　托尔斯泰是在痛苦写作、反复阅改的过程中，惊讶地发现了一个全新、真实的安娜。参见 Bob Blaisdell, *Creating Anna Karenina: Tolstoy and the Birth of Literature's Most Enigmatic Heroine*, New York: Pegasus Books, 2020, 9.

本身，向读者敞开活生生的安娜。

从托尔斯泰对安娜的"症状"描写来看，她一开始"引人注目的只是她这个人：雍容，潇洒，优雅，同时又快快活活，生气勃勃"（93）[1]，"眼睛里那颤动的、闪烁不停地光芒，那情不自禁地浮现在朱唇上的幸福和兴奋的微笑，还有那格外优美、利落、轻盈的动作"（95）。不过，托尔斯泰也在安娜的"症状"中埋下了伏笔："在她的美艳之中有一种可怕的、残酷的意味儿"（97）。作家用浓烈的笔墨渲染了安娜被爱情燃烧的"体态"："她满面红光；但这红光不是喜悦的光彩，却像是黑夜里熊熊大火的火光"（166）。后来，安娜在观看沃伦斯基赛马时，面部情感发生了根本的变化"安娜脸色煞白，异常紧张"（237）。尤其是沃伦斯基跌落下马时，"安娜'哎哟'大叫一声，〔……〕她简直失魂落魄了"（238）。后来，当沃伦斯基开始冷落和厌烦安娜时，她"含着绝望和怨恨的泪水"（605）在叫喊。她在走进车站，临卧轨自杀前，"又是时而感到有希望，时而感到绝望，使一颗受尽摧残、恐惧地怦怦跳动着的心痛上加痛"（837）。小说中安娜身体和心理各种"症状"的展示，揭示了安娜的美丽、爱的炽烈和紧张以及复杂的心态。

《易传》有云："乾道变化，各正性命。保合太和，乃利贞"（王弼 2）。万物都在演变，在变化中实现自己的"性命"（天生之质与后天禀受的结合），有自己存在的价值和应有的"生态位"（niche）[2]。此即所谓"各正性命"。简而言之，就是"己者"在流动变幻中保持相对的自稳态（homeostasis）[3]，因此对文本复杂内涵的任何单维度解读显然又是不够的。如果尽量避免概括和归纳产生的片面性，从"己者"及其身体"症状"出发，或许对于《安娜·卡列宁娜》等世界文学经典的伦理价值判断，就会产生不同的理解。读者就会更加关注安娜作为一个有血有肉的生命体，会为她的悲剧感到震撼和惋惜。相照而言，《安娜·卡列宁娜》的作者托尔斯泰在创作的艺术构思中，确实宣扬着关爱"他者"的伦理道德观，但如果作者在生活中既关心"他者"，又稍许多一些自我关怀，也许就不会离家出走，最终病死在一个小火车站上。其实，关爱自我与呵护他人是同等重要的，并非也不应该是对立的。由此看来，伦理符号学批评可以改变一般的阐释路径，不再以作家的创作观念呈现为重点，而是走出符号表征的局限，通过人物"症状"的揭示与体悟，回归形象本身的"体态"，包括复杂的"心态"。这与精神文化符号学所倡导的意义释放和阐释空间自由是一致的："任何试图给符号以确定意义的研究都是在约束作为'个性'的符号自由，只能在特定的文化语境中对符号进行局部意

1　本文有关《安娜·卡列尼娜》的引文均来自 托尔斯泰，《安娜·卡列尼娜》，力冈译（杭州：浙江文艺出版社，1992 年）。以下引文仅标注页码，不再一一说明。
2　包含圜境生态位、文化生态位等等。"圜境"一词见下文"'具身哲学'：身脑本一体"。参见 余红兵：《符号建模论》，苏州：苏州大学出版社，2019 年，第 3 页。
3　参见 Yu Hongbing, "The Cultural Semiotics of Jingshen and Cognitive Homeostasis," *Cognitive Semiotics* (2024): forthcoming.

义的阐释，同时还限定了符号的自由及其生命力，给符号套牢了枷锁"（张杰　余红兵，"反思与建构" 7）。

　　文学创作与接受中的伦理问题其实有着一个"三位一体"的关系，即作者、文学形象、读者之间的互动。如果只是关注文学形象之间伦理道德关系，而忽略与作者、读者的联系，就必然会导致对作者和读者的不伦理道德。由此来看，文学批评的任务并非是在把一种理解或意义转达给读者，而是提供"敞开"意义的具体范例，提升读者的文学鉴赏能力。比如，通过安娜"症状"的描绘，"还原"给读者一个活生生的形象本身，让读者自己进一步去欣赏、理解，甚至体会。这不仅是规避符号表征"遮蔽"现象的有效途径，是对"关爱"作者与读者生命的重要伦理表达，更重要的是体现了一种独特的思想范式，即"具身认知"（embodied cognition）。

二、"具身哲学"：身脑本一体

　　长期以来，学界一直把人的大脑作为认知行为的发生者，而任何真理或知识的获取均是人的认知通过实践，与客观事实相符的结果，即所谓大脑理智的产物。然而，当代认知科学尤其是神经认知科学在过去数十年所取得的进展表明，认知并不仅仅依赖于大脑，而是以整个身体系统作为基础"发生"的。[1]

　　这种思想范式已经在人文社科领域产生了广泛而深刻的影响。比如，在语言学界，美国认知语言学家乔治·莱考夫（George Lakoff）和马克·约翰逊（Mark Johnson）就通过他们合著的 *Philosophy in the Flesh* 一书，强调了身体在人的语言认知活动中的重要意义，简而言之，理智与身体是相合的。而放眼文艺学界，在理智与身体或曰灵与肉之间，人们则往往更青睐于前者。大家通常依据的是索绪尔的语言观，即语言是一种表达思想的符号系统，文学创作则是作家以语言文本形式对所描述世界的艺术表征，也是作家伦理观、艺术观乃至世界观的文本体现。当然，这是艺术的表现，而并非作家思想的复制。因此，文学文本就成为文学批评的重点，甚至连文本的概念也都已经被扩展。比如，聂珍钊提出"脑文本"，用来指口头文学的文本。[2]

　　如果从具身性的角度来说，我们会发现，文学之为文学，归根结底在于人的本身，文学创作与接受都植根在人。而人并不是机器，是带着喜怒忧思悲恐惊等七情六欲的鲜活个体，是由大约三十万亿个人体细胞和

1　参见 Francisco J. Varela, Evan Thompson and Eleanor Rosch, *The Embodied Mind: Cognitive Science and Human Experience*, Revised Edition, Cambridge, MA: MIT Press, 2016.

2　参见 Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 189-207; Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 383-398.

三十八万亿个微生物所构成的"共生总体"(holobiont)[1],俗称"超级生命体"(superorganism)[2]。这些巨量的细菌、病毒等微生物是每个人身体的一部分,它们作为自然因素的反应、作用,影响、塑造着我们的行为,包括认知活动。结合精神文化符号学的考察,"人的任何认知活动均与大自然息息相关。认知行为首先产生于大自然,没有大自然的反应,人类的认知活动就无从展开"(张杰 余红兵,"反向认知" 45)。我们把以人脑为出发点的认知视为"正向认知",把以自然为出发点的认知视为"反向认知",而以上事实就证明,反向认知无疑是第一性的,正向认知才是第二性的。另外,往大处看,人本身也只是大自然中间的一员,若是没有北极或南极冰山的融化、大气臭氧层的损耗和南极臭氧洞的形成等自然界的警告,人类还很难意识到要注意生态保护。天气的变化、泥土的芬芳、空气的清新等均是大自然发出的信息,这些都会影响到人的心境和情感等思维活动,就像在人体这个自然系统里无数人体细胞与非人体细胞通过协同作用,塑造了人的认知行为一样。

在这个意义上,我们所面对的其实就是一个"认知生态"(ecology of cognition)的问题,即从生态的视角来看认知,或将认知视为一种生态活动。我们的关注点不仅要超越语言、文本,甚至连传统的"人"的概念都需要被重思。为分析需要,不妨将认知过程简化表述为:自然 → 身脑 → 文本。如此便走出了语言中心主义和人类中心主义的桎梏。在这个层面,佩特里利与 庞奇欧有类似的做法:西比奥克对人类中心主义与语言中心主义的符号学理论与实践有过明确的批评,指出了索绪尔"符号论"(semiology)的主要缺点,即只关注作为社会生活组成部分的意图符号,而佩特里利与庞奇欧的伦理符号学则基本沿用了西比奥克的这个立场,在方法论上对索绪尔的语言和符号定义进行了批判。佩特里利与庞奇欧也谈语言与文本的表征系统,并把它们与身体(包括人脑在内)联系在一起,但是他们认为这些系统与身体(包括人脑在内)存在于一种互身关涉、彼此意指的对话关系中。[1]

尽管已经涉及到身体并把生命范畴拓展到了动植物界,但伦理符号学还是局限于把人作为认知行为的发出者,而且它所探讨的还是自然界的生命体。而在精神文化符号学那里,任何一个物体,即便是非生命体,也可以视为是活生生的"个性"。因为,认知行为的始作俑者是大自然(即"圜境"/

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1 数据样本为身高 170 厘米、体重 70 公斤、年龄 20 至 30 岁的成年人。参见 Ron Sender et al., "Revised Estimates for the Number of Human and Bacteria Cells in the Body," *PLoS Biology* 14 (8) (2016): e1002533. doi:10.1371/journal.pbio.1002533.

2 参见 Peter Kramer and Paola Bressan, "Humans as Superorganisms: How Microbes, Viruses, Imprinted Genes, and Other Selfish Entities Shape Our Behavior," *Perspectives on Psychological Science* 4 (2015): 464-481.

1 参见 Susan Petrilli and Augusto Ponzio, "Semioethics," *The Routledge Companion to Semiotics*, edited by Paul Cobley, London: Routledge, 2010, 153.

Umwelt）[1]，是自然界那些生命体与非生命体以自己的独特方式，作用于人的身体（包括大脑），最终产生文本（广义），包括文学文本在内。文学作品形成于作家具体的创作过程。在此过程中，作家作为生命个体，其认知活动因为是具身性的，所以也必然受到周围人物事的影响。[2] 此外，作家在创作过程中并非只是将自己对生活的理性认识或观念形象化或生活化，更不是把自我的伦理道德观具体化，而往往是通过具身性的实际写作（同时自己也在接受，如耳听、目视等）活动，产生了内在的对话过程，似乎在聆听米兰·昆德拉（Milan Kundera）所说的"小说的智慧"之音[3]，以至于会创作出连作家自己都无法预知的故事或人物。正因为如此，普希金才会感叹自己诗体小说《叶甫盖尼·奥涅金》（*Yevgeny Onegin*, 1833）的女主人公塔吉雅娜怎么会嫁人的，这位俄罗斯女神的化身为什么会嫁给了一位将军老头。也正因为如此，托尔斯泰最终写出了与《安娜·卡列尼娜》早期构思中迥然不同的安娜。

其实，作家的创作与其自身行为不一致甚至相悖的例子比比皆是。普希金的创作是充满活力和生机的，但是他自己却放弃"生"（"身"），而选择了决斗。如果返回到诗人本身的"症状"表征，如"愤怒"的表征等，读者就不难发现，普希金作为一个作家和一个男人或丈夫，是一个复杂的矛盾体。作家在创作中关爱"他者"的同时，在生活中则忽略了对"己者"的关爱，否则就不会在其短短三十八年的人生经历中，挑起和接受的决斗多达 30次之多，最后死于跟丹特斯的决斗之中。普希金毕其一生的文学创作都是在通过自己的文学创作，来表征对生命的热爱和尊重及其实现的理想路径。然而，创作是美好的，而现实是骨感的。文学创作倡导的"回归生活"与生活本身的难以实现之间的矛盾，即文学创作与作家身体行为之间的无法统一。昆德拉说"伟大的小说总是比它们的作者要智慧一点"（158），所言不虚。

说到智慧，人们通常想到的是与情感相对的"理性"，但正如莱考夫和约翰逊在 *Philosophy in the Flesh* 一书中所指出的："理性并非像传统上多半认为的那样是脱离身体的，而是源于我们大脑、身体和身体经验的特性"（4）[4]。众所周知，人的理性以及意义生成主要依赖概念系统，但莱考夫和约翰逊表明："因为我们的概念系统产生于我们的身体，所以意义是基于并通过我们的身体而产生"（6）。文学艺术作为一种意义生成的活动，无论是在写、读还是听的过程中，都有可能基于和通过视觉、听觉、触觉等身体感官渠道而生发出审美感。这些身体行为，其实都在帮助释放脑力，助力、影

1　"圜境"可以被理解为生物主体因其物种独特性以及个体独特性而能"获致"和"经历"的主体世界。参见 余红兵：《符号建模论》，苏州：苏州大学出版社，2019 年，第 3 页。

2　参见 Sian Beilock, *How the Body Knows Its Mind: The Surprising Power of the Physical Environment to Influence How You Think and Feel*, New York: Atria Paperback, 2015.

3　参见 Milan Kundera, *The Art of the Novel*, translated by Linda Asher, New York: Harper Perennial, 2000, 158.

4　凡未特殊注明，引文均出自笔者拙译。

响、塑造意义生成。[1] 从"身体转向"的视角看文学，能够"把我们换回到肉体的自我面前，唤回到有所在、有具身、有实体的本真存在面前"（伊格尔顿 203）。

三、"各正性命"："文本"到"本体"

文学创作作为一门以文学形象为载体的艺术，一定是审美与伦理的融合。诚如聂珍钊所言："审美是发现文学伦理价值的方法与途径"（"文学伦理学批评的价值选择与理论建构"87）。而要实现文学的伦理启发功能，最终必然落到生命本身，即尽可能地发掘形象内在的美，而并非人为添加的各种外在限制因素。让文学形象回归自身，即由"文本"返回"本体"，与《易传》中"各正性命"的说法相映成趣。

万物各有各的性命、存在价值、存在位置，即各得其正（正为静定），即生态位，可以是圜境生态位、文化生态位等。"各正性命"并非支持宿命论，它所寻求的是从自然的视角恢复人的生命及生活本身该有的、自由且相对稳定的状态。这里的"性命"显然强调了生命与物体的自身，即"己者"，同时也指出了这一"己者"与自然之间的关系。"己者"既包含着生命体和非生命体的内在"个性"特征。放在人物那里，更多的是指其身体"症状"，包含"体态"。而文学批评中的文学形象，只存在于文学文本中，这些形象有自己的"文本生态位"，在其中，他们有自己的"性"与"命"。

在文学伦理学批评中，文学文本的分析就是着眼点。只有由文字符号构成的文本才能成为文学的基本载体，文学是文本的艺术。[2] 确实，文学文本是不少文学批评流派探讨的中心，无论是形式主义批评，还是社会历史批评等，都是如此。只是文学批评从文学文本出发，最终走向何方，是一直停留在文本形式分析、社会环境揭示的维度，还是走进伦理道德的价值论空间？显然，伦理符号学与文学伦理学批评共同坚持的是后者。这是在全球视野中科学技术高速发展的今天，文学批评应该做出的选择。

然而，从文学文本出发，最终还有一层选择：是要归纳出各种伦理道德规范的意义，用以教诲读者，约束人的精神自由呢？还是应该返回"本体"，回归自然，还读者充分的自由，在意义的释放中，让人获得精神解放呢？其实，根据马克思主义的否定之否定原理，人类社会的发展历史是一个否定之否定的螺旋式演变的过程，即从自然 → 文明 → 自然。当然，后一个自然并非是前一个自然的简单重复，并非是要回到原始丛林时代的自然，而是进一步提升，是经过文明洗礼过后的自然，是保存着人类文明演化印迹的自然。回归自然的向度，似乎是文明的一个内在必然趋势，即便文明意味着对意义生成的导向

1　参见 Sian Beilock, *How the Body Knows Its Mind: The Surprising Power of the Physical Environment to Influence How You Think and Feel*, New York: Atria Paperback. 2015, 230-232.

2　参见 聂珍钊：《文学伦理学批评导论》，北京：北京大学出版社，2014 年，第 9 页。

甚至控制。其实，伦理符号学返回"症状"对于文学伦理批评的价值也就在此。但这并非是要文学批评重新发掘人的本能、无意识、甚至包括性欲在内的各种欲望冲动，而是要回归到本体中，给读者以美的享受，以达到净化人的心灵、实现更高层次的伦理启发。毕竟，文学创作并非总是在反映生活，更重要的是过滤掉社会生活中的功利色彩，返回无利害关系的自然本体和人性的本真。此类例子在文学创作中比比皆是。

我们以钦吉斯·托瑞库洛维奇·艾特玛托夫（Чингиз Торекулович Айтматов）的中篇小说《查密莉雅》（*Jamila*, 1998）为例。小说简洁动人、意境优美，采用了第一人称的叙述方式，通过一个正直善良的少年视角，细腻描绘了一对吉尔吉斯青年的真挚爱情。女主人公查密莉雅性格爽朗、聪明能干，是叙述者"我"的漂亮可亲的嫂子。在叙述者"我"看来，哥哥并不疼爱她，上前线后从不单独给查密莉雅写信。查密莉雅干活勤快，歌声笑语不断，但故事的男主人公、从前线回来的伤残退伍军人丹尼亚尔则孤僻深沉、少言寡语，甚至对查密莉雅等的嘲笑也不理睬。后来，在赶车运送军粮的过程中，"我"和男女主人公搭伴而行，在查密莉雅山歌和言语的鼓励下，丹尼亚尔放声歌唱。"我"第一次听到如此深情动人的歌。这歌声也深深打动了查密莉雅，她也因此改变了。"我"觉察到查密莉雅既愿意又不愿意承认自己陷入了爱情之中，就如同"我"一样，既希望又不希望她与丹尼亚尔相爱，因为她毕竟是"我"父母的儿媳，是"我"哥哥的嫂子。终于这对男女主人公，在"我"哥哥回到家之前私奔了。家里只有"我"懂得丹尼亚尔才真正理解和爱着查密莉雅。"我"的毕业创作画了两个旅伴走向远方，这幅朴素的小画是"我"构思许久最为满意、最为亲切的作品。[1]

显然，从现实社会的维度，查密莉雅与丹尼亚尔的行为无疑是不合乎伦理道德规约的，受到社会舆论的谴责也不足为奇。但是，所有的故事情节在一个少年的"我"的视野中展开。这层少年滤镜，过滤了世俗的偏见和现实的道德，把自然的人性与现实的生活隔开，让男女主人公的行为回到了自然之域，回了人的性命本身。小说以"敞开"的艺术形式，给读者以接受和解读的自由。这就是伦理的审美体现，使得现实中应该谴责的事件转化为了美好的、动人心弦的童话般的传说。文学创作的结果并非是现实生活本身，文学也不只是通过表征反映生活，而应该是挑战现实，引领社会生活。社会的现实往往是骨感的，而文学的世界则是丰富美好的。现实生活中那些往往难以得到认可或无法表达的思想和事件，可以由文学创作来实现。也许，生活走到了尽头，无法继续下去了，文学就出现了。因此可以说，文学通过对文本世界的创造与超越，助力人类打通反观自身、回归本真的理想通道。

