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刘 白

傅修延叙事学研究简论

A Brief Discussion on Fu Xiuyan's Narrative Studies

赵炎秋 (Zhao Yanqiu)

内容摘要: 傅修延的叙事学研究可以分为两个阶段，第一阶段从 1989 年至 2004 年，第二阶段从 2015 年至今。两个阶段傅修延共发表叙事学方面的论文近百篇，出版专著七部，主编七卷本套书一套。傅修延的叙事学研究主要围绕中国叙事传统的形成和源起、听觉叙事和中西叙事比较三个方面展开，在三个方面都取得了不俗的成就。傅修延叙事学研究具有创新性、广谱性、中华性和人文性等四个特点。

关键词: 傅修延；叙事学研究；中国叙事传统；听觉叙事；中西叙事比较

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Title: A Brief Discussion on Fu Xiuyan's Narrative Studies

Abstract: Fu Xiuyan's narrative studies can be divided into two phases: the first phase from 1989 to 2004 and the second phase from 2015 to the present. During these two phases, Fu Xiuyan has published nearly a hundred papers on narrative studies, authored seven monographs, and edited a seven-volume set of books. His narrative research mainly focuses on three aspects: the formation and origin of Chinese narrative tradition, auditory narrative, and comparative studies of Chinese and Western narratives. He has achieved remarkable accomplishments in all three areas. Fu Xiuyan's narrative research is characterized by four features: innovation, broad spectrum, Chineseness, and humanism.

Keywords: Fu Xiuyan; narrative studies; Chinese narrative tradition; auditory narrative; comparison of Chinese and Western narratives

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作为中国最早的叙事学研究者之一，傅修延教授从1990年在《江西师范大学学报》发表第一篇叙事学研究方面的论文“试论叙事作品中的人物标示”，1993年发表叙事学专著《讲故事的奥秘——文学叙述论》，到2024年出版其所主编的叙事学研究七卷本系列丛书《中西叙事传统比较研究》，至今已在叙事学研究的道路上跋涉了35年，并取得了重大成就。追溯其叙事学研究走过的路，探讨其叙事学研究成果、特点及其相关思想，对于总结中国叙事学研究的经验，启示青年叙事学研究学者，进行中外叙事理论的交流，应是不无裨益的。

一、傅修延叙事学研究的第一阶段

傅修延生于1951年，下过乡，当过工人，1977年考入江西师范学院（江西师大前身），就读于英语语言文学专业，1979年本科在读期间考入江西师范学院中文系外国文学专业攻读硕士学位¹，1982年硕士毕业后留校任教。1995年，已是教授、江西师范大学文学院院长的傅修延考入扬州大学攻读古代文学博士学位，1998年毕业。

傅修延硕士论文的题目是“济慈美学思想初探”，毕业留校工作后仍然继续济慈的研究。同时他又开辟了另一研究领域：文学批评方法。1988年出国访学前夕，他对自己的这一工作做了如下总结：“我已完成了第一阶段的工作，即对文学批评方法论的体系作了初步勾勒与探索。第二阶段的工作也即将完成，这就是将文学批评方法论的研究深入到思维学层次，试图建构一门文学批评思维学。我现在正在筹划第三阶段的工作，试图将中国古代文学批评理论与西方现代文学批评理论作一些比较，这也就是非常有意义的‘比较诗学’研究”（“傅修延，我的风帆”），可见他这时已在文学批评方法领域登堂入室，然而去加拿大多伦多大学比较文学中心的访学改变了他学术研究的方向。

在多大比较文学研究中心，傅修延与加拿大学者诺思罗普·弗莱（Northrop Frye）有过交集并听过弗莱讲授的课程“《圣经》叙事”。但对他影响最大的则是研究中心的卢波米尔·多罗泽尔（Lubomír Doležel）教授。多罗泽尔教授“不但在讲课时经常提到‘Narratology’（叙事学）这个词，他还把引人入胜的‘可能的世界’理论介绍给我们，因此他的课堂上总是充满了对叙事中诸多可能的热烈讨论”（萧惠荣 4）。这次访学使傅修延从济慈、学术批评方法论的研究转到了叙事学研究。

傅修延的叙事学研究可以分为两个阶段。第一阶段从1990年到2004年，第二阶段从2015年至今。

1989年从多伦多大学访学归来之后，傅修延开始重点研究叙事学。论文“试

1 1978和1979两年为了“多出人才、快出人才”，国家允许在读大学生以及未读大学的其他青年才俊考研。

论叙事作品中的人物标示”的发表标志着他学术研究的转向。到2004年,他共发表叙事学方面的论文数十篇,出版叙事学方面的专著4部,分别是《讲故事的奥秘——文学叙述论》(1993)、《叙事:意义与策略》(1999)、《先秦叙事研究》(1999)、《文本学》(2004)。

《讲故事的奥秘——文学叙述论》共分十章。专著融合了西方叙事理论、中国的相关材料以及作者自己的理解与发挥,形成一个比较完整的知识系列。在国内叙事学研究还很薄弱的上世纪90年代初,作者似乎并不满足于仅仅介绍西方叙事理论,或者通过自己的缝补与联缀将西方叙事理论连接成一个知识的整体,形成一部著作。作者总是力图在西方叙事理论的基础之上融入自己思考与观点,让专著带上一定的中国色彩,显出一定的中国因素。比如专著的第二章分为三个部分,第一部分讨论叙事虚构的世界,它的边界、规模以及维度与密度;第二部分以真实的世界与不可能也即人类想象无法企及的世界为两极,以离真实世界的距离为标准,将位于这两极之间的叙事虚构世界由近到远地分为可能、神奇、荒诞和悖谬四个世界;第三部分讨论虚构世界与真实世界的关系,指出叙事为人类创造出另外一个世界,人类不止生活在一个世界之中。叙事虚构的世界要对真实的世界产生冲击,而真实世界则要对虚构世界进行规范。整章内容与西方叙事理论有一定的联系,但却不是西方叙事理论的简单移植,而是融合了作者自己的思考与理解,有自己新的东西。其他章节也是如此,只是有的章节作者自己的思考多些,有的章节少些。但不管多少,作者总是尽量根据自己的理解,结合中国的材料,提出自己的观点与思想,使整部专著的知识体系带上一定的自主因素,具有一定的中国色彩。¹

《叙事:意义与策略》是一部论文集,收录了傅修延1992年至1998年间所发表的部分论文,共17篇,加上3篇写于80年代的论文,构成了全书连“引言”在内的20个单元。傅修延在“引言”中写道:“我喜欢从根本上思考与文学叙事有关的一些问题,它们常常使我神思飞越,不知此身之安在”(1)。从某种意义上说,“从根本上思考与文学叙事有关的问题”构成了本书的基调。这有三层意思:第一层意思是说,这部论文集的内容不是对西方叙事学的阐释与介绍,而是对于相关叙事问题的探讨²;第二层意思是说,论文集中对中国问题的探讨占据了很大的篇幅,如“中国叙事学开篇:四部古典小说新论”、“《山海经》对后世叙事思维的影响”、“汉语与叙事”等等;第三层意思是说,论文集讨论的虽然是些具体的作品和文学现象,但作者的思考却往往指向更为普遍的问题。如上述三个单元的题目,再

1 自然,由于侧重自己的理解和自主知识的融入,这部专著在叙事理论的系统性方面相对90年代初的其他几本叙事学著作要弱一些。

2 当然,这并没有隐含对西方叙事学的阐释与介绍没有意义的意思,只是说这是《叙事:意义与策略》这本书的一个特点。

如以下单元：“关于近期叙事学研究之意义——兼评董乃斌近著《中国古典小说的文体独立》”，讨论由董乃斌的著作引起，但目的却是讨论当时出版的以《中国古典小说的文体独立》为代表的相关著作在叙事学研究方面的意义。“这些研究的一个共同之处是跳出了‘小说’研究的窠臼，开始从叙事角度作出更新一层的思考，其讨论对象涉及中国小说的叙事动机、叙事谋略和叙事模式等多个方面。虽然这些著作不是小说史，但在这些作家笔下，中国小说演进的脉络更加令人信服地呈现出来。之所以能有这种历史性的进步，关键在于抓住了小说的本质特征——叙事”（17）。其他单元大致也是如此。著作虽然是论文集的形式，但讨论的问题却有一定的系统性。

《先秦叙事研究：关于中国叙事传统的形成》与《叙事：意义与策略》出版于同一年（1999）。这本书的写作，与傅修延的博士生涯有密切联系。傅修延攻读博士学位的目的主要不是为了拿张博士文凭，而是随着年龄的增长，他“感到自己越来越趋向本民族的文化，内心深处‘我是中国人’的声音越来越响亮”（《先秦叙事研究》321）。三年读博生涯，傅修延付出了艰苦的努力。一方面，承担的工作没有减少甚至有所增加（1996年，他由文学院院长升任江西师大副校长），另一方面，进入一个新的学术领域必然要求额外的付出。¹但辛勤的劳作也给他带来了丰硕的成果。博士期间及后续的学习使他把握了一个新的领域：中国文学和中国文化，同时也使他的叙事学研究更多地侧重中国本土。《先秦叙事研究》就是这一转向的明显标志。

《先秦叙事研究》有一个副标题：“关于中国叙事传统的形成”。这说明这部著作的主旨不是系统地研究先秦叙事、更不是先秦文学叙事，而是通过对先秦叙事的探讨，寻求中国叙事传统形成的原因。专著将远古时期的结绳、图画和汉字的发明作为叙事的工具，将甲骨和青铜作为叙事的载体，认为口舌传事是远古时期叙事的主要方式。通过探讨，作者得出四点认识：“一、在先秦叙事中，叙事诸要素由朦胧走向清晰，对叙事行为的驾驭逐渐成熟，其中记言能力的迅速成长尤为突出。二、先秦叙事已经表现出相当清醒的自觉，作者的主体意识亦有所抬头，这些促进了对叙事形式的讲究，导致叙事中虚构成分增多，为历史性叙事与文学性叙事分道扬镳各领风骚作好了准备。三、先秦叙事在中华民族叙事思维上打下了根深蒂固的烙印，其形态、倾向与特征对后世叙事发生了深刻影响。四、先秦叙事处于中国叙事史上的拓荒阶段，它播下的许多种子为后世叙事提供了丰富的生长点，它建立的一系列范型亦获得绵延不绝的发扬光大”（5）。中国叙事传统发展到当代，其基本面貌的“家族特征”与作为中国叙事源头的先秦叙事是密切相关的。专著的创新性与学术价值都值得肯定。

《文本学——文本主义文论系统研究》出版于2004年。全书共分十一

1 傅修延本科读的英语专业，硕士读的比较文学专业，博士读的古代文学专业。古代文学对于读博前的他来说无疑是一个新的领域。

章。第一至第五章为第一部分，以文本学为主线讨论了英美新批评、俄国形式主义、法国结构主义以及后结构主义、新叙事学等西方文论流派的文本观念。第六至第九章为第二部分，从汉语文本的独特性、中国古代辨体分类中的文本观，和中国古代小说、诗歌理论中的文本观念等四个方面，运用现代的概念和范畴，对汉民族的文本观念进行了归纳和阐发。第十和第十一章为第三部分，从中西融合的角度对文本学的一些基本观念进行了分析和研究，同时从文本学的角度讨论了当时正处于风头中的“超文本”问题。傅修延认为，“西方的文本学虽称发达，但从总体上说有观点偏激和视野褊狭两大弊病：观点偏激主要表现为忽视乃至蓄意割断文本与外部世界的联系；视野褊狭则为对西方之外的文本学传统懵无所知”（3）。作者希望改变这种状况，通过引入中国古代的文本观念，使中西文本观念形成参照，并在参照的基础之上对二者进行整合，形成一种新的理论。但这种整合还有待更加深入与系统。同时，由于专著的重点在中西文本理论的研究、参照与整合，因此对于文本理论本身的系统研究也还有待加强。

二、傅修延叙事学研究的第二阶段

《文本学》出版之后，傅修延叙事学研究第一阶段结束，其学术研究的重心转到济慈和赣鄱文化上来。这种转向应该有三个方面的原因：一是2005年他由江西师大副校长转任江西社会科学院院长，工作岗位的变动导致其学术研究重心的转移。作为省社科院院长，他必须配合省委省政府工作重心，关注江西本土问题和江西建设；二是他从硕士开始的济慈研究需要有一个圆满的结尾；三是《文本学》出版之后，傅修延的叙事学研究遇到瓶颈，他需要沉下心来，寻找新的方向与突破。在叙事学研究的这段沉静时期，傅修延的学术研究主要集中在济慈和赣鄱文化两个方面。在济慈研究方面，他出版了两部专著：《济慈评传》（2008）、《济慈诗歌与诗论的现代价值》（2014）。¹后者2013年曾入选“国家哲学社会科学成果文库”。赣鄱文化方面，他三次主持并完成江西省社会科学研究规划重大招标项目，其中“关于建议申报鄱阳湖生态经济试验区的研究报告”为江西省政府采纳，鄱阳湖生态经济区2009年经国务院批准上升为国家战略。此外，他还先后出版《赣文化论稿》（2004）、《生态江西读本》（2019）等著作，与卢普玲共同主编著作《江西文化》（2018）。由此可见，在叙事学研究的沉静时期，傅修延并没闲着，学术成果依旧丰硕。

以2015年《中国叙事学》的出版为标志，傅修延的叙事学研究进入第二阶段。自然，任何人的学术研究，其阶段划分都不是黑白分明的，每个阶段的研究都存在相互交叉的现象。所谓叙事学研究沉静时期只是相对于研究的活跃时期而言。正如傅修延的济慈研究和赣鄱文化研究并不局限于叙事学研

1 2002年，傅修延还出版了一部译著，《济慈书信集》，北京：东方出版社，2002年。

究的沉静时期，在沉静时期他也并非没有涉足叙事学的领域。就学术成果而言，从2005年到2014年，他仍然发表了十多篇叙事学研究方面的论文，特别是2010年发表于《江西社会科学》第4期上的“元叙事与太阳神话”，这篇论文曾获教育部“第六届高校科学研究优秀成果奖”三等奖。在学术活动方面，他也做了不少工作。如2004年，参与筹办在漳州师范学院（现闽南师范大学）举行的“全国首届叙事学学术研讨会”，2010年在江西师范大学成立“江西师范大学叙事学研究中心”等。这些学术研究和学术活动为他的叙事学研究在2015年进入第二阶段做好了准备。

在第二阶段，傅修延在叙事学方面共发表论文四十多篇¹，出版专著《中国叙事学》《听觉叙事研究》《趣味叙事学》三部，主编多卷本丛书“中西叙事传统比较研究”一套。

《中国叙事学》出版于2015年，曾获教育部“第八届高校科学研究优秀成果奖”二等奖，2024年入选“优秀学术著作再版项目”。2022年，澳大利亚学者保罗·道森（Paul Dawson）主编的叙事学权威参考书《劳特利奇叙事理论指南》（*The Routledge Companion to Narrative Theory*, 2022）第十八章重点评述了傅修延在叙事学领域的研究成果，其中特别推介《中国叙事学》，说明这部专著已经得到国际叙事学界的认可。

傅修延指出：“《先秦叙事研究》对先秦时代中国叙事传统的形成脉络、基本轮廓与主要特点作了较为全面的总结。《中国叙事学》则进一步突破文学范围，向人类学、宗教学、神话学、语言学、符号学、民俗学以及地域文化等领域广泛征求工具与材料，对诸多叙事文本、‘含事’器物与‘涉事’感知等进行知识考古学般的刨根问底。这种谱系学意义上的调查，旨在为中国叙事传统的源起与形成提供更为合理的系统解释”（唐伟胜5）。两部专著具有前后相续的关系，其目的都在探讨、阐释中国叙事传统的形成和起源。这也是傅修延的《中国叙事学》与力图在中华文化的基础上建构中国自己的文学叙事体系的杨义的《中国叙事学》的不同之处。傅修延认为，“中国的叙事学或叙事研究不等于中国叙事学”（《中国叙事学》14）。“所谓‘中国叙事学’，我们理解就是以‘中国叙事’为研究对象的学问”（《中国叙事学》16）。中国的叙事学研究成果丰富，但大多数研究还是在西方叙事研究的轨道上运行，运用的主要还是西方的材料，这不利于打破叙事学研究的西方中心，也不利于叙事学的普适性发展。中国学者在叙事学研究中应该更加关注中国文化和中国的叙事实践，在中西融合的基础上探索普遍的叙事规律。“中国叙事学”自然可以成为学科，但建构叙事学的“中国学科”并不是当务之急，当务之急是将“中国叙事”作为中国叙事学者的研究对象。这两个方面的原因：

1 这些论文中不少产生了重要影响，如“叙事与听觉空间的生产”“物感与‘万物自生听’”“一时代有一时代之叙事——关于中国叙事传统的形成与变革”“为什么麦克卢汉说中国人是‘听觉人’——中国文化的听觉传统对叙事的影响”“论音景”等。

一是从国际叙事学界的总体趋势看，后经典叙事学兴起之后，叙事学逐渐与叙事研究同义，学科意味正在淡化；二是学科性质的“中国叙事学”应该在大量“中国叙事”研究成果的基础上才能成功建构。

本着这一认识，傅修延认为，“从方法论角度说，当前的中国叙事学研究似应从以下五方面探寻创新之途”（《中国叙事学》29）。这五个方面一是调查范围的扩大，将研究扩大到“文学艺术叙述”之外，比如青铜器、陶瓷上的叙事；二是考察时段的提前，对叙事不仅要进行“长时段”的考察，更要考察叙事的起源阶段；三是研究范式的转换，突破学科限制，将叙事学与其他学科理论结合起来，针对不同问题设计不同解决方案；四是既有观念的“裂变”，要对一些通行的叙事观念进行反思、变化，如将静态描写纳入到叙事研究的范围；五是“地方性知识”的介入，就国际范围来说，“地方性知识”的“地方”指的是中国，而就中国范围而言，“地方性知识”的“地方”指的则是省、市甚至县，总之，就是要考虑不同国度、民族、地域的叙事实践、叙事传统，特别是那些有特色的叙事作品、叙事材料。《中国叙事学》的内容就是按照这五个方面组织、展开的，在研究的过程中提出了许多新的见解，颇具启发性。

《听觉叙事研究》出版于2021年，是傅修延所有叙事学著作中最重要的的一本。曾获2023年教育部第九届高等学校科学研究优秀成果奖三等奖，江西省第二十次社会科学优秀成果奖一等奖，2022年列入国家社科基金中华学术外译项目推荐书目，2023年英译本获准立项。有学者认为，“叙事学的‘中国创造’主要有三：双重叙事进程、广义叙述学和听觉叙事”（江守义161）。这里的听觉叙事指的主要就是《听觉叙事研究》。

傅修延开始关注听觉叙事，应该是他在扬州大学攻读博士学位的时候，他的博士论文做的是中国叙事传统，在看材料的时候他发现中国“古人的听觉感知特别灵敏、精巧和细腻”，“于是我在论文中单列了‘声音与音乐’一章”，“后来接触到麦克卢汉的‘中国人是听觉人’之论，我感到这一石破天惊的论断与自己的认识存在一定程度的契合。”经过认真的比较研究，他觉得与“视觉优先”在西方出现较早相反，古代中国在很长一段时间一直保持着听觉社会的诸多特征。从感官倚重这一角度，可以解释中西叙事传统的根本不同。¹这是他研究听觉叙事的缘起和动机。傅修延听觉叙事的最早成果应该是出版于1999年的《先秦叙事研究》第四章“声音与音乐：口舌传事的流行”，集中精力研究听觉叙事是从2013年在《江西社会科学》第2期发表论文“听觉叙事初探”开始的，以后成果不断，直到2021年出版专著《听觉叙事研究》。

《听觉叙事研究》具有很强的创新性。这种创新性主要体现在四个方面。其一，是转换了叙事学的关注重点，将听觉研究提到叙事研究的日程。傅修延认为：“现行的文学理论需要反思自己的不足，虚构世界里不光有形还有声（以

1 参见傅修延：《听觉叙事研究》，北京：北京大学出版社，2021年，第423-424页。

及气味等），而目前通用的文论术语，如‘视角’、‘观察’和‘聚焦’之类，几乎都只与视觉相关，好像视觉信号的传递可以代替一切，很少有人想到我们同时也在用耳朵和其他感官接受信息。眼睛在五官接受中的中心地位，导致研究者的表达方式出现向视觉的严重偏斜。前些年有人指出国内文论在外界压迫下的‘失语’表现，其实‘失聪’更是中西文论的一大通弊”（《中国叙事学》12）。而《听觉叙事研究》就是对这种“失聪”现象的反拨与弥补。听觉叙事“指的是叙事作品中与听觉感知相关的表达与书写”（傅修延，《听觉叙事研究》1）。从源头看，人类早期叙事无疑都是口头叙事，其中听觉起着决定性的作用。但西方叙事理论关注的始终是叙事文本，很少将目光投向听觉，很少关注听觉叙事在叙事中的作用。¹这不仅遮蔽了听觉在叙事中的作用，也影响了我们对叙事的立体理解，形成对叙事理解的视觉片面性。傅修延提出“我听故我在”“我被听故我在”，提倡“重听经典”，将听觉叙事提到叙事研究的前台，这实际上是对叙事研究中“视听失衡”现象的一种纠偏，很有意义和价值。其二，是与听觉叙事相关的概念和术语的创造。任何一个学科或成体系的学术观点都需要有自己特定的概念与术语，这是学术体系得以成立的基础之一，也是学术创造性的标志之一。在《听觉叙事研究》中，傅修延创造了系列的具有独创性、内涵明确的概念和术语，如和“观察”相对的“聆察”、和“图景”相对的“音景”、与“形象”相对的“声象”，以及音标、幻听、灵听、偶听和偷听，等等。这些概念与术语不仅有很高的独创性，而且很好支撑起了“听觉叙事”这一新的学术体系。²其三，是研究范式的转换。傅修延自己认为，《听觉叙事研究》的贡献，“大而言之，是为听觉叙事研究做了一番鼓与呼，小而言之，是从中西叙事作品中拈出了许多过去不大为人重视的听觉事件”（《听觉叙事研究》421）。这一总结有谦虚的成分，《听觉叙事研究》的贡献不止于此。但这一总结也指出了“听觉叙事”实际提出了一种新的叙事研究范式。这可以从两个方面讨论。一是经典叙事学和后经典叙事学的基本研究范式是在逻各斯中心主义的指引下，通过对某种叙事规律的总结和运用，来探讨叙事作品的意义。而听觉叙事由于“语音独一性”和听觉模糊性，更加注重“听”的具体情况，这样，形而上的逻各斯中心主义便让位给了形而下的感性侧重。二是由于范式的转变，听觉叙事与视觉叙事在研究侧重点上也就形成了鲜明的特点。视觉叙事侧重叙事内容和客观分析，而听觉叙事则更侧重“听者”的感知和判断。同一听觉内容，不同感知者的感知有所区别，得出的结论也不一定一致。这就形成了

1 自然，西方叙事学者也不是完全没有涉及听觉和听觉叙事，比如亨利·列菲伏尔强调要恢复包括听觉在内的视觉之外的感觉，罗兰·巴特认为口头的“有声语言”也应是叙事关注的对象，弗吉尼亚·伍尔夫在《丘园》《达洛威夫人》等书中对听觉空间进行了开拓性的叙述，卡迪-基恩的论文“现代主义音景与智性的聆听：听觉感知的叙事研究”（2005）研究了伍尔夫小说中的听觉叙事，等等。但这些关注与研究还比较零散，无法形成系统的研究领域和研究传统。

2 参见江守义：“叙事理论的中国经验及其思考”，《学术月刊》10（2024）：164。

听觉叙事研究的开放性和灵活性。其四，是《听觉叙事研究》的中国性。与国内大多数叙事理论著作不同，傅修延的《听觉叙事研究》是建立在中华文化的基础之上，在中华文化语境中建构自己的观念体系的。专著抓住了中国人“重听”的叙事传统，在材料的选择与使用上，也尽量侧重中国的叙事作品和叙事现象，使相关的观点和结论尽量在中国材料的基础上做出，符合中国叙事传统的实际。相对于国内外叙事研究传统，这也可以说是一种创新。自然，从另一个角度看，中国性本身也是一种价值。在这个意义上，也可以说《听觉叙事研究》达到了创新性与中华性的结合，具有重要学术价值。

《趣味叙事学》出版于2022年。叙事学是一门有价值、能够解决实际问题的学科，但其理论与方法有些又过于复杂、抽象与精深，一般读者难以把握，容易产生畏难情绪。有必要先以趣味将其吸引到叙事学的门口，读者产生兴趣之后自然就会登堂入室。为了达到这一目的，傅修延设计了101个问答，分别归入缘起、故事、叙事传统、讲述、策略、感知、可能的世界、人与物等八个方面，每个问答先以提问引出问题，然后有针对性地进行解答，在解答的基础再进行点评，引出相关的叙事理论与观点。比如本书的第一问“灵长类动物为什么经常互相梳毛？”作者解答说灵长类动物相互梳毛是一种社交行为，目的是形成团体、维护友谊。这有点类似团体中的八卦（嚼舌头），八卦也是一种团体行为，作用是维护群体团结，形成“统一战线”。八卦形成故事，故事则是一种叙事行为。这一问最后点评：“梳毛是八卦的前身，八卦是叙事的起源，这一切都和人类抱团取暖的进化策略有关”（3），说明叙事起源于人类“抱团取暖”的行为。人类先祖生活在物资产生力十分低下的时代，低下的生产力决定了人们必须形成集体才能生存。叙事既是在人类集体形成过程中产生的，同时也帮助稳固、维持、发展着人类的集体。一个重要的观点就这样通过讲故事的方式被读者所接受。

傅修延叙事学研究第二阶段的另一重要成果是主编了多卷本套书“中西叙事传统比较研究”。套书是他主持的国家社科基金重大项目“中西叙事传统比较研究”的最终成果，共分七卷，分别是：《关键词卷》《叙事思想卷》《神话卷》《小说卷》《戏剧卷》《诗歌卷》和《民间卷》。七本著作各自独立，又互相联系，共同完成中西叙事传统比较这一任务。套书由北京大学出版社出版，现已出齐。傅修延认为，叙事传统有维系文明之功。中国叙事传统和西方叙事传统是世界两大叙事文明，各有特点，也各有自己的长处与不足。但如果各自囿于自身的叙事传统，难免目光受限，会有“不识庐山真面貌”之虞。因此，有必要将中西叙事传统互为参照，从长时段、广视野的角度进行比较研究，以更加清楚地认识自身和对方。中国叙事学可以借此取长补短，推进中国叙事和叙事理论的发展。套书内容丰富，创新性强，可以说是中国叙事学研究的又一重要成果，也是傅修延对中国叙事学研究的又一贡献。

三、傅修延叙事学研究的特点

通过一、二两节的分析与论述,傅修延叙事学研究的特点已经初步显现,如果加以总结,可以归纳为四点:创新性、广谱性、中华性、人文性。以下分别阐述。

(一) 创新性

创新是学术研究的生命。傅修延十分重视创新,他曾与同事推心置腹地谈,“学术研究贵在创新,创新能带来世界上最令人陶醉的幸福感”(邱宗珍 13)。傅修延叙事学研究的创新性可以从三个方面讨论。

其一,傅修延的叙事学研究具有很强的方向性与目的性。这种方向性与目的性表现在三个方面。一是要纠正西方叙事学研究的偏颇,使叙事学研究更具普适性;二是要研究叙事学的源头,探讨中国叙事传统的源起与形成;三是要进行中西叙事与叙事理论的比较研究,以“另一种眼光”来研究中国叙事,促进中国叙事理论的全面发展。傅修延的叙事学研究整体上就是围绕这三个方面展开的。

其二,傅修延的叙事学研究形成了自己的研究框架和研究思路。傅修延认为,西方叙事学总体上看走在中国叙事学的前面,但西方叙事学有两个重要的不足,一是深藏于“语言学钦羡”之下的“物理学钦羡”,二是其理论视野褊狭。西方叙事学主要源于对西方叙事规律的归纳和总结,对于中国经验关注不够,这样他们的理论就很难做到普适性。“所以中国学者在探索普遍的叙事规律时,不能像西方学者那样只盯着西方的叙事作品,而应同时兼顾或者说更着重于自己身边的本土资源”(唐伟胜 6)。在融会中西的基础上建构更具“世界文学”意味的叙事学科。自然,中国叙事资源是丰富而广阔的,作为具体的学者不可能面面俱到。傅修延将自己的研究集中在中国叙事传统的形成、听觉叙事、中西叙事比较三个方面,研究理路十分清晰也很有价值。

其三,通过深入的研究,傅修延在自己研究的各个领域都形成了自己的观念体系,提出了经过自己思考站得住脚的结论。比如关于听觉叙事。首先,傅修延提出,从感官倚重的角度可以深入地阐释中西叙事传统的根本特点。麦克卢汉提出“媒介即信息”,不同的媒介或感知途径对于信息接受具有决定性的影响,怎样感知决定着感知什么。西方文化具有“视觉优先”的特点,而古代中国则在很长时间内一直保持着听觉社会的诸多特征。这是中西叙事叙事差异的根本原因之一。其次,傅修延从不同角度探讨听觉叙事的基本现象、重要规律和叙事策略。认为要全面地理解与把握叙事活动中的“失聪”问题,就要重视听觉,恢复听觉在叙事活动中的地位与作用。“一种高度倚重视觉的文化必定会对事件的组织形式作精细的审查,而与听觉保持密切关系的文化则更关心事件稍纵即逝的运行。在听觉模糊性与视觉明朗性背景之下形成的

两种冲动，不仅影响了中西文化各自的语言表述，而且渗透到对结构的认识之中”（林瑛6-7）。听觉可以弥补视觉的不足，使我们更加全面地把握叙事。再次，傅修延构建了听觉叙事的话语体系，如音景、聆察、音象等等。话语体系是学术体系的思想表征，同时又支撑着学术体系。独特完整的话语体系某种意义上也说明了学术体系的独特与完整，是创新性的另一种表现。

（二）广谱性

广谱性指傅修延叙事学的研究对象与范围的广度。与西方经典叙事学将研究对象与研究范围固定在文学文本上不同，傅修延的叙事学研究虽然也涉及到大量的文学文本，但却远远超出了文学文本的范围。在傅修延的叙事学研究中，所有与叙事有关的对象都可成为研究的内容。如诸子之文、史传之文、口舌传事、甲骨青铜陶瓷上的相关记载和叙事、神话、传说甚至人的外貌都可以进入他的叙事学研究范围，而且在每一个研究对象那里，他都能挖掘出深厚的叙事内涵，提出有启发性的观点。如后收入专著《中国叙事学》的“元叙事与太阳神话”这篇论文。论文使用的“元叙事”这一概念与译自英文“metanarrative”的“元叙事”含义不同，它不是“关于叙事的叙事”或“总体性叙事”“形而上叙事”的意思，而是“本原叙事”“首度叙事”的意思。论文认为，元叙事可定义为关于太阳运行的最初叙事，在此基础上产生了太阳神话。元叙事对人类认知发育影响深远：太阳在先民视觉上的从东到西以及在夜间想象中的从西到东，为叙事提供了深层结构与基本冲突，这种周而复始的运动所导致的循环论，启发了“以圆为贵”的叙事思维。建构中国叙事学自己的思路与体系，应该从元叙事及其相关的太阳神话吸取相关的营养与思想。论文的观点不仅完整，而且很有创新性。

与经典叙事学不同，西方后经典叙事学扩大了叙事研究的范围，将研究范围延伸至文化意义上的叙事作品，和经典作品之外的其他作品，同时将叙事学与其他学科结合起来，形成新的叙事研究领域。从这个意义上说，相对经典叙事学，后经典叙事学也是一种广谱叙事学。但傅修延叙事学研究的有些领域是后经典叙事学也没有涉及的，如对叙事载体如甲骨、青铜、陶瓷等的研究，说明不同载体上的叙事在中国叙事传统发展过程中所起的不同作用；再如对人体组成部分如面容的研究，说明面容作为能指的叙事功能及其历史发展。媒介即信息，面容的性质决定了通过面容感知到的东西的性质，面容叙事在读图时代具有的重要性，等等。

这里特别要提出的是傅修延对听觉叙事的研究。赵毅衡认为，傅修延的听觉叙事“在文字、语言、视觉之外，为世界叙事学运动开辟了一个全新的亚体裁研究畛域”（转引自 邱宗珍 14）。傅修延的听觉叙事研究弥补了世界叙事学研究中的“失聪”问题，为叙事学研究开辟了一个全新的领域。傅修延的听觉叙事可资借鉴的理论资源较少，他主要依靠挖掘中国传统文化与叙事资源，结合现代叙事理论，进行理论上的总结和提升。在研究听觉叙事

的同时,指出了中国传统文化与传统叙事倚重听觉这一重要特点,使传统文化与传统叙事在叙事理论的现代进程发挥出新作用。从这个意义说,也是传统文化推陈出新的一个范例。由此可见傅修延叙事学研究的广谱性不仅仅是研究的范围广,也是开拓了叙事学界尚未关注到的研究领域。

自然,傅修延的叙事学研究是学者个人的研究,而经典叙事学和后经典叙事学是叙事学的两大流派,把二者拉在一起进行比较似乎有点不伦不类。笔者以为,二者之间的确是有点不对等,不过笔者的本意也不是要对二者做对等的比较研究,只是希望借助对经典叙事学和后经典叙事学的研究对象与范围的描述,说明傅修延叙事研究的对象与范围突破了经典叙事与后经典叙事学的畛域,有中国学者自己的特点。

(三) 中华性

中华性指一种理论所具有的中国特性。中华性可以从中国身份、中国立场、中国现实、中华文化、中国材料、中国发现等几个方面探讨。傅修延是中国学者,中国血统,出生中国,在中国接受的教育,中国身份天然具备,这里主要就其他几个方面进行说明。

先谈中国立场。中国立场要求学者的研究立足中国的历史与现实,秉持中国精神,维护中国利益。傅修延认为:“读书人不能一味独善其身,有机会报效桑梓时应有所作为。我始终相信文化人存在的意义就是延续自身所属的文化”(林瑛 11)。这种报效祖国、报效民族、报效故乡的责任感使傅修延在进入叙事学研究领域时坚定了自己的中国立场。他对西方叙事学研究的不足的批评,对中国叙事源头的探寻,对听觉叙事的研究,无一不是一个中国学者在叙事学研究中的中国身份与中国立场的体现。

再谈中国现实。现实是任何理论形成、发展的基础。中国的叙事理论应该建立在中国的社会现实和叙事文学的现实之上。傅修延叙事学的研究对象虽然主要是中国古代文化和古代叙事理论与叙事实践,但充满了现实精神,顺应了中国腾飞的现实。傅修延“一贯主张学问要和事功结合”,认为“象牙塔内没有真正的生活”,“做学问需要接地气,躲在书斋中读几本书成不了气候”(唐伟胜 9)。学问必须立足中国现实。他曾坦言,他之所以将自己的研究“转换到听觉研究这种范式,为的是从感官倚重角度深入阐释中西叙事传统的根本特点”(林瑛 5)。是建构中国自己的叙事理论的需要。由此可见,傅修延的叙事学研究归根结底是由中国的现实决定的。

三谈中华文化。中华文化既是傅修延叙事学研究的主要内容,也是其主要背景和基本依托。他最重要的三部叙事学研究专著《先秦叙事研究》《中国叙事学》《听觉叙事研究》研究的都是中华文化的重要现象。如《先秦叙事研究》对于甲骨与青铜等叙事记载工具的研究,对史传运事的中国特有叙事现象的研究,都是中华文化的特别现象和重要遗产。他的叙事学研究处处都有中华文化的背景。即使是他最早的以西方经典叙事学为蓝本撰写的《讲

故事的奥秘》，如果和同时期的其他一些国内叙事原理著作相比，也可明显看作其中深厚的中国因素，专著的材料、例证以及论述思路等，都有意识地向中华文化与中国叙事倾斜。

四谈中国材料。所谓中国材料，就是在研究的过程中，有意识地参考、借鉴、引用中华文化、中国叙事方面史实、作品和记载。傅修延虽然英语专业出身，但中文功底深厚。据他自己讲述，他在读中学的时候，就利用替他父亲整理其管理的资料室的机会，阅读了资料室里的很多中文典籍。¹1995年44岁时，仍以教授身份考入扬州大学攻读古代文学博士学位，1998年毕业。他的叙事学著述里中国材料比比皆是，其实是顺理成章的事。

五谈中国发现。中国发现包括开辟新的研究领域，提出新的理论观点，建构新的知识体系等。中国发现是中华性六个方面中最重要的一个。傅修延叙事学研究的中国发现可以从三个方面探讨。一是开拓了新的研究领域，如他的听觉叙事研究。二是提出了新的理论观点。傅修延叙事学研究中新的理论观点有的是他自己的独创，如他关于元叙事与太阳神话的探讨。有的是他在他人观点的基础上的发挥与开拓。如他的论文“为什么麦克卢汉说中国人是‘听觉人’——中国文化的听觉传统及其对叙事的影响”。²中国人是“听觉人”这一观点是加拿大学者麦克卢汉提出的，但傅修延将这一简短的论断转换到中国文化的听觉传统并引申出听觉叙事这一新的研究领域，则不能不说是他自己的创新。三是创造了新的知识。如对中国叙事传统的溯源，从听觉叙事的角度对一些以前不被人重视的听觉事件的分析等。

（四）人文性

人文性指从人出发、对人关怀、为人服务。傅修延认为，“叙事学归根结底是一门与文学、美学有密切关联度的人文学科，因为它的对象是人际间的讲故事行为，因此这门学科不可能像物理学研究无生命的对象那样完全客观、机械与漠然。我之所以反对把讲故事活动当作解剖桌上‘冰冷的尸体’，依据就是这种活动有美感有温度，故事中有人的生命体验”（唐伟胜 3）。叙事学研究的是有温度、有生命的对象，自然不能像研究无生命对象的学科如物理学那样客观、机械与冷漠。自然，这并不是说物理学没有人文性，但物理学的人文性或者说人文关怀主要是通过它的研究成果造福人类推动社会发展体现出来的，而叙事学则要在其研究活动和成果本身体现出人文性。在傅修延的叙事学研究中，这种人文性体现在三个方面。一是从研究者个体来说，研究者对于自己从事的研究、对于研究对象应当感兴趣，充满热情，喜欢自己从事的研究，只有这样，研究者才会对研究对象充满热情，并把这种热情贯穿到整个研究过程。二是从研究结果来说，人文性则体现在研究内容与研究

1 傅修延的父亲徐先兆先生（傅修延母亲傅双文，他随母姓）1925年加入中国共产党，是南昌八一起义的重要人物之一。1957年被划为右派，曾被安排在江西师范学院资料室工作。

2 这篇文章发表于《文学评论》2016年第1期，曾入选《〈文学评论〉六十年纪念文选》。

结论要对人、对人类社会有益，对叙事文化、叙事理论与实践有推进作用。三是对理论接受者来说，理论对读者要友善。叙事理论以概念、判断、推理的形式进行观念的运作，不同于叙事文学直接描写人物与事件，在人文关怀方面不可能那样直接。这就要求叙事理论要深入浅出，尽量用读者容易理解的表述讲清深奥的道理。同时，要尽量“用鲜活的材料来说明问题，而不是从头到尾都使用抽象空洞的论证”（唐伟胜 4）。从叙事理论读者的角度看，叙事研究者要尽量为读者着想。自然，深入浅出地讲述叙事理论，让读者容易理解，这本身就是为读者着想。但光有这一点还不够，叙事学研究者在向读者传授叙事学方面的理论和知识外，还应想法唤起读者对于叙事学的热情，使他们喜欢叙事学，阅读叙事学，研究叙事学。傅修延的《趣味叙事学》努力做到的正是这一点。这也应该是一种人文关怀。

阅读傅修延叙事学著述，我们可以感到，他不仅在努力从上述三个方面增进自己叙事学研究的人文性，而且在这三个方面都做得很好，从而形成了他的叙事学研究的第四个特点。

当然，任何学者的研究都有其不足。笔者以为，傅修延叙事学研究最大的不足是理论的系统完善性还有待提高。这大概与他的叙事学专著的内容大都以论文的形式发表过，在整合成书的时候有机融合还有所不够有关。相信在以后的研究中，他会弥补这一遗憾。

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从文本译介到理论建构：傅修延济慈诗学研究的系统性贡献与影响

From Text Translation to Theory Construction: Systematic Contributions and Influences of Fu Xiuyan's Studies on John Keats' Poetics

龙艳霞 (Long Yanxia) 赖日升 (Lai Risheng)

内容摘要：傅修延在外国文学研究，尤其在济慈诗学研究领域，做出了系统性的卓越贡献。随着《济慈书信集》《济慈评传》和《济慈诗歌与诗论的现代价值》等作品相继问世，济慈诗歌及诗论在中国的传播与接受得到了有效推动。济慈诗论的核心概念——“消极的能力”“诗人无自我”以及“想象之美为真”——获得了系统性的阐释与建构。通过多维度的学术探索，傅修延不仅拓展了济慈研究的广度与深度，还为浪漫主义诗歌研究提供了重要的理论框架与方法论启示，同时也为叙事学、生态文学等相关领域的发展提供了前瞻性的参考，体现了跨学科研究的学术价值与创新意义。

关键词：傅修延；约翰·济慈；诗学

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Title: From Text Translation to Theory Construction: Systematic Contributions and Influences of Fu Xiuyan's Studies on John Keats' Poetics

Abstract: Fu Xiuyan has made systematic and outstanding contributions in the field of foreign literature studies, particularly in the field of John Keats' poetics. The successive publication of *John Keats' Letters*, *The Biography of John Keats* and *The Modern Values of John Keats' Poems and Poetic Theories* has effectively promoted the spreading and reception of Keats' poetry and poetics in China. The core concepts of Keats' poetics—"Negative Capability," "The Poet Has No Self," and "What The Imagination Seizes As Beauty Must Be Truth"—are systematically interpreted

and constructed. Through multi-dimensional academic exploration, Fu Xiuyan has not only expanded the breadth and depth of the study on Keats' poetics, but also provided an important theoretical framework and methodological inspiration for the study on romantic poetry. At the same time, it has also offered forward-looking references for the development of related fields such as narratology and ecological literature, demonstrating the academic value and innovative significance of interdisciplinary research.

Keywords: Fu Xiuyan; John Keats; poetics

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华兹华斯、柯尔律治、拜伦、雪莱和济慈是英国 19 世纪杰出的浪漫主义诗人，他们共同创造了继莎士比亚时代之后的又一辉煌时期。“华兹华斯和柯尔律治是浪漫主义的创始人，拜伦使浪漫主义的影响遍及世界，雪莱透过浪漫主义前瞻大同世界，但他们在吸收前人精华和影响后人诗艺上，作用都不及济慈”（王佐良 334）。济慈“三颂”，已成为世界诗歌宝库中罕有的奇珍，济慈书信也成为后人难以企及的高峰。T·S·艾略特赞扬济慈的“莎士比亚品质”（Ward 414），韦勒克（René Wellek）与沃伦（Austin Warren）在《文学理论》（*Theory of Literature*, 1956）一书中多处引述济慈书信的内容。傅修延在济慈研究领域深耕四十余载，他翻译的《济慈书信集》（*John Keats' Letters*, 2002）是国内首部系统性收录济慈书信的专著，为济慈诗论研究提供了必要的文献支持；他撰写的《济慈评传》（2008）全面梳理了济慈的生平，填补了国内济慈研究的一项重要空白。这两部作品为其集大成著作《济慈诗歌与诗论的现代价值》（2011）的诞生奠定了坚实的学术基础。三部作品由点及线再到面，系统性地展示了济慈诗歌与诗论的研究路径，实现了从文本译介到理论阐释体系化构建的学术跨越，为国内浪漫主义诗学、叙事学、生态文学等研究领域的发展提供了重要的参考。

一、济慈诗歌的系统性研究路径

《济慈书信集》收入约翰·济慈传世的主要书信，从 1816 年 10 月 9 日至 1820 年 11 月 30 日，共计 170 封。这些信件覆盖了济慈的整个创作时期，几乎逐日地反映了他的思想变化与情感波动，翔实地展示了济慈诗歌的创作背

景。其中,分量最重的是济慈本人对诗歌与人生的见解,展现出他对诗才、想象力、真与美、善与恶等问题的独特体会,对艺术、哲学与人类生存状况的敏锐感受。“在世界文学史上,像这样完整地反映一位天才诗人精神发展史的文献材料,可以说是绝无仅有!”(傅修延,“译序”2)济慈书信与其诗作联系密切,为其诗论研究提供了重要的一手材料。他在信中抄录了大量诗作初稿,并乐于向亲友介绍写作时的心路历程。书信里他对自己文艺观的阐发,对人生的思索,和对人间事物普遍关怀的表达,有利于理清他思想与艺术形成的来龙去脉。最令人动容的是济慈写作的非功利性,与中国诗学所看重的“真性情”不谋而合。以“士气”而非“匠气”作诗,不以文字作取悦讨好之事。“简而言之,则是‘为己’与‘媚俗’之分”(洪亮 55)。诗歌是他实践人生的形式,济慈书信对于他的诗歌解读有着举足轻重的作用。然而,此前由于缺乏济慈书信的完整中译本,中国读者往往只能通过书信的片段摘译来理解他的诗歌,难以准确把握济慈的原意。因此,由傅修延编译的《济慈书信集》,其重要性可见一斑。

“济慈诗论的主要载体是其书信”(傅修延,《济慈诗歌与诗论的现代价值》44)。如果说《济慈书信集》收集了散落于济慈日常生活中的一粒粒珍珠,那么《济慈评传》则是将这些明珠串联起来的金线。《济慈评传》不单详细记述了济慈的生活经历,更深层次地探讨了其诗歌的审美追求和艺术魅力。济慈的人生堪称苦难与坚守的辩证写照。少年失怙、手足离散、恋人背弃、诗坛攻讦——在多重打击构成的生存困境中,他弃医从文的选择却始终如一。他的人生轨迹与同时代其他几位浪漫主义诗人形成鲜明的对比。华兹华斯、柯尔律治、拜伦与雪莱等人或出身世家,或为贵族后裔,均曾在剑桥、牛津等精英学府接受过系统教育。他们的起点很高,“华兹华斯年轻时接受过法国大革命的精神洗礼,拜伦成名前在地中海沿岸扬帆疾驰,雪莱则在大学里打下了深厚的古典文学功底”(傅修延,《济慈评传》73)。他们的成功既来自自身的天赋与努力,也离不开家族背景的有力托举。然而,正是济慈的格格不入造就了其诗歌创作的独特价值。他既能昂首望天,保持对崇高理想的追求,又可等量齐观,以平视的姿态汲取多元养分,形成自下而上的艺术积淀路径。济慈的诗歌创作深受斯宾塞、莎士比亚、华兹华斯、弥尔顿等文学大师的影响,呈现出明显的多元性与整合性特征。从斯宾塞处,他继承了诗歌语言的华丽与典雅;华兹华斯赋予其诗作以洗练流畅的美学特质;弥尔顿的雄浑诗风为其提供了崇高风格的典范;而莎士比亚的深刻思想与庄严深邃则贯穿了济慈的整个创作生涯。兼收并蓄的学习方式,使济慈在吸收传统精华的基础上,形成独特的诗风,对其艺术成就的取得具有决定性意义。正如艾略特所说,“从来没有任何诗人,或从事任何一门艺术的艺术家,他本人就已具备完整的意义(……)你不可能只就他本身来对他做出估价;你须把他放在已故的人们当中来进行对照和比较”(3)。在《济慈评传》中,傅

修延给出了八个不能忘记济慈的理由：1、他的诗歌美轮美奂；2、他对诗歌如痴如醉；3、他对美的无限眷恋；4、他不幸早夭；5、他的胸襟宽广豁达；6、他的人生情怀悠然自得；7、他对生命真谛的彻底领悟；8、他那石破天惊的独特之论。¹显然，傅修延将济慈的人生与他的诗歌、诗论全然融合在了一起，强调了济慈的艺术创作不仅是个人情感的表达，更是对人生、生命和美的深刻思考。《济慈评传》与《济慈书信集》相辅相成，不仅深化了世人对济慈诗歌成就的认识，也为其后续研究提供了宝贵的参考，推动了济慈研究的系统性发展。

《济慈诗歌与诗论的现代价值》是傅修延济慈研究的又一力作，可视作为前两部著作的深化与整合，标志着济慈诗歌、诗论研究的融会贯通和系统性理论阐释及构建的形成。《济慈书信集》展示了济慈在创作过程中的个人情感与思想变化，为研究济慈的诗歌创作提供了丰富的背景资料；《济慈评传》全面梳理了济慈生平与其作品之间的关系，使读者能够更好地理解其艺术追求与诗学理论；《济慈诗歌与诗论的现代价值》进一步将这些研究成果融合起来，形成一个完整的理论框架。其中，最引人注目的是对济慈诗论中“消极的能力”（Negative Capability）“诗人无自我”（The Poet Has No Self）以及“想象之美为真”（What The Imagination Seizes As Beauty Must Be Truth）这三个观点的系统化论述。这是济慈诗论中引起后世强烈关注的部分，它们彼此关联，并隐藏着济慈诗歌成功的秘密，与其人生观、自然观、世界观联系紧密。但由于国内一些研究者对济慈书信与人生缺乏全面了解，傅修延以《济慈书信集》译者和《济慈评传》作者的身份，力图通过《济慈诗歌与诗论的现代价值》一书正本清源，对济慈的相关观点作必要的“还原”，并探寻其诗论的现代意义。²傅修延指出，以上三个观点构成一个有机统一的理论系统：“消极的能力”关乎情感怠惰和认知延缓，将带来“平和”“从容”的创作心境，令诗人的灵感像“枝头生叶”那样自然降临；“诗人无自我”指情感与认知的休眠使诗人的“第二自我”离开诗人的肉身，“去填充其他的实体”并从其“个性出发来进行思考”；这样的“填充”需要通过想象的力量来实现，因此“想象之美为真”认为诗歌不必像哲学那样通过推理之类的认知过程来探求真理，而应当坚持由想象来追求美，通过感觉来创造美，并强调美感的真实性。³这些观点随着时间的推移而不断深化，却又能保持前后连贯以及观点之间的递进与衔接。《济慈诗歌与诗论的现代价值》“为客观、全面研究济慈及其诗歌提供了全新的视角，其富有洞见的讨论与深入系统的研究代表了迄今为止国内济慈研究的最高水平，必将进一步推动济慈研究的繁

1 参见 傅修延：“引言”，《济慈评传》，北京：人民文学出版社，2008年，第1-12页。

2 参见 傅修延：《济慈诗歌与诗论的现代价值》，北京：北京大学出版社，2011年，第45页。

3 参见 傅修延：“从‘消极的能力’‘诗人无自我’到‘想象之美为真’——论济慈诗歌观点的有机统一性”，《外国文学研究》2（2021）：44。

荣”（刘茂生 肖惠荣 170）。

二、济慈诗论的系统性解读

傅修延曾指出，“学界对济慈已有许多研究，但迄今为止尚未见到专论济慈上述观点之间联系的文章，也很少有研究深入阐释济慈提出这些观点的具体语境”（“从‘消极的能力’‘诗人无自我’到‘想象之美为真’”45）。针对该现象，傅修延强调，要真正理解济慈的诗歌，必须深入把握他的诗论，尤其要注意“消极的能力”“诗人无自我”和“想象之美为真实”等核心概念的逻辑演变及先后顺序。

“消极的能力”看似一种被动的等待，实则是一种以静制动的策略，通过“无为”实现“无不为”，以“无知”达到“无不知”。当诗人摒弃急躁与焦虑，将认知状态调整为平和与从容，灵感则会自然涌现。傅修延认为，以“麻木”与“遗忘”为特征的情感怠惰，实际上是通向“平和”与“从容”的必要阶段；“冷漠”与“困盹”等类似状态，与“麻木”和“遗忘”共同构成介于清醒与沉睡之间的朦胧状态。¹“英语中 Anaesthetics（麻醉学）比‘美学’（Aesthetics）只多了一个表示否定的前缀‘an’，‘Anaesthetics’更准确的译法应为‘感性学’，两词之间的对立与关联是我们理解济慈思想的一把钥匙”（傅修延，《济慈诗歌与诗论的现代价值》51）。正如济慈所言，“一个人有能力停留在不确定的、神秘与疑惑的境地，而不急于去弄清事实与原委”（59）。这不仅界定了“消极的能力”之核心内涵——即在面对不确定性、神秘性与认知困惑时保持从容镇定的能力，更揭示了济慈诗学思想中拒绝理性主义束缚、拥抱开放性认知的重要特征。在消极沉默中积蓄力量的能力，恰恰构成了济慈诗歌创作的重要方法论基础。济慈在致雷诺兹（J. H. Reynolds）的信中解释道，“我们切莫急匆匆地乱窜，像蜜蜂那样不耐烦地嗡嗡作响，在一门知识范围内或所有应到之处四下寻觅；我们所应做的是像花枝那样张开叶片，处于被动与接受的状态——在阿波罗的如炬目光下耐心地发芽生长，并从每一名惠施访顾于我们的尊贵昆虫那里获取灵感”（93）。1819年，经过长期的创作积淀与艺术探索，济慈迎来了诗歌创作的巅峰，相继完成了《夜莺颂》（“Ode to a Nightingale”）《希腊古瓮颂》（“Ode on a Grecian Urn”）和《秋颂》（“To Autumn”）等不朽诗篇。这些作品标志着济慈诗歌艺术的成熟，体现了其诗学理念的最高成就，确立了他在英国浪漫主义诗歌史上的重要地位。

“诗人无自我”是济慈诗论的核心。在浪漫主义诗学普遍强调主体性的语境下，“诗人无自我”的独特诗学反思为浪漫主义诗歌运动提供了更具批判性与平衡性的理论视角。在给理查德·伍德豪斯（Richard Woodhouse）的信中，济慈阐述了他对诗人身份的理解，“诗人是生存中最没有诗意的，因为他没有自我——他要不断地发出信息，去填充其他的实体”（214）。济慈

1 参见 傅修延：《济慈诗歌与诗论的现代价值》，北京：北京大学出版社，2011年，第48-50页。

认为诗人没有固定的自我，而是能够通过想象力进入各种角色和情境。具体而言，“诗人无自我”包含以下几个层面的含义：1、超越自我：诗人应超越个人身份和主观意识，融入所描绘的对象；2、接受不确定性：诗人应保持开放心态，不急于下结论；3、拥有同理心与想象力：诗人需具备深入他人或他物内心的能力；4、具有艺术客观性：诗人应像变色龙一样，随创作对象改变自身色彩。那么，如何到达“诗人无自我”的状态呢？傅修延对“诗人无自我”的逻辑思路与认识进程进行了如下梳理：1、情感怠惰；2、认知延缓；3、具备“消极的能力”；4、失去“自我”；5、“第二自我”填充其他实体，从实体个性出发进行思考。¹显然，前四点阐述了诗人抵达“诗人无自我”状态的渐进过程，到第五点才真正揭示了这一境界的终极目的与实现效果。值得注意的是，济慈并非主张诗人彻底消解主体性，所谓“无自我”中的“自我”，实指诗人作为个体的“本我”（即无冲动性的静观主体），而创作主体则保留着能主动“填充其他实体”的“第二自我”。对创作主体双重性的辩证区分——将静观的本我与能动的创作自我分离——构成了济慈对浪漫主义诗论乃至整个西方文论体系的重要突破。

虽然浪漫主义诗派在“自我”与“无我”的观点上与济慈有很大分歧，但在强调想象力的重要性上，却出奇的一致。不同的是，济慈的“想象之美为真”是建立在“消极的能力”和“诗人无自我”的基础之上的。济慈在多封信件及谈话中提到，他能够体会到“在地里啄食的麻雀”的生存状态，感受到“沉睡在深海海底的贝壳”的孤独。他甚至表示，他可以深入一只没有生命的撞球的内部，因其圆润光滑而感到无比的快乐。济慈通过强大的想象力进入“其他实体”的内在世界，在那里深潜，以至于完全忘我，从而达到他人难以企及的深度，也是对“诗人无自我”理念的进一步发展。想象力是济慈诗歌创作的核心，深刻体现了济慈对美的永恒追求。傅修延在其著作《济慈诗歌与诗论的现代价值》中，尤其在“想象：感觉与创造”一节中，反复强调“永恒的美”等表述，体现了济慈在时间、空间、生命等因素的限制下依然对“美”的无尽追求。在《夜莺颂》中，夜莺的歌声被视为一种超越现实的美，通过想象，济慈将瞬间的感受提升至永恒的境界，象征着永恒的艺术与生命的本质。在《希腊古瓮颂》中，古瓮象征着不朽的艺术，能够承载并传递永恒的美与情感。通过想象，济慈将艺术的永恒与生命的短暂进行对比，强调了艺术在追求美的过程中的重要性。在《秋颂》中，他通过对秋天丰盈果实的细腻描写，传达了生命的丰饶与美的短暂。感官与情感的交织，使得济慈的想象不仅具有美感，更蕴含了深刻的人生哲学。傅修延说，“消极的能力”“诗人无自我”和“想象之美为真”三者之间的逻辑理解顺序可解读为，“‘消极的能力’与‘诗人无自我’是两位殷勤的服务员，只有在它们的帮助下，诗人才能取消‘一

1 参见 傅修延：“从‘消极的能力’‘诗人无自我’到‘想象之美为真’——论济慈诗歌观点的有机统一性”，《外国文学研究》2（2021）：53。

切其他的考虑’（即排斥认知），‘展开想象之翼’在美的世界里轻松飞翔”（“从‘消极的能力’‘诗人无自我’到‘想象之美为真’”56）。

三、济慈诗学研究的影响

傅修延归纳了济慈“出于蓝而胜于蓝”的四大贡献：一是树立了一个不受商业化潮流裹挟的人文楷模形象；二是提出了一系列具有原创性的文艺见解；三是开启了一种全新的时间观；四是济慈具有先知先觉的生态意识¹，并声称自己的人文之路受到济慈很大的影响。²

“消极的能力”“诗人无自我”和“想象之美为真”三者逻辑演进的阐释过程，触发了傅修延在叙事学领域的思考。他说，“西方文论史上第一次试图区分‘真实的作者’与‘隐含的作者’，我认为始见于济慈的这封信，但这两个概念的正式命名却是在一个世纪之后”（《济慈诗歌与诗论的现代价值》56）。以叙事学的方法来阐释，“我”是肉身的“济慈a”，即“真实的作者”，而“我这个人的本我”是肉身之外的“济慈b”，即“隐含的作者”。非肉身的“济慈b”进入观察对象的内在世界，从实体的个性出发进行思考，并以“隐含的作者”身份来写作。另一方面，傅修延指出“‘诗人无自我’与庄子《齐物论》中的‘吾丧我’存在惊人的相似之处”（《济慈诗歌与诗论的现代价值》61）。陈鼓应认为：“丧我”的“我”指偏执的我。“吾”指真我。由“丧我”而达到忘我、臻于万物一体的境界。³因此，“我”即肉身的“庄子a”，而“吾”则是非肉身的“庄子b”。通过“吾丧我”，“吾”（“庄子b”）摒弃肉身的“我”（“庄子a”）进入其他实体。此时，个体与外界的界限模糊，万物之间没有优劣、高低之分，从而实现融合统一。傅修延认为，“济慈的‘诗人无自我’，用中国话语来表达就是‘坐忘’‘我与万物为一’”（《济慈诗歌与诗论的现代价值》61）。显然，傅修延已将叙事学与济慈诗论融会贯通，并通过东西方文学对比，强调诗人进入“物”的过程，结合“天人合一”的观点，从中国本土文学与哲学的角度预见了“去人类中心”和“物叙事”等21世纪文学研究的热点议题。他进一步指出，对物的轻视将会导致人们读不懂许多与物相关的叙事。⁴这不仅有助于深化对济慈诗论的理解，也为当代文学批评提供了新的视角和启示，与西方文学批评形成了相互呼应的局面，推动了跨文化的学术交流与对话。

1 参见 刘茂生、肖惠荣：“英国诗歌传统中的济慈研究——兼评傅修延教授《济慈诗歌与诗论的现代价值》”，《外国文学研究》2（2015）：172-173。

2 参见 傅修延：“引言”，《济慈诗歌与诗论的现代价值》，北京：北京大学出版社，2011年，第7页。

3 参见 陈鼓应：《庄子今注今译》（上），北京：商务印书馆，2007年，第45页。

4 参见 傅修延：“文学是‘人学’也是‘物学’——物叙事与意义世界的形成”，《天津社会科学》5（2021）：161-173。

刘茂生曾指出生态是济慈诗论中最耀眼的部分之一。¹ 济慈对生态的关注,继承了浪漫主义诗派赞美自然、热爱环境的传统,但又有所区别。在工业革命背景下,华兹华斯歌颂城市,完全忽视了工业化和城市化带来的生态问题。济慈不同,他描绘城市的喧嚣与冷漠,展现人类的孤独与疏离,突显城市的物质繁荣与精神空虚。傅修延曾提问,在写作《寂静的春天》(*Silent Spring*, 1962)之时,卡森为什么只想到了济慈的诗?² 显然,答案已不言而喻。得益于长期从事比较文学、叙事学与赣鄱文化等领域的研究,傅修延把他对生态的关注置入文学,也投入到现实当中。他著有《江西文化》(与卢普玲共同主编,2018)和《生态江西读本》(2019)等生态文学著作;他的论文“试论《山海经》中的‘原生态叙事’”“羽衣仙女传说与赣文化”和“许逊传说的符号叙事学解读”等从生态视角出发,就人与自然关系的文化本质问题发表了独到的见解。³ 他在《江西日报》《鄱阳湖学刊》等报刊上发表“保护鄱阳湖‘一湖清水’加速江西省‘绿色崛起’”“鄱阳湖生态经济区将给江西带来前所未有的深刻变化”和“生态文明与地域文化视阈中的鄱文化”等文章,并接受《鄱阳湖学刊》采访,叙谈“地方性生态情怀与叙事”。其中,《生态江西读本》被誉为东方的《瓦尔登湖》(*Walden*, 1854)。该书既是赣鄱地区的生态书写,也是傅修延的生命书写,与梭罗所倡导的“到树林中去”中西辉映,开创了生态批评的崇高境界。⁴ 2009年,《鄱阳湖生态经济区规划》得到国务院的正式批复,成为新中国成立以来江西省第一个列为国家战略的区域性发展规划,是江西发展史上的重要里程碑。傅修延为保护鄱阳湖“一湖清水”做出了切实努力,为保卫生态“赣鄱文化”作出了重要贡献。

济慈“先知先觉的生态意识”让他笔伐“水泥森林”,并倡导聆听自然。傅修延说,“卡森之所以想到济慈,我认为更重要的原因在于他对自然的聆听”(《济慈诗歌与诗论的现代价值》199)。《寂静的春天》作为生态预警的隐喻,本身就构成了悖论式表达——“春天”本应充满生命韵律的声响,“寂静”反而昭示着生态系统的死亡。济慈诗歌中绵密交织的自然声景,与卡森的生态哲思形成跨时空呼应。基于听觉感知的文本互涉,为理解两位大师的精神联结提供了新的阐释维度。重视“听”,从听觉角度反映生态世界,是济慈诗歌的一大高明之处,也是一种独辟蹊径的贡献。傅修延提出,无论西方还是中国,都需要向济慈学习如何倾听大自然的声音,诗歌首

1 参见 刘茂生、肖惠荣:“英国诗歌传统中的济慈研究——兼评傅修延教授《济慈诗歌与诗论的现代价值》”,《外国文学研究》2(2015):173。

2 参见 傅修延:《济慈诗歌与诗论的现代价值》,北京:北京大学出版社,2011年,第193页。

3 参见 傅修延、王俊晖、萧惠荣:“地方性知识、生态情怀与生态叙事——傅修延教授访谈”,《鄱阳湖学刊》4(2019):5。

4 参见 胡颖峰、徐敏:“‘赣鄱生态与美丽中国’学术研讨会暨《生态江西读本》新书发布会综述”,《叙事学》。详见 <https://mp.weixin.qq.com/s/TG0EYltJ0yUSjsjjTz5CjA>. Accessed 14 December 2019.

先是一门声音的艺术，在这门艺术中“听”不能处于缺席的位置。¹ 勒内·韦勒克和奥斯汀·沃伦在《文学理论》中指出，“每一件文学作品首先是一个声音的系列，从这个声音的系列再生出意义（……）但是即使在小说中，语音的层面仍旧是产生意义必不可少的先决条件”（146）。于是，在完成《济慈诗歌与诗论的现代价值》著述后不久，傅修延遂提出“听觉叙事”（2013）这一概念。² “‘听觉叙事’这一名目提出之后，学界翕应者众”（《听觉叙事研究》6），以往被忽略的声音景观和听觉事件得到了重视。济慈研究让傅修延意识到了“听”之要义，转向中国文学研究，他更强调关注与听觉事件相关的叙事策略。傅修延号召“重听经典”，以传世经典中的听觉书写为阅读重点，用带有陌生化意味的角度转换，把叙事领域中一大片亟待填补的研究空白带到人们面前。³ 除了听觉，傅修延在济慈诗歌中还注意到了嗅觉叙事，如《夜莺颂》里视觉环境幽暗，“却又数出来一大堆花名，如白枳花、玫瑰、紫罗兰和麝香蔷薇等”（《济慈诗歌与诗论的现代价值》202）。在排除“视”“听”感觉之后，傅修延认为只有“嗅”觉可以识别这些花儿。亨利·列斐弗尔（Henri Lefebvre）强调“恢复视觉之外的感觉”，认为身体解放应该“首先是对语言、声音、嗅觉、听觉的感官恢复”（363）。傅修延认为，“嗅觉作为一种古老的感官反应，在我们这个民族的伦理话语上打下了深刻烙印，因此有必要对这种话语的形成作一番仔细探寻”（“嗅觉叙事与中国伦理话语的形成”43）。傅修延所著《中国叙事学》（2015）一书，对上述议题展开了深入而细致的探讨，展现出丰富的学术内涵与独到的见解。⁴

傅修延所作济慈诗学研究，通过系统化研究路径逐步形成了系统性诗论阐释框架。《济慈书信集》《济慈评传》以及《济慈诗歌与诗论的现代价值》的相继问世，展示了从点滴分析到宏观整合的研究路径，代表了国内济慈诗学研究的深入发展并走向成熟。这一由点及线再到面的研究路径，为个体作家研究树立了典范，也为年轻学者提供了宝贵的参考和启示。傅修延对济慈诗论的逻辑演进及先后顺序的强调，体现了济慈诗论阐释的体系化建构：首先，“消极的能力”引导诗人在创作过程中保持自我超脱，进而发展出“诗人无自我”的理念；该理念强调诗人将个人情感置于一旁，以便更好地捕捉和表达普遍的美感和真理；最终，“消极的能力”“诗人无自我”演变为“想象之美为真”，强调想象力在艺术创作中的核心地位。济慈诗歌影响了许多国内外文学巨匠，如叶芝、菲茨杰拉德、徐志摩和闻一多等。同时，他也为

1 参见 傅修延：《济慈诗歌与诗论的现代价值》，北京：北京大学出版社，2011年，第204页。

2 参见 傅修延：“听觉叙事初探”，《江西社会科学》2（2013）：220-231。

3 参见 傅修延：“听觉叙事研究的缘起、话语创新与范式转换”，《中国文学批评》4（2021）：89-97+157。

4 参见 傅修延：《中国叙事学》，北京：北京大学出版社，2015年，第77-148页，第213-280页，第281-307页。参看“器物篇”“视听篇”以及“乡土篇”等章节。

傅修延的人文研究发展注入了源源不断的活力,促使他在浪漫主义诗学、叙事学和生态文学等多个领域展开新的探索。这不仅丰富了我国本土文艺研究的内涵,也赋予文学真正的现实意义。

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论傅修延听觉叙事研究的开拓性贡献

Fu Xiuyan's Auditory Narratology and Its Pathfinding Contribution

陆正兰 (Lu Zhenglan)

内容摘要：听觉叙事是傅修延近年来开创的一种全新的叙事学研究范式。它是中西叙事学探索道路上的一次突破，也是中国叙事学，乃至世界叙事学学术史上一个新的里程碑。这一原创性的叙事研究理论，第一次提出从听觉感知出发，用“聆察”的方法“重听经典”，研究叙事作品中与听觉感知相关的表达与书写。本论文集于傅修延的听觉叙事理论研究，分析其重要价值：1) 开拓了当代叙事学的新路径；2) 提出了听觉叙事研究的新方法；3) 创建了听觉叙事新的话语范式；4) 揭示了中国传统叙事美学范式；5) 发现了中西叙事学因“听”“视”倚重而带来的文化差异。

关键词：傅修延；听觉叙事；聆察；听觉范式；听觉叙事美学

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Title: Fu Xiuyan's Auditory Narratology and Its Pathfinding Contribution

Abstract: “Auditory narrative” is a new research paradigm of narratology created by Professor Fu Xiuyan in recent years, which is a major breakthrough in narratology, and a new milestone in the academic history of Chinese narratology and in the world. This original narrative research path proposes for the first time to start from auditory perception and use the method of “listening to the classics again” to create a new auditory narrative research system. This essay focuses on Fu Xiuyan's research on auditory narrative theory by analyzing his significant pioneering contributions. 1) It creates a new path of contemporary narratology; 2) It proposes a new method for the study of auditory narratives; 3) It establishes a new discursive paradigm of auditory narrative; 4) It discovers an auditory aesthetics in Chinese narratives; 5) It reveals the deep cultural structure of “auditory” emphasis in Chinese and Western narratology.

