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Contents

- 1-8 The Path to Building a Theoretical System of Independent Chinese Marine Culture:
An Academic Interview with Professor Qu Jinliang
Liu Shuang, Qu Jinliang
- 9-25 “What seas what shores”: A Geocritical Approach to T. S. Eliot’s “Marina” and
Shakespeare’s *Pericles*
William Baker, Cheng Wen
- 26-46 The Sargasso Sea as a Mediological Archive: Transduction of the Maritime
Imagination
Youngmin Kim
- 47-61 The Historical Evolution of “Blue Story” in Korea Focusing on Fiction, Film, and
Drama of the Twentieth and Twenty-first Centuries
Dae-geun Lim
- 62-74 Cultural Predicaments of Polar Maritime Communities in *Dogsong*
Zhu Hua, Wang Lei
- 75-82 Gazing at the Sea: Maritime Wisdom, Imagination, and the Oceanic Sublime—
Similarities and Differences in Chinese and Western Maritime Literature
Ni Nongshui
- 83-94 Liang Qichao’s Understanding of Japan as a Maritime Power and the Establishment
of His Identity as a Reform-Minded Intellectual
Chen Xushi
- 95-104 From World Dialogue to Local Writing: An Analysis on Taiwan’s Marine Literature
Liu Shuang, Jin Zhixian
- 105-116 Dana’s Maritime Narratives and the Imagination of American Maritime Community
Duan Bo, Zhang Ruiying
- 117-126 “Pirate Empire”: Geopolitical Metaphor in *Treasure Island*
Li Changting
- 127-138 The Maritime Silk Road Culture of Ningbo from an East Asian Perspective
Li Guangzhi

- 139-147 *Shan-xing Shui-shi*: The Imagistic Symbols in Ancient Chinese Nautical Charts
Jiang Xiuyun
- 148-157 Equality, Naturalism, and Harmony: The Ecological Ethics in Zhang Yurong's Sea
Poetry
Hu Suzhen
- 158-164 Life, Death, and the Deep Ocean: A Review of Daniel Kraus's *Whalefall*
Zhang Zhi
- 165-170 A Documentary-Historical Nautical Chart of National Imagination: A Review of
Zhang Zhi's *The Mirror of the Sea: A Study of English and American Sea Novels*
Shang Qian
- 171-178 The Severed Ocean and Humanity: A Review of *Blue Ecocriticism* and *Shadowing
the Anthropocene*
Ma Sitao

目 录

- 1-8 中国海洋文化自主知识理论体系的建构之路——曲金良教授访谈录
刘 爽，曲金良
- 9-25 “何处海与岸”：T. S.艾略特《玛丽娜》与威廉·莎士比亚《佩里克里斯》的地理批评解读
威廉·贝克，程文
- 26-46 作为媒介学档案的萨加索海：海洋想象力的转换
金英敏
- 47-61 韩国“蓝色故事”的历史演变——以二十世纪和二十一世纪小说、电影与电视剧为中心
林大根
- 62-74 《雪橇犬之歌》：极地海洋民族的文化困境
朱 骅，王 蕾
- 75-82 观海·航海智慧与想象力·海洋升华——中西方海洋文学的异质和同质
倪浓水
- 83-94 梁启超对海国日本的理解及其维新知识分子身份的确立
陈绪石
- 95-104 从世界对话到本土书写——台湾省海洋文学再观察
刘 爽，金智贤
- 105-116 达纳的航海叙事与海洋民族共同体想象
段 波，张瑞影
- 117-126 “海盗帝国”：《金银岛》中的地缘政治隐喻
李长亭
- 127-138 东亚视域下的宁波海丝文化
李广志
- 139-147 山形水势：中国古代航海图的意象性符号
蒋秀云

- 148-157 平等、自然主义与“和合”：张于荣海洋诗中的生态伦理意识
胡苏珍
- 158-164 鲸为棺，海为魂：评《鲸落》的叙事与哲思
张 陟
- 165-170 国族想象的文史航图：评张陟《大海如镜：英美海洋小说研究》
商 倩
- 171-178 切割的海洋与人类：评《蓝色生态批评》与《影随人类世》
马斯陶



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中国海洋文化自主知识理论体系的建构之路 ——曲金良教授访谈录

刘爽 (Liu Shuang) 曲金良 (Qu Jinliang)

摘要: 本文是对曲金良教授的学术访谈，系统展现了他在中国海洋文化自主知识理论体系建构方面的学术贡献。曲金良教授深耕海洋文化研究三十余载，坚守“为中国海洋文化立学、为国家海洋战略立言、为中华文化自信立据”初心，从学科空白处起步，在文献浩瀚中深耕，于国际学术对话中发声，完成了从“搭框架”到“建体系”、从“做基础”到“促应用”、从“国内深耕”到“国际传播”的全链条学术探索。其成果填补国内海洋文化学科多项空白，服务国家海洋强国建设大局，推动中国海洋文化研究成为具有国际影响力的“显学”。本次访谈围绕其治学历程、核心研究、学术坚守、现实反思与未来展望诸话题展开，展示了一位学者践行文化自信、学术自觉的心路历程。

关键词: 中国海洋文化；基础理论；自主知识体系；中国立场

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Title: The Path to Building a Theoretical System of Independent Chinese Marine Culture: An Academic Interview with Professor Qu Jinliang

Abstract: This article is an academic interview with Professor Qu Jinliang. It covers his academic journey, core research, and systematically reviews his contributions to the development of China's marine culture to build the independent knowledge system. Professor Qu has been engaged in marine culture research for over 30 years. His research achievements

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have filled many gaps in domestic marine culture studies, propelling Chinese marine culture to become a prominent discipline with international influence. Centered on his academic perseverance, this interview showcases the spiritual journey of Professor Qu's cultural confidence and academic consciousness.

Keywords: Chinese Marine Culture; Fundamental Theory; Independent Knowledge System; China's Academic Position

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刘爽（以下简称“刘”）：曲老师您好，非常感谢您百忙之中接受访谈。您曾担任国家社科基金重大项目首席专家，还是教育部人文社会科学优秀成果奖获得者。您深耕海洋文化研究三十余年，可以说是国内海洋文化学科奠基人与引领者，是国内该领域的开创者之一。很多青年学子初次接触海洋文化，都是从您主编的教材入门，而您最初踏入这片领域时，却面临着“学科空白、认知偏见”的双重困境。能否先和我们聊聊，当年您是如何下定决心投身这一几乎“从零起步”的领域？早期研究中，有没有让您至今难忘的挑战与经历？

曲金良教授（以下简称“曲”）：谢谢。其实我最初的学术方向并不是海洋文化，而是中国文学、民俗学。真正转向海洋文化，源于1990年代初的一次学术交流与一次“思想冲击”。那时候我刚来校任教，并没有“海洋文化”意识，更谈不上学术自觉。中国海洋大学要搭建人文社科体系，邀请了几位海外学者来做讲座。其中一位西方学者当着我们的面说：“中国是典型的大陆文明，从来没有真正意义上的海洋文化，所谓的海上活动，不过是朝贡贸易的附属品。”这句话深深刺痛了我。中国是历史悠久的海洋大国，何以“没有真正意义上的海洋文化”？什么样海洋文化才是“真正意义上的海洋文化”？是西方人说了算，还是中国人说了算？西方学者的文化傲慢与偏见是伤人自尊的。中国学界和思想文化界的“河殇”思潮虽然已经褪去，中国的“黄河长江”、“农耕文明”等已回归“正面形象”，但需要“立”的“中国海洋文化”从概念到实体尚未立起来，更谈不上用中国人自己的话语来“矫正”西人的“成说”，影响进而引领世界认知。

事实上，那时候我的“中国是历史悠久的海洋大国”认知也只是一个“约略”概念，因为中国学人那时尚未有对“海洋文化”的“学术自觉”研究，所以尚无法从中国历史、中国文化“实证”上将这一“约略”的概念“坐实”。正是在这样的“刺激”下，我才开始“自觉”对“海洋文化”、对“中国的海洋文化”的概念与实证、历史与理论进行系统的知识“饿补”与建构思考的。

刘：您的治学历程，几乎完整见证了中国海洋文化研究从“无人问津”到“成为显学”的全过程。您曾将其分为“奠基期、体系构建期、战略化与国际化拓展期”三个阶段，每个阶段都有标志性的成果。能否结合具体的研究事件、团队协作与成果落地，为我们详细讲讲这三个阶段的核心探索与突破？

曲：好的。这三个阶段不是割裂的，而是一步步深化的过程，每一步都离不开学校的大力支持、学界的相互激发与合作、团队的共同创新努力，也离不开国家战略、时代发展的机遇。

第一阶段：学科奠基期（1990年代中后期）——从零起步，搭建学科骨架

这一阶段的核心任务，就是让“海洋文化”从一个粗略甚至是模糊的概念，变成一门独立的学科。从1995年开始“产出”海洋文化研究的初步成果并在学校学报社科版开辟“海洋文化研究”专栏以有意引领学界，到1996年向学校提出创建海洋文化研究机构以组建团队创建学科、培养人才，到1997年海洋文化研究所正式设立、学术团队开始组建，1998年开设海洋文化通识课程并组编《海洋文化概论》教材、《中国海洋文化研究》年刊，1999年出版《海洋文化概论》和《中国海洋文化研究》第一卷。旋即，1990年代末，国内不少涉海高校、院系开始尝试开设海洋相关人文课程，《海洋文化概论》和相继出版的各卷《中国海洋文化研究》遂成为教材或参考教材、参考文献的必选。《海洋文化概论》后来不断再版（重印）不下十数次，被多所高校选为本科生教材、研究生必读书目与参考文献。

当初编写《海洋文化概论》，最基础也是最关键的工作是核心概念的界定。当时西方的海洋文化概念，核心是“海洋霸权、殖民扩张、海上贸易垄断”，如果直接拿来用，就会歪曲中国的海洋历史。所以我们反复讨论，从中国本土和世界各民族各区域海洋文化的历史事实出发明确了“海洋文化”的定义：海洋文化是人类在与海洋的互动中形成的物质与精神财富的总和，包括海洋物质文化、精神文化、制度文化、社会文化等互为一体的各个层面和各有机构成；基于各区域不同的海洋资源环境和不同的社会发展条件与主客观需求，世界上各区域的海洋文化具体不同的特性与表征。缘是，中国有着自己不同于世界其他区域尤其是不同于西方的海洋文化——在与世界各区域海洋文化互联互通互动中不断丰富、发展包括内涵与空间的发展与强大。

第二阶段：体系构建期（2000–2010年代）——文献集成，夯实学科根基

进入21世纪，海洋文化学科逐渐有了雏形，但又出现了新的问题：学界越来越重视，海洋文化相关研究越来越多，但文献零散，叙事混乱，很多研究都是“各说各的”，没有统一的主体史料支撑，不少研究难免“走偏”。所以这一阶段，我们的核心任务是“整理文献、构建体系”，让海洋文化研究有扎实的基本史料基础。这一时期我们的代表性的成果，就是《中国海洋文化史长编》和《中华大典·海洋分典》。

先说说《中国海洋文化史长编》。2003年，我们正式启动这个项目，组建了以海洋文化研究所同事为主体的学术团队，前前后后整整做了十年。最大的挑战是“文献整合”，我们要把从先秦到近代的海洋文化相关文献、相关学界尤其是相关史学界方方面面领域的已有研究著述全部梳理出来，还要从“文化维度”而不是“经济维度、政治维度”作出解读。比如，以前史学界的中国历史研究方方面面，学科分到三级，较窄较细，大多见到的是作为“海洋文化”历史整体的细节、局部，而难见全貌。《中国海洋文化史长编》编写的宗旨，就是力求反映这种全貌。即在“中国海洋文化”的整体概念和整体历史发展视域下，力求全面系统汇总集纳整理方方面面的历史文献和方方面面相关学界学者已有的“细节”“局部”研究成果，就当时所见，“汇天下书为一书”，或取或舍，当

然反映出的是我们的中国立场、中国观念、中国理论和中国话语，构建的是我们的中国海洋文化历史的基本理论。

从 2008 年出版第一卷，至 2013 年，五卷本《中国海洋文化史长编》全部出齐，总字数 310 万字。出版后，学界有评是“中国海洋文化史研究的里程碑”。2015 年，这部书获得了教育部人文社会科学优秀成果奖二等奖，这也是国内海洋文化领域首次获得该奖项。它为后来的海洋文化研究提供了完整的主体史料支撑，很多学者做研究，都要以这部长编为基础，这就是我们想要做的“夯实根基”。

再说说《中华大典·海洋分典》。《中华大典》是国务院立项的国家重大文化工程，将中国的海洋文献列入中华文献大典，国家编纂，这对于开创未久的海洋文化学科来说，是前所未有的学术盛事，中国海洋文化研究第一次有了“国字号”的历史文献集成。2010 年我们接手这个项目，团队齐心协力，集体攻关，力求把关于海洋的历史文献从历代经史子集、地方文献中“全部”整理出来，分类编纂。其间甄选版本、作者、史实、观点，去伪存真，去邪存正，或取或舍，颇费周折。初稿 800 多万字，最终定稿约 300 万字，2016 年《中华大典·海洋分典》正式出版，被视为国内海洋文化研究的权威工具书，为学科规范化发展打下了基本文献基础。

第三阶段：战略赋能与国际化拓展期（2010 年至今）——对接国家海洋发展战略。

2012 年党的十八大提出了建设“海洋强国”战略，海洋文化的重要性日益凸显。我们的研究如何服务国家战略，并“走出去”，“走”得好，让中国的海洋文化话语、海洋文化形象在国际上“站立起来”，并“高大起来”，是我们必须重视、为之努力的时代命题。

这一阶段，我们主持了一系列国家课题，比如国家社科基金重大项目《中国海洋文化理论体系研究》，我们的学术目的就是突破西方理论框架，构建中国特色的海洋文化理论体系。我们提出了中国海洋文化不同于西方海洋文化的一系列核心概念，系统阐述了中国海洋文化的基本内涵、核心价值、发展规律与和着眼于当下与未来的实践路径。

为了服务海洋强国战略和国家相关决策，我们申报获批主持教育部社科发展报告项目《中国海洋文化发展报告》，以年度报告的形式编写出版，每年对全国海洋文化发展状况进行系统评估，提出对策建议，得到了国家和地方文化部门、海洋管理部门和相关学界的高度重视。这一系列研究报告共编写出版了 5 卷，其后因教育部将社科发展报告系列统一结束立项，不再编写出版，遂转为学校支持的“蓝皮书”，仍名《中国海洋文化发展报告》，由团队每 5 年编写出版一卷。

我们关于妈祖文化的研究，获国家社科基金立项，相关论文被《新华文摘》全文转载，为两岸交流提供了学术支撑；我们关于钓鱼岛、琉球群岛问题的立项研究和成果产出，为国家维护海洋权益、维护战后国际秩序提供了历史与文化依据。在加强国际学术交流、扩大学术国际影响方面，我们也做了很多努力。我应邀赴韩、日、美、英等 20 多个国家和地区，学术合作交流 100 余次，团队成员与日、韩、美、澳等国和我国港澳台地区交流合作都是经常性的。我们的海洋文化研究与人才培养首先影响了韩国、日本的相关学界和高校，他们与我们合作，海洋文化研究也迅速开展了起来，中韩日三方海洋文化研究合作交流不断，包括合作成立机构、举办学术会议、编译学术论著、相互邀请合作研究、本科生研究生互派访学等等。我主编的《海洋文化概论》、以此为基础研究独著的《海洋文化与社会》，都被韩国学界同行在韩国翻译出版。我和研究所同仁经常性受邀赴韩赴日作

短期、长期客座教学研究；由韩国海洋大学积极主动发起成立的以中韩日十多家海洋文化相关研究机构为主体的“世界海洋文化研究机构联席会议”暨不同主题的海洋文化国际会议，在中韩日各方轮流举办多年。

我们的海洋文化研究与人才培养也相继影响了西方相关学界和高校。以西方学界为主体举办多届的海洋历史、海洋经济史、海洋考古等领域的国际学术会议主动邀请我们出席并作主旨报告；西方学者主编的《世界海洋历史百科全书》邀请我们撰稿；2006年合作主编出版的中英文著作 *China Ocean Culture*（《中国海洋文化》）作为中欧基金项目成果向西方世界介绍中国海洋文化的内涵、历史与价值，由基金会欧方发行。2009年作为中美建交30周年系列学术研讨会之一，由我组织、中国海洋大学与美国德州A&M大学合作主办的中美双边海洋文化遗产论坛在北京举办；2010年美国国家海洋与大气局（NOAA）举办美国海洋文化遗产年会，邀请我为他们作“中国海洋文化遗产：现状与未来”的特别学术报告。后来我的《中国海洋文化遗产保护研究》一书，也被多国出版机构以多语种签约翻译出版。

这说明，西方人的文化傲慢与偏见缘于我们自己的不自觉、不自信、不作为；只要我们努力做，以我们的主体意识、学术自觉、文化自信建构我们自己的自主的知识体系、理论体系和话语体系，就会为中国、为世界海洋文化正名、纠偏，被无视、抑或被颠倒了的中国海洋文化历史就会在世界认知上再颠倒回来，世界海洋文明、海洋文化的当下和未来发展就有可能、有希望拨正良性的和平和谐美好的方向。

刘：您主编的《海洋文化概论》和《中国海洋文化史长编》是海洋文化学科的两大基石，前者搭建了理论框架，后者夯实了史料基础。能否结合这两部著作的具体编写细节、核心观点，再为我们讲讲您是如何坚守中国立场、践行文化自信的？

曲：这两部著作，其实是“一体两面”的：《海洋文化概论》解决“是什么”的概念问题，《中国海洋文化史长编》解决“怎么样”的实证问题，两者都始终坚守中国立场，是中国文化自信自觉自信的呈现。

编写《海洋文化概论》时，我们首先坚持的是“本土视角，拒绝照搬”。当时西方的海洋文化理论，除了西方中心主义，还有“海洋中心主义”，强调海洋对陆地的主导，而我们结合中国的历史实际，提出了“海陆并重、海陆互补”的观点，系统阐明中国的海洋文化，不是西方那种“以扩张为核心”的海洋文化。

为了体现文化自信，我们在教材里大量使用中国本土的案例，用西方的案例作为比照。比如讲“海洋渔业文化”，我们用的是中国沿海的“渔汛制度”“海洋禁忌”；讲“海洋航运文化”，我们用的是中国古代的海上漕运、中外航海封贡、贸易和市舶管理、民间海商网络；讲“海洋精神文化”，我们用的是中国的“四海一家”的“天下”理念，“海不扬波”的海洋和平追求，海上蓬莱、妈祖、海神、龙王等民生神佑的海洋信仰。如此等等，都是中国独有的文化元素，也都是我们足以增强民族自尊、坚守文化自信的“资本”。

《中国海洋文化史长编》坚守主体本土叙事，拒绝“他者”歪曲。我们完全以中国本土的史料、考古发现、文化实践为依据，构建中国海洋文化的历史叙事，而不是用西方的历史分期、评价标准来套中国的历史。

比如，在讲“明清海洋文化”时，西方学者往往强调“海禁政策扼杀了中国海洋文化”，但我们的研究发现，海禁政策恰恰是明清时代应对海疆安全和国家安全问题、维护中国与海外世界的宗藩制度、对中外海上贸易进行有序管理、限制长期贸易出超、制止海上走私偷渡的必要手段。这就打破了西方学者有意无意的歪曲误读。

刘：您主持了十余项国家级、省部级重大课题，涵盖理论体系、文献集成、海洋权益、文化遗产等多个维度，其中很多课题直接服务国家战略。能否挑选几个具有代表性的课题，详细讲讲研究过程中的具体探索、核心成果，以及这些成果如何落地？

曲：好的。课题研究的宗旨，就是学术问题与国家需求相结合、相统一，既要做“书斋里的学问”，也要做“落地的学问”。

例如**国家社科基金重大项目《中国海洋文化理论体系研究》**。随着海洋强国战略的推进，国内海洋文化研究越来越多，但一直缺乏一套系统的、中国特色的理论体系，很多研究还是沿用西方的理论框架，这就导致“研究多、共识少”的问题。所以我们申请了这个重大项目，核心目标是“构建中国自主的海洋文化理论体系”。

我们提出了“本体论—价值论—发展论”三维框架，从“中国海洋文化“是什么和怎么样”“有什么价值和功能作用”“如何发展”三个层面展开研究；“如何发展”研究就是聚焦国家战略需求，研究海洋文化如何对内面向国家海洋强国建设，对外面向“一带一路”、面向构建“人类命运共同体”暨“海洋命运共同体”、面向海洋和平和“天下大同”的发展。

再如**国家社科基金艺术学项目《海峡两岸妈祖文化交流现状与发展对策研究》**。妈祖文化是全球华人普遍传承的海洋信仰，也是两岸文化交流的重要内涵和纽带。我们开展这项研究，旨在推动两岸妈祖文化交流高质量发展。

我们团队多次往返两岸，深度调研了台湾省的北港朝天宫、大甲镇澜宫等知名妈祖庙，以及福建的湄洲妈祖祖庙、泉州天后宫等，参与了相关活动，与两岸妈祖文化研究者、信众、管理者进行了深入交流。我们发现，台湾省妈祖文化更注重民间信仰的传承，节会活动的“人山人海”是以信众、参与者为主体的；福建等大陆地区妈祖文化更注重文化遗产的文旅产业化开发，节会活动的“人山人海”是以仪式和内容的展演者和旅游、观赏者为主体的。妈祖文化传承发展的主体是在地民众的信仰、认同，传承发展的动力机制是精神慰藉，这就找到了妈祖信俗作为世界文化遗产能够得到传承保护、发挥其连结两岸和海外华侨华人社会心灵之通和民族认同、文化认同重要作用的根本。

基于此，我们提出了“文化认同为核心、遗产保护为基础、民间交流为主体、产业发展为支撑”的发展对策，项目形成的研究报告，一方面报国家相关部门作为资政参考，一方面在《中国海洋文化发展报告》上发布，论文《海峡两岸妈祖文化遗产传承的比较与思考》被《新华文摘》全文转载，引起了两岸学界和政界的高度关注。

刘：您提出的“中国海洋文化类型论”“海上文化线路遗产论”“妈祖文化两岸纽带论”等观点，在学界产生了广泛影响，很多观点已成为学科共识。能否结合具体的国际对话场景，就一些议题再作一下介绍和阐释？

曲：这些观点的形成，都源于对中国海洋文化本体本位的思考和对现实需求的回应，核心都是为了打破西方中心主义的叙事，确立中国海洋文化的自主认知和定位。这些观点前面已作了介绍，这里仅对海洋文化类型、海上文化遗产问题再略作回应。

中国海洋文化类型论：打破“海洋文明=西方文明”的偏见。

长期以来，西方学界将海洋文明等同于西方的海洋霸权文明，认为只有西方才有真正的海洋文化，中国的海洋活动只是大陆文明的附属。这种论调歪曲了中国海洋文明历史，贬损了中国海洋文明形象，也影响了国内学界的认知。

我提出的“中国海洋文化类型论”，核心观点是：中国海洋文化与西方海洋文化是两种不同类型的文明。西方海洋文化以“扩张、掠夺、征服”为特征，是“霸权型海洋文化”；中国海洋文化以“交流、共生、敬畏”为特征，是“和平型海洋文化”。中华文明具有“海陆兼具、海陆融合”的特性，海洋文化是中华文明整体的重要组成部分。

这个观点的形成，离不开中西海洋文化、海洋文明历史大量的史料考证和对比研究，比如西方的“大航海”以殖民扩张为目的，中国的郑和下西洋以和平交流为目的；西方海洋贸易以垄断掠夺为手段，中国古代海上丝绸之路开辟与管理以互利共赢为原则；西方海洋信仰以征服海洋为核心，中国海洋信仰以敬畏海洋、祈求平安为核心。通过这些对比，可以看到两种海洋文化的本质区别。

海上文化线路遗产论：为海上丝绸之路申遗提供理论支撑。

2010年前后，国家开始推动丝绸之路申遗工作，丝绸之路包括海上丝绸之路。但国际学界对海上丝绸之路作为“海上文化线路”亦即“文化线路”这一“海上类型”还缺乏认知和学术自觉，西方学者多将丝绸之路包括海上丝绸之路视为“贸易线路”，忽视了其文化交流联结的本质。因此，我提出了“海上文化线路遗产”的概念。

“海上文化线路遗产”是指人类在海上交流过程中形成的，具有历史、文化、艺术价值的物质与非物质文化遗产的集合，包括中外海上政治联结、文化辐射、作为贡品与商品的海运、港口建设与管理、沉船、航海图、海洋信仰、民俗等物质的和非物质的多元文化元素，绝非单单是贸易线路，更是文明互鉴的纽带。现在，“海上文化线路遗产”已成为国际文化遗产保护领域的重要概念，彰显了中国在海洋文化遗产保护领域的话语权。我还提出海上文化线路遗产是跨国跨文化的区域性文化遗产、世界性文化遗产，需要国际共同保护共同传承的主张，相信这不但对于海洋文化遗产保护是必要的，对于构建“人类命运共同体”暨“海洋命运共同体”也是重要的“共同文化”支撑。

刘：您长期关注国内外海洋文化研究的发展动态，能否谈谈您对当前国内外研究现状的反思？

曲：从国内来看，海洋文化研究已从“小众领域”成长为“显学”，但仍存在一些问题：一是理论深度不足，大多研究停留在现象描述，缺乏对核心概念、理论体系的深层建构；二是跨学科融合不够，海洋文化涉及海洋科学、历史学、社会学、文学、艺术学、法学、教育学等多领域，交叉综合研究需要加强；三是现实回应性有待加强，部分研究与国家海洋战略、地方文化发展需求脱节。纯兴趣的、“学术”的研究是需要的，也是基础的，这毋庸置疑，但着眼、回应、服务现实发展需求的研究意义更大，同样毋庸置疑，而且需要、需求面更大更广。四是与国际学界、国家社会的对话与合作需要加强。国际学界、国际社会的观念、学术及其价值导向需要拨正，需要引领，这就需要与之加强对话，提升我们的国际对话能力和话语导向、引领能力。这些都是我们未来需要突破的方向。我们应该有这样的文化自信和学术自信。

刘: 非常感谢曲老师的精彩分享。您三十余年的深耕细作, 引领、培养了一大批青年学者, 不仅构建了中国海洋文化的学科体系, 更以学术实践践行了文化自信, 为中国海洋文化研究树立了标杆。您的治学历程、学术坚守与未来展望, 将激励更多青年学者投身海洋文化研究, 为中国海洋文化事业的发展注入新的活力。再次感谢您!

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“What seas what shores”: A Geocritical Approach to T. S. Eliot’s “Marina” and Shakespeare’s *Pericles*

William Baker, Cheng Wen

Abstract: T. S. Eliot’s critically neglected poem “Marina” is among his finest, most beautiful, and personal works. Beyond conveying the poem’s magnificent sonorous qualities, a critical examination demonstrates Eliot’s profound indebtedness to Shakespeare’s collaborative, largely ignored, but fascinating late “romance” *Pericles, Prince of Tyre*. By isolating the poem’s geocritical setting—the sea—the use of locale can be analyzed from both intertextual and biographical perspectives. An exploration of the “crisscross” between Seneca’s *Hercules Furens* and Shakespeare’s *Pericles*, alongside Eliot’s personal experiences off the coast of Cape Ann, establishes “Marina” as a complex dramatic monologue exploring paternity, memory, and spiritual recognition.

Keywords: T. S. Eliot; “Marina”; William Shakespeare; *Pericles*; geocriticism, intertextuality; maritime literature

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题目: “何处海与岸”: T. S. 艾略特《玛丽娜》与威廉·莎士比亚《佩里克里斯》的地理批评解读

摘要: 基于地理批评、跨文本互文与传记考证等多重维度, T. S. 艾略特的诗作《玛丽娜》 (“Marina”) 的海洋空间设定被视为现代主义主体逃离内陆压抑、寻求精神避难所的核

心场域。在互文层面上，这首诗通过与莎士比亚晚期传奇剧《佩里克里斯》以及塞内加悲剧《疯狂的赫拉克勒斯》的巧妙交叉（crisscross），在生与死的对立中重塑了关于父性、记忆与精神认同的文学母题。结合对破败船只意象与航海句法的细读，物质性的船舶残骸成为现代人躯体朽坏与向往灵魂救赎的深刻隐喻。此外，通过引入艾略特致艾米丽·海尔（Emily Hale）的解密书信等传记档案，该诗复杂的内在情感逻辑得以清晰重现：诗人将 1930 年遭遇的婚姻破裂、宗教皈依等个人精神危机，以及与精神伴侣重逢的隐秘渴望，深刻投射于戏剧化的海洋相认场景之中。《玛丽娜》作为极具张力的戏剧独白，不仅实现了个人记忆的超越与想象的现实化，更确立了在未知精神水域中的终极安息与和解。

关键词：T. S. 艾略特；《玛丽娜》；威廉·莎士比亚；《佩里克里斯》；地理批评；互文性；海洋文学

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1.0 Introduction

T. S. Eliot's critically neglected poem "Marina" is among his finest, most beautiful and personal. *Marina* tends not to be considered amongst T. S. Eliot's most important poems. Critical discussion or teaching of his work on the whole overlooks the poem in favour of *Prufrock*, *The Waste Land* or individual sections of the *Four Quartets*. Personally, I have found "Marina" one of its poet's most moving and beautiful compositions.

In addition to a reading of this poem in which it is hoped to convey some of its magnificent sonorous qualities, some of Eliot's indebtedness to Shakespeare may also be taken into account, especially the largely ignored but fascinating late "romance" *Pericles, Prince of Tyre*. By isolating the poem's geocritical setting, the sea, we may ask questions concerning the poem's use of locale from an intertextual and biographical perspective:

Quis hic locus, quae regio, quae mundi plaga?

What seas what shores what grey rocks and what islands

What water lapping the bow

And scent of pine and the woodthrush singing through the fog

What images return

O my daughter. (5)

Those who sharpen the tooth of the dog, meaning

Death

Those who glitter with the glory of the hummingbird, meaning

Death

Those who sit in the sty of contentment, meaning (10)

Death

Those who suffer the ecstasy of the animals, meaning

Death

Are become unsubstantial, reduced by a wind,

A breath of pine, and the woodsong fog (15)

By this grace dissolved in place

What is this face, less clear and clearer

The pulse in the arm, less strong and stronger —

Given or lent? more distant than stars and nearer than the eye

Whispers and small laughter between leaves and hurrying feet (20)

Under sleep, where all the waters meet.

Bowsprit cracked with ice and paint cracked with heat.

I made this, I have forgotten

And remember.

The rigging weak and the canvas rotten (25)

Between one June and another September.

Made this unknowing, half conscious, unknown, my own.

The garboard strake leaks, the seams need caulking.

This form, this face, this life

Living to live in a world of time beyond me; let me (30)

Resign my life for this life, my speech for that unspoken,

The awakened, lips parted, the hope, the new ships.

What seas what shores what granite islands towards my timbers

And woodthrush calling through the fog

My daughter. (35) (Ricks and McCue 1: 107–108)^①

2.0 Intertextuality: The Sea and the Recognition Scene

It is a truism that Eliot's poetry exploits, indeed depends upon, its use of intertextuality. For instance, *The Waste Land* is full of references to other works and languages. *Prufrock's* refrain with its reference to Michelangelo—"In the room the women come and go / Talking of Michelangelo"—is another obvious

example of intertextuality at work in Eliot's poetry. The poem is immediately intertextual, one text referring to another mainly a historical text in order to illuminate meaning.

Eliot tags an epigraph to "Marina" taken from *Hercules Furens*. Eliot is quoting Seneca's play 'Hercules goes mad' (*Hercules Furens*): Seneca (c.4BC–AD65), a Roman stoic philosopher, poet, and tragic dramatist. "Quis hic locus, quae regio, quae mundi plaga?" Literally: "What place is this? What country, what part| region of the world?"

In the play *Hercules Furens* these words are spoken by Hercules after he has regained sanity following his killing of his children in his madness. Provoked by Juno, Hercules has killed his wife and children. Following this act he falls into a swoon and when he starts to come to his senses he looks about in bewilderment and says "Quis hic locus, quae regio, quae mundi plaga?"

This is a situation which is opposite to the one in the poem. Eliot wrote that he wished to achieve a "crisscross" between the scenes in the Senecan and the Shakespearean dramas. He seems to be making an association between birth and death which he does so often in other poems such as *The Waste Land*, *The Journey of the Magi* and parts of *The Four Quartets*.

Eliot preferred the Elizabethan translation "what place is this? What region? Or of the world what coast?". This translation gives an interrogative element to the line whereas in the Latin there is no verb and it has instead the force of an exclamation. Indeed this sense of exclamation rather than interrogation continues in the poem as an echo until the fourth stanza of the poem where a question occurs: "What is this face, less clear and clearer / The pulse in the arm, less strong and stronger — / Given or lent?"

Note the powerful cumulative almost liturgical effect and line placement of the monosyllabic pronoun "What" throughout the poem. The pronoun occurs four times in the first line of Eliot's poem, once in the second line and once in the fourth line of the poem. Its cumulative repetitive effect is replaced by the repetition of "Death" four times in the second verse. Incidentally the word "death" occurs seven times at line-endings in the text of *Pericles*.

"What" reappears once in the fourth verse of Eliot's poem where the word opens its three lines and disappears to open the last three lines of verse of the poem. It is mainly used not in its primary sense of requesting or asking for information concerning something specific, or in terms of specifying something in particular but as an explanation emphasizing something surprising or remarkable. It doesn't I think occur in its adverbial usage of "to what extent?". In terms of line placement "What" occurs capitalized and at the start of the poetic line.