总而言之，文学创作作为一种独特的形象构建艺术，并非是要直接宣传

1　参见 钦吉斯·托瑞库洛维奇·艾特玛托夫：《查密莉雅》，力冈、冯加译，北京：外国文学出版社，1998 年。

或弘扬某种普遍承认的价值观或道德观，而是应该充分展示形象本身，甚至是复杂的矛盾生命体。这种由"文学文本"回归"性命本体"的文学创作或批评路径，或许才是值得提倡的，也是最为伦理道德的。这也应该是伦理符号学批评与文学伦理学批评所共同追求的理想目标，是融伦理道德在内的、更高层次的自然选择。人类是从自然中来，在伦理选择中迈入文明社会，又在科技选择中进入"超"自然的社会，之后必然又会折返入新的自然状态。在人工智能高速发展的今天，返回"症状"、转向"身体"、最终回归"本体"的研究思路，或许是一条值得借鉴的符号学研究路径，也应可以为文学批评追求文学的伦理价值提供有益参考。

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人与自然生命共同体的建构：
论《醒梦活海》中的伦理反思
Constructing a Community of Life Between Humans and Nature: Ethical Reflections in *The Living Sea of Waking Dreams*

李永平（**Li Yongping**）　邱玉祺（**Qiu Yuqi**）

内容摘要：《醒梦活海》是澳大利亚作家理查德·弗拉纳根在 2014 年摘得布克奖之后的力作。作家以魔幻现实主义的创作手法，以主人公身体部位的"消失"，将自然生命灭绝与人类内在生命价值的荒芜两条伦理线交织在一起，对这双重危机进行反思。最终作家指出，造成双重危机的根源是人与自然生命共同体的断裂。基于此，弗拉纳根在作品中呼吁人们重新审视人类主体性，重塑以共生、共存为核心的人与自然生命共同体意识，以此来完成对自然世界与人类自身的拯救。
关键词：《醒梦活海》；理查德·弗拉纳根；文学伦理学批评；生命共同体

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Title: Constructing a Community of Life Between Humans and Nature: Ethical Reflections in *The Living Sea of Waking Dreams*
Abstract: *The Living Sea of Waking Dreams* is a masterpiece by Australian author Richard Flanagan, following his Booker Prize win in 2014. The author uses magical realism to intertwine two ethical threads - the extinction of natural life and the desolation of human intrinsic life value -symbolized by the "disappearance" of the protagonist's body parts. The novel reflects on this dual crisis. Ultimately, Flanagan points out that the root cause of this dual crisis is the rupture of the community of life between humans and nature. Based on this, Flanagan calls for a re-examination of human subjectivity in his work, and the reshaping of a sense of community between humans and nature centered on symbiosis and coexistence, in order to save both the natural world and humanity itself.
Keywords: *The Living Sea of Waking Dreams*; Richard Flanagan; ethical literary

criticism; A Community of Life

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引言

　　文学伦理学批评是中国学者聂珍钊在融汇西方伦理学与中国道德批评的基础上创建的一种批评方法。在文学伦理学批评中，文学是特定历史阶段社会伦理的表达形式，文学在本质上是关于伦理的艺术，文学的价值通过文学教诲功能的作用予以体现。[1] 聂珍钊指出，"在具体的文学作品中，伦理的核心内容是人与人、人与社会以及人与自然之间形成的被接受和认可的伦理关系，以及在这种关系的基础上形成的道德秩序和维系这种秩序的各种规范。文学的任务就是描写这种伦理关系和道德秩序的变化及其引发的各种问题和导致的不同结果，为人类文明进步提供经验和教诲"（《文学伦理学批评导论》13）。

　　理查德·弗拉纳根（Richard Flanagan）是澳大利亚当代杰出的作家、社会活动家，他的文学作品包含着丰富的伦理内涵。弗拉纳根常通过文学将其伦理思想践行到公共生活的层面，发挥文学的道德教诲作用。在《醒梦活海》（*The Living Sea of Waking Dreams*, 2020）[2] 这部小说中，弗拉纳根集中书写了人类所面临的人与自然、人与人之间伦理关系的失衡。弗拉纳根将小说的发生地放在受森林大火影响的塔斯马尼亚小镇，主人公安娜（Anna）的母亲因为身患疾病正在走向生命的终点，在陪护母亲的过程中，安娜开始重新审视自己的生活。作家运用魔幻现实主义的手法以安娜身体部位的消失隐喻自然界生灵的灭绝，象征人类内在本质的荒芜，最终指向人与自然生命共同体的断裂，为其批评西方传统的伦理价值判断，抒发人与自然生命共同体思想创造了富有张力的叙事场域。由此，本文运用文学伦理学批评的方法，结合生态批评的视角，阐释弗拉纳根在小说中书写的自然危机与个体危机，探寻引起危机的伦理根源，讨论其伦理救赎思想并印证其解决危机的伦理方案。

1　参见 Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 189-207; Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 383-398; 聂珍钊："人文研究的科学转向"，《文学跨学科研究》4（2022）：563-568 等。

2　书名为笔者自译。

一、外部自然生命的灭绝：人与自然伦理关系的失衡

作为澳大利亚绿党[1]的一员，弗拉纳根始终关注着人与自然的联系。在《醒梦活海》中，弗拉纳根以 2019-2020 年澳大利亚夏天的生态灾难为伦理环境，集中又全面地书写了澳大利亚自然界的崩溃危机，即气候剧烈变化下的山火频发和物种灭绝。

在小说开篇，弗拉纳根援引约翰·克莱尔（John Clare）[2]的诗歌，为读者呈现出一幅荒凉破败的画面，"掠夺者和自私自利者斧下的猎物，水莲木步道和老橡树小径上，亭亭立如祭司的空心木，已是烟雨，如暴君拿破仑一般独裁，片甲不留。灌木、丛林、山丘早已夷为平地，为这些叛徒高挂起鼹鼠——只有溪流潺潺如故只有溪水还在流淌，孤独静默，冷若冰霜"（1）[3]。在克莱尔诗作谱写出的荒凉基调下，承接诗歌中衰败景象的是处在大火包围中的霍巴特。"闪电风暴持续了好几天，数以千计的闪电在各地点燃了小火苗。曾经湿润的、神秘的雨林世界，现在变成了一片枯地。火势在无情地蔓延，随之而来的是笼罩一切的烟雾、灰尘与煤渣"（12）。在山火的逼近中，霍巴特的气温日益升高，浓烈的烟雾席卷了整个小镇，越来越多的动物正在走向灭绝。

弗拉纳根不仅直接书写了山火蔓延所造成的令人恐惧的画面，还借助主人公安娜的自身经历或间接体验，向人们呈现了大火中物种灭绝的惨象。安娜每天早上醒来都会看到铺天盖地的大火燃烧过后，在民宿床单上留下的斑斑点点的灰烬，"大火将岛上的古老城市烧成了如同古老的蕨类和桃金娘叶一般的微小碳化碎片。在她的触摸下，这些斑斑点点消失了，变成了一抹烟尘。曾经有着千年历史的比利王松和古草树、铅笔松树林、潘达尼树丛以及稀有的山兰花都消失了"（13）。社交软件上布满了用户上传的无数动物生命消亡的视频，"在社交软件 Instagram 上，数以千计的标志性鸟类——红罗汉、黑凤头鹦鹉、漂亮的小鸣禽——在大火中被烧死，被吹到海里，然后被冲回海滩，融入一层层湿润的、黑灰般的残骸中"（145-146）。在霍巴特，烟雾与灰烬笼罩一切，遍地腐尸，无一丝鲜活生命的征兆，扑面而来的是死亡的气息。弗拉纳根尽力捕捉这些生命消亡的时刻，运用细致入微的视觉描写，将物种灭绝变得清晰可见。

人作为自然世界的一部分，其生存境况必然会在自然环境的恶化中变得岌岌可危。弗拉纳根调动了视觉、触觉、嗅觉、味觉等观感，对环境恶化的恶果进行了立体式的实景渲染，以此书写环境恶化后对人类造成的负面影

1　澳大利亚绿党由绿色环保运动发展而来，其所倡导的是"绿色政治"的理念，即在对人类中心主义的传统发展模式进行反思的基础上，提倡生态优先的政治理念。

2　约翰·克莱尔（John Clare），19 世纪英国农民诗人，其诗作常以对自然的热爱、对工业文明的批评为主题。

3　本文有关《醒梦活海》的引文均来自 Richard Flanagan, *The Living Sea of Waking Dreams* (London: Penguin Random House UK, 2020)。引文均出自笔者译，以下引文仅标注页码，不再一一说明。

响。大火所产生的烟雾以一种恐怖的方式笼罩着世界，"烟雾笼罩着每一条街道，充斥着每一个房间，污染着每一顿食物；如焦油般的、如硫磺般的、刺鼻的烟雾烧灼着每个人的喉咙，充斥着每个人的嘴和鼻子，阻挡了夏天温暖的气味。这就像和一个长期患病的烟民生活在一起，只不过这个烟民就是这个世界，而每个人都被困在他那污浊的、崩毁的肺里"（12）。弗拉纳根将自然世界比喻为"烟民"，用"烟民污浊的肺"比喻在烟雾笼罩下的霍巴特，突出了霍巴特当下生存环境的肮脏与污浊，使读者能够清晰地感受到身处其中的人们的窒息感。同时，以人体比喻自然世界又突出了人类与濒临崩溃的自然界之间的相互联系。

人与自然世界在本质上是共生共存的，生态危机最终会演化为人类生存危机。在深究危机发生的原因时，弗拉纳根指出，我们是自然界的一部分。但是，我们的傲慢与虚荣心将我们与其他生物区分开，这正在摧毁我们，使得我们正面临一个灾难。"傲慢"、"虚荣心"分别对应了人类中心主义的伦理意识与利益最大化的伦理判断，二者会造成人与自然原本和谐的伦理关系的失衡，从而导致人们做出错误的伦理选择。

人与自然伦理关系的失衡具体表现之一，是以人类中心主义为主导地位的西方传统伦理观念，这一观念缺乏对自然的伦理道德关怀。传统的西方伦理学着重强调的是人与人及人与社会之间的关系、法则与道德关怀，并未将自然世界的生灵包括在内。西方伦理学的先驱亚里士多德将自然看作人类的工具。这种将自然看作工具、割裂人与自然一体相依性的目的论，在启蒙时期进一步得到扩张。自启蒙始，人类主体性与理性能力成为哲学、政治和社会话语的中心。笛卡尔更是高扬主体性哲学，认为凭借人类的理性思维与实践哲学，可以充分利用自然界的力量，"成为支配自然界的主人翁"（笛卡尔 49）。可见，传统的人类中心主义伦理，造成了人与自然的二元对立，缺乏对自然世界的道德关怀，更不必说承担起对自然的应负之责。

人与自然伦理关系的失衡具体表现之二，是以资本逻辑为核心的经济伦理在澳大利亚社会中占据主导地位，受资本逻辑的驱使，资本家、政府为了实现资本增值，会无视生态伦理和生态责任，加剧对自然界的侵害与掠夺。塔斯马尼亚原本拥有丰厚的原始雨林资源，但在澳大利亚政府大力发展煤炭经济的背景下，塔斯马尼亚的伐木公司从上世纪末就开始对原始森林进行彻底破坏。甚至面对在山火中资源即将枯竭的霍巴特，政府依旧在"呼吁开采更多的煤矿，建立新的燃煤发电站，如果你对此进行抗议，他们会控告你妨碍煤炭开采罪，让你坐 21 年牢"（6）。上述人为所采取的极端伦理选择与破坏自然的行为，其目的都是为了实现经济利益的最大化。

在弗拉纳根笔下，以唯我论哲学为核心的人类中心主义伦理和以资本逻辑为核心的经济伦理共同破坏了原本人与自然之间和谐相依的伦理关系，使人与自然的关系从最初的和谐走向对立。恩格斯曾向人们发出警告，"我们

不要过分陶醉于我们人类对自然界的胜利。对于每一次这样的胜利，自然界都对我们进行报复"（313）。人们对大自然进行控制与掠夺，严重破坏了自然界的生态平衡，又反过来给人类的生活带来了生存危机。原本塔斯马尼亚有着由原始雨林组成的独特的自然世界景观，而现在的塔斯马尼亚被烟雾、煤渣、灰烬笼罩，街道上充满了无家可归的人。从之前美丽的自然世界变成今天如同地狱的衰败城市，这是人与自然伦理关系失序所产生的恶果。

二、内部生命价值的荒芜：人与人伦理关系的断裂

除了以细腻写实的笔法描绘山火蔓延、生物灭绝的末日般景象，揭示人与自然伦理关系的失衡外，更重要的是，弗拉纳根还揭示了当下人与人伦理关系的断裂与失序。人与自然在本质上是共生的。人对自然的实践会反作用到人与人之间，人与自然关系的疏离与对立，其背后必然反映的是人与人之间关系的冷漠、疏离甚至对立。弗拉纳根在小说中以安娜为中心，描绘了主人公压抑情感、内部自然破碎后的人性异化与所造成的家庭伦理关系的失序。

"自然"一词从广义上看，包括外部自然和内部自然。外部自然指物质的自然世界，内部自然则指向人类的精神生态世界，一个完整的内部自然应该是"感性与理性、知觉和思维的高度统一"（刘蓓 23）。人的肉体生活与精神生活都与自然界息息相关，外部自然世界的衰落与人类内部自然的衰退是同时发生的。在弗拉纳根笔下，人类内部自然的破碎与衰退主要表现为对工具理性的推崇和对情感的贬抑，以及由此造成的人性异化。

人性异化首先体现在安娜身上，安娜一直以人的"理性本质"来要求与约束自己，并极度压抑着自己内心的情感。她是一位制定计划、按计划行动的、富有的女建筑师。寥寥数笔，弗拉纳根就塑造了一个以"理性"为信条的现代人形象。小说中的"理性"概念，是一种走向极端的工具理性。在西方社会现代化的进程中，现代人通过理性思维摆脱了神与自然世界的束缚，但又忽视了价值理性，将自己围困于工具理性之下，不仅以此统治与支配着自然世界，更反过来支配人类自身，压抑着人类的内部自然。"我们把一切事物，包括我们自己，都认定为计划和控制的可能对象"（库尔珀 23）。安娜压抑情感，服从生活中的各种计划与数据表格等行为，都体现了工具理性计算性思维对人类的支配。

在这套工具理性法则的支配下，安娜失去了正确的伦理认知，会做出错误的伦理选择。小说中的安娜主动放弃了作为女儿、作为母亲的伦理身份，拒绝承担家庭关系中的伦理责任。作为女儿，当母亲重病，安娜第一次看望躺在病床上的母亲弗朗西时，"她感到的不是怜悯，而是反感，是一种奇怪的恐惧"（24）。她拒绝承认病床上的是她的母亲。作为母亲，安娜强迫自己专心工作，漠视了年幼的儿子格斯对母亲的需求，没有承担起作为母亲的伦理责任。在格斯以各种理由想要获得她的陪伴时，安娜只会拒绝格斯并冷漠

地关上房门，她完全无视了格斯的情感需求。

人性异化同样体现在安娜的兄长特佐身上。安娜曾形容特佐身上有一种"密不透风似的冷酷"（110）。特佐的"冷酷"主要表现为对"理性"的极度推崇与对人的物化。特佐将"理性地生活"视为最高理想，在他看来，爱这种情感会影响理性的思考，带来不可控制的结果，他要时刻压抑自己的情感，让自己处于可控的状态。此外，作为一名大资本家，特佐做出的伦理选择，还会受到资本逻辑思维的影响。特佐习惯性地根据物质财富来判断个人价值。他鄙夷落魄的长兄汤米，用金钱带来的话语权压迫汤米，甚至将汤米视作家庭的污点，将家庭之爱视作影响他们尊严的"污垢"（41）。在工具理性思维与资本逻辑思维的影响下，和谐的家庭关系在特佐那里，异化为了控制与被控制、物与物的关系。

和谐的家庭伦理关系是由家庭之爱支撑的。然而，在以安娜为中心的两个家庭中，家庭伦理关系变得扭曲，家庭之爱也失去了正常的表达形式。安娜与特佐都主动斩断了人类最为重要的情感——爱，无论是爱自己，还是爱他人。他们无法通过爱与家人建立亲密关系，也无法形成健全的人格。安娜在反思的过程中，察觉到自己好像"缺乏大家认为理所当然的东西，一些必要的人性、同情心或同理心"（25）。特佐则绝望地感到"他的内心已经死了"（111）。安娜与特佐的人性异化，共同体现了在失去价值理性的道德关怀引导下，人的人性因子向兽性因子的转化。文学伦理学批评所定义的理性，是以道德准则为基础，追求真善美的价值理性，而当下澳大利亚社会所推崇的"理性"，是以工具价值和经济准则为基础的。在他们身上，爱这种人类本能的自然情感被极力压制，又缺乏价值理性将本能的爱转化为道德情感，就更加无法形成由爱产生的对自我、对他人的关怀，最终就会导致人与人之间伦理关系的失序与断裂。

人与人之间伦理关系断裂带来的严重后果，突出地体现在安娜与格斯的母子关系上。安娜与格斯之间母子伦理的断裂，最终导致了格斯的"消失"。当从小缺乏母爱的格斯长大成人后，他把自己隔离在房间里，拒绝与安娜交流。当安娜想要缓和与格斯之间的关系，主动推开格斯的房门时，发现格斯"一只眼睛和两只耳朵已经消失了。只剩下了一张嘴和一只莫名漂浮在脸部中间的眼睛，哀怨又空洞地盯着她"（204）。格斯身体的"消失"意味着安娜再也无法接近、触碰格斯，象征着母子二人无法通过爱进行联结后，最终走向疏离的结局，更象征着格斯内在生命力的衰落。人与人之间伦理关系的断裂，会导致人与人关系的陌生化，无法形成与他人的共同体关系。这一结果最后作用于人自身，就是个体处在一个陌生、疏离又孤独的世界，最终会造成个体内在生命的荒芜。

弗拉纳根用人体部位的消失来象征人与人之间的疏离、人类内在生命的荒芜。消失现象不仅发生在格斯身上，还发生在安娜身上。最初，安娜的一

根手指在无知无觉中离奇消失了。随后，安娜的膝盖、大腿、左胸也消失不见了。并且，身体部位消失这一病理化现象正在社会中逐渐蔓延。为安娜治病的护士失去了耳朵、公交车上的乘客失去了手指，但人们对此无知无觉，没有人注意到消失现象，仿佛一切如常。没有人意识到自我和他人的身体部位正在"消失"，这象征着人内在生命价值的破碎及人与人关系的陌生化。

弗拉纳根在小说中以安娜的家庭为故事中心，通过描写家庭这一社会最小组成单位中，安娜、特佐等人的人性异化、家庭伦理关系的扭曲及家庭亲密关系的断裂，反映了当代澳大利亚社会中人与人之间和谐伦理关系的断裂。继而，弗拉纳根通过"消失"这一病理化现象的发生与蔓延，呈现了现代生存境遇下，人与人之间和谐伦理关系断裂后带来的严重后果，即，每个人都处在无人在意的孤独境地，最终结果则是人内在生命价值的荒芜与生命本质的消解。

三、伦理秩序的重建：走向人与自然生命共同体

弗拉纳根剖析澳大利亚现状，无论是书写外部自然生灵的灭绝，还是书写内在自然生命的荒芜，其深意在于揭露人与自然，人与人之间伦理关系的失衡。此外，作家独具匠心地将安娜身体部位的消失与生灵灭绝联系起来，暗示我们生态危机和人性危机之间的联系。安娜的膝盖消失了，"就像黑牛、袋狼、无烟的夏天一样消失了，再也不会回来了"（79）。安娜身体部位的消失在小说中有三重象征意义，其一是生灵灭绝；其二是人类内在本质的破碎与不断衰落；其三是人与自然共同体相依性的断裂。