Keywords: Fu Xiuyan; auditory narratology; auscultation; auditory paradigm; auditory aesthetics

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听觉叙事是傅修延近年来开创的一种全新的叙事学研究范式，它是中西叙事学发展道路上的一次突破，也是中国叙事学，乃至世界叙事学学术史上一个新的里程碑。傅修延早年就一直关注音乐文学研究，2013年起，先后发表了一系列听觉叙事研究学术论文。2015年12月25日至12月28日，傅修延所带领的江西师范大学学术团队组织并召开了“听觉与文化学术研讨会”，这场中国国内第一次以听觉叙事研究为主题的学术会议，影响了叙事学界，也成为我国学界听觉转向研究的一个重要起点。文化研究学者曾军评价，“听觉转向”在文化与文学研究领域的首创与兴起，傅修延是最重要的人物之一。¹

2021年，傅修延的著作《听觉叙事研究》出版，引起学界巨大反响。赵毅衡称其“在文字、语言、视觉之外，为世界叙事学运动中开辟了一个全新的亚体裁研究畛域”（71）。张泽兵评论，听觉叙事研究既是对时代问题的理论回应，也弥补叙事学在“受述者”“隐含读者”“真实读者”方面研究存在的不足，在听觉叙事的理论建构中，把“听”之种种，给予理论的观照，为解释当代文化的叙事现象提供有益的理论工具，进一步丰富了叙事学的理论“工具箱”（109），为解释文学文本或其他声音文化现象打开了更丰富的阐释空间。曾斌评价：“以听觉叙事为代表的范式创新，为构建具有本土特色的中国叙事学提供了一个重要的研究路径”（48）。江守义将傅修延的“听觉叙事研究”与申丹的“双重叙事进程”以及赵毅衡的“广义叙述学”，称为中国叙事学的三种“中国创造”，他写到，“无论经典叙事学还是后经典叙事学，其研究对象都是叙事文本，听觉叙事在西方叙事学界可谓付诸阙如”（159）。这些评价无论是从具体的学术观点，还是研究视角以及话语范式的角度，都说明了傅修延的听觉叙事研究，是当代学术研究的创新典范。本论文从五个方面来探讨傅修延的听觉叙事理论的开拓性贡献。

一、听觉叙事：开拓了叙事研究的新路径

人通过感觉得到世界之形不是均匀的，在当代文化中逐渐偏向视觉。文字的出现是其重要原因，今日的图像转向，更是加重了人类的视觉偏重。傅修延指出，“叙事学的‘讲故事’，初心和本质是‘讲’，只是因为现代印刷术的发明，‘讲故事’的‘讲’，渐渐失去了它所对应的听觉性质，所谓‘讲故事’，实际上变成了‘看’人用视觉符号编码的故事画面”（《听觉叙事研究》5）。

1 曾军：“转向听觉文化”，《文化研究》2（2018）：6-16。

听觉叙事研究缺失正是傅修延叙事研究所关心的,“听觉叙事研究最大意义,在于通过弘扬感觉在文学中的价值,达到‘针砭文学研究‘失聪’痼疾的目的’(《中国叙事学》240)。也正如江守义总结,“几千年来的人类叙事,已经由最初的口口相传转为文字、图画为主,当前的读图时代,视觉更是挤压了听觉的空间,视听失衡已是叙事中的普遍现象,真正通过建构听觉叙事理论,而从对叙事中的视听失衡加以纠偏,傅修延实为第一人”(159)。傅修延提出“重听经典”,从听觉感知出发深入叙事的本质和艺术,重新发掘叙事作品中与听觉感知相关的表达与书写,“听觉叙事研究”开拓了中西叙事学发展中一条全新的路径。

“语音独一性”(the uniqueness of voice)是傅修延听觉叙事理论中的一个重要概念,也是其听觉叙事研究的理论基础。傅修延以卡尔维诺(Italo Calvino)的小说《国王在听》(*A King Listens*, 1984)为例,分析这部作品的听觉书写,揭示了听觉叙事中“语音唯一性”重要性,这篇论文将文本细读和理论探究完美结合,堪称经典。正如傅修延所论,“小说的主要内容在于叙述‘你’听到了什么,而‘你’听到了什么归根结底又取决于‘你’关心什么,或者说‘你的注意力集中于声音的哪些品质或特性’”(“‘你’听到了什么”119)。论述到最后,串联起这一系列问题的核心是“语音独一性”问题。因为最终国王被一个和自己内心产生共鸣的女性声音所吸引,并在这个声音的引导下走出了宫殿。然而,这个女性到底是谁?这种声音“说”了什么,小说都没有交代。重要的是这个被感知到的声音本身——即傅修延所说的听觉叙事中“语音独一性”的力量,让国王获得了救赎,找到了本真的自我。

“语音的独一性”,听起来很简单,却很复杂,它是听觉文化、声音文化、语言学和一个文学的一个交汇点。在特定的文化中,它体现的是每个个体乃至社群声音的差异性;在语言学中,它突出的是语音相对文字的独特性;而在文学中,除了前二者的意义外,它还强调“声如其人”的形象差异。汇总起来,它就犹如一个独一的存在——这个人说着某地方言,有着自己的发音特征,体现着自己的个性特征。但这种“语音独一性”一旦落笔为文字,其“语音的独一性”就会抹去,甚至连同这个人一起消失。所以,对“语音独一性”的还原,正是听觉叙事研究的一个重要议题。

傅修延指出,“语音作为一种特殊的能指,其所指不仅指声音通过语言符号所传递的事物概念,同时也指向语言本身的源头”(《听觉叙事研究》118)。这个源头通向一个感性的存在,就好像一个敲门者对屋内“谁”的回答,这个“我”,既是声音,也是声音发出的人,还是个抽象的代词。它们是一个整体的存在,只有听觉才能将其统摄起来,感知到它的“独一性”。换句话说,“语音的独一性”,并不是客观地存在那里,而是接受者的感知,必须通过“听”才能真正将其“唤醒”。因此,听觉叙事研究首先就是要对听觉书写做一种还原倾听,即回到声音发出的原初状态。对感知者来说,声音是被感知到的,但

声音的本源不是声音本身，而是和声源不可分离的感性存在。

傅修延提出“语音独一性”，其精髓在于强调“听声”的奥秘。“听声”需要深入地“听触”声源，即用“似听非听、似触非触的感知方式去体察”（《听觉叙事研究》122）。因为“人际听觉沟通中传递的声音与气息发自人的肺腑深处，带有强烈的个性色彩和感性特征，是文学艺术研究应当特别关注的对象”（《听觉叙事研究》103）。所以，“听文”，实际上是要“听声”“听人”，听“个性色彩”，听“感性特征”，把被文字记录所“阉割”的“语音独一性”还原回来。

傅修延强调“听觉叙事”带来另一个重要命题，即“听觉叙事”并不只是“声音叙事”。声音无处不在，自然界充满了声音，但声音并不构成叙事，这中间必须经过一系列听觉转化过程，傅修延的开创贡献之一，就在于一步步清晰地证明了这个转化，是如何成为叙事学的基本原理。

叙事本质上是听觉性的，是对转瞬间即逝的声音的对抗，它也是人类思想组织事件的出发点。叙事哲学家保罗·利科（Paul Ricoeur）说：文本不是“构造好的”（structured），而是“不断构造中的”（structuring）。¹ 文本中的事件是不断被进行构造的，听觉叙述能够把情节重新置于构造之中，声音再简单，听觉再模糊，如果给听觉叙述提供了条件，接受者就能够看出事件具有合一的意义流动，它就成为傅修延所说的“听觉事件”。听觉叙述需要找出一个故事的因果联系，作为在时间之流中先后相序的情节序列。在对听觉时间的听觉信号与事件信息的关联机制分析的基础上，傅修延一反常人思维，得出一个创新性的观点，“声音和事件在逻辑关系上主要体现为因果关系——事件是因，声音是果”（《听觉叙事研究》208）。这个发现非常有价值，声音并不是简单的“被听”，“听”的过程实际上就是故事被组织成一个有意义的因果链的过程。

“听觉叙事”是一种心灵的主动行为。傅修延总结了托马塞洛关于听觉理论“听觉六条优势”后，还加上了一条“声可威”。² 就这一点，叙事中的听觉优势就被自然发挥出来。他举出了很多例子，其中有大家熟悉的《三国演义》第四十回张飞在长坂桥接连三声怒喝，令曹操及追赶大军闻声而退的故事。这里的“声可威”，不仅是听觉的物理优势，还直接推动了叙事情节的发展。

傅修延对普鲁斯特的《追忆似水年华》（*A la recherche du temps perdu*, 1913-1927）的精彩分析，进一步精辟地解释了这个问题。对这部作品的解读百花齐放，但很多分析都是从“小马德莱娜点心”的“味觉”回忆开始的。傅

1 参见 W. David Hall, *Paul Ricoeur and Poetic Imperative, The Tension Between Love & Justice*, Albany: SUNY Press, 2007, 56.

2 参见 傅修延：《听觉叙事研究》，北京：北京大学出版社，2021 年，第 59 页。

修延则强调，小说中“因听而忆”的分量远远超过了“因味而忆”。¹这部作品的魅力，正是把多次出现的“铃铛声”的模糊性和不确定性，还原成了声音的流动性与感性的力量，它激荡起主人公的意识流，而这些涌向各个方向的意识流，尽管被转化成了文学语言，但因其无法定形的品质，反而与时间和声音的品质保持了一致。

“听觉叙事”这一叙述学研究路径的新发现，是对当代视觉文化主宰的一种纠偏，更是对许多鲜活的却被“文字”囚禁的听觉叙述的一种去蔽。这种从感官倚重角度突出听觉叙事的“循‘听’而思”，通向了开放的叙事学研究新范式。

二、“重听”与“聆察”：听觉叙事研究的新方法

听觉叙事，不仅开拓了叙事学研究新路径，也提出了叙事研究的新方法，即从听觉感知出发，用“聆察”的方法“重听经典”。“重听经典”并非“重读经典”。傅修延强调，“重听”虽然也是一种读，但不只是用声音（诵读）来代替文字听经典，而是更多关注叙事作品中与听觉感知相关的表达与书写。作为一种理解经典的新方法，“重听经典”倡导俄国形式论为恢复感觉而倡导的“陌生化”。所谓“陌生化”，什克洛夫斯基有句名言：“make a stone stony”（让石头更具有石头的质地），意思是用突出感性来获得文学性。

文学的“质地”如何在听觉叙事中显示出来？傅修延认为：“叙事一开始就是一种生产听觉空间的行为，艺术就是凸显对世界的感知。今人采用的叙事手段越来越丰富，但从实质上说仍未摆脱对听觉交流的模仿”（《叙事与听觉空间的生产》89）。换句话说，即便在各种纷繁的视觉化文字文学叙事中，也会留下各种“听觉交流”中感性的踪迹。“重听”的重要前提并非简单聆听，而是“听”出听觉书写后面的声音，听出声音背后的情感指向，听出“听”在讲述故事中的精妙，听出叙事美学和文化。

傅修延指出，“重听”经典最直接的方法是“聆察”（auscultation）。所谓聆察，即调动听觉想象去感知被其他感知屏蔽的音景。²“聆察”是傅修延提出的听觉叙事的基本方法，也是他创建的听觉叙事的批评术语之一。“聆察”与叙事学中使用频率最高的术语“观察”（即聚焦 focalization）相对，傅修延这一创造性的转化，意在弥补读图时代以耳代目的弊端，以及既往感知体验中聆察的缺位。美学家韦尔施（Wolfgang Iser）指出说：“可见和可闻，其存在的模式有根本不同。可见的东西在时间中持续存在，可闻的声音却在时间中消失。视觉关注持续的、持久的存在，相反听觉关注飞掠的、转瞬即逝的、偶然事件式的存在”（《重构美学》221）。聆察的意义就是追

1 参见傅修延：《听觉叙事研究》，北京：北京大学出版社，2021年，第208页。

2 参见傅修延：“为什么麦克卢汉说中国人是‘听觉人’——中国文化的听觉传统及其对叙事的影响”，《文学评论》1（2016）：135-144。

踪时间流逝过的声音踪迹。江守义总结傅修延提出的“聆察”的创造性主要表现在两个方面：一是对“聚焦”反思的结果，二是在基于普遍性“分类”的同时又兼顾到听觉主体的个性。它可以“听声类声”“听声类形”甚至“听无”“能够听到那些不会发出声音的声音”。¹

“聆察”是一种听觉觉察，是对定格化的文字中的声音书写的一种觉察。人类有眼睑而无耳睑，在视觉文化时代，大多数人闭耳塞听。傅修延形象地说，应该让“耳睑”开启“觉有声”。为此他举出了文学经典中大量的音景，比如，中国最早的《诗经》，有大量的象声词、乐器等构成的音景抒情和叙事，至今读者都能“聆察”其魅力。听觉参与是一种精神性的活动，从诗词到小说，它们很多都是蕴含着丰富听觉资源的文本。声音背后是一个充满心智的王国，只有通过细致的“聆察”，才会抵达被忽略的叙事音景。

傅修延是济慈诗歌研究专家，他非常欣赏济慈提出的“消极能力”(negative capability)。所谓“消极能力”，即“一个人与能力停留在不确定的、神秘与抑或的境地，而不急于弄清事实与原委”(59)。这种能力与“聆察”文本所追求的效果不谋而合。无论是“消极的能力”，还是安静的倾听，其要义均在于完全敞开自身。在重听中聆察，空纳万境，才会获取听觉叙事的意义与奥秘。“聆察”，傅修延这个创造性转化思维，既强调了对读者听觉感知能力的培养，也是听觉叙事研究最贴切、最重要的方法。

三、创建了听觉叙事研究新的话语范式

对应“听觉叙事”新的研究范式，傅修延创造了一系列听觉叙事学术话语：与图景对应的“音景”，与观察相对的“聆察”，与听相对的“被听”，与形象相对的“声象”，以及上文所论述的“聆察”“语音独一性”等等。从听觉对象，到听觉主体，再到听觉方式，这些独特的叙述话语构建了傅修延听觉叙事完整的研究体系。新的学术话语在傅修延看来是当今主宰人类的视觉文化“倒逼”出来的产物，实质上更是一个个值得探讨的课题。比如，对听觉叙事与叙事声音的区别，傅修延的分析很清晰，他指出，作者的声音，叙述者的声音，文本中的所有声音，作为修辞的声音，是不同的。²前二者更多的是比喻性，强调的是发出者自我意识的主体“声音”，虽然也可以用“音调、音强、音色”等类比性的品质描述，譬如以“音调”判断叙述声音是实话还是反话，是鞭挞还是讽刺挖苦，是痛心疾首还是玩世不恭等，但这些只是一般叙事学所关注的研究对象，而听觉叙事研究关注的是文本中各种具体的声音和听觉书写，这正是叙事学研究者常常忽略，却又是听觉叙事研究的重点。

傅修延把各种声音类型，依照听觉逻辑做了一个精彩的分类，使它们成为一个可辨识且可分析的“听觉序列”：“听声类声”——“听声类形”——

1 参见江守义：“叙事理论的中国经验及其思考”，《学术月刊》10（2024）：161。

2 参见傅修延：《听觉叙事研究》，北京：北京大学出版社，2021年，第177页。

“听无”——“无听”。

“听声类声”是一种常用的拟声，而“听声类形”被傅修延认为是中国最精妙的语言艺术。这种是一种从声音向视觉挪移的通感艺术，它展示了人类自然又富有创造力的想象。对文学叙事来说，听声类形不仅是语言和想象力的艺术，还是利用各种声音塑造人物形象，制造各种听觉事件的重要手段。

“听无”，在傅修延看来是超脱耳根直诉心灵的体验。听觉叙事不限于听得到的声音，也包括该有声时的无声，包括声音感知缺失的“无”以及“没有声音发出的事件和状态”，就如对中国绘画中的“留白”以及音乐的“休止”一样。在很多文学作品描绘中，当我们期盼着声音时，却发现声音消失，无声代替了有声。傅修延举出了大量的中外文学佳例，其中李斗《扬州画舫录》有一节艺人说书的生动描摹最为典型，说书人用无声的“张口怒目”来模拟其“叱咤之状”，这一举动反而激发了听众的听觉想象力，让他们感到“满室中如雷霆喧于耳矣”（“物感与‘万物自生听’” 40）。

最高境界的听觉艺术是傅修延所说的“无听”。傅修延将“无听”分为“无人之听”与“无闻之听”：前者在古代诗文中常被用来暗示万物的自在自足与自生自灭，强调不是自然需要人类而是人类需要自然，后者虽为对声音的忽略，但被忽略的声音仍会若有若无地存留在意识中，为需要被关注的声音充当背景。¹这种境界很类似于《庄子·齐物论》说到的昭文鼓琴的故事，琴师昭文“不鼓琴”，是因为他终于悟到了：弹琴的时候，只要发出一个声音，便失掉了其他的声音。只有在住手不弹的时候，才能五音俱全。可见，中国古代哲人对听觉艺术的“无听”理解相当透彻，傅修延把中国传统有机地融合到他的听觉叙事的论述中，建立起一套富有中国性的听觉范式。

四、发现了中国听觉叙事美学范式

“不确定性”是一种听觉特征，也是听觉美学最典型的体现。傅修延认为，与图像相比，声音具有模糊性和不确定性，致使产生了许多错误的感知和推断。傅修延用“感知的不确定必定造成表达的不确定”（《听觉叙事研究》201）来概括听觉叙事的美学范式。因为作者把阐释行为意义的工作交给了感知者，很容易形成所谓的不可靠叙述，而听觉叙述生来就有的模糊性，反而给听觉叙述留下了更充分的余地。

听展会留下更多的“文本空白点”。文本的最大特点是它不能决定一切，文本中肯定有意义不定点，有不确切的因素，有未决定的事情，留下被看被阅读发挥的余地，由观众、读者、接收者把它的意义读出来。所以文本不是自我封闭的整体，而是一个充满不定点的解释邀请书。如果完全没有阅读阻力的话，叙述的魅力也无法显现出来。因为叙述文本，无论如何周密，不可能把故事说得完整明白，总是要观众补足细节：叙述的本质就是隐和显之间，在

1 参见 傅修延：“物感与‘万物自身听’”，《中国社会科学》6（2020）：44。

场与不在场之间的交互影响。叙述再现一个故事，只需要部分细节在场，在场的目的是给听觉叙述的想象一个跳板，只要尚能补足，空档跳得越远，艺术欣赏上就越觉得有意思。这一点上，听觉叙事优于视觉叙事，正在于它给读者更大的想象余地。

傅修延在其听觉叙事研究中，对这一“不确定”美学做出了切实而深入的推进。他将“听”的方式依据不确定程度的递减分成幻听（auditory hallucination）、灵听（weird hearing）、偶听（overhearing）三种。他指出，“叙事作品中的幻听、灵听和偶听源于听觉感知的不确定，这三类不确定的‘听’分别处在真实性、可能性与完整性的对立面上。叙事作品中的幻听：幻听的不真实在于信息内容的虚假；灵听的不可能是由于信息交流的渠道过于离奇；偶听的不完整缘于信息的碎片化”（“幻听、灵听与偶听” 99）。这样，听觉方式造成的听觉效果就与叙事学研究中“真实性”“可能性”“完整性”这样重要的问题紧密地结合在一起了，真正做到“因声而听，因听而思，因听而悟”（傅修延 邱宗珍 33）三层境界。从而形成了听觉叙事特殊的意义方式，完美地实践了听觉叙事中学术话语方式的创新和转化。

傅修延指出，“感知的不确定必定造成表达的不确定，但迷离恍惚的听觉事件往往能使文本内涵变得更加摇曳多姿，带给读者更大的想象空间和更多的咀嚼意趣。不仅如此，这类不确定的‘听’还能为故事的始发、展开和转向提供动力，对人物性格的图像与作品题目的彰明亦有画龙点睛般的贡献”（《听觉叙事研究》 225）。他以《红楼梦》《西游记》《三国演义》《追忆似水年华》《安娜·卡列尼娜》《黑猫》《简爱》等大量的中西文学经典为例，剖析出这些作品，由于各种不同的“听觉方式”引起的不同的听觉事件，彰显出的“讲故事的丰富与微妙”。

对比起来，不确定的叙事美学在中国传统叙事文本中尤为突出，这也正是傅修延通过对它们的深究，通过提出并回答这两个问题，发现了中国传统的叙事美学。

第一，傅修延提出：为什么麦克卢汉说中国人是“听觉人”？这看起来是个简单的问题，却蕴藏着两种不同的传统叙事美学范式。傅修延分析了其中的原因，“中国传统文化对听觉情有独钟，‘听’在汉语中往往指包括各种感官在内的全身反应，‘闻声知情’更被认为是一种圣贤境界的认知能力”，并由此形成了“听觉传统作用下中国古代叙事的表述特征”（《论聆察》 138），主要概括为“‘尚简’‘贵无’‘趋晦’‘从散’，而‘简’‘无’‘晦’‘散’对应的恰好就是听觉传播的模糊、断续等非线性特征”（《论聆察》 138）。

第二，为什么不是中国学者而是加拿大人麦克卢汉会惊奇于中国人是“听觉人”？傅修延从听觉叙事角度，反思中国叙事传统，为中国传统一些不被认可的叙述独特性正名。因为这些叙事特征，不只是被西方人误读，连中国

人自己也缺少“视觉耽溺的自省意识”。他举出的例子有鲁迅、胡适、陈寅恪等对明清章回小说中的“缀段性”（episodic）的误责。¹ 傅修延指出，听觉叙事展开一个听觉空间，这是中西方的叙述方式差异所在。视角为主导的叙事总是在追寻连续序列，而听觉叙事却是开放的、模糊的、边界不清的。² 中国式的“缀段性”实际上就是中国小说开枝散叶的方法，也是中国传统所崇尚的叙事美学，中国学者对自己的文化传统不见得足够敏感。

五、“听”“视”倚重与中西不同的文化范式

傅修延的听觉叙事研究不仅发现了中国叙事独有的美学，还从人类最基本的感知世界方式上，找到了中西叙事背后与之对应的不同的文化范式。在听觉叙事研究中，他细读了大量的中西文学文本经典，通过对中西文化的深耕细究对比，得出了一个创新性的结论：“中西叙事的不同，源于各自的结构观念乃至观念后面的文化，而这归根结底是因为双方在视觉和听觉上各有倚重。中国人讲故事多倚重听觉，西方人讲故事多倚重视觉”（《听觉叙事研究》298）。这一结论石破天惊，令人不得不拍案叫绝。

傅修延指出，“听”是一种全方位的感知方式，中国文化中有一种听觉统摄功能。他从原繁体字“聽”的造字法，分析了此字内纳入的耳—目—心三种人体重要器官的意义，以中国的造字源头为基点，以中国传统中的各种叙述文本为实践依据，令人信服地证明了这一创新观点：“中国在很长时间内一直保持着听觉社会的诸多特征，相比于‘看’，中国人更多用‘听’来统摄各种感知，由此产生了中国叙事中的各种差异”（《听觉叙事研究》256）。

中国人以“听”为统摄，用联觉通感的方式，整体感知世界，这是整个中国传统认识论的倾向。比如在绘画中，中国传统美学并不强调对特定线条、形式、运动或自然事物的感知体验，而是强调对整体环境感知，这种感知连接起人的本性的觉醒。加拿大学者梅尔巴·卡迪·基恩认为，耳朵可能比眼睛提供更具包容性的对世界的认识，但感知的却是同一个现实。不同感觉的优越性在于它们可以互相帮助。³ 但就这一点，傅修延结合中国文化所论述的听觉统摄功能更明晰，更深刻。

傅修延提出中国文化是一个听觉偏重的文化，汉语中的“听”，或者中国文化中的“听”，在很多情况下并非只与耳朵有关，而是诉诸人体所有感官的全身心感应。听觉统摄的最高宇宙秩序，莫过于傅修延借用唐代诗人韦

1 参见 傅修延：“论聆察”，《文艺理论研究》1（2016）：26-34。

2 参见 傅修延：《听觉叙事研究》，北京：北京大学出版社，2021年，第297页。

3 梅尔巴·卡迪·基恩：“现代主义音景与智性的聆听：听觉感知的叙事研究”，参见 詹姆斯·费伦、彼得·拉比诺维茨：《当代叙事理论指南》，申丹等译，北京：北京大学出版社，2007年，第456页。

应物的《咏声》的诗句说出的：万物自生听。¹“‘听’可以让万物在更大的空间范围内彼此沟通，声音相和，声气相求，以至于让世人警觉，人也是万物一部分，而不是世界的中心”（《听觉叙事研究》382）。

“万物自生听”，这个充满东方辩证法的听觉感知方式，一直贯穿在傅修延的听觉叙事论述中，在傅修延看来，“讲”与“听”互生互长，看起来似乎“讲”是主动，“听”是被动，实际上，“听”反而是一种主动。“万物自生听”蕴含了“万物自生讲”，只有“听”最能将一种“待在”变成“显在”。因为你在与不在，我都在，除了心能感受到你存在，眼睛看到似乎更实在。但你听与不听，我都在听，这就更彻底，除了心能感受到你存在，耳朵永远不会闭合。傅修延精妙的概括为“我听故我在”。

对中西叙事理论的差异，傅修延一直持有开放的态度，他认为，从一定意义上说，中国叙事对西方学者来说是一片新大陆甚至是另一个星球，许多东西用西方的观念、范畴和术语是难以描述的。也无法“纳入”西方的理论“容器”，必须做一个更大的容器才能解决问题。²“万物自生听”这种由中国听觉统摄文化境界和听觉美学，是无法被装在既有的西方叙述学“容器”中的，这也正是傅修延从“听”“视”感知不同倚重，对中西文化不同的深层思维结构及其不同的叙事传统美学的深刻发现。

结语

回顾叙事学这门学科的历史，在西方从经典叙事学到后经典叙事学，虽然有很多的学术创新，但大部分的研究还是围绕故事、情节、话语等文体或文化研究，中国人的叙事学，也借用西方叙述学的理论框架，来理解中国叙事，并没有真正面对中国传统叙事文本的发生和形成。

傅修延的听觉叙事研究用广征博引和有力的雄辩告诉我们，中国的叙述学必须穿透影响迷雾，回望自身传统。在深耕中国深厚的传统中，傅修延发现了中国性的研究对象，创建了中国式的研究范式及中国特质的学术话语。不仅如此，他对中西方叙事理论，对中西方叙事文本，如数家珍，信手拈来皆是绝妙佳例。对各种叙事文本的解读庖丁解牛，酣畅淋漓，微观处精细入微，宏观处纵横捭阖，而且将很多深刻的学理与日常生活哲理贯通，从而深入到中国文化的深层结构，打通了重听经典的价值和意义，这种学术功力和奠基理解，在当今学者中属于凤毛麟角。

在他开创的听觉叙事研究“重听”经典的新方法、新范式引领下，一系列得益于他的理论启示的论著如雨后春笋，蓬勃涌现。几年之内，以其听觉叙事理论话语，譬如“听觉叙事”“语音独一性”“音景”“聆察”“灵

1 参见 韦应物：“咏声”，《全唐诗》卷 193，北京：中华书局，1960 年，第 1986 页。

2 参见 唐伟胜、傅修延：“叙事学与中国叙事传统——傅修延学术思想访谈”，《英语研究》12（2021）：7。

听”“幻听”“偷听”等为主题词和关键词的学术论文多达数百篇，著作和研究项目几十部。它们中不仅有对傅修延听觉叙事理论的运用和发展，还有对经典文本“重听”的新颖解读；不仅有对中国经典作品中听觉叙事的精彩分析，也有对西方文学作品的听觉叙事细致阐释，“重听”经典引导下的听觉叙事研究新范式蔚然成风。

热烈的学术响应，充分证明了傅修延听觉叙事理论的学术价值和蓬勃生命力。“诉诸听觉的讲故事行为本是人类最早从事的文学活动，从‘听’的角度重读文学作品乃至某些艺术作品，有助于扭转视觉霸权造成的感知失衡，这可以说是传媒变革形势下的‘感知训练’的题中应有之意”（《听觉叙事研究》174）。从这个方向看过来，傅修延的听觉叙事研究，启发我们的，就不只是叙事学理论创新和范式转化问题，还是人类更加本质的命题：身体的根本感知如何与人的最高灵性结合？这是当代似乎过于成熟的社会文化，对我们研究者提出的新问题、新挑战。

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傅修延的物叙事思想探究

Probing into Fu Xiuyan's Narrative Studies of Things

唐伟胜 (Tang Weisheng) 李英华 (Li Yinghua)

内容提要: 傅修延是中国学界最重要、也是最早思考物叙事并展开研究的学者之一, 其物叙事思想主要有以下三个方面的贡献: (1) 率先提出“文学是‘人学’, 也是‘物学’”这一重要观点, 并不断探索物的叙事学功能, 为物叙事研究在中国的发展与兴起打下了根基; (2) 提出物性叙事的三种听觉模式, 鲜明体现了中国学者的学术话语创新意识; (3) 固守本土传统, 兼具国际视野, 创新具有本土性和实践性的物质生态批评话语。

关键词: 傅修延; 物叙事; 叙事学功能; 听觉叙事; 物质生态批评

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Title: Probing into Fu Xiuyan's Narrative Studies of Things

Abstract: Professor Fu Xiuyan is one of the earliest and the most prominent theorists and practitioners in China of narrative studies of things. Fu has made three important contributions in this field. Firstly, it is he who has laid the foundation for narrative research of things in China by initially proposing that “literature is not only about humans, but also about things” and by his ongoing exploration of the narratological functions of things. Secondly, he argues for the three modes of listening for thingness, which is an apt illustration of how a Chinese scholar can contribute to the world's academic discourse. Finally, by combining the local traditions and the international perspectives, he has created the kind of material ecocritical discourse that is both locally and practically oriented.

Keywords: Fu Xiuyan; Narrative studies of things; Narratological function; Auditory narratology; Material ecocriticism

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受新的物人关系和危机语境的牵引和推动，西方人文社科领域的物转向理论大潮在纵深衍进的同时发生了内核演变。以新物质主义为内核的 21 世纪“物论”思潮凸显物质动能，通过消解二元论为主导的人类中心思维重塑物人、物物之间的纠缠互动关系。¹物转向思潮重新唤醒了文学研究对物的关注，国内外学界开始深入思考物在文学（尤其是叙事）中的修辞作用，包括其再现方式、结构功能、主题价值及情感体验等维度。物转向开辟出一种具有明显非人类中心倾向的研究路径，深刻地影响近十年来的外国文学研究。

2021 年秋，中国中外文学理论学会叙事学分会会长傅修延在《天津社会科学》发表宏文“文学是‘人学’也是‘物学’——物叙事与意义世界的形成”，首次从学理上阐明了物叙事研究的价值。傅修延在中外文学中寻找灵感，从符号学角度阐释物的讲述与文学作品中意义形成的关系，构建具有本土色彩的批评话语，对中国物叙事学起到了开风气之先的引领作用。傅修延在文中提出关注文学作品中“物”的重要性：

文学作品中意义世界的形成与对物的讲述大有关系，物叙事是语言文字之外的另一套话语系统，如果不懂得这套系统，作者植入文本的意义无从索解。对物的轻视导致我们读不懂许多与物相关的叙事，人物的服饰、饮食、住宅，均为携带意义的符号，与物相关的行为如物的保有、持用、分享、馈赠、消费、呵护和毁弃等，更值得作深入文本内部的细究和详察。（161）

傅修延主要研究叙事学，但也精通人类学、符号学、语言学、社会学、文体学、文学翻译学、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，孕育了丰厚前沿的物叙事思想。他的物叙事思想内涵极其丰富，限于篇幅，本文选取以下三个方面加以评述。

一、物的叙事学功能

在为唐伟胜的专著《物性叙事研究》作序时，傅修延谈及他在撰写博士论文“先秦叙事研究”时“萌发了对物的关注”（“序言” ix）。其实，傅修延在上个世纪 80 年代就已经对叙事中的物，尤其是物的叙事学功能（narratological function）表现出浓厚的兴趣。事实上，由于傅修延的叙事学

1 参见韩启群：“‘物转向’：21 世纪以来的理论衍进、内核演变与文学研究前沿生成”，《湖南科技大学学报（社会科学版）》4（2023）：64-70。

背景，这一兴趣贯穿了他的整个学术生涯。傅修延一直都在思考：对于故事讲述而言，物到底有哪些功能？在美国学者玛丽·劳拉·瑞安（Marie-Laure Ryan）和中国学者唐伟胜合著的《面向物的叙事学》中，物的叙事学功能被归纳为三种，即物的模仿功能（涉及物在叙事中的再现方式）、物的结构功能（涉及物在叙事结构中的作用）及物的主题功能（涉及物的内容层面）。¹按照这一划分，我们可以更清楚地梳理傅修延的相关思想。

1983年，傅修延发表“《项链》的链形结构”一文，指出小说的情节围绕项链展开，形成一个一环扣一环的链形结构。²这相当于指出了物的结构功能，即物可以用来连接叙事片段，充当情节发展中的链条。更重要的是，傅修延在这篇文章中还精妙地指出了莫泊桑小说中由项链推动的链形叙事结构与小说的主题之间的同构性和互动性：小说的主题决定了小说结构，小说结构又突出了小说主题。正如大多数评论家所言，小说的主题是“讽刺小资产阶级的虚荣心”。傅修延认为文本中的“项链”指涉“虚荣心”，即虚荣心是情节发展的原动力，是穿链之索，是形成首位呼应的链形结构的根本原因。而链形结构是一个圆圈，读者跟着转了一圈，对小说的主题体会得非常深刻。³上世纪80年代早期，中国刚刚实施改革开放政策，虽然各种域外思想不断涌入，但政治批评仍然是文学批评的主导模式，直到“80年代末至90年代中（……）国内的叙事学研究形成了一个高潮”（申丹147）。纳入这个时代背景，我们或许更能理解“《项链》的链形结构”的特殊价值：关注叙事的形式结构，体察物在叙事结构中的独特功能，这篇论文和其他同类论文一起，推动了叙事学研究在上世纪80年代末的兴起。傅修延在上世纪80年代就开始关注物的结构功能，既凸显了物在傅修延叙事思想中的萌芽，也证明了对物的关注并不是当今独有的现象。

“《项链》的链形结构”关注的仅仅是一个特殊的物在单个文本中的结构功能，但随着对中国叙事传统的研究渐入佳境，傅修延开始思考物在中华民族元叙事形成中的功能。2010年，傅修延在“元叙事与太阳神话”一文中，探讨叙事的初始形态与形成原因。他将神话叙事的最初起源归结为一个独特的物：太阳。在分析太阳神话中元叙事的印痕时，傅修延谈及太阳在先民视觉上的从东到西以及在夜间想象中的从西到东，为叙事提供了深层结构与基本冲突。⁴借用人类学家泰勒的术语，太阳神话的实质是相信“万物有灵”的先民将自然物太阳变成与人同形同性的神，于是，神话故事的主体也就应运而

1 参见 Marie-Laure Ryan and Tang Weisheng, *Object-Oriented Narratology*, Lincoln: University of Nebraska Press, 2024, 31-85.

2 参见 傅修延：“《项链》的链形结构”，《上饶师专学报（社会科学版）》1（1983）：71-74。

3 参见 傅修延：“《项链》的链形结构”，《上饶师专学报（社会科学版）》1（1983）：71-74。

4 参见 傅修延：“元叙事与太阳神话”，《江西社会科学（社会科学版）》4（2010）：26-46。

生。他将太阳神话定义为中华民族的元叙事，因为它对中华先民的叙事行为给予了最初也是最具“塑型”意义的影响。¹这样，一个“流动的物”（即太阳）就被阐释为民族叙事的原动力。

用太阳的移动来解释神话叙事的深层结构，这只是傅修延关注流动之物的开始。“元叙事与太阳神话”发表15年后，傅修延发表的“论叙事中物的流动及其对故事形态的影响”更全面地探讨了流动物的叙事学功能，包括流动物的再现方式及其结构功能。首先，流动物常被再现为在某些方面与人相似，从而成为类人物（即类人之物，如类人猿为类人之猿），于是物就变成聚焦者或叙述者。一旦换成用物的“眼睛”来观察，用物的“口吻”来说话，不仅可以丰富人类对这个世界的体验，还能产生始料未及的陌生化效果。作为“灵性已通”的行动主体，物有时还可对故事发展方向施加支配性的影响。其次，流动物不仅有在时间上的流动，也有在空间中的流动，从而可以扩大叙事的“景深”。第三，流动物不仅仅有自身之动，还有召唤他人实现其功能的潜质。物不会完全受人支配，很多情况下它们会推波助澜，将事件推向令人惊愕不已的发展方向，而这样的推动实际上也构成了对故事的形塑。²

傅修延的这些观点与当代西方相关“物论”形成了有趣的互动。和傅修延一样，当代西方物论多坚持物具有活力或主体性。比如，布鲁诺·拉图尔（Bruno Latour）的行动者网络理论认为“非人类一定是行动者”，应该给与非人类“比传统自然因果关系更为开放的主体性”（“Reassembling the Social” 10）；简·贝内特认为，作为施事者，物不仅可以促进或阻碍人类计划，而且还有自己的运动轨迹和天性，因此她用“物的力量”（thing-power）一词来概括物的施事能力。³当然，拉图尔和贝内特工作的领域主要是社会学和生态学，但他们对待物的立场与作为叙事学家的傅修延高度一致。

更为有趣的是，除分析流动物的结构功能外，傅修延还独到地指出流动物在叙事发展史中的作用。正如傅修延所言，物的流动不仅激发了人类的文学想象，对于故事形态的发育也有其独特贡献。物在流动路径中偏离与复归，如突如其来的横斜逸出，推动叙述的发展，常常能为故事进程注入新的动力，甚至可以为人物的行动选择提供更多的可能。在布达佩斯召开的“第八届国际叙事学研讨会”的主旨报告中，傅修延详细分析《古镜记》等唐传奇作品后认为，正是流动物推动了中国古典小说文体的形成，因为流动物让唐传奇故事得以突破之前短小的志人志怪小说，从此开始“有意为小说”。⁴无独有偶，在西方小说开始兴起的18世纪，西方也曾出现过流动物叙事热。某个物（通常

1 参见傅修延：“元叙事与太阳神话”，《江西社会科学（社会科学版）》4（2010）：26-46。

2 参见傅修延：“论叙事中物的流动及其对故事形态的影响”，《北京师范大学学报》5（2024）：13-24。

3 参见 Jane Bennett, *Vibrant Matter: A Political Ecology of Things*, Durham and London: Duke University Press, 2010, xvi.

4 参见鲁迅：《中国小说史略》，上海：上海古籍出版社，2006年，第41页。

是一枚硬币或某个物件)在不同人手中流转,叙事通过该物的视角,尽情展示不同阶层不同职业人群的生存状况和心理。¹

傅修延也关注物在叙事中的主题功能,尤其是中国物的文化含义。瓷就是镶嵌在中国文化之网上最具代表性的一种器物。2011年,在“瓷的叙事与文化分析”一文中,他以叙事学和文化学为工具,选择了在中国文化的“意义之网”上与陶瓷有密切关系的五点来进行讨论。他认为瓷与稻的联系是毗邻性叙事;瓷与易、玉之间更多的是隐喻性叙事;而瓷与艺之间不仅仅是载体与载物的关系,陶瓷还述说着中国艺术蓬勃发展的故事;China唤起的“瓷国”联想更是值得深入探究。总而言之,只有认识到瓷的叙事能力,认识到瓷与这些事物之间毗邻、互渗、隐喻和模仿的历史,才能把握瓷之所以为瓷的真谛。²和瓷叙事有异曲同工之妙的是青铜器上的“前叙事”。傅修延认为,青铜时代长逾千年,青铜器上的“纹/饰”“编/织”“空/满”等“元书写”构成了中国叙事活动的逻辑起点,因此被称之为中国叙事之“前叙事”(《中国叙事学》78)。2023年傅修延在《江海学刊》发表的“丝巾与中国文艺精神”延续了他对中国物的主题功能的关注。论文从物叙事和符号学角度对丝巾这件为广大女性喜爱的饰物作深入分析,指出不盈一握的丝巾具有超出常物的符号学意义:作为中国符号,其飞扬灵动的线条表现的是飘带精神;争奇斗艳的丝巾的流行彰显自由向上的时代精神;其连接缠绕的造型和柔软轻松的特质象征着中华文明的融合性与包容性。³

总体来看,就物的叙事学功能而言,傅修延将重心放在物的结构功能和主题功能。上世纪80年代初,傅修延就开始讨论物在叙事结构和叙事主题中的作用,这彰显了他的学术眼光,对经典叙事学在中国的兴起亦有开创之功。难能可贵的是,40年后,傅修延初心不改,从中外最新学术思想中汲取营养,不断思考物的叙事学功能,把中国物叙事相关研究引向深入。

二、物性与听觉叙事

物性乃万物之本性。从哲学上讲,物性指超越人类感知和言说的物之特性。正因为其神秘和不可捉摸,自古以来,言说物性都是中外哲学家的最高目标,包括西方的柏拉图、普罗提诺、奥古斯丁、康德、叔本华、海德格尔以及中国的庄子、朱熹等。为了抵达物性,中西方哲学家提出的方案均为抛弃理性和文字这样的中介而直接面对物。当西方哲学家(如谢林、叔本华、柏格森等)强调通过直觉体验抵达物性时,傅修延则富有新意地指出,中国哲

1 参见 Liz Bellamy, "It-Narrators and Circulation: Defining a Subgenre," *The Secret Life of Things: Animals, Objects, and It-Narrative in Eighteenth-Century England*, edited by Mark Blackwell, Lewisburg: Bucknell University Press, 2007, 117-146.

2 参见 傅修延:“瓷的叙事与文化分析”,《江西师范大学学报(哲学社会科学版)》6(2011): 3-19。

3 参见 傅修延:“丝巾与中国文艺精神”,《江海学刊》4(2023): 239-245。

学强调“听”才是通往物性的有效路径。当然，中国思想传统中的“听”并非只与耳朵有关，而是统摄了人类所有感知。为了证明这一点，傅修延拈出了“听”的繁体字“聽”。“聽”由三部分组成，分别为“耳”“目”“心”。¹由此可见，中国古人在造“听”这个字时就没有将听的任务限制在耳朵。事实上，在道家经典中，我们也看到如下表述：“若一志，无听之以耳而听之以心，无听之以心而听之以气”（方勇 53）。“听之以耳”“听之以心”“听之以气”这些说法证明了傅修延的观点：在中国文化传统中，“听”不仅关涉耳朵，而且是关涉全身心的体验过程。确立“听”的内涵之后，傅修延提出抵达物性的三种听觉叙事方式：听无、无人之听、无闻之听。笔者认为，这三种方式的提出，傅修延不仅“为世界叙事学运动开辟了一个全新的亚体裁研究畛域”（赵毅衡 71），而且为建构自主话语体系提供的一个绝佳范例。

“听无”指没有声音的听，也就是在静默状态下去倾听，去感受世间万物。人类耳朵听到的声音只是感官现象，无声之听然后用心感受，才能捕捉到最深层的“真”与“美”，正如傅修延所说，“听无富于哲学和艺术情趣”（《听觉叙事研究》396）。他用古今中外的例子来阐述“听无”之妙，如老子的“大音希声”，庄子的“渊默而雷声”，济慈《希腊古瓮颂》（*Ode on a Grecian Urn*）里的“听见的乐声虽好，但若听不见 / 却更美”等。（《听觉叙事研究》393）“真”的声音是听不见的，傅修延凸显中国听觉传统的这一面，呼应了当今西方的物思想。比如“面向物的本体论”（object-oriented ontology）主要倡导者格拉姆·哈曼（Graham Harman）认为，我们无法通过艺术、科学或日常经验直接接触到事物本身。只能用暗指（allusion）的方式间接抵达。²所谓“暗指”，在叙事中往往体现为叙述者不直接讲述物，而是通过间接的方式提及物，随着叙述者的主体性被大大压缩，物性因此得到彰显。同理，当没有声音的时候，听者的主体性被暂时搁置，那种“希”“默”或者“听不见”就成为一种“暗指”，引导听者去感受未在场的、更深层次的“真”。

“无人之听”指叙写万物的声音，却独独没有听者。这种现象就如偏远山间的野花，花开花谢，虽无人观看，体现的却是自由自在的天地之道。不难看出，“无人之听”里蕴含了丰富的生态意味。在傅修延看来，从“无人之听”里，“我们看到了另一种物感，一种把人从物这一共名中剔除出去的物感”，万物的存在“无须有人听甚至无须有人”，因为“万物自在自足，自生自灭，不是自然需要人类而是人类需要自然”（《听觉叙事研究》397）。由此可知，“无人之听”强调的是无人的世界（the world without us），这也是当代西方思辨实在论哲学家昆汀·梅亚苏（Quentin Meillassoux）的著名范畴“广阔户外”（the Great Outdoors）所强调的：没有了人类，世界就走入到被非理性（unreason）和偶然性（contingency）所定义

1 参见傅修延：《听觉叙事研究》，北京：北京大学出版社，2021年，第37页。

2 参见Graham Harman, *The Quadruple Object*, Winchester: Zero Books, 2011, 46.

的广阔户外，只有在这里我们才能看到本体世界的真相。¹当然，作为叙事学家的傅修延并没有止步“无人之听”的哲学和生态涵义，而是将其用于叙事作品的阐释。比如，《红楼梦》中人迹罕至的大荒世界就是一个“无人的世界”，虽然“空空大士”和“渺渺真人”一僧一道来过这里，但这样的名字本身就“显示出了他们的子虚乌有”。小说中那块石头从大荒世界而来，经磨历劫之后又回到大荒世界，这就说明大荒世界是“红尘世界中一切事物与行动的起源与归宿”（《听觉叙事研究》397），也就是说，这个大荒世界就是人类出现之前和人类消亡之后的“广阔户外”，因而是永恒的，而红尘世界则是短暂无常的。如此解释《红楼梦》中的“大荒世界”已够惊艳，但傅修延更进一步将这个永恒的大荒世界与无常的红尘世界之间的张力视为一种“深层结构”，用它来解释中国古典诗歌和山水画的艺术魅力所在。

“无闻之听”指另一种声音叙事现象，有声音发出，也有听者，但由于某种原因，声音对听者来说似乎没有意义，或者根本就不能进入到听者的意识中去。叙事中的这种声音可以用来实现多种功能，比如构成某种背景，以突出需要被关注的声音，或者用来表现听者的神思恍惚状态。但除此之外，傅修延还讨论了“无闻之听”的另一种涵义：“无闻之听”体现的是一种自控能力，也就是摆脱喧闹的能力。有了这种自控能力，我们就可以超越声音本身，去感受更为深远更为广阔的世界。²

由此可见，无论是“听无”“无人之听”还是“无闻之听”，虽然叙事的方式不同，但最终指向都是超越声音本身，进入到王国维所谓的“无我之境”（《人间诗话》4），或实现朱光潜所言“在微尘中见出大千，在刹那中见出终古”（《给青年的十二封信》107）。傅修延对“大音”的兴趣，当然是根植于深厚的中国文学文化土壤，但他的思考与西方最新理论形成奇妙的呼应，体现出民族性和世界性的微妙关系。

三、物与生态关切

傅修延的物叙事思想还体现在其生态关切方面。作为土生土长的江西人，傅修延的生态关切既是理论的，也是实践的，这是他区别于其他很多生态学者的特征之一。

傅修延对《山海经》的重新解读集中体现了他的生态观。他将《山海经》定义为“原生态叙事”并从中挖掘其中的生态思想。傅修延之所以用“原生态叙事”这一术语可能出于以下两个考虑：首先，《山海经》的生态叙事基于人类和自然还未完全分离这一前提，因此其生态思想是纯粹而朴素的；其次，《山海经》的生态叙事是现代生态叙事的开端。在傅修延看来，《山海经》

1 参见 Quentin Meillassoux, *After Finitude: An Essay on the Necessity of Contingency*, translated by Ray Brassier, New York: Continuum, 2008, 36.

2 参见 傅修延：《听觉叙事研究》，北京：北京大学出版社，2021年，第401页。

的“原生态叙事”体现了“万物相互依存、众生各有其形、自然资源有限等生态思想”（《中国叙事学》38）。“原生态叙事”这个概念从中国文学传统归纳而来，同时又与当代西方的物质生态思想形成了有趣的对话。

傅修延将《山海经》看成“山海之物经”，认为书中的叙述者并没有把自己和自然界分开，是人类中心主义建立之前的产物，“依地而述”将世间万物组织成“一个相对有序的资源系统，茫茫宇宙因之显示出清晰的内在秩序”（《中国叙事学》43）。“叙述者没有把自己和自然界分开”这一论断与当代西方的物质生态思想不谋而合。众所周知，西方文艺复兴之后，人和自然一直处于分离状态，而且人类对自然享有绝对控制和支配的权利，这种状态虽然给人类带来了短暂的福利，但也对环境造成了毁灭性伤害。为此，很多西方生态理论家试图弥合人类与自然的裂痕，提出人类与自然的“通体性”（*transcorporeality*）概念，即人类身处不断变化的物质世界，人类身体与非人类自然之间随时随地存在水分、空气、食物等的物质交换，这种物质交换决定了生态网中一荣皆荣、一损俱损的关系。¹

傅修延对《山海经》体现的“万物依存”的解读很有启发意义。在《山海经》中，人类并不视自己为万物主宰，而是把自己与神、兽置于同一层面，甚至将河流山川都视为有意识的生命物体。傅修延把《山海经》中的这一观念归于“初民信奉的万物有灵观”（《中国叙事学》45）。这是一个有见地的观点。事实上，我们在西方最早的叙事作品《荷马史诗》中也可看到万物有灵观导致的万物平等（即神、人、自然处于同一本体层面）。但笔者想指出的是，万物有灵观已经以一种新的方式回归到当代生态理论视野中。比如，仁娜拉·伊奥凡诺（Serenella Iovino）与瑟普尔·奥伯曼（Serpil Oppermann）提出的物质生态批评认为，非人类自然不仅有施事能力和意义生成能力，还拥有自己的故事。²这种生态观强调自然具有主体性，必然压缩人类和自然的本体级差，实现曼努尔·德兰达（M. DeLanda）所谓的“扁平本体论”（*flat ontology*）。³傅修延对《山海经》逾越“本体论的鸿沟”大加赞赏，体现了他与西方学者相近的物质生态观。

同样，傅修延对《山海经》中“众生各有其形”的解读也体现了他的学术敏锐性。在他看来，《山海经》反复展示那些令人不快甚至令人害怕之物，其原因是《山海经》旨在表明“众生各有其形，大千世界内没有一个统一的标准，大自然并没有规定什么正常什么不正常”，因此，“若要做到与自然和谐共处，恐怕先得把这些‘定见’丢开，恢复人类过去那种能够包容万千殊像的博大襟

1 参见 Stacy Alaimo and Susan Hekman, "Introduction: Emerging Models of Materiality in Feminist Theory," *Material Feminisms*, edited by Stacy Alaimo and Susan Hekman. Bloomington: Indiana University Press, 2008, 1-20.

2 参见 Serenella Iovino and Serpil Oppermann, "Material Ecocriticism: Materiality, Agency, and Models of Narrativity," *Ecozone* 1 (2012): 75-91.

3 参见 Manuel DeLanda, *Intensive Science & Virtual Philosophy*, New York: Continuum, 2002.

怀”（《中国叙事学》48）。在这里，傅修延提出我们应接纳自然万物，不管是美是丑，正常还是不正常，因为美丑、正常不正常这些概念只是人类强加给万物的性质，而非万物的本性，因此傅修延这里倡导的其实是要我们斩断人类对万物的主观判断，去靠近并接纳万物的本真。当代思辨实在论将这种通过人类理性去理解万物的做法称为“关联主义”（correlationism），或者幼稚的实在论（naïve realism），认为这种路径根本不可能抵达物的本真。¹当代一些优秀的生态作家也通过各种叙事手段，讲述不再与人类关联的自然世界，展示“众生各有其形”（唐伟胜 90-101）。

自1978年威廉·鲁克尔特（William Rueckert）提出“生态批评”这一术语以来，该理论不仅促进了文学批评的发展，也推动了力求缓解世界生态危机的绿色思潮。在研究者们纷纷站在“人类中心主义”的制高点把《山海经》解读为地理读本的时候，秉承“人类再伟大也只是一个物种”（《中国叙事学》39）的傅修延将其定义为人类中心主义建立之前的产物，是现代生态叙事滥觞的原生态叙事，而且是作为人类学会讲述故事之前的预演前叙事，这足以显现傅修延的学术敏锐力和批判性思维。

傅修延的生态叙事批评还有本土观照和实践的维度。除了发掘《山海经》中的生态思想，他还撰写了论文“羽衣仙女传说与赣文化”和“许逊传说的符号叙事学”，均从生态视角出发，深入挖掘赣鄱本土文化中的生态意蕴。他主讲“赣鄱文化的生态智慧”课程，2014年被批准为“中国大学视频公开课”。根据其讲稿整理而成的《生态江西读本》于2019年5月由二十一世界出版社出版。傅修延教授的《生态江西读本》写得很别致。其中既有对江西生态概貌的整体描述，又有对大地、田园、人口、资源诸多生态要素的深入分析；既有对生态演替的历史性阐发，又有对生态困境的当代解读。而字里行间，又全都融入作者自己饱满的生命体验与鲜活的情感记忆，使得全书充盈着生态的敏感与生命的脉动。而这一切，竟是以区区七万字达成的，不愧是“大家写小书”的典范。²文学与环境学会创会理事、中国台湾大学名誉教授、《生态人文主义》创办者林耀福先生称其为生态书写，也是生命书写。《生态江西读本》讲的故事真切朴实，温润如玉，不夸谈流行的西方理论，也不放送野性救世的固有论调，却充满知福惜福的文明智慧，勾勒出生态批评的风貌。生态学学者、中国台湾淡水大学荣誉教授黄逸明先生认为这是一本东方的《瓦尔登湖》（Walden），可以媲美于1854年美国作家所出版的世界名著。³

傅修延不仅著书立说，还将自己的生态理念付诸行动和实践。他提出的《关

1 参见 Graham Harman, *Tool-Being: Heidegger and the Metaphysics of Object*, Chicago: Open Court, 2002, 28.

2 参见 鲁枢元：“生态文化、生存理念与时代的精神状况”，《鄱阳湖学刊》4（2019）：12-15。

3 参见 胡颖峰、徐敏：“‘赣鄱生态与美丽中国学术研讨会’暨《生态江西读本》新书发布会综述”，《鄱阳湖学刊》4（2019）：39-49。

于建议申报鄱阳湖生态经济试验区的研究报告》为江西省政府采纳，鄱阳湖生态经济区于 2009 年经国务院批准上升为国家战略。他还致力于江西师范大学新老校区的生态建设，努力营造优美的校园环境，以求让师生在“诗意栖居中走向理性澄明”（肖惠荣 8）。在一次采访中，傅修延表示“叙事学研究应该有温度”（唐伟胜 傅修延 3）。笔者认为这句话的意思就是学术研究应该有本土面向和实践面向。

物叙事在叙事学的学科发展史上掀开了“去人类中心主义”这一新的篇章，这一转场不仅仅是将研究对象由“人”转向“物”，更是挑战了西方叙事学以人为本的顶层设计。傅修延以深厚的学术素养，敏锐地跳出“人之界”，在去人类中心主义的场域内做叙事问题的思考：他开拓性地提出“文学是‘人学’，也是‘物学’”这一引领性的观点，并切实展开物叙事研究，包括考察物的叙事学功能、物与听觉叙事、物与生态批评等。傅修延的物叙事研究具有很强的创新性，其标志之一就是提出具有生产性的批评新话语（如听无、无听、原生态叙事等）。最为可贵的是，傅修延的学术创新基于本土资源，同时又对外来资源保持开放态度。他能从中国叙事传统中挖掘出具有现代意义的物叙事思想，表明我们的传统文化中蕴含着巨大的理论话语潜力，但同时也表明，我们需要思想敏锐、学贯中西的学者来挖掘这些潜力，并将其进行恰如其分的现代转换。很明显，傅修延就是这样一位学者。

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流动的叙事学及其媒介自觉——傅修延学术思想述评

Flowing Narratologies and Their Media: A Review of Fu Xiuyan's Academic Thoughts

张 锦 (Zhang Jin)

内容摘要: 本文尝试从我国上世纪 80 年代的“新启蒙”语境着手,从控制论、系统论、信息论作为上世纪 80 年代的技术话语和思想范式出发,从媒介变迁作为叙事形态、模式、权力关系转化的路径切入,总体述评傅修延的学术旅程。在以建立中国叙事学为核心的系统论工程中,傅修延经由对方法论和思维方式的讨论,经由把叙事学从西方狭义的结构主义流派中解放出来,经由视听嗅味觉等的感官转化,经由对后殖民主义范式的超越,把叙事学变成了跨媒介、多学科的对叙事模式的总体性讨论,变成了对中国文学传统的多感官的系统阅读和现代阐发,继而在“何以为人”的意义上建立了叙事学面对当下的本体论、认识论和伦理价值。

关键词: 中国叙事学; 媒介; 系统论; 控制论; 信息论

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Title: Flowing Narratologies and Their Media: A Review of Fu Xiuyan's Academic Thoughts

Abstract: This article attempts to start from the context of the “New Enlightenment” in China in the 1980s, from cybernetics, systems theory, and information theory as the technological discourses and ideological paradigms of the 1980s, and from media transformation of narrative forms, modes, and power relationships, to provide an overall review of Fu Xiuyan's academic journey. In order to reconstruct Chinese narratology based on the systems theory, Fu Xiuyan has built a comprehensive discussion of narrative patterns across media and multiple disciplines through liberating narratology from the narrow structuralist school of the West, through discussions on methodology, through sensory transformations of narrative modes among visual, auditory, olfactory, and gustatory senses, and through going beyond the postcolonial paradigm. He has also dedicated to a systematic reading and

modern interpretation of Chinese literary traditions through multiple senses. And then we can say he has established the ontological, epistemological, and ethical values of narratology in the context of “how to be a human being today.”

Keywords: Chinese narratology; media; systems theory; cybernetics; information theory

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引言：人文学者的直觉、自觉与历史感

傅修延在《中国叙事学》后记中说：“那时我还未料到西方叙事学会出现‘柳暗花明又一村’的局面，只是凭直觉感到不应在叙事学与结构主义之间画等号，我们中国人应该研究自己的叙事传统”（324）。一方面，经典叙事学只有在超越了结构主义这个特定的思潮和流派后才能从狭义走向广义，成为傅修延建立其自身学术系统——中国叙事学的关键依托，另一方面，这里的“直觉”显然不是生物学意义上的“本能”，而是一种捕捉生命与生存困境的无意识，它由生活的现实感、流动感和在场感以及个人的生命历程所造就的历史感综合而成，它是一种对生存议题的敏锐把握。傅修延的这种能力正如傅真所说：“但更令我惊奇的是他身上永恒的天真。我见过不计其数的中年人和老年人（……）他们坚信自己已经把握了人生和真理，说起话来自负又世故（……）然后我看看我爸，看着他透出好奇和敏感的眼睛，那里面是另一番天地”（486）。在今天这样一个理性、科技以及现代性都不断遭遇危机的世界中，“直觉”似乎超越了个人生命的范畴，成为我们重返文学史、重返思想史寻找新的历史与理论想象力的出发点。所以本文也期待在这样一个语境中回溯性地建立一种关于傅修延学术思想的叙述，并以此为支点，打开学术朝向未来的能动性和流动性。恰巧傅修延本人有一种非常清晰自觉的视角转化意识，正如他在《生态江西》“后记”中描述自己的开船经验一样：“现在的人大多数是‘陆行动物’，他们对事物的印象主要来自陆地上的观察，当时的我却和古人一样是在船上岸上的风景，因此我后来读古典诗文时，会有与别人不同的亲切感受”（144）。这种视角转化正是重新打开文学史的动力机制，重新开始对讲故事作为人的存在方式的本体论探索。

傅修延的阅读与研究范围非常广，中外文学史、天文地理、历史、哲学、政治、经济、新闻时事乃至科学技术，传统媒介以及新媒介，所以要确切地总结或综述他的学术领域是困难的，更何况他还有参与鄱阳湖经济区生态规划的实践经验，为了写作，笔者本来计划暂且将其学术思想划分为三个

主要的方向：一是叙事学的多年深耕，即他从叙事学内/外与中/外所做的突围实践；二是济慈研究；三是基于地方意识的生态批评、书写和实践。但是学者肖明华已经依据这个划分书写过傅修延：

一说起叙事学研究，学界当无人会否认傅修延乃顶尖学者的几人之一。而说起济慈研究时，一定也绕不开傅修延的开拓性研究。至于在江西当地，若要论及学人的赣文化等地方性知识生产及其对在地经济社会发展的贡献度，大概也不能否认傅修延的位置。（……）综观他在叙事学、济慈研究和赣文化研究等领域的成果，我们还可以发现，他始终有中国学术文化本位的自觉认同。（……）傅修延的学术研究始终都有“中国性”。（466-467）

这就使得笔者再这样书写变得非常重复和乏味，但是笔者与肖明华划分方法的这种一致性也绝不仅仅是一种巧合，而是真正阅读过傅修延或者受其启发过的学人的基本共识。故而，本文尝试从对傅修延相关论著的细读以及对这些论著与其写作的时代语境之间对话关系的辨析出发，寻找进入傅修延思想的其他方式。

一、方法论与“新启蒙”的语境

回到傅修延写作的年代和语境，是重新体认傅修延学术思想的重要起点。傅修延与同代学人一样是在1980年代的中国，在人文学科“方法论”大讨论和“新启蒙”的语境中开始学术生涯的。关于1980年代的“新启蒙”话语和语境，正如贺桂梅所说：“对五四启蒙传统的重新启用，可以说构成了80年代一个持续的文化实践过程。（……）70-80年代的转折期便成为重新高扬五四‘民主与科学’大旗的‘新时期’”（40-41）。对于这样的新时期与新启蒙，贺桂梅敏锐地观察到它与旧启蒙的不同是用“传统与现代”的范畴替代了“反帝反封建”的范畴。但“科学与民主”始终是二者之间的连续性所在。对此，汤一介在“启蒙在中国的艰难历程”中也有所论述，他首先高度肯定了“启蒙运动”对欧洲的意义：“这场运动不仅使西方的自然科学有了突破性的发展，而且为西方的社会科学奠定了基础”（5）。所以在自然科学与社会科学两方面，启蒙从来不是单向度发展的，它全面介入知识和人的实践，进而汤一介回顾了上世纪80年代中国的“新启蒙”运动：“在80年代（……）为唤起人们对争取科学、民主、自由的记忆而提出的‘新启蒙’，为政治体制改革提供思想上的支持。1988年出版了《新启蒙》的创刊号，在此创刊号中发表了元化同志的《为五四精神一辩》。他提出，我们必须接续‘五四’的科学民主精神”（7）。汤一介还在文中指出了中国新启蒙的方向：“在20世纪90年代，即将进入21世纪之际，由于中华民族正处在伟大的民族复

兴的过程之中，民族的复兴必须由民族文化的复兴来支撑，因此，‘国学热’的出现是必然的。那么，中国如何全面实现‘现代化’，而又可以避免陷入当前西方社会的困境（……）”（9）。这个新方向其实与贺桂梅的讨论一致，即如何重新放置“传统与现代”的关系，如何借由“国学热”让我们的传统成为现代，同时又期待这种中国式的现代化模式，不同于西方的现代化模式。

在上文关于“新启蒙”的讨论中，科学提供了一种体认社会和政治的方式。而今天又是一个科学力量被凸显的年代，是一个在技术意义上通用人工智能和 ChatGPT 大语言模型的国际力量争夺变得非常可见的年代。在以大语言模型和生成式人工智能为表征的科技争夺战中，科学再次成为了理解当下的关键词。在这样一个语境中，回溯“新启蒙”已降傅修延对中国叙事学的思考与建构，我们也许会从科技与人文互动、思想与时代共振的流动性中体认学术背后鲜活的学者个人印迹与时代话语变迁。傅修延曾在上世纪 80 年代做过很多关于方法论讨论的探索。这些探索既关系着“科学”与人文学科的关系，也关系着傅修延日后建立自己学术体系的实证性基础与路径。

在 1985 年的“思考与困惑：小议文学批评方法论的体系”中，对于文学批评作为一个学科如何能引入包容性的新方法，傅修延指出：

我称之为“综合方法”，它指的是系统分析方法、控制论方法、比较文学方法、数学方法以及文艺心理学方法等。这是一些大型化了的、具有较复杂的理论系统的方法，也就是说，我们在运用这些方法时，实际上也就在运用它们带来的理论。这些方法之所以出现在文学批评领域，主要是因为这个领域中存在着一些相应的复杂课题（例如，各民族文学的相互关系、文学作品或人物形象中的系统、文学形式演变中的控制机制以及读者心理在欣赏中所起的作用等）。（56-57）

这段话提示我们傅修延在上世纪 80 年代对自然科学的“老三论”——控制论、系统论、信息论的自觉使用，在具体讨论中国古代小说例如《红楼梦》《西游记》等中的人物和叙述动力控制问题时，这些方法始终是他进行格义和视角转化的重要基础。应用这些复杂的方法，正是傅修延把自己阅读的中国文学史以及外国文学史转化为系统的批评、信息化的批评和局部与整体的控制关系批评的框架机制。傅修延在这篇文章中还指出“马克思和恩格斯对科学中的新进展和科学方法，例如数学方法，从来就抱有极大的热情”（“思考与困惑” 57）。马克思主义的唯物论就是在西方的科学进展及其对人文阐释框架的重新转化语境中进行的。而在科学的问题中，也包含着民主的向度，傅修延不断强调使用新方法时不忘民族方法的独特性，及其对现代科技方法论的补充：“我完全承认古代文学批评的方法的长处恰恰是新方法的短处。那种凭直觉、灵感和颖悟能力进行的批评，把一切论证过程，亦即方法

的运用过程都隐没到了水下，露出水面的只有结论——那种用东方人颇为自豪的沉思与顿悟的本领得出的结论”（“思考与困惑” 58）。这种吸收前沿科学技术与传统的直觉顿悟，把古今中外方法融为一体的方法论自觉说明傅修延始终践行着一个知识分子的自我反思立场。

在上世纪 80 年代，重写文学史也伴随着方法论大讨论成为重要议题，如何重写文学史涉及方法论、经典化以及当代化的问题，傅修延主张文学史写作要将“历时性与共时性相结合的新架构”，历时性与共时性这对范畴明显具有索绪尔语言学和结构主义色彩，可以说当时傅修延在尝试用最新引入我国的人文科学方法来反思文学史的书写，他认为“肯定文学史的共时属性，无非是想说明，往昔的文学作品的审美属性和今天的读者的审美感受力，能够超越巨大的时空间隔，使得本应按时间进程排列的文学现象均匀播散在人们的心理平面上”（“文学史新架构刍议” 10）。傅修延的这个共时性论述非常契合法国结构主义时期关于信息论和语言学转向的论述，即当所有的文献，无论是历史的、文学的还是其他的，都是“符号”意义上的信息时，这种对文献的拉平和信息化，使得文学史的讨论变成了信息如何能够共时地呈现在当下的问题意识中，同时傅修延的描述又能让我们看到阐释学所描述的历史与当代的关系。这样就能有效克服历时性的时间线索与共时性的当下平面之间的关系难题，即文学史为什么不是记流水账，而是有意义的当下建构，正如福柯（Foucault）所说：“这是一门关于我们这个世界中流传着的所有书籍的一般科学：符号学（……）人们在时代的全部产品中考察文学，将文学置于其共时性的厚度中”（156）。

在论及文学史的历史背景时，傅修延说：“政治、宗教、哲学、科学和其它艺术门类也在影响着文学。这一切构成了一个大的系统-文化心理环境，文学既是其产物，又是其中一个子系统，文学作品的作者既受其影响，又反过来对其施加影响。这个文化心理环境，我们认为就是经济基础与文学之间的中介”（“文学史新架构刍议” 13）。在经济基础与文学上层建筑关系这种经典马克思主义式的讨论背后，这里我们还能更清楚地看到系统论，即整体与局部，系统与系统之间，大系统与子系统等控制论、系统论理论对傅修延思考的影响。傅修延也确曾引用过美国控制论专家维纳讨论小说中的人物设置：“此处的小标题模仿了控制论专家维纳的书名（《人有人的用处——控制论与社会》），不过此处的‘人’指‘人物’。以上的论述已经进入了这个问题的边缘：从叙述角度对人物的种种考察实际上透露了人物在叙述中各有各的用处”（“人物与叙述” 22）。可见，在方法论层面，傅修延通过叙事作品的人物塑造触及了最为前沿的理论议题。

而在“思维科学与文学批评”中，傅修延和黄颇指出：“文学批评方法学的研究，有必要把重点从方法本身转移到批评主体上来，文学批评思维学就是以这个重点转移为其理论支点的，在主体、中介和客体三者当中，文

学批评思维学把重点放在主体方面，而不是客体或中介方面（……）如今整个科学界，包括自然科学与社会科学，都觉察到了研究人类自身的重要性与迫切性。这就使得思维科学具有辉煌的发展前景和强烈的时代精神”（156-157）。傅修延在这里提出了关于主体、人类的客体化、作为生物学对象的人类自身、作为思维学和技术的人类自身的关键思考，即“何以为人”应体现为“研究人类自身的重要性与迫切性”。所以这里的问题不是简单的主体论或人学论，而是对人类的研究，这种对人类的研究本身就是与科学、生物学、解剖学乃至信息论、系统论和控制论直接相关的，傅修延正是在这个科学语境中回应方法论问题和时代议题，这个议题在今天同样显得尤为重要，尤其是在如何对待新技术和通用人工智能等问题时。与维纳相似的是，他们二人都关注技术中的“人”，或者说“人有什么用处”，当维纳抱怨说：“老实说，艺术家、文学家和科学家之所以创作，应当是受到这样一种不可抗拒的冲动所驱使：即使他们的工作没有报酬，他们也愿意付出代价来取得从事这项工作的机会的。但是（……）人们现在在取得较高学位和寻求一项可以看作文化方面的职业时，也许更多着眼于社会名气，而非着眼于任何深刻的创造冲动”（116）时，傅修延和黄颇也提到“人不是思维机器，批评者也不是装上了文学程序的电脑（……）他作为人所接受的信息量，大大超过了作为文学批评者所接受的信息量，因而他的兴趣、意志、情感、道德等非智力因素，将极大地影响他的文学批评思维活动”（“文学批评思维的情感因素”107）。由此可见，科学与人文的双重思想范畴始终是傅修延体认时代和建构中国叙事学的关键所在。

“文学批评的还原思维与系统思维”更为直接地区分了还原论与系统论：“还原思维和系统思维分别以还原论和系统论为其理论基础。从本质上区别，还原论认为一切事物都在处理不同作家的不同作品时，系统思维也要从组织性，即不可还原性出发，先对作品进行具体分析，然后从整体上把握它们的共同点和不同点”（傅修延 黄颇 63）。这样一种处理作品的方式，预示着传统的作家作品论式的还原思维将被系统论式的环境、世界、作者、作品、读者、历史、时代、信息、政治、经济综合式处理文学文本的方式所替代。同时，傅修延和黄颇也看到系统思维方法可能带来的问题与误解：“系统思维，可能会有人嗤之以鼻。究其原因有二，一则因为文学作为一种极为复杂的精神现象，不可能或目前还不可能数学化和定量化，所以人们认为系统论不可能横移到文学批评中来。殊不知系统论分三个层次，即系统理论、系统方法和系统技术，文学批评的系统思维虽然还不能运用系统技术，却可以并且已经有人运用系统理论和系统方法”（“文学批评的还原思维与系统思维”64）。所以，他清晰地辨析出我们使用系统论的有限性和有效性：

第一，文学批评的系统思维强调批评对象的不可还原性（……）第

二,文学批评的系统思维一定要坚持从整体上把握对象(……)第三,从思维方向上看,文学批评的系统思维者,目光闪烁不定,思路毫无拘束。文学批评系统思维必须同时处理来自不同思路的大量信息,批评者在目前无能利用数学工具的情况下,利用语言工具也能够处理大量的信息。 (“文学批评的还原思维与系统思维” 65)

不可还原、朝向批评目的的整体性是系统批评的关键,而信息论与数学的方法和语言的关系也在文学系统论的方法层面被傅修延带出,这与他今天讨论听觉转向、智人与讲故事的人、趣味叙事学、嗅觉叙事学等问题也都密切相关。而且在上世纪80年代傅修延和黄颇就敏感地指出:“系统思维是一种前途不可限量的思维方式(……)应该说,现在还不是总结文学批评系统思维的时候,因为一切还只是刚刚开始,系统思维的精彩表演还在后头”(“文学批评的还原思维与系统思维” 67)。这种直觉,这种从内部对技术的重视说明傅修延总能有效地在人文学科内部回应时代的技术议题。

