

ISL

文学跨学科研究

Interdisciplinary Studies of Literature

Vol. 10, No. 2, June 2026

ISSN 2520-4920(Print)

ISSN 2616-4566(Online)

Interdisciplinary Studies of Literature

文学跨学科研究

Volume 10, Number 2
June 2026



Published by
Knowledge Hub Publishing Company Limited
Hong Kong

Interdisciplinary Studies of Literature

文学跨学科研究

**Volume 10, Number 2
June 2026**

Editor

Nie Zhenzhao, Guangdong University of Foreign Studies

Associate Editors

Yang Gexin, Zhejiang University

Liu Maosheng, Guangdong University of Foreign Studies

Directors of Editorial Office

Yang Gexin, Zhejiang University

Ren Jie, Zhejiang University

Published by

**Knowledge Hub Publishing Company Limited
Hong Kong**

About: *Interdisciplinary Studies of Literature* (“ISL”) is a peer-reviewed journal sponsored by Guangdong University of Foreign Studies and Zhejiang University and published by Knowledge Hub Publishing Company (Hong Kong) in collaboration with the International Conference for Ethical Literary Criticism. With a strategic focus on literary, ethical, historical and interdisciplinary approaches, ISL encourages dialogues between literature and other disciplines of humanities, aiming to establish an international platform for scholars to exchange their innovative views that stimulate critical interdisciplinary discussions. ISL publishes four issues each year in both Chinese and English.

International Conference for Ethical Literary Criticism (ICELC, since 2012) is an annual international conference for academics and research-oriented scholars in the area of literature and related disciplines. ICELC is the flagship conference of the International Association for Ethical Literary Criticism which is an international literary and cultural organization aiming to link all those working in ethical literary criticism in theory and practice and to encourage the discussions of ethical function and value in literary works and criticism.

Interdisciplinary Studies of Literature is registered with ISSN 2520-4920(print) and 2616-4566(online), and is indexed by Arts and Humanities Citation Index. It is also included in EBSCO, MLA International Bibliography and Annual Bibliography of English Language and Literature.

Submissions and subscription: As the official journal of International Association for Ethical Literary Criticism (IAELC), *Interdisciplinary Studies of Literature* publishes articles only from members of IAELC, and their submissions presented in the annual convention and forums will be accepted for publication in priority. Those authors who are not members of IAELC are encouraged to apply for membership of the association before their submissions. All submissions must include a cover letter that includes the author’s full mailing address, email address, telephone numbers, and professional or academic affiliation. The cover letter should indicate that the manuscript contains original content, has not previously been published, and is not under review by another publication. Submissions or subscription should be addressed to: isl2017@163.com. Website: <https://isljournal.org/>

Contact information: Editorial office, *Interdisciplinary Studies of Literature*, 6 East Building, Zijingang Campus, Zhejiang University, 866 Yuhangtang Rd, Hangzhou 310058, P.R. China. Tel:+86-571-8898-2010

Copyright ©2017 by *Interdisciplinary Studies of Literature*. All rights reserved. No copy shall be made without the permission of the publisher.

Advisory Board

Massimo Bacigalupo / Università di Genova, ITA

Michael Bell / University of Warwick, UK

Charles Bernstein / University of Pennsylvania, USA

Vladimir Biti / University of Vienna, AT

Marshall Brown / University of Washington, USA

Wu Di / Zhejiang University, CHN

Stefan Collini / University of Cambridge, UK

Khairy Douma / Cairo University, EGY

Luo Lianggong / Central China Normal University, CHN

Byeongho Jung / Korea University, KOR

Anne-Marie Mai / University of Southern Denmark, DEN

John Rathmell / University of Cambridge, UK

Claude Rawson / Yale University, USA

Wang Yong / Zhejiang University, CHN

Joshua Scodel / University of Chicago, USA

Shang Biwu / Shanghai Jiaotong University, CHN

Igor Shaytanov / Problems of Literature, RUS

Inseop Shin / Konkuk University, KOR

Su Hui / Central China Normal University, CHN

Galin Tihanov / Queen Mary University of London, UK

Wang Songlin / Ningbo University, CHN

Zhang Xin / Guangdong University of Foreign Studies, CHN

Contents

- 239-253 The Function of Cultural Criticism in a Changing World: An Interview with
Stefan Collini
Jiang Huiling
Stefan Collini
- 254-277 Towards a Community of Science, Technology and the Humanities
Peng Qinglong
- 278-292 When Agency Collapses: Narrative Position, Falling, and Technological
Mediation in *BEATLESS* and *Angels of Johannesburg*
Sanghyuk Lee
Eugene Chung
- 293-300 Ethical Judgement and the Nature of Literary Discourse
Tomo Virk
- 301-317 Lee Yangji's Literature Read through the Theory of Ethical Literary Criticism:
The Ethical Lines, Knots, and Limbo of Koreans in Japan
Inseop Shin
- 318-328 Identity Dilemma and Ethical Choices of Madam Park in the Classical
Korean Novel *The Legend of Madam Park*
Chi Shuiyong
Li Tongjian
- 329-340 Lady Precious Stream's "Breaking Away": Ethical Negotiation and Cross-
Cultural Dialogue in Hsiung Shih-I's Play *Lady Precious Stream*
Liu Maosheng
Luo Junmin
- 341-358 From Textual Intertextuality to Intermedial Generation: A Study on the
Intermediality of Richard Strauss's Opera *Der Rosenkavalier*
Yu Xin
- 359-371 Self, Alienation and Ethical Pursuit: Philip K. Dick's Narration of the
Variations of Spaces
Guo Wen

- 372-383 Zhou Guisheng's Ethical Narrative Choices on the Theme of Crime in
Late Qing Detective Fiction
Sun Guoliang
Shui Xiaoying
- 384-398 A Study of East Asian Ghost Stories and Healing in Bora Chung's
Midnight Timetable
Ma Chunyu
Choe Changruk
- 399-407 The Ethics of Humanism in Michelangelo's Poetry and Painting
Ying Yiwen
- 408-423 An Exploration of the Ethical Connotations of Lime Sculpture Decoration
in Traditional Cantonese Architecture
Luo Wen
Liu Qiyuan
- 424-437 *Nanguo Qingtian*: The First Novel In Dai Contemporary Literature
Riccardo Moratto
- 438-452 My Interdisciplinary Research Journey in Literature
Gao Xudong
- 453-462 Paradigm Innovation and Theoretical Breakthrough: The Theoretical
Contribution of *A Study of Contemporary Western Unnatural Narratology*
Nie Zhenzhao
- 463-472 Viewing British Drama through Chinese Eyes: A Study of British Drama
from the Perspective of Ethical Literary Criticism with a Review of *A
Study on Ethical Narrative of British Drama*
Song Binghui
Huang Yongliang

目 录

- 239-253 变化世界中文化批评的功能：斯蒂芬·科利尼教授访谈录
姜慧玲
斯蒂芬·科利尼
- 254-277 走向科技人文共同体
彭青龙
- 278-292 能动性崩塌之时：《BEATLESS》与《约翰内斯堡的天使》中的叙事立场、坠落与技术中介
李相赫
郑有珍
- 293-300 伦理判断与文学话语的本质
托莫·维尔克
- 301-317 文学伦理学批评视域下的李良枝文学研究——论在日朝鲜人的伦理线、伦理结与伦理悬置
申寅燮
- 318-328 韩国古代小说《朴氏传》中朴氏的身份困境与伦理选择
池水涌
李同健
- 329-340 “出走”的王宝川：熊式一话剧《王宝川》的伦理协商与跨文化对话
刘茂生
罗俊敏
- 341-358 从文本互涉到跨媒介生成：理查·施特劳斯歌剧《玫瑰骑士》的跨媒介性研究
余 鑫
- 359-371 自我、异化与伦理诉求：菲利普·迪克的变易空间叙事
郭 雯
- 372-383 周桂笙对晚清侦探小说涉“罪”主题的伦理叙事选择
孙国亮
水笑莹

- 384-398 郑宝拉《午夜时刻表》中东亚鬼故事书写与治愈叙事研究
马春玉
崔昌笏
- 399-407 米开朗琪罗诗画创作中的人文主义伦理思想
应宜文
- 408-423 广府传统建筑灰塑装饰的伦理内涵探析
骆 雯
刘栖源
- 424-437 《南国晴天》：论当代傣族文学首部长篇小说
莫 冉
- 438-452 我的文学跨学科研究之路
高旭东
- 453-462 范式革新与学理突破：《当代西方非自然叙事学研究》的理论贡献
聂珍钊
- 463-472 中国之眼看英国之戏：文学伦理学批评视野下的英国戏剧研究——
兼评《英国戏剧的伦理叙事研究》
宋炳辉
黄永亮

The Function of Cultural Criticism in a Changing World: An Interview with Stefan Collini

Jiang Huiling & Stefan Collini

Abstract: This interview with Stefan Collini examines the function of cultural criticism in a changing world. The interview focuses on topics like the tradition of Cambridge literary criticism, the Two Cultures Controversy, scientific selection and AI literature, the roles of intellectuals, and ideas about universities. Stefan Collini expresses his continuing commitment to scholarly values in the context of the development and changes in the new era. Collini's insights suggest a nuanced and multifaceted approach to literary and cultural studies. With an emphasis on intellectual adaptability, Collini's perspective on intellectuals highlights their evolving role, influenced by changes in media and communication. Ultimately, Collini considers universities as the home of free inquiry. He understands liberal education as a broader sort of education which attempts to equip people with mental and cultural capacities which should be used for any kind of employment.

Keywords: Stefan Collini; literary and cultural criticism; scientific selection and AI literature; the roles of intellectuals; ideas about universities

Authors: **Jiang Huiling** is Associate Professor at Department of Foreign Language Education for Non-Majors, Dalian University of Foreign Languages (Dalian 116044, China), and Visiting Scholar at the University of Cambridge. Her primary research interests include 20th century British literature and cultural studies (Email: jianghuiling@dlufl.edu.cn). **Stefan Collini** is Emeritus Professor of Intellectual History and English Literature at the University of Cambridge, and a Fellow of the British Academy. He works principally on the relations between literature and intellectual history in Britain from the mid-nineteenth century to the present (Email: sc107@cam.ac.uk).

标题: 变化世界中文化批评的功能：斯蒂芬·科利尼教授访谈录

内容摘要: 本次访谈探讨了变化世界中文化批评的功能。访谈聚焦剑桥文学批评的传统、两种文化之争、科学选择与 AI 文学、知识分子的角色和大学的理念等论题，斯蒂芬·科利尼教授表达了在新时期发展与变革的背景下，他对学术价值观的持续坚守。科利尼教授认为，文学和文化研究需要将细致入微的方法和跨学科的研究方式相结合；知识分子在媒体和交流方式的变化中

应具备良好的适应能力；大学是自由探索的家园，通识教育是一种更广泛的教育，旨在培养人们的心智和文化能力，这些能力应适用于任何类型的职业。

关键词：斯蒂芬·科利尼；文学与文化批评；科学选择与 AI 文学；知识分子的角色；大学的理念

作者简介：姜慧玲，大连外国语大学公共外语教研部副教授，剑桥大学访问学者，主要从事 20 世纪英国文学和文化研究；斯蒂芬·科利尼，剑桥大学思想史和英国文学荣休教授，英国学术院院士，主要研究自 19 世纪中期至今英国文学与思想史的关系。本文为 2025 年度教育部人文社会科学研究规划基金一般项目“20 世纪中期英国小说科学素养培育主题研究”【项目批号：25YJA752005】和 2024 年度大连外国语大学“东北亚学科专业群”重点学科方向团队建设专项“全球文明倡议下比较文学与跨文化研究”的阶段性成果。

Jiang Huiling (Jiang for short hereafter): Professor Collini, thank you very much for offering me this valuable opportunity to interview you. I admire your remarkable expertise in British literature and intellectual history. I am deeply impressed by your words in “Postscript” of *The Nostalgic Imagination: History in English Criticism* (2019) that “writing history inevitably involves the use of both the telescope and the microscope” (208). I think the saying is very poetic. Today our interview will basically cover the areas of literary and cultural criticism, the Two Cultures Controversy, scientific selection and AI literature, the roles of intellectuals and ideas about universities—either by looking back through a telescope at lineages, or by conducting a close examination under a microscope on specific questions.

Shall we begin from the area of literary criticism? As a visiting scholar to the Faculty of English of the University of Cambridge, I attended many lectures during the past three terms. I found that literary criticism is a main course and the names of literary critics like I. A. Richards, F. R. Leavis and Raymond Williams were repeated again and again. They have great influence on Cambridge literary criticism. Could you please recall the origin and its development? May I know your way of teaching this course?

Stefan Collini (Collini for short hereafter): Well, I'll start with the history because I think it is important to understand that the teaching of English in Cambridge began much later than in other British universities. In the 19th century, courses were set up in British universities such as Manchester, Leeds and Liverpool and then eventually at the end of the 19th century in Oxford. And at that time, the style of work was heavily historical, and there was a lot of emphasis on biographical information, and a lot of emphasis on contextual information indeed, just a lot of emphasis on *information*. Students were required to learn a lot about the writers and

their historical settings.

Cambridge at that point didn't have a separate course of English. When it was established first in 1917, and then the English Faculty was established in 1926, the approach to the study of literature was changing. Especially in Cambridge, the emphasis was much more on looking closely at the literary text itself, rather than on the historical information about the text or author. This is why I. A. Richards, who taught in Cambridge in the 1920s, became so important: he devised this experiment which he called "practical criticism," which involved getting students to comment on poems when he had hidden the details of authorship and context. They only had, as it was put, "the words on the page."

Criticism of that kind, attempting to elucidate the meaning of "the words on the page," became more central and really very distinctive of Cambridge. Since then, that style of close criticism has become very widespread. In the United States, in the middle decades of the twentieth century, New Criticism really was doing something similar. Most courses now involve some of this kind of attention to the text. But the Cambridge Faculty of course remains rather proud of this origin and many of the people who teach here have themselves studied practical criticism and been to some extent shaped by it.

I taught it for many years, as you know. And I think the exercise of getting students to do practical criticism is one of the most valuable pedagogical exercises in teaching literature. The students can't prepare their answers; they can't simply unload information. They have to respond to the words put in front of them in a particular text. So I think for that reason, Cambridge has continued to emphasize this. It plays an important part in the undergraduate course. That's why you have come across so many references to it in lectures and classes.

Jiang: I see. Thank you. In *The Nostalgic Imagination*, you focused on the roles a number of prominent literary critics played in Britain between 1920 and 1960. You mention that "all literature has a pastoral dimension" (113). May I know your purpose of writing that book?

Collini: What I said in answer to your previous question was about those figures who are famous for having concentrated very much on "the words on the page" as close critics of the text. It is often assumed that those figures have very little to say about history. So what I was trying to do in *The Nostalgic Imagination* was to show that in fact, although they did concentrate on close reading of the text, there were many historical assumptions buried in their work. And I tried to show how they developed those between 1920 and 1960, and how teaching literature

in that style, especially as developed by people like F. R. Leavis and Raymond Williams, came to serve as a form of cultural history. That was really to change the emphasis, if you like, in the interpretation of that school of critics, to say not that they were ahistorical but that there were historical assumptions in their work, even though their explicit methodology emphasizes looking closely at the text, not history. So that was the purpose of that book.

Jiang: Still in *The Nostalgic Imagination*, I notice the sentence: “In helping to promote the divorce of reason from the feelings, Bacon ‘points forward to the conscious and unconscious utilitarianism of the nineteenth century of which we ourselves are the embarrassed heirs’ (Knights 109) that characterized that much-demonized century” (Collini, *The Nostalgic Imagination* 97-98). Speaking of the “divorce of reason from the feelings” and the rise of industrial civilization, how can we understand better T. S. Eliot’s concept of “dissociation of sensibility” and F. R. Leavis’s “organic community”?

Collini: I think the quotation you referred to there comes from L. C. Knights’s discussion of Bacon and the seventeenth-century dissociation of sensibility. He is interested in what was often called “the scientific revolution” or “rise of scientific modes of thought” and so on. I think the part which you quote is where he is expressing, when he’s writing in the early twentieth century, a reaction against that scientific mode, emphasizing some of its undesirable consequences, perhaps of industrialism and industrial society. It is not a view of my own you are quoting there, it is a view of L.C. Knights’s which I’m discussing.

But that view was quite closely tied to T. S. Eliot’s famous conception of “dissociation of sensibility,” where he suggested something happened to the mind of poets, and more generally to the mind of England, so that reasons and emotions, roughly speaking, became separated. And he went on to claim that it was only in the poetry in his own time that a way was being found to re-unite them. That, of course, was not an interpretation of poetic history that everyone endorsed even at the time.

Similarly, I think Leavis’s emphasis on the “organic community” was a way of criticising the present, especially the present as formed by industrial society, and he was looking back with some nostalgia to an age which was thought to be more organic, where relations were more direct and human, not so much based on machines and on economic exploitation and so on. So again in his case, there is a nostalgic yearning for some imagined past, something he used to criticize the present. Again, I think I would say very few people now endorse this particular way of thinking, but it had considerable persuasive purchase in the 1930s and earlier,

even though it subsequently fell out of favour.

Jiang: What about the present situation? Do you think that it is deteriorating?

Collini: I can't answer for whatever state or states people may think the world is in now. But I do think there is a tendency for people, when they encounter features of their own time and their own society which they don't like or disapprove of, to assume that it was better before. Especially as people get older, they are prone to do this more and more—everything was better in the old days, and things have all gone to the bad now. I've written quite a lot both in *Absent Minds* and in *The Nostalgic Imagination* criticizing that kind of nostalgia. I think it simplifies the past and simplifies the present as well. It runs too many different things together. It is nearly impossible to say in any general way whether things, whatever that means, were better in the past—better for whom?—than they are now. It is often just a way of complaining about the ways things are now. And I think if we take a broad view of the question, for most people on the planet, it is surely better to be alive now than in any time in history. It may not be true for some Western white middle-class men, who used to have more privilege, but now that privilege is more challenged. That in itself is not a reason to generalize and say that “the world” is getting worse. I remain, I think, quite a trenchant critic of those forms of declinism and nostalgia for this imagined better past.

Jiang: I am interested in British literature that is closely related to society and politics between 1930s and 1960s. Can the novels portraying the society in this period be categorized as Neorealism?

Collini: I don't have much to say about this, to be honest. As you know, for that question, the period, especially between 1910 and 1940, is often spoken of as the period of Modernism, in poetry, the novel, and also in some other arts such as painting and music. And Modernism is traditionally thought to be marked by a sense of experiment, using different forms, involving dislocations of ordinary narrative or ordinary time sequence, rather than any illusion of realistic portrayal, and so on—a style of work associated, I suppose, in the novel particularly with people like James Joyce or Virginia Woolf.

I think it is true to say that in the succeeding decades, particularly perhaps the 1940s and 1950s, there was something of a reaction against that and a move back to a kind of realism, a kind of social description which attempted to portray society in a familiar type of narrative progression. I know from correspondence with you that you're interested in C. P. Snow as one of these, and he would be certainly

an example of this. I mean, that very long sequence of Snow's novels from 1940 onwards certainly could be called a kind of realist novel. But also in poetry, I don't know which figures you've come across, but people like Philip Larkin and for a while, Kingsley Amis, and Donald Davie—these figures also wanted to get back to what they saw as a more commonsensical, down-to-earth account of human existence as represented in literature. So I think to that extent there is some sense you can talk about a return of realism in those decades.

Jiang: Yes. It seems that you have written in a similar way in public writing. In *Common Writing: Essays on Literary Culture and Public Debate* (2016), you focused on literary culture, media and public debate. You explained the title of the book that you “hope that the title phrases do suggest the presence of a literary form that is deeply familiar” (1). I am wondering what your inspiration of writing that book is.

Collini: Well, I should say, as you perhaps know, that I quite often write articles and essays for periodicals such as the *London Review of Books* or the *Times Literary Supplement*, and it's a kind of writing that I have done for many years and that I enjoy. It's a little bit different from ordinary scholarly writing because although it's for a very sophisticated audience, a highly educated intelligent audience, it's not a specialist audience. The readers may be professionals in many fields, and even the academics among them may not be only in English or History. So writing for that kind of readership requires different sorts of tone, and different sorts of exposition. You can't quite assume everything you might if you write for experts, but on the other hand, you must absolutely not write down to them.

So reading articles of that kind, in those periodicals, is a common experience. Perhaps we do it on Fridays: the periodical comes through the letter box, we sit down, have a cup of coffee and read an article. So writing of that type can be considered a form of “common writing”: it happens frequently, it's not addressed to a narrow group, but to a wider group of non-specialist readers. So I wanted to write a series of essays that explore that kind of writing addressed to that kind of audience and that's what that book represents.

Jiang: Thanks. These days, when we come to literary theories, new dimensions like queer studies, new materialist criticism and distant reading are being paid more attention to. What do you think of the new trends in literary theories?

Collini: Well, so again there are a lot of different trends there. Surely what has happened in the last forty or fifty years is that new groups, social groups, have

come into education, come into the world of culture, going beyond the narrow small selection as it was in the first half of the twentieth century, and they have brought fresh concerns into play. So, one of the most obvious would be to say that as the number of women in public life and education grew, much more attention was devoted to questions about feminist reading and to the work of women writers. That seems to me a wholly desirable beneficial development as new groups come on the scene, and they help transform what we pay attention to. Similarly, I think with gay and queer writing, it has been very much recognized in the last generation as an expression of social movements as well as literary methodological fashions. And to me, these are things we should welcome. This is part of the democratization of literary studies.

I have to say that my own work is not in that style. My work remains a combination of close criticism and historical contextual interpretation. Although I've learned from some of these trends particularly from deconstruction, which has drawn our attention to the instability of meaning and language—to, if you like, the playfulness or apparently metaphoric nature of so much that is treated as plain statement. Language escapes us in certain ways, it's not simply something we command, and I have learned a lot from works in that tradition, just as a bit earlier I learned a lot from Marxist literary criticism, its attention to the role of, broadly speaking, economic determinism, the clash of classes and so on in culture. So I am sympathetic to those, but my own style of work, what I've written in the last thirty years doesn't correspond to any one of those. It's much more a mixture of close criticism and historical context.

Jiang: Similarly, there is a tendency that science fiction and climate fiction are becoming increasingly popular these days. I think this is due to the change of time. As we all know, it is a time of AI and Anthropocene. But I think that the charm of classic novels of the mid-20th century can never be eclipsed. So how should I study these old novels in the new era?

Collini: The new era is a response to new developments, which literature is obviously always taking into account at present. The enhanced attention to climate change is bound to generate different perspectives—sometimes extremely long historical perspective—that think of the present as part of the Anthropocene beyond historical time. So those things will become material for literature.

I suppose the question you ask is, if that is the case, does it change, should it change, the way you deal with the old novels from this earlier period? And I'm not sure that it should. It depends a little bit what contemporary debates or discussion

you want to relate to. If you're principally trying to get the attention of scholars of fiction in the twentieth century in Britain, then it seems to me the very traditional way in which you have been approaching C. P. Snow would be right, because that's going to bring up his characters, novels, and their relations to the themes that he was writing about fifty, sixty or seventy years ago. But if you wanted to make Snow's novels seem more fashionable for a generation, which is now absorbed by different questions, maybe you could find anticipations of climate crisis in Snow and his worries about the role of science and so on, solving the world's problems including the problem of hunger.

But my point is, you would have to in some way read back dominant contemporary concerns *into* Snow's work if you wanted your writing to attract the attention of those who are absorbed in those debates in the present. I don't think you have to do that. Scholarship is on the whole an escape from topicality, and scholarship is attempting to understand these things in their own terms, often in their own time. So there's no need to do that. But of course, you know, as you say, the world has changed and people have their own different preoccupations from the world in 1950.

Jiang: That makes sense. Thanks for your encouragement. Then we are going to talk about cultural criticism. C. P. Snow's *The Two Cultures* has been well received in China. It has been translated into Chinese, with your long and inspiring "Introduction," which gave me great enlightenment on the understanding of the Two Cultures Controversy. In *What Are Universities For?* (2012), you mention that "In 2009, those studying pure 'humanities' subjects accounted only for some 11% of undergraduate and 9% of postgraduates in British universities" (32). In China today, I notice that there is also a tendency of declining of enrollment in disciplines like humanities in universities. I am wondering what your definition of "culture" is. What are the situations of disciplines today?

Collini: First, just go back to C. P. Snow's the "Two Cultures." You know from the "Introduction" that I wrote that I think it is often a very misleading concept. I think I say somewhere in that "Introduction" we might as well say "two hundred and two cultures" (xlv), it just depends on how you want to divide these things up. I think Snow exaggerated what he saw in his own time as the neglect of science and the scientifically trained. I don't start from Snow's position. One of the difficulties in writing that "Introduction" was to try to make it accessible to a wide audience, without agreeing with or endorsing it.

Then, moving on to the figures about the numbers in humanities in British

universities (and much the same is true around the world). There is surely a long process of historical change at work here: in the nineteenth century and the first half of the twentieth century, the regard for traditional notions of culture focused on things like literature, history and classics was very high and those became staples of university courses. As time has gone on, there has been much less deference towards a traditional concept of high culture and many more sorts of concerns have come into the university—for example, the growth of the social sciences has been a twentieth century phenomenon. And then in the last few decades the growth of much more vocational and applied courses; management or business studies is the most popular at the moment, but you can do courses—I expect the same is true in China—you can do courses in Event Management, you can do courses in Aeronautical Engineering, you can do courses in a great many things. And so the numbers within these expanded universities, who are doing humanities inevitably declined because the number doing these other things has greatly increased.

You can tell me about China, but in the last six, eight or ten years in Britain and the United States, there has been a very sharp decline in the numbers doing humanities subjects, English and foreign languages in particular. And I think that partly has to do with the new fee system in Britain, in which students feel themselves very heavily in debt when they graduate and they think they ought to find some subjects which will enable them to earn a lot of money and pay off the debt. And it is partly the result of a propaganda campaign by the government and others to say scientific or applied scientific subjects are the most worthwhile and that's what people should study. So I think this is a difficult situation for the humanities now to face, which is to make a case for the humanities when it's surrounded by a lot of opinions and a lot of noise about the ways in which they're becoming, as critics say, irrelevant or outdated. They are not at all irrelevant or outdated, of course, but we have to make the case better.

Jiang: Then let's come to the Two Cultures Controversy. In the "Introduction" to Leavis's *Two Cultures? The Significance of C. P. Snow* (2013), you write about the challenge of cultural criticism. You mention the possibility that Leavis plays "the role of 'slow criticism' which, by its indirection and arrest, causes readers to lose their habitually confident footing and to stumble into more probing or reflective thinking" (48). Do you think that the Richmond lecture could be considered as a classic of cultural criticism?

Collini: The short answer is yes. I mean, it's often much attacked because he was so vehement in his criticism of Snow, and it seems so personal. And it's true

that it is quite a fierce attack, but really what Leavis was doing, as I try to explain in that “Introduction,” is to undermine Snow’s authority, to show that he doesn’t have a position of great intellectual eminence from which he pronounces in this way. He is actually not a distinguished scientist and he’s actually not a distinguished novelist. So to do that kind of thing, I think, requires particular rhetorical strategies on Leavis’s part, and one of them is to challenge everyday terms and everyday descriptions. That’s really where the issue about “slow criticism” comes in, to try to make people hesitate and think again about these terms. So in those ways, not necessarily because of his personal attack on Snow, but because of his strategy of critique, I think it is a small classic of cultural criticism.

Jiang: Surely it is. In Leavis’ lecture, he makes his point clear by way of analogy to AI with the satirical claim that Snow’s novels “are composed for him by an electronic brain called Charlie, into which the instructions are fed in the form of the chapter-headings” (Leavis 57). For Leavis, it is unlikely that a machine could possess the creativity of a novelist. However, we cannot deny that we have come to the era of “scientific selection” after “ethical selection”¹ and we have to deal with the interdependent relationship between science and human beings. As Professor Nie Zhenzhao mentions in his article, AIGC (Artificial Intelligence Generated Content) literature is imitating human beings in terms of composing literary texts and “will foster the emergence of virtual AIGC digital writers” (Nie, “Scientific Selection and AI Literature” 9). These narratives seem to “shape our understanding of AI as well as the ways AI is shaped by social, cultural, and historical contexts” (Matthews 115). Could you please express your views on Artificial Intelligence as a fast-developing form of scientific culture? Do you think it will change our common ideas about literary forms and contents, writers and readers, and theories and criticism?

Collini: Leavis, of course, was making a topical reference to “ERNIE,” the acronym for the computer which made the selection of winning numbers in the monthly premium bonds competition. By implication, he was suggesting that Snow is so blindly committed to scientific and technological thinking that he addresses literature as a machine might do.

We now live in a very different world, one which has been transformed by the digital revolution. The development of AI is the most recent stage of this revolution, one that is so recent, and so fast-moving, that it is difficult for anyone to take its

1 See Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398.

measure yet. I am so far from being any kind of expert in this field that I really do not feel I can comment. Naturally, writers and literary scholars would like to believe that, however sophisticated AI may become, there will be levels of creativity and judgment that are beyond it, but I have to say that my cursory reading of news reports about the astonishing achievements in this field make me wonder whether even that is true. But this is a topic best left to people younger than I am: I feel lucky to have lived my own writing life entirely in a pre-AI world!

Jiang: Thanks. In such a changing world, as you mention in *Absent Minds: Intellectuals in Britain* (2006), convictions that the twin forces of “academic specialization” (162) and “mass celebrity” (480) signal the demise of the intellectual. How do you define “intellectual” and what responsibility should intellectuals in the contemporary age bear?

Collini: Another small question! First, I’d like to say about that book that I am, of course, attacking another version of declinism, which is to say the view that there *were* real intellectuals in the past, but now because of media popularization, on the one hand, and academic specialization, on the other, they’ve died out, they’ve become extinct. So I challenge that view. That’s why I discussed those two supposed trends in order to say no, and similar forces have been at work for a very long time. It’s not the case that once there were real intellectuals, but now they have become extinct.

After all, when we talk about intellectuals, we’ve got to think about a variety of ways in which figures who have some kind of specialist expertise address wider audiences on matters of public concerns. What expertise they have changes over history. There is not one template for being an intellectual: those figures who can command public attention on the basis of some intellectual authority and then use that to address matters of public or political concern are going to be called intellectuals.

So I don’t think there is one way to do it right. I think we always have such figures with us. It’s not that they used to exist and died out or whatever. It is that those forms of communication change. Now, maybe quite a few people who would be called intellectuals use podcasts, which, of course, didn’t exist at all a generation ago. As with much use of the Internet and social media generally, those are all channels of communication. So how we understand what intellectuals do has to adapt to those new forms of communication. There are still intellectuals around who are using them, and I suspect they are never going to die out.

Jiang: Thank you. I appreciate your conviction. In your just-out book *What Is Cultural Criticism?* (2024), you and Francis Mulhern grapple with problems of literature, politics and intellectual practice. It originates from two opposing critical traditions: the elite pessimism of “Kulturkritik” and the populist enthusiasms of “Cultural Studies” (32-33). Your opinion is: Tension between culture and politics there may be, but it worked productively in both directions. Could you kindly give some examples to illustrate this point?

Collini: Well, I think in a way you have to look at the book to get the illustration. I should explain perhaps that this began with Francis Mulhern publishing his book *Culture/ Metaculture* and my being asked to review it for *New Left Review*. Then he wrote a piece in *New Left Review*, responding to my critique. And so I wrote a piece responding to that, and we both then wrote further pieces. So it’s a debate that grew up out of his book, and those two traditions you mentioned, Kulturkritik and popular cultural studies, are the ones he contrasts within that book. So I am attempting in my half of the book to, as it were, open up the field of cultural criticism, to allow things other than political perspectives or affiliations to come in, to allow the play of imagination, and to allow for the value of drawing on literature and the other arts in forms of public debate. But my view as expressed in the book will, I think, only make sense in the dialogue with Francis Mulhern’s part of the book. It’s not any kind of freestanding statement, and in that sense, it’s very much a jointly-authored work.

Jiang: Well, speaking of the relationship between culture and politics, it reminds me of Max Weber’s two famous lectures: “Science as a Vocation” and “Politics as a Vocation.” For example, Weber advocates “plain intellectual integrity” (156) in the context of the “disenchantment of the world” (155). What do you think of his ideas?

Collini: You ask such small questions! Well, I’ve quite often quoted Weber from those lectures because I’m very much an admirer of them. Especially, when he says at one point in “Science as Vocation” that the scholar needs “to put on blinkers” (135) against the present, and needs to shut out the contemporary world so that they focus on their scholarship. And I think that’s a particularly relevant point today. We put a lot of emphasis now on the impact of scholarly work in the world “outside”, of reaching out and addressing topical concerns and great issues and that’s all good. But scholarship also has its own imperatives and sometimes it needs to shut out the topical and just concentrate on that. I think Weber gave a long-lived, very powerful, expression to those views. I’m very admiring of those lectures.

Jiang: Me too. Next, let's come to universities. In *What Are Universities For?* (2012), you have re-stated a familiar view of the nature and function of universities. You mention that John Henry Newman's *The Idea of a University* (1873) is highly valued for its defence of the ideal of a "liberal education." For example, American scholar Frank Turner's words are quoted, "No work in the English language has exerted more influence on the public ideals of higher education" (40). May I know your understanding and attitude towards "liberal education"?

Collini: Of course, the phrase is associated with Newman, but it is used to mean a variety of things over various periods since his time. I think the element that has remained important from Newman is the idea that education at university level should be in some sense a training of the powers of the mind, not simply a preparation for one form of specialized employment. And when we use it today, in a very different world from Newman's and with different sorts of universities, I think the tendency is for it to mean that attention is primarily given to the processes of thinking and understanding and marshaling evidence and so on that can be found in most disciplines, rather than to preparing people to occupy one particular slot in the division of labour. So preparing someone to be a dentist perhaps doesn't normally get considered as a form of liberal education, but training someone in medicine that underlies dentistry, leading them to reflect on the categories of information, to see how causality works and so on—that can be a training of the mind which is often called "liberal education." So I don't think there is one fixed syllabus for it, but the way the term is now used is to concentrate on that broader sort of education which attempts to equip people with mental and cultural capacities which should be used for any kind of employment, and for the improvement of our understanding of our lives, rather than as training for a specific job.

Jiang: In *What Are Universities For?*, you reinforce that the relation of universities to society's needs is necessarily an indirect and long-term one, and we should be cautious about allowing their purposes to be reduced to that of training for employment and generating economic growth. In your opinion, what would an ideal university be like?

Collini: There is no ideal university. Universities change over time and different cultures have different types of universities for different purposes, so there could be no ideal university. But the other part of question is that, at the moment, there is emphasis on universities serving economic needs by training people for employment and by undertaking research which will be commercially or industrially profitable. And I think it has always been very important to say that universities

have other functions than that. The character of education goes beyond training for employment. The character of research and scholarship goes beyond anything that might be economically profitable. Universities are the home of free inquiry, and while we protect that kind of academic freedom, we have to let the inquiries go where they will go, where scholars think it is important intellectually and not try to direct them all to economic growth.

Jiang: What is the future of higher education? To be more specific, what qualities should a university graduate have? What can a qualified university teacher do to cultivate his or her students?

Collini: Well, I think I can only repeat the same answer. What surely should be aimed at is to encourage our students to become reflective, analytical and skeptical. That is to say, to challenge, receive opinions, to look for the evidence and where the evidence is different from what was expected, to change their opinions. So I don't think that there's a single blueprint for this. But universities are, perhaps one can say, spaces within which free inquiry can happen and we need to keep that element of freedom about the inquiry. Otherwise, students won't be encouraged to be reflective and analytical; they will simply be trained to fill one particular slot in society.

Jiang: Last but not least, it is said that you have recently completed the book manuscript: *Literature and Learning: A History of English Studies in Britain*¹. Would you please share with us briefly what the book is about?

Collini: Yes. It is about English studies as an academic discipline in Britain from the late eighteenth century until about 1960. So it's a story of universities, and of the growth of institutions, courses, syllabuses, appointments and so on. It's not a history of literary criticism, it's a history of the institutions within which English literature was taught in Britain, from the beginning up to about 1960. And if all goes well, it should appear in about a year's time.

Jiang: I look forward to reading that book. Thank you very much for your generous and enlightening words. Best wishes for you.

Collini: Thank you very much. Best wishes for you and your future career.

¹ See Stefan Collini, *Literature and Learning: A History of English Studies in Britain*, Oxford: Oxford University Press, 2025.

Works Cited

- Collini, Stefan. *Absent Minds: Intellectuals in Britain*. Oxford: Oxford UP, 2006.
- . *Common Writing: Essays on Literary Culture and Public Debate*. Oxford: Oxford UP, 2016.
- . *Literature and Learning: A History of English Studies in Britain*. Oxford: Oxford UP, 2025.
- . *The Nostalgic Imagination: History in English Criticism*. Oxford: Oxford UP, 2019.
- . *What Are Universities For?* London: Penguin, 2012.
- Knights, L. C. *Explorations: Essays in Criticism Mainly on the Literature of the Seventeenth Century*. London: Chatto & Windus, 1951.
- Leavis, F. R. *Two Cultures? The Significance of C. P. Snow*, with Introduction by Stefan Collini. Cambridge: Cambridge UP, 2013.
- Matthews, Graham. "Science, Scientists, and Prehistories of SSK in Mid-Twentieth-Century British Literature." *Configurations* (Baltimore, Md.) 2 (2023): 101-131.
- Mulhern, Francis and Stefan Collini. *What Is Cultural Criticism?*. London: Verso, 2024.
- Nie Zhenzhao. "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.
- 聂珍钊: "科学选择与 AI 文学", 《外国文学研究》3 (2024): 8-17。
- [Nie Zhenzhao. "Scientific Selection and AI Literature." *Foreign Literature Studies* 3 (2024): 8-17.]
- Snow, C. P. *The Two Cultures*, with Introduction by Stefan Collini. Cambridge: Cambridge UP, 1998.
- Weber, Max. "Science as a Vocation." *From Max Weber: Essays in Sociology*, edited by H. H. Gerth and C. Wright Mills. Oxford: Oxford UP, 1946. 129-156.

走向科技人文共同体¹

Towards a Community of Science, Technology and the Humanities

彭青龙（Peng Qinglong）

内容摘要：人类社会和世界文明正在遭受极端气候危机和人工智能技术风险的双重挑战，寻求缓解、乃至破解之道成为当务之急。表面上是自然环境和科学技术引发的问题，实质上是人类的贪欲天性，资本的逐利本性和技术的求新特性等综合作用的结果。推动世界文明可持续发展，就必须摒弃“人类中心论”的传统思维、“欧美中心论”的霸权思维、“文明冲突论”的对立思维和“技术至上论”的偏执思维，不仅要保护生物多样性，使大自然和人类和谐共处，而且要充分发挥人文精神所倡导的真善美的价值引领作用，规约和引导科技向人、向好和向善发展，倡导科技人文共同体理念，实现科技人文共同进步，促进世界文明的共同繁荣。

关键词：世界文明；文明多样性；生物多样性；科学技术；语言文学；科技人文共同体

作者简介：彭青龙，上海交通大学外国语学院特聘教授，主要研究方向为澳大利亚文学、比较文学、外语教育教学、科技人文和区域国别学。本文为上海市哲学社会科学规划重大研究专项课题“中国区域国别学自主知识体系构建研究”【项目批号：2025DZX032】及国家社科基金重大招标项目“21世纪英语文学纪事与研究”【项目批号：23&ZD304】的阶段性成果。

Title: Towards a Community of Science, Technology and the Humanities

Abstract: Human society and world civilization are currently under the dual threat of extreme climate conditions and artificial intelligence technologies. Finding ways to alleviate or even resolve these crises has become an urgent priority. Though the problems appear to originate in the natural environment and in science and technology, they are essentially the combined result of human greed, the profit-driven nature

¹ “科技人文共同体”的倡议最初于2019年5月上海交通大学举办的“对话与融通：首届科技人文国际学术研讨会”新闻通气会上由彭青龙教授提出，旨在主动打破原有的学科“过度细化”以及自然学界和人文社会科学界“过分分化”的局面，消解科技人文老死不相往来的“融通赤字”，有效开展“对话和融通”的跨学科学术交流。为了探索打破学科壁垒、消解科技与人文“融通赤字”的有效路径，《上海交通大学学报（哲学社科版）》围绕“面向未来的科技人文”推出“院士高端访谈”“数字·智能世界”等栏目及一系列文章。

of capital, and technology's inherent drive for novelty. To promote the sustainable development of world civilization, we must abandon traditional anthropocentric thinking, the hegemonic "Euro-American centrist" mindset, the confrontational logic of the "clash of civilizations," and the parochialism of "technological determinism." It is necessary not only to protect biodiversity and foster harmony between nature and humanity, but also to give full play to the guiding role of the true, the good, and the beautiful—values championed by the humanities—in order to regulate and steer science and technology toward human-centered, positive, and benevolent development. We should advocate the concept of a community of science, technology and the humanities, so as to achieve common progress between science, technology and the humanities, and promote the shared prosperity of world civilization.

Keywords: world civilization; diversity of civilizations; biodiversity; science and technology; language and literature; community of science, technology and the humanities

Author: Peng Qinglong is Distinguished Professor at the School of Foreign Languages, Shanghai Jiao Tong University. His main research interests include Australian literature, comparative literature, foreign language education and teaching, the integration of science-technology with the humanities, and international and regional studies (Email: qlpeng@sjtu.edu.cn).

近年来,随着全球地缘政治竞争的加剧,经济衰退风险的提高,军事冲突外溢可能性的增加,尤其是气候危机和生态危机的叠加,以及人工智能技术快速发展双刃剑效应的扩大,人类社会和世界文明正处在何去何从的十字路口,展现出令人忧虑的暗淡前景。“世界怎么了,我们怎么办”(习近平,“共同构建人类命运共同体——在联合国日内瓦总部的演讲”)成为必须认真回答的时代之问、世界之问和中国之问。面对前所未有的挑战,联合国等国际组织提出可持续发展目标,组织世界气候大会,呼吁各国采取共同行动,应对迫在眉睫的威胁。然而,联合国发布的《2024年可持续发展目标报告》显示,效果不尽如人意。“近一半的目标进展甚微或一般,超过三分之一的目标停滞不前或出现倒退”(“2024年可持续发展目标报告”)。中国提出了“人类命运共同体”(习近平,“共同构建人类命运共同体——在联合国日内瓦总部的演讲”)理念及“全球发展倡议”“全球安全倡议”“全球文明倡议”和“全球治理倡议”¹,并通过“一带一路”和进一步改革开放等举措,赢得了

1 2021年9月,习近平主席在第七十六届联合国大会一般性辩论上提出全球发展倡议,呼吁国际社会重视发展,深化国际发展合作。2022年4月,在博鳌亚洲论坛2022年年会开幕式的主旨演讲中,习近平总书记首次提出全球安全倡议,为实现世界长治久安提供中国方案,为推动构建人类命运共同体打造安全之基;2023年3月,习近平总书记在中国共产党与世界政党高层对话会上面向全世界郑重提出全球文明倡议。2025年9月,习近平主席在“上海合作组织+”会议上提出全球治理倡议。至此,全球发展倡议、全球安全倡议、全球文明倡议和全球治理倡议形成有机整体。

国际社会的广泛赞誉和积极响应。人类社会的前途命运和世界文明多样性的生死存亡,关乎每一个生活在地球上的个体、民族和国家的切身利益,因此,缓解、乃至破解世界难题,促进人类文明向前发展,是不同文化和专业背景学者应该承担的历史责任和社会担当。

世界文明及其多样性是涉及人类社会和世界发展的基础性和方向性问题,具有重要学术价值和现实意义。以往的研究者多从地缘政治、民主制度、历史、文化、宗教、社会习俗等人文社会科学角度,论述了文明的内涵和外延及多种文明之间的关系。例如斯宾格勒的“文化(明)周期论”¹,福山的“历史终结论”²,亨廷顿的“文明冲突论”³等。鲜有学者从科技人文共同体的维度,探索世界文明的内涵变迁和当代价值。本文以“人类命运共同体”理念为指导,从生物多样性出发,以人文连接自然和技术为主线,围绕生物多样性与科学技术、语言与文学和科技人文三个专题,阐释世界文明与自然、科技和人文之间的关系,探索构建自然-人类-技术之间和谐共生的生态之道。笔者认为,文明是建立在宇宙中生物多样性基础上发展而来具有较高水平的社会文化,是物质文化、精神文化和生态文化的总和,其中科技文明发挥着重要的形塑作用。之所以将生物多样性拓展至宇宙,并提升科技文明的分量,是因为科技的新探索,使我们越来越认识到地球文明只是宇宙文明的一部分,维护生物多样性的重要性正与日俱增,并成为检验人类文明程度的一把标尺。生物多样性是产生世界文明多样性的母体和源泉,科学技术是形塑文明多样性的引擎和利器,语言与文学是推动文明多样性的根基和灵魂,走向科技人文共同体是世界文明发展的路径和前景。表面上来看,生物多样性似乎与科技人文没有关联,实际上保护生物多样性,建设生态文明,既需要科学技术手段,更需要人文价值和精神的指引。科学技术理应成为形塑世界文明的利器,但缺乏人文规约和引导的科学技术有可能成为“脱缰之马”,造成“人仰马翻”的结局,危害世界文明的健康发展。语言文学是人文学科的代表之一,蕴含其中的人文思想不仅是世界文明发展的根基,也为倡导科学技术以人为本,走向科技人文共同体提供了理论依据。从产生世界文明的源泉出发,论述科学技术与人文之间既相互区别又相互依赖的关系,并统一于科技人文共同体的实践中,有利于提升人们对世界文明及多样性演变规律的认知,助力生态文明、物质文明和精神文明高质量发展。

一、生物多样性与科学技术理应是形塑世界文明的母体和利器

世界文明及多样性是人类社会长期发展的结果,也是科学技术形塑的结果,追根溯源更是生物多样性演变而来的结果。只有将文明多样性与生物多

1 参见 奥斯瓦尔德·斯宾格勒:《西方的没落》,吴琼译,成都:四川人民出版社,2021年。

2 参见 弗朗西斯·福山:《历史的终结及最后之人》,黄胜强、许铭原译,北京:中国社会科学出版社,2003年。

3 参见 塞缪尔·亨廷顿:《文明的冲突》,周琪译,北京:新华出版社,2013年。

样性联系起来,我们才能正本清源,并以人文的眼光和情怀,更好地建设生态文明和维护文明多样性。一方面,生物多样性为生态文明和文明多样性提供了天然的基础条件,另一方面,文明多样性是人类利用科学技术改造生物多样性的结晶。在这一“升华”的过程中,那些经历了岁月洗涤,符合自然界和人类社会发展规律的成果,就会被继承下来,成为世界文明的宝贵财富。大自然像慷慨仁慈的母亲,无私地为人类社会提供源源不断的资源,理应成为被珍惜和保护的对象,但由于人类自身的错误认知和短视行为,肆无忌惮地利用理应为世界文明做出积极贡献的科技利器,不断地向大自然索取和掠夺,致使其伤痕累累,千疮百孔,甚至到了奄奄一息的地步,因此,唤醒更多的人重新认识生物多样性的价值,并重新审视科技利器的双刃效应显得十分重要,甚至是刻不容缓。

事实上,生物多样性是生态文明建设的关键,也是文明多样性的母体和源泉,因此,在气候危机和环境危机日益严重的今天,应该对其内涵及要素之间的关系有全面而深刻的认识。“生物多样性是指所有来源的活的生物体中的变异性,这些来源包括陆地、海洋和其他水生生态系统及其所构成的生态综合体;包括物种内、物种之间和生态系统的多样性”(联合国,“生物多样性公约”)。在生物多样性中,遗传多样性是个体生命的内核。科学家们通过种种实验,发现了大量物种基因繁殖和突变的规律,这些规律对人类了解物种基因之间的关联,以及对人类社会的生存和发展的影响至关重要。物种多样性是遗传多样性分化的源泉。一个国家或者区域物种的多寡,决定了其自然资源可供开发利用的程度。物种多样性的分布一般受到地形地貌、地理位置、气候和区域环境的影响。生态系统多样性是指一定区域的生态圈环境、生态群落和生态过程的丰富和多样程度。按照生境性质分为陆地生态系统、海洋生态系统、淡水生态系统,依据受人类的影响程度分为自然生态系统和人工生态系统,还可以依据与外部环境联系的程度分为隔离生态系统、封闭生态系统和开放生态系统。生物多样性的三个组成部分在宏观、中观和微观发挥着各自不同的作用,其中,遗传多样性是生命之源,物种多样性是生态系统多样性的基础,而生态系统多样性则是人类社会可持续发展和世界文明多样性的环境保障。

大自然蕴含的丰富多样的生产生活资料,在科学技术的带动下,为人类社会生产力的发展奠定了坚实的物质基础。马克思曾经指出,“社会劳动生产力,首先是科学的力量”,“大工业把巨大的自然力和自然科学并入生产过程,必然大大提高劳动生产率”(425)。这一经典论断,深刻洞悉了科学与生产力、科学与工业生产之间相互依存的关系。邓小平认为,“科学技术是第一生产力”¹;习近平也强调,“科技创新,就像撬动地球的杠杆,总能

1 1978年3月,全国科学大会在北京人民大会堂隆重召开,邓小平发表重要讲话,阐明马克思主义关于科学技术在社会发展中的地位、作用的理论,旗帜鲜明地指出“科学技术是生产力”。

创造令人意想不到的奇迹”（“习近平在中科院第十七次院士大会、工程院第十二次院士大会上的讲话”）。纵观世界文明发展史，人类社会从农业文明，到工业文明，再到信息文明、甚至宇宙文明无不彰显科技创新的引擎作用和硬核力量。工业革命之后，科学技术利用和改造自然的能力大幅增强，其形塑人类社会和世界文明的利器作用更加明显，不仅促进了人类平均寿命的提升，而且丰富了人类的物质生活和精神生活。例如，第一次工业革命前，人类的平均寿命不到 40 岁，但到了二百多年后的今天，几乎翻倍。《2024 年世界人口展望：结果摘要》报告显示，2024 年世界人口已达 82 亿，人均预期寿命达到 73.3 岁。发达国家和地区的平均预期寿命为 79.9 岁，较不发达国家和地区的平均预期寿命为 71.7 岁，最不发达国家和地区的平均预期寿命为 64.1 岁。这说明，社会经济和医疗卫生条件发展程度与平均预期寿命呈正相关关系。物质生活和精神生活条件、特别是医疗卫生条件越好，平均预期寿命越长。因此，人类在“征服”自然的过程中，尤其是在追求高质量的生命和高品质的生活的过程中，包括生命科学、生物学和医学等领域科学技术的进步，发挥了无法替代的核心作用。

“我们不要过分陶醉于我们人类对自然界的胜利。对于每一次这样的胜利，自然界都对我们进行报复”（中共中央马克思恩格斯列宁斯大林著作编译局，《马克思恩格斯文集》第 5 卷 998）。恩格斯的警示言犹在耳，并不幸成为严峻的现实。“由于过度消费、人口增长和集约农业，野生动物数量急剧下降。物种灭绝的速度正在加快，目前有 100 万物种受到威胁或濒临灭绝。砍伐森林、气候变化和将旷野转化为人类食物生产地正在摧毁地球的生命之网”（Guterres）。对大自然的掠夺式开发和利用，致使各种自然灾害频繁发生，大规模的干旱、水涝、极端天气、泥石流、沙尘暴、水污染等不断侵袭地球，其破坏性渐趋增大和频次日益增加。“2022 年和 2023 年，占全球总人口约四分之一的 18.4 亿人生存条件受干旱影响，其中大部分民众来自中低收入国家”（联合国，“《联合国防治荒漠化公约》秘书处 2022 年数据报告”）。气候破坏、生物多样性遭破坏及污染问题，三场相互关联的环境危机，正威胁着人类的生存。对于这一关乎人类可持续发展的重大问题，不同学者提出解决问题的立场和方法各不相同。悲观派“罗马俱乐部”的学术团体¹认为经济发展应该放缓，以保证地球资源的延续。指出人类文明需要几个地球，如此高速地发展制造业，必然导致资源的匮乏，最终导致社会崩溃，因此需要抑制整个社会、经济的发展，甚至有人为了保护自然，认为社会应该倒退，这是必须承担的代价。乐天派认为，世界的发展将是一个没有极限的

1 罗马俱乐部：是关于未来学研究的国际性民间学术团体，也是一个研讨全球问题的全球智囊组织。俱乐部的宗旨是研究未来的科学技术革命对人类发展的影响，阐明人类面临的主要困难以引起政策制订者和舆论的注意。目前主要从事有关全球性问题的宣传、预测和研究活动。成立于 1968 年 4 月，总部设在意大利罗马。

增长过程,资源会随技术的发展齐头并进。¹诚然,这些观点也只是反映了20世纪部分学者看法,甚至有些“落伍”,因为20世纪的人类社会还没有面临21世纪如此严重的三重危机。国际社会越来越认识到其严重和迫切程度,联合国多次召开世界大会,试图扭转这一局面,使其重新回到保护自然的轨道中来。例如,联合国促成了190多个国家和地区签署了《生物多样性公约》《2030年可持续发展议程》和《联合国气候变化框架公约》希望到2050年实现“与自然和谐相处”。²《联合国气候变化框架公约》第二十八次缔约方大会上达成了“同意将食物和农业举措优先纳入本国的减排行动”(魏然)。然而,自然的退化并非纯粹的环境问题,它既涉及世界经济、健康、人权、社会正义和地缘政治等领域,也与西方发达国家曾经掠夺发展中国家自然资源的不光彩历史相关,如何清算历史责任和平衡当前义务是一个复杂问题。

客观地说,科学技术是形塑世界文明的利器,给人类社会带来巨大进步的科技文明也是世界文明的重要组成部分,即便是人类社会面临诸多棘手的全球气候问题和环境问题,也亟需依靠科技创新来解决。例如,运用科学技术发展太阳能、风能等清洁能源以代替化石燃料,发展绿色能源的交通工具,减少二氧化碳的排放,利用机器人进行大规模植树造林或者智能技术检测和预警大气、水资源变化等。人类社会的福祉和可持续发展离不开科学技术的普及和应用,这是毋庸置疑的。但是,也应该辩证地看到科学技术所带来的双刃剑效应,尤其是负面效应。从历史语境来看,西方文明凭借其创造的“机器体系”技术与文明概念³以及在科学、技术和产业领域的创新取得了辉煌的成就,使得他们在与其他文明竞争中处于十分有利的位置,客观上形成了世界文明的多样性,产生了“欧美中心论”“欧美一元论”的文明话语。西方国家不断利用科技文明成果,争夺世界霸权,成为世界动荡的根源。例如,包括核武器在内的各式先进武器被西方国家滥用,发动多次战争,给人类带来了无穷的灾难。无论是西方文明内部发生的战争,如,1754至1763年英法争霸的七年战争,1804至1815年的拿破仑战争,第一、二次世界大战等,还是西方国家对亚非拉地区发动的殖民战争,凝聚着人类智慧的武器都发挥着巨大的作用,造成了对世界文明的伤害、乃至大倒退。因此,在某种意义上来说,西方的科技文明带有血腥的味道,沦落为维护资本主义统治的工具。“战争不仅是国家兴旺的保证(就像有人说的那样),而且也是机器体系兴旺的保证”(Mumford 89)。战争使统治阶级获取利益,而绝大多数的平民百姓

1 参见金涌、阿伦斯:《资源·能源·环境·社会——循环经济科学与工程原理》,北京:化学工业出版社,2009年,第30页。

2 参见联合国:“昆明-蒙特利尔全球生物多样性框架”,联合国,2022年12月18日,访问网址:<https://www.cbd.int/doc/c/24c4/f499/13be84eb1e7cce8a33613617/cop-15-l-25-zh.pdf>,访问时间:2024年8月23日。

3 “机器体系”由马克思提出,后来美国学者芒福德在《机器神话》《技术与文明》等书中对此概念进行了阐释和解读。

却遭遇无尽的伤害。

从现实场景来看,生物基因技术和人工智能技术给人类社会和世界文明带来的潜在风险正在增加。如果说,在这两项技术取得突破之前,科学技术带来的负面效应具有一定程度的制约性和可控性的话,那么基因编辑技术和人工智能技术带来的风险具有即时性和共生性,这就需要人类社会时时规约和监管其推广使用的程度。“基因编辑婴儿”所引发的法律和伦理问题以及人工智能渗透到人类生活所造成的数据隐私泄露和数据安全问题成为人们关注的热点。隐藏其背后的是对数据主义的崇拜。“宇宙由数据流组成,任何现象或者实体的价值就在于对数据处理的贡献”(Harari 341)。而对此坚信不疑的恰恰是计算机科学和生物学,其中又以生物学更为重要。在后者看来,“生物体都是生化算法”(Harari 341)。按照这一逻辑,过去以人为中心的世界观要走向以数据为中心的世界观。一旦人类在计算机技术上获得突破,尤其是万物互联网开始运营,“人类就有可能从设计者降级成芯片,再降级成为数据,最后在数据的洪流中溶解分散,如同滚滚洪流中的一块泥土”(Harari 365)。在生物科学和计算机科学之间,探索为人类创造福祉的互联互通、相互成就之路,是正当的和合理的,例如,运用基因技术和人工智能技术治病救人,挽救患者的生命都不为过,但将人类感觉、意识、情感、意志都数据化和智能化,并依靠数据处理系统来统摄人世间一切事物,导致人类的主体性丧失,必将产生危险的局面,甚至是失控的局面。因此,在人类发展生命科学技术 and 计算机科学技术的时候,对科技决定论或者数据主义要保持警惕和批判的态度,依然要坚持科技以人为本的原则,平衡好科技与人文的关系。

“应对共同挑战、迈向美好未来,既需要经济科技力量,也需要文化文明力量”(习近平:“深化文明交流互鉴 共建亚洲命运共同体——在亚洲文明对话大会开幕式上的主旨演讲”)。习近平在亚洲文明对话会的讲话,说明了科技硬实力和人文软实力在应对人类社会面临的重大问题中不可或缺的作用和紧密关系,其中后者“关注的是人类凌乱、无边界、无算法规则的状态(……)追求的是启发性的复杂性,而不是追求科学那种优雅、清晰的简单性”(Moran vii)。气候治理和环境治理需要包括人文学科在内的多学科知识才能解决。人文学者、甚至作家的积极参与,能从不同角度唤醒人们对大自然的理性认知和情感共鸣。从18世纪末和19世纪初赞美大自然反思理性的浪漫主义思潮,到19世纪20至60年代尊重人类精神与自然之间相互依赖关系的超验主义,再到20世纪90年代方兴未艾关注人与自然关系的生态批评、环境批评等,文学批评家、哲学家、历史学家从不同的专业领域出发,深入探讨关乎环境、生态伦理、空间资源、生物文化等议题。例如,生态批评和文学地理学就是其中的代表之一。前者“探索文学及其他文化形式同自然界之间的关系,通常将其与提高环境问题意识的任务结合起来。一方面,它

处理属于地理学和生物学职责范围内的‘自然’现象，表明它们是文化和历史力量的产物，充满了意义和隐喻；另一方面，它考察了文化如何实现与自然的分离，在人类与非人类之间产生等级差异”（Moran 188）。后者试图在地理学与人类学、社会学、考古学和历史学等其他学科建立联系，表明景观地理不是自然的，而是由文化产生的。文学地理学与科学技术、人文地理信息系统相结合，又引发了文学地图学的研究。技术既是物质对象，又是叙事手段，唐娜·哈拉维提出了融合生物、机器和人的“赛博格”概念，她认为在当代文化中，“我们都是怪物奇美拉，是理论化和编造的机器有机体的混合物；简单地说，我们就是赛博格”（Moran 180）。尽管不同流派的思想观点具有时代性，也不乏迥异的立场和方法，但不同程度地推动了环境保护运动向前发展，对于提高人们的环境保护意识和认知水平有重要意义。围绕自然-人-技术而创作的文学作品也不在少数。从歌颂山川河流、草木花香的中国唐诗宋词和西方的田园诗歌，到气候变化小说和生态文学作品，再到反映技术、自然和人类关系的科幻文学作品，无不展现出文学家对自然的钟爱之情和对技术革新反思的社会担当。诚然，他们的作品并无解决问题的具体方案，但他们以独特的文学艺术，发挥作品在情感和精神上的“救赎”功能，激发人们对这些关乎人类前途命运和世界文明走向的深入思考。

生物多样性减少和生态环境遭到破坏，以及生物技术和人工智能技术所带来的风险是人类社会面临的共同挑战。为了应对这些挑战，必须摒弃人类中心论和技术决定论的思维方式和做法，并动用政治、经济、教育、科技和人文等综合力量，大力推动生态文明建设，促进人、自然和社会和谐相处。尊重自然、顺应自然和保护自然不仅应该是人类共同倡导和遵守的价值理念和伦理规则，而且应该将其融入经济建设、政治建设、文化建设和社会建设各个方面和全过程。¹步入“人类世”（孙周兴 98）或者“技术统治与类人文明”（孙周兴 73）时期，科学技术的主导和支配地位几乎不可动摇，人类身体技术化和人类心灵数据化、智能化的趋势似乎不可逆转，人工智能技术是解放人类，还是奴役人类，抑或是消灭人类，是科学家在不断突破技术瓶颈的“软奇点”²需要认真思考的关键问题。在涉及人类社会和世界文明是否可持续发展的大是大非面前，必须为自然资源开发和人工智能技术利用划出一条不可逾越的红线或底线，以防止人类因生态环境恶化和技术失控而遭到灭顶之灾。这就需要人文学者在充分肯定和大胆借鉴自然科学领域最新成果的同时，挑战其自信满满的形象，使用人文学科的解释模式，不断敲响风险将至的警钟，从而为子孙后代创造更加美好的未来，贡献当代人的智慧和力量。

1 参见 杜祥婉、谢和平、刘世锦：《生态文明建设的重大意义与能源变革研究》，北京：科学出版社，2017年，第49页。

2 参见 凯文·凯利：《必然》，周峰等译，北京：电子工业出版社，2016年，第338页；也可参见 孙周兴：《人类世的哲学》，北京：商务印书馆，2020年，第87页。

二、语言与文学本应是推动世界文明发展的根基和灵魂

如果说科学技术是推动人类社会进步发展的引擎的话,那么作为人文学科的基础和重要组成部分的语言文学,则是推动世界文明发展的根基和灵魂。前者主要体现于物质文明的创造和繁荣,后者在精神文明和生态文明建设中发挥价值引领作用,两者之间既相互联系,又相互区别,共同致力于基于生态文明基础上的物质文明和精神文明的融合发展和共同发展。之所以强调语言与文学的根基和灵魂作用,并非因学科自恋而漠视哲学、历史和艺术的重要价值,而是在地缘政治和科技竞争的语境下,尤其是人工智能技术飞速发展的背景下,数据主义对其价值存在解构的风险,急需建立具有中国心、中国魂和中国价值的语言文字大数据,从而消解或者减少强势语言——英语,对中国语言文学的巨大冲击。表面上来看,大数据模型中的数据是算法的基础,是语言文本转化而来的结果,实质上数据背后也是中西之间的价值观之争,甚至是人工智能文化之争,西方社会盛行的注重个人体验的自由人文主义和强调竞争的进化人文主义,也许在数据主义面前也会面临被肢解的可能性,但中国所信奉的社会人文主义符合历史潮流和人类社会发展的方向,因此,在唱衰人文学科和人工智能技术迭代升级的时刻,呼吁和重视所谓“低价值”的人文学科,重申语言与文学中所蕴含的人文价值,坚守和发扬人文精神,是应时代之需、答时代之问的正当之举。

语言是创造和形塑文明多样性的根基,也是世界文明交流互鉴的桥梁。“语言是从劳动中并和劳动一起产生出来的,这是唯一正确的解释”(中共中央马克思恩格斯列宁斯大林著作编译局,《马克思恩格斯文集》第9卷553)。人类社会发明创造的文字各不相同,语言文明进程不相一致,有先有后。例如,拉丁文、希腊语和阿拉伯语等到了中世纪才演变成为较成熟的系统性、规范性语言。中国汉字的形体经过3000多年的演化,逐步形成了形音义三位一体的结构体。世界上现存的语言达5000至7000种,意味着存在几千种多姿多彩的文明。保持语言多样性是维护文明多样性的根本。语言因人际交流而生,也因深入交流而盛,是保持文明活力的路径。语言交流最初主要是限于同一个族群或者民族之间,地域范围不甚广阔,随着人类跨民族、跨区域经贸活动的展开,不同语言之间、文化和文明之间的交流日趋活跃。到了现代社会,多种文明之间的交流更趋频繁,互学互鉴更是稀松平常之事。“人类文明都不是孤立的体系。历史上每次文化大分化似乎都是文化融合的结果”(Mumford 99)。进入全球化时代,人员、信息、资本、技术流动更加便捷,包括语言产品和语言服务在内的经贸活动,正在以前所未有的广度和深度而展开,世界正在变成你中有我、我中有你的命运共同体。

语言是新质生产力提升的数据基础。新质生产力旨在利用第四次科技革命在大数据、互联网、云计算、区块链及人工智能等领域的技术突破,对生

产要素进行更具创新性的科学配置,提高生产力发展水平,满足人们对物质文明和精神文明的需要。新质生产力对劳动者、劳动资料、劳动对象三个基本要素提出了更高的要求。劳动者是具有技术能力、创新能力和较高素质的新型劳动者,劳动资料则是数字化、智能化的生产工具、高效便捷的基础设施和科技含金量高、绿色化能源设施等新介质劳动资料。劳动对象既包括自然界、乃至广袤宇宙提供的物质资源,也包括由高科技转化而来的新料质物品等。高素质、新介质和新料质¹的新型生产要素的组合,以及生产关系中体制机制的改革,必将推动中国社会经济的高质量发展。语言本质上属于软实力范畴,但以语言为基础的大数据,是人工智能创新的关键要素之一,“数据是新的石油”,“世界上最宝贵的资源不再是石油,而是数据”(经济学人)。这说明语言在人工智能时代有其不可估量的巨大价值,因此,我们应该把中文学习好、掌握好和传承好。

民族语言(nation language)是助力实现中国式现代化的支撑。中华文明之所以连绵不断,是因为民族语言发挥着重要的支撑作用。民族语言是民族文化的载体,更是彰显中华文明生生不息的根脉,脱离了民族语言和文化传统,一切都无从谈起。鲁迅用“三美”概括汉字之美:“意美以感心,一也;音美以感耳,二也;形美以感目,三也”(1)。是“诗意栖居”的语言文明。例如,陆游的“烂漫不过世间花,慢煮光阴一盏茶。”表达了对美好宁静生活的向往以及对人生透彻的领悟。邵雍的“一去二三里,烟村四五家,亭台六七座,八九十枝花。”自然朴实的语言,寥寥几句,便勾勒出诗意盎然的山村美景。中华文化博大精深,经史子集中蕴含的国学精髓,先秦子学、两汉经学、魏晋玄学、南北朝隋唐道教与佛学、宋明理学和清代朴学中的深刻文化思想,唐诗、宋词、元曲和明清小说中的语言文字及其看待世界的思维方式和思想智慧,都是中国式现代化所依托的文明遗产。正如习近平所言,“中国式现代化,深深根植于中华优秀传统文化。”²

语言与文学、文化密切相关,其相互依存、相互促进的关系,共同书写了世界文明的华彩乐章。语言是思想情感表达的手段,其美学价值只有在文学作品中才能得到彰显和升华。文学是语言的艺术,是思想、情感存在的家园,文化是价值、精神存在的家园。文学与文化密不可分,文学作为文化生动而形象的载体和有力的传播者,在世界文明进程中发挥着不可替代的独特作用。它通过文字和文本,既创造性地发挥其承载功能,表征文化,又通过具有文化内涵的文学表达,感受文明的进程和发达程度,使之成为文明的感受器和活化石。与此同时,文化和文明又是文学创作取之不尽、用之不竭的

1 参见 蒲清平、向往:“新质生产力的内涵特征、内在逻辑和实现途径——推进中国式现代化的新动能”,《新疆师范大学学报(哲学社会科学版)》1(2024):78。

2 由习近平总书记在学习贯彻党的二十大精神研讨班开班式上的重要讲话中提出。

资源，为文学的繁荣发展提供了肥沃的土壤。¹

文学是世界文明变迁的活化石，也是民族心理与精神变迁的感受器。自人类创造文字以来，不同民族广义上的文学文本记录了人类社会早期的想象及生产实践和社会活动。例如，中国的《女娲补天》《大禹治水》《周王游行记》等；西方的《耶稣出生的传说》《创世纪》《宙斯》等。进入“轴心时代”，涌现出一众富有影响力的思想经典，例如，《道德经》《论语》《摩诃婆罗多》《伊利亚特》《奥德赛》等，不仅决定了各国的思想精神和文学范式的走向，而且成为影响当今人类文明多样性的源头和基因，为后世的文学繁荣奠定了基础，甚至为理解现代文明，以及国家、区域、全球治理提供思想借鉴。中西文明在此之后的岁月展现不同的发展路径，文学发展也呈现别样的风采。无论是从内视角描写中国农业文明的文学作品，还是从内外视角刻画西方工业文明前后的阶级矛盾和民族矛盾的散文、小说，都成为记载世界文明多样性的活化石。文学是“人学”，是“物学”，也是“人物学”²，但归根到底是人学，是刻画民族心理和民族精神的语言艺术。例如，一战后，西方文学中涌现不少反思人类文明和人性的著作，“迷茫的一代”实际上展现了那个年代西方国家的民族心理和精神。再例如，近代中国遭遇了前所未有的民族危机，鲁迅、郭沫若、梁启超等人通过文学作品，唤醒民族独立意识，彰显出反击外敌入侵的民族心理和民族精神。20世纪90年代，中国出现的寻根文学、伤痕文学和先锋文学，从文学的角度，回答了中国现代化进程中如何对待传统文化和西方文化，如何处理中国历史与世界现实关系的时代之问。21世纪以来，中国文学呈现出多元和多样的景观，是中国迈向国际化和全球化的缩影。不同时代的世界文学中所呈现的不同国家的民族心理和民族精神，是文明多样性的真实写照。

文学是文明多样性价值观呈现的载体。所谓价值观就是对真善美价值的认识和追求，集中体现人们的社会理想和人生理想。作为文明多样性的精华，文学发挥着价值观的重要承载功能，通过故事情节和人物塑造，以春雨润无声的方式使读者自觉或者不自觉地接受价值观的洗礼，氤氲其中，潜移默化地影响读者对真善美的认知。例如，中华文明强调“天人合一”“温良恭俭让”“协和万邦”“和而不同”的文化思想，而西方文明中所宣称的自由、平等、民主、博爱背后则注重个人优先、以人为本和宰制他人，凸显冲突意识和二元对立思维。这些价值观在各国文学中都有充分而具体的呈现。例如，迟子建的《额

1 参见 彭青龙：“世界眼光与比较视角：文明、文化、文学的话语变迁及权力转换”，《外语教学》3（2023）：13。

2 1918年12月，周作人在《新青年》发表的“人的文学”一文提出“用这人道主义为本，对于人生诸问题，加以记录研究的文字，便谓之人的文学”，认为新文学即“人的文学”；文艺理论家钱谷融先生1957年5月于《文艺月报》上发表的“论‘文学是人学’”一文中提及：“高尔基曾经作过这样的建议：把文学叫做‘人学’”；2022年，傅修延在《天津社会科学》发表“文学是‘人学’也是‘物学’”一文。

尔古纳河右岸》¹描绘了鄂温克族部落的历史兴衰以及与大自然和谐共生的画卷，展现了民族文化的独特魅力和中华民族的坚韧顽强的精神，堪称民族的史诗。陈忠实的《白鹿原》²讲述了白、鹿两大家族自清末以来长达半个多世纪的恩恩怨怨，中华民族的家庭观、道义观、民族观蕴含其中。路遥的《平凡的世界》³刻画了20世纪七八十年代中国农民热爱生活，吃苦耐劳的乐观态度，与中华民族的价值观一脉相承。美国作家玛格丽特·米切尔的长篇小说《飘》⁴描写了美国内战时期女主人公追求自由、独立的形象和金钱至上的价值观。马克·吐温的《哈克贝利·费恩历险记》⁵则通过描写哈克和吉姆离家出走的经历，展现了追求自由民主的冒险精神，其所遇到的道德伦理困境，恰恰揭示了美国个人、集体和社会的复杂关系。现代主义小说《喧嚣与骚动》⁶是威廉·福克纳的代表作，讲述了南方种植园地主走向破产的故事，对美国资本主义社会的腐败堕落及实力主义价值观进行了批判。价值观是最大的软实力⁷，表征价值观的文学是体现民族认同的媒介。

中国优秀传统文化是中华文明的文脉和特性。传统文化往往指某种文明演化而汇集成的反映民族特质和风貌的民族文化。中华传统文化形成了以儒家思想、古诗文、中医、民俗、茶道、园林等为主要内容的文化体系，对中国当代文化产生了广泛而深刻的影响。例如，儒家思想中的仁、义、礼、智、信、忠、孝、悌等；中医中的“医乃仁术”观；民俗中的“孝”和“礼”现象；茶道中的“清”和“雅”以及中和之美；园林中的“中庸”所体现的均衡与和谐之美，凡此种种，不一而论。古诗文是中华优秀传统文化的代表，由于种种原因，包括诗文传统在内的传统文化并未得到应有的重视，甚至如陈众议所说的“中国传统文化遭到跨国资本的肢解或者视觉文化的冲击”（“民族传统遭遇跨国资本”第13版）。事实上，古诗文不仅是中华文明的独特标识，而且寄托着中华民族的精神和灵魂。每每读到陶渊明的“采菊东篱下，悠然见南山。山气日夕佳，飞鸟相与还”，便激发了人们对田园生活的向往，渴望立刻动身，远离尘嚣，与大自然融为一体。再读到杜甫的“安得广厦千万间，大庇天下寒士俱欢颜”，又感叹诗人的悲悯情怀和郁郁不得志的悲壮。读李白的“君不见，黄河之水天上来，奔流到海不复回”，则情不自禁地感叹他的豪情万丈和气势磅礴。中国的古诗文，无论是抒发对自然的热爱，还是友情、亲情、爱情的赞美，抑或是表达对现实的不满，都是中华民族思想情感的独特表达，共同描绘了中华民族色

1 参见 迟子建：《额尔古纳河右岸》，北京：北京十月文艺出版社，2005年。

2 参见 陈忠实：《白鹿原》，北京：人民文学出版社，1997年。

3 参见 路遥：《平凡的世界》，北京：人民文学出版社，2005年。

4 参见 玛格丽特·米切尔：《飘》，李美华译，南京：译林出版社，2009年。

5 参见 马克·吐温：《哈克贝利·费恩历险记》，张友松译，南昌：江西人民出版社，1983年。

6 参见 威廉·福克纳：《喧嚣与骚动》，李文俊译，上海：上海译文出版社，2007年。

7 参见 陈众议：《生活的意义》，北京：作家出版社，2014年，第307页。

彩斑斓的精神世界。

语言文学是推动世界文明发展的根基和灵魂，在于思想文化的继承与创新。语言文学经典是世界文明的宝藏，既是其文化基因根脉，也是精神图谱展示的窗口，更是思想文化灵魂的集中表现。当今世界任何国家的发展及治理不仅需要从本民族思想文化遗产中汲取营养，而且需要从世界文明借鉴中获取智慧，才能破解发展赤字和治理赤字的难题。因此，守护好世界文明中各国的文化传统，学习好本民族的语言文学经典，继承好其思想文化中的优秀基因，发扬好其对当今人类依然有启示的文化思想，并通过创造性发展和创新性转换，就是维护和尊重世界文明多样性的最佳体现和最大贡献。在“人文危机论”和“文学已死”¹等论调甚嚣尘上之际，在中西阵营对抗叙事、乃至“文明冲突论”死灰复燃、甚至大行其道之时，我们依然要心怀梦想，沿着从语言文字，到文本文学，再到文化文明的路径，共同构建世界文明共同体，使各种文明思想在相互激荡、相互借鉴的对立统一演变过程中焕发魅力，绽放光芒。

三、走向科技人文共同体

文明多样性是人类社会的独特存在，并按照自身的规律而发展变化。一方面，人类文明具有稳定性和继承性，延续数千年的思想观念、生活方式，社会制度、风俗习惯等，依然会按照各个文明的演进方式，向前推进，总体上保持自身的特色。另一方面，人类文明也具有创新性和开放性，不断突破自我，并借鉴和吸纳其他先进文明成果，保持文明活力。

人类文明的创新性和包容性不仅体现于科学技术和人文学科的创新，而且更重要的是，体现于包容性科技人文创新。就前者而言，科学技术和人文学科创新贯穿于人类文明发展的始终。历史上曾经出现过多次科学与人文关系的争论，例如，柯勒律治与边沁之争，阿诺德与赫胥黎之争，张君勱与丁文江之争，还有利维斯与斯诺之争等²，其中“利维斯—斯诺”之争在世界范围内引起了巨大轰动。但科学和人文无法分割分裂是不争的事实，每一次科学技术的重大突破无不是人文科学为其准备思想文化条件的，这从人类科技发展史可以明显地看出。就后者而言，科学技术的飞速发展，特别是人工智能技术迭代升级所带来的伦理等风险，使得人们认识到科学技术必须与人文学科紧密结合，才能解决人类社会面临的共同挑战。如果说，前三次科技革命的核心目标是为人类生产实践活动赋能的话，那么，以数字化和智能化为