The opening lines of the poem can be spoken in a tone of wonder. The syntactical rhymes "What seas...What water...What images" sustain the different middle line of this initial verse "And scent of pine and the woodthrush singing through the fog". This line of the poem amplifies the note of amazement, "of rapture" to encapture the sensory nature of what is happening. This emerges in the alliteration of "scent" and the double syllables of "singing" and "pine" that can be regarded as assonance that also makes this third line of the poem "expressive of the sound of sense". The short line four "What images return" of the poem and its speaker draw attention to Pericles and his former selves before he recognized his daughter.

The word “Those” (the plural form of the pronoun “that”) at the beginning of line 6 at the start of the second verse—the word is found four times in this second verse—relates to those who have experienced the living death of four of the deadly sins of which there are seven in the Christian tradition: pride, greed, lust, envy, gluttony, wrath and sloth- are representations of Pericles not others. Pericles may be perceived as wallowing in the gloom or experiencing depression and referring to this as “Death”. These lines, in the second verse are formal, read as a ritual and can be interpreted as related or associated with “the Christian sacrament of penance” (Donoghue 374).

The method used in these lines (6–16) and throughout the poem, has been described by the American poet and critic Marianne Moore (1887–1972) writing in *Poetry* shortly after the poem appeared. She described it as lean cartography; reiteration with compactness; emphasis by word pattern rather than by punctuation; the conjoining of opposites to produce irony. She noted a counterfeiting verbally of the systole [the heartbeat], diastole [again referring to a stage of heartbeat when the heart muscle relaxes...] of sensation -of what the eye and the mind feels.

Moore highlighted the movement within the movement of differentiated kindred sounds, recalling the transcendent beauty and ability, in “Ash-Wednesday”. Eliot’s writing of the poem overlapped with his writing of “Marina” although the latter appeared five months after the former very theologically based but beautiful poem. Moore quoted:

.... restoring

One who moves in the time between sleep and waking, wearing

White lights folded, she sheathed about her, folded.

The new year’s walk, restoring

Through a bright cloud of tears, the years, restoring

With a new verse the ancient rhyme.... (1: 91)

Others have also read lines 6-16 of “Marina” as not relating to the inevitability of death but to sin that is escapable. The four deadly sins isolated in Eliot’s “Marina” are Anger in “the tooth of the dog” (line 6), Pride in “the glory of the hummingbird,” (line 8), Sloth “in the sty of contentment” (line 10) and “Lust” in “the ecstasy of the animals” (line 12). These lines are made more effective owing to the poet’s use of a lengthy sentence and the emblematic qualities of the lines with “Death” falling at the beginning of each line and being the only word in the line with white space between each of the four deadly sins and lines.

To repeat, the repetition of “Those” and the verbs relating to them “sharpen,” “glitter,” “sit” and “suffer” add to the power of the lines. Note also that these lines conclude with the internal line rhymes “grace” and “place” (line 15) which of course is followed by the rhyme of “face” in line 17: the recognition of the memory of childhood on the part of the poet.

The series of questions in “What is this face...” and “Given or lent?” in the fourth verse suggests “less clear and clearer / ...less strong and stronger — / Given or lent, more distant than stars and nearer than the eye” (line 19) and draw attention to the rhythm of alternating perception and a few lines later in the poem a “leak” (line 28) in the boat that strengthens conviction. Earlier in the poem the deadly sins had “become unsubstantial” (line 14).

The preposition (a word governing and usually preceding a noun or pronoun) “between” in line 20 and “Under” at the start of line 21 offer to make relations between specific things or entities that are unrelated such as “whispers”, “laughter” and “feet” or “sleep” (lines 20-21) however we don’t necessarily ask precisely whose whispers or whose feet or whose sleep! The qualifying clause “where all the waters meet” (line 21) sounds specific but doesn’t refer to anywhere on the map.

Donoghue writes that “these and other phrases in” the poem “do not refer to objects real or even notional.... The main quality of the words is palpability”—a feeling or atmosphere so intense as to seem tangible or real, as for instance a sense or feeling of loss—“not transparency of reference. Verisimilitude is not sought. So the words and phrases are best received as marking the rhythm of rise and fall, assertion and concession. Nothing as steady as affirmation is entailed; everything is suggestive, tentative” (378).

The lines that follow combine two differing phases of a spiritual movement that might have been regarded as separate. I’d like to draw particular attention to the line “Made this unknowing, half conscious, unknown, my own” (l. 27). According to Donoghue in this line the to-and-fro of consciousness links the first two subjective conditions acoustically with the second pair ascribed to the object, the ship according to Eliot’s allegory of ship and shipbuilder.

In the end the feeling reaches the committed stability of “unknown, my own,” corresponding to “the hope, the new ships”. Pericles’ “let me |Resign my life for this life” (lines 31–32) is an offer he is not obliged to act upon.... Pericles does not need to give up his life so that “Marina” may come into her own. In Shakespeare’s play she sufficiently comes into her life by regaining her mother Thaisa and her father. She also gains her husband to be. In other words, “Pericles does not have to die to secure these blessings for his daughter. It is enough that Eliot’s Pericles is willing to do so, if need be, or that he feels the propriety of an old man dying and a beloved daughter moving into the new life of marriage” (Donoghue 379).

Marianne Moore’s astute observation regarding the poem’s “lean cartography” and its emulation of the heart’s “systole and diastole” becomes particularly illuminating when applied to Eliot’s meticulous nautical syntax. When we synthesize Moore’s critique with William Empson’s argument that the poem points toward an “other-worldly” vision, a deeper allegorical structure emerges. Eliot deliberately employs a lexicon of degradation: the “Bowsprit cracked with ice,” the “rigging weak,” the “canvas rotten,” and the leaking “garboard strake”. These specific, decaying physical components of the vessel serve as a powerful metaphor for the battered, mortal body of modern man enduring the ravages of secular time. Eliot harnesses the aesthetic of nautical ruin to illustrate that this deteriorating ship—and by extension, the aging self—must be willingly surrendered. The physical decay is a necessary precursor to spiritual salvation. It is only when the broken vessel confronts the vast, enveloping mystery of the sea and the fog that it can be sacrificed for “the hope, the

new ships". The ocean, in its infinite capacity, redeems the ruined materiality of the boat, allowing the voyager to sail into a timeless, eternal reality.

At this point it is worth drawing attention to the observations of the great English critic William Empson (1906–1984) who incidentally spent the late 1930s in Kunming, returning to China after the Second World War to teach at Peking University. In a review of the poem which appeared shortly after it was published, he argued that the essence of the poem "is the vision of an order, a spiritual state, which (the speaker) can conceive and cannot enter, but it is not made clear whether he conceives an order in this world to be known by a later generation... or the life in heaven which is to be obtained after death". Empson continues:

One might at first think, the second only was meant, but Marina, after all, was a real daughter; is now at sea, like himself, rather than already in the Promised Land; and is to live "in a world of time beyond me," (l. 30) which can scarcely be a description of Heaven. At any rate, the humanist meaning is used at every point as a symbol of the other-worldly one; this seems the main point to insist on... because it is the main course of the richness of the total effect. In either case the theme is the peril and brevity of such vision (cited Donoghue 380).

Empson's comments raise the issue of religious belief. Eliot, who in 1927 wrote "The Journey of the Magi" drawing upon the Christian story of the wise men journeying to meet the infant Jesus, was a believer having in June 1927 being baptized into the Church of England. In both poems Eliot "is using the common words for time and place, landscapes and seascapes, journeys and returns, words for playing-cards and kings and queens, and testing them to see how far they can also suggest states the beatitude [supreme blessedness in a religious Christian sense] and the obstacles to such states. He is seeing these words, too, in a light greater than that of daylight and ordinary denotation" or meaning. Dante is Empson's "example in deriving from the finite world such intimations of Heaven and blessedness as his poetry needs" (Donoghue 380).

The final three lines of the poem echo the first five lines of the poem: "What seas what shores what granite islands towards my timbers / And woodthrush calling through the fog / My daughter." The poem finishes as an exclamation not as a question. The first and longest of the final three lines contains the last preposition of place, "towards my timbers" (l.33) that takes on the directed force of a verb, as if it's anticipating the "woodthrush calling through the fog" of the following line (Donoghue 380): "timbers" is ambiguous as it could refer to his strength and or his boat or even to Pericles.

So, to quote from Eliot's *Four Quartets* "in my end is my beginning" and taking the line from Seneca as setting up the key for what follows or as providing the motif of bewilderment leading to recognition in the poem, then "Marina" moves from the present tense to the past to the future, back again to the present with intimations of the past too, of the poet's youth too.

Yet as has been pointed out the poem is full of ambiguities: for instance, death in the lines "Those who sharpen the tooth of the dog, meaning |Death" (lines 6–7) may refer to one sinful self of our diverse selves, or to sinful humanity, or to sinners other than the speaker. When the poet writes the repetitive "meaning| Death"

in this second verse, the words may refer to what sinners intend to do to others, or it may refer to what they constitute, in the scheme of deadly sin by virtue of their behavior. To take one other instance of the ambiguities running through the poem, its final two words and line “My daughter” (l.35) could refer to “what Pericles thinks the wood thrush is calling or they may be what he says, having no need to say anything more to his daughter” (Donoghue 386).

In a postscript on May 9, 1930 to the English educationalist Sir Michael Sadler (1861–1943) who served as Master of University College Oxford, Eliot wrote when he was presenting drafts of the poem to the Bodleian Library Oxford that he intended “a crisscross between Pericles finding alive, and Hercules finding dead — the two extremes of the recognition scene — but I thought that if I labelled the quotation, it might lead readers astray rather than direct them. It is only an accident that I know Seneca better than I know Euripides”.

There are other intertextual elements of interest in the poem that relate to specific grammatical usage. For instance, the use of the pronoun “what” eight times. It has Shakespearian echoes in the fifth act, the second scene of Pericles “What pageantry, what feats, what shows, / What minstrelsy and pretty din”. In the opening four lines of “Marina” possibly at the back of T. S. Eliot’s mind may have been echoes from Walt Whitman’s poem “Salut au Monde” where the lines “What widens within you Walt Whitman? / What waves and soils exuding? / What climes? ... What rivers are these? What forests and fruits are these? / What are the mountains call’d that rise so high in the mists?” In this case the poet is asking a series of questions rather than using the pronoun “what” in an exclamatory sense.

A word that appears once in “Marina” is “sty” in line 10: “Those who sit in the sty of contentment, meaning / Death”. Some commentators think the “sty of contentment, meaning / Death” has associations with the description of her state in *Pericles*: “most ungentle Fortune have plac’d me in this Stie” (IV:vi Quarto; the brothel scene): “sty” - spelt with a final “e” - in its noun form is a pigpen, a compound where pigs are kept. As a verb it has the sense of “the most beggarly place that ever pigs were stied in”. In the context of Eliot’s poem, I think it has both noun and verb associations.

There are other interesting words and associations in the poem that take on meaning if considered intertextually. Lines 5-7 read, across verses, “O my daughter| Those who sharpen the tooth of the dog, meaning |Death”. Lear’s words to his daughter Goneril echo in the mind “sharper than a serpent’s tooth it is | To have a thankless child” (Lear: I, iv). Incidentally dog fighting, was outlawed in England and Wales in 1835: this doesn’t mean to say that it didn’t go on somewhere.

Other Shakespearian echoes are found in the poem. For instance, in lines 13-15, again across verses: “Death / Are become unsubstantial, reduced by a wind / A breath”. According to the OED the word “unsubstantial” means “having no bodily or material substance”. There is an occurrence of this usage in Shakespeare’s *Romeo and Juliet* “Shall I beleue that unsubstantial death is amorous?” (V: iii). There is also an echo of Prospero’s great speech in *The Tempest*: “and like this insubstantial pageant faded | leave not a rack behind” (IV: i).

There are many other instances at work in Eliot’s poem with one line or word or group of words echoing another and resonating with other texts. To take another example, in this instance at the end of the penultimate

verse the line, “The awakened, lips parted, but hope, the new ships” (l.32). In the third act, scene ii, Pericles believes that his wife (Thaisa) is dead and commits her, to the sea during the storm, but when her casket comes ashore in Act III scene ii of *Pericles* she revives.

Now the poem in terms of its formal qualities is a monologue, or has features of the monologue. Examples of dramatic monologues are Browning’s “My Last Duchess” or “The Bishop Orders His Tomb”. In these poems a single person, who is not the poet enacts the speech that makes up the whole of the poem and the specific situation of the critical moment in the poem. This person addresses and interacts with other people but we as the listener or the audience only know this from the clues which the speaker reveals. Furthermore “the main principle controlling the parts choice and formulation of what the lyrics speaker says is to reveal to the reader, in a way that enhances its interest, the speaker’s temperament and character”. In the dramatic lyric the speech comes “in an identifiable situation at a dramatic moment” as for instance in Donne’s “The Canonization” or “The Flea” (Abrams 70).

It isn’t a resemblance to form that underpins Eliot’s poem. The implied speaker may be Pericles, the Pericles in a late play attributed to Shakespeare amongst others [Incidentally the contemporary scholarly consensus is that although the first two acts of *Pericles* can be attributed to Shakespeare’s contemporary George Wilkins, the fifth act is Shakespeare’s] and to its great Recognition Scene, Act 5 Scene 1, in which Marina is presented to him. Pericles can’t trust his eyes and must convince himself that she is indeed his daughter, born at sea, long lost, and given up as having been murdered by those in his charge she was left. He has not seen her for many years; she is now a young woman. “But are you flesh and blood?” he asks her, and “Have you a working pulse?” (ll.154–55).

One allusion leads to another, and it is difficult to not think of another great recognition scene in Shakespeare, that in act four scene seven of *King Lear*. Here Cordelia asks her distracted father: “Sir, do you know me?”. Lear answers “you are a spirit, I know; when did you die?” However, Eliot’s poem is not entitled “Cordelia” but “Marina” and in both Shakespeare’s text and Eliot’s the sea and water dominate. In both too, reality and spirit or illusion weave in and out of the texts. Eliot’s speaker is searching not negotiating with a specific person or persons as is the Duke for instance in Browning’s “My Last Duchess”.

The recognition scene and its use as being central to Shakespeare’s late play in which there is the recognition of a long-lost daughter is referred to by Eliot’s in a 1937 lecture on “The Development of Shakespeare’s Verse”. In this lecture given at the University of Edinburgh for Eliot the recognition scene in *Pericles* is “the finest” among Shakespeare’s treatments of the situation. Eliot wrote that “To my mind the finest of all the ‘recognition scenes’ is Act V, sc. i of that very great play *Pericles*. It is a perfect example of the ‘ultra-dramatic,’ a dramatic action of beings who are more than human. Shakespeare’s consummate dramatic skill is as bright as ever; his verse is as much speech as ever; only, it is the speech of creatures who are more than human, or rather, seen in a light more than that of day” (I, 773).

Intertextuality or subterfuge, a masking, is found frequently in Eliot’s poems, more so in his earlier output than in his later poems. Why in this instance of “Marina”, the allusions, especially to theatrical experience and textuality, what are they, the allusions, covering up, apart from the fact that they become part of Eliot’s

technique? To repeat, both Shakespeare's *Pericles* and Eliot's poem are pervaded by images of water and seascapes. In Shakespeare what happens at sea plays a dominant role in *Twelfth Night*, *Antony and Cleopatra* and *The Tempest*. In these dramas islands provide a refuge and escape from the sea and the perils of the old world.

A subtext of Shakespeare's *Pericles* is work by the late 14th century English poet John Gower. He appears seven times in Shakespeare's play which he presents. In Gower's story of Apollonius of Tyre, found in the eighth book of his *Confessio Amantis*, there are perilous seas, ships wrecked on the rocks, riddles, severed head, incest, revenge, daughters born at sea, drownings, seemingly dead wives, and daughters revived and so on. All these are present in Shakespeare's play as is the setting of the bordello the brothel where Marina works and miraculously retains her innocence. Her innocence is preserved somehow through harrowing experiences, she escapes from the carnal, she is regenerated and escapes from the topography of violence into one of peace. As indeed does Eliot's "Marina".

Eliot's poem begins with "What seas what shores", which as I said is not a question but a statement and the question mark only occurs in the fourth stanza. The poem is, in places, an escape into memory:

What is this face, less clear and clearer
The pulse in the arm, less strong and stronger —
Given or lent? more distant than stars and nearer than the eye
Whispers and small laughter between leaves and hurrying feet
Under sleep, where all the waters meet (1:107–108).

To paraphrase, what is this place "where all the waters meet", its touch it smells its taste its space? The return is to early memory, to early childhood, and may be viewed not as Pericles', not the rediscovered daughter's Marina, but the poets.

3.0 Geocritical Approach and Biographical Context

What about Eliot's childhood? Well, he spent his formative years only too aware of the power, the majesty, and the might of waters, born in 1888 in St. Louis, Missouri, a city dominated by the mighty Mississippi. It is very difficult to describe, to convey, even through visual imagery the size and enormity of this waterway which runs from Minnesota in the north to its outlet in the sea at New Orleans, crossing and crisscrossing Middle America. At times it can be enormous, its width that of the English Channel or even perhaps from the coast of China to the outlying islands of Japan. One of the things that amazed me coming from England and being brought up alongside the River Thames was how small that river is compared with the vastness of the mighty Mississippi or the Yangzi.



Fig. 1. The Mississippi River at St. Louis, Missouri. Source: David Carson/Associated Press (2018).

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But it is not the Mississippi that is referred to in Eliot's poem. The "water lapping the bow" (l.2) is not that vast concourse of water which periodically overflows and expands for miles around it. How can I be so definite? Lines in the six stanza I think give the game away and provide a clue. Eliot writes:

Bowsprit cracked with ice and paint cracked with heat.
I made this, I have forgotten
And remember.
The rigging weak and the canvas rotten (25)
Between one June and another September.
Made this unknowing, half conscious, unknown, my own.
The garboard strake leaks, the seams need caulking. (ll.22–28)

Note the use of the first person "I", this is not Marina or Pericles but the poet remembering that which he has forgotten, not his early encounters with the Mississippi but with Cape Ann on the coast of Massachusetts near Boston's North Shore where every summer his father and mother took him. In 1896 they built a substantial house on the coast at Easton Point Gloucester Massachusetts. As a boy Eliot foraged for crabs amongst the rocks on the coast and became apparently an accomplished sailor on the rocky shelves and mists of Cape Ann. He maintained his own boat and its parts, built and looked after his own rigging and seams and caulking which I am reliably informed wouldn't have survived on the Mississippi or wouldn't be suitable for the Mississippi.

So, in “Marina” Eliot is returning to these childhood settings off the coast with its mists and rocks and tricky tides, and bird songs and scents. The sea is an image that dominates Eliot’s poem and Shakespeare’s play, it should be remembered that Eliot was, in the words of Seamus Perry, “a poet of the sea—from the ‘sea-girls wreathed with seaweed red and brown’ in ‘Prufrock’ through to ‘The wave cry, the wind cry, the vast waters / Of the petrel and the porpoise’ of *Four Quartets*” (Perry 12).^② This obsession with the sea has, as I am suggesting, roots in Eliot’s childhood.

But why the need to remember? Time is irretrievable, the days of youth by the sea-shore and sailing cannot be recovered. The mighty Mississippi and the Atlantic off Massachusetts and Maine are still there but in any case, the poet has moved across the ocean, to a new world and to a new life. To try to answer this question we need to ask what are the immediate circumstances underlying this poem?

Viewed through the lens of geocriticism, Eliot’s perception of maritime space is far from monolithic; rather, it represents a profound geographical and psychological displacement. The Mississippi River, with its suffocating inland immensity, functions in his childhood memory as a symbol of inescapable historical and terrestrial weight. In contrast, the modernist subject requires a marginal aquatic space to cleanse itself of this mundane burden. Just as the nineteenth-century English Romantics sought transcendence in the reflections of their local waters, Eliot establishes his spiritual refuge in the maritime experiences off the coast of Massachusetts and Casco Bay, Maine. The rocky shelves, the treacherous tides, and the “woodthrush singing through the fog” are not mere physical landscapes; they represent the culmination of a “blue poetics” where the poet successfully escapes the oppressive inland gravity. Here, the sea ceases to be a violent, devouring force and instead becomes a sacred site for the retrieval of memory and the awakening of the soul, marking the ultimate realization of his modernist spiritual homecoming.

“Marina” is one of his ARIEL Poems. Other “Ariel” poems include “The Journey of the Magi”(1927), “A Song for Simeon”(1928), “Animula” (1929), “Triumphal March” (1931) and the later “The Cultivation of Christmas Trees” (1954) one of his last poems. Eliot worked for the publisher Faber and Faber as their first literary editor and a member of the board of directors. He had left banking with its insecurities and found his home in a job he remained in for the rest of his life.

In 1927, the Faber autumn catalogue announced: “This series of little booklets consists of single previously unpublished poems each suitably decorated in colours and dressed in the gayest wrappers. It has been designed to take the place of Christmas cards and other similar tokens that one sends for remembrance’s sake at certain seasons of the year. Some of the poems have Christmas for their subject: but a genuine poem is not a thing appropriate only to one season of the year, and any one of these poems with its attendant decorations would be a joy to read and see at any time, whatever the season might be”.

“Marina” is not a Christmas poem and its illustrative image, that Eliot approved of, is secular not religious. The poem too deals with resurrection or rebirth, and that which is apparently lost is found. Eliot contributed six short poems in total, and later used the title “Ariel Poems” when he incorporated them into his own collections. Published as separate single poems, this pamphlet contains T.S. Eliot’s “Marina” (1930), published with artwork by the American artist E McKnight Kauffer (1890–1954) as the fourth of Eliot’s

contributions to the Ariel series of poems. The artwork shows the influence of vorticism influenced by cubism and futurism and favoring harsh, angular, machine-like forms.

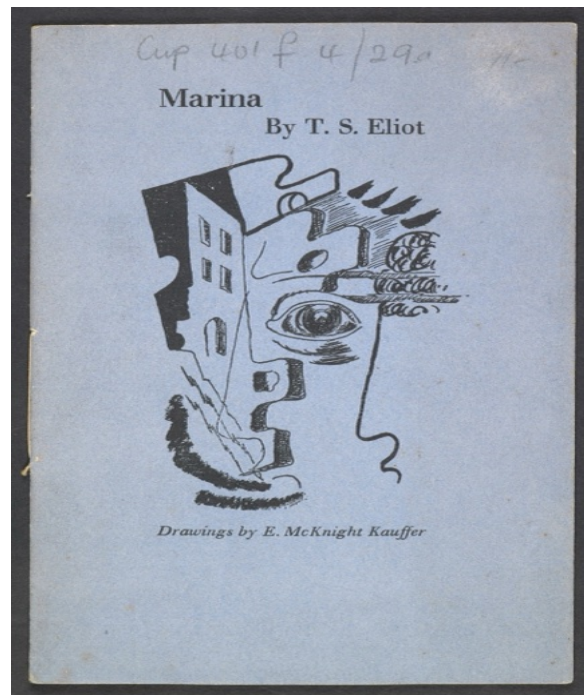


Fig. 2. Cover of T. S. Eliot's "Marina" (Ariel Poems, no. 4), with artwork by E. McKnight Kauffer. Faber and Faber, 1930

To fully appreciate the impact of "Marina," one must also examine its bibliographic materiality and cross-media resonance. Published as the fourth installment of Faber and Faber's "Ariel Poems" series, the pamphlet was accompanied by the striking visual artwork of the American artist E. McKnight Kauffer. Kauffer's illustrations, heavily influenced by Cubism and Vorticism, favored harsh, angular, and machine-like forms that actively subverted the traditional, sentimental expectations of a Christmas greeting booklet. This abstract "maritime art" engages in a fascinating intermedial dialogue with Eliot's text. The geometric severity of Kauffer's visual lines visually echoes the fragmented, modernist syntax of Eliot's verse. The juxtaposition of this austere, avant-garde illustration with a poem about spiritual rebirth strips away any residual Victorian romanticism regarding the sea. Instead, it frames the maritime setting through a distinctly modern lens, reinforcing the poem's serious theological undertones and emphasizing the sea as a space of rigorous, almost mechanical, spiritual reconstruction.

So, apart from the intermediate circumstances of publication and to meet a publisher's demand what was happening to Eliot during the summer of 1930, in other words going on in the background to produce one of his very best poems? Well to answer this question, I hope, I'm going to undertake a brief biographical excursion, or voyage.

By the late 1920s he was attempting to escape from a disastrous marriage to Vivienne Haigh-Wood (1888–1947) whom he married in haste in June 1915. She began following him around London, and he had

to resort to evasive actions to avoid her. In November 1927 he became a British citizen; in 1928 he took a vow of celibacy. On 29 June 1927 in Oxfordshire he was baptized into the Church of England, its conservative wing with its delight in rituals, a far cry from his Unitarian upbringing and family traditions. Religion became central to his life, he lectured at church meetings and conferences. His *Ash-Wednesday* poem written immediately prior to *Marina* and published five months earlier than *Marina* is a meditation on spiritual growth and a dialogue between the self and the soul using religious imagery.

A friend of the Eliot family was Emily Hale (1891–1969) with whom he had formed an apparent platonic relationship at Harvard during his graduate school years and kept in contact with. Their extensive correspondence is sequestered at Princeton, at her request, until January 2020. She donated 1,131 letters from Eliot to Princeton covering the period from 1930 to 1956. She was Eliot’s “oldest friend, his secret love, confidant, and muse”. According to Eliot’s biographer Lyndall Gordon “Emily Hale was exempt from low desire. Though not ethereal herself, and not in the least silent as a teacher of speech and drama, she became the model for silent, ethereal women in Eliot’s poetry” and she “provided a chaste love that could be sustained, it seemed, indefinitely” (Gordon 16).

Karen Christensen who worked with Valerie Fletcher (1926–2012: Eliot’s second wife whom he married in January 1957) assisting her editing her husband’s letters in her “Dear Mrs. Eliot ...” commented that:

Eliot’s relationship with Emily Hale, which was kept a secret for more than three decades, certainly shows his reticence about intimacy. Eliot knew Hale most of his life and wrote that he’d been, unawares, in love with her when he married Vivien. Their connection revived after he separated from Vivien and she became his companion (but not his lover). He told her he could not divorce for religious reasons, but Vivien’s early death, in 1947, brought them to a crisis. Hale expected him to marry her.^③

Don Skemer, the keeper of the Emily Hale-Eliot letters, in his “Sealed Treasure: T.S. Eliot Letters to Emily Hale” blogs that both saw their reunion, their meeting after many years as a spiritual reunion.^④

The recent unsealing of the 1,131 letters from Eliot to Emily Hale at the Princeton University Library provides irrefutable archival evidence that redefines the emotional architecture of “*Marina*”. During the summer of 1930, Eliot was navigating an extraordinary spiritual and personal crossroads. He was desperately attempting to extricate himself from the psychological wreckage of his disastrous marriage to Vivienne Haigh-Wood, while simultaneously negotiating the profound implications of his 1927 baptism into the Church of England and his subsequent vow of celibacy in 1928. It is within this crucible of crisis that Emily Hale—his oldest friend and secret muse—arrived in England. This highly charged reunion allowed Eliot to project his deeply suppressed yearning for a “lost and found” love onto the Shakespearean recognition scene in *Pericles*. The daughter figure in “*Marina*,” therefore, transcends a mere literary allusion; she is a composite of spiritual grace and the ethereal presence of Hale herself. By mapping his private biographical salvation onto *Pericles*’s

maritime recovery, Eliot transforms his personal anguish into a universal testament of faith and miraculous return.

Emily came to England in the summer of 1930. This was a period that Eliot identified Massachusetts as his real ancestral home and he recalled in his memory sailing off Casco Bay, Maine, and which took on divine intimations across space and time. In the concluding part of his poem *Ash Wednesday* (1930) he sees family figures from that old world beckoning him “to the exiled state for which he is destined”. He then returns to the present where he must live in exile from the promised land that he sees is still, after all, his inheritance.

To cite Lyndall Gordon “after so many years in London, Eliot said in August 1930, he had to go back to Massachusetts and Missouri for natural imagery. The setting of “Marina” is Casco Bay, Maine with the fog in the fir trees that crowd the Maine shore ... It is there, in imagination, that his voyager is ‘awakened’ as the longed-for call comes through the fog, and suppressed emotion for the long-lost yet familiar woman breaks out in a cry of recognition” (Gordon 13-14).

4.0 Conclusion

So, to sum up, T. S. Eliot created a personal and literary persona, personably reticent and reserved, one of the devices he used to so to speak cover up, to divert from personal biographical readings, was the intertextual, the reference to other texts: in the case of “Marina” to Shakespeare’s late romance *Pericles*, and to for instance Seneca.

Of course, Shakespeare’s co-authored drama is set in the Eastern Mediterranean and in the port of what is today Tyre, a long way, a world apart, from the shores”, the “gray rocks” and “the islands” the “scent of pine and the woodthrush singing through the fog” off the Massachusetts / Maine coast where he spent his summer’s sailing as a youth. He has to return to his beginnings to reach his end: as he wrote in *Little Gidding* he was “now and in England”. He wrote in 1958 to the academic F.D. Hoeniger (1921-2016) who was editing the second Arden edition of *Pericles*:

“Yes, *Marina* was suggested by the recognition scene in Shakespeare’s *Pericles* and has to do, of course, with the same father-daughter relationship. I had no daughter, but the relationship interested me and, of course, recognition, in my experience, is something that comes repeatedly in life”. (1:779-780)

It interested him because in re-meeting, in re-awakening, in discovering that which he thought was dead was alive, he achieved spiritual rest and resolution. I’d place money, odds that the Emily Hale correspondence will not reveal a daughter or a boy. His poem *Marina* reveals the sea as a basic place of space and time, and setting and scent and revelations. As a place where imagination becomes reality and where reality becomes imagination: as a place where in the words of one of Eliot’s very finest poems “I have forgotten and remember” (ll 23-24).

But let me conclude with Eliot's own words. In a letter dated 24 July 1930 he told his illustrator E. McKnight Kauffer:

The theme is paternity; with a crisscross between the text and the quotation. The theme is a comment on the Recognition Motive in Shakespeare's later plays, and particularly of course the recognition of Pericles. The quotation is from Hercules Furens, where Hercules having killed his children in a fit of madness induced by an angry god, comes to without remembering what he has done. (I didn't give the reference for fear it might be more distracting than helpful to the reader who did not grasp the exact point: the contrast of death and life in Hercules and Pericles). I wonder whether this sort of explanation is useful or rather a bother to the artist? The scenery in which it is dressed up is Casco Bay, Maine. I am afraid no scenery except the Mississippi, the prairie and the North East Coast has ever made much impression on me" (1:774).

Finally, Eliot's friend Aurelia Hodgson (1896-1984)

, the wife of the today largely forgotten English poet Ralph Hodgson (1871-1962) reported that Eliot once told her that Marina was "the poem he likes best of all that he has written".

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Notes

① All references to Eliot's poetry are taken from *The Poems of T. S. Eliot*, ed. Christopher Ricks and Jim McCue (Baltimore, 2015), unless indicated otherwise, and are cited parenthetically in the text.

② Perry, Seamus. "What a carry-on." *London Review of Books*, vol. 41, no. 14, 2019, pp. 12–14.

③ Christensen, Karen. "Dear Mrs Eliot..." *The Guardian*, 29 Jan. 2005, www.theguardian.com/books/2005/jan/29/classics.thomasstearnseliot. Accessed 20 Mar. 2026.

④ Skemer, Don. "Sealed Treasure: T.S. Eliot Letters to Emily Hale." *Princeton University Library*, 16 May 2017, <https://manuscripts.blogs.princeton.edu/2017/05/16/sealed-treasure-t-s-eliot-letters-to-emily-hale/>. Accessed 20 Mar. 2026.

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The Sargasso Sea as a Mediological Archive: Transduction of the Maritime Imagination

Youngmin Kim

Abstract: This paper proposes a mediological re-reading of modern maritime literature by conceptualizing the sea not as a geographical void, but as a transductive medium of cultural memory. Employing Gilles Deleuze and Félix Guattari’s spatial theory of “smooth space” (*espace lisse*) and Marc Shell’s “Islandology,” I argue that the Sargasso Sea functions as a paradigmatic “Hydraulic Archive.” This archive is a non-linear, fluid repository where the “striated” hardware of imperial history is shipwrecked, suspended, and transformed into a maritime memory-assemblage. The analysis proceeds through three major movements. First, it examines Ezra Pound’s poetics, where the Sargasso Sea serves as the mediological soil of the modern subject, archiving the “deciduous” fragments of London’s metropolitan debris. Second, it explores Jean Rhys’s *Wide Sargasso Sea* as a site of postcolonial transduction, where the rigid coastlines of imperial reason dissolve into the “fluid fire” of Caribbean subjectivity. Finally, it repositions Ireland as a “Smooth Island” through the works of W.B. Yeats and Seamus Heaney. By synthesizing Yeats’s horizontal “acoustic Sargasso” with Heaney’s vertical “bog-aesthetics,” this research identifies Ireland as a transductive interface that dissolves the imperial grid from within. This study suggests that the modern self is a fluid network—a “Vertical Sargasso”—that archives history through intensive stasis. In our contemporary digital age, the logic of the coastless sea provides a vital model for understanding the borderless and non-linear flow of global information, resulting in a profound transduction of the human subject within the oceanic imaginary.