在“试论文学叙述中人物的生成”中,傅修延说道:“人物何以在叙述中生成这个问题象苹果何以会落地一样简单而富于深意。对这个问题的回答有助于解释一个更大更有趣的问题。文学叙述为什么会具有‘可读解性’——生活在真实世界的人们怎么能够轻而易举地明白虚构世界里发生的事情”(19)。所以对人物生成过程的重新提问本身就是对在新的语境下意义如何重新生成的讨论。此时,人脑也被以一种计算机和信息论的方式打开:“人脑真是奇妙无比的电子计算机,它可以跨越序列、事件的鸿沟,将各处获得的印象分类整理,也可以穿透事件表面提取其暗含的人格特征”(19)。傅修延用人脑与电脑的关系讨论人物生成问题显然是与当时技术的新方式共振的,电脑是他所关注和思考的黑箱。

大概正是在上世纪80年代对方法论的讨论,对科学领域的系统论、控制论和信息论的自觉接受、反思和征用之后,傅修延发现必须重新回到文学实践,如果只是文艺学地讨论方法,难免流于空泛。故此,他一头扎进自己毕生最重要的事业,即以丰富的中外文学史和历史知识为依托建构中国叙事学的体系论说。

二、从狭义的西方叙事学到广义的中国叙事学

在科技与“新启蒙”的语境中重审上世纪80年代成为主流批评范式的新批评,即广义的形式主义,就会发现,它虽然有去政治化的层面,但是这种形式论也有一个清晰的科学语境,即把文学研究科学化,但科学不是泛泛而言,而是具体到控制论、系统论、信息论这些战后的科技理论被人文科学征用和反思的细节上。傅修延后来用“物理学钦羡”反思叙事学理论的科学维度,反过来证明,形式主义和结构主义文论在中国当时的新启蒙语境中延续

着科学与民主的脉络，新批评在中国的接受就不仅仅像我们今天所说的是一个非历史化和去政治化的过程，而是有着科学与民主的内在动力，这样傅修延作为一个学者在科学语境中的紧迫感就更加能清晰地被我们所把握。

从傅修延的研究中可以看到他对西方叙事学有非常深入的了解，他在上世纪80年代末在加拿大访学的时候也听过弗莱讲述神话学和叙事学的课程，而在访学前后他对法国的结构主义和叙事学又做过深入的阅读与研究，进而尝试应用这些“理论工具箱”重新讲述中国的叙事传统。

实际上，来自欧洲的结构主义叙事学是一个狭义的文学批评或小说批评概念，它是对弗洛伊德意义上资产阶级小说和大量有着清晰结构的民间故事的人称、叙事、结构、聚焦等的科学分析，它是在欧洲战后的科技与历史语境中对19世纪文学批评方法的反思、总结和超越。然而翻译到中国，在区分了结构主义与叙事学后，傅修延等学者把叙事学从狭义的结构主义叙事学改造为一种总体的和一般的方法论，进而借用这个一般性方法重新整合我们中国的叙事传统，尝试在中国建立系统的叙事理论并进行系统的文学阐释实践。他通过格雷马斯的语义矩阵对《红楼梦》《三国演义》《西游记》《水浒传》等所做的自由与非自由，正统与非正统的结构分析和大契约、小契约的框架阐释十分精彩，他对小说中人物的动力系统例如唐僧的取经意愿，以及对人物的角色系统的分析也都堪称经典，对距离控制、隐含作者等的论述也都有理有据。这些都具有系统论、控制论和信息论意义上的新方法论色彩，傅修延非常清晰、自觉地把握着这些理论如何进入文学理论领域的方式。在“从西方叙事学到中国叙事学”中，傅修延特别强调了复数的叙事学，可见叙事学早已超越了西方的地方性和狭义的时间和历史性而走向了可以进行多元建构的对象和方法领域：“‘叙事学’由单数(narratology)变为复数(narratologies)，指的是这门学科从单一的语言学模式中挣脱出来，在借鉴‘众多方法论和视角’中获得生机，从而开辟出柳暗花明又一村的新局面”(7)。将叙事学变为复数，就是尝试从学科、媒介、对象和方法内外让叙事学突围，从内部让叙事学从单一的语言学模式中解放出来，纳入各种方法，而从外部，傅修延则提出“叙事学与结构主义脱钩，意味着森严的门户壁垒就此被打破(……)而‘叙事学’与‘叙事研究’可以互换之说，则使叙事学由普通人仰之弥高的象牙塔变为不设门禁的市民广场——只要符合‘叙事研究’这个更为宽泛的定义，不管是理论研究、作品批评还是别的什么，统统都在‘准入’之列”(8)。这种脱钩和解放也以“后经典叙事学”中的“认知论转向”与“跨学科趋势”为标志把叙事学向整个人文学科重新打开。在傅修延看来：

将“叙事学”等同于“叙事研究”就像是去除了孙悟空头上的紧箍咒，海纳百川必然导致洪流滚滚与众声喧哗，以往人们只知道小说叙事之外还有影视叙事、戏剧叙事、历史叙事和新闻叙事，现在法律叙事、教育叙

事、医学叙事和社会学叙事等也来到了这个狂欢广场。还要看到的是，当下的叙事传播正面临从纸质媒体到电子媒体的急剧转换（……）有了叙事学这样的学科立交桥，不同领域的研究能够从交流中获得新的活力与生机。（“从西方叙事学到中国叙事学” 11）

不仅是从文学叙事泛化到各领域，而且从纸媒到电子媒介，傅修延看到了叙事学发展的大量前瞻性领域。在这个前瞻性中，傅修延很客观地放置了中国主体：“中国叙事学的‘现在进行时’，主要表现为从叙事角度梳理我们自身的文学传统。那么，为什么对叙事传统的研究会成为这方面的当务之急？我们认为这是由于它在一段时期内受到了外来影响的遮蔽。必须看到，中国小说的现代换型与近代以来西方小说的大量输入有直接关系”（“从西方叙事学到中国叙事学” 16），所以傅修延走向的是文化自信和创伤的治愈：“汉语地位的上升和中国叙事学的提出一样，反映了时代环境与社会心理的变化，一时代有一时代之学术，没有走向全面复兴的时代大潮，没有历史创伤的痊愈和文化自信的恢复，就不会有今天中国叙事学的登堂入室”（“从西方叙事学到中国叙事学” 22）。

80年代在西学的压力下，我们不仅会寻找自己的问题，而且迫切地要建立自己的叙述系统论，以使得自己的问题得以被看到和表述，面对这一紧迫的问题，在“试论中国早期叙述的欠发育问题”中，傅修延首先把叙述从欧洲叙事学的狭义思潮中抽取出来，对它做了一个普遍性的定义，即“文学叙述（下称叙述）就是讲故事，不管是用口还是用笔”（63），进而尝试将中国放入一个新的系统中讨论：“从这个概念出发，从《山海经》经唐代传奇到明清小说就成了一个整体——中国叙述。中国叙述始于神话，到唐代才蓬勃发育”（63）。对这个问题的讨论，傅修延认为非常必要，“因为中国叙述的许多本质特征就溯源于此”（63），这个问题主要体现为人物的行动意愿，即“愿望是故事的动力源泉，一个微不足道的愿望可能藉着因果律的力量发展壮大，最终成为驱动主要事件的强烈愿望”（65）。从中可见，傅修延在当时作为新一代知识分子改变现实，参与行动的强烈愿望。

在“人物与叙述：中国叙述学的一个课题”中，经过与西方的叙事传统的比较以及设立人物的衡量尺度，傅修延提出：“广大读者光凭直觉也已感到我们的人物画廊不比别人逊色，我们的目的是运用这些尺度量出那些不大容易看出来的东西”（19）。对于新的方法傅修延用化学元素周期表做了类比：“门捷列夫的元素周期表发明以后，人们据此找到了一些新的元素，因为元素周期表先从理论上确定了它们的存在。同理，运用上述尺度能够反躬自省出我们没有写出甚至是别人也未曾写出的新型人物”（20）。另外，对于故事动力的问题，先行的研究也比较少，傅修延用信息论的方式解释道：“故事动力有个传递问题，叙述本身也有个信息获得（观察）与信息传送

（叙述）的问题”（21）。把信息论放入作品的阐释，正是当时技术与文学研究相交织的体现，乐黛云先生在1980年代也曾写过“跨学科研究——以熵与文学为例”系统谈论物理熵和信息熵对于文学作品研究的意义，并从信息熵的高低分析了文学作品的信息传递问题，可见当时人们所共享的信息论语境。

在“中国叙述学开篇：四部古典小说新论”中，傅修延提出：

中国叙述学是与中国诗学并列平行的一个学科范畴（……）叙述即讲故事，作为一种传播带有虚构成分事件的行为，它存在于从上古神话到现代小说乃至当代影视故事片这一系列文学“通讯”之中。（……）和其他民族一样，我们的叙述也呈现出由口头到笔头再向“镜头”发展的轨迹，这也就是说，人类科技进步使叙述的媒介越来越丰富。但不管媒介如何转换，叙述作为讲故事这个实质一直未变。据此，可以看出小说等媒介只是叙述发展史中的一章，叙述在不同时代有不同的载体。（69）

傅修延在这里把叙事学从狭义的小说叙事的范畴解放出来，尝试建立叙事学与人类历史共在的多媒介方法意义。进而，用中国叙事文学精华《红楼梦》《水浒传》《三国演义》和《西游记》开刀，傅修延把四大名著以及其他的中国叙事文本从不同感知媒介和方法反复打开，阐释的效果历史和期待视野，即叙事学研究的当下性也被一并带入读者的视野。

三、叙事的媒介自觉

傅修延在讨论叙事学时，除了有突破狭义叙事学的学科、方法、对象和西方传统的自觉外，还有对叙事的技术与媒介维度的敏锐自觉。在“关于21世纪文学叙述的展望”中，他预言：“今后的故事消费者将有主动控制叙述的自由——在提供了无数选择机会的电脑文本上进行‘二度创作’，这种富于创造色彩的参预将极大地刺激故事的消费，推动叙事文学走向电子计算机时代的新繁荣”（72）。随着计算机成为文学新的物质性载体，故事的创作和消费方式都会因为媒介技术的变化而变化，但无论媒介如何变化，“消费格局的变化只会影响旧的消费方式，故事讲述人的地位却不会有本质上的变化。不管是电影、电视剧还是未来的电子故事，它们都需要有直接创作或由小说等其他作品改编而来的剧本，这一剧之‘本’的重要性是不言而喻的”（75），这就将故事本身、将故事的创造主体本身放在重要的位置上。傅修延不仅指出了故事对于任何媒介的重要性，而且指出，作家要做好的适应新媒介的准备：（1）“镜头意识”；（2）应该增强自己故事中的“可能性”；（3）“应该强化自己的经济意识”（75-76）。因为“当代科技，尤其是电脑技术的突飞猛进，使人们的生活发生了一系列深刻的变革，文学界的反应给人的印象是猝不及防穷于应付（……）”（77）对急剧变化的现实进行总体关注，正

是傅修延毕生的学术实践追求。

由于对媒介的自觉，傅修延把研究视角转向了听觉、味觉、嗅觉等各种媒介层面。文学作品还是那些文学作品，《红楼梦》还是《红楼梦》，但是它们就像“不可靠叙述”一样，被反复从不同媒介的维度重新打开，顿时读者才明白原来我们无法真正看到一部作品的全貌，而这种视而不见，但听而可见或闻而可见的现象，也恰恰说明了作品的丰富性和人的有限性。在“为什么麦克卢汉说中国人是‘听觉人’——中国文化的听觉传统及其对叙事的影响”中，傅修延尝试从听觉角度重新叙述中国的叙事传统。在一种新的听觉范式中，傅修延指出了近代中国思想史上的创伤心理：“将亚理士多德的结构观奉为正宗，对上世纪初年的中国学者来说还有时代风气的影响。胡适等人对明清小说的批评并非个例，许多未亲身在西方文化中浸润过的同时代人也觉得自己的小说不如人家，这种‘自我矮化’心理的产生，与鸦片战争以来国人的自信心连续遭受重创不无关系”（141）。进而傅修延说到小说标准的问题：

为什么胡适等人会将中国小说的结构形式视为正常之外的异常，他们衡量小说结构时使用的正反尺度，如“主干”与“碎锦”、“布局”与“散漫”、“系统”与“支蔓”等，明显采用了以线性秩序为正常、以非线性秩序为异常的西方标准。胡适对《红楼梦》中“翻来覆去”的做生日、起诗社表示“讨厌”，这“讨厌”二字透露出他的西式文学胃口已经无法容纳“缀段性”这样的中式结构。（141）

我们这种自晚清以来的矮化心理所对应的正是在全球史语境中，鸦片战争对国人自信的重创，而在这篇文章中傅修延反复用西装革履和长袍马褂来形容中西的不同，说明他已经超越了这种无意识创伤，尝试把近代欧洲小说及其叙事学标准历史化和地方化，为中国模式预留空间。所以他认为“审美品味的不同缘于文化的不同，文化没有美丑之分，讲故事的方式也无对错之别”（141-142），并将叙事的多元性和民主性放置在我们面前：“保持文化的多样性本是全球化的题中应有之义，中西文化包括感官文化在许多方面可以相辅相成，没有必要完全倒向一方”（143）。

在“听觉叙事研究的缘起、话语创新与范式转换”中，傅修延从听觉范式强调了中国叙事学获得历史性位置的方式和策略：“夜幕降临后周围的一切都变得陌生，洞穴中人不但需要点燃篝火以驱散心中的恐惧，还需要有一个众人都能听到的声音来维系共同的精神关注——这个声音讲述的故事可以五花八门，但不管讲述的是什么，都会让篝火边的人觉得自己和身边人拥有同样的价值观”（89）。当傅修延说“中国小说与口头叙事有更深的渊源”（“听觉叙事研究的缘起、话语创新与范式转换” 90）时，其实是在为新的时代语

境中“重听经典”的话语权力、媒介权力、技术权力寻找中国古典的依据，尝试在这一波媒介变革的大潮中确立中国传统和中国主体的出场机会。

四、超越后殖民主义范式的主体观

在“问题、目标和突破口：中西叙事传统比较研究谏论”中，傅修延直接批评了西方中心主义的话语模式：“然而某些自视甚高者在这种场合却忘了要注意‘政治正确’，西方之外的一切在其眼中属于‘地方性知识’，不能与西方叙事传统这种‘一般性知识’等量齐观。（……）如今情况已有所改善，但在归纳一般的叙事规律时，一些人依旧在自说自话，没有人会为自己的理论大厦缺少东方支柱感到遗憾和惭愧”（20）。西方把自己作为普遍性，而把别人作为地方性，普遍性生产知识的规则，地方性服从规则，傅修延的这个总结清晰地揭示出西方殖民主义者在后殖民时代的文化殖民逻辑，而对此的揭示和呈现，也反映出傅修延超越后殖民范式，尝试去除东方的地方性位置、生产“普遍性”知识的努力。所以，傅修延有意把经典叙事学作为一个地方性的知识提示出来，这样我们才能突破西方普遍性的规则与范式，重新图绘中国和世界的叙事传统：“上世纪60年代创立于法国的经典叙事学主要植根于西方的叙事传统，西方学者赖以立论的依据相对比较单薄，在此情况下，中国学者应该回过头来梳理自身所属的本土叙事传统，在一个更为广阔的时空背景上展示中西叙事传统各自的形成轨迹以及相互之间的冲突与激荡”（20）。超越把地方性建立为普遍性的西方话语逻辑之后，傅修延探寻的也正是中国如何以主体身份加入“世界”想象：“仅凭西方话语逻辑能否建构出具有普适性的叙事理论？全球化进程下的叙事学研究难道还能继续无视中国的叙事传统？对中西叙事传统作比较研究是否有利于叙事学成长为更具广泛基础的学科？为了让叙事学成长为歌德和马克思憧憬的更具‘世界文学’意味的学科，我们应该当仁不让地挑起中西叙事传统比较这副重担”（20）。这段话直接表达了中国叙事学的世界文学面向和承担。傅修延认为西方叙事传统主要是指18世纪以后的小说传统，但是中国叙事传统却突破了叙事学与小说之间的绑定关系，“中国的叙事传统如崇山峻岭般逶迤绵延了数千年，每个时代的每种文体都对故事讲述艺术做出了贡献，且不说史传、传奇、杂剧和章回小说等人所共知的叙事高峰，过去只从抒情角度看待的诗词歌赋（包括诗经、楚辞、汉赋、乐府和唐诗宋词等在内）中亦有无数的叙事佳作，它们合在一起构成了一座储藏量极为丰富的宝库”（21）。进而他对刘知几、张竹坡、毛氏父子、金圣叹的叙事和评点观一一举凡讨论，然后把中国的叙事传统接续在梁启超所提出的“欲新一国之民，不可不先新一国之小说”（22）这样的家国维度。对他来说，无论是鲁迅的《中国小说史略》、胡适的《中国章回小说考证》，还是王国维的《宋元戏曲史》、顾颉刚的中国民间传说研究，都把对中国叙事经验的重新叙述放置在疗救民生的高度。

在“一时代有一时代之叙事——关于中国叙事传统的形成与变革”中，傅修延则指出：

一时代有一时代之叙事，全球化为当今世界大势所趋，一个国家如果没有大批视野宏阔、胸怀天下的国民，不可能为其创造出良好的外部发展环境；而一国之民拥有什么样的视野与胸怀，是否对外部世界抱有强烈的好奇心与浓厚的兴趣，又与国民经常倾听什么样的故事不无关系。我们既要汲取叙事传统中蕴藏的智慧，又要探索能适应当前和未来形势的故事讲述方式，这样才能有利于中华民族在新时代的继续前行。（60）

在一个信息化时代，在信息充斥着人们的生活时，人们反而失去了讲故事的能力，傅修延向我们指出，只有有理想、有胸怀、有视野、有理念的个人和民族才能真正讲出故事来。傅修延之所以能从各种媒介、角度反复讲述中国故事，正在于他捕捉生命当下性的强烈意愿。中国的甲骨、青铜、《易经》《诗经》《山海经》《尚书》《春秋》《左传》、汉赋、唐传奇、民间传说、明清小说皆可在视听味嗅不同层面展开叙事研究。在“赋与中国叙事的演进”中，傅修延通过对荀况的《成相》到兴盛于汉代的文人赋再到唐宋以后的散文体叙事的探查，讨论了民间的韵诵传统对我国叙事文学的影响，说明了抒情和叙事之间的互动关系。傅修延总结道：首先，“叙事的演进不是简单的线性运动，应当用更复杂、更具穿透性的眼光来探寻各种文体的相互影响”（8）；其次，“叙事的演进是雅俗互动的结果，大众文艺传播往往比作家文学更具活力”（38）；第三，“以前人们总是沿着‘前小说’、早期小说这样的线索去寻找叙事演进的痕迹，实际上在叙事生长发育的关键时期，赋体文学曾经发挥了比其他文体更为重要的作用（……）”（38）。因此叙事传统不仅发生在高雅的文人书写中，还存在于活泼泼的民间生活中。

在“互文的魅力：四大民间传说新释”中傅修延专门对中国的四大民间传说进行叙事学分析，论文围绕着女性身份和状态的变化、跨越和故事讲述的互文见义展开：“人物的变化实际上是身份或状态的变化，发生这种变化为的是跨越形形色色的鸿沟：蛇精变形跨越了人妖之隔，祝英台易服跨越了男女之隔，孟姜女投海跨越了生死之隔，织女下嫁跨越了仙凡之隔——她与牛郎变星还跨越了动静（瞬间与永恒）之隔”（207）。通过反复与多角度讲述的故事，四大民间传说“由于比《罗密欧与朱丽叶》多了一个化蝶的结尾，梁祝传说把真爱不朽的思想表达得更加淋漓尽致：美好的事物不会真正死去，自由值得以生命为代价来换取，死亡在爱情面前显得是那样无能为力”（208）。虽然在这个层面上，梁祝的故事似乎超越了《罗密欧与朱丽叶》的悲剧性而获得了一种永恒的对爱的成全，但傅修延对爱与美好事物的理解，又不由得让

我们想起他对济慈“美即是真，真即是美”的解释，傅修延就是这么一个跨文化的存在者，这么一个将自我和他者有效地结合到自己人格结构中的学者：“爱情是诗中这‘美的事物’之一，但他着力歌颂的爱不局限于男女之间的爱情，而是对整个人类的爱”（“济慈美学思想初探”70）。

结语：叙事学的本体论——人是什么？

近年来，随着生成式人工智能和大语言模型等新媒介技术强势进入人文学科，“人是什么”这一问题再次成为人文学思考的焦点。在这样的技术语境中，在对作为“智人”的人类简史的重新讨论中，傅修延在“人类是“叙事人”吗？——何谓叙事、叙事何为与叙事学向何处去”中再次通过对叙事的本质和功能的认识和定义尝试在人机之争中，谈论人的主体性、意义和伦理位置问题。通过对“叙”和“事”二字连用的出处的考证，他指出“讲好中国故事”深层含义是“把中国的事情‘做好’，这在某种程度上回到了‘叙事’即‘行事’的本义。这一表述的激励作用，在于让人意识到我们正在创造自己的历史，正在用实际行动上演一幕幕时代大剧。正是这种把自己看成故事主人公的感觉，让‘叙事’与‘行事’这两条平行线发生交会”（87）。由于“叙事的主体是有伦理立场的人，这一点决定叙事必然体现或促成某种价值观。（……）不管是部落、族群还是邦国，所有‘想象的共同体’之建构与维系，都有故事讲述的一份功劳。人类能够战胜比自己强大的竞争对手，关键在于能够通过叙事推动相互间的精诚合作”（88），这种讨论超越了叙事学的范围，将叙事研究上升到对人之所以为人的探究。

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构建中国传统叙事谱系和自主理论话语——论傅修延的中国叙事学研究

Constructing Traditional Chinese Narrative Spectrum and Independent Theoretical Discourse: On Fu Xiuyan's Research into Chinese Narratology

倪爱珍 (Ni Aizhen)

内容摘要：傅修延的中国叙事学研究为世界叙事学发展和中国自主理论话语构建作出了重要贡献。一是构建中国传统叙事谱系。他从广义上界定叙事为“有秩序的记述”，研究对象涉及中国古代各种符号、体裁、载体、媒介的叙事形态及其经典文本，构建了中国传统叙事谱系，其谱系学方法和跨学科视野具有方法论意义。二是奠基中国物叙事研究。他梳理中国文化中的物论，提出“文学是‘人学’也是‘物学’”的观点，关注物的叙事性与文化构建，为物叙事研究提供了新思路、新范式。三是开创叙事本质研究先河。他从叙事的发生缘由、社会功能、构建逻辑、动力机制四个方面对人类叙事行为的本质特征进行深入探讨，将叙事学研究对象从具体的叙事文本扩展到抽象的叙事哲学，为未来叙事学发展打开了广阔空间。

关键词：傅修延；中国叙事传统；叙事谱系；物叙事；叙事本质

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Title: Constructing Traditional Chinese Narrative Spectrum and Independent Theoretical Discourse: On Fu Xiuyan's Research into Chinese Narratology

Abstract: Fu Xiuyan's research into Chinese narratology has made significant contributions to the development of global narratology and the construction of China's independent theoretical discourse. Firstly, he has constructed a traditional Chinese narrative spectrum. He defines narrative as "orderly narration," paving the way for the expansion of narratology research. His research objects involve various narrative forms and classic texts expressed through various symbols, genres, carriers, and media in ancient China. This has constructed a traditional Chinese narrative spectrum. His genealogical method and interdisciplinary perspective have

methodological significance. Secondly, he has laid the foundation for the study of Chinese object narratology. By sorting out the theories of objects in Chinese culture, he proposes that “literature is both ‘human studies’ and ‘object studies’.” focusing on the narrativity and cultural construction of objects, and providing new ideas and paradigms for object narratology research. Thirdly, he has pioneered the study of the essence of narrative. He deeply discusses the essential characteristics of human narrative behavior from four aspects: the origin of narrative, social function, construction logic and dynamic mechanism. He expands the research object of narratology from specific narrative texts to abstract narrative philosophy, which opens up a broad space for the future development of narratology.

Keywords: Fu Xiuyan; Chinese narrative tradition; narrative spectrum; object narrative; essence of narrative

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叙事学是当今学界的热点，它的跨国界、跨行业、跨学科、跨媒介的无限扩张势头，使有些人不禁发出了“叙事帝国主义”的感叹。在中国，“讲好中国故事”这一新时代话语又加速了“叙事”概念的流行。叙事学作为一种理论，兴起于 20 世纪 60 年代的法国，80 年代前后传入中国，一些学者敏锐地感知到它的巨大价值，并在其影响下研究中国叙事文本、构建中国叙事学。傅修延就是其中一位，而且是最早、最执着的一位。他早在 1983 年就发表了具有典型叙事学特征的论文“《项链》的链形结构”，其后推出一批有重大影响力的成果。叙事学权威参考书《劳特利奇叙事理论指南》（*The Routledge Companion to Narrative Theory*, 2023）评述他的研究成果时称其为“中国叙事学研究的先驱者之一”（Dawson and Mäkelä 263）。他的研究为世界叙事学发展和中国自主理论话语构建作出了重要贡献，本文着重探讨他在中国叙事传统、物叙事、叙事本质三个研究领域的成就与贡献。

一、构建中国传统叙事谱系

傅修延倡导和构建的“中国叙事学”是指以“中国叙事”为研究对象的学问。¹他认为做好这项工作的当务之急是总结中国叙事传统²，于是他身体力行，在 2015 年出版专著《中国叙事学》并推出英文版，在世界叙事学领域发出中国声音。四十余年来，他在中西比较的宏阔视野下研究“特别能显示中

1 参见傅修延：《中国叙事学》，北京：北京大学出版社，2015 年，第 16 页。

2 参见傅修延：“从西方叙事学到中国叙事学”，《中国比较文学》4（2014）：2-24。

国叙事谱系的对象”（傅修延，《中国叙事学》30），构建中国叙事学，其独特贡献主要体现在三个方面。

第一，汲取中华文化智慧界定“叙事”的内涵，为叙事学研究领域拓展铺平了道路。叙事学诞生于西方，西方学者对“叙事”的内涵进行了多种界定，如认为叙事在本质上是一种言辞表达的模式，而不是舞台上的语言表现或表演，或认为它是对两个真实或虚构事件所进行的表述，或认为它必须有一个连续性的主题，从而构成一个整体。¹中国学者欲研究叙事学，必须返回中国文化原点。傅修延从文字学、文献学角度对“叙”“事”“叙事”的出处、含义、发生演变历程等进行了详细的梳理考证后，基于古汉语中“叙”通“序”的本质，将“叙事”界定为“有秩序的记述”，暗含着按时间、空间分布的内蕴。²中西方学者对叙事内涵不同的界定，反映出不同的文化传统和研究目标，也预示着不同的研究路径和研究愿景。傅修延认为中国古代叙事对秩序的重视与礼制文化有关，所以“叙事”是一个极具古代中国特色的名称。³他对“叙事”的理解是广义的，抓住它的本质——“有秩序”，也即将事件按照某种秩序进行编排，而不像西方叙事学家那样受古希腊尤其是亚里士多德诗学的影响，刻意区分叙述符号是语言还是实体、事件是真实还是虚构、情节是完整还是碎片，为打破以小说为主要研究对象的经典叙事学研究模式、拓展叙事学研究领域铺平了道路。

第二，构建中国传统叙事谱系，描画出古代世界叙事地图中的中国面貌。人类的叙事能力不是天生的，而是后天习得的，是一个不断成长、成熟的渐进过程。傅修延对叙事所作的广义的界定——“有秩序的记述”，跳出了鲁迅、胡适、陈平原、浦安迪、杨义等开辟的通过小说总结中国叙事传统的研究模式，将任何“含事”——含有叙事意味的信息传递行为都纳入研究视野，从而构建了中国传统叙事谱系，勾勒了中国叙事传统形成与发展的面貌。叙事文本的主要组成要素有符号、体裁、载体、媒介等。

从叙事符号来看，傅修延将历史上的画事、说事、唱事、问事、铭事、感事、演事等文本都纳入研究范围，涉及语言、文字、图像、声音、体态等各种符号。从叙事体裁来看，他秉持“雅俗一体”“史稗无分”“韵散同举”“夷夏互证”等理念，研究囊括神话传说、卦爻歌辞、史传诸子、诗歌散文、歌谣谚语、寓言故事、纹饰图像、说唱表演、宗教歌舞等各种体裁。从叙事载体来看，他关注甲骨、青铜、简牍、书籍、瓷器、岩壁、声音、身体等。从叙事媒介来看，他不仅关注文本形成媒介，也关注文本传播媒介，坚持“三环连锁”，也

1 参见杰拉德·普林斯：《叙述学词典》，乔国强、李孝弟译，上海：上海译文出版社，2016年，第136-137页。

2 参见傅修延：《先秦叙事研究——关于中国叙事传统的形成》，北京：东方出版社，1999年，第10-13页。

3 参见傅修延：《先秦叙事研究——关于中国叙事传统的形成》，北京：东方出版社，1999年，第12页。

即将文本的生产、传播与消费三个环节看成一个首尾相扣的循环过程，在研究中注意三者之间的互动关系。研究先秦叙事形态时，他考虑这一时期人们还在摸索事件的叙述方法与载体，所以便将诉诸于各种传播媒介的叙事形态都纳入研究视野，并以传播形态为线索设置论述框架。¹ 因为任何叙事文本必须借助一定媒介才能形成和传播。媒介变化，必然会带来叙事内容和形式变化。

综合上述四个要素梳理傅修延研究过的叙事文本，可以发现，他的研究几乎涉及中国古代每个历史阶段的代表性文类及其代表性作品，从殷商甲骨、西周铭文、《易经》《诗经》《山海经》《尚书》《春秋》《左传》《战国策》、诸子之文、屈原之文、汉赋、《史记》、志怪志人小说、唐传奇、宋话本、元杂剧、明清小说，以及无法以历史阶段区分的太阳神话、民间传说（如“四大民间传说”、羽衣仙女传说、许逊传说）、民间艺术（如荀况的《成相》与说唱表演、屈原作品与楚地宗教歌舞）、汉字、陶瓷、丝巾、城市、声音、面容、饮食、诵读等相关叙事文本。从中可以看出，傅修延的叙事学研究，涉及中国古代各种符号、体裁、载体、媒介的叙事形态及其经典文本，由此构建了中国传统叙事谱系，揭示了中国叙事传统形成、发展、壮大的历程及其特点、规律，描画出了古代世界叙事地图中的中国面貌。

第三，运用谱系学方法方法和跨学科视野，为世界叙事学研究提供方法论启示。傅修延的中国叙事传统研究始终贯穿着谱系学方法和跨学科视野。他说：“叙事就是在这种传播媒介的不断丰富扩大中由幼稚走向成熟，越是成熟，它的‘家族特征’就越是显露得明显，所以恩格斯会说对人体解剖的认识有助于认识对猴体的解剖。‘家族特征’源于遗传基因，那些世代相因、不受时光与传播方式阻隔的特征因素，来自我们的叙事传统”（《先秦叙事研究》324-325）。他借此立场发掘了很多在中国叙事传统形成过程中起着重要作用却被忘却的叙事形态，揭示出它们与其他叙事形态之间的宗代关系，比如：西周青铜器上的纹饰和图形与后世之“文”存在诸多相同之处，构成了各类叙事的先导；荀况的《成相》与当时的说唱艺术之间关系紧密，是今日曲艺之祖。他敏锐地认识到民间艺术在中国叙事传统形成过程中的重要作用，认为大量存在于民间的“口舌传事”是最为重要的叙事活动，是一切其他叙事的来源和基础。² 20世纪末叙事学的一个重要转向是认知论转向，其先驱者莫妮卡·弗卢德尼克认为：“认知论范式转移产生了两个重要的方法论路线，第一条路线是专注于会话分析，将口头语言视为文学和书面叙事的原型”（转引自 詹姆斯·费伦 45）。中西两位学者在重视口头叙事研究上不谋而合。

1 参见 傅修延：《先秦叙事研究——关于中国叙事传统的形成》，北京：东方出版社，1999年，第6-9页。

2 参见 傅修延：《先秦叙事研究——关于中国叙事传统的形成》，北京：东方出版社，1999年，第70页。

叙事学研究中的谱系学方法必然关联着跨学科意识。这从福柯对谱系学的定义中即可看出：“谱系学，相对于把知识注册在专属科学权力的等级中的规划，是一项解放历史知识使其摆脱奴役的事业，也就是说它有能力对统一的、形式化的和科学的话语进行反抗和斗争”（10）。由此可见，谱系学研究必然会打破既有的知识体系分类，改变常规的研究思路。傅修延的中国叙事传统研究，突破文学领域，向神话学、宗教学、人类学、语言学、符号学、民俗学、地域文化等领域广泛征求工具与材料，为厘清中国传统叙事谱系和解释中国叙事传统的源起与形成奠定了基础。这种研究精神与近些年来西方后经典叙事学研究精神不谋而合，体现了他宏通的学术视野、敏锐的学术眼光和深厚的学术造诣。他研究听觉叙事的论文“物感与‘万物自生听’”发表于《中国社会科学》的“哲学栏目”，就鲜明地体现了这一点。

在傅修延所勾画的中国传统叙事谱系中，有很多文本从未被研究或被深入研究过，他以广阔的学术视野，融通古今中外的学术素养，彻底打破经典叙事学以小说研究为主业、形式至上主义立场、语言学思维、结构主义方法等种种藩篱，革新了人们对“叙事学”内涵的认识，拓展了叙事研究的广度和深度，丰富了叙事研究的路径和方法，为世界叙事学研究提供方法论启示。

二、奠基中国物叙事研究

20 世纪下半叶西方人文社科兴起“物转向”思潮，新世纪发展迅速，中国学者也加入研究。他们从中国文化出发，思考物性、物人关系、物的社会生命、物质动能等理论命题，与西方学者的研究形成互补、共进的关系。文学研究受其影响，也将目光从人转到长期以来被忽略的物。傅修延立足中国文化传统和现实语境，从叙事学角度展开对物的研究，为这一思潮增添了独特的风景。他不仅有宏观的理论研究，也有具体的文本分析，尤其是对具有中国特色的甲骨、青铜、陶瓷、食物、丝巾等物叙事的研究，以其独辟蹊径的研究方法和独创性的研究成果，奠定了中国物叙事研究的基础。

第一，梳理中国文化中的物论，为物叙事研究提供理论源泉。物与人的关系是哲学的最初话题、也是永恒话题之一，所以研究中国文学如何讲述物的故事，必须首先知道中国文化关于物的基本观点。傅修延的《物感与万物自生听》从物、人物、物感、“万物自生听”四个角度，从汉字的造字法、造词法以及各种典籍中发掘古人关于物与人关系的理念，并结合具体的文学作品进行了生动的阐释。¹通过他的研究，我们可以深刻地感受到中国文化中的万物平等、人物共生的生态思想，以及“听物”的独特言说方式。他对《山海经》的重新阐释不仅印证了这一观点，而且为叙事学研究带来新的启示。因为在人们的观念里，叙事学研究的是讲故事行为，而故事的核心元素是人物的行动，但《山海经》缺乏的恰恰是行动，全书主要的表述模式基本上可归

1 参见 傅修延：“物感与万物自生听”，《中国社会科学》6（2020）：26-48。

纳为“某处有某山，某山有（多）某物，某物有何形状与功用”，怎么能纳入叙事学研究视域呢？傅修延从纪昀编修《四库全书》时将《山海经》从史部地理类移入子部小说家类的举动中受到启发，认为后世之人将《山海经》奉为“小说之祖”的原因不是它“侈谈神怪，百无一真”的非真实性，而是它的叙事性。他抓住叙事行为产生的前提——“叙述者”来解读《山海经》，认为它的叙述者在叙述时没有把自己与自然界分开，没有自诩为“万物的灵长”，通篇渗透着“小我”处于“大我”之中的朴素思维，并用看似荒谬的故事反映了万物之间的依存和共生关系，所以他称之为“原生态叙事”，视其为今天生态叙事的滥觞。¹ 傅修延发掘梳理的中国文化中的物论，不仅为物叙事研究提供了理论源泉，也为经典作品的当代阐释提供了新的工具。

第二，提出“文学是‘人学’也是‘物学’”的观点，纠正叙事研究重“人”轻“物”的倾向。傅修延结合西方“物转向”思潮，从物叙事与意义世界形成角度提出该观点，其目的是将一向处于陪衬地位的物放到聚光灯下。他详察文学中物的符号意义及相关叙事（如拥有与匮乏、授受与分享、引发的诱惑与幻灭），指出中国思想重“心中之物”胜于“心外之物”，理解物叙事须置于此背景，方能把握中国叙事传统。² 他对文学作品中物的研究，不但提高了我们对物的叙事功能的认识，而且让我们对《红楼梦》《西游记》《了不起的盖茨比》等经典作品有了更深刻的理解，同时对物的力量、物人关系等哲学问题有了更深刻的领悟，这也是当前全球生态危机日益严重的形势下文学研究进行“物转向”的根本意义。学术研究与时代表频、与现实相应，是傅修延的学术研究永远充满活力的一个根本原因。他总是能从现实中发现学术命题，然后又总是能从叙事学角度给与独特的解读，在服务现实的同时推动叙事学的发展。比如，在流动性被视为全球化的标志和“现代性的核心”的当下³，他发现古今中外很多叙事作品都在讲述物的流动的故事，于是便研究叙事中物的流动及其对故事形态发育的贡献⁴。

第三，关注物的叙事性与文化构建，为物叙事研究提供新思路、新范式。傅修延研究物叙事，不仅研究文学怎么讲述物的故事，而且研究物怎么讲述文化的故事，也就是研究物的生产、使用、分配、流通、消费所蕴含的文化信息，研究因物产生的社会实践、符号系统、思维模式如何塑造了人们的认知模式和价值观念，从而构建起文化共同体。这种研究难度特别大，因为它需要作者

1 参见 傅修延：“试论《山海经》中的‘原生态叙事’”，《江西社会科学》8（2009）：46-60。

2 参见 傅修延：“文学是‘人学’也是‘物学’——物叙事与意义世界的形成”，《天津社会科学》5（2021）：161-173。

3 参见 Tim Cresswell, *On the Move: Mobility in the Western World*, London and New York: Routledge, 2006, 15.

4 参见 傅修延、丁玫：“论叙事中物的流动及其对故事形态的影响”，《北京师范大学学报（社会科学版）》5（2024）：13-24。

具有广博的知识、融会贯通的理解能力和高屋建瓴的学术视野。傅修延选取了最具中国特色的物——甲骨、青铜、陶瓷等研究，并借此进一步考察他一直关注的中国叙事传统形成问题。因为学界关于中国叙事传统的研究，主要集中在文学领域，但人的叙事思维是相通的，所以叙事传统不可能仅仅体现在语言符号文本中，也应该体现在声音、图像、实物、身体等各种符号文本中。两者的互鉴互证研究是中国叙事传统研究的必然补充，其独特性在于它不仅仅研究文字本身，还将其放到整个占卜过程去研究，将它看成人神之间的通讯，发掘它的叙事特点及其在中国叙事史上的意义。¹ 他的研究不仅拓展了中国传统叙事谱系的范围，而且为当今的物叙事研究提供了新思路，其后的青铜、陶瓷、丝巾、饮食等物研究也是如此，其特点可概括为两个方面。

一是发掘不同符号叙事的相通性，完善中国叙事传统研究。傅修延的青铜叙事研究，让人们看到了文学叙事与艺术叙事的高度相通性，两者共同促成了中国叙事传统的形成，比如他指出青铜器上的兽面纹造型的省略性与古代语言叙事的“省文寡事”原则相通，兽面纹空间布局的对称与平衡与不少繁体汉字的对称布局、古典文学中的骈偶手段的精神相一致等。² 《丝巾与中国文艺精神》将丝巾、丝帛、飘带、敦煌飞天等物体联系起来考察，梳理它在文学作品和社会生活中所引发的故事，提炼出其所蕴含的文化精神。³ 二是重视“原境”⁴分析，也即将物放置到它的生产、使用、分配、流通、消费的原初情境中分析它的文化内涵，充分展现“物”的文化聚焦功能。比如，青铜器在西周时期主要有两个功能。一是作为食器，傅修延从这点出发考察它与人们对食物的追求、对艺术的品味、对人生的态度的关系；二是作为礼器，傅修延据此考察它的造型、纹饰所隐含的古人的“畏”与“悦”的情感，指出青铜面具的发明让人们可以进入一个与真实的世界不同的“可能的世界”，开启了人类诉诸想象的虚构性叙事。⁵

三、开创叙事本质研究先河

从20世纪初到七八十年代，西方人文社会科学经历了一场重大的范式转换，那就是“语言论转向”。索绪尔开创的结构主义语言学成为当时的主流，叙事学就是在其启发下诞生的。这一阶段的叙事学被称为“经典叙事学”，其理论出发的是认为“从根本上来说，叙事学的目的就是做分类和描述工作。故

1 参见 傅修延：《先秦叙事研究——关于中国叙事传统的形成》，北京：东方出版社，1999年，第41-50页。

2 参见 傅修延：“试论青铜器上的‘前叙事’”，《江西社会科学》5（2008）：24-44。

3 参见 傅修延：“丝巾与中国文艺精神”，《江海学刊》4（2023）：239-245。

4 此为巫鸿提出的概念，“‘原境’的意义很广泛，可以是艺术品的文化、政治、社会 and 宗教的环境和氛围，也可以是其建筑、陈设或使用的具体环境。”参见 巫鸿：《美术史十议》，北京：生活·读书·新知三联书店，2008年，第34页。

5 参见 傅修延：“试论青铜器上的‘前叙事’”，《江西社会科学》5（2008）：24-44。

事结构分析关注的对象本来就不是按照叙事原则组织的符号系统表示什么意义，而是如何表达意义；再具体点说，关注符号系统是如何以叙事方式表达意义的”（转引自 詹姆斯·费伦 19）。这种脱离文学实践的研究范式最终使叙事学走进死胡同，不得不转型以求生存，后经典叙事学由此诞生。它从文本内走向文本外，关注文本的社会历史语境、修辞、读者认知等因素。在这个过程中，有一个问题始终没有得到关注，那就是叙事的本质，而这个问题又至关重要，因为它决定了叙事学存在的“合法性”及未来命运。斯科尔斯、费伦和凯洛格合著的《叙事的本质》¹，实际并没有研究叙事的本质，研究的还是人物、情节、视角等叙事学界经常讨论的话题，却表明他们意识到这一研究的必要。近些年来，傅修延广泛吸收其他学科的理论营养，密切关注各种叙事行为，在此基础上对叙事的本质进行了深入研究，为叙事学的蓬勃发展夯实了理论基础，为“叙事帝国主义”现象的发生提供了学理解释，其成果主要体现在以下四个方面。

第一，叙事的发生缘由。叙事为什么会发生？傅修延从认知科学、心理学、人类学等学科的研究中受到启发，认为这是由于“叙事承载认知”。²傅修延早在 2010 年发表的《元叙事与太阳神话》中就流露出了这个观点。从其分析可知，人类先民通过构建各种各样的故事来储存他们每天看到的太阳东升西落再东升的生活经验，这些故事深深地影响了他们对世界的认知，“以圆为贵”“循环论”，他在文中明确地说，元叙事对人类认知发育影响深远。³

第二，叙事的社会功能。傅修延认为，人文社会科学负有引领文明、关怀人类命运的重要使命，中国的叙事学应当吸取西方叙事学这方面的教训，将自己的经世致用传统进一步发扬光大。⁴正是这种强烈的现实关怀和历史使命感将他引向对叙事社会功能的思考。他受人类学的启发，将叙事研究的起点提到语言尚未正式形成之前，将灵长类动物之间的梳毛视为一种具有“前叙事”性质的沟通，将人类的八卦行为视为梳毛的升级版，认为其本质都是为了把有着共同世界观的人编织到了同一个社会网络之中，叙事具有群体维系的重要社会功能。⁵

第三，叙事的构建逻辑。叙事即按一定次序呈现一个事件，其背后的逻辑是什么？傅修延从认知心理学、控制论等理论中获得启示，认为是因果联系，它与人类在环境认知中的归因思维有关。他认为，因果链条不仅是拧紧

1 参见 罗伯特·斯科尔斯等：《叙事的本质》，于雷译，南京：南京大学出版社，2015 年。

2 参见 傅修延：“叙事的本质”，《天津社会科学》6（2024）：19-27。

3 参见 傅修延：“元叙事与太阳神话”，《江西社会科学》4（2010）：26-46。

4 参见 傅修延：“人类是‘叙事人’吗？——何谓叙事、叙事何为与叙事学向何处去”，《北京师范大学学报（社会科学版）》1（2023）：86-101。

5 参见 傅修延：“人类为什么要讲故事——从群体维系角度看叙事的功能与本质”，《天津社会科学》2（2018）：114-127。

事件间的联系、让故事变得越来越长的必要条件，而且有促进叙事发育之功。¹

第四，叙事的动力机制。叙事是一种通讯，故事的形成和传播都需要动力。傅修延在1993年出版的《讲故事的奥秘》中就该问题进行了研究，认为有两个因素值得重视，即触媒事件和人物愿望，后者尤为重要。²在最近的研究中，他引入了人类经济行为研究专家提出的“动物精神”³概念，指出文学作品中存在大量以一己之意愿驱动故事发展的人物，其意愿的主要来源就是动物精神；动物精神不光作用于故事形成，也是故事传播的重要推手。⁴

傅修延围绕叙事的发生缘由、社会功能、构建逻辑、动力机制四个方面对人类叙事行为的本质特征进行了探讨，将叙事学研究对象从具体的叙事文本扩展到抽象的叙事哲学，探讨叙事与人之所以为人的关系，构建中国自主的理论话语，不仅在世界叙事学发展史上具有开拓性贡献，而且为未来叙事学研究打开了广阔空间，同时也给后学者提供了重要启示。

一是正确看待叙事诗学与叙事批评的关系，重视理论与实践的相互促进作用。叙事的本质是一个高度抽象性的话题，但是傅修延却把它讲得通俗易懂，这是因为他的理论不是凭空而来的，而是建立对大量叙事作品的阅读和叙事现象的观察的基础上。这正体现了他一贯秉持的学术理想，那就是理论与实践相结合，如其所言：“结构主义时期的叙事学之所以脱离实际，在于西方一些叙事学家只发展理论思维，忽视了叙事学还是一门需要紧密联系实际的经验性学科”（“人类是‘叙事人’吗？”98）。

二是从维持文明进步和提升社会福祉高度认识叙事学的意义，做有温度、有力量的研究。从傅修延的研究中可知，叙事具有承载认知、维系群体的重要功能，能够形成影响社会发展的“不可思议之力”，在人类演化和文明发展史上具有不可替代的作用，所以他说，把叙事学当作一种普遍适用的方法还是立意过低，如前所论，叙事既然使人类成为高于地球上一切生灵的文明物种，那么应当从维持文明进步和提升社会福祉这样的高度，来思考叙事学今后的发展路径。⁵

傅修延的叙事学研究始终贯穿着强烈的现实关怀和人文情怀，“我认为做学问需要接地气，躲在象牙塔内读几本书成不了气候，应该把自己的思考与脚下的大地连接起来（……）我始终相信文化人存在的意义就是延续自身所属的文化”（萧惠荣9）。叙事学研究者应该怀着一份使命感、责任感，去

1 参见傅修延：“叙事的本质”，《天津社会科学》6（2024）：27-34。

2 参见傅修延：《讲故事的奥秘——文学叙述论》，南昌：百花洲文艺出版社，1993年，第97-98页。

3 参见乔治·阿克洛夫、罗伯特·希勒：《动物精神：人类心理活动如何驱动经济、影响全球资本市场》，黄志强等译，北京：中信出版社，2016年，第5页。

4 参见傅修延：“叙事的本质”，《天津社会科学》6（2024）：34-41。

5 参见傅修延：“人类是‘叙事人’吗？——何谓叙事、叙事何为与叙事学向何处去”，《北京师范大学学报（社会科学版）》1（2023）：86-101。

做有温度、有力量的研究,要将研究对象拓展到人类生活中的各种叙事行为,要打破对西方理论和话语的膜拜之心和依赖思维,立足中国实践,解决中国问题,在世界叙事学发展中发出中国声音,贡献中国力量。

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傅修延学术研究的跨学科特色论析

On Interdisciplinary Characteristics of Fu Xiuyan's Academic Research

龙迪勇 (Long Diyong)

内容摘要: 傅修延的学术道路始于 20 世纪 70 年代末的济慈研究, 之后兴趣逐渐转向叙事学研究, 同时还将研究江西本土的文化当作自己的使命, 坚韧而执着地进行“赣鄱文化”的研究。他有着全球性的视野和比较眼光, 在研究中尝试突破以往的研究对象、治学格局, 打通中外, 融会古今, 广泛使用人类学、宗教学、语言学、符号学、民俗学、社会学等其他学科理论, 并首次提出听觉叙事的概念并初步建构起了理论体系, 为叙事学研究提供了新的视角及更为合理的理论解释。他穿梭在不同的研究领域, 但始终秉持“以我为主, 为我所用”的基本立场, 尝试突破学科界限, 念兹在兹地思考各种可能性。无论是最初对济慈书信的翻译及研究、对赣鄱文化的关注及践行, 还是多年来开展的中西叙事比较研究, 傅修延始终坚持本土立场, 在研究中保持一以贯之的中国立场及对现实的强烈关切。

关键词: 济慈研究; 赣鄱文化; 听觉叙事; 中国叙事学; 跨学科特色

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Title: On Interdisciplinary Characteristics of Fu Xiuyan's Academic Research

Abstract: Fu Xiuyan's academic career began in the late 1970s with his research on John Keats. His interests gradually shifted toward narratology, while he also embraced the mission of studying Jiangxi's local culture, persistently and diligently dedicating himself to the exploration of "Ganpo Culture." Possessing a global vision and comparative perspective, Fu Xiuyan sought to transcend traditional research subjects and academic paradigms in his work. He bridged Chinese and Western scholarship, integrated ancient and modern insights, and extensively employed theories from anthropology, religious studies, linguistics, semiotics, folklore, sociology, and other disciplines. He pioneered the concept of auditory narrative and established its initial theoretical framework, offering new perspectives and

more coherent theoretical explanations for narratological studies. While navigating diverse research fields, Fu Xiuyan consistently adhered to a principle of keeping Chinese context central while adopting global perspectives. He endeavored to break disciplinary boundaries and remained deeply engaged in exploring diverse scholarly possibilities. Whether through his early translation and analysis of Keats' letters, his enduring commitment to Ganpo Culture, or his decades-long comparative studies of Chinese and Western narratives, Fu Xiuyan has steadfastly maintained a local standpoint. His research consistently reflects a distinctly Chinese perspective and a strong commitment to practical concerns.

Keywords: Keats Studies; Gan-Po Culture; Auditory Narrative; Chinese Narratology; Interdisciplinary Characteristics

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20 世纪 60 年代末，受结构主义思潮的影响，叙事学作为一门学科在法国正式诞生。自诞生以来，叙事学虽然也曾走入低谷，但总体上却凭借自身的理论活力和学科渗透力，呈现出了一种欣欣向荣、蓬勃发展的态势。就拿我国的情况来说，自新时期以来，叙事理论一经引进，就开始成为文学研究中的热点：不仅各种相关专著和译著相继出版，而且在各类学术期刊上发表的相关论文的数量也位居前列。近年来，不仅文学叙事研究正在向纵深发展，许多学者开始以跨学科、跨媒介的视野和方法，对叙事学进行更为宏阔、更深层次的研究，傅修延教授即是其中的先行者和佼佼者。

我本人自多年前进入叙事学领域，从“空间叙事研究”到之后的“跨媒介叙事研究”，也一直尝试着从各学科及各艺术门类之间的跨界现象出发，力图对叙事学研究探索新的可能性¹，其中就多次受到傅修延教授的勉励并深受其研究的启发。作为国内最早关注叙事学研究的学者之一，傅修延的叙事学研究一直受到国内外比较诗学与叙事学界人士的重视。多年来他一直致力于思考中国叙事传统的发生与形成，带着跨学科的宏阔视野来看待中国的叙事传统，在研究中尝试突破以往的研究对象、治学格局，打通中外、融会古今，广泛使用人类学、语言学、符号学、民俗学、社会学等其他学科理论，并首次提出听觉叙事的概念并初步建构起了理论体系，为叙事学研究提供了新的视角及更为合理的阐释。值得注意的是，这种多维视野和跨学科研究方法并不仅限于他的叙事学研究，而是始终贯穿于他的济慈研究、赣鄱文化等研究领域之中。本文拟综合考察这些研究领域，探讨傅修延学术研究的跨学科特色。

1 关于本人的空间叙事研究和跨媒介叙事研究，可参见龙迪勇，《空间叙事学》（北京：生活·读书·新知三联书店，2015 年）和《跨媒介叙事研究》（成都：四川大学出版社，2024 年）。

一、傅修延学术研究的跨学科底色

傅修延长期从事比较文学、叙事学与赣鄱文化等领域的学术研究，跨学科是其学术研究的底色。他本科阶段学的是外语，之后考入中文系攻读比较文学与世界文学硕士学位，后又在工作之余攻读中国古代文学专业的博士学位。他曾先后两次出国访学，向西方学习又回到东方，始终立足于本土，通过对西方理论的借鉴及融会贯通，借鉴跨学科的研究方法，建构适应本民族的文学理论，尤其是适应中国叙事传统的叙事学理论。

傅修延的学术道路始于 20 世纪 70 年代末的济慈研究，用他的话说济慈是他学术研究上的“初恋”。¹ 他的硕士论文“济慈美学思想初探”是他撰写的第一篇学术论文，也是从事济慈研究的发轫之作，该文后来收入了《中国人文社会科学硕士博士文库》。20 世纪 80 年代，他发表了一批关于济慈的研究文章，如“美的赞歌——读济慈的几首诗”²，以及“‘亘古奇才未尽年’——论济慈与李贺”、“在美女蛇的故事后面——〈拉米亚〉与〈白蛇传〉”³等，这些论文标志着他从事济慈研究的起步阶段。⁴ 由于对济慈的情有独钟，促使了他翻译出版了《济慈书信集》（*John Keats' letters*, 2002）一书。⁵ 这是国内第一部完整的济慈书信全译，他在该书“译序”中写道：“爱是不能忘记的，学术研究上的‘初恋’同样铭心刻骨，将济慈书信译出来奉献给自己的同胞是我多年来梦寐以求的愿望”（《济慈书信集·译序》11）。2006 年，他申报的国家社科基金项目“济慈诗歌与诗论的现代价值”获准立项，为了做好此项研究，他在国家留学基金委的资助下，于 2006-2007 年赴英国伦敦国王学院英语系做访问研究。这段访学经历及其对济慈充分的前期研究，为他之后的《济慈评传》奠定了可靠的学术基础。济慈传记在西方有多种版本，但出自于中国人笔下的这还是第一部，为此他查阅了大量资料，挑选出最能反映济慈精神面貌的事件进行叙述，在研究中还特别注意从中西比较诗学的角度进行阐发。这部传记也为课题“济慈诗歌与诗论的现代价值”的最终完成铺平了道路，他于 2014 年出版的《济慈诗歌与诗论的现代价值》为这一课题的

1 参见 林瑛：“文学研究的中西比较自觉意识与文化自信傅修延教授访谈录”，《英美文学研究论丛》1（2019）：9。

2 参见 傅修延：“美的赞歌——读济慈的几首诗”，《世界文学名著选评》（第五集），江西省外国文学学会编，南昌：江西人民出版社，1985 年，第 9-20 页。

3 参见 傅修延：“‘亘古奇才未尽年’——论济慈与李贺”“在美女蛇的故事后面——《拉米亚》与《白蛇传》”，《比较文学三百篇》，智量主编，上海：上海文艺出版社，1990 年，第 661-665 页，第 701-704 页。

4 参见 傅修延：“引言”，《济慈诗歌与诗论的现代价值》，北京：北京大学出版社，2014 年，第 7 页。

5 参见 傅修延：“译序”，《济慈书信集》，约翰·济慈著，傅修延译，北京：东方出版社，2002 年，第 11 页。

结项成果。¹截至这本书出版之前，国内尚无系统的济慈研究专著问世，后来这本书被成功选入“国家哲学社会科学成果文库”。值得注意的是，在这部专著中，傅修延提到其研究中恪守的几个原则，其中一条是从谱系学角度观察有影响人物对济慈观点的“跟进”与“接着讲”，其次还要注意济慈的精神馈赠属于全世界，我们的目光不能只投向西方，在研究中应注意运用中西比较诗学的方法，必要时联系中国当前的实际。²这种具有明显跨文化、跨学科意识的研究方法，与他彼时的叙事学研究方法紧密相关。

傅修延关于叙事学方面的研究正式开始于20世纪90年代初，而他对叙事学产生兴趣其实在20世纪80年代赴多伦多大学访学时就已经开始了。他在多伦多大学比较文学中心的卢波米尔·多罗泽尔教授那里第一次听到了“Narratology”（叙事学）这个词，在一次听完多罗泽尔教授情绪激昂的讲课后，他萌发了写作《讲故事的奥秘——文学叙述论》（1993）这本书的愿望。在这本书中，他既对接了西方的叙事学理论，又从中国文学的创作实际与批评实践出发，思考了“叙述之所以为叙述”的许多根本性问题。在具体讨论中，他还注意到以跨学科方法来研究“叙述”，比如在第九章中他提出要像看待音乐那样看待叙述，在第十章中还将叙述与数学挂钩，大胆地打破学科壁垒，突出艺术之围。在他看来，人类的叙述活动永无休止，这本书只不过探讨了一些最基本的叙述问题，还有更多更复杂的问题等待着他去“叙述”。³而接下来的出国访学经历，让他亲眼看到了中西文化之间的巨大鸿沟。他认识到西方理论不能完全解释西方之外的许多现象，因而开始反思自己跟在别人后面亦步亦趋的行为。就此意义而言，这本书成了他“立此存照”——展示自己学术转向的一个路标，从那以后他不再满足于对域外理论的翻译介绍，而是将其作为研究中国叙事传统的参照系统。⁴在国外异质文化的包围中，他意识到就像自己的肠胃很难消化牛奶面包一样，真正对自己胃口的还是本民族的文化。这种感觉后来一直伴随着他，并未因他的回国而消失，相反却与日俱增导致了其学术阵地的“本土化”。⁵他花了大量时间补习国学，增强古代文论方面的修养，取得了中国古代文学博士学位，并近乎执拗地选择了离原来专业最为遥远的先秦叙事作为其学位论文题目。其《先秦叙事研究——关于中国叙事传统的形成》（1999）一书大大突破了文学的范畴，致力于研究先

1 参见傅修延：“引言”，《济慈诗歌与诗论的现代价值》，北京：北京大学出版社，2014年，第8页。

2 参见傅修延：《济慈诗歌与诗论的现代价值》，北京：北京大学出版社，2014年，第8页。

3 参见傅修延：“后记”，《讲故事的奥秘——文学叙述论》，南昌：百花洲文艺出版社，1993年，第284页。

4 参见傅修延：“修订版后记”，《讲故事的奥秘——文学叙述论》，南昌：二十一世纪出版社，2020年，第294-295页。

5 参见傅修延：“后记”，《先秦叙事研究——关于中国叙事传统的形成》，北京：东方出版社，1999年，第321-322页。

秦时期诉诸于各种传播媒介的叙事形态，“雅俗一体”“史稗不分”“韵散同举”“三环（文学的生产、传播、消费）连锁”。¹除了叙事理论之外，他还借鉴了一些发生学的观点，认为叙事传统的形成是一个动态过程，在研究中带一点生物进化的眼光，有助于更清晰地勾勒出叙事传统的形成脉络。²

作为“文革”后国内首批培养的外国文学研究生，傅修延对西方文论也有较早的涉猎，对文本主义文论尤为关注。他之前出版的《讲故事的奥秘——文学叙述论》《叙事：意义与策略》（1999）等书，构成了他之后的《文本主义文论系统研究》（2004）一书西学部分的工作基础。³他在这本书中提出，在讨论文本学或文本理论时，不能将视野局限于西方一隅，只有海纳百川、兼顾中外，从跨学科的视野，将东西方文论都当作理论建构的基础资源，我们才有可能建构起新世纪的文本学。⁴

也正是在世纪轮替之时，部分中国学者将经典叙事学向后经典叙事学的转变介绍到中国，国内慢慢形成了一股叙事学研究的热潮。进入21世纪，傅修延又陆续发表了“赋与中国叙事的演进”“试论青铜器上的‘前叙事’”“听觉叙事初探”等文章，从不同角度对中国叙事学做了具体探索，这些成果大多以论文形式发表在《江西社会科学》的“叙事学专栏”上。⁵随着这些“材料”的日积月累，他于2015年出版了《中国叙事学》这部浸透着他多年心血的著作，并按照“初始篇”“器物篇”“经典篇”“视听篇”和“乡土篇”这样的框架将它们纳入该书的整体框架中。与以往关于中国叙事学的研究不同，傅修延没有只将精力集中在小说、戏剧等文类上，而是带着跨文类、跨学科的宏通视野，来看待并梳理、发掘中国的叙事传统。为此，他提出了探寻中国叙事学研究的创新之途，其中特别强调了“调查范围的扩大”，即叙事并非只诉诸语言文字这一种媒介，如果一味依赖以语言文字为媒介的文本，忽略汇入叙事长河的其他源头活水，我们的研究方法就无法达到应有的深度与广度。除此之外，他还提倡要注意“研究范式的转换”，即突破学科界限，将叙事学与其他学科的理论相糅合，从人类学、宗教学、符号学、民俗学和社会学等

1 参见 傅修延：《先秦叙事研究——关于中国叙事传统的形成》，北京：东方出版社，1999年，第7-8页。

2 参见 傅修延：《先秦叙事研究——关于中国叙事传统的形成》，北京：东方出版社，1999年，第7页。

3 参见 龙迪勇：“文本与文本主义文论——读傅修延《文本学——文本主义文论系统研究》”，《创作评谭》2（2005）：49-52。

4 参见 傅修延：“绪论”，《文本学——文本主义文论系统研究》，北京：北京大学出版社，2004年，第2-3页。

5 参见 傅修延：“赋与中国叙事的演进”，《江西社会科学》9（2007）：26-38；傅修延：“试论青铜器上的‘前叙事’”，《江西社会科学》5（2008）：23-44；傅修延：“元叙事与太阳神话”，《江西社会科学》4（2010）：26-46；傅修延：“听觉叙事初探”，《江西社会科学》2（2013）：220-231；傅修延：“互文的魅力：四大民间传说新释”，《江西社会科学》4（2014）：205-214。

相关领域广泛征求工具与材料,以探明和捋清中国叙事的谱系。¹值得注意的是,他还尝试从听觉维度重新审视中国叙事传统,以“听觉叙事”响应文学内部因听觉缺位而郁积的理论诉求。而关于听觉的兴趣,其实在他博士论文时就已经产生了,他还在论文中单列了“声音与音乐”一章。²之后,他更是将“听觉叙事”单独拈出来做专题研究,并于2013年获得了国家社科基金重点项目“听觉叙事研究”立项。经过近十年的学术探索,傅修延将其关于听觉叙事的所思所想整理成《听觉叙事研究》(2021),从声学、语言学、文学符号学等角度,探讨听觉于人类历史上在交流、感知和文艺发展方面所起到的不可替代的作用。在该书“自序”中,傅修延指出:叙事一开始便与听觉结下不解之缘,而这是他从人类学那里得到的启发——在早期人类的日常生活中,主要靠讲故事维系群体、营造群体感和认同感。他还引用城市社会学家亨利·列斐伏尔(Henri Lefebvre)“恢复视觉之外的感觉”以及英国作家弗吉尼亚·伍尔夫(Adeline Virginia Woolf)等人对听觉空间的开拓性叙述,指出听觉叙事研究的一个重要意义在于让人的感官都恢复原初的敏感。在文学意义上则是通过弘扬听觉的艺术价值,针砭文学研究的“失聪”痼疾。³在其后的《中西叙事传统比较研究》(共七卷)中,傅修延更是首次以感官倚重角度入手来阐述中西叙事传统的不同,认为中西叙事的不同归根到底是因为中西文化在视觉和听觉上各有倚重。他引用人类学的观点,认为孤立地研究一个民族的神话是没有意义的,要想真正懂得中华民族的叙事传统,就要将其与域外的叙事传统相互映发。⁴在具体的研究中,他突破了以小说为叙事学主业的路径依赖,将考察对象范围扩大,以跨学科的研究方法把握中西叙事特征及差异,试图建立真正意义上的中国叙事学体系。

生态叙事也是傅教授学术研究中的一个重要方面,而这与他的“赣鄱文化”情结紧密相关。作为一名土生土长的江西人,傅修延一直在为赣文化的振兴奉献自己的力量。他曾先后主编了《赣文化:从大京九走向二十一世纪》(与邹道文共同主编,1997)、《江西文化》(与卢普玲共同主编,2018),出版《赣文化论稿:留住我们的集体记忆》(2004)、《生态江西读本》(2019)等专著。⁵除此之外,他曾经在多篇文章中论述了生态叙事和生态文化的相关问题,结合传播学、生态学、文化人类学等学科,对人与自然关系的文化本质

1 参见傅修延:《中国叙事学》,北京:北京大学出版社,2015年。

2 参见傅修延:“后记”,《听觉叙事研究》,北京:北京大学出版社,2021年,第423-424页。

3 参见傅修延:《听觉叙事研究》,北京:北京大学出版社,2021年。

4 参见傅修延:“总序”,刘亚律等:《中西叙事传统比较研究》(关键词卷),傅修延总主编,北京:北京大学出版社,2024年,第1-15页。

5 参见邹道文、傅修延主编:《赣文化:从大京九走向二十一世纪》,南昌:江西教育出版社,1997年;傅修延、普玲编:《江西文化》,南昌:江西人民出版社,2018年;傅修延:《赣文化论稿:留住我们的集体记忆》,南昌:江西教育出版社,2004年;傅修延:《生态江西读本》,南昌:二十一世纪出版社,2019年。

问题进行了探讨。他主讲的“赣鄱文化的生态智慧”课程，2014年被批准为“中国大学视频公开课”，根据其讲稿整理而成的《生态江西读本》于2019年出版发行，该书围绕人与自然的关系考察历史上赣鄱文化的发展，揭示其中蕴含的生态思想及其对当今生态文明建设的启示。¹不仅如此，傅修延还将自己的生态理念付诸行动和实践。他提出的“关于建议申报鄱阳湖生态经济试验区的研究报告”，被国务院正式批准为鄱阳湖生态经济区规划，成为江西省有史以来第一个上升到国家层面的地区发展战略。²可以说，傅修延在学术研究的同时，也一步一步地参与并见证着赣鄱文化的实践提升的发展进程。

综观傅修延的学术之路，其学术研究始于济慈，随着时间的流逝，兴趣逐渐转向叙事学研究。在此过程中他从未忘记自己的学术“初恋”，从未停止搜集有关济慈的中英文资料，同时还将研究江西本土的文化当作自己的使命，坚韧而执着地进行着“赣鄱文化”的研究。在研究济慈的时候，他尝试运用叙事学理论阐释济慈诗歌的成就，在讲述济慈对自然的聆听时，还列举了与老家铅山有关的蛙声蝉鸣。³在叙事研究中，他多次对赣鄱文化的地域文化进行符号叙事学解读，还将此类文章收入著作《中国叙事学》中。⁴他穿梭在不同的研究领域，又将这些相对独立的领域互相联结，从发生学、传播学、人类学等学科领域，尝试突破学科界限，念兹在兹地思考着学术研究的各种可能性。不难看出，“跨学科”确实是傅修延学术研究的底色。

二、傅修延叙事学研究的跨学科路径

尽管傅修延有着多方面的学术实践，但他最主要的研究领域还是叙事学；傅修延学术研究的跨学科特色，亦最充分地体现在他对叙事学的研究之中。下面，我们来探讨其叙事学研究的跨学科路径。

傅修延在《中国叙事学》一书中，提到叙事学复兴的标志性特征之一是其“跨学科趋势”。所谓跨学科趋势，不能简单理解为叙事学跨越自己的疆界“入侵”其他学科，而是如韦勒克和沃伦所言，要看到叙事是一种“跨文类现象”。讲故事的人过去主要集中在文学领域，如今各个领域都有优秀的故事讲述人涌现出来，最会讲故事的人甚至可能还在文学领域。万变不离其宗，只有紧紧抓住“讲故事”这条主线，才有可能穿透既有的学科门类壁垒，还原出叙事传统的谱系。一味地拘泥于文学与非文学之分，不仅局限了自己的精神视野，而且不利于各学科之间的互通有无。没有哪种理论工具能为某门学科所

1 参见 傅修延：《生态江西读本》，南昌：二十一世纪出版社，2019年。

2 参见 林琰：“文学研究的中西比较自觉意识与文化自信傅修延教授访谈录”，《英美文学研究论丛》1（2019）：10-11。

3 参见 傅修延：《济慈诗歌与诗论的现代价值》，北京：北京大学出版社，2014年，第205页。

4 参见 傅修延：“试论《山海经》中的‘原生态叙事’”，《江西社会科学》8（2009）：46-60；傅修延：“许逊传说的符号叙事学解读”，《江西师范大学学报》（哲学社会科学版）1（2015）：60-66。

专美，也没有哪种途径是进入其中的“主要入口”，更不存在什么唯一的入口，似此最好的办法是熟悉各个入口以便适时进入。因此，傅修延的跨学科研究强调突破学科界限，从人类学、宗教学、神话学、语言学、符号学、民俗学和社会学等相关学科领域广泛征求工具与材料，针对不同问题设计出不同途径的解决方案，力求为中国叙事传统的发生与形成提供更为合理的解释。¹这种跨学科研究路径贯穿在其各个学术研究领域中，主要表现为研究对象、治学格局、研究方法上的突破和创新，以及“以我为主，为我所用”的基本立场。

（一）对叙事学跨学科本质的思考

作为学科的叙事学本身，就具有跨学科的内在属性。对此，傅修延在叙事学研究之始，就有深刻的洞察，并贯穿于其整个研究生涯。

叙事学研究的对象是“叙事”现象，而这一特殊现象并不是某一个学科的专擅，只有具备跨学科的视野和多学科的知识储备，才能在叙事学研究中取得真正的突破。傅修延“喜欢从根本上思考与文学叙事的有关的一些问题”（《叙事：意义与策略》2），对叙事现象以及对叙事学这一学科跨学科本质的思考，可以说贯穿了他的整个学术研究过程。

傅修延最早关于叙事学的著作就以“讲故事的奥秘”为标题，第一章就开宗明义地提出对“叙述是什么”的认识。他认为，不正面回答“叙述是什么”，不深入思考叙述之所以为叙述的许多根本性问题，就不能发展出有普遍意义的叙述理论，甚至也不能很好地回答“怎样叙述”这个实践性问题。²在之后的研究中，他一直致力于探讨叙事的意义及发展规律等问题，并将一系列论文收录于《叙事：意义与策略》一书中。在该书中，他强调文学叙事就是讲述故事，是人类与生俱来的一种行为或本领，只有从讲故事角度来看待叙事文学，潜心思考叙事何以为叙事这样的基本问题，才能把握住叙事文学的精髓。³

