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“现代现实主义”的魅惑：蒋承勇现实主义研究的理论建构与方法论意义

The Allure of “Modern Realism”: Theoretical Construction and Methodological Significance of Jiang Chengyong’s Studies on Realism

曾照智 (Zeng Zhaozhi) 曾繁亭 (Zeng Fanting)

内容摘要：在中国新文学的语境中，现实主义既长期占据核心位置，又始终处于概念模糊与评价分歧之中。系统地梳理其诸多重要研究成果，不难发现，对现实主义问题的持续探究，不但是贯通蒋承勇先生近半个世纪学术生涯的一条主线，也是其学术风格与特色的鲜明标记。通过区分基于“摹仿说”的传统写实观念与在科学理性语境中生成的“现代现实主义”，他突破了将现实主义等同于表层再现的僵化理解，将其提升为一种具有现代性内涵的文学观念与认知范式。在研究路径上，他坚持从具体作家、作品出发，结合文学思潮史与自然科学史的跨学科视角，揭示了现代现实主义在19世纪现代文化结构中的生成机制及其内在张力。蒋承勇的现实主义研究不仅深化了对19世纪西方现实主义现代性的理解，也为中国现实主义文论的反思与重构提供了富有历史深度与现实指向的理论参照。

关键词：蒋承勇；现实主义；现代现实主义

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Title: The Allure of “Modern Realism”: Theoretical Construction and Methodological Significance of Jiang Chengyong’s Studies on Realism

Abstract: In the context of modern Chinese literature, realism has long occupied a central position, yet it has consistently been marked by conceptual ambiguity and divergent evaluations. A systematic review of Jiang Chengyong’s significant research on realist literature makes it clear that his sustained inquiry into the problem of realism is not only a central thread running through nearly half a century of his academic career, but also a distinctive hallmark of his scholarly style and intellectual orientation. By distinguishing the traditional realist conception based

on the theory of *mimesis* from the “modern realism” generated within the context of scientific rationality, Jiang breaks through the rigid understanding that equates realism with surface representation, elevating it to a literary concept and cognitive paradigm endowed with modernity. In terms of research approach, he consistently proceeds from specific authors and works, integrating interdisciplinary perspectives from the history of literary movements and the history of natural science, thereby revealing the mechanisms through which modern realism emerged within the modern cultural structures of the nineteenth century, as well as its inherent internal tensions. Jiang’s research on realism not only deepens the understanding of the modernity of nineteenth-century Western realism, but also provides a theoretical point of reference with considerable historical depth and contemporary relevance for the reflection upon and reconstruction of realist literary discourse in China.

Keywords: Jiang Chengyong; realism; modern realism

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在中国当代文学研究与文学理论的宏大图景中，“现实主义”无疑是一个在场感最强、却又最难以被简单定性的核心概念。“现实主义是在我国本土文学与文化领域传播最为深入而广泛的，但同时也是争议最多、内涵最具复杂性或多变性的文学思潮”（蒋承勇，《19世纪西方文学思潮研究（二）现实主义》1）。现实主义概念的复杂性首先体现在其充满张力的接受史上：一方面，自“五四”新文化运动以来，现实主义作为启蒙大众、改造国民性的重要思想资源被引入中国，并在随后的革命文学与社会主义现实主义时期被赋予了奠基性的正统地位，被视为中国新文学生成与发展的“源头活水”；另一方面，20世纪80年代以来，现代主义、后现代主义思潮的涌入，带来了本土文学观念的剧烈震荡，现实主义在这一历史进程中遭遇到很大程度的“污名化”——屡屡被指认为“过时”“保守”“陈旧”“贫乏”“无效”。¹在这种二元对立的激烈拉锯中，现实主义陷入了一种尴尬的悖论状态：它既未真正退出理论舞台，甚至依然占据着主流话语的中心，却又始终难以获得一个既符合文学内在规律、又具备当代解释力的稳定理论定位。始终绵延不绝、不

1 参见蒋承勇：《19世纪西方文学思潮研究（二）现实主义》，北京：北京大学出版社，2022年，第34-36页。

时激烈爆发的现实主义论争，呈现出一种“剪不断、理还乱”的理论困窘：它被反复言说，却似乎越说越不明晰；它被不断批判，却又像幽灵般无法绕开。纵观一百多年来中国新文学的演变轨迹，不难发现——现实主义堪称中国文学现代性进程中难以规避的一个元问题。

一、问题意识与“现代现实主义”命题的提出

对现实主义中国化过程中所遭遇的巨大悖论之清醒认知，乃是蒋承勇自20世纪80年代以来持续关注、深入研究现实主义问题的内在动力。此种清醒认知与其热诚的现实关怀初心相结合，便有了他贯穿近半个世纪的理论自觉与坚守。

现实主义概念的混乱，并不全然是其在本土传播过程中因误译误读乃至歪曲附会的结果。事实上，在其西方故乡的文化语境中，这一概念的内涵与外延也始终具有弹性。在与现代主义论战时，马克思主义批评家卢卡契（Georg Lukács）在《欧洲现实主义研究》（*Studies On European Realism*, 1964）等著述中着力捍卫现实主义的纯洁性，认为真正的艺术必然是现实主义的，他用现实主义成规否定现代主义的做法，显现了其现实主义观念的保守性¹；与之构成对照的是，另外一些马克思主义批评家则主张用无限扩大现实主义语义疆域——直到这个概念“无边”到能够容纳各种新的艺术经验——的方法来捍卫现实主义，这方面的代表人物是罗杰·加洛蒂（Roger Garaudy）。其在《论无边的现实主义》（*On Boundless Realism*, 1963）一书中坚称：作为“表现人在世界上存在的一种形式”（167），一切真正的艺术品都是现实主义的。因此，设若不能否认毕加索、卡夫卡的作品是艺术，则他们就必定是现实主义的。此等逻辑，事实上几乎是取消了现实主义。而作为一位对“主义”术语无兴趣的语文学家，奥尔巴赫（Erich Auerbach）的《摹仿：西方文学中现实的再现》（*Mimesis: The Representation of Reality in Western Literature*, 1942）阐发的是以“摹仿说”为内核的西方现实主义传统，但书中奥尔巴赫并没有详细或精确地界定什么是现实主义。在其表述中，从荷马到现代主义的普鲁斯特和詹姆斯·乔伊斯，更不用说19世纪后期的自然主义者左拉，这些经典作家似乎都是现实主义者；而西方文学的发展，很大程度上只不过是作家体察和再现生活世界的视角、手法有所不同。在谈到伍尔夫的《到灯塔去》时，奥尔巴赫写道：“有些作家找到了他们自己的（叙述）方法（……）他们中的每个人都以自己的方式寻找脱离外部现实的途径，其目的就是对现实做出更为多样、更关涉其本质的说明”（545）。显然，对奥尔巴赫来说，现实主义的焦点是人类生活的现实性与真实性，其基本文学观念乃是2000多年前亚里士多德所强调的那个命题——文学即对现实的摹仿或再现。

1 参见蒋承勇：《19世纪西方文学思潮研究（二）现实主义》，北京：北京大学出版社，2022年，第37页。

对于自己难以放下的现实主义问题，蒋承勇始终保持着一一种开放而又审慎的历史主义态度。他并未将现实主义视为一个可被一次性界定或封闭的静态文学范畴，也就不会满足于将其简化为某种特定的创作技巧或风格流派。相反，他明确将其理解为一个需要在历史变动、思想冲突与理论更新中不断重新加以阐释的动态问题。这一思想立场具有针对性——直接挑战了那种将现实主义本质化、教条化的倾向。事实上，作为西方的伟大文学传统，现实主义在西方语境中乃是一个趋向于“无边”的“常数概念”¹；作为“常数”概念，现实主义的核心内核乃肇始于柏拉图与亚里士多德的“摹仿说”。蒋承勇强调19世纪现实主义绝非古代“摹仿说”的简单延续，不能将其等同于那种基于朴素反映论的“写实”传统，在《19世纪西方文学思潮研究（二）现实主义》一书中，他明确指出：“作为一种文学思潮，19世纪西方现实主义显然不同于此前基于‘摹仿说’传统而具有写实倾向的‘现实主义’。如果说此前这种‘摹仿说’传统的‘现实主义’可以被称为‘摹仿现实主义’或‘古典现实主义’的话，那么19世纪现实主义则可被称为‘现代现实主义’”（49）。这一从奥尔巴赫、斯特林伯格（Roland N. Stromberg）、贝克（George J. Becker）等人关于“现代现实主义”（Modern Realism）表述中引申出来的界定，实际上为蒋承勇的整个现实主义研究奠定了根本的思想立场：现实主义不是一个僵死的历史标签，而是一种在特定历史进程中持续生成、不断变形且充满现代性张力的文学精神与理论系统。这一辩证的区分，不仅厘清了本身便多意的现实主义概念的边界²，更指出了19世纪现实主义的本质特征：它不再满足于对外部世界的镜鉴式模仿，而是试图借助科学理性的光照，深入到社会与人性的肌理内部进行解剖与分析³。正因如此，对现实主义的研究，绝不能停留在教科书式的概念界定层面，而必须回到充满生命力的文学作品本身，通过细读文本来把握其深层的精神结构与思想内涵。

二、现代现实主义的“现代性”

具有个人特色的问题意识与理论旨趣，使蒋承勇对现实主义与现代性的关系问题情有独钟，并构成了其现实主义理论研究的鲜明标记。从上个世纪末的“现代阐释”⁴到近年来“现代现实主义”概念的厘定，近半个世纪以来，蒋承勇对现实主义问题的研究矢志不渝，始终围绕现实主义的现代性品格做持续不断地深入阐发。基于大量作家作品研究的例证与文化比较研究的论证，他

1 参见曾繁亨：《文学自然主义研究》，北京：中国社会科学出版社，2008年，第16-19页。

2 蒋承勇认为“现实主义”这一术语具有多层次的丰富含义，它“既是特定历史时期的文学思潮概念，又是一种以写实原则为根基的创作倾向、创作方法或批评原则”。参见蒋承勇：“十九世纪现实主义‘写实’传统及其当代价值”，《中国社会科学》2（2019）：161。

3 参见蒋承勇：“自然科学与‘现代现实主义’——19世纪现实主义再阐释”，《社会科学战线》2（2022）：169-181。

4 参见蒋承勇：《十九世纪现实主义文学的现代阐释》，北京：中国社会科学出版社，2010年。

坚持认为现实主义本身就内含着深刻的现代性因素，它是现代性在文学领域的最早且最为深刻的展演。现实主义在科学理性精神的指引下，对人性观念的重塑、对社会结构运行机制的解剖以及对客观真理的执着探索，构成了现代文学得以生成的“前史”和基础。“19世纪现实主义文学的‘写实’精神与‘真实性’品格，以及作品中所展示的现实关怀与呈现的历史风格，已深深融入人类文学并成为其本质属性之一，是文学生命活力的重要泉源”（“十九世纪现实主义‘写实’传统及其当代价值” 159）。就此而言，现实主义当然就不是现代性的“过去时”，而是现代性展开过程中的关键环节与有机组成部分。这一判断拓展了现实主义研究的理论视域，使其不再停留于文学风格或创作方法的技术层面，而被提升到文学本体论的高度，成为理解现代文化结构与现代人精神处境的重要理论切口。

大致说来，蒋承勇对现实主义问题的高度关注可以上溯到20世纪80年代现实主义与现代主义的大论战。由此出发，既拒绝现代主义的大潮卷裹又不认同现实主义的正统僵化，他对现实主义问题的关注自始至终均聚焦于其现代基因的审视与辨析。在脱胎于其硕士论文的《十九世纪现实主义文学的现代阐释》一书的导言中，他对该书的要旨做了这样的说明：“在本书中，笔者既努力论证19世纪现实主义文学在文化基因上与现代主义的血缘关系，也客观地阐述19世纪现实主义文学中初露端倪的现代主义的美学倾向”（5）。在现实主义与现代主义关系问题上，蒋承勇既不认同将19世纪现实主义视为20世纪现代主义的对立面或被其超越的对象，也不接受那种用断裂的逻辑来理解文学史演进的简单叙述——即认为现代主义是对现实主义的彻底否定。在他看来，将文学史理解为由若干相互割裂、彼此替代的思潮构成（如浪漫主义取代古典主义，现代主义取代现实主义），这本身就是一种在简化处理中歪曲历史的叙述模式。文学思潮之间并非简单的“兴起-高峰-衰落-被取代”的线性更替关系，而更像是一种在继承、修正、对话与反拨中不断展开的复杂互动过程。正是在这一意义上，蒋承勇明确指出：“西方19世纪现实主义文学的‘写实’精神与真实性品格及其在作品中展示的现实关怀与历史呈现风格，已深深地融入人类文学并成为其本质属性之一，是人类文学之生命活力的重要源泉，也是马克思主义文艺思想的重要来源，具有艺术魅力与价值之永久性与永恒性。从这种意义上说，现实主义并没有过时且永远不会‘过时’”（《19世纪西方文学思潮研究（二）现实主义》 2）。这一掷地有声的论断，将现实主义从一个历史阶段提升为文学的本体属性，为其反对“现实主义过时论”提供了坚实的本体论与文学史依据。

事实上，蒋承勇从未否认现代主义文学对现实主义传统的挑战与革新。相反，他通过系统梳理现代主义批评话语，指出现代主义的诸多实验性创作实践与批评话语，恰恰是在与现实主义的持续对话中生成的。无论是意识流写作对心理真实的极致追求，还是新小说叙事视角的碎片化对世界复杂性的回

应，其深层动因都与现实主义在再现复杂现代经验方面所遭遇的内在张力密切相关。因此，将现代主义简单理解为对现实主义的“否定”，不仅忽视了文学实践的复杂性，也遮蔽了现实主义在现代文学生成中的基础性作用。在分析文学思潮的历史连续性时，蒋承勇尤其反对将 20 世纪现代主义与 19 世纪现实主义彻底断裂开来的表述。他坚称从来都不存在与传统彻底割裂开来的创新，“文学史的发展，不存在割裂传统基础上的纯粹‘创新’与‘先进’，而永远只是继承传统基础上的创新性发展与延续”（《19 世纪西方文学思潮研究（二）现实主义》2）。这一判断，不仅构成其现实主义理论建构的核心立场，也深刻影响了其对文学思潮史的整体书写方式。在这一框架中，现实主义不再是一个可以被轻易淘汰的历史阶段，而是一种持续参与文学演进、并在与其他思潮的博弈中不断更新自身的基本文学原则。

三、方法论鼎新：“自下而上”的路径选择

基于深邃的问题意识，蒋承勇在研究方法上进行了重要的范式转换。他并未沿用传统文学史教科书中常见的“流派-特征-代表作家”的线性叙述方式——这种叙述往往容易滑向一种简单的进化论逻辑；相反，他有意识地将研究重心前移，深入到现实主义概念本身的历史生成机制与文化语境之中。在特定的学术语境中，本土学界对现实主义的理解长期受到理论移植与话语功能化的双重遮蔽，往往被简化为一种写实方法或反映现实的文学原则，甚至被工具化为服务于特定社会政治目标的宣传策略。这种实用主义的理解，虽然突出了现实主义的社会功能，却在很大程度上遮蔽了其在 19 世纪西方文化结构中深厚的思想背景、复杂的人文意涵以及内在的现代性焦虑。基于此，蒋承勇的现实主义研究拒绝从抽象的先验理论预设出发，对丰富复杂的文学实践进行裁剪式或图解式的阐释，而是坚持一种自下而上的研究路径，将对现实主义的理论概括建立在对 19 世纪具体作家与作品细致的考察与深入的剖析之上，即坚持经由对作品所呈现出的精神困境、审美矛盾、叙事裂隙以及思想张力的细致文本分析，来剥离附加在现实主义之上的各种意识形态遮蔽，重新还原并理解现实主义的历史形态与理论潜能。在他看来，现实主义并非一种超历史的、固定不变的文学范式，而是在特定的历史文化条件下，由一系列作家在创作实践中不断试探、修正、突围而最终动态生成的文学形态。¹ 这一判断为其现实主义研究的方法论提供了内在的规定：现实主义研究若脱离开具体的作家与作品，则必然会因理论与实践的脱节而陷入概念自足的理论循环——作家作品不是用来印证既定理论的注脚材料，而是理论得以生成的逻辑起点。

“自下而上”的路径选择，并不等同于全景式的文学史铺陈。在上世纪

1 参见蒋承勇：《19 世纪西方文学思潮研究（二）现实主义》，北京：北京大学出版社，2022 年，第 537 页。

末叶的现实主义问题研究中,蒋承勇精准选择了司汤达、巴尔扎克、福楼拜、托尔斯泰、陀思妥耶夫斯基等一大批最具代表性的作家及其经典之作进行个案剖析¹,在系列定点“爆破”后再小心翼翼地做局部的概括性收结。这种选择并非基于文学史的“经典名单”排列,而是源于一个明确的问题意识:这些作家的创作实践,集中体现了19世纪现实主义所面临的共同精神困境。蒋承勇反复强调,他们并非仅仅致力于再现社会现实的表象,而是在理性、道德、自由与人性等根本问题上展开了持续而艰难的文学探索。例如,在对司汤达现实主义特质的阐发中,蒋承勇并未将其简单归入心理现实主义或性格描写的传统框架,而是着力揭示其作品中所呈现出的自由困惑。在拿破仑时代终结、旧有等级秩序崩解而新秩序尚未确立的历史间隙,个体获得了前所未有的行动自由,却同时失去了稳定的价值参照。这种自由并未带来预期的解放,反而转化为持续的内心焦虑与不安。于连的野心与毁灭,就绝非仅是个人的悲剧,更是现代主体在获得自由后陷入茫然无措的生存寓言。²“个人主义小说在司汤达的作品中增加了一个新的维度——捍卫个人的尊严与自由意志”(Winfried Engler 24)。正是在这一意义上,他才将司汤达的现实主义理解为一种对现代主体处境的早期揭示,而非单纯的社会写实。经由诸多经典作家作品的个案剖析,蒋承勇在《十九世纪现实主义文学的现代阐释》一书中逐步勾勒出19世纪现实主义的整体精神风貌:现实主义并非一个同质化的文学流派,而是一种在理性主义、人道主义与现代经验冲突中不断调整自身形态的文学实践;它既继承了启蒙运动所确立的理性精神,又在具体创作中敏锐地意识到理性本身的局限;既试图通过真实再现理解社会,又不断遭遇现实无法被整合的裂隙。由此,蒋承勇将19世纪现实主义理解为一种具有过渡性质的文学形态。他指出,这一时期的现实主义文学,一方面仍深植于传统的人文理想之中,另一方面却在无意中为现代文学的生成完成了“原始积累”。现实主义在其内部孕育的精神困惑、审美矛盾和思想裂隙,最终成为20世纪文学不断展开的重要资源。³

在西方,文学思潮研究历来是屯集研究力量最多的文学史研究的主战场,这方面的研究成果亦可谓车载斗量,汗牛充栋。与此相比,国内西方文学思潮研究的历史与现状则较为堪忧:西方文论研究与西方文学研究两条线脱节,文论研究者往往沉溺于观念的推演,文学研究者则习惯于以点为面,就作家谈作家,就作品论作品;而近几年受西方影响方兴未艾的文化研究,又大都停留于观念翻新的泡沫状态。经由对作家作品的细致重读,蒋承勇克服了现实主义研究中常见的两种偏向:一是将现实主义简化为技术层面的写实

1 参见蒋承勇:《十九世纪现实主义文学的现代阐释》,北京:中国社会科学出版社,2010年。

2 参见蒋承勇:《十九世纪现实主义文学的现代阐释》,北京:中国社会科学出版社,2010年,第383页。

3 参见蒋承勇:《十九世纪现实主义文学的现代阐释》,北京:中国社会科学出版社,2010年,第393-394页。

方法，二是将其凝固为某种规范化的文学模式。“自下而上”的路径选择，使其在具体文本分析的基础上，逐步提炼出具有概括力的理论判断，助其发掘出尚未被发现的现代现实主义文学的内在奥秘，达成对既有历史事实的穿透性理解，现实主义因此既保有了其历史具体性，又获得了理论开放性。理论阐发与文本分析紧密结合，既体现了理论性见长的特点，又以实例相印证不流于空泛。¹这种“从作品中生长出理论”的研究路径，使蒋承勇的现实主义文学研究获得了令人印象深刻的方法论标识。

四、跨学科阐发的范例：科学与现代现实主义

如果说在其上世纪末的早期研究中，蒋承勇主要是通过具体作家与作品的微观研究生成对现实主义之“现代性”的理论阐发，那么在《19世纪西方文学思潮研究（二）现实主义》一书中，他则进一步将研究视野拓展到文学思潮史或文学观念史的整体与宏观层面，达成了其现实主义理论建构的突破。在其近年发表的关于现实主义的大量成果中，不难发现：现实主义不再仅仅作为一组孤立作家的创作实践而存在，而是被置于19世纪乃至20世纪西方文学演进的历史长河之中，成为理解文学史连续性、变异机制以及现代文学精神谱系的重要枢纽。基于对文学史叙述逻辑本身的深刻反思，蒋承勇重新界定了现实主义在西方现代文学版图上的位置。这一成就的获得，很大程度上应归诸比较文学跨学科阐发的成功实施。

与传统研究往往局限于将现实主义理解为一种单纯的文学风格、修辞技巧或叙事方法不同，蒋承勇明确主张将现实主义置于19世纪整体的文化与知识结构之中加以考察。他敏锐地发现，19世纪被称为“科学的世纪”，自然科学的突飞猛进不仅改变了人类的物质生活，更深刻地重塑了人类的思维方式与感知结构。正是这种无处不在的科学理性，在塑造现实主义文学观念、认知方式和审美原则方面起到了基础性乃至决定性的作用。在这一宏阔的跨学科视角下，蒋承勇创造性地提出了以“现代现实主义”这一概念来重新界定19世纪现实主义的历史形态与理论内涵，从而完成了对现实主义现代性的知识考古。

如果说19世纪以前以“摹仿说”为传统的现实主义可以称为“古典现实主义”的话，那么，在科学精神浸润下产生的19世纪现实主义则可称为“现代现实主义”。现代现实主义作家为19世纪自然科学成就所鼓舞，并汲取其思想、理念与方法之精髓以滋养自身的文学创作。其中，科学类比与科学实证方法让现代现实主义作家把文学创作视作对人与社会的科学研究与实验，追求文学文本在科学意义上的“真实性”与“写实

¹ 参见蒋承勇：《十九世纪现实主义文学的现代阐释》，北京：中国社会科学出版社，2010年，第4页。

性”，从而全面改造了传统“模仿说”意义上的“古典现实主义”，达成了“现实主义”从传统到现代的转型。现代现实主义是19世纪自然科学在当时西方文学中结出的重大果实。（“自然科学与‘现代现实主义’”169）

这一判断具有理论魄力，它不仅为区分混淆已久的古典现实主义与现代现实主义提供了清晰的理论依据，更深刻揭示了19世纪现实主义的“现代性”本质——即它是一种在科学理性光照下生成的、具有现代知识型特征的文学形态。显然，科学视角的系统引入，已然构成了蒋承勇现实主义阐释体系中最具原创性与穿透力的维度。因此，现代现实主义从根本上来说乃是文学面对科学理性崛起与传统价值秩序崩塌的一种回应，也就合乎逻辑地成了其独特的现代现实主义理论建构中的重要命题。

在蒋承勇看来，19世纪自然科学对于文学的意义，并不仅在于细胞学说、进化论、能量守恒定律等具体知识成果的积累，更在于它所塑造的一种全新的世界观和理性风格。在这一时期，科学逐渐取代了宗教与形而上学，成为人类理解世界、社会乃至自我的主要认知框架；因果关系、历史进程、经验事实和实证方法，取代了神意与天命，成为判断真理的新标准。科学理性不再局限于物理、化学等专业领域，而是以一种总体性的文化霸权力量，强力渗透进社会生活的各个层面。文学，作为重要的人文实践形态，自然无法置身于这股时代洪流之外。作家们开始自觉或不自觉地运用科学的眼光去打量世界，试图让文学也能像科学一样，提供关于人类生存的确凿“知识”。在这一特定的文化语境中，现实主义的核心范畴“真实”悄然发生了深刻变化：“真实”，不再意味着对现象界外在在表象的逼真再现，而是指向对现实深层运行机制与因果律的理性揭示。蒋承勇指出，正是自然科学所强调的观察、分析、归纳和因果探究，使现实主义文学获得了一种前所未有的认识论合法性。¹

在阐发科学如何具体影响现实主义文学时，蒋承勇并未采用简单的反映论模式（即文学被动反映科学成果），而是精辟地提出类比方法作为连接二者的关键中介机制。他指出，自然科学并非以直接移植实验技术的方式进入文学，而是通过世界观与方法论层面的类比，对文学思维方式产生深层塑造作用。现实主义作家通过类比生物学家、解剖学家或医生的研究工作，将文学创作理解为对社会机体与人类行为的系统性观察和分析。这种类比赋予了文学以新的认知功能：它不再是虚构的谎言，而是关于社会的“自然史”。²在对巴尔扎克的阐释中，蒋承勇并未将《人间喜剧》视为简单的社会全景再

1 参见蒋承勇：《19世纪西方文学思潮研究（二）现实主义》，北京：北京大学出版社，2022年，第233-234页。

2 参见蒋承勇：《19世纪西方文学思潮研究（二）现实主义》，北京：北京大学出版社，2022年，第215-217页。

现，而是强调其背后所蕴含的结构性思维与科学分析精神。《人间喜剧》也非单纯的社会风俗画集合，而是在当时博物学（特别是居维叶与圣希莱尔的论争）和生物学思维的深刻启发下，将社会视为一个由不同类型、阶层和环境构成的有机整体；金钱逻辑在巴尔扎克笔下不仅是一种社会现象，更是一种渗透进人物性格、伦理选择和命运轨迹的内在机制。这种将人视为社会动物的冷峻视角，正是科学理性进入文学的直接体现。文学家就是社会领域的自然科学家，小说就是他们的实验室。现实主义在这里呈现为一种分析性的文学实践，其目标不在于复制现实表象，而在于揭示现实运行的深层规律。

通过对自然科学与现实主义关系的系统阐释，蒋承勇成功将现实主义问题从文学史内部的风格演变推进到现代性文化结构的深层生成机制层面。现代现实主义不再只是 19 世纪的一种文学样式，而被理解为现代社会在科学理性主导下，对“现实”“真理”与“人”的整体回应方式。在这一意义上，现代现实主义不仅是文学史现象，更是理解现代文化精神转型的重要切口。显而易见，蒋承勇的现实主义研究呈现出鲜明的综合性与跨学科特征——并非局限于文学史内部的风格演变或文本互涉分析，而是主动打破学科壁垒，引入科学史、思想史和文化史的广阔视角，将现实主义置于 19 世纪整体知识结构与理性风格之中加以考察，从而有效地避免了文学研究的内部循环，使现实主义不再是孤立的文学现象，而成为理解现代社会如何认识现实、如何建构真理的重要文化实践。毫无疑问，此种跨学科比较阐发，不仅大大拓展了现实主义文学研究的理论深度，也为当代文学研究如何回应跨学科问题、如何处理文学与外部世界的关系提供了一个杰出的范例：文学研究不应仅仅是审美的鉴赏，更应是文化的考掘与思想的对话。

五、蒋承勇现实主义研究的理论价值与启示

G.H. 刘易斯 (G. H. Lewes) 在 1858 年 10 月为《威斯敏斯特评论》(*Westminster Review*) 写的一篇文章中曾断言：“现实主义是一切艺术的基础，它的对立面不是唯心主义，而是无需证明的谬误”（转引自 Becker 6）。作为“一切艺术的基础”，现实主义绝非一个已然完成的封闭文学形态，而是一种始终处于历史生成过程中的、开放的文学问题。在蒋承勇看来，现实主义之所以在当代仍具有讨论价值，恰恰不在于它是否能够作为一种固定的、不可动摇的创作规范被继续沿用，而在于它是否仍然具备被不断重新理解、重新阐释并回应当代问题的理论活力。这让人想起布莱希特 (Bertolt Brecht) 的论断“现实主义不仅是文学的问题，它还是一个重大政治、哲学和实践问题，必须作为一项关乎人类普遍利益的问题加以研究和阐释”（转引自 Simon Dentith 39）。蒋承勇的现实主义研究堪称是对布莱希特这一深刻论断的绝妙注释。

蒋承勇的现实主义研究从未止步于西方文学史的梳理与阐发，而是始终具有强烈的本土关怀，深深地植根于中国新文学的创作实践与当代文论话语

的论争。他敏锐地意识到，现实主义在中国的传播与接受，绝非一个单纯的文学现象，而是与中国现代转型过程中对社会进步、民族救亡与文学功能的整体期待密切纠缠在一起的。这一深刻的历史洞察，源于其对这一时代进程的回溯：现实主义于“五四”前后传入我国，在此后相当长的时期内，由于本土特定的文化期待视野与社会政治情势等原因，影响力不断增强，其话语的内涵也不断变化。¹正是在这一特定的历史背景下，现实主义在中国获得了其“独尊”“至上”的正统地位，成了衡量文学价值的最高尺度；与此同时，它也不可避免地经历了观念的压缩、变形乃至异化。既不否认现实主义在中国新文学发展过程中的巨大历史贡献，也不回避其在特定话语实践中所暴露出的理论局限，这种辩证的态度，使其研究避免了简单的二元对立，显得更为厚重、公允。因此，蒋承勇的现实主义研究并非一种价值立场上的简单辩护或怀旧，而是一个具有鲜明反思意识与理论建构指向的创造性学术工程。在近期的系列论文与著述中，他反复强调：在网络化-信息化的新时代，我们有必要借助各种新理念、新方法和新手段对现实主义做深入的研究，从而为建构有中国特色的外国文学和文学理论学科体系、学术体系和话语体系提供理论和实践的支撑。²

总体观之，蒋承勇对现实主义研究，并非停留在概念史或流派史的表层梳理，而是始终将其置于文学史整体结构与中西文化碰撞的语境之中加以考察，现实主义因此不再被限定为某种固定写作模式，而被理解为一种不断调整自身以回应现实复杂性的开放性文学立场。就此而言，蒋承勇的现实主义研究，很大程度上为当代中国文学理论提供了一种重要的历史校准机制。它提醒研究者，任何试图超越现实主义的理论建构，都必须首先回应现实主义所提出的基本问题：文学如何认识现实？如何处理个体经验与社会结构之间的关系？如何在审美形式与认知功能之间取得平衡？这些问题并不会因为理论潮流的更迭而自动消失。在当今这个信息碎片化、真相后置的时代，坚持现实主义的求真精神与理性品格，显得比以往任何时候都更加珍贵。

蒋承勇的现实主义研究构成了一种独特的中介性理论实践：它既连接了19世纪西方文学与中国现代文学理论，也在不同学术传统之间搭建起持续对话的可能性。通过这一中介，现实主义不再是一个被固化的历史标签，而重新成为一个具有解释力与生长性的理论概念。他独辟蹊径的现实主义研究与秉有鲜明个人特色的现实主义理论建构，不仅为本土学界重新理解现实主义提供了坚实的方法论支持，也为当代文学研究如何处理“传统-现代”“西方-本土”的复杂关系提供了重要启示。尤为值得称道的是，其“现代现实主义”的

1 参见蒋承勇：《19世纪西方文学思潮研究（二）现实主义》，北京：北京大学出版社，2022年，第11-18页。

2 参见蒋承勇：《19世纪西方文学思潮研究（二）现实主义》，北京：北京大学出版社，2022年，第537页。

理论创新，不仅使现实主义重新获得了一种开放且富有弹性的理论定位，同时也绽放出重要的理论建构意义。蒋承勇从未满足于对过去的梳理，而更致力于展望未来。他认为，新时代的本土现实主义应当是一种能够平衡理性与感性的“新形态现实主义”——既富有理性规约，又不无感性浸润的开放性，既不像伪现实主义那样排斥现代主义的技巧，也不像后现代主义那样消解深度与意义。¹

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1 参见蒋承勇：“十九世纪现实主义文学的‘写实’传统及其当代价值”，《中国社会科学》2（2019）：178。

领域开拓与话语革新：蒋承勇的跨学科研究实践

Field Expansion and Discursive Innovation: Jiang Chengyong's Interdisciplinary Research Practice

王一平 (Wang Yiping)

内容摘要：20 世纪中期，英国学者斯诺提出了“两种文化”——科学文化与文学文化之间分裂的问题。在对著名的“斯诺问题”的回应中，蒋承勇自 20 世纪 80 年代起就自觉引入系统论、心理学等相关知识和方法，将 19 世纪经典文学置于多学科中加以考察，通过对经典文本的重新阐释，拓展研究领域，推动研究范式更新。蒋承勇强调 19 世纪作为“科学世纪”的时代特征，揭示自然科学的理性精神、实证方法和类比思维等如何影响现实主义文学等的“写实”与“求真”，阐明科学进步、文学思潮与小说兴盛之间的内在关联和影响机制。蒋承勇以“人学”为统摄，结合生物学、心理学等现代科学成果，考察“人”的生成与演变，尤其关注 19 世纪“人”被纳入科学话语后的深刻转型，并由此深化对现实主义、自然主义文学等的研究。在学术实践层面，其通过心理结构分析、系统论模型和文化人格研究等，对司汤达、巴尔扎克、歌德、拜伦等重要作家和作品人物作出了新的阐释。蒋承勇以系统性、跨学科研究为特色，拓展了 19 世纪西方文学研究的学术空间，为 19 世纪经典文学研究提供了新的理论框架，推动了其研究范式与学术话语的深度革新。

关键词：19 世纪文学；跨学科；文学思潮；人学；蒋承勇

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Title: Field Expansion and Discursive Innovation: Jiang Chengyong's Interdisciplinary Research Practice

Abstract: In the mid-twentieth century, the British scholar C. P. Snow raised the issue of the divide between scientific and literary cultures. In response to this well-known “Snow Problem,” Jiang Chengyong has, since the 1980s, consciously incorporated concepts and methods from systems theory, psychology, and related disciplines, situating nineteenth-century canonical literature within a multidisciplinary framework. Through renewed interpretations of classic texts, he has expanded the scope of research and promoted paradigm shifts in literary

studies. Emphasizing the historical character of the nineteenth century as an “Age of Science,” Jiang elucidates how the rational spirit, empirical methodologies, and analogical modes of thought of the natural sciences shaped realism’s mimetic and truth-seeking orientations. He further clarifies the intrinsic connections and mechanisms of influence linking scientific progress, literary movements, and the rise of the novel. In methodological terms, Jiang adopts the study of the human as a unifying framework, integrating modern scientific findings from biology and psychology to examine the formation and transformation of “the human,” with particular attention to the profound changes that occurred when the human was incorporated into scientific discourse in the nineteenth century, thereby deepening the study of realism and naturalism. At the level of scholarly practice, Jiang employs psychological structural analysis, systems-theoretical models, and cultural personality studies to offer new interpretations of major writers and literary figures, such as Stendhal, Balzac, Goethe, and Byron. Characterized by systematic and interdisciplinary research, Jiang Chengyong’s scholarship has broadened the academic horizon of nineteenth-century Western literary studies, provided a new theoretical framework for the study of canonical literature, and achieved profound innovations in both research paradigms and scholarly discourse.

Keywords: nineteenth-century literature; interdisciplinarity; literary trends; the study of human; Jiang Chengyong

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英国小说家和科学家 C.P. 斯诺 (Charles Percy Snow) 在 1959 年的演讲“两种文化和科学革命” (“The Two Cultures and the Scientific Revolution”) 中, 提出了著名的“斯诺问题”, 即“科学文化” (scientific culture) - 科学家和“文学文化” (literary culture) - 人文知识分子之间出现的偏见和分裂, 如非科学家认为科学家抱有一种浅薄的乐观主义, 没有意识到人的悲剧性处境; 而科学家则认为文学知识分子缺乏远见, 在深层意义上反知识等。¹ 在人文学界, 虽然斯诺提到的教育分科“专门化”等原因确实一定程度上带来了人文学者对科学文化的某些误解, 但当代学者已经意识到了此类问题, 并对此进行了富有意义的反馈: 在坚持人文理念的批判性和学术研究的严谨性基础上, 众多学者尝试吸收诸学科的知识与方法, 将之合理地运用于相关研究之中。在

1 参见 C. P. 斯诺: 《两种文化》, 纪树立译, 上海: 生活·读书·新知三联书店, 1994 年, 第 4-5 页。

文学界,如在19世纪西方文学研究这一重要领域——19世纪也正是所谓的“科学世纪”的时代——就出现了引人注目的跨学科研究成果。其中,蒋承勇于1980年代在《外国文学评论》发表的“以系统的自组织原理看于连性格的自在性与自主性”,就已经秉持了跨学科研究的思维,吸收了控制论、系统论、信息论的方法,运用如心理学等多学科知识,对19世纪的经典作品《红与黑》的主人公于连复杂的内在心理进行了分析¹,由此也开启了其对文学思潮中的两种文化、人学研究中的多学科等的长期探索。由此,蒋承勇借助跨学科研究方法等,通过理论思辨、现象分析和作品探讨,完成了对19世纪经典文学这一领域的研究拓展、学术范式更新。

一、总体视域：“文学思潮”中的文学与科学

19世纪西方经典文学作品是学界常研常新的重要研究对象,其价值和热度始终未曾衰减。但在1980年代的中国学界,其也面临着研究范式转变、学术话语革新的重大时代需求。而蒋承勇从“文学思潮”的角度对这一时期的作品展开了深入考察,体现出强烈的系统性、比较性和多学科融合的意识,由此为经典作家作品研究创造了新的学术增长点。蒋承勇赞赏丹麦文学史家、批评家勃兰兑斯(Gerog Brandes)的《19世纪文学主流》(*Main Currents in 19th Century Literature, 1872-1890*),曾在论文中引用该书前言:“如果从历史的观点看,尽管一本书是一件完美、完整的艺术品,它却只是从无边无际的一张网上剪下来的一小块。(……)要了解作者的思想特点,又必须对影响他发展的知识界和他周围的气氛有所了解”(蒋承勇,“跨文化”126)。蒋承勇认为,《19世纪文学主流》的重要优点在于其能够对19世纪文学思潮在欧洲各国体现出的不同风格与特点加以分析,归纳提炼出共同特征和规律,由此得以真正勾连起这一时期的诸多经典作家、作品,即该论著,以其系统性和综合性克服了文学史中常见的“简单依序罗列”、“机械设定标签”等弊病,此种研究方式显示了研究的“系统的组织的机制”。²这种内在的“系统”与“比较”意识也使《19世纪文学主流》成为比较文学的早期经典之作。事实上,蒋承勇的著作《19世纪西方文学思潮研究(现实主义)》及诸多相关系列论文,也体现了这种史论相结合的学术志趣。当然,勃兰兑斯的研究具有跨国家、多语言的比较观念,而蒋承勇则更多地体现出重思潮、跨学科的融合意识。

在19世纪,工业革命持续推进,如进化论的演进、细胞学说的创立、能量守恒定律、化学原子论和周期律的发现、电磁理论的完成,以及电器时代的到来等³,都使得19世纪成为名副其实的“科学世纪”。而这一时期

1 参见蒋承勇:“以系统的自组织原理看于连性格的自在性与自主性”,《外国文学评论》2(1987):122-127。

2 参见蒋承勇:“跨文化与跨学科:西方文学思潮研究的双维拓展”,《探索与争鸣》6(2022):124-126。

3 参见侯福龙编著:《19世纪科学发展》,济南:山东科学技术出版社,2017年,第1-47页。

风起云涌的文学潮流也显然与科学、技术文明的发展有着千丝万缕的联系。然而，在以往的诸多研究中，19世纪的科学发展虽然被视为重要的时代背景，但这种背景如何具体地进入文学创作中，却缺乏较为细致清晰的论证。而蒋承勇则在宏观-微观两个层面对此进行了合理推演。对于社会总体思潮、自然科学的进展如何转化为文学思潮，又如何体现在创作中的机制，作了富有解释力的说明。正如美国学者瓦特（Ian Watt）在《小说的兴起》（*The Rise of the Novel*, 1957）中以笛福、理查逊、菲尔丁等18世纪作家为例，说明了近代个体经验成为现实的最终仲裁者¹，“个人主义”、读者群体与印刷商业等的发展促成小说成为表现现代个人的合适形式，蒋承勇也以左拉、狄更斯、巴尔扎克等为例，对科学繁荣和写实小说兴盛之间的影响关系及其机制进行了深入探索。蒋承勇指出，在19世纪，理性和科学成为人类本性和力量的重要体现；科学表征了人类对自然的内在本质和规律的把握。尽管存在着如浪漫主义等对此有着较强反思意味的潮流，但科学崇拜之风相当盛行，人们纷纷力图用科学理念与方法去研究人类所面临的一切现象和问题，科学方法的运用也超越了科学领域，观察、推理与实验等相结合的科学方法被运用到各个领域，经验主义的实证方法冲击了形而上的思辨传统。具体而言，跨学科的“类比方法”在文学创作和研究中产生了重要影响。²典型者如奥尔巴赫所指出的，巴尔扎克在《人间喜剧》的前言中以对动物世界和人类社会的比较开始阐释自己的作品，如比较了士兵、工人、官员、律师之间，以及他们与狼、狮、驴、乌鸦等的区别，即试图用生物学的类比法解释他对人类社会的看法。³也正是这种具有科学色彩的类比思维和分析逻辑，使得巴尔扎克小说中的人与环境形成了密切关系，人被难以抗拒的环境或“物”所包围：“人物性格与灵魂因环境的不同而不同，环境对性格与灵魂质量的优劣具有决定性作用”（“‘科学的世纪’与文学”87），由此造就了其作品的基本观念和特色。

同时，蒋承勇强调“求真”是一种科学追求，而随着科学主义的发展和渗透，文学对真实性的追求也达到了前所未有的程度。在其它艺术门类——如视觉艺术中，能够忠实准确地（观察）记录实际场景、人物的“摄影术”的发展也促使（真实的）“视觉性”成为现实主义小说的关注焦点。⁴如学者布鲁克斯（Peter Brooks）所言，现实主义文学重视视觉性。视觉性以对社会和

1 参见伊恩·瓦特：《小说的兴起：笛福、理查逊和菲尔丁研究》，刘建刚、闫建华译，北京：中国人民大学出版社，2020年，第7页。

2 参见蒋承勇：“‘科学的世纪’与文学的特质——科学与现实主义‘求真’之关系考论”，《外国文学》4（2022）：84-86。

3 参见埃里希·奥尔巴赫：《摹仿论——西方文学中现实的再现》，吴麟绶、周新建、高艳婷译，北京：商务印书馆，2016年，第560-561页。

4 参见蒋承勇：“‘科学的世纪’与‘小说的世纪’——自然科学与现实主义小说之关系考论”，《学术研究》4（2022）：157。

生活的细致观察为前提，并将其科学实证式的观察结果演绎为文学作品。尽管小说本身是一种审美式的艺术创造而非对生活现实的实验报告，但读者确实是通过这种以实证性的视觉观察形成的文本来理解人类社会、大千世界。¹而且，这种视觉性的观察不能停留在表面，而更是一种对某种规律或本质的深刻洞察。²因此，“求真”精神成为主要的人文潮流，诸多作家也像科学家那样去研究并认识生活、社会和人，力图再现社会和生活的真实状况。³而小说（尤其是具有现实主义风格的作品）作为这一时代能够最真实、深刻、广泛地反映社会生活的文类，最好地顺应和满足了此种时代心理和要求。所以，在对科学精神、方法和知识的吸收中，19世纪的众多作家以“求真”之精神、“类比”等方式，把自然科学的知识运用于文学创作之中，大力扩展了小说的题材领域和知识内容，使得作品具有前所未有的科学理性特征。而作为典型地体现了此种思潮的“现实主义文学”，也“使文学空前地贴近了现实生活和生活中的人；科学方法与理念也使现实主义文学本身奇特而空前地拥有了社会研究的实证性求真之特征”（蒋承勇，“‘科学的世纪’与文学”86-89）。而伴随着源自新科技的印刷技术、图书出版等新媒介的迅速发展，现实主义小说也随之繁荣。当然，蒋承勇也指出了此种具有类比色彩的“写实”“求真”的局限性。许多19世纪作家接受了代表时代精神的科学观念和方法，却并未认识到科学和文学尽管有互通之处，但文学艺术却并非以求真为目标。文学作品虽然可以采用实证和逻辑演绎的方法，但其方式是描述的、想象的、感性的，不可能脱离想象与虚构；而且其最终目的是“求美”，获得审美价值。⁴由此，蒋承勇完成了对从科学革命-社会思潮-文学创作-文学潮流的发生、发展、演化的具体过程的推演，合理解释了19世纪同时成为“小说世纪”和“科学世纪”的内在因由；也以其宏阔的视野、充分的理论自觉、缜密的考证和合理推演，破除了“斯诺问题”中两种文化的隔阂，积极推动了19世纪经典研究的范式转换和话语革新。

二、研究路径：以“人学”统摄跨学科研究

在21世纪的今天，随着科学和技术的发展，尤其是由于人工智能等相关技术的飞速发展，人类社会也进入了自19世纪的工业革命、科学革命之后的又一大根本性变革时期。而在学界，也形成了极受瞩目的所谓“后人

1 参见蒋承勇：“科学精神催生‘写实’‘求真’的现实主义”，《社会科学报》2022年5月5日，第005版。

2 参见蒋承勇：“科学与文学理念之现代性转型——现实主义‘写实’特质成因考论”，《社会科学》11（2021）：176。

3 参见蒋承勇：“‘科学的世纪’与‘小说的世纪’——自然科学与现实主义小说之关系考论”，《学术研究》4（2022）：155-156。

4 参见蒋承勇：“‘科学的世纪’与文学的特质——科学与现实主义‘求真’之关系考论”，《外国文学》4（2022）：92-94。

类”(posthuman)问题。然而,理解该现象或论域的核心症结还在于,“后人类”之中所谓的“人”及“人文主义”等究竟为何。或者说,要探索所谓的“后人类”,即“人类之后”的未来前景问题,首先仍要厘清其所针对的对象,即“人”究竟何为。因此,重新思考与理解近代以来的“人”,便具有极为重要的价值。19世纪也是“人”被发现、发明的世纪。福柯(Michel Foucault)在《词与物》(*Les Mots et les Choses*, 1966)中指出,在19世纪,“人”成为“依据经济学、语文学和生物学的法则而生活、讲话和劳动的个人”(314)——一个由劳动、语言、生命的交叉组成的复合体。“生命哲学把形而上学揭穿为幻想之幕”(福柯 321),“人”被纳入科学的知识体系和话语之中,变成了可以分析、检验的实体,被“发明”为科学的对象。而蒋承勇在学术研究中最为关注的方面,正在于所谓的“人”的产生、发展、前景等,尤其关注19世纪的“人学”转变。

蒋承勇的《西方文学“人”的母题研究》囊括了从古希腊-罗马文学到20世纪的西方经典著作,但并未局限于对作家、作品的评介和分析,而是以最关键的基本问题即“人”的演变为核心,从“文学是人学”、“文化-文学-人”的一体性展开关于“人”的文学研讨。《西方文学“人”的母题研究》从人的欲望与理性的对立与互补谈起,由中世纪、文艺复兴、古典主义、浪漫主义时代以来人对上帝的追寻、向自然和感性世界的迈进,以及向理性世界的退守和上帝的失落等,对西方文学潮流和经典作品进行了统贯性的研究。在科学时代以后,人的“生产”、研究的视角确实发生了重大变化。比如在该著作的第一章,作者虽然由对《圣经·创世纪》的讨论开始,却并未局限于常规的对“禁果”的基督教文化意义的阐释,而是由对动物的生物心理机制的说明,提出了人类独特的文化心理结构,从解剖学、考古学对人脑的研究和发现等展开论说——由于人类脑容量的增加,脑结构如前额区的进化等,人出现了如猩猩等并不发达的新皮质;人由高度发达的额叶组成了大脑的特殊结构:语言中枢区、大脑皮层第二机能联合区、第三技能联合区,这也是人类的心理、意识等得以产生的物质基础——正是在此基础上,发生了由动物心理结构到人的文化心理结构的发展和变化。¹因此,蒋承勇吸收了现代社会对“人”的科学化研究的成果,并将之融入人文学科观察中,展开了人类文化心理结构和文化创造的关联的重要研究。

此外,蒋承勇也强调了现代“人学”对文学和科学的统摄及其在文学中激荡出新潮流:文学是“人学”意味着文学是对个体感性生命的关照和关怀,而作为现代“人学”的基础学科,生理学也是以体现为肉体的个体生命为研究对象;19世纪中后期生理学等的诸多重大发现和假说产生了广泛的社会文化反响,如血肉、神经、能量、本能等对人进行描述的生理学学术语成为人们耳熟能详的语汇,一种新型的现代“人学”在生理学发现的

1 参见蒋承勇:《西方文学“人”的母题研究》,上海:华东师范大学出版社,2018年,第10-11页。

推动下形成；而西方文学和现代生理学等在“人”身上的交汇，则形成了自然主义文学运动。¹由此，蒋承勇进一步从“生物的人”等视角对左拉等有代表性的自然主义作家进行了历史考察，包括左拉对达尔文的《物种起源》和其他遗传学理论的大力吸收和演绎等，并深入探讨了“把人还原为生物”的思潮，解释了“人的生物性”带来的非道德化倾向以及对未来20世纪文学的非理性主义的催化。除此之外，《西方文学“人”的母题研究》也关注到了柏拉图、亚里士多德、赫胥黎等对动物的论述，在探讨巴尔扎克等作家时也从其受到动物学的启发而展开。而在“人的定位”部分，作者也用具有张力的动物和上帝视角来理解“人”，如从尊严、野性等角度探讨“人是‘虫’？”“人是‘兽’？”²总之，蒋承勇在文学研究中对科学主义的关注，呼应了福柯提出的人被生命、劳动、语言的相关科学捕捉的知识型转折，体现出文本内外结合的跨学科研讨思路，丰富和深化了相关研究。

因此，如布拉伊多蒂（Rosi Braidotti）等学者在后人类问题上强调其所针对的是传统或经典的“大写的人”（33），即一个“代表了正态、常态和规范性”、“通过将作为人的具体模式转化为一个一般化的标准”的人（36），而蒋承勇的“人学”中的“人”及其所强调的方面则与这种不变的、排他的“人”颇为不同。蒋承勇的研究首先就在于对“人”的转变、人的多面性的强调，其次是对人文主义中有价值的面相的肯定，如对人的生命意志、自然欲求等的承认，再次则是强调变化中的人这一形态的延续性而非断裂性，包容性而非分裂性。蒋承勇的文学研究中的人与后人类学者们所抨击的“标准的人”并非完全是同一种“人”，而是有所错位、各有重点。因此，在当代的“后人类”理论热潮中，蒋承勇所代表的经典研究对于学界回到基本的“人学”问题，锚定价值基点、厘清相关概念等，具有重要的价值。

三、学术实践：跨学科研究的多学科展开

蒋承勇不仅在理论上提倡跨学科研究，还自觉运用多学科的知识和方法开展了丰富的学术实践。自1980年代以来，他对司汤达、巴尔扎克、狄更斯、福楼拜、劳伦斯、塞万提斯、歌德、莎士比亚、拜伦、易卜生等的作品展开了研究，并体现出了对心理学的高度关注和运用。早在1987年，他借助系统论“自组织”的思路，把于连的性格元素列为“确立自我、刚强坚毅、向往民主、自尊、反抗、虚伪、雄心勃勃与野心勃勃”，并将之按三个等级层次进行组合：由确立自我而发展出刚强坚毅、向往民主，进而发展出其他层次。³于连的个性正是在内

1 参见蒋承勇：“‘重返19世纪’与外国文学研究话语更新——以西方文学思潮研究为例”，《浙江社会科学》10（2021）：137-138。

2 参见蒋承勇：《西方文学“人”的母题研究》，上海：华东师范大学出版社，2018年，第371-381页。

3 参见蒋承勇：“以系统的自组织原理看于连性格的自在性与自主性”，《外国文学评论》2（1987）：123。

部束力和外部环境迫力的共同作用下进行自组织的过程中逐步形成的，而“以任何复杂形式和复杂程度为初始状态，一个系统会使自身复杂化，以适应来自环境的输入”（“以系统” 124），随着三次重大的环境变化，于连的心理结构也发生了变化，反抗性元素成为对整个系统起控制作用的元素，造成性格系统的崩溃，也造就了故事的最终结局。这一视角非常具有启发性，为理解于连这一典型的复杂人物提供了新思路。1991年，蒋承勇在论文“审美心理机制的差异性与反映生活的不同取向——对十九世纪现实主义的认识”中指出，以往对批判现实主义作家的研究过于强调外部因素，而很少从内在心理因素的视角去挖掘作家的创作个性。¹此后，蒋承勇又在“《人间喜剧》：物质世界后面还有一个心灵世界”中借助荣格的“图式”和巴尔扎克本人的经历和其投射出的时代精神，对其美学特点进行了辨析，提出他具有外向型审美心理机制，因此展现出独特的深刻性。²而在“狄更斯的心理原型与小说的童话模式”中，蒋承勇则指出狄更斯带有儿童心理特征的主体心理原型过滤了19世纪的英国社会，在作品中形成了一种独特的主观表现性。³同样，在“浮士德与欧洲‘近代人’文化价值核心”中，蒋承勇也从内在精神世界的角度分析了歌德及其笔下的浮士德，指出歌德既要挣脱宗教规范的约束，也要摆脱世俗生活的束缚，体验生活的欢乐与悲苦，浸泡在庸俗乃至鄙俗之中，体味多姿多彩的人生体验；不可遏制的生命意志和自然欲求推动着歌德并造就了他复杂的人格，使其创造出浮士德这一充满自然欲望而又充满内在矛盾的欧洲“近代人”典型。⁴而在“‘拜伦式英雄’与‘超人’原型——拜伦文化价值论”中，蒋承勇也关注了拜伦的心理秉性，激情、放纵与“自然人”的心理秉性使拜伦采用了无拘无束的情感生活方式，自尊、反抗、狂暴等秉性使他憎恶一切压制人性的外在权威和社会制度，反抗与“自然人”秉性使他性格率真、蔑视虚伪的道德，而仇恨、狂暴、孤傲的秉性使他在反抗强权、企求人类之爱时，又在孤独无助时产生极端的恨，陷入悲观与绝望——三重心理秉性互相关联、制约，共同作用决定了拜伦的文化人格。⁵因此，蒋承勇对作家、作品人物的心理人格等的聚焦性关注，其不同于传记式研究的独到分析，为学界提供了理解这一时期经典作品的跨学科新视角。

1 参见 蒋承勇：“审美心理机制的差异性与反映生活的不同取向——对十九世纪现实主义的认识”，《社会科学战线》1（1991）：320。

2 参见 蒋承勇：“《人间喜剧》：物质世界后面还有一个心灵世界”，《社会科学战线》4（1992）：288。

3 参见 蒋承勇、郑达华：“狄更斯的心理原型与小说的童话模式”，《杭州师范学院学报》1（1995）：73。

4 参见 蒋承勇：“浮士德与欧洲‘近代人’文化价值核心”，《外国文学评论》2（2007）：116-117。

5 参见 蒋承勇：“‘拜伦式英雄’与‘超人’原型——拜伦文化价值论”，《外国文学研究》6（2010）：57。

此外，蒋承勇还关注因自然科学的发展带来的“求真”“写实”潮流之中，文学理论的相应发展，其中较为典型的有对法国文艺理论家丹纳(Hippolyte Taine)的探讨。丹纳深受19世纪自然科学的影响，他认为艺术家不是孤立的个人，各类艺术只能在特定的精神环境中才能产生，正如“从南方向北方出发，可以发觉进到某一地带就有某种特殊的种植，特殊的植物”，而这种繁育植物的不同“地域”，“相当于我们在另一方面所说的时代精神与风俗概况”（“艺术品”464）。从这一角度看，“美学本身便是一种实用植物学”，因此人们要像研究植物一样研究美学——这表现出了“精神科学与自然科学的日益接近的潮流”（丹纳466）。也可以说，正是由于吸收了自然科学的实证性方法和解释机制，丹纳提出了著名的“种族”“环境”和“时代”三要素说。对此种理论，蒋承勇也以一种符合科学观念的实验方法——对理论加以实践检验方式的测试其合理性。蒋承勇从丹纳的视角还原了19世纪现实主义文学思潮产生的时代及其风尚：在三要素中，种族和环境是相对稳定不变的，而时代既是指文学外部的社会精神气候，也指文学内部的传统，这两者变动不居，会使不同国家的文学“忽而发展理想的精神”（如浪漫主义），“忽而发展写实的精神”（如现实主义），并产生不同的“艺术宗派”（如文学思潮的更迭）。而从时代与文学的关系来看，也正是19世纪欧洲特定的科学精神与时代风尚，造就了为数空前的现实主义作家，并汇聚成了现实主义文学思潮。¹由此可以看出，丹纳的三要素说虽然无法解释所有文学现象，但在一定程度上显然是具有说服力的。

蒋承勇自1980年代以来就深耕于19世纪西方文学经典研究领域，其主要的学术特色十分鲜明：一是进行文学总体研究的系统性。蒋承勇的研究体现出明显的总体观照和系统研究的学术自觉，尤其体现在即使是在探讨个别作家、阐释具体作品时，其始终彰显出内在的文学史意识，即其始终将作家、作品置于错综复杂的文化网络、文学潮流中的某个节点或位置，在此基础上对其进行合理的分析和评价。而此种学术意识或许与蒋承勇也编写了多部有影响力的外国文学史教材有关：如《英国小说发展史》《西方文学名著导引》《外国文学教程》等。如其所指出的，各类文学史往往呈现为作家列传和作品介绍，缺乏有深度的阐释，同时存在用狭隘的文学史观去论定作家、作品的现象²，而蒋承勇则以其总体性的宏观视野，用将思潮和作家、作品研究紧密结合的方式，对19世纪经典研究进行了开拓和深化，可以说以实践完成了学界倡导的“重写文学史”。二是开展跨学科研究的引领性。近年来，随着人文学科和自然科学、人文学科内部的持续交流与融合等，跨学科研究受到了学

1 参见蒋承勇：“科学与文学理念之现代性转型——现实主义‘写实’特质成因考论”，《社会科学》11（2021）：175。

2 参见蒋承勇：“总序”，《19世纪西方文学思潮研究（现实主义）》，北京：北京大学出版社，2022年，第7页。

界的高度重视，而蒋承勇是其中重要的先行者。蒋承勇曾提出“现实主义研究之十大问题”，第一条即为“现实主义与自然科学”¹，可见其对学科交叉现象的深刻观察和高度重视。而蒋承勇不仅在观念层面提出此类问题，也在具体的作家研究、作品阐释中充分运用跨学科研究方法：在共同的人学关注、共通的思想源流之下，其运用了心理学、生物学、哲学等相关知识展开研究。蒋承勇既有力地打破了斯诺所提出的“两种文化”的隔阂，也完成了对19世纪经典研究的传统话语、范式的革新，以其长期的实践为建构原创性的学术话语体系作出了重要贡献。

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观念·方法·体系：西方文学人学思想研究的中国范式

Concept, Method, and System: A Chinese Paradigm for the Study of Anthropological Thought in Western Literature

肖丽华 (Xiao Lihua)

内容摘要：在我国西方文学研究领域，蒋承勇对“文学是人学”这一命题作了系统而深入的探索。他以人的母题为线索阐释西方文学传统，提出具有学术史意义的总体构想：以两希文化为深层结构，围绕原欲/理性的互补关系，并在连续与变奏的历史视野中贯通西方文学的发展阶段，系统追踪“人”的观念演变。在研究方法上，他建构出“文学人类学”的分析框架，并与思想史等领域的研究相互印证，在此基础上提出“以人性观念为纲”的文学史书写路径，将西方文学史呈现为西方社会人文精神的发展史。其研究彰显出中国学者在西方文学人学思想研究中的原创视角与学术范式。

关键词：蒋承勇；西方文学；人学思想；两希传统；文学人类学

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Title: Concept, Method, and System: A Chinese Paradigm for the Study of Anthropological Thought in Western Literature

Abstract: Taking “the human” as a guiding motif, Jiang Chengyong interprets the Western literary tradition and advances an overarching framework of historiographical significance: he posits Greco-Hebraic culture as a deep structure, foregrounds the complementarity of desire and reason, and, through a lens of continuity and variation, traces the evolution of ideas of the human across major stages of Western literature. Methodologically, he develops an analytical framework of literary anthropology in dialogue with intellectual history and related fields. On this basis, he proposes a mode of literary-historical writing organized around conceptions of human nature, presenting Western literary history as the development of humanistic spirit in Western society. His work exemplifies the original perspectives and scholarly paradigms Chinese scholars bring to human-centered approaches in Western literary studies.