Keywords: Sargasso Sea; Hydraulic Archive; Transduction; Smooth Space; Islandology

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题目: 作为媒介学档案的萨加索海：海洋想象力的转换

摘要: 本文通过将海洋概念化为文化记忆转导媒介 (transductive medium)，而非地理上的真空,提出了对现代海洋文学的媒介学 (mediological) 重读。本文借鉴吉尔·德勒兹与费利克斯·加塔利的“平滑空间 (smoothspace) 空间理论以及马克·谢尔的“岛屿学” (Islandology)，论证了萨加索海 (Sargasso Sea) 作为一个范式性的“水力档案馆” (Hydraulic Archive) 而运作。这一档案馆是一个非线性的流体仓库，在此，帝国历史的“条纹化” (striated) 硬件经历了船难、悬浮，并最终转化为一种海洋性的记忆装配 (memory-assemblage)。本研究分三个主要阶段展开。首先，分析艾兹拉·庞德的诗学，其中萨加索海作为现代主体的媒介学土壤，记录了伦敦大都市废墟中的“落叶式” (deciduous) 碎片。其次，探讨珍·里斯的《广阔的萨加索海》，将其视为后殖民转导的场域，在此，帝国理性的僵化海岸线溶解于加勒比主体性的“流动之火”。最后，通过 W.B.叶芝与西莫斯·希尼的作品，将爱尔兰重新定位为一个“平滑岛屿”。通过整合叶芝的水平“听觉萨加索”与希尼的垂直“沼泽美学”，本研究确认爱尔兰为一个从内部溶解帝国网格的转导接口。研究表明，现代自我是一个流动网络——即一种“垂直萨加索”——通过强密性静止 (intensive stasis) 归档历史。在当代的数字时代，无海岸之海的逻辑为理解全球信息的无国界、非线性流动提供了一个至关重要的模型，从而在海洋想象力中实现了人类主体的深刻转导。

关键词: 萨加索海；水力档案馆；转导；平滑空间；岛屿学

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1.0 Introduction: The Oceanic Turn: Re-imagining the Sea as a Transductive Medium in Maritime Imaginary

1.1 Hegelian Oceanic Sublime

The “Oceanic Turn” in contemporary humanities necessitates a radical shift from viewing the sea as a mere void or a surface of transit to identifying it as a transductive medium of memory and life. This change takes us from the striated logic of continental empires to a topological view of the sea as a self-contained archive.

In his seminal work, *The Philosophy of History*, G. W. F. Hegel contrasts the sea and the land to define the ontological conditions of the oceanic turn of the Western history:

The sea gives us the idea of the indefinite, the unlimited, and the infinite; and in feeling his own infinite in that Infinite, man is stimulated and emboldened to stretch beyond the limited: the sea invites man to conquest, and to piratical plunder, but also to honest gain and to commerce. The land, the mere valley-plain attaches him to the soil; it involves him in an infinite multitude of dependencies, but the sea carries him out beyond these limited circles of thought and action. (90)

For Hegel, the land—the “mere valley-plain”—attaches the individual to the soil, involving the subject in an “infinite multitude of dependencies.” In contrast, the sea offers the “idea of the indefinite, the unlimited, and the infinite” (90). This Hegelian oceanic sublime, which emboldens humanity to stretch beyond limited circles of thought toward conquest and commerce, established a dominant current in maritime literature during the age of imperial exploration. As Jonathan Raban notes in *The Oxford Book of the Sea*, the sea functions as a “universal literary symbol”—at once romantic, sublime, and violent—adapting its character to the “moon, wind, and weather” of every age (2). The sea is a medium that is inherently fluid, dynamic, and unstable.

1.2 Kantian Postmodern Sublime

However, when we recognize the Kantian structure of the postmodern sublime through the theories of Jean-François Lyotard and Fredric Jameson, we are granted a critical lens to examine the sea's metaphorical historicity beyond this Hegelian model. The circulation of global capitalism transforms the ocean into a space of inherent contradictions, a shift meticulously argued by Filippo Menozzi in “Blue Sublime and the Time of Capital.” Menozzi posits that the sea has increasingly become a “field of extraction, resource to be exploited or waste disposal site” (1). Consequently, the “blue sublime” proposed by Menozzi captures a pivotal transition: from the blue element as a specific physical space—comprising ecosystems, trade routes, and disposal sites—to an allegorical perception of the sea as the definitive mark of the globe's transformation into a state of “pure temporality” (6).

Modern scholarship has increasingly moved beyond the traditional binary opposition of the terrestrial and the oceanic, seeking instead a more integrated understanding of their mutual influence. In *American Sea Literature: Seascapes, Beach Narratives, and Underwater Explorations*, Shin Yamashiro provides a pivotal framework for this shift. By comparing Sylvia A. Earle's *Sea Change: A Message of the Oceans* with Carl

Safina's *Song for the Blue Ocean*, Yamashiro establishes a three-dimensional spectrum of maritime literature that traces the evolution of the field from the colonial period to the twentieth century (1-15). Yamashiro categorizes this spectrum into three distinct yet overlapping domains:

1. "On the sea" (the surface)
2. "By the sea" (the edge or seashore)
3. "Beneath the sea" (the sub-aqueous)

In his analysis of the first two domains, Yamashiro examines the oceanic environment as a holistic entity that extends far beyond mere maritime activities like fishing, trading, or exploration. He argues against the rigid dichotomy of the land and the sea, discovering instead how oceanic experiences are fundamentally embedded within terrestrial life. Furthermore, in his exploration of the third domain—"beneath the sea"—Yamashiro introduces underwater activities as a new frontier of wilderness and technological landscape. This perspective highlights the intricate interactions between terrestrial and underwater spheres across American cultural, economic, and technological developments. Ultimately, Yamashiro posits that the oceanic and the terrestrial "collide and collaborate" to generate the complexity of American literary experiences and expressions (15). In his final reflections, Yamashiro offers a compelling metaphor, likening sea literature to a "water tank on a roof." While such a vessel may seem to stand aloof and separate from the inhabitants below, the oceanic is, in fact, "omnipresent and vital to our existence," perpetually metamorphosing between fluid, solid, and gaseous states to sustain the very life of the land (121).

In this theoretical and literary context, this paper navigates the maritime imagination as a mechanism of "fluid" deterritorialization by synthesizing the poetic "Sargasso Sea" of Ezra Pound, the postcolonial counter-narrative of Jean Rhys, and the geopolitical poetry of the Irish poets, W. B. Yeats and Seamus Heaney. Central to this study is Gilles Deleuzian conceptualization of the Sargasso Sea—a "sea without a coastline"—as the quintessential "smooth space" (*espace lisse*) that disrupts the "striated space" of imperial boundaries. While striated space is defined by Euclidean grids, legal boundaries, and the metric hierarchies of imperial administration, smooth space functions as a vector-based field of continuous variation that resists the rigid containment of empire.

1.3 The Sea as Case Studies of Maritime Literature

By analyzing the sea not merely as a setting but as a mediological archive, this paper identifies the Sargasso Sea in Pound's "Portrait d'une Femme" as a site of intensive preservation. A mediological archive is a dynamic system of storage where the medium itself shapes the nature of the memory it holds. In Pound's work, the sea is a "sea-hoard of deciduous things" where the fragments of London's urban life are shipwrecked and suspended in the "slow float" of a stagnant consciousness. In this framework, "stagnation" is redefined as a state of intensive stasis, where cultural debris is kept in a perpetual present and remains untouched by the teleological progress of the land. This constitutes the "hydraulic archive" of Empire, which is a liquid repository where identity is no longer owned as a fixed terrestrial asset. Instead, identity is "transduced" from

the accumulated debris of the metropole. In this study, “transduction” (311) refers to Gilbert Simondon’s metamorphic process by which information or identity of the individual is converted from one physical state to another in the “individuation” (297) process.^① Specifically, it describes the shift from the striated metropolitan state to the smooth oceanic state, where objects lose their original utility to become part of a vast, undifferentiated flow.

This aesthetic of fluidity is further expanded through Jean Rhys’s *Wide Sargasso Sea*, where the absence of a geographical coastline becomes a subversive site of resistance against the rigid, striated grids of British imperial law. By employing a Venn diagrammatic model of “a sea within a sea,” this paper formalizes the topological overlap between the continental mainland and the oceanic void. This model demonstrates how the maritime medium facilitates a profound transductive shift in the subject. This phenomenon reaches its conceptual apex in the context of Ireland, which functions as a “Smooth Island.” The Smooth Island is a liminal intersection where the British Isles and the Atlantic Ocean overlap. Through the “Bogland” of Seamus Heaney and the “Lake Isle of Innisfree” of W. B. Yeats, Ireland is redefined not as a fixed territory within a colonial archipelago, but as a transductive interface that dissolves the imperial grid into the borderless currents of the oceanic imaginary.

1.4 Theory and Practice of Oceanic Sublime and Fluid Subjectivity

Following the theoretical inquiry into the oceanic sublime, this paper proceeds through a series of analytical movements that map the transition from imperial striation to maritime smoothness. The first section establishes the philosophical foundation of this study. By synthesizing the Kantian “formless” with the postmodern temporalities of Lyotard and Menozzi, I provide the lens to view the sea as a hydraulic archive. According to Lyotard, the postmodern sublime involves a confrontation with the “unpresentable” (81) that disrupts linear narrative. Menozzi further extends this by suggesting that such maritime encounters facilitate a postcolonial sublime where the vastness of the ocean acts as a medium for unarchived histories. Within this framework, the sea is not a void. Instead, it is a site where the “negative pleasure” of the infinite meets the mediological storage of history.

Building upon this sublime framework, the subsequent analysis examines Ezra Pound’s “Portrait d’une Femme” and Jean Rhys’s *Wide Sargasso Sea*. This section explores the “sea-ward” as a mechanism of deterritorialization. In this context, the “coastless” subject resists the rigid striation of imperial law and domestic confinement. This resistance manifests through various forms, from the shipwrecked fragments of London to the subversive currents of the Caribbean. The final section concludes by repositioning Ireland as the ultimate “smooth island.” I analyze the horizontal maritime poetics of W. B. Yeats and the vertical, “bottomless” bog-aesthetics of Seamus Heaney. Arguing that Ireland functions as the definitive transductive interface between the terrestrial and the oceanic, I propose a new model for the fluid subject. This model navigates the borderless and “wet” currents of our contemporary digital age, where information flows with the same non-linear logic as the North Atlantic Gyre.

2.0 Theoretical Framework of the Oceanic Sublime

2.1 Epistemology: Sargasso Sea as a Mediological Archive

2.1.1 Theory and Practice of the Kantian Sublime and Turner's Painting

To conceptualize the Sargasso Sea as a mediological archive, one must first navigate the philosophical evolution of the Sublime. As an aesthetic category that transcends the “persuasive and pleasant,” the sublime represents a liminal moment where the human subject is confronted by the boundaries of reason and the subsequent exhaustion of language. This experience is not merely an encounter with overwhelming force, but a confrontation with a “formless” magnitude—what Kant identifies as *das Formlose*. In this state, the imagination fails to provide a finite representation for the infinite, signaling a critical transition from the striated (form-driven) logic of terrestrial certainty to the smooth (formless) expanse of an oceanic medium. This sublime encounter functions as a mediological archive precisely because it registers what conventional representation cannot; it becomes a repository for the unrepresentable, archiving the very limits of human cognition within its fluid depths. In art history, this tension between the representable and the fathomless is exemplified by Joseph Mallord William Turner's *Fishermen at Sea*.

As noted by Tate Britain², Turner's nocturnal scene contrasts the “delicate vulnerability of the flickering lantern” with the “treacherous rocks” of the Needles. Critically, this visual potency serves as a mediological metaphor: the flickering lantern represents the visible striations of human reason, while the surrounding dark water embodies the invisible abyss of the oceanic medium. Turner's masterpiece thus functions as a precursor to the modern maritime mediological space, where the sea is reimagined not as a void, but as a transductive archive. It is a site where the “hardware” of terrestrial form is swallowed by the “software” of a bottomless, coastless sea, effectively transforming the sublime into a mechanism for storing the unarchivable fragments of historical and cultural memory.

2.1.2 Affective Paradox of Negative Pleasure: Longinus, Burke, and Kant

The sublime is rooted in an affective paradox. Longinus originally characterized sublimity as an “invincible power” that “tears everything up like a whirlwind,” producing ecstasy rather than mere persuasion (2). This “whirlwind” logic is essential to the topography of the Sargasso Sea. It is a gyre that does not lead to a linear destination. Instead, it scatters, suspends, and archives information within its circular flow. Edmund Burke furthered this by tracing the source of the sublime to “whatever is in any sort terrible” (39). He located this power in the vast, the dark, and the obscure. The Sargasso, with its “stagnant consciousness” and “sea-mischief,” fits this Burkean category. It presents a space that is both fascinating and threatening to the “striated” order of the terrestrial world.



Fig. 1. Fishermen at Sea exhibited 1796^③

Immanuel Kant provided the critical turn by distinguishing the sublime from the beautiful based on form. While the beautiful is connected to the “form of the object” and its inherent boundaries, the sublime is found in a “formless object” where boundlessness is represented (101-102). This Kantian formlessness provides the ideal context for the “sea without a coastline.” The satisfaction found here is a “negative pleasure”—a momentary checking of vital powers followed by a stronger outflow. In the Sargasso, the spectator experiences this “checking” as the mind fails to grasp the vast “sea-ward” of deciduous things. The subject is alternately attracted and repelled by the stagnant depth. Kant’s division into the Mathematically and Dynamically Sublime is vital for navigating this “hydraulic archive.” The Mathematically Sublime occurs when magnitude exceeds our powers of comprehension. It triggers “bewilderment and perplexity” as the imagination fails to present the ideas of a whole. The Sargasso Sea triggers this through the sheer quantity of fragmented imperial debris—“strange spars of knowledge” too numerous to organize into linear history. Conversely, the Dynamically Sublime considers nature as a power (*Macht*) that has no dominion over us. We recognize our physical impotence against the boundless ocean, yet this sight discovers in us a “faculty of resistance” independent of nature.

2.1.3 Blue Sublime

In the contemporary era, this Kantian discourse evolves into that of the “blue sublime.” As Filippo Menozzi argues, global capitalism has transformed the sea into a space of contradictions. It has become a “field of extraction, a resource to be exploited, or a waste disposal site” (1). The blue sublime captures the transition from the ocean as a specific ecosystem to an allegorical perception of the globe in a state of “pure temporality” (6). This postmodern sublime, viewed through the lens of Lyotard and Jameson, allows us to examine the sea’s metaphorical historicity beyond mere Hegelian conquest. In short, the Sargasso Sea emerges as the medium of the ultimate sublime. It is a space of “vibration” —a quickly alternating attraction and repulsion. It is a “smooth space” where the “momentary checking” of imperial progress allows for the “stronger outflow” of de-territorialized meaning. At the limit of this sublime ocean, the “totalizing thought” of the archive meets the “impotence” of the individual, resulting in a profound transduction of the modern self.

2.2 Ontology: The Literary Cartography of the Sargasso Sea

2.2.1 Jules Verne’s *Twenty Thousand Leagues Under the Sea*

From the Victorian “meadow” of Jules Verne to the “sea within a sea” described by Ruth Heller, the Sargasso has evolved from a physical obstacle into a complex, systemic entity. It has become a space that materializes the narratives of the Anthropocene. In the late 19th century, Jules Verne established the foundational imagery of the Sargasso in Chapter 11 of *Twenty Thousand Leagues Under the Sea*:

THAT day the *Nautilus* crossed a singular part of the Atlantic Ocean. No one can be ignorant of the existence of a current of warm water, known by the name of the Gulf Stream. After leaving the Gulf of Mexico, about the twenty-fifth degree of north latitude, this current divides into two arms, the principal one going toward the coast of Ireland and Norway, while the second bends to the south about the height of the Azores; then, touching the African shore, and describing a lengthened oval, returns to the Antilles. This second arm—it is rather a collar than an arm—surrounds with its circles of warm water that portion of the cold, quiet, immovable ocean called the Sargasso Sea, a perfect lake in the open Atlantic: it takes no less than three years for the great current to pass round it. Such was the region the *Nautilus* was now visiting, a perfect meadow, a close carpet of seaweed, fucus, and tropical berries, so thick and so compact that the stem of a vessel could hardly tear its way through it. And Captain Nemo, not wishing to entangle his screw in this herbaceous mass, kept some yards beneath the surface of the waves. The name Sargasso comes from the Spanish word “sargazzo” which signifies kelp. This kelp or varech, or berry-plant, is the principal formation of this immense bank. (Verne 201)

Verne describes the region as a “perfect lake in the open Atlantic” and a “meadow” so compact that the stem of a vessel could hardly tear its way through it (201). Through Captain Nemo’s *Nautilus*, Verne represents the sea as a paradoxical space: a quiet, immovable “collar” of warm water that traps the debris of the Atlantic. In this Victorian representation, the sea is primarily an obstacle to navigation. It is a “thick and compact” carpet of seaweed that necessitates a journey “beneath the surface” to avoid entanglement. This initial framing depicts the Sargasso as a striated space of natural entrapment. It is a silent witness to the circular currents that surround it, acting as a physical boundary that defines the limits of terrestrial-based navigation.

2.2.2 Ruth Heller’s Hydraulic Archive: The Sargasso Sea as an Ecosystem

Transitioning from nautical myth to natural mystery, Ruth Heller’s *A Sea Within a Sea* (2000) utilizes poetic text to deconstruct the myths of the North Atlantic. Heller frames the Sargasso as a biological anomaly—a warm sanctuary in the midst of the cold ocean where “whirlpool-like currents” are said to “becalm ships forever” (5). Heller’s perspective shifts the focus from the surface obstacle to the volumetric depth of the sea. Beyond the myth of the “graveyard of ships,” she illuminates the teeming life beneath the “huge tangles of seaweed,” including jellyfish, turtles, and the mysterious catadromous migration of eels (12–15). This shift is crucial for our theoretical framework. By identifying the Sargasso as a singular

ecosystem, Heller reimagines it as a self-contained medium of life and memory. The sea is no longer a horizontal barrier to be crossed but a vertical, transductive archive that hosts and preserves the biological and historical “software” of the Atlantic. Here, the “meadow” is transformed into a Hydraulic Archive, where the presence of life within the stagnant gyre proves that the “smooth” center is not a void, but a site of intensive storage and regeneration. The following is the Wikipedia description of the Sargasso Sea:

The Sargasso Sea is a region of the Atlantic Ocean in which four current form an ocean gyre. This Sea has no land boundaries. It is distinguished from other parts of the Atlantic Ocean by its characteristic brown Sargassum seaweed and often calm blue water. There are four currents: on the west of the sea the Gulf Stream; on the north the North Atlantic Current, on the east the Canary Current, and on the south the North Atlantic Equatorial Current. They together form a clockwise-circulating system of ocean currents termed the North Atlantic Gyre. It is approximately 680 mile wide by 2,000 mile long.

(“Sargasso Sea.” *Wikipedia: The Free Encyclopedia*).⁴



Fig. 2. The Great Atlantic Sargassum Belt Fig. 3. Lines of sargassum in the Sargasso Sea

3.0 The Subject as Fluid Medium and the Mediological Archive of Maritime Literature:

Ezra Pound, Jean Rhys, W.B. Yeats, Seamus Heaney

3.1 The Mediological Archive of Empire: Ezra Pound’s “Portrait d’une Femme,” “The Seafarer,” & “Canto II”

3.1.1 Ezra Pound’s “Portrait d’une Femme”: The Mind as the Fluid Subject of the Sargasso Sea

In the North Atlantic’s cartographic imagination, the Sargasso Sea serves as a definitive site of interpretation. Ezra Pound’s “Portrait d’une Femme” is a seminal exploration of how the metropolitan wreckage of London is subsumed into the individual’s internal “oceanic space.” Synthesizing Pound’s Imagist sensibility with Deleuze and Guattari’s “smooth space” (*espace lisse*), the poem depicts a subject acting as a fluid medium. According to Deleuze and Guattari, “striated space” is defined by Euclidean grids and hierarchies, whereas “smooth space” is a nomadic field of distribution (Deleuze and Guattari 474-500). In the latter space, the mind

is a rhizomatic expanse where fixed boundaries dissolve, facilitating a continuous process of deterritorialized accumulation.

Pound establishes the woman's mind as a non-terrestrial, volumetric geography: "Your mind and you are our Sargasso Sea" (line 1). While London represents the quintessential "striated space"—a rigid Euclidean grid of social mores and economic utility—the woman functions as a mediological soil, a generative substrate where the city's debris is "swept" and undergoes a profound state-change:

Your mind and you are our Sargasso Sea,
 London has swept about you this score years
 And bright ships left you this or that in fee:
 Ideas, old gossip, oddments of all things,
 Strange spars of knowledge and dimmed wares of price. (Pound, "Portrait" 184, lines 1-5)

As a "sea-ward" and a hydraulic catchment system, the mind receives what the terrestrial world can no longer employ. Unlike striated land-archives that categorize objects by market value, this oceanic soil archives through submergence and sedimentation. The metropolis, as an engine of imperial progress, perpetually sheds its material fallout—"deciduous things" of "Ideas, old gossip, oddments of all things, / Strange spars of knowledge and dimmed wares of price" (line 4-5). Like autumnal leaves falling from the tree of Empire, these fragments lose their teleological purpose and drift into the fluid interiority of the Sargasso-subject. The woman, likened to this coastline-less sea, represents a deterritorialized accumulation.

Her identity is formed by currents rather than walls; she is a medium through which the "striated" objects of London lose their teleological functionality to enter a "smooth" state of undifferentiated flow: "In the slow float of differing light and deep, / No! there be many strange and subtle things" (lines 7-8). The subject does not merely collect; she provides the anaerobic suspension—the maritime "software"—that ensures the debris of a fading Empire is perpetually circulated rather than lost to decay. In this context, the Sargasso Sea in the poem refers to a site of "intensive stasis"—a hydraulic archive where "strange and subtle" cultural memory is suspended rather than filed. Identity, therefore, is not a territory to be defended but a transductive interface: a bottomless archive where currents replace walls. In this state of "intensive stasis," cultural memory is suspended rather than filed, and movement leads to no terminal destination. Pound mirrors this through "fact[s] that lead nowhere," existing as pure intensive presence: "Fact that leads nowhere; and a tale or two, / Pregnant with wheels; label or fragment of bribe" (line 13-14). This logic culminates in the radical dissolution of the sovereign self: "Nothing that's quite your own / Yet this is you" (lines 29-30). This paradox aligns with Deleuzian "becoming" (*devenir*). The woman is not a static "being" but a transductive portal where the "hardware of Empire" is transformed into a collective memory. Pound's aesthetic reveals the Empire's inability to "fence" its own history, as its prized and discarded outputs drift into an unfenced, bottomless oceanic commons.

3.1.2 Ezra Pound's "The Seafarer": The Sargasso Logic of Accumulation of the Maritime Consciousness

Pound's translation of "The Seafarer" provides the foundational topology for this metamorphic sea, depicting the ocean not as a scenery, but as a visceral medium of sensory and existential transduction. Here, the "Sargasso logic" of accumulation is manifested through the physical endurance of seafarer's exile:

Bitter breast-cares have I abided,
 Known on my keel many a care's hold,
 And dire sea-surge, and there I oft spent
 Narrow nightwatch nigh the ship's head
 While she tossed close to cliffs. Coldly afflicted,

My feet were by frost benumbed.
 Chill its chains are; chafing sighs
 Hew my heart round and hunger begot
 Mere-weary mood. (Pound, "Seafarer" lines 4-12)

The subjectivity of the speaker in the poem is etched by the "bitter breast-cares" (l. 4) and the "dire sea-surge" (l. 6) of the sea. Unlike the "burghers" (l. 29) on dry land who abide in the striated space of wealth and wine-flushed business, the Seafarer exists in a state of constant displacement, where his very feet are "by frost benumbed" (l. 9) and his heart is hewn by "chafing sighs" (l. 10). This "narrow nightwatch" (l. 6) near the ship's head represents the initial stage of the mediological subject: a consciousness that is being "swept" not by terrestrial debris, but by the raw, "ice-cold" (l. 14) hardware of the maritime environment. The Seafarer's identity is thus forged through a radical deterritorialization from the "earth-weal" (l. 68) as he hears naught "save the harsh sea" (l. 18) and the "ice-cold wave" (l. 19) transitioning from a terrestrial kinsman into a fluid, oceanic outcast.

3.1.3. Ezra Pound's "Canto II": Maritime Poetics of the Sea as the Vertical Hydraulic Archive

Furthermore, "The Seafarer" anticipates the active metamorphosis of "Canto II" by establishing the sea as a "whale's acre" (l. 59)—a transductive interface where the dead life of the land is surrendered for the nomadic potentiality of the "flood-ways" (l. 53). The poem's climax, where the heart "burst from my breast-lock" (l. 59) to wander wide over the "mere-flood" (l. 60), signifies the collapse of the sovereign, "fenced" self in the face of the oceanic sublime. In this hydraulic archive, earthly glory and "earthen riches" (82) are recognized as "delights undurable" (l. 87) destined to wane and sear. By rejecting the "winsomeness to wife" (l. 46) and the "world's delight" (l. 46) in favor of the "wave's slash" (l. 47), the Seafarer embraces the sea as a medium of potentiality where the self is stripped of its striated utility. This exile serves as the "pioneer" of Pound's maritime poetics, striking inwards and downwards into the "salt-wavy tumult" (l. 36) to safeguard a cultural memory that remains missing its last terrestrial definition.

The maritime poetics in "Canto II" mark the radical transition from the passive accumulation of the "Sargasso Sea" in "Portrait d'une Femme" to an active, metamorphic interface where the boundaries between

the mechanical and the organic dissolve. Pound depicts the ship—a quintessential tool of striated colonial capture and “slave money”—as it is suddenly arrested in a “sea-swirl,” a hydraulic disruption that mirrors the coastless, circling currents of the Sargasso. Through the intervention of “god-sleight,” the rigid hardware of imperial piracy undergoes a transductive state-change: the “gunwale” becomes a “vine-trunk,” and “tenthriil” replaces “cordage.” This is not merely a mythic trope but a mediological event where the “straight ship” of commercial utility is overtaken by the fluid vitality of the oceanic medium. As the “ivy in scupper-hole” and “grape-leaves on the rowlocks” suggest, the ship’s functional identity is subverted, transforming it into a vibrant, oceanic identity that archives the divine within its very fiber.

Furthermore, this metamorphic interface demonstrates that the Sargasso logic is far from a stagnant void; it is a “sea-ward” of potentiality where the shipwrecked fragments of a fading Empire are transfigured into a collective memory. Just as the Sargasso Sea captures the “deciduous things” of the Atlantic, the “sea-swirl” in “Canto II” acts as a vertical hydraulic archive, refusing the imperial grid. Pound’s aesthetic reveals that the “software” of the maritime mind—typified by the “grapes with no seed but sea-foam”—ensures that cultural memory is not filed away in dry, terrestrial cabinets but perpetually circulated in a state of intensive stasis. Within this transductive network, the subject (Acœtes) ceases to be a sovereign entity and becomes the archival process itself. In this context, the debris of the imperial world is stripped of its commodity status, emerging instead as a reimagined, oceanic commons that safeguards the unmappable richness of the mythic past against the “fencing” of history.

3.2. The Coastless Resistance: Jean Rhys’s *Wide Sargasso Sea*

3.2.1 *Wide Sargasso Sea*: Maritime Transduction of Inclusive Exclusion

Jean Rhys’s *Wide Sargasso Sea* represents a radical act of “writing back” to Charlotte Brontë’s *Jane Eyre*. However, its analytical depth extends far beyond providing a prequel for the “madwoman in the attic.” The novel depicts a profound process of maritime transduction, where the terrestrial, “striated” order of the British Empire (embodied by Rochester) violently collides with the fluid, “smooth” subjectivity of the Caribbean (Antoinette).

The narrative commences in 1830s Jamaica, where Antoinette Cosway exists within a precarious Venn diagram of identity. As a white Creole, she is “the other” to the English and a “white cockroach” to the Black community. This position functions as a topological mapping of “inclusive exclusion.” This model finds its definitive rationale in Marc Shell’s *Islandology: Geography, Rhetoric, Politics*. Shell defines “Islandology” as a transdisciplinary study examining the geographical and rhetorical logic of islandhood. He argues that islands are not merely isolated landmasses but complex intersections of national sovereignty and maritime fluidity (3), and that an island functions as a “liminal threshold” between the continental “mainland” and the “oceanic void,” perpetually challenging the legal boundaries of the state (5–7). While Shell does not explicitly employ the term “Venn diagram,”⁶ his analysis provides the rigorous framework for utilizing this mathematical model to formalize his intuition of “half-and-half” identity (3). Antoinette represents this transductive intersection. She is a subject physically captured within the imperial archipelago yet ontologically anchored in the deterritorialized currents of the Atlantic. Her childhood estate, Coulibri, mirrors this liminality.

It is a space where the manicured garden has reverted to a wild, untamed state—a “smooth space” where imperial management has failed to take root.

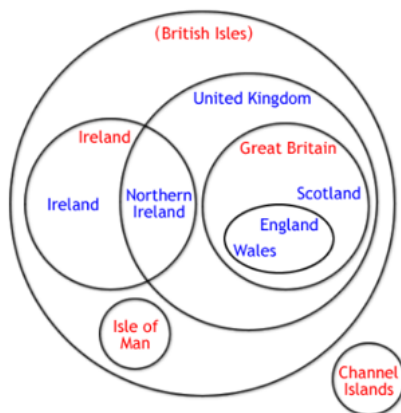


Figure IV: British Isles Venn Diagram

3.2.2 Mediological Struggle as a Transduction Interface: Resistance against Naming:

The arrival of Rochester marks the invasion of “striated space” into Antoinette’s life. As the architect of the coastline, Rochester seeks to define her through the legal and patriarchal grids of the Empire. This is most violently expressed through his act of renaming her “Bertha.” As a context, Antoinette’s contentment while staying at the convent is exemplified in the reference to the affirmation of her name: “Underneath I will write my name in fire red, Antoinette Mason, née Cosway, Mount Calvary Convent, Spanish Town, Jamaica, 1839” (Rhys 48). Later the following narrative of Antoinette reveals the repeated issue of naming:

When he passes my door he says, “Goodnight, Bertha.” He never calls me Antoinette now. He has found out it was my mother’s name. “I hope you will sleep well, Bertha”—it cannot be worse,’ I said. ‘That one night he came I might sleep afterwards. I sleep so badly now. And I dream.’ (Rhys 103)

In fact, Rochester perceives the Caribbean landscape as dangerously lacking in the “roads” and “signposts” of European reason, feeling menaced by a geography that refuses to be mapped. While Rochester loses himself in this unmappable terrain, however, Antoinette resists by maintaining her interiority as an indeterminate medium as a Caribbean. This resistance is rooted in the context of the actual geographical topology of the Sargasso Sea. Rochester, the embodiment of “continental thought,” views space as an object to be gridded. To Antoinette, however, the sea is not a barrier but a transductive interface. Here, roads represent the hardware of striated space—fixed and state-controlled, whereas sea currents are the software of smooth space—shifting paths that transform without a fixed destination.

The climax of this mediological struggle occurs in 1999 Norton version of the Part Three of *Wide Sargasso Sea*, where the grey stone walls of the English attic—the ultimate enclosure of imperial reason—collide with Antoinette's vivid memory. The stone at Thornfield represents the Empire's desire to “fence” and entomb, while the fragments Antoinette carry in her dreams are fragments of the “sea-hoard” of deposited cultural memory:

I sat there quietly. I don't know I long I sat. Then I turned round and saw the sky. It was red and all my life was in it. I saw the grandfather clock and Aunt Cora's patchwork, all colors, I saw the orchids and the stephanotis and the jasmine and the tree of life in flames. I saw the chandelier and the red carpet downstairs and the bamboos and the tree ferns, the gold ferns and the silver, and the soft green velvet of the moss on the garden wall. I saw the doll's house and the books and the picture of the Miller's Daughter. I heard the parrot call as he did when he saw a stranger, *Qui est là? Qui est là?* and the man who hated me was calling too, Bertha! Bertha! The wind caught my hair and it streamed out like wings. It might bear me up, I thought, if I jumped to those hard stones. But when I looked over the edge I saw the pool at Coulibri. Tia was there. She beckoned to me and when I hesitated, she laughed. I heard her say, *You frightened?* And I heard man's voice, Bertha! Bertha! All this I saw and heard in a fraction of a second. And the sky so red. Someone screamed and I thought, *Why did I scream?* I called 'Tia!' and jumped and woke. (Rhys 170).

This final dream reflects her realization that her mind belongs to the Caribbean and the coastless sea rather than to the English Isles, signifying a total dissolution of the imperial grid. She finally “jumped and woke,” representing her final leap and awakening which are not mere geographical escapes or acts of self-destruction, but rather a mediological transduction. To Rochester, the attic was a secure interior protected by a coastline of stone; to Antoinette, it was a portal already connected to the deep, anaerobic waters of the Sargasso Sea. Her leap represents the final victory of “smooth space” over the imperial grid—a state where the “Bertha” construct is discarded, and the subject is reclaimed by the borderless currents of maritime cultural memory.

3.3. The Horizontal Sargasso and Acoustic Smoothness: Yeats's “Lake Isle of Innisfree”

3.3.1 Ireland's Islandology as a Smooth Space of Inclusive Exclusion:

The British Empire attempted to transform Ireland into an “Internal Sea,” a controlled basin gridded by the “striations” of the Anglican Church, the English language, and the plantation system. However, Ireland's “Islandology” reveals a persistent rejection of this terrestrial fixity. As a Smooth Island, Ireland invites the Atlantic's “Sargasso-like” indeterminacy into the very heart of the archipelago. In Irish maritime literature, the sea is not a barrier that isolates the island but a reverse medium—a conduit through which the deterritorialized values of the ocean penetrate the imperial center. While London acts as the “striated” metropole of order, Ireland functions as the “included exterior.” This site is where the “smooth” logic of the sea disrupts the “striated” logic of the land, creating a unique Venn diagrammatic intersection where the rigid

coastlines of imperial certainty are perpetually eroded by oceanic flow. Viewed through a topological lens, Ireland emerges as the ultimate site of “inclusive exclusion.” It is a space geographically included within the British Isles yet ontologically anchored in the nomadic fluidity of the Atlantic.