傅修延指出：自20世纪末以来，一些原先看起来与叙事无多大关联的领域（主要是人类学和经济学），出现了把叙事当作人类标志性行为的呼声。他通过几篇长文对何谓叙事、叙事何为以及叙事学向何处去等关键问题，做了尝试性的解答。在“人类为什么要讲故事——从群体维系角度看叙事的功能与本质”一文中，他指出国内叙事学在西方影响下偏于形式论，一些人甚至把研究对象当成解剖桌上冰冷的尸体，然而叙事本身是有温度的。经典叙事学蜕变为后经典叙事学以来，叙事的所指已经泛化，以较为宽泛的观念来考察早期人类的涉事行为，或许能使我们更为深刻地认识叙事的本源与本质。为此，他借鉴了人类学家对早期讲故事行为的种种解释，将叙事交流的起点提到语言尚未正式形成之前，认为叙事从本质上说是一种抱团取暖的行为。人

1 参见 傅修延：“导论”，《中国叙事学》，北京：北京大学出版社，2015年，第6-33页。

2 参见 傅修延：《讲故事的奥秘——文学叙述论》，南昌：百花洲文艺出版社，1993年，第17页。

3 参见 傅修延：“引言”，《叙事：意义与策略》，南昌：江西高校出版社，1999年，第7页。

类许多行为都和群体维系有复杂的内在关联，只有牢牢地把握住这种关联，我们今天的研究才不会迷失方向。¹在“人类是‘叙事人’吗？”一文中，他尝试回答“叙事人”之名引出的三个重要问题——何谓叙事、叙事何为和叙事学向何处去，并提出我们这个时代比以往任何时候都更关注叙事，越来越多的人已意识到讲故事是一种不可或缺的能力，因此当前亟须重新审视和思考人类的讲故事行为及新形势下叙事学的发展。除此之外，文中还强调叙事不是文学的专利，叙事学应博采众长、加强与其他学科之间的融通，方能有更好的作为。²这种跨学科研究方法，使他在接下来的“听觉叙事”研究中对叙事的本质有了新的发现。在《听觉叙事研究》一书中，他借鉴人类学等学科的相关理论与观点，将听觉叙事拈出来做专门研究，指出叙事一开始便与听觉结下了不解之缘，讲故事的“讲”本身是一种诉诸听觉的行为。学术专著《中西叙事传统比较研究》（共七卷）更是首次从感官倚重角度比较中西叙事传统，并对“叙事”这一关键性概念作了专门论述，将其还原为讲故事行为，指出叙事最初是一种的诉诸听觉的信息传播，万变不离其宗，不管传媒变革为后世的叙事行为增添了多少手段，从本质上说它们都未摆脱对原初“讲”故事行为的模仿。只有紧紧抓住“讲故事”这条主线，才有可能穿透既有的学科门类壁垒，使叙事传统的脉络、谱系与内在关联性复归清晰。³

关于叙事本质的思考贯穿于傅修延的整个叙事学研究中，然而，他认为迄今为止对叙事本质的研究依然是远远不够的。叙事学在西方属于形式论阵营，对叙事的形式构成已经有了许多堪称精深细密的研究，但对于叙事的本质即其固有的属性，迄今为止尚未有令人满意的充分阐释。因此，他认为尽管他在之前的研究中对何谓叙事、叙事何为以及叙事学向何处去等关键问题，做了一些尝试性的解答，但其中对叙事本质的论述仍然带有某种“迂回包抄”的性质，还不能算是穷根究底的全方位探讨。为弥补这一不足，他通过“叙事的本质”一文，在意识形成与表达的背景上，从认知、逻辑与传播三个层面，正面探讨讲故事行为的发生缘由、组织形态和动力机制。他坚信，只有坚持文学是人学的立场，把问题提到关乎人的本性、关乎文明进步和人类进化的高度，才有可能真正理解人类为什么要讲故事，以及为什么叙事问题会在当下引起如此广泛的重视。⁴

傅修延认为一时代有一时代之叙事，叙事有文明维持之功。在叙事传统的惯性作用下，讲好世界变局中的中国故事是当代故事讲述人义不容辞的使

1 参见 傅修延：“人类为什么要讲故事——从群体维系角度看叙事的功能与本质”，《天津社会科学》4（2018）：114-127。

2 参见 傅修延：“人类是‘叙事人’吗？——何谓叙事、叙事何为与叙事学向何处去”，《北京师范大学学报》（社会科学版）1（2023）：86-101。

3 参见 傅修延：“总序”，《中西叙事传统比较研究》（关键词卷），刘亚律等著，傅修延总主编，北京：北京大学出版社，2024年，第10页。

4 参见 傅修延：“叙事的本质”，《天津社会科学》6（2024）：18-42+174。

命。我们既要汲取世代相传的故事讲述方式中蕴藏的智慧，又要探索能适应当前和未来形势的故事讲述方式，为当前倡导的“讲好中国故事”提供学术助力，这样才能有利于中华民族在新时代的继续前行。而要做到这一点，不了解叙事学的跨学科、跨媒介本质是万万不行的；也正是这种对叙事学学科本质的深入思考，决定了傅修延叙事学研究的跨学科路径。

（二）打通中外，融汇古今

傅修延的跨学科研究路径首先体现在研究对象的扩容与研究领域的拓展，这主要体现在他关于中国叙事学的研究中。在研究先秦时期的叙事传统时，他指出：“从整个叙事发展史来看，纯粹意义上的小说只是其中的一章，故事在不同时期有不尽相同的载体。单从小说这一种载体入手研究，无异于划地为牢自缚手脚”（《先秦叙事研究·绪论》3）。因此，凡是含有叙事成分的先秦文献，都在他的考察范围之内。¹在《中国叙事学》一书中，他在对经典叙事学和后经典叙事学做了一番考察后，提出了中国叙事学的创新之途，其中一条便是“调查范围的扩大”。他认为研究中国叙事诚然是不可能脱离小说的，但更为重要的是认识到并非只诉诸语言文字这一种媒介。如果一味依赖以语言文字为媒介的文本，忽略汇入叙事长河的其他源头活水，我们的研究无法达到应有的深度与广度。在《中西叙事传统比较研究》书系“总序”中，他再次指出：叙事行并非只诉诸语言文字这一种媒介——学界目前反对“文本中心主义”的呼声甚为强烈，仅凭小说来总结叙事规律的做法已落后于时代。因此，他将系列研究突破以小说为叙事学主业的路径依赖，将主攻对象扩大到包括作为初始叙事的神话、民间种种涉事行为与载事器物、戏剧与相关演事类型、含事咏事的诗歌韵文以及小说与前小说、类小说等门类，并有叙事思想、叙事理论及关键词等方面的研究。他还专设了“民间卷”这一分卷，把以往不受关注的民间谱牒等纳入叙事研究的范围，将这些处于学科边缘又对叙事传统有隐性塑形作用的对象全部纳入叙事学的研究领域之中，使中西叙事传统的面貌呈现得更为清晰和系统。²

除此之外，傅修延的研究对象还涉及饮食、城市、面容等领域。比如，他认为饮食属于人类延续生命的标志性行为，人类为维系生存和改善状态所作的种种努力，一定会通过那些与饮食行为相关的记述反映出来，因此尝试从日常的吃喝行为中，探索饮食叙事的意义与本质³；他还指出：城市叙事关乎人们的未来，每个城市都应当有尽可能多的侧面或曰发展面向，只有包容一切可能性的城市才有前途无限的未来。⁴同时他还与时俱进，时刻关注着当下

1 参见傅修延：《先秦叙事研究——关于中国叙事传统的形成》，北京：东方出版社，1999年。

2 参见刘亚律等：《中西叙事传统比较研究》（关键词卷），傅修延总主编，北京：北京大学出版社，2024年，第5-12页。

3 参见傅修延、钟泽芳：“饮食叙事与互渗思维”，《江西社会科学》1（2023）：134-144+207。

4 参见傅修延：“城市叙事关乎未来”，《探索与争鸣》10（2022）：5-7。

的科技发展进程，在一次访谈中，他提到“5G 与物联网的时代正在到来。万物互联理念在当下的传播，使我们古人的思想焕发出新的生机，古老与新潮此时的相会令我深深着迷。（……）因此不能把万物一体的思想斥为落后（《叙事学与中国叙事传统》10）。在近两年的关于物叙事的论文中，他从物叙事和符号学角度对广大女性喜爱的丝巾作深入分析，目的在于增进对中国艺术精神与审美传统的理解，并由此见出时代进步和文明互鉴的意义¹；此外，他还从人际沟通与叙事交流角度对人的面容做出新的探索，指出在“读图时代”面容会成为备受关注的对象，其表意功能会在未来借助 VR 之类仿真技术为影像艺术等打开更为广阔的天地，从而为叙事行为带来无穷的新的可能性。²

其次是治学格局上的突破。傅修延认为，在当今学术研究专业分工越分越细的趋势下，固然要做到“术业有专攻”，但是视野过于狭窄会影响到研究的触类旁通。这就要具备全球视野和比较眼光，打通中西和西学，以中西比较研究突破以往中西分隔的治学格局。他指出：“比较”是人类认识世界与自身的普遍方式，也是人文社科研究的重要方法，它可以使双方更透彻地洞察对方的特点，参照物的存在又可以为“反观”自身的盲区提供依据。³ 这种比较意识一直存在于他的学术研究中，20 世纪末以来他就有志于从事中西叙事的比较研究。在 1993 年出版的《先秦叙事研究——关于中国叙事传统的形成》一书中，对中西叙事传统的相互影响与激荡作出勾勒后，他提出研究中国叙事传统的重要性与迫切性。之后的《中国叙事学》进一步认为：如同人类学认为孤立地研究一个民族的神话没有意义一样，只有将多个民族的神话相互参照发明，才能见出神话后面的意义与规律。⁴ 他近年来主持的国家社科基金重大项目“中西叙事传统比较研究”，更是将中西比较研究推向了新的高度；他坚持以对中国叙事传统的讨论为主线，西方叙事传统则以副线和参照对象的方式而存在，并以中西叙事理论中的“关键词”作为切入口进行系统辨析，对中西叙事传统展开了全方位的系统性的比较研究。⁵ 在对“文本学”展开系统研究时，他也强调文本理论并不独属于西方，不能将视野局限于西方一隅，只有海纳百川，兼顾中外，将东西方文论都当作理论建构的基础资源我们才有可能建构起新世纪的文本学。除此之外，在阐释济慈的诗论观点时，傅修延也会自觉联系中国古代文论，力求互相印证。比如，在谈到济慈诗论中喜欢诉诸日月星辰、山川河流、花草树木等大自然的形象化表达

1 参见 傅修延：“丝巾与中国文艺精神”，《江海学刊》4（2023）：239-245。

2 参见 傅修延：“论作为能指的面容”，《江西师范大学学报》（哲学社会科学版）1（2022）：44-56。

3 参见 刘亚律等：《中西叙事传统比较研究》（关键词卷），傅修延总主编，北京：北京大学出版社，2024 年，第 15-16 页。

4 参见 傅修延：“导论”，《中国叙事学》，北京：北京大学出版社，2015 年，第 33 页。

5 参见 傅修延：《中国叙事学》，北京：北京大学出版社，2015 年，第 114-148 页。

时,他指出我国古代也有类似的生态诗论。¹

最后是研究方法上的跨界创新。傅修延广泛使用人类学、语言学、符号学、民俗学、社会学等学科的理论与方法,为自己的研究提供更多考察视角以及更为合理的理论阐释。他借鉴人类学的观点,将其他民族的叙事传统作为借鉴或参照,尝试建构中国自己的叙事理论。在研究中国叙事传统时,他借鉴了发生学的观点,认为:“叙事传统的形成是一个动态过程(……)在研究中带一点生物进化的眼光,或许有助于更清晰地勾勒出叙事传统的形成脉络”(《先秦叙事研究·绪论》7)。因此,《先秦叙事研究》从发生学的层面,讨论先秦时期诉诸于各种传播媒介的叙事形态,通过寻找叙事行为发生、成长与壮大的痕迹,以及观察传世典籍的贡献与影响等,达到勾勒中国叙事传统的目的,从而令人信服地得出“中国叙事传统形成于先秦时期”的结论。²

在对中国叙事学研究范围的圈定上,他借鉴了源自尼采的“谱系学”(genealogy)概念,提出广泛叙事的范围过于宽广,当前的中国叙事学研究应致力于谱系学意义上的调查,将注意力集中于那些特别能显示中国谱系的对象,让“被忘却的内在关联性”脉络浮现,使“已经模糊了的或不被承认的宗代关系”复归清晰。³比如在《中国叙事学》中,他对诸多叙事文本、“含事”器物与“涉事”感知等进行知识考古学般的刨根问底,更为清晰地解答了中国叙事传统谱系中的一些关键问题。这种谱系学意义上的调查,为中国叙事传统的源起与形成提供了更为合理的系统解释。⁴在对具体的对象进行研究时,他广泛将各种学科理论进行有机糅合。比如,在讨论《山海经》中的“原生态叙事”时,他以当今生态学者大力倡导的整体主义来理解《山海经》中万物之间的依存和共生关系⁵;在《瓷的叙事与文化分析》中,他从叙事与文化角度出发,讨论中国古代哲学易学与中国陶瓷加工结下的不解之缘⁶;在讨论城市叙事中,他借用语言学的术语来表述城市叙事是有时态的,那些历尽沧桑却总能浴火重生的城市代表着进行时,虽然年轻却发展乏力的城市相当于进入了现在完成时,因此一座城市如果少有作为甚至停止作为,它便失去了自己的未来。⁷所有这些都体现了傅修延叙事学研究打通中外、融汇古今的跨学科治学路径。

(三) 以我为主,为我所用

1 参见傅修延:《济慈诗歌与诗论的现代价值》,北京:北京大学出版社,2014年,第215-216页。

2 参见傅修延:《先秦叙事研究——关于中国叙事传统的形成》,北京:东方出版社,1999年。

3 参见傅修延:“导论”,《中国叙事学》,北京:北京大学出版社,2015年,第29-30页。

4 参见唐伟胜、傅修延:“叙事学与中国叙事传统——傅修延教授学术思想访谈”,《英语研究》2(2020):5。

5 参见傅修延:“试论《山海经》中的‘原生态叙事’”,《江西社会科学》8(2009):50。

6 参见傅修延:“瓷的叙事与文化分析”,《江西师范大学学报》(哲学社会科学版)6(2011):7-10。

7 参见傅修延:“城市叙事关乎未来”,《探索与争鸣》10(2022):5。

傅修延认为，跨学科研究是取他山之石，攻自家之玉，如果在他山之上流连忘返，那就不是真正的文学研究了。因此，在各个研究领域进行跨学科研究的过程中，他始终秉持着“以我为主，为我所用”的基本立场。

“以我为主”表现在他时刻谨记立足于自身，即抓住问题的本质以及坚定的本土立场。就拿叙事学研究来说，他认为中国历史上没有现代意义上的学科分类，现行的学科分类是西方思维的产物，这套分类系统不一定完全适合我们自己的传统，如果一味执着于文史之分，我们便很难理解为什么前人一些评论经常会跳出窠臼，或者是以文论史，或者是以史评文。¹ 坚守本土立场指的是有所“抵制”的“接纳”——不加“抵制”的后果可能是“自我东方化”，而太多的“抵制”又有走向“自我中心”的危险，因此需要在两者之间保持必要的平衡。² 就拿中西叙事传统比较来说，如果过分强调西方的作用，以西方的评判标准来看待中国叙事理论，结果依然会走上以“西”压中，以西“蔽”中的老路；而无限强调本土立场，自我不断膨胀，最终也会演变成为我独尊的民族至上主义。³ 应该看到中西叙事各有不同的来源与传统，并无高低优劣之分。因此，在建设中国叙事学的时候要有所选择地吸纳西方经验，立足于我国悠久的叙事文学的历史和现状，发掘、整理、建构我们自己的、有中国特色的叙事理论。

“为我所用”体现为，在他的叙事学研究中一直秉持的“以西映中”的学术理念。所谓“以西映中”就是借他山之石垫牢我们的立足之基，“立足中国的叙事理论资源，将西方叙事理论的思想蕴含、话语方式等作为参照，通过对中国资源的细致梳理，发掘中国叙事理论的思想精髓与发展脉络，努力呈现其理论潜质与话语形态”（《中西叙事传统比较研究·关键词卷》22）。在中西叙事理论比较研究的新路径中，傅修延指出：中国当前文论研究中各种西式理论表现强势，本土理论几近失声。因此，当务之急是总结我们中国自己的叙事理论，努力构建有本土特色的叙事理论话语系统。要实现这个目标，我们就不能画地为牢，搞孤立主义与自我设限，而是积极发挥西方理论的“他者”作用，让其理论特质成为烛照中国叙事理论的窗口。⁴

应该说，“以我为主，为我所用”的跨学科治学理念及其具体路径是非常科学的，体现出了一个成功的中国叙事学研究者应有的视野和胸怀。

1 参见 刘亚律等：《中西叙事传统比较研究》（关键词卷），傅修延总主编，北京：北京大学出版社，2024 年，第 36 页。

2 关于“自我东方化”和“自我中心”的更多解释，参见 傅修延：“中西叙事传统比较论纲”，《学术论坛》2（2017）：4-5。

3 参见 刘亚律等：《中西叙事传统比较研究》（关键词卷），傅修延总主编，北京：北京大学出版社，2024 年，第 23 页。

4 参见 刘亚律等：《中西叙事传统比较研究》（关键词卷），傅修延总主编，北京：北京大学出版社，2024 年，第 16 页。

三、傅修延学术研究的全球视野与中国立场

不管是最初对济慈书信的翻译、对赣鄱文化的关注还是多年来开展的叙事学研究，傅修延始终都有着宏阔的全球视野，并体现出一以贯之的中国立场和对现实的强烈关切。

傅修延认为，文人是承担着继往开来文化使命的人，其存在的意义就是延续和发展自身所属的文化。从他最初选择济慈为自己的研究对象，他就已经开始立足于中国了。在翻译《济慈书信集》时，他在“译序”中强调：济慈书信从头至尾都贯穿着对自己文艺观的阐发，其书信集具有重要的意义和价值，然而国内却缺少完整的济慈书信中译本，中国读者一般只能接触到从济慈书信中摘译出来的片断，这在一定程度上影响了对济慈原意的把握。¹在写作《济慈评传》时，他在“引言”中写道：“诗歌没有国界，优秀的文学艺术作品是全人类共同享有的精神财富。很长一段时期以来，在英国浪漫主义诗人当中，国人最熟悉的是拜伦与雪莱，济慈则藏在他们巨大的身影后面。20世纪风雷激荡（……）当今中国正在和平崛起，我们这个时代需要更为讲究艺术品位、更能抚慰人心的诗歌”（《济慈评传·引言》11）。为此他主张倾听济慈那夜莺般的动人歌声，接受他身上人文艺术精神的感染，以重燃我们这个时代的艺术激情，使生活恢复应有的诗性。²正如傅修延在一次采访中谈到的：他之所以研究济慈，最终还是为了自己脚下的这片土地，如果没有这种初衷，做任何研究都会缺少驱动研究的激情。³

这种中国立场还体现在他对本土资源的重视。在早年关于赣文化的著作中，傅修延写道：“赣文化讨论紧连着我们的‘根’，将我们拉向脚下这片生身立命的红土地。我们是在承接过去，创造现在，影响未来”（《赣文化论稿》，“自序”1）。他始终没有忘记自己的使命，在“赣鄱文化”研究中，他多次强调学问要和事功结合，读书人不能脱离自己脚下的大地，应该把自己的思考与自己生身立命的地域文化连接起来，把论文切实地写在故乡的大地上。他在做比较文学就贯彻了这种理念，许真君传说、陶渊明诗文、浴仙池（洗马池）故事和江西的生态文化传统，都是他的研究对象，他甚至还因为研究南昌的浴仙池故事而成为这个传说的非遗传承人。⁴对乡土文化的关怀，使他在之后的研究中始终将自己的思考与脚下的大地连接起来。他在《中国叙事学》中探讨中国叙事学的创新之途时，特意强调了“地方性知识”的介入。他指出：“中国目前的叙事学研究尚未进展到可与西方相颉颃的地步，理论语

1 参见傅修延：“译序”，《济慈书信集》，约翰·济慈著，傅修延译，北京：东方出版社，2002年，第1-4页。

2 参见傅修延：“引言”，《济慈评传》，北京：人民文学出版社，2008年，第12页。

3 参见唐伟胜、傅修延：“叙事学与中国叙事传统——傅修延教授学术思想访谈”，《英语研究》2（2020）：9。

4 参见傅修延：“传承赣鄱文化薪火的千秋工程”，《当代江西》6（2022）：59。

言的捉襟见肘常使我们感到‘底气’不足，为此需要尽快建立能接上自己‘地气’的话语体系”，“让‘地方性知识’介入进来，我们不但会发现一方水土滋养一方叙事，还能洞察到这一方叙事的许多奥秘，这些都是戴着别人‘眼镜’所看不到的”（《中国叙事学·导论》36-37）。

在叙事学研究中，傅修延认识到：中国学界自觉的叙事学研究始于20世纪80年代后期，之后的发展中虽然取得了一定成绩，但也始终存在一个未能有效突破的瓶颈，即：“西方叙事理论风骚独领的格局没有彻底打破，本土叙事依然步履蹒跚地行走在建设的路途之上，契合中国叙事传统的理论话语系统远未确立”（《中西叙事传统比较研究·关键词卷》15）。为此，他多年来一直在为推动中国叙事学研究、构建中国特色的叙事话语系统找寻新的路径。他反复强调研究中国叙事传统的重要性与迫切性，认为走向各民族自己的传统并不意味着背朝外部世界，研究中国叙事传统不仅有益于弘扬我们的民族文化，更有助于使诞生于西方的叙事学接上东方的地气，成长为更具广泛基础、更有“世界文学”意味的学科。傅修延指出：叙事传统是传统的组成部分，传统的一大意义在于形成于过去又不断作用于当下。世代相传的故事及其讲述方式凝聚着我们祖先的聪明智慧，我们只有回过头来认真观察自己的叙事传统，才可能想清楚今后向何处去，才能更好的“讲好中国故事”，才能在当今世界范围内各种思想文化激烈交锋的新形势中，提高我国在国际上的话语权。¹总而言之，在傅修延看来，作为一个现代中国学人，要真正成为叙事学研究的大家，甚至要在任何学术研究中取得突破性进展，全球视野与中国立场都是缺一不可的。

结语

从济慈研究、赣鄱文化研究到叙事学研究，从西方文学到中国古代文学，从普适性理论到“地方性知识”（……）傅修延深深地将自己的学术根系扎根入中国文化这片沃土，一直念兹在兹地思考着学术研究的各种可能性，而贯穿于其研究历程中的始终是跨学科的底色和路径。正如他在其第一本叙事学理论专著《讲故事的奥秘——文学叙述论》中所说的那样：“人类的活动永无休止”，写小说对他来说是年少时未曾实现的“可能的世界”²，他曾为此黯然神伤，而如今他已在各个学术研究领域成就卓著。近年来，他仍坚持在叙事学领域笔耕不辍。2022年，由他担任首席专家的国家社科基金重大项目“中西叙事传统比较研究”顺利通过结题评审，并荣获“优秀”等级。这项课题以《中西叙事传统比较研究》七卷本为最终成果，由北京大学出版社于2024年出版

1 参见刘亚律等：《中西叙事传统比较研究》（关键词卷），傅修延总主编，北京：北京大学出版社，2024年，第3-6页，第45-53页。

2 参见傅修延：“后记”，傅修延：《讲故事的奥秘——文学叙述论》，南昌：百花洲文艺出版社，1993年，第284-285页。

发行¹，向我们展示了傅修延近年来致力于建设具有中国特色的叙事理论体系与话语体系所做的极大努力和巨大贡献。他站在中西理论和古今知识的交叉交汇交融之处，以跨学科视野为我们比较中西叙事传统，向我们揭示“讲故事的奥秘”，也实现着他心目中的那个学术的“可能的世界”。

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The Rise of the Post-humanist Criticism in the Posthuman Era

Wang Ning & Guo Libin

Abstract: It is true that a posthuman era has already arrived. In the past, the status of humanity as the “primate of everything” and the “elite of the universe” was severely challenged and resisted by various postmodern trends. Especially the deconstruction of anthropocentrism by ecocriticism, the challenge posed by animal studies to the power and role of human domination, and the attacks launched by various viruses on humans have threatened human survival and evolution. The application and popularization of artificial intelligence or AI have further marginalized humans and even made a large number of people have lost their jobs. In the field of humanities, humanism has also evolved into a sort of “posthumanism,” which challenges and deconstructs the myth of overemphasizing human status and role, causing humans to be pulled back to their original state: a species of all things on the earth. Post-humanist criticism is a literary critical trend that contradicts the development of humanist criticism to the extreme. In terms of time, it has come after humanist criticism, and in terms of content, it challenges the anthropocentric consciousness of humanist criticism on the one hand, and on the other hand, it can hardly separate itself from it, maintaining continuity with it to a certain extent. The rise of Post-humanist criticism has a new direction to literary and cultural criticism in the post-theoretical era.

Keywords: posthuman era; anthropocentrism; humanist criticism; Post-humanist criticism; artificial intelligence

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标题: 后人类时代的后人文主义批评的崛起

内容摘要: 后人类时代已经确实到来了。人类以往的所谓“万物的灵长”和“宇

宙的精英”地位受到各种后现代思潮的挑战和抵制。尤其是生态批评对人类中心主义的消解、动物研究对人类“君临一切”的力量和作用的挑战以及各种病毒对人类发起的攻击已经使得人类的生存和繁衍受到威胁。而人工智能的应用和普及更是使得一大批人被放逐到社会的边缘甚至失去自己的工作。在人文学术领域，人文主义也已演变成一种“后人文主义”，随之而来的就是文学批评界崛起的后人文主义批评。后人文主义挑战并打破了以往过分推崇人的地位和作用的神话，使得人再度被拉回到其原初的状态：世间万物中的一个物种。后人文主义批评是人文主义批评发展到极致后的一种与之逆向相悖的文学和文化批评，在时间上它后于人文主义批评，在内容上它一方面挑战了人文主义批评的人类中心主义意识，另一方面又与之难以割舍，因而在一定程度上维持了与它的连续性。后人文主义批评的崛起给后理论时代的文学和文化批评理论增添了一个新的方向。

关键词：后人类时代；人类中心主义；人文主义批评；后人文主义批评；人工智能

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In today's international and domestic academic circles, discussing the issue of posthuman and posthumanism has become a critical fashion, which is largely related to the cultural situation since literary and cultural theory has entered the post-theoretical era, as well as the deconstruction of the essentialist thinking patterns by various postmodern theoretical trends and the rapid development of high technology leading to the omnipresence and omnipotence of artificial intelligence. Obviously, the rise of post-humanism is a rebellious force against the development of the preceding humanistic tradition to its extreme, but at the same time, it has not completely abandoned the spirit and essence of humanism. As for literary theory and criticism, we all know that there has always been a long-standing humanistic tradition throughout the history of literary theory and criticism in both China and the West. Even amidst the prevalence of various postmodern criticisms, humanistic criticism has not totally disappeared, and it still plays its due role and function in a limited space.¹ The writing of this essay attempts to discuss the current post-

1 In this regard, one can particularly refer to the writings of two American critics: Edward Said, *Humanism and Democratic Criticism*, New York: Columbia University Press, 2004; Martha Nussbaum, *Not for Profit: Why Democracy Needs the Humanities*, Princeton, NJ: Princeton University Press, 2010. Although both of these public intellectuals were once influenced by deconstruction, they still adhere to a humanistic stance in their critical writings, to some extent following the humanistic tradition in Anglo-American literary criticism.

human condition and the rise of Post-humanist criticism in this era from these two dimensions.

The Advent of the Posthuman Era?

Describing the characteristics of the era we are currently in, people often use different terms or theoretical concepts to express them, such as the “postmodern” era, the “globalization era,” and the recently frequently used “posthuman era.” If the peak of the postmodern era has basically become history with the “decline of postmodernism” (Wang, *After Postmodernism* viii) in the West, then the era of globalization has also had a history of several decades, in which various “anti-globalization” and “de-globalization” noises continue to emerge, and even some people use the term “post-globalization” era. Although the era of globalization is far from over, the role of its leaders has changed. In the new wave of globalization, China’s leading role has been widely recognized and is exerting increasingly wide influence in all aspects. And the notion of the posthuman era is still in its infancy, because indeed, the posthuman era has just come. So where are the main characteristics of its era reflected?

Undoubtedly, as a living condition in the process of human development and evolution, posthuman has fundamentally changed the role and value of humanity. In the era of high humanism, the status of humanity as the “primate of everything” and the “elite of the universe” has been challenged and resisted by various postmodern theories that take deconstruction as their responsibility. Especially the deconstruction of anthropocentrism by ecocriticism, the challenge of animal studies to the power and role of human dominance, and the attacks launched by various viruses in nature on human health have directly threatened human survival and reproduction. In the high-tech era, the application and popularization of AI have led to a large number of people who once felt proud of their work being exiled to the margins or even losing their jobs. The main focus of this essay is on the impact of the popularity of AI on the human condition and the consequences it brings to humanities and academic research. Indeed, in the field of humanities in which we are committed to teaching and research, humanism, which used to dominate modern thinking and culture, has evolved into a form of “posthumanism,” followed by the rise of Post-humanist criticism in the literary critical community. Posthumanism challenges and breaks the myth of overemphasizing the role of humans, pulling them back to their original state: a species of all things in the world. Especially when humans invent various advanced facilities and equipment, some of their own functions are thus replaced to varying degrees. Sometimes, when humans invent and

create advanced facilities, the result is that even humans themselves cannot control and manage them. This situation may become more and more common in the future. How will humanity respond to this situation? Indeed, the previously capitalized “Man” has now evolved into a sort of posthuman. It cannot be denied that traditional humanists hold a stance of resistance towards the advent of the posthuman era, and fundamentally reject the deconstructive strategies of Post-humanist criticism. This is not difficult to understand.

However, the process of history is precisely something we cannot grasp or even resist. Various subjective and objective factors force us to admit that we have indeed entered a posthuman era, in which the status of humans has sharply declined and they are on a roughly equal footing with other species on Earth. Many of their unique roles have gradually been replaced by technology and AI. The emergence of robots has replaced various functions of humans: the birth of robots has led to some jobs previously done by humans being replaced by these robots. The use and promotion of drones have reduced unnecessary costs for transporting goods and minimized human sacrifice on the battlefield. Western scholar Hayles foresaw the intervention of machines on humans earlier and described this posthuman condition very clearly:

The important intervention comes not when you try to determine which is the man, the woman, or the machine. Rather, the important intervention comes much earlier, when the test puts you into a cybernetic circuit that splices your will, desire, and perception into a distributed cognitive system in which represented bodies are joined with enacted bodies through mutating and flexible machine inter faces. As you gaze at the flickering signifiers scrolling down the computer screens, no matter what identifications you assign to the embodied entities that you cannot see, you have already become posthuman. (*How We Became Posthuman* xiv)

It can be seen that humans have unknowingly arrived before they are fully aware of this situation. In literary creation, there have also emerged some science fiction works that depict the various consequences of high technology on human survival. Ecocriticism, animal studies, and science fiction criticism, which aim to deconstruct anthropocentrism, have also emerged in literary criticism. All of these have laid the foundation for the rise of a new Post-humanist criticism. This essay aims to analyze the impact of Post-humanist criticism on traditional humanist criticism from a dialectical perspective, as well as its own reasons and limitations. The authors

believe that while criticizing anthropocentrism, we should also prevent ourselves from moving towards the other extreme: geo-centrism, eco-centrism, techno-centrism, and so on. On the other hand, we should see that Post-humanist criticism does not completely exclude the role of human beings, but rather a backlash against the past overemphasis on human-centered consciousness. Therefore, in Post-humanist criticism, humanism should still have a proper place.

Undoubtedly, in the vigorous development of high-tech, humans have invented various advanced machines and facilities in order to reduce their own labor intensity and heavy burden, including unmanned machine equipment and AI facilities. This indeed reduces the intensity of human labor and the long-term burden of life and work, greatly improving the quality of human life. But the emergence of these advanced facilities has also led to the appearance of other phenomena: machines replacing manual labor, human-machine integration, and human-machine coexistence. Even some people cannot live without mechanical facilities. The emergence of all these phenomena greatly diminishes the role and value of human beings. For us humanities scholars, teaching, writing, and publishing may not work without operating computers in the future, and without using smartphones, it will be much more difficult to move forward. As Hayles said, “print-based scholars would become increasingly marginalized, unable to communicate not only with Digital Humanities colleagues but also with researchers in the social sciences and sciences, who routinely use digital media have developed a wide range of skills to work with them” (*How We Think* 6-7). This indeed makes those traditional old humanities scholars feel sad. People cannot help but ask, in the rapidly changing posthuman era of science and technology, what role can those old literati who only know how to write and play? If we carefully consider and dialectically analyze these phenomena, it will not be difficult to find that these three situations are also the new stages of the development and evolution of the relationship between humans and machines in the posthuman era, namely the three inevitable stages of development.

The first stage is characterized by machines replacing humans. Due to the invention of a large number of mechanization and automation facilities, machines have replaced manual labor in many jobs. On the one hand, this has liberated people from heavy and tedious labor, but on the other hand, it has led to an excess of manual labor. When we go to the bank branch today to handle the transfer or remittance business, the staff do not directly handle the business for us, but guide us on how to use the machine to complete the transfer and remittance business. This certainly saves labor and complexity, but the consequence is that a large amount of work is operated by machines or AI, so these branches no longer recruit

new employees after the retirement of elderly working staffs. The opening of mobile banking has further reduced the number of people going to bank branches for business. With the retirement of elderly employees who are not familiar with machine operation programs, banks no longer need to hire a large number of staff to work at branches, which has led to the closure or merger of some redundant branches with other branches. Similarly, the production and dissemination of knowledge are no exception. In the late 1970s and early 1980s, foreign language majors in China's universities were once a desirable field for young students: the popular idea of "learning math, physics, and chemistry well, and traveling the world without fear" evolved into "learning a foreign language well, making it more convenient to go global." For young students who dream of studying abroad in Western countries, especially the United States, they were willing to pay expensive tuition fees and attend various English training courses to strengthen their English skills in order to achieve their dreams. Next, they took TOEFL and GRE exams and finally went to American universities as they wished. Wang, one of the present authors of this essay, also had a background in English major, and his discipline has had glorious moments. He has also excelled in the international academic community with his English writings and papers published in authoritative international academic journals, and been invited to give lectures at top universities around the world.

Today, as universities focus on research achievements and paper publishing, his peers who used to be proud of their discipline either retire at the age of 60 or voluntarily give up the opportunity to be hired due to the delay in being promoted to a doctoral supervisor. But he is still hired as a guest or part-time professor by several famous universities at home and abroad. In the past, some of his colleagues relied heavily on translating literary works, but now with the popularity and application of machine translation and AI translation, many of their jobs can be completely replaced by machine and AI translation, so their role and value are no longer valued. And Wang is still invited by several publishing houses and journals to revise the initial drafts of translations done by machines or AI. Of course, while he has to admire the language of AI in the process of proofreading machine or AI translated translations, there are also many misunderstandings and mistranslations. And his task is to correct some of the errors and polish the translations done by AI, especially to re-translate the unique concepts in Chinese culture and literature that are difficult for AI translation to recognize. Of course, it cannot be denied that with the rapid development of generative AI based on big language models, there are fewer and fewer areas that he can modify. However, even at this stage, machines

and AI cannot completely replace the work of human translators.

The second stage is that of human-machine integration, which may last for a considerable period of time. At this stage, although the phenomenon of human-machine confrontation brought about by the replacement of human labor by machines gradually disappears, people have found that machines not only have the side of replacing human labor, but also have another positive aspect: they can make up for the shortcomings of human labor, enabling human-machine cooperation to reach a state of integration and cooperation, and the two work together to complete complicated work. In this regard, machines or AI have not completely replaced high-level human work, but have acted as assistants and helpers to these humans, helping them efficiently and accurately complete their tasks in a satisfactory way. In addition, machines can also play a role in assisting medical care, helping patients recover their health as soon as possible or making people's lives more convenient. When a person is physically disabled or has heart problems, machine facilities can enter the human body to help restore normal activities and even save lives. In terms of our writing and translation, AI can also play a significant role: when we need a speech, as long as we tell the AI the general content and keywords, it will provide a roughly usable speech in a short period of time, and we only need to supplement necessary data and modify the text to read it out at the meeting. As mentioned earlier, in terms of translation, ordinary documents can be easily translated by machines or AI. However, although the translation produced by machines or AI is smooth and authentic, it is inevitable that there will be some inaccuracies and errors. Therefore, it is necessary for higher-level human translators to review and modify the translation, correct any inaccuracies or errors, and make it as perfect as possible so as to meet our requirements.

The third stage of posthuman era is that of human-machine coexistence. In this stage, when machines or AI have developed to a very mature level, they not only alleviate the heavy physical labor that has long plagued humans, but also reduce the tedious mental labor. But a direct consequence of this is that some of the work that originally required manual labor is now done by machines or AI, and these people's jobs are completely replaced by machines or AI. They have to lose their jobs, which will lead to social instability and other ethical problems. Of course, we have also noticed another unfavorable phenomenon caused by excessive reliance on machines or AI: with the intervention of AI, human intelligence and manual dexterity will gradually decline. For example, some phenomena that appear before our eyes are truly astonishing: the car driver does not even know the way without the navigation system. College students who are accustomed to writing on computers often write

very poorly, and even make many spelling and grammatical mistakes in their writing. Some people find it difficult to move without the assistance of AI, and even struggle to take care of their basic needs, and so on. It cannot be denied that human labor can compensate for some of the shortcomings and deficiencies of machines, especially those that require high intelligence and abilities in manual work. Even if AI cannot replace it now, in the future, when it develops to a very high level, human intelligence and abilities will also develop accordingly. Therefore, coexistence and complementarity between humans and machines should be an ideal situation. Even in today's posthuman era, this situation will persist for a long time. So we don't have to worry about whether the role of humans will be completely lost. Because even the most advanced machines and large capacity AI facilities are invented and created by humans, and their control and manipulation are still human, even though humans no longer necessarily dominate and mobilize everything as they used to. Humans will continue to coexist with machines and AI for a considerable period of time, and be in an interactive and complementary state with the latter.

Of course, Hayles also proposed other characteristics of posthumans from different perspectives. Regarding these characteristics, she asked,

What is the posthuman? [...] First, the posthuman view privileges informational pattern over material instantiation, so that embodiment in a biological substrate is seen as an accident of history rather than an inevitability of life. Second, the posthuman view considers consciousness, regarded as the seat of human identity in the Western tradition [...] Third, the posthuman view thinks of the body as the original prosthesis we all learn to manipulate, so that extending or replacing the body with other prostheses becomes a continuation of a process that began before we were born. Fourth, and most important, by these and other means, the posthuman view configures human being so that it can be seamlessly articulated with intelligent machines. (*How We Became Posthuman* 2-3)

Then she concluded that in the posthuman era, "there are no essential differences or absolute demarcations between bodily existence and computer simulation, cybernetic mechanism and biological organism, robot teleology and human goals" (*How We Became Posthuman* 3). Undoubtedly, due to the aforementioned characteristics, it is not difficult to see that in the posthuman era, although the status and role of humans are subject to certain limitations, their role is still indispensable, at least in terms of value ethics and emotional communication, which cannot be

replaced by AI. In addition, some mental labor that requires complex thinking cannot be completely replaced by machines and AI. Even the development and updates of AI still require human control and manipulation. In this way, we must not lose confidence in the future of humanity, but rather face the challenges of AI and continuously improve our thinking and innovation abilities, and guide AI towards better serving humanity.

A Critical Reflection on the Historical Role of Humanism

We have above briefly described the advent of the posthuman era and the challenges and demotions faced by the status and role of people in such an era. In this section, we shall first review the historical role of humanism and its current situation, and then discuss the rise of Post-humanist criticism and its opposition to traditional humanist criticism. Although we can say that the term humanism was introduced from the West, it has always been present throughout China's thousands of years of intellectual and cultural history. We can even say that Confucius was the earliest humanist or humanistic educator in ancient China. Today, when we review the traditional Confucianism in the process of building Chinese-style modernization, it is not difficult to find that, in addition to its contempt for women, Confucianism also has many correct and desirable aspects. It can be said that there are some elements of Confucianism in the Sinicized Marxist doctrine, but its use in the construction of Chinese-style modernization after further activation and transformation in contemporary times shows its characteristics of the times and the common values of all mankind. The main purpose of Confucianism is benevolence and righteousness, which means that the benevolent love others. This characteristic is even reflected in Confucius' governance of the country with righteousness, benevolence, and filial piety, and active participation in secular affairs. Later disciples of Confucius developed and summarized Confucius' teachings as Confucianism, and regarded Confucius as their ancestor. Confucianism, with Confucius as its founder, places great emphasis on self-cultivation, also known as "cultivating oneself, managing the family, governing the country, and pacifying the world" (xiushen qijia zhiguo ping tianxia). It emphasizes establishing harmonious relationships with people around themselves, often being more friendly to others than to one's own compatriots. The so-called "It's a pleasure to have friends coming from afar" (you peng zi yuanfang lai buyilehu) and "All men in the world are brothers" (sihai zhinei jie xiongdi) express the hospitality of the Chinese people and their concern and tolerance for the whole human race.

The humanistic criticism developed under the influence of Confucianism is

to some extent a form of moral criticism, which forms a parallel relationship with ethical and moral criticism in the history of Western literary criticism. Therefore, the revival and rise of literary ethical criticism in contemporary China¹ is to some extent related to the revival of Confucianism in contemporary China, and it has played a role in reversing the Post-humanist criticism and other later critical theories to a certain extent. Of course, in the past few hundred years, Confucianism has also gone through vicissitudes. Through the revision and development of the Song-Ming Neo-Confucianism, as well as the creative interpretation and abandonment by modern overseas New Confucianism, it has abandoned its disdain for women and is increasingly close to the humanistic doctrines from the West. Therefore, its influence is not limited to overseas Chinese settlements, but even has varying degrees of impact on people in Western countries. Nowadays, when the Spring Festival comes, some politicians in Western countries send holiday greetings to Chinese people and overseas Chinese in a way unique to Chinese people. Therefore, we can fully say that New Confucianism has almost become a universally applicable doctrine that can engage in dialogue with and complement Western modernity theories. There are many elements of traditional Confucianism and Neo-Confucianism in contemporary Chinese humanistic criticism.

It cannot be denied that Confucianism has also gone through vicissitudes and difficulties in modern China, and has developed to the current situation. In the New Culture Movement (1915-1923), Confucianism was severely criticized and condemned as a reactionary ideology against modernity. The pioneers of the New Culture Movement not only introduced “democracy” and “science” from the West, but also introduced a “humanism,” while expelling Confucianism, which represents traditional Chinese thought and culture, to the margin of thought and culture. Although scholars’ research on Confucianism continued to be conducted within a relatively narrow academic circle after the New Culture Movement, its humanistic dimension was largely replaced by humanism introduced from the West. Humanism, or the integration of humanism and Marxist social and historical criticism, has become the mainstream of modern Chinese literary criticism. The characteristic of this humanistic criticism is its distinct subjectivity and political

1 The revival and rise of literary ethical criticism in contemporary China largely depend on the great efforts of Chinese scholar Nie Zhenzhao. He not only organized quite a few international academic conferences in China, but also participated in the establishment of the International Society for Literary Ethics Criticism, and set up columns specifically discussing literary ethical criticism in some domestic and international publications, which had a significant impact. It is necessary to refer to a special issue “Ethical Literary Criticism: East and West” co-edited by Nie Zhenzhao and Shang Biwu for the international authoritative journal *Arcadia: International Journal of Literary Culture* 1 (2015): 4-117.

tendency towards reality, highlighting truth, goodness, and beauty, condemning falsehood and ugliness, and directly evaluating the value of the writers and works being criticized from the perspectives of social history and aesthetics. However, during the Cultural Revolution (1966-1976), under the dominance of ultra-left trend of thought, this humanistic or humanitarian doctrine was also severely criticized as belonging to the bourgeoisie, and all works depicting human nature and humanitarianism were banned as a poisonous weed of feudalism. Even the early works of the recognized Russian proletarian revolutionary writer Maxim Gorky have been criticized as flawed works advocating bourgeois humanism, and Gorky's viewpoint that "literature is human studies" has also been criticized¹, not to mention those contemporary Chinese writers and their works influenced by Gorky and Soviet literature.

In the era of reform and opening up after the Cultural Revolution, various Western cultural theories and trends rushed into China through translation, exerting a strong influence on contemporary Chinese literary criticism, and also playing an important role in updating the discourse of contemporary Chinese literary criticism. One of the primary tasks of the literary critical circles that ended the Cultural Revolution and entered the period of reform and opening up was to restore the status of realism, so that literature could face and describe people again, and become a form of "human studies." In the subsequent critical translation of Western modernist literature and its critical theories, Chinese critics also criticized the alienation of people and the distortion of human nature in Western capitalist society from the perspectives of realism and humanism. To be fair, in an era of distorted and repressed human nature, emphasizing literature as a study of humanity does have progressive significance. But let's think carefully from another perspective: Is it only human beings worth describing in literary works since everything is born in the vast world? Is the ecological environment and beautiful natural landscape that we rely on for survival also worth describing in literature? Classical Chinese poetry is known for its depiction of landscape scenery, and the animals that accompany

1 The current Chinese academic community generally believes that the proposition that "literature is the study of human beings" was put forward by Chinese critic Qian Gurong. In fact, if we look at it from a broader international context, we shall find that the earliest to propose this proposition was the Russian-Soviet writer Maxim Gorky. On June 12, 1928, Gorky was elected as a member of the Soviet "Local Chronicles." In his speech at the celebration of the Central Bureau of Local Chronicles in the Soviet Union, he referred to his main work as "human studies." Later, inspired by him, Qian Gurong published a very long article titled "On 'Literature Is the Study of Humans'" in the May issue of the *Literary Monthly* in 1957. The full text mentioned Gorky's name 33 times, and for the first time, he creatively expounded on it in the Chinese context.

humans also have life. Are they also worthy of literary description? From this perspective, it is not entirely correct to consider literature as a study of human nature, for it is not very comprehensive: literature should also be a “study of things” (Fu 161), which includes all things in the universe and natural landscapes, including objects, scenery, and animals, as well as some man-made objects. When explaining the role of narrative, some scholars have also proposed the concept of “narrative of things” (Tang 6).¹ Since there are literary works that describe all things in the universe, there should also be literary criticism to analyze and interpret these works. Therefore, there have been criticisms directed towards things such as material narratives and new materialist criticism. It can be said that ecocriticism, animal studies, and science fiction criticism that have emerged in the critical circles of both the East and the West in the past decades are the products of criticism and research on literature that depicts things. Because in the eyes of scholars of ecocriticism and animal studies, there are all things in the vast world besides humans, and they are also members of the Earth like humans. Literary works should not ignore their existence. As a literary criticism directed towards literary works, it is obviously not enough to only focus on humanistic criticism of humans. Therefore, it is not surprising that it is challenged by critical theories that take it upon themselves to dissolve anthropocentrism. The reason why we broadly summarize these critical theories with different backgrounds as part of Post-humanist criticism is because on the one hand, these critical theories contradict the traditional criticism of humanism, and on the other hand, they do not completely abandon the teachings of humanism. Therefore, it is quite legitimate to call them Post-humanist criticism.

So what exactly is Post-humanist criticism? What is its relationship with previous humanist criticism? Post-humanist criticism, as the name suggests, is a literary criticism that goes against the development of humanist criticism to its extreme. In terms of time, it comes after humanist criticism, but in terms of content, it challenges the anthropocentric consciousness of humanist criticism on the one hand, and on the other hand, it is difficult to let go of it, thus maintaining a certain degree of continuity with it. Therefore, it is called Post-humanist criticism, which is quite similar to the relationship between postmodernism and modernism. If literary criticism, which previously dominated, had distinct humanistic tendencies, strong subjectivity and value judgments among critics, then under the influence of Western literary and

1 In this regard, refer to Tang Weisheng's *Research on Narrative of Things*, published by Shanghai Foreign Language Education Press in 2024. In addition, Fu Xiuyan also believes that “literature is both a study of human beings and a study of things,” as seen in his paper “Literature Is Both a Study of Human Beings and a Study of Things.”

cultural theory, academic criticism has skillfully mastered critical discourse with Westernized characteristics and focused on theoretical analysis and interpretation of literary works. Through theoretical analysis and interpretation of the selected writers and works, it objectively demonstrates the importance of the writers and their works, rather than directly praising or criticizing a work as before. Critics influenced by formalist and structuralist theories focus on formal analysis and internal research of literary texts, with a level of refinement almost approaching scientific analysis, and their views are hidden in these refined analyses and interpretations. Critics influenced by phenomenology and the aesthetics of reception focus more on the reception research and interpretation of the meaning of the work, and rarely involve the role of the writer himself. Of course, their critical research to some extent fills a long-standing vacuum and deficiency in literary history: the neglect of the author's reception and the critic's interpretation. Critics influenced by the Freudian psychoanalysis focus their analytical strokes directly on writers, analyzing their unconscious psychology and interpreting their works. The later Lacanian psychoanalytic critics, on the other hand, emphasize the unconscious structure of language and attempt to reinterpret traditional psychoanalysis through structuralist methods, bringing it closer to literature through the mediation of language. Deconstructive criticism, as a backlash against the linguistic tendency of structuralism, expands the scope of criticism to the cultural aspect, but still focuses on the theoretical interpretation of literary works. Moreover, this interpretation is usually not intended to serve the interpretation and criticism of literary works, but rather to reach the level of theoretical interpretation through the analysis of literary works, and so on.

Of course, we can say that interpretation is a form of criticism, and it is also the strength and main task of these academic critics. Undoubtedly, the rise of academic criticism with a solid theoretical foundation and its dominance in criticism have to some extent pushed traditional humanistic criticism to the margin of critical circles, especially in international theoretical debates where their voice and status are absent. It should be acknowledged that today in the contemporary literary critical community, it is the academic critics who have received rigorous training in humanities and have solid theoretical skills. Literary criticism is integrated with literary interpretation and research: excellent literary criticism must have profound ideas and unique critical styles. Similarly, only criticism with profound ideas and theoretical heights can occupy a place in the history of criticism. It can be said that it is the advent of the posthuman era that has brought together various post-theoretical criticisms aimed at deconstructing human centeredness under the banner of posthumanism, forming a Post-humanist criticism that is different from previous

humanist criticism.

Undoubtedly, the rise of Post-humanist criticism in contemporary times is by no means accidental, but it should be an inevitable product of the posthuman era. As mentioned earlier, the important characteristic of posthuman beings is to make humans, who used to be the “primates of everything” and the “masters of the Earth,” face up to and value the existence and equal status of other species on Earth. Undoubtedly, for a long time, humans have had a sense of superiority. They have not only failed to treat their fellow animals living on Earth well, but have also indiscriminately hunted and killed animals, taken their fur, or eaten their flesh, bones, and internal organs. Over time, these animals became enemies of humans, with some animals such as tigers, leopards, wolves, snakes, and scorpions seeking opportunities to retaliate against humans. Some also conspire with viruses in nature to attack the human body, causing humans to contract various diseases and appear very weak and powerless in the face of these viruses. Of course, humans have not treated nature well, but have continuously transformed it according to their own wishes, squandering and wasting natural resources at will, and damaging the natural ecology and environment. All of this has also been subjected to the crazy retaliation of nature. In the past ten years, under the attack of a series of natural disasters, such as earthquakes, conflagrations, typhoons, tsunamis that has spread around the world in recent years, human beings have finally felt the fragility of life, and they need to rethink of their relationship with nature. The emergence of the posthuman phenomena aims to remind humans that they, like other species, are a part of all things in nature. Therefore, humans should live in harmony with nature and not arbitrarily transform it, squander and exhaust natural resources, or even attempt to conquer nature, as they used to do in the past. The rise of contemporary ecocriticism and animal studies is to some extent a post-humanistic direction of literary criticism in the posthuman era.

On the other hand, the rapid development of contemporary high technology and artificial intelligence has also posed severe challenges to the status and role of humans. Especially the implementation and promotion of artificial intelligence or AI, as well as the popularity of ChatGPT in recent years, have brought severe challenges to literary creation, translation, and criticism. People are surprised to find that not only can poetry creation be done with AI, but literary translation has also become very convenient and effective with AI. It can be said that more than 80% of the work that human authors or translators usually do can be done by AI, and the quality is not so bad. Especially the translated text is at least very authentic in terms of language, and excellent human translators only need to make slight modifications, polishing, and supplement with special terminology and concepts that are difficult for AI to

recognize, in order to make the translation reach a high level. AI can also produce poetry with basic correct rhythm and tonal rhythm according to human instructions. The same goes for literary criticism. We only need to input some instructions to explain the basic requirements of the critical article we want, and we can quickly get a preliminary draft. Although the literature is not comprehensive and the viewpoints are not very clear, we can do some processing and improvement to reach the level of publication. It can be said that most of the work that humans do can now be replaced by AI. In this way, what value does traditional humanist literary criticism still have? Under the impact of generative artificial intelligence based on big language models, the copyright of humanities scholars who mainly engage in writing is undoubtedly greatly affected. This is indeed a problem that troubles scholars engaged in literary ethical criticism. It is also a phenomenon addressed by Post-humanist criticism. This issue will be discussed in the final section of this article.

Posthumanism: Literary Criticism in the Posthuman Era

As mentioned above, in the current posthuman era, post-humanist criticism has begun to ascend to the forum of criticism. Like all the other post-theoretical critical theories, it is also responsible for challenging and deconstructing (anthropocentrism), launching attacks on all human-centered consciousness, and ultimately restoring human status as a member of the natural world. Where are the impact and limitations it generates reflected? I will provide a brief summary in the final section.

Firstly, the earliest areas where Post-humanist criticism challenged humanist criticism were ecocriticism and environmental research. These critics love the natural environment and try to maintain the ecology that humans rely on for survival. Therefore, they feel disgusted with all attempts to destroy the natural ecology and environment and launch strong attacks against these deeds. Indeed, throughout the history of world literature, depicting the relationship between humans, nature, and the ecological environment has always been an inexhaustible theme in literary works. In terms of nature description in modern Western literature, people generally trace back to Henry David Thoreau, the founder of American nature writing. Although many writers before Thoreau had already involved the relationship between humans and various species and environments in their own works, the most popular works were those that described the relationship between humans and the natural environment, as well as humans and animals. The relationship between humans and nature is generally harmonious, but sometimes humans, in order to rapidly develop production and improve their quality of life in a short period of time, often spare no effort to develop themselves at the cost

of damaging or depleting natural resources, which inevitably leads to opposition between humans and nature. Of course, nature's retaliation against humans is also ruthless. In recent decades, we have tasted enough of the disasters brought about by nature's retaliation against humans. Ecocriticism emerged to improve and readjust the relationship between humans and nature. Ecocriticism is aimed at literary works that describe the ecological environment and the relationship between natural species and humans, and provide interpretations and criticisms of them. Although the intellectual resources of ecocriticism can be traced back to ancient times, modern ecocriticism generally refers to a critical theory and method that emerged in developed Western countries in the 1960s and 1970s. On September 27, 1962, the book *Silent Spring* by American biologist Rachel Carson was officially published. The publication of this book sparked people's reflection on the fate of the damaged environment, and also marked the official appearance of literary ecocriticism in the European and American literary critical circles. Since its birth, ecocriticism has made significant progress in both Western and Chinese contexts, while China's ecocriticism combines theories introduced from the West with local ecological resources. In addition, most of China's ecocritics have received strict training in English writing in Western universities, so their articles published in English have had a wide international impact. It can be said that among various contemporary critical schools in China, ecocriticism may be the earliest and most closely connected critical school to align with its international peers.¹

Secondly, post-humanism also focuses on animals on Earth. Animal studies, which are currently flourishing in the Western critical circles, were initiated by some scholars who previously focused on posthuman phenomena and engaged in ecocriticism. We previously regarded it as a sort of "animal turn" in contemporary ecocriticism (Wang, "The 'Animal Turn' in Contemporary Ecocriticism" 34), and now it seems that the so-called "animal turn" is also an important turning point in Post-humanist criticism. In recent years, the relationship between humans and other species on Earth has undergone dramatic changes, making the relationship between humans and animals an increasingly important topic of concern for writers and literary critics. This phenomenon is also a hot topic of concern for theorists in the post-theoretical era. In this regard, post-theoretical philosophers and theorists like

1 As one of the earliest scholars to introduce Western ecocriticism into China, while writing in Chinese, Wang, one of the authors of this article was also invited to edit three special issues with ecocriticism as the theme for three international journals, which had some significant international impact. See Wang Ning, ed. *Beyond Thoreau: Literary Response to Nature*, a special issue, *Neohelicon* 2 (2009): 285-432; *Global in the Local: Ecocriticism in China*, *ISLE: Interdisciplinary Studies in Literature and Environment* 4 (2014): 735-843; and *Ecocriticism in East Asia*, *Comparative Literature Studies* 4 (2018): 729-890.

Jacques Derrida¹, Donna Haraway², Cary Wolfe³, and others who have paid close attention to and provided important inspiration for ecological and animal studies have published quite a few works, and their works and critical ideas have become important theoretical resources for contemporary animal studies. Scholars engaged in animal studies generally believe that animals, like humans, are a species of all things on Earth. Due to their evolution over the years, some animals such as cats, dogs, wolves, etc. have begun to approach humans emotionally and ethically, and even engage in emotional communication with humans. The phenomenon of loving pets that has emerged in contemporary China and the West has sparked heated discussions among people. Some white-collar women, in order to reduce their living burden, even choose not to get married or have children, nor to find opposite sex partners, and instead fill this vacuum in their lives by keeping pets such as dogs and cats. They have a deep affection for these pets, and even try not to go on long trips for them. Even if it is necessary to go out, they will arrange for dedicated personnel to take care of these pets or drive them on trips together. Their indulgence and concern for pets at least indicate a sort of post-humanistic concern, so there are gradually more literary works that focus on animals as the main characters and describe the relationship between humans and animals. These are the texts that animal studies critics must rely on in their critical practice.

Furthermore, as mentioned earlier, with the rapid development of contemporary high technology, many writers have turned their attention to the metaverse or some virtual worlds, attempting to find inspiration and resources for literary creation. A literary phenomenon directly related to this tendency is the rise of science fiction and its rapid global development. The resurgence of science fiction in the era of globalization is closely related to the rapid development of contemporary high technology. If China's serious elite literature has been able to enter the world mainly thanks to the support of relevant national departments and foundations, then the entry of science fiction into the world is entirely due to the initiative of foreign translation and publishers. On the one hand, this indicates that these literary works explore issues of universal concern to all humanity, thus possessing a common value for all mankind. On the other hand, it also indicates that even in a virtual fantasy world

1 See Cf. Jacques Derrida, *The Animal That Therefore I Am*, translated by David Wills, New York: Fordham University Press, 2008; *The Beast and the Sovereign* Vol. 1, translated by Geoff Bennington, Chicago: University of Chicago Press, 2009; and *The Beast and the Sovereign* Vol. 2, translated by Geoff Bennington, Chicago: University of Chicago Press, 2011.

2 See Cf. Donna Haraway, *The Companion Species Manifesto: Dogs, People, and Significant Otherness*, Chicago: Prickly Paradigm Press, 2003.

3 See Cf. Cary Wolfe, *What Is Posthumanism?*, Minneapolis: University of Minnesota Press, 2009.

or metaverse world, literary imagination is still indispensable. Since it is difficult to unleash this imagination in the real world, one must go to a metaverse or virtual world to search for and showcase it, because for writers from all over the world, their literary minds are interconnected. Humanist criticism should naturally pay attention to and make judgments on these phenomena. The ongoing science fiction criticism and studies in contemporary China and the West illustrate this point.

It can be seen that the rise of Post-humanist criticism can indeed make up for the shortcomings of previous humanist criticism, making contemporary literary criticism truly diverse. But what people are concerned about is whether the deconstruction of anthropocentrism in literary criticism will lead to an ecological or animal centric approach. Will emphasizing the “materialist” dimension and “narrative” of literature weaken the humanistic tendency and stance of literary criticism? We think we have made it clear in this article that Post-humanist criticism is not a complete rejection of humanism, but a backlash against the humanistic tendencies that have developed to the extreme. Because the humanistic dimension of literature can never be abandoned, although it cannot cover all aspects of literary creation and criticism. In this regard, Post-humanist criticism may play a vital role in filling some gaps.

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为“不可读性”架桥：人工智能赋能大学外语文学教学

Bridging Unreadability: AI Empowerment in College Foreign Language Literature Teaching

孙艳萍 (Sun Yanping)

内容摘要：在人工智能技术驱动的教育变革中，“不可读性”正从阅读障碍转化为阐释创新的契机，但其多层次内涵在大学外语文学教学中尚未得到充分且系统的开发。学生常因未能准确辨识不可读性的层级差异，陷入既过度追求确定性又畏惧误读的双重困境。不可读性可划分为语言、文本、文化与哲学四个层级，其中后三个层级构成文学阐释的核心挑战：文本层的反传统形式颠覆线性阅读逻辑；文化层的叙事空白隐含的文化隔阂阻断意义生成；哲学层的能指链永恒滑动指向超越语境的无限阐释可能。以《荒原》为范本，人工智能通过技术路径赋能教学：通过可视化语义导航、典故图谱、数字化续写、意义延展生成与模拟哲学对话等技术手段，引导学生建构应对不可读性的认知框架，深度体验文学文本的复杂性与开放性。这种技术赋能的教学实践将不可读性重塑为人机协同的思维训练场域，推动批判性思维与创造力的协同发展。

关键词：不可读性；文学阅读；大学外语文学教学；人工智能；《荒原》

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Title: Bridging Unreadability: AI Empowerment in College Foreign Language Literature Teaching

Abstract: Amid the AI-driven transformation of education, “unreadability” is shifting from a reading barrier to a catalyst for interpretive innovation. However, its multilayered implications have yet to be fully and systematically developed in college-level foreign language literature teaching. Students often fall into a dual predicament: an excessive pursuit of interpretive certainty on one hand, and a fear of misreading on the other—largely due to their inability to accurately distinguish between different layers of unreadability. These layers can be categorized into four dimensions—linguistic, textual, cultural, and philosophical—with the latter three

forming the core challenges of literary interpretation. Textual unreadability arises from anti-traditional forms that disrupt linear reading logic; cultural unreadability stems from narrative blanks that imply intercultural estrangement and hinder the generation of meaning; philosophical unreadability involves the perpetual slippage of signifiers, which points to infinite interpretive possibilities beyond contextual confines. Using *The Waste Land* as a paradigmatic example, this study explores how AI empowers literature teaching through technological pathways such as semantic visualization, allusion mapping, digital continuation, meaning expansion, and simulated philosophical dialogue. These strategies guide students in constructing cognitive frameworks to navigate unreadability and engage more deeply with the complexity and openness of literary texts. Such AI-augmented pedagogy reconceptualizes unreadability as a collaborative thinking arena between humans and machines, promoting the integrated development of critical thinking and creativity.

Keywords: Unreadability; reading literature; college foreign language literature teaching; Artificial Intelligence; *The Waste Land*

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人工智能（AI）在文学领域的应用导致了“文学创作、文学形式、文学阅读、文学价值观念尤其是文学理论的根本性改变”（聂珍钊，“AI与人文学术研究的科学转向”16）。作为文学教育的核心活动，文学阅读的变革深刻影响着文学教学和人才培养体系。其中，对文学“不可读性”的学理阐释，直接关涉“为何读”与“如何读”这两个教学命题¹，是AI时代文学教育实现范式突破的关键切入点。

自20世纪以来，“不可读性”问题分别在文学研究与教育领域持续引发关注，推动了阅读理论的研究和文学阐释方法的创新。在解构主义的视域下，文学“不可读性”的本质呈现为语言哲学层面的本体论特征，表现为文本意义的宏观不确定性与抽象延异性²，“从宏观的角度来看，可以说作品具有‘永无穷尽的非逻辑的不确定性’”（申丹25）。正是这种特性孕育着阅读的意

1 哈罗德·布鲁姆的核心理论“创造性误读”与“不可读性”概念存在重要理论关联，参见 Harold Bloom, *How to Read and Why*, New York: Simon & Schuster, 2001.

2 参见郭伟：“解构阅读观刍论”，《外国语言文学》6（2018）：622-635。

义,吸引读者不断挖掘多重阐释的可能,建构文学文本的多样性阐释。¹然而,AI的技术逻辑与文学“不可读性”之间存在着结构性张力,持续增长的算力与算法正逐步赋能文学阅读。²因此,在大学外语文学教学场域中重构阅读的意义,亟需对文学的不可读特性进行语境化再阐释,探索人机协同的阐释新范式。

在语言教育语境中,“不可读性”可被视为文本引发的认知困境³,其解析需综合考量读者在语言特征、文学形式及文化背景等维度的认知因素。作为语言教育的重要实践形态,文学教育的核心在于引领学生将不可读文本转化为可读文本的认知建构过程。AI技术的迅猛发展,通过自然语言处理与机器学习技术,在一定程度上弱化了读者对既有知识储备的过度依赖,为提升认知转化效率提供了技术支撑。⁴因此,文学教育应积极借助AI工具精细解析阅读过程,使其成为培养学生批判性阅读能力的助力而非阻碍。这要求教育者深入探求不同认知层面中不可读性的具体构成因素,构建人机协同的阅读解析框架。

艾略特(T. S. Eliot)的《荒原》(*The Waste Land*)作为现代主义文学的典范,其碎片化结构、高度互文性及多声部对话的语言实验,共同塑造了“不可读性”经典文学样本。⁵本研究以《荒原》为教学案例,在AI时代的教学语境中,将“不可读性”划分为语言、文本、文化及哲学四个认知维度,聚

1 保罗·德·曼在《盲视与洞见》中指出,“不可读性”造成的盲视会带来新的阐释洞见,参见 Paul de Man, *Blindness and Insight: Essays in the Rhetoric of Contemporary Criticism*, Minneapolis: University of Minnesota Press, 1983; 类似地,希利斯·米勒认为“不可读性”是文本的真正内容,要求读者承担伦理责任,通过主动误读参与意义建构,参见 J. Hillis Miller, *The Ethics of Reading*, New York: Columbia University Press, 1987.

2 当前AI已经能够通过情感分析、主题建模等技术辅助文学批评,但其计算模式倾向于将文本简化为可量化与可预测的模式,从而可能削弱文学的歧义与深层意义。参见 Kundharu Saddhono, et al., “AI-Powered Automated Criticism Design Tool Based on Texts and Its Themes,” *ICACITE*, Greater, Noida: IEEE, 2024, 1528-1533; Cristina Gârbacea, et al., “An Empirical Study on Explainable Prediction of Text Complexity: Preliminaries for Text Simplification,” *The 59th Annual Meeting of the Association for Computational Linguistics and the 11th International Joint Conference on Natural Language Processing*, New York: Association for Computational Linguistics, 2020, 1-10.

3 关于阅读的认知本质及其教育,参见 Wesley A. Hoover and William E. Tunmer, *The Cognitive Foundations of Reading and Its Acquisition: A Framework with Applications Connecting Teaching and Learning*, New York: Springer, 2020.

4 有关提升阅读能力的人机交互策略研究,参见 Shen Guorong, “Strategies for Improving Text Reading Ability Based on Human-Computer Interaction in Artificial Intelligence,” *Frontiers in Psychology* 13 (2022): 1-10.

5 庞德、利维斯等人提出,《荒原》的非线性叙事和断裂意象打破了传统诗歌的连贯性;克林斯·布鲁克斯则认为碎片化是对《荒原》的误读,诗歌虽看似松散,却采用了反复的意象与一致的情感氛围,达到主题与形式的统一。这两种观点正体现了不可读性与可读性在《荒原》中的互相转换。参见 F. R. Leavis, *New Bearings in English Poetry*, London: Chatto & Windus, 1932, 84; Cleanth Brooks, *Modern Poetry and the Tradition*, Chapel Hill: University of North Carolina Press, 1939, 136-172.

焦于如何运用 AI 技术引导学生突破文本结构、文化语境与哲学隐喻三重理解障碍。通过重构对文学“不可读性”的认知,学生不仅能重塑阅读活动的意义生成机制,更能掌握融合远读(distant reading)与细读(close reading)的具体策略,最终实现从阅读观念到阅读能力的批判性跃迁。

一、外语文学教学语境中不可读性的四个层面及其 AI 适配机制

在语义逻辑上,“不可读性”与“可读性”构成严格的互补反义关系(complementary antonym),即一个文本无法同时具备“能够被阅读”以及“无法被阅读”的双重属性。然而在语用层面,二者却表现为程度反义词(gradable antonym)的特征,即描述一个文本“不可读”时,通常并非指它完全无法阅读,而是强调文本对多数读者而言存在着理解障碍和阐释难度。“不可读性和不可译性恰恰是有待阅读的东西(……)可读性就寓于不可读性之中,或相反;而对不可读性的阐释和解码是对可读性的增补和重写”(陈永国 16)。正是这种性质与程度的双重涵义,体现了不可读性与可读性的辩证关系——二者相反相成、相互影响乃至转化。因此,文本的不可读特点赋予阅读的根本动力,其不可读程度则决定阅读方式。

尽管不可读性问题贯穿文学阅读与批评的全过程,但文学教育却较少从此视角出发来设计教学,以培养学生的批判性阅读能力。结构主义对文本“含混”(ambiguity)的考察,以及解构主义对语言延异(différance)生成和自相矛盾的探讨,都触及了不可读性的本质。¹然而,这些理论洞见在教学实践中未能有效弥合可读与不可读、抽象与具象之间的逻辑断层。面对文本时,学生常陷入两种认知误区:或因难以把握不可读性的哲学内涵而过度追求阐释的“正解”,或因误解解构主义“一切阅读都是误读”的观点而在阐释中踌躇不前。这些偏差皆源于对不可读性的片面理解。因此,为培养学生恰当的阐释观念,有必要梳理阅读中不同种类的不可读性,建立更加全面而系统的分类与定义。唯其如此,方能切实提升学生自主应对文学作品中多种不可读性的能力。

在外语文学教学中,不可读性可按认知难度划分为语言、文本、文化与哲学四个层面(见图1),分别对应:浅层表意的实用语言知识、含混多义的文学语言特性、深层隐含的文化逻辑体系与宏观抽象的语言哲学观念。人工智能在上述四个层面均展现出独特的适配性。AI 虽不具备人类的情感投射能力,却可通过模式识别揭示文本深层结构。这种由 AI 驱动的“冷阅读”与由

1 燕卜苏最早系统探讨了“含混”概念。他在《含混的七种类型》中提出的类型划分,为后续结构主义诗学(如乔纳森·卡勒的相关研究)奠定了理论基础。其他如罗曼·雅克布森、罗兰·巴特、凯蒙-里南等结构主义叙事学者,均曾探讨含混现象。参见 William Empson, *Seven Types of Ambiguity*, New York: New Direction, 1930; Jonathan Culler, *Structuralist Poetics: Structuralism, Linguistics and the Study of Literature*, London: Routledge, 1975; Jacques Derrida, *Of Grammatology*, translated by Gayatri Chakravorty Spivak, Baltimore: Johns Hopkins University Press, 1976.