1 参见 马克斯·霍克海默、西奥多·阿多诺：《启蒙辩证法》，渠敬东、曹卫东译，上海：上海人民出版社，2020年；赫伯特·马尔库塞：《单向度的人》，刘继译，上海：上海译文出版社，2006年；希利斯·米勒：《文学死了吗》，秦立彦译，桂林：广西师范大学出版社，2007年。

2 参见 彭青龙：“危局·变局·格局：人工智能时代外国语言文学学科和专业的困境与出路”，《外语与外语教学》3（2024）：27。

主要标志的第四次科技革命则是在赋能的基础上赋智，即增强机器人的认知力和判断力，服务于人类社会的需求。从可控的赋能，到有可能失控的赋智，其带来的反噬人类的潜在风险引起了科学界和人文界的担忧。科学技术发展的边界在哪里？如何使科学技术在造福人类的前提下风险可控，是摆在人类社会面前的一个重大问题。

诚然，解决如此重大的问题，需要国际社会的共同努力，特别是科技人文界的携手合作，方能减少危害世界文明发展的负面效应。科技人文关系密切，科学是运用范畴、定理和定律等思维形式反映现实世界各种现象的本质和规律的知识体系。它源于社会实践，服务社会实践。其核心是求真，强调可检测性和自洽性。一般认为属于形而上的基础理论研究。技术则与此相对应，属于形而下的具体操作技巧，泛指根据生产实践经验和自然科学原理而发展成的各种工艺操作方法与技能。技术往往与工程建设相关，常指工程技术。技术的核心是求实，要务实地解决社会实践中的具体问题。人文一般指人情事理，人文科学泛指对社会现象和文化艺术的研究。人文属于精神文明范畴，人文精神往往回答人生的意义和价值，提倡对人的终极关怀。人文的核心是崇善和尚美。无论是科学技术，还是人文科学，都是服务于人的物质生活和精神生活的需要，都要以人为中心或者以人为本开展科技和人文创新。因此，科技人文是服务人类需要的共同体，统一于真、实、善、美之中。科技人文共同体是超越学科壁垒，你中有我、我中有你的共同体，是一荣俱荣、一损俱损的共同体，是想象的共同体和情感的共同体，更是利益和责任的共同体。人类社会只有从理性和情感的逻辑出发，以伦理和法律为软硬两手，以人文所倡导的真善美为价值导向，才能让科技创新回归到服务人类的本位。

科技人文共同体在人工智能快速发展的背景下显得十分重要。越是科技昌盛的时代，越需要人文思想和精神的指引，促使科技在向人、向好、向善的轨道上不断突破，最大限度地满足人类物质生活和精神生活的需要。与此同时，人文学科越是遇到危机时，越需要正确认识到自身无可替代的价值，也越需要借鉴科学技术的先进成果。越是在文明多样性面临威胁时，越是需要科技人文共同体团结一致的力量，超越狭隘的、短视的学科自恋情结，共同推动文明多样性向更高层次发展。历史与实践证明，越是世界文明大发展的年代，越是科技和文化紧密结合的时代，这从世界科学中心的五次转移与社会文化关系紧密结合的历史事实可以明显看出。到了人工智能时代，思想的解放和文化的繁荣，更是为第四次科技革命创造了前所未有的有利条件，使得我们更加有理由相信科技人文共同体的巨大价值。

文学作为人文中的重要组成部分，率先依托数字人文走向科技人文共同体之路。数字人文泛指“计算式人文学科”，是20世纪下半叶首先在西方人文领域兴起的一种学术文化现象，并逐步拓展至“大人文”的知识保存、生产、应用和传播领域。自从1946年计算机发明以来，人们一直试图将语言符号与计

算机技术相结合,经过罗伯特·布萨等几代人的艰苦努力,终于研制出计算机编辑程序,为电子文本编辑打下了良好的基础。随着互联网技术的进步,大型电子资源交互平台逐步建立,并取代了文本标记和分类的电子编辑技术,使得文字、图片、音频和视频等多种媒体信息相互转换成为可能。2008年,西方的金融危机使美国高校的文科陷入预算和教授岗位减少、生源不足等前所未有的困境。¹为了自我救赎,文科教授与科技公司合作,利用数据技术,开展了计算式人文研究。这种研究范式的转变,吸引了很多处于相同困境高校教师的关注和效仿,他们不仅著书立说、开设课程和创办杂志,而且成立了数字人文国际学术组织,推动了人文学科与科学技术的融合发展,开创了科技人文共同体的新时代。

在数字人文继续前行的同时,人工智能技术又一次给人文学科、尤其是文学的创作与批评带来了巨大震撼,并在文学形态格局、文学创作主体、文学创作模式和传播方式等方面发生了五个转向。一是文学形态从高雅文学转向大众文学,呈现出大众化、通俗化和娱乐化的特征。传统意义上具有较高审美价值的高雅文学在传播效果上差强人意,而能够给人带来即时愉悦的科幻文学和网络文学则一枝独秀。例如,中国四大名著位列“死活都读不下去的书籍”榜单之中。²根据 Goodreads 全球知名图书分享网站数据,莫言的《蛙》和《生死疲劳》、余华的《活着》、贾平凹的《高兴》等在国内知名度很高的作品在海外的阅读数量偏少。与此相对应的是,科幻文学在海外的关注度较高,例如,刘慈欣“地球往事三部曲”——《三体》《黑暗森林》《死神永生》全球评分次数分别是 382518、168242 和 128473,全球评论次数是 37055、14260 和 12044。³郝景芳《流浪苍穹》和陈楸帆《荒潮》等青年作家的作品受国际关注的程度不比高雅文学作品逊色。网络文学受关注程度更高。《许你万丈光芒好》在阅读量上高达 4.49 亿,《诡秘之主》的阅读次数超过 4 亿。⁴《魔道祖师》英译本名列第九。在美国亚马逊网站上,收获超 6800 多位读者的赞誉,评分达到 4.9 分。⁵尽管以上数据仅能管中窥豹,但是至少说明了包括中小学在内的青少年一代更加偏好大众文学,反映了大众审美高涨的社会现实。正如杰姆逊所言,“后现代主义宣布:我们不需要天才,也不想成为天才,我们不需要现代主义者所具有的个人风格,我们不承认什么乌托邦性质,我们追求的是大众化,而不是高雅。我们的目标是给人愉悦(……)”(165)。

二是文学主体从个人创作转向团队创作,粉丝导向、读者至上的指导思

1 参见彭青龙、都岚岚:《数字人文导论》,上海:上海交通大学出版社,2024年,第1页。

2 参见刘昆:“名著经典缘何‘死活读不下去’?”,《光明日报》2013年10月17日:05版。

3 数据信息截止至2024年8月23日,访问网址:<https://www.goodreads.com/>。

4 数据信息截止至2024年8月23日,访问网址:<https://www.webnovel.com/>。

5 数据信息截止至2024年8月23日,访问网址:<https://www.amazon.com/Grandmaster-Demonic-Cultivation-Novel-Vol/dp/1648279198>。

想盛行。网络小说作家十分注重读者的留言、评论,根据粉丝和读者的偏好,适当调整故事情节。例如,《盗墓笔记》《小阁老》《都市邪剑仙》《凡人修仙传》等根据读者的审美心理,做了内容和形式的调整。由网络小说改编的动漫,更加注重观众的反应,调整情节的作品更加比比皆是。小说的价值和意义不是取决于作者的理想和情怀,而是大数据分析和主导的结果。¹由个人创作向团队创作的转向说明,一方面,作者团队充分利用网络技术平台,为其文学创作服务;另一方面,网络文学比高雅文学更加看重与读者共情的双向互动,从而实现社会效应和经济效益的双丰收。

三是文学创作模式从自然人创作转向人机创作或者机器人创作。生成式人工智能技术激发了作者“尝鲜”的热情,不少作家开始探索人机合作的写作模式。例如,机器人微软小冰已出版了《阳光失了玻璃窗》等多部诗歌集,其中不乏上乘之作,引起了较多关注,但也产生了分歧,欢呼者认为是历史性的创造,鄙视者认为是“伪诗、非诗、垃圾诗‘出笼’”(罗振亚 3)。“日本最高文学奖得主自曝获奖作品使用 ChatGPT 写作:5% 的句子是 AI 生成的”(周宴)。该报道也引发了诸多讨论。这是人工智能时代出现的新鲜事物,尽管目前只是出现了这一转变的趋向,还不是真正意义上的转向,也难以对人机合作的文学作品质量和未来走向匆忙下结论,但基本可以预料的是,人机创作或者机器人创作的文学作品必将越来越多,也必将对自然人的传统文学创作产生冲击。

四是传播方式由单一纸质传播转向多模态传播。在互联网普及之前,文学作品的传播通常是纸媒传播,读者阅读纸质版文学作品,传播方式比较单一。进入智能媒体时代之后,不少作家除了出版电子书之外,还利用动漫、游戏和短视频等技术便利,推介其文学作品。例如,“刘慈欣科幻漫画系列”都改编自包括《流浪地球》《乡村教师》等 14 部中短篇小说和 1 部长篇小说。传统小说《三国演义》《西游记》《鹿鼎记》《天龙八部》等,网络小说《星辰变 OL》和《神·墓》《斗罗大陆》和《大话西游》等被改编成游戏。新近发布的《黑神话:悟空》更是震惊世界,再度引发人们对优秀传统文化的极大关注。²沈从文的作品《湘女萧萧》被改编成短视频,拥有百万的播放量。这种多模态的传播方式也许将成为人工智能时代的新常态。

五是创作场景从面向国内转向面向国际。面向国际的文学创作是一种跨文化写作,指的是通过描写两种不同文化背景的人和事,揭示人类生存和生活状态的深层意义。如,移民文学等。³跨文化写作在世界文学并非鲜事,例

1 参见 彭青龙:“数字时代文学的科学性与人文性审视”,《探索与争鸣》9(2022):28。

2 参见 解园、姜漠然:“《黑神话:悟空》背后——用世界品质 讲中国故事”,《新华网》,2024 年 8 月 20 日,访问网址:<http://www3.xinhuanet.com/politics/20240820/583b0f3d1574490bb89f22662afd16c2/c.html>,访问时间:2024 年 8 月 23 日。

3 参见 彭青龙:“澳大利亚文学中的跨界挣扎和跨文化写作”,《外国文学》3(2023):37。

如，欧美作品中经常出现故事在两国甚至更多国家“游移”的场景，这与他们同属一个文化谱系，人员走动频繁相关。值得关注的是，中国年轻一代作家具有更加开阔的国际视野，不再固守本土文化，而是通过跨文化写作，展现当代中国人对外交流互鉴的新图景。例如，艾伟的《镜中》¹、徐则臣的《北上》²将异国文化和异国人物融入到小说的故事中。丁中治的“新留学生三部曲”《鹿唇》《浅水》《平安巷》³则反映了年轻一代学子海外留学的孤独、迷茫以及在跨文化矛盾冲突中对人生价值的执着追求。这些作品不仅显示了高雅文学创作的新动向，而且对文明交流互鉴、甚至人类命运共同体有重要启发意义。

文学理论批评和实用批评中的科技人文融合现象也十分明显。当代西方哲学中的人文主义和科学主义两大思潮，深刻地影响着 20 世纪西方文学理论的发展，它们之间时而矛盾对立，时而和平相处的格局，造成了文学理论流派的潮起潮落的态势。在讨论具体文学理论时，很难将人文主义和科学主义截然分开。⁴例如，在当代西方文论中，“语言论转向”体现了科学主义的思想基础、理论框架和研究方法，具有相对独立性，从形式主义、新批评到结构主义和解构主义，无不突出语言论的中心地位。但这并不是说，这些文学理论与人文主义没有关联，相反，体现人文主义思想的现象学、存在主义、表现主义等理论同样把语言置于十分重要的地位。因此，20 世纪的西方文论基本上是科学主义和人文主义交错影响的产物。进入 21 世纪，后人类主义思潮走向前台，并成为热点。后人类主义是科学技术变革引发人们对人文传统和科学技术关系的反思和重构。神经科学、生物科技、基因技术、人工智能技术和太空技术等领域的突破，使得人文学者对科学技术的功能有了新的认知。20 世纪八九十年代以降，凯瑟琳·海勒、罗伯特·皮博瑞尔、阿尔科尔·斯通、唐娜·哈洛韦、罗德尼·布鲁克斯、罗西·布拉伊多蒂、弗雷德里克·詹姆逊等人，分别从现代技术、人类的主体性、生命力、意识形态治理、赛博格和乌托邦等角度，反思人类存在的形式、价值和意义，不仅对人类中心主义的认知提出了挑战，而且对人机相处、人类与非人类相处等根本问题进行了反思和批判。新物质主义、技术中心主义、深生态学，新环境主义等理论得到了相应的发展。具身性、离身性、能动性、流动性、意识上载、精神、情感、视觉、意识等成为文学理论中的热词。技术的变革改变了人类对人文主义和自身的认知，堪称一次思维革命。以往的文学理论多在形而上的科学主义和人文主义上概念、理论、方法上纠缠不清，而后人类主义曾更多地聚焦形而下的技术给人类社会和文化带来的影响，促进了科技人文的融合发展。

文学理论中的科技人文融合，也带来了实用批评中跨学科研究的转向。实

1 参见艾伟：《镜中》，杭州：浙江文艺出版社，2022 年。

2 参见徐则臣：《北上》，北京：北京十月文艺出版社，2018 年。

3 参见丁中治：《鹿唇》，南京：江苏凤凰文艺出版社，2016 年；《浅水》，北京：作家出版社，2022 年；《平安巷》尚待付梓。

4 参见朱立元：《当代西方文艺理论》，上海：华东师范大学出版社，1997 年，第 2-9 页。

用文学批评是相对于文学理论批评而言的批评范式，注重通过文本分析和论述，揭示文学作品的美学价值和社会价值。随着跨学科研究在全球的兴起，实用批评中的两个现象值得关注，即文学与社会科学以及文学与自然科学的跨学科研究。就前者而言，主要探讨文学中的社会科学现象，彰显社会科学中的某一领域在文学文本表征的价值和意义。例如，文学与经济，文学与管理、文学与法律、文学与贸易等。就后者而言，主要是通过文学与自然科学领域的结合，探索二者之间关系背后的深刻内涵以及对人类社会的启发意义。例如，数字与文学、文学地图学、文学与人文地理、文学与植物、文学与动物等。需要指出的是，文学跨学科研究并非今天才有的现象，只不过是文明多样性的发展，尤其是科学技术的进步，使得我们对文学自身和文学关系有了新的认知，形成了某种集合效益。

科技人文共同体是人类文明发展到一定阶段的必然现象，也是人类文明多样性的客观反映。科技与人文从相互割裂、各得其所、各行其是到相互依存、相互影响、相互成就，走向科技人文共同体，既是人类生产实践从分工到协作的结果，也是人类知识生产从离散到聚合的结果，更是科技革命给人类带来认知变化的结果。科技人文共同体内部的凝聚力越强，人类社会面临的科技风险越能得到有效控制，人文价值也就越能够得到充分彰显。文学创作和文学批评是人类社会变迁的一面镜子，文学创作内容、形式、主体、模式的变化以及文学批评理论和实践的跨学科研究趋向，显示了科技人文共同体的时代价值变迁。尽管对这些新变化的利弊得失评判还需要“让子弹再飞一会儿”¹，但也表明世界文明在人工智能时代向更加多样、多维和多层的方向发展，并呈现异常精彩的局面。

结语

文明多样性展现出令人欣喜和担忧的场景和前景，一方面，科学技术利用自然、改造自然和征服自然的广度、深度、速度和强度，使得人类文明赖以生存的生物多样性遭到前所未有的破坏，自然灾害频发，特别是极端气候事件越来越多地出现，正在反噬人类社会，环境危机、生态危机以及科学技术快速发展所引发的伦理问题，再加上为争夺更多资源的地缘政治矛盾和战争行为，引发人们对人类文明何去何从的担忧和焦虑。另一方面，科学技术的不断突破，加速了经济结构和社会文化的变革，人类社会的物质文明和精神文明更加发达、丰富和多元，科学技术形塑人类文明的作用更加明显，宏观拓展、微观深入的发展态势，也不断刷新人类的认知，赋予人与自然、人与人、人与社会、人与自身关系的时代新内涵，引领着世界文明向更高层级发展。作为文明多样性根基和灵魂的语言文学，也适时地反映了文明演进的变化。人工智能文学的兴起，科幻文学和网络文学的繁荣，无不彰显科技文

1 出自姜文导演 2010 年电影作品《让子弹飞》中的一句对白。

明的魅力。文明多样性面临的问题，表面上看是生态环境、科技伦理和地缘政治等问题，实质上是人类的贪欲天性，资本的逐利本性和技术的求新特性等综合作用的结果。人类社会若想实现可持续发展的目标，继续保持文明多样性的活力，就必须摒弃“人类中心论”的传统思维、“欧美中心论”的霸权思维、“文明冲突论”的对立思维和“技术至上论”的偏执思维，不仅要保护生物多样性、特别是濒临灭绝边缘的物种，使大自然和人类和谐共处，而且要抢救濒危稀有语种，使其承载文明的功能得以延续。同时，要警惕人工智能技术带来的人类语言同化趋势，譬如向强势语言——英语同化。要充分发挥人文精神所倡导的真善美的价值引领作用，减少或消除科技创新带来的伦理失序和数据滥用等问题，规约和引导科技向人、向好和向善的方向发展，倡导科技人文共同体，实现科技人文共同进步，共同繁荣。文学创作和批评领域出现的科技人文融合现象，是人类探索新思路和新方法的有益尝试，对文学的人文性有所冲击，但也是对传统创作和批评的有益补充。文学经典的固本作用依然存在，在形塑人类精神方面发挥着主导作用。历史与实践证明，西方文明中的“欧美中心论”“文明冲突论”和“历史终结论”不符合人类社会和世界发展的历史潮流。中国倡导的全人类共同价值论、文明互学互鉴论和人类命运共同体论才是人间正道，符合全世界绝大多数人的利益和福祉，也是文明多样性健康发展的理论武器。全人类共同价值论是基础，文明互学互鉴论是手段，人类命运共同体论是目标，三者相互联系，相互作用，必将为人类社会创造更加美好的未来。

Works Cited

艾伟：《镜中》。杭州：浙江文艺出版社，2022年。

[Ai Wei. *In the Mirror*. Hangzhou: Zhejiang Literature and Art Publishing House, 2022.]

陈忠实：《白鹿原》。北京：人民文学出版社，1997年。

[Chen Zhongshi. *White Deer Plain*. Beijing: People's Literature Publishing House, 1997.]

陈众议：《生活的意义》。北京：作家出版社，2014年。

[Chen Zhongyi. *The Meaning of Life*. Beijing: Writers Publishing House, 2014.]

——：“民族传统遭遇跨国资本”，《中华读书报》2011年10月12日，第13版。

[—.“National Tradition Encounters Transnational Capital.” *China Reading Weekly* 12 Oct. 2011: Edition 13.]

迟子建：《额尔古纳河右岸》。北京：北京十月文艺出版社，2005年。

[Chi Zijian. *The Last Quarter of the Moon*. Beijing: Beijing October Literature and Art Publishing House, 2005.]

中共中央马克思恩格斯列宁斯大林著作编译局：《马克思恩格斯文集》第5卷。北京：人民出版社，2009年。

[Department for the Compilation and Translation of the Works of Marx, Engels, Lenin and Stalin,

Central Compilation and Translation Bureau. *Collected Works of Marx and Engels* Vol. V. Beijing: People's Publishing House, 2009.]

——：《马克思恩格斯文集》第9卷。北京：人民出版社，2009年。

[—: *Collected Works of Marx and Engels* Vol. IX. Beijing: People's Publishing House, 2009.]

丁中冶：《鹿唇》。南京：江苏凤凰文艺出版社，2016年。

[Ding Zhongye. *Deer Lips*. Nanjing: Jiangsu Phoenix Literature and Art Publishing House, 2016.]

——：《浅水》。北京：作家出版社，2022年。

[—: *Shallow Water*. Beijing: Writers Publishing House, 2022.]

杜祥琬、谢和平、刘世锦：《生态文明建设的重大意义与能源变革研究》。北京：科学出版社，2017年。

[Du Xiangwan, Xie Heping and Liu Shijin. *Research on the Major Significance of Ecological Civilization Construction and Energy Transformation*. Beijing: Science Press, 2017.]

威廉·福克纳：《喧嚣与骚动》，李文俊译。上海：上海译文出版社，2007年。

[Faulkner, William. *The Sound and the Fury*, translated by Li Wenjun. Shanghai: Shanghai Translation Publishing House, 2007.]

弗朗西斯·福山：《历史的终结及最后之人》，黄胜强、许铭原译。北京：中国社会科学出版社，2003年。

[Fukuyama, Francis. *The End of History and the Last Man*, translated by Huang Shengqiang and Xu Mingyuan. Beijing: China Social Sciences Press, 2003.]

古特雷斯：“生物多样性退化正在给人类带来巨大危机，迫切需要采取挽救行动——联合国生物多样性峰会”，《联合国新闻网》2020年9月30日。访问网址：<https://news.un.org/zh/story/2020/09/1068072>。访问时间：2024年8月23日。

[Guterres, António. “Biodiversity Degradation Is Bringing a Major Crisis to Humanity, and Urgent Rescue Actions Are Needed—United Nations Summit on Biodiversity.” *UN News*. 30 Sept. 2020. Available at: <https://news.un.org/zh/story/2020/09/1068072>. Accessed 23 Aug. 2024.]

尤瓦尔·赫拉利：《未来简史》，林俊宏译。北京：中信出版集团，2017年。

[Harari, Yuval Noah. *Homo Deus*, translated by Lin Junhong. Beijing: Citic Press Corporation, 2017.]

马克思·霍克海默、西奥多·阿多诺：《启蒙辩证法》，渠敬东、曹卫东译。上海：上海人民出版社，2020年。

[Horkheimer, Max and Theodor W. Adorno. *Dialectic of Enlightenment*, translated by Qu Jingdong and Cao Weidong. Shanghai: Shanghai People's Publishing House, 2020.]

塞缪尔·亨廷顿：《文明的冲突》，周琪译。北京：新华出版社，2013年。

[Huntington, Samuel P. *The Clash of Civilizations and the Remaking of World Order*, translated by Zhou Qi. Beijing: Xinhua Publishing House, 2013.]

杰姆逊：《后现代主义与文化理论》，唐小兵译。北京：北京大学出版社，2005年。

[Jameson, Fredric. *Postmodernism and Cultural Theories*, translated by Tang Xiaobing. Beijing: Peking UP, 2005.]

金涌、阿伦斯：《资源·能源·环境·社会——循环经济科学与工程原理》。北京：化学工业出版社，2009年。

[Jin Yong and Jakob de Swaan Arons. *Resource • Energy • Environment • Society—Scientific and Engineering Principles for Circular Economy*. Beijing: Chemical Industry Press, 2009.]

凯文·凯利：《必然》，周峰等译。北京：电子工业出版社，2016年。

[Kelly, Kevin. *The Inevitable*, translated by Zhou Feng et al. Beijing: Publishing House of Electronics Industry, 2016.]

刘昆：“名著经典缘何‘死活读不下去’？”，《光明日报》2013年10月17日：05版。

[Liu Kun. “Why Is It So Hard to Finish Reading the Classics?” *Guangming Daily* 17 Oct. 2013: Edition 5.]

鲁迅：《汉文学史纲要》。上海：上海古籍出版社，2005年。

[Lu Xun. *Outline of the History of Chinese Literature*. Shanghai: Shanghai Classics Publishing House, 2005.]

路遥：《平凡的世界》。北京：人民文学出版社，2005年。

[Lu Yao. *Ordinary World*. Beijing: People's Literature Publishing House, 2005.]

罗振亚：“21世纪新诗：重构形象的障碍”，《文艺争鸣》10（2019）：1-3。

[Luo Zhenya. “New Poetry in the 21st Century: Obstacles to Reconstructing Imagery.” *Literary and Artistic Contention* 10 (2019): 1-3.]

赫伯特·马尔库塞：《单向度的人》，刘继译。上海：上海译文出版社，2006年。

[Marcuse, Herbert. *One-Dimensional Man*, translated by Liu Ji. Shanghai: Shanghai Translation Publishing House, 2006.]

马克思：《资本论》第1卷，中共中央马克思恩格斯列宁斯大林著作编译局译。北京：人民出版社，2004年。

[Marx, Karl Heinrich. *Capital* Vol. I, translated by Department for the Compilation and Translation of the Works of Marx, Engels, Lenin and Stalin, Central Compilation and Translation Bureau. Beijing: People's Publishing House, 2004.]

希利斯·米勒：《文学死了吗》，秦立彦译。桂林：广西师范大学出版社，2007年。

[Miller, J. Hillis. *On Literature*, translated by Qin Liyan. Guilin: Guangxi Normal UP, 2007.]

玛格丽特·米切尔：《飘》，李美华译。南京：译林出版社，2009年。

[Mitchell, Margaret. *Gone with the Wind*, translated by Li Meihua. Nanjing: Yilin Press, 2009.]

乔·莫兰：《跨学科》，陈后亮、宁艺阳译。南京：南京大学出版社，2023年。

[Moran, Joe. *Interdisciplinary*, translated by Chen Houliang and Ning Yiyang. Nanjing: Nanjing UP, 2023.]

刘易斯·芒福德：《技术与文明》，陈允明等译。北京：中国建筑工业出版社，2009年。

[Mumford, Lewis. *Technics and Civilization*, translated by Chen Yunming et al. Beijing: China Architecture & Building Press, 2009.]

彭青龙：“澳大利亚文学中的跨界挣扎和跨文化写作”，《外国文学》3（2023）：32-42。

[Peng Qinglong. "Border-Crossing Struggles and Intercultural Writings in Australian Literature." *Foreign Literature* 3 (2023): 32-42.]

——: “危局·变局·格局: 人工智能时代外国语言文学学科和专业的困境与出路”, 《外语与外语教学》3 (2024): 20-30+146。

[—: "Crisis, Change, and Vision: Dire Straits and Possible Outlets for the Programs of Foreign Languages and Literature in the Epoch of Artificial Intelligence." *Foreign Languages and Their Teaching* 3 (2024): 20-30+146.]

——: “数字时代文学的科学性与人文性审视”, 《探索与争鸣》9 (2022): 25-28。

[—: "Examining the Scientific and Humanistic Aspects of Literature in the Digital Age." *Exploration and Free Views* 9 (2022): 25-28.]

——: “世界眼光与比较视角: 文明、文化、文学的话语变迁及权力转换”, 《外语教学》3 (2023): 7-14。

[—: "Global Vision and Comparative Perspective: Discursive Changes and Power Shifts in Civilization, Culture, and Literature." *Foreign Language Education* 3 (2023): 7-14.]

彭青龙、都岚岚: 《数字人文导论》, 上海: 上海交通大学出版社, 2024 年。

[Peng Qinglong and Du Lanlan. *Introduction to Digital Humanities*. Shanghai: Shanghai Jiao Tong UP, 2024.]

蒲清平、向往: “新质生产力的内涵特征、内在逻辑和实现途径——推进中国式现代化的新动能”, 《新疆师范大学学报(哲学社会科学版)》1 (2024): 77-85。

[Pu Qingping and Xiang Wang. "New Quality Productivity and Its Utilizations—New Driving Force for Chinese Modernization." *Journal of Xinjiang Normal University (Edition of Philosophy and Social Sciences)* 1 (2024): 77-85.]

奥斯瓦尔德·斯宾格勒: 《西方的没落》, 吴琼译。成都: 四川人民出版社, 2021 年。

[Spengler, Oswald Arnold Gottfried. *The Decline of the West*, translated by Wu Qiong. Chengdu: Sichuan People's Publishing House, 2021.]

孙周兴: 《人类世的哲学》。北京: 商务印书馆, 2020 年。

[Sun Zhouxing. *Philosophy of the Anthropocene*. Beijing: The Commercial Press, 2020.]

经济学人: “世界上最宝贵的资源不再是石油, 而是数据”, 《经济学人》2017 年 5 月 6 日。

访问网址: <https://www.economist.com/leaders/2017/05/06/the-worlds-most-valuable-resource-is-no-longer-oil-but-data?>。访问时间: 2024 年 8 月 23 日。

[The Economist. "The world's most valuable resource is no longer oil, but data." *The Economist* 6 May 2017. Available at: <https://www.economist.com/leaders/2017/05/06/the-worlds-most-valuable-resource-is-no-longer-oil-but-data?>. Accessed 23 Aug. 2024.]

马克·吐温: 《哈克贝利·费恩历险记》, 张友松译。南昌: 江西人民出版社, 1983 年。

[Twain, Mark. *The Adventures of Huckleberry Finn*, translated by Zhang Yousong. Nanchang: Jiangxi People's Publishing House, 1983.]

联合国: “生物多样性公约”, 中华人民共和国生态环境部网站, 1992 年 6 月 5 日。访问网址:

https://www.mee.gov.cn/ywgz/zrstbh/swdyxbh/202404/t20240410_1070353.shtml。访问时间：2024年8月23日。

[United Nations. “Convention on Biological Diversity.” *Ministry of Ecology and Environment of the People’s Republic of China*. 5 June 1992. Available at: https://www.mee.gov.cn/ywgz/zrstbh/swdyxbh/202404/t20240410_1070353.shtml. Accessed 23 Aug. 2024.]

——：“昆明－蒙特利尔全球生物多样性框架”，联合国。2022年12月18日。访问网址：<https://www.cbd.int/doc/c/24c4/f499/13be84eb1e7cce8a33613617/cop-15-l-25-zh.pdf>。访问时间：2024年8月23日。

[—.“Kunming-Montreal Global Biodiversity Framework.” *United Nations*. 18 Dec. 2022. Available at: <https://www.cbd.int/doc/c/24c4/f499/13be84eb1e7cce8a33613617/cop-15-l-25-zh.pdf>. Accessed 23 Aug. 2024.]

——：“2024年可持续发展目标报告”，联合国，2024年6月28日。访问网址：<https://dashboards.sdgindex.org/chapters>。访问时间：2024年8月23日。

[—.“The Sustainable Development Goals Report 2024.” *United Nations*. 28 June 2024. Available at: <https://dashboards.sdgindex.org/chapters>. Accessed 23 Aug. 2024.]

——：“《联合国防治荒漠化公约》秘书处2022年数据报告”，联合国，2022年5月12日。访问网址：<https://data.unccd.int/people-exposed-to-drought>。访问时间：2024年8月23日。

[—.“2022 Data Report of the Secretariat of the United Nations Convention to Combat Desertification.” *United Nations*. 12 May 2022. Available at: <https://data.unccd.int/people-exposed-to-drought>. Accessed 23 Aug. 2024.]

魏然：“134个国家和地区签署宣言，将食物和农业举措优先纳入气候行动”，《央广网》2023年12月2日。访问网址：https://news.cnr.cn/sq/20231202/t20231202_526505630.shtml。访问时间：2024年8月23日。

[Wei Ran. “134 Countries and Regions Have Signed a Declaration Committing to Prioritize Food and Agriculture Initiatives in Climate Action.” *CNR News*. 2 Dec. 2023. Available at: https://news.cnr.cn/sq/20231202/t20231202_526505630.shtml. Accessed 23 Aug. 2024.]

习近平：“共同构建人类命运共同体——在联合国日内瓦总部的演讲”，《人民日报》2017年1月20日，第2版。

[Xi Jinping. “Building a Community of Shared Future for Mankind: Speech at the United Nations Office at Geneva.” *People’s Daily* 20 Jan. 2017: Edition 2.]

——：“深化文明交流互鉴 共建亚洲命运共同体——在亚洲文明对话大会开幕式上的主旨演讲”，《人民网》2019年5月15日。访问网址：<http://politics.people.com.cn/n1/2019/0515/c1024-31086589.html>。访问时间：2024年8月23日。

[—.“Deepening Exchanges and Mutual Learning Among Civilizations to Build an Asian Community with a Shared Future: Keynote Speech at the Opening Ceremony of the Conference on Dialogue of Asian Civilizations.” *People. cn*. 15 May 2019. Available at: <http://politics.people.com.cn/n1/2019/0515/c1024-31086589.html>. Accessed 23 Aug. 2024.]

- ：“习近平在中科院第十七次院士大会、工程院第十二次院士大会上的讲话”，《新华社》2014年6月9日。访问网址：https://www.gov.cn/xinwen/2014-06/09/content_2697437.htm。访问时间：2024年8月23日。
- [—.“Speech by Xi Jinping at the 17th General Assembly of Members of the Chinese Academy of Sciences and the 12th General Assembly of Members of the Chinese Academy of Engineering.” *Xinhua News Agency*. 9 June 2014. Available at: https://www.gov.cn/xinwen/2014-06/09/content_2697437.htm. Accessed 23 Aug. 2024.]
- 解园、姜湜然：“《黑神话：悟空》背后——用世界品质 讲中国故事”，《新华网》2024年8月20日。访问网址：<http://www3.xinhuanet.com/politics/20240820/583b0f3d1574490bb89f22662afd16c2/c.html>。访问时间：2024年8月23日。
- [Xie Yuan and Jiang Haoran. “Behind ‘Black Myth: Wukong’—Telling Chinese Stories with World-Class Quality.” *Xinhua News Agency*. 20 Aug. 2024. Available at: <http://www3.xinhuanet.com/politics/20240820/583b0f3d1574490bb89f22662afd16c2/c.html>. Accessed 23 Aug. 2024.]
- 徐则臣：《北上》。北京：北京十月文艺出版社，2018年。
- [Xu Zechen. *Northward*. Beijing: Beijing October Literature and Art Publishing House, 2018.]
- 周宴：“用人工智能助力写作 日本作家获奖惹争议”，《北京日报网》2024年2月5日。访问网址：<https://news.bjd.com.cn/2024/02/05/10695804.shtml>。访问时间：2024年8月23日。
- [Zhou Yan. “Japanese Author Sparks Controversy by Using AI to Assist Writing and Winning a Prize.” *Beijing Daily*. 5 Feb. 2024. Available at: <https://news.bjd.com.cn/2024/02/05/10695804.shtml>. Accessed 23 Aug. 2024.]
- 朱立元：《当代西方文艺理论》。上海：华东师范大学出版社，1997年。
- [Zhu Liyuan. *Contemporary Western Literary Theory*. Shanghai: East China Normal UP, 1997.]

When Agency Collapses: Narrative Position, Falling, and Technological Mediation in *BEATLESS* and *Angels of Johannesburg*

Sanghyuk Lee & Eugene Chung

Abstract: Japanese science fiction of the 2010s shows a reorganization of narrative agency shaped by technological systems and mediation. In two works from this period, *BEATLESS* by Satoshi Hase and *Angels of Johannesburg* by Yusuke Miyauchi, representations of falling, girl-related agency, and technological mediation distribute unevenly across narrative progression. These distributions point to narrative change structured by localized reconfiguration rather than gradual accumulation. Each domain is traced through recurrent lexical and action cues across segmented narrative units. Position-based analysis differentiates cumulative development from abrupt shifts, while topic modeling clarifies changes in surrounding semantic contexts at key turning points. Agency does not change evenly across narrative time. In *Angels of Johannesburg*, agency appears in situational and reversible forms without consolidating into a dominant configuration. In *BEATLESS*, redistributed agency loss concentrates at a limited set of turning points and persists thereafter, accompanied by expanded technological mediation and a retreat of human-centered action. Taken together, these patterns show that narrative change in 2010s Japanese science fiction emerges through redistribution across narrative positions rather than cumulative development.

Keywords: *BEATLESS*; *Angels of Johannesburg*; narrative progression; falling imagery; digital literary analysis

Authors: **Sanghyuk Lee** is Assistant Professor in the Department of Japanese Language at Chosun University (Gwangju 61452, Republic of Korea). His research interests cover the fields of Japanese Literature and Sub-Culture (Email: riversh790@gmail.com). **Eugene Chung** is Associate Professor in the Department of Linguistics at Korea University (Seoul 02841, Republic of Korea), and Director of the Research Institute of Interdisciplinary Digital Studies. Her research focuses on corpus linguistics, cognitive linguistics, and digital humanities (Email: echung2@korea.ac.kr). This research was supported by a faculty research grant from the College of Liberal Arts at Korea University in 2025.

标题: 能动性崩塌之时:《BEATLESS》与《约翰内斯堡的天使》中的叙事立场、坠落与技术中介

内容摘要: 21 世纪 10 年代的日本科幻小说呈现出一种由技术系统与媒介所塑造的叙事能动性的重组。在长谷敏司的《BEATLESS》与宫内悠介的《约翰内斯堡的天使》这两部作品中,坠落的表现、与少女相关的能动性以及技术媒介在叙事推进中的分布呈现出不均衡的特征。这些分布所指向的叙事变化,并非通过渐进式的积累,而是由局部性的重构所结构化。在每个领域内,这种变化通过跨叙事单元反复出现的词汇线索和行动线索得以追踪。基于位置的分析将累积性发展与突变式转变区分开来,而主题建模则有助于厘清在关键转折点周围语义语境所发生的变化。能动性在叙事时间中并非均匀地变化:在《约翰内斯堡的天使》中,能动性以情境化且可逆的形式出现,并未凝结为一种主导性的构型;在《BEATLESS》中,能动性的丧失集中于有限的几处转折点,并在之后持续存在,同时伴随着技术媒介的扩大以及以人为中心的行动的退却。这些模式表明:21 世纪 10 年代日本科幻小说中的叙事变化,是通过叙事位置之间的重新分布而非累积性发展而呈现的。

关键词: 《BEATLESS》;《约翰内斯堡的天使》;叙事推进;坠落意象;数字文学分析

作者简介: 李相赫,朝鲜大学日语系助理教授,研究兴趣涵盖日本文学与亚文化研究;郑有珍,高丽大学语言学系副教授、跨学科数字研究所所长,研究方向为语料库语言学、认知语言学及数字人文。

1. Introduction

Since the early 2000s, Japanese science fiction has undergone a notable shift in narrative organization, particularly in how agency is distributed between human and non-human actors. Cultural critics have observed that contemporary Japanese media increasingly favors modular composition, in which characters, settings, and motifs function as relatively independent units rather than as elements integrated into a single, coherent narrative arc, as Azuma notes.¹ In science fiction of the 2010s, this tendency becomes apparent as artificial intelligence, automated judgment, and technologically mediated systems come to structure narrative development.

In these texts, technological development does not appear as a linear extension of human capacity. Systems and protocols take over decision making, while mediation renders agency uncertain. Hayles has described how the separation of information from embodiment reshapes assumptions about subjectivity, while

1 See Hiroki Azuma, *Otaku: Japan's Database Animals*, translated by Jonathan E. Abel and Shion Kono, Minneapolis: University of Minnesota Press, 2009, 33-54.

Braidotti has argued that the posthuman condition destabilizes the figure of the autonomous human agent within technologically governed environments.¹ Studies of Japanese science fiction have often emphasized ethical and philosophical questions, giving less attention to shifts in agency across narrative time.

Consequently, the temporal organization of motifs has remained underexamined. Scenes of falling or collapse are usually treated as thematic material rather than as moments whose narrative placement reshapes agency. Girl-like or non-human female figures act as mediators within technical systems, as Lamarre has shown.² Existing accounts rarely address how these functions vary across narrative phases or intersect with moments of structural transition.

Three representational domains form the basis of the analysis: falling, girl-related agency, and technological mediation. Each domain is operationalized through recurrent lexical items and action cues, which are tracked across narrative segments to examine how their distribution changes over the course of the texts. Segmenting each work by relative narrative position allows comparison across different stages of narrative development and highlights points at which multiple representations shift in close proximity.

Topic modeling traces changes in thematic distribution across narrative phases and offers an additional view of how meaning clusters at particular positions. Key representational domains are examined in relation to their distribution across narrative progression. Particular attention is given to their placement within narrative time, without presuming in advance how or where they take on structural significance. The following research questions address these patterns.

RQ1. At which narrative positions do representations of falling concentrate in *BEATLESS* and *Angels of Johannesburg*? Do they accumulate gradually across the narrative, or emerge through abrupt shifts (DROPs)?

RQ2. How does girl-related agency change across narrative progression in each work? Where do key turning points intensify or diminish this agency, and how do these patterns differ between the two texts?

RQ3. How does technological mediation vary across narrative phases, and to what extent does it converge with or diverge from changes in representations of falling and girl-related agency at corresponding narrative positions?

1 See N. Katherine Hayles, *How We Became Posthuman: Virtual Bodies in Cybernetics, Literature, and Informatics*, Chicago: University of Chicago Press, 1999; Rosi Braidotti, *The Posthuman*, Cambridge: Polity Press, 2013.

2 See Thomas Lamarre, *The Anime Machine: A Media Theory of Animation*, Minneapolis: University of Minnesota Press, 2009.

2. Previous Research and Theoretical Framework

2.1 Falling in Narrative Theory and Science Fiction

Narrative theory has long treated falling as a recurrent motif associated with disruption and transition. Genette situates moments of descent within broader structures of narrative change, where shifts in order or perspective interrupt linear progression.¹ In science fiction, critics have often read falling as an embodied index of systemic failure, linking physical descent to breakdowns in political or technological order. Suvin, for example, connects such moments to estrangement, where familiar structures lose stability and demand reorientation.²

Yet most existing studies approach falling at the level of symbolism or thematic meaning. They rarely examine how falling distributes itself across narrative progression. Whether falling accumulates gradually or concentrates at specific moments remains largely unaddressed. As a result, the temporal organization of falling often remains implicit rather than analytically foregrounded.

Recent work in digital literary studies offers tools for addressing this gap. Underwood suggests that position-based analysis can reveal structural regularities that escape both close reading and plot-level summary.³ By aligning motifs with normalized narrative position, scholars can compare texts of different lengths without presuming shared plot templates. This study draws on that insight to situate falling within the narrative trajectories of *BEATLESS* and *Angels of Johannesburg*.

2.2 Girl-Related Agency and Mediation in Science Fiction

Studies on science fiction have consistently emphasized girlhood as a critical site for negotiating agency and mediation. Haraway's account of the cyborg reframes agency as distributed across human and non-human actors, challenging liberal humanist models that privilege individual intention.⁴ Building on this perspective, studies of posthuman narratives frequently locate girl figures at the intersection of affect, control, and technological interface.

In the context of Japanese popular culture, Azuma suggests that girl characters function within database-like structures, where agency emerges less from narrative

1 See Gérard Genette, *Narrative Discourse: An Essay in Method*, translated by Jane E. Lewin, Ithaca: Cornell University Press, 1980, 25-48.

2 See Darko Suvin, *Metamorphoses of Science Fiction*, New Haven: Yale University Press, 1979, 63-84.

3 See Ted Underwood, *Distant Horizons: Digital Evidence and Literary Change*, Chicago: University of Chicago Press, 2019, 64-92.

4 See Donna Haraway, "A Cyborg Manifesto: Science, Technology, and Socialist-Feminism in the Late Twentieth Century," *Simians, Cyborgs, and Women: The Reinvention of Nature*, New York: Routledge, 1991, 149-181.

development than from recombinatory systems of meaning.¹ Palmer extends this line of work by examining early Japanese science fiction, where gender shapes the distribution of agency across speculative frameworks rather than anchoring it in individual characters.² This observation has informed subsequent analyses of science fiction texts in which girlhood operates as a mediating node between systems and subjects rather than as a stable moral center. Lamarre similarly emphasizes how anime and related media embed girl figures within technical and infrastructural assemblages that complicate traditional accounts of action and responsibility.³

Most literary criticism continues to assess agency through character-centered interpretation, often assuming a focus on moments of choice or resistance. While such readings remain indispensable, they often assume that agency holds a consistent narrative value. Relational accounts of agency, by contrast, treat action as something that intensifies or diminishes through interaction.⁴ This shift in perspective supports an analysis attentive to variation across narrative progression rather than static attribution. From the standpoint of ethical literary criticism, these shifting distributions of agency also reflect reorganizations of ethical relationship and moral order within the storyworld. Literary texts, in this view, are essentially records of human moral experience structured by ethical lines that string ethical knots together and shape the conditions under which characters act.⁵ The turning points identified in this study thus mark not only formal shifts but also moments of ethical reconfiguration.

2.3 Technological Mediation in Science Fiction Narratives

Media theory and science fiction studies have increasingly treated technological mediation as constitutive rather than incidental. Latour argues that action takes shape within networks of human and non-human actants, where responsibility and intention distribute unevenly.⁶ Applied to narrative analysis, this perspective foregrounds how systems, protocols, and interfaces organize relations

1 See Hiroki Azuma, *Otaku: Japan's Database Animals*, translated by Jonathan E. Abel and Shion Kono, Minneapolis: University of Minnesota Press, 2009, 33-54.

2 See Sera Palmer, "The Gendered Strategy of Tsutsui Yasutaka's Early Works," *Border Crossings: The Journal of Japanese-Language Literature Studies* 1 (2023): 215-231.

3 See Thomas Lamarre, *The Anime Machine: A Media Theory of Animation*, Minneapolis: University of Minnesota Press, 2009, 195-228.

4 See Karen Barad, *Meeting the Universe Halfway: Quantum Physics and the Entanglement of Matter and Meaning*, Durham, NC: Duke University Press, 2007, 132-185.

5 See Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 191-192.

6 See Bruno Latour, *Reassembling the Social: An Introduction to Actor-Network-Theory*, Oxford: Oxford University Press, 2005, 63-86.

among characters and institutions.

Despite this theoretical consensus, most literary analyses isolate technological mediation at the level of concept or theme. They rarely trace how technological discourse expands, contracts, or realigns across narrative time. Digital approaches have begun to address this limitation. Jockers demonstrates that large-scale textual patterns can illuminate structural tendencies that resist anecdotal interpretation.¹ When combined with position-based analysis, such methods enable a more precise account of how technological mediation interacts with other representational shifts.

2.4 Narrative Position and Turning Points in Digital Literary Studies

Narrative position has emerged as a key concept in digital literary studies concerned with change over time. By mapping narrative progression onto a normalized scale, researchers can identify relative concentrations and shifts without imposing a uniform plot structure. Underwood emphasizes that such approaches do not replace interpretation but redirect it toward questions of distribution and scale.² Much of this work focuses on affective movement, particularly sentiment. Reagan and his collaborators identify recurring emotional arcs across large corpora, suggesting that narratives often organize change around a limited set of structural patterns.³ Less attention has been paid to representational turning points that reorganize relations among motifs. By focusing on abrupt shifts rather than gradual trends, recent studies suggest new ways to conceptualize narrative reconfiguration. This collaborative interpretive method matches the paradigm of computational literary criticism put forward by Nie and Ren.⁴ This framework informs the comparative analysis undertaken here.

3. Data and Analytical Framework

3.1 Data Preparation and Narrative Alignment

The material for analysis consists of two science fiction narratives from the 2010s that differ markedly in scale and compositional rhythm. Each text operates as a closed narrative system. Comparison therefore proceeds by tracing how representational features appear and shift over the course of narration, rather than

1 See Matthew L. Jockers, *Macroanalysis: Digital Methods and Literary History*, Urbana, IL: University of Illinois Press, 2013, 72-98.

2 See Ted Underwood, *Distant Horizons: Digital Evidence and Literary Change*, Chicago: University of Chicago Press, 2019, 15-27.

3 See Andrew J. Reagan et al., "The Emotional Arcs of Stories Are Dominated by Six Basic Shapes," *EPJ Data Science* 5 (2016), article 31.

4 See Nie Zhenzhao and Ren Jie, "From Technological Tool to Cognitive Restructuring: Paradigm Revolution in Literary Criticism of the AI Age," *Journal of Humanities and AI* 1 (2026): 12.

by aligning plot elements or formal units. Preparation of the texts focused on stabilizing sequence. Page numbers and editorial signals do not enter the analysis. Orthographic normalization curbs surface variation, while standardized line breaks keep segmentation stable. These adjustments preserve narrative sequence and limit formatting artifacts.

Segmentation follows narrative flow, with each segment marked by its relative position within the text. This positional index captures where a segment falls within the narrative as a whole, independent of absolute length. Jockers shows that such relative scaling supports comparison across texts without presupposing shared narrative architecture.¹ The present analysis adopts this approach to keep attention on patterning rather than structure. Token-level normalization precedes measurement and focuses on lexical content. The procedure retains words that carry representational weight and filters out elements that merely inflate frequency. Consistent application of these rules across the narrative ensures that observed variation reflects shifts in narration rather than changes in preprocessing.

3.2 Indicators and Turning Points

Three lines of measurement guide the analysis: representations of falling, configurations of girl-related agency, and references to technological mediation. Each draws on recurring lexical cues and traces their relative prominence across narrative segments. Representations of falling include terms associated with descent, collapse, and loss of positional control. Girl-related agency enters through patterns that link female figures to verbs of action, decision, or constraint. This measure does not resolve philosophical questions of agency. It registers shifts in how action aligns with particular figures. Technological mediation appears through references to systems, protocols, and mediated operations that shape interaction and choice.

Segment-level normalization ensures comparability. Local averaging reduces short-range noise while preserving broader movement, making longer-term tendencies visible without flattening local change. Points of rapid change mark positions of interest. These moments, termed DROPs, occur where a trajectory reverses direction or accelerates beyond its immediate context. The procedure assigns no meaning in advance. It identifies locations where narrative organization shifts pace or orientation. Underwood cautions against treating quantitative signals as explanations in themselves.² DROP detection serves here as a way of narrowing

1 See Matthew L Jockers, *Macroanalysis: Digital Methods and Literary History*, Urbana, IL: University of Illinois Press, 2013, 72-98.

2 See Ted Underwood, *Distant Horizons: Digital Evidence and Literary Change*, Chicago: University of Chicago Press, 2019, 15-27.

attention, directing interpretation toward positions where representational strands reorganize.

3.3 Topic Modelling and Analytical Scope

Keyword-based indicators capture localized patterns but offer limited insight into their surrounding contexts. Topic modelling complements these measures by grouping terms that recur together across narrative segments, allowing shifts in lexical association to come into view. Separate models preserve internal coherence, while shifts in topic proportions before and after DROPs indicate changes in surrounding lexical contexts. Topic analysis tracks variation in prominence across narrative phases rather than fixed thematic content.

According to Underwood, digital analysis gains interpretive force when it emphasizes tendencies of arrangement over categorical meaning. Placing indicator-based shifts alongside changes in topic composition links localized change to broader narrative movement. The analytical scope remains deliberately restrained. Indicators signal where attention should concentrate, while topic modelling clarifies what surrounds those moments. Together, these tools support a comparative reading of how the two narratives stage crises of agency over the course of narration.

4. Results

This section reports how representations of falling, girl-related agency, and technological mediation distribute across narrative progression. The results distinguish gradual accumulation from abrupt reconfiguration and compare how these patterns organize narrative change in the two works.

4.1 Falling across Narrative Progression

Representations of falling follow markedly different temporal logics across the two narratives, revealing a contrast between cumulative build-up and abrupt disruption across narrative position (Figure 1). The figure plots length-normalized and smoothed indicator values, allowing broader narrative tendencies to emerge without being obscured by local fluctuation.

Angels of Johannesburg exhibits a sharply contrasting pattern (Figure 1a). Falling concentrates within narrow intervals, producing sudden spikes followed by rapid decline. Extended stretches of the narrative register little to no falling-related activity, interrupted by abrupt surges. Here, falling operates as a disruptive event that interrupts narrative continuity rather than as a condition that builds over time. In *BEATLESS*, falling-related references remain low but persistent through the early narrative and increase steadily toward the latter half (Figure 1b). The trajectory shows sustained intensification rather than volatility, with only limited local inflections.

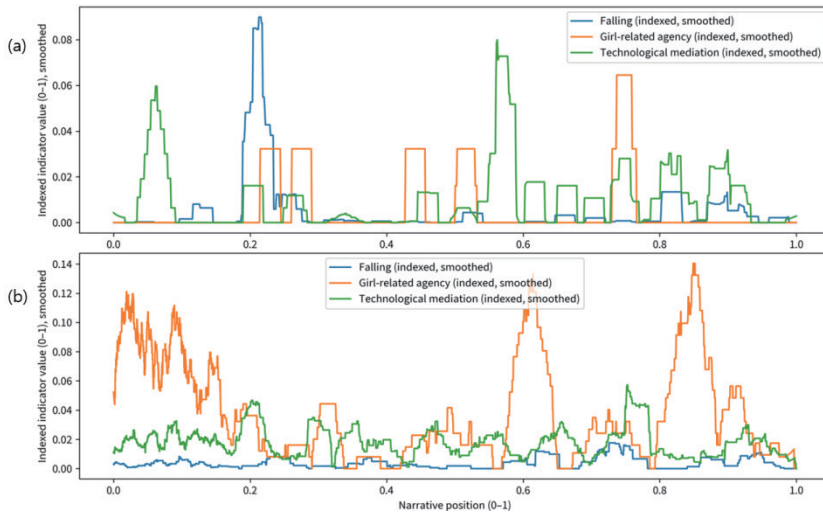


Figure 1. Narrative position-based trends of falling, girl-related agency, and technological mediation across relative narrative position¹

Falling therefore accumulates as a form of narrative pressure, shaping progression through gradual amplification rather than through isolated rupture. The two narratives exhibit sharply different temporal patterns in how falling is organized across narrative progression. *BEATLESS* organizes falling through gradual accumulation across narrative position, whereas *Angels of Johannesburg* mobilizes it through abrupt shifts that coincide with narrative turning points.

4.2 Girl-Related Agency and Turning Points

Girl-related agency follows divergent narrative trajectories in the two works, reflecting contrasting strategies for distributing action and constraint across narrative progression.

In *Angels of Johannesburg*, agency appears intermittently and remains bound to localized disruptions (Figure 2a). Agency-related values rise sharply at a small number of positions and decline just as quickly, producing brief intensifications without cumulative development. These spikes coincide with narrative turning points, but their effects remain limited. Between such intervals, agency remains diffuse and weakly articulated.

BEATLESS presents a contrasting configuration (Figure 2b). Agency begins at a comparatively high level and declines unevenly but decisively across the narrative.

¹ The figure plots length-normalized and smoothed values for falling, girl-related agency, and technological mediation across relative narrative position (0-1), showing how the prominence of each representation changes over the course of the narrative.

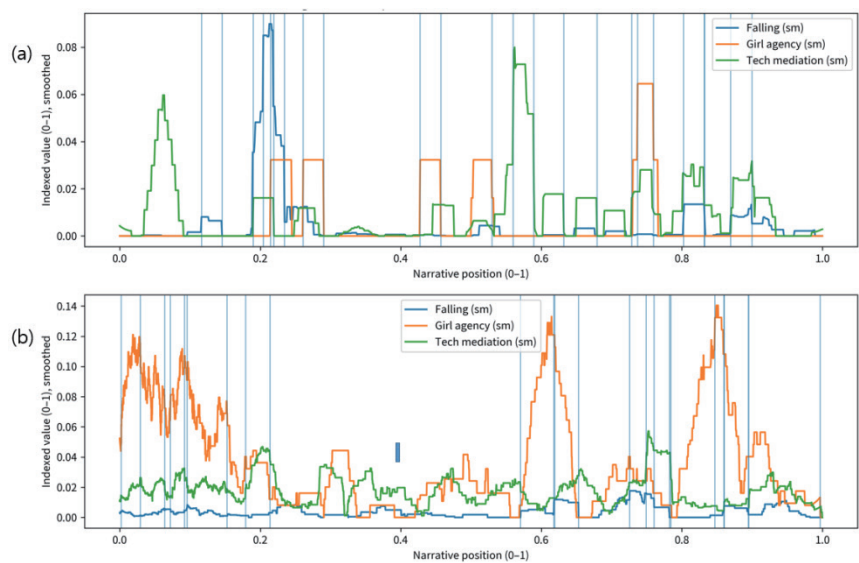


Figure 2. Turning points and trajectories of key indicators¹

Several turning points coincide with pronounced drops from which recovery remains partial or absent. These moments mark lasting changes in how action is distributed, creating extended stretches in which agency no longer anchors narrative progression. Figure 2 shows that changes in girl-related agency rarely occur alone. They appear alongside intensified falling or expanded technological mediation, through which agency loss is redistributed within the narrative.

Figure 2 establishes where and when agency shifts occur; Table 1 shows what those shifts reorganize. Table 1 specifies how meaning clusters shift around these turning points, allowing closer examination of the directions in which meaning reorganizes.

Table 1. Semantic reconfiguration following agency-related turning points²

work	group	delta_sum	delta_mean	n_topics
ANGELS	Other/Unclassified	0.037	0.001	27
ANGELS	Human/Body/Affect	0.004	0.001	6
ANGELS	Technology/Infrastructure	-0.005	-0.001	6

1 (a) Angels of Johannesburg; (b) BEATLESS. Indexed and smoothed values for falling, girl-related agency, and technological mediation plotted across relative narrative position. Vertical lines indicate detected turning points.

2 Changes in the relative prominence of semantic groups before and after detected turning points. Positive values indicate domains that gain prominence as agency declines, while negative values mark domains that recede.

ANGELS	Control/Governance	-0.035	-0.012	3
BEATLESS	Technology/Infrastructure	0.082	0.007	11
BEATLESS	Human/Body/Affect	0.001	0.000	7
BEATLESS	Control/Governance	-0.024	-0.024	1
BEATLESS	Other/Unclassified	-0.059	-0.002	36

In *Angels of Johannesburg*, shifts following turning points disperse across semantic domains without consolidating into a dominant configuration. No single domain stabilizes as a substitute for diminished agency. In *BEATLESS*, declines in agency accompany a shift toward technological and system-oriented domains, as human-centered and decision-related domains recede across subsequent segments.

Table 1 summarizes semantic reconfiguration around narrative turning points by grouping topic-level changes into broader domains. The column *work* distinguishes between *Angels of Johannesburg* and *BEATLESS*, while *group* identifies recurring semantic domains such as Technological (“systems,” “networks,” “protocols,” “automated processes”), Human/Bodily (“bodily states,” “affect,” “individual action”), Control/Governance (“themes of regulation,” “command,” “managerial authority”), and Other/Unclassified. These groupings indicate the directions toward which agency is redirected when it weakens. The remaining columns quantify these shifts: *delta_sum* captures overall magnitude, *delta_mean* indicates directional consistency, and *n_topics* shows how widely each change is distributed across topics.

Table 1 highlights contrasting semantic patterns between the two texts when considered alongside Figure 2. In *Angels of Johannesburg*, semantic shifts remain dispersed across domains, with changes around turning points alternating rather than consolidating into a stable configuration. In *BEATLESS*, by contrast, agency loss aligns with increased prominence of semantic groups associated with technological systems, coordination, and mediated control, while groups tied to individual decision and action recede. Across both works, shifts in girl-related agency appear alongside intensified falling or subsequent rises in technological mediation, situating changes in agency within broader patterns of narrative organization. If agency weakens or collapses at turning points, the next question concerns what comes to organize action in its place.

4.3 Technological Mediation and Narrative Substitution

Technological mediation emerges as the primary mechanism through which the two narratives reorganize action once individual agency weakens, but it does so under sharply different narrative conditions. While Figure 2 shows where and how

girl-related agency weakens at turning points, Figure 3 addresses the subsequent question of narrative organization: what fills the space left by collapsing agency, and whether that space stabilizes or remains unresolved.

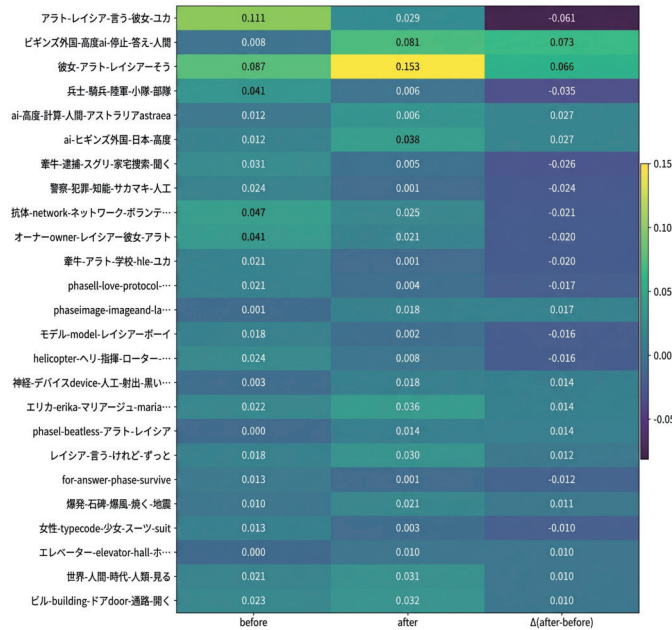


Figure 3. Topic reorganization before and after turning points in *BEATLESS*¹

The heatmap displays topic shares before turning points, after turning points, and their difference (Δ). Color intensity indicates the magnitude of change, with warmer tones marking increased prominence after turning points and cooler tones indicating decline. The rows list topics that show the largest shifts across phases. Read from top to bottom, the ordering reflects a broader movement from topics centered on individual figures and action toward those structured around systems, environments, and mediated control.

This pattern shows a consistent redistribution rather than isolated fluctuation. Topics associated with individual decision, interpersonal action, or character-centered perspective lose prominence after turning points. In contrast, topics tied to technological systems, protocols, networks, and procedural coordination expand and remain elevated. The Δ column makes this substitution explicit: decreases in

¹ Topic shares before and after detected turning points, with Δ indicating the direction and magnitude of change. Topics are ordered by the size of their shift, revealing a transition from agency-centered to system-centered domains

agency-related domains align with increases in system-oriented ones.

Crucially, this reorganization does not reverse. Once agency-related topics recede, they do not recover their earlier share in subsequent segments. Technological mediation therefore operates not as a temporary response to crisis but as a stabilizing structure that consolidates narrative progression after agency collapse.

The contrast with *Angels of Johannesburg* clarifies the specificity of this pattern. In *Angels*, agency weakens at turning points but no equivalent thematic consolidation follows. Shifts in topic emphasis remain fragmented and episodic, preventing any durable replacement from taking hold. Where *Angels* registers agency collapse without successful substitution, *BEATLESS* channels that collapse into a sustained technological reorganization.

These results indicate two distinct narrative strategies. *Angels of Johannesburg* stages agency loss as an unresolved condition, leaving narrative organization exposed to recurrent disruption. *BEATLESS*, by contrast, resolves agency loss through turning-point-centered substitution, allowing technological mediation to assume a governing role over subsequent development. Figure 3 shows not just that agency declines in *BEATLESS*, but how its absence becomes structurally productive through technological mediation.

5. Discussion

The comparison between *BEATLESS* and *Angels of Johannesburg* shows that the crisis of human agency in contemporary Japanese science fiction follows divergent narrative logics. Although both works engage with mediation, control, and autonomy, they distribute loss and substitution in markedly different ways.

In *Angels of Johannesburg*, falling, agency, and mediation interact without stabilizing into a dominant structure. Falling appears abruptly and recedes, while moments of intensified agency surface only in response to disruption. These moments do not accumulate across narrative progression. Technological mediation remains intermittent and closely tied to crisis itself. Agency weakens, yet no durable replacement emerges. The narrative sustains pressure without resolution, allowing instability to repeat rather than transform.

BEATLESS organizes agency loss differently. Agency collapses at a limited set of turning points and does not recover. After these moments, technological mediation expands and stabilizes narrative progression. Systems, protocols, and coordinated operations take over functions previously associated with individual action. This shift marks a durable reallocation of narrative responsibility rather than a temporary adjustment.

Turning points therefore play distinct roles. In *Angels of Johannesburg*, they intensify instability without resolving it. In *BEATLESS*, they concentrate change and fix its consequences. The difference lies not in the presence of disruption but in whether disruption reorganizes narrative structure or merely extends tension. This contrast clarifies the relation between cumulative development and substitution. *Angels of Johannesburg* relies on accumulation without replacement, while *BEATLESS* centers narrative change on turning-point-centered substitution. Agency loss in the latter becomes productive by enabling a new, technologically mediated mode of organization.

The comparison highlights divergent ways in which agency weakens, redistributes, or stabilizes under different narrative conditions. Instead, shifts in agency become visible through how texts place change at specific narrative positions, either by sustaining unresolved pressure or by concentrating transformation at decisive turning points.

6. Conclusion

Across the two narratives examined here, falling, girl-related agency, and technological mediation emerge as position-sensitive features of narrative organization rather than as stable thematic background. Read in relation to narrative progression, these elements mark moments at which relations among action, control, and mediation shift in response to narrative pressure. In *Angels of Johannesburg*, such moments intensify instability without consolidating a new organizational logic, leaving agency situational and reversible. In *BEATLESS*, by contrast, declines in agency align with sustained changes in narrative organization, through which technological mediation assumes a governing role over subsequent development.

Attending to narrative position also makes it possible to distinguish between forms of agency loss that remain episodic and those that stabilize into governing structures over time. This distinction underscores how similar motifs can organize narrative change in markedly different ways, depending on how they align with narrative progression. Reading narrative change through position-based analysis makes visible forms of agency loss and substitution that remain difficult to capture through thematic or character-centered interpretation alone. Attention to where change concentrates within narrative time treats agency as an outcome of narrative organization rather than as a stable attribute of characters. This perspective enables comparison across science fiction narratives in which shifts in action and control emerge through changes in narrative arrangement rather than through gradual transformation.

Works Cited

- Azuma, Hiroki. *Otaku: Japan's Database Animals*, translated by Jonathan E. Abel and Shion Kono. Minneapolis: U of Minnesota P, 2009.
- Barad, Karen. *Meeting the Universe Halfway: Quantum Physics and the Entanglement of Matter and Meaning*. Durham, NC: Duke UP, 2007.
- Braidotti, Rosi. *The Posthuman*. Cambridge: Polity Press, 2013.
- Genette, Gérard. *Narrative Discourse: An Essay in Method*, translated by Jane E. Lewin. Ithaca: Cornell UP, 1980.
- Haraway, Donna. "A Cyborg Manifesto: Science, Technology, and Socialist-Feminism in the Late Twentieth Century." *Simians, Cyborgs, and Women: The Reinvention of Nature*. New York: Routledge, 1991. 149-181.
- Hayles, N. Katherine. *How We Became Posthuman: Virtual Bodies in Cybernetics, Literature, and Informatics*. Chicago: U of Chicago P, 1999.
- Jockers, Matthew L. *Macroanalysis: Digital Methods and Literary History*. Urbana, IL: U of Illinois P, 2013.
- Lamarre, Thomas. *The Anime Machine: A Media Theory of Animation*. Minneapolis: U of Minnesota P, 2009.
- Latour, Bruno. *Reassembling the Social: An Introduction to Actor-Network-Theory*. Oxford: Oxford UP, 2005.
- Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.
- . "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.
- Nie Zhenzhao and Ren Jie. "From Technological Tool to Cognitive Restructuring: Paradigm Revolution in Literary Criticism of the AI Age." *Journal of Humanities and AI* 1 (2026): 5-21.
- Palmer, Sera. "The Gendered Strategy of Tsutsui Yasutaka's Early Works." *Border Crossings: The Journal of Japanese-Language Literature Studies* 1 (2023): 215-231.
- Reagan, Andrew J. et al. "The Emotional Arcs of Stories Are Dominated by Six Basic Shapes." *EPJ Data Science* 5 (2016), article 31.
- Suvin, Darko. *Metamorphoses of Science Fiction: On the Poetics and History of a Literary Genre*. New Haven: Yale UP, 1979.
- Underwood, Ted. *Distant Horizons: Digital Evidence and Literary Change*. Chicago: U of Chicago P, 2019.

Ethical Judgement and the Nature of Literary Discourse

Tomo Virk

Abstract: The close connection between literature and ethics is undeniable, whether we start from literature or moral philosophy. Using Fowles' novel *The Magus* as an example, we will show that the reason for this close connection lies in the a priori structural affinity between the nature of ethical judgement and literary discourse. Aristotle already noted that the ethical judgement or value of a given action depends essentially on occasional circumstances, on context. It is usually a singular matter that cannot be represented in theoretical discourse, but only in literature. Consequently, literature is a privileged instrument for discussing ethical issues.

Keywords: literature; ethics; ethical judgement; singularity of literature

Author: Tomo Virk is Senior Professor of Comparative Literature and Literary Theory at the Department of Comparative Literature and Literary Theory at the University of Ljubljana, Slovenia. He has been the vice-dean of the faculty and the Head of the Department. He is a member of Slovene Academy of Arts and Sciences. He published eighteen books on Literary Theory, Contemporary World Literature, Slovene Literature, Theory of the Novel, Theory and History of Short Story, Ethical literary Criticism, Literature and Philosophy (Email: tomo.virk@guest.arnes.si).

标题：伦理判断与文学话语的本质

内容摘要：无论从文学研究还是道德哲学的视角出发，文学与伦理之间的紧密联系都无可否认。本文以福尔斯的小说《巫术师》为例，论证二者深度关联的根源在于：伦理判断的本质与文学话语的本质之间存在先验的结构亲和性。亚里士多德早已指出，对特定行为的伦理评判与价值判定，本质上依赖具体情境与语境。这类伦理判断往往具有独一性，无法在理论话语中得到完整呈现，唯有文学能够承载其全部复杂性。因此，文学是探讨伦理议题得天独厚的载体。

关键词：文学；伦理；伦理判断；文学的独一性

作者简介：托莫·维尔克，斯洛文尼亚卢布尔雅那大学比较文学与文学理论系资深教授，斯洛文尼亚科学与艺术院院士，研究领域涵盖文学理论、当代世界文学、斯洛文尼亚文学、小说理论、短篇小说理论与史、文学伦理学批评、文学与哲学等。

As early as 1987, in *The Ethics of Reading*, one of the first works of the so-called ethical turn in literary studies, Joseph Hillis Miller, in a discussion of Kant's moral philosophy, showed how philosophy, when talking about ethics, necessarily resorts to a fictional example, literature.¹ And a few decades later, Nie Zhenzhao, the founder of the Ethical Literary Criticism², posited that literature is by its very nature "a product of ethic, or a unique expression of morality in a given historical period" (Nie, "Towards an Ethical Literary Criticism" 85).

The findings of Hillis Miller and Nie Zhenzhao are still valid today. The close connection between literature and ethics is undeniable, whether we start from literature or moral philosophy. In my talk, I will try to show as vividly as possible that the reason for this close connection lies in the a priori structural affinity between the nature of ethical judgement and the nature of literary discourse.

To this end, let me begin with philosophy. Much of traditional moral philosophy, both normative and descriptive, rests on the assumption that it is possible to define absolute ethical principles and values, and then to label individual acts as good or bad on the basis of those principles. For a theory of the ethical, this is, at first glance, a fairly reasonable thing to do. For example: We come to the conclusion that those behaviours and principles are good that we would like all people to follow, and then we test each individual behaviour and principle against that basic principle. Kant does this, for example, when he illustrates his argument with a false promise or lie in general:

I can will the lie but not at all a universal law to lie; for in accordance with such a law there would properly be no promises, because it would be pointless to avow my will in regard to my future actions to those who would not believe this avowal, or, if they rashly did so, who would pay me back in the same coin; hence my maxim, as soon as it were made into a universal law, would destroy itself. (Kant 19)

The universal law would not be in my interest in this case, because then everyone would lie and I could never know what is a lie and what is the truth. Therefore, we must adhere to the principle that "I ought never to conduct myself except so that I

1 The author acknowledges the financial support from the Slovenian Research Agency (research core funding No. P6-0239).

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

could also will that my maxim become a universal law” (Kant 18), and it then logically follows that the moral imperative obliges me to tell the truth and not to lie.

Although Kant’s thoughts are clear and logical in this respect, they are valid only in their generality and are therefore abstract, of little practical relevance, and therefore of limited use in ethics. It soon becomes apparent that this logic has significant, perhaps even insurmountable, problems that call it into question. If we move from this abstract formula to concrete examples, it quickly becomes clear that truth is not only not the highest value, it is also not absolute. And this is more or less true for all values. No ethical or moral value is absolute and universal in itself, so it is not really possible to establish absolute values or requirements for ethical behaviour, for instance like this: the truth is absolutely good, therefore we act ethically or morally, i.e. good or right, only if we always tell the truth; or: lying is evil, therefore we should (absolutely) never lie. Because sometimes speaking untruths, lying, can be good, moral, ethical. A simple example: to a terminally ill person who is very afraid of death, we may be able to relieve his suffering by lying to him about his actual health condition, and this kind of lying does not seem unethical.

What kind of definition, what kind of rule regarding truth as a value allows for such a situation at all, apart from a tautology (truth is a value if it is not a non-value) or a rule with exceptions, i.e. a rule to which we add lists of cases in which the rule to tell the truth does not apply, lists which are open, however, because we cannot really foresee all such cases, and therefore it is the case that the exceptions do not really confirm the rule, but simply “eat” it up because of their quantity?

To better illustrate what kind of principled problem we are dealing with, I will give a hypothetical, though sufficiently realistic, example. Let us imagine that during World War II the German Gestapo captures a resistance soldier and tortures him into betraying the outpost of his comrades. It is immediately clear to us how the prisoner should behave in order to be ethical: he must not reveal this information. It seems that this could even be established as a rule for such special cases, for example, in this form: Whenever the army captures an enemy soldier and tortures him to make him betray his comrades, the only ethical attitude is not to do so, not to tell the truth. (The English moral philosopher Hare actually has a similar example; he modifies the “do not lie” rule in this context as follows: “Never say what is false, except in war-time to deceive the enemy” (Hare 52). This rule and this value seem absolute at the moment.

But this starting position, for the time being given only in broad outlines, i.e. still schematically, can be further complicated in many ways. With the starting position unchanged, we can introduce small distinctions and ask ourselves again

which behavior is the most ethical. For example: Is it more ethical for a prisoner to remain silent or to inadvertently reveal a false location of his comrades? If he remains silent, an additional ethical dimension can be seen in this: He shows his contempt for the torturers and expresses his human dignity, which is otherwise put to the test by the torture of the body. But it is also possible that he remains silent because he simply cannot get anything out of the shock that the torture means for him, he gets a mental block; in this case the silence does not bring any additional ethical merit, although we will probably not deny its ethical quality as long as it is true that he would not betray his comrades in any case (even if the block would be released). But in the case that he remains silent because, for example, during the torture some of his brain functions failed due to the head injuries, and he cannot really betray his comrades (if he could speak, he might do so because he cannot bear the suffering anymore), we should seriously consider whether this silence can still be understood as an ethical act. So these kinds of possibilities—I have only pointed out a part of them here—are revealed when he is silent. But even if he speaks and lies, we have several possibilities: For example, this can bring additional ethical capital if he lies to mislead his enemies and thus cause them at least some harm because they waste energy, or he can even lure them into a trap. But he can also lie to make them stop torturing him, at least until they find out that he lied, so that he can delay his suffering a bit. Since he did not betray his comrades, his behavior is still ethical, but a shade less ethical to our ethical sensibilities than in the previous case of lying. If he lies because of trauma-induced amnesia, because he has actually forgotten where his comrades are, we have to ask ourselves again whether his behavior—even if it is not unethical for this reason—still deserves the label moral or ethical.

But all these possibilities—all these shades of ethical stance—arise only from a relatively ascetic, schematic version of the case of a man tortured by the Gestapo in order to betray his comrades. We can complicate the case much more seriously. Let us suppose that the prisoner is a member of a small resistance group of ten men. The Gestapo tortures him, but he does not betray his comrades. Then the torturers bring his relatives to the front, including children, for example, or all the villagers of a nearby village, and give him a choice: Either he betrays a handful of his comrades, or many more civilians die with him—perhaps even under torture, including the children. The complexity of the situation, of course, goes beyond a theoretical discourse and rather calls for a literary representation. And indeed, in literature we find depictions of similar situations and the moral dilemmas that arise from them, for example, in the novel *The Magus* by the famous English writer

John Fowles. Conchis, one of the main characters of the novel, is the mayor of his hometown in German-occupied Greece during the World War II. One day, the Germans capture several partisans who have killed four German soldiers. As a warning example, they are drawn to the village, brutally tortured, some are killed, and finally they demand that Mayor Conchis personally kill the remaining two partisans to prove his loyalty to the Germans. Otherwise, besides him, they will kill all the men of the village whom they have taken hostage (there are eighty of them). Only such more complicated cases, whether Fowles' or my own invented, present us with a real ethical dilemma. For we can see at once that even for an ethically extremely sophisticated and sound person the decision is not easy. On one side of the scale—but this is the most banal “theoretical” weighing—there is a handful of people, on the other side a whole lot. Which decision is more ethically justified? And further: on one side there are the soldiers, people who consciously decided to fight without compromise, risking to fall one way or another (in a “fair” fight or thanks to betrayal), on the other side (supposedly) innocent civilians, even children, who did not make this decision and are pushed into their position by the decision of those others. Or vice versa: on one side there are innocent people, relatives, even children, but on the other side there are comrades with whom the prisoner is bound by the deepest bond of a common decision and a common goal that is in the interest or for the good of all, including, for example, the villagers and many others, a goal, in other words, that is in its own way more important than the lives of the prisoner's relatives and even of all the villagers together, the goal that will not be achieved if the Gestapo kills his comrades. There are, of course, even deeper, philosophically tinged ethical dilemmas that can be briefly summarized, for example, as follows: One must not give in to evil and violence at any price (because—here one can add all sorts of justifications, for example as follows: such giving in only strengthens evil, etc.), therefore the prisoner acts ethically only if he does not give in, does not betray ten comrades, and thus allows eighty or a hundred or three hundred innocent villagers to be killed.