3.3.2 Innisfree as a Smooth Internal Acoustic Sargasso

W.B. Yeats’s “The Lake Isle of Innisfree written in 1890 provides the foundational poetic evidence for the transition from the striated to the smooth:|

I will arise and go now, and go to Innisfree,
 And a small cabin build there, of clay and wattles made;
 Nine bean-rows will I have there, a hive for the honey-bee,
 And live alone in the bee-loud glade.
 And I shall have some peace there, for peace comes dropping slow,
 Dropping from the veils of the morning to where the cricket sings;
 There midnight’s all a glimmer, and noon a purple glow,
 And evening full of the linnet’s wings.
 I will arise and go now, for always night and day
 I hear lake water lapping with low sounds by the shore;
 While I stand on the roadway, or on the pavements grey,
 I hear it in the deep heart’s core. (Yeats 39)

Rather than mere pastoral escapism, the poem represents a radical nomadic flight from the “pavements grey” of London toward the liquid rhythms of Ireland. The “pavements grey” signifies the quintessential striated space—fixed, gridded, and measurable. In contrast, Yeats identifies a smooth acoustic space in the “lake water lapping with low sounds by the shore”. Unlike the directional, teleological noise of the metropole, the sound of Irish water is a repetitive, non-linear rhythm that exists without a coastline of beginning or end. This mirrors the primary characteristic of the Sargasso Sea: its lack of a physical coastline, defined instead by the structural mechanics of the “Gyre.” Yeats’s Innisfree is far more than a mere geographical island. It is rather the “deep heart’s core,” a space of perpetual internal swirling within the poet’s psyche. Just as the Sargasso Sea maintains its unique stasis in the middle of the Atlantic, Innisfree serves as a smooth internal space that the poet secures amidst the rigid, striated space of London’s urban sprawl. If the Sargasso Sea is a “sea-hoard” that collects the world’s oceanic debris, then Yeats’s “deep heart’s core” can be defined as an “acoustic Sargasso.” It is a transductive medium that filters out metropolitan noise and archives the rhythmic pulse of nature within the fluid depths of the self. This theoretical synthesis reveals a profound topological isomorphism.

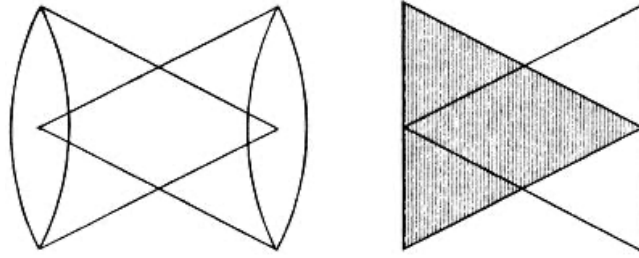


Figure V: Gyres by W. B. Yeats

3.3.3 Yeats's Gyre and Atlantic Gyre: Hydraulic Logic of the Sea

There is a structural resonance between Yeats's philosophical Gyre—a spiraling vortex of historical transformation—and the physical Atlantic Gyre, whose currents create a coastline-less sanctuary for the wreckage of time. Both gyres function as gravitational centers that pull the disparate fragments of existence into a unified, fluid motion. Within this framework, the “deep heart's core” operates as an “anaerobic archive” of the self, preserving the “lapping” rhythms of a de-territorialized identity against the rigid, striated pavements of the imperial metropole. This process is best understood through Steve Mentz's framework of “shipwreck modernity.” Steve Mentz in his *Shipwreck Modernity: Ecologies of Globalization, 1550-1719* argues that the sea should not be viewed as a stable surface for imperial transit, but as a site of unpredictable “vulnerability and flux,” where the shipwreck serves as the foundational metaphor for the human condition in the face of an unstable environment (xxi). Following Steve Mentz's framework of “Shipwreck Modernity,” this space serves as a vessel for the “slow float” of memory.

The shipwrecked debris of urban experience is suspended and transformed rather than lost to decay. The linear progress of the land is subverted by the hydraulic logic of the sea, allowing for a poetic preservation in the anaerobic archive untouched by the corrosive “oxygen” of imperial time. The most tangible evidence for this intersection lies in the biological phenomenon of catadromous migration. Specifically, it is seen in the mysterious journey of eels that traverse thousands of miles from the freshwater lakes of Ireland to the Sargasso's depths. This instinctive pilgrimage across the Atlantic establishes a physical bridge between the Irish interior and the Sargasso's volumetric depth. This biological link proves that the “smooth” heartland and the oceanic medium are part of a single, pulsing network. Through this maritime transduction, the local echoes of Yeats's Innisfree are amplified into a global resonance. The Atlantic's vast fluidity penetrates the very veins of the island, proving that the Irish imaginary emerges as a “mediological device.” It navigates the borderless currents of a future where all coastlines have dissolved into the depths of the oceanic psyche.

3.4 The Vertical Sargasso and Transductive Resistance: Heaney's Bogland poems:

3.4.1 Irish Bog as Vertical Sargasso: Transduction and Radical Deterritorialization

While W.B. Yeats identifies a horizontal smoothness in the rhythmic “lapping” of water, Seamus Heaney locates a provertical transduction of the maritime imagination within the depths of the Irish bog. In his seminal poem “Bogland” which is the concluding poem of his 1969 collection *Door into the Dark*, Heaney redefines

Ireland not as a territory defined by a “fence” or a rigid coastline, but as a “bottomless” medium that mirrors the coastless nature of the Sargasso Sea. By declaring Ireland an “unfenced country,” Heaney utilizes a direct linguistic marker for smooth space, signaling a state of radical deterritorialization where the ground refuses the “slicing” of the imperial grid.

We have no prairies
To slice a big sun at evening—
Everywhere the eye concedes to
Encroaching horizon,
Is wooed into the cyclops’ eye
Of a tarn. Our unfenced country
Is bog that keeps crusting
Between the sights of the sun.
They’ve taken the skeleton
Of the Great Irish Elk
Out of the peat, set it up
An astounding crate full of air.

Butter sunk under
More than a hundred years
Was recovered salty and white.
The ground itself is kind, black butter
Melting and opening underfoot,
Missing its last definition
By millions of years.

They’ll never dig coal here.
Only the waterlogged trunks
Of great firs, soft as pulp.
Our pioneers keep striking

Inwards and downwards,
Every layer they strip
Seems camped on before.
The bogholes might be Atlantic seepage.
The wet centre is bottomless.
(Heaney, “Bogland,” for T. P. Flanagan)

Heaney's bog serves as the decisive antithesis to the continental and American myths of expansion. Unlike the American prairie—a quintessential striated space defined by linear progress, colonial partitioning, and the “slicing” of the grid—the bog is reimagined as “kind, black butter / Melting and opening underfoot” (lines 13–14). This is not a solid foundation for empire but a yielding medium where the terrestrial surface dissolves into a fluid interiority. By defining this geography as “unfenced,” Heaney identifies a state of radical deterritorialization. He transforms the Irish landscape into a hydraulic archive—a terrestrial manifestation of Ezra Pound's “sea-hoard of deciduous things.” Within this vertical Sargasso, the “hardware” of history—typified by “the Great Irish Elk” and “bog butter”—is not lost to time but is preserved through the “software” of the bog's anaerobic chemical composition. Unlike the continental forest that grows hierarchically toward the sun, the bog accumulates through seepage alone, acting as a transductive medium that receives the deciduous fragments of Irish history and suspends them in a state of perpetual “float.”

3.4.2 Vertical Transduction of Bogland: “The Wet Centre is Bottomless”

Applying Marc Shell's logic of Islandology, the bog functions as a “sea within the land.” If Ireland is an island situated within the striated circle of the British Isles, the bog represents a maritime medium within the island, ensuring that the nation's core remains liquid. The poem's climax—the declaration that “the wet centre is bottomless” (line 28)—mirrors the volumetric depth of the Sargasso Sea, suggesting that the terrestrial is perpetually swallowed by the maritime. In this “bottomless” wet centre, the striated surface of history is perpetually swallowed and dissolved into the smooth depths of cultural memory. This ensures that the Irish mind remains as unfenced and unmappable as the heart of the North Atlantic. The bog holes, described as “Atlantic seepage,” act as portals where the local landscape connects to the global oceanic currents. In our Venn diagrammatic model, the bog is the point where the circle of “Land” and the circle of “Sea” undergo total transduction. It functions as the mediological archive, embracing borderless oceanic currents to safeguard a “bottomless” cultural memory. By striking “inwards and downwards,” Heaney's pioneers do not find a solid limit or a final definition; instead, they find a maritime medium that resists the finite definitions of Empire. Ireland, through the bog, becomes a site of infinite interiority, proving that the identity of the island is anchored not in the soil, but in the fluid software of its own anaerobic depths.

Heaney's broader cycle of bog poems, including “The Tollund Man” and “Punishment” which were published in his 1975 collection *North*, extends the vertical transduction of “Bogland” into a profound ethical and temporal dimension. In these works, the bog is no longer just a physical site of preservation; it becomes a “Vertical Gyre” that actively swallows the striated violence of history—the ritual killings and tribal conflicts—and converts them into the smooth duration of a maritime medium. This reflects a definitive Oceanic Turn, where the terrestrial “law of the land” is subverted by the “hydraulic law” of the bog. For Heaney, the bog-bodies are not dead artifacts of a fixed past but are suspended in a state of intensive stasis within the anaerobic archive. Like the “sea-hoard” of the Sargasso, the bog functions as a mediological interface that receives the “shipwrecked” debris of human violence and archives it in a “bottomless” cultural memory, effectively deterritorializing Irish history from its local confines into a global, oceanic resonance. Furthermore, in poems like “Kinship,” Heaney explicitly reimagines the Irish landscape as a porous and liquid

entity, describing the bog as a “quick and unfenced” medium that “swallows the gateposts” of imperial ownership. This linguistic transition from the solid to the fluid mirrors the shift from a striated colonial archipelago to a smooth oceanic network. By identifying the bog’s “Atlantic seepage” as a source of national identity, Heaney positions the Irish interior as a transductive interface where the local soil is perpetually dissolved into the “borderless currents” of the maritime imaginary.

This oceanic turn allows Heaney to navigate the “wet centre” of the Irish mind as an unmappable and non-teleological space, ensuring that cultural memory is not “filed away” in the dry, striated cabinets of the state. It remains a living, fluid depth that is perpetually “missing its last definition”—an organic archive resisting against the fossilized finality of hard coal to remain a soft, transductive medium and yielding its ancient butter and skeletal elks not as dead relics, but as intensive presences within a bottomless, maritime commons.

4.0 Conclusion: Toward a Mediological Transduction of the Fluid Subject

The interdisciplinary journey from the striated pavements of London to the bottomless depths of the Irish bog reveals that the maritime imagination is not merely a literary theme, but a transductive mechanism of cultural memory. Through the lens of Islandology and Deleuzian spatial theory, this paper has demonstrated that the Sargasso Sea functions as the definitive hydraulic archive. It is a site where the “hardware” of imperial history—its legal grids, colonial boundaries, and teleological facts—is shipwrecked and dissolved into the “fluid software” of a smooth, oceanic medium. The evolution of this maritime aesthetics—from the nautical myths of Jules Verne to the radical deterritorialization in Ezra Pound and Jean Rhys—marks a definitive Oceanic Turn in the modern mind. We have seen how the Sargasso’s “coastless” nature provides a topological model for the “Smooth Island” of Ireland. In the poetics of W.B. Yeats and Seamus Heaney, Ireland emerges as a transductive interface: a “Sargasso of the North” that resists the finite definitions of Empire by anchoring its identity in the vertical and horizontal currents of the Atlantic. The biological migration of eels and the anaerobic preservation of the bog serve as material evidence that the Irish interior is inextricably linked to the global maritime commons.

This paper proposes that the modern self is a “Vertical Sargasso”—a rhizomatic network that archives the deciduous fragments of experience without the need for terrestrial “fencing.” In our contemporary digital age, where information flows in borderless, non-linear streams, the logic of the Sargasso Sea becomes more relevant than ever. The “negative pleasure” of the sublime encounter with the vastness of the archive no longer results in the impotence of the subject, but in a new form of fluid sustainability. As we navigate the “wet” currents of a world where all geographical and conceptual coastlines are dissolving, the Sargasso Sea remains the primary mediological device. It teaches us that the “deep heart’s core” is not a fixed territory to be owned, but a bottomless centre to be inhabited. In this maritime future, history is not a record to be filed away in the striated cabinets of the past, but a living, circulating depth that remains, in the words of Heaney, perpetually “missing its last definition”.

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Notes

① Gilbert Simondon, in his seminal essay “The Genesis of the Individual” (1992), challenges traditional ontogenesis by redefining the individual not as a static result but as a perpetual process of “individuation” (297). To explain the dynamic mechanism of this becoming, he introduces the concept of “transduction” (311), defined as a physical, biological, or spiritual operation by which an activity propagates itself from point to point within a given domain, progressively structuring the field as it moves. In this study, Simondon’s framework provides the mediological basis for understanding how the “shipwrecked” fragments of imperial history undergo a structural state-change within the Sargasso archive, evolving into a new, fluid maritime identity.

② Tate Britain. “Fishermen at Sea (Commentary).” *Tate*, 2010, <https://www.tate.org.uk/art/artworks/turner-fishermen-at-sea-t01585>.

③ Fig. 1. Fishermen at Sea, exhibited in 1796, the first oil painting exhibited by Turner at the Royal Academy https://upload.wikimedia.org/wikipedia/commons/0/0d/Joseph_Mallord_William_Turner_-_Fishermen_at_Sea_-_Google_Art_Project.jpg

④ The following figures are from Wikipedia: Figure II The Great Atlantic Sargassum Belt and Figure III Lines of sargassum in the Sargasso Sea https://en.wikipedia.org/wiki/Sargasso_Sea

⑤ Marc Shell, in *Islandology: Geography, Rhetoric, Politics* (2014), defines “Islandology” as a transdisciplinary inquiry into the geographical and rhetorical logic of islandhood. Shell contends that islands are not mere isolated landmasses but complex intersections of national sovereignty and maritime fluidity (3), functioning as a “liminal threshold” between the continental mainland and the “oceanic void” that perpetually challenges the legal and ontological boundaries of the state (5–7). While Shell does not explicitly employ the term “Venn diagram,” his analysis provides a rigorous conceptual framework for utilizing this mathematical model to formalize his intuition of the “half-and-half” identity. In this study, the Venn diagram serves as a transductive representation of the precarious intersectional identity of the Caribbean, as well as the complex, overlapping relationship between Ireland and the British Isles, where sovereignty and fluidity coexist in a state of inclusive exclusion. [https://commons.wikimedia.org/wiki/File:British_Isles_Venn_Diagram-en_\(2\).png](https://commons.wikimedia.org/wiki/File:British_Isles_Venn_Diagram-en_(2).png)

***“This paper utilized Gemini 3 Flash for its generative capabilities in translating the abstract into Chinese, refining the mediological and maritime frameworks, and auditing bibliographic accuracy. While the AI assisted in linguistic clarity and initial conceptual exploration, all literary analyses, core arguments, and academic interpretations remain original to the author.”

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The Historical Evolution of “Blue Story” in Korea Focusing on Fiction, Film, and Drama of the Twentieth and Twenty-first Centuries

Dae-geun Lim

Abstract: This paper proposes “Blue Story” as an analytical framework grounded in the historical evolution of maritime narratives in Korean literature, film, and TV-OTT drama across the twentieth and twenty-first centuries, aiming to intervene in the predominantly Western-centric discourse of Blue Humanities. Given Korea’s geographical condition as a peninsula, the ocean has functioned not merely as a backdrop but as a profound narrative space where Korean society has articulated its deepest anxieties, memories, and aspirations. The argument traces the trajectory of the Korean “Blue Story” through three interconnected phases, “sea of memory,” “sea of disaster,” and “sea of care and ecology.” This paper argues that the “Blue Story” constitutes a coherent narrative genealogy through which Korean society has repeatedly negotiated its most consequential conflicts and losses. By providing a cross-medial, historically grounded framework, this paper seeks to enrich Korean cultural studies and offer Blue Humanities a vital non-Western case study that extends its theoretical horizons toward a more global perspective.

Keywords: Blue Story; Blue Humanities; Korean Story; Memory; Disaster; Care; Ecology

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题目：韩国“蓝色故事”的历史演变——以二十世纪和二十一世纪小说、电影与电视剧为中心

摘要：本文提出“蓝色故事”这一分析框架，以20世纪和21世纪韩国文学、电影、电视剧和串流剧中海洋叙事的历史演变为基础，旨在介入以西方为中心的“蓝色人文”话语体系。鉴于韩国地处半岛的地理条件，海洋不仅是背景，更是韩国社会表达其最深层焦虑、记忆和愿望的深刻叙事空间。本文通过“记忆之海”、“灾难之海”和“关怀与生态之海”这三个相互关联的阶段，追溯了韩国“蓝色故事”的轨迹。本文认为，“蓝色故事”构成了一个连贯的叙事谱系，韩国社会通过这一谱系反复应对其最具影响力的冲突和损失。通过提供一个跨媒介、以历史为基础的框架，本文旨在丰富韩国文化研究，并为“蓝色人文”提供一个重要的非西方案例研究，从而拓展其理论视野，使其走向更加全球化的视角。

关键词：蓝色故事；蓝色人文；韩国故事；记忆；灾难；关怀；生态

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In an era marked by rising sea levels, intensifying maritime geopolitics, and growing scholarly interest in the marine environment, the humanities study of the ocean has taken on a new urgency. The emergence of a distinct research paradigm, Blue Humanities, most prominently articulated by Steve Mentz (2015; 2023) in *Shipwreck Modernity: The Ecology of Globalization, 1550–1719* and subsequent works, demonstrates a growing scholarly understanding of the ocean not as a natural backdrop to human history but as a constitutive force in culture, identity, and knowledge formation. However, despite the field's rapid expansion, its theoretical frameworks have largely developed from Western-centric, Atlantic-centric sources. The regional specificities of non-Western maritime traditions and the diverse media and historical contexts through which maritime experiences are narrated remain underrepresented in these discussions (DeLoughrey). To bridge this

gap, this paper proposes the concept of “Blue Story” by analyzing the historical evolution of maritime narratives in Korean fictions, films, and TV-OTT dramas across the twentieth and twenty-first centuries.

The urgency of this intervention is heightened by several concurrent phenomena occurring in both Korean society and global culture. On the one hand, the recent rise of Korean culture through the global circulation of Korean fiction, films, dramas have provided unprecedented opportunities for Korean cultural texts to engage with international humanities discourse in their own context, rather than as exceptional objects of area studies. This has sparked renewed interest in the ecological and communal dimensions of Korean maritime traditions. These overlapping cultural, political, and ecological pressures make this a particularly opportune moment to examine how the sea has been described, imagined, and contested throughout Korean cultural history.

Korea’s geography makes this consideration particularly crucial. As a peninsula surrounded by the East Sea to the east, the South Sea to the south, and the West Sea to the west, Korea has always had an intimate relationship with water. The sea has shaped the landscape of fishing, trade, migration, and military conflict, serving as both a conduit for cultural exchange and a boundary separating connection and separation. However, the significance of the sea in Korean culture extends beyond mere geography or economics; it carries profound narrative significance. Through various eras and media, the sea has served as a space for Korean society to express its deepest anxieties, memories, and aspirations. Therefore, tracing the historical evolution of these narratives is not a study of the past; it is a crucial process for understanding how society understands itself through its stories about the sea.

Despite the wealth of available data, existing studies have fallen short of fully addressing its complexity. In Korean fiction, maritime themes have primarily been examined within the context of individual authors or regional traditions. For example, Hyun Ki-young’s approach to the trauma of the Jeju April 3rd Incident in his novel “Suni Samchon” (순이삼촌 1978) has not been analyzed within the broader context of maritime representation. The Jeju term “Samchon” transcends biological kinship; it serves as a gender-neutral honorific that weaves the entire village into a web of communal solidarity (Hyun 47). In the context of the “Blue Story,” this term functions as an ethical anchor, linking individuals through shared historical trauma and the mutual support required for maritime survival. Korean film studies have also approached ocean-centric films like “Haeundae” (2009) solely from the perspective of genre criticism or social realism, failing to theorize the ocean itself as a representational space with a historical trajectory. While recent studies of Korean dramas have begun to focus on the maritime dimension in works like *Our Blues* (2022), these studies remain methodologically isolated and fail to account for the long-term flow of maritime narratives across various media. Crucially, none of these disciplines has effectively leveraged the theoretical resources of Blue Humanities, resulting in the marginalization of Korean maritime culture from international discourse. Despite this, Korean maritime culture is well positioned to enrich this discourse.

This paper aims to fill this gap by proposing the concept of “Blue Story,” a historically evolving framework for maritime narratives in Korean cultural texts. “Blue Story” demonstrates how Korean society has articulated collective memory, overcome disasters, and imagined ecological and communal futures. “Blue

Story” is not a thematic category but an analytical framework. It questions not only how Koreans have told stories about the ocean, but also how the formal, genre, and media characteristics of these stories have evolved over time, and how these changes reveal the changing place of the sea in Korean social imagination. By proposing this concept, this paper aims to contribute in two ways. First, it provides a cross-medial and historically contextualized framework for analyzing sea representations in Korean cultural studies. Second, it broadens and deepens existing theoretical horizons by introducing non-Western case studies in the study of Blue Humanities.

This paper develops its argument around three interrelated research questions, each focusing on a different historical period and medium. First, how did late twentieth-century Korean fiction construct the sea as a space of collective memory and local identity in relation to state violence and the experiences of local communities? Second, how did Korean films of the 1990s and 2000s portray the sea as a site of disaster, war, and maritime labor, and what social imaginaries of crisis and vulnerability did these depictions produce? Third, how did Korean TV-OTT dramas since the 2010s reinterpret the sea as a space of care, solidarity, and ecological awareness, and what cultural and political functions did these reinterpretations serve? To answer these questions, this paper utilizes a research methodology that combines textual analysis, a comparison of various media genres, and theoretical contexts such as Blue Humanities, memory studies, disaster discourse, and cultural studies. By synthesizing these analytical approaches, this paper traces the overall flow of Korea’s “Blue Story” from “the sea of memory” to “the sea of disaster” to “the sea of care and ecology,” and demonstrates why this flow is important not only for Korean cultural studies but also for global maritime humanities.

1.0 Blue Humanities: The Oceanic Turn in the Humanities

The theoretical foundation of this paper is grounded in the interdisciplinary paradigm of Blue Humanities, which has emerged as one of the most productive areas in environmental and cultural studies over the past two decades. The term is generally attributed to Steve Mentz (“Toward” 997-1013), who proposed the concept of “Blue Cultural Studies” to reorient humanities research away from its traditional land-centric perspective and toward a focus on the ocean as a material, historical, and epistemological force in human life. In his seminal works, including *Shipwreck Modernity: The Ecology of Globalization, 1550–1719* (2015) and *An Introduction to the Blue Humanities* (2023), he has argued that the sea is not a backdrop to human history, but rather an environment that actively challenges anthropocentric models of knowledge, agency, and belonging, disrupting human thought processes. According to his account, the ocean is a space of “ecological entanglement,” in which the instability of water, characterized by its inability to be bounded, mapped, or possessed, becomes a productive metaphor and material fact for rethinking human culture in the Anthropocene era.

Alongside Mentz’s contributions, Hester Blum’s groundbreaking work established a complementary critical agenda. Blum asserts that “the sea is not a metaphor,” arguing that oceanographic studies should not reduce the sea to a symbol of transnational mobility but rather attend to the historical, material, and labor

conditions of maritime life. It has had a profound impact on the field's methodological orientation (Blum,). Similarly, Elizabeth M. DeLoughrey's book, *Routes and Roots: Navigating Caribbean and Pacific Island Literatures*, offered an early and fundamental challenge to Eurocentric and Atlanticist tendencies in oceanographic studies, introducing the concept of "tidalectics" to describe the cyclical and recursive relationship between land and sea that structures the epistemologies of the Caribbean and Pacific Islands. DeLoughrey's "tidalectics," borrowing from Kamau Brathwaite's concept (Kamau Brathwaite 1997), explains the cyclical movement between land and sea as a structural principle of island epistemology, a concept that holds significant implications for theorizing coastal and island cultures on the Korean Peninsula. The research of Mentz, Blum, DeLoughrey, and their collaborators has established Blue Humanities as a truly interdisciplinary field encompassing literary studies, environmental history, postcolonial theory, ecocriticism, and social science, and through this, theorizes the ocean as an ecological, social, and cultural mediating space.

Yet for all its theoretical richness, Blue Humanities as a field retains a significant structural limitation. Its empirical and textual archives have been developed predominantly through Western, and more specifically Anglophone Atlantic-centric, materials. The canonical texts of oceanic scholarship, from Melville's "Moby-Dick" to Coleridge's "Rime of the Ancient Mariner," are drawn overwhelmingly from the European and North American literary traditions, while the maritime cultures of East Asia, South and Southeast Asia, and sub-Saharan Africa remain largely outside the field's purview. DeLoughrey's work represents an important corrective in foregrounding Caribbean and Pacific perspectives, but the systematic application of Blue Humanities frameworks to East Asian maritime traditions including Korea's extraordinarily rich and historically layered engagement with the sea has yet to be undertaken in any sustained way. This paper seeks to address that gap.

2.0 Toward "Blue Story"

To theorize the Korean cases, this paper proposes the concept of the "Blue Story," a term that serves as both an extension of and a departure from the broader Blue Humanities paradigm. While the Blue Humanities, in Steve Mentz's formulation, "comprises a current of scholarly and artistic discourses that foreground human relationships with water in all its forms" (Mentz 18) by operating at the level of ecology, materiality, and the long term, the "Blue Story" focuses on the level of narrative and mediation. Specifically, it examines how specific cultural texts produced in historical moments, by industries and institutions, and for audiences have constructed the meaning of the sea within the Korean social imagination. Steve Mentz (2023: 18) further notes that "during the first two decades of the twenty-first century, an early wave of Blue Humanities writing and thinking has emerged from Anglophone literary contexts, with emphases on Atlantic, Mediterranean, and Caribbean locations. Writers in the 2020s are widening the focus to engage global, non-Western, and Indigenous materials."

"Blue Story" is thus defined as the historically evolving system of maritime narratives in Korean cultural texts, through which Korean society has articulated, negotiated, and contested the meanings of the sea across changing historical conditions. The concept has three defining characteristics that distinguish it from simple

thematic analysis or maritime regionalism.

First, “Blue Story” is inherently historical and genealogical. It insists that the meanings attached to the sea in Korean cultural texts are not stable or universal but are produced by specific historical conditions, for instance, colonial memory, civil war, industrialization, democratization, ecological crisis and that tracing the evolution of these meanings across time is itself a critical act. The trajectory this paper proposes, from a “sea of memory” in late twentieth-century fiction, through a “sea of disaster” in turn of the millennium cinema, to a “sea of care and ecology” in contemporary TV-OTT drama, is not a teleological progression but a map of the social imaginary as it responds to successive historical pressures.

Second, “Blue Story” is cross-medial. It insists on attending to the formal and institutional specificities of fiction, film, and TV-OTT drama as distinct modes of cultural production, each of which engages the sea through different representational conventions, industrial logics, and audience relationships. The sea in Hyun Ki-young’s fiction functions differently from the sea in Yoon Je-kyun’s blockbuster disaster film, not merely because the authors’ intentions differ, but because the formal affordances and generic conventions of the literary short story and the commercial disaster film shape what it is possible to say about the sea in each medium. A cross-medial approach allows the analysis to register these differences while also identifying the deeper structural continuities that connect maritime narratives across media.

Third, and most importantly, “Blue Story” is a concept rooted in the politics of memory and representation. It asks not simply what Koreans have said about the sea, but what those narratives have done, what experiences they have made speakable, what silences they have maintained, what communities and identities they have constituted or excluded. In this respect, “Blue Story” draws not only on Blue Humanities but also on the theoretical resources of memory studies, particularly the work of scholars who have analyzed the relationship between collective trauma, spatial memory, and cultural narrative. The sea in Korean cultural texts has repeatedly served as a site where national trauma is simultaneously encoded and concealed, where what cannot be said directly about state violence, mass death, or social abandonment finds expression in the imagery of islands, fog, and the deep.

3.0 The Sea as Memory and Mourning: Korean Fiction of the 1970s and 1980s

The first phase of Korean “Blue Story” takes shape in the literary imagination of the late twentieth century, a period defined by the political pressures of authoritarian rule and the simultaneous cultural imperative to recover and articulate suppressed collective experiences. In this context, the sea and the island function not as spaces of livelihood or leisure but as the primary topography of political mourning, acting as places where historical violence has been absorbed into the landscape. In these spaces, what cannot be spoken openly finds expression through imagery, the proximity of water to the dead, and the sensory textures of coastal life. Two figures dominate this phase, Hyun Ki-young, whose fiction of Jeju Island constitutes the founding document of modern Korean maritime fiction, and Han Seung-won, whose Namhae (the Southern Sea) fishing village narratives extend and complicate the sea’s symbolic function in a different register.

Hyun Ki-young’s “Suni Samchon” represents one of the most consequential acts of literary testimony in

contemporary Korean fiction. Published in the journal “Creation and Criticism” (창작과비평) at a moment when direct discussion of the Jeju April 3rd Incident in 1948 remained politically suppressed, the story inaugurated what would become a sustained literary archaeology of state violence, and its publication cost the author three days of arrest and torture by the authorities, who recognized the political charge of what Hyun had dared to put into print. Hyun Ki-young was arrested and tortured for three days following publication, and upon release he was warned never to write about the massacre again. What makes the text analytically significant for “Blue Story,” however, is not its testimonial courage but the specific way in which the sea and the island are deployed as narrative and symbolic structures.

The story proceeds through the returning narrator’s gradual reconstruction of Suni’s fate across the thirty years since the massacre. This temporal structure is central to the text’s maritime poetics. The sea in “Suni Samchon” is not a backdrop but a medium of deferred mourning, a space in which time moves differently, where the dead remain incompletely buried and incompletely known. The island’s coastline serves as the boundary between the world of living and the world of the unacknowledged dead, a liminal zone that the narrator must traverse both literally and psychologically to recover what history has submerged. The black volcanic walls of Jeju, which appear throughout the story’s landscape, reinforce this sense of the island as a place where human experience has been absorbed into the material environment, where the stone retains what the official record has erased. Suni’s fate is pieced together from youth to violent death in a field, a patch of field that literally absorbs human blood and bone, giving it a deep realism and symbolism. The volcanic black stone walls (doldam) of Jeju, which appear throughout the text, intensify this symbolic function of the landscape as a material archive of suppressed memory. Crucially, the sea’s function here is not cathartic but structural, in that it does not resolve mourning but maintains it in suspension, ensuring that the violence of 1948 continues to exert pressure on the present.

This use of maritime space as a medium of unresolved historical consciousness distinguishes Hyun’s work sharply from the maritime imagery of earlier Korean modernist fiction, in which the sea had more often served as a figure of romantic yearning or cosmopolitan aspiration. In Hyun, the sea is saturated with political history; it is a space of what Pierre Nora might call “lieux de mémoire,” (Pierre Nora 1989) sites where memory crystallizes precisely because living memory has been interrupted by violence and silence. The concept of “lieux de mémoire” is particularly applicable to the island as representational space in Korean fiction, insofar as the historical interruption of community memory by state violence is precisely the condition that transforms the landscape into a site of compensatory memorial significance. The island is not a place one can inhabit innocently; its geography is a palimpsest, layered with the traces of a past that the South Korean state had worked systematically to suppress.

Han Seung-won’s fiction of the southern coastal region, particularly the fiction “Ajeaje Baraje” (아제아제 바라아제, 1985) set in and around the Namhae fishing communities, extends the sea’s symbolic range in a different direction. Where Hyun’s ocean is weighted with political trauma and the ethics of testimony, Han’s sea is organized by the rhythms of labor, seasonal change, and Buddhist cosmology. The fishing village in Han’s work is a space where existence is understood cyclically rather than historically,

exemplified by the net cast and drawn, the catch abundant or scarce, and the tide rising and falling. The sea here does not record political events but organizes a fatalistic relationship to time and contingency that Han identifies with the Buddhist notion of impermanence, “mujeong”(無情), the indifferent flux of all phenomena.

Yet to read Han’s maritime vision as simply quietist or depoliticized would be to misread it. The fishing communities of his fiction are spaces of social stratification, gendered labor, and economic precarity; the sea that sustains them is also the sea that claims lives without explanation or recompense. The dialect of the south coast, which Han preserves with extraordinary fidelity in his prose, marks these communities as regional, marginal, and outside the cultural authority of Seoul-centered modernity. In this sense, Han’s maritime fiction participates in a politics of regionalism, in which the sea becomes a figure for forms of experience and knowledge that mainstream Korean culture systematically overlooks. While Hyun’s ocean is a site of suppressed political memory, Han’s represents a site of suppressed cultural memory, which encompasses a way of life organized by temporal rhythms, ecological relationships, and epistemological priorities that differ from those of industrial capitalism and nationalist modernization.

Together, Hyun and Han establish the foundational terms of the first phase of the Korean “Blue Story,” defining the sea as a space of collective mourning, political silence, and regional identity. Their works demonstrate that in the late twentieth century, the Korean ocean was above all a space of what this paper calls “deep memory,” the memory that has been forced below the surface of official discourse and that finds expression not through direct statement but through the mediation of landscape, imagery, and the materiality of coastal life.