人类主导的“热解读”之间的辩证关系，为破解上述不可读性提供了的关键路径。



图1 不可读性的四个层面

语言层面的不可读性 (Linguistic Unreadability) 源于读者语言基础及科学知识 与文本语言系统的错位, 构成外语文学阅读的首要障碍。针对此问题, 语言学、心理学及教育学等领域已发展出成熟的 可读性研究体系。该体系将可读性视为衡量文本难易的具象指标, 旨在为学习者推荐适合的阅读文本, 并为教材编写、阅读测试与课程规划等提供重要参考价值。其核心成果是 可读性公式, 聚焦于分析“浅层的语言特征, 如词长、句长、音节数等” (吴思远等 2)。例如 Flesch-Kincaid 公式, 通过分析平均词长 (音节数 / 词数) 和平均句长 (词数 / 句数) 来计算文本难度等级, 量化文本可读性。¹ 在此层面引入 AI 的自然语言处理 (NLP) 技术与机器学习算法, 可推动可读性分析从静态、通用的公式评估转向动态、个性化的阅读辅助, 助力学生逐步跨越语言障碍。然而, 此类技术目前主要适配一般知识性文本, 尚未充分纳入更具文学性的其他三个维度 (文本、文化、哲学), 对解决文学的不可读性作用相对有限。

文本层面的不可读性 (Textual Unreadability) 源于文学语言的陌生化

1 Flesch-Kincaid 可读性公式由 J. Peter Kincaid 等人于 1975 年基于 Rudolph Flesch 的研究提出。该公式最初为美国海军评估技术文档和培训材料的阅读难度而设计, 其核心原理基于一个关键假设: 文本的阅读难度与词汇长度和句子复杂度呈正相关。参见 J. Peter Kincaid, et al., *Derivation of New Readability Formulas (Automated Readability Index, Fog Count and Flesch Reading Ease Formula) For Navy Enlisted Personnel*, Florida: Institute for Simulation and Training, 1975.

(defamiliarization) 策略。¹ 区别于明确直接的实用语言, 文学语言通过刻意模糊语义逻辑、解构符号关联来重构文本阐释框架, 这一特点在现代主义和后现代主义作品中尤为显著。² 它迫使读者重新审视语言符号的意义与关系, 挑战线性阅读习惯, 寻求新的解读路径。在外语文学教学中, 文本层面的不可读性要求学生超越常规语法逻辑, 将看似断裂或矛盾的语言符号重新连接, 构建新的语义与阐释体系。面对此类结构复杂、意义层叠的文本, AI 大语言模型 (LLMs) 可协助揭示其隐含的语义关联与叙事模式。结合可视化工具 (如语义网络图、词云), AI 能直观呈现词语分布和结构关系, 帮助学生把握文本深层逻辑。这种远读与细读的结合, 为破解形式实验引发的理解困境提供了技术路径。

文化层面的不可读性 (Cultural Unreadability) 源于读者文化经验与文本文化体系之间的隔阂。在外语文学教学中, 文学阅读必然是跨文化阐释活动³, 学生与文本间存在的文化距离使其难以把握文化符号的深层意指, 从而无法有效解读文本的文化内涵。应对文化层面的不可读性, 教学需引导学生深入探究文本背后的文化细节与逻辑, 并调动其理解力、文化共情力与想象力来填补文本空白。在此过程中, AI 可调用跨文化知识图谱与文献数据库, 识别特定文化意象, 关联相关, 并生成可视化的文化认知路径, 从而辅助学生构建与文本的意义连接, 弥合文化认知鸿沟。

哲学层面的不可读性 (Philosophical Unreadability) 根植于语言符号能指链的永恒滑动 (slippage of the signifying chain), 其变化充满随机性, 独立于特定阅读行为与主体。⁴ 这种不可读性超越具体语境, 存在于开放的时空维度中, 昭示着文本在阐释中无限生成的潜能。在教学实践中, 引导学生体悟此种不可读性, 需突破传统阐释的时空边界。借助生成式人工智能 (Generative AI), 学生得以直观观察语词的延异与意义的自我解构 / 增殖过程, 从而领悟“阐释即创造”的本体论实质。此外, AI 可模拟哲学家对话⁵, 构建交互式阐释场域, 以更通俗的语言帮助学习者理解语言哲学的不可读性理论。

人工智能凭借其大规模数据库、自然语言处理技术、跨文化数据分析

1 参见 Viktor Shlovsky, “Art as Technique,” *Literary Theory: An Anthology*, edited by Julie Rivkin and Michael Ryan, Chichester: Wiley Blackwell, 2017, 8-14.

2 现代主义及后现代主义文学作品采用碎片化叙事、互文性与拼贴等技巧, 以呈现现代性经验中的不确定性, 参见 Isabelle Alfandary and Axel Nesme, eds., *Modernism and Unreadability*, Montpellier: Presses universitaires de la Méditerranée, 2011.

3 参见 Jeneen Naji, et al., “Literature and Culture,” *New Approaches to Literature for Language Learning*, Cham: Palgrave Macmillan, 2019, 81-97.

4 参见 Li Tang, “Signifying Chain, Split Subject & on Transcendental Truth: Similarities between the Thoughts of Derrida & Lacan,” *Comparative Literature: East & West* 1 (2011): 153.

5 经实证研究发现, 通过对大型语言模型进行定向微调 (fine-tuning), 可生成与专业哲学家创作高度近似的哲学文本。参见 Eric Schwitzgebel, et al., “Creating a Large Language Model of a Philosopher,” *Mind & Language* 2 (2024): 237-259.

与文本生成能力，能针对性地赋能文学课堂，实现阐释过程的可视化，为应对语言、文本、文化、哲学四个层面的不可读性架设桥梁。其中，文本、文化与哲学层面的不可读性构成了文学教育的核心挑战。因此，关键在于：如何在这三个层面设计与人工智能的有效互动，使其既能提供动态脚手架（scaffolding），引导学生穿越阐释的迷雾，又能保障学生的主体能动性（agency），助其在“可读/不可读”、“可解/不可解”的辩证张力中锤炼批判性思维？

二、文本晦涩形式的可视化语义导航

文本层面的不可读性随现代主义实验文学兴起，于后现代文学中凸显。受燕卜苏“含混”理论的启发，学界近年效仿其方法，以美国现代诗歌为对象提出七类不可读性：双关语（Paronomasia）、简洁性（Concinnity）、简短性（Laconicism）、重复性（Verbigeration）、连续性（Seriality）、矛盾性（Antilogia）和不连贯性（Incohesion）。¹ 这些分类虽未穷尽，但都具有一定的代表性。

从符号学视角来看，此类不可读性本质是能指-所指关系的三重断裂：含混多义性（能指与所指非一一对应）、逻辑断裂性（所指间连续性缺失）和意义矛盾性（所指间相互驳斥）。² 这些错综交织的符号关系，若仅依赖传统细读解析将耗费巨大精力。而人工智能与语义分析平台的协同可快速提炼潜在逻辑关系，并通过可视化引导学生定向分析——即在细读锚定关键矛盾点后，以 AI 远读向全文辐射，实现系统化破译。

《荒原》开篇名句“April is the cruellest month.”是矛盾性不可读性的典型体现。“四月”作为生命复苏的象征符号与“残酷”的语义属性构成尖锐悖论，此矛盾恰是解码全诗不可读性的关键点。首先，从细读锚定核心矛盾点出发，输入《荒原》全文并指令 AI 提取与关键词“April”或“cruel”相关联的意象群。AI 将输出两列语义场：“April”场（如 lilacs, dead land, dull roots, spring rain, Hyacinth）与“cruel”场（如 dead land, memory, desire, pain）。这一过程不仅激活了词语间的潜在联系，更通过揭示“dead land”等交集意象，为矛盾解码奠定了语义基础。教师可同步启发学生拓展检索维度（如对比诗中其他季节意象），进一步提升理解的全面性。在此阶段，AI 主要承担全文语义扫描与结构化组织的任务，显著提升了文本解析的效率和系统性。

继而，结合语义分析平台与思维导图工具，建构可视化的语义逻辑网络。基于前述关键词，指令 AI 调用 OED 等权威词典的语义数据库，并以可视化图

1 参见 Steven Gould Axelrod, “Reading the Unreadable in Modern American Poetry,” *A Companion to American Poetry*, edited by Mary Mcaleer Balkun, et al., Hoboken: Wiley & Sons, 2022, 184-198.

2 参见 Marghoob Ahmad, “Deconstructing Bond of Signifier & Signified: a Corpus-Based Study of Variation in Meaning,” *International Journal of Linguistics, Literature and Culture* 4 (2020): 76-87.

表工具（如 Mermaid）生成直观的语义关系图谱（见图 2¹）。图中清晰呈现“春天生机→死亡残酷”的悖论连接，揭示四月之“残酷”本质源于生命复苏激发的痛苦记忆与欲望张力。相较于传统阐释，可视化图谱既凸显核心隐喻关联，又以精简关键词保留学生思辨空间，推动其主动探讨艾略特对春天传统的颠覆逻辑。

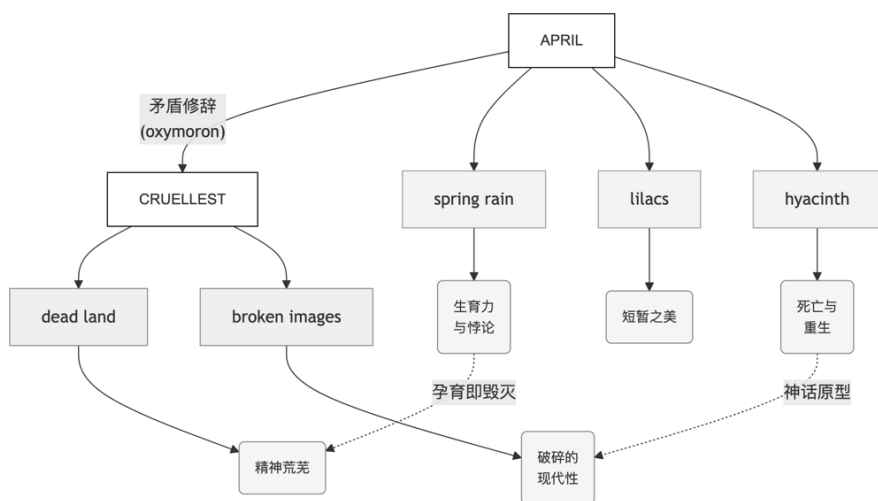


图2 AI生成的《荒原》中“April”与“cruel”的部分语义逻辑示例

最终，多重解读路径供学生进行多方面批判和评估。根据不同的语义逻辑，AI可生成多条解读路径，如：1）四月的自然的复苏具有暴力性；2）四月是创伤的循环与轮回；3）春天代表的生育总是伴随着侵害；等等。教师需引导学生审视每条路径的文本依据，辨析AI解读的合理性与盲区，进而超越算法逻辑形成独立见解。此过程将阐释能力训练具象化为“质疑—验证—重构”的思辨循环。

从搜索关键词、梳理可视化语义网络到生成解读，实现了三重教学价值。其一，认知外化：AI通过逐层解析的方式，动态呈现文本从“不可读”向“可读”转化的认知路径；其二，思维建模：AI实现了文本分析思维的可视化，远读/细读协同为学生提供系统性的阐释框架；其三，能力迁移：该过程基于学生的实际阅读反馈，具有高度的互动性与适应性，不仅示范了文本阐释的方法，也在互动性解读中同步强化了学生的逻辑推理、语言表达与批判性思维。

1 图2由Deepseek根据Mermaid图表工具格式生成。考虑到图表的可读性，此处仅截取了部分关键词作为示例。

三、叙事空白的文化典故导图与数字化重写

文化层面的不可读性在外国文学教学中具有关键意义。沃尔夫冈·伊瑟尔接受美学理论中的“空白”（blanks）概念指出，文学文本中存在许多未言明的叙事间隙，“只能由读者的想象填补”（84）。叙事空白为文本阐释提供了多重可能，但当读者文化储备不足时，此类空白将引发理解断裂，构成文化不可读性。对学生读者而言，弥合空白的前提是掌握隐喻、意象等文本形式背后的历史语境与互文典故，从而激活阐释潜能。传统教学受限于静态背景介绍，往往由教师讲授或呈现于阅读材料中，内容相对固定且有限。面对《荒原》这类典故密集型文本时，既难以全景式覆盖文化网络，亦无法深度开掘具体符号。真正的文化能力培养，重在引导学生主动探索而非被动接受知识。“对人文数据的分析和判断，无论效率还是准确性神经网络计算机都超越了人脑”（聂珍钊，“人文研究的科学转向” 567）。为此，AI可提供三重赋能：一是系统性生成全诗文化典故知识图谱，构建阅读的导航框架；二是按需检索个性化互文节点，解析潜藏文化逻辑；三是在叙事空白处辅助生成扩展文本，激发多重意义想象。

在解读艾略特的诗歌时，AI首先生成文化典故的思维导图赋能初读。《荒原》全诗交织《圣经》、瓦格纳歌剧，以及德文、法文、意大利文与拉丁文经典文本，形成隐匿的互文迷宫。通过AI可视化梳理，学生得以把握典故系统的整体架构与基调关联（见图3¹）。该导图以诗题“The Waste Land”为中

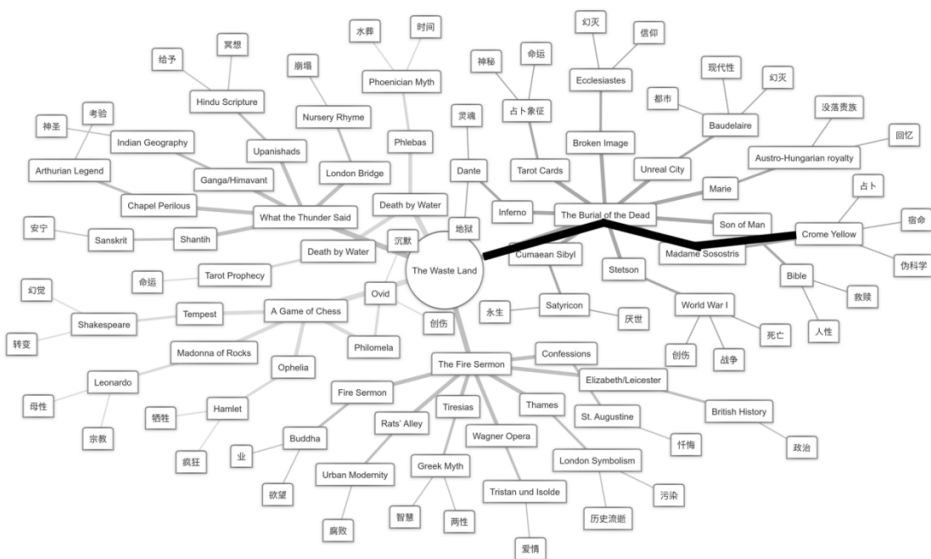


图3 AI生成的《荒原》文化典故思维导图

1 图3思维导图由Deepseek按照层级要求识别出典故，按照Mermaid格式生成。

心,向外辐射章节名(如“The Burial of the Dead”)、典故原词(如“Madame Sosostris”)及关键词释义(如 Crome Yellow),将碎片的信息整合为可探索的知识网络。需强调的是,AI生成的文化典故图谱仅提供基础框架,需经学生检验和补充,方能实现多元视角下的知识共建与完善。

在细读阶段,学生可由文本细节出发,结合个人兴趣,检索文化内涵,为形成创新性解读开辟路径。例如,《荒原》第二部分“一场棋局”中的对白“My nerves are bad tonight”,语境模糊、文化指涉不明。此时,学生可以围绕对白形式与潜在互文对象向AI发出检索指令。AI可识别出了多个互文节点,如莎士比亚《哈姆雷特》中奥菲利娅精神崩溃时的语言节奏,以及福楼拜《包法利夫人》中爱玛陷入婚姻与欲望困境时的神经性失控。此外,还可能涉及莎士比亚的《安东尼与克娄巴特拉》、约翰·韦伯斯特的《白魔》、奥维德的《变形记》和但丁的《神曲》等,关联至“女性困境”“家庭失序”“历史创伤”“精神漂泊”等母题,使私人独白与整首诗文明崩塌主题产生深度共振。

最后,AI驱动的叙事生成工具支持创造性填补叙事空白,将解读路径扩展为多线程叙事结构,使读者在探索不同节点时体会阐释的多样性。比如,以“My nerves are bad tonight”为解读的关键词,AI可扩展出若干分支叙事,如战后公寓里夫妻间沉默的晚餐、疗养院中精神崩溃的独白、茶室里一场未竟的对话,等等(见图4)。同时,AI可协助学生扩写其前因后果,推演角色之间的关系、心理状态与语境设定,赋能学生在写作中深化阅读。



图4 AI基于不同解读生成的多线程叙事

这一过程不仅激发学生的想象力,更重塑其在文学活动中的主体地位,“通过对文本的改写,读者和批评家也就从文学的消费者变成了文学的生产者”(聂珍钊,“论语言与文本”49)。当AI模糊作者与读者的界限,阅读伦理正转向强调“读者在意义建构中的主动参与”(Yang and Kim 1)。数字化重写

使隐性的创作活动显形，促使学生深入体察文本未言处的文化张力。

四、哲学意义的动态阐释场域与模拟对话

哲学层面的不可读性本质上迥异于语言、文本与文化层面的不可读性。它并非直接检验学生的具体阐释能力，却悄然重塑其阅读的价值批判与批评意识。若未能领悟哲学不可读性的深层意蕴，学生极易陷入对“标准答案”的焦虑，从而遮蔽文本固有的生成性、开放性和多义性。在外语文学教学中，引导学生体验并体认这种不可读性，恰是建立积极阅读观、培养自主阐释动能与塑造批评思维的核心支点。

不可读性绝非否定阐释的可能性，而是对其唯一性与终极正确性的解构。当保罗·德曼提出寓言性文本（*allegory*）具有自我解构与意义偏离（*aberrancy*）的特质，断言“洞见即盲点”（*insight is blindness*）¹时，其意不在遏制阅读实践，而是揭示阐释过程中偏离与误读的必然性，以此消解读者的误读焦虑。同样，德里达借“延异”与不确定性（*indeterminacy*）指出，文本本质地具有开放结构与无限可解读性，任何对文本确切、完美的终极意义的穷尽性追求终将沦为徒劳。²这些理论视角能够帮助学生突破“正确阅读”的执念，树立更具主动性与开放性的阅读观，即将阅读视为阐释路径持续生成的动态过程，而非通向唯一真理的线性跋涉。正是这种对开放性阐释的认知，为文学阅读注入永恒驱动力，使哲学层面的不可读性与语言、文本、文化层面的不可读性在逻辑上形成呼应：前者构成理解活动的元前提，后者则是可被不断穿越的具象障碍。

在此框架下，借助 AI 技术深化学生对文本矛盾与延异的感知，可强化对哲学不可读性概念的抽象认知。具体而言，其一，通过捕捉阐释矛盾，体认修辞的自我消解机制，观察意义在动态解构中的生成与崩塌，从而消解对误读的恐惧；其二，从有限的词语出发，追踪意义的动态延展，在关联词群的无限生成中体验思维边界的突破；其三，通过模拟哲学对话，在思辨互动中直面不可读性的语言哲学本质。

基于德曼的误读理论，AI 能够辅助学生观察《荒原》第二部分“一场棋局”中对白的动态博弈。首先，AI 可检索“都市异化”“精神崩溃”“战后创伤”等主流解读框架。继而，AI 可挖掘与这些解读相悖的文本细节，如表面冷漠琐碎的家庭对话，暗示精神危机可能源于日常经验的细碎侵蚀，而非宏大历史创伤的直接投射。这种阐释矛盾的显性呈现，既瓦解了学生对固定解读的依赖，又强化了其对文本复杂性与不可还原性的具身认知。

1 参见 Paul de Mann, *Allegories of Reading: Figural Language in Rousseau, Nietzsche, Rilke, and Proust*, New Haven: Yale University Press, 1979; *Blindness and Insight: Essays in the Rhetoric of Contemporary Criticism*, Minneapolis: University of Minnesota Press, 1983.

2 参见 Jeneen Naji, et al., “Literature and Culture,” *New Approaches to Literature for Language Learning*, Cham: Palgrave Macmillan, 2019, 81-97.

沿袭德里达的理论, AI 可构建意义延异的探索路径。以《荒原》结尾的梵语箴言“Datta. Dayadhvam. Damyata.”为原点, 学生可借助 Visuwords、WordNet 等词汇数据库, 延展出与这三个词相关联的词群, 如“给予(giving)”“慈悲(compassion)”“克制(control)”等。进一步, 每个词语可延展出文化意象、哲学隐喻等多元维度, 形成开放的意义星丛。这一过程恰如德里达所言, 意义永远处于延宕、差异与未完成状态。每层意义的揭示都会催生新的阐释分支, 形成永无终点的意义拓扑, 从而具象化《荒原》的文本开放性。

更进一步, AI 还可以模拟哲学对话场景, 通过角色扮演功能(如虚拟德里达、德曼或米勒), 与学生展开思辨交锋。当学生追问“何为不可读性?”“为何所有解读皆是误读?”时, AI 依据各哲学家理论立场生成差异化回应: 德里达强调“意义在无限的差异链条中延宕”, 德曼聚焦“修辞矛盾导致意义的自我解构”, 米勒则主张“误读是构成伦理阅读责任的一部分”。这种交互式对话, 使哲学不可读性从抽象理论转化为可感知的阅读实践立场。如此, AI 不仅提供了技术性的辅助, 更充当了哲学探讨的引导者, 帮助学生在实践中体悟哲学层面不可读性的意义: 不可读性, 并不是为了否定阐释的意义, 而是为了解放阐释的可能。在这样的教学理念下, 学生能够以更开放、积极、批判的姿态面对复杂的文学文本, 真正实现独立而自由的批评实践。

在 AI 赋能下, 学生在阅读文学时, 可以跟随可视化图表解密文本语义的复杂纠葛, 应对文本层面的不可读性; 可以利用典故图谱与数字化重写技术穿透文化壁垒, 克服文化层面的不可读性; 也可以借助 AI 的生成性与模拟对话理解文本意义的自我生成、自我矛盾与无尽延异, 体悟哲学层面的不可读性。这种从具体到抽象、从实践到思辨、从符号到意义的完整外语文学教学链路, 既锤炼了学生的批判性阐释技艺, 更重塑了其阐释的价值取向。当人工智能深度介入人文领域, 其角色已超越工具属性, 渐成文学认知的构成性要素。面对《荒原》的碎片化文本与 AI 的语义生成能力, 我们不仅在重构经典阐释范式, 更在参与一场认知革命——将“不可读性”从阅读障碍转化为理解文学复杂性的新入口。未来, 唯有在技术理性与人文精神深度融合的视野下, 人工智能方能真正成为文学教育与批评研究的赋能者, 其带来的机遇与挑战, 终将转化为教育者与研究者的共同使命。

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Vertical Ethics in *The Platform*: An Ethical Literary Criticism of Food, Power, and Structural Injustice

Lyu Hohyun & Kim Dohoon

Abstract: This article examines the Spanish dystopian film *The Platform* as a narrative allegory of global food inequality and structural injustice. Grounded in Nie Zhenzhao's Ethical Literary Criticism, the analysis explores how the film constructs a moral system through its institutional design—one that removes private ownership, disconnects entitlement from labor, and subjects access to arbitrary mechanisms of control. Rather than portraying scarcity as a natural condition, the film frames hunger as a consequence of ethical failure embedded in systemic design. By juxtaposing the narrative's spatial and institutional architecture with real-world food systems, the study clarifies how dystopian storytelling can reflect and strategically invert global structures of inequality. Through this approach, this article demonstrates the capacity of ethical literary analysis to critically engage with cinematic texts and illuminate how fictional narratives can function as frameworks for examining the moral architecture of contemporary global systems.

Keywords: *The Platform*; dystopian narrative; global food system; ethical literary criticism; ethical structure

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标题：《饥饿站台》中的垂直伦理：对粮食、权力与结构性不公的文学伦理学批评

内容摘要：论文以西班牙反乌托邦电影《饥饿站台》为研究对象，将其视为全球食物不平等与结构性不正义的叙事性寓言进行分析。运用聂珍钊教授提出的文学伦理学批评理论，探讨影片如何通过制度设计构建伦理体系——取消私有制、切断劳动与获取的联结，并以非理性的控制机制分配资源，从而揭示系统性结构对道德基础的抽离。影片呈现的饥饿并非为自然状态，而是

制度所导致的伦理失败的产物。通过将空间和制度安排与现实食物体系相对照，论文旨在阐明反乌托邦叙事对当代全球不平等结构的反映与批判，以期展现文学伦理学批评在影视文本解读中的理论价值与批判性功能

关键词：粮食安全；文学伦理学批评；《饥饿站台》；粮食；分配伦理

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1. Introduction

Dystopian narratives often unfold in landscapes marked by ruin and moral collapse. As Gregory Claeys notes in *Dystopia: A Natural History* (2016), “the word ‘dystopia’ evokes disturbing images” (3), typically set in “landscapes defined by ruin, death, destruction,” where “the perfumed scents of civility are but a distant memory” (3-4). While Claeys emphasizes the emotive and environmental contours of dystopian settings, M. Keith Booker draws attention to their narrative function: to expose and interrogate contradictions within seemingly stable social systems. Dystopian narratives commonly present radically deteriorated social environments to “more clearly reveal their flaws and contradictions” embedded in everyday life (Booker 3). By simplifying the structures of existence, these narratives foreground needs, desires, and conflicts that are often masked by the norms of functioning societies. They compel ethical reflection by dramatizing moral collapse and systemic injustice.

The Platform (*El Hoyo*, 2019), a Spanish dystopian film, exemplifies such narrative functions through its stark, vertically structured prison known as “the Pit.”¹ The film stages brutal food distribution and interpersonal violence as symbolic critiques of systemic inequality. Its confined architecture and narrative economy sharpen the focus on survival, power, and moral responsibility, positioning the prison as a microcosm of global society. This paper offers a threefold analysis of *The Platform* as a critical allegory of the global food system. First, it situates the film within dystopian traditions that reflect and distort material inequalities, focusing on how food operates as both a material necessity and an ethical fault line. Second, it employs Nie Zhenzhao’s theory of ethical literary criticism—particularly the concepts of ethical structure, knot, and line—to analyze how the narrative constructs and resolves moral dilemmas. Third, it interprets the film’s conclusion as a

1 This analysis is based on the version of *The Platform* distributed by Netflix, which is the only officially released version of the film.

reflection on intergenerational responsibility, suggesting that absence of ownership, randomness of access, and institutionalized deprivation prompt reflection on moral agency in the face of structural injustice. In doing so, the study bridges dystopian allegory and ethical criticism, showing how cinematic narratives act as structured experiments in moral reasoning under systemic injustice.

This discussion engages with three intersecting strands of scholarship: 1) dystopian food allegories, 2) ethical literary criticism, and 3) global food-system studies. The first strand examines how food operates as both a material necessity and symbolic instrument in dystopian settings. Scholars have shown that dystopian narratives often use food to illustrate systems of political control and social stratification, as in analyses of *The Hunger Games*, *Soylent Green*, and *Snowpiercer*.¹ Other studies shift focus toward questions of individual complicity, cultural memory, and ecological trauma. Murray, for instance, highlights dilemmas of guilt and complicity in Atwood's biotech dystopias, while Xiao and Chen analyze how culinary acts in *Lord of the Flies* reflect the breakdown of civility. Höglund and Salmose adopt an ecocritical lens, interpreting food in *The Road* and *Snowpiercer* as a conduit of trauma, loss, and speculative futurity.²

The second strand centers on ethical literary criticism, with Nie Zhenzhao's *Introduction to Ethical Literary Criticism* serving as the primary theoretical source. As one of the most systematic expositions of the theory, it provides key concepts such as "ethical structure," "ethical line," and "ethical knot," along with a clear methodology for analyzing the ethical dimensions of texts. Unlike approaches that treat ethics as supplementary to form or context, Nie's theory places ethical inquiry at the heart of literary meaning. As he notes, once new forms of texts—such as digital, electronic, or performative texts—are conceptually recognized, "new ethics of literature emerge" (19-20). Although originally developed for written literature, the framework has been fruitfully applied to visual media, including Zhang Shengzhen's study of adolescent ethics in *His Dark Materials* and Sandro Jung's analysis of ethical identity in film adaptations of *Death on the Nile*. *The Platform*, with its layered vertical structure and moral conflict, aligns directly with the ethical

1 See Lori L. Parks and Jennifer P. Yamashiro, "Consumed: Food in The Hunger Games," *European Journal of American Culture* 2 (2015): 137-150; Stacy M. Jameson, "Dystopian Film on the Edge of a Food Coma," *New Cinemas: Journal of Contemporary Film* 1 (2018): 43-56.

2 See Sean Murray, "Food for critical thought: Teaching the science fiction of Margaret Atwood," *Pedagogy* 3 (2014): 475-498; Xiao Mingwen and Chen Huafei, "Envisioning a 'Good' Utopia on a Dystopian Island: Culinary and Cultural Conflicts in *Lord of the Flies*," *Island Studies Journal* 2 (2022): 92-106; Johan Höglund and Niklas Salmose, "Climate Diaspora and Future Food Cultures in *Snowpiercer* (2013) and *The Road* (2009)," *Food, Culture & Society* 2 (2024): 310-325.

structure–knot–line model, making it a compelling case for transmedial ethical analysis.

The third strand addresses structural injustice in the global food system. Political economy scholars highlight how transnational agribusinesses consolidate power, distort markets, and deepen inequality. Clapp examines the effects of corporate concentration, while Friedmann identifies systemic crises in capitalist food regimes. Critiques of productionism, such as Lähde et al., show how yield-driven models marginalize smallholders in the global South.¹ Other studies frame food access as a matter of rights and environmental justice. D’Odorico et al. propose a quantitative threshold for inequality, and Gonzalez links global food disparities to colonial and ecological legacies. Collectively, these works call for a more democratic and ecologically grounded global food order.²

Despite rich scholarship in each domain, few studies examine how ethical literary frameworks can be used to interpret cinematic representations of food injustice. This paper addresses that gap by integrating narrative ethics with structural critique. Through *The Platform*, it demonstrates how dystopian cinema can illuminate the moral stakes of global food inequality and invite reflection on ethical agency under institutionalized deprivation.

2. Ethical Literary Criticism and the Structural Logic of Dystopian Narrative

Given *The Platform*’s emphasis on ethical dilemmas and moral disintegration, this paper approaches it as a dystopian narrative through the lens of Nie Zhenzhao’s Ethical Literary Criticism. Central to Nie’s methodology is the “ethical structure–knot–line” model, which analyzes how moral decisions, dilemmas, and their resolutions are embedded within a text’s narrative structure. As Nie notes, “ethical knots are the main manifestations of contradictions and conflicts in the structure of literary works,” serving to expose “the basic ethical issues” underlying the narrative (219–220). These knots are linked by ethical lines—“the whole process of the rise, development, and resolution of the ethical question” (220)—that comprise the narrative’s overall ethical structure. Thus, a narrative’s ethical structure is

1 See Jennifer Clapp, “The Problem with Growing Corporate Concentration and Power in the Global Food System,” *Nature Food* 2 (2021): 404–408; Harriet Friedmann, “The Political Economy of Food: A Global Crisis,” *New Left Review* 197 (1993): 29–57; Ville Lähde et al., “The Crises Inherent in the Success of the Global Food System,” *Ecology and Society* 4 (2023): 16–28.

2 See Paolo D’Odorico et al., “Food Inequality, Injustice, and Rights,” *BioScience* 3 (2019): 180–190; Carmen G. Gonzalez, “Food Justice: An Environmental Justice Critique of the Global Food System,” *Routledge Handbook of Environmental Justice*, edited by Ryan Holifield et al. Cambridge: Cambridge University Press, 2018, 401–417.

“interwoven by ethical lines and ethical knots,” manifesting “characters’ thoughts and actions regulated by moral norms” (218-219). The complexity of this structure depends on both the number of knots and the intricacy of their formation and resolution.¹

Ethical knots necessitate ethical choices, which, as Nie contends, signify deeper ontological inquiry: “ethical choices can be seen as a self-inquiry into why humans are such beings, or to put it in another way, what constitutes the self” (28).² In this sense, moral dilemmas within narratives serve not only as turning points for character development but also as sites for existential reflection.

To conduct such an ethical and ontological reading of *The Platform*, one must first articulate the structural logic of dystopian narratives. This paper posits that their ethical structure hinges on three interconnected elements: condition (survival environment), subject (members of the world), and event. While these elements are present in all narratives, dystopian narratives distinctively amplify their interaction. Most notably, dystopian worlds present exceptional survival environments to foreground social, political, or ethical concerns. These environments are often marked by systemic scarcity—of food, shelter, or autonomy—where access and control over limited resources become central to the narrative’s structure and power dynamics.

As Parks and Yamashiro argue in their analysis of *The Hunger Games* (2013), “Food as symbol in *The Hunger Games* is most representative of the power structure within Panem. It reveals the way in which order is constructed and maintained through systems of reward and punishment” (140). Dystopian texts thus dramatize real-world inequalities via what Darko Suvin terms “cognitive estrangement,” constructing logically coherent but unfamiliar worlds to critically reflect on existing social orders (3-9, 61-62). This estrangement reframes familiar ethical issues in extreme conditions, intensifying moral scrutiny.

Subjects in dystopian narratives are often grouped by distinct principles, most commonly by differential access to survival resources. Class-based hierarchies—where resource access dictates existential conditions—appear in *Snowpiercer* (2013), where a train stratified from head to tail car enacts rigid socioeconomic divides.³ Likewise, *High-Rise* (2015) portrays vertical class conflict within a residential

1 See Nie Zhenzhao, *Introduction to Ethical Literary Criticism*, London: Routledge, 2024, 14-15.

2 According to Nie, ethical choices within a narrative act as “tests of moral cognition,” where characters reflect not only on right and wrong but on “what it means to be human.” See Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 200.

3 See Johan Höglund and Niklas Salmose, “Climate Diaspora and Future Food Cultures in *Snowpiercer* (2013) and *The Road* (2009),” *Food, Culture & Society* 2 (2024): 315.

tower, and *The 8 Show* (2024) depicts a competition within a tiered structure dividing participants into the “uppers” and “lowers.”

Beyond structural groupings, ethical orientation and decision-making further divide subjects. In *The 8 Show*, material inequality exacerbates mistrust and incentivizes moral compromise. As the narrative unfolds, these characters encounter branching ethical dilemmas—“ethical knots”—that test the viability of their value systems. These knots serve as experiments for probing individual and collective ethics, and the decisions made therein alter subjects’ trajectories and status within the narrative.

Accumulated ethical choices allow for subject typologies. In *The Platform*, four types can be discerned: (1) self-destruction, (2) co-destruction, (3) self-survival, and (4) mutual survival. Types 1 and 2 tend to exit the narrative early, encountering fewer ethical knots. In contrast, types 3 and 4 engage with the ethical structure more extensively, continually reassessing their moral frameworks in the face of survival imperatives.

Thus, dystopian narratives critically test the viability and resilience of ethical values under extreme conditions. In sum, dystopian narratives operate as boundary-testing arenas for existing value systems. Through stylized survival conditions, grouped subjects, and consequential events, they interrogate the coherence and resilience of ethical principles under duress. The ethical structure of such texts functions not merely as narrative architecture but as a critical framework for examining the ontological foundations of human behavior.

3. *The Platform*: A Microcosm of the Global Food System and Ethical Dynamics

A dystopian narrative’s world-building often reflects and incorporates specific aspects and characteristics of the real world. The scope and extent of this reflection shape the survival environment, subjects, and events around which the narrative structure unfolds. Generally, in dystopian worlds, various essential resources—such as air, time, equipment, vaccines, food, weapons, and information—are scarce. Access to these critical resources typically depends on shared norms, rules, personal effort, or ability. Essential survival resources are sometimes explicitly prioritized, while in other cases, exchanges or trade between resources are allowed. Consequently, discussions surrounding the ownership and usage rights of survival resources tend to vary widely, depending on the type of resources in question. However, in the world of *The Platform*, “food” is presented as the sole essential resource for survival. By establishing such drastically simplified survival conditions, *The Platform* narrows the focus of power dynamics and ethical discussions to the

subject of food.

3.1 *The Platform*'s Reflection on the Global Food System

The treatment of food resources in *The Platform* mirrors several structural features of the global food system, setting it apart from other dystopian narratives. By illustrating the mechanisms and hierarchies of food distribution, the film reveals how access to food becomes entangled with power relations and ethical judgments. In doing so, it foregrounds patterns of inequality and conflict that invite engagement with food justice theories concerned not only with availability, but also with access, fairness, and institutional accountability.

3.1.1 "Sufficient" Food Supply

One of the most striking features of *The Platform*'s depiction of food resources is the concept of "sufficient" provision. Here, "sufficiency" does not imply unlimited food, but rather that enough food exists to feed everyone—if distributed fairly. This is evident in the system's design: menu preferences are collected before admission, and the resulting feast reflects individual choices. The food descends floor by floor, offering equal opportunity. As Imoguiri in *The Platform* affirms that the food would reach the lowest levels if everyone ate only what they needed—emphasizing that the problem lies not in scarcity but in unequal distribution.

This fundamental characteristic of *The Platform*'s food supply structure parallels the features of the actual global food system. As of 2023, approximately 733 million people worldwide—about 9.1% of the population—suffer from chronic hunger, a situation periodically worsened by global food crises.¹ These crises are often attributed to food production shortages or overpopulation, with reductionist views framing the issue solely as a problem of insufficient supply. Modern food crises, however, are not exclusively the result of supply shortages.² It is estimated that the food produced globally today could theoretically feed approximately 10 billion people—about 1.5 times the current global population.³ According to the FAO Statistics Division, the world currently produces enough vegetal products

1 See FAO, IFAD, UNICEF, WFP and WHO, *The State of Food Security and Nutrition in the World 2024—Financing to End Hunger, Food Insecurity and Malnutrition in All its Forms*, Rome, 2024, 8.

2 Several studies point to this same conclusion. See Amartya Sen, *Poverty and Famines: An Essay on Entitlement and Deprivation*, Oxford: Clarendon Press, 1981, 1-8; Derek Headey and Shenggen Fan, *Reflections on the Global Food Crisis: How Did It Happen? How Has It Hurt? And How Can We Prevent the Next One?* vol. 165, Washington, D.C.: International Food Policy Research Institute, 2010, 4-53; Nora McKeon, "Global Food Governance," *Development* 1 (2021): 48-55; Sandro Mezzadra, "Global Food Insecurity as a Crisis of Social Reproduction for the Capitalist World-Ecology," *Globalizations* 5 (2023): 789-803.

3 See UN Committee on World Food Security, 19 October 2022. Available at: <https://www.fao.org/cfs/resources/detail/en/c/1609703>. Accessed 4 July 2024.

alone to provide nearly 3,500 calories per person per day—well above the average minimum requirement of 1,900 calories. As Frances Moore Lappé aptly states, “Abundance, not scarcity, best describes the supply of food in the world today” (8).

Hunger persists due to structural inequality—ranging from domestic issues like poor infrastructure and political instability to global factors such as inequitable trade rules and food financialization.¹ *The Platform* allegorizes these dynamics: unlike many dystopias premised on collapse, it depicts a system with stable, externally supplied food. The narrative eliminates scarcity, compelling characters to confront ethical failures embedded in unjust distribution systems.

3.1.2 Power Dynamics and the Leverage of Food Access

In *The Platform*, food is not merely a resource for survival—it is the system’s primary symbol of power. Delivered sequentially from top to bottom, food grants those on upper floors priority access and the capacity to control what remains for those below. Since survival depends entirely on food, this priority translates into power over life and death. The vertical structure that governs this distribution is not neutral; it is a deliberate institutional design that enforces material inequality and entrenches hierarchy of control—an arrangement that aligns with Thomas Pogge’s theory of *institutional harm*, where systemic arrangements create foreseeable and morally significant deprivation.² In this context, hunger is not a natural condition but a predictable outcome of structural asymmetry. This embedded hierarchy directly shapes behavior and social interactions within the system. Upper-floor occupants wield control, while lower-floor prisoners are left in a state of dependency and desperation. The result is a rigid social order rooted in unequal access, where food becomes a determinant of status, authority, and domination. The system’s design does not merely regulate resource allocation—it manufactures and reinforces power dynamics through the very act of distribution.

The symbolic and practical power of food in *The Platform* mirrors how food functions in international politics as a source of leverage and control. Historically, sufficient agricultural productivity and self-sufficiency in staple foods have been

1 Various studies highlight different aspects as the root causes of the global food crisis. See Jennifer Clapp, *Food*, Chichester: John Wiley & Sons, 2020, 57-157; Anuradha Mittal, “The Blame Game Understanding Structural Causes of the Food Crisis,” *The Global Food Crisis: Governance Challenges and Opportunities*, edited by Jennifer Clapp and Marc J. Cohen, London: Routledge, 2009, 13-28; Derek Headey and Shenggen Fan, *Reflections on the Global Food Crisis: How Did It Happen? How Has It Hurt? And How Can We Prevent the Next One?* vol. 165, Washington, D.C.: International Food Policy Research Institute, 2010, 14-53.

2 See Thomas Pogge, *World Poverty and Human Rights: Cosmopolitan Responsibilities and Reform*, Cambridge: Polity Press, 2002.

considered essential indicators of a nation's comprehensive national power.¹ Nations with weak agricultural structures or an inability to achieve food self-sufficiency inevitably depend on international trade to secure essential food supplies, creating a dependency on other nations. In the anarchic realm of international politics, the failure to achieve self-reliance often translates into a weaker or even negligible power position, ultimately rendering the nation vulnerable to the influence and control of others.

From this perspective, food resources in the global political structure function not only as a source of power but also as leverage in relations between nations. Since the establishment of the Westphalian system, which formalized the concept of sovereign states, nations have utilized economic resources as tools of diplomacy and politics. Particularly, food resources have emerged as vital strategic assets in international politics. Nations with surplus food resources employed exports, aid, and regulations to influence the political and diplomatic actions of other countries and to reshape their economic and industrial structures. During the Cold War, leveraging food resources to constrain the behavior of other nations was considered a privilege of agricultural powerhouses, which readily used this advantage to serve their own interests.

The U.S. provides a clear example of a country that strategically leveraged food resources during the Cold War. Through programs such as PL-480 (Food for Peace), it exported surplus agricultural products under the guise of aid, thereby increasing recipient nations' dependence.² This use of food diplomacy extended to coercive measures—such as soybean export restrictions against Japan and grain embargoes targeting the USSR and Poland.³ Together, these cases demonstrate how surplus food functioned not merely as humanitarian aid, but as a calculated tool of economic influence, deepening global hierarchies and reinforcing the power of food-exporting nations.

The politicization and leverage of food resources are similarly evident in the world of *The Platform*. Prisoners on the upper floors, who gain power by virtue of their position, exercise this power over those on the lower floors for various purposes. Most upper-floor occupants compel lower-floor inmates to comply with

1 See J. S. Bajwa, "Defining Elements of Comprehensive National Power," *CLAWS Journal* 151 (2008): 155.

2 See Harriet Friedmann and Philip McMichael, "Agriculture and the State System: The Rise and Decline of National Agricultures, 1870 to the Present," *Sociologia ruralis* 2 (1989): 103-110.

3 See J. R. Tarrant, "Food as a Weapon? The Embargo on Grain Trade between USA and USSR," *Applied Geography* 4 (1981): 273-286; Vernon L. Sorenson, "International Policy Conflict: The Japanese Response to US Agricultural Export Embargoes," *Agribusiness* 5 (1988): 409-424.

their demands, often to assert dominance or simply for entertainment. Through these actions, they achieve a range of objectives, including threatening, suppressing, coercing, pressuring, negotiating, and even retaliating against those below. For example, even Goreng and Imoguir, who aim to reform the system to ensure the fair distribution of food to all, resort to leveraging their “priority access” to food as a means to achieve their goal. They warn the lower-floor inmates that, unless food is properly rationed, it will be deliberately spoiled before it reaches the lower levels. This structural attribute of *The Platform* serves as an effective allegory, aptly reflecting the dynamics of international politics surrounding real-world food resources.

3.2 Ethical Dimensions of the Global Food Problem

3.2.1 Shifting the Focus from Ownership to Access and Usage Rights

The Platform restricts food-related rights to focus characters’ decisions on ethical dimensions. One of the most distinctive features of *The Platform* compared to other dystopian worlds is the absence of “ownership.” In *The Platform*, characters are strictly forbidden from “owning” food resources. If an individual attempts to hide or hoard food from the platform, the system retaliates by drastically adjusting the temperature, creating an environment where survival becomes impossible. This mechanism underscores that the food allocated to each floor is not an individual’s absolute possession, but a conditional resource intended for sharing and consumption. Through this system, *The Platform* shifts the discussion of food resources from issues of “ownership” to those of “access” and “usage” rights.¹

Thus, characters are not concerned with protecting or maintaining resources they own but must instead focus on how to exercise their temporarily granted “access” or “usage” rights. This structure intensifies the ethical conflicts caused by the unequal distribution of resources, compelling individuals on each floor to consider the impact of their actions on the survival of others. Ultimately, *The Platform* confronts its characters with moral dilemmas in an environment devoid of ownership rights, challenging them to decide how “ethically” to use limited resources. This setting highlights not merely the issue of resource scarcity but fundamentally examines human ethical and social attitudes toward resources.

1 Sen identifies four types of entitlement in a private ownership market economy: (1) trade-based entitlement, (2) production-based entitlement, (3) own-labour entitlement, and (4) inheritance and transfer entitlement. These entitlement relations frame individuals’ legitimate access to food and other resources. In *The Platform*, however, the prohibition of food ownership and the system’s violent enforcement mechanisms negate all such entitlements, making access to food a contingent, not institutionalized, right. See Amartya Sen, *Poverty and Famines: An Essay on Entitlement and Deprivation*, Oxford: Clarendon Press, 1981, 2.

3.2.2 The Absence of “Legitimate Rights”

In *The Platform*, access and usage rights to food—the sole resource and source of power within the system—are distributed in a unique manner, representing one of the film’s defining characteristics. Rather than relying on innate abilities, competition among characters, or evaluation of specific actions, *The Platform* employs a mechanism of “random allocation.” In most dystopian narratives, access rights to food are typically granted to those who “first claim” or “earn” resources through competition. Securing access often requires actions such as “violence and plundering” or “negotiation and compromise.” In such worlds, food access is portrayed as a product of meritocracy—a reward for individual effort or ability. This dynamic allows power structures to shift based on actions and character, enabling both fair distribution and monopolization, depending on circumstances.

In contrast, food access rights in *The Platform* are entirely unrelated to individual effort, achievement, or ability. Prisoners who enjoy priority access to intact food by residing on upper floors receive these rights arbitrarily, granted temporarily through the system’s random allocation process. These rights are neither strengthened nor diminished over time; instead, they are reassigned when the system relocates prisoners to different floors after a fixed period. This configuration subverts the Lockean premise that underlies much of real-world property theory—including that of the global food system—namely, that ownership and its moral legitimacy are earned through individual labor.¹ In *The Platform*, food access is entirely decoupled from labor or merit, rendering such traditional justifications for property rights inapplicable. As a result, prisoners cannot generate or acquire these rights through their own actions; they can only exercise the rights temporarily granted to them.

This also means that once a right is granted, it cannot be forcibly taken by others through violence or trickery until the system reallocates floors. In this way, *The Platform* simplifies the ethical framework of dystopian narratives. While many dystopian stories explore a range of conflicts involving ownership, usage rights, and moral imperatives—gradually deepening these layers of conflict—*The Platform* completely eliminates the rationale for ownership. The “randomness” of access rights highlights that food resources are merely “given” rather than “earned” and underscores the fact that no one within “the Pit” possesses a “legitimate” right to the food resources, including ownership. This sharp focus shifts the ethical debate to the “attitudes” and “agreements” surrounding how subjects treat and use the resources

¹ See John Locke, *Two Treatises of Government* (New edition), London: Printed for Thomas Tegg, 1823, 116, 123.

provided to them.

4. Ethical Structure of *The Platform*: Boundary Test of Value Systems

Within the structure of *The Platform*, Goreng and others confront ethical dilemmas rooted in resource scarcity. Each individual's survival depends on their access to food, yet their actions inevitably affect others. From this tension emerges the central ethical knot of the narrative: "How should resources (food) be used?" This overarching question branches into more specific ethical concerns: 1. Whose survival should be prioritized? 2. What constitutes fair distribution? 3. Should one attempt to pursue systemic change? 4. To what extent, and by what means, should one enforce their will? In this vertical testing ground for value systems, Goreng descends and ascends through various levels of "the Pit," encountering different ethical environments and evolving through relationships with three successive roommates. These encounters shape the ethical structure of the narrative through a sequence of ethical knots, where human values such as solidarity, survival, idealism, and sacrifice are tested under extreme conditions.

4.1 The Justification of Violence for Survival

Goreng's first roommate, Trimagasi, introduces him to the system of "the Pit" on the 48th floor. This initial phase sets up the basic parameters of the narrative's ethical inquiry: Is there enough food? How should it be managed? Can fairness be extended across levels? Can the structure be changed? These fundamental questions frame the baseline from which the narrative's ethical structure begins to unfold.

Trimagasi embodies a cynical, utilitarian worldview rooted in survivalist pragmatism. His tool of choice, a knife, symbolizes preemptive violence and instrumental reason—a material extension of his belief that ethical responsibility is nullified under conditions of scarcity. As a narrative device, the knife operates not just as a weapon but as a metaphor for the logic of reductive survival, where others are rendered expendable. This perspective is later enacted on floor 171, where Trimagasi attempts to harvest Goreng's body to survive.

Goreng, initially idealistic, is compelled to commit violent self-defense and cannibalism. This reluctant act marks his first rupture with ethical innocence and initiates the erosion of his preexisting moral framework. The moment constitutes the narrative's first major ethical knot: is it ethically permissible to kill for survival? As Nie explains, ethical knots are "the main manifestations of contradictions and conflicts" that surface ethical choices embedded in the narrative (220). Goreng's reluctant violence transforms him from passive observer to ethically implicated subject who must now reconstitute his selfhood under compromised moral

conditions.

4.2 The Fragility of Idealistic Solidarity without Structural Reform

On the 33rd floor, Goreng meets Imoguiri, whose belief in rational cooperation marks a shift toward idealistic solidarity. She promotes a moral economy wherein each person takes only what they need. This introduces the second major ethical knot: can cooperative ethics persist in a system designed to undermine them?

While Imoguiri's persuasion fails to generate reciprocity, her actions raise a secondary ethical knot: can non-human life hold equivalent ethical worth to human life under conditions of extreme scarcity? Her decision to share food with her dog, Ramses II—her permitted item—reflects an attempt at interspecies solidarity. However, this gesture, as Donna Haraway might argue, remains trapped in anthropocentric “bounded ethics” that fail to foster genuine multispecies kinship, lacking the structural disruption necessary to enact true “making kin” (102-103). Ramses II's eventual death—due to violating the no-hoarding rule—exposes the limits of this liberal humanist gesture. Without systemic backing, symbolic actions cannot alter embedded injustice.

Imoguiri's failure culminates on the 202nd floor, where extreme scarcity leads her to suicide. Her death constitutes another ethical turning point, demonstrating that good intentions alone are insufficient within violent, structural inequality. As Haraway emphasizes, “sympoiesis”—collective becoming—requires more than isolated moral will¹; it must be sustained by a shared structural ethic of collaborative survival. Imoguiri's tragic end forces Goreng to revise his approach, now understanding that ethical persuasion must be coupled with coercive intervention. Her legacy lies in revealing the inadequacy of symbolic gestures in the face of structural oppression.

4.3 Collective Resistance and the Ethics of Coercion

Baharat, introduced on the 6th floor, represents another ethical turning point. Initially intent on escaping the system, his failed attempt to ascend is thwarted by those above, reaffirming the futility of personal salvation in a vertically oppressive order. This becomes a new ethical knot² that reframes the existing dilemma: should one escape injustice or resist it from within?

Goreng persuades Baharat to descend instead, reframing their purpose toward systemic intervention. This decision marks a shift from individual survival to

1 See Donna J. Haraway, “Staying with the Trouble: Making Kin in the Chthulucene,” *Staying with the Trouble*, Durham: Duke University Press, 2016, 58-61.

2 Ethical knots can be produced during the forming process of the text. See Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 192.

collective resistance, redefining ethical agency as embedded in solidarity rather than self-preservation. Their descent becomes a symbolic journey through successive minor ethical knots—discrete yet cumulative tests of moral reasoning and value prioritization. Each floor becomes a site of moral deliberation: how much food should be shared? When is coercion justified? Can justice be enforced without reproducing systemic violence?

Their armed resistance to hoarding is not an action out of survival instinct or mere vengeance but an ethical strategy oriented toward redistributive justice.¹ Baharat's abandonment of his escape goal in favor of a higher collective purpose signifies the narrative's structural transition from survivalism to sacrificial ethics. As Nie observes, the ethical line "links all the ethical knots in the formation of ethical structure" (220), and this descent—their moral trajectory—culminates in the film's climactic ethical confrontation.

4.4 Intergenerational Responsibility and the Ethics of Sacrifice

Upon reaching the 333rd floor—the very bottom of the vertical system—Goreng and Baharat discover a child, previously thought nonexistent. The child, silent and vulnerable, represents not only the weakest participant in the current resource distribution system but also a symbolic embodiment of future generations. Her position at the lowest level of the structure reflects the ethical hierarchy imposed by the present, in which future lives have the least access to survival and are entirely dependent on the ethical decisions made by those above. Her existence challenges the final ethical knot which transcends immediate survival dilemmas and raises a deeper intergenerational question: can the present generation act ethically to safeguard the future?

Sending the child upward becomes a symbolic act, not a pragmatic solution. Her ascent conveys an ethical message. Goreng's decision to remain behind while Baharat dies in the descent marks the final ethical transformation: relinquishing self-preservation in favor of moral transmission. Nie notes that literature teaches by presenting "illustrations of ethical choices," which are not reducible to moral rules but rather serve as instructive examples of how to live responsibly (166). Goreng's departure from "the Pit"—and from the narrative—marks the fulfillment of this ethical instruction: it is not survival that completes his journey, but the transmission of ethical value through symbolic action.

The child becomes both the messenger and the message. Her upward journey

1 These natural will, free will, and rational will compose what Nie calls "Sphinx Factor," revealing the process of ethical evolution of the two characters. See Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 383.

functions as a test of the viewer's conscience: will humanity act on behalf of those who cannot act for themselves? This act, though ambiguous in outcome, concludes the film's ethical structure with a final question—not who survives, but who chooses to act ethically across time and power.

Conclusion

This article has examined *The Platform* as an ethical allegory of global food distribution, arguing that its vertical narrative structure and symbolic economy foreground moral dilemmas of scarcity, access, and intergenerational responsibility. Drawing on Nie's ethical literary criticism, the analysis demonstrated how the film's spatial design, institutional rules, and symbolic logic together construct an "ethical structure" that reflects and distorts real-world food injustice.

Each analytical section has demonstrated how the film distills structural inequalities into an enclosed vertical system that amplifies the moral consequences of unequal access. *The platform's* design subverts key principles found in liberal political philosophy, particularly the Lockean notion that ownership arises from labor. In *The Platform*, there is no continuity of labor, production, or private ownership—only consumption regulated by institutional fiat. The removal of ownership and redistribution based on random allocation destabilizes any merit-based logic, forcing viewers to confront a world where moral action cannot be justified through entitlement, desert, or productivity.

This world thus operates as both a reflection and an exaggeration of contemporary global asymmetries: it mirrors the arbitrariness of birth and nationality in determining food access, while eliminating mechanisms—such as governance, law, or markets—that might otherwise provide accountability or redress. The film thus serves not only as a dystopian commentary on food injustice, but also as a narrative model for investigating the moral architecture of systems shaped by inequality and impunity. By placing ethical decision-making at the center of a highly structured yet absurd system, *The Platform* invites viewers and scholars alike to confront how ethical agency operates when all structural incentives discourage moral action.

This study contributes to ethical literary criticism in two principal ways. First, it shifts the critical focus from individual moral choice to the structural conditions that shape or constrain ethical agency. By constructing a fictional world that reflects global inequality while subverting liberal assumptions—such as property through labor and meritocratic distribution—*The Platform* raises questions not only about who chooses, but under what conditions choice is possible. Second, this study

demonstrates the framework's relevance beyond written texts, extending it to a visual, commercial dystopia. In doing so, it expands ethical literary criticism into contemporary cultural production, showing that moral philosophy can be explored through cinematic world-building.

Nevertheless, several areas warrant further research. First, while the analysis has focused specifically on food as the key contested resource, other dystopian narratives foreground vital goods such as water, energy, or information—each with its own moral implications. Future research might examine how such variations in resource regimes generate different ethical conflicts. Second, while this article has addressed the ethical architecture encoded within narrative structures, future work might explore the role of affective reception and audience response. Further research should consider how fictional worlds that suspend or invert real-world moral assumptions operate ethically not only within the diegesis but also in their emotional and ethical impact on viewers. Addressing such gaps through future research could offer deeper insight into how dystopian narratives that allegorically mirror systemic injustice foster more critical reflection on the ethical structures underpinning contemporary global systems.

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“爱比米修斯隐喻”：威廉·吉布森小说中的数字记忆术和主体性危机

“The Epimetheus Metaphor”: Digital Mnemonics and the Crisis of Subjectivity in William Gibson's Novels

帅仪豪 (Shuai Yihao)

内容摘要: 古希腊的爱比米修斯神话作为揭示人与技术“相互发明”的隐喻，在赛博空间时代迎来新变体，即基于各种数字化“代具”的数字记忆术在赋能人类记忆实践的同时，也可能消解人类的主体性。威廉·吉布森将这一技术哲学难题融入科幻小说创作，在赛博美学和数字记忆术困境的激荡中探讨“情感操控”“文化植入”等数字记忆术消解人类主体性的路径，探索人类反抗失败和反抗成功的不同情境及其原因，叩问依赖数字记忆术的当代文化症候。不过度依赖数字记忆术、接受记忆的流逝并坚持个体的差异性乃赛博空间时代记忆实践的应有之义。

关键词: 爱比米修斯隐喻；威廉·吉布森；数字记忆术；主体性危机

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Title: “The Epimetheus Metaphor”: Digital Mnemonics and the Crisis of Subjectivity in William Gibson's Novels

Abstract: The ancient Greek myth of Epimetheus, as a metaphor for revealing the “mutual invention” of humans and technology, has ushered in a new variant in the cyberspace era—digital mnemonics, based on various digital “prosthétique,” which not only empower human memory practices but also have the potential to dissolve human subjectivity. William Gibson incorporates this dilemma in the philosophy of technology into his science fiction writing. At the intersection of cyber aesthetics and the dilemma of digital mnemonics, Gibson explores the ways in which digital mnemonics dissolve human subjectivity, including “emotional manipulation” and

“cultural implantation”; examines different situations and reasons for the success or failure of human resistance; and questions the contemporary cultural symptoms of relying on digital mnemonics. This study argues that not relying excessively on digital mnemonics, embracing the transience of memory, and upholding individual differences are essential principles for memory practices in the cyberspace era.

Keywords: The Epimetheus metaphor; William Gibson; digital mnemonics; the crisis of subjectivity

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柏拉图在《普罗泰戈拉篇》(“Protagoras”)中记叙了这样一则神话故事。传说中宙斯命令爱比米修斯为所有生物分配特性,他慷慨但盲动地将各种生存上的优势特性分配给各种动物,如奔跑速度、飞行禀赋、潜水技能等,以至于轮到人类时,已没有特性可供分配,进而导致人类失去了基本的生存能力。爱比米修斯的兄弟普罗米修斯不忍看到人类的遭遇,遂盗取天火赠与之,使他们能够利用火种等外部工具和技术来生存和发展。贝尔纳·斯蒂格勒(Bernard Stiegler)在《技术与时间 1: 爱比米修斯的过失》(*Technics and Time 1: The Fault of Epimetheus*, 1994)中援引这一故事,表达了技术与人类起源之间的关系。在斯蒂格勒看来,这则故事就像描摹人类原始困境的某种隐喻,揭示了人类与生俱来的脆弱,以及技术对人类的不可或缺。简而言之,在后种系生成观上,人与技术“相互发明”(张一兵 65),人“存在于自身之外”(斯蒂格勒,《过失》210)。

然而,爱比米修斯隐喻除揭示技术对人类的积极作用之外,也预言了技术对人类的控制。神话中,宙斯为报复普罗米修斯盗取天火的行为,施计使潘多拉打开了潘多拉魔盒,为人间带去了无尽苦难。火种和潘多拉魔盒可谓一体两面,当人类的生存和发展都有赖于技术时,技术便变相凌驾于人类之上,人类反而在主客颠倒中跌入了由技术主导的图圈。正如聂珍钊所言,当代科技对人类生活的主导,“已经不是我们出于伦理的思考选择接受与选择拒绝的问题,而是接受即生存、拒绝则淘汰的问题”(37)。当下社会不乏这样的例子,比如不得不与时俱进利用人工智能处理各种问题,却可能因此丧失独立处理问题的能力。

在所有例子中,记忆可能是最隐晦且复杂的例子。相较而言,技术在提升人类的问题解决能力时所伴生的负面效应是不言自明的,但技术在提升记忆能力时伴生的负面效应却往往不易觉察。当失去先天记忆禀赋的人类,凭借赛博空间和数字化工具更迭了记忆存储的方式、扩大了记忆存储的容量,是

否也会如希腊神话中以蜡为翅的伊卡洛斯一样，因太过靠近太阳而融化翅膀、陷入危机？这正是本文所要探讨的。本文首先将从斯蒂格勒和阿斯曼等学者的记忆理论出发，烛照数字记忆术在赛博空间时代的表征、意义与困境，然后将围绕威廉·吉布森（William Gibson）的科幻小说，在相关理论话语与赛博叙事的交互中，探讨吉布森对“代具”在赛博空间时代引发的数字记忆术变革以及可能招致的主体性危机之哲思。

一、“代具”、数字记忆术和主体性危机

记忆作为研究对象可以有诸多面向，比如作为艺术的记忆、情感的记忆、技术的记忆等。¹ 其中，作为技术的记忆（即我们常说的记忆力）早在古希腊时期便引起了众多学者的兴趣，他们甚至为其开辟了名为“记忆术”（mnemonic）的学科，流传下了诸多传奇故事。其中最著名的莫过于诗人西蒙尼德斯（Simonides）的故事。传说西蒙尼德斯在一次参加宴会的过程中目睹了房顶崩塌的悲剧，凭借着头脑中存储的空间化宾客座次，他成功辨别出了被砸得血肉模糊的尸体的身份。西蒙尼德斯在不经意间使用的记忆方法被记忆术学者们总结为了一套行之有效的技术，名为记忆宫殿法（Method of Loci）。此后，各种记忆术得到了长足的发展。远至古罗马时期马库斯·法比尤斯·昆体良（Marcus Fabius Quintilianus）的《雄辩术原理》（*Institutes of Oratory*, 95 AD），近到 1991 年后如火如荼举办的世界记忆锦标赛（World Memory Championships），人类一直研究、追求并崇尚着更强的记忆力。

然而，无论我们如何科学训练，除个别天赋异禀之人外，大多数人能够利用记忆术实现的记忆成效依旧十分有限。特别是当人类进入赛博空间时代、数字化生活和工作场景对我们的记忆力提出了更多、更高的要求时，单纯依靠大脑和记忆术所能达到的记忆成效与时代对记忆力的要求之间就产生了巨大的鸿沟。

所幸的是，新技术和新设备在对我们的记忆力提出更高要求的同时，也为我们的记忆提供了更多存储的方式和空间。阿莱达·阿斯曼（Aleida Assmann）将记忆术的本质视为“存储”，即“一种以存储和取回的一致性为目的的机械的方法”（21）。这一观点拆解了人脑与技术在记忆术问题上的藩篱，使我们意识到利用外部技术来帮助记忆与利用传统记忆术相比，并无本质区别，由此为利用外部技术来帮助记忆提供了合法性和必要性。实际上，当代人也确实是这么做的。一方面，移动硬盘、网络云盘、赛博空间等成为了名副其实的“第二大脑”，帮助我们实现了记忆的快速存储和提取，且容量在理论上可以无限大，这便是记忆能力的提升。另一方面，区块链、实时翻译软件、人工智能等技术和设备带来了一系列全新的记忆实践，如先存储再

1 参见 Anna Lisa Tota and Trever Hagen, eds., *Routledge International Handbook of Memory Studies*, New York: Routledge, 2016, 1-5.

识记, 实时翻译记忆内容, 搜索、修改、替换记忆等, 这便是记忆范式的更迭。斯蒂格勒将这些人类赖以生存的外部技术称作“代具”(Prosthétique), 而我们不妨将这些助力记忆的当代代具称作赛博空间时代的数字记忆术。

但数字记忆术带来的结果并不总是积极的, 诚如火种和潘多拉魔盒的伴生所隐喻的一样, 那些“含混的好处终究会有一日反过来对受益者不利”(Detienne and Vernant 225)¹。斯蒂格勒早已意识到了这一点。在埃德蒙德·胡塞尔(Edmund Husserl)的“第一滞留”(primary retention)和“第二滞留”(secondary retention)的基础上, 他提出了“第三滞留”(tertiary retention)。三者分别对应人类记忆的三种模式。如果将三者比作对音乐的记忆, 那么“第一滞留”指的是个体在当下每个音符转瞬即逝时获得的即时的、短暂的、直接的记忆; “第二滞留”指的是个体在事后借助意识和想象的力量重构出的记忆; “第三滞留”指的则是外在于人类的, 对滞留记忆的物质性记录, 比如日记、图书、档案等。²显然, 人类社会的发展很大程度上有赖于“第三滞留”, 无论是历史、知识还是文化的传播都必须依靠外部介质的存储和提取。同时, 不同于胡塞尔将“第一滞留”视为纯粹的、准确的客观反应, 斯蒂格勒认为三种记忆模式均包含着想象或意识的建构。何出此言呢? 人脑的记忆形成机制是极其复杂的, 它的形成是由各感官及文化、代际记忆、身份认同、集体无意识等各因子共同作用的产物。因故, 一个西方人和东方人在听同一曲《茉莉花》的当下所形成“第一滞留”也必然会在音乐偏好和文化的过滤下产生各自的建构成分, 更遑论事后被记录在外部介质上的“第三滞留”了。由此, 当数字记忆术成为赛博空间时代最广泛的“第三滞留”时, 这种“第三滞留”必然因数字化的诸多特性(如传输快、易修改等)而产生前所未有的想象和建构程度, 并在反向影响个体的“第一滞留”和“第二滞留”的过程中散播其建构成分, 从而可能导致虚假记忆的生成或众声喧哗的对立。例如, 当“第三滞留”在算法、资本、娱乐产业、政治操控等加持下“信息轰炸”个体时, 个体往往会陷入信息茧房或自我怀疑的困境, 进而丧失独立思考的能力。这便是数字记忆术所带来的主体性危机。无怪斯蒂格勒会高呼这个数字化的时代也是一个“系统性愚昧(systemic stupidity)的时代”(《南京课程》41)。

当然, 除此之外, 数字记忆术还可能通过其他方式导致主体性危机, 信息过载便是其中之一。曾经, 在记忆手段有限、记忆介质不甚丰富的年代, 如何保存行将消失的记忆是记忆研究者最为关切的话题之一。然而, 在数字记忆术泛滥的当下, “遗忘”反而“变成了例外”和奢望(迈尔-舍恩伯格 3)。当虚拟现实各类记忆以指数级复制、粘贴、修改、传播时, 如何在信息流中

1 凡未特殊注明, 引文均出自笔者拙译。

2 参见 贝尔纳·斯蒂格勒:《技术与时间 3: 电影的时间与存在之痛的问题》, 方尔平译, 南京: 译林出版社, 2012 年, 第 19-20 页。

高效筛选出想要的记忆并遗忘无用或无关的记忆便成为当务之急。一旦我们无法做到这点,就很可能产生记忆过载和认知负担等问题,进而导致记忆单向度化、信息化、扁平化,最终使人丧失对记忆的情感联结乃至主动建构及诠释记忆的能力。

由此可见,在赛博空间时代,各种新技术成为了新的代具并肩负起了数字记忆术的使命,前路却并不坦荡。接下来,让我们以吉布森的两部科幻小说为例,在科幻、理论和社会问题的多维关照下具体分析吉布森对相关问题的文化症候式书写。

二、《全息玫瑰碎片》中数字记忆术的情感操控

《全息玫瑰碎片》(“Fragments of a Hologram Rose,” 1977)是“赛博朋克小说之父”吉布森的处女作,被视作赛博朋克小说(cyberpunk fiction)先驱。小说设定在社会动荡的近未来美国,围绕帕克对自己失意人生的意识流追忆和失眠困境展开,充满赛博朋克小说典型的碎片化叙事、忧郁氛围以及“交感幻象”(consensual hallucination)(McFarlane et al. 69)。帕克的人生跌宕起伏,在历经一系列变故后,他终于在纽约安定下来,结识了女友安吉拉,并在感官体验公司谋得了一份工作。顾名思义,感官体验(Apparent Sensory Perception)即一种虚拟现实技术——当消费者头戴感官体验设备时,设备会根据插入的感官体验磁带向消费者传输电磁波,进而使其直接在大脑中再现并体验磁带中的影像。然而好景不长,安吉拉最终离开了帕克,只留下了“一根断裂的皮凉鞋鞋带、一盒感官体验磁带”和一张全息玫瑰明信片(44)¹。前半生载沉载浮的心酸和苦楚侵蚀着帕克,他逐渐患上了失眠。

为解决失眠,帕克开始用安吉拉留下的感官体验磁带来麻痹自己,以期助眠。这盘磁带借安吉拉之眼录制了其欧洲之旅。表面上,帕克每晚借此重温着前女友的游历,仿佛两人不曾分开,并在数字记忆术的仿真温柔乡中得以入眠。实际上,这一代具所提供的“第三滞留”通过数字技术的重构与放大,变得过分真切与诱人,甚至比帕克自己在现实生活中的经历更加鲜活。也就是说,感官体验设备提供的在场的、逼真的、建构的“第三滞留”,在感官上压制了帕克自身对日常生活的后视的、模糊的、具身的“第二滞留”和“第一滞留”。再辅以对前女友未尽的情愫,这种源自赛博空间的外部记忆很快便对帕克形成了情感操控并最终主导了帕克的意志——他本意借助感官体验设备来助眠,却在其“毒瘾”般的媚惑间成为了“第三滞留”延续自我的工具,在不断上瘾、重复播放的过程中陷入了更严重的失眠。换言之,原本消费者对“第三滞留”具有主导权,要购买什么、播放什么是消费者的自由;然而在赛博空间时代,当“第三滞留”凭借超越真实的

1 本文有关吉布森作品的引文均来自 威廉·吉布森,《全息玫瑰碎片:威廉·吉布森短篇杰作选》,李懿、梁涵等译(北京:新星出版社,2014年)。以下引文仅标注页码,不再一一说明。

内容逐步压制“第二滞留”和“第一滞留”时，“第三滞留”便好像拥有了某种形而上层面的自主性，反客为主，令消费者沉沦到其构筑的虚拟现实不可自拔，最终导致想要购买什么和播放什么不再取决于消费者，而是“第三滞留”——它提供什么，消费者就将耽溺于什么。

这一过程的生成逻辑和赛博空间的超真实(hyperreality)关系密切。让·鲍德里亚(Jean Baudrillard)将没有原型的事物的摹本称作拟像(simulacra)。当一个界域由拟像所堆积和操控时，会形成超真实，即一种不依赖现实原型的、比真实更加真实的真实。¹其结果便是弗雷德里克·詹明信(Fredric Jameson)所言的“抽干”现实，和鲍德里亚所言的“熵增”(to total entropy)——虚拟与真实的界线消弥，人们耽溺于虚拟和形式中，不再追求现实与意义。²迪士尼乐园中虚构的角色和景观便是这样的例子。他们固然很真实，但又在现实中没有对应的所指，因而形成了一种超真实。这种超真实提供了现实无法提供的梦幻感，使人们沉迷其中，甚至逐渐认为比起现实中的美国景观，迪士尼景观更能代表美国。³据此，我们不禁会思考，帕克所沉迷的赛博空间感官体验难道不正是一种由人工智能和算法所生成的超真实吗？感官体验设备作为“第三滞留”包含着巨大的建构和想象成分——从哪个角度拍摄安吉拉的游历，怎样剪辑，应该从画面叙事上凸显怎样的情绪等，均涉及到拍摄者刻意的建构和想象。于是乎，感官体验设备重现的安吉拉虽和真实的安吉拉一模一样，却又绝非那个安吉拉，而是一种现实中无对应指涉的超真实。这个超真实的安吉拉不会发脾气、闹情绪，不会离开帕克，永远陪在身旁，对他报以微笑，展现情绪价值，充分满足了颓废的帕克的情感需求。如鲍德里亚所言，她成为了比真实更加真实的真实，让帕克自身的现实生活相形见绌，失了颜色，进而让帕克在虚实颠倒间丧失了主体性，特别是对自己生活的主导权。

当然，关于这一过程的生成逻辑还有很多其他解读。比如凯瑟琳·毕晓普(Katherine E. Bishop)就认为，这一过程的生成逻辑源于帕克与周围真实环境联系的切断及其随之而来的疏离感。⁴还有很多学者认为标题中的全息玫瑰碎片是理解这一过程的关键。全息玫瑰碎片是一张基于全息技术的明信片，在不同角度观看会看到一朵玫瑰的不同细节，却难以把握其全貌。尼尔·伊斯特布鲁克(Neil Easterbrook)认为它展现了“对永远无法重拾的完整性的痛

1 参见 Jean Baudrillard, *Simulations*, translated by Paul Foss et al., New York: Semiotext(e), 1983, 2.