弗拉纳根通过安娜身体部位的消失将对物种灭绝与对人性异化的反思交织在一起，指出人与自然、人与人伦理失序的根源都在于西方传统的伦理价值观念造成的人与自然的二元对立。然而，无论是自然界非人类物种的生命还是人类的生命，在本质上是共生的。人对自然界的征服也会随着主体性的无限膨胀蔓延到人对人的征服、对人内部自然的统治之上，就会造成人与人、人与自身本质的日渐疏离，会导致外部自然环境恶化和人内部自然退化，最终演变为对生命的冷漠，生命意义的消解，走向自我毁灭。

弗拉纳根敏锐地意识到了这一严重后果，在书写危机的同时，也提供了一套解决危机的伦理方案。本书中一个清晰的伦理指向是重建人与自然生命共同体，恢复人与自然之间的天然联系。弗拉纳根反对以人类中心主义为主的传统伦理意识和人与自然二元对立的机械论认知观念。呼吁人重回自然，与万物相联系，建立人与自然共同体的生命伦理观。需要强调的是，弗拉纳根虽然否定极端的人类中心主义，但从来不愿失去人类主体性，并提醒人们要在非人类中心论中重新审视人在与自然关系中的主体性地位。所有人与自然问题的产生都是人类伦理选择的结果，在人同自然的关系中只有人才是主体，只有人才能建立维护自然秩序的伦理规范。为此，我们只有以人与自然

生命共同体的伦理观念改造人与自然对立的观念，并在此基础上主动承担起对自然的伦理责任，才能够作出正确的伦理选择。

具体而言，人与自然生命共同体思想包含两个部分。从理论层面讲，是以万物共生平等的理念敬畏生命；从实践层面讲，是人重新审视主体性的地位。在人与自然，人与人相处的过程中，从剥削、压迫的索取型主体性走向依赖、共存的责任型主体性，积极肩负对自然、对他者的伦理责任。只有如此，才能建立人与自然、人与人休戚相关的生命共同体，实现生命意义上的道德至善。

为了进一步阐明他关于生命共同体的伦理观念，弗拉纳根安排安娜踏上了自我反思与觉醒的道路。弗拉纳根擅长在小说中塑造两组对立的人物形象，提供两组不同的正反伦理案例。与安娜、特佐的异化形象不同，他们的外祖父、动物保护项目负责人丽莎·沙恩是与自然亲近之人，并共同成为安娜反思觉醒路上的双重救赎。

安娜的第一重救赎来自外祖父。外祖父每天早上都会跪在梅尔罗斯山、巴斯海峡浩瀚的海洋和罗兰山之间，"那个小小的跪姿让他的灵魂充满了海一般的蔚蓝，山峦的群青，他好像成为了土地、充满生机的森林和庄稼之间的纽带"（117）。外祖父是渺小的，但当自然之景在他身上融合之后，他的身上仿佛展示了巨大的宇宙，"这是人与世界彼此相融的力量"（118）。外祖父以跪姿面对群山，体现了其对自然万物的敬畏与爱，并在这种大爱中，实现了人性与自然性的统一。我们的自我与人性并不仅存在于我们自身，还存在于我们与世界万物的对话中，存在于我们与世界的普遍联系中，只有超越二元对立，融入自然，才能够实现自我统一。

安娜的第二重救赎来自"拯救橙腹鹦鹉"项目的负责人丽莎·沙恩。丽莎是第一个发现安娜的身体在不断消失的人，这也意味着丽莎自身人性的完整性，才能发现消失现象，并对"消失"进行抵抗。丽莎采取的抵抗行动，体现在对动物生命的拯救和对人性之爱的拯救上。丽莎及其团队的救助行动，是重建人与自然生命共同体的积极行动。橙腹鹦鹉这种野外不足 20 只的鸟类，在小说中既具有真实性又具有象征性，真实性在于受人为因素的影响，这一物种在现实中濒临灭绝，象征性在于橙腹鹦鹉已经符号化，承载着人与动物共存的和谐理念的隐喻。同时，对橙腹鹦鹉的拯救行动也象征着人性之爱的复归。当安娜问丽莎为何要费力救助橙腹鹦鹉时，她告诉安娜，"真正在消失的不是鸟类、鱼类、动物和植物，而是爱"（191）。丽莎所说的爱，是一种在敬畏生命意识上形成的对万物生命的爱，是一种带有责任感的道德性的爱。这种将人与人之间的爱延展到人与动物之间的道德性的爱，为人与自然之间和谐关系的形成提供了纽带。

事实上，弗拉纳根还借助丽莎，向安娜传递了第三个伦理案例，即在人错误的伦理行为中，人类从最初与自然的和谐共存走向对立。丽莎以原住民玛蒂娜（Mathinna）的故事为例，向安娜讲述了从原住民时期人与自然和谐

共存到现代社会人与自然的割裂。玛蒂娜是居住在戴维港原住民中的一员，原住民珍惜脚下的土地，维护平原与森林的活力与生机，与生灵和谐地生活在一起，玛蒂娜也与成千上万只橙腹鹦鹉生活在一起。玛蒂娜的生活象征着生物平等主义观念下，人与自然共生的美丽图景。然而，西方殖民者入侵后屠戮原住民、践踏平原，对人与自然都施加了暴力，森林被砍伐，土地被开垦，鸟类也逐渐消失了。自此，人与自然的关系被割裂，自然世界的美也逐渐消失，人与自然共生共存的和谐状态也不复存在。

无论是外祖父个人对自然生命的敬重、还是丽莎采取的对生命的拯救行动、原住民时期人与自然的共生共存，都更进一步地说明了弗拉纳根提倡的人与自然生命共同体的伦理思想，都在指引安娜回到自然中去，发现自然世界的美，热爱自然世界并与自然共存。在被丽莎拯救动物的经历及她所讲述的原住民故事影响下，安娜决心开始过另一种生活。

安娜的伦理意识的觉醒在小说中早有端倪，她的内心深处依然向往着自然世界。她梦到过自己"长出了像橙腹鹦鹉一样美丽的绿色翅膀"（192-193），向往自己飞到一个安静的、充满绿色的地方。她回忆曾经与大自然亲密相处的时刻，她曾经生活在老桉树的光影中，树枝、树皮与树叶沙沙作响，鸟儿在树上安家，所有的一切都充满了旺盛的生命力与自然美，"这是一个笼罩一切、令人陶醉、令人欣喜若狂的世界"（256）。"在黎明之风的触摸中、在正午的耀眼光芒中、在海风中、在茶树的沙沙声中，在自然的爱抚中，她感到了完整"（258）。安娜通过对自然的体悟与感知，重新确立了人与自然之间的联系，在这种生命共同体的包裹下，安娜的精神也得到了恢复。

在小说结尾，弗拉纳根出乎意料地用安娜的死亡再次将人与自然联系起来，将主人公与动植物融为一体来传达人与自然共生的理念，同时也加深了当下回归自然世界的紧迫性。在死亡来临的前一刻，安娜感到自己在飞翔，她在不断地变成曾经灭绝了的动植物，塔斯马尼亚虎、蜘蛛甲虫、桃金娘、铅笔松等等，她经历着每一物种被猎杀，被射杀，被开采，被毒杀，被烧毁的灭绝过程，每一种都依次消失了。安娜的死亡一方面意味着物种灭绝过后"人类不能单独生存"（256），另一方面更意味着安娜向自然的回归，与自然的合二为一。安娜在觉醒的道路上，意识到了只有在自然中才能获得生命的完整性，最终通过临终前身体的变形，更为深刻地向世人传达了人与自然的生命共同体意义。

只有将文学还原到其所产生的伦理环境与语境中去，才能更好地理解文学背后的深意。弗拉纳根创作本书的伦理环境是澳大利亚社会处于严重的生态灾害威胁之下，作家敏锐地观察到了自然生命与人类本质的内在逻辑性。西方传统的伦理价值判断建立在人与自然主客对立的基础上，其发展至今已经呈现出种种弊端。弗拉纳根正是借助对人类破坏自然行为的观察、思考，揭

示出人类对待生命时的道德溃败，以及人类本质的破碎化。弗拉纳根将对外部自然生命与人内在生命本质的思考成功地糅合在了一起，揭示了人与自然的互联性与同源性。秉持着作家的责任感，弗拉纳根在小说中详尽地呈现人类当下面临的生存危机，用正反伦理案例启发读者进行反思，给人类的未来提供伦理的启迪。弗拉纳根在《醒梦活海》中向读者所倡导的伦理观念，是人与自然生命共同体思想。这一共同体包括人类与其他生命物种的内在联系，与之命运的一体性。在弗拉纳根看来，人类只是深奥、神秘宇宙中的一种元素，和其他生物一样共存于世界，我们应该爱护周围的生命，因为他们也在支撑着我们。只有以人与自然生命共同体思想看待自然、回归自然、爱护自然，重建人与自然和谐相依的伦理秩序，人类才能拥有一个更加美丽的未来。

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从《简·爱》的教育问题看 19 世纪英国乡村治理和文学生产机制

Education, Rural Governance and Mechanism of Literary Production in *Jane Eyre* and Nineteenth-Century England

陈礼珍（**Chen Lizhen**）

内容摘要：《简·爱》中多处涉及教育相关的话题。夏洛蒂·勃朗特出生于乡村牧师家庭，自幼在家中接受教育，还先后到多所学校学习。本文以教育问题作为切入口，深入考察《简·爱》写作、出版、阅读、批评和再生产过程中文学话语传播的总体状况，试图阐明它的生产过程如何受到 19 世纪英国乡村治理模式的影响，而小说的文本及随后生成的系列相关文学话语则揭示出当时文学生产的普遍运行机制。

关键词：《简·爱》；教育；乡村治理；文学生产

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Title: Education, Rural Governance and Mechanism of Literary Production in *Jane Eyre* and Nineteenth-Century England.

Abstract: Education is a principal theme in *Jane Eyre*. Born into the family of a curate in a rural parish, Charlotte Brontë started her study at home and then was educated in several schools. Taking the issue of education as a central perspective, this paper investigates the situation of the circulation of literary discourses in the processes of writing, publishing, reading, criticism and reproduction of this novel. It tries to analyze the situation of rural governance in nineteenth-century England and its impact on *Jane Eyre* and the following literary discourses, aiming to shed new light on the universal mode of literary production in this age.

Keywords: *Jane Eyre*; education; rural governance; literary production

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　　夏洛蒂·勃朗特（Charlotte Brontë）的《简·爱》（*Jane Eyre*, 1847）无疑是英语文学经典中的经典。自从 1847 年问世以后，它受到世界各国读者青睐，历久弥新地得到世界各国学界的高度重视，在一百多年文学思潮的不断更迭起伏中，始终处于小说消费市场和学术批评阵地的前沿，保持着极高的存在感。以《简·爱》的写作、出版、传播、批评和改写为中心，全球学界已经产生了海量的文学话语，小说所涉及的教育主题是其中一个较为明显的脉络。本文聚焦与这部小说以及夏洛蒂·勃朗特相关的教育问题，分析在《简·爱》写作和传播的具体历史语境中，英国文学生产机制与乡村治理模式之间的互动关系。

一、动荡的 1847 年：社会革命与儿童教育

　　恩格斯在"1847 年的运动"一文开头说道："1847 年无疑是我们历年来最动荡的一年"（马克思 恩格斯 505）。严重的经济危机在 1847 年席卷了整个欧洲，早已开始的爱尔兰大饥荒也愈演愈烈，导致物价飞涨、失业人口剧增。恩格斯深邃的眼光穿透了历史的帷幕，他断言"我们可以看出，1847 年是资产阶级最光辉的年份"（马克思 恩格斯 511）。种种迹象表明，工业资产阶级在 1847 年左右已经掌控了英国的政治、经济等国民生活的主要命脉，成为英国社会机制运行的掌控方。随着工业化进程不断发展，资本主义制度不可调和的矛盾也逐渐加深。伴随着经济危机而来的是呼吁社会改革的诉求，宪章运动再度活跃起来，最终在 1848 年 1 月引爆了史无前例、横扫整个欧洲的革命运动。马克思和恩格斯在动荡的时局里进行着开天辟地的革命实践，于 1847 年 6 月在伦敦领导创建了世界上第一个无产阶级政党——共产主义者同盟。1847 年 10 月底，恩格斯开始为共产主义者同盟拟定纲领草案《共产主义原理》，他在讨论革命的进程问题时提出了 12 大措施，其中第 8 条是"所有的儿童，从能够离开母亲照顾的时候起，由国家机关公费教育。把教育和工厂劳动结合起来"（马克思 恩格斯 368）。11 月 29 日召开的"共产主义者同盟第二次代表大会"委托马克思和恩格斯起草一份用于公开发布的纲领，马克思和恩格斯便以《共产主义原理》为基础撰写完成了伟大的《共产党宣言》，并于 1848 年 2 月以德文单行本形式在伦敦发表。《共产党宣言》中列举了革命的 10 大措施，其中最后一条是"对一切儿童实行公共的和免费的教育。取消现在这种工厂童工劳动。把教育同物质生产结合起来，等等"（马克思 恩格斯 490）。马克思和恩格斯将儿童的公共和免费教育视为与暴力革命以及剥夺地产、消灭城乡差别同等重要的举措，由此可见他们已经发现了英国等欧

洲国家教育制度存在的问题，意识到教育在国家治理、阶级斗争和政治生活中的重要作用，同时也体现出他们对教育的高度重视。

1847 年底的英国正处在"山雨欲来风满楼"的时刻，然而此时文学界对这场巨大的社会激荡似乎并无太大察觉。不过在这段动荡不安的时间里，英国文坛仍然在平常中孕育着不平凡，书写了一段英国文学史上的重要传奇——来自英国西约克郡山区乡村的三位小姐妹接连出版了轰动一时的作品：10月，大姐夏洛蒂的《简·爱》问世；12 月，艾米莉（Emily Brontë）的《呼啸山庄》（*Wuthering Heights*）和安妮（Anne Brontë）的半自传体小说《安格尼斯·格雷》（*Agnes Grey*）同时出版。学界已经注意到夏洛蒂·勃朗特在这段特殊历史时期写作的《简·爱》就涉及到跟宪章运动相关的内容。夏洛蒂·勃朗特在《简·爱》中并没有过多地直接处理政治话题，但是她在小说中讨论了教育等社会关注的议题。夏洛蒂·勃朗特是生活在偏远小村的文学青年，她当然不会像一直生活在工业大城市曼彻斯特的伊丽莎白·盖斯凯尔在《玛丽·巴顿》（*Mary Barton*, 1848）中那样直接描写宪章运动，她也没有直接描写当时社会的动荡，而是采取更加间接和委婉的方法来反映动荡时局中的人心思变。

文学作品的生产、分配、交换和消费的过程，无一不受到社会意识形态的影响。勃朗特等一众生活在 19 世纪英国乡村中的中产阶级女子自幼接受的是传统的淑女教育。除了外出求学之外，勃朗特姐妹的幼年和青年时代大多数时间都安居在英国西约克郡山区布拉德福德市（City of Bradford）的哈沃斯村（Haworth）家中。哈沃斯村其实并非真正偏僻蛮荒之地，它位于英国北部，距离布拉德福德市 10 英里，最近的城镇是北部 4 英里外的基斯利镇（Keighley）。尽管路况不好，但马车和邮路均很通畅。1847 年，也就是《简·爱》出版那年，基斯利镇通了火车，勃朗特姐妹们可以从哈沃斯村乘车或步行，经过一段 4 英里崎岖蜿蜒的山路到达基斯利镇，登上火车后便可以乘着火车走向伦敦等天边外的大城市。随着工业化在英国席卷而来，哈沃斯也加入到办纺纱厂的潮流中。据统计，1841 年，哈沃斯开办了工厂 12 家，拥有纱锭 11342 锭，蒸汽和水驱发动机共 98 马力，男女雇工 441 人，工业化整体规模在布拉德福德市所有 10 个村镇中位居第 4 位。[1] 勃朗特家的房子伫立于这个以寒冷阴郁和荒凉料峭著称的乡野之地，坐落在哈沃斯村最上头，紧挨着哈沃斯荒原，周围遍布荒草、灌木、乱石、苔藓，客厅窗口正对着墓园，在凛冽呼啸的北风和阵阵鸦鸟喧躁声中，呈现出一派粗粝蛮荒、阴森压抑的景象。

勃朗特一家在当时属于下层中产阶级：勃朗特姐妹早年丧母，父亲派特里克·勃朗特（Patrick Brontë）毕业于剑桥大学，职业是乡村牧师，家庭经济并不宽裕，因而她们姐妹只能到慈善学校学习。在更多时间里，勃朗特姐妹们都是在家阅读文学经典。当时英国中产阶级家庭女孩接受的教育通常包

1　参见 John James, *The History of Bradford and Its Parish: With Additions and Continuation to the Present Time*, London: Longmans, 1866, 232.

括"读书、写字、简算、缝纫、针线、刺绣、编制以及法语、素描、音乐等'才艺'"（Kenyon 21-22）[1]。勃朗特姐妹的父亲对女儿们的教育煞费苦心，用骚赛的话来说，她们是"花了大价钱进行教育"（Brontë, *The Letters of Charlotte Brontë* 171）的。勃朗特先生对夏洛蒂和儿子布兰维尔的艺术天赋期待甚高，还专门以每次 2 个几尼的高价从大城市西约克郡首府利兹请了罗宾逊先生（Mr. W. Robinson）来哈沃斯村教他们。[2] 勃朗特先生之所以为女孩们的教育花费大量时间和精力，除了父爱之外，还有很多现实因素的考量："他知道女儿们将来能出嫁的机会不大。那时女子需要备上财物银钱的嫁妆才能成婚，他知道自己并不宽裕的俸禄绝没能力给她们提供嫁妆"（Kenyon 22）。勃朗特先生鼓励孩子们读书，经常带她们走 4 英里山路去基斯利镇上的租借图书馆（Circulating Library）借书。[3] 众所周知，夏洛蒂·勃朗特和她的姐妹们很小就开始创作文学作品，也尝试着发表，但并不成功。在文学生涯开始时，夏洛蒂·勃朗特就对 19 世纪中期英国文学市场的运作机制了然于胸。在 1847 年 10 月 19 日《简·爱》首次出版时，她署了柯勒·贝尔（Currer Bell）的笔名，但是没有作序。该书出版后立刻引起轰动，极为畅销，出版商立刻着手安排第二版的发行事宜。待到当年年底该书第二版出版时，她在 1847 年 12 月 21 日专门写了一个序言，向三方面致谢："感谢读者，用宽容的耳朵倾听了一个朴实平凡的故事。感谢报界，用真诚的赞许为一个默默无闻的进取者敞开了公正的园地。感谢我的出版商，用他们的机智、他们的精力、他们的求实观念和坦率的慷慨为一个未经推荐的无名作者提供了帮助"（夏洛蒂·勃朗特 12）。由此可见，有志于成为职业作家的夏洛蒂·勃朗特无疑是熟谙当时英国的文学出版机制。

二、哈沃斯村的教区治理与英国女校教育体制

勃朗特姐妹的父亲派特里克·勃朗特本人也是通过教育改变了命运。他于 1777 年出生于爱尔兰北部农村，原名派特里克·普朗特（Patrick Prunty），家里还有九个弟妹，家庭条件相当艰苦。勃朗特先生 16 岁离家开始谋生，青年时代当过铁匠和纺织学徒工，当了五六年乡村老师，后来又在牧师泰格（Thomas Tighe）家当家庭教师。1802 年，经由牧师泰格引荐，他拿到奖学金，离开家乡进入剑桥大学圣约翰学院学习神学。[4] 在剑桥读书期间，他将名字改为派特里克·勃朗特。勃朗特先生首先在布拉德福德市南面约 8 英里的哈慈海

1　本文外文引文均出自笔者译。《简·爱》中文译文主要参考祝庆英译《简·爱》（上海：上海译文出版社，2000 年）。个别地方有改动。

2　参见 Ellis H. Chadwick, *In the Footsteps of the Brontës*, London: Sir Isaac Pitman & Sons, Ltd., 1914, 102.