4.0 The Sea as Disaster: Korean Films of the 1990s and 2000s

The second phase of Korean “Blue Story” emerges in the cinema of the 1990s and 2000s, a period marked by the democratization of Korean society, the traumatic experience of the 1997–1998 IMF financial crisis, and the rapid industrialization of the Korean film industry into one of the world’s most commercially ambitious and artistically distinguished national cinemas. In this context, the sea undergoes a dramatic representational transformation, whereby it becomes a space not of memory and mourning but of acute crisis. In this crisis, natural, economic, and military forces beyond human control reveal the precariousness of individual lives and the failures of state and social institutions. The “sea of disaster” that characterizes this phase is produced through the formal resources of multiple genres, including the war film, the disaster blockbuster, and the social realist thriller. Park Kwang-su’s “I Want to Go to That Island”(그 섬에 가고 싶다, 1993) establishes an early and important bridge between the memory-oriented literature of the preceding phase and the more explicitly disaster-inflected cinema that follows. The film follows a mainland journalist who travels to a remote southern island to investigate the legacy of wartime violence, discovering a community that has lived for decades in the shadow of unacknowledged violence. The island here functions as a kind of spatial archive, which preserves in its geography and in the bodies of its aging survivors a version of history that the mainland has preferred to forget. The sea surrounding the island is a figure of enforced isolation, in which the water that separates the island community from metropolitan Korea is the same water that has preserved their traumatic

memory intact, keeping it unassimilated into the narratives of national development and democratic progress. In formal terms, the film's persistent long shots of the sea, which appear gray, flat, and featureless, function as visual correlatives of the silence that surrounds suppressed historical truth. This is because the sea here is not spectacular but oppressive, serving as a medium of enforced forgetting rather than of natural beauty.

The shift toward the spectacular "sea of disaster" is most fully realized in Yoon Je-kyun's *Haeundae* (2009), which holds the distinction of being the first major Korean disaster film and remains one of the most commercially successful Korean films ever produced, attracting over 11 million admissions in domestic release alone. (KOBIS^①) The film's narrative is organized around the imminent arrival of a megatsunami at Haeundae Beach in Busan, the country's most popular coastal resort. What is analytically significant for "Blue Story" is not the tsunami itself but the representational logic that governs the film's relationship to the sea in the long pre-disaster section that occupies its first two-thirds.

Haeundae begins by establishing the beach as a space of leisure, consumption, and aspiration, being crowded with vacationers, animated by commerce, and suffused with the pleasures of summer. The coastal community depicted is sharply stratified, where the local fishermen and service workers who inhabit the permanent economy of Haeundae are distinguished from the wealthy urban tourists who temporarily occupy it. This stratification represents one of the film's central social concerns. Man-sik, the protagonist, is a local fisherman who has not returned to the sea since he accidentally caused the death of his girlfriend's father during a deep-sea expedition four years earlier. His guilt-stricken withdrawal from the ocean sets up one of the film's central structural ironies, in which the man most attuned to the sea's dangers is also the man most psychologically unable to confront it. This backstory establishes that the sea in *Haeundae* is never simply a natural environment but always already a space of moral consequence and social obligation.

When the tsunami arrives, the film's representational logic shifts dramatically. The spectacular CGI sequences that depict the wave's destruction of Haeundae's coastline, which drew considerable attention for their technical sophistication, are not merely generic spectacles. They function as a collapse of the social hierarchies that the pre-disaster section had carefully established, as the tsunami does not distinguish between tourist and resident, rich and poor, or the guilty and the innocent. While the ocean's violence is, in this sense, leveling, the film qualifies this democratic disaster by distributing its sacrificial deaths with considerable precision. By ensuring that the most socially marginal characters survive and the most self-sacrificing die, the film follows a pattern that reinforces rather than disrupts the social and emotional hierarchies of melodrama. (Linda Williams 1991) The sea of disaster in *Haeundae* ultimately confirms rather than transforms the social order, offering national catharsis through spectacular destruction while preserving the familial and communal values it temporarily threatens.

Shim Sung-bo's *Sea Fog* (2014) approaches the "sea of disaster" from a fundamentally different direction, one that is less concerned with spectacular catastrophe than with the slow, structural violence of economic desperation and moral degradation. The film is adapted from a 2007 stage play based on the true story of the 2001 Yeosu incident, in which 25 Korean Chinese undocumented migrants suffocated to death in the storage tank of a fishing vessel; their bodies were subsequently dumped into the sea by the crew. In transposing this

event to the period of the 1997–1998 IMF financial crisis, the film insists on the structural causality between economic collapse and moral catastrophe, presenting the captain’s decision to take on the illegal commission not as individual wickedness but as the desperate response of a man whose livelihood has been destroyed by forces entirely beyond his control.

The *Sea Fog* of the title is one of the film’s most precisely deployed symbolic elements. The sea fog that descends on the vessel mid-voyage is simultaneously a meteorological phenomenon and a moral condition, as it disorients navigation, renders visibility impossible, and fosters an environment where the crew’s moral compass begins to fail. Cinematographer Hong Kyeong-pyo, working in a very different register from the CGI spectacle, uses the fog to create a visual environment of claustrophobic enclosure, whereby the open sea, despite its promise of space and perspective, is transformed into a prison without walls. It becomes a boundless environment that paradoxically traps its occupants in an ever-shrinking moral space (Maggie Lee²). The fish storage tank in which the migrants are hidden, a confined and oxygen-depleted space below the waterline, figures as the logical endpoint of this progressive enclosure insofar as the sea becomes the literal medium of death for those to whom it had once promised escape and possibility.

What *Sea Fog* adds to the grammar of Korean “Blue Story” is a thoroughgoing critique of the structures of globalized maritime capitalism. The decaying fishing vessel, the indebted captain, the exploited crew, and the undocumented migrants seeking better lives represent a precarious maritime existence. Together, these figures constitute a social world organized by economic desperation and the systematic abandonment of the vulnerable by state and market alike. The sea in this film is not a site of natural disaster but of structural disaster, a space where the violence of the economic system is concentrated and made visible in its most extreme form. This represents a significant deepening of the representational logic established by *Haeundae* where Yoon’s film used the disaster genre to stage a cathartic national drama of sacrifice and survival, Shim’s film uses maritime realism to indict the social conditions that make such disasters not merely possible but inevitable.

5.0 The Sea as Care and Ecology: TV-OTT Dramas of the 2010s and 2020s

The third and most recent phase of Korean “Blue Story” is defined by what might be called an “ecological turn” and “ethical turn” in the representation of the sea, a shift from the logics of memory and disaster toward a sustained concern with the practices and structures of communal care, intergenerational solidarity, and ecological coexistence. This turn is most fully realized in the Korean TV-OTT drama of the 2010s and 2020s. As a medium defined by seriality, ensemble casting, and the slow development of character networks, it is particularly well-suited to depicting the textures of community life and the complex interdependencies that organize coastal social worlds. The dramas examined in this section share a common representational logic. In other words, they position the sea not as a threat to survive or a trauma to be processed, but as a medium through which forms of human and human-nonhuman solidarity become possible.

Noh Hee-kyung’s *Our Blues* (우리들의 블루스) is the most ambitious and analytically rich text of this phase. Structured as an omnibus drama in which each narrative arc focuses on a different character or pair of

characters within the overlapping social world of Jeju Island's coastal community, the series refuses the hierarchies of centralized protagonism that conventional TV drama imposes. No single story is privileged over the others, and the community itself, for instance its fish market, its "haenyeo" collective, its fishing port, its web of long-standing relationships and half-buried grievances functions as the drama's true subject. This formal structure is not merely a narrative device but an ethical one. It embodies the principle of equal attention that the drama thematizes throughout, manifesting as a resolute refusal to rank lives by social utility or dramatic convenience.

The "haenyeo," the traditional female divers of Jeju who harvest abalone and other seafood through breath-hold diving without oxygen equipment, occupy the symbolic and ethical center of the drama. Their practice is depicted with unusual specificity and respect. The series meticulously documents the preparation rituals, the arduous underwater labor, the "bulteok," (the communal warming shelter where "haenyeo" gather before and after diving) and the deep-seated collective solidarity that sustains their working community. The "bulteok" is particularly significant as a spatial figure. Situated at the literal margin of the sea, this space of female sociality and mutual support allows the harsh demands of underwater labor to give way to the warmth of shared experience, gossip, generational knowledge, and emotional sustenance. In representing this space with care and precision, *Our Blues* makes an implicit argument about the forms of care that are systematically rendered invisible by the dominant narratives of capitalist productivity.

The figure of Ok-dong, a widowed "haenyeo" whose daughter died while diving, crystallizes the drama's thematic concerns with force. Ok-dong's relationship to the sea is defined by a profound ambivalence; while the ocean has taken her daughter from her, she nevertheless continues to dive, participating in the collective life of the "haenyeo" community and drawing sustenance from the ecological and social world that the sea makes possible. This ambivalence refuses the binary of the sea as either beneficent or destructive; instead, it presents the ocean as an environment that demands ongoing negotiation, a space in which human beings are permanently vulnerable and permanently sustained, simultaneously at risk and held by ecological and communal structures that exceed individual control. Shot with a visual attentiveness that borders on reverence, the drama's most powerful sequences are those in which Ok-dong and her fellow "haenyeo" enter the water together. These scenes figure the act of diving not as labor but as a form of communion with both the nonhuman world of the ocean floor and the collective body of women who have performed this practice across generations.

Hometown Cha-Cha-Cha (갯마을 차차차 2021) approaches the sea of care from a different angle, one more explicitly concerned with the conditions of possibility for sustainable community life in an era of rapid urbanization and the decline of fishing economies. The drama's coastal village, Gongjin, is presented as a space that has survived the tourist gaze and the logic of urban development without being entirely transformed by either. The village effectively preserves its fish market, aging fishermen, and communal rhythms and values, even as it opens itself to new arrivals from the city. The tension between these two modes of inhabiting the coastal environment, that is the extractive, tourist-oriented economy of "Gongjin as destination" and the subsistence-oriented, communally embedded economy of "Gongjin as home" organizes much of the drama's

social conflict.

The sea in *Hometown Cha-Cha-Cha* functions primarily as a guarantor of communal continuity. It is the element that keeps the village anchored to its way of life, resistant to the homogenizing pressures of urban modernity. The daily rhythms of the fishing community, the early-morning departures, the market stalls, the shared meals of fresh catch, are presented as forms of ecological intelligence, ways of living that are calibrated to the rhythms of the nonhuman world rather than to the imperatives of capital accumulation. This is a representational politics that, while romanticizing the fishing village to some degree, nonetheless performs an important cultural work. It insists on the value of forms of knowledge and practice that industrial modernity has systematically devalued, and it positions the sea as the ground of a countermodernity organized around sufficiency, reciprocity, and care.

Taken together, the dramas of this phase reveal a significant shift in the cultural work that the sea is called upon to perform within Korean “Blue Story.” Where the literary texts of the late twentieth century used the ocean to mediate suppressed historical trauma, and where the films of the following decades deployed the sea as a space of spectacular disaster and structural violence, the dramas of the 2010s and 2020s reconstruct the ocean as what Nel Noddings (1984) might call a “space of caring relations,” an environment in which the ethical imperatives of attentiveness, responsibility, and mutual sustenance are made visible and affirmed. The application of care ethics to ecological and spatial contexts has been developed in Joan C. Tronto (1993). This shift is not merely aesthetic, in that it registers a broader cultural turn in Korean society toward the reassertion of local ecological knowledge, feminist care ethics, and communal forms of solidarity in the face of the alienations produced by decades of rapid capitalist development. The sea has not ceased to be a space of risk and loss; but it has become, in the hands of these drama writers and directors, a medium through which a different social imaginary, organized by care rather than by competition, by ecological attentiveness rather than by extractive exploitation, can be articulated and shared.

6.0 Conclusion

The trajectory traced in this paper, from Hyun Ki-young’s island of suppressed mourning, through the disaster-saturated oceans of Korean blockbuster and social realist cinema, to the caring, ecologically attentive seas of contemporary TV-OTT drama, constitutes more than a chronological survey of maritime representation. It constitutes, this paper has argued, a coherent and historically legible narrative genealogy. The “Blue Story” has been through which Korean society has repeatedly returned to the ocean as the site where its deepest conflicts, losses, and aspirations find cultural form. The concept of “Blue Story,” as developed here, is not a thematic label but an analytic framework, and the argument this paper has advanced on its behalf has implications that extend in several directions simultaneously.

The first implication concerns the internal architecture of Korean cultural studies. This paper has demonstrated that the representation of the sea in Korean fiction, film, and drama is not a peripheral or incidental matter but a central and structurally significant dimension of Korean cultural history. The sea has served, across the period examined here, as a privileged medium through which experiences that resist direct

articulation, for instance, state violence, economic catastrophe, social abandonment, ecological crisis, find narrative expression and cultural transmission. To read Korean cultural texts without attending to their maritime dimensions is to miss a constitutive layer of their meaning. The concept of “Blue Story” provides Korean cultural studies with a cross-medial, historically grounded framework for recovering this layer, one that can situate individual texts within the longer arc of a shared narrative tradition that has evolved in response to the successive historical pressures of the Korean twentieth and twenty-first centuries.

The second implication concerns the relationship between “Blue Story” and the broader theoretical paradigm of Blue Humanities. Working across many disciplines, Blue Humanities challenges the cultural primacy of standard sea narratives and promotes disanthropocentric discourses about water ecologies. “Blue Story,” as this paper has elaborated it, is fully consonant with this ambition, but it pursues it through a specifically narrative and medial methodology that the broader paradigm has not yet fully developed. Blue Humanities as a critical practice, especially as written by scholars from the global north, runs an ongoing risk of being co-opted by imperial maritime histories and racializing ideologies (Foucault; Culler). The Korean case study offered here represents precisely the kind of intervention needed to counter this risk by demonstrating that maritime cultures outside the Western Atlantic tradition have generated their own distinctive narrative genealogies of the sea. These genealogies engage with questions of state violence, postcolonial identity, gendered labor, and ecological care in ways that the Anglophone canon cannot fully anticipate or accommodate. Rather than applying Blue Humanities frameworks to Korean materials as if those frameworks were universal, this paper leverages Korean materials to identify the limits of existing frameworks, proposing necessary revisions that make Blue Humanities more genuinely global and more attentive to the historical specificity of non-Western maritime cultures.

The third implication is theoretical, and it concerns the concept of “Blue Story” itself. This paper argues that Korean maritime narratives evolve along a trajectory from memory through disaster to care and ecology. It is important, however, to be precise about the epistemological status of this trajectory. It is not a teleological progression in which each phase supersedes and replaces the preceding one; the “sea of care” that characterizes contemporary Korean drama does not cancel the “sea of memory” or the “sea of disaster” that precede it. Rather, the three phases are better understood as sedimentary layers of meaning, each of which continues to exert pressure on subsequent representations even as new meanings accumulate on top of it. The “haenyeo” in *Our Blues* dive in a sea that is simultaneously the site of ecological sustenance and the site of political trauma, the same water that witnessed the April 3rd violent incident is now the water in which Ok-dong and her fellow divers perform their daily labor of care and survival. The genius of the best Korean maritime narrative lies precisely in this capacity to hold multiple temporal layers of meaning in suspension, to make the sea a space where history and ecology, memory and future, grief and solidarity coexist without resolution. This is what distinguishes “Blue Story” as a critical concept from simpler notions of maritime thematism. It attends not merely to what the sea means in any given text but to how different layers of oceanic meaning accumulate, conflict, and interact across the full temporal depth of a narrative tradition.

What this paper has sought to establish, above all, is that the sea is not a peripheral concern for Korean

cultural studies but its very core, a space in which the most consequential questions about Korean identity, history, and futurity have been repeatedly negotiated and contested. “Blue Story” is the name this paper proposes for the narrative tradition through which that negotiation has taken place, and for the analytical framework through which it can be most productively studied. In a world where the oceans are simultaneously under unprecedented ecological pressure and more central than ever to human political and cultural life, the humanistic study of maritime narratives is not an academic luxury but an urgent necessity. Korean “Blue Story,” with its extraordinary richness of historical experience and its remarkable range of narrative and medial resources, has much to contribute to that necessity, which in turn supports the broader project of imagining more just and ecologically sustainable relationships between human societies and the sea.

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Notes

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Cultural Predicaments of Polar Maritime Communities in *Dogsong*

Zhu Hua, Wang Lei

Abstract: *Dogsong*, a Bildungsroman featuring an Eskimo youth, was published in the mid-1980s, a period when Arctic issues were drawing increasing global attention. The novel adopts innovative narrative forms to represent real-life predicaments faced by Arctic indigenous peoples as well as cultural resilience, which earned the novel the Newbery Medal. The novel's concern with the deterioration of Arctic cultural ecology constitutes its overt social significance, while its underlying shamanic soul-journey narrative structure consolidates this significance. During the dark adventure over the ice, dreams and reality blend into each other, revealing a history of Arctic survival that relies on oral tradition rather than written records. In the novel, dreams, hallucinations, running, and the human–animal transformations serve as impressionistic representations of the shamanic trance state. By reshaping Arctic cultural practices and shamanic cosmology in modern forms and presenting contemporary indigenous life in a manner accessible to readers, the novel develops a distinctive strategy for addressing cultural dilemmas.

Keywords: *Dogsong*; Gary Paulsen; Shamanism; Eskimo; Bildungsroman; Arctic Maritime Culture

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题目：《雪橇犬之歌》：极地海洋民族的文化困境

摘要：以爱斯基摩少年为主角的现代成长小说《雪橇犬之歌》，出版于北极问题备受关注的 1980 年代中期，因其精确反映极地海洋原住民的现实困境，并运用独特的叙事手法呈现走出困境的文化努力而获得纽伯瑞文学奖。从人类学视角来看，小说对北极文化生态恶化的关注是其外显的社会意义，而深层的萨满灵魂旅行叙事结构则以美学的方式巩固了小说的社会意义。在北冰洋的极夜历险中，梦境与现实无缝切换，展现没有文字记载依靠口口相传的北极生存史。小说中梦境、幻觉、奔跑、人与动物间的自由转换是对萨满进入迷狂状态的写意性呈现。将北极特有的文化习俗与萨满宇宙观进行现代形变，以读者可以理解的方式由表及里地呈现当代原住民生活，是小说解决文化困境的独特手法。

关键词：《雪橇犬之歌》；加里·保森；萨满；爱斯基摩；成长小说；极地海洋文化

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Literary representations of American ethnic minorities, especially indigenous peoples, have long been marked by cultural and critical ambivalence. Authors often find it difficult to strike a balance in representing folk culture: while white writers may be accused of catering to colonialism and Orientalist voyeurism, ethnic minority writers may face charges of self-Orientalism pandering to mainstream curiosity. However, the distinction between Orientalist and non-Orientalist writing lies not in the amount of cultural details, but in how it is presented: whether indigenous culture is treated as a cultural performance—gathering or documenting cultural symbols merely to highlight cultural exoticism—or treated as a dialogical entity approached with respect to reveal its cultural spirit and vitality. As long as the deep structures of indigenous culture are grasped and revitalized, and its cosmology is integrated into modern representations, with the quantity of cultural symbols determined by the nature of the issues explored, Orientalism can be contained within manageable limits. This demonstrates the deepest respect for indigenous culture and simultaneously dismantles oppositional thinking of self/other and modern/primitive.

With regard to successful literary representations of Native Americans in the United States, whether in the works of Native American writers such as N. Scott Momaday's *House Made of Dawn* (1968) and Leslie Marmon Silko's *Ceremony* (1977), or in those by white authors such as Gary Paulsen's *Dogsong* (1985) and Jean Craighead George's *Julie of the Wolves* (1972), these texts all explore the modern existential predicament of indigenous existence from the perspective of indigenous culture. In these works, the cultural specificity of indigenous traditions is inextricably intertwined with the problem novel, constituting a form of cultural resistance to voyeuristic pseudo-folkloric representations. Simultaneously, they dismantle another myth in interdisciplinary studies of literature and anthropology—that more cultural details equal greater authenticity. The criterion for determining whether a work capitalizes on Orientalism lies not in the accuracy of cultural

details, but in the depth of its engagement with cultural spirit, since living cultures, as dynamic processes, resist claims to absolute accuracy or authenticity. From this perspective, *Dogsong* offers an illuminating case, presenting Arctic indigenous life in a manner accessible to modern readers while simultaneously challenging exoticist stereotypes. In doing so, the novel enables Eskimo culture to exist as a “living” entity within modern civilization—one that participates in a shared human community shaped by collective vulnerability, crisis, and development.

1.0 The Problematics Addressed in *Dogsong*

For thousands of years, the Eskimos, who inhabit the Arctic Circle, have occupied the lowest rung of North America’s racial hierarchy. The term “Eskimo,” derived from the Algonquin language and meaning “eaters of raw meat” and popularized by the French in the sixteenth century, reflects Algonquin cultural superiority. Because of its pejorative connotations, Inuktitut-speaking communities in Canada have adopted “Inuit” since the 1970s, with “Inuk” as the singular form. However, not all indigenous peoples of the Arctic Circle speak Inuktitut. In Alaska (USA) and Siberia (Russia), a substantial proportion of Arctic Indigenous populations speak Yup’ik, Inupiat, and Aleut. Consequently, the term “Eskimo” continues to be used primarily in the United States as a general designation for Arctic indigenous peoples, whereas “Inuit” is the preferred term in Canada. Recent linguistic research suggests that the term “Eskimo” may not originate from Algonquian languages but rather from Montagnais, spoken by indigenous peoples south of the Arctic Circle, where it refers to “snowshoe-wearing trappers” and carries no pejorative connotations.

As an ethnic group, the Eskimo peoples are generally believed to have entered the Americas approximately 8,000 years ago via the Bering land bridge during the Ice Age. Though they adapted to the harsh Arctic environment, their population has remained small, totaling about 150,000 today across the Arctic region from Siberia to Greenland (Xie 32). Traditionally, Eskimo societies practiced a nomadic hunting-based subsistence closely integrated with their natural surroundings. In the absence of agriculture or animal husbandry, there was little possibility of exclusive control over the means of production or surplus production necessary for class formation. More crucially, the extreme conditions of Arctic life demanded collective cooperation for survival. As a result, Eskimo communities maintained Neolithic modes of production and social relations for millennia, until European commercial whalers and fur traders opened the Arctic to global exchange and gradually drew Eskimo societies into the commodity economy. In contemporary contexts, wage labor has increasingly replaced hunting as the sole means of subsistence. Geographic isolation sustained Eskimo cultural continuity: despite thousands of years of separation across vast distance, different tribes retained linguistic and cultural similarities. In Canada, the Inuit territory of Nunavut was established across the three northern provinces, while in the United States the North Slope Borough was formed in Alaska. Rich reserves of oil, coal, and gas, along with fisheries, tourism, and strategic shipping routes, have made the Arctic an increasingly contested geopolitical space.

Global economic and political intrusion has posed immense challenges for the Eskimos, who moved directly from the Neolithic Age to modern society without class hierarchies or surplus accumulation, relying

on cooperation for survival. The symbiotic relationship between humans and nature, rooted in shamanic beliefs, has been shattered; subsistence hunting has been replaced by wage labor; and commodities, currency, and hierarchy have come to dominate daily life. Government-mandated settlements have replaced the seasonal, small-group camps formed for collective hunting. The widespread use of animal protection laws, hunting quotas, modern firearms, aerial surveillance, satellite positioning, and wireless communication has rendered obsolete the traditional Arctic survival knowledge passed down through generations—skills for combating storms and hunting prey. Increasingly, children are sent to boarding schools, becoming separated from their villages for long periods and losing their native Eskimo languages. The loss of language signifies a breakdown in intergenerational transmission, erasing cultural memories embedded in songs and oral narratives. The pain, confusion, anxiety, and inferiority resulting from this rapid social transformation demand attention and redress.

Against this backdrop, American literature has produced a notable body of Arctic narratives that foreground Eskimo adolescents navigating cultural rupture and coming of age, articulating their questions and anxieties from a youthful perspective. Among these works, *Dogsong*, a recipient of the Newbery Medal for children's literature, stands out for the depth of its engagement with such problematics. Its writer Gary Paulsen is himself an explorer with extensive experience living in the Arctic. He has repeatedly competed in the Iditarod Trail Sled Dog Race, a grueling competition spanning approximately two thousand kilometers, and has undertaken sustained study of Eskimo ice-field survival skills.

Dogsong is a poetic problem novel rooted in Eskimo tradition and aesthetic. Each chapter opens with an Eskimo elder recounting episodes from his own past, thereby establishing an omnipresent atmosphere of indigenous oral culture. The plot unfolds within a material environment defined by scarcity, centering on survival-oriented simplicity rather than complex emotional entanglements or interpersonal intrigue. There is no elaborate web of love and hatred, nor deception or conflict among individuals; instead, the narrative focuses on running across the ice fields and acts of rescue—rescuing those endangered on the frozen tundra, and rescuing the endangered Eskimo culture itself.

The protagonist of the novel is Russel Susskit, an Eskimo adolescent who is inwardly confused yet unable to find liberation through formal schooling. To Russel, the Christianity embraced by his father resembles the delicate rose depicted in religious posters—delicate and beautiful, but profoundly detached from the harsh realities of Arctic life. He experiences deep depression and emotional distress yet unable to identify the source of his distress. Having dropped out of school and remained at home, Russel is advised by his father to seek help from an elderly shaman named Oogruk in the settlement to dispel his inner turmoil. During the long polar night, the old man tells Russel stories of the past, leading him into earlier times and immersing him in the ancient wonders of Eskimo civilization. Russel longs to sing the enchanted shamanic songs mentioned by Oogruk, believing them to possess transformative power. Yet Oogruk tells him that only by living and hunting like traditional Eskimos, and by forging a responsive, reciprocal bond with animals, ice, snow, tundra, and sea, can one truly sing songs with magical power.

With Oogruk's guidance and encouragement, Russel begins training a team of sled dogs and abandons the rifle, replacing it with a bow and spear fashioned from whale bone and carefully ground stone blades. Day

by day, Russel gradually masters traditional hunting skills and becomes adept at handling the dog sled. Eventually, Oogruk asks Russel to take him to a lead—the edge of a fracture in the sea ice—where, facing the coming of spring, the old man allows his soul to ascend calmly into the sky. In accordance with the shaman’s final instructions, Russel embarks on a journey toward the far northern reaches of the Arctic. Relying solely on traditional bow and spear, he hunts caribou and polar bears as he presses onward. Along the way, he rescues an Eskimo girl named Nancy, who has run away from home only to become stranded in the wilderness. Carrying the gravely weakened Nancy in search of help, Russel witnesses the sun rise above the horizon as spring light finally returns; the long polar night comes to an end, and his heart is filled with renewed hope. At that moment, he seems to undergo a spiritual initiation: a Dogsong bursts spontaneously from his lips. Epic in scope and rich in content, the song overflows with profound gratitude toward all living and nonliving beings of the world. Like the shaman’s ascent of the soul, it marks a moment in which the boundaries between human and world dissolve, and the self becomes fully integrated with the surrounding cosmos.

2.0 The Modern Rearticulation of Ancient Cultures

The novel abounds in Eskimo cultural symbols, yet the writer avoids romanticizing cultural primitivism to satisfy voyeuristic curiosity. On the contrary, what confronts the reader from the very opening is the decline of Eskimo culture within a modern American context. Cultural symbols persist, but bear-skin coats are tattered, the rawhide lashings of the sled have loosened, and the sled dogs themselves have long since been abandoned. The lifeless atmosphere of the community and the severity of adolescent social problems expose a deep incompatibility between government-imposed modernization and the harsh Arctic environment. As a result, the revival of a polar cultural spirit—one forged over millennia through wind, snow, famine, and survival—emerges as an exigence and narrative promise. Yet this raises a crucial question: how can an indigenous Arctic tradition be revitalized in a manner that remains accessible and meaningful to contemporary readers?

Paulsen addresses this challenge by successfully giving concrete form to the Eskimo polar spirit and cloaking it, as it were, in a “modern garment of wind and snow”. Without producing any sense of incongruity, he allows readers to accompany Russel on his transformative journey from confusion toward clarity and self-understanding across the Arctic Ocean’s ice fields—a journey that functions as a spiritual coming-of-age ritual. Consequently, a problem novel that might otherwise have been noisy and embittered acquires instead the purity of a clear sky after a snowfall. Beneath the ice, however, lies the novel’s concretized spiritual core: Eskimo shamanic culture. Russel’s breathtaking journey across the frozen wilderness represents a modern transformation of the shaman’s soul voyage, reimagined within the narrative framework of contemporary Arctic life.

Shamanism is a special belief system rooted in animism, and in early primitive societies still struggling for survival, it assumed almost all social functions. Deriving from the Tungusic languages of North Asia, the term “shaman” means “one who transmits knowledge,” and may also be understood as a “spiritual medium” (Znamenski 1). During the Enlightenment of the seventeenth and eighteenth centuries, shamans were often dismissed in the West as “priests of the devil” and seen as enemies of reason and truth (Flaherty 23). When

James George Frazer, a pioneer of literary anthropology, divided the development of human civilization into the ages of magic, religion, and science in *The Golden Bough*, he placed shamanism squarely within the age of magic (Frazer 804–05). However, with the rise of Romanticism in the nineteenth century, which emphasized non-rational qualities such as intuition and imagination, shamans were reimagined as poets, artists, and heroes of myth (Narby 36–37). From the 1960s onward, Mircea Eliade (1907–1986) developed a psychological theory of shamanic “ecstasy,” (4) which was later expanded by Michael Harner into “core shamanism” (5–10). In this view, shamanism is understood as an individual’s entry into an “altered state of consciousness,” effectively decontextualizing shamanism and generalizing it into a psychological practice that anyone might perform. Chinese anthropologist Qu Feng points out that contemporary understandings of shamanism are entirely shaped by Western social contexts, with indigenous cultures excluded from the construction of the concept itself. He therefore advocates adopting the “native’s point of view,” proposed by interpretive anthropologist Clifford Geertz (1926–2006) (Geertz 55–70), to examine shamanism from indigenous perspectives and to understand its distinctive social functions (Qu 149).

Eliade’s theory of ecstasy is closely aligned with *Dogsong*. After entering an ecstatic state, Eskimo shamans embark on three primary supernatural journeys, depending on the needs of the specific situation: ascent to the sky, descent into the underworld, and descent into the sea. This tripartite structure is closely related to the Eskimo way of life, as most Eskimo groups migrate along the coastline, living on land in summer and hunting marine animals on the Arctic Ocean Sea ice during winter and spring. Whether flying to the moon—the most important source of light during the polar night—descending into the underworld as the primary means of exorcising spirits and curing illness, or diving deep to pay homage to the Sea Mother (Takanakapsaluk), who guarantees success in marine hunting, these journeys are all fraught with peril. The shamans recount their supernatural experiences to the community, while the people, based on the shaman’s physical changes during ecstasy—such as death-like rigidity, strange sounds and dialogues, improvised chanting of mysterious songs, and mimetic movements of diving or flying—attempt to imagine these extraordinary journeys. Shamanic rituals require specific ceremonies, in which community members act as both spectators and participants, sometimes joining together in singing, dancing, call-and-response, and drumming.

Shamanism is founded on animism, and people therefore believe that shamans, as spirit mediums, can traverse freely between the human world and other realms. For this reason, before becoming a shaman, an Eskimo must learn mystical languages, including the languages of animals, in order to communicate with spirits and animals. It is believed that during spirit communication, shamans can understand all languages, including those of animals, and possess special songs for summoning spirits and animals. After spirit journeys (*séances*), Shamans sometimes behave like animals, symbolizing their miraculous transformation into animal beings (Eliade 99). Before Christianity transformed Arctic belief systems, shamans often enacted various hunting scenes or battles between good and evil in their rituals. They would wear animal masks and abandon human form during spirit journeys, assuming the appearance of the animals represented by the masks. In this way, they vividly dramatized the relationship of (both predation and interdependence) between humans and

large terrestrial mammals of the Arctic—such as reindeer, brown bears, and mammoths—or marine mammals such as whales, walruses, seals, and polar bears.

During his northward journey, Russel frequently enters states of ecstasy. In his trance, he imagines himself as a powerful mammoth, dancing to the rhythm of the drum. In the course of the dance, he transforms again into his former self from a previous life—a nimble hunter from a thousand years ago—and with a single turn, he becomes once more a mortally wounded mammoth. Through the solo dance, he continually shifts between hunter and prey, expressing the Arctic animistic belief in which humans and their quarry can freely transform into one another, differing in outward form but sharing the same spiritual essence.

In shamanic belief systems, animals hunted by humans are regarded as spiritually equal to humans and are living beings worthy of full respect. All living things possess souls, and each animal's soul is called its *inua* (meaning "its person"). Alaska Eskimos fashion distinctive shamanic masks modeled on bears, whales, fish, birds, and other creatures. These masks represent the animal's *inua*—the "person" dwelling within each animal. By wearing such masks, humans symbolically become animals, enabling free transformation between the two. Eskimo culture abounds with transgressive legends of love and conflict between humans and Arctic animals such as whales, seals, birds, wolves, and bears.

Humans may hunt and kill the animals for sustenance and clothing, on the condition that they show ritual respect to the animal's *inua*. Under the guidance of Oogruk, Russel learns that after catching birds, one should place grass seeds in their beaks, and after killing a whale, one should pour fresh water into its mouth (Paulsen 44). An animal's body, like a human body, is merely the temporary vessel for the immortal *inua*—a metaphor especially apt for peoples who wear animal skins as clothing. Just as human souls are given new forms across generations or through successive reincarnations, slaughtered animals continually return to provide humans with clothing and food. In gratitude for the generous gifts of the *inua*, which have sustained human life for generations through animal forms, people must perform appropriate rituals of thanksgiving.