2 参见 弗雷德里克·詹明信：《后现代主义与文化理论》，唐小兵译，北京：北京大学出版社，2005年，第194页；Jean Baudrillard, *In the Shadow of the Silent Majorities*, New York: Semiotext(e), 1983, 100.

3 参见 Jean Baudrillard, *Simulations*, translated by Paul Foss et al., New York: Semiotext(e), 1983, 25.

4 参见 Katherine E. Bishop, "The Botanical Ekphrastic and Ecological Relocation," *Plants in Science Fiction: Speculative Vegetation*, edited by Katherine E. Bishop et al., Cardiff: University of Wales Press, 2020, 227.

苦乡愁”（57）。的确，作为互文，全息玫瑰碎片蕴含的碎片性、不完整性也是帕克情绪的注脚——悲惨的人生遭遇让他的情绪支离破碎、分崩离析，失去了一个具有意义感的锚点，而感官体验设备并未助力其整理情绪，而是进一步让他围困在失去安吉拉的这一碎片情绪中，难以自拔。

值得注意的是，在反复失眠之后，帕克终于意识到虚拟现实中的记忆并不能使失去的人“变得更真实”（48），也不可能让自己重拾与他人的亲密。于是他打算告别安吉拉这块已无法再被拾取的人生碎片，重新开始。然而旋即，吉布森使用最为无情且黑色幽默的笔调写道：机器发出的电波扫过了帕克的大脑。这意味着他很可能会立即陷入昏睡而忘记此刻的顿悟。这与其说是吉布森的“恶趣味”，毋宁说是技术控制论社会的底层逻辑使然。当我们为了个人便利和经济发展向技术的霸权让渡自由和隐私时，任何试图借助批判以逃离技术控制的自由也就被献祭了。因为其一、我们所有的批判本身也不得不通过技术来表达并受其监视；其二、即便能成功批判也很难逆转我们依赖科技的局面。由此，吉布森以犀利的笔触揭示了当代人过分依存数字记忆术的文化症候及其巨大风险——当我们借助这些代具来帮助记忆时，不仅我们的主体性可能遭遇风险，就连我们对这一风险进行顿悟和反思的机会也遭到了盘剥。

概而言之，《全息玫瑰碎片》向我们展现了新技术、新设备等数字记忆术在帮助人类进行记忆实践的同时，如何通过“第三滞留”的侵入，操弄人类的情感，消解人类的主体性。而在吉布森的另一篇短篇小说《根斯巴克连续体》（“The Gernsback Continuum,” 1981）中，主人公的遭遇则反映了数字记忆术如何通过“第三滞留”进行文化植入，进而动摇人类的主体性。同时，在这篇小说中，吉布森探讨了可能的应对策略。

三、《根斯巴克连续体》中数字记忆术的文化植入

《根斯巴克连续体》是吉布森在 1981 年发表的短篇小说。故事的主角是一名摄影师“我”，“我”受雇于某出版社，负责拍摄美国各地 20 世纪 30 年代“未来主义”（futurism）风格的建筑（31）。未来主义原指肇始于第一次世界大战前后的一场先锋艺术运动¹，但结合小说标题、故事中反复出现的根斯巴克隐射以及这些建筑的流线型风格和洗练弧度，我们可以断定，这里的风格其实特指那场先锋艺术运动的流派之一——20 世纪二三十年代的科幻小说廉价杂志时代（pulp era）所流行的根斯巴克式科幻风格。这一风格最集中的体现莫过于由雨果·根斯巴克（Hugo Gernsback）主编的杂志《惊奇故事》（*Amazing Stories*）。1926 年起，弗兰克·R·保罗（Frank R. Paul）受根斯巴克之邀，为《惊奇故事》绘制了 30 余幅封面。从人类大战外星人到飞向宇

1 它主张将科技纳入美学建构的范畴，旨在讴歌现代工业文明和人类的科技进步，并“架设理论与实践的桥梁”（qtd. in Perloff 10）。

宙，从外星飞碟的阴谋到人类的反击，这些封面以杂志刊登的小说为灵感，集中表现了根斯巴克式科幻风格的特点：视觉上的流线型美学、精神上的盲目乐观主义、主题上的模式化和简单化、叙事上的娱乐色彩等。

出人意料的是，在拍摄过程中，“我”受到这些照片的影响，逐渐开始产生幻觉，幻视出一个和现实世界截然不同的、充满根斯巴克式科幻风格的“或然的美国”（31）——只见流线型飞行汽车穿梭于高耸入云的摩天大楼间、“翼状造型”的“飞行器”划破天际（32）。¹这些幻觉不断侵扰着“我”的日常生活，甚至险些令“我”遭遇交通事故。最终，“我”只能放弃这项工作。而当“我”远离工作，目睹真实生活中充满贫富差距与困顿的现实后，“我”突然从幻觉中恢复了过来。

吉布森通过设置这样“魔幻”的剧情究竟要表达什么呢？要厘清这点需要从科幻小说廉价杂志时代的时代遗产谈起。在廉价杂志时代落幕后，即便《惊奇故事》已失去了最初的影响力，但在很长一段时间内，根斯巴克式科幻风格仍影响着科幻小说的创作。在很多学者和小说家看来，这种影响是消极的²，吉布森也是其中之一。他在《全息玫瑰碎片：威廉·吉布森短篇杰作选》（*Burning Chrome*, 1986）的前言中称，《根斯巴克连续体》原本是“为一部现代艺术插图史”写的“书评”（7）。尽管小说内容离书评相去甚远，但这一初衷却提醒我们应该从科幻“史”的角度观照吉布森对小说情节的设置。安德鲁·罗斯（Andrew Ross）指出，小说标题中的“连续体”（continuum）一词和各种带有流线型造型的幻觉其实都强调了无阻力的设计，而无阻力这一特点隐喻了科幻小说廉价杂志时代对科技的盲目乐观。³结合这些幻觉对“我”的侵扰，以及作者对这些时代错置幻觉的揶揄口吻等不难推断，吉布森借此讽刺了科幻史上盲目乐观、娱乐化严重且作品质量良莠不齐的科幻小说廉价杂志时代，及其时代遗产对后来严肃科幻文学的掣肘。无怪佩奥·阿吉雷（Peio Aguirre）和布鲁斯·斯特林（Bruce Sterling）等学者会将《根斯巴克连续体》誉为吉布森对旧式科幻小说的檄文。⁴

然而，笔者认为吉布森的目的绝非仅仅书写对旧式科幻小说的檄文，当我们从记忆的角度试图分析侵扰“我”的幻觉时，我们会发现“对旧式科幻小说的檄文”也是对数字记忆术之文化植入的檄文。1997年，吉布森在采访中说道：“我认为科幻小说在今天的最佳用处就是探索当下的现实，而不是去预测我们会走向何方”（qtd. in Brake and Hook 182）。这种忧思当下社会

1 这一幕幕仿佛根斯巴克式科幻场景的连续拼接，小说标题“根斯巴克连续体”由此而来。

2 参见 Adam Roberts, *The History of Science Fiction* 2nd Edition, London: The Palgrave Macmillan, 2016, 256.

3 参见 Andrew Ross, “Getting Out of the Gernsback Continuum,” *Critical Inquiry* 2 (1991): 429-431.

4 参见 Peio Aguirre, “Semiotic Ghosts: Science Fiction and Historicism,” *Afterall: A Journal of Art, Context and Enquiry* 28 (2011): 125; Bruce Sterling, *Mirrorshades: The Cyberpunk Anthology*, New York: Ace Books, 1988, 1.

问题的动机赋予了吉布森的写作以浓厚的人文关怀气质，他的作品中充满光怪陆离的隐喻，而正是这些隐喻在未来与现实间搭建了桥梁，以供读者穿过未来的烟霞窥见吉布森所要反思的当下社会文化症候。如果说《全息玫瑰碎片》中难以窥见全貌的全息明信片作为隐喻，指涉了当代社会对数字记忆术的盲从所带来的情感疏离，那么《根斯巴克连续体》中那些好似具有“魔法”的照片则像是将赛博空间中的虚拟现实召唤至现实世界的数字化代具，隐喻了当代泛滥的数字影像技术等数字记忆术对过往文化的招魂。如此一来，那些根斯巴克式科幻风格幻觉的出现原因便不再神秘，而拥有了合理的解释——这些幻觉正隐喻着数字记忆术的“第三滞留”对“我”记忆的侵扰。正如“我”的好友基恩所言，它们就像 30 年代科幻文化作为“符号幽灵”在当下的回归。

由此可见，吉布森借幻觉所讽刺的不仅是旧式廉价杂志小说对严肃科幻文学的掣肘，也是旧式文化借数字记忆术在当下的植入与复魅。当数字代具突破了传统的文字范式，型塑绘声绘色的虚拟现实时，旧式文化也就不再停留在“不在场”的怀旧领域，而充满了基于“遥现”（telepresence）的“在场”感（Gattiker 12）。由此，人们很容易将这些记忆中包蕴的过去文化错误体认作当下文化，将失落文化错误体认作鲜活文化，从而为自己编织一个来自过去文化的囚笼。“我”的遭遇向读者生动展现了数字记忆术植入文化的可能，以及由此形成的文化困困的严重性。试想，当数字记忆术带来的不仅是文化记忆的存续，还让其中一些文化侵扰人们，使人们无法忘却或摆脱它时，人类该如何反思过往的消极文化？人类文化又该如何推陈出新呢？

所幸在小说末尾，“我”通过远离拍摄工作并体察人间百态的参差，成功摆脱了数字记忆术所植入的文化幻觉。这一剧情安排可视作吉布森对解决之道的探索，其背后的应对逻辑和保罗·维尔诺（Paolo Virno）的“诸众”（multitude）理论异曲同工。诸众这一概念在西方思想史中历史悠久，尽管不同学者对其有不同的阐释，但这些阐释均强调了对同一性的反叛和差异性的崇尚。例如，霍布斯指出，诸众是与人民相对的概念，人民这一实体有着“单一的意志”（126），而诸众则有着复杂多样的意志；斯宾诺莎则指出，人民是一种“直接向心的联合”（29），诸众则是非直接、非向心的差异性的联合。维尔诺在此基础上将诸众纳入文化领域，认为诸众作为一种新的集体概念，通过将个体视角纳入集体概念合法性的建构中，有利于破除以往人民等集体概念对个体差异化的个性、才能、潜力的压迫和暴政。实际上，随着技术的发展，集体对个体在文化上的压迫屡见不鲜。比如张宸晟指出，随着数字记忆术的发展，资产阶级通过垄断代具进一步实现了记忆、知识、文化、情感等“非物质领域劳动财富的垄断和分配”（49），并通过数字记忆术的传播造成了个体意识的共识化。加之大众为了生存将所有时间用于劳动上而失去了展现个性的机会，由此，大众便成为了斯蒂格勒笔下彻底失去了任何象征的存在。换言之，一如《根斯巴克连续体》中的“我”一般陷入了被代具

定制好的文化囚笼。诸众的概念恰好为我们提供了一种解决思路，那就是通过重构集体概念，强调差异的个体的联合而非整齐划一的同一的声部，以打破同一性文化对个体施与的枷锁，从而解放个体的个性、积极性和潜能。在小说最后，“我”通过新闻接触到了石油危机和核能风险等新闻，这些新闻就像差异性的窗口，让“我”看到了同一性的、岁月静好的未来主义幻觉之下还存在这么多庞大的、不同的、遭受着苦难的群体，于是“我”终于冲破了数字记忆术的文化囚笼。

《全息玫瑰碎片》中希冀安吉拉记忆的永存让帕克被技术操控情感；《根斯巴克连续体》中沉醉旧日幻梦让“我”被技术文化植入。无论是希冀记忆永存，还是沉醉旧日幻梦皆是对虚假的、不变的、同社会现实不符的同一性的执念。而帕克的顿悟和“我”的清醒无不在告诉我们，要接受记忆的流逝和碎片化以及个体的差异性，任何强制留住同一性记忆的实践都可能伴随巨大的代价。所以，不要过分依赖数字记忆术，接受记忆的流逝并坚持个体的差异性才是赛博空间时代记忆实践的应有之义。

回到爱比米修斯隐喻，如果将这则神话故事视作具有启示录意义的元叙事，那么它无疑向我们展示了人类对天火（技术）不可避免的“期待”（Elpis）。而伴随天火而来的还有潘多拉魔盒，故而这份期待之中也包含着对自我毁灭的隐忧——“人类不得不日复一日地劳作、操作器具，直至忧染双鬓”（斯蒂格勒，《过失》 209）。同理，在赛博空间时代，当数字记忆术为人类的记忆实践开辟了无穷无尽的“第三滞留”空间和范式时，人类作为个体的记忆也就必然受到无所不在的“第三滞留”的影响和挑战。吉布森通过文学的形式，探讨了数字记忆术消解人类主体性的两种路径以及人类的反抗方式。如果将《全息玫瑰碎片》比作吉布森对反抗失败原因的思辨，那么《根斯巴克连续体》则是吉布森对反抗成功情形的构境。他将自身的赛博美学、时代的技术哲学困境和忧思人类命运的情感相糅合，咀嚼成光怪陆离但苍劲厚重的叙事。从这个意义上讲，两部作品不仅是科幻小说，也是吉布森写给赛博空间时代的警世箴言。

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拜厄特与沈从文的向阳生命美学与伦理关怀探究

Exploring the Heliotropic Life Aesthetics and the Ethical Concern as Conceived by Both A. S. Byatt and Shen Congwen

金 佳 (Jin Jia)

内容摘要: 拜厄特与沈从文的“邂逅”看似偶然，实则源于两者在阅读与地理探索中，将“向阳性”与生命、自然、艺术和文化融合，形成抵御生命焦虑与民族困境的“向阳生命美学”。学界对其“向阳想象”或“生命诗学”虽有单方面研究，却未将两者视为整体，更缺乏伦理维度的思考。本文从他们共同的“向阳性”入手，探究其生命美学的核心特征与书写形式，揭示其中蕴含的伦理关怀。两位作家在对生与死、光明与黑暗、静默与流动、远行与归家等生命困境的反思中，实现自我与他者的换位，完成与世界的联结。他们依托多元文化交汇的“向阳之旅”，以不同的视角和方法，为重构开放多元的“向日隐喻”提供了丰富的思想资源和艺术范式。

关键词: 拜厄特；沈从文；向阳生命美学；生命书写；伦理关怀

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Title: Exploring the Heliotropic Life Aesthetics and the Ethical Concern as Conceived by Both A. S. Byatt and Shen Congwen

Abstract: The encounter between A. S. Byatt and Shen Congwen, though seemingly serendipitous, is rooted in their integration of “heliotropism” with life, nature, art, and culture in their journeys of reading imagination and geographic discoveries. This integration formed a “heliotropic life aesthetics” that resists individual existential anxieties and national survival crises. However, while existing scholarship has examined their “heliotropic imagination” or “life poetics” respectively, it has largely overlooked their convergences as a whole and neglected the crucial ethical dimension. By looking into their shared “heliotropism,” the present paper seeks to explore the core characteristics and narrative forms of their life aesthetics, specifically revealing its inherent ethical concern. It is through their enquiries into such paradoxical issues as life and death, light and shadow,

stillness and flux, home-leaving and home-coming, that the two writers achieve the transposition of self and the other, thus forging a profound connection with the outside world. Drawing strength from their “heliotropic odyssey” across intersecting cultures and ideas, they offer rich intellectual resources and artistic paradigms for reconstructing an open and diversified “heliotropic metaphor.”

Keywords: A.S. Byatt; Shen Congwen; heliotropic life aesthetics; life writing; ethical concern

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英国当代作家拜厄特 (A. S. Byatt) 曾直言她的作品具有“向阳性” (heliotropic), 即“逐日而行”的特性 (*The Shadow of the Sun* xiii)。她不仅塑造了一系列逐日而行、浴火重生的人物形象, 而且还跟众多“向阳而生”的文学艺术大师有过交集: 从她对布莱克 (William Blake) “向日葵”之歌的呼应, 到对柯勒律治 (Samuel Taylor Coleridge) “闪亮眼睛” (“flashing eyes,” *Kubla Khan*) 和“向阳崇拜” (sun-worship) 的关注, 再到她与“太阳之子”梵高的对话 (*Passions of the Mind* 282、284), 以及她欣赏尼采 (以太阳神为例) 对“生命的肯定与超越” (Hensher, “A.S. Byatt, The Art of Fiction No.168”), 她的文学道路堪称一场向阳之旅。

然而, 学界在解读拜厄特的向阳想象时, 未能充分认识到她的“向阳性”不仅根植于其自身的生命美学思想和伦理关怀, 还与沈从文的“邂逅”有着千丝万缕的联系。两位作家虽然从未谋面, 拜厄特却因沈从文作品中类似的“向阳性”而产生了强烈共鸣, 二人因此实现了心灵交融。

一、向阳性与向阳之旅的缘起

“向阳性” (heliotropic/heliotropism) 一词源于向阳植物¹, 起源于拉丁文“hēliotropium”和希腊文“hēliotropion”, 由“helios/ἥλιος” (太阳) 和“tropos/τροπή” (转向) 两词合成, 特指植物生长过程中对光源的自然倾向。² 从古希腊时期开始, “向阳性”逐渐成为西方哲学传统中的一个核心隐喻。柏拉图、亚里士多德等人开启的“向阳喻说” (heliotropic metaphor)³ 影响了整个西方形

1 天芥菜属紫草科, 后来进入英语后特指向日葵、金盏菊等向阳植物。

2 参见 Robert K. Barnhart, ed., *The Barnhart Dictionary of Etymology*, New York: The H.W. Wilson Company, 1988, 474.

3 参见 杨乃乔: “终极缘光: 西方诗学本体论的‘向日式隐喻’”, 《首都师范大学学报》(社会科学版) 1 (1999): 62-73。

而上哲学的发展¹,他们崇尚“光明”(light),以此象征至善、真理、理性、知识、启蒙和秩序等核心价值,而“黑暗”则被视为混乱与无知的象征。²这种二元对立构成了西方哲学的“向阳性”传统,指向了一个中心化、封闭的终极目标(即“逻各斯中心主义,德里达称之为“白色神话”³)。尼采批判了这一传统,认为它压制了个体“五光十色”的灵魂与生命力⁴,海德格尔和德里达等人也对此质疑,批判西方哲学家将自己的文化和语言特征视为普遍的理性形式,却忽视了其他文化和语言的多样性。⁵

除上述哲学家以外,许多文学家也赋予“向阳性”以新的内涵。从乔叟(Geoffrey Chaucer)和马肖(Guillaume de Machaut)等人的向阳诗性隐喻⁶,到现当代的文学创作,都旨在突破对理性之光的单一追求,而将“向阳性”与生命、自然和艺术融为一体。这种交融业已成为一种带有强烈伦理色彩的文化使命——“文化在某种意义上说就是伦理”(聂珍钊,“人文研究的科学转向”566)。正是带着高度的文化/伦理使命感,一些优秀文学家(包括拜厄特和沈从文)引入了“负面美学”⁷的视角,探讨光明背后黑暗、痛苦和死亡的意义。他们不再将“光明”视为唯一的真理,而是将其与黑暗/阴影视为生命的两面,共同构成存在的完整性。因此,上述“向阳性”的解构与重构不仅是对西方哲学传统的批判,更是对人类存在意义的重新探索。在这一过程中,拜厄特与沈从文的贡献不容忽视。拜厄特通过深入挖掘历史和文化,揭示个体在广阔世界中的位置和意义,以及生命如何在复杂多变的逆境中向阳重生的毅力;而沈从文则通过对湘西文化的细腻刻画,展现人与自然、传统与现代之间的张力,表达了对生命本质的追问。这种精神意义上的“邂逅”,为重构“向阳性”提供了丰富的思想资源和艺术表现形式。

1988年,拜厄特第一次来到中国,而就在同一年,沈从文去世。此后二十多年里,拜厄特阅读了大量中国现当代作家的作品,并坦承自己受沈从

1 参见 Kevin Corrigan, “Light and Metaphor in Plotinus and St. Thomas Aquinas,” *The Thomist: A Speculative Quarterly Review* 2 (1993): 187.

2 参见 柏拉图:《理想国》,郭斌和、张竹明译,北京:商务印书馆,1986年,第5、277页。

3 参见 Jacques Derrida and F. C. T. Moore, “White Mythology: Metaphor in the Text of Philosophy,” *New Literary History* 6 (1974): 5-74.

4 参见 尼采:《善恶的彼岸》,朱泱译,北京:团结出版社,2001年,第198页。

5 参见 马丁·海德格尔:《存在与时间》,北京:生活·读书·新知三联书店,陈嘉映等译,2014年,第154-155页; Jacques Derrida and F. C. T. Moore, “White Mythology: Metaphor in the Text of Philosophy,” *New Literary History* 6 (1974): 10-14.

6 参见 Peter W. Travis, “Chaucer’s Heliotropes and the Poetics of Metaphor,” *Speculum* 2 (1997): 406-407.

7 参见 Sigmund Freud, “Uncanny,” *The Critical Tradition: Classic Texts and Contemporary Trends* (Third edition), translated by James Strachey, Boston: Bedford/ St. Martin’s, 2007, 514-532; 另参见童明:“西方文论关键词:暗恐/非家幻觉”,《外国文学》4(2011): 106-116。

文影响，创作了具有中国特色的短篇小说。¹这纯属巧合，还是心灵契合？

拜厄特热衷于“远行”，正如她所喜爱的布莱克那样（*Passions of the Mind* 132）。后者在《啊，向日葵》（“Ah! Sun-flower”）中把世人比作向日葵枝干，身陷于泥土之中，而灵魂却像向日葵的圆盘那样追随太阳的步伐，“向往甜蜜、金色的住处，作为一生旅途的归宿”（Blake 46）。该诗暗示人们超越自我，追寻“不可企及的光明之境”（张德明 6），即开阔的境界和更多元的思想。可以说，拜厄特的“向阳之旅”始于阅读体验中的“神游”。她自称“贪婪的读者”，就像尼古拉斯·莎士比亚（Nicholas Shakespeare）所说，宛若一只“花园里博采众长的蝴蝶”，致力于“编织一张包容她所读、所见、所思的巨网”（qtd. in Kelly 116）。除博览本国作家的经典之作外，她还穿梭于外国作家（巴尔扎克、托尔斯泰、普鲁斯特、马拉美、沈从文等）笔下的世界，并多次感念于这类“邂逅”。²然而，她并未深入谈论过她与沈从文的交集，因此现存相关研究基本忽略了这段缘分。

跟拜厄特一样，沈从文喜好在多种异质文化中从事“思想旅行”。用他的原话说，他致力于“让生命从各个方面充分吸收世界文化成就的营养”（“抽象的抒情”9）。恰如汪曾祺所言，“沈先生书多，而且很杂，除了一般的四部书、中国现代文学、外国文学的译本、社会学、人类学、黑格尔的《小逻辑》、弗洛伊德、亨利·詹姆斯、道教史、陶瓷史、《髹饰录》、《糖霜谱》（……）兼收并蓄，五花八门”（汪曾祺 264）。特别值得一提的是，沈从文熟谙薄伽丘、小仲马、歌德、狄更斯、契诃夫、卢梭和尼采等人的作品，甚至受路易斯（Lewis Carroll）的《爱丽丝梦游仙境》启发，创作了《阿丽思中国游记》。³

沈、拜二人虽从未谋面，却有着相似的向阳性冲动，即穿梭于想象世界和现实世界，由局促的个人空间走向“广阔而新鲜”的天地（沈从文，《从文自传》207）。拜厄特迫切想要离开原生家庭乏味无趣的窒息环境（她出生于一个贵格教派家庭）⁴，她的足迹遍布德国、意大利、瑞典、冰岛、美国和中国等；而沈从文也“渴望到日光下去认识这大千世界微妙的光”和“稀奇的色”（《从文自传》36）。从早年的逃学、背离湘西，到逃离北京阴暗狭促的“窄而霉小斋”，他庆幸自己“行过许多地方的桥，看过许多次数的云”（《从文家书》2）。他的足下之行与阅读之旅相辅相成，在“读一本小书同时又读一本大书”（《从文自传》34-49），从而使他“走向世界，为越来越多的读者和文学研究者关注”（凌宇 1）。

那么，在上述向阳之旅背后，有何社会历史原因呢？列维-斯特劳斯（Claud

1 参见 徐蕾、拜厄特，“神话·历史·语言·现实：A. S. 拜厄特访谈录”，武畅译，《当代外国文学》1（2013）：161。

2 参见 拜厄特的三部论著（*Passions of the Mind*, 1993; *Unruly Times: Wordsworth and Coleridge in Their Time*, 1989; *On Histories and Stories: Selected Essays*, 2000）。

3 参见 沈从文：《阿丽思中国游记》，海口：南海出版社，2000年，第3页。

4 参见 A.S. Byatt, *Passions of the Mind: Selected Writings*, London: Vintage, 1993, 14-15.

Levi-Strauss)的一段话可以带来一些启示:“由于大发现时期的航行结果,一个曾经以为自己完美无缺、并处在最完美状态的社会,突然发现自己并非是孤立的,而只是一个更广大的整体的一部分,而且,为了了解自我,不得不在这面新发现的镜子上琢磨自己那不易辨识的影像”(398)。此处,自我“不易辨识的影像”其实源自“小我”和“大我”的伦理焦虑。对于拜厄特和沈从文而言,“远行”固然缘于个体生命焦虑,但更缘于社会文化焦虑,即对时弊的忧思。拜厄特曾因缺少生气的家庭和疾病而痛不欲生,成家后又受到大学、社会对已婚女性的排挤,还遭遇了独生子死于车祸的悲剧。沈从文有着相仿的经历:他目睹民不聊生的惨象,而军队还借“清乡剿匪”之名,敲诈屠戮百姓(《从文自传》174-175)。他将当时的生命个体比作“花园中的盆景”,“被人事强制曲折成为各种小巧而丑恶的形式”(《向阳而美》66)。他曾在“孤立思维苦闷中挣扎”和“窒息”,并意识到“得想办法自救”,“另外一个地方还有份事业待我(他)去努力完成”(《从文自传》217)。

固守家园,还是走向世界?这是个体的伦理困境,更是一个有关民族存亡的社会伦理危机。二战后的英国面临民族身份认同危机,英政府推出一系列维护“民族文化纯正性”的活动,而拜厄特却对此存疑,并以小说《花园里的贞女》(*The Virgin in the Garden*, 1978)这一题目隐喻对“文化纯正性”的警觉,抨击由岛国情结形成的文化自恋和排外心理。整部小说演绎了对于文化思想封闭/僵化的焦虑。沈从文虽处于不同国度,却也具有相似的焦虑:他把中国近现代政治问题归结为民族生命力的保守,并认为“中国问题可与世界问题相同”,若一个民族仅把“保存文化”作为口号,而不为“未来生存”努力,就必将沉溺乃至毁灭于“过去的光荣”(“谈进步”484)。他始终强调,无论是中国还是世界,“文化是整体的,不是孤立的”(《从文自传》184)。

正是出于个体生命和社会文化的双重伦理焦虑,拜厄特和沈从文都寻求“用文字故事来给人生作一种说明”,从而“表现人类对崇高光明的向往,以及在努力中必然遭遇的挫折”(“白话文问题”63)。换言之,他们都肩负着伦理责任。

二、“向阳生命美学”里的心灵应和

拜厄特与沈从文的生命美学独具特色,其向阳性则是区别于一般生命美学的重要特征。

两位艺术家的向阳生命美学具体表现为以下几个共同特点:1)不仅突出生命的向阳性,即对光明、希望和美好事物的追求,而且探索生命中的非理性因素,如本能、情感、直觉和超自然的神秘体验;2)强调生命与自然的有机整体性,认为生命只有与自然和谐共存,才能焕发生机;3)凸显生命的流动性、开放性和多样性;4)深切表达对个体生命/文化困境的伦理反思,关注生命体之间的相互关系,赋予生命美学深刻的伦理内涵和社会价值。此

处的“伦理反思”是“伦理选择”的结果，“正是伦理选择赋予人类理性与伦理意识，从而最终使他们成为伦理生物”（Nie, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection” 386）。

然而，以往学界的相关研究要么仅聚焦于“向阳想象”（heliotropic imagination），要么局限于“生命美学/诗学”视角，未能将两位作家的向阳诉求视为一种完整的生命美学形态。长期以来，拜厄特的向阳性常被误解为对男性权威的依附。例如，坎贝尔（Jane Campbell）声称，拜厄特笔下的女性人物在经受磨难之后开始正视太阳的光芒，象征着她们在男性智慧主导的社会中获得智慧。¹然而，拜厄特对“向阳性”却有自己的阐释：

我的写作具有向阳性〔……〕我在尚未完成的博士论文中，谈到新柏拉图主义的创世神话，其中太阳代表雄性逻各斯，它穿透雌性的大地，带去生命与存在的形式。这一解释令人振奋，因为单从物理层面来看的确如此，生命的存在一定有赖于阳光；另一方面却让人郁闷，因为此种类比纯属谬误，太阳与男性没有必然的联系，地球与女性也并不相干。（*The Shadow of the Sun* xiii）

在小说《太阳的影子》序言结尾，拜厄特进一步阐述自己的向阳美学：“我担心自己的光芒很微弱，缺少温度〔……〕然而，我就从那儿出发，走向沐浴在阳光中的谷物女神化身伊丽莎白女王，走向梵高画中快乐劳作的收割者，走入《占有》中诗人艾什笔下的北欧生命史诗〔……〕”（*The Shadow of the Sun* xv）。可见，拜厄特的向阳想象完全突破了性别界限与个体生命，直指“人类整体生存状况”（Campbell 2）。正如她所言：“我们应该认识到自身之外存在着一些真实的东西——我们只是其中的一部分，并非全部”（*Strange and Charmed* 7），这一观点彰显其对万物生命的关照。与此相仿，在已有的相关研究中²，沈从文生命美学中的向阳属性常被忽视，它兼具生命与阳光交融的生物学趋光性，以及精神层面的开放性和浴火重生能力。因此，将向阳性纳入二者生命美学探讨，对揭示如下问题意义重大：究竟是哪些具体特质促使他们产生了心灵应和？

拜厄特的向阳生命美学源于她对生命意义多元化的拷问，在《天使与昆虫》（*Angels and Insects*, 1992）等“新维多利亚小说”中体现为对达尔文主义与唯灵论的反思。她认为达尔文挑战了基督教创世说，促使人类重新审视生命的起源及其在自然界中的位置，但并未完全接受达尔文主义，而是担心其将

1 参见 Jane Campbell, *A. S. Byatt and the Heliotropic Imagination*, Waterloo: Wilfrid Laurier University Press, 2004, 1-2.

2 在过去近 30 年期间，围绕沈从文“生命美学”主题的相关研究论文在知网上多达百余篇。较有影响力的著作有：吴投文：《沈从文的生命诗学》，北京：东方出版社，2007 年。

人类意识、理性等视为纯粹进化产物，从而否定超自然解释。¹同时，她对19世纪唯灵论产生了浓厚的兴趣，赞同这种对于超自然现象的热爱“植根于人类心灵深处”（Noakes 26），挑战了“唯理是尊”的传统向阳隐喻。在两大思潮的碰撞中，拜厄特重构了生命意义的多元维度。同样，沈从文也将生命置于至高地位，提出“神在生命中”的观点（“爱与美”360）。他在《湘行散记》和《神巫之爱》等作品中，再现巫性文化对超自然力量的崇拜与敬畏，反映了人类生命中那些被边缘化和超越理性范畴的神秘力量，也体现了人类对未知世界的探索和向往。

此外，他们对生命的敬仰源于对人与自然关系的深刻认识，这在他们的向阳性中得到了充分的体现。拜厄特认为，自然万物一体相生，她曾引用柯勒律治的万物合一生命观，强调“人类、林木、鸟类及世间万物是一个和谐的整体”，并将这种观念视为“敬奉的神殿”（“A.S. Byatt, *The Art of Fiction* No.168”）。这种大生命观还体现于她的《梵高：死亡与夏天》一文，后者赞扬“太阳之子”梵高在法国南部阿尔创作的系列画作，称其“向阳/向死而生”，即同时融合了对生与死的双重思考（*Passions of the Mind* 296）。她还在小说《静物》（*Still Life*, 2003）中多次嵌入“向阳隐喻”，如梵高画笔下的向日葵（soleil）²、烈日下的收割者和播种者，以此呼应画家对生命的激情和敬仰。³这些隐喻不仅展现了向阳性的美学价值，也体现了拜厄特对生命意义的深刻思考。

同样，沈从文的生命美学也与大自然水乳交融，其向阳性贯穿对自然和阳光的深情挚爱。他坦言“一部分生命竟完全消失在对于一切自然的皈依中”（《向阳而美》119），更感叹生命“交互溶解在光影中”（《向阳而美》101），渴望在“朝阳炙晒中感到新生”（《向阳而美》48）。他以夸父“迎赶日头”自喻，强调人类应“从阳光中取得营养和教育”（《向阳而美》91-92）。沈从文还曾直言自己的不少作品“向阳而生”，如《月下小景》《八骏图》《自传》和《边城》：“梧桐树下面，见朝日阳光透树影照地下，纵横交错，心境虚廓，眼目名爽，因之写成各书”（《向阳而美》66）。这些作品都体现了向阳性的美学追求。

至此，我们已深入沈、拜二人生命美学的核心，二者都追求从“向阳而美”到“向阳而生”的蜕变，并将其化作灵动的生命书写（life writing），由个体叙事“拓展到对人类、文化与自然之间关联的探索”（贺秀明 107）。还须一提的是，他俩都受了尼采的影响，这进一步折射出他们的心灵契合：拜厄特欣赏尼采对“生命的肯定”（Hensher, “A.S. Byatt, *The Art of Fiction*”

1 参见金冰：《维多利亚时代与后现代历史想象：拜厄特“新维多利亚小说”研究》，北京：北京大学出版社，2010年，第21页。

2 在法语中，向日葵和太阳共用同一个单词“soleil”。

3 参见A.S. Byatt, *Still Life*, London: Vintage, 2003, 132.

No.168”），而沈从文则把尼采视为生命书写的巨擘，能够“除旧布新”并“移动世界”（“谈进步”486）。尼采笔下的查拉图斯特拉曾声称，要在生命终结前把“最丰厚的礼物献给人类”，因为他懂得太阳在沉落之际，也是光芒积聚最为丰富之时；要从它“用之不竭的宝藏中掏出金子般的光芒撒向大海——乃至最贫穷的渔夫也能摇起金色的船桨”（尼采210）。在这样的太阳喻说中，尼采、拜厄特和沈从文可谓不谋而合：他们在生命书写中收获愉悦，经历蜕变，由小我进入大我，实现了生命超越；既充盈了自身生命力，又回馈了他人，反哺了大千世界。这是一条向阳之路，即便“在一切有生陆续失去意义，本身亦因死亡毫无意义时”，也要“使生命之光，煜煜照人，如烛如金”（《向阳而美》62）。

由此可见，从追光者蜕变为照亮其他生命的缘光（illuminator），两位作家在生命体验和艺术创作的向阳之旅中，既形成了独特的生命美学，也构建了独特的文学艺术，而“文学就是一种伦理艺术”（Nie, “Ethical Literary Criticism: A Basic Theory”190）。“美与善的统一才是真正完满的生命实现”，这不仅是两位作家在心灵深处的应和，更是“人类共同的希望和要求”（聂珍钊王松林113）。

三、生命书写中的“浴火重生”

要全面理解拜、沈二人的向阳生命美学，还需要关注他们创作中蕴藏的负面美学，重现被边缘化的生命体验，尤其体现在生与死、光明与黑暗、静默与流动，远行与归家等悖论之中。由此得知，两位作家生命美学中的向阳性充满张力，强调生命的意义不仅在于追求光明，更在于逆境中的向阳重生，这与他们作品中频频出现的“浴火重生”¹意象高度契合。

拜厄特的《枯干的女巫》取材沈从文作品中的蛊婆形象。女巫阿鸥因家庭悲剧沦为“灾星”，借助巫术自救并治愈村民，却因邻家儿子猝死和叔嫂恋情曝光后（曾为其制作过“爱的符咒”），被斥为“邪恶之源”，最终被缚于酷日下暴晒三日，灵肉分离。阿鸥的命运揭示了边缘群体的生存悖论：其巫术带来治愈希望（光明），又因巫术的隐秘性遭到排斥（黑暗），在光暗交织中挣扎直至魂归自然。

沈从文的《湘西散记》记录了上述故事的原型：蛊婆若使孩子“受蛊致死”，必被捉去“放在大六月天酷日下晒太阳，名为‘晒草蛊’（……）照习惯必在毒日下晒三天”（179、181）。沈从文在《凤凰》一文中曾为“蛊婆”辩护：“她根本上就并无如此特别能力蛊人致命。这种妇人是一个悲剧的主角，因为她有点隐性的疯狂，致疯的原因又是穷苦而寂寞”（《湘西散记》181）。沈从文坚信巫的产生有其“社会上的意义，都有它必然的

1 在《淮南子》天文训中提到，“火气之精者为日”，即太阳是由“火气”中最精华的部分凝聚而成，参见 陈广忠（译注）：《淮南子》，北京：中华书局，2012年，第104页。

原因”，而那些把蛊婆抓去晒蛊的读书人则属实“无知”（《湘西散记》185）。

沈从文对“蛊婆”形象的辩护在拜厄特《枯干的女巫》中得到了呼应。拜厄特进一步细化了该形象，淋漓尽致地呈现了人物的负面情绪、生存逆境与向阳生命力之间的张力。换言之，“负面美学”在小说中得以彰显——作品保留了湘西蛊婆的“怨愤郁结”与“压抑变态”（《湘西散记》177），且小说标题本身就暗示了女主人公生命中的阴影与厄运。国内有学者将标题译为《晒干的女巫》（徐蕾 161），但笔者认为“dried”一词若译为“晒干”，只顾及了故事的结局（女巫被抓去绑在树下暴晒三天），却亏损了另一层重要内涵，即女巫在人穷年老之际生命日益枯竭。文中出现“dry, drying, dried, dryness”等词，多达 50 余处，分别指称枯干的唾液、舌尖、双眼、皮肤、乳房、体液、血液，以及枯竭的生命欲望等。因此，“枯干的女巫”更能兼顾两层含义，并与小说中看似田园牧歌、溪水潺潺的自然环境形成反讽。再者，小说中“阴影”（shadow）和“黑暗”（dark, darkness）二词反复出现：女巫每次在水潭边洗衣都会见到自己在水中的“黑色面具”，不寒而栗。这方潭水源自“山林深处的一股清泉”（Byatt, “The Dried Witch” 85）¹，本应滋养万物，却如同死亡的黑渊²。周边环境看似世外桃源，实则阴影重重。女巫家中的环境也是阴暗局促，仿佛在暗示女巫的生活暗无天日。此外，与阿鸥同村的有一个名叫“昆”的男子，他如暗处的影子，时刻偷窥她的动静，最终借机挑唆村民，将女巫绑在烈日下暴晒致死。“昆”作为故事中阴暗卑劣的化身，与沈从文一直唾弃的“阴性人格”不谋而合，此类人“仿佛和平，其实阴险”（“白话文问题” 325），完全背离生命的本质。

拜厄特一方面渲染负面美学带来的阴暗面，另一方面又赋予女巫向阳重生的力量。小说中一个细节不容忽视：阳光下，阿鸥在水潭边擦洗铜盆时，发现盆面映射的自己与水中阴暗的脸不同，显得“圆润光鲜”，如“日光灿烂”（86）。这一幻象为枯槁绝望的女巫带来了生命之光。故事高潮，女巫于酷暑烈日下炙烤三日，实为点睛之笔。尤其是第三天，肉体折磨达到顶峰，但“她的灵魂之手在帮她舀起生命的热能，就如同沐浴于山泉”（110）。飘离的灵魂“聚集了长长一股热能和干燥的空气，盘旋在荆棘树周围”，使“银色、金色、暗红色”的枯枝焕发新生（110）；最终，“一股热浪形成的漩涡带着她的灵魂从泥泞的地上盘旋而上”（111），使“逐渐解体”的身躯“与天地相融”（109）。此过程直指“凤凰涅槃”的传说（源自古希腊罗

1 下文相关引文均出自 A. S. Byatt, “The Dried Witch,” *Sugar and Other Stories*, New York: Vintage International, 1992, 85-111。以下引文只标注页码，不再一一说明。

2 沉潭是封建家族对违犯族规的人施行的一种酷刑。在过去湘西一带，凡女子道德逾矩，常常以沉潭处罚。

马和埃及神话)¹。此外,故事中阿鸥反复出现的“红眼睛”(86、88、92)更强化了火凤凰的意象(相传凤凰具有红/金色的眼睛)。如同凤凰背负人世积怨投身烈火换取祥和,女巫阿鸥以生命为代价给年轻爱侣传递爱的符咒,独自承担全村怨念,于烈日中完成其涅槃重生。

拜、沈二人心灵的交集不限于《枯干的女巫》,沈从文所信奉的向阳生命美学也贯穿拜厄特其他的艺术创作。其作品反复呈现从向阳而美到浴火重生的图景:光暗相随,生死交叠,远行归家并存。例如,《尤金尼娅蝴蝶》中,亚当森和马蒂玩组词游戏最终出现“凤凰”(phoenix) (“Morpho Eugenia” 175)一词,暗合涅槃之意;亚当森从失意的庄园寄生者蜕变为兼具反思与关爱能力的科学家,其重返亚马逊丛林的历程,既是远行,也是归家,在“自我”与“他者”的转换中寻求个人与民族的新生。《占有》(*Possession*, 1990)更频现重生的意象:拉莫特与已婚诗人艾什相恋,她在诀别信中借诗人“弥尔顿的凤凰”(Milton's Phoenix) (*Possession* 545-546)来隐喻为爱所做的牺牲,即为恋人与孩子幸福她选择永诀独居。此外诗人艾什(Ash)之名暗含“灰烬”与强大生命力的双重意蕴;其创作的史诗《北欧众神之浴火重生》描绘的生命树“伟大的白蜡”(the Mighty Ash)于灰烬中“隐隐酝酿/重生的希望”(*Possession* 261)。以往研究过多聚焦“占有”的爱情或历史维度,依笔者之见,其核心要义实为:生命的意义非在占有,而在历经劫难后保有对他人、自然和民族的关爱能力,以及与万物相生相融、重获新生的希望。

与拜厄特相比,沈从文的生命书写呈现出更加多元的形式:既有小说人物的生命抗争与超越,又有自传中从自毁到自救的生命历程,更有转向文物研究中的凤凰涅槃。不少学者曾探讨过《边城》《潇潇》和《长河》等小说中的悲剧美学特征及其成因,但大都只关注沈从文创作中呈现的负面情感结构²,却忽略了隐藏其中的生命张力,即绝境背后蕴藏的希望,死亡中孕育的新生。例如,《边城》中翠翠遭遇祖父死亡、恋人离去的悲剧,但结尾处的画面仍然向未来开放:“到了冬天,那个圮坍了的白塔,又重新修好了”,那个在月光下“使翠翠在睡梦中为歌声把灵魂轻轻浮起来的青年人”“也许永远不会来了,也许‘明天’回来!”(《边城》282)这里,圮坍又重建的“白塔”以及文末的“感叹号”都在预示“明朗、刚健的力量和生生不息的气象”(张新颖 17)。又如,沈从文自己曾陷入“精神失常”,却拼尽全力写下了自传散文《一点记录》:“一切必然要新生,旧的灭亡而新的兴起。个人得挣扎到阳光下来,将生命重新交给土地和阳光”(“一点记录” 6)。在他生命

1 参见 R. Van Den Broek, *The Myth of the Phoenix: According to Classical and Early Christian Traditions*, translated by I. Seeger, Leiden: E.J. Brill, 1972, 146-147+187.

2 知网上收录以“悲剧”“悲观”“悲音”“挽歌等作为关键词的评论文章(以边城为例)多达 400 多篇。

的危机时刻，他依然努力向阳求生，即便在绝望中听到“翠翠也曾听到过的杜鹃啼唤”，也能看到“在生命的枯枝上，茁生了一簇簇新芽和新蕊”（“一点记录”9-10）。1949年后，他从文学创作转向物质文化史研究，并用凤凰重生来阐明普通民众的工艺美术何以流芳百世：“俗说凤凰不死，死后又还会再生（……）凡是深深活在人民情感中的东西，它的历史虽久，当然还会从更新的时代，和千万人民艺术创造热情重新结合，得到不朽和永生”（《古人的文化》119-120）。

综上所述，拜厄特与沈从文在“向阳之旅”中的“邂逅”看似偶然，实则必然。他们在向阳之旅中形成了独特的向阳生命美学，后者不仅源于他们对个体生命焦虑的深刻体验，也源自对民族生存困境的深切关注。在不同时空中，沈从文那颗“能为一切现世光影而跳跃的心”（《向阳而美》92）与拜厄特笔下灵动的白蜡树形成了奇妙的应和，两者均“能动能感觉，能看能听闻”，“生生不息”（*Possession* 261）。这种心灵的契合不仅体现为对生命活力的赞美，对生命意义的追求中，也深藏于他们对弱小生命的悲悯。他们都小扣而大鸣，与偌大的世界联结，融入了真善美境界，实现了生命美学与伦理担当。

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Translation as Sustainability in the Anthropocene: The Case of *Daodejing*

Xu Jingcheng

Abstract: In the context of closely aligning Translation Studies and sustainability discourse within the interdisciplinary framework of Environmental Humanities, this article argues for translation as sustainability, which can be manifested by the two notions of “translatable sustainability” and “sustainable translation.” Meanwhile, it aims to establish a Daoist sustainable translation framework by embedding core Daoist eco-ethical principles such as *buzheng*, *zipu*, *xin*, and *mei* into existing sustainability tenets, in guiding translation behaviours. The case revolving around the British and American reception of *Daodejing* demonstrates the conduciveness of integrating sustainability considerations into translation practices to preserving and disseminating the ecological wisdom of the source-language text. Ultimately, the sustainability of *Daodejing* rests upon its inherent sustainable ecological vision that uniquely and continuously enchants Western readers, and this enduring appeal is also enhanced by the diverse range of translations that continually revitalize the source text and facilitate its broader dissemination. The conceptualization of translation as a sustainable practice facilitates the transfer and cross-pollination of ecological ideas across different cultures and informs translators’ better engagement with the Anthropocene’s ecological quandaries, encouraging their dutiful pursuit of a sustainable Earth via translation.

Keywords: sustainable translation; Daoist ecology; *Daodejing*; Anthropocene

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标题：人类世时代下翻译即可持续性探究：以《道德经》为例

内容摘要：翻译研究与可持续性论述可在环境人文学跨学科视阈下互观互照，在此背景下，本文探究翻译即可持续性这一命题，通过“可持续性之可译性”和“可持续翻译”两个概念加以阐明，同时将“不争”“自朴”“信”“美”

等道家生态伦理原则纳入既有的可持续性准则框架中来指导翻译行为，旨在构建道家可持续翻译框架。本文围绕英美国家对《道德经》的译介与接受情况而展开的案例分析，意在说明将可持续性理念融入翻译实践中有利于保护和传播源语文本的生态思想。本文认为《道德经》的可持续性主要取决于两个方面：一、其自身独特的可持续生态思想不断吸引着西方读者；二、其译文的多源性为源语文本持续注入了新的活力，从而强化了源语文本的传播效果。将翻译视作可持续性行为的理念不仅有助于不同生态文化之间的交流与互鉴，而且也有利于身处人类世时代的译者更好地应对当下的生态危机，通过翻译活动为实现地球的可持续性贡献应有之力。

关键词：可持续翻译；道家生态；《道德经》；人类世

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1. Introduction

Humanity's unsustainable modes of thinking and behaving have caused escalating ecological crises, culminating in the ongoing "Sixth Mass Extinction" (Reno 2). The current era of environmental crisis, known as the "geological epoch" of "Anthropocene" (Crutzen 23), requires the interdisciplinary cooperation between "the social sciences, the humanities, and the natural sciences" to address its complex challenges (Oppermann and Iovino 1). Integrating insights from Environmental Humanities, an emerging area of cross-disciplinary inquiry, alongside scientific knowledge, is vital in offering sustainable solutions to the Anthropocene's ecological issues. James Gustave Speth, former Administrator of the United Nations Development Programme, emphasizes the need for diverse voices beyond those offered by lawyers, scientists, and economists, calling for contributions from poets, preachers, philosophers, and psychologists.¹ It is noteworthy, however, that Speth's valuable suggestion still omits the crucial role of Translation Studies. Since its emergence as an autonomous academic discipline in the late 1970s and early 1980s, Translation Studies has expanded rapidly through its engagement with diverse fields such as linguistics, economics, history, comparative literature, sociology,

1 See James Gustave Speth, *Angels by the River: A Memoir*, Vermont: Chelsea Green Publishing, 2014, 157.

psychology, and anthropology.¹ Despite this interdisciplinary width, ecological concerns remain absent from its theoretical landscape. The field has yet to integrate itself dutifully into Environmental Humanities.

Yoked inextricably to Environmental Humanities, Translation Studies discourses will be enriched in terms of terminology, theoretical tools, and methodologies. Scholars advocate for closer collaboration between Translation Studies and ecological sciences, with notable efforts such as Michael Cronin's conception of "translation ecology" and "eco-translation," Xu Jianzhong's "translation ecology," and Hu Gengshen's "eco-translatology."² Despite underscoring the ecological function and accountability of translation in this burgeoning area, these pioneering efforts fail to address the value of translating and sustaining ecological insights of ancient texts for today's environmental challenges, and to explore the intersection of sustainability and translation. Therefore, this article aims to integrate translation and sustainability discourses by introducing two notions of "translatable sustainability" and "sustainable translation," and exploring the potential of establishing a Daoist framework of sustainable translation, which is founded on Daoist eco-ethical principles of *Daodejing* as a case study.

2. Translatable Sustainability and Sustainable Translation

The mutual ignorance and overlooked intersection of Translation Studies and Environmental Humanities require a scrutinization of the relationship between sustainability and translation in face of escalating ecological crises. Two concepts are introduced here: translatable sustainability and sustainable translation. The former denotes the capacity of sustainable values—literal, metaphorical, or cultural—to be transferred across linguistic and cultural contexts via translation. The latter concerns the ecological consideration of translation practices themselves—how translation strategies and outcomes can align with and promote ecological ethics.

Translation Studies, with a vast array of theoretical scopes and practical guidelines, is well positioned to engage with Environmental Humanities. It not only facilitates the transmission of ecological ideas but also can contribute to refining the very concept of sustainability. Traditionally, sustainability has been approached through economic, political, social, and cultural lenses. A key distinction must here

1 See Susan Bassnett and André Lefevere, "General Editors' Preface," *The Translator's Invisibility: A History of Translation*, London: Routledge, 1995, vii.

2 See Michael Cronin, *Translation and Globalization*, London: Routledge, 2003; Xu Jianzhong, *Translation Ecology*, Beijing: China Three Gorges Publishing House, 2009; Michael Cronin, *Eco-Translation: Translation and Ecology in the Age of the Anthropocene*, London: Routledge, 2017; Hu Gengshen, *Eco-Translatology: Construction & Interpretation*, Beijing: The Commercial Press, 2013.

be made between sustainable development and sustainability, terms often conflated but conceptually distinct. The former gained prominence through the 1987 UN report *Our Common Future*, which defines it as development that “meets the needs of the present without compromising the ability of future generations to meet their own needs” (WCED 8). While this idea has informed policies related to “poverty alleviation, environmental improvement, and social equitability” (Mebratu 501), it is widely critiqued as anthropocentric and economically-driven. Critics argue that sustainable development often prioritizes sustaining economic growth over genuine ecological care, branding it as “capitalistic greenwashing” (Schliephake, “The Sustainability of Texts: Transcultural Ecology and Classical Reception” 260). Xu Jianzhong, while critiquing narrow definitions that ignore intra-generational inequities¹, nevertheless overlooks the importance of inter-generational continuity, particularly the influence of past cultural and ecological wisdom on present and future practices. This omission merits attention. Genuine ecological sustainability must account for legacies of long-standing ecological thoughts and customs. Thus, translatable sustainability entails not only transferring the overt aspects of environmentally-conscious texts, but also revealing and preserving their underlying ecological insights when translated into target contexts. In this light, translation becomes a crucial medium, carrying the ecological wisdom of historical traditions—such as Daoism—to contemporary audiences, enabling cross-generational exchange.

In contrast to the politicized framing of sustainable development, the notion of sustainability offers a more ecologically-grounded and ethically-attuned framework. It promotes diversity, flourishing, and ethical autonomy—principles that can guide human activities, including translation. As a humanistic practice that involves continuous ethical, linguistic, and ecological decisions, translation is inherently linked to sustainability. By embedding sustainability concerns, Translation Studies can enrich its theoretical foundations while redefining the translator’s role in ecological discourse and response to the Anthropocene. Revisiting the definition of translation through this lens is essential. While traditional definitions emphasize the process or product of rendering a text from one language to another (Woodstein 9), theorists such as Roman Jakobson, Homi K. Bhabha, and Susan Bassnett have expanded the scope to include broader processes of cultural and semiotic transfer.² This article maintains an intra- and inter-lingual emphasis, while also acknowledging the original Latin sense of *transfere*—“to carry across”—absent of

1 See Xu Jianzhong, *Translation Ecology*, Beijing: China Three Gorges Publishing House, 2009, 278.

2 For details about the definitions of translation, see Susan Bassnett, *Translation Studies*, 3rd edition, London: Routledge, 2002, 6; Jozef Štefčík, *Multidisciplinary Insights into Translation Studies: Paradigm Shifts in the Information Revolution*, Cham: Springer, 2025, 8.

colonial connotation (Schliephake, “A Transcultural Poetics” XIII). Translation is thus reframed as a complex inter-generational, inter-textual, inter-cultural, and inter-ecological activity.

This definition involves a broader question concerning the source text (ST hereafter) within a sustainable translation framework. By the ST, Clive Scott refers to “any text” open to being rendered “into eco-consciousness,” distinguishing them from eco-texts typically considered by Ecocriticism (Scott 285). Scott’s model of eco-translation focuses on the translator’s “psycho-physiological” involvement with ST and the potential to evoke ecological awareness through close reading.¹ Ideally, any text, as we argue, possesses the potential to be translated into sustainable consciousness and to evoke sustainable cognizance in readers (including translators themselves) of the target text (hereafter TT). While stressing the importance of exploring eco-views hidden in the ST and enabling their effect on readers, Scott aligns his approach with New Criticism in its emphasis on textual detail over context, aiming for an individualized ecological experience that resists self-effacement characterizing such major critical approaches as Ecocriticism. While insightful, this narrow focus omits wider contextual concerns of the text’s sustainable ecology *vis-à-vis* translation. Indeed, a framework for sustainable translation should embrace processes of both self-individuation and self-effacement, equally valuing textual analysis and contextual interpretation, in translating and applying the ST’s ecologies to target contexts.

The ST’s extended meaning involves and justifies the application of external theoretical frameworks—such as Daoism—to internal textual structures, ethically conveying latent eco-wisdoms to new cultural and environmental contexts in a faithful manner or via judicious, responsible, and sustainable reconfiguration and adaptation. As we shall see, different translations of *Daodejing*, as a foundational ancient Chinese eco-philosophical text, illustrate how diverse epistemologies and translatorial backgrounds shape textual outcomes. Between the extremes of free adaptation and rigid literalism lies the goal of sustainable translation, which is to maintain the equilibrium between original fidelity, eco-ethical consideration, and cultural adaptability. Such efforts often surface in paratexts, including translatorial prefaces, epilogues, annotations, and commentary, guiding readers towards the text’s ecological depth and truth.

Unequivocally, Translation Studies and translators must actively participate in the wider enterprise of Environmental Humanities, given the innately-

1 See Clive Scott, “Translating the Nineteenth Century: A Poetics of Eco-Translation,” *Dix-Neuf* 3 (2015): 285-286.

interconnected fate between them and the wider Earth. To render translation itself sustainable, translators must be sensitive to both the ST's and the TT's ecological contexts. Translation is not only a rigid inter-linguistic operation but also an ethical practice deep-rooted in broader eco-systems. It serves as a site of cultural and ecological, as well as linguistic, interchange—a participatory and reflective process within a changing environment. In this sense, eco-ethically-receptive translators should cultivate environmental consciousness and responsibility across languages and cultures. They should also avoid perpetuating hegemonies or practices that diminish the diversity and sustainability of STs' natural and cultural ecologies. Rather, they should preserve in the TT the reciprocal authenticity between textual and contextual ecologies of the ST, thereby cultivating ecological literacy in target readers and contributing to broader environmental consciousness and accountability. From this standpoint, translation becomes a cultural and eco-ethical undertaking apart from a technical process. The translator is positioned as a mediator, bridging “primitive nature” (the ST) and “man-made nature” (the TT). Just as a farmer treats soil with respect, the translator should approach the ST with reverence, preserving its linguistic and ecological integrity. Rigid, mechanical, and eco-insensitive translations, which flatten or distort the ST's ecological vigour, are often perceived as lifeless and unconvincing. Sustainable translation, by contrast, seeks to revitalize and transfer that original vitality, ensuring the survival of ecological wisdoms in the transmission. Such translation warrants a process-oriented rather than purely product-oriented view of sustainability. Since no translation is ever perfect, the focus should be on applying sustainable and diverse strategies that produce more eco-ethically-sound outcomes. Long-term vitality in translation depends on adaptive, flexible, and contextually-informed approaches—qualities best nurtured within a sustainability-oriented paradigm. This eco-ethical dimension counteracts anthropocentrism, including translators' potential for egoism, hubris, avarice, or cultural insensitivity. Sustainability ethics offer them a moral navigation that extends beyond anthropocentric interests to include the non-human natural world. Ideally, these ethics serve as a guiding force throughout the translation process. The translator's decisions, when informed by such ethics, ensure not only the quality of the translated text itself but also its capability of conveying the ST's cultural and ecological knowledge responsibly.

Sustainable translation is thus defined here as the balanced mediation between translation and sustainability. It involves rendering, transferring, and representing the ST's sustainable ecology while respecting both source language and target language (SL and TL hereafter) aesthetics and norms. It encourages eco-ethical

and contextual sensitivity and promotes dialogue across linguistic, cultural, and generational divides. By doing so, sustainable translation not only responds to the Anthropocene's environmental challenges but also ensures the continued relevance of ancient eco-philosophies—such as Daoism—in contemporary discourse. As a cultural, eco-ethical, and educational practice, sustainable translation plays a vital role in shaping ecologically-informed responses in an environmentally-interconnected world of ecological quandaries.

3. Sustainability in the Diverse Translation and Reception of *Daodejing*

A defining feature of sustainable translation is the diversity inherent in its various renditions and their respective receptions. This diversity is particularly evident in the case of *Daodejing*, which has significantly contributed to the unceasing and sustainable popularity of Daoism in Western countries. Often cited as the second most translated text in the world, surpassed only by the Bible¹, *Daodejing* has a long and complex translation history. Consensus suggests that the earliest known Western version is a Latin translation by Jesuit missionaries in China, presented as a gift to the British Royal Society in 1788 with the translators' intention to display how "the Mysteries of the Most Holy Trinity and of the Incarnate God were anciently known to the Chinese nation" (Legge xiii). The term "Daoism" or "Taoism" entered the English lexicon in 1838, as recorded by both Merriam-Webster and the Oxford English Dictionary.² The inaugural English translation, *The Speculations on Metaphysics, Polity and Morality of The Old Philosopher Lau Tsze*, was published by British missionary John Chalmers in 1868.³ From then on, the translation history of *Daodejing* in English unfolded.

Google Books Ngram Viewer, as seen in Figure 1, shows that references to "Tao Te Ching" or "Taoteching" in English-language books were negligible before 1894. Usage increased steadily, reaching a peak in 1958, and then declined sharply by 1970. However, it rose again by 1979 and continued growing robustly, peaking in 2001. By the 2008 statistics, between 1868 and 2004, there were 117 English-language translations of *Daodejing* across three distinct waves.⁴ The first wave, from

1 See Victor Mair, *Tao Te Ching: The Classic Book of Integrity and the Way*, New York: Bantam, 1990, xi.

2 See <https://www.merriam-webster.com/dictionary/Taoism>; <http://www.oed.com/view/Entry/197635?redirectedFrom=Taoism#eid>. Accessed 13 June 2017.

3 See Karl-Heinz Pohl, "Play-thing of the Times: Critical Review of the Reception of Daoism in the West," *Journal of Chinese Philosophy* 4 (2003): 471.

4 See Xin Hongjuan and Gao Shengbing, "Diachronic Description of *Tao Te Ching* in the English World," *Journal of Nanjing Agricultural University (Social Sciences Edition)* 1 (2008): 81-83.

1868 to 1905, comprised fourteen renditions—all by male translators, most of whom were missionaries. These translations largely adopted interpretive, naturalizing, and domesticating strategies, and the majority were published in Britain and its colonies. The second wave, from 1934 to 1963, produced twenty-five translations, reflecting a broader international scope as Chinese expatriates began to contribute. Though all translators were still male, the translations were increasingly published in the United States, and many appeared in journals. This period marked a shift toward greater fidelity to the ST and a growing sensitivity to the aesthetic and formal qualities of *Daodejing*. The third wave, from 1972 to 2004, yielded 78 standalone translations, with 59 published in the USA and the rest distributed across almost the English-speaking countries. This phase was notable for the inclusion of female translators (five in total), greater cross-cultural and interdisciplinary collaboration, and a trend toward foreignizing translation strategies. Despite the 2008 statistical account, *Daodejing* did not cease being translated. As of 2022, *Daodejing* has been translated into 97 languages, with around 2052 versions in total, including 603 in English.¹ Echoing the aforementioned classification of the three waves, a 2024 study proposes a fourth wave of translation of *Daodejing*, commencing from the early twenty-first century until the present, featured by a faithful translatorial commitment and strategy within the context of translating and globalizing real and unique Chinese culture, equating the four waves with four successive trans-hermeneutic modes: Western Studies, Classics Studies, Sinology, and National Studies.²

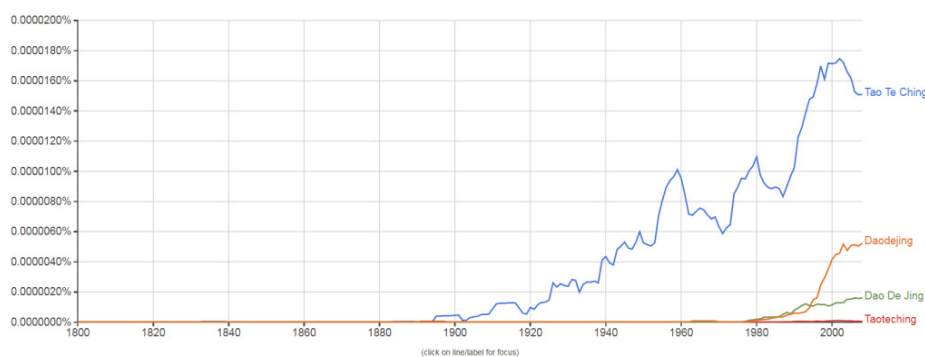


Figure 1 The Appearance Trend of the Terms “Tao Te Ching,” “Taoteching,” “Daodejing,” and “Dao De Jing” since 1894

1 See Misha Tadd, *The Complete Bibliography of Laozi Translations: A Global Laozeitics Reference*, Tianjin: Nankai University Press, 2022, 1+11.

2 See Xu Li, “Diachronic Study on Modes for English Trans-hermeneutics of the Tao Te Ching,” *Foreign Languages Bimonthly* 5 (2024): 150-152.

Sustainable translation is also characterized by openness and inclusiveness. The ST's sustainability cannot be secured without its expanding web of translations, interpretations, disseminations, and receptions. The case of *Daodejing* suffices to illustrate this point. The multiplicity of perspectives and contexts engenders a large number of interpretations, translations, and receptions, as aforementioned, most of which maintain and deepen the sustainability of this Daoist text. Besides, the text's own linguistic and philosophical complexity, and sustainable ecological ethics encourage the inclusiveness. Given its various surviving versions¹, and its own textual pithy, philosophical, and poetic aesthetics, such as abstruse and paradoxical aphorisms, thematic ambiguity, prosodic irregularity, and semantic and syntactic opacity, *Daodejing* has consistently inspired, and will continue to encourage, a prodigious variety in the responses of its admirers, including missionaries, sinologists, philosophers, poets, and teachers. This textual and interpretive diversity drives ongoing demand for new translations, each aiming to grasp the ST's true meaning and formal beauty. However, translating *Daodejing* is fraught with challenges that begin well before the act of translation itself. These include questions of textual variation, homophones, semantic indeterminacy, and syntactic irregularities in Classical Chinese.² Once these obstacles are addressed, translators must also be confronted with difficulties in choices between literal and interpretive approaches, between historical faithfulness and contemporary relevance, and between stylistic accuracy and communicative clarity. These complexities render *Daodejing* exceptionally open to divergent translation strategies, reinforcing its sustainability across time and cultures. In recent years, increasing global awareness of ecological crises has paralleled a resurgence in interest in *Daodejing*. As Figure 2 shows, the usage frequency of environmental terms such as "global warming," "sustainability," and "environmental crisis" correlates with increased mentions of "Tao Te Ching," "Taoteching," and "Daodejing." This trend suggests a growing recognition of the relevance of Daoist ecological thought in addressing contemporary environmental challenges. In this regard, the practice of translating *Daodejing* has acquired a significant and meaningful role of contributing to a wider sustainability discourse.

1 There are various surviving versions of *Daodejing* usually consulted by translators, including the received versions (e.g. Wang Bi's 王弼 and Heshang Gong's 河上公), the silk manuscript (unearthed in 1973 from the Mawangdui Han Tombs 马王堆汉墓), and the bamboo-slips (excavated in 1993 from the Guodian Chu Tomb 郭店楚墓). Waley's, Mitchell's, and Le Guin's translations under consideration in this article all consulted the received versions.

2 See Michael LaFargue and Julian Pas, "On Translating the Tao-te-ching," *Lao-tzu and the Tao-te-ching*, edited by Livia Kohn and Michael LaFargue, New York: State University of New York Press, 1998, 277-301.

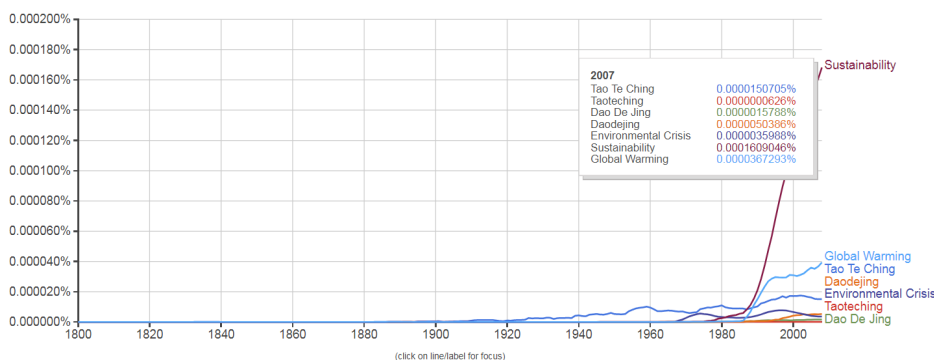


Figure 2 The Appearance Trend of the Terms “Tao Te Ching,” “Taoteching,” “Daodejing,” “Dao De Jing,” “Sustainability,” “Global Warming,” and “Environmental Crisis” since 1894

Another essential but less discussed dimension of sustainable translation is its concern with peripherality. This includes engaging with traditionally marginalized fields such as reception studies and commentary, which have often been relegated to secondary status in scholarship on Laozi/*Daodejing*. Scholars suggest that “Reception and interpretation are therefore as much part of the work as its words and sentences and must not be relegated to an inferior position” (Kohn and LaFargue 17). This implies that textual analysis of *Daodejing* and studies of its interpretation and reception should be equally valued. Likewise, Misha Tadd advocates for a comprehensive approach to Laozi’s philosophy, which he terms “New Laozegetics.” This model of scholarship calls for an inclusive study of all Western translations and intercultural receptions of *Daodejing*. It builds on the globalization of traditional Laozi studies and incorporates the history of philosophical thought, cultural transmission, and close textual commentary.¹ Tadd identifies five new interpretive approaches that define New Laozegetics: historical textual analysis, philosophical exploration, religious exegesis, literary critique, and individual epiphany. Clearly, the extended concerns and new developments of the Laozi studies can be regarded as a sustainable attempt to maintain and even argument the academic value and canonicity of *Daodejing* as a part of world literature, especially in the current context of increasing international appreciation and dissemination of Chinese culture. Thus, it is precisely because of its diversity, openness, and inclusiveness that the sustainability of Laozi’s work is dynamically maintained and even magnified in TL contexts.