3　参见 Charlotte Brontë, *The Letters of Charlotte Brontë:* 1829-1847, New York: Oxford University Press, 1995, 109.

4　参见 Green Dudley, *Patrick Brontë: Father of Genius*, Stroud: The History Press, 2014, 19.

（Hartshead）工作了 5 年，后来通过好友兼表妹夫、在布拉德福德市基督教堂担任终身助理牧师的威廉·摩根（William Morgan）引荐，被布拉德福德教区的代理教区长亨利·西普先生（Henry Heap）任命到布拉德福德市西面约 4 英里的桑顿（Thornton）担任牧师，工资为每年 200 镑，妻子布兰维尔带来的嫁妆年金 50 磅，日子过得也算体面。[1] 他到哈沃斯村担任终身助理牧师后，工资升为每年 320 磅。据布拉德福德教区地籍册所载，在勃朗特一家搬至哈沃斯前后的 1817–1825 年，勃朗特先生的神职工作可支配的财物包括："收取哈沃斯的斯坦博利（距教堂以西约 1 英里）附近 5 块农田的租金、物产和利润，还有一英亩宽的小农场一所〔……〕宅邸一所，谷仓一间，各配厨房或屋舍。共计 42 英亩"（James 284）。哈沃斯教区的信众跟布拉德福德教区的代理教区长之间的关系一直比较紧张：根据当地祖辈传下来的定例，他们要上交所收教会税的五分之一给布拉德福德教区，因此他们经常就此提出激烈抗议。[2] 勃朗特先生所管理的哈沃斯村一带自 1066 年诺曼征服以来就是邻近布拉德福德大庄园主的自留地，自古以来哈沃斯教区的牧师收入主要由三部分构成：由所隶属的布拉德福德教区的教区长和代理教区长提供的薪俸以及哈沃斯当地居民提供的生活津贴。[3] 哈沃斯民众在 1559 年将津贴提高到 36 镑，并为教堂购置了田产。根据当地一份历史悠久的合署宪章，布拉德福德的代理教区长可以提名哈沃斯教区的助理牧师，但实质性的决定权在哈沃斯教区土地的受托人手中。

　　勃朗特在 1820 年 2 月底正式获得了哈沃斯村教堂的教职，随后就带着妻子儿女举家搬到了哈沃斯村，住在教区牧师专用的宅邸里，除了教会发的俸禄外别无其它收入。不久后，勃朗特夫人就身染重病，并于 1821 年 9 月去世。此后家庭情况就变得越发糟糕，一年后，勃朗特姐妹们的姨妈搬到她们家照顾孩子们，也给她们做些家庭教育。随后 1823 年，隔壁兰开夏郡的柯恩桥村（Cowan Bridge）专为牧师阶层家庭开设的教会女子学校（Clergy Daughters' School）成立了，不久后勃朗特四姐妹就被送到这个 50 英里开外的寄宿学校上学。柯恩桥村位于哈沃斯村西北方，勃朗特姐妹们可先到 4 英里外的基斯利镇，然后再乘公共马车抵达柯恩桥的教会女子学校，此趟马车每日均有发车，交通倒是颇为便利。[4] 勃朗特姐妹们生活年代的哈沃斯村是典型的英国村庄，离伦敦和利兹等大城市有相当距离，但是又可通过火车和马车相对较为

1　参见 David W. Harrison, *The Brontës of Haworth: Yorkshire's Literary Giants: Their Lives, Works, Influences and Inspirations*, Victoria, Canada: Trafford Publishing, 2002, 6.

2　参见 Isaac Espinasse, *A Digest of the Law of Actions and Trials at Nisi Prius* Vol. 2, New York: Gould, Banks and Gould, 1811, 79.

3　参见 John James, *The History of Bradford and Its Parish: With Additions and Continuation to the Present Time*, London: Longmans, 1866, 281-283; Joseph Horsfall Turner, *Haworth Past and Present: A History of Haworth, Stanbury & Oxenhope*, Brighouse: J. S. Jowett, 1879, 79.

4　参见 Elizabeth Cleghorn Gaskell, *The Life of Charlotte Brontë*, New York: Cosimo, 2008, 50.

便捷地到达外界，既保持了相对独立和宁静的田园色彩，又不至于偏僻到交通闭塞人迹罕至。哈沃斯村坐落在陡坡之旁，地貌狭长，房屋错落零散，近处荒原遍布，远处山岚叠嶂。从哈沃斯村到邻近基斯利镇的 4 英里山路崎岖曲折，将外界尘世的喧嚣屏蔽于无形。盖斯凯尔在 1853 年 9 月 19 日受邀第一次前往哈沃斯村，在那里小住了一周时间。哈沃斯村干净宁静而又荒凉寒冷的的氛围让她身心舒畅，她饱含深情地描写了哈沃斯村和村边的荒原，她感觉"这里的生活就像钟表机械一样。屋外四下无人，没有任何东西会来打扰这份宁静，一片静寂〔……〕那里的人生活水平一般，所有的一切都很和谐而恰如其分地展示出一个理想中的乡村教区模样"（Gaskell, *The Life of Charlotte Brontë* 503-504）。

夏洛蒂·勃朗特等姐妹之所以自幼会对文学产生浓厚兴趣，其中一个重要原因是父母都对文学有浓厚的兴趣。母亲玛利亚·布兰维尔（Maria Branwell）来自英国西南部康沃尔郡（Cornwall）美丽的港口城镇彭赞斯（Penzance）。玛利亚·布兰维尔家族信奉卫理公会，是当地望族，父亲是富商，兄长当过本地镇长。玛利亚·布兰维尔具有虔诚肃穆的宗教情感，也喜欢文学，据勃朗特先生所言，她曾有诗歌作品发表。[1] 如果说勃朗特太太仅仅是跟当时大多数中产阶级富裕阶层的女子一样，仅仅怀有朴素的文学写作兴趣，从没想过走文学之路，那勃朗特先生则是一个真正意义上的"文学青年"，是一个从小就怀有文学梦想的人。在年轻时代他就笔耕不辍，共出版了 4 本书、3 本短册和 2 篇布道文。勃朗特先生出版的文学书籍包括诗集和散文各 2 本，主题都是关于乡村场景、宗教劝诫和道德说教，夏洛蒂·勃朗特《简·爱》中的部分诗行就直接取自父亲的诗集，而且受到他 1818 年匿名出版的小说《基拉尼姑娘》（*The Maid of Killarney*）的影响。[2] 他的这些作品都是妻子去世前写就的，或许妻子去世后，他全身心投入教区工作和抚养子女之中，在生活繁重的压力下，少年的理想只能屈从于成年人的现实。

《简·爱》在多处带有较为明显的作者自传的影子，但归根结底，它是一部以虚构为主体框架的文学作品，而不是真正意义上的纪实文学。在免费义务教育还未普及的 19 世纪上半叶，对经济条件并不富裕的家庭而言，子女教育问题甚为苦恼。勃朗特一家子女众多，勃朗特先生仅有牧师教职，收入并不宽裕。1830 年，英格兰教区牧师的年均收入中位数是 275 镑；林肯郡的卡耶主教（Bishop Kaye of Lincoln）认为神职人员的年薪需要达到 500 镑才能维持中产阶级的体面生活。[3] 勃朗特先生在哈沃斯村任终身助理牧师（perpetual Curacy），每年 320 镑的收入，在当时的乡村牧师群体中属于收入较高的成员，但

1　参见 Clement King Shorter, *Charlotte Brontë and Her Circle*, New York: Dodd, Mead & Co., 1896, 32.

2　参见 Clement King Shorter, *Charlotte Brontë and Her Circle*, New York: Dodd, Mead & Co., 1896, 32-33.

3　参见 W. M. Jacob, *The Clerical Profession in the Long Eighteenth Century, 1680-1840*, Oxford: Oxford University Press, 2007, 143.

仍然必须精打细算地过日子，无法给他们提供体面的教育，又请不起私塾教师。因此在孩子们还小的时候，勃朗特先生只能自己教小孩，后来布兰维尔姨妈来了以后，她也教孩子们一些简单的东西。哈沃斯一带并不富裕，因此勃朗特先生从当地居民所得津贴并不会太高。

勃朗特先生工作和生活的哈沃斯村当时有三千居民，除此之外，还有更多人散居在他负责的教区里。[1] 作为教区牧师的勃朗特先生每天的生活并不清闲，他"工作敬业，很好地完成了一名 19 世纪牧师所应履行的诸多职责，在很多事情上体现出他的能力和效率"（Green, "The Father of the Brontës" 41）。勃朗特先生非常重视对孩子们的教育，他当过乡村教师，因此在妻子逝世后，就在家中自己给孩子们上课。盖斯凯尔在《勃朗特传》中提到，勃朗特姐妹幼年丧母，她们相依为命，不喜与外人交往，家中甚至没有儿童书，姐妹们喜欢听大姐玛利亚（Maria）给她们读报纸，"在英国文学有益健康的牧场里啃食"（Charlotte Brontë, *The Letters of Charlotte Brontë* 44）。勃朗特先生在 1823 年先后将女儿伊丽莎白和玛利亚送到维克菲尔德（Wakefield）价格不菲的克罗夫顿寄宿学校（Crofton Hall School），或许因为费用过高，在 1824 年下半年又陆续将适龄的四个女儿们全部送到收费更为低廉的柯恩桥接受教育，那是一所刚刚新成立的教会女子学校，专门为牧师家庭解决女子教育问题，每人每年学费约 14 镑。[2]1831 年他送夏洛蒂到罗海德（Row Head）读书，1842 年又送夏洛蒂和艾米莉姐妹去比利时首都布鲁塞尔学习法语和德语。

对勃朗特家而言，柯恩桥教会女子学校是一个伤心之地。1825 年 5 月和 6 月，大女儿玛利亚和二女儿伊丽莎白相继染上疾病去世。勃朗特先生将夏洛蒂和艾米莉姐妹从柯恩桥接回，随后的 6 年里，他没有再送她们外出学习，转而在家自己教育小孩。[3]1831 年 1 月 17 日，夏洛蒂·勃朗特被送往罗海德女子寄宿学校读书，并于 1832 年夏季学成回家。此时夏洛蒂已经年满 16 岁，作为家里四个孩子中的大姐，她承担起了教育弟妹的工作。柯恩桥教会女子学校由神职人员威尔逊（William Carus Wilson）在 1823 年所创立，初衷是专门为了解决家庭贫困的神职人员家庭女孩教育问题。威尔逊是加尔文教福音传道士，此时在兰开夏郡的顿斯托教区担任代理教区长（vicar of Tunstall）。威尔逊致力于教育事业，在此之前一般公认柯恩桥的这所牧师女子学校就是《简·爱》中洛伍德（Lowood）学校的原型，因而导致学校名声大损。学界对《简·爱》虚构的洛伍德小学和现实生活中的柯恩桥教

1　参见 David W. Harrison, *The Brontës of Haworth: Yorkshire's Literary Giants: Their Lives, Works, Influences and Inspirations*, Victoria, Canada: Trafford Publishing, 2002, 7.

2　参见 David W. Harrison, *The Brontës of Haworth: Yorkshire's Literary Giants: Their Lives, Works, Influences and Inspirations*, Victoria, Canada: Trafford Publishing, 2002, 8.

3　参见 David W. Harrison, *The Brontës of Haworth: Yorkshire's Literary Giants: Their Lives, Works, Influences and Inspirations*, Victoria, Canada: Trafford Publishing, 2002, 9.

会女子学校二者之间的相似之处，除了环境条件的相似之外，讨论更多、也更感兴趣的，是人物之间的相似性：《简·爱》的布洛克尔赫斯特（Mr. Brocklehurst）的原型是柯恩桥教会女子学校负责人牧师威尔逊，海伦·彭斯（Helen Burns）的原型是勃朗特的大姐玛利亚，史凯契尔德小姐（Miss Scatcherd）的原型是柯恩桥教会女子学校的一名教师。[1]《简·爱》第 7 章对洛伍德女子学校的恶劣条件有详细而生动的描述。当时洛伍德女子学校的负责人布洛克尔赫斯特责备女学监谭波尔小姐一周给一些姑娘换了两次干净领饰，而且跟总管算账时发现上两个星期中居然给姑娘们吃了两次面包和干酪的点心，"那就不该因为失去了一点儿滋味，就代之以更精美的食物来弥补这件事，这样使身体满足了，却忽视了这个机构的宗旨。应该利用这件事，鼓励她们勇于忍受一时的艰苦，借此给学生以精神上的熏陶"（61）。简·爱和她的小伙伴们在洛伍德女子学校不仅遭受饥饿和寒冷的折磨，还要面临当时令人谈之色变的瘟疫的威胁。1825 年的一场斑疹伤寒疫情对柯恩桥教会女子学校影响很大，1833 年它搬到附近的卡斯特顿，并改名卡斯特顿小学（Casterton School）。

三、穿越《简·爱》和《勃朗特传》文本的迷踪

盖斯凯尔在《勃朗特传》中详细记载了柯恩桥教会女子学校的详细费用："第 11 条规定：衣服、食宿、教育费用每年 14 镑；学生报到时，预交一半；书籍使用费等，另交 1 英镑。教育科目包括历史、地理、地球仪的使用、语法、写作和算术，各种针线活和居家精细工作活——比如细麻布上浆、熨烫，等等。如果要学才艺、音乐或绘画，每年再各加 3 英镑"（43）[2]。盖斯凯尔在 1857 年 3 月出版《勃朗特传》后，因为其中对柯恩桥教会女子学校以及威尔逊都有感情色彩较为负面的描写，引起一场笔墨官司，差点闹到法庭。[3]威尔逊全家对此极为愤慨，他的儿子写了"驳《夏洛蒂·勃朗特传》关于柯恩桥教会女子学校的不实言论"一文[4]，威尔逊本人也写信给夏洛蒂·勃朗特本人，郑重提及此事。夏洛蒂·勃朗特随后便立刻道歉并送上修改后的手稿以示尊重。[5]此时愈演愈烈，后来连夏洛蒂·勃朗特的丈夫尼可尔斯（Arthur

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1　参见 Eva Hope, *Queens of Literature of the Victorian Era*, London: Walter Scott, 1886, 136.

2　本文所引《勃朗特传》中文译文主要参考邹云等译《夏洛蒂·勃朗特传》（北京：研究出版社，2017 年）。个别地方有改动或由本人自译。

3　参见 Ian Herbert, "Revealed: Why Brocklehurst's Inspiration Threatened to Sue Brontë," *Independent*, 25 May 2006. Available at: https://www.independent.co.uk/news/uk/this-britain/revealed-why-brocklehurst-s-inspiration-threatened-to-sue-bront-euml-479611.html. Accessed 29 Sept. 2023.

4　参见 H. Colburn, *Literary Gazette and Journal of Archeology, Science and Art for the Year 1857*, 20 June 1857, 589.

5　参见 Ian Herbert, "Revealed: Why Brocklehurst's Inspiration Threatened to Sue Brontë," *Independent* 25May 2006. Available at: https://www.independent.co.uk/news/uk/this-britain/revealed-why-brocklehurst-s-inspiration-threatened-to-sue-bront-euml-479611.html. Accessed 29 Sept. 2023.

Bell Nicholls）都不得不加入，于 1857 年 5 月开始在《哈利法克斯卫报》（*Halifax Guardian*）上连刊数文为此事正名。[1] 因此，盖斯凯尔在后续重印《勃朗特传》时对相关内容进行了较多修改，不断调低其中的负面感情色彩。

众所周知，盖斯凯尔的《勃朗特传》出版后饱受批评，主要问题不外乎两个：刻意美化传主夏洛蒂·勃朗特、对传主的言辞和判断偏听偏信以至对事实真伪不分。造成此种现象的原因，从本质上来说，在于盖斯凯尔和夏洛蒂·勃朗特是情投意合的密友，她们之间有着天然的共同价值观和共同的利益诉求；就《勃朗特传》的形式而言，在于书中大量引用夏洛蒂·勃朗特书信的原文，而且访谈对象都是她的好友与亲人，从而被她们带了节奏。上述因素本该是此书的一大优点，但是在出版后却受到各方的强烈批评和质疑。《勃朗特传》的支持者和反对者各执一词，难以形成一致意见。《勃朗特传》因此成了罗生门。然而在现实中，盖斯凯尔和她的朋友们却无法顶住压力，盖斯凯尔不得不在后续再版时做了大量删减和修改。这跟夏洛蒂·勃朗特当初出版《简·爱》时候的处境如出一辙——虽然心有不甘，但是面对作品所涉及人员来信或在报纸等公共媒体上的质询时，她们都底气不足，不得不忍气吞声地道歉或者删减和修改作品。面对外部压力，盖斯凯尔和夏洛蒂·勃朗特都做出了自己的伦理选择。"伦理选择最重要的是通过理性方式实现自我意识"（Nie 387）。

《勃朗特传》有很多地方引起激烈争议，其中最著名的莫过于其中关于柯恩桥教会女子学校以及对负责人威尔逊先生的描写。《勃朗特传》1857 年第一版是如此描写威尔逊先生的："住在柯比朗斯代尔（Kirby Lonsdale）附近的富裕神职人员威廉·卡努斯·威尔逊牧师是建立这所学校的主要推动者。他精力充沛，为了实现自己的目标不惜余力，除了权力以外，他愿意献出一切。他发现收入有限的神职人员很难为自己的孩子提供教育机会，于是他设计了一个方案，每年定额募捐一定金额来完成所需的有一定质量保障的英式教育，而这个如果光凭父母支付的 14 镑并不够"（Gaskell, *The Life of Charlotte Brontë*, 1857, 65）。这里有句话带有强烈的感情色彩——"他精力充沛，为了实现自己的目标不惜余力，除了权力以外，他愿意献出一切"，到了次年再版时，她删去了后半句，改成了："他精力充沛，为了实现自己的目标不惜余力"（Gaskell, *The Life of Charlotte Brontë*, 1858, 50-51）并随后加了一句语义并不太通顺的话"无疑他对学校的成功所怀的兴趣无以复加"（Gaskell, *The Life of Charlotte Brontë*, 1858, 51）。在谈到勃朗特姐妹们和学生们在学校伙食状况糟糕的情况时，第一版对此有相当明确的表述："老师们被交代得很清楚自己的工作是教书；采购和管理伙食的事情由威尔逊先生和厨师负责。教师们当然不愿意在他面前谈及任何跟此事相关的抱怨，就算听到抱怨，他的

1　参见 Clement King Shorter, *The Brontës: Life and Letters*, Cambridge and New York: Cambridge University Press, 2013, 447-462.