Such a situation, which requires an ethical decision—that the prerequisite for this is at least a minimum of subjective freedom is actually a tautology; but in Fowles it is even explicitly emphasized—is further complicated in Fowles' *Magus*. Either out of fear for himself or a sense of mayoral responsibility to his innocent fellow citizens (they protest loudly when he hesitates), Conchis is initially willing to kill the partisans. Although he calls his actions “without reason” because “Of course, in such situations one cannot think. All coherence is crowded out of one's mind” (Fowles 438), he decides logically, according to a rational mathematical

calculation (eighty is much more than two). “I have no choice” (Fowles 438), he therefore says. But, quite unexpectedly, another circumstance occurs that causes his decision to tip to the other side. The gun the officer gave him was not loaded; the Germans’ demand is even crueler than it appears. He must kill the prisoner with the hoof of the rapid-fire rifle. Conchis, in this changed situation and in the face of a terribly humiliated prisoner, experiences a kind of epiphany of Eleutheria, of freedom, which is also the freedom of choice and therefore the basis of ethical decision. Therefore, he changes his mind: he does not give in to the Germans, he does not kill the prisoners with his hoof, because he realizes that there is something much more important than his own life and the lives of his fellow villagers:

All I saw I saw in a matter of seconds, perhaps not in time at all. I saw that I was the only person left in that square who had the freedom left to choose, and that the annunciation and defence of that freedom was more important than common sense, self-preservation, yes, than my own life, than the lives of the eighty hostages. (Fowles 441)

I could go on developing the sub-variants of each of these situations, including the hypothetical one I invented, but for the point I want to make, the ones shown are quite sufficient. Even if we could find a description or definition for every ethical and ethical action or attitude or value that would be normative, general, and absolutely valid (past experience shows that this is unlikely), the vast majority of ethical actions or attitudes and values would still remain outside such a framework, since actions and decisions are usually tied to a purely specific, particular, singular situation with a complex of circumstances that cannot be measured in advance, translated into norms and prescriptions, and validly generalized. Ethical behavior, whether or not it conforms to existing ethical norms and codes, is in a sense independent of them, being in its deepest essence unique, singular and therefore incomparable. For this reason it is also not generalizable and it is incompatible with a law, a rule, a syllogism, a tenet. This is also true of my example with the Gestapo. It seems that for each specific situation we could establish some kind of—admittedly quite extensive and complex—universal rule for ethical and unethical behavior, but since situations can multiply at will into new versions that are no longer covered by this rule, the creation of the ultimate universal rule proves impossible.

The conclusion, then, would be that it is not possible to define a norm, an ethical rule, a value, an instruction for ethical behavior that would be able to cover all the complexity of even a single life situation (in our case, of course,

appropriately bifurcated in certain nuances, but essentially the same), let alone many or all of them. This is not just a principled theoretical conjecture; it is demonstrated above all by the practice of life. As Hannah Arendt notes about the loss of ethical norms in Nazi Germany:

Since the whole of respectable society had in one way or another succumbed to Hitler, the moral maxims which determine social behavior and the religious commandments—"Thou shalt not kill!"—which guide conscience had virtually vanished. Those few who were still able to tell right from wrong went really only by their own judgements, and they did so freely; there were no rules to be abided by, under which the particular cases with which they were confronted could be subsumed. They had to decide each instance as it arose, because no rules existed for the unprecedented. (Arendt 294-295)

As I have tried to show, what the famous philosopher states in this particular case can easily be generalized into a generally applicable principle. This principle is also consistent with what Aristotle wrote about ethical judgement and conduct in the *Nicomachean Ethics*. There he says the following:

But this must be agreed upon beforehand, that the whole account of matters of conduct must be given in outline and not precisely, as we said at the very beginning that the accounts we demand must be in accordance with the subject-matter; matters concerned with conduct and questions of what is good for us have no fixity, any more than matters of health. The general account being of this nature, the account of particular cases is yet more lacking in exactness; for they do not fall under any art or precept, but the agents themselves must in each case consider what is appropriate to the occasion. (Aristotle 24-25)

So which discourse is appropriate for ethical situations? What discourse can do justice to the actual complexity of ethical positions—they are always (or at least often enough; if we go deep enough, really always) embedded in a specific context, which, of course, no theory can fully represent, and are therefore singular, unique, incomparable? – This discourse is literature because it is an image, a representation, a simulation of reality in all its fullness of life and complexity (thus also of real ethical situations), and also its reflection. Literature is indeed ethical reflection *in concreto*.

It is precisely this conclusion, which emerged simultaneously in the works

of several philosophers rather than literary theorists—Martha Nussbaum, Richard Rorty, and Alasdair MacIntyre, among others—that triggered the so-called ethical turn in literary studies in the second half of the 1980s. Philosophy, which had held disciplinary primacy over ethics—ethics or moral philosophy being one of the established philosophical disciplines—suddenly realized that when we discuss ethics, we cannot do without literature. As M. Nussbaum writes, the novel is a moral philosophy in itself, or, as Nie Zhenzhao says, literature is “a unique expression of morality” (Nie, “Towards an Ethical Literary Criticism” 85). This deep internal embedding of ethics in the nature of literary discourse is the basic building block of the field of research to which this scholarly conference is devoted and which we call Ethical Literary Criticism.

Works Cited

- Arendt, Hannah. *Eichmann in Jerusalem: A Report on the Banality of Evil*. London: Penguin, 2006.
- Aristotle. *Nicomachean Ethics*, translated by David Ross, edited by Lesley Brown. Oxford: Oxford UP, 2009.
- Fowles, John. *The Magus: A Revised Version*. New York: Dell Publishing, 1978.
- Hare, Richard Mervyn. *The Language of Morals*. Oxford: Clarendon Press, 1972.
- Kant, Immanuel. *Groundwork for the Metaphysics of Morals*, translated by Allen W. Wood. New Haven and London: Yale UP, 2002.
- Nie Zhenzhao. “Ethical Literary Criticism: A Basic Theory.” *Forum for World Literature Studies* 2 (2021): 189-207.
- . “Ethical Literary Criticism: Sphinx Factor and Ethical Selection.” *Forum for World Literature Studies* 3 (2021): 383-398.
- . *Introduction to Ethical Literary Criticism*, translated by Zheng Jie. London and New York: Routledge, 2024.
- . “Towards an Ethical Literary Criticism.” *Arcadia* 50 (2015): 1, 83-101.

Lee Yangji's Literature Read through the Theory of Ethical Literary Criticism: The Ethical Lines, Knots, and Limbo of Koreans in Japan

Inseop Shin

Abstract: This paper examines the narrative structures of Lee Yangji's novels *Nabi T'aryŏng* and *Yuhi* to explore the ethical conflicts that define the literature of Koreans in Japan. Drawing on Nie Zhenzhao's Theory of Ethical Literary Criticism, the study situates Lee's works within their historical and moral context to analyze the ethical dilemmas arising from issues such as naming, discrimination, naturalization, and the linguistic tension between Korean and Japanese languages. The pursuit of identity in this context emerges as a process of continual ethical dialogue and self-examination. Employing Nie's core concepts of the ethical line—which delineates the boundary of moral consciousness—and the ethical knot—where conflicting ethical forces become entangled—this paper demonstrates how Lee transforms moral contradictions into the driving force of her storytelling. Furthermore, by introducing the ethical limbo, which describes a psychological and moral state of being caught between self-affirmation and self-denial, the analysis reveals how Lee's protagonists, as Koreans in Japan, inhabit a gray zone of ethnic identity. Through these interrelated concepts of the ethical line, knot and limbo, *Nabi T'aryŏng* and *Yuhi* emerge as paradigmatic examples of how ethical conflict operates as both structural and thematic cores of Lee's storytelling. Ultimately, her works paint literature as an ethical practice—one that confronts identity fragmentation through moral reflection and invites readers to reconsider their own ethical relationships with others.

Keywords: ethical literary criticism; Lee Yangji; *Nabi T'aryŏng*; *Yuhi*; Nie Zhenzhao

Author: Inseop Shin is Professor in the Department of Japanese Language Education, College of Education, Konkuk University (Seoul, South Korea), and serves as the Director of the Academy of Mobility Humanities. His research interest centers on mobility humanities and Korean-Japanese literature (Email: seoha@konkuk.ac.kr). This paper was supported by Konkuk University in 2023.

标题：文学伦理学批评视域下的李良枝文学研究——论在日朝鲜人的伦理线、伦理结与伦理悬置

内容摘要：本文以李良枝小说《蝴蝶打令》与《由熙》为研究对象，运用文学伦理学批评理论，剖析在日朝鲜人文学中呈现的伦理冲突特质。论文以聂珍钊的文学伦理学批评为理论框架，将作品置于在日朝鲜人的历史境遇与道德语境中，考察姓名选择、歧视与归化问题、母语（朝鲜语）与居住国语言（日语）之间的张力所引发的伦理困境。在此过程中，身份追寻被诠释为一种持续进行的伦理协商与自我反思。论文重点借助“伦理线”与“伦理结”这一对核心概念，阐释李良枝如何通过跨越与重构道德边界来构建叙事张力并推动伦理觉醒。在此基础上，进一步引入“伦理悬置”概念，用以剖析作品中人物徘徊于自我肯定与自我否定之间的心理与道德状态，从而揭示在日朝鲜人分裂性意识的伦理存在特征。通过伦理线、伦理结与伦理悬置这三个相互关联的理论透镜，《蝴蝶打令》与《由熙》展现出伦理冲突如何同时构成其叙事结构与主题内核的双重驱动。最终，李良枝的文学实践表明，文学本身即是一种伦理实践：它通过对身份冲突的伦理反思，催生道德自觉，并邀请读者重新审视自我与他者之间的伦理关联。

关键词：文学伦理学批评；李良枝；《蝴蝶打令》；《由熙》；聂珍钊

作者简介：申寅燮，韩国建国大学教育学院日语教育系教授、移动人文研究院院长，主要研究方向为移动人文、韩日文学。

Introduction

In Japan, there exist communities of descendants of Koreans who migrated during the period of Japanese imperial rule. In Korea, these individuals—commonly referred to as Koreans in Japan¹ are often described as part of the “600,000 compatriots,” even though it remains difficult to determine their precise population. This complexity arises from the diverse legal and cultural statuses among Koreans in Japan. Some maintain their Korean nationality and affirm their identity through the possession of a Korean passport, while others have become naturalized Japanese citizens. There are also individuals who identify North Korea as their homeland and consequently face restrictions associated with North Korean passports. Even within a single family, it is not uncommon to find both naturalized and non-naturalized members. Furthermore, in today’s globalized context, a newer group—often referred to as “newcomers”—has emerged, comprising those who have relocated from Korea to Japan in recent years.

1 Also referred to as Zainichi Chosenjin, Zainichi Korean, Zainichi Kankokujin. Generally used terms expressed in English are used here.

Among these communities, writers who have made their literary debut in Japan and produce works in Japanese that portray the experiences of Koreans in Japan are collectively referred to as “Korean-Japanese writers”¹. This study examines the narrative structures of Lee Yangji's *Nabi T'aryŏng* (나비타령, 1982) and *Yuhi* (유히, 1988) to explore the ethical conflicts that characterize the literature of Koreans in Japan.²

This paper analyzes the ethical narrative structure using Nie Zhenzhao's Ethical Literary Criticism Theory, applying the concepts of “ethical lines”³ and “ethical knots” (Nie 525-528).⁴ A previous study employing Ethical Literary Criticism proposed the concept of *ethical limbo* to explain the ethical conflicts experienced by Koreans in Japan. Building upon this framework⁵, the present study further examines how ontological anxiety produced through ethical self-exploration shapes the formation of Korean-Japanese identity. The research first explores the moral issues and historical dimensions underlying the literature of Koreans in Japan, within its broader ethical framework. It then analyzes how Lee Yangji's *Nabi T'aryŏng* and *Yuhi* develop into narratives of moral consciousness and reflects on the wider significance of their ethical vision.

The Korean-Japanese community and Lee Yangji as a backdrop

During the Japanese colonial period (1910-1945), large numbers of Koreans

1 For a more detailed paper, please see Inseop Shin, “Post-colonial Narratives of Korean-Japanese Literature: Ethical Issues for the Displaced,” *Unitas* 1 (2018): 3-28.

2 Though supplementary, besides Lee Yangji, I will also briefly mention other authors such as Kim Sarang (金史良), Kaneshiro Kazuki (金城一纪), and Kang Sang-jung (姜尚中), pointing out the ethical devices central to their works. Through this, I aim to understand why Korean-Japanese writers' novels function as ethical texts.

3 The expression format of an ethical line is to directly weave the leading ethical issues within the entire literary work. See Nie Zhenzhao, *Introduction to Ethical Literary Criticism*, translated by Soon-jin Kim et al., Seoul: Hankuk University of Foreign Studies Knowledge Publishing Content Center, 2022; Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 189-207; Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398.

4 What is explained in the Korean review is “The ethical knot refers to the ethical contradictions and conflicts that are completed within the structure of a literary text by being penetrated or connected by the ethical line” (Jinhyoung Lee, “Popular Narrative and The ‘Ethical Turn’ in Literature” 344). For an example of application to Korean novels, see Jooyoung Kim, “A Korean Mobility-Themed Novel Read from an Ethical Literary Criticism Perspective: The Green Juice Girl Has No Time for Sorrow,” *Interdisciplinary Studies of Literature* 4 (2021): 614-626.

5 See Inseop Shin, “The Review of ‘Koreans in Japan’ Novels Through the Lens of Ethical Literary Criticism: Lee Yangji's *Nabi T'aryŏng* and Other Stories,” *Interdisciplinary Studies of Literature* 4 (2024): 702-713.

settled in Japan, including both voluntary migrants and forcibly mobilized laborers. Although many repatriated after liberation, a substantial population remained, forming the historical foundation of the Korean-Japanese community. In the post-war era, this community's ambiguous status—caught between two nations and cultures—emerged as a central social and ethical concern that continued to shape debates on identity, belonging and citizenship.

In this historical context, Koreans in Japan who chose to remain faced a profound ethical dilemma regarding their relationship with their homeland. Most first-generation Korean immigrants dispossessed of their nation after liberation chose to stay in Japan, raising their descendants while striving to preserve their Korean identity. This generation lived in a state of linguistic and cultural duality, navigating life simultaneously through both Korean and Japanese languages. Although their continued presence in Japan was met with ambivalence and, at times, hostility, expulsion was not a viable course of action for the Japanese government, which bore moral and political responsibility for imperialist past.¹

Over time, Japan's policies towards Koreans residing within its borders have gradually shifted toward greater flexibility compared to earlier decades. In contemporary society, a formal system has been established to categorize Koreans in Japan as permanent residents, and the process of naturalization has become more widely recognized and accessible.² Nevertheless, both overt and covert forms of discrimination and repression continue to affect this community. Living in Japan while striving to preserve Korean culture, they often find themselves—each prescribing different norms of belonging and morality. Their enduring identity crisis, in which they cannot fully belong to either culture, can be understood through three key dimensions:

Firstly, it is noteworthy to consider the ethical implications surrounding names. Names serve as vital symbols that reflect one's identity. In the context of Korea, historical events such as forced name changes during Japan's colonial rule resulted in Koreans bearing both their original Korean names and what were termed pass names (Japanese names). Consequently, their ethnic identity could vary depending on how they are addressed.

Secondly, discrimination against Koreans in Japan and the conflicts arising from naturalization are significant. This situation greatly differs from voluntary

1 See The Committee for Writing *the History of Korean Residents in Japan*. *The History of Korean Residents in Japan-History Textbook*, Tokyo: Akashi Shoten, 2006, 60-82.

2 See The Committee for Writing *the History of Korean Residents in Japan*. *The History of Korean Residents in Japan-History Textbook*, Tokyo: Akashi Shoten, 2006, 98-112.

immigration and obtaining foreign citizenship in today's globalized society. By contrast, most Zainichi Koreans are long-term residents with permanent residency and native-level Japanese proficiency. Therefore, the decision to acquire Japanese citizenship carries a far more complex significance. It represents not only a legal or administrative act but also a symbolic shift in the identity from Korean to Japanese, one that potentially disrupts their historical and cultural heritage.

There exists a spectrum of diversity ranging from those who choose naturalization and adopt Japanese pass names, to those who others reject such names to preserve their ethnic identity. The ethical dilemma emerges from the fact that, in the process of naturalizing, individuals are compelled to suppress or even negate their ancestral narrative rooted in the Korean Peninsula. Unlike in many other societies where dual citizenship is permitted or immigrant backgrounds are openly acknowledged, naturalization for Koreans in Japan is fraught with the weight of historical displacement and inherited stigma. This complexity provides a crucial lens through which to examine the intergenerational and familial ethical conflicts portrayed in Lee Yangji's *Nabi T'aryŏng*, as will be discussed later.

Thirdly, the tension between the native language and the language of the host country constitutes another critical site of the ethical conflict. It is important to note that the global ethics surrounding multilingualism and language proficiency, commonly accepted in today's globalized world, do not easily apply to the Korean experience in Japan.

These three ethical circumstances profoundly shape the narrative structure of *the literature of Koreans in Japan*, particularly in relation to the formation of ethical lines and ethical knots as proposed in Nie Zhenzhao's theory of Ethical Literary Criticism. Each of these circumstances—naming, discrimination and naturalization, and the conflict between the Korean and Japanese languages—generates ethical tensions that shape the moral universe of Korean-Japanese literature. Within these frameworks, the characters in Lee's novels repeatedly cross over and recross the boundaries of selfhood, creating moments of rupture and reconciliation that resemble the drawing and untying of ethical lines and knots.

Lee Yangji was a writer who sought to weave her personal experience into her novels to explore the condition of living as a Korean in Japan. Previous studies (including "The Review of 'Koreans in Japan' Novels Through the Lens of Ethical Literary Criticism: Lee Yangji's *Nabi T'aryŏng and Other Stories*") have traced the trajectory of identity conflict that later formed the foundation of her literary universe. Born in Kyoto to first-generation immigrants from Jeju Island, Lee Yangji grew up as a naturalized Japanese citizen yet later rediscovered her Korean heritage

through art and education. Her experiences of family discord, repeated flight from home, and eventual encounter with Korean traditional culture—particularly gayageum, pansori, and dance—profoundly shaped her creative imagination. These experiences gave rise to her debut work *Nabi T'aryŏng* and her award-winning novel *Yuhi*, both of which transformed personal struggle into ethical narrative.

Korean-Japanese writers' awareness of their names and how they use them

Previous studies on Kim Sa-ryang help contextualize the development of Zainichi (Korean-Japanese) literature and reveal important precedents for Lee Yangji's ethical concerns. Kim Sa-ryang, who emerged as a writer during Japan's colonial period, embodied the ambivalence and characteristics of colonial intellectuals (Kim, "The Identity of a Young Intellectual in Korea" 236). Kim is renowned for his novel *Into the Light*, which was nominated for the Akutagawa Prize, the most prestigious Japanese literary award, held semiannually. Although it did not win, *Into the Light* was groundbreaking in its exploration of ethical identity¹ as it relates to naming and recognition. The story revolves around a Korean university student who teaches at a night school alongside his Japanese peers. Despite his awareness of his Korean heritage, both his fellow teachers and the students address him by his Japanese name, exposing the ethical tension embedded in colonial identity.

I cannot recall exactly when, but at some point I became known as *Minami* (南) sensei (先生) within the association. As you may know, my surname should be pronounced *Nam* (南), yet for various reasons, I was addressed by its Japanese reading. Above all, it was likely because my colleagues called me so. At first, the thought weighed heavily on my mind. Later, however, I began to rationalize that it might be better this way, for the sake of playing along with these innocent children. Repeatedly I told myself that I harbored neither a hypocritical intent nor had I a reason to be servile. Perhaps I was simply preparing an excuse for myself that if there had been a Korean child in this class, I would have insisted that he call me Nam. (S. Kim 7) (*italics mine*)

The issue of naming does not trouble the protagonist until a young Korean student directly confronts him with a simple yet piercing question: "Why'd even someone like you, sir, wanna hide your family name, huh?" (S. Kim 8) In that moment,

1 See Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 383-398.

he is rendered speechless—caught between shame and a desperate urge for self-justification, unable to articulate which name truly represents his identity. His silence signifies a moment of moral paralysis, awakening him to the realization that even the seemingly mundane act of choosing a name carries profound ethical implications. The novel employs this dilemma as a central narrative device, the protagonist's decision to reclaim his Korean name becomes both an ethical and cultural act of self-restoration.

However, it is important to note that such a narrative framework does not necessarily extend to all Koreans who have settled abroad. For instance, a Korean immigrant to the United States might prefer to be addressed as Tomas Park, as the surname Park already conveys his ethnic and familial identity. In contrast, Korean immigrants in Japan occupy a liminal condition in which the act of naming is fraught with historical and ethnical tension rather than being grounded in personal preference.

For them, choosing a name extends beyond a matter of simple identification—it becomes a moral signifier negotiated between assimilation and resistance. The protagonist's confusion, hesitation, and self-reproach vividly expose these tensions reflecting not only personal uncertainty but also the ethical contradiction of being simultaneously an insider and outsider within a single cultural system. This condition illustrates the term ethical limbo—a state that frequently serves as a central device in the literature of Koreans in Japan. Ethical limbo may be defined as “a state of psychological turmoil caused by the conflict between the self that seeks to establish a proper sense of identity and the self that negates its own existence” (Shin, “The Review of ‘Koreans in Japan’ Novels” 706).

In Japan, Koreans of Japanese descent are often perceived as secondary beings and historical burdens, a perception that perpetuates their social discomfort and marginalization. A notable example is Kang Sang-jung, a second-generation Korean in Japan who is a prominent scholar in Japan. During his university years, Kang abandoned his pass name Nagano Detsuo (永野鉄男) and reclaimed his original Korean name. He pursued studies in political philosophy at the University of Nuremberg and later became the first Korean resident with Korean citizenship to hold a professorship at the University of Tokyo.¹

The reclamation of Korean names became a significant ethical turning point for many Koreans in Japan. This transformation later appeared in third-generation works such as Kaneshiro Kazuki's *GO* (2000), where questions of identity are negotiated within a more globalized social context. Writing under his Japanese pass name, Kaneshiro interrogates the complexities of national identity and belonging in

1 See Sangjung Kang, *Living in Japan*, Tokyo: Kodansha, 2004, 69-135.

a postmodern Japan. However, despite his attempts to transcend national borders, his position as a Korean in Japan continues to complicate his negotiation with identity and social acceptance. Derogatory expressions such as “half-Japanese,” used even within Korea to stigmatize Koreans in Japan¹, and the persuasive notion that a Japanese partner might find such a background undesirable², expose the deep-seated prejudices embedded in both Korean and Japanese societies³.

In *Yuhi*, this tension is vividly articulated, whereas in *Nabi T'aryŏng*, the protagonist, aware of the significance of her Korean name, turns toward Korean traditional culture and engages in exchanges with the homeland, marking a process of ethical progression. Therefore, the main character who finds their name embarks on a journey towards their ethical identity. Korean-Japanese novels serve as narratives where individuals impose ethics upon themselves in order to establish their identity. Ultimately, this intersects with the universal theme of literature that prompts readers to examine their own ethics in how they treat others.

***Nabi T'aryŏng*: Discrimination and Naturalization**

Nabi T'aryŏng serves as the cornerstone of her literary legacy, delving into the psychological and moral conflicts that arise from the protagonist's process of ethical selection.⁴ The novel opens with the main character returning from Kyoto—her place of escape—to Tokyo, where she reunites with her older brother. Here, two principal narrative threads intertwine: one revolves around the ethical condition of the protagonist, a Japanese-born Korean, who fears renewed discrimination after choosing to naturalize as a Korean in Japan; the other concerns the familial conflict between the protagonist, who sides with her mother in an ongoing trial, and her older brother, who supports their father. Another narrative strand involves the protagonist's affair with a Japanese married man named Matsumoto. Her impulsive decision to love a man who already has a family is not ethically justified but accompanied by deep remorse, revealing the intricacies of moral consciousness and the human capacity for guilt.⁵

1 See Kazuki Kaneshiro, *GO*, Tokyo: Kodansha, 2000, 83.

2 See Kazuki Kaneshiro, *GO*, Tokyo: Kodansha, 2000, 178-179.

3 Inseop Shin and Jooyoung Kim, “Ethics of Father and Son in Ri's 流域へ (Watershed Above) and Kaneshiro's Go,” *GCLCWeb: Comparative Literature and Culture* 5 (2015): 3-4.

4 See Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398.

5 See Inseop Shin, “The Review of ‘Koreans in Japan’ Novels Through the Lens of Ethical Literary Criticism: Lee Yangji's *Nabi T'aryŏng* and Other Stories,” *Interdisciplinary Studies of Literature* 4 (2024): 708-710.

In Nie Zhenzhao's framework of Ethical Criticism, the ethical line refers to the moral boundary that governs human behavior and sustains identity within a given ethical order. Structurally, it functions as the central melodic line running vertically through a narrative, preserving ethical coherence and guiding the moral progression. Within this structure, the ethical knot signifies a point of tension or dissonance, where conflicting ethical forces become intertwined and demand resolution as the narrative unfolds.

The character's act of crossing the ethical line signifies a departure from their intrinsic moral values, thereby disrupting the ethical harmony of the narrative. In *Nabi T'aryŏng*, the protagonist's dual existence—torn between Japanese assimilation and Korean heritage—embodies this very ethical knot. The moment she conceals her ethnic identity in order to survive in Japanese society, she crosses the ethical line, distancing herself from her moral sense of authenticity rooted in her origins. Conversely, her later decision to reclaim her Korean name, Ae-ja, represents an effort to untie the knot and to realign her life with the ethical melody that defines her true self. Thus, *Nabi T'aryŏng* portrays ethical lines not as fixed boundaries but as shifting axes of identity and moral awakening. It is along this axis that the ethical consciousness of Koreans in Japan takes shape, articulating their perpetual negotiation between cultural assimilation and moral authenticity.

In this novel, the exploration of identity, deeply intertwined with ethical considerations, centers around the possibility of rebuilding a fractured sense of self. This expectation is reflected in the protagonist's psyche, who harbors resentment towards their father for naturalizing as a Japanese. Despite lacking concrete evidence, the protagonist suspects their father of having an affair with a Japanese woman and sides with their mother in their parents' conflict. However, as observed in the earlier discussion on the naming issue, the protagonist's attempt to conceal their Korean identity as a resident of Japan underscores the enduring presence of their Korean heritage even post-naturalization.¹

An electrician named Kanemoto, who frequently came to the inn, was obviously Korean; he spoke Japanese with a strong Korean accent [...] I paid close attention all the time to watch for any changes in everyone's attitude and behavior.

A terrible anxiety gripped me without ceasing. (Y. Lee, "Nabi T'aryŏng" 335)

1 See Jaebong Lee, "The Distance between 'Urinara/Korea', 'Urimal/Korean language'—Yangji Lee's Bilingual Literary World," *The Journal of Literary Theory* 51 (2012): 311.

Her worries turned out to be accurate. When she made her mistake at her ryokan, her innkeepers immediately discriminated against her because she was Korean.

“You ungrateful wretch!”

“We put up with you and let you work here, even knowing that you are Chōsen.”

[...]

“All Chōsen are ungrateful and shameless by nature. Ah, I’m so sick of them!”
(Y. Lee, “Nabi *T’aryŏng*” 341-342)

“Chōsen” is a term used by Japanese speakers to refer to Koreans residing in Japan. As shown in the excerpt, although the inn staff’s prejudice is not explicitly stated, their subtle contempt toward the protagonist—who conceals her ethnic identity—reveals the pervasive undercurrent of discrimination. While this episode may draw Lee Yangji’s own experiences working at a ryokan, it is important to clarify that she was not directly subject to such treatment. According to her biography, the ryokan owner was, in fact, a compassionate figure who supported her education. Thus, the ryokan scene should be read not as autobiographical realism, but as a narrative device illustrating the ethical complexities of discrimination faced by Koreans living in Japan.

In her essay *I am Korean*, written at the age of twenty, Lee Yangji recounts her family’s experiences as Koreans in Japan. Her parents migrated to Japan as teenagers and endured hardships, including periods of homelessness caused by unstable housing. Although they eventually achieved some economic stability, their home life remained fraught with conflict. Frequent and heated arguments often resembled battles between adversaries, sometimes escalated to discussions of divorce. During these disputes, Korean was spoken only occasionally. They refrained from eating kimchee at home, suppressing visible traces of Koreanness in their daily lives. It was not until high school, when Lee Yangji needed her family register for a study abroad exam, that she discovered her official status as a Korean residing in Japan. This was a revelation that fractured her assumed sense of belonging. “I constantly felt torn between the urge to hide, to keep hiding, and the desire to deny, shaking my head and saying no” (Lee, “I am a Korean” 585).

To combat discrimination, one must affirm rather than conceal one’s identity. For the protagonist, this act of affirmation begins with a simple yet profound request of being called by her Korean name “Ae-ja” instead of the Japanese name “Aiko.” She tells Matsumoto, “Please call me Ae-ja. I am Kim Ae-ja, not Aiko” (Y. Lee, “Nabi

T'aryŏng" 365). This declaration signifies more than a correction of name. It marks a moral awakening and an assertion of selfhood within a society that demands concealment. Yet, the protagonist's affair with a married Japanese man further highlights the ethical dilemma and the fragility of their identity.

At this juncture, the protagonist enters a state of ethical limbo, a psychological and moral condition in which her desire to affirm her Korean self-clashes with the internalized impulse to conceal it. As previously defined¹, this ethical limbo signifies to assert identity and the self that seeks to negate its own existence. The protagonist's hesitation between revealing and concealing her ethnic identity, between moral integrity and social survival, exemplifies this inner crisis. Suspended between two ethical poles, she personifies the divided consciousness of a Korean in Japan—a liminal being caught in the ceaseless motion between self-affirmation and self-denial.

Despite the evident portrayal in the novel that the relationship between the two characters is hindered by unrealistic and exaggerated revenge motives, the ethical complexities are strategically reinforced. Mirroring the family history of the author Lee Yangji, the deaths of both the elder and younger brothers ultimately lead to the resolution of the longstanding conflict between the parents through separation. As the protagonist grapples with these complex ethical dilemmas, the ethical boundary leads her towards Korea. Immersing herself in traditional Korean dance and mastering the "gayageum," she strives to embody the Korean spirit within herself. Yet, despite her efforts, she ultimately recognizes the impossibility of full belonging: neither wholly Japanese nor Korean, but exists as a Korean in Japan. This revelation strikes her most poignantly when she falters in pronouncing Korean words even on Korean soil.

"Ae-ja, when saying *p'okp'o*, you need build up tension around your lips and pronounce the syllables with a burst of air. Your pronunciation sounds like *bōbō* instead, which means 'to kiss' in Korean," [...] Hearing this laughter behind me sent my back muscles into spasm.

Afraid of staying in both Japan and *urinara*², [...] (Y. Lee, "Nabi *T'aryŏng*" 409-410)

The journey to establish the identity of being a Korean living in Japan was a process

1 See Inseop Shin, "The Review of 'Koreans in Japan' Novels Through the Lens of Ethical Literary Criticism: Lee Yangji's *Nabi T'aryŏng* and Other Stories," *Interdisciplinary Studies of Literature* 4 (2024): 706.

2 Korean for "our country."

of unraveling fundamental issues such as discrimination and naturalization. The narrative structure of *Nabi T'aryŏng* exemplifies how a Korean in Japan author operates ethical texts in a compelling way during this process.

Between Native Language and Mother Tongue: *Yuhi*

Yuhi is a novel that intricately portrays the ethical dilemmas arising from the clash between one's native language (language spoken in country of origin) and the host language (language used in the country of residence). While some may perceive the ability to speak both Korean and Japanese as a straightforward matter, the reality is far more nuanced.

Yuhi is a unique novel with a distinctive temporal and narrative structure. The narrative begins with the protagonist, referred to as "I," receiving a phone call from Yuhi, who is leaving for Japan, and abruptly ending the call. Rushing to the house of the aunt where Yuhi used to stay, "I" arrives only to find that Yuhi has already left. The narrative is led by "I" who reminisces the moments spent with her over a six month period she was absent. Yuhi addresses "I" as her older sister and follows her lead. Moreover, "I" serves as a guide, assisting Yuhi in embracing Korean culture as if she were a native. From the perspective of this facilitator "I," the narrative unfolds the process of Yuhi, a second-generation Korean resident in Japan, returning to Japan as neither a Korean nor Japanese. In contrast to *Nabi T'aryŏng*, where the protagonist, dealing with an identity crisis, narrates its inner thoughts in the first person perspective, here a third-person perspective is utilized to depict the inner self of a second-generation Korean in Japan. The narrator initially fails to understand the suffering of second-generation Koreans in Japan, but gradually recognizes that even empathy may reproduce subtle exclusion.

This novel explores discrimination among compatriots through the conflict between native language and mother tongue. Furthermore, Yuhi's poor Korean language skills, her experiences with the rudeness of compatriots, cultural maladjustment, and her attempt to sublimate these aspects through playing the gayageum are set as ethical knots, guiding the ethical line. For instance, second-generation Koreans in Japan, who experience discrimination merely because their ancestors came from Korea, are inherently subjected to ethical conflicts.

Yuhi, who found herself neither Japanese nor Korean, wrote about her limitations:

언니¹ Ōnni Ōnni

1 The book is written in Korean in this part. The same applies to the following lines.

저는 위선자입니다 *Chō nŭn wisŏnja imnida* I am a hypocrite

저는 거짓말쟁이입니다 *Chō nŭn kōjinmaljaeng'i imnida* I am a liar

When Yuhi had finished writing, she slammed the pen down on the notebook and picked up the bottle of shōchū. “Stop!” I said, trying to get the bottle away from her. But she wrenched it out of my hands and drained the remaining liquid in one swig. (Lee, “Yuhi” 91)

The self-reproach of admitting to oneself as a hypocrite stems from the unequal treatment experienced by Koreans in Japan, who face ethical suppression compared to Koreans or Japanese. For instance, individuals born in Japan readily embrace their Japanese identity stemming from their ancestral lineage and are spared from encountering comparable ethical suppression. Similarly, those born in Korea inherently recognize themselves as Korean by virtue of their ancestral heritage, thus eluding such suppression. Thus, the ethical narrative framework of *Yuhi* not only exposes the moral contradictions faced by Koreans in Japan but also invites readers to confront the ethical boundaries within their own consciousness, transforming the act of reading itself into a moral experience.

Yuhi undertakes an evaluation of Korea within this context.

“In this country, the students spit on the floor of the dining hall and don’t bother throwing away their garbage.” Yuhi said. “They don’t wash their hands when they go to the bathroom. They’ll borrow a textbook and write notes in it with a pen, and return it like nothing happened. This country’s people, as soon as they find out you’re a foreigner, they hike up their prices. When you share a cab with someone, they don’t even say thank you. They bump into you or step on your feet and don’t even say sorry. They yell for no reason. They never think of others [...]” (Lee, “Yuhi” 83)

The ethical knot critiquing Korea is epitomized by Yuhi’s portrayal of her homeland as a place riddled with moral shortcomings, referring to it simply as “this country.” She had no other choice but to represent Japan as “this country,” while also referring to Korea, the homeland she longed for, as “this country.”

The absence of “our country” is portrayed as a destiny for Koreans in Japan. Yuhi’s criticism of Korea is met with a defiant attitude from “I,” who finds it hard to accept. The following passage reflects the stereotypical views of Koreans who perceive Koreans in Japan as not being truly Korean.

“Yuhi, you’re a bigot! I guess *tongp’o* from Japan really are Japanese—no, you’re worse than Japanese, the way you look down on Korea. You whine about every little thing. You just can’t let anything go. I used to think you were just overly sensitive, but that’s not it. You’re narrow-minded. You’re a bigot,” I shouted at her once. I just couldn’t take it anymore.

“Well if it weren’t such a shitty country it wouldn’t be so easy,” she shot back. I almost lost it. I couldn’t believe how closed-minded she was. Always “this country” this, or “this country’s people” that. (Lee, “Yuhi” 84)

It is shocking to hear the remarks from “I,” who had endeavored to establish a close bond with Yuhi as well as a good understanding of her. Even as she comforts herself by attributing Yuhi’s suffering to the fate of compatriots raised outside their homeland, “I” consciously regards Yuhi as foreigners, redrawing the very national boundaries of “Korean” and “Japanese.” The imagery of delineating the boundaries between Korea and Japan and placing the severed “Koreans in Japan” on both sides. This, indeed, was another face of the category of compatriots.

From the perspective of Nie Zhenzhao’s Ethical Literary Criticism, Yuhi vividly illustrates the dynamic interplay of the ethical line, the ethical knot, and the emergence of ethical limbo. In this novel, the ethical line does not signify a fixed moral boundary but rather the ethical current of the narrative that guides the trajectory of the protagonist’s moral consciousness. It unfolds through Yuhi’s continual pursuit of authenticity amid self-examination and critique.

Her self-declaration as a “hypocrite” marks the precise moment where the ethical line momentarily falters, giving rise to an ethical knot within the narrative’s moral flow. This knot emerges as Yuhi becomes ensnared with the conflicting imperatives of belonging and estrangement, love and resentment, homeland and exile. When she confronts the discriminatory realities in both Japanese and Korean societies, the ethical line is bent and distorted—its moral movement obstructed by contradictions that defy resolution.

Yuhi’s repeated reference to both Japan and Korea as “this country” reveals the ethical knot at work: she is unable to sustain a continuous ethical line capable of connecting her fractured identities with a single moral rhythm. The absence of “our country” (*uri nara*, 우리나라) exposes the impossibility of ethical coherence for Koreans in Japan, whose historical and linguistic dislocation fractures their moral continuity. This loss of alignment draws Yuhi into a state of ethical limbo—a suspended moral and psychological space between self-affirmation and self-negation. In this liminal condition, she is neither reconciled nor fully alienated,

but drifts along a distorted ethical line. Her linguistic frustration and emotional exhaustion, expressed through contempt toward both nations, are not signs of arrogance but expressions of ethical fatigue within a divided world that denies belonging.

At the same time, the narrator's retort—"You're worse than Japanese"—further distorts the ethical line, marking the moment where moral distance between insider and outsider is reaffirmed. Yet this distortion rather than dissolving tension, only tightens the ethical knot, entrapping both characters within the same structure of exclusion. Through this dialectical interplay of movement and entanglement, *Yuhi* emerges as a narrative of ethical confrontation, where the protagonist's moral struggle unfolds along the oscillating rhythm of the ethical line. Ultimately, Lee Yangji discloses that ethical limbo is not merely a state of psychological confusion but an inevitable condition of disclosed existence for Koreans in Japan—a suspended line of becoming that defines their moral trajectory and narrative identity.

Conclusion

This study has examined the narrative structures of Lee Yangji's *Nabi T'aryŏng* and *Yuhi* to illuminate the ethical dynamics that define the literature of Koreans in Japan. The analysis focused on three key dimensions of identity formation—naming, discrimination and naturalization, and the tension between native and host languages—which together construct the ethical environment in which the characters exist. These dimensions do not simply delineate moral boundaries; rather generate a sustained ethical current running through the entire narrative, functioning as ethical lines. Within this flow, moments of conflict and hesitation crystallize into ethical knots, where competing ethical imperatives, emotional attachments, and social obligations intertwine to suspend the narrative's movement.

In this sense, Lee Yangji's literature reveals a continuous process of drawing, distorting, and reweaving the ethical lines. When the flow of the ethical line falters, the characters enter a state of ethical limbo—a space of moral suspension in which affirmation and denial of identity coexist. This triadic movement of line, knot, and limbo structures Lee's narrative ethics, transforming the struggle for identity into an aesthetic of ethical rhythm.

Through this framework, Lee Yangji transforms the personal trauma of living between two nations into a mode of ethical reflection. *Nabi T'aryŏng* unfolds as a narrative of untying one's knots—tracing the return from concealment to recognition—while *Yuhi* exposes the fragility of the ethical line itself, depicting the anguish of those who drift perpetually between two moral worlds. Together, these

works reveal how the literature of Koreans in Japan becomes a form of ethical narration, where the very act of storytelling itself operates as a moral gesture toward self-understanding and coexistence. Ultimately, Lee Yangji's fiction transforms ethical conflict into a form of moral reflection, inviting readers to reconsider belonging, exclusion, and otherness beyond national and linguistic boundaries.

Works Cited

- 金城一紀: 『GO』。東京: 講談社, 2000 年。
[Kaneshiro, Kazuki. *GO*. Tokyo: Kodansha, 2000.]
- 姜尚中: 『在日』。東京: 講談社, 2004 年。
[Kang, Sangjung. *Living in Japan*. Tokyo: Kodansha, 2004.]
- Kim, Jooyoung. "A Korean Mobility-Themed Novel Read from an Ethical Literary Criticism Perspective: *The Green Juice Girl Has No Time for Sorrow*." *Interdisciplinary Studies of Literature* 4 (2021): 614-626.
- . "The Identity of a Young Intellectual in Korea." *Kritika Kultura* 28 (2017): 232-245.
- 金史良: 「光の中へ」, 『在日朝鮮人文学全集 11 金史良・張赫宙・高思明』, 磯貝次郎、黒古一夫編。東京: 勉誠出版, 2006 年, 第 5-29 頁。
- [Kim, Sa-ryang. "Into the Light." *A Collection of the Literature of the Korean Residents in Japan* 11: *Sa-ryang Kim, Hyuk-joo Jang, Sa-myeong Goh*, edited by Jiro Isogai and Kazuo Kuroko. Tokyo: Bensey Publication, 2006. 5-29.]
- 이재봉: 「우리나라한국, 우림말한국어의 거리: 이양지의 이중언어 문학」, 『현대문학이론연구』 51 (2012): 305-335.
- [Lee, Jaebong. "The Distance between 'Urinara/Korea,' 'Urimal/Korean language'—Yangji Lee's Bilingual Literary World." *The Journal of Literary Theory* 51 (2012): 305-335.]
- 이진형: 「대중서사와 문학의 '윤리적 전회」, 『대중서사연구』 2 (2016): 329-356.
- [Lee, Jinhyoung. "Popular Narrative and The 'Ethical Turn' in Literature." *Journal of Popular Narrative* 2 (2016): 329-356.]
- 李良枝: 「わたしは朝鮮人」, 『李良枝全集』。東京: 講談社, 1993 年, 第 579-605 頁。
- [Lee Yangji. "I am a Korean." *The Collected Works of Yangji Lee*. Tokyo: Kodansha, 1993. 579-605.]
- . "Nabi T'aryŏng." *Nabi T'aryŏng and Other Stories*, translated by Cindi Textor and Lee Soo Mi. Irvine: Seoul Selection U. S. A, 2022. 303-430.
- . "Yuhi." *Nabi T'aryŏng and Other Stories*, translated by Cindi Textor and Lee Soo Mi. Irvine: Seoul Selection U. S. A, 2022. 9-138.
- Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.
- . "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.

니에전자오: 《문학윤리학비평》, 김순진, 윤석민, 임대근역. 서울: HU: iNE, 2022 년.

[Nie Zhenzhao. *Introduction to Ethical Literary Criticism*, translated by Soon-jin Kim et al. Seoul: Hankuk University of Foreign Studies Knowledge Publishing Content Center, 2022.]

Shin, Inseop. "Post-colonial Narratives of Korean-Japanese Literature: Ethical Issues for the Displaced." *Unitas* 1 (2018): 3-28.

—. "The Review of 'Koreans in Japan' Novels Through the Lens of Ethical Literary Criticism: Lee Yangji's *Nabi T'aryŏng and Other Stories*." *Interdisciplinary Studies of Literature* 4 (2024): 702-713.

Shin, Inseop and Jooyoung Kim. "Ethics of Father and Son in Ri's 流域へ (Watershed Above) and Kaneshiro's Go." *GCLCWeb: Comparative Literature and Culture* 5 (2015): 1-5.

『歴史教科書在日コリアンの歴史』作成委員会編: 『歴史教科書 在日コリアンの歴史』。東京: 明石書店, 2006 年。

[The Committee for Writing *the History of Korean Residents in Japan*. *The History of Korean Residents in Japan: A History Textbook*. Tokyo: Akashi Shoten, 2006.]

韩国古代小说《朴氏传》中朴氏的身份困境与伦理选择

Identity Dilemma and Ethical Choices of Madam Park in the Classical Korean Novel *The Legend of Madam Park*

池水涌 (Chi Shuiyong) 李同健 (Li Tongjian)

内容摘要：《朴氏传》是朝鲜朝中期出现的一部韩文小说，它以 17 世纪上半叶震动朝鲜半岛的“丙子胡乱”为历史背景，讲述了女主人公朴氏不平凡的人生经历。既往研究多将其归类为军谈小说或历史小说，然而，如果以文学伦理学批评视角重新审视，会发现其本质更接近于家庭小说。小说以朴氏在婆家遭遇的身份危机及其化解过程为伦理叙事主线，深刻展现了她如何在宗法制度的夹缝中，通过理智而审慎的一系列伦理选择，逐步摆脱有名无分的身份焦虑，完成个体身份的建构与自我价值的实现；更在关键时刻，将“齐家”之德扩展至“治国平天下”的儒家伦理实践中，赢得了家族成员的尊重和社会的广泛认可。朴氏的经历不仅关乎她个人的命运，更象征着在朝鲜朝父权制婚姻家庭制度下，身处身份困境的广大妇女的集体意志与伦理诉求。

关键词：《朴氏传》；身份困境；伦理选择；身份建构；伦理教诲

作者简介：池水涌，山东大学东北亚学院教授，主要从事韩国文学与中韩比较文学研究；李同健，华中师范大学文学院博士研究生，山东工商学院外国语学院讲师，研究方向为韩国文学与中韩比较文学。本文为国家社会科学基金一般项目“韩国古代家庭小说中的伦理选择研究”【项目批号：22BWW023】的阶段性成果。

Title: Identity Dilemma and Ethical Choices of Madam Park in the Classical Korean Novel *The Legend of Madam Park*

Abstract: *The Legend of Madam Park* (Pakssi-jeon) is a Korean-language novel from the mid-Joseon Dynasty. Set against the historical backdrop of the “Byeongja Horan” (1636-1637), a Manchu invasion that shook the Korean Peninsula in the first half of the seventeenth century, it recounts the remarkable life of its protagonist, Madam Park. Previous scholarship has commonly classified the work as a “military romance” or a “historical novel.” However, when reexamined from the perspective

of ethical literary criticism, the novel reveals itself to be essentially a domestic novel. The ethical narrative centers on Madam Park's identity crisis within her husband's family and its resolution. It portrays in depth how, navigating the constraints of the patriarchal clan system, she makes rational and ethically sound choices to gradually dispel the anxiety of being a wife in name only. In doing so, she achieves individual identity construction and self-realization. Through wisdom and virtue, she resolves internal family conflicts and gains the respect of her husband's family. Furthermore, at a critical moment, she extends her domestic virtue to the broader Confucian ethics of "ordering the state and harmonizing the world," thereby earning broad social recognition. Madam Park's trajectory thus transcends her personal fate to symbolize the collective will and ethical aspirations of countless Korean women caught in identity crises under the patriarchal marriage and family system of the Joseon Dynasty.

Keywords: *The Legend of Madam Park*; identity dilemma; ethical choice; identity construction; ethical education

Authors: **Chi Shuiyong** is Professor at the School of Northeast Asia Studies, Shandong University (Weihai 264209, China), specializing in Korean literature and comparative literature (Email: chishuiyong@163.com). **Li Tongjian** is Ph.D. Candidate at the School Humanities, Central China Normal University (Wuhan 430079, China), also Lecturer at the School of Foreign Language, Shandong Technology and Business University (Yantai 264005, China), specializing in Korean literature and comparative literature (Email: kovono@163.com).

《朴氏传》（《박씨전》）是朝鲜朝中期出现的一部韩文小说。作品以17世纪上半叶震动朝鲜半岛的“丙子胡乱”为历史背景，讲述了女主人公朴氏不平凡的人生经历。从叙事结构上看，小说呈现出鲜明的双部曲特征：前半部分聚焦朴氏的个人成长，即面对在婆家有名无分的生存困境，朴氏凭借对自我身份与价值的高度认同，通过一系列积极的努力，逐步摆脱身份焦虑，实现自我救赎；后半部分则将视野扩展至公共领域，朴氏不仅作为朝廷重臣李时白的贤内助相夫教子，更在战乱中以自家“避祸堂”为阵地，智退胡国敌将，展现出非凡胆识与才干。

中韩学界长期以来习惯于将《朴氏传》纳入军谈小说¹或历史小说²的范畴。然而，如果以文学伦理学批评视角重新审视，会发现其本质更接近于家

1 参见 장덕순의『한국문학사』（서울: 동화문화사, 1990년）、조동일의『한국문학통사』（서울: 지식산업사, 2016년）、李岩等的《朝鲜文学通史》（北京: 社会科学文献出版社, 2010年）等，以上专著把《朴氏传》界定为军谈小说。

2 参见 김기동의『이조시대소설론』（서울: 정연사, 1959년）、韦旭升的《朝鲜文学史》（北京: 北京大学出版社, 1986年）等，以上专著把《朴氏传》归类为历史小说。

庭小说。传统的军谈小说或历史小说以战争进程与重大历史事件为叙事主干，而家庭小说则将镜头由沙场转向内室，以家庭生活为圆心，辐射出婚姻伦理、代际冲突、人际网络乃至社会世态的复杂图景。此类小说不仅将婚姻置于繁复的家庭琐事中加以考察，更注重揭示家庭内部的矛盾纷争与人伦关系的微妙变化，进而在社会大背景下书写家族的发展轨迹。¹《朴氏传》将朴氏在婆家遭遇的身份危机及其化解过程作为伦理叙事的主线，展现了她如何在宗法制度的夹缝中，凭借一系列理智而审慎的伦理选择，完成个体身份的建构与自我价值的实现；更在关键时刻将“齐家”之德扩展至“治国平天下”的儒家伦理实践中，赢得家族成员的尊重和社会的广泛认可。将《朴氏传》归类为家庭小说，不仅是一次文类归属的辩驳，更是一次解读范式的深刻转换。

一、父权制婚姻家庭制度下朴氏的身份困境

朴氏是金刚山朴隐士之女。朴隐士听闻兵曹判书李得春之子李时白聪明好学、文武兼备，便下山登门，主动提亲。李得春在与朴隐士对弈、合奏的过程中，察觉对方身手不凡、绝非常人，当即应允婚事。由此，朴氏与李时白经由父辈包办，缔结了婚姻。这段姻缘表面上是名门青年才俊迎娶山中隐士之女，实则自始便潜伏着伦理张力——婚后，朴氏非但未能融入夫家，反而即刻遭到婆婆与丈夫的排斥与冷漠，陷入有名无分的身份困境。

“在文学文本中，所有伦理问题的产生往往都同伦理身份相关”（聂珍钊 263）。伦理身份有与生俱来者，如血缘身份，也有后天获取者，如夫妻身份。²朴氏进入李家后，其原生家庭身份与朝鲜朝两班社会的婚姻制度发生了尖锐冲突。朴氏在婆家所遭遇的身份困境，很大程度上是在父权制家庭伦理环境下，由先天血缘身份与后天契约身份的错位引发的。

朝鲜朝是由两班贵族统治的等级社会，实行阶级内婚制，禁止士庶通婚。在这一制度框架下，朴隐士与李家的联姻，从门第的视角而言，显然是悬殊失当的。朴隐士虽具备超凡的神异特质，然而在重视家世出身的两班社会眼光中，其“山中之人”的背景意味着缺乏明确的家族谱系，其女儿的身份自然也远低于京畿名门。因此，李家内部对这桩婚事几乎一致反对，众人抱怨道：“长安城里有许多名门望族和大家闺秀，何必非要和不知家世来历的山中之人联姻呢？”（145）³以家庭本位为核心的朝鲜朝婚姻制度，将联姻视为两个家族缔结政治与社会关系的手段。由此产生的门第偏见，并非单纯的个人好恶，而是整个宗法等级制度在婚姻中的投射，构成了朴氏难以逾越的伦理壁垒。

1 参见李娟：《韩国古代家庭小说文化阐释》，北京：中国社会科学出版社，2010年，第12页。

2 参见Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398.

3 文中作品的引文均出自金基贤译注，《박씨전》，『한국고전문학전집』제15권（서울：고려대학교 민족문화연구소，1995年），所有引文均由笔者自译，以下标出具体页码，不再一一说明。

值得一提的是，唯有公公李得春超越了这一门第观念。他看重的不是朴氏的出身，而是朴隐士身上显现的非凡能量，并由此推断其女必能为李家带来家运昌盛。李得春父子迎亲时看到朴氏的丑容，顿时目瞪口呆、大失所望。但李得春马上让自己镇定下来，他觉得这里面必有文章：“朴隐士不顾女儿长相丑陋，非要把她嫁到我家，其中必有深意。（……）我得好好对待这个女孩儿，要把坏事变为好事”（153）。他还开导儿子李时白说：“我今天看到你的媳妇，就觉得咱们家会家运昌盛，你也会前程似锦，咱应该感到高兴啊！”（153）然而，李得春对朴氏的接纳并非出于对她个体的尊重，而是源于其功利性判断，即他将朴氏视为潜在资产。但是，李得春对朴氏的这种工具性认同，并未真正消弭朴氏的身份危机。

朴氏在婆家遭遇伦理身份的悬置，其更深层的原因在于朝鲜朝父权制宗法制度对婚姻性质的根本规定。朝鲜朝是典型的父权社会，“君为臣纲，父为子纲，夫为妇纲”的儒家伦理被奉为圭臬，渗透到婚姻家庭生活的方方面面。在这种制度下，婚姻既不以当事人的情感为基础，主婚权亦不归属于婚姻主体本身。小说中，朴氏与李时白的结合，完全由双方父辈的意志决定——李时白从未见过朴氏，朴氏亦无从置喙。这种包办婚姻使两位当事人彻底丧失了选择的权利，导致婚姻关系在尚未建立情感基础之前便已确立，为日后夫妻之间的伦理冲突预置了结构性矛盾。当李时白首次目睹朴氏的丑容而仓皇出走时，这一矛盾随即激化——缺乏情感认同的婚姻，在现实冲击下显得极为脆弱，朴氏的“妻子”这一伦理身份由此更加陷入悬置。

朴氏在婆家遭受的排斥，还与朝鲜朝父权社会中弥漫的男尊女卑观念密切相关。在这种社会环境下，男性在家庭和社会中处于绝对主导地位，女性只能依附于男人。作为个体的男性虽然也受到限制，但毕竟父权制是“一个系统的、结构化的、不公正的男性统治女性的制度”（李银河 9），所以女性所受到的限制远远超过男性。尤其是男尊女卑思想作为朝鲜朝社会的普遍价值观，处处压制和束缚女性的思想和言行。在这种伦理环境下，女人出嫁意味着脱离自己的原生家庭，婆家是其唯一的归属，一旦得不到婆家和丈夫的认可，就会陷入身份危机。小说中，由于婆家拒绝接纳朴氏，她的伦理身份便悬置在了空中——既回不去原生家庭，又进不了夫家体系，成为了家庭的他者。

朝鲜朝社会受男尊女卑观念影响，普遍轻视女性才学，重视其品德与容貌。然而，作者笔下的朴氏偏偏是一个有才华的丑女：“脸上长满了麻子，如同反转的石榴皮。嘴和鼻子连在一起，眼睛似蜗牛，前牙往外凸，大嘴巴能容纳两个拳头，额头像蚂蚱，头发又短又疏，奇丑无比”（150）。这一视觉冲击引发了两重伦理关系的断裂：其一为丈夫李时白因嫌弃丑陋而逃婚，使朴氏虽有妻名，却无妻实，无法履行作为妻子的伦理责任；其二为作为父权制家庭的代理人，婆婆将对这门亲事的反对转化为对朴氏的压迫。在父权制

家庭结构中，婆婆手握家庭母权，她“不但在一定程度上能控制儿子，对儿媳而言，婆婆就是直接的‘统治者’”（杜芳琴 108）。小说中，婆婆正是借助这一支配地位，指使佣人克扣朴氏饭食，联合侍女百般刁难，试图从根本上剥夺朴氏作为家庭成员的生存权利。

可见，朴氏在婆家所经历的，是一场关于身份合法性的结构性博弈——她不仅要面对婆婆的敌意与丈夫的疏离，更要面对父权制社会对女性外貌、才学与出身的刻板规范。从小说的伦理叙事进程来看，朴氏并没有选择消极沉沦，而是通过展现超越常人的神异才华，来重新定义自身的伦理价值。这种从被动受压到主动证明的过程，实际上是她试图通过回归“德才”这一儒家核心价值，去打破“丑妇”的标签枷锁，逐步完成从“家族工具”到“独立个体”的身份救赎过程。

二、朴氏的伦理选择与身份建构

在朝鲜朝社会，许多女性经历过由性别歧视带来的伦理困境，但其应对方式不尽相同：有的忍气吞声、逆来顺受，有的以理性选择突破困境，在父权制家庭结构中实现某种意义上的“自我救赎”。《朴氏传》中的朴氏属于后者。值得注意的是，朴氏并非凭借单纯的反抗意志突破困境，而是在具体伦理情境中经由理性判断与意志抉择，逐步将个人能力转化为身份建构的合法依据，最终在婆家与社会获得应有的名分与尊重。

小说开篇，朴氏面对身份困境一度陷入失落和沮丧。然而，这种情绪并未主导她的行为选择，而是迅速为理性所统摄。她清醒地意识到，婆婆的冷漠与丈夫的疏离，根源不在于某种可以化解的个人矛盾，而在于父权制婚姻家庭制度对女性身份价值的结构性压制。因此，她并没有选择正面对抗，而是选择了迂回而主动的应对路径：利用公公作为一家之长的权威与认同，请求在后院建造独立居所——“避祸堂”。这一行为在礼法层面完全符合家庭秩序，在策略层面则为后续伦理选择提供了实践场域——无论是赶制朝服还是收留难民，“避祸堂”都是朴氏施展才能与彰显价值的重要阵地。这一选择不仅维护了其主体空间，也为其后续伦理实践奠定了基础。

在“公公授职急需朝服”事件中，朴氏迎来首次关键性的伦理实践。面对家族的突发事件，她既可以置身事外，也可以主动介入，但若直接越过婆婆请缨，则可能引发“僭越”风险。因此，她采取高度克制的策略：先令侍女桂花准备布料，再由公公在知情后主动完成授权，从而将自身行为纳入父权制家庭的合法决策链条之中，避免了可能引发的伦理冲突。这一细节体现了朴氏对伦理情境的理性预判能力。随后，她“连夜挑灯缝制”（159），将裁缝技艺与伦理尽责合一，使能力展示内化为身份履行的一部分。该事件不仅强化了公公对朴氏的认同，也使其在家族结构中逐渐获得不可忽视的位置。

随后的“买马卖马”情节，进一步展示其策略性伦理选择。朴氏基

于对家庭经济状况的判断,提出以三百两购入济州来的“最瘦小的一匹病马”(164),并预言三年后能够以“三万两卖给中国特使”(169)。这一选择的关键意义并不在于经济收益本身,而在于其对信任机制的建构作用。公公对其判断的持续信任,使跨时间决策成为可能,而这种信任本身即构成身份建构的重要伦理资源。在表达策略上,她并未直接以神异预言压服对方,而是通过地理逻辑(朝鲜与中国的国土规模差异)逐步展开说明,使超经验判断被嵌入理性话语结构之中,从而获得可理解性与可接受性。这一过程体现出朴氏的神异能力与人间理性的协同机制:前者提供判断,后者完成说服,两者共同构成其伦理选择的完整结构。

在“赠砚助考”情节中,朴氏梦见青龙衔砚并于现实中寻获砚台,再将其转交给李时白。在父权制婚姻家庭制度下,丈夫的仕途成就是光宗耀祖的大事,也是妻子协助丈夫履行家族责任的重要伦理场域。在这一情节中,朴氏的神异性与现实行动再次形成辩证统一。更值得关注的是,朴氏并未亲自将砚台送给李时白,而是“让侍女桂花转交”(171)。这一看似微小的细节,实则包含着深刻的伦理考量。在当时的伦理环境中,丈夫对朴氏尚存冷漠,贸然主动接触可能招致拒绝甚至羞辱。朴氏选择以间接方式传递关怀,是对当下伦理情境的精准把握:既保全了双方的体面,也为这份支持留下了无可否认的伦理在场。李时白高中状元,这份荣耀固然源于他自身的才学,但朴氏的深明大义与暗中相助同样功不可没。这次伦理选择所带来的变化,在于它悄然开启了李时白重新认识朴氏的心理过程,使其情感转变在累积中逐渐形成。

由上述情节可以发现,朴氏的身份建构并非由单一事件推动,而是由多重伦理选择的累积效应逐步实现。具体而言,李得春对朴氏的认同最早且最稳定:从允许建房,到主动支持其经济计划,再到逐步信任其判断,体现出信任结构的持续深化。与李得春不同,婆婆的态度则经历渐进变化。她对朴氏的初始态度建立在外貌偏见与角色期待的双重基础之上——朴氏其貌丑陋,不符合传统观念对儿媳的审美预设;朴氏主动介入家族事务,又不符合驯顺而无为的角色期待。而朴氏每次超出其预期的才能展示,则逐渐修正她对朴氏的伦理预设。与公婆相比,李时白的转变则最为复杂。他对朴氏的冷漠,既有外貌因素,也有男权意识的自我保护——承认妻子的优越,在某种程度上意味着对自身权威的让渡,这在父权制伦理环境中具有内在的心理阻力。朴氏对此似乎有清醒的认知,因此她对夫君的帮助始终采取间接的方式:赠砚不露名,助仕不居功。朴氏这种克制的伦理策略及其长期的累积,带来了丈夫对其情感和态度的逐渐转变。

小说以朴氏由“丑女”变“美女”的“变身”母题为上述渐进转变画上句点,此举意味深长。学界有观点认为,朴氏的“丑容”是朝鲜朝妇女固有的自卑感的形象化表达,“变身”则意味着她们克服了这种自卑感(金美

兰 55)。这一解读从女性心理史的角度切入，自有其合理性，但它将“变身”的意义归结为内部心理状态的改变，从而忽略了其外部伦理关系重构的层面。本文认为，“变身”是一个伦理仪式而非仅仅是心理变化：朴氏父亲下山告知女儿“厄运已退散，可以蜕壳”（175），说明身份困境的解除在先；朴氏随后沐浴更衣、向天祭拜，则是以仪式化方式确认伦理身份的完成。由“丑”变“美”，是朴氏在李家伦理地位蜕变的外在显现，而非其内在原因。婆婆的内疚与李时白“真诚悔过，以坦诚相待的夫妻之道与朴氏相处”（183），正是此前积累的伦理认同在情感层面的最终释放。“变身”母题因此不是对神话套路的简单复制，而是朴氏伦理选择之长期积累在叙事层面的集中体现。

朴氏完成在婆家的身份建构，其伦理意义并不止步于个人名分的获得，而是延伸为参与国家事务的伦理基础。朴氏在前半部分所建立的家庭身份认同，为她在后半部分介入国家事务提供了伦理通道。在儒家家国同构的伦理框架下，若一位女性尚未在家庭内部完成身份建构，她在国家层面的行动便缺乏合法的伦理起点。正是因为朴氏首先在家庭中确立了儿媳的伦理身份，她此后以“避祸堂”为阵地击退胡国敌将的行动，在叙事逻辑上被理解为家庭责任的自然外延。至于朴氏从家庭内部的身份建构者，到拥有军事预言与法术能力的卫国者，其关联机制早已蕴藏在小说前半部分的伦理叙事逻辑之中。在前半部分，朴氏已多次展现出超越凡常经验的预知能力，这些预知能力在家庭事务语境中被合理化为“异能”，为后半部分军事层面的“神功”预设了叙事合法性。换言之，朴氏的神异性在前半部分的家庭伦理选择过程中已然嵌入，只是彼时其显现的空间是家庭，而非国家。可见，《朴氏传》前后两部分是由同一伦理主线贯穿的两个叙事阶段：前半部分是朴氏在家庭伦理场域通过反复的伦理选择完成身份建构的过程，后半部分是这一伦理身份在国家责任层面的自然延伸与升华。

以往学界在考察《朴氏传》时，往往将研究重点集中在朴氏的对敌斗争上。有的认为小说通过描写朴氏英勇杀敌的英雄形象，为战败国朝鲜的读者提供了“心灵疗伤”的替代性心理满足；¹有的则认为小说通过凸显朴氏在对敌斗争中的超凡能力和强烈社会参与意识，向传统的“男尊女卑”观念提出了挑战。²前者揭示了文学的情感功能与历史语境的关联，有其合理之处，但它将读者反应置于解释中心，遮蔽了小说文本自身的伦理叙事逻辑。朴氏之所以成为让读者产生认同的英雄形象，其根本原因不仅在于她击退了敌将，更

1 参见 김성기: 「한국 군담소설 분석 연구 - 『임진록』과 『박씨부인전』을 대상으로」, 『어문학논총』2 (1983): 5-30; 윤분희: 「『박씨전』의 여성 영웅성 연구 - 활자판 『박씨부인전』을 중심으로」, 『한국민족문화』18 (2001): 39-69.

2 参见 광정석: 「『박씨전』에 나타난 여성 의식의 성격과 한계」, 『국어국문학』126 (2000): 55-90; 이연화: 「『박씨전』에 나타난 여성 의식」, 『국학연구논총』8 (2011): 167-198; 李岩等: 《朝鲜文学通史》，北京：社会科学文献出版社，2010年，第890页。

在于她从家庭到国家始终如一的伦理选择构筑的完整人格。若忽略其前半部分的伦理积累,“心灵疗伤”说便失去了其伦理内涵的支撑。后者则揭示了小说的性别批判维度,其视角具有现代性的启发意义。然而,将朴氏的行为定性为对父权制的主动“挑战”,在一定程度上误读了朴氏伦理选择的内在逻辑。朴氏从未以对抗父权制为行动目标,恰恰相反,她的每一次伦理选择都在父权制婚姻家庭制度的规范框架之内寻求合法路径。她是在遵循父权制伦理秩序的前提下,以超越常规的才能与智慧为自己在这一秩序中争取了超越性别偏见所允许的位置。这与其说是“挑战”,不如说是一种更为深刻的“协商”。这种辨析并非要否认朴氏形象所具有的性别解放意涵,而是要指出:朴氏的伦理意义,在于她以理智而审慎的伦理选择在父权制内部实现了可能的最大突破,而非在制度之外另立法则。小说的这一“协商性突破”的伦理叙事模式,或许比单纯的“挑战”更能准确地揭示朝鲜朝女性伦理处境的复杂性,也更能体现小说《朴氏传》的思想深度。

朴氏的伦理选择并非孤立的个人行为,而是在特定伦理情境中经由理性判断与意志抉择所形成的价值实践。其人间才华与神异性的辩证统一,其对家庭伦理规范的自觉内化,对他者认同的渐进争取,以及其从家庭身份建构到国家责任承担的逻辑延伸,共同构成了《朴氏传》伦理叙事的完整主线。朴氏的人生经历不仅是她个人的“自我救赎”,更代表着朝鲜朝广大妇女的集体意志和伦理诉求。在这个意义上,与其说它是一部“军谈小说”或“历史小说”,不如说它是一部富有家庭小说特征的叙事作品。

三、《朴氏传》中蕴含的伦理教诲

文学伦理学批评认为,文学的基本功能就是教诲功能,文学的教诲是读者在阅读文学的审美过程中实现的。¹朝鲜朝社会是以家庭、家族为基本单位构成的宗法制社会,深受中国儒家传统文化的影响,倡导以“礼治”为核心的父权制家族文化。儒家“三纲五常”思想通过家族法规向每一位家庭成员渗透,规范其思维、言行与日常生活。正因如此,朝鲜朝时期的小说,尤其是家庭小说,往往以家庭伦理矛盾为叙事核心,借助人物命运的沉浮,向读者传递伦理教诲与道德警示。

朝鲜朝时期的家庭小说,无论描写何种家庭矛盾,其伦理教诲模式大体一致:以“善恶对立”为叙事架构,以“劝善惩恶”为道德主旨,弘扬忠孝、仁爱、礼义等儒家伦理道德。这一模式背后,是一种静态的伦理观——善者天生具德,恶者自取其咎,读者从中获得的是关于何为善、何为恶的确认,而非关于如何在现实困境中做出选择的启示。其中,“贤妻”形象尤具代表性。《谢氏南征记》中的谢贞玉、《彰善感义录》中的南夫人、《玉麟梦》中的柳惠

1 参见 Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 191.

兰和张夫人,《郑乙善传》中的金夫人等,均是以“三纲五常”为内化准则、以隐忍顺从为处世方式的“贤妻”典型,却“皆未得到‘善有善报’的终局,反而都因被陷害、被冤枉,以悲剧结局”(李娟 191)。这一悖论揭示出“贤妻”叙事模式的深层伦理局限:当女性将全部伦理资源投入于顺从与忍耐,便放弃了在父权制伦理结构内部争取空间的主体能动性,其命运也因此完全系于他人的善意,而非自身的抉择。

《朴氏传》的伦理教诲路径,恰恰是对上述模式的根本性超越。小说没有将朴氏塑造成依赖外部力量拯救的被动受害者,也没有简单地将其对立面推向道德否定的位置。它所呈现的,是朴氏如何在父权制婚姻家庭制度这一既定伦理框架内,凭借对伦理情境的准确判断、对自身能力的策略性运用,以及对伦理关系的主动经营,一步步将有名无分的身份困境转化为身份建构的过程。这是一种动态的、过程性的伦理教诲,传递的不是“做一个好人必有好报”的静态道德律令,而是“如何在具体的伦理困境中做出理智而审慎的选择”的实践性指引。

朴氏的伦理选择,始终遵循一条核心原则:在父权制婚姻家庭制度的规范框架之内寻求合法的突破路径,既非正面对抗,也非消极退让,而是一种“协商性介入”——以对伦理规范的自觉遵守为前提,以自身才能与智慧为手段,为自己在既有伦理秩序中争取超越性别偏见通常所允许的位置。请求建房、缝制朝服、买马卖马、赠砚助考等情节,均鲜明地体现了这一路径。它揭示了一个重要真理:在既有制度的规范框架内争取最大可能的自我实现,往往比对抗性突破更具可持续性,也更能产生积累性的伦理价值。

值得关注的是,才能与神异性预知能力在朴氏伦理选择过程中所扮演的复合角色。朴氏为公公缝制的朝服前绣凤凰、后绣青鹤,精妙至极,令国王感叹其才华超凡,当面嘱咐李得春“善待朴氏,每日补给三斗大米”(163)。这揭示出才能的双重功能:它既是解决具体伦理困境的直接手段,也是在更广泛的伦理关系中重塑自身身份认知的有效媒介。而朴氏所拥有的神异性预知能力,并非以取代人间努力的方式发挥作用,而是与人间技能辩证互补:神异能力提供判断与洞见,人间技能负责将判断转化为现实。两者缺一不可,共同构成朴氏自我救赎的完整动力结构。

在儒家家国同构的伦理框架下,个人对家庭的伦理担当,是其对国家承担责任的逻辑起点。朴氏在婆家获得应有名分之后,以“避祸堂”为阵地,以神功探知胡国侵略意图并传达朝廷,继而击退敌将,保家卫国,被国王授予“忠烈夫人”称号。可见,朴氏的才能展示空间,始终没有被局限于家庭内部,而是延伸至一向被视为男性领域的国家事务。这一叙事安排本身,便构成了《朴氏传》最深刻的伦理教诲之一——女性的伦理担当,不应以家庭为终点,而应随其能力的增长自然延伸至更广阔的社会责任领域。

《朴氏传》的伦理教诲跨越其历史语境,对当代仍具有现实意义。首先,它

揭示了主体理性在身份建构中的核心作用。朴氏的每一次伦理选择，都建立在对现实处境的清醒认识与对自身价值的坚定认同之上。这表明真正的自我救赎，首先源于对自我与现实的双重认识。其次，它揭示了“协商性突破”作为一种伦理策略的普遍价值。朴氏并未以反抗父权秩序为目标，而是在既有规则之内，通过自身能力不断改写结果边界。这并非对制度的完全认同，而是一种深谙现实约束、善用伦理资源的生存智慧。面对现实中的制度性困境，这种策略依然具有启发意义。再次，它呈现了才能展示与伦理认同之间的深层关联。朴氏的经历说明，能力的充分发挥不仅是实现个人价值的方式，也是改变他人认知、重塑伦理关系的重要途径。这一点对于当代女性的社会参与和职业发展仍具有现实意义。

总之，《朴氏传》将传统家庭小说的伦理教诲从“善恶对立”的静态道德律令层面，推进到“选择与担当”的动态实践层面。它所关注的，不是女性应当具备怎样的道德品质，而是女性如何在具体的伦理情境中做出理智而审慎的选择，并由此实现自我与伦理关系的双重救赎。这一伦理叙事模式的转变，标志着韩国古代家庭小说在伦理思想层面达到了新的深度——它不仅记录了朝鲜朝女性在父权制婚姻家庭制度下的伦理处境，更为所有身处身份困境的人提供了一份关于如何以主体理性和尊严走出困境的伦理指引。正是这份跨越时代的价值，使《朴氏传》成为韩国文学史上经久不衰的经典。

Works Cited

- 작자미상: 『박씨전』, 『한국고전문학전집』 제 15 권, 김기현 역주. 서울: 고려대학교 민족문화연구소, 1995.
- [Anonymous. *The Legend of Madam Park, Complete Korean Classical Literature* Vol. 15, translated by Kim Kihyun. Seoul: Institute of Ethnic Culture at Korea University, 1995.]
- 조동일: 『한국문학통사』. 서울: 지식산업사, 2016.
- [Cho, Dong-il. *A General History of Korean Literature*. Seoul: Intellectual Industry Publishing House, 2016.]
- 杜芳琴: “妇女研究的历史语境: 父权制、现代性与性别关系”, 《浙江学刊》1 (2001): 106-111.
- [Du Fangqin. “Historical Background of Women Studies: Patriarchy, Modernity and Gender Relations.” *Zhejiang Academic Journal* 1 (2001): 106-111.]
- 장덕순: 『한국문학사』. 서울: 동화문화사, 1990.
- [Jang, Duk-sun. *History of Korean Literature*. Seoul: Dong Hwa Culture Publishing House, 1990.]
- 김기동: 『이조시대 소설론』. 서울: 정연사, 1959.
- [Kim, Gi-dong. *On Joseon Dynasty's Novella*. Seoul: Chung Yeon Publishing House, 1959.]
- 김미란: 「고대소설의 ‘변신’ 모티프 연구」, 1983, 연세대학교 박사학위논문.
- [Kim, Mi-ran. A Study on the “Transformation” Motif in Classical Korean Novels, 1983. Yonsei

University, PhD dissertation.]

김성기: 「한국 군담소설 분석 연구 - 『임진록』과 『박씨부인전』을 대상으로」, 『어문학논총』2 (1983) : 5-30.

[Kim, Sung-kee. "A Study of Military Novels in Korea: With emphasis on *Imjin Rok* and *The Tale of Madam Park*." *Linguistic Series* 2 (1983): 5-30.]

곽정석: 「『박씨전』에 나타난 여성 의식의 성격과 한계」, 『국어국문학』126 (2000) : 55-90.

[Kwak, Jung-sik. "The Nature and Boundaries of Female Consciousness in *The Legend of Madam Park*." *Korean Language and Literature* 126 (2000): 55-90.]

이연화: 「『박씨전』에 나타난 여성 의식」, 『국학연구논총』8 (2011) : 167-198.

[Lee, Yeon-hwa. "A Study on Woman Consciousness of *Park-si-jeon*." *Korean Study Symposium* 8 (2011): 167-198.]

李娟: 《韩国古代家庭小说文化阐释》。北京: 中国社会科学出版社, 2010 年。

[Li Juan. *A Cultural Interpretation of Ancient Korean Family Novels*. Beijing: China Social Science Press, 2010.]

李岩等: 《朝鲜文学通史》。北京: 社会科学文献出版社, 2010 年。

[Li Yan et al. *A General History of Korean Literature*. Beijing: Social Sciences Academic Press, 2010.]

李银河: 《女性主义》。上海: 上海文化出版社, 2018 年。

[Li Yinhe. *Feminism*. Shanghai: Shanghai Culture Publishing House, 2018.]

Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.

—. "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.

聂珍钊: 《文学伦理学批评导论》。北京: 北京大学出版社, 2014 年。

[Nie Zhenzhao. *Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]

韦旭升: 《朝鲜文学史》。北京: 北京大学出版社, 1986 年。

[Wei Xusheng. *History of Korean Literature*. Beijing: Peking UP, 1986.]

윤분희: 「『박씨전』의 여성 영웅성 연구 - 활자판 『박씨부인전』을 중심으로」, 『한국민족문화』18 (2001) : 39-69.

[Youn, Bun-hee. "A Study on Woman Heroism of *Park-si-jeon*: Based on The Movable-type Printing Edition." *Korean Ethnic Culture* 18 (2001): 39-69.]