1 See Misha Tadd, “The Globalization of The Laozi and the Establishment of New Laozegetics,” *History of Chinese Philosophy* 2 (2018): 122-123.

4. Daoist Framework of Sustainable Translation

Integrating key sustainable Daoist principles from *Daodejing* into sustainable translation discourse can offer a fertile ground for rethinking translation practices, aesthetics and ethics, and translators' behaviours. Despite having no direct stance on translation, *Daodejing* offers a diverse and rich tapestry of concepts that reflect a deep engagement with the language–meaning relationship, such as *Dao* (道, the Way), *ming* (名, naming), *xin* (信, trustworthy), *mei* (美, beauty), and *zipu* (自朴, self-simplicity), and meanwhile ethical principles that address humanity's spiritual crises, such as *wuwei* (无为, non-intervention), *wuyu* (无欲, non-desire), *rou ruo* (柔弱, softness), *buzheng* (不争, non-competitiveness), *buren* (不仁, non-mercy) and *ziran* (自然, spontaneity). Previous scholarship has begun exploring this intersection. Martha PY Cheung's 2014 book, for instance, briefly references Chapters 1 and 81 of *Daodejing*, highlighting the translation potential of terms, such as *Dao*, *ming*, *xin* and *mei*, though her discussion remains suggestive rather than extensive.¹ Douglas Robinson develops a more ambitious dialogue between Daoist and Confucian thought and Western theories of language and cognition. He employs Daoist notions, such as *Dao*, *de* (德, virtue), *wuwei* (not acting), *wuyu* (no controlled desire), and *wuzhi* (无知, no controlled knowledge), alongside Confucian concepts, such as *ren* (仁, benevolence), *ming* (命, destiny, command, conditions), *xing* (性, habitus), and *xin wei xin* (心为心, heart as heart), comparing them with Charles Sanders Pierce's theoretical triad of abduction, deduction, and induction, Ferdinand Saussure's semiology, Pierre Bourdieu's theory of habitus, and Antonio Damasio's somatic theory to enrich understandings of translation processes.² Although the terrain of Daoist-informed Translation Studies has thus been tended, there remains room for other *Daodejing*-based guidelines to inform sustainable translation. This section will accordingly undertake this enterprise by examining untouched notions like *buzheng* and *zipu*, and the under-researched concepts of *xin* and *mei*, which will be exemplified by literary works and actual events, and supplemented with a discussion of how the sustainability of *Daodejing* is maintained via translation.

A vital addition to existing tenets of sustainability is *buzheng*, a notion which appears eight times throughout *Daodejing*. Laozi elucidates this concept mainly in its Chapter Eight by harnessing water as a metaphor for non-competitiveness. For him, water is inherently powerful, bearing two distinct traits—its intrinsic capacity

1 See Martha PY Cheung, *An Anthology of Chinese Discourse on Translation Volume 1: From Earliest Times to the Buddhist Project*, London: Routledge, 2014, 23-24.

2 See Douglas Robinson, *The Dao of Translation: An East-West Dialogue*, London: Routledge, 2015.

to nourish organic life and its inherent flexibility or modesty; it tends, however, to hide its strength by showing softness and non-competitiveness. Water's essence reflects the Dao's nature, making non-competitiveness central to its operation. Like water, virtuous individuals embody a humble strength that avoids unnecessary rivalry and conflicts. By cultivating these water-like qualities, humanity can align with Dao, fostering virtuousness and humility. A comparative analysis of various English translations of the term *buzheng* reveals significant interpretive divergences. The notion is translated indirectly into "no more jealousies" (Waley 145), inappropriately into "powerless" (Mitchell 3), or more accurately and directly into "uncompetitive" (Le Guin 3). This suggests that Waley and Le Guin demonstrate a superior grasp of the original Daoist intention, and indeed the ecological symbolism of water, compared to Mitchell's rendition which fails to adequately convey the nuance in the essential characteristics of water.

It may be argued that *buzheng* is inviable in contemporary society for passivity it indicates. However, in Laozi's view, it does not advocate for a relinquishment of self-identity, self-value, and all desires, except intense self-interest and egoistic success at the expense of other beings. To realize *buzheng*, as Chapter Eight and Nineteen of *Daodejing* argue, it is imperative for humanity to embrace selflessness, and fewer desires, moving away from worldly pursuits to find transcendental happiness in accordance with Dao. As posited in the final chapter of *Daodejing*, "Just as Heaven's Dao is benevolent to all Earthian beings, humanity's Dao [here understood as virtue] relies on non-competitiveness."¹ Humanity's alignment with Dao means acting without detriment to others, fostering virtue and spiritual growth through altruistic non-competitiveness. Thus, *buzheng* as an indispensable Daoist ethical principle is vital for counteracting such behaviours as fierce capitalist competitions that contribute to the Anthropocene's ecological crises, particularly spiritual quandaries essentially marked by absolute anthropocentric outlooks such as chauvinism and commercialism, in pursuit of sustaining the well-being of all ecological beings beyond just human interests.²

Examined within a sustainable translation framework, *buzheng* is highly instructive. *Buzheng*-enlightened sustainable translation entails a profound shift in translators' mindsets and practices, prompting them to relinquish competitive,

1 See Chen Guying, *Laozi: A New Annotation*, Beijing: The Commercial Press, 2006, 349. The English translations of Daoist passages are made by the author of the present article unless otherwise specified. Further references are given parenthetically.

2 See Xu Jingcheng, "Daoist Spiritual Ecology of Self-Actualization in the 'Anthropocene,'" *Ecocriticism, Ecology, and the Cultures of Antiquity*, edited by Christopher Schliephake, Lanham: Lexington Books, 2017, 288-289.

anthropocentric, and commercially-driven approaches. It encourages a meticulous and dutiful translation of the ST's ecological nuances into the TT, challenging the translator's deeply-entrenched anthropocentrism and mitigating potential ecological issues arising from anthropocentric translational practices. It propels translators to forsake strongly-egoistic interest, hubris, and greed. This equates to transcending a competitive ego that is inclined to prioritize personal fame, social status, high payment, or speedy turnaround at the cost of the ST's accuracy, authenticity, reliability, or wider eco-ethical consideration, accountability, and impact. Rather, a translatorial mindset of non-competitiveness and humility, embodied by the inherent nature of water, should be adopted to seek contentment in translation itself instead of merely in exterior materialistic pursuits. A concurrent realization should be achieved that the translatorial role is to ethically and dutifully serve the SL and TL text/culture/ecology and the broader context of interspecies welfare, rather than to dominate, manipulate, or abuse them. Since "translation is imbued with power" (Woodstein 41), translators should exercise restraint in their use of power and strive for balance between the visibility and invisibility of their role in decision-making throughout the entire translation process. This internal shift, guided by non-competitiveness towards transcendental happiness in pursuit of alignment with Dao, is likely to contribute to a more eco-conscious, eco-dutiful, and peaceful translation process, ultimately securing the long-term sustainability of translators' own well-being and their output quality. In this sense, *buzheng* is conducive to sustainable translation, guiding translators to relinquish strong anthropocentrism, egoism, and mercenary attitudes. Some scholar highlights the problem with communication ethics which overstresses the intercultural communication function of translation while ignoring unethical and inhumane ends, citing as an example "the task of translating instructions for making a cheap nail-bomb" (Chesterman 142-143). *Buzheng*-enlightened sustainable translation works to address similar issues caused by a purely communication model: under the guidance of non-competitiveness, translators would never be encouraged to undertake such an inhumane task solely for the sake of anthropocentric communication but rather they should always take eco-ethical ends and purposes of translation into consideration.

The contemporary relevance of this Daoist precept is powerfully expressed in Leslie Marmon Silko's writing. Her poem "Storyteller" translates and narrates the white, European conquest of the American landscape, disruption of the Native American culture, and traumatic devastation of the ecology.¹ This narrative is

1 See Leslie Marmon Silko, "Storyteller," *Earth Shattering: Ecopoems*, edited by Neil Astley, Northumberland: Bloodaxe Books, 2007, 183-185.

counterpointed by a nostalgia for pre-colonial, peaceful life. Generally speaking, white, European colonialism can be characterized by a symptom of competitive and selfish mentalities. After all, it was largely the prospect of economic gain that propelled Europeans into the Americas and justified their destruction of an “already complete” world’s culture and natural resources. With increasingly advanced technology, Europeans in America vied for greater profits by intensifying their exploitation of indigenous people and natural environments. Silko continues, in works such as “Yellow Woman” and “Yellow Woman and a Beauty of the Spirit,” to chastise white Europeans for their colonization of the Laguna (particularly), alongside for “the development of the atom bomb and the first atomic explosion 150 miles away, followed by open-cast uranium mining on Pueblo land” (Astley 185). Silko’s poetry accordingly foregrounds environmental justice, mediates between a vulnerable ecology and a human readership, and critiques selfish and competitive economic interests and behaviours that have led to ignorance, commercialization, and colonization. Writing about the Earth or the natural world in such a way can be seen as a form of translating Earthian/non-human language into human terms, which requires the subjectivity of translators (in this case, writers who transfer natural ecology from one place to another) to speak for them and environmental justice. Contextualizing this material in Daoism, one might argue that *Buzheng* would have prevented the colonial project altogether, sustaining America’s native ecology and cultures, and leaving them to exist peacefully and intact.

Regarding Waley’s historical translation of *Daodejing*, it is noteworthy that the Daoist tenet of non-competitiveness fuelled his translation process amid his response to the then scholarly neglect and misunderstanding of China. As a scholar-cum-translator, Waley conveyed the historical contexts of *Daodejing* in a careful, ethically-responsible, and non-competitive manner. What sustained his commitment to translating *Daodejing* historically was not the market-driven economic benefit for which other translators of his time competed, but rather the need he felt to rectify the omission of Chinese topics in anthropological works at that time, prioritizing collective benefit over selfish gain. As he reveals in his preface, “One of my aims in the book is to supply the general anthropologist with at any rate an impetus towards including China in his survey” (Waley 11). Waley’s historical interpretation of this ancient Chinese work incontrovertibly provided Westerners of his time an important window onto ancient China. Thus, not only was the ST’s sustainability fostered but also its contextual ecology, such as China’s indigenous eco-philosophy and eco-mentality that influenced Chinese life, was manifested through the strategy of historical accuracy. His consciousness of translating, with accuracy, fluency, and

ethical responsibility, an ancient history as well as a specific text certainly enhanced the sustainability of *Daodejing* among English readers. Although he lacked formal academic qualifications, his excellent scholarly capacity and translation ability are still highly acknowledged: “He was self-taught, but reached remarkable levels of fluency, even erudition, in both languages. It was a unique achievement, possible (as he himself later noted) only in that time, and unlikely to be repeated” (Brooks, “Arthur Waley”). In this sense, he merited the title as “the great transmitter of the high literary cultures of China and Japan to the English-reading general public; the ambassador from East to West in the first half of the 20th century” (Brooks, “Arthur Waley”).

Sustainable translation necessitates a mentality of faithfulness in transcribing the Earthian and natural language and ecology into the human and cultural language and ecology, so as to resist any form of environmental injustice and violence. The Daoist precept of *xin* (faithfulness) is instructive in establishing this mentality. As an important Daoist category, it appears 15 times, scattered throughout 8 of the 81 chapters in *Daodejing*. Chapter 21 registers the origin of *xin*, asserting that faithfulness is essentially embodied in the elusive and obscure Dao itself. The Laozi’s emphasis on trustworthiness stems from its role in facilitating the cultivation of humanity’s morality, especially that of powerful rulers. As Chapter 17 expresses, “If rulers’ integrity is insufficient, no trust will ensue” (Chen 141). Despite originally aiming at political rulers, this admonishment is equally applicable to translators, who can be posited as textual stewards wielding interpretive power. In translation practice, should the translator’s integrity and the TT’s faithfulness to the ST be insufficient, the translated text’s trustworthiness will be questioned by readers, consequently impeding the ST’s sustainability. Insufficient faithfulness typically originates from humanity’s hypocrisy and a mere affectation of faith. In this vein, *Daodejing* highlights the antagonistic relationship between faithfulness and courtesy: as Chapter 38 articulates, “What is courtesy? It rules out loyalty, and triggers off disorders” (Chen 215). Here, “courtesy” refers specifically to Confucian rituals, which, through Daoist eyes, equate to affectation and gloss, thereby jeopardising faithfulness and occasioning misunderstanding. Aware of the Daoist scorn for Confucian rites, translators translate *li* (courtesy) either directly into “ritual” (Waley 189) and “moral” (Mitchell 38), or indirectly into “obedience to law” (Le Guin 38). Respectively, their renderings of the lines are as follows: “Now ritual is the mere husk of loyalty and promise-keeping, / And is indeed the first step towards brawling” (Waley 189); “Ritual is the husk of true faith, the beginning of chaos” (Mitchell 38); “Obedience to law is the dry husk of loyalty and good faith” (Le

Guin 38). What appears slightly inaccurate here is that all three translators fail to accurately convey the antagonistic relationship between *xin* and *li* originally stressed by Daoism to their respective TL environment. In the ST, these opposed values are neither dominant nor subordinate to each other, and neither contains the other in the way implied by the work “husk.” Interestingly, Le Guin does not translate the second half of the lines, probably due to a reluctance to confront Western readers with what might contradict their common sense—i.e., that disaster can be a consequence of obeying laws and rituals. From the perspective of faithfulness, all translations except Le Guin’s attempt to preserve the sustainability of a Daoist ecology that dismisses Confucian rituals as triggers for conflict.

Another guise adopted by courtesy, at least in the Daoist view, is superficial beauty. In Chapter 81, the hostile relationship between faithfulness and beauty (*Mei* 美) is foregrounded: “Faithful words aren’t beautiful; beautiful words aren’t faithful” (Chen 349). Here, beauty is again associated with Confucian hypocritical rituals, which attract Daoist condemnation. Understanding this nuance, a majority of *Daodejing* translators correctly translate the Daoist resentment of this artificial beauty into TL contexts. Specifically, *Mei* is rendered into “embellished” (Ryden 167), “fine-sounding” (Waley 243), “eloquent” (Mitchell 81), and “charming” (Le Guin 81). Ryden’s translation focuses on the decorative and additive attributes of beauty, Waley’s on its musical effect, and Mitchell’s and Le Guin’s both on its expressive agency. Despite stressing the different aspects of beauty, they all successfully capture the Daoist aversion to a glossy, affected, and untruthful beauty. Denying the Confucian notion of beauty, *Daodejing* embraces self-simplicity (*zipu*), especially a simplicity based on non-desire (*wuyu*): “Be I desireless (*wuyu*), people will simplify themselves (*zipu*)” (Chen 280). Clearly, desireless self-simplicity, as a primordial state of “Dao,” represents the highest criterion of beauty. In Daoism’s view, to cultivate a beauty based on mere courtesy is to sacrifice faithfulness because this beauty, being antagonistic to self-simplicity, conceals the presence of truth. In the case of translation, *zipu*-based *xin* (self-simplicity-based faithfulness) can be deemed as the highest standard for translators’ mindsets and behaviours: it informs translation practice that to adopt faithfulness is to follow self-simplicity, to privilege the ST’s truth, and to fortify its sustainability. Therefore, it can be embedded into sustainable translation discourse.

This brief foray into Daoist *xin* enables a clearer understanding that it indeed criticizes the superfluous linguistic gloss and affectation by which language conceals the ontological truth of beings. Linguistic stigmatization usually occurs in tandem

with this phenomenon, which the present article terms “linguistic smog,”¹ since its effect is to obscure human and non-human realities rather than to reveal them truthfully. In this light, Daoism’s *deyi wangyan* (得意忘言, obtaining truth by forgetting language) and *zipu*-based *xin* (self-simplicity-based faithfulness) are readily understood: they aim to banish the linguistic smog that stifles humanity, helping to reveal ontological truths in their simplicity. This Daoist precept is thus meaningful and powerful in its resistance to any mistranslation, whether accidental or ill-intentioned, which could occasion numerous calamities. This Daoist guideline inspires translators to approach their task with a deep respect for the ST’s inherent ecological integrity. This necessitates a faithful translation of its textual content and an accurate conveyance of its contextual ecology such as environmental conditions, indigenous customs, and non-human ethics. It encourages translators to avoid the ill-intentional conduct of enriching, streamlining, omitting, or altering the ST’s passages that might challenge dominant anthropocentric paradigms in target contexts.

One might appeal to numerous historical facts that register the power of translation (in the sense of “transferring”) language to generate disaster and conflict. For example, Marco Polo, a Venetian merchant and explorer, travelled to China in 1271 and wrote a book based on his travel logs. He called attention to China’s rich resources and advanced culture, comparing the country to a land of gold. Although he was not the first European traveller to China, the *Travels of Marco Polo* was the first text to fully chronicle a European experience of China. The book therefore translated into Western countries and made visible China’s market size, dynamics, and natural resources, inspiring numerous followers, including Christopher Columbus.² For this reason, historians have hailed Polo’s exaggerated depiction and interpretation of China as a trigger for the Opium War of 1840 and the subsequent Western exploitation of Chinese resources.³ Specific examples aside, human language (including translation language) can more broadly become an instrument of violence. It is evident in the description of “[t]he violence of the hunt: whip and

1 For more details about the coined terminology and a discussion of the Daoist linguistic outlook “deyi wangyan,” please read Chapter Four of my doctoral thesis. (Xu Jingcheng, *Early Daoism, Ecocriticism and the Anthropocene: The Case of Edward Thomas*, 2018, Bangor University, PhD dissertation.)

2 See Björn Landström, *Columbus: The Story of Don Cristóbal Colón, Admiral of the Ocean*, New York City: Macmillan, 1967, 27.

3 See Yunte Huang, “Marco Polo: Meditations on Intangible Economy and Vernacular Imagination,” *Marco Polo and the Encounter of East and West*, edited by Suzanne Conklin Akbari and Amilcare A. Iannucci, Toronto: University of Toronto Press, 2008, 262-279. Louise Tythacott, “British Travels in China During the Opium Wars (1839-1860): Shifting Images and Perceptions,” *Britain and the Narration of Travel in the Nineteenth Century: Texts, Images, Objects*, edited by Kate Hill, Farnham: Ashgate, 2016, 191-208.

words are deployed to discipline dogs and servants” (Cohen 36). Clearly, human identity is often asserted through linguistic domination over other humans and the non-human world. To stigmatize non-humans is thus to abuse and disgrace them linguistically, branding them negatively to vindicate humanity’s appropriation and exploitation. This is “linguistic stigmatization,” more precisely known as “linguistic ecological stigma.” Therefore, sustainable translation informed by Daoist *zipu*-based *xin* should actively reject any translation imbued with this stigma.

Free interpretation and excessive explanation would usually result in a disobedience to Daoist *zipu*-based *Xin*. Although sustainable translation encourages diversity and inclusiveness, Daoist principles begin to articulate the harm of mistranslation and misinterpretation. It is observed that none of the seventeen most popular and influential renditions of *Daodejing*, including Waley’s and Mitchell’s, adopt literal translation, but in pursuance of clarity they all resort to paraphrases and explanations.¹ However, not all explanations and interpretations contribute to understanding and clarity: those based solely on personal epiphany and insight, rather than historical context, would cause unfaithfulness to and the unsustainability of the ST’s ecology. It is claimed, albeit without sufficient proof, that Mitchell’s non-scholarly translation is remiss of historical context, tending to freely embed “interesting and inspirational lines” which echo nothing in the ST, while Waley’s version is most scholarly among those under consideration, entrenching the most clarifying expansions (LaFargue and Pas 284+287). Though Mitchell’s and Waley’s translations include explanations and interpretations, the fundamental difference lies in their foundation: the former is simply based on the translator’s lack of knowledge of ancient Chinese, and his “own intuitive feeling for truths [he] think[s] the text hints at,” whereas the latter is primarily grounded in Waley’s “extensive historical research and familiarity with ancient Chinese literature and thought” (LaFargue and Pas 284+287). Clearly, Waley’s scholarly, explanatory strategies are more sustainable and more faithful to the ST’s ecology than Mitchell’s free interpretation. Thus, Daoist sustainable translation requires the compliance of translatorial explanations and interpretations with the Daoist *Zipu*-based *Xin* principle to avoid affectation and mistranslation, so that the TT can be true and faithful to the Dao and ecology of the ST, which otherwise would not be sustained in target contexts.

One objective of the Daoist sustainable translation framework is to deny what this article calls “translation violence,” a notion only nebulously (if at all)

1 See Michael LaFargue and Julian Pas, “On Translating the Tao-te-ching,” *Lao-tzu and the Tao-te-ching*, edited by Livia Kohn and Michael LaFargue, New York: State University of New York Press, 1998, 286.

foregrounded in Translation Studies. Mona Baker's editorial "Translating violence" posits translation as an important medium of exposing and addressing political, social, and military violence and conflicts across the globe.¹ However, Baker emphasizes violence more exposed by translation than enacted by translation. Similarly, Luo Xuanmin, in discussing Lu Xun's translation view within a global context, conceptualizes translation as a kind of "positive violence"—a transformative force that disrupts tradition and contributes to China's modernization.² While both scholars recognize the connection between translation and violence, neither offers a clear, comprehensive definition of "translation violence," nor do they fully interrogate its negative implications despite accentuating the positive. "Translation violence" is thus defined here as an unsustainable translation practice that engenders virulence and violence against the ecological integrity of both the source and the target cultures. It is a practical manifestation of ethnocentrism and cultural hegemony during the process of inter-linguistic, inter-cultural, and inter-ecological communication.

While the TT's diversity can lengthen and deepen the ST's sustainability, the sustainable SL ecology inherently resists any form of translation violence, such as mistranslation, over-liberal interpretation, distortion, or affectation. These unsustainable forms often driven by ethnocentric attitudes tend to obscure or overwrite the true SL ecology. In translation theory, domestication and foreignization are the two predominant strategies. While domestication often dominates the early stages of cross-cultural translation, foreignization tends to gain prominence over time. Investigating Western translators' rendering of core Confucian notions, Tao Youlan concludes that "when a new cultural concept is translated into a foreign language, it usually goes through the process from domestication to foreignization" (Tao 61). Domestication is more frequently associated with translation violence because it tends to erase the distinctiveness of peripheral languages, cultures, and ecologies. It is clearly susceptible to racism, ethnocentrism, and forms of cultural chauvinism and hegemony. To counteract this susceptibility, foreignization is advocated as an ethically-sound and ecologically-sensitive alternative. As Lawrence Venuti argues, foreignization serves as a conscious effort to resist the ethnocentric impulses entrenched in dominant translation practices—particularly those of English-speaking nations, and it becomes a strategic cultural act, pushing back against global inequalities in cultural exchange and advocating for more democratic,

1 See Mona Baker, "Translating Violence," *Transversal / EIPCP Multilingual Webjournal*, Oct. 2007, 10 Sept. 2018, Available at: <https://translate.eipcp.net/transversal/1107/editorial/de-en-fr.html>. Accessed 13 June 2017.

2 See Luo Xuanmin, "Translation as Violence: On Lu Xun's Idea of *Yi Jie*," *Amerasia Journal* 3 (2007): 41-52.

pluralistic interactions.¹ In Venuti's view, translating foreign texts into English often results in a loss of their original cultural texture, a tendency rooted in the Anglo-American preference for fluent, domesticated translations.²

This view is echoed by Jeremy Munday, who notes the marginal status of translation within the English-speaking world, where it is often considered "a derivative and second-rate activity," and the "prevailing" approach is "naturalizing" the foreign (Munday 5), thus aligning with Venuti's critique of domestication as a form of cultural erasure. A particularly-harmful consequence of this practice is the appropriation of SL cultural and ecological concepts by means of familiar Western terminology. This form of translation violence—where the "other" is assimilated into dominant epistemologies—is well articulated by Raymond Dawson, an English translator of Chinese classics. Dawson acknowledges the unavoidable reliance on Western concepts when translating from a culturally-distinct language like Chinese, recognizing that even the most well-intentioned translation is often no more than an approximation.³

Although approximation may be a necessary compromise, the violence and damage it causes persist, leading to the inaccurate conveyance and unsustainable preservation of the SL ecology within TL contexts. Thus, ethnocentric mistranslation and appropriation of peripheral cultures and literatures by means of domestication should be circumvented to sustain a harmonious interaction between SL and TL ecologies. From the perspective of sustainability, this requires translators to act as active, conscientious agents with a strong ecological awareness of equality, employing benign translation strategies to responsibly avoid forms of translation violence, such as deliberately distorting and misinterpreting the ST's ecological wisdoms. In this sense, sustainable translation is antagonistic to translation violence, fundamentally aiming to dismantle ethnocentrism.

Daoist sustainable translation is ultimately a non-desire translation. Daoist "non-desire" does not demand the complete relinquishing of all desires, but rather the discarding of egoistic desires that conflict with "Dao." This is done to embrace a contented mind that exempts one from disgrace and hazard.⁴ In sustainable

1 See Lawrence Venuti, *The Translator's Invisibility: A History of Translation*, London: Routledge, 1995, 20.

2 See Lawrence Venuti, *The Translator's Invisibility: A History of Translation*, London: Routledge, 1995, 21.

3 See Raymond Dawson, *The Analects*, Oxford: Oxford University Press, 1993, xxvii.

4 For details about "non-desire," see Xu Jingcheng, "Daoist Spiritual Ecology of Self-Actualization in the 'Anthropocene,'" *Ecocriticism, Ecology, and the Cultures of Antiquity*, edited by Christopher Schliephake, Lanham: Lexington Books, 2017, 289-294.

translation, any desire that inclines the translator to commit translation violence and violate the Dao of environmental norms, or that does not comply with the ST's ecology, should be discarded. This emphasis on ethical restraint parallels the assertion that storytelling plays a crucial role "in the making of environmental publics and in the shaping of environmental policy" (Nixon, "The Great Acceleration and the Great Divergence: Vulnerability in the Anthropocene"). Just as narratives are central to forming environmental consciousness and policy, translated texts serve a similar function by mediating the ecological visions of the SL to broader audiences. Therefore, translators should mobilize their non-desire-driven environmental sensibilities and responsibilities to comply with the normative landscapes of both source and target cultures. This will enable textual ecologies to be translated and disseminated sustainably. Texts made available by sustainable translation practice might then emerge as part of wider discourses of sustainability and the wider sphere of ecological stories that Nixon envisages. Only through following carefully considered guidelines can translators contribute responsibly to addressing the multifaceted challenge levied at absolute anthropocentric discourses and ecological crises.

Conclusion

In the age of Anthropocene, humanity's spiritual ecological crises are more serious and more urgent than its physical ones. It is for this reason that sustainability discourses and Translation Studies should be closely integrated within the Environmental Humanities, so as to offer crucial insights for transforming humanity's strong anthropocentrism. As analysed, the notions "translatable sustainability" and "sustainable translation" can offer a new conceptualization of translation as a sustainable practice capable of transmitting and cross-pollinating ecological ideas between different cultures. The endeavour to establish a Daoist framework for sustainable translation has been made, drawing upon the eco-ethical concepts of *Daodejing*, such as *buzheng* (non-competitiveness) and *zipu*-based *xin* (self-simplicity-based faithfulness), which are hoped to prove conducive to refining translatorial mindsets, practices, and ethics for greater sustainability. The sustainability of *Daodejing*, as argued, is attributable to its inherent sustainable ecological visions that uniquely enchant Western readers, and also to its diverse translations that continually revitalize the source text. Hopefully, the new concerns discussed are conducive to informing translators' responses to the Anthropocene's deteriorate environmental dilemma.

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Setting A Model for The Critical Histories of Translated Literature: A Review of *Studies of Literature from Marginalized Nations in Modern China, with a Focus on Eastern European Literature*

Jiang Fan

Abstract: Prof. Song Binghui's *Studies of Literature from Marginalized Nations in Modern China, with a Focus on Eastern European Literature* was published in 2024 jointly by Peking University Press and Springer. With both clarity and thoroughness, the book highlights the long-neglected topic of the translation and reception of literature from marginalized nations in China, proposes an effective approach to the complex and multi-layered literary relations via historical exploration of translated literature, and contributes to the supplement and specification of the term "weak (culture/nation)" that is one of the most frequently occurring notion in translation theories and cross-cultural studies. In terms of the research methodology, the author has combined diachronic survey and synchronic case analyses. While such combination is now a common practice by the scholars dealing with the history of translated literature, what's special about this book is the author's concentrated perspective of observation through multi-faceted prism, i.e., viewing the translation of Eastern European literature as an indispensable aspect of the construction of Chinese national consciousness and modern Chinese literature and thus encompassing the diversified topics and scenarios under discussion as the integral constituents of the research. The accomplishment of the study with high maturity is due to the author's rich experiences in both comparative literature and translation studies and his superb mastery of the research methods. A significant advancement in both fields, it sets a model for the composition of critical histories of translated literature of extreme "richness and complexity."

Keywords: *Studies of Literature from Marginalized Nations in Modern China, with a Focus on Eastern European Literature*; critical histories of translated literature; translation and reception; weak (culture/nation)

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标题：为翻译文学史的撰写树立榜样——《弱势民族文学在现代中国：以东欧文学为中心》述评

内容摘要：宋炳辉教授的最新英文专著《弱势民族文学在现代中国：以东欧文学为中心》于2024年由北京大学出版社和斯普林格出版社联合出版。该书详述了弱势民族文学在中国的翻译和接受，基于对翻译文学的历史性探索，对复杂而丰富的文学关系问题进行了深入的探讨，并由此对“弱势（文化/民族）”这一重要术语进行了有效的补充和细化。就研究方法而言，作者结合了历时考察和共时个案研究两种路径。尽管上述方法的组合已成为翻译文学史常见的撰写和研究手段，该书的特出之处在于其持续聚焦的观察视角和多侧面的观察棱镜——作者始终将东欧文学的翻译看作中国民族意识和现代文学构建过程中的重要推进力量，在这一观察立场之下，涵括纷繁多样的话题和情形，使其成为研究的有机组成部分。该研究完备而成熟，这主要得益于作者在比较文学和翻译研究领域的丰富经验及其对相关研究方法的熟练把握。该书作为上述两个领域的重要成果，为具有特殊“丰富性和复杂性”的专题翻译文学史的撰写树立了典范。

关键词：《弱势民族文学在现代中国：以东欧文学为中心》；翻译文学史；翻译和接受；弱势（国家/文化）

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1. Overview of the Book

Prof. Song Binghui (宋炳辉)'s *Studies of Literature from Marginalized Nations in Modern China, with a Focus on Eastern European Literature* was published in 2024 jointly by Peking University Press and Springer. As the author remarked in the preface, "Originally written for Chinese readers, the opportunity to translate this book for an English-speaking audience is undoubtedly a delightful prospect." The newly published book is the English translation of the author's 2017 work in Chinese and despite that the author was once worried about the "considerable challenge(s) involved in this endeavour" (*Studies of Literature from Marginalized Nations* vi), the 'delightful prospect' has been adequately realized, for not only the challenges are very properly handled, but also the processes of settling these translation problems even make the book more rigorously informative in the English-speaking context.

Taking the author's 2017 book as the source text of the translation, the English

version mainly follows the original structure, only with some slight alterations. The most obvious rewriting occurs when the original “Introduction” (绪论) is replaced by “Preface,” the former mainly dealing with the key notions like “nation” (民族), “nationalism” (民族主义) and “weak/marginalized nation” (弱势民族) as the underlying perspectives of observation, while the latter centering upon the issues of translation, like “accurately rendering the names of numerous authors and works from over ten languages across Eastern Europe and East Asia into their original languages in the translation.” Apart from this shift of focus in the introduction part of the book, the English version appears a rather complete translation of the Chinese original.

In Chapter 1 “Literary Eastern Europe from the Viewpoint of Sino-foreign Literary Relations,” Song takes strenuous efforts to clarify “Eastern Europe” in three sections: “From Geographical Eastern Europe to Political Eastern Europe,” “From Cultural Eastern Europe to Literary Eastern Europe” and “The Common Characteristics of Eastern European Literature.” The author emphasized from the very beginning that “although it seems to be a geographical region,” “Eastern Europe” is never a self-evident geographical term. Instead, it is constructed in the long river of history, “in the historical narrative for almost the entire twentieth century, particularly for a long time after the Second World War, [...] which reinforced the political and cultural implication of this concept” (*Studies of Literature from Marginalized Nations* 1-10). Indeed, the concept “East Europe” has taken shape respectively in its geographical, political, cultural and literary sense and thus varies in different contexts. This surely adds to the complexity and difficulties of the discussion, but at the same time contributes to the richness and significance of the study. It is in this sense that the author’s clarification of the concept is truly worthwhile and effective: Only when “Eastern Europe” is so precisely defined, demarcated and contextualized can it really make sense and function well as an encompassing and clear-cut working definition.

From Chapter 2 to Chapter 5, the author makes a diachronic survey of the translation history of Eastern European literature in China as follows: “The Beginnings of the Chinese Translation of Eastern European Literature in the Late Qing and Early Republic of China,” “Translating the Literature of the Weak and Small Nations in the May Fourth Era,” “Translation and Introduction of Eastern European Literature in the 1930s and 1940s” and “Translating the Literature of Marginalized Nations and the Construction of a National Culture in the People’s Republic of China” (*Studies of Literature from Marginalized Nations* 11-92). It is noteworthy that, far beyond providing a mere list of the authors and works

translated, Song has sifted among voluminous references and focuses on the most conspicuous translation phenomena, which makes such a linear description an integral section of the book and set a model for the composition of the diachronic review part in a critical history of translated literature in its real sense.

In the following five chapters, the author delves into in-depth case analyses of some most quintessential topics about the translated literature of marginalized nations in China. From the titles of these chapters, i.e., “The Different Reception of Henryk Sienkiewicz, Julius Fučík and Bertolt Brecht in China,” “Milan Kundera in China,” “Esperanto and the Translation of the Literature of Marginalized Nations,” “The Research and Translation of Eastern European Literature in the First 60 Years of the PRC” and “National Consciousness Versus Cosmopolitan Consciousness: Rabindranath Tagore in China” (*Studies of Literature from Marginalized Nations* 93-208), the readers may find the topics under discussion not paralleled but multi-leveled and multi-faceted. This definitely echoes with the uniqueness, richness and complexity of “Eastern Europe” and “Eastern European literature” the author has disclosed at the very beginning of the book. But more importantly, it also reflects the complexity and subtlety when China takes East Europe as a “mirror” to observe and examine itself, which in turn, demonstrates a very effective approach to the diversified scenarios under a seemingly “unified” topic of translated literature, i.e. “Eastern European literature.”

Chapter 12 can partly be regarded as the conclusion of the book. For the purpose of reinforcing the significance of the literature of marginalized nation in Chinese-foreign relations, the author makes comprehensive and in-depth reflections on the construction of the national consciousness in China that was inspired and triggered by the literature from the marginalized nations.

2. Comments and Reflections

2.1 Setting a model for composing critical histories of translated literature

With the title *Studies of Literature from Marginalized Nations in Modern China*, the book is by nature a critical history or historical exploration of translated literature. As Even-Zohar noted, if a study intends to explain how a literary system operates “in time” instead of “in principle [...] outside the realm of time,” it’s both functional and historical. In addition, “Once the historical aspect is admitted into the functional approach, [...] it must be admitted that both synchrony and diachrony are historical” (“Polysystem Theory” 11). In terms of the research methodology, the author has combined diachronic survey and synchronic case analyses, which makes the book an integrated whole. While such combination is now a common practice

by the scholars dealing with the history of translated literature, what's special about this book is the author's concentrated perspective of observation through multi-leveled/faceted prism, which sets a model for composing histories of translated literature of extreme complexity and richness.

As briefly summarized in previous section, in the diachronic review part of the book (Chapter 2 to Chapter 5), Song is not content with just listing all the facts and information related. Instead, he always bears in mind "the special role Eastern European literature has played in terms of the origination, formation and evolution of modern Chinese literature" so as to "fully disclose the unique nature of modern literature in China, a late-developing country and highlight the richness and complexity of its modernity" (*The Literature of Marginalized Nationalities* 15). Therefore, while the title of each chapter suggests that the main body of the diachronic survey follows the timeline and covers the historical periods from late Qing to "the second 30 years of the People's Republic of China," the subheadings of the sections in each chapter do not emphasize the time signals but exhibit the author's varied focuses on diversified objects for observation, including the translated literature from a certain nation like Poland, individual translators with great influence like Zhou Brothers (周氏兄弟) and Zhu Xiang (朱湘), representative figures of domestic literary trend like Mao Dun (茅盾) and *Fiction Monthly* (小说月报), and the factors governing the professionals' choices like ideology of national discourse and the local cultural norms. Diversified as the topics are, all the items under discussion are like numerous facets of a diamond, i.e., the underlying perspective the author holds so firmly and consistently, that is, viewing the translation of Eastern European literature as an indispensable aspect of the construction of Chinese national consciousness and modern Chinese literature. Likewise, in the case analysis part of the book (Chapter 6 to Chapter 11), when Song probes into the synchronic exploration of the translation phenomena based on voluminous literary texts, historical references and research findings, the above perspective of observation remains unchanged and, as already reviewed and commented in previous section, the objects/phenomena/properties under discussion are also at multiple levels, of different categories and with varied functional and relational significance in the given historical context, which is in line with the extreme "richness and complexity" of the subject matter and at the same time is so effectively addressed with clear narratives and thorough analyses.

To summarize, Song insists on one clear-cut and concentrated perspective of observation and, through all the scholarly efforts demonstrated in the book, has conducted an almost exhaustive exploration of the complicated translation

phenomena to facilitate the observation from the intended perspective. A History of translated literature should be “a history of literary translation, influence and reception” (Xie 118), but it’s by no means easy to achieve all these purposes in practice. Encouragingly, as a renowned scholar who has been devoted to “comparative literature and translation studies,” and especially “the study of Chinese-foreign literary relations for nearly thirty years” (Jiang 242), Song’s rich experiences of case studies endow him with a superb mastery of the research methods in various fields so as to synthesize all the above aspects in his historical study of the translated literature from marginalized nation. It is in this methodological sense that Song has set an effective model for future composition of critical histories of translated literature.

2.2 Highlighting a long-neglected aspect of Chinese-foreign literary relation: Taking the marginalized nations as a mirror to view “self” and construct national consciousness

As repeatedly emphasized in my previous comments, a concentrated perspective of observation is one of the most distinctive methodological features of the study, which considers the translation of the literature from the marginalized nations as an important aspect of China’s construction of national consciousness and an indispensable part in the formation of its modern literature. It is this underlying perspective of observation that encompasses the diversified topics and scenarios under discussion and make them integral constituents of the research. Nevertheless, Song does not intentionally take this perspective for the convenience of categorizing the research objects. The choice is out of thematic rather than methodological considerations. It is exactly his initial observation and ultimate purpose to approach and explain how China has taken the translated literature from the marginalized nations as a “mirror” to view the image of “self” and construct its own national consciousness, and subsequently the formation of its modernity. To put it in another way, this perspective of observation actually yields the major research questions and most fruitful research findings of Song’s study.

Based on the above understanding, we find it not surprising that almost all the reviewers of the original Chinese versions of the book lay their emphasis on this “perspective,” “standpoint” or “position” and highly praise Song’s research as “filling the gap” for its unique perspective dealing with “a long-neglected topic of literary studies.” For example, two years after the publication of the earliest Chinese version of the book in 2007, Cai Chunhua (蔡春华) holds that “this research fills a gap in the field, stimulating further reflections and discussions, and providing clearer perspectives and research methods for future studies. Besides, with the introduction

of some long neglected subject matters of literary studies, such new reference frames will push forward and facilitate the restoration of the diversified nature of literature in academic discussions” (202).

When reviewing Song’s 2017 work which is the expansion and revision of the 2007 version and basically the source text of the newly published English version, Jiang Zhiqin (姜智芹) also praises Song’s endeavor as “not only fills the gap in terms of the literary relationship between China and the marginalized nations but also further expands the scope of the study of Chinese-foreign literary relations.” Meanwhile, Jiang attaches much importance to the sense of ‘subjectivity’ manifested in Song’s perspective of observation: “his main perspective is to examine the unique role that the literature from marginalized nations has played in the evolution of modern Chinese literature” (242).

When all the reviewers of the Chinese version of the book agree that the greatest significance of Song’s research lies its exploration of a long-neglected topic of Chinese-foreign literary relations, which fills the gap in the field, a new question arises about the significance of translating this book into English. Intended for the readers in the English-speaking context, the academic value and significance of the book might be reviewed from some more specific research findings.

As for the research findings and academic achievements deriving from Song’s perspective of observation, Jiang makes rather pertinent summaries: [1] Thorough analyses of the factors governing the translation, reception and influence of Eastern European literature in China at different historical stages, i.e., “the earliest occurrence of translation during the time of national crisis, the ideological similarities between China and Eastern European nations after the founding of the People’s Republic of China” (243), and China’s preferences for the Nobel Prize winners among the Eastern European authors in the new era since 1980s; [2] Detailed description of the dynamic “self” and “other” relations exemplified by the historical scenarios about how China has taken the marginalized nations as a “mirror” to view “self” (244) and thus builds its own national consciousness. [3] In-depth investigation of the innovative force of the literary “repertoire” from the marginalized nations that have been introduced into Chinese literary system and thus facilitated the formation of modern Chinese literature and the establishment of its own poetic “repertoire” (245).

Surely such a substantial and informative research would be an eye-opener for the English-speaking readers, but more specifically, for different groups of readers, it will take on diversified meanings. Firstly, for the professional readers engaged in Chinese studies, the detailed description of the varied scenarios of translation history

will provide them with highly authentic literary, social and historical references. The richness and complexity of the research that make it stand out among Chinese scholars will also apply to these Sinologists for their familiarity with the background knowledge and their thirst for more. For the comparatists, especially those focused on the studies of literary relations, the dynamic literary relations between China and the marginalized nations would provide them with precious cases that are both informative and thought-provoking. As Song put it, China and the marginalized nations “resonated with each other in their development of this relationship, hot or cold, smooth or problematic, and this is reflected in the history of Sino-Eastern European literary relations” (*Studies of Literature from Marginalized Nations* 240), which will offer some implications for the future studies of comparative literature in the English-speaking context. And for the scholars of cultural studies, a completely new model of “self/other” relationship between the traditionally “weak” cultures will inject new blood and vitality into this field and widen the horizon of cultural studies. Finally, for the college students and other readers who take some general interests in literature and culture, the book may trigger their further interests in Chinese culture or literature as a whole.

2.3 Theoretical contribution: supplement and specification of “weak” and “marginalized” as key notions of translation and cross-cultural studies

In the earliest Chinese version of the book based on his doctorate dissertation, Song refers to polysystem hypothesis as one of the most important theoretical resources guiding his research, “The author holds that the polysystem theory proposed by Israelite scholar Itamar Even-Zohar offers some most relevant implications for the investigation” (*The Literature of Weak Nations* 25-26). He then outlines the basics of polysystem theory, exemplifies its explanatory power and its applicability in the studies of Chinese-foreign literary relations, listing all the three scenarios involved in Even-Zohar’s hypothesis that give rise to the central position of translated literature in a literary polysystem. In the 2017 version of the book, however, Song reduces this section into one sentence: “In terms of the proposal of research questions and the train of thoughts of the study, the author has been greatly inspired by some translation theories from the cultural domain, but the current study is not intended to further testify these theories” (*The Literature of Marginalized Nationalities* Introduction 15). When it comes to the English version published in 2024, the original “Introduction” is replaced by “Preface,” which does not include the information about the translation theories Song has referred to. Even though polysystem theory can hardly find its obvious traits in recent versions of the book, it’s safe to assume that the essence of polysystem hypothesis has merged into the

lines of the book, highly recognized by the author and naturally serving as one of the theoretical frameworks facilitating the discussions.

Bearing in mind that he is conducting a historical exploration of translation phenomena instead of theoretical reflections based on case analyses, Song has repeatedly clarified that he has no intention to testify the theories he has referred to in his study. But in practice, his work has made considerable theoretical contribution to the supplement and specification of “weak” and “marginalized” as key notions of translation and cross-cultural studies, especially in the scope of polysystem theory.

For a long time, the lack of accurate connotation or precise definition of some key terms has been regarded as an obvious flaw of polysystem theory. Among these terms, the “evaluative” ones, especially those often appear in pairs, like “weak/strong,” “central/peripheral” and “adequacy/acceptability” are the most conspicuous, for they have been put forward to define and describe the conditions of the fundamental hypothesis and may serve as parameters in related studies. Susan Bassnett considers polysystem hypothesis “startlingly important” for its great explanatory power, but the statement of the hypothesis “somewhat crude” due to the vagueness of these terms that “present all kinds of problems.” She takes “weak” as a typical example to illustrate the problem, “What does it mean to define a literature as ‘peripheral’ or ‘weak’? [...] Are these criteria literary or political?” (Bassnett 127-128) She may be right. But if we look back at such “crudity,” we may find the other side of the coin: For one thing, the lack of fixed connotations of such key terms as “weak” also suggests the inclusiveness of polysystem hypothesis; for another, the “evaluative” terms proposed are functional and relational and only make sense when they occur in various relations within or between literary (poly)systems. In this sense, the specification of the terms in case studies is of great significance both for pushing forward the case analysis and enhancing the explanatory power of the theoretical hypothesis.

It’s a coincidence but not entirely a coincidence that Song’s study also centers upon the key words of “weak” and “marginalized,” the term Even-Zohar uses in his hypothesis to define the second condition when translated literature may occupy a central position in a literary polysystem, i.e., “when a literature is either ‘peripheral’ or ‘weak’, or both” (“The Position of Translated Literature” 121). Surely Song and Even-Zohar started from different paths: With the leading key word and the frequently occurring terms like “weak,” “peripheral,” “marginalized” and “crisis,” Song started his academic discussion not only from the tradition of comparative literature, cultural studies and translation theories, but especially from the standpoint of a Chinese scholar who has inherited the national consciousness

from generations of Chinese intellectuals that was strengthened by the national identity of being “weak” in very special historical contexts. Nevertheless, when they meet halfway and Song finds polysystem hypothesis most relevant and inspiring, his exploration focused on “weak” also contributes to refine the polysystem hypothesis, supplementing and specifying a series of key terms. It’s worth mentioning that, besides “weak,” Song also elaborates on other terms like “crisis”: “The national crisis haunted China for over a century, [...] This national crisis highlighted the need for change and the modernization of Chinese national concept” (*Studies of Literature from Marginalized Nations* 210). All these can be regarded as the specification and supplement of the terms and notions in translation theories as well as cultural studies.

3. Summaries and Suggestions

To summarize the merits of the book, it appears “a significant advancement in this field” (Jiang 242) and sets a model for the critical histories of translated literature. With both clarity and thoroughness, the book highlights the long-neglected topic of the translation and reception of literature from marginalized nations in China, proposes an effective approach to the complexity, richness and multi-layered feature of literary relations via historical exploration of translated literature, and contributes to the supplement and specification of the term “weak (culture/nation)” that is one of the most frequently occurring notion in translation theories and other cross-cultural studies. Besides Song’s awareness and insistence of the concentrated perspective of observation based on “Chinese subjective viewpoint” and the unique subject matter that has been long neglected, the accomplishment of the study with high maturity is due to the author’s rich experiences in both comparative literature and translation studies and his superb mastery of the research methods in various related fields.

If “rewriting” the history of literature needs some new models and perspectives to systematize and categorize the already existing systems or categories of the literary genres, themes, topics and other elements in the “repertoire” of poetics in a (poly)system of a national literature, the “discovery” of “translated literature” by Itamar Even-Zohar, Xie Tianzhen and other representatives of “descriptive/systemic paradigm” are undoubtedly one of the most encouraging achievement in this dimension. Nevertheless, it is also a necessity to consider the effective research methods to address this newly emerging category, otherwise the potential explanatory power, both functional and historical, cannot be brought into full play. With one clear-cut perspective of observation encompassing the extreme richness

and complexity of the multi-leveled/faceted translation phenomena under discussion, Song has launched his research with both comprehensiveness and deep insights. In this methodological sense, the book offers considerable implications for the future composition of critical histories of translated literature.

The English-speaking readers will find great pleasure in reading this book and salute both the author and the translator for the great efforts they've paid. As reviewed in 2.2, The translation is truly worthwhile. If the original "Introduction" had been preserved in the English version, where all the key notions could be clarified in a systematic way instead of being highlighted sporadically in different sections, the book might be more impressive and helpful for most of the intended readers.

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Human Community as Imagination and Practice: Reading Liang Zhan's *Empire's Imagination: Civilization, Ethnicity, and Unfinished Community*

Xia Fang & Dai Yuncai

Abstract: This essay revisits the intertwined relationship of nation-state to empire in the time of late nineteenth and early twentieth centuries through Liang Zhan's wide-ranging and penetrative monography, *Empire's Imagination: Civilization, Ethnicity, and Unfinished Community*. Liang's interdisciplinary analysis sketches a panorama of the world. It reveals a vexed situation in which the emergence of the nation-state was simultaneously the betrayal of and the loyalty to the empire. Confined by the intellectual, social-political conditions of the historical moment, rebuilding or strengthening a strong national unity, either imagined or practiced, was doomed to be hard and unfinished. In a transcendental sense, humans, regardless of race, ethnicity, or culture, intrinsically long for an ideal community to maximize the guarantee of security and prosperity. Both historical and present practices illuminate that building a human community benefiting the whole world requires highly intellectual wisdom to avoid being spoiled by colonialist and imperialist ideas.

Keywords: nation-state; empire; human community; Kafka; Kang Youwei

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标题: 作为想象和实践的人类共同体: 读梁展的《帝国的想象: 文明、族群和未完成的共同体》

内容摘要: 本文通过梁展的《帝国的想象——文明、族群与未完成的共同体》审视了 19 世纪末和 20 世纪初民族—国家与帝国之间错综复杂的关系。梁展的跨学科分析勾勒出一幅世界图景, 揭示了民族—国家的出现既是对帝国的背叛也是对帝国的追随这一相互作用的关系。受制于当时历史特有的知识现状和社会政治条件, 无论是在想象中还是在现实中, 重建或强化统一的民族—

国家注定都是艰难的，难以实现的。从超验的角度来看，不论何种种族、民族和文化，人类本质上都渴望生活在一个理想的共同体，以获得最大限度的安全保障与繁荣发展。历史和当下的实践表明，构建一个造福全人类的共同体需要极高的智慧，才能避免重蹈殖民主义和帝国主义的覆辙。

关键词：民族－国家；帝国；人类共同体；卡夫卡；康有为

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One expectation from globalization is that human beings, regardless of ethnic or national differences, enjoy a harmonious global community. Unfortunately, instead of embracing a dreamed community, human beings are afflicted by disparity, confrontation, resistance, or even antagonism in the name of civilization, ethnicity, or nation. In response, national studies, empire studies, and postcolonial studies catch a new wave of intellectual attention. Liang Zhan's monograph, *Empire's Imagination: Civilization, Ethnicity, and Unfinished Community*¹ (hereinafter *Empire's Imagination*, or *Empire's* for short), is a fresh contribution to this scholarship. Liang delves into the 20th-century emergence of nation-states by placing them in the world historical network. Another noteworthy feature of this book is Liang's interdisciplinary study of literature. His interpretations of literary works are based on but go beyond the texts per se. He combines the method of knowledge archaeology, historical and biographical investigation, and textual analysis. The multidisciplinary study reveals an intricate concomitant relationship between nation-state and empire, in which empire is both a catalyst for nation-state and an obstacle to overcome.² Reflecting on humans' enduring interest in building a community, Liang cautions against the deception of liberal imperialism in the 21st century, which can be under the guise of "freedom" and "democracy."

Empire's Imagination is structured into an introduction and five chapters, thematically arranged as almost autonomous essays that refract the global context of nation-states from different angles based on Kafka's *Beim Bau der chinesischen Mauer* (ca. 1917) (*At the Building of the Great Wall of China*³) (hereinafter *The*

1 This book is written in Chinese. The translations of the book title, chapter titles, and all Liang Zhan's original arguments in this book are the author's own, unless otherwise noted.

2 See Liang Zhan, *Empire's Imagination: Civilization, Ethnicity, and Unfinished Community*, Beijing: SDX Joint Publishing Company, 2023, 3.

3 The English translation of the title "Beim Bau der chinesischen Mauer" is taken from Clement Greenberg. See Clement Greenberg, "At the Building of the Great Wall of China," *Franz Kafka Today*, edited by Angel Flores and Homer Swander, Madison: University of Wisconsin Press, 1958, 77-81.

Great Wall for short), Kang Youwei's *Datong Shu* (ca. 1919)¹, François Bernier's *Travels in the Mogul Empire* (1891) (hereinafter *Travels* for short), Marx's criticism of the revolutionary petty bourgeoisie in the era of the French Revolution, and Benedict Anderson's *Imagined Communities* (2006). These five case studies recapture the social conditions of the Austro-Hungary Empire, the Qing Empire, the Mogul Empire, Louis Napoleon Bonaparte's Second Empire, and the liberal imperialism permeating the Southeast Asia region, bringing us a kaleidoscope of nation-states entangling with empires.

I. Projecting the Empire into the Other Side

The first two chapters, "The Fall and Rebuilding of the Empire: Political Discourse in Kafka's *At the Building of the Great Wall of China*" and "Political Geography and the World of Datong: The Genealogy of Civilization in Kang Yuwei's *Datong Shu*," are elaborated to form an interpretative effect of mutual mirroring, as Kafka's and Kang Youwei's works both articulate how they sought remedies for their empires from the other. These two works representatively map a reciprocal relationship between the East and the West in the late 19th and early 20th century.

Franz Kafka and Kang Youwei were almost contemporaries, as both spent a significant part of their lives in the same period. Kafka was born in Prague, the capital of Bohemia, a kingdom that was a part of the Austro-Hungarian Empire. *The Great Wall of China* is his representative work, believed to have been written in 1917, the dawn of World War I.

Kang Youwei was one of the most influential scholars, thinkers, and reformists in modern China. *Datong Shu* is his most important masterpiece, in which Kang Youwei developed the classical theory of "Datong," originally contained in *The Commentary of Gongyang*, into a utopian vision of the world.

Most critics of Kafka's *The Great Wall of China* interpret Kafka's mentality and the parable of the Great Wall using literary theories² or cultural theories³. Kang

1 There are many translations as "Great Harmony," "Great Unity," "Great Universality," "Great Similarity," etc. See Albert. H. Y. Chen, "The Concept of 'Datong' in Chinese Philosophy as an Expression of the Idea of the Common Good," *The Common Good: Chinese and American Perspectives*, edited by David Solomon and P. C. Lo, Springer, 2014, 85-102. As the nuanced denotations are not central to this text, "Datong Shu" is taken here as a general term.

2 See John M. Kopper, "Building Walls and Jumping over Them: Constructions in Franz Kafka's 'Beim Bau der chinesischen Mauer'," *MLN* (German Issue) 3 (1983): 351-365.

3 See Zeng Yanbing, "The Great Wall in Transcultural Context: The Great Wall of China," *Franz Kafka and Chinese Culture*, translated by Li Yuan, Singapore: Palgrave Macmillan, 2022, 61-79.

Youwei's *Datong Shu* is widely discussed for its sociological and philosophical values.¹ In Liang's view, all literary writings are Foucauldian discourses because all literary practices are inevitably the reflections of history, and at the same time, part of history.² Liang took these two texts as a fulcrum on which the internal and external conditions are examined. The way of Liang's reading Kafka is "to reconstruct the historical world from which Kafka emerged at first, and then, against this historical backdrop, to understand how Kafka's lived-in world and the imagined world stimulated each other and interacted with each other" (*Empire's Imagination* 27).

Therefore, Liang elucidates the Great Wall from Kafka's life story, focusing on his exposure to Chinese culture. It is generally agreed that Julius Dittmar's depiction of the Great Wall in his travelogue *Im Neuen China* (1912) inspired Kafka to write about the Great Wall. Liang argues that more importantly, it set the keynote for Kafka's *The Great Wall*: "envisioning China with admiration for Chinese civilization, mixed with pity for its fall, and hope for the ongoing transformation" (*Empire's Imagination* 41-42).

Following Kafka's personal story, Liang reconstructs a broader historical context in which Kafka lived: the Austro-Hungarian Empire in World War I. The Austro-Hungarian Empire was then in an unfavorable situation, and at home, the ethnic conflicts were intensified. Emperor Franz Joseph, the embodiment of the Austro-Hungarian Empire (1867-1918) as a unity, died in 1916. His death put the Empire on the verge of division. Despite this, the imperial notion of "Greater Austria" still dominated the mentalities of the Austro-Hungarian public.³ Kafka was no exception.

He cast his sight on China for the solution to revitalizing the empire, as social transformation was in full swing in China. Reading the news on China and imagining China, Kafka's mind traversed within and beyond the lived-in empire, shuttling between reality and fantasy. Liang notes that, "These two ancient empires stood on the threshold of revitalization in the 1910-1911 and 1916-1917 respectively, which naturally aroused the boundless political imagination of this writer in Prague" (*Empire's Imagination* 42). Apparently, Kafka's depictions of

1 See Zhang Xiang, *Establishment of Confucianism on Datong: A Study of Kang Youwei's Political and Religious Philosophy*, Beijing: Social Science Academic Press (China), 2023; Albert H. Y. Chen, "The Concept of 'Datong' in Chinese Philosophy as an Expression of the Idea of the Common Good," *The Common Good: Chinese and American Perspectives*, edited by David Solomon and P. C. Lo. Springer, 2014, 85-102.

2 See Liang Zhan, "On the Literalization of Historical Studies and the Historicization of Literary Studies," *Journal of Harbin Institute of Technology (Social Science Edition)* 6 (2021): 102-109.

3 See Liang Zhan, "On What the Empire Was Rebuilt: Kafka's Story of the Great Wall," *China Reading Weekly* 2 March 2016: 13.

building the Great Wall in cooperation and building in sections serve as a political metaphor, respectively, for building a community by undertaking a common task and governing ethnic groups with different languages. Discovering the hidden intention of the piecemeal construction, Kafka gained confidence in his empire. He would like to be a “soldier” fighting for his native empire. However, as Liang notes, “Kafka is just Kafka after all” (*Empire’s Imagination* 83). The reality let him down. He gave up by saying, “I do not wish to go any further in the investigation of these questions at present” (*Empire’s Imagination* 83).

While Kafka was imagining China, Kang Youwei was imagining building a China like Western colonies. Liang approached Kang Youwei’s *Datong Shu* with a focus on his idea of sending Chinese people to Brazil to build a new China there. Adopting the method of knowledge archaeology, Liang diachronically and synchronically reveals the origin of Kang Youwei’s scheme of “Datong” in terms of race from the genesis of “civilization” to the intimate historical case of Brazil’s recruitment of Chinese laborers.

It was not until the European Enlightenment Movement in the 18th century that “civilization” was conceptualized and became the equivalent of “progress,” a commendatory notion. With this notion, Europeans categorized themselves as the civilized, separating their culture and themselves from others. Starting from this point, ethnology, ethnography came into being, followed by political geography, governance, demography, anthroponomy, education, nation-state sovereignty, and many other studies. Scaled by this set of knowledge criteria, China was defined as a country that once achieved a highly-ranked civilization, but underwent continuing stagnation and retrogression, and even worse, into a barbaric state.¹

Synchronically, the discourse of civilization powerfully shaped the Chinese intellectuals in the late 19th century. Then, China suffered the increasing threat of Western intellectual and technological advances. Learning about and from Western colonies became a consensus among the Chinese intellectuals. Kang Youwei was an active learner of Western knowledge. From William and Robert Chambers’s “Information for the People,” Kang Youwei got the theory on race. The awareness of the human race was integrated into the construction of the “Datong” world, in which class boundaries and racial boundaries were abolished.

Kang Youwei’s idea of colonizing Brazil and building a new China in Brazil came up in 1889. Brazil was a new empire built by Pedro I in 1822, who emulated Napoléon I. The new empire attempted to recruit Chinese laborers for its sugar

1 See Liang Zhan, *Empire’s Imagination: Civilization, Ethnicity, and Unfinished Community*, Beijing: SDX Joint Publishing Company, 2023, 115-116, 129.

cane and coffee plantations. Fearing that Chinese laborers would be ill-treated, the Chinese government refused Brazil's proposal in 1894. But Kang Youwei thought it was a good opportunity to protect the Chinese race and build a new China, a world of "Datong." Despite Kang Youwei's good intentions, the plan was hardly different from those colonies. He adopted Western colonial methods to colonize others. In this sense, his "Datong" vision is filled with tension and contradictions. Liang argues that *Datong Shu* is merely a tragic chapter of the Chinese nation's intellectual history.

Liang's insightful analysis in the first two chapters highlights the parallels in the intellectual exchange between the East and the West on the theme of empire. Creating *At the Building of the Great Wall of China*, Kafka projected his empire imagination onto China, while Kang Youwei composed *Datong Shu* to build a utopian world of "Datong," which is partly influenced by emerging Western knowledge and colonial practices.

II. European Writing on the Mogul Empire

Cultural and commercial contacts between the East and the West have existed since ancient times, as demonstrated by Jennifer Speake's edited book *Literature of Travel and Exploration: An Encyclopedia* (2013). European merchants, scholars, missionaries, diplomats, travelers, and adventurers, who travelled to India and lived among Indian societies studying their languages, religions, politics, and cultures, produced scholarly works, travelogues to document and interpret India for European audiences. Europeans perceived India as a land full of gold and spices and a source of fascination and curiosity.

Europeans' interest in India and other Eastern lands was fueled by the fervent European Exploration in the 18th century and by the motivation of breaking through the severity of economic, political, and spiritual crises in their own countries. Eurocentric biases and rational inquiry dichotomized the world into the East and the West. The East became the "other" object to be observed and interpreted by the West for and away from the West. The intellectual explorations into Eastern languages, cultures, and institutional organizations effectively facilitated the West's colonial rule and control over the East. The earlier European academic institutions dedicated to Oriental studies include the Institut National des Langues et Civilisations Orientales (INALCO) (National Institute of Oriental Languages and Civilizations), founded in 1795 in Paris, and the School of Oriental and African Studies (SOAS), founded in 1916 in London.¹ The most influential contribution to Oriental studies

¹ For INALCO, see <https://www.inalco.fr/en/inalco-foundation>. For SOAS, see <https://www.london.ac.uk/federation/soas-university-london>. Accessed 27 May 2024.

was made by Edward Said's book *Orientalism*, published in 1978. Said critically defined "Orientalism" as a system of knowledge on the East to justify and maintain Western dominance over the East. Stemming from the Enlightenment's progressivist teleology of history, the East was constructed as an entity with a culture shaped by homogeneous spiritual life. Such construction distorted the Eastern societies as exotic, irrational, and inferior to the counterpart of the West.

Said's thesis of *Orientalism* was reasonable in some sense, but is not tenable and impeccable. Liang considered Orientalism as a Foucauldian discourse, which is confined to the broader historical context and individual conditions. Joining other scholars such as Lucy K. Pick, Gilbert Achar, Liang refuses to take Said's Orientalism as a timeless notion because Said's theory was grounded on the expression of Orientalism in the literature produced exclusively during the post-Enlightenment colonial period. Moreover, Said, as a Palestinian-American literary theorist specializing in the Western understanding and representation of the Middle East, was not sufficiently knowledgeable in philosophy and social sciences. As a consequence, Said's Orientalism, intended to oppose imperialism and colonialism, goes toward its opposite. The dichotomy inevitably results in segregating the East from the West. Hence, in Said's *Orientalism*, the West and the East evolve autonomously, which Achar termed as the "Reversal of Orientalism" (111).

Liang insists that cultural, intellectual, and commercial contacts between the West and the East undoubtedly were meaningful to both sides. The problem with Said's *Orientalism* is that the post-Enlightenment discourse views the Enlightenment as an autonomous intellectual development isolated from the influence of the East. In this case, the 17th-century French traveler François Bernier's *Travels in the Mogul Empire* shed light on the intellectual interactions between the East and the West before the Enlightenment movement. Through the lens of *Travels*, Liang addressed the question: What significance did European writings about India play in the West before the Enlightenment?

Convincingly, Liang's selection of Bernier's *Travels* was based on sound reasons. Bernier was not merely a travelogue writer but functioned as a social network node that connected a significant number of prominent French intellectuals. His good birth and early life in France made him popular in the intellectual circles in Paris. He was closely associated with the famous empirical philosopher Pierre Gassendi. Gassendi is known in the history of philosophy for his disputes with Descartes and his influence on John Locke, and his relations with other major figures, including Kepler, Galileo, Mersenne, Beeckman, and Hobbes. Influenced by Gassendi, Bernier developed a desire to travel around the world. From Gassendi's

friend Jean Chappelle, he got a chance to study medicine as a career. The former sent him to India at the turn of 1658 and 1659, and the latter helped him live in India for eight years as a physician. The position in India offered him access to the Moghul court, and he got familiar with Indian nobles and high-ranking officials. In 1669, he returned to France and the French intellectual circle. Chartered by King Louis XIV, he published the four-volume work *Travels* during 1670 and 1671. It was translated into multiple languages and spread across Europe, which established his fame. He was nicknamed “Mogul-Bernier.” His observations on the Mogul Empire became the major sources for the 18th century’s racial classification and the ideology of “Oriental Despotism.”¹ This book laid the groundwork for Western knowledge production.

What attracted Liang’s attention was that his writing on India stimulated European thinkers. Liang found that Bernier’s Indian writing was initiated by his French friends. Bernier’s reputation in the French society brought him more chances to make acquaintances with notable figures of his era. His writing about India was originally asked for and financially supported by a group of liberal thinkers to satisfy their thirst for knowledge of the all-around Indian society. This exactly reflects that a climate of intellectuals’ curiosity and desire to understand the world was fostered in Bernier’s time. Liberal thinkers in France were unified to oppose the religious and metaphysical thought authorities, and instead advocated pragmatism, empiricism, and criticism. They were eager to understand the progression of Eastern civilizations, which they believed was helpful for improving Western societies. They hoped to find out the cause and furtherly criticized the widespread practice of men oppressing women in Europe regarding the progress of Eastern civilization. Without any despising presumption, they interpreted Indian customs out of the universal humanitarianism. For example, Bernier and other liberal thinkers harshly condemned “sati” in Hinduism (e.g., the practice of a widow joining the funeral pyre of her recently deceased husband in India) as a barbaric and brutal custom. Their condemnation carried no trace of biases as implied in Said’s *Orientalism*. Interestingly, when “sati” in India was denounced by the liberal thinkers, witch-hunting and witch-burning were justified in Europe. In terms of civilization, India and Europe were at the same level. This was once again confirmed by the similar superstition about solar eclipses held by Europeans and Indians at the same time.

1 See Siep Stuurman, “François Bernier and the Invention of Racial Classification,” *History Workshop Journal* 50 (2000): 1-21; Pierre H. Boulle, “François Bernier and the Origins of the Modern Concept of Race,” *The Color of Liberty: Histories of Race in France*, edited by Sue Peabody and Tyler Stovall, Durham: Duke University Press, 2003, 11-27.

Bernier's comparative views on Europe and India in his *Travels* present a perplexing image of the East, which does not fit into the frame of Said's Orientalism.

Bernier's comparison between France and India was not merely applied to cultures but also to governance, politics, and economic aspects. The subjectivity determines that *Travels* is not a reliable historical account of the Moghul Empire but a representation of Bernier's views on the religions, customs, and politics of the East and the West. Although Montesquieu proposed the famous notion of "Oriental Despotism" by drawing on Bernier's argument regarding land ownership in the Moghul Empire, India and Europe adopted the same landownership system. Based on the close reading of *Travels*, Liang argues that Bernier's Indian writing does not create a backward Eastern image as defined in Said's *Orientalism*, but instead a thought source appealing the Europeans to find a way out for Europe when it was trapped in the overall crisis in the 17th century. For this reason, Liang argues that Europeans' Indian writings represented by Bernier's *Travels* before the Enlightenment reflect that the rise of the West in the mid-18th century was the collusive product of the West and the East. The Eurocentric narratives of the "European Miracle" are problematic. This echoes Andre Gunder Frank's refutation of Eurocentric views on the world, which Frank views as a "unity in diversity." The West and the East interacted in the same global economic entity dominated by the East rather than the West for a significant time in history. The rise of the West and the decline of the East only came up in the years around 1800.¹

III. Marx's Criticism of the French Colonial Empire

Regarding "empire," Liang does not agree to the way of uniformly viewing the notion of "empire" or "imperialism" as derogatory in addressing the issue of nation-state. He contends that they vary in connotation in alignment with different historical periods and different national conditions.² Liang delved into the case of France for reasons. Among European empires emerging in the 16th century, the French Colonial Empire was a prominent one. Since the 16th century, it had been the second largest empire, on par with the British Empire. Although the 1789 French Revolution gave birth to the first nation-state in its modern form, French elites' obsession with "empire" was not dampened. Throughout the history of the French Colonial Empire, they incessantly longed to build a great, powerful French country. Therefore, it continued its territorial expansion and set up overseas colonies.

1 See Andre Gunder Frank, *ReORIENT: Global Economy in the Asian Age*, Berkeley: University of California Press, 1998.

2 See Liang Zhan, *Empire's Imagination: Civilization, Ethnicity, and Unfinished Community*, Beijing: SDX Joint Publishing Company, 2023, 9.

Colonization helped relieve the social crisis caused by the class conflicts at home after the Revolution, thereby manifesting the excellences of French civilization, enhancing its international influence, and strengthening the French national identity. It is noteworthy that nationalism is a double-edged sword. It can promote the cause of justice, but it can also fuel aggressive actions in the name of spreading civilization. The French Colonial Empire was such a case.¹ Liang argues that the French nation-state under the guise of republicanism did not depart from the essence of “empire,” but instead shared with other nation-states in the way that they were all confined to the historical context of prevailing colonialization in the 19th century.²

Liang addresses the political state of this first nation-state in the human history in the fourth chapter. The 1789 Revolution destroyed the feudal system but did not immediately usher in a brand-new nation-state in which deep-rooted social class conflicts were supposed to give way to a community with shared interests. Liang’s analysis focuses on the life attitude, political attitude, and behaviors of the pretty bourgeois intellectuals who were active in the 1848 French Revolution. The analysis starts from Marx’s criticism of this group of persons. In 1848, a series of armed revolutions, such as the February Revolution of 1848, the German revolutions of 1848-1849, the Vienna October Uprising, etc., broke out in Europe and ended in failure. At that time, Marx was determined to split away from the radical bourgeois democratic republicans and discard their revolutionary method of “conspiracy” to justify revolution with theories and bring it into the open. In all Marx’s works on the 1848-1851 European historical politics, the criticism of petty bourgeois intellectuals who initiated and led the 1848-1851 revolutions in Europe was the constant theme. Living among them for years, Marx was familiar with this cohort in all aspects, including occupation, social status, living conditions, political inclination and representation, and political action.