Keywords: Jiang Chengyong; Western literature; anthropological thought; Greco-Hebraic cultures; literary anthropology

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钱谷融提出的“文学是人学”的观点，被视为当代中国文学研究的重要理论命题，尤其是这一命题的重新确立，被认为是“上世纪80年代初，我国文艺理论的最重要突破之一”（朱立元 4）。在外国文学研究领域，蒋承勇对这一命题作出系统回应并加以理论深化。从上世纪90年代开始，他即围绕“文学与人学”展开深度思考，连续发表30余篇高质量论文并相继出版《西方文学“两希”传统的现代阐释》等著作，为后续的体系化建构奠定基础。历经多年积累，他最终近50万字的总括性著作《西方文学“人”的母题研究》及近40万字的文集《人性探微——蒋承勇教授讲西方文学人文传统》，对西方文学人的母题进行全景式梳理，参与了“文学是人学”的中国文学理论话语体系的建构。纵观其文学与人学关系的研究，笔者认为至少有以下几个方面的学术意义：既是文学主题研究的范本，也是方法论的引领；既是以母题研究为核心对文学史的重写，又是以文学为媒介完成的一部西方思想史。

一、西方文学两希传统与“人”之生成

从文学史的发展来看，西方文学呈现出思潮流派更迭相继的发展模式，对人性的探索与追问贯穿其中，蒋承勇承继钱谷融等提出的命题，认为文学归根到底是人学，“西方文学在不同历史阶段持续回荡着人对自我灵魂的拷问，深刻而深沉的生命意识与人性意蕴因此成为恒久的组织原则”（蒋承勇，《西方文学“人”的母题研究 1》），因此沿着历史的纵向轴线去追踪不同时代关于“人”的观念变化，就更容易接近西方文学的人文内核。在文学的母题学研究中，神话作为深层叙事语法，承载着宇宙观和哲学思考，具有文学解释的某种元语言特征，是文化发展的重要原型库¹，因此具有极为重要的地位。蒋承勇着重选取了几组神话作为论述的起点：失乐园故事、耶稣故事，以及普罗米修斯、俄狄浦斯故事，追溯了人的母题的诗性来源。因此，其研究路径与原型-神话批评的思路具有相通性，但他的关注焦点始终是对“人”的理解，是为了将这一问题从文本、故事引回到文化源头。

蒋承勇把两希文化看作解析人的母题的深层构架，强调两希传统各自内部的复杂性，二者不是简单的对立，而是异质互补。希腊传统大体呈现“神-原欲-人”的三重面向，但尊重原欲并不等于排斥理性。希伯来-基督教传

1 参见叶舒宪：《中国神话哲学》，北京：中国社会科学出版社，1992年，第5页。

统构成的是“神-理性-人”的结构，更强调对原欲的压制，但内部也保留情感与生命颂歌。然而，从相对与比较的意义而言，希腊文化主要体现出一种重原欲的世俗人本意识，希伯来文化则呈现更多的内倾向特点，体现出理性型的宗教人本意识。二者共同构成了对立互补的人性依据，并由此形成一组常用的二元分析概念：原欲/理性、禁欲/纵欲、个体/群体、生物性/社会性、入世/出世等。从本质上看都来自对人性本身的理解，“出自人类自我实现与自我解放的需要”，最后指向“一种对立又互补共生的关系”(47)。这一论述可以看作研究西方文学的“纲”。

在明确了这一基本观念后，蒋承勇对西方人文精神的发展提出“连续与变奏”的考察机制，并对许多争议性关键问题给出极具启迪意义的解释，例如中世纪与文艺复兴的关系。他指出，从论述“人”的内涵这一角度来看，中世纪文化具有清晰的古典渊源，同时又孕育了文艺复兴所需要的因素（如科学精神、事实原则、人文教育、博爱平等），所以二者之间既相续又有变化，绝非对立与断裂。若要考察人文精神的连续与变奏，就应将“人”的概念放在具体文化语境中，例如他对文艺复兴人文主义的研究，并未将之看成单一整体，而是从时间与地域两个维度加以区分把握。前期以意大利、法国为中心，更突出“原欲+人智”；后期以北欧、英伦为中心，趋向“原欲+人智+上帝”。¹正因近代早期多重文化力量的交汇与碰撞，“人”的内涵日益成熟，并深刻影响此后各个时期。例如启蒙主义文学张扬了古希腊-罗马的人本传统和近代科学理性，从道德意识的角度使宗教理念世俗化，从而形成了基本稳定的两希人文传统的现代构架：既张扬自我，重视个体人的生命价值的实现，又寻求道德律令对自我的约束，寻求理性与原欲、灵与肉，个体生命的自然吁求与社会道德律令之间和谐统一的自由境界，“人道主义是两希文化传统融合之产物”（蒋承勇，《人性探微》1）。浪漫主义则扩张主体性，确认自我、自然、超验的关系，故而也孕育着非理性色彩；现实主义面对社会结构与人性困境，既被物化又反抗物化，人性主题必然带有巨大的冲突与张力。可见，从连续与变奏的角度来看，“人的母题”在西方文学中经历了世俗化、内在化与主体化的演变。

中国学界关于文学是人学的理论讨论，强调文学创作与批评都要“以人为出发点”，“把人写活”，“以表现历史与现实中的物”作为评价标准（陈晓明 29）。因此，在文学批评中不仅要总体思想进行把握，更需要对具体的文本个案进行细致分析。蒋承勇所提出的两希文化的分析框架在文本个案研究中极为有效，例如他把俄狄浦斯放在“人之为人”的复杂结构中来加以理解：就文明史与个体经验而言，人首先是生而不自由的——既受自然与社会的限制，也被命运的网络缠绕。俄狄浦斯为躲避预言而出走，却因更自由

1 参见 蒋承勇：《西方文学“人”的母题研究》，上海：华东师范大学出版社，2018年，第132页。

的行动而更准确地落入预言,这并不是对德性或理性的否定,而是揭示了理性—道德表层之下仍有原始性/野性的残留。于是,求知不仅是找出客观真相,也是对自我的艰难认识。他把神话母题、人性分析与文明反思贯通起来,使文本个案研究具备了广阔视野。

蒋承勇的文学母题研究是以两希文化为深层语法,把神话原型、文本细读与文学史视野相结合,建构出人的母题的文学发展脉络。既强调人的母题的传统与源头,也要细致区分各时期的变化,体现出对延续与变奏的历史性眼光。因此,他把西方文学的人性内涵,从源头到现代,展现为一个历时性结构,并在不同历史情境与审美坐标中,分析人的困境、自由与自我实现如何不断被提出、改写,并获得新的意义。

二、“人学”脉络与文学史重写

马克思主张“要研究人的一般本性,然后要研究在每个时代历史地发生了变化的人本性”(669),因此文学与人学的研究,只有上升至文学史的维度才能把握在历史时代中的发展与变化。蒋承勇关于西方文学“人”的母题研究正是如此,他从西方古典文学一直论述至20世纪现当代,具有恢宏的格局,可以说这正是一种重写文学史的思路与实践,尤其是其2018年再版的专著《西方文学“人”的母题研究》,可以将之理解为一部特殊形式的文学史。

目前中国大陆境内的外国文学史研究大体有两类路径:其一为作家—作品研究,侧重文本内容与风格、作家生平与个性;其二为文学思潮研究,关注重要作家的诗学理念及其背后的哲学、美学基础。蒋承勇本身就是国内使用率最高的多部外国文学史教材(如《外国文学史》《世界文学史纲》《十九世纪现实主义的现代阐释》《欧美自然主义文学的现代阐释》)的主编或副主编,具有丰富的编写经验。而他在《西方文学“人”的母题研究》中另辟蹊径,提出并实践了外国文学史书写的第三种类型——以人性观念为纲的重构式文学史。通过建构“人的母题”的阐释框架,书写了一部西方文学发展的新体系。这一体系与西方学界长期沿用的有关人的本质的二元对立模式不同,他认为人的自我应是一种原欲—理性的结构模型,在两极之间动态摆荡并不断调适的功能整体。从对人性自我本质的洞察出发,他梳理西方文学的发生与演变,藉以理解千差万别的文学现象背后的西方精神主导,纲举目张,勾勒出线索清晰的文学发展脉络。

在全书结构上,也呈现出某种文学史般的架构。“导言”相当于总纲,既提出将文学与文化打通的方法与视角,又奠定以人性为西方文学内核的理论基础。第一章“人与文化之起源的诗性解说”和第二章“原欲与理性的对立与互补”构成理论部分:通过对文化悖谬的解释,将文化理解为人的对象化与外化,并以原欲—理性为参照,建立西方文学自我观的互补结构。第三章至第九章则一方面承接前两章,从早期文明进入中世纪、文艺复兴,再转

入浪漫主义与现代主义；另一方面把前述理论框架落实到典型文本与历史阶段的细读中，起到实证与检验的作用。同时，后七章的具体论述深化了理论部分，使对西方文学基本形态与精神实质的历时性认识更为深入。可见，他以人性观念为支点，重组既有文学史书写的知识图谱与叙述逻辑，为外国文学史提供了一条兼具解释力与系统性的新道路。

这一重写文学史的视角具有重要的学术意义，可以有效去除传统文学史书写思路对某些问题的遮蔽。例如在中世纪与文艺复兴文学的研究中，蒋承勇采取的是一种两章对读的研究思路，从而以人性的连续与变奏改写了常见的断裂与革命叙事模式。他首先从“古典渊源”、“科学精神的温床”、“爱的人文意蕴”等多条线索展开，论证了中世纪对文艺复兴的人文指引，最后以“延续性、包容性及多元共存”作为两段文学史关系的总结，从而把中世纪放入文艺复兴的“准备史”或“前史”中，而非仅仅作为文艺复兴的“负面背景”。在讨论文艺复兴文学的人文内涵时，强调与中世纪的关系是“延续的与非同一的历史”（114），文艺复兴对中世纪既有人文传承又有变异。他区分前期人文主义文学与后期人文主义文学，强调了后期人文主义与基督教意识的密切关系，从而打破了人文主义在文学通史中过于泛化的统一性描述。这种双章对读的结构安排，构成了对文学史分期与分割传统写作模式的重写。他将这种研究思路贯穿于每一章的分析，例如在浪漫主义人学内涵的分析中，他并非简单重复文学史的一般概述，仅是强调浪漫主义抒情性，而是将之界定为“人的再发现”——通过“颓废中呈现另一个自我”（270）与“自然中再现另一个自我”（281），展示了自我分化与基督教宗教情结如何孕育着现代主体性的内核。从而，他把浪漫主义从“张扬情感”的风格标签，转化为对自我结构的编码，并与人学研究的基石——两希文化的思想前后呼应。

由此可见，蒋承勇对西方文学人学思想的研究是以“人”为纲的文学史重构，“一部西方文学史就是西方社会中人的精神发展史，也是西方文学人文传统的演变史”（1）。他围绕人的主题，实现了对文学史历史分期的再组织，并以章节对读的方式，强调连续与变奏，慎用突变与断裂。从“史”的角度把握西方人学的内涵，也加深了他对西方现代性的反思，20世纪现代文学“上帝的失落”，并非单纯的宗教衰落史，也是西方自文艺复兴以来所追求的片面的人的生命价值的世俗化的结果，而“宗教人本的传统衰落，恐怕也是现代西方文化危机的根源之一”（蒋承勇，《“人”的母题与西方现代价值观》23-29）。这正是从文学史的维度完整地把握西方人文精神的嬗变的更重要的学术意义。

三、文学阐释与思想史、观念史的互动

蒋承勇以两希文化为核心源头，从观念史层面提炼人的核心概念，作为他对西方文学人学研究的解释框架。关于西方文明起源虽有多种表述，但将

希腊-罗马与希伯来-基督教视为最主要的源头，仍是学界的通行认识。前者在文学中主要呈现张扬个性、肯定原欲与现世生活；后者则塑造以理性与群体本位为核心、强调超现实生命价值的宗教人本意识。蒋承勇指出“一部文学史，是人的母题的演变史，亦是映照西方社会价值观念演变的一面镜子”（蒋承勇，《西方文学“人”的母题的现代转型》150），他明确把文学批评视为观念史对话的一部分：以人性观念为索引，将各时期文学思潮所折射出的时代理念、哲学思想与美学观念纳入同一阐释语境。

在这一研究思路下，蒋承勇着重梳理的是不同文学思潮中所体现的人文内涵演变的内在关联。例如关于文艺复兴文学与18世纪启蒙文学的关系，他并非拘泥于具体的文本细节，而落脚于“人的观念”的关系。他认为文艺复兴初步实现了人文内涵从传统向现代的转型，而启蒙运动推进了这种转型。但由于文艺复兴的人文内涵呈现出前后分期与南北欧洲的差异，所以需要从观念史的角度梳理启蒙主义是在哪个层面推进了文艺复兴的思考。通过详细的文本分析，他明确指出启蒙主义所倡导的“人”，主要延续了文艺复兴人文概念的人智部分，而非原欲部分，从而强调理性。启蒙文学兼具古希腊-罗马的人本传统与近代科学理性，且通过道德化的世俗转译，使希伯来-基督教的人文伦理进入现代公共语汇。由此，18世纪的人道主义即两希传统的现代综合：推崇自我与个体生命价值的同时，强调道德律令对自我的约束。但由于启蒙主义过于强调理性在人文价值体系中的核心作用，浪漫主义就展现出对启蒙理性单向扩张的纠偏，成为西方文明史上第一次大规模的对文化与文明的反思与背离，因此文学中的自然不再只是对象性的他者，而成为反思文明、重塑主体的依据，蒋承勇正是从观念史的角度进行思考，从而确立浪漫主义思潮中自然、自我、自由在该世纪思想史的地位。¹在这一思路下，他将外国文学研究从作家-作品，转化为与思想史、观念史持续互动的解释工程，文学的演变不再机械、简单地附着于外部现实，而是成为思想史观念史演化的组成部分，文学研究获得更开阔的视野。

从观念史与文学史的互动视角切入文学批评，具有多方面的学术价值，首先在于避免只见文本不见结构的局限，避免单线式或标签化的解读。以《堂吉诃德》为例，若将文艺复兴的人文主义简单理解为对古典原欲/个人主义的复归，便难以解释堂吉诃德为何被视作人文主义式的人物，却几乎不具备前期人文主义文本中那种对自然生命欲望与个体张力的外显形态。而在人文主义观念史语境中进行考察，就可以看到人文主义并非外在于基督教的对立物，而是在其内部生成，并与其维持着复杂关联，所以多数人文主义者面对世俗乱象往往会把目光转向基督教伦理资源。在此框架下，堂吉诃德就可被理解为西班牙人文主义的独特呈现：其忧患意识与博爱取向，体现了早期

1 参见蒋承勇：“论19世纪欧洲文学中的‘人’的形象”，《浙江社会科学》9（1997）：47-51。

意大利人文主义思想在伊比利亚语境中与宗教传统的对话与重组。这就为理解人物的矛盾性与塞万提斯的人文主义思想提供了突破口。再如，他在“浮士德与欧洲‘近代人’文化价值核心”一文中，拒绝把浮士德的张力归因为叙事情节，而将之视为近代欧洲思想史中人性-神性矛盾的象征表述，并借助斯宾诺莎与康德的概念资源，揭示文本如何在自我扩张与理性自律之间建立一种张力均衡，折射出近代欧洲人的文化价值核心。¹因此，他的研究实现了文学文本、文学批评与观念史的对话。

蒋承勇将文学批评纳入观念史的维度，精准把握并揭示了西方人文内涵发展中的关键性不足。他指出虽然西方人文主义思想是世俗人本意识与宗教人本意识的异质与互补，但自文艺复兴之后，重心是在一直走着与中世纪传统文明相对抗的道路；宗教人本传统尽管一直伴随着现代文明，但与强劲的物欲推动力相比，显得势单力薄。这两种力量“对比的极度悬殊，是迄今为止乃至未来的西方社会越来越物欲化和功利化的深层文化原因，也是现代西方乃至整个人类社会之危机的文化根源”（蒋承勇，《西方文学“人”的母题的现代转型》161）。这一思考不仅切入了西方现代性危机的根源，对于梳理五四以来的中国文学观也具有重要意义。五四时期我们借鉴引入了西方的人文传统，但人文主义这一观念在迁移过程中，具有明显的时代性和选择性，五四文学主要崇尚的是原欲+人智的人的观念，肯定自然本性、个人主义、世俗人本意识成为中国现当代文化价值观的核心内容之一，相对而言缺少“对人的生命价值与意义的深度关怀”。我们需要重新检视这一向西方学习的过程，那么全面掌握西方人的观念史，深入批判其现代性危机的根源，“对中国的文学研究和文化建设有现实意义”（蒋承勇，《西方文学“人”的母题的现代转型》161）。

总之，蒋承勇以两希文化为依据进行的人学研究，把文学置于观念演变之中，强调文学一方面有自身独立发生与发展的特点，但又与哲学、宗教、科技等知识谱系持续对话，从而参与了思想观念的生成，“一部西方文学史就是西方社会中人的精神发展史”（1），他通过文学批评的方式书写了一部西方人文观念的思想发展史。

四、文学人类学与方法论建构

蒋承勇以文学即人学为理论前提，对西方文学的人学研究，形成了一套自觉成型的方法论，且具有很强的可操作性。他将自己的文学研究方法明确称之为“文学人类学”。这一方法论的哲学基础源于对“人”的界定。

首先他区分了学术界常见的几种关于人的表述，指出人不是单纯的生物性个体，而是能够创造并运用文化、据以组织自然与社会的文化的动物，“文

1 参见 蒋承勇：“浮士德与欧洲‘近代人’文化价值核心”，《外国文学评论》2（2007）：115-123。

化就是人自身的对象化与外化”（47），“人类的历史就是不断地使自己成为自然、社会与自身命运的主人”（48），因此需要从人与自然、社会、自我的多重关系入手，把文学纳入文化系统之内进行考察。纵观其研究，笔者尝试对其方法论提炼出几项重要的且具有借鉴性的要点。其一，研究对象。其研究对象落脚于具体的作家作品，强调文学批评从文本细读入手，但又需要超越孤立的作家或美学风格，考察的是在历史链条上能持续追踪人学母题。其二，人文维度与文化结构。以人与自然、社会、自我的多重向度介入文本，并紧密结合具体时代、不同国族的文化内涵等给出解析，以此把握作家如何把与人学相关的文化资源转译为文学表达。其三，连续与变奏原则。文化因素虽处于历史性变动之中，却具有相对的稳定性与延续性。西方文学的人学研究，需要始终围绕两希文化的对立互补的动态关系来进行解析，发现其延续与变异性。其四，跨学科研究。文学批评需要与同时期的宗教、哲学、政治与科学知识进行跨学科互证。但并非要把文学研究让位给文化学，而是在两希文化的框架中，“以文化学的眼光、手段与方法研究文学”（6），因此，他的研究最终落脚点依然是文学，体现出极强的文本解读功力，而文化学的视野有助于他实现对西方文学的深度把握。

在具体文本个案研究中，蒋承勇的这一文学人类学的方法，呈现出以个案细读为点，以观念史—文学史的框架为面的有效策略。以他对《堂吉诃德》的解读为例，他别具慧眼从作品内在的多重讽刺视角分析了文本中叙事视角的切换、情节的反讽等，区分了“虚拟的讽刺视角”“现实的讽刺视角”与“讽刺的讽刺”。在这种双重讽刺中，堂吉诃德由可笑的对象转化为具有宗教人本主义色彩的崇高人物，从而承载了塞万提斯的“新的人文主义理想”（139）。与此相应，桑丘并非功能性配角，他在讽刺功能、喜剧效应与人文表征上具有不可或缺性。他以现实主义话语对堂吉诃德的乌托邦理想加以消解，但在情感层面对骑士理想保持认同，构成一种讽刺视角的双向性。蒋承勇对文本的这一叙事特点的把握是极为精准的，但是他并非仅仅进行叙事艺术的剖析，而是将之放置于文艺复兴的历史场景中加以理解，使叙事艺术与人学主题结合。他结合西班牙天主教传统与宗教政治语境解释了堂吉诃德人文思想中的基督教底色，并给出令人信服的结论，堂吉诃德与桑丘的合二为一才是塞万提斯的人文主义思想。小说的双重讽刺技法正体现了塞万提斯人文思想的双重性，从而具有一种内在的张力。这种个案与文学史互证，文学技法与思想史融合的批评方法，正体现了其操作策略。

最后还需强调的是，蒋承勇关于西方文学人学的研究，也是对20世纪以来若干批评弊端的一种回应与矫正。面对术语泛滥、概念图解化等倾向，他始终以扎实的历史意识为基础，坚持以文本为中心，在写作中有意回避新潮术语的堆砌，以清晰、可读而不失深度的语言，重申文学批评应当兼顾人文关怀与表达艺术。这种自觉的学术风格，亦可作为其人学研究的内在贡献。而

依据本文前述可以看出，蒋承勇长期围绕西方文学的人学问题展开思考，对两希文化的深层结构进行了系统、深入的解析，建构出“文学是人学”阐释的新框架，体现了20世纪中国外国文学研究者在“人学”问题上的思考深度。一方面为理解西方文学的基本旨趣提供了重要的切入点，另一方面也在本土语境中开拓了西方文学研究的理论视角与问题意识，并为后续开展跨学科对话与跨文化比较奠定了方法上的基础，展示了中国学者在世界文学研究中的独特立场。

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“变体论”与话语体系建设新思维

“Variant Theory” and the New Perspective in the Construction of the Discourse System

李国辉 (Li Guohui)

内容摘要: 自从中国文学话语的失语现象被提出以来,学界的主要应对是回归传统诗学,可以将其命名为“寻根论”。对此,蒋承勇提出中外融合、文明互鉴的新路径,可以将其命名为“变体论”。“寻根论”的局限在于:当下文学话语体系的语境与功能已与传统话语体系显著不同,原样回归传统势必遭遇困境;相较之下,“变体论”为话语体系的构建提供了新思维,它既认同一个世纪以来中国文学话语体系的探索,有开阔的文化胸怀,又肯定中外文学话语相互交流中发生的变异,认为这种变异中蕴含新的可能性。

关键词: 话语体系; 蒋承勇; 变体论; 变异

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Title: “Variant Theory” and the New Perspective in the Construction of the Discourse System

Abstract: Since the phenomenon of “Aphasia” in Chinese literary discourse was put forward, scholars have sought solutions by returning to traditional poetics, which can be named the “Root-Seeking Theory.” In response to this tendency, Jiang Chengyong proposed a new perspective of integration between Chinese and foreign cultures and mutual learning among civilizations, which can be named the “Variant Theory.” The “Root-Seeking Theory” has some flaws. Today, the construction of the literary discourse system is different from the traditional Chinese discourse system in terms of context and function. A simple return to the traditional discourse faces great difficulties. The “Variant Theory” provides a new way of thinking for the construction of the literary discourse system. It not only validates the exploration of the Chinese discourse system over the past century with an open cultural vision, but also affirms the variations that occur in the mutual exchange of Chinese and foreign literary discourses, believing that these variations contain new possibilities.

Keywords: discourse system; Jiang Chengyong; Variant Theory; variation

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自从中国文学“失语”的现象被提出以来，学者们一直在思考构建中国文学话语体系的方式，其中一个倾向非常显著，就是回归中国传统文学话语。在此背景下，中国古典文学理论的关键词、批评方式成为热点。¹回归传统文学话语的倾向可以命名为“寻根论”。就像上世纪80年代中期的寻根文学一样，这种倾向试图从中国诗文评的材料中寻找批评方法。与此不同，蒋承勇提出一种新的思路，即古今并蓄、中外兼容。他用马克思主义在中国的本土化现象作为类比，发现了理论变体的生命力：“中国化的马克思主义、当代中国的马克思主义恰恰是本原性特质的马克思主义理论在本土的‘变体’的呈现，通俗地说就是马克思主义与本土的实际相结合后的创新性接受、传播与运用，其间的‘变异’则意味着理论‘旅行’的创新效应，也是‘变体’之新理论的生命力与特色所在”（蒋承勇，“避免不同的‘失语’”47）。可以将这种说法简称为“变体论”。“变体论”与“寻根论”相比，既避免了一些思维上的狭隘之处，又面向20世纪以来的文学现实，具有更大的可行性，为中国文学话语体系的建设带来了新思维。

一、回归传统文学话语体系的困难

话语是文学理论的基本要素，在中国诗文评文献中，存在着一些历经多个朝代仍旧保持生命力的话语，例如余味、神韵、意境等。一些话语相互之间可以形成关联，并成为文学评判的标准。中国经学、子学中还有一些具有一定普遍性的思维方式，它们也可以用来支持文学的话语体系。易学中的思维方式，例如阴阳、对待，有利于解释具有显著变化的诗学现象。而与佛学、新儒家有关的体用同源等思维方式，也可以用来思考象征、直观之类的文艺问题。虽然如此，在实际的操作中，纯粹利用中国传统话语体系是非常困难的。

首先，我们今天提出构建话语体系这一主张所处的语境，与中国古人所处的语境不同。今天的话语体系处于现代学术的语境之中。中国的现代学术一方面主要“拿来”了欧洲的自然科学，另一方面又参考了欧洲的社会科学和人文科学。中国现在的学科设置、学术方法，基本上都可以在欧洲（含苏联）的近现代学术中找到源头。西方学术旨在对统一性或者内在结构进行思考，这种思考在历史学、文学、心理学等学科上都起作用。布罗代尔（Fernand Braudel）在反思历史学时指出：“无论如何，在这些缓慢的历史层面，人们

1 参见李思屈：《中国诗学话语》，成都：四川人民出版社，1999年，第191-224页；李建盛：“‘以意逆志’诗学命题的诠释学探讨：从汉代理解到当代阐释”，《中国社会科学院大学学报》5（2023）：52-71。

可以重新思考历史的统一性，就像它们位于一个下部结构之上。所有的阶段、所有上千种阶段，所有上千种历史时间的爆炸，都可以通过这些深度、通过这种半固定状态加以理解。任何事物都在它的引力下运动”（181）。这种对内在结构的崇拜和信心，可以用来概括欧洲的学术。

中国从晚清到民国，当然也包括现在，逐渐接受了欧洲的现代学术理念，并发展它、创新它。虽然在不到两个世纪的过程中，中国也出现了与欧洲学术不同的局面，但整体上看，中国的学术是从欧洲近现代学术生长出的一个新领域。这个领域的根基，同样是对统一性或者内在结构的探寻。这种根基与中国传统学术的根基是不同的。那么，中国传统学术的根基是什么呢？它不是寻找一个潜在的结构，而是以人为根据。以人为根据，就是不论经学、史学或者子学，都以人的经验、知识为尺度，用它来衡量是非、善恶、利弊得失。但是人的经验、知识是有限度的，它无法照亮经验之外的世界。西方近现代学术之所以辉煌，正在于其在人们的经验之外发现了声、光、电、磁的秘密。相较于自然科学，西方人文和社会科学的发展在这种思维下也有了很大进展，例如巫术思维的发现、无意识心理的探索、剩余价值理论的提出等。具体到文学理论上，像符号学、结构主义诗学可以视为其代表。正因为感受到中国传统学术无法与欧洲学术竞争，陈独秀才在一个多世纪前呼吁：“吾宁忍过去国粹之消亡，而不忍现在及将来之民族，不适世界之生存而归消灭也”（4-5）。现在的中国，已经实现了适应“世界之生存”的愿望，但这一切（的实现）是以学术转型为根基的。

其次，今天提出话语体系的目的，与中国传统诗学不同。话语体系的用途是来解释、评论文学，这就需要一个尺度。学者不必具备文学创作经验，其职责在于运用规范化的研究方法与工具，开展尽可能客观的测量与分析。尽管研究可能涉及情感与思想层面，学术考察的核心仍在于那些可重复、可验证的规律与现象。加拿大文学批评家弗莱（Northrop Frye）在《批评的解剖》（*Anatomy of Criticism*, 1957）中认为，诗人创造的作品，哪怕是理论性的，也只是批评家的材料。批评家比诗人更有资格评判诗人的作品，这种评判需要“特定的观念框架”（6）。通过他举出的归纳法，可知文学批评不是为了欣赏诗人的作品，而是用科学的方法来测量文学。拿自然主义文学来说，批评家的工作不是鉴赏，而是要研究小说对遗传、环境以及人的命运的思考，调查它们与当时的社会思想存在的关系，以及在写法上的新倾向。

如果说欧洲近现代学术存在实践者与观测者的距离，这种距离在中国传统学术中基本不存在。中国传统学术以人为本，它思考的中心是“如何做”。中国史学家优先要回答的问题是治乱之道，中国的哲学著作，例如《周易》，不是要分析阴阳此消彼长的决定力量，而是描述这个过程，寻找君子的应对之策。诗话也是如此。诗话偶尔也承担测量的工作，例如叶燮《原诗》中的体裁、格律的变化观，以及理、事、情的构成论，都有理论的品质。但是诗话

主要的作用，却不是研究诗，而是为了给学诗者指点迷津。进一步说，中国传统诗话的功能基本上不是解释、评论诗歌，而是直接用于创作。宋代许顛的《许彦周诗话》曾说：“诗话者，辨句法、备古今、纪盛德、录异事、正讹误也”（315）。“辨句法”与创作相关，诗话其他的方面，例如“纪盛德”“录异事”等，则是辑录与诗有关的逸闻。诗话原本并不与诗歌保持距离。因为着眼于此，所以中国诗文评（画论、书论亦然）讨论的话题具有经验性质，例如诗句中如何下字让境界全出，又如绘画中如何用烟云连绵让群山显出它们的意态。由此产生的诗学术语，多与具体的创作相关，多靠悟性把握，而缺乏科学的标准。以气韵为例，宋人韩拙的《山水纯全集》认为，绘画以气韵为首，有了气韵，自有形似。可是画中的“气韵”究竟是什么样的艺术特质，难以界定；而且同一幅画的气韵的有无或优劣，在不同的行家看来意见并不一致。今天构建话语体系，当然需要重视这类术语，不但用它来解释中国画，还要用它来研究西方画。如果用气韵来研究拉斐尔的画作，或者把它用到法国的十四行诗中，阐释的价值并不高。对于现在一些跨领域使用的中国传统话语，蒋承勇认为它们往往是“一种几无共鸣的‘话语’”（蒋承勇，“避免不同的‘失语’”51）。

话语的语境、功能的不同，是目前的话语构建活动面临的难题。这些难题是客观存在的，短时期内不易解决。而只要大的文化环境没有改变，回归传统话语体系就难以奏效。正是看到了“寻根论”的这种缺陷，蒋承勇才提出了他的“变体论”。

二、“变体论”在构建话语体系上的价值

“变体论”具有开放的文化意识和历史意识，它的目标是让话语体系的构建回到可靠的道路上。蒋承勇指出：“一味地固守传统、迷恋本土资源而忽略接纳优秀的外国文学知识话语和理论资源，又会导致另一种意义上的‘失语’——缺失了人类意识、偏离了人类文学知识谱系，使我们的文学知识话语窄化、弱化和贫化。于是也就很难与本土之外的世界文学对话，这将是另一种新的‘失语’”（蒋承勇，“避免不同的‘失语’”50）。从“变体论”出发构建话语体系有更大价值。

首先，“变体论”肯定了一个世纪以来学者们对中国话语体系的探索。话语体系的构建是一项严肃的理论活动。西学东渐以来，西方的话语不断进入中国，它们中有很多构成了现有话语体系的有效要素。例如浪漫主义、现实主义、象征、隐喻、原型等。尽管学者的滥用也造成了术语上的混乱，但不能把责任归咎于这些术语本身。为了消化、借用这些术语，为了引入新的体系，不同时期的中国学者们付出了很大的努力。王国维就在化用外来资源上对后来的学术影响深远。以有我之境、无我之境来说，王国维使用不同的观物方式进行评判，将叔本华的意志主体与纯粹认识主体引入到中国词话中。罗

钢在这方面做了精细的分析，但是因为过分倡导原本的中国诗学，于是将王国维所做的中西融合的变体工作，视为自我阉割。他曾发出这种疑问：“经过‘现代化’和‘现代转换’的意境已经改变了自己的性质，改变了自己的诗学内涵，成为一个承接和容纳近代西方各种美学和文论的思想容器。在经过这样一番脱胎换骨的改造之后，它是否还能被视为一个中国的诗学观念，是否还能代表中国诗学在国际对话中发出自己的声音呢？”（376）引文中的“自己的声音”存在误解。自己的声音并非意味着严羽或者刘勰的声音。哪怕同是中国人，每一个学者都应该说出他自己的思考，不必重复古人。自己的声音不但要体现自身的文化传统，还要保持开放性。如果没有接受印度佛教的开放性，意境说又怎么会成为我们的诗学？从意境说的出现来看，它就是中外融合的产物。中国的古人因为具备开放性，而成功地造就了自己的话语体系，今天的学者们没有理由作茧自缚。

如果非要寻找自己的话语，那么汉代之后的大多数诗学概念都难以满足这个标准。不但中国是这样，欧洲的话语如果去掉阿拉伯、波斯、埃及、中国这些文化因素，大多数话语也不能满足欧洲自己的话语的标准。话语及其体系虽然具有一定的稳定性，但在本质上它们就是变体，就像一切存在者都是此前存在之物的变体一样。变体说认为一个世纪以来的话语及其体系是有效的，王国维、朱光潜、叶维廉等人的工作是有价值的，而且需要我们作选择性的继承。话语体系构建不是一种虚无主义的破坏工作，它是积累性的，它的起点很早，清末、民初的诗学即为其开端。因而我们的话语体系构建不是从最近一些年才起步的，它早就走在路上。从时间起点来看，当前话语体系建设的理论，可分为旧起点说和新起点说。主张原样回归传统文学话语的，就是新起点说。对于这种学说，蒋承勇的“变体论”拥有更开阔的文化胸怀。

其次，“变体论”肯定中外文学话语相互交流中发生的变异。变异本身否定一个中心、一个固定的标准。无论是欧洲中心主义，还是中国中心主义，它们都固守一个不变的标准。将话语体系的构建理解为原样复活中国传统话语，本质上就是中国中心主义。需要看到，这种主义在晚清时期，就已经被打破了。晚清的羸弱有很多原因，既有外敌侵略的原因，也有自己不肯求变、不肯革新的原因。福泽谕吉（Yukichi Fukuzawa）在比较大清与日本学习西方文化的优劣时，曾认为：“日本和中国人呈现出这样显著的差别，原因大概在立国之本的差别，也可能在数千百年来的教育之中。虽然原因不止一个，但对于西洋文来说，一方是从内心出发变它化它，另一方则是流于表面，寻找近因”（49）。这种话难免有以偏概全的问题，但它在解释文明的生命力上则需要特别重视。没有变化的文明，注定将会衰落。变异本身意味着革新，意味着从旧的秩序中长出新的秩序来。大到一个文明，小到它的文学话语，都需要不断生长。回归传统的新起点说，否定话语体系的新变，它虚构一个原点，认为我们找对这个原点，真正理解它、守护它，话语体系的问题就迎刃

而解。这种观点与国外曾经出现的回归中世纪的乌托邦思想非常相像，不过，结局大都相似，最终多流于空谈。

蒋承勇相信话语、理论的变异中蕴含新的可能性，他认为：“要站在人类文明新形态建设的高度，坚持文明互鉴的基本原则，以积极、包容的姿态，认真考析各种理论和‘主义’的本原性特质及其在跨时空‘旅行’传播过程中的变异，发掘其合乎文学发展规律又切合本土文学与文化发展的合理因素”（蒋承勇，“避免不同的‘失语’”51）。20世纪中国学术采用的一些理论，已经不是国外原本的理论了，但这些理论在后来的运用中被证明具有解释力。例如，无意识在弗洛伊德、荣格的理论中，是未被激活的心理力量，它与人的本能密切相关，又不限于本能。弗洛伊德认为那些意志的、信仰的心理力量也可以成为无意识：“自我和超我的很大部分内容可以保持不被意识到，一般来说是无意识性的。即是说，个人根本不知道它们的内容，如果要意识到它们，需要耗费精力”（Freud 69-70）。这种理论传到中国后，国人渐渐把无意识等同于性冲动，并将文学中无意识的分析等同于性心理的分析。无意识虽然经历过变异，与原本的理论有了一些出入，但也要看到变异让无意识的概念变得清晰、确定了。这就是理论变异后产生的现象，只要这种变异能促进学术的发展，就有它的积极价值。

当然，变异不但可以出现在外来话语上，也可以出现在中国传统话语中。传统话语经过与外来资源的融合，容易激发新的生命力。例如王阳明的“良知”，这原本是中国特有的概念，主要是在人性本善以及儒家伦理的背景中产生的。卢梭在《爱弥儿》（*Émile ou De l'éducation*, 1762）中，也提出过类似的概念——良心（conscience），但与王阳明的“良知”有不小区别。“良心”与人伦的关系不大，属于内在的判断力，甚至与社会正义有关系。随着外来思想的传入，中国文学和文化中所使用的“良知”概念已经偏向内在的判断力，与儒家的解释不同。这说明中国传统的话语具有与外来话语融合、变化的可行性。话语体系的“变体论”恰恰是在强调了本土传统重要性的同时，又强调以开放的姿态，让本土传统在外来文化养分的催化下蜕变为更有生命力的变体。

三、进一步的思考

蒋承勇的“变体论”将话语体系的构建从原样回归传统转移到文明交流互鉴上，在变化的视野中确定建设的方向¹，它具有救偏补弊的现实意义。利用这种新思维，话语体系构建的工作将会更有效，少走弯路。

话语体系构建是一个漫长而复杂的工作，站在今天这个时间点上，还不确定需要经过多少个时代，中国学者才能渐渐拥有相对完备的、具有文化自

1 参见 蒋承勇：“‘理论热’后理论的呼唤——现当代西方文论中国接受之再反思”，《浙江大学学报》（人文社会科学版）1（2018）：134-145。

信的话语体系。方向的寻找只是第一步，找好了方向，真正的突破需要细心与智慧。基于“变体论”的话语体系构建，最大的难处在于寻找中国传统话语体系与欧洲话语体系的结合点。这里说的不是结合，因为结合本身并不难，难在寻找恰当的结合点，以便生成恰当、和谐的新体系。真正有志于话语体系构建的学者人数本就不多，在这些人中，绝大多数要么知中不知西，要么知西不知中。知西的学者，不但要了解欧洲民族国家的现代文学，还要拥有较好的古希腊文、拉丁文的基础，另外，哲学、天主教神学、诗律学等素养也不可或缺。知中的学者，不但要熟悉诗话、词话，中国的儒学、佛学、其他诸子的学问、声韵学也是必备知识。这些学问掌握几个门类，已属难得，要想全部贯通，获得真见，现在或者未来的学者中很少有人能做到。如果真有几个学者找到了合适的结合点，核定了某种话语体系，学者们是否愿意改用新话语体系，放弃他们已经轻车熟路的旧体系，这也是问题。

话语体系的构建有它的必要性和紧迫性，但这是一项极其庞大的工程，虽然这个工程已经打下了一些地基，但是它的上层建筑还未真正设计好，我们今天讨论“变体论”的意义，就在于加速它的设计。鉴于这一工程的庞大，这里对未来的工作不妨进行一些设想。话语体系的构建若想取得成功，可能面临两个选项。第一个选项是自觉的做法，即国家设立一个学科或研究机构，通过集体的力量推动这一事业，而非单靠个别学者的兴趣来推动、确立并最终推广。第二个选项，是自发的做法，虽然可以呼吁人们参与话语构建活动，但无需急于求成，让历史逐渐积淀，最终实现目标。至于这两个选择哪个更为稳妥，则需交由历史来评判。

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从方法自觉到理论自信：蒋承勇的学术理路论析

From Methodological Self-Awareness to Theoretical Confidence: An Analysis of Jiang Chengyong's Scholarly Trajectory

马翔 (Ma Xiang)

内容摘要：立足中国学者的文化立场与开放的比较视野，蒋承勇深耕比较文学与世界文学研究，在文学思潮、人学母题、文学跨学科研究等领域形成内在贯通的研究框架，彰显了鲜明的方法自觉与理论自信。他在思潮研究中建构融合历史、理论与文化分析的方法体系，为相关研究提供可持续的理论范式。他以“人学”为核心，系统阐释西方文学围绕“人”的本质所形成的发生机制与演进逻辑。同时，他推进文学与科学的跨学科交流以拓展研究边界，倡导批判吸收西方理论、回归文本细读，助力中国特色学术体系建构。他的教学理念与学术研究相融互促，持续创新教材与慕课建设。

关键词：蒋承勇；文学思潮；人学思想；跨学科研究；教学理念

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Title: From Methodological Self-Awareness to Theoretical Confidence: An Analysis of Jiang Chengyong's Scholarly Trajectory

Abstract: Grounded in the cultural standpoint of a Chinese scholar and guided by an open comparative perspective, Jiang Chengyong has developed a coherent research framework in comparative literature and world literature, spanning literary currents, humanistic themes, and interdisciplinary literary studies, and marked by clear methodological self-awareness and theoretical confidence. In studies of literary currents, he integrates historical, theoretical, and cultural analysis to forge a sustainable theoretical paradigm for the field in China. Centered on “human studies,” his work elucidates the generative mechanisms and evolutionary logic of Western literature. By advancing interdisciplinary dialogue between literature and science and advocating a critical engagement with Western theory alongside close textual reading, he contributes to the construction of an academic framework with

distinct Chinese characteristics, while continuously innovating in teaching and textbook and MOOC development.

Keywords: Jiang Chengyong; literary currents; human studies; interdisciplinary studies; teaching philosophy

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在当代中国外国文学与比较文学研究的版图中，蒋承勇的学术实践具有典型的学术史意义与方法论价值。他自20世纪70年代末进入大学学习外国文学史、接触当时新兴的“比较文学”课程，到80年代系统攻读比较文学与世界文学专业硕士学位，其学术成长轨迹与新时期中国比较文学与世界文学专业的发展历程相同步。

蒋承勇始终立足中国立场，秉持开放的跨文化视野，在文学思潮研究、文学中的“人学”问题研究、文学与科学关系的跨学科研究以及中西文学关系的比较研究等领域均取得重要成果。无论是对西方文学思潮的整体梳理、对“人”这一母题的系统阐发，还是对文学与科学互动机制的深入剖析，都体现出高度的学术自觉。此种学术自觉既表现为对理论体系化建构与学理层面的深度开掘的不懈求索，亦体现为对学科内在结构与方法论边界的持续性反思。他始终保持理论警觉与创新意识，由此形成了独具特色的学术理路与学术思维方式。

一、思潮：历史的脉络与能量

追溯其学术起点，蒋承勇在大学时代即已开启对传统社会历史批评与阶级分析方法中简单化、机械化倾向的反思。及至本科毕业后的教学实践与研究生阶段的系统研习，他对19世纪现实主义文学诸多核心议题的思考已体现出突破既有框架的批评视角，并最终凝炼为《十九世纪现实主义文学的现代阐释》一书。该书突破了国内学界对现实主义“陈旧”“过时”的刻板认知，自觉运用现代系统论、心理学、原型批评、接受美学等新方法，将这一“旧话题”推陈出新、新见迭出，令学界耳目一新。迄今为止，蒋承勇对19世纪西方现实主义文学的整体研究，在国内学界具有重要影响与领先地位。

在对现实主义问题的长期思考中，蒋承勇逐渐形成对西方文学思潮的深刻理解。文学思潮研究既是其学术生涯的起点，也是贯穿始终的理论主线。五四新文化运动前后，19世纪西方文学思潮的传入对中国文坛产生了深远影响，在

很大程度上推动了文学革命的兴起。但百余年来，即便西方文学思潮的译介与研究已积累一定学术成果，其整体研究仍存在显著局限：一方面，受特定历史阶段学术水平的客观制约，难以彻底挣脱该时期意识形态的桎梏；另一方面，更为关键的是，学界对西方文学思潮的阐释始终缺乏全面性、系统性的学术建构，亦少见由本土学者撰写的系统性西方文学思潮研究专著，这无疑是中国外国文学研究与出版领域的一大缺憾。

近年来，蒋承勇与其团队陆续推出《19世纪西方文学思潮研究》（六卷本）与《西方文学思潮发展史论丛》（十卷本），逐步构建起一个以“思潮”为核心、以“文学史叙述系统化”为目标的研究框架。他指出：“所谓‘文学思潮’，是指在特定历史时期社会文化思潮影响下形成的具有某种共同思想倾向、艺术追求和广泛影响的文学潮流”（蒋承勇等 1）。他将“文学思潮”视为一项兼具基础性、理论性、宏观性与综合性的系统工程。这一立场超越了传统的作家—作品—流派研究的模式，转而强调文学思潮背后的文化动力结构与思想生成机制。在他看来，思潮并非单一的审美风格或流派特征，而是在特定历史时期社会文化思潮影响下形成的具有某种共同思想倾向、艺术追求和广泛影响的潮流。¹这一理解突破了以往文学史研究中“风格史”与“作家史”的局限，不仅具有学术开创性，更在方法论层面实现了从文学史叙述到思想史、文化史层面的跃升。

在《19世纪西方文学思潮研究》中，蒋承勇及其学术团队以浪漫主义、现实主义、自然主义、唯美主义、象征主义与颓废主义六大思潮为基本线索，对19世纪欧洲文学发展的内在逻辑进行了系统梳理。这一系列的总体设计呈现出明显的学术史意识：其编排顺序并非简单按年代罗列，而是以思想与审美形态的“生成—演化—解体”为主线，清晰呈现了19世纪西方文学思潮的演化规律。各卷不仅探讨相应思潮的历史起源、代表作家与作品，更深入分析其哲学基础、社会语境与文化心理，从而呈现文学思潮的多层次结构。蒋承勇进一步指出，“很大程度上正是基于19世纪西方文学思潮‘跨语言’‘跨民族’‘跨国家’‘跨文化’之全球性传播的历史进程，‘比较文学’这种文学研究的新范式（后来发展为新学科）才应运而生”（4）。这一论断从跨文化与文明互鉴的高度，为理解19世纪西方文学的复杂面貌提供了新路径。

随后推出的《西方文学思潮发展史论丛》将视野从19世纪扩展至整个西方文学思潮发展历程，涵盖从文艺复兴至20世纪的人文主义、古典主义、浪漫主义、现实主义、自然主义、唯美主义、象征主义、颓废主义、现代主义与后现代主义十大文学思潮。作为国内首套系统研究西方文学思潮发展史的学术丛书，该丛书立足于反思性、超越性与建设性，将十大思潮置于西方文明与文学演变的历史长河中，既作整体把握，又分卷深入，运用跨文化、跨

1 参见 蒋承勇等：“总序”，《19世纪西方文学思潮研究》六卷本，北京：北京大学出版社，2022年，第1-2页。

学科方法进行多角度分析，致力于揭示其本质特征、历史地位与价值。该丛书在研究方法的创新性、内容的系统性以及结论的前沿性与原创性方面均有显著建树，将西方文学思潮研究推向新的水平与高度，并为构建中国特色的外国文学学科体系以及中国现当代文学与文艺理论研究提供了重要借鉴。

《19世纪西方文学思潮研究》与《西方文学思潮发展史论丛》集中体现了蒋承勇近年来的学术思想：以文学史为基础，以思想史为纵深，以比较文学为方法，以系统化研究为目标。这种研究范式打破了文学史、文化史与思想史之间的界限，构建起一种兼具整合性与创新性的文学综合叙述范式。从学术史角度看，蒋承勇的研究既延续了自钱钟书以来中国学者“以文学观思想”的传统，也回应了当代人文学科走向知识结构整合的趋势；从方法论角度看，他以“思潮”为核心构建起一个兼容历史、理论与文化分析的研究体系，为中国的外国文学与比较文学研究提供了可持续的理论范式。

二、人学：文学的母题与内核

如果说文学思潮是文化与文学的交汇点，那么文学中的人学问题便是观察这一交汇点的“观景台”。蒋承勇在《西方文学“人”的母题研究》一书中指出，文学自诞生以来，始终将人的书写与人性探寻作为其核心主题与重要追求，“从这种意义上说，文学是‘人’学”（5）。文学深深扎根于文化的土壤之中，因此，从文化研究视角切入，有助于更深刻地把握文学中“人”的深层母题。基于这一认识，蒋承勇依循西方文学中“人”的观念的历史嬗变，构建出西方文学观念演进的基本框架。事实上，早在《十九世纪现实主义文学的现代阐释》一书中，他就开始关注现实主义文学经典作品中人的存在困境、自由意志、道德挣扎与精神危机。通过诸多经典文本的深度阐释，他认为文学上的“旧与新”“传统与现代”的关系是辩证的，由于作为物质形态而存在的文学文本，蕴含了人类深层的精神—心理本原而延绵相接，“现代的文学可以说是传统文学母题的不同形态的重现，或者说是传统文学的同源变体”（5）。正是基于人学问题的视野，他突破了学界在相关研究中对现实主义及其他文学思潮问题的既有认知与惯常阐释，这一学术视野亦贯穿于其《西方文学“两希”传统的文化阐释》《人性探微》等重要论著之中。在他看来，“文化—文学—人”三者血脉相连、浑然一体。无论是中国文学、东方文学抑或西方文学，其精神内核均以‘人’的存在本质与价值诉求为根本关怀。

蒋承勇对文学中的人学问题的关注，并不局限于外国文学范畴，而是与中国文学与文论的发展形成了深度对话，是对中国现当代文学评论家钱谷融先生在“文学是‘人学’”（1957）一文中提出的命题的呼应、拓展与创新。作为兼具深厚汉语文功底与现实关怀的学者，蒋承勇的研究视野兼容并蓄——既立足中国立场洞察世界，又从世界的角度观照中国。他主张，人文学者应

具备国际视野与人类胸怀，“在强调传承与弘扬民族文化传统时要胸怀人类意识，而在强调文学知识体系构建的‘自主’时要面向世界、吸纳他者优秀知识话语”（“避免不同的‘失语’”50）。

然而，人性是复杂的，如何在风云激荡的历史大潮中把握“人”的观念的本质？蒋承勇在他的研究中体现出以下方法论：其一是历史意识。这意味着对人类文化和文明发展的历史逻辑的持续反思，即在哲学意义上坚持“历史与逻辑相一致”的哲学史观——意识到历史的发展过程（事物实际发生的过程）与逻辑的推演过程（事物内在规律的理性展开）在本质上是一致的。换言之，历史的真实运动遵循逻辑的必然性，而逻辑的理性演绎又根源于历史的真实过程。在他的论述中，西方文学史上“人”的形象的变迁具有内在逻辑必然性的文化演进过程，这一过程并非编年史意义上的“先后”顺序，而是文化上“生成-分化-重组”的深层逻辑关系。¹其二是辩证思维，摒弃二元对立、非此即彼的思维定式。蒋承勇并不将“人”视为一个静态、实体化的存在，而是将其理解为在历史与文化结构中不断被规定、被重构的过程性存在。西方文学中“人”的母题之所以贯穿古今，正是因为人性本质上具有矛盾性，始终处于对自身界限的否定与超越之中。在他看来，文学中的“人”的形象是历史文化内部矛盾运动的产物，每一个历史阶段的“人”都承载着该时代的文化张力，同时孕育着下一阶段的精神种子与思想萌芽。²其三是细读文本，把握“典型”。正如“人”是具体而处境化的存在，文学中的人学问题也必须在具体的文本语境中得以展开。蒋承勇的文学批评并不高蹈地谈论抽象的人学命题，而是从具体的文学作品出发，把握其中的“典型事实”。他一方面通过作品的细读印证理论的逻辑演绎，使抽象理论获得文学化的呈现；另一方面，又借助逻辑分析赋予作品以理论深度，使文学典型上升为思想的典型，形成文学史和思想史的双向阐释。

正是基于对“人”的本质的深层洞察，蒋承勇的外国文学研究始终以人学母题为核心逻辑主线，在文本细读的基础上系统性把握西方文学的发生机制与演进轨迹，进而对西方文学史建构起独具中国学者主体性的阐释体系。

三、跨界：文学与科学的对话

蒋承勇凭借深厚的学术史意识和方法论自觉，不断拓展文学研究与思想史、科学史等领域的对话空间。他指出，任何文学思潮的兴起与发展，都深深植根于特定历史时期的社会文化土壤。文学思潮既是特定时期社会文化思潮的具象呈现，亦是科学、政治、经济、哲学、宗教等多元文化要素交互作

1 参见蒋承勇：《西方文学“两希”传统的文化阐释——从古希腊到18世纪》，北京：中国社会科学出版社，2003年。

2 参见蒋承勇：《西方文学“人”的母题研究》，上海：华东师范大学出版社，2018年。

用的结果。¹因此，研究西方文学思潮不能仅停留在文学本体的内部分析，有必要将“内部”与“外部”视角相结合，展开综合性的跨学科探索。尽管文学思潮的演变离不开文学传统的内在延续，但其特质的生成往往深受外部因素的影响，在不少情境下，外部因素可能成为推动某一思潮产生与更迭的重要驱动因素之一。既然文学思潮本质上是一种社会文化现象，其研究便不可避免地需要借助哲学、社会科学乃至自然科学的多元视角，因而采取跨学科的研究路径。

从“文学与科学关系”的角度研究西方文学，是受西方文明发展背景所规定。“科学史-文明史-文学史”是三位一体的，科学思维是西方文明发展的重要动力，文学史又是文明史的精神印记与具象表达，因此，科学思维显著影响文学思维，二者呈相互作用并相互塑造的关系。科学既包括自然科学，也涵盖与之相关的社会科学方法论。它不仅是西方文明演进的深层动力，其精神内核、知识体系与研究方法，也深刻影响了西方文学思潮的形成、演变与转型。科学技术推动了西方现代社会的整体转型，而文学则对这一进程作出了深刻回应、反思与再现。因此，从科学史、文明史、思想史与文化史的宏观视野出发研究西方文学思潮，有助于开辟新的理解路径，更深刻地洞察其内容、形式与观念演变的动因，并更好地把握其核心特征。事实上，蒋承勇在学术生涯早期对现实主义的研究中就已自觉运用自然科学的方法进行文学跨学科批评。近年来，他主持的国家社科基金重大项目“19世纪欧洲文学与科学关系研究”，正是这一理念下的系统性探索，也代表了中国比较文学与世界文学研究在跨学科整合与理论创新方面的前沿方向。

回溯西方文明进程，自文艺复兴起，自然科学的迅速发展成为推动理性主义与启蒙思潮的重要力量。18世纪的启蒙运动在科学成就与科学精神的滋养下展开，重塑了人类的世界观与认知方式，促成文化与社会结构的整体转型。19世纪的自然科学进一步深化了人类对自身能力的认知，强化了理性主体意识，也重塑了文学表达的内容与方式。在这一过程中，文学不仅吸收科学理念，而且通过回应科学进步及其社会影响，积极参与现代性文化的建构。蒋承勇指出，近代科学革命带来的认识论转型，使文学失去了形而上学的稳定支点，却获得了新的审美张力。文学由此成为反思科学理性限度的重要载体之一。²例如，达尔文进化论、实证主义哲学与医学话语的兴起，促使作家重新思考“人”的位置与价值——文学的现代性恰恰诞生于与科学理性之间的这种张力之中。

19世纪被誉为“科学的世纪”，自然科学的飞速发展不仅推动了工业文

1 参见蒋承勇等：“总序”，《19世纪西方文学思潮研究》六卷本，北京：北京大学出版社，2022年，第1-8页。

2 参见蒋承勇：“科学之于文学：‘抗拒’抑或‘接纳’？——论浪漫主义与自然科学之关系及其他”，《社会科学战线》3（2023）：146-155。

明的进步，而且深刻改变了人类的思想结构与精神面貌。从生理学、物理学、化学到早期心理学与神经生理学，各学科在理论与应用层面均取得突破。这些进展不仅促成现代科学体系的形成，更以跨越学科边界的方式广泛影响人文学科，对文学的观念、方法与叙事方式产生深远影响。在 19 世纪，西方文学与科学并非界限分明，而是在认知世界与体悟生命的方式上形成了丰富的互动。

作为 19 世纪西方文学主潮之一，现实主义深受自然科学尤其是实证主义思想的影响。随着观察、实验、归纳等科学方法的传播，文学家开始借鉴科学方式审视社会与人生，使文学从以先验理念为基础的模仿论转向经验写实。现实主义借助科学方法更新了叙事模式，强化了文学文本的理性观察与社会分析功能。这一“科学化”转型不仅体现为形式变革，更标志着文学在现代性道路上的重要迈进。可以说，现实主义是 19 世纪科学精神在艺术领域绽放的集中体现，它赋予文学新的知识生产机制，强化了其对社会现实与人类经验的认知功能。

与现实主义不同，浪漫主义虽以推崇直觉与情感、反抗理性著称，常被视为与科学对立，但实际上它与生物学、解剖学、化学等新兴科学之间存在深刻对话。浪漫主义并非简单否定科学，而是在批判启蒙理性与机械唯物论的基础上，试图构建一种更具生命感、整体性与创造力的科学-文学观。诺瓦利斯 (Novalis)、柯勒律治 (Samuel Taylor Coleridge)、济慈 (John Keats) 等浪漫派作家不仅关注科学进展，还尝试将科学发现转化为心灵与精神世界的诗意图景。他们的许多作品不仅体现了浪漫主义与科学的间接对话，更标志着 19 世纪西方文学在科学知识激荡下的审美重构与哲学思辨。

此外，19 世纪西方文学也反映出生命科学在叙事与心理描写中的深度渗透。从达尔文的进化论到加尔的颅相学，从伽尔瓦尼的“动物电”到神经生理学的发展，这些科学理论深刻改变了作家对人类心智、意识、情感乃至命运观的理解。文学在关注“灵魂”或“精神”的同时，更加重视身体、神经活动与环境的交互关系，构建出一种具身性的人性观。这一转向不仅丰富了文学对人类复杂性的表达手段，还搭建起文学与人类学、心理学之间的跨学科桥梁。尤其在浪漫主义文学中，对“心智活力”与“精神潜能”的探索，成为与神经生理学研究互为映照的文化现象。

进一步而言，科学不仅从理论层面影响文学，还通过技术手段与媒介革新推动文学形式的演变。从印刷业的工业化到光学成像技术的进步与摄影术的诞生与普及，再到通信技术的发展，科学革命不断拓展文学的传播途径与审美形式。这些技术进步重塑了文学的感知方式、文本结构以及文学与公众的互动关系，促使文学不仅在内容上回应科学精神，而且在媒介与物质形态上发生变革。这种双重变革为 19 世纪西方文学与科学的深度互动提供了更加立体的例证。

因此，深入考察 19 世纪西方文学与科学的互动，不仅有助于我们全面理解文学现代性的形成机制并把握西方文学思潮的本原特质，而且有助于推动当前文学研究范式的更新。无论是现实主义与浪漫主义对科学理念的不同回应，还是技术与媒介革新对文学传播与表达方式的影响，19 世纪西方文学与科学的关系都不能简单归结为二元对立，而应被视为一个持续对话、相互激发、交融互塑的历史过程。研究文学与科学之关系，既能揭示文学作为独特知识形式如何回应并参与科学话语的构建，也能重估文学与科学在现代文明建构中的双重角色。这一路径将为我们打开一个跨越自然科学与人文艺术的综合性视野，重新理解“人”作为感性与理性存在的双重本质，深化对人类文化演进逻辑的认识。

将文学与科学的跨学科研究纳入文学研究的重要议题之一，不仅有助于揭示文本中蕴含的科学观念、技术隐喻与知识逻辑，还有助于从更广阔的文化视野理解文学与时代精神的互动。这一领域在中国学界仍较为薄弱，亟待更多关注。文学与科学的融合不应被视为零散的互文性关联，而应被理解为现代知识体系中持续发生、意义重大的深层对话。从科学与文学思潮两个维度重构西方文学史，意味着真正进入西方现代性精神与知识结构的纵深。这种跨学科路径不仅为重新书写西方文学史提供理论支持，还有助于优化比较文学与世界文学学科体系。在追求真、善、美的深层目标上，文学与科学展现出本质上的精神契合与知识互通。正是在这一意义上，蒋承勇对 19 世纪西方文学与科学关系的研究，不仅具有重要学术价值，而且对当代人文学科的未来发展具有深远启示。

四、经典：重读的价值与方法

文学经典是文学史的“资源库”，文学史在发展演进的同时也在塑造着经典的标准和意义。随着时代变迁、文化变更和审美趣味的流变，所谓的文学经典也在发生变化。一方面，在当今全球化、信息化的时代背景下，移动互联网与阅读方式的变迁使经典阅读的传播与接受面临新的挑战。于是，“经典重估”“经典重读”“回归经典”成为近年来中国学界和国际学界的强烈呼声。从文学研究、文化传承与创新的角度看，回到经典、重估经典的价值具有现实意义。另一方面，学术界一度盛行的“理论热”造成了部分研究者对传统经典文本的普遍忽视、漠视甚至拒斥，不愿意从文本解读出发展开文学研究与文学评论。

自 20 世纪中叶以来，西方文艺理论界各种新理论陆续登场、层出不穷，形成了“理论热”，但也一度产生了“理论过热”。批评界谈的是文学理论，但其结论反而多适用于文学之外的各种学科，其书写方式已经远远超出文学范畴，并泛化为各学科的“话语狂欢”，从而导致文学理论和文学阅读相脱节的现象。

这股“理论过热”风潮从20世纪80年代开始受到初步质疑，到90年代出现普遍反思，其间有不少理论家发表了颇有见地的观点，表达了对文学理论的“非文学化”“泛理论”和“理论过剩”倾向的不满。蒋承勇认为，面对“理论热”，中国学界和西方学界之间有历史阶段上的错位：在西方开始质疑“理论热”的时候，中国学界正值对西方理论十分热衷之际。当时中国学界对理论热本身的思考是欠深入的，对其间存在的理论与文学文本脱节之弊病的认知是肤浅的，来不及反思或者缺乏理论反思的自觉与能力。¹ 大约从20世纪90年代中期开始，伴随着全球化与信息化浪潮的兴起，在以文化研究为主导的文学研究取向影响下，西方理论界涌现的诸多新理论再度受到我国文学研究者的广泛追捧。此类理论虽不乏创新性见解与学术价值，却仍未能摆脱理论与文学文本疏离的症结，甚者呈现出反本质主义的非文学化倾向。

进入21世纪，随着许多因素的出现和变化，中国学界开始出现质疑生搬硬套西方理论的声音，学界对滥用西方理论带来的消极影响进行反思批判。对这一现象，蒋承勇既对相关反思表示认同，又在此基础上进一步提出思考：面对学界对现当代西方文学理论的简单化接纳与盲目套用以及由此产生的一些负面影响，我们应当把责任完全归于西方理论本身的缺陷，还是应当寻找理论追随者和运用者自身的原因？他敏锐地意识到，在质疑“理论热”现象的过程中，更需警惕的是：是否在有意无意中萌生了抵制理论的潜在欲望和心理冲动？是否已经表现出对理论的轻蔑态度？他指出，在对待现当代西方文论的态度上，应当保持理性与清醒的立场。² 必须看到，西方文论在其自身的思想谱系与文化语境中形成，因而不可避免地存在某些先天局限；同时，它与中国的文学传统和文化土壤之间也难免出现“水土不服”的情形。因此，作为文学研究者，既不能将其理论模式简单照搬、直接套用，也不应因其局限而完全拒斥或否定。恰当的态度，应是在批判吸收的前提下，对其合理成分予以学习、研究与借鉴，并在此过程中推动理论与方法的创新与转化，强化经典阅读与文学批评的理论自觉，切实承担起理论原创与理论建设的历史责任。

蒋承勇反对以理论证明理论、脱离文本的主观预设式批评与评论，倡导以文本为中心的研究取向——以文本为起点，回归文本本体，借助细致研读与深度阐释，实现文学意义的重释与重构。这一立场旨在纠正文学研究与文学作品相脱节的弊病，但并不意味着文学研究者可以无视理论的指导与引领。相反，理论意识作为学术研究的核心要素，与开放包容的文明互鉴视野相辅相成。我国现阶段的文学研究亟须在学术自信的基础上，构建具有中国

1 参见蒋承勇：《经典重估与西方文学研究方法创新》，北京：中国社会科学出版社，2020年，第444-445页。

2 参见蒋承勇：《经典重估与西方文学研究方法创新》，北京：中国社会科学出版社，2020年，第454-457页。

特色与中国气派的学科体系和话语体系。各研究领域的学者应当在理论与实践的互动中，吸纳跨学科研究的成果与方法，逐步实现研究的理论深化与学术成熟，摆脱长期以来理论匮乏、方法滞后的被动局面。

如何实现这一目标？蒋承勇认为，应在重新梳理现当代西方文论的基础上，去其糟粕、取其精华、细嚼慢咽、消化吸收，融合本民族优秀的文论传统，形成新理论。¹ 例如，文学跨学科研究正是一条可行路径。他指出，由文学本身的知识统摄性和包容性所决定，“文学研究无可避免地也关涉除了审美性之外的与人相关的各种人文学科乃至社会科学，文学研究就其研究对象和研究内容的统摄性而言，就无可避免地决定了这种研究本身的多学科性，也就是文学研究的跨学科性和学科间性”（“跨学科互涉与文学研究方法创新”70）。但他反对那种将比较文学无限扩展为“文化研究”的倾向，主张文学研究应以文学性为核心，通过跨学科的方法深化文学研究的解释力，而非取代文学研究本身。跨学科研究并非对非文学理论的生搬硬套或强制调用，而是在综合其他人文学科、社会科学甚至自然科学知识、理论与方法的基础上革新我们的文学理论，展开比较文学方法指导下的跨学科文学研究和文学批评，形成文学理论与方法创新的路径之一。² 这种立场既体现出他对学术方法的警觉，也表现出一种深沉的“学术史意识”——对学科发展的历史逻辑与自身合法性的持续反思。

五、传承：教学的理论与实践

在致力于学术研究的同时，蒋承勇始终秉持“教学相长”的理念，积极投身于教学实践与教学理念的探索。他曾主编六部教材，被多所高校采纳为本科教学与研究生入学考试的指定用书。他主编的教材不仅是知识的罗列，而且融入了其学术研究的深度思考。鉴于其在教学领域的突出贡献，蒋承勇先后荣获“国家万人计划教学名师”、首届“全国教材建设先进个人”以及“中国大学慕课优秀教师”等称号。

面对互联网与人工智能时代的教学变革，蒋承勇持续关注并积极探索新型教学平台与教学模式，尤其重视“慕课”（MOOC）这一伴随着移动互联网的发展而兴起的在线开放课程形式。由他及其团队主讲的《外国文学史》（上、下）与《诗意的人学——西方文学名著欣赏》两门慕课，分别入选“国家首批精品在线开放课程”和“国家级一流本科课程（线上课程）”。这两门课程始终坚持“重读经典”的核心理念，注重文本细读，引导学生深入理解文学作品中的人性内涵与艺术风格。在课程设计与教学实践中，蒋承勇特别注重两点：一是内容精炼、问题聚焦。由于慕课单次讲授时长有限，课程

1 参见蒋承勇：“避免不同的‘失语’——文明互鉴与文学自主知识体系构建”，《外国文学研究》3（2025）：46-51。

2 参见蒋承勇：《经典重估与西方文学研究方法创新》，北京：中国社会科学出版社，2020年，第460-461页。

内容需反复锤炼，确保核心问题讲得清晰透彻。二是强调开放性与普及性。慕课打破了时空与身份限制，使在校学生与社会学习者都能随时随地选择感兴趣的内容自主学习，这种灵活性与覆盖面是传统课堂难以比拟的。

蒋承勇认识到，互联网技术对高等教学的影响尚处于起步阶段。移动网络既带来挑战，也拓展了新的可能。在文学教育中，慕课的优势尤为显著——它不仅便捷高效，而且能推动优质教学资源的广泛共享。他认为，只要设计得当、讲授精到，新技术便能为人文学科赋能，不仅不会削弱文学的深度，反而有助于文学扩大传播范围与影响力。¹因此，高校教师应积极拥抱这一新型教学形态，将其视为推动专业建设与人才培养的重要途径，而非流于表面的时尚标签，更不应回避或轻视。目前，他正与“爱课程网”“超星”等平台合作，持续推进人工智能时代的智慧课程建设。

在教材建设方面，为响应数字人文与新文科发展需求，适应智能时代学习与阅读方式的转变，蒋承勇与高等教育出版社音像分社合作，推出《西方文学名著导引》（有声书）。该产品作为数字化有声读物新形态项目已获立项，旨在为大学生提供更便捷的新型学习资源，在全国高校具有引领与示范意义。该书定位为大学生人文素质通识课的有声教材，精选33部西方文学经典，融合“经典重读”理念与数字人文思路，通过文本细读解析作品的人文精神与艺术价值，将文字阅读转化为生动的听觉体验，有助于提升学生的经典鉴赏能力、文学素养与人文素质，并在聆听中形成关于文明互鉴与人类文明新形态的认知视野。

回顾蒋承勇的学术和教学实践，他以深厚的历史意识、辩证思维与跨学科、跨文化视野，走出了一条在文明互鉴中构建自主知识体系的可行路径，清晰呈现了从方法自觉到理论自信的内在跃升。他不盲从西方理论，亦不囿于本土传统范式，而是在跨学科、跨文化的深耕中探寻文学发展的普遍规律与中华民族优秀文化的继承和弘扬。从“人”的母题深挖到文学思潮的系统梳理，再到文学与科学的跨学科探索，其学术贡献不仅填补了中国本土文学与文化研究的诸多空白，而且在相当程度上重塑了我们理解世界文学的知识框架，体现出中国学者的主体性姿态——通过真诚的文明互鉴，实现平等的知识对话，为中国气派的学术话语与理论建构作出了贡献。

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从中国“出发”的西方文学思潮“运动”史钩沉

An Inquiry into the “Movement” History of Western Literary Thought: A Chinese Perspective

孙 瑜 (Sun Yu) 郭 昕 (Guo Xin)

内容摘要: 在我国外国文学研究和教学实践中, 长期存在着研习者因未能全面认知文学发展历程而盲目套用西方文学理论, 并因此无法开展深入、创新的中国式外国文学解读的情况。蒋承勇主编的六卷本《19世纪西方文学思潮研究》正是对此局限的突破。该丛书聚焦西方19世纪的浪漫主义、现实主义、自然主义、唯美主义、象征主义、颓废主义等思潮自新文化运动以来至今的中国本土化历程, 继而探讨各思潮间的承继关系以及由此展现出的自然科学与人文社会科学间的互动交流, 从中国视角出发建构了有关西方文学思潮的生成式知识谱系。

关键词: 《19世纪西方文学思潮研究》; 中国本土化; 生成式知识谱系; 中国视角

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Title: An Inquiry into the “Movement” History of Western Literary Thought: A Chinese Perspective

Abstract: In research and teaching of foreign literature in China, many researchers tend to follow theoretical paradigms of Western literary study blindly due to their lack of holistic view of literatures' development process, hence fail to deliver thorough and innovative Chinese interpretation of foreign literatures. *Research on Western Literary Thoughts in the Nineteenth Century* in six volumes edited by Jiang Chengyong offer a monumental breakthrough for this limit. Focusing on the localization of such Western literary thoughts in the nineteenth century as Romanticism, Realism, Naturalism, Aestheticism, Symbolism and Decadentism in China ever since the New Culture Movement in 1919, these six books illustrate the successive relations in-between these thoughts as well as the intercommunication among natural sciences, humanities and social sciences, thus succeed in constructing

the generative knowledge genealogy of Western literary thoughts from China’s perspective.