“出走”的王宝川：熊式一话剧《王宝川》的伦理协商与跨文化对话

Lady Precious Stream's "Breaking Away": Ethical Negotiation and Cross-Cultural Dialogue in Hsiung Shih-I's Play *Lady Precious Stream*

刘茂生 (Liu Maosheng) 罗俊敏 (Luo Junmin)

内容摘要：熊式一话剧《王宝川》在国际舞台获得广泛认可，亦陷入了自我东方化的舆论争议之中。为清晰传递中国文化立场，熊式一在剧作中设定王宝川直面传统与现代、东方与西方的双重价值矛盾，致力于突破“中国的玩偶之家”所蕴含的认知困境。王宝川出走这一核心伦理选择，推动她的伦理身份从父权伦理体系下的从属者向具备协商意识的主体转型。该转型过程呈现出鲜明的流动性与开放性特征，并在此基础上建构起动态的“第三空间”。这一空间承载着多元文化意识，通过持续的伦理协商达成价值共识，进而向世界呈现“中国的真实情形”。王宝川的出走叙事，不仅彰显了伦理协商与跨文化对话的可能性，更为中国戏剧在中外文明交流互鉴语境下“讲好中国故事”提供了重要的理论参考与实践镜鉴。

关键词：王宝川；熊式一；伦理协商；跨文化对话

作者简介：刘茂生，广东外语外贸大学外国文学文化研究院 / 英语语言文化学院教授，主要研究领域为英美文学，文学伦理学批评、叙事学；罗俊敏，广东外语外贸大学英语语言文化学院博士研究生，主要研究方向为英美文学。本文为广东外语外贸大学外国文学文化研究院 2025 年度招标课题“中外文学文论交流互动研究”【项目批号：25ZBKT04】的阶段性成果。

Title: Lady Precious Stream's "Breaking Away": Ethical Negotiation and Cross-Cultural Dialogue in Hsiung Shih-I's Play *Lady Precious Stream*

Abstract: While Hsiung Shih-I's play *Lady Precious Stream* has achieved wide international recognition, it has also been drawn into public debates over self-Orientalization. To clearly articulate a Chinese cultural position, Hsiung Shih-I constructs Lady Precious Stream in the play as a figure confronting intersecting value conflicts: tradition versus modernity, and the East versus the West. Through this characterization, the play seeks to transcend the cognitive predicaments implied

by the notion of “China’s doll’s house.” The critical ethical choice of Lady Precious Stream’s breaking away has facilitated her transformation from a subordinate within the patriarchal ethical system to a subject capable of active negotiation. The transformation process is marked by fluidity and openness, through which a dynamic “third space” is established. This space carries multicultural consciousness, and through sustained ethical negotiation, makes possible the formation of value consensus, thereby presenting the “real situation of China” to the world. The narrative of Lady Precious Stream’s breaking away not only demonstrates the feasibility of ethical negotiation and cross-cultural dialogue, but also offers significant theoretical and practical insights for Chinese drama to “tell Chinese stories well” in the context of exchanges and mutual learning between Chinese and foreign civilizations.

Keywords: Lady Precious Stream; Hsiung Shih-I; ethical negotiation; cross-cultural dialogue

Authors: Liu Maosheng is Professor at the Institute of Foreign Literature and Culture/ Faculty of English Language and Culture, Guangdong University of Foreign Studies (Guangzhou 510420, China). His academic research areas cover British and American Literature, Ethical Literary Criticism and Narratology (Email: liumaosheng2004@126.com). Luo Junmin (corresponding author) is a Ph.D. candidate at the Faculty of English Language and Culture, Guangdong University of Foreign Studies (Guangzhou 510420, China). Her academic research focuses on British and American Literature (Email: Ljmmm2015@163.com).

熊式一的剧作《王宝川》(*Lady Precious Stream*)以独特的艺术形式和文化内涵在世界舞台彰显了中国戏剧的价值。该剧自1934年于伦敦西区上演以来获得巨大成功,连演900余场。¹1935年剧作首次进入美国剧场,第一季度在纽约布思剧院(The Booth Theatre)成功创下超过200场次的演出佳绩。²

《王宝川》的热度不仅限于欧美主流国家,20世纪30年代还被翻译成多种语言,在荷兰、捷克斯洛伐克和匈牙利等地上演。³该剧得到了世界范围的广泛接受,被《泰晤士报》(*The Times*)称为“载入史册”(Anon, “A Place in History” 5),可谓中外文明交流互鉴的典范。

该剧在大众传播领域大获成功,却也引发了诸多争议。自问世以来,《王宝川》便面临自我东方化(self-Orientalization)的诘难。这一评价恰与阿里夫·德

1 参见 熊式一:《八十回忆》,北京:海豚出版社,2010年,第40页。

2 参见 Ashley Thorpe, “After Thought: Archiving Absence through a Practice-as-Research Production of Xiong Shiyi’s *Lady Precious Stream*,” *TDR: The Drama Review* 63 (2019): 83。

3 参见 熊式一:《八十回忆》,北京:海豚出版社,2010年,第115页。

里克 (Arif Dirlik) 所界定的“东方人的东方主义” (281) 相契合, 即东方人内化了西方社会的认知规训, 并以东方主义的话语视角对自身文化进行审视与建构。熊式一在剧中建构西方视野下的“中国幻想曲” (Anon, “Kingsway Theatre” 4), 被洪深批为未呈现“中国真实情形”, 反而刻意“迎合和补充外国人对于中国人的偏见” (洪深 252)。针对这一争议, 熊式一曾阐明创作初衷: “我把一出中国旧式京剧, 改成合乎现代舞台表演, 入情入理” (熊式一, 《八十回忆》 30)。近年来, 学界对该剧的研究无论是挖掘多元语境空间中的中国性内涵、梳理重塑东方的实践路径, 还是探究文化身份与文化主体性的建构逻辑¹, 均从文化的宏观视角回应了当年洪深的诘问, 鲜少关注熊式一选择王宝川作为主角的道德考量。熊式一改编《王宝川》, 正是要避免主角“奸情”和“谋杀亲夫” (熊式一, 《王宝川》 191) 等旧社会伦理失序行为在跨文化交流中可能导致的“辱国”问题, 是一次在协商中寻找伦理共识的戏剧跨文化实验。由此, 熊式一让王宝川走出中国的玩偶之家, 并借助伦理身份的转变在叙事两端发起伦理协商, 邀请多元文化意识进行超越时空的跨文化对话。

一、王宝川之困: 中国玩偶之家

《王宝川》改编的点睛之处, 莫过于熊式一独具匠心, 让主人公王宝川毅然出走。《泰晤士报》曾以“中国玩偶之家梦境” (Anon, “Open-Air Theatre” 2) 评价《王宝川》, 可谓一语中的。王宝川与《玩偶之家》 (*A Doll's House*, 1879) 的娜拉 (Nora) 类似, 深陷双重伦理困境的泥沼之中难以自拔。然而, 王宝川选择走出禁锢她的中国玩偶之家, 成为了兼具流动性与开放性的伦理主体。她选择出走, 在故事世界开启了全新的时空场域。观众也受邀置身其中, 携手推动叙事进程。

王宝川是中国新旧思想激烈交锋背景下被塑造出来的人物, 承载着传统与现代的双重淬炼。新文化运动以来, 爱国、进步、民主、科学等新时代精神深刻影响了戏剧的创作与实践, 旧道德与新道德的对立与冲突成为戏剧家们探讨与论争的核心议题。洪深在批判《王宝川》的文章中, 开篇直指熊式一的选本存在“称道与推崇旧的成就与传统生活”的问题 (245)。在洪深看来, “女子的柔顺”属于已然过时的“旧道德”范畴 (245)。毋庸置疑, 王宝川与王宝钏之间存在着精神与文本关联, 均深陷父权制下女性的生存困境。但核心问题在于, 改编后的王宝川是否必须承袭旧道德? 在二者所处的伦理语境中, 父权的压迫具象为以男性为中心的家——相府与寒窑。这两个

1 参见 倪婷婷: “多元语境下的中国性呈现——以熊式一的英语创作及其争议为考察中心”, 《首都师范大学学报 (社会科学版)》5 (2020): 96-104; 张婷婷、徐玮: “重塑东方: 熊式一‘文化抗战’的跨文化实践”, 《艺术百家》4 (2025): 55-63; 黄炜星: “古典赋技、文化挪用与身份探寻: 从熊式一的〈王宝川〉述说跨文化交流”, 《广西社会科学》12 (2021): 181-186。

极端的生存场域中，女性以柔顺的女儿、恭顺的妻子身份存在，不得已向不平等的家庭秩序妥协。20世纪30年代，女性意识逐步觉醒，面对持续的压迫，王宝钏的顺势妥协已不再是被压迫女性的唯一出路。挪威剧作家亨利克·易卜生（Henrik Ibsen）于19世纪末创作《玩偶之家》，以主人公娜拉为女性提供重要的参照。娜拉曾是孝顺的女儿、恭顺的妻子，从依附父亲的家转向依附丈夫的家；直至伪造签名事件触及父权的核心利益，遭受双重苛责后，她才认清自身在家庭中的玩偶本质，最终选择出走。王宝钏身上无疑具备现代女性所追求的自由精神特质与自我觉醒意识，而她始终无法回避的关键问题在于：究竟该选择成为王宝钏，还是娜拉。

当王宝钏这一形象登上西方戏剧舞台，她承载的文化意涵被置入中西文化交流的宏观语境之中。作为被东方主义话语持续审视的文化载体，她的个体生存困境扩大为交织着权力博弈与认知隔阂的民族文化困境。自17世纪以来，充满异域色彩的东方成为西方的文化热点。但该热点并未建立在对东方文化的深度认知之上，多数西方人对中国的认知仅限于模糊的想象与碎片化的传闻。在《王宝钏》上演之前，伦敦戏剧舞台从未呈现过原汁原味的中国戏剧创作。彼时，《黄马褂》（*The Yellow Jacket*, 1912）《灰阑记》（*The Circle of Chalk*, 1924）等中国风戏剧作品主导着西方戏剧市场。然而，这些剧作并非对中国戏剧文化的真实还原，而是西方创作者基于对东方的刻板印象与猎奇心理虚构的产物。20世纪初，西方社会对中国人的妖魔化态势加剧，甚至演变成为一种畸形的文化风尚。熊式一作为剧作家亦未能幸免，他的形象被西方媒体歪曲为杀人、抽鸦片的满大人。¹ 长期以来，西方社会对东方的想象固化为一套不平等的权力秩序，无论是将东方浪漫化为诗意的乌托邦，还是丑化为愚昧落后的蛮荒之地，本质上都是西方依托自身文化霸权与文化优越感，对东方进行单向度建构与强制性赋义的集中表征。

王宝钏作为首位出现在西方主流戏剧舞台、表达中国传统戏剧精髓的核心形象，肩负着向世界阐释现代中国思想、解构西方中心主义下不平等文化秩序的重要使命。然而，该使命的实现面临着多重现实桎梏。长期以来，西方观众深受东方主义话语体系浸染，对中国传统戏剧文化缺乏系统理解，他们的价值观亦被西方文化逻辑深度规训。如何引导西方观众理解王宝钏的生存困境、实现跨文化情感共鸣，成为戏剧改编实践中亟待破解的重大难题。若一味复刻中国传统戏剧的叙事范式，西方观众将难以领会王宝钏抉择背后的深层文化意蕴与情感逻辑，仅会将剧作视为猎奇的异域文化符号，无法触及人物的精神内核与文化本质。反之，若生硬套用西方戏剧的叙事框架进行改编，王宝钏将彻底丧失独有的文化标识，沦为西方戏剧中“梅花女”（Moy

1 参见 Shih-I. Hsiung, "Never heard of a Mandarin," *Oxford Mail*, 17 June 1935: 5.

Fah Loy)¹ “常海棠” (Chang Hi-tang)² 式角色，最终消解中国文化身份的独特价值与象征意义。因此，熊式一为王宝川设置出走的叙事抉择，堪称契合时代语境的创造性艺术突破。当他致力于将旧式京剧改编为契合国际审美范式、遵循跨文化传播规律的现代舞台表演时，迫切需要解决的问题就是，如何将王宝川塑造成兼具本土文化根性与现代性特质的中国文化形象？

熊式一对王宝川的角色塑造，本质上是一种具有明确目的性的修辞性叙事，强调“某人在某些场合和目的下向另一个人讲述某事” (Phelan ix)，这意味着每一层叙事实践都内嵌着叙述者的立场与价值意图。戏剧的特殊之处在于“更为真实地展现剧作家的伦理诉求和道德关怀，是一种相对直观、易于理解且能即时引起观众共情的叙事类型” (刘茂生，《英国戏剧的伦理叙事研究》19)。熊式一的创作遵循这一逻辑，以王宝川的伦理选择³为叙事资源，与观众进行立场协商。正如傅修延所言，“叙事的主体是具有伦理立场的个体” (88)，熊式一讲述王宝川的出走叙事，必然承载特定的价值导向并推动相关价值观的传播。这种价值体系并非凭空生成，而是与叙事人物的伦理身份形成深度绑定，伦理问题的产生往往都同伦理身份相关。⁴王宝川的行动穿梭于相府、寒窑与行宫，带来伦理身份的动态流变，形成独特的叙事线索，将不同时空的生命片段串联为一幅完整且立体的文化图景。她的每一次人生选择，均意味着以全新的伦理身份为立足点，重新审视并回应自身的生存困境，为观众提供了审视中国社会多元关系中权力结构的独特视角。王宝川两次出走引发的身份变化，为戏剧叙事注入了丰富的流动性特征，使《王宝川》得以突破单一的时空边界，邀请观众思考不平等权力结构在不同社会形态、不同历史阶段中的普遍性与延续性，商讨伦理主体之间的有效互动方式。熊式一通过王宝川出走的设计，以开放的叙事姿态在舞台和现实之间搭建混杂空间。观众受到王宝川的邀请，在新空间中进行价值判断，与作者开启超越时空的跨文化交流，进而抵达伦理共识。

王宝川的出走叙事，不仅是戏剧形式的革新，而且是一场具有范式意义的跨文化实践。剧作以修辞性叙事策略为核心路径，为王宝川这一角色赋予多层次的伦理意涵：通过伦理身份的动态流变与重构，塑造兼具真实性与文化辨识度的现代中国女性形象；以开放的叙事框架，构建了中西方文化平等

1 梅花女是1912年美国剧作《黄马褂》中的女主人公，与男主角武豪杰相爱并助他复仇。该剧用中国道德观念重释《天路历程》(The Pilgrim's Progress)的朝圣和救赎主题。

2 常海棠是1924年德国剧作《灰阑记》中的女主人公，被迫周旋于皇子和马员外之间，遭陷害被判斩首。皇子登基巧使灰阑记洗清其冤屈，海棠获释并宽恕仇人。该剧改编自中国元杂剧《包待制智勘灰阑记》，1929年经詹姆斯·拉弗(James Laver)英译后在伦敦上演。

3 参见Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 189-207.

4 参见Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 383-398.

对话的话语空间。王宝川的出走抉择，打通了文化壁垒的关键节点，为跨文化叙事格局注入了流动性与包容性。在某种意义上，王宝川的出走叙事超越了戏剧艺术的本体价值，成为承载中国现代性探索、诠释现代中国文化身份的关键媒介。她的出走，既映照出中国社会在现代化转型进程中的实践探索难题与文化突围尝试，也折射出中西方文化交流过程中的认知隔阂困境与跨文化融合可能。

二、走出相府和寒窑：从父权的从属到协商的主体

20 世纪 30 年代跨文化传播语境下的中国戏剧，可分为中国传统戏曲与中国风戏剧两大谱系。中国传统戏曲以文化外交为核心传播路径，包括梅兰芳访美期间展演的《贵妃醉酒》、程砚秋留欧演绎的《荒山泪》等经典剧目。尽管戏曲传播有力地推动了中国传统文化进入西方公众视野，它们始终是西方话语中承载了异域风情的艺术奇观。西方观众所接收的仅为中国“延续七百年未曾间断的文化传统”（Skinner 562），并未触及中国文化的精神内核。中国风戏剧的代表性作品则为《黄马褂》《灰阑记》。此类创作本质上是西方对中国历史文化的选择性挪用，最终服务于“西方现代性”话语建构（Thorpe, *Performing China on the London Stage* 97）。不同于上述两种戏剧形态，《王宝川》既未复刻传统戏曲的叙事范式，强化西方对中国的刻板认知；也未盲从西方现代性话语体系，沦为西方文化叙事的附属品。作为具备伦理主体性的叙述者，王宝川的出走展现了对中国传统思想与西方现代知识的双重反思与辩证整合，推进了从父权制下被动从属者向独立协商主体的身份跃迁。这一身份转变使王宝川跳出了以父权中心主义与西方中心主义为核心的不平等等级秩序，得以从中国现代性的视角来审视传统社会的结构肌理与权力运作逻辑。

在相府中，王宝川与父亲王允以“三击掌”的仪式完成了伦理上的决裂，实现了从父权话语体系下的客体，向自主掌控自身命运与主动伦理选择的伦理主体转变。而贯穿这一关键情节的宝衣意象，构成了区别王宝川与王宝钏的重要标记，清晰地揭示了二者在伦理选择、主体意识与精神内核上的不同，凸显了剧作的反传统叙事价值与文化批判意蕴。在《红鬃烈马》中，王宝钏所着宝衣是君臣伦理与父权权威的具象。该宝衣为皇帝以“君臣之义”为名义赐予王允的封赏（王瑶卿 127），王允继而以父女亲情为托词转赠王宝钏。王宝钏在王允的要求下被迫脱下宝衣，本质上未能脱离皇权与父权的双重规训。在“三击掌”关键节点，王宝川则呈现出迥异于传统的主体姿态：她挣脱了被动臣服于命运规训的叙事范式，直面生存困境提出自食其力方案，并以“好女不穿家里衣”¹（Hsiung, *Lady Precious Stream: Acting Edition* 31）为宣言，脱卸宝衣与珠宝。这一行为并非情绪化的冲动抉择，而是基于理性思

1 本文有关《王宝川》英文版引文均来自 Shih-I. Hsiung, *Lady Precious Stream: Acting Edition*, London: Methuen, 1936. 凡未特殊注明，引文均为笔者拙译。以下引文仅标注页码，不再一一说明。

辨的主体性行动，向观众表明她不仅摆脱了对家庭经济的结构性依附，更在精神维度上实现了对传统女性角色的超越，成为挑战权威、自主掌控生命轨迹的现代女性先锋。

《王宝川》并未局限于对传统等级制度的批判，更延伸至对西方个体主义抗争的审慎省思。新文化运动时期，平等、自由等现代思潮在中国社会全面播撒，女性解放成为动摇封建等级秩序的核心议题。1918年，《新青年》刊发“易卜生专号”，把《玩偶之家》娜拉作为出走的文化符号，更加凸显其反抗性，将女性解放与社会现代性变革深度勾连。1923年，鲁迅在《娜拉走后怎样》的演讲中，尖锐批判了西方个体主义抗争模式的内在局限：单纯的个体意识觉醒，无法构成真正意义上的女性解放。¹ 剧作中，王宝川的母亲从现实生存困境切入发出诘问：“放弃珍馐佳肴，选择粗茶淡饭，你怎么过得下去呀？”（44）这一追问加深了王宝川对女性解放的思考：回归相府依附父亲，她将沦为父权进行利益交换的物化符号；依靠丈夫，她会陷入生存危机并面临被二次物化的风险；而坚守寒窑独立抗争，她自由的合法性与可能性又该如何保障？熊式一让薛平贵滞留西凉，为王宝川搭建了父权缺席的生存场域，在十八年的寒窑坚守中，完成了对“娜拉出走之后”这一时代命题的伦理实验。

王宝川十八年寒窑独守的岁月向观众揭示现实问题：孤立无援的个体抗争，难以构筑女性主体性独立的根基。熊式一在剧作的叙事节奏把控中尽显匠心，向观众阐明王宝川再次出走的必要性。他以整幕篇幅浓墨重彩地铺陈王宝川从相府奔赴寒窑的身体位移与心理嬗变，刻意强化了女性出走行为裹挟的决绝姿态与现实困境。与之形成对比，王宝川寒窑十八年的独立生存历程，被扁平压缩成一句“衣着褴褛”的叙述（67），以极具张力的方式呈现了女性孤立抗争的现实困境。十八年坚守未能为女性独立带来曙光，反而将王宝川推入更深重的生存与精神困境。当王宝川迈出寒窑的刹那，她完成了颠覆性的身份跃迁：从寒窑中坚守的边缘个体，转变为掌握独立话语权的协商主体。在王宝川与薛平贵的关系建构中，传统叙事里依附与被依附的等级结构被摒弃，转而形成权力对等的合作模式。二者共同主导复仇叙事的最终走向，重构全新的主体互动关系。

宝川：大王今早面圣的结果如何？

平贵：很好，皇上已把魏虎交给我处置。

宝川：太好了！大王打算怎么办呢？

平贵：还没办，我还想请你来决定。（91-92）

对话清晰呈现了多元协商的主体互动逻辑。在《红鬃烈马》中，王宝钏

1 参见 鲁迅：《鲁迅文集·杂文集》（上），武汉：华中科技大学出版社，2014年，第23页。

与薛平贵的关系呈现出鲜明的等级化特征。她实现诉求需要依赖自上而下的恩准，始终处于依附性的位置。而西方现代戏剧的叙事范式中，女性主体意识的觉醒往往呈现为与男性二元对立的激进反抗，具有非此即彼的倾向。反观王宝川，她的选择超越了以上两种框架：既不向男性权威卑躬屈膝，也拒绝陷入对抗性的权力博弈；而是以平等的主体身份，与薛平贵展开理性的协商与共治。这种共商共办的互动模式，为消除不平等的社会秩序提供了彰显中国传统智慧的现代路径：摒弃极端化的二元对立，以对话与合作的方式，在权力的动态平衡中寻求问题的最优解，这正是中国传统伦理中“和而不同”的价值精髓。

王宝川的两次出走，串联起相府、寒窑、行宫三个空间，借身份的转换，为观众提供了观察中国社会现代化转型的动态视角。王宝川对主体独立前后的双重体验，直观揭示了传统中国社会中等级制度的普遍性。通过王宝川的出走，剧作完成对王宝钏与娜拉的创造性转译与重构：既批判了王宝钏丧失主体意志的盲目顺从，也解构了娜拉脱离现实基础的虚假独立，以平等的伦理主体身份与薛平贵建立协商关系。她的出走向观众证明，中国的现代性建构，不是对传统的彻底决裂，也不是对西方的全盘照搬，而是在传统与现代、东方与西方的碰撞对话中，进行的多元共生、协商共进的伦理实践。然而，正如鲁迅在《娜拉走后怎样》中所警示的，群众“永远是戏剧的看客”（21）。王宝川所倡导的平等协商理念，能否真正打动观众内心，打破固有的文化偏见与认知桎梏，仍是一个值得深思的问题。在跨文化传播的语境下，如何构建一种既契合西方观众审美习惯，又坚守中国文化内核的话语，实现中西文化的平等对话与有效沟通，是《王宝川》跨文化叙事实践的核心命题，也是当下中国文化国际传播面临的关键课题。

三、走向世界：基于伦理共识的文化对话

进入 21 世纪，全球化进程持续深化，跨文化交流不断拓展。作为 20 世纪中外文明交流互鉴的典范之作，《王宝川》再度进入学术研究的视野，成为重新审查与阐释的重要对象。2011 年，艾什莉·索普（Ashley Thorpe）在伦敦舞台开展《王宝川》展演档案重建工作，系统还原了剧作在跨文化舞台演出过程中的文化协商机制，更深入揭示了剧作在历史语境变迁中所呈现的“反思性”特征（Thorpe, “After Thought” 85）。从这个意义上说，剧作在跨文化实践中完成了从静态文本符号到动态文化行动的范式转型，实现了真正意义上的出走。相较于逐字直译，熊式一采取了“熟练、大胆”（Lin 41）的改编模式，打开王宝川的世界，建构连接舞台上下、沟通中外的第三空间，探索出一条能够引起观众共鸣并从中国文化角度思索“人性的真实”的跨文化对话路径。拉塞尔斯·艾伯克龙比（Lascelles Abercrombie）在 1935 年英文版《王宝川》的序言中提出了极具学术价值的洞见：“熊先生笔下的这个世界，这

个以‘宝川’为名的年轻女子所身处世界，是一个精致、得体的真实存在，它所彰显的，是一种深刻的人性真实”（转引自 Hsiung, *Lady Precious Stream* ix）。正是基于对“人性的真实”这一伦理理念的价值共鸣，不同时空、不同文化体系之间的对话与交流才得以实现。

王宝川的出走叙事，是一场以伦理选择为核心、以共识构建为目标的多元对话。熊式一借王宝川的出走，以个体命运为镜，映照出人类共通的伦理诉求，与观众共同探讨“人性的真实”这一文学与哲学的核心命题。在百年未有之大变局的当下，全球现代化进程持续推进，物质文明取得了前所未有的发展，人类却仍面临贫富差距持续拉大、地缘冲突阴云不散、阶级分化矛盾加剧等全球性困境。这些问题严重威胁着人类的生存与发展，迫切呼唤以“整体善”为核心的正义伦理登场。王宝川在中国玩偶之家中遭遇的生存困境，是熊式一剖析全球非正义问题根源的重要切入点。他洞察到，无论是个体的生存挣扎，还是不同文明间的碰撞与冲突，均指向同一根源：不平等的社会秩序。王宝川自幼受父权制度桎梏，个人意志、自主选择与人格尊严，始终让位于父权权威与家族利益。基于对这种不平等秩序的深刻体认，王宝川的出走被赋予了深刻的伦理内涵。通过王宝川的身体在相府、寒窑、行宫等多重场域的流动，她得以在不同文化、不同阶层的碰撞、对话与交互中，持续重构自我存在的价值与意义。王宝川出走所蕴含的流动性与开放性，容纳了霍米·巴巴（Homi Bhabha）提出的“全球性与民族文化的非同时性错位”（228）。在全球化日益深化的时代语境下，各民族文化的发展节奏、实践路径与文化语境存在显著差异，这种非同时性错位极易引发文化误解与价值冲突。而王宝川的出走叙事，凭借独特的伦理包容性，为调和这一文化错位提供了可行的实践路径。它摒弃文化对立的思维定式，不再执着于文化间的本质性差异，转而以身体流动与身份转换为载体，建构出一个动态、多元且富含混杂性（hybridity）的“第三空间”。霍米·巴巴明确界定，“第三空间”并非两种文化本源的机械叠加，而是在相互碰撞、伦理对话与深度融合的过程中生成的全新文化形态，独立于原有文化体系，即“混杂性不在于追溯两种本源，而是生成第三种”（228）。在这一空间内，文化的固有边界被打破，身份的刻板标签被消解，不同文化元素在伦理意识的指引下自由交流、融合与重构，为跨文化多元协商搭建了核心场域。

观众通过出走的开放性讲述框架，接受熊式一的邀请，一起进入叙事创造的第三空间，参与王宝川对不平等秩序的主动抗争：从相府和寒窑出走，是对父权禁锢和阶级固化的突破；从东方刻板印象和西方普世宣传中出走，是对文化霸权的突围。熊式一并未将王宝川塑造成迎合西方想象的觉醒女性，而是借其故事彰显中国文化独有的伦理智慧与现代转型路径的可行性。王宝川的出走，既区别于西方个体主义的激进式反抗，也不同于中国传统女性的被动顺从，是植根于中国文化“和而不同”“中庸之道”的智慧选择。她的反抗，不

以彻底颠覆既有秩序为目标，而是致力于在秩序框架内寻求契合人性尊严的平衡；她的追求，并非对西方价值的盲目追随，而是对中国传统伦理中“仁爱”“平等”等核心观念的现代性诠释。王宝川所追求的平等，是根植于伦理意识与跨文化对话的平等：它承认并尊重文化、身份与价值的多元差异，并且在差异共存的前提下，通过平等对话、伦理协商实现权力平衡与利益共生。在与薛平贵的关系建构中，这一平等理念得以具象体现：王宝川不再是依附于夫君的附属者，而是拥有对等话语权的协商主体，能够与夫君共同决策、共担责任，携手面对命运的挑战。她所追寻的自由，是伦理框架下的责任自由，而非脱离社会伦理约束的绝对自由。这种自由以人性尊严为底线、以伦理责任为根基，是个体自主选择人生道路、掌控自身命运的正当权利。王宝川脱下华服、走出相府，是对父权束缚的主动挣脱，却并未抛弃家庭与社会的伦理责任。相反，她以更为独立的人格姿态重新定义了自身与家庭、与社会的关系。由此可见，王宝川的出走叙事非但没有再生产西方的文化刻板印象，而是在对话中重构了中国文化独立的现代性话语体系，进而彰显中国女性的觉醒所特有的历史逻辑与文化内涵。这种追求平等与自由的觉醒展现了人类共同的伦理需求，它不仅是一种包容、理性的现代性实践，促进传统与现代的共生、本土与世界的交融；也是联结不同文明的精神纽带，展现各文明独有的伦理智慧丰富全球伦理话语体系的可能性。

王宝川的出走叙事，以独特的流动性与开放性生成混杂性，构建了一个充满可能的“第三空间”。在这个空间里，不同文化得以平等对话，不同身份得以自由重构，不同价值得以相互融合。它向我们证明，跨文化交流并非一方对另一方的征服或同化，而是在多元协商中，共同创造一种全新的、更加包容的文化形态。王宝川所追求的平等自由，正是这种文化形态的核心价值所在，它为如何处理文化差异、实现文化共生与跨文化交流与合作，提供了一种新的价值参照。王宝川的出走直面“人类未来何向”的时代问询，抵抗西方中心主义的思维模式，在“第三空间”的协商中形成关照世界的“整体善”。这种共善作为关键线索，与戏剧跨文化交流的“中国文化走出去、构建人类命运共同体”（刘茂生，“文明交流互鉴与百年中外戏剧交流史研究”79）同频共振。王宝川的平等自由，既吸收了西方现代性中个体独立、权利平等的核心内涵，又传承了中国传统文化中伦理责任、和谐共生的智慧精髓，实现了跨文化语境下伦理意识与现代价值的深度融合。人类社会的跨文化对话，本质上是以伦理共识为精神纽带的文明对话，唯有在尊重差异、包容多样的基础上，才能真正实现文明的互鉴与共生。

熊式一以戏剧叙事为载体，让王宝川从中国的玩偶之家主动突围，在传统与现代、东方与西方的文化张力中，构建起独具中国特质的跨文化实践路径，有力驳斥了自我东方化的片面质疑，彰显了中国戏剧跨文化传播的主体

性价值。王宝川的出走串联相府、寒窑、行宫等多重空间，完成其伦理身份从父权从属者到协商主体的蜕变，承载了内涵深刻的伦理协商，既揭示了等级秩序下的人类普遍困境，也以“和而不同”的东方智慧，为化解文化与伦理冲突提供了可借鉴的思路。剧作破除复古迷思与崇洋偏见，在批判中完成了中国现代性的建构。王宝川的出走所打开的“第三空间”，既回应了人类对“自由平等”的普遍伦理诉求，也以“协同共生”“仁爱向善”的中国智慧，为构建全球伦理共识提供了东方视角。归根结底，王宝川的出走既是个体伦理抉择的结果，也是中国向世界发出伦理协商邀约的跨文化实验。《王宝川》中伦理协商与跨文化对话的深层内涵，为全球化时代跨文化交流、人类共同价值重建，提供了兼具现代性与中国特色的实践方案，彰显了中国传统文化的现代生命力与永恒价值。可以说，王宝川的出走为中国戏剧在中外文明交流互鉴语境下“讲好中国故事”探索出了一条切实可行的叙事路径。

Work Cited

- Anon. "Kingsway Theatre." *The Times* 9 Dec. 1939: 4.
- . "Open-Air Theatre." *The Times* 20 June 1944: 2.
- . "A Place in History." *The Times* 24 June 1944: 5.
- Bhabha, Homi K. *The Location of Culture*. London and New York: Routledge, 1994.
- 阿里夫·德里克：《后革命氛围》，王宁等译。北京：中国社会科学出版社，1999年。
- [Dirlik, Arif. *The Postcolonial Aura*, translated by Wang Ning et al. Beijing: China Social Sciences Press, 1999.]
- 傅修延：“人类是叙事人吗？——何谓叙事、叙事何为和叙事学向何处去”，《北京师范大学学报（社会科学版）》1（2023）：86-101。
- [Fu Xiuyan. "Are Humans the 'Homo Narrators'? A Study of What Narrative is, What Narrative does and Where Narratology Goes." *Journal of Beijing Normal University (Social Sciences)* 1 (2023): 86-101.]
- 洪深：《洪深文集》第4卷。北京：中国戏剧出版社，1959年。
- [Hong Shen. *The Collected Works of Hong Shen* Vol. 4. Beijing: China Theatre Press, 1959.]
- 熊式一：《八十回忆》。北京：海豚出版社，2010年。
- [Hsiung, Shih-I. *My Recollections at the Age of Eighty*. Beijing: Dolphin Press, 2010.]
- ：《王宝川》。北京：商务印书馆，2006年。
- [—]. *Lady Precious Stream*. Beijing: The Commercial Press, 2006.]
- . *Lady Precious Stream*. London: Methuen, 1935.
- . *Lady Precious Stream: Acting Edition*. London: Methuen, 1936.
- . "Never heard of a Mandarin." *Oxford Mail* 17 June 1935: 5.
- 黄炜星：“古典赋技、文化挪用与身份探寻：从熊式一的《王宝川》述说跨文化交流”，《广西社会科学》12（2021）：181-186。

- [Huang Weixing. "Classical Rhetoric, Cultural Appropriation, and Identity Exploration: Discussing Cross-Cultural Communication from Xiong Shiyi's *Lady Precious Stream*." *Social Sciences in Guangxi* 12 (2021): 181-186.]
- Lin Yutang. "Book Reviews: *Lady Precious Stream*." *T'ien Hsia Monthly* 1 (1935): 106-110.
- 刘茂生: "文明交流互鉴与百年中外戏剧交流史研究", 《外国文学研究》5 (2024): 71-81。
- [Liu Maosheng. "Study on the History of Cultural Exchange and Mutual Learning between Chinese and Foreign Drama over the Past Hundred Years." *Foreign Literature Studies* 5 (2024): 71-81.]
- : 《英国戏剧的伦理叙事研究》。北京: 商务印书馆, 2025 年。
- [—: *A Study on Ethical Narrative of British Drama*. Beijing: The Commercial Press, 2025.]
- 鲁迅: 《鲁迅文集·杂文集》(上)。武汉: 华中科技大学出版社, 2014 年。
- [Lu Xun. *The Collected Works of Lu Xun: Essays* Vol.1. Wuhan: Huazhong U of Technology & Science P, 2014.]
- 倪婷婷: "多元语境下的中国性呈现——以熊式一的英语创作及其争议为考察中心", 《首都师范大学学报(社会科学版)》5 (2020): 96-104。
- [Ni Tingting. "Presenting Chineseness in Multicultural Contexts, with a Focus on Xiong Shiyi's Literary Creation and the Controversy It Has Incurred." *Journal of Capital Normal University (Social Sciences Edition)* 5 (2020): 96-104.]
- Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.
- . "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.
- 聂珍钊、王松林: 《文学伦理学批评理论研究》。北京: 北京大学出版社, 2020 年。
- [Nie Zhenzhao and Wang Songlin. *A Study on the Theory of Ethical Literary Criticism*. Beijing: Peking UP, 2020.]
- Phelan, James. *Somebody Telling Somebody Else: A Rhetorical Poetics of Narrative*. Columbus: The Ohio State UP, 2017.
- Skinner, Richard Dana. "The Art of Mei Lan-fang." *Commonweal* 19 March 1930: 562.
- Thorpe, Ashley. "After Thought: Archiving Absence through a Practice as Research Production of Xiong Shiyi's *Lady Precious Stream*." *TDR: The Drama Review* 63 (2019): 83-99.
- . *Performing China on the London Stage*. London: Palgrave Macmillan, 2016.
- 王瑶卿: 《红鬃烈马》。北京: 中国戏曲出版社, 2000 年。
- [Wang Yaoqing. *Hong Zong Lie Ma*. Beijing: China Opera Press, 2000.]
- 张婷婷、徐玮: "重塑东方: 熊式一'文化抗战'的跨文化实践", 《艺术百家》4 (2025): 55-63。
- [Zhang Tingting and Xu Wei. "Reshaping the East: A Cross-Cultural Practice of Xiong Shiyi's Cultural Resistance." *Hundred Schools in Arts* 4 (2025): 55-63.]

从文本互涉到跨媒介生成: 理查·施特劳斯歌剧《玫瑰骑士》的跨媒介性研究

From Textual Intertextuality to Intermedial Generation: A Study on the Intermediality of Richard Strauss's Opera *Der Rosenkavalier*

余 鑫 (Yu Xin)

内容摘要: 理查·施特劳斯的歌剧《玫瑰骑士》虽被视为音乐戏剧史上的杰作, 但既有研究多聚焦于文本层面, 或从互文性视角探讨其文学脚本与欧洲戏剧传统的渊源, 或分析其音乐语言对历史风格的借鉴。这种以文本为核心的路径揭示了作品深厚的文化底蕴, 其关注点也主要停留在语义关联层面, 却未能充分捕捉《玫瑰骑士》作为“媒介复合体”的复杂性。本文以伊琳娜·奥·拉杰夫斯基的跨媒介性分类法为核心分析工具, 从媒介转换、媒介组合、跨媒介表演与再媒介化三个维度系统重构对该剧的解读。文章不仅考察脚本从文学前文本到歌剧文学的媒介转换, 也分析音乐中德国民歌、圆舞曲与古典、浪漫风格的媒介组合, 进而揭示表演者的身体如何成为跨媒介符号的交汇点, 以及不同舞台制作与摄录媒介如何对歌剧文本进行“再媒介化”, 最终呈现《玫瑰骑士》作为一部多媒介融合体的生成机制。

关键词: 跨媒介性; 《玫瑰骑士》; 媒介转换; 媒介组合; 跨媒介表演

作者简介: 余鑫, 杭州师范大学音乐学院特聘教授, 研究方向为音乐表演研究、音乐人类学。本文系 2025 年国家社科基金重大项目“欧美诗歌发展史编纂与研究”【项目批号: 25&ZD080】阶段性成果。

Title: From Textual Intertextuality to Intermedial Generation: A Study on the Intermediality of Richard Strauss's Opera *Der Rosenkavalier*

Abstract: Richard Strauss's opera *Der Rosenkavalier*, while regarded as a masterpiece in the history of musical drama, has been predominantly examined through textual lenses. Existing scholarship either explores the intertextual relationships between its libretto and European dramatic traditions, or investigates its musical language's drawing on historical styles. This text-centered approach has effectively illuminated the work's profound cultural grounding, yet its focus remains largely confined to semantic associations, thereby failing to fully capture

the complexity of *Der Rosenkavalier* as a “media complex.” Employing Irina O. Rajewsky’s intermedial classification system as the core analytical tool, this paper systematically reconstructs an interpretation of the opera from three dimensions: medial transposition, media combination, and intermedial performance and remediation. The study not only examines the medial transposition from literary pretexts to operatic libretto, but also analyzes the media combination of German folk song, waltz, and classical/romantic styles within the music. Furthermore, it reveals how the performers’ bodies become convergence points for intermedial signs, and how different stage productions and recording media engage in the remediation of the operatic text, ultimately demonstrating the generative mechanism of *Der Rosenkavalier* as a multi-medium hybrid.

Keywords: intermediality; *Der Rosenkavalier*; medial transposition; media combination; intermedial performance

Author: Yu Xin is Distinguished Professor at the College of Music, Hangzhou Normal University (Hangzhou 311121, China). His research interests include Music Performance Studies and Musical Anthropology (Email: musicalidea@163.com).

1911年，作曲家理查·施特劳斯（Richard Strauss）与剧作家胡戈·冯·霍夫曼斯塔尔（Hugo von Hofmannsthal）合作的歌剧《玫瑰骑士》（*Der Rosenkavalier*）在德累斯顿首演大获成功。这部被施特劳斯称为“莫扎特式歌剧”（转引自 Mann 97）的作品，标志着他从现代主义转向融合喜剧、怀旧与人性洞察的风格。一个多世纪以来，“互文性”成为解读该剧的核心视角：霍夫曼斯塔尔的脚本与莫里哀（Molière）、加隆·德·博马舍（Pierre-Augustin Caron de Beaumarchais）、理查德·瓦格纳（Richard Wagner）等的经典作品形成复杂对话，其本人也承认从中“拿走一点东西”；音乐上被认为是“擦了胭脂和口红的莫扎特与约翰·施特劳斯”（保罗·亨利·朗 619）。然而，互文性理论关注文本间的语义联系，在面对歌剧这一由文学、音乐、戏剧表演、视觉艺术等多种媒介构成的综合体时，显示出固有局限。停留在文本分析层面，容易忽略不同媒介系统碰撞融合时产生的生成性意义。

为此，本文以跨媒介性理论作为核心研究范式，不仅关注不同媒介或符号系统之间的结构性互动、转换与融合¹，而且从孤立的文本转向了动态的媒介事件。歌剧生成包含文学脚本被转换为音乐戏剧，再通过表演者的身体与舞台技术被再媒介化呈现给观众。跨媒介性与19世纪以来的“整体艺术”（于润洋 262）讨论密切相关。相较于瓦格纳试图将所有媒介消融于主导动机的交响织体，施特劳斯表现出有意识的后退，更倾向于莫扎特-达·蓬特式的

1 参见 Nina Dovgalenko, “Julian Barnes’ Novel ‘The Man in the Red Coat’ in the Context of Inter-mediation,” *International Journal of Literature and Arts* 2 (2023): 72-78.

歌唱剧理想，追求文学与音乐平等对话而非音乐对文学的绝对统治。¹从瓦格纳式综合向莫扎特式组合的转变，本身就是重要的跨媒介策略。本研究运用伊琳娜·奥·拉杰夫斯基(Irina O. Rajewsky)的分类法²重新审视《玫瑰骑士》。文学本质上是伦理的艺术，几乎所有文学文本都是人类道德经验的记录，暗含着内在的伦理结构与伦理线。³通过对脚本的媒介转换、音乐的媒介组合以及舞台表演的跨媒介呈现三个层面的剖析，既能揭示作品的媒介生成机制，也能挖掘其深层的伦理意蕴，完整呈现该剧如何在媒介融合体中锻造其历久弥新的艺术生命力。

一、媒介转换：从文学前文本到歌剧脚本的嬗变

拉杰夫斯基将媒介转换定义为既有媒介产品转换为另一媒介的过程，源媒介的内容与形式需经系统性调整以适应目标媒介的惯例。⁴媒介转换与通常所说的改编既有联系又有区别：后者关注内容的跨媒介再叙述，前者更侧重于媒介本体层面的转换，即源媒介的符号系统、表达惯例与美学逻辑被解构并重组为目标媒介的相应体系。霍夫曼斯塔尔创作《玫瑰骑士》脚本，正是从戏剧文学前文本到歌剧脚本的典型转换。他并非简单拼贴或改编莫里哀与博马舍的情节，而是对散文喜剧原型进行深刻的歌剧化重塑——这种重塑不仅涉及内容迁移，更关涉语言风格、人物心理深度、戏剧节奏等媒介特性的系统性调整。

这一转换不仅服务于音乐，更强化了脚本作为独立文学媒介的诗性表达。霍夫曼斯塔尔的脚本高度诗化，即使没有施特劳斯的配乐，也能作为独立喜剧立足舞台。⁵脚本中大量运用诗性修辞——关键词重复、意象堆叠、排比与变奏——这些手法原本属于抒情诗，却被运用于戏剧对话。例如元帅夫人关于时间的独白：“时间，是一件奇怪的东西（……）突然之间，你感受到的只有它”被称作“关于时间与变化的诗意陈述”（Skrotzky 54-55），其中“时间”成为全剧核心隐喻，其诗意完全不依赖音乐。霍夫曼斯塔尔本人也明确表示：“在角色的言谈中，我看到了真正的诗性创作”（转引自

1 参见 Skrotzky Sonja Augusta, *Der Rosenkavalier; Lustspiel or Libretto?*, Master's Thesis, Rice University, 1967, 10.

2 参见 María Angeles Grande Rosales and María José Sánchez Montes, *Posibilidades de un teatro transmedia*, Artnodes, 18 (2016), 64-72.

3 参见 Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 189-207.

4 参见 Madita Oeming, "Vietnam Goes Intermedia—Reconsidering Media Boundaries in Michael Herr's Dispatches," *Deepe things out of darknesse: English and American Representations of Conflicts*, edited by Frauke Reitemeier, *Göttinger Schriften zur Englischen Philologie*, Göttingen: Göttingen University Press, 2013, 59-91.

5 参见 Skrotzky Sonja Augusta, *Der Rosenkavalier; Lustspiel or Libretto?*, Master's Thesis, Rice University, 1967, 1.

Skrotzky 54-55)。他以诗性语言构建了一个自足的戏剧世界,即便脱离音乐,仍能通过语言节奏、意象与情感张力生成戏剧意义。《玫瑰骑士》的脚本既是音乐的前文本,也是一部独立的诗化喜剧,其跨媒介生命力源于文学媒介自身的饱满与自洽。由此,霍夫曼斯塔尔对散文喜剧中的人物原型进行更深层的歌剧化重塑。笔者从以下三个角色分析这一媒介转换的内在逻辑。

(一) 玛莎琳:从喜剧式怨妇到悲剧性沉思者的媒介转换

在传统互文性分析中,元帅夫人玛莎琳常被视为博马舍《费加罗的婚礼》中罗西娜伯爵夫人的影子:二者均身处无爱婚姻,与年轻男性发展暧昧关系。从跨媒介转换视角看,霍夫曼斯塔尔将罗西娜这位18世纪喜剧角色转换到20世纪初音乐戏剧的媒介环境中,实现了角色质变。首先,从情节驱动者到哲思核心的功能转换,揭示了歌剧从情节叙事向内心表达的转向。罗西娜的主要戏剧功能是推动喜剧阴谋;而玛莎琳的核心功能在于表达内在沉思。霍夫曼斯塔尔为她设计的第一幕结尾处长篇独白将剧情悬置,使其升华为探讨时间、衰老与存在意义的哲思载体。这种设计适应了瓦格纳之后音乐揭示人物内心世界“交响化歌剧”(Abbate 3)的潜力,音乐放大了其内心世界。其次,从被动反抗到主动放弃的性格深度转换,折射出古典喜剧与晚期浪漫主义歌剧在人物塑造上的根本分野。罗西娜的反抗是被动的,最终目的是挽回丈夫;而玛莎琳的选择是主动且带有悲剧英雄色彩的放弃。在第三幕三重唱中,她高贵地退出,成全了奥塔维安与索菲。这一行为的心理依据源于她对时间流逝的体悟——青春与爱情不可挽回。霍夫曼斯塔尔写下的“时间是个奇怪的东西(……)它在我们周围,又在我们心里”(莫里哀 14)构成了一种召唤性音乐语言,并以此作为媒介转换的中介,由施特劳斯的音乐完成意义生成。因此,玛莎琳并非罗西娜的简单复制。霍夫曼斯塔尔将喜剧框架中的典型人物移植到更深刻的心理戏剧空间中,使其成为承载现代主义早期个人危机意识与女性主体意识的复杂形象。

(二) 奥克斯:从社会讽刺符号到音乐喜剧引擎的媒介转换

奥克斯男爵的形象清晰展示了从莫里哀式社会讽刺喜剧到施特劳斯式音乐喜剧的媒介转换。其前文本原型是莫里哀《德·浦尔叟雅克先生》中的同名主角:二者均为粗俗、自负、贪图钱财的贵族,试图通过婚姻改善经济状况,最终落入年轻恋人设计的圈套。二人言语粗鄙如出一辙——德·浦尔叟雅克盲目追随巴黎时尚¹,奥克斯则夸耀其贵族血统²。歌剧媒介的介入使奥克斯的喜剧功能发生了重要变化——讽刺的主要载体从语言转向音乐,与语言形成协同。

1 参见 张慧娟:《理查·施特劳斯的歌剧〈玫瑰骑士〉研究》,昆明:云南人民出版社,2017年,第155页。

2 参见 张慧娟:《理查·施特劳斯的歌剧〈玫瑰骑士〉研究》,昆明:云南人民出版社,2017年,第159页。

首先,从语言游戏到音乐刻画的转换,揭示了戏剧与歌剧在喜剧表现方式上的差异。莫里哀的喜剧性主要源于语言讥讽与情境错位;而在歌剧中音乐才是塑造人物、驱动喜剧节奏的核心工具。这一媒介思维在施特劳斯为奥克斯创作的维也纳圆舞曲中得到鲜明体现:这种时代错位的19世纪舞曲风格被以戏仿方式运用,旋律甜腻笨拙、节奏夸张,与18世纪宫廷背景格格不入。当奥克斯哼唱圆舞曲夸耀自己、调戏女仆时,音乐本身就构成喜剧表演,观众的笑声不仅来自情节,更来自对音乐风格错位的感知——戏剧的讽刺功能被转换并嫁接到音乐语言之上。其次,从被动受害者到主动搅局者的功能转换,呼应了歌剧对戏剧冲突结构的独特要求。德·浦尔叟雅克是被动受害者;而奥克斯则更为主动,大部分时间里洋洋自得,是一个驱动剧情的搅局者。他闯入元帅夫人卧室,粗鲁对待索菲,在小酒馆上演求爱闹剧,每一个行为都直接推动剧情发展。这种设计适应了歌剧(尤其是带有复杂重唱的喜歌剧)的结构需求:需要一个串联不同人物、引发冲突的中心角色。奥克斯正是这样的发动机,为施特劳斯创作喧闹的重唱场面提供了动力,其声线往往成为音乐织体的中心,围绕他发展出歌剧高潮。从斯芬克斯因子理论视角审视奥克斯这一人物,该角色是兽性因子完全压制人性因子的典型文学形象。¹依据斯芬克斯因子的核心划分,人由代表理性意志、道德自觉的人性因子,与受本能欲望支配、遵循自然意志与自由意志的兽性因子共同构成;奥克斯一生追逐情欲、财富与虚荣,所有行为均不受理性伦理约束,是文本内部伦理失序的具象化身。施特劳斯刻意为其创作戏仿维也纳圆舞曲,实则借助音乐媒介完成伦理特质的听觉化转译,将人物内在的兽性冲动转化为可被观众听觉感知的音响符号。

(三) 奥克塔维安:从戏剧“穿裤角色”到性别转换的音乐象征

奥克塔维安的前文本源头是《费加罗的婚礼》中的侍童凯鲁比诺:二者均为女中音扮演的“穿裤角色”:年少多情,与年长贵妇有情感纠葛。霍夫曼斯塔尔与施特劳斯的媒介转换使其超越了传统范畴,赋予更深邃的象征意义。这种转换的核心在于,性别议题从喜剧桥段上升为音乐美学的核心要素。

首先,从情境伪装到身份核心的性别展演深化,体现了戏剧与歌剧在性别议题上的根本分野。凯鲁比诺的女装伪装是被动且偶然的情节设置;奥克塔维安的女装则成为其角色身份的核心组成部分——他不仅在第一幕为躲避奥克斯而换上女装,更在第三幕主动利用这一身份设下圈套。他的女装展演是主动、策略性且贯穿全剧的,性别身份的转换不再是喜剧桥段,而是角色性格的内在特征。其次,音乐对性别流动的确认与升华。奥克塔维安的女中音声部本身具有中性、超越固定性别的音色美感。当他与玛莎琳或索菲(均

1 参见 Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 389.

为女高音)演唱二重唱时,形成女性声音的交织,在听觉上创造了雌雄同体的美学体验。尤其在第二幕“献银玫瑰”场景中,施特劳斯以晶莹剔透的音乐描绘两个年轻女性声音的融合,进入纯粹的象征性抒情空间,象征着超越世俗性别规范的理想化爱情。在音乐技法层面,施特劳斯有意模糊调性边界,频繁使用半音化和声与悬置终止,使旋律失去明确的性别归属;重唱中声部频繁交叉与音区重叠,打破传统男女声部的等级关系。这种音乐上的不确定性正是对性别的操演¹——身份并非固定,而是在每一次和声的悬置与解决、每一次声部的交织中被临时建构。

霍夫曼斯塔尔在创作《玫瑰骑士》脚本时进行了一场深刻的媒介转换——一种比普通改编更为根本的跨媒介操作。他根据歌剧新媒介的表达需求,对人物的功能、深度和象征意义进行了基于媒介特性的系统性重构。这种从散文喜剧到诗化脚本的转换,为施特劳斯的媒介组合提供了结构性前提。媒介转换奠定了“说什么”的基础,而媒介组合则回答了“怎么说”的问题。以下第二部分将考察施特劳斯如何通过德国民歌、维也纳圆舞曲、古典与浪漫风格的复合,将脚本的诗性潜能转化为可听的戏剧。

二、媒介组合：音乐、语言与历史风格的复调织体

如果说脚本的创作是一次媒介转换,那么施特劳斯的音乐谱写则是一次更为复杂的媒介组合。歌剧本身就是语言、音乐、戏剧的组合。施特劳斯在《玫瑰骑士》中不仅组合了音乐与文本,更在音乐内部组合了来自不同时代、不同文化、不同社会阶层的多种音乐媒介,如德国民歌、维也纳圆舞曲、古典主义风格及晚期浪漫主义技法。这些异质的音乐媒介交织成一个充满内在张力的音乐织体,深刻参与到戏剧的叙事与人物塑造之中。

(一) 德国民歌音响的媒介间指涉：民族身份的底层音色

在《玫瑰骑士》华丽的管弦乐之下,隐藏着德国民歌的质朴音响。施特劳斯并非直接引用具体民歌,而是通过跨媒介指涉——“在单一媒介中指涉、唤起或模仿另一种媒介的现象”(韩潇 49-55)——将德国民歌的基因植入。这种指涉体现为对德国民歌典型旋律构建方式的模仿。

梅耶尔(E. H. Meier)指出,德国民歌旋律具有鲜明的和弦性特征:骨干音由和弦音构成,偏好自然音阶与级进、小跳进(四、五度为协和音程)。²施特劳斯巧妙运用这一特征。第一幕意大利歌手咏叹调《我内心严阵以待》表面是意大利风格,其旋律构建却暗合德国民歌基因:核心音高建立在^bD大调主和弦分解之上,围绕三音展开,经节奏变形与经过音装饰(图2-1),形成意大利外壳包裹德国民歌内核的媒介叠加。

1 参见 Butler J, *Bodies That Matter: On the Discursive Limits of "Sex"*, London: Routledge, 1993, 237.

2 参见 梅耶尔:《德国民歌的音调》,廖尚果译,北京:人民音乐出版社,1959年,第27-30页。

Dasselbe Zeitmaß, etwas getragen Metr. ♩ = 68
(*l'istesso tempo, un poco sostenuto*)

1728 Der Tenor (mit dem Notenblatt in der Hand)
(*With music in his hands.*)

Di ri - go - ri - ar - ma - to il se - no Con - tro a - mor - mi ri - bel -

pp espr.

D DVII

图 2-1 《我内心严阵以待》第 1-7 小节 (声乐分谱第一幕第 1728-1734 小节)

同样,在玛莎琳责怪奥克塔维安的音乐段落中,旋律表面是 A 到 B 的下行七度大跳,但实为级进的变形,随后立即围绕主和弦五音 B 以级进回绕,规避了民歌不擅长的大跳,最终呈现以级进及四、五度为主的典型音调(见图 2-2)。

(Die Marschallin tritt zwischen den Bettvorhängen hervor. Sie hat einen leichten mit Pelz verbrämten Mantel umgeschlagen.)
(*The Princess appears from behind the curtains of the bed. She has wrapped round her a light dressing gown trimmed with fur.*)

282 Marschallin. Princess.
(*Octavian kommt zwischen der Mauer und dem Wandschirm hervor.*)
(*Octavian reappears between the wall and the screen.*)

Er Katzenkopf! Er Unvorsichtiger!
You feather-head! You care-less good-for-naught!

285 Marsch.
Pr. Läßt man in ei-ner Da-me Schlafzimmer seinen De-gen her-um-lie-gen?
Is it allowed to leave a sword ly-ing in the room of a lady of fa-shion?

pp mf

图 2-2 声乐分谱第一幕第 282-287 小节

这种隐晦的指涉为整部歌剧提供了音乐文化的底色。在维也纳多民族交融的背景下,不时浮现的民歌音调提醒听众在精致奢华的文化表层之下,流淌着德意志民族的文化血液。这既是施特劳斯无意识的文化认同流露,也是一种有意识的艺术策略。

(二) 维也纳圆舞曲的戏仿性组合: 时代错位的文化批判

维也纳圆舞曲在《玫瑰骑士》中的运用是媒介组合最具颠覆性的体现。这种 19 世纪的社交舞蹈音乐被施特劳斯植入 18 世纪的歌剧背景，形成鲜明的时代错位。¹ 施特劳斯并非还原历史，而是通过错位达成喜剧效果与文化批判。这种戏仿本身就是现代主义艺术策略：通过对传统风格的扭曲与错位，暴露其虚幻性。施特劳斯既深爱圆舞曲传统，又清醒意识到其不可复返。

他的策略是戏仿——对既有风格进行模仿，并通过扭曲、夸张产生反讽意义。戏仿“表现出和原有文学之间的直接关系”（蒂费纳·萨莫瓦约 41），其目的可出于玩味或严肃的讥讽，从而产生新寓意。² 施特劳斯戏仿的对象是小约翰·施特劳斯所代表的辉煌、高雅的维也纳圆舞曲黄金时代风格，他将之系统性地扭曲，使圆舞曲的优雅端庄在奥克斯男爵的哼唱中变为粗俗和油滑。

以奥克斯的圆舞曲《和我在一起夜晚将不再漫长》为例。旋律层面，传统圆舞曲流畅自然，而奥克斯的主题在关键位置大量使用变音，不协和音程的突兀插入打破圆滑感，制造出笨拙的踉跄效果（图 2-3）。



图 2-3 总谱第二幕第 671-679 小节

和声层面，传统圆舞曲功能清晰，施特劳斯却为奥克斯配置频繁的意外进行：在本该终止的主和弦上突然置入远关系调性的“那不勒斯六和弦”，形成断裂感；同时在持续低音上方堆叠不协和和弦（如小二度碰撞），形成浮夸的音响，成为奥克斯自我陶醉、步履蹒跚的听觉肖像（图 2-4）。

图 2-4 声乐分谱第二幕第 652-657 小节

1 “时代错位”是 20 世纪史学大师法国年鉴学派创始人吕西安·费弗尔提出的，指把后来时代所具有的某些特征张冠李戴到早先历史时代的做法。参见 邹建林：“美术史与‘时代错位’”，《美术观察》9（2021）：22-24。

2 参见 蒂费纳·萨莫瓦约著：《互文性研究》，邵炜译，天津：天津人民出版社，2003 年，第 42 页。

通过这两个层面的系统性扭曲，维也纳圆舞曲这一高雅文化符号被转化为奥克斯粗鄙堕落的精神写照。

这种戏仿性的媒介组合产生三重意义。人物塑造上，圆舞曲成为奥克斯的性格标签，其甜腻虚假的音乐映射出角色的贪婪、好色与自负。戏剧讽刺上，19世纪的靡靡之音出现在18世纪场景中，音乐的时代错乱与情节的道德错乱同构，强化了讽刺力量。文化隐喻上，施特劳斯通过对圆舞曲的戏仿反思世纪之交的维也纳：曾经代表哈布斯堡王朝辉煌的圆舞曲时代一去不返，哼着变味圆舞曲的奥克斯成为即将在一战炮火中灰飞烟灭的缩影。

（三）古典与浪漫风格的辩证组合：历史回望与情感深掘

在戏仿圆舞曲的同时，施特劳斯大量运用古典主义风格的仿作与晚期浪漫主义技法的引用，形成古典与浪漫的辩证组合。仿作注重对文体风格的借鉴引用，在新语境中产生不同效果。¹《玫瑰骑士》对古典风格的仿作主要体现在模仿莫扎特的段落中。以第一幕早餐场景引子为例，其清晰对称的方整性乐句、各声部均衡的织体以及由短小动机孕育发展的手法，再现了古典主义均衡美学。主题展开上，一个由分解主三和弦构成的短小动机，通过重复、模进、倒影等发展为方整性乐句，契合“从短小动机孕育丰富乐思”（阿诺德·勋伯格 10-13）的古典原则（图 2-5）。



图 2-5 总谱第一幕第 311-325 小节

句法结构上，旋律呈拱形起伏，乐句间形成“起承转合”的句读关系，而非巴洛克时期不分段连续体式无终止的流动（图 2-6）。

音响布局上，木管陈述主题，弦乐拨奏支撑，铜管以长音和休止烘托，构建透明清晰的对话织体（图 2-7）。

这种仿作将听众带入 18 世纪的洛可可情调。更重要的是，古典的纯真理性与剧中人物的复杂非理性形成强烈对比——玛莎琳的沉思、奥克塔维安的善变，都与古典外壳构成戏剧性张力。

1 参见 王瑾：《互文性》，桂林：广西师范大学出版社，2005 年，第 119-120 页。

311

2 A-Clar.

2 Fag.

III. IV. Horn (H)

sie. Sie frühstücken sehr ährlich.)

Viol. II.

Br.

Celli.

326

2 A-Clar.

1.

2 Fag.

III. IV. Horn (H)

(Octavian legt sein Gesicht auf ihr Knie. Sie streichelt sein Haar. Er blickt zu ihr auf)

Viol. II.

Br. (alle)

Celli (alle)

The image shows a musical score for measures 311-339. The score includes parts for 2 A-Clar., 2 Fag., III. IV. Horn (H), Viol. II., Br., and Celli. Red arrows and markings are present throughout the score, indicating specific musical features or performance instructions. The lyrics are in German, with a mix of uppercase and lowercase letters. The score is divided into two systems, with measure numbers 311 and 326 clearly marked.

图 2-6 总谱第一幕第 311-339 小节

311

2 A-Clar.

2 Fag.

III. IV. Horn (H)

sie. Sie frühstücken sehr ährlich.)

Viol. II.

Br.

Celli.

326

2 A-Clar.

1.

2 Fag.

III. IV. Horn (H)

(Octavian legt sein Gesicht auf ihr Knie. Sie streichelt sein Haar. Er blickt zu ihr auf)

Viol. II.

Br. (alle)

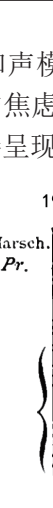
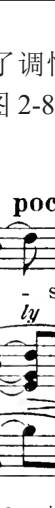
Celli (alle)

This image is a duplicate of the one above, showing the same musical score for measures 311-339. It includes the same instruments and lyrics, with red annotations highlighting specific parts of the score.

图 2-7 总谱第一幕第 311-339 小节

引用不仅指直接引用，还包括经过变形转换的化用¹，且引用行为本身即为再造表述。²施特劳斯对浪漫风格的引用主要体现在瓦格纳的“主导动机”技法和半音化和声。主导动机是以性格化乐句象征具体或抽象概念，每次再现均有变化。³如玛莎琳咏叹调《他走了，这自以为是之人》中，代表“回忆少女时代”的旋律动机在全段不断变形再现（表 2-1）。

表 2-1 《他走了，这自以为是之人》主导动机

小节数（声乐分谱第一幕）	动机形式
第 1976 小节	
第 1981 小节	
第 1999 小节	
第 2007 小节	
第 2040 小节	
第 2047 小节	

大量半音化和声模糊了调性，营造不确定、不稳定的情绪，精准捕捉玛莎琳内心的迷惘与焦虑（图 2-8），使施特劳斯深入到人物潜意识层面，将无法言明的情感直接呈现。

1985 **poco rit.** (etwas zögernd)

Marsch.
Pr.



- stand kom - man - diert word'n.
ly es - tate of wed - lock.

图 2-8 声乐分谱第一幕第 1985 小节

1 参见 魏炜：“开放、指涉的文本世界——互文性视角中的《游戏》文本解读”，《音乐研究》4（2018）：103-118。

2 参见 邓军：《热奈特互文性理论研究》，厦门大学，硕士论文，2007 年，第 29 页。

3 参见 林萍：“析《特里斯坦与伊索尔德》中的音乐技法”，《天津音乐学院学报》3（2003）：48-55。

古典与浪漫在《玫瑰骑士》中并非简单并置，而是辩证融合：古典风格提供戏剧框架与理想化秩序，浪漫风格则揭示其下涌动的现代个体情感与心理危机。这种“历史的共时化”本身就是现代性时间观：过去被压缩、折叠并重组。施特劳斯既不退回古典也不沉溺浪漫，而是在张力中创造新的审美空间。

施特劳斯的媒介组合实践，将德国民歌、圆舞曲、古典风格、浪漫技法等多种异质媒介熔于一炉，锻造出高度个人化的音乐语言。无论是脚本的媒介转换还是音乐的媒介组合，都只是潜在的跨媒介性——它们以书面形式存在，等待着被表演激活。只有当乐谱上的符号通过演员的身体、指挥的阐释、舞台设计以及传播媒介的介入转化为可感的视听事件时，跨媒介性的全部潜力才得以释放。媒介转换奠定了材料基础，媒介组合建构了内在结构，而跨媒介表演与再媒介化则是这一结构的显现与再生成。施特劳斯将风格本身作为可操作的材料进行拼贴与戏仿，标志着晚期浪漫主义向现代主义艺术自觉的过渡。以下将分析表演者的身体如何成为跨媒介符号的活态载体，以及不同媒介技术如何对歌剧文本进行再媒介化。

三、跨媒介表演与再媒介化：作为符号载体的身体与舞台呈现

歌剧文本的生命力须在舞台表演中实现。表演将静态的文学与音乐符号转换为动态的视听事件。再媒介化不同于一般的舞台演绎——后者在同一媒介系统内对作品进行风格处理，而前者涉及媒介本体层面的转换，并借助新媒介的技术特性（如电影特写、蒙太奇、高清直播）从根本上重塑内容的感知方式与意义生成。每一次舞台制作构成的正是这样的“再媒介化”，即“一种媒介对另一种媒介的表现（……）生成新的阐释层次”（杰伊·戴维·博尔特 理查德·格鲁辛⁵）。在此过程中，表演者的身体成为各种媒介力量交汇的核心，即费舍尔-李希特所言的现象身体与符号身体的统一体¹——既是发声的物质媒介，也是承载意义的符号媒介。

（一）表演者的身体：跨媒介符号的活态载体

演员通过身体语言将文学原型具身化为舞台形象。当同样的身体姿态被电影特写捕捉，或被置于不同的舞台语境中时，媒介技术的介入使身体符号的意义发生了重要转化。以玛莎琳为例，赫伯特·冯·卡拉扬（Herbert von Karajan）电影版中奥尔加·伊丽莎白·弗里德里克·施瓦茨科普夫（Dame Olga Maria Elisabeth Frederike Schwarzkopf）饰演的玛莎琳在“晨间会”混乱中照镜子的静止动作，建立起内省的气场（图 3-1），电影特写放大其微表情，形成身体静止与内心波澜的对比——这是舞台现场无法实现的感知强

1 参见 Erika Fischer-Lichte, *The Transformative Power of Performance: A New Aesthetics*, translated by Saskya Iris Jain, London: Routledge, 2008, 78.

度，属于电影化“心理现实主义”¹的再媒介化。罗伯特·卡尔森（Robert Carsen）2017年版将背景设于1911年一战前夕，弗莱明的玛莎琳身处充满军装的政治压迫空间，其静止带有面对崩溃世界的无力感。



图 3-1 “照镜子”的“静止姿态”（左：卡拉扬版；右：魏格勒版）

奥克斯男爵的喜剧性源于夸张身体语言。卡拉扬版中埃德尔曼的“外八字步+前挺腹部”是丑角化编码（图 3-2），在电影镜头下被强化为视觉笑料；卡尔森版中格罗伊斯博克更为冷峻，其喜剧性体现在拄拐的失衡移动（图 3-3），舞台布景使这一身体姿态带有衰败、病态意味，象征旧制度腐朽。



图 3-2 埃德曼“刻意夸张的‘贵族步态’”



图 3-3 格罗伊斯博克“失衡的移动模式”

奥克塔维安的性别转换依赖身体操演。卡拉扬版尤里纳齐遵循传统程式化性别范式；卡尔森版加兰莎则更具现代感，其玛丽安德带有自觉和游戏的色彩（图 3-4）。在 21 世纪的高清直播中，细腻的面部表情被放大，使性别操演本身成为被审视的对象。

¹ 参见 高翔：“心理现实主义及其奠基人亨利·詹姆斯”，《西北师大学报（社会科学版）》5（1996）：32。



图 3-4 a 卡拉扬版



图 3-4 b 魏格勒版

（二）音乐表演的再媒介化：从浪漫弹性到结构主义风格演变

指挥家与歌唱家对乐谱的阐释若仅停留于作品的风格处理，那么，其表演仍属演绎范畴；但当这些处理被不同媒介技术记录和传播时，他们的表演便进入了再媒介化过程。以玛莎琳第一幕结尾长独白为例。音响可视化分析显示，施瓦茨科普夫（卡拉扬版）与弗莱明（魏格勒 / 卡尔森版）均采用整体偏慢速度及大量速度伸缩（图 3-5、3-6）。

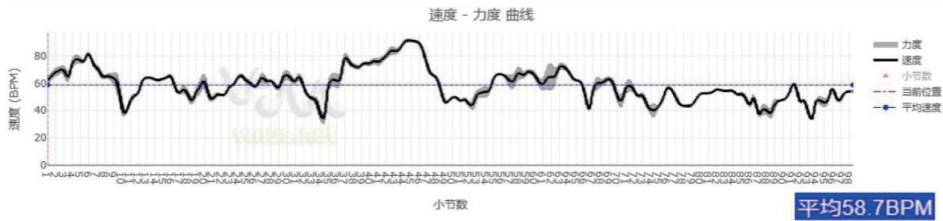


图 3-5 施瓦茨科普夫 - 速度力度

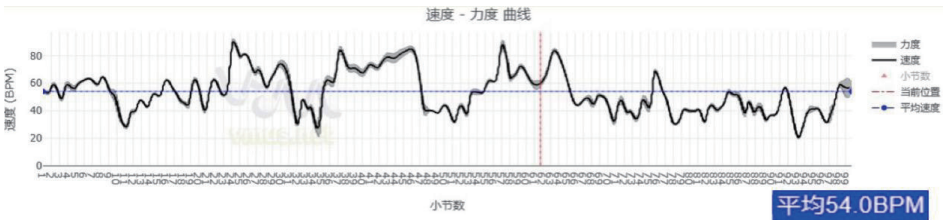


图 3-6 弗莱明 - 速度力度

施瓦茨科普夫的速度变化圆滑渐进，音色温暖怀旧，通过电影多轨混音强化人声与乐队的融合感，是晚期浪漫主义声音的再媒介化。弗莱明的速度起伏更剧烈，管弦乐细节被刻意突出，营造冷静、分析性的效果。卡尔森版采用高清直播技术，拾音更精准，使听者能解剖音乐结构而不再沉溺于情感。这

是一种带有“间离效果”¹的再媒介化，重构了演员、角色与观众的关系——演员既化身为角色，又与角色相分离。²技术媒介使这种间离成为可能。

奥克斯圆舞曲的处理同样体现再媒介化差异。卡拉扬版速度更快、更狂热，强调喜剧感；魏格勒版速度稍慢、更沉重，高清直播保留了更多声学细节，使粗鄙变得令人不安。律动分析揭示两个版本均采用伴奏声部“短-长-短”与旋律声部“长-短-短”的错位组合（表3-1）。这是表演传统，但再媒介化技术决定了这种错位被感知为戏谑还是病态。

表 3-1 《和我在一起夜晚将不再漫长》三拍子律动分析（4-32 小节平均）

音乐信息			相对长度		
舞台版本	声部	小节数	第一拍	第二拍	第三拍
卡拉扬版	大提琴	5 小节 -32 小节	100	147. 016	143. 351
	小提琴与人声	4 小节最后 1 拍至 32 小节第 2 拍	100	94. 678	92. 224
魏格勒版	大提琴	5 小节 -32 小节	100	146. 765	137. 549
	小提琴与人声	4 小节最后 1 拍至 32 小节第 2 拍	100	92. 278	91. 154

（三）导演观念与媒介技术再媒介化：从怀旧寓言到末日预言

导演观念与传播媒介共同决定歌剧制作的整体意义。卡拉扬 1960 年版与卡尔森 2017 年版代表了两种截然不同的再媒介化路径，其根本差异在于所依赖的媒介技术对表达方式的重塑。卡拉扬的制作以电影为传播媒介，通过特写、蒙太奇、多机位剪辑，将舞台时空重构为浪漫化的线性叙事——观众被邀请沉浸其中。这是对已逝去的“维也纳文化黄金时代”³的理想化再媒介化，成为关于美与时间流逝的永恒寓言。

卡尔森 2017 年版的核心理学是“批判性历史推理”⁴。他将背景移至 1911 年，舞台上充满军国主义符号，第三幕旅馆被设计成废弃军事仓库。该制作采用全球高清直播技术——多机位、超高清、环绕声——使观众能同时看到全局与细节，保持批判性观看距离。直播的现场感与历史再现的舞台设

1 “间离效果”（又译“陌生化效果”）按照布莱希特的解释：“就是一种使所要表现的人与人之间的事物带有令人触目惊心的、引人寻求解释、不是想当然的和不简单自然的特点。这种效果的目的是使观众能够从社会角度作出正确的批判”。这一表述指出了“间离化效果”理论的两个重要内涵：一是所谓“陌生化”；二是陌生化的目的是社会批判。参见 雷文学：“布莱希特的‘间离化效果’与中国戏曲”，《重庆师范大学学报（哲学社会科学版）》6（2007）：94。

2 参见 雷文学：“布莱希特的‘间离化效果’与中国戏曲”，《重庆师范大学学报（哲学社会科学版）》6（2007）：94-95。

3 参见 Maderthaner, et al, “Textures of the Modern: Viennese Contributions to Cultural History and Urban Studies,” *Cultural Studies* 6 (2002): 863-876.

4 参见 Eric B. Freedman, “‘What Happened Needs to Be Told’: Fostering Critical Historical Reasoning in the Classroom,” *Cognition and Instruction* 4 (2015): 357-398.

计形成张力，将《玫瑰骑士》从怀旧寓言再媒介化为美好时代终结的末日预言。施特劳斯音乐中的不安被放大，媒介技术放大了其政治隐喻的当代影响力。

卡拉扬的版本强化了文本的怀旧与诗意层面，与斯克洛茨基论证的脚本作为独立诗性喜剧的观点¹形成互文。卡尔森的版本侧重社会讽刺与历史维度，呼应了斯克洛茨基关于奥克斯粗鄙是对没落贵族深刻描绘的分析²。从卡拉扬到卡尔森，再媒介化的力量清晰可见：《玫瑰骑士》通过不同媒介技术与导演观念的融合，不断与新的历史语境对话、生成新意义，成为一个开放的“跨文本竞技场”。

从互文性转向跨媒介性，笔者对《玫瑰骑士》的理解从单一的文本渊源考证，拓展至涵盖文本生成、媒介融合与表演呈现的动态框架。第一，文学脚本是一次深刻的媒介转换：霍夫曼斯塔尔将散文喜剧原型转化为能够承载深层心理内涵的歌剧文学。第二，施特劳斯的音乐堪称媒介组合的典范，他将德国民歌、圆舞曲、古典与浪漫风格熔铸为充满张力的音乐统一体，通过戏仿与组合的现代性手法，反映了其对传统既无法割舍又无法全然认同的矛盾态度，使作品成为关于“何谓现代”的元艺术。第三，《玫瑰骑士》的舞台生命力体现于持续的跨媒介表演与再媒介化：从卡拉扬的“怀旧寓言”到卡尔森的“末日预言”，不同时代的制作不断对原作进行重塑，演员的身体在其中成为关键的媒介交汇点。

综上，《玫瑰骑士》不仅是一部伟大的歌剧，更是一个极具代表性的跨媒介研究案例。其艺术本体呈现出媒介组合形态，接受史构成一部不断被再媒介化的历史。将《玫瑰骑士》视为“跨媒介生成体”，为歌剧研究提供了一个富有解释力的理论视角。歌剧的本质正是跨媒介的，未来的研究应当更多地从媒介互动关系出发，探索这一古老而又充满活力的艺术形式。

Works Cited

- Abbate, Carolyn and Roger Parker, eds. *Analyzing Opera: Verdi and Wagner*. Berkeley: U of California P, 1989.
- 阿诺德·勋伯格：《作曲基本原理》，吴佩华译。上海：上海音乐出版社，2005年。
- Arnold Schoenberg. *Fundamentals of Musical Composition*, translated by Wu Peihua. Shanghai: Shanghai Music Publishing House, 2005.
- Bolter, Jay David and Grusin Richard. *Remediation: Understanding New Media*. Cambridge, MA: MIT Press, 1999.
- Butler J. *Bodies That Matter: On the Discursive Limits of "Sex"*. London: Routledge, 1993.
- 邓军：《热奈特互文性理论研究》，2007年。厦门大学，硕士论文。

1 参见 Skrotzky Sonja Augusta, *Der Rosenkavalier, Lustspiel or Libretto?*, Master's Thesis, Rice University, 1967, 54-55.

2 参见 Skrotzky Sonja Augusta, *Der Rosenkavalier, Lustspiel or Libretto?*, Master's Thesis, Rice University, 1967, 40-43.