This cohort of “revolutionaries” grew excessively passionate about vying for control of the state with the conservatives, using “conspiracy.” They went so far away from the original intention of revolution that they “revolted for the sake of revolution” without bothering to consider the actual conditions. They were merely obsessed with conspiracies and riots, living in the phantasmagoria of reality, as emphasized by Benjamin. Liang points out that their political stance was consistent with Baudelaire’s advocacy of “art for the sake of art.” The literary figures depicted

1 Ma Shengli, “An Analysis of the French Nation-State and the Concept of Nation,” *Chinese Journal of European Studies* 2 (2012): 21-32.

2 See Liang Zhan, *Empire’s Imagination: Civilization, Ethnicity, and Unfinished Community*, Beijing: SDX Joint Publishing Company, 2023, 15.

by Baudelaire, such as garbage collectors, idle loafers, shared the same nature with those “conspirators.” Furtherly, Liang notes that the phantasmagoria described by Benjamin was not purely spiritual but attributed to the commodity. In the same way, the “specters” in Marx’s eyes were those revolutionaries who imitated the 1789 revolutionary actions for a visionary goal and in the end became idle loafers in politics. The leaders and participants of this revolution were often both petty bourgeois conspirators and Bohemian intellectuals wandering in Paris. Placing the petty bourgeois intellectuals in the process of political interaction and representation struggle during the revolutionary years with reference to Benjamin’s interpretation of Baudelaire, Liang reveals that this cohort presents a generic feature in terms of life attitude, political attitude, and cultural choice. This will help us understand the repeated occurrence of the French Revolution.

History itself is a repository that helps illuminate the present and the future. Grounded on the extensive and intensive analyses of empires in history from the perspective of the 19th-century nation-state movement surging from the East to the West, Liang revisits Benedict Anderson’s masterpiece *Imagined Communities: Reflections on the Origin and Spread of Nationalism* (1983). Before he addresses the hidden danger sprawling in the present liberal imperialism, he revisits his life experience and traces his thought history to reveal the inherent defect in Anderson’s work. Anderson’s anthropological interpretations of Indonesian folk culture and nationalism were largely within the framework of colonialism, which was determined by and reflects his identity as a Western left-wing intellectual. Anderson’s “community” expresses his advocacy of reconciliation between the colonizer and the colonized, and this advocate profoundly maintains the dominance of the West over the East. Thus, Liang proposes that the movement of nation-states, on one hand, be considered as occurring in the global network, and on another, we should not deny the fact that individual nation-states have developed their ways. Liang cautions us against the human community being manipulated to become the tool of liberal imperialism in any case.

Empire’s Imagination is a book full of fresh and incisive insights. The author’s ingenious integration of literalization of historical studies and the historicization of literary studies demonstrates his holism in ontology and methodology. He addresses the grand topic of empire and nation-state through the optic of the intersection of individual rich accumulation of knowledge and superb skills of writing, only then can he touch on a vast amount of relevant historical information and integrate it. All these make this book not easy to read, but worthwhile.

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性别政治谱系视域下的美国女性文学：《美国女性文学史》述评

The Study of American Women's Literature through the Genealogy of Gender Politics: A Review of *A History of American Women's Literature*

杨纪平 (Yang Jiping) 吴泽庆 (Wu Zeqing)

内容摘要：商务印书馆出版的《美国女性文学史》是一部系统性的美国女性文学史研究专著，涉及北美殖民地至21世纪长达370年间的388位女性作家。该书遵循文学史编纂与文学批评相结合的原则，基于性别政治谱系构建美国女性文学史的全景图；研究以中国学者视野，梳理美国女性文学发展历程，呈现女性文学历史的嬗变。该书必将促进国内学界对美国女性文学更为全面的了解，对美国文学乃至当代文学史的编纂与研究产生深刻影响。

关键词：金莉；《美国女性文学史》；女性文学；文学史；性别政治

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Title: The Study of American Women's Literature through the Genealogy of Gender Politics: A Review of *A History of American Women's Literature*

Abstract: *A History of American Women's Literature* (2023), published by The Commercial Press, is a systematic study of American Women's Literature, covering 388 female writers across 370 years—from the North American colonial period to the 21st century. Based on the genealogy of gender politics, combining literary historiography with literary criticism, the book offers a panoramic view of American women's literary history. Besides, it is a study of the evolution of American women's literature and its historical transformations from the perspective of Chinese scholars. Undoubtedly, this study will further enhance the understanding of American women and their literature in China, and exert a profound influence on the writing and study of American literary history, and even world literary history.

Keywords: Jin Li; *A History of American Women's Literature*; Women's Literature; literary history; Gender Politics

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北美殖民地伊始, 美国女性文学既丰富了国家文学版图, 更展示出独特的艺术魅力。然而, 文学史编纂中, “女性面对的是一部男性占绝对主导的文学史”(汤林峰 刘松娜 121)。而且, “以往美国文学史的编者中鲜有女性”(Showalter x)。从奠定基础的文本到强调交叉性和全球视角的多元文化文本, 女性文学史编写的每个阶段都反映了不断变化的社会历史、文化价值和文学书写范式。

20 世纪六七十年代, 美国女权运动第二次浪潮兴起, 女性文学研究成为学界焦点。肖沃尔特(Elaine Showalter)的《她们自己的文学》(*A Literature of Their Own*, 1977), 贝姆(Nina Baym)的《女性小说》(*Woman's Fiction*, 1978)以及吉尔伯特(Sandra M. Gilbert)和古芭(Susan Gubar)的《阁楼里的疯女人》(*The Madwoman in the Attic*, 1979)等经典作品相继面世。80 年代, 美国女性文学研究迅猛发展, “主张将历史考察带入文学研究”(徐颖果 马红旗 1)。吉尔伯特和古芭的《诺顿女性文学选集》(*The Norton Anthology of Literature by Women*, 1985)进一步将构建美国女性文学史提上日程。目前, 致力于整体美国女性文学史撰写及其研究的著作仍很鲜见, 仅有肖沃尔特的《女性陪审团》(*A Jury of Her Peers*, 2009)追溯了自 1650 年至 2000 年美国女性文学的发展进程。该作品以美国人为目标读者, 对于中国读者来说, 美国文化和历史知识的介绍不足。

在中国, 尤其是 21 世纪以来, 学界对于美国女性文学的关注度越来越高。不过, 研究对象也多聚焦某个特定作家群或时期。金莉的《文学女性与女性文学》(2004)和《20 世纪美国女性小说研究》(2010)分别聚焦 19 世纪和 20 世纪美国女性小说的嬗变。李维屏等的《美国女性小说史》(2020)是国内首部美国女性小说史专著。迄今为止, 中国学者撰写的美国女性文学史只有一部, 即徐颖果和马红旗的《美国女性文学》(2010)。整体上看, “目前我国的美国女性文学研究缺乏基于性别政治的谱系意识, 对于美国女性文学发展进程的历史观照不足”(金莉 李保杰 周铭 1)。在此背景下, 商务印书馆在 2023 年推出金莉教授等撰写的《美国女性文学史》。

一、美国女性文学的宏伟全景绘制

《美国女性文学史》是一部系统性的美国女性文学史研究专著, 长达 134

万字，上卷包括三章，下卷两章，每一章由“概论”和数节作家专论组成，内容涉及北美殖民地至21世纪长达370年间的388位女作家。该书遵循历史、文学史与文学批评相结合的原则，在宏观视域下探寻女性文学与社会变革的双向互动，基于性别政治谱系构建了美国女性文学全景图。同时，微观视域下，文学史从中国学者的视野梳理了美国女性的思想变迁和女性文学的嬗变脉络。

第一章为早期美国女性文学，包括概论和4节专论，论述殖民地时期至18世纪末的女性文学发展过程。当时的艰苦条件导致移民的男女比例严重失衡，北美殖民地仿若“地球上女人的天堂”（Moller 140）。然而，自移民之初，主流性别话语始终贯穿美国的历史与文化，“把女性和男性在私人领域和公共领域中区分开来”（鲍静 41）。建国后，国父们“决心维护丈夫的权威”（Hoffert 57），共和国主流话语将女性的理想形象界定为“共和国母亲”（Republican Mother）（Kerber 23），妇女成了没有公民权的“公民”。

书中分析了面对清教社会严格的社会文化限制和法律上的不平等，女性文学作品如何反映了当时社会的性别、种族和阶级结构。在早期文学中，种族和阶级已经成为女性创作的重要维度。布雷兹特里特（Anne Bradstreet）在认为针线比纸笔更适合女性的时代开启了美国女性文学的里程；罗兰森（Mary Rowlandson）的印第安囚掳叙事反映了白人与印第安人的关系；天才诗人惠特利（Phillis Wheatley）的作品则体现了带着枷锁的黑人女性的生活境遇。

同时，主流的男性作家侧重历史和社会主题，女性作家则更关注家庭和个人领域，如家庭责任、个人成长、情感冲突等主题，强调女性视角，揭示女性在家庭和社会中的经历和角色。女性作家经常采用日记、书信等私密和直接的方式描述个人经历，表达情感和思想。她们的作品不仅在形式和风格上对传统文学进行了创新和发展，更是对社会制度和性别角色的深刻反思和挑战，为后来的女性作家争取了更多的表达空间和话语权，为女性文学的发展奠定了基础，填补了当时主流文学中的空白，丰富了美国文学的多样性。

第二章为19世纪初至内战结束的美国女性文学，由概论和含14位作家的6节专论组成。与早期文学一样，女性文学的主导仍是中产阶级白人女性。由于社会对女性角色的局限，“家庭主妇（……）的角色是居家的和私人的，与他的公共监督职能形成鲜明对比”（Norton 3）。此时的女性文学依然是一种亚文学。但是，1790至1865年间，美国社会发生了巨变，城市化、工业化和废奴运动等社会变革对女性文学创作产生了深刻影响。女性意识的进一步觉醒，为19世纪上半叶的女性文学带来了新气息，女性文学进入第一次高潮，出现了世纪中叶的女性文艺复兴。

虽然此时的女性仍然受限于法律和家庭习俗，主流文化仍将女性视为第二性公民，甚至一些颇有自由民主思想的文人雅士也难以摆脱性别歧视偏见，但是，“分离的领域”（separate sphere）对女性的限制在一定程度上使“妇女反而有机会直接为他人服务，虽然在很大程度上是通过在家庭中实现这一

目的”（Cott 23）。“女性用来争夺国家政治文化控制权的重要甚至核心的途径包括：印刷品文化、政治仪式、戏剧和沙龙”（Branson 5）。女性作品曾风靡文学市场，获得巨大的商业成功和政治影响力，发挥了强大的道德力量。面对“共和国母亲”和“女性作家”的双重身份，塞奇威克（Catharine M. Sedgewick）和蔡尔德（Lydia Maria Child）等设法通过写作走出家门，为冲破社会樊篱、改变社会现状付出艰辛的努力。奥尔科特（Louisa May Alcott）因《小妇人》（*Little Women*）改善了家庭境遇，而斯托（Harriet Beecher Stowe）则以其废奴小说《汤姆叔叔的小屋》（*Uncle Tom's Cabin*）影响了历史进程。甚至雅各布斯（Harriet Jacobs）等出身奴隶的非裔女性、戴维斯（Rebecca Davis）等工人阶级的代言人也开始发出微弱的声音。在争取平等权利和社会正义的同时，不同种族和阶级的女性汲取美国文学传统的养分，构建独有的女性文学传统。

第三章为 19 世纪与 20 世纪之交美国女性文学，包括概论和含 18 位作家的 9 节专论，探讨了美国进步主义时期（1890-1920），进步主义话语模式下女性与国家身份建构的关联、新女性的政治实践，以及性别书写中种族意识的萌生。进步主义教育运动造就了一个文学女性群体。虽饱受排挤，女性文学开始进入主流文坛，呈现出更为明显的内部张力。区域叙事展示了现代性对于区域风土人情的改变，以及区域身份与美国身份的关系问题。女性乡土文学分为新英格兰文学、中西部文学和南方文学。朱厄特（Sarah Orne Jewett）等代表的新英格兰文学表现出鲜明的历史感和精神向度，呈现新英格兰的女性能力；凯瑟（Willa Cather）展现西部女性拓荒者姿态，使女性文学在构建民族身份和历史中跻身主流文学；南方文学则探讨了南北战争前后的主题。性别叙事体现了女性在转型时期对于公共政治的参与，以及对于自身性别身份的界定和反思。以吉尔曼（Charlotte Gilman）的《黄色糊墙纸》（“Yellow Wallpaper”）为正式开端，美国“新女性文学”逐渐兴起，主要集中在中产阶级和工人阶级女性，且影响并不普遍，却标志着女性意识不断觉醒以及女性进入公共领域后不同的公共形象。种族叙事刻画了在文明进步论语境下边缘种族群体（尤其是女性）的生存状态。印第安文学、非裔文学、华裔文学以及犹太文学等族裔女性文学开始发展，其中不乏“新女性文学”的主力军。书中特别指出，“不同族裔女性作家之间的立场往往并不一致，并不如当下一些族裔批评所愿想的那样存在‘天然的’身份认同感”（金莉 李保杰 周铭 268）。种族观念与性别角色交织，种族意识具有显著的多样性。

第四章为现代美国女性文学，包含概论和含 25 位作家的 10 节专论，重点分析了女性作家在现代主义、哈莱姆文艺复兴以及南方文艺复兴中所扮演的角色。她们将现代主义同性别、种族、阶级和区域等各个层面相结合，对形式与内容进行了双重突破。现代主义标签下群星璀璨，如，现代主义先驱斯泰因（Gertrude Stein）的试验意义作品、穆尔（Marianne Moore）和巴恩斯

(Djuna Barnes) 等人的“高等现代主义”(high modernism)作品、哥拉斯佩尔(Susan Glaspell)的实验性戏剧、杰克逊(Shirley Jackson)的哥特惊悚小说、毕晓普(Elizabeth Bishop)和普拉斯(Sylvia Plath)的自白派诗歌、帕克(Dorothy Parker)的都市文学、波特(Katherine Porter)和麦卡勒斯(Carson McCullers)等南方作家的政治色彩作品,以及黄玉雪(Jade Snow Wong)等人的亚裔文学等。现代主义文学通过实验性的写作形式以及对多重身份和社会不公的关注,拓展了文学领域的边界。20世纪上半叶,少数族裔女性文学迅猛发展。哈莱姆文艺复兴期间,现代非裔女性文学之母赫斯顿(Zora Neale Hurston)深入反映女性遭受的双重压迫,为非裔文学开辟了新的叙事空间。华裔文学之母黄玉雪聚焦华裔美国人的族裔身份,书写华人移民及后裔的成长和奋斗历程。尤其值得一提的是,书中还介绍了印度裔、日裔、韩裔、菲律宾裔等亚裔女性文学,分析了其作品中独特的跨国经历、多重身份和不同文化碰撞等。20世纪30年代达到巅峰的“南方文艺复兴”以“其奇特的艺术风格和强烈的历史感、南方意识、家庭观念使其在美国文坛独树一帜”(李杨23),南方文化在女性作家的笔下得到多角度呈现,体现了对传统性别观的质疑、对现代女性身份认同的理解、现代南方的社会问题,以及由此所传递的性别特质、阶级差异和种族关系等。

第五章是20世纪60年代末以来的当代美国女性文学,包括概述和含26位作家的11节专论。当代美国女性文学呈现多元性发展图谱,成为全球文学中不可忽视的力量。书中指出,当代女性文学的一个显著特点是文类和主题的多元化,促使“经典”和“非经典”的二元对立状态的解构。当代女性文学具有时代性,为女性创作开辟了新的表现空间,如希拉里·克林顿(Hillary Clinton)等女性政治家和公众人物的职业传记。此外,对于新兴文学和文学门类的包容打破了传统上经典和流行的界限,将谢尔顿(Alice Sheldon)等的女性科幻文学、福恩斯(Maria Irene Fornes)等的先锋派实验戏剧、布莱克莫尔(Jessica Blackmore)的吸血鬼题材、卡博特(Meg Cabot)的都市主题都囊括在内。

不同族裔的女性文学在全球化语境下多元发展,构建了“美国族裔文学的‘和而不同’的文化共同体”(郭英剑 刘向辉 76)。首位获得诺贝尔文学奖的黑人女作家莫里森(Toni Morrison)推动了非裔女性文学的经典化进程。书中特别关注到近40年来发展迅速的亚裔文学分支。汤亭亭(Maxine Hong Kingston)和谭恩美(Amy Tan)等“在主题特征上呈现出多元化和世界主义的后现代倾向,但其作品的生命力依然根植于对华裔生存空间的关怀”(郭海霞 24)。越裔女性文学、菲裔女性文学、日裔女性文学和朝韩裔女性文学逐渐形成合力,反映出族裔、身份和历史的复杂交织。20世纪60年代进入“犹太文化时代”。国家图书奖得主厄德里克和第一位印第安桂冠诗人哈久等则体现了印第安女性文学的发展。

作为美国区域文学的重要分支，当代美国南方女性文学发展体现了地理阈限的减弱。60年代之后，美国南方文学进入后现代时期。尽管如此，“南方文化传统依旧在发挥着影响”（金莉 李保杰 周铭 762）。普伦肖（Peggy Prenshaw）编辑的《当代南方女性作家》（*Women Writers of the Contemporary South*）给出的一众女作家足以证明这一点。其中，非裔作家沃克（Alice Walker）和班巴拉（Toni Bambara）的南方主题同族裔主题融合在一起，从黑人角度呈现南方传统，甚至呈现出将南方非裔美国人看作“南方文学传统最真实的当代继承人”的可能性（Simpson xviii）。南方作家“在颠覆和解构传统艺术的形式时形成了自己的艺术特征”（杨仁敬 57）。

二、新理念观照下的外国女性文学史撰写

《美国女性文学史》深入探究美国女性文学发展过程中的各种历史和文化要素，从中国学者的视角呈现美国女性文学的发展历程和历史嬗变。整体来看，主要有以下三大特点：

第一，坚持历时性和共时性结合，建构美国女性文学发展谱系。该书基于性别政治谱系意识，从历时性和共时性两个方面建构经纬交织的美国女性文学发展谱系图。凯利-加多尔（Kelly-Gadol）曾指出，“女性历史有两个目标：让女性重返历史，让我们的历史重返女性”（809）。这一点在书中得到充分体现。首先，书的目录即是一幅完整美国女性文学历史谱系图。全书近1200页，以时期划分为经，以专题研究为纬，按照“时期+文类+作家”的方式编排。按照历史分期，以断代史方式将作家归入时代，使女性文学发展与社会历史发展有机结合，赋予其鲜明时代气息。代表性经典作家作为条条丝线，在纵向历史的基础上进行横向分析和比较，根据引诱小说、新女性文学等关键词编织女性文学历史坐标图，具体诠释“概论”中的总体介绍，进而透彻解释女性作品与社会时代的关系，进一步强化性别政治与文学创作的双向影响。其次，书中关注久负盛名的女性文坛巨匠，更重视被忽视或边缘化的女性作家，尤其是早期作家或少数族裔作家，探讨了女性作家如何通过文学作品反映和塑造社会、政治和文化变革，为理解当代女性文学和社会问题提供了重要背景与视角，进而推动对文学与社会变革之间关系的深入探讨。

第二，坚持文学史与文学批评结合，赋予文学史以学术性与原创性。该书既关注美国女性文学的整体发展轨迹，也注重女性作家的个体研究，强调史与论的结合。首先，采用文学、美学、历史、政治、文化等领域的跨学科研究方法，多视角开展断代研究、类别研究、群体研究及个体研究，力求客观全面展现美国女性文学发展的全景和学界最新研究成果。每一章的概论和专论皆可独立成文。专论以代表作家为核心，以标题为关键词，层层展开。文与论深度结合的写作方法利于读者逻辑思维的培养和学术能力的加强。另外，研究采用全面的动态视角，通过多层次的交叉分析与对文学的社会功能

的创新理解,探讨性别、种族、阶级等因素如何交织影响女性文学的创作。女性权利的争取与社会变革贯穿了整本文学史的始终,揭示了文学与社会变迁之间的互动关系,尤其是在战争、经济危机和种族问题的冲击下,女性作家如何反应和创作。这既扩展了对美国女性文学的理解,也提供了更具批判性的社会文化解读模式,指出了女性文学中反映的种族、性别、性属等多重政治维度,展示了如何在文学中构建政治意识。

第三,重视中国视角的运用,确立恰当的本土立场。该书以高度的文化自信和开阔的学科视野审视外国文学,综合呈现女性创作在美国文学中的地位与作用,以此构建成熟的中国学术话语体系。首先,研究呈现中国学者的学术主体意识。该书充分考虑中国读者的阅读需求,不仅关注女性作家个体的创作风格和主题选择,还深入探讨不同历史时期的社会背景和文学环境对作品的影响,尤其关注性别、家庭等对于女性生存状况至关重要的主题。其次,该书体现了中国学者的全球视野。研究将美国女性文学史置于全球背景下加以审视,如两次世界大战对国际政治格局的改变等,体现了中国学者如何在全球化时代理解和定位美国文学。作者也从中国学者视角展望未来女性文学的发展趋势。前瞻性视野突显了文学在塑造公共对话和社会意识中的作用,增强了研究的现实意义和当代相关性,为政策制定和社会实践提供借鉴。如,通过解析女性解放运动中“解放”的双面性和局限性,揭示其非线性特点,促使人们反思当今社会中的性别、种族、阶级平等问题。再如,谈到当代美国犹太文学时,书中指出,“重新发现犹太女性作家作品的价值,重新评估她们作品中被湮没的犹太性,是当今犹太文学研究的一个方向”(770)。

总之,该书既关注美国女性文学的整体发展轨迹,也注重女性作家的个体研究,将文学史与文学批评有效结合,对源流和嬗变进行了全面且细致的重新审视,展现女性文学与美国整体文学之间的关系,提出了解读女性文学的新视角和发掘女性文学的必要性。在谈到《女性陪审团》时,肖沃尔特说:“我很自豪,因为这是历史上首部美国女性文学史。但是我也非常希望它不会是最后一部”(xvii)。的确,国内外的美国女性文学史的编写在持续更新,力求全面反映女性作家的丰富性与多样性。吉尔伯特赞赏《女性陪审团》“勾勒造就了一幅无以伦比的抽象拼贴画。这是一件太了不起的成就了”(转引自 陈彦旭 李增 165)。中国学者们撰写的这部《美国女性文学史》何尝不是如此呢?其独特的结构和深入的研究使其成为一部不可多得的女性文学史著作,为读者绘制了美国女性文学的一幅宏伟长卷。相信无论是学术研究者还是广大文学爱好者都能从中获得深刻的启发和丰富的知识体验。

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《文学空间批评》：探索文学空间研究的新范式

Spatial Literary Criticism: Exploring A New Paradigm in Spatial Literary Studies

李敏锐 (Li Minrui)

内容摘要：《文学空间批评》是方英教授多年来文学空间研究成果的精粹。新著重点讨论了西方文学空间研究的前沿话题和文学中的主要空间类型，主要涵盖空间与权力、空间与存在、空间与意识形态、空间与性别以及空间与伦理等重要范畴及其问题。此外，作者在书中还探讨了马克思主义空间批评的相关问题。该书以中国学者的视角和使命担当，钩玄提要、提纲挈领地探究了文学空间批评的研究范式和问题域，探索了当下文学批评可能的新路径，体现出作者博观约取、厚积薄发的学术精神及其对真理的不懈追求，同时它一定程度上也代表了中国学者在文学空间研究领域的前沿成果和重要开拓。鉴于新著上述学术价值和现实意义，故而值得重视和研读。

关键词：《文学空间批评》；研究范式；问题域；学术评价

作者简介：李敏锐，华中农业大学外国语学院副教授，主要从事叙事理论、文学伦理学批评和比较文学研究。本文系华中农业大学 2025 年自主科技创新基金资助的“文脉薪传计划”培育项目【项目批号：2662025WGPY004】、湖北省教育厅哲学社会科学研究项目【项目批号：22G046】和国家社会科学基金重大项目“当代西方伦理批评文献的整理、翻译与研究”【项目批号：19ZDA292】的阶段性成果。

Title: *Spatial Literary Criticism: Exploring A New Paradigm in Spatial Literary Studies*

Abstract: *Spatial Literary Criticism* is a prime collection of Professor Fang Ying's achievements in the spatial literary studies over the last decade. This new monograph focuses mainly on exploring the cutting-edge subjects in the western spatial literary studies and major spatial types in literature, including such scopes or issues as the space and power, space and existence, space and ideology, space and gender, and space and ethics, etc.. Furthermore, the author also attempts to probe into some related issues of the Marxist spatial criticism in the book. From the unique perspective and mission of a Chinese scholar, the monograph delves into the research paradigm and problematic domains of the spatial literary criticism in

a concise and comprehensive manner, exploring possible paths for contemporary literary criticism. It reflects the author's academic spirit of extensive observation and concise selection, as well as her unremitting pursuit of truth. At the same time, it also represents the cutting-edge achievements and significant breakthroughs in China. In view of its academic values and practical significance mentioned above, the new monograph by professor Fang Ying is worthy of attention and study.

Keywords: *Spatial Literary Criticism*; research paradigm; problematic domain; academic evaluations

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20 世纪 70 年代以降, 人文和社科领域出现了“空间转向”(spatial turn)。一时之间, 空间理论在文学创作、作品阅读和理论阐释等方面都产生了巨大影响, 以空间为导向的文学研究 (spatially oriented literary studies), 无论是以文学地理学、文学制图学、地理哲学和地理诗学还是以更广泛的“空间人文”(spatial humanities) 为旗帜开展研究, 都将注意力集中在空间、处所与文学之间的动态关系上, 从而帮助重新构建或改变了当代文学批评。¹ 虽然空间理论和文学批评的结合仍处于探索阶段, 也没有完整的理论指南和实践步骤, 但是国内不少学者已经关注到这个新兴的研究领域, 并对其理论作了积极引介和探索。方英教授迄今在这一领域耕耘了近十五年, 先后出版了专著《小说空间叙事论》(2017)、译著《空间性》(2021) 和编著《文学空间研究在中国》(*Spatial Literary Studies in China*, 2022)²。新著《文学空间批评》(2024) 则是在其前期研究基础上的重要突破。该书也是国家社科基金项目资助成果, 全书资料翔实、论证严密、观点鲜明、创见迭出。总体说来, 《文学空间批评》具体阐述了文学空间批评的概念定义及其理论基础、文学空间批评探究的问题域、文学空间批评的分支流派、文学空间批评和文学地理批评之间的关系、文学空间批评研究的关键词、文学空间批评的研究目标和未来发展态势等问题。

全书由序、绪论、主体、结语、参考文献和后记组成。书序由美国空间研究者塔利 (Robert T. Tally Jr.) 撰写, 方英教授自译, 序言客观地肯定了该新著的价值。绪论梳理了西方空间意义的发展脉络和空间批评发生的理论语

1 参见 Fang Ying and Robert T. Tally Jr., *Spatial Literary Studies in China*, London: Palgrave Macmillan, 2012, vii.

2 参见 Fang Ying and Robert T. Tally Jr., *Spatial Literary Studies in China*, London: Palgrave Macmillan, 2012. 该编著与新著《文学空间批评》均是“地理批评和文学空间研究”(“Geocriticism and Spatial Literary Studies”)的系列丛书。

境，勾勒了新著的主要内容和观点，并阐释了从古希腊至 20 世纪西方空间概念和意义的历史演变，指出了其哲学、地理学和社会学等理论语境，提出了文学空间批评的总体构想和思路。

第一章解答了何为“文学空间研究”及其主要论域的问题。作者认为，“文学空间研究”可定义为“聚焦空间性的、以空间性为导向或中心的文学研究”（36）¹。可见，理解文学空间研究的关键在于“空间性”或“文学空间性”这一概念辨析。作者颇具创见地指出了文学空间性的两个层面：“在表达层面，是抽象的形式化、作品的结构或文学表征的空间形态；在内容层面，包括空间形象、空间知觉、空间关系、特定场所、社会空间结构等”（36）。其次，作者考察了“文学绘图”的概念及其理论语境，特别是此概念对于叙事理论研究的借鉴意义。随后，作者考辨了“地理批评”在西方的两个主要流派，即以韦斯特法尔（Bertrand Westphal）为首的法国学派和以塔利为主的美国学派。具体而言，法国学派以时空性、越界性和指称性为基本范畴，最独特的贡献就是韦斯特法尔提倡的“地理中心法”；而美国学派主要指对作家“文学绘图”工程的阅读与分析，是一种对空间关系、地方和绘图高度敏感的文学阅读方法。进而，作者还提出了“绘制空间性”这一原创性概念，以此勾连起空间叙事和空间批评之间的关系。最后，作者对塔利的空间批评做了概览式述评，考察了塔利的空间批评话语体系、空间理论探索、文本批评实践和空间批评的学术渊源等问题。

第二章考察了文学中常见的空间类型问题。首先，作者在列斐伏尔（Henri Lefebvre）和索亚（Edward Soja）的启发下提出了“物理空间－心理空间－社会空间”的空间三分法。作者认为，物理空间是物质层面的关系建构，这个空间大致相当于索亚的“第一空间”，即空间的物质基础；心理空间是一个内部的、主观的空间，是人的知觉、情感和意识对外部世界染色、过滤、变形编辑后所建构的空间，心理空间属于索亚的“第二空间”；而社会空间则是“人际空间”，是人与人之间关系的建构，这个空间主要强调政治、经济、权力、种族、阶层、文化等因素，强调人的实践及其影响。²其次，作者探讨了科特（Wesley A. Kort）的空间理论框架和类型。科特通过对哈代（Thomas Hardy）、康拉德（Joseph Conrad）和戈尔丁（William Golding）等六位作家的分析，区分出三类空间：宇宙空间，主要指自然与风景，类似宇宙的背景或语境；社会空间，主要侧重空间中的经济和政治因素；个人空间，是一个培养个人身份与亲密关系的空间。随后，作者结合具体文本，阐述了威廉斯（Raymond Williams）《乡村与城市》（*The Country and the City*, 1973）、赫尔辛格（Elizabeth Helsinger）《英国乡村风光与民族表征》（*Rural*

1 本文有关《文学空间批评》的引文均出自方英：《文学空间批评》（北京：中国社会科学出版社，2024 年）。下文仅直接标注页码，不再一一说明。

2 参见方英：《文学空间批评》，北京：中国社会科学出版社，2024 年，第 106-112 页。

Scenes and National Representation, Britain 1815-1850, 1997) 和黑格隆 (David Haigron) 《英国乡村: 表征、身份与转变》(*The English Countryside: Representations, Identities, Mutations*, 2017) 等文本中的乡村空间, 以及戈特迪纳 (Mark Gottdiener) 和巴德 (Leslie Budd) 《城市研究的核心概念》(*Key Concepts in Urban Studies*, 2005)、埃文 (Shane Ewen) 《什么是城市历史?》(*What is Urban History?*, 2016) 和利罕 (Richard Lehan) 《文学中的城市》(*The City in Literature: An Intellectual and Cultural History*, 1998) 等论述中的城市空间概念。最后, 作者还特别探析了三种“他性”特质的另类空间 (即异托邦、非托邦和阈限空间) 及其特征。

第三章考察了空间与权力的关系问题。作者旨在解答权力如何在空间中运作, 权力如何借助空间结构、空间关系和空间技术实施, 人物的权力关系与空间如何关联, 空间书写又如何表现权力等问题。首先, 作者细察了列斐伏尔、福柯 (Michel Foucault)、布尔迪厄 (Pierre Bourdieu)、哈维 (David Harvey)、索亚、沃克 (Richard Walker) 等学者相关著述, 紧接着探讨了“边界”这一独特空间类型。作者还援引了本雅明 (Walter Benjamin)、塞尔托 (Michel de Certeau)、德勒兹 (Gilles Deleuze)、韦斯特法尔和弗里德曼 (Susan Friedman) 等名家论述, 分析了文学中的“边界”与“越界”现象, 进而提出了“边界叙事”概念。然后, 作者实践分析了卡夫卡 (Franz Kafka) 的短篇小说、伍尔夫 (Virginia Woolf) 的《达洛维夫人》(*Mrs Dalloway*, 1925)、奥威尔 (George Orwell) 的《一九八四》(*Nineteen Eighty-Four*, 1949)、罗布-格里耶 (Alain Robbe-Grillet) 的《窥视者》(*The Voyeur*, 1955)、坡 (Edgar Allan Poe) 的《一桶白葡萄酒》(*The Cask of Amontillado*, 1846)、刘慈欣的《吞食者》(2002) 和郝景芳的《北京折叠》(2012) 等文学中的空间和权力关系。最后, 作者创新性分析了伍尔夫的《到灯塔去》(*To the Lighthouse*, 1927) 中性别权力和空间关系的问题。¹

第四章探究了空间与存在的关系问题。作者批判性指出, 在后现代文化语境中人的存在与空间关系不是越发的松散, 而是更为紧密了。因此, 从空间批评切入能更好地剖析人之存在困境和意义的问题。作者在本章还梳理了笛卡尔 (Rene Descartes)、康德 (Immanuel Kant)、胡塞尔 (Edmund Husserl)、海德格尔 (Martin Heidegger)、巴什拉 (Gaston Bachelard) 和詹姆逊 (Fredric Jameson) 等学者的空间思想, 并通过卡特 (Angela Carter) 的《魔幻玩具铺》(*The Magic Toyshop*, 1967)、乔伊斯 (James Joyce) 的《尤利西斯》(*Ulysses*, 1922) 和卡夫卡的《变形记》(*The Metamorphosis*, 1915) 等小说探讨了空间与身份建构、“异托邦”与伦理悲剧等现代性关系问题。

综上所述, 《文学空间批评》以问题为导向, 将空间研究纳入文学研究和叙事研究的视域, 既有理论研究, 也有文本阐释; 既探讨了空间与空间的

1 参见 方英: 《文学空间批评》, 北京: 中国社会科学出版社, 2024 年, 第 235-236 页。

关系，又反思了演变中的文化进程。《文学空间批评》不仅是文学空间研究领域的重要突破，也是整个空间研究和文学研究领域的重要开拓。如塔利切中肯綮地评价，“《文学空间批评》的出版或许会对中国和中国之外的文学空间研究产生持久的影响”（“序”1）。通览全书，鄙以为其独创性主要体现在如下几个层面：

首先，新著展呈了独特的中国视角和中国学者的使命担当。作为中国学者，方英教授一方面潜心向福柯、列斐伏尔、索亚和塔利等西方学者学习，另一方面又虚心向胡亚敏、陆扬、梅新林、聂珍钊、申丹和朱立元等中国前辈请教。新著不仅试图打破欧美文学中心的藩篱，还尝试跨越中西学界的沟壑，考察了莫言、郝景芳、刘慈欣以及宁波地方诗人等中国文学。譬如，在第二章阐述“空间类型”时，作者指出，空间意象是凝结文化与权力关系的物质表现，比如《红高粱家族》中的“红高粱”，它是“高密东北乡人的文化、精神与灵魂的凝结”（116）。在第二章探讨“城市与身体”时，作者认为，虽然宁波的当代诗歌“写的是城市，抒发的却是田园的情怀和逃逸的冲动，也是想像对现实的重构”（151）。而在第三章论述“空间与权力”时，作者则认为，“郝景芳的《北京折叠》这部科幻小说虚构了一个可翻转折叠的北京，描述了北京城三个界限分明的空间（第一、第二、第三空间），其中关于边界和越界的叙述可谓浓墨重彩，跌宕起伏”（201）。同样在本章中，作者还分析了刘慈欣的科幻小说《吞食者》并批判了一些空间入侵和资源掠夺等行为，小说“以极其宏阔的视野向读者展示了宇宙中也无法幸免的等级制度和权力关系”（222）。

倘若上述是新著从内容上打破西方中心主义、坚持中国视角的话，那么从形式或方法上新著也同样体现了其作为中国学者的使命担当。新著颇具诗意是，在每一章节（包括绪论和结语）开篇都附有原创性的诗歌（共六首，中英文各三首），分别是“A Fold of Time”“Mapping Our Space”“Other-Space”“位置”“时空”和“春光”。作者通过诗性语言表达了每一章节的主题和情感，似有曹公“都云作者痴，谁解其中味”的同工之妙。此外，新著尽显作者有破有立、独立思考的学者精神。新著虽然受到了多位西方学者的重要影响，但作者始终秉持对话和交流姿态，创新性提出了“文学空间批评”“绘制空间性”“空间叙事”和“边界叙事”等原创性概念和观点，并确立了“处所意识”“文学绘图”和“边界叙事”等重要术语翻译，从而为当下国际空间研究贡献了中国学者的独特智慧。

其次，新著彰显了作者钩玄提要、提纲挈领的行文风格。新著从开篇至结语部分都提纲挈领地用诗性语言展呈了意图和内容。譬如，在绪论部分，作者旨在表达通过时间的折叠，而“绘制和投射宇宙的无限可能性（chart and project a growing universe of possibilities）”（2），形象地表达了新著的宏大目标。在第一章中，作者通过“文学绘图”“地理批评”“绘制空间性”和“塔

利的空间批评”四组关键词，勾勒出“文学空间研究”的主要论域和特征。在第二章中，作者通过“社会空间”“亲密空间”“乡村空间与城市空间”和“另类空间”四组关键词，探讨了空间的类型和分类标准，为后文提供了理论支撑。在第三章中，作者通过“理论概说”“边界叙事”“权力的空间性”和“对立、跨越与重构”四组关键词，展现了空间与权力、叙事以及性别之间的复杂关系。而在第四章中，作者通过“理论概说”“空间与身体”“都市空间的现代性”和“空间书写与伦理困境”四组关键词，探析了空间与人的存在经验、困境和意义之间的繁杂关系。最后，在结语处，作者则通过“研究范式”和“问题域”两个关键词，简要指出了文学空间批评建构的两个核心问题。新著通过钩玄提要、提纲挈领式的关键词，便于读者快速概览全书，真正实现了“读者友好型”的行文风格，当然这一前提在于作者扎实的语言基础和深厚的学术功底。

最后，新著体现了作者博观约取、厚积薄发的学术精神。如作者在绪论中所说，新著“部分内容已发表在国内外重要期刊上”（32）。譬如，绪论部分改编于发表在《湘潭大学学报》《江西社会科学》和《华中学术》等核心期刊上的论文；第一章改编于《外国文学研究》《叙事研究》和《外国文学》等核心期刊论文；第二章改编于《宁波日报》上的文章；第三章改编于《美学与艺术评论》和《山东外语教学》上的期刊论文；第四章改编于《江西社会科学》和《文学跨学科研究》上的刊文；最后，结语也是改编于发表在《华中学术》上的论文。从上述发表溯源足以看出，作者十多年来的扎根研究，既积累了丰厚成果，也坚定了研究方向，真正做到了学术上的“博观约取、厚积薄发”。

“随着人文社会科学的空间转向，当下正是开展文学空间研究的最佳时期”（塔利，“文学空间研究：起源、发展和前景”121）。《文学空间批评》是近年来不可多得的文学空间研究成果之一，它不仅推动了文学空间批评的进一步发展，也拓展了空间研究的整体疆域和版图，并代表着中国文学空间研究的前沿成果和重要开拓。借用陆扬教授在《文学空间研究在中国》中的评价，他认为该新著同样是文学空间研究领域“中国话语对话英语世界的”一部“标志性著作”（106）。作为年轻而富有活力的空间理论体系，文学空间批评理论具有极强的生产性和创新性。该新著系统“考察了最复杂、最前沿的空间理论，同时也密切关注了比较文学学科的具体实践”，同时还“对与空间性和叙事相关的当代文学理论和实践做出了令人惊叹的综合概述”（塔利，“序”7）。为此，我们完全有理由坚信新著必将激励更多的学者从事类似研究，并有可能将其带向以前无法预见、目前无法想象的新方向。最后，仍然借用塔利的话来评价方英教授新著《文学空间批评》的学术价值和现实意义，或许这更为妥帖且富有诗意：“地图不仅帮助我们定位我们所在的地方，而且帮助我们去往其他地方，这往往意味着发现地图上没有的地方，而这也是文学的目的”（“序”7），不可否认，这也是诸多《文学空间批评》

类似研究工作的目的。

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百年西方现代主义杰作背后的“中国故事”——评钱兆明著《跨越与创新：西方现代主义的东方元素》

Chinese Stories Behind Western Modernist Masterpieces: A Review of Qian Zhaoming's *Breaking Boundaries and "Making It New": Oriental Elements in Western Modernism*

魏琳 (Wei Lin)

内容摘要：在其新著《跨越与创新：西方现代主义的东方元素》中，钱兆明对西方现代主义发展逻辑展开系统性重构。该书从时空双维度对既往观点提出质疑：既充分论证西方现代主义从20世纪初鼎盛期转入中叶低谷后，经历60年代与21世纪初两次复兴的演变轨迹；又将现代主义研究视域从“唯西方”厘正为东西方文化交互语境。与此同时，其研究范畴突破“唯文学”框架，延伸至美术、音乐、舞蹈、戏剧、电影、建筑等多元艺术领域，特别聚焦那些具有中国文化背景的人士及其文化实践对现代主义经典作品形成的参与和影响。因此，这部既通过具体作品来阐释前沿理论、又致力于挖掘名作背后鲜为人知的中国文化故事的新作，对现代主义研究者、跨文化比较文学及跨学科交叉领域学者以至名家名著爱好者均具有重要参考价值。

关键词：《跨越与创新：西方现代主义的东方元素》；钱兆明；西方现代主义；中国故事；跨学科

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Title: Chinese Stories Behind Western Modernist Masterpieces: A Review of Qian Zhaoming's *Breaking Boundaries and "Making It New": Oriental Elements in Western Modernism*

Abstract: In his new book *Breaking Boundaries and "Making It New": Oriental Elements in Western Modernism*, Qian Zhaoming offers a systematic reconstruction of the developmental logic of Western modernism. Challenging conventional views from both spatial and temporal dimensions, he convincingly demonstrates the trajectory of modernism's evolution—from high modernism in the early 20th century, through its decline by the mid-century, to two significant revivals in the 1960s and the early 21st century. At the same time, the book shifts the perspective

on modernist studies from a purely “Western-centric” framework to a more nuanced context of East-West cultural interaction. Moving beyond the traditional literary scope, Qian extends his analysis to a wide array of art forms, including visual arts, music, dance, theatre, film, and architecture. The book pays particular attention to individuals with Chinese cultural background and their contributions to the creation and shaping of modernist classics. Thus by combining cutting-edge theoretical interpretation with detailed readings of specific works, and by uncovering the lesser-known Chinese cultural narratives behind iconic pieces, this work provides valuable insights for scholars of modernism, comparative literature, and interdisciplinary studies, as well as general readers interested in the cultural histories behind great artistic achievements.

Keywords: *Breaking Boundaries and “Making It New”: Oriental Elements in Western Modernism*; Qian Zhaoming; Western modernism; Chinese story; interdisciplinary studies

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M. H. 艾布拉姆斯 (M. H. Abrams) 和哈派姆 (Geoffrey Galt Harpham) 合著的权威之作《文学术语汇编》 (*A Glossary of Literary Terms*)，自 1957 年首版至今已有 11 版问世。在 2015 年的最新版中，关于“现代主义” (modernism) 的界定，依然以其对于传统“有意和彻底的决裂”为鲜明底色 (226)。在实现这种“决裂”的过程中，亦即实现庞德 (Ezra Pound) 所谓“日日新” (Make It New) 的过程中，文学和各艺术门类的现代主义者们通过决裂、反叛而得以自我创新。具有讽刺意义的是，尽管所引庞德“日日新”概念源自中国儒家经典《礼记·大学》，早期西方现代主义研究却未能给予“现代主义者们的全球性开放视野和胸怀”足够的重视，于是那时的西方现代主义研究基本“限定在西方主流研究方法和理论视野之中” (高奋 33)。

自 20 世纪八九十年代起，东西学界开始关注东方文化与西方现代主义间的关联。我国旅美学者钱兆明教授在这方面的卓著耕耘有目共睹。他持续关注“现代主义与东方文化”议题，无论在原始资料的收集、整理，还是在跨学科、跨文化理论的表述方面，他全面兼顾，笔耕不辍。早在 1995 年，钱先生即出版《东方主义与现代主义：庞德和威廉斯诗歌中的华夏遗产》 (*Orientalism and Modernism: The Legacy of China in Pound and Williams*, 1995; 中译本, 2016) 一书，这是该课题研究初期最具影响力的著作。此后，《中国美术与现代主义：庞德、摩尔、史蒂文斯研究》 (*The Modernist Response to Chinese Art: Pound, Moore, Stevens*, 2003; 中译本, 2020) 和《东

西互渐与晚期现代主义：威廉斯、摩尔、庞德》（*East-West Exchange and Late Modernism: Williams, Moore, Pound*, 2017）等著进一步奠定了他以文学、特别是英美现代主义诗歌研究为基点，在现代主义与东方文化研究领域的权威学术地位。2023年下半年，他的最新力作《跨越与创新：西方现代主义的东方元素》（以下简称《跨越与创新》）由北京大学出版社出版。该书再度充分体现出钱先生持续研究的深厚学养，同时如书名所示，其人其作在“跨越”中实现“创新”——在作者拟定的英文译名中，“创新”对应的即为出自庞德之手的“Make It New”。

言及“现代主义”，无论是文学还是其它艺术门类的现代主义，很多读者会将其历史时期框定在20世纪初，这也是前述《文学术语汇编》的做法。以“跨越”为基本关键词之一，《跨越与创新》首先将这条时间线拉长：作为起点的“‘鼎盛期’现代主义”（high modernism）大致对应上述阶段，“后期现代主义”（late modernism）主要关注20世纪五六十年代，“21世纪现代主义”则更接近于当下。继续见微知著，由《跨越与创新》探讨的共计十一位现代主义大师及其作品观之，除时间之外，被跨越的还有空间和领域：所论史蒂文斯（Wallace Stevens）、威廉斯（William Carlos Williams）、摩尔（Marianne Moore）、庞德、斯奈德（Gary Snyder）、蒲龄恩（J. H. Prynne），皆为现代主义诗歌；所论莫奈（Claude Monet）、叶芝（W. B. Yeats）、米勒（Arthur Miller）、贝聿铭（Ieoh Ming Pei）和李安，则分别延伸至现代主义的绘画、戏剧、建筑和电影。这些巨匠们“在各自的领域大胆跨越时空，又分别融合了中国文化、日本文化或印度文化”。如钱先生在《序言》所说，“本书除了跨越法国、爱尔兰、英国、美国、加拿大和中、日、印度八种文化，还跨越美术、音乐、舞蹈、诗歌、小说、戏剧、建筑和电影八个领域”（v）¹。“现代主义”在具体作品中的呈现方式、以及这一概念本身的内涵，都在上述多方面的跨越中变得丰富起来。

于是，《跨越与创新》沿着上述三个现代主义发展阶段，依照所论作品的诞生顺序，将十一位不同领域中的大师其人其作娓娓道来。作者如此排列的巧思不仅在宏观上符合现代性认知的一般规律，“只有在一种特定时间意识，即线性不可逆的、无法阻止地流逝的历史性时间意识的框架中，现代性这个概念才能被构想出来”（卡林内斯库 18）；而且如作者所梳理的史实所示，“现代主义在欧美崛起，最先在美术领域（包括绘画和雕塑），其次在表演艺术领域（包括音乐、舞蹈和戏剧），再次才是在文学领域（包括诗歌、散文和小说）”（4）；于是，以三大发展阶段为纲，以前述十一位大师其人其作为目的二十个章节顺次从容排列。百年现代主义发展史、特别是其中蕴藉

1 本文有关《跨越与创新：西方现代主义的东方元素》的引文均来自钱兆明：《跨越与创新：西方现代主义的东方元素》（北京：北京大学出版社，2023年）。以下引文仅标注页码，不再一一说明。

的百年中西交流史间的中国故事如卷轴般徐徐展开。

在如此论述体系中，若论最直观的“创新”，除上述种种“跨越”外，当属持续论及两种文化交流的常规媒介（文字、图像）的同时，对百年间来自东方、因缘际遇中影响了西方现代主义发展的“相关文化圈内人”（多为中国背景人士）的关注——从“文本”走向“人本”。在中文学界，钱兆明先生当为最早将“相关文化圈内人”（interlocutor）概念引入并运用于比较文学研究的学者。在跨文化交流语境中，美国评论家希利斯·米勒（J. Hillis Miller）指出上述文字和图像作为文化交流的媒介时所具有的局限性，由此认为，“根据文化研究的理念，要认知〔非本土〕美术、大众文化、文学和哲学的真实价值，尚需有特定的本地人介入——即由相关语言、地域、历史和传统界定的本地人介入”（14-15）——“文本”媒介往往无法令人满意地还原异质文化语境，而来自彼文化语境的“相关文化圈内人”可以。希利斯·米勒在同一著作中引用了德国美学理论家本雅明（Walter Benjamin）的“光晕”（aura）术语¹。在钱先生的引申中，该术语被更为贴切地译为“本真氛围”，而且，可承载者非“相关文化圈内人”莫属。

在这条绵延百年的时间线上，早在20世纪初，东方文化对鼎盛期现代主义的斑驳影响中，已有“相关文化圈内人”带来的“本真氛围”。尽管和后两个时期相比，现代主义的鼎盛期绝非东西互渐“人本”媒介发挥作用的顶点。按照前述“美术——戏剧——文学”的顺序，首先被论及的是莫奈和叶芝。前者是发动了法国印象主义运动的画家，其晚年的250幅《睡莲》图呈现的风格突破中有日本浮世绘与中国文人山水画的直接影响，可能另兼有日本艺术圈内人林忠正的助力，以及几乎贯穿西方现代主义百年的、东方禅宗思想的浸润。后者以现代主义诗人著称，而此处被探讨的却是其仿能乐实验剧《鹰之井畔》，日本舞蹈家伊藤道郎在演出中与叶芝的合作成为“本真氛围”的重要来源——在西方戏剧语境中未能实现的通过舞台实验来复兴爱尔兰民族精神与文化的期望，以此融入了东方文化程式的戏剧模式得以如愿。²

而后出场的是4位美国现代主义诗人：史蒂文斯、威廉斯、庞德、摩尔。值得关注的是：其一，这里后三位的现代主义文学之路跨越了其中的两个历史时期，他们的后期作品也成就了各自个人及整体意义上的“后期现代主义”，从东西互渐的影响角度看，如此重而不复更能体现出东方文化对西方现代主义持续而深刻的直接影响，并在呼应与对照中凸显人本媒介的意义；其二，除庞德外，史蒂文斯、威廉斯、摩尔均非文学专业出身，他们法律、医学、生物学的专业背景既为个体所思所作增添了跨学科的趣味，也为现代主义整体融入了多元，这也是现代主义发展过程中个性化与丰富性的一个侧面。

1 参见 J. Hillis Miller, *Illustration*, Cambridge: Harvard University Press, 1992, 20.

2 参见 钱兆明：《跨越与创新：西方现代主义的东方元素》，北京：北京大学出版社，2023 年，第 14、23 页。

在讨论庞德的“潇湘八景诗”与其背后的湖湘文化圈内人(曾宝荪)之后,钱先生总结出在研究“相关文化圈内人”对作品的影响时、在方法论上和读解文字、图像对作品的影响时的迥异:对“文本”媒介行之有效的互文性理论无法考察“人本”的存在与影响,惟有以文化研究代之,借助“包括其私人信件、文稿、回忆录和访谈录在内的一手文献”,“重点考察诗人、作家、艺术家的创作氛围”(81)。尤其是在“后期现代主义”阶段,如此索骥方式生动地还原了每一名家经典之作背后的故事。

在1920年前后的这一“鼎盛期现代主义”时期,史蒂文斯、威廉斯、摩尔同东方文化对话的媒介分别是中日禅宗画、英译汉诗和域外中国艺术品,并在各自的创作中留下了难掩的踪迹。时至“后期现代主义”阶段,来自中国的诸位圈内人使多重东方文化因子进一步深植入西方现代主义的当代发展进程:如王桑甫(David Raphael Wang)之于威廉斯,施美美(Mai-mai Sze)之于摩尔,方宝贤(Paul Fang)之于庞德,以至北京人民艺术剧院剧组之于米勒。在此需要明确的是,此“后期现代主义”(late modernism)非彼“后现代主义”(post modernism)。若论二者间的直观区别,后现代主义偏向通过反叛鼎盛期现代主义而革新,后期现代主义则在很大程度上承继了鼎盛期现代主义的部分内容。英国学者梅洛斯(Anthony Mellors)将后期现代主义定义为现代主义在二战后的“复出”,美国批评家詹姆逊(Fredric Jameson)则将之界定为对早期现代主义的“复制”(i-ii)。鼎盛期现代主义与后期现代主义间的关联,在威廉斯、摩尔与庞德这三位鼎盛期现代主义巨匠的后期现代主义创作中,也得以直接验证。《跨越与创新》的重点依然在于,在这个承继与创新的过程中,由“人本”带来的东方文化的“本真氛围”。而且,现代主义百年历程间,在后期现代主义阶段,“东学西渐”的单向路径开始逐渐走向“东西互渐”的双向交融。这不仅可见于后期现代主义文学领域、王桑甫与威廉斯互学互助,更明显地呈现为米勒与北京人艺在舞台戏剧上的相辅相成。1983年,米勒将《推销员之死》(*Death of a Salesman*)搬上北京人艺的舞台。其中的空间设置和舞美设计均借鉴了中国传统戏剧,京剧写意性武打动作和贵妃醉酒风格的水袖旋转以出人意料却水乳交融的方式惊人地提升了该剧超现实主义的表演效果。值得一提的是,当该剧后来返回美国舞台、上演新版本时(例如,百老汇1984年和2012年版),不乏北京人艺版的氛围与细节。钱先生为这一章作结道,“东西文化交流从来不是单向的交流,其影响也从来不是单方面的”(191)。

从讨论米勒的《推销员之死》开始,作者的“跨越与创新”之路就开始在轻车熟路的文学研究基础之上,契合着从鼎盛期、后期直至21世纪现代主义的基本要素之一:跨艺术门类。加以东方文化客观而深刻的影响,西方现代主义渐行渐丰富、愈加多元而有趣起来。于是行至“东方文化与21世纪现代主义”部分,在蒲龄恩、斯奈德的诗与画论之外,钱先生还着墨于贝聿铭

的建筑设计和李安的前卫电影。无论是文学、艺术评论还是建筑、影视中人,诸21世纪现代主义者均在个人、整体的承继与创新中分享着“后期现代主义”的诸多特质。尤其引人注目的是贝聿铭和李安,二者共同的复杂性在于各自的双重背景——中国与美国,或言东方与西方间的融合。由此观之,影响了活跃在21世纪的现代主义者们的东方文化圈内人有时不再是历史上曾宝荪、王燊甫、施美美、方宝贤等具体个人、外人,而是团队整体、甚至他们自己。“人本”因素的具体情况变得精细复杂,“本真氛围”却有增无减。钱先生讲述的背后的中国故事,其丰富性远不止于此:他谈到了昆曲《游园惊梦》给予建筑大师贝聿铭的灵感,以及李安导演弃印度海滨、择中国台湾临海机场作为外景拍摄地的细节。或许,当艺术创作与东方家园产生碰撞时,其激发与启示作用让深受西化教育的二人自己成为了跨文化交流过程中的人本媒介,从而影响了自己,推进了西方现代主义在当代的发展进程。这句话或可适用于钱兆明教授数十年来关于现代主义与东方文化研究的初心与始终。

钱先生的“跨越”与“创新”并未止步于此,他注意到21世纪“国际现代主义研究、跨艺术门类研究、文化研究”(i)的长足进步,并致力于以此新观念与动向之长、为同期现代主义与东方文化研究补短。他同时点出了“现代主义文化思潮的产生和复出”同第二、第三、乃至第四次工业革命间“千丝万缕的联系”。文学批评、文化研究保持既往文艺意识的同时,辅以“相照应的工业革命意识”(xi)。立足当下,伴随着“讲好中国故事”的时代强音,无论是致力于或理论或实践层面的现代主义的研究者,或是对前述现代主义人士、作品、领域有所关切的爱好者,或是希望从相对专业的层面看东学如何西传、东西如何互渐的历史、现实举隅,这本既论学理、又讲故事的《跨越与创新》都值得品阅。

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中华伦理基石与数字人文范式的开放对话平台： 评《语言、符号与脑文本概论》的理论贡献

An Open Dialogue Platform on Chinese Ethical Foundations and the Digital Humanities Paradigm: A Review of *A General Introduction to Language, Signs, and Brain Text*

刘 白 (Liu Bai)

内容摘要：聂珍钊教授与任洁等，通过细致入微的理论溯源、原创性与标识性概念构建，结合典型文本案例剖析，对文学伦理学批评进行了系统化阐述。其新著《语言、符号与脑文本概论》在以下关键维度实现了对前期研究的显著推进：以伦理为本体构建中国话语体系、以“脑文本”概念开启数字人文研究新范式、以开放包容的理论框架促进跨文明对话。该著作为中国学者在全球化语境下，如何秉持高度的文化自信与理论自觉，立足本土文化根基，贯通学科壁垒，融入学术前沿，提供了具有典范意义的探索路径。

关键词：《语言、符号与脑文本概论》；文学伦理学批评；数字人文范式；理论体系；聂珍钊

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Title: An Open Dialogue Platform on Chinese Ethical Foundations and the Digital Humanities Paradigm: A Review of *A General Introduction to Language, Signs, and Brain Text*

Abstract: With meticulous theoretical archaeology, original and emblematic concepts, and incisive case studies of canonical texts, Professor Nie Zhenzhao and Ren Jie deliver a systematic exposition of ethical literary criticism. Their new book, *A General Introduction to Language, Signs, and Brain Text*, refreshes their earlier achievements in three key respects: it constructs a Chinese discourse grounded in ethics as its ontological core; it inaugurates a new digital-humanities paradigm through the notion of the “brain text”; and it fosters cross-civilizational dialogue via an open and inclusive theoretical framework. By exemplifying how Chinese scholars can, within a globalized context, sustain cultural confidence and theoretical

self-awareness while remaining rooted in indigenous traditions, transcending disciplinary boundaries, and engaging the frontiers of scholarship, this book sets a compelling benchmark.

Keywords: *A General Introduction to Language, Signs, and Brain Text*; ethical literary criticism; digital-humanities paradigm; theoretical system; Nie Zhenzhao

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聂珍钊教授与任洁等新出版的《语言、符号与脑文本概论》从探究文学活动的核心载体与媒介问题切入，通过细致的理论溯源、原创性与标识性概念的提出，以及对典型文本案例的剖析，对文学伦理学批评进行了系统化阐述。该著作是中国学者立足本土文化资源，依托高度的理论自觉与原创精神，致力于构建兼具全球视野与时代前沿性的文学批评话语体系的一项坚实成果。其宏阔的学术视野与深刻的学理洞见，为“讲好中国故事”提供植根于中华伦理文化、融汇跨学科前沿并面向未来动态发展的理论路径。该著作的核心贡献主要体现于以下维度：以伦理为本体构建中国话语体系；以“脑文本”概念开启数字人文研究新范式；以开放包容的理论框架促进跨文明对话。

一、伦理基石：构建文学批评的自主话语

当代中国文学批评理论建设的核心挑战，在于如何融汇世界理论精粹的同时，深植于中国文化沃土，确立自身不可替代的主体性与话语权。《语言、符号与脑文本概论》对此作出了深具本土文化自觉的理论回应。其理论建构的核心支柱在于将伦理维度置于文学理解与批评的中心，这一取向深刻契合中国文化传统中“以伦理为本位”（梁漱溟 76）的精神内核，彰显了中国学者构建自主知识体系的学术使命。

在理论建构层面，文学伦理学批评并非对传统道德批评的简单回归，而是实现了深刻的创造性伦理转化。¹“文学是特定历史阶段伦理观念和道德生活的独特表达形式，文学在本质上是伦理的艺术”（聂珍钊 任洁 13）。这一论断将伦理从文学的外部规约或附加属性，擢升为其内在的本质规定性。文学伦理学批评认为，文学活动的全过程——从创作者内心伦理意图的萌发，到语言符号的编码与物质文本的生成，再到读者接受后脑中“脑文本”的最终形成——其深层驱动力均与人类的伦理意识、价值判断和道德选择紧密相连。这一观点与西方某些解构主义理论剥离文学价值判断的倾向形成鲜明对

1 参见 Nie Zhenzhao. “Ethical Literary Criticism: A Basic Theory.” *Forum for World Literature Studies* 2 (2021): 189-207.

照¹，有力展现了中国学者立足本土资源进行理论原创的学术自信。

在著作中，聂珍钊教授对“语言”“符号”“文本”这些看似中性的概念进行了伦理化的重释。语言被定义为“语言是脑文本的声音形态”，“是脑文本在转换成声音形态过程中生成的”（聂珍钊 任洁 386），而符号的意义生成与传递，始终无法脱离特定伦理语境的规约与伦理价值的渗透。文本不再是孤立封闭的语言结构，而是承载创作者伦理意图、反映时代伦理关系、并旨在作用于读者伦理意识的文化载体。尤为关键的是，他提出的“脑文本”概念（即读者接受后在脑中形成的最终意义形态），其核心构成要素之一便是接受主体基于自身伦理意识进行的价值重构与意义确认。这一理论链条清晰确立了伦理作为文学活动内在驱动力与核心评价标准的地位。其“伦理选择”理论更将人的本质生成与道德教化置于核心，既融合了进化论的科学内核，又注入了鲜明的中国伦理学价值取向。

这一以伦理为基石的批评路径，为构建中国特色的文学批评话语体系提供了强有力的理论支撑。聂珍钊教授深耕于中国深厚的伦理文化土壤，在新时期重新提倡“文以载道”的中华传统，提炼出具有普遍解释力的核心概念（伦理选择、伦理意识、伦理环境等），构建了一套逻辑自洽的批评话语。该体系既能深入阐释中国文化独特的伦理内涵与审美特质，又能为世界文学批评贡献植根于中国智慧的分析视角与价值尺度，为构建立足本土、彰显民族特色的中国文学批评自主话语体系奠定了坚实的学理基础。

二、范式革命：“脑文本”与文学研究的数字人文转向

“脑文本”这一具有高度原创性和前瞻性的概念的提出，不仅是对传统文学研究中“文本中心论”与“语言决定论”的深刻挑战，更为文学研究开辟了一条融合自然科学、通向数字人文的跨学科新路径，体现了中国学者在理论前沿探索中的突破性贡献。

传统文学研究的核心对象是物质性的、外在于人的“文本”（书籍、手稿等）。聂珍钊教授指出，文学活动的最终完成在于读者大脑对物质文本进行解码、加工、重构后形成的内部表征形态——即“脑文本”。这一理论洞见将文学研究的重心从静态的客体文本，动态地转向了文本意义在人类心智中生成与演化的复杂过程。它揭示了文学接受绝非简单的信息复制，而是一个高度个体化、情境化、深刻依赖于接受者生理心理机制（尤其是大脑神经活动）的创造性建构过程。“脑文本”概念的提出使得文学和伦理研究从认知拓展到神经美学的实证领域与研究，通过探究文学审美体验的神经基础，以及文学阅读如何影响和塑造人脑的伦理认知神经回路，从而为文学的伦理功能以及文学伦理学批评的理论本体反向提供实证科学依据。

1 参见 杨革新：“从伦理批评到文学伦理学批评：美国伦理批评的困境与出路”，《上海师范大学学报（哲学社会科学版）》1（2019）：50-57。

该概念创新性地颠覆了文本中心论，宣告物质文本并非意义的唯一来源和最终归宿，并解构了语言决定论，提出符号的意义不在能指链中无限滑动，而是在脑文本的“伦理选择”中得以锚定。更具革命性意义的是该概念开启了学科融合的新纪元。由于聂珍钊教授提出的“脑文本”高度依赖个体的大脑结构、认知图式、情感状态、伦理观念和即时情境，文学的多元阐释现象获得了神经认知层面的科学解释基础。“脑文本”作为“生物活性物质”（聂珍钊 任洁 273），天然地架起了文学研究与认知科学、神经科学、心理学乃至人工智能等领域的桥梁。理解脑文本的形成机制，必然要求探究大脑如何处理语言、生成情感、进行伦理判断等深层问题。正是这一理论洞见，为文学研究的“数字人文”转向指明了方向。聂珍钊教授所开启的，并非仅仅是技术工具的应用，而是从理论根源上将文学研究的核心问题（意义生成与接受）与人类认知的生物学基础进行了对接，引领了一场深刻的范式革命。这一点“在AI时代，在跨学科联袂、跨越式发展的过程中”（陈众议 62），具有重要时代价值。陈众议教授在多个场合评价“脑文本”对于修正弗洛伊德从“性”出发的单向度精神（意识，尤其是无意识）阐释意义重大，认为“脑文本”说除了在文本理性生成层面可资探讨外，对于人类作为万物灵长的本能（或无意识、潜意识）研究具有启发性和开创性价值。¹

首先，“脑文本”不仅作为一个认知概念，更可以和当前的数字人文和脑科学等前沿医学技术高度结合。如对于脑文本的具体机制探寻，可以利用功能性磁共振成像（fMRI）、眼动追踪（Eye Tracking）、脑电图（EEG）等技术，捕捉读者在阅读作品时的生理反应与神经活动，尝试将审美体验转化为可观测的神经图谱，描绘“脑文本”生成的动态过程，揭示不同文本特征（如隐喻、空白、伦理冲突）如何触发特定的神经反应和认知加工路径。

其次，该概念可以通过跨学科的结构将情感计算与文学效果分析进行深度融合。未来研究可结合人工智能的情感分析技术，量化研究文本如何通过语言策略诱发读者的特定情感（如崇高感、悲悯感、恐惧感），并将这些情感数据与读者伦理判断、意义建构相关联，从而深化对文学审美体验和伦理教化功能的理解。在此基础上，可以进行认知建模与意义生成模拟，借鉴认知科学的理论模型（如具身认知、图式理论），结合自然语言处理和大数据分析，尝试在计算机上模拟读者基于文本符号生成“脑文本”的认知过程，探索意义生成的普遍规律与个体差异。

需要指出的是，聂珍钊教授的“脑文本”概念始终以人为本为主体，强调人的独立主体性。可以说，“脑文本”概念动摇了弗洛伊德以力比多为本原的无意识模型，把潜意识的根基从性冲动这一单一的生物本能，扩展为更复杂的“脑文本”。这一点在人工智能对人类智慧产生巨大冲击的背景下，对辨

1 陈众议教授在笔者主持的“中外人文经典‘悦’读”系列讲座上，在2025年7月19日国防科技大学举办的“AI赋能的外语学科研讨会”上，均表达了此观点。

析和维护人类知识的主体性尤为重要。

聂珍钊教授曾言：“我们今天在讨论文学的时候，必须从跨学科的角度，把文学同哲学、历史、政治、经济等各个研究领域结合起来，才能真正把文学的研究推向深入”（聂珍钊 任洁 425）。《语言、符号与脑文本概论》正是这一理念的卓越践行。它使中国学者跻身跨学科研究前沿，为解析人类精神活动的精微形态——文学——提供了革命性理论视角。

三、开放对话：理论体系的包容性与动态生长

《语言、符号与脑文本概论》所构建的文学伦理学理论体系摒弃封闭性教条，以强大的理论吸纳能力，积极接纳多学科及跨文明视角的修正、补充与拓展，为全球学术共同体中的中国话语建构提供对话基础。

这种开放包容的特质首先体现在其核心概念的延展性上。“语言”“符号”“脑文本”作为核心范畴，聂珍钊教授在著作中赋予了它们具有弹性的理论内涵，使其能够成为不同学科进行对话的共通平台。例如，“脑文本”作为认知产物，向神经科学、认知心理学、人工智能等学科提供了探究其形成机制的接口。这种主动寻求跨学科对话的取向，正是理论得以持续演进的内在动力。

其次，开放性表现为对多学科理论与方法的积极整合与吸纳。该理论体系本身就是在哲学（伦理学）、语言学、符号学、叙事学、心理学等多学科滋养下形成的。书中对脑文本的阐述，明确表示是借鉴了认知科学关于心智表征的理论。文学伦理学批评并不追求对文学现象解释的垄断权，而是乐见其核心命题（如伦理选择、意识活动、脑文本生成）在与其他学科的交叉互鉴中获得修正、验证、深化乃至挑战。例如，神经科学关于镜像神经元与共情机制的研究，可以为文学如何唤起读者伦理情感提供新的解释；人工智能在自然语言理解与生成方面的进展，可以为“脑文本”的模拟与建模提供新的工具和思路；社会学、人类学关于不同文化伦理观念的研究，可以丰富对文学伦理表达多样性及其社会背景的理解。聂珍钊教授的理论体系为此类跨学科对话构建了一个稳固而灵活的平台。

在近年来的学术文献中，这种融合的广度与深度益发显著，如尚必武基于文学伦理学批评，从科学选择与伦理选择的冲突视角，探讨了麦克尤恩的小说《像我这样的机器》中人工智能与脑文本之间的关系。¹ 尤为重要的是，这一理论体系展现出强大的跨文明对话潜力。近年来，文学伦理学批评获得海外学界的广泛关注与认可。诸多海外学者参与其中，投身于文学伦理学批评跨学科探索，使该理论发展为促进中西乃至更广泛文明间学术对话的有效方法论。

文学伦理学批评不仅为中国文学批评确立了基于伦理本体的自主话语，开

1 参见 尚必武：“科学选择与伦理选择的冲突：麦克尤恩《像我这样的机器》中的人工智能与脑文本”，《外国文学研究》5（2019）：61。

拓了融合自然科学与人文学科的数字人文新路径，更以其开放包容的特质，构筑了一个面向未来、具备强大生长潜能的理论体系。这种开放包容的特质，确保了文学伦理学批评理论体系能够持续更新，保持动态发展的活力。它避免了因自我封闭导致的僵化，并在与不同学科的互动中，不断发掘新的研究问题，优化自身的理论边界，吸收新的研究方法，从而维系理论的解释力与前瞻性。

综上，《语言、符号与脑文本概论》无疑是一部具有学术里程碑价值的理论著作。其价值不仅在于其深刻的理论洞见和原创性的概念贡献，更在于它为中国学者在全球化语境下，如何秉持高度的文化自信与理论自觉，发出原创性且能与世界平等对话的学术强音，树立了重要典范。它深刻启示我们：立足本土文化本体（伦理），融汇跨学科前沿（数字人文），保持理论体系的开放包容，是构建具有中国特色、中国风格、中国气派的哲学社会科学学科体系、学术体系、话语体系的必由之路。《语言、符号与脑文本概论》所开创的这条学术路径，必将汇聚更多学者投身其中，共同推动中国文学批评理论在新时代的繁荣与发展。

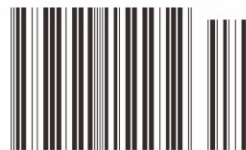
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