Keywords: *Research on Western Literary Thoughts in the Nineteenth Century*; the localization in China; generative knowledge genealogy; China’s perspective

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文学理论作为深入文学作品文字肌理和思想内核的重要通道，历来与文学史、文学作品并称为文学研究的“三驾马车”，三者互为支撑、缺一不可。但在我国的外国文学研究和教学实践中，三者却长期处于比例失衡的状态，对文学作品的细读往往建基于对文学发展脉络的粗略认知之上；有关文学史的梳理又时常照搬以往教科书中各阶段差异分明的递进式文学发展观，而文学理论因其理解难度，在接受“理论仰视”之时，也被过度工具化。这种片面的认知态势在“网生代”文学研习者中更为明显，信息数据的高度集中和即时获取让他们产生一种错觉，他们认为对文学史和作家创作生涯的粗浅了解足以支撑其文学作品分析。殊不知这种未能动态掌握文学发展全程的速成式研究，大多“只见树木，不见森林”。其研究成果也多带有对西方理论框架的盲目套用和刻板理解，从而缺乏基于我国优秀传统文化和文脉之上的中国视角和中国式解读，因而也就难以在研究深度和创新性上实现突破。¹

有鉴于此，在我国外国文学研究和实际教学中有必要更重视西方文学思潮的研究。蒋承勇主编的六卷本《19世纪西方文学思潮研究》²以及其具有重要学术影响力的系列论文，就为此提供了很好的研究范本。该丛书将西方19世纪在政治、哲学、科学、文化思潮综合影响下产生的浪漫主义、现实主义、自然主义、唯美主义、象征主义、颓废主义文学思潮的产生、发展和演变进程，放置于中国新文化运动以来至今中国文坛对外来文化开展批判性借鉴的时空框架之中，阐释各文学思潮在中国本土化历程、它们之间的承继关系和由此展示出的自然科学与人文社会科学间的融通机制，以弥补既往中国学界西方文学思潮研究的短板。

1 参见 蒋承勇：“避免不同的‘失语’——文明互鉴与文学自主知识话语体系构建”，《外国文学研究》3（2025）：46-51；蒋承勇等：“文明互鉴与文学自主知识话语体系构建三人谈”，《山东外语教学》6（2025）：1-9。

2 下文简称为《思潮研究》。文中凡引用该丛书分卷的文献，仅标注卷号及思潮名称。

一、西方文学思潮研究的中国立场与本土意识

《思潮研究》作为一部深刻审视 19 世纪西方文学流变的学术著作，其意义不仅在于对西方文学思潮的系统梳理，更在于以中国学术视野为根基，积极推动具有本土特色的外国文学研究体系的发展。该书通过融通中西的学术视角，为中外文学对话搭建了桥梁，也为中国文学研究的自主创新提供了重要参照。其中，第二卷《现实主义》尤为突出。作者立足于跨文化比较与跨学科融通的学术理念，对 19 世纪现实主义文学思潮进行了富有新意的解读。这种研究路径，不仅为现实主义这一核心文学议题的深化拓展了空间，也将对中国文学理论建构、现当代文学研究及创作实践产生深远影响。该卷并未将现实主义视为孤立的文学现象，而是将其置于西方文学演进与中外文学互动的宏大语境中加以剖析。借助跨文化的视野，作者突破了既往研究的局限，从更广阔、多元的角度探讨了现实主义文学的生成脉络、艺术特征与历史影响。在具体论述中，作者既系统勾勒了 19 世纪现实主义文学的发展轨迹与美学特点，也将其与中国同期文学进行对照，深入辨析二者在主题选择、艺术手法与文化精神上的异同及交融。这种比较视野，不仅拓展了研究的格局，也增强了研究的纵深感，为读者理解现实主义的全球性意义提供了更具包容性的框架。

尤为值得注意的是，作者在探讨西方现实主义的同时，始终关注其与中国文学实践的关联。书中指出，19 世纪现实主义思潮不仅深刻塑造了西方现代文学的面貌，也为中国文学的理论反思与创作更新带来了重要启迪。¹ 在理论层面，现实主义对社会生活的真切关注与对人性的深入揭示，为中国文论注入了新的活力；在研究层面，其所体现的历史意识与批判精神，为中国学者提供了方法论上的参照；在创作层面，现实主义的叙事策略与美学追求，亦成为中国作家探索本土经验的重要资源。这种中西会通的学术努力，既深化了对西方文学本质的理解，也激发了中国文学内在的创造潜能。

此外，本书还着重强调了现实主义文学在当代社会的精神价值。作者认为，尽管时代变迁，但现实主义所秉持的关注现实、洞察人性、介入社会的精神取向，至今仍具有强烈的生命力。² 面对全球化与技术革新带来的新挑战，现实主义文学中蕴藏的人文关怀与社会责任感，依然可为当代读者与创作者提供重要的思想资源。因此，作者呼吁，我们应在研究中重温现实主义

1 参见 蒋承勇：《19 世纪西方文学思潮研究：第二卷 现实主义》，北京：北京大学出版社，2022 年，第 2-4、7-18、532-534 页。

2 参见 蒋承勇：《19 世纪西方文学思潮研究：第二卷 现实主义》，北京：北京大学出版社，2022 年，第 43、534-536 页；蒋承勇：“现代化与文学现实主义”，《社会科学战线》3（2025）：178-188+282。

的精神传统，并将其转化为推动文化创造与社会进步的内在力量。¹

特别值得一提的是，《思潮研究》强调，“从接受主体的角度看，本土的社会需要、文化心理期待和审美品位等，对不同的外来文学思潮不可能投之以一视同仁、照单全收的态度。因此，在实际的传播过程中，各种思潮流派进入中国的时间先后是次要的，而本土之主体性接受期待和主观选择显得格外重要”（蒋承勇，《第二卷 现实主义》11）。由此，该丛书质疑了既往学界认知中有关中国文坛对外来文化舶来品主动乃至全盘“拿来”的客体化刻板印象，将中国学界的“主体性选择”作为西方文学思潮在中国得以生根发芽的核心要义，而这也让读者得以更为全面、客观地审视西方文学思潮在中国本土传播的历史事实。《思潮研究》指出，基于对文学艺术创作目的的不同理解，五四运动后的中国新文坛分为“人生派”和“艺术派”两个派别。²西方浪漫主义歌颂自由以反叛古典主义理性的做法与“艺术派”借宣扬自由冲破封建主义枷锁的中国学界时代需求相契合，故在20世纪20年代曾一度风靡中国文化界。几乎在同一时期，现实主义经由“人生派”对自然主义写实倾向的译介，以及鲁迅对俄罗斯现实主义的推崇，而为中国文坛所熟知。随着中国内忧外患局势的加重，在中国文学中，对国家、民族、社会发展有所裨益的期望取代了对自由的追求，成为中国文人的时代愿景。现实主义文学反映社会现实、促进集体发展的创作宗旨顺应了时代需求，并因此取代浪漫主义成为20世纪30年代的文坛主旋律。西方浪漫主义进而被斥为消极的思潮，让位于经中国本土文坛改造的“革命浪漫主义”。对此，《思潮研究》不无犀利地指出，关于浪漫主义和现实主义这一前后“待遇”悬殊的原因，除却时代发展需求的变化外，还需考虑中国文化的内在逻辑。“作为西方浪漫主义内核的‘个体’自由观念在本土文化土壤中始终水土不服、难以落地，当为根本的因由”（曾繁亭，《第一卷 浪漫主义》11）。换言之，中国本土文化对国家、民族、宗族等为代表的集体的重视是时代需求等即时性因素所无法改变的文化内里，也是中国文化与西方文化的首要区别，也由此决定了现实主义和浪漫主义在中国近现代文坛中的迥异命运。

可见，《思潮研究》对西方文学思潮在中国本土化历程的书写不是简单的线性勾勒和事实铺陈，而是综合时代需求、文化肌理、审美内核三要素间关系后做出的全面考量。而这一“运动”着的文学思潮史观也体现在其对19世纪各文学思潮间关系的剖析之中。《思潮研究》以其开阔的视野、扎实的论述与自觉的本土意识，不仅为西方文学研究提供了新的解读路径，也为中国学术的自主发展注入了新的活力，堪称中外文学研究互鉴共进的一项重要

1 参见 蒋承勇：《19世纪西方文学思潮研究：第二卷 现实主义》，北京：北京大学出版社，2022年，第43、537页。

2 参见 蒋承勇：《19世纪西方文学思潮研究：第二卷 现实主义》，北京：北京大学出版社，2022年，第14页。

成果。

二、承继而非断裂的文学思潮演变史

纵观国内大多数外国文学史、西方文学理论选读教材，不难发现这些文献的编纂多以时间更迭为主线，将西方文学理论的演进按各流派如古典主义、浪漫主义、现实主义等做分章节处理。这种历时性撰写方法有助于中国读者迅速掌握西方文学理论发展全貌，是非常有效的文学史书写思路。但西方文学理论与哲学思想的共生关系客观上提高了文学理论文本的阅读门槛，也促使部分教师和多数学生在教学实践和自主理论学习时面对卷帙浩繁的文学理论书籍浅尝辄止，将文学史教材大纲中勾勒的“历时演进”表象视为西方文学思潮发展的实质。于是就出现了诸如古典主义重理性、浪漫主义偏感性、现实主义重拾理性这样围绕理性和感性展开的简单二元论更替论断。究其根本，这种“重异轻同”的文学史观，源自他们为弥补疏于文学理论文本细读所导致的知识空白，以及片面依据文学理论教材传统编纂体例对文学发展进行简化处理的畏难型研究心理；而这也为其未来开展自主创新研究埋下隐患。显然，这种将文学思潮发展进程人为加以割裂的做法并不符合事物辩证发展的客观规律。事实上，西方文学中的不同文学思潮是异中有同、同中有异的，要透过表面的波澜起伏，深度把握其深层的内涵。具体到文学发展走向而论，“西方文学史上文学思潮的这种此起彼伏、新旧交替的现象，不能以‘三十年河东，三十年河西’之类简单的历史循环逻辑去‘套释’，因为，事实上在这种此起彼伏的新旧交替中，并不完全是前者死、后者生的截然割裂，而是在追求纠正某种‘偏执’的基础上的创新，且往往又同时传承与延续‘偏执’本身所拥有的本原性合理成分”（蒋承勇，“*自然科学与文学思潮*”30）。这种强调承继而非断裂的文学史观正是贯穿六卷本《思潮研究》始终的核心思路，也是该丛书有别于以往外国文学史书写的另一创新之处。

以浪漫主义与启蒙运动间的关系为例，《思潮研究》虽然同意既往文学思潮研究中有关浪漫主义通过强调个体自由以反对启蒙运动过度强调理性倾向的观点，但并未以此对启蒙运动和浪漫主义做简单的“高下立见”式二元对立论断。“拜伦等浪漫派作家光大了启蒙派的自由批判精神；与大革命后社会政治领域里的自由主义思潮相呼应”（曾繁亭，《*第一卷 浪漫主义*》42）。进一步说，启蒙主义的先进之处在于其基于自由理念对以基督教和封建君权为代表的权威话语的反叛，这种为自由而战的精神与浪漫主义的自由理念可谓同源而生。但二者的最终走向却有所不同，启蒙主义的唯理主义执念使其陷入资产阶级专制统治而难以自拔，而浪漫主义的感性主义倾向则指向更为多元但最终趋于虚无的个体主观想象世界。二者在《思潮研究》的动态文学思潮知识谱系中互相影响，且各有优劣。

这种将前后接替的文学思潮视为理论发展连续体而非断裂带的思路同样

出现在《思潮研究》对浪漫主义和现实主义、自然主义与现代主义间具有承继关系的论述中。为了论证浪漫主义和现实主义间的动态影响，该丛书没有采用基于感性和理性的二元对立思路，而是将它们置于针对西方现代化进程的现代性反思传统之中。借用列斐伏尔以审美现代性和社会现代性批判资本主义现代化的现代性概念设定，《思潮研究》指出浪漫主义和现实主义尽管分属审美和社会两个领域，但它们对西方技术理性的批判却异曲同工，在文化精神层面具有相通之处。¹同样，有别于文学理论界惯常将强调“客观”呈现自然世界的自然主义与“主观”展示人类心理世界的现代主义加以区别对待的做法，《思潮研究》从两大思潮的科学思想来源出发论证了二者间的联系。作为现实主义重要分支的自然主义，并不表现为一般意义上现实主义对外部世界真实的再现，而是依据生理学理论对人之本源存在的观察和呈现，“自然主义作家真正关心的永远是人物的精神机制如何在环境与生理机能的共同作用下开始发生变化”（曾繁亭，《第三卷 自然主义》415）。如此一来，自然主义的外在真实是架构人类内心世界与外部世界的过渡地带，在核心思想层面更接近于强调心理现实的现代主义，而非现实主义。

应该说，《思潮研究》依据不同思潮间的文化内里和精神内核揭示的思想勾连，是强调事物辩证发展的马克思主义唯物史观在西方文学思潮研究中的具体体现，既符合文学思想在对立统一发展的客观规律，也是新时期我国学者在文学史书写中融历时接替与共时发展为一体的研究思路创新。

三、自然科学与文学艺术的融通

自18世纪中叶第一次工业革命以来，西方社会在现代化的潮流中裹挟理性主义思潮，伴其左右的自然科学也风光无限，成为定义一切现象的不二法门。有科学史家表示，“科学革命的成果之一在于设想有一种关于社会的科学——一种关于政府、个体行为和社会的科学——将在凯歌高奏的诸科学中占有一席之地，产生出它自己的牛顿和哈维”（科恩1）。为了证明自身作为科学的合法性地位，如人类学这样的社会科学与哲学、文学研究这样的人文学科在其现代发展历程中，不得不采用类比式思维与自然科学开展互动。²但显然这种互动首先表现为人文社会科学，包括文学艺术向自然科学的主动靠拢。如果想产出“自己的牛顿和哈维”，人文社会科学就有必要采用类比、关联抑或隐喻的方式改造其理论话语体系，由此就出现了用经典物理学和生物学术语来关联人文社会科学的现象，社会进化论和精神分析学就体现了这一“科学等级进阶”。20世纪前三十年量子物理学对经典物理学的超越则改变了自然科学向人文社会科学的单向输入。量子物理学家的理论创新更多

1 参见蒋承勇：《19世纪西方文学思潮研究：第二卷 现实主义》，北京：北京大学出版社，2022年，第87页。

2 参见科恩：《自然科学与社会科学的互动》，张卜天译，北京：商务印书馆，2016年，第59页。

地来源于其思想实验，“由认识论洞见所导致的科学发展反过来又会启发我们的认识论洞见。在科学与科学认识论之间一直存在着这种给予和索取，双方都从中受益匪浅”（爱丁顿 8）。因此，科学认识论本身就是哲学，人文社会科学亦可为自然科学发展提供思想养料。至此，自然科学与人文社会科学之间的双向互动得以真正实现，思想融通是勾连二者联系的关键纽带。

然而自然科学与人文社会科学间的这种动态联系在既往中国西方文学史书写中长期处于缺席状态。蒋承勇认为，中国的外国文学史编写多采用作家生平概述、作品介绍和概念梳理的模式，鲜少采用思潮运动的思路，更乏将自然科学史与文学发展史进行动态勾连的做法¹。但“自然科学是西方文明演进的深层动因，研究西方文学思潮的演变，只有在西方文明史发展的大视野中展开，才能高瞻远瞩，洞察细微；从自然科学史观的角度研究西方文学思潮的演变，同时也是深度把握西方文学史演变的重要切入口”（“自然科学与文学思潮” 22）。正是基于这种将自然科学与人文社会科学相互融通的观点，蒋承勇主编的六卷本《思潮研究》在各卷的理论框架中均融入了科学史的研究视角，如旨在阐释浪漫主义与生物学联系的颇相学论述，有关科学主义催生的心理学对唯美主义的影响关联陈述、以及意在揭示进化论在象征主义流派斗争中发挥多重作用的思想流变梳理。

这种“文学与科学”融通的跨学科文学史研究方法在丛书第二卷《现实主义》和第三卷《自然主义》中表现得最为突出，两卷均辟单章论述“科学与文学”的动态互联。丛书作者表示，19世纪科学的勃兴与彼时西方小说作为独立文类的“崛起”并非时间节点上的单纯巧合，而是渐趋成熟的科学理性在文学场域集中发力、适时开展思想实验的跨界呈现。这一时期科学理性和现实主义对真实性的共同追求推动了文学与自然科学的跨学科勾连。同时，对于文学史上有关人文主义与科学主义本质相左的固有观点，《自然主义》卷明确予以反驳，“所谓人文主义之反科学主义，其实质应是反科学沙文主义，而非反科学主义精神本身”（曾繁亭，《第三卷 自然主义》 367）。质言之，科学沙文主义推崇的是将世界作单一、机械化的处理的工具理性，而非秉持“求真意志”“怀疑主义”“实证观察”“客观中立”（曾繁亭，《第三卷 自然主义》 374-379）这四项科学原则的科学主义。包含自然主义在内的现实主义小说作为人文主义者求真向善的文学载体，天然与旨在发现并探索现实世界的真实样貌的科学主义精神在思想起源和伦理旨归上具有相通之处。因此，人文主义与科学主义的对立论断并不成立，在外国文学史的建构中理应融入科学史的研究方法。

时至今日，当人文社会科学在生成式人工智能新型产业革命浪潮的冲击下危机重重之时，《思潮研究》呈现的自然科学与人文社会科学在思想内核

1 参见蒋承勇：“自然科学与文学思潮——西方文学史重写的两个维度”，《中外文学与文论》3（2024）：20-30。

和科学精神上的融通无疑为彷徨迷茫的人文社会科学研究者注入了一剂“强心针”。如果说数次科学革命均为当时的文学思潮发展注入了活力、催生出符合时代精神的文学作品，那么与第四次产业革命相匹配的时代文学思潮也势必会应运而生，助推文学作品这一人类精神载体完成新一轮的蜕变，而非将其消灭。以此而论，《思潮研究》的创新价值不仅在于其研究方法的跨界尝试，也在于其对人文学科发展前景信心的重塑。

西方文学理论如何在中国大地落地生根，是中国文坛自五四运动以来孜孜探求的问题。这期间无论是浪漫主义的短暂兴盛，还是现实主义的持续发展、自然主义的间断性复苏，抑或唯美主义、象征主义、颓废主义间难分伯仲的接受更迭，都是中国文化界有识之士基于国家、民族发展需求、中国传统文化传承、中国文脉赓续做出的主体性选择。《思潮研究》以此为19世纪西方文学思潮史书写的切入口，填补了以往外国文学研究界关涉西方文学理论中国本土化流变历史的研究视域缺失。不惟如此，该丛书还突破以往外国文学研究和文学理论学习中名为历时呈现各思潮、实则人为隔断思潮间动态联系的局限，运用马克思主义对立统一的唯物辩证史观展现了各思潮间的承继性而非断裂性，进而揭示了自然科学与人文社会科学间的融通关系而非割裂关系。正是基于这种研究框架、研究思想乃至研究方法上的创新，该丛书有力践行了中国哲学社会科学自主知识体系的构建，以动态、联系、共生的研究思路完成了从中国“出发”的西方文学思潮“运动”史钩沉。

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“经典重估”的方法论建构——《经典重估与西方文学研究方法创新》评析

The Methodological Construction of Canonical Reevaluation: On *Canonical Reevaluation and Innovation in Western Literary Research Methods*

刘 松 (Liu Song)

内容摘要：蒋承勇的专著《经典重估与西方文学研究方法创新》在经典重估的理论自觉、方法论建构和实践转化三个层面作出了系统性探索。本书突破了本质主义经典观，确立了经典的历史生成性和跨文化建构性；在研究方法上构建了微观文本细读、中观思潮谱系、宏观理论反思的三重架构；在实践层面将原型批评、叙事学、跨文化传播学等多元方法有机融通，形成了可操作的研究范式。该著不仅为“重写文学史”提供了方法论资源，也为比较文学学科建设贡献了理论范式，体现了当代人文学术从理论移植到方法论自觉的学术转向。

关键词：蒋承勇；《经典重估与西方文学研究方法创新》；经典重估；经典化；比较文学

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Title: The Methodological Construction of Canonical Reevaluation: On *Canonical Reevaluation and Innovation in Western Literary Research Methods*

Abstract: Jiang Chengyong's *Canonical Reevaluation and Innovation in Western Literary Research Methods* offers systematic explorations across three dimensions: theoretical consciousness of canonical re-evaluation, methodological construction, and practical transformation. The work transcends essentialist views of literary canon by establishing the historical generativity and cross-cultural constructiveness of classics. Methodologically, it constructs a triple framework encompassing micro-level close reading, Meso genealogy of literary trends, and macro-level theoretical reflection. In practice, it organically integrates archetypal criticism, narratology, and cross-cultural communication studies into an operational research paradigm. This monograph not only provides methodological resources for “rewriting literary

history” but also contributes theoretical paradigms to the disciplinary construction of comparative literature, manifesting the academic turn from theoretical transplantation to methodological consciousness in contemporary humanities scholarship.

Keywords: Jiang Chengyong; *Canonical Reevaluation and Innovation in Western Literary Research Methods*; canonical reevaluation; canonization; comparative literature

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在全球化与数字化深度交织的当代，文学经典的合法性遭遇了前所未有的挑战。各种“文学终结论”不乏夸张成分，但文学边缘化的趋势确已成为不争的事实。正是在这种时代语境中，“经典重估”成为国内外学界的强烈呼声。然而，问题的关键并不在于是否需要重估经典，而是如何重估经典——需要何种理论支撑？遵循怎样的方法论路径？如何避免理论喧宾夺主与脱离文本的经验化倾向？

蒋承勇《经典重估与西方文学研究方法创新》¹（以下简称《创新》）一书正是对这些问题的系统回应。该著并未止步于对既有西方文学经典的再阐释，而是力图建构一套贯通理论反思与实践操作的方法论体系。全书除绪论和后记外，分上、中、下三编：上编聚焦作家作品研究，从古希腊喜剧到20世纪现代主义小说，涵盖不同时代经典文本；中编专注文学思潮研究，对19世纪浪漫主义、现实主义、自然主义、唯美主义、象征主义、颓废派等六大思潮进行系统考察；下编致力于理论反思，探讨比较文学学科建设、西方文论接受、世界文学观念等重大理论问题，形成了从微观到宏观、从实践到理论的方法论自觉。

《创新》独特价值在于其理论视野的整体性与方法论建构的系统性。三编内容看似相对独立，实则构成有机整体：微观作家作品研究为思潮考察提供文本基础，中观思潮研究为文本阐释提供历史视野，宏观理论反思则提供方法论指导。这种点—线—面的立体架构，超越了单一研究方法的局限，为经典重估提供了多维度实践路径。本文将从经典观理论转向、方法论三重架构、多元方法融通转化、学术贡献与学科意义四个维度，系统阐释《创新》在经典重估领域的方法论建构及其学术价值。

一、从本质主义到历史生成：经典观的认识论转向

《创新》在理论层面的贡献在于完成了对传统本质主义经典观的批判性

1 参见蒋承勇：《经典重估与西方文学研究方法创新》，北京：中国社会科学出版社，2020年。

超越。本质主义经典观将经典视为具有永恒价值的文本，这一观点在美国文学评论家哈罗德·布鲁姆（Harold Bloom）《西方正典》（*The Western Canon*, 1994）中表现得尤为明显。布鲁姆强调文本的审美价值是其成为经典的根本原因，并试图建立一个以莎士比亚为中心的“稳定经典谱系”。¹

然而，这种本质主义立场忽视了经典生成的历史和社会因素。《创新》明确反对这种静态经典观，指出，“文学经典不是一成不变的，而是随着时代变迁、文化变更、审美趣味转换而不断调整、流动”（1）。这一动态经典观的确立，并非简单理论宣示，而是建立在对经典生成机制的深入考察之上。该著指出，“文学经典的产生是多因素合力结果，既得益于作者对文学传统的创造性承续以及个性化超越，也得益于作品问世后读者与评论者的阐发推介所形成的阅读效应，还得益于不同传播媒介的传播效应”（3-4）。这一论述将经典生成置于创作-接受-传播完整链条中，揭示了经典地位的建构性本质，与法国社会学家皮埃尔·布尔迪厄（Pierre Bourdieu）《艺术的法则》（*The Rules of Art*, 1996）中关于文学场域权力关系的论述相呼应。²

譬如，上编第五章《〈简·爱〉经典化过程考论》详细考察了《简·爱》的经典化过程。首先是“多元融合”，揭示该小说如何融合哥特式小说、成长小说和浪漫小说等多种艺术元素；其次是“阅读评论”，考察批评家和读者接受如何提升作品经典地位；最后是“媒介传播”，分析不同传播媒介如何拓展和延伸作品经典性。通过这一经典个案分析，清晰地展现了经典并非作品固有的本质属性，而是在创作、接受、传播的多重互动中逐渐生成。

此外，《创新》还揭示了跨文化语境中经典再生成机制。该著指出，“外来文学与文化的本土化过程，并非对文学与文化的直接吸纳和接受，而是一种经由本土人文价值观和审美价值观的民族期待视野进行选择性与传播的过程”（7-8）。上编第六章《马克·吐温之中国百年传播考论》和第七章《安徒生童话之中国百年传播考论》，通过历时性考察充分展现了这种跨文化再生成机制。以安徒生童话为例，该章揭示了不同历史时期中国读者对安徒生的不同理解，儿童本位的热与冷、现实性和批判性对童心的遮蔽、童心的回归与“安徒生印记”。这种接受史的曲折变化，恰恰证明了经典意义的历史建构性和跨文化生成性。

经典观的这一认识论转向，为《创新》的方法论建构奠定了坚实的理论基础。如果经典是历史生成的、跨文化建构的，那么经典重估就不能满足于对经典文本的简单重复阐释，而必须在方法论层面实现创新，既要回到文本本身进行深度细读，又要将文本置于历史语境和跨文化传播复杂网络中加以

1 参见 Harold Bloom, *The Western Canon: The Books and School of the Ages*, New York: Harcourt Brace, 1994.

2 参见 Pierre Bourdieu, *The Rules of Art: Genesis and Structure of the Literary Field*, translated by Susan Emanuel, Stanford: Stanford University Press, 1996.

考察，还要反思阐释经典所依凭的理论框架本身。

二、三重维度的方法论架构：点、线、面的辩证统一

《创新》的突出贡献在于建构了一个点-线-面三位一体的经典重估方法论体系。上、中、下三编分别聚焦微观文本阐释、中观思潮考察、宏观理论反思，并非简单的内容分类，而是体现了作者对文学研究不同层次的方法论自觉。这一方法论架构的形成，深刻回应了当代外国文学研究中的方法论困境，即要么过度依赖西方理论，导致“理论驾驭文本”；要么脱离理论的纯文本解读，缺乏理论深度。《创新》三位一体架构正是对这些问题的回应，既不放弃理论视野，又不脱离文本实践；既重视微观细读，又不忽视宏观思考。

（一）微观层面：作家作品的深度阐释

在微观层面，上编通过对不同时代、不同风格作家作品的深入研究，展示了文本细读的方法论价值。全书第一章《“诗性”的经典》，包含十个小节，涉及多部经典作品的阐释。这些研究超越了传统主题分析和人物解读，而是从文学“诗性”与“人学”双重维度切入，既关注作品对人性的探索，又重视其艺术表达的独特性。

第二章对阿里斯托芬喜剧风格的研究，从主题的现实性、政治讽刺的尖锐性、情节的荒诞性三个维度，揭示了古希腊喜剧的艺术特质。第三章《“拜伦式英雄”与“超人”原型》通过对拜伦创作的心理原型考察，揭示了“拜伦式英雄”与尼采“超人”哲学的精神关联，将拜伦置于从19世纪到20世纪现代性思潮演变的宏大视野中加以考察。

第四章《狄更斯小说经典性的别一种重读》从阅读趣味、故事性与娱乐性以及儿童心理、童话式叙述与通俗性两个维度，重新审视狄更斯小说的经典性，挑战了将经典等同于“高雅”的传统观念。这种“别一种重读”彰显了经典的价值不仅在于其思想深度，也在于其艺术感染力和大众接受度。

第八至第十章对劳伦斯小说的研究充分运用了叙事学方法。第八章分析《儿子与情人》的现代主义倾向，从心灵展示、情节淡化、象征神秘性、语言意象化等多个维度揭示其艺术创新。第九章探讨《虹》的多重复合式叙述结构，揭示外部现实与内在历程的“对位”关系。第十章研究《恋爱中的女人》的深度对话，分析人物对话如何超越情节推进功能，成为探索人性深层矛盾的哲学对话。

这些微观研究的共同特点是方法的灵活性和阐释的深度性。根据不同作品特点选择合适切入点和分析方法，既避免了社会学批评的简化，又超越了形式主义批评的封闭，实现了思想内涵与艺术形式的有机统一。

（二）中观层面：文学思潮的谱系学考察

如果说微观层面的文本细读关注的是“点”的深度，那么中观层面的文学思潮研究则致力于揭示“线”的延展。中编对19世纪西方文学六大思潮（浪

漫主义、现实主义、自然主义、唯美主义、象征主义、颓废派)的系统考察,构成了该著方法论建构的重要维度。

《创新》对文学思潮的研究,体现了鲜明的谱系学(genealogy)方法论特征。这种方法虽受米歇尔·福柯(Michel Foucault)谱系学思想启发,但并非简单移植,而是将其创造性转化为文学史研究的具体方法。谱系学方法拒绝将历史视为线性进化的过程,而是强调历史的断裂、偶然性和权力关系。《创新》对文学思潮的考察,正是在断裂中寻找关联,在差异中发现“传承”。

中编第十一章首先反思了19世纪西方文学思潮研究的历史境遇,指出中国学界对不同思潮的“选择性接受与研究的非均衡性”,并考察了西方学界的代表性研究成果,为后续各章具体分析提供了学术史背景。

第十二章《浪漫主义之中国百年传播考论》追溯浪漫主义在中国的“时代风潮中的沉浮”,指出浪漫派与启蒙运动及法国大革命的关系是传承抑或反叛,并对“自由”内涵的多义性进行细致辨析。这种历时性考察揭示了文学思潮在跨文化传播中的意义转换。

第十三至十五章对现实主义的研究尤为深入。第十三章探讨“‘主义’的纠结与纠缠”,深入剖析了作为“创作倾向”的现实主义与自然主义的关系。第十四章《十九世纪现实主义“写实”传统及其当代价值》提出了极具创见的理论洞见,将“写实”界定为一个“变数”概念,而非固定不变的创作原则。该章还揭示了“写实”传统与马克思、恩格斯文艺思想的关系,并论述现实主义的当代价值。第十五章《现实主义中国70年传播考论》则考察了现实主义在中国从“功利性”到“工具”与“口号”的演变,回答了“现实主义被‘独尊’了吗”这一重要问题,并尝试拓展现实主义传播空间的可能性。

第十六章对唯美主义思潮的研究,系统考察了“艺术高于生活”与“逆反自然”、“艺术自律”与“为艺术而艺术”、“形式”的自觉与“感觉”的描写、“艺术拯救世俗人生”与“感性解放”等核心理论命题及其在创作中的体现。第十七章则对西方颓废派文学进行再认识,从宗教领域的“世俗化”、知识领域的“内在化”、社会领域的“工业化”三个维度揭示其文化渊源与文学价值。第十八章《象征主义之中国百年传播考论》追溯象征主义传播的发生、调整、滞缓与扩展、复兴等不同阶段,并展望其未来。

这些研究的共同特点是将文学思潮置于文化史、思想史的宏观视野中考察,揭示不同思潮之间的内在关联,拒绝将19世纪文学史视为一个个孤立思潮的简单排列。蒋承勇强调,西方诸多文学思潮在外表的“断裂”式差异中存在着人文-审美的深度关联,由此构成“血脉相连的文学史有机整体”(266-267)。这种谱系学的考察方法,对于“重写文学史”具有重要的方法论启示。

(三) 宏观层面:理论批评的反思性重构

《创新》方法论架构的第三个维度,是对文学理论本身的反思。下编“研

究理论与方法创新”并非抽象的元理论思辨，而是紧密结合中国学界外国文学研究的实际问题，具有强烈的现实针对性。

第二十二章《走向融合与融通：跨文化比较与外国文学研究方法更新》比较了外国语言文学学科下的“比较文学与跨文化研究”与中国语言文学学科下的“比较文学与世界文学”两个二级学科内涵，探讨了融合、融通与文学世界主义的关系，有效回应了2017年学科目录调整后的学科建设问题。

第二十三章《现当代西方文论中国接受之再反思》分析了理论热与理论失范、理论热与理论匮乏的悖论，探讨“主观预设”与理论引领的关系，以及“回归文学”与“场外征用”的张力。蒋承勇指出，反对“理论喧宾夺主”并不意味着拒斥理论，“真正做到从文本出发需要更深厚的理论素养作为支撑”（428）。

第二十四章《“世界文学”不是文学的“世界主义”》对世界文学概念进行了重新梳理，探讨了何谓“世界文学的时代”、何谓“世界的文学”，反思“世界文学”是否是遥不可及的乌托邦，深刻分析了网络化-全球化是否意味着文化一体化，以及比较文学是否抗拒世界主义。作者指出，“世界文学并非消解民族特性的大一统，而是带有不同文明与文化印记的多元化民族文学共生共存的联合体”（463）。

其他章节还涉及文学“能量”说（第二十五章）、文艺复兴运动的潜文化意义（第二十六章）、18世纪以降英国小说演变的跨学科考察（第二十七章）、批评家与作家的“恩怨”及其启示（第二十八章）等重大理论问题。这些研究都体现了对文学理论、文学史、文学批评等基本问题的反思。

这三重维度的方法论架构，并非彼此孤立，而是形成了有机整体。微观文本细读为中观的思潮考察提供了坚实文本基础，中观思潮研究为微观文本阐释提供了历史视野，而宏观理论反思则为前两个层次的研究提供了方法论自觉。这种立体化的研究范式，构成了《创新》最重要的学术贡献之一。

三、多元方法的融通与转化：实践范式的创新性探索

《创新》不仅提出了方法论构想，还通过对具体作家作品、文学思潮的深入研究，展示了多元方法融通运用的可操作性。这种从理论到实践的成功转化，使其成为一部真正具有示范意义的学术著作。

《创新》对多元方法的运用，并非简单拼凑或堆砌，而是基于研究对象的特殊性进行有机整合。正如该书绪论中所强调的，“方法论的选择必须服从于研究对象的内在逻辑，不同的文学现象需要不同的研究方法，而复杂的文学现象则需要多种方法的综合运用”（21）。这种方法论融通的能力，体现了作者深厚的学术功力和开阔的理论视野。

（一）原型批评、叙事学与传播学方法的综合运用

《创新》在方法运用上的创新，突出体现在将原型批评、叙事学、跨文

化传播学等不同理论范式有机结合，形成了多维度研究视角，在对拜伦、劳伦斯、安徒生等经典作家的研究中得到了充分展现。

对拜伦的研究是原型批评方法运用的典范。该著突破了传统研究将拜伦囿于浪漫主义诗人的狭隘定位，以及对“拜伦式英雄”的一般性描述，而是深入探究这一文学形象的心理原型。通过对拜伦生平经历、创作心理的考察，揭示了“拜伦式英雄”的双重原型来源：拿破仑式的反抗型英雄与尼采“超人”哲学原型。这种研究视角的拓展，得益于原型批评方法对文化无意识和集体心理结构的关注。当然，与荣格（Carl Jung）心理学强调的“集体无意识”原型不同，该著更关注的是在特定历史文化语境中形成的“个体原型”及其对后世思想的影响。

叙事学方法则主要应用于对劳伦斯小说研究。作者对《虹》的分析超越了传统研究对主题、人物的关注，而是将焦点转向小说叙事结构。这种复合结构，不是纯技巧的运作，更倾向于内容本身，直入小说纷繁存在事实的内核，把存在中的各式人物联系起来，形成多种意义上的对位。这一分析揭示了劳伦斯小说多重复合式叙述结构不仅是艺术手法的探索，更是对现代人存在状态复杂性的艺术呈现。对《恋爱中的女人》中“深度对话”的研究，进一步深化了这一认识。该著发现，劳伦斯小说中人物间的对话往往超越了情节推进的功能，成为探索人性深层矛盾的哲学对话。这种分析借鉴了巴赫金（Mikhail Bakhtin）的对话理论，但又超越了巴赫金对陀思妥耶夫斯基小说的经典阐释，将对话理论运用于现代主义小说的形式分析。

跨文化传播学方法在对安徒生童话和马克·吐温小说在中国传播史考察中发挥了关键作用。对安徒生童话百年传播史的梳理，不仅是文学史实的考证，揭示了跨文化传播的选择性机制。五四时期强调“童心”，革命时期凸显“批判性”，新时期重新发现“诗意”反映了“民族期待视野”在跨文化接受中的决定性作用。这一研究不仅丰富了对安徒生童话的认识，也论证了外来文学在异质文化中的接受总是“误读”与“创造性阐释”并存的过程，这种“误读”本身就是经典意义生成的重要机制。

以上三种方法的综合运用，并非机械拼凑，而是根据研究对象灵活调整。原型批评用于揭示作家创作的深层心理动因，叙事学主要分析文本形式创新，传播学适用于考察经典跨文化生成。《创新》对不同方法的娴熟运用，展现了作者深厚的理论素养和方法论自觉。

（二）历时性考察与共时性分析的方法论张力

《创新》在方法运用上的另一个突出特点，是将历时性考察与共时性分析有机结合。历时性考察关注文学现象的历史演变过程，共时性分析则主要分析特定历史时刻不同文学现象的结构关系。这一方法论区分源自索绪尔（Ferdinand de Saussure）对语言研究的二元划分。然而，索绪尔强调历时与共时的严格分离，认为语言的历史演变（历时）与语言的系统结构（共时）应

当分别研究。¹《创新》则突破了这一二元对立，在文学研究中实现了历时与共时的辩证统一。

《创新》对“现实主义中国70年传播”的考察，充分运用了历时性方法。将1949年以来现实主义在中国的接受与传播划分为不同阶段：20世纪50-70年代“社会主义现实主义”独尊，80年代西方现代派冲击下现实主义“边缘化”，90年代以来对现实主义的重新认识。这一历时性梳理不仅是文学史实的考证，而且揭示了现实主义概念内涵的历史演变。蒋承勇指出，我国学界所谓的现实主义“独尊”，实际上独尊的是“社会主义现实主义”这一“变体”（225-226），而非19世纪现实主义的本源性内涵。因此，在考察文学思潮的传播时，不能简单将同一名称的概念等同起来，而必须辨析其历史语境中的具体内涵。

与此同时，《创新》对19世纪六大文学思潮的研究则体现了鲜明的共时性分析特征。该著并非将这些思潮作为孤立历史现象分别考察，而是揭示它们之间的结构关系。蒋承勇指出，19世纪西方文学思潮演进，贯穿一条鲜明的“人学”逻辑链条，“将看似断裂的不同思潮整合为一个有机的结构体系”（333）。浪漫主义追求情感的解放，现实主义追求认识的真实，自然主义追求科学的客观，象征主义追求精神的超越，唯美主义追求艺术的自律，颓废派则在价值虚无中探索新的可能。这些不同的文学追求，共同构成了19世纪西方社会对“人”的多维度探索。这种共时性的结构分析，有助于在更高层次理论层面把握19世纪文学整体面貌。

历时与共时的结合，在《创新》对浪漫主义“自由”观念的研究中达到了高度统一。该著既考察了浪漫主义“自由”观念的历史起源，从18世纪感伤主义、狂飙突进运动到法国大革命的复杂影响，又分析了这一观念在浪漫主义思潮内部的多维展开，个人自由、宗教自由、政治自由、艺术自由等不同层面的“自由”诉求形成了浪漫主义的复杂结构。历时性梳理揭示了“自由”观念的历史生成过程，共时性分析则展现了这一观念的内在结构关系。两种方法的有机结合，使得对浪漫主义的研究达到了很高的理论深度。

这种方法论张力的形成，并非偶然，而是源于作者对文学史研究本质的深刻理解。文学史既是历史的，又是结构的；既要考察文学现象的时间演变，又要揭示不同现象的空间关系。《创新》对历时与共时方法的成功整合，为文学史研究提供了重要的方法论启示。

通过原型批评、叙事学、传播学等多元方法的综合运用，以及历时性考察与共时性分析的辩证结合，《创新》在实践层面建构了一套可操作的经典重估研究范式。这一范式的核心特征在于方法的开放性与运用的灵活性，即根据研究对象的不同特点选择合适的方法，根据研究问题的复杂性综合运用

1 参见 Ferdinand de Saussure, *Course in General Linguistics*, edited by Charles Bally and Albert Sechehaye, translated by Wade Baskin, New York: Philosophical Library, 1959.

多种方法，避免方法论的教条主义和僵化。这种实践范式对于当代文学研究具有重要示范意义。

四、学术贡献与学科意义：经典重估的范式转换

《创新》学术价值不仅在于对具体作家作品、文学思潮的创新性阐释，还在于其对整个文学研究领域的方法论贡献。该著在“重写文学史”的推进、比较文学学科建设的深化两个方面都产生了深远影响。《创新》的学科意义并非外在于其具体研究内容，而是体现在其研究理念和方法论实践。正是通过对经典重估的系统探索，该著作为相关学科领域提供了可资借鉴的理论资源 and 实践范例。正如绪论中所言，“经典重估不仅是一个文学批评问题，更是一个关涉文学史书写、学科建设的全局性问题”（22）。

（一）对“重写文学史”的方法论贡献

“重写文学史”是20世纪90年代以来中国文学研究界的重要学术议题。这一议题的提出，源于对既有文学史叙事模式的反思。传统文学史往往以线性进化论为框架，以现实主义为唯一正统，忽视了文学发展的复杂性和多样性。1988年陈平原、钱理群、黄子平等学者发起的“二十世纪中国文学”研究，1993年严家炎主编的《二十世纪中国文学史》等，都是“重写文学史”的重要实践。然而，如何在理论和方法上真正实现文学史的“重写”，仍是一个有待深入探索的问题。

《创新》为“重写文学史”提供了重要的方法论资源。该著对文学思潮的研究直接回应了文学史书写中的核心问题：如何处理文学史的连续性与断裂性？如何理解不同文学思潮之间的关系？如何避免单一标准对文学史的简化？该著强调，“西方诸多文学思潮在外表的“断裂”式差异中存在着人文—审美的深度关联，由此构成血脉相连的文学史有机整体”（15）。因此，文学史的书写既要尊重不同思潮的独特性，又要揭示它们之间的内在关联；既要看到文学发展的断裂与变革，又要发现其中的传承与延续。

更为重要的是，《创新》对“写实”概念的辨析，为重新评价现实主义在文学史中的地位提供了理论依据。该著关于“写实”作为“变数”概念的论述，打破了将现实主义视为固定创作方法的僵化理解，为现实主义在20世纪的多样化发展提供了理论解释。在肯定19世纪现实主义经典地位的同时，承认20世纪各种新形态现实主义的合法性。这种开放包容的文学史观，正是“重写文学史”所需要的理论基础。

《创新》对跨文化传播中经典再生机制的揭示，则为“重写外国文学史”提供了独特方法论视角。在书写外国文学史时，不能简单照搬西方学界经典体系和价值判断，应基于中国读者接受史、中国学者阐释史，建构具有中国气派的外国文学史叙事。这种方法论自觉，对于建构中国特色的外国文学研究话语体系具有重要意义。

（二）比较文学“跨文化研究”的理论深化

2017年，国务院学位委员会、教育部颁布的《学位授予和人才培养学科目录》将“比较文学与跨文化研究”设立为外国语言文学一级学科下的二级学科。这一调整反映了比较文学学科发展的新趋势。《创新》下编专门讨论了“比较文学与跨文化研究”的学科定位问题，明确该二级学科与“比较文学与世界文学”的共性与差异。两者都须以比较文学理论与方法展开国别文学研究，而跨文化研究与世界文学是不同的追求目标、研究范围及途径。这种学科定位判断对比较文学学科建设具有重要指导意义。

《创新》对“跨文化”概念的阐发亦深化了对比较文学学科本质的认识。该著强调，“跨文化研究不仅指研究对象、研究内容的跨文化，更重要的是研究者的跨文化视野、意识、知识储备、背景参照”（25）。这一论述揭示了“跨文化”的方法论本质：它不是一种研究对象的分类，而是一种研究立场和思维方式。中国学者研究西方文学，明显处于跨文化位置；如何将这种跨文化位置转化为研究优势，需要方法论自觉。《创新》正是通过对西方文学经典的跨文化重估实践，展示了这种方法论自觉的学术价值。

《创新》对“世界文学”概念的辨析，也为比较文学学科发展提供了重要的理论资源。该著在绪论中通过对歌德、马克思、恩格斯等人“世界文学”论述的梳理，指出歌德所说的“世界文学时代”的人类文学，“并不是消解民族特性与差异性文学之大一统，而是带有不同文明与文化印记的、多元化的民族文学同生共存的联合体”（26）。这一阐释纠正了将“世界文学”理解为文学“世界主义”的偏颇，强调了民族文学的多样性是世界文学的基础。比较文学不是要消解民族文学的特殊性，而是要在尊重差异的基础上促进不同文学传统对话与交流。

《创新》对比较文学学科建设的贡献，还体现在其对学科方法论体系的建构。通过对原型批评、叙事学、跨文化传播学等多种方法的综合运用，展示了比较文学作为一门综合性学科的方法论特征。比较文学的优势不在于拥有某种独特研究方法，而在于能根据研究对象特点灵活运用各种方法，实现跨学科、跨文化、跨语言的综合研究。《创新》方法论实践，为比较文学学科的方法论建设提供了成功范例。

从“重写文学史”到比较文学学科建设，《创新》的学术贡献体现了从具体研究到学科建构的理论自觉。这种学科意识使该著超越了一般性研究专著，成为具有学科建设意义的理论著作。

五、结语：经典重估的持续性与开放性

《经典重估与西方文学研究方法创新》一书以系统的理论建构、立体的方法论架构和丰富的研究实践，为当代文学研究提供了一个经典重估的成功范例。在理论层面，突破了本质主义经典观，确立了经典的历史生成性和跨

文化建构性；在方法论层面，构建了微观文本细读、中观思潮谱系、宏观理论反思的三重架构，形成了可操作的研究范式；在实践层面，通过对西方文学经典作家作品、文学思潮的创新性阐释，展示了这一方法论体系的有效性。

《创新》的学术价值不仅在于其具体的研究成果，还在于其所体现的方法论自觉和学科意识。该著对“重写文学史”的方法论贡献，对比较文学“跨文化研究”的理论深化，都体现了作者对当代人文学术发展方向的深刻把握。在理论移植盛行的时代，《创新》坚持立足本土问题意识，结合中国学界的研究实际，建构具有中国特色的文学研究方法论体系。这种学术立场本身就是对“经典重估”理念的实践：不是简单接受西方学界理论框架和研究范式，而是基于自身学术传统和现实需求，创造性建构新的理论话语。

当然，任何学术研究都有其可拓展的空间。在数字人文蓬勃发展的今天，如何将大数据分析、文本挖掘等新技术整合进经典重估的方法论体系，是值得进一步探索的方向。在全球南方(Global South)视角日益受到重视的背景下，如何超越西方中心主义的经典谱系，建构更具包容性的世界文学经典体系，也是经典重估需要回应的新课题。此外，随着生态批评、情感研究等新兴理论范式的兴起，经典重估可以获得哪些新的阐释维度，也值得学界持续关注。

经典重估不是一劳永逸的工程，而是一个持续开放的过程。“每个时代都有重估经典的必要”（1）。《创新》的出版不是经典重估的终点，而是新一轮探索的起点。该著所建构的方法论体系，为后续研究提供了坚实的理论基础；所展示的学术范例，为后来者指明了可行的研究路径。在文学边缘化与“经典重估”呼声并存的时代，《创新》以其理论深度、方法论创新和学术视野的开阔，向我们昭示，经典重估不是对过去的简单回归，而是以新时期的理论视野和方法论工具，发现经典的新价值、新意义，从而实现文学研究的创新性发展。这正是《创新》一书的核心价值所在。

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从“灵韵”消退到人机共生：AI时代文学情感的异化与重构

From the Loss of “Aura” to Human-Machine Symbiosis: The Alienation and Reconstruction of Literary Emotion in the AI Era

曾艳钰（Zeng Yanyu）

内容摘要：文学情感表达的历史形态与媒介条件密切相关，其审美经验与主体结构在不同技术语境中不断重构。本文考察文学情感从传统社会经工业化、数字化，直至人工智能语境的历史演变，分析情感经验由整体化走向碎片化、由群体性走向个体化的结构性转型，论证“灵韵”作为文学情感经验的核心审美品质。技术变迁引发了情感表达的双重效应——工业化和数字媒介导致情感的规范化、碎片化与“熵增”现象，而人工智能的介入进一步动摇了情感真实性与创作主体性的经典范式；但技术也为情感表达提供了重构可能，跨媒介叙事与虚拟现实等形态拓展了情感表达的新维度。本文提出“人机协同创作”的实现路径，指出数字时代的“灵韵”正从静态的“此时此地”转向动态的“分布式存在”，其重构需要在技术辅助与人文价值之间建立动态平衡机制。

关键词：灵韵；情感理论；情感异化；人工智能；人机协同

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Title: From the Loss of “Aura” to Human-Machine Symbiosis: The Alienation and Reconstruction of Literary Emotion in the AI Era

Abstract: The historical forms of literary emotional expression are intimately bound to media conditions, as aesthetic experience and subject formation undergo continuous reconfiguration across different technological contexts. This study examines the historical evolution of literary affect from traditional societies through industrialization and digitalization to the contemporary AI environment, analyzing the structural transformation of emotional experience from holistic to fragmented modes and from collective to individualized configurations, while arguing for “aura”

as a core aesthetic quality of literary emotional experience. Technological transitions have generated dual effects on emotional expression: industrialization and digital media have induced the standardization, fragmentation, and "entropic decline" of affect, while artificial intelligence further destabilizes classical paradigms of emotional authenticity and creative subjectivity. Yet technology also opens possibilities for reconstruction, as transmedia narrative and virtual reality expand new dimensions of emotional expression. This article proposes possible pathways for "human-machine collaborative creation," demonstrating that digital-age "aura" is shifting from the static "here and now" toward a dynamic "distributed presence," whose reconstruction requires dynamic equilibrium between technological enablement and humanistic values.

Keywords: aura; emotional alienation; affect theory; artificial intelligence; human-machine collaboration

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文学作为人类情感表达和传递的重要载体，贯穿了从古典时期到现代社会的历史发展进程。它不但是个人生命体验的记录，更是用语言和叙述建立起联系群体记忆与社会情感的纽带。本雅明（Walter Benjamin）在《机械复制时代的艺术作品》（*The Work of Art in the Age of Mechanical Reproduction*, 1936）中提出的“灵韵”（Aura）概念，揭示了艺术作品独特的时空属性与不可复制性。¹这种“灵韵”源自创作者的身体经验与精神感知，体现为“遥远之物的独一显现，虽远，犹如近在眼前”（65）。它既是艺术作品“可靠性和权威性”的保证，也是人类对自然的审美体验与精神寄托。²然而，随着人工智能技术深度介入文学领域，这种基于人类主体性的“灵韵”正逐渐消退：源自生命体验的艺术创造正在被模式化的算法写作取代，情感的真实性与审美深度面临前所未有的异化危机。

情感理论（Affect Theory）揭示，情感不仅是心理现象，更是一种跨身体、社会和文化场域的动态力量，具有“身体化”（embodied affect）、“流动性”（affective flow）和“社会互动性”（social interactional affect）的特

1 参见本雅明：《迎向灵光消逝的年代》，许绮玲、林志明译，桂林：广西师范大学出版社，2008年，第65页。“Aura”一词在中文学界有“灵光”与“灵韵”两种译法。许绮玲、林志明译本采用“灵光”，而本文选用“灵韵”以强调其作为文学情感审美特质的持续性与流动性。两种译法在学理上并无本质差异，本文统一使用“灵韵”。

2 参见 Gillian Harkins, "Virtual Predators: Neoliberal Loss and Human Futures in the Cinema of Pedophilia," *Social Text* 2 (2013): 123-144.

质。¹斯宾诺莎 (Baruch de Spinoza) 和德勒兹 (Gilles Deleuze) 的情动理论进一步强调情感流动的生成性与交互性, 它既体现了人与世界的关系统, 也塑造着文学的表达本质。然而, 当算法试图以高度精确和数据化的方式模拟人类情感时, 就不可避免地带来了情感表达的“技术中介化”和“灵韵熵增”现象, 即文学作品中情感深度的不断丧失以及人类独特创造性的削弱。从传统文学依赖创作者的具身性体验, 到工业化时代的情感规范化与符号化, 再到人工智能 (AI) 技术参与下的情感“技术中介化”, 情感的表达逐渐从自发性向程序化过渡。在AI生成的文学作品中, 情感因缺乏创作者的真实生命体验而表现出一定的异化特征: 它倾向于模式化与熵增化, 难以触及斯宾诺莎所强调的“主动情动” (刘芊玥 207) 和马苏米 (Brian Massumi) 提出的“情动强度” (intensity) 的深层体验 (金雯 46)。²

然而, 技术的介入并非完全负面, 它为文学情感的重构提供了新的可能性。马苏米认为, 通过技术与情感的协同, 可以释放隐藏在“虚拟与实际”之间的情动交互潜力, 重塑文学情感的多维表达。³ 人机协同模式既可以拓宽文学边界, 又可以使得文学情感在新的技术生态下依然有生命力。本文以文学情感为研究对象, 结合情感理论, 探究其从传统到 AI 时代的演变过程, 分析技术对情感表达的异化现象, 并从人机协同创作角度提出应对路径。如何在技术赋能与人类主体性之间保持平衡, 使“灵韵”在技术与人文的张力中重新生成, 将成为重新定义文学价值的关键问题。

一、文学情感与灵韵的历史流变

文学情感表达的演变历程可以视作人类不断实践与完善情感书写的动态发展史, 其核心不仅在于对个体情感体验的捕捉, 更在于文化群体记忆与社会交互意义的深度连接。“灵韵”在这一过程中始终发挥着不可替代的作用, 象

1 Affect (拉丁语 affectus) 作为斯宾诺莎哲学的核心概念, 兼具心理和生理双重属性。虽与 feelings (感觉)、emotions (情绪) 相关, 但内涵更丰富。中文译法存在争议, 目前学界较认可“情动”, 更好地体现其力的流动性特征。从词源看, affect 首要含义是“影响”, 既指主动施与, 也包含被动接受。在当代理论中, affects 多用复数形式, 表明情感理论涵盖多样的情感体验及其复杂关联。考虑到语言约定俗成, 本文使用“情感”译法。参见 刘芊玥: “‘情动’理论的谱系”, 《文艺理论研究》6 (2018): 203-211; 金雯: “情动与情感: 文学情感研究及其方法论启示”, 《文化艺术研究》1 (2022): 44-55; 刘亚猛: “‘情感转向’与西方修辞研究的自我更新”, 《当代修辞学》3 (2022): 1-17; 陆扬: “‘情感转向’的理论资源”, 《上海大学学报》1 (2017): 30-38; 汪民安: 《情动、物质与当代性》, 济南: 山东人民出版社, 2022年, 第3-20页。

2 本文援引的理论存在内在张力: 本雅明强调“灵韵”的独特性与不可复制性, 德勒兹突出情感的流动性与生成性。但这种张力恰恰构成本文分析的动力: 数字时代的“灵韵”正从静态的“此时此地”转向动态的“分布式存在”, 需要在独特性与流动性之间寻求新的平衡, 这也是本文的理论立场。

3 参见 刘芊玥: “‘情动’理论的谱系”, 《文艺理论研究》6 (2018): 207。

征着文学创作的独特性与真诚性，也表现为一种记录情感深度与延续文化体验的精神力量。根据本雅明的观点，文学的灵韵源于其不可复制的特性及创作中融入的时间性和空间性。而情感理论为理解文学情感提供了新的视角，认为情感不只是内省化的心理活动，更是身体化的、动态流动的、具有交互性的驱动力系统。¹ 斯宾诺莎的情感理论指出情感不仅是个体的身体状态，也是主体与世界互动的结果，“快乐”“痛苦”和“欲望”这些核心维度通过文学书写转化为持久的文化体验。² 文学情感的表达以不同的时代为契机，逐渐从群体体验到个体表达，从形式规范到碎片化创新，呈现出情感书写的丰富演化。

古典时期的文学描绘，将人类情感融入人与自然的交互关系之中，体现出一种共鸣性的“情感场域”（affective field）。如中国的《诗经》中“蒹葭苍苍，白露为霜”用自然意象来表现情感的深沉，用意象来唤起个体和群体之间的文化共鸣。这样的书写既表现出了自然同人类情感之间的密切联系，又表现出本雅明所提出的灵韵的不可重复性，即情感体验经由象征而具备了特别的精神价值。根据斯宾诺莎的观点，这种跨越自然与人类之间的情感流动，是一种“身体与环境共同生成”的情感力量（3）。古希腊文学中也有这样的表达，比如索福克勒斯悲剧《俄狄浦斯王》通过命运、伦理与个人选择复杂交织的叙事，表现个体情感与群体文化的张力。根据德勒兹的情动流变的观点，这种情感不仅是个体化的体验，更是社会行为的驱动力，是一种通过角色与场景相互作用而生成的情感力量。³ 文学灵韵在此就表现为情感和角色之间相互作用所产生的动态生成。

文艺复兴时期文学由群体书写转向对个体内心复杂情感的挖掘。灵韵在这一过程中被赋予了更强的主体性，并与作品所强调的心理结构紧密相连。莎士比亚的《哈姆雷特》借助角色情感叙述与内心独白，把伦理、情感、社会结构有机地联系在一起。这种情感书写模式不仅揭示了伦理与政治因素在情感生成中的重要性，也开创了现代戏剧中心理维度的表达方式。这种情感表达不仅开创了现代戏剧的心理维度，也体现了本雅明所说的灵韵的“此时此地性”——文学的独特价值就在于它能把个体的存在置于无法替代的情感场域中。

浪漫主义时期，文学情感表现出由个体内心转向与自然交互的自由流动。这一时期的文学强调情感的自然与自发性，展现出文学灵韵的主观性与

1 参见 金雯：“情动与情感：文学情感研究及其方法论启示”，《文化艺术研究》1（2022）：45-46。

2 参见 B. Spinoza, *Ethics*, translated by W. H. White, Hertfords: Wordsworth Editions, 2001, 146.

3 参见 Gilles Deleuze, "Lecture Transcripts on Spinoza's Concept of Affect (1978-1981)," *LES COURS DE GILLES DELEUZE*, 2017 Webdeleuze. Tous droits réservés. V. 1.1. Available at: https://www.gold.ac.uk/media/images-by-section/departments/research-centres-and-units/research-centres/centre-for-invention-and-social-process/deleuze_spinoza_affect.pdf. Accessed 29 December 2025.

个体化。这种情感表达与奈杰尔·斯瑞夫特 (Nigel Thrift) 提出的“非表征情动” (non-representational affect) 高度一致, 即情感是一种未被完全编码化的自由力量。¹ 华兹华斯 (William Wordsworth) 提出“诗是强烈情感的自然流露”, 这是文学书写从规范化表达转向个体体验的重要转折。他的诗歌以自然为媒介, 将情感的生成和传递开放至更广泛的文化场域, 展现了“情感场域”的无限可能性。² 这种表达不仅激发了创作者与自然之间的深度连接, 也赋予了文学灵韵更强的个人主义特征。文学情感在这一时期不仅是内心状态的反映, 更是个人反思与行动的驱力量, 灵韵深深嵌入创作者的主观性之中。

现代主义与后现代主义时期, 文学情感表达更加碎片化、多样化, 其在形式与内容上的实验拓展了传统的书写逻辑。文学灵韵从统一性的情感表达转向动态流变, 体现出跨时空的复杂性, 呈现出“情感场域去中心化”的特征。现代主义文学, 如伍尔夫 (Virginia Woolf) 的作品, 就用意识流的手法把即时的情感和心理流动当作表达的主要手段。这种情感生成方式跳脱了静态描绘, 转而捕捉情动的后效力, 展现了主体间情感的流动、分裂与转化, 其表现更具有开放性。这使灵韵从静态转向动态与流变, 表达了情感在主体间的流动、分裂与转化。这种体现“情动后效力”的书写方式使情感表达不再单一, 而呈现出跨时空的复杂性。

后现代主义进一步颠覆了传统文学的情感表达逻辑。非线性叙事与形式实验将情感书写变成一个开放且多义的空间。例如品钦 (Thomas Pynchon) 等作家的作品就模糊了灵韵的单一定义, 通过技术与人文的深度交织, 使文学的情感表达充满了新奇的交互意义。后现代主义不再局限于情感的个人化表现, 其不确定性的书写形式彰显了文学创作者对情感与形式的不断探索与多重建构。这一书写方式可以理解为对德勒兹“情动流变”理论的延展, 情感不仅是静态描述的结果, 更成为文学表达的驱力量。³

由上可见, 从古典到现代再到后现代, 文学的情感表达经历了从规范性书写到实验性探索的跨越, 展现出从整体性到个体化、从稳定性到动态流变的多维演化过程。无论是古典时期的“情感场域”, 还是现代文学的“流动性与生成性”, 灵韵始终是文学情感表达的核心灵性所在。它不仅是文学的审美内核, 更是文学创作中不可替代的精神支柱, 使文学具备了跨越时空、超越文化背景的持久生命力。文学情感的动态生成体现了不同时代的人类情感需求与文化愿景, 为社会与个体的持续互动注入新的动力。

1 参见刘亚猛: “‘情感转向’与西方修辞研究的自我更新”, 《当代修辞学》3 (2022): 4。

2 参见转引自 M. H. Abrams and S. Greenblatt, *The Norton Anthology of English Literature* Vol. 2, London: W. W. Norton & Company, 2000, 303.

3 参见 Gilles Deleuze, “Lecture Transcripts on Spinoza’s Concept of Affect (1978-1981),” *LES COURS DE GILLES DELEUZE*, 2017 Webdeleuze. Tous droits réservés. V. 1.1. Available at: https://www.gold.ac.uk/media/images-by-section/departments/research-centres-and-units/research-centres/centre-for-invention-and-social-process/deleuze_spinoza_affect.pdf. Accessed 29 December 2025.

二、技术变迁与文学情感表达的异化与赋能

随着技术的不断发展，文学情感表达方式经历了显著的形态转变。由手工抄写的文学时代到印刷术普及的工业化时期，再到数字化时代的信息传播技术，人类书写情感的方式逐步发生了深远变化。这种变化并不局限于形式上的转变，更引发了情感表达本质上的异化——情感表达从自主性的主体活动转变为受技术系统支配的标准化过程。根据斯宾诺莎和德勒兹情动理论的观点，技术作为嵌入情感表达过程中的“动态力量”（dynamic forces），并非简单的中性媒介，而是通过影响情感表达的生成逻辑，在赋能文学表达的同时也在塑造并改变情感的内在特质。¹

在工业化时代，通过印刷术、机械化生产以及大众媒体的广泛传播，文学情感的表达方式逐渐走向规范化与符号化。从技术嵌入的角度来看，马苏米指出，“情感流动”一旦进入技术系统便被编码化，就会成为一种可量化、可复制的表现形式。²这使得19世纪的文学创作出现了一种迎合市场需求的公式化叙事。畅销小说中常见的“情感冲突+解决方案”的模式无形之中成为固定准则，将深层情感体验简化为可预测的模板，造成情感表达的统一化危机。

这一时期的“规范化情感表达”显著异化了文学的社会功能。情感不再体现为主体自由流动的个体体验，而是一种经过市场编码的文化商品。这就导致一种“情感熵增”（affective entropy）——情感表达从多样化、高度个性化的状态退化为同质化、可预测的模式。³在技术的规训作用下，文学情感逐渐丧失自身的开放性与强度，从而向重复性的、可预测的叙事模式演化。这种熵增化使文学情感表达变得单调乏味，失去了对复杂、细腻情感体验的深刻表现。

进入数字化时代，技术的革新为文学情感表达打开了新的可能性，同时也加剧了情感表达过程的碎片化与去中心化这一趋势。数字媒介使文学创作从专业领域走向大众化。在线平台及短内容传播（如微小说、社交媒体帖文）使情感表达变得短促、分散，不再依赖传统线性叙事，成为技术与情感交互的副产物。与此同时，在数字化内容生产过程中，情感表达逐渐被算法实时操控。这种操控创造了一种“预设情感场域”（pre-programmed affective field）（Colman 171），即情感表达不再以人的主体体验为核心，而更多地受到技术系统的约束。例如，在网络文学中，情感的书写方式往往受到“热

1 参见 Gilles Deleuze, "Lecture Transcripts on Spinoza's Concept of Affect (1978-1981)," *LES COURS DE GILLES DELEUZE*, 2017 Webdeleuze. Tous droits réservés. V. 1.1. Available at: https://www.gold.ac.uk/media/images-by-section/departments/research-centres-and-units/research-centres/centre-for-invention-and-social-process/deleuze_spinoza_affect.pdf. Accessed 29 December 2025.

2 参见刘芊玥：“‘情动’理论的谱系”，《文艺理论研究》6（2018）：208。

3 参见 Felicity Colman, "Affective Entropy: Art as Differential Form," *Angelaki: Journal of the Theoretical Humanities* 1 (2006): 169-178.

度”“点击量”等数据指标的塑造。情感因此被重构为一种市场化策略，成为流量驱动的叙事元素。这不仅限制了情感表达的多样性，也削弱了文学作品中开放性的情感生成力量。

近年来，人工智能技术的发展进一步加剧了文学情感表达的程序化现象。AI参与文学创作引发了关于情感真实性的质疑：它是否能生成“具身化”的深层次情感，而不是单纯的模式化或者数据拼接？从情感理论的角度看，AI创作面临的核心问题在于其难以实现德勒兹所说的“情感生成”（affective genesis）。AI系统虽然能够模仿人类的情感表达模式，但缺乏马苏米强调的“身体化情感”（embodied affect）基础。这种情况下的“灵韵”呈现出本雅明所未预见的新特点：它不再完全依赖于创作主体的独特性，而是在人机交互中产生的一种新型情感场域。这种情感场域既保留了技术的精确性，又需要人类主体的情感投入才能真正激活。

AI创作中情感表达的异化主要表现为缺乏“情动强度”。正如斯宾诺莎和德勒兹所强调，情感的生成与主体的身体经验密不可分。¹以AI写作平台创作的诗歌为例，其情感表达往往停留在表层词句堆砌，难以像徐志摩《再别康桥》那样传达深刻的个人情感体验。这种“异化的情感表达”导致文学创作的“熵增化”，缺乏真正源自生命体验的情感深度。然而，AI创作也为情感表达开辟了新的可能性。人机协同创作模式正在重塑当代文学创作边界，既保留人类情感温度，又借助AI计算能力开拓新的表达空间，这为突破既有情感表达模式提供了新的可能。

可见，技术的介入使文学情感表达在异化与赋能之间呈现出复杂的辩证关系。一方面，技术对情感表达的程序化、模式化与符号化带来了一种不可避免的挑战；另一方面，它通过协同创作与情感场域的重塑，为文学提供了全新的表达维度。这种张力不仅是技术进步的结果，也是人类主体在面对技术介入时的文化调整过程。从情感理论视角来看，我们仍需警惕情感的异化现象，同时探索技术对文学情感表达的赋能机制，通过人机协同实现文学情感的深度挖掘与流动性创新。在这一过程中，文学情感既是在保护中继承传统，也是在发展中突破限制，继续塑造人与世界互动的文化对话。

三、AI时代文学情感的多维重建

文学在应对技术异化的同时，也通过不断创新寻找新的情感表达路径。这种创新不仅是对传统文学的延续，更是在面对新的技术语境时的主动探索与突破。从情感理论的视角来看，创新的文学情感表达方式可以看作对“情感流动”和“情感场域”的重塑。这种重塑不仅扩展了文学的表现力，也推动了文学功能从审美经验向人类交互体验的新转型。

首先是从线性叙事到跨媒介表达的形式创新。随着技术的进步，文学的

1 参见汪民安：《情动、物质与当代性》，济南：山东人民出版社，2022年，第5页。

叙事形式逐渐从传统的线性书写转向多样化、跨媒介的表达方式。这种形式创新一方面打破了文本的单一性，另一方面也创造了新的情感体验。例如，互动小说、VR文学等跨媒介作品通过打破传统的时间线逻辑，将读者置于动态的情感场域中，增强了情动的“参与性”和“生成性”。

虚拟现实技术的应用极大地拓展了文学情感表达的可能性。通过将读者带入“沉浸式情感场域”，文学作品不再局限于传统的语言叙事形式，而是演变成为一种全新的身体化交互体验。以弗朗茨·卡夫卡（Franz Kafka）的短篇小说《变形记》的VR改编为例¹，读者通过VR设备直接进入主人公变成甲虫后的生活场景，通过沉浸式体验真实感受角色的心理孤立与社会排斥，产生更深刻的心理共鸣。这种创新方式展现了虚拟现实技术在文学创作与传播领域的广阔前景。

文学情感的内容创新是另一重要方向。在技术参与的背景下，作家开始尝试对情感进行更深层次的挖掘与扩展，将个体体验与社会问题结合。例如，近年来基于环境危机、全球化等宏观议题的“生态文学”通过自然与人类对话的情感塑造，引发了读者对世界性问题的共情。²这种文学实践扩展了情感的维度，使其不再局限于个人的身体与意识，而成为人类与自然、社会互动的一部分。

此外，情感表达的内容创新还表现为对边缘化群体的关注。许多作家通过书写边缘化群体的情感体验，赋予文学一种“情感疗愈”功能。这种书写方式不仅是对个体自主性与身份认同的反思，也是对文学情感表达社会功能的新诠释。例如，托妮·莫里森（Toni Morrison）的作品通过深刻剖析种族与性别议题，将边缘化个人的情感置于文学的核心，促使读者感知和反思情感的复杂性与社会性。

人工智能的迅速发展正在重塑文学生态。区别于传统的人类创作，人工智能文学依托算法、算力和海量语料库，通过向量式语言生成机制，能够根据提示词自动创作诗歌、小说等作品。这种新型创作方式推动了写作形态从纯人类创作向人机协同的转变。近年来，人工智能在文学创作领域取得了一系列突破性进展：从2016年AI参与创作的作品通过日本“星新一奖”评委审核³，2018年美国作家Ross Goodwin创新性地将文本模型与摄像机、GPS相结

1 参见 Ágnes Karolina Bakk, "VR Adaptations: Faithfulness and Interactions—Interview with Mika Johnson," *Theorising and Designing Immersive Environments*, edited by Ágnes-Karolina Bakk and Péter Kristóf Makai, Cham: Springer Nature Switzerland AG, 2025, 77-81.