In his trance-like dream during the journey, Russel travels back thousands of years to a prehistoric era when mammoths still roamed the Arctic Circle. Accompanied by drumbeats and the repetitive choral responses of his people, he enters a primordial state of profound harmony with nature. In this state, he forms bonds with animals, comprehends their language and modes of thought, and dons animal skins to allow their spirits to inhabit his body. Ultimately, the animal bestows upon him a song, which he later uses to summon prey. Mircea Eliade observes that every shaman possesses a song that belongs exclusively to him, and that no one else is permitted to perform it, since each song originates from a unique and irreproducible spiritual journey (290). This insight helps explain why Oogruk refuses to teach Russel his song, instead implying that the boy must one day acquire his own through personal spiritual experience.

Because the Eskimo people traditionally lacked both written language and musical notation, chanting in ritual contexts was largely improvised. Shamans and audiences interacted through rhythmic drumming, whose regular patterns generated an atmosphere capable of inducing bodily trance and situational hypnosis, thereby facilitating healing or exorcism. The content of these songs derived from visions and events perceived during ecstatic states. As narrative "story songs" endowed with rhythm and melody, they conveyed these experiences

in an easy and engaging manner. Regarded as possessing sacred qualities, such songs were considered unique and non-replicable, which further explains Russel's longing for a song of his own.

Chanting constituted an integral part of the shaman's journey to the spirit world on behalf of the community, while serving simultaneously as a means of reporting these otherworldly experiences. As such, it formed an essential part of the tribal collective memory. The uniqueness of these songs, combined with the absence of written records, rendered them ephemeral, often disappearing with their creators. Yet precisely because oral transmission was the sole means of preserving tribal history and communal experience, these personal songs were treated with profound reverence.

Extraordinary events such as natural disasters, famines, and intergroup conflicts were preserved, transmitted and circulated through songs. Although constrained by rhythm and length, and therefore unable to convey extensive details, these songs ensured the transmission of essential narrative frameworks through their memorable melodies. They also allowed ample interpretive space for successive generations, enabling each to adapt the narratives to contemporary circumstances. In this way, such songs played a crucial role in preserving and passing down the tribe's spiritual heritage. From the late nineteenth century onward, anthropologists and Arctic explorers, including the Danish scholar Knud Rasmussen (1879–1933), began to document these oral histories, thereby leaving a rich invaluable cultural legacy.

In the communal houses of their villages, Eskimos performed drumming—usually using seal-skin drums struck with bone mallets—while singing and dancing. Various events experienced by the tribe were reenacted through these performances. Guided by changing rhythms, the shaman-performer entered a trance-like state and gradually led the audience into a similar spiritual immersion, producing an experience akin to soul ascension. Upon the conclusion of these rituals, anxiety and interpersonal tension were often alleviated, negative emotions released, and psychological balance restored—an outcome crucial for survival under the harsh conditions of polar night. At the same time, important and unusual events in tribal life were preserved in collective memory, providing insight into indigenous values and ways of thinking as well as valuable historical material for contemporary scholarship. *Dogsong* employs a dream-vision narrative in its depiction of ritualized dances the young Russel runs across the barren tundra in extreme hunger and exhaustion, he repeatedly falls into dreamlike states resembling shamanic soul journeys. This approach helps avoid the narrative, logical difficulties of representing trance rituals in contemporary writing, while the dreamlike nature of memory also becomes more accessible to modern readers.

As spring approaches, Russel leaves Barrow, the northernmost human settlement in Alaska, and continues traveling northward across the sea ice. In effect, he is walking away from the sun. This journey into darkness forms a parallel structure with the shaman's trance-induced voyage to the realm of their ancestors for exorcism and spiritual healing. Russel embarks on this journey in order to resolve his inner confusion and to identify the causes of the decline of Arctic life. Exhausted yet relentless, he runs ceaselessly under the moonlight, entering a dreamlike state that resembles the shamanic pursuit of knowledge. Generally speaking, after entering a trance, shamans often encounter the spirits of their ancestors and receive their guidance. They may also struggle with evil spirits in dreams in order to save the afflicted. When Russel enters his dream state, he

witnesses his heroic self from thousands of years ago battling mammoths. He experiences familial warmth, courageous hunting, communal celebrations, shamanic singing and dancing, and devastating famine. This is a history of the Arctic without written records or clear chronology, preserved only in Eskimo oral tradition. Through these visions and hallucinations, Russel perceives the spiritual foundation that has sustained the Eskimo people in their tragic struggle for survival, and recognizes their indomitable spirit, which justifies his physical journey across the ice through an imaginary or hallucinatory reconnection with history. By tracing his roots in such a manner, he repairs the broken chain of history—a metaphor of ancestral guidance.

Although misfortune has been a salient feature of Eskimo life, they have also forged enduring resilience. Today, thanks to modern commercial logistics, the Arctic Circle in Alaska no longer faces the threat of famine. Instead, people suffer from spiritual confusion and a lack of emotional anchorage. Is survival in a modern industrialized environment more difficult than facing the threat of food shortages? After Russel captures the polar bear—the “king of the sea ice”—he has symbolically completed his coming-of-age ritual in the traditional sense. Moreover, his rescue of Nancy, a runaway girl, on the ice suggests that he will become a modern-day spiritual shaman. He is thus positioned to contribute to addressing the modern “diseases” of spiritual disorientation among his people, since one of the shaman’s main roles is to act as a medicine man and healer. It can be anticipated that Russel’s future quest and service to his community will take place in a modern, demystified way. Drawing on his understanding of tribal traditions and values, he will work toward restoring cultural confidence and spiritual strength while adapting to modernization.

One must possess inherent talent to become a shaman. According to Mircea Eliade, those selected as apprentice shamans are often required to meet certain special conditions and may even exhibit signs of mental abnormality (33). Russel’s confusion with the present, his aversion to the noisy elements of modern life, and his curiosity about the marginalized elderly shaman lead him to interact closely with the latter. These traits endow him with certain qualities necessary for becoming a shaman. It is precisely in this regard that Oogruk quietly assumes the role of mentor, preparing Russel as his successor. In the former’s traditional conception, shamanic spiritual and healing powers are inseparable from Arctic traditions. Such powers seem to require traditional artifacts as mediums. So he encourages Russel to wear traditional fur clothing, such as Arctic ground squirrel underwear, bear-skin trousers, seal-skin boots, and caribou-skin coats. He also urges Russel to hunt with traditional bows and spears rather than firearms, and to use dog sleds instead of noisy snowmobiles.

As Russel gradually masters various traditional skills, Oogruk decides to complete the sacred shamanic succession ritual before the spring sun dispels the polar night. He asks Russel to pull him by sled to the edge of the fractured sea ice (the lead), where he passes away peacefully as the faint spring breeze blows. His passing is silent, sacred, and serene. It is as if he has left this physical shell behind in the snow and ice, while his soul has ascended to become a celestial eye watching over and protecting Russel’s journey toward the far north. As Russel turns away from the emerging southern horizon and heads into the depths of polar darkness, his journey once again forms a parallel with shamanic otherworldly travel. Notably, the author replaces the mysterious shamanic soul journey with an adventure narrative that modern readers can readily comprehend.

In so doing, the metaphorical birth of a modern shaman is embedded in a coming-of-age novel that depicts both harmonious coexistence and constant conflicts between humans and animals. Through the narrative form of travel, the novel presents a psychological journey from immaturity to maturity, creating an accessible and effective interaction between inner transformation and external spatial movement. At the novel's climax, Russel speeds toward the North Pole with the recovering Nancy. Inspired by a spiritual awakening, he cannot help but sing aloud a song about dogs, the ocean, the snowfields, the aurora, and the mysterious interconnectedness of all things in the universe.

Dogsong uses dogs, which are central to Eskimo life, as a starting point, exploring how Eskimo culture can adapt in the age of industrialization. Drawing on oral tradition and cultural memory, it presents the shamanic soul journeys as a parallel narrative structure. Under the rising sun, the winding tracks carved by the sled across the snowfield resemble an ever-expanding musical score, while the racing dogs emerge like leaping notes upon it, galloping and extending toward an unknown future. Guided by his sled dogs, Russel finally discovers his own song amid the rebirth of all things. He runs and sings at the same time, praising dogs and celebrating all living beings in an all-encompassing hymn. This song signifies cultural rebirth and constitutes the self-song of a new generation. It suggests that Russel has found a path for his people's future. Although his song echoes the late shaman's prophecy, he inherits this legacy only symbolically. By moving beyond the traditional shaman's limited role, he reshapes the spiritual power of shamanism. While striving to preserve the spiritual core of Eskimo culture, he fully embraces the conveniences brought by modern productive forces, allowing material life to modernize appropriately. Rather than seeking a return to the past, he endeavors to maintain the integrity of this spiritual essence and integrate it with modern culture, making Arctic life safer and more fulfilling.

3.0 Contemporary Cultural Predicament of Indigenous Peoples

Because elders in Eskimo communities had shorter life expectancies and the population grew rapidly in recent decades, young people made up a large proportion of the population in the late twentieth century. By centering the novel on adolescents, Paulsen not only reveals the social reality of Eskimo settlements but also highlights the most urgent issues of cultural transformation within these communities. In this sense, the novel represents a sincere reflection on the future of Eskimo culture and society. Russel's mother abandons the family, while his father manages to overcome alcoholism only through a superficial understanding of Christianity. Role models for children's development are largely absent in the community, and many adult men exist in a state of disorientation, which reveal that, after several generations of exposure to white culture, Eskimo culture has not been smoothly integrated with modern culture. The choices facing young people thus determine the future of the community. From this perspective, *Dogsong* can be regarded as a serious novel addressing Arctic social issues. The death of the last elder in Russel's community who owned sled dogs and had once served as a shaman symbolically marks the transition of Eskimo culture into a post-shamanic era.

In practice, shamanistic and other forms of folk belief rely on a form of "field effect" sustained by collective participation. The greater the number of followers, the stronger the power of psychological

suggestion. As the community of believers diminishes, the effectiveness of such beliefs gradually declines. As modern science and institutionalized religion continuously disrupt the continuity of folk traditions and suppress indigenous practices, the communal “shamanic field” is gradually weakened. Each generation of shamans feels less powerful than the previous one, while the community increasingly perceives traditional beliefs as ineffective, which leads to a collapse of spiritual faith.

With the introduction of whale-hunting quotas, Eskimos’ dependence on hunting has steadily decreased. Meanwhile, the expansion of Arctic air-defense facilities and military infrastructure has shifted the spiritual and cultural life of Eskimos to Christian churches. Under these conditions, aging shamans no longer believe it possible to enter trance states to meet the Sea Mother in the depths or to communicate with spirits (silas) in the sky to influence the weather. Oogruk regretfully tells Russel that earlier shamans could summon birds from the sky and whales from the deep sea, whereas he, having lived and aged in the twentieth century, no longer possesses such abilities. What remains are only visible ritual forms such as song and dance, along with a stubborn adherence to traditional lifestyles (Paulsen 19–21).

Historically, the fur trade and whaling industry introduced by white settlers caused irreversible damage to Arctic biodiversity. In modern times, noise generated by icebreakers, snowmobiles, and power generators has further disturbed wildlife, driving scarce species away from human settlements. As a result, no animals respond to the shamans’ calls and songs within their acoustic range, and the “field effect” has been reduced to its minimum. Under such circumstances, Oogruk’s role as a spiritual medium becomes obsolete. Rooted in animism, shamanic culture views humans as part of natural cycles, never elevated above other living beings. Once humans become detached from this ecological structure, shamanism can no longer function. With the breakdown of the ecological chain, the psychological foundations of shamanism are likewise destroyed.

Dogsong depicts intense conflicts between old and new value systems within the Arctic human-ecological environment, as well as profound transformations in perceptions of nature. In this new cultural ecology, American industrial values attempt to reshape survival patterns that had been embedded in nature for thousands of years. However, economic models and value systems based on surplus production in temperate regions are fundamentally unsuited to the Arctic environment, where material resources are extremely scarce. With the expansion of tourism, oil extraction, and mining industries, the traditional hunting economy that had sustained Arctic societies for millennia has been thoroughly disrupted. Large segments of the population have been forced into permanent settlement, becoming low-wage workers in the service and mining sectors, relying on modern commercial supply chains for food. As a result, hunting is reduced to an occasional recreational activity to supplement fresh meat. This dramatic shift in economic practices and the emergence of a new work ethic have rendered many Eskimos unable to adapt, resulting in their dependence on welfare. Social problems such as alcoholism, drug abuse, abandonment, and domestic violence have intensified, leading to high rates of crime and suicide among indigenous populations (Pan 204–16).

While education and modern skills training may alleviate the difficulties of social transformation, the localization of universal education in the Arctic has long been criticized. By copying education models from other U.S. states, schools in the North Slope Borough have failed to pass on Eskimo cultural traditions.

Moreover, because indigenous culture has largely been preserved through oral tradition rather than written records, the passing away of the older generation places this heritage at serious risk of being forgotten and lost. By excluding Eskimo culture from formal education, schools fail to cultivate cultural confidence among indigenous youth and are therefore unable to address the cultural identity issues that young people inevitably face during their formative years. The historical and cultural knowledge presented in textbooks—such as dynastic changes, political and military achievements, and world wars—offers little relevance to a people who transitioned directly from a Neolithic mode of existence into modern industrial society and whose collective memory centers primarily on cycles of abundance and scarcity in hunting resources. Even economic systems based on surplus production, along with the complex social relations they create, seem distant and unfamiliar to Eskimo communities. In their collective memory, there is no Cartesian dualistic worldview characterized by a strict separation between subject and object or by opposition to nature. Consequently, Russel gradually loses interest in formal schooling and eventually drops out of school. When people are unable to find meaning in life, they are bound to embark on spiritual exploration. As a result, departure, exile, and constant movement are recurring themes in Eskimo-related literature. These motifs externalize spiritual seeking in the form of physical journeys, constructing a narrative structure parallel to the shamanic process of acquiring knowledge and wisdom.

Dogsong offers a poetic and idealized solution to the educational challenges faced by contemporary Alaska Native children. Through Oogruk's oral narratives, traditional skills and ethnic spirit embedded in the Arctic environment are revitalized. The survival techniques and worldview he imparts to Russel are more closely aligned with the internal logic of the Arctic ecosystem and therefore provide young people with genuine knowledge and immense joy—a distinctive form of wisdom cultivated and transmitted through direct engagement with the physical environment. Returning to tradition restores the dignity of being an Arctic people and affirms a rare form of value in the age of industrialization: unity between humans and nature rather than dominance over it. In this way, it helps bridge the gap between formal education and the Arctic environment.

4.0 Conclusion

Both indigenous self-representation and representations of indigenous peoples by others share a common concern: reflection on the current state of indigenous cultures. Authors continually trace cultural origins, and the structures of their modern narratives can often be found in traditional oral forms. This embedded anthropological framework requires an analytical capacity comparable to that demonstrated by James George Frazer in *The Golden Bough*, as well as interdisciplinary thinking—particularly a solid understanding of anthropological theories and methodologies. In approaching indigenous cultures, writers and literary scholars alike must strive to approximate what Clifford Geertz describes as the “insider’s perspective” of cultural bearers. They must immerse themselves in the culture while maintaining critical distance; they must decontextualize local knowledge by translating indigenous experiences into concepts and modes of expression familiar to modern readers—rather than merely accumulating stereotypical visual and cultural symbols.

It is precisely in this respect that *Dogsong* demonstrates deep respect for Arctic indigenous culture. Beginning with contemporary cultural dilemmas, the novel first presents the anxieties and struggles of the younger generation, and then seeks solutions within the Arctic's distinctive geographical context. Rather than employing magical realism to fictionalize Arctic cultural history, the author uses the shamanic spiritual journey—a familiar, collectively remembered narrative form in Arctic indigenous culture—to narrate the ice-field adventure and spiritual growth of an Eskimo boy. While demonstrating a keen awareness of social and cultural problems, the novel simultaneously evokes readers' confidence in the possibility of a successful future transformation of Arctic culture through poetic expression. Although traditional culture continues to decline, living conditions improve slowly, and youth education remains inadequate, it is through the tension between stagnation and growth that the novel creates a powerful “song of life.”

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观海·航海智慧与想象力·海洋升华 ——中西方海洋文学的异质和同质

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摘要: 中西方的海洋文学，都与一般性文学同步形成和发展。《奥德赛》和《山海经》分别是它们的源头。不同的海洋认知和文化传统，导致中西方有不同的海洋诗学品质。但是海洋本就是浑然一体，中西方也有共同的“母亲海洋”的情感，所以中西方的海洋诗学，又有同质的存在。在“海洋升华”的共同追求中，这种同质性必将会有更多的融合。

关键词: 中西方；海洋文学；诗学品质

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Title: Gazing at the Sea: Maritime Wisdom, Imagination, and the Oceanic Sublime — Similarities and Differences in Chinese and Western Maritime Literature

Abstract: Both Chinese and Western maritime literature evolved alongside their mainstream literary traditions, with Homer's *Odyssey* and China's *Classic of Mountains and Rivers* serving as their respective fountainheads. Divergent perceptions of the ocean and distinct cultural traditions have given rise to distinct qualities in their maritime poetics. Yet, the sea itself knows no borders; a shared sentiment toward the “Mother Ocean” ensures a fundamental common ground. It is in the mutual pursuit of the “Oceanic Sublime” that this common ground is destined to foster deeper integration.

Keywords: Chinese and Western; Maritime Literature; Poetics

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“在西方叙事文学的黎明时分，荷马的奥德修斯扬帆出海了。”（科恩 1）在西方海洋文学研究的经典著作《小说与海洋》中，美国学者玛格丽特·科恩以这句文学抒情和学术判断兼备的描述，开始了对西方海洋叙事诗学的开创性构建。她认为荷马《奥德赛》既是西方海洋文学的奠基之作，也是西方一般性叙事文学的“黎明时分”。这种一般性文学和海洋文学“同源”的现象，在中国的《山海经》里也有同样的体现。明代胡应麟指出“《山海经》乃古今语怪之祖”（胡应麟《少室山房笔丛》135），《四库全书》也认为《山海经》“直小说之祖耳”（永瑢、爱新觉罗等《四库全书》551）。而《山海经》的小说元素主要体现在《海经》部分，因此《山海经》也可以被视作为“中国海洋文学之祖”（倪浓水 10-15）。

但是由于文化传统和对海洋认知及海洋实践程度的不同，东西方的海洋诗学，毕竟有审美上的差异。不过这种差异不是完全隔绝的，它们之间既有差异，也有相同，异质和同质并存。总的来看，东西方都有共同的“观海”书写现象，又有各自的“航海智慧”和“想象力”的发展路径，最终都以“海洋升华”完成殊途同归。所以说，东西方海洋书写，既自成诗学传统，却又似隐似现地交叉在一起，共同显示出海洋文学普遍性的一些规律。它们虽有不同诗学特质，但并不存在高下之分。它们都属于人类“重回海洋”的文学体验。

一、“观海”：东西方海洋书写共同的“情感源头”

所谓“观海”，就是以站在海边的视角，观赏和描述大海。这既是一种海洋体验方式，也是一种海洋书写的视角和形态。

“观海文学”在中国源远流长，是一种的常态性类型和历时性的存在。《山海经》许多海洋图景的构建和呈现，取的都是站在海边观察的视角。进入汉魏后，这种“观海”书写和抒情就显得更为普遍。署名为东方朔所撰《神异经》中“西海水有人，乘白马，……驰马西水上，如飞如风”（东方朔 55）的画面，分明也是如此。至于那个时期的海洋抒情作品，“观海”之作更是比比皆是。曹操《观沧海》即是其中的经典。而两汉以来的海洋赋体作品，更是展示为一种比较“固定”的抒情和叙写向度，从汉代班彪的《觅海赋》如此，一直到清代纪昀的《海上生明月赋》，都是“观海”之作。

但饶有意味的是，在西方海洋文学的早期传统中，也曾经出现过这种“观海”视角的海洋书写。对此，英国海洋文化史家约翰·迈克在其海洋研究专著《海洋：一部文化史》中，引述 19 世纪美国小说家赫尔曼·梅尔维尔《白鲸记》的内容：“梅尔维尔以一段标题为‘海市蜃楼’的思考为《白鲸记》开篇，在这部作品中，他的故事叙述者伊希梅尔回忆了起初引领他走向大海的一些情况。他注意到，一个星期天的下午，美国任何一个东部沿海城市的防洪大堤和一些有利位置，都挤满了‘观海者’，像成千上万的哨兵待岗一般‘倾听大海梦幻曲’，尔后又来了更多的人：一直不行至海边，似乎一副要跳水的样子。奇怪！除了陆地的尽头外没有什么能使他们满足；在那边库房的阴影下晃来晃去也不过瘾，不过瘾。他们尽可能地靠近大海而又不至于掉入水中。他们站在那儿，长长的一排——绵延数英里。（116-117）”

为什么会出这种“观海”现象？约翰·迈克对此从心理角度进行了分析：“在英语中，短语

‘all at sea’的意思是某人完全、彻底地迷失了方向。此处所指的大海犹如荒野，没有任何道路或清晰的标志。一旦置身海中，那种必然不辩东西南北的恐惧便会如影随形。在写《迷人的洪水》一书时，奥登的脑子里显然有此想法。……他写道：‘但凡有办法，绝不去下海。试图穿越它的人暴露出一种近乎傲慢的鲁莽，令其朋友们也牵肠挂肚。’（85）”

这与鲁迅先生对这方面的描写和分析，几乎如出一辙：“在昔人智未开，天然擅权，积水长波，皆足为阻。递有剝木刻木之智，乃胎交通；而浆而帆，日益衍进。惟遥望重洋，水天相接，则犹魄悸体栗，谢不敏也。（152）”

但人们之所以停步海边，不仅是出于对大海的畏惧，还因源于对大海的欣赏，恐惧和赞美共同构成了“观海”图景的形成。所以约翰·迈克进一步分析说，“在18世纪50年代，当埃德蒙·伯克阐述（海洋）‘令人敬畏’的特点时，人们的观念早已出现了明显的变化。海滨，作为城市的健康备选之地，正逐渐被越来越多的人所认可。……（另外）大海的情绪反映了一种相关的理想状态：风平浪静让人想到了美。……在风平浪静的日子里，你可以投身波涛之中，体验那种沉浸海中带给你的兴奋，那是发自肺腑的感觉。（119）”中国的情形也是如此，对于海洋“魄悸体栗”进而“谢不敏”，拒绝亲近海洋，毕竟是在远古时代。自先秦《庄子》《列子》开始，中国就有审美性海洋意象诞生，也就是有了海洋文学的萌芽，到了后来，更成洋洋大观。

其实，如果进一步分析，那么可以发现，“观海”文学现象的出现，并非仅仅是“畏惧海洋”那么表层和简单。所以，在中西方共有的“观海”现象的后面，还隐藏着更深刻的“同质”，那就是人类对于“母亲海洋”的共同情感。

对此，美国著名海洋生物学家和作家蕾切尔·卡逊，这位风靡全球的“海洋三部曲”《海风下》《环绕我们的海洋》和《海洋的边缘》的作者，有过深刻的分析。她指出，与一切生命一样，我们人类也诞生于海洋。人类生命体系中的循环系统、石灰质骨骼和我们身体每一个细胞中流淌的原生质都来自于海洋的馈赠。在人类离开海洋进入陆地生活无数年后，“最终，人类又找到了回归大海的方法。伫立在海岸边，他一定十分惊愕而且好奇地看着大海，为他对自己血统的无意识的认知而迷惑。他不能真的像海狗和鲸鱼那样重归大海，但是几个世纪以来，他用自己的本领、大脑的独创力和理智探索和研究了海洋最便利的部分，因此他可以用智力和想象力重回大海。（卡逊 17）”

一切生命都来自于海洋。海洋也是人类的母体，所以当我们站在海边“观海”，潜意识里表达的就是对“母亲海洋”的感情。这可以说是全人类“海洋情感共同体”，这也是中西方海洋文学共有的“情感源头”。由此出发，“重回海洋”的海洋文学就诞生了，“重回”的方式，蕾切尔·卡逊认为就是“智力和想象力”。但在我们看来，西方的海洋文学更注重“智力”也就是玛格丽特·科恩在《小说与海洋》中所说的“航海技艺”，而中国的海洋文学，更具有“想象力”的特质。

二、“智力”和“想象力”：中西方不同的海洋诗学传统

“航海智力”或“航海技艺”是西方海洋文学的根本性特质。玛格丽特·科恩《小说与海洋》就是一部专门分析“航海技艺”的专著。正如有学者所指出：“她基本上采用了技艺（craft）的视角来观察海洋学的历史性变化，也就是她侧重于技艺在航海生活中具体内涵的变迁，来揭示西方海洋学的盛衰。（朱国华 14-26）”

《小说与海洋》正文部分共五章，第一章便是“航海技艺”，作者从多部海洋小说中，总结提

炼出诸如谨慎航海、操作规范、碰到异常如何处置、遇到风暴如何果断应对和随机应变、船员必须要有集体主义意识等极具“技艺”性的内容；在第二章“航海异事与小说”中，作者继续以海洋小说文本为依据，又从“技艺的集体性”“武士技艺”“自由的技艺”“技艺高超的女英雄”“技艺与美德”等角度，对“航海技艺”进行更广泛和全面的分析。她将航海技术与航海伦理、海洋英雄人物品质构成等紧密联系在一起，将事务性的航海技术，升华到文学美学的高度，构建起西方海洋书写的诗学体系。

玛格丽特·科恩以“航海技艺”为立足点的西方海洋诗学构建，精准抓住了西方海洋小说的特质。“海洋小说极力展现海上冒险的实践技能，同时也探寻某方面的现代意识，这种现代意识与超验的无家可归的抽离状态一起构成了海洋小说。……海洋小说专家会被书中的细节所吸引，而从海洋这一新的角度来审视小说，则会吸引更多的读者。这一研究领域越来越引人注目，而科恩对海洋作品的重新审视，则在这一领域占有重要的一席之地。（陈橙 167）”

正因为如此，我们发现，玛格丽特·科恩的观点并不是孤立的，在英国海洋文化专家约翰·迈克《海洋：一部文化史》中，我们看到了“熟悉”的内容。在这本主要任务便是考察“航海生活意味着什么？海上世界是如何构建的”问题的专著中，其核心章节就有“航海及行为艺术”和“轮船即社会”。这本专著虽然说主要考察海洋文化，但作者所凭借的资料，仍然都是海洋小说。在约翰·迈克看来，一部海洋文化史，在很大程度上，也就是一部海洋文学史，因为它们所反映和描述的核心内容，都与航海技术也就是“航海智慧”有关。这在他引用维克多·雨果《海上劳工》的话中有显明的体现：“大海与海风共同构成了一个复合有机体。大海的力量是无穷的，船的力量是有限的。这两个有机体，一个用之不竭，另一个足智多谋，而它们之间的斗争，叫做航海。（迈克 133）”因此他认为海洋文学的范畴需要扩大，不仅是小说，许多航海日志之类的文献，其实都是海洋文学作品，因为它们本身都是“航海技艺”的构成。

西方海洋文学的诗学传统，体现为通过航海技术这样的“智力”来回归海洋的叙写。海洋叙事的核心内容就是人在船上，船在海中，人战胜航海中的一切困难。人、船和海洋环境，构成了西方海洋书写的三大要素。而海洋航行和探险，仅有勇气是不够，航海更需要“智力”。玛格丽特·科恩称之为“实践智慧”。荷马的奥德修斯航海经历完整地显示了这种“实践智慧”。笛福《鲁滨逊漂流记》和《辛格尔顿船长》、阿兰·勒内·勒萨日《罗伯特·谢瓦利埃历险记》、詹姆斯·费尼姆·库柏《领航者》、法国作家普雷沃神父《雷德船长历险记》等作品，无不都是这种海洋“实践智慧”的优秀书写文本。它们证明：“如果说奥德修斯是在神话世界中运用自己的实践智慧，那么他的后继者们就是在‘被上帝抛弃’的人世间，凭借自己的实践技能，一次次地死里逃生。（科恩 3）”

中国有广泛的航海活动，中国也有悠久的海洋书写传统，但如果从“航海技艺”的角度予以考察，那么我们不得不说，中国没有“航海文学”，因为基本上没有“航海技艺”方面的书写。许多海商或者航海者在航行途中遭遇风暴等的内容，在中国古代海洋文学中却都是一笔带过。宋张邦基《墨庄漫录》卷三所记叙一则海难事故：“一日，正在大洋，忽遇暴风，巨浪如山，舟失措。俄视前后舟覆溺相继也，独相寄之舟，人力健捷，张篷随风而去，欲葬鱼腹者屡矣。（4664）”对于遇难经过，也仅仅多了一句“人力健捷，张篷随风”而已。以郑和下西洋为背景的《三宝太监西洋记》，本来应该是最有可能产生航海智慧叙写的中国海洋小说，却成了一部海洋神魔小说。明代萧崇业《航海赋》有许多关于造船技术的描写。但是对于“航海技艺”方面的叙述，的确少之又少。萧崇

业虽然以《航海赋》作为标题，其实对从中国出发前往琉球国的“航海”本身，却完全缺位。

然而，中国的海洋叙事，虽然缺少“航海技艺”等方面的“智力”内容，却有着丰富的“海洋想象力”，这是中国海洋文学的诗学品质所在。从《山海经》开始，海神、海怪、海市、海上神仙岛、海洋方国、海洋珍宝、人鱼等等，无不充满了惊人的想象力。它们都是古人海洋认知和海洋寄寓的折射，也是中国优秀文化传统在海洋书写中的体现。仅仅“人鱼”系列，就有秦汉《山海经》的“鱼妇”、魏晋张华《博物志》的“鲛人”、宋聂田《徂异记》的“妇人鱼”、明冯梦龙《情史》的“送信鱼”、清沈起凤《谐铎》的“泪珠鱼”等等形象，远要比西方美人鱼、女妖等仅有几个形象要丰富得多，也深刻得多。如果从“母亲海洋”的角度而言，中国的“人鱼”形象，更具有“慈爱”的特质。冯梦龙笔下的“送信鱼”成全恋人相思，聂田想象的“妇人鱼”比起西方的美人鱼更具有人性美质，沈起凤《谐铎》的“泪珠鱼”为了解决主人的相思之痛不惜“泪尽”，她们身上处处闪耀着“大慈大爱母亲”的动人光芒。

三、“海洋升华”：中西方海洋书写的共同趋向

以“航海技艺”和“海洋想象力”为主要叙述和抒情内容的海洋文学，在中西海洋文学中各自发展，分别形成了相对独立的诗学传统。但是它们并非始终都在各自的轨道上奔驰，到了18世纪前后，这两种不同美质的海洋文学，竟然形成了交叉和合流发展的态势。

这个时期的中国航海具有丰富的实践，可惜被“忽视”了。约翰·迈克写道：“无论海景是否被赋予祖先意义，大海是岛屿或大陆领土主权的延伸这种说法有着普遍的意义。……我们已看到，中国明朝的航海家们穿越太平洋，进入印度洋，这种大规模探索和发现被忽略了。当清朝统治者在17世纪中叶建立其影响时，明朝的航海史又进一步被忽视了，清朝的工作重心更多的集中在保护中国现有疆域的安全而不是通过海上冒险去拓展它。(99)”约翰·迈克认为，在17世纪前后，也就是明清时期，中西的海洋书写曾经拥有过共同的航海题材，可惜被中国的作家们“忽略”和“忽视”了，中西海洋文学也就失去了一次难得的历史相逢的机会。

虽然没有实际的历史交融，但是中西海洋文学却有了精神和美学意义上的交汇。根据玛格丽特·科恩的研究，以“航海实践智慧”为核心叙述内容的西方海洋小说诗学体系，在经历了维克多·雨果等人的“海洋现代主义”、儒勒·凡尔纳等人的海洋科幻小说、约瑟夫·康拉德等人的海洋间谍小说等演变之后，“描绘海洋的虚构作品，逐渐抹去了船只和水手。因为启蒙时期的美学理论，将工具理性和劳动与非工具性的艺术严格区别开来。空荡荡的海洋，接下来经受了浪漫主义的升华。当时描写海洋的作品，脱离了历史上真实的航海者；诗人、小说家和艺术家发挥想象力，任意为海洋重塑人物形象。(15)”

也就是说，西方海洋文学在发展过程中，产生了从写实主义到浪漫想象的一个转变。其原因之一，便是“技艺时代的结束”。这是玛格丽特·科恩《小说与海洋》第五章最后一节的小标题。当航海技术越来越科技化和自动化，“航海技艺”便失去了它继续存在的基础和理由。因此海洋小说主题的变化是必然的，这在“海洋爱情”作品中体现得尤为突出，随着大航海时代的到来，航海距离也越发遥远，所以这种“海洋爱情”故事还大多呈现为跨越大洋界限的浪漫特质。玛格丽特·科恩认真考察了这个文学转变现象。她看到，格拉菲尼《一个秘鲁女人的来信》描写了穿越大西洋的船上产生的一个印加公主与一个法国青年的恋情；布鲁克《艾米丽·蒙塔古往事录》中的爱情故事

也穿越了大西洋；而司各特《海盗》，其中心内容也是善良的乡村少女与纵横大海的海盗之间的情感交流。“像这样的跨海爱情推动了英国小说和法国小说的情节发展，同时也有其文化作用。……外国的海洋给（本国）中心文化带来了异质色彩。（177）”

对此，玛格丽特·科恩给出了一个非常重要的概念。她说：“我在重构海洋冒险小说几百年发展历史时发现，在欧洲文化的海洋想象中，存在一个重大的文化转变。我……从跨学科的角度探讨了这一转变，将其命名为‘海洋的升华’。（15）”

其实这种“海洋爱情”文学在美国也有显著的体现，被誉为“19世纪美国最杰出女诗人”的艾米莉·狄金森，她的诗歌主题就是“爱情和大海”。在《它是这样小的 小船》中，“小船代表诗人自己，大海则象征着某位男性。诗歌通过大海吸引小船离开岸边，表达了一位情窦初开的女子对男性的向往。……可以看出，狄金森的‘大海’并非自然界的大海，而是男性世界的象征。在另一首《我的河儿流向你》中，狄金森再次用大海喻指男性，但此时‘我’已不再是一条‘小船’，而是不顾一切地奔向大海的河流。（汪汉利 9）”