回答也不外乎是类似于说要培养孩子们关注更高的事物，而不是娇惯他们的胃口，而且（显然没有意识到对食物的憎恶与抗拒当然会有损健康）他还跟老师们讲过度关注肉体有罪的大道理"（Gaskell, *The Life of Charlotte Brontë*, 1857, 71-72）。等到第二版出版时，盖斯凯尔将第二句的后半句全部删去，变成"老师们被交代得很清楚自己的工作是教书；采购和管理伙食的事情由威尔逊先生和厨师负责。教师们当然不愿意在他面前谈及任何跟此事相关的抱怨"（Gaskell, *The Life of Charlotte Brontë*, 1858, 55）。盖斯凯尔似乎觉得仅仅删减还不足以平息威尔逊家族的愤懑之情，她在随后的段落中甚至不惜直接点破这个话题，对威尔逊先生多加褒扬："威尔逊先生身上还有很多了不起的优秀品质，对此我已掌握了充分的证据。的确，在过去几个星期里，我几乎每天都收到有关本章主题的来信，有些含糊其词，有些言之凿凿。有许多充满了对威尔逊先生的热爱和敬仰，也有一些充斥着厌恶和愤慨，鲜有信件写的是可以肯定的事实。认真考虑了大量相互矛盾的证据之后，我对本章内容进行了我认为必要的修改和删减。应该说，我从以前的学生那里得到的证言，大部分都是高度赞扬威尔逊先生的"（Gaskell, *The Life of Charlotte Brontë*, 1858, 59-60）。

　　《简·爱》和《勃朗特传》相继出版后，不仅遭到威尔逊家族的激烈反对，在社会上也引起了不少公愤。1864 年，柯恩桥教会女子学校的毕业生艾玛·沃博瓦丝（Emma Jane Warboise）出版了半自传性质的小说《桑尼克罗夫特庄园》（*Thornycroft Hall: Its Owners and Its Heirs*），它可被视为英国民众在文学领域对《简·爱》对柯恩桥教会女子学校"泼脏水"行为所做的驳斥之举。[1] 艾玛·沃博瓦丝同样运用了第一人称叙述视角来讲述《桑尼克罗夫特庄园》的故事，其中第 14 章就以"卡斯特顿"（柯恩桥教会女子学校搬迁后的新名）为题，并且叙述者直接跳出故事的叙述层告诉读者，说要讲一讲在《简·爱》这部世界名著中"洛伍德学校"所亲身经历的人与事。围绕《简·爱》而产生的文学话语一直在不断繁衍。伟大的文学作品往往都能穿越时空，它不仅是自身文本封闭式地在历史长河中不断重现和被动地成为历代读者的阅读对象，更会成为一种生产力量，被后代读者和作家不断地改写，以其它形式不断地跟不同时代的文学和历史进行交叉繁衍，生产出各自与之相关的文学子嗣。英国多米尼加裔女作家吉恩·里斯（Jean Rhys）的《藻海无边》（*Wide Sargasso Sea*, 1966）是《简·爱》最为知名的文学衍生品，它已然成为世界文学中的经典作品。除此之外，英国作家希拉里·贝利（Hilary Bailey）的《罗切斯特夫人》（*Mrs. Rochester: A Sequel to Jane Eyre*, 1997）、艾玛·坦南特（Emma Tennant）的《阿黛尔》（*Adele: Jane Eyre's Hidden Story*, 2000）、澳大利亚女作家玛迪·麦科诺基（Mardi McConnochie）的《冷水镇》（*Coldwater*,

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1　参见 Ruth H. Blackburn, "'Thornycroft Hall': A Rebuttal to 'Jane Eyre'," *Brontë Society Transactions* 5 (1975): 353-360.

2001）、美国作家辛西娅·奥兹克（Cynthia Ozick）的《微光世界的继承者》（*Heir to the Glimmering World*, 2004）、爱兰·布罗什·麦肯纳（Aline Brosh McKenna）与插画家雷蒙·凯·佩雷兹（Ramón K. Pérez）联袂推出的图文小说《简》（*Jane*, 2017）、美国作家林德赛·费耶（Lyndsay Faye）的《简·斯蒂尔》（*Jane Steele*, 2016）和凯瑟琳·洛威尔（Catherine Lowell）的《楼上的疯女人》（*The Madwoman Upstairs*, 2016）都是《简·爱》在世界文学史上延绵不绝的余音。[1]

　　柯恩桥教会女子学校的学习和生活经历给夏洛蒂·勃朗特留下了终身不变的心理创伤。1850 年 8 月下旬，夏洛蒂·勃朗特和盖斯凯尔在友人夏托沃斯夫人（Lady Janet Kay-Shuttleworth）的湖区家中第一次相遇。在此之前二人已有书信往来，见面后更是一见如故，趣味相投的她们自此成为好友。无疑夏洛蒂·勃朗特和盖斯凯尔相谈甚欢，盖斯凯尔在 8 月 25 日给友人弗洛德（Charlotte Froude）的信中谈及二人在湖区的第一次相遇时勃朗特跟她说起过教会女子学校的事情："她将自己发育不良的原因归结于长身体时在教会女子学校吃不饱饭"（Gaskell, *The Letters of Mrs. Gaskell* 128）。可见多年以后夏洛蒂·勃朗特仍然对年轻时代那段求学生涯耿耿于怀。勃朗特姐妹等维多利亚时代青年女子受到当时社会风尚潜移默化的影响，对文学产生浓厚兴趣，自发开始尝试写作，最终成为职业作家。这是文学市场的再生产过程，文学作品影响了一代又一代青年人，然后又吸引他们投身文学写作，他们的作品进入文学消费市场，用新作品激发同时代人的文学消费欲望。经过文学市场的大浪淘沙之后，其中一部分人的作品得以成为经典，在文学市场上产生持久影响，进而通过流通图书馆或家庭图书馆对下一代青年人产生新的影响。文学的传承过程大抵如此。

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1　参见 高艳丽："《简·爱》改写小说叙事形式新趋向"，《外语研究》1（2019）：107-111。

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交通、资本与贸易：狄更斯晚期作品中的"帝国回路"
Transportation, Capital, and Trade: "Imperial Circuits" in Charles Dickens's Later Works

牟　童（**Mou Tong**）　金　冰（**Jin Bing**）

内容摘要：19 世纪 60 年代见证了马克思《资本论》的诞生，也是史学家霍布斯鲍姆所谓的"资本的年代"：交通、资本、贸易构成的"帝国回路"形塑了维多利亚时代日常生活的质地，改造了物质经验和精神空间。狄更斯在这一阶段相继完成晚期杰作《远大前程》《我们共同的朋友》以及未竟遗作《德鲁德疑案》。身处英帝国全球化和自由贸易意识形态势不可挡的"大繁荣"时期，狄更斯书写带有异域色彩和海洋气息的帝国叙事，小说人物从交通通讯、资本流通、国际贸易等各个环节参与"帝国事业"。在情节设置上，铁路和汽船代替公共马车，公司和股市投机代替地方商户和小本生意，社会资本流通和海外市场成为新的阶级上升引擎，加速了帝国的运转和扩张。本文聚焦狄更斯的晚期创作，考察 19 世纪全球地缘政治、自由贸易版图、资本和商品流动的空间和话语实践，以及由此构成的相互依赖、渗透，但并不平等、均衡的经济体，揭示英国海外贸易的殖民主义本质，重新审视充满悖论的维多利亚时代精神。

关键词：狄更斯；交通；资本；贸易；帝国

Title: Transportation, Capital and Trade: "Imperial Circuits" in Charles Dickens's Later Works

Abstract: With the publication of Marx's *Capital* as the central sign, the 1860s belonged to what Hobsbawm called "the age of capital" where transportation, capital, and trade constituted "imperial circuits" that shaped the texture of the Victorian daily life. Within this decade, Dickens completed his last masterpieces *Great Expectations* and *Our Mutual Friend*, and the unfinished *The Mystery of Edwin Drood*. Influenced by the ideology of globalization and free-trade

imperialism, Dickens melted exotic and oceanic elements into his imperial narratives. Many characters of his were involved in the "imperial enterprise." Railways and steamships replaced stage coaches; joint-stock companies and stock market speculation replaced local merchants and small businesses; social capital circulation and overseas markets became new engines of class mobility. By examining Dickens's later works, this article reviews the spatial and discursive practices of 19th century global geopolitics, free-trade landscape, and the circulation of capital and commodity, which constitute an interdependent, infiltrated, but uneven and unequal economy, reveals the colonialist roots of British overseas trade and reflects on the paradoxical spirit of the Victorian age.

Keywords: Dickens; transportation; capital; trade; empire

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史学家霍布斯鲍姆（Eric Hobsbawm）将 19 世纪第三个 25 年称为"资本的年代"，其标志之一是马克思于 1867 年发表的《资本论》，该论著深刻揭示了资本主义的运行规律。[1] 处于"经济周期"大繁荣的 19 世纪 60 年代见证了资本主义的全球胜利，这一阶段也是狄更斯创作的最后十年，他先后完成长篇小说《远大前程》（*Great Expectations*, 1861）和《我们共同的朋友》（*Our Mutual Friend*, 1865 / 下简称《朋友》），留下未竟遗作《德鲁德疑案》（*The Mystery of Edwin Droo*, 1870），并创办新刊《一年四季》（*All the Year Round*）。凭借精细的观察和广博的阅历，狄更斯为读者描绘了一幅 19 世纪伦敦的"城市风俗画"，其充满"肌理感"的时代书写将共时性和在地性有机融合，叙事触角遍布帝国疆域，其中不乏空间位移以及全球范围的物质、资本、人口和话语实践的流通，可谓是"时代的征兆"（a sign of the times）。而帝国疆域为叙事谋篇提供了地理空间和物质可能。

萨义德指出："在欧洲十九世纪的大部分时间，帝国具有多重功能，作为一个被编纂的，即使只是边缘可见的虚构存在，它是一个参照系，一个界定点，是一个适合旅行、聚敛财富和服务的背景"（85），帝国的中心（metropole）和殖民地"边缘可见的虚构存在"构成了维多利亚时代的帝国

1　参见 艾瑞克·霍布斯鲍姆：《资本的年代：1848-1875》，张晓华等译，南京：江苏人民出版社，1999年，第1页。

想象。世界经济的扩张以工业化为基础，建立在全球范围巨大的物质、资本和人员的流动之上。[1] 这一流通系统（circulatory system）构成一个物质和隐喻的"帝国回路"（imperial circuits）[2]，包括交通、资本和贸易，及其空间和话语实践形成的有机体。

本文聚焦于狄更斯晚期创作中的全球流通书写，追踪"帝国回路"的运行机制，及其裹挟的巨大能量、速度和效率，考察 19 世纪全球地缘政治、自由贸易版图、资本和商品流动的空间和话语实践以及由其构成的相互依赖、渗透，但并不平等与均衡的经济体。本文认为，狄更斯的帝国书写呈现了一个充满悖论的维多利亚时代：一方面是以积极进取、自信昂扬的进步话语为主导的表层书写，一方面是暗含对无限加速、能量耗尽和停滞怠惰的焦虑与警惕的潜文本。

一、交通革命：公开胜利与隐性焦虑

史学家希弗尔布施（Wolfgang Schivelbusch）在《铁路旅行：十九世纪时间与空间的工业化》一书中指出："19 世纪执着于对空间和时间的征服与支配，这种执着在'流通'（circulation）这个概念中得到了总体表达"（194）[3]。所谓的流通，既是指"交通的行动轨迹，也指血液循环和商品流通"（Schivelbusch 195），虽然这个概念的起源是生物和生理性的，但它同样反映了现代交通的过程。

19 世纪以蒸汽为动力的交通革命极大缩短了运输时间、降低了成本，以此为物质载体，英帝国的物质和人口的全球流动成为可能。《远大前程》中的马格韦契被流放到澳大利亚经营牧场；赫伯特加盟埃及公司拓展业务，展开了《天方夜谭》式的想象："（大概还带着一队骆驼）大家一块儿溯尼罗河而上，观赏种种奇迹"（469）。《朋友》中的约翰·哈蒙在好望角从事种植园生意，莱特伍德律师讽刺时人言必称落基山脉："如今每个人〔……〕都好像入了魔似的，早晚必得对其他什么人提到落基山脉，表示他自己对之非常熟悉"（129）[4]。

狄更斯出生在港口城市朴茨茅斯（Portsmouth），在其充满海洋气息的小说中，经常出现港口、海关、码头等景观。其中，伦敦无疑是最重要的国

1　参见 艾瑞克·霍布斯鲍姆：《资本的年代：1848-1875》，张晓华等译，南京：江苏人民出版社，1999年，第52-53页。

2　莱斯特（Alan Lester）认为英帝国历史传统多使用"中心"和"边缘"概念。转向网络（networks）、网状（webs）和回路（circuits）等概念，有助于英国及其殖民地的社会文化和经济史以更为流动的方式互相关联，相关论述可参见 Alan Lester, "Imperial Circuits and Networks: Geographies of the British Empire," History Compass 1 (2006): 124-141。

3　凡未特殊注明，引文均出自笔者拙译。

4　本文有关《我们共同的朋友》的引文均来自狄更斯，《我们共同的朋友》，智量译（上海：上海译文出版社，1998 年）。

际港口、商业和贸易的中心，围绕码头修建了庞大的库房，入埠的原材料和出埠的英国商品在此交汇。造船业和海事保险业顺势发展起来，后者也是赫伯特和《朋友》中的波茨纳普从事的行业。这一切都得益于被称为"海上高速路"（the oceanic highway）的泰晤士河。《远大前程》中的小皮普居住在肯特郡（Kent）距离泰晤士河入海口 20 英里的村庄，出海的大船"征帆片片"（141）[1]，承载着他迈向广阔天地并做一个"上等人"的幻想；在试图将马格韦契偷渡出境时，皮普等人在泰晤士河的造船厂、运煤船和走私商贩间穿行，企图搭上一艘去往阿姆斯特丹或汉堡的商船。

除了港口和轮船的国际运输系统，铁路建设也是"帝国回路"的重要一环。霍布斯鲍姆指出："从全球角度来看，铁路网仍然是国际航运网的补充"（69）。铁路将主要工业城市和港口衔接起来，并勾连着作为原料产地和商品倾销市场的殖民地。例如经常被提及的西北铁路线，狄更斯称之为"英国最重要的铁路干线"，它沟通着"爱尔兰、苏格兰、威尔士、英国主要的工业城镇，以及作为英国与世界贸易大动脉的港口"（"Railway Strikes" 361）。列宁也曾断言："铁路是资本主义工业最主要的部门即煤炭工业和钢铁工业的结果，是世界贸易和资产阶级民主文明发展的结果和最显著的标志"（6）。狄更斯是火车出行的常客，其作品可谓是铁路发展史的注脚：早在1842年，狄更斯就通过蒸汽轮船横跨大西洋，并在美国乘坐火车出行，写下《美国手记》（*American Notes*）；1848年，他透过《董贝父子》（*Dombey and Son*）表达了对修建铁路改写地理环境的忧虑。

19世纪30年代以降的铁路开发远不仅是运输革命，萨斯曼（Herbert Sussman）在《维多利亚时代的科技》（*Victorian Technology*）中阐释了铁路发展的聚合反应。一方面，火车的安全运行需要信号通讯，促成电流电报的大规模铺设；另一方面，铁路电报等新兴企业需要成立股份有限责任公司体系来筹措资金，由此催生金融业的发轫。交通通讯革命降低运输成本、扩大市场、加速资本运转，进而促进了商品流通和消费文化的兴起。[2]鉴于这种聚合效应，在《一座古老的马车驿站》（"An Old Stage-Coaching House", 1863）中，狄更斯同意为一条支线请愿书署名，支持小城镇纳入铁路网中："我谨此谦虚地声明，铁路支线将毫无疑问地带来普世的交通、福祉、繁荣和文明，以及在与外国人的竞争中获得的无限的国家胜利"（201）。事实上，在维多利亚时代通行的"进步话语"中，流通被冠以积极的内涵，"只要是流通的一部分，就会被视为健康的、进步的、具有建设性的"（Schivelbusch 195）。

1　本文有关《远大前程》的引文均来自狄更斯，《远大前程》，王科一译（上海：上海译文出版社，2011年）。

2　参见 Herbert Sussman, *Victorian Technology: Invention, Innovation, and the Rise of the Machine*, Santa Barbara: ABC-Clio, 2009, 7.