2 参见 王玉明、冯晓英：“人类命运共同体视域下生态文学的价值蕴含”，《中国社会科学网》2025年4月22日，访问网站：https://www.cssn.cn/skgz/bwyc/202504/t020250422_5870115.shtml。

3 参见 人民网日本频道：“日本人工智能写出小说 在‘星新一奖’大赛中通过初审”，《人民网》2016年3月23日，访问网站：<http://japan.people.com.cn/GB/n1/2016/0323/c35466-28221366.html>。

合来生成文学作品¹，到2019年陈楸帆与AI合作的《出神状态》获AI文学榜桂冠²，再到2023年沈阳创作的《机忆之地》获奖³，这些成功案例表明，人工智能采用的“根茎式”知识系统不仅能获取信息，还能使语言产生不同层次的表现力，形成独特的“异质性重复”美学特征。这种创新不仅打破了传统写作中的时序性和因果关系，也消除了空间维度上中心与边缘的界限，使文本成为开放的意义场域。在这种从“具身逻辑”向“计算逻辑”转变的过程中，AI辅助写作已成为一种新趋势，作家们通过AI生成的情感数据模型，能够重新定义情感氛围的建构，拓展情感表达的深度与广度。这种协作模式既保持了文学作为交互式文化载体的特质，又确保了技术服务于主体情感体验的本质，避免完全取代创作者的情感驱动力，为文学发展开辟了新的方向。但这种协作需要满足关键条件：技术辅助而非替代人类情感投入，算法设计需遵循人文价值导向，持续校准人机边界以防创造力退化。缺失这些机制，“共生”可能沦为“异化”的另一形式。因此，AI重拾“机械复制时代”所逝去的灵韵并非自动实现，而是需要持续建构的动态过程。如果说传统艺术的灵韵来自其“此时此地”的独特性，那么数字时代的灵韵则体现为一种“分布式存在”（distributed presence）。这种新型灵韵不再受限于物理空间的唯一性，而是通过技术网络实现多点同时在场。这一特点揭示了数字时代艺术作品的新型存在方式。在这一过程中，文学不必将技术视为对情感表达的威胁，而可以通过技术工具实现新的情感场域设计与重塑。这一协同模式为文学情感表达开辟了新的可能性，即在技术的推进中探索更高度融合、更加多维的情感书写方式。

尽管技术为文学情感表达提供了无数的创新契机，人文关怀仍是文学未来发展的核心要素。近年来，人工智能在文学创作领域展现出惊人的能力：智能写作系统能够通过情感曲线分析技术精确把握小说时间线和人物情感变化，在创作诗歌等短篇作品时，甚至已能超过大多数人类创作者的水平。然而，实践表明，AI生成的打斗场景虽然流畅，但情感转折点仍需人工干预；AI诗歌的意象组合虽然精妙，却总是缺少“心跳声”。⁴在技术不断进步的背景下，文学需要避免沦为由算法主导的冷漠表达，而应在创新中保留一种“情感真实性”。文学的本质是“人学”，是人类情感和思想的独特表达。写作过程中的苦与乐、焦虑与表达、对语言的斟酌把握，以及基于人类生命体验的深度与复杂性展开的情感表现，都是AI无法真正替代的。因此，AI作品

1 参见 高斯寒、约瑟夫·威尔逊：“人工交流”，《世界科学》7（2023）：51-52。

2 参见 陈楸帆：“GPT时代的创意写作”，《文艺报》2023年5月29日，第02版。

3 参见 余梦琰：“AI将提升科幻文学的创造力——《机忆之地》创作的启示”，《光明日报》2024年7月6日，第09版。

4 参见 孙磊、黄宙辉：“精确算法能替代人类“心灵的震颤”吗？”，《羊城晚报》2025年2月23日，第A05版。

的灵韵源自人类的生命体验，是人类感知、情感 and 理解的结晶。¹ 这些作品只有在与人类产生互动、被人类感知和理解的过程中，才能真正焕发生机，展现其艺术价值。正是人性的注入和人文关怀的融入，才能赋予 AI 作品以灵魂和意义。

此外，文学的发展还必须回应全球化与数字化时代的挑战。跨文化交流、边缘群体书写等内容未来将在文学情感表达中占据重要地位，并推动文学从传统叙事走向开放式的文化对话。文学在这一过程中扮演的不仅是传统意义上的审美媒介，更是人类共同情感体验的重要载体。通过形式与内容创新，以及技术协同的探索，文学情感表达将在保留传统价值的同时迎接更多元化的发展。其未来不只是情感的记录，更是情感生成与流变的实践空间，为个体和群体提供理解、交流和感知的桥梁。

结语

通过对文学情感表达历史演变的梳理与分析，我们发现文学情感的“灵韵”并非一成不变，而是在技术与人文的持续互动中不断重构的动态过程。从古典时期的“情感场域”到现代主义的“流动性生成”，再到人工智能时代的“分布式存在”，文学情感表达的每一次转型都伴随着对传统边界的突破和对新可能性的探索。传统艺术的灵韵来自其“此时此地”的独特性，而数字时代的灵韵则体现为“分布式存在”，呈现出全新的美学特质。人工智能时代的文学情感表达正在形成一种全新的生态模式。技术不再是外在的工具，而成为内在的创作要素；人类也不再是唯一的创作主体，而是协作网络中的核心节点。这种转变使文学创作呈现出前所未有的特征：创作主体趋向多元化，读者与作品的关系得以重构，文学评价标准亦随之革新。文学以其独特方式诠释了传统与现代、个体与集体、人文与技术之间的辩证关系，展现出在数字化浪潮中的创造性适应能力。未来文学的发展，需要在技术赋能与人文坚守之间保持动态平衡。文学的“灵韵”将以新的形式延续，继续为人类的情感表达和文化遗产提供不竭动力。这一演进过程既体现了文学自身的生命力，也彰显了人类在数字化转型中的创造性潜能，为我们理解和应对当代文化挑战提供了重要启示。

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1 参见 彭锋：“人工智能与灵韵重现”，《电影艺术》5（2024）：18。

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Specters of Realism

Liu Yang & Wang Shouren

Abstract: This paper explores the critical possibilities of “specters of realism” as a conceptual metaphor for realism’s place in literary history, its truth-seeking spirit as well as its approach to reality. Contrary to René Wellek’s description of realism as a “period-concept,” realism has made recurrent returns to the literary landscape, and, in a spectral gesture, disrupted the linear temporality of a literary history that sees realism as preceded by Romanticism and followed by Modernism and Postmodernism. Underlying the acts of mimesis is a realist impulse that compels writers to engage with reality through diverse representational strategies. Drawing on the “spectral turn” in cultural studies in the past three decades, this paper examines the circulation of “The Luo Cha Country and the Sea Market,” a mystical story from *Liaozhai*, and discusses Yan Lianke’s critical works such as *The Veils of Liaozhai*. It argues that the concept of mythorealism, proposed by Yan Lianke and exemplary of the contemporary realist enterprise, is premised on a hauntological epistemology that places the novel on the liminal position between the present and the absent, the material and the immaterial, and the visible and the invisible. The spectral metaphor, reforming and innovating the traditional realist theory which regards the writer as the observer/subject and reality as the observed/object, provides a new perspective on realism’s resilience and enduring vitality.

Keywords: specters; *Liaozhai*; realism; mythorealism; reality

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标题: 现实主义的幽灵

内容摘要: 本文探讨作为概念性隐喻的“现实主义的幽灵”的批判性潜能，它不仅代表了现实主义在文学史中的存在，也体现了其追求真实的创作精神及其通达现实的方式。有别于韦勒克所描述的“现实主义是一个时期性概念”，现

实主义在文学图景中不断回归，以一种幽灵般的方式，打破了文学史中将现实主义线性地安置在浪漫主义之后、现代主义与后现代主义之前的时间观。摹仿行为背后蕴藏着一种现实主义冲动，它促使作家采用多样的表征策略以触碰现实。借鉴过去三十年来文化研究中的“幽灵转向”理论视角，本文以《罗刹海市》的传播为例，分析阎连科的《聊斋的帷幔》等论著，认为阎连科提出的神现实主义是当代现实主义探索的典范。它以幽灵存在论的认识论为基础，将小说置于在场与缺席、物质与非物质、可见与不可见之间的边界位置。幽灵的隐喻对传统现实主义理论中将作家视为观察者/主体、将现实视为被观察者/客体的观念进行重构与创新，为理解现实主义的韧性与持久生命力提供了新的视角。

关键词：幽灵；《聊斋》；现实主义；神现实主义；现实

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In 1848, London, at the height of European literary realism, Karl Marx and Friedrich Engels published their *Manifesto of the Communist Party*, beginning with perhaps the world's most famous statement of the ghost: "A specter is haunting Europe, the specter of communism" (Marx and Engels 1). A similar fortune of realism is visible since the advent of Modernism—it was forced to retreat to the realm of the spectral, and relegated to the status of a "nursery tale" (Marx and Engels 1) which affords little, if any, import to a literary academia no longer gullible to the referential illusions after the linguistic turn. The specter, nonetheless, is at the same time evidence of its undeniable existence, however implicit and incorporeal. In fact, writers and critics have in recent years hailed for a "realist turn" in literary studies, and the past decade has witnessed the publications of *The Antinomies of Realism* (Fredric Jameson, 2013), *Speculative Realism and Science Fiction* (Brian Willems, 2017), *The Moral Worlds of Contemporary Realism* (Mary K. Holland, 2020), *The Bloomsbury Introduction to Postmodern Realist Fiction* (T. V. Reed, 2021), *Romanticism, Realism and the Lines of Mimesis* (Polly Dickson, 2024), to name a few. The resurgence of realist theories and criticism has been further buoyed up by important academic journals such as *MLQ* (2012), *Novel* (2016), and *Orbis Litterarum* (2021) which have published special issues on realism. It is based on such a status quo in the literary scholarship that one may suggest some slight alterations to the famous quote from the *Manifesto*: Specters of realism are still

haunting the world as we know it. It may also be argued that realism has never been away from the academic circle despite sustained critiques from both Modernism and Postmodernism, and that it is a revenant, in every sense of the word, constantly returning to our contemporary world. In this paper, we intend to explore the critical possibilities of “specters of realism” as a conceptual metaphor, that is, not only to use it as a figure of speech or rhetorical device that embellishes what we already know, but to test its potential as “a discourse, a system of procuring knowledge” (Blanco and Peeren 1) in realist theorization and criticism.

The Spectrality of Realism

The first point to be established is that realism did not simply die after the rise of Modernism in the 20th century. It exists with us presently rather in the form of a specter. To illustrate this point, an example is helpful here: “The Luo Cha Country and the Sea Market” (《罗刹海市》), a mystical story from the classical Chinese tale collection, or as Chinese-educated readers have known it since childhood, a ghost story collection, *Liaozhai/Strange Stories from a Chinese Studio* (《聊斋志异》), written by Pu Songling from the 1670s to the early 1700s. The story is about how a trader’s son, Ma Ji, a youth of astonishing beauty, is carried away by a typhoon in a voyage across the sea and ends up at a country where the people are hideously ugly. Having recovered from the initial shock of seeing a devil-looking stranger, the villagers are much pleased to see him and recollected tales told by their forefathers about a country named China 26,000 *li* to the west of their own, where the people are the most extraordinary in appearance. Ma Ji later learns that political advancement in this foreign land of Luo Cha depends not on literary talent, as in imperial China, but on beauty—the most beautiful are made ministers of state, the next handsomest are made judges and magistrates, and the third class in looks are employed in the palace of the king. Ma Ji therefore begs the accommodating countrymen to show him the capital. So he departs with the company of the villagers, arriving just about dawn at a city whose walls are made of black stone, as black as ink, and whose city gate-houses are about 100 feet-high. Pu Songling interrupted the unfolding of the plot with a detail here: “Redstones were used for tiles, and picking up a broken piece Ma Ji found that it marked his fingernail like vermilion” (356). Here, Ma Ji gets the chance to catch the first glimpse of the most powerful men in the country. As it turns out, all systems of judgement, all binary oppositions between the beautiful and the ugly, the high and the low are completely inverted in this country. The surpassingly gorgeous young man in China gets a chilly reception and is met with fear and antipathy. Later, in order to have an

audience with the king, Ma Ji has to smear his face all over with coal dust. The king is charmed, and at once makes him a privy counselor, giving him a private banquet, and bestowing other marks of royal favor.

The story continues with Ma Ji visiting a market in the sea, impressing the Dragon King with his literary talent and marrying his daughter. For the purpose of the present discussion, the above synopsis will suffice as a demonstration of Pu Songling's extraordinary style of relating the stories of the strange. Judith T. Zeitlin has noticed the singularity of his narratives as classical tales: "Unlike vernacular stories, which arguably unfold in a space clearly demarcated as fictional, *Liaozhai* tales deliberately straddle the border between fictional and historical discourse and are indeed predicated in part on the ensuing ambiguity" (5). In the particular case of "The Luo Cha Country and the Sea Market," this "ambiguity" is unabashedly unveiled to the readers even in the title, for "Luo Cha" in other classical texts, especially in the Qing Dynasty, is either the transcription of Russia—a reference to an actual land, or the transliterated name of a cannibalistic demon according to Buddhism—an allusion to the ghostly and the spectral. Apart from the title, the ambiguity of genre penetrates the entire narration. Take for example this initial moment when Ma Ji arrives at the city wall of the strange country: "picking up a broken piece Ma Ji found that it marked his finger-nail like vermilion." Readers perusing the pages of *Liaozhai* for excitement and sensation, stimulated by tales of the strange and the occult, might pause at this description here and wonder: What is the purpose of this detail which seems to have little to do with the core of the story? This might remind us of a similar question by Roland Barthes who once mulled over the inclusion of ostensibly irrelevant details in Gustave Flaubert's *A Simple Heart* and Jules Michelet's *History of the French Revolution*. Yet Flaubert's novel is widely received as masterpieces of realism; to include Pu Songling's *Liaozhai* in the same category would not only be far-fetched, but also anachronistic and, perhaps, Eurocentric. That a similar realist inquiry might arise from the reading of a strange-story collection tells us a lot about the potential of the spectral as the source of inspiration for the real. With narrative seriousness and arresting descriptions of details, Pu Songling achieves the paradoxical confluence of the real and the imaginary, the everyday and the strange, the affective and the sarcastic in this short story.

Also paradoxical are some recent attempts at pursuing the real in China which find themselves end up in the strange world of *Liaozhai*. A feeling of dissatisfaction is unequivocally registered in these attempts—dissatisfaction with the available modes of representing the real in fiction. As Frank Kermode once pointed out, "we

have a loving-hating affair with reality, we ‘keep coming back to the real’; and this continually impoverishes us because it is at odds with such concords as we have achieved” (166). Concords here refers to the existing paradigms and structures of story-telling. This affect of “loving-hating” prompts the more adventurous realist entrepreneurs to conjure up specters of realism back to a world no longer spellbound by its enchantment. In July 2023, Ma Ji’s adventures in the Luo Cha country 300 years ago created a renewed resonance among its contemporary readers, thanks to the eponymous song composed by Dao Lang. Due to the ambiguity of the lyrics and the song’s allusion to Pu Songling’s equally ambiguous story, volunteered efforts have been made by social media users, who delved into the most infinitesimal details of the song, to discover its referential meanings. Since its release three years ago, the song became immediately an Internet phenomenon, believed by millions to be a cryptic yet unreserved revelation of the hypocrisy and imposture of certain celebrities and fellow singers, as well as an address to our times and to philosophic inquiries, suggested by the reference to Ludwig Wittgenstein and the last line of the lyrics. Regardless of Pu Songling’s original intent, “The Luo Cha Country and the Sea Market” has become a symbol of unearthing hidden truths and exposing realities long concealed from public view.

The statement that “specters of realism are still haunting the world as we know it” serves to identify a primary impulse of pursuing truth inherent in realist writers. Ulka Anjaria identifies “the realist impulse” as “a transition in representational mode, style, and/or medium that entails a new textual engagement with the contemporary world, as evident in gestures such as stories set in the present rather than the past and the trimming of modernist, metaphorical and metafictional language for a more stripped-down and less ostensibly self-conscious aesthetic” (278). Meanwhile, the realist impulse may also exist in less unequivocal ways. In 2010, Fredric Jameson wrote of a utopian impulse that “is not symbolic but allegorical,” which “does not correspond to a plan or to a utopian praxis,” and “expresses utopian desire and invests it in a variety if unexpected and disguised, concealed, distorted ways” (“Utopia as Method” 25-26). He therefore called for “a hermeneutic, for the detective work of a decipherment and a reading of utopian clues and traces in the landscape of the real; a theorization and interpretation of unconscious utopian investments in realities large or small, which may be far from utopian” (“Utopia as Method” 26). In a similar vein, the realist impulse may be detectable, throughout history, in the most strange and occult stories, deviating from our commonsensical methods of perception fine-tuned by the advancement of modern sciences, as is in the case of “The Luo Cha Country and the Sea Market.”

Tracing to its Qing Dynasty context, readers may sense a strong note of political mockery aimed at chastising the realities of the imperial court. And adapted as a song in 2023, it still fascinates its audience with the power of truth-seeking that it possesses and may unleash.

This enduring vitality of the realist impulse is exactly what reminds one of a specter: a being which should have belonged to the past, yet frequently appears in the present, disrupting the forward flow of time. As Hamlet exclaims upon seeing the ghost of his murdered father, “Time is out of joint,” implying that the pre-existing temporal sequence has been fractured and dislocated. Literary realism in its most restrictive definition is a “period-concept” (Wellek 2) of the 19th century, according to René Wellek. In his 1961 essay “The Concept of Realism in Literary Scholarship,” he declared that “realism was a regulative concept, a system of norms dominating a specific time, whose rise and eventual decline it would be possible to trace and which we can set clearly apart from the norms of the periods that precede and follow it” (2). Within this 19th century framework, realism was seen as established upon some necessary conditions and criteria: “truth of observation and a depiction of commonplace events, characters and settings” which were “universal in Victorian novel criticism” (4). In short, realism was “the objective representation of contemporary social reality” (11). It is indeed a fact that we often find introductions to realism in literary history textbooks between the chapters Romanticism and Modernism, overlapping with the historical period of the Victorian era, and that we are inclined to associate realism with the works of major 19th-century European writers such as Honoré de Balzac, Gustave Flaubert, and Charles Dickens. After this period, to speak of realism is to engage either in nostalgia or in critique of a bygone era—one that now exists for us only as a kind of deceased ancestor who once stirred the rebellious energies of Modernism and Postmodernism, which claimed a more sophisticated understanding of what it means to be real. Nonetheless, realism returns, just as Hamlet’s dead father, a revenant haunting and disturbing his son while asking for remembrance: “Hamlet, remember me.” Robert Wenginger once explained the meaning of *return* as in the phrase “the returns of realism”:

The noun *return* has several meanings; it designates among other things an act of coming or going back in return for an investment or risk taken. Reflection on the word “return” in the context of realism reminds us that realism was never really gone; it might have been sidelined or ostracized, ridiculed or demoted, but—as we must conclude in hindsight today—that was only because it was perceived as so omnipresent, pervasive and intrusive that realism-averse critics

and writers felt duty-bound to bring it down or put it in its place. (687)

And according to the list put together by Mary K. Holland, over twenty different literary realisms have been proposed so far. Of course, they vary enormously in narrative techniques, styles and purposes—some of them seem very far from being sub-branches of realism, for example, postmodern realism, post-postmodern realism, poststructural realism, meta-realism, metafictional realism, etc.—but they are driven unanimously by the ubiquitous realist impulse.

The Specter as a Path to Truth and Reality

Hamlet is another case of resorting to the spectral for knowledge of truth. It is worth noting now that the murdered King of Denmark, “unhousel’d, disappointed, unaneled” (1.5.77), returns not merely to startle, but more importantly to divulge what has been kept a secret: “Pity me not, but lend thy serious hearing / To what I shall unfold” (1.5.5-6). What he indeed unfolded next was the truth of the court of Denmark that unsettled Hamlet’s conception of time (“Time is out of joint.”). Perhaps not quite paradoxically, truth was obtained not by the intellectual activities of approaching and scrutinizing—after all, Horatio tried and failed.

MARCELLUS

Thou art a scholar; speak to it, Horatio.

[...]

BERNARDO

It would be spoke to.

MARCELLUS Speak to it, Horatio.

HORATIO

What art thou that usurp’st this time of night,

Together with that fair and warlike form

In which the majesty of buried Denmark

Did sometimes march? By heaven I charge thee, speak!

MARCELLUS

It is offended.

BERNARDO See, it stalks away!

HORATIO

Stay! speak, speak! I charge thee, speak!

Exit Ghost (1.1.41, 44-50)

The ghost in *Hamlet* is analogous to “specters of realism” under discussion in this paper in two important ways. First of all, it returns to the center of focus, once and again, in times of considerable confusion and turbulence, providing a path to truth and reality. Secondly, the ghost is symbolic of the crisis of representation that many reality-oriented writers have felt since the end of the last century and is still experiencing today. The readers, just like Marcellus, would expect the professional (scholar) to have in their possession the know-how of approaching reality. They urge their championed scholar to speak to it, in the hope of some positive response that will bring them one step closer to the truth. However, the fact is that realist writers now often find themselves hesitant about using their representational paraphernalia, due to the disconnection between language and reality ushered in by the linguistic turn. Traditionally, realism assumes the role of the scholarly Horatio who is confident in his intellectual prowess and the efficacy of an investigation. In a famous metaphor made by Stendhal, the realist writer is a mirror walking down the road, reflecting whatever there is along the way. Yet the specter, by stalking away, warns us that there is always a dimension of reality that is evasive to our enquiring minds and observing eyes. The fleeing specter forces us to take a step back and re-evaluate our relationship with the object. Jacques Derrida’s *Specters of Marx* encouraged us to have a refreshed awareness of the specter, not only as an object of exorcism, but also as an analogy to the fundamental condition of knowability itself.

It [specter] is something that one does not know, precisely, and one does not know if precisely it is, if it exists, if it responds to a name and corresponds to an essence. One does not know: not out of ignorance, but because this non-object, this non-present present, this being-there of an absent or departed one no longer belongs to knowledge. At least no longer to that which one thinks one knows by the name of knowledge. One does not know if it is living or if it is dead. (5)

A similar note is reiterated in Jameson’s explication of Derrida: “Spectrality does not involve the conviction that ghosts exist or that the past (and maybe even the future they offer to prophesy) is still very much alive and at work, within the living present: all it says, if it can be thought to speak, is that the living present is scarcely as self-sufficient as it claims to be; that we would do well not to count on its density and solidity, which might under exceptional circumstances betray us” (“Marx’s Purloined Letter” 39). Realism’s description is often understood in terms of the ancient Greek technique of ekphrasis: the verbal representation of a pre-existing

visual representation. Yet what is often neglected is that the object of description is fictitious after all in a work of fiction. In the case of Pu Songling's story of the occult, for instance, the vermilion-colored tiles simply do not exist outside the writer's world of imagination, despite the remarkable power of visualization the description possesses.

The second point to be established in this paper is that "specters of realism" speak to the need for a critical framework that addresses the not immediately observable reality which may pose a major threat to the conventional notion of literary representation or *mimesis*. We opt for the word *specter* rather than *ghost* precisely for the reason that it implies a liminal position between the visible and the invisible. Stendhal's catoptric metaphor is our clue that the traditional realist technique of description hinges primarily on visibility: to see, watch, observe with various methods of scientific inquiry, and to transcribe the data into detailed verbal depictions that would, then, form vivid images in the readers' minds. In the words of Peter Brooks, realism is "a visual inspection of the world of phenomena," and "we tend to believe that sight is the most objective and impartial of our senses" (16), or Nancy Armstrong, "in order to be realistic, literary realism referenced a world of objects that either had been or could be photographed" (7). If this is true, then several questions might be asked: What will happen if reality exceeds the observing capacity of our senses? What if there is more to it than meets the eye? What if the hinges fall apart and everything "is out of joint"?

Answers to these questions will instigate the reconfiguration of realism as not only a style of literature, but also a fundamental method of epistemological exploration. In the more traditionalist view of realism, its primary goal and function is to keep as detailed a record of the world as possible—especially a record of the base and the ugly which were not granted license in literary representations in the classical era—in order to assist human cognition. It is supposed to be, first and foremost, about humans, according to Georg Lukács. In an essay titled "Narrate or Describe," he quotes from Karl Marx to highlight the importance of human activity to realist works: "To be radical is to grasp things by the roots. The root of humanity is, however, man himself" (110). It is no surprise then that in this essay, Lukács targets the French naturalism, personified by Flaubert and Émile Zola, as the foil of genuine realism represented by Walter Scott, Balzac or Leo Tolstoy, and objects the naturalist method of meticulously detailed descriptions. The "descriptive method," in conclusion, "lacks humanity," for the readers are insufficiently informed of the genuinely important social phenomena: the struggle among people and classes, the epic and heroic actions of the central figure, and the stages of social change and

progressions, etc.

There seems to be a common frustration among realist critics when they are confronted with the parts of the realist work which are elusive to the mechanism of making sense. Lukács's reaction was a verdict of capital sentence: admittedly, he observed, social problems were present in the works of Zola, but they were present in the form of "*caput mortuum*" (113), dead head, eviscerated with the vitalities of life. Roland Barthes was less radical than Lukács, but equally condemning the inclusion of detailed descriptions which bear no apparent relevance to the entirety of the story. Take for example his theory of "the reality effect" ("l'effet de réel"). Stumbling upon Flaubert's barometer in *A Simple Heart* and Michelet's little door in *History of the Revolution*, Barthes tried to contain them in a meaningful framework of explanation by asking the questions: What functions do they perform and what significance do they have? Apparently not satisfied with the speculation that these were meaningless narrative fillers, he came up with a proposition which was linguistic in essence—these details perform the function of signifying the real. They create, therefore, the reality effect, and they are there to make an announcement of their truth-value to the readers. The operation of creating reality effect can be seen as a manifestation of the realist impulse underneath that gravitates towards truth. Teleologically, they operate in a language system of signification that refers not to the outside, but the inside of the text. Elsewhere, Barthes explained this mechanism in more straightforward terms: "The discourse has no responsibility vis-à-vis real: in the most realistic novel the referent has no 'reality' [...]. In short [...], what we call 'real' (in the theory of the realistic text) is never more than a code of representation (of signification) [...]" (*S/Z* 80). Yet, *must* we ask the teleological questions about the function and significance of these details and objects? It would probably make more sense if they are understood as objects of the Levinasian alterity: the ultimate Other which is beyond the reach of conceptualization and precedes the foundation of the subject.¹ One would rather think of these details in terms of the specter: they enter the rooms of Madame Aubain and Charlotte Corday simultaneously with us the readers, yet they remain invisible until the moment they catch our eye and confront us as inscrutable intruders. And as soon as we start asking questions and demanding them to speak, they stalk away and escape, leaving us to wonder if they come from the limbo, the realm on the borders of the real and the unreal—the world of writings and languages.

1 In 2002, Julian Wolfreys went as far as to state that "any medium through which we seek to communicate today that involves a narrativization of our identities in relation to others not immediately present is inescapably spectral" (2).

Mythorealism and the Spectral Reality

To speak of “specters of realism” is to find a way of dealing with the dimension of reality that is beyond the reach of our current empiricist paradigms of understanding, be they scientific, linguistic, sociological, or psychoanalytic. As Blanco and Peeren argue, “what is at stake ultimately is the specter as a figure of absolute alterity, that should not be assimilated or negated, but lived with in an open, welcoming rationality” (33). This new rationality is yet to take on an exact critical or philosophical shape¹, at the same time, a contemporary Chinese realist writer and critic, Yan Lianke, has been working toward a solution. In an epilogue to his own novel, *The Odes of Songs* (《风雅颂》) titled “The Non-Existent Existence,” Yan recalled that on a posthumous marriage ceremony in a freezing winter, he saw hundreds of red and yellow butterflies sitting on the coffins of his nephew and the bride. To him, the event of the butterflies appearing out of the blue on a winter day was both “true and strange” (*Odes* 352-353), testifying to the existence of certain realities beyond his understanding. Throughout the years, Yan has created a series of oxymorons to call our attention to the discrepancy between what we perceive to be real and the unattainable truth. “The Non-Existent Existence” is a case in point. Another example would be “the real covered up by the real” in his 2011 monograph *Discovering Fiction*. Here, he proposed a variation of realism—mythorealism, by which he means a style of fiction writing as well as a way of thinking not subjected to the logic of rationality, but rather the souls and spirits of the writer. This new path to reality is through imaginations, allegories, mythologies, legends, dreams, visions, and transformations. Reality is not “reflected” in a mythorealist piece of work, but “created” by the writer.

Mythorealism is different from its magical realist predecessors. The logic of reality in García Márquez’s *One Hundred Years of Solitude* is “half-causality,” according to Yan, as opposed to the “full-causality” of the traditional realism represented by Tolstoy and the “zero-causality” demonstrated by Kafka. The grotesque story of a man transforming into a giant bug in “Metamorphosis” is “zero-causality,” because it is a total violation of the law of nature or society. The 19th century realism, on the contrary, endeavors to give explanations to every single one of its protagonists, events, and plots so that everything happens with a good cause, mostly rooted in the social milieu in which the characters are immersed. García Márquez’s narrative is something in between, and therefore “half-causal”

1 One example might be the recent trend of speculative realism in philosophy, and especially the object-oriented ontology.

in the sense that the events are not explicable following the everyday logic, but not as incredible as a man suddenly transformed into a bug. In Yan Lianke's diagram, "non-causality" and "full-causality" sit at the two ends of the scale, and "half-causality" is forever flowing in-between, occupying the space of "probability" and "likeliness" (*Discovering Fiction* 117-118). Yan himself is after something else—to him, the "inner-causality" or the "inner-truth" is the new principle of fiction writing evolved from the whole of the literary experience of the 20th century. Writers are encouraged by Yan's manifesto of mythorealism to perform the task of uncovering this inner-truth, and thus revealing "the real covered up by the real."

A recent invention of oxymoron, "the real of the unreal" (27) is seen in his 2023 monograph, *The Veils of Liaozhai* (《聊斋的帷幔》). The fact that Yan declared unequivocally in the Preface this time that "literature is solely committed to the belief in the real" (6) followed by an exclamation mark. He then explained that the real here is not circumscribed by empirically determined facts, realities and possibilities, but also "the real of the unreal," "the real that transcends the real," "the real with no verifiable evidence," or "the real that is counter-real" (31). In this new critical work, Yan extended the view that literature oscillated between the real and the unreal in different historical periods. In the 19th century, the criteria of literary quality were based entirely on its faithfulness to the limitations of experience. From the 20th century onward, the unreal and the impossible reappeared in literature. Specifically, about the Chinese literature, Yan contended that little progress had been made in terms of writing the real since Lu Xun's 1921 novella "The True Story of Ah Q" (《阿Q正传》). In order to push for some progress, Yan proposed not to follow that trail blazed by the 19th century realists, and perhaps not even the modernists and postmodernists, but to return to an age that was pre-modern and pre-Enlightenment—the age of mythologies and folklores. Indeed, China has a *zhiguai* (志怪) tradition—writing of the strange and supernatural—from *A Search of the Supernatural* (《搜神记》) in the 4th century to *Old Tales Retold* (《故事新编》) written by Lu Xun in the height of the New Culture Movement. Yan was confident that there was much to learn from the understandings and dealings of the real in these strange story writings.

The trick is to make readers believe—not so much demanding a degree of suspension of disbelief on the readers' part as providing enough serious evidence of reality as the writers' responsibility. *Liaozhai*, the pinnacle of the *zhiguai* tradition according to Yan, is indeed a strange story collection written in Classical Chinese, but it demonstrated the same narrative seriousness as any realist fiction. It is worth now returning to the story of Ma Ji. As was mentioned, when the young man arrives

at the capital, he sees city walls made of black stone, as black as ink, and gatehouses about 100 feet-high. Immediately after this depiction of the wonderful, Pu Songling invited the readers to have an intimate touch with the fantasy world, and commanded Ma Ji to pick up a piece of redstone. Here, Pu Songling has achieved a displacement effect—the most realistic description is displaced from an expected story of realism, but inserted in a most strange and occult story of the Luo Cha Country. These descriptions serve as the “ocular proof,” an eye-witness that gives credit to the otherwise incredible beings and happenings. They also serve metaphorically as a bridge—a word used by Yan in an interview explaining the mechanism of mythorealism. It is a bridge that helps us to cross the treacherous river of superficiality and reach the other shore which is the real. Intentionally or unintentionally, “the other shore” is an allusion to the ultimate Buddhist pursuit of truth, a destination that appeals to us the mortals, with its looming and mythic appeal in the distance.

Specifically, Yan spoke of specters in *Liaozhai* as well as in “Pedro Paramo,” a novella by Juan Rulfo.¹ Of course there are differences: the boundary between the living and the spectral was unmistakably demarcated in *Liaozhai*, and the line was ambiguously drawn in “Pedro Paramo.” Yet the same impulse drives their specters and urges them to visit us, once and again, through 300 years and across two antipodean points on the planet earth: the realist impulse. Like the contemplation of the utopian by Jameson, perhaps what is important about realism is “not what can be positively imagined and proposed, but rather what is not imaginable and not conceivable,” the limits of our own perception, and the “lines beyond which” we do not seem able to go in imagining what is real and what is not. This speaks to the necessity and urgency of the contemplation and theorization of the specters of realism today.

In the case of realism, the concept of the specter serves as a metaphor that reconfigures both its existence in literary history and the nature of truth it seeks to reveal. It has yet another dimension which joins together the past and the present. Blanco and Peeren point out that the specter is not only a disruption of the chronological flow of time, but also a non-present presence that achieves the effect of synchronization: “For Derrida, the ghost’s story is not a puzzle to be solved; it is the structural openness or address directed towards the living by the voices of the past or the not yet formulated possibility of the future...because it cannot (yet) be

1 It might be of some interest to know that the latter was alternatively translated into Chinese as literally “Between the Man and the Specter.”

articulated in the language available to us” (58). Yan Lianke’s theorization of “the real of the unreal” is, viewed in this light, itself a spectral activity. So not so much different from Dao Lang or Marcellus, Horatio and Hamlet, Yan is also approaching a supposedly dead past for the revelation of truth in the here and now. More importantly, Yan’s critical effort is based on the activity of reading Pu Songling’s *Liaozhai*, which, according to Blanchot, is fundamentally an act of resurrection.¹ There have been constant calls for revisiting realism in literary scholarship in the past decade because realism has been in turn revisiting us all the time, and we have every reason to believe that the specters of realism will not stalk away, but keep coming back, and perpetuate their visitation to us, now and in the future.

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¹ In *The Space of Literature*, Blanchot compares reading to the resurrection of Lazarus: “To roll back the stone, to obliterate it, is certainly something marvelous, but it is something we achieve at every moment in everyday language. At every moment we converse with Lazarus, dead for three days—or dead, perhaps, since always. In his well-woven winding sheet, sustained by the most elegant conventions, he answers us and speaks to us within ourselves” (195).

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从言、诗、音探究声音的文学书写

Exploring the Literary Writing of Voice through Language, Poetry, and Music

王 涛 (Wang Tao)

内容摘要: 本文从概念史视角对西方文论中的“声音”问题进行梳理, 检视声音如何从兼顾物理性和精神性的媒介发展成为关于“圣言”或“大音”的神话, 并从诗与乐的角度, 探讨声音的文学书写如何从“模仿论”走向对“寂静”或“纯诗”的追求。同时借助阿甘本对于“死语言”的谱系学追溯和文学批评探讨, 置于当代书写理论所影响的语境中, 重新审视声音理论的原理性发展脉络, 为声音研究提供另一种思路。

关键词: 声音; 诗歌; 音乐; 死语言; 书写

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Title: Exploring the Literary Writing of Voice through Language, Poetry, and Music

Abstract: This paper offers a conceptual-historical overview of reflections on “voice” in Western literary theory. It traces the evolution of voice from a medium encompassing both physicality and spirituality into the notion of “Word” or “Voce.” By examining poetic and musical representations, the study explores the shift from mimetic theories of voice to a transcendental pursuit of “Die Stille” or “Poésie Pure.” Drawing on Giorgio Agamben’s genealogical investigation of “dead language” and his literary-critical insights, the paper reconsiders the foundational development of voice theory within the contemporary context shaped by writing theory. It aims to offer an alternative theoretical trajectory for current research on voice.

Keywords: voice; poetry; music; dead language; writing

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声音与书写、图像一样，均为表达意义的符号，如何从概念史和当代理论语境的角度看待它与文学书写之间的关系，是外国文学学科值得探讨的原理性问题。从古希腊哲人对声音的初步区分，到基督教神学思想中对于“圣言”的阐释，再到现代诗学对“寂静之音”“纯诗”与“死语言”的反思，对声音的探究始终处于物理性与精神性、诗学模仿与存在显现的张力结构之中。哲学、神学、诗学与语言理论对声音的不断讨论，也构成了一条复杂而连续的思想谱系。本文试图通过哲学、神学与诗学文本中对声音探讨的思想脉络进行梳理，阐释文本背后的问题意识变迁，重新思考声音在思想史中变与不变的理论意义。

一、声音的物理性和精神性

古希腊时代，柏拉图在《泰阿泰德篇》（*Theaetetus*, 369 BC）中讨论感觉和流变学说时，提到了声音作为运动产生的感觉。¹ 亚里士多德则更进一步，在《动物志》（*History of Animals*, 公元前4世纪后期）中仔细区分了声响（*psógos*）、声音（*phōné*）与言语（*diálektos*）。虫、鱼之属只能依靠体内气息、振动或鳃的摩擦发出声响，海豚、鸟类发出的虽然可以称为声音，但只有用喉、舌、唇等器官的人类才能发出清楚的声音，亦即言语。² 其《政治学》（*Politics*, 325 BC）也区分了动物的声音与人的言语，认为独有人类具备言语的机能。³ 《论灵魂》（*On the Soul*, 350 BC）中更是强调声音是一种由有灵魂的生物发出的。⁴

而在《诗学》（*Poetics*, 347 BC 或 335 BC）中，对于同样被归为“诗”的悲剧，亚里士多德强调其媒介是“包含节奏和音调[即唱段]的语言”（63）⁵。换言之，悲剧的六大成分中属于媒介的言语（*lexis*）、唱段（*melos*）均与声音直接相关。而《解释篇》中那句“语音就是灵魂中的感受的符号”（47）更是明示了声音在亚里士多德心目中的精神性。

斯多亚学派中不少学者继承了亚里士多德声音理论的物理层面观点，甚至认为“辩证法理论始于关于声音的论题”（拉尔修，《名哲言行录》328）。其中，巴比伦的第欧根尼（*Diogenes of Babylon*）在《论声音》（*On Voice*, 公元前2世纪前半叶）中提出，“动物的声音仅仅是由某种冲动而引发

1 参见柏拉图：《泰阿泰德篇》，《柏拉图全集》中卷，王晓朝译，北京：人民出版社，2018年，第369-370页。

2 参见亚里士多德：《动物志》，《亚里士多德全集》第4卷，苗力田编，颜一译，北京：中国人民大学出版社，1990年，第136页。

3 参见亚里士多德：《政治学》，吴寿彭译，北京：商务印书馆，1983年，第8页。

4 参见亚里士多德：《论灵魂》，《亚里士多德全集》第3卷，苗力田编，秦典华译，北京：中国人民大学出版社，1990年，第52页。

5 本文有关《诗学》的引文均来自亚里士多德，《诗学》，陈中梅译注（北京：商务印书馆，1996年）。以下引文仅标注页码，不再一一说明。

的空气振动，而人的声音（……）是出于某种意图的表达”（拉尔修，《名哲言行录》328）。在第欧根尼和克律希珀斯（Chrysippus）等人看来，普通的声音仅仅是一种“鸣叫”（noise），只有人类的词语（lexis）是有机组织起来的声音；换言之，属于人类的声音是由理性（logos）塑造的。¹在这里，斯多亚学派实际上已经将对声音的讨论从物理现象转向声音作为理性具象化的外显问题，并在亚里士多德的符号从词语到心灵感受、再到事物的结构中，加入了一个“可表达性”（λεκτόν，又译“谓述”或“所指物”）——它是可以被理性所理解的命题内容，在逻辑上可以被判断为真或假，词语要先指向“可表达性”，然后才意指相应的外部事物。²

斯多亚学派的这一发展深化了对古希腊思想中关于理性与语言的思考，也为被视为符号学理论框架的初步构建者奥古斯丁（Augustine）开辟了道路。比如他在《论教师》（*On the Teacher*, 389）中就曾明确提出，“符号指示的不是别的符号，而是我们已经同意称为‘可指示的’事物”（《论秩序》171）。同时，奥古斯丁在多部著作中展现了物质世界和精神世界的二元对立观点。在这种可以被称为“物象二元”的观念中，物质世界是暂时的、不完美的，而精神世界是永恒的、完美的。这种思想连同奥古斯丁的声音（vox）观，在其《论三位一体》（*The Trinity*, 399-420）对基督教“道成肉身”思想的阐释中得到了综合的诠释。奥古斯丁在讨论“圣言”（Word）时以“鸣声在外的言乃是明亮于内的言的符号”对“内在之言”和“肉体的声音”做了区分，强调“我们的言变成了声音却并不就等于声音，神的圣言化身成人，却不可想象它就等于肉身”（418）。因而，声音虽然作为符号可以指向不可言说的神圣真理，但其本身却并非真理的载体，唯有通过信仰引导，声音才能成为神圣真理的媒介。

奥古斯丁为声音提供的神学范式直到德国路德宗新教神学家雅各·波墨（Jakob Böhme）的时代仍然在得到继承和发展，波墨在他的《万物的签名》（*Signatura Rerum*, 1621-1622）中提出，万物的内在皆通过外在形式来映射内在本质或者内在生成法则，以成为其“签名”。在波墨看来，声音既可以视为神圣意志的“签名”，也可以说是神圣意志振动的形式；因为上帝正是通过“圣言”（Logos）的振动创造世界，并将宇宙视为“神圣声息”（Divine Voice）的乐器，人类则需要通过“灵性直觉”才能解码自然中的神圣声息。³波墨显然没有将声音视为一种纯主观的心理现象，而是既强调声音与气息、运

1 参见第欧根尼·拉尔修：《名哲言行录》，徐开来、溥林译，桂林：广西师范大学出版社，2010年，第329页。

2 参见第欧根尼·拉尔修：《名哲言行录》，徐开来、溥林译，桂林：广西师范大学出版社，2010年，第326-328页。

3 参见 Jacob Boehme, *The Signature of All Things*, translated by John Sparrow, revised for the 1781 William Law Edition, *The Works of Jacob Behmen, The Teutonic Theosopher IV*, London: M. Richardson & Robinson, 1781, 9-11, 59.

动的密不可分，又重视声音与理性、逻各斯、意义、神性的同源。而当他将万物比作神性的签名时，则是在讨论每一个存在物的本性外显，声音作为其中一种更为重要的签名，也就是自然、神性进行自我言说的方式。

及至启蒙时代，雅克·卢梭（Jean-Jacques Rousseau）在《论语言的起源：兼论旋律与音乐的模仿》（*Essai sur l'origine des langues, où il est parlé de la mélodie et de l'imitation musicale, Essay on the Origin of Languages [Where It Speaks of Melody and Musical Imitation]*, 1754-1761, 1781）中开篇明义地提出，“言语（speech）区分了人与动物”（卢梭 1），继而强调人类语言最初是通过“voix”（人声、言语）表达的¹，卢梭强调这种声音天然承载情感，与激情（passion）直接关联。²因此最初的语言是象征性的，通过声音的韵律与音调传递情感，而非通过逻辑符号传递概念。³而当声音的核心价值被卢梭定位为表达和激发人的自然情感时，声音的优先性于这位启蒙时代的理论家，也就不再是服务于神学真理，而是源于人最本真的情感冲动，声音因此成为连接理性与人性的介质，声音问题被世俗化了。

但是，这并不真的意味着卢梭对古希腊至奥古斯丁思想的背离。相反，他不过是一个看似离经叛道的继承者。甚至于后世雅克·德里达（Jacques Derrida）对逻各斯中心主义的批判中，在非表音文字向表音文字挑战的时代里，卢梭“无疑是笛卡尔和黑格尔之间，唯一或者说第一个提出了整个时代所隐含的文字还原主题或文字还原系统的人”（德里达，《论文字学》122）。卢梭这种声音优先的思想，同样也体现在《论语言的起源》关于诗和音乐的论述中：“诗、歌曲、说话有着同一个源头”，“人类说的第一个故事、第一次的演说、第一部法律，都是诗，诗早于散文，这没有疑义，因为激情先于理智。音乐也是这样，最初的音乐不过是旋律，旋律不过是言语的声音变化”（85-86）。这是因为，言、诗、乐与西方思想史对声音讨论是有着密切相关的思想脉络的。

二、声音的诗学模仿与诗性静默

自柏拉图起，音乐与诗歌的声音便被视作深刻影响灵魂、情感与道德的工具，因为柏拉图认为这二者皆遵循“模仿论”原则，只不过大部分诗歌在他看来都需要进行审查、删改甚至驱逐，才能培养出对善的理念的追求。

亚里士多德在《诗学》中同样秉持“模仿论”，他指出：“史诗的编制，悲剧、喜剧（……）音乐，这一切总的说来都是模仿”，进而概括为

1 voix 源自拉丁语“vōx”，侧重于指称人的语音，引申有呼叫、声调、发音、方言、语句等。参见谢大任编：《拉丁语汉语词典》，北京：商务印书馆，1988年，第585页。

2 参见让-雅克·卢梭：《论语言的起源：兼论旋律与音乐的模仿》，洪涛译，上海：上海人民出版社，2003年，第14-15页。

3 参见让-雅克·卢梭：《论语言的起源：兼论旋律与音乐的模仿》，洪涛译，上海：上海人民出版社，2003年，第18-19页。

“艺术都是凭借节奏、话语和音调进行模仿”（27）。与柏拉图将诗、乐的模仿贬低为“影子的影子”不同，在亚里士多德看来，“人和动物的一个区别就在于人最善模仿，并通过模仿获得了最初的知识”，“每个人都能从模仿的成果中得到快感”（47）。“它的模仿形式是借助人物的行动，而不是叙述，通过引发怜悯和恐惧使这些情感得到疏泄”（63），亦即得到“净化”（Katharsis）。

斯多亚学派和奥古斯丁对于诗歌、音乐同样持有一种“模仿论”。如在第欧根尼·拉尔修（Diogenes Laertius）的《名哲言行录》（*Lives and Opinions of Eminent Philosophers*, 3世纪前半叶）记录中，提及一些斯多亚派学者认为“诗歌就是一种诗性表达”，“它具有格律或节奏”，“是对神事和人事的表达和模仿”（330）。在这里，声音的形式特征本身就成了诗歌意义生成的机制。且自斯多亚学派至奥古斯丁，他们都重视诗与乐的工具性和道德教化作用，肯定合乎自然法则、宇宙理性（逻各斯）、神圣秩序、有助于培养美德的诗与乐，批判非理性的激情，警惕纯粹取悦感官的引用的诗与乐。如奥古斯丁在《论音乐》（*On Music*, 387-391）中将音乐视为宇宙和谐与神圣秩序的反映，能引导灵魂向往上帝，并强调理性判断在感知音乐和谐中的核心作用。¹

到了波墨的《万物的签名》中，诗歌也如同万物一样均是神圣语言的回声或片段，亦即上帝内在本质的外显。但波墨的著述中还经常出现各种音乐与神学之间的类比，如用乐器对人与圣言真灵之间关系的类比——“签名依一切本质的本质至为精巧地构成；人所缺少的只有敲击乐器的智慧大师，那就是永恒至高力量之真灵。若这真灵在人心智中被激活，涌动作为，奏响人体形式的乐器，形式也将借言语之声显明：正如其乐器在化身成形之时所设的那样鸣响”（10）²

波墨对于声音和音乐的讨论，虽然还是与柏拉图至奥古斯丁遵循的模仿论神似，但已经从“模仿”转向对和谐的神圣原型秩序的“应和”，对内在神圣理论的“显化”，以及对万物的“签名”中内在神圣“印记”的揭示。但若说这种理论构成了对古典声音模仿论的反拨，却为时尚早。波墨的《万物的签名》中值得关注的还有他关于“哑默”（*Stille/stumm*）的讨论：

凡论及上帝的一切言说、书写或教导，若缺乏对签名的认知，皆为哑默且无理解的（……）如果灵向其开启签名，便能理解他人之言谈，更

1 参见奥古斯丁：《论音乐》第6卷，石敏敏译，北京：中国社会科学出版社，2021年，第181-186页，第197-201页。

2 凡未特殊注明，引文均出自笔者拙译。本节有关《万物的签名》的引文均来自 Jacob Boehme, *The Signature of All Things*, translated by John Sparrow, revised for the 1781 William Law Edition, *The Works of Jacob Behmen, The Teutonic Theosopher IV*, London: M. Richardson & Robinson, 1781. 以下引文仅标注页码，不再一一说明。

能理解灵如何通过原理从本质中在声音中借由言语自我显现。(9)

签名或形式并非灵本身，而是灵的容器、承载者或匣盒，因为签名存在于本质中，恰如静置的琵琶，实际上是一种哑默之物，但如果它被演奏，那么它的形式以它所处的形式和调子，以及它所设定的音符得到理解。同理，自然的签名在其形式中本质上是哑默的；就像备好的乐器，由意志的精神演奏；精神触动哪根弦，弦便会按其属性而鸣。(9-10)

对于波墨的这种表述，或可做如是理解：在一切存在之前，是神的“哑默”状态，也就是说，神尚未自我显现、尚未“言说”、尚未创造世界之前一切皆是寂静。神从“哑默”中通过一种内在的“渴求”或“愤怒”产生自我分化，这种张力最终导致“圣言/道”(Logos)的爆发——神的“言说”(创造)。因此，语言(神的道)诞生于“哑默”的痛苦张力中。在波墨看来，人的语言无法触及神性的本源哑默，所以真正的神秘体验是回归一种“神圣的无知”，在沉默中与神性合一。

波墨这种对于“哑默”的关注，首先直接影响了德国浪漫派的诗学主张，诺瓦利斯(Novalis)的《夜颂》(“Hymnen an die Nacht”, 1800)中，便有静默的夜，以及于不可见、不可言说中可以感知真理的诗韵。本雅明(Walter Benjamin)的《论语言本身与人的语言》(“Über Sprache im Allgemeinen und das Wesen der sprachlichen Symbols”, 1916)一文中也有关于精神性语言的无声表达的讨论：“事物的语言是不完美的，它们是无声的”(269)。这一条关于语言可能并非始于发声，而可能开始于沉默的思想脉络，在海德格尔(Martin Heidegger)的《语言》(“Die Sprache”, 1950)一文的“寂静”(die Stille)处得到了承接。在海德格尔看来，寂静并非无声，而是语言的本真状态，它通过“区-分”(Dif-ference)将物与世界带入其本质的“亲密性”中，使二者既分离又统一。这种“区-分”是动态的召唤，通过“静默”将存在者聚集于存在的敞开性中，形成语言的本源——“寂静之音”。海德格尔强调，语言并非人的工具，而是“寂静之音”通过人的言说得以显现。如诗歌这种的人的言语是对寂静的“应合”，而非主动创造。在他看来，“本真的诗从来不只是日常语言的一个高级样式，即旋律。而毋宁说，日常言谈倒是一种被遗忘了的、因而被用滥了的诗歌，从那里几乎不再发出某种召唤”(24)。

海德格尔与波墨都将某种“静默”视为更本源的状态，两人都强调语言/道说是从本源的“无”中爆发或涌现出来的，接近本源都需要沉默，所以倾听也就更加必要。但与波墨的“哑默”带有的强烈神学-宇宙论色彩不同，海德格尔的“寂静”是一种存在论-现象学的概念，是存在(Sein)自身的运行方式，强调存在的自行遮蔽-解蔽的运动。或许可以将海德格尔的“寂静”视为对波墨“哑默”的去神学化、存在论化延续。

相比之下，法国诗人保尔·瓦莱里(Paul Valéry)早于海德格尔20余年的“纯

诗”理论则更倾向“从噪音世界中辨别出音的体系或世界”（瓦莱里，“纯诗”303），亦即追求诗歌语言摆脱实用、指涉、情感等非诗因素的纯粹状态，即“纯诗”（Poésie Pure）。在瓦莱里看来，诗歌的本质在于语言形式本身（声音、节奏、韵律、意象的组合）所产生的独立于日常生活之外的意蕴。这种“纯”的状态是一种理想极限，诗人需要通过如数学般精确的、高度自觉的技艺才能接近它，需要从语言的杂沓中提炼出“无实用价值”的纯粹声响，使声音和意义通过和声关系与意义关系的完美契合而形成自足秩序。

可以说，瓦莱里的“纯诗”和海德格尔的“寂静之音”都在一定程度上对声音、诗歌的传统模仿论逻辑进行了颠覆，试图剥离诗歌对现实指涉、情感宣泄或道德说教的工具性，转而追求语言、声音本身的自主性，探索比日常语言更本源的领域。只不过瓦莱里追求的是诗歌的某种理想状态，而海德格尔的目标是存在的“无蔽”。

三、死语言、声音神话和书写

20世纪意大利语文学家詹弗兰科·孔蒂尼（Gianfranco Contini）曾指出，意大利颓废主义诗歌代表诗人乔瓦尼·帕斯柯利（Giovanni Pascoli）的诗学中潜藏着一种对“死语言”（la lingua morta）的追求（qtd. in Agamben 62）。而意大利当代理论家吉奥乔·阿甘本（Giorgio Agamben）则在一系列著述中，结合帕斯科利的诗歌实践，对此观点进行了深入探讨。阿甘本关于“死语言”的理念，不仅可与瓦莱里的“纯诗”及海德格尔的“寂静之音”形成对话，也勾勒出一条相关的理论史脉络。

在对古代思想家关于死语言的探讨中，《语言与死亡：否定之地》（*Language and Death: The Place of Negativity*, 1982）中，阿甘本首先追溯至奥古斯丁。奥古斯丁在《论三位一体》中假设，若有人听到一个他不认识的词的声音，如“metheglin”，他会知道这是一个符号，即它意指某个东西，而不仅仅是个杂音，必然会有意无意地去寻找这个词的意义，因为“当他认识到这不只是一个口头声音而且是一个符号时，他就想知道得彻底；而符号除非被知道了它是何物的符号，是算不上被彻底知道了的”（262）。对奥古斯丁来说，对于这种处于声音和意义之间的未知词语的体验，就是一种对于求知的热爱的体验。

阿甘本继而发现，11世纪的思想家高尼罗（Gaunilo）在对中世纪神学家、经院哲学家安瑟伦（Anselmus）“上帝存在”论证进行反驳的过程中，对语言符号与存在关系也进行了质疑，认为可能存在一种对于只存在于声音自身之中的思想的体验，即一种还未意指任何明确的意义却驻留于声音自身的思想。¹

1 参见 Gaunilo, “Gaunilo’s Reply on Behalf of the Fool,” *Monologion and Proslogion with the Replies of Gaunilo and Anselm*, translated, with introduction and notes by Thomas Williams, Indianapolis/Cambridge: Hackett Publishing Company, Inc., 1995, 123.

阿甘本认为，高尼罗的观点为“思考声音本身”的观念“开启了一个全新的思想领域，它指示着一种尚未抵达某种确定性意义之前的话语情境的纯粹生成”（Agamben, “Pascoli” 72）。

随后，阿甘本梳理了唯名论思想家洛色林（Roscelin）等被认为发现了“声音的意义”的11世纪思想家，并在“声音的气息”（*flatus vocis*）中找到了黑格尔“绝对精神”（*Geist*）的第一次显现。提出思考声音本身便是“旨在思考最为根本的普遍性：存在”，而“存在，与‘绝对精神’一样，作为一种普遍性寓居于声音之中，揭示并展现着语言的生成”（Agamben, “Pascoli” 73）。

阿甘本进而指出，在语言生成的场域中，动物性的纯粹声响（*phoné*）往往被视为必须被移除之物，有意义的话语方能生成。这种与纯粹声响相区分的人类声音，被他称为大写的声音（*Voce*）。由于它是那种“不再存在”的声响和“尚未到来”的意义，便必然构成一个否定性的维度。从而，存在的意义在其源初之处便往往只能用一种带有纯粹否定性的“大音”（*Voce*）来揭示。例如黑格尔在《精神现象学》开篇便展示了一个带有否定性的辩证过程：

在语言中我们自己直接否定了我们的意谓（……）而语言仅仅表达这种真理所以要我们把我们所意谓的一个感性存在用语言说出来是完全不可能的。

（……）纯存在不是一种直接的东西，而是一种以否定性和间接性为本质的东西，因而它不是我们所意谓的存在，而是具有抽象性和纯粹普遍性和规定的存在。（66）

阿甘本认为：“在黑格尔和海德格尔的哲学中都存在将声音界定为原初否定性维度的表述”（阿甘本，《语言与死亡》77）。在笔者看来，这种“大音”的逻辑同样可以用来解读前述的西方思想中对声音进行的追问，以及由此提出的许许多多表面上不尽相同的概念。

回到关于“死语言”的讨论，阿甘本认为帕斯柯利的诗歌就极佳地展现了死语言的诗学和拟声诗学。¹在诗歌中，帕斯柯利常常使用一些读者可能不认识的词语，如已经不再使用的生僻词和所谓“方言”和对动物声响进行模拟的拟声词，且他如此做却并不希望被理解。在《帕斯柯利与声音的思想》（“Pascoli and the Thought of the Voice”）一文中，阿甘本提出，这些词语的使用“表明语言离开其语义的维度返回源初的纯粹意图（不仅仅是意指纯粹的声音，更是意指那些作为语言和思想的单纯声音）”（Agamben, “Pascoli” 67）。

¹ 参见 Giorgio Agamben, “Pascoli and the Thought of the Voice,” *The End of Poem: Studies in Poetics*, translated by Daniel Heller-Roazen, Stanford, California: Stanford University Press, 1996, 66.

斯多亚学派巴比伦的第欧根尼就曾表示，“词语是书写出来的声音”（拉尔修 328）。古代的文法学（*grammatica*）在研习声音的过程中产生，但当时作为纯粹自然声响的声音并未被纳入文法学体系。因为古代的思想者区分人类的声音与动物的声音时，人类的声音往往是清晰分节的，动物的声音则往往是混乱的、难以模拟书写的。而在阿甘本引用的狄奥尼修斯的著作（实为其著作的古代注文）中，“拟声词”被巧妙地设定在分节与不分节、可写与不可写的中间地带。¹ 引文中形容蛙叫和猪叫的拟声词便与帕斯柯利诗歌中的许多拟声词神似。阿甘本据此提出，动物的拟声词并非纯粹的自然声音，却可以被纳入书写，读者识其音却不知其意。加上帕斯柯利诗歌中许多所谓的“方言”，亦即死语言，都共同指向了文字化的声音。

因此，阿甘本才会提出：“字符才是死语言诗学和拟声诗学，死的语言和死的声音汇聚为一的地方。只有在字符中，依靠字符，才能捕捉和表达出在中世纪的所谓诗歌誊写意义上的对语言的最恰当体验；在那里，他可以在语言再次沉沦为声音和死亡的瞬间将其捕获，也是在那里，声音自纯粹的音响中浮现，没入（死去化为）意指行为”（Agamben, “Pascoli” 70）。书写的字符，既是声音的“可书写形式”，又是其死亡隐喻。这种让死去的声音在书写、文法中重获生命的操作，可以视为阿甘本对于西方思想传统中“声音神话”的一种批判。

古典时代关于声音的讨论似乎始终在追问：“声音是表达什么的媒介？声音在模仿什么？声音如何表达意义？”但随着对于声音超越性内在的不断追问，现当代思想关注的核心逐渐转向“意义如何在声音中产生”，或“意义如何在声音之前发生”，甚而，声音本身开始被悬置，理论家们的探究也逐渐从可听见的声音，转向静默的声音，抑或追求日常世界杂音之外的纯粹声音，事物本身无声的表达。所以当“哑默”转向“寂静”或“纯诗”，并最终转向“死语言”的讨论时，并不意味着对声音的探讨走向了它的终结和反面，声音并不是简单地被去神学化、去神话化了，而是在不断被推向其发生之前的源初位置，思想也因此不断接近语言发生场域和否定性根源。阿甘本的思想甚至将对声音的探讨推向了一个看似与声音中心的传统相悖的结论：声音有可能是在书写中被冻结、延宕后，才再度成为被思考的对象。当然，这种思想并非主张书写取代声音成为中心。而当拟声词、生僻词、方言、无法确定其指涉的音节、语义的悬置出现在包括文学和诗学的书写中时，也不再意味着表达和交流的失败，而是可以在文学上得到重新评判。这种思考无疑为重新思考声音，重新理解现代诗歌与实验写作提供了一种不尽相同的思路。

1 参见 Giorgio Agamben, “Pascoli and the Thought of the Voice,” *The End of Poem: Studies in Poetics*, translated by Daniel Heller-Roazen, Stanford, California: Stanford University Press, 1996, 68-69.

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京派文学中的空间生产

Spatial Production in the Beijing School of Literature

戴潍娜 (Dai Weina)

内容摘要: 本文以列斐伏尔的空间生产理论为框架, 结合女性主义视角, 考察从“京派”到“新京派”再到“大京派”的历史演进如何参与塑造京津冀地区的文化认同与精神地图。早期“京派文学”以审美趣味建构超越功利的诗意空间; “新京派”以“博雅之气”整合地方记忆, 亦隐含文化权力的排他性; 至“大京派”阶段, 京津冀三地作家共同参与区域再阐释, 重绘多中心、协商性的空间想象。在这一过程中, 女性作家的创作持续挑战着性别化的空间秩序, 始终是塑造京派文学空间想象的重要力量。本文通过理论对话和文本细读, 揭示文学、空间、性别权力相互生产的复杂机制, 为理解地方书写和文化认同建构提供一种新的阐释路径。

关键词: 京派文学; 新京派; 空间生产; 现代性; 女性文学

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Title: Spatial Production in the Beijing School of Literature

Abstract: This paper takes Henri Lefebvre's theory—the production of space as its analytical framework and, from a feminist perspective, examines how the historical evolution from the Beijing School (of literature) through the New Beijing School to the Greater Beijing School has participated in shaping the cultural identity and symbolic geography of the Beijing-Tianjin-Hebei region. The Early Beijing School of Literature constructed poetic spaces that transcended utilitarian concerns through aesthetic sensibility. The New Beijing School sought to integrate local memory through a cultivated spirit of erudition, while also implying forms of cultural exclusivity and symbolic power. In the phase of the Greater Beijing School, writers from Beijing, Tianjin, and Hebei collectively engaged in a reinterpretation of the region, redrawing a polycentric and negotiated spatial imagination. Throughout this process, female writers have continually challenged gendered spatial orders and have remained a key force driving heterogeneity and spatial reconfiguration. Through theoretical dialogue and close textual analysis, this study reveals the complex mechanisms through which literature, space, and gendered power relations

are mutually produced, offering a new interpretive pathway for understanding regional writing and the construction of cultural identity.

