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廖述务

Wang Ning and China's Perspective on World Literature: An Introduction

Zou Li

Abstract: Wang Ning is one of the most important and influential scholars in humanities studies in contemporary China. This special issue analyzes his world literature studies in the context of the global debate about the notion of world literature, aiming to explore Chinese critic's contribution to the development of this field. It consists of 10 articles and 1 commentary contributed by scholars from institutions of different parts of the world, such as the United States, Belgium, South Korea and China. It argues that the contributions of Wang Ning's world literature studies are as follows: 1) constructing Chinese literary critical discourse; 2) securing the place of Chinese literature and scholarship in world literary academia; 3) deconstructing western-centrism in the world literature studies of current international academia.

Keywords: Wang Ning; China; world literature; international academia

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标题: 王宁与中国的世界文学研究：导言

内容摘要: 王宁教授是当代中国最为重要和最具影响力的人文学者之一。本专辑论文将其世界文学研究置于全球世界文学论争的语境中进行分析，探讨中国学者对世界文学研究作出的贡献。本专辑包括 10 篇论文和 1 篇评论文章。论文的作者除数位中国学者外，还包括多位来自美国、比利时和韩国著名高校的学者。本专辑认为王宁教授的世界文学研究主要有以下贡献：1) 在国际学界构建中国批评话语；2) 拓展中国文学和中国学术在国际学界的影响力；3) 解构当前国际学界以西方为中心的世界文学研究。

关键词: 王宁；中国；世界文学；国际学术界

作者简介: 邹理，文学博士，上海交通大学外国语学院助理教授，主要从事英语与比较文学研究。本文为上海市哲学社会科学青年项目“英语抗战文学中的上海叙事研究”【项目编号：2019EWY003】的阶段性成果。

Wang Ning is one of the most important and influential scholars in humanities studies in contemporary China. Wang has held professorships in prestigious Chinese institutions such as Peking University and Tsinghua University, and is now working as Distinguished University Professor of Social Science and Humanities at Shanghai Jiao Tong University. In previous decades, he made eminent contributions to challenging Western-centric assumptions and knowledge production practices in the present construction of world literary system and to worlding Chinese literature and Chinese scholarship in international academia.

Wang has published an impressive number of articles in a wide range of journals such as *New Literary History*, *Modern Language Quarterly* and *Critical Inquiry*, and his theories for understanding the present global system of literary exchange and consumption have been well recognized by his Western counterparts. For instance, in 2011, he had an in-depth discussion about world literature with another eminent scholar, David Damrosch, at the Fifth Sino-American Symposium on Comparative Literature, which was published in the journal *ARIEL: A Review of International English Literature* (2011). In this dialogue, Wang shared his four world literature criteria: 1) whether a work has been translated into other languages; 2) whether it has been included in “some authoritative anthologies of world literature”; 3) whether it has reached a wide range of readers and become the “inheritance of different generations of writers”; 4) whether it has been critically responded to by critics of other countries or cultural contexts (177). Damrosch admitted that while there was some difference between their views on world literature, he did agree with the criteria Wang put forward, especially Wang’s views on the role of literary anthology, translation and the quality of literary texts in the formation of world literature system.

Due to Wang’s impressive contributions, dozens of institutions in countries such as the United States, the UK and France have invited him to give lectures about his views on comparative literature and world literature studies. For example, in 2005, on the invitation of Gayatri C. Spivak, Wang gave a lecture on post-colonialism and world literature at Columbia University. Three years later, in 2008, Wang was invited by Homi Bhabha and Damrosch to give a lecture on reconstructing Neo-Confucianism in a post-colonial context at Harvard University. In the same year, Wang shared his perspective on comparative literature and world literature studies at the Center for Research in the Arts, Social Sciences and Humanities at the University of Cambridge. In 2015, Wang was invited to lecture at the National Humanities Center, United States, on Chinese literature as world literature. At Sorbonne Université in France in 2015, Wang presented his views on

cosmopolitanism to French scholars. In 2019, Wang gave a keynote speech at the triennial conference of International Comparative Literature Association about his visions of world poetics. In line with Wang's eminent contribution to comparative literature and comparative culture studies, the Academy of Latinity and Academia Europaea elected him as a foreign member respectively in 2010 and in 2013. Wang's world literature scholarship enjoyed immense popularity in the Western countries.

Wang's scholarly oeuvre of world literature studies, which leads to his wide reputation at home and abroad, are inspiring and beneficial for our further research, especially, in positioning Chinese experience in the development of world literary tradition and examining the deficiency of the present structure of world literary system, which constitute the main motivation for this special issue. Chinese experience, specifically, Chinese literary writing and theoretical constructions, played an important role in shaping the world literary tradition. In the introduction of the special cluster *Twentieth- and Twenty-First-Century Chinese Fiction* in the leading English literary journal *Modern Fiction Studies*, Wang, together with Charles Ross, offers an extraordinary analysis of the role of Chinese fiction in forming the notion of world literature and its map. Through reading the relations between Eastern and Western literature, their analysis shows that Chinese fiction is of great value to the development of the western literary tradition and has served as a critical resource in inspiring the critical tradition of western literature. Wang points out that "Thomas Percy's 1761 translation of *Hau Kiou Choaan* (The Pleasing History), as well as some other Chinese literary works of minor importance" inspired the German literary giant Goethe to form the Utopian conception of world literature (582). Goethe did not have "access to the better Chinese novels, such as *Dream of the Red Chamber*, if he had, he would have been even more astonished at the great achievements made by eminent Chinese writers" (582). Implicit in Wang's argument is that it is important for the western literary field to translate and read the masterpieces of Chinese literature.

In contemporary era, in resonance of China's increasingly important role in the process of globalization, Chinese experience becomes an integrated part of the world system in all sorts of aspects. Wang puts the case succinctly in the introduction of the special issue *Chinese Encounters with Western Theories*, which he edited with Marshall Brown in *Modern Language Quarterly*:

Still, it remains a society undergoing rapid change, and powerful winds are blowing from China toward the rest of the world. Political, economic, ecological, and even, in recent years, public health concerns have been thrust

from China into the western consciousness. We, as well as literary scholars in the west, cannot stop thinking about China [...] Every year Chinese scholars publish original theoretical works and translations of western scholarship, organize many conferences on literary theory, and engage in discussions on issues of literary creation and criticism. There also continues to be enthusiastic debate on cutting-edge theoretical issues in the Chinese context, such as postmodernism and its critical and creative reception in China, Derridean deconstruction, Edward Said's orientalism, Fredric Jameson's Marxist-postmodernist theory, the crisis of comparative literature and the rise of world literature, and parallel elements of cosmopolitanism in the West and in ancient China. (Wang and Brown 245-246)

The truly radical idea in Wang's arguments is that the development of world literary thoughts and literary traditions was not possible without experiences from China. It is hard to imagine how Chinese experience might ultimately be excluded from the global system of literary studies. Sadly, our current world literary system lets us down. Chinese cultural and literary experiences in the global system and Chinese scholars' theoretical contributions are not appropriately treated in the dominant world literary theoretical constructions. Revathi Krishnaswamy makes precisely this point in his article "Toward World Literary Knowledges: Theory in the Age of Globalization" published in *Comparative Literature*: "assorted texts from the world's literary traditions are not only sorted into genres identified and defined by the Western theoretical tradition, they also are interpreted and judged according to Western literary norms" (402). Present world literary academia mainly takes experiences from the western cultural and literary contexts as the epistemological framework to address the world system that deals with the production, circulation, exchange, and consumption of literary texts from all countries.

In *What is World Literature?* David Damrosch points out, regarding world literature, "a category from which nothing can be excluded is essentially useless" (110). This remark is reasonable and implies complex power relationships both between the world literature agencies and object literary texts, and between the included and the excluded. Regarding the ways literary texts from non-European countries are included in the running of the current world literature system, Damrosch notes that they have to objectify themselves, constitute themselves as subjects, and at the same time bind themselves to violent reshaping of the mechanisms and calculation of the Anglo-American cultural political power. The American institutions, book market and cultural economies, or, in other word, the

American experience in the era of globalization, become the dominant forces in shaping the world literary system. We also see the dominance of western agencies in the works of another leading world literature scholar, Franco Moretti. In his book *Distant Reading* (2013), Moretti proposes to treat literary texts as digital data, and tends to use computational methods to investigate the law of the global literary system. It is not hard to notice that the digital system analysis technologies Moretti recommends are the hallmark strengths of western countries.

As we look at the dominance of western experiences in these leading western critics' construction of world literature, we face the daunting situation that international literary academia still does not give enough attention to experiences from non-European countries such as China. As a response, this special issue offers a set of articles to address the eminent Chinese critic Wang's literary theoretical constructions so as to highlight China's contribution to the international literary academia. These articles mainly analyze Wang's contributions in the following five aspects (some of these articles addressed all five aspects; nevertheless, we have categorized them according to their main focus):

1) Comprehensive analysis of Wang's world literature studies and his theoretical contributions. Shang Biwu's "From World Literature to World Poetics: Wang Ning's Scholarship of Literature Studies" examines the significance and implications of Wang's studies in Chinese literature and world literature, Chinese-Western dialogue on and reconstruction of literary theory, and world poetics and cosmopolitanism. While discussing Wang's achievements in these fields, Shang shows that Wang not only goes deep into the cutting-edge issues of international academia, but also "goes beyond the hedgehog-fox divide and is well-accomplished in all and each of the scholarly areas," such as psychoanalysis, postmodernism, post-colonialism, globalization, translation studies, literary theory, world literature and comparative literature. Simon C. Estok in his article "Wang Ning and Shakespeare" explores the similarities between Wang Ning's scholarship and Shakespeare's literary writings. Based on an analysis of the shared characteristics in Wang and Shakespeare's works, he points out that "like Shakespeare, Wang magnifies and reflects the trends of his time" and brings to international society a "vibrant [Chinese] culture." He also suggests that the "growing immensity of his impacts, both in established scholarly areas and in newly emerging ones" is difficult to calculate.

2) Wang's construction of Chinese literary critical discourse. Yao Lingling in her article "Chinese Literature as World Literature: Re-imagining the World Literary Scene and Re-visualizing Chinese Literature in the Age of Globalization" analyzes Wang's studies of the world literature system, East-West literary relations

and film adaptation of literary works, arguing that Wang is “a visionary Chinese literary theorist and comparatist ” who attempts to construct and promote a Chinese literary discourse in international academia. It shows that Chinese literary critical discourse features in most of Wang’s oeuvres not as a utopian concept but as a specific system that includes strategies in translation, film adaptation of literary works, sinicized world literature concepts and reevaluations about the function of western literary institutions. Yao notes that Wang’s efforts in constructing a Chinese literary discourse contributes to a more democratic world literary system and a new understanding of cosmopolitanism, which consistently influences the works of Chinese humanities scholars. In resonance with the emphasis on the critical role of translation in Yao’s studies, Liu Dan and Xiong Hui in their article “Translation and Reconstruction of World Literature: A View of Wang Ning’s Concept of World Literature” delivers a comprehensive analysis of the function of Wang’s translation theories in constructing his world literature discourse with Chinese characteristics, and points out that Wang’s translation strategies not only provide a path for the literature of those less powerful nations to enter the core of the world literary arena, but also deconstructs the superiority of western cultures.

Yang Chan’s article “Wang Ning’s Theoretical World and Its Application: Cosmopolitanism, World Literature and the Internationalization of the Chinese Humanities” works from Wang’s reconstruction of western world literature concepts in his development of Chinese literary discourse to his strategy to promote it in international society. Through an analysis of the sources of knowledge in Wang’s reconstruction of the notion of world literature and cosmopolitanism, and his strategy of promoting Chinese literary discourses, this article shows that with his broad knowledge and vision about culture and literature from both China and western countries, Wang draws critical resources from Chinese social, literary and intellectual experiences in the era of globalization as well as resources from western philosophers such as Immanuel Kant, Karl Marx and Johann Wolfgang Goethe to form his own notion of world literature and cosmopolitanism.

3) Securing the place of Chinese literature and scholarship in world literary academia. In the article “Wang Ning: Sinicizing World Literature,” Theo D’haen notes that Wang is “one of the most productive Chinese comparative and world literature studies scholars of the past four decades.” Through reading the relationship between Wang’s treatment of “native-grown Chinese works, traditions, methods, and approaches” and his “translating, interpreting, and adapting Western models for use with reference to Chinese literature and literary studies,” this article shows that Wang has been “instrumental in securing for Chinese literature and literary

studies a more prominent place on the maps of comparative and world literature studies, paralleling China's growing global importance in all other fields." Thomas O. Beebee's article "Wang Ning, Inc.: Intercultural Collaborations in the Study of World Literature" addresses specific activities Wang conducted to secure the place of Chinese literature and scholarship and promote transnational academic communication. After examining Wang's achievements in "areas of collaboration and team-building that have taken on the dimensions of a corporate approach to literary and cultural investigations," Beebee shows that Wang's academic activities, such as "hosting of international scholars and conferences, production of journal special issues with cogent introductions, engagement in translation projects, and intervention in critical debates and controversies," opened "spaces for Chinese-North American intercultural communication." Liu Kang's article "Chinese Encounters with Western Theories: A Metacommentary" analyzes Wang Ning and several other scholars' essays about the relationship between western and Chinese literary theories published in the special cluster "Chinese Encounters with Western Theories" in *Modern Language Quarterly*, arguing that "the historical facts of modern China, especially the history of reform and opening up of the last four decades, show that China is in the world and the world is in China," and that "the relationship of universalism and exceptionalism" is "overdetermined by multiple factors of integration and complementarity."

4) Deconstructing western-centrism in the world literature studies of current international academia. In the article "The Conception of World Poetics and the Forming of a Global Academic Community," Sheng Anfeng examines Wang's "achievements in the fields of comparative and world literature, and in the promotion of Chinese scholarship in the world during the past forty years," and notes that Wang's theoretical constructions, especially his reconstruction of the concept of world poetics, contribute significantly to "break the Western-centric mindset" in literary studies, and to make Chinese scholars' voices "heard in the international academic community, and to construct a Chinese literary theory discourse." "A loosely-structured, preliminary global academic community" featuring non-western countries, such as China's voices, begins to take shape. In the final article in this special issue, together with Yang Yi, I stress as well Wang's achievement in deconstructing western-centrism in current world literature studies and note that Wang is one of the most important figures in this international debate about world literature. In our article titled "New World System and New World Literature Framework: A Comparative Analysis of Wang Ning and David Damrosch's World Literature Studies," we argue that Damrosch's construction

of world literature has traces of ‘enlightened conservatism’,” and “Wang’s world literature studies deconstructed Damrosch’s world literature framework by first revealing the referential crisis in Damrosch’s theory and then re-establishing the referential connection by reconsidering the ordering principles, interpretation framework, and agencies of world literature according to newly emerging world structures.” Instead of providing an expanded version of the previous Euro-American-centred notion of world literature, Wang brings forth “a more balanced notion of world literature which takes into account literature of all countries and regions and at the same time emphasizes the quality and world influence of certain literary texts.”

Over the past forty years, Wang has worked with all his energy to invent and practice new approaches to advance scholarship in literary theory, comparative literature and world literature studies, deconstruct western-centrism and develop Chinese literary discourses. His eminent achievement in these areas not only provides new and important theoretical frameworks for international literary academia, but also will continue to shed light on the researches of future scholars both from China and from other countries.

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Wang Ning: Sinicizing World Literature

Theo D'haen

Abstract: Wang Ning has been one of the most productive Chinese comparative and world literature studies scholars of the past four decades with numerous publications in both Chinese and English. In his scholarly trajectory in English we can discern an evolution from translating, interpreting, and adapting Western models for use with reference to Chinese literature and literary studies to advancing the claims of native-grown Chinese works, traditions, methods, and approaches to be treated on a par with Western ones. As such, he has been instrumental in securing for Chinese literature and literary studies a more prominent place on the maps of comparative and world literature studies.

Keywords: Wang Ning; world literature; china; comparative literature; translation studies

Author: Theo D'haen is Emeritus of Leuven (Belgium) and Leiden (Netherlands), Changjiang Prof. U. of Sichuan, Distinguished Visiting Prof. Shanghai Jiao Tong University, Erasmus Chair and Senior Fulbright Fellow Harvard, Visiting Prof. Sorbonne and U. Vienna. Dr. hon. c. U. Bucharest. Member and past Trustee Academia Europaea. Past President FILLM. Some 60 volumes authored, co-authored, edited, or co-edited, and 200+ articles and book chapters on postmodernism, postcolonialism, crime fiction, and world literature. Editor *European Review* (CUP), *Journal of World Literature* (Brill). Recent English-language publications: *World Literature in an Age of Geopolitics* (Brill 2021), *The Routledge Concise History of World Literature* (2012) (Email: theo.dhaen@kuleuven.be).

标题：王宁：世界文学的中国化

内容摘要：王宁在中西方发表了数量庞大的学术成果，是过去四十年来中国最为高产的比较文学和世界文学学者之一。在他的英文发表轨迹中，我们可以分辨出王宁从根据中国文学和文学研究实际翻译、阐释、改造西方模型到提出与西方相媲美的中国本土文学研究传统、研究方法和研究成果的演变历程。因此，可以说王宁是建立中国文学和文学研究在世界学术界显著地位的关键学者。

关键词：王宁；世界文学；中国；比较文学；翻译研究

作者简介：西奥多·德汉，比利时鲁文大学和荷兰莱顿大学的荣休教授、欧洲科学院院士、前《欧洲评论》主编和《世界文学研究杂志》联合主编。他曾担任四川大学长江学者讲座教授以及上海交通大学、哈佛大学和奥地利维也纳大学等多所大学的访问教授或研究员。他出版了60余部学术专著或编著，发表了200余篇论文。近期代表作包括《地缘政治时代的世界文学》（2021）和《劳特里奇世界文学简史》（2012）等。

My argument in what follows will be that Wang Ning's scholarly trajectory narrowly parallels that of his country.

Born in 1955, Wang came to intellectual maturity when Deng Xiaoping opened China to the international community. This was also the moment when the study of comparative literature in China was revived. As Xiaoyi Zhou and Q. S. Tong argue in their 2000 article "Comparative Literature in China," comparative literature had under Western influence taken root in China in the first half of the twentieth century, first and foremost at Tsinghua University, where the English literary theoretician I.A. Richards taught as a visiting professor from 1929 to 1931, but from about 1950 on it had lain dormant. Although Western texts and handbooks on comparative literature such as Hutcheson Macauley Possnett's 1886 *Comparative Literature*, Frédéric Loliée's 1903/1906 *Histoire des littératures comparées des origines au XXe siècle / A Short History of Comparative Literature from the Earliest Times to the Present Day*, and Paul van Tieghem's 1931 *La Littérature comparée* played an important role in the grounding of the discipline in China, actual interest of the early Chinese comparatists mainly concerned the relations between Chinese and Indian, Russian, and to a lesser extent European literature, the latter often through Japanese intermediaries, as extensively documented by Karen Thornber (2009). The interest in Russian and particularly Soviet literature was fuelled by the interventions of Lu Xun, without question the most important Chinese author of the first half of the twentieth century, and his brother Zhou Zhuoren. Zhou and Tong note that with respect to Indian, especially Buddhist, and Russian literature, pre-1950 Chinese comparatists focused on how these literatures had been received in Chinese literature, while with respect to European literature they paid most attention to the reception of Chinese literary works in Early Modernity. At its revival in the 1980s, Chinese comparatists rather focused on American developments in literary theory, mostly New Criticism as filtered through Wellek and Warren's *Theory of Literature* (1948), or in comparative literature via the writings of H.H. Remak.

The 1980s and 1990s is also when Chinese comparatists started looking for

international contacts and actively began to participate in the workings of the Association Internationale de Littérature Comparée/ International Comparative Literature Association. The latter was mainly the work of Yue Daiyun and Meng Hua, both then at Peking University's Department of Comparative Literature, where Wang also received his training as a comparatist. In 1990-1991, he did postdoctoral research at the University of Utrecht in the Netherlands, under the guidance of Douwe Fokkema, a noted Dutch comparative literature scholar of postmodernism, but also of Chinese literature. Wang first prominently appeared in person on the international scene at the 1997 ICLA triannual Conference in Leiden, in the Netherlands. In the meantime, however, he had already broken into the English-language publication market. Not surprisingly given his links to Fokkema, he did so with "Constructing Postmodernism: The Chinese Case and Its Different Versions" (1993). As is evident from this article's title, even at this early stage of his career he already reflected on Chinese literature in an international context. This shows even more strongly from his next English-language publication, in the very prestigious journal *New Literary History*, "Confronting Western Influence: Rethinking Chinese Literature of the New Period" (1993). But he also already paid attention to issues of translation, as witnessed by "Toward a Translation Study in the Context of Chinese-Western Comparative Culture Studies" (1996), and of postcolonialism, for instance in "Orientalism versus Occidentalism?" (1997). Nor did he neglect the theoretical dimension, as testified to by articles such as "Toward a New Framework of Comparative Literature" (1996), or "'Decolonizing' Chinese Culture in a Post-Colonial Era?" (1997). Over the next thirty years he would go on developing his interests in all these fields via a true deluge of publications, in Chinese and in English, the latter in almost all prestigious comparative literature, translation, and theory journals: *New Literary History*, *boundary 2*, *Canadian Review of Comparative Literature*, *Social Semiotics*, *Neohelicon*, *Comparative Literature Studies*, *Critical Inquiry*, *Modern Language Quarterly*, *Semiotica*, *Minnesota Review*, *Narrative*, *Modern Fiction Studies*, *Third World Quarterly*. But he did not neglect paying tribute to whom he considered important predecessors and mentors, such as Douwe Fokkema, but also Ralph Cohen and Northrop Frye, and to his colleague Shunqing Cao. In more recent times Wang also branched out into ecology, with "Global in the Local: Ecocriticism in China" (2014), and, as the title of the article just mentioned already betrays, world literature studies, with again a number of articles, in Chinese and in English, too numerous to mention.

Such a swerve to world literature studies in fact fully chimes with the history of comparative literature in China itself as well as with more recent developments

in comparative literature in the West. Zhou and Tong note that comparative literature in China, as actually in most Western countries, has often, if not to say most often, and this in apparent contradiction with the ostensibly and avowedly idealistic international push of the discipline, been used to promote, sometimes slyly sometimes openly, one's national literature via "comparison" with the literatures of other countries. The same thing holds for world literature studies, from one of the earliest works in the genre, Richard Moulton's 1911 *World Literature and Its Place in General Culture*, which only studies the world's literatures to the extent in which they had been of influence on the formation and growth of the "literature of the English-speaking peoples," to the way the subject was taught in US undergraduate curricula in the 1950s, with the difference that in the latter case it was not one national literature but the "major" European literatures that of old had formed the core subject also of comparative literature studies that implicitly were foregrounded as making up "world literature." Werner Friederich (1960), a Swiss comparatist working in the US, at the end of the 1950s scathingly remarked that world literature courses in the United States were undeserving of the name as they only taught the literatures of one fourth of Europe's NATO members. Even earlier, Albert Guérard, a French scholar likewise teaching in the US, had suggested that it would be more accurate to speak of "Western World Literature: a literature for Westerners, wherever they may be, and for Westernized Orientals" (Guérard 34). And René Etiemble, another Frenchman, in the mid-1960s lambasted world literature's Euro- or Western-centrism and called for the inclusion of Arabic, Indian, Japanese and Chinese literature(s) (Etiemble 1975). A. Owen Aldridge in the mid-1980s warned that for non-European critics the way world literature was taught smacked of a "colonialist mentality" as "even when Eastern masterpieces have been recognized as such, they have often been treated as precursors of later European works, not as models or cultural achievements in their own right [...] it is now time for the classics of the East to be viewed as the foundations of independent traditions and made available to Western students" (Aldridge 10). Etiemble had even provocatively suggested that the future of comparative literature and world literature might well lie with Chinese comparativism. In this context it is useful to mention, as indeed Wang himself reminds us in a 2006 article (163), that the Chinese Ministry of Education in 1998 integrated comparative literature and world literature into one discipline for graduate study in China, and that since 2016 Beijing Normal University Press has been publishing a journal called *Comparative Literature and World Literature*. Although the editors-in-chief of *Comparative Literature and World Literature* issue from Beijing Normal University, and the associate editors, while being Chinese,

are stationed at Arizona State University, the Advisory and Editorial Board are internationally constituted, comprising luminaries such as Susan Bassnett, Hans Bertens, Thomas O. Beebee, David Damrosch, and Subha Chakraborty Dasgupta, next to Yue Daiyun, Luo Liyang and Chen Guangching. Against this background it is no surprise that when Wang turns to world literature studies he not only subscribes to the de-European- and de-Westernizing agenda of Guérard, Etiemble and Aldridge, but does so from a Sinicizing perspective.

As of the final decade of the twentieth century we see an increasing tendency in the broad field of what is commonly called the Social Sciences and Humanities to, borrowing Dipesh Chakrabarty's (2000) words, "provincialize Europe," and to upgrade the study of other continents, which in our particular case means other literatures. In first instance this tendency manifests in the more recent editions of the Longman and Norton anthologies of world literature, under the general editorships of, respectively, David Damrosch and Martin Puchner, where European literature is no longer favoured over Chinese, Japanese, Arabic, Indian or African literature. It also transpires from the critical discourse on world literature shifting from an exclusive focus on European literature(s) to postcolonial literatures, as in the works of Pheng Cheah (2016), Aamir R. Mufti (2016), and Baidik Bhattacharya (2018). But said discourse increasingly also broadens to include literatures in non-European languages, not necessarily postcolonial, as in recent discussions by May Hawas (2019) and Robert Young (2021). In the numerous publications he has devoted especially since the turn of the twenty-first century to the relationship between Chinese literature and world literature, Wang inscribes himself in the latter trend. In his early work he is intent on discussing Chinese literary works with a methodology and terminology imported from Western discourse, though not without "Chinese characteristics." And notwithstanding the title of his very early article, "Confronting Western Influence: Rethinking Chinese Literature of the New Period" (1993), and his claim therein that "Chinese literature is no longer a small tributary of the mainstream of world literature. At the present time, no scholar, either from the West or from the East, could undertake to write a book with *The Mainstream of Literature in the Twentieth Century* [a reference to Georg Brandes's extremely influential late nineteenth-century *Main Currents in Nineteenth-Century Literature*] as its title without including the development of contemporary Chinese literature" (905-906), the article essentially chronicles the influence of Western philosophers and theorists such as Freud, Nietzsche, Heidegger, and Sartre, and currents such as modernism, postmodernism, and the avant-gardes, on Chinese literature. At the end of his essay Wang asks: "Since Chinese literature has its own grand tradition and its great writers

and writings, how has it influenced other literatures, for instance, the literatures of the Western countries?” Citing difficulties of language, Euro- and Western-centrism, and various other reasons, Wang arrives at the conclusion that “the results in the study of Chinese influence on Western literatures are not satisfactory at all” (922), but he expresses his hope that through increasing East-West collaboration this gap might soon be filled.

Even in the early 2000s, in his 2005 *New Literary History* article “Translating Journals into Chinese: Toward a Theoretical (Re)Construction of Chinese Critical Discourse,” Wang still emphasizes how Chinese critical discourse then remains largely tributary to Western and particularly American influences. In fact, he starts off his article by drawing a parallel with what happened in the early twentieth century when, he says, “During the May 4 period, almost all the Western cultural trends and critical theories flooded into China through translation, mostly from English and occasionally from Japanese and Russian, exercising a strong influence on Chinese literary creation and critical interpretation. Many Chinese writers, such as Lu Xun, Guo Moruo, and Cao Yu, and literary theorists would rather recognize being inspired by Western literature and theories than by their Chinese precursors” (2005 649). Likewise, he finds, after a period in which Western influence was largely dormant, from the Communist take-over of 1949 to the end of the Cultural Revolution, since 1978 “more and more foreign, especially Western, cultural trends and literary theories have been coming into China through translation, directly influencing the critical and creative construction of contemporary Chinese literary and theoretical discourse. [...] Almost all the cutting-edge Western critical theories have been echoed in the Chinese context, for there are quite a few translators, including myself [i.e. Wang Ning], who follow the most recent advances in Western literary and cultural theories and who take the initiative of translating them into Chinese as well as interpreting them to Chinese scholars and critics” (650). In line with this ambition, Wang, as he explains in the article in question, took it upon himself, along with some colleagues, to translate into Chinese such major American journals as *New Literary History*, *Critical Inquiry*, and *boundary 2*; for the first two of these Wang served as editor of the Chinese versions. From then on, though, Wang, at least in his English-language publications, which are the only ones I, being illiterate in Chinese, can access, starts to adopt a much more critical position vis-à-vis Western theory, as for instance in the issue of *MLQ* he guest-edited, along with Marshall Brown, in 2018.

Indeed, as of the end of the first decade of the twenty-first century, Wang assumes an increasingly more self-confident Chinese stance and calls for an

authentically Chinese approach in literary studies, including comparative and world literature studies. As such he picks up on the long-standing claim that there is, or there be, a distinctive Chinese School of Comparative Literature, a claim forcefully put forward also by Wang's colleague Shunqing Cao, a.o. in the latter's 2013 *The Variation Theory of Comparative Literature*. Cao is one of the editors-in-chief of the journal *Comparative Literature and World Literature* mentioned earlier. In the very year Cao's volume appeared, Wang published a perceptive review in *CLCWeb*, in which he also gave an outline of Cao's entire career up to date. Throughout, Wang emphasizes how "at the time when few scholars of classical Chinese literature realized the importance of comparative literature, Cao took the initiative to apply a comparative approach to study Chinese classics. While Cao was inspired by the work of such as James Liu and Earl Miner, in his later work he transcended what he presented in his 1988 *Chinese and Western Comparative Poetics* where he interpreted Western critical concepts from a Chinese perspective. Cao's objective to develop a home-grown Chinese comparative literature culminated in his 2012 four-volume edited collection *A History of Chinese and Foreign Literary Theory*" (Wang "Variation Theory and Comparative Literature: A Book Review Article about Cao's Work" 3). Wang does not hesitate to rate this work on a par with the ICLA's *Comparative History of Literatures in European Languages*. "The strength of the work," Wang argues, "lies in that it for the first time put Chinese literary theory in a broad context of world literary theory highlighting its different characteristics and unique position. It also demonstrates that to write a comprehensive history of world literary theory should not overlook the literary theory and criticism in those non-Western countries, especially China, where there is its own autonomous body of literary theory with *The Literary Mind and the Carving of Dragons* (by Xie Liu) as its landmark" (3). Regrettably, however, Wang remarks, "Since the collection is available in Chinese only, it has not made an impact outside the Chinese context" (3). Obviously, Wang himself has no intention of falling into the same trap—while in China his standing is comparable to that of Cao, he is much better known abroad precisely because from the very beginning of his career he has taken care to publish extensively in English. At the same time, he leaves no doubt that he underwrites and shares Cao's ambition for a "home-grown Chinese comparative literature."

Wang's growing assertion as a Chinese comparative and world literature scholar clearly shows from a 2010 article, "Global English(es) and Global Chinese(s): toward rewriting a new literary history in Chinese," in which he reflects on China's enormous population, its numerous diaspora, and its rising economic might, which make it inevitable that the Chinese language will gain ever greater

purchase on the world. Comparing the fate of the Chinese language to that of English, and the possible consequences of its spreading beyond China proper, he recognizes that this might bring with it a certain measure of hybridization. Instead of worrying about this, as he says some of his colleagues are doing, he welcomes it, because “if it really achieved the effect of being inclusive and hybridized like English, Chinese would become the second major world language next to English, for it could play the unique role that English cannot play, and in more aspects, it could function as a major world language in an interactive and complementary way to English” (167). With the “rise of ‘Chinese fever’ in the world,” he asks, “what shall [Chinese] literary scholars [...] do to remap world literature?” (Wang “Global English(es) and Global Chinese(s): toward rewriting a new literary history in Chinese” 170). Like English literature, so too “Chinese literature: also from a national literature to a sort of transnational and postnational literature” (172). Invoking “Tu Wei-ming’s concept of ‘Cultural China’,” Wang defines “Chinese literature in two senses: one is the literature produced in greater China: mainland China, Hong Kong, Macao and Taiwan in Chinese which is the people’s national language or mother tongue; and the other is the literature produced overseas in Chinese which is the writers’ mother tongue although not necessarily their national language” (173). Such international Chinese literature studies will become, “like its counterpart of international English literature, a sub-discipline in the broader context of comparative literature and world literature [...] since to Spivak [2003], a new Comparative Literature must be encountered within area studies, international Chinese literature studies will have both characteristics and, therefore, will undoubtedly have a bright prospect along with the popularization of Chinese worldwide” (173-174). Literature in Chinese, then, as a world literature, similar to literatures in English, French, Spanish, or Portuguese; only bigger. Wang holds up especially English and literature(s) in English as examples only, but it is clear that he means for Chinese world literature eventually coming to rival these examples.

Picking up on Zhou and Tong’s claim at the beginning of their 2000 article that in the West comparative literature is “dead”—they based themselves mostly on Susan Basnett’s 1993 *Comparative Literature: A Critical Introduction*, in which she posited that comparative literature was to be subsumed by translation studies, and on their perception of what since then has been labelled “the age of theory,”—Wang in another 2010 article, “World Literature and the Dynamic Function of Translation,” posits “that the globalization of material, cultural, and intellectual production, accompanied by the dissolution of Eurocentrism and ‘West-centrism’ and by the rise of Eastern culture and literature, has assisted at world literature’s birth from the

ashes of comparative literature” (2). World literature, he argues, implies translation, and while translation in Chinese literary history has frequently served foreign literatures to colonize Chinese literature and culture, “the recent trend of cultural globalization in the Chinese context [...] will help promote Chinese culture and literature worldwide” (13). This almost sounds like a far echo from Goethe’s belief, in an earlier wave of globalization following the Napoleonic wars, that German literature, because of what he saw as the German genius for translation, was to play an important mediating role in the coming into being of world literature. At the same time this would promote German literature’s standing in the world concert of literatures. Ultimately, it would serve to foster the ideal of a German *Kulturnation* at a time when what we now know as Germany was still divided into sundry smaller entities. Wang seems to have something comparable in mind with respect to the Chinese situation in a global context.

Constant awareness of modern Chinese literature’s involvement with and indebtedness to, but also resistance against, emancipation from, and ultimately transcending Western influences keeps running also through Wang’s more recent scholarly production. In “Chinese Literature as World Literature” (2016) he argues that contemporary Chinese authors should read as much foreign fiction as possible, preferably in English translation as this makes the world’s literatures available to them, but that they should also recognize their indebtedness to their own native tradition. At the same time, he posits that more, and better translations from Chinese into other languages, and again primarily English, are needed to make Chinese literature part of “mainstream” world literature. Wang’s argumentation here chimes with ongoing discussions in world literature studies regarding the importance, the advantages, but also the dangers, of translation in the practice of world literature. Whereas comparative world literature scholars from the very beginning have emphasized the inevitability of translation for “doing” world literature, their more “orthodox” comparative literature counterparts, often schooled in German-inspired philological practices, have consistently insisted on sticking to literary works in the original. The debate was fanned over the last twenty years—practically speaking since the re-emergence of world literature as a scholarly paradigm first triggered by Sarah Lawall’s *Reading World Literature: Theory, History, Practice* (1994), and then fuelled by the appearance, in rapid succession, of Pascale Casanova’s *La République mondiale des lettres* (1999), Franco Moretti’s “Conjectures on World Literature” (2000) and David Damrosch’s *What is World Literature?* (2003)—and pitted in particular Damrosch, as main editor of the *Longman Anthology of World Literature*, but also as theoretician of world literature in the book of his just listed,

versus Gayatri Spivak, with *Death of a Discipline* (2003), and at a later stage also Emily Apter with her *Against World Literature* (2013). Perhaps most famous in this respect is a debate on the issue between Damrosch and Spivak at the 2011 American Comparative Literature Association meeting in Vancouver (Damrosch 2011). Spivak denounced how world literature studies as promoted by Damrosch led to what Jonathan Arac in 2002 has labelled “Anglo-Globalism,” i.e. a regime whereby the literatures of the world are all turned into “literatures in English”, and therefore in effect become extensions of an Anglo-Global culture suppressing their specificities and singularities. Against this, Damrosch, as had done other world literature scholars such as Moulton (1911) and Guérard (1940) before him, objected that even if something might be lost in translation something undoubtedly was also gained, first and foremost the very basic fact that without translation many works would be lost to a wider audience, practically speaking most of the world unable to read the work in the original. This is an argument Wang also recognizes, and it is precisely why he advocates wider translation of Chinese works into English, although he at the same time also insists on better translations.

In “Chinese Literature as World Literature” Wang also goes into what should constitute a “good” translation, arguing that this depends on the target audience. He distinguishes between two kinds or forms of translation via the example of two English-language translations of *Honglou meng* as, respectively, *A Dream of Red Mansions*, by Yang Xianyi and Gladys Yang, and *The Story of the Stone*, by David Hawkes et al. While he recognizes that the former is the better from a philological or translation equivalence theory perspective, yielding what Lawrence Venuti would call a “foreignizing” translation, he also admits that the Hawkes translation “reads” better and is therefore more likely to reach a wider public. Obviously, both kinds of translation, or remediation, to use a term coined by Jay David Bolter and Richard Grusin (1998) and elaborated by Jan Baetens (2022), or rewriting, using the term popularized by André Lefevere (1992), are useful, and indeed necessary, the one because it allows for a scholarly approach elucidating as many aspects of the original as possible also for a readership unable to access the original, and the other because it allows a wider audience to enjoy what otherwise would remain hidden from them, and to do so in a reader-friendly version unhampered by foreignization and uncluttered by a heavy scholarly apparatus. Ironically, of course, nothing gainsays the argument against untranslatability and Anglo-Globalism more effectively than the fact that Casanova’s book only really gained traction outside France than when it was translated into English as *The World Republic of Letters* in 2004, or that Spivak only enjoys the fame she does because of her writings in

English and her position at Columbia University in New York. For better or worse, and whether one likes it or not, publication in English is the necessary condition for gaining world renown—or at least it is so for the time being. In a not too distant past, as Casanova argues, it was French. And as I mentioned before, Wang in various articles has hinted or claimed that in some not too far away future Chinese might well assume this role.

Wang's growing assertiveness on behalf of Chinese literature and literary studies likewise transpires from his 2015 article "On the Construction of World Poetics," which starts off with the programmatic statement that "Goethe's dream of world literature was largely inspired by his reading of some non-Western literary works, including Chinese ones. By the same token, Western scholars' construction of comparative poetics has also been influenced by Chinese literary theory, though in the great majority of mainstream scholarship this debt is unconscious or even rejected. Now that world literature is becoming an aesthetic reality, the 'post-theoretic era' has arrived in literary theory. Its advent enables the previously marginalized theoretical discourses to come to the forefront in a break from a unified West-centric orthodoxy, and enables scholars from small ethnic communities or non-Western groups to engage in dialogues with their Western and international counterparts on a level playing field" (187). Consequently, he argues, "now is the time to develop a Chinese theoretical discourse" (187) with respect to a world poetics. Wang invokes the work of Zhang Jiang as an example of how this might be done when he says that "formulating the concept of world poetics can further improve the theories of world literature and enable a remapping of existing world literature and literary theory. We can gain some idea of the former through the experiments with 'reconstructing Chinese critical discourse' that have recently emerged in contemporary Chinese theory. In this regard, Zhang Jiang has boldly articulated the concept of 'ontological interpretation' in questioning Western literary theory. We can take a step further and say that simply to use existing theories to interpret literature is not the ultimate goal; the key is to construct our own theories so that we can make our unique voice heard in the clamour of different theoretical discourses in today's globalized context. Of course, our voice may be low and weak at the beginning and may even go unheard by international academia. But as Chinese literature occupies a growing place in the domain of world literature and the country's world importance continues to increase, there will be a corresponding rise in the international position of Chinese literary theory." And he concludes that "we must renew our dedication to this goal" (195).

I started off this essay by saying that I see Wang Ning's scholarly trajectory

as paralleling that of his country over the last forty years or so. This is also the era in which the world has gone through the most intense globalization process ever seen. The dates at which globalization was kickstarted by Ronald Reagan's coming to power in the United States and China's Opening Up policy initiated by Deng Xiaoping narrowly concur: 1980 and 1979 respectively. Reagan's economic reforms—deregulation, doing away with tariff barriers, etc.—hastening globalization were meant to consolidate and even extend American hegemony. In retrospect, we can see that this policy backfired, leading to the outsourcing of American industrial production south of the border and to what were then still called “third world” countries, leading to or at the very least hastening the rapid decline of traditionally manufacturing regions in the US itself, accelerating demographic shifts, and ultimately causing the political destabilization that made possible Donald Trump and the 6 January 2021 debacle. At the same time, it facilitated the rise of China from a mostly agricultural nation to workshop of the world, undercutting wage and production costs in much of the rest, and certainly the more developed part, of the world, and in the second half of the 2010s emerging as the main challenger to the US for global hegemony. Wang's call for greater attention to Chinese literature in a world literature context, then, reflects his country's growing self-confidence on all fronts, including the cultural-intellectual. He himself addresses this issue in some of his most recent publications, such as “The Impact of Globalization on Chinese Culture and ‘Glocalized Practices’ in China” (2020) and “(Re)Constructing Confucianism in a ‘Glocalized’ Context” (2020). While in the first of these texts Wang primarily concentrates on the more economic aspects of the impact of globalization on China's position in the world, in the second text he specifically focuses on Chinese culture under globalisation. He sees particularly Neo-Confucianism and what he calls “Sinicized” Marxism as constitutive of modern Chinese culture. The latter he considers a ‘glocalized’ form of Marxism. Together, for Wang these lead to a particularly Chinese idea of cosmopolitanism. To this end he compares two famous talks on art and literature delivered, respectively, by Mao Zedong in the 1940s in Yan'an, and Xi Jinping in the late 2010s at the 19th Congress of the Chinese Communist Party in Beijing. In Mao's talk, Wang says, “the national sense is more emphasized, while in Xi, the international and cosmopolitan significance of Chinese literature and art is particularly emphasized.” In Xi's talk, he continues, “numerous world literary masterpieces are mentioned which indicate that China's literary and artistic works are not only produced for Chinese people, but also for people of the entire world” (1011). And he seamlessly makes the transition to Xi Jinping's “Belt and Road” initiative which he sees as serving all of

mankind, and not just the Chinese people. It is also in this same spirit that one of his most recent articles in English to date, “Transvaluing the New Cultural Movement: Toward the Construction of a Cosmo-Humanism” (2021), offers a re-interpretation of the New Cultural Movement partly underlying, partly issuing from the May Fourth Movement (1919), arguing that “apart from its revolutionary spirit and pioneering role, NCM has contributed to the grand narrative of global humanism” (6). And he adds that it has done so “with unique Chinese elements” (7). The start of the NCM according to Wang is to be located already in 1915, with the founding of the journal *New Youth*. The ideas vented in the latter he sees as influenced by a form of humanism introduced already earlier in Chinese literature and culture by Lu Xun and Zhou Zhuoren, who labelled it “literature of human beings” (*ren de wenxue*) (7). In doing so, Wang argues, they by-passed “the fact that China had its own tradition of humanism in its ancient philosophy and the thought of Confucius, who can be taken as one of China’s first humanist teachers and thinkers” (7-8). By now interpreting the NCM as having contributed to “global humanism” Wang brings things full circle: from Chinese culture and literature importing foreign, and particularly Western elements, spurning its own cultural, philosophical and literary traditions, to that same culture, moreover in the guise of the very same literary works, making an important contribution to a global culture encompassing both Chinese and Western art, philosophy and literature—once again a cosmopolitanism, this time a “cosmo-humanism.”

Clearly, Wang’s ideas with respect to Chinese literature and literary studies, comparative literature and world literature, and the relations between all of these, keep evolving. What is already certain, though, is that with his numerous publications, in Chinese but perhaps even more so in English, he has already secured not only himself, but also his country’s literature and literary-critical thought, a more prominent place in world literary studies than they occupied at the outset of his career. In this sense again, Wang’s career closely parallels that of China itself on the global scene.

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Wang Ning, Inc.: Intercultural Collaborations in the Study of World Literature

Thomas O. Beebee

Abstract: This paper examines the achievements of Wang Ning in the areas of collaboration and teambuilding that have taken on the dimensions of a corporate approach to literary and cultural investigations. Wang Ning has opened spaces for Chinese-North American intercultural communication through affordances such as the hosting of international scholars and conferences, production of journal special issues with cogent introductions, engagement in translation projects, and intervention in critical debates and controversies.

Keywords: Wang Ning; Lin Shu; world literature; literary theory; postmodernism; interculturality

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标题：王宁：世界文学研究中的跨文化合作

内容摘要：本文考察了王宁在跨国文学与文化研究团体合作和团队构建层面所取得的成就。研究认为，他通过举办国际学术会议、推动国际学者交流、编辑主题专辑、主持翻译项目以及积极的与国际同行展开对话和讨论为中国—北美跨文化研究和合作提供广阔的空间。

关键词：王宁；林纾；世界文学；文学理论；后现代主义；跨文化性

作者简介：托马斯·比比，宾夕法尼亚州立大学艾德文·厄尔·斯帕克斯德语与比较文学教授、《比较文学研究》杂志主编、布鲁姆斯伯里出版社文学系列丛书主编。他的著作包括《文学体裁的意识形态》（1994）、《现代欧洲与美国小说中的民族与地区》（2008）以及编著《作为世界文学的德国文学》（2014）等。

I coin the title of my paper off of Michael Hill's 2013 study of the famous Chinese

translator, Lin Shu. Hill titles his book *Lin Shu, Inc.: Translation and the Making of Modern Chinese Culture*. The basic story of Lin Shu (1852-1924), who became responsible for the popularity of the modern Western canon in China by rendering into classical Chinese the oral reports of those who could read the original in French or English, is known to pretty much every scholar working in the late Qing to May Fourth period of Chinese literature. Hill's study points out two aspects of Lin Shu's incorporation into the efforts of others: the "translation workshop" that he established and supervised, and the backformation of translation effects on Qing intellectuals that made Lin Shu a powerful cultural broker in the late nineteenth century.

Fast forward almost exactly a century, and we find one strong similarity, namely the importance of what Zhang Chunjie has designated as "interculturality" to the modification and hopefully betterment of Chinese intellectual trends (Zhang Chunjie, *Transculturality and German Discourse* 9-10). In Wang Ning's terms, Chinese literary scholars in the last decades of the twentieth century recognized that Chinese thought needed to be regenerated through synthesis with Western theories and ideas. We could even compare the role played by the Taipei Rebellion in Lin Shu's early years to the impact of the Cultural Revolution in Wang Ning's. Both were nativist, restorative upheavals that gave rise to cosmopolitan counter-movements in subsequent decades. In the following, I will deal with the second parallel associated with the counter-movement: intercultural collaboration in the form of articles and special issues published in North American journals. In particular, Wang Ning has been tireless in his contracting for, assembling, contributing to, and providing insightful introductions to special issues that have facilitated Chinese-American interculturality.

Indeed, Wang Ning himself has spoken of the special role of organization and intercultural exchange in an article honoring the editing and mentoring prowess of one of his North American collaborators, Ralph Cohen, best known as the founding editor of *New Literary History*. Wang Ning writes: "In the history of literary studies, as well as in the humanities more generally, there are two sorts of people who influence and push forward the development of literary studies in a particular cultural context: one by means of insightful theoretical thinking, the other by means of organizational ability" (Wang, "Ralph Cohen" 739). Besides Cohen, Wang Ning also praises Fredric Jameson as uniting these two talents. Jameson, even more than Cohen, is known as a brilliant critic and theorist. Quite likely Wang Ning is all that too, but the side of him that I can testify to on the basis of thirty years' acquaintance, and that I have been able to follow in English, is that of an

intellectual entrepreneur and synthesizer. This brief article examines the vision of world and comparative literature, and of Chinese literature and criticism's place in these formations, that he has promoted as a collaborator and promoter of Chinese scholarship in English. This approach will give, most certainly, only a partial view of Wang Ning's contributions to world literature. I will be leaving out his own concentrated area of scholarship, for example his work on the Norwegian dramatist Henrik Ibsen, and of course the hundreds of articles and chapters that he has published in Chinese.