　　然而，狄更斯的写作并不止步于为交通革命唱赞歌，他在《董贝父子》等作品中通过对铁路意象的多维描写，表现出"对当时社会秩序的批判"以及"对进步话语的诘问"（殷企平 67）。彼时的铁路线路规划缺乏整体统筹，私人公司考虑地方利益筹资开发的支线导致恶性竞争、重复建设和资源浪费。[1]对此狄更斯并非视而不见，在书信中他曾写道："各种可能或不可能方向的混乱铁路线，没有公共规划，没有公众监督，是巨大的金钱浪费，又没有落实责任〔……〕"（转引自 Phipotts 205）。这种悖论式的态度一直延续到其遗作《德鲁德疑案》：铁路工程牵一发而动全身，曾经平静安逸的修院城，因为铁路从旁路过而面目全非。狄更斯笔下的火车总是带着一副傲慢和轻蔑，它似乎有"更重要的使命"，对于无法被纳入铁路网的地域，火车只是"扬起满天灰尘〔……〕作为对它不屑一顾的表示"（《德鲁德疑案》64）[2]。叙述者饱含顾虑地写道："这条铁路干线是通往别处的，据说如果它失败了，金融市场就会崩溃，如果它成功了，教会和国家就会遭殃，而且不言而喻，不论它成功或失败，我们的宪政都会受到损害"（64）。

　　狄更斯将交通革命对于社会秩序的潜在威胁指向道德场域。在《动荡的街区》（"An Unsettled Neighbourhood" 1854）一文中，狄更斯抱怨火车站的修建是"丑陋叠加丑陋，不便叠加不便，污垢叠加污垢，传染叠加传染"（289）；火车站工程就是现代人道德状况的写照："它们看起来混乱而涣散，仿佛总是彻夜不眠，晕头转向〔……〕我们的精神和身体都是一个动荡的社区"（291）。在 1865 年亲历斯泰普尔赫斯特（Staplehurst）火车事故后，饱受精神创伤的狄更斯创作短篇小说《信号员》（"The Signal-man"）。通过描写铁路隧道事故，狄更斯表达了对于失序、失控和混乱的忧惧。正如希弗尔布施所说，"流通这个概念成为解码 19 世纪公开胜利与隐性焦虑的关键"（195）。

二、"虚拟资本"：空洞的能指

　　铁路建设刺激了相关的股份制企业、银行等金融体系的诞生，资本全球流通的物质条件已然完备，金融市场的发展如火如荼，释放巨大的能量，是社会积累强有力的杠杆。马克思有一经典比喻："电报已经把整个欧洲变成了一个巨大的商业交易所"（《马克思恩格斯全集》（第十四卷） 30）。19 世纪 40 年代的"铁路狂热"（the Railway Mania）造成股票市场的火热，购买铁路公司的股票一度比政府债券还受欢迎。在《朋友》中，狄更斯不无讽刺地写道："股票交易是这个世界上唯一值得一做的事情。不必有祖宗，不必有确定的性格，不必有教养，不必有思想，不必有礼貌；有股票就

1　有关英国铁路的开发模式，可参见 Mark Casson, *The World's First Railway System: Enterprise, Competition, and Regulation on the Railway Network in Victorian Britain*, Oxford: Oxford University Press, 2009。

2　本文有关《德鲁德疑案》的引文均来自狄更斯，《德鲁德疑案》，项星耀译（上海：上海译文出版社，1986 年）。

行"（165）。然而，40年代末铁路股票泡沫破碎，一夕之间倾家荡产者大有人在，狄更斯在《小杜丽》（*Little Dorrit*, 1857）中书写了相关情节。

狄更斯的写作揭露了股票证券等金融投机的本质，不过是"空洞的能指"。19世纪60年代，随着"有限责任法案"（the Limited Liability Acts, 1855）和"合股公司法案"（the Joint Stock Companies Act, 1856）的相继推出，一些专门运作市场和操控股票的公司应运而生。[1] 这种运作并没有现实资本的支撑，更像是《朋友》中的描述："把股票以八十五英镑一股的价钱发行，把它们不花钱全部买下，然后又按照票面价值用现款卖出，现在他拥有三十七万五千英镑〔……〕"（921），伦敦的金融区充斥着这些"无中生有"的机会主义者。《远大前程》中的赫伯特将自己的职业描述为"资本家——航运保险承包商"，他的目标是"买一些可靠的人寿保险公司的股票，挤进董事会去"。然而实际上，他不过是在金融区的商号帐房里"观察形势，等待时机"（look out; 202）。[2]

马克思在《资本论》（第三卷）中，深刻分析了"虚拟资本"（fictitious capital）和现实资本的区别：虚拟资本包括现实资本的"纸质副本"，如股票和债券等；也包括基于信用产生的商业汇票、银行汇票和银行券等。马克思指出，股票的积累可以表示现实资本的积累，例如："当这些证券的积累表示铁路、矿山、汽船等等的积累时，它们也表示现实再生产过程的扩大〔……〕"（540）。《远大前程》中，郝薇香小姐的酿酒厂的股份是如此，赫伯特和皮普在埃及公司的股份也是如此。然而，如同上文的例子，股票资本的积累有时并不反映现实资本积累的变化。由于工商业资本束缚于具体的产品，而金融资本具有与生俱来的流动性，更加方便投机分子的运作。

狄更斯在《朋友》中对这些投机分子的可疑行径进行了生动刻画："〔他们〕老是在商业区里出出进进，荡来荡去，打听关于证券交易所、希腊货币、西班牙货币、印度货币和墨西哥货币、比价、贴水、折扣、七五折和八五折之类的事"（692）。证券交易行业最可耻的人物非《朋友》中的弗莱吉贝莫属，他做票据经纪（bill-broking）业务，低价收买"问题票据"（queer bills）或破产人手上的证券，再以恐吓威胁的方式追讨债务。票据等金融工具逐渐代替金钱，加上纸币的使用增多，让金融犯罪不断攀升，例如欺骗郝薇香小姐的康佩生，"惯于的行当就是诈骗，伪造字据，把盗窃来的钞票设法出笼〔……〕"（388）。这些情节揭示了在维多利亚时代，各种金融证券、银行票据代替金属货币（metallic money）已是大势所趋，其潜在的道德风险日益增加。斯宾塞（Herbert Spencer）于1851年写道："在一个完全不诚实的民族

1　参见 Michael Cotsell, "The Book of Insolvent Fates: Financial Speculation in Our Mutual Friend," *Dickens Studies Annual* 13 (1984): 125-142.

2　正如许多学者指出的，虽然《远大前程》发生于19世纪20年代，但小说中金钱的力量、海外市场的蓬勃、国内经济的繁荣俨然是60年代的社会关怀，相关论述可参见 Humphry House, *The Dickens World*, New Delhi: Oxford and IBH, 1942, 159。

中，每笔金钱交易都必须以硬币或货物实现。相反，在完全诚实的人中，纸张将成为唯一的流通媒介"（*Social Statics and Man Versus State* 221-222）。这种新型货币信用体系为诈骗和投机的虚假信用关系提供了温床。[1]远离生产关系并且内在价值的空洞，货币信用体系潜伏着失序的危机。

　　在狄更斯的晚期创作中已可洞见 19 世纪后半叶"货币化"（monetization）或"银行化"（bankerization）（Houston　7）的现象。哲学家让·约瑟夫·古（Jean-Joseph Goux）强调"流动资产"（liquid assets）的重要性："现在重要的是那些流通、交换并仅以抽象形式代表价值的东西"（16）。人们普遍对资本有流动性偏好，在相似情况下更愿意持有流动性更好的资产。史学家克拉珀姆（John Clapham）称这一时期的人们："普遍不愿意让哪怕是小规模的资本停滞不前。每个人都希望资本流动起来并且结出果实"（371）。股份制公司的资本组织形式和金融资本的运行，加速了资本的流通，经济发展获得了新的效率，却无法医治"经济周期"的痼疾。即便是《朋友》中平步青云的"暴发户"维尼林，在小说最后也难逃跟随下一次经济危机破产的结局。

　　整个金融系统的运转充斥着非生产性的劳动，甚至没有现实资本，在狄更斯看来无非是资源、体力和精力上的浪费。帝国中心的转喻是郝薇香家族废弃的酿酒厂，也是《朋友》里遗赠给鲍芬的巨大垃圾山，而帝国心脏的大动脉泰晤士河变成"人类渣滓垒积成堆的地方，他们，和许许多多道德垃圾一样〔……〕滞留在这里〔……〕沉入河底为止"（《朋友》32）。狄更斯批判的眼光转向道德层面，诸如皮普、赫伯特和尤金这样的英国青年缺乏能量，不愿意工作，也没有学到实际本领；而维尼林之流长袖善舞，赚钱方式无非是在社交场合攀附银行经理或轮船经纪人。小说中充斥的停滞、淤塞与怠惰的氛围预示了一个黑暗、悲观的帝国远景。

三、帝国贸易：开放的"耗散结构"

　　由交通、资本与贸易构成的"帝国回路"形成利益缠结的联动网络，它是一个能量密集型的经济系统，也必然是一个有限封闭的"耗散结构"。萨义德指出，19 世纪中叶的小说家普遍认可所谓"帝国自由贸易语境，英国商人的道德本质和关于海外发展机会无限的意识"（16-17）。狄更斯鼓动自己的儿子们去印度等殖民地谋生，将海外贸易视为轻而易举且利润丰厚的便宜之计。《朋友》创作于第二次鸦片战争之后，贝拉幻想和父亲一起航海旅行："爸正坐在那艘漂亮的三桅大船里开往中国，去运回鸦片来〔……〕。也运回无穷无尽的丝绸和披肩，用来打扮他对迷人的女儿"（464）。洛克史密斯和贝拉结合后在一家"中国货商号"工作，贝拉想象丈夫的工作内容："茶叶呀、大米呀、有怪气味的丝绸呀、雕花的盒子呀，还有像玲珑剔透的瓷器上所画的

1　有关马克思对于虚拟经济关系的揭示，可参见　张一兵："信用与虚拟经济关系：马克思金融西想的历史探源"，《西北大学学报（哲学社会科学版）》2（2023）：89-97。

人物，这些人穿着鞋底厚而又厚的鞋子，眼睛挤成一条缝，都有猪尾巴似的辫子，把头发平平地拖向身后"（1004）。在《德鲁德疑案》中，对海外贸易的想象越发抽象，坍缩为拍卖商的一份清单目录："我看到中国制造的几只杯子和茶碟，我与它们也素不相识，但是我当场就可指出：'这是北京、南京和广州造的。'对于日本货，埃及货以及东印度群岛来的竹子和檀香，也是一样"（40）。叙事中流露出对其他民族的偏见隔阂，以及他者化的描写，暗含了帝国意识形态的"英国中心主义"倾向。《朋友》的叙述者一语道破帝国贸易者的虚伪："虽说他的生意要靠和其他国家进行商业贸易来维持，他却认为其他的国家，除了还可以做生意这一点重要的保留之处，都是一种错误〔……〕"（185-186）。

这种排外心态（xenophobia）便是帝国由盛转衰的前兆，狄更斯已觉察到帝国中心的能量在衰减，他将警示夹杂在叙事中："这就是一种不可能繁荣昌盛、也不可能长此以往的状况。〔……〕自从宇宙奠基的时候，它们从来就是真理，到造物主动摇宇宙基础的那时候，它们仍是真理"（《朋友》743）。这一悲观厌世的态度偏离了当时主流的能量守恒叙事，所谓的能量守恒原理强调能量在转化或转移的过程中，总量保持不变。[1] 批评家指出，能量守恒原理给处于"帝国回路"的物质、资本、人口吃下一颗"定心丸"，仿佛只要善于利用能量转化，能量便是源源不绝的（Choi 308）。但在狄更斯笔下，《朋友》中的伦敦却俨然是一个能量耗散的巨大垃圾场：

> 一个尘土弥漫、了无生气的灰色的伦敦商业区的黄昏，那副面貌是并不给人以希望的。大门落锁的库房和办公室显得死气沉沉，而英国人对于色彩的惧怕又给到处带来一种举哀服丧的气氛。〔……〕流离失所和郁郁寡欢的看门人、清洁工，把流离失所和郁郁寡欢的废纸和垃圾扫进路旁的沟渠里，而另一些更加流离失所和郁郁寡欢的人又把它们翻来翻去，伛偻着身子拨弄着，仔细搜寻着，想找出点能够卖钱的东西。（576-577）

在伦敦这个复杂无序的空间中，没有什么会凭空消失，无非是散落在泰晤士河中或垃圾堆里。与垃圾的分类和重新分类、回收再利用同构，小说的情节和人物都似乎无休止地重新进入流通，进行无穷无尽的能量转化。与能量守恒叙事的循环模式不同，狄更斯笔下的能量转化有一种线性的倾向。[2] 正如上述引文，叙事的时间线趋向黑暗、死亡，以及时间的尽头。

1　参见 Balfour Stewart, *The Conservation of Energy*, New York: A. Appleton and Company, 1875, 82-83.

2　参见 Tina Young Choi, "Forms of Closure: The First Law of Thermodynamics and Victorian Narrative," *ELH* 2 (2007): 307.

狄更斯对能量不灭和历史进步话语的怀疑并不仅是晚年的悲观心理所致，19世纪60年代的热力学研究和社会活动考察有相似的思考。1862年，汤姆森，即开尔文勋爵（William Thomson, Lord Kelvin），指出在封闭系统中能量转化的损耗，即可用能量在不可逆地减少："虽然机械能是不会被消灭的，但普遍存在耗散（dissipation）的趋势，这会导致物质宇宙中的热量逐渐增加和扩散、运动停止和势能耗尽。结果将不可避免地导致普遍的静止和死亡"（60）。斯宾塞在《平衡》（"Equilibration", 1862）中也流露出这种悲观的论调："如果太阳正在失去它的热量〔……〕如果人类和社会，无论进化程度有多高，都同样依赖于这种逐渐走向终结的能量供应〔……〕我们难道不是明显地走向普遍的死亡吗？"（472）马克思从对社会经济活动的观察出发，借用自然生态的循环来理解社会生态关系，提出"新陈代谢"（metabolism）的概念。他认为，大工业和大农业生产造成"新陈代谢断裂"，它们滥用和破坏劳动力和土壤肥力，其后果是："产业制度在农村也使劳动者精力衰竭，而工业和商业则为农业提供使土地贫瘠的各种手段"（《资本论》（第三卷）919）。事实上，这个"断裂"即是一种不可避免的损耗。面对资源和能量的耗尽、资本边际收益递减的不争事实，英帝国内部的浪费、冗余、贫困、缺乏精力等便是明显的症候。

对于有限封闭的"帝国回路"的疲态和损耗，唯一的出路是形成一个远离平衡态的开放的"耗散结构"，在与外界环境中的能量和物质交换过程中，完成从无序混沌到有序的转化。[1]19世纪后半叶，英国本土技术创新停滞，很难催生新的增长点，《小杜丽》中发明家申请专利遭到"拖沓部门"（Circumlocution Office）的阻碍便是这一现象的缩影。而以皮普为代表的社会上升流动被困囿在中产阶级所依附的社会资本和信用经济（credit economy）的死水之中。坚持发展帝国贸易与海外投资便成为权宜之计，使得资本秩序不断与外界进行物质、信息和能量的互换，搅动平衡态，以期转变为一种新的有序状态。[2]英国海外贸易的殖民主义本相由此可见一斑。

狄更斯的作品为读者编织了一个关于维多利亚时代的多层次、立体式的想象，体量巨大的"帝国回路"在维多利亚人的日常生活中运行：交通保障了物质基础，资本注入能量，贸易调动了全球物质和人员的流动，无形中框定并改造着人的物质和情感经验。这些庞大的机制系统和超验能指裹挟着势不可挡的能量翻卷滚动，把越来越多的地理疆域纳入其中，也渐渐发出力不从心的警告，叠加着对维多利亚时代帝国意识形态的忧虑和批判。

1　参见 伊·普里戈金、伊·斯唐热：《从混沌到有序：人与自然的新对话》，曾庆宏、沈小峰译，上海：上海译文出版社，2005年，第13-14页。
2　参见 彭兴庭：《资本5000年：资本秩序如何塑造人类文明》，杭州：中国友谊出版社，2021年，第124页。

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论蔡伯喈的伦理选择：
以"三不从"和"三被强"为中心

On the Ethical Choices of Harmony of Cai Bojie: Centred on His "Three Disobediences" and the "Three Coercions" of Others

石　超（**Shi Chao**）

内容摘要： 高明在改编《琵琶记》的过程中，通过蔡伯喈的不同伦理身份，建构出辞试父亲不从、辞官皇帝不从、辞婚牛相不从的伦理选择，以及被亲强求赴选场、被君强官为议郎、被婚强配为鸾凤的伦理困境。这些困境皆因蔡伯喈伦理身份的错位而引起，当他找到自己的身份认同后，所有的伦理困境也都迎刃而解。高明之所以营造出这种多重交织的伦理困境，又以十全十美的忠孝伦理来结尾，其实是对仕子们生存境遇的一种揭示和思考。他寄希望于通过《琵琶记》的教诲功能，既为仕子们提供心灵归宿或精神栖息的可能，又能感化民众，以实现自己以文治世的理想。

关键词： 蔡伯喈；《琵琶记》；伦理身份；伦理选择；伦理困境

Title: On the Ethical Choices of Harmony of Cai Bojie: Centred on His "Three Disobediences" and the "Three Coercions" of Others

Abstract: In the process of adapting The Story of Lute, Gao Ming discovers three ethical choices for Cai Bojie based on his different ethical identities. He did not want to take the imperial examination, but was forced to do so by his father; he did not want to become an official, but was forced to do so by the emperor; he did not want to remarry, but was forced to do so by the offical. All these ethical dilemmas are caused by the contradictions arising from Cai Bojie ethical identity. When he finds an identity for himself, all ethical dilemmas are resolved. Gao Ming creates this complex ethical dilemma and concludes it with a happy ending, which is

essentially an expose and reflection on the survival of the scholar who is an official. He hopes to provide a kind of psychological comfort to the readers who work as officials in the government through the teaching function of The Story of Lute, and at the same time, he also looks forward to providing good education to the people, which reflects Gao Ming's ideal of wanting to save the country through his writing.
Keywords: Cai Bojie; *Legend of Pipa*; ethical identity; ethical choice; ethical dilemmas

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　　作为"南曲之祖"的《琵琶记》，自诞生之日起，就颇受关注，且在有明一代就已完成了其经典化的过程。[1] 正因如此，在后世传播接受过程中呈现出两大特质：一是传播对象广泛，上至帝王，下至普通士子，都津津乐道，且论争迭起；二是传播方式多样，改本、评点、刊刻、扮演、传抄等不一而足。学界关于《琵琶记》伦理观念的研究主要从以下方面展开：第一，以"三不从"为切入点，从善与善的冲突来分析《琵琶记》建构的伦理世界[2]；第二，以高明现存诗词文为载体，映射《琵琶记》中展现的家庭伦理观[3]；第三，以《琵琶记》为个案，探究书中展现的中国古代伦理社会[4]；第四，以评点为抓手，研究《琵琶记》评点中的伦理观念[5]。这些研究成果揭示出书中的伦理冲突以及作者的伦理观念和价值选择，但对于书中伦理选择的范例分析则略有不足。蔡伯喈赴京应试、京城为官、皇帝赐婚，赵五娘侍奉公婆、卖唱寻夫，皇帝促成美好姻缘，牛丞相爱女心切等都是由他们的伦理身份做出的选择，对于解释《琵琶记》的伦理建构具有重要意义。

一、《琵琶记》改编与南戏的伦理传统

　　《琵琶记》故事原型来源于《赵贞女蔡二郎》，由高明加工创编而成。此前，《赵贞女蔡二郎》的故事一直在民间广为流传。南宋初年，陆游作《小舟游近村舍舟步归》：斜阳古柳赵家庄，负鼓盲翁正作场。身后是非谁管得，满

1　参见 朱万曙："'曲祖'之誉：《琵琶记》在明代的经典化"，《文学评论》4（2020）：148-156。
2　参见 陈恬："善与善的冲突：《琵琶记》的伦理世界"，《艺术百家》4（2013）：192-196。
3　参见 伍令："从《琵琶记》看高则诚的家庭伦理观——并以其现存诗词文为证"，《黑龙江史志》13（2015）：237。
4　参见 黄仕忠："《琵琶记》与中国伦理社会"，《文学遗产》3（1996）：89-96。
5　参见 王玲玲："论李卓吾《琵琶记》评点之伦理观念"，《文化艺术研究》1（2020）：70-78。

村听唱蔡中郎[1]，足见其流行程度。《赵贞女蔡二郎》的原作早已散佚，但可从《吕洞宾度铁拐李》《小上坟》和徐渭的《南词叙录》中知晓大概的故事情节。高明在对其的改编过程中，将原剧背亲杀妻的悲剧结局改成了一夫二妻的大团圆结局。

宋元旧本南戏有宣扬伦理的传统，《赵贞女蔡二郎》《王魁》《张协状元》等都是以家庭伦理为主要关注对象，力图通过观剧活动，对民众进行教诲。元代后期戏曲创作也是以伦理教化为关注点，针对当时的诸多剧本，夏庭芝总结道：君臣如《伊尹扶汤》《比干剖腹》；母子如《伯瑜泣杖》《剪发待宾》；夫妇如《杀狗劝夫》《磨刀谏妇》；兄弟如《田真泣树》《赵礼让肥》；朋友如《管鲍分金》《范张鸡黍》，皆可以厚人伦，美风化。[2]明初的戏曲舞台上，上演频率较高的依然是伦理教化剧，如《双珠记》宣扬"从来名教纲常重"，《跃鲤记》称道"惟有孝义贞忠果美哉"，《荆钗记》言：迩者福建安抚钱载和，申奏吉安府知府王十朋，居官清正，而德及黎民。其妻钱氏，操行端正而志节贞异。母张氏，居孀守共姜之誓，教子效孟母之贤。似此贤妻，似此贤母，诚可嘉尚。义夫之誓，礼宜旌表。[3]这种伦理教化的传统深深影响了后世南戏的创作与改编，到《五伦全备记》和《香囊记》时，可谓达到极致。