Keywords: Beijing school; New Beijing school; spatial production; modernity; feminist literature

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文学以其特有的命名、叙事与符号体系，持续参与着对空间的塑造与赋形，深刻影响着人们对空间的占有、感知与体认。“城市是我们新的本质，是一片不结果实的新森林，一个神话般的童年多边形，一个充满希望和抱负的陵墓（……）这座城市是一些地理常数或文化变量的表现”（戴潍娜 61）。在地理常数之外，流动而丰盛的文化变量往往承担了城市空间和文化记忆的生产工作。文学真正进入了城市内部，编织出其细密的肌理，支撑了有关城市的想象。某种意义上，它生产城市可被理解的形态，也生产城市可被栖居的方式，更生产城市可被体认的历史。亨利·列斐伏尔（H. Lefebvre）为城市研究找到了崭新的动力和参考物，提出空间的三元辩证法，包括感知空间、构想空间和生活空间——这三者之间的关系是辩证的，它们相互作用，共同构成了社会空间的整体。¹空间的三元辩证法为我们进入文学提供了新的思想工具。文本可以被视作一种复杂的空间实践，其蕴含了特定权力结构下的空间秩序和特定文化情境下的生活方式，与此同时，塑造着读者对现实空间的感知。

当我们以此切入“京派文学”时，会发现“京派”这一概念远不止是一个地域标签或美学流派，它本身就是一个多层次的“空间生产”现场，始终进行着地域性与超地域性的自我的探索。京派文本中那些反复出现的看似闲适的庭院、有趣的胡同、安静的闺房、客厅，风雅的文人沙龙，实则无一不是地域文化建构中权力角逐与主体抗争的重要场域，其中上演的远非闲适的审美游戏，而是对何谓“北京”，何谓“文人”，何谓“现代生活”的种种诘问、协商与争夺。因而，对京派文学的深入勘探，必然要越过风格与趣味的浅层探讨，去深入审视地域文化认同如何在现代化进程中不断被争夺、想象和书写；性别政治又如何深刻地渗透于上述感知、构想与生活空间的每一个维度。这使得京派研究超越了传统文学史范畴，成为理解现代中国知识主体的空间感知、性别政治与身份困局的重要思想现场。

而在女性主义视角下，空间的生产与性别权力之间更潜伏着一条幽深密道。传统社会结构中，空间分配呈现出鲜明的性别不公正，女性被困锁于以

1 参见亨利·列斐伏尔：《空间的生产》，刘怀玉等译，北京：商务印书馆，2022年，第1-30页。

闺阁为代表的私密、边缘空间，其活动空间始终受有形与无形的限制；而男性则通常主导着街道、广场、讲坛等公共领域，且以此不断勾勒和再生产人类公共空间的边界。这种性别化的空间区隔，往往率先在文学、绘画、戏剧、艺术等表达中被锐利地质疑，随后才逐渐在现实中获得改写的动力。在那些被窄门和纱窗包围的生活缝隙里，女性作家以细碎的日常实践，悄然消解、抗衡，甚至再造着属于自己的隐秘疆域。她们通过书写，创造性地将边缘或私密经验转化为具有抵抗潜能的象征性空间。因而，在京派文学研究中引入女性主义视角，意味着重审女性在社会结构中所被赋予或剥夺的空间经验，由此揭示该文学传统内部那些长期被主流话语所遮蔽的性别政治与叙述可能。

一、“京派文学”的诗意空间生产

1920年代，一批作家以同频的文学理想和美学追求聚集，组成了松散的“京派文学”阵营。相对于彼时以上海为中心的“海派”作家圈，京派作家们崇尚趣味空间，以独特的文化姿态反对文学的功利化。关于“京派”与“海派”的对峙，文学史上还有过“京海之争”。严家炎先生详尽刻画了这场论争的肇始——“这场论争是作家沈从文首次发动的，锋芒所向，直接指到了一批商业化的‘海派’作家（……）于是，上海的苏汶站出来，在《现代》第四卷第二期上发表《文人在上海》一文，反唇相讥，回敬了沈从文这个‘北方的同行’”（206）。1934到1935年间，鲁迅先后发表了“‘京派’与‘海派’”“北人与南人”“‘京派’和‘海派’”多篇文章加入论战。他着力强调北平作为文化古都所特有的历史积淀——“有古物，且有古书，且有古都”（《鲁迅全集 第5卷》302），实质上是从空间文化的角度，为京派文学的精神根脉提供辩护。严家炎在论述京派小说时指出，其代表作家包括废名、沈从文、凌叔华、林徽因、萧乾等人。尤其值得注意的是，在这份名单中，女性作家凌叔华和林徽因都与日后的北京空间建构有着密切关系。

相比于海派文学在长三角商业文化建构中泛化的商业空间，鲁迅的兄弟周作人，则在这一段历史中生产出了一番超越功利的诗意空间。京派文学反对商业化、功利化的文学观，不仅是“京海之争”的表面现象，更深层次体现在周作人等人的文化理想和社会构想中。周作人不仅通过“人的文学”倡导“个人主义的人间本位主义”（《艺术与生活》9），更借助对日本“新村运动”的引介与诠释，建构了一套系统的社会文化理想。“新村运动”这个提法最初来自日本作家武者小路实笃（Saneatsu Mushanokoji），其主张“泛劳动”与“协力的共同生活”，追求个人与社会和谐的统一。周作人感叹其“一方面尽了对于人类的义务，一方面也尽各人对于个人自己的义务；既赞美协力，又赞美个性；实在是一种切实可行的理想，正中普遍的人生的福音”（《艺术与生活》206）。尽管这是一场带有乌托邦色彩的社会运动，但其对劳动价值的重估，对商业剥削的抵抗，以及对共同体生活的设想，皆与京派文学

拒斥功利，追求精神自主的文化立场相合。仅将“新村运动”视为周作人受日本白桦派影响的思想组成是远远不够的，它是周作人用以构建超功利诗意空间的一张蓝图。可以说，新村运动几乎完美契合了周作人心目中的人与社会的理想关系，试图在个体与集体、审美与实践之间建立一种充满弹性的人文空间，从而实现京派文学对现实功利的有意识疏离和美学超越。

进一步看，这种由周作人所倡导的、融合了个人主义与人道主义的“人学”观念，亦为现代性别议题的展开奠定了早期的话语基石。周作人希望国家与个人之间能够和谐地共生，他在“与友人论国民文学书”中说：“提倡国民第一重要的是‘个人的解放’（……）文学同时必须提倡个人主义”（《周作人书信》49）。在周作人看来，人具有二性，一是人性；二是个性。人性中同时包括爱他人与爱自己。既要有人性也要有个性，既要爱他人也要爱自己，既要有个性又要通人道。他把个人主义看作人道主义的一个必经阶段。这一切都是他的“人学”，也是女性学、儿童学的思想基础。事实上，民国初兴的诸多新学科，在一定程度上仰赖于这一“人的发现”，并曾在京派文学超然的思想中汲取过营养。新村运动虽未能实现其社会变革理想，但其对理想社群关系的探索、对个性与协同的并重，客观上为重新想象性别关系与社会空间打开了可能。然而，周作人最终退回到“苦雨斋”，也暗示了这种诗意空间生产的局限性：它或许能在观念中开辟一片审美自洽的领地，却难以在复杂的社会现实中实现人文理想。而理想和可行之间的裂隙，恰恰成为京派文学超越功利的“空间生产”中一个持续存在的辩证焦点——艺术在京派的文艺圈子里日渐变成了一种远离现实的情绪的操练。

二、隐秘与公共：京派女性作家的空间叙事

在京派女性作家中，凌叔华的创作以短篇与散文见长，其叙事常以庭院、夹道、后花园等微型空间为中心，意象虽小，却是她认知城市、体悟自然、建构内在世界的通道。凌叔华离开故土赴英多年，她的作品中对旧北京的家族情感不时地显现，所书写的边缘空间，乃是历史的裂缝。种种花木、水石、假山与她的童年、家庭乃至家国命运紧密编织在一起。林徽因在建筑论著和散文中，也将旧都北京的残垣断壁平添隐喻意味，建起一种介于怀旧与想象之间的诗意场。

凌叔华的小说常把视角锁在深闺或远游之后的孤寂，将目光聚焦于被历史抛置的女性。无论是文化身份的疏离，还是性别困境的压抑，都让她的叙述自觉或不自觉地游走于主流叙事的边沿。她在自传中回忆道，童年时家中后院有假山与茅亭，攀上石山方能俯瞰彼岸绵延不断的西山。日后的书写中，她多次将山水视为知己、长者、玩伴，甚至情人。在《爱庐山梦影》中，她说：“近来我常在雨后、日出或黄昏前后，默默地对着山坐（……）我对着山的心情，很像对着一个知己的朋友一样，用不着说话，也用不着察言观色”（3）。作为

一位“新闺秀派”女性作家，她所见的自然并非仅为宏阔的风景轮廓，而是更加细腻的空间变奏：山的静谧、云的柔和、流水的低语。正如她在作品中同样很少谈及显赫的社交场面或政治事件，而是聚焦于私人与隐秘生活：儿时的庭院梦，旅途中的新奇印象，或是内心情感的悄然涌动。这种微型空间成为她成长、回忆与文学想象的重要组成部分。与之相异，林徽因的“太太的客厅”里构建起现代意义上的都市公共空间，成为北平文化生活的一个中心。如费慰梅所评价：“当她侃侃而谈的时候，爱慕者总是为她那天马行空般的灵感中所迸发出的精辟警语而倾倒”（转引自 田时雨 119）。这些京派女性作家不仅在场，而且建场：她们以实际行动打破了女性缺席公共空间的传统，于文学的版图上破土筑城，成为空间的缔造者。那些或私密或半开放的空间，是京派女性内心世界的暗室与镜像。她们既渴望自由而又惧怕自由，既想走出门去，又恐被命运的丝线悄悄牵引。她们的书写，为文学世界注入了“她者”的灵魂，并拓展了其边界。此外，学校则是另一种现代性的空间想象。女性在这里以学生身份出现，暂时抛却家庭的重负。课堂、图书馆、社团，成为思想生成的中介。凌叔华和林徽因描绘中国女性在社会转型期里的复杂处境。她们笔下的女性形象来源于“五四”新思潮影响下的中产阶级或新式家庭：这些女性接受过现代教育，开始追求自主，却又深受传统礼教的影响和禁锢，往返于内与外、私密与公共、传统与现代之间。

三、小径分叉的“新京派”文脉地图与空间变奏

如果说以凌叔华、林徽因为代表的京派女性作家通过对私人空间的公共化转换，从内部松动了传统性别化的空间秩序，那么在此基础上形成的“新京派”文脉则呈现出更为复杂的空间生产变奏。其中女性视角的切入，持续构成对男性话语主导的主流空间建构的隐性反思和挑战。列斐伏尔将语言重新视作一种空间的生产工具，他在空间生产理论中指出，语言不仅是交流和表达的工具，更是空间生产的重要媒介。¹从旧文人笔记中的宫墙内的北京，到凌叔华精英主义大宅门里的北京；从老舍和邓友梅笔下落魄八旗子弟的北京，到萧乾、汪曾祺关切的养穷人的缝儿里的北京，这个城市的多重历史维度和空间层次，皆在文学作品中以千丝万缕的线索铺展开来。京派文学塑造了北京的景观，展示了这座城市不同时期和社会背景下的独特风貌，使其成为一个充满故事和幻觉的空间，且这个空间在文学符号的编码中永不停歇地流动和延伸。孙郁先生在他论述“新京派”的文章中归纳了端木蕻良、汪曾祺、张中行、季羨林、启功、王世襄、宗璞等一批作家知识分子对于京派传统的继承和革新，认为他们为文化界吹入了一股“博雅之气”，指出从“京派”到“新京派”这一路作家所代表的审美趣味，可与王蒙提出的“作家的学者化”命

1 参见 亨利·列斐伏尔：《空间的生产》，刘怀玉等译，北京：商务印书馆，2022年，第10-13页。

题形成对话。¹事实上,这股“博雅之气”在空间生产的层面,首先体现为一种将日常生活与历史积淀予以审美化与意义化的空间建构。譬如汪曾祺,意到笔随,带出无数日常生活的美与细节,通过对茶馆、街巷、店铺中气味、声音与人物情态的细腻捕捉,化出浑然天成的个性趣味空间,为京派文学注入活力,在感知空间的维度上,将琐碎日常提升为一种诗意栖居的平民生活哲学。再比如端木蕻良在他的作品《大地的儿子》中,将北京的前世今生交织在一起,形成了一个充满生命力和史诗厚度的历史空间,塑造了一种融通古今、典雅深厚的空间意识。与之相异,张中行的散文集《负暄琐话》从对历史遗迹的追忆中构筑文化守望者的精神空间,他的空间生产机制更侧重于“记忆的考古学”——那些逝去的风物,经由文字擦亮,被重置于文化史构想空间之中,以此抵御现代化带来的遗忘与空间断裂。诚如王蒙先生所言,“作家的学者化”不仅体现了他们在文学创作上的深度和广度,也折射出对历史传统自觉承接的文化姿态。²

值得注意的是,这种以“博雅之气”为内核的空间生产,无形中形成了一种文化权力场域,确立了某种以特定智识资本和文化趣味为门槛的排他性机制。正因如此,女性作家在“新京派”语境中获得了某种辩证意义,迫使她们以更具异质性和反思性的方式介入空间书写实践。在空间生产理论中,语言、空间和活动三者有着内在的一致性。当它们之间不能互相建立解释和理解时,就出现了相互之间的断裂。相较于京派传统对闺阁空间的凝眸,新时期北京女性作家的笔触更多转向广阔的社会舞台和内心世界,其创作反映出与前辈迥然不同的空间体验。以20世纪90年代的“女性自白派”为典型,这些文本通过对都市白领日常生活的微叙事引发共鸣。一方面,新时期女性摆脱旧式家庭的禁锢,文学由此获得表现女性公共生活空间的新题材;另一方面,尽管外部空间扩大,女性在社会空间中仍然面临诸多隐形天花板和心理困境。张洁的中篇《爱,是不能忘记的》(1980),经由一位女青年对母辈爱情往事的追忆,呼唤爱情自主和个体价值,被誉为新时期女性意识觉醒的先声。刘索拉的《你别无选择》(1985)以迷茫叛逆的都市女孩形象,打破以往京味文学的叙事范式,语言直率泼辣,成为现代派小说的先锋之作。她们均以强烈的心理化倾向,将“生活空间”的生产从外部地理空间转向了内在呐喊,以异质性的声音打破了空间的同质化。传统京派作家笔下那种幽雅闲散、守在四合院里的暧昧氛围,已难觅踪影。总体而言,“新京派”文学的空间生产具有承继与变革的双重性:它既继承了京派关注都市文化和市民生活的本色,在北京丰富的地域空间上挖掘文学意义;同时,它也突破京派“小圈子”的局限,将北京文学的空间拓展到更为异质性、流动性的多元宏阔的复调空间。在这一复调空间中,女性视角不仅是重要的组成

1 参见孙郁:“从京派到新京派”,《中国当代文学研究》6(2022):1-7。

2 参见王蒙:《王蒙学术文化随笔》,北京:中国青年出版社,1996年,第124-134页。

部分，更是一种批判性眼光，持续照亮着空间叙事中那些被主流遮蔽的褶皱暗影。

四、大京派视域下的文化地图与多元空间生产

“新京派”以其“博雅之气”与“学者化”倾向，深化了北京作为历史文化中心的空间建构，但本质上仍侧重于单一城市的、以智识趣味为核心的话语共同体。京津冀协同发展十年来，有刘勇、陶梦真等学者提出“大京派”的文学概念¹，认为“大京派”超越了“新京派”相对局限于北京城的视野，转而从燕赵文明同根同源的历史地理基底出发，使得文学的空间生产不再仅仅围绕“北京性”展开，实现了更具包容性的区域文化认同和空间想象跃迁。在这一广阔视域下，在复古与创新并置的语境中，文学创作呈现出更为多元的空间书写策略。在这张小径分叉的文脉地图中，年轻一代“大京派”作家们的声音清晰而有力，在题材选择与空间书写策略上呈现出较为鲜明的代际取向。大城市与小镇、乡村在文学中往往处于对立面，在年轻一代的书写中，北京代表了现代性和流动性，诚如“大京派”中领军人物徐则臣所表达的——“大地在扩展，世界在生长”（4）。徐则臣的小说《北上》以大运河为叙事轴线，其空间生产机制是“河流时间性”对“城市中心性”的改写。运河不再仅仅是背景，而是一个能动的主人公，从而象征性地构建了一个崭新、流动的空间想象。与之形成对照的是侯磊在《北京烟树》中采取的“微观地理学”路径，他的散文集《北京烟树》从地理空间的角度入手，带着读者从北京市东城区的北新桥十字路口出发，向北走到地坛，向东走到簋街，向南走到隆福寺、王府井，再向东走到位于朝阳区的三里屯（工人体育场）、八里庄、十里堡以及位于通州大运河的支脉。这些行走路径和观察经验，转化为一篇文章写作的对象与材料：《“大北新桥人”》《地坛有神》《簋街秘史》《上溯隆福寺》《东安市场：一百年的买买买》《九比一》《红砖楼：三里屯·八里庄·十里堡》《通波：北京的大运河》等，其写作与文化空间紧密结合，每一条胡同和街巷，都被他写出了胡同志和街巷志，于讲述往事时，不经意间描绘了一幅北京版的清明上河图。其写作不仅记录胡同街巷的地方经验，也通过命名、回溯，使若干城市节点获得更明确的文化指涉。很明显，侯磊笔下的新北京文化建构，是从空间转化到时间，从生活细节营造到历史文化，这种营造不是生硬的，而是在“三千年建城史，八百年建都史”的文化古城的每个生活细节中予以表现。这种味道使得他写出了《中轴线：时间的宫殿》《北平乌托邦》《方言是母乳，说方言是回家》等，他执着于北京味儿，力图把这种味道从老北京带到新北京来，而不是把现代人带回到古代去。河北作家李浩的《灶王传奇》则提供了另一种富于创造性的空间生产范式：神话传说

1 参见刘勇、陶梦真：“京津冀文脉的历史涵养与‘大京派’文学的时代建构”，《当代文坛》1（2021）：115-122。

的现代转译。他将民间艺术及古典文学资源化入现代派的炼丹炉，把一个古老的话题写出了先锋实验的惊奇与深刻，这实际上是在“构想空间”的层面，用现代派手法重构深层心理结构。

大京派文苑的流风余韵中，女性作家的创作在这一区域化视野中获得了更具批判纵深的空间。她们不再局限于对北京单一城市性别秩序的反思，而是将穿透性的批判目光投向更复杂的阶层流动空间。她们中有北京籍或在京发展的写作者，题材广泛，涉及历史、现实、科幻、悬疑等多重领域，尤其倾耳于女性身体与城市脉动间那幽微的鼻息。科幻作家郝景芳的《北京折叠》（2016）以三重空间层级象征都市阶层分隔，呈现出极端的社会分化，分明是阶序森然的浮世绘卷。女主角冷眼旁观，其静默本身，便是对城市裂痕与人性渊壑最锋锐的剖解。科幻，为女性反思空间提供新的介质。现实主义写作中，女性作家同样介入都市空间的讨论，她们以各自的棱镜，折射着时代光谱，探入空间的褶皱与裂隙。

五、结语

本文考察了京派文学从“京派”到“新京派”再到“大京派”的历史演进，如何参与并塑造了北平——北京——京津冀的区域空间想象。在文学的空间生产中，社会关系、历史记忆与日常实践被重新诠释。通过引入列斐伏尔的空间三元辩证法和女性主义视角，尝试描绘京派文学在不同历史时期的文学风貌。京派文学的流变史，本质上是空间生产机制不断重构的历史。早期“京派文学”，以审美趣味对抗功利主义；进入“新京派”阶段，则以“博雅之气”塑造都市文化和市民趣味；至“大京派”阶段，京津冀三地作家共同参与城市叙事的再阐释，文学成为形塑区域文化认同的叙事媒介。与此同时，性别化经验使京派文学的空间叙事呈现出更细密的分层结构——女性在隐秘空间与半公共空间中行动、观看与自我叙述。

本文尝试将空间生产理论与中国地方性书写实践相结合并进行对话，尤其突出了性别维度在空间生产中的批判性潜能。未来可考虑将研究范围扩大到其他区域或跨文化比较，检视不同城市文学传统下空间生产的异同。从“京派”到“新京派”再到“大京派”的种种传承式创新，或曰创新式传承，可与鲁迅在《无声的中国》中对仿古文风的批评形成对读：“即使做得像，也是唐宋时代的声音，韩愈、苏轼的声音，而不是我们现代的声音”（《鲁迅杂文选》191）。历代京派作家们普遍在发出属于自己的、当时当刻的声音，以此呼应现代以来中国知识分子在区域、性别等多重张力中不断寻找精神栖居的努力。女性、男性，精英、草根，本土、外来，共同争夺话语权；文学嵌入街巷、霓虹、地铁、黄昏与尘土；女性作为城市居民与叙述者，贡献了不可抹去的抗争印记。文学并非城市的注脚，而是其肌理本身。城市与文学相互交织，形成了一幅无限丰饶又时刻生长的文化地图。总之，本文对京派文学中的空间生产进行了探索性的

论证；然而，文学与城市的复杂联结仍有待更多视角和方法的补充与验证。希望本研究能为相关议题提供进一步思考的方向。

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Reimagining Postcritique and Literary Reading: An Interview with Rita Felski

Shi Xue & Rita Felski

Abstract: Rita Felski, John Stewart Bryan Professor of English at the University of Virginia, and former editor of *New Literary History*. She is one of the leading figures in contemporary literary theory. Her work has touched upon various fields, including theories of interpretation, literary sociology, modernity studies, and feminist criticism. She has played a pivotal role in ongoing debates about postcritique. This article features a scholarly interview with Felski by Shi Xue during her visit to the Royal Holloway University of London. This interview is presented according to the internal logic of Felski's intellectual development and the theoretical positioning of postcritique, focusing on three interrelated themes: her transformation from feminist criticism to a postcritical stance and her underlying concerns; the foundational role of literary reading and audiences within her broader framework; and the theoretical limits and methodological tensions of postcritique. In the interview, Felski looks back on her academic path and emphasizes that her intellectual trajectory does not represent a paradigmatic rupture but rather a continuous process of engagement with the sociality of literature, reading experience, and affective structures through a critical reassessment of the tradition of critique. She also responds to questions and doubts raised by other scholars, clarifying that postcritique is neither an anti-theoretical gesture nor a closed methodological system. Instead, it's better understood as an open critical stance. The conversation further discusses the cross-cultural dissemination of postcritique and the institutional conditions of knowledge production, with a focus on its translation and reinterpretation in Chinese academia. For Felski, the significance of postcritique lies in its effort to reestablish a connection between everyday life and the public aspect of literary studies.

Keywords: Rita Felski; postcritique; literary reading; everyday life; critical orientation

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标题：重思后批判与文学阅读：芮塔·菲尔斯基访谈录

内容摘要：芮塔·菲尔斯基是弗吉尼亚大学英语系教授，曾任《新文学史》主编，是当代文学理论领域最具影响力的学者之一。其学术实践横跨文学阐释理论、现代性研究、文学社会学以及女性主义批评，是“后批判”讨论中的核心引领者。本文为拾雪在伦敦大学访学期间对菲尔斯基的专题访谈。围绕其思想演进的内在逻辑及“后批判”的理论定位问题，本篇访谈聚焦三个层面：其从女性主义批评到后批判立场的转向及其问题意识的延续性；文学阅读与受众问题在其理论结构中的基础地位；以及“后批判”在方法论争议与学术制度语境中的理论边界与实践张力。访谈中，菲尔斯基回顾自身学术形成过程，指出其理论发展并非范式断裂式的转向，而是在反思批判传统的过程中，持续强化对文学社会性、阅读经验与情感结构的关注。围绕学界对“后批判”提出的诸多质疑，她作出系统回应并强调，“后批判”既非反理论姿态，也非封闭的方法体系，而更宜被理解为一种开放且具有生成性的批评取向。此外，访谈进一步讨论“后批判”在学术制度与知识生产机制中的现实处境及其跨文化传播问题，尤其关注其在中国学界的译介与再阐释路径。她认为，“后批判”的意义在于重构文学研究的公共维度，重建学术阅读与现实生活世界之间的关联。

关键词：芮塔·菲尔斯基；后批判；文学阅读；日常生活；批评取向

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Intellectual Trajectories and the Centrality of Everyday Life

Shi Xue (Shi for short hereafter): Your early work was deeply shaped by feminist criticism and engagements with high theory, while later your writings emphasize the uses of literature, particularly its social dimensions, as seen in the influential books you have published—*Uses of Literature* (2008), *The Limits of Critique* (2015), and *Hooked: Art and Attachment* (2020). You once described your intellectual development as “a weird trajectory” (Williams 122). How do you understand this shift in emphasis? What were the key experiences or reflections that

contributed to this change in orientation?

Rita Felski (Felski for short hereafter): First of all, I would not say that there has been a dramatic rupture in my work, but rather a shift in emphasis. I do not repudiate anything I've written. My earlier books in feminist criticism, when I reread my first or second book, I still find myself largely in agreement with their arguments. There has not been a major intellectual volte-face. What has remained consistent throughout is my commitment to examining how theory relates to everyday life. I have never considered myself an advocate of "high theory" in the conventional sense. I always wanted to think about how theoretical debates relate to the everyday lives or the books that ordinary people read.

My first book, *Beyond Feminist Aesthetics* (1989), was a critique of feminist literary theory on several grounds. On the one hand, certain strands of feminist criticism emphasized a notion of female identity, but I was skeptical of the idea that women share a unified or homogeneous set of experiences. On the other hand, poststructuralist critiques by figures such as Derrida deconstructed identity altogether, yet I had little sympathy for this tendency as well, because it often resulted in abstract, esoteric academic debates that bore little relation to women's lived experiences. My aim in that book was to develop a more sociologically oriented way of thinking about women's writing, suggesting that its significance lay in the social changes it could bring about, rather than its presumed expression of some pre-given female identity. Even then, I focused on popular feminist fiction rather than solely on canonical texts and asked why such fiction matters and what it does for its readers.

My second book, *The Gender of Modernity* (1995), was also not an exercise in high theory. It includes a chapter on women and shopping—"Imagined Pleasures: The Erotics and Aesthetics of Consumption"¹—and another on Marie Corelli², often described as the queen of bestsellers. Again, my intention was to connect theoretical arguments to the everyday lives of people outside the academy, and that has remained a consistent thread in my work. The main difference is that my first four books were focused on feminism, whereas I later moved in a broader direction and began to comment on literature more generally. Eventually, I became more explicit about my reservations concerning critique. But this should be understood as a shift in emphasis rather than a rejection or a radical break.

1 See Rita Felski, *The Gender of Modernity*, Cambridge: Harvard University Press, 1995, 61-90.

2 Marie Corelli (1855-1924) was the most famous and highly paid novelist of the late 19th century. Her novel *The Sorrows of Satan* (1895) sold more copies on first publication than any previous English novel and became one of the best-selling works of its time. Felski discusses Corelli extensively in *The Gender of Modernity* as an example of popular fiction and its relation to femininity and modern culture.

Shi: Given that your intellectual formation was deeply shaped by feminist criticism, to what extent do you think your feminist background provided you with distinctive conceptual perspectives or methodological sensibilities that continue to inform your subsequent critical trajectory?

Felski: As I mentioned earlier, my interest in feminism has always involved, on the one hand, a critique of sexism, hierarchy, and gendered forms of exclusion, and on the other hand, an attention to the ways in which women have often been associated with everyday life—an association that has long interested me. Where I diverged from certain strands of feminist theory was in the assumption—especially prevalent at one point—that “woman” designates a coherent set of characteristics or dispositions. According to these accounts, women were presumed to share particular personality traits: for instance, an emphasis on relationships, weaker ego boundaries, or a tendency toward submissiveness. These descriptions failed to reflect the diversity of women’s experiences, including my own. While I remained committed to feminist critiques of sexism, I rejected essentialist definitions of female identity, even when they came from within feminist discourse.

At the same time, I was—and remain—sympathetic to feminist emphases on everyday life. In my essay “The Invention of Everyday Life” (2017)¹, I examine how the category of the everyday has been consistently associated with women and often devalued within modern theory. Everyday life becomes linked to the domestic sphere—cooking, shopping, domestic labor—activities that critical theory frequently dismisses. It is associated with repetition and routine, qualities often framed as undesirable or intellectually uninteresting. My aim in that essay was to defend these qualities and to argue that repetition, habit, and domesticity have their own forms of value and are indispensable dimensions of human life. In this sense, my engagement with feminism has been grounded in a feminist appreciation of the everyday. That emphasis, I would say, is the most enduring influence I carried from feminism into my later work.

Shi: Theoretical inquiry, in my view, offers ways of thinking about society rather than a mere operational methodology, as in the works of Edward Said or Gayatri Spivak. You have noted that *Literature After Feminism* (2003) was partly motivated by your frustration with the media’s distortions and vilification of feminism.² Could *The Limits* similarly be understood as arising from a sense of

1 See Rita Felski, “The Invention of Everyday Life,” *New Formations* 39 (1999): 13-31.

2 See Jeffrey J. Williams, “Articulating Feminism: An Interview with Rita Felski,” *Minnesota Review* 63/64 (2005): 113.

dissatisfaction—specifically, a frustration with the disciplinary inertia of critique¹ and the broader sense of crisis within the humanities?

Felski: I would say that the inertia of critique is indeed part of what I was responding to, but the turning point came somewhat earlier, before I wrote *Uses of Literature*. It actually began during a conversation with an editor at Blackwell. She asked me what I thought about the state of literary studies, and I found myself complaining about how bored I had become with certain routinized forms of critique. She suggested that I turn those frustrations into a book, and that eventually became *Uses of Literature*. After that point, I began to articulate more directly about the limitations of critique as a dominant method in literary studies. One issue, however, is that I do not believe that a shift to “post” criticism or postcritique could transform the humanities. Such a change would not be realistic. The decline of the humanities is driven by political, economic, and institutional forces that methodological shifts alone cannot address. Nevertheless, I do think postcritique has the potential to be productive in certain ways. I see real value in postcritique. It opens up more space for readers outside the academy. After *The Limits* was published, I received emails from people who told me that they had been hesitant to pursue doctoral studies in literature because they felt disheartened by the dominance of suspicion and critique. Reading the book gave them hope again and renewed their sense of possibility. At an individual level, postcritique can make a difference, even if it cannot singlehandedly transform institutions—a hope that would be unrealistic.

Reading beyond the Academy: Readers, Publics, and the Social Meaning of Literature

Shi: Your reflections on everyday life also lead naturally to questions about readers outside the academy and about the broader publics addressed by literary criticism. When you were writing *The Limits*, did you anticipate that it would provoke such wide-ranging discussions, or even become entangled with political debates? How do you perceive these debates now? During your lecture at Queen Mary University of London, the moderator Matthew Rubery remarked humorously that everyone knows Felski is controversial—but not too controversial.² The term “controversial” has almost become a playful label attached to both you and

¹ Here “critique” primarily refers to the dominant mode of suspicious interpretation in contemporary Anglo-American literary studies, often associated with the hermeneutics of suspicion. It does not encompass the full range of critical traditions such as the Frankfurt School or ecocriticism, which involve different theoretical agendas.

² The remark was made by Matthew Rubery during Rita Felski’s public lecture, “Expert Readers/Amateur Readers,” delivered at Queen Mary University of London on 1 October 2024.

postcritique itself. How do you respond to this characterization?

Felski: No, I did not anticipate that the book would provoke such extensive discussion. My earlier books certainly did not attract that level of attention, and even *Uses of Literature*, which was published by Blackwell in the U.K., received relatively little promotion and relatively modest responses. So, I had no particular expectation that *The Limits* would be widely taken up and considered especially controversial. What I was saying felt almost like common sense—that was precisely why I wrote it.

What has been difficult, however, is that some of the responses have been quite upsetting. Thoughtful and substantive critiques are one thing; I welcome disagreements from readers who understand what I am arguing and then take issue with it. Such debates are productive and necessary. But I have also encountered a number of caricatures of my work—often in the form of brief dismissals suggesting that I hate theory or am opposed to critique. These responses give the impression that the writers have not actually read what I have written. Some critics, including Bruce Robbins, have gone so far as to claim that following my arguments would somehow lead us to stop caring about, for example, “drowned children” (375).¹ Such claims are, frankly, extraordinary distortions. In the United States especially, I have sometimes been portrayed as an advocate of aestheticism or even a neo–New Critical position, which is incorrect. My background is in British cultural studies, and I have never been interested in “art for art’s sake.” I argue that literary experience itself deserves serious attention, since this is why people read. Serious critique is one thing; blatant misrepresentation is another. The latter has been, from my point of view, quite troubling.

Shi: Since *Uses of Literature*, your writing has become more accessible, and you have expressed a desire to reach a broader readership. How have questions of readership—both academic and non-academic—shaped your work, and do you see this concern becoming more central in your future projects? You also draw on pragmatist thought, particularly Richard Rorty. To what extent has pragmatism influenced your interest in expanding the audience for literary criticism?

Felski: As I mentioned earlier, when discussing my first book—which grew directly out of my doctoral dissertation—and also *Beyond Feminist Aesthetics* and

¹ Bruce Robbins offers one of the most forceful critiques of Felski’s postcritical arguments. In his PMLA review of *The Limits of Critique*, he contends—mischaracterizing her position—that taking Felski’s arguments seriously would lead critics to ignore questions of injustice, even suggesting that her framework would require us “to talk about flowers rather than drowned Syrian children.” See Bruce Robbins, “Not So Well Attached,” *PMLA* 2 (2017): 375.

The Gender of Modernity, I was certainly interested in popular readers in terms of content. For instance, I wrote about Marie Corelli as well as popular feminist fiction. But in terms of my own writing style, those early books were unquestionably very academic and, frankly, quite unreadable. At the time, I did not think about questions of readability. I completed my PhD in a German department, where the emphasis was on argumentative rigor rather than style. I still remember that one of the readers for my Harvard University Press manuscript was Elaine Showalter. She liked the book but commented that it was written in an extremely dull manner—and at that point it struck me that I had truly never considered questions of readability. It had genuinely never occurred to me that style was something to consider. However, I realized it was rather absurd to write in such a dry academic voice. I still aim to make substantive intellectual arguments. Admittedly, my books remain too academic for a general audience, but I now try to write in a way that is at least accessible to advanced undergraduates, not only doctoral students and professors. I seek a balance between intellectual seriousness and readability. As for pragmatism and Richard Rorty, yes, I mention him often. He was a colleague of mine at the University of Virginia. One thing I admired about Rorty was that, although he was an extraordinarily intelligent philosopher, he managed to write in a remarkably clear and engaging way. In that sense, he has certainly been something of a model for me.

Shi: You have spoken about your lower-middle-class background, and you have noted that your years teaching in Australia shaped your perspective on academic culture and readers outside the academy.¹ To what extent has this position influenced the way you think about critique, especially its relation to classroom teaching, scholarly communities, and wider publics beyond the university?

Felski: The largest influence on my sense of self has been my social class, and that is not surprising in an English context where class remains a pervasive category of thought. When I went to Cambridge as an undergraduate, the university was—then as now—dominated by students from elite schools and affluent backgrounds. I grew up in a very different social environment. I did not know the right wine to drink; to be honest, I still don't know. I am not complaining—I feel grateful to have entered that world—but I was acutely aware that my background differed from that of many of my peers. At times, I still feel a certain anger or frustration when I hear academics speak about non-academics—especially the lower-middle class—in condescending ways. Terms such as “petit bourgeois,” for instance, are sometimes

1 See Anneloek Scholten et al, “The English Studies Interview: Rita Felski,” *English Studies* 6 (2024): 972-973.

used almost as dismissive labels. More broadly, there is often a tendency within academic culture to describe people without much higher education in reductive or disparaging terms. When I encounter such attitudes, I find it difficult to listen dispassionately. My family came from a social world where supporting right-leaning or populist political figures was common. Their political outlook grew out of their environment rather than any supposed intellectual deficiency. This has made me attentive to how political choices emerge from social and educational circumstances. Those views were shaped by people's daily life, their economic conditions, and their community affiliations. They are not, as is sometimes implied, the product of ignorance or stupidity. This kind of class blindness is, in my view, one of the more persistent blind spots within academic discourse.

As you are no doubt aware, in much of the West, there is now increasing political polarization organized around education. Parties that once appealed primarily to working-class voters—such as the Labour Party in the UK or the Democratic Party in the United States—now draw much of their support from the highly educated. Blue-collar working-class voters, by contrast, often feel like intellectuals look down upon them, and are turning to right-wing or populist parties. Many parties that once identified as center-left now draw much of their support from people with college degrees. Meanwhile, voters who feel excluded by the cultural authority of intellectuals often look for other political options. This divide continues to grow. The highly educated and the working class often struggle to understand each other. This polarization shapes not only the contemporary political landscape but also how we imagine, address, and understand different kinds of readers, inside and outside the academy. It is an issue I think about a great deal.

Shi: You have argued that your aim is “to deconstruct—not abolish—oppositions between literary critics and everyday readers” (Scholten et al. 973). How can we understand the relationship between these two modes of reading once we move beyond this simple opposition? What possibilities does this recontextualization present for thinking about the broader social role of literary studies today?

Felski: What I am trying to argue is that we need to acknowledge the differences between academic readers and everyday readers, while also recognizing their similarities. They are neither opposites nor identical, and paying attention to their distinctions and overlaps offers a more accurate picture of how reading works. I also think this position is more democratic in a certain sense, insofar as it avoids placing academic critics in a position of implicit superiority over ordinary

readers. I do not imagine that such an argument will fundamentally transform the field; intellectual interventions typically have limited effects. But I hope it might at least diminish a tendency I often notice—an unreflective condescension toward non-academic readers. As Karolina Watroba has observed, academic scholarship is largely read by other academic readers, who are “a small fraction of all readers—an exception, not the rule” (2). Literature is not written exclusively for academic readers, yet academic criticism often proceeds as if it were. Nevertheless, scholars frequently advance claims about the political meanings of texts without considering who their actual readers are. This strikes me as puzzling: if we do not know—or do not care to know—who our fellow readers are, then to whom are our interpretations addressed? This question becomes increasingly crucial when we reflect on the broader social significance of literary studies.

Reconfiguring Criticism: Postcritique, Method, and the Question of Approach

Shi: Postcritique is often described as responding both to theoretical developments and to the institutional condition of literary studies. How would you characterize its conceptual orientation: as a theory, a method, an approach, or a critical stance? In *The Limits*, you resisted defining postcritique as a prescriptive method, yet later you suggested it is “best understood as an approach rather than a method” (Scholten et al. 977). How should we understand these formulations? Do they indicate a shift in your thinking, or simply a clarification of its scope?

Felski: These questions are closely connected. Postcritique certainly relies on theory; it depends on making theoretical arguments. However, it is not a theoretical system in the sense of a self-enclosed framework governed by a canonical text. There is no equivalent of a Marx or a Freud whose writings lay out their parameters in advance. Postcritique is far more ad hoc and flexible in its orientation. At one point, I described postcritique as more a method than a theory, largely because *theory*, for me, often evokes the sense of a comprehensive world picture—such as a Marxist or a Freudian worldview. *Method*, by contrast, initially seemed to capture something more practical: a way of working with texts or a way of developing arguments. But even this term has limitations. As Toril Moi once pointed out to me in our discussion of this topic, the word *method* is, for her, too closely associated with the scientific method and its connotations of fixed procedures and rule-bound steps. Postcritique is certainly not a method in that sense. This is why the *approach* may well be the most appropriate term.

I am frequently asked what it means to conduct a postcritical reading, and whether it can be spelled out in a set of steps. But that is precisely what postcritique

resists. It cannot be codified; it depends on who the reader is, what questions they bring, and what they want to understand. Unlike some forms of criticism—feminist, Marxist, psychoanalytic—it does not begin with a predetermined lens or object of suspicion. It’s not a matter of saying, “I’m a feminist, so I will look for gender hierarchies,” or “I’m a Marxist, so I will look for class relations.” Postcritique can include many different kinds of approaches. Still, certain commitments do characterize postcritical work. One treats the text and fellow readers as equals rather than assuming a position of superiority. One attends not only to the experience of reading but also to the activity of interpretation, and one avoids reducing a text to a mere symptom of some larger social or ideological system. These negative commitments define clearly what postcritique is not, while leaving considerable room for what it can be. I should add that I use the term somewhat hesitantly. Many scholars now grouped under “postcritique” do not use the term themselves, and their approaches differ significantly. This makes it difficult to generalize about postcritique as a whole. Even more than feminism or Marxism, it lacks a unifying set of assumptions. Perhaps the only shared premise is that critique has limits; what follows from that recognition can lead in many different directions.

Shi: Some scholars have described postcritique as a hybrid formation, drawing together heterogeneous resources from phenomenology, pragmatism, and new Actor–Network Theory, while also intersecting with debates in reception theory and new formalism.¹ Do you agree with this characterization? Would you consider this hybridity a strength of postcritique?

Felski: Yes, I think that is exactly right. In fact, my own work in many ways exemplifies this hybridity. What I offer is simply *my* version of postcritique; other scholars may have quite different versions. And one reason my trajectory looks

¹ Representative works in these traditions—cited or discussed in Felski’s writings—include the following. For reception theory, see Hans-Robert Jauss, *Aesthetic Experience and Literary Hermeneutics*, translated by Michael Shaw, Minneapolis: University of Minnesota Press, 1982; Wolfgang Iser, *The Act of Reading: A Theory of Aesthetic Response*, London: Routledge and Kegan Paul, 1978; Tony Bennett, “Texts in History: The Determinations of Readings and Their Texts,” *Journal of the Midwest Modern Language Association* 1 (1985): 63-81, as an example of cultural-studies approaches to reception. For phenomenology, see Don Ihde, *Hermeneutic Phenomenology: The Philosophy of Paul Ricoeur*, Evanston: Northwestern University Press, 1971; Edmund Husserl, *The Crisis of European Sciences and Transcendental Phenomenology*, Evanston: Northwestern University Press 1970. For pragmatism, see Richard Rorty, *Consequences of Pragmatism: Essays, 1972-1980*, Minneapolis: University of Minnesota Press, 1982. For new formalism, see Caroline Levine, *Forms: Whole, Rhythm, Hierarchy, Network*, Oxford: Oxford University Press, 2015. For Actor–Network Theory, see Bruno Latour, *Reassembling the Social: An Introduction to Actor-Network Theory*, Oxford: Oxford University Press, 2005.

somewhat distinct is that I have moved across several departments and engaged with a range of intellectual frameworks. I have never been committed to a single overarching framework. What I draw on depends very much on the questions I am asking. In *Hooked*, for instance, I turned to Actor-Network Theory; while in my forthcoming book, I engage contemporary German critical theory. Rather than beginning with a conceptual framework and applying it to texts, I start from the text and the problem, and then consider which theoretical resources might be most illuminating.

Different scholars have their own versions of postcritique. There is a helpful genealogy of the term that I can share with you. Even a brief look at the Wikipedia entry is revealing: it brings together Eve Sedgwick's reparative reading, Bruno Latour's reflections on critique, Stephen Best and Sharon Marcus's account of surface reading, and Toril Moi's Cavellian approach, among others. Yet most of these scholars do not identify themselves as postcritical, and their frameworks diverge significantly. This diversity also generates misunderstandings. Because Best and Marcus are often grouped with me, I am sometimes described as practicing surface reading, even though I have never used that term and explicitly note in *The Limits* that it does not capture what I am doing.¹ For anyone working on postcritique, it is therefore important either to differentiate clearly among these frameworks or to focus on one or two critics, rather than generalizing across a highly heterogeneous field. In short, postcritique has no unifying doctrine. The only thing we all have in common is that we think critique has limits. Beyond this negative premise, there is an open field of possible directions, if you like—something I see not as a weakness, but as one of the strengths of postcritical work.

Shi: As you have argued, critique continues to function as a form of cultural capital within academia. If postcritique is understood as an approach rather than a fixed method, what institutional trajectory might it follow? Once an interpretive orientation circulates within university curricula, journal publication, or research assessment, does it also face a certain risk of institutionalization or demands to demonstrate applicability? Can postcritique sustain its openness while negotiating the institutional structures that shape academic work?

Felski: I do not make any grand claims for postcritique. One of my long-standing concerns about critique—particularly in the existentialist sense of bad faith—is the disjunction between how critique represents itself and how it actually functions. Critique is frequently portrayed as radical, avant-garde, oppositional,

1 See Rita Felski, *The Limits of Critique*, Chicago: The University of Chicago Press, 2015, 54-56.

and even transformative. Yet in practice, it has become thoroughly embedded in the everyday business of academic life. In many North American universities—certainly in graduate programs—learning the skills of critique is effectively a requirement for entering the profession. If one wishes to complete a PhD or obtain an academic position, critique is often taken to be the default mode of scholarly competence. For this reason, it seems rather ludicrous, even untenable, to continue describing critique as inherently radical or oppositional.

In contrast, I make no such claims for postcritique. I see it as important not because it offers a revolutionary alternative, but because it opens up questions and possibilities that have been sidelined. It will inevitably become institutionalized, as all approaches do. Institutionalization itself is not the core issue; the problem, rather, is that critique pretending it's not institutionalized; it often presents itself as if it stood outside institutional structures, even though it is deeply embedded within them. Once postcritique circulates through universities, it will be subject to the bureaucratic mechanisms that shape all academic work. It may even become a way of securing tenure or professional advancement. It will also be simplified, reduced, and eventually displaced by yet another approach. This is entirely normal. Postcritique is not a timeless doctrine but a contingent intervention that questions what I take to be certain forms of intellectual dogma.

Shi: Postcritique developed within specific institutional and cultural frameworks. Its significance may vary across different cultural or national contexts. From where you stand, how does its relevance change as it travels across academic contexts like the US, Europe, or China? Do different intellectual traditions or institutional settings create new challenges for its openness?

Felski: Postcritique is not an absolute or universal doctrine—it grew out of certain historical and institutional moments. So, its impact really shifts depending on where you look. In *The Limits*, I was responding to a certain intellectual climate in American universities, especially within graduate education, and to a lesser extent in the UK. My argument was directed at that specific environment rather than at critique everywhere or for all time. This point becomes evident when postcritique travels. In some places, the concerns I raise resonate strongly; in others, they may be largely irrelevant. When I lectured in Poland, for example, I suggested that some of my arguments might not make much sense there. Literary teaching in Poland has long carried a strong national and cultural inflection—seeing literature as an embodiment of collective identity. In such a context, scholars have not spent much time questioning canonical texts. One could even say that *more* critique might be

useful. This is why I resist any notion that postcritique is a one-size-fits-all model. Whether critique requires reassessment—and in what form—always depends on each place’s own intellectual history, educational system, and cultural politics. The international trajectory of postcritique will therefore be uneven, contingent, and deeply shaped by national and institutional specificities.

Shi: In China, people started talking more about postcritique after the Chinese versions of *Uses of Literature* (2019), *The Gender of Modernity* (2020), and *The Limits* (2023) came out, but the discussion is relatively small. Most of the scholars who do join in seem to circle back to the same questions: What exactly is the normative grounding behind postcritique, and does it really work when you try to apply it to actual texts? So, how do you answer that kind of pushback? And do these debates hint at bigger issues—like, is postcritique just running into the same roadblocks whenever it moves into a new cultural or academic setting?

Felski: It is not surprising that the reception of postcritique in China is still quite limited, with many scholars unsure of what the term means or how it might be used. When new ideas travel, they are often taken up selectively, misread, or treated primarily as tools to be slotted into preexisting frameworks; this happens everywhere. As for questions about whether postcritique has a clear normative foundation or can be applied in textual practice, much depends on what is meant by a “clear” normative foundation. If this implies a single overarching framework—whether philosophical, political, or theoretical—as an ultimate explanatory truth, then postcritique certainly does not claim that there exists one framework capable of explaining everything in the world. To my mind, this is not a weakness but an advantage, since no single framework can fully capture social or literary complexity.

However, it is mistaken to say that postcritique is uninterested in normative questions. On the contrary, it engages them directly—a point I discuss at length in my new book. I have long been concerned with norms, and in literary studies—particularly in the United States—there is often a pronounced suspicion toward them, especially within certain strands of queer theory. My training in German thought has led me to a different view: norms are inescapable. Any critique of norms inevitably presupposes normative assumptions of its own. The moment we describe something as good or bad, just or unjust, we invoke a normative vocabulary.

Postcritique, then, is hardly indifferent to normative foundations. Some misunderstandings may also arise simply because people have not read the work closely. *Uses of Literature* addresses normative concerns directly—especially in the chapter on recognition, which explores the deeply human desire to be

acknowledged, ethically and politically. This is a profoundly normative question. In *Hooked* and in subsequent work, I argue that we cannot be separated from our attachments. These attachments are not limited to feelings, love, empathy, or pleasure; they also involve moral commitments—what matters to us and what we value in our lives. We all have normative foundations; what differs is that we do not all share the same one. The question, therefore, is not to eliminate normativity but to negotiate these differences. I would insist that I am deeply interested in questions of normativity. Sometimes people assume that postcritique is concerned only with the “positive” in the sense of affect or emotion, but the positive is also normative.

Shi: Finally, as these debates about critique and postcritique keep going, what do you hope literary scholars keep in mind when they think about reading and the social role of literary studies today?

Felski: I hope scholars stay aware that literature matters to people’s lives in many different ways. Literary studies has long been strong at critique, but sometimes it pays less attention to other parts of reading—the attachments, the pleasures, and the moments of recognition that shape how we connect with texts. If postcritique has any value, it lies in encouraging a broader view of reading—one that invites us to acknowledge both interpretation and experience, both analysis and attachment. In the end, I think literary studies means something when it keeps asking why literature matters and how it reaches readers outside of the academy.

Shi: Thank you so much for your time and for this thought-provoking conversation.

Felski: You’re welcome. I actually enjoy talking about works.

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Foreign Literature Studies in China and the Construction of a Chinese Intellectual System Since the Twenty-First Century

Su Hui

Abstract: Since the dawn of the 21st century, bolstered by the growing cultural confidence of the Chinese nation, the field of foreign literature studies in China has undergone a significant paradigm shift, marking a departure from the uncritical veneration of Western theories and discourses toward an emphasis on sinicization—decentering Western-centrism to foreground Chinese characteristics and actively constructing a Chinese intellectual system. This transformation in the new era is a historical inevitability, rooted in solid theoretical frameworks, historical precedents, and contemporary realities. The achievements of this shift can be summarized in three dimensions: first, the innovation of literary theory to contribute to a Chinese theoretical framework; second, the emphasis on Chinese characteristics in building a diversified system of foreign literature scholarship and discourse; and third, a commitment to mutual civilizational learning to foster the theoretical and practical systems of a Chinese School of Comparative Literature. In the future, Chinese scholars of foreign literature studies must uphold a Chinese standpoint to further dismantle Western-centrism, strengthen the innovation of indigenous theoretical systems, and enhance China's international discursive influence in foreign literature research.

Keywords: Chinese intellectual system; mutual civilizational learning; Chinese standpoint; international discursive influence

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标题: 21 世纪以来中国的外国文学研究与自主知识体系建构

内容摘要: 21 世纪以来, 随着中华民族文化自信的日益增强, 中国的外国文学研究逐步发生转型, 由过去的盲目推崇西方理论和话语转向强调中国化、摆

脱西方中心论，努力凸显中国特色，并建构中国自主知识体系。外国文学研究在新时代发生转型拥有理论支撑、历史渊源和现实基础，因此是历史的必然。新世纪中国的外国文学转型与自主知识体系建构取得的成果可以概括为三个方面：创新文学理论，为构建中国自主理论体系作出贡献；凸显中国特色，着力构建多元的外国文学学术和话语体系；重视文明互鉴，努力构建比较文学中国学派的理论和实践体系。未来中国的外国文学学者还需继续坚守中国立场，进一步去除西方中心论；进一步加强本土理论和话语体系的建构与创新；进一步争取外国文学研究的国际学术话语权。

关键词：自主知识体系；文明互鉴；中国立场；国际话语权

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Since the start of the 21st century, underpinned by the burgeoning cultural confidence of the Chinese nation, the study of foreign literature in China has undergone a profound paradigm shift. This transition marks a departure from the erstwhile uncritical veneration of Western theories and discourses toward an emphasis on sinicization—a concerted effort to dismantle Western-centrism, foreground Chinese characteristics, and construct a Chinese intellectual system. This transformative evolution in the new era is a historical inevitability.

At the theoretical level, since the 18th National Congress of the Communist Party of China, the Party Central Committee, represented by General Secretary Xi Jinping, has attached great importance to cultural confidence, emphasizing its significant practical importance for enriching socialist culture with Chinese characteristics, promoting excellent traditional Chinese culture, enhancing national cultural soft power, and achieving the great rejuvenation of the Chinese nation. This actually reflects the practical needs of the Chinese nation's gradual movement toward the center of the world stage, and serves as a strategic guide for how Chinese culture should manage its relationship with the world's diverse cultures—considerations that are particularly important for foreign literature scholars.

On May 17, 2016, in his important speech at the Symposium on Philosophy and Social Sciences, General Secretary Xi Jinping pointed out the need to “focus on constructing philosophy and social sciences with Chinese characteristics, fully embodying Chinese characteristics, Chinese style, and Chinese ethos in terms of guiding ideology, disciplinary system, academic system, and discourse system” (376). On April 25, 2022, during his inspection at Renmin University of China,

General Secretary Xi Jinping further pointed out that “accelerating the construction of philosophy and social sciences with Chinese characteristics ultimately means building a Chinese intellectual system” (Xinhua 1). General Secretary Xi Jinping’s speeches have pointed the direction for the development of China’s philosophy and social sciences, and have also prompted further transformation in foreign literature studies.

The essence of the transformation of foreign literature studies in the new era is to achieve the Sinicization of foreign literature research. So-called Sinicization means that Chinese scholars engaged in research on foreign literature should employ China’s own perspectives and vision, treating and handling foreign literary materials as research objects in a realistic and truth-seeking manner, while striving to manifest Chinese qualities and characteristics in these materials.

From a historical perspective, the Sinicization of foreign literature studies has been the persistent pursuit of Chinese scholars for a century. The older generation of scholars well-versed in both Chinese and Western learning—such as Qian Zhongshu, Zhu Guangqian, Wang Zuoliang, Yang Zhouhan, and Chen Jia—achieved outstanding academic accomplishments. Although their works were inevitably influenced by the political discourse of their time and contained certain biases and partialities, they all practiced, to varying degrees, a problem-consciousness oriented toward Sinicization in their writings. For instance, Mr. Qian Zhongshu’s *Limited Views: Essays on Ideas and Letters (Tan Yi Lu)* and *Pipe and Awl (Guan Zhui Bian)* stand as exemplary works that uphold a Chinese academic standpoint and implement the principle of mutual interpretation and elucidation between Chinese and Western cultures. Lu Xun’s “doctrine of ‘taking over’” (*nalai zhuyi*) embodies both a global vision and adherence to national cultural subjectivity, fully manifesting his profound cultural confidence as a pioneer of modern Chinese culture.

From a practical perspective, as China’s national power has gradually strengthened, Chinese scholars have developed an increasingly self-conscious awareness of the Sinicization of foreign literature studies. Whether in scholarly research, various project funding programs, or journals and publishers, there is a growing emphasis on grounding foreign literature research in contemporary Chinese needs, manifesting a distinct Chinese standpoint, and articulating Chinese scholars’ voices.

This article will summarize the achievements in the transformation of foreign literature studies and the construction of a Chinese intellectual system in the new era from three aspects: first, innovating literary theory and contributing to the construction of a Chinese theoretical system; second, foregrounding Chinese

characteristics and striving to construct a diverse academic and discourse system for foreign literature studies; third, emphasizing mutual learning among civilizations and endeavoring to construct the theoretical and practical system of a Chinese School of Comparative Literature. The works discussed are primarily those from the past decade or so that have been selected for the National Philosophy and Social Sciences Library of Achievements, received the Higher Education Outstanding Scientific Research Achievement Award from the Ministry of Education, or been funded as major projects by the National Social Science Fund of China.

I. Innovating Literary Theory: Constructing a Chinese Theoretical System

In the new era of socialism with Chinese characteristics, constructing a Chinese intellectual system has become an important component of the national cultural strategy. In recent years, Chinese foreign literature scholars have consciously adopted Xi Jinping Thought on Socialism with Chinese Characteristics for a New Era as their action guide, and based on the national cultural development strategy, have endeavored to foreground their distinctive features and disciplinary strengths, contributing to the construction of philosophy and social sciences with Chinese characteristics.

Foreign literature scholars generally recognize that “constructing a Chinese intellectual system for foreign literature research and advancing contemporary Chinese scholarship and Chinese discourse to the forefront of international academia represent the new mission and responsibility that the new era has bestowed upon foreign literature researchers” (Jiang 16). In my view, a Chinese intellectual system can be understood in both narrow and broad senses. In the narrow sense, it refers to “a Chinese theoretical system.” Concerning the discipline of literary studies, a Chinese theoretical system contains the following elements: first, it is an innovative literary theoretical system proposed by contemporary Chinese scholars; second, it possesses independent problem-consciousness and, particularly, develops innovative conceptual frameworks that form a theoretical system; third, this theoretical system has extensive explanatory power, influence, and universality, capable of both explicating Chinese literature and applying to the analysis of foreign literature. In the broad sense, a Chinese intellectual system for foreign literature refers to foreign literature and comparative literature research with distinctive Chinese characteristics conducted by Chinese scholars. For foreign literature and comparative literature scholars, it is necessary to embody Chinese perspectives and a Chinese standpoint in foreign literature research, engage in Sino-foreign dialogue on the basis of mutual civilizational learning, and thereby gradually form a research system with Chinese

characteristics. Whether in the narrow or broad sense, a Chinese knowledge system cannot be achieved overnight; it requires long-term accumulation and continuous development to reach maturity gradually.

For a considerable period, foreign literature scholars in China have been accustomed to employing Western theories and discourse systems, even harboring a worshipful mentality toward Western theory. However, this situation has been undergoing transformation since the new era. Chinese foreign literature scholars have made substantial efforts in constructing a Chinese theoretical system and have already achieved a number of gratifying results. These breakthroughs in specific research domains have resonated strongly both domestically and abroad, leading and promoting interactive discussions in the international academic community, and injecting vitality into international comparative literature and world literature theoretical research.

1. Marxist Literary Theory and Criticism

Since entering the new era, Chinese scholars have endeavored to construct the theoretical form and discourse system of Marxist literary theory with Chinese characteristics, presenting to the world the spiritual qualities and core values of the Chinese path. Chen Zhongyi published a series of articles titled “A Reflection on the Marxist Outlook of Literature” in *New Perspectives on World Literature*, arguing that cultural consumerism has caused the destruction and subversion of literary classics, emphasizing that revaluing the classics is the primary task of current comparative literature and literary studies as a whole. From the Marxist perspective of literature and art, he critiqued various maladies in literary creation that are divorced from real life, stressed the importance of viewing the relationship between ancient and modern, Eastern and Western literature historically and dialectically, while also responding to certain biased understandings of cultural confidence. The major National Social Science Fund of China project “Research on the Sinicization and Contemporization of Classical Marxist Literary and Artistic Thought” led by Duan Jifang, through in-depth theoretical research on the canonical nature, systematicity, and scientific character of Marxist literary theory, highlights the theoretical trajectory and relationship from the classical form to the contemporary form of Marxist literary and artistic thought, addressing current problems in Marxist literary theory research such as neglecting classical texts, mechanically applying concepts, confused theoretical methods, and the failure of critical practice.

The book series “Research on the Chinese Form of Marxist Literary Criticism,” the concluding achievement of a major project of the National Social Science Fund of China with Hu Yamin as chief editor, offers pioneering summaries and

constructions of the Chinese form of Marxism, presenting new explorations in research paradigms, research methods, and research approaches. The series possesses both theoretical depth and practical relevance, manifesting the distinctive features and theoretical contributions of Chinese Marxist literary criticism. Among the volumes, *Contemporary Construction of the Chinese Form of Marxist Literary Criticism* received first prize in the Ninth Higher Education Outstanding Scientific Research Achievement Award. The book received high praise in a lengthy book review titled “Hu Yamin’s New Book on Chinese Marxist Literary Criticism” published on January 13, 2025, in the prominent American media outlet *People’s World*. According to the book review, “Hu positions Chinese Marxism as historically and ideologically distinct from Western Marxism, challenging the idea that Western theoretical models can be universally applied to all societies. Instead, she contends that Chinese Marxist literary criticism has developed unique problems and frameworks separate from Western thought that no longer qualify as simple adaptations. Chinese Marxist literary criticism possesses its own identity” (Wendland-Liu). Currently, Hu Yamin is leading another major project of the National Social Science Fund of China, “Recasting and Contemporary Development of Marxist Literary Criticism.” These achievements all contribute to advancing the construction of the academic and discourse system of Marxist literary theory with Chinese characteristics, creating a Chinese intellectual system that is indigenous to Chinese civilizational traditions, oriented toward Chinese practice, addresses Chinese problems, and possesses universal value.

2. Ethical Literary Criticism

As a literary criticism theory and method originally created by a Chinese scholar, ethical literary criticism stands as one of the representative achievements in the construction of a Chinese theoretical system. Ethical literary criticism was founded by Nie Zhenzhao in 2004 and, after more than two decades of development, has successfully constructed a theoretical and discourse system with distinctive Chinese characteristics and Chinese style through its features of originality, contemporaneity, and national character. Nie Zhenzhao’s *Introduction to Ethical Literary Criticism* was selected for the National Philosophy and Social Sciences Library of Achievements; *Studies on Ethical Literary Criticism* (five volumes), with Nie Zhenzhao and Su Hui as chief editors, received first prize in the Ninth Higher Education Outstanding Scientific Research Achievement Award from the Ministry of Education; Su Hui’s major project of the National Social Science Fund of China “A Study on Theoretical Resources and International Dissemination of Ethical Literary Criticism” and Yang Gexin’s major project of the National Social Science Fund of

China “The Compilation, Translation and Research of Literatures on Contemporary Western Ethical Criticism” are both grounded in Chinese issues and strive to provide research exemplars for resolving universal problems of global significance.

Ethical literary criticism has also achieved remarkable results in international academic dialogue and exchange. It has not only generated considerable momentum domestically but has also received high praise in the international academic community, and is capable of leading international academic discourse, “providing an exemplar for Chinese scholarship going global and competing for international discursive influence” (Su 36). Influential international academic journals in the United States, the United Kingdom, Germany, Estonia, South Korea, Japan, Vietnam, Malaysia, Taiwan (China), Hong Kong (China), and mainland China have successively launched special issues or columns on “ethical literary criticism,” publishing related articles by internationally renowned scholars and attracting the attention of the international academic community. In 2015, *The Times Literary Supplement*, the most authoritative international humanities magazine, published an article titled “The Fruit of Collaboration: Ethical Literary Criticism in Chinese Academia,” led by William Baker, a renowned international literary theorist. The article highly praised ethical literary criticism, viewing it as Chinese academia’s response to the Chinese Dream proposed by General Secretary Xi Jinping and as representative of “the rise of Chinese discursive influence” (Baker and Shang 15). This article changed the long-standing situation in which *The Times Literary Supplement* had rarely reviewed Asian original humanities theories for decades, providing powerful proof of ethical literary criticism’s recognition by the mainstream international academic community. Galin Tihanov, member of the Academia Europaea and Chair Professor at Queen Mary University of London, pointed out in the preface to the Russian edition of *Introduction to Ethical Literary Criticism*: “Professor Nie Zhenzhao is undoubtedly an outstanding literary scholar and one of the few Chinese scholars in the humanities who have gained an international reputation. [...]His ability to offer different perspectives on literature and to bring Chinese literary scholarship on par with Western and Russian literary scholarship is clearly demonstrated by this work, which is a testament to this originality” (15-17). Shin Inseop of Konkuk University in South Korea believes: “Ethical literary criticism not only stands out distinctively in literary criticism, forming its own school, but is also becoming a social trend of thought. Reviewing the development of Chinese ethical literary criticism, one cannot help but feel exhilarated for Eastern scholars. Ethical literary criticism has allowed the contemporary East, this dwarf in literary criticism and theory, to regain confidence,

and through ethical literary criticism, to have a place of its own in the club of literary criticism and theory dominated by the West” (197).

3. Research in Narratology and Semiotics

Shen Dan’s *Narrative Theory in British and American Fiction*, published in 2018, and her concluding achievement of a project of the National Social Science Fund of China, *A Study of Dual Narrative Progression*, propose the original theories of “covert progression” and “dual narrative progression,” demonstrating Chinese scholars’ theoretical and discursive innovation in narratology research. These works represent one of the exemplary achievements in the construction of a Chinese theoretical system and have been recognized by experts as “a breakthrough not only for Western narratological theory that has been prevalent in China and abroad over the past half-century, but also for traditional literary criticism and literary theory.” They are “significant evidence of Chinese literary theory, especially narrative poetics, establishing itself in the world and transcending Western scholarship.” Some Western scholars believe that “Shen’s contribution takes a step beyond the heritage of Aristotelian poetics in that it diverges from the traditional emphasis on plot to explore textual undercurrents running parallel to and sometimes counter to the plot development” (Pier 123).

Fu Xiuyan was the first to propose studying “Chinese narratology” from a comparative perspective. *Chinese Narratology* analyzes the gains and losses of Western narrative theory with a strong dialogic consciousness, conducts in-depth research on Chinese narrative traditions, and outlines the genealogy of Chinese narrative traditions. The concluding achievement of Fu Xiuyan’s major project of the National Social Science Fund of China, *Comparative Research on Chinese and Western Narrative Traditions* (seven volumes), systematically compares the differences between Chinese and Western narrative traditions, “adhering to the principle of equal comparison ‘using the West to reflect upon China,’ combining ‘point-line-plane’ to construct a complete comparative system, and contributing rich original achievements to ‘a Chinese knowledge system of narratology’” (Lu 169).

In the fields of narratology and semiotics, many other scholars are also conducting deep cultivation: Shang Biwu’s *Research on Contemporary Western Post-Classical Narratology* and the concluding achievement of his major project of the National Social Science Fund of China *Translation and Research on Cutting-Edge Theories of Contemporary Western Narratology* (nine volumes) have substantially enriched the theoretical resources of domestic narratology research and built an important platform for exchange and dialogue between Chinese and Western narratology. Tang Weisheng has published works such as *Research on*

Thing Narrative and is leading the major project of the National Social Science Fund of China “Research on Western Thing Narrative.” Long Diyong’s *Research on Spatial Narrative* constructs a theoretical system of spatial narratology, while his *Research on Intermedial narratology* explores the creative patterns and internal logic of transmedia narrative. Zhao Yiheng’s major project of the National Social Science Fund of China, “Semiotic Research on the Current Cultural Situation and Development in China” studies contemporary cultural issues from a semiotic perspective. His *Philosophical Semiotics: The Formation of the World of Meaning* represents an ultimate pursuit and answer to how signs generate meaning, and has generated considerable response in both domestic and international academic circles.

4. Research on Foreign Literature Principles

Chen Zhongyi’s major project of the National Social Science Fund of China “A Study of Foreign Literature Principles” reflects upon and examines Western modern and contemporary literature, literary principles, and certain important theories, criticisms, concepts, and methods, establishing a set of literary principles that both deconstructs and constructs, both inherits and innovates, providing a discourse system that can serve as reference for the healthy development of Chinese literature. Chen Zhongyi points out: “Reshaping literary principles in the new era is not only necessary but also urgent” (“One Arc of Discourse” 128). The greatest problem in Chinese literary principles research is that there is much introduction but little analytical criticism; much Western learning but little self-affirmation; frequent citation of texts, and even many who follow Western authorities blindly. Chen Zhongyi’s article “Variables and Constants in Literature: ‘Extrinsic Research’ and ‘Intrinsic Research’” published in *Social Sciences in China*, directly targets the popular literary “undefinability” thesis and the “text-only theory” that negates “external research,” as well as its extended or derived extreme formalism, nihilism, and anti-essentialism. The article reviews and analyzes relevant concepts and methods, investigates their causes and reasons, rectifies a series of dialectical relationships, and proposes basic solutions to problems on the basis of the new era, such as redefining the basic constants and variables of literature, the external and internal, inheritance and innovation, etc. This demonstrates that the series of questions raised by this project regarding basic literary principles and critical practice are all devoted to changing the current theoretical chaos and prompting literary criticism to return to the right path. The author points out: “Raising the issue of variables and constants in literature is not only conducive to advancing the construction of the disciplinary system, academic system, and discourse

system of literary theory with Chinese characteristics in the new era along the spiritual dimension of ‘not forgetting our origins, absorbing what is foreign, and facing the future,’ but also beneficial for clarifying some basic literary principles. Reconstructing literary principles must return to the basic standpoints, viewpoints, and methods of Marxism, rather than simply listing theories and juxtaposing concepts” (“Variables and Constants in Literature” 98).

II. Foregrounding Chinese Characteristics: Constructing a Diverse Academic and Discourse System for Foreign Literature Studies

In his speech at the Symposium on Philosophy and Social Sciences, General Secretary Xi Jinping pointed out: “In accordance with a strategy that is rooted in China while learning from abroad, digging into history while grasping the contemporary, and caring for humanity while facing the future, we must strive to construct philosophy and social sciences with Chinese characteristics” (376).

1. Holistic Research on Foreign Literature

As the concluding achievement of a major project of the National Social Science Fund of China, *A Review of Post-WWII World History and the Development of Foreign Literature* (4 volumes) by Wang Shouren, et al., analyzes the relationship between post-war social existence and the occurrence and circulation of foreign literature from historical and aesthetic perspectives, reexamining the evolutionary process of post-war foreign literature in historical context and grasping the developmental trends of foreign literature in the new century. Wu Di’s concluding achievement of a major project of the National Social Science Fund of China, *Studies in the Formation and Dissemination of Foreign Literary Classics* (8 volumes), takes the Chinese standpoint of foreign literature research and employs interdisciplinary, cross-cultural, cross-linguistic, and transmedia research methods to conduct thorough theoretical exploration of the formation and dissemination of foreign literary classics, while providing detailed textual investigation and analysis of the formation and dissemination of numerous ancient and modern foreign literary classics.