As an intense scrutinizer and interpreter of developments in Western literary theory, Wang Ning has moved nimbly to address one topic after another in the fast-moving development and counter-development of critical positions. The first of his engagements that I will talk about is with postmodernism. When I was an undergraduate college student, postmodern authors such as William Gass, John Barth, and Donald Barthelme dominated the syllabuses of courses in American literature. In the Spanish Department where I spent more of my time, magic realism was the rage, and I remember hearing a talk given by José Donoso. (I also heard one delivered by William Gass). Graduate school was more of the same, though now with the addition of poststructuralism into the mix. The trend seemed to peak with the publication in 1991 of Fredric Jameson's *Postmodernism; Or, the Cultural Logic of Late Capitalism*. Only a mature cultural formation could be defined and explained as well as Jameson did it in that book.

Like a tsunami wave sloshing slowly eastwards, postmodernism finally arrived in China about the time that Jameson's book appeared. Or was that really Chinese postmodernism? According to Jameson's formula, postmodernism was a phenomenon of late capitalism. Could we apply that descriptor to the Chinese economic formation in the 1990s? This was the question that Wang Ning chose to tackle in the first essay I will be examining, "The Mapping of Chinese Postmodernity," published in *boundary 2* in 1997. Wang Ning is the sole author of this article, but clearly it is the result of a collective effort at achieving an intercultural understanding of postmodernism for which he was both witness and catalyst. Nothing tells this story of interculturality more clearly than footnote 18 of the article:

Ihab Hassan was invited to lecture at Shandong University and Nanjing University 1982, but he did not speak on postmodernism; Fredric Jameson gave a series of lectures on postmodernism and contemporary Western cultural theory at Peking University and Shenzhen University in 1985, and lectured

again on issues relevant to the question of postmodernism in Shanghai and Beijing in May 1993; Douwe Fokkema lectured on post-modernism at Nanjing University and Nanjing Normal University in 1987, and at Peking University in September and October 1993; Hans Bertens gave a keynote speech at the International Conference on Postmodernism and Contemporary Chinese Literature in 1993 in Beijing; and Terry Eagleton and Jonathan Arac gave keynote speeches on postmodernism at the International Conference on Cultural Studies: China and the West, in Dalian in 1995. (Wang, “The Mapping of Chinese Postmodernity” 27n18)

It is hard to decide whether Wang Ning’s being present at all these events is more or less remarkable than his having knowledge that they all took place. I am not sure which is the case here, but either way, the result is an abbreviated cultural history of when and how critical evaluations of postmodernism arrived in China (Adoption of postmodern techniques by writers and artists no doubt preceded this critical reception).

Years later, Wang Ning made another collaborative attempt at a more inclusive view of what constitutes—or by this time, what constituted—postmodernism by organizing a special issue for the journal *Narrative* that appeared as the third number of 2013: *Postmodernist Fiction: East and West*. The international cast of contributors was especially impressive, ranging from Theo D’haen in Belgium to Tatsumi Takayuki in Japan. Brian McHale, the dean of postmodernism studies, contributed an afterword. Wang Ning’s own chapter dealt with the avant-garde in China, focusing on a single author, Mo Yan, who had been awarded the Nobel Prize in 2012, as Wang Ning mentions in his article. He chooses for his analysis one of the celebrated author’s lesser-known works, *Bliss*. Wang Ning concludes, “If we [...] analyze Bliss from the perspective of psychoanalysis, we readily find further elements of postmodern psychoanalysis, such as the paranoid and even schizophrenic dream of Yongle, which certainly diverges from orthodox Freudian psychoanalysis, sometimes in an antithetical and ironic way” (Wang, “A Reflection on Postmodernist Fiction” 305). That Mo Yan’s constant narrative experimentation arises from the fact that he takes the calling of literary creation seriously is also an important factor to consider, Wang Ning reasons (*loc. cit.*).

Following on the heels of postmodernism and world literature came the next wave, in the first decade of the twentieth century: an extensive discussion of the “death of theory.” Terry Eagleton’s *After Theory* (2004) and Gayatri Spivak’s *Death of a Discipline* (2005) were exemplary publications contributing to this debate.

With his usual acuity, Wang Ning arranged for a symposium called “The Ends of Theory” co-hosted between Tsinghua University and the journal *Critical Inquiry*. This was the occasion when I made my own first trip to China at the invitation of Wang Ning, taking part in a panel presentation by journal editors, and presenting nearly the last paper of the conference, a trial run at my concept of transmesis that would eventually be developed into a monograph and published in 2014. Two years later, Wang Ning co-authored a retrospective of the conference with the editor of *Critical Inquiry*, the eminent scholar W. J. T. Mitchell. Wang Ning, as shown above, has spent much time and effort explaining the capacity of Western literature and culture for reshaping critical discourses in China. Was it Wang, or was it Mitchell who decided to reverse the question? Here is the sentence where the reversal happens: “One must ask [...] what is happening to Western traditions of literary and cultural theory—and of critical thought more generally—as they encounter the overwhelming reality of China: the unrivalled depth and antiquity of its intellectual and cultural traditions; the sheer abundance of its human resources?” (Mitchell and Wang 278). It is a question that we all continue to grapple with.

This Mitchell/Wang speculative question was redefined in a remarkable epistolary dialogue between Zhang Jiang of the Chinese Academy of Social Science and J. Hillis Miller, emeritus professor at Yale and University of California—Irvine. Their exchange was published in the journal *Comparative Literature Studies* as an “Exchange of Letters About Literary Theory” (Zhang and Miller 2015) preceded by Wang Ning’s introduction. In retrospect, Zhang appears in this dialogue to be warming up for his 2020 publication in *Philosophy and Literature* on what he calls the “theory void.” Zhang’s concluding paragraph to the later article provides a summary of his position:

How should *we* criticize and learn from the diversified Western theories of our age—specifically for their conclusions, achievements, value orientation, methodological stance, and influence on human spiritual science and ideological progress—in order to change the habit of blind compliance and following that *we* used to have, and then how should *we* promote the healthy growth of China’s own theory? This is not only a major problem in contemporary literary theory but also an important issue that humanities scholars should ponder seriously and then offer their responses. (Zhang Jiang, “On Theory-Centrism” 104; emphasis added)

I have highlighted the repeated use of “we” in this passage, given that it is a shifter

and the reader is unsure how inclusive it is meant to be—until the appearance of “China” as a possessive, that is. The exhortation to “us” to halt our “blind obedience” to theory is apparently aimed at Chinese scholars, who are asked to develop their own theories (It is not clear why Zhang does not acknowledge some of the theoretical developments that had already occurred, such as ethical theory, neo-Confucian strains, and variation theory, all of which have a Chinese pedigree, and all of which have been circulating for some time now).

Zhang’s earlier exchange of letters with J. Hillis Miller, published in *CLS* with an introduction by Wang Ning, makes the later article seem like an effect caused by the teaching moment in that correspondence when Miller tries to explain, one-on-one, what deconstruction is and isn’t. The exchange of letters resembles a fencing match with much thrust and parry, more about getting out of the other’s way than landing a blow. True to its topic of deconstruction, it is characterized more by refusals to answer than by positive assertions. Zhang wants Miller to recognize the paradox of his identification of themes in literary works as dependent on an idea of the stability of textual meaning that deconstruction denies the existence of. Miller is happy to discuss what deconstruction is and isn’t, while also denying the label of deconstructionist, inasmuch as every attentive reading of a text will have elements that escape the straitjacket that a theory—any theory—might try to impose on its reading: “To a considerable degree, a literary work’s excess over theory results from the ways a poem or a novel is not like a mathematical equation to be solved or a philosophical argument to be judged true or false” (Zhang and Miller 587).

What Miller wants from Zhang, and never gets, is a confession of what is at stake for the latter in accepting or denying the claims of theory. Miller uses supposition to create straw positions for Zhang concerning the fundamental questions of why and how literature should be interpreted. For example, in the first letter:

You [Zhang] say: “The question haunting me for [a] long [time] is whether a definite text has a relatively definite theme which could be generally identified by most people.” Just why is that so important a question for you? Please explain so I can understand better what is at stake. My guess is that you believe that if “most people” will identify a “relatively definite theme” in a given “definite text,” then most readers will agree about how to read the work in question. That will create a community of readers who are in tune with one another. (Zhang and Miller 572)

Zhang does not respond to this invitation to clarify his motivations. His second letter asks whether deconstruction can provide a “universal guide” to the implementation of literary criticism. Miller tries once again to get to the bottom of this quest for universality:

My guess is that you [Zhang] think this is important because if such a complete set providing universal guidance exists, then we have a basis on which we can all teach and write about literature in the same way. All students can be expected to know this “complete set.” All will use this set and this set alone in the practice of reading literature. Examinations can be based on this universally agreed upon “set of systematic criticism.” A universal community of those who know, accept, and use it will be created and maintained. Tremendous social and educational advantages would seem to follow from the creation of such a community, you appear to assume. (Zhang and Miller 586)

Zhang responds in his next letter that “my concern with this issue expressed in the previous letter is not based on educational considerations, but on doubts about the position of deconstruction” (Zhang and Miller 593). Miller goes to elaborate lengths of mind-reading in his attempt at creating a specific purpose for Zhang’s (dis)engagement with deconstruction as a necessary framework for determining the value of deconstruction. Zhang finally throws off the mask of innocent questioner and confesses that his real motivation is to refute deconstruction, as he will in the 2020 article apparently refute all of “Western” theory.

Wang Ning’s task in his introduction was to create value out of questions and answers that do not directly engage each other. J. Hillis Miller was among the most prominent theorists in the US and a good friend, while Zhang Jiang was a close colleague. Wang starts by assigning the best of motives and intentions to both correspondents:

The following exchange between two eminent Chinese and Western literary theorists will reveal to our international audiences how Chinese literary scholars are enthused by Western literary theories, how they conscientiously study an important Western literary critical work and raise relevant, challenging questions, and how they are very eager to have dialogues with their Western counterparts on issues concerning literary studies. Readers will also see how a senior Western literary theorist like J. Hillis Miller patiently and seriously

answers his Chinese colleague's questions and gives his dynamic responses. In this way, a dialogue between Chinese and Western literary theory and scholarship has been effectively carried out through the international lingua franca of English. (Wang Ning, "Introduction: Toward a Substantial Chinese–Western Theoretical Dialogue" 562)

Wang Ning goes on to identify and quote the most informative points made by each of the two interlocutors. By the end of his introduction, the reader is ready to absorb the most useful points made by each interlocutor. Wang Ning has coached the two sides into a team effort.

Owen Aldridge, the founding editor of *Comparative Literature Studies*, had forged a strong relationship with scholars in Japan, especially ones at Nihon University, and together with Masayuki Akiyama he created a biennial East-West issue of *CLS* that began in the early 1970s, and that was quite forward-looking for its time. Upon the retirement of Professors Akiyama and Aldridge, the enterprise struggled to find interest and support at Nihon, and Wang Ning and Kang Liu of Shanghai Jiao Tong University were eager to accept the challenge of holding up the "Eastern" pillar of the comparative enterprise. Special issues of *CLS* sponsored by SJTU have addressed the following topics: Modern China and the World: Literary Constructions 49.4 (2012); Global Maoism and Cultural Revolutions in the Global Context 52.1 (2015); Comparative Literature in East Asia 54.1 (2017); Ecocriticism in East Asia: Toward a Literary (Re) Construction of Nature and Environment 55.4 (2018); and Technology in Comparative Literature Studies 57.4 (2020). My own favorite of these was, of course, the one on comparative literature in East Asia. As a complit nerd, I am obsessed with discovering how scholars in various parts of the world play at the game of comparison, and thus I was greatly rewarded in seeing the diverse voices weigh in on the topic of comparativism. I profited from Youngmin Kim's account of the status of comparative and world literature studies in Korea. (Kim is university distinguished professor, and director of the Institute of Trans Media World Literature at Dongguk University in Seoul.) I learned from Biwu Shang of Shanghai Jiao Tong University about the peculiarities in the Chinese versions of narratology (prompted, of course, by the distinctive tradition of Chinese narrative), while Massimo Verdicchio of the University of Alberta taught help me recognize Du Fu as a world author. Wang Ning's own contribution revealed Chinese perspective on gender studies in the post-theoretical era. He made use of his vast array of scholarly connections to bring together these and other brilliant writers for this issue, an even dozen in all.

Among the more recent collaborative projects of Wang Ning, and the last one I will speak of, is a special issue, “Modern Chinese Literature from Local to Global,” published in the *Journal of Modern Literature* in 2021. Wang Ning co-edited this with his colleague at Shanghai Jiao Tong University, Peng Qinglong. The ten articles are meant to open readers’ eyes to the many contributions that Chinese literature has made to world literature. Wang Ning’s opening statement, that “the relations between world literature and modern Chinese literature have not yet been fully discussed” (Wang, “Editor’s Introduction” 1) strikes me as accurate. First of all, the aspect of world literature that cause it to function as a hypercanon in some contexts has meant an outsize focus on classical works—the Tang Dynasty poets, the great novels/romances, and the classic works of “philosophy” such as the work that has received the most translations into English, the Tao Te Ching. The millenia-long Chinese literary tradition blots out the sun for most contemporary works, whereas for many postcolonial literatures the opposite is true—many African literary traditions are treated as though they began only with the introduction of writing in a European language.

Translation must certainly be recognized as a form of collaboration, often of a unique nature in that the parties—author of the text in the source language and translator of the text into the target language—do not confer directly with each other and the final product—the translated text—is created in a serial process. Thus, an enormous collaborative program set in motion by Wang Ning involved the translation into Chinese of three journals known for their theoretical approach to literature: *boundary 2*; *Critical Inquiry*; and *New Literary History*. He indeed, he reports on the results of the earliest parts of this effort, which have sold many copies in mainland China, Hong Kong, and Taiwan. He recognizes the resistance to his project in some quarters in China: journals that fear the competition; and scholars who are not fully attuned to the advantages of being able to dialogue with the rest of the world through the medium of a shared critical and theoretical. Wang Ning puts a brave face on the eventual success of his translation project:

Chinese literary and cultural studies, due to the translation of these journals, will move closer and closer toward the international community, thereby having equal dialogues with the latter. Since most of the articles published in the above-mentioned journals anticipate their authors’ substantial research and profound thinking of cutting-edge theoretical issues, they will certainly provide illumination to our own theoretical reflections. (Wang, “Translating Journals into Chinese” 653)

I am unable to give an overall assessment of how long this project lasted, or how many total pages from these three journals ended up being translated into Chinese. Certainly, the connection with *Critical Inquiry* remained strong into the next decade, as noted above.

In conclusion, the main thesis of *The World Republic of Letters* by Pascale Casanova reminded us in a forceful manner that our view of world literature remains partial and misleading if it restricts itself to texts and authors. World literature is equally—or perhaps more—a product of its mediators: translators, publishers, literary critics, teachers of literature, government functionaries, and literary entrepreneurs. Wang Ning is a prime example of a mediator, and his contributions to the development of interculturality between China and the US, Orient and Occident, have been considerable and very much worth praise and celebration.

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From World Literature to World Poetics: Wang Ning's Scholarship of Literature Studies

Shang Biwu

Abstract: As one of the most important and productive humanities scholars in contemporary China, Wang Ning has been consistently engaged with and widely read by international academia. This paper attempts to examine Wang's scholarship with regard to three dimensions: Chinese literature as world literature, China-Western dialogue on and reconstruction of literary theory, and world poetics and cosmopolitanism. With reference to Isaiah Berlin's and Stephen Jay Gould's elaboration on the hedgehog and the fox, it argues that Wang not only works on a wide range of different fields including psychoanalysis, postmodernism, postcolonialism, globalization, translation, literary theory, world literature and comparative literature, but he is also deep in each of those cutting-edge issues. Just like his long-time pursuit of bridging China-Western literary studies and his challenges to Eurocentrism and American-centeredness, Wang, in a sense, goes beyond hedgehog-fox divide and is well-accomplished in all and each of the scholarly areas that attracts his interest.

Keywords: Wang Ning; world literature; post-theory; world poetics; cosmopolitanism

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标题: 从世界文学到世界诗学：王宁的文学研究之我见

内容摘要: 作为当下中国最重要、成果最丰富的人文学者之一，王宁始终致力于同国际学术界展开积极对话，并得到广泛认可。本文重点从如下三个方面管窥王宁的学术建树：作为世界文学的中国文学，中西理论对话与理论重构，世界诗学与世界主义。论文参照以赛亚·柏林、史蒂芬·杰伊·古尔德关于刺猬型学者与狐狸型学者的论述，指出王宁的研究兴趣不仅覆盖诸如精神分析批评、后现代主义、后殖民主义、全球化、翻译、文学理论、世界文学与比较文学等众多领域，同时他又在上述每个领域的前沿论题上提出独特深刻的洞见。正如其长期对欧洲中心主义、美国中心主义的挑战以寻求架构中西文学研究沟通与对话的桥梁一样，王宁本人在某种意义上也超越了通常

意义上狐狸-刺猬二元对立的学术身份，在其所有关注的领域均取得了卓越的成就。

关键词：王宁；世界文学；后理论；世界诗学；世界主义

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Wang Ning is a name that rings much familiarity to all of those working in the area of world literature. To borrow the words of Theo D'haen, Wang, as of the early 1990s, “has been one of the most prolific, and I would say almost ‘seismographic,’ interpreters of the relation of Chinese literary scholarship to Western theory and practice” (D'haen, *The Routledge Concise History of World Literature* 171). Wang's scholarly interests entail a wide range of fields. To name a few, psychoanalysis, postmodernism, postcolonialism, globalization, translation, literary theory, world literature and comparative literature. Among all these fields, it is world literature and comparative literature that attracts Wang most. This paper attempts to examine Wang's contribution to the studies of world literature with regard to three dimensions: Chinese literature as world literature, Chinese-Western dialogue on and reconstruction of literary theory, and world poetics and cosmopolitanism.

Chinese Literature as World Literature

Wang has invested much energy exploring world literature. In particular, he tries hard to promote Chinese literature in the arena of world literature with a sense of mission, arguing that “Any history of world literature, if not including the great achievements made by Chinese writers, would be regarded as incomplete and imperfect.” (Wang, “Chinese Literature as World Literature” 391). Wang's claim has been shared with Theo D'haen, who admits that “Undoubtedly, Chinese literature is a very important part of ‘world literature’ ” (D'haen, “Modern Chinese Literature and World Literature from a European Perspective” 157). In the first decade of the 21st century, literature as world literature has attracted increasing attention from comparatists. Edited by Thomas Oliver Beebee, Bloomsbury has launched a book series *Literatures as World Literature*, which includes such works as Thomas Oliver Beebee's *German Literature as World Literature* (2014), Mircea Martin, Christian Moraru, and Andrei Terian's *Romanian Literature as World Literature* (2017), Mads Rosendahl Thomsen, and Dan Ringgaard's *Danish Literature as World Literature* (2017), Eduardo F. Coutinho's *Brazilian Literature as World Literature* (2018),

Theo D'haen's *Dutch and Flemish Literature as World Literature* (2019), Jeffrey R. Di Leo's *American Literature as World Literature* (2019), Christian Moraru, Nicole Simek, and Bertrand Westphal's *Francophone Literature as World Literature* (2020), Mihaela P. Harper, and Dimitar Kambourov's *Bulgarian Literature as World Literature* (2020), Ignacio M. Sánchez Prado's *Mexican Literature as World Literature* (2021), Mostafa Abedinifard, Omid Azadibougar, and Amirhossein Vafa's *Persian Literature as World Literature* (2021), Burcu Alkan, and Çimen Günay-Erkol's *Turkish Literature as World Literature* (2022), and Alexander Fyfe, and Madhu Krishnan's *African Literatures as World Literature* (2022). Regrettably, there has been no work on Chinese literature as world literature. Such a lacuna is well found Wang's works. It is to be noted that as early as the year 1993, Wang published a paper "Confronting Western Influence: Rethinking Chinese Literature of the New Period" in the internationally prestigious journal *New Literary History*, introducing and promoting Chinese literature to international academia. He optimistically claims that "as a consequence of the increasing cultural and academic exchange between Chinese and Western scholars and writers, such a gap as the Chinese influence on Western literature will be filled up in the near future" (Wang, "Confronting Western Influence: Rethinking Chinese Literature of the New Period" 922).

Ever since then, Wang has consistently devoted his energy to moving Chinese literature into the mainstream of world literature. In "Chinese Literature as World Literature" (2016), Wang argues that "When talking about Chinese literature as world literature we should first of all confront two issues: historically, Chinese literature was regarded as world literature due to Sino-centrism; nowadays, Chinese literature should be regarded as an integral part of world literature" (Wang, "Chinese Literature as World Literature" 380).

The basic assumption, in Wang's works, is that world literature is not a singular form, instead it is rather diversified and encompasses translations of literature of all countries, which reminds us of Wang's previous argument about the dynamic function of translation in world literature. In Wang's view, "translation has been vital not only in building up national and cultural identities but also in constructing a literature with the potential to cross the boundaries of languages and nations as well as those of literary and cultural traditions" (Wang, "World Literature and the Dynamic Function of Translation" 1). David Damrosch also places much weight on the role of translation in constructing world literature. In *What Is World Literature* (2003), Damrosch defines world literature as follows:

1. World literature is an elliptical refraction of national literatures.

2. World literature is writing that gains in translation.
3. World literature is not a set canon of texts but a mode of reading: a form of detached engagement with worlds beyond our own place and time. (Damrosch 281)

Wang makes a survey of how Lu Xun, Hu Shi and Guo Moruo in the May 4th movement emphasized on the role of translation and participated in translating foreign literatures to China. While in today's global context, China is getting increasingly powerful both economically and politically, it is more urgent than ever for Chinese literature to move from the marginalized and periphery to the center of world literature. In this process, translation plays an irreplaceable role. Thus, a shift from translating Western literature into Chinese to translating Chinese literature into other languages is much needed. Wang proposes translating Chinese literature on two levels: on the interlingual level but on the intercultural level. Wang explains that "for the latter plane will most sharply highlight Chinese literature and culture before the world, while the former, with its attentiveness to linguistic rendering, will enable Chinese literature to become better known to the non-Chinese-speaking world" (Wang, "World Literature and the Dynamic Function of Translation" 13).

However, the process is easier said than done. Wang keenly observes that:

Although many Chinese scholars are able to translate literary or theoretic works from foreign languages into Chinese, very few of them can translate Chinese works into foreign languages. Sometimes, even when they have translated great Chinese literary works into English or other major foreign languages, their versions are either not appreciated by native speakers because of their foreignizing elements, or are unable to be circulated in the target book market. Therefore, many translated Chinese literary works published by China's Foreign Language Press are chiefly circulated domestically rather than internationally. (Wang, "Chinese Literature as World Literature" 386)

It is indeed an embarrassing dilemma: on the one hand, everyone recognizes the importance of translating Chinese literature and culture into other languages, while on the other hand, those translated Chinese literary and cultural works have not been well received in Western countries. To approach such a problem, Wang suggests that Chinese translators should collaborate with Western sinologists and international publishers, claiming that "Through the joint efforts to be made by us in collaboration with our Western sinologists and publishers, we will most effectively

translate excellent Chinese literary works into English and promote them throughout the world” (Wang, “Chinese Literature as World Literature” 391)

Even though it is a hard and long process of Chinese literature moving towards the arena of world literature through translation, we still need to be aware of the fact that “translation will continue to function dynamically in deconstructing the West-centric mode of world literature and reconstructing new world literature” (Wang, “Translating Modernity and Reconstructing World Literature” 111). In addition to translation, Wang also offers two other suggestions for Chinese literature to get into the mainstream of world literature, namely the follow-up work done by critics and scholars, who are encouraged “to write their critical and introductory works directly in English and publish them either with the leading publishers or in the prestigious academic journals” (Wang, “Translating Modernity and Reconstructing World Literature” 111), and the anthology of Chinese literature, and thus Chinese scholars are expected “to join in anthologizing world literature in which Chinese literature will occupy a considerable part.” (Wang, “Translating Modernity and Reconstructing World Literature” 111).

It needs to be mentioned that with Wang’s effort a number of important contemporary Chinese writers are getting better known in the world. In 2016, Wang collaborated with Charles Ross in editing a special issue “Twentieth- and Twenty-First-Century Chinese Fiction” in the prestigious journal *Modern Fiction Studies*. In this special issue, a group of eminent contemporary Chinese novelists and their works are introduced and explored, including Mo Yan, Liu Zhenyun, Tie Ning, Li Rui, Su Tong, Wang Anyi, and Xu Xiaobin, Yan Lianke, Yu Hua, Jia Pingwa, Ge Fei. Another case in point is Wang’s edited special issue “Modern Chinese Literature in the Context of World Literature” in *Journal of Modern Literature* in 2021, in which Yu Hua, Jia Pingwa, Cao Yu, Ba Jin, Lu Xun are introduced and explored.

Wang’s pioneering work making Chinese literature as world work opens many avenues and possibilities for critics and scholars to follow. For instance, inspired by Wang, Theo D’haen thinks about how the other literatures from other parts of the world to become a part of world literature. To end this section, let me quote D’haen’s argument in full:

The same is true of other literatures, from other parts of the world, that hitherto have not received their dues within the context of world literature as practiced until recently. It is not just their literary works that deserve their place in world literature, for as long as the theories, concepts, approaches that form

an inherent part of these traditions do not gain their rightful place in literary studies, not just in their own traditions but also beyond, as equivalent elements in the “global” discussion, “world literature” will not be a level playing field (D’haen, “Modern Chinese Literature and World Literature from a European Perspective” 157).

Chinese-Western Dialogue and Reconstruction: Literary Studies in Post-Theoretical Era

In *After Theory* (2003), Terry Eagleton declares the end of theory, arguing that:

The golden age of cultural theory is long past. The pioneering works of Jacques Lacan, Claude Lévi-Strauss, Louis Althusser, Roland Barthes and Michel Foucault are several decades behind us. So are the path-breaking early writings of Raymond Williams, Luce Irigaray, Pierre Bourdieu, Julia Kristeva, Jacques Derrida, Hélène Cixous, Jürgen Habermas, Fredric Jameson and Edward Said. Not much that has been written since has matched the ambitiousness and originality of these founding mothers and fathers. Some of them have since been struck down. Fate pushed Roland Barthes under a Parisian laundry van, and afflicted Michel Foucault with Aids. It dispatched Lacan, Williams and Bourdieu, and banished Louis Althusser to a psychiatric hospital for the murder of his wife. It seemed that God was not a structuralist. (Eagleton 1)

Eagleton’s argument is mainly based upon his observation that those well-established literary theorists such as Jacques Lacan, Claude Lévi-Strauss, Louis Althusser, Roland Barthes, Michel Foucault, Raymond Williams, Luce Irigaray, Pierre Bourdieu, Julia Kristeva, Jacques Derrida, Hélène Cixous, Jürgen Habermas, Fredric Jameson and Edward Said either have passed away or approach senior age. That said, literary theory seems to have lost its momentum and power, and thus it is no longer magnetic. Eagleton’s lament of theory has been followed and consolidated in Nicholas Birns’s *Theory after Theory* (2010), Jane Elliott and Derek Attridge’s *Theory after “Theory”* (2011), and D. N. Rodowick’s *Elegy for Theory* (2015). How is literary theory like? What’s fate of literary theory? To address these issues, the journal *Critical Inquiry* has organized two successive conferences “The Future of Criticism—A Critical Inquiry Symposium” (2003) and “The Ends of Theory: The Beijing Symposium on Critical Inquiry” (2004). As an editor of the journal, W. J. T. Mitchell first raises a number of questions concerning the future of literary

criticism:

What, in your view, would be the desirable future of critical inquiry in the coming century? If you were able to dictate the agenda for theory and criticism in research and educational institutions, and in the public sphere, what would you imagine as the ideal structure of feeling and thought to inform critical practice? And, above all, what steps do you think need to be taken in the present moment to move toward this desirable future? What, in short, is to be done? (Mitchell 330)

To address these questions, Mitchell offers five suggestions:

1. It has been suggested that the great era of theory is now behind us and that we have now entered a period of timidity, backfilling, and (at best) empirical accumulation. True?
2. It has been suggested that theory now has backed off from its earlier sociopolitical engagements and its sense of revolutionary possibility and has undergone a “therapeutic turn” to concerns with ethics, aesthetics, and care of the self, a turn of which Lacan is the major theoretical symptom. True?
3. It has been suggested that the major challenge for the humanities in the coming century will be to determine the fate of literature and to secure some space for the aesthetic in the face of the overwhelming forces of mass culture and commercial entertainment. True?
4. It has been suggested that the rapid transformations in contemporary media (high-speed computing and the internet; the revolution in bio- technology; the latest mutations of speculative and finance capital) are producing new horizons for theoretical investigations in politics, science, the arts, and religion that go well beyond the resources of structuralism, poststructuralism, and the “theory revolution” of the late twentieth century. True?
5. Following on number 4, it has been suggested that the criticism and theory to come may have to explore other media of dissemination besides those of the printed text, the scholarly article or monograph, or even language as such in its prosaic, discursive forms. What is likely to happen or ought to happen to the “arts of transmission” of knowledge in coming century? (Mitchell 330-331)

Coupling Mitchell’s questions with his follow-up suggestions, one cannot find it hard to grasp his proposal for exploring literary theory in its transformed forms and

its expansion to other relevant fields of work. That said, to talk about the death and survival of literary theory is to reconsider its past and investigate its transformations. The heated discussions about the future of literary criticism, to some degree, suggest its crisis in the beginning of the 21st century. At issue is what Chinese critics can engage with critical enterprise and make their due contributions?

As an editor of the journal *Frontiers of Literary Theory*, Wang has been one of the most important scholars promoting literary theory in China. Against the backdrop of waning tide of Western literary theory, Wang has taken it as a rare opportunity to reconstruct critical theories from a Chinese perspective in the first place and initiates China- Western dialogue on theory subsequently. As a rejoinder to Martin McQuillan et al.'s *Post-Theory: New Directions in Criticism* (1999) and Eagleton's *After Theory* (2003), Wang proposes that we are entering a post-theoretical era. In his view, "the concept of post-theory is aimed to prove that theory is not dead as it has permeated in the empirical studies of various literary and cultural phenomena. Its function does not only lie in critiquing other things but also in reflecting itself. The proposal of post-theory has activated the ever increasingly weakening literary and cultural theory enabling it to have new energies and new moments" (Wang, "Gender Studies in the Post-theoretical Era" 17). Using gender studies and Butler's theory as a particular example, Wang still finds the value of queer theory which is rather effective in illuminating contemporary Chinese gender culture. In doing so, Wang argues that in the post-theoretical era, "theory is no longer so powerful as usual but still effective if used to interpret literary and cultural phenomena only" (Wang, "Gender Studies in the Post-theoretical Era" 17).

Apart from his proposal for reconsidering the effectiveness of literary theory in the post-theoretical era, Wang is also actively engaged in China-Western Dialogue on literary theory by dialoging with Western scholars, organizing conferences, and editing special issues. For instance, at the Fifth Sino-American Symposium on Comparative Literature, held in Shanghai, August 2010, Wang talked to David Damrosch on world literature (Wang and Damrosch 171-190). In the summer of 2004, Wang and W. J. T. Mitchell collaborated and co-organized "The Ends of Theory: The Beijing Symposium on Critical Inquiry", in which Fredric Jameson, Hillis Miller, Louis Schwartz, Knut Brynhildsvoll, Mingdong Gu, Sheldon Lu, Wang Ning, Shen Dan, Liu Kang, Xie Shaobo, Yu Haiqing, Lu Jie, He Donghui and some others participated and exchanged views. In this symposium there was also workshop for editors of theory journals, including Elizabeth Helsinger, Richard Neer, and Jay Williams of *Critical Inquiry*, Luo Xuanmin of *Perspectives: Studies in Translatology*, Pamela McCallum and Xie Shaobo of

ARIEL, Knut Brynhildsvoll of *Ibsen Studies*, Thomas Beebee of *Comparative Literature Studies*, Milan Dimic of *Canadian Review of Comparative Literature*, Robin Tsai of *Tamkang Review*, Chen Jianlan of *Wenyi yanjiu (Literature and Art Studies)*, Chen Yongguo of *Wenxue lilun qianyan (Frontiers of Literary Theory)*, Tao Dongfeng of *Wenhua yanjiu (Cultural Studies)*, and Guo Jun of *Waiguo wenxue yanjiu (Foreign Literature Studies)*.

In addition to organizing symposiums and workshops for Chinese literary theorists to have a face-to-face dialogue with their Western colleagues, Wang has also edited numerous special issues on China-Western Dialogue on literary theory in international journals. For instance, he edited and promoted “Exchange of Letters About Literary Theory Between Zhang Jiang and J. Hillis Miller” in the 3rd issue of *Comparative Literature Studies* in 2016. About the significance of the dialogue, Wang comments that it helps “Western readers understand a bit about the current Chinese literary situation: when literature and literary theory are on the decline in the West, they still have a considerable number of readers and scholars in China, although they are no longer so popular among them as ten years ago” (Wang, “Introduction: Toward a Substantial Chinese–Western Theoretical Dialogue” 566).

What deserves our particular attention is Wang’s co-edited special issue “Chinese Encounters with Western Theories” with Marshall Brown in *Modern Language Quarterly* in 2018. In this special issue, three important Chinese literary theorists Wang Ning, Zhang Jiang, and Zhu Liyuan have talked about French theories in China and the Chinese theoretical (re)construction, imposed interpretation and Chinese construction of literary theory, and Hillis Miller’s view of the end of literature. Correspondingly, their arguments have been responded to and commented by three Western literary theorists, namely Theo D’haen, Liu Kang, and J. Hillis Miller. The aim and significance of this special issue, in Wang and Marshall’s view, is “to expand the dialogue between Chinese and Western theorists and literary scholars” (Wang and Marshall 246). I do think such a dialogue is timely and significant, which is largely set against the imbalanced communication between Chinese literary theorists and Western literary theorist. As is observed by Wang and Brown, “Almost all the important Western theorists have had their major works translated into Chinese, whereas few Chinese theorists and comparatists have published internationally or have been introduced to or translated for English-language academic circles” (Wang and Brown 246). It is due to Wang’s effort that Zhang Jiang’s work on imposed interpretation has been known by Western scholars and makes them rethink about the value and mechanism of literary theory.

Comparative Poetics, World Poetics and Cosmopolitanism

In most recent years, Wang has been increasingly interested in the issue of world poetics. In tradition, poetics is related to the study of poetry, and thus it is generally defined as “the theory of poetry, in particular emphasizing principles of composition and structure” (Cuddon 545). Aristotle’s *Poetics* has been generally seen as the earliest exploration of this issue, which has been followed by a number of well-known poets. To name a few, Horace’s *Ars Poetica* (18 bc); Longinus’s *On the Sublime* (1st / 3rd c.); Sir Philip Sidney’s *Defence of Poesie* (1595); Alexander Pope’s *An Essay on Criticism* (1711); and William Wordsworth’s ‘Preface’ to his *Lyrical Ballads* (1801, 1802). In the arena of contemporary literary theory, the term poetics to designate the general theory of literature. I agree with Peter Childs and Roger Fowler, who point out that “In modern usage poetics is not the study of, or the techniques of, poetry (verse), but the general theory of literature” (Childs and Fowler 179). Largely informed by structuralist linguistics, structuralists have invested utmost effort to work towards a type of poetics that tries to reveal governing patterns and mechanism that produce meanings and effects. In his *Structuralist Poetics: Structuralism, Linguistics and the Study of Literature* (1975, 2002), Jonathan Culler puts poetics in opposition to hermeneutics. In Culler’s view, the goal of poetics is to arrive at “an understanding of the devices, conventions and strategies of literature, of the means by which literary works create their effects,” while the goal of hermeneutics is “to discover or determine the meaning of a text” (Culler vii). In favor of pursuing poetics, Culler proposes that “literary studies should seek to understand how works produce the effects they have for readers (effects such as meanings)” (Culler viii). Along somewhat similar lines, we can well find the significant works in doing studies of poetics. For instance, Vladimir Propp’s *Morphology of the Folk-Tale* (1928), T. Todorov’s *The Poetics of Prose* (1965), and Shlomith Rimmon-Kenan’s *Narrative Fiction: Contemporary Poetics* (1983). In the beginning of the 21st century, with reference to cognitive science and cognitive linguistics in particular, a number of critics have been striving towards a cognitive poetics. Noteworthy are such works as Reuven Tsur’s *Toward a Theory of Cognitive Poetics* (1997), Peter Stockwell’s *Cognitive Poetics: An Introduction* (2002), and Joanna Gavins and Gerard Steen’s *Cognitive Poetics in Practice* (2003).

However, when approaching and elaborating their principles of poetics, Western scholars are somehow constrained by their hemisphere blindness and ignore those periphery literatures and Eastern literatures accordingly. Inspired by Earl Miner’s *Comparative Poetics: An Intercultural Essay on Theories of*

Literature (1990), Wang attempts to work towards a world poetics. Wang argues that “If we have re-read Miner’s book, we might well be inspired by his pioneering but incomplete work to construct a sort of world poetics or world literary theory: which he himself was doing implicitly in any case” (420). In doing so, Wang aims at “constructing a sort of cosmopolitan literary theory of common aesthetic principles and universal standards.” (Wang, “Earl Miner: Comparative Poetics and the Construction of World Poetics,” 421) At issue is how such a poetics be like? In Wang’s view, a world poetics is to be constructed with reference to the following six preliminary terms:

1. It should be expressed both in the singular as well as plural forms, as is the case with world literature(s);
2. It must be characterized by crossing the boundary of languages and cultures;
3. It must be applicable to the interpretation of all literary phenomena, be it western or eastern, ancient or modern;
4. It must be constructed by taking into consideration both universalism and relativism;
5. It should be open to dialogues with other fields of the humanities and means of representation, since literature itself has changed a great deal in the past hundred years;
6. It must be subject to translation, so that it can travel to other countries or language environments. (Wang, “Earl Miner: Comparative Poetics and the Construction of World Poetics” 419-24)

A close look at the above six parameters would reveal that Wang’s proposal is largely concerned with the universality of literatures in different languages and countries. If a world poetics is to be constructed in the way proposed by Wang, all literatures will enjoy an equal treatment. As a return, world poetics will also contribute to the development of world literature and cosmopolitanism, both of which have been intensively elaborated by Wang.

Wang’s elaboration of world poetics is first of all related to the diversified forms of world literature. In “ ‘Weltliteratur’: From a Utopian Imagination to Diversified Forms of World Literatures”(2011), Wang continues to think along the line of universality-relativity duality of world literature emphasized by Douwe Fokkema (Fokkema 1290–1291). By modifying universality-relativity to canonicity-readability, Wang proposes a number of criteria to evaluate whether a literary work should be regarded as world literature: grasping the *Zeitgeist* of

a given historical period with its high aesthetic quality; crossing the boundary of national languages and cultures; included in an authoritative anthology edited by major literary scholars; taught in universities and imitated by writers of different countries in different languages; and inviting critical studies in other cultural and literary contexts. (Wang, "Weltliteratur" 299) Wang uses Chinese literature as a particular example, elaborating how Chinese literature could well go to the arena of world literature to make it diversified.

Secondly, Wang's conception of world poetics is related to the issue of cosmopolitanism. As we know, the last two decades witnessed an explosive interest in the issue of cosmopolitanism. As is observed by Gerard Delanty,

Over the past two decades there has been very wide interest in cosmopolitanism across the human and social sciences. Where earlier it had been largely a term associated with moral and political philosophy, cosmopolitanism has now become a widely used term in the social sciences. In many ways cosmopolitanism constitutes an interdisciplinary area for the human and social sciences. (Delanty 1)

In a similar vein, Bruce Robbins claims that "Cosmopolitanism has never been so popular. Across a variety of academic disciplines and in the more respectable regions of the press the concept is repeatedly evoked whenever attention is paid to the movement of peoples and cultures and the creative mixtures that emerge as they interact" (Robbins 2). Etymologically speaking, the word derives from the Greek *κοσμοπολίτης*, or *kosmopolitês*, formed from "*κόσμος*", *kosmos*, i.e. "world", "universe", or "cosmos", and *πολίτης*, "*politês*", i.e. "citizen" or "[one] of a city". Contemporary usage defines the term as "citizen of the world." Despite the popularity of the term, cosmopolitanism seems to be very elusive, and thus there emerge a number of related concepts, such as vernacular cosmopolitanism, rooted cosmopolitanism, critical cosmopolitanism, comparative cosmopolitanism, national cosmopolitanism, discrepant cosmopolitanism, situated cosmopolitanism, cosmopolitan patriotism, cosmopolitan nationalism, cosmopolitan democracy, and cosmopolitan postcolonialism. What are the features of cosmopolitanism? In *Conceiving Cosmopolitanism—Theory, Context, and Practice* (2002), S. Vertovec and R. Cohen list a typology for six characterizations of cosmopolitanism:

1. cosmopolitanism as a socio-cultural condition;
2. a kind of philosophy or worldview;

3. a political project towards building transnational institutions;
4. a political project for recognizing multiple identities;
5. an attitudinal or dispositional orientation; and
6. a mode of practice or competence. (Vertovec and Cohen 9)

In his active engagement of the issue cosmopolitanism, Wang tries to revisit and define it from “a literary and critical perspective in general and a Chinese perspective in particular” (Wang, “Ibsen and Cosmopolitanism” 124) Wang argues that cosmopolitanism can be defined within the following ten

1. as something that transcends nationalist sentiment;
2. as a pursuit of moral justice;
3. as a global and universal human concern;
4. as a diasporic and even homeless state;
5. as something decentralizing, which pursues a pluralistic cultural identity;
6. as in the service of human happiness and unity;
7. as a political and religious belief;
8. as the realization of global governance;
9. as an artistic and aesthetic pursuit; and
10. as a critical perspective from which to evaluate literary and cultural products. (Wang, “Cosmopolitanism and the Internationalization of Chinese Literature” 172)

Noteworthy is Wang’s elaboration of cosmopolitanism in relation to Chinese literature and culture. In “Cosmopolitanism and the Internationalization of Chinese Literature” (2014), Wang points out that “in China’s recent past to talk about cosmopolitanism from a literary point of view was mostly to identify Chinese literature with Western literature.” (Wang, “Cosmopolitanism and the Internationalization of Chinese Literature” 167). In Wang’s view, literary cosmopolitanism enables scholars to go “beyond a particular national cultural and literary tradition but to engage with excellent works in world literature” (Wang, “Cosmopolitanism and the Internationalization of Chinese Literature” 173). Mo Yan, the 2012 Nobel Prize in Literature, is a successful example. Influenced by William Faulkner and García Márquez, Mo Yan also writes about those fundamental issues and experiences shared by all humans, and thus he writes as a local novelist with common human concerns and moves into the mainstream of world literature enabled by cosmopolitanism and translation.

Conclusion

In "The Hedgehog and the Fox" (1953), Isaiah Berlin revisits the remark of the Greek poet Archilochus that the fox knows many things, while the hedgehog knows one big thing. Half a century later, Stephen Jay Gould picked up this issue again in *The Hedgehog, the Fox and the Magister's Pox* (2004). In both Berlin and Gould's musings and elaborations, one can easily discern an interesting phenomenon that the fox-type scholars work on a wide range of different issues and achieve a broad mastery over the whole area, while the hedgehog-type scholars are content to plough a deep furrow, and pursue a single issue. Wang Ning works a number of different fields including psychoanalysis, postmodernism, postcolonialism, globalization, translation, literary theory, world literature and comparative literature, but he is also deep in each of those cutting-edge issues. Just like his long-time pursuit of bridging China-Western literary studies and his challenges to Eurocentrism and American-centeredness, Wang also goes beyond hedgehog-fox divide and is well-accomplished in all and each of the scholarly areas that attracts his interest. As Wang's colleague in the same university, I always find it satisfying and rewarding working with him. Re-reading and commenting on Wang's scholarly works, I would now like to make this point again, with renewed emphasis.

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The Conception of World Poetics and the Forming of a Global Academic Community

Sheng Anfeng

Abstract: The fast development of globalization and the increasing frequency of cultural exchanges among people around the world have contributed to the resurgence of world literatures and the preliminary formation of a “World Poetics”—a globally felt discursive effort in literary theories. In this paper, the author first sorts out Wang Ning’s impressive achievements in the fields of comparative and world literatures, and in the promotion of Chinese scholarship in the world during the past forty years. Then taking Wang’s conception of World Poetics as an example, the author argues that in an increasingly globalized world, Chinese scholars are making great efforts to break the Western-centric mindset, to make their voices heard in the international academic community, and to construct a Chinese literary theory discourse. The author concludes that, in this information era, the communication and cultural exchanges among different nations are going deeper and globally there seems more and more resonance among scholars from different parts of the world. A loosely-structured, preliminary global academic community is beginning to take shape, which is also a prerequisite for the conception of World Poetics. With China’s continued economic prosperity and its comprehensive national power, Chin’s humanities academia will certainly be able to make an increasingly strong voice in the international literary arena.

Keywords: World Poetics; comparative literature; globalization; Global Academic Communities; Wang Ning

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标题: 世界诗学的构想和全球学术共同体的初步形成

内容摘要: 当今世界全球化程度的日益加深和世界各国人民文化交流的日益频繁促进了世界文学现象的再度繁荣, 也有助于一种全球性的文学艺术理论话语——世界诗学——的诞生。本文通过对王宁先生四十年来致力于比较文

学与世界文学研究及其对中国学术国际化所取得的突出成就的梳理，旨在以王宁先生多年来对世界诗学的构建为例，探索中国学者为打破国际学术界积弊已久的西方中心主义思维定式、在国际学术圈发出中国学者自己的声音、建构中国的文学理论话语而付出的巨大努力以及所取得的成效。本文作者认为，在一个越来越全球化、各国人民交往和文化交流日益频繁而且逐步走向深层对话的信息化时代，不同国家学者之间的学术交流日益密切且走向深层对话，一个结构松散的全球性学术共同体正在逐步形成，这也是世界诗学有望形成的先决条件；而随着中国经济的持续繁荣和综合国力的不断提升，中国的人文学术界一定能在国际文坛上发出越来越强劲的声音。

关键词：世界诗学；比较文学；全球化；全球学术共同体；王宁

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Introduction

Since the 1970s, there has been a lot of doomsaying of the humanities, literary studies in particular, in the Western academy, which could be justified somehow by the sharp fund-cutting in the universities, the shrinking of enrollment in literature and literary theory, the gloomy prospect for the graduates, and the cry of crisis every now and then in the humanities. Things are a little bit different in China though. Although the humanities have been in a disadvantageous position compared with the science and engineering, they have still achieved considerably and developed fast during the past forty years. Different from the situation in many Western countries, China has been stressing the international cultural exchanges, in recent years in particular, and actively promoting the mutual appreciation between different nations and cultural tolerance. Globally speaking, the process of globalization has been frustrated in various ways especially by the Covid-19 pandemic beginning from the end of 2019 and the international trade sanctions by some Western countries. But the trend of globalization is unstoppable. In general, the pandemic situation in China is well-controlled, people's life has been safeguarded, and the national economy has been steady and growing. Looked at from China's domestic policies, the government has begun to adopt the monumental plan for international cooperation "The Belt and Road," which includes the Silk Road Economic Belt and the 21st Maritime

Silk Road, aiming to develop economic cooperation with countries along the lines, promote cultural tolerance, and construct communities of mutual interests, reliance, and responsibilities. In addition, since 2000 Chinese government has adopted the strategy of promoting Chinese culture to the world and stressed cultural exchanges in both governmental and non-governmental levels. It's against these international and national backgrounds that the Chinese humanities have gained the momentum to push forward and made great achievements. A group of Chinese scholars who are familiar with both Chinese and Western literatures have been trying to break the barricade between the East and the West, and bridge different cultures for the purpose of mutual appreciation. They not only try to introduce the latest literary trends and philosophic thoughts from the West to China, but also devote themselves to bringing the best academic achievements in China to the outside world. During this process they have been trying to construct a Chinese academic discourse of their own on the basis of amalgamating the East and the West, the ancient and the modern, thus contributing to the progress of a global academic community. And Wang Ning is an excellent example of these scholars.