高明改编《赵贞女蔡二郎》为《琵琶记》，一方面是承续了南戏家庭伦理教化的传统，在情节关目上做了一些调整，多展示伦理选择的困境，虽将悲剧结局改成了一夫二妇的大团圆，但从根本上讲并未背离对负心婚变行为的道德谴责。另一方面，作为文人改编的南戏，高明是另有其寄寓的。贫女和赵贞女那种悲惨的遭际能博取人们的同情，敫桂英的疯狂复仇也能引发普通民众的快感，这种方式固然可以对民众的心灵进行震慑，最终达到教诲人心的目的，但毕竟与温柔敦厚的诗教传统是相背离的。高明变谴责为歌颂，是将负面的惩戒变为正面的引导，既符合了文人接受的心理，又顺应了时代的风尚，更利于完成文学的教诲功能。他在书中强调"知音君子，这般另做眼儿看"（1）[4]也正是此意。后人批评其针线最疏，其实是未能真正理解高明的深意。

二、蔡伯喈的身份错位与伦理选择的困境

《琵琶记》原名也叫《三不从琵琶记》，"三不从"即辞试父亲不从、辞官皇帝不从、辞婚牛相不从，由"三不从"引发的是"三被强"，即被亲强

1 　参见 陆游：《陆游全集校注》（第四册），钱仲联校注，杭州：浙江教育出版社，2011 年，第 327 页。

2 　参见 夏庭芝：《青楼集志》，《中国古典戏曲论著集成 第 2 集》，中国戏曲研究院编，北京：中国戏剧出版社，1959 年，第 7 页。

3 　参见 柯丹丘等：《五大南戏》，张桂喜校点，长沙：岳麓书社，1998 年，第 123 页。

4 　本文有关《琵琶记》的引文均来自 高明，《元本琵琶记校注》，钱南扬编（上海：上海古籍出版社，1980 年）。以下引文仅标注页码，不再一一说明。

求赴选场，被君强官为议郎，被婚强傲（为）鸾凤。[1] 从"三不从"到"三被强"，是《琵琶记》架构全剧情节的重要关目，也是伦理冲突的焦点。聂珍钊指出，由于社会身份指的是人在社会上拥有的身份，即一个人在社会上被认可或接受的身份，因此社会身份的性质是伦理的性质，社会身份也就是伦理身份。[2] 换言之，不同的社会身份赋予了不同的伦理身份，伦理身份又决定了伦理选择。蔡伯喈是因其伦理身份的错位，才引发后续一系列伦理选择的困境。

（一）辞试父亲不从："小孝"与"大孝"的伦理冲突

蔡伯喈辞试父亲不从，表面上看是儿子和父亲的冲突，实则是"为人子"和"为人臣"两个伦理身份错位的冲突。在"蔡公逼迫伯喈赴试"中，蔡伯喈对科举应试的态度很明确："亲年老光阴有几？行孝正是今日。终不然为着一领蓝袍，却落后了戏彩斑衣。思之，此行荣贵虽可拟，怕亲老等不得荣贵"（27）。蔡伯喈认为，为人子者，断不可因功名而耽误了尽孝。更何况双亲年事已高，光阴无多，行孝正当时，即便荣华富贵可求，恐怕双亲也等不到享用的那一天。

针对儿子的想法，蔡公并不以为然，反而认为蔡伯喈贪恋新婚，违逆亲言，不肯赴选。面对蔡公一再逼试，蔡伯喈又白曰："告爹爹：凡为人子者，冬温而夏清，昏定而晨省，问其寒燠，搔其疴痒，出入则扶持之，问所欲则敬进之。是以父母在，不远游；出不易方，复不过时。古人的大孝，也只是如此"（28）。蔡伯喈认为，晨省昏定，承欢膝下，是男儿必须遵从的大孝，但蔡公认为蔡伯喈所说的都是小节，并非大孝。在蔡公看来，事亲、事君、立身都是孝，只不过事亲是小孝，"立身行道，扬名于后世，以显父母"（29），乃是大孝，如若"以家贫亲老，不为禄仕"，才是不孝。不难见出，蔡公并不认为"小孝"很重要，甚至以"大孝"来否定"小孝"，目的是逼迫蔡伯喈赴选。

蔡公的一再逼试，使蔡伯喈横亘在错位的伦理身份之间，"为人子"的小孝和"为人臣"的大孝看似可以统一，实则是两种伦理身份选择的差异。"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）。"为人子"的伦理选择是冬温夏清，昏定晨省，而"为人臣"的伦理选择是事君建功，光宗耀祖。从这个意义上讲，大孝最终消解了小孝，而非蔡公所认为的有效统一。

在这一组伦理冲突中，双方都具有"合理性"，作为读书人，奉行"学而优则仕"的儒家信条，蔡伯喈不可能对博取功名无动于衷，但父母年事已

1 　参见 李淳："浅谈高则诚改编《琵琶记》的初衷"，《琵琶记研讨会论文集》，温州市文化广电新闻出版局编，上海：上海古籍出版社，2008 年，第 308 页。

2 　参见 Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 189-207; Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 383-398.

高，身边又无人侍奉，只好作罢，将奉养双亲放在第一位，选择了"为人子"的伦理身份。蔡公逼迫蔡伯喈应试求取功名，为的是光宗耀祖，认为儿子做官，也能显得父母的好处，更是大孝的表现，所以即使遭到饥荒的侵袭，濒临绝境时，也未改变初衷，更言："萱室椿庭衰老矣，指望你换了门闾。三牲五鼎供朝夕，须胜似啜菽并饮水。你若锦衣归故里，（我便死呵，）一灵儿终是喜"（30）。这番唱词更像是孤注一掷的赌注，在蔡公眼里，只要儿子赴试得选，任何后果都可以接受，这就是最大的孝。为了完成蔡公心中的大孝，蔡伯喈只能逐渐脱离"为人子"的伦理身份，努力向"为人臣"的伦理身份靠进。

（二）辞官皇帝不从："忠"与"孝"的伦理冲突

如果说辞试父亲不从还是家庭内部关于小孝与大孝的争论，那么辞官皇帝不从就已经延伸到家国层面的忠孝选择。"在文学文本中，所有伦理问题的产生往往都同伦理身份相关。伦理身份有多种分类，如以血亲为基础的身份、以伦理关系为基础的身份、以道德规范为基础的身份、以集体和社会关系为基础的身份、以从事的职业为基础的身份等"（聂珍钊 263-264）。当蔡伯喈高中状元后，正式确立了"为人臣"的伦理身份，就会由此身份出发，做出相应的伦理选择。

刚得知中状元时，蔡伯喈也是喜上眉梢，不禁唱到："荷衣新惹御香归，引领群仙下翠微。杏园惟有后题诗，此时男儿得志时"（60）。一方面是因为实现了读书人固有的志向；另一方面是因为完成了蔡公光耀门楣的心愿。因此，蔡伯喈心安理得的认为自己可以辞官归家，回到"为人子"的伦理身份，完成自己小孝的心愿。他向皇帝辞官云："念邕非嫌官小，那家乡万里遥，双亲又老。干渎天威，万乞恕饶"（92）。在蔡伯喈看来，自己是因为父亲的逼迫才来赴选的，如今心愿已成，自然可以归家侍奉双亲。再者，荣归故里乃圣恩眷顾，并无不妥。此时的蔡伯喈虽赴试高中，但仍可在"为人子"和"为人臣"的伦理身份之间选择，直至一道圣旨颁布："孝道虽大，终于事君；王事多艰，岂遑报父！"（94）这一道圣旨让蔡伯喈彻底地身份错位了，也使辞官归家尽孝成为泡影。由于无法违抗君命，蔡伯喈表面上坐实了"为人臣"的伦理身份，内心里却在践行"为人子"身份的伦理选择。

皇帝此时的想法与蔡公无异，认为"孝"与"忠"是可以和谐统一的，殊不知这只是他们的一厢情愿，这组伦理冲突不仅没有解决，反而引发了更大的伦理混乱。"为人臣"的蔡伯喈必须对君主尽忠，但"为人子"的身份又使其有辞官奉养双亲的想法，虽说事君即为大孝，但毕竟无法奉养双亲，有违情理。当皇帝认定了蔡伯喈"为人臣"的伦理身份时，赐婚牛小姐也就是顺理成章的事情，但对于蔡伯喈而言，因为伦理身份的再度错位，在事亲与事君的两难抉择中引发了更大的伦理冲突。

（三）辞婚牛相不从："慈"与"贞"的伦理冲突

皇帝的一道圣旨，既坐实了蔡伯喈"为人臣"的伦理身份，又建构出"再

为人夫"的伦理身份。此时的蔡伯喈从"为人子"到"为人臣"，再到"再
为人夫"，每一重伦理身份都超出了自己的控制范围，他被裹挟在多重伦理
身份的错位状态下，置身于一个又一个两难境地中。"伦理两难是难以做出
选择的，一旦做出选择，就往往导致悲剧"（聂珍钊 268），处于伦理身份
错位状态下的蔡伯喈，每一次的伦理选择都注定是悲剧。

　　面对皇帝的婚配圣旨，蔡伯喈提出了自己辞婚的理由："千里关山，一
家骨肉，教我怎生抛撇？妻室青春，那更亲鬓垂雪。〔……〕父母俱存，娶
而不告须难说"（81）。蔡伯喈认为，为人子者，婚配须征得双亲首肯；为
人夫者，怎可抛撇妻室，另附权贵。遗憾的是自己的千般理由终究抵不过皇
帝的旨意和牛丞相的"汉朝中惟我独贵"，不仅如此，牛丞相还放言："读
书辈，没道理，不思量违背圣旨。只教他辞婚辞官俱未得"（84-85）。可见，蔡
伯喈的辞婚是无效的，自此牛丞相的"慈"与蔡伯喈的"贞"之间也形成了
鲜明的伦理冲突。

　　牛丞相对膝下独女爱护有加，又是"奉旨招婿"，强婚于蔡伯喈乃人之常
情。此外，之所以看上"好人物，好才学"的蔡伯喈，是因为牛丞相认为"若
教他嫁一个膏粱子弟，怕坏了他；只教他嫁个读书人，成就他做个贤妇"（46）。
不仅如此，他还考虑到蔡伯喈这边，可以"使一个人，多与他些盘缠，教他去
陈留，将蔡伯喈爹娘媳妇都取将来便了，多少是好"（184）。可见，牛丞相
爱女心切，又得赐佳婿，看似蛮横不讲理，其实也如蔡公一样是一位"为子女
计深远"的慈父形象。为了女儿，他不仅接受了蔡伯喈的爹娘，甚至愿意一并
接纳赵五娘。蔡伯喈却不以为然，因为这样既抛别了双亲，也辜负了赵五娘。出
于对赵五娘的"贞"，蔡伯喈还是选择了辞婚于牛丞相。

　　此时的蔡伯喈在事亲与事君的伦理冲突中又多了一重：从丈夫的身份出
发，蔡伯喈理应与结发妻子赵五娘厮守到老；从臣子的身份出发，又不得不
另娶牛小姐，毕竟皇命难违，且又迫于牛丞相的权势。"为人子""为人臣"和
"再为人夫"多重伦理身份的交织与错位，使蔡伯喈从选择之初就被裹挟进
伦理冲突的旋涡中，每一次身份的转换都面临着新的选择。这些选择不仅不
能解决旧有的冲突，反而是接连生发出新的伦理问题，蔡伯喈可谓辜负了蔡
公、蔡婆、赵五娘、皇帝、牛丞相、牛小姐甚至是张太公等所有的身边人，最
终陷入进退维谷的局面，变成了一个"不忠不孝、不仁不义"之徒，而这一
切都是由错位的伦理身份而起，最终导致了伦理困境和悲剧的发生。

三、蔡伯喈的身份认同与高明的伦理寄寓

　　"伦理困境指文学文本中由于伦理混乱而给人物带来的难以解决的矛盾
与冲突。伦理困境往往是伦理悖论导致的，普遍存在于文学文本中"（聂珍
钊 258）。从本质上讲，蔡公和蔡伯喈、皇帝和蔡伯喈、赵五娘和蔡伯喈、牛
丞相和蔡伯喈这几组伦理冲突并不是敌我双方的生死冲突，而是伦理价值选

择的冲突。当蔡伯喈的伦理身份由错位回归到常态时，所有的伦理困境也就迎刃而解了。

处于身份错位状态下的蔡伯喈，从头到尾都承受着心灵的折磨。自己从未负心于任何人，却背负了背离双亲、遗弃发妻的罪名，"伯喈弹琴诉怨""伯喈思家"和"伯喈牛小姐赏月"等众多情节都描绘出蔡伯喈精神上的痛苦，"几回梦里，忽闻鸡唱。忙惊觉错呼旧妇，同问寝堂上。待朦胧觉来，依然新人凤衾和象床"（140）。面对这种精神上的痛苦，蔡伯喈甚至产生了归隐的想法，萌生出逃避的心态，他唱到："孤影，南枝乍冷，见乌鹊缥缈惊飞，栖止不定。万点苍山，何处是，修竹吾庐三径？追省，丹桂曾扳，嫦娥相爱，故人千里谩同情"（160）。不仅如此，蔡伯喈还将陷自己于两难困境的原因归结为"文章误我"，进而生发出一种读书人身份的幻灭感，其言："叹双亲把儿指望，教儿读古圣文章。比我会读书的到把亲撇漾，少甚么不识字的到得终奉养。（书），我只为你其中自有黄金屋，却教我撇却椿庭萱草堂。还思想，（休休），毕竟是文章误我，我误爹娘。〔……〕比似我做个负义亏心台馆客，倒不如守义终身田舍郎。白头吟记得不曾忘，绿鬓妇何如在他方？（书），我只为你其中自有女颜如玉，却教我撇却糟糠妻下堂。还思想，（休休），毕竟是文章误我，我误妻房"（205-206）。即便是最终被圣旨褒奖，但蔡伯喈考虑的依然是："何如免丧亲，又何须名显贵？可惜二亲饥寒死，博换得孩儿名利归"（231）。不难见出，蔡伯喈一直在伦理身份的错位中纠结、徘徊，以致于萌生了归隐山林和自我否定的想法，原因在于伦理身份的错位使其被伦理选择的困境所裹挟，进而迷失了自我。

赵五娘安葬完双亲后，抱着琵琶上京寻夫。她首先见到了牛小姐，牛小姐立即以大姐称之，并真诚地表示以后一起侍奉丈夫，自此，蔡伯喈错位的伦理身份才算彻底归正了。此时蔡伯喈的双亲已经下葬，再无须堂前尽孝，"为人子"的伦理身份也就自然消解了；牛小姐尊赵五娘为"大"，心甘情愿与其共侍一夫，"再为人夫"的伦理身份同样不存在了。这时的蔡伯喈就只有"为人臣"这一个伦理身份，由此出发的伦理选择都是合乎心意的，也就再无伦理困境一说。在经历了一系列伦理身份的错位后，蔡伯喈终于找到了自己认同的伦理身份。他的此番经历，更像是诸多仕子心路历程的写照，更是他们生存境遇的一种展示。

《琵琶记》"副末开场"云："极富极贵牛丞相。施仁施义张广才。有贞有烈赵贞女。全忠全孝蔡伯喈"（1）。牛丞相、张广才、赵贞女和蔡伯喈分别代表了四类人不同的伦理选择，在这群人身上，集中展现了十全十美的忠孝伦理。在蔡伯喈身上，本来由伦理身份的错位产生了伦理选择的冲突，最终导致了一系列伦理选择的困境，但并未走向极端化的处理方式，而是和谐圆满的解决了。这与早期的宋元南戏以及后来的《伍伦全备记》和《香囊记》全然不同，他不似前者那样简单粗暴，也不似后者那样空中楼阁。《张协状

元》和《王魁》等早期南戏多是"痴心女子负心汉"的主题，其原因在于科举选士使很多下层士子进入了政府管理阶层，脱离了他们原来所属的阶层，这直接引发了婚姻伦理问题。当状元郎更看重自己的政治命运和个人发展时，一旦有新的选择（比如驸马）出现，就注定会抛弃糟糠之妻成为负心郎。这种人性之恶背离了人们对婚姻伦理的普遍认知，必须受到应有的惩罚，但因为状元郎与糟糠之妻的社会地位差距巨大，原妻根本无法通过法律的手段来保住这段婚姻，所以最后都只能寄希望于天人感应。这是一种善恶终有报的普世伦理，也是普通百姓信仰的天道。《伍伦全备记》和《香囊记》刻画的是道德上的完人，忠臣孝子，夫妻和睦，兄弟友善，朋友信任，不展示人性的险恶与伦理的抉择，他们从性善论的角度出发，认为这三纲五常，人人皆有，家家都备。只是人在世间，被那物欲牵引，私意遮蔽了，所以为子有不孝的，为臣有不忠的。[1] 因此，《伍伦全备记》和《香囊记》更像是儒家伦理教化的戏曲版注解，缺乏生活气息。

高明《琵琶记》展现的是另一种伦理思考，他试图在人性善与伦理完美之间找到一种平衡，既立足于家庭伦理的立场，但也不否定政治伦理。书中的每一个人物都是善良的，几乎没有反面人物，蔡公逼试是出于忠即大孝的伦理，牛丞相逼婚是爱女心切，皇帝逼官是为国选材，赵五娘和牛小姐更是遵从妇德的典范，就连蔡家邻居张太公也是助人为乐的楷模。《赵贞女蔡二郎》中的蔡二郎只所以最终被暴雷殛死，是因为负心郎的行为，而《琵琶记》里的蔡伯喈虽"三被强"，但都通过"三不从"进行开脱，进而达到一种平衡。在蔡伯喈看来，人生的价值就是追求至高无上的天伦之乐，所以他不愿赴试，只愿侍奉父母、夫妻团圆。就此而言，蔡伯喈已经颠覆了早期南戏"痴心女子负心汉"的母题。更进一步讲，蔡伯喈一步步走向"三被强"，皆是因伦理选择而起，并非本意，全然不同于负心郎抛妻弃子的伦理背叛，所以他并不负有伦理上的责任。与《伍伦全备记》和《香囊记》那种空楼格式的伦理教化相比，蔡伯喈的伦理选择显得真实而富有人情味，这种忠与孝的矛盾冲突也是每一个士子在人生成长过程中都会面临的一种人生伦理困境，而这也恰恰是高明更加深层的文人寄寓。

结语

高明通过《琵琶记》建构的伦理世界，既是延续了南戏的传统，同时又寄寓着自己的良苦用心。作为文人剧的《琵琶记》，首次将南戏的伦理传统扩展和延伸了，即由家庭内部伦理移向社会外部伦理，并由此衍生出"孝"与"忠"的伦理冲突，而这一切都是通过伦理身份的选择而建构出来的。受儒家伦理纲常的影响，在改编《琵琶记》的过程中，高明通过"三不从"的关

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1 参见 邱濬：《伍伦全备忠孝记》第一出《副末开场》，明世德堂刊本，古本戏曲丛刊编委会编，北京：中国戏剧出版社，1954年。

目设置引发了不同的伦理冲突，而这些冲突所展示的伦理问题皆由伦理身份而起，辞试父亲不从是要遵从父子之礼，辞官皇帝不从是要遵从君臣之礼，辞婚牛相不从是要遵从夫妻之礼。总之，受儒家文化传统影响而形成的多重伦理身份，最终又因其不同伦理身份的选择而建构起了一个又一个伦理冲突。