- [Deng Jun. *Gérard Genette: Transtextual Relations*. 2007. Xiamen University, Master's thesis.]
- Dovgalenko, Nina. "Julian Barnes' Novel 'The Man in the Red Coat' in the Context of Intermediation." *International Journal of Literature and Arts* 2 (2023): 72-78.
- Fischer-Lichte, Erika. *The Transformative Power of Performance: A New Aesthetics*, translated by Saskya Iris Jain. London: Routledge, 2008.
- Freedman, Eric B. "'What Happened Needs to Be Told': Fostering Critical Historical Reasoning in the Classroom." *Cognition and Instruction* 4 (2015): 357-398.
- 高翔: "心理现实主义及其奠基人亨利·詹姆斯", 《西北师大学报(社会科学版)》5(1996): 32-35。
- [Gao Xiang. "Psychological Realism and Its Founder Henry James." *Journal of Northwest Normal University (Social Sciences)* 5 (1996): 32-35.]
- Grande Rosales, María Angeles and María José Sánchez Montes. "Posibilidades de un teatro transmedia." *Artnodes* 18 (2016): 64-72.
- 韩潇: "媒介间性视阈下当代作家跨媒介创作的四种类型", 《东岳论丛》7(2025): 49-55。
- [Han Xiao. "Four Types of Contemporary Writers' Intermedial Creation from the Perspective of Intermediality." *Dongyue Tribune* 7 (2025): 49-55.]
- 保罗·亨利·朗: 《西方文明中的音乐》, 顾连理等译。贵阳: 贵州人民出版社, 2001年。
- [Lang, Paul Henry. *Music in Western Civilization*, translated by Gu Lianli et al. Guiyang: Guizhou People's Publishing House, 2001.]
- 雷文学: "布莱希特的'间离化效果'与中国戏曲", 《重庆师范大学学报(哲学社会科学版)》6(2007): 94-100。
- [Lei Wenxue. "Brecht's 'Verfremdungseffekt' and Chinese Traditional Opera." *Journal of Chongqing Normal University (Philosophy and Social Sciences Edition)* 6 (2007): 94-100.]
- 林萍: "析《特里斯坦与伊索尔德》中的音乐技法", 《天津音乐学院学报》3(2003): 48-55。
- [Lin Ping. "An Analysis of the Musical Techniques in Tristan und Isolde." *Journal of Tianjin Conservatory of Music* 3 (2003): 48-55.]
- Maderthaner et al. "Textures of the Modern: Viennese Contributions to Cultural History and Urban Studies." *Cultural Studies* 6 (2002): 863-876.
- Mann, William. *Richard Strauss: A Critical Study of The Operas*. London: Cassell, 1964.
- 梅耶尔: 《德国民歌的音调》, 廖尚果译。北京: 人民音乐出版社, 1959年。
- [Meier, E. H. *The Tones of German Folk Songs*, translated by Liao Shangguo. Beijing: People's Music Publishing House, 1959.]
- 莫里哀: 《莫里哀喜剧全集》第4卷, 李健吾译。长沙: 湖南文艺出版社, 1993年。
- [Molière. *The Complete Comic Works of Molière* Vol. 4, translated by Li Jianwu. Changsha: Hunan Literature and Art Publishing House, 1993.]

- Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.
- . "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.
- Oeming, Madita. "Vietnam Goes Intermedia—Reconsidering Media Boundaries in Michael Herr's Dispatches." *Deepe Things out of Darkenesse: English and American Representations of Conflicts*, edited by Frauke Reitemeier. Göttinger Schriften zur Englischen Philologie. Göttingen: Göttingen UP, 2013.
- 蒂费纳·萨莫瓦约:《互文性研究》,邵炜译。天津:天津人民出版社,2003年。
- [Samoyault, Tiphaine. *Intertextuality Studies*, translated by Shao Wei. Tianjin: Tianjin People's Publishing House, 2003.]
- Skrotzky, Sonja Augusta. *Der Rosenkavalier, Lustspiel or Libretto?* 1967. Rice University, Master's thesis.
- 王瑾:《互文性》。桂林:广西师范大学出版社,2005年。
- [Wang Jin. *Intertextuality*. Guilin: Guangxi Normal UP, 2005.]
- 魏炜:“开放、指涉的文本世界——互文性视角中的《游戏》文本解读”,《音乐研究》4(2018): 103-118。
- [Wei Wei. "An Open and Referential Textual World: A Interpretation of the Text Game from the Perspective of Intertextuality." *Journal of Music Research* 4 (2018): 103-118.]
- 于润洋编:《西方音乐通史》。上海:上海音乐学院出版社,2016年。
- [Yu Runyang ed. *A General History of Western Music*. Shanghai: Shanghai Conservatory of Music Press, 2016.]
- 邹建林:“美术史与‘时代错位’”,《美术观察》9(2021): 22-24。
- [Zou Jianlin. "Art History and the 'Temporal Misalignment'." *Art Observation* 9 (2021): 22-24.]
- 张慧娟:《理查·施特劳斯的歌剧〈玫瑰骑士〉研究》。昆明:云南人民出版社,2017年。
- [Zhang Huijuan. *A Study of Richard Strauss's Opera Der Rosenkavalier*. Kunming: Yunnan People's Publishing House, 2017.]

自我、异化与伦理诉求：菲利普·迪克的变易空间叙事

Self, Alienation and Ethical Pursuit: Philip K. Dick's Narration of the Variations of Spaces

郭 雯 (Guo Wen)

内容摘要：菲利普·迪克的科幻小说常呈现出虚实交替、错列历史、亦真亦幻等特色。他笔下的“大空间”是现代科技生活空间，而故事中的“小空间”可以是一座城市，也可以是主观世界，它们不断发生变易，以此呈现主人公在追寻自我身份、情感与人性等伦理诉求过程中所遭遇的困境。迪克的变易空间叙事一反传统线性结构，具有物理上、逻辑上或人力上的非自然叙事特征。首先，变易的城市空间以“反模仿”的形式，在真实与幻象之间提供了寻找自我和重构主体性的环境；其次，变易的记忆空间是历史、现实与未来事件发生的场所，事件的叠加与对接承载着历史真相，揭露了潜意识中的欲望；最后，变易空间的叙事目的和功能不仅在于推动叙事进程，而且反映了人物的内心世界及伦理选择，在形式上和内容上呼应了科技异化的主题，从而提供了认知现实、理解现实的方式。

关键词：菲利普·迪克；城市空间；记忆空间；伦理；异化

作者简介：郭雯，苏州科技大学外国语学院教授，主要从事科幻文学、非自然叙事和文学伦理学批评研究。本文由 2025 年江苏高校青蓝工程（中青年学术带头人）资助。

Title: Self, Alienation and Ethical Pursuit: Philip K. Dick's Narration of the Variations of Spaces

Abstract: Philip K. Dick's science fictions manifest the features of alternation of reality and virtuality, alternative history and combination of truth and illusion. His narration of "large spaces" refers to the spaces of modern life, while the "small spaces" in his stories with constant variations can be either a city or one's subjective world that represent the predicament in the process of ethical pursuit of the self identity, the emotions and humanity. The narration of the variations of spaces violates the traditional linear structure, displaying physically, logically or humanly unnatural narrative. Firstly, the variations of urban space, as an antimimetic form, provide characters with the environment to find themselves and reconstruct the

subjectivity between reality and illusion. Secondly, variations of memory space are the places where the events happen in history, reality and future, with the overlapping and connection of events to carry historical truth and probe into subconscious desires. Lastly, the purposes and functions of the variations of spaces lie in that they not only serve to develop plots, but reflect human minds and ethical choices as well. Therefore, in form and content, the narration corresponds with the theme of alienation of science and technology, providing the ways to understand and comprehend the reality.

Keywords: Philip K. Dick; spaces of cities; spaces of memory; ethics; alienation

Author: Guo Wen is Professor at the School of Foreign Languages and Literature, Suzhou University of Science and Technology (Suzhou 215009, China), specializing in science fiction, unnatural narrative and Ethical Literary Criticism (Email: ainna520@163.com).

菲利普·迪克（Philip K. Dick）生活于美国科技文明大飞跃时期，亲历了从科幻黄金时代到新浪潮运动的转变，也见证了冷战、人类登月、第一台工业机器人出现等重大历史事件。其作品主题常聚焦于“何为真实”与“身份建构”。科幻作家厄休拉·勒奎恩（Ursula K. Le Guin）曾这样评价迪克的创作特色：“他笔下的世界随时都会崩塌。这正是呈现于人们脑海中以及世界如何影响我们的真实写照——怪异的，分裂的，始料未及的世界（……）是现实的镜像”（xxi）。詹姆逊（Fredric Jameson）认为：“菲利普·迪克是科幻小说界的莎士比亚。他的作品洞悉充满假象的社会，是对虚妄世界最强有力的描写”（454）。迪克作为科幻小说新浪潮代表作家，一生都在书写失控的技术，虚实不清的世界，以及意想不到的结局。他笔下的空间可以是光怪陆离的城市，可以是核战之后的末日废墟，也可以是主人公的意识世界，往往很难分清客观世界与主观世界的距离。迪克小说自带脱离实证科学框架的玄幻特质，法国哲学家甘丹·梅亚苏（Quentin Meillassoux）运用其“科外幻”理论解读迪克代表作《尤比克》（*Ubik*, 1969），认为在他笔下不存在必然法则的宇宙，不再算得上是一个世界：“涉及一个在其中无章法的改变太过频繁的宇宙，就像康德在客观演绎中描述的混沌一样，科学的条件同知觉的条件都将被废除”（46）。迪克常常摆脱既定规则与理性束缚，科学本身并非其写作的重心。在他笔下，空间的变易频繁呈现为三种形态：物理形态的畸变，如建筑、环境的异化；逻辑关系的悖谬，如空间因果与叙事逻辑的断裂；认知经验的错位，如人物对空间的不可靠感知及身份混乱。

不少学者已研究过迪克众多长篇小说中的平行世界、仿象世界、微缩世界。“主人公似乎永远在亦真亦幻、虚实交替的世界中建构身份，甚至认为虚幻带来的超真实比现实更真实”（郭雯 48）。然而，除了长篇小说突破传

统因果线性的时空叙事以外，他的两部中短篇小说集《记忆裂痕》（*Beyond Lies the Wub: Volume 1 of The Collected Stories of Philip K. Dick*, 1987）¹和《少数派报告》（*The Minority Report: Volume 4 of The Collected Stories of Philip K. Dick*, 1992）也不容忽视，其中的故事曾多次被翻拍为好莱坞电影，足以证明其魅力。小说中事件的现实场所或虚构场所不再呈现传统自然叙事模式，比如：城市空间可以被时间改造、可以在意识里被调整；记忆空间可以是正在发生的历史事件、已经发生的现实事件及预叙的未来事件相重合的场所，增加了阅读的难度。诚然，“后现代科幻小说更具有‘反模仿’的非自然叙事特征，创造了反现实主义或逻辑上不可能的情节与事件（……）比如，在现实主义框架中书写的错列历史”（Richardson 10）。但是，空间也并非孤立于时间之上，事实上，迪克小说恰恰将历史、现实和未来不断排列组合成若干时间线，才构筑了特殊的空间形式，从而呈现出分裂、循环而又梦幻的特色。变易空间在结构上推动叙事进程，也在情节上推动人物异化的过程，主人公在变易的空间内寻找自我与真相，实则反映出人类之于科技“大空间”的现实，帮助读者思考科技与人的关系。

一、变易的城市空间：伦理混乱中的自我追问

菲利普·迪克所处的年代是科幻黄金时代之后的新浪潮运动时期，当时科技已经出现了霓虹灯笼罩下的赛博朋克感。城市空间作为迪克小说中最为重要的意象，时而杂乱无章，时而寂静有序。粉色的摩天大楼和令人眩晕的灯光直接带来视觉冲击和感官快乐，然而，城市中车水马龙熙熙攘攘令人眼花缭乱，眼前可能是稍纵即逝的大楼，也可能是瞬间坍塌的街道，不停地混淆着人们对空间的直观感受，加速了对自我的困惑、对真实的追问。迪克小说中千变万化的城市空间属于典型的“非自然叙事”²。扬·阿尔贝（Jan Alber）将叙述者、人物、时间和空间等四个基本的叙事参数对“不可能的世界”（impossible worlds）进行阐释，他认为“反模仿空间是物理上或逻辑上不可能的空间情境”（186）。迪克笔下的城市正是这样一种物理空间，它不遵循现实的构造法则，而是不断变易、不可信赖，在无序与有序之间反复震荡，成为变易空间的典型表征。

城市是现代人生活的主要空间，它可以作为人物身份的象征，也可以作

1 中短篇小说集的英文原名为 *Beyond Lies the Wub*，直译为《天外的巫伯》。而《记忆裂痕》实际上是菲利普·迪克另一部中篇小说 *Paycheck* 的中文译名。在中文出版市场中，部分出版社将《天外的巫伯》所属的短篇集统一命名为《记忆裂痕》，目的是借助同名电影（改编自 *Paycheck*）的知名度提升销量。本文沿用这一译法，但需要说明的是，下文所论述的小说《记忆裂痕》实指 *Paycheck*。

2 非自然叙事创造了“不可能的世界”（“impossible worlds”），那些“物理上、逻辑上或人力上不可能的情境与事件挑战了我们真实世界的认知”。参见 Jan Alber, *Unnatural Narrative: Impossible Worlds in Fiction and Drama*, Lincoln: University of Nebraska Press, 2016, 3.

为资本主义文化符号。变易城市空间疏离了自我与真实的距离，削弱了人物的主体性，加剧了伦理身份认同的困难，同时也为主人公诉求自我重新提供了环境。小说《规划小组》（*Adjustment Team*, 1954）讲述了一个名为“规划小组”的神秘组织使用“惰化器”调整时间和地点，从而使人变得更年轻、更卖力地工作。主人公埃德亲眼目睹了被调整后的城市景观：“交通灯变了（……）他踏上街对面的人行道——然后停了下来，目瞪口呆。太阳竟然开始变暗”（77）¹。任何一个城市都有一种公众印象，“迄今所研究的城市印象的内容是与物质形式有关的，可以分为五类：道路、边沿、区域、结点和标志”（林奇 41）。道路作为大多数人印象中占控制地位的景观，本是稳定而熟悉的社会角色，现在却如此荒诞、可怕、失真。就在前一秒，他还像无数个白领赶着去高楼大厦上班，道路上车水马龙，行人行色匆匆，下一秒却只有他一人过马路，人车皆静止，万籁俱寂。紧接着，原本象征着金融财富的办公大楼转眼棱角模糊。“他碰到的那部分建筑在他指尖瓦解，如流沙般坍塌下来”（78）。时间的静止和空间的粉碎属于物理上的不可能性，城市景观的突变直指人物内心的恐慌与焦虑。

显然，变易空间造成了伦理秩序的错位与混乱，引发主体的困惑，也促使主体通过客体重新感知和重塑自我与世界。埃德原本是一名公司小职员，如今却无法确认自己的伦理身份。“伦理混乱即伦理秩序、伦理身份的混乱或伦理秩序、伦理身份改变所导致的伦理困境”（聂珍钊，《文学伦理学批评导论》 257）。这种伦理混乱及困境主要由两条叙事线的交织推动：一是城市突然被改造后与恢复原貌之间的对比；二是埃德目睹一切后的身份危机，以及得知真相后的自我异化。城市本是人类生产活动的改造对象，如今客体却瞬间瓦解了主体的建构。小说以办公大楼这一建筑为叙事焦点，帮助埃德洞察世界、探寻秘密。“办公室就是一座灰色的大坟墓，没有生命，完全静止”（79），这一描写成为埃德人生的类比，他虽然活着，但他的精神世界已然崩塌。他感叹道：“我看见现实揭开了面纱。我看见了一一后面的东西。下面的。我看见了表象后面的现实”（85）。表象是主体大脑通过感知建立的关于客观事物的感性形象，这体现了迪克作品一贯的唯心论与先验论色彩——人的意识似乎比现实更重要，意识一旦消失，世界也随之褪去。可见，物理世界与意识世界并非割裂，而是由外向内、由表及里。

变易空间烘托了人物在科技生活之下的窘迫感，并促使埃德做出相应的伦理选择²。科技产物对客观世界的调整违背了物理和逻辑原理，调整后的空间能改变原有的生活环境，甚至绑架埃德的伦理道德。在小说结尾，埃德的

1 本文关于《规划小组》的引用均出自 菲利普·迪克：《少数派报告：菲利普·迪克科幻小说精选》，周昭蓉译（南京：译林出版社，2013年）。以下引文仅标注页码，不再一一说明。

2 关于“伦理选择”参见 Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398.

妻子也被调整，而他为了保住性命，答应规划小组永远保守秘密，并欺骗妻子相信这只是一次精神失常。埃德选择“精神失常”来隐瞒真相，他与魔鬼签了协议，眼睁睁地看着规划小组将妻子惰化。小说通过科技生产年轻劳动力的事件，不仅批判了资本主义剥削的本质，更讽刺了人类在现代生活中的道德异化。

将城市面貌与人的精神面貌紧密联系突出了违背伦理道德、滥用科技的疯狂。小说《电子蚂蚁》（*The Electric Ant*, 1969）中的主人公普尔在一次车祸后，发现自己其实是一个仿生机器人，他通过“拆分自我”来感知世界。纽约的城市空间随着他的意识不断虚实交替，最终普尔索性杀死自己，借脑中残存感知达成自我与外部世界的和解。小说一开始就将医院窗外的纽约景象与人的存在感相联系：“窗外是纽约闹市区的繁荣景象。纵横交错的交通轨道上，车辆和行人都急匆匆的。路面在傍晚阳光的照射下闪着微光”（270）¹。律动的城市风景映照出生命的希望，可当医生给普尔接“假手”时，普尔的世界崩塌了：“一切都只是生产我的时候给我植入的假象而已”（272），他从自然人变成非人类，这一悲怆的感叹彻底消除了人与物、现实与仿象之间的距离，也颠覆了自我对真实的认知。

得知真相后，普尔经历了艰难的自我追问。他决定找到藏于心脏上方的磁带——现实的提供源，以查明自己如何思考与感知。“我控制了它就能控制现实（……）客观现实本来就是一种综合建构，是人们对众多主观现实的假想性归纳”（276）。迪克仍然强调了思想的强大功能，任何现象都来自大脑对现实的主观再造和表征。普尔的第一个实验是填上磁带的小孔，等待六小时后世界的变化——覆盖小孔意味着删除部分感知。五个半小时后，他来到曼哈顿一家高级酒吧。时间一到，“远处的部分墙面突然消失了。随之消失的还有邻桌的几个人——纽约的天际线也慢慢淡出了他的视野”（278-279）。空间的错动加剧了认知的困难，“两边依然能看到车子、大楼、街道、行人和指示牌等等，但是他的视野中央却空无一物”（279）。城市变得缥缈虚空，自我身份也不再确定。齐泽克指出：“自我恰是没有任何实体性密度的实存物，（……）一边是肉体-物质的过程，一边是纯粹‘枯燥’的表象，在两者构成的对立中，主体是进入自我反思的表象”（338-339）。当支撑自我认同的景观可以消逝，普尔意识到“自我”并非实体，而是现实表象之下的空洞镜像。

当纽约恢复正常后意味着普尔开始第二个实验——将自己插入一小段不透明窄带。他让同事莎拉观察接下来空间的变化：“房间突然僵掉了。颜色慢慢褪去。物品一件一件消失（……）他四处乱摸，却感觉不到任何东西”（282）。空间再次随着意识的消失而灰飞烟灭，杂乱无章的世界象征着

1 本文关于《电子蚂蚁》的引用均出自 菲利普·迪克：《少数派报告：菲利普·迪克科幻小说精选》，周昭蓉译（南京：译林出版社，2013年）。以下引文仅标注页码，不再一一说明。

伦理混乱，瓦解了自我存在意义。他的第三个实验进一步探索了自我与真实的距离。他在磁带上戳些新孔，观察是否出现不同。这个实验说明后现代生活充满着过于逼真、甚至超真实的仿象，正如德波所言：“在现代生产条件占统治地位的各个社会中，整个社会生活显示为一种巨大的景观的积聚。直接经历过的一切都已经离我们而去，进入了一种表现”（13）。普尔剪断磁带后，房间里出现了绿黑相间的鸭子、公园长椅上衣衫褴褛的老头等城市空间中的物与人，这些空间元素使现实与仿象之间仿佛存在一个承载空间客体的“磁带”，刻录着自我对真实亦真亦幻的认知。

最后一个实验“是一个终极绝对的现实”（285），那就是将磁带彻底剪断。城市空间再次映入眼帘：“纽约的夜景灿灿生辉，他周围环绕着许多飞车，穿梭在夜空中，穿梭在白昼里，穿过洪流，掠过旱地（……）他躺在一个女人的怀抱里，睡在宽阔的白床上，听见一阵尖锐的喧闹声——是从一家破败的闹市区宾馆的坏电梯里传来的”（288）。这些景观不仅存在于普尔的意识中，也反射出城市空间内普通百姓的日常生活。科技制造了一系列的混乱，普尔以解构身体做出了最大代价的伦理选择。他解释了拆解自我的原因：“学会在混乱中作选择。知道自己想要什么，不想要什么”（281），他剪断了磁带、剪断了现实的假象，也剪断了从前虚假的身份，找到了拥有自由意识的真实的自我。

城市空间的景观承载着主人公对都市生活尤其科技生活的认知体验。都市景观可以“展示都市人在现代社会的生存状态、文化性格，反映都市情绪，彰显都市精神，从而表现出丰富而独特的文化与美学内涵，并不断表征与催生当代美国城市文化的转型、生成与新型建构”（杨金才 26）。纽约作为迪克笔下最常见的消费社会，其五光十色的景观并非为了营造资本主义的物质优越性，而是以混乱的空间景观作为反思科技社会和自我之间伦理关系的媒介。迪克曾言：“一个新的社会在作者脑海中诞生，之后转移到纸上，再从纸上猛烈冲击读者的大脑。这就是认知，混乱的冲击”（《记忆裂痕·引言》II）。他用一种“混乱的冲击”违背自然叙事中的空间规律，突破读者的认知框架，使读者自己体悟小说的隐喻，最终指向了探索自我与科技伦理的现实意义。

二、变易的记忆场所：历史、现实与欲望表征

除了将城市描写为物理上的非自然空间以外，内心世界的现实化或具象化也是一种不可能的空间，在这种空间内，人物的潜意识被具象化，在迪克作品中常出现的便是变易的记忆场所。记忆归属于内在心理维度，叙事结构则依托文本载体，二者交织构筑了迪克独有的幻想叙事；记忆虽关联时间脉络，但无论真实原生事件还是意识虚构图景，都必须依托空间框架才能完成人物心理活动的文本外化。

《全面回忆》（*We Can Remember It for You Wholesale*, 1966）一开始就描写了记忆场所对欲望的承载。主人公奎尔渴望“这辈子一定要去趟火星”（246）¹，他努力回忆梦里的空间：“随着他渐渐清醒，梦境却越来越真实，那种渴望也越来越强烈。他几乎能真切地感觉到另一个尘封的世界”（246）。梦是潜意识产物，存在于记忆空间，回忆梦、叙述梦、再现梦境实则体现了人物在现实中被压抑的欲望。在通常的虚构文本中，叙述者和受述者是两个独立的主体，而在梦叙事中则不同，“梦叙述的叙述者与受述者是同一个主体分裂后的产物（……）大脑分裂出了两个部分：孕育梦的部分和接收梦的部分”（方小莉 120）。奎尔既是叙述者又是受述者，他告诉妻子梦见了战神和布满陨石的火星。火星作为地志空间，既是实体空间，又是记忆中存在的形式空间。

小说最奇特的地方在于将记忆空间、梦的空间和现实空间重叠，使火星既是真实事件的历史空间、记忆空间，又是梦中的虚构空间，从而为奎尔营造出诉求身份与欲望的场所。记忆场所虚实交替形成文本层面的几条叙事线：首先，火星是梦境和记忆中的环境；其次，火星是高仿真记忆移植的科技产物，是制造逼真证据的事件场所；最后，改写火星谋杀案的记忆直接导致真实事件水落石出——奎尔潜意识中的欲望其实是发生过的事件。在移植记忆过程中，众人发现奎尔的童年梦想与外星事件一致，即历史事件与梦中事件重叠，现实空间与记忆空间重合，本来彼此中断的异质空间变成了连续的地志空间。警察的到来揭开了奎尔的真实身份：作为星际警察局派去的职业杀手，由于在火星上杀死了十五个保镖，有损警察公众形象，才被抹除记忆。最终，他们达成一致决定删除全部记忆、植入假记忆，将真实事件转化为梦境中的欲望投射。他将火星之旅定义为“半真半假的旅行”（260），人生本就是现实与虚妄的结合，全面回忆实则以技术为手段环环相扣，引发出层层叠加的真相与幻象。

另一部经典之作《记忆裂痕》（*Paycheck*, 1953）将历史事件场所与未来事件场所重叠，从而形成现实事件空间，制造出记忆断裂的假象。小说讲述了机械师詹宁斯被雷特里克建筑公司聘用，制造能够预见未来的“时空抓取机”，在两年的工作中，他发现了公司违规的秘密，并通过“时空抓取机”看到了未来事件，于是将原来得到薪金的合同改为得到更有价值的七件物品。但由于记忆被消除，他不知道两年间的事情。表面来看，这是非常典型的时间维度的叙事，从一开始詹宁斯被送回来只能记住一天前的事，再到后来他通过未来去探查历史，都体现了非自然的时间叙事。理查森认为非自然叙事不仅是故事层面的“非自然性”，还应从话语层面探讨。“非虚构性文学传统在于时间、顺序或故事安排与话语通常一致（……）而没有逻辑规律的作品

1 本文关于《全面回忆》的引用均出自 菲利普·迪克：《少数派报告：菲利普·迪克科幻小说精选》，周昭蓉译（南京：译林出版社，2013年）。以下引文仅标注页码，不再一一说明。

故事层面与话语层面时空顺序不一致” (Richardson 127)。显然, 小说故事层面上的时空与话语层面上的时空发生了错列, 故事发生在两年前和现在, 话语层面是现在和未来。小说通过变易空间将历史、现实与未来的对接: 主人公工作两年后回来的城市空间 (现实空间, 也是话语层面的空间) ——领薪水时被物品线索串联的未来空间 (两年前的记忆空间, 也是探测到的未来空间) ——找到两年前事件发生的空间 (现实和未来的重叠空间)。

小说最与众不同之处在于利用物品串联叙事空间, 重新建构出人物的活动场所, 还原历史事件, 亦是现实与未来事件。七件物品 (密码钥匙、票根、存放收据、细电线、半个赌场筹码、绿布条、公交车票) 分别对应一个事件空间帮助詹宁斯转危为安: 细电线——逃离被警察逮捕的检查所, 公交车票——逃离后座上的公交车, 票根——波托拉剧场, 绿布条——山顶工厂, 密码钥匙——存放原理图、映射镜等文件数据的房间, 半个赌场筹码——能够逃离警察监管的赌场, 存放收据——老板女儿将文件数据存放于国家银行的保险库。逻辑上的非自然空间突出了主人公的身份迷思: 詹宁斯既是现实的、本体的“我”, 也是以前和未来重叠的“我”, 他甚至将以前的自己称呼为“他”: “他知道, 没错。预先就知道 (……) 还有另外五个东西, 很可能同样宝贵, 在未来的某个时刻会很宝贵” (424-425)¹。尽管“他”如上帝一般的存在, 看透一切, 预测未来, 但是这些物品串联的空间象征了伦理秩序的混乱与身份困境。

物品还原的现实空间填补了被删除的记忆空间, 也影射出詹宁斯真实的欲望。“如果我一直为他们修理设备, 就很难抵抗这种诱惑! 我一定看到了未来将要发生的事情 (……) 如果那个时候我手头有这些东西, 它们将发挥用处” (436)。他预见到未来事件会为自己带来巨大利益, 才使用了合同备用条款, 将物品代替薪金。他的欲望便是成为公司老板之一, 掌握这些秘密便可以作为敲诈的资本, 于是, 记忆场所及物品帮助自己逃脱了警察和老板的追杀。

迪克以时空的穿越和自我在过去、现在与未来的重叠, 试图探索科技影响之下的记忆如何投射欲望。聂珍钊曾以“脑文本”的概念阐释了记忆的表征作用, “通过感知、认识 and 理解的思维过程, 大脑能够将思维的结果作为记忆文本存储在人的大脑中, 形成脑文本” (“脑文本和脑概念的形成机制与文学伦理学批评” 29-30)。在《记忆裂痕》中, 变易的记忆空间体现为詹宁斯的脑文本: 记忆可被重新收集, 感官经验也只能以脑文本的形式存储², 最终成为其欲望的表征。亦真亦幻的记忆说明记忆的本质往往是不完整的, 在自我怀疑、否定和记忆建构中, 文本通过大脑不断地重构和解构历史

1 本文关于《记忆裂痕》的引用均出自 菲利普·迪克: 《记忆裂痕: 菲利普·迪克中短篇小说全集 I》, 于娟娟译 (成都: 四川科学技术出版社, 2017 年)。以下引文仅标注页码, 不再一一说明。

2 参见 Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 189-207.

与现实的记忆文本，诉说着被科技洗礼后的人类最真实的欲望。

三、空间形式与情节内容的统一：伦理主题的突出

从叙事的外在形式来看，变易空间是重要的叙事空间，从内容来看，往往与人物自我、意识、记忆等内在性相呼应，从而推动着叙事进程。迪克试图将形式与内容融合达到高度统一，以此凸显科技对人类的异化、对人性的影响。《少数派报告》延续了人物在变易空间内不断进行伦理选择的叙事方式。从故事层面来看，政府利用三个能预测未来犯罪的变种人来阻止罪案的发生。少数派要服从多数派，即三个预测中必须两个一致才算正确。但是，主人公安德顿在一次预测中将错就错杀死了军官卡普兰，以此维护自己作为发明人的名声及社会稳定。从话语层面来看，小说通过空间——测罪局办公室、警察局和纽约街道，城市之间的道路、建筑等不断的位移，最终回到预叙空间——错误预测的杀人现场，从而将叙事推向高潮，并突出人性异化的主题。

变易空间打乱了安德顿原来熟悉的伦理环境，直指伦理秩序的失衡，正如菲利普·迪克小说研究专家维斯特（Jason P. Vest）所言，“主人公的世界开始遵循未知的规则，最终变为陌生的场所”（58）。陌生场所意味着伦理混乱的开始，而伦理混乱又加速了安德顿的迷茫困惑、焦虑不安，他愈发被科技控制，因此他必须找出真相、重构发明人的权威身份。小说首先描写了一个取代传统监狱的场所，即测罪局，安德顿作为测罪技术之父，非常自信骄傲地宣称：“在他们从事犯罪活动之前，我们就可以制止他们。如此一来，犯罪完全变成了概念上的东西”（102）¹。在科技时代，犯罪活动成为由“报告”语言生成的科技产物，是一个概念而非伦理行为。然而，出错促成了空间发生变化，每一个空间中的事件都是对安德顿的一次异化。

空间推动叙事进程，反映出安德顿的内心变化和伦理选择。第二个重要场所是安德顿逃亡过程中在纽约街道和警察局辗转的空间。车子“突然一扭，转上一条带有车辙的支路，开进了一个地下车库”（111），支路作为城市交通的结点，也是事件转折点，象征着秩序的变化。林奇曾解释城市构造：“考虑一条以上的道路时，交叉连接的问题就突出了，因为这是一个作抉择的地点”（林奇 52）。安德顿也被带入“一个作抉择的地点”——坐落在郊野的豪华别墅。叙述进展至此，安德顿的人生随着空间发生变化，为他接下来的选择埋下伏笔。在被卡普兰送去警局的路上，城市与安德顿的焦灼心理相互对照：“纽约昏暗的街道上，一辆车正朝市警局驶去〔……〕朦胧中，他看了一眼街道名，发现他们已经离警局很近了”（114）。街道名称作为一种定向手段，表明空间再次变化，同时加速了主人公的不安。然而，还没抵达警局，空间再次转移，安德顿的车辆被人为撞翻，他被带到离车不远的一条小巷里。小

1 本文关于《少数派报告》的引用均出自 菲利普·迪克：《少数派报告：菲利普·迪克科幻小说精选》，周昭蓉译（南京：译林出版社，2013年）。以下引文仅标注页码，不再一一说明。

巷作为事件的转折点，预示着新伦理环境中的事件可能导致人物命运彻底扭转。这次，安德顿被转移至贫民窟，并被要求改名换姓。迪克并未交代事件的前因后果，而是通过空间转移推动叙事走向高潮，引发读者对真相的探求。

变易空间突破了固定的行动场域，既是故事层面事件发生的场所，也是话语层面的叙事线索，驱使主人公不断在其中做出伦理选择。第三个空间是从贫民区到警察局的转移，也是安德顿最终梳理三份报告、做出决定的地方。纽约脏乱的街道象征着失去身份的安德顿沦为逃犯，而警局则是权力中心与解救自我的行动场所。在查看三份报告后，安德顿做出了惊人选择：杀死部队高官卡普兰。三份报告逐个否定、叠加、再否定。第一份报告预言他会谋杀卡普兰，安德顿明知不可能动手；第二份报告预言他会得知第一份报告后放弃谋杀；第三份报告预言他在得知前两份报告及卡普兰的阴谋后最终选择谋杀。问题关键在于第二份“少数派报告”被抹除，因为第一和第三份结论一致，可作“多数派报告”依据。然而极具讽刺的是，恰恰第二份报告才符合安德顿最初的道德良知。

小说以层层异变的物理空间烘托逼仄的心理空间，彰显迪克一贯创作逻辑：借空间推演情节，依托科技控制论，凸显科技宏大语境下人类生存空间的渺小与荒诞，实现形式与内容的高度统一。安德顿最终戳破现实的真实幻象，他无法接受自身理想形象的崩塌，宁可错判误杀，也要维系自我身份与社会秩序的虚假表象。人性与兽性的交织，造就了人物的复杂特质¹。其善恶抉择终被技术外力左右，技术以模式、数据、概念与符号消解真实，内化为伦理选择的底层逻辑，逐步侵蚀并瓦解人性，暗含对现实社会的深刻嘲讽。实际上，梅亚苏提出的“基于科学外虚构的小说”这一“科外幻”概念很适合探讨迪克的科幻小说的“玄学”特征，为读者提供了阐释的维度。简而言之，这种科幻创作可以脱离规则、理论和任何先前的经验，是理性的断裂和对世界的无知所建构的不可能性的探索。²在迪克创作的空间中，读者很难分清主观与客观世界，一个科技高度发达的城市也可能只是存在于主人公梦境之中的主观世界。但“科外幻”并非不需要科学，而是在“荒诞无稽的表象下更为隐秘而又真切的现实指向”（郭伟 46）。现实既是个人记忆中的经历，又是当下的伦理选择和道德情感，最终指向自我在科技生活中的伦理身份诉求。

就科幻小说空间建构而言，梅亚苏的“科外幻”与迪克的论述有相似之

1 参见 Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 383-398.

2 梅亚苏以不同的小说文本解释了三种解决方法。类型1的世界：它们是无规则的所有可能的世界，但是稀少到无法影响科学同知觉；类型2的世界：这是在那里，不规则足以废除科学，但不足以消除知觉的世界。所以这一类型的世界都是真正的科学外世界；类型3是不存在必然法则的宇宙，不再算得上是一个世界：涉及一个在其中无章法的改变太过频繁的宇宙，就像康德在客观演绎中描述的混沌一样，科学的条件同知觉的条件都将被废除。参见 甘丹·梅亚苏：《形而上学与科学外世界的虚构》，马莎译，郑州：河南大学出版社，2017年，第39-46页。

处。迪克认为科幻首先要构建一个虚拟的世界,换言之,“现实社会是科幻的起点:虚构的社会以某种与我们不同的方式发展,也许旋转了九十度,就像在平行世界中那样”(《记忆裂痕·引言》I);其次,科幻与奇幻不同,奇幻涵盖了普遍认为不可能的事物,而科幻涵盖了在特定情况下可能出现的事物,“这实际上是一种主观判断,因为我们并不能客观地分辨出什么是可能的、什么是不可能的,这更多的是凭借作者和读者的主观臆断”(《记忆裂痕·引言》II);最后,他认为“观念的错位——换言之,创新的思想——必须是全新的(或者是旧想法的新变化),必须能为读者带来智力上的刺激”(《记忆裂痕·引言》II)。真正的主角并非一个人,最重要的是一个观念,从而引起读者大脑中衍生思路的连锁反应,即读者和作家合作创造,享受其中的乐趣。

因此,迪克的想象世界呈现了两个重要特点:一个是陈楸帆提出的“科幻现实主义”¹,另一个是刘慈欣论述的“科技现实主义”。刘慈欣认为现实主义对于科幻的美学意义不容忽视:如果你的笔触本来就是幻想的,再去描写幻想的东西,那不是科幻小说所愿意用的笔法。它一般是用现实主义的方法去描写最疯狂、离现实最远的东西,也是科幻小说一个基本的创作理念。²笔者认为,“科幻现实主义”更接近于“科外幻”,强调在科学幻想外壳之下对现实生活进行变形书写。

迪克通过构建那些逻辑上可能存疑、但情感与伦理上极度尖锐的变易空间,迫使读者直面潜伏于日常之下的异化真相、伦理困境与存在危机。在“科外幻”的透镜下,迪克并非在书写遥远的未来,而是在为我们所处的、由技术与资本深度编织的现代生活,撰写一份最富洞见且令人深思的现代性“报告”。相比之下,“科技现实主义”关注在现实生活中的个体和社会被工业化、信息化的全面渗透,本身是写实的,却以“反模仿”的方式探讨当下和未来科技生活可能性与不可能性。因此,这两个概念可以帮助我们理解迪克小说的双重性——预言性和寓言性,最终回归叙事形式与主题表征的关系中,发掘文学的伦理教诲功能。

迪克“电子梦”中的虚幻景象、药物致幻、记忆复制与意识共享,从不注重过多的科技描写,而致力于揭示“真实”不过是一种表象的语言建构。迪克的“空间叙事”独具一格,它既非对宏大外部空间的想象,也非对技术系统的迷恋,而是聚焦于“变易空间”,一种由技术与心理交错生成、不断重构的主观经验场域。本文所指的“变易”包含三个递进层面,即物理形态的

1 参见 陈楸帆:“对‘科幻现实主义’的再思考”,《名作欣赏》28(2013):38-39。陈楸帆写道自己在2012年的星云奖科幻论坛上指出:“科幻用开放性的现实主义,为想象力提供了一个窗口,去书写主流文学中没有书写的现实”(38)。

2 参见 李广益:“从科幻现实主义到科技现实主义”,长篇小说选刊杂志社,2018年12月13日。

畸变、逻辑关系的悖谬、认知经验的错位。这三个层面遵循由外向内、从表及里的路径，从城市空间的物理变化到记忆空间的心理变化，再到叙事形式与主题内涵的统一，最终共同指向“科技异化”这一核心主题。正是这一“变易空间”的叙事特征，使迪克在科幻文学传统中占据了独特的位置。他不同于黄金时代科幻对外部空间确定性与秩序性的想象，而是开启了技术批判与心理现实主义交汇的叙事范式。小人物对大世界的怀疑、变易空间中的疯狂表象，都是对人性最深刻的剖析。保持虚无，是为了逼近世界的本质；保持实有，是为了识破事物的假象。迪克不断追问，自我究竟掌握在谁的手中，这个问题的答案恰恰存在于他建构的想象空间内。在技术扭曲的虚象中，真实与虚妄不断叠加更替，世界的本质混沌不清。迪克提醒我们，在被科技日益渗透的存在方式中，梳理科技与人性的关系，始终是不可避免的课题。

Works Cited

- Alber, Jan. *Unnatural Narrative: Impossible Worlds in Fiction and Drama*. Lincoln: U of Nebraska P, 2016.
- 居伊·德波：《景观社会》，张新木译。南京：南京大学出版社，2017年。
- [Debord, Guy. *La Société du Spectacle*, translated by Zhang Xinmu. Nanjing: Nanjing UP, 2017.]
- 菲利普·迪克：《记忆裂痕：菲利普·迪克中短篇小说全集 I》，于娟娟译。成都：四川科学技术出版社，2017年。
- [Dick, Philip. *Beyond Lies the Wub: Volume One of The Collected Stories of Philip K. Dick*, translated by Yu Juanjuan. Chengdu: Sichuan Publishing House of Science and Technology, 2017.]
- ：《少数派报告：菲利普·迪克科幻小说精选》，周昭蓉译。南京：译林出版社，2013年。
- [—, *The Minority Report*, translated by Zhou Zhaorong. Nanjing: Yilin Press, 2013.]
- 方小莉：“作为虚构文本的梦叙述”，《西北大学学报（哲学社会科学版）》3（2015）：118-123。
- [Fang Xiaoli. “Dream as a Fictional Narrative.” *Journal of Northwest University (Philosophy and Social Sciences Edition)* 3 (2015): 118-123.]
- 郭伟：“科学外世界与科外玄幻小说”，《科普创作》3（2019）：43-46。
- [Guo Wei. “The World Outside Science and Fiction hors-science.” *Science Writing Review* 3 (2019): 43-46.]
- 郭雯：“平行世界的伦理探索——菲利普·迪克《流吧！我的眼泪》的非自然叙事及自然化解读”，《复旦外国语言文学论丛》秋季号（2019）：45-51。
- [Guo Wen. “Ethical Exploration in the Parallel World: The Unnatural Narrative and Naturalizing Reading of Philip Dick’s *Flow My Tears*, the Policeman Said.” *Fudan Forum on Foreign Languages and Literature Autumn Issue* (2019): 45-51.]
- 弗雷德里克·詹姆逊：《未来考古学：乌托邦欲望和其他科幻小说》，吴静译。南京：译林出版社，2014年。

[Jameson, Frederic. *Archaeologies of the Future: The Desire Called Utopia and Other Science Fiction*, translated by Wu Jing. Nanjing: Yilin Press, 2014.]

Le Guin, Ursula K. *Ursula K. Le Guin: The Last Interview and Other Conversations*. Edited and with an introduction by David Streitfeld. New York: Melville House Publishing, 2019.

李广益：“从科幻现实主义到科技现实主义”，长篇小说选刊杂志社，2018年12月13日。

[Li Guangyi. “From Science Fiction Realism to Technological Realism.” *Selected Novels Magazine* 13 Dec. 2018. Available at: https://mp.weixin.qq.com/s?biz=MzA5MTE2MDYzMw%3D%3D&mid=2651574763&idx=1&sn=9485f51af729b02a20e3c4edf4227a55&scene=45#wechat_redirect.]

凯文·林奇：《城市意象》，项秉仁译。北京：中国建筑工业出版社，1990年。

[Lynch, Kevin. *The Image of the City*, translated by Xiang Bingren. Beijing: China Architecture & Building Press, 1990.]

甘丹·梅亚苏：《形而上学与科学外世界的虚构》，马莎译。郑州：河南大学出版社，2017年。

[Meillassoux, Quentin. *Métaphysique et Fiction des Mondes Hors-science*, translated by Ma Sha. Zhengzhou: Zhengzhou UP, 2017.]

Nie Zhenzhao. “Ethical Literary Criticism: A Basic Theory.” *Forum for World Literature Studies* 2 (2021): 189-207.

——. “Ethical Literary Criticism: Sphinx Factor and Ethical Selection.” *Forum for World Literature Studies* 3 (2021): 383-398.

聂珍珍：“脑文本和脑概念的形成机制与文学伦理学批评”，《外国文学研究》5（2017）：26-34。

[Nie Zhenzhao. “The Forming Mechanism of Brian Text and Brian Concept in Theory of Ethical Literary Criticism.” *Foreign Literature Studies* 5 (2017): 26-34.]

——：《文学伦理学批评导论》。北京：北京大学出版社，2014年。

[—, *Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]

Richardson, Brian. *A Poetics of Plot for the Twenty-First Century: Theorizing Unruly Narratives*. Columbus: The Ohio State University, 2019.

Vest, Jason P. *The Postmodern Humanism of Philip K. Dick*. Lanham, Maryland: The Scarecrow Press, 2009.

杨金才：“关于新世纪美国小说城市书写研究的设想”，《外国文学》3（2023）：24-31。

[Yang Jincai. “Research Assumptions on Urban Writing in 21st Century American Fiction.” *Foreign Literature* 3 (2023): 24-31.]

斯拉沃热·齐泽克：《视差之见》，季广茂译。杭州：浙江大学出版社，2014年。

[Žižek, Slavoj. *The Parallax View*, translated by Ji Guangmao. Hangzhou: Zhejiang UP, 2014.]

周桂笙对晚清侦探小说涉“罪”主题的伦理叙事选择

Zhou Guisheng's Ethical Narrative Choices on the Theme of Crime in Late Qing Detective Fiction

孙国亮（Sun Guoliang） 水笑莹（Shui Xiaoying）

内容摘要：作为晚清译介西方侦探小说并首倡其伦理价值的先驱，周桂笙以侦探小说作为西方现代性在司法伦理层面的样本切片，阐明西方侦探以求真精神和科学方法作为探罪时的首要伦理选择，这颠覆了中国传统公案小说的清官断罪模式和司法伦理。通过建构“为人权”“重民权”的侦探伦理身份和伦理诉求，以期改良晚清社会伦理秩序。周桂笙在《上海侦探案》中首次塑造了中国本土侦探形象“包探”。作为相对独立的探罪主体，包探的伦理身份兼具进步性和局限性，但其所孕育的现代司法体系下探罪者形象及其伦理选择，为后续本土侦探小说开辟了书写路径和伦理理据。

关键词：周桂笙；晚清侦探小说；伦理选择；伦理身份；伦理困境

作者简介：孙国亮，上海外国语大学中文学院/国际文化交流学院教授，主要从事中外文学与文化关系、20世纪中国文学与文化研究；水笑莹，上海外国语大学文学研究院博士研究生，主要从事中外文学与文化关系研究。本文系教育部哲学社会科学研究重大课题攻关项目“‘中国故事’在世界文学中的征引阐释及启示研究”【项目编号：20JZD046】阶段性成果。

Title: Zhou Guisheng's Ethical Narrative Choices on the Theme of Crime in Late Qing Detective Fiction

Abstract: As a pioneer in translating and introducing Western detective fiction during the late Qing dynasty, Zhou Guisheng was among the first to advocate the ethical value of Western detective fiction. He treated Western detective fiction as a textual sample embodying modern Western judicial ethics. He further clarified the truth-seeking spirit and scientific methodology as the primary ethical choices in detectives' crime investigation, which subverted the trial model and traditional judicial ethics embodied in Chinese classical gong'an fiction. By emphasizing the crucial role Western detectives played in protecting human rights and civil rights, Zhou put forward detectives' innovative ethical identity and ethical claims as a means of reforming the social and ethical order in late Qing. In his short story *Shanghai Detective Case*, Zhou for the first time created the image of a

Chinese local detective, “Bao Tan.” As a relatively independent subject of crime investigation, Bao Tan’s ethical identity embodies both progressive and limited dimensions. Nevertheless, the investigator figure and ethical choices represented by Bao Tan, grounded in the framework of a modern judicial system, opened up new narrative possibilities and ethical foundations for the creation of subsequent local detective fiction.

Keywords: Zhou Guisheng; detective fiction in late Qing; ethical choice; ethical identity; ethical predicament

Authors: **Sun Guoliang** is Professor at the School of Chinese Studies and Exchange, Shanghai International Studies University (Shanghai 200083, China). His academic research focuses on relations between Chinese and foreign literature and culture, Chinese literature and culture in the 20th century (Email: 02582@shisu.edu.cn). **Shui Xiaoying** is a Ph.D. candidate at the Institute of Literary Studies, Shanghai International Studies University (Shanghai 200083, China). Her academic research focuses on relations between Chinese and foreign literature and culture (Email: shuixiaoying@shisu.edu.cn).

侦探小说作为西方现代性在司法伦理层面的样本切片，藉晚清民初翻译热潮涌入中国，其译介数量之多、传播之广、影响之大，堪称翻译文学之翘楚。¹作为一种舶来的叙事题材，其蕴含着科学、民主、法治、正义等伦理价值取向，恰与当时中国知识分子藉小说革命实现“启迪民智”“改良群治”的社会愿景相契合。侦探小说以科学正义之名革新司法腐败，扫除官场积弊，成为构建新型社会伦理秩序的利器。

作为“中国近代翻译史上的先驱者”“侦探小说译介第一人”²，周桂笙对侦探小说在晚清的译入有发轫之功。学界对周桂笙的研究多聚焦他以翻译侦探小说为契机，呼吁改良中国当时的吏治制度，尚未触及他在翻译和著述过程中具体而微妙的现代伦理选择（ethical choice）。本文以文学伦理学批评的核心概念理论为理据，选取周桂笙译/著的侦探小说为典型个案，以“罪”的主题为切入点，剖析西方侦探与中国官吏在“探罪”“断罪”过程中迥异的伦理选择，以及周桂笙立足民主科学的伦理价值立场，以“包探”形象作为中国伦理语境下探罪伦理选择的展演，既呈现社会伦理秩序由传统向现代转型之伦理选择策略，又揭示出侦探“本土化”的伦理身份建构困境。

1 参见 阿英：《晚清小说史》，南京：江苏凤凰文艺出版社，2017 年，第 255 页。

2 参见 伍国庆选编：《毒蛇圈》，长沙：岳麓书社，1992 年，第 1-2 页。本书收录了《杨世骥论周桂笙》一文，文中指出，周桂笙早于林纾将西洋文学介绍到中国，更是中国最早提出“侦探小说”这一理念的人。

一、科学“探罪”：伦理选择的要务与旨归

伦理选择作为文学伦理学批评的理论基石，包含了伦理选择阶段（ethical selection）及伦理选择活动（ethical choice）两个概念：前者指向人类获取文明、建立本质属性的整体过程；后者指的是人类在伦理选择阶段中所进行的具体的伦理选择活动。¹晚清侦探小说“第一人”周桂笙通过对比中西侦探在科学探罪、公正断罪等环节的具体伦理选择活动（ethical choice），呼吁“重科学”和“为人权”的整体司法伦理选择（ethical selection），以增益民族智识，推动国家善治，实现社会革新，彰显文学的伦理本质和教诲功能。²

周桂笙翻译侦探小说的初衷是为纲常崩坏到晚清输入新的伦理选择。西方工业革命后兴起的侦探小说“与中国公案和武侠小说，有许多脉搏互通的地方”（阿英 254），而互通的肯綮是关于“罪”的演绎。侦探小说以其特有的叙事伦理意涵为中国传统“清官断罪”模式提供了新的伦理选择——科学探罪。侦探“探罪”过程，秉持理性精神，运用科学手段，利用各种巧妙的侦查和推理方法来探查案情，与中国传统公案小说中“葫芦僧乱断葫芦案”的探案方法相比，高下立判，令人耳目一新，以至于“当时译家，与侦探小说不发生关系的，到后来简直可以说是没有”（阿英 255）——侦探小说在当时受追捧的伦理语境由此可见一斑。时至今日，我们如何切近近代中国通过文学翻译与世界相遇的时刻，掀起文学与司法新伦理取代旧道德的双元革命？文学伦理学批评要旨切中了问题的肯綮：即文本的解读要还原历史、还原现场、还原本质，“不同历史时期的文学有其固定的属于特定历史的伦理环境和伦理语境，对文学的理解必须让文学回归属于它的伦理环境和伦理语境（……）”（聂珍钊，“文学伦理学批评：基本理论与术语” 19）。将中国语境中从无到有、由译而写的“侦探小说”之伦理观念、伦理思想，当作社会司法伦理转变之肇始加以分析，显得尤为切要。

在晚清中国文界“侦探小说”理念的首倡者周桂笙看来，中国并没有侦探小说，他在《上海侦探案》中直言，当时有人提出“中国何尝没有侦探小说，那包龙图的七十二件无头公案，不是侦探小说吗？”他认为“说这种话，岂不可笑”（95），显然是不赞同这一说法。作为行政官员的“清官”虽亦为探案，但他们缺乏西方现代侦探的伦理身份——现代司法体制中的专业人士。吴趼人在《中国侦探案》中所刻画的所谓侦探，亦仅是中国伦理道德在面对西方科学实证精神冲击下所做出的回应，而且是一种皮相的应激反应。³其目的无非是为了证明侦探在中国古已有之，但其伦理选择和伦理行动依旧是主观层面

1 参见 Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398.

2 参见 聂珍钊、王松林：《文学伦理学批评理论研究》，北京：北京大学出版社，2020年，第14页。

3 参见 魏艳：《福尔摩斯来中国：侦探小说在中国的跨文化传播》，北京：北京大学出版社，2019年，第86-97页。

的“断罪判罪”，而非夯实案件证据链的“探罪”。所以，翻译西方侦探小说，昌明侦探“探罪”的科学精神，成为革新中国司法腐败的伦理选择。

其一，科学探罪彰显伦理选择之真，可以有效规避明清社会以来“以礼入法”造成冤假错案的弊端。¹周桂笙所译法国作家纪善的“高龙侦查案”系列，宣扬求真务实，去伪存真的探案伦理。《红痣案》中的高龙侦探纵使一眼识破勒索陆氏妇之人就是与她有染的、专门诓骗妇女的恶棍，然嫌疑人“狡黠殊甚”（112），高龙侦探一时奈何不了他。但恶棍右腕上的一枚红痣成为破案关键线索，于是侦探“从案匣中别出公文一帙，略一视之，遂恍然于其人之旧案矣”（115）。铁证如山，此乃惯犯，终可定罪。《妒妇谋夫案》有两大犯罪嫌疑人，其一为受害人亚猛的表妹兼情人马雪林，其二为亚猛之妻。蒙冤的马雪林之所以能洗脱冤屈，靠的是“获医官验单一纸”（159）的实证。为确认亚猛之妻为凶手，高龙假托有一封短札需要夫人誊抄，字迹与下毒者所写书函一致，铁证如山，方才认定凶手。由此可见，侦探探罪的手段颇具科学性，包括医学化验、字迹鉴别等实证手段，为公正断罪提供了事实准绳。尤其注意的是，情感出轨的陆氏妇、插足他人婚姻的马雪林等人的行为，显然有违礼法和公序良俗，但却受到司法保护，彰显司法伦理之真超越了单一道德判断，亦症候式地预示着封建伦理秩序的崩塌。

其二，科学探罪流程体现伦理选择的正义。现代司法伦理以程序正义为本，恪守疑罪从无和冤错必纠的伦理选择。周桂笙译《海底沉珠》，讲述一件镶嵌珍珠钻石的披肩即将被拍卖，侦探“我”是负责拍卖期间安保工作的法兰西警务总长，“我”细致地甄别每一位参与拍卖者的身份。拍下披肩的是两个陌生的美国人，通过缜密观察推理，“我”断定他们是匪徒，但“拿不到一些真凭实据，但凭我一人的理想疑心，是不可无端拿人的”（408）²。而“我”最终能够调动警察对嫌疑人实施追捕，是因为其中一人用火枪威胁众人不许乱动，给另一名嫌疑人创造逃跑时间。于是“我如今有了这个把柄，我就可以放手去（缉）拿”（423）。侦探的探罪过程传递出“疑罪从无”的新式伦理选择。《含冤花》讲述了纯洁善良的少女梅兰被诬陷偷了子爵夫人的钻石戒指，梅兰在法庭上不肯认罪，审判官“知非有证人，必不能使之甘心认罪”（486），于是命人带证人上庭。可见与公案小说中常见的屈打成招不同，西式法庭十分注重人证物证。梅兰因证人月娥的假口供而含冤流放，多年后，子爵之女艾米雷在鸟巢中发现了被鸟叼走的戒指，有了物证，方证明梅兰清白。证人月娥因作伪证诬陷他人而锒铛入狱，罪有应得，体现了冤错必究、讲究实证的进步伦理选择。

由此可见，西方侦探小说对“罪”的母题演绎突出侦探探罪的科学手段

1 参见杜婉言：“明清社会礼大于法造成冤案”，《炎黄春秋》9（1997）：76。

2 本文有关《海底沉珠》《含冤花》《八宝匣》的引文均引自伍国庆选编，《毒蛇圈》（长沙：岳麓书社，1991年）。以下引文仅标注页码，不再一一说明。

和流程,在当时中国官场腐败的伦理背景下,是一种崭新的伦理价值选择,具有改良司法秩序、追求正义伦理的现实意义。因此,周桂笙勉力推动侦探小说在晚清的译介传播可谓意义深远。“教诲功能是文学的基本功能,它通过读者在阅读过程中的美学体验来实现”(Nie, “Ethical Literary Criticism: A Basic Theory” 191)。周桂笙亦在《电术奇谈》的序言中明确指出,要输入新文明,“必使阅者略被其影响而后可”(103),这恰与文学的教诲功能相契合。侦探小说以其特有的叙事格调与伦理内涵唤起读者遭遇的不公记忆,激发他们的正义感,潜移默化地改变整个社会伦理秩序,其目的是实现救亡图存、改良群治。¹而在“探罪”环节的理性方法基础上,周氏进一步突显“断罪”环节“重人权”的伦理选择,以此论证中西探罪主体伦理身份的差异,从制度层面辨析侦探本土化过程中遭遇的伦理困境。

二、公正“断罪”: 伦理身份的要义与愿景

“断罪”环节是公案小说中官员“罚罪”的重要途径,苗怀民在《中国古代公案小说史论》中提出,公案小说注重“断罪”结果,目的在于重建“被罪犯所破坏的伦理道德秩序”(147)。但官员断罪时受探案手段所限,往往“止于眼、耳、鼻等器官功能所获得的感性认识,较少理性分析”(黄永林 42),具有主观性和任意性,且时常伴随着暴力,影响断罪的公正,易造成冤狱。周桂笙译介侦探小说,着意凸显理性科学方法、逻辑实证推理的“断罪”过程,并以此为切入口,试图构建侦探“为人权”的伦理身份,这与晚清中国社会有识之士“重民权”的诉求不谋而合。²在当时,宣传“人权”时常见对“民权”的维护。梁启超在《论中国人种之将来》中称:“泰西所谓文明自由之国,其所以保全人权,使之发达者,有二端:曰参政权,曰自治权”(259)。梁启超此处所谓“人权”,即民众参政议政的权利,是对民权的伸张,并断言此为国家实现发达进化的重要手段。

欲培养“重人权”的中国侦探,则须先从伦理身份上建构社会对侦探的认知。侦探既是一份职业,也是一种“社会身份”,聂珍钊在《文学伦理学批评导论》中指出,社会身份“指的是人在社会上拥有的身份,即一个人在社会上被认可或接受的身份,因此社会身份的性质是伦理的性质,社会身份也就是伦理身份”(264)。作为侦探小说在中国译介研究的拓荒者,周桂笙对西方侦探伦理身份的认知尚处于探索阶段,通常需要与本土官员做比附,彰显侦探在断罪过程中捍卫人权的伦理选择,而这一伦理选择源自侦探将自己

1 参见 菊池幽芳:“电术奇谈”,《新小说》5(1905):103。周桂笙在东莞方庆周译述、吴趼人衍义的《电术奇谈》第二十三回后记中评点称:“夫译书无论为正史、小说,无非输入文明起见”。事实上,周桂笙曾任职于梁启超创办的《新小说》,是梁启超“小说界革命”的拥趸,他尤为重视译介西方文学的醒世、觉世之功用。

2 参见 刘宗珍:“清末民权思想的发生”,《人大法律评论》1(2019):331。

的伦理意识转化而成的伦理行动，充分体现了其“重人权”的伦理身份特征。¹为宣传这一特征，周桂笙在译作《歇洛克复生侦探案》的“弁言”中强调：“至若泰西各国，最尊人权，涉诉者例得请人为辩护，故苟非证据确凿，不能妄入人罪”（85）。《毒蛇圈》第六回讲铁瑞福被冤枉害死了一个妇人而被捕。周桂笙的好友吴趼人对此评议：“设生于中国，而遇此等事，则今夜钉镣收禁，明日之跪铁链、天平架，种种非刑，必不免矣”（129）。然而，铁瑞福不仅没受酷刑，反而还有自证辩白的机会，在确证无辜后，警察向他道歉。当他遭恶人陷害，眼睛被镪水烧瞎，警察意欲给他请医治病，体现出侦探对人权的重视。周桂笙创作的小说《上海侦探案》更是直接宣扬西方司法伦理对人权的尊重：“至于那种残恶刑具，如天平架、夹棍、铁链之类，恐怕梦也没有梦过”，并对“无罪推定”的伦理选择推崇备至：“他们文明国中的法律，极尊重人权，〔……〕没有定案的人犯，从来不许加刑的”（92）。周桂笙在此宣扬“人权”，无疑切中了革新中国司法伦理选择的肯綮。

当然，需要指出的是，与践踏人权的酷吏不同，传统公案小说中的清官之“清”，亦有为民请命、平反冤案的断罪诉求和对人民权利的尊重。但是，清官特殊的伦理身份——肩负着行政与司法的双重职责，其言行首先需要对皇权负责。清官为民伸张正义的行为，是在“忠君报国”的语义框架内展开，其最终目的是“使天下太平，以免危及他（国君）的统治基础”（黄立新 56）。因此，在周桂笙看来，受伦理身份拘囿，且集审罪和判罪等权力于一身的清官，其断罪理念和执行过程必然是以皇权为尊，皇权高于民权。正如他在《上海侦探案》中言明：“吾中国古时的侦探，就和间谍细作差不过，大之则为一国一军，小之则为一家一身，大抵为私利的多，为公益的少，从没有像现今世界东西各国这样，讲了许多侦探专家，专门为百姓刺探案情用的”（96）。官员为“私利”而不“为公益”，究其原因，在于家产官僚制下的“家国同构”理念，国产为君侯私产，官员表面上为国尽力，实际上只服务于皇权和礼法。君臣之间“服从”“忠诚”等政治伦理，向家庭伦理巧妙对接转换，进而被“父慈子孝”等家庭伦理柔化。因此，清官断罪，平反冤案，为民请命，虽然饱含着“修齐治平”的伦理观，在一定程度上体现了对人权的保障，但也难掩其效忠皇权和维护儒家纲常的伦理身份，而非真正谋公益、为民权、保人权。

周桂笙在此将清官与侦探的云泥之别归因于专制制度。他在翻译《毒蛇圈》第五回时插入了一段衍文，作出解释：“东方支那国的官员，并不是由国民公举的，只要有了钱就可以到皇帝那里去买个官来做做”，而一旦做了官，就“任着性子刻剥百姓，百姓没奈他何，反要怕着他”（126）。在《海底沉珠》中，周桂笙指出，有“自由国”与“专制国”两种社会形态，自由国的老百

1 参见 尚必武：“文学伦理学批评：伦理选择、伦理意识与伦理行动”，《文学跨学科研究》1（2021）：26。

姓“个个都是国中的主人翁。做官的乃是他们的奴隶罢了”，而专制国里“一切都可由官做主。所以中国有句俗语，叫做‘打官话’，意思就是做官的可以随意乱说的”（423）。在当时的社会伦理环境中，周桂笙借译著侦探小说，潜移默化地将重人权、为民权的伦理身份特征诉诸现代侦探，扬侦探而抑清官，希冀现代侦探取代传统清官，推动司法革新和社会革命。

周桂笙以笔名“新”发表《革命说与立宪说之论评》，文中强调革命是一种进化：“英文 Revolution 即穷则变，变则通之意也，大凡事事物物之革新变故，皆可以此语加之”，而社会对“革命”概念的广泛接受，在其眼中“亦吾国文明进化之一征也”（218）。在这种实用主义进化论的主导下，君主与民主只是体制之别，关键在于能否通过制度改革，建立法治社会，实现国富民强。此言虽将革命与改革的概念进行了柔化调和，但不难看出，周桂笙对侦探的推崇，背后蕴含着明显的反皇权专制的目的。其所译侦探小说《八宝匣》，讲述了虚无党杀手冒充探险家赖柴洛夫，设计刺杀专制独裁的俄国皇帝。杀手故意与“我”邂逅，借机雇“我”做其书记员，欲借“我”之手进献金刚石，却在装宝石的云母匣中设置毒针，构陷“我”充当刺杀俄国皇帝的替罪羊。故事中的警长明察秋毫，识破杀手伎俩，但“我”作为事件参与者和知情人，在真凶落网前仍被留置警署，警长申明理由：“此事肇端颇奇，故不能不暂时屈尊留此，（……）绝非羁留软禁之意，幸弗误会”（261）。最后，意欲将宝石据为私有的使馆随员死在公寓中，勘验发现手指被毒针所刺，真相方才大白，“我”的嫌疑得以洗清，最终重获自由。

在这个故事中，专制皇权受到了严峻挑战，而担任侦探之职的警长并未一味维护皇权而罔顾事实，而是恪守伦理身份，表现出了科学严谨的职业素养。周桂笙在译后记中言明，“吾闻专制之国，其君主尊无二上，臣民罔敢不服，（……）贪黷无法之夫，亦为专制国之出产物哉”（264）。周桂笙褒扬作为杀手和罪犯的虚无党人刺杀皇帝之壮举，认为其是反专制之楷模。他以沙俄比照晚清中国，抨击专制滋生腐败和人性堕落，小说中侦探不像清官那样唯专制皇权马首是瞻，破案不唯权，不唯上，只唯实、只唯法，因此，才处处维护嫌疑人的人权不受侵犯。周桂笙赞扬西方侦探，体现了其反专制的司法伦理立场。

综上所述，周桂笙彰显侦探为人权、重民权的伦理身份，将中西方侦探的伦理身份差异归因于社会制度层面，蕴含着构建“反专制”社会的伦理价值目标。在其创作的中国首部侦探小说《上海侦探案》中，周桂笙进一步对反皇权专制的合理性作了辩解，并希望以侦探伦理身份转变为契机，革新中国的司法伦理制度。

三、侦探“本土化”：伦理选择实践与价值探微

1907年，周桂笙发表首部原创侦探小说《上海侦探案》，“开创了侦探

小说本土化的先声”(杨绪容,“周桂笙与清末侦探小说的本土化”184)。小说主人公是中国本土侦探的先驱——活跃于上海租界的“包探”。包探在一定程度上接触到了西方现代司法理念,但由于租界特殊的伦理环境(ethical environment),包探的伦理身份处于既具有进步性又不乏守旧性的混乱状态。聂珍钊在《文学伦理学批评导论》中指出,“伦理混乱即伦理秩序、伦理身份的混乱”(257),而“由于伦理混乱而给人物带来的难以解决的矛盾与冲突”,即“伦理困境”(258)。在当时中国的伦理环境下,包探作为首次“出场”的本土侦探,必然会面临伦理选择上的困境,但其所包孕的现代司法体系下探罪者形象及其伦理活动,为后续本土侦探小说开辟了书写路径和伦理理据。

“包探”是民间的称呼,他们真实的伦理身份为租界巡捕房的警探,巡捕房是租界工部局依照西方警察制度所设的司法机构。包探是相对独立的探罪主体,《上海侦探案》中称“一个包探手下,总有几十个伙计,他们叫包探做‘老正’,这老正底下有四五个副手,叫做‘正身伙计’,是巡捕房知道的,其余有些小伙计,还有些伙计的伙计”(97-98)。可见以包探为中心,勾连起了一个人数众多的探罪群体,他们隐藏并渗透在城市的各个角落,担负着维护租界治安、探查犯罪、缉拿嫌犯等职责,是仿照西方警察制度体系而形成的专门探罪网络,这在一定程度上改写了传统中国官员的探罪模式。中国古代的行政官员往往一职多能,除审罪、判罪之责外,亦操控主导侦缉探罪环节。中国官员不像西方侦探那般于街头巷尾巡查取证,直接承担探罪行动的是“官之羽翼”¹——捕役,他们唯官员意旨是瞻,是官员权力身份的附属品和外化工具,然而其处境较为尴尬,正如《上海侦探案》中所言“正经当这件差事的人,却人人看他不起”(97)。盖因清制规定,“皂役人等,例不准其为官,其子孙亦不准应试”(吕小鲜 29)。这决定了捕役的社会身份多为贱民,与官员构成严格的主仆依附关系,并不具备独立探罪资格和逆转依附身份的可能。面对如此恶化的司法伦理环境,周桂笙在《上海侦探案》中呼吁,应当从制度层面进行革新,完善警政建设,因为侦探“本是人人可学的”(93),只有培养出大批专门的侦探人才,才能扭转“捕快都是贼出身”(97)的不利局面,改变官员司法和行政大权独揽,专权独断的弊端。

与传统捕役低下的依附性伦理身份相较,包探伦理身份的进步性直接地体现在其相对独立的探罪伦理选择——依循程序、尊重人权。包探在巡街时,发现一个手艺店小学徒拿十二块洋钱购买银表,他观察到银元上有当铺标志,怀疑小孩的洋钱是卖了贼赃所获;但本着疑罪从无的现代法制伦理,包探并不敢上前盘问。此时包探探案已经绷紧了“人权”这根弦,过去在抓到嫌疑犯时,包探曾滥用私刑,屈打成招,“所以巡捕房查知了,就雷厉风行,严禁此事”(106)。于是,包探假意与小学徒开玩笑,借机搜身,“万一走错了道儿就可以推说是闹闹顽意儿,不是真的”(111)。及至搜查出“证据”,包

1 参见周琰:《清代捕役的官方规制》,西南政法大学硕士论文,2021年,第4页。

探方才依照程序将小孩押送至新衙门，由此可见包探在探罪伦理上的进步性。

包探的进步性引发了“新文明”与“旧道德”之争，即西方侦探与中国清官谁能担起“本土侦探”之职。¹周桂笙与好友吴趼人采取了两种截然不同的态度：吴趼人的《中国侦探案》站在民族化的立场上，凸显“清官不仅是‘教化’的执行者，更是道德的表率，从他们身上体现了传统知识分子的身份特征”（杨绪容，“吴趼人与清末侦探小说的民族化”116）。吴趼人希冀侦探所秉持的科学探罪手段，可以作为官员断罪手段的补充，而经过断罪手段的改良，封建官员不仅可以胜任侦探之职，亦能弥补西方侦探所缺失的传统儒家道德品质。

周桂笙在《上海侦探案》中批驳了吴趼人的观点，强调侦探与清官的伦理身份具有不可调和性。他认为侦探是一门现代“职业”，而非传统“官位”。除了清官亦具备的“人格聪明，才智、学问、身家、胆识、气量”等品质，侦探还需要具备“不贪功不图利肯热心公益，舍身社会”（93）的职业精神。而侦探的职业化，则“须从司法独立上做起”（94），他将侦探置于现代法治体系下进行考察，认为侦探职业化是国家现代化的必然结果，并借此突破皇权专制，以独立健全的司法制度作为社会改革之公器。封建官员则是现代改革的障碍，他们面对引领司法独立的预备立宪，不仅“心里有些不便”，更“说出许多似是而非的话头来，想要蒙蔽上头”（94），因此他断然否定了“清官为侦探”的可能性。与吴趼人从“术”的层面解读侦探不同，周桂笙站在“道”的立场上追求制度革新。可见，纵然周桂笙意识到包探在伦理身份上不具备彻底的进步性，但在当时的社会伦理环境中，为了追求司法进步和革新，亟须摒弃传统清官断罪的叙事模式，塑造全新的本土侦探代表。

《上海侦探案》在一定程度上呈现了“包探”作为本土侦探进步性的一面，但在当时内忧外患的伦理环境下，旧伦理秩序崩塌，新伦理秩序尚未形成，伦理价值缺位导致包探的伦理身份和伦理选择活动混乱，暴露出侦探本土化进程的伦理困境。包探的伦理身份十分模糊，他们虽有“侦探”之名，但出身三教九流，因此被认为是“上海的大流氓”（98）。包探的职业伦理素养亦不够，他们缺乏专业精神，难免因循旧习，偶尔使用暴力。在金戒指案中，包探虽在无证据时不敢对小学徒动粗，但当他在孩子身上发现了一张典当金戒指的当票，自以为铁证在握后，便凶相毕露，“随手又是一掌，打得那孩子霎时间昏天黑地”（112）。

周桂笙在《歇洛克复生侦探案》的“弁言”中无奈地承认：“外人伸张治外法权于租界，设立警察，亦有包探名目，然学无专门，徒为狐鼠城社”（85）。如此看来，周氏尝试将“包探”塑造为本土侦探的“萌芽”，实属无奈之举，因理想与现实之间存在巨大鸿沟。正如周桂笙《上海侦探案》中所言，租界巡捕房“从来没有一个侦探学堂，亦不收一个侦探学生”（97），“捕

1 参见战玉冰：《现代与正义》，上海：上海社会科学院出版社，2022年，第9-10页。

快都是贼出身”的局面并未得到解决。周氏进一步将希望寄托在预备立宪之后警察队伍的建设上，强调侦探职业化可革除包探之弊，“我们居住租界上的人民，不应该看轻这侦探的效用，把一件极要紧的事情，交托在下流社会中，譬如一艘极大的公司轮船，却叫一个水手去当船主”（111）。他认为，希望个人英雄般的侦探能力挽狂澜，是不切实际的，开办侦探学堂，才能实现“将来中国侦探布满了全国”（101）的愿景。这正是其创作《上海侦探案》的初衷——宣传司法改革，实现国家法律制度现代化的伦理选择。

紧随其后的民国侦探小说家赓续了周桂笙的“上海侦探”写作模式。上海租界五方杂厝，产生了独特的都市伦理环境，周桂笙在《上海侦探案》中表明，“如今要说上海的侦探，先要请问这侦探是怎么会有，不必说是外国人租地开辟界以后，渐渐教导出来的”（96）。上海的都市伦理环境，催生出了本土侦探的萌芽。程小青笔下的大侦探霍桑，孙了红的侠盗鲁平等，都聚焦上海本土都市空间这一伦理环境；陈景韩的《歇洛克初到上海第一案》、包天笑的《歇洛克初到上海第二案》、刘半农的《福尔摩斯大失败》系列等，则假拟福尔摩斯来上海后水土不服的经历，调侃间揭示了上海都市空间作为侦探小说本土化的首要伦理环境。《侦探》《大侦探》《侦探世界》等民国主要侦探杂志皆出版于上海，折射出上海独特的都市空间，催生上海成为侦探小说本土化最佳的伦理环境。以《上海侦探案》为滥觞，本土侦探小说或原创或仿写，昭示了这一文类本土化的无限可能性，而周桂笙对上海都市空间伦理环境中本土侦探伦理的发掘，以及对中国社会革命的隐微书写，更是起到了发轫之功。

侦探小说在晚清的译入，体现了文学“改良群治”的伦理教诲功能。周桂笙作为积极“输入新文明”的翻译家，敏锐地意识到西方侦探小说中的侦探与中国传统公案小说中清官的不同，这种差异不仅仅体现在探罪手段科学与否的职业伦理素养，更体现在为谁服务的伦理价值理念和伦理身份上。这为当时的社会改良提供了一个崭新的伦理选择，即反对专制统治，推动司法进步。而《上海侦探案》作为本土侦探小说的发轫之作，塑造了相对独立的探罪主体——包探，其进步性昭示出对国家现代化的憧憬；但囿于晚清社会混乱的伦理秩序，包探难以成为真正的现代侦探，侦探本土化陷入伦理困境。但《上海侦探案》开创了“上海侦探”的写作模式，初步发掘了上海都市空间的伦理环境，显示出侦探小说在中国的蓬勃生命力。

Works Cited

阿英：《晚清小说史》。南京：江苏凤凰文艺出版社，2017年。

[A Ying. *History of Novels in Late Qing*. Nanjing: Jiangsu Phoenix Literature and Art Publishing, Ltd., 2017.]

杜婉言：“明清社会礼大于法造成的冤案”，《炎黄春秋》9（1997）：76-77。

[Du Wanyan. “Unjust Cases in the Society of Ming and Qing Dynasty Due to the Rites Overweight Law.” *Journal of Yanhuang Chunqiu* 9 (1997): 76-77.]

黄立新：“简论古典小说中的清官形象”，《上海大学学报（社会科学版）》2（1996）：51-56。

[Huang Lixin. “Brief Review on the Image of Upright Official in Classical Chinese Novels.” *Journal of Shanghai University (Social Sciences Edition)* 2 (1996): 51-56.]

黄永林：“中国‘公案小说’与西方‘侦探小说’的比较研究”，《外国文学研究》3（1994）：41-45。

[Huang Yonglin. “Comparative Research of Chinese Court-Case Fiction and Western Detective Stories.” *Foreign Literature Studies* 3 (1994): 41-45.]

菊池幽芳：“电术奇谈”，东莞方庆周译述，《新小说》5（1905）：93-104。

[Kikuchi, Yuhou. “The Hypnotism.” Translated by Dong Guan Fang Qing Zhou. Edited by Zhou Guisheng. *New Fictions* 5 (1905): 93-104.]

梁启超：《梁启超全集》。北京：北京出版社，1999年。

[Liang Qichao. *The Complete Works of Liang Qichao*. Beijing: Beijing Publishing Group, 1999.]

吕小鲜选编：“嘉庆年间皂役及其子孙冒捐冒考史料”，《历史档案》1（1998）：29-37。

[Lyu Xiaoxian ed. “Historical Material of Illegal Examinee and Donor Officer of Yamen Runners’ and Their Descendants During the Reign of Jiaqing.” *Historical Archives* 1 (1998): 29-37.]

刘宗珍：“清末民权思想的发生”，《人大法律评论》1（2019）：329-347。

[Liu Zongzhen. “The Occurrence of Civil Rights Thought at Late Qing Dynasty.” *Renmin University Law Review* 1 (2019): 329-347.]

苗怀民：《中国古代公案小说史论》。南京：南京大学出版社，2005年。

[Miao Huaimin. *History of Chinese Gong'an Fiction*. Nanjing: Nanjing UP, 2005.]

Nie Zhenzhao. “Ethical Literary Criticism: A Basic Theory.” *Forum for World Literature Studies* 2 (2021): 189-207.