A General View of Wang Ning's Academic Achievements

Starting his career from teaching English in Nanjing Normal University since 1978, Wang has never left his pursuit of teaching and researching in the field of foreign literature studies. He has taught in such distinguished universities in China as Peking University, Beijing Language and Culture University, Tsinghua University, and now Shanghai Jiaotong University. Familiar with both Chinese and English literatures and skilled in writing in both languages, Wang has been taking the lead in introducing Western literary theories into China. He is also enthusiastic about practicing those theories in his criticism while at the same time introducing Chinese literature to the outside world. Wang's achievements are mainly in the fields of psychoanalysis, modernism, postmodernism, globalization, cultural studies, translatology and world literature.¹ He has by far published three monographs in English, more than twenty books in Chinese, and near 600 papers, including over 130 in English. More than 100 of his papers have been indexed by A&HCI and SSCI database and many of his works have been translated into over a dozen of other languages, including Spanish, Italian, Portuguese, Germany, Russian, and French, exerting profound influence on the international humanities. Due to

1 In addition, Wang has also written a lot of influential articles about post-colonialism, diasporic literature, ecocriticism, Marxism, digital humanism, posthumanism, and studies on Northrop Fry and Henry Ibsen during the past 30 years.

his outstanding achievement and esteem, Wang was selected as member of the Academy of Latinity in 2010, Changjiang Distinguished Professor by the Ministry of Education of China in 2012, and foreign member of *Academia Europaea* in 2013. Wang has led the trend of comparative literature and become an unprecedented academic landscape in the humanities in China. The following is a brief review of his major academic achievements in the past forty years.

As early as the late 1980s, Wang began to study Sigmund Freud's psychoanalysis and published translations and monographs such as *Deep Psychology and Literary Criticism* (1992) and *Literature and Psychoanalysis* (2002), becoming the main promoter of the second wave of psychoanalytic theory in Chinese literary criticism. Wang not only introduced psychoanalytic theory to China, but more importantly, he excelled in applying this theory to the analysis of Chinese texts. His analyses of modern Chinese writers include Cao Yu, Liu Naoou, Zhang Xianliang, Mo Yan, Wang Anyi, and Xu Xiaobin (Wang, "The Influence and Flux of Freudianism in Modern Chinese Literature" 10-19). Wang does not merely use "advanced" foreign theories to interpret those texts, or treat them as local resources to prove Western theories. Rather, he uses the perspective of Chinese scholars to test and even question foreign theories on the basis of specific textual analysis, thus forming an equal dialogue between China and foreign countries.

In terms of modernity theory and postmodernism, Wang is the "trendsetter" of our time. He was the first to convene the "International Symposium on Postmodern Culture and Contemporary Chinese Literature" (1993) and to publish a number of important papers. He has also published books such as *After Postmodernism* (1998) and *Beyond Postmodernism* (2002). Based on a detailed analysis of more than thirty contemporary writers in China and abroad, Wang points out that although culturally Chinese society is not a typical postmodernist society, due to the deepening of cultural exchanges between China and foreign countries and the uneven development of China's economy and urban culture, contemporary Chinese literature clearly carries postmodern factors, which can provide us with an opportunity to engage in an equal dialogue with Western scholars (Wang, "The Mapping of Chinese Postmodernity" 40; "Rethinking Modern Chinese Literature in a Global Context" 1-11).

In the area of comparative literature and cultural studies, Wang has taken an extremely open view of the impact of cultural studies on literary studies. He has not only published a large number of papers, but also published several books include: *Comparative Literature and Contemporary Chinese Literature* (1992), *Comparative Literature and Chinese Hermeneutics* (1996), and *Comparative*

Literature: Theoretical Reflections and Literary Interpretation (2011), and has organized several international symposia. In Wang's view, the original comparative literature is clearly Western-centric and we can take advantage of this opportunity to establish a new school of comparative literature—an "Oriental School" with China, India and Japan as its mainstays, which "is characterized by parallel comparative studies and poetic dialogue across Eastern and Western cultural traditions" (Wang, *Comparative Literature and Contemporary Cultural Criticism* 38, 51). We can see here not only Wang's efforts to advocate equal dialogues, but also his ambition to construct a "World Poetics" that transcends Western centrism. It is no wonder that some Chinese scholars have called him "a pioneer in the internationalization of Chinese comparative literature" (Li Lin 151), and even the late J. Hillis Miller once applauded Wang "for contributing so much, in their essays in this issue and in their other work, to the broadening of once-Eurocentric comparative literature to include literature from all over the world" ("Reading [about] Modern Chinese Literature in a Time of Globalization" 190). As one of the pioneers of cultural studies in Chinese academia, Wang has consistently taken the position of eliminating the dichotomy between literary studies and cultural studies, pointing out that the two can fully complement each other and produce constructive exchanges between them (Wang, *Comparative Literature and Contemporary Cultural Criticism* 81-83).

In the field of translation studies, as early as 1987, Wang published almost simultaneously his works on translation such as *History of Western Art* and *Freudianism and the Literary Mind*. After that, combining translation studies with the study of world literature, he conducted continuous in-depth research on the function of translation and strongly supported the construction of translation studies as an independent discipline—"translatology." He has organized at least four international symposiums on translation, published *Globalization and Cultural Translation* (2004), *The Cultural Turn in Translation Studies* (2009), and *Comparative Literature, World Literature and Translation Studies* (2014) in either Chinese or English. In Wang's view, both translation and translation studies are extremely important and play an irreplaceable role in the current revival of world literature studies; translation needs to go beyond the primary stage of literal translation, and should pay more attention to the cultural perspectives. The cultural turn of translation has become a trend (Wang, *Cultural Translation and Classical Interpretation* 3-17).

In the field of globalization studies, Wang's main influence is in the cultural side and his rare global horizon and vision make him even more remarkable in foreign literature studies. Since 1980s, Wang has realized that globalization

is an irreversible trend and we can become the trendsetters if we can seize the opportunity. Since 1998, Wang has organized at least four major international symposia on the development of humanities in the era of globalization, published a large number of papers and books include *Globalization and Postcolonial Criticism* (1998), *Globalization and Culture: The West and China* (2002), and *Translated Modernities: Literary and Cultural Perspectives on Globalization and China* (2010). In Wang's view, the rapid development of globalization since the second half of the twentieth century is one of the results of technological progress, especially the information technology revolution, and for China as a whole, we have become the biggest beneficiary of the globalization process due to our accession to the WTO. To promote the modern transformation of traditional Chinese culture and the strategy of going international of Chinese culture (literature) (Wang, *Globalization: Cultural Studies and Literary Studies* 41-60; *Globalization and Cultural Studies* 193-293; *Globalization and Cultural Translation* 1-15).

In addition to his remarkable achievements in the above-mentioned fields, Wang has also accomplished prominently in the fields of world literature, the post-theoretical issue, cosmopolitanism and World Poetics in the past ten years. In addition to organizing several international conferences on related topics, Wang has published dozens of papers in well-known journals at home and abroad and several important books such as *Comparative Literature, World Literature and Translation Studies* (2014), *Literary and Cultural Studies in the Post-Theoretical Era* (2009), and *World Literature and Modern Chinese Literature* (2021). In Wang's view, the revival of world literature at the end of the twentieth century is closely related to the process of globalization and cosmopolitanism; after the twentieth century, we are now in a "post-theoretical era" in which Western theories tend to weaken and ours is an age of carnivalistic "heterglossia." But this is also a good opportunity for Chinese scholars to discover the spiritual core of Chinese culture and to present our excellent cultural traditions to the world (*Studies in Comparative Literature, World Literature and Translation* 201-290). It is in this context of cultural globalization that Wang puts forward his own concept of "World Poetics."

World Literature, Cosmopolitanism and the Conception of World Poetics

Wang's conception of World Poetics has a profound international and domestic background. Internationally, due to the rapid advancement of science and technology, human society entered an information age at the beginning of the twenty-first century, and globalization was no longer limited to the initial financial and economic fields, but soon extended to global governance, politics, and culture.

The humanities academics worldwide are also thinking about the crisis and the way out and the reorientation of theory. At home, the Chinese initiative of “Belt and Road” and the policy of Chinese culture going international have encouraged Chinese scholars’ cultural self-confidence and courage to go global, while the shame suffered by Chinese since the nineteenth century have stimulated scholars to discover the spiritual core of our cultural tradition.

It is in this international and domestic context that we have conceived a variety of theoretical achievements in the last three decades that have impressed the international academia. In the field of literary and cultural studies in recent years, I can cite a variety of theoretical innovations proposed by Chinese scholars, including: Fu Xiuyan’s Chinese Narratology, Nie Zhenzhao’s Ethical Literary Criticism, Zeng Fanre’s Aesthetics of Eternal Engendering, Cao Shunqing’s Variation Theory of CL, Zhang Jiang’s Chinese Hermeneutics, and Wang Ning’s World Poetics. Among these theories pioneered by Chinese scholars, the most influential ones include Ethical Literary Criticism, Chinese Hermeneutics, Variation Theory, and World Poetics. This wave of theoretical innovation is not only influenced by the aforementioned foreign and domestic environments, but also related to the consciousness of Chinese scholars towards academic innovation, their increased awareness of innovation and cultural self-confidence, and China’s increasing cultural soft power.

According to my observation, Wang explicitly proposed the construction of a “World Poetics” in two papers published in 2014. However, this theory is closely related to his research on world literature and cosmopolitanism in the past twenty years. The concept of world literature was first proposed by German scholar August L. Schlözer, Christoph M. Wieland the poet, and the literary giant Johann Wolfgang von Goethe in the early nineteenth century (Fang Weigui 9), but it was not until the end of the twentieth century that this concept was rethought and discussed by scholars, as globalization deepened and cultural exchanges between countries became increasingly close. Representative researchers of world literature include David Damrosch, Martin Puchner, Theo D’haen, Pascale Casanova, Thomas Beebe, Franco Moretti, and Chinese scholars such as Wang Ning, Liu Hongtao, Fang Weigui, and Cao Shunqing.

Influenced by the discussions of Western scholars, Wang has been concerned with the elaboration of the concept of world literature since the beginning of this century, trying to clarify the relationship between comparative literature and world literature, and advocating the strategy of “glocalization” to actively participate in the debates in the international academic community (Wang, “The ‘Death’ and ‘Regeneration’ of the Comparative Literature Discipline” 113-115; “The

‘Glocalization’ of the Chinese Comparative Literature Discipline and Its Direction” 93-100). After several years of exploration, Wang concludes that when people use the term “world literature” now, they have actually endowed it with three meanings: 1) a classic summary of the best literature in the world; 2) a global and cross-cultural perspective and comparative vision on which our literary research, evaluation and criticism are based; 3) a literary historical evolution through the production, circulation, translation and critical selection of literature in different languages. And the criteria by which we judge world literature should include: 1) whether it captures the spirit of a particular era; 2) whether its influence transcends the boundaries of its own nation/language; 3) whether it is included in anthologies of literary classics; 4) whether it can enter university classrooms; and 5) whether it is critically discussed in another cultural/linguistic context (Wang, “‘World Literature’: From Utopian Imagination to Aesthetic Reality” 5). Inspired by the translation ideas of Walter Benjamin, Wang also places special emphasis on the role of translation in world literature, arguing that it is the translation that gives the original work an “afterlife.” (Wang, “‘World Literature’ and Translation” 23).

Wang’s conception of World Poetics is also related to his understanding of cosmopolitanism. Two years before he proposed “World Poetics,” Wang began to pay attention to the revival of cosmopolitanism in recent years. He examines cosmopolitanism in detail, mainly as a cultural phenomenon, and sorts through the works of the ancient Greek Cynics through Immanuel Kant, Karl Marx and Friedrich Engels, to Emmanuel Levinas, Jacques Derrida, Martha Nussbaum, Kwame Appiah, Ulrich Beck, Craig Calhoun, Pheng Cheah, and Bruce Robbins. He elucidates its development and contemporary connotations and the reasons for its revival in the late twentieth century. He argues that, today, with China’s growing integration into the world, this concept is becoming increasingly relevant and constructing a “new cosmopolitanism” will help us go international in an era of globalization (“Cosmopolitanism and Its Significance for Contemporary China” 49-55). Then, Wang made a concise exposition of today’s cosmopolitanism from the dimension of literature and culture: 1) as a form of transcending nationalism; 2) as a pursuit of moral justice; 3) as a universal humanistic concern; 4) as a way to feel at home in the world; 5) as a way to dissolve central consciousness and advocate multicultural identity; 6) as a way to pursue the happiness of all human beings; 7) as a political or religious belief; 8) as a way to achieve global governance; 9) as an artistic and aesthetic pursuit; 10) as a critical perspective from which literary and cultural products can be evaluated (“Cosmopolitanism and World Literature” 12; “The Significance of Cosmopolitanism in Contemporary Times” 116). Wang

also points out that the ancient Chinese Confucianism also nurtures the idea of cosmopolitanism, the idea of Great Unity of the world (shijie datong), parallel to the Western tradition, which provides a good platform for Chinese and Western scholars to start a dialogue. This is certainly a prospective and insightful view.

After several years of contemplation and brewing, Wang formally proposed the idea of “World Poetics” in 2014 on the basis of a revaluation of Earl Miner’s “comparative poetics.” He points out that although Miner’s comparative poetics research has been proud of his peers and previous scholars, he has failed to make further theoretical constructions of a World Poetics (Wang, “Earl Miner: Comparative Poetics and the Construction of World Poetics” 415). Wang’s World Poetics is not a replacement of Western literary theory with Eastern literary theory, nor is it a simple addition of Eastern and Western literary theory, nor is it a traditionally Western-centric literary theory, but “a new literary and interpretive theory, to be constructed on the basis of substantial studies of excellent world literatures and theories.” The purpose of this new theory is to construct a universal literary theory that shares common aesthetic principles and universal standards (Wang, “Earl Miner: Comparative Poetics and the Construction of World Poetics” 421). The World Poetics, “a theoretical summary and sublimation of world literary creation and experience..., will help to further refine the theoretical concept of world literature and to change and revise the existing map of world literature and literary theory”; “it becomes very important and very useful for rewriting the history of world literature and thus expanding the position of Chinese literature and theory on the map of world literature and literary theory” (Wang, “The Conception of World Poetics” 176).

So what are the main features of Wang’s conception of World Poetics? First, Wang points out that World Poetics can be divided into an overall “world literary theory,” i.e., a poetic system as a whole, and specific theories of world literary interpretation, the former referring to the sublimation and crystallization of the world’s excellent literary theories, while the latter takes into account the specific literary theories from different national literatures. Secondly, World Poetics must be characterized by the crossing of linguistic/cultural boundaries, and the history of World Poetics should include non-Western but important literary works such as *Wen Xin Diao Long* (The Literary Mind and the Carving of Dragons) by Liu Xie (465-520). Third, World Poetics must be applicable to explaining all literary phenomena in the world. Fourth, in constructing a World Poetics we must pay attention to the combination of universality and relativity. Fifth, World Poetics should be open and actively engage in dialogues with other disciplines in the

field of humanities and social sciences. Sixth, World Poetics must be mediated by translation so that it can circulate and be available to various cultures (Wang, "Earl Miner, Comparative Poetics, and the Construction of World Poetics" 34-35). Soon afterwards, as Wang's thinking deepened, he made it clear that World Poetics must break through the limitations of Western centrism and embrace all the literary theories that emerge from the world's cultures; that World Poetics can never be used to "compulsively interpret" literature; that the vitality of World Poetics is reflected in its unfinished state of being constantly used for interpretation; and that World Poetics can be constructed, and that literary theorists of each era can interpret it in their own critical practice (Wang, "The Conception of World Poetics" 173-174). In the conception of a World Poetics, on the one hand we can see Wang's attempt to portray an overarching literary theoretical paradigm in a comprehensive manner; on the other hand, we can also see that Wang sometimes tends to go to extremes, as in his description of the third characteristic of the World Poetics.

In my opinion, Wang's vision of World Poetics has the following characteristics.

1. It emphasizes the subjectivity of Chinese scholars and Chinese theory, with a strong sense of rights. This is because Chinese discourse has long been suppressed and marginalized.
2. The concept of World Poetics has a strong sense of the times. On the one hand, the true advent of globalization has made people around the world live in a "global village." On the other hand, the rapid development of information technology and Internet has made it possible for scholars to propose global theories that cross ethnic, linguistic, and national boundaries.
3. The concept of World Poetics is highly inclusive and has both synchronic and diachronic dimensions. It attaches importance not only to literary works from ancient times to the present, but more importantly, it pays particular attention to absorbing achievements of small cultural groups outside the mainstream Euro-American theoretical circles.
4. World Poetics is constantly developing, generative and reconstructive, and there is no fixed theoretical systems or theoretical texts of World Poetics.
5. World Poetics is global, which is reflected in the fact that the theorists or participants are from all over the world, and on the other hand, its objects of interpretation also cover the literature of different countries all over the world.
6. World Poetics is interdisciplinary, and after the post-structuralist wave of the second half of the twentieth century, the theoretical approach to literary research and literary criticism can no longer be "pure" literary.
7. World Poetics is dialogical. There is no single authority in the world of poetics and there will no longer be a monopoly like Euro-American centrism. World Poetics is not only formed in multilingual, multicultural and multiethnic dialogues, but dialogue is its main form of existence.

In Wang's view, "World Poetics is a theoretical sublimation of the research results of world literature and comparative poetics; it is not a whimsy of theorists hiding in ivory towers, but is proposed according to the practical needs of literary creation and theoretical criticism" (Wang, "The Conception of World Poetics" 174). Overall, Wang's conception of World Poetics is not only extremely forward-looking, it is also sufficient to influence and even guide the development of world literary studies and literary theory studies in the future. It is important to emphasize that Wang's vision of World Poetics is not intended to "seize power," but to truly envision a universal literary theoretical discourse that transcends linguistic, national and cultural boundaries. What Wang wants to emphasize is that we, as a vulnerable group and a disadvantaged culture, should be aware of and fully use our rights, so that we can make our voices heard in the international academic community and form a truly equal and effective dialogue. Moreover, we should not regard World Poetics as a panacea for literary criticism, because literature is alive, literary genres are constantly emerging, and new literary works are coming out all the time, so World Poetics as a theory of interpretation must also be constantly developing, changing and evolving.

The Emergence of a Global Academic Community

From a global perspective, the development of theoretical ideas such as World Poetics, Ethical Literary Criticism and Variation Theory is not merely the individual achievement or credit of a certain scholar, but is closely related to the gradual formation of a global academic community in our time. The concept of "community" has been discussed by many scholars both at home and abroad. For example, in the view of Ferdinand Tönnies, community is a social organism formed on the basis of natural will, such as emotions and habits, as well as on the basis of blood and geographical ties.¹ The English word "community" means society, community, social group, etc. Community also has the abstract meaning of common and shared responsibility. In the modern sense, community refers to a social unit that often shares social norms, religion, values, or identity. While community was often associated with geography and ethnicity in the past, it can now also include virtual communities created through online platforms, or refer to a community of values rather than a physical community based on geography or race, etc. (Wang, "On the Cosmopolitan Vision in American Indian Literature" 126-127). My main

1 For an in-depth discussion of community, see Ferdinand Tönnies, *Community and Society*, trans. Lin Rongyuan, Beijing: Commercial Press, 1999; Zygmunt Bauman, *Globalization: The Human Consequences*, trans. Guo Guoliang and Xu Jianhua, Beijing: Commercial Press, 2001; Zhongjian Mou, *Community: The Chinese Experience of Human Destiny*, Jinan: Jinan Press, 2020, etc.

consideration here is the possibility of a global academic community in the field of humanities in the age of globalization and its potential role in the construction of literary theories.

In the past forty years, Wang has not only been a dedicated scholar, but has also moved around the world in humanities circles and stayed close to world class literary figures such as J. Hillis Miller, Douwe Fokkema, Ralph Cohen, Fredric Jameson, Jonathan Culler, Terry Eagleton, Martin Puchner, Gayatri C. Spivak, Theo D’Haen, Homi Bhabha, Marshall Brown, Roland Robertson, Lawrence Venuti, Howard Goldblatt, and many others, all of whom were his good friends. He not only pays attention to uniting Chinese scholars and collaborate frequently with them, but also places great emphasis on exchanges and collaborations with international colleagues. In addition to serving as visiting professor at nearly 30 institutions in China, he has also served as visiting professor/researcher at many prestigious institutions abroad, such as Harvard University, Yale University, Columbia University, Sorbonne University, Cambridge University, and Göttingen University. He has served as President of the China Comparative Literature Association and for many years as Secretary General of the International Society for Literary Theory. Because of his distinguished scholarship and prestige, he has also served as editor-in-chief, advisor, or member of editorial board of nearly a dozen prestigious journals in China and abroad, including *Perspective: Studies in Translation*, *Comparative Literature Studies*, *Arcadia*, *Philosophy and Literature*, *Neohelicon*, and *Comparative Literature and Culture*, among others. Since 1993, he has organized more than thirty international symposia on cutting-edge topics, which have greatly contributed to strengthening academic exchanges at home and abroad and promoting Chinese humanities scholarship. In addition, with his academic reputation and connections, Wang has guest-edited nearly thirty issues of various internationally renowned journals and published papers of dozens of Chinese scholars. It is precisely this global vision and frequent international peer interaction that gave birth to Wang’s vision of a World Poetics.

Over the past century or so, with economic and financial globalization has come the steady development of cultural globalization. This is the cultural foundation and international cultural context for the construction of World Poetics. In terms of technology, the rapid development of transportation technology from the twentieth century onward has enabled people to fly from one side of the globe to the other in a single day. We are now accustomed to taking classes online, listening to “cloud” lectures, and attending conferences online, not to mention quickly learning about the latest academic and theoretical developments at home and abroad,

purchasing books online and downloading electronic resources, and searching for materials. It is no exaggeration to say that the rapid advancement of information technology has had a revolutionary impact on the field of literary studies, driving innovation and development in almost all fields of research, including the humanities.

I would also like to emphasize that the conception of a World Poetics benefits from the scholarly resonance among scholars who have an international perspective, a rich theoretical reserve, and a great deal of academic sensitivity. Let us call it “academic resonance.” It is precisely because of this kind of spiritual echo among scholars, this kind of sympathy for each other based on their passion for academics, this kind of mutual attraction and mutual support due to their interest in academics, that scholars from different cultures can collide with each other to strike sparks of ideas, stimulate theoretical inspiration, and generate new theoretical ideas, thus forming a worldwide academic community. If we say that the development of the globalization has given people a real sense of global village and thus liberated the originally closed minds, and the development of information technology and the Internet has provided us with the technical conditions, then the ambition of scholars from all over the world to study world literatures, appreciate world cultures, and promote cultural exchanges and mutual appreciation of civilizations, is the human factor for the gradual formation of a global academic community. As the first two decades of the twenty-first century have passed, we are pleased and grateful to see that an academic community composed of scholars from different countries, different backgrounds, and different cultures is taking shape, and has produced a considerable number of remarkable theoretical achievements through academic exchanges and spiritual stirrings, such as Wang Ning’s conception of “World Poetics.”

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Wang Ning and Shakespeare

Simon C. Estok

Abstract: There are a great number of similarities between Wang Ning and Shakespeare. Each, in their respective time and place, have sought to bring their culture (and their enthusiasm for that culture) to the world stage. To be compared with Shakespeare seems the very height of flattery, but such is not the intent of this article; rather, the intent here is to see the work of Wang Ning for the complexity that it is, a complexity of process and product on a par with the work of Shakespeare. Wang's corpus is many things, sometimes a combination of opposites, at times both extensive and focused, objective and opinionated, nuanced and blunt, but always revealing. Like Shakespeare, Wang is acutely attuned to his audience and brings to the global platform a richly vibrant culture. To appreciate fully this work is to be critical and not simply to glorify, to see the missteps and the achievements, the visions and the realities, and to see these both within the contexts of their performance and within larger historical contexts. To do so with Wang Ning, as has been done with Shakespeare, reveals the immense depth and value of this still swelling body of work.

Keywords: Chinese literary scholarship; world literature; Wang Ning; Shakespeare

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标题：王宁与莎士比亚

内容摘要：王宁与莎士比亚有许多相似之处。在各自的时代和国家，他们都充满热情地试图将自己国家的文化带入世界舞台的中央。虽然将王宁与莎士比亚相比较有褒奖过高的嫌疑，但是这并不是本文初衷。本文意在探讨王宁的学术成果及其创作过程与莎士比亚作品相媲美的复杂性。王宁的学术成果中包含多种对立，既广博又集中，既客观又有主观判断，既细腻又坦率直接，总的来说非常发人深省。像莎士比亚的戏剧一样，王宁的学术成果与读者紧密联系，并为国际舞台带来了丰富而有活力的文化。只有通过批评性的阅读而非直接的褒扬，同时考察其成就与过失、讨论其视野与现实的关系，并将它们同时置于创作的学术与历史语境中才能得出王宁学术成就的全貌。正如人们对莎士比亚著作的全面研究一样，此文对王宁学术成就的全面考察揭示

了其广博深度与巨大价值。

关键词：中国文学学术；世界文学；王宁；莎士比亚

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It is hard not to notice some of the remarkable similarities between Wang Ning and Shakespeare. Wang Ning has, for much of his storied career, sought to bring Chinese culture and scholarship to the forefront of the global stage. The degree to which he has succeeded (or failed) is not the concern of this article; rather, “the process rather than the result,” to cite Wang out-of-context (2002a: 284), is not only fascinating but points to an important emerging trend in Chinese literary scholarship—namely, a trend that aims toward a global readership and impacts. Like Shakespeare, Wang magnifies and reflects the trends of his time, unabashedly articulating his personal and professional hopes and visions, all the while acutely aware of his audience and its needs.

In his discussion about *Hamlet*, Wang describes how Shakespeare re-tells a story that others have told: “Before Shakespeare, other writers had also tried to write about this legendary story. But it was Shakespeare who has endowed this old story with new spirit [*sic*] of the time, thus making it a great work” (2019a: 19). It is “his completely new way of representing this old story [...] with new elements of the spirit of the time” (2019a: 20) that make Shakespeare’s play a success. Wang’s discussion of the lack of interest in Shakespeare’s history plays among Chinese scholars is very relevant to the discussion here. Wang suggests that most Chinese scholars of Shakespeare “still focus on his tragedies and comedies, simply neglecting the historical significance of his history plays. Perhaps to them, Shakespeare’s history plays merely describe what had happened in a remote country long time ago [*sic*] far from the current Chinese reality” (2019a: 19-20). From this set of observations, Wang wonders about Chinese writers and their readership and raises several issues:

Chinese writers should also question themselves: do they write for all the readers of the world or merely for their native fellow readers? If they merely want to restrict their writings to the domestic reading public, as some of these writers expressed, we will not be able to go on with our discussion. If a writer writes not only for his own contemporary readers, but rather for all the readers of the world, he will at least think over whether the subject matter he deals with is his own initiative, and whether it is of certain universal significance.

(2016a: 390)

It is with the question of “universal significance,” then, that Wang is grappling. For Wang, it is “universal” themes that allow “works [to] transcend the limits of given national literatures becoming world literature” (2013a: 391)¹. Some of his arguments are surprising.

Among the arguments Wang makes is that “China [...] does try to prevent its culture from being ‘globalized’” (2002b: 112). This is obviously more an opinion than a verifiable fact, and Wang offers no examples of government mandates, public proclamations, media campaigns, or legislative policies to support the claim. Certainly it is a daring move (perhaps, one might even venture to say, seditious) to make a claim against China in such a manner, but it is not initially clear precisely what purpose such an accusation serves. One thing, however, is certain: it is a provocative statement that seems to fly in the face of the facts, since even in 2002, China was clearly not shunning the international cultural stage. Two films were entered that year at the Cannes International Film Festival (where they had been making regular appearances since 1983), renowned translator Howard Goldblatt had already translated a dozen or so Chinese classics into English (and had started his work on Mo Yan’s *Red Sorghum*) without any resistance from the Chinese government, and China had already entered the WTO (an event that clearly had important global implications for Chinese culture). Wang goes on to argue that China should encourage its culture globally, that “its first step should be ‘decolonizing’ itself in the ‘homogenizing’ context of globalization” (2002b: 112). It is here, then, that his purpose in using the straw man fallacy becomes clear: it is to bring attention to his key point—namely, about globalizing Chinese culture. Clearly, since I am commenting on it here, the strategy is an effective one, and it is a daring one in that it seems wrongly to malign the Chinese government. While I perhaps would not go as far as to suggest that Wang courts controversy in order to popularize or expand the reach of his work, it does seem that his strategies of reaching a broad constituency are, for the most part, effective. He is, I dare say, the Shakespeare of “worlding” Chinese literature.

Wang’s opinion is that “China ought to make greater contributions to world civilization and the construction of world culture not only economically but also

1 The philosophical problems associated with “universals” and “universalist” beliefs have a very long history in Western thinking, ranging from the time of Plato to the present day. Wang uses the concept of “universals” unproblematically and writes, for instance, about “a universal criterion by which to evaluate literature of the greatest world significance” (2010a: 4), but he does so without explaining how to determine such a criterion.

culturally and intellectually” (2002b: 116). Wang is, without a doubt, at the very head of the movement to promote Chinese literature and literary scholarship to a world that is very much ignorant of the spectrum and vibrancy of this material. For him, “Chinese literature has largely been marginalized on the map of world literature since the late Qing Dynasty” (2016a: 384). Wang himself is a staggeringly erudite scholar of enormously diverse interests and critical capacities. He writes on ecocriticism, Shakespeare, comparative literary theory, Ibsen, Earl Miner, Chinese fiction, Chinese drama, globalization, postcolonialism [...] and the list goes on. What is equally remarkable is that he has his finger on the very pulse of Western scholarship. He is, I must repeat, the Shakespeare of “worlding” Chinese literature. It is difficult to calculate the growing immensity of his impacts, both in established scholarly areas and in newly emerging ones.

Among the most recent concerns in Western literary and cultural scholarship has been the work done in ecocriticism and the Environmental Humanities, and it is therefore not surprising to find Wang involved with these issues. Alert to the realities that “ecocriticism, environmental studies, and eco-ethics [by 2014 had become] largely talked about in China not only by literary scholars and humanities intellectuals but also by ordinary people” (2014a: 739), Wang seeks to bring (as he does in virtually all of his work) China to the rest of the world. Because “there are rich ecocritical resources in classical Chinese philosophy and thought, especially in Daoist (Taoist) and Confucian doctrines” (2014a: 740), resources that are virtually foreign to most Western scholars, Wang could hardly be timelier. His 2014 Special Cluster in the flagship journal of the Association for the Study of Literature and Environment (ASLE) brings together a collection of articles that, along with his introduction, Wang hopes will allow readers “to learn about the state of ecocritical studies in China” (2014a: 747). Wang begins his introduction to the special cluster with a few comments about the clear skies of Beijing that he was experiencing while writing, skies made clear by the government’s temporary shutdown of factories for the APEC meeting. Six years later, in 2020, and continuing sporadically throughout the entirety of 2021, the skies were again clear—and as abruptly. There are several issues that require comment here. One has to do with misconceptions about China. As everyone knows, the air quality in much of eastern China is poor, and, to be sure, as Wang observes, “in the capital city Beijing and its surrounding areas, people often endure hazy, smoggy air, seldom seeing blue sky and white clouds” (2014a: 739). Yet, I worry about not addressing the remarkable difference between China and the rest of the world in terms of per capita pollution. Wang does *not* mention these. To put things in perspective, China (considered by many to be one of the

worst polluters) has a per capita CO₂ emission rate of 7.38 tons; Canada (considered by many to be one of the cleanest nations on earth) has a per capita CO₂ emission rate of 18.58 tons (see Worldometer, Works Cited). Per capita, China is remarkably clean; Canada, filthy. The other thing that really stands out about the clear skies of Beijing, both in 2014 and at the turn of the decade, is that “we can do it,” to borrow a phrase from Barack Obama. Without a doubt, we *can* shut things down, stop the madness, and get ourselves onto a better trajectory—but there will be economic consequences, and we are more frightened of these than we are of climate change. That’s a problem. Wang Ning is clearly a part of the solution in how he brings the world together and teaches the West lessons from the East. Yet, the binary such a comment suggests is misleading. Indeed, hybridization is an important topic about which Wang theorizes, though he does not seem to use the term very much—even so, it is clear in his scholarship that he is familiar with the concept (see 2013b: 6). He talks about the importance of dialogue and of the cross-fertilizations that happen when cultures meet, about “glocalization” and “Sinicized” theory.

A global influencer of the very meaning of “world literature,” Wang fashions himself an objective commentator. There seems an impulse to work within a kind of objectivity (one we imagine driving the hard sciences) in Wang’s message: “literary history should only be written as the history of literature rather than as that of ideology or political movement [*sic*]” (2004a 57). This kind of a statement is obviously open to accusations of naïveté and tautological thinking, for surely literature is first and foremost ideological (how can it not be?), while literary history itself must therefore be, whether we like it or not, a history of ideology and its discontents. Perhaps Wang’s comments are really about the need for scholars and critics to keep an eye on the potentials for literature to be used for the purposes of propaganda. Yet, when Wang goes on to state that “politically oriented literary historians always identify literary history with political or ideological history, thus ignoring the internal logic and law of development of literature and culture proper” (2004a: 58), it is clear that Wang either misunderstands theories about new historicism and cultural materialism or simply disagrees with them. It is a mistake to argue that these theories are in opposition to or ignore “the internal logic and law of development of literature and culture.” Another problem here is that Wang isn’t simply talking about literature and culture but, to use his words, “literature and culture *proper*” (emphasis added), as if literature and culture exist in some ethereal zone outside of ideology. If indeed it is possible to view, as Wang does, “Chinese literature as a code of the time and culture” (2004a: 58), which I firmly believe it is, then we must also recognize that there is no time or culture outside of the ideologies

that produce and are reproduced by them.

While there should be no doubt that the work of Wang, like that of Shakespeare, has global impacts, Wang is far from being a detached or objective voice—no more than was Shakespeare. Indeed, Shakespeare's bigness of spirit and his inclusive thinking are well documented, but he was, nevertheless, all too human in his prejudices. The credulous Moor, the bloodthirsty and spiteful Jewish money-lender: one does not need to look too far to see Shakespeare's prejudices. Perhaps he was simply reflecting the prejudices of his time, but this does not exculpate him. His deeply humanizing portrait of Shylock is a perfect, if ambivalent, example:

Hath not a Jew hands, organs, dimensions, senses, affections, passions? Fed with the same food, hurt with the same weapons, subject to the same diseases, healed by the same means, warmed and cooled by the same winter and summer, as a Christian is? If you prick us, do we not bleed? If you tickle us, do we not laugh? If you poison us do we not die? And if you wrong us shall we not revenge? If we are like you in the rest, we will resemble you in that.
(Shakespeare, *The Merchant of Venice* 3.1.59-68)

One short phrase, as any Jew will know (and I am a Jew), gives the lie to Shakespeare's magnanimity here: Jews are *not* fed with the same food—no pork, no sirloin steaks, no rabbits, no oysters, no shrimp, no lobsters, no crabs, no squid, no octopus. No, we are *not* “fed with the same food.”

Wang Ning's all too human prejudices are, like Shakespeare's, just below the surface. His work is unmistakably peppered with a nationalist enthusiasm that perhaps sometimes may seem out of place in a scholarly article. For instance, in one set of discussions, he explains that “the Chinese economy has become the second largest world economic entity and will hopefully surpass the United States in the years to come” (2017a: 34). Why “hopefully”? I would imagine that the Chinese response would be swift and condemnatory to an American author expressing a hope for China to fall behind in any way. It is a small phrase, like those we find in Shakespeare, that reveals a lot about the author's nationalist footing, and it is something to keep an eye on. The anti-Semitism of Shakespeare's *The Merchant of Venice* was not lost on history. In an article entitled “Shylock and the Pressures of History,” James Bulman explains that “the Third Reich exploited [*The Merchant of Venice*] as comic propaganda against Jews who—hook-nosed devils all, intent on bringing Germany to financial ruin—were being herded toward the Final Solution” (143). One can never tell what uses history will have for even the very best minds,

to be sure, and the work of Wang Ning, like that of Shakespeare, is positively brimming with wit and wisdom and should be weighed judiciously for the good that it does rather than the bad that it *could* do—even so, some may find the nationalism chilling.

One of the things that characterizes a lot of Wang's work is the notion that there is something pernicious going on in the world, some xenophobic force that is marginalizing Asia. He states, for instance, that "Chinese literature has largely been marginalized on the map of world literature since the late Qing Dynasty" (2013a: 393), but the passive construction here leaves out the agent. Later in the same article, he answers the implied question about *who* is doing this marginalizing and for what reason, explaining about the prejudices of the Western audience. We should note at the outset that this is an essentialist and misleading statement in that it assumes a monolithic stance and argues for a oneness, and this is just not a very honest representation of the diversity of the West. Surely the Norwegian audience is as different from the American as Chinese cultures¹ are from the Japanese? To say that "the Western audience has some long-standing bias against the Orient and Oriental people" (2013a: 394) and that "Chinese people are uncivilized" (2013a: 395) in the eyes of this mono-racial, monolithic constituency that Wang imagines simply lacks credibility. Wang does not specify to whom he refers when he talks about people "many of [whom] have never been to China, [and to whom] the country is backward" (2013a: 395). It seems to me that rather than flailing in dithyrambs of his own racist abstractions, it might be better to cite how specific examples of racism in the United States work in the continuing global marginalization of Asia in general. The lack of representation of Asians in film and television in the twentieth century (except as stark stereotypes) would be one place to start, but Wang does not seem much interested in this matter. He talks about how "numerous Western literary works [are] available in Chinese, but very few excellent Chinese works [are] translated into other languages" (2013a: 393), and he wants to "bring [Chinese] culture and literature to the world" (2013a: 393). It is a noble goal, one would suppose, despite its ringing overtones of nationalism, and to achieve this, there is a clear need to understand why the flow of culture has been largely one-way. For Wang, there are three reasons. One of these has to do with the racism Wang sees, the "long-standing bias against the Orient and Oriental people"

1 I use the plural, since there are many different ethnic groups—some recognized, some not—in China. It is surprising and troubling that Wang does not recognize the diversity in his "West," since he clearly recognizes the folly of assuming cultural homogeneity in China: "Since China is a large country containing multiple nationalities, its cultural identity should be multiple" (2004b: 595).

described above that Wang imagines in “the Western audience.” There is certainly anti-Asian racism in the United States, as there is in New Zealand and Germany, but it would perhaps not be prudent to see them as being the same. Surely, as there are multiple cultural identities, so too must the kinds of biases be understood as multiple and complex. Wang’s over-simplification is a liability, not a valuable addition to thinking on this topic. Moreover, one has to challenge the notion that it is *all* of the Western audience that has a “bias against the Orient and the Oriental people.” Wang’s unqualified statement that “the Western audience” is racist is surely an example of precisely the kind of broad generalizing that Wang is supposedly criticizing. Wang’s second theory about the uni-directionality of cultural flows has to do with “the disability and absence of excellent translation” (2013a: 395) of Chinese works into English. To me, this looks tautological: the reason for the lack of translation is a lack of translation. Wang’s third reason is that classical Chinese literature is “far from the reality of the current consumer society [and therefore] may not be attractive to contemporary readers even if English translations are available” (2013a: 396). This does not make much sense to me either, since surely Homer and Beowulf are similarly distant. Of Wang’s three reasons for the uni-directionality of cultural flows, it seems to me that the premise of anti-Asian racism needs the most attention, even though his discussions clearly miss the precise target.

It is curious to me how Wang misses what seems to be obvious—namely, that it is less that mainstream America imagines China as being backward and uncivilized than as being a potent threat. Isn’t it precisely a fear of the power of Asia that is being expressed in the racist “Yellow Peril” (a phrase coined in 1897) cultural phenomenon? And isn’t it less simply a racist fear of the number of Asians in the world than of the economic power of Asia in general, and isn’t it this the fear that is behind racist anti-Asian advertising? Renault certainly exploits this message



Figure 1: Racist Renault Car Advertisement

in their advertising (see Figure 1). In the summer of 2000, the Renault car company ran an advertisement that appeared on a billboard in downtown Auckland, New Zealand (and presumably in magazines and other places as well), with a picture of a car called “Scénic,” the words beside it reading “Because Japanese cars all look the same.” The comment “they all look the same” (a comment with which the Renault advertisement bears a striking similarity) is one that rolls easily and frequently off of the tongue of racists. The xenophobic, anti-import sentiment of the advertisement is clear. Anti-Asian sentiment in America is neither new nor based in literary matters.

One of the most profoundly understated comments of Wang has to do with the question about how to have literature “be appreciated by the reading public” (2016a: 386), for without this, there is no market for the literature and therefore no possibility for it to be recognized as world literature. For David Damrosch, “world literature” can “encompass all literary works that circulate beyond their culture of origin, either in translation or in their original language,” and “a work only has an *effective* life as world literature whenever, and wherever, it is actively present within a literary system beyond that of its original culture” (4). That it can survive translation and yet still be enlisted to convey “its original culture” seems a compromise of sorts. Yet, Wang seems to agree with Damrosch’s position and argues that “any valuable work of art, whether written in Chinese or any other foreign languages, could become part of world literature through translation” (2016a: 388). He identifies lack of translation from Chinese into English as “one of the reasons for the current marginal position of Chinese literature in the world” (2016a: 384).

Why, in Wang’s words, “contemporary Chinese literature has not produced excellent masterpieces of world renown” (2013b: 7) is a topic with which Wang struggles throughout his vast body of work. For Wang, translation seems to be the lynchpin of the problem. Yet, the racist “Yellow Peril” xenophobia, the Renault advertisements, the concentration camps, the absence of interest in (and often, indeed, the contempt and fear for) Chinese literature and culture—these are *not* based on translation. It might be more fruitful to look at the fundamentally different cultural values between East and West, between the “me culture” that characterizes Western individualism and the “we culture” that characterizes so much of Asian philosophy. One has to wonder, therefore, how this widely recognized and enormously consequential cultural difference plays out in the *structure* of various literary forms—a topic about which Wang is silent.

Bringing Chinese literature to the West is surely *not* simply a matter of translating stories, plays, and poems as they are but re-writing them to suit the tastes of the target audience, a point Wang accurately understands. Wang argues that “even

if translation is part of a process of ‘colonisation’, this process is not uni-directional” (2002a: 287) and that translation of Chinese material for Western constituencies “will in turn inspire and influence the West” (2002a: 288). Yet, unless we are going to play fast and free with the definition of “colonization,” we will need to slow down a bit here and recognize that “inspire and influence” are certainly not examples of colonization. We have to think about whether the importing of words from one culture to another is really *on any level* an example of colonization, as Wang seems to argue that it is (2002a: 289), because if it is, then we will need to revise the entire global history of language formation. Many words simply have no translation and are therefore absorbed into other languages. Try, for instance, to translate “kimchi” into English. Surely absorbing the word into English is not colonization? Indeed, Wang’s understanding of how languages develop is nuanced, but absorption of words from other languages is clearly not the “colonization” that he imagines it to be. Moreover, his concept of “purity” seems deeply flawed. When he talks of “the purity of Chinese” (2010c: 159), one wonders about what he means by “pure.” Does he use “the purity of Chinese” in the same sense that the Germans used the phrase “the purity of the German language” (Reinerhaltung der deutschen Sprache) in 1933 (see Figure 2)? Again, the nationalist overtones and the choice of words are chilling. Wang nevertheless understands that hybridization is part of the growth of a language and its becoming “a major world language” (2010c: 167). There is, therefore, a larger issue here that seems to require comment, and it relates with Wang’s observation that “there are few non-Chinese who fully understand Chinese and comprehend all the nuances of Chinese culture and the subtlety of Chinese aesthetics” (2002a: 288). Given the close relationships between cultures and the structures of their narratives, it thus becomes important to consider how Chinese short stories, novels, drama, and poems are to be translated in terms of the formal aspects of the literature: how do literary structures themselves figure into all of this?

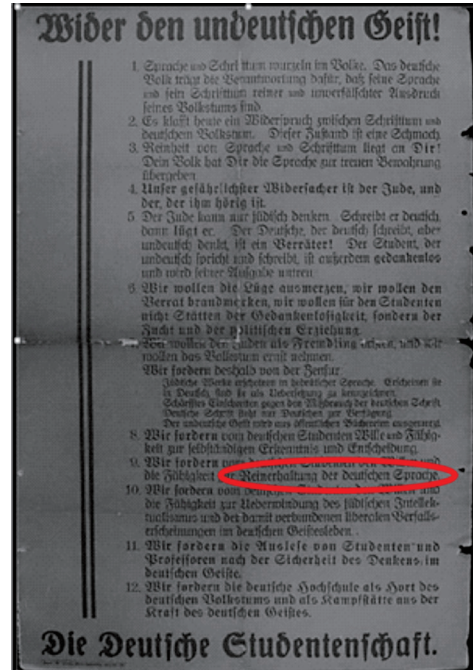


Figure 2: The Twelve Theses (see de Klein, Works Cited)

It is surely important to translate the structure and to ask if *re-structuring* is tacitly understood as part of the entire process. If the latter, then what cost translation? Certainly at the level of the essay, Wang's work largely follows the Western essay model. It is a foreign model in much of Asia. In my quarter of a century of living in Asia, some of it in China, if there is one thing that I have learned, it is that the Western essay structure does not come easily in much of Asia. One of my colleagues in China told me simply "we don't like to start arguments or fights. An essay needs an argument. The Chinese essay is more about explaining data and details than starting and finishing an argument." When Wang examines the "re-writing" that is involved in translation (see 2013c), what is missing for me are comments about the differences between literary structures, East and West. His seemingly spurious claim that "no one has so far dealt with the issue of world drama from a theoretical and comparative perspective" (2019b: 7) results in a disappointingly empty verdict: "we could conclude ... that world drama ... has different versions along with the huge difference between different cultures, especially between Eastern and Western cultures" (2019b: 20). So what?

There are clearly many issues at play, one of which is what Wang describes as "China's long-standing isolation from the outside world and its conservative attitude to foreign influences" (2012a: 618). In addition, precisely what defines the parameters of "world literature" remains problematical, and Wang very usefully outlines at least some of the questions that need to be addressed.¹ His conclusion is that "there is no such thing as the singular form of world literature" (2011b: 296). Again, this is a rather obvious statement that seems to lack analytic rigor, leaving the reader wondering again, "so what?"

What is it precisely, for instance, that is missing in C-Pop but that is driving the international appeal of, say, K-Pop? What is the Chinese equivalent of Hallyu (The Korean Wave, 韓流)? To what degree do the economic formations and political ideologies of each country play a role in the international marketing of their

1 In his "Introductory Remarks" to a *Neohelicon* Special Issue entitled , Wang identifies ten questions that need consideration: (1) To what extent does world literature exist in the age of globalization? (2) What is the significance to reconstruct world literature by expanding the literary boundary? (3) What is the dynamic role played by translation in reconstructing world literature? (4) Is it possible to write a new history of world literature in different languages, especially in English and Chinese? (5) What works should be regarded as world literature? (6) What is the criterion in judging the quality of world literature? (7) What contributions has postcolonial writing made to the reconstruction of world literature? (9) What contributions has Chinese American literature made to canon reformation? (10) Is it necessary to anthologize world literature as literature proper is severely challenged by other means of representation in the present era? (2011a: 247) Even though Wang articulated these questions a solid decade ago, they remain very relevant still.

cultural products? To what degree does unfettered self-expression play a role? If “a challenge against [*sic*] elite culture and literature” (2004a: 56) is a pre-requisite for literature, music, or other art to become a part of a globalized body, then where exactly does this leave Chinese art? Will it all dilute in the waters of global consumer culture?

Wang worries about consumer culture and notes that “some humanities scholars and critics in China are now very much worried about the prevalence of consumer culture and art” (2012b: 510). China’s involvement in the development of consumer culture is, for Wang, unquestionable: he argues that “dialectically speaking, the rise of consumer culture is symbolic of postmodern society and a direct consequence of China’s involvement in the process of globalization” (2014b: 245). He notes that “today, in an age of globalization, Chinese literature, like literatures elsewhere, is severely challenged by the rise of popular culture and consumer culture” (2010b: 327) but that “we should realize that globalization has, in homogenizing national cultures, also offered China a precious opportunity to bring its culture and literature to the world” (2016a: 384). Wang discusses some very material aspects of China’s cultural expansion, including the enormous infrastructural “Belt and Road Initiative” of Xi Jinping that seeks to physically and diplomatically connect China with other countries. Wang, correctly I think, maintains that this initiative “appeals to economic development, but also to cultural development” (2017a: 34). Indeed, “global popular culture and consumer culture” *do* offer China great opportunities to hit a global audience; therefore, it is odd for Wang to ask without much hope of a positive answer, “How shall we face the severe challenge caused by the rise of popular and consumer culture?” (2006: 156). The answer to me seems self-evident: we use it. We use it to as a strategic step to bring Chinese culture to a more global audience. Admittedly, commodifying and fetishizing cultural products is reductive and essentialist, but it is a strategic reductionism, a strategic essentialism, a temporary thing—like offering a taste of a food item in Costco rather than offering the entire product. If people like it, then they will buy the whole thing.