自此，《琵琶记》已经彻底超越了传统南戏教化观念的藩篱，不再只是忠孝伦理教化观念的传声筒，而是摄入了对于个体命运的思考，并且由此升华为对社会性问题的拷问。从这个意义上讲，高明改编《琵琶记》也是对"负心汉"母题伦理缺陷的一次救赎，它既不是"痴心女子负心汉"的伦理震慑，也不是"奉旨完婚大团圆"的伦理鼓吹。在礼乐文化传统和戏曲文化政策的双重影响下，承续诗教传统的《琵琶记》一举成为伦理大戏的头部作品，与《破窑记》和《香囊记》一起成为后世各类戏曲选本的宠儿。

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如何理解文学事件的伦理表达：
评《麦克尤恩的小说创作及其伦理价值研究》
How to Understand the Ethical Expression of Literary Events : A Review of *A Study of Ian McEwan's Novels and Their Ethical Value*

张连桥（**Zhang Lianqiao**）

内容摘要： 作为当代最具影响力的英国作家之一，麦克尤恩以其高超的叙事技巧和对当下社会道德与伦理的持续关注赢得了学界与市场的双重认可。基于麦克尤恩的这一特征，尚必武教授在其新著《麦克尤恩的小说创作及其伦理价值研究》一书中提出了"叙事之艺、伦理之思"的重要论断。通过对麦克尤恩小说进行系统研究，尚教授援引文学伦理学批评理论就麦氏小说中的事件问题及其背后的故事讲述展开讨论，将叙述者、受述者、叙述聚焦、隐含作者、不可靠叙事、非自然叙事等诸多叙事学元素融入笔端，以少年人物的伦理迷失、中年人物的伦理困惑和老年人物的伦理救赎等为切入点精准发力，完整呈现了麦氏创作的叙事旨趣与伦理图景。
关键词： 尚必武；麦克尤恩；《麦克尤恩的小说创作及其伦理价值研究》；叙事；伦理

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Title: How to Understand the Ethical Expression of Literary Events : A Review of *A Study of Ian McEwan's Novels and Their Ethical Values*
Abstract: As one of the most influential British writers in contemporary times, McEwan has won the recognition of both academia and market with his superb narrative skills and continuous concern for morality and ethics of the current society. Based on this feature of McEwan, Professor Shang Biwu puts forward the important assertion of "Narrative Art and Ethical Ideology" in his new book *A Study of Ian McEwan's novels and their Ethical Values*. Through a systematic study of McEwan's novels, Professor Shang invokes the Ethical Literary Criticism to discuss

the issue of events in the novels and the storytelling behind them, incorporating many narratological elements such as narrator, narrated, narrative focus, implied authorship, unreliable narrative, unnatural narrative and so on into his writing, taking the ethical loss of young characters, the ethical confusion of middle-aged characters and the ethical redemption of old characters as the starting points to conduct in-depth analysis, so as to present the complete narrative purpose and ethical landscape of McEwan's creations.

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　　小说要如何作为一种特殊的文学事件来阐发作者的伦理思想呢？尚必武教授在其最新论著《麦克尤恩的小说创作及其伦理价值研究》（下简称《研究》）中就这一问题进行了细致回应。该作以叙事学为依托，援引文学伦理学批评，为我们解读麦克尤恩的文艺风貌提供了一个全新的批评视野。"小说家笔下的文学事件，即那些对'发生中的未发生'的记载，可以理解为人物意识到了自我看待事物的局限性，进而反躬自省并努力改善自我的过程。〔……〕这就是一个故事所需要具备的唯一道德寓意"（尚必武 118）。也就是说，麦克尤恩正是以小说为眼，透过书写一个又一个文学事件来聚焦时代语境下错综复杂的伦理议题，进而深入探讨"小说何为"这一核心命题。

　　站在中国学者的本土视角和立场上，尚教授突破并超越了西方学者研究文学的既有批评程式与学术视角，在这一具有原创性的研究成果中提出了麦克尤恩小说中独有的"叙事之艺、伦理之思"，并将叙事学与文学伦理学批评结合起来作为其逻辑思维的重要起点。通过对麦克尤恩小说进行系统研究，尚教授援引文学伦理学批评理论就麦氏小说中的事件问题及其背后的故事讲述展开讨论，将叙述者、受述者、叙述聚焦、隐含作者、不可靠叙事、非自然叙事等诸多叙事学元素融入笔端，以少年人物的伦理迷失、中年人物的伦理困惑和老年人物的伦理救赎等为切入点精准发力，完整呈现了麦氏创作的叙事旨趣与伦理图景。

一

　　自 20 世纪下半叶以来，当代西方发展最为迅速的文学理论当属叙事学，尤其在后现代主义思潮的推动下，叙事学的理论发展日益成熟。从经典叙事学到后经典叙事学，其研究的外延与内涵也不断发生变化。正如尚教授在其著作《当代西方后经典叙事学研究》中指出：西方叙事学界出现多种类型的跨

学科叙事学并驾齐驱的繁荣景象。[1]当代西方后经典叙事学主要有女性主义叙事学、修辞叙事学、认知叙事学、非自然叙事学和跨媒介叙事学等。

在《研究》中，尚教授运用文学伦理学批评研究方法，探讨了麦克尤恩小说的叙事艺术之于伦理价值的表达效用问题。众所周知，麦克尤恩是一个把玩叙事技巧的高手。在《麦克尤恩访谈录》中，扎蒂·史密斯说，"读他的作品时，我会被那些我从来都不会使用的隐喻、从来都不会构思的情节和从未有过的理念所打动"（转引自 尚必武 3）。史密斯所说的隐喻、情节和理念问题涉及麦克尤恩小说的叙事要素问题。在麦克尤恩的小说中，读者的期待视野不断被打破，甚至有些情节或话题令读者读后有一种直面冲击的不适。麦克尤恩一方面让叙述者不断挑衅读者的阅读体验，叙述者的语气、立场甚至有些冷峻而无情，另一方面又总是能在他的叙事技巧之中保留作家的伦理立场。如今，小说创作的故事讲述早已"陈词滥调"或大同小异，读者的接受能力也早已今非昔比，作家要想在叙事技巧上别出心裁实际上已经变得非常困难。而麦克尤恩却常常打破常规讲述，带给读者全新的阅读体验，比如《果壳》的婴儿叙述讲述等等，也许这就是其小说总是让人爱不释手的原因之一。

尚教授在《研究》中除了专章讨论叙事学的问题外，还在阐释麦克尤恩"伦理之思"的同时把"叙事之艺"融会贯通在字里行间，把麦克尤恩小说的叙事伦理与伦理叙事巧妙地结合在一起。比如在剖析《家庭制造》主人公为了摆脱童贞而夺走其妹妹贞洁这一乱伦故事时，尚教授指出，"从伦理轴线这一角度来说，叙述者显然是不可靠的，是隐含作者麦克尤恩反讽的对象"（尚必武 53-54）。而在研究《赎罪》时，尚教授选择外部和内部的叙述聚焦剖析小说家的伦理责任："叙事学以上的聚焦（focalization）为文学事件的探讨指明了可行的方法和路径"（117）。总之，尚教授在研究麦克尤恩小说伦理价值的同时，通过融合叙事学的诸多概念诸如叙述者、受述者、叙述聚焦、隐含作者、不可靠叙事、非自然叙事等等，增强了思想的哲理深度。

需要特别强调一点，尚教授作为中国叙事学研究的领军人物之一，在研究中也尤为注意麦克尤恩小说中的非自然叙事元素。正如尚教授在《非自然叙事诗学》中提到的，非自然叙事学以"反模仿叙事"为研究对象，以建构"非自然叙事诗学"为终结目标，显示出一场迅猛的发展势头，迅速成长为一支与女性主义叙事学、修辞叙事学和认知叙事学比肩齐名的后经典叙事学派。[2]麦克尤恩尤其擅长把玩非自然叙事技巧，让故事讲述充满了不确定性与不可预测性，小说《立体几何》《果壳》《像我这样的机器人》《蟑螂》等都采用了非自然叙事的手法。尚教授在分析这些作品中的伦理问题时同样把

1　参见 尚必武：《当代西方后经典叙事学研究》，北京：人民文学出版社，2014 年，第 238 页。

2　参见 尚必武编：《当代西方叙事学前沿理论的翻译与研究》（当代西方叙事学前沿理论丛书）之《非自然叙事诗学》，尚必武等译，上海：上海外语教育出版社，译丛总序，第 vii 页。

非自然叙事作为重要的内容加以解读。如尚教授解读《果壳》时指出："作为小说中的胎儿叙述者，其'非自然性'（unnaturalness）突出表现在他在有限的空间里拥有无限多的知识"（尚必武 197）。再比如在《蟑螂》中麦克尤恩通过戏仿卡夫卡的《变形记》采用非自然叙事让吉姆从一只蟑螂变为人形："与格里高尔的情况如出一撤，由蟑螂变形为人的吉姆也同样以过去的自己（蟑螂）作为聚焦者去审视周遭世界的人与物"（尚必武 248）。

二

麦克尤恩的求学经历与阅读积累表明其有着丰富的文学功底，他熟悉西方文学家对于文学理论的阐释，而且深谙文学事件的重要性。海德格尔、德里达、伊格尔顿、齐泽克等学者都对事件进行了定义与阐释。可以说，现代主义就是从对事件的关注中发展起来的。从故事转向事件，是现代主义兴起的标志。现代主义作家的努力表明文学创作并非仅仅去描绘一个反映社会生活的故事，而是要通过建构事件的生成性以此表达揭示社会真相的话语诉求。麦克尤恩小说对伦理事件的生成性的讲述表明麦氏并不仅仅要讲述一系列故事，而是要借助文学的手段表达道德的思考。麦克尤恩小说的"故事性"并不丰富，不像狄更斯以来的其他英国作家那样去建构一个涤荡起伏的故事世界，麦氏小说只描写一些生活的片段或场景，让事件的争议性、偶发性、撕裂性、道德性集于一体，彰显麦氏对于生活的独特理解。

麦克尤恩早期小说热衷描写乱伦事件，在不动声色的讲述中彰显隐含作者的伦理诉求。"因为早期作品中的陌生、性虐、乱伦等怪诞主题，麦克尤恩被评论界戏谑为'恐怖尤恩'。麦克尤恩的前两部短篇小说集《最初的爱情，最后的仪式》《床笫之间》细致描绘了人类潜在的邪恶，死亡、乱伦、异化、孤独几乎成为麦克尤恩早期文学的标签"（尚必武 3）。"恐怖尤恩"的戏谑背后表明麦克尤恩小说创作对乱伦事件的严肃思考。如《家庭制造》讲述了一桩骇人听闻的伦理事件：十五岁的哥哥强奸了十岁的妹妹；在《蝴蝶》中一个身体畸形的少年以"蝴蝶"为诱饵侵犯并杀死一个 9 岁女童；《立体几何》讲述了叙述者如何利用曾祖父的日记所记录的"无表面的平面"有预谋地杀死自己妻子；《水泥花园》更是描述了兄妹三人如何在用水泥埋葬因病去世的母亲尸体后发生乱伦关系；《果壳》讲述一个即将出生的"胎儿"听到了母亲与其叔叔谋害自己父亲之后打算复仇的故事。这些有关青少年乱伦事件"折射青少年群体在青春期的困惑、烦恼与迷惘，以及他们可能潜在的道德滑坡与伦理缺失，值得引起社会的重视与思考"（尚必武 38）。

除了乱伦事件，麦克尤恩小说对政治与社会话题也十分关注。"作为当今英国文坛具有市场号召力和批评影响力的人物，麦克尤恩近年来在作品中对政治话题的书写及其本人在现实生活中对政治活动的介入尤为受人关注"（尚必武 144）。如《星期六》被英国权威期刊《新政治家》评为"9•11"小说，该

小说与"9·11"形成了互文关系，被当作是后"9·11"文学的贡献。"《星期六》再现了'9·11'事件对当代普通人生活的影响与介入"（尚必武 132）。《甜牙》是一部聚焦于间谍题材和政治题材的小说。但尚教授运用文学伦理学批评，从小说中"原谅"这一高频词入手，"揭示'原谅'一词所蕴含的伦理价值与情感元素，由此走出小说间谍外衣和政治主题的'表层文本'，透视容易被人忽视的'潜藏文本'"（尚必武 145）。在《蟑螂》中，麦克尤恩通过改编卡夫卡的《变形记》以此表达对社会、政治问题的持续关注。"麦克尤恩构建了这样一个寓言来表达他对英国脱欧的强烈批评，利用小说的想象力来反映这个国家的混乱"（Chen 69）。

此外，科学事件也是麦克尤恩近年来十分关注的话题。科学事件从来就不单单是科学家在实验室的问题。科学的问题与人类的文学、宗教、法律、道德发生紧密的联系。《立体几何》就曾讨论过物理科学的问题。《星期六》更是直接将医学与文学的冲突搬到台前："神经外科医生贝罗安所代表的科学与诗人戴茜所代表的文学之间的冲突与融合"（尚必武 131），除此以外，麦克尤恩还根据2014年英国的"阿什亚·金案"这一轰动全球的医疗事件撰写小说《儿童法案》。这部小说涉及科学、宗教、法律与伦理的问题。随着数字技术与人工智能的发展，数字人或机器人成为时代的焦点。"科学技术的飞速发展，势必加快伦理选择的进程，迎接科学选择早日来临"（刘红卫 聂珍钊 9）。麦克尤恩在《像我这样的机器》探讨机器人的本质、机器人与人类之间的冲突、机器人是否会超越人类等的科学问题。最终，"人工智能人全部死亡这一结局不仅预示着新型家庭模式的脆弱，也体现了人机共存社会下伦理与法律，机器与人类权力之间的冲突"（Liu and Tang 839-840）。

三

根据文学伦理学批评，文学的基本功能是伦理教诲。"它把文学看作道德的产物，认为文学是特定历史情境下的一种伦理表达形式"（Nie, "Ethical Literary Criticism: A Basic Theory" 189）。文学在本质上是关于伦理的艺术，文学的任务就是揭示伦理问题，为人类提供道德经验与伦理教诲。文学伦理学批评以"自然选择"、"伦理选择"和"科学选择"的研究为核心。"生物选择回答了人与动物在生理上的不同，而伦理选择从认知的角度解释了人与动物的区别"（Nie, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection" 386）。正如加林·提哈诺夫（Galin Tihanov）教授所说："聂珍钊理论的独创性在于，他试图严格区分道德批评和伦理批评，前者以需要从评论员/读者当前的角度进行判断为指导，而后者则试图理解文学作为面对和解决善与恶、责任与快乐、忠诚与自由等困境的工具的具体演变"（560）。为什么被戏谑为"恐怖尤恩"的麦氏如此热衷讨论伦理与道德问题？这与作家的道德立场与道德忧虑密切相关。根据麦克尤恩本人的发言："小说是一种深化的道德

形式，是进入他人心灵的完美介体。我认为在移情层面上来说，道德问题始于小说"（Ryan 70）。从这点上看，麦克尤恩的观点与聂珍钊教授的观点不谋而合：麦克尤恩认为小说是深化的道德形式，与聂教授所强调的文学是道德的产物相似；麦克尤恩从移情层面认为道德问题始于小说（文学），聂教授认为文学的基本功能是教诲。由此，我们也可以把麦克尤恩称为"道德尤恩"，以彰显麦克尤恩小说创作中鲜明的道德意识与道德立场。

　　《研究》紧紧抓住了麦克尤恩小说的伦理价值与教诲功能。比如，在《蝴蝶》中，叙述者对自己恋童、弒童的犯罪行为不带一点忏悔，还避重就轻地诱导读者同情其作为边缘人物的伦理变故。对此，尚教授指出：作家"通过书写极端的邪恶来寄寓小说家对至善的诉求和向往，通过书写'让人不安的艺术'，来表达其对崇高伦理道德的诉求"（尚必武 70）。再比如在麦氏小说《儿童法案》中，麦克尤恩集中讨论了科学、法律、宗教与伦理的交织问题。从科学的角度来说，阿什亚理应通过科学的手段获得更好的治疗；从宗教的角度来说，阿什亚及其父母作为耶和华的教徒反对输血治疗是出自其宗教习俗的考量；从法律的角度来说，阿什亚父母未经医院同意就离境，警方依据保护未成年人的《儿童法案》逮捕其父母也符合法律的逻辑；然而，从伦理的角度来说，治疗与不治疗、拯救与不拯救，这是一个伦理两难的问题。"麦克尤恩以菲奥娜的努力、坚守、后悔、自责向读者诠释了'儿童福祉'的真实内涵与守护方式，给我们带来了诸多道德警示与伦理启迪"（尚必武 182）。尚教授在结论中强调，麦克尤恩笔下的人物从少年人物的伦理迷失、中年人物的伦理困境到老年人物的救赎，这些人物一生都在经历伦理选择的考验，每个人物进行伦理选择的过程正是读者获得道德启迪与伦理教诲的源泉。

　　需要补充说明的是，随着脑科学与类脑智能技术的不断发展，未来科学研究也将迎来巨大的挑战。"我们必须认识到一个必将出现的事实，那就是科学技术将越来越多的干预人的大脑并最终能够取代人的大脑"（聂珍钊"人文研究的科学转向" 567）。世界主要经济体都在推出各种类型的"脑计划"（Brain Initiative），说明脑科学研究被越来越重视。"文学伦理学批评提出'脑文本'（brain text）这一术语，用以解决将脑科学技术运用到人类精神和思维活动研究时可能导致的缺陷"（任洁 740）。在文学研究领域里，科学脑文本是指作家借助人工智能、脑科学、神经科学等理论创作的类脑智能文本。就目前的文学创作而言，类脑智能形象的塑造依靠作家超越现实的想象力，采用非自然叙事的手段再现作家的脑文本。把文学脑文本与科学结合建构科学脑文本的研究，《研究》第十一章就专门讨论了人工智能与脑文本的张力。尚教授以麦克尤恩的小说《像我这样的机器》为例，研究小说机器人电子文本与人类脑文本之间的交锋与博弈。作为科学选择的产物，机器人即便拥有了人类一样的学习能力，通过学习提升并进化自己，但终究不具备像人类拥有伦理意识的脑文本。"在这种意义上来说，亚当的毁灭明示了机

器人之于人类道德生活介入的失败，同时也揭示了具有伦理意识的脑文本的无可替代性，即便以人工智能为幌子的电子文本也无法做到这一点"（尚必武 241）。显然，就目前类脑智能技术，机器人的是无法获取像人类拥有伦理意识的脑文本。不过，按照类脑智能技术目前的发展速度，机器人大脑拥有像人类一样的伦理意识，甚至超越人类、不被人类所控制，这一天恐怕会比我们想像得来得更快。

　　综上所述，尚教授在《研究》中为我们建构了叙事学与文学伦理学批评相结合的批评范式。通过对麦克尤恩小说进行全面的文本细读，尚教授借助文学伦理学批评的研究视角，关注麦氏小说中的伦理事件及其背后的故事讲述，结合叙事学理论，揭示出麦氏小说中少年人物的伦理迷失、中年人物的伦理困惑和老年人物的伦理救赎，完整呈现了麦氏创作的叙事旨趣与伦理图景。

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