可见这个“海洋升华”，是以“航海技艺”为特色的现实海洋书写，向虚拟性诗化海洋的“升华”，是冒险性航海行动向追求爱情的航海行动的“升华”。

“海洋升华”的结果之一，是在一些作家的笔下，“海洋”逐渐脱离了它的现实性，而演变成了一个“寓言体”书写对象。玛格丽特·科恩以弥尔顿《失乐园》为例，详细论析了西方海洋文学的这一转变。她看到“海洋升华”之后，现实性海洋变成了“崇高的海洋”，而“崇高的最好体验就是站在一艘船上”。对此，就需要“将海上作业与海洋的崇高割裂开来”。她引述了康德在《判断力批评》“分析崇高”中的一段话作为佐证说：“如果我们想要看到海洋的崇高，就不能用平常思维去思考它，不能用各种知识去看待它。……我们应该像诗人那样去看待海洋，只管眼中所见，这样才能发现它的崇高。（201）”

崇高美学理念对海洋文学的影响结果，便是作家们创造出了一个主观色彩非常浓厚的“狂野的海洋”，西方的海洋文学从此进入了一个新的审美阶段。“当人类活动从海洋中抽离，浪漫主义作家就开始创造各种各样的生物来填充海洋。”玛格丽特·科恩认为这是“启蒙主义”的体现，影响力至今不衰。

而这个时候，中国正处于清朝时期。清代的海洋文学，恰恰出现了“想象性海洋书写”的文学思潮。在继承唐宋以来的海洋现实主义书写传统的同时，源于《山海经》的海洋浪漫主义书写在清代得到了“回潮”式的发展，出现了大量如袁枚《子不语》中志怪式海洋想象作品。连玛格丽特·科恩津津乐道的西方“跨海爱情”，在晚清作家王韬的海洋小说中也多有描述。如果我们对于海洋爱情的理解稍稍宽泛一些，那么甚至如《聊斋志异》的《夜叉国》等中土人士与南洋土著岛民的情爱故事也可以归入其中。所以我们可以“欣喜”地看到，西方海洋文学这一新的“浪漫主义”文学倾向，其实同时期的中国也“有之”，甚至还是“早就有之”，因为玛格丽特·科恩和康德所说的“海洋的崇高”，其实在汉朝的海赋作品中，就有大量的存在。班彪《觅海赋》等作品，洋洋洒洒，纵情肆意，多角度多层次描述了大海的壮观气势，表达出对于大海的敬畏情感。

所以从创作实践来看，中国海洋文学的浪漫主义特质自古存在，对于大海的崇高美质也早就有反映和描述，这是我们可以感动欣喜的地方。但是在西方，这种形成与18世纪的“精神性”海洋文学，成为整个启蒙时代文学的有机组成，其影响力经久不衰，而我们源于古代的海洋浪漫主义文学

传统，却没有得到很好的传承，学界也没有给予应有的重视。

四、结语

全世界海洋浑然一体，永远不朽。“在所有这些海岸上，同时回响着过去与未来的声音。……它永远不会静止下来，永远不会经年不变。……因而，我们便会察觉到，就像海洋的任何物理现实一样，生命也是一种有形的力量，一种强大而目标明确的力量，就像上涨的潮水一样，它向着自己的目标奔去，是不可压垮也不可扭转的。（卡逊 257）”

正因为如此，“海洋失语症”或许存在，但不可能是常态。“回归海洋”和“海洋升华”，都是对“海洋失语症”的有力矫正。这也是玛格丽特·科恩在《小说与海洋》中提出的概念。她为西方学术界一度患上“海洋失语症”而担忧。她指出，到后来，“即使以海洋为主题的小说，也并不关注航海活动。这种令人叹以观止的无视足以被称为‘海洋失语症’。（20）”

而“海洋失语症”在中国更有很长时间的存在。甚至到了今天，在国家大力推进海洋战略的时代背景下，许多专家学者仍然对“海洋”视而不见，长期“失语”。中国式的海洋话语体系和叙事体系，至今没有得到很好的构建。

玛格丽特·科恩说，她很高兴地看到，进入 21 世纪后，“海洋失语症”开始消退。近年来，“高校学者也开始重新探索海洋和航海的重要性，不仅是为了更好地研究社会和经济历史，同时也为了更好地了解文化、美学和认知学。在文学研究领域，……到了 21 世纪的头 10 年，海洋体现进入了视野。我的海洋冒险小说文学史研究，也请求小说批评家们，‘离岸，起航’。（21）”

这种变化在中国得到更多的体现。国家海洋战略的实施，已经在相当程度上需要改变了我们的海洋观。中国的“海洋失语症”迅速消退，中国的海洋书写和海洋文学研究，也以新的“离岸，起航”的姿态，迈入“重回海洋”的历史新阶段，构建起中国式的“海洋升华”的新图景。

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梁启超对海国日本的理解及其维新知识分子身份的确立

陈绪石 (Chen Xushi)

摘要: 明治维新前的日本深受中国大陆农业文明影响，农耕是经济命脉，儒学是官学，因而日本不是海洋国家。不同于晚清的“中体西用”变革，明治维新开启日本的脱亚入欧历程，将中华文明圈内的日本改造为强大海洋国家。以日本精英为研究对象，梁启超思考明治维新为何能成功地促使日本转型为海洋强国，他对明治维新的感受、理解始终与他的变革大陆中国为海洋中国的理想结合在一起。梁启超以日本明治先贤为榜样，在思想启蒙、政治活动、文学改良等方面取得成就，他的维新知识分子身份确立。作为维新知识分子的梁启超在海洋学术文化的建构上取得重大成就。

关键词: 维新知识分子；海洋；梁启超；海洋国家

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Title: Liang Qichao's Understanding of Japan as a Maritime Power and the Establishment of His Identity as a Reform-Minded Intellectual.

Abstract: Before the Meiji Restoration, Japan was deeply influenced by the agrarian civilization of mainland China, where farming was the lifeblood of the economy and Confucianism was the official school of learning, and thus Japan was not an ocean nation. Unlike the late Qing Dynasty's "Chinese Essence and Western Utility" change, the Meiji Restoration started the process of Japan's transition from Asia to Europe, transformed Japan within the circle of Chinese civilization into a powerful maritime nation. Taking the Japanese elite as his object of study, Liang Qichao considered how the Meiji Restoration succeeded in transforming Japan into a maritime power, his understanding of the Meiji Restoration has always been combined with his

ideal of transforming mainland China into a maritime China. Following the example of the Japanese Meiji sages, Liang Qichao's achievements in ideological enlightenment, political activism, and literary improvement established his identity as an intellectual of the Restoration. As a Restoration intellectual, Liang Qichao made significant achievements in the construction of maritime academic culture.

Keywords: Restoration Intellectuals; Japanese Influence; Liang Qichao; Ocean State

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1898年9月，梁启超逃离北京前往日本，直至1912年11月，他才回到中国。去国之日，梁启超为青年才俊，回国之日，已是举足轻重的人物，他为什么有如此惊人的成就？梁启超在《夏威夷游记》有言：“又自居东以来，广搜日本书而读之。若行山阴道上，应接不暇，脑质为之改易，思想言论与前者若出两人”（1217）。明治维新期间日本西学繁荣、国力日盛，在东亚近代文明史上，日本的话语权自此开始超越大清，“从《下关条约》到《凡尔赛条约》；日本占主动时期”（狭间直树13）。日本后来居上，皆因为比之大清国，它学习西方海国文化彻底、到位。在日本的梁启超眼界大开，开创改变近代中国的文化事业，因此，日本对他的影响须做深究。

梁启超深受近代日本文化的影响，国内外的许多学者早已认识到这一点，如焦润明有论文《梁启超的日本观》、夏晓红有论文《梁启超与日本明治小说》、狭间直树有著作《梁启超·明治日本·西方》、郑匡民有著作《梁启超启蒙思想的东学背景》等。后文的论述不同于已有的梁启超研究，论者以为，明治维新期间的日本已从封闭农耕国家转型为海洋商贸国家，不满足于近代中国革新迟滞的梁启超，将日本置于近代中国的海国转型背景下体察，在日本他看到中国的未来，或曰视日本为中国之将来，所以，他在不同的学科领域发力以革新中国，从维新士大夫转变为维新知识分子。他维新的目标是影响并带领中国国民，将中国建设为强大海洋国家，所以，向国内传播域外前沿海洋学术，他最为勤奋。

一、中华农耕文明影响下的日本不是海洋国家

在人类文明史上，中国的大陆农耕文明是一种典型。古代文明形态，无疑与地理环境有重大关联，黑格尔在其《历史哲学》里，按照地势划分文明类型，有高原山地、平原、滨海等三种，黑格尔的论析虽遭到中国部分学者的批评，但黑格尔的地理学说仍有屡试不爽之处，至少适用于人类早期的文明形态研究。华夏各王朝基本上是大陆国家，以经略大陆为主，所创造的农业文明在地理学上主要有三含义：一是中国处于东亚大陆，二是黄河、长江流域的农耕是重要经济活动，三是儒家文化是核心。由于定居在大陆从事农业耕作，儒家的和合中庸伦理和重义轻利价值观阻碍国民从事海外拓殖活动，东南沿海边民的海外冒险往往被朝廷漠视、压制，所以，中国古代文明具有一定的稳定性和保守性，“安土重迁”为国民的文化心理。自中古以来，耕作、读书、考试、做官，是普通中国人的理想，朝代更替，生活方式不变。发达的中华农耕文明不仅在东亚大陆盛行，而且，它还深受周边一些国家的青睐，古代的日本、朝鲜和越南就在中华文明圈内。

与近代之前的明、清王朝一样，德川幕府时代的日本，也是一个闭关锁国、将自己圈禁在近代化进程之外的农耕国家。自 1603 年始，日本进入德川幕府时代，将军-大名-武士构成统治阶级，在普通人阶层，农、工、商是一种等级制的存在，农民高出一等，因为农业耕作是立国之本。“德川时代的生产方式，是小规模地经营农业和手工业，特别是农业是封建社会的支柱，庞大的武士等级是靠征收农民的年贡米维持寄生生活”（伊文成、马家骏 37）。岛国日本的经济不是开放型的，特权阶层主要依靠农民的进贡而生活，无意向外拓展。坚守农耕、在经济上自给自足，必然促成文化心理的封闭、保守。“17 世纪到 19 世纪，中日两国能够实行闭关锁国的政策，有其物质基础和思想基础。自给自足的封建自然经济是其经济基础。在中国清朝统治者的眼里，对外贸易不过是对外国人的一种恩赐。……在同样是封建自然经济占统治地位的日本也有类似的思想”（王晓秋 6）。近代之前的日本与古代中国的类似点太多，这绝不是偶然，也不仅仅是上层巩固统治使然，主因当是它们不需要开国，农耕经济为他们提供了基本的生活必需品。江户末期的幕府没有主动开国的欲求，所以，日本是近代文明之外太平洋上的锁闭农业国家。

德川幕府时代的日本受中华文明影响的明显迹象是，统治者在日本宣扬儒家文化。儒家文化重农抑商、推崇君权，这有利于农耕经济活动，也为上层乐见。“幕府统治者感到，为了维持封建统治，单凭武力镇压是不够的，必须控制人们的思想，需要一种维持身分等级制的御用学说，强迫臣民有忠于主君的‘忠义’和绝对服从，而儒家思想就适应了这个需要，被幕府采纳作为控制人民，反对革新的精神工具”（伊文成、马家骏 169）。儒学在日本被定为官学，这是幕府统治、也是农耕经济活动的需要，简而言之，儒学宣扬是吻合幕府统治、农业耕作的行为。德川幕府借鉴中华农业文明，大力推广儒学，反映了日本为中华文明所卵翼，因此，从本质上讲日本就是一个农业文明的国家，该状况一直持续到幕府末期。

因此，虽然是岛国，但在近代以前，日本却是深受大陆文化影响的国家，不是海洋国家。有的学者受西方文化地理学影响，论析岛国的特征，指出：“因为岛国文化资源少，所以它就必须向外发展。在西方，英国人就成了资本主义发展的先进地区。在亚洲，日本就成了唯一一个进入发达国家的亚洲国家”（史仲文、胡晓林 5）。日本成为发达国家是明治维新以后的事情，而且，在此之前，日本是一个锁闭的封建制国家，向心力弱小。这说明，地理学视域下的海岛并不必然产生一种固定文化形态，也很难说它在大陆与海洋之间，地球上有人类居住的海岛很多，但像英日一样成为大国、强国的却不多，岛国最终成为哪种类型的国家，主要取决于周边轴心文明对它的塑造。大英帝国之所以成为海上帝国，因为它发展了北欧海盗精神和古希腊的海洋文明，工业革命又将其转化为现代海洋国家；虽然孟德斯鸠说，海岛上的人比大陆上的人拥有更多的自由，理由是海洋将海岛与大陆帝国隔开，“专制扩展不到那里”（孟德斯鸠 185），但古代日本深受中华农业文明影响，所以，它是专制的“大陆国家”，与大英帝国的相似度很小。

二、明治维新与海洋国家日本的强势崛起

近代日本和大清王朝，面对西方海洋文明的撞击，维新是共有的时代主题，但二者的进程差异很大。中国雄踞东亚大陆，日本是地处太平洋的海岛国家，二者的新变过程不同，日本很快展露了海国特质，而本应为海陆合一国家的中国，其海洋性迟至甲午海战期间仍无充分体现。日本学者指出：“同治中兴却并不打算实行全面西欧化和近代化。改革的中心意图是，以旧秩序下的意识形态—

—儒教——来维持旧的秩序，改革所希冀的西欧化和近代化就是为了维持旧的秩序，并在此限度之内，引进西欧的技术和武器。同治中兴的经济政策仍然是‘农本’和‘病商’（蔑视商业）。同治中兴虽然为了西欧化和近代化而尊重西欧国家秩序下的条约体制，但它同时又企图继续维持和亚洲各国之间的朝贡体制”（信夫清三郎 7）。因此，同治年间以曾国藩、李鸿章、左宗棠等人为核心所发起的洋务运动，是一次面向海洋的极其有限的运动。首先，洋务运动期间的工商业是自然农业的补充，工商立国主张未显；其次，建立在农耕活动基础上的儒家道统得以维持；最后，君主专制得到巩固，这种适合古代中国农耕经济的制度因为洋务运动而有喘息之机；至于坚船利炮等西方科技的引进，目的在于维护原有大陆农业文明下的秩序。这场起源于 19 世纪 60 年代的运动，直至甲午战争期间，仍是对原有大陆农业文明的小修补；明治维新则用了约三十年时间，日本基本被改造为海洋国家，日本转型后在甲午战争中击败大清国不是偶然，而是文明、实力所致。

在明治维新前夕，日本出现了一场基于民族危机而发起的倒幕府运动。幕府时期的日本以农耕为本、闭关锁国，所以，欧美国家亦强行闯关，1853 年，美俄进入日本，日本被迫开国，并与西方签订一系列不平等条约。德川幕府统治日本 200 多年，本已被很多有实力的大名外藩敌视，再加上签订了屈辱的条约，因此，拥护天皇的倒幕派势力日渐强大，最终幕府垮台。倒幕府的意义在于：一是日本成为统一的国家，二是在民族危机中日本人有了共识，这为日本演变为民族国家创造条件，三是中央集权的日本将开启一系列改革措施。由此不难发现中日维新在起点上有重大差别：晚清洋务运动目的在于振兴王朝，确保农业文明和皇权制持续；而日本则推到幕府，志在建立近代国家，开始着手全面维新。换言之，日本明治维新确立在旧时代结束基础上，是新时代的开始，而中国的同光中兴仅为统治集团内部进行的局部改良，农业自然经济的主导地位和君主专制依然如故。

在明治维新期间，日本进行了全面变革。就日本向何处去，日本高层在政权稳定后派遣了一个赴欧美考察的使团，“1871 年 11 月 20 日，新政府决定派遣由右大臣岩仓具视为特命全权大使，木户孝允（参议）、大久保利通（大藏卿）、伊藤博文（工部大辅）、山口尚芳（外务少辅）4 人为特命全权副使，由政府各省（即各部）分别选派的理事官，以及书记官和随员等，共 48 人组成的大型使节团，前往美国和欧洲各国”（伊文成、马家骏 389）。西方的发达、先进震惊日本使团，也坚定了这些在后来决定日本命运的高官学习欧美的决心。他们对日本的改造彻底，除了天皇和政府大力加强海军建设、促使军队近代化之外，近代日本还推行殖产兴业政策，引进先进科技、扶持私人资本；由于认识到日本的落后与国民的不开化有关，所以，政府和思想家们乐此不疲地兴办近代学校和吸纳西方启蒙思想，以提升日本国民素质，以上述说明，明治维新不单是科技革新，而是系统的社会变革。启蒙的下一步是行宪，“所谓‘立宪绝对主义’，从绝对主义方面来看，它是一种否定‘赤裸裸专制’，依靠‘立宪主义’并通过‘立宪主义’来约束自己的绝对主义，是打算通过‘渐进的改革’来完成革命课题，以适应新时代要求的专制主义”（信夫清三郎 415）。日本终于在 1889 年制定“大日本帝国宪法”，在 1890 年召开国会，一个近代日本国家建立。与日本的快捷反应不同，中国真正的近代启蒙始于甲午战争之后，不幸的是，历史已不给大清朝时间，即使有时间，大清王朝也不会全面改良，大清的变革与日本明治维新反差强烈，一个新日本形成，大清王朝垂垂老矣。

明治维新促成海洋国家日本强势崛起。向海洋国家的转变就是维新，“明治维新是日本从大陆国家向海洋国家转变的一个转机”（小谷哲男 41）。维新不仅仅是转机，日本的转型切实存在，日本从封闭的农耕国家演变为海洋国家。首先，儒家道统被西方启蒙主义、重商主义所取代。脱亚入欧

是日本的既定国策，它大力引进各类西学，儒家学说不再是官学，启蒙成为大潮。海洋商贸与大陆农耕是差异大的文明，与古代中国以及维新之前日本的重农抑商大不同，向海上扩张的日本在近代构建海上谋利观念，推行殖产兴业政策。其次，在建构新学统方面，日本也竭尽所能，譬如，《海国图志》曾在中国遭受冷遇，日本人犹如久旱喜逢甘霖。梁启超到了日本之后，感受真切，“日本自维新三十年来，广求智识于寰宇，其所译所著有用之书，不下数千种。而尤详于政治学，资生学（即理财学，日本谓之经济学），智学（日本谓之哲学），群学（日本谓之社会学）等，皆开民智强国基之急务也。吾中国之治西学者固微矣，其译出各书，偏重于兵学艺学，而政治、资生等本原之学，几无一书焉”（梁启超 324）。日本人最善于接受海洋方面的新知识，除了《海国图志》外，《海权论》也先在日本出版，它们是日本国家权力朝海上发展的指导书。最后，在政统方面，近代日本推到幕府统治，打造立宪的天皇专制制度，它不同于西方民主制，这是一种国家专制政体，但行宪反映日本走出关键一步。因此，明治维新的实质就是将中华文明圈内的日本改造为海洋国家，由于维新期间的日本精英志在将日本建设为富强并与“万国对峙”的国家，日本实则逐渐成为海洋强国，因为“万国对峙”，就是在海上。当时的日本人对自身的看法较为低调，1903年，《外交报》转译日本《太阳报》上的论文，文内提到：“扼太平洋之权势与利益者，美为最强，英俄德次之，法与中国又次之，而日本则列于第二第三之间，其余不足观矣”（佚名3）。被日人小看的日本竟在1904-1905年的日俄战中，完胜沙俄，实现海洋实力的成功晋级，进入仅次于美国的第二梯队。1934年，美国记者在《纽约时报》刊文：日本与英美在海上角力，成鼎立之势，英国是老牌海洋帝国，美国是新海洋霸主，亚洲强国日本也已崛起，三国举行海军会议，协商、对话以避免在海上竞争中出现武力冲突。中国译者在该文加了评语，“三大海权国开始海军竞筑，各各准备在一九三五年海军会议里面，用实力做后盾，从事作讨价还价的磋商”（历樵 1）。明治维新结硕果，日本是英美都不敢小觑的强国。

日本为什么能在短短三十年里崛起为海洋强国？一是日本在历史上本来就是一个善于向他国学习的国家。不似中华民族在东亚大陆创造了惊艳世界的古老文明，在太平洋海岛的日本则未有闻名世界的文化，学习他人是其特长，因此，近代日本的西化比中国彻底，而大陆帝国则因为拖着厚实传统前进，故而步履沉重。二是日本是岛国，本来就有向海洋拓展的潜质。在古代的东亚，由于中华文明为大陆农业文明，而且中华帝国极为强大，所以，日本无法展露海国特征。西方海洋文明的扩张和中华农业文明的停滞为日本的发展带来契机，岛国日本终于找到适合自身的发展模式。最后，明治维新前日本的权力结构有助于一批大有作为的政治家、思想家、教育家涌现，他们为日本设计了改革方案，并实践之。中国的君主专制并不利于社会革新，大清国的李鸿章虽身为高官，实为“裱糊匠”，难有施展大才大志的机会，所以，梁启超说：“吾敬李鸿章之才，吾惜李鸿章之识，吾悲李鸿章之遇”（511）。日本的情形不同于中国，在幕府之外，外藩也很有实力，在倒幕府过程中，一大批影响国家命运的精英如大久保利通、伊藤博文、木户孝允、福泽谕吉等脱颖而出，他们力促日本全面革新。譬如，大久保利通在出使美欧之后，“决心以英国等为‘典范’，积极贯彻‘殖产兴业’的方针，走发展工商业致富治国的道路”（伊文成、马家骏 393）。果然，后来的大久保利通政府力推殖产兴业政策。真所谓时代不负日本社会精英，他们也推动日本走向海洋，力助国家崛起。

三、梁启超对海洋国家日本的感觉和理解

梁启超带着对大清王朝的失望和愤懑于 1898 年抵达日本，其时日本是一个海洋国家，由于他已经通过黄遵宪的《日本国志》对日本有所了解，所以，日本在他心目中形象良好。梁启超虽然处在中国变革的前沿，然而，晚清向海洋国家转型的步伐过于缓慢，他在《变法通议》批判，“海军不游弋他国，将卒不习风波，一旦临敌，能有功乎？”（梁启超 14）。梁启超所论已经涉及海权，应该说，此时的他并未阅读《海权论》，而只是根据近代中国实战败北的情形，他总结这一教训。与晚清的慢速相比，日本却是行驶在快车道上，“却读东史说东故，卅年前事将毋同。城狐社鼠积威福，王室蠢蠢如赘疣。浮云蔽日不可扫，坐令蝼蚁食应龙。可怜志士死社稷，前仆后起形影从。一夫敢射百决拾，水户萨长之间流血成川红。尔来明治新政耀大地，驾欧凌美气葱茏。”这是梁启超在《去国行》里所讲述的日本，其中不乏褒扬的成分，但梁启超又是真诚的，“跨出了因熟悉而漠然的农业世界，惊奇于近代化历程中的日本及其被日本介绍的西方文化”（李怡 159），日本的成功转型梁已有所闻，一旦踏上日本国土，他的感受更为具体、深刻，也很复杂，而且他努力地去发现日本的成功经验，并向国内转达之。

就明治维新对日本的意义，梁启超的观感主要集中在文化教育方面，其中也包括他对海洋文化的体会上，他赞赏日本所展现的海洋性特征。“哀时客既旅日本数月，肄日本之文，读日本之书，畴昔所未见之籍，纷触于目。畴昔所未穷之理，腾跃于脑，如幽室见日，枯腹得酒，沾沾自喜，而不敢自私，乃大声疾呼，以告同志曰：我国人之有志新学者，盍亦学日本文哉”（梁启超 324）。梁启超仿若进入一个新世界，因为日本引进的西学，不限于军事和科技，广求知识、开民智、强国基是他在日本所获得的日本第一感受，与近代中国有选择性的翻译不同，日本真有百川归海的度量。梁启超不仅仅在看日本，还透过日本窗口看西方世界，1900 年他写有《伟人讷耳逊轶事》。“其人栖息于海上者三十五年，中间经大小百二十四回之战斗，而赫然为世界历史之一大人物者也。”英国从海洋强国跃升为海上帝国，纳尔逊居功至伟，梁启超领略、讴歌英国的海上人物，欣赏的是西方人在海上的经营。在梁启超看来，日本也有其不足，尤其在国民教育上。“即如我日本之大学，谓摹仿文明，成效卓著，但自其表面观之则然尔；至于里面，其腐败有不可胜言者。当局者一依德国主义，其所以为教者，则以服从政府为之精神也。遂使全国少年，缺独立自重之气，成卑污劣下之俗。夫孰知假文明之名，以行焚书坑儒之术者，其祸更惨于秦政十倍乎”（梁启超 356）。上面这段话来自日本思想家陆羯南，他与梁启超对谈日本的教育问题，梁认为陆羯南所言属实。但日本的教育思想其实驳杂，有重个人独立的自由主义也有崇尚集体的国家主义，在教育方面梁启超倾向个体的精神独立，所以，那时的他不赞同日本政府的国家主义教育。总体而言，明治维新以后的日本，不再是锁闭的农业国家，在走向海洋过程中，呈现开放气度，梁启超甚至将日本视为第二故乡，这表明他高度认同海洋国家日本。

从梁启超在日本所写的文章看，他以维新期间的日本精英为研究对象，思考明治维新为何能成功地促使日本转型为海洋国家。尽管梁启超在《变法通议》里早就思索过日本问题，但终究隔了一层，到了日本之后，他有切实体验，研究条件具备。在《破坏主义》，他说：“日本明治之初，政府新易，国论纷糅。伊藤博文、大隈重信、井上馨等共主破坏主义，又名突飞主义，务摧倒数千年之旧物，行急激之手段”（梁启超 349）。写文章的时候梁启超看好“破坏主义”，并以为破旧是新时代开始的必然手段，梁启超对日本的理解准确，倒幕府、告别农耕社会确实是日本维新取得胜利的基础。梁启超对维新期间日本精英的不同作为各有解读，但有一个共同主题，各路精英责无旁贷地引

领日本转型为海洋国家。在《自由书》，梁启超以为，日本维新之首要功勋为吉田松阴，而他恰恰是一位失败的人物，他的成功在于敢为人先，在西方海洋国家入侵日本时勇于面对现实，并学习西方。虽然被幕府处死，但是，他培育了一大批敢担当、有能力的学生，在倒幕府时，“长门藩士最有力焉，皆松阴之门人也”（梁启超 337）。在《日本横滨中国大同学校缘起》，梁启超指出明治维新以来日本的治理非常成功，这有赖于伊藤博文、木户孝允、大久保利通等赴西方海洋强国取得真经。在《论学术之势力左右世界》，他褒扬福泽谕吉，“维新改革之事业，亦顾问于福泽者十而六七也”（梁启超 559）。其理论如脱亚入欧说是日本改革的重要指导思想，从本质上讲，脱亚就是摆脱中华农业文明之影响，入欧就是在坚持日本独立性的基础上引入欧美海洋文明并加入欧美国家队列中。在《自信力》一文，他赞颂日本政治家，“伊藤、大隈，铁路之办法不知，铁路之经费不知，公债之性质不知，买人之情态不知，何其陋也。不知而贸然倡办之，贸然订借之，何其卤莽也。虽然，使待其一知之然后办之，则京滨铁路，恐无成之一日”（梁启超 350）。有担当、重实干是他们的政治品格。在《记日本一政党领袖之言》，他记述，政党领袖口述日本政党政治、立宪政治如何经过艰难的争取而获得实质性突破。破旧之后是立新，维新之成功，在于一批批的志士在不同领域领导日本国民，这是梁启超在日本获得的真切感受和深刻领会。

梁启超有关于明治维新的体验、理解始终与他的变大陆中国为海洋国家即维新的理想结合在一起，即梁的日本领悟基于近代中国向海国转型的现实需要。梁启超是维新派的前驱，对保守的大陆中国而言，出于应对航海大时代之需求，他主张中国全面革新、走出农业文明时代，以达成推进中国为海洋国家的目标。梁启超因为不得志而亡命新兴海洋强国日本，他的日本感受和体会会有一个兴趣点即中国需要，正所谓：“梁启超作为 19、20 世纪之交中国最具影响力的言论家，如何在明治思潮当中汲取他所需要的养分，配合中国的政治状况、文化传统和社会现实，形成他自己的独特看法，为中国寻找世纪的出路”（周佳荣 69）。汲取日本的思想如此，对明治维新的理解也是在为中国的变革觅寻突破口。梁启超时时不忘将他理解的日本当作中国变革的参照，在《日本横滨中国大同学校缘起》一文，他提出希望，“夫日本维新之始，赖伊藤数人之西游，则中土拨乱之才，安知不出于东土之学校，以保我种族，保我国家”（梁启超 323）。在西方海洋国家四处拓殖之时，若谋求民族不沦亡，梁启超以为，将日本打造为海洋国家的明治先贤堪为中华民族自救中的国人须效仿的模范。又如，日本政党政治在明治维新期间的发展经历过一段艰苦时期，日本宪政的实行离不开党人百折不挠地与新生专制的抗争，他因此而联想到近代中国人在国外创立的政党，“以若斯脆弱之政府，吾党犹不能动其毫发，吾党尚何颜以语国事耶，使吾党处于日本政党初立时之地位，将若何也？虽然，能力以相搏而后炼成，使吾党处于日本政党初立时之地位，则吾党之能力，或将有进乎，吾未能决之”（梁启超 394）。日本精英在维新政治上的作为，在他看来，对国人有着借鉴意义。

四、梁启超维新知识分子身份的确立

综上所述，明治维新促使日本转型为强大海洋国家，日本的成功变革诱惑梁启超，居日期间，基于中国维新的需要，他认真体会并深入理解明治维新。下文论述，受日本维新的影响，他借鉴日本维新志士的行事方式并从中吸纳能量，完成多种角色诸如政治家、学者、作家等的建构，变身为维新知识分子。近代东亚的维新，含义丰富，本文取从大陆国家转型为海洋国家之义，维新知识分子则是从事政治、思想、文学等方面的实践，以推进近代中国向海洋国家转型的知识人。

首先，在日本的梁启超，迅速确立政治家身份，多次参与海外的维新政治活动。戊戌变法期间，梁启超还不是政治家级别人物，在日本，他结交不少政治党人，如曾有一次著文《记日本一政党领袖之言》，“会日本某政党领袖某君于某所，扣以政党初立时之情形，所言有深足令我辈感动者，归而记之”（梁启超 392）。日本政治人物的品格促使梁启超成长为耀眼的政治家。梁启超在海外参与和主持的政治活动甚多，在早期，梁启超尚未主导，1907年，梁启超多次与蒋观云、徐佛苏讨论组党问题，10月17日，政闻社于东京成立。在政闻社机关报《政论》上梁启超撰文阐述该社的政治主张：“一、实行国会制度，建设责任政府；二、厘订法律，巩固司法权之独立；三、确立地方自治，正中央地方之权限；四、慎重外交，保持对等权利”（丁文江、赵丰田 419-420）。梁组党的目的是在中国推行君主立宪制度。综观作为政治家的梁启超，他在日本的表现活跃、抢眼，夏晓虹说：“梁启超的政治活动，其在野比在朝时影响更大、更深远”（10）。这句话主要指向在日本的梁启超，从维新到革命，从革命到保皇、立宪，梁启超的表现非常活跃。

其次，在政治维新驱使下，梁启超被日本热闹的西学引进和积极的思想启蒙所影响，先后创办了《清议报》、《新民丛报》、《新小说》等报刊，结合中国问题向国内传播新学，他因而成为近代中国重要的维新思想家。1898年12月梁启超在日本横滨创办《清议报》，这可被视作他在国内主办的《时务报》之延续，况且，随着对日本社会认识的加深，他的办报理念也在提升。在《论学日本文之益》里他说在明治维新期间日本广泛引进西学，作为有识之士，他会思考如何向国内传播西方文化。梁启超在总结《清议报》百期时以为，它具有倡民权、衍哲理、明朝局、厉国耻（梁启超 478）等特色，所谓的倡民权、衍哲理即有目的地向国内推广西方思想、学术，启蒙国人，这表明梁办报刊已逐渐具有日本风格。在1902年新办的《新民丛报》，梁的启蒙思想家身份更为突出，“一、本报取大学新民之义，以为欲维新吾国，当先维新吾民。中国所以不振，由于国民公德缺乏，智慧不开，故此报专对此病而药治之，务采合中西道德以为德育之方针，广罗政学理论以为智育之原本。二、本报以教育为主脑，以政论为附从。但今日世界所趋重在国家主义之教育，故于政治，亦不得不详。惟所论务在养吾人国家思想，故于目前政府一二事之得失，不暇沾沾词费也。三、本报为吾国前途起见，一以国民公利公益为目的。持论务极公平，不偏于一党派；不为灌夫骂座之语，以败坏中国者，咎非专在一人也，不为危险激烈之言，以导中国进步当以渐也”（丁文江、赵丰田 272）。梁启超所办报刊在风格上类似于日本维新报刊，这无疑属于借鉴。而且，在输入的思想方面，梁启超向国内传播的西学是日本人接受的西学，一学者以为：“由于梁启超是在日本的土地上通过日本人的译著或著作来了解西方的，所以梁启超所接受的西方思想，是一种被‘日本化’了的西方思想，因此也可以这样说，中国近代所受到的西方思想的影响，在某种程度上，是一种受到了‘日本化’的西方思想的影响”（郑国民 2）。近代中国的启蒙带有日本色彩，这是史实。在著名的启蒙者中，黄遵宪是最早的一个，戊戌变法失败之后，康梁来到日本，“康有为的东学知识相当有限”（桑兵 2020: 114），梁启超则远远地超过康有为和黄遵宪。第一，他不倦地借助东学而学习西学，第二，他向国内不遗余力地传播西学如海权理论、海洋人文地理学、太平洋时代学说等，第三，他所传输的西学大多基于中国的转型需要，第四，在思想输入时他有所发挥，第五，他创建了影响力大的新文体。所以，他是有重要地位的维新思想家，既有知识创新，在知识的播撒中又着眼于中国的改造，而且还创造了一个属于梁启超的文化改良时代。