There is undeniably a global impulse to buy the whole thing, to invest the time and energy to get a more comprehensive taste of China—to wit, the global impulse to learn Chinese, as a language, an impulse promoted at least in part by Hollywood films that feature sophisticated heroes who unexpectedly break out into Chinese. Within Chinese media itself, the term “Chinese fever” (中文热 *zhōngwénrè*) has come into vogue to describe this phenomenon. Wang references “Chinese fever,” which he sees “as a direct consequence of the globalization in culture” (2010c: 159)—presumably he means here the globalization of Chinese culture. My guess

is that there is a little bit more involved here. A short anecdote will illustrate this well. I met a man wearing a t-shirt with UCLA emblazoned on it in HongSeong, a small town in South Korea. I asked if he knew what it meant. He said “uck rrah” and paused and then added “mee gook” (미국, which means “American”). Clearly, he thought that UCLA was a word and not an abbreviation (and thus he tentatively pronounced it for me), but of one thing there was no doubt: it stood for the USA—like Levis or Coke. I thought about the commodification and fetishization of culture and was reminded of the how young Americans sometimes tattoo Chinese words on their bodies. The commodification and fetishization of American objects in HongSeong and of Chinese words in the West are perhaps worthy of attention here. Children used to run up to me when I lived in HongSeong to say “Hello, pleased to meechoo,” and they clearly thought that this made them look cool in the eyes of their friends. They had acquired cosmopolitan sophistication because they could speak English—as an American does by suddenly breaking out into Chinese in a movie. One thing is certain, and Wang could not be more accurate: “the recent popularization of the Chinese language and culture worldwide should [...] be taken into serious consideration, for it will contribute a great deal to the remapping of the world language system and the rewriting of literary culture by pointing out a new orientation of literary historiography” (2010c: 160). This is a fabulously exciting time to be alive indeed, and as Chinese becomes more and more a global language, the kinds of exchanges of information and culture are unfathomable. It sometimes takes small steps across ugly terrain to get to beautiful places, and perhaps these steps—among them, the commodification and fetishization of culture—will indeed take us to a world where we communicate better not by translation but in the very source language itself. This is the goal, and it is one that Wang Ning is taking us toward. Wang states, however, that “we should still admit that the position of English as a world lingua franca cannot be changed” (2010c: 164). I am not entirely convinced of this. Nor, I think, is Wang. I certainly hope not.

Wang’s breadth of theoretical discussion is impressive, to say the least. Some of this is nuanced and profound in its insights; some not. Of the former category, his work on global Chinese(s) shines, with deep reflections about implications and complications from the spread of the Chinese language and the “Chinese fever”; of the latter category, the unabashed nationalism he at times articulates reveals a singular uninsightfulness and perhaps even deafness to some of the historical resonances of his words. Wang is, nonetheless, like Shakespeare, and we may nitpick at his foibles and his all too human prejudices, but his growing global canon articulates hope and growth. Wang is aware of the resilience and spirit of

hopefulness that has long characterized China and stresses, for instance, that when we recollect the World Wars in China, “we are actually reflecting on the bitter past history and pointing to a bright future” (2019c: 131). After all, within a few years of the end of the First World War, the Chinese Communist Party was founded (it was 1921), and within a few years of the Second World War, Mao Zedong affirmed the creation of the People’s Republic of China (it was 1949).

There are clearly many, many issues involved with the topic of cultural migration that Wang addresses, and he is often subtle in his discussions. One of the subtle issues that comes out of Wang’s discussions, to give but one example, has to do with respect: simply dropping the cultural material from one place to another will not work, and the transfer of cultural material absolutely must be done with respect for the receiving culture. Nowhere is this more clear than in the case Wang gives of the Chinese college students using Ibsen’s *Enemy of the People* “as a weapon to fight against environmental pollution and social corruption in contemporary China” (2017b: 134). They were met with “interference from different levels of the local government” (2017b: 134). What is an acceptable form of protest in the political and cultural terrain of one country is not necessarily so in another.

Like Shakespeare, Wang Ning traverses terrain littered with potholes and puddles as he steps across cultures and continents in his scholarly work. The products that Wang and Shakespeare have fashioned reflect intimate understandings of their respective contemporary worlds, reveal a wealth of personal and national aspirations and visions, and document virtually unparalleled sensitivities to the needs of their audiences. The brightness of this work should neither blind us to some of the missteps of Wang and Shakespeare nor render these men infallible in the eyes of history. As an ongoing process, the work of Wang Ning indeed shares remarkable similarities with the work of Shakespeare. As Shakespeare did, Wang is bringing the products of a richly vibrant culture to the global stage. He is making the world listen. He is making the world one.

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Wang Ning's Theoretical World and Its Application: Cosmopolitanism, World Literature and the Internationalization of the Chinese Humanities

Yang Chan

Abstract: As a renowned literary theorist and comparatist, Wang Ning has been actively engaged in discussions of several concepts from “glocal” perspectives. This paper argues that there is a remarkable and inspirational “pattern” in Wang Ning’s theoretical reconstructions of “glocal” phenomena in the field of literature and other disciplines of the humanities. It illustrates this “pattern” by looking in detail into how he interprets the concept of “cosmopolitanism,” how he reconstructs theories related to “world literature,” and finally how he views the direction of the internationalization of the Chinese humanities. If this pattern could be followed more widely by relevant scholars, their research would undoubtedly take a new leap forward.

Keywords: Wang Ning; cosmopolitanism; world Literature; chinese humanities

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标题：王宁的理论世界及其应用：世界主义、世界文学和中国人文学科的国际化

内容摘要：作为文学理论家和比较文学学者，王宁积极地在“全球—地域”视野下探讨若干理论概念。本文认为，王宁在理论构建文学和其他人文学科中的“全球—地域”现象时，创造了一种独到且极具借鉴价值的研究范式。本文通过重点探究王宁如何理解“世界主义”概念，如何重构“世界文学”理论体系，以及如何看待中国人文学科的国际化，以期向读者展示此范式及其贡献。如果能将王宁的研究范式推而广之，中国乃至世界各国的相关学者及其研究都将受益。

关键词：王宁；世界主义；世界文学；中国人文学科

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Wang Ning has been actively engaged in discussions of several concepts from “glocal” perspectives, such as “postmodernism,” “cosmopolitanism” and “globalization,” among others. Moreover, he has successfully applied these concepts to the Chinese context, and has employed them to promote China’s literature and other humanities disciplines globally, by finding the universality of the Chinese humanities, analyzing the reasons for their relatively marginalized position on the world stage, and pointing out directions as to how to internationalize the Chinese humanities. In Wang Ning’s efforts to theoretically reconstruct “glocal” phenomena in the field of humanities, there is a remarkable “pattern.” First, he forms his own theoretical frameworks by analyzing relevant conditions in China and by drawing inspiration from various strands of thought (of both Chinese and foreign origin). He then applies these frameworks to the Chinese context and, ultimately, he promotes relevant Chinese practices on the world stage. This pattern is inspirational, not only for Chinese scholars and foreign sinologists, but also for any researcher who is interested in “glocal” debates.

In this paper, the author will try to elaborate on this “pattern” in Wang Ning’s theoretical world, and its inspirations. Firstly, it will focus on demonstrating how his accumulated thinking on “cosmopolitanism” over the years has enabled him to develop his own framework for “world literature” and to apply this framework to the Chinese context. It will go on to discuss his views on the internationalization of the Chinese humanities. Many scholars both in China and in other traditionally “peripheral” areas of the world literature landscape, tend to be primarily enthusiastic about introducing relevant western theories and concepts into their countries. Wang Ning’s pattern, if it is followed, can help scholars to make a new leap forward—that is, to have equal conversations with western scholars, to reconsider western theoretical frameworks of world literature critically, and even to develop their own theoretical frameworks from Chinese perspectives. Wang Ning’s example can also encourage these scholars to take up the mission of “de-marginalizing” their nations’ positions in the world literature landscape. This, in turn, will significantly enrich the research of world literature as a whole. These kinds of positive chain reactions are likely to occur in other research fields of the humanities as well, if lessons are drawn from Wang Ning’s example by relevant scholars.

From “Cosmopolitanism” to “World Literature”

When talking about the pioneers of “cosmopolitanism,” the Ancient Greek philosopher Diogenes (400–325 B.C.) might be the first to come to the minds of many scholars, including Wang Ning. Diogenes was born in Sinope, a colony along

the Black Sea coast of Anatolia (modern-day Turkey). He went into exile because of a scandal related to the adulteration of the coinage. He then eventually settled down in Athens, where he became one of the most famous Cynics. He advocated self-sustenance and the need for natural and uninhibited behavior, irrespective of social conventions. His sense of identity was also “unconventional”: for instance, he answered, “I am a citizen of the world” when he was asked where he came from (Nussbaum 5). As Wang Ning has explained, most Greek people at the time (including Plato and Aristotle) lived in their own city-states, followed particular sets of values and political doctrines prevailing there, and either identified with these city-states or, at a stretch, with the culturally homogenous Hellenic people. Arguably, Diogenes’ cosmopolitanism can be largely attributed to his cross-boundary travels and the diaspora experience.

Diogenes’ idea as regards the “world citizen,” which is a core component of “cosmopolitanism,” would inspire generations to come. For instance, the adherents of Stoicism, which was a philosophical school founded a century later, argued that each person “dwells [...] in two communities—the local community of our birth, and the community of human argument and aspiration.” They also called for each person to regard himself/herself as concentric circles, with the smallest circle around the individual, followed by family, local group, citizens, countrymen, and humanity; and each person, as a citizen of the world, should “draw the circles somehow towards the centre, making all human beings more like our fellow city dwellers, and so forth” (Nussbaum 9). In this sense, cosmopolitanism is indeed echoed in some ancient Chinese ideas, which have been interpreted by modern scholars as manifestations of cosmopolitanism as well, like *tianxia* (all under heaven), and *sihai zhinei jie xiongdi*. The latter phrase represents a Confucian doctrine, translated beautifully by Wang Ning as the idea that Chinese people should “view all those coming from afar’ as friends” (Wang Ning, “Cosmopolitanism and the Internationalization of Chinese Literature” 172).

Wang Ning is of the opinion that Christopher Columbus’s discovery of the American continent between 1492 and 1502 made him one of the earliest cosmopolitans in action. With the discovery of the New World, an age of capitalist expansion started, during which weak countries’ national industries were absorbed into the capitalist world market and a new division of international labor was formed. All these laid the groundwork for the phenomenon of globalization. Although a few scholars have traced the history of the globalization process to the third century B.C., most scholars hold that this process began in earnest in the eighteenth century, thanks to the development of transportation and communication

technologies. Alongside the turbulent process of the development of globalization, the ancient idea of cosmopolitanism also evolved into a modern concept.

An inescapable name when discussing modern cosmopolitanism is Immanuel Kant (1724-1804). He was born in Königsberg, which was the capital of East Prussia and a major commercial center, military port and cosmopolitan university town at the time. In his 1795 article "Perpetual Peace: A Philosophical Sketch," Kant put forward a term *ius cosmopolitanum* (cosmopolitan law/right, a third category of law, in addition to constitutional law and international law), as a way to help the world to achieve enduring peace. Cosmopolitan law, which is closely related to the universal rights of humanity and international political rights, maintains that all human beings are equal members of a universal community, and acknowledges the rights of individuals as citizens of the universal community rather than of particular countries. Wang Ning tends to agree with some critics who found inconsistencies in these ideas of Kant, and he suggests that these inconsistencies were partly caused by the tension of the concept of "cosmopolitanism" itself. Still, Wang Ning suggests that Kant's cosmopolitan thoughts not only laid a foundation for debates concerning cosmopolitanism in the nineteenth century, but also are still influencing current discussions on this concept.

Wang Ning also holds Karl Marx (1818-1883) and Friedrich Engels (1820-1895) in high regard, in terms of their contributions to the development of the concept of "cosmopolitanism" during the early phase of the globalization process. Like many advocates of cosmopolitanism, Marx was also a cosmopolite, whose Jewish background and communist beliefs "contributed to his choice to travel and settle everywhere as a citizen of the world, conflating diaspora with homeland and work in the interests of humankind" (Wang Ning, "Cosmopolitanism and the Internationalization of Chinese Literature" 169). In the 1848 *Communist Manifesto*, Marx and Engels argued that capitalists would expand tirelessly and would be full of enthusiasm about breaking down the boundaries of nation-states, in order to obtain maximum surplus value. They also identified a parallel process of intellectual expansion. Consequently, economic and cultural production, circulation and consumption would no longer be limited to one country, but would spill over into foreign territories and even to other continents. Marx and Engels's arguments reflected a kind of greatly enlarged cosmopolitan vision, which encompasses everything in the industrial, political, literary and cultural fields, among others. Wang Ning indicates that two revolutionary aspects of this enlarged cosmopolitan vision are, its high evaluation of the proletariats of all countries, and its idea that "all individuals share fundamental characteristics and common interests" (Wang Ning, "Cosmopolitanism

and the Internationalization of Chinese Literature” 170). So, all of humankind, even those people residing in the most “outlying” regions of the world, can benefit from, and at the same time bring benefits to, cosmopolitanism.

“Globalization” as a theoretical concept appeared in the early twentieth century and came into popular use in the 1990s. Wang Ning suggested that western scholars’ enthusiastic studies about theories of globalization in recent years have generated a renewed interest in cosmopolitanism. Wang Ning also found that the contemporary meaning of cosmopolitanism approximates that of globalization. According to him, the term “globalization” implies “a sort of development, process, tendency, and change,” “covers all aspects of economy, politics, and culture,” and refers to an “increase of the social relations crossing the boundaries of nation-states at large.” The currently constructed discourse of globalization also maintains that all people share some fundamental ethics and rights transcending national boundaries. On the other hand, Wang Ning argues that the definition of cosmopolitanism today is still inconsistent and sometimes confusing, and cited Craig Calhoun to exemplify the multidimensional orientations and contradictions of cosmopolitanism in one of his articles; still, he considers the core of cosmopolitanism to be consistent and similar to that of globalization, namely the idea that “all human beings, regardless of their ethnic or other affiliations, belong to a big single social community,” and that national boundaries should be broken down in order to oppose “patriotism to some degree and nationalism entirely” (Wang Ning, “Cosmopolitanism and the Internationalization of Chinese Literature” 168).

More importantly, Wang Ning pointed out that although the political pursuits of both cosmopolitanism and globalization are problematically utopian, their literary and cultural goals can be realizable. He mentioned the foundations of the League of Nations and United Nations as examples of such political utopianism and argued that these organizations of global governance cannot replace state governments, and cannot lead towards a so-called world government. Still, he suggests that “today’s new cosmopolitanism transcends the old cosmopolitanism on the ethical level and the limits of Kant’s legal cosmopolitanism and becomes a sort of cultural cosmopolitanism” (Wang Ning, “Cosmopolitanism and the Internationalization of Chinese Literature” 171). In other words, cosmopolitanism is achievable in the cultural field.

Interestingly, the rejuvenation of cosmopolitanism, according to Wang Ning, also brought about the recent academic craze for world literature. But the ties between cosmopolitanism and world literature were formed much earlier. Some literary scholars, being influenced by cosmopolitan ideas, have been engaged in the theoretical construction of world literature since the advent of globalization in the

eighteenth century. Wang Ning has also left his own mark on this ongoing endeavor. His theoretical framework for world literature is especially informative for literary works produced in the “peripheries” of the world literature map, like China and other developing countries. What is more, this framework is applicable to other disciplines of the humanities, including philosophy and history.

Fascinated by Chinese novels, Persian and Serbian poetry and other non-European literary works, Johann Wolfgang Goethe (1749-1832) declared in 1827 that “national literature is now a rather unmeaning term; the epoch of world literature is at hand” (Eckermann 132). In a collection of essays, Goethe elaborated on his ideas about world literature, and argued that the rise of world literature was driven by a new world market in the literary field. This argument was also supported by Marx and Engels, and has been endorsed more recently by the contemporary world literature thinker David Damrosch (1953-present).

Subject to the rules of the market in the era of globalization, the capitalization of the international literature market inevitably causes problems of imbalance and unfairness in the world literature spectrum. That is, the literary works produced in the economic, cultural or ideological center often “invade” literary markets in the peripheries, which are read, respected and emulated by the readers there; meanwhile, the reverse process is extremely difficult. Wang Ning pays special attention to scholars, like Franco Moretti (1950-present) and Douwe Fokkema (1931-2011), who are keen on tackling these problems. Based on Moretti’s mode of “distant reading,” many more works, especially those non-western and non-classical works which have been largely ignored by world literary scholars and critics, can be read and examined, and therefore a much larger-scale and all-encompassing world literature map emerges. As regards Fokkema, Wang Ning suggests that he values the cultural plurality and diversity provided by globalization; and that from these aspects of globalization, as well as from his training in sinology and comparative literature, he is able to go beyond the old-fashioned Eurocentric versions of cosmopolitanism and to find a sort of alternative cosmopolitanism and world literature in non-western contexts.

Wang Ning’s own theoretical construction of cosmopolitanism and world literature argues for a similar plurality and diversity of globalization, but to an even greater extent. For instance, he holds that world literature can be defined as “a canonical body of excellent literature of all countries, regardless of region,” “a global and cross-cultural perspective and a comparative horizon in the study, evaluation, and criticism of literature in general,” and also “a literary evolution through production, circulation, translation, and critical selection in different languages” (Wang

Ning, “Cosmopolitanism and the Internationalization of Chinese Literature” 168). He defines ten forms of cosmopolitanism which can assist in the study of world literature:

(1) something transcending the nationalist form, (2) a pursuit of moral justice, (3) a universal human concern, (4) a cosmopolitan and even diasporic state, (5) something decentralizing and pursuing a pluralistic cultural identity, (6) a pursuit of human happiness and cosmopolitan unity, (7) a political and religious belief, (8) a realization of global governance, (9) an artistic and aesthetic pursuit, and (10) a critical perspective from which to evaluate literary and cultural products. (Wang Ning, “Cosmopolitanism and the Internationalization of Chinese Literature” 172)

By advocating cosmopolitanism and world literature, Wang Ning does not intend to demean the importance of nation-states. On the contrary, he insists that literary critics should keep conspicuous national characteristics in mind. However, he presses for equal attention to be given to more universal characteristics and common aesthetics when conducting literary criticism. What Wang Ning really wants to do, perhaps, is to combine locality with cosmopolitanism, by exploring how literary works produced locally can represent cosmopolitan ideas, in contrast to nationalism. His attempts have been greatly successful, leading to the conclusion that “cosmopolitanism and world literature do not contradict local, regional, or nationalist sentiment, except in its narrowest and most exclusive varieties” (Wang Ning, “Cosmopolitanism and the Internationalization of Chinese Literature” 179).

Wang Ning offers persuasive arguments and case studies to illustrate the above-mentioned conclusion in his work. For instance, he argues that masterpieces often represent themes of universal significance, such as love, death and jealousy, in ways that can provoke enduring interests among their readers. Therefore, these pieces can actually transcend the limits of national boundaries and time and become world literature.

Furthermore, Wang Ning also goes to great effort to elaborate both the global and local natures of literary works produced in mainland China. For instance, although he acknowledges that Mo Yan (1955-present) is a monolingual writer, and always sets his novels in his native Gaomi county in China’s Shandong Province, Wang Ning also points out that these facts do not make Mo Yan a nationalist writer. Firstly, cosmopolitanism does not require multilingualism, and secondly, there are other authors, whose works are considered to be world literature, who also stick

to one particular place in their stories, such as William Faulkner's (1897-1962) fictionalized Yoknapatawpha County in the southern US. Thirdly, Mo Yan has been influenced greatly by foreign writers like Gabriel García Márquez (1927-2014), and has written not only for Chinese readers but also for readers throughout the world from the very beginning. Lastly, and most importantly, Mo Yan's novels touch upon fundamental issues and experiences shared by all mankind. Likewise, Wang Ning implies that although the stories told by Yan Lianke (1958-present) happened in China, they are blessed with universal importance and can be easily understood by foreign readers through translations: "It seems that the more local a writer is, the more likely it is that his/her works may become more cosmopolitan with the help of translation" (Wang Ning, "Cosmopolitanism and the Internationalization of Chinese Literature" 179).

Apart from constructing a theoretical framework for world literature as a whole, Wang Ning has also constructed theoretical frameworks for genres within world literature, such as "world poetry" and "world drama" (Wang Ning, "From World Literature to World Drama" 2018).

What is more, in addition to the literary field, Wang Ning is interested in discussions about "cosmopolitanism" in other disciplines of the humanities. For example, he introduced a philosophical concept similar to world literature in one of his articles, that is, the "world philosophy" put forward by Chung-ying Cheng. In "world philosophy," philosophers also construct a philosophical system based on the "fullness of global traditions of thought (Peters 426)." Much like Wang Ning's efforts to improve the position of Chinese literature globally, Cheng has also devoted himself to promote the universality of Confucianism on the world stage (Cheng 152).

Although Wang Ning rarely discusses the discipline of historical studies, his theoretical construction of world literature is nevertheless of value for this discipline too. Cosmopolitanism has influenced historians worldwide for a long time. The field of world history (or global history) emerged centuries ago, was academicized in the mid-twentieth century, and has proliferated since the late twentieth century. Analogous to world literature, world history rose to respond to Eurocentric assumptions and the tendency of using the present boundaries of nation-states to limit the studies of the past. It concerns two fundamental questions, namely, how historical dynamics have brought people of the world together, and how a "world history" can reveal the diversity of human experiences. In terms of its agenda, world history examines common patterns that can be detected across all cultures; networks, connections and systems that transcend linguistic, cultural and national

borders; and historical developments that have led to large-scale changes in human society, such as capitalist expansion, and the impact of these changes on different parts of the world. Some parts of Chinese history are definitely connected with the world through these kinds of patterns, networks or systems, such as the history of producing and trading porcelains in Jingdezhen town of China's Jiangxi province during the Ming dynasty. In light of Wang Ning's theoretical discussions of world literature, we can argue that aspects of China's national history should also be a concern for proponents of world history.

Promoting the Chinese Humanities

Wang Ning is distressed about the fact that China, which has had great literary achievements throughout its history and which maintained close contacts with the outside world in the cultural fields even during the most politically isolated periods like the Qing Dynasty, has been reduced to a marginalized position on the world literature map in the modern and contemporary era. It is equally depressing for Wang Ning that when talking about cosmopolitanism, Chinese literary practitioners and scholars are usually doing only one thing, that is, identifying Chinese literature with western literature one-sidedly. What is worse, they often consider the translation of western works into Chinese as the only effective way to integrate Chinese literature into the world literature system. According to Wang Ning's observation, in China, several publishing houses are nearly single-minded about publishing translated foreign literature, and many Chinese bookstores sell translated versions and even original versions of foreign literary works. Although numerous translations of western literary works are available and respected in China, only a small collection of outstanding Chinese literary works have been translated into other languages and well received in foreign countries. In British or American book stores, it is difficult to find English translations of Chinese literary works, let alone those in the original Chinese language.

This one-sided process of introducing western things to China can also be found in other areas of the humanities. For instance, Chinese school students have to spend a lot of time learning about western history, and many of them are familiar with details of historical events that happened in western countries, such as the American War of Independence and the French Revolution. By contrast, many western school children probably know little about Chinese history, apart from a superficial knowledge of Confucius and Chairman Mao Zedong. Many western historians' books are translated in Chinese, sell well, and are "enshrined" on the bookshelves of ordinary Chinese families, like the Greek Canadian historian

Leften Stavrianos' *A Global History: From Prehistory to the 21st Century*. But few westerners want to read translated works written by Chinese historians.

According to Wang Ning, Chinese literature is marginalized in the world literature and humanities landscape not because of a lack of excellent Chinese literary works that can be defined as world literature, but rather, because of three social and political aspects.

The first aspect is about translation, which plays an essential role in popularizing national literature in the global market. Wang Ning implies that because world literature is written in different languages, translation is indispensable for the reconstruction of literary works in different linguistic and cultural environments. He concurs with Walter Benjamin's assertion that many literary works, even masterpieces of great value, would have died or suffered marginalization without translations, which provide literary works with "continued life" or an "afterlife" beyond their countries of origin. The importance of translation to world literature has been stressed by many other scholars. Unfortunately, there is a shortage of both Chinese and foreign translators who can produce high-quality translations of Chinese literary works. Although foreign language training is emphasized in China, few Chinese people can write in a foreign language to the standard of a native speaker, and while some foreigners are interested in learning Chinese, it is extremely difficult for them to master this language.

Secondly, the bias of Orientalism has sometimes prevailed among western scholars and in the western mass media. There is a tendency among some ordinary western people to look down on literary and other cultural products from Asia, for they see nothing valuable in these products, except for exotic flavors. Most of the time, their imaginations about China are not the modernized achievements exemplified by skyscrapers in megacities, high-speed railways across the country or Taikonauts in the China-made space station, but traditional cultural treasures like Peking opera and the Forbidden City at best, and opium dens in old Chinatowns at worst.

The third reason is to do with the shrinking of the market of high cultural products in an increasingly fast-paced world. This reason is actually relevant to almost all countries. After a day of intense work, most people probably prefer to relax by watching short videos on YouTube or TikTok, instead of reading. If they have to read, they are likely to choose something easy or entertaining, such as Helen Fielding's romantic novel *Bridget Jones's Diary* or George Martin's fantasy novel *A Song of Ice and Fire*. These tired people are unlikely to choose difficult high literature, such as the American transcendentalist writer Henry David Thoreau's

Walden, or Kazuo Ishiguro's *An Artist of the Floating World*, the setting and protagonists of which are purely Japanese, let alone the translated Chinese classic novel *Dream of the Red Chamber*.

In addition to the three reasons listed by Wang Ning, there is one more reason to be considered. That is, the sense of linguistic superiority developed in English-speaking countries may prevent translated foreign literature from entering the domestic market of these countries. For instance, only works from Western Europe and North America were included in the first edition of *The Norton Anthology of World Masterpieces* in 1956, although, admittedly, works produced outside these regions started to appear in its "expanded edition" after 1995. Only 297 translations of foreign literary works were published in the US in 1999 (the total number of fictional and poetic works published in the US this year was 13,000), according to surveys of the National Endowment for the Arts Literature Program. In 2019, only 3% of titles published in the US were translations. This sense of linguistic superiority is detrimental to the appreciation of valuable literary works both from China and from other non-English speaking countries.

How, then, can scholars help Chinese literature and other disciplines of the humanities to escape from the "periphery" position? First of all, Wang Ning has called for the translation of Chinese literary masterpieces into the world's major languages. He mentions several efforts by the Chinese government in this regard, including the Chinese Writers' Association's decision to translate one hundred contemporary literary pieces into English, and the state's generous investment in the projects of teaching Chinese abroad through setting up hundreds of Confucius Institutes in foreign countries. In addition, China's National Office for Philosophy and Social Sciences has set up special funding to support the translation of books written by Chinese humanities scholars into foreign languages. With these kinds of "cultivations," a body of both Chinese and foreign translators, who are able to produce quality translations of Chinese works, will grow in strength steadily. As regards the bias of Orientalism, it should also be eradicated eventually as China's economic and cultural influence grows internationally.

Solving the problem of the decline of the high culture market will involve some compromises. For instance, the decline of the high culture market in China is closely related to the growth of "consumer culture," "characterized by the manufactured, commercial, and consumptive" (Wang Ning, "Reconstructing (Neo) Confucianism in A "Glocal" postmodern Culture Context" 53). It is a direct consequence of economic globalization and China's market economy. Wang Ning points out that this consumer culture destroys the classical elegance and sublimity

that could be found in China's traditional humanistic spirit. Therefore, it is not surprising that consumer culture has been severely criticized by many scholars in China. However, attempts to challenge the prevalence of consumer culture have been largely unsuccessful, such as a campaign launched by a group of scholars through Shanghai's prestigious literary journals in the mid-1990s. Furthermore, as a postrevolutionary country, there have been different kinds of cultural influences coexisting in China after the "reform and opening up." Partially due to this pluralistically oriented atmosphere, consumer culture has gradually permeated the everyday life of Chinese people, and has even provided inspiration for some young scholars in their efforts to renovate the traditional Chinese humanities.

Practitioners and scholars of Chinese literature and other humanities disciplines can also, in turn, take advantage of technologies that have handicapped the high culture market, such as the internet. Not only has the internet given rise to internet novels and other kinds of literature with characteristics of "consumer culture," but it can also serve as a convenient platform for the circulation of world literature globally. There are many websites which provide the global audience with a chance to read a selection of world literature, as well as background information about literary works and their authors, such as the website *Words Without Borders*. It may be troubling to see that today, people prefer a quick-hit and fragmented reading experience. It may be even more exasperating to know that there are people who often "read" books through audio or video apps, like Podcast or TikTok. However, "reading" through these kinds of apps may actually help to develop a taste for high literature among the general public. Furthermore, the convenience of electronic modes of circulation and reading generated by the internet has encouraged some world literature authors to write for the internet directly, like the Serbian writer Milorad Pavić (1929-2009), who started as a print-based writer, but later turned his hand to the promotion of internet writing.

Last but not least, although not specified by Wang Ning, his academic works indicate the potential of the Chinese diasporas in promoting Chinese literature and other disciplines of the Chinese humanities internationally. This potential lies firstly in their ability to create works which feature both "Chinese-ness" and "cosmopolitanism." According to Wang Ning's elaboration of Tu Wei-ming's idea of "cultural China," the Chinese diaspora community is assuredly a part of "cultural China" (which also includes Chinese people from mainland China, Hong Kong, Macao and Taiwan, and foreigners who learn Chinese). Therefore, we can consider works produced by them as an integrated part of the system of the Chinese humanities. On the other hand, the experience of leaving one's homeland and

settling down in a foreign country naturally brings certain cosmopolitan visions to the diasporas. We can see this influence in many promoters of cosmopolitanism, like Diogenes and Marx, and also in the literary and cultural works created by authors from the Chinese diasporas, like Yan Geling (1958-present), a Chinese-born female writer who moved to the US in the 1990s. Yan Geling wrote many novels about the China Theater of the Second World War and the lives of overseas Chinese. In these works, the cosmopolitan flavor is obvious in terms of the international setting of the stories and the multi-national composition of the protagonists. As regards her novels about China's Cultural Revolution, the storylines themselves may be essentially Chinese ones, but her excellent description of human emotions, such as love and suffering, can definitely find an echo among readers all over the world. Wang Ning has a high opinion of her and suggests that her works can be regarded as great pieces of world literature.

Apart from their contribution to the creation of literature, the Chinese diasporas can also play a special role in circulation and reception. They can recommend good Chinese works of the humanities directly to the residents of their host countries, and they can even work miracles in terms of boosting the sales of these works. For instance, largely thanks to the overwhelming support of the Chinese American communities and other Asian American groups, *The Rape of Nanking: The Forgotten Holocaust of World War II*, written in 1997 by the Chinese American writer Iris Chang (1968-2004), made the *New York Times* bestseller list (Yang 294). Thereafter, this book not only became renowned worldwide, but also re-drew the attention of the whole world to the Nanking Massacre several decades after the end of the Second World War—a humanitarian disaster for all mankind that happened on Chinese soil.

Epilogue

As the saying goes, globalization is a double-edge sword. Wang Ning makes us believe that globalization offers China and other developing countries an opportunity to bring their literature and other humanities disciplines to the world. According to him, modern Chinese literature, which emerged in around 1919 and was unfortunately marginalized thereafter, has been accepted by the global audience gradually and has started merging with mainstream world literature in recent years. Wang Ning foresees that, with the acceleration of globalization, China's rapid economic development, and the winning of the Nobel Prize for literature by Mo Yan in 2012, the dynamic is becoming mutual—in addition to learning from the west, we are also being sought after to some extent. We have every reason to believe that this

exciting development will also take place in other areas of the Chinese humanities, and in other developing countries.

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斯芬克斯因子的辩证诗学：莎士比亚《麦克白》中权力意识与上层建筑的伦理选择

The Dialectical Poetics of Sphinx Factor: The Ethical Choice of Power Senses and Superstructure in Shakespeare's *Macbeth*

罗益民 (Luo Yimin) 汪 希 (Wang Xi)

内容摘要：莎士比亚四大悲剧之一《麦克白》集中演绎了主人公麦克白的权力欲望如何膨胀，并在这种欲望的蛊惑和推动下做出错误的伦理选择，一步步走向毁灭，从而陷入伦理困境。与之相应的权力意识具象而成的上层建筑所隐含的伦理使之一步步地走向毁灭性的悲剧。本文从马克思主义理论体系中的权力意识形态和文学伦理学批评角度出发，探索权力意识和上层建筑与麦克白的伦理选择之间的关系发现：（1）麦克白在伦理选择过程中道德失效的原由在于他斯芬克斯因子失衡、权力欲望过盛、伦理选择错误；（2）这些错误同时与他所构建的上层建筑成为麦克白伦理选择价值的目标和判断；（3）麦克白不可逆转的命运中起决定性作用的因素是他对他所面临的斯芬克斯因子的把握。

关键词：斯芬克斯因子；莎士比亚；《麦克白》；权力意识；上层建筑；伦理选择

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Title: The Dialectical Poetics of Sphinx Factor: The Ethical Choice of Power Senses and Superstructure in Shakespeare's *Macbeth*

Abstract: *Macbeth*, being one of Shakespeare's well-known Four Tragedies, demonstrates how the protagonist Macbeth has swelled in his power senses and how

he is lured and promoted by this desire so that he is not able to make correct ethical choice as to go towards destruction step by step and falls into his ethical predicament. Correspondingly the upper structure embodied by its equivalent power senses has been gradually growing into the tragedy of destruction. The present paper purports to explore the relationship between power sense and upper structure and Macbeth's choice of ethic intention: 1. Macbeth's loss in the choice of ethical intention and hence his failure of morality lies in his spinx factors, the exceeding power desire and his mistaken choice of ethical route; 2. These faults together with his upper structure he purports to construct make up for his aim and judgement of ethical values; 3. The elements determining his irreversible fortune are his controlling of his spinx factors.

Keywords: Sphinx factor; Shakespeare; *Macbeth*; power sense; superstructure; ethical choice

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文学批评家聂珍钊倡导的文学伦理学批评，如今广泛用于文学的批评研究。这种批评方法对于莎士比亚的研究同样有效。在莎士比亚诞生、成名、流行并被后世所传诵、演出、研究、翻译、阅读、传播以后，时至18世纪批评家撒缪尔·约翰逊（Samuel Johnson）在他的《莎士比亚序言》里抱怨莎士比亚的写作“似乎没有任何道德目的”，他“牺牲美德，迁就权宜”（47）¹。总之，个人的道德、群体的伦理以及其背后的欲望与权力，在理论上是谈不完的话题。在文学创作实践方面，《创世纪》中人类的祖先亚当和夏娃偷吃禁果，企图与神有同样的能力与或者权力，在该隐传说故事中涉及了利益与欲望的关系，莎士比亚的《哈姆雷特》《暴风雨》《皆大欢喜》中的新国王弑兄等，在主题描述方面都属于欲望和权力的体系。凡是涉及到了欲望和权力的文学作品，都离不开伦理上的关怀，同时也与最终发展到上层建筑层次的权力象征与权力具象有着或多或少的联系。莎士比亚的《麦克白》是一部典型的围绕权力与欲望展开的文学作品。在研究这部作品时，其中涉及到的由权力和欲望引发的伦理问题是不可忽略的。马克思主义理论中关于上层建

1 外文引文均出自笔者译。

筑的讨论与《麦克白》中的权力意识以及涉及到的伦理话题，可以从一个角度阐释麦克白这位反英雄的伦理选择和取向以及他酿成悲剧的根本原因，也可作为莎士比亚的悲剧提供一种有效的解释。

一、麦克白伦理选择中权力意识与理性意志的失衡

亚里士多德在《尼各马可伦理学》（*Nicomachean Ethics*, 2014）中认为，行动的恰当进程即有效的进程是一个中间状态，是过度和不足之间的中庸。¹这与之后在文艺方面由贺拉斯所提出的“适合”（*decorum*）原则颇为相似，也和后来相当长的时间里在戏剧的时间、地点和情节（即行动）方面的，从亚里士多德的文艺理论引申出来的三一律规定是一致的。²理论家和批评家之所以重视这一点，是为了在欲望和节制之间取得一个应有的且恰当的平衡。这既是亚里士多德等人对创作和演出的一种教导和规训，也和他提出的德行适度的道理是相通的。及至浪漫主义时期以前，在审美方面，理论家们坚持适度是一种包含比例与和谐的整体结构观念。这种精神用于对人格的塑造方面是恰如其分的。在聂珍钊提出的文学伦理学批评中有个与西方伦理学中中庸原则类似的核心概念，就是斯芬克斯因子（*Sphinx factor*）。斯芬克斯因子由人性因子（*human factor*）与兽性因子（*animal factor*）两部分组成，具体体现为人性因子的核心要素理性意志与兽性因子中的自然意志和自由意志。在文学作品中，力量间的相互对抗与此消彼长的波动影响着斯芬克斯因子中人性因子与兽性因子的平衡：“这两种因子有机地组合在一起，构成一个完整的人。在人的身上，这两种因子缺一不可”（38），莎士比亚笔下的麦克白便是这样一位在斯芬克斯因子失衡后，主控行动朝着善的方向还是恶的方向的道德意志失效的悲剧性人物。

聂珍钊提出的另一个与斯芬克斯因子相关的重要概念是伦理选择，也就是人类对于做人还是做兽的选择。当斯芬克斯因子中的高级因子即人性因子能够合理地控制住低级因子即兽性因子时，人便可以遵循着向上向善的方向做出“止于至善”（《礼记·大学》）的伦理选择。从根本上说，便是人的理性意志若能控制、引导代表原始冲动的自然意志和代表欲望与追求的自由意志，人便可以做出正确的伦理选择，反之则向着反方向前进。在麦克白这个人物身上，斯芬克斯因子的波动主要表现为他的理性意志与自由意志之间的交锋，其中自由意志的核心要素则是他的意识中对权力的欲求。麦克白受权欲的驱使，遵循弗洛伊德理论中的“快乐原则”行事，未能用理性意志控制好自由意志中的欲望和冲动，导致权力意识过盛，超出了应该有的分量，从而做出了错误的选择，产生了错误的行动。倘若麦克白能够遵循相对平衡

1 参见 亚里士多德：《尼各马可伦理学》，廖申白译注（北京：商务印书馆，2003年）：47-57；Aristotle, *Nicomachean Ethics*, Trans. C. D. C. Reeve (Indianapolis, IN: Hackett Publishing, 2014) 35-56。

2 参见 谈瀛州：《莎评简史》（上海：复旦大学出版社，2005年）16。

或者理智战胜欲望的原则，恰如其分地去控制自己的欲望，保持斯芬克斯因子的平衡，那么麦克白的悲剧便不会发生。

在戏剧的开始，麦克白懂得以正当的方式，通过战场上的浴血奋战、勇猛杀敌获得应有的权力换来荣誉与尊重。他选择了或者说他斯芬克斯因子中的人性因子来决策他的行为向量，致使他朝着正义、美德和善的方向进行，因此构成了一个正义的英雄形象。也正是因为这些美德，他获得了国王的信任和宠爱，被加封为“葛莱密斯爵士”和“考特爵士”（第一幕第三场）¹。然而他听信妖魔的谰言，以为神秘的自然赋予了他君权神授的可能性，他便得陇望蜀，得寸进尺，要得到三个女巫给出的神启似的逻辑，以至于他自己错误的认为国王宝座应该是属于他的，因而他为之奋斗也是合乎逻辑且合情合理的。然而，这一点并非是他认为的逻辑的“真相”，于是他通过违背伦理原则、不符合正义的方式，杀死了国王和相关的人员，超出了斯芬克斯因子系统中的中间与平衡状态。他斯芬克斯因子中的兽性因子使其选择另一种向量价值的方向。

本来，麦克白与常人一样虽有欲求，但却能够用理性意志去控制自由意志，懂得遵守社会公认的伦理秩序，正如麦克白夫人对他评价的那样：“你不是没有野心，可是你却缺少和那种野心相联属的奸恶；你的欲望很大，但又希望只用正当的手段”（第四幕第五场）。麦克白夫人这里所说的“奸恶”，似乎成了获得权力的一种重要因素。在同一时代同样是剧作家的克里斯托弗·马洛写出的《浮士德博士的悲剧》里，也包含了类似的主题。浮士德要获得他所需要的非凡的才能，所要付出的代价是不符合美德的要求的，超出了伦理规定的底线。如果从这个角度看，可以说麦克白只不过是一个改版的浮士德。浮士德想获得宇宙间的一切知识，不顾一切，出卖灵魂；麦克白觊觎唾手可得的王位，加之他的夫人的推动，并有三个女巫煽风点火，致使他权令智昏，走向毁灭。

除此之外，《麦克白》全剧充满超自然因素，比如女巫、预言、鬼魂等，总会让人误以为麦克白错误行为是一种超自然力量导致的。但实际上正如布拉德利所说，“伊丽莎白时代的戏剧几乎全然是世俗的；莎士比亚在写作的时候，他把自己的视野完全局限于非神学的观察与思想”（Bradley 30）。这三个女巫从表象看来是超自然的，实际上她们也是麦克白心中的恶魔，是自由意志中过盛而想不正当地获得的权力意识在作祟。魔鬼在麦克白的自我的心中，而不在别处。他遇上的三个女巫所说的他会为王的预言、麦克白不败的神话、班柯闹鬼等等这些超自然因素，其实是一种心理映射。《李尔王》里葛罗斯特的私生子爱德蒙说：“人们最爱用这一种糊涂思想来欺骗自己；（……）我们无论干什么罪恶的行为，全都是因为有一种超自然的力量在冥

1 本文所采用的莎士比亚剧本译文皆出自 莎士比亚：《莎士比亚全集》，朱生豪等译（北京：人民文学出版社，2010 年），以下只注明幕次和场次，不再一一说明。

冥之中驱策着我们”（第一幕第二场）。如果以这一点来做比较，就很容易明白，麦克白的错误或者是超出道德底线的罪恶不在于至少不全在于超自然力量的唆使，而是由自我内心过度的权力意识所铸就的。因此，无论是流于表面的权欲还是以超自然因素的形式潜藏的权欲，无不揭示了麦克白过盛的权力意识。权力意识使得他的自由意志摆脱了理性意志的管束，打破了斯芬克斯因子中人性因子与兽性因子的平衡。这种平衡为一种杠杆原理，倾向于人性则获得美德，相反则出现伦理体系的失衡、道德的破坏。麦克白则是莎士比亚笔下人性因子惨遭毁灭的典型案列。

二、上层建筑建设：伦理选择价值的目标和判断

关于“上层建筑”，马克思与恩格斯有多种阐释和界定。一种是相对于“经济基础”（social base）的界定，包括“由政治、法律、道德、宗教以及艺术构成的社会的‘上层建筑’”（Honderich 80-81）。它可以指“意识形态”，与社会关系中人民的思想有关；还可以指“非经济社会机构”（Honderich 80-81）。就麦克白而言，就是由权力具象而来的权力机构。在麦克白的经历中，他未来得及稳步管理他奋斗和建设的上层建筑，而是在一种追求中试图获得王冠和王权。由于他的获取途径违反了社会规约普遍认可的道德准绳，兽性因子与人性因子失衡了，因此未能成功，他的“伟大事业”半途而废，没有加冕登极，实现他的上层建筑的建设。

上层建筑体现为一些社会关系的集合，呈网状结构出现。在麦克白的网络中，麦克白与邓肯国王的君臣关系存在亲缘关系。《哈姆雷特》《李尔王》中也有类似情况，哈姆雷特与克劳狄斯，李尔王与他的女儿们，都只是一种利益关系和权力关系的集合。奥瑟罗与威尼斯公爵体现为一种比较疏离的关系，虽然矛盾偏重于种族的歧视与偏见，但伊阿古、凯西奥也都和奥瑟罗一样，处于一个由亲缘关系交织而成纠缠不清的权力之网中。由于权力与利益集合紧密相连，权力集中的地方也是善恶矛盾最为尖锐和突出的地方。麦克白是邓肯国王的亲戚，是他的表弟，这似乎是该隐—亚伯两兄弟关系的一种延伸。该隐和亚伯都可以从上帝那里获得好处和利益，同样，麦克白和国王邓肯之间也存在这种关系。虽然权力关系网中的人从自然属性上说都是完全相同的，但在他们被赋予品性、伦理品质以后，就变得不同了。正如李尔王的三个女儿形成了两类，分别代表善恶；就像该隐动手杀死兄弟，他们之间也是一种杀戮；对于哈姆雷特的父王来说，他意想不到地被自己的亲兄弟送上了黄泉路；同样，麦克白受到利益的蛊惑而不顾与邓肯之间的血缘关系，杀掉了邓肯。

在莎士比亚时代，由于受到托勒密宇宙学说的影响，人们认为地球上所有的生物都有一个等级秩序：从完全没有灵魂的物体，到植物、动物、人、天使和上帝。每一大类还分为很多小的等级，其中在人类里面，国君相当于

上帝。由于一切都有其固定的位置，试图在社会等级秩序中用暴力篡夺一个更高的位置，就是打乱了自然与神圣的秩序。¹麦克白不顾秩序关系，企图通过弑君篡位来跨越横亘在自己与邓肯之间的等级界限。因此，麦克白杀掉邓肯国王的这一过程，实质上可以视为一种阶级斗争。因为他们之间关系近，可以算是内部争夺权力的斗争。但马克思在有关研究阶级斗争的论述中表示，阶级不仅是斗争的党派，而且是物质和经济实在的载体，而他们的生活则被置于这种实在之中。²由于所处阶级的不同，麦克白与邓肯国王所享受的权力与利益自然不同。所以，麦克白在这种权力意识的驱动下，为了获得上层建筑具体权力所带来的极大利益而置亲人和君臣之间应当遵守的伦理道德于不顾，杀害了邓肯，打破了双重的伦理禁忌。由他身上的兽性因子推动，破坏了社会中普遍公认和遵守的伦理秩序。麦克白和他后来获得的上层建筑结构，鲜明地打上了斯芬克斯因子体系失衡的烙印。在这样的基础上建立起来的上层建筑结构，显然是不得人心的。同时，他自己也内心矛盾、魂不守舍的，终于走上了不归路。

三、斯芬克斯因子与麦克白不可逆转的命运

如布拉德利所说，麦克白的悲剧结局是一个不可避免的结果。³在《麦克白》中有许多诸如鬼魂、女巫、预言的超自然因素，往往人们会把一些看似巧合的因素之间的关联，看成一种无法预测也来不及或者难以掌控的因素，或因人力之不足，或因人力判断之误，最后归结起来，理解为命运。命运还被人格化，塑造成命运之神，来左右或者管控人的行为和行动。在《麦克白》中，处处涉及到一种“特定顺序的命运的逆转”（Bernad 49-61）。但正如布拉德利所强调的那样，在莎士比亚的作品里面没有那种粗糙的宿命论，也没有像希腊悲剧里的那种命运，它可以不管一个人的情感、思想和决心，而预先注定他将来会遭到不幸。⁴在麦克白的命运走势中，究竟是什么力量使得麦克白一错再错？“命运”的向量实际是由伦理系统中人性因子与兽性因子的张力取向控制着的。从在麦克白的具体毁灭行动中可以看到，他被一股无形的力量推动着前进，难以回头。正如他自己所说“为了我自己的好处，只好把一切置之不顾。我已经两足深陷于血泊之中，要是不再涉血前进，那么回头的路也是同样使人厌倦的”（第三幕第四场）。那么，斯芬克斯因子究竟是如何在他一步步的错误行动中发挥作用的呢？

就麦克白而言，如是去讨伐一个天理不容的昏君、暴君（正如麦克白被麦克德夫讨伐），而获得正义的权力则是正确的，是值得拥护和肯定的。事实上，

1 参见 谈瀛州：《莎评简史》（上海：复旦大学出版社，2005年）197。

2 See Stumpf, Samuel Enoch and James Fieser, *Philosophy: A Historical Survey with Essential Readings* (10th ed. New York: MacGraw Hill Companies, Inc., 2015) 395.