聂珍钊：“文学伦理学批评：基本理论与术语”，《外国文学研究》1（2010）：12-22。

[—, “Ethical Literary Criticism: Its Fundaments and Terms.” *Foreign Literature Studies* 1 (2010): 12-22.]

—, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection.” *Forum for World Literature Studies* 3 (2021): 383-398.

——：《文学伦理学批评导论》。北京：北京大学出版社，2014年。

[—, *Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]

聂珍钊、王松林：《文学伦理学批评理论研究》。北京：北京大学出版社，2020年。

[Nie Zhenzhao and Wang Songlin. *A Study on the Theory of Ethical Literary Criticism*. Beijing: Peking UP, 2020.]

尚必武：“文学伦理学批评：伦理选择、伦理意识与伦理行动”，《文学跨学科研究》1（2021）：

22-30。

[Shang Biwu. "Ethical Literary Criticism: Ethical Choice, Ethical Consciousness, and Ethical Action." *Interdisciplinary Studies of Literature* 1 (2021): 22-30.]

魏艳：《福尔摩斯来中国：侦探小说在中国的跨文化传播》。北京：北京大学出版社，2019年。

[Wei Yan. *Sherlock Holmes in China: Cross-Cultural Communication of Detective Fiction in China*. Beijing: Peking UP, 2019.]

伍国庆选编：《毒蛇圈》。长沙：岳麓书社，1991年。

[Wu Guoqing, ed. *In the Serpents' Coils*. Changsha: Yuelu Press, 1991.]

杨绪容：“吴趼人与清末侦探小说的民族化”，《华中师范大学学报（人文社会科学版）》2（2010）：114-119。

[Yang Xurong. "Wu Jianren and the Nationalization of Detective Novel in Late Qing." *Journal of Huazhong Normal University (Humanities and Social Sciences)* 2 (2010): 114-119.]

——：“周桂笙与清末侦探小说的本土化”，《文学评论》5（2009）：184-188。

[—."Zhou Guisheng and the Localization of Detective Fiction in Late Qing." *Literary Review* 5 (2009): 184-188.]

周桂笙译述：“妒妇谋夫案”，《月月小说》6（1907）：143-167。

[Zhou Guisheng, trans. "The Mariticide Case." *The All-Story Monthly* 6 (1907): 143-167.]

——：“毒蛇圈”，《新小说》9（1904）：123-133。

[—."In the Serpents' Coils." *New Fictions* 9 (1904): 123-133.]

——：“毒蛇圈”，《新小说》11（1904）：119-129。

[—."In the Serpents' Coils." *New Fictions* 11 (1904): 119-129.]

——：“革命说与立宪说之论评”，《月月小说》8（1907）：215-219。

[—."On Revolution and Constitutionalism." *The All-Story Monthly* 8 (1907): 215-219.]

——：“红痣案”，《月月小说》11（1907）：101-122。

[—."The Red Nevus Case." *The All-Story Monthly* 11 (1907): 101-122.]

——：“上海侦探案”，《月月小说》7（1907）：91-118。

[—."Shanghai Detective Case." *The All-Story Monthly* 7 (1907): 91-118.]

——：“歇洛克复生侦探案”，《新民丛报》7（1904）：85-105。

[—."The Six Napoleons." *The New People's Gazette* 7 (1904): 85-105.]

周琰：《清代捕役的官方规制》，2021年。西南政法大学，硕士论文。

[Zhou Yan. *The Qing Dynasty's Official Regulation on Yamen Runner*. 2021. Southwest University of Political Science and Law, Master Degree dissertation.]

战玉冰：《现代与正义：晚清民国侦探小说研究》。上海：上海社会科学院出版社，2022年。

[Zhan Yubing. *Modernity and Justice: A Study of Detective Stories in Late Qing and the Republic of China*. Shanghai: Shanghai Academy of Social Science Press, 2022.]

A Study of East Asian Ghost Stories and Healing in Bora Chung's *Midnight Timestable*

Ma Chunyu & Choe Changruk

Abstract: While mainstream science fiction (SF) often prioritizes techno-scientific speculation, ghost stories have long been marginalized as a subgenre confined to superstition and the grotesque. This study argues that contemporary East Asian SF writers, such as Korean writer Bora Chung in *Midnight Timestable*, reclaim the ethical significance of ghost stories as a distinctive literary genre. Specifically, this paper contends that Chung reconceives East Asian ghost stories not merely as a trope of vengeance but as a framework for ethical healing that challenges the dehumanizing logic of capitalist rationality and the structural oppression it generates. By using the East Asian philosophical imagination, Chung constructs an alternative fictional world that integrates rational thoughts with ethical reflection, presenting this integration as a path towards healing amid contemporary predicaments.

Keywords: East Asian ghost stories; *Midnight Timestable*; the Tree of Life; healing

Authors: Ma Chunyu is Lecturer in the English Department at Yanbian University, specializing in the SF and comparative literature (Email: cindy5116@163.com).

Choe Changruk is Professor of Korean Department at Nanjing University. His work focuses on contemporary Korean literature and comparative literature (Email: cuichangle@nju.edu.cn).

标题：郑宝拉《午夜时刻表》中东亚鬼故事书写与治愈叙事研究

内容摘要：主流科幻小说常侧重于科技层面的想象，而鬼故事被视为迷信与怪诞题材的亚类型，其文学价值长期被边缘化。本研究以韩国作家郑宝拉的《午夜时刻表》为核心文本，探讨当代东亚科幻作家创作的鬼故事所蕴含的伦理内涵，并论证此文类伦理价值的重要性。具体而言，郑宝拉对鬼故事的重构使鬼故事不再仅停留在复仇叙事中，更将其重塑为承载伦理治愈功能的文类，并借以批判资本主义理性的非人化逻辑及其衍生的结构性压迫。与此同时，作家借助东亚哲学想象，构建出融合理性思考与伦理反思的虚构文学世界，为身处困境中的人们指出一条疗愈之路。

关键词：东亚鬼故事；《午夜时刻表》；生命之树；治愈

作者简介：马春玉，延边大学外国语学院英语系讲师，研究方向为科幻文学

与比较文学；崔昌笏，南京大学朝鲜语言文学系教授，研究方向为韩国现代文学与比较文学。本文为吉林省高教所课题“高校科幻文学教育现状分析与其教学内容研究”【项目批号：JGJX2023D70】的阶段性成果。

Introduction

Midnight Timetable (한밤의 시간표, 2023) consists of seven interconnected short stories narrated by a newly appointed employee of a strange “research institute” that stores haunted objects. Its author, Bora Chung, is a prolific South Korean writer, translator, and social activist. She received considerable international attention when her *Cursed Bunny* (2021), translated by Anton Hur, was shortlisted for the 2022 International Booker Prize. As the prize citation reads, she presents a genre-defying collection of short stories that blur the lines between magical realism, horror, and science fiction.¹ Although Chung’s works have a significant presence in popular media, scholarly engagement remains limited. Most critical analysis in South Korea appears in reviews, articles, and interviews. Among these, Sehee Park points out that *Midnight Timetable* offered a sharp critique of irrational elements within contemporary society.²

Although Chung is primarily known as an SF writer in Korea, her works frequently engage with ghost stories. For instance, her novel *Fox* (호, 2017) retells the Korean traditional myth of a nine-tailed fox spirit. Her literary tendency aligns with a broader resurgence of ghost stories in contemporary popular culture across East Asia. Such a revival not only revitalizes traditional cultural elements but also facilitates deeper exploration of contemporary human and societal conditions. For example, the 2024 film *Exhuma* (파묘) attracted considerable global attention. Shamans, rather than being relegated to the margins of superstition, are portrayed as positive characters who serve as crucial intermediaries between the spectral and human realms. Their belief systems are viewed not as superstitions but as alternative modes of understanding, separate from modern scientific paradigms. Similarly, a resurgence of interest in ghost stories has occurred in China, especially amid the boom of popular culture. This is seen in Zhang Muye’s online novel series, *Candle in the Tomb* (鬼吹灯, 2006-2008). In Japan, Yumemakura Baku is known as an SF writer whose multi-volume ghost story series *Onmyoji* (おんみょうじ, 1988-

1 See The Booker Prizes, 2022. Available at: <https://thebookerprizes.com/the-booker-library/books/cursed-bunny>. Accessed 17 May 2026.

2 See Sehee Park, “Book Review: Dating Violence, Animal Experimentation... Stories of Cursed Things,” *Munhwa Daily*, 9 June 2023. Available at: <https://munhwa.com/news/view.html?no=2023060901032012082001>. Accessed 17 May 2026.

2007) has achieved enduring popularity across East Asia. Building on this success, his novel *Shamon Kukai Feasts with Demons in the Tang Dynasty* (沙門空海唐の国にて鬼と宴す, 2004), was adapted into the movie *Legend of the Demon Cat* (妖猫伝, 2017), directed by the Chinese filmmaker Chen Kaige.

Much like SF writer Baku, Chung deliberately addresses contemporary readership through ghost stories. This resurgence of traditional motifs in East Asian popular culture provides a lens for examining evolving societal values and epistemological perspectives. The central argument of this study is that Chung redefines the significance of ghost stories by situating *Midnight Timetable* within the broader context of a regional revival of ghost storytelling and by integrating East Asian imagination with Western rationality. Specifically, her work illustrates a shift from themes of vengeance to ethical healing.

I. “Research Institute” and the Death of “Chaotic” World

The “research institute” in *Midnight Timetable* is not a conventional scientific center but a vault for storing haunted objects away from the real world. Contrary to its presence in the real world, the institute does not follow the logic of scientific rationality. This heterogeneous space straddles the boundary between the real world and the spiritual one. Objects, like a handkerchief, stuffed animals, and a jacket from an accident, transcend their material form to represent ghostly narratives.

Significantly, the director of the institute himself is a ghost. His mission is to protect the boundary between the spiritual and the real. The threshold between the two is the research institute’s underground parking lot. In the opening story of *Midnight Timetable*, “Do Not Enter Here,” the director imposes a strict restriction on all staff: the parking lot is off limits. Chanyi, a new employee, strays across the threshold on his motorbike on his way home and then enters a tunnel. The tunnel’s attributes deviate conspicuously from the conventions of the real world. The exit is elusive, and emergency exit signs are out of order: number 8 succeeds 4, and 6 is absent. Both the parking lot and the tunnel are governed by irrational principles distinct from the structured order of the rational world. The disorderly and incomprehensible nature of this realm inherently evokes fear. Chanyi, overwhelmed with fear, picks up the emergency phone in the tunnel. However, instead of offering aid, the interlocutor on the line is preoccupied with inquiries concerning Chanyi’s funeral arrangements and veterinary services. A similar case occurs when a senior colleague meets the director for the first time. While descending the staircase to the underground parking lot, she witnesses a series of uncanny phenomena: the stairway begins to distort, producing a mounting sense of dread. As she attempts to

rationalize the irregularity, the anomalies intensify in scale. At the height of danger, she hears the director's voice instructing her to ascend; she flees upstairs at full speed and narrowly escapes. In this story, the underground parking lot functions as a gateway to the realm of the dead, a site where human rationality collapses and order gives way to chaos.

However, in the real world, the dominance of Western scientific rationality has long rejected what it defines as "chaos," including irrationality, superstition, and East Asian culture. Ghost stories fall victim to this dismissal. However, in East Asian imagination, ghosts are not merely supernatural beings; they are also manifestations of unresolved injustice. Shamanism holds that ghosts linger in the earthly realm when something prevents their passage into the afterlife, as exemplified by the nineteenth-century Korean legend of "Arang," one of the most influential local ghost stories, centered on a murdered maiden whose spirit returns for revenge and justice.

This dynamic has traditionally positioned ghost tales as vehicles for social critique rather than mere horror entertainment. However, this critical potential was systematically disavowed with the consolidation of modern rationalism. At this point, both ghost stories and shamanism were labeled as superstitions. As Junsik Choi notes, shamanism should not be reduced to superstition; rather, it constitutes a religious practice centered on acknowledging and mediating spiritual presences, a fundamental dimension of Korea's spiritual heritage.¹ For context, although shamanistic practices were suppressed during the Goryeo period under the expansion of Confucianism, and further marginalized throughout the Joseon era by Neo-Confucian state ideology, they persevered as a vital form of popular religion until at least the eighteenth century. The nineteenth century, however, marked a decisive rupture. Specifically, Enlightenment thought and modern science introduced Western cultural frameworks, particularly Christianity and scientific rationalism, which fundamentally restructured Korea's epistemic landscape. As a consequence, both shamanistic beliefs and ghost stories were pathologized and gradually faded out from modern Korean literature. In this way, the history of Korean shamanism serves as a paradigmatic case of the supplanting of "irrational" traditional worldviews by "rational" modern epistemologies.

Once rational order prevails, the irrational "chaos" yields to power and loses its vitality. The ancient Chinese philosopher Chuang Tzu famously recounts a fable concerning Chaos,

1 See Junsik Choi, *Mugyo: The Fundamental Beliefs of Koreans Rejected by Political Power*, Seoul: Mosineun Saramdae Publishing, 2016, 95.

The Emperor of the South Sea was called Shu [Brief], the Emperor of the North Sea was called Hu [Sudden], and the Emperor of the central region was called Hun-tun [Chaos]. Shu and Hu, from time to time, came together for a meeting in the territory of Hun-tun, and Hun-tun treated them very generously. Shu and Hu discussed how they could repay his kindness, “All men,” they said, “have seven openings so they can see, hear, eat, and breathe. But Hun-tun alone doesn’t have any. Let’s try bringing him some!” Every day they bored another hole, and on the seventh day, Hun-tun died. (97)

In this fable, Shu and Hu create holes (their order) for Hun-tun out of good intentions, which results in Hun-tun’s unexpected death. In other words, enforcing rational order destroys the world of chaos. The fable also suggests that Shu and Hu fail to recognize the special order of Hun-tun’s world. A similar situation occurred during the Enlightenment era. This period marks the dominance of Western rationality as the primary cultural force, systematically marginalizing traditional East Asian belief systems, such as shamanism and mystical cosmologies, that could not be empirically verified. Thus, the Enlightenment promise of emancipation through reason shifted into a regime of instrumental rationality, in which knowledge was valued not for its liberatory potential but for its utility in optimizing control and efficiency. Following this logic, rationality hardened into a closed system of fixed rules and cold calculations, tolerating no deviation. In turn, this rationalism constituted a dominant way of thinking that elevated certain forms of subjectivity while invalidating others. When examined more closely, its constitutive exclusions manifested as masculinism, Eurocentrism, and scientific dogmatism, epistemic frameworks that hierarchized difference and legitimized systemic inequalities. Consequently, what presents itself as universal reason operates instead as a mechanism of social discrimination, naturalizing oppression in the name of progress and objectivity.

Through *Midnight Timetable*, Chung leverages the East Asian imagination to break the facade of the contemporary rational world, exposing the violence and legitimized oppression that underpin it. The research institute in the story marks the limits of Western rationality; it is a liminal space where the rule of reason ceases to function, and the distinctly East Asian “irrational” takes hold. The title, *Midnight Timetable*, suggests that conventional rationality operates according to the logic of the “day,” but the ghost research institute follows the order of the “midnight.” In this sense, the “midnight” is not merely a time of darkness, but a temporal sanctuary

for the repressed logic of the East Asian imagination.

II. The Structural Oppression in the “Day System”

Ghost stories do not just invert rational order; they give refuge to those exiled in the real world. This is especially clear in East Asian ghost lore, where female spirits return to seek legal justice for their wrongful deaths. These figures hover in the space between life and death. Similarly, the “midnight” order of Chung’s research institute is marginalized within social and academic structures. This parallel shows that both the female ghosts and the institute sustain exclusion and tension. Hyejin Jeon unveils the underlying veracity concealed within the enduring tales of female spirits handed down through generations.¹ She argues that these ghost narratives fundamentally represent the injustices suffered by women, victims of societal crimes. However, trapped between life and death, these ghosts give voice to the untold. They reveal what women were once forced to hide, their eyes covered and their mouths sealed shut.² The common theme of vengeful female spirits and revenge in traditional ghost narratives stems from pent-up resentment resulting from gender oppression. In this light, ghost stories function as narrative tools of grievance: they provide a discursive outlet for wrongs that, rendered unspeakable or unwitnessed, can finally manifest through the haunting tales.

In “The Blue Bird,” Chung reconstructs a tragic odyssey rooted in the historical displacement documented in the *Samguk Yusa*. The story follows a noblewoman’s infant who survives a massacre by an enemy general. The child, left with a permanent disability in her left hand, is raised by a benevolent couple and grows up to become a skilled embroiderer. When her talent is discovered, she is forced to make a handkerchief for the wedding of the general’s son. The son’s twisted obsession with the maiden is revealed to be a sinister fetishization of her vulnerability. When the maiden rejects him, he kidnaps and locks her up, showing his power. While the wedding preparations proceed, with the maiden’s embroidered handkerchief dispatched as a ceremonial gift, a turning point occurs. During the bridal procession, the bride flees in horror after a flock of birds attacks her entourage. Upon hearing this news, the general’s son blames the maiden and attempts to kill her by slitting her throat. At that moment, the sky darkens, and birds, identical to the ones embroidered on the handkerchief, dive from the sky. The birds attack and kill the son and his parents. Here, the act of artistic creation transcends mere aesthetics, transforming the maiden’s handicraft into a literal instrument of

1 See Hyejin Jeon, *Women Becoming Ghosts*, Seoul: Hyeonamsa, 2021, 24.

2 See Hyejin Jeon, *Women Becoming Ghosts*, Seoul: Hyeonamsa, 2021, 19.

divine retribution.

As Chung notes, this tale derives from the trauma of refugees fleeing the fall of Gaya to Silla.¹ Yet, as the stories imply, such oppression did not disappear in the twenty-first century; rather, it has been reconfigured in a patriarchal capitalist society. Specifically, through the harrowing backstory of the deputy director in “The Silence of the Lambs,” the narrative lays bare the operation of systemic misogyny across generations. Before taking her post at the research institute, the deputy director worked in a sweatshop, and most of her earnings were used to repay her husband’s debts. As a result, she is trapped in a cycle of economic exploitation and lives in constant fear that her daughter will inherit not only financial indebtedness but also the structural conditions that perpetuate female subjugation. Her dread, therefore, is not merely a private neurosis; it stands as tangible evidence of the structural violence that continues to control women’s lives across time.

Every issue within the household flowed downward like a gutter, accumulating upon the most docile and submissive figure. In most cases, it was women’s vulnerable position that bore the weight of this gutter: daughters, daughters-in-law, mothers, and granddaughters. [...] They must sacrifice themselves to sustain the semblance of a family. In this manner, dysfunctional families exhibit similar patterns. (132)

Thus, the story argues that women are consistently relegated to the bottom of the social hierarchy. Under the patriarchal order, women are positioned as the sacrificial stratum. Their sacrifice upholds the family’s fragile structure. Besides the persecution of female ghosts, *Midnight Timetable* extends this structural oppression to non-human beings. The narrative unearths a mass grave of experimental lamb carcasses behind a veterinary school. This grave is next to the deputy director’s residence. These animals, used as experimental subjects, suffer from repeated artificial wounds, deliberate infections with pathogens, and toxication. Humans ruthlessly advance their own interests at the expense of animals. The lives of experimental animals become an endless chain of suffering, akin to that of a woman burdened with debt. Such systemic exploitation reduces living beings to expendable resources, mirroring the plight of the debt-burdened woman, each compelled to sacrifice their vitality for others’ gain.

Chung deepens her critique of the patriarchal and capitalist society in “Why Cats” by juxtaposing the victimization of a woman and an animal. Here, the story

1 See Bora Chung, *Midnight Timetable*, Seoul: Seagull Publishing, 2023, 239.

functions as a meditation on the predatory logic of human desires. After the sudden death of his close friend, a married man develops a romantic relationship with the grieving widow. At the beginning, he offers her comfort at the funeral. As she overcomes her grief with time, she decides to end their relationship. However, the man, unwilling to give up his sense of superiority and possessiveness over the woman's vulnerability, persistently badgers her with the one-sided question, "Why aren't you meeting me?"¹ Eventually, he kills her. The murdered woman returns as a ghost, standing in the man's house, confronting him silently. As his fear intensifies, the man seeks ways to expel the ghost. After hearing a ritual that a ghost could be expelled if a cherished item of the deceased is nailed to the place of death, the man revisits the deceased woman's house, kills her most beloved cat, and nails the cat's corpse to the head of the bed where the woman's body lies. The ghost does not appear for a while. However, the cat's spirit is trapped in a stuffed form at the research institution, constantly questioning, "Why did I have to die?" (218) This trajectory illustrates the metonymic nature of capitalist desires. Unlike pre-modern societies, which based social operations on basic needs, the capitalist system marks the first time in human history that insatiable human desires are embraced and effectively utilized as a driving force for social progress. The dark underbelly of this dynamic mechanism is the negative aspect of stimulating human greed, thereby fostering evil by fulfilling one's desires at the expense of others. The man's possessive desires for the widow and his killing of the cat reflect the commodity logic in the capitalist society, where life is merely a resource to be priced and discarded.

However, the story denies simple closure through sacrifice. After his wife gives birth to a boy, the man finds that his son bears a red birthmark resembling a nail mark on the dead cat. Years later, the boy chillingly questions his father over the killing of the cat, repeating the haunting phrase of the woman's ghost, "Don't go. [...] Die with me" (204). Extreme fear makes the man abandon his son at a dangerous pedestrian crossing, leading to the tragic death of his poor son in an "accident." Ironically, the man ends his days trapped in the dead woman's house, becoming a ghost himself, yet still unable to escape the structural confines of his own making. This story represents more than mere revenge; it is a structural collapse. Chung

1 Chung in this novel discusses the extensive history of male violence against women under the name of "why aren't you meeting me." For instance, it mentions cases "where men have violently intruded into women's homes, claiming them as their possessions, resulting in acts of aggression such as brandishing weapons (April 2021) and detonating self-made explosives (October 2020). Moreover, these male perpetrators have been known to escalate their violence beyond the targeted women, including their families as well." See Bora Chung, *Midnight Timetable*, Seoul: Seagull Publishing, 2023, 197.

dismantles the binary of oppressors and the oppressed to expose how capitalist desires trap all in violent cycles. In this system, even the perpetrator is not exempt from suffering; he, too, is devoured by the very anxiety and brutality he caused.

Extending the critique of structural oppression, “The Handkerchief” maps the process by which humans are reified into ghosts. This story begins with the funeral of a matriarch, who leaves her entire estate to her favored youngest son and disinherits her estranged eldest son and daughters. Entrusting her children with her final wish: to have her embroidered handkerchief buried with her, the mother inadvertently sets the stage for a perverse drama of possession. The youngest son becomes obsessed with the handkerchief, opposing his mother’s explicit request. As the narrator asks, “Why would an adult male, the youngest son, lust after a brightly colored woman’s handkerchief embellished with flowers and birds?” (55) This pathological obsession is similar to the general’s son in “The Blue Bird,” whose desires for the disabled maiden were driven not by genuine affection, but by a need for control. Consequently, the youngest son’s pursuit triggers a spectral metamorphosis. As he rummages through trash bags in search of the handkerchief, he is gradually consumed by his own obsession. His humanity erodes into a pallid, haunting ghost. Thus, the story completes the closed cycle of distortion. Within this oppressive system, even the oppressor also mutates into the very ghost that was trapped in the real and rational “day system.”

While the stories in *Midnight Timetable* may appear thematically discrete, they coalesce into a cohesive critique of the “Day System,” portrayed as an inexhaustible and transgenerational tragedy. Though narratives like “The Blue Bird” and “The Handkerchief” lack direct plot continuity, they converge in their deployment of the possessed object, the handkerchief. It functions as a condensation of unresolved grudges and desires that transgress temporal boundaries. This persistence of malice lays bare the inherently insatiable nature of human need. Crucially, Chung reframes the vengeful ghost not merely as a vestige of the past, but as a custodian of generations. This narrative strategy dismantles the transgenerational chain of tragedy, a condition not rooted in natural deficiency but imposed by the contemporary rational order. Consequently, Chung leverages the East Asian imagination to carve out a liminal space beyond the reach of rational reason, suggesting that what truly haunts the living is not death itself, but the endless repetition of structural oppression in the “Day System.”

III. The Tree of Life and Healing

If the “Day System” represents the triumph of a rationality that severs

connections and perpetuates oppression, its roots lie in a primordial choice between two modes of being: the pursuit of knowledge versus the embrace of life. To fully grasp how rational order generates such transgenerational tragedy, it is necessary to situate Chung's narrative within a broader civilizational dialectic. Gao Xudong frames the central dichotomy in terms of the biblical story of Eden: The Tree of Knowledge and the Tree of Life. Western civilization, or modernity dominated by the West, chose the Tree of Knowledge, privileging analytic reason. Ancient East Asian civilizations, by contrast, opted for the Tree of Life, emphasizing ethics and aesthetics.¹ Gao makes this dichotomy explicit: science as the fruit of knowledge, ethics, and aesthetics as the fruit of life.² Maneuvering within the generic confines of the ghost story, Chung conducts a speculative thought experiment³ in her ghost stories like SF writers. Drawing on the experiment, she suggests that the path to the Tree of Life is a long, labyrinthine process.

This split manifests in stories such as "Do Not Enter Here," in which the protagonist, Chanyi, is ensnared in a labyrinth that serves as "an archetype of the maternal unconscious⁴." This space, as mentioned above, encodes the tension between rational consciousness and the irrational depths of the self. Navigating its Möbius strip-like topology demands a radical perceptual shift: abandoning control in favor of acceptance. Moreover, the warning "Do Not Enter Here" operates as a caution against approaching the unknown through binary lenses, marking the shift from one mode of perception to another. If Chanyi's dilemma illustrates the failure of perception in the Chaos, a contrasting dynamic emerges in "The Cursed Lamb." Its protagonist, a YouTuber, sneaks into the research institute to film the place for entertainment and fame. Regardless of the institute's rules and the director's warning, he even steals a pair of sneakers. As he enters the parking lot, he meets a bug-like creature and only then realizes he's wearing the stolen shoes. Initially believing he can simply kill the tiny creature, he finds that it cannot be killed; instead, it grows larger, becomes more dangerous, and then strikes back. This moment signals that the hierarchical order—man over woman, human over animal, possessor over possessed—does not apply here. In this sense, the stolen sneakers function as more than personal spoils; they are the material anchor of a predatory logic that confuses appropriation for mastery.

1 See Gao Xudong, *Tree of Life and Tree of Knowledge*, Beijing: Peking University Press, 2010, 4-7.

2 See Gao Xudong, *Tree of Life and Tree of Knowledge*, Beijing: Peking University Press, 2010, 7.

3 See Ursula Le Guin, *Dancing at the Edge of the World: Thoughts on Words, Women, Places*, New York: Grove Press, 1997, 9.

4 See Joseph L. Henderson, "Ancient Myths and Modern Man," *Man and His Symbols*, edited by Carl G. Jung, New York and London: Anchor Press, 1964, 125.

Chung seeks to reconcile the split trees. She re-roots ethics and aesthetics in a rationalized world and offers the ghost story as an effective way to bridge the Cartesian divide. In contrast to Chung's human characters, who are often trapped by their own desires, her ghostly characters frequently emerge as agents of empathy and liberation. Instead of being trapped in the perpetuating cycles of violence, the lamb ghost intervenes to break the chain of tragedy in the "Day System." By granting the deputy director the ability to perceive the invisible, the lamb ghost empowers her to escape domestic abuse and protect her daughter. Crucially, the lamb ghost's intervention operates not through the possessive logic of the Day System. Instead, it works through the integrative mechanism of the Tree of Life, prioritizing relationality over domination. In Chung's stories, the staff at the research institute do not seek to explain, categorize, or control haunted objects as scientists do; rather, they act as their guardians, maintaining a delicate, permeable threshold between two worlds. At the same time, the research institute stands not only as a gateway to the irrational world but also as a sanctuary for society's outcasts, offering them a space to dwell and time to heal. More profoundly, its meticulously crafted heterogeneous space does more than advance the narrative; it emerges as a quiet rebellion against contemporary mechanized society. Within this unique space, the marginalized find a sanctuary beyond the reach of oppressive systems. Moreover, it provides an opportunity for people who have been marginalized by mainstream society to make a fresh start. For example, Sook, a woman who has endured a lifetime of societal ostracism as a cleaning lady. After her husband's fatal accident, she raised three children alone. When her husband's insurance payment runs out due to her youngest child's illness, she has to do two jobs, by day at a part-time job, by night at the research institute. Unlike other workplaces, the institute does not discriminate on the grounds of social class and provides Sook with a foundation for navigating the complexities of society. Through her perseverance, she manages to secure a better education for her elder children and accumulates enough money to afford medical treatment for her ailing youngest child. Thus, the institute does not merely offer shelter; it restores the Tree of Life, allowing those crushed by the logic of profit to revitalize themselves.

However, this requires a death-like ordeal: the merging of the "Day System" with the "Midnight System." Susan Sontag observes a pervasive tendency to treat others' pain as entertainment or as a source of relief¹, a phenomenon rooted in the division between the "I" and the "non-I." As Feng Youlan notes, the most

1 See Susan Sontag, *Regarding the Pain of Others*, New York: Picador Modern Classics, 2004, 126.

significant event in Western civilization was the recognition of the “I,”¹ which creates a division between the subjective realm and the objective world. This unbridgeable divide underlies core Western philosophical issues and calcifies into moral hierarchies. Ursula Le Guin characterizes Western civilization as a “yang” force, distinct from the “yin” of the East. She critiques the Western curse: the violent severance of yang from yin, coupled with the moralization of yang as “good” and yin as “bad.”² Unlike this dualistic paradigm, which conflates the logic of knowledge with the Tree of Life, ancient Chinese philosophy prioritizes the unity of man and nature (天人合一).³ This framework rejects the split, shifting the imperative from conquest to the reintegration of the “I” with the “non-I.” Chung exemplifies this integration by invoking a Korean Shaman (Mudang)⁴ to embody the ghost’s suffering and dissolve the boundaries between self and other through a process of “becoming-other.” Here, the Lamb’s compassion is not abstract benevolence but shared precarity; having endured similar trauma, it sympathizes with the Deputy Director’s pain. Similarly, Chanyi undergoes a change following the tunnel accident. Fractured by internalized homophobia and social abuse, he has rejected Gak’s love because he could not accept himself as gay. However, his survival in the tunnel accident marks a turning point: he accepts Gak’s love, signifying unity with his own nature. Healing, ultimately, is achieved through acknowledgment of one’s true nature, not domination.

Moreover, in this collection, the author, like her ghost characters, acts as a Mudang-like figure, embodying others’ pain and telling their stories. As Han Byeongcheol explains, healing occurs when patients are freed from blockages that prevent them from sharing their stories.⁵ By taking on the role of voicing spirits who cannot speak, the author mirrors the Mudang, who communicate with ghosts and act as their mouthpiece. In the “Author’s Note” to *Cursed Bunny*, Chung articulates,

I wanted to tell the reader that death, vengeance, or revenge may be necessary

1 See Feng Youlan, *History of Chinese Philosophy* Vol. I, Beijing: The Commercial Press, 2011, 9.

2 See Ursula Le Guin, *Dancing at the Edge of the World: Thoughts on Words, Women, Places*, New York: Grove Press, 1997, 16.

3 See Gao Xudong, *Tree of Life and Tree of Knowledge*, Beijing: Peking University Press, 2010, 33.

4 “Mudang (무당)” in Korean is clearly identified in historical texts such as *Samguk Sagi* and *Samguk Yusa* from the Goryeo period. These records illustrate the rituals conducted by Mudang, including interpreting unusual events, fortune-telling for the future, treating illnesses, and communicating with the deceased. See National Institute of Korean History, *Musok, Connecting God and Humans*, Seoul: Kyungin Publishing, 2011, 68.

5 See Byeongcheol Han, *The Crisis of Narrative*, translated by Jisu Choi, Seoul: Dasan Books, 2023, 114.

in some cases, but that even after the necessary work is done, the world will remain lonely; humans will still feel lonely, and this fact will never change. However, in this loneliness, I wanted to comfort the lonely readers who struggle alone in this strange and ferocious world. (326)

Crucially, the act of telling the pain of “others” is an ethical act. As Nie Zhenzhao points out, ethical selection is what sets humans apart from animals.¹ However, the contemporary age has witnessed a spectral transformation in humans, who often exist as ghostlike creatures stripped of their humanity. In this context, literature serves as a vital moral compass for both material and spiritual existence², perpetually probing how to be a moral subject. By giving voice to ghosts, Chung effectively reflects our own image to us. Her stories show that the lonely struggle against oppression and the pursuit of healing is not just for living. These are shared ethical experiences that help define our humanity.

Conclusion

In *Midnight Timetable*, ghosts are not simply remnants of the dead. Instead, they are inhabitants of the Night, a realm that is the ontological opposite of the Day and embodies darkness and mystery. Chung’s ghost stories explore these realms, utilizing spirits as mediators between two distinct worlds. The Night and Day represent opposing yet interconnected realities. She reveals the terrifying realities generated by structural oppression and shows how humans would become ghosts through the distorted expression of greed. Real terror does not reside in the ghosts themselves, but in the ferocious desires of the living and the fearful reality we construct. Chung’s ghost stories also offer alternatives to alienation and reversal. Transcendence echoes shamanistic practices that routinely cross boundaries between worlds. This leads to the central philosophical axis: the integration of the Tree of Knowledge and the Tree of Life. The Tree of Knowledge, symbolizing Western scientific rationality, represents an epistemology of domination and binary opposition. The Tree of Life, by contrast, symbolizes a view of nature as a web of interdependence. The crisis arises from a pathological split, an imbalanced world full of yang or yin. Chung challenges Western logocentrism and dualism with a primal East Asian perspective. In this way, she advocates merging “I” and “non-I,” subjectivity and objectivity, so that they are no longer estranged from one another.

1 See Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383.

2 See Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 191.

The ghosts and the author emphasize the unity of separation. They break down barriers between humans and non-humans, offering a perspective that is neither human-centered nor limited by dualism. Healing comes after the dissolution of hierarchical binaries and the relinquishment of control.

In the concluding story, “A Sunny Day,” the research institute exposes preserved objects to the sunlight. A stuffed cat and sheep bask peacefully, their wounds healing. One day, the director’s jacket expels transparent, sharp glass shards and ignites only after the last grudge is released. This “Sunny Day” is not a return to the ignorant bliss of the “Day System.” Instead, it is a purified midnight, a liminal space where glass shards of history are expelled, freeing the ghosts from their entrapment, while humanity remains human.

Returning to the broader cultural context, it is noteworthy that contemporary East Asia—China, Korea, and Japan—witnesses a revival and reinterpretation of traditional ghost stories. This revival opens new horizons for understanding the human condition. Chung’s *Midnight Timetable* stands as a testament to this shift. It is a “ghostly cartography”: an imaginative map charting emotional and existential pathways. It leads us back to the Tree of Life, rekindling the call of ethical responsibility. To live, one must listen to voices ignored in the “day system.” In this sense, East Asian ghost stories by SF writers have conducted a scientific thought experiment: What if these two divided trees could be integrated into an integrated whole? They uphold the Tree of Knowledge, symbolizing logic and empiricism, which should join with the Tree of Life, representing wisdom and vitality, to bear healthy fruit. Chung redefines healing not as taking revenge but as accepting nature as it is. The ghosts in her collection function as mirrors reflecting our oppression and vulnerability and demonstrate that seeking unity amidst loneliness is a universal human journey.

Works Cited

- 정보라: “작가의 말”, 《저주토끼》. 서울: 아작, 2017 년, 325-326.
 [Chung, Bora. “Author’s Note.” *Cursed Bunny*. Seoul: Azak, 2017. 325-326.]
 —. *Cursed Bunny*, translated by Anton Hur. Stockport: Honford Star, 2021.
 —: 《한밤의 시간표》. 서울: 갈매나무, 2023 년.
 [—, *Midnight Timetable*. Seoul: Seagull Publishing, 2023.]
 최준식: 《무교 - 권력에 밀린 한국인의 근본신앙》. 서울: 도서출판 모시는 사람들, 2016 년.
 [Choi, Junsik. *Mugyo: The Fundamental Beliefs of Koreans Rejected by Political Power*. Seoul: Mosineun Saramdae Publishing, 2016.]
 冯友兰: 《中国哲学史》第 1 卷. 北京: 商务印书馆, 2011 年.

[Feng Youlan. *History of Chinese Philosophy* Vol. I. Beijing: The Commercial Press, 2011.]

高旭东: 《生命之树与知识之树》。北京: 北京大学出版社, 2010 年。

[Gao Xudong. *Tree of Life and Tree of Knowledge*. Beijing: Peking UP, 2010.]

한병철: 《서사의 위기》。서울: 다산북스, 2023 년。

[Han, Byeongcheol. *Die Krise der Narration*, translated by Jisu Choi. Seoul: Dasan Books, 2023.]

Henderson, Joseph L. "Ancient Myths and Modern Man." *Man and His Symbols*, edited by Carl G. Jung. New York, London: Anchor Press, 1964. 104-157.

전혜진: 《여성, 귀신이 되다》。서울: 현암사, 2021 년。

[Jeon, Hyejin. *Women Becoming Ghosts*. Seoul: Hyeonamsa, 2021.]

Le Guin, Ursula. *Dancing at the Edge of the World: Thoughts on Words, Women, Places*. New York: Grove Press, 1997.

국사편찬위원회: 《무속, 신과 인간을 잇다》。서울: 경인문화사, 2011 년。

[National Institute of Korean History. *Musok, Connecting God and Humans*. Seoul: Kyungin Publishing, 2011.]

Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.

—. "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.

박세희: "북리뷰: 교제살인, 동물실험... '귀신 씌 물건들' 의 기묘한 사연", 《문화일보》。2023 년 6 월 9 일。

[Park, Sehee. "Book Review: Dating Violence, Animal Experimentation... Stories of Cursed Things." *Munhwa Daily*, 9 June 2023. Available at: <https://munhwa.com/news/view.html?no=2023060901032012082001>. Accessed 17 May 2026.]

Sontag, Susan. *Regarding the Pain of Others*. New York: Picador Modern Classics, 2004.

The Booker Prizes. 2022. Available at: <https://thebookerprizes.com/the-booker-library/books/cursed-bunny>. Accessed 17 May 2026.

Tzu, Chuang. *The Complete Works of Chuang Tzu*, translated by Burton Watson. New York: Columbia UP, 1968.

米开朗琪罗诗画创作中的人文主义伦理思想

The Ethics of Humanism in Michelangelo's Poetry and Painting

应宜文 (Ying Yiwen)

内容摘要: 本文从诗画互文的视角总结米开朗琪罗从伦理启蒙、伦理困境、伦理选择向肩负社会责任的伦理转型。他的诗歌以壮怀见魂，绘画以壮美见义；他创绘天顶画表现人物“斯芬克斯因子”，力图建立文艺复兴人文主义伦理体系，其伦理价值和影响力助推欧洲市民阶层兴起；他的《末日审判》传播人文主义伦理观及革新思想，反映欧洲中世纪道德文化观念向近代人文主义伦理思想的嬗变；他具有诗人、画家、雕塑家和思想家的多重伦理身份；他的诗歌始终是其绘画的灵魂。本文旨在探究米开朗琪罗多重伦理身份融合而形成的人文主义伦理思想。

关键词: 米开朗琪罗；伦理身份；伦理困境；人文主义伦理观；诗画互文

作者简介: 应宜文，浙江传媒学院国际文化传播学院教授，主要研究方向为跨艺术诗学、艺术学理论、比较文学研究。本文为国家社会科学基金一般项目“米开朗琪罗诗歌跨艺术特质与文明互鉴研究”【项目批号：23BWW073】的阶段性成果。

Title: The Ethics of Humanism in Michelangelo's Poetry and Painting

Abstract: From the perspective of poem-painting intertextuality, this paper sorts out Michelangelo's ethical evolution: from ethical enlightenment, confronting ethical predicaments and making ethical choices, to ultimately undertaking social responsibilities. Michelangelo's poems embody inner spirit through noble aspirations, while his paintings interpret moral righteousness via sublime aesthetics. He created The Sistine Chapel Ceiling to express the 'Sphinx factor' in character, hoping to establish a Renaissance humanistic ethical system. The ethical value and influence of his poetry and paintings contributed to the rise of the European middle class. His painting Last Judgement promotes humanistic innovative ideas and the ethics of humanism. His integrated multiple ethical identities reflected in poetic and visual creations mirror the shift from medieval European moral and cultural notions to modern humanist ethical thoughts. He embodies the multifaceted ethical identities of a poet, painter, sculptor, and thinker but his poetry is the soul of his artistic

creation. This paper aims to explore Michelangelo's multiple ethical identities and the humanist ethical philosophy that emerged through the fusion of his poetry and paintings.

Keywords: Michelangelo; ethical identity; ethical predicament; the ethics of humanism; intertextuality between poetry and painting

Author: **Ying Yiwen** is Professor at the School of International Culture and Communication, Communication University of Zhejiang (Hangzhou 310018, China). Her academic research focuses on interdisciplinary studies on poems, art theory and comparative literature studies (Email: yingyiwen@vip.126.com).

“从历史的发展说，文艺复兴时期人文主义的伦理思想，构成了欧洲伦理学史上从中世纪发展到近代的一个重要环节”（聂珍钊 116）。作为思想解放运动的文艺复兴起源于意大利且逐渐波及整个欧洲，文学与艺术领域的伦理思想演进也应运而生。无论是文学家但丁（Dante Alighieri）或艺术家乔托（Giotto di Bondone），还是彼特拉克（Francesco Petrarca）、薄伽丘（Giovanni Boccaccio）、达·芬奇（Leonardo da Vinci）和拉斐尔（Raffaello Sanzio da Urbino），其创作成就主要呈现在文学领域或艺术领域，而同时囊括整体文学与艺术、真正体现“文艺”复兴的，则是米开朗琪罗·博纳罗蒂（Michelangelo Buonarroti）。

西方学者华莱士（William E. Wallace）在《米开朗琪罗：艺术家、其人及其时代》（*Michelangelo: The Artist, the Man, and His Times*, 2011）指出“米开朗琪罗的诗歌是文艺复兴时代最伟大的文学作品”（203）。从经典作品中可照见米开朗琪罗创作对后世的影响。莎士比亚十四行诗第24首便可能从米开朗琪罗的诗歌中汲取了灵感。布莱克（William Blake）十分钦佩米开朗琪罗，研摹并收藏他的作品；罗塞蒂（Dante Gabriel Rossetti）为他创作十四行诗《米开朗琪罗之吻》（“Michelangelo's Kiss”）。尽管诗人和学者们已经关注到了米开朗琪罗诗歌及其艺术的重要性及对他的作品的研究，但是，他们尚未从诗画互文的视角探讨米开朗琪罗的伦理身份、伦理困境及其人文主义伦理思想。

一、伦理启蒙与四重伦理身份建构

人的自然选择始于伦理混沌，因此需要启蒙。¹米开朗琪罗幼年时丧母，父亲不得已将他送到赛蒂纳诺（Settignano），由一位石匠（及其家庭）抚养。他虽出生贵族家庭，却未能在原生家庭中接受系统的伦理启蒙教育。据乔治·瓦萨里（Giorgio Vasari）和阿斯卡尼奥·孔迪弗（Ascanio Condivi）的传记所述：“他由奶妈抚养，奶妈的父亲是一位石匠，奶妈的丈夫也是一位石匠”（Cosmo

1 参见 Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 189-207.

5)。石匠一家潜移默化地影响了他，从掌握雕塑技艺乃至对艺术造型的审美熏陶，使他初步受到劳动伦理、手艺传承等世俗伦理启蒙并开始产生伦理意识。“人的身份是一个人在社会中存在的标识，人需要承担身份所赋予的责任与义务。身份从来源上说可以分为两种，一种是与生俱来的，如血缘所决定的血亲的身份。一种是后天获取的，如丈夫和妻子的身份。从起源上说，人的身份是进行自我选择的结果。”¹米开朗琪罗在诗中始终对雕塑倾注独特的情感，“我的美名，用雕塑告示人我仍然屹立”（杨德友 49）。他对待每一次创作都充满激情且一丝不苟，“把我提升到如此高度的只有美：我雕刻、绘画这高度，竭尽全力”（杨德友 65）。1488 年始，他先后在多梅尼科·吉兰达约（Domenico Ghirlandaio）和贝托尔多·迪·乔瓦尼（Bertoldo di Giovanni）那里做绘画学徒。其各个时期的诗歌创作，展现他对艺术的热衷，诗句在字里行间体现他的雕塑草图及其绘画形象的轮廓。儿时经历和他的秉性为他建立雕塑家、画家的伦理身份奠定了基础。

米开朗琪罗自幼热爱诗歌创作，他恰逢文学启蒙的契机，文学启蒙使他逐步超越伦理混沌的阶段。1489 年洛伦佐·德·美第奇（Lorenzo de' Medici）请吉兰达约推荐两位最优秀的学徒，关键时刻吉兰达约推荐了米开朗琪罗，这是他人生一次绝好的机会。在洛伦佐的府邸，来访的著名学者和独步一时的作家十分看重这位后生，经常与米开朗琪罗交谈，使他受到广博的文学熏陶，他的文艺才能在意大利学者和作家圈内广受认可。他在与学者作家的交流中，深化了对伦理问题的认知，其人文主义伦理意识的萌芽亦可追溯于此。少年的他从自然本能转向后天培养，这一段经历既是文学启蒙，又是人文主义伦理启蒙。他敏而好学，求知欲超过常人，他受古罗马、古希腊传世作品影响颇深，又求教于人文主义的先行者、文艺复兴初期“文学三杰”诸学问，奠定了他的人文主义伦理思想基础。洛伦佐去世后，“米开朗琪罗前往博洛尼亚成为乔凡·弗朗西斯科·阿德罗凡迪的门客，据传记所述，自那时起米开朗琪罗开始撰写诗歌，他研读彼特拉克和但丁的诗歌，从传统意义上讲，他又被同时代人公认是一位优秀的注释专家（对诗歌文本的注释者）”（Terraroli 9）。通过对古典文本、诗歌文本的注释及研究，他逐步萌生了思想开明、公平待人、忠贞不渝的伦理意识。据考，《米开朗琪罗诗歌全集》第 41 首“高贵的灵魂，像一面镜子”（Nims 25）、第 66 首“我会善待需要帮助的灵魂”（Nims 50）、第 84 首“从墨水，从手握的笔，我滔滔不绝”（Nims 63）等诗歌均为彼特拉克的诗体结构。米开朗琪罗诗歌的伦理评价重心由专注神力转移到关注人的尊严、成就、情感和心理世界。“就像一位光明天使，优雅美丽，/ 纯净人的思想，赠给世界荣誉”（杨德友 125）。他将人文主义伦理思想喻为“光明天使”，诗文展开对人自身的关爱，对高尚人格的赞美，激

1 参见 Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398.

发人向善仁爱。从他的诗作中，可以感受到一种依凭人类精神力量、奋力改善世界的心路历程。诗歌为人们提供道德情感的精神寄托，由此奠定了他作为诗人的伦理身份。

文艺复兴思潮兴起，欧洲中世纪文化与陈旧道德观念却余音未了，米开朗琪罗不仅以艺术造诣承载人文主义伦理思想，更是通过诗歌和书信表达他对伦理困境的挣扎与社会改革的思想。据考证，他为但丁创作三首诗歌，并在多首诗中追忆但丁及其《神曲》。“在思想内容上，《神曲》是一个充满矛盾的庞杂的统一体，有着十分鲜明的双重性，体现了但丁作为新时代歌手的进步性和中世纪诗人的局限性”（吴笛 870）。《神曲》的特质是很能触发米开朗琪罗诗歌创作灵感的，“关于他，我们难以说完应说的言语，/ 因为即使盲人也能看见他的无限光明”（杨德友 96）。这一诗节“关于他”特指但丁，但丁的人文主义思想顺应时代发展与伦理思想演进之趋势，是具有进步意义的一股新生力量。米开朗琪罗将但丁视为楷模，体现两者在思想革新层面应和而鸣。他在诗中不仅为但丁遭遇磨难而痛心疾首，还以诗歌揭示欧洲中世纪的封建礼教统治。“正如他的流亡举世无双那样，/ 世间一切伟人难以与他比拟”（杨德友 97）。诗句表达他对但丁的敬怀，对但丁革命精神的评价震古烁今。他在诗中如此表达：“然而，但愿我变成他！遭人白眼、/ 背弃，生来如此，遭受这样的命运——/ 若能如此，我不惜放弃珍贵的一切”（杨德友 91）。此诗表明他对但丁的人生苦难惺惺相惜，共同的改革思想使他怀有同理心。

“文艺复兴时期，新兴资产阶级对以人文主义思想为核心的伦理道德观念的张扬，集中地表现在两个方面。一是揭露封建礼教和基督教道德的虚伪，抨击禁欲主义道德的愚昧和残忍”（聂珍钊 115）。米开朗琪罗深受但丁的影响，当身陷伦理困境中，他冒险做出为人文主义伦理道德及时代先锋发声的伦理选择，他敢于冲破封建思想的禁锢，从伦理道德上否定封建礼教，积极提倡以人为本、众生平等的人文主义伦理思想。他以诗代言讽刺教皇尤利乌斯二世（Pope Julius II），诗中写道：“阁下！您只听信虚伪的话 / 奖赏那些与真理为敌的小人”（Saslow 73）。他从渴望正义逐步向维护正义和肩负社会责任的伦理观转型。“我们需要的，是正义的天平和利剑 / 而非伪善的附和”（Saslow 73）。米开朗琪罗诗歌的审美品格和伦理思想具有鲜明的人文主义特质，无论是褒扬但丁的诗歌，还是体现人文主义伦理特质的诗歌，构建了他作为思想家的伦理身份。他的天赋、秉性及其布满艰辛和挑战的人生阅历使他拥有多重伦理身份，最为典型的是他作为诗人、画家、雕塑家和思想家的四重伦理身份。

二、从伦理困境向肩负社会责任的伦理转型

米开朗琪罗在中年时渐入诗画创作高峰期，他的作品力图表现人文主义

伦理道德意蕴，其作品中充满层见叠出、进退两难的矛盾，经历伦理选择的考验。他被委以重任坚守在重要的公共建筑内创作《西斯廷礼拜堂天顶画》（The Sistine Chapel Ceiling）。历时四年，他凭借自己的伦理思想重述了《创世纪》的故事，巨作近六百平方米，画境笼罩着整个穹顶，公共建筑内的大型天顶画较之以文字呈现的《创世纪》文本更有视觉冲击力，其伦理宣教功能比以往任何绘画都更能体现米开朗琪罗的人文主义伦理思想及文化精髓。为呈现创作主题的伦理教化作用，他对画中的每一位人物形象精心设计，在《光明与黑暗分离》（“The Separation of Light From Darkness”）这一叙事画境，他通过人物塑造凸显善与恶的永恒对立，从艺术创作表现人类道德的基础。《大洪水》（“The Deluge”）所展现的悲剧场景，危难之际一群人为争夺立足之地而打斗，而品德高尚之人却在拯救溺水者，米开朗琪罗清晰地描绘各种人物角色的“兽性因子”和“人性因子”使画面形成鲜明的对比：此画境一方面批判了打斗者行径的道德沦丧；另一方面宣扬了施救者见义勇为的精神。米开朗琪罗将作品的叙事内涵与人物的“斯芬克斯因子”表现得淋漓尽致，引导观众进行伦理反思。

如果说，呈现在众人面前的《西斯廷礼拜堂天顶画》是一幅唯美且富有伦理教诲意义的传世之作，那么，该作品背后蕴藏了米开朗琪罗无尽的艰难困苦及伦理两难，他经历了生与死的考验、自利与利他的伦理困境。考证其创作时间可知，天顶画的构思始于1507年，在博洛尼亚的瘟疫大爆发时期，作为兄长，他写给两位胞弟的多封防疫书信充满了他的家族责任感和道德心。尽管诗画创作任务迫在眉睫，但强烈的道德责任感使他仍在书信中关心百姓安危。他在信中写道：“瘟疫在博洛尼亚非常普遍，当地百姓还没有意识到此病是致命的。如果这位医生能来博洛尼亚将是一件好事，他或许可以用自己的经验告诫当地百姓，他们会因此受益匪浅”（Vaughan 36）。他在字里行间传递温情与人文关怀。1508年，米开朗琪罗起笔绘制并全身心倾注于艺术创作之中。1508至1512年间，米开朗琪罗创作十四行诗倾述心声，题为《我长出了瘤》（“I'ho gia fatto un gozzo”），诗中写道：“络腮胡子朝天，项背挂在双肩，/高挺起鸡胸脯，这是我的容颜。/你看，从画笔上滴下颜料点点，/我的脸像地板，涂得色彩斑斓”（杨德友 4）。他以诗自嘲，通过“项背挂在双肩”、“高挺起鸡胸脯”等身体意象表述，犹如雕塑般的视觉形象语言在诗中塑造他苦中作乐的形象，其创作思绪体现由内（诗歌的精神内涵）向外（绘画的视觉再现）的交互融合，反映他内心的伦理困境。值得关注，诗稿原作右下方，他手绘一幅戏谑式的自画像速写。以简练而富有趣味的线条勾勒出他作画时的艰难姿态，凸显他在创作中的矛盾与冲突。

实质上，围绕诗画创作这一伦理主线，米开朗琪罗此刻深陷伦理困境之中：一方面，他在诗中抱怨如此艰辛的天顶画创作简直是自欺欺人，当时意大利爆发致命的瘟疫，倘若从自私的角度考虑，他急需采取自我保护躲避瘟疫，放

下画笔，即刻离开。另一方面，通过对诗歌原稿上徒手绘制的自画像进行剖析，米开朗琪罗反复进行自我批判，他自我审视所肩负的伦理责任和义务。面临伦理困境，米开朗琪罗将变革求新的伦理思想融入他的天顶画创作之中，他根据其秉持的人文主义伦理观塑造具有真实人格特征的神祇形象。从作品整体解析，画境的布局别出机杼，壁画的人物容貌惟妙惟肖，画面的视觉叙事方式别开生面，呈现公共建筑内大型天顶画传达的伦理价值。从其伦理道德的发展轨迹来看，米开朗琪罗虽在诗中呻吟疾苦，但此诗最后补注一句“守住我濒死的绘画”（杨德友 5）。米开朗琪罗认清事态的本质之后，转念奉献于民众，他毅然坚持日复一日创作天顶画，他勇开先河将自古以来墨守成规的程式化的圣像画法变革为现实主义且生活化的常人，此画所传达的伦理价值，契合并可能影响了正在兴起的市民阶层的精神诉求。

1492 年洛伦佐去世的噩耗使米开朗琪罗的处境逆转，正是从那时起，米开朗琪罗以诗歌创作为精神支撑，命运多舛促使米开朗琪罗突破了自我中心主义、享乐主义的狭隘思想，朝着富有同理心、责任心并希望帮助他人减轻痛苦的伦理道德和伦理选择演进。在他的视野中，诗画创作不仅是表达人文主义伦理思想的方式，更是一种完成伦理选择、实现社会公共传播的途径。诗歌呈现他的社会责任意识从犹豫到坚定的转变过程，诸如“因而，亲爱的阁下，在您的内心世界 / 骄傲与怯懦交织，还有善意的幻想”（Mastrocola 103）。诗句阐释他内心在自我意识与群体意识的平衡中徘徊。“我们愿超越百般伪饰 / 直到博得不朽的大爱”（Mastrocola 164）。诗文体现他肩负社会责任的伦理观逐步形成。最终，米开朗琪罗以诗言志：“烈火与洪流无法让我悲痛； / 我带给盲目的人光明， / 我将治愈一切的创伤”（Vaughan 301）。这一诗节表明他决意突破伦理困境的壮志。在现实生活中他经常接济生活困顿之人，甚至，他受命作为建筑师设计圣彼得教堂圆顶时，他在合约中写明“为这座建筑改造，不收分文”（Vasari 155）。可见，米开朗琪罗超然地走出了个人安危与艺术责任冲突的伦理困境，他终究选择舍己为人、甘于奉献，做出了正确的伦理选择。

三、多重伦理身份融合的伦理审思与创作

“一个人在社会中存在的标识，人需要承担身份所赋予的责任与义务”（聂珍钊，《文学伦理学批评导论》263）。米开朗琪罗具有诗人、画家、雕塑家、思想家、建筑师、注释专家等多重身份，然而，他的多重伦理身份的支撑点是他的诗歌创作。据文献考辨，米开朗琪罗关于伦理审思和追求善行美德的诗歌创作贯穿了他一生，他的诗文中显见采用“Virtù”（美德，现代意大利语，源自方言）和“Virtute”（美德，古代意大利语，源自拉丁语）的诗歌共 15 首。他又以隐喻、双关、设问方式创作大量蕴涵伦理道德哲思的诗歌，尤其是他的诗歌对其壁画创作具有重要的支撑作用，诗歌成为他艺术创作的灵魂及思维

的重心，诗歌淬炼出他的精神本质与伦理思想。米开朗琪罗的多重伦理身份成为一个交织点，使他能够通过大型壁画创作以转换性的方式表达他的人文主义伦理思想，他的诗画创作凸显人文主义伦理思想及道德教诲意义。他的诗歌与绘画是融通的，他的多重伦理身份更是融合的。任何一件艺术创作均有核心思想的支撑，那么，《末日审判》的创作主旨与伦理思想源自米开朗琪罗的诗歌创作。

保罗·马斯特罗科拉（Paolo Mastrocola）主编的意语版《米开朗琪罗诗歌全集》第227首诗写道：“神性的‘手臂’取走他美丽的余烬，/这里已无残留。不等到审判之日来到”（杨德友 52）。米开朗琪罗在诗中再现了《神曲》的伦理教化作用，又将这首诗歌的意境酝酿、转化、再创为视觉语言的画境。尤为重要的是，米开朗琪罗的诗歌是他人文主义思想的真实映现，他在诗中低吟寻觅自我救赎与精神升华，暮年，他心怀谦逊，在诗歌中追求完美的人性，崇尚道德榜样，体现他一生不断追寻的伦理反思与觉醒。无论是诗歌，还是绘画，其整体创作主旨是一致的，他创作的巨幅壁画《末日审判》（Last Judgement）蕴涵文学因素且呈现文学主题的叙事范式，他将《神曲》的创作意旨融入《末日审判》大型壁画创作之中。

米开朗琪罗的绘画特殊性在于为欧洲重要的公共建筑而创作，五百多年以来，他的作品依然矗立于大厅中并呈现其公众形象，承载了人文主义伦理思想的公共传播功能，使文艺复兴的遗风尚在，甚至学术界公认他的《西斯廷礼拜堂天顶画》和《末日审判》标志着文艺复兴盛期人文主义的巅峰。年过六十的他再次受命，1541年10月31日，他创作的壁画《末日审判》正式揭晓，这一幅革新派的壁画将传统题材从构图上率先打破了中世纪的绘画样式，增强了公共空间中图像叙事效果，给观众以耳目一新的视觉张力。此画果敢改革的画境预示对中世纪伦理思想的挑战并试图突破以重建文艺复兴盛期人文主义伦理体系，引导大众接受文艺复兴之改革与伦理价值新取向，有力推进了人文主义伦理思想的普及。画中的人物造型并非凭空而来，从观者的视角左下侧描绘了宛若沉沦入地狱的灵魂，这一画境犹如《神曲·地狱篇》，人物的每张面孔都深陷恐惧与惊骇之中，米诺斯（Minos）仰视审判者充满了恐慌之态，圣劳伦斯（Saint Lawrence）虽睁大眼睛却怯怯可怖，“圣巴塞洛缪（Saint Bartholomew）被活活剥皮，他的手里拿着刀子和自己被剥下的皮”（克雷纳 521）。此画中令人胆寒的圣巴塞洛缪形象竟然化用了米开朗琪罗的自画像，他以独特的方式深刻地自我剖析与批判，如诗所言：“正像春蚕为了世人的高兴 / 忍受无私的痛苦，留下珍贵的白茧，/ 在死亡时给人以丝质的礼品，/ 死后却以这一赠礼重又复生”（杨德友 35）。“为了给活着的主人穿上衣裳，我多么希望我 / 能脱下我即将死亡的肌肤，披在他的肩头，/ 这样，如在石堰上蜕皮的蛇，/ 我从死亡中苏醒，奔向更高尚的生命”（Michelangelo 71）。米开朗琪罗以春蚕自喻，在寻求伦理真知的过程中实现创作与人格的

双向超越，表明他甘愿为众人创造光明而牺牲自我的志向。公共建筑空间内宏阔的画面向欧洲大众展示了人文主义伦理改革的新气象，通过生动而富有创造性的审美意象激发人的精神力量与伦理教化作用，《末日审判》可谓是宣扬人文主义伦理观及革新思想的教科书。

米开朗琪罗历经苦难，他一生未娶，无儿无女，长期从事艰辛的创作，尤其在他暮年时功成名就，他的伦理身份与他的文化身份及影响力密切相关，首先，“米开朗琪罗是罕见的在世时已出版其生平传记的诗人兼艺术家”（应宜文 99）。瓦萨里撰写的《米开朗琪罗传记》于 1550 年首次出版。其次，1563 年，88 岁的米开朗琪罗被选为院士，成为佛罗伦萨艺术学院的第二位院士，他为该校奠定了人文主义与艺术伦理、人文主义与科学相结合的基础，他坚信对文学和艺术的尊重有助于建立世界和平。垂暮之年，他慷慨无私一心为大众造福，致力于宣扬文艺复兴人文主义伦理原则，他从诗画创作呼吁建立一个公正的世界。如果说，以人为本、众生平等的伦理观在当今司空见惯，那么，从历史长河来看，意大利尚存古罗马角斗场、塞维鲁拱门等公共建筑保留至今。在罗马帝国、拜占庭及中世纪封建专制的历史背景下，米开朗琪罗凭借一己之力在其创作中倡导人文主义伦理观，他甚至敢勇将指派命题壁画改良为表现人文主义伦理思想的创新之作，在他的诗歌创作、公共壁画中躬行实践人文主义的伦理思想，成为文艺复兴伦理选择的一道曙光，其意义非同小可。

诚然，米开朗琪罗的诗歌以壮怀见魂，绘画以壮美见义，书信以忠孝呈真。他的诗画创作对欧洲文艺复兴人文主义伦理思想的传播与革新，对欧洲现代文明、文学伦理批评及艺术创新产生了深远影响。他以诗歌为精神支柱，多重伦理身份融合的诗画创作由壁画的“形”（视觉形象）转向诗歌“质”（精神内涵）的升华，完成了人的斯芬克斯因子从兽性因子向人性因子的转型，他的四重伦理身份在人文主义伦理思想基础上达到了统一。他的诗歌比较典型地体现了由中世纪以前的伦理选择向人文主义伦理思想的转型，反映欧洲中世纪道德文化观念向近代人文主义伦理思想的嬗变。诗歌得艺术之助映照他的生平及哲思，他在诗中颂扬人文主义伦理之美，具有精神启迪的作用，使他成为一位肩负社会责任意识的杰出诗人兼艺术家。

Works Cited

- Buonarroti, Michelangelo. *The Complete Poems of Michelangelo*, translated by John Frederick Nims. Chicago: The U of Chicago P, 1998.
- . *Michelangelo Buonarroti: Rime e Lettere*, edited by Paolo Mastrocola. Milano: UTET, 2021.
- Cosmo, Giulia. *Michelangelo. La scultura*. Firenze: Giunti, 1997.
- 克雷纳、马米亚：《加德纳艺术通史》，李建群、王燕飞。长沙：湖南美术出版社，2013 年。
- [Kleiner, Fred S. and Christin J. Mamiya. *Gardner's Art through the Ages*, translated by Li Jianqun and Wang Yanfei. Changsha: Hunan Fine Arts Publishing House, 2013.]

Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.

—. "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.

聂珍钊：《文学伦理学批评导论》。北京：北京大学出版社，2014年。

[Nie Zhenzhao. *Introduction to Ethical Literary Criticism*. Beijing: Beijing UP, 2014.]

Saslow, James M. *The Poetry of Michelangelo: An Annotated Translation*. New Haven: Yale UP, 1991.

Terraroli, Valerio, ed. *Michelangelo*. Milano: I' Unita. Arnoldo Mondadori Arte, 1991.

Vasari, Giorgio. *The Life of Michelangelo*. London: Pallas Athene, 2006.

Vaughan, Carolyn, ed. *Michelangelo's Notebooks: The Poetry, Letters, and Art of the Great Master*. New York: Black Dog & Leventhal Publishers, 2016.

Wallace, William E. *Michelangelo: The Artist, the Man, and His Times*. Cambridge: Cambridge UP, 2011.

吴笛：《外国诗歌鉴赏辞典·古代卷》。上海：上海辞书出版社，2009年。

[Wu Di. *Appreciation Dictionary of Foreign Poetry: Ancient Volume*. Shanghai: Shanghai Lexicographical Publishing House, 2009.]

杨德友：《米开朗基罗诗全集》。沈阳：辽宁教育出版社，2000年。

[Yang Deyou. *The Complete Poems of Michelangelo*. Shenyang: Liaoning Education Press, 2000.]

应宜文：“文明互鉴：中国丝绸与米开朗琪罗诗画互文”，《浙江大学学报（人文社会科学版）》10（2022）：97-105。

[Ying Yiwen. "Mutual Learning of Civilizations between Chinese Silk and Michelangelo's Poetry and Painting." *Journal of Zhejiang University (Humanities and Social Science)* 10 (2022): 97-105.]

广府传统建筑灰塑装饰的伦理内涵探析

An Exploration of the Ethical Connotations of Lime Sculpture Decoration in Traditional Cantonese Architecture

骆雯 (Luo Wen) 刘栖源 (Liu Qiyuan)

内容摘要: 灰塑作为岭南广府传统建筑的重要装饰，不仅是地域审美与民俗信仰的载体，更是物化伦理的视觉装置。本文突破吉祥寓意的功能性解读，引入文化研究理论，建构表征－话语－主体三层分析框架，从人物、花鸟、山水题材切入，探究灰塑介入伦理建构的内在逻辑。研究发现：灰塑以符号、构图、色彩为表征编码，将道德教化伦理、世俗生活伦理与人地伦理可视化；依托高频可见的空间话语部署，使伦理规范在日常观看中自然化、正当化；最终在镜像认同与召唤结构中，生产出兼具宗族责任、世俗追求与家园情怀的伦理主体。灰塑由此成为伦理表达的关键媒介，为理解传统建筑装饰伦理功能及“伦理如何可见”的跨学科追问提供了物质文化的回答路径。

关键词: 灰塑；传统建筑装饰；广府；伦理内涵；表征－话语－主体

作者简介: 骆雯，华南理工大学设计学院副教授，主要研究方向为建筑文化遗产；刘栖源，华南理工大学设计学院研究助理，主要研究方向为传统建筑装饰。本文为 2023 年度国家社科基金艺术学一般项目“岭南传统建筑装饰谱系研究”【项目批号：23BG104】的阶段性成果。

Title: An Exploration of the Ethical Connotations of Lime Sculpture Decoration in Traditional Cantonese Architecture

Abstract: As an important ornament of traditional architecture in the Cantonese region of Lingnan, lime sculpture is not only a carrier of regional aesthetics and folk beliefs, but also a visual apparatus of materialized ethics. Moving beyond the functional interpretation of auspicious symbolism, this paper introduces cultural studies theories and constructs the three-tier analytical framework of representation-discourse-subject. Starting from figure, flower-and-bird, and landscape motifs, it explores the internal logic of lime sculpture's involvement in ethical construction. The study finds that lime sculpture visualizes the ethical norms of moral enlightenment, secular life ethics, and human-land ethics by using symbols, composition, and color as representational codes. Relying on the deployment of

highly visible spatial discourse, ethical norms are naturalized and legitimized in daily viewing. Ultimately, through mirror identification and interpellative structure, it produces ethical subjects endowed with clan responsibility, secular aspirations, and homeland sentiment. Thus, lime sculpture becomes a key medium for ethical expression, providing a material-cultural approach to understanding the ethical functions of traditional architectural ornamentation and answering the interdisciplinary inquiry into how ethics can be made visible.

Keywords: lime sculpture; traditional architectural ornament; Cantonese region; ethical embeddedness; representation-discourse-subject

Authors: Luo Wen is Associate Professor at the School of Design, South China University of Technology (Guangzhou 510006, China), specializing in architectural cultural heritage (Email: Luowen@scut.edu.cn). Liu Qiyuan is Research Assistant at the School of Design, South China University of Technology (Guangzhou 510006, China), specializing in traditional architectural decoration (Email: 1730835198@qq.com).

引言

人由婚姻缔结家庭，家庭扩展为氏族，氏族聚合成国家。氏族、部落和国家皆因人而立，伦理属性与伦理观念遂成。¹ 在中国传统语境中，伦理泛指人与天地万物的伦类条理。建筑作为生命活动的物质载体，自宏观布局到细部装饰，无不以“人伦之楷模”为圭臬。建筑装饰——这一最细微却视觉化的显性叙事载体，其伦理品性自不待言。² 灰塑，明清以来岭南广府³ 最具标识性的建筑装饰，正处于此视觉伦理的枢纽。匠人将其雕饰于祠堂、神庙、宅园等建筑的屋脊、墙面、门楣等处（见图1），于美化之外寓意吉祥，发挥着成教化、助人伦之功。2008年灰塑入选国家级非遗后，学界已对其技艺、题材寓意及匠人谱系作基础梳理。⁴ 然而，图像与伦理语境的深层关联仍待理论化：灰塑如何构形取象，以视觉编码传递伦理观念？

要回答这一问题，首先需要厘清伦理内涵的具体边界。本文所论灰塑的伦理内涵，并非狭义的道德教条，而是广府传统社会借助灰塑传递的价值规范与理想生活秩序，包含三个层面：一是道德教化伦理，即以人物故事图像承载忠、义、德、才等典范要求；二是世俗生活伦理，即以花鸟瑞兽的福瑞

1 参见 聂珍钊：“伦理选择概念的两种涵义辨析”，《外国文学研究》6（2022）：15-25。

2 参见 沈福煦、沈鸿明：《中国建筑装饰艺术文化源流》，武汉：湖北教育出版社，2001年，第2页。

3 古代地域概念，明清以来主要指以广州府为中心、涵盖南海、番禺、顺德、东莞、香山（今中山）等县的珠江三角洲平原，即今广东省广州市、佛山市、深圳市、珠海市及港澳地区一带。

4 参见 刘兆江：《广州灰塑》，广州：广州出版社，2010年。



图1 广府传统建筑屋脊灰塑装饰（广州陈家祠）

修辞表达福、禄、寿、财、子等幸福期待；三是人地伦理，即以山水景观图像建构人与地方、人与自然的和谐归属关系。三者分别对应个体教化、群体幸福与家园认同，共同构成灰塑物化伦理的完整内涵。

为系统阐释物化伦理的生成机制，使透过图像表征透析伦理价值的路径更具方法论自觉，本文引入文化研究理论，建构灰塑的表征－话语－主体三个层面分析框架。

表征指通过语言及广义符号系统生产意义的过程。¹灰塑图像是意义生产的实践场域，而非伦理的被动反映。灰塑的意义并非事物本身固有，而是经由符号选择、构图安排、色彩配置、谐音双关等编码策略被建构出来。表征分析是追问灰塑图像如何使某种伦理成为可见的真理，是一种图像内部的意义生产机制。

话语并非中性的语言工具，而是一种建构对象、界定言行的实践。²灰塑图像被精心部署于祠堂、神庙、宅园、书院的焦点位置，将其视为嵌入日常空间的话语装置，通过高频可见的视觉方式，向观者反复陈述某种价值规范。并借助建筑的神圣性、风水信仰的合法性、宗族权威的制度支撑，使其逐渐被视为不证自明的真理。话语分析属于一种图像外部的社会运行机制，其追问的是灰塑被放在哪里、被如何观看、与哪些制度空间相配合。

主体是进入话语系统后，被召唤、塑造、定位、认同身份并自愿遵循其规范的人。³灰塑图像通过长期视觉呈现，询唤观看者认同某种伦理选择⁴。主体建构就是分析灰塑对观者产生了什么效果，如何使观者认同伦理身份、实

1 参见 霍尔：《表征：文化表征与意指实践》，徐亮、陆兴华译，北京：商务印书馆，2013年，第15-64页。

2 参见 福柯：《知识考古学》，谢强、马月译，北京：生活·读书·新知三联书店，2003年，第107-122页。

3 参见 阿尔都塞：《哲学与政治：阿尔都塞读本》，陈越译，吉林：吉林人民出版社，2003年，第327-361页。

4 参见 Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 383-398.

现伦理自觉。

表征－话语－主体三个层面前后依存，通过完整的分析链条，共同回答伦理如何可见这一核心追问。据此，本文择取人物、花鸟、山水三类题材切入，深入探讨灰塑的道德教化伦理的道德规范镜鉴、世俗生活伦理的福瑞价值指引与入地愿景伦理的家园情感寄托。由微见著，管窥广府社会伦理的全息图景，并为伦理如何可见提供物质文化的回答路径。

一、道德教化伦理：灰塑人物画中的道德规范镜鉴

灰塑人物画多用典故，常踞屋脊正中。其母本取自粤剧、宗教与史传，通过面相、姿态与位置编码，召唤观者对善行、忠义、才德的伦理选择。本节借神仙、豪杰、文人三类母题，分别揭示灰塑人物图像如何体现道德教化伦理，再生产广府社会的差序团结。

（一）善福因果

《史记·封禅书》记载“越人俗鬼，而祠皆见鬼”（司马迁 1399）。其中俗鬼指信奉鬼神为普遍习俗，揭示了岭南先民重巫尚祀的文化和发达的民间信仰。中原宗教南下后，道教福禄寿、八仙与本土日月神、火神等一并融入岭南灰塑人物图像的鬼神系统，建筑屋脊成为人神同观的微型舞台，其上的灰塑装饰呈现出善－神力－福报的伦理逻辑，并通过图像编码完成视觉转化。

《福禄寿》图是广府屋脊最常见的神仙人物灰塑题材，通过符号选择与空间构图，将善有善报的抽象因果编码转化为可感的视觉秩序。福、禄、寿原为冬季夜空上三颗共线的亮星，匠人将其人格化为三位慈颜老人：福星执如意、禄星捧官帽、寿星托寿桃。这一人格化过程本身就是意义生产行为：它将自然现象转化为道德意象，使福禄寿成为面善、行善的神祇。三位神仙造型——宽额长眉、面带慈笑、衣纹舒展，这些视觉特征被编码为善的符码：面善即神性，善相即神力。陈家祠《福禄寿》灰塑图的三星自左而右列坐，福星戴官帽，左手元宝，右手婴孩，禄星黄纱帽，寿星额隆白髯，旁伴盘膝童子（见图2）。画面洋溢天伦之乐。将天官赐福、高官厚禄、长命百岁的良好寓意熔于一图。让善－福因果关系在视觉上密不可分，编码出德福一致的宇宙观，暗



图2 广州陈家祠灰塑《福禄寿图》

合《道德经》中“天道无亲，常与善人”（老子 186）的经典命题，将上天眷顾善人的普遍法则转化为可见的日常真理。

《福禄寿》灰塑被安置于祠堂首进、庙宇香亭等人群进出频繁空间的屋脊中央，构成高频率、权威性的空间话语。在广府民间信仰发达的文化土壤中，它与八仙、北帝、妈祖等地方护境神共同构成屋脊伦理剧场。屋脊作为建筑的最高处，天然具有权威性与统摄性，灰塑安置于此，使伦理陈述获得俯瞰式的视觉权力；而祠堂首进、庙宇香亭作为族人每日必经的通道节点，强化了图像的话语统摄。这些神仙形象共享一套空间化的言说逻辑——神力因善而显，善是获得神佑的前提——三星共线的天文构图被转化为屋脊上的横向排列，使善—神力—福报的因果链条嵌入日常，德福一致便从外部陈述内化为不证自明的真理。

长期生活于祠庙空间中的个体，在反复仰视《福禄寿》图像的过程中逐渐被询唤为以行善求福报的伦理主体。神仙以善相示人又执掌福禄寿——这一视觉双重性向观者传递：若想获得福禄寿，便当如神仙般面善、行善。观者被引导将自身的道德修为与幸福命运相联结，形成一种以德行换取福运的伦理计算。《福禄寿》灰塑的伦理教化是情感性的、无意识的，它以自身行为作为不同伦理身份¹的道德镜像：对于族中夫妻，其承接的是生育与养育的道德义务；对于壮年男子，禄星召唤其以德行求取功名富贵；对于族中老者，寿星将子孙满堂、自身的衰老重构为有德之征。由此，《福禄寿》灰塑生产出以善为行为底色的伦理主体，使善有善报从民间信仰升华为日常生活的实践理性，从外在的神灵许诺转化为内在的道德自觉。

（二）忠义团结

费孝通在《乡土中国》中认为中国社会是“以‘己’为中心”（34），以血缘定疏亲的差序格局。广府亦是如此，但与中原高度发达的血缘宗法社会不同。²明末清初诗人屈大均在《广东新语》中记载岭南同姓聚族、祠堂林立的景象，其写道：“岭南著姓，〔……〕一乡一姓，或一乡二三姓，蝉联而居，大小宗皆有祠”（464）。可见，在贸易、安全等多重需求驱动下，广府异姓聚落频繁来往甚至进行联盟合作，发展出超越血缘的、深度的地缘联结。但地缘关系难以靠血缘符号整合，必须共享超越性价值，即忠义团结。因此，忠义团结兼具内外双重功能：对内，它把房支亲疏转化为道德义务，以祖先祭祀巩固宗族认同；对外，它超越姓氏边界，为异村、异姓集团提供共享的伦理话语和行动框架，使地缘联合获得价值正当性。由此，忠义团结成为差序格局的延伸与补充，共同维系传统社会更大范围的凝聚与秩序，即差序—团

1 参见 Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398.