2. Foreign Literature Studies from the Perspective of Area Studies

Area Studies, approved in 2022 as a first-level interdisciplinary discipline, is “not only a field serving national strategy and great power diplomacy, but also a field serving mutual learning among civilizations and global governance, and a field of university learning serving government, industry, academia, research, and media” (Peng 10). In the contemporary era, “promoting the systematic restructuring of foreign literature research under the guidance of area studies is not only an inevitable path for internal disciplinary development, but also an important

expression of proactive engagement by national cultural strategy within the global discourse system” (Zhou 71). Foreign literature studies from the perspective of area studies both continue and innovate upon traditional foreign literature research methods.

2.1 Literature of Specific Countries as Samples for Area Studies

Foreign literature studies in the new era emphasize using the literature of specific countries as samples to deeply explore issues such as national identity, language politics, and historical memory. For instance, Yin Qiping’s concluding achievement of a major National Social Science Fund of China project, *British Literature Midst Changes in the Idea of Culture* (6 volumes), examines the formation, circulation, and evolution of literary classics within the historical evolution of British cultural concepts, excavating the important shaping role of literary classics in national imagination, public culture, and the core value system of the nation, providing reference from the academic perspective of foreign literature research for building a great socialist culture in China and constructing a human community with a shared future. Jiang Hongxin’s concluding achievement of a major project of the National Social Science Fund of China, *The Study of 20th-Century American Literary Thoughts* (5 volumes), promotes mutual learning and exchange between Chinese and American literary cultures through systematic, comprehensive, and profound research on twentieth-century American literary thought. Fang Weigui’s *Essays on Twentieth-Century German Literary Thought* examines literature within the context of Germany’s distinctive philosophy, history, and social transformation, deeply exploring the intellectual trajectory and aesthetic transformation of German literature in the process of modernization. Peng Qinglong’s *Australian Literary Criticism Since 1901* systematically reviews and analyzes the writings on literary creation and literary research by important writers and critics since the federation of Australia, comprehensively discussing the social consciousness, ideological viewpoints, and aesthetic standards embodied in Australian literary theory criticism and practical criticism, and exploring its localized characteristics and cross-cultural interactions in the context of globalization.

2.2 Holistic Regional Literary Studies in Service of National Strategy

Many scholars position the literature of specific regions within the global geopolitical landscape, systematically studying their history, culture, and values to serve national strategy and mutual learning among civilizations. Jiang Chengyong’s *Classical Reassessment and Innovation of Western Literature Research Methods* advocates a problem-oriented approach and a perspective of Sino-Western dialogue, not only conducting systematic reflection on Western literature research methods

but also embodying Chinese scholars' consciousness in constructing academic subjectivity in the context of globalization. Jiang Chengyong's concluding achievement of a major project of the National Social Science Fund of China, *Research on Nineteenth-Century Western Literary Trends* (6 volumes), takes the important issue of the reception of nineteenth-century Western literary trends in the development of modern Chinese literature as the foundation for investigating nineteenth-century Western literary trends, conducting genealogical analysis and reflecting on the value of these trends for contemporary literary research. The book series "Studies on Oceanian Literature from the Perspective of Multiculturalism," with Peng Qinglong as chief editor, "comprehensively and systematically reviews and explores the developmental history and characteristics of Oceanian literature under the dual perspective of world literature and area studies, [...] achieving significantly innovative research results in Oceanian literature studies, [...] which helps further strengthen the exchange and mutual learning between the people of China and Oceanian countries, further develop mutually beneficial cooperative development building upon the Belt and Road Initiative, and jointly construct a human community with a shared future" (Liu 18).

In terms of the selection of research subjects, for a considerable period in the past, foreign literature research in China has consistently centered on European and American literature, marginalizing the study of literature from regions such as Asia and Africa. In the context of the new era, foreign literature research in China places greater emphasis on grasping foreign literature as an integrated whole, not only paying more attention to non-Anglophone literature, especially Asian and African literature, but also fully embodying the exchange and mutual learning between Eastern and Western literature, and among the literatures of different regions and countries.

Liu Jianjun's *Byzantium: A Literary History of the Eastern Roman Empire*, unlike the cursory treatment of Byzantine civilization from traditional Eurocentric perspectives, systematically traces the millennium-spanning literary lineage of Eastern Rome, revealing the unique contributions of this long-underestimated civilization in the literary field. This work is not only an important milestone in Chinese Byzantine studies but also provides crucial textual evidence for reunderstanding Eurasian civilizational exchange. The book was selected for the 2024 National Philosophy and Social Sciences Library of Achievements.

Wang Lixin's *Literary Studies of the Hebrew Bible in the Context of Ancient Jewish History and Culture* systematically studies the *Hebrew Bible* as literature within the historical, cultural, and social context of its formation. It is a monograph

of milestone significance in the field of biblical literary studies in China and was awarded first prize in the Eighth Higher Education Outstanding Scientific Research Achievement Award from the Ministry of Education. Chen Ming's monograph *Indian Buddhist Mythology: Writing and Transmission* adopts a cross-cultural perspective to systematically trace the textual genealogy, narrative characteristics, transmission pathways, and cultural impact of Indian Buddhist mythology, revealing the formation and evolution of Buddhist mythology in India and its surrounding world, and providing new pathways for research on the cultural and literary history of Indian Buddhism. Zhong Jikun's *History of Arabic Literature* (four volumes) traces the historical development of Arabic literature over more than a thousand years, encompassing all literary genres and forms, and will play a role in promoting Sino-Arab civilizational dialogue and facilitating humanistic exchange under the Belt and Road Initiative.

African literature studies have emerged as a rising new force. Numerous domestic universities have established research institutes dedicated to African studies, and the field is progressively deepening its scope—transitioning from a traditional focus on “post-colonial studies” toward a more comprehensive “Area Studies.” Zhu Zhenwu, leading a major project of the National Social Science Fund of China “The History of African Literature in English,” has explicitly proposed the concept of “African Literatology.” This initiative seeks to break through the long-dominant Western academic paradigms and evaluation standards, advocating for the construction of a “coordinate system” for African literature grounded in Chinese scholarly perspectives and indigenous African cultural contexts. Zhu has proposed an analytical framework including the “Three Kinds of Diaspora” theory and the “Africanness” theory for systematically explicating African literature, with the ultimate goal of establishing an independent critical discourse and theoretical system for Chinese scholars—thereby advancing mutual civilizational learning and the diversity of world literature.

Research on Caribbean literature in China has developed rapidly, although it started relatively late. The field is currently transitioning from a phase of translation and fragmented research to a new stage characterized by systematic and theoretical construction. In 2021, Zhou Min received approval for the major project of the National Social Science Fund of China, “Research on the History of Caribbean Literature (Multi-volume),” which aims to construct a history and poetics of Caribbean literature from a Chinese perspective. The Caribbean Studies Center at Hangzhou Normal University has emerged as a vital research platform within this burgeoning field.

3. Research on Important Foreign Writers and Literary Genres

3.1 Research on Foreign Drama

Dong Xiao's monograph, *The Comedic Nature of Chekhov's Drama*, selected for the National Philosophy and Social Sciences Library of Achievements, takes the comedic as its entry point to holistically examine the dramatic creation of the Russian classical writer Chekhov, exploring the comedic essence that marks Chekhov's unique comic spirit and the characteristics of his artistic world. He Chengzhou's major Arts project of the National Social Science Fund of China "Research on Cutting-Edge Issues in Contemporary European and American Theatre Theory" focuses on frontier issues in contemporary European and American theatre theory, covering foundational theory, theatrical practice, cultural theory, and performance studies, powerfully promoting the interdisciplinary development of theatre theory, Sino-Western theatrical theory dialogue, and the construction of a theatrical research discourse system from a Chinese perspective.

3.2 Research on Foreign Poetry

Zhang Ziqing's *History of Twentieth-Century American Poetry* (three volumes), using the evolution of literary movements as its framework, systematically traces the developmental trajectory of twentieth-century American poetry and received the second prize in the Second "Wang Zuoliang Award for Foreign Literature Research." Dong Hongchuan's *Anglo-American Modernist Poetry and Aesthetic Modernity*, integrating the context of twentieth-century sociocultural transformation, systematically examines modernist poetry's critical reflection on the problems of capitalist modernity, contributing to the reconstruction of the cognitive coordinates and humanistic values of Anglo-American modernist poetry within literary history.

3.3 Research on Important Foreign Writers

Foreign literature scholars emphasize contemporary interpretation and analysis of classic foreign literary writers and works. For instance, Jiang Hongxin's work *T.S. Eliot's Literary Thought*, selected for the National Philosophy and Social Sciences Library of Achievements, systematically distills Eliot's system of "literary thought" and adopts a paradigm of Sino-Western mutual learning to conduct comparative research between traditional Chinese literary theory and Eliot's thought, promoting a paradigm shift in Eliot studies and is regarded as a milestone in the history of Eliot scholarship. Yang Jincai's monograph *Herman Melville Reconsidered: A New Interpretation* reexamines Melville's creative work from a contemporary academic perspective, systematically investigating Melville's thematic ideas, characterization, narrative methods, and their connections to American society and cultural traditions, employing cultural studies theory to reveal Melville's contradictory worldview,

demonstrating an Eastern perspective, and advancing the deepening and expansion of Melville studies.

4. Research on the Academic History of Foreign Literature Studies

Since the new era, Chinese comparative literature and world literature scholars have completed a series of historical and theoretical works summarizing Chinese foreign literature research, representing important achievements in research on foreign literary exchange and dissemination. Major representative achievements include: the “Research on the Academic History of Foreign Literature Studies” series edited by Chen Zhongyi, divided into two series: “Research on the Academic History of Foreign Classic Writers and Works” and “Collected Studies on Classic Writers and Works,” with over twenty monographs on the academic history of classic writers and works and accompanying collections of academic history research already published. *60 Years of Foreign Literature Studies in New China* (6 volumes in 7 books), edited by Shen Dan and Wang Bangwei, and *The Academic Course of Foreign Literature Studies in China* (12 volumes), edited by Chen Jianhua, both represent writings on the academic history of foreign literature research, comprehensively displaying the vision and achievements of China’s foreign literature research. Wang Yong’s major project of the National Social Science Fund of China, “The Development and Application of the Index for Chinese Foreign Literature Research,” has actively explored new research paradigms based on bibliographic databases and corpora. This effort has led to the publication of *The Yearbook of Foreign Literature Studies in China* (6 volumes, 2017-2022).

5. Foreign Literature Research from the Perspective of Comparative Literature

Within the field of comparative literature, the pursuit of a Chinese perspective on foreign literature research stands as a significant hallmark of the paradigm shift in the new era. In terms of scholarly publications, the 17-volume series *History of Sino-Foreign Literary Exchange*, edited by Qian Linsen and Zhou Ning, is particularly representative. This set of books relatively comprehensively reflects the multilateral and multifaceted aspects of literary exchange between China and foreign countries, providing important materials for further research. Liu Jianjun’s concluding achievement of a major project of the National Social Science Fund of China, *A Series of Investigations on the Process of “Sinicization” of European and American Literature in the Past Hundred Years* (6 volumes), comprehensively examines the entry of European and American literature into the Chinese literary scene over the past century and holds important implications for how foreign literature research should uphold a Chinese standpoint.

While we emphasize the Chinese perspective and standpoint in foreign

literature studies, we must also guard against nationalism in a narrow sense. Instead, we should uphold the position of “open nationalism” (Hu 98), recognizing that the concept of the “nation” in a globalized context exhibits characteristics distinct from those of the past. Different nations are inherently interconnected, and the “national” itself contains elements of the “universal.” On the premise of fully acknowledging the heterogeneities of national literatures and cultures, we should adopt a critical approach—assimilating the essence while discarding the dross—and strive to establish organic links with our own national culture. Ultimately, this process should reflect the deep-seated consciousness of the nation, fostering a field of foreign literature research that possesses a distinct national character.

III. Prioritizing Mutual Learning Among Civilizations: Constructing the Theoretical and Practical Systems of the Chinese School of Comparative Literature

“Civilizations are made colorful through exchange, and enriched through mutual learning” (Xi 228). Since the 18th National Congress of the Communist Party of China, General Secretary Xi Jinping has repeatedly elaborated his views and propositions on civilizational exchange and mutual learning. Continuing to promote cultural prosperity, build a great socialist culture in China, and build a modern civilization of the Chinese nation at a new historical starting point represents our new cultural mission in the new era. Over the past several decades, Chinese scholars have continuously innovated in comparative literature and world literature theoretical research, gradually advancing from cross-cultural perspectives toward the theoretical construction of a Chinese School of Comparative Literature, forming theoretical and practical achievements with the nature of a Chinese knowledge system.

1. From Cross-Cultural Dialogue and Trans-Civilizational Research to the Rewriting of World Civilizational History

Yue Daiyun, as the second president of the Chinese Comparative Literature Association and a leading figure in Chinese comparative literature since the new period, is the foremost representative of cross-cultural dialogue theory. She was among the first in the humanities to emphasize the vital importance of cultural diversity, advocating that comparative literature should serve as a bridge of communication between diverse cultures. Through initiatives such as editing the bilingual (Chinese-French) book series *Proche-Lointain* and founding the journal *Dialogue Transculturel*, she significantly advanced the exchange and mutual understanding between Chinese and foreign cultures. Yue Daiyun’s collected works *A Bridge Across Cultures* includes over forty essays on her teaching and reflections

on cross-cultural and interdisciplinary literary research, demonstrating her profound thinking on the relationships among literature, culture, tradition, and modernity.

Yang Huilin, as the third president of the Chinese Comparative Literature Association, has also proposed many important perspectives on cross-cultural dialogue theory. He advocates resolving the “dispute between ancient and modern, Chinese and Western,” transcending civilizational barriers and singular discourse models. His 2025 anthology, *Correlation In-between: Selected Essays in Sino-Christian Studies*, features a title that encapsulates his core methodology: seeking correlations and spaces for dialogue “between China and the West, between the past and the present, and between diverse academic principles.” His English monographs, such as *China, Christianity, and the Question of Culture*, have also garnered extensive international acclaim. These works complement his theoretical constructions in Chinese—particularly in areas such as “bidirectional hermeneutics” and the “logic of correlativity”—together constituting a comprehensive system of intercultural research.

Cao Shunqing, as the fourth president of the Chinese Comparative Literature Association, proposed the theory of trans-civilizational research since the new century, advocating research that transcends cultural differences between East and West to promote mutual learning among different civilizations. Zhang Hui, the seventh president of the Chinese Comparative Literature Association, proposed the theory of “hermeneutic circulation and breakthrough,” emphasizing the breaking of unidirectional transplantation in Sino-Western poetics dialogue, and achieving localized transformation and re-creation of theory through “intertextual reading” and “contextual reconstruction.”

In recent years, Cao Shunqing has proposed the initiative of “rewriting world civilization history,” which centers on critiquing Eurocentric views of civilization history and, through dialogue between Chinese and foreign scholars, reshaping the global view of civilization from the perspective of “mutual learning among civilizations,” thereby promoting the construction of a Chinese knowledge and discourse system. Since 2023, Cao Shunqing has established the column “Civilization Writing and Mutual Learning Among Civilizations” in the *Journal of Sichuan University*, attracting participation from many renowned scholars from institutions such as Harvard University and Peking University, forming an open international academic dialogue arena. Furthermore, as the editor-in-chief of the book series *Mutual Learning Among Civilizations: China and the World* book series (the first collection has been published, and the second has been initiated), he emphasizes the rewriting of global civilization history based on the principles of

“civilizational equality and mutual learning among civilizations,” aiming to break the Eurocentric narrative and construct a Chinese discourse system of civilization.

2. Variation Studies of Comparative Literature

Based on trans-civilizational research, Cao Shunqing uses the transcendence and literariness of comparative literature as a fulcrum to construct the variation theory of comparative literature. “The research focus lies in seeking the comparability of ‘difference,’ and the research scope includes transnational variation studies, interlingual variation studies, cross-cultural variation studies, trans-civilizational variation studies, and studies of the foreignization of literature” (Cao 57). His English monograph *The Variation Theory of Comparative Literature* was published overseas and attracted considerable attention in the international academic community. In the preface to the book, Douwe Fokkema writes: “The Variation Theory is an answer to the one-sided emphasis on influence studies by the former ‘French school’ as well as to the American focus on aesthetic interpretation, inspired by New Criticism, which regrettably ignored literature in non-European languages” (V). This work represents Chinese comparative literature research’s response to the theoretical construction of the world comparative literature discipline, which is conducive to breaking Western academic hegemony and of exemplary significance for building a “Chinese School” of comparative literature. The Chinese version *From Southern Oranges to Northern Trifoliate Oranges: Professor Cao Shunqing on the Variation Theory of Comparative Literature* and Wang Chao’s *The Variation Theory of Comparative Literature* also provide systematic expositions of the variation theory.

3. Research on Globalization, World Literature, and World Poetics Theory

Wang Ning, the fifth president of the Chinese Comparative Literature Association, was among the early scholars to engage in the field of international globalization research and has made unique contributions to globalization theory research. He not only promptly introduced cutting-edge Western theories to the Chinese academic community but also combined them with China’s specific practices, publishing articles in Western languages in international journals and engaging in direct dialogue with international peers.

In recent years, Chinese academia has actively participated in discussions of the new constructivist trend in world literature, fostering deep-level dialogues between China and the West. Building upon the foundations of comparative poetics and world literature, Wang Ning has proposed the theoretical paradigm of “World Poetics.” His extensive publications in both Chinese and English—including *Comparative Poetics*, *Cognitive Poetics*, and *the Theoretical Construction of World Poetics* and *From World Literature to World Poetics: A Theoretical Construction*—have exerted

a broad international influence. “World Poetics” offers a critical reflection on the issues arising from the long-standing practice of treating literary theories developed within Western contexts as universally applicable. By anchoring itself in the study of world literature and the methodology of comparative poetics, this framework strives to construct a truly universal system of “World Poetics” that can be applied to the research and interpretation of global literary and theoretical phenomena.

The essay collection *Ideas and Methods: World Literature Between the Local and the Universal*, edited by Fang Weigui, shares significant content with the English anthology *Tensions in World Literature*. Both volumes feature representative essays from leading global experts in world literature. The simultaneous publication in two languages and the inclusion of scholars from diverse linguistic and cultural backgrounds underscore the profound Sino-Western dialogic character inherent in contemporary world literature studies. Liu Hongtao was also among the earliest Chinese scholars to engage in the theoretical and practical study of world literature. By tracing the historical trajectory of world literature as a discipline in China and excavating indigenous theoretical and practical resources, Liu advocates that world literature should play a more pivotal role in constructing a theoretical system for comparative literature with Chinese characteristics. Furthermore, he explores the application of the world literature paradigm to the study of the overseas dissemination of Chinese literature.

4. Research on the “Oriental Discourse” of Comparative Literature

In the mid-to-late twentieth century, scholars such as Ji Xianlin and Jin Kemu pioneered the “Oriental Discourse” research approach in comparative literature. In recent years, the construction of “Oriental Discourse” has become more theoretically and systematically self-conscious with the guidance of the national strategy of the “Belt and Road.” This is exemplified in two major projects of the National Social Science Fund of China: “Research and Documentation of Important Categories and Discourse Systems in Ancient Eastern Literary Theory,” led by Cao Shunqing, and “Eastern Literature and the Construction of an Eastern Literary Disciplinary System from the Perspective of Silk Road Culture,” led by Li Yuejin. Additionally, Yin Xinan leads a key project on “Research on the *Nāṭyaśāstra*.” The successful advancement of these projects not only facilitates the systematic organization of “Oriental Discourse” but also holds significant practical implications for “East-West” trans-civilizational dialogue in an era of globalization and diversity.

In the field of East Asian civilizations and comparative literature, research has focused predominantly on intercultural comparative studies of Sino-South Korea and Sino-North Korea. The representative figures and achievements are

exemplified by three major projects of the National Social Science Fund of China: “Documentation and Research on the History of Sino-Korean Modern Literary Exchange” and “Compilation and Research on the History of Brush Conversations Among Modern East Asian Scholars,” both led by Jin Bingmin, as well as “Documentation and Research on Twentieth-Century East Asian Anti-Japanese Narratives,” led by Niu Linjie. These projects conduct empirical influence studies on literary relations within the East Asian cultural sphere. In the field of Japanese Sinology, Wang Xiangyuan has further deepened the disciplinary construction of “Japanese Sinology” established by Yan Shaodang. He leads the major project of the National Social Science Fund of China “Construction of an Oriental Studies System and China’s Oriental Studies Research.” Work in this field largely involves locating, organizing, and compiling rare editions of Chinese classics both domestically and abroad, holding significant value for comparative literature and philology.

5. Literary Anthropology: A New Paradigm

Over the past thirty years, the Literary Anthropology Research Branch of the China Comparative Literature Association has made unremitting efforts to construct a comprehensive set of theories and interdisciplinary methodologies, namely the Quadruple Evidence Method and Cultural Text Theory. Under the leadership of Ye Shuxian, the sixth president of the China Comparative Literature Association, the research team has completed three major national projects over the last decade. Their representative works—*A Mythological Approach to Exploring the Origins of Chinese Civilization*, *Jade Myth and Belief and the Chinese Spirit*, and *Black Jade Age: New Evidence of 5000-Year History of China*—have all been selected for the Chinese Classics Translation Project of the National Social Science Fund of China. With a total of 20 editions published in various languages, including English, French, Russian, and Korean, these works have become a paradigm for the internationalization of Chinese scholarship. The “Quadruple Evidence Method,” exclusively advocated by literary anthropology as an interdisciplinary methodology, has provided an operational solution to the scholarly bottleneck in the major national research projects on tracing the origins of Chinese civilization through twenty years of practice. It fully utilizes transmitted texts, excavated documents, oral traditions, and intangible cultural heritage as living culture, as well as excavated artifacts and images, forming an intermedial and multimodal cultural interpretation paradigm. In 2025, this methodology was selected for the third volume of the *Blue Book on a Chinese Intellectual System* as one of the “Original Research Methodologies in Chinese Philosophy and Social Sciences.” Furthermore, the seminal work *Quadruple Evidence Method* has been published in both English

and Russian editions.

6. Interdisciplinary Research in Comparative Literature

By its very nature, Comparative literature inherently encompasses interdisciplinarity, and interdisciplinary research has become a crucial pivot in the development of many disciplines. As early as 1989, Le Daiyun and Wang Ning authored *Research on Supradisciplinary Comparative Literature*, establishing the methodological foundation for interdisciplinary research. In recent years, this field has witnessed a surge of brilliant highlights and prominent achievements.

In the field of digital humanities, Chen Yuehong's article "Change and Innovation: Iterative Development of Artificial Intelligence and the Future of the Humanities" argues that constructing a Chinese intellectual system in the humanities requires open participation from abroad and comprehensive organization through AI intelligence. However, it depends even more on autonomous exploration by China's domestic scholarly community. Vigorously promoting the organic integration of these two aspects can open new paths for the future construction of the humanities. *Introduction to Digital Humanities*, co-authored by Peng Qinglong and Du Lanlan, is an academic textbook responding to the convergence of digital technology and the humanities. Based on new liberal arts education principles, the book aims to cultivate students' ability to conduct humanities research using digital technologies through interdisciplinary methods.

In the field of literature and cognitive science/cognitive poetics, major projects include Xiong Muqing's National Social Science Fund project "Research on Cognitive Poetics in Anglo-American Literary Studies" and her 2020 major project of the National Social Science Fund of China "Cognitive Poetics Research and Theoretical Landscape Reconstruction," as well as He Huibin's key project "Cognitive Research on Dramatic Performance and Spectatorship."

In addition, numerous innovative achievements have emerged in fields such as literary geography, literary sociology, and interdisciplinary studies between literature and economics, law, and ecocriticism. Notable works include Mei Xinlin's two-volume *Principles of Literary Geography* and Guo Fangyun's *Literary Cartography*, both of which represent significant milestones in the interdisciplinary research of literature.

Further Discussion

The aforementioned achievements demonstrate that, since the arrival of the new era, scholars of foreign and comparative literature have made significant strides in constructing a Chinese intellectual system. Nevertheless, the "Sinicization"

of foreign literary studies remains a task of great magnitude and long-term commitment. Further expansion and development should be pursued in the following dimensions:

First, uphold a Chinese standpoint and further eliminate Eurocentrism. We must transcend source language contexts. Foreign literature researchers, due to their long-term immersion in the languages and texts of their target countries, often unconsciously succumb to the influence of those cultures, falling into their cultural paradigms without self-awareness. We should strive to overcome this cognitive bias by partially detaching ourselves from the source language context and conducting objective, multi-dimensional interpretations from the perspective of our own national culture. Furthermore, we must engage in reflection, questioning, and critique of Western literature and culture. Chinese scholars should maintain a Marxist standpoint, employing dialectical and historical materialism to examine research subjects. It is particularly crucial to maintain a healthy intellectual distance from foreign works involving religious or political themes, approaching them with a spirit of critical inquiry. We should also avoid the mechanical application of Western theories. Instead, we must flexibly utilize new theories, methods, and perspectives to study foreign authors and their works. This involves critically analyzing various contemporary theories and critical methods to select and synthesize those perspectives most suited to the specific research object.

Second, further strengthen the construction and innovation of indigenous theories and discourse systems. In future theoretical and methodological research in comparative and world literature, we must continue to expand and deepen existing frameworks, including Marxist literary theory and criticism, Ethical Literary Criticism, the theory of "Dual Narrative Progression," Chinese narratology from a comparative perspective, principles of foreign literature, the Variation Theory of comparative literature, World Poetics, and Literary Anthropology to amplify their domestic and international influence. Simultaneously, we must construct new indigenous theories and discourse systems by excavating local theoretical resources while judiciously drawing upon foreign intellectual contributions.

Third, further advance international discursive influence in foreign literature studies. The CPC Central Committee, with General Secretary Xi Jinping at its core, has consistently emphasized strengthening international communication capacity. This involves innovating external communication methods and building robust discourse systems that "develop new concepts, categories, and expressions integrating Chinese and foreign perspectives, tell China's stories well, and amplify China's voice," thereby enhancing international discursive influence (Xi 147-151).

As global comparative literature increasingly turns toward the East and China, Chinese scholars must strengthen indigenous theoretical discourse while cultivating a sense of a human community with a shared future. Through more effective dialogue and exchange with the international academic community, Chinese scholars should secure international discursive influence and guide global research directions, injecting new vitality into world literature studies.

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叶赛宁诗歌自然主题的计量研究

Quantitative Studies of the Natural Theme in Sergei Yesenin's Poetry

王 永 (Wang Yong) 辛梦飞 (Xin Mengfei)

内容摘要: 随着 AI 的迅猛发展, 文学计算与计量问题受到越来越多学者的关注。围绕文学文本的主题、人物情感、故事情节等方面开展的计量研究, 有助于为相关问题提供解决方案。本文对叶赛宁诗作中的自然主题展开计量研究, 通过对植物词词频分布、句法关系、修辞功能以及关联文本词汇语义聚类的统计分析, 揭示诗人作品中自然主题的语言表达手段及其深层内涵。研究结果表明, 围绕核心词汇语义类别展开的计量研究, 可以更准确、全面地呈现自然主题的具体构成, 且有助于揭示语言各层面所承载的主题内涵。

关键词: 叶赛宁; 自然主题; 计量方法; 词汇语义

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Title: Quantitative Studies of the Natural Theme in Sergei Yesenin's Poetry

Abstract: With the rapid development of AI, computational and quantitative studies in literature have garnered increasing attention from scholars. Quantitative research on aspects such as themes, character emotions, and plotlines in literary texts contributes to providing solutions to related issues. This article undertakes a quantitative study of the natural theme in Sergei Yesenin's poetry. Through the statistical analysis of the frequency distribution of plant words, syntactic structures, rhetorical functions, and lexical semantic clustering of related texts, it reveals the linguistic expression and profound connotations of the natural theme in the poet's works. The results indicate that quantitative research centered on the semantic categories of core vocabulary can more accurately and comprehensively present the specific composition of natural themes, and it aids in uncovering the thematic meanings conveyed at various linguistic levels.

Keywords: Sergei Yesenin; natural theme; quantitative method; lexical semantic

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采用“精密”方法研究文学作品，即文学的计量研究，并非大数据时代新兴的研究方法。早在 20 世纪 30 年代，俄罗斯学者雅尔霍（B. Jarcho）就指出，“运用统计方法，可以解决与作品的修辞、作品的主题和谋篇、作品的总体思想和情感以及作品的题材有关的诸多问题”（xviii）。随着数智时代的到来，文学计算得到了前所未有的重视，因为“无论是作品主题、艺术技巧、伦理价值，还是人物的伦理选择分析，身份判断，心理活动，情感体验等，都可以通过 AI 的计算得出更客观、准确的结论”（聂珍钊 15）。然而，迄今为止，AI 对文学主题的计算，还基本停留于主题建模阶段，尚未达到能阐释文学文本内涵的水平。这是由于文学作品有其特殊性，普通文本的算法难以轻松跨越文学与机器之间的壁垒。而作品主题的计量研究，不仅可以建立文学文本的语言与其诗学内涵之间的关联，还可以为文学计算提供算法的参考。本文选取在语言上有较强显示度的自然主题作为典型案例，以探索文学主题计量研究的基本路径。研究主要围绕以下几个问题展开：1）选择叶赛宁诗作作为自然主题计量研究对象的依据；2）叶赛宁自然主题的核心词汇语义类别及其构成的计量特征；3）自然主题的诗学功能与句际表达手段之间的联系；4）自然主题的深层内涵与关联文本之间的联系。

一、叶赛宁诗歌自然主题的核心词汇语义类别及其构成

本文选取叶赛宁的诗作作为自然主题的计量研究对象，不仅由于叶赛宁是俄罗斯白银时代的代表诗人之一，更重要的还在于，自然主题构成其创作的典型特征。这一点早已成为国内外作家和研究者对叶赛宁创作的共识。帕斯捷尔纳克（B. Pasternak）认为，叶赛宁“诗中最珍贵的东西是家乡的自然风光，那是俄罗斯中部地带，梁赞省，处处是森林，他像儿时所记得的那样极其生动地把它重新描绘了出来”（84）。阿格诺索夫（V. Agnosov）指出，“对于叶赛宁来说，大自然不仅仅是他的一个主题、形象或世界，而且是揭示其他主题（祖国和革命，生与死，爱与恨，对人的见解和其他哲理问题）时取得艺术手法的主要源泉”（175）。我国学者则常在叶赛宁研究中引用高尔基（M. Gorky）的评论：“谢尔盖·叶赛宁与其说是一个人，倒不如说是自然界特意为了诗歌，为了表达无尽的‘田野的悲哀’、对一切生物的爱和怜悯之心而创造出来的一个器官”（17）。

那么，自然主题在叶赛宁的诗歌语言上体现为怎样的计量特征？这些特

征与诗学内涵之间有怎样的联系？为了探讨这些问题，首先须构建研究对象的语料库。本文从俄罗斯国家语料库¹提取叶赛宁诗歌422首，经词形还原、词性和句法关系标注后建成了用于本研究的语料库。其次，须确定拟提取的词汇语义类别。文学计量研究成果表明，词汇语义类别是统计分析最重要的切入点，而词汇语义类别的选择须从作家的创作特点出发。²叶赛宁在其“玛丽的钥匙”一文中指出，“一切来源于树木——这就是我们人民的思想哲学”，而世界则是“永恒的、无法撼动的一棵树，其树枝上可以结出思想和形象的果实”（全集卷5 186、198）。毋庸置疑，植物词在诗人的创作中占有独特的地位，构成自然主题的核心语义类别。因此，叶赛宁诗歌自然主题的计量研究可以围绕植物词这一核心展开。

本文依据俄罗斯科学院编写的《俄语语义词典》，从叶赛宁诗歌研究语料库中提取了植物词位86个，共计562个词次。以下分别从植物词语义类别、植物词年度分布、植物类高频词分布等方面展开统计分析。

（一）植物词语义类别

植物语义场下属二级语义分为木本、草本、藤本三大类，其中木本和草本还有三级语义类别。叶赛宁诗歌中的植物词涵盖了二级语义的所有三大类别，且三级语义词汇非常丰富。

木本植物共34个词位，306个词次。其中表示二级语义类别的词位有3个：дереву（树）、куст（灌木）和 кусты（荆棘），代表了木本植物的三种类型。三级词位有31个，包含果树（如 рябина 花楸树，яблоня 苹果树，вишня 樱桃树等）、阔叶树（如 берёза/берёзка 白桦树，клён 槭树，липа/липка 椴树等）、针叶树（如 ель 云杉，сосна 松树等）以及花木（роза 玫瑰，олеандр 夹竹桃等）。

草本植物有50个词位，254个词次。其中表示二级语义类别的词位有3个：травы（草）、цветок（花）、злак（禾），同样代表了草本植物的三大种类。三级词位有47个，包含农作物（如 рожь 黑麦，овёс 燕麦等）、蔬菜（如 лук 葱，картофель 土豆，огурец 黄瓜等）、野花（如 колокольчик 风铃草，левкой 紫罗兰，василёк 矢车菊等）、野草和药草（如 лебеда 滨藜草，ковыль 针茅草，крапива 荨麻等）、水生植物（如 мох 苔藓，камыш 芦苇等）。其中野花类的词汇最丰富，有14个，词位占比28%。

藤本植物很少，仅 виноград（葡萄藤）和 хмель（葎草）两个，且都只出现过1次。

（二）植物词年度分布

本文统计了各年度植物词的词频总数及各年度的诗作数，制成植物词的

1 参见 <https://ruscorpora.ru>

2 参见王永：“词汇语义分析在文学计量研究中的运用”，《俄罗斯语言文学与文化研究》

3（2023）：21-29；王永：“曼德尔施塔姆诗集《石头》的世界文化网络”，《文学跨学科研究》4（2017）：120-131。

年度分布及年度诗作分布图（图1）。

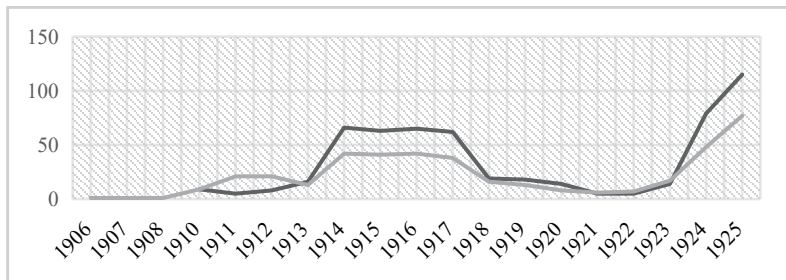


图1 植物词年度分布及年度诗作分布图

如图1所示，深色曲线是植物词频的年度分布，浅色曲线是诗歌作品的年度分布。可以看出，植物词使用数量与诗歌作品数量的趋势一致，高峰期为1914-1917和1924-1925。

（三）植物语义类别高频词分布

植物词词频统计显示，词频在10以上的植物词共有17个，其中词频在20以上的分别为：草¹、白桦、花、玫瑰、灌木、黑麦；其余11个词的词频从10到19不等。从两个时间段看，1914-1917的植物词位有69个，共237词次，占植物词总数的49.42%。其中最高频的植物词是：草（25）、灌木（24）、（小）白桦（13）、云杉（13）、黑麦（10）、花（9）。1924-1925的植物词位是44个，共193词次，占植物词总数的34.34%。其中最高频的植物词是：花（31）、玫瑰（30）、（小）白桦（17）、槭树（11）、黑麦（11）、椴树（10）、草（9）。

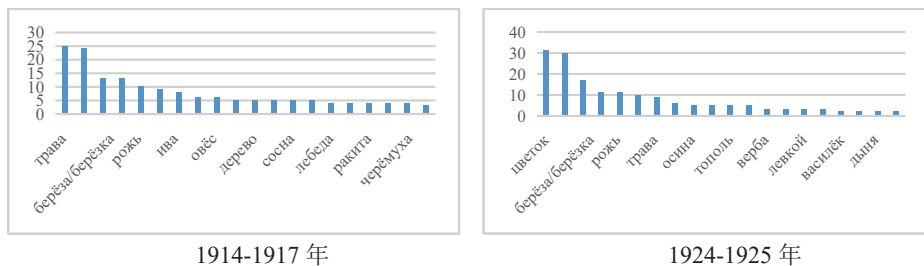


图2 两个时间段的高频植物词分布图

两个时间段的植物词相比，相同的高频词有“（小）白桦”和“黑麦”，都分别位列第三和第五；第一阶段位列第一的高频词“草”，在第二阶段位列第七，而第二阶段位列第一的高频词“花”，在第一阶段位列第六；第一阶

1 鉴于前文已列出主要植物词的俄汉对照，下文中的植物词将直接用中文以节约篇幅。

段的“灌木”和“云杉”，以及第二阶段的“玫瑰”和“槭树”，在另一阶段都仅出现过一次或者为零。可见，在不同时期的诗作中，诗人所使用的植物词既有相同之处，也有不同之处。因此，深入分析高频词很有必要。

从上述数据分析可以看出，叶赛宁诗作中的植物词贯穿了诗人的创作始终，尤以第一阶段及最后阶段最为集中；这些植物词涵盖了所有重要的植物类别，既有高低错落的乔木和灌木，又有谷物、蔬菜、瓜果等丰富的农作物，更有野草闲花相间其中。这种植物构成宛如一幅乡村风景画，呈现出生机勃勃的大自然与人类生活交相辉映的图景。

二、从高频词的句际关系看自然主题的诗学功能

在诗人抒写的自然主题中，植物词不只是单纯的景物呈现，而是与其他的语言手段结合，发挥一定的诗学功能。以下对“草”“（小）白桦”“花”这三个高频词进行共现图谱分析。这三个词不仅在高频词中位列前三，而且颇具代表性。“草”的使用主要集中于诗人创作高峰的第一个时间段，“花”主要集中于第二个时间段，“（小）白桦”则是两个时间段共同的高频词。为了尽可能科学地达到本部分研究的目标，我们分别从数据库中提取了这三个高频词的支配词和依存句法关系，并对其在文本中发挥的功能进行标注，由此构建各词的共现网络图并对其进行统计分析。

（一）“（小）白桦”的共现网络分析

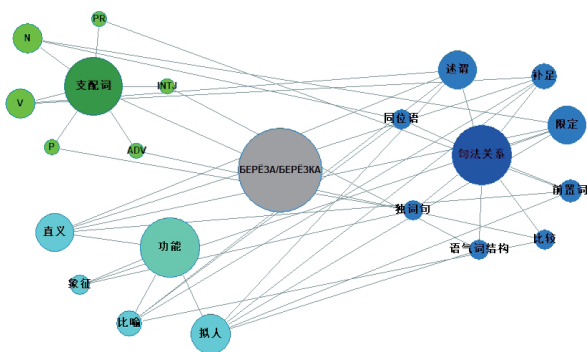


图3 “（小）白桦”的共现网络图

“（小）白桦”的词频为45次，该词的共现网络中，支配词占比最大的是动词和名词，分别为20个和15个，占比各为42.22%和33.33%；其次是前置词，占比15.56%，其他词类仅为8.89%。

所发挥的功能中，拟人、比喻等修辞功能占有较大比例，分别有23个和8个，占比各为51.11%和17.78%。发挥拟人修辞功能的23个句法结构中，支配词最多的是动词，有15个，占65.22%，其中构成述谓句法关系的14个，在

动词支配的句法结构中占93.33%。如：“白桦穿着孝，哭遍了森林”（304）¹。支配词为名词的有6个，占比26.09%，支配词名词构成的句法结构均为限定关系。如：“多么想把白桦袒露的胸脯，/紧紧贴住我的躯体”（113）。

除了修辞功能，发挥景物描写功能的有11个，占24.44%，其中支配词最多的是前置词（6个），其句法关系均为前置词关系，如：“圣三节清晨，晨祷的颂歌绵长，/银铃般的钟声在白桦林间回荡”（«Троицыно утро, утренний канон...» 1914）。其次为名词（3个），句法关系均为限定关系。如：“你好啊！披着金辉的静谧/白桦的倒影在水中漾起！”（«Вот оно, глупое счастье» 1918）

由此可见，高频词“（小）白桦”在作品中主要发挥拟人修辞功能，其语言构成主要是以动词为支配词的述谓结构；此外，“（小）白桦”还在作品中发挥景物描写功能，其语言构成以前置词支配的前置词结构为主。

（二）“草”的共现网络分析

“草”的词频为48次，该词的共现网络中，支配词占比最大的是前置词，有25个，占比52.08%；其次是动词，有18个，占比37.50%，其他词类占比为10.42%。

“草”所发挥的功能，以景物描写为主，有40个，占比高达83.33%。该功能的句法结构中，支配词最多的是前置词，有25个，占比为62.50%，均构成前置词句法关系，也就是说，所有的前置词关系都发挥景物描写的功能。如：“昨日的雨尚未干透——/草间积着碧绿的水洼！”（«Еще не высох дождь вчерашний...» 1916）

其次是动词，有10个，占比为25.00%，其中构成补足语关系的有7个，在动词支配的句法结构中占比70.00%。如：“去缤纷的草甸嬉戏，/去啄食芳香的青草”（«Лебедушка» 1913-1915）。

“草”的共现网络表明，该植物词在作品中主要用于景物描写，其语言构成以前置词支配的前置词结构为主，也有一部分由动词支配，构成补足语关系。

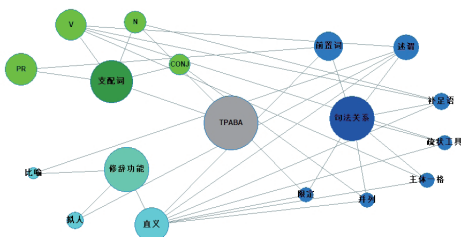


图4 “草”的共现网络图

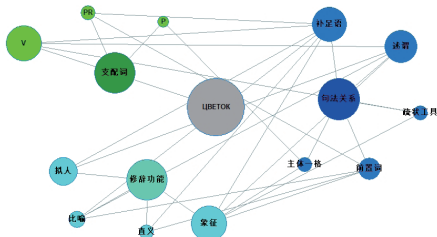


图5 “花”的共现网络图

1 本文涉及的作品译文，顾蕴璞的译文仅标注页码，刘湛秋和郑体武的译文按夹注标注，如系本文作者所译，则在译文后标注原作标题及年代。

（三）“花”的共现网络分析

“花”的词频为42次，在该词的共现网络中，支配词占比最大的是动词，有32个，占支配词总数的76.19%。

其表达手段以象征和拟人为主，分别为21个和12个，占比50.00%及28.57%。采用象征手法的句法结构中，支配词主要是动词，有17个，占该句法结构的80.95%，其中构成补足语句法关系的13个，在该类句法结构中占比76.47%。如：“他没有虚度此生，/没有白白揉鲜花”（103）；采用拟人手段的句法结构中，支配词同样是动词占压倒性多数，有11个，在该结构中占比91.67%，其句法关系均为述谓关系。如：“花儿都低低地朝我点头，/把‘永别了！’的话儿对我倾吐”（229）。

综上所述，这三个植物词的共现网络图谱统计分析表明，植物词在诗作中主要发挥拟人修辞功能和景物描写功能，且植物词发挥的功能与句法结构之间存在着较强的联系：发挥拟人功能的植物词主要由动词支配，构成述谓句法关系；发挥景物描写功能的植物词，其支配词绝大多数为前置词，构成前置词关系。下文将以这两大功能为切入点，采用关联文本的词汇语义聚类分析法，进一步挖掘植物词在自然主题中蕴含的深层内涵。

三、从关联文本的词汇聚类探究自然主题的深层意蕴

基于关联文本词汇聚类的统计分析，可以考察植物词在发挥不同功能时所存在的整体语境，由此揭示诗人的自然主题书写中所表达的深层涵义。本文对上述3个高频词中发挥拟人及景物描写两大功能的植物词构建了各自的关联文本，做了词性标注，并从功能出发，提取了相关数据，在此基础上，结合关联文本做统计分析。

（一）拟人植物词关联文本的高频词分析

拟人作为一种修辞手法，与文本的整体语境相关。因此，本文先对文本中实词的词频做了统计。结果显示，拟人植物词关联文本中位列前20的高频词主要是代词和名词。尤为突出的是，人称代词“我”的词频高达171词次，位列第二的人称代词“你”的词频也有48词次；名词中最高频的是植物词“花”和“（小）白桦”。以下结合关联文本，对这些高频词做深入阐释。

在诸多的诗作中，“我”构成了其中的抒情主人公：“今天我爱上了这个夜晚，/层林尽染的山谷合乎我的心情”（186）；“我是牧人；我的宫殿（……）/我在那凌空的悬崖下，/朦胧地静听低语的松涛”（56）。在《昏黄的淡月临照当头……》一诗中，“我”回忆起童年时光：“昏黄的淡月临照当头，/无际的原野处处哀愁，——/这就是我儿时见过的景象，/何止我一人眷恋又诅咒”（272）。《我是谁？我算什么？不过是……》一诗则是诗人对人生、爱情、梦想等问题的苦苦思索：

我是谁？我算什么？不过是
寻找幸福这“宝石戒指”的好幻想的人。

{……}

我是谁？我算什么？不过是在黑暗里
丧失了蓝色的眼眸的好幻想的人。

我只是和人世间其他人一起，
曾顺便爱过你这个人。（288）

“我”的高频使用绝非偶然，这恰好印证了叶赛宁在自传中的声明：“至于其他自传信息，都在我的诗歌中了”（全集卷7-1 20）。从“我”的关联文本不难看出，“我”的高频使用是诗人独特的抒情叙事方式：“我”的爱情，“我”的家乡，“我”的祖国，“我”的梦想，都在诗作中得以抒发，因而诗人留下的作品就成为其短暂人生的写照。

另一个高频代词“你”，常常在诗歌中充当抒情主人公倾诉感情的对象。“你”可以是拟人化的植物：“柳树，一群温顺的修女 / 不断扬起数念珠的声息”（51）；也可以是“我”所喜爱的女子：“你为何，苗条的小白桦， / 朝池塘把目光凝注。（……） / 你秋前悲凉的喧响， / 我早已爱在心里”（130）。但更多的是令诗人魂牵梦绕的故乡：“你呀，我背离了的故乡”（57），“可爱的家乡啊！心魂总梦怀 / 水面上那禾垛般的阳光点点。 / 我真想从此永远消隐在 / 你万籁交响的绿色乐园”（51）；而这故乡，是罗斯的故乡：“你多美，罗斯，我亲爱的罗斯”（55）。

最高频的名词恰恰是植物词“花”和“（小）白桦”。从关联文本可以看到，这两个植物词发挥拟人功能，主要借助三种语言手段。其一是赋予植物词人类行为特征的动词或名词。如“白桦”“亭亭玉立”（261），会做“诀别前的祈祷”（145）；“花”则“低低地朝我点头， / 把‘永别了！’的话儿对我倾吐”（229）。其二是赋予植物词以人类外表特征的名词。如“白桦”有“修长身段”及“宛如镀金的发辫”，身穿“粗布长衫”（261）。而当人的外表和行为表情相结合，更让植物词的拟人修辞功能达到极致：

睡梦初醒的小白桦微微一笑，
晨风撩乱它那丝样的发辫。
嫩绿的花序发出瑟瑟的喧嚣，
泛着银光的露珠连连忽闪。（50-51）

诗人将小白桦“嫩绿的花序”比作“丝样的发辫”，将树叶上晶莹的“露珠”比作“忽闪”的眼睛。那睡眠惺忪、慵懒浅笑的样子，令人联想起刚从甜美的梦中醒来的少女。

第三种手段是情感词。诗人赋予了植物词以人类的喜怒哀乐、爱恨情仇等情感特征。白桦会“穿着孝，哭遍了树林”（304）；“忧伤”时，会“披着绿袖立于风雪”（«Синий день. День такой синий» 1925）；当祖国太贫穷，“连白桦和白杨看得都难受”（273）。在诗作《金色的小树林不再说话了……》中，会说“欢快的语言”的“白桦”，与诗人的怀乡情结共情，停止了说话：

金色的小树林不再说话了，
听不见白桦欢快的语言，
〔……〕
伴着淡蓝色池塘上空的圆月，
大麻田梦怀所有的离人。
〔……〕
我口中吐出忧伤的话儿，
像树木悄然落下来叶子。（186）

由此可见，诗人借助各种语言手段赋予了植物词以人类心灵和生命的特征，这些植物词不仅充当了诗人与自然界对话的媒介，也承载着其精神探索的灵感寄托，与抒情主人公一起构筑起一个天人合一的语境，践行了叶赛宁诗学中一个极为重要的理念：修饰形象的意义“在于对自然现象投以人的光辉”（叶赛宁，“生活与艺术”9）。诗作中的自然主题无疑体现了诗人的这一创作理念，而植物词构成其核心手段之一。

（二）景物描写关联文本的名词聚类统计分析

鉴于与植物词的景物描写功能相关的词语绝大部分为名词，本部分采用名词聚类方法对关联文本中的所有名词做词频图谱统计分析。从关联文本中提取的名词共计1176个，2399词次，根据其语义可分为四大聚类：时空聚类、乡村生活聚类、人与情感聚类以及动植物聚类。受篇幅所限，以下仅对前三大聚类进行统计分析。

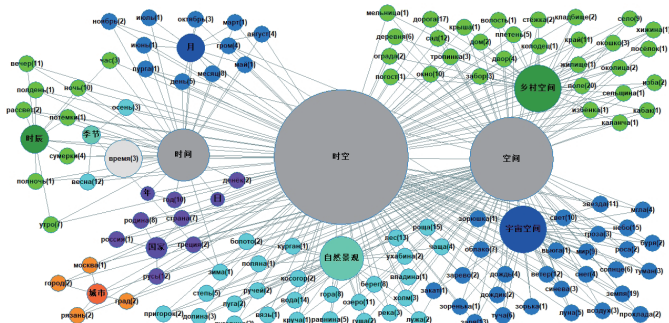


图6 时空词汇语义聚类图

如图6所示,时空聚类中,表示时间的词汇有年、月、日、时辰和季节。

最显著的高频词是“春天”。春天自然是繁花盛开的季节:“芳香扑鼻的稠李树, / 一到春天就开花, / 树上金灿灿的枝条, / 宛如盘绕的卷发”(73); 春天是“令人陶醉的”,洋溢着乡村节日的气氛:“村庄从节日的酣睡中渐渐苏醒, / 醉人的春风裹着钟声飘荡”(«Троицыно утро, утренний канон...» 1914); 春天是原野上荡漾的歌声:“不是因为平原上的春歌, / 我才珍爱着绿色的旷原”(85); 春天还是一位朝圣者:“春天蹒跚而至,有如一位朝圣者, / 手执拐杖,脚踩桦树皮草鞋”(«Прячет месяц за овинами...» 1914-1916)。

其次是“黄昏/夜晚”。此时,可以看到朝圣者的晚祷:“当黄昏的蓝天蒙上烟霭, / 落日的余晖在桥头垂挂, / 我可怜的朝圣者,你总要/躬身祈祷爱情和十字架”(86); 这是抒情主人公孤独时寻找慰藉的月夜:“多好啊,在这月光朗照的秋天/独自一人到草地上徘徊/(……)/黄昏用一把金灿灿的扫帚/清扫着我平坦的道路”(郑体武 68); 也是诗人梦中常常遇见的儿时景象:“童年的回忆让我患上了温柔的怀乡病, / 我不时梦见四月黄昏的潮湿与阴沉”(郑体武 84); 还是诗人与花儿亲密交谈的最佳时辰:“春日的黄昏,蓝色的时辰/嘿,我怎能不喜欢你们, / 我怎能不喜欢你们,花儿? / 我真想和你们举杯对饮”(230)。

表示空间的词非常丰富,既有自然空间,也有人为空间。

自然空间包含了由远及近的宇宙空间与自然景观。宇宙空间上至“天空”“星星”和“月亮”,下至“大地”及整个“世界”。在这个辽阔的空间中,阳光雨雪(“太阳”“雨”“雪”)等自然现象伴随着风起云涌(“风”“云”“乌云”),还不乏极端天气(“雷雨”“暴风雪”“风暴”)。自然景观中,不仅有“树林”“森林”“水”“湖”等树景和水景,还有“山”“草原”“平原”“山谷”等地形地貌。最高频的词是“树林”,最常见的树林是白桦林:“白桦林像三颗星临照水池, / 把老母亲的愁思融化”(131)。“站在落叶缤纷的白桦间, / 参加它们诀别前的祈祷”(145)。而这片小树林也总会引起“我”对故乡的念想:

我更高地昂起自己的头,
不在丛林后,而从小丘外,
我有又像听到有人在唱歌,
歌中把故乡和祖屋缅怀。(281)

人为空间以“田野”一词最为高频。这是诗人最熟悉的景象,因为他的“童年是在田野和草原上度过的”(全集卷7-1 11)。诗作中的田野,是星光照耀下宁静的田野:“你闪着八月和黑麦的光亮, / 你让静悄悄的田野充满”(281); 是让“我”的心灵充满花香的“无际的田畴”:“我的心,也

像无际的田畴，/呼吸蜂蜜和玫瑰的气息”（265）；更是可以勾起“我”对家乡的亲人和一草一木的回忆，可以与“我”相提并论的“田野”：

那时我会愉快地回想起
 荒芜的池塘和沙哑的红杨，
 回想起世上还有我的父母，
 他们不在乎我的诗写得怎样，
 他们只在乎我，在乎田野和骨肉，
 在乎那场春雨，好滋润秧苗。（郑体武 83）

此外，与田野相关的还有“耕地”“庄稼地”“犁沟”“收割过的地”。这些词指向与城市相对的“乡村”。在乡村空间中，坐落着大小不一的“村庄”和“小村子”；还有乡间蜿蜒的“小道”“小径”，散布其间的“路标”“瞭望台”“水井”“乡村墓地”“磨坊”；房舍则各不相同，有正常的“住房”，也有简陋的“茅舍”“木屋”，以及附属于房屋的“屋顶”“房檐”“院子”“篱笆”“围栏”“栅栏”等。这些乡村空间，常常归结为诗人记忆中的“故乡”“家乡”和“家园”，频繁出现在诗作中。尤其是其后期诗作，充满了对家乡的深深怀念：

花儿都低低地朝我点头，
 把“永别了！”的话儿对我倾吐，
 说我在近处再也看不见
 故乡的田野和祖辈的故土。（229）

与此形成鲜明对照的是城市的词汇贫乏且词次少，正如俄罗斯文学史学家阿格诺索夫所言：“在叶赛宁的诗中，几乎没有城市的风景”（170）。

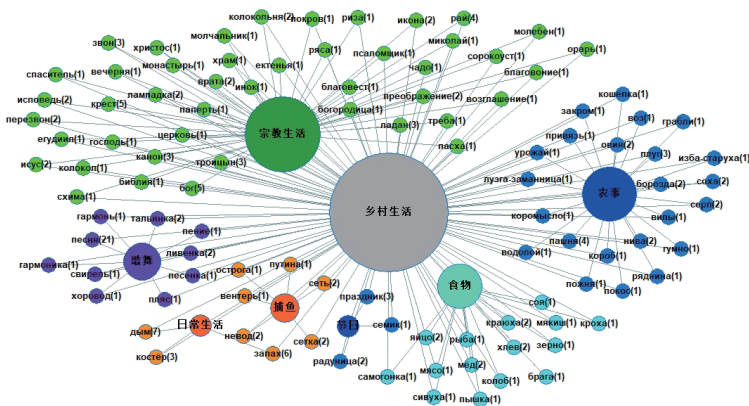


图7 乡村生活词汇语义聚类图

乡村生活聚类的词汇非常丰富，但高频词却很少。“歌”是其中频次最高的，由此引出了乡村生活中重要的娱乐方式和情感表达。在诗人的心目中，“歌”是春天常有的景象：“不是因为平野上的春歌，/我才珍爱这绿色的旷原”（86）；是表达爱情的媒介：“我求爱的勇气毫无用处。/何必呢？我的歌唱给谁听？”（248）；是故乡的回忆：“我又像听到有人在唱歌，/歌中把故乡和祖屋缅怀”（281）。而最重要的，这“歌”就是诗人写下的诗：“我的名声已卖给了诗篇”“我（……）把一生交给了诗篇”¹（256-257）。诗作中，“歌”时常有各种类型的手风琴的伴奏（ливенка, тальянка, гармоника, гармонь），营造出乡间生活载歌载舞的欢乐气氛：

春天草地上欢歌四起，
你短暂的喜悦也叫人欢快。
（……）
小伙子们一拉起手风琴，
姑娘们便到篝火旁欢跳。（65）

其他小聚类虽然词频不高，但词汇的丰富度使得乡村生活的描绘栩栩如生，犹在眼前。“大渔网”“小网兜”“笼式鱼网”“鱼叉”等各种捕鱼用具表明，捕鱼捉鱼也是乡村生活的一大乐趣；而“犁”“镰刀”“耙子”“草叉”等农具类词汇呈现出一派热火朝天的田园农耕景象；各种“小圆面包”和“面包边儿”“面包瓢”“面包渣”，以及各种“家酿啤酒”“家酿烧酒”“白酒”，揭示出面包和酒在家庭生活中的重要性。

另一个词汇丰富的小类是宗教生活。诗人在自传中声明自己“几乎不信上帝，也不喜欢去教堂”，但他外祖母却“是个教徒，常拉我去各个修道院”（全集卷7-1 1）。显然，外祖母带他参加的宗教仪式在他的童年记忆中打下了深刻的烙印。这一聚类中，除了“上帝”“耶稣”“圣母”“基督”等圣经人物，还有“修士”“保持缄默的修道士”“诵经士”“苦行修士”等东正教神职人员以及他们穿的服饰“教袍”“（助祭祭服的）圣带”“（祈祷时神甫穿的）外衣”。对教堂的描写更是细致入微，从“教堂”“修道院”“钟楼”到“教堂门前的台阶”“（教堂的）入口”，延伸到“十字架”“圣像画”“神灯”等物件；这里可以看到人们参加各种宗教仪式：“忏悔”“祈祷”“晚祷”“求祷”“圣礼”；可以听到教堂的各种声音：“宣读（祷文）”“（祈祷时的）钟声”“（所有钟陆续敲响的）钟声”。该聚类词多方面呈现了乡村的宗教生活。

1 这两处“诗篇”的原文都是“歌”：Честь моя за песню продана; Пусть вся жизнь моя за песню продано.

妹妹啊，妹妹！

人生知己何其稀少啊！（《Письмо к сестре》1925）

其二，“心”“眼睛”“手”这三个人体器官高频词，在诗歌中成为传达感情的重要载体。“心”是生与死的边界：“柔情的火焰就要熄灭了，/我的心将变成一堆灰烬”（282），承载着童年生活的记忆：“火焰涌入视觉的深渊，/童年梦幻的欢欣涌进心扉”（《Чую радуницу Божью...》1914）。眼睛是诗人在家里看向窗外景致的窗口：“金发少年透过蓝玻璃，/把寒鸦的嬉戏定睛饱看”（93）；“手”则留下了爱的余温：“我在温柔地战栗，禁不住/想碰一下你的双手和双肩”（刘湛秋 85）。

情感小聚类可谓喜怒哀乐皆有体现。这里有“爱情”“快乐”“微笑”“幸福”和“梦想”，也有“悲伤”“眼泪”和“忧愁”。最高频的词是“心灵”。叶赛宁的诗作中，心灵是大自然与人合为一体的纽带，心灵赋予大自然以生命，家乡的一草一木，每一片森林和原野，每一座山，每一条河，目中所及的一切生物，都在心灵中留驻。诗中写道：“内心和山谷阵阵清凉”（郑体武 75）；“我的心，也像无际的田畴，/呼吸蜂蜜和玫瑰的气息”（265）。远离故土的叶赛宁，乡村景象时常涌上心头，引起乡愁万千：“似乎谁对故乡已不习惯，/所以凤头麦鸡和山鹑/才在沼泽地哭得让人心酸”（郑体武 240）；当夜幕降临，皓月当空，诗人难以入眠时，记忆顿时触动心弦，勾起内心珍藏的儿时记忆：

这夜晚啊！我无法承受（……）

我难以入眠。如此月色如洗！

仿佛我仍在灵魂深处

守护那早已逝去的青春。（《Какая ночь! Я не могу...》1925）

综上所述，关联文本的名词聚类分析揭示出叶赛宁诗作自然主题的几个重要特征：1）诗作的自然主题以乡村生活为核心展开，展现出一幅生动的田园景象。这个自然画卷展现了辽阔的天空和大地、山丘和原野、小河和沼泽、树木和花草，还有庄稼地里收割的景象，令人不仅能听到大自然树叶的沙沙声，还能闻到其中花草的香味，感受到农作物带来的喜悦；这里生活着他的家人和朋友、村民和修士等男女老少各色人等；这里有马车辘辘，鸡犬相闻，还有欢快的歌舞和悦耳的琴声；2）诗作的自然主题书写有很深的童年烙印。关联文本中的高频词，都联结着诗人童年时代的深刻印记：“白桦”“草”“花”是诗人童年生活中的自然景象，“春天”“黄昏”“霞光”是诗人眼中的四季更迭，“田野”“歌”“马”是童年时常见的乡村图景，而“教堂”则反映出诗人童年时乡村生活中不可或缺的宗教仪式和宗教节日；3）诗作的自然主题虽然描绘的是故乡的景象，但在诗人心中，故乡俨

然是祖国的象征，两者已然融为一体。

结语

自然主题是叶赛宁诗作的重要主题之一，本文通过植物词的数据分析证明，无论诗人身在何处，其笔下的自然景象几乎都是他生于斯长于斯的乡村景象，显示出诗人对故乡怀有刻骨铭心的眷恋。此外，在叶赛宁书写的自然主题中，人与自然构成一个天然的有机体，在这个有机体中，植物发挥着重要作用。叶赛宁曾说：“我们都是蓝色花园中的 / 苹果树和樱桃树”（全集卷2 28）。在古斯拉夫文化中，“树林具有神性，是（……）过世亲人的灵魂居住的地方，这些亡灵化身为树、草和鸟兽”（Кононенко 513）。或许可以说，当诗人逝去时，其灵魂也化为草木，归于故土，完成了其魂归乡土的旅程。本文的研究表明，叶赛宁诗作中的自然主题体现为词汇、句法关系、语义聚类语言手段，从核心词汇语义类别入手，通过提取高频词，并对其进行句法功能及关联文本的词汇语义聚类统计分析，可以揭示出主题的构成图景、表现手法以及主题的内涵特征。而揭示这些关系和特征，也将有助于设计文学主题算法，构建不同主题文学作品的生成模型。

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伍慧明《望岩》中的伦理选择与契约正义

Ethical Choices and Contract Justice in Fae Myenne Ng's *Steer Toward Rock*

苏学林 (Su Xuelin)

内容提要: 伍慧明的小说《望岩》以冷战时期的“坦白计划”为背景，聚焦华人契纸移民的伦理困境与身份焦虑，揭示他们在生存、情感和道德之间的艰难选择。“道德恐慌”和“囚徒困境”构成了“坦白计划”最为显著的两个特征，将无数华人置于种族性的道德博弈实验之中。在这种特殊语境下，杰克的生存伦理观经历了建构、调整和解构的过程，反映出华人移民摆脱历史困境、追求道德和情感理想的努力，揭示了生存伦理与契约伦理之间持续不断的冲突和博弈。小说通过杰克和维达的代际视角转换，一方面重构了被遮蔽的排华历史，对西方社会长期奉行的契约正义理念提出了批判；另一方面超越了二元对立的伦理身份观和历史思维，为契纸移民的合法性存在提供了有力的文学辩护。

关键词: 伍慧明；《望岩》；伦理选择；契约正义

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Title: Ethical Choices and Contract Justice in Fae Myenne Ng's *Steer Toward Rock*

Abstract: In her novel *Steer Toward Rock*, Fae Myenne Ng explores the ethical predicaments and identity anxieties faced by Chinese immigrants during the Cold War-era “Confession Program,” revealing their choices between survival, emotion, and morality. The Confession Program, with its core features of moral panic and the prisoner's dilemma, placed Chinese immigrants in the midst of a morally charged arena. In such a context, the protagonist Jack's notion of survival ethics undergoes a process of construction, adjustment, and deconstruction. This journey reflects the efforts of Chinese immigrants to overcome historical difficulties and pursue moral and emotional ideals, revealing the ongoing conflict and negotiation between their survival ethics and contract ethics. Through the generational perspective shifts of Jack and Veda, the novel not only reconstructs the obscured history of Chinese

exclusion and criticizes the so-called contractual justice, but also transcends binary conceptions of identity and historicist modes of thought, offering a powerful literary defense of the legitimacy of immigrant existence.

Keywords: Fae Myenne Ng; *Steer Toward Rock*; ethical choice; contract justice

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《望岩》(*Steer Toward Rock*, 2008)是当代美国华裔作家伍慧明(Fae Myenne Ng)继《骨》(*Bone*, 1993)之后创作的第二部长篇小说。该作品以20世纪中期麦卡锡主义影响下的“坦白计划”(The Chinese Confession Program)为主要背景,讲述了华人青年梁有信(杰克)通过购买“契纸儿子”身份赴美谋生,为赢得华裔女子乔伊斯的爱情主动参加“坦白”,致使“契纸父亲”司徒金被驱逐出境,自己也失去美国国籍并遭报复致残的故事。伍慧明将自身的家庭生活、父亲伍锦炎的“契纸儿子”经历以及相关史实巧妙融入《望岩》的文学想象,使其成为理解“契纸移民”与“坦白计划”历史不可或缺的一部文学作品。

“契纸”是历史上华人规避和对抗排华政策的“最复杂的移民机制”(Madeline Yuan-yin Hsu 74),在《望岩》中亦构成所有伦理关系形成与转变的核心。目前国内外学界主要从伦理身份、史学价值、唐人街叙事、欲望研究等角度展开解读¹,从不同角度丰富了对作品的理解,但对“契纸”所含的伦理复杂性的探讨仍稍显匮乏。为此,本文主要运用文学伦理学批评的方法,结合社会学、政治学的相关概念,通过分析杰克和维达的伦理困境和伦理选择,探讨美国华人的生存伦理与“契纸”背后的契约伦理之间的冲突与博弈,进而揭示小说对西方种族契约话语的批判和对契纸移民合法性存在的申辩,以期为深入反思排华历史的渊源、机制和影响,理解华人移民的生存困境和情感体验提供有益启示。

一、伦理选择的特殊语境：道德恐慌与囚徒困境

“对文学的理解必须让文学回归属于它的伦理环境或伦理语境中”(聂

1 参见王小涛：“纸生仔”现象的历史现实与文学想象——以伍慧明《望岩》为例的分析”，《华侨华人历史研究》3（2016）：9-16；苏晖：“华裔美国文学中华人伦理身份与伦理选择的嬗变——以《望岩》和《莫娜在希望之乡》为例”，《外国文学研究》6（2016）：53-61；Xiujuan Lan, “Imagined community: Chinatown narrative in Fae Myenne Ng’s *Bone and Steer Toward Rock*,” *Journal of Postcolonial Writing* 6 (2023): 798-811; Anna Pehkoranta, “Displaced Desires: The Dislocated Self and Melancholic Desire in Chuang Hua’s *Crossings* and Fae Myenne Ng’s *Steer Toward Rock*,” *Amerikastudien/American Studies* 2/3 (2015): 255-273.