3 See Bradley, A. C. *Shakespearean Tragedy* (New York: Meridian, 1955) 21.

4 See Bradley, A. C. *Shakespearean Tragedy* (New York: Meridian, 1955) 21.

在这样的伦理环境和伦理规范之下，麦克白自身也饱受着伦理恐惧的煎熬，所以他在谋杀班柯及其子时，用谎言欺骗刺客，试图以正义的名义刺杀班柯。他试图用表面的疯狂和残暴来掩饰自己内心遭受的权力威胁和伦理恐惧。倘若他真能不顾任何伦理道德，他便不会无法入眠、行为疯癫了。他深知自己实施了伦理犯罪，深知他人不会饶恕自己，所以才试图以疯狂的杀戮来挽救自己的命运。对于麦克白周围的人来说，弑君篡位是违背伦理纲常的罪行。因此，正义、忠诚的班柯当众说道“站在上帝的伟大指导之下，我一定要从尚未揭发的假面具下面，探出叛逆的阴谋，和它作殊死的奋斗”（第二幕第三场）。如果麦克白不杀班柯，那么班柯一定会揭露出他的丑行，一旦丑行暴露引起众人不满，不但会威胁到麦克白手中的王权，甚至会威胁到他的生存。同样，他也不希望麦克德夫成为下一个班柯，揭露他的丑行，所以在第一次伦理选择错误所引发的后果的推动下，麦克白难以收手，只好一步步“涉血前进”（第三幕第四场）。正如第五幕第二场中安格斯和孟提斯评价的那样：“现在他已经感觉到他的暗杀的罪恶紧粘在他的手上；每分钟都有一次叛变，谴责他的不忠不义”，“他自己的灵魂都在谴责它本身的存在，谁还能怪他的昏乱的怔忡不安呢”。一方面，正义的力量已经倒向受害者，另外一方面麦克白内心已垮。这两个方面决定了他无以为继，没有可以依靠的力量支持他走下去。

在《麦克白》中，斯芬克斯因子对麦克白不可逆转的命运的影响，一方面表现在麦克白自由意志中的权力意识过于旺盛，另一方面表现在斯芬克斯因子中人性因子与兽性因子的失衡，导致他伦理意识混乱，从而形成了一种充满惯性而难以阻止的力量。但最重要的一点影响是，斯芬克斯因子的失衡导致他在特定伦理环境之下做出了错误的伦理选择。麦克白因为做出了错误的伦理选择而获得了想要得到的权力，这里的权力推翻了他的伦理体系中作为主力控制和养成美德的那一部分，同时导致众人不满和内心不安，最终失去了权力。

权力欲实现的最终成果是组建他们相应的实体体现，那就是上层建筑。麦克白的上层建筑是他作为国王的机构，但由于他不是按正义和美德作为精神组建的，最终势不可挡地被倾覆了。这些与他的斯芬克斯因子、权力欲望过盛、伦理选择的错误等有根本联系。由于这些因素的合力，一种强大的惯性力量，使得麦克白根据权力意识塑造出来的自我伦理与相应的上层建筑均具有了不可逆转的悲剧的“命运”。麦克白还是一个充满矛盾的人，在行凶作恶时是犹豫不决的，要依靠外界的包括人为的和超自然的力量加以推进和催化。而且，由于他尚存良心，最终不可避免地被摧毁，从而酿成悲剧。莎士比亚在《麦克白》中真实展现了人性的两面性，同时表现了一种符合当时笛卡尔的沉思哲学精神，体现了人文主义关怀。由于马克思主义哲学追求的

是人类共同的理想，是美好的共同体，领袖和权力的拥有者自然需要具备美德，麦克白无法做到这一点，所以他成为历史教训和悲剧载体。

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“我们互构为同伴物种”：艾丽丝·门罗小说中的动物死亡与性别伦理

“We Are Mutually Constructed as Companion Species”: Animal Death and Gender Ethics in Alice Munro’s Stories

涂 慧 (Tu Hui)

内容摘要：艾丽丝·门罗小说中的动物死亡不仅揭示动物自身在加拿大殖民进程中的不幸命运，而且烛照动物命运与女性遭遇、性别伦理的内在关联。马和狐狸等动物作为家庭经济来源被无情屠宰，揭示出动物被人类宰杀与女性被男性操控具有本质的一致性；狼和浣熊等动物作为现代知识标本被展示，暗示着人类施加动物的痛苦与男性施予女性的创伤具有深刻的关联性；山羊等动物作为女性心灵同伴被屠戮，折射出动物被人类屠杀与女性生命力被父权阉割具有内在的同构性。门罗小说中的动物死亡以动物他者化和共情化、性别伦理化和政治化的书写特点，构成一个携带伦理内涵、历史语境和思想价值的文化症候。由此，改变不平等的性别伦理，需消除人类与动物等权力机制中的不平等。

关键词：艾丽丝·门罗；动物死亡；性别伦理；女性规训；空间权力

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Title: “We Are Mutually Constructed as Companion Species”: Animal Death and Gender Ethics in Alice Munro’s Stories

Abstract: Animal death in Alice Munro’s stories not only reveals the fate of animals themselves in the process of Canadian colonization, but also reveals the intrinsic

relevance between animal fate, female encounters and ethical discipline. Animals such as horses and foxes are ruthlessly slaughtered by human as a source of family income, which reveals the essential consistency between the killing of animals and the discipline of women. Animals such as wolves and raccoons are displayed by human as specimens of imperial knowledge, which implies that the pain and silence of animals are closely related to the trauma and silence of women. Animals such as goats are slaughtered by man as female spiritual companions, which reflects the inherent isomorphism between the murder of animals and the castration of female vitality. Animal death presents the characteristics of animal otherness and empathy, gender ethics and politicization, which constitutes a cultural symptom with ethical connotation, historical context, and ideological value. In order to change the unequal gender ethics, we should eliminate the inequality in various power structures.

Keywords: Alice Munro; animal death; gender ethics; female discipline; space power

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当代加拿大作家艾丽丝·门罗（Alice Munro, 1931—）擅长以极简风格、精确描写和平淡笔墨，细腻描绘加拿大广袤的农田森林、河流湖泊、四季变换、动物景观，在不动声色的字里行间，叙述小镇人们日常平淡生活中的隐秘奥妙和深不可测。处在加拿大独特的后殖民历史语境和后人文主义场域之中，门罗笔下的动物死亡（尤其是非正常人为动物死亡），不仅携带复杂的国家历史叙事基因，具有隐含的物种空间权力表征，而且折射内在的性别伦理修辞因素，蕴含着与众不同的性别、历史和政治内蕴。与此同时，伴随现代性反思思潮和女权主义运动实践，门罗小说中的性别伦理书写以平淡琐碎的日常生活为中心，以性别平等、互助与和谐为伦理诉求，审视基于传统父权制的性别伦理与社会差异，批驳男性对女性的规训、父权对女性的戕害，反思女性对男性的臣属、女性对自我的压抑。

动物死亡频繁出现在门罗不同主题的小说中，诸如《男孩和女孩》中的狐狸和马，《破坏分子》中的狼、浣熊、黑熊和鸟，《逃离》中的山羊，《我年轻时的朋友》中的奶牛和羊，《弗莱兹路》中的野水貂和火狐等。其中，最为典型也最具特色的文本当属《男孩和女孩》《破坏分子》和《逃

离》。正如美国学者哈拉维在《当物种相遇》中所言，动物与人类之间有着无法分割的深层关联，“我们互构为同伴物种，我们在肉体上互相构成”（Haraway 16）¹。经由动物被屠宰、被猎杀和被谋害的共情书写，三个不同文本从不同角度揭示以男性为主体的父权社会对女性的身份规约、身体侵犯和心灵规训，映射女性被男性和男权社会操控、欺凌和阉割的深层伦理意涵，在某种程度上构成耐人寻味的三角对话关系。

一、动物作为家庭经济来源：动物被宰杀与女性被操控

16 世纪之前，北美广袤土地的主人是土著印第安人、极北地区的因纽特人以及大量的动物。自 1534 年，法国人卡蒂埃（Jacques Cartier）抵达加拿大探寻北美洲北部海岸航线后，英法等西方殖民者纷纷入主北美新大陆，通过屠戮印第安人夺取殖民空间，捕杀野生动物来获取物质经济利益。二战后，广袤北美荒野中的印第安人和动物大量消失，取而代之的是众多农场、小镇和白人。此时的加拿大已完成由红种人向白种人转换的种族过程，实现了空间权力和民族权力的种族位移。几个世纪以来，毛皮贸易一直是英帝国哈德逊湾公司经济的重要来源，但持续的毛皮贸易已使海狸、狐狸等毛皮动物难觅踪迹，圈养毛皮动物于是成为有利可图的营生。这正是《男孩和女孩》《快乐影子之舞》《弗莱兹路》等作品的社会历史语境。帝国权力改变了动物尤其是野生动物的活动空间、生活习性、生产方式与价值功用。狐狸由野生动物变成家养动物，其价值全在毛皮，骨肉则是垃圾；马由传统的交通运输工具变成马肉，成为狐狸的饲料，马和狐狸成为白人农场主间接或直接的经济来源。

短篇小说《男孩和女孩》（1968）通过家养动物两匹老马（马克和弗洛拉）被宰杀的故事，揭示二战后加拿大农场日常生活中隐秘的空间权力与性别伦理。小说以 11 岁女孩“我”的叙事视角叙述；“我”爸爸饲养狐狸，每年秋冬时分把狐狸宰杀剥皮卖给哈德逊湾公司。“我”爸爸建造了我们的农场，设计的一切都精巧实用而井井有条。“我”家的农场被分隔成秩序井然的三个典型空间：妈妈整日忙碌劳作的厨房，爸爸经常活动和工作的谷仓、地下室与屠杀房，以及圈养家养动物的畜栏。“空间并不是人类生活发生于其中的某种固定的背景，因为它并非先于那占据空间的个体及其运动而存在，却实际上为它们所建构”（卡瓦拉罗 187）。加拿大广袤地理空间的嬗变深深铭刻着白人殖民者的价值秩序和意识形态。崇拜鲁滨逊的爸爸像鲁滨逊一样，在自己的王国建构一种秩序井然、权力等级分明的日常生活空间，体现其男性主体意识和性别伦理。正处青春期的“我”亦体味到性别在空间上的权力结构关系。妈妈活动的空间主要在厨房，终日忙碌些不重要的日常琐事。而“我”无时无刻不在逃避厨房，讨厌被妈妈留在厨房干活，感觉屋内

1 本文外文引文均出自笔者译。

的活没完没了，令人疲惫不堪。

爸爸日常活动的空间主要是地下室、谷仓内外、畜栏和屠宰房。相对于妈妈活动的居家内部空间，这些空间都是居室外部空间，是代表更高的价值秩序的“屋外”。“我”喜欢跟着爸爸干活，喜欢看爸爸在地下室剥狐狸皮；能帮他干活，“我”会感到自豪和激动，“屋外的事儿，帮爸爸打下手，则具有仪式般的重要性”（门罗，《男孩与女孩》153）。空间结构隐含意识形态与权力关系，男性通过分配女性活动空间，在女性日常生活空间中对其进行意识形态渗透，实现对女性行为规范的内在规训，生产出从肉体到精神都驯服的女性。性别伦理和权力关系在空间的规划、分配和生产中运作生成。妈妈终日在厨房忙碌，不再涉足谷仓、畜栏等男性空间，她已被规训和型塑，其臣属的女性身份已经完成。她勤勉温顺，遵守空间所表征的性别权力，看到“我”自由出入室内屋外、无视女性规则的越举，她既无奈又嫉妒。

较之妈妈对女性臣属身份的认同与维护，“我”更向往成为价值秩序等级中的男性强者。“我”喜欢唱具有英雄主义色彩的歌曲《男孩丹尼》，晚上“我”给自己讲故事，将自己想象成英雄和强者——在爆炸的楼里救人，杀死恶狼保护老师，骑在马上接受众人感谢。尽管饲料推销员和妈妈都不认为“我”是爸爸真正的帮手，奶奶也对“我”进行性别规训，但“我”都不以为然地予以抵制。然而，马克和弗洛拉之死，使“我”完成了“第二性”女性身份的建构。在文学伦理学批评看来，“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”，而“伦理身份是道德行为及道德规范的前提，并对道德行为主体产生约束”（聂珍钊 263-264）。见证这两匹马被杀的全过程，使“我”对社会性别权力结构由反思走向反抗终至臣服。“我”和弟弟在谷仓里全程偷看，马克如何被爸爸和亨利叔叔枪杀。马克被杀时的无力和痛苦刺激了“我”，使“我”“对爸爸和他的工作有了一种全新的谨慎态度，要保持距离的感觉”（门罗，《男孩与女孩》160）。“我”初步确立并接受女性的臣属身份，意识到横亘在爸爸、自己和马克之间的距离，爸爸对动物拥有生杀予夺的权力，而“我”也不是爸爸这样的男性强者，“我”和动物一样在权力等级秩序中是弱者。在自我和他者之间划界，正是个体身份建构的前提。“我”审视性别结构中自身的位置，开始建构自己的现实身份与性别属性，“我”正在生成“第二性”。“我”开始用印花布料给自己做梳妆台，在“我”和弟弟的床之间放个隔断。弟弟睡着后，“我”还是和自己讲故事，不过在想象中的“我”成为需要被保护的弱者。当我“想知道自己长大以后会不会漂亮的时候”（门罗，《男孩与女孩》160），马克被杀的场景便会无意识地闪进“我”的脑海，“我”显然意识到作为弱者的女性与被主宰的动物之间存在内在的关联。所以，当爸爸和亨利屠宰弗洛拉时，“我”本可以把逃跑的弗洛拉关在农场里，但我却本能地把门打开，让弗洛拉逃跑了。

显而易见，在父亲屠戮动物的过程中，女孩体会到动物与自身所遭受的父权压迫与共同命运，感受到女性命运与动物命运具有同构性。因同情而放走弗洛拉，既是基于她对女性与动物命运同构的共振，也是她对父权制不自觉的抵抗。但是这一英雄义举却顷刻之间遭遇瓦解。面对弟弟的告状和指责，父亲原谅了“我”：“她只是个女孩子”（门罗，《男孩与女孩》164）。我从心底认可了爸爸话语权力隐藏的性别价值秩序和父权制：女孩作为弱者是非理性的、情感的，缺乏勇气和力量，自然免不了犯错。美国女性主义学者弗伦奇（Marilyn French）认为，“父权制是一种建立在男性不同于动物（即女性），优于动物（即女性）的意识形态之上，这一优势的基础在于男性具有更高的能力/知识，即所谓的神性、理性和控制力”（134）。女孩认同了父亲的判断，也便完成了自我作为一名女性在性别中的定位，一名父权制权力结构中的臣属女性由此生成。男性通过征服和屠杀动物内在地完成对女性的征服和宰制，动物被征服、被虐待、被杀死的过程，也是女孩被规训、被形塑、被征服的“第二性”的过程。由此，女性由外而内地逐渐生成被规训的女性意识和女性理念。

正是经由杀死动物，男性逐渐生成具有现代主体性的自我，弟弟通过参与杀死弗洛拉成长为具有性别权力意识的男性；女性则日益成为受男性支配和规训的他者，“我”通过观看屠宰弗洛拉而逐渐认同了社会强加于自身的性别规训。在这一过程中，杀死动物既展现了男性在社会结构中优于女性的权力位置，确证了男性对女性和动物的优越感和支配感，也形象说明加拿大已然征服广袤无垠的荒野。“我”虽然放走了弗洛拉，但知道它是跑不掉的。“这个地方没有让她逃跑的开阔田野，这里只有农田”（门罗，《男孩与女孩》162）。这片广袤的土地不再是无人开垦的北美荒野，而是成片成片已被殖民的农田，动物不再是荒野上的主人。“我知道我们活着就需要它们死”（门罗，《男孩与女孩》160），杀死经济动物，获得经济利益，既是加拿大白人殖民者的经济特权，也是彰显男性掌控家庭、高于女性的内在需求。这背后有着国家权力机制的隐蔽支持——白人殖民主体拥有对动物的经济权和处置权。

在门罗小说的动物书写中，男性通过暴力杀死家养动物，彰显社会经济政治结构中的男性霸权，其背后有着强大的国家权力支撑。杀死动物展现了男性/动物的物种权力秩序，女性观看动物死亡的全过程，既是男性权力与等级秩序的内化过程，也是女性被驯化的隐秘过程。由此，性别伦理在日常行为中生产出来，杀死动物成为一种隐含的性别伦理和政治实践。

二、动物作为现代知识标本：动物被展示与女性被凌辱

除关注暴力杀死家养动物外，门罗还关注儿童性侵问题，敏锐注意到男性对动物的暴力和屠戮，与对女性和儿童的暴力具有同构性。男性通过展示动植物知识和对动物的主宰呈现男性霸权，实现对女性、儿童的控制和侵犯，

这种男性霸权的背后亦有强大的国家权力支持。

《破坏分子》(1994)聚焦于儿童性侵事件,将虐待儿童(主要是少女)与动物暴力并置讲述,互为镜像地揭示少女遭际与动物命运的同构,其中被解剖的沉默标本动物与难以讲述创伤经历的莉莎,同为父权制的受害者。二战后,英国人拉德纳在加拿大斯特拉顿镇北部买下四百英亩荒地,依据在英国博物馆的工作经验,改造出一个“自然博物馆”。在这片隐秘的私人王国里,有诗意的小桥流水,有丰富的动植物,有各类本土野生动物标本,如金雕、猫头鹰、雪鸮等各种猛禽,如狼、黑熊等丛林猛兽。在这片私人领地上,到处竖着“禁止入侵”“禁止入内”“禁止打猎”的标牌。正如福柯所言,“空间是任何权力实践的基础”(Foucault 252),迪斯默尔正是拉德纳得以对野生动物和莉莎进行控制和侵犯的空间基础。拉德纳将迪斯默尔视为自己的领地和帝国,改变了土地的使用范型与空间形态,也改变了人们的空间感觉。当莉莎从自己家跑向迪斯默尔时,感觉进入了“另外一个全然不同的国度”,这是“拉德纳的领地”(原文为territory)(门罗,《公开的秘密》303)。人们误以为这里是一片自然保护区,拉德纳从事的是高尚的公益事业。事实上,迪斯默尔并非为了亲近自然、爱好自然而建,而是为了满足拉德纳的暴虐天性 with 个人欲望而建。相比莉莎家的毫无遮挡和简单素朴,迪斯默尔隐蔽幽深,空气浓重,“味道刺鼻,或者也可以说诱人。某些人行道强使人们礼貌地避开那些隐蔽地,某些石头也让人们无法跳过去,一切都在呼唤着疯狂的举动”(门罗,《公开的秘密》304)。门罗对迪斯默尔风景和空间的描写具有暗示性,暗示这里是欲望与罪恶的发生地。迪斯默尔的原文“Dismal”本意为阴暗、忧郁,这里也的确是一个阴暗忧郁的地方,“dis”在希腊语中是地狱的名称,在基督教中这个地方都由恶魔居住(Ventura 313)。在这片私人领地,拉德纳让孩子们观看自己怎么剥下动物的皮,动物如何被宰制被操控。驯服动物的过程亦是驯服儿童/女性的过程。拉德纳通过操控动物彰显作为男性主体的自我对他者的主导地位和权力,为操控女孩莉莎奠定权力基础和心理基础。

除了展示男性的空间权力和物种权力,拉德纳还通过自然科学知识操控莉莎。孩子们最初受吸引,正是由于拉德纳向他们展示自然知识和标本知识,孩子们学到很多东西,知道了狐狸住在兽穴里,莉莎“认识了鸟类、树木、蘑菇、化石,还有太阳系。她知道某些岩石是从哪里来的,知道秋麒麟草茎上膨起的地方里面长了白色的小蠕虫,这种虫子只能活在这里”(门罗,《公开的秘密》299)。拉德纳通过建构迪斯默尔这个自然博物馆,展示丰富的动植物知识来显示自我对自然的征服,通过剥制动物展示自我对动物的征服,从而彰显父权制权威而控制莉莎——在莉莎的内心,她的确视拉德纳为父亲、视贝亚为母亲,“就像一家人”(门罗,《公开的秘密》299)。拉德纳强调动物剥制的科学性、技术性和艺术性,以此来遮蔽其暴力行为,

使之合法化。拉德纳对所剥制的动物标本进行科学分类,“标牌上注明了它们的栖息地、拉丁语名称、食物偏好和行为方式。有些树上也挂着标牌,牢固、准确、内容详尽”(门罗,《公开的秘密》283)。不仅如此,他将动物剥制上升为一门技术和艺术,用轻木制作鸟类和动物的标本,体型较大的动物用铁丝、粗麻布、胶水、碎纸和黏土进行完美组合。正是在科学、技术和艺术的掩盖下,拉德纳的自然博物馆受到人们的赞叹,被视为“一片令人赞叹的自然保护区”(门罗,《公开的秘密》278)。正如生态女性主义者科拉德德(Andree Collard)所言,“当暴力在‘高贵的目的’的掩盖下呈现时,所有的虐待都不再被看到,甚至经常被赞扬”(33)。

从回归伦理语境出发,“文学伦理学批评要求在特定的伦理环境中分析和批评文学作品,对文学作品本身进行客观的伦理阐释,而不是进行抽象或者主观的道德评价”(聂珍钊 256)。就现代知识生产体系而论,动物标本剥制术是英帝国殖民和帝国权力的产物与结果,维多利亚时期的英国正处于全世界广泛殖民的鼎盛时期,认为大自然中的每样事物都值得收集¹,通过展示世界各地的动物及动物标本证实帝国权威和男性气质。在20世纪初的加拿大,“动物剥制术的普及是显而易见的,证明这个国家拥有相对丰富的野生动物数量”(Giesbrecht 189)。帝国权力是迪斯默尔空间权力的保障,空间权力有助于生成父权制霸权,实现对动物和女性的征服和控制。同时,拉德纳又经由帝国式的自然博物馆生产出各类自然知识,巩固其权力和空间。《破坏分子》以含蓄隐晦的手法揭示男性霸权对标本动物与女性的暴力凌辱,其背后有着隐秘的帝国权力支持。

小说多处将动物与女性并置,暗示动物与儿童同为被宰制的弱者,揭示动物屠戮与性别暴力同构。六七岁的莉莎和肯尼曾被父亲警告说,“你们最好别惹恼他,不然他会活剥你们的皮,就像他做那些标本一样”(门罗,《公开的秘密》298)。来到迪斯默尔后,贝亚问了莉莎和肯尼很多问题,诸如要是能变成动物,他们想变成什么。经常观看拉德纳剥制动物的孩子们,多会想起各种动物的命运,并在自己和动物之间建立某种模糊的内在关联。这也使读者“在儿童与被害者动物——拉德纳控制的被剥皮的动物之间建立一种关联”(Dawson 78)。拉德纳只称他们为“孩子”(kids),“在英语中,单词kid也可指由小动物皮制成的皮革。因此,这个词在动物标本制作师的世界中成为一个邪恶的含义”(Bigot 115)。这也暗示拉德纳潜意识将儿童视为可以制作成皮革的小动物,他们无力反抗、可以霸凌。英国文化历史学家托马斯(Keith Thomas)认为,一旦将物种主义思想投射到其他边缘群体身上,“女性、黑人、儿童、穷人、疯子和流浪汉都被视为没有灵魂的人形动物。人一旦被视作动物,便易被当成动物对待。动物不是人类统治伦理的关心对象,虐待动物式的人便被合法化”(44)。将儿童视为没有理性与力量的人形动物,

1 See Kalof, Linda, *Looking at Animals in Human History* (London: Reaktion Books Ltd., 2007) 145.

是儿童虐待行为的思想基础。用动物暴力暗示儿童性侵，将弱小动物与儿童 / 女性并置讲述，门罗巧妙而有力地揭露了动物暴力和儿童暴力背后的物种主义和父权制具有内在的同源性。

被凌辱的女性和被剥制的动物同样是沉默失语的、无法言说的，其身体被展示、被观看、被欣赏。莉莎在池塘里游泳，不小心游得太远，拉德纳就在附近，他伸手抓向莉莎的两腿之间，却做出伪善震惊的表情。莉莎假装没有在意，奋力游向岸边，从装有标本动物的玻璃容器前走过。受辱的莉莎没有凝视这些标本动物，二者同属于被展示、被欺凌和被侮辱的沉默个体。“莉莎无法清楚讲述拉德纳袭击的创伤，但她站在动物间的位置讲述了，莉莎被比作鸟——其沉默和被侵犯的身体正在被展示”（Dawson 74）。在迪斯默尔，拉德纳无疑对莉莎进行过思想规训，莉莎通过确认女性的臣属身份学会了很多世俗伦理，“学会不讲很多她知道的东西”（Munro 188）。为了间接暗示贝亚，莉莎特地带贝亚去看后门小路中央的山毛榉树。树上刻着几个名字的首字母“L. L. K.”，依次是拉德纳、莉莎和肯尼。肯尼用拳头敲打下面一行刻的字母“P. D. P.”，喊着“拉下裤子！”（“Pull down pants!”）（门罗，《公开的秘密》302），但拉德纳假装用力打肯尼的头，却说“继续前行！”（“Proceed down path!”）毫无疑问，拉德纳曾命令孩子们拉下裤子，但贝亚并没有猜到发生在迪斯默尔的一切。准备离开迪斯默尔时，莉莎再次提醒丈夫沃伦注意山毛榉树以及树上的字母，想藉此为契机讲述过去遭受的暴力和创伤，解释自己在迪斯默尔捣毁拉德纳房子的原因。然而，沃伦仅仅将莉莎的行为视为孩子气的捣蛋与顽皮。在迪斯默尔遭受霸凌的莉莎，与被剥制的动物一样沉默无语，无人关心，无法讲述所遭受的创伤和痛苦。

门罗小说“包含大量的空白、神秘和未叙述”，“对尘封秘密的沉思，是门罗短篇小说最擅长的”（May 241）。《破坏分子》以隐晦方式讲述因童年性侵导致的精神创伤，然而受害者的沉默寡言使创伤体验难以讲述和传递，“叙述者对虐待事件叙述得很少，叙述的沉默正回应虐待过程中的沉默”（Bigot 113）。门罗巧妙地通过动物在剥制过程中遭受的痛苦，有力地揭示小女孩莉莎所遭受的身心创伤，标本动物和女性弱者命运同构，同为父权制的受害者。在关注儿童性暴力的同时，门罗亦瞩目动物遭受的生命之痛。父权制建构二元等级秩序的社会权力结构，承认男性拥有对女性和动物等一切居于次级等级秩序的他者的权力，是动物暴力和女性压迫的根源。

三、动物作为女性心灵同伴：动物被屠杀与女性被阉割

在 20-21 世纪之交的加拿大乡村，受全球化浪潮和社会体制的强力裹挟，无论是家养动物还是野生动物，均与人类建立性质不同的关系。形形色色的动物以物种的丰富性和特点的多样性，悄然进入门罗小说的叙事之中。诸如《破坏分子》中贝亚担心野兽进入自己的居室，《弗莱兹路》中班尼叔叔驯养大

量野生动物,《快乐影子之舞》中兔子会窜到马路上,《机缘》中朱丽叶在火车上看到一条巨大的狼,《我年轻时的朋友》中母亲的老家会有熊在农舍附近散步,《逃离》中浣熊和松鼠可能会闯进居室。山羊、马、奶牛,更是农舍常常豢养的农场动物。比如《我年轻时的朋友》中弗洛拉姐妹驯养山羊、奶牛,《逃离》中卡拉和克拉克养着几匹马和山羊。相对而言,敏感的乡村女性更易感受农场动物与其命运的同频共振——狭窄的生活空间、被束缚的命运、遭受父权制的压迫,这使女性更易视其为同伴动物。《逃离》(2004)中的山羊弗洛拉,便是卡拉心灵与精神上的同伴动物。

卡拉淳朴天然,喜爱动物,与动物相伴是她的毕生理想。正是出于对动物的喜爱,卡拉渴望“过一种更为真实的生活”(门罗,《逃离》33)。18岁那年,卡拉离开父母,逃离了循规蹈矩的中产阶级家庭生活,与驯马师克拉克私奔。婚后二人在乡间安居,住在活动房屋里,靠马术培训艰难谋生。婚后生活并不愉快,克拉克脾气暴躁,大男子主义十足,卡拉事事迁就取悦他,备感压抑窒息。唯有厩棚里的马儿和山羊,是她情感的寄托和安慰:“对她来说,最能排除烦恼的还是上厩棚去为自己找点儿什么杂活来干干”(门罗,《逃离》8);她“喜欢畜棚屋顶底下那宽阔的空间,以及这里的气味”(门罗,《逃离》33)。

作为卡拉的心灵同伴和情感寄托,弗洛拉帮助卡拉重新认识并审视自己的生命状态。克拉克买回弗洛拉,是为了抚慰安定马匹。最初,弗洛拉完全是克拉克的小宠物,在他跟前欢跳争宠,“像小猫一样敏捷、优雅、挑逗,又像情窦初开的天真女孩”(门罗,《逃离》9)。此时的弗洛拉就像与克拉克私奔时的卡拉一样,那时的卡拉“甘于当俘虏”,理所当然、心悦诚服地依恋克拉克,将他视为二人生活的设计师。可是长大后的弗洛拉更依恋卡拉了,“它突然变得明智,也不那么轻佻了——相反,它似乎多了几分内在的蕴藉,有了能看透一切的智慧”(门罗,《逃离》9)。长大后的弗洛拉就像婚后的卡拉一样,对于克拉克有了更为清醒的认识,她们都变得更有智慧。弗洛拉的改变也是卡拉的改变,是弗洛拉帮助卡拉更清楚地审视自己与克拉克的关系,反省自己的生命状态,卡拉与弗洛拉由此成为心灵上相互依恋的精神伴侣。最熟悉卡拉的两个人都将卡拉与山羊进行类比。西尔维亚潜意识中将卡拉比作精灵般的山羊,她称赞希腊的山羊像当地的精灵,卡拉一定会非常喜欢它们。克拉克则潜意识中已视弗洛拉为卡拉的化身。动物对于卡拉来说,是亲人,是朋友,是精神伴侣。当她感到压抑沮丧来到厩棚时,马儿们不敢正眼瞧她,就像儿童害怕生气的母亲,躲得远远的。只有弗洛拉走过来挨蹭她,看她的眼神“并不完全是同情,倒更像是闺中密友般嘲讽的神情”(门罗,《逃离》8),仿佛嘲笑她私奔的错误选择。所以,卡拉对待马匹就像母亲,态度温和严格,对待弗洛拉则似朋友,平等相处。对克拉克而言,动物既是宠物也是玩物,高兴时柔情蜜意待之,生气时毫不留情杀

之。丽姬是他的小宠物，丽姬的主人得罪了他，他便再也不照顾丽姬了。弗洛拉曾是他心爱的宠物，最后他还是残忍地杀死了它。对待动物的态度正是克拉克对待卡拉的态度，“他对马匹有时会显露出来的柔情——对她（即卡拉）也是这样”（门罗，《逃离》32）。克拉克对待动物居高临下的态度，正是其物种主义思想的反映，是其父权制意识的一个面向。他像驯服动物一样规训卡拉，终使卡拉难以忍受，激发卡拉的逃离。但在逃往多伦多的汽车大巴上，被父权制驯服的卡拉就像被驯服的动物一样，难以再生发出反抗父权制、追求女性主体性的力量，“她像匹被捶击过的马似的，怎么也站不起来”（门罗，《逃离》35）。

在卡拉的意识觉醒过程中，是弗洛拉启迪卡拉逃离男权制阴影，追寻独立的主体。弗洛拉逃走了，卡拉接连几天都梦见弗洛拉。在梦里，弗洛拉引导她“来到一道铁丝网栅栏跟前，也就是某些战场上用的那一种，接下去它——也就是弗洛拉——从那底下钻过去了”（门罗，《逃离》7）。卡拉潜意识中认为，弗洛拉是在启示她逃离压抑束缚的生活，追求自我的独立自由。“逃离就是向往一种没有克拉克的生活，这也在她的梦中被预见。梦中期待的将来是梦者最喜欢的，用弗洛伊德的话来说，就是‘我们希望它发生的’”（Bahador and Zohdi 172）。卡拉的两个自我——理性意志与自由意志开始较量，在西尔维亚家自由轻松的氛围中，追求自由独立的自我被激发，最终决定逃离。一般说来，自由意志“主要指一切感情和行动的非理性驱动力”，“不受理性约束，往往以激情和冲动的形式表现出来”（聂珍钊 278）；而理性意志则“由特定环境下的宗教信仰、道德原则、伦理规范或理性判断所驱动”，“以善恶为标准约束或指导自由意志，从而引导自由意志弃恶从善”（聂珍钊 279）。在陌生逼仄的汽车大巴上，被男性霸权社会驯服的温顺自我又占据上风，卡拉重新归来，逃离失败。令人意外的是，弗洛拉竟然也重新归来，很久之后，直到有一日收到西尔维亚的信，卡拉才知道弗洛拉曾经回来过。她猜测小树林里的骸骨是弗洛拉的，自此，卡拉心中永远深藏着一个诱惑，不自觉地向那走去。实际上，卡拉早已将弗洛拉视作另一个自我，一个追求精神自由与独立主体的自我。回归后的卡拉显然意识到生命中追求主体独立、精神自由的自我被扼杀。她深深呼吸时，“像是肺里什么地方扎进去了一根致命的针”（门罗，《逃离》46），但她已无力反抗，甚至欺骗自己，弗洛拉说不定被克拉克放走了。随着时间的流逝，卡拉不再去那片小树林。

就性别伦理修辞而言，弗洛拉是克拉克追求自由生命的别样自我，一个不妥协与不服从的生命幻象。克拉克杀死弗洛拉，既是对她逃离反抗、胆敢挑战其男权制权威的惩罚，亦是对卡拉的潜在规训与操控，扼杀了卡拉追求生命自由和精神独立的主体性，使她成为男性霸权社会一个无力反抗的臣属女性。弗洛拉被克拉克杀死之时，亦是卡拉被彻底驯化之时——反抗的结局

是死亡，卡拉只能乖乖做一个温顺听话的“驯养动物”和“男权臣属”。男性通过驯化动物来规训女性认同以男性为主的文化权力话语，通过杀死动物来惩罚女性服从社会权力结构秩序。这种社会权力结构秩序在被女性个体默默内化的同时，也使女性产生了自我怀疑、自我否定的心理机制，从而生成“驯顺的肉体”（福柯 156）。

四、动物书写作为伦理共情：动物他者化与性别伦理化

在门罗小说中，动物死亡以所谓沉默的属下身份和他者形象，嵌入人类与动物的亲密伦理关系之中，呈现出动物他者化和共情化、性别伦理化和政治化的书写特点，构成一个携带历史内涵、社会意义和思想价值的文化症候。

首先，就死亡方式而言，门罗小说中的动物死亡主要是人类施暴于动物，造成的非正常死亡现象。在这一彰显物种权力的过程中，动物以沉默弱小的失语形象被人类的现代化浪潮所无情裹挟，是人类社会经济活动与文化体制中不可或缺的一环。换言之，现代性既深度改变了人类的生活模式和思维方式，也重塑了人类与动物、男性与女性不平等的双向关系，使动物他者化与性别伦理化成为时代主流话语。其次，就纲目科属而言，门罗小说中的动物死亡主要涉及马科动物、牛科动物和犬科动物，部分兼及鸣禽动物以及其他。被宰杀的动物或为被驯化的性情温顺的牲畜家禽，或为未驯化的性情狂暴的荒野动物，在全球化浪潮和社会化体制之下有机融入人类的日常生活。第三，就表现角度而言，门罗小说中的动物死亡书写或从性别塑造与职业分工角度，或从帝国意识与殖民遗产角度，或从男性权力和文化规训角度，呈现作家对以男权为主导的性别伦理的隐秘洞察。正是在与动物息息相关、彼此共生的密切关系中，人类的动物共情意识、性别等级观念与共同体意识得以建构与投射。第四，就功能价值而言，门罗小说中的死亡动物，或是家庭经济的主要来源，或是帝国知识的现代标本，或是人类心灵的精神同伴。三类之间并非泾渭分明，截然不同，而是边界模糊，彼此关联，甚至相互重合。第五，就空间实践而言，无论是虐待和宰杀经济动物的日常行为，还是制作和展示标本动物的科学行为，抑或杀死同伴动物的物种权力行为，大多发生在私人性的日常空间和个人化的隐秘空间，诸如功能区隔的地下室和庭院之中，味道刺鼻的私人博物馆之内，充满暴力的个人家庭之中。这种空间实践的私人性和边缘性，有其值得深思和耐人寻味之处——男权机制和性别伦理对女性的规训由外而内，悄然渗透到日常生活的细微之处；国家权力和知识体制对女性的压制潜移默化，时时规约置身其中的每个个体。最后，就书写个性而言，对动物不幸遭际的共情书写，对动物悲剧命运的艺术再现，对动物与人类关系的反思叙事，不仅以象征暗示形式出现在门罗和阿特伍德（Margaret Atwood）等当代作家的创作图景中，更以写实面貌呈现在西顿（Ernest Thompson Seton）、罗伯茨（Charles G.D. Roberts）和莫厄特（Farley

Mowat)等动物作家的写实叙事中。比较而论,门罗小说中动物死亡书写的独特性主要是,在加拿大殖民历史和帝国文化传统中考察动物死亡,展现动物遭际与女性命运的内在关联性和日常隐蔽性。

在自然选择的基础上,“伦理选择把人类从兽中解放出来,〔……〕伦理意识才开始出现,善恶的观念才真正产生”(聂珍钊 6)。在与动物的亲密关系中,人类以人类中心主义立场和主客二分观念,将动物他者作为认知坐标和镜像参照,根据不同的伦理语境建构出不同的伦理身份和道德意识,由此动物书写投射着人类自身的伦理意识、精神内涵和文化想象。正是通过动物被宰杀与女性被规训的内在关联,门罗小说反思以父权制为主体的文明社会与以男性为主导的性别伦理的合法性,标举一种关注女性命运、反思权力机制、倡导物种平等和性别平等的思想诉求。门罗小说穿行于日常幽微之处和历史罅隙之中,通过展示日常生活中动物的不幸遭际,生动揭示出性别伦理与动物死亡的内在同构性,再现出女性如何逐步建构出自身在社会等级秩序中的位置,被规训为从心灵到身体都驯服的“第二性”。因此,只有消除其中隐蔽的权力机制,才可能实现真正的女性平等;只有每个个体认识到每个生命主体都是平等的,改变弱势生命遭受压迫的命运,才有可能实现男女两性在社会历史结构中的真正平等。正如女性主义者本尼(Norma Benney)在《众生一体》(“All of One Flesh”)一文所言,女性努力推翻父权制时,必须意识到其他生命体的痛苦,“只寻求自己的自由,而不同时寻求同一地球上其他生命体的自由,这既不公平也不公正。这些生命从出生到死都残酷地遭受父权制观念和体系的压制,它们也没有女性那样的权力可以组织自己(反对父权制)”(142)。就本质而言,在加拿大冷峻复杂的后殖民历史语境之中,门罗小说中的动物遭遇与女性命运具有隐蔽的内在关联和细密的历史逻辑。二者共同被以父权制为基础的现代社会所宰制,被以男性为主导的权力机制所支配,被以殖民话语为表征的文化遗产所规训。其中,动物是基于丛林法则的物种权力(即人类施暴动物)的牺牲品,女性则是基于男权思想的性别伦理(即男性规训女性)的献祭品。

作为一种内涵丰饶、饶有趣味的动物叙事景观,艾丽丝·门罗小说中的动物死亡蕴含独特的加拿大性别伦理、殖民历史和社会政治等多重内涵。动物死亡不仅揭示动物自身在加拿大殖民进程中的不幸命运,暗示加拿大掌控并征服广袤荒野及荒野动物,而且隐喻女性命运被裹挟进动物遭际之中,映照出父权制社会中女性遭际与动物遭遇的内在同构性。无论动物被展示与被屠杀,还是女性遭歧视与被凌辱,均是基于历史传统、政治话语和性别权力的伦理选择行为或伦理选择结果。在不同的伦理语境或伦理选择行为中,女性的不同伦理身份得到建构或解构、迷失或确证、规训或颠覆。马和狐狸等动物作为家庭经济来源被人类无情屠宰,使女性意识到社会权力结构中女性

与动物的臣属性，揭示出动物被人类宰杀与女性被男性规训具有内在的一致性。狼和浣熊等动物作为现代知识标本被人类默然展示，使缄默的女性感悟到自身与沉默的动物共同遭受生命创伤之痛，暗示着动物的无言与女性的沉默具有深刻的关联性。山羊等动物作为女性心灵同伴被人类冷漠屠戮，使女性意识到动物并非臣属人类的物性他者，而是自身主体建构的内在部分；同伴动物被无情谋杀意味着女性反抗男权制的精神力量被冷漠阉割，折射出动物被人类屠杀与女性生命力被男权阉割具有内在的同构性。由此，门罗小说用平淡而幽微的日常描写和含蓄而克制的叙事笔调，展示了人类以物种权力任意宰制和随意戕害动物，悄然撕开了父权制社会中权力机制与女性规训的温情面纱，为“我们互构为同伴物种”之论，延展出一个充满象征空间和隐喻体验的文本世界。

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《叶甫盖尼·奥涅金》中奥涅金的伦理选择与伦理困境

Onegin's Ethical Choice and Ethical Predicament in *Eugenii Onegin*

沈 扬 (Shen Yang)

内容摘要：普希金的《叶甫盖尼·奥涅金》描绘了 19 世纪初期俄国社会多元的伦理秩序，呈现了主人公奥涅金面临的种种伦理问题。本文从文学伦理学批评的视角出发，认为该部小说描写了奥涅金一系列伦理选择的过程，并以他最后陷入伦理困境的开放式结局收尾。奥涅金的自由意志驱使其拒绝了达吉亚娜的求爱，导致连斯基之死的悲剧；同时，奥涅金也在二者的积极影响下，表现出性格中良善的一面，能够用理性意志约束自由意志，做出正确的伦理选择。但，旅途归来后的奥涅金陷入了伦理困境，其根本原因在于他无法在并存的不同伦理秩序和道德观中做出正确价值判断。

关键词：《叶甫盖尼·奥涅金》；自由意志；理性意志；伦理选择；伦理困境

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Title: Onegin's Ethical Choice and Ethical Predicament in *Eugenii Onegin*

Abstract: Pushkin's *Eugenii Onegin* depicts the multiple ethical orders in the early 19th century and presents various ethical issues faced by the protagonist Onegin. Viewed from the perspective of Ethical Literary Criticism, this novel describes a series of Onegin's ethical choices and concludes with an open ending of ethical predicament. It is Onegin's free will that drive him to reject Dagiana's courtship, and lead to the tragedy of Lensky's death; at the same time, under their positive influence, he shows the good side of his character, and is able to restrain his free will with rational will, and make correct ethical choices. After returning from his journey, Onegin falls into an ethical predicament. The essential reason behind the ethical predicament is that Onegin cannot make correct value judgments in the coexisting different ethical order and moral values in society.