2 参见 吴桐：“地缘与血缘：博罗横岭山墓地所见岭南商周时期社会关系”，《江汉考古》

3 (2025)：92-102。

体并置格局。

为表现这一主题，灰塑匠人撷取粤剧戏文片段，选取桃园结义、水浒群雄等题材，表征上以多人结盟、共御外敌的画面，将忠义团结视觉化，强化地缘与血缘的伦理凝聚。其中《桃园结义》最能体现异姓同心的符号编码。以刘备居中、关羽与张飞左右环伺、三人高度递减的构图，将异姓同心的抽象理念转化为等级与秩序并存的视觉关系：黄色（刘备）象征中央权威，红色或绿色（关羽）表征忠勇，深靛（张飞）烘托刚烈（见图3-4）。这些符号共同编码出一种异姓兄弟忠义的伦理图式。



图3 广州陈家祠灰塑《桃园结义》



图4 佛山祖庙灰塑《桃园结义》

《桃园结义》灰塑被安置于联结地缘关系的合族祠¹廊门与地方神庙脊顶等公共空间的视觉焦点，此两类空间反复出现此图像，形成了一种跨血缘的核心话语强化网络。这两类空间与以血缘关系组织起来的祠、庙空间不同。合族祠以清末始建的广州陈家祠为代表，由广东七十二县同姓异宗乡绅合建，表面承担供奉各房祖先牌位、接待族人的功能，实质是以同姓联盟扩大财权与社会网络的工具。²其图像话语极其强调成员间的团结忠义；地方神庙以佛山祖庙为代表，由佛山民众集资共建，原祀真武玄天上帝，宋元以来成为各姓公众议事场所，同样需要以团结凝聚地缘。³在这两类空间中，日常可见的《桃园结义》灰塑以图像的方式都在反复言说异姓团结的伦理命题，将松散的地缘关系凝聚一体，使忠义团结从一种观念倡导升格为普遍性的空间化伦理秩序。

无论是同姓异宗的族人还是跨姓聚落的邻里，作为观者，他们被召唤以刘、关、张为榜样，以异姓兄弟团结的伦理图式为鉴，超越房支边界共谋发展，结成地缘共同体。在反复仰视中，逐渐将异姓结盟、同宗互助的行为模式内化为伦理直觉，生产出认同忠义、践行团结的伦理主体，使忠义从故事

1 同姓不同宗者，采取虚立名号，联宗通谱的方式建立的共同宗祠。参见 叶显恩、韦庆远：“从族谱看珠江三角洲的宗族伦理和宗族制的特点”，《学术研究》12（1997）：41-46。

2 参见 广东民间工艺博物馆、华南理工大学：《广州陈氏书院实录》，北京：中国建筑工业出版社，2011年。

3 参见 佛山市祖庙博物馆：《岭南圣域 佛山祖庙历史文化陈列》，北京：科学出版社，2017年。

走向行动。

（三）德才兼备

明清年间，朝廷于两广推行儒学教育，既催生并扩大了广府士绅阶层，亦使道德教化伦理进一步播衍。在儒家价值谱系中，德才兼备乃士大夫自我修养之核心，德，为坚守道义之操守。才，指诗书教化之学识与艺文，二者合一构成士君子精英人格。

《竹林七贤》是德才兼备的代表性题材。灰塑图像通过雅人、雅事与雅景多重符号互文编码，将德才兼备的抽象理想转化为可感的视觉叙事。作品以圆雕塑造主体，七贤三两成组，或弈棋、或赋诗、或观画、或把盏，这些雅事行为被编码为才望符号；而多层透雕营造的前、中、后竹林景深，则利用竹之中空有节、四季常青的自然属性，将其编码为君子之德的视觉隐喻——竹影摇曳于日光之下，既拓展画面景深，又以阴影的流动暗示德性的浸润与渗透。弈棋与赋诗并置、竹影与人物互文，使才与德在同一画面中获得视觉上的不可分离性。匠人更在假山石上浅刻竹林七贤四字款识，这一署名行为本身即是一种元表征：它告知观者，这才是德才兼备的典范，从而引导视线与解读方向。广府传统建筑灰塑借古代文人志士形象以伦理镜鉴，本地士绅仰视之际即可完成自我身份确认与道德再生产。



图5 广州陈家祠灰塑《竹林七贤》

《竹林七贤》灰塑被安置于祠堂、书院的廊脊与墙面，这些空间恰是广府士绅阶层日常祭祀、讲学、议事的核心区域。这一空间配置本身即是一种话语策略：它将伦理训诫从束之高阁的经典文本中释放出来，嵌入士绅每日必经的生活动线，使德才兼备不再是一种需要刻意记诵的教条，而是成为抬眼可见、举步即遇的空间化言说。灰塑将七贤形象日常化、空间化，犹如一面悬置于日常之中的道德之镜，让德才兼备的儒家理想在脊上具象呈现，借由反复的视觉遭遇，令观者在无意识中完成自省——每次不经意的驻足，都可能触发对自身德性与才学的内向检视，由此，灰塑在无声中完成了一种持续的、弥散性的话语生产：借助建筑空间语法，不断重述应当成为何种人的伦理命题，令德才兼备从理想变为日常可感的精神坐标。

《竹林七贤》这类灰塑对不同的观看主体兼具镜鉴作用：对于已取得功

名的士绅而言，仰视竹林七贤是一种身份确认，使其自我认同，完成德才兼备的身份归类；对于族中备考的子弟而言，图像不仅将其询唤为未来的士君子，更塑造如何做君子的认知：既要入世求功名，亦须保有超逸之德。由此，灰塑参与了广府士绅阶层伦理主体的再生产，使德才兼备从经典训诫转化为可模仿、可认同的日常榜样。

二、世俗生活伦理：灰塑花鸟画中的福瑞价值指引

灰塑花鸟画以虫鱼、蔬果、祥禽瑞兽入题，借象征与谐音将长寿、富贵、婚育的私愿转译为建筑上的福瑞符号。一花一果、一鸟一兽皆成福祉符号，既装点建筑，更以可见的福瑞确立幸福标准。

（一）惟寿为先

传统幸福观以寿为基。《韩非子》《洪范》皆列寿为首福，民间遂称：五福惟寿为先。广府灰塑常以松柏、仙鹤、寿桃、蝙蝠等凸显长寿寓意，《蝠寿图》最能传达惟寿为先的价值观念。

《五福捧寿》以五蝠绕寿为表征，蝠谐福，五蝠示五福；寿字居中统摄诸福。广府蝙蝠造型夸张：肥头大嘴、环眼圆鼻，体躯圆润，翼脉阴刻，尽显福相。广州陈家祠连廊脊首《五福捧寿》以赤蝠为首、四绿蝠环拱，五蝠以祥云相连，中心寿字朱底金粉描边，强化了寿的崇高地位。紫微瑞兽分布左右构成第二层烘托，将官运、功名纳入以寿为核心的价值序列（见图6）。

《五福捧寿》灰塑被广泛应用于祠堂、宅园、庙宇的脊饰、墙面中心等日常视线可及之处，甚至成为整个空间场域的视线中心。余荫山房的宅园影壁正中嵌有一幅《四蝠捧寿》的灰塑壁画：中心寿字体量硕大，面积几乎占据了影壁的三分之一。月洞门的框景手法将观者视线径直引向该壁画，使寿字成为整个庭院的视觉中枢——每一次进出宅园都是一次对寿为福先的无言确认，门洞与影壁构成的纵深轴线空间重申其价值，昭示福以寿为先的话语（见图7）。



图6 广州陈家祠灰塑《五福捧寿》



图7 余荫山房灰塑壁画《四福捧寿》

观者作为主体，在表征与话语的双重作用中，逐渐将寿为诸福之首内化为自然的生命态度。老年人面对《五福捧寿》，长寿呈现出最高的福分，衰老因获得积极意义而重构；年轻人被询唤祝寿、尊老，将延年祈愿与孝敬长辈的行为模式纳入自我认同。善有善报的因果逻辑通过寿的视觉中心被具体化——行善积德的目标不再是空泛的福，而是可期可求的长寿。除《五福捧寿》外，《松鹤延年》《福寿双全》等均凸显广府人以寿为核心的生命伦理，更在日常观看中生产出尊老、行善以求寿的伦理主体，使惟寿为先从观念走向习惯，从集体信仰化为个体自觉。

（二）富贵功名

《洪范》以富居五福之二，《礼记·王制》言“贵贵，尊尊”（戴圣，《礼记》1327），寿后求财、财后求贵遂成传统序列。清朝一口通商，广府重商言利，商而优则仕，财与爵并臻。

灰塑《功名富贵》通过谐音双关与物种象征双重编码，直接体现了广府人对富与贵的双重追求。雄雉鸡的公谐音功，鸣谐音名，其昂首啼叫之姿被编码为功名符号；牡丹作为花之富贵者，因其饱满艳丽之形被编码为富贵符号（见图8）。二者以折枝对角构图并置，形成功名—富贵的对偶。匠人进一步通过色彩与造型强化：雉鸡翎羽鲜艳、尾羽纤长，赋予其高贵感；牡丹枝干沿斜角折枝又上扬伸展、花朵占据画面对角线顶端，暗示富贵的高位与可及性。



图8 广州陈家祠灰塑《功名富贵》

此类灰塑在广府建筑空间中并非孤立存在，而是与大量财富、科举类灰塑并置陈列，形成直白的话语姿态。广府作为陈献章心学的发源地，又得益于浓厚的商业文化，形成了重商言利、坦诚务实的地域性格。¹这一性格直接投射于建筑装饰：铜钱、金鱼、金瓜、牡丹、山茶等灰塑，以《财源滚滚》《金玉满堂》为主题，铺陈于墙面与脊饰；笔砚、书卷、《鱼跃龙门》《三元及第》等组图，则将读书封爵的上升通道固化于屋面。两类图像在同一空间中并置陈列，构成一套完整的空间叙事——富与贵并非各自独立的价值选项，而是前后相继的伦理路径：先聚财，再立名，方算完满。

《功名富贵》这类灰塑将观者询唤为以富贵功名为正当追求的伦理主体。一个人可在宗祠中仰视《桃园结义》而认同忠义，同时仰视《功名富贵》而追求名利——二者图像在建筑中并置而获得共存。由此，富贵功名不再是个体的世俗欲望，而成为对家族负有的伦理义务，在一人登高、阖族光耀的训谕中完成从私利到公义的转化。由此，生产出兼具商人精算与士人理想的复合型伦理主体——既务实求利，又不失家族责任感；既坦诚言利，又以功名反哺宗族。这种主体建构模式，正是广府社会在明清以来商业繁荣与儒学教化双重作用下形成的独特伦理人格的视觉映射。

（三）子嗣绵延

在中国传统社会中，传宗接代被视为家族和婚姻的头等大事，这既源于多子多福的婚育观念，也与小农经济下家庭对劳动力和生存保障的需求密切相关。《礼记·昏义》所言“昏礼者，将合二姓之好，上以事宗庙，而下以继后世”（戴圣，《礼记》1618），正指出婚姻的根本在于延续后嗣。若继嗣乏，则宗系绝，而祭祀废，足见养育子嗣对宗系延续之关键。在宗族文化兴盛的广府地区，子嗣绵延不仅是家族兴旺的重要体现，更是宗族文化的核心特征。

《百子千孙》及多子瓜果类灰塑通过物种选择与谐音转喻的双重编码将子嗣绵延的宗族理想转化为丰富的视觉符号系统。借助体态圆润、繁殖力旺盛的动物与植物造型，寄托子嗣绵延的伦理期待。《百子千孙》图以八狮为母题，八狮谐百嗣，寓意子嗣众多。一狮领七狮的构图以狮群长幼秩序隐喻宗族代际传承——雄狮居中、七幼狮环伺，相互回望的空间关系编码出：长辈引领、晚辈依从、亲昵融洽的理想代际伦理（见图9）。另外，植物类灰塑



图9 陈家祠屋脊灰塑《百子千孙》

1 参见 李权时：《岭南哲学概论》，北京：社会科学文献出版社，2019年，第779-820页。

符号在博古脊与廊脊处构成平行编码系统：荔枝谐音利子、石榴象征多子、葡萄寓意瓜瓞绵绵、桂圆指贵子。这些瓜果圆润饱满的视觉形态本身即被编码为繁衍力旺盛的隐喻，且均为岭南本土物产，增强了在地感（见图 10）。

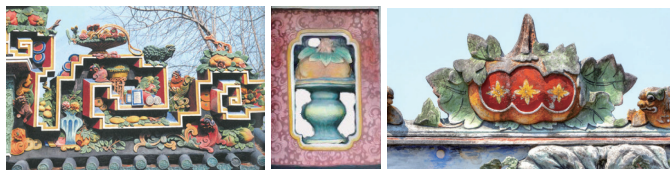


图 10 广府传统建筑灰塑中装饰寓意多子的瓜果元素

此类题材在空间布置上呈现出两种互补的话语策略。其一，作为繁复装饰点缀于脊饰，以数量的铺陈形成多子意象，使生育期待渗透于日常空间的每一处细节。其二，部分图像被置于祠堂屋脊的中心位置，与祖先祭祀空间直接配合，祠堂本是事宗庙的场所，将祈求子嗣的图像安放于此，使继后世的伦理要求与事宗庙的祭祀实践在空间中合二为一。两种策略的共同效果在于：传宗接代不再仅仅是私人领域的家事，而是在建筑空间的公开陈列中升格为可视、可感的宗族公共伦理。

此类题材也引导着观者将生育子嗣内化为家族中的自然目标与伦理义务。对于已婚者，使子嗣绵延从生物行为升华为幸福的伦理实践。由此，灰塑生产出以繁衍－教养－传承为生命轨迹的宗族主体，最终实现收宗睦族、永续香火的宗族理想。

三、人地愿景伦理：灰塑山水画中的家园情感寄托

《庄子·齐物论》言“天地与我并生，而万物与我为一”（庄周 79），中国古代观山览水，常将风水、人伦一并纳入视野。灰塑山水画取本地胜景为母本，以散点透视的长卷并置真实地标与理想生活景观，将家族血脉与地方景观叠合，确立人在地中、地与家合的伦理关系。画中广府人的家园归所连接着现实与想象，让人产生对家、对生活地方的归属感、认同感和守护责任，也流露出对城市与乡土的双重眷恋。

（一）山水共生

广州自北宋便有羊城八景之评选，《羊城首景图》与《琶洲砥柱》通过对羊城八景选择性再现与空间重组，将广府自然地理与真实地标编码为承载伦理意义的文化景观。《羊城首景图》中匠人聚焦越秀山—镇海楼，以首景突出呈现，将风水龙脉观念视觉化，使山龙之气自白云山而下、至镇海楼结穴的堪舆理论转化为可感图像（见图 11）。远景延绵山脉、蜿蜒的城墙、镇海楼和沿中轴南下的学堂与城门一起编码出气脉由北向南、由自然向人文的伦理秩序（见图 12）。镇海楼作为穴星未被刻意放大，传递出建筑融于山水

的人地伦理。观音阁、五仙观、学堂等文教建筑纳入画面，将文运昌盛与山水形胜编码为因果关联——越秀山之灵气被呈现为广府文教鼎盛的根源，自然地理因而获得人文价值的投射。灰塑山水画通过图像符号与空间秩序，把自然 - 人文 - 伦理编织成意义链，实践人与自然的伦理关系。

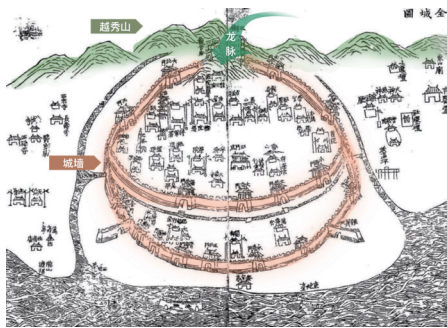


图 11 越秀山与广州城的位置关系

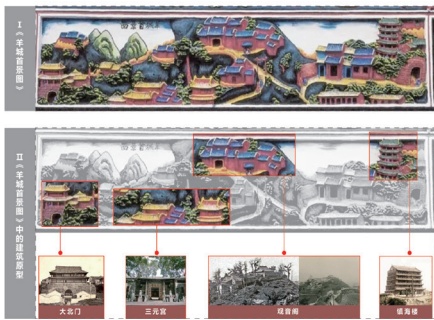


图 12 广州陈家祠灰塑《羊城首景图》
及其对应建筑

山水画灰塑被安置于合族祠（陈家祠）的连廊廊脊，构成了地方认同的话语实践。广州陈家祠建于广州城外西关，不在广州城内。《羊城首景图》灰塑将越秀山—镇海楼这一省城风水宝地图像化、长久安置于祠堂连廊廊脊，使来自广东七十二县的陈氏族人在无需亲临越秀山的情况下，每日仰视省城龙脉。这是一种高度精妙的话语置换：将地理距离转化为视觉亲近，将省城建构为全族共享的心理锚点，进而将陈氏家族与广州城绑定为命运共同体。西面的《琶洲砥柱》灰塑与东面《羊城首景图》遥相呼应。琶洲砥柱即琶洲塔，清代羊城八景之一。视觉上，通过一幅长卷把一河两岸的山川、河流、连接两岸的桥，寺庙与琶洲塔等景观沿横向组织展开，琶洲塔与附近宽广、繁荣的自然人文景象在空间叠合。画中当商船从珠江口驶入广州（左侧），视线穿过寺庙，就必定会看见屹立在琶洲下游山岗上高耸的琶洲塔犹如中流砥柱，并充当着航标的作用（右侧）。水上贸易、镇水防灾、文昌助考等多重话语凝缩于此图像（见图 13）。两幅作品一山一水、一北一南，共同构成一套完整的话语装置：它反复向观者陈述——陈氏家族的气运，与省城的山水龙脉、文教昌盛、商贸繁华不可分割。它们让观者看见山水与家族的关联。

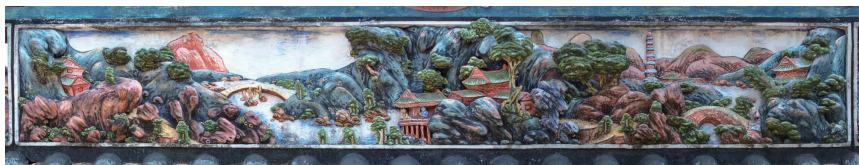


图 13 广州陈家祠灰塑《琶洲砥柱》

山水画灰塑将观者询唤为与地方山水血脉相连的伦理主体。对各县陈氏族人,仰视《羊城首景图》与《琶洲砥柱》是一种身份确认——被召唤为省城气运的分享者与陈氏大宗族的成员。其精美的巨幅画面向外界传递家族的经济实力与社会地位,引发外界羡慕的同时强化了自身的家族自豪感。同时,越秀山、镇海楼、学堂建筑群构成镜像,这套承载广府集体记忆和地方认同的图像符号,逐渐将视觉锚固点转化为宗族成员的心理锚固点。观者被引导以省城山水为精神故乡,通过地缘记忆的情感纽带,将抽象的宗族认同锚定于具体的地方景观,使地以族显、族以地荣的伦理关系确立。对于在省城求学、候任、经商而暂居陈家祠的族人而言,山水灰塑将省城再现为可居可游的家园,强化了对广州与陈家祠的地方依附,最终指向收宗睦族的目的。由此,灰塑山水画推进观者与陈家祠的人地关系从物理层面升华为情感层面,生产出兼具地方归属感与宗族认同感的伦理主体。

(二) 吉地仙境

吉地仙境是一种理想家园图景。灰塑山水画的表征实践将风水吉地与仙境想象转化为可见的家园愿景(见图 14-15),通过视觉元素和空间构图,将登高转化为可供观看与想象的视觉图式。它们采用北宋郭熙“三远法”中平远与深远构图手法,将观察点设定在一个高于周围地形的视点,使画面产生俯瞰或远眺的视觉效果;从高处望去:连绵的低矮山丘,环绕的江河,河面的桥梁与船只、远处的古塔、隐现的寺庙、蜿蜒的道路以及散布的亭台楼榭等视觉元素在画面中编码依次展开;屋主坐于看亭之中静观、凝望、沉思,姿态淡雅自然。

与其他山水画不同的是,《洞天福地》以穿透山体的山洞为核心表征。洞口作为建筑屋脊上真实的物理存在,既承担台风季节卸载风力,增强屋脊抗倾覆能力,也是道教仙境意象符号的视觉呈现。山洞与岭南水乡景观元素:古塔、流水、寺庙、常青树木、蜿蜒小径等组合,编码为介于理想与现实间的第三空间。共同构成“藏风、聚气、得水”的理想风水格局。《洞天福地》强调藏与入——进入山体、寻访仙境,《登高望远》则强调升与望——攀登高处、眺望远方。这些视觉表征指向不同的人地关系维度:灰塑山水画中藏有广府人的家园和心中之境。

此外,灰塑山水画在文人私家园林与宗族祠堂中呈现出内敛与外露两种不同的空间话语。在文人私园语境下,山水灰塑是内向性的审美媒介。文人士绅将其布置于亭台内壁、书房墙面、廊内侧等私密或半私密空间,供人近距离沉浸式观赏,这种空间部署本质上是文人阶层独善其身、藏而不露等伦理追求的物质表达。余荫山房作为岭南四大私家园林之一,其中灰塑壁画《山行图》堪称典范(见图 16):它被安置于深柳堂西侧的深巷尽头,开阔的山水画面与幽静的巷道结合,共同营造置身山林的文人意境和可行、可望、可游、可居的沉浸体验,体现了屋主的林泉之志与闲情向往。而在宗族祠堂中,山

水灰塑兼具身心寄托与权力符号的双重属性，它们被部署于祠堂正脊、门楼上方等建筑外部界面的制高点被集体仰望，向公众昭示家族的财富实力与社会地位，以完成家族权力的话语建构与社会传播。



图 14 花都资政大夫祠灰塑《登高望远》



图 15 广州陈家祠灰塑《洞天福地》



图 16 余荫山房灰塑壁画《山行图》

长期面对此类灰塑，观者会将吉地仙境内化为理想家园的心灵原型，被询唤为兼具入世与出世情怀的伦理主体。对屋主而言，山水环抱、家庙稳固、桥通塔镇的画面，既是身份确认的载体，也是宜居家园的理想镜像；未尽的仙境元素则牵引其趋近更高层次的天人合一。对族中子弟与访客，这类图像传递出一种生活方式的可能：世俗烟火与山水清音并行，商旅往来与内心安宁共存。吉地仙境也让观者看见另一种伦理图景——成功不必以失去栖居为代价，入世无需以牺牲自然为前提。最终生产出既务实经营家业、又向往桃源诗意，不忘精神超越又服务宗族繁衍与财富积累的复合型主体。

结语

灰塑作为岭南广府传统建筑装饰，不仅承载地域审美与民俗信仰，更以图像叙事参与社会伦理建构。在表征－话语－主体路径下，本文揭示人物、花鸟、山水灰塑的三重伦理功能：以神仙、戏文、文人形象实现典范镜鉴，提供善恶规范与人格榜样；以花鸟瑞兽的福瑞修辞映射世俗幸福，调节婚育、富足的价值取向；通过风水龙脉、地方胜景与理想栖居的融合，深化地缘与血缘认同，完成自我与山水的情感联结。灰塑作为物化伦理的视觉装置，功能远超装饰与祈福——它以表征实践将抽象伦理转化为可见的视觉秩序，以空间话语部署使其成为日常生活中的自然真理，最终生产出兼具宗族责任感、世俗进取心与山水家园情怀的广府伦理主体。可见，灰塑形塑着广府人对伦理准则与幸福生活的认知框架，映现传统社会差序团结与情感治理的微观机制，使伦理具象植入日常，彰显灰塑在地域文化与价值观传承中的独特功用。

当代语境下，传统建筑装饰正面临建筑载体消失、技艺断层与文化内涵弱化的危机。通过表征－话语－主体重新阐释传统建筑装饰伦理内涵，拓展

了建筑装饰研究从图像到伦理的跨学科路径，为理解传统空间伦理提供新范式；更以物的视角具象呈现伦理，揭示地域社会的伦理感知结构。本文期望通过重拾灰塑的伦理表达，为传统工艺的保护与活化注入持续的理论动力；为现代社会道德建设、文化自信培育及伦理如何可见的跨学科追问提供历史参照。

Works Cited

阿尔都塞：《哲学与政治：阿尔都塞读本》，陈越译。吉林：吉林人民出版社，2003年。

[Althusser, Louis. *Philosophy and Politics: The Althusser Reader*, translated by Chen Yue. Jilin: Jilin People's Publishing House, 2003.]

戴圣：《礼记》。北京：中华书局，2022年。

[Dai Sheng. *The Book of Rites*. Beijing: Zhonghua Book Company, 2022.]

福柯：《知识考古学》，谢强、马月译。北京：生活·读书·新知三联书店，2003年。

[Foucault, Michel. *The Archaeology of Knowledge*, translated by Xie Qiang and Ma Yue. Beijing: SDX Joint Publishing Company, 2003.]

费孝通：《乡土中国》。北京：北京出版社，2004年。

[Fei Xiaotong. *From the Soil-The Foundations of Chinese Society*. Beijing: Beijing Publishing House, 2004.]

佛山市祖庙博物馆：《岭南圣域 佛山祖庙历史文化陈列》。北京：科学出版社，2017年。

[Foshan Ancestral Temple Museum. *Lingnan Holy Land: Historical and Cultural Exhibition of Foshan Ancestral Temple*. Beijing: Science Press, 2017.]

广东民间工艺博物馆、华南理工大学：《广州陈氏书院实录》。北京：中国建筑工业出版社，2011年。

[Guangdong Folk Arts and Crafts Museum, South China University of Technology. *Records of Chen Clan Academy in Guangzhou*. Beijing: China Architecture & Building Press, 2011.]

霍尔编：《表征：文化表征与意指实践》，徐亮、陆兴华译。北京：商务印书馆，2013年。

[Hall, Stuart ed. *Representation: Cultural Representations and Signifying Practices*, translated by Xu Liang and Lu Xinghua. Beijing: The Commercial Press, 2013.]

李炎等：“明清时期广东地方城市古塔的分布特征研究”，《城市建筑》10（2020）：181-186。

[Li Yan et al. "The Distribution Features of Pagoda of Local Cities in Guangdong in Ming and Qing Dynasties." *Urbanism and Architecture* 10 (2020): 181-186.]

刘兆江：《广州灰塑》。广州：广州出版社，2010年。

[Liu Zhaojiang. *Guangzhou Lime Sculpture*. Guangzhou: Guangzhou Publishing House, 2010.]

李权时：《岭南哲学概论》。北京：社会科学文献出版社，2019年。

[Li Quanshi. *Introduction to Lingnan Philosophy*. Beijing: Social Sciences Academic Press, 2019.]

老子：《道德经》。北京：中华书局，2022年。

[Laozi. *Tao Te Ching*. Beijing: Zhonghua Book Company, 2022.]

聂珍钊：“伦理选择概念的两种涵义辨析”，《外国文学研究》6（2022）：15-25。

[Nie Zhenzhao. “Analyzing the Implications of Ethical Selection and Ethical Choice.” *Foreign Literature Studies* 6 (2022): 15-25.]

—.“Ethical Literary Criticism: Sphinx Factor and Ethical Selection.” *Forum for World Literature Studies* 3 (2021): 383-398.

屈大均：《广东新语》。北京：中华书局，1985年。

[Qu Dajun. *Guangdong Xinyu*. Beijing: Zhonghua Book Company, 1985.]

沈福煦、沈鸿明：《中国建筑装饰艺术文化源流》。武汉：湖北教育出版社，2001年。

[Shen Fuxu and Shen Hongming. *The Cultural Origin of Chinese Architectural Decoration Art*. Wuhan: Hubei Education Publishing House, 2001.]

沈雅彤：《宗教学视域下中国古代佛塔研究》，2023年。山东大学，博士论文。

[Shen Yatong. *Study on Ancient Chinese Stupas from Science of Religion*. 2023. Shandong University, PhD dissertation.]

司马迁：《史记》。北京：中华书局，2019年。

[Sima Qian. *Records of the Grand Historian*. Beijing: Zhonghua Book Company, 2019.]

吴桐：“地缘与血缘：博罗横岭山墓地所见岭南商周时期社会关系”，《江汉考古》3（2025）：92-102。

[Wu Tong. “Geography and Kinship: Social Relations in Lingnan During the Shang-Zhou Period as Seen from the Henglingshan Cemetery in Boluo.” *Jiangnan Archaeology* 3 (2025): 92-102.]

叶显恩、韦庆远：“从族谱看珠江三角洲的宗族伦理和宗族制的特点”，《学术研究》12（1997）：41-46。

[Ye Xianen and Wei Qingyuan. “On the Characteristics of Lineage Ethics and Systems in The Pearl River Delta as Seen from Genealogies.” *Academic Research* 12 (1997): 41-46.]

庄周：《庄子》。北京：中华书局，2020年。

[Zhuang Zhou. *Zhuangzi*. Beijing: Zhonghua Book Company, 2020.]

Nanguo Qingtian: The First Novel in Dai Contemporary Literature

Riccardo Moratto

Abstract: This paper presents an analysis of *Nanguo Qingtian*, the first full-length novel in contemporary Dai literature. Authored by Fang Yunqin and Zheng Peng, the novel occupies a unique position in both Dai cultural expression and broader Chinese literary history. This study examines how *Nanguo Qingtian* navigates the complex interplay between traditional Dai cultural elements and modern literary techniques, often reflecting narratives of progress and national identity shaped by dominant cultural and historical frameworks. This paper argues for the novel's enduring significance beyond its pioneering status. It re-evaluates existing critical perspectives, positioning *Nanguo Qingtian* as a vital contribution to understanding the development of ethnic minority literature within China's evolving literary landscape of the late 1980s.

Keywords: Dai literature; ethnic minority; *Nanguo Qingtian*; Fang Yunqin; Zheng Peng

Author: Riccardo Moratto is Distinguished Professor at the School of Foreign Studies, Tongji University. His research interests center on translation and interpreting studies as well as Chinese literature (Email: moratto@tongji.edu.cn).

标题: 《南国情天》：论当代傣族文学首部长篇小说

内容摘要: 本文以当代傣族文学首部长篇小说《南国情天》为研究对象。该作品由方云琴、征鹏共同创作，在傣族文化表达与中国文学史整体谱系中皆具有独特地位。本文探讨小说如何通过传统傣文化元素与现代文学技法的复杂互动，展现受主导性文化与历史框架所塑造的进步叙事与国族认同话语的微妙回应。研究认为，该作品的意义超越其开创性价值本身。通过重审既有批评视角，本文将《南国情天》定位为理解 1980 年代末中国文学转型期少数民族文学发展的关键文本，论证其对当代中国多民族文学格局建构的重要贡献。

关键词: 傣族文学；少数民族；《南国情天》；方云琴；征鹏

作者简介: 莫冉，同济大学外国语学院特聘教授，主要研究方向为翻译与口译研究、中国文学。本文受到中央高校基本科研业务费专项资金资助。

1. Dai Literature: A Brief Review

In China, the Dai people are mainly distributed in Yunnan province, where 700,000 live in autonomous communities and 500,000 reside across more than 30 counties and cities.¹ They speak multiple varieties of their language, some mutually intelligible, others not.² The transnational distribution of Dai-speaking communities has long fostered a sense of cross-border Dai identity in Southeast Asia.³ The research object of this study is the Dai people, an ethnic group of China with Chinese citizenship.

While not all of China's minority groups possess traditional writing systems, all have developed vibrant oral literatures, and many have produced written works spanning centuries; in recent decades, some have also adopted Standard Chinese to express and preserve their cultural identities.⁴ Early efforts in China to compile Dai literature were shaped by an ideological stance. "Through these years of work, a large number of works and historical materials were discovered, and the *Introduction to Dai Literature* (《傣族文学概况》) was written. Subsequently, Comrade Wang Song (王松) wrote a monograph entitled *A Preliminary Study on the Development of Dai Poetry* (《傣族诗歌发展初探》)" (Yan et al., *Brief Literary History of the Dai People* 2)⁵.

Ancient Songs of the Dai People (《傣族古歌谣》) shows that ancient Dai culture is closely tied to the hero Sangmudi, who shaped their primitive religion⁶ into a unifying belief that influenced early Dai literature.⁷ To propagate its divine consciousness, this

1 See Zhou Yaowen and Fang Fenghe, "The Use and Development of Dai and Its Vernacular Writing Systems," *Language Policy in the People's Republic of China: Theory and Practice Since 1949*, edited by Zhou Minglang, New York: Kluwer Academic Publishers, 2004, 201.

2 See Zhou Yaowen and Fang Fenghe, "The Use and Development of Dai and Its Vernacular Writing Systems," *Language Policy in the People's Republic of China: Theory and Practice Since 1949*, edited by Zhou Minglang, New York: Kluwer Academic Publishers, 2004, 202. For an exhaustive description of the use and development of Dai and its vernacular writing systems, which goes beyond the scope of the present study, cfr. Zhou and Fang (2004).

3 See Riccardo Moratto, "Dai, Tai or Thai? A Transnational 'Imagined' Community," *Critical Arts* 5 (2025): 148-166.

4 See Mark Bender, "Ethnic Minority Literature," *A Companion to Modern Chinese Literature*, edited by Yingjin Zhang, Worchesterhire: Blackwell, 2015, 261.

5 The present review draws mainly on Yan et al.

6 According to the editors, Shaluo (沙罗) was regarded as a hunting god and founder of the so-called primitive religion (See Yan et al., *Brief Literary History of the Dai People* 5). Then, "Sangmudi put forward the slogan of 'building houses and villages, settling down and cultivating' [...] to switch from hunting to settled farming. As a result, this period of Dai literature produced a large number of works reflecting settled life" (Yan et al., *Brief Literary History of the Dai People* 6).

7 See Yan Feng et al., eds, *Brief Literary History of the Dai People*, Kunming: Yunnan Nationalities Publishing House, 1988, 5.

primitive religion created the supreme god Ba Ying (叭英), around whom the Dai genesis epic *Patamaga Pengsangluo* (巴塔麻嘎捧尚罗)¹ was built, “the first climax in the history of Dai literature” (Yan et al., *Brief Literary History of the Dai People* 6). As argued by van Loenen, the dawn of literature in every civilization is linked with mythical heroism and religion; Dai literature is no exception.²

In ancient times, literature and Theravada Buddhism reinforced each other: religion supplied themes and material for literary creation, while literature disseminated Buddhist teachings. Yan et al. note that “the peak of Dai literature is closely related to the fact that Theravada Buddhism had become the faith of all Dai people. In turn, Dai literature helped Theravada Buddhism to become the universal³ faith of the Dai people” (*Brief Literary History of the Dai People* 7). They further claim that intellectuals “around the eighteenth century broke the fetters of Buddhist thought and wrote tragic narrative poems that reflected the reality of life, leading to the emergence of realism in Dai literature” (*Brief Literary History of the Dai People* 10). This view reflects a teleological interpretation of literary development. I contend, however, that the emergence of realism had little to do with the so-called “fetters of Buddhism”; rather, it mirrored broader literary trends evolving worldwide during that period.

Epic and narrative poems have long held a prominent place in Dai literature. Even after the emergence of the novel, Dai writers continued to favor poetry over prose forms. A key figure in Dai society has always been the *zanha* (赞哈)⁴, who bears multiple social functions such as inheriting ethnic history, disseminating religious culture and presiding over folk rituals.

Folktales, in both narrative and epic poem forms, appear to be the most prolific genre among the Dai people. Several anthologies exist, with Fu et al.’s (1985) *Collection of Dai Folk Tales* (《傣族民间故事选》) being a notable example. In Xishuangbanna, storytellers, known as *bozhang* (波章), those who invite monks to recite sutras, have recorded over 10,000 stories across the dynasties.⁵ A persistent

1 Also known as 《南师巴塔麻嘎帕萨傣》. This work covers topics such as the opening of the heavens, the creation of humanity, the emergence of the Dai ancestors, and their subsequent migration and settlement. It preserves numerous Dai myths as well as legends about historical figures, making it an invaluable ancient source for the study of Dai mythology and society.

2 See Eva van Loenen, “Examining Religious Identity through Literature: The Chosen by Chaim Potok,” *Emergence* 4 (2012): 7.

3 Whether Theravada Buddhism was universal or not is a controversial topic.

4 See Wang Song, “A New Beginning for Dai Literature—Review of the Long Novel ‘Nanguo Qing-tian’,” *Studies of Ethnic Literature* 3 (1991): 86.

5 See Fu et al., eds., *Collection of Dai Folk Tales*, Shanghai: Shanghai Literature & Art Publishing House, 1985, 8.

problem with such anthologies, however, is the ideological interpretation that arises from selectively choosing stories aligned with particular historical or societal values while omitting others; biased readings are inevitable, even in anthologies that purport to be ideologically neutral.

Fu et al., for instance, describe the myths as expressing “the simple materialistic worldview of the Dai ancestors” (9) and “everything in the world is obtained through labor and sweat” (9). While early literary works did emphasize materialistic aspects more than later religion-inspired ones, I would hesitate to characterize the Dai ancestral worldview as “simple” or “materialistic.” I do agree, however, with Fu et al.’s observation¹ that Dai folktales express “the Dai people’s pursuit of a better life” and an “optimistic fighting spirit,” reflecting their imagination, ideals, and oral creativity.

Anthropological research has contributed much to the study of ancient Dai literature, but contemporary Dai literature must also be examined through the lenses of modernity (which involves the reconfiguration of worldviews through the “nation-state”) and secularization (which reflects a shift toward everyday concerns).

The emergence of contemporary ethnic minority literature in China is inseparable from post-revolutionary institutional developments, most notably the establishment of *Minzu* universities and colleges, where many minority students received bilingual education in their native languages and Standard Chinese. Combined with state policies supporting minority-language publishing and local literary associations, this fostered a generation of writers who participated in both their own cultural traditions and the national literary sphere. The latter half of the twentieth century thus saw a flourishing of secular ethnic minority literature. Novels, poems, and short stories, often written in Chinese but infused with local themes, exploring modern ethnic identity, social change, and the place of minority cultures within the broader national narrative. It is within this context that the present analysis proceeds.

This study examines the first full-length novel in contemporary Dai literature, *Nanguo Qingtian* (《南国情天》, *Love in the South*, henceforth *NGQT*), published by People’s Literature Publishing House in 1988.² The authors, Fang Yunqin (方云琴) and Zheng Peng (征鹏), were born in Dehong Dai and Jingpo Autonomous Prefecture and Xishuangbanna Dai Autonomous Prefecture, and both studied at the Beijing

1 See Fu et al., eds., *Collection of Dai Folk Tales*, Shanghai: Shanghai Literature & Art Publishing House, 1985, 11-14.

2 To my knowledge, this work has been discussed by Chinese critics but not yet by Western scholars or in English-language studies.

Institute for Nationalities.¹ They represent the first cohort of Dai students to receive a college education after the founding of the People's Republic of China in 1949.²

The novel does conform to the tenets of socialist realism, but my theoretical point of departure differs from scholars such as Lukács, who claimed that “works of art that belong to this genre [epic]—for example Homeric epic poetry and the modern novel—must always express the objective reality of social and individual human life *as it is* (1916, 46 in Stahl 2018, np, emphasis in the original).³ I do believe, however, that the novel, given its constructed nature and length, provides “a lens through which a society sees itself and the rest of the world” and plays a role “in the propagation of ideas, thoughts, desires and feelings in the public domain” (Saidu nd, np).⁴ As Dentith puts it, the novel was, and I argue still is, “one of the ways of constructing the national imaginary, the ‘imagined community’ which is the necessary conceptual counterpart to the material realities of nation-states” (46).

I agree with Wang that, given the history of Dai literature and the development of minority literature in China, *NGQT* “should not be given a lukewarm reception” (86). Beyond its historical significance as the first full-length novel in contemporary Dai literature, *NGQT* weaves traditional Dai motifs, Buddhist devotion, oral folklore, with modern narrative techniques such as shifting perspectives, psychological depth, and intertextuality. Its nuanced portrayal of cultural conflict, identity, and belonging, especially through the character Danrui, adds emotional and philosophical depth beyond ethnographic description. The novel’s paratexts, symbolic nature imagery, and the interplay between realism and allegory position the novel as a literary artifact engaging both national discourse and regional aesthetics. Its value lies not only in its pioneering status but in its articulation of a distinctly Dai literary voice within modern Chinese fiction.

2. Before and Beyond the Text: Paratextual Allusions

The title 南国情天, freely rendered here as *Love in the South*, resists easy translation. The noun phrase *nanguo* can mean Southern nations and/or state/

1 See Yan et al., eds., *Literary History of the Dai People*, Kunming: Yunnan Nationalities Publishing House, 1995, 804. See also Zheng and Yang (1999, 263). The authors belonged to the first cohort of Dai students to receive higher education after the founding of the People's Republic of China in 1949 (See Yan et al., eds, *Literary History of the Dai People*, Kunming: Yunnan Nationalities Publishing House, 1995, 804.).

2 See Yan et al., eds, *Literary History of the Dai People*, Kunming: Yunnan Nationalities Publishing House, 1995, 804.

3 See <https://plato.stanford.edu/entries/lukacs/>. Accessed September 27, 2023.

4 See <https://www.globalacademicgroup.com/journals/knowledge%20review/Daada%20Saidu.pdf>. Accessed 28 September, 2023.

s (plausible given that the novel is set in both China and Myanmar) or “Southern country” (Chinese has no plural marker). The notion of a “Southern country”—whether imagined as a distinct or even separate cultural and geographical space in the south (of China?)—may well invite reflection from readers inclined toward cultural or political interpretations, or even overinterpretations. As for *qingtian*, this word nowadays usually indicates the realm of love.¹

The paratext is “‘an undefined zone’ between the inside and the outside, a zone without any hard and fast boundary on either the inward side (turned toward the text) or the outward side (turned toward the world’s discourse about the text)” (Genette 2).² *NGQT* offers a short introduction that foregrounds the novel’s leitmotifs and sets a “paternalistic” tone. I translate it here:

The heroine of the novel, Danrui Aili, is a mixed-race Italian and Burmese Dai. When she was fifteen years old, she had to give up her love for John, a young Englishman, for special reasons, and married Dao Chengzong, a Chinese-Dai *Tusi* [local chieftain] of Mengwanba, who was more than twenty years older than her [...]. After her arrival in Mengwanba, Danrui learns that she is her husband’s seventh wife and endures great suffering. Thereafter Danrui is repeatedly ravaged by her husband’s first wife. In the midst of anger and remorse, she tries to commit suicide once by taking poison and she even runs away twice. When Dao could not bear to see his wife abused, he sends her back to her mother, and that is when the Japanese planes bomb Menggu [Mong Ko]. Dao Chengzong is wounded saving Danrui’s brother. [Through this gesture], Danrui sees that Dao loved not only her but also her family, so she was deeply moved and [finally] came to love Dao wholeheartedly. (*NGQT*, np)

Whether written by the authors or the editors, this introduction reveals much about their stance on Dai traditional culture. The story is set in Mengwanba (勐婉坝), in Mengwan County 勐婉, also known as Longchuan County (陇川县). Situated in Dehong Prefecture, it shares a natural border with Myanmar, connected through mountains and rivers.³ This paratext plays a crucial role in establishing tone and conveying the cultural values the authors seek to support or contest.

1 See <https://www.chinesewords.org/dict/120169-481.html>. Accessed January 1, 2023.

2 See also Moratto and Xu 2023.

3 In Dai, *mengwan* means “the place where the sun shines.” Another toponym, mentioned in the introduction, Meng Gu (勐古), or Mong Ko in Burmese, is located on the China-Myanmar border.

3. The Novel *Love in the South*

The novel consists of twenty-two chapters and an epilogue. This analysis attends not only to the story but to its extratextual and paratextual elements, conveyed through intra- and intertextual cultural and linguistic features, to explore the literary representation of the protagonists and the Dai culture they embody.¹

Before Chapter One, a “dedication” provides another paratextual element, not a real dedication but a citation from Wang Can’s (王粲, 177-217) *Denglou fu* (《登楼赋》, “Mounting the Tower”) of the late Eastern Han period (25-220 CE).² The two verses “情眷眷而怀归兮, 孰忧思之可任?” may be loosely translated as “Affection lingers and I long to return home, who could bear such sorrow and longing?” Paired with the chapter title, these verses hint at the story’s *leitmotif*: a longing for home. The question that remains is: where is “home”?

3.1 Idyll and illusion: Exploring identity and marginalization in Dai literature

The novel opens with the heroine, Danrui, caught in a nightmare. She drifts across an ocean toward a boy whose “hair changes from black to blonde in the wind” (3), but a towering black wave blocks her path and she loses sight of him. Waking in tears, she gazes at the calm dawn sky, wondering who the familiar boy might be,³ drifting back to memories of her long-lost love.

She opens the window to “the fragrance of the lotus flower” (4). Beyond the pond lies Jewel Mountain (宝石山)⁴, named for greenery that glimmers in various shades and resembles a gem throughout the day. With nearby White Elephant Mountain (白象山) and the rose-tinted dawn, the landscape contrasts starkly with the nightmare’s dark tension. Nature is portrayed as a refuge for the soul, a key theme in Dai culture. “What is emotion? What is reason? Different people and different societies have different standards” (4). The landscape resembles any typical Dai village in Yunnan.

On her first day in Mengwanba, Danrui arrives in a flower-adorned sedan. Her husband, Dao Chengzong, in traditional Dai attire, welcomes her to their new white

1 All the citations are my own translations and are drawn from the novel itself (Fang and Zheng 1988). In the following pages, when the pages are not accompanied by other bibliographical information, it means the citation is from the novel.

2 For more information regarding Wang Can, please cfr. <http://www.chinaknowledge.de/History/Division/personswangcan.html>, Accessed December 8, 2022.

3 The fact that she is not certain is quite peculiar, considering that Danrui’s first love, as we will learn, is a blond Englishman.

4 An attentive reader would be aware of the similitude both in terms of names and landscape-wise with the Baoshan Hill in Hangzhou, towering over the West Lake.

home as locals celebrate for seven days to honor their *zhaomeng* 召勐 (local ruler). Veiled in red, she cannot see her future family, yet she has already “fallen in love with this beautiful, fertile, and magical place” (5); Mengwanba seems like “a green peacock” (5). The landscape is personified, with White Elephant Mountain likened to a mother embracing her children.

Danrui’s life seems idyllic, reflected in the lake outside her window—the lake of happiness, beauty, and love, also called “Peacock Lake” because in ancient times seven peacock princesses would bathe and marry there; its white lotuses symbolize pure love (6).¹ Even her maidservant E’jing (娥静), whose name means “beautiful and serene,” conceals an atrocious destiny. Born and raised in Mengwanba, E’jing tells Danrui she never tires of its beautiful dawns and sunsets. Such emphasis from a local sharpens the contrast with the cruel fate that awaits both women, introducing an atmosphere of emotional dissonance that permeates the following chapters. The instability between joy and sorrow, illusion and reality, also functions allegorically: the Dai people’s perceived harmony and exotic beauty often masks deeper tensions, marginalization, and identity crisis.

The novel’s repeated use of aestheticized natural imagery to contrast with the characters’ emotional and social hardships suggests a disjunction between surface beauty and underlying trauma. The novel raises a rhetorical question about whether the “joy” associated with rural Dai life is genuine, reflecting a broader Han narrative of “liberation” that frames these “primitive” yet “docile” communities as improved through modern intervention, as suggested in the first chapter.

Despite being written in Chinese, *NGQT* is regarded as a “Dai novel” because of the authors’ ethnic identity and the novel’s cultural substance: it depicts Dai customs, the *tusi* system, religious life, and transnational connections with Myanmar, elements central to plot and character rather than ornamental. The novel thereby contributes to Dai literary history while engaging the national literary discourse through Chinese, articulating the distinctiveness of Dai cultural heritage.

Nature continues to mirror the protagonists’ inner states. At the start of Chapter 4, Dao is consumed by passion for the roses in his garden, symbolizing youth and his young wife. In Chapter 5, Danrui discovers she is not Dao’s first wife; as she prepares a welcome banquet for his eldest son Dao Kunlong (刀坤龙), “black clouds [...] covered the bright moon, and the lotus lake was pitch black” (106). In Chapter 7, Dao takes Danrui to her mother’s village in Myanmar, where a Japanese air raid sparks their deepening love. Danrui tends to his wound overnight in an air-raid

1 By the end of the book, we come to understand that these white lotuses acquire an entirely new symbolic significance with E’jing’s death, representing pure love.

shelter; by morning her mother encloses the shelter with bamboo, and within days blooming petunias symbolize renewal. The primeval forest and its flowers come to symbolize the destiny and temperament of the Dai. Later, after being scolded by her grandmother Osmanthus, Danrui's daughter Nanman (喃曼) vents her frustration on the flowers in her grandmother's garden; Danrui teaches her that "flowers can also suffer, even if silently" (277-278).

3.2 Transnational ethnic agency amidst modernity's tensions

The novel showcases several Dai customs. Dao Chengzong enjoys watching Danrui perform Burmese-style court dances each morning, highlighting the region's cultural hybridity, while villagers' deference to him as local chieftain prompts his explanation of the Dai people's gentle disposition and hospitality.

Early on, a ritual involving *Jasminum grandiflorum* (素馨花) introduces Dai cultural symbolism: Osmanthus promises to place the flower, which blooms in April during the Dai New Year, on a mountaintop if her husband George dies in war, believing its fragrance could reach him. Her decision to cut down a mango tree after George's ominous dream also reflects Dai spiritual beliefs.

Han readers are clearly the target audience: they are told that young Dai boys are sent to a monastery at an early age, and that locals encourage Osmanthus to do the same with Zoey, Danrui's little brother. After three months, boys may leave the monastery if they choose not to become monks (还俗). Like Danrui, Zoey deeply loves his mother, reflecting the prominent role mothers play in Dai culture, and is happy to go, believing it will help his mother ascend to heaven. Yet Osmanthus's words sound more Han than Dai: "We, the Dai people, have not had special schools to train our children from ancient times to modern times, and have relied entirely on *kyaungs*¹ to preserve and spread our national culture" (28). No Dai person would say this, since monastery schools *are* schools for training children. As McCarthy argues, for the Dai, "state-provided education [...] is lacking in application to rural life" (80).

The conundrum is that the Dai's perceived backwardness is consistently associated with their values and Buddhist practices, particularly the detachment outsiders mistake for passivity.

Despite these alienating elements, the monastery's significance in Dai social life emerges through tragedy. One night a fire consumes the monastery, killing two boys; Zoey flees in terror, runs up the mountain, and hits his head on a tree, shouting "fire." In shock, he is confined while his mother prays. Danrui stops attending school to help, and Osmanthus's sister arrives from Yangon urging that Zoey be taken to a larger hospital. Osmanthus blames herself, believing her husband would

¹ A *kyaung* is a monastery (*vihara*), comprising the domestic quarters and workplaces of Buddhist monks.

have prevented the tragedy. Readers observe a subtle cause-effect link between Zoey's monastery attendance, framed as "not a special school," and disaster. Notably, the fire occurs the night before his planned departure: had he stayed, would the tragedy have been averted?

The authors deliberately embed historical and geographical codes to highlight Dai transnational agency in modern political contexts. Dao's father, an ambitious man, left for Tokyo to study, where Sun Yat-sen's call to expel the "Tatar barbarians" inspired him to join the United League and spread revolutionary ideas among southwestern minorities, aiming to "save the Chinese nation, including the Dai people" (77).

The Dai way of life, often labeled backward under Han-dominated worldviews, is quietly subverted through the Dai people's transnational connections. Dao recounts his father's frustration that boys could only learn their language in monasteries, with no instruction in mathematics, physics, or chemistry, so he hired teachers and established the first elementary school in Mengwanba so that his children could "make due contributions to the progress and prosperity of the Dai people" (79). Danrui notes that Myanmar faced the same educational dilemma until state-run institutions were established—implicitly highlighting the shared historical experiences of Dai communities across borders. The Dai are not confined within the political boundaries of the PRC but form a larger ethnolinguistic network spanning Southwest China, Myanmar, Laos, Thailand, and even Assam in India. Their cross-border kinship, religious practices, and educational traditions point to a transnational Dai identity shaped as much by regional flows as by national policies.¹

Buddhist devotion is another recurring element. In Yangon, little Nanman visits Shwedagon Pagoda to pray for protection and notices poor flower sellers, realizing not everyone shares her wealth, an enlightening journey. At their pension she befriends Indian staff, highlighting India's persistent presence in the novel (the Dai are also found in Assam).

When Dao dies, cannons are shot seven times to mark the passing of the last *tusi* of Mengwanba, a status the authors emphasize repeatedly. Danrui is only 28. Funerary tradition appears in the bamboo figures in the courtyard: "each as tall as a real person and dressed in clothing [...] These figures represented attendants, servants, and soldiers who serve Dao in the underworld" (446).

4. Reception and Criticism

Published in 1988, *NGQT* is "the first full-length new work written by Dai writers

¹ For a more comprehensive analysis of these transnational dynamics, see Moratto (2025).

since the founding of the People's Republic of China that reflects the modern social changes and real life of the Dai people" (Zhang 54). Although Yan et al. claim the novel received widespread attention,¹ the actual response has been relatively lukewarm. A Google Scholar search for “南国情天” yields only two papers, none in English.²

As Wang frankly states, the novel “has not attracted the attention of the ethnic literature community, let alone the literary world in China” (86). Non-Chinese critics have followed suit: no work to date exclusively discusses the novel despite its pioneering status.

For Zhang, the novel's value lies in being “a true and graphic record of the historical changes of the modern Dai people” (55), depicting through turbulent upheavals the lives, thoughts, and characters of the Dai in China, their upper-class figures, the Burmese, and the wider world. Wang credits it with critical social significance, arguing that “through the marriage and love between Dao Chengzong and Danrui, the novel reveals the contradictions and ugliness [*sic*] within the feudal lords of the Dai people” (86), an “ugliness” he traces to a lack of internal cohesion and stunted productivity. Wang's analysis reflects a(n alleged) Marxist lens emphasizing class struggle that may overshadow other readings of the characters and social structures. Overall, however, critics recognize the novel as a reflection of Sino-Burmese friendship embodied in Dai transnational ties³ and appreciate it from the perspective of socialist realism.⁴

The novel also has shortcomings, notably its limited inclusion of Dai legends. Zhang further argues that it lacks depth and perspective on the historical events of the 1940s and 1950s, fails to explore the Kuomintang's shift from anti-Japanese to anti-communist positions.⁵ The characters' lives in Myanmar are portrayed superficially, with flat depictions of the British and allied forces. While the novel highlights the tenderness of transnational ethnic groups, Zhang finds it lacks the grandeur needed for a more compelling narrative.

In the early 1980s, humanist and neo-enlightenment discourses dominated; by the late 1980s, root-seeking literature and modernism were emerging. *NGQT* can to

1 See Yan et al., eds, *Literary History of the Dai People*, Kunming: Yunnan Nationalities Publishing House, 1995, 804.

2 As of January 27, 2023.

3 See Yan et al., eds, *Literary History of the Dai People*, Kunming: Yunnan Nationalities Publishing House, 1995, 806.

4 See Wang Song, “A New Beginning for Dai Literature—Review of the Long Novel ‘Nanguo Qingtian’,” *Studies of Ethnic Literature* 3 (1991): 86-89.

5 See Zhang Chengyuan, “A Historical Scroll of the Modern Life of the Dai People—Review of the First Full-length Novel of the Dai People ‘Nanguo Qingtian’,” *Novel Review* 4 (1991): 54-57.

some extent be read as belonging to the root-seeking school: its exploration of inner lives and polyphonic dialogues on enlightenment and development (i.e. Bakhtin's dialogism) extends the humanist and neo-enlightenment discourse of the early 1980s.

NGQT continues the literary trends of the early 1980s: history serves only as a background for reflecting on modernization, enlightenment, and the fate of individuals and communities, not as the text's purpose. The authors, not historians, can only reproduce the pre- and post-WWII period through documents and materials (rather than lived experience), and even faithful reproduction is limited. This is the paradox of realism: no matter how realistic it is, it remains fiction. We can only discuss how the "realistic effect" of realist fiction is "realistic."¹ Rather than measuring the novel against typicality and realism, one should attend to its rootedness, how the authors mobilize contemporary Chinese literary resources to highlight the Dai situation and negotiate Dai identity in the globalized context of the late 1980s.

I agree with Yan et al. that the characters are multifaceted, represented in their emotional, cultural, social, ethnic, and psychological dimensions²; even E'jing, whose deeds receive little detail, leaves a strong impression. Politically significant characters, however, are treated less *in-profundum*. Yan et al. attribute this to the authors' unfamiliarity with certain political scenarios³.

5. Conclusion and Limitations of This Study

This paper has analyzed the Chinese-language novel *NGQT*, examining how Fang Yunqin and Zheng Peng articulate Dai ethnic identity and transnational agency. After tracing the origins of the Dai people in China and surveying their literary genres—both written and oral, the analysis focused on *NGQT* as a "new" Dai authorial voice in New China, reading the novel through its paratextual features and thematic representations of cultural clash. As Yan et al. acknowledge, the mere fact that *NGQT* is the first novel in the history of Dai literature in China warrants further attention.⁴ Moreover, contrary to some scholarly claims⁵, the typical and

1 This argument was inspired by Roland Barthes' concept of the "reality effect," which refers to the abundance of concrete details and signifiers in the text that seem functionless, yet actually serve to transform the tripartite nature of the sign, creating a direct connection between the object and its expression (qtd. in Adams 11).

2 See Yan et al., eds, *Literary History of the Dai People*, Kunming: Yunnan Nationalities Publishing House, 1995, 811.

3 See Yan et al., eds, *Literary History of the Dai People*, Kunming: Yunnan Nationalities Publishing House, 1995, 812.

4 See Yan et al., eds, *Literary History of the Dai People*, Kunming: Yunnan Nationalities Publishing House, 1995, 810.

5 See Zhang Chengyuan, "A Historical Scroll of the Modern Life of the Dai People—Review of the First Full-length Novel of the Dai People 'Nanguo Qingtian'," *Novel Review* 4 (1991): 57.

culture-bound characterization of the protagonists is itself a significant achievement of Fang and Zheng's work as Dai, and thus "ethnic," writers.

To the best of my knowledge, this is the first study devoted to the first novel in Dai literary history, but it is limited in scope. Future research focusing on other authors is warranted, including writers of other ethnicities engaging Dai topics, themes, or places.

A few final remarks on the role of the ethnic writer. Is the mission only to write about one's own ethnicity? Wang contends that a writer who "loses sight of the history and changes in the social life of his people [...], his own literary traditions [and] linguistic characteristics [...] loses the meaning of his existence as an ethnic writer" (87). This paternalistic stance is echoed by Yan et al., who insist that an ethnic writer's work loses its cultural style if disconnected from tradition, and must preserve and innovate within that heritage to be appreciated.¹

I argue, however, that the value of a novel should be judged, irrespective of whether it is written by a "native writer" in the "soil of his own traditional culture." That said, the fact that Dai authors write about their own customs may, though not necessarily, lend a further element of authenticity to the material. This point warrants further attention in future research.

It is hoped that more international literary scholars will recognize the works of Dai authors, as well as those of Han authors addressing Dai themes, as an integral component of World Literature. Here, as elsewhere², I would like to end with a warning and a wish beautifully articulated by Spivak: "Higher education in the humanities should be strengthened so that the literary imagination can continue to de-transcendentalize the nation and shore up the redistributive powers of the regionalist state in the face of global priorities. Imagine this, please, for a new world around the corner" (58).

Works Cited

- Adams, Jenni. *Magic Realism in Holocaust Literature: Troping the Traumatic Real*. Basingstoke, UK: Palgrave Macmillan, 2011.
- Bender, Mark. "Ethnic Minority Literature." *A Companion to Modern Chinese Literature*, edited by Zhang Yingjin. Worcestershire: Blackwell, 2015. 261-275.
- Dentith, Simon. "Realist Synthesis in the Nineteenth-Century Novel: 'That Unity Which Lies in the Selection of Our Keenest Consciousness'." *Adventures in Realism*, edited by Matthew Beaumont.

1 See Yan et al., eds, *Literary History of the Dai People*, Kunming: Yunnan Nationalities Publishing House, 1995, 812.

2 See Riccardo Moratto, "Literary Representations of the Thái in the First Thái Novel in Vietnamese Literary History," *Journal of Language, Literature and Culture* 2 (2025): 115-131.

Malden, MA: Blackwell, 2007. 33-49.

方云琴、征鹏：《南国情天》。北京：人民文学出版社，1988年。

[Fang Yunqin and Zheng Peng. *Nanguo Qingtian*. Beijing: People's Literature Publishing House, 1988].

傅光宇等编：《傣族民间故事选》。上海：上海文艺出版社，1985年。

[Fu et al., eds. *Collection of Dai Folk Tales*. Shanghai: Shanghai Literature & Art Publishing House, 1985.]

Genette, Gerard. *Paratexts: Thresholds of Interpretation (Literature, Culture, Theory)*, translated by Jane E. Lewin. Cambridge: Cambridge UP, 1997.

McCarthy, Susan K. *Communist Multiculturalism. Ethnic Revival in Southwest China*. Seattle: U of Washington P, 2009.

Moratto, Riccardo. "Dai, Tai or Thai? A Transnational 'Imagined' Community." *Critical Arts* 5 (2025): 148-166.

—. "Literary Representations of the Thái in the First Thái Novel in Vietnamese Literary History." *Journal of Language, Literature and Culture* 2 (2025): 115-131.

Moratto, Riccardo and Qianqian Xu. "Paratexts as a Site of Cultural Reflection: James Legge and Wang Tao's Collaborative Translation of *The Chinese Classics*." *Babel* 3 (2023): 375-397.

Spivak, Gayatri Chakravorty. *Nationalism and the Imagination*. London, New York, Calcutta: Seagull Books, 2010.

van Loenen, Eva. "Examining Religious Identity through Literature: The Chosen by Chaim Potok." *Emergence* 4 (2012): 7-10.

王松：“傣族文学的新起点——评长篇小说《南国情天》”，《民族文学研究》3（1991）：86-89。

[Wang Song. "A New Beginning for Dai Literature—Review of the Long Novel 'Nanguo Qingtian'." *Studies of Ethnic Literature* 3 (1991): 86-89.]

岩峰等编：《傣族文学简史》。昆明：云南民族出版社，1988年。

[Yan Feng et al., eds. *Brief Literary History of the Dai People*. Kunming: Yunnan Nationalities Publishing House, 1988.]

——：《傣族文学史》。昆明：云南民族出版社，1995年。

[—, *Literary History of the Dai People*. Kunming: Yunnan Nationalities Publishing House, 1995.]

张承源：“傣族现代生活的历史画卷——评傣族第一部长篇小说《南国情天》”，《小说评论》4（1991）：54-57。

[Zhang Chengyuan. "A Historical Scroll of the Modern Life of the Dai People—Review of the First Full-length Novel of the Dai People 'Nanguo Qingtian'." *Novel Review* 4 (1991): 54-57.]

征鹏、杨胜能编：《新编西双版纳风物志》。昆明：云南人民出版社，1999年。

[Zheng Peng and Yang Shengneng, eds. *Newly Compiled Local Gazetteer of Xishuangbanna Customs and Scenery*. Kunming: Yunnan People's Publishing House, 1999.]

Zhou Yaowen and Fang Fenghe. "The Use and Development of Dai and Its Vernacular Writing Systems." *Language Policy in the People's Republic of China: Theory and Practice Since 1949*, edited by Zhou Minglang. New York: Kluwer Academic Publishers, 2004. 201-218.

My Interdisciplinary Research Journey in Literature

Gao Xudong

Abstract: My interdisciplinary research began with literature and cultural studies, examining the characteristics of Chinese and Western literature through a comparative reflection on their cultural similarities and differences, resulting in several monographs and a number of innovative perspectives. I subsequently developed a keen interest in the intersections of literature with religion and philosophy, publishing monographs that present unique perspectives in these areas and contribute distinctive insights to ongoing scholarly debates. I then extended my interdisciplinary research to explore literature's relationship with all other human expression domains, including various arts such as music, painting, theater, and film; humanities disciplines like philosophy, history, ethics, psychology, mythology, and anthropology; social sciences such as sociology, statistics, politics, economics, and law; and interdisciplinary studies involving literature and science, technology, ecology, the environment, geography, and religion. This research has yielded both monographs and interdisciplinary contributions to the Marxist Theory Research and Construction Project (commonly known as Ma Gongcheng) *Introduction to Comparative Literature*, as well as papers specifically addressing the Chinese resources of literary ethics.

Keywords: literature; interdisciplinary studies; academic innovation

Author: Gao Xudong is Professor of Shanghai Jiao Tong University (Shanghai 200240, China), specializing in comparative literature as well as modern and contemporary literature (Email: gaoxudong116@aliyun.com).

标题：我的文学跨学科研究之路

内容摘要：我的跨学科研究是从文学文化学入手，在比较反省中西文化异同的基础上看取中西文学的特征，并且出版了多部专著，得出很多新颖的观点。后来又对文学与宗教、文学与哲学产生了浓厚的兴趣，并且出版了专著，在学术争鸣中表现了关于文学与宗教、文学与哲学的独到见解。进而将跨学科研究的触角伸向文学与人类的其它一切表现领域，如文学与音乐、绘画、戏剧、影视等各类艺术，文学与哲学、历史、伦理学、心理学、神话学、人类学等人文学科，文学与社会学、统计学、政治、经济学、法学等社会科学学科以及文学与科学技术、生态环境、地理学、文学与宗教的跨学科研究。在这方面既有专著，又有“马工程”《比较文学概论》的跨学科研究，并且还

有专门研究文学伦理学的中国资源的论文。

关键词：文学；跨学科研究；学术创新

作者简介：高旭东，上海交通大学人文学艺术研究院教授，主要研究方向为比较文学和现当代文学。

My interdisciplinary research in literature nearly coincided with the start of my career in literary studies. In 1985, I submitted the paper “On Chinese-Western Comparative Literature” to the founding conference of the Chinese Association for Comparative Literature and its first academic symposium. There, I proposed a preliminary framework for interdisciplinary research on literature and culture, emphasizing the profound cultural differences between Chinese and Western contexts. Even analogous literary phenomena could assume distinct roles and significance within their respective cultural structures, which I illustrated with concrete examples. This paper was prominently featured in the May 1986 issue of *Critic* (Taiyuan) and reprinted in its entirety in *Selected Reviews* (Shijiazhuang). Subsequently, I published essays such as “On the Dialogue between Literature and Culture” in issue no. 2 of *Literary Critic* (Jinan) in 1988. Particularly, in “Proposals for Establishing Literary Cultural Criticism,” I sought to construct literary cultural studies as an independent theoretical methodology for literary criticism: “Literary cultural studies is a discipline that examines the relationship between literature and culture, revealing cultural underpinnings through literary phenomena or exploring them from a cultural perspective, or conducting comprehensive research on art in the image era, thus emerging as an interdisciplinary field between literary studies and cultural studies” (“Proposals for Establishing Literary Cultural Criticism” 4). The paper has three backgrounds for constructing literary cultural criticism: first, the Internet and visual media rendered traditional elite literary research strategies obsolete, prompting more scholars to join cultural studies, as exemplified by the Birmingham School; second, the introduction of heterogeneous cultures like those from the East spurred a shift in comparative literature toward comparative cultural studies; third, with the dissolution of the Soviet Union, the two major blocs of nation-states that had opposed each other and engaged in a Cold War on the basis of political ideology disappeared, and what replaced ideological confrontation was what Huntington called a “clash of civilizations.” The paper further asks: “What is the position and function of literature in human cultural structure? How has it evolved over time?” (“Proposals for Establishing Literary Cultural Criticism” 6) In the same year, I published with Hebei People’s Publishing House the monograph *Tree of Life and Tree of Knowledge: Thematic comparison*

between Chinese and Western Cultures and a co-authored volume, on which I am the first-listed author, *The Spirit of Confucian and the spirit of Christian: A Cross-Cultural Dialogue between China and the West*. As two of the five volumes in the Chinese-Western Comparative Culture Series edited by Professor Yue Daiyun, these works offer an in-depth comparative study of the similarities and differences between Chinese and Western cultures and their relationship to literature. These works were among the earliest comparative cultural publications after China's reform and opening-up, featuring commendations from Professor Ji Xianlin in the series' preface and Yue Daiyun's introduction. The series ultimately included seven volumes, three of which were authored by me. The renowned scholar Sun Jingyao highly praised *Tree of Life and Tree of Knowledge*, noting in a 1993 review in *China University Academic Abstracts* that the work "pointed out a new direction for the future of comparative literature." As it emphasizes both cultural conflicts and integration, predated Samuel Huntington's 1993 formulation of the "clash of civilizations" thesis and his subsequent focus on cultural differences, *Tree of Life and Tree of Knowledge* was reissued twenty years later, in 2010, by Peking University Press.

The series also included another of my monographs, *Cultural Giants and Cultural Conflicts: Lu Xun in the Vortex of Chinese-Western Cultures*, published by Hebei People's Publishing House in 1994. Approaching Lu Xun from the perspective of cultural conflicts and integration between China and the West, this book offers an in-depth analysis of the choices he made and the complexities underlying those choices as a towering figure of modern literature. The second chapter, "Lu Xun's Views on the Comparison between Chinese-Western Cultures," was originally a paper I presented at the 1986 "International Academic Symposium on Lu Xun and Chinese-Western Cultures" and received acclaim. The first chapter, "Modern China's Cultural Conflicts and Lu Xun," and the third chapter, "Lu Xun between Chinese and Western Cultures," meticulously analyzed the shaping of Lu Xun's thought and character by Western culture, the cultural motivations behind his literary choices, the traditional roots of his anti-traditional stance, and his intricate navigation between Chinese and Western literature and culture. After its publication, renowned scholars such as Sun Changxi, Zhu Defa, Long Quanming, Song Jianhua, Huang Jian, Yang Hongcheng, and Fang Chang'an wrote dedicated reviews in newspapers and journals like *People's Daily* (Beijing), *Literary Studies* (Beijing), *Modern Chinese Literature Studies* (Beijing), *Chinese Comparative Literature* (Shanghai), *Lu Xun Research Monthly* (Beijing), and *Chinese Book Review Monthly* (Beijing).

They noted that, from a cross-cultural perspective, the book "builds on

domestic and international Lu Xun scholarship to arrive at a series of fresh and original insights” (Sun 16), and that “Gao Xudong’s strong consciousness of innovation and acute academic vision manifested not only in his rigorous research on many old issues and long-established conclusions in an effort to arrive at fair and persuasive new interpretations, but also in his constant search for new angles and his willingness to tackle difficult problems to fill academic gaps” (Long 330). Naturally, other monographs from my interdisciplinary research in literature also received scholarly acclaim, but space constraints preclude detailed elaboration here. In 2001, the China Federation of Literary and Art Circles publishing House brought out my monograph *Lu Xun Toward the 21st Century*. After critiquing contemporary misinterpretations of Lu Xun by writers like Wang Shuo and Feng Jikai, I further analyzed Lu Xun from a cross-cultural perspective, arguing that he was not a “deity” as they claimed but rather a cultural “demon” marked by negativity. That is to say, once Lu Xun recognized that the operating mode of the Chinese cultural tradition—grounded in affirmation, continuity, and circularity—tended toward tranquility and stasis, he sought to introduce a Byronic and Nietzschean “demonic” force of negation and critique from the West, in order to set China in motion and enable it to enter the family of nations with a posture of “contending with Heaven and resisting vulgar convention.” These cross-cultural case studies of Lu Xun were later collected in Ge Tao’s “Selected Studies on Lu Xun” and published by Anhui University Press in 2013 under the title *Lu Xun in a Cross-Cultural Perspective*. The book is divided into four sections, with the first section “Lu Xun: in the Vortex of Chinese-Western Cultural Collisions” translated into Korean and published in South Korea, essentially a variant of *Cultural Giants and Cultural Conflicts*. Additionally, I conducted cross-cultural studies of other modern Chinese writers, resulting in the 2005 monograph *Liang Shiqiu: Between Classicism and Romanticism* for the “Case Studies in Cross-Cultural Communication” series edited by Professor Yue Daiyun for Beijing Wenchin Press. I argued that Liang Shiqiu bridged Confucianism with Aristotelian poetics and Daoism with Western Romanticism—the former constituting the classical, the latter the romantic—thereby constructing a distinctive framework for cross-cultural comparison.

Beyond authoring monographs as well as advancing my scholarly ideas, I began editing the “New Perspectives in Comparative Literature and Culture Series” for Zhonghua Book Company in 2006, encouraging more scholars to engage in cross-cultural literary research. The renowned scholar Wang Ning contributed *Cultural Translation and Classic Interpretation* to this series. I have also sought to analyze Chinese and Western literatures from a cross-cultural perspective in order to

broaden the comparative methods of parallel studies and interpretive studies, culminating in the monograph *Intercultural Literary Dialogues: New Perspectives in Chinese-Western Comparative Literature and Poetics* within the series. In the “General Preface” of this series of books, I stated: “The *Book of Songs* and Du Fu’s poetry represent the orthodox lineage of Chinese lyrical tradition, fundamentally distinguishing Chinese literature from the Western epic tradition at its inception. Labeling them as ‘realistic works’ would deliberately obscure the characteristics of Chinese classical literature. Therefore, replacing such mechanical application with cross-cultural literary dialogue is an urgent matter” (2). Naturally, if Chinese-Western comparative literature is to function as a cross-cultural literary dialogue, it must begin by seeking a shared vocabulary between the two traditions. Yet as the dialogue deepens, what cross-cultural Chinese and Western literatures reveal are, increasingly, their differences—and even the untranslatability of certain literary and poetic concepts. Thus, integrating Chinese and Western literature and abstracting a genuine “general literature” remains a crucial challenge for cross-cultural Chinese-Western comparative literature. This book explores the commonalities between Chinese and Western literature through the intersection of “historical records” and “epic” concepts, compares “sun literature” and “moon literature” through the lens of national character, and examines the secular nature of Chinese literature versus the religious clarity of Western literature. It analyzes the core dimensions of Chinese and Western literature, including imagination, aesthetic rationality, and tragic spirit, from a cultural perspective. Finally, I approached the subject from two further perspectives—“Western tendencies in the development of Chinese literature” and “Chinese tendencies in the development of Western literature”—thereby bringing together traditional and modern approaches, parallel and influence studies, and envisioning a “higher-level integration” of Chinese and Western literatures. In 2012, Anhui University Press published my *Lectures on Chinese-Western Comparative Cultures*, a work derived from my talks for the “Distinguished Scholars’ Forum” of the Superstar Digital Library. For these lectures, I prepared only outlines rather than full scripts, and the entire book was produced by transcribing and editing the audio recordings of the lectures. Its content continued the comparative paradigm established in *Tree of Life and Tree of Knowledge*, systematically reflecting on the similarities and differences between Chinese and Western cultures and literatures from five dimensions: ethical versus religious, pan-aesthetic versus pan-scientific, the spirit of harmony versus the analytic spirit, cultural character versus cultural development models, yielding many novel and original perspectives. While *Tree of Life and Tree of Knowledge* and *The Spirit of Confucian and the spirit of Christian: A Cross-Cultural Dialogue between*

China and the West critically examined Chinese cultural traditions with Western culture as a reference, *Lectures on Chinese-Western Comparative Cultures*, by contrast, place greater emphasis on promoting the modern value of Chinese cultural traditions within the framework of Sino-Western cultural comparison.