珍钊 256)。《望岩》中杰克的故事主要发生于 20 世纪 50 至 60 年代，彼时《排华法案》(*Chinese Exclusion Act*, 1882) 被《马格努森法案》(*Magnuson Act*, 1943) 废除，美国政府只给予华人每年 105 个移民配额。许多华人利用移民空额，伪造契纸身份证件，以派生公民的身份申请美国签证，引起美国政府的高度重视。为了切断华人非法入境的渠道、清查契纸移民的关系网络，美国移民局于 1956 年启动“非正式”的“坦白计划”，鼓励华人移民主动坦白自己或他人的虚假身份及所涉关系，以换取真正合法的公民身份，直至《1965 年移民与国籍法修正案》(*Immigration and Nationality Act Amendments of 1965*) 颁布方告结束。

“坦白计划”既是美国排华运动的变相延续，也是冷战意识形态作用下的一种“道德恐慌”(moral panic) 现象。根据英国社会学家斯坦利·柯恩(Stanley Cohen) 的解释，当特定群体被界定为对社会利益和价值观构成威胁时，其本质便会被大众媒体以程式化的方式呈现，由社会权威加以判断和引导，从而引起社会层面的广泛关注。这种恐慌可能在短期内悄然消退，也可能经过持久的连锁反应，造成法律政策和社会认知的变革。¹ 在新的移民限额方案出台后，美国政府虽然试图强化移民审查制度，但受制于排华政策遗留的诸多问题，始终未能找到有效终止契纸移民体系的办法。50 年代初期，美国国内麦卡锡主义反共情绪高涨，移民问题与冷战政治紧密联系在一起，为美国移民局与国务院、联邦调查局和刑事部等政府部门的协同合作提供了契机。契纸移民被解读为间谍渗透的风险来源，其负面影响经媒体渲染被不断放大，以政治肃查为名的“坦白计划”遂应运而生，并得以顺利推行。²

事实上，这种建构主义的“道德恐慌”³ 在美国排华传统中由来已久，甚至或隐或显地贯穿其发展过程。如在中央太平洋铁路竣工之后，许多原本从事矿业和筑路工作的华工转入美国西部劳动力市场，被当地白人视为抢夺饭碗、破坏劳资环境的祸源。加州等地的政客和媒体也借机煽动排华情绪，不断强化华人不可同化、道德低劣的形象，最终将种族歧视推上法律层面，催生了《排华法案》及后续一系列排华政策。在“道德恐慌”并入排华主义的过程中，真实多元的华人形象相应遭到遮蔽和改写，不仅在褒贬意义上发生偏移，而且愈加被符号化和类型化。从 19 世纪中叶到 20 世纪初期，被强行加诸华人身上的形象范式至少包括污染者(the pollutant)、苦力(the coolie)、离经叛道者(the deviant)、黄祸(the yellow peril) 四种，其中每

1 参见 Stanley Cohen, *Folk Devils and Moral Panics: The Creation of the Mods and Rockers*, New York: Routledge, 2002, 1.

2 参见 赵小建：《重建家园：动荡中的美国华人社会 1940-1965》，上海：复旦大学出版社，2006 年，第 185-192 页。

3 参见 Erich Goode and Nachman Ben-Yehuda, “Moral Panics: Culture, Politics, and Social Construction,” *Annual Review of Sociology* 20 (1994): 149-171.

种范式又会衍生出一系列具体形象。¹ 这些形成于不同时期但普遍带有贬损色彩的形象范式，反映了白人社会在政治、经济和伦理等领域对华人长期存在的种族恐惧。颇为讽刺的是，在排华夹缝中出现的“契纸移民”现象，反过来又印证了与排华相关的种种污名，更为排华法律和政策的实施提供了某种合理性依据。²

在科恩的论述中，道德恐慌主要指主流社会对越轨群体的担忧与恐惧，其核心在于对伦理秩序可能遭到破坏的深层焦虑；而在“坦白计划”的特定情境里，这个概念还被赋予了另外一层意涵，即华人社区在深陷伦理困境后所滋生的集体性恐慌情绪。作为官方认定的移民管制政策，“坦白计划”并没有“正式公布的政策或者指导原则”，而是“以‘非正式和非书面’的方式介绍给侨领和一般族裔民众的”（赵小建 208），其核定标准也常常模糊不清，“决定权完全由移民局具体掌握”（赵小建 209）。正如小说中乔伊斯所指出的，无论华人是否“坦白”，移民当局都有权将其驱逐、拘押或剥夺其工作。³ 为了保障“坦白计划”的实施效果，移民局在唐人街内展开严密调查，也不乏动用诱骗、威胁等手段：“他们派了一些人到处瞎转，到我爸的洗衣店里去烦他，到面条厂去烦我老婆，甚至还找到了我的一位远房叔叔；有些政府的小喽啰把他们自己看得跟传教士似的，骗我们说家里的其他人已经坦白了”（56）⁴。

对华人个体而言，卷入“坦白计划”无异于被抛入“囚徒困境”（the prisoner's dilemma）⁵，时刻面临道德、情感和利益之间的选择。“坦白”意味着有机会重获自由和尊严，但同时也意味着对他人造成伤害。“契纸”为华人建构起错综复杂的伦理关系网络，一旦有人参与“坦白”，其血缘家庭、契纸家庭和帮办中介等都会受到牵连，华人社区的伦理秩序也会受其影响。小说在叙事中刻意穿插杰克“坦白”时的调查报告和受审记录，以历史档案的形式再现了移民当局的盘问细节：按照要求，杰克不仅要供出亲生父亲和契纸父亲的姓名来历，还要交代其他契纸家庭成员的身份信息。由于杰克的供述，“契纸父亲”司徒金和同为“契纸儿子”的吉月被遣返回国；吉新和吉弟作为司徒金的亲生儿子，则侥幸留在美国继续打理司徒金的产业。“坦白

1 参见 Robert G. Lee, *Orientalism: Asian Americans in Popular Culture*, Philadelphia: Temple University Press, 1999, 8-9.

2 参见 Mae M. Ngai, "Legacies of Exclusion: Illegal Chinese Immigration during the Cold War Years," *Journal of American Ethnic History* 1 (1998): 6-7.

3 参见 伍慧明：《望岩》，陆薇译，长春：吉林出版集团有限责任公司，2012年，第57-58页。

4 本文有关《望岩》的引文均来自伍慧明，《望岩》，陆薇译（长春：吉林出版集团有限责任公司，2012年）。以下引文仅标注页码，不再一一说明。

5 囚徒困境是契约博弈论拟设的一种特殊情境，它假设两个罪犯被单独关押于两间牢房中，如果两人同时认罪则各自获罪5年监禁，如果两人均否认则各自获罪1年监禁，如果其中一人认罪则可免于惩罚，而另一人则将被判处10年刑期。囚徒困境是一种非常典型的伦理困境，参与者同时面临着道德与利益、理性与情感、个人利益与集体利益等方面的伦理选择。无论参与者做出何种伦理选择，都必然会对他人和整体的伦理环境产生影响。

者”往往要同时承受承认造假的屈辱感和背叛同胞的负罪感，许多华人为此悔恨终生，甚至因羞愧自戕而亡。

与此同时，随时可能遭受揭发的风险，也在无形中加剧华人的猜疑和恐惧。伍慧明曾不无感慨地说，“十多年来，坦白计划破坏了家人和朋友之间的友情。不信任是我们的瘟疫。一个同事、一个邻居，甚至一个茶馆服务员都有可能泄露你买来的名字。我的父亲无法给母亲写信解释，寄信到中国——更不用说寄钱了——等同于与敌人勾结”（Ng 117）。《望岩》将这种心理称为“老唐人街的恐惧”（238），并指出它会在华人代际间延存传递。多年以后，面对突然过来问路的白人男孩，维达仍会下意识地后退，记起“不跟生人说话，不回答问题，不要告诉别人爸爸的名字”（238）。“不能说”（Don't tell）作为华人在特定历史时期自保求存的策略，逐渐演变为“这个美国少数族裔的集体属性——沉默”（陆薇 25）。

在“坦白计划”的特殊历史语境下，“道德恐慌”不仅仅指称主流公众的焦虑情绪，更表现为华人群体挥之不去的心理阴霾；“坦白”也不只是法律层面的申报行为，而是成为一个充满矛盾与博弈、勾连移民历史与种族制度的伦理问题。《望岩》将杰克置于类似“囚徒困境”的道德博弈场域之中，通过展现他所面临的极端处境和做出的伦理选择，力图还原被白人话语所扭曲的华人道德形象，并揭示“契纸”和“坦白计划”背后的伦理文化逻辑。

二、伦理选择的矛盾冲突：生存伦理与契约伦理的博弈

所谓生存伦理，是指“人们基于生存需要与其他人或事物结成的关系”，主要关注“生存与个体生命的尊严、生存与个体的独立和自由、生存需要控制下的个体之间的关系、生存与求生方式等方面”（修树新 109）。早期华人移民背井离乡、远渡重洋，其首要目的在于谋求生存并改善经济处境。因此，在异国面临伦理困境时，生存考量往往被置于首位。《望岩》开篇便多次出现“赖以谋生”“给了我饭碗”“挣血汗钱”¹等表述，强调生存对于杰克的重要意义。进入美国后，杰克的生存伦理观经历了建构、调整和解构的演变过程，由此展现了华人移民摆脱历史困境、追求道德和情感理想的努力，也映照出华人的生存伦理与“契纸”背后的契约伦理之间持续不断的冲突与博弈。

杰克自幼被亲生父母卖给司徒金，由其在老家不育的原配妻子抚养。物质方面的极端匮乏造成了杰克最初和最深的心理创伤，不仅直接影响他对生命价值的基本认知，而且促使他在传统儒家伦理和民间生存经验的底色上，构建出一套以安身求存为要义的伦理观念。杰克对司徒金的顺从几乎都源于契约关系的生存依附，而非血缘亲情的自然流露。他称呼司徒金为“父亲”，“但也只是嘴上叫叫而已”，内心更加认可“杰克·满·司徒”只是一个买来谋生的名字，算上所有费用“总共欠他四千美元”（8）。为了稳定获取契纸

1 参见伍慧明：《望岩》，陆薇译，长春：吉林出版集团有限责任公司，2012年，第7-9页。

赋予的资源，杰克还为自己确立了一套严格遵循的行为准则：靠本事自力更生，“用双手去做力所能及的事情”（9）；不给任何人找麻烦，也不铺张浪费；安分守己，克制欲望，不渴求“要不到的东西”（9）等。可以说，孝顺、守礼、隐忍、俭朴、克制等道德品质，在杰克身上更多地表现为与现实处境相适应的生存策略和智慧。

由于初到美国尚无物质基础，杰克的生存伦理观只能围绕最低限度的生存保全展开，任何超越生存层面的追求都被视为奢侈而危险的负担，这就导致了其备受压抑的道德和情感诉求与严苛的伦理环境之间必将产生难以调和的矛盾。杰克原本名为“有信”（To Have Trust），却被迫依靠契纸身份谋生，为此他感到自己的人生是“光秃秃的，没有什么意思”（9），甚至不如那些拥有尊严和“五德”荣耀的公鸡。他迫切渴望一个完整的家庭，然而现实迫使他终日为生计奔忙。道德与情感本应是生存伦理的应有之义，但在杰克身上却成为难以解决的伦理悖论：选择生存就要不断压抑其道德和情感诉求，追求道德与情感则可能动摇其生存基础。小说详细描绘了杰克对于动物血肉的细腻感受，以此来暗示他对真实身份和真实情感的强烈渴望，同时反衬出无法获得尊严、自由与情感的深切痛苦。

为了解决精神困境，杰克不得不对既有的生存伦理观做出调整。适逢此时，乔伊斯、伊琳和维达三位女性人物从不同角度构成了助推其转变的外在驱力。情人乔伊斯的出现使杰克长期压抑的情感得以具象化投射，也让他开始认真反思自身的生存境况和情感需求。如杰克所言，“乔伊斯是我爱情的鬼魂，追着比追到更好”（19）。当他提出要为爱情向移民局“坦白”时，朋友路易一语道破他的真正意图：“‘坦白’能证明你的爱和忠诚”（51）。“证明”一词揭示出杰克内心深处的恐慌，表明他迫切地想要通过展现爱情忠诚，证明自己仍然具备常人应有的道德和情感能力。乔伊斯怀孕以后，即将出生的女儿维达更加激发了杰克对于合法伦理身份和正常家庭生活的渴望。此时杰克虽已偿清“契纸”债务，却仍被司徒金拒为生意合伙人，由此看清双方关系的利益本质，并进一步决意摆脱“契纸父子”的伦理束缚。

伊琳实为司徒金的替身太太，却被安排在法律上嫁给杰克，这个突如其来的变化加剧了契纸关系的复杂性，将人物之间的伦理矛盾激化到无法调和的地步。至此，杰克与司徒金之间至少交织着四种伦理关系，分别是父子关系、雇佣关系、债务关系和情敌关系。尽管杰克更倾向以债务关系来界定双方，但由于自幼被司徒金的原配妻子抚养长大，常年在祖宗祠堂中把司徒金当成亲生父亲一样敬奉，潜移默化的道德规训使他牢记“家法就是我的血缘规则，义务和服从是我的儒家咒语”（*Steer Toward Rock* 4）。与“父亲”的女人结成法律夫妻，不仅造成杰克和伊琳伦理身份的严重错位，而且意味着两人触犯了伦理层面的乱伦禁忌，因此杰克不得不做出选择以摆脱这种伦理危机。由此而言，杰克参与“坦白”既源于内在诉求的实现愿望，也出于摆

脱伦理困境的实际需要，具有双重层面的必然性。

从物质环境的角度看，杰克的伦理选择还与其生存条件的变化密切相关。初到美国时，杰克在司徒金的大众市场里贩卖鸡鸭禽类，因市场停业整顿而被派去各地做工还债，先后做过擦鞋匠、洗衣工、学徒厨师、清洁工等。此时他一心赚取生存资源，虽然“幻想能有属于自己的幸福”（11），但终究无暇多顾。大众市场恢复营业后，杰克接手了屠夫一职，凭借努力成为风光一时的“桃花之王”，相应获得了更加宽松的选择空间。他开始尝试将道德与情感诉求纳入生存伦理的界域，在乔伊斯身上寻求情感，通过“坦白”重获尊严。当“坦白”真相告破后，杰克失去了屠夫的生计，辗转从事洗衣店前台、收银员、厨师等工作，最后盘下一间药铺以卖报为生。他无须再忍受之前那种道德焦虑，但同时也失去了对爱情的期待。纵观杰克在不同阶段的选择情况，另一种伦理悖论亦随之浮现：以生存诉求为主导则意味着丧失自由选择的权利，一旦逾此阶段有所选择便会受到重重压制，甚至被打落回最初的阶段。

“在文学作品中，由于悖论是可以解决的，无论解决的结果如何，都能给读者带来有益的思考和道德启示”（聂珍钊 255）。上述两种伦理悖论直到杰克参加“坦白”后才得以解决，而他也为此付出了沉重代价。杰克的伦理困境之所以复杂难解，在于它生成于一种结构性的契约关系网络中，同时受到多种契约的道德要求：“契纸”中的亲缘和债务契约要求服从和偿还；华人社区的道德契约要求沉默和互保；美国的政治与法律契约则要求揭发和供述。这三种契约互有冲突，使杰克无论如何选择都会违背另外某一方的要求；同时，它们又在相互作用中构建起相对稳定的结构，唯有当其中某种契约关系被打破，这个伦理困境才有可能被解决。

参加“坦白”之前，杰克的伦理困境主要发生在“契纸”关系的轴线上，此时“契约构成的伦理身份和现实中人物的伦理身份之间，并不是互相平行独立，而是存在着交叉和错位（……）这种交叉错位的伦理身份，让杰克陷入了一种伦理混乱和伦理两难的境地”（苏晖 57）。这种伦理境况仅仅能够满足杰克最基本的生存诉求，却无时不在制约和打压着其情感和道德诉求。当他把美国的政治与法律契约引入博弈场域，希望借此来解决生存、道德和情感的割裂问题，得到的结果却适得其反：最为荒诞的是，政治契约作为杰克摆脱伦理困境的博弈工具参与其中，从而掩盖了其原本的不义本质，使人忽视这才是造成伦理困境的始作俑者。这场道德博弈的负和属性也由此凸显——“这里边根本就没有赢家”（242）。

三、伦理选择的价值取向：伦理救赎及对契约正义的文学抗辩

《望岩》中有一段细节生动刻画了杰克在接连遭受打击后几近崩溃的精神状态。安葬完乔伊斯的母亲后，为安抚年幼的维达，杰克向她解释外婆是

因年迈而去世。然而不解其意的维达仍天真地追问：爸爸的手臂是不是也死了？爸爸什么时候会死？杰克只得仓促打断这个话题，随后却看见女儿在卧室里用红色蜡笔一遍遍涂抹乔伊斯的名字。中国民间素有“丹书不祥”之说，以红笔书写姓名往往暗含死亡隐喻。维达这无心之举，仿佛轻描淡写间便抹去了父辈存在的意义，令杰克长期压抑的恐惧、愤怒与悔恨骤然决堤。他大力摇晃着女儿，怒声嘶吼：“你想要我的命吗？你想要我的最后一口气吗？”“我把所有人的账都还清了，我已经失去了一切。我的公平在哪儿啊？”（56）藉由杰克近乎绝望的控诉，小说将创伤叙事引向对西方伦理文化根基和华人移民存在价值的深刻质询：排华历史所倚赖的“契约正义”话语是否具有正当性和合法性？那些以契纸身份维系生存、在美国奋斗半生的华人是否具有被承认为合法公民的资格？

契约思想是西方社会最为重要的伦理传统之一。中世纪的宗教契约确立了个体在精神世界中的身份定位，社会契约论则推动了近代民族国家的理论转型，将社会关系视为契约关系的观念逐渐演变为当代欧洲社会意识形态的核心所在。¹由此衍生的“契约正义”也被广泛应用于国家和社会治理，成为衡量诸多道德行为的价值尺度。然而，这种理念在现实中却常显露出“极性思维”的倾向，即为了实现某个价值层面的正义理念，而罔顾其他层面的道德诉求。²美国学者米尔斯（Charles W. Mills）从契约论中发掘出长期隐匿的“种族契约”（the racial contract）话语，进而论证了契约正义的价值悖论。米尔斯指出，契约主义致力于维护道德、权利和利益的普遍平等，已经在近代欧美诸多纲领性政治文件中得到回响，但实际上真正被视为契约主体的只有白人。他们利用社会契约的思维逻辑标榜自身，将非白人描述为自然状态下的野蛮者，不断贬抑他们的道德梯位。“种族契约的条款为整个白人道德设定了参数”（16），塑造出一套颠倒而无知的认识论，使白人在种族问题上的误解、回避与自欺成为一种思想惯性。³

随着“五月花号”驶向北美大陆，社会契约思想也从欧洲传入美国，融入这个“契约国家”的建设始终。⁴美国在高扬契约思想的同时，也曾频繁利用极性思维对异己力量大加倾轧，这在种族问题上表现得尤为显著。在《排华法案》未成定数之前，美国政坛对待华人的态度并不一致。那些持敌视态度的政要官员利用社会大众对契约思想的推崇和对奴隶制的恐惧，扭曲和改写华人的种族形象，将其塑造为与白人主流观念截然对立的概念体系。在当时的某场国会辩论中，排华势力就以“华人是帝制分子”和“华人苦力是奴隶”为

1 参见 David Gauthier, “The Social Contract as Ideology,” *Philosophy & Public Affairs* 2 (1977): 130.

2 参见 胡启忠：《契约正义论》，北京：法律出版社，2007年，第217-218页。

3 参见 Charles Mills, *The Racial Contract*, New York: Cornell University Press, 1997, 16-18.

4 参见 温晋锋、王赟：《契约国家的理念与实践：以美国为研究视角》，北京：法律出版社，2017年，第16-17页。

由，为华人罗织“不可同化”的罪名：一方面指控华人拥护帝制、屈从奴役，与美国的民主共和理念相悖；另一方面又强调华工与中国公司签订卖身契约，重蹈奴隶制的覆辙，与当时倡导的奴隶解放精神严重抵牾。¹

对契约正义话语的反思与批判并未直接呈现在《望岩》的文本表层，而是通过精巧的结构安排与细腻的人物塑造得以传达。小说英文原著共分为46节，其中36节均以中文“坦白”为标题。这些反复出现的“坦白”形成了一条鲜明的叙事线索，不断向读者传递着强烈的言说冲动。“坦白”的两位主体——父亲杰克与女儿维达，分别立足于两代华人的经验与观念，交替叙述排华历史的进程与其深远影响，并在叙事中承担着不同的伦理责任：杰克致力于将“坦白计划”背后被遮蔽的历史公之于众，以此矫正长期被扭曲的华人形象，揭示美国种族意识形态中的非正义逻辑；维达则通过追溯代际间伦理观念的差异根源，为“契纸移民”在美国社会中的存在提供了合法性辩护。

为了摆脱契纸困境，恢复人格尊严并实现情感诉求，杰克选择参加“坦白计划”，向移民局揭发自己和司徒金一家的虚假身份。通过这一伦理选择，杰克完成了对自己、对他人和对族类的伦理救赎。小说将华人还原为充满血肉情感和道德情操的真实个体，有力地驳斥了美国种族主义者长期以来对华人形象的道德诋毁。为此杰克几乎失去了一切：被剥夺了美国公民身份；被司徒金报复致残；丢掉了赖以谋生的工作；与乔伊斯的爱情和与伊琳的婚姻均告破裂。伍慧明借杰克的遭遇揭露了契约正义的虚伪性和欺骗性，指出美国宣扬的天赋人权和自由平等思想不仅没有平等地惠及所有族群，反而沦为变相打压少数族裔的政治工具。

《望岩》试图否定白人道德法则的至上性和唯一性，并提出应对排华法律的合法性根基和排华运动的因果逻辑予以重新检视。米尔斯认为，社会契约的特点在于确立民族国家的合法性，并在其边界内编纂道德和法律。白人作为种族权力的主导者，一边开展关于殖民主义和“非白人”人性的大众辩论，一边推动“区别对待型法律结构”的建立和非正式法律行为的常规化。²在种族契约的持续作用下，排华运动的因果逻辑常常被混淆和颠倒。许多人因华人与美国社会之间巨大的文化差异而混淆排华运动的根本原因，不明白华人在美国的孤立是排华运动的起因还是结果。³杰克的生存伦理观并非华人独有，而是根植于人类对安全、尊严和情感的基本需求。建立在契约话语之上的排华政策则带有明显的白人至上主义色彩，它将少数族裔的生存策略视为对既有秩序的威胁，进而压制了人类最基本的价值诉求。也正因如此，杰克的“坦白”超越了个体选择的范畴，构成一种反抗契约逻辑的力量，动摇

1 参见李曙光、杨玲美：“美国排华隐喻话语的认知批评分析”，《华侨华人历史研究》1（2019）：18。

2 参见 Charles Mills, *The Racial Contract*, New York: Cornell University Press, 1997, 20.

3 参见张庆松：《美国百年排华内幕》，上海：上海人民出版社，1998年，第8页。

和颠覆了契约正义的官方解释。

如果说杰克的“坦白”厘清了“契纸”背后的种族伦理逻辑，那么对于“契纸儿子是否有资格成为真正的美国公民”这个问题的答案，则是在维达溯查父亲身世的过程中逐渐显现的。经历种种打击后，杰克选择将那段充满耻辱和悔恨的历史深埋于记忆深处，希望用“沉默”和“遗忘”将排华历史的影响彻底隔断。“我不想让女儿对我的过去负任何责任，不管我经历了什么都不需要她去反思”（204）。杰克的做法并非孤例，而是那一代华人普遍性的伦理选择。然而，对排华历史的陌生和对父辈行为的困惑，却无形中加剧了华人代际间的矛盾隔阂。维达不理解父亲行事的逻辑，更不理解他深陷沉默的缘由。随着母亲乔伊斯对她讲述了父亲的过往遭遇，男友吴真人带她回到中国完成寻根之旅，她才完整拼凑出父亲的身世。从老家临别之际，维达从送行老人的话语中得知，父亲长期以来的沉默策略乃是源于中国“中庸式”的生存理念，目的在于更好地生存下去并给予她最大限度的保护。在与父亲达成精神和解后，为了让父亲彻底摆脱恐惧和焦虑，维达决定帮他重新申请美国国籍。

从迷茫到入籍，杰克的选择过程渗透着两代华人迥然不同的价值观念，突出表现为对伦理身份的认知差异。伦理身份的“真伪”对杰克而言具有根本性影响，决定了他所获得的一切是否能够得到法律保护，他的生活是否能够形成稳定的伦理秩序，因此“真”与“伪”是二元对立且不可弥合的。相比之下，维达自幼接受美国本土教育，而且脱离了“坦白计划”的历史语境，因而可以超越父辈固守的身份逻辑，以多元流动的视角重新审视历史和现实，“可以把谎言变成真理”（203）。在入籍仪式上，维达替父亲选择以“杰克·满·司徒”的假名字入籍，因为这是“陪伴他度过了大半辈子的名字，这是他通过自己的努力换来的名字，是他为了爱而选择的名字，这个让他变得更真实的名字”（272）。维达的伦理选择挑战了“真与假、对与错、合法与违法这些本质主义的命题”（陆薇 56），消弭了华人真伪伦理身份之间的裂隙，并通过入籍这一仪式隐喻为新的身份观赋予了合法性阐释。

更加可贵的是，伍慧明并没有回避排华历史的遗留问题，而是将其客观演绎在小说结尾的细节中。杰克仍然无法调和“对美国的忠诚”和“对血脉的忠诚”之间的伦理矛盾，对于选择以真实身份还是契纸身份入籍这一问题同样充满迷茫。维达虽然帮助父亲做出最终选择，但自己也受困于“契纸家庭”的影响，始终未能获得开解。她不敢向男友展露全部感情，也害怕组建家庭，并毅然做了绝育手术。这些问题反映了排华历史遗留给华人家庭的矛盾和创伤，它们的存在也为文本留出了与读者对话的空间，邀约读者从不同角度参与解读和反思。

伍慧明在《望岩》中以简洁克制的叙事风格再现了契纸移民复杂而艰难

的生存境况，通过书写杰克在生存、情感与道德之间的伦理选择，揭示了制度性的契约话语如何压制华人个体的价值诉求，展现出华人在伦理困境中追寻尊严与情感的艰难历程。与此同时，作品借助维达对父辈命运的溯察和对移民身份的批判反思，瓦解了“真”“伪”对立的二元逻辑，使契纸身份从一种历史污名转变为华人生存价值的重要象征。围绕生存伦理与契约伦理的冲突与博弈，《望岩》重新审视了制度正义与人类需求之间的复杂关系，进一步拓展了华裔美国文学关于移民伦理问题的讨论空间。

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大洋洲研究中的文学与史学关系：兼谈《多元文化视野下的大洋洲文学研究》的四大特点

The Relationship between Literature and Historiography in Oceanian Studies: With a Discussion on the Four Major Features of *Studies of Oceanian Literature from a Multicultural Perspective*

汪诗明 (Wang Shiming)

内容提要：计 8 卷 270 余万字的《多元文化视野下的大洋洲文学研究》是近年来我国大洋洲学界份量最重亦最具影响力的学术著作之一。这套丛书不仅研究视角独到、谋篇布局合理，而且在相当程度上做到了文史融合，体现了深刻的学理性。该套丛书的面世，不仅对于大洋洲文学界以及广泛意义上的大洋洲学界有显著的参鉴价值，对于当下正在推进的区域国别学科建设以及区域国别问题研究也有不可低估的启发意义。

关键词：多元文化主义；大洋洲文学；文本研究；文史融合

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Title: The Relationship between Literature and Historiography in Oceanian Studies: With a Discussion on the Four Major Features of *Studies of Oceanian Literature from a Multicultural Perspective*

Abstract: *Studies of Oceanian Literature from a Multicultural Perspective*, comprising 8 volumes and over 2.7 million words, is one of the most significant and influential academic works in the field of Oceanian studies in China in recent years. This series not only features a unique research perspective and a well-structured layout, but also achieves, to a considerable extent, an integration of literature and historiography, reflecting profound theoretical insight. The publication of this series holds obvious reference and guiding value for the study of Oceanian literary circle and Oceanian studies more broadly, and it also offers significant inspiration for the ongoing development of area and country studies as an academic discipline, as well as for research on related regional and national issues.

Keywords: multiculturalism; Oceanian literature; textual studies; integration of literature and history

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《多元文化视野下的大洋洲文学研究》（以下简称《研究》）是上海交通大学区域国别研究院院长彭青龙主持的国家社科基金重大项目的结项成果。这套计 8 卷 270 余万字的皇皇巨著从课题获准立项到如今的正式出版发行¹，历时八年有余，参与撰写的专家学者达数十位。该套丛书的问世，是大洋洲文学界乃至大洋洲学界值得关注的一件大事，对推动大洋洲文学研究乃至大洋洲研究迈上一个新台阶具有重要影响。一部著作的学术价值以及社会影响力通常是由其自身特点所决定的，而特点本身既生发于研究客体的特质与要求，又源于研究者本体的学养与研究偏好，更体现在与其他同类或相似著作的相较之中。《研究》具有以下四个显著特点，本文略作分析，以助广大读者对这套丛书的特点与价值有更进一步的认识。

一、视角独到

谈起大洋洲文学史，这方面的著作已经比较多了，从黄源深那一代甚至更早起，我国语言学界准确地说是英语学界就把大洋洲文学当作一个比较重要的研究领域。我虽然不研习文学，但对文学的兴趣始终未减，也零零星星地读过一些书，看过一些文学论文。给我的一个总体印象（也许是片面的或教条的）是：文学史著作基本上是以时间为线索，把不同时期较有代表性的文学作品纳入一定的主题或时间框架之内，然后进行文本分析。比较来看，由彭青龙任总主编、我国多位大洋洲研究领域资深专家领衔撰写的这套丛书，在充分汲取既有成果的基础上，将大洋洲文学纳入到多元文化视野之下来审视。这样的选择与安排可谓巧妙与精当。一是把文学概念嵌在文化或文明范畴之内。如果说文学是小概念，那么文化或文明则无疑是大概念，将小概念嵌入大概念之中，便于读者审视文学在文化或文明中的位置，同时自觉或不自觉地对文化或文明的内涵展开联想。二是把 20 世纪 70 年代作为一个重要的时间节点。20 世纪 70 年代是一个具有多维意义的时间概念。仅从政治、思想和文化的维度来看，多元文化主义在世界范围内的兴起和流播已成为一股潮流，单元文化主义随即湮没在历史的尘埃之中。多元文化主义一旦取代单元文化主义且成为一个社会的主导观念时，它所产生的影响将无处不在，对文学的影响尤甚。文学是一个对社会变化较为敏感的领域，现实是文学无法摆脱的“引力场”，是文学得以产生和被理解的基础；文学家们是对社会变

1 彭青龙总主编：《多元文化视野下的大洋洲文学研究》，北京：北京大学出版社，2025 年。

化最为敏感的群体之一，社会变化是他们创作的灵感之源。在这一新的理念感召、滋润和引领下的文学创作，定与 70 年代前单元文化主义时期的文学样态迥然有异。这些不同年代、不同题材、不同风格的作品，无论是基于对当下现实的观察与思考，还是对既往历史的回溯与反思，抑或对未来文学创作的规划与前瞻，其本身就是对多元文化主义理念的积极回应与吸收，也是多元文化主义成果的本真体现。通过这些作品，读者可以知晓 20 世纪 70 年代以来大洋洲多元文化主义这一理念的丰富内涵及其实践意义。正如本套丛书总论所言：

本课题并非要重新撰写一部大洋洲文学史，而是从理论和实践两个层面，考察 20 世纪 70 年代以来大洋洲多元文化思想及其在文学艺术中的呈现。前者以多元文化主义的兴起与传播、后殖民历史与文化、大洋洲多元文化格局、大洋洲多元文化关系、澳大利亚多元文化政策案例分析、多元一体多元文化理论思想、文明互鉴与文化交融共享的新文明观和新文化观为研究内容，从理论上建构和阐释多元文化思想的深刻内涵，后者以作品的审美价值和影响力为标准，选取五十多年（1970 年至今）澳大利亚、新西兰和太平洋诸岛各族群代表性作品为文本，分析和解读蕴含于文本之中的多元文化思想和艺术价值。两者之间既相互关联，又各有侧重，共同揭示大洋洲文学的丰富性和多样性，为其他国家和地区多元文化和文学发展提供有益借鉴。（《研究》1）

二、布局合理

一部佳作除了一个有意义的选题和独特的观察或研究视角外，其谋篇布局也是轻视不得的。谋篇布局或者说框架结构之所以重要，是因为它体现了三个方面的价值或作用：一是对于著作者来说，它能够将著作者的构思及创作意旨很好地呈现出来。如果说，作者的构思与创意是一种“无形的”意念，那么谋篇布局就是一种“有形的”呈现。二是对于读者来说，适宜的框架结构无疑提供了一条更为清晰、便捷的认知路径，便于读者与著作者之间进行一次感官愉悦和心灵契合的对话。三是从著作本身来看，谋篇布局是一种格局或者“形象”的存在。著作本身是一个知识体系的呈现。通过谋篇布局，零散的知识点得以串联起来，从而形成一个知识系统；将各部分的篇幅予以一定的比例分配，使之成为一个有机的统一整体。

这套丛书在谋篇布局方面做了精心策划，令人印象深刻。首先，卷期安排较为合理。《研究》分为理论综合卷（上下卷）、澳大利亚卷（上下卷）、新西兰卷（上下卷）和太平洋岛国与地区卷（上下卷），共计 8 卷。太平洋岛国或地区虽然数量较多，但是文学著作的产出较为有限，能够被中国学界所“感

知的”作品可能不丰，设定为两卷本应在情理之中。比较出人意料的是，《研究》安排了（理论综合卷），而且为上下两卷。我们知道，理论综合卷撰写的难度很大，不仅需要将澳大利亚、新西兰和太平洋岛国这三大块的文学或文化成果进行比较与综合，总结其异同，而且需要在一般理论层面将相关概念、原理进行阐释与提升，这不仅需要很大的勇气与足够的智慧，更需要不断的学术积累和持续的付出。毫不怀疑，这种安排是本套丛书的亮点之一。为何要做如此安排？在我看来，下述考量是其缘由。

（1）丛书主题的需要。“多元文化主义”显然是本套丛书的一个关键词。“多元文化主义”是一种管理社会多元文化性的公共政策，旨在推行不同文化之间的相互尊重和彼此包容，以促进社会和谐和文化多样性的发展。20世纪70年代，“多元文化主义”较为广泛地出现在美洲、大洋洲、欧洲等地，成为一种世界性现象。因此，“多元文化主义”需要从世界范围内来认识，需要进行历史钩沉和宏观叙事，而非仅仅局限于澳大利亚或新西兰或太平洋岛国或地区。

（2）多元文化主义需要从历史、政治、经济等视角去解读，而非仅限于文学或文学史视角。历史视角可以最大程度上“复现”多元文化主义孕育、产生和发展的背景及其动因，如英国在西南太平洋一带的殖民活动建构了当地的权力关系和种族等级制度，给这一地区带来了根深蒂固的种族不平等和系统性的历史创伤，推行多元文化主义在本质意义上就是纠正殖民历史的黑暗与不公；政治视角则意味着提倡和践行多元文化主义，需要在国家或民族认同方面采取切实举措，需要对少数民族尤其是原住民的文化身份、政治身份和社会身份予以确认与尊重，确保他们拥有管理国家的权力；经济视角则强调所有人拥有平等参与国家各项经济活动、分享国家资源与财富，以及取得同等报酬的权利。由上可见，多元文化主义需要多角度综合考察。

（3）“多元文化主义”的内涵极其丰富，且具有与时俱进的特点。起初，“多元文化主义”可以被视为一种思维，一种不同于“单元文化主义”的包容性思维；之后它就演变成一种社会思潮，在此阶段，它已被一部分人接受、关注并形成了各式各样较为系统的观点；再接下来就被应用于广泛的社会实践，称之为“多元文化主义”或“多元文化主义政策”；最后经过越来越多国家的实践与推广，多元文化主义理论随之生成。“多元文化主义”的上述流变需要学界对文明和文化的多样性、殖民化以及去殖民化路径、后殖民理论等进行回溯、阐释和反思。

（4）大洋洲多元文化需要比较视角。澳大利亚文学、新西兰文学、太平洋岛国与地区文学都是独自成卷，形成了各自的知识体系、研究体系和话语体系。当读者看到这三大块的文学著作时，大家对各自的多元文化主义及其成就都有一个较为直观和完整的认识，但对大洋洲地区的多元文化主义作为一个整体的认识却较为模糊。理论综合卷将这三大块的多元文化主义理论及

其实践置放在一起，为广大读者从整体上把握该地区多元文化主义的兴起、变迁及其特点提供了近水楼台之便。

其次，在具体节次的安排上可谓十分用心。以《研究》(澳大利亚卷(上))“第二节 战争与爱情的澳式书写——解读理查德·弗拉纳根的长篇小说《曲径通北》”为例。除正文和结语外，本文作者安排了“作家简介”和“引言”两个部分。“作家简介”和“引言”在其他文学作品解析中皆不乏见，但通常较简，尤其是“作家简介”部分，往往只是肯定了作家的地位，列举几部重要的著作或给予片言只语的内容说明。这套丛书的“作家简介”部分值得细嚼慢品，其内容不仅有学界或社会甚至著作者本人给予作家地位或影响力的评价，还有著述清单、作家生平主要事迹的介绍及其文学创作心路历程的描写，甚至还有一些“趣事”的呈现。在我看来，对一部文学作品的完整、系统和深入的探讨，应该包括对作家本人的研究。因为任何一部文学作品，既反映作家所生活的那个时代社会生活的方方面面，也是作家本人生活境遇和人生感悟的一种写照。研究作家本人，是对其作品展开研究的入门或第一步。抛开作家本人去品鉴其作品，往往只知其一不知其二、只知其表不知其里，可谓食而不知其味，睹而不识其容。而且，作家的创作是一个连续不断的过程，任何一部作品绝非孤立地存在，作品之间存在各种各样的关联。“作家简介”部分对作家不同时期创作的环境，尤其是政治、社会、人文环境的描写，对于读者了解作家的创作背景、创作动机或意图、创作状态等是十分必要的，甚至是不可缺少的。

三、文史融合

文史不分家，文史是一家。这个道理大家都懂，但在文学创作或历史著述中，能够真正做到的人可谓凤毛麟角。为何是这样？一个无需争辩的事实是，传统学科之间有着较为明确的界域，相互之间可望而不可及。大家都守着自己的“一亩三分地”，久而久之，文史不再是一家，文史分家了。¹学科之间这种“井水不犯河水”的局面不仅造成了知识的碎片化、知识系统的裂解，也可能出现片面认识甚至舛误的现象。

质言之，文学与史学是两门相互成就、相辅相成、相得益彰的学科。史学注重史料的真实性和客观性，以探讨事物或现象之间的因果联系以及总结历史演进规律为己任；文学则主要直面现实，并以细腻的分析、充溢情感的抒写以及灵动活脱的语言呈现见长。在知识相互融合、公众对知识需求多元以及对阅读体验感有一定要求的情况下，无论是史学作品还是文学作品，它们在坚守各自学科特色的前提下，也要放下一些“身段”，彼此靠近对方，借

1 参见钱乘旦：“以学科建设为纲 推进我国区域国别研究”，《大学与学科》4（2021）：82-86；汪诗明：“区域与国别研究中的几个问题——区域国别学语境下的考察”，《学术界》2（2023）：207-208。

鉴或汲取对方的一些优长，补己之短，成己之美。历史不仅关涉事件的发生，更与人的经历与感受不可割舍。因此，历史作品不仅要讲“硬道理”“大道理”，也要讲“软道理”“小道理”，要有“人情味”。在这个意义上，一部好的历史著作往往是一部优秀的文学著作。同理，脱离历史背景的文学研究，容易陷入文本的“空中楼阁”，或难以摆脱庸俗、虚饰、矫情的文字游戏。史学的融入，为文学创作提供了坚实的语境。同理，一部好的文学作品本身往往折射出著作者所处的时代背景、思想潮流、主流价值观、社会流俗等，是史学研究不可疏离的文献来源。

学术交流是推进学术水平提升的一条重要路径。2018年，我们创办了大洋洲研究高层论坛。该论坛已成为大洋洲研究领域跨学科学术交流的一个机制性平台。¹2021年，区域国别学成为一级学科，历史学、文学、经济学和政治学成为这一学科的支撑学科。换句话说，区域国别学就是一门交叉学科或多学科的融合。大家可能对区域国别学有一种僵化的认识，即区域国别学提倡跨学科研究。其实，这种认识并不完全正确。区域国别学不是提倡跨学科研究，而是明确或重申跨学科研究是区域国别学的重要属性，否则这门学科就不可能存在，也没有存在的必要。毫无疑问，区域国别学为大洋洲研究提供了一种新思路、新视野和新议题。与传统文学著作不同的是，《研究》有意识地在不同学科之间尤其是文学与史学之间进行嫁接、交叉和融合，比如《研究》（新西兰卷（上））。该卷的第一章题为“当代新西兰社会的多元化进程”。该章下辖四节：第一节是毛利激进主义的生成与新西兰社会的双元化进程；第二节是新移民的到来与新西兰社会的多元化进程；第三节是少数群体的觉醒与新西兰社会的多元化进程。不难看出，无论从时间概念还是从议题逻辑上看，这都是一个历史研究范式。从对具体问题的探讨来看，作者也是遵循历史研究的思路或流程，先从背景或动因的分析入手，再以时间变迁为线索，选择特定年代具有重要影响的事件予以条分缕析。单从章节的标题来看，读者很难把它与文学著作书写范式联系起来。以前的文学著作如澳大利亚文学或新西兰文学著作中，在对特定的文学形式或文学作品展开解析前，也有对作品问世的背景或动因做适当的介绍或铺垫，既有史学的形式，也有史学的相关内容，但坦率地说，那是一种较为机械、被动或象征性的安排，内容也相对简单，并没有把史学与文学有机地融合在一起。这套丛书在把史学糅进文学方面是费了很大气力的，相信这会成为未来大洋洲文学研究的主流范式之一。

四、学理为上

学术研究贵在创新。没有创新的学术研究是没有任何意义的，也是对学术研究本身的不尊重。学术创新有大小之分，有很多种维度或层次。今天的大洋洲文学研究是建立在前人研究的基础之上。对于这样一个呈现接续特

1 参见汪诗明：“区域与国别视阈下的大洋洲研究”，《俄罗斯研究》2（2022）：44-45。

征的研究领域，读者既不能苛求它在研究范式或研究主题上有一个革命性变化，因为那是有违学术演进规律的。当然，研究者也不能存在畏难情绪和平庸心理，而是要有一种社会责任感，要把推动学术进步视为己任。无疑，学理提升是推动学术进步的动力，也是学术进步的表征。因为学理研究是构建系统性、逻辑性知识大厦的基石。它将零散的经验 and 观察，整合成一套自洽的理论体系和认知体系，使读者能够更清晰、更深刻地理解世界。此外，人类的知识边界需要不断拓展，而学理研究在其本质上就是不断挑战已有认知极限，并且开辟新的认知疆域。

传统的文学史著作往往偏重于罗列不同时期较有影响的文学作品，然后进行文本分析，其间穿插对一些文学流派及其历史影响的揭示。给读者的感觉是，不同的作品只是名称不同而已，并无本质性区分。比较来看，《研究》却把学理追寻与提升置于一个较为显著的位置。首先，史学与文学的有机结合，在一定程度上确保了这套丛书有较高的学术站位。前有所述，史学与文学具有不同的研究范式和学术追求。史学与文学研究的结合或交叉，不仅丰富了文学研究的细节、内涵，也为文学研究作为历史映像的一种再现工具奠定了必要的以及可以信赖的基础。其次，反思或追问意识的跟进或渗透，使得这套丛书对相关主题的研究已超越文学文本研究本身。一般而言，对文学文本的本位解读与分析并不困难；难的是发现文本所蕴含或传导的信息，并予以整合和提炼，再以这些信息为基础或线索，来揭示文学作品所记载的那个特定时期的文化或文明的价值取向、民族身份或国家身份的形塑与再造过程。于是，反思或追问就成为一种必要的研究手段。反思或追问，不仅是对研究者本人提出的要求，也是与研究对象建立联系的一种有效方式。这就是学术研究中的问题意识。问题意识不是无病呻吟，更不是闭目塞听式的自我发问或了无价值的“炒冷饭”，而是在一种混沌不明的表象中，敏锐地捕捉到核心矛盾、深层困惑或未被发现的隐秘联系，并赋予其探索价值的的能力。众所周知，澳大利亚曾是英国的殖民地、自治领以及现在的英联邦国家。这种历史经历使得澳大利亚的国家身份建构不仅成为一个政治议题，也是一个学术命题。不同的学科如政治学、历史学基于各自的学科原理以及历史与现实的关联性，对此进行了学科式的叩问，并给出了相应的解答。那么文学将在其中扮演何种角色？如果说政治学考察的是国家的政治体制及其运作方式，关注社会精英在国家发展中的角色，历史学是从历史变迁的视角，将历史与现实或现实与历史串联起来，寻觅二者之间内在的逻辑关联以及历史演进规律，那么文学则注重对日常生活中的人和事的观察，意在凸显被政治学和历史学所忽视的微观、个体、底层光谱。殊不知，这些微观、个体、底层才是一个社会或国家建构的基础。不同的个体有不同的生活方式、工作方式和不同的社会感受，但他们并不是毫无共性的存在。这就是不同形式或种类、不同风格、不同主题的文学作品所反映或追求的内容。比如《研究》（澳大利

亚卷（上））中的“第二章：在多种历史文化记忆中追问澳大利亚身份”以及“第三章：在多元文化社会关系中解构与建构澳大利亚”就体现了上述学术追求或学术使命。

结语

上述特点的揭示与阐释只是本人的一孔之见，至于对错如何，在我看来，似乎不那么重要了。重要的是，当然也是我的一个期待，就是它们可以让读者们在阅读、评介这套丛书时多一些思路或参照。常言道，兼听则明，偏听则暗。必须说明的是，所谓的特点的总结和分析与评论人的专业背景、学术阅历及其素养等因素密切相关。循着这种思路，作为学术评介的一个闭环，这套丛书的不足或有待提升的地方应予以指出。首先，学理提炼或理论提升仍有不小的空间。本套丛书中出现的一些概念或理论如殖民化、非殖民化、后殖民化、种族歧视、种族和解、文明、多元文化主义等，并非文学专属，而是有着相当深刻的时代背景和非常广泛的学科语境。丛书的著作者们均是文学专业出身，这就使得他（她）们在对相关概念的厘定、相关理论的释义与提升方面面临不少困阻；尽管在对概念的厘定或理论的阐释上也使用了一定的跨学科知识，但囿于专业背景和学术惯习，文学的印记还是较为显明的。这就有力说明：一方面学理提炼或理论提升一直在路上，永无止境；另一方面充分的跨学科知识是学理提炼或理论提升的不二法门。其次，文史结合还需要进一步推进。这套丛书在文史融合方面是有口碑之誉的，前文已予以充分肯定，但有些文本的解析在此方面并没有达到读者的预期。我们注意到，大洋洲文学史上一些有重要影响的作品，大都是以一些具有重要影响的历史事件为创作素材或背景的，比如澳大利亚历史上的“被偷的一代”、新西兰的《怀唐伊条约》等。对历史事件的溯源、对历史进程的演绎、对历史真相的揭示、对历史影响或后果的剖析等等，这些都是历史学的职能所在，也是其擅长之处。尽管国内大洋洲史学研究起步较晚，研究水准不及国内的欧美史学，但上述重要事件还是受到了一定的关注¹，文学界同仁完全可以采取“拿来主义”，为己所用。然而，稍感遗憾的是，一些文学作品在分析这些事件时，并没有参鉴相关史学成果。这一现象说明，文史融合以及跨学科研究需要著作者有自觉的意识，需要有多学科专业知识的滋养，需要宽广的学术视野以及经常性的跨学科交流。

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《21 世纪美国小说的城市化表征》：开创美国文学研究新范式

Approaching the Features of Urbanization in 21st-Century American Fiction: A New Research Paradigm of American Literature

王薇 (Wang Wei)

内容摘要：杨金才等学者合著的《21 世纪美国小说的城市化表征》是国内首部系统探讨 21 世纪美国文学与城市文化交互关系的力作。该著作以四十余部 21 世纪美国小说代表作品为核心案例，系统勾勒文学与城市双重建构进程，总体上体现出从文学文本解读阐释，到中国自主知识体系生产，再到文学批评介入城市发展与治理进程的鲜明特色。在研究方法层面，该书具有示范性，不仅彰显了美国文学研究的中国视角，而且开创了新的研究范式。在跨学科层面，该书将城市研究融入文学研究，从社会学、地理学等角度探究文学叙事承载的城市治理问题。在伦理介入层面，该书把文学研究的审美观照与公共伦理阐释有机融为一体，强调文学不仅描写城市，而且直接参与城市化表征。该著作拓展了文学研究的疆界，既深化文本阐释，又揭示城市化表征所内蕴的伦理价值取向。

关键词：《21 世纪美国小说的城市化表征》；杨金才；文本阐释；中国自主知识体系；城市发展治理进程

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Title: *Approaching the Features of Urbanization in 21st-Century American Fiction: A New Research Paradigm of American Literature*

Abstract: *Approaching the Features of Urbanization in 21st-Century American Fiction* (2026), coauthored by Yang Jincai and other scholars, is a pioneering Chinese study to systematically explore the interplay between contemporary American literature and its urban culture in the 21st century. Focusing on more than 40 representative 21st-century U.S. novels, the book maps a dual process in which literature and the city mutually construct one another. The work is distinguished by its clear trajectory: it moves from literary-textual interpretation to the production of an indigenous Chinese intellectual system, and finally to the intervention of

literary criticism in urban development and governance. Methodologically, it sets an exemplary model that not only foregrounds a Chinese perspective on American literature but also inaugurates a new research paradigm. Interdisciplinarily, it integrates urban studies into literary inquiry, examining how literary narratives bear the problems of urban governance through sociological and geographical lenses. Ethically, it fuses the aesthetic gaze of literary study with public-ethical interpretation, insisting that literature does not merely depict the city but actively participates in the representation of urbanization. In so doing, the book expands the frontiers of literary scholarship and reveals the ethical values embedded in the representations of urbanization.

Keywords: *Approaching the Features of Urbanization in 21st-Century American Fiction*; Yang Jincai; literary interpretation; Chinese intellectual system; the process of urban development and governance

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城市是人类为谋求良好生活而建造的场所以，正如利罕（Richard Lehan）在《文学中的城市》（*The City in Literature*, 1983）中指出，“城市是都市生活加之于文学形式和文学形式加之于都市生活的持续不断的双重建构”（216）。就文学与城市双重建构视角下的当代美国文学研究来看，国内外学界关于美国文学中城市书写的研究范围较广¹，然而超出个别文本范围、超越文学本体特性，将 21 世纪美国小说作为整体研究对象进行跨学科、综合性的研究成果仍较为匮乏。2017 年，杨金才团队获批国家社科基金重点项目“新世纪美国小说的城市化表征研究”，立项以来研究成果迭出，多篇阶段性成果聚焦 21 世纪美国小说代表作品的城市书写主题特征、美学样貌与时代价值。2026 年，杨金才团队推出集大成之作《21 世纪美国小说的城市化表征》（下简称《城市化表征》），融合文学批评、空间理论、文化研究、生态批评、伦理介入等跨学科视野，深入剖析了四十余部 21 世纪美国小说代表作中的城市书写，是国内首部系统探讨 21 世纪美国文学与城市文化交互关系的力作。纵览全书，该

1 参见 David Minter, “A Cultural History of the Modern American Novel,” *The Cambridge History of American Literature* Vol.6, edited by Sacvan Bercovitch, New York: Cambridge University Press, 2002, 3-101; Markku Salmela, “Merging Naturalism and the Unreal: An Approach to America’s Literary Cities,” *The Palgrave Handbook of Literature and the City*, edited by Jeremy Tambling, London: Palgrave Macmillan, 2016, 283-300; 蒋怡：“从城市空间到赛博空间：论《血尖》中的空间书写与技术政治”，《外国文学》5（2018）：127-137；荆兴梅：“历史、城市和共同体书写——21 世纪美国族裔文学研究”，《广东社会科学》1（2023）：179-187；张媛：“转身中的保罗·奥斯特城市景观书写嬗变”，《外语教学》3（2016）：80-83。

著作对 21 世纪美国小说的城市化表征体系和演变特征进行了系统性、创新性梳理和剖析，凸显了中国学术话语风格与学术价值。

一、整体把握，归纳美国文学城市书写新特征

“21 世纪的外国文学是时代的产物，在一定程度上应和了‘大变局’时代，其文学的主题内涵、变迁与时代化阐释紧密地结合在一起”（杨金才，“论外国文学研究的中国视角”144）。《城市化表征》正是直观展现“大变局”时代美国研究的典型案例，深入探讨了新世纪美国文学中有关广告消费、都市体验、伦理困境、身份危机、种族矛盾、工业废墟、气候变暖等城市化议题，并将 21 世纪美国小说中的城市书写置于都市空间、都市心理、都市情感、都市流动等多个研究领域中进行跨学科研究。《城市化表征》主要在以下四个方面颇具特色。

其一，《城市化表征》对美国主要城市的文学版图进行了全方位观照，绘制了“文学-城市”双向建构的当代美国文学地图。全书论及文学作品中的美国城市既有东部大都市纽约、费城，也有西部洛杉矶、旧金山，还包括底特律、匹兹堡、芝加哥等中部城市。该著作不仅对不同城市做出比较阐释，还深入城市具体内部街区，如通过曼哈顿、非裔聚居区哈莱姆、东哈莱姆以及奥斯特（Paul Auster）笔下完美城市街区布鲁克林等纽约不同街区的对比分析，揭示城市变迁与作家价值取向之间的紧密联系，全面展现了新世纪美国作家们“透过城市‘更美好’的表象，敏感地捕捉生活的瞬间，看到繁华、便捷背后的不可控因素，展现了当代人迷失、衰败和无奈的情形”（杨金才，“关于 21 世纪外国文学发展趋势研究的几点认识”163）。

其二，该著作旧题新解，敏锐把握美国城市议题的 21 世纪新形态，内容涉及资本与权力的空间合谋、种族与阶级的区隔分化、后工业转型中的身份焦虑、生态危机下的都市未来等具体议题。该著作对美国梦、城市危机、城市日常体验等旧有话题进行新阐释，从而实现了城市书写旧题新解。例如，论及美国梦这一美国文学研究中的典型旧题，该著作不再重复幻灭老调，而是以去工业化等城市发展进程现象为切入点，把去工业化细分为“工厂废墟化-社区空心化-新穷人身份焦虑”等不同阶段，综合运用《特纳之屋》（*The Turner House*, 2015）等新世纪美国文学文本凸显美国梦碎新特征。第四章详述《美国铁锈》（*American Rust*, 2010）中的城镇去工业化和新穷人现象，深刻剖析了去工业化引起的城市收缩、新穷人的阶级焦虑等美国中西部城市发展历程中由盛而衰的社会现象。

其三，该著作对美国文学中的城市化表征进行社会反思，将文学表征议题纳入城市治理进程。《城市化表征》综合运用当代社会文化理论、城市研究理论、消费理论等跨学科理论资源探讨城市中的文学，为文学研究介入生活、介入社会、介入文化提供了具有中国视角的研究样例。新世纪以来，美

国性统一标尺不复存在，美国城市不再趋同。个体与城市在愈加深度互动中更加凸显人城共存，后现代的城市生活加剧了移民流动、阶层流动、社会结构流动，更为显著地呈现出都市世界主义特点。该著作紧扣新世纪城市新变，在阐释新世纪美国小说的城市化表征中立足未来面向，从城市风貌、城市日常生活书写等多角度对 21 世纪美国小说的城市未来想象进行专门论述。

其四，该著作以中国视角示范外国文学研究自主知识体系的生成路径，对推动中国外国文学研究的自主知识体系建构具有开拓意义。外国文学研究的中国视角，指的是“以中国语境、视野、立场、观点为棱镜，了解、熟悉国际学术前沿，寻找美国学术的盲点，让美国同行换一种视角去看待自己的文学与文化”（杨金才，“论外国文学研究的中国视角”144）。该著作示范了中国视角下的美国文学研究并非立场标签，而是一套行之有效的批评实践。例如，第十四章论及美国气候小说中对中国城市的文学想象，并在此基础上批判性剖析了美国文学中有关中国城市想象书写的美国思维：“美国作家关于中国城市的书写服务于作品主题和作家价值观传达的需要，在某种程度上成为美国透视自身的一面镜子。美国作家对中国城市的想象具有明显的刻板化和符号化特征，美国气候小说中的中国城市是典型的他者形象”（320-321）¹。

二、理论跨域，开拓跨学科外国文学研究疆界

《城市化表征》通过对新世纪美国小说的综合考量，全景勾勒出 21 世纪美国城市的文学地图，揭示作家们对跨国流动、去工业化、城镇绅士化等诸多城市新问题的当下关切。就理论创新的角度来看，该著作结合具体研究对象，实现对跨学科理论的融通、拓展与创新。

该著作凸显理论开拓创新特点的一个例证是将“漫游者”升级为“赛博漫游者”（151）“气候难民漫游者”（315）。具体来看，该书将“漫游者”这一学界惯常解读城市空间的重要意象置于 19 世纪以来的理论谱系之中，重点论述 21 世纪美国作家赋予“漫游者”的新时代面孔。波德莱尔（Charles Pierre Baudelaire）诗歌中的城市漫游者，着重体现的是具有现代主义倾向的“孤独的艺术家的形象”，本雅明（Walter Benjamin）则赋予城市漫游者“英雄般的现代性审视之责”（239），而塞托（Michel de Certeau）将漫游者转变为“行走者”，将漫游视为“无权的人在权力机制下进行的日常行为”（Jenks 156）。在第十一章，著作着重分析了美国非裔小说家怀特黑德（Colson Whitehead）的《纽约巨像》（*The Colossus of New York*, 2004）中“对城市怀有休戚与共感与爱怜之意”的新时代的漫游者，将其特征概括为“个体情动体验以及个体与城市的深度互动”（240）。此外，第七章专门论述品钦（Thomas

1 本文有关《21 世纪美国小说的城市化表征》的引文均出自杨金才等：《21 世纪美国小说的城市化表征》（上海：上海外语教育出版社，2026 年），以下仅标注页码，不再一一说明。

Pynchon) 小说《致命尖端》(*Bleeding Edge*, 2013) 中新时代“赛博漫游者”的新面貌。赛博漫游者游走于技术仿真的虚拟世界,“景观的堆叠和泛滥成为赛博漫游者眼中后都市的显著特色”(153)。

此外,该著作凸显了外国文学研究在文本批判领域的伦理升级,创新性地挖掘 21 世纪美国小说以危机去事件化和灾难日常化的文本特征,批判性阐发了后都市的高风险性和跨越灾难的伦理诉求和道德责任,从而把叙事伦理从灾难见证推进到风险常态化的伦理判断。具体来看,著者在论述《特纳之屋》《致命尖端》等代表性小说时,尤为关注 21 世纪发生的“9·11”恐怖袭击事件等危机事件在城市书写中的不同表征样式。例如,《特纳之屋》中论及“9·11”恐怖袭击事件发生之时由于全美社会心态“从内心情感到逻辑思辨,都无法再完全冷静克制”(155)而引发的种族对峙升级。然而,在后危机城市重建进程中,《致命尖端》则体现了品钦在其营造的虚拟城市游戏中“故意弱化了这场灾难的事件性,将它表征为一场近乎无事件性的灾难。品钦在叙事中将“9·11”恐怖袭击事件与日常生活演绎为既是断裂又是延续的关系,由此强调了后都市生活的高风险性”(155)。

三、视野跨界,挖掘文学的城市治理应用价值

正如杨金才早在进行研究设想时就指出,“考察和研究新世纪美国小说的城市化表征不再是单一的审美行为,而是在领悟和阐发文学意蕴的同时提供了一种警示和价值评判”(“关于新世纪美国小说城市书写研究的设想”³¹)。《城市化表征》一书挖掘文学介入现实的社会价值,从历史纵向与交叉横向两个维度,将文学视为参与现实批判与文化重构的能动力量,揭示小说如何通过叙事实验与形象塑造,介入对城市治理进程的反思。

在历史纵向维度,《城市化表征》打通美国城市书写通史,将当下“大变局”时代的美国城市书写置于深厚的历史语境中,使 21 世纪成为美国城市发展史中的一个断代节点。在“绪论”中,著者详尽梳理了 17 世纪殖民地时期美国文学中的“山巅之城”城市想象、18 世纪城市书写由外而内转化的都市感觉、19 世纪犯罪和侦探小说与城市揭丑体裁及边疆城市书写的涌现、20 世纪中西部崛起城市书写及“美国梦”幻灭背景下的城市书写等美国文学城市书写历史,并将 21 世纪视作“既是城市发展的成熟期,又是可能走向衰落的岔路口”(12),全书更为详尽地将 21 世纪纽约后都市特征与监狱城市的新面貌、铁锈带城市群的衰败书写等新世纪美国城市化文学表征新样态进行有机串联,有效揭示了“文学中的城市”的发展变化机制。可见,“文学中的城市”既是对城市发展历程的直接展现,又是具有先见性的文学预言。

在交叉横向维度,该著作将新世纪城市书写置于跨国、跨城、跨城乡等交叉视野中,对城市化表征进行比较研究。与城市书写有所不同,城市化表征更加凸显了在城乡变化过程中人口、经济、社会、空间结构、情感结构、文

化结构等城市多方面的综合变革。因此,《城市化表征》一书从乡村城市化和城市乡村化等双向角度综合论述 21 世纪美国小说城市化表征的复杂叙事特征与文化警示意义。例如,第五章论述小说《不设防的城市》(*Open City*, 2011)中身陷都市世界主义、体验“围困与入侵”的新时代移民;第十章认为弗兰岑(Jonathan Franzen)的小说从城乡文化差异的角度展现身在法国巴黎的美国跨国旅行者成为“沉默的变色龙”;第十二章探讨西语裔美国小说城市书写中古巴裔移民在美国和母国古巴间不断往返的跨国者。诸多文本案例皆在局内人与局外人双重视角之间切换观察角度,以流动体验方式,将 21 世纪美国文学中城市化表征归纳为多维度的特征。通过多文本横向比较,作者以敏锐的学术洞察力突破了以个体身份为阐释要点的窠臼,转而强调历史文化语境与当代社会文化理论视角的有机结合,从宏观角度系统揭示了危机时代城市化表征的总体面貌。

此外,该著作在文学研究中充分吸纳城市政策、生态数据、消费行为等跨学科资源的交叉互证,示范文学凸显城市治理理想想象力的新文科方向。例如,该著作梳理 21 世纪美国小说对未来城市的构想书写,在第七章设想后都市小说中对回归家庭、网络世界等领域制造相遇空间;第八章构建衰落后将在“灰烬中崛起”的底特律;第十一章想象后末日叙事中对危机后城市重建的当代都市样本纽约曼哈顿;第十四章虚构气候小说中新生态异域都市(如中国城市酒泉等)。以上案例均凸显了新世纪文学打造都市文化愿景的多样方式,作者不仅解析文本中的城市表征,更将文学视为参与现实批判与文化重构的能动力量,揭示小说如何通过叙事实验与形象塑造,介入对城市化进程的反思与想象,进一步体现了文学与城市的双向建构。

总体而言,《城市化表征》一书体现出从文学文本解读阐释,到中国自主知识体系生产,再到文学批评介入城市发展与治理进程的鲜明特色。在研究方法层面,该书具有示范性,不仅彰显了美国文学研究的中国视角,而且开创了新的研究范式。在跨学科层面,该书将城市研究融入文学研究,从社会学、地理学等角度探究文学叙事承载的城市治理问题。在伦理介入层面,该书把文学研究的审美观照与公共伦理阐释有机融为一体,强调文学不仅描写城市,而且直接参与城市化表征。综上,该著作拓展了文学研究的疆界,既深化文本阐释,又揭示城市化表征所内蕴的伦理价值取向。

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文学研究跨学科方法的教学实践：评《文学跨学科研究方法导论》

Interdisciplinary Literary Studies in Teaching: A Review of *Introduction to Interdisciplinary Research Methods in Literature*

吴水燕 (Wu Shuiyan) 王 静 (Wang Jing)

内容摘要：《文学跨学科研究方法导论》以跨学科研究为核心路径，系统探讨文学与语言学、地理学、历史学、电影学、新闻学等学科的互动与融合，并展示相应的方法论框架。全书立足外国文学跨学科研究的前沿成果，强调以学术研究反哺教学实践，积极呼应“新文科”建设的时代要求。通过梳理文学与其他学科的互涉关系，结合丰富的理论资源与研究案例，《导论》构建出操作性强的文学跨学科研究方法论，旨在启发学生开展更为深入的跨学科思考。无论从教材编纂还是学术探索的角度，该书均具有重要的参考价值。

关键词：《文学跨学科研究方法导论》；文学研究；跨学科；文学教学；新文科

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Title: Interdisciplinary Literary Studies in Teaching: A Review of *Introduction to Interdisciplinary Research Methods in Literature*

Abstract: *Introduction to Interdisciplinary Research Methods in Literature* focuses on interdisciplinary research methods, offering a systematic exploration of the interactions between literary studies and other disciplines, including linguistics, geography, history, film studies, and journalism. Drawing on recent interdisciplinary scholarship, the book emphasizes its application to pedagogical practice, responding to contemporary challenges in literary and humanities education within the context of the “New Liberal Arts” construction in China. By integrating a wide range of literary theories with representative case studies, the volume develops a highly operational methodological framework for interdisciplinary literary research. It aims to inspire students to engage in further interdisciplinary thinking. As such, the book holds important reference value for both textbook compilation and scholarly explo-

ration.