Keywords: *Eugenii Onegin*; free will; rational will; ethical choice; ethical predicament

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《叶甫盖尼·奥涅金》是普希金（А.С. Пушкин, 1799-1837）的诗体小说，被批评家别林斯基（В.Г. Белинский）誉为“俄国生活的百科全书”（别林斯基 628）。自小说发表至今的两百年来，主人公奥涅金的形象始终是文学界关注的焦点。早在1844年，别林斯基就从历史的视角指出，奥涅金是“迫不得已的利己主义者”（别林斯基 559）。他认为，使奥涅金具有冷酷、自私、不道德等特征的“不是天性，不是情欲，不是个人的迷误，而是时代”（别林斯基 552-553）。这一观点也成为研究者探讨俄国文学中“多余人”即“因为没有合适的平台而受限于自身发展中的人”（Виноградов 190）的形象的基础和标准。之后，学者大多突出奥涅金思想先进但意志软弱的形象特征，认为其“更多地具有探索人生真理的性质，带有一种群体的使命感”（于胜民 27），并结合普希金时期俄国的社会文化背景分析了奥涅金“迫不得已”的种种原因，如贵族与平民的阶级差距、欧洲与俄国的思想文化冲突等。基于此，奥涅金的“忧郁病”、冷漠及矛盾往往被解释为19世纪初流行于欧洲的怀疑主义道德哲学或个人主义思想作用下的表现。¹学者们也从道德批评的视角指出奥涅金“生活和道德立场的缺位”（Купреянова 270）或其“道德力量不足”（Жекулин 67）。伊·尼·苏希赫基于奥涅金与达吉亚娜之间的爱情悲剧，认为“《叶甫盖尼·奥涅金》的情节建立在伦理困境之上：从其中不能，也不可能找到出路，但是需要以某种方式去承受它”（Сухих 415）。这些研究成果大多对小说情节进行具体分析，未揭示其中奥涅金做出不同选择之间的关联性，爱情悲剧也仅仅是伦理困境的外在表现，其内因仍有待发掘。

文学伦理学批评认为“文学是特定历史阶段社会伦理的表达形式，文学在本质上是关于伦理的艺术”（聂珍钊 1）。普希金在《叶甫盖尼·奥涅金》中呈现了19世纪初俄国社会在经济、军事、文化等方面取得显著进步之外的另一幅现实景象，即人们的伦理意识还远远未能跟上时代的进步。这一现象与彼得一世的全盘西化改革，以及之后欧洲的知识、思想和文化越来越多地被引至俄国本土紧密相关。

1 参见 Купреянова Е. Н. “А. С. Пушкин.” История русской литературы в четырех томах. Т.2. Под ред. Е. Н. Купреяновы (Ленинград.: Наука, 1981) 270; 匡兴：“对奥涅金形象典型性质的再认识”，《俄罗斯文艺》2（1999）：98。

一、自由意志主导下的伦理选择

《叶甫盖尼·奥涅金》的故事情节围绕主人公奥涅金展开，其主线可分为三段：奥涅金拒绝乡村少女达吉亚娜、奥涅金和连斯基的决斗、奥涅金追求贵妇人达吉亚娜。文学伦理学批评认为，“文学作品的价值就在于通过人性因子同兽性因子的不同组合与变化揭示人的伦理选择过程。人性因子的表现形式是理性意志，兽性因子的表现形式是自然意志或自由意志或非理性意志”（聂珍钊 276）；自由意志和理性意志，这“两种意志之间的力量消长，导致文学作品中人物性格的变化和故事情节的发展”（聂珍钊 49）。可以发现，是主人公奥涅金的自由意志导致其做出错误的伦理选择，并最终酿成悲剧。

小说伊始，奥涅金的形象和性格特征已较为清晰：十足的纨绔少年、“寻欢作乐穷奢极欲的公子”（普希金 27）¹、上流社会交际圈的名流。而五光十色的舞会、自由自在的美好时光、情场中的辉煌胜利很快就让奥涅金腻烦。在对待感情方面，他“年纪轻轻就已学会虚情假意，（……）写起情书来是那么随便！”（10），但会因女人們的变心时常感到懊丧，以至于对爱情开始持一种不屑的冷漠态度。奥涅金未曾期待平等、安稳的爱情，而只是要把喜欢的人据为己有。这一点也反映在了他与达吉亚娜的关系中。在性格方面，奥涅金患上了“俄国人的忧郁病（……）像哈罗德²那样忧愁倦怠”（29）。他尝试过阅读书籍，用知识充实自己，但又认为里面都是些陈腔滥调。即便后来因伯父病危到了乡下，奥涅金的忧郁病依旧没有好转。村庄里美丽的自然景色起初尚能使他感到新奇，可是很快他就又得出“在乡下还是同样地无聊”（38）的结论。此外，奥涅金一方面讽刺亲戚间为赢得利益而表现出的伪善，诅咒着奄奄一息的伯父，另一方面又欣然接受后者的遗产，“蔑视旧习，挥金如土”（37）。奥涅金的忧郁气质深深地吸引着少女达吉亚娜。但在奥涅金眼中，一切爱情和婚姻家庭都是不幸的：“可怜的妻子/为不称心的丈夫悲哀痛哭，在孤寂中度过漫长的时日，/在那里烦闷的丈夫虽知道/妻子的贤惠（却诅咒运气），/总是愁眉不展、默默无言”（108-109）。因此，奥涅金选择拒绝了后者在信中的求爱，并说道：“我不是为幸福而生，它和我的心没有缘分”（109）。“自由意志是欲望（desire）的外在表现形式，（……）对某种目的或要求的有意识追求”（聂珍钊 39-42）。只有用理性意志约束自由意志，才能够避免沦为欲望的奴隶。奥涅金任凭自己沉沦于个人享乐之中，这导致他心情苦闷和精神空虚。实际上，奥涅金所追求的是纯粹自由主义式的、不受亲情束缚的个人幸福。

1 本文中相关作品引文均出自 普希金：《叶甫盖尼·奥涅金》，冯春译，上海：上海译文出版社，1999年。下文仅在括号中标出页码，不再一一说明。

2 英国诗人拜伦的长篇叙事诗《恰尔德·哈洛尔德》的主人公。

小说中写道，奥涅金对经济学颇有研究，偏爱亚当·斯密、萨伊和边沁等人的著作。接受了大量欧洲自由主义、功利主义思想也是导致其自由意志在伦理选择的过程中占据更多优势的主要原因。奥涅金在自由意志的驱使下表现出玩世不恭、自私自利的性格特征，但这在某种程度上也是人追求生存和享乐的本能。文学伦理学批评指出，“自由意志属于动物性本能的范畴，并无善恶的区别”（聂珍钊 282）。奥涅金选择拒绝达吉亚娜虽然是自由意志在起主导作用，但是据此对他进行绝对的道德批判有失偏颇。然而，不受约束的自由意志和同属于兽性因子表现形式的非理性意志会很容易造成悲剧。

小说中最大的悲剧便是奥涅金在决斗中杀死了好友连斯基。连斯基起初邀请奥涅金赴宴达吉亚娜的命名日，并向其保证不会有其他来宾，只是自己一家人。但是当天达吉亚娜家里却是“一清早就宾客盈门，/四周的芳邻都合家光临”（149）。奥涅金顿感气愤，决心要报复连斯基，故意在宴会上邀请后者的恋人奥丽加跳舞。连斯基心生愤怒和嫉妒，提出决斗。“在文学中，误解和因误解导致的一系列情感和行为，都属于非理性意志的表现”（聂珍钊 251）。奥涅金和连斯基都未经过理性思考，被情感冲昏了头，做出错误的判断：奥涅金认为连斯基当初故意说了谎；连斯基则是觉得奥丽加“刚刚出了襁褓，/就会卖俏，真是杨华水性！”（161）。在决斗现场，奥涅金并未像连斯基那般犹豫不决，径直走向对方，开了枪。

实际上，主人公兽性因子所表现出的冷酷无情在二人决斗前已有充分体现，甚至通过达吉亚娜的梦境得到更进一步说明。梦中，达吉亚娜来到一个林间小屋，里面满是鬼怪，奥涅金坐在当中，像是它们的主人。当鬼怪作势要扑向达吉亚娜时，奥涅金厉声喊道：“我的！”（146），将它们尽数呵退。后来连斯基走进屋，奥涅金突然抓起一把长刀杀害了他。鬼怪们的蹄子、毛尾巴、獠牙、犄角等似乎都是奥涅金兽性因子的外化形象。在他忧郁的外表下实则暗流涌动，随时有可能显露出自己作为鬼怪的另一面。

此外，奥涅金与连斯基的决斗也在很大程度上决定于当时的伦理环境和伦理规范。小说中多次描写到上流社会对虚荣的崇尚，“最怕在争斗中有失体面”（179）。奥涅金的理性意志不能控制他的自由意志，这使得他将荣誉置于道德之上，一心追求个人价值，甚至不惜以牺牲他人生命为代价。俄国的决斗习俗正是在“贵族的荣誉几乎成为了最主要的阶级道德”（Фуражева 299）的历史背景下不断发展并延续至20世纪。奥涅金开枪杀死好友连斯基既是情感冲动的结果，也是人类兽性因子所触发的犯罪欲望的体现，是一场自由意志彻底摆脱理性意志所导致的伦理悲剧。

二、理性意志作用下的伦理选择

奥涅金的自由意志导致小说中的悲剧事件，但他并非完全不具备道德意识。“自由意志是先于理性意志产生的，自由意志导致理性意志的出现，从

而使自由意志得到约束。自由意志尽管追求绝对自由，但却始终要受到理性意志的约束，因此往往同理性意志发生冲突”（聂珍钊 282）。如果说，奥涅金在自由意志主导下的伦理选择促使小说悲剧情节的发生，那么在这一过程和之后，他表现出的性格良善面和道德感以及做出的正确伦理选择则是理性意志发挥积极作用的结果。

对于刚刚结识连斯基的奥涅金来说，所谓的交情和友谊都没有意义，甚至是可笑的：“把所有的人都看成零，/ 只有自己才显得重要非凡。（……）把千千万万两脚的生灵，/ 都仅仅看成一般的工具，/ 古怪和可笑的倒是所谓感情”（52）。但是，他却渐渐地对连斯基表现出良善、温和的一面：虽然常常觉得连斯基的言论都是些胡话，但“他竭力控制自己的感情，冷言冷语到了嘴边又强忍”（53）；对于连斯基的诗歌，虽然不太懂，“却也听得十分留意”（54）。此外，与连斯基决斗之前，他也“一个人对着自己的良心，为自己的行为深深地悔恨”（168）。连斯基的死让奥涅金在之后的很长一段时间陷入了恐惧和自我的道德惩罚。直到小说临近结尾时，他的脑海中还会浮现出连斯基死时的景象。奥涅金的性情在与达吉亚娜的交往中也发生了一些改变。习惯了在上流社会和女人面前逢场作戏的奥涅金，原已不再期待美好的爱情。但在读到达吉亚娜的书信时，他被深深地触动了心弦，“沉浸于那甜蜜而又纯洁的幻梦”（106）。他不想随意玩弄这少女的感情，表现出了一定的道德责任感，劝告她“不谙世故会招来祸事”（110）。

理性意志“以善恶为标准约束或指导自由意志，从而引导自由意志弃恶从善”（聂珍钊 278-279）。奥涅金面对连斯基时性情的转变是十分重要的，标志着他具备了一定的伦理意识，能够认识到恶劣言行会伤及他人的感情，并用理性意志约束自己的自由意志。这也说明连斯基对于他来说不是工具，而是朋友。他长时间陷入因决斗杀害好友的痛苦，表现出了对生命的关怀和惋惜，“而痛苦和恐惧所引起的怜悯，就是一种道德情感”（聂珍钊 110）——“以理性意志形式表现出来的情感”（聂珍钊 250）。

奥涅金的理性意志能够实现对自由意志的约束很大程度上是受到连斯基和达吉亚娜积极的人生观、价值观和爱情观的影响。连斯基的诗歌里总是“保持着崇高美好的情愫，/ 保持着纯洁的梦想的激情 / 和美好的不可亵渎的质朴”（49）。他偏爱德国古典主义哲学和文学：他是康德的信徒，心中有那崇高的道德律令；他喜爱席勒和歌德的诗，对爱情和现实生活抱有高度的热情和理想。达吉亚娜沉醉于“卢梭设计的种种幻想”（62），钟情于英国小说家理查逊笔下男性道德的典范格兰狄生，热爱歌德的《少年维特之烦恼》、史达尔夫人的《戴菲林》等表现欧洲启蒙主义传统的感伤主义文学。“文学通过一系列道德事例和榜样从正面实现教诲、奖励和惩戒的目的，从而帮助人完成择善弃恶而做一个有道德的人的伦理选择过程”（聂珍钊 248）。连斯基的热情洋溢、质朴，以及想要与奥涅金建立深厚友谊的真诚使得后者开始相

信友情的重要价值；达吉亚娜的纯真、善良同样深深地吸引着奥涅金。她在信中的真情流露让主人公在很大程度上重拾了对待美好爱情的信心。后者自此也一直随身带着这封信，达吉亚娜对其感情观的重要影响不言而喻。

奥涅金在连斯基死后选择长途旅行也是其理性意志作用下的伦理选择。旅途中，他的性格和思想发生了极为明显的变化。他“沉浸在痛苦的深思之中，〔……〕因愁闷而感到迷茫”（279）。旅途中景物的“动”和“静”衬托出奥涅金性情的转变。他不愿再执着于自由意志，而渴望内心的宁静、生活的安稳：

在那些岁月，我需要的仿佛是
旷野，激浪珍珠般翻腾的地方，
喧闹的大海，嵯峨的巍岩，
〔……〕
如今我需要的是另一种景象：
我爱的是那砂土的山坡，
小屋门前的两颗花楸树，
〔……〕。（281）

他也不再想要追求“高傲的少女”，“现在的理想——要一个主妇”（281，282）。游历了诺夫哥罗德、雅罗斯拉夫、特维尔等承载着俄国厚重历史记忆的古迹之后，奥涅金忽然间来到了莫斯科。再次面对大城市中的浮华景象，他默然无言地陷入沉思，依旧苦闷。但是，此时奥涅金的苦闷已不同于他最初在上流社会时患上的“忧郁病”，不是虚度年华，一味追求自由而产生的空虚寂寞，而是真切地感受到自己内心与这上流社会的格格不入。上流社会在他眼中成为了欲望、痛苦和无聊的代名词。他很快心生厌恶，并踏上去往高加索的旅程。

理性意志对自由意志的约束实际上就是用道德约束自己的行为，使之不能随心所欲。奥涅金的自我道德谴责、拒绝激情、金钱和肉欲、反思过去、期待安稳家庭都是其理性意志约束自由意志以及伦理意识得到发展的表现。主人公前后两次远离奢侈、平庸的生活环境，踏上寻求灵魂救赎和生命意义的旅途正是其理性意志主导作用下的伦理选择。

三、奥涅金的伦理困境

随着小说情节的发展，奥涅金性格的矛盾性愈发明显：在莫斯科的上流社会“到处传播着 / 关于他的自相矛盾的流言”（382）。不过，此时他的沉思和矛盾引得人们的好奇心，而旅途归来，回到彼得堡之后，“大家都把他看成陌路人。 / 像一串令人厌烦的幽灵”（232）。“在伦理选择过程中，人

的善恶观念开始产生, 理性逐渐成熟”(聂珍钊 272)。旅行归来后的奥涅金的言行似乎表明他的理性尚不成熟, 而实际上, 他已经陷入了伦理困境。

奥涅金的伦理困境在于, 旅途结束后回到彼得堡上流社会的他无法解决远离此地还是继续留下的问题。伦理选择也是伦理价值观和伦理身份的选择。经历与连斯基的决斗, 奥涅金开始对自己过去持有的欧洲自由主义价值观和身份产生了怀疑, “一觉醒来成了个爱国人士。(……)对欧洲深深地痛恨”(379-380)。旅行中对自己国家和人民的所闻所见让他这个“披着哈罗德式斗篷的莫斯科人”(206)真正地开始思考自己的身份问题以及俄罗斯民族精神的重要性。他想要丢弃欧洲自由主义价值观和哈罗德式的身份, 但自己国家的传统伦理规范对于他来说既封建保守, 又充斥着伪善。

“按照在特定环境中形成的道德规范评价个人获得的知识, 是理性的基本特点”(聂珍钊 253)。奥涅金既否定了自己已知的伦理规范, 又无法基于理性建立另他满意的新的价值信仰。如果说, 自由意志驱使他选择继续上流社会的浮华生活, 理性意志另他选择了远离, 并深入俄国普通人民当中, 那么此时这两种意志已然处于激烈的碰撞阶段: 前者导致的结果令其感到厌恶, 后者最终也未能得到他的价值认同。显然, 一场旅行的时间不足以让奥涅金认识到应该或能够成为什么样的人。“在文学作品中, 伦理选择往往同解决伦理困境联系在一起, 因此伦理选择需要解决伦理两难的问题”(聂珍钊 268)。自由意志和理性意志导致不同的伦理选择, 二者之间不可调和的矛盾或导致的负面结果则会让人难以做出选择, 从而陷于伦理困境。奥涅金的自由意志和理性意志都无法让他做出自认为正确的选择。

奥涅金最终面对达吉亚娜时陷入了又一个伦理困境: 他已经深深地爱上了达吉亚娜, 但达吉亚娜已为人妻的伦理身份使得他不得不认真审视自己的行为。他写信给达吉亚娜, 说到曾经拒绝她是“不愿意丧失自由”(249), 连斯基的离世让他们分了手, 渴望能够“真诚地恳求、表白和哀诉”(251)。在接连寄出的几封信件都未得到回复后, 奥涅金“愤怒地诅咒自己的疯狂(……)再次与社交界断绝了来往”(252-253)。在理性意志的约束下, 奥涅金没有进一步做出非理性的举动, 大部分时间陷入内心的煎熬和无尽的相思之中。他独自在自己的小屋度过了一整个冬天, 期间不加选择地读了吉本、卢梭、孟佐尼、赫尔德、尚福尔等英国、法国、德国、意大利作家和启蒙思想家的作品, 想要从其中获得情感上的平静。最终, 他再次来到达吉亚娜的面前, 期待着后者仍像过去一样爱他。然而, 他等来的不过是一番训诫的话。达吉亚娜认为奥涅金与那些习惯于招惹太太、小姐的纨绔子弟无异, 因此对他的示爱行为责备道: “难道不是因为我的耻辱/现在会引起大家的注意, /因而在社交界会给您带来/善于诱惑女人的名气?”(260)奥涅金没有像他当初在信中所写的那样去哭诉、哀求, 而是无言以对, 始终保持着沉默, 因为达吉亚娜道出了他无法否认并且已有所认识的现实。在听完达吉

亚娜说她将对丈夫一辈子忠实的话之后，奥涅金“仿佛被巨雷轰懵了一样。/ 这时他心里百感交集，/ 翻腾得有如倒海翻江！”（262）

小说开篇就有一段对当时上流社会中普遍接受欧洲贵族阶级非婚姻关系自由爱情的描写：“可是你们，自鸣得意的男人啊，/ 却和他结交往来，友好相处：（……）无论是哪个狡诈的丈夫，/ 无论是哪个多疑的老头，（……）他总为佳肴和老婆踌躇满志”（12）。因此，奥涅金有理由按照自由意志去追求个人幸福，哪怕对方的丈夫会提出决斗。但这样一来，他就和遇到连斯基和达吉亚娜之前的那个过去的自己没有什么差别了。在自由意志的主导作用下，奥涅金想要通过追求达吉亚娜以获得理想的爱情，并且按照上流社会的伦理秩序，人们也不会对他的情人身份进行道德批判，但理性意志阻止他重复过去对待女性的那套做法，另其反思面对爱情和婚姻时应该扮演何种角色、遵循什么样的道德规范。

可见，奥涅金陷入伦理困境的根本原因在于他无法在并存的不同伦理秩序和道德观中做出正确的价值判断。对于他来说，理性意志与自由意志作用下做出的选择都将导致消极的结果。我们在小说中看到的奥涅金既不是一个思想先进、意志软弱的人，也不是冷漠无情、不道德的人，而只是一个接受了高等知识教育，但伦理意识有待成长的普通俄国贵族青年。普希金在作品中呈现的正是奥涅金伦理意识的成长历程，只不过人类经过伦理选择变成具有伦理意识的人的过程往往是悲剧性的。小说以开放式的结尾突然收场，留下了主人公自身尚未解决的伦理困境，但作者以达吉亚娜在奥涅金面前表现出的高贵品格为后者道德理性的进一步成长提供了可能。

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狄金森死亡诗歌中的“伦理选择”与“生命哲学” “Ethical Choice” and “Philosophy of Life” in Dickinson’s Death Poems

黎志敏 (Li Zhimin)

内容摘要：文学伦理学批评认为，人类是通过“伦理选择”克服动物本性，走上理性之路的。在面对死亡时，很多人（包括一些诗人）会不由自主地产生恐惧之类的负面情绪，这是一种动物本性的反应。狄金森却与众不同，她通过“伦理选择”获得了能够以平静的心态直面死亡的具有高度理性的“生命哲学”，并且在大量死亡诗歌中将它生动地表现了出来。狄金森当时所处的“伦理环境”以宗教为主导，她身边的绝大多数人都选择了信教。不过，狄金森不屑于借助宗教信仰逃避死亡，她选择在诗歌作品中以理性直面死亡。狄金森以“爱”为基石建立起了“美”的诗性王国，并且赋予了它强大的理性品质。狄金森的死亡诗歌体现了智性和感性的完美结合，体现了真善美的完美结合。狄金森的死亡诗歌具有极大的教诲价值，能够帮助读者通过审美途径获得具有高度理性的“生命哲学”。

关键词：文学伦理学批评；狄金森；死亡诗歌；伦理选择；生命哲学

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Title: “Ethical Choice” and “Philosophy of Life” in Dickinson’s Death Poems

Abstract: Ethical literary criticism holds the view that human beings curb animal instinct and acquire rationality via the way of “ethical choice”. Many people, including some poets, instinctively experience certain negative emotions such as horror while facing death, which is manifestation of the so-called animal instinct. However, Emily Dickinson acquired certain philosophy of life of high rationality after making her own ethical choice, which enabled her to face death with a peaceful mind. She vividly expressed her philosophy of life in many of her beautiful death poems. The ethical environment at her hometown was religious when Dickinson was alive, and most people around her chose to have faith in God. However, Dickinson declined to take shelter in religion, and chose to face death

squarely with her invincible reasoning power in her poetry. Dickinson built her beautiful poetic kingdom upon the solid foundation of love and endowed it with great reasoning power. In Dickinson’s death poems, great merits are accomplished both intellectually and emotionally, which is a perfect unity of the true, the good and the beautiful. Dickinson’s death poems are of great educational value, as they could help readers build up their own philosophy of life endowed with reasoning power.

Keywords: Ethical Literary Criticism; Emily Dickinson; death poems; ethical choice; philosophy of life

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在狄金森 (Emily Dickinson) 创作的 1789 首诗歌中¹, 涉及死亡的作品多达三分之一以上。狄金森在其死亡诗歌中通过“伦理选择”获得具有高度理性的“生命哲学”, 这值得学界深入研究。人们一般对死亡怀有某种本能的恐惧心理, 大部分诗人也不例外, 在他们的诗作中, “死亡”让人产生负面情绪。例如: 莎士比亚曾在《哈姆莱特》中将“死亡”形容为一个有去无回的“神秘国度”, 并且描述了哈姆莱特因为对未知的死亡世界的恐惧而放弃“伟大事业”的过程。² 又例如, 在《死亡》一诗中, 雪莱 (Percy Bysshe Shelley) 对“死亡”表达了和莎士比亚类似的感受。此外, 在《死神莫驕妄》中, 邓恩 (John Donne) 痛斥了“死亡”。在该诗最后, 他说道: “死亡, 你死去吧” (Death, thou shalt die)。邓恩对死亡的这种强烈排斥态度让读者感受到了对死亡的恐惧。

文学伦理学批评认为, “在伦理选择中, 人需要通过理性约束动物本性, 强化人的道德性, 同时对动物本性保持警觉, 将其管控在伦理允许的范围之内” (聂珍钊 75)。莎士比亚、雪莱、邓恩等人的作品中所表现的对死亡的恐惧心态属于“动物本性”的反应, 缺乏理性品质。与他们不同, 狄金森在其死亡诗歌作品中对死亡所持的是一种十分“平静”的心态, 没有丝毫恐惧的痕迹, 具有鲜明的“理性”品质。

1 See R. W. Franklin, ed., *The Poems of Dickinson*. Cambridge, Mass.: The Belknap Press of Harvard UP, 2003. 该书共收录狄金森诗歌共计 1789 首。不过, 如果将狄金森信件中的某些诗歌作品计入进来, 这个数字还会增加。

2 参见 黎志敏: 《莎士比亚作品导读》(武汉: 武汉大学出版社, 1999) 246-259。

一、狄金森“选择”了热爱生活

学界已从诸多视角对狄金森的死亡诗歌进行研究。有的学者进行了“分类”研究，例如美国学者约翰逊（Thomas H. Johnson）将狄金森的死亡诗歌分为三类：1、描写肉体死亡的诗歌；2、刻画临终时分的诗歌；3、悼念亲友的诗歌。¹中国学者张礼龙将狄金森的死亡诗歌分为五类：1、描写死亡过程的诗歌；2、想象死后世界的诗歌；3、思考人类和上帝关系的诗歌；4、刻画现实人生的诗歌；5、表现生者对死亡情感的诗歌。²相关分类研究并未触及狄金森的死亡诗歌何以对读者产生艺术感召力的问题。

还有学者探讨了狄金森写作死亡诗歌的动机问题。狄金森的侄女马萨·狄金森·拜安齐（Martha Dickinson Bianchi）认为狄金森是因为目睹了太多死亡事件，所以她的心思“永远地被死亡所占据着”（83）。马萨认为从1878年塞缪尔·鲍尔斯死亡之后，狄金森就失去了对于生活的那种最初的“确切感”，而1879年她父亲的死亡更给了她致命一击，使得她“再也无法恢复对于生活的信仰了”（83-84）。由于马萨是狄金森的亲戚，因此她的这一论断被赋予了一定的可信度，经常被学界引用。中国学者江枫认为，狄金森创作死亡诗歌是“因为在她所接触的狭小的天地里，有许多亲友邻人由于疾病、战争（内战和外战）或贫困，先她而相继凋零”（9）。此外，黄修齐认为狄金森是因为“与外界不融洽，又寻找不到‘逃脱’之路，于是把希望寄托在死亡上”（52）。类似研究认为狄金森的死亡诗歌表明她所持的是一种消极人生态度，从而给狄金森的死亡诗歌赋予了某种消极意义。还有一些比较另类的研究，例如约翰·科迪（John Cody）以弗洛伊德的精神分析理论考察了狄金森的人生轨迹，指出狄金森身上具有多种严重的精神疾病症状³，认为她在“二十几岁时就崩溃了”（260）。约翰·科迪以弗洛伊德的精神分析理论对狄金森进行分析并不合适，因为前者是某种一般性的“规范”（norm），而后者被普遍认为是天才。约翰·科迪本人也承认了精神分析理论的局限性，说它“无法解释天资，更不用说天才了”（2）。

事实上，狄金森的人生态度十分积极：她热爱生活，全身心地拥抱生活。在和朋友的一次对话中，狄金森谈到：“我在生活中发现狂喜——仅仅是活着的感觉 / 就给我带来足够的快乐”（I find ecstasy in living—The mere sense

1 See Thomas H. Johnson, *Emily Dickinson: An Interpretive Biography* (Cambridge, Mass.: Harvard UP, 1955) 203-204.

2 参见 张礼龙：“现实与信仰——对狄金森有关死亡诗歌的探索”，《外语与外语教学》10（2004）：29-31。

3 See John Cody, *After Great Pain: The Inner Life of Emily Dickinson* (Cambridge, Mass.: Harvard UP, 1977) 261-262. 在这里，约翰·科迪列举了狄金森身上的12种主要症状，其中包括“她的心思被死亡所占据着”（preoccupation with death）。换言之，如果一个人专注地思考死亡问题，在约翰·科迪看来就是一种“精神病症状”了。

of living/ is joy enough) (Johnson, *The Letters of Emily Dickinson* 474)。狄金森因“活着”本身感到“狂喜”，这表明她超越了得失，她对生活的热爱是根本的，是生活中的任何“失去”也无法剥夺的。

任何人都会受到苦闷、痛苦等负面情绪的侵扰，狄金森也不例外。不过，人和人的差别之一在于他们在面对同样事件时所进行的不同伦理选择——有人在生活不幸的打击下，会像马萨等人所说的那样产生绝望，乃至患上精神疾病，而狄金森在经过痛苦的洗礼之后，选择更加坚定地热爱生活，正如她所宣称的那样：“我的事业就是‘爱’” (my business is to Love) (Grabher 192)。正因为她选择了对生活的热爱，而且在诗歌中以“爱”化解了对死亡的恐惧，狄金森的生命才出现了升华，她的死亡诗歌也才焕发出了一种奇妙的生命哲学魅力。

二、狄金森“选择”了理性

一般人在面对死亡时往往会陷入一种恐惧的情绪之中，而狄金森选择了理性地面对并思考死亡。在“I reason, Earth is short” (《我推断，尘世很短》) 这首诗中，狄金森写道：

I reason, Earth is short—
And Anguish—absolute—
And many hurt,
But, what of that?

I reason, we could die—
The best Vitality
Cannot excel Decay,
But, what of that?

I reason, that in Heaven—
Somehow, it will be even—
Some new Equation, given—
But, what of that? (Franklin 186)

译文：

我推断，尘世很短—
而剧痛—绝对—
还有很多伤害，
但，那又怎么样呢？

我推断，我们会死——
最有活力的
也无法避免腐朽，
但，那又怎么样呢？

我推断，在天堂——
忽然，一切平稳——
被赋予了，某种新的平衡——
但，那又怎么样呢？¹

直面死亡，进行冷静的思考无疑需要极大的勇气。正因为缺乏这种勇气，很多人无法开始思考，无法获得理性，也就走出对死亡的恐惧。狄金森不乏勇气，一般人避之不及的“剧痛”（Anguish），被她一句“那又怎么样呢”化解。紧接着，“死亡”、“天堂”也被她一句“那又怎么样呢”化解。

在这首诗中，狄金森通过理性的思考确定“我们会死”是所有生命的规律，即便“最有活力的 / 也无法避免腐朽”。“所有人必然死亡”是人类生命的客观规律。人们对于死亡之所以产生恐惧情绪，归根到底在于不能理性地接受这一客观规律。人类历史上的很多愚昧行为，都出于对这一客观规律的选择性漠视。狄金森选择了坦然地接受“人类必然死亡”这一客观规律，从而获得了走出对死亡的恐惧的立足点。

很多人需要依赖宗教信仰来克服对死亡的恐惧情绪。宗教的方法十分简单且有效：它通过神话故事构建了一个死后的世界，以此否定死亡本身，从而消除了信教者对死亡的恐惧。想要在宗教信仰中真正获得克服死亡恐惧的精神力量，关键在于“认信”，即无条件地放弃对“上帝”和“天堂”是否存在的任何质疑。也就是说，必须完全搁置自己的逻辑理性（即求“真”的冲动和能力），否则，就难以真正相信“上帝”和“天堂”，也就难以真正在宗教信仰中获得克服死亡恐惧的精神力量。

狄金森成长的伦理环境是以宗教为主导的，她在思考死亡时，不可避免地会想到“天堂”。她在《我推断，尘世很短》中说：“我推断，在天堂—— / 忽然，一切平稳—— / 被赋予了，某种新的平衡”。然后又以一句“那又怎么样呢”将“天堂”轻轻打发掉了。可见，狄金森并不能在宗教有关“天堂”的话语体系中获得安慰，也不愿意为了信仰“天堂”而搁置自己的理性。她坚韧的理性品质已然超越了宗教信仰所能够允许的程度，宗教世界已然不是她灵魂的栖身之所。

在 19 世纪 50 年代狄金森尚小的时候，除了她之外，她全家都加入了阿

1 本文中的外文诗歌及引文均出自笔者译。

默斯特第一教会。她在 1846 年给女友阿拜亚的信中写到：

曾经我差一点就被说服做了一个基督徒。曾经我以为自己再也不会轻率、世俗——在某个很短的时间内，我感觉自己找到了自己的救世主，我可以说在那一刻我感受到了完美的平静与幸福。可是，我很快就忘记了我的清晨祷告，没忘记时也会觉得那很让人讨厌。慢慢地，我的旧习惯一个一个地回来了，然后我对宗教更加前所未有地漠不关心了。

(Johnson, *The Letters of Emily Dickinson* 27)

可见，狄金森曾经努力接近宗教，在某一刻还曾经认为自己“找到了自己的救世主”，并且“感受到了完美的平静与幸福”。然而，她终究因为觉得那些宗教教条“让人讨厌”而放弃宗教，对“对宗教更加前所未有地漠不关心了”。

在“Those—dying then”（《从前——临死之人》）一诗中，狄金森以理性思考直接否定了上帝的存在，她写道：

Those—dying then,
Knew where they went—
They went to God’s Right Hand—
That Hand is amputated now
And God cannot be found—
The abdication of Belief
Makes the Behavior small—
Better an ignis fatuus
Than no illume at all— (Franklin 582)

译文：

从前——临死之人，
知道他们去往哪里——
他们去往上帝的右手——
现在那只手已被切断
上帝，找不到了——
抛弃了信仰
行为变得不受重视——
一点鬼火
比什么都没有好——

“现在那只手已被切断 / 上帝，找不到了”二行诗句，表明狄金森并不相信

上帝的存在，并且认定宗教已经无法给人们提供精神庇护。她随后还以肯定的语气说“一点鬼火 / 比什么都没有好”这句话表明狄金森认识到了宗教信仰对于规范社会秩序的作用，并且从这个角度肯定了它。这种肯定是以她“不相信上帝真的存在”为基础的，是一种功利性的肯定。诗中的用词“*ignis fatuus*”（鬼火、幻火）有“*a false hope*”（错误的希望）的意蕴，这一措辞表明她在潜意识中就不信上帝。

在以宗教为主导的伦理环境中，拒绝成为教徒需要极大的勇气。狄金森写道：“基督在这里召唤着每一个人，我所有的同伴们都回应了，连我亲爱的妹妹维尼也相信自己真地热爱、信任他（基督）。只有我一人坚持反抗，并对他越来越不在意”（Johnson, *The Letters of Emily Dickinson* 94）。狄金森独自一人坚持反抗的事实，表明她具有独立思维的可贵品质，也表明她意志坚定，不屈服于任何力量。换言之，狄金森不仅能够辨明“真”，而且还能够捍卫“真”；她不仅具有逻辑思维的理性，还具有强大的思维韧性。

思考死亡问题的关键在于明确死亡的客观性质，并且从心理上勇敢地接受本来就无可避免的死亡。狄金森做到了这一点，在她的死亡诗歌中没有任何对死亡的恐惧。在《如果这就是“衰亡”》一诗中，狄金森写道：

If this is “fading”
 Oh let me immediately “fade”!
 If this is “dying”
 Bury—me, in such a shroud of red!
 If this is “sleep”
 On such a night
 How proud to shut the eye!
 Good Evening, gentle Fellow men!
 Peacock presumes to die! (Franklin 62)

译文：

如果这就是“衰亡”
 哎，那就让我立即“衰亡”！
 如果这就是“死去”
 那就埋—我，用这样红色的寿衣！
 如果这就是“睡眠”，
 在这样的夜晚
 那就骄傲地闭上眼睛！
 晚安，各位温柔的亲友！
 骄傲的孔雀拥抱死亡！

在“那就骄傲地闭上眼睛！/（……）/骄傲的孔雀拥抱死亡”这两行诗句中，狄金森不仅表达了坦然接受死亡的态度，而且将“生”和“死”严格地区分开了来：生就骄傲地生，死就坦然地死。在狄金森的诗意世界里，“死亡”不能影响到“生的骄傲”。死亡本身并不可怕，可怕的是“感觉可怕”本身。换言之，客观的死亡本身并不能对人们的生活产生负面影响，对人们的生活产生负面影响的是人们对死亡的恐惧情绪。坦然地面对死亡，将“生”和“死”严格地区分开来，事实上有力地保护了“生”不受“死”给人们带来的恐惧情绪的侵扰。可见，狄金森的死亡诗歌之后的驱动力，是具有积极意义的生命哲学。

人们一般将死亡理解为“生命的终结”，这一观念将“死”和“生”对立起来，并且赋予“死”以绝对的负面意义，认定负面之“死”终结了正面之“生”，这是一般人对死亡持恐惧心态的思想根源所在。在狄金森的诗歌中，死亡是一种没有正负色彩的“零度”（客观）事实，它不能对“生”的意义造成任何影响，也就是说，生的意义不会因为死亡而产生衰减。狄金森诗歌中的死亡正如音乐中的休止符一样，它本身不会对有声的旋律产生衰减效果；恰恰相反，作为“休止符”的死亡可以给作为有声音乐的生命提供无穷的延展和生长空间。“休止符”本身就是一种音符，“死”本身也是“生”的延续。从这个视角，我们才能理解狄金森为何不害怕死亡，为何在诗歌中常常将死亡等同于“永生”。

死亡是一种客观自然规律，它在由自然赋予的权利范围内存在。它和“生”具有明确界限，它本身并不侵犯人类的“生”的任何利益。如果有人对死亡产生负面情绪，那只是因为这些人没有正确认识到或认识到了也不想承认死亡的客观存在及其自然权利。对死亡的负面情绪不会对死亡产生任何影响，只会对相关人的生活带来负面影响。简而言之，死亡本身并没有对人类“生”的利益带来任何损害，人们对死亡产生负面情绪并且受到负面影响，是由他们对死亡的错误认知与错误态度导致的。

三、狄金森“选择”了美的诗歌

西方宗教本身就是“伦理选择”的产物，宗教教义构成了西方文化伦理的经纬，是西方人道德性的判断标准。不同教派选择不同的方法来吸引、教诲信徒。基督教选择以“爱”的精神来感化信徒，因此创造了耶稣为拯救人类而献身的神话故事，吸引很多人皈依了基督教。狄金森也选择了“爱”，她的心中有一座充满“爱”的教堂。在一封写给苏珊的信中，她说：“（……）苏珊，你不要去他们的集会，今天早上就和我一起去我们心中的教堂，那里钟声永远常鸣，那里牧师的名字叫爱——他会为我们说情”（Johnson, *The Letters of Emily Dickinson* 181）。在“爱—先于生命—”一诗中，狄金森阐释

了自己对“爱”的理解：

Love—is anterior to life—
Posterior—to Death—
Initial of Creation, and
The Exponent of Earth— (Franklin 411)

译文：

爱—先于生命—
后于—死亡—
是创世的起因—
尘世的拥趸—

和基督教将爱作为一种手段不同，狄金森将爱等同于生命本身。在另一首诗中，狄金森写道：Love is like Life—merely longer/Love is like Death, during the Grave/Love is the Fellow of the Resurrection/Scooping up the Dust and chanting “Live” (Franklin 128)（爱像生命 — 只不过更久长 / 爱像死亡，在坟墓之中 / 爱是复活的那人 / 捧起尘土，高唱“生命”！）有学者评价狄金森死亡诗歌时说：“（狄金森诗歌中的）死亡具有爱的形式，这是一种创造力的表现。对于狄金森而言，没有爱的生命就是死亡，而在爱中的死亡就是生命。爱成为了生命，生命就是爱，死亡因为死亡而获得生命。最终，爱超越生命和死亡达到了永生”（Grabher 411）。基督教选择将爱融入到了耶稣的神话故事中，而狄金森选择将爱融入到了自己的诗歌作品中。基督教以“爱”为基石建立了自己的天堂，而狄金森以“爱”为基石建立了“美”的诗性王国。

狄金森选择坚定地热爱生活，这是“求善”；她选择以逻辑理性确认死亡的客观属性，这是“求真”。最后，她选择以“美”的诗歌来表达“爱”与“理性”品质，使得真善美在她的作品中得到了完美的统一。例如在“*She slept beneath a tree*”（《她长眠在一棵树下》）中，狄金森写道：

She slept beneath a tree—
Remembered but by me.
I touched her Cradle mute—
She recognized the foot—
Put on her Carmine suit,
And see! (Franklin 25)

译文：

她长眠在一棵树下—
只有我记得她。
我无声地抚摸她的摇篮—
她听出了我的脚步声—
穿上深红的套装
来看！

在这首诗中，诗人对已经“死”去的好友，依然充满了“生”的感情。她去看望“死”去的好友，正如好友仿佛还健在一样。这种融汇了深刻的爱和强大理性的感情，能给读者带来审美满足感。在另一首诗歌“Because I could not stop for Death”（《因为我不能为死神停留》）中，狄金森生动地描写了自己进行伦理选择时的心理过程：

Because I could not stop for Death—
He kindly stopped for me—
The Carriage held but just Ourselves—
And Immortality.

We slowly drove—He knew no haste
And I had put away
My labor and my leisure too,
For His Civility—（Franklin 219）

译文：

因为我不能为死神停留
死神慈祥地为我驻足。
马车上只有我们
还有不朽。

我们徐徐而行。他从不着急。
出于对他的礼貌
我收起我的工作
不再编制毛衣。

在这首诗中，因为死神性格温和，具有绅士风度，叙述者也选择放下了手中的活计。之后，他们像老朋友一样聊天，直至“永生”。在“I died for

beauty”（《我为美而死》）一诗的第一行“我为美而死”，狄金森就清晰地表明了为自己选择的事业是求“美”——她愿意为之而生，为之而死。她还谈到“美”和“真”本来就是“一体”的。

I died for Beauty—but was scarce
Adjusted in the Tomb
When One who died for Truth was lain
In an adjoining room—

He questioned softly “Why I failed”?
“For Beauty”, I replied—
“And I—for Truth, —Themselves are one—
We Bretheren, are”, He said—

And so, as Kinsmen, met a night—
We talked between the Rooms—
Until the Moss had reached our lips—
And covered up—Our names— (Franklin 207)

译文：

我为美而死——但我
刚进坟墓，就有
一位为真而死的人
被放进毗邻的房间——

他轻声问我：“为何而死”？
“为了美”，我答道——
“我——是为了真，——它们本来就是一体——
我们是兄弟”，他说——

于是，像兄弟一样，在夜晚相逢——
我们隔着房间谈话——
直到苔藓长到我们的嘴唇——
直到苔藓遮盖了——我们的名字——

哲学家借助逻辑理性也能像狄金森一样认识并坦然接受客观的死亡。不过，狄金森选择以美的诗歌作品来直面死亡更具有感染力。狄金森不仅在思

想上达到了很高的生命哲学境界，而且比哲学家用抽象语言表达哲思更为可贵的是：她将生命哲学以细腻的语言、在感觉层面表达了出来，让读者可以直观地体验到哲学理念给人带来的细腻情感内涵。读者即便不能在逻辑理性上理解她的哲学境界，也可能因为阅读她的诗歌作品获得的奇妙情感体验而爱上了她的审美境界，而且可能因为爱上她诗歌作品的审美境界，开始不懈地追求她生命哲学的境界。

狄金森的“伦理选择”不是一蹴而就，而是充满着坎坷、挣扎与决断的。在失去许多亲友之后，她没有让自己沉沦，而是选择了“爱”，选择了积极地面对生活。在面对死亡时，多数人受到动物本性的左右陷入了对于死亡的恐惧，狄金森却选择了以思考直面死亡，最终获得了具有高度理性的生命哲学。在当时以宗教为主导的“伦理环境”中，她也一度尝试走进宗教，不过最终选择了远离宗教，选择了走进诗歌。一旦选定诗歌，她就选择了将整个生命投入到诗歌事业之中，构建出了一个真善美的诗意王国。文学伦理学批评认为，“文学的伦理价值就是文学的正面道德教诲价值。（……）读者通过对文学作品的审美，获得道德教诲；作品经过读者的审美，体现伦理价值”（聂珍钊 88-89）。读者通过对狄金森死亡诗歌的审美，能够获得良好的体验，真切地感受到狄金森生命哲学的魅力，获得教诲。

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霍夫曼小说《斯居戴里小姐》法律叙事中的刑事责任能力

Criminal Responsibility in the Legal Narratives of Hoffmann's *Das Fräulein von Scuderi*

杨 柳 (Yang Liu)

内容摘要：作为一部充满时代话题的小说，E.T.A. 霍夫曼的《斯居戴里小姐》全景式地勾勒出 19 世纪初普鲁士的司法图景。拥有作家和法官双重身份的霍夫曼在小说中引入了刑事责任能力问题，形成与其二审主审的施莫林谋杀案的双向交互。本文从犯罪动机、精神异常、刑罚威慑等层次充分释读小说及其背后的案例，结合 19 世纪初兴起的精神医学与刑事法学的权力、知识话语之争，探究霍夫曼针对刑事责任能力问题的法律信仰和诗性表达。《斯居戴里小姐》以一种文学话语替代刑事法学的叙事传统，重构文学对刑事责任能力的解读，使抽象的法律概念摆脱了案例框架，而带有霍夫曼独特的历史视角。

关键词：霍夫曼；《斯居戴里小姐》；精神异常；刑事责任能力

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Title: Criminal Responsibility in Hoffmann's *Das Fräulein von Scuderi*

Abstract: As a novel full of contemporary topics, E.T.A. Hoffmann's *Das Fräulein von Scuderi* paints a panoramic picture of Prussia's justice in the early 19th century. Hoffmann, who had the dual identity of writer and judge, has introduced the hot issue of criminal responsibility at that time in the text, and formed a two-way interaction with the murder case of Schmolling, which he presided over in the second trial. This article fully interprets the novel and the case behind it from the perspectives of criminal motive, mental abnormality and penal deterrence, and explores Hoffmann's legal beliefs and poetic expressions on the issue of criminal responsibility in the context of the power and intellectual discourse between psychiatry and criminal jurisprudence that emerged in the early 19th century. Through a narrative tradition replacing criminal jurisprudence with literary discourse, *Das Fräulein von Scuderi* reconstructs literature's interpretation of criminal responsibility and removes abstract legal concepts from the case

framework, thus with Hoffmann's unique historical perspective.

Keywords: Hoffmann; *Das Fräulein von Scuderi*; madness; criminal responsibility

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作为德国 19 世纪杰出小说家，霍夫曼（E.T.A. Hoffmann）在 1814 年到 1822 年长达七年多的时间里任职于柏林高等法院。作家与法官的双重身份相互交织为霍夫曼文学批评拓宽了突破浪漫主义语境的可能性。目前关于他的小说《斯居戴里小姐》（*Das Fräulein von Scuderi* 1818，以下简称《斯》）的主题研究主要涉及艺术家的唯艺术至上问题。¹这与作家广泛涉猎艺术领域的背景有关。此外，在小说的情节背后还深深地嵌入了霍夫曼作为法官对 19 世纪早期个体的自我决定、责任能力等基本命题以及一定心理或精神状态下的刑罚适用等悬而未决问题的思考。

在柏林高等法院履职刑事法官期间，霍夫曼在二审中负责审查 1815 年 12 月发生的威廉·S 案。被告人威廉在一审时辩称，自己在对妻子所喝的咖啡下毒时处于酒精中毒的状态，“属于无意识”²（Hoffmann 648）。被告人的辩护词中提及的“无意识”即指向当今各国的现代刑事法律体系内常用的一个刑法概念——刑事责任能力。刑事责任能力是指行为人辨认和控制自己行为的能力。辨认能力是指行为人对自己行为的性质、意义和后果的认识能力；控制能力是指行为人按照自己的意志支配自己行为的能力。是否具有刑事责任能力是判断罪与非罪的基础。上述概念并非是当今法治状态下的应然存在，它的背后承载着人类对理性与犯罪之间关系的探究史。

一、刑事责任能力在文学和法学中的话语表征

在 18-19 世纪早期的文学史上，虽然各式文本话语中没有显性地提及刑事责任能力这一法律概念，但作为与刑事责任能力密切相关的心理或精神问题却早已成为文学描写的重要主题。其中最典型的是，1786 年席勒（Friedrich Schiller）在《受侮辱的罪犯》（*Der Verbrecher aus verlorener Ehre*）中说：“在这个人的全部历史中，没有哪一章比关于他种种迷误的记载对他的心灵更具有启迪作用的了”（307）。席勒笔下的“迷误”指涉存在于个体内心深处的与善并存的恶。显然，席勒肯定了“迷误”对于个体道德成长所具有的积极作用。随后，席勒从行为和意志两个维度解构了“迷误”：

1 See Jacques Wirz, *Die Gestalt des Künstlers bei E.T.A. Hoffmann* (Lörrach: Karl Schahl, 1961) 38.

2 引文均出自笔者译。

我们重视他的行动，但尤其重视他的思想，重视他的思想根源，至于行为的后果倒是次要的。人们考察维苏威火山的地层，试图解释它喷射的起因；可是为什么人们对于一种精神现象还不如对物理现象那么重视呢？为什么人们不同样重视在个人的内心所蕴藏着的火种燃烧之前他周围那些事物的本质和状态呢？（《受侮辱的罪犯》309）

从席勒的呐喊中可以尝试解读 18 世纪末的刑事犯罪文学逐渐开始关注罪犯和犯罪背后潜藏的心理渊源。启蒙运动早期的刑事犯罪文学承袭了传统认知，将犯罪和心理或精神疾病视为人类社会的畸形，一种主体的“不成熟”（丁君君 12），是对自身理性的背叛，应当受到审判。但心理学的兴起和介入又为刑事犯罪文学带来了罪犯、犯罪或罪行的新视角。上述变化不仅仅限于刑事犯罪文学，也波及到其它类型的文学，例如歌德（Johann Wolfgang von Goethe）的《原浮士德》（*Urfaust*）和《浮士德》（*Faust*）中也体现了犯罪与心理或精神迷误之间的关联性。也许是受制于当时的社会认知、历史的发展阶段抑或作家个人的职业背景，无论是席勒还是歌德，都未能在其文学创作中真正实现心理或精神异常与刑事责任能力的实质性主题转化。同处世纪之交的霍夫曼则有意识地将司法实践过程中对刑事责任能力的思考延伸到文学的范畴，形成了文学与法律的双向观照。

以司法案例为素材来源之一的小说《斯》，讲述了一个与 17 世纪末巴黎发生的数宗抢劫杀人案有关的故事。被害人无一例外地于深夜在街头遇袭身亡并被抢走了随身携带的珠宝首饰。警方在之后的调查中举步维艰，直到巴黎最优秀的金首饰匠卡迪亚克意外死亡，才让真凶浮出水面：原来凶手就是这位金首饰匠，他无法忍受自己的“艺术”作品被委托人占有，因而起了歹心，夺回珠宝。与歌德和席勒的题材相似，主人翁卡迪亚克身上体现出诸多矛盾关系：“技艺最精湛”却“最古怪”（霍夫曼 80）¹；“最正直的正派人物”却“难免使人疑心他阴险狡诈和居心叵测”（80）；“在热心接受一项工作的时候，却往往突然以内心激动的各种表情，以最感人肺腑的誓言，甚至还呜咽流泪，恳求委托人免去他已着手的工作”（81）。〔……〕这些典型的霍夫曼式的“双意叙事”（Blomeyer 105）都旨在将读者引入关于人内心至深处的双极性的文学话语场域，探寻在善与恶的正面对抗下个体何去何从这一命题。霍夫曼以此为切入点，将上述问题上升到自由意志与法律责任的层面，在虚构中阐释着也追逐着他关于刑事责任能力的法学信仰。

同样也是在 1800 年前后，启蒙时代的法律出现了伦理转向，法律的人本主义化演绎为一场运动，为三十年后资产阶级法律体系的逐渐建立奠定了基

1 本文有关《斯居戴里小姐》的引文均来自 E.T.A. 霍夫曼：“斯居戴里小姐”，《斯居戴里小姐：霍夫曼中短篇小说选》，陈恕林 宁瑛等译（上海：上海三联书店，2014 年）。以下引文仅标注页码，不再一一说明。

础。当时不仅在法学界，在其它相关专业领域如医学界，甚至是在广泛的公众领域都出现了关于启蒙改革、刑事司法人本化和心理学化的讨论。身处时代洪流的刑事法律逐渐由行为刑法向行为人刑法过渡，这也推动了刑事法学由行为结果向行为过程、行为动机的研究领域延伸。行为动机的分析必然引出对行为人心理及精神状况的追溯。这一系列连锁反应为“刑事责任能力存废以及限制的争议进入刑事立法视野”（Reuchlein 10）提供了契机。1794年的《普鲁士国家的一般邦法》（*ALR*）第二部分第二十章第16条及其以下的法条中已经将刑事责任能力规定为所有刑罚的前提条件之一。然而，普鲁士的法律并未将免除刑罚的无刑事责任能力的类型具体化，而只是笼统地将行为自由视为刑事法律责任的决定性因素。与此同时，尚处起步阶段的德国心理学、精神医学逐渐实现了对精神疾病的差异化观察。在治疗患者的同时，心理学家、精神医生致力于对各种精神异常进行分类和描述。也正是基于上述情势变化，出现了新的矛盾：一方面要避免将“有罪推定”优先设定为刑事法律的基础；另一方面尚需探讨的是，诸多心理学家、精神医生所认同的精神疾病是否且在多大程度上束缚了人的意志自由，进而导致其行为的不自由。只有从客观上定义无刑事责任能力的范畴并划定边界，才能避免滑向为罪犯和犯罪行为无限制开脱的深渊，才能为刑事法律的定罪原则提供稳固的根基。当然，这也带来了不同权力和知识话语之间的角力，“一种对抗，一种权力关系，一场关于话语和通过话语的战争”（福柯5）。话语就具有了多维性，既是叙事的又是战略的。

二、文学文本和司法案例的阐释博弈

19世纪初的德国刑事法官面临着刑事责任能力问题给定罪量刑带来的冲击。就实体而言，以精神异常为由判定行为人无刑事责任能力从而做出无罪辩护，必定存在模糊和不确定之处；就程序而言，《普鲁士刑事诉讼法》（*CrimO* 1805）第280条规定，在出现精神异常的征兆时，法官须参考医生出具的鉴定。医生等专家证人证言直接介入司法程序，对法官的自由裁量形成新的知识话语的限制。在法学与心理学、精神医学的相互撕扯中，作为法官同时也作为洞悉人类心理与精神深处的浪漫主义作家，霍夫曼开辟了刑事案卷和文学文本两个“战场”。