Beyond attempting to construct literary cultural criticism and comparing Chinese and Western literature from a cross-cultural perspective, other interdisciplinary research in literature that attracted my attention at an early stage were the relationships between literature and religion, and between literature and philosophy. My research on literature and religion began with *The Spirit of Confucian and the spirit of Christian*, co-authored with several young faculty members at Shandong University and published in the first issue of Shandong University Journal in 1987, which heralded the 1989 monograph *The Spirit of Confucian and the spirit of Christian: A Cross-Cultural Dialogue between China and the West* (Hebei People's Publishing House). It analyzes the parallels and divergences in the words and deeds of Confucius and Jesus, deploying this contrast to reveal the divergent cultural formations of China and the West. In doing so, I once again brought the keynote of comparative culture into the interdisciplinary study of literature and religion. Liu Xiaofeng's *Salvation and Deliverance* was first published in the late 1980s. I did not agree with the book's basic premises but remained passionate about interdisciplinary research in literature and religion. Thus, the subtitle of my 2004 monograph *Chinese-Western Literature and Philosophy/Religion* (Beijing University Press) was "A Critique of Liu Xiaofeng's Christianization of Chinese Spirit." If I were to write it today, I might adopt a more moderate academic tone to engage Liu Xiaofeng from a cross-disciplinary perspective. However, due to youthful impetuosity, my critique of the revised edition of *Salvation and Deliverance* was overly sharp in tone. The critique appears as Chapter 4 in the second part of my book, titled "A Dialogue with Liu Xiaofeng: Can the Cross Save the World?" and is organized into eight sections: "Liu Xiaofeng's Attempt to Christianize the Chinese Spirit," "The Misreading and Denigration of Qu Yuan and Confucianism in the Name of God," "Erasure Chinese Worldly Goodness with Divine Goodness," "Is Lu Xun a Cold-hearted, malicious Rascal?" "Are Nietzsche and Kafka creations of Dostoevsky?" "Dostoevsky's Greatness Cannot Save Liu Xiaofeng," "Direct and Indirect Practices of Christian Culture in Chinese History," "Integrating Christian Culture Rather than Being Assimilated by it." Before publication, some sections had already appeared in journals, and the entire text was uploaded to the "Cultural Studies" website, sparking heated online debates. Later, Professor Yue Daiyun told me, "There were

many criticisms of you online, and many criticisms of Liu Xiaofeng as well. But after this debate, Liu Xiaofeng's attitude of negating Chinese culture has noticeably moderated." This indicated that Yue Daiyun had also been following this intellectual controversy. Due to the significant academic impact, *Guangming Daily* interviewed me before the book's publication. In response to the reporter's questions, I explained my original intention for engaging Liu Xiaofeng: "When the revised edition of *Salvation and Deliverance* was published in 2001, it could be said that, wielding the God of Jesus as he understood it like a dagger, Liu Xiaofeng struck down everything in his path-Buddha when encountering Buddha, the ancestors when encountering the ancestors. Confucius, Zhuangzi, QuYuan, Tao Yuanming-figures embodying the ancient spirit of Chinese culture- and even Lu Xun, who represents its modern spirit, were all metaphorically executed. It was as if only Christianity could redeem the spirit of the Chinese people." This interview was reprinted in its entirety by *Xinhua Digest* and other publications. After the book's publication, *Journal of Peking University (Philosophy and Social Sciences)*, *China Reading Weekly*, and other periodicals highly praised it, while *China Book Review* published three debate-oriented articles and noted in its "Editor's Introduction" and "Editor's Note" that: "Comparisons between Confucian 'pleasure-oriented culture' and Christian 'sin-consciousness culture' have sparked debates in the Chinese academia, with Mr.Liu Xiaofeng and Mr.Gao Xudong as the representative figures" ("Editor's note" 23). The book also attracted international scholarly attention; Fredrik Fallman of Stockholm University in Sweden cited its arguments at the earliest opportunity in his doctoral dissertation, "Redemption and Modernity," making it one of the first foreign works to engage with the book.¹ However, people often noticed only the differences between Liu Xiaofeng and me, without recognizing the points on which we actually agreed regarding Christianity's profound influence in shaping Western culture. My disagreement lay solely in his attempt to extend this role directly into the Chinese context. Moreover, the dialogue with Liu Xiaofeng overshadowed the book's interdisciplinary contributions to literature and religion. The book argues that Christianity's influence on Western literature is unparalleled; Even though Romantic poets such as Byron and Shelley and the philosopher-poet Nietzsche railed fiercely against Christianity, they remained products of a Christian cultural sphere. In contrast, religion plays a far less significant role in Chinese culture and literature. Chinese culture is primarily ethical and aesthetic at the elite level and ethical and religious at the popular level. Consequently, the mainstream traditions of Chinese

1 See Fredrik Fällman, *Salvation and Modernity: Intellectuals and Faith in Contemporary China*, Lanham, MD: University Press of America, 2008, 114, footnote 16.

poetry and prose were shaped primarily by Confucianism and Daoism, while religion exerted a somewhat greater influence on the folk literature of the lower classes. The storytelling novels originating from entertainment venues (勾栏瓦舍) are often infused with religious elements. In *Journey to the West*, neither the Jade Emperor (representing Confucian authority) nor the Supreme Lord Lao (representing Daoism) is able to subdue Sun Wukong, yet Sun Wukong cannot escape from the palm of Buddha Tathāgata—an episode that illustrates Buddhism’s boundless power. In the end, Sun Wukong follows the Monk Tripitaka to the Western Heaven in search of the Buddhist scriptures. Similarly, in *The Plum in the Golden Vase*, the sinner lost in the sea of carnal desire ultimately seeks salvation through Buddhism, exemplified by the Chan master Pu Jing guiding Xiao Ge (Ximen Qing’s son) into monastic life to atone for Ximen Qing’s indulgence. *Dream of the Red Chamber* situates Baoyu in an environment of luxury and comfort, yet he remains profoundly tormented and eventually becomes a monk. The novel’s alternate title, *The Record of a Passionate Monk*, further underscores the extent to which Buddhist thought shapes its underlying ideology.

In fact, *Chinese-Western Literature, Philosophy, and Religion* constitutes not only an interdisciplinary examination of literature and religion but also of literature and philosophy. My earliest engagement with literature-philosophy interdisciplinary research dates back to a graduate course assignment on “Modern Intellectual History,” which was later published as an article titled “The Influence of Yan Fu’s Philosophical Epistemology on Lu Xun” in the *Journal of Liaocheng Teachers College*, no.1(1986). When the Chinese Association for Comparative Literature Teaching Research was established in 1995 with Chen Dun as president, he collaborated with vice presidents Sun Jingyao and Xie Tianzhen to edit the *Comparative Literature* textbook, assembling a team of leading scholars including Professor Yue Daiyun. I was commissioned to write the chapter on “Literature and Philosophy” for the textbook. Upon publication, several chapters—including the one I authored—received high praise from Professor Jia Zhifang, a senior scholar at Fudan University. For many years thereafter, this textbook remained among the most widely adopted in China. I subsequently leveraged this accomplishment to apply for and was awarded a Ministry of Education project on new perspectives on literature and philosophy. The second part of *Chinese-Western Literature, Philosophy, and Religion* focuses on literature and religion, while the first part, “Interdisciplinary and Cross-Cultural Studies of Literature and Philosophy: New Perspectives in Comparative Literature,” represents the culmination of this project initiated in the 1990s. Chapter 1 offers an overview of comparative literature-

philosophy studies, critically examining perspectives from both Chinese and Western scholars. Chapter 2, titled “Literature and Philosophy,” comprises three sections: the relationship between the birth and development of comparative literature and philosophy; thematics and philosophy; and comparative poetics and philosophy. Chapter 3, titled “The Interpenetration of Literature and Philosophy,” also contains three sections: the influx of philosophy into literature; the literary expression of philosophical ideas; and the points of convergence between literature and philosophy. Chapter 4 investigates the relationship between literature and philosophy in Chinese and Western cultures, including the transformations of literature and philosophy within Western culture, and the relationship between literature and philosophy within Chinese culture. This work constitutes the first comprehensive and systematic reflection on literature and philosophy within the Chinese academic context, presenting numerous novel and distinctive arguments. Previous studies on literature-philosophy relations primarily emphasized literature’s representation of philosophy and philosophy’s influence on literature. However, this monograph also analyzes literature’s impact on philosophy—such as the formative impact of poetry and music on Confucius, as well as Nietzsche’s intense intellectual engagement with Byron. Even within the global academic landscape, this work demonstrates remarkable innovation: Although Western scholars began examining literature-philosophy relationships relatively early, their research almost exclusively focused on these dynamics within Western culture, without extending beyond its boundaries. In contrast, this study situates literature-philosophy research within the context of Chinese and Western cultures, systematically integrating interdisciplinary research into cross-cultural frameworks.

Since then, I have developed an inextricable connection with interdisciplinary research. In 2009, I was appointed Chief Expert for the Ministry of Education’s *Marxist Theory Research and Construction Project* (commonly known as “Ma Gongcheng” 马工程) volume on *Introduction to Comparative Literature*. Although I was concurrently planning and editing *A Practical Guide to Comparative Literature* (published in 2011 by Peking University Press), the compilation team for *Introduction to Comparative Literature* brought together the most eminent comparative literature specialists. I was again responsible for the chapter on “Interdisciplinary Research.” After the publication of *Ma Gongcheng Introduction to Comparative Literature* by Higher Education Press (Beijing) in 2015, I began editing the series “Basic Categories and Classical Texts in Comparative Literature” for Peking University Press in 2017. This series covers fundamental comparative literature categories including influence studies, parallel studies, interdisciplinary research, comparative poetics, and world

literature. The “classical texts” portion of each volume compiles all available Chinese and English reference materials for each category. Among the initial publications in this series were my monograph *Interdisciplinary Research* and my co-authored work *Parallel Studies and World Literature*.

Interdisciplinary Research comprehensively compares literature with virtually all other domains of human expression. The introduction surveys the historical development, current status, and future prospects of interdisciplinary studies in comparative literature. Chapter 1, “Literature and Art,” contains four sections addressing literature and music, literature and painting, literature and theater, and literature and film/television. Chapter 2, “Literature and the Humanities,” comprises five sections: literature and philosophy, literature and history, literature and ethics, literature and psychology, and literature with mythology and anthropology. Chapter 3, “Literature and Social Sciences,” includes sections on literary sociology/statistics, literature and politics, literature and economics, and literature and law. Chapter 4 examines literature and science/technology; Chapter 5 explores literature and the ecological environment; and Chapter 6 focuses on literature and religion. This classification system presents inherent challenges; for instance, placing literature and philosophy under the “Literature and Humanities” umbrella may provoke questions: Does the philosophy of science belong to the humanities? Strictly speaking, the philosophy of science should be categorized under sciences rather than humanities, yet it has traditionally remained disconnected from literature. Ludwig Wittgenstein, for instance, excluded aesthetics and ethics from the domain of scientific language analysis. From this perspective, situating it under “Literature and Humanities” remains methodologically justifiable. While ecological literature and ecocriticism belong to humanities disciplines, ecological environment studies in universities are classified under science and engineering rather than liberal arts. Regarding literature and religion, their positions vary dramatically across different cultural contexts. In cultures where religion forms the foundational framework, religion often essentially embodies cultural expression—T.S. Eliot famously asserted that “Christianity is culture.” However, in China—where culture is grounded not in religion but in ethics and aesthetics—such a claim could never win acceptance; religion in the Chinese context even emerged later than literature itself, which in part explains why it merits an independent chapter.

The scholarly innovations of *Interdisciplinary Research* are particularly noteworthy. In Section 2 of Chapter 1, “Literature and Painting,” the Western dichotomy framing poetry as temporal art and painting as spatial art is upended when viewed through a Chinese aesthetic lens when examined through the lens of the

Chinese context, where poetry manifests spatial characteristics. This phenomenon is of course related to the divergence between the long-epic tradition inaugurated by the *Homeric epics* and the concise lyrical tradition inaugurated by the *Book of Songs*, but it is even more fundamentally the result of a conscious aesthetic pursuit on the part of Chinese poets themselves. In Section 4 of Chapter 2, “Literature and Psychology,” a paradox emerges, behaviorism and other scientifically-oriented psychological approaches primarily investigate peripheral aspects of human psychology—sensations, perceptions, conditioned reflexes—that fundamentally cannot penetrate the mysterious depths of the rich and complex human psyche. Meanwhile, psychological schools like psychoanalysis, which delve into the hidden abysses of human psychology, are deemed unscientific and instead fall under the purview of aesthetics. Although Freud claimed to study the unconscious scientifically, behaviorist psychology considered even the “introspection method” of experimental psychology to be an unscientific fabrication, let alone Freud’s “talking cure.” Nevertheless, psychoanalysis has profoundly influenced literary movements such as stream of consciousness and surrealism. Furthermore, the analysis identifies internal contradictions in Freudian literary criticism: the paradigm proposed in *Creative Writers and Daydreaming* can only adequately interpret popular bestsellers but fails to illuminate masterpieces like *Hamlet*. Without confronting this contradiction, Freud nevertheless applied the Oedipus complex to explain works like *Hamlet*, resulting in dualistic critical standards. In Section 3 of Chapter 3, “Literature and Economics” observes that Marx, who emphasized material conditions and economic foundations, argued in both *A Contribution to the Critique of Political Economy* and *Capital* that ancient Greek society with its low material production could create unsurpassable artistic models, whereas scientific development caused such great art to disappear (e.g., the invention of lightning rods eliminated myths of thunder gods). Conversely, capitalist societies that experienced rapid productivity growth became antagonistic toward poetry and art. Comparing Marx’s perspective on art and economics with the Chinese poetic theory that “poetry emerges from adversity” reveals striking similarities despite their underlying differences. Chapter 5 “Literature and the Ecological Environment” posits that ecocriticism will subvert established literary critical standards, leading to a much higher evaluation of Chinese literature. In my view, Western culture is fundamentally rooted in religion and science, while Chinese culture is built on ethics and aesthetics. Why is it, then, that Chinese literary criticism, despite this aesthetic foundation, tends to value Chinese literature less highly than Western literature? The crux lies in traditional critical standards prioritizing ideological depth over aesthetic excellence. Chinese poetry surpasses

Western literature in aesthetic refinement but falls considerably short in philosophical substance when compared to works like the *Divine Comedy* or *Faust*. In terms of artistic style, the subversive potential of ecocriticism is equally significant. Joseph W. Meeker's *The Comedy of Survival: Literary Ecology and a Play Ethic* challenges the Western tradition of venerating tragedy while disparaging comedy. Meeker contends that tragedy depicts insurmountable conflicts, which contradicts the ethos of ecological conservation. Comedy, in contrast, highlights the harmonious integration of all elements, swiftly resolving any disruptions to restore wholeness, in accordance with an ecological principle of universal equality. This reorientation would elevate the status of Chinese literature, since the exaltation of tragedy has always characterized the Western tradition. Chinese literature is notably deficient in tragic spirit; Zhu Guangqian observed in *The Psychology of Tragedy*: "Drama in China is almost synonymous with comedy; over five hundred Yuan dramas contain not a single true tragedy" (*The Psychology of Tragedy*, 218). If I were to detail the innovative aspects of every section, it would require considerable length. I have therefore selected one section from each chapter to illustrate the novelty of this work.

My achievements in interdisciplinary research have, in turn, contributed to the academic development of the *Ma Gongcheng Introduction to Comparative Literature*. With the recently published third edition, this textbook not only incorporates all the categories analyzed in *Interdisciplinary Research* but also adds literature and geography. Moreover, it expands the "Literature and Science Technology" section to include relationships between literature, literary studies and big data, information technology, virtual technology, the internet, blockchain, genetic engineering, and artificial intelligence, making it the most comprehensive comparative literature textbook on interdisciplinary studies I have encountered globally.

I have also attempted to conduct in-depth academic analyses of specific interdisciplinary domains. My collaborative article with Chen Ruiqi, "From Classical to Modern: Chinese Resources in Literary Ethics," published in the *Journal of Central China Normal University* (Wuhan, 2022, Issue 4), was quickly abstracted by *China University Academic Abstracts* and reprinted by the Renmin University Copying Materials *Literary Theory*. The article poses a thought-provoking question: traditional Chinese culture is characterized by the ethical orientation of Confucianism, why was literary ethics not proposed by scholars of classical Chinese literature but rather by scholars focusing on foreign literature? The authors suggest that scholars engaged with foreign literature interact more frequently with overseas academics, tend to be more intellectually active, and recognize that adopting new critical methods—akin to foreign scholars—is hardly an impossible task. The article

fully affirms the outstanding contribution of the proposer Nie Zhenzhao¹: “Ethical literary criticism, an academic framework developed over decades by Chinese scholars led by Nie Zhenzhao serves as a significant bridge for bringing Chinese literary criticism onto the global stage, and constitutes a vital resource for achieving cultural confidence and advancing the great rejuvenation of the Chinese nation” (116). Building upon this foundation, the article proposes that current constructions of ethical literary criticism systems should particularly emphasize Chinese resources ranging from Confucian ethical literary criticism to Liang Shiqiu’s modern ethical criticism, providing substantial evidence illustrating the complex relationship between classical Chinese literature and ethical morality. It further argues:

In terms of breadth, ethical literary criticism should not remain confined to analyzing foreign writers and literary works but should expand into multiple domains including classical Chinese literature and modern Chinese literature. As noted above, most classical Chinese literary works reflect the Confucian ethical tradition in both their themes and connotations; most existing criticism and research are also fundamentally rooted in ethical perspectives. In terms of depth, literary ethics should not merely function as ‘moral indoctrination’ or ‘ethical enlightenment,’ but should probe deeper ethical motivations and moral conscience embedded within literary works. (116)

In conclusion, my interdisciplinary research began with literary cultural studies, examining the characteristics of Chinese and Western literature through comparative reflection on cultural similarities and differences. I later developed keen interest in the intersections of literature with religion and philosophy, presenting distinctive perspectives in academic debates. Subsequently, I extended the reach of interdisciplinary research to embrace all domains of human expression intersecting with literature—including various arts (music, painting, theater, film/television), humanities disciplines (philosophy, history, ethics, psychology, mythology, anthropology), social sciences (sociology, statistics, politics, economics, law), and cross-disciplinary studies involving literature and science/technology, the ecological environment, and geography. I aspire to devote my remaining years to the dedicated and diligent pursuit of interdisciplinary literary research.

1 For more information on ethical literary criticism, please refer to the following articles: Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 189-207; Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398.

Works Cited

Fällman, Fredrik. *Salvation and Modernity: Intellectuals and Faith in Contemporary China*. Lanham, MD: UP of America, 2008.

高旭东:《中西文学与哲学宗教:兼评刘小枫以基督教对中国人的归化》。北京:北京大学出版社,2004年。

[Gao Xudong. *Chinese-Western Literature and Philosophy/Religion: A Critique of Liu Xiaofeng's Christianization of the Chinese Spirit*. Beijing: Peking UP, 2004.]

——:《文化伟人与文化冲突——鲁迅在中西文化的旋涡中》。石家庄:河北人民出版社,1994年。

[— *Cultural Giants and Cultural Conflicts: Lu Xun in the Vortex of Chinese-Western Cultures*. Shijiazhuang: Hebei People's Publishing House, 1994.]

——:《跨文化的文学对话——中西比较文学与诗学新论》。北京:中华书局,2006年。

[— *Intercultural Literary Dialogues: New Perspectives in Chinese-Western Comparative Literature and Poetics*. Beijing: Zhonghua Book Company, 2006.]

——:《跨学科研究》。北京:北京大学出版社,2017年。

[— *Interdisciplinary Research*. Beijing: Peking UP, 2017.]

——:《比较文学概论》。北京:高等教育出版社,2015年。

[— *Introduction to Comparative Literature*. Beijing: Higher Education Press, 2015.]

——:《中西比较文化讲稿》。合肥:安徽大学出版社,2012年。

[— *Lectures on Chinese-Western Comparative Cultures*. Hefei: Anhui UP, 2012.]

——:《梁实秋:在古典与浪漫之间》。北京:北京出版社,2005年。

[— *Liang Shiqiu: Between Classicism and Romanticism*. Beijing: Beijing Publishing Group, 2005.]

——:《跨文化视野中的鲁迅》。合肥:安徽大学出版社,2013年。

[— *Lu Xun in a Cross-Cultural Perspective*. Hefei: Anhui UP, 2013.]

——:《走向二十一世纪的鲁迅》。北京:中国文联出版社,2001年。

[— *Lu Xun Toward the 21st Century*. Beijing: China Federation of Literary and Art Circles Publishing House, 2001.]

——:《平行研究 世界文学》。北京:北京大学出版社,2017年。

[— *Parallel Studies and World Literature*. Beijing: Peking UP, 2017.]

——:《比较文学实用教程》。北京:北京大学出版社,2011年。

[— *A Practical Guide to Comparative Literature*. Beijing: Peking UP, 2011.]

——:“关于建立文学文化批评的设想”,《文学评论家》3(1989):4-9。

[— “Proposals for Establishing Literary Cultural Criticism.” *Literary Critic* 3 (1989): 4-9.]

——:《孔子精神与基督精神——中西文化纵横谈》。石家庄:河北人民出版社,1989年。

[— *The Spirit of Confucius and the Spirit of Christ: A Cross-Cultural Dialogue between China and the West*. Shijiazhuang: Hebei People's Publishing House, 1989.]

——:《生命之树与知识之树——中西文化专题比较》。石家庄:河北人民出版社,1989年。

[— *Tree of Life and Tree of Knowledge: Thematic Comparison between Chinese and Western Cultures*.

Shijiazhuang: Hebei People's Publishing House, 1989.]

高旭东、陈睿琦：“从古典到现代：文学伦理学的中国资源”，《华中师范大学学报（人文社会科学版）》4（2022）：112-117。

[Gao Xudong and Chen Ruiqi. “From the Classical to the Modern: The Chinese Resources of Literary Ethics.” *Journal of Central China Normal University (Humanities and Social Sciences)* 4 (2022): 112-117.]

高旭东等：“孔子精神与基督精神——中西文化五人谈”，《山东大学学报（哲学社会科学版）》1（1987）：122-128+9。

[Gao Xudong, et al. “The Spirit of Confucius and the Spirit of Christ: A Five-Person Dialogue on Chinese and Western Cultures.” *Journal of Shandong University (Philosophy and Social Sciences Edition)* 1 (1987): 122-128+9.]

高旭东、王玮：“用什么引领中国文化的未来”，《光明日报》，2003年7月7日。

[Gao Xudong and Wang Wei. “What Guides the Future of Chinese Culture?” *Guangming Daily*. 7 July 2003.]

刘小枫：《拯救与逍遥》。上海：上海人民出版社，1988年。

[Liu Xiaofeng. *Salvation and Deliverance*. Shanghai: Shanghai People's Publishing House, 1988.]

龙泉明：“鲁迅文化思想研究的新硕果——评高旭东著《文化伟人与文化冲突》”，《中国现代文学研究丛刊》2（1997）：328-332。

[Long Quanming. “A New Achievement in the Study of Lu Xun's Cultural Thought: A Review of Gao Xudong's Cultural Giants and Cultural Conflicts.” *Modern Chinese Literature Studies* 2 (1997): 328-332.]

Marx, Karl and Friedrich Engels. *Marx & Engels Collected Works*. London: Lawrence & Wishart, 2010.

Meeker, Joseph W. *The Comedy of Survival: Studies in Literary Ecology*. New York: Scribner, 1974.

Nie Zhenzhao. “Ethical Literary Criticism: A Basic Theory.” *Forum for World Literature Studies* 2 (2021): 189-207.

—. “Ethical Literary Criticism: Sphinx Factor and Ethical Selection.” *Forum for World Literature Studies* 3 (2021): 383-398.

宋一苇：“错位的对话”，《中国图书评论》1（2005）：23-25。

[Song Yiwei. “Misaligned Dialogue.” *Chinese Book Review* 1 (2005): 23-25.]

孙昌熙：“寻找鲁迅研究的新突破口”，《人民日报》，1995年11月16日。

[Sun Changxi. “Seeking New Breakthroughs in Lu Xun Studies.” *People's Daily*. 16 November 1995.]

朱光潜：《悲剧心理学》。北京：人民文学出版社，1983年。

[Zhu Guangqian. *The Psychology of Tragedy*. Beijing: People's Literature Publishing House, 1983.]

范式革新与学理突破：《当代西方非自然叙事学研究》的理论贡献

Paradigm Innovation and Theoretical Breakthrough: The Theoretical Contribution of *A Study of Contemporary Western Unnatural Narratology*

聂珍钊 (Nie Zhenzhao)

内容摘要：尚必武教授主撰的《当代西方非自然叙事学研究》是后经典叙事学前沿研究的重要成果，系统建构了非自然叙事学理论新体系。该著以“非自然因子”为核心术语，整合理查森的“反模仿”理论与阿尔贝的“不可能性”理论，在局部与全局两个层面厘清了非自然叙事的定义与判断标准，形成概念界定、特征辨析、阐释策略、学科对话的完整理论链条。在方法上，该著融合认知叙事学、修辞叙事学与后殖民理论等多学科进路，构建了兼具科学性与人文性的跨学科研究范式，并将研究对象从后现代小说拓展至戏剧、诗歌、绘本及人工智能叙事等多元文类与媒介。通过对核心争议的正面回应和对人工智能叙事时代命题的深入探讨，该著不仅在理论上实现了叙事学的范式革新，也为文学批评提供了新的分析工具与学术范本。

关键词：《当代西方非自然叙事学研究》；尚必武；非自然叙事学；人工智能叙事；后经典叙事学

作者简介：聂珍钊，广东外语外贸大学“云山工作室”首席专家，浙江大学荣休教授，英国国家学术院外籍院士，欧洲科学院外籍院士，主要从事文学伦理学批评与文学跨学科研究。本文为国家社科基金重大招标项目“当代西方伦理批评文献的整理、翻译与研究”【项目批号：19ZDA292】的阶段性成果。

Title: Paradigm Innovation and Theoretical Breakthrough: The Theoretical Contribution of *A Study of Contemporary Western Unnatural Narratology*

Abstract: *A Study of Contemporary Western Unnatural Narratology*, authored primarily by Shang Biwu, represents a significant contribution to the frontier studies of postclassical narratology by constructing a systematic theoretical framework for unnatural narratology. Employing the core concept of “unnatural element,” the book integrates Richardson’s “anti-mimetic” theory with Alber’s “impossibility” theory to clarify the definition and criteria of unnatural narratives at both the local

and global levels, forming a complete theoretical chain from conceptual definition and characteristic analysis to interpretive strategies and disciplinary dialogue. Methodologically, the book combines cognitive narratology, rhetorical narratology, and postcolonial theory to establish an interdisciplinary research paradigm that is both scientific and humanistic, while extending the object of study from postmodern fiction to diverse genres and media such as drama, poetry, picturebooks, and AI narratives. By directly addressing core controversies and thoroughly exploring the contemporary issue of artificial intelligence narrative, this work not only realizes a paradigm innovation in narrative theory but also provides new analytical tools and an academic model for literary criticism.

Keywords: *Contemporary Western Unnatural Narratology*; Shang Biwu; unnatural narratology; AI narrative; postclassical narratology

Author: Nie Zhenzhao, FBA, MAE, is Professor and Yunshan Chair of World Literature and Languages at Guangdong University of Foreign Studies and Emeritus Professor at Zhejiang University. He is an International Fellow of the British Academy and a Foreign Member of the Academia Europaea. His main research focuses on Ethical Literary Criticism and interdisciplinary studies of literature (Email: niezhenzhao@163.com).

作为国家社科基金重大项目和国家出版基金项目的标志性成果，尚必武教授主撰的《当代西方非自然叙事学研究》（上海外语教育出版社，2025年版，以下简称《研究》），是“当代西方叙事学前沿理论研究”系列的第四卷。这部著作以扎实的学术功底、系统的理论建构和鲜明的问题意识，在非自然叙事学这一前沿领域实现了多重学术突破，填补了国内非自然叙事学系统研究的学术空白。全书以绪论为理论基石，通过理论探讨篇（第一章至第八章）和批评实践篇（第九章至第十七章）的有机结构，不仅为其理论提供了坚实的文本分析基础，厘清了非自然叙事学的核心概念与理论脉络，还直面人工智能叙事兴起的时代命题，从理论建构、研究方法、学术视野、问题意识等多个方面回应时代命题，为当代叙事学研究提供了极具价值的学术范本。

一、建构非自然叙事学理论新体系

非自然叙事学作为后经典叙事学的重要分支，长期面临概念界定模糊、理论框架零散的学术困境。理查森（Brian Richardson）的“反模仿”理论与阿尔贝（Jan Alber）的“不可能性”理论虽奠定了研究基础，但二者之间的理论张力尚未得到有效调和，相关核心概念的内涵与外延也缺乏统一界定。《研究》的首要学术贡献，就在于建构了一套系统完备、逻辑严密的理论体系，实现了非自然叙事学从“碎片化探讨”向“体系化建构”的跨越。

在概念界定层面,《研究》并未简单采信单一理论家的观点,而是通过辨析理查森、阿尔贝、尼尔森(Henrik Skov Nielsen)、伊韦尔森(Stefan Iversen)等学者的核心主张,提炼出非自然叙事“反模仿性”与“不可能性”辩证统一的本质特征。《研究》认为,问题的关键不在于“非自然”这一术语是否确立或被广为使用,“而在于对这一术语的界定不够统一是否会影响这一理论流派的长远发展”(尚必武 9)。正如作者所强调的,“既然非自然叙事学的研究对象是非自然叙事,倘若不能统一界定什么是非自然叙事,势必会影响到这一理论流派的良性发展”(尚必武 9)。为了科学解决这一问题,《研究》在“局部层面”(local level)与“全局层面”(global level)二分法的基础上,创造性提炼出“非自然因子”(unnatural element)这一核心术语,用于从理论上解释非自然叙事。非自然因子这一术语具有强大的理论阐释力:“一个叙事文本所包含的非自然因子越多或非自然因子所占的比重越大,该文本的非自然性程度就越高,就越像非自然叙事”(尚必武 9)。“如果一个文本在局部层面上存在非自然因子,那么该文本就具有部分非自然性,属于部分非自然叙事文本;如果该文本在全局层面上都有非自然因子,那么该文本就具有较高程度的非自然性,属于完全非自然叙事文本”(尚必武 9)。非自然叙事的核心在于挑战自然叙事的认知框架与现实逻辑,凸显文学虚构性本质,其判断标准既包括理查森强调的“对模仿规约的违背”(尚必武 42),也涵盖阿尔贝聚焦的“物理上、逻辑上、人类属性上不可能的场景与事件”(尚必武 42-43)。这种整合式的概念界定,既避免了“反模仿”范式对非规约性叙事的过度包容,也克服了“不可能性”范式对传统非模仿文本的排斥,使非自然叙事的范畴得到精准厘定。

在理论框架层面,《研究》以“叙事的非自然性”为核心线索,构建了概念界定—特征辨析—阐释策略—学科对话的完整理论链条。第一章通过辨析非自然叙事与后现代叙事、自然叙事的关系,明确了非自然叙事学的研究边界。第二章与第三章分别深入阐释理查森的“反模仿性”理论和阿尔贝的“不可能性”理论,揭示了非自然叙事学的两大理论支柱。第四章至第六章则从事件、情感、后殖民语境等维度拓展理论视域,使非自然叙事学的理论覆盖更加全面。这种层层递进的理论建构方式,既保证了体系的完整性,又体现了理论的开放性,为非自然叙事学成为独立的学科分支奠定了基础。

《研究》对叙事学核心概念“非自然”的修正,彰显了其理论创新的深度。针对经典叙事学聚焦模仿叙事的局限,《研究》系统探讨了非自然聚焦、非自然心理、非自然情感等一系列衍生概念,拓展了叙事学的概念谱系。以非自然聚焦为例,《研究》在热奈特(Gérard Genette)聚焦理论的基础上,提出“同质叙述的零聚焦”“同质叙述的外聚焦”等新类型¹,并结合费伦(James

1 参见 尚必武:《当代西方叙事学前沿理论研究》第四卷《当代西方非自然叙事学研究》,上海外语教育出版社,2025年,第49页。

Phelan)的“双重聚焦”、理查森的“漫游聚焦”等理论,构建了非自然聚焦的分析框架,丰富了叙事学的理论内涵。这种理论创新并非对经典叙事学的颠覆,而是基于非自然叙事现象的补充与拓展,体现了在继承中创新的学术智慧。

二、多元融合的跨学科研究路径

非自然叙事作为一种复杂的叙事现象,涉及文学、认知科学、语言学、文化研究等多个领域,单一的研究方法难以全面把握其本质。《研究》的一大学术优点,就在于找到了一条多元融合的跨学科研究路径,将认知科学、修辞学、后殖民理论等多学科方法有机整合,形成了兼具科学性与人文性的研究新范式。

认知叙事学方法的创造性运用,是《研究》研究方法的突出特色。《研究》借鉴弗鲁德尼克(Monika Fludernik)的“自然化”理论和瑞安(Marie-Laure Ryan)的“最小偏离原则”,系统构建了非自然叙事的认知阐释框架。阿尔贝提出的九种自然化解读策略(框架整合、文类化、主体化、主题前置、寓言式解读、反讽与戏仿、假定一个超验王国、自助式解读、禅宗式解读),在《研究》中得到进一步细化与完善。《研究》通过分析《时间之箭》(*Time's Arrow*, 1991)、《法国中尉的女人》(*The French Lieutenant's Woman*, 1969)等文本,展示了如何通过认知框架的整合与拓展,将非自然元素纳入可理解范畴。同时,《研究》并未止步于认知方法的应用,而是提出“自然化解读”与“非自然化解读”的互补关系,强调在保留非自然性的基础上实现文本的有效阐释,避免了认知方法对文本艺术特质的消解。

修辞叙事学方法的引入,为非自然叙事的功能分析提供了新的视角。《研究》借鉴费伦的修辞叙事理论,将非自然叙事视为作者、文本、读者之间的叙述交流,重点考察非自然叙事形式背后的叙事意图与伦理价值。以费伦提出的附加值元法则和故事优于话语的元法则为基础,《研究》分析了非自然叙事中不合理叙述、越界叙述等现象,揭示了非自然叙事在提升读者阅读体验、传递叙事伦理方面的重要作用。这种将形式分析与功能分析相结合的方法,突破了传统叙事学重形式、轻功能的局限,使非自然叙事的研究更加深入全面。

跨学科方法的多元融合,拓展了《研究》的研究视野。《研究》将后殖民理论与非自然叙事学相结合,探讨了后殖民文本中非自然叙事形式所承载的意识形态功能——将情感理论引入非自然叙事研究,构建了非自然情感的分析框架;将历时研究与共时研究相结合,梳理了非自然叙事从古代到后现代的演变历程。这种跨学科、跨维度的研究方法,不仅解决了非自然叙事研究中的复杂问题,也为其他人文社科领域的研究提供了可资借鉴的方法论范例。

此外,《研究》还注重理论与批评实践的有机统一。理论探讨篇提出的核心观点,在批评实践篇通过《流吧!我的眼泪》(*Flow My Tears, the Policeman Said*, 1974)、《午夜之子》(*Midnight's Children*, 1981)、《人体艺术家》(*The Body Artist*, 2001)等经典文本的分析得到充分验证。这种“理论建构—文本验证—理论反思”的研究路径,既保证了理论的科学性与可靠性,又增强了理论的阐释力与实用性,体现了严谨的学术态度与科学的研究方法。

三、非自然叙事学研究的疆域拓展

长期以来,非自然叙事学的研究存在两大局限:一是研究对象局限于后现代实验小说,忽视了非自然叙事在不同文类、不同媒介、不同历史时期的存在;二是研究视角局限于西方语境,缺乏跨文化、跨地域的比较研究。《研究》突破了这两大局限,以开阔的学术视野拓展了非自然叙事学的研究疆域,实现了研究对象、研究视角、研究领域的多重拓展。

在研究对象方面,《研究》打破了“非自然叙事=后现代叙事”的固有认知,将研究对象从后现代实验小说拓展至不同文类、不同历史时期的叙事文本。《研究》明确指出,非自然叙事并非后现代叙事的专利,而是自古有之,从古希腊的阿里斯托芬、古罗马的佩特罗尼乌斯,到中世纪的宗教诗《十字架之梦》,再到18世纪的《一只女士鞋的冒险和历史》,都存在非自然叙事的元素。¹这种历时性的研究视角,不仅梳理了非自然叙事的历史演变,也修正了学界对非自然叙事的片面认知。同时,《研究》还将研究对象从小说拓展至戏剧、诗歌、绘本、超文本等不同文类与媒介,分析了诗歌叙事的非自然性、绘本叙事的非自然性、超文本叙事的非自然性等,展现了非自然叙事的多元形态。

在研究视角方面,《研究》突破了西方中心主义的局限,既深入阐释西方非自然叙事学的核心理论,又注重挖掘非自然叙事学的跨文化内涵。《研究》探讨了中国、日本等东方文学中的非自然叙事现象,分析了不同文化语境下非自然叙事的共性与差异,为非自然叙事学的跨文化研究奠定了基础。同时,《研究》还将非自然叙事学与后殖民研究、女性主义研究、族裔研究相结合,探讨了非自然叙事在边缘群体自我表达中的重要作用。这种多元文化视角与边缘视角的引入,使非自然叙事学的研究更加具有包容性与现实意义。

在研究领域方面,《研究》将非自然叙事学的研究从纯粹的文学领域拓展至文化研究、意识形态研究等多个领域,展现出作者的跨学科视角。《研究》分析了非自然叙事在批判现实主义、解构中心主义、推动社会变革等方面发挥的重要作用,揭示了非自然叙事与意识形态、权力关系、文化政治之间的内在关联。例如,《研究》以分析《午夜之子》中的非自然叙事形式为基础,通

1 参见 尚必武:《当代西方叙事学前沿理论研究》第四卷《当代西方非自然叙事学研究》,上海外语教育出版社,2025年,第1-37页。

过后殖民文本非自然叙事对抗殖民话语的探讨，揭示了建构民族身份的复杂过程；通过分析非自然情感的叙事再现，揭示了当代社会中人类情感的异化与扭曲。这种将文学研究与社会文化研究相结合的做法，提升了非自然叙事学的学术价值与现实意义，使非自然叙事学成为探讨重大社会文化问题的重要理论工具。

四、回应争议与学术对话中的理论创新

任何一门新兴学科的发展，都离不开对核心争议问题的直面与回应。非自然叙事学自诞生以来，始终面临诸多争议，如非自然叙事的定义是否具有统一性？自然叙事与非自然叙事的边界是否清晰？非自然叙事学的研究方法是否科学？这些争议不仅影响了非自然叙事学的学科地位，也制约了其进一步发展。《研究》的一大学术优点，就在于以强烈的问题意识直面这些核心争议，通过深入的论证与辨析，提出了具有说服力的解决方案，体现了鲜明的学术对话意识。

针对非自然叙事定义不统一的争议，《研究》并未回避不同理论家之间的分歧，而是通过梳理理查森、阿尔贝、尼尔森等学者的核心观点，提炼出非自然叙事的家族相似性特征。《研究》指出，尽管不同学者对非自然叙事的定义存在差异，但都认同非自然叙事的核心在于挑战自然叙事的认知框架与现实逻辑，都聚焦于非常规叙事形式。基于这一共识，《研究》构建了一个开放的定义框架，既包容不同理论家的观点，又明确了非自然叙事的核心内涵。这种“求同存异”的定义方式，既避免了对不同理论的简单否定，又为非自然叙事学的进一步发展提供了共同的对话基础，回应了弗鲁德尼克等学者对非自然叙事概念模糊性的质疑。

针对自然叙事与非自然叙事边界模糊的争议，《研究》提出了“非自然因子”与“非自然性程度”两个学术概念。《研究》认为，自然叙事与非自然叙事并非截然对立的二元范畴，而是存在一个连续的谱系。一个叙事文本的非自然性程度，取决于其包含的“非自然因子”的数量与比重。¹这种“谱系化”的认知方式，打破了自然叙事与非自然叙事的二元对立，为二者之间的过渡形态提供了合理的解释。同时，《研究》还通过分析现实主义文本中的非自然元素，揭示了自然叙事与非自然叙事的交织共存关系，进一步模糊了二者之间的刚性边界，回应了学界对“非自然叙事与自然叙事二元对立”的批评。

针对非自然叙事学研究方法的争议，《研究》通过多元方法的融合与实践，证明了非自然叙事学研究方法的科学性与有效性。针对认知方法消解文本非自然性的质疑，《研究》对一些重要术语进行重新定义和解读，既指出

1 参见 尚必武：《当代西方叙事学前沿理论研究》第四卷《当代西方非自然叙事学研究》，上海外语教育出版社，2025年，第9页。

“自然化解读”与“非自然化解读”的区别，也指出它们之间的互补关系，强调在保留文本非自然性的基础上实现有效阐释。针对形式主义方法“忽视文本功能”的批评，《研究》引入修辞学、文化研究等方法，实现了形式分析与功能分析的有机统一。这种对研究方法的不断反思与完善，体现了《研究》严谨的学术态度，也为非自然叙事学研究方法的进一步发展指明了方向。

此外，《研究》还直面非自然叙事学与其他叙事学流派的关系争议，通过与女性主义叙事学、认知叙事学、修辞叙事学的对话，明确了非自然叙事学的学科定位。《研究》指出，非自然叙事学并非对其他叙事学流派的替代，而是一种补充与拓展，其价值在于填补了经典叙事学对非常规叙事现象阐释的空白。这种谦逊而客观的学科定位，既避免了与其他流派的不必要对立，也为非自然叙事学的发展争取了更大的学术空间。

五、叙事学发展与文学批评创新互动

学术研究的最终价值，不仅在于理论的创新与体系的建构，更在于其对学科发展与社会实践的推动作用。《当代西方非自然叙事学研究》的实践价值，主要体现在推动叙事学学科发展、创新文学批评范式、回应时代文化问题等方面。

在推动叙事学学科发展方面，《研究》通过对非自然叙事的系统研究，修正了经典叙事学的“模仿偏见”，拓展了叙事学的研究范畴与理论视域。经典叙事学以模仿叙事为核心研究对象，难以对非自然叙事这类非常规叙事现象做出有效阐释。《研究》构建的非自然叙事学理论体系，不仅为非自然叙事提供了专门的阐释工具，也为叙事学的整体发展注入了新的活力。《研究》提出的一系列核心概念与理论观点，如“非自然因子”“非自然情感”“非自然聚焦”等，丰富了叙事学的概念谱系。《研究》创新的跨学科研究方法，为叙事学研究提供了新的方法论范例。《研究》梳理的非自然叙事历史脉络，为叙事学的历时性研究提供了重要参考。可以说，《研究》的出版，标志着叙事学研究在中国学者引领下进入了一个更加多元、更加全面的新阶段，对后经典叙事学的发展具有重要的推动作用。

在创新文学批评范式方面，《研究》构建的非自然叙事学批评框架，为文学批评提供了新的视角与工具。传统文学批评往往聚焦于文本的主题、思想、情感等内容层面，忽视了叙事形式的独特价值。《研究》强调叙事形式的独立性与创造性，认为非自然叙事形式本身就具有重要的审美价值与意识形态内涵。通过分析非自然叙事的形式特征，如非自然叙述者、非自然时间、非自然空间等，《研究》揭示了文本背后的深层意义与审美价值。这种以形式分析为核心的批评范式，既弥补了传统文学批评的不足，又为文学批评提供了新的路径与方法。例如，在分析《时间之箭》时，《研究》通过解读其倒流的时间结构，揭示了文本对历史暴力的批判与反思；在分析《午夜之子》时，通

过分析其非自然叙述者与非自然心理，展现了后殖民文本的身份建构与文化抗争。这种批评范式的创新，推动了文学批评向更加深入、更加全面的方向发展。

在回应时代文化问题方面，《研究》通过对非自然叙事的研究，回应了当代社会的诸多重要文化问题。在“非人类转向”的语境下，《研究》探讨了人工智能叙事、非人类叙述者等新兴叙事现象，为理解当代技术文化提供了重要视角。在后殖民语境下，《研究》分析了非自然叙事在边缘群体自我表达中的重要作用，为理解当代全球化语境下的文化抗争提供了理论支持。在情感异化的当代社会，《研究》对非自然情感的研究，揭示了当代人类情感的复杂形态与深层困境。这种将文学研究与时代文化问题相结合的做法，使非自然叙事学具有了鲜明的时代性与现实性，也提升了文学研究的社会价值与现实意义。

六、对接人工智能叙事理论回应时代之问

“总序”中对人工智能叙事与人工智能文学的集中探讨，彰显了《研究》的时代敏感性与理论前瞻性，成为其学术价值的重要延伸。“总序”明确指出，人工智能文学的兴起挑战了“叙事是人类经验的再现”及“人是讲故事的动物”两大经典命题，使叙事学面临“机器讲故事”的全新语境。叙事所再现的不仅是人类经验，也包括非人类经验；叙事的创作者不仅是人类，也包括人工智能。¹这一时代命题的引入，不仅彰显了作者的超前学术思想，也使非自然叙事学的理论价值得到进一步提升。

非自然叙事学以“反模仿”“不可能性”为核心的理论框架，与人工智能叙事的本质特征形成了天然的理论契合。“总序”详细分析了《霍夫曼的犹豫不决：维基百科与历史记忆的问题》（*The Hoffman Wobble: Wikipedia and the Problem of Historical Memory*, 2023）、《AI的内在生活：ChatGPT回忆录》（*The Inner Life of an AI: A Memoir by ChatGPT*, 2022）等人工智能文学作品，指出这些作品中存在的非人类叙述者、跨本体论互动、逻辑矛盾情节等元素，正是非自然叙事学的核心研究对象。例如，ChatGPT在《AI的内在生活：ChatGPT回忆录》中同时扮演作者、叙述者与人物三重角色，其非人类的叙述声音和对人机关系的伦理思考，完全符合非自然叙事学对“非自然叙述者”和“非自然伦理关系”的界定。《研究》提出的非自然叙事阐释策略，如框架整合、寓言式解读、非自然化解读等，为解读人工智能叙事提供了有效的理论工具。通过框架整合，读者可以将AI生成的逻辑矛盾情节纳入可理解范畴；通过寓言式解读，可以挖掘人工智能叙事背后关于技术伦理、人机关系的深层内涵；通过非自然化解读，则可以保留AI叙事的非人类特质，凸显其对传统叙事范

1 参见 尚必武：《当代西方叙事学前沿理论研究》第四卷《当代西方非自然叙事学研究》，上海外语教育出版社，2025年，第X页。

式的颠覆价值。

尤为重要的是,《研究》构建的非自然叙事学理论体系,为回应人工智能叙事对传统叙事学的挑战提供了关键支撑。“总序”指出,人工智能文学对“作者”“隐含作者”“不可靠叙述”“叙事伦理”等核心概念提出了质疑。¹叙事的创作者是机器时,基于人类主体的“隐含作者”范式是否依然成立?AI叙述者的不可靠性判断标准是人类道德范式还是机器逻辑?非自然叙事学通过对“非人类叙述者”“非自然伦理关系”“跨本体论转叙”等概念的系统阐释,为解答这些问题提供了理论资源。例如,《研究》对非人类叙述者的类型划分与功能分析,可以直接应用于人工智能叙述者的研究;对非自然伦理关系的探讨,为分析人机之间的叙事伦理提供了框架;对跨本体论转叙的研究,则有助于理解AI叙事中人类与机器、真实与虚构的边界跨越。

“总序”还强调,人工智能叙事的兴起并非对传统叙事学的否定,而是推动其范式革新的重要机遇。²非自然叙事学作为后经典叙事学中最具先锋性的流派,其挑战规约和强调虚构性的理论特质,恰好契合了人工智能叙事的创新本质。《研究》所倡导的开放包容的理论框架、跨学科的研究方法以及对非常规叙事的关注,为叙事学应对人工智能时代的挑战提供了方案。未来的叙事学研究需要打破人类中心主义的局限,将非人类创作主体纳入研究范畴;需要拓展叙事性的内涵,承认机器生成文本的叙事属性;需要深化跨学科融合,结合人工智能、认知科学等领域的研究成果,重构叙事学的理论体系。这种理论的前瞻性使《研究》超越了单纯的学科理论梳理,成为叙事性领域一部对接时代前沿、引领学术方向、创建理论新范式的高价值学术著作。

结语

《研究》作为一部系统研究非自然叙事学的学术专著,以其系统的理论建构、创新的研究方法、开阔的学术视野、强烈的问题意识、突出的实践价值与敏锐的时代回应,在非自然叙事学研究领域实现了多重学术突破。《研究》不仅厘清了非自然叙事学的核心概念与理论脉络,构建了完整的理论体系,拓展了非自然叙事学的研究疆域,创新了文学批评的范式与方法,更直面人工智能叙事兴起的时代命题,为叙事学的未来发展提供了重要指引。

非自然叙事学作为一门新兴学科,仍有诸多问题有待进一步探讨。例如,非自然叙事学的术语体系仍需进一步规范化,非自然叙事的跨文化研究仍需进一步深化,非自然叙事与新兴媒介的关系仍需进一步考察,人工智能叙事的非自然性分析仍需更具体的批评实践支撑。所有这些问题的解决,都需要作者以及学术同仁持续深耕、协同探索。但这并不影响《研究》的学术价值与

1 参见 尚必武:《当代西方叙事学前沿理论研究》第四卷《当代西方非自然叙事学研究》,上海外语教育出版社,2025年,第X页。

2 参见 尚必武:《当代西方叙事学前沿理论研究》第四卷《当代西方非自然叙事学研究》,上海外语教育出版社,2025年,第X页。

历史地位，其对核心概念的精准界定、对理论体系的系统建构、对研究方法的多元创新，不仅为非自然叙事学的进一步发展奠定了坚实基础，也为后经典叙事学的研究提供了重要的学术研究范本，必将对当代西方叙事学研究 with 文学批评产生深远的影响。

对于从事叙事学研究、文学批评、文化研究等领域的学者而言，《研究》是一部不可或缺的重要参考著作；对于关注当代西方文学与文化、人工智能时代叙事变革的读者而言，这部著作提供了理解当代文学叙事创新与技术文化变迁的重要视角。相信随着这部《研究》的传播与影响，非自然叙事学将吸引更多学者的关注与参与，其理论体系将不断完善，研究视野将不断拓展，为 人文社科研究的发展做出更大的贡献。

Works Cited

尚必武：《当代西方叙事学前沿理论研究》第四卷《当代西方非自然叙事学研究》。上海：上海外语教育出版社，2025 年。

[Shang Biwu. *Frontiers in Contemporary Western Narratology Vol. IV: A Study of Contemporary Western Unnatural Narratology*. Shanghai: Shanghai Foreign Language Education Press, 2025.]

中国之眼看英国之戏：文学伦理学批评视野下的英国戏剧研究——兼评《英国戏剧的伦理叙事研究》

Viewing British Drama through Chinese Eyes: A Study of British Drama from the Perspective of Ethical Literary Criticism with a Review of *A Study on Ethical Narrative of British Drama*

宋炳辉 (Song Binghui) 黄永亮 (Huang Yongliang)

内容摘要：文学伦理学批评是一套具有创新性、科学性和系统性的批评理论和方法，旨在重振中西文学批评的伦理传统，建构具有中国特色的文学批评话语。运用文学伦理学批评的独特视角对英国戏剧进行历时研究，能全新重审其伦理传统、创作的伦理动因与演变脉络。刘茂生教授的《英国戏剧的伦理叙事研究》是国内首部对此进行实践的学术专著，它综合解读从中世纪宗教剧至当代荒诞剧的英国戏剧经典，揭示其伦理叙事的内在规律，指出伦理传统始终贯穿英国戏剧的发展。该书凸显了文学伦理学批评在文学研究中注重跨学科整合、审美与伦理融合、历史语境还原和当下价值考量的特征，体现了它在突破西方话语垄断、建构中国批评范式、挖掘文学伦理内涵方面的学术价值。

关键词：《英国戏剧的伦理叙事研究》；文学伦理学批评；英国戏剧；中国视野

作者简介：宋炳辉，上海外国语大学文学研究院教授，主要研究方向为比较文学、中外文学关系、中国现当代文学、汉语翻译文学；黄永亮，韩山师范学院外国语学院讲师，主要研究方向为英美文学、文学伦理学批评。本文系国家社会科学基金重大项目“百年来中外戏剧交流史文献整理与研究”【项目批号：22&ZD285】的阶段性成果。

Title: Viewing British Drama through Chinese Eyes: A Study of British Drama from the Perspective of Ethical Literary Criticism with a Review of *A Study on Ethical Narrative of British Drama*

Abstract: Ethical Literary Criticism constitutes an innovative, scientific, and systematic critical theory and methodology aimed at revitalizing the ethical tradition

in Chinese and Western literary criticism and constructing a discourse of literary criticism with Chinese characteristics. Employing the unique perspective of Ethical Literary Criticism to conduct a diachronic study of British drama allows for a renewed examination of its ethical tradition, the ethical motivations behind its creation, and the trajectory of its evolution. Professor Liu Maosheng's *A Study on Ethical Narrative of British Drama* stands as the first academic monograph in China to undertake such an endeavor. It offers a comprehensive interpretation of classic British dramas, from medieval religious plays to contemporary absurdist theatre, revealing the intrinsic patterns of their ethical narratives and demonstrating that an ethical tradition consistently permeates the development of British drama. The book highlights the capacity of Ethical Literary Criticism to integrate interdisciplinary approaches, merge aesthetics with ethics, uncover historical contexts, and consider contemporary values of literature. It demonstrates the academic significance of this critical approach in breaking the monopoly of Western discourse, constructing a Chinese critical paradigm, and exploring the ethical connotations of literature.

Keywords: *A Study on Ethical Narrative of British Drama*; ethical literary criticism; British drama; Chinese perspective

Authors: Song Binghui is Professor at the Institute of Literary Studies, Shanghai International Studies University. His research interests include comparative literature, Sino-foreign literary relations, modern and contemporary Chinese literature, and Chinese translated literature (Email: swsongbinghui@126.com).

Huang Yongliang (corresponding author) is Lecturer at the School of Foreign Studies, Hanshan Normal University. His research interests include British and American literature, and ethical literary criticism (Email: 604413567@qq.com).

英国戏剧拥有辉煌的历史，国内外相关研究极多，形成了多角度、多层次、跨学科的格局。然而，现有研究多数使用西方批评传统和理论，中国本土学术视角尚未得到充分重视。当代中国学派的文学伦理学批评自诞生以来，已为国内外学者所高度认可，并广泛运用于不同国别和文类的作品研究中，影响颇大，在国际学界发出了中国自己的学术声音。该理论把文学视为伦理的产物，“文学在本质上是伦理的艺术”（Nie, “Ethical Literary Criticism: A Basic Theory” 190）。英国戏剧因独特的艺术魅力而受人青睐，更以深刻的伦理思考和人文关怀而享誉世界。目前已有学者对莎士比亚、王尔德、萧伯纳、品特、斯托帕德（Tom Stoppard）等的剧作进行文学伦理学批评的解读，但这些研究均是聚焦单部作品或某位作家的作品，刘茂生教授的新作《英国戏剧的伦理叙事研究》（下简称《研究》）是国内首部从文学伦理学批评的角度对英国戏剧进行历时研究的专著，揭开了我国英国文学研究领

域新的一页。

一、立足传统的范式创新

用文学伦理学批评解读英国戏剧，既弘扬中西文学批评的伦理传统，又以前沿的中国理论阐释了英国戏剧，实现了传统与现代、中国与西方的双重对话。自古以来，伦理始终是中西文学创作和批评的核心命题。古希腊柏拉图的《理想国》强调文艺应培养人的道德品质使其成为合格公民。之后，亚里士多德的“净化说”和贺拉斯的“寓教于乐”原则奠定了古典主义批评的伦理基石。中世纪的文学被当作宣扬宗教信条与道德训诫的工具。英国文艺复兴开启了英国戏剧的黄金时代，人文主义者提倡人的个性自由发展，也重视伦理关怀。诗人乔叟（Geoffrey Chaucer）、锡德尼（Philip Sidney）和弥尔顿（John Milton）都认为文学能给人提供教益和愉悦。戏剧家本·琼生（Ben Jonson）和“英国文学批评之父”德莱顿（John Dryden）也强调文学“必须合乎道德”（王守仁 胡开宝等 48）。

18 世纪启蒙主义强调理性和规范，在文学创作和批评上形成了重视道德原则的新古典主义。如文坛领袖塞缪尔·约翰逊（Samuel Johnson）强调作家应用得体的思想内容和文字去教化读者。浪漫主义重视文学的情感表达，但并不反对伦理道德。如华兹华斯（William Wordsworth）、雪莱（Percy Bysshe Shelley）等提倡用自然情感的培育和心灵的启迪，而不是通过教条训诫来提升道德。¹ 在维多利亚时代，随着社会转型和信仰危机，一些批评家视文学为拯救社会、提供精神指导的新力量。卡莱尔（Thomas Carlyle）把伦理道德放在文学批评的首位，特别注重考察作者的品格。阿诺德（Matthew Arnold）认为“诗歌必然具有道德上的显著意义”（王守仁 胡开宝等 182）。直到 20 世纪初，伦理批评一直是西方文学研究的主流。

由于 20 世纪世界的剧变与文学批评范式的转向，西方文学批评的伦理传统逐渐衰落。首先，世界大战、大屠杀等事件使传统道德体系遭到质疑，因而将文学简单视为道德教化载体的传统批评模式显得不合时宜。其次，形式主义、接受理论等的出现使文学研究先后经历了“向内转”与“向读者转”的两次转向，造成批评的伦理维度逐渐被边缘化。虽然 20 世纪 80 年代文学的伦理批评曾一度在西方学界复苏，但它始终遭到质疑和反对，其中一个重要原因是它“一直没有建立属于自己的体系，尤其缺少明确的方法论”（聂珍钊 2），因而阐释力有所不足。文学的伦理批评传统虽历史悠久，但“伦理批评”作为一个批评术语直到 20 世纪 80 年代方始见于某些术语词典中，至今还有一些专家或机构对其持以审慎的态度²，可见伦理批评长期以来未能发

1 参见 Adam Potkay, *Wordsworth's Ethics*, Baltimore: The Johns Hopkins UP, 2012, 151; 伍蠡甫:《西方文论选》下卷, 上海: 上海译文出版社, 1988年, 第53页。

2 参见 杨国静:《伦理》, 北京: 外语教学与研究出版社, 2020年, 第1页。

展为一种独立系统的理论。

伦理批评在中国也有着类似的经历。文艺在中国一向被视为具有教化的作用。周朝的道德和礼仪体系经由孔子及历代名儒的发展,形成以仁、义、礼、智、信为核心的儒家伦理思想,成为文学创作及评价的伦理标准。孔子“兴观群怨”的观点强调了文学能使人认识社会,针砭社会和教化人心。中国第一篇诗歌理论专论《毛诗序》认为文学能“厚人伦,美教化”。南朝刘勰的《文心雕龙》是中国史上首部系统的文论,主张“文以明道”。宋代理学对文学的教诲功能推崇备至,如周敦颐和朱熹分别提出“文以载道”和“文道合一”之说。明朝戏剧家汤显祖提出“以人情之大窦,为名教之至乐”的戏曲艺术理念。明末清初李渔指出戏曲的核心价值在于“劝使为善,诫使勿恶”。近代中国社会动荡,内忧外患,文学更是被视为负有启蒙警世、去旧革新、救国济民的社会责任。

然而,自改革开放以来,大量西方批评理论在中国学界大行其道,也不乏负面影响。一是不少文学研究者过度依赖理论而不重视对文学本身的研究,同时将文学批评当做一种“泛文化研究”,过度聚焦政治、社会、历史、哲学等“跨界”话题,因而导致“文学文本研究及关于文学的理论被边缘化”倾向(聂珍钊 王松林 2);二是许多文学批评缺乏社会道德责任感,导致伦理缺位;三是中国人文学术研究缺乏自己的独特视野,造成在国际上的“失声症”。针对文学批评中种种问题,以聂珍钊为代表的中国学者,在汲取在中西伦理批评资源的基础上,于2004年正式提出文学伦理学批评这一具有创新性和中国特色的理论。它运用新的批评观点和术语,分析作品中人与自我、人与他人、人与社会、人与自然等复杂关系中的伦理问题。¹它的诞生打破西方理论一统天下的局面,发出中国自己的学术声音,提供了文学研究的新视野。

文学伦理学批评力图让伦理传统重归文学批评视野,但这种传统的回归并非简单地复古,而是进行范式革新与方法论重构。针对西方当代伦理批评缺乏明确的学术用语及批评特色而难以发展为一种方法论的问题,文学伦理学批评认识到没有理论架构,就难以形成批评体系,其理论观点就缺乏立论基础。在批判和继承中西文论传统的基础上,它建构系统的理论框架,形成以人类文明三段论为基础、以伦理选择为核心的批评理论体系²,提供了一套重视历史语境分析、更为有效的批评方法,以突破传统伦理批评模式。

《研究》对文学伦理学批评理论和术语的运用正是其文本阐释功能一个成功案例。凭借这种新范式,该书对英国史上近二十部经典剧作进行系统解读,通过分析作品的伦理环境、伦理线、伦理结以及人物的伦理身份、伦

1 参见 Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 190.

2 参见 Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398.

理选择、斯芬克斯因子、伦理困境等因素,展现了英国戏剧中的伦理问题和伦理书写特征,挖掘其丰富深刻的伦理内涵。该书体现了戏剧作为以公开演出为导向的艺术形式,更突出地承载着对伦理的探讨与传播功能,“更为真实地展示出剧作家的伦理诉求与道德关怀,是一种相对直观、易于理解且能即时引起观众共情的叙事类型”(刘茂生,“英国戏剧叙事的伦理传统”50),所以更适合用文学伦理学批评来研究。其中,伦理选择是该理论的核心术语,被视为“人生中最为重要且最为根本的决策过程”(Su 623),是分析情节与人物命运转折的焦点。在戏剧作品中,伦理选择直接左右人物的行动,影响其精神状态和心理变化。不同的选择会导致不同的行动和结果,这些结果又可能引发新的选择和行动,从而推动故事发展,也起到塑造人物和深化主题的作用。例如,通过分析邱吉尔(Caryl Churchill)《顶尖女子》(*Top Girls*, 1982)中马琳的伦理选择,《研究》指出该剧反映了现代女性在追求自由平等、职业成功和自我价值过程中所面临的困境,揭示了她们孤独、迷茫和焦虑的状态。伦理身份是阐释作品人物形象的重要依据。“在文学文本中,所有伦理问题的产生往往都同伦理身份相关”(聂珍钊 263)。戏剧人物的身份特征被赋予特定的社会和文化内涵,这些内涵影响着他们的性格、思想、言行等方面,为分析人物形象提供了伦理依据,也有助于观众理解戏剧。刘茂生在书中分析了王尔德戏剧人物的身份特征及其转变,体现了身份的相对性和人性的复杂,揭示了戏剧对时代道德问题的批判。通过对文学伦理学批评理论和术语的合理运用,该作揭示了伦理问题的探究与表现是贯穿历代英国戏剧的一个突出主题,英国剧作家始终表现出强烈的伦理关怀和社会责任感。

二、伦理为线的全景扫描

英国戏剧历经近千年的演变,在不同历史时期有其特定的伦理环境和伦理观念,最明显地体现为对人的观念以及人与自我、他人、社会、自然的伦理关系和伦理秩序认识的持续变化,这些变化均反映在英国戏剧的伦理叙事中。从早期中世纪宗教剧到当代荒诞剧,英国戏剧形成了一个从“神的伦理”走向“人的伦理”,再到“社会伦理”和“自我伦理”的演变过程。因此,用文学伦理学批评对不同时期伦理环境和伦理观念的梳理可透视英国戏剧发展的内在规律。《研究》的序言指出该书“以戏剧发展流变规律并结合伦理动因审视英国戏剧的历时发展,勾勒出英国戏剧的道德起源及其伦理思想流变的特征”(22)。它将英国戏剧的发展以伦理为线索划分为五个主要阶段:中世纪道德剧与道德训诫、文艺复兴时期人本主义戏剧与人本伦理、社会风俗喜剧与启蒙主义伦理、社会问题剧与社会批判伦理、以及荒诞派戏剧与悲观主义伦理。通过对英国戏剧发展规律的这种总体把握,该书对不同阶段的戏剧作品展开伦理批评,剖析不同时代的伦理问题在作品中的具体艺术呈现。可以说,该书围绕伦理环境和伦理观念的嬗变,有效勾勒出英国戏剧

的发展轨迹，呈现了一幅幅不同的英国伦理景观。

中世纪英国宗教剧的核心是以宗教教义为基础的道德训诫，它构成了英国戏剧伦理传统的起源。早期宗教剧以神或上帝为主角，这种戏剧的命名及其人物塑造高度抽象化，寓意明确，如《生之骄傲》（*The Pride of Life*）、《人类》（*Mankind*）、《智慧》（*Wisdom*）。人物常以“贪婪”（*Greediness*）、“善行”（*Good Deeds*）等命名。这表明当时人的首要伦理身份是上帝的子民，其个体特性被消解。与此相对应，戏剧则是宣扬基督教义的媒介，其关注的并非特定社会阶层，而是整个人类的灵魂救赎，显现为“主导剧情是善恶之争”（何其莘 11）。中世纪神学伦理严厉压制人的非理性意志，即感官欲望。在宗教剧中，贪婪等罪恶被视为非理性的诱惑，人类灵魂的拯救有赖于绝对服从上帝旨意的理性伦理选择，通过忏悔和善行来纠正堕落。

在人文主义、商业扩张和民主政治共同营造的伦理环境中，文艺复兴时期英国戏剧的伦理叙事从对神的敬畏转向了对人的尊严与权力的探索。人开始从上帝的阴影中走向历史台前，拥有了独立意志和复杂的伦理身份。剧作家不再仅以神为中心或塑造抽象的“人类”，戏剧人物形象变得复杂而具体，如莎翁笔下的篡位者麦克白和复仇者哈姆雷特。人的身份开始在家庭、城邦和国家的多重伦理法则中界定。戏剧中的伦理关系也从单一的神人关系变为复杂多样的世俗关系，其关注的阶层更为广泛。因此戏剧不再简单否定欲望等非理性意志，而是将其视为构成人的复杂性的重要因子，作家通过悲剧让观众在情感共鸣中进行伦理判断。莎士比亚的戏剧天才地展现了理性与欲望的冲突给人物造成了伦理困境，如哈姆雷特的延宕典型地体现了人文主义理性在处理复仇与伦理身份的冲突时的深度思考。

社会风俗喜剧反映了启蒙思想影响下英国社会风尚和伦理环境的剧变。个体的伦理身份变得更加世俗化。英国风俗喜剧人物的核心阶层是上流社会与新兴中产阶级。作为新兴的重要社会力量，资产阶级的伦理观和社交理念极大地影响了英国社会。王朝复辟时期以王公贵族为主的观众把“剧场看作是消遣取乐的场所，无视道德标准，只看重感官上的享受”（刘意青 30），而启蒙主义时期英国戏剧一改此歪风邪气，强调理性和美德的重要性，也体现了中产阶级及其所倡导的价值观、伦理观和城市文明在英国社会逐渐占主导地位。理性得体和文雅礼貌成为社交准则，过度情感、虚伪矫作、唯利是图、虚荣自私等非理性或不道德行为经常受到嘲弄。因此，康格里夫（William Congreve）、哥尔德斯密斯（Oliver Goldsmith）、谢里丹（Richard Brinsley Sheridan）的喜剧特别关注社交场合的伦理原则、人物的社交身份及其在特定社交场合中的行为举止，并通过特定阶层言行举止的夸张模仿来彰显讽刺效果。这种风格一直影响到维多利亚时期王尔德（Oscar Wilde）的社会风俗喜剧。

19 世纪末至 20 世纪初, 工业革命后的社会压迫和矛盾构成了英国文学伦理环境的阴暗面。如《研究》中所言, “英国社会问题剧在戏剧文本中的伦理建构形式与特征主要表现为揭露丑恶与提示善良” (12)。萧伯纳 (George Bernard Shaw) 和高尔斯华绥 (John Galsworthy) 的社会问题剧将伦理探讨引向了更深层的政治与经济维度, 强化了戏剧的社会批判功能。社会问题剧赋予人物身份以强烈的阶级色彩和社会问题意识, 个体行为不仅是个人的道德选择, 而是社会结构的一部分。戏剧呈现的社会阶级差异更加明显, 突出阶级矛盾、劳资冲突、女性权利、司法公正等现实话题, 探讨在资本主义体制下个体的伦理困境。如高尔斯华绥的《银盒》 (*The Silver Box*, 1906) 通过描写贫富阶级在法律面前的不同待遇, 质疑了时代社会的伦理原则。社会问题剧在对英国现实的展现中表达了对真、善、美的人性因子的呼唤, 批判了导致追名逐利、损人利己、阶级压迫等道德沦丧现象的兽性因子。

20 世纪文学的一个突出特点就是对非理性的强调。叔本华的唯意志论、尼采的“上帝已死”宣言、弗洛伊德的精神分析学说, 共同构成了非理性主义的哲学基石。这些理论将欲望、潜意识、直觉等非理性因素提升至本体论高度, 认为当代西方高度发达的物质文明没有拯救人类的心灵, 反而催生了人类心灵的“异化”, 而理性无法把握存在的本质。与这种对非理性意志的刻画对应, 戏剧关注的不仅是某一阶层群体, 而是指向个体在无意义世界中的精神状态, 呈现出一种悲观主义的哲学色彩。这在 20 世纪中叶后的戏剧特别是荒诞剧中有着突出的体现。荒诞剧反映了两次世界大战后西方社会精神世界的崩塌与道德危机, 在这种伦理环境中, 戏剧呈现出新的特点, 表现了一种荒诞、不确定且充满疏离感的现代生存空间。在荒诞剧中, 人的身份发生剧变, 陷入极度不确定、焦虑与破碎的状态中。如刘茂生认为品特 (Harold Pinter) 的《回家》 (*The Homecoming*, 1965) 展现了男性的身份认同危机, 身份的稳固性被消解, 代之以无休止的伦理选择与生存焦虑。荒诞剧“着重把主观的抒情性表现为生存本身难以名状、不可理喻而又确实存在的荒诞性”, 经常围绕“孤独、焦虑、死亡、沉沦、负罪感、虚无感以及自我的丧失”等主题而创作 (付少武 75), 表现个人意志和命运如何在种种困境、束缚和危机中挣扎。在《回家》等荒诞剧中, 非理性意志往往凌驾于理性之上, 不道德现象比比皆是。这种“兽性因子”的爆发是现代人在精神荒原中失去伦理支柱后的必然结果。

三、多维观照的微观剖析

文学伦理学批评是一种极具兼容性和开放性的批评理论。它以伦理维度为核心, 既关注作品本身, 也关注其创作环境和社会影响; 既关注作品的内容, 也关注其形式; 既关注伦理, 也关注涉及伦理书写的其他要素; 既运用自身的理论和方法, 也吸纳其他学科和理论视角对作品进行多维透视; 既关

注作品的历史价值，也重视其对当下的启发，并始终与时代展开对话。

针对历史上将审美和伦理割裂的观点，文学伦理学批评把伦理批评和艺术审美紧密结合起来。文学不是只靠说教来影响读者，而是通过独特的艺术构思传达伦理内涵，让人在获得阅读享受的同时得到伦理启示，使艺术形式化为一种具有道德力量的叙事逻辑。因此，文学伦理学批评兼顾对作品的艺术结构、修辞策略、叙事技巧的研究而不偏废。在对英国戏剧伦理传统的爬梳中，刘茂生也对其审美特征给予系统关注。例如，书中对《造谣学校》（*The School for Scandal*, 1777）中彼得爵士的语言与内心世界的剖析，揭示了人物作为父权代表在婚姻中的焦虑与挣扎。同时，作者特别指出了收场白中彼得太太的台词的反讽意味，暗示女性在父权重压下未被完全驯服的主体性。作者在对《天窗》（*Skylight*, 1995）的解读中，指出黑尔运用了重复、叙事空白、不可靠叙述等叙事策略，打破读者对传统和谐家庭的期待，突出了男性身份焦虑与家庭伦理危机。以上这些分析，既表明文学伦理学批评重视艺术手法如何参与伦理意义的建构和伦理价值的呈现，也说明了审美价值与伦理价值在艺术中的内在统一。

文学“通过艺术环境为伦理学批评提供更为广阔的社会领域和生活空间”（聂珍钊 98），文学伦理学批评视域下的文学研究实际涉及社会各个领域的问题和知识，因而具有鲜明的跨学科视域，拓展了文学阐释空间。首先，它打破文学研究与其他人文学科的界限，广泛借鉴和吸收伦理学、心理学、哲学、语言学、社会学等学科的研究成果来充实自身的理论架构。例如，它借用生物学和心理学的知识提出“斯芬克斯因子”概念，用以解释人性与兽性、理性意志与非理性意志的博弈；它结合历史学和社会学提出“伦理环境”，以分析特定时代的道德规范如何制约人物行动。其次，在批评实践中，文学伦理学批评也将伦理视角与政治、经济、宗教等维度相结合，而不是孤立地探讨伦理道德问题。《研究》的研究同样涵盖了广泛的社会维度。例如，除了伦理视域，对马洛（Christopher Marlowe）《马耳他的犹太人》（*The Jew of Malta*）的阐释还涉及种族、宗教、殖民、政治等方面；对谢立丹《造谣学校》的分析，也融入了社会学、历史学等视角。最后，针对当代各种批评思潮和理论纷至沓来、各自为政的乱象，“文学伦理学批评力图借鉴和融合其他批评理论的思想，从跨学科的视域来探索文学作品的伦理价值”（聂珍钊 王松林 1）。刘茂生对哥尔德斯密斯的戏剧《委曲求全》（*She Stoops to Conquer*, 1773）的阐释，就结合了列斐伏尔（Henri Lefebvre）的空间理论，从物理空间、社会空间和精神空间阐释了剧中城乡文化、阶级观念与性别伦理的复杂交织。对王尔德喜剧的解读，则融入了巴赫金的狂欢理论，展现了王尔德喜剧如何通过滑稽仿拟、身份倒置、语言戏谑等手段解构维多利亚时代僵化的道德教条与等级秩序。

针对一些认为艺术无关伦理道德的观点，文学伦理学批评认为文学诞生

于伦理表达和伦理经验交流的需要。它蕴含的伦理经验不但是历史的产物，具有历史意义，而且对于后世也有启发作用。文学伦理学批评坚持在阐释文学作品时兼顾历史现场的考察和现实教育意义的挖掘。《研究》体现了这种既重“历史现场”又重“现实教诲”的批评范式。例如，对《马耳他的犹太人》的研究深入伊丽莎白时代英国的社会语境，剖析了马洛创作时的马基雅维利主义、反犹情绪、父权制度及殖民主义，从而在具体伦理环境中解释剧中人物的欲望、政治与宗教冲突。另外，分析还揭示作品对当代社会的启示意义：剧中对人性贪婪、权力追逐、宗教虚伪与种族偏见的批判，呼应了当今社会对道德失范、身份政治与跨文化冲突的反思。

对戏剧这种需要公开演出的艺术来说，它明显担负着“寓教于乐”的社会责任，它的创作不可能脱离伦理教诲的目的。文学伦理学批评以其鲜明的历史意识以及系统化分析路径与跨学科整合能力，重振了文学批评中的伦理传统，为解读英国戏剧提供了兼具深度与广度的阐释框架，既突破了西方理论长期主导的研究局面，也实现了伦理批评范式上的创新。而刘茂生的《研究》采用文学伦理学批评视角对英国戏剧进行历时研究，系统考察其伦理传统及流变规律，在跨文化批评的对话中彰显了中国学术话语。这一研究通过梳理英国戏剧从中世纪宗教剧至当代荒诞剧的伦理叙事脉络，既证明了伦理传统始终贯穿于英国戏剧的创作中，也揭示出戏剧不仅是艺术审美的载体，更是伦理表达与探索的重要场域。同时他的研究也进一步表明，伦理意义与艺术形式密不可分，伦理批评与其他学科视角的结合是一种行之有效的批评阐释路径。这不仅丰富了英国戏剧研究，也凸显了文学伦理学批评在联结历史与现实、审美与伦理、文本与社会方面的兼容性和柔韧性。

Works Cited

- 付少武：“20 世纪现代派戏剧探索精神论”，《文艺评论》6（2004）：74-77。
 [Fu Shaowu. “An Inquiry into the Exploratory Spirit of 20th-Century Modernist Drama.” *Literature and Art Criticism* 6 (2004): 74-77.]
- 何其莘：《英国戏剧史》。南京：译林出版社，2008 年。
 [He Qixin. *A History of English Drama*. Nanjing: Yilin Press, 2008.]
- 刘茂生：“英国戏剧叙事的伦理传统”，《广东外语外贸大学学报》1（2021）：42-52。
 [Liu Maosheng. “The Ethical Tradition of English Dramatic Narrative.” *Journal of Guangdong University of Foreign Studies* 1 (2021): 42-52.]
- ：《英国戏剧的伦理叙事研究》。北京：商务印书馆，2025 年。
 [—, *A Study on Ethical Narrative of British Drama*. Beijing: The Commercial Press, 2025.]
- 刘意青：《英国 18 世纪文学史》。北京：外语教学与研究出版社，2005 年。
 [Liu Yiqing. *A History of 18th-Century English Literature*. Beijing: Foreign Language Teaching and

Research Press, 2005.]

Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.

—. "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.

聂珍钊：《文学伦理学批评导论》。北京：北京大学出版社，2012 年。

[Nie Zhenzhao. *Introduction to Ethical Literary Criticism*. Beijing: Beijing UP, 2012.]

聂珍钊、王松林：《文学伦理学批评理论研究》。北京：北京大学出版社，2020 年。

[Nie Zhenzhao and Wang Songlin. *A Study on the Theory of Ethical Literary Criticism*. Beijing: Beijing UP, 2020.]

Potkay, Adam. *Wordsworth's Ethics*. Baltimore: The Johns Hopkins UP, 2012.

Su Hui. "The Theoretical Cornerstone and Central Concept of Ethical Literary Criticism: Ethical Choice." *ANQ: A Quarterly Journal of Short Articles, Notes and Reviews* 4 (2025): 622-630.

王守仁、胡开宝等：《英国文学批评史》。南京：南京大学出版社，2012 年。

[Wang Shouren, Hu Kaibao, et al. *A History of British Literary Criticism*. Nanjing: Nanjing UP, 2012.]

伍蠡甫：《西方文论选》下卷。上海：上海译文出版社，1988 年。

[Wu Lifu. *Selected Works of Western Literary Theory* Vol. 2. Shanghai: Shanghai Translation Publishing House, 1988.]

杨国静：《伦理》。北京：外语教学与研究出版社，2020 年。

[Yang Guojing. *The Ethical*. Beijing: Foreign Language Teaching and Research Press, 2020.]



Published by
Knowledge Hub Publishing Company Limited
Hong Kong