Keywords: *Introduction to Interdisciplinary Research Methods in Literature*; literary studies; interdisciplinarity; teaching of literature; New Liberal Arts

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跨学科研究是打破单一学科的藩篱、融合不同学科知识,从而产生“新的知识体系和认知体系”(聂珍钊等 89)的过程,能够为学科体系、学术体系、话语体系的建设和创新注入活力。“跨学科”(interdisciplinary)这一术语肇始于20世纪,朱莉·汤普森·克莱恩(Julie Thompson Klein)在梳理其概念演变¹时指出,跨学科研究本质上是一种“边界工作”²(Klein, *Crossing Boundaries* 57),其旨趣在于“唤起一种知识整合的共识”(Klein, *Interdisciplinarity* 11)。克莱恩的跨学科观为理解文学研究中的学科交叉与融合提供了重要启示。文学文本既是语言实践,又承载着特定的社会和历史经验,其阐释过程不可避免地涉及历史学、地理学、语言学与伦理学等学科。文学与其他学科在考察对象和文化功能等方面具有的“邻里性”(Klein, *Crossing Boundaries* 151),使文学跨学科对话成为可能。在高等教育层面,“新文科”建设对哲学社会科学的人才培养体系提出新的要求,积极地“识变、应变、求变”(吴岩 5)是实现文科教育深刻变革的关键。《文学跨学科研究方法导论》(以下简称《导论》)³的出版应和了上述趋势。该书以外国文学理论为基础,依托语言学、新闻学、地理学、电影学、历史学等人文社会科学领域的理论,探索了文学批评的跨学科方法及其在文学教学中的具体运用,为文学课堂带来创新与活力。

一、视域融合：文学跨学科研究的双向对话

《导论》立足于当代文学研究日益拓宽的跨学科视野,较为系统地整合并呈现了这一领域的多种研究方法。正如主编在“序言”中指出:“原则上文学研究可以与任意其他学科交叉”(2),该书的编排与撰写正体现了这种开放而对话的学术立场。参与撰稿的学者依托各自长期深耕的研究领域,将

1 参见 Julie Thompson Klein, *Interdisciplinarity: history, theory, and practice*, Detroit: Wayne State University Press, 1990, 17-39.

2 凡未特殊注明,引文均出自笔者拙译。

3 本文有关《文学跨学科研究方法导论》的引文均来自赵佳编:《文学跨学科研究方法导论》(杭州:浙江大学出版社,2024年)。以下引文仅标注页码,不再一一说明。

理论探讨与具体文本阐释有机融合，展开了学科交叉实践。不同于多学科（*multidisciplinary*）或超学科（*transdisciplinary*）研究，跨学科研究更强调学科之间的双向互动与相互渗透，是建立在“学科间性”（蒋承勇 69）基础上的对话。这种双向互涉也是《导论》全书各讲展开方法论研究时一以贯之的理念。

文学跨学科研究通过学科间的双向互涉拓宽了文学的边界。作品概念的革新往往并非源于学科内部的自我演进，而是来自“同传统上与之有别的学科之间的相遇”（Barthes 69）。《导论》首先揭示了其他学科对文学话语的影响，其落脚点是文学性本身。例如，在文学与语言学的交叉研究中，编者通过文体学、符号学、话语分析与语料库方法，用语言学理论剖析文学话语，重塑叙述视角、情态表达与语篇组织等层面的分析框架，从而让文学形式与意义生成的分析变得更精确、更深入。在文学与地理学的研究中，编者着重揭示了文学话语的“空间特性”（117），指出文学如何通过文本结构、叙事视角与语言节奏，在形式上模拟并重现地理空间，从而使读者在阅读过程中产生空间沉浸感和环境临场感。文学与电影的跨学科研究同样指向文学自身的重塑过程，即电影的视角、时间观念与影像语言不断渗入文学创作之中，使小说等叙事文本呈现出以碎片化、非线性时间与感知流动为特征的“电影感”。概而言之，其他学科的视角与方法在文学内部的引入与转化，推动了文学表达方式与叙事形态的更新，催生了新的文学话语和类型，也进一步拓宽了文学批评的视角。

此外，创作者若兼有双重身份，其文学风格常会体现出明显的跨学科融合特征。《导论》通过对具有双重身份的作家的梳理，展示了职业背景如何深度介入文学风格的塑造。在文学与新闻学的交叉研究语境中，海明威（Ernest Miller Hemingway）、杰克敦（Jack London）和阿尔伯特·伦敦（Albert Londres）便是这一现象的典型案例。他们既是作家又曾是记者，新闻报道和文学写作在其作品中形成了密切的交织，共同锻造了他们的语言风格。书写的性别特征进一步丰富了融合性的写作风格。《导论》以杜拉斯（Marguerite Duras）和科莱特（Sidonie-Gabrielle Colette）这两位女性作家兼记者为例，指出女性作家兼记者群体在行文中更注重情感表达，其文字往往呈现出“充沛的情感、抒情和诗意”（76）的鲜明特征。在文学与历史学的跨学科研究中，双重身份的影响同样显而易见。例如法国作家罗曼·罗兰（Romain Rolland）在转向文学创作之前曾是历史教师，因此其小说中保留着明显的历史叙述印记。“尽管文学的方式与历史学科不同，但二者却是互补的，历史学家与小说家一样，有着把世界纳入叙述的雄心”（235）。

在呈现文学如何从其他人文学科中汲取方法与视角的同时，《导论》也将分析重心延伸至其他学科内部，考察文学在这些学科中的功能与地位，从而完整勾勒出文学与其他人文学科之间的双向互涉关系。例如，《导论》指

出语言学源自语文学传统，而在文体学、话语分析和语料库研究等分支中，文学文本长期以来一直是重要的研究材料。在电影研究中，对文学的参照几乎贯穿电影诞生与发展的全过程，而改编自始至终都是文学与电影关系的直观体现。¹从体裁上看，小说与戏剧是电影改编的主要文学素材，深刻影响了电影的叙事结构与人物塑造方式。在地理学领域，乡土文学、城市文学、游记等文学作品因其对特定地区地理现象、社会结构与社会变迁的再现而具有一定的史料价值。编者将这一特性称为文学的“见证功能”（108），并指出它可为地理学研究提供参考与借鉴。《导论》还讨论了历史学家对小说的广泛引用，指出小说作为“过去形象”的重要提供者，参与建构了关于若干历史主题的共同想象。在历史研究中引入小说中的信息，有助于强化叙述的表现力，“使陈述更具分量，更形象，从而建构了历史诗学”（192）。

当然，作为一种想象力的艺术，文学的虚构性和主观性不可避免地使其对其他学科研究提供的参考作用显得含混不清。《导论》围绕文学再现的人物、话语与历史情境的可信性、可参考程度，辨析了文学在不同学科中被审慎运用的具体路径。例如，在历史学中，研究重在考证，强调通过将小说中的社会风俗描写与档案资料相对照，以检验事件发生的可能性。而在地理学中，重点则转向阐释，侧重于通过文学文本来把握地方的内在“个性”与深层社会结构。因此，尽管文学在事实层面的不确定性为跨学科引用带来了一定挑战，但这种多维视角也为学术研究提供了独特补充，显示出文学在跨学科研究中不可忽视的价值。

文学之于其他人文学科参考作用不仅体现为正向推动，还表现为一种逆向反推力，这一点尤其可以从文学对历史学的挑战中得到佐证。一方面，文学通过补充历史、对过去提出假设和阐释、质疑历史学家等方式书写历史，迫使历史学家去正视那些被遗忘，甚至被忽略的历史细节。另一方面，当小说家书写的历史涉及重大集体记忆题材，或者对主流的历史观形成冲击时，会引发历史学家的争论，这些论战又反过来影响后者的研究课题，引导他们去思考与涉足新的历史问题。²例如，法国历史学家乔治·杜比（Georges Duby）晚期的一些研究课题便是这一逆向推动力的例证。由此可见，文学所提供的独特叙事视角与问题意识，尤其对历史学研究构成了挑战与反推力。这种互动不仅构成了跨学科研究的一个前提，更在动态的互构过程中，不断拓展并重塑着相关学科的认识边界。

从全书结构来看，《导论》中的文学跨学科实践呈现出清晰而分化的互涉模式。文学与语言学的交叉聚焦于工具与方法层面，侧重于利用文体学、符号学及语料库等工具，对文学文本的微观构造进行精密剖析；文学与新闻学、电影学的互涉则展开于话语与叙事层面，围绕叙述、视角、时间与媒介形式，建

1 参见 赵佳编：《文学跨学科研究方法导论》，杭州：浙江大学出版社，2024年，第128页。

2 参见 赵佳编：《文学跨学科研究方法导论》，杭州：浙江大学出版社，2024年，第226-232页。

构起文学与其他话语体系之间的转换机制；文学与地理学、历史学的互涉则更趋向本体论与认识论层面，在虚构与真实的张力中考察文学对现实世界的见证与重构。

二、以研促教：跨学科方法的教学转化路径

作为一部“面向高校文学专业的师生及文学研究者”（1）的教材，《导论》的价值并不止于系统呈现文学跨学科研究成果，还在于探索如何将文学批评的跨学科方法有效运用于教学实践。围绕这一目标，《导论》通过对理论前提的系统阐释、对具体案例的深入解析，以及对课后思辨环节的设计这三个方面，引导学习者在文学与其他学科的双重视域中拓展跨学科批评视野，提升文学分析能力。在这一意义上，《导论》与新文科建设中关于“促进文科融合化”（樊丽明 5）的倡议形成了一定程度的呼应。

《导论》首先侧重于对理论前提的整体铺陈，旨在为学习者建立起文学跨学科研究的基本认知框架。全书十讲均从概念或理论出发，系统论证文学与其他学科互涉的方法，回答了文学跨学科研究“何以可能”的问题。例如，第一、二讲在引入语言学方法时，并未急于呈现文体学或话语分析的具体操作，而是先阐明语言学与文学的交点，再梳理从符号学、诗学到语料库语言学的理论演进与方法逻辑。第六讲从“改编的理论概述”切入，在进入具体文本分析之前先回顾了文学改编理论的发展脉络与观念变迁历程，使读者得以在明确媒介差异与叙事机制转换的前提下，理解文学与电影之间的跨学科关系。第七讲则引入德勒兹（Gilles Deleuze）的“时间-影像”理论，展示了电影如何为文学叙事中的时间结构、感知方式与主体经验提供新的分析视角。这种从理论前提到方法展开的整体铺陈符合教材编写的循序渐进原则，有效避免了读者在接触跨学科研究时可能出现的认知障碍，从而为后续的思维训练与思考深化提供了稳固的理论支点。

对概念与理论前提的铺陈为文学跨学科教学奠定了必要的知识基础，而多层次的案例分析则使这一研究方法变得可感知、可理解。《导论》通过引入跨学科研究中的经典案例，示范了如何借助其他学科的研究视角展开文学批评实践。例如，雅各布森（Roman Jakobson）与列维-斯特劳斯（Claude Lévi-Strauss）合作的文章“波德莱尔的《猫》”，以及格雷马斯（Algirdas Julien Greimas）运用符号学方法对莫泊桑（Guy de Maupassant）短篇小说《绳子》（*La Ficelle*, 1883）的解读，均展示了语言学与符号学理论如何在具体文本分析中转化为可操作的分析路径。¹与此同时，《导论》并未将案例选择局限于学界高度经典化的研究成果，而是有意识地引入一些相对不那么耳熟能详但具有启发意义的研究实例，以拓展读者对文学跨学科研究可能性的理解。例如，在第九讲中，法国历史学家莫娜奥祖夫（Mona Ozouf）对小说《弗兰肯

1 参见 赵佳编：《文学跨学科研究方法导论》，杭州：浙江大学出版社，2024年，第17-30页。

斯坦》(*Frankenstein; or, The Modern Prometheus*, 1818)的研究,展示了历史学视域如何介入文学文本的解读过程。通过引入此类研究,《导论》引导学习者从不同学科视域重新审视文学文本。此外,《导论》还关注文学跨学科研究中较为前沿的发展方向。在信息化与数据化背景下,越来越多的研究者开始借助计算机技术与数字工具开展文学研究。第二讲与第三讲中所涉及的数据库分析与语料库方法,呈现了近年来文学跨学科研究中的新趋势与新成果。第三讲则通过介绍学界对作家和记者群体所进行的基于大数据的社会学研究,向读者展示了数字方法如何被引入文学与新闻的跨学科研究之中。这些案例不仅丰富了文学教学的方法,也使学习者意识到跨学科研究并非固定不变的范式,而是一个随学术条件与技术环境不断演进的开放过程。

最后,《导论》通过精心设计的延伸阅读与相关思考题,构建起一个相对完整的文学跨学科研究的教学闭环。这一设计不仅仅是对《导论》内容的补充,更旨在引导读者将学习后形成的跨学科问题意识延伸至更广阔的研究情境之中,在不断迁移与再应用中深化对文学跨学科方法的理解。《导论》还设置了将跨学科方法置于当代中国语境之中的讨论题,来引导学生思考文学研究如何回应现实关切、参与公共话语,并在跨文化与跨学科的框架中形成中国视角。例如,第三讲的讨论题结合党的二十大报告中提出的加强国际传播能力建设,全面提升国际传播效能,形成同我国综合国力和国际地位相匹配的国际话语权¹,旨在启发读者从文学与新闻的交叉视角出发,思考文学在引导舆论、塑造价值观与对外传播中的作用。通过将跨学科方法引入现实议题的讨论,《导论》不仅拓宽了学习者的思路,更促使其在理论理解、方法运用与现实问题之间建立起连续的思考路径,从而真正实现学术研究与时担当的有机统一。

综上所述,《导论》实现了文学跨学科研究向教学实践的有效转化,为“新文科”背景下培养具有跨界视野与批判意识的学术人才提供了坚实支撑。尽管《导论》所呈现的跨学科模式在研究路径与关注重点上各有差异,但它们共同指向对现实经验与社会问题的理解。跨学科研究根植于批评意识与反思精神。从这一意义上说,文学跨学科研究既构成对知识统一性的持续探索,也包含对“知识本身的性质以及我们组织和传播知识的方式所进行的更为彻底的质疑”(Moran 13)。然而,跨学科研究本质上是一场深刻的“边界工作”,其背后往往隐伏着复杂的学科权力结构。在不同学科的交汇中,如何避免文学被简化为其他学科理论的“注脚”或“素材提供者”,以及如何警惕优势学科对文学本体话语的知识蚕食,是文学跨学科研究在方法论建构中仍有待深入探讨的议题。

1 参见习近平:“高举中国特色社会主义伟大旗帜为全面建设社会主义现代化国家而团结奋斗——在中国共产党第二十次全国代表大会上的报告”,《党建》11(2022):20。

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Deconstruction, Literary Criticism, and American Academia: An Interview with J. Hillis Miller

Ning Yizhong & J. Hillis Miller

Abstract: This interview with J. Hillis Miller, the late renowned Yale literary critic, reflects on his intellectual journey across decades of literary scholarship. He explores the philosophical roots of deconstruction, tracing its ties to European thinkers like Heidegger, Husserl, and Rousseau, and its expansion through figures such as Derrida and Paul de Man. Miller discusses the institutional rise of deconstruction in the United States, particularly at Yale and Johns Hopkins, and its compatibility with the close-reading tradition of New Criticism. He offers personal insights into the academic and political dynamics of the MLA, the evolution of English departments, and his shift from phenomenological criticism to a language-centered, deconstructive approach. The interview touches on the “hegemony” of English literature in American universities, issues of national identity in literary studies, and Miller’s reflections on criticism as an act of imaginative empathy. Intertwining memory and theory, the conversation presents a vivid intellectual history of late 20th-century literary criticism through the lens of one of its most influential practitioners. It will be 5 years since his death in 2021. This interview serves as a tender memory of this great literary figure.

Interviewee: J. Hillis Miller (1928–2021) was a distinguished American literary critic and theorist, best known for his influential work in deconstruction and literary theory. He held professorships at Johns Hopkins University, Yale University, and the University of California, Irvine. Over the course of his career, he authored more than fifty books on English and American literature, ranging from studies of Dickens and Hardy to theoretical explorations of reading, rhetoric, and textuality. As a central figure of the so-called “Yale School” of criticism, Miller played a pivotal role in introducing and advancing deconstructive approaches in literary scholarship.

Interviewer: Ning Yizhong, Professor of English at Beijing Language and Culture University, currently professor of English at South China Business College, Guangdong University of International Studies, China. He did postdoc research under the supervision of Professor J. Hillis Miller at the University of California at Irvine, during which he interviewed Hillis Miller on a wide range of topics.

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Studies, Guangdong University of Technology. This interview is part of a research project funded by the Chinese Ministry of Education for the Humanities and Social Sciences [No.22YJC752006] and Guangdong Provincial Social Science Foundation [No.GD22YWW03].

1. On “The Deconstructive Angel” and “The Critic as Host”

Ning: M. H. Abrams published a paper titled “The Deconstructive Angel” carried in *Critical Inquiry*, to refer to the “deconstructionists. I was wondering how his naming is grounded and how is it accepted.

Miller: Well, it’s a joke. It’s a play on a much more idiomatic English, which would be “Destroying Angel.” I thought Abrams would have made up the “deconstructive angel.” It’s a subtle joke because many of those “Destroying Angels” are very ambiguous. On one hand it might refer to the divine emissary sent by God, and the “Destroying angel” is sent to do something destructive, to take revenge on somebody bad, so those are “Destroying Angels.” It would be divine, but also angels are the materially impalpable, conceptual into pretty far away from the physical world, so to speak. Being “Deconstructive Angel” would describe the work of the deconstruction as abstract and impalpable like angels. Also, it has angelic power, that is to say, the supernatural power, that is, having a power, which is ambiguously good because it is being deconstructive.

Ning: Adams named it so as to indicate the tow-sidedness of deconstruction, the good and the bad at the same time. .

Miller: Exactly. “Destroying Angel” also has to do with a kind of extremely poisonous mushroom. I remember that there is a family of a really poisonous mushrooms that are common in the United States people call “Destroying Angel.”they grow up about this high and you can tell them. They look very edible, and fairly known for their color. If you see one of those, and eat even a little piece of these mushrooms, you will die, so that’s what we call the “Destroying Angel.” It looks beautiful. So you see Adams’ way of going from the “Destroying Angel” to the “Deconstructive Angel.”

Ning: In the “Manifesto of Deconstruction,” *Deconstruction and Criticism*, you have a wonderful article titled “Critic as Host,” in which you explored the complex relationship between critical interpretation and the texts they analyze. You began by questioning the nature of citation and its impact on the host text, suggesting that

critical readings, especially deconstructive ones, can be seen as parasitic. You argued that both the “obvious” reading and the deconstructive reading were intertwined, forming a triangular relationship rather than a simple binary opposition. You used the metaphor of the “host” and “parasite” to illustrate how each reading feeds off the other, creating a dynamic of mutual dependence and conflict. You further extended this metaphor to the broader context of literary tradition, where each text is both a host and a parasite to its predecessors and successors. Through examining Shelley’s “The Triumph of Life,” you suggested that the act of criticism itself is parasitic, as it both relies on and transforms the texts it engages with, revealing the inherent complexity and instability of literary interpretation. I heard that you and Professor Adams had different views about the parasitical nature of criticism, and you two had some debates.

Miller: Yes, as I remember, there was some kind of session of Modern Language Association meeting in Chicago, in which Abrams, Wayne Booth and I were in a panel. Both Wayne Booth and Abrams are old friends of mine. Nevertheless, they had strongly negative things to say about deconstruction. Before that, I challenged Abrams by writing a negative review of a great book which is called *Natural Supernaturalism*¹. You know Abrams has published a very important book *The Mirror and Lamp*. He worked for many years on the second book called *Natural Supernaturalism*. I wrote negative reviews for that book, and I think correctly that Abrams has oversimplified the homogeneity and benignity of the western tradition. It is essentially a reading of idealism—Hegel, Plato, the German tradition, and the English tradition. Abrams was also very general, because it represents a moment for this new kind of intellectual history. Deconstruction is, among other things, a new kind of intellectual history.

What I was attracted to Abrams was a part of a panel session of MLA. Abrams defended himself by pointing out that deconstructive reading of any author, Wordsworth, Rousseau, Abrams, is parasitical on the normal reading. In other words, it presupposes the normal reading, the reading by a person with any common sense will make, namely. That’s the common sense for anybody who reads, and then deconstructions comes along. And then conversely, and willfully it destroys that reading by proposing another one. It presupposes that critics’ commonsensical reading is parasitical. And I found that is an interesting term if you start thinking of the word parasite, so I sort of start studying parasite and host². Parasite originally meant someone who are invited to your house, stays and eats the parasitical plant

1 *Natural Supernaturalism: Tradition and Revolution in Romantic Literature*, 1971.

2 For more information about parasite and host, see “The Critic as Host” by Miller in 1977.

and destroys the plants. Think about the word parasite, as one can see, the word parasite was used to describe literary criticism. Then we should track the word, right? So I had a wonderful writing and it was really fun. I'm afraid probably Abrams was unhappy when we seemed to be making fun of him. Abrams was a very nice guy but he doesn't have a big sense of humor.

2. On the Origin, Development and Influence of Deconstruction

Ning: Thank you for your explanation. Now I would like to ask a few questions about the philosophical background of deconstruction. My first question is about the philosophical basis and origins of deconstruction. The second concerns the development of deconstruction in America, as well as the peak or "summit" of its influence there. The third question is about the broader impact of deconstruction. I understand that deconstruction is applied not only in literature, but also in fields like art and archaeology. I've read some articles suggesting that there are even deconstructive styles of architecture—these reflect the ideas of deconstruction—so I believe it has had a strong influence across many disciplines. Finally, if time permits, I'd like to ask about the specific strategies used to interpret literature through a deconstructive lens.

Miller: Those are good questions. The first one has to do with the philosophical basis or origin of deconstruction. If we take Derrida and Paul de Man as the originators of deconstruction, we can compare their different approaches. Derrida's is the more widely recognized one, so you mentioned one, but it's also helpful to bring in the other. The obvious point is that both of them were European-trained, though in different ways—Derrida in France and de Man in Belgium. So, the most direct answer to your question would be to say that the origins of deconstruction lie in European philosophy, particularly as interpreted within the French and German traditions. Derrida was educated at the *École Normale Supérieure* in Paris. Many of the teachers there were deeply influenced by Hegel, and modern phenomenology played a central role. At that time—just before, during, and after the Second World War—Derrida and de Man were in school during what was known as the period of French existentialism, associated with figures like Jean-Paul Sartre and Maurice Merleau-Ponty.

But the basic philosophical text that influenced generations of students was Hegel's *Phenomenology*, as interpreted in French translation by one of Derrida's teachers. In addition, Derrida's early works focused on Husserl, another major phenomenologist. You could say that de Man's education was not strictly philosophical, but he certainly would have read key philosophical texts. Among the

philosophers who influenced both Derrida and de Man was Martin Heidegger. So, deconstruction emerged from that philosophical background, but it also developed alongside contemporary linguistic theories, particularly Saussure's structural linguistics, as well as new developments in structural anthropology, especially with Claude Lévi-Strauss.

Derrida and de Man approached things quite differently. De Man's training was much more literary, while Derrida was trained in philosophy, though both were shaped by early literary critics like Georges Poulet, and perhaps Auerbach or Shaw, who were important to both in different ways. As for my own education, all of that came later—it was not what we were taught in school. I had to learn these things after I arrived at Johns Hopkins, where figures like Heidegger, Husserl, and Derrida became more central to my studies.

That kind of development couldn't have been predicted. I think what followed from these influences—what thinkers like Derrida and de Man went on to do—was not something foreseeable. If we focus on Derrida for a moment: it's not easy to explain. Though his early writing engages with Husserl, some of his major books are about Hegel and include essays on Hegel and Heidegger. Officially, one might say that Derrida read more of Heidegger than anyone else, but he was not a Heideggerian. Deconstruction, rather, was a way of taking the tools of philosophical thought and turning them against themselves—a process that could not have been predicted. It took great originality. Why did Derrida do this? I have no idea. I don't think it can be explained causally. Some might argue it has something to do with his identity—as a Jewish Algerian outsider coming into French intellectual culture—and therefore perceiving things differently. But even that doesn't explain everything. In both Derrida's and de Man's cases, one must acknowledge a certain brilliance and originality that defies easy explanation.

I think another unpredictable element is the originality or innovation—one might even call it a decisive break, interruption, or rupture—with the tradition that Derrida and de Man represent. At the same time, they continually turn against that tradition to question it. How did they do that? How did they succeed in doing it? I would say two things in response. First, there were other values and influences that were important for both of them. One major figure is Rousseau, and it's no coincidence that Derrida and de Man knew each other's work and were both deeply engaged with Rousseau and saw him as a turning point in Western intellectual history. Interestingly, they both independently focused on the same work by Rousseau, *Essay on the Origin of Languages*¹. They both found it interesting. The

1 *Essay on the Origin of Languages*, published 1781 (*Essai sur l'origine des langues*)

other two key influences—again, independently for both thinkers—are Nietzsche and Mallarmé. Both Derrida and de Man were serious readers of Nietzsche and were inspired by his philosophy. Mallarmé, a very difficult French poet, also played a crucial role in their intellectual development. These three figures—Rousseau, Nietzsche, and Mallarmé—are very different. Rousseau was an 18th-century revolutionary thinker, best known for his writings on education, politics, and the social contract. Nietzsche, writing in aphoristic style, defied philosophical norms with brilliant insights. Mallarmé, on the other hand, was a highly obscure symbolist poet. For most ordinary readers—like you or me—it would be very difficult to read Nietzsche, Mallarmé, or Rousseau and make the kind of interpretive leaps found in *Of Grammatology* or de Man’s essays on Rousseau in *Allegories of Reading*.

What do they have that other people don’t have? My answer would be that they were exceptionally gifted readers. That is to say, they had a kind of instinct as readers of canonical, familiar, and important texts—an instinct for noticing what is difficult or problematic in those works. Both de Man and Derrida had a remarkable and unusual ability to detect these inconsistencies—for example, noticing what was strange in Rousseau, or what was truly peculiar in Mallarmé. The same applies to Pynchon or Husserl, for that matter. Take Derrida’s early work *La Voix et le Phénomène (Voice and Phenomenon)*¹, for instance. In it, he observes something in Husserl’s thought—an inconsistency, a contradiction, an aporia. Therefore, it was “un-Husserlian,” so to speak, is the part of Husserl that doesn’t fit Husserl. Derrida wrote two early books on Husserl. The second was Edmund Husserl’s *Origin of Geometry*², and the third—*Voice and Phenomenon* (1967)—came a few years earlier. But both books are already deconstructions of Husserl, in that they identify that aspect of Husserl’s thought which doesn’t fit the general systematic account of what Husserl said. In a way, you could say that the birth of deconstruction lies in the ability to recognize those tensions within a major thinker’s work—tensions that disrupt the otherwise coherent and rational narrative that one would expect to find in intellectual history or a history of philosophy. You would say something like: “Here’s what Husserl believed.” But Derrida and de Man noticed things that didn’t quite fit this summary. And very often, those things had to do with language. Rather than viewing these philosophers as constructing only conceptual systems, Derrida and de Man noticed the oddness the way which those concepts were expressed—

1 *Speech and Phenomena: And Other Essays on Husserl’s Theory of Signs, or Voice and Phenomenon: Introduction to the Problem of the Sign in Husserl’s Phenomenology*. 1967.

2 Edmund Husserl, *Origin of Geometry: An Introduction*, trans. John P. Leavey, Jr. Lincoln & London: University of Nebraska Press, 1989.

particularly in figures of speech that we used to express those concepts. So you could say that deconstruction begins at that point—noticing the instability of language in the most systematic thinkers.

Ning: I have several questions. The first major one is about the philosophical basis of deconstruction. I also want to know the answer to my second big question: how did deconstruction develop in America?

Miller: You know it is hysterical how it happened.

Ning: Well, I'm curious about how deconstruction developed. It seems to have spread widely—not only in America, but also in other countries. But I think the first major place was America.

Miller: That's certainly true. Deconstruction became a world power largely through the United States, especially because translations of Derrida into English were much more widely read around the world than the original French. In that sense, Derrida became a world author through English, not French—simply because more people globally read English than French. That would be especially true in places like Japan, where probably more people read Derrida in the English translation of *Of Grammatology* than in French. The same applies to other regions—for example, India, where English, though Imperial Conquest, serves as a linking language among people who speak different native languages, like Bengali and Hindi.

Historically, it's easy to say that Johns Hopkins University was very important in the diffusion of so-called deconstruction in the U.S., partly because of the famous 1966 conference, which marked Derrida's first visit to the United States. The conference, titled "The Languages of Criticism and the Sciences of Man," was hosted by Johns Hopkins and funded by the Ford Foundation. It brought together scholars such as Jacques Derrida, René Girard, Lucien Goldmann, and many others for several days of discussion. Derrida's talk, "Structure, Sign, and Play in the Discourse of the Human Sciences," which was really an attack on Lévi-Strauss and structuralist narratology. That was a time when we had to read Derrida in French, because no English translations were available yet. In the United States, the ability to read French was probably even less common than it is now, so Derrida's work was not easily accessible to most people. Paul de Man had not yet begun publishing his major research and was not yet at Hopkins, but he arrived soon after and delivered two influential lectures titled "The Rhetoric of Temporality." These were presented at Hopkins before being published, and they marked the first exposure

many American readers had to English-language essays that strongly represented that emerging way of thinking.

A short time later, there was another conference, after de Man had moved to Yale, where he invited Derrida to participate—creating another key moment in the spread of deconstruction. What followed was that Derrida began teaching at Hopkins. Students listened eagerly to his lectures, and he soon began giving talks at various institutions across the U.S. Around this time, his books also began to be translated into English. One of the most important translations was *Of Grammatology*, translated by Gayatri Chakravorty Spivak and published by Johns Hopkins University Press. As Derrida’s books continued to be released, they were translated fairly quickly, and by then both Derrida and de Man had moved to Yale. Notably, Barbara Johnson, who translated *Glas*, was one of Derrida’s best translators. He was fortunate to have translators who could render his work with such clarity and precision. Thanks to these translations, so-called deconstruction—as practiced by Derrida and de Man—became more widely available in English. My own work also began moving in that direction, and we eventually established a framework for deconstruction at Yale, which led to the publication of our book on deconstruction¹—a work that received a great deal of attention.

The real question is that it’s hard to explain why this mode of reading—this way of interpreting Western culture—spread so widely. Why did it take hold particularly in the United States? That is, why was it so quickly institutionalized?

One reason is that it proved effective for teaching writing. It was even effective for people who were doing something else or reacting against deconstruction. Many scholars today who would not describe themselves as deconstructionists—feminists, queer theorists, cultural studies scholars, and so on—still rely on tools that would be impossible without deconstruction. I don’t have a full answer to that. But one could compare it with other Continental traditions that never gained the same traction. For example, structuralism in the technical sense—like structural narratology—has been of interest to some in the U.S., but if I told my colleagues I had become a structural narratologist, they might think that it is a form of criticism which was very influential on me or had strong influence on people. By contrast, phenomenology or “criticism of consciousness” was more influential for some, including people like myself, Geoffrey Hartman, or Richard Halliburton at Stanford, who sees himself as a phenomenological critic more than I ever did. But again, phenomenology never became deeply institutionalized in the U.S. So the question remains: Why did deconstruction—represented by Derrida and de Man—become so intellectually

1 *Deconstruction and Criticism*, Continuum Intl Pub Group, 1995.

powerful in the U.S.? I think the answer is complicated and ultimately speculative.

One explanation is that deconstruction shares a structural affinity with New Criticism. For American scholars trained in New Critical methods in the 1960s and 70s—approaches that emphasized close reading and textual analysis—deconstruction felt familiar. Although it was philosophically radical, its pedagogical method that's based on close reading was continuous with what already existed. That made it easier to adopt. A second reason, though harder to pinpoint, may lie in something about the American temperament. While it's hard to define exactly, there's a recognizable tradition of independent thinking, suspicion of authority, and critical questioning in American intellectual life—even if, paradoxically, there are also strong conservative and regressive forces. The United States is, in its foundational ideology, a Protestant Christian country— despite the presence of Catholics, Jews, Muslims, and others. This ideological background includes a deep suspicion of idolatry, rooted in the Old Testament, and by extension, a suspicion of fixed truths or absolute systems. In this sense, deconstruction's skepticism—its refusal to accept final meanings or ultimate truths—resonated with that Protestant sensibility. That may explain part of why it was so successful in the U.S. From that point of view, the radical dimension of cultural criticism today—its ideological critique and its democratic, even revolutionary energy in literary studies—is consistent with the political orientation of deconstruction.

It's not an accident that both Derrida and de Man began their work with Rousseau, the great 18th-century Enlightenment thinker who influenced both the French and American Revolutions. Rousseau helped inspire what might be called "initiatory" or foundational political events. He himself emerged from Enlightenment ideals of reason and simplicity. Derrida and de Man, in different ways, shared an early and deep common interest in Rousseau, and that was partly how they became friends. Over time, Derrida engaged more and more with 18th-century thought, which proved crucial. So while American scholars may not have fully understood Kant or Rousseau, or may have misunderstood them, the intellectual culture in the U.S. was, in a way, already prepared to receive deconstruction—more so, perhaps, than other cultures that might seem philosophically better prepared, like the French.

If there is a connection between pessimism and deconstruction, then that might also help explain it. But ultimately, the best explanation I can offer is this: Derrida's work was rapidly translated and published, and it found an audience among younger scholars. Those scholars became influential, and even if they were a minority, their work wouldn't have been impactful if it hadn't been usable and adaptable for others.

Ning: The education you each received—Derrida, de Man, and yourself—was quite different, with different philosophical and social backgrounds. You also seem to have different practical approaches and interpretations when reading literary texts. While you're all considered critics or deconstructionists, there are many differences. So, what exactly is the definition of deconstruction?

Miller: Well, remember that people like Harold Bloom and Geoffrey Hartman were often grouped under that title. But they would never have said, "We are deconstructionists." That book you're referring to—probably *Deconstruction and Criticism*—is about deconstruction and about criticism. Hartman and Bloom were critics working in the same intellectual space, and in the introduction to that book, Hartman takes a very cautious, even distanced position from radical deconstruction. I, on the other hand, wouldn't.

When asked to define deconstruction in three sentences, my response has always been: I can't. There is something that the five of us—Derrida, de Man, Bloom, Hartman, and myself—do share, although it's a little difficult to define precisely. I certainly wouldn't call it a strict definition of deconstruction, but it could be described as a shared approach or spirit that brought our work together. It's hard to find a name for it that isn't misleading, but I would describe it as a kind of intellectual joy or pleasure in the act of interpreting texts. For me, it always felt like a great adventure—you discover the most unexpected and wonderful things in poems and novels. It's exciting to write about those things, and even more so to teach students how to see them. That's something all five of us had in common.

Even though what Bloom was doing is very different from what Derrida or I was doing, and there are also important differences between Derrida and de Man, we all shared that tremendous excitement in the process of deep reading and discovery. You read a powerful literary work and feel like you've found something no one else has ever noticed before—and then you write about it or teach it with a kind of energy that's hard to describe. Bloom's teaching, for example, much like Derrida's and de Man's, embodied what I call intellectual joy. It was infectious, and catching. Derrida could make a text sound so interesting—take for example his interpretation of the episode of the Bible, "the sacrifice of Isaac Abraham"—he made it exciting, made you want to go back and read it again with close attention to the actual language. Because for us, the power lies not in abstract ideas or traditional interpretations, but in the words themselves, in their texture and sound. That feeling—the deep, almost magical experience of language—is something we all shared: Derrida, Bloom, de Man, and myself. It's what gave our teaching and

writing its energy. But to be clear: that's not the formal definition of deconstruction. It doesn't explain the theoretical distinctions, like those between Derrida and Bloom. Still, what I can say with certainty is that de Man's teaching was like that too—thrilling and full of surprises. It wasn't just intellectually stimulating; it was joyful. And that's my best answer to your question.

Ning: That was the second moment when people tried to define deconstruction. I read a book by a Chinese scholar, Sheng Ning (盛宁). I'm not sure whether he fully grasps the key elements of deconstruction, but his understanding is that the first deconstructionist scholars are those who attempt to trace language back to its very root. That's his interpretation. I also recall a word used by Professor Murray Krieger in *The Institution of Theory*. The term he used to describe their approach might be intellectualism.

Miller: That's true in a certain way. All of these thinkers have what you might call an instinct for genealogy—that is, the sense that behind every text, or even behind every use of a single word, lies the entire history of that word's use. You can clearly see this in Derrida's teaching. Derrida's teaching is very scrupulous and he often talks about the nuances of this word. He explored how German differs from French, and how those differences impact translation—especially in the context of religious texts like the *Bible*. For example, using the King James Version in English compared to a French translation can reveal very different implications. De Man did similar work. At the same time, I would add that all of these critics were aware of the importance of philology—of a kind of archaeology of language. In their own ways, both Derrida and de Man were responding to Heidegger's idea that there's some kind of magic, aboriginal power in certain German words that goes back to the Indo-European root, and that there is an unbroken line of meaning stretching through time.

But there's also a suspicion on Derrida's part—shared by de Man—toward etymological essentialism, the idea that the original meaning of a word is somehow closer to truth or remains embedded in it. Derrida and de Man both seek to demystify this notion. Nevertheless, the history of a word is the history of those uses varied from one time to another, and nothing prevents a word from being used in a completely new context, even one that is discontinuous with its previous context. But at the same time, even in this discontinuity, you cannot completely forget the earlier meanings.

Ning: In your conversations with Derrida over lunch, did you ever disagree on

the translatability of certain philosophical concepts? Could you share an example where your views on the limits of language or translation diverged?

Miller: Languages differ in how deeply they engage with meaning—some are more rational or superficial than others. For example, the Greek word *logos* is commonly translated into Latin as “*verbum*” (word), which, according to Heidegger, is an oversimplification. In Greek, *logos* carries much richer meanings, such as gathering, fire, essence, and reason, but these are lost in the Latin translation. Heidegger believed that these deeper layers were flattened by Latin and that the German language, in contrast, retained more of the original philosophical richness. So, in Heidegger’s view, Greek could be deeply thought, but not easily written in Latin. German, he believed, allowed for similar depth of thinking. French, however, derived more directly from Latin, was seen by him as a more superficial language in terms of its philosophical potential. There’s no doubt that certain philosophical concepts are more readily expressed in German than in French. But from that observation arises a dangerous kind of Germanophilic nationalism—as seen in Heidegger’s own involvement with National Socialism, which was just one of the ideological errors that lies behind them. It’s not just that Heidegger was “temporarily a Nazi”; rather, some of the nationalistic elements in his philosophy seem embedded in his thought itself, which ties back to longer intellectual traditions in Germany, especially early 19th-century German Idealism.

I don’t believe you must be from a particular country to think philosophically. Anyone, anywhere, can do philosophy. But Heidegger sometimes implied that to do it properly, one had to do it in German—a dangerous and exclusionary idea. I don’t think that view is shared by Derrida or Paul de Man. In fact, many of us are fascinated by the difficulty of translating philosophical ideas from one language to another. For instance, just today over lunch, Derrida and I were discussing the subtle differences between the English word “stupid” or “stupidity” and the French word “stupide.” While they appear to be exact cognates, Derrida pointed out that their connotations differ slightly. To be “stupide” in French is not quite the same as “being stupid” in English—and I think he’s right. These nuances show how misleading apparent equivalence can be, and they illustrate the deep idiosyncrasy or idiomatic quality, or specificity of each language. In fact, this highlights a broader point: no two languages say exactly the same thing. This is a fundamental reason why translation is always imperfect, and why comparative literature, as a discipline, is a disappointment. It’s a rich but frustrating practice, because meaning is always shifting across linguistic boundaries, which is a real center of this problem in translation.

Ning: This brings us to the topic of deconstructive strategies. I'd like to save that question for another time, as it's quite important. But for now, I have a few smaller questions. I heard that you have dinner with Professor Derrida every Tuesday to discuss ideas?

Miller: Lunch usually. We have a habit of having lunch this year once a week usually on Tuesdays, where we used to have lunch there once a week with Paul de Man.

Ning: Was Geoffrey Hartman also in the English Department during that time?

Miller: Yes, they both were. Hartman is retired now, but during his time at Yale he was Professor of English and also held a joint appointment in Comparative Literature, which was a separate department. Like myself, he was a full member of both.

When I first came to Yale in 1972, Hartman was a member of the English Department. But by around 1976 or 1977, he got a battle with people in the English department. He negotiated a way to step outside of it—not by moving to another department per se, but by being almost a professor of humanistic study or something, not in any department. As for Paul de Man, he was a member of the French Department, not English. He also held a role in Comparative Literature before his passing. For a time, he even served as Chair of the French Department, and later became Chair of the Comparative Literature Department.

Ning: I imagine that during those years, you must have had many opportunities to talk with them. I wonder if those conversations still resonate with you today.

Miller: That's a bit of a misunderstanding. After 1977 or 1978, I was no longer in the English Department in the same sense. But Paul de Man always was.

There was a woman named Julie Ellison. She worked on Romantic poetry, which is why she was called Professor of Romanticism. And interestingly, Derrida, when he was here, was also called Professor of Romanticism, though of course that wasn't officially the case. Derrida didn't formally belong to any department. His position was appointed directly by the university president. The same was true for Harold Bloom.

Ning: I've read quite a bit of your work, and I was thinking—perhaps your literary career could be divided into three phases. I'm not sure if that's entirely accurate, but maybe: first, a **New Criticism** phase; then a consciousness or

phenomenological phase; and then a deconstruction phase—and possibly a phase beyond that. It seems your books and essays reflect those transitions.

Miller: That’s more or less correct, and it does follow the chronology of my publications. By the time I published my first book on Dickens¹, I was already moving into phenomenological criticism. Of course, there are a few very early essays, like one on D.H. Lawrence that I published in *The Harvard Advocate* back in 1952. But even my first serious academic essay, “The Creation of the Self in Gerard Manley Hopkins,”² written when I was at Hopkins in 1955, was heavily influenced by George Poulet and other phenomenologists. My book on Thomas Hardy³ marks a kind of transitional phase—a bridge between phenomenology and what would soon be known as deconstruction. That Hardy book still carries traces of phenomenology, but also anticipates the methods and questions of deconstruction.

Everything I wrote after the Hardy book falls under what might broadly be called the deconstruction phase. In fact, when Yale hired me, they assumed they were getting a critic of consciousness. But what they got instead was someone who had begun doing deconstructive criticism. That’s the story. The only real exception, perhaps the only work that could be categorized under New Criticism, would be my Ph.D. dissertation. It’s still there, boxed away somewhere. Would you like to read it?

Ning: Yes, sure. Dickens’ World?

Miller: That’s right, *Charles Dickens: The World of His Novels*. It was published in 1958. That book is based on my dissertation, though it’s important to note that the dissertation itself was strongly influenced by Kenneth Burke. If you wanted to categorize it as a kind of New Criticism, this book is quite different from later works, such as those influenced by Allen Tate. Most of my major writing at that point had been completed before I began reading George Poulet and developing what later became known as criticism of consciousness.

Ning: So this book came directly from your dissertation?

Miller: Yes. After finishing graduate school, I spent a year teaching at Williams College. During that time, I started changing quite a bit and began reading thinkers like Jean-Paul Sartre. By the time I began revising the dissertation the following year, when I had moved to Johns Hopkins, I was no longer quite the same. In fact,

1 *Charles Dickens: The World of His Novels*. New York: Columbia University Press, 1958.

2 “The Creation of the Self in Gerard Manley Hopkins.” *ELH*, vol. 22, no. 4, 1955, pp. 293–319. JSTOR, <https://doi.org/10.2307/2871890>.

3 *Thomas Hardy: Distance and Desire*. Cambridge: Harvard University Press, 1970.

I discovered, almost by accident, that I couldn't just revise the dissertation; I had to rethink it entirely. This was during the summer of 1953, I believe. So when the book was finally published, it had become something very different. While the topic was still Dickens, the approach had changed significantly. The published version bears very little resemblance to the original dissertation.

Ning: So would you say this book was a kind of transitional work?

Miller: Well, yes. It's still structured around a series of individual chapters, each focused on a specific Dickens novel, very much in line with traditional literary criticism. This is not what Poulet did. Poulet wrote more synthetic essays, where the unit of analysis was the author's entire body of work in relation to his personal consciousness. For example, my *ELH* (the journal of *English Literary History*) article, "The Creation of the Self in Gerard Manley Hopkins," published in 1955 during my time at Hopkins, is much more of a Pouletian essay. It draws citations and quotations from a wide range of sources to build a portrait of authorial consciousness. By contrast, the Dickens book still focuses on individual novels, but its underlying aim is already shifting. Nevertheless, its target is the consciousness of Dickens that is manifested in those novels, so you're absolutely right, the book represents an uneasy combination of the critical commitment to the organic unity of individual works.

On the other hand, phenomenological criticism of consciousness breaks down the idea of textual unity and replaces it with something else: a personal and inward community of consciousness. This approach focuses on the distinctive interiority of the author, and Hopkins becomes a particularly powerful case for this kind of reading. That's one of the reasons I was drawn to Hopkins. I tried to say something about this in my early work, and I even conducted a seminar here partly because of a remarkable passage in Hopkins's religious writings. In that passage, he speaks about the absolute uniqueness, singularity, and definiteness of what he calls "the taste of myself." He says that this taste is unlike anything else, not like anybody else, not like everything else, nothing, nothing at all. He writes that when he tastes himself, it is more distinct than even the taste of ale or alum, ale meaning beer, and alum being a kind of sharp, bitter powder sometimes used as a medicine or fertilizer. That metaphor, this sharp, unrepeatable taste, fascinates me. It asserts the idea that each person is utterly unique, and we can't really imagine what it would be like to be somebody else.

That idea, the radical uniqueness of every individual, is a kind of basic premise of Poulet's work, and it resonates with a Proustian sense of interiority. There is an

active self-consciousness for each author, and that self-consciousness is different for each author. The goal of criticism is to reconstruct that inward uniqueness, a value that cannot be fully explained away by external frameworks like ideology, class, gender, race, or any other sociological factor. This kind of lingering commitment to individual interiority is part of the reason why I resist so-called cultural studies today. Cultural studies often seeks to explain an author's work by returning to an interest in context—by saying things like: “Well, of course he wrote that way, because he was a male, from this class, in this country, during that historical moment.” But Poulet, and I would agree, would say: you should know all those contextual facts, but they are not fully explanatory. They do not fully explain Baudelaire, Hegel, Proust, or Rousseau.

That's why I remained interested in Gerard Manley Hopkins, because he is clearly someone who asserts his own uniqueness in a way that directly illustrates Poulet's ideas. My essay “The Creation of a Self” was really about that. It's not built around new critical readings of particular poems. Instead, it draws from across Hopkins's writings, his letters, journals, and poems, in an effort to synthesize a unified portrait of his inward consciousness.

I never thought of the change that occurred after I began reading Derrida, Paul de Man and others as a complete break. Rather, it was a return to my original fascination with literary language. It is kind of my deconstruction, and a kind of New Critical deconstruction, a label others have used, and one I don't deny. In that case, that doesn't gave up the category of self-consciousness, which remains central. And it's not as the basic explanation anymore, but it still provides a general direction for my work. We should remember that I am still engaged in close readings of individual texts. For example, there's a whole series of essays, including quite recent ones on Hardy's poetry, which are readings of individual poems.

Ning: Will they be published soon?

Miller: Not yet. They haven't been published. If you look at my list of works, you'll see them. I would like them to be published soon, but the process takes time.

Ning: So they're readings of Hardy's poems?

Miller: Yes, readings of specific poems. I still do individual readings, not of collected works, but of single poems, which shows that I retain a kind of New Critical instinct for the integrity of individual works. To some extent, this goes against the idea that the consciousness of the critic should serve as the main unifying force. My book on Hardy, for example, is an uneasy attempt to do both:

it presents a dialectical trajectory across Hardy's works, while also preserving the integrity of individual readings. It brings together quotations from both the poetry and the novels, and is based on a complete reading of all of Hardy's poetry and fiction. This is also true of *The Disappearance of God*¹, which is built on extensive reading of each author's work and takes quotations.

Ning: The question of unity is not necessarily a matter of comparability.

Miller: That's right. I take that from my good friends from college, and from Derrida's so-called deconstruction, and Paul de Man. They gave many seminars, lectures, and wrote essays that were essentially close readings of individual works. Derrida would often organize an entire seminar around reading an episode from the *Bible* or poems. Paul de Man, similarly, would write about Nietzsche, or Proust's *Remembrance of Things Past*², or Rousseau's *Julie, or the New Heloise*³. The difference is particularly evident in de Man's work. That's one point where I feel some affinity. In my book *Black Holes* (1999), for instance, I follow a similar approach. De Man's essay on *Julie* doesn't trace the entire trajectory of Rousseau's novel, but focuses on a particularly striking episode. It's the same with Derrida. He doesn't write an essay on Kafka's *The Trial* as a whole. Instead, he zooms in on the parable "before the law," offering a deep reading of just that part. That's a hallmark of deconstruction: the method of concentrated reading, or procedure of reading, or strategy of reading. It is so great that we get a huge amount out of the very small piece of the text. This method involves a kind of rejection of the idea of unity. Instead of analyzing the entire work, say, all of *The Trial* or Rousseau's *Confessions*⁴, Derrida or de Man selects a fragment and shows that the implications within that one part are so rich that there's no need to reduce it to a function of the whole. If you tried to write about the whole work, you'd end up with a thousand pages.

Ning: So this kind of close, fragment-focused reading is one of the prominent features of deconstruction? These short passages seem to carry a reactive power that grabs our attention.

Miller: Exactly. It catches your attention. You feel compelled to say something about them, but they always seem to offer more. It's hard to put them into a box,

1 *The Disappearance of God: Five Nineteenth Century Writers*. Cambridge: University of Illinois Press, 1963.

2 *A la Recherche de Temps Perdu*.

3 *Julie, ou la nouvelle Héloïse*, 1761.

4 *Confessions of Jean-Jacques Rousseau* (Les Confessions), 1770, published 1782.

because their implications keep expanding.

Ning: How would you compare the Geneva School's approach to phenomenology in literary criticism with the more directly Husserlian-influenced criticism emerging in the U.S. during the same period?

Miller: The phenomenology of that group is what is commonly referred to as the Geneva School. I should mention Jean Starobinski, as well as Jean Rousset, both of whom were based in Geneva. One could say that they did not spend a significant amount of time reading phenomenology in the strict sense of Husserl. Whereas in the United States, at about the same time or a little later, there developed a form of literary criticism, practiced, for example, by Richard at Stanford and others, which was directly influenced by Husserl. These critics were serious readers of phenomenology.

In the case of Georges Poulet, one wouldn't say that he read Husserl deeply. Poulet was slightly younger than Marcel Raymond and Albert Béguin, and he learned tremendously from them. But I believe the true source of this school of thought was a certain kind of French or Swiss tradition that we might (though the term is misleading) call "spiritual." That is to say, it had a certain religious tone, both Raymond and Béguin were profoundly religious. Their readings of Rousseau and the German Romantics reflected that interest. Poulet didn't study consciousness, he was interested in states of consciousness rooted in religious and meditative traditions. Both Raymond and Béguin, for instance, began with an introspective approach grounded in Christianity, where there was a deep concern with meditation, states of consciousness, and earnest concern of what's going on inside. Poulet was fascinated by minor 17th-century French theologians, not just Pascal, but a wide range of lesser-known thinkers from the same period and from the decades following Rousseau, who remained a key figure for them. There were people who were aphoristic writers around the time of the French Revolution. Another influence on Poulet came from German aesthetic theorists.

Poulet also belonged to a modern French tradition that began with Proust and included earlier figures who preceded the Geneva School, such as Jean de Bosschère, Ramon Fernandez, and later Maurice Blanchot. I first heard about these writers from Poulet and began reading them. So Poulet's exploration of the origins of states of consciousness looked back to figures like Proust, Bosschère, and Fernandez, rather than to Husserl, which the label "phenomenology" might lead you to think. Although I don't recall Poulet saying much about Heidegger and Husserl, I was reading Heidegger myself, not because of Poulet's influence, but because I

think Heidegger is important.

In any case, my own project became an attempt to ask: could one do something similar with English literature? Could you apply this phenomenological approach to Dickens, for example? And if so, how?

That led me to develop this line of inquiry in my own classes. *Charles Dickens: The World of His Novels* was the first major product of that effort. In fact, both *The Disappearance of God* and *The Poets of Reality* came out of this broader intellectual trajectory. Those two later books are much more like what Poulet did in the full sense. The Dickens book is a serious study focused on individual novels. It attempts to do both: to pay attention to language while maintaining a critical respect for the form of each individual work. That's something Poulet never did. He didn't write, for instance, a chapter specifically on *Great Expectations* or on *Our Mutual Friend*. But in my book, the chapters are organized in such a way that all the novels appear connected as part of one overarching vision.

The second and third books I wrote—*The Disappearance of God* and *The Poets of Reality* are more like Poulet's essays. Each chapter, however awkwardly, borrows from his method: taking quotations from across an author's work and building a kind of dialectical progression. That is, they construct a timeless structure, as both Rousset and Poulet tried to do. There is no real difference between the ends, because consciousness remains the same from one end to the other. Poulet was fascinated by time, temporality, and how an author's work might be read as if it were atemporal. In this view, time becomes a closure, and the writer essentially says the same thing in every work, just in different ways.

I remember once when Poulet was writing something about Hawthorne, the American writer, for the concept of time in Hawthorne. When he came back after one weekend, he said to me, "I found it, I found it." And I asked, "What did you find?" He explained that he had discovered a kind of dialectical arrangement of motifs or themes in Hawthorne, and that these had to be logically connected in order to trace a progression. There was one missing element, a gap in the pattern, which he had hypothesized must exist to complete the structure. And that weekend, he found the passage that filled the gap and proved that his intuition of this was right. That was a great chance for him, because he saw the act of criticism.

Ning: You mentioned that reading Derrida inspired a shift in your focus from consciousness to language. How did Derrida's work specifically challenge or reshape your earlier views influenced by Poulet?

Miller: As you know, for a critic, there is often a sense of identification

between the critic's mind and the author's mind. The pleasure in literary study and writing about literature comes from the sense, not imagined, but somehow real, that you might succeed, however imperfectly, in becoming another consciousness through reading. That is what happens when you read: it may be only hypothetical or imaginative, or only partial, but in some meaningful way, you become the author. You learn what it feels like to be that author. I haven't always done that.

Some said there must be a certain idea or motif to guide a reading. That idea that a reader could trace a writer's inner logic seemed like a wonderful goal to me at the time. But now, I would say no. I'm more skeptical than I used to be about whether we can ever truly identify ourselves with another person or fully enter another's consciousness. On the other hand, I believe Poulet was onto something. When you read Proust as if you were Proust for a while, you begin to think a bit like Proust, or feel the emotional atmosphere of that language. Poulet was an excellent reader of Proust. He saw Proust as a forerunner of his kind of criticism, especially in Proust's preface to the *Bible* translation. Poulet suggested that when reading a given work by an author, the reader should have a total memory of everything that author has written, so that every passage echoes with others across the whole body of work. This breaks down the form of the individual work and leads instead to essays that draw quotations from everywhere, an image of internal distance, as though everything the author ever wrote existed in one vast interior space. The essays Poulet wrote would then trace a trajectory through that space.

The transitional book, from this Poulet-inspired criticism to a different kind of criticism, was my book on Thomas Hardy. That book represented a return to writing about individual works, each with its own emotional form, and it raised questions about Poulet's notion of unified authorial consciousness. You could say that it marks a shift from using "consciousness" as the primary category of literary criticism, back to "language" as the central category. You can see that in New Criticism, in Burke and Empson, for example, but for me, it was really inspired by reading Derrida.

I would like to talk about the shift from Poulet to Derrida during my time at Hopkins. I was at Johns Hopkins with my wife, as I mentioned, from 1953 to 1972. During that period, I published the Harvard books that allowed my thinking to develop. Both of us were also involved with the Modern Language Association. It was at Hopkins where I served the Academic Council, which is elected by professors.

Reading Poulet was one of the ways I learned to do literary criticism. What I learned from him was not simply how to interpret a single work, but how to begin with the idea of a continuous community consciousness, that could serve

as a theoretical basis for considering the entire body of an author's work. I think that hypothesis is that certain elements remain the same across an author's works. Poulet's essays also offered me a way of organizing the material one gathers from reading an author's different works. His approach was quasi-dialectical. I say "quasi" because it wasn't dialectical in the strict sense of criticism and antithesis of synthesis, but rather a matter of identifying recurring features in a given author's writing. It might be thematic, formal, or figurative features.

The presumption in this approach is that when something shows up repeatedly in an author like Dickens or Hardy, it matters. Now, that's an important assumption, because you could just as well argue that something which happens only once is more important. But Poulet's method values repetition and recurrence. For example, if you're reading Hardy, you might notice that there are numerous passages where someone inside a house is speaking to someone outside through a window. That's interesting. It suggests that the imagination is working in terms of a situation in which there's somebody inside and somebody outside. So you begin to collect those instances and identify them as recurring features. The presupposition is that it has to happen more than once to be important. That is to say, all these assumptions are very problematic, just as the assumption that consciousness remains unique in a given person.

What do you do with this material? You gather it as you read, perhaps by indexing recurring situations or figurative patterns. Every time you come upon another episode involving the inside-outside window motif in Hardy's twenty volumes, you examine its special features, some of which may be dramatic, others more subtle and figurative, like an unusual frequency of personification. Once you've identified six, eight, or ten such patterns, you begin to work with them. That's what I learned to do. When you come to the actual work of writing an essay, I often begin with this material, often from notes or an index. That's how I wrote my book on fictional repetitions.

What Poulet did for me was to offer a method for handling literary material, namely, to set up what looks like a logical, inevitable, dialectical sequence, in which one element is taken as a kind of beginning or presupposition of a starting point, and the others are arranged in a structure that makes them seem to flow naturally from one to another, either by contrast, antithesis, or a sort of causal relationship: this leads to that, which leads to the next. This process forms a quasi-dialectical sequence. It often doesn't involve an opposition but instead fills in a "missing opposition" through the arrangement of ideas. This method leads automatically to a final stage, a kind of culminating stage, which you may call a kind of endpoint. The

idea is that by the time you reach that conclusion, it feels necessary and justified; you couldn't have arrived there without having passed through the earlier stages. Each earlier step becomes necessary to make the final point clear or possible. The final point is kind of leisure, exposure, climax or something. It's a dramatic way of organizing materials that doesn't necessarily follow the sequence of the literary work itself. It might begin in the middle, abstract ideas, and rearrange them into thematic or structural categories. I found this technique in Poulet's essays to be effective. My own attempt was to see if I could apply that approach to my own work.

It seemed especially appropriate in my book on Dickens, which is a series of essays on individual novels. While the chapters in that book focus on individual works, they were organized according to this dialectical model, but they still obey that new critical respect for the integrity of the work.

I still believe this is a productive approach—to trace thematic development and internal shifts in such a way that they reveal deep structural or psychological patterns. That's the method I aimed to apply in my critical work: a technique I learned largely from Poulet. I tried to adapt it to my own critical procedures and make it a consistent method of interpretation.

Ning: In 1986, you were elected as the President of the MLA (Modern Language Association). That was a very influential event in the American literary circle, and *The Los Angeles Times*, along with many other newspapers and magazines, reported it. Is there any story behind it?

Miller: Yes, many newspapers did report it, but the actual moment of the election took place three years earlier. That's because of the way the election process works in the Modern Language Association, which has roughly 25,000 to 30,000 members. The Modern Language Association of America includes anyone who teaches English, French, German, Russian, Italian, Spanish, Chinese, or Japanese, but not Latin or Greek. "Modern languages" here refers to the vernaculars, and anyone who teaches them in the United States can be a member. This is the standard professional organization for college and university language and literature scholars. The election process begins with a nominating committee of three people who select nominees. You are first elected as Second Vice President. Then, you serve successively as First Vice President and then President. So by the time I officially became President in 1986, I had already served two years as an officer, first as Second Vice President, then as First Vice President. Once you're elected Second Vice President, it is automatic that you'll move up through the ranks the following

two years. Every year, someone new is elected as Second Vice President, and they then proceed up the chain. So there are always three officers: the Second VP, the First VP, and the current President. There is also a group called the elected council.

It's part of what is called the Elective Council or something like that, which includes elected representatives. These positions are filled through mail-in ballots sent to anyone who wishes to vote. Of course, not all 25,000 members actually vote, many fewer people return their ballots, and not everyone takes it seriously. I had already served on the Elective Council while I was still at Hopkins, which gave me a certain degree of familiarity with how things worked. I also served on various other committees for the MLA. When I was elected, I have to be honest. I think it happened partly due to what the French might call *coup de chance*—a stroke of luck. The nominating committee put forward three men, and the other two, besides me, were much more conservative, old-fashioned scholars. They were highly respectable and distinguished. Now, I don't know what was going through the minds of the nominating committee exactly. But I do know that one of the members of the committee was a friend of mine, someone I knew, a professor at USC (University of Southern California). You could have anticipated that I was going to win once I was nominated. The nominating committee may have set things up in such a way that my election was quite likely. That was the case. You still need a majority of votes to win. If no candidate gets a majority, there's usually a runoff election through another round of mail ballots. But in my case, I received more than 51% of the vote, so no runoff was needed.

Now, I don't mean to downplay the honor of being elected. It was a great honor. But part of what made it possible was that the field of candidates wasn't particularly broad. There were no women on the ballot, so all the women members of the MLA had to choose among three men. And if you were someone who supported forward-looking ideas or literary theory/criticism, that likely tipped the balance in my favor.

Ning: Did you read any reports about that last election? I heard it had a great impact on the literary circle.

Miller: Yes, I wasn't entirely aware at the time, but I did give a speech at the MLA that they requested. I saw it as an opportunity to say what I truly thought. Typically, MLA presidents give polite, reassuring speeches filled with generalities about how great literary studies are. But I felt this was a rare chance to speak honestly about how I saw things and to point toward the future of the profession, especially for young scholars. I wanted to talk about the radical changes taking

place, such as the changes in cultural studies. What I said may have surprised some people, and I'm sure it upset others who opposed such changes.

Ning: So the presidency is a four-year term?

Miller: Not quite. The full cycle lasts three years: one year as second vice president, one year as first vice president, and one year as president. So I serve as president only for a single year.

Ning: I heard that a Chinese scholar—Zhao Yuanren, I believe once served as president of the MLA. I'm not sure exactly when, but it was seen as a source of great pride.

Miller: Yes, that may be. Serving in that position also involves a great deal of work. For those three years, I was deeply involved in the operations of the MLA, which has a large annual budget and publishes PMLA (Publications of the Modern Language Association of America). It requires your support during multi-day meetings, where major decisions are made. I had already served in similar roles before, but one of the most interesting and rewarding tasks I had was serving as one of the editors of PMLA.

Ning: How do you see the relationship between institutional prestige, like that of the Ivy League, and the development or dissemination of critical theory such as deconstruction?

Miller: "Ivy League" is the name for a group of eight private universities in the northeastern United States, especially the three most elite ones: Harvard, Yale, and Princeton. Why are they called the Ivy League? I believe it's because many of the buildings, especially at Yale and Princeton, were built in a pseudo-Gothic style, modeled after the medieval architecture of Cambridge and Oxford. When you go into the campus of Yale or Princeton, it's like going back in the Middle Ages. These buildings were designed to look old and prestigious, with ivy plants growing on the walls. By a kind of metonymy, the name of the plant that grew on these Gothic buildings came to refer to the schools themselves--Ivy League. The so-called "Yale Critics," located within one of these Ivy League universities, is dispersing because two of those original five people, both Derrida and I, were living outside that league at one point.

Ning: I'm very interested in life at Yale. But first of all, I have another question: Why is Bloom called a "General Professor of the Humanities"?

Miller: The historical fact is that Bloom was originally a professor of English. However, he later quarreled with some members of the English department. The conflict arose because Bloom, although hired as a professor specializing in Romantic literature, was directing dissertations on American literature. One professor in particular, whose field was American literature, objected to this and said, “This is not right! you’re poaching on my territory.” Bloom, who is an aggressive and strong-willed person, became angry and responded, “Fine. I’ll never direct another dissertation for the English department. I’m not going to be permitted to direct dissertations whatever I want, because the principle was wrong. Because a professor at Yale, a principle, your professor of English there, you could direct dissertation than anything.” On the other hand, you can understand the concern. For example, if I had suddenly started supervising dissertations on Beowulf or Chaucer, areas taught by other colleagues, those faculty members would likely have felt annoyed or undermined.

The difficulty in Bloom’s case was that, Bloom is a superb specialist in American literature, even though he wasn’t hired for that, specially canonical figures like Emily Dickinson and Wallace Stevens. His work in that area was widely respected. Eventually, Bloom went to the president of Yale and said, “I want to leave the English department.” At that time, I was the chair of the English department and I said, “Well, it might be a good idea to allow it.” So Bloom was made a Professor of the Humanities and assigned to a different department, separate from English.

Ning: So the English department belongs to humanities?

Miller: Sure. For all practical purposes, it does. But there is still a distinction. Bloom continued to teach, and he gave graduate seminars and undergraduate seminars, and he taught brilliantly. He used classrooms and spaces associated with the English Department to do so. In other words, he succeeded in getting out of the hard and often tedious service work required of English Department faculty, while still doing the parts he enjoyed, mainly teaching. Actually, he directed a fair number of dissertations informally. I know this because I served as the shadow director for several of those dissertations, good ones. Bloom was the one truly guiding the work, even though his name wasn’t formally attached, including one on Emerson.

Ning: Thank you, and my last question would be your perspective on the study of national literature evolved over time, especially regarding the role of English literature in American academic culture?

Miller: If you want to study literature, and if you’re interested in poetry,

novels, and plays in the United States, at least until fairly recently, the most obvious, easiest, and almost inevitable way to do it was to study English literature, to be an English major. For example, that's what I did at Harvard because I was interested in literature. Most Americans don't know French or German or any other foreign language, so relatively few Americans choose to study French or German literature simply because they don't know the languages. What had not occurred to me as odd at the time was that what you study isn't American literature—not the literature of your own country—but the literature of a foreign country. And that never struck me as strange. But if you look over here on my shelf, you'll see a whole lot of books not about American literature, but about English literature, Dickens, Carlyle, George Eliot, several volumes on Shakespeare, Sterne, Trollope, and so on. That's been, at least initially, my profession.

At Hopkins, you could be examined in American literature, and the same was true at Yale, but it was maybe one-sixth of the total, just a small part. At Harvard it was called the Department of English Language and Literature, but it really meant British English. There was a separate department for American Studies. But that's strange, isn't it? It never occurred to me how strange it is that the United States built its cultural ethos and values, its national identity, insofar as those are embodied in literature, not on its own literature, but on the literature of a foreign country. And not just any country, but the one we defeated in the Revolutionary War over 200 years ago. We defeated them and then we went right on studying their literature.

It's only fairly recently, in departments like this one, that we've seen more emphasis on the history of criticism, theory, the development of Women's Studies and other interdisciplinary programs, and a strong growth in American Studies. I borrow a word I don't really like: the hegemony of English literature has begun to weaken, and that's probably a good sign.

On one hand, I regret the loss of an integrated, historical approach to studying English literature. I think that's largely disappeared in this country. On the other hand, I understand why it's happening. And I see the argument: Who really cares about *Beowulf* in the United States, except in an antiquarian way? *Beowulf*, Chaucer, Shakespeare, great as they are, masters of the language as they were, don't belong to us in the same way they belong to citizens of England. They're foreign to us in all kinds of ways.

That's something I hadn't thought much about before. So to be a specialist in English literature as an American is really not all that different from being a specialist in German, French, Italian, or Chinese literature, except that English literature is written in the language we speak. But even then, the deeper cultural

assumptions, about the self, about human relationships, are very different in the U.S. from, say, those in Trollope's world. I hugely admire Trollope. He helped me understand British people to some degree. I like him because he's different from Americans, not because he's like us.

Ning: Thank you very much for this interview.



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