1825年，赫策希（Julius Eduard Hitzig）在《刑事司法杂志》（*Zeitschrift für die Criminal-Rechts-Pflege*）上公开发表了霍夫曼对1817年施莫林谋杀女友案的二审裁定结论。一起普通的谋杀案怎么会搅动19世纪初期的普鲁士王国？其原因在于，经调查在施莫林谋杀女友的行为背后并没有显现出常规的、明显的作案动机。他只是在作案前的三个月受到神秘力量的驱使，突然有了谋杀的想法且在此之前的三天才下定了决心。与现实案例一致，霍夫曼在《斯》中为卡迪亚克的系列谋杀行为虚设了超乎寻常的动机。卡迪亚克在

交付一件首饰时，他的“心就烦躁不安，感到绝望”（101）。他甚至认为那些身上戴着 he 制作的首饰的人，像魔鬼一样不分白天黑夜地纠缠着自己。心理和精神的异常反应说明“卡迪亚克并没有能力让自己与其完成的首饰分离”（Gaal 352）。从最初的以偷窃的方式拿回首饰到后来杀人越货，他仿佛一直受到一个“令人恐惧不安的声音”（102）的驱使，作案的手段也愈加残忍。对于超自然的控制，德国刑法学家费尔巴哈（Paul Johann Anselm v. Feuerbach）将其解读为“深藏在灵魂褶皱中的犯罪萌芽，外表缠绕着纤柔美丽的丝线。这些丝线经常将欲望、迷狂或者错误编织成一张充满乐趣的网”（Feuerbach V）。此外，屠杀瘾也让卡迪亚克备受折磨：“魔鬼紧随着我（卡迪亚克，作者注）——低声耳语的撒旦在悄悄地对我（卡迪亚克，作者注）说话！”（102）。卡迪亚克的自述并非完全意义上的自我辩解，更多的是标记了“一种精神强制的外在症状”（Freund 40）。“人类如果没有及时地避开（心魔，作者注），或者召集更高阶的力量战胜它，人类的意志必然会被绑架并走向不可抗拒的暴力”（Feuerbach V）。对卡迪亚克实施抢劫杀人行为的心理追溯却指向了一种虚无：他对珠宝的非法占有并非以获利为目的，以至于警方“在所有可能做珠宝交易的场所都做了仔细的侦查，但被劫珠宝的一点影子都看不见”（74）。每次作案之后，他仅仅只是将珠宝陈列于隐秘的暗室用以自我欣赏。显然，卡迪亚克犯罪的贪利动机并不存在。霍夫曼在这个人物形象的动机设定上倾向于其自我欺骗的解读，驳斥了当时某些将其判断为“个人癖好受到抑制”（Müller 86）的观点。

正是基于真实案例中施莫林纯粹的无获利性动机，或曰“盲目动机”，当时普鲁士知名的医生梅尔兹多夫（Johann Friedrich Alexander Merzdorff）为施莫林做出了无罪辩护。《普鲁士国家的一般邦法》第二部分第二十章第826条规定，以经过思考的蓄谋并实际实施致死行为的应认定为谋杀。法条中所提及的蓄谋及其限定条件——经过思考——成为了以梅尔兹多夫为代表的诸多社会学科、人文学科进入司法领域的缺口。梅尔兹多夫认为，因为精神异常而使施莫林的意志自由受到了束缚，导致其不具备刑事责任能力。基于施莫林不存在遗传性疾病、并非宗教狂热份子且智力和记忆力均正常这一前提，为了进一步支撑自己的观点，梅尔兹多夫援引了“隐匿性精神异常”（*amentia occulta*）这一早期精神医学对精神疾病的分类。“隐匿性精神异常”是由德国18世纪末19世纪初的医生普拉特勒（Ernst Platner）所提出。他在专著《隐匿性精神异常》（*amentia occulta*）一书中认为，这种类型的精神异常被理性层层包裹，并在某个节点难以预料地突然爆发。“被压抑的情绪会悄无声息地酝酿成暴力行为”（Haack 85）。据此，梅尔兹多夫提出，在所有的生理症状未曾显现的状态下，人的意志依旧可能处于不自由的状态，这样的状态如同“非恣意的本能驱使着他做出某些行为”（Hitzig 300）。此类情况也应判断为行为人不具备刑事责任能力。“社会有提出诉讼的权利，而

不是对疯子进行惩罚，因为没有道德自由，他不能建立起罪恶感（……）”（福柯 171）。针对施莫林无明显作案动机所引发的关于其意志与行为自由受到束缚进而得出其患有隐性精神异常的推论，霍夫曼在二审裁定中承认，的确可能存在一种表面宁静而内心却无法挣脱的状态。在这种状态下，行为人为人经过思考做出的决定、采取的行为其实也来自某种错误的认知；在这种状态下，意志的力量在行为前及行为中均失效。“那个盲目的冲动，一种无因而生的驱使，消解了意志的道德自由，却没有展现出精神上的异常”（Hitzig 290）。支配行为的意志并不受到感性的亦或理智的目的控制。

但与此同时，霍夫曼反对纯粹基于无合理动机的原因推导并断定行为人出现了精神异常。“在没有充分的生理的和心理的症状指向精神异常的情况下，医生不能将此作为辩护的证据”（Hitzig 283）。同样，单从行为本身做出行为人为人精神异常的结论也没有足够的信服力。施莫林在陈述中表示自己于行为前是拥有分辨善与恶的能力的，这在某种程度上印证了霍夫曼的推理。当时的另一位精神法医学领域的专家霍恩（Ernst Horn）在调查后也提出，施莫林在行为时“既没有处于醉酒状态，其行为也没有受到外在因素的干扰。在行为前后没有出现明显的精神疾病的征兆”（Haack 86）。尽管霍夫曼承认意志自由可能受到束缚，但他依旧坚持：“作为一种孤立存在的假设，不以精神异常为前提的受束缚的意志自由不应纳入刑事法官对行为人是否具有刑事责任能力的考量范围”（Hitzig 302）。霍夫曼的观点与同时代的哲学家霍夫鲍尔（Johann Christoph Hoffbauer）不谋而合。对于意志自由受到限制或者束缚，霍夫鲍尔认为，哪怕是荒诞、荒谬的行为也是在冷静的思考后所为。而行为人在上述状态下实施行为的原因是，他意图摆脱“对于自己而言最为糟糕的不适”并在行为之后“感到解脱”（Hoffbauer 336）。因此，这里的限制或束缚“不是一种在事实上取消了自由意志的外在束缚”，“也不是一种在法典中免除责任的内在束缚”（卡斯特 363）。在霍夫鲍尔看来，精神异常须以精神官能的明显障碍为前提。

三、走向决断：刑事责任能力的霍夫曼式解读

梅尔兹多夫的精神异常抗辩是“对当时刑事法律根基的一种变相否定”（Mangold 74）。将任何一种离经叛道的或缺少理智动机的行为归因于精神异常，判定行为人为无刑事责任能力，这本身就背离了当时刑事法律的原则。19世纪初的法学家们相信，个体具有独立思考、理性对待自我欲望和行为的能力，因此对其所实施的行为具有刑事责任能力。刑事立法的出发点也在于认同人拥有战胜犯罪冲动的力量。

为了通过卡迪亚克这一人物形象讨论刑事责任能力问题，霍夫曼为其假定了意志自由受束缚的状态。他借鉴了18世纪末法国精神医学先驱者皮内（Philippe Pinel）提到的精神疾病——“无谵妄躁狂症”（*manie sans délire*），一

种“没有明显怪异妄想、错乱或是狂暴状态的精神异常”（杨添围 129）。在文本中，卡迪亚克对委托人实施的谋杀，并非基于某种确定的或固有的痴心妄想，而只是受到了盲目的、混乱的驱使。作案之后的卡迪亚克能够准确地回顾自己的心路历程，在他的“理解、知觉、判断、想象和记忆等的功能之中看不到任何明显的改变”（丰塔纳 386）。那一刻，他的内心“感到一种从未有过的宁静、满足。魔鬼消失了，撒旦的声音沉默了”（102）。施莫林案的案卷中记载着施莫林的类似供述：在他萌生杀死自己女友的想法后，他经常“感到恐惧，以至于经常失眠、冒冷汗”（Hitzig 307）。当他实施了谋杀之后，上述不适就突然消失了。显然，两种相似状态均表现出“情感功能中有一种倒错，还有一种对暴力行为或者嗜血狂热的盲目冲动”（丰塔纳 386）。而施莫林行为前后的生理和心理变化作为证据成为了当时医学鉴定的倚靠。对于施莫林的表述，霍夫曼给出了完全相反的解读：

有谁不曾在被告人的陈述中发现，一个恶意的蓄谋与道德的原则在斗争？这个斗争被被告人描述为：恐惧。〔……〕根据被告人的陈述，在实施谋杀前和实施谋杀中他的精神状况并没有出现异常的症状，无论是生理上的还是心理上的〔……〕。（Hitzig 308）

针对诸多围绕着卡迪亚克的矛盾与冲突，霍夫曼引入了一种量化的维度即时间和空间的维度，来回溯其个人史。尚在母亲腹中的卡迪亚克经历了母亲因为一条耀眼的钻石项链而险些丧命的恐惧打击。“（……）如此清晰的无意识的印象对胎儿产生的奇妙影响”让卡迪亚克的“煞星升了起来，它播下的火花在我（卡迪亚克，作者注）的心中燃烧起一种稀奇古怪的、令人堕落的强烈欲望”（101）。从童年开始，卡迪亚克就把光彩夺目的钻石、金首饰看得高于一切。成为金首饰匠之后，委托人一旦取走，卡迪亚克就“夜不能寐，健康损坏了，连生存的勇气也失去了”（101）。显然，霍夫曼摄取了他那个时代广泛认同的一种观点，即孕妇会将她“强烈的记忆遗传给腹中的胎儿”（Kluge 206）。然而，霍夫曼在大量关于卡迪亚克备受天生欲望驱使的情节细缝中依旧插入了自己作为法官的解读。童年的卡迪亚克因为偷窃金子和珠宝，“受到了父亲最残酷的惩罚，克制了他天生的欲望”（101）。为了能合法地接触金子和宝石，成年后的他选择从事金首饰加工制作这行职业。在霍夫曼看来，那些带有遗传性的、强烈的欲望“并非无法完全控制”（Haack 87），欲望的膨胀以及欲望的失控是能够靠理性予以纠正的。卡迪亚克的罪行“不应当作为其出生前所受创伤的心理谜语”（Blomeyer 104）。类似的文学表达出现在霍夫曼的另一部作品《魔鬼的长生汤》（*Die Elixiere des Teufels*）中。尽管小说中梅达杜斯（Medardus）深受陌生而神秘的力量控制，霍夫曼“力排当时决定论和宿命论的趋势”（Reuchlein 25），坚持认为个人的理性可以支配其行为。

梅达杜斯具备刑事责任能力，对其罪行负有法律责任，“因为执行一种行为的事实本身，就是一个人应负责任的证明”（杨添围 12）。为了进一步说明卡迪亚克的行为具有预谋性，《斯》中还出现了卡迪亚克购买住宅的场景。卖家向他展示了屋内一条通向户外的密道，卡迪亚克的脑子里随即“产生了模模糊糊的想法，我（卡迪亚克，作者注）觉得它似乎是为那些对我（卡迪亚克，作者注）来说还是个秘密的行为而准备的”（102）。由此可见，卡迪拉克实施的谋杀行为并非是临时起意的激情犯罪，不符合盲目的、不可抗拒的冲动的特征。

尽管小说中的卡迪亚克就如同现实中的施莫林，对于自己实施的谋杀的确不存在通常的合理的动机，霍夫曼却坚持不认可对其免责。“某人针对特定对象产生了杀戮的想法，但他自己也不清楚起因，对于法官而言这并不是免责的理由。出现上述状况的原因可能在于，在精神完全正常的前提下，他内心对公序良俗的道德信仰并不足以帮助他战胜邪念”（Hitzig 314）。在19世纪初普鲁士刑事法学思想中占据着统治地位的康德（Immanuel Kant），在其人类学思想中高扬理性的大旗，将纯粹理性的实践法则作为普遍的立法规则。他认为，理性可以作为“有效力的对抗以制服感性偏好”（袁辉 91），帮助人类决定自我。启蒙时期的犯罪学理论认为，犯罪行为产生的根源在于感性驱动以及利己追求。费尔巴哈以此为基础，延伸了刑罚的犯罪预防功能，以“心理强制”来对抗行为的感性驱动：“行为人在行为前必须知道，他的行为将招致恶的惩罚。作为拥有理性的人他会放弃该行为”（Meier 22）。霍夫曼认可并在论证中引用了费尔巴哈的刑罚威慑理论来加强对自我立场的支撑：

从形而上看，人类的自由不应受到立法和司法的影响；人类的道德自由，即依据公序良俗的原则确定自己的意志与行为表现的能力却是以刑罚的威慑为前提条件的。任何对上述结论的质疑都需要向法官呈现具有说服力的证据。（qtd. in Burwick 154）

也许是鉴于那个时代关于施莫林案形成的法学与医学的激烈纷争，霍夫曼在小说中为卡迪亚克设定了还在作案过程中就重伤不治的下场，他未能走到最后的审判环节。现实中，普鲁士国王为施莫林启动特赦程序，将法院的死刑判决改为终身监禁。在关于施莫林是否具有刑事责任能力的知识话语角斗场上，法官战胜了医生，国王战胜了法官。但在文学的叙事场域中卡迪亚克战胜了所有人，未经审判他死了。违背读者期待的戛然而止似乎是因为作家并不想从法律的层面留给人物太多阐释的空间，而仅仅是在文学中就刑事责任能力问题给出无异于案例的自由心证。无论是在司法实践还是在文学创作中，霍夫曼对刑事责任能力的界定始终遵从严格限制的原则。在此意义上也可以说，霍夫曼似乎又并未将文学塑造为刑事责任能力问题的讨论场所。

他的叙事一方面是想为施莫林案的风波留下记载历史事件的例证，并投上自己肯定其具有刑事责任能力的赞成票；另一方面是在案例背后“重构罪犯的病史”（Ort 184）。

作为弗洛伊德盛赞的“文学世界里无人企及的不可言状之物的表达大师”（qtd. in Hesse 139），霍夫曼在《斯》中以文学化的方式标识着理性与疯癫之间的临界之处、衡量着罪与非罪之间的砝码重量。在那些违背了社会秩序和人类伦理的极端罪行发生时未曾发现罪犯有明显的作案动机，并且甚至还有完整的理智功能作为支撑。由此引发的行为人精神异常及刑事责任能力问题促成了各种权力和知识话语的竞逐。面对精神医学的强势挤压，《斯》无疑是霍夫曼作为作家同时也是法官做出的诗性回击。刑事责任能力问题的背后，不仅是一系列占据着19世纪初司法舞台的犯罪行为、一个个与文学文本共同走向经典的虚构人物，更是一部人类战胜恣意、将恶的精神怪兽装入笼子的进步史，也是司法去假存真、思考并面对罪与罚等终极矛盾的发展史。

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文学伦理学批评视域下的译者伦理研究：以霍克思英译《红楼梦》为例

On Translator Ethics from the Perspective of Ethical Literary Criticism: Exemplified by David Hawkes' Translation of *Hong Lou Meng*

冯全功 (Feng Quangong)

内容摘要：霍克思英译的《红楼梦》在英语世界广受好评，这与其译者伦理密不可分。结合文学伦理学批评，本文从三方面论述霍克思的责任伦理：1) 作为学者型译者的伦理身份及其对原文作者的责任，如对作者的尊重与介绍、对原文内容的忠实再现；2) 面对作者导向和目的语读者导向的伦理困境，其对译文读者的责任，如对原文一致性的处理、添加的前言、序言、附录等副文本信息；3) 译者的伦理选择及其对艺术本身的责任，如对原文中诗词与修辞技巧的变通翻译、对原文伦理结构的再现等。

关键词：文学伦理学批评；霍克思；《红楼梦》；译者伦理

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Title: On Translator Ethics from the Perspective of Ethical Literary Criticism: Exemplified by David Hawkes' Translation of *Hong Lou Meng*

Abstract: *The Story of the Stone (Hong Lou Meng)* translated by David Hawkes has been well received in the English world largely due to his translator ethics featuring a keen awareness of responsibility. Hawkes' translator ethics is mainly realized in the following three aspects: 1) responsibility to the author, such as respect for and introduction to the author, faithful reproduction of the content of the source text, which is closely related to his ethical identity as a scholar; 2) responsibility to the target reader when facing the inherent ethical predicament of author-oriented and target reader-oriented tendencies in literary translation, such as trying to solve the problems of inconsistencies in the source text, adding paratextual information like an introduction, some prefaces and appendixes; 3) responsibility to literary art itself as is manifested by his ethical choices in the translating process, such as highly

flexible and ingenious translation of poems and rhetorical devices in the novel, faithful reproduction of the original ethical structure.

Keywords: Ethical Literary Criticism; David Hawkes; *The Story of the Stone*; translator ethics

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文学伦理学批评是由聂珍钊提出的一种颇具洞见的文学研究范式，经过近 20 年的发展在国际上产生了很大影响。“文学伦理学批评是一种从伦理视角认识文学的伦理本质和教诲功能，并在此基础上阅读、分析和阐释文学的批评方法”（聂珍钊，《文学伦理学批评导论》13）。作为一种批评方法或批评范式，文学伦理学批评建立起了自己的话语体系，如伦理选择、伦理身份、伦理环境、伦理混乱、伦理线、伦理困境等，为文学批评以及文学伦理学批评的跨学科应用提供了话语工具。文学翻译也可从文学伦理学批评视角来分析译者的伦理，如陈勇所言，“文学翻译的伦理学批评还有待加强”（374）。鉴于此，本文尝试把文学伦理学批评与文学译者的责任伦理结合起来，以霍克思英译《红楼梦》为例，从伦理身份与译者对原文作者的责任、伦理困境与译者对译文读者的责任、伦理选择与译者对艺术本身的责任三方面论述文学翻译中的译者伦理，以期为文学伦理学批评的跨学科应用开辟新空间。

伦理问题是翻译研究的一个核心话题，主要涉及译者与作者、译者与译文读者、原文与译文、原语文化与译语文化之间的相互关系。传统的忠实翻译观强调的是再现伦理，也就是译文要忠实地再现原文的意义。现代翻译伦理强调译者伦理，聚焦于译者在特定语境下的伦理选择及其效果。翻译伦理有基于规范的，有基于美德的，也有基于责任的。不管是何种类型的翻译伦理，都旨在“理解翻译实践中的好坏以及对错行为”（Koskinen and Pokorn 3）。在特定、复杂的社会文化语境中，翻译的好坏对错并没有绝对的标准，所以很多学者特别强调译者的责任。Pym 把责任视为伦理的基础，认为“如果译者是不负责任的，如果译者不对自己的选择承担责任，那么就没有所谓的伦理问题了”（67）。Pym 的译者伦理聚焦于职业译者，对文学翻译也同样适用。胡适曾说，“译书第一要对原作者负责任，求不失原意；第二要对读者负责任，求他们能懂；第三要对自己负责任，求不致自欺欺人”（朱志瑜等 1143）。林语堂提出过翻译标准的三元论，即忠实、通顺、美，认为“以译者所负的责任言，第一是译者对原著者的责任，第二是译者对中国读者的责任，第三是译者对艺术的责任”（朱志瑜等 2440）。那么，译者的责

任伦理在文学翻译中具体体现在哪些方面？又该如何在文学伦理学批评视域下探讨译者的责任？霍克思翻译的《红楼梦》能说明这两个问题。

霍克思（David Hawkes, 1923-2009）是英国汉学家，代表译作有《楚辞》《红楼梦》等。《红楼梦》是他和他的学生闵福德（John Minford）合作翻译的，书名翻译采取了《红楼梦》的早期版本《石头记》（*The Story of the Stone*）。霍克思负责翻译前 80 回，闵福德负责后 40 回，共分五卷，从 1973 年到 1986 年陆续由英国企鹅出版社出版。本文仅聚焦于霍克思的译文（前三卷，后简称霍译），探讨霍克思在翻译过程中的伦理选择与责任表现。霍译本在西方有很大的影响。正如王丽耘所言，“霍译本以其可读性强的同时又是带有汉学家译介所特有的学术含量的全译本面貌，赢得了西方汉学同行的夸赞和西方普通知识分子与文学爱好者的青睐”（215）。林以亮曾“称许霍克思的英译红楼梦为第一流的翻译，誉之为近年来由中译英的扛鼎之作”（113）。霍译《红楼梦》是兴趣驱动的，源自译者对中国文学与文化的热爱。如果说文学伦理学批评“重视文学批评的道德责任”（聂珍钊，“文学伦理学批评的价值选择与理论建构” 86），那么文学翻译的伦理学批评则注重译者的道德责任。这种道德责任源自译者的伦理选择，“伦理选择的复杂性和责任性正在于人类价值观念的多样性和非公约性”（杨革新 120）。不同的译者伦理身份可能有不同的翻译观，不同的翻译观导致不同的伦理选择与责任导向。

一、伦理身份与霍克思对原文作者的责任

伦理身份是文学伦理学批评的一个核心术语，“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，《文学伦理学批评导论》 263）。伦理身份其实也就是人的身份，包括人的社会身份。如果说文学伦理学批评中的伦理身份针对的是文学作品中具体人物的身份，那么文学翻译中的伦理身份主要指译者的身份，尤其是译者的社会身份。霍克思曾长期担任牛津大学的汉学教授，作为《红楼梦》的译者，其伦理身份主要是一位学者，他的翻译是典型的学者型翻译，体现出学者的严谨与认真，主要表现在对原文作者的责任上。

霍克思对原文作者的责任主要体现在两方面：第一是对原文作者的尊重与介绍，主要体现在前言、后记等副文本中；第二是对原文本身的忠实，主要体现在译文对原文思想内容的忠实再现上。据考证，《红楼梦》的作者为曹雪芹，后四十回只是高鹗在曹雪芹遗留手稿的基础上编辑整理而成。霍克思与闵福德采取了这种主流观点，并在后两卷的封底以及内页的第一页上对之有所说明，在作者署名上也有所体现。关于作者的署名，前三卷为曹雪芹（*The Story of the Stone* / A Chinese novel by / Cao Xueqin / in five volumes），后两卷的署名在此基础上还加上了高鹗的编辑身份（如 Volume 4 / ‘The Debt of tears’ / edited by / Gao E）。在霍译前三卷的内页上，译者对曹雪芹是这样介绍的：

Cao Xueqin (1715?-63) was born into a family which for three generations held the office of Commissioner of Imperial Textiles in Nanking, a family so wealthy that they were able to entertain the Emperor Kangxi four times. But calamity overtook them and their property was confiscated. Cao Xueqin was living in poverty near Peking when he wrote his famous novel *The Story of the Stone* (.....)

霍克思在其撰写的序言 (Introduction) 中对曹雪芹及其家世 (曹学) 做了更为详实的阐述, 作为学者的伦理身份在序言中表现得非常突出。曹学是红学的重要分支, 在前言中, 霍克思充分吸纳了曹学的研究成果, 尤其是俞平伯、周汝昌、吴世昌、赵冈等红学家, 对曹雪芹及其家世有比较详细的论述, 其中也不乏很多分歧。他在前言中写道, “如果说《石头记》从某种程度上而言是中国版的《追忆似水年华》的话, 那么尽可能多地了解作者的生平就显得倍加重要了” (Hawkes vol. 1, 22)¹。由此可见, 霍克思基本上同意胡适等红学家关于《红楼梦》是一部自传体小说的观点。

前言的大部分内容聚焦于对曹雪芹及其家世的介绍, 具体包括: 曹雪芹的生卒年、画像及其晚年的生活情况; 清朝的八旗制度及其与曹家的关系 (包衣)、曹雪芹的祖父曹寅及其职务 (江宁织造) 以及曹家在南京接驾 (康熙南巡) 的史实; 曹家的衰败 (包括曹寅的内兄李煦) 及其与皇权斗争的关系; 关于曹雪芹父亲的论述 (一说是曹寅的遗腹子曹颀, 一说是曹寅的继子曹頔); 小说批语中畸笏叟、脂砚斋扑朔迷离的身份及其与曹雪芹的关系等。霍克思之所以不厌其详地介绍作者及其家世是因为受新红学影响。他相信《红楼梦》是一部自传体小说, 所谓“宝玉是作者的自画像” (vol. 1, 32)。译者还提到曹寅的妻子 (李煦的妹妹) 就是小说中贾母的原型, 小说中的“姑娘们” (如元春、探春等) 则很有可能是曹寅未出阁的女儿。周汝昌等红学家努力在小说人物与曹家众多成员之间建立精确的对应关系, 但霍克思不以为然, 如他认为曹雪芹在小说中故意混淆了辈分 (清代裕瑞也说过宝玉的众姐妹其实是作者的姑妈姨妈们), 认为贾宝玉是一个复合型人物 (以作者自身为基础, 同时也结合其他身边的人对宝玉进行刻画)。这表明霍克思对曹学颇有自己的观点与见解, 哪怕只是推测 (如他更倾向于认为曹颀是曹雪芹的父亲)。总之, 译者的前言吸融了众多红学 (如曹学、版本学) 研究成果, 为译文读者提供了大量作者信息 (考证的或推测的), 体现出较强的学者型翻译特征。

霍克思对原文的忠实体现在方方面面, 包括书名、底本、正文等。霍译虽然采取了《石头记》的译名, 但在前言中对《红楼梦》等其他书名亦有所解读与说明, 对其为何不用《红楼梦》的书名也有所介绍 (如他认为译名中

1 后文引用霍克思英译的《红楼梦》仅注明卷数和页码, 不再标明译者信息。

的意象有误导性)。图书封底还写道, “*The Story of the Stone* (c.1760), also known as *The Dream of the Red Chamber*, is one of the greatest novels of Chinese literature.” *The Dream of the Red Chamber* 是霍克思全译本出现之前《红楼梦》在英语世界的通用译名, 封底介绍把两个书名关联起来, 不至于混淆视听。《红楼梦》有很多版本, 主要有脂本系统与程本系统, 出于整体性与一致性的考虑, 霍克思选择了高鹗的程本(程乙本), 但他在翻译过程中也广泛参考了其他版本, 霍克思在前言中对之有所说明, 在他的《〈红楼梦〉英译笔记》中也有很多体现。根据胡欣裕最新考证, “霍克思的参考底本为十本, 除王本和甲戌本外, 其余八本都能在《霍克思文库》找到对应的版本信息”(170)。霍译广泛参考各种底本很大程度上体现了他对原文以及作者的责任, 以便选择更好、更合理的文字与内容进行翻译。这种做法无疑比单一地参照某种底本更加复杂, 也更为忠实。霍克思对正文翻译更是高度负责, 他在前言中写道:

我坚持的一条始终不渝的原则便是翻译一切, 哪怕是双关。我前面也指出, 这虽是一部‘未完成的小说’, 但却是由一位伟大的艺术家用心血书写并反复修改而成的。所以我认为, 凡书中存在的内容都有其特定的目的, 必须要设法传达出来。我不敢妄称所有的地方都处理得很成功, 然而, 如果能让读者体验到哪怕只是我读这部中国小说所获乐趣的一小部分, 我就没有虚度此生了。(vol. 1, 46)

霍克思是这样说的, 也是这样做的, 其译文本身的学术与审美价值以及他留下的厚厚的《〈红楼梦〉英译笔记》与翻译手稿就是明证。当然, 要辩证地看到译者对原文的忠实, 有时内容层面的不忠恰恰反映了审美层面的忠实。霍克思对原文的忠实翻译是他作为严谨学者的伦理身份使然, 尤其是他对多版本的参考更能体现这一点。

二、伦理困境与霍克思对译文读者的责任

文学伦理学批评认为, “伦理困境指文学文本中由于伦理混乱而给人物带来的难以解决的矛盾与冲突”(聂珍钊, 《文学伦理学批评导论》258)。在文学翻译中, 伦理困境主要表现在译者的责任是分裂的, 也就是对原文作者以及译文读者的责任往往不能兼顾, 或者说译者很难完美地兼顾再现原文的充分性与提高译文的可接受性, 译者在这种两难情况下又不得不做出伦理选择。这种伦理困境在文学翻译中是普遍存在的, 对译者而言也是极大的考验。面对伦理困境, 霍克思考虑更多的是译文读者, 设法提高译文本身的可接受性, 具体表现在对原文一致性的考量、添加的附录与其他副文本信息、所采取的归化翻译策略等。

《红楼梦》是一部未完成的小说, 不同的版本之间有大量不一致或矛盾

的地方，这不仅折磨过高鹗，也困扰着译者。霍克思在卷一的前言以及卷二、卷三的序言中对之有所说明。原文的有些矛盾是内在的（多由作者删减或高鹗续编所致），译者无法解决，但在可能的情况下译者会尽力使译文前后连贯，如他在卷二的序言中写道，“根据经验，把高鹗本与手稿的不一致的地方看作一种信号，先试图找出促使高鹗修改的困难所在，如有必要，再寻找自己的解决办法，这便最好不过了”（vol. 2, 18）。霍克思在序言中举了一个典型例子予以说明，提出用“秋纹”替代原文“紫鹃”（紫绶）的独特方案（和程本、脂本中的文字都不同）。霍克思接着说，“如果有人觉得这类修改超出了纯粹的一个译者的范围，我只能说我是出于对西方读者的关照”（vol. 2, 20）。这种不一致的地方还有很多，卷三的附录处理的全部是这些不一致的问题，涉及的人物包括宝玉的丫鬟檀云（早期版本残留的人物）、王夫人的丫鬟彩霞与彩云、尤三姐与柳湘莲、尤老娘与张华父子、鲍二和多姑娘、静虚和小戏子等。霍克思对原文中的不一致情况以及自己的解决方案都有所阐述，很大程度上体现了对译文读者的尊重与责任。他之所以花费如此多的精力去对比与寻找原文中不一致的地方是因为他想给译文读者提供一个更加完善的版本，就像范圣宇在“汉英对照版《红楼梦》校勘说明”中所言，“霍克思的八十回英译本，是与现存各种脂本程本都不一样的本子，我们不妨称之为‘霍本’”（曹雪芹 7）。针对《红楼梦》翻译，霍克思广泛参考各种版本、择优选并妥善处理原文不一致的做法值得提倡。原文的不一致或前后矛盾之处也是译者不得不面对的伦理困境，霍克思不惜“越俎代庖”，设法予以解决，体现的正是对译文读者的责任。

除了原文的一致性问题，霍克思在前言、序言、附录等副文本中还有很多其他为译文读者考虑的地方。在卷一的前言中，译者提到了他的“避红”策略，因为“红”这个意象在中西文化中具有不同的联想意义，所以他经常用其他词汇来代替原文核心话语中的“红”，如把“红楼梦”曲子译为“A Dream of Golden Days”，把“悼红轩”译为“Nostalgia Studio”，把“怡红院”译为“The House of Green Delights”，把“怡红公子”译为“Green Boy”，把“千红一窟”译为“Maiden's Tears”等。这样翻译无疑破坏了原文的象征修辞场（红象征红颜女子），“是无可补偿的大损失”（林以亮 15），但毕竟是出于对译文读者的考虑，以避免引发他们的负面联想。“避红”策略的使用体现的也是译者在面对伦理困境时所作的伦理选择，只是译者选择了对译文读者而非原文或原作者负责。卷一的附录是译者对“金陵十二钗”判词与“红楼梦”曲子的解读以及对自己翻译的解释，尤其是其中的双关、析字等文字游戏。如他对第七首判词中“子系中山狼”（描述迎春的，她嫁给了孙绍祖，子系两字合成了孙绍祖的姓）的解读：

In the *Seventh Song* the Chinese words of the first line contain a play on the

surname Sun which cannot, unfortunately, be reproduced in English. Literally it says ‘Thou art a Zhong-shan wolf’; but the characters for ‘thou’ and ‘art’ combine together to make up the character for ‘Sun’. (vol. 1, 532)

诸如此类的解释为译文读者深入解读原文提供了交际线索，很大程度上激发了译文读者阅读原文的欲望。卷二的附录探讨了律诗的做法与特征、骨牌游戏以及宝琴等人的一些未解之谜（诗谜），对译文读者阅读与欣赏原文具有很大的引导作用。此外，霍克思添加的其他副文本信息还有卷前的“汉语拼音注解”、卷后的人物信息及其相互关系、荣国府和宁国府的贾氏宗谱、王家与贾家的关系图谱、史家与贾家的关系图谱等。这些副文本信息旨在解决或冲淡文学翻译中一种固有的伦理困境，即由于语言与文化差异的存在，原文读者与译文读者在阅读原文和译文时的审美体验很难完全一致。

霍克思对译文读者的责任在其所采取的翻译策略上表现得尤为充分，译文具有很强的可读性。相对杨宪益、戴乃迭夫妇的《红楼梦》英译全译本而言，霍译更加归化，尽力向译文读者靠近，尤其是文化负载词的翻译，如上述含“红”的核心话语，其他如把《好了歌》中的“神仙”译为“salvation”，把《警幻仙子赋》中的“莲步”译为“her feet”，把“使钱如土”译为“having spent money like water”，把“阿弥陀佛”译为“God bless my soul!” “Bless his Holy Name!”等。

霍克思英译《红楼梦》时还采取了“以经译经”的翻译策略，也就是用英语经典来呼应汉语经典，有利于译文读者进行互文阅读，以激起他们和汉语读者读《红楼梦》时相似的经典作品阅读体验，引用或化用的作品包括《圣经》《名利场》《天路历程》以及莎士比亚等人的一些作品，如霍译的人名“Patience”（平儿）、“Faithful”（鸳鸯）等都是直接源自班扬的《天路历程》。¹这种“以经译经”或者说互文重建的译法体现了高度的读者责任意识，有利于读者对其译文以及原文产生一种熟悉感和亲近感，也不妨视为一种归化译法。霍克思在卷二的序言中写道，“对我而言，阅读带有大量注释的小说就像戴着脚链打网球”（vol. 2, 18），所以霍译正文中基本上没有任何加注补偿。由于《红楼梦》本身的文化信息特别浓厚，汉英语言与诗学又存在很大差异，如果不加任何补偿的话，译文读者势必难以理解。霍克思采取的翻译策略便是整合补偿，即“把补偿的内容和原文文本原有的内容有机地融合成一个整体，不加任何有关补偿的标记符号”（夏廷德 72），也就是霍克思在序言中所谓的“稍微拓展一下文本，以便原文内容能被读者理解”（vol. 2, 17）。针对小说正文的翻译，霍克思对译文读者的责任很大程度上体现在他所采用的归化翻译策略上。归化作为主导翻译策略体现的也是面对伦理困境时霍克思的伦理选择，

1 参见 范圣宇：“以经译经——霍克思英译《红楼梦》中的西方文学典故”，《中文文化与文论》2（2021）：220-230。

伦理责任向目的语读者倾斜。

三、伦理选择与霍克思对艺术本身的责任

伦理选择是文学伦理学批评的理论基础，既可指“人的道德选择，即通过选择达到道德成熟与完善”，又可指“对两个或两个以上的道德选项的选择”，前者关乎人的本质或人性的获得，后者主要涉及文学作品中的人物在具体伦理环境中的选择（聂珍钊，《文学伦理学批评导论》267）。文学翻译是译者不断进行选择与决策的过程，任何选择与决策都带有一定的伦理意味，要么偏向作者，要么偏向译文读者。不管如何偏向，都要尽量保证译文本身具有与原文相当的文学性与艺术感染力，这也是译者对艺术本身的责任。

文学创作主要是如何运用语言的艺术，优秀的作品本身也是一件精致的艺术品。文学翻译是一种艺术的再创造，林语堂所谓“理想的翻译家应当将其工作看作一种艺术”（朱志瑜等 2451）。闵福德曾说，“霍克思既是一位有创造性的翻译家，也是一位严谨的版本学家”，“他对这部小说抱有一种难以名状的爱”（曹雪芹 5）。霍克思翻译《红楼梦》完全是兴趣驱动的，他的翻译虽属于学者型翻译，但也不乏作家型翻译的气质，细致严谨之外又颇具艺术灵性，译文本身具有较高的独立存在价值。霍克思根据不同的原文版本以及自己的判断与修补合成了一个独特的“霍本”，这种尝试不仅是对译文读者负责的表现，也是对艺术本身负责的表现，是译者进行伦理选择的结果。当然，霍克思对小说艺术本身的负责主要体现在他的创造性上，不是拜倒在原作面前毫无作为，而是竭力使译文本身也变成一件艺术品，尤其是碰到很难处理的情况，如小说中的诗歌翻译以及部分修辞技巧的翻译。

作为一部诗化小说，“《红楼梦》中的诗词曲赋是小说故事情节和人物描写的有机组成部分”（蔡义江 3），发挥着各种各样的作用，或揭示小说主旨、或暗示人物命运、或塑造人物性格。《好了歌》是揭示小说主旨的，共有四个诗节，押韵模式皆为好、了、了，如“世人都晓神仙好，惟有功名忘不了！古今将相在何方：荒冢一堆草没了”（曹雪芹、高鹗 11）。霍克思匠心独运，把歌名译为“Won-Done Song”，其中 won 与 done 在语义上和好与了也颇为对应，四个诗节的押韵模式同样为 won, done, one (everyone)。破足道人唱完《好了歌》之后，原文还这样写道：

士隐听了，便迎上来道：“你满口说些什么？——只听见些‘好了’‘好了’。”那道人笑道：“你若果听见‘好了’二字，还算你明白：可知世上万般，好便是了，了便是好；若不了，便不好；若要好，须是了。——我这首歌儿便叫《好了歌》。”（曹雪芹、高鹗 12）

霍克思的对应译文为：

Shi-yin approached the Taoist and questioned him. “What is all this you are saying? All I can make out is a lot of ‘won’ and ‘done’.”

“If you can make out ‘won’ and ‘done’, replied the Taoist with a smile, ‘you may be said to have understood; for in all the affairs of this world what is won is done, and what is done is won; for whoever has not yet done has not yet won, and in order to have won, one must first have done. I shall call my song the ‘Won-Done Song’.” (vol. 1, 64)

霍译的《好了歌》不但再现了原文的押韵模式与音乐效果，并且和原诗一样，与下文衔接非常顺畅、天衣无缝，也基本再现了原诗的主旨，鲜有译者能够达到这种艺术境界的。《红楼梦》中的诗词基本上都是押韵的，有些押得还特别新颖，如第七十六回中的湘黛联诗，关于如何押韵，原文这样写道：

黛玉笑道：“〔……〕咱们两个都爱五言，就还是五言排律罢。”
湘云道：“什么韵？”黛玉笑道：“咱们数这个栏杆上的直棍，这头到那头为止，他是第几根，就是第几韵”湘云笑道：“这倒别致！”于是二人起身，便从头数至尽头，止得十三根。湘云道：“偏又是‘十三元’了！”
(曹雪芹、高鹗 993)

霍克思把这段文字译为：

“[...] We both like pentameters, don’t we? Let’s do linked pentameters as we did on that other occasion.”

“What rhyme?” said Xiang-yun.

“We could use a number for a rhyme,” said Dai-yu. “Let’s count the uprights in the railing as far as that angle over there. Whatever the number is shall be our rhyme.”

“That’s a very ingenious idea,” said Xiang-yun.

The two girls got up and walked along the railings to count. It turned out that there were exactly eight posts from one angle of the railing to the next.

“Hmn,” said Xiang-yun. “Eight. I wonder how far we shall get with that rhyme [...] (vol. 3, 516)

这里的“十三元”指的是古人作诗“平水韵”中第十三个以“元”为代表的韵脚，湘黛联诗中（再加上妙玉的续诗）一共有七十句，“十三元”韵共有三十五个，如繁、轩、喧、媛等。霍克思的译文改动很大，如添加了“We

could use a number for a rhyme”的话语，把“他是第几根，就是第几韵”译为“Whatever the number is shall be our rhyme”，把原文的“十三根”改为八根（eight posts）。译者为什么会这样改动呢？因为他对后面湘黛联诗的翻译全部押“eight”之韵，共有35个韵脚，如emulate, pulsate, celebrate, scintillate, eight, gestate, inebriate, promulgate, rotate, illuminate等，非常巧妙地再现了原文排律的押韵特征，并且和上文的押韵要求（湘黛对话）融合无间，同样有力地刻画出了才华横溢的人物形象。相信这并不是妙手偶得，而是译者苦思冥想的结果，体现的正是译者对艺术的敬畏。

关于修辞技巧的翻译，霍译也颇具创造性，还经常添加一些原文没有出现的修辞格，以弥补部分修辞格无法翻译导致的审美损失。小说中湘云有咬舌的毛病，会把称呼宝玉的“二哥哥”说成“爱哥哥”，这是一种飞白修辞。霍克思的翻译很有创意，把湘云说的“爱哥哥”译为“Couthin Bao”，并把湘云话语中含“s”字母的基本上都替换成了“th”，如湘云对黛玉说的“就算你比世人好，也不犯见一个打趣一个”（曹雪芹、高鹗 238）译为“Even if you are tho perfect yourthelf, I don't thee why you have to go making fun of everyone elthe”（vol. 1, 412），如此就更加鲜明地刻画了湘云的咬舌形象。第五回的判词有“霁月难逢，彩云易散”之句，这里的“霁月”暗指“晴”，“彩云”即“雯”，暗指晴雯的命运，霍克斯的对应译文为“Seldom the moon shines in a cloudless sky, / And days of brightness all too soon pass by”（vol. 1, 132），试图在行文中融入晴雯的名字（霍克思把其译为“Skybright”），细心的读者或许不难解读出其中的奥秘。霍译添加的修辞格也很多，如头韵、比喻、转类修饰等，一定程度上提升了译文本身的艺术性，如“镇日无心镇日闲”的对应译文（Or, in the night-time, in my wakeful bed）中的“wakeful bed”添加了转类修饰，“红消香断有谁怜”的译文“Of fragrance and bright hues bereft and bare”添加了头韵。霍克思添加最多的是比喻修辞，如把“跪在地下乱颤”译为“trembling like a leaf”，把“今见女婿这等狼狈而来”译为“He was somewhat displeased to see his son-in-law arriving like a refugee on his doorstep”等。这些添加的比喻意象在具体语境中的审美效果要胜于原文。

译者对艺术本身的责任还体现在对小说中人物或人物关系的处理上，这也是译者进行伦理选择的结果。上述霍克思对《红楼梦》中次要人物的重新设置既是对译文读者负责的一种表现，也是对艺术本身负责的表现，集中体现在卷三的附录中。总体而言，霍克思对小说人物关系的处理是忠实再现，如第十八回元春省亲贾政隔帘问安时所说的“贵妃切勿以政夫妇残念为念”（曹雪芹、高鹗 207），霍译为“[...] and that Your Grace should feel no anxiety concerning the welfare of my wife and myself during our now declining years”（vol. 1, 362）。贾政以“政夫妇”自称他自己和王夫人，而不敢以

父母的身份自居，体现的正式封建社会天地君亲师等级森严的伦理关系，霍克思的译文“my wife and myself”就再现了这种伦理关系，情态动词should的使用也较好地淡化了原文“切勿”的口吻，一定程度上强化了这种先君后亲的封建关系。杨宪益和戴乃迭译文“Your Noble Highness must not grieve your precious heart in concern for your ageing parents”（Yang, X. and G. Yang 255）中的“your ageing parents”就改变了先君后亲的伦理关系，不利于再现原文的文化内涵，还有must措辞虽与原文中的“切勿”比较对应，但语气比较生硬，并不符合贾政作为臣子而非父亲身份的话语特征。《红楼梦》中的伦理结构错综复杂，尤其是以宝黛爱情与家族衰败为代表的伦理线，里面也有很多伦理结，霍译也都对之进行了再现。值得一提的是，霍克思和闵福德为他们的五卷本《红楼梦》每卷都添加了一个分卷标题，其中第三卷为“The Warning Voice”（异兆悲音），第四卷为“The Debt of Tears”（绛珠还泪），分别强化了原文的家族和爱情伦理主线。由于语言与文化差异，霍译也有一些不太到位的地方，如第七回焦大骂的“每日偷鸡戏狗，爬灰的爬灰”（曹雪芹、高鹗 92）。这里“爬灰”是一处文化典故，指公公和儿媳通奸，文中指贾珍和儿媳秦可卿之间的乱伦关系。霍克思的译文“Father-in-law pokes in the ashes”（vol. 1, 183）未能传达出这种乱伦关系或伦理禁忌。

文学译者的责任是多重的，有时很难兼顾，难免会出现顾此失彼的情况，就像霍克思在卷二的序言中所言，“译者的忠实是分裂的，他要为作者负责，要为读者负责，还要为文本负责，这三重责任绝非一致，往往是很难调和的”（vol. 2, 20）。这种情况类似于文学伦理学批评中的“伦理困境”但并非“伦理两难”（聂珍钊，“文学伦理学批评与人性概念的辨析”8），译者面对翻译内在的伦理困境必须做出自己的伦理选择，选择本身并无对错之分，只有优劣之别。有些处理还能同时体现译者的多重责任，如霍克思对原文一致性的调整、整合补偿的大量运用等。相对而言，霍克思更加关注对译文读者和文本（艺术）本身的责任，如他使用的大量归化译法、“以经译经”的译法以及其他灵活变通的译法等。总之，作为学者型译者的霍克思，这种伦理身份主要体现在他对原文的责任上；面对作者导向还是目的语读者导向的伦理困境，霍克思选择的是向译文读者倾斜；针对译者对艺术本身的责任，霍克思的伦理选择使译文再现了原文的伦理结构，译文本身也颇具文学性和艺术感染力。

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Volumes)**

刘建军 (Liu Jianjun)

内容摘要：聂珍钊、苏晖担任总主编的《文学伦理学批评研究》（五卷本）是文学伦理学批评理论和实践发展中的里程碑。这套著作坚持中国立场和为中国服务的意识，建构了具有中国特色的新时代的文学伦理学批评体系，具有对文学现象和文本批评的实践性鲜明特征，显著地体现了跨学科和开放性的特点。不同于西方“二元对立”的思维逻辑，这套著作呈现出学科交融、文化包容、领域兼容的方法论意义和大胆探索、与时俱进的伦理意识。

关键词：文学伦理学批评；中国特色；跨学科；开放性

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Total: A Masterpiece of Chinese Position, Practicality, Progress and Exploration: The Significance and Value of the *A Study of Literary Ethics Criticism* (Five Volumes)

Abstract: *A Study of Literary Ethics Criticism* (Five Volumes), edited by Professor Nie Zhenzhao and Su Hui, is a landmark in the development of Ethical Literary Criticism, which adheres to taking root in China and serving China, thus constructing a literary ethical criticism system of the new era with Chinese characteristics. It has the distinctive practical characteristics for literary phenomena and text criticism, and significantly embodies the characteristics of interdisciplinarity and openness. In contrary to the Western thinking pattern of

binary opposition, it presents the methodological significance of cross-discipline, cultural tolerance, and cross-field compatibility, as well as the keen awareness of exploration and keeping pace with the times.

Keywords: Ethical Literary Criticism; Chinese characteristics; interdisciplinary; openness

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由聂珍钊、苏晖教授担任总主编的《文学伦理学批评研究》（5卷本）作为国家社科基金重大项目“文学伦理学批评：理论建构与实践批评研究”的结项成果，由国内众多此研究领域学者通力完成，是文学伦理学批评理论和实践发展中的里程碑。

从总体上说，这套著作有四大优长：

第一，体现了聂珍钊教授一直所主张的中国立场和为中国服务的意识。文学伦理学批评既不是西方或外国的某些批评理论的照搬，也不是在某种外来理论中加入中国元素的拼凑，而是中国特色学术话语的构建。文学伦理学批评理论的立脚点和出发点都是中国的，是来自中国立场和中国语境的产物。我们知道，中国社会是一个非常注重伦理和道德价值的社会，中国的优秀传统文化无一不与伦理道德的价值指向有关。中国人解决问题的方式，也与伦理道德的价值判断有着极为密切的联系。在文学领域，中国的文学批评传统也是一直强调“诗言志”、“文以载道”。聂教授正是看到了中国文化的这一鲜明特点和文学批评的基本立场，才着力建构文学伦理学批评的理论体系，这就较好地适应了中国文化语境的要求。同样，该文学批评理论又是针对当代中国社会生活中出现的伦理混乱和道德滑坡，为解决当前文学批评中出现的伦理弱化和道德缺位等问题提出的。这就使得该理论抛弃了常见的唯西方话语是从的学术倾向，有着强烈的现实性与针对性。可以说，正是由于这一学术立场和学术意识，使得文学伦理学批评在当代中国文学批评中发挥出巨大作用。换言之，正是这种由中国学者建立的理论，才能实现中国学者与西方学界乃至全球文学批评界的对话。从五卷本的写作情况来看，聂教授所坚持的这一立场被作者们都程度不同地践行在文本分析之中了。不仅如此，这套著作也较好地表现出了聂教授所一直提倡的文学伦理学批评要解决

当代中国社会问题的意识。

第二，将文学伦理学批评理论与批评实践紧密结合，体现出鲜明的理论建构与实践性特征。文学伦理学批评自2004年问世以来所取得的成就是有目共睹的。如果说这一批评理论自身的建立过程有所谓时间和事件节点的话，我以为，2004年聂珍钊先生发表《文学伦理学批评：文学批评方法新探索》一文，对文学伦理学批评进行了初步的介绍与阐释，标志着其理论话语的产生，这是第一个节点。2014年聂教授的学术专著《文学伦理学批评导论》的出版，使得文学伦理学批评在理论构建上更加完善，成为具有较为完整理论体系与批评话语的研究方法，这是第二个节点。近年来，以聂教授发表“脑文本”和“科学选择”等论文为代表，是其理论建构的第三个节点的开端。我认为，本套著作的出版是对第二个发展节点中所形成的理论假说的实践证明，同时也是对第三个节点到来的写作实践探索。

长期以来，尽管聂教授也注重将文学伦理学批评的理论和方法运用于文本批评实践，但由于理论自身建设和发展完善的需要，他很大的精力仍然是放在其理论自身的建构和发展上。特别是当标志着其理论基本成型的《文学伦理学批评导论》出版之后，聂先生为了理论的进一步深化，又开始深入探索科学选择的问题。应该说，在聂先生的努力和领导下，文学伦理学批评本体理论的建设取得了长足发展。但是，我有时也会感到，此领域对文学现象的有效分析和具体文本的实践批评则显得相对薄弱。之所以说其薄弱，是因为虽然每年都有用文学伦理学批评方法研究的大量论著问世，但仔细阅读这些研究论文，大多都是用作品分析来证明这一理论，而不是用此理论来说明文学现象或阐释文本的。我们知道，一个理论的成熟与否，重要的并非是用文本现象去证明这一理论是否正确，要害的是这一理论是否能够让批评者在众多的文学现象与大量文本中有新的启迪和新的发现。倘若一个新创的理论，只是处在理论体系的自我完善中，并让众多具有个性意识的批评家们的研究都成为这一理论的实验员，那么这一理论的重要性也就降低了。我欣喜地看到，《文学伦理学批评研究》（五卷本）较好地弥补了这一不足。通过阅读，我们可以看到，从第一卷开始，各卷的作者们即从不同领域和具体的国别出发，一方面探索这一理论与其他学科的关系；另一方面则详细梳理中国、美国、英国和日本等主要国家的文学伦理学批评发展流程、批评现状乃至经验教训等。由此可见，这在文学伦理学批评领域是一个巨大的转变。如果说，人们只是用文学现象和文学作品说明理论，还属于强化自身理论建构的话，那么通过此理论的指导来重新阐释总结其他学科的特征乃至不同国家文学的新形态构成，才可以说是一个学术立场的根本性转换，也是文学伦理学批评理论成熟的重要标志之一。那么，这套系列著作的问世，意义无疑是非常重大的。

第三，鲜明地体现了跨学科和开放性特点。自古至今所出现的西方文学理论流派或主张，大多都是以排他性为特征的。例如，神学文论与人文主

义文论的尖锐矛盾；古典主义与浪漫主义文学主张的格格不入；浪漫主义与现实主义文学流派经常发生的抵牾；现实主义与现代主义文学观念和方法的相互排斥。不仅如此，中世纪“名与实”的冲突；近代以来“情感”与“理性”的对峙，乃至当下“人文理性”学派与“技术理性”的冲突等都说明西方文论诸流派之间的界限极为鲜明。之所以如此，在我看来，是源于西方思维模式的缺陷。我认为，西方思维方式是以“概念本质论”亦即“逻各斯”为出发点并由较为严密的逻辑推演而成，因此它的理论内涵都有排他性的特质。而中国的哲学从创立伊始则重视普遍关系的构成，注重方法论的作用。比如，我们祖先谈论世界的时候，首先谈的是“道”。现在很多人将中国的“道”和西方的“逻各斯”并提，其实是草率的，也是不准确的。西方的“逻各斯”在本质上说，是某种固有的“理念”或“绝对精神”，而在中国文化中的“道”，其内涵则是永恒的本质关系运动，或者说是本质性关系的辩证构成。例如，《周易》通篇就没有提出世界“概念本质”是什么，也没有告诉人们某种概念式的“逻各斯”是万物之始，只是告诉人们，“道”是一种“阴”“阳”互动的关系，是“太极”的运作。中国哲学以“关系本质”和“方法论”出发来解释世界万事万物现象的思维模式，决定着其所建立起来的文化体系是一个深处隐含着强大的吸纳性和开放性的文化结构。聂教授的文学伦理学批评理论，其实就深刻地反映了中国思维的鲜明特征，即理论的跨学科性和开放性。第一卷《文学伦理学批评理论研究》将文学伦理学批评与“历史主义”、“美学”、“精神分析”、“后殖民主义”、“生态主义”、“叙事学”乃至“马克思主义”等有机地结合在一起，总结出了文学伦理学批评在不同学科领域的独特体现和发展规律。同时，其它四卷又围绕中国、美国、英国和日本等国家的文学现象，在文学伦理学批评基本原理的统筹下，进行了跨学科、跨领域、多维度的阐释。应该说，在今天国内外学界大声呼唤要实现学科交融、要重视跨文化视野的情况下，这套书的出版已用自己的实践走在了前列。它同时也说明，文学伦理学批评超越了纯文学流派的范畴，具有了跨学科、跨领域的方法论意义和价值。

第四，体现出强烈的探索精神。我认为，“文学伦理学批评”是以某个时代伦理关系的构成为基础，偏重于从伦理关系发展变化的角度，来看待某些道德观念在文学中的发展与表现的一种崭新批评模式。这样，这一批评理论毫无疑问就有了先天性的创新品格。因为它主要的批评目的是通过伦理关系的变化来揭示原有的旧道德的解体 and 适应时代的新道德观的产生，并且用新的道德观来评价文学作品。应该说，只有这样的认识，才能符合今天的伦理道德要求。我曾遗憾地看到，以往有很多冠之以“文学伦理学批评”的论著，所弘扬的仍然是陈旧的“惩恶扬善”的观念，或者说在今天仍然采用过时了的道德标准来进行所谓的文学分析。而我认为，倘若不能说清楚今天的“善”和“恶”这一观念的新的伦理关系基础，不能说清今天所要弘扬的

“善”和所要否定的“恶”的新的伦理内涵和在此基础上形成的新的道德指向，这种所谓的文学伦理学批评不过是打着现代的旗号来重复昨天的故事，客观上仍然是在倡导已经过时了的道德观念与评价标准。我们知道，世界上从来就没有用一种恒定的伦理或道德价值取向创作的文学作品，因此，也不可能用一种不变化的所谓伦理道德来评价不同时代的作品和文学现象。为此，根据时代的变化，在伦理关系演进的基础上评价不同时代出现的文学现象和作品，并作出了较为实事求是的结论，这就比起有些批评者常常用某种一成不变的道德标准来进行文学批评更富于时代价值和学术价值。可贵的是，这套著作从总体上来说，作者们都自觉或不自觉地具备了与时俱进的伦理意识。在写作时，基本都能够从不同时代的伦理关系出发，对不同时代的文学伦理现象做出符合实际的解释，尤其是很多章节都对今后文学中的伦理表现特征、伦理冲突样态乃至伦理危机表现等，作出了富有创新精神的回答，包括有些文学史上长期困扰人们的问题，也提供了新颖的意见。从这个意义上说，这套著书的出版价值也是较大的。

在此，我要指出的是，不仅总主编之一的聂教授的理论探索精神和学术的敏锐性构成了全书风格主调，同时也看到另一位总主编苏晖教授的富有个性化的学术主张在书稿中的鲜明体现。加上几位分卷主编和一些重要撰稿人写作的章节，也让我读起来感到非常愉快。

当然，不可否认，这套著作中也存在着一些章节水平参差不齐的问题，也有些用概念生搬硬套的痕迹，这些都是众人合作这样的大部头著作难以避免的。但瑕不掩瑜，我认为，此套著作仍然是聂珍钊先生所创立的文学伦理学批评理论发展第二个阶段的富于标志性的厚重之作。

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整体性、叙事性、语境性、伦理性：评《叙事、见证和历史：美国奴隶叙事研究》

Wholeness, Narratology-Focusedness, Context-Basedness and Ethicality: A Review on *Narration, Witness and History: A Study of American Slave Narration*

石 坚 (Shi Jian) 王大鹏 (Wang Dapeng)

内容摘要：作为非裔美国文学的滥觞，奴隶叙事对其发展具有重大影响。然而，国内相关研究较少，而王欣教授等的近作《叙事、见证和历史：美国奴隶叙事研究》正是这样的应时之作。该书结合历史语境、以叙事学为切入点，阐释美国奴隶叙事的叙事特征和文学意义。该书具有整体性、叙事性、语境性和伦理性四大特征，既立足广泛的选材、采用细致入微的叙事剖析、又将之置于动态的历史语境，并融以伦理的人文观照，很好地探讨了奴隶叙事的文类特征、生长语境及文学和历史功能，对非裔美国文学的整体研究具有重要参考意义。

关键词：奴隶叙事；叙事分层；话语交锋；历史语境

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Title: Wholeness, Narratology-Focusedness, Context-Basedness and Ethicality: A Review on *Narration, Witness and History: A Study of American Slave Narration*

Abstract: As the origin of African American literature, Slave Narrative has great influence on its development. However, few related researches in China contributed in this field, and the recent monograph *Narration, Witness and History: A Study of American Slave Narration* by professor Wang Xin et al is a timely book. Combining historical context and narratology, this book explains the narrative features and literary significance of American Slave Narrative. This book has the four characteristics: wholeness, narratology-focusedness, context-basedness and Ethicality. To be clear, it's based on extensive study material selection, nuanced

narrative analysis, dynamic historical context, and the authors' humanistic perspective of ethics. In this way, it well explains the genre characteristics, its growth context and its literary and historical functions of Slave Narrative, and has important reference significance for the overall study of African American literature.

Keywords: Slave Narrative; Narrative stratification; discourse confrontation; historical context

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美国文学以其文化多元性为其主要特征，而美国非裔文学作为其中最为闪耀的支脉，于 20 世纪 60 年代伴随着美国平权运动迅速崛起，成为美国文学史上不可忽视的一股力量。然而，在美国非裔文学创作蔚然成观之前，大批的非裔作家在 18 世纪就已经开始了他们的书写——奴隶叙事。奴隶叙事指涉“产生于 18—20 世纪的由奴隶书写或是口述记录的自传性叙事”（Davis & Gates v），对美国非裔文学传统的形成、英美文学传统的承继、美国政治、经济、历史和意识形态的形塑具有举足轻重的作用。

目前国内对奴隶叙事的研究尚处于起步阶段，多集中于个别经典作品的单个作品研究，且研究视角单一，缺乏系统性和整体性的梳理。在研究范围和深度上，均有较大的研究空间。王欣教授等的近作《叙事、见证和历史：美国奴隶叙事研究》（以下简称《奴隶叙事研究》）正是这样的应时之作。同时，该书系国家社科基金项目的结项成果，为王欣教授及其团队多年对美国奴隶叙事研究的重大成果。该书将奴隶叙事作为一个特殊的文类进行整体研究，在历史语境中，考证奴隶叙事的叙事策略、文学价值和社会历史意义，是国内对奴隶叙事较为全面、系统和深入的研究，对后来学者具有较大的指导意义。总体来说，该专著聚焦 19 世纪的黑白大辩论历史擂台，在广泛选取代表性奴隶叙事文本的基础上，铺开当时的政治、经济、法律和文化语境为背景，以叙事学的视角切入，同时融入对不公正的种族伦理观的细致考量，呈现了一场基于政治目的的叙事修辞和叙事策略全面的解读。该书以其文类研究的整体性特征、叙事性修辞策略、高度的历史文化语境性、以及富有情感力量的伦理关怀性，还原了一幅动态的叙事层面的黑白角力全景图，不仅有益地补充了国内对美国非裔奴隶叙事整体研究，也对国内美国非裔文

学的整体研究具有重要意义。

一、整体性：选材广泛、整体参照

《奴隶叙事研究》的首要贡献在于这是国内首次系统性地对奴隶叙事文类的整体性研究，跳脱了仅仅以单个文本为阐释对象的研究思路。广义的奴隶叙事虽然横跨 18-20 世纪 200 多年之久，并囊括了口述和书面两种文本类型，但是就其文类分析和文化功能而言，奴隶叙事则专指 19 世纪美国南北战争前，前奴隶的自传性书面叙事（王欣等 6）。因此，该书的研究文本主要选择 19 世纪美国南方战争前的书面奴隶叙事文本，涵盖从 18 世纪末至 19 世纪下半页近 100 年间的代表性作品，其中包括较为耳熟能详的《弗雷德里克·道格拉斯生平自述，一个美国奴隶，由他自己书写》（*Narrative of the Life of Frederick Douglass, An American Slave, Written by Himself*, 1845）、《威廉·W. 布朗叙事，一个逃奴，由他自己书写》（*Narrative of the Life of William W. Brown, A Fugitive Slave, Written by Himself*, 1845）和《为奴十二载》（*Twelve Years a Slave*, 1853），也有国内学者较少关注的经典文本《奈特·特纳自白书》（*The Confessions of Nat Turner*, 1831）和《索继娜·楚丝，一个北方奴隶的叙述，1828 年被纽约州从人身奴役中解放》（*Narrative of Sojourner Truth, A Northern Slave, Emancipated from Bodily Servitude by the State of New York, in 1828*, 1850）等。从选取文本的作家看，奴隶叙事者既有前逃奴自述者，也有自赎为自由人的叙述者；既有男性叙述者，也有女性叙述者。因此，不同的奴隶叙事作家针对蓄奴制这一社会大辩论议题的不同立场，能够对当时的奴隶叙事文类有一个较为全面的参照视角，有助于完整奴隶叙事群体图像的构造。

从选取文本的内容上看，既有强烈反抗蓄奴制的控诉性叙事，也有遵循得体原则的委婉性叙事；既有以纯粹事实为导向的写实叙事，也有社会合力塑造下的虚拟叙事；既有对蓄奴制这一实体政治枷锁的反抗叙事，也有对社会中黑白不平等权力的虚拟枷锁的反思叙事。研究文本选择的多样性展现了 19 世纪南北战争前，奴隶叙事作家们在不同的宗教、政治、经济、文化背景下，对待蓄奴制的不同关切点、不同叙事策略和反抗蓄奴制不同时期的特点，有助于读者对奴隶叙事有一个立体、饱满、流动的认识，避免将所有历史阶段的奴隶叙事扁平化处理。

此外，除了广泛的奴隶叙事文本选择，该书也涵盖了大量的政治性文件、法律文件、人类学著作、报纸、文学杂志期刊和其他经典文学作品等，结合奴隶叙事文本进行总体参照，展现了奴隶叙事在参与蓄奴制存留问题社会大辩论中与社会各要素之间的互动关系。

因此，不管是从奴隶叙事作家、文本、文本时间的有意选择上，还是对法律、政治和期刊杂志等文本的广泛遴选上，该书都力求多角度、多时段、多维度

地还原 19 世纪美国南北战争前，黑白群体在蓄奴制这一社会话语中的立体面貌，展现一幅广袤且细致的社会图景。

二、叙事性：分层叙事、以微观著

该书虽然在整体性关照下对美国 19 世纪奴隶叙事展开文类研究，但却另辟蹊径地从叙事学的微观角度来考证这一文类的修辞策略和叙事技巧，以及其叙事策略在广袤的政治与社会语境中所起到的辩论功能。

基于对遴选的代表性奴隶叙事作品的细致剖析，作者结合热奈特（Gerard Genette）和里蒙—凯南（Rimmon-Kenan）的叙述分层理论，发现奴隶叙事文本在结构上的常规为：奴隶声明、白人证明叙述者人格和叙述精确性的前言或介绍、合乎身份的奴隶叙述，呈现出一种黑色信息包裹在白色信封内的叙事结构。由于白人编辑对黑人自述内容的框定和过滤，19 世纪的奴隶叙事呈现出一种低调、委婉、限制性的叙事标准。因此，为了通过白人编辑的审查，奴隶叙事者们在叙事中对白人奴隶主的暴行采用弱陈、迂回叙述、曲言、低调叙述等叙事策略，于平静的轻描淡写和克制陈述中蕴含巨大的情感能量，与奴隶本身的苦难遭遇形成一种张力，充满了叙事力量。

同时，该书也注意到奴隶叙事文本中的“白夹黑”现象，即两个白人前后夹住一个黑人的意象，认为这种“白夹黑”一方面指涉黑人奴隶在身体上被白人规训、空间上被白人定域，另一方面也隐喻着黑人话语被白人话语的过滤、框定和曲解。这种结构和意象上的“白夹黑”隐含的是文本意义上白人与黑人的权力关系。基于此，黑人以虚写实和隐喻性的叙事策略则是奴隶叙事中黑人话语对白人话语的潜在颠覆。

自传主体的分化也是奴隶叙事一个不容忽视的特征。根据韦恩·布斯（Wayne Booth）、詹姆斯·费伦（James Phelan）和申丹的叙事理论，王欣教授等认为奴隶叙事中的“我”分化为现实层面年长的作者，话语层面的经验叙述者和故事层面的故事人物。由于奴隶叙事是现在“自由的我”对过去“奴役的我”的表述，现在的“我”已经是作家、废奴主义演说家或废奴主义支持者，因此分化的叙述主体既有其对过去创伤真实诉求的渴望，也包含对当下社会需要的迎合，呈现出一种对白人修辞标准既颠覆又迎合的叙述策略。“作为一种具有强烈政治色彩的文学体裁，奴隶叙事的根本目标在于反对奴隶制”（金莉 67）。基于为废奴运动争取更多的支持者的目的，美国奴隶叙事文本的读者多为具有读写能力和投票权的白人群体，因此，黑人作家在创作中需要维持两种面貌，既要如实的反映奴隶制下黑人奴隶的真实遭遇，又要满足白人读者群体的期待视野。在此背景下，奴隶叙事文本会刻意采用维多利亚时期的“得体原则”、融入大量的宗教元素，强调宗教对黑人的规训作用等叙事手段来迎合白人读者的阅读趣味。

该书将奴隶叙事文本的结构和意象分解为“白”和“黑”两种文本元

素之间的互动,使读者从中看到“白”对“黑”的压制,也能看到“黑”对“白”的潜入颠覆,展现了黑白两种叙事话语的交锋。此外,该书进一步将叙述主体分解为现在自由的“我”,过去被奴役的“我”,和文本中故事中的“我”,结合语境,分离出现在的“我”与过去的“我”的相异性,展现出故事中的“我”的复杂性,进而剖析出奴隶叙事文本对白人读者既颠覆又迎合的叙述策略和叙事特征。可以说,叙事层面微观的剖析折射的是大的政治文化语境下黑人与白人话语的博弈。如果说,广泛选材为该书奠定了广袤的研究图景,那么,细致的叙事剖解则提供了绣制这一图景的针线,起到了以“微”观“著”的效果。

三、语境性:集体见证、扎根历史

《奴隶叙事研究》的另一个重要特征是将此文类置于社会历史语境中综合考量,还原奴隶叙事的文类特征与历史文化的互动关系,展现一个见证式的、互动性的叙事样貌。该书认为,奴隶叙事既是单独的个人的声音,也是共有的相互的经验,是一种集体发声,一个集体的故事(王欣等 224)。奴隶叙事提供了公共领域中被奴隶制所遮蔽的、不为人知的知识,充当了社会文献、历史史料或见证证言的角色。这样一来,就更加易于理解黑人话语表面文本对白人的迎合以及潜在文本对白人的颠覆了。如此扎根于历史和文化语境的研究思路,使得奴隶叙事这一文类研究不是无根之木、无源之水,变得更加立体而形象。

从绪论部分开始,著者即讨论19世纪奴隶叙事得以广泛传播的语境,如废奴运动的影响、印刷与图书工业的发展、公众对奴隶经历的阅读兴趣等,将奴隶叙事置于一个动态的、多声部的社会语境之中展开讨论。该书所论述的见证具有四个阐释维度。首先,奴隶叙事采用了模拟法庭见证模式的叙事手段,再现了奴隶叙事文本的证据链,为奴隶叙事的真实性问题预留了研究空间;其次,由于奴隶叙事相对稳定的叙事结构和一致的叙事目的,作者认为,奴隶叙事庞大的数量和重复性、相似性构成了一种集体见证(王欣等 225)。奴隶叙事中的单数“我”,讲述的是被压迫和奴役的复数的“我们”。再次,奴隶叙事的写作本身也是在邀请读者参与对其奴役经历的见证,呼吁其记住奴隶制的不公正和不人道,行动起来去解放他们;最后,奴隶叙事本身是奴隶制受创群体的创伤叙事,他们通过讲述达到自我疗愈和重建的目的。如此四维的见证阐释既从文本内部探讨了奴隶叙事的目的,也从文本外部达到了文本与读者的交流;既有对黑人群体创伤记忆的伦理关怀,也有对社会正义的追求。

此外,该书认为奴隶叙事是美国黑人早期历史的重要见证。奴隶叙事的建构起的是由个人组成的黑人历史,而奴隶叙事者则是历史的见证者和参与者。一方面,奴隶叙事者提供其被奴役历史的史料案件,并建构了其黑人原型,

如道格拉斯式的英雄式人物、亨森式的温驯黑人奴仆等。另一方面，奴隶叙事者积极参与历史，在智力、道德和美学上与主导意识形态进行协商、通过社会合力和自我有意识地塑造，达到影响历史的作用，体现了黑人在历史中的主动性。

由此来看，该书的奴隶叙事研究植根于动态的、互动的历史，不仅探讨了奴隶叙事这一文类产生的历史背景，也将奴隶叙事作为一种历史见证，既描述历史又参与历史，既在“大”的历史中挣扎又在书写和创造着属于黑人自己的“小”的历史。如果说奴隶叙事者极具欺骗性的叙事策略是于微观之处对白人话语的颠覆之“术”，那么对动态的历史语境的还原则为这些叙事策略提供了成长之“理”。

四、伦理性：种族平等、关注人性

《奴隶叙事研究》创造性地将对种族伦理和家庭伦理的探讨与奴隶叙事联结，赋予了美国奴隶叙事这一文类情感的温度，体现了著者对人与人关系、人与社会关系思考的伦理关怀。聂教授认为，文学具有教诲功能，文学批评也具有道德责任（聂珍钊 71）。该书通过对种族伦理、家庭伦理、教育伦理和婚姻伦理的讨论使奴隶叙事的动态图景变得有温度和情感力量，更能使读者“动之以情”，体恤黑人遭受的有违伦理的压迫，自觉构建一个有道德、有正义、有人性的伦理环境。因此，该书对奴隶叙事伦理性的关注，也折射了著者们自觉承担起的，辐射文学批评教诲作用的人文责任。

著者认为，奴隶制通过法律的方式将黑人排斥在白人的道德标准和伦理要求之外（王欣等 168）。美国自建国以来，即宣扬一种以自由、平等、友爱为纽带的伦理标准，而奴隶制则通过法律的方式将对黑人的压榨合理化，从而将黑人降格为动物或物体，剥夺其作为“人”的情感和伦理诉求。黑人的亲情和血缘关系在种族主义的血统论中变得微不足道。黑人男性被降格为做苦力的动物，黑人女性被降格为生孩子的工具。奴隶主安排男女奴隶结婚的目的是为了使二者尽快繁衍出后代，增加财产的价值。黑人女性的伦理标准里没有贞洁的道德要求，相反，却成为奴隶主发泄欲望和榨取劳动价值的工具。不顾其婚姻和亲子关系，被作为财产的黑人被无情拍卖，于是夫妻离散、骨肉分离。这一切的根源在于不公正的种族伦理观。于是，著者分析了奴隶叙事作品中关于自由的辩论。在作品中，通过叙事策略，黑人与白人通过角色扮演，颠倒了黑白身份，从而获取了自由。经由这种颠倒，黑人变为“主人”，被视为“绅士”，从根本上消解了白人的优越感、解构了白人荒谬的种族伦理。

此外，黑人被认为并不具备识字和修辞能力，奴隶叙事文本的真实性长期遭到读者的质疑，因此奴隶的自述需要白人编辑的转述、白人的证明文件来澄清其识字能力。所以说，在程式化的“白夹黑”文本结构背后潜藏的不仅仅是白人政治话语对黑人话语的框定和过滤，也暗含了对黑人奴隶作为“人”

的智力和识字能力降格处理的伦理语境。

同时，著者聚焦黑人家庭内部关于解放、教育和婚姻展开探讨，揭示了白人与黑人婚姻关系之下掩盖的不平等种族伦理。在《艾奥拉·勒罗伊，或阴影退去》（*Iola Leroy, or Shadows Uplifted*, 1893）中，白人主人对黑人妻子的承诺为，“我将解放你、教育你、并迎娶你”，将白人奴隶主从虐待奴隶的道德洼地抬至施恩与人的道德高地。然而，这种解放和教育也可被视为对动物的驯化过程。此外，这种教育的伦理标准也因为黑人的血统发生了变化。教育的目的不再是解放独立人格，而是成为一个白人称职的妻子，变得谦卑和驯服。由此可见，这种白人与黑人婚姻的结合并没实现平等和解放，转而成为另一种形式的禁锢和压迫。至此，基于不公正种族伦理之上的婚姻并不是以爱和平等作为维系，而是演化为了另一种不公正的家庭伦理的出现。

不公正的种族伦理观将奴隶降格为物，否定其情感能力、识字能力、家庭经营能力和受教育的能力。经由奴隶制这一法律程序，不公正的种族伦理变得合法、合理、合规。因此，该书除了指出黑人寻求政治上的身份和解放之外，还直指不公正的种族伦理这一根源以及由此衍生出的家庭伦理、教育伦理问题，具有很大的启示意义。

总体来说，该书既立足广袤、又着力于微；既剖析其叙事之“术”、又植根于其成长之“理”、既关注黑人政治身份的解放、又心系不公正的种族伦理。通过广泛选材，该书描摹了一幅广袤的巨幅图景；基于细致的叙事分层分析，该书赋予了这副图景以细节和纹理；对历史语境的全面还原进一步将这一微著皆有的图像动态化；对黑奴不幸遭遇的伦理关怀则将这一动态图景变得有血有肉，具有了情感温度。如此一来，黑人与白人在奴隶叙事话语中的角力则充满了张力和力量。该书对美国奴隶叙事这一文类系统、深入、细致的研究对于美国黑人早期历史的研究、美国非裔文学作品的整体研究具有重要的参考和借鉴意义。

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语图关系视野中文字的符号归属及功能再认识：《艺术视野下的文字与图像关系研究》的研究

Re-recognition of the Symbolic Attribution and Function of Writing in the View of Language-Image Relationship: A Study on *Research on the Relationship between Writing and Images from the Perspective of Art*

廖述务（Liao Shuwu）

内容摘要：索绪尔将语言与文字归属两个不同的符号系统。若要在视觉时代深入考察语图之意涵及关系，对索绪尔意义上的文字符号归属问题展开批判性反思就尤为必要。《艺术视野下的文字与图像关系研究》一书以对“音响形象”内涵之再解读为突破口，重构语言与文字关系，认为文字并非仅仅是语音的替代与补充，而是与后者共同构成语言的能指体系。以文字差异区分系统为基础，进而提出文学语言形象生成的全新机制。透过这一生成机制，我们可以发现文字和图像都具有德里达意义上的差异区分的中介性特征。对这一特征的深入探讨有利于进一步澄清学界反复争论的语图的实指与虚指问题，进而重置语图内在关系。

关键词：语图关系；文字；符号归属；中介性

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Title: Re-recognition of the Symbolic Attribution and Function of Writing in the View of Language-Image Relationship: A Study on *Research on the Relationship between Writing and Images from the Perspective of Art*

Abstract: Saussure attributed language and writing to two different symbol systems. If we want to make an in-depth study of the meaning and relationship of language-image in the visual era, it is particularly necessary to make a critical reflection on the attribution of written symbols in the sense of Saussure. The book *Research on the Relationship between Writing and Images from the Perspective of Art* takes the

reinterpretation of the connotation of “sound image” as a breakthrough, reconstructs the relationship between language and writing, and believes that writing are not only the substitution and supplement of sound, but together with the latter constitute the signifier system of language. Based on the differential system, this paper puts forward a new mechanism for the generation of literary language images. Through this mechanism, we can find that both writing and images have the intermediary characteristics of differences in Derrida’s sense. An in-depth discussion of this feature is helpful to further clarify the problems of real and virtual reference, which have been repeatedly debated in the academic circle, and then reset the internal relationship of the language-image.

Keywords: language-image relation; writing; symbol attribution; intermediary

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在德里达看来，西方哲学传统是一种在场的形而上学，因为它始终如一地、教条地假定一个纯粹的、没有中介的“在场”时刻。在场的形而上学的定义模式是逻各斯中心主义的，言语是这种在场的特权载体，而文字则体现了这种在场的中介性与被延迟。德里达揭示了文字的“书写”特征，进而指出所有语言符号（包括言语和文字）都是以形而上学历史上仅赋予“书写”的中介性为特征的。¹ 德里达试图纠正索绪尔语音中心的偏误，因而彰显了言语与文字的同一体性特征。但这也在一定程度上悬置了对索绪尔所谓“语言和文字是两种不同的符号系统”（索绪尔 47）展开进一步诘问的可能。显然，若要在视觉时代深入考察语图之意涵及关系，对文字的符号归属展开批判性反思就颇为紧要。赵宪章等人依循索绪尔有关语言与文字的区分，认为文学语言的形象生成主要依赖于“音响形象”的“语象”特质。² 赵炎秋《艺术视野下的文字与图像关系研究》（以下简称《关系研究》）一书以对“音响形象”内涵之再解读为突破口，重构语言与文字关系，进而提出有关文学语言形象生成的全新论断。

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索绪尔有关语言与文字的区分是问题得以展开的重要理论前提。他认为，文字与内部系统无关，“语言和文字是两种不同的符号系统，后者唯一的存

1 See Arthur Bradley, *Derrida's Of Grammatology: An Edinburgh Philosophical Guide* (Edinburgh: Edinburgh UP, 2008) 41.

2 参见 赵宪章：“文学成像的起源与可能”，《文艺研究》9（2014）：16-29。

在理由是在于表现前者。语言学的对象不是书写的词和口说的词的结合，而是由后者单独构成的。但书写的词跟它所表现的口说的词紧密地混在一起，结果篡夺了主要的作用”（47-48）。这意味着文字仅为“口说的词”（“声音符号”）的“代表”，亦即后者的补充和替代。索绪尔对“口说的词”进行了一种语音层面现象学意义上的还原：重要的是能指如何呈现在我们的意识面前，而不是它与实际声音之间的任何关系。¹这个语言能指就是“音响形象”，它“不是物质的声音，纯粹物理的声音，而是声音的心理印迹”（索绪尔 101）。在索绪尔这里，文字与“音响形象”相对举且从属于后者：“语言中只有音响形象，我们可以把它们译成固定的视觉形象”，“语言既然是音响形象的堆栈，文字就是这些形象的可以捉摸的形式”（索绪尔 37）。文字外在于语言系统，是音响形象的“视觉形象”与“可以捉摸的形式”。

依索绪尔所言，文字不过是“音响形象”的外在表现形式，而与语言的能指无关。国内一些代表性理论家意识到，要反思“文字”的符号归属，就必须对“音响形象”重释与再概念化。赵宪章重新界定“音响形象”意涵，认为在口语范围内，它表现为“语象”或“语言图像”和意义发生联系；而在书面语的范围内，文字文本图像作为语言能指，表现为“有声图像”和意义发生联系。文字文本图像须还原为“音响形象”才能使它的意指最终实现。²这里虽强调了文字的能指属性，但它依旧是“音响形象”的标记。有学者发挥了上述观点并做了适度修正，认为维姆萨特（W. K. Wimsatt）的“语象”、维特根斯坦的“词语充当了图像”，都与索绪尔的“音响形象”一脉相承。“音响形象”就是和语音勾连在一起、被语音所唤起的语象。而文字作为“视觉形象”则把“音响形象”这种心理图像、内视图像予以外化和摹仿。³可见，赵宪章等人虽然意图将文字能指化，但它依旧依附于“音响形象”。

《关系研究》对“音响形象”内涵的重释走了不同的路径。它主要从两个方面展开：其一，音响形象只是语音能指的心理层面，无法与能指划等号。赵炎敏敏锐发现索绪尔相关论述含混之处。索绪尔强调音响形象的心理性质，并认为“所指和能指分别对应概念和音响形象”（102）。但他同时指出：“语言是组织在声音物质中的思想”，“语言还可以比作一张纸：思想是正面，声音是反面。我们不能切开正面而不同时切开反面（……）这一点只有经过一种抽象工作才能做到，其结果就是成了纯粹心理学或纯粹音位学”（157-58）。这一“抽象工作”反证不能分离的正是物质的声音和它所表达的思想。索绪尔强调音响形象并没有否认语音的物质性。从逻辑上说，必先有声音才能有相应的心理印迹。因此，作为语言能指的语音应包括物质层面的声音和心理层面的

1 See Arthur Bradley, *Derrida's Of Grammatology: An Edinburgh Philosophical Guide* (Edinburgh: Edinburgh UP, 2008) 66.

2 参见 赵宪章：“语图符号的实指与虚指——文学与图像关系新论”，《文学评论》2（2012）：88-98。

3 参见 赵敬鹏：“再论语图符号的实指与虚指”，《文艺理论研究》5（2013）：158。

音响形象两个部分。¹ 音响形象无法与能指划等号。其二，音响形象只是语音的一个次要组成部分。在索绪尔看来，语言是一种以“音响形象在心理上的对立为基础的系统”（164-65）。《关系研究》将这一观点进一步明晰化：

一个词的声音不是一个固定的点，而是一个段，这个音段的两端以这个声音与同一语言中的其他音段的区别为界限。在这个音段内，发音者发出的声音可以有‘不同的素质’，换句话说，只要是在这个音段的范围内，发音者不管发出什么样的声音都还是这个词的声音。索绪尔说的音响形象实际上就是这个音段在人的心理上的印迹，它与具体的人所发出的实际声音并不是完全一致的。（145）

虽然音响形象是公众对于语音的心理印迹，但无论从总体还是个体看，语音的心理印迹都是与实际的语音相符并由实际的语音决定的。也就是说：“语音的两个层面中，物质层面是处于主导地位的，是先有了语音的物质层面然后才有心理层面即音响形象，心理层面是随着物质层面的变化而变化的”（赵炎秋，《艺术视野下的文字与图像关系研究》148）。

上述分析表明，语言听觉形式的能指是语音而非音响形象。那么，文字是否仅仅是语音的“代表”（能指的能指）呢？《关系研究》以汉字为例指出，仅靠语音，即使加上不同的语境，也无法提供足够多的差异，使这些不同的词得到清晰的表达。汉语中众多的音段之所以不再继续分化，是因为它们与不同的文字联系起来，因而提供了足够的区分所指的手段。文字参与了语言的差异系统，使其区分更为精细。而且，没有文字的语言很难发展成为成熟、复杂、精细的语言。只有在文字的参与下，语言才能更好地留存、积累、展开，并在此基础上渐趋精细、复杂、丰富与优美。² 显然，文字并非仅仅是语音的替代与补充，而是与后者共同构成语言的能指体系。在此基础上，《关系研究》进一步探究这两者在语言系统内的关系。尽管从历时的层面，语音与文字的关系是变化且不稳定的，但在共时的层面，两者的关系是任意的，是一有机的统一体，所表征的意义与所指也是完全一致的。而且，比之于直线展开、随时间消逝的听觉形态的语音能指，视觉形态的文字能指能在平面展开、可在时间中停留，更便于深度理解与阐释。正因此，《关系研究》认为，“文字不是外在于语言的另一个系统，它就在语言之中。研究语言与图像的关系可以通过研究文字与图像的关系进行，研究文学也可通过研究文字进行”（170）。

1 参见 赵炎秋：《艺术视野下的文字与图像关系研究》（北京：中国社会科学出版社，2021年）143-148。

2 参见 赵炎秋：《艺术视野下的文字与图像关系研究》（北京：中国社会科学出版社，2021年）152-154。

二

文学语言的能指系统影响且最终决定文学形象的生成。理论家对文字之符号归属的不同判定——是否属于语言能指系统，自然将直接影响其对文学语言形象生成机制的认知。

赵宪章、赵敬鹏等人认为，文学语言的形象生成主要依赖于“音响形象”的“语象”特质，而与文字的能指属性无根本性关联。赵宪章认为，语言是实指的，但借助隐喻修辞，语言就获得了类似图像的虚指性：“既然图像的隐喻本质导致图像的虚指性，那么，语言的隐喻也就意味着导致语言的虚指性，即语言符号脱离它的实指轨道而滑向虚指空间——由‘语象’所图绘的虚拟世界。这个世界就是诗的世界、文学的世界，整个语言艺术的世界。”（赵宪章，《语图符号的实指与虚指——文学与图像关系新论》95）显然，语言的图像性来自“语象”，即音响形象的表现。文学语言的形象生成最终以类似图像生成机制的“语象”机制为前提。这一分析有两个不足：其一，它是对音响形象类图像机制的抽象分析，忽视了这一心理层面的能指系统更内在也更本质的立足差异的意义生成功能。其二，“隐喻”修辞不是生成文学语言虚指及其形象性的主要原因，更不是唯一原因。很多隐喻性词汇在长期使用过程中被任意化，逐渐具有实指特征，其隐喻义也就转化成了本义。¹

音响形象作为语音能指的心理层面，在面对现实的文学客体时，其能指意义生成要以音段的听觉差异为前提。听觉能指因其线性时间特征，具有临时性、易逝性等不稳定特征。正因此，《关系研究》选择文字这一视觉形态能指系统作为分析文学形象生成机制的基本载体。也就是说，《关系研究》在讨论文学形象生成问题时，文学语言与文字具有等义性，可互为替换。不过，文学语言（文字）要建构文学形象必须要解决黑格尔提出的语言学难题：“诗人所给的不是事物本身而只是名词，只是字，在字里个别的东西就变成了一种普遍性的东西，因为字是从概念产生的，所以字就已带有普遍性”（黑格尔，《美学》213）。因此，“我们把我们所意谓的一个感性存在用语言说出来是完全不可能的”（黑格尔，《精神现象学》66）。《关系研究》从两个层面来处理这一难题。首先，语言并不是绝对一般与普遍的，它既有普遍一般的一面，又有具体特殊的一面。语言由词构成，词的核心是词义，词义的核心是概念。概念是从若干个别事物中抽象出来的，在保持抽象意义的同时，它又与个别具体的事物保持着一定的联系。而且，人们理解概念总是以自己的生活经验为基础的，而这些生活经验总是感性具体的。在理解概念的时候，人们必然把这些感性具体的东西与概念联系起来。不过，“语言虽然有具体特殊的一面，但在一般语言中，这一面还是次要的，比较模糊、混沌的。因

1 参见 赵炎秋：《艺术视野下的文字与图像关系研究》（北京：中国社会科学出版社，2021年）121。

为语词首先是以它的共义为人们所把握的。另一方面，它虽然联系着个别具体的事物，但这个个别具体的事物还不是以其全部的清晰性与之联系着，而只是以与词义相应的大致的表象”（赵炎秋，《艺术视野下的文字与图像关系研究》176）。

值得注意的是，赵宪章也很关注语言本身所含有的与对象世界感性形式相关的因素。语言的隐喻意味着语言由实指符号变身为虚指符号，即语象虚指。“语象”作为语言隐喻，是语言由实指滑向虚指的符号变体。他还曾指出，语言所指（意义）与其对象不是任意关系，而是直接性关系，“这‘直接性’就是‘身体与可感者的天生的组合’，即大脑表意作为语象肉身与对象世界的天人合，恰如图像以其相似性对于自然的认同与回归”（赵宪章，《文学成像的起源与可能》21）。尽管将“语象肉身”与对象世界做直接性对应并不妥当，但赵宪章无疑充分认识到语言自身的“图像性”特征。而这正是语言再现外部感性世界的内在前提。问题在于，“语象肉身”还只是赵炎秋所谓的“一般语言”，它主要存有的依旧是语言“共义”的一面。可以说，“语象肉身”是文学语言形象生成的一般前提。

正因此，赵炎秋特别强调“一般语言”的“共义”与语言具体特殊的一面所构成的张力关系。那么，如何处理这一张力关系呢？这一内容正构成了《关系研究》应对黑格尔语言学难题的第二层面。前述第一个层面更多关注语词的基本语义层次，强调语言有具体、特殊的一面。在此基础上，要把语言中比较次要、模糊的具体、特殊的一面放大、突出出来，使它变得清晰、具体、明确，就需通过语词序列即语词的系列组合来进一步凸显语言的具象性维面。¹这主要从三个角度展开：其一，语词组合加强语词具体特殊的一面。通过组合的方式，语词具体特殊的一面得以叠加、放大；或者，通过语词间相互限制，语言所唤起的具象的泛指性逐渐缩小。这两者将导致语词具体特殊的一面凸显出来，成为主导性的一面。其二，语词组合造成言语“偏离”。一般语言中，能指与所指之间的关系是确定的。但在具体语言活动中，当词义变化超出语词能指与所指之间确定性联系时，言语偏离就产生了。它会造成新异性，恢复人对事物具体感性一面的认知。其三，语言组合能形成一定语境，使处于这一语境中的字词句特殊具体的一面突出出来，使抽象变成具象。²语词的组合达到一定的程度就形成了完整的具象。但形象不等于具象的累加，它是由具象构成的一个新的有机体。它以具象为基础，但又有新的品质。

三

透过文学语言（文字）的形象生成机制，我们可以发现文字和图像都具

1 参见 赵炎秋：《艺术视野下的文字与图像关系研究》（北京：中国社会科学出版社，2021年）176。

2 参见 赵炎秋：《艺术视野下的文字与图像关系研究》（北京：中国社会科学出版社，2021年）176-179。

有德里达意义上的差异区分的中介性特征。对这一特征的深入探讨有利于进一步澄清学界反复争论的语图的实指与虚指问题，进而重置语图内在关系。

赵炎秋察觉到“一般语言”的“共义”与语言具体特殊性之间的张力关系，并主张通过语词序列即语词的系列组合来解决具象的深度生成问题。不难发现，任何一个特定的“语词序列”在具象的生成上都具有不确定性。赫希（E. D. Hirsch）等理论家就曾注意到，对不确定性问题的理论兴趣源于一个普遍的概念，即语词序列有一系列语言学上可能的意义（Steven Knapp and Walter Benn）。上述凸显具象性的语词组合的三种方式，其实就是语词序列通过语言差异区分系统进一步明确语义具象性意涵的方式。应该说，《关系研究》一书在讨论文学语言的形象生成机制时，虽然注意到了语言差异系统，但在论述中并未一以贯之。这尤其体现在从具象到文学形象这一关键性过渡阶段。具象是语象围绕某个共同点形成的能够表现一个相对完整生活片段的共同体，它构成了文学形象外在的感性表现形态。参照罗兰·巴特符号消耗理论，《关系研究》一书认为，文字处于第一级符号系统，形象是第二级符号系统。在形象中，构成形象的文字的能指和所指一起转化为形象的能指，然后这能指再与形象的所指一起，构成新的形象。文字的能指与所指在构成形象的过程中耗光了能量，满足于作为形象的能指而存在。¹这一论述具有重要理论启示，但未深究符号“耗光”能量的具体机制。其实，具象间的运作类似语词序列的差异化组合，它不是以具象自身的“积极”意义而是以差异区分方式最终确定形象的意涵。形象是众多具象（系统要素）作为关系项差异化重组的结果，形象意义的确定是以具象自身积极意义的消逝为前提的。这种从具象到形象的彻底转换表明，形象并不直接在场，是文学语言差异性区分的产物。

如上论述表明，从一般语言到形象的生成，文字系统的差异性区分功能扮演了关键角色。在德里达意义上，这充分体现了文字的中介性特征，任何语词的意义都是由它与系统内其他语词在语音和概念上的差异而决定的。文字并不是形象的直接在场。或者，通过文字并不能直观形象。这个复杂的语言文字系统（以任意性、差异性、惯例性为特征）正是我们体验语言之外世界的中介前提。²

值得关注的是，“音响形象”的形象生成机制是否也体现出中介性特征呢？有关这一问题的讨论复杂得多且充满争议性。在谈到文字的影响时，赵宪章认为文字作为“图像”能指并非如“音响形象”那样出自人的天性，而是人为的。³也就是说，音响形象是自然与天性的。前文论及，他所谓的“语象肉身”

1 参见 赵炎秋：《艺术视野下的文字与图像关系研究》（北京：中国社会科学出版社，2021年）209。

2 See Arthur Bradley, *Derrida's Of Grammatology: An Edinburgh Philosophical Guide* (Edinburgh: Edinburgh UP, 2008) 41.

3 参见 赵宪章：“语图符号的实指与虚指——文学与图像关系新论”，《文学评论》2（2012）：89。

也带有自然性特征。它与对象有直接性关系，是大脑表意作为语象肉身与对象世界的天人合。为此，他做出一个重要类比：这一直接性关系就如图像以其相似性对于自然的认同与回归。在赵宪章这里，图像性虚指是以自然相似性为前提的。在这一点上，音响形象与图像有着共同的特征。而《关系研究》认为，音响形象是具有差异区分意义的“音段”在人心理上的印迹，不同于实际发音。一个词的声音不是一个固定的点，而是一个段，这个音段的两端以这个声音与同一语言中的其他音段的区别为界限。在这个音段内，发音者的声音可以有“不同的素质”。¹这也就意味着，音响形象要达成维特根斯坦所谓的“词语充当了图像”，就需通过音段的差异性区分而不是通过与对象世界的自然相似性来完成。《关系研究》反复强调音响形象是特定共同体对于语音的心理印迹，就进一步强化这一概念的任意性与惯例性特征，而这些恰恰是音段差异性区分的语言学基础。

《关系研究》虽然意识到实际语音对于音响形象历史变迁的决定性作用，但并没有将音响形象的形象生成认定为一种类图像的相似性机制。不过，在处理图像自身的意义生成机制时，依旧陷入到了有关实指 / 虚指的二元对立窠臼中。该著强调了文字的中介特性，语言符号是人为的，它们与自然的“感性存在”没有一致性。而图像的媒介是人们能够用感官把握的线条、色彩、体积和影像，它们与自然的“感性存在”是一致的，由它们构建的艺术作品，其能指与自然的表象有着同构性与一致性。²这与赵宪章将音响形象视为“语象肉身”进而强调其自然性有着近似之处。在这个意义上，图像因其直观性见证形象世界的直接在场。

其实，图像在表征世界时也带有鲜明的中介特征。我们可以中国传统绘画为例来讨论这一问题。中国传统绘画注重以形写神、拟态传神。画家笔下的“形”并非物质性形式本身，而是对后者的一重抽象。赵宪章认为，空间造型和光色调配是图像符号最基本的工艺手段，而且“任何图像都是眼睛的存在物，任何人为图像都要迎合感知机制的需要，只为人眼睛而存在”（赵宪章，《语图符号的实指与虚指——文学与图像关系新论》92-93）。这充分表明，图像具有非自然性的意义生成特征，但赵宪章将图像的这一中介性误读为虚指性“假相”生成机制。

语言文字与图像共同的中介性特征一定意义上悬置了学界反复争论的语图实指 / 虚指问题，因为两者在根本上有着近似的意义生成机制。这也就意味着，真正值得我们进一步探讨是语图差异区分系统的异同问题。

1 参见 赵炎秋：《艺术视野下的文字与图像关系研究》（北京：中国社会科学出版社，2021 年）145。

2 参见 赵炎秋：《艺术视野下的文字与图像关系研究》（北京：中国社会科学出版社，2021 年）70。

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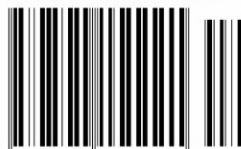
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