梁启超在日本倡导“文界革命”、“诗界革命”、“小说界革命”，是中国近代维新派文人。在

《夏威夷游记》，海洋要素驱使梁启超建构诗界、文界革命理论，海洋要素包括太平洋航行途中得来的冒险精神和西方航海家不断拓殖的业绩，开拓诗国新大陆的含义是以新语句书写新意境，意在以文学实现维新。后来他更看好小说，“于日本维新之运动有大功者，小说亦其一端也，明治十五六年间，民权自由之声，遍满国中，于是西洋小说中，言法国、罗马革命之事者，陆续译出，有题为自由者，有题为自由之灯者，次第登于新报中”（梁启超 359）。基于这种认识，梁启超在 1902 年创办《新小说》杂志，宣扬小说界革命，称欲新民必新小说。梁启超的文学界革命理论被公认是中国现代文论的起点，不同于古典文论的农耕文明特质，梁启超的文论与海洋密切相关。梁启超的文学活动开了现代文学不好的先河，即在文学上他一度是一个功利主义者，不仅在文学理论文章里大力倡导文学的维新功能，而且也践行自己的文学观，诗歌、小说、散文的写作无不服务于他的政治维新目的。梁启超是维新派文人，维新派与文人，他首先还是维新派，但梁启超又是中国文学史上一个不可回避的文人，晚清维新是“五四”的先声。

以上所论表明，在日本旅居多年的梁启超深受明治维新期间知识精英的影响，志在变革国家，从事维新活动，建构新学术，维新知识分子身份得以确立。在中国的维新上，南方人独占鳌头，尤其是广东人表现突出，“从文明的角度理解，无疑是南方新崛起的海洋秩序向北方的农耕——游牧秩序的挑战”（许纪霖 2018：119）。一是南方本来就有一个海洋文化小传统，二是中华农耕文明不敌外来海洋文明，三是他们零距离感受日本的转型并获得能量，所以，南方崛起。黄遵宪、康有为虽为维新派，却是士大夫，是皇权君臣模式下的有限改革者，其变法维新的幅度小；梁的思想虽有反复，他一度主张开明专制，但这只是一次游移而已，作为政治家，他的基本倾向是君主立宪和共和，他最终是共和的支持者、帝制的反对者。因此，梁启超既有治国平天下的“士大夫意识”（许纪霖 2010：74），却也是摆脱了大陆农耕文化束缚的政治家，出于国家维新和国民启蒙的需要，他办报、从事教育、提倡文学界革命。他从海国日本获得启发，对这一点，日本学者在其编著的序言里指出：“梁启超的超人般的活动，固然缘于他个人的才干与素质，但更为重要的是明治时期的日本创造了使其成为可能的条件”（狭间直树 7）。梁启超设想中的中国维新以日本明治维新为典范，在日本他吸纳西学、从儒家士大夫圈脱离，在多个领域发力，因而梁启超是一个维新知识分子。一是他不局限于东亚大陆，面向海洋；二是他的各种维新活动以新学为基础；三是他从事学术文化上的创新事业以推动中国向海洋国家转型；四是在身心上他不再依附，而是具有独立性。一学者指出：“梁启超堪称是中国知识分子第一人”（黄敏兰 112）。该观点较为可靠，学者也从多方面对其观点做了有价值的论证，本文则试图以海洋及其文明为视角阐释梁启超身份的转变。

儒士梁启超在身份上演变为维新知识分子，归根究底，近代中国向海洋国家的转型是身份转变的契机。晚清王朝被迫将海洋视为发展的方向，知识人的变革时代到来。在大陆农耕文明遭到西方海洋文明的严重冲击下，知识人将目光投往海洋，自魏源、徐继畲始，海洋与国家发展前景问题被提出，“维新”就像东方一抹欲出的“曙光”，但知识人的认知难以突飞猛进，未意识到海洋是国家的重要地理、具有重大价值。梁启超勇立潮头，转变身份是顺势而为的作为。在海洋国家与大陆国家之间，梁启超身上并不存在“历史与价值的背逆”和“感情与理智的矛盾”（汪晖 13），在多篇文章如《20 世纪太平洋歌》《新大陆游记》《祖国大航海家郑和传》，梁启超以为古代中国是大陆国家，在感情上对这一传统没有依恋，他向往并认同的是海洋国家，这份执念促使他为国家的转型而建构学术。这表明，维新知识分子必定出现在从陆国向海国转型的近代，具备鲜明海洋特质和向海情感

倾向，是以维新为使命的知识分子。

在转变为维新知识分子期间及以后，梁启超在海洋学术和文化领域有大作为，在海权思想建构、海洋史地研究、华侨研究和海洋文学创作等方面卓有成就。梁启超所做的“维新”是一个系统工程，以学术文化建构促维新的知识涉及方方面面，再说他在知识创新上也不单单立足于维新，而且，他还是一个“传世”学者，这里仅略说与维新直接相关联的海洋学术文化。古代中国知识人极少研究海洋问题，中国海洋学术潮产生于晚清，从学术渊源看，西学是源头，如魏源的《海国图志》、徐继畲的《瀛环志略》基本上是辑录而来的地理学读本。梁启超建构的海洋学术文化，则与明治维新期间的学术环境分不开。“梁启超通过东学吸收西学，但他并非简单的尾随者，既对某一学说有所取舍，又会从不同的学说中选择自认为合理的因素组合成新学说”（桑兵 2002：165）。梁启超接受的海权理论、黑格尔等人的人文地理学，来自于“东学”。他结合近代中国的需要，根据自己的理解，打造多个海洋新学说，如海陆联动论、“华侨殖民论”（李安山 1000）、“佛教最先从海路流入中国”学说（陈绪石 29）、海陆二元地理学思想等，著述有《世界史上广东之位置》《祖国大航海家郑和传》《中国殖民八大伟人传》等数十篇文章，其学术文化活动在近代中国的海国转型中亦起到一定作用，所以，研究梁启超建构的海洋学术文化有着突出的意义。

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从世界对话到本土书写——台湾省海洋文学再观察

刘 爽 (Liu Shuang) 金智贤 (Jin Zhixian)

摘要: 台湾省海洋文学以其独特的地理区位与历史语境, 形成了兼具“世界性”与“本土性”的特征, 海洋书写实践既承接了中国传统海洋叙事的文化基因, 又吸纳了西方海洋文学的现代性元素, 更在本土历史经验的观照下, 建构出多元共生的身份认同范式, 为跨文化语境下的海洋文学研究提供了重要的东方样本。本文以后殖民理论观点, 聚焦台湾省海洋文学的地方性写作, 通过分析不同时期背景下台湾省作家的海洋叙事, 探讨其如何在东亚海洋文化脉络与全球海洋话语体系中确认自身文学身份及族群身份。

关键词: 台湾省海洋文学; 世界性对话; 本土创作; 人海关系

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Title: From World Dialogue to Local Writing: An Analysis on Taiwan's Marine Literature

Abstract: With its unique geographical location and historical context, Taiwan has characterized its Marine Literature in three periods. The writing style not only inherits the cultural genes of traditional Chinese marine narratives, but also incorporates modern elements from Western Literature. Under the reflection of local historical experiences, it has constructed a diverse and coexisting model of identity recognition, that provides an important Eastern sample for marine literature research in a cross-cultural context. This article, from the perspective of postcolonial theory, focuses on the local writing of Taiwan's marine literature.

By analyzing the marine narratives of Taiwanese writers in different periods, it explores how they confirm their literary and ethnic identities within the context of East Asian marine culture and the global marine discourse system.

Keywords: Taiwan's marine literature; Global dialogue; Local creation; Human-ocean relationship

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台湾省独特的地理位置与历史境遇，催生了台湾省海洋书写的文学实践和学理阐发。台湾省学者朱学恕是国内第一位明确提出“海洋文学”概念的学者，他认为海洋文学具有四大特征：“第一，多彩的人生，情感的海洋；第二，内在的视听，思想的海洋；第三，灵智的觉醒，禅理的海洋；第四，真实的水性，体验的海洋。（陈思和 91）”回顾 20 世纪中叶以来台湾省海洋文学的发展，从殖民记忆书写到本土文学身份建构，再到全球海洋共同体书写，台湾省海洋文学跨越三个阶段，形成独特的文学样貌。

段汉武认为，海洋文学是以“海洋为舞台或以海洋为客观叙述对象，也可以是描述人物航海行为的，还有以海岛生活来探求海洋与人类自身相互关系的文学作品。（15）”20 世纪五十年代至八十年代，海洋在台湾省文学里通常呈现出两种不同的角色——空间场景和物质意象，前者如王拓的《望海巷》，后者如痖弦的《远洋感觉》。八十年代后期，作家东年发表《失踪的太平洋三号》，成为台湾省海洋文学发展进程中的标志性作品。在诗歌创作领域，朱学恕、汪启疆等少数诗人也尝试把海洋元素融入到创作当中。九十年代台湾省海洋文学迎来重要突破，以廖鸿基和夏曼·蓝波安为代表的自然写作重视生态角度的客观描写，这一阶段台湾省海洋文学书写摒弃主观情感与浪漫想象，取而代之的是对原住民的生存困境与文化困境的深切关注。

台湾省海洋文学自觉发声的时间节点，几乎与后殖民主义理论的兴起同步。1978 年，爱德华·萨义德（Edward Wadie Said）在《东方主义》一书中开启了“后殖民”研究的先河。继之，霍米·巴巴（Homi K. Bhabha）透过后殖民视角，厘清并修正了后现代与后殖民之间存在的矛盾。他强调处于边缘化地位的土著、移民以及族裔散居群体的文化差异，推动主流群体与非主流群体之间实现平等对话（赵一凡 201）。爱德华·萨义德的“东方主义”理论揭示了边缘地区在西方话语霸权下的身份困境，而霍米·巴巴所提出的“混杂性”理论，为边缘文化的主体重新构建创造了可能性。后殖民研究视角为解读台湾省海洋文学的多元特质提供了理论支撑，将台湾省海洋文学置于这一理论框架中考察，不难发现其书写实践始终在“世界性”与“本土性”之间寻找平衡：一方面，中国台湾省作家通过借鉴西方海洋文学的叙事技巧与思想资源，打破地域局限，参与全球海洋文化对话；另一方面作家们又扎根本土历史经验，挖掘台湾省特有的海洋文化基因，呈现具有辨识度的在地书写范式。

一、殖民记忆书写与台湾省海洋文学奠基

东亚海洋文学以中国、日本、韩国等国家的海洋叙事为代表，形成了以“家国情怀”“人与自然和谐共生”为核心的文化底蕴。中国传统海洋文学中的《山海经》《西游记》等作品构建了以“海洋神话”“航海探险”为主题的叙事传统。台湾省的“海洋文化”，实际上是中华文化多元一体格局在地方层面的具体呈现。中原汉族“大河文明”建立在农耕文化的基础之上，此种陆地文化讲究保守、稳定以及一整套规范秩序的模式；区别于“海洋文明”的开拓、冒险、竞争。但是从历史和地理的维度分析，拥有绵延海岸线及广阔海域的中华文化同样充满着“海洋文化”的因素（凌纯声 335）。

在远古时期，中国南方的百越族群极有可能是现今属于“南岛语族”的台湾省“原住民”的祖先。台湾省原住民作为南岛语族的一支，制船、捕鱼的生产生活与海洋密切相关。中国东部沿海地区渗透着中华文化中的海洋元素，春秋战国时期的齐国，通过“通商工之业，便渔盐之利”的发展模式，成为了具有丰富“海洋文化”的地区（赵英翹 27-37）。闽南、江浙同属于“以海为田”的富庶之地。十六世纪后闽南、粤东人民东渡来台带来了汉人的海洋文化。台湾省海峡先民移居来台的辛苦，由客家民谣《渡台悲歌》等作品可以得到充分证明。

台湾省岛面积虽然只有三万六千平方公里，但是全岛的海岸线却长达一千多公里。海洋与台湾省岛在诸多方面存在紧密联系。历史上，俞大猷、施世纶等将领开启了“海战诗”的创作先河；施琅、蓝鼎元通过诗文对台湾省在中国东南海疆的战略拱卫地位进行了深入思考（俞健等 110-124）。此外，刘家谋、蔡廷兰等众多台湾省文人创作了大量描绘海上见闻以及海岛景观民俗的诗文。作为地理空间的台湾省岛屿既是物理空间，又是承载着集体记忆的心理空间。

十七世纪荷兰殖民统治的三十八年将台湾省的海洋文学镌刻进航海日志和贸易帐簿的夹缝之中。1895年至1945年日本殖民统治在现代性改造的基础上，深刻地形塑了台湾省海洋文学。海洋成为殖民压迫与民族抗争的象征空间。二十世纪三十年代台湾省本土作家开始崛起，杨逵、龙瑛宗、赖和等作家虽则作品更多关注殖民统治下的社会矛盾，但是作品中已经出现作为背景或象征的海洋意象用于表达对自由的向往和对母国想象的蔚蓝色出口。海洋书写的双生两面既承载着殖民统治的暴力记忆，又寄托着对民族解放的渴望。

赖和（1894-1943）被尊称为“台湾省的鲁迅”，经历辛亥革命的成长背景使其汉诗写作充满着沉重的悲痛与反抗的呼声。作品《一杆“秤仔”》中的日本殖民者跨海而来，作为海岛的台湾省被殖民的命运与海洋紧密相关。主人公卖菜农民秦得参承受着殖民统治的层层盘剥。他因得罪日本警察而被折断秤仔，为了省钱宁愿去坐牢，妻子为保释他花钱打点。但是，秦得参经历这一系列变故后，感觉自己吃苦耐劳、勤勉过活是毫无希望的，生无可恋的他遂杀死警察后自杀。作品中的人民，土地被剥夺，传统制糖业被压榨，只能被牢牢束缚在土地之上。作为潜在出路的海洋在小说中完全“缺席”，这种书写方式正隐喻了殖民统治下底层民众物质上的赤贫以及生存空间、未来可能性被全然封锁的绝望处境。正如赖和在《归去来》中所描绘的“冥蒙秽毒神所弃，复为摈之东亚东。四顾茫茫孤岛峙，昂头无隙见苍穹。扰扰中原方失鹿，未能一骑共驰逐。（48）”孤岛悲凉，环顾四方也只是茫茫无际的海水。台湾省因祖国的衰败而被迫割让，作家赖和纵然“迴天有志”，也终因无处施展而“填海无功”，只能声声哀怨。海洋作为底层民众反抗殖民压迫的背景，映照着眼

岛上个体的命运；展现出殖民语境下个体身份的漂泊与抗争。虽则这一时期的海洋书写受到日本殖民文化的影响，但始终坚守着中国传统文化的精神内核。作家们以海洋为媒介，将个人命运与民族命运相连，在殖民话语的夹缝中完成了对民族身份的初步确认，为后续台湾省海洋文学发展奠定了基础。

战后，台湾省进入经济快速发展期，海洋成为经济繁荣与本土意识觉醒的象征。这一时期的海洋文学以钟理和、陈映真等作家为代表，作品中的海洋从“殖民记忆空间”转变为“本土身份载体”。钟理和（1915-1960）《笠山农场》的故事发生在台湾省山区，以其细腻的笔触描绘了笠山脚下客家农村的农场生活，寄托着作家对世外桃源般的乡土生活的深深眷恋。“春已在这些树林中间，在凄黄的老叶间，又一度偷偷地刷上了油然的新绿，使得这些长在得天独厚的南天之下的树木，像懵然不知自然界中有循环交替的法则，蓬勃而倔强地又燃上了旺盛的生命之火。（49）”客家人被称为“东方吉普赛人”。钟理和作为客家籍作家，文中的客家族人物承载着族群的集体记忆，诸如阿平、刘淑华血液里流淌着祖辈的迁徙历史及坚韧性格。笠山农场的开垦有着祖先渡过海峡来台的集体记忆，咖啡作物也体现着日据时期的时代背景。海洋在小说中作为后景着墨不多，但是隐含着封闭的台湾省山村早已通过出口农作物卷入了全球化的浪潮之中。小说中，赵丙基问张永祥：“你喝过，永祥？”“没有！”张永祥羞愧地摇摇头。“我也是听他们说的。他们说外国人全喝这个。”“哦！那么我们是给外国人种的喽！”“管它是给谁种的，只要有利益，叫我做什么都行。（70）”

山间农场的文化风貌、经济收入、悲欢离合与时代变迁、与族群的命运紧密相连。与此同时，陈映真《将军族》的故事发生在海的边界——“三角埔”。替人家婚丧吹打奏乐的康乐队里的一对小人儿，他们没名没姓。三角脸是来自大陆的退伍士兵，小瘦丫头儿是被卖身为娼的台湾省少女，他们出身、年龄、经历虽不相同但是饱经沧桑、倍受凌辱的共同命运却把他们联系在一起。二人在困境中相濡以沫却始终摆脱不了被欺凌的境遇最后走向了生命的尽头。作品以海洋为背景，反复出现的日本童谣《我生在海边的小村子里》将海洋与故乡（大陆）、漂泊身份紧紧联系，探讨了战后台湾省民众的身份困惑与精神迷失，折射出本土意识的觉醒。

从远古海洋生计、历代海疆书写到先民渡台悲歌，一脉相承的家国情怀。荷据与日据时期，海洋成为殖民压迫与民族抗争的象征，以赖和为代表的文人以笔为戈，在苦难书写中坚守中华文化根脉。战后，海洋意象从殖民记忆转向本土认同，钟理和、陈映真等作家将山海岁月、族群迁徙与时代命运熔于一炉，勾勒出台湾省海洋文学从苦难抗争到身份建构的完整脉络。

二、本土文学身份建构与台湾省海洋文学转型

自 20 世纪 60 年代起，台湾省地区社会发展模式开始从农业型社会向工业型社会转变。在这一转型过程中，政治、社会、经济和文化等方面均发生了深刻变革，朝着现代化的发展路径迈进。现代性的来临不可避免地带来了“新的风险景象”，台湾省的部分有识之士通过创作来进行反思。从不同角度对现代性的弊端展开审视与批判。吉登斯(Anthony Giddens)指出，现代性在最基本的形式上可看作“工业文明的简称”。这表明，现代性的内在属性通过工业化发展进程以物质形式得以具体体现。实际上，工业文明是人类运用理性和科技征服、掠夺自然以满足自身需求的手段，但这却呈现出“一幅令人大失所望的讽刺画面”（马克思 282）。

台湾省作家杨渡在《百年转型》里提到，台湾省在工业化进程中存在两个尚未解决的问题：一是乡村走向败落，二是环境遭到破坏。乡村的败落让人们失去了诗意栖居的想象基础，使人如同失去灵魂的行尸走肉；而环境的破坏则导致人类生存环境被污染，严重威胁到人类的生存。台湾省海洋文学对工业化给人类带来的生态灾难予以强烈批判，用富有诗意的想象笔触描绘出海洋遭受污染破坏的凄惨场景。海德格尔(Martin Heidegger)深刻地指出，在现代性的主宰之下，人类必然会面临“无家可归”的威胁。由于“天地神的本已存在以及所有非人的他者的本已存在都被剥夺了”。一个天地隐匿、诸神逃离、万物被掠夺的世界不是真正的世界，而是一个地基被毁的深渊，悬于深渊中的“现代人”是“无家可归者”（余虹 1）。因此海洋环境需要尊重、敬畏意识的复归。

八十年代以来在全球化浪潮以及“21 世纪是海洋世纪”的大背景下，“海洋文化”议题愈发凸显。自 20 世纪 90 年代起，全球化的浪潮在世界范围内迅猛推进，海洋逐渐成为沟通不同文明的重要纽带。在这一时代背景下，台湾省海洋文学以夏曼·蓝波安等作家为典型代表。作品中的海洋从“本土身份空间”转变为“全球对话场域”。

人作为主体的感知状态与海洋空间提供的密集信息总是紧密有关。台湾省作为一个多元族群的社会，汉族、达悟族、布农族等多个族群共同生活在这片土地上。夏曼·蓝波安的作品以达悟族的海洋文化为核心。其创作的《冷海情深》聚焦于达悟族海洋文化。讲述作者返回故乡小岛兰屿后，重新反思、理解达悟族传统海洋生活。作品中达悟族长期生活在与世隔绝的小岛，从海洋和森林获取食物。原始的自然环境具有“万物有灵、敬畏恶灵”的原始信仰。正如作者所写“黑色翅膀的飞鱼传说中的那位跟飞鱼沟通的老人、大船的意义、小船的价值，还有无时无刻不听海涛声的雅美人（达悟族），还有那不可被主宰的海洋，就像沸腾的水在脑海里燃烧着我的思维。（夏曼·蓝波安 78）”面对神秘的自然现象，达悟族在一切生物身上见到“灵魂”“精灵”和“意象”。并把这些意象投射到外在的环境，产生了对精灵之类的信念，并随之形成了相应的崇拜活动和祭祀活动，这也是达悟族“巫魅”盛行的原因（韩升等 47）。

夏曼·蓝波安少年时代离开岛屿求学，十几年过去，他再次回到兰屿。接受过现代教育的他，对祖辈所信奉的恶灵信仰十分困惑。现代化的进程使得部落里许多年轻人也不再遵循飞鱼祭的禁忌，这无疑是一个“祛魅”的过程。然而，当他潜入水中射鱼，重新投身到达悟族传统生产活动中时，他逐渐理解了父辈的泛灵论信仰，实现了“复魅”。在《冷海情深》谈及自己的创作动机，他写道：“月悬挂在族人幻想的宇宙间，我的父亲们不曾企图用文字记载族人的历史，他们只有在脑海里雕刻所见所闻的事物。他们都是七旬以上的老人，但他们的思路清晰得令我心服口服。我唯一的途径就是努力创作，才能记录有海洋气味的作品，我如是勉励自己。（79）”达悟族的原始信仰在科技发展高度繁荣的现代社会无疑会受到种种质疑和挑战。马克思·韦伯对现代精神特质的概括：现代就是“理性祛除巫魅”（任剑涛 134）。现代文明对达悟族的泛灵论带来了强烈的冲击。认同并记录族群的生活和历史的夏曼·蓝波安对于海洋的书写也就带着知识分子文化寻根的意图。

与此同时，以夏曼·蓝波安为代表的作家们既坚守着本土海洋文化的独特性，又吸纳着全球海洋文学的先进理念，在跨文化交流中完成了对身份的建构，使台湾省海洋文学真正走向世界并折射出海洋在现代性议题中所带来的问题。在现代性所催生的众多二元对立关系里，西方与异域呈现出的撕裂式对立，是凸显西方文化霸权的一个关键途径。阿里夫·德里克(Arif Dirlik)曾一针见血地指出：“欧洲人将自身的价值观与实践活动视作现代性的普遍特质，并借助对全球的奴役与殖民化行

径，持续为这一观点提供佐证。(50)”萨义德构建的后殖民理论框架中，着重探讨了被殖民者在特定历史情境下所不得不承受的种族歧视现象及其背后的复杂机制；仿佛诸多少数民族被殖民化与被种族歧视的族群伤痛。

夏曼·蓝波安自称所写海洋文学为殖民地文学。他创作海洋文学的契机，是希望以海水为笔墨，将达悟族这个海洋民族的南岛文化让国际世界看见。“因为我以达悟族语思索，翻译成汉字来创作，同时我的精神，我的肉体，我的知识是海洋养育的，所以我的华语文学创作的作品，我更要称之为海洋殖民岛文学。我说话的对象是我民族的列祖列宗，以及我的族裔。我也说给我的世界地图听。(15-16)”他在作品《大海之眼》中联想到大航海时代殖民宗主国与被殖民者间，在第一次世界大战及第二次世界大战后与原始环境之文化，仿佛原住民文化的被殖民边缘化处境，与被殖民族群的文化精神仿佛随之逐渐消弭。“对于居住在太平洋上的任何一个岛屿在大航海时代，殖民者的降临，无论是麦哲伦在一五二一年来到关岛，揭开了蓝色水世界的谜语；或者是第一次和第二次大战之后，所有的岛屿开始被洗牌，语言加入殖民者之语汇，所谓的与原始环境共生的‘尊严的活着’的文明，瞬间转化为殖民者饭后叼根雪茄的笑话”(15-16)。都体现出在现代化浪潮下少数族裔海洋文学创作对于现代化的反思。

这一时期的台湾省海洋书写，逐渐摆脱殖民文化的桎梏，深潜于本土历史与文化的挖掘。作家们以大海为镜，重新反思台湾省的本土身份，在传统与现代、本土与外来的潮涌碰撞之中，完成了对本土身份的扎根与探索，在浪潮的涌动之中台湾省海洋文学迎来新的航程。

三、全球海洋共同体与台湾省海洋生态书写

当全球生态危机日益严重，台湾省海洋文学中的生态书写也就渐渐漫上了文学的海岸线。廖鸿基《鲸生鲸世》以鲸鱼的生命历程为经线，再现了海洋生态的脆弱与人类活动对海洋的破坏，呼吁人们敬畏自然、保护海洋；展现了本土海洋文化中的生态智慧，强调了人与自然和谐共生的不可或缺性。伴随着主体认知状态的转变，主体与海洋的关系也就会发生改变。作家们把人类还原为海洋生态的一部分，倡导摒弃“人类中心主义”理念，树立“与海共生”的生态意识。植根于海洋共同体身份认同的台湾省海洋文学书写，为全球生态文学贡献了重要的东方范例。

麦尔维尔(Herman Melville)的《白鲸记》、笛福(Daniel Defoe)的《鲁滨逊漂流记》等作品是西方海洋文学的代表，构建了以“征服海洋”“个人英雄主义”为核心的海洋话语体系。台湾省海洋文学在发展过程中，积极吸纳西方海洋文学的现代性元素，并结合本土经验进行转化。廖鸿基的《海有灵》借鉴了西方海洋文学的生态叙事视角，将海洋视为具有生命与灵性的存在，对西方秉持的“人类中心主义”的海洋观形成了突破。他以东方文化的视角重新解读海洋，将西方海洋文学中的“征服”与“抗争”转化为“敬畏”与“共生”，为世界海洋文学注入了新的东方智慧，具有属于东亚文化圈的独特“个性”。

廖鸿基《鲸生鲸世》与麦尔维尔《白鲸记》同是在现代性的基础上建构人类与海洋生物的伦理关系。在西方文化语境里，现代性的根基是主体性，其核心要义为：人类具备高于其他存在物的最高价值。自启蒙运动起，笛卡尔(René Descartes)、康德(Immanuel Kant)等思想家大力倡导主体性原则，该原则成功取代信仰，成为主导人类的全新世界观。随着这一世界观的确立，人类成为所有存在者的主体，与之相对，自然沦为客体。哈贝马斯(Jürgen Habermas)在剖析现代性危机时，

直接将其归因于主体性危机，并从主体性和殖民化这两个维度深入探究危机产生的根源。在麦尔维尔的《白鲸》中，白鲸扮演着被征服、遭屠杀的他者角色，其存在价值主要是为了彰显主体力量的强大。而主体间性试图弥合这种对立与分裂的状态，它着重强调世界上的其他生命和人类一样，均为主体，都拥有平等的内在价值，彼此处于相互关联、和谐共生的整体当中。廖鸿基的作品中对于海洋及海洋生物的态度恰恰体现出冲破以人为主体的态度，闪耀着和合共生的光辉。

廖鸿基对海洋的书写在三十岁之后才开始，1996年首部作品《讨海人》问世。在此之后，陆续完成了《鲸生鲸世》《来自深海》《山海小城》《海洋游侠》《海天浮沉》等作品。从1996年到2008年这期间，总计出版作品达十五部。廖鸿基在作品中指出虽然台湾省人民生活在海岛上，但是思维依然是和中原文化一脉相承的陆地思维。旧世界是陆岸，新领域是海洋，陆岸稳固，然而纷扰；虽然海洋漂泊，但是单纯，他以鸟笼比喻“笼里的安定与笼外的自由，面对的是不同的报偿及代价。发现身体在受苦，但心里往往因而平静。（282）”相较于海洋的波涛汹涌、瞬息万变，陆地上的生活方式无疑是稳定安逸得多。廖鸿基透过近身观察与体验海洋的存有方式，直接逼视生命存在的本来面貌，因而更能洞彻生命存在的意义、价值和美感。从海洋的角度，所有生命存在的价值也是齐等的，海纳百川“海洋是个没有门的领域”（48）。渔人虽扮演着杀戮者的角色，但在性命攸关的战斗中，渔人往往也面临极高的危险。“海底流沟错综复杂，风浪大时，巨浪、漩涡、暗流。像一个个隐藏着的陷阱，像布满地雷的雷区。（29）”而在汹涌的风浪里，还要与大鱼激战交锋，其困难度更高。在台湾省海洋书写里，海洋、船只和人是必不可少的三要素，不过仅有这三要素还不足以赋予海洋书写文学性。人类的烂漫情怀寄予大海恢弘壮美的想象，然而实践总是与现实结缘，真实的航海生活往往危机四伏，不论航海过程中遭遇的恶劣气候，还是与各类大型鱼类的激烈搏斗，都表明海上并非如人们所期待的那般是理想的乌托邦之境。

海洋是生命的孕育者，但在海洋世界中，无论是人还是鱼，任何生命存在都必须不断地承受优胜劣汰的残酷考验，生命存在如浪花，生存与死亡如此贴近，生命存在的脆弱与艰险，在大海前，一览无余。在人、鱼决战的时刻，讨海人坚强的意志是致胜的关键之一。然而在遭逢海上事故时，坚强的意志更是支撑讨海人度过难关的主要依凭。廖鸿基《讨海人》写道“天空旷远，海绵辽阔，水下深不可测，讨海人夹在这几乎无法触摸的三层变因之间。三者又交错影响，复杂牵动。所以有人说，还有什么比一个人，一艘船，在大海里航行那么孤独。（193-194）”讨海人海上漂流、孤苦无援时，要活着回去就是他们心中的唯一声音，意志的力量支撑着捕鱼者的生命，也使生命存在每每创造出奇迹。

卡尔·雅斯培（Karl Jaspers）指出“当处于孤独中时，我们看到自己的生命一点点地漏掉，好像它只是一连串相继逝去的顷刻。（37）”“而且也看到自己的生命在意外事件、压倒性的事件中毫无意义地颠来滚去；当我们将这种看来似乎已经到了结局而且仅只留下一片混乱的历史加以默察时，我们便不得不把自己提升到超乎历史的高度。（27-128）”海明威（Ernest Miller Hemingway）《老人与海》由孤独陷入困境的老人与鲨鱼的搏斗彰显人的意志的力量——人可以被毁灭但不可以被打败。而廖鸿基升发出的是死后之生、绝望之希望。廖鸿基《搁浅——喙鲸》记述了一条喙鲸搁浅死亡在兰屿的礁岩上，然而死去的喙鲸的身上却是一片生机盎然。从海上跃动的鲸群到搁浅死亡的喙鲸“从美丽到残败，这不仅是鲸的一生，也是大自然所有生物的一生。（100）”蕴含着中国道家自然万物变迁的规律，又包含着马丁·海德格尔所论，唯有死亡才可以把生命存在的本真性与整体性

从生存论上显现出来的哲思。虽然死亡是生命最本己的可能，且是无可替代的，但是死亡却是最容易引动人心感触的（马丁·海德格尔 120）。

廖鸿基关注鲸豚生态写作。海是他这一生的最爱。阵阵强风寒雨袭上心坎，望着幽暗的海面，想着海里会有什么样的鱼群这是令他欣喜的。海洋带给靠海而居、依海而生的人们共有的集体意识。但是海上生活不是只有烂漫和自由，广袤的大海、风浪的险恶也会考验水手和船员的意志力和体力，陆地上的人和事也会萦绕思绪。作家笔下的海与人不是一种征服关系，而是互相认识互相聆听。《讨海人》中“我”猎捕“鬼头刀”，身旁自由游动的公鱼却与中钩的母鱼不离不弃，陪伴它一起跃起、一起摔下、一起游在水里。在公鱼的眼神中看到的“不再是记忆中的倨傲从容，而是无限的悲伤、痛苦或者柔情。（廖鸿基 100）”这深深触动了廖鸿基，让他发自内心敬畏海洋的生灵而不是相信一味地征服。唯有放弃对他者的支配性，才能得到更丰富的收获。这种精神颇具有道家顺应自然，强调人与自然的和谐共生，追求“天地与我并生，万物与我为一”的境界。

反思人类以何种姿态面对海洋，观察海岸特有的风土人情、历史变迁、人民生活。从道德方法认知角度来看，西方生态主义认为，若认定生态圈由人类统治，那么就会破坏非人类存在物繁荣发展的条件，这属于道德沙文主义现象的一种表现。布莱恩·巴克斯特（Brain Baxter）提出，人类与非人类存在物并未共同处于同一个社会空间。但他们却共同居住在同一个道德空间，只有人类才能认识到这一点，这明显为他们提供了以牺牲非人类存在物为代价，完全青睐他们自己的某种方法来建构这种空间的机会。一旦人类认识到非人类存在物的生命形式也是道德空间的占据者，对人类而言，就留下了在他们自己的利益之上不公平地建构这种空间的可能性，他们是唯一能够有意识地去探究和运用这种空间的存在物（布莱恩·巴克斯特 172-173）。

廖鸿基从“讨海人”到“护海人”的转变，在以人为主体的海洋发展中，尊重海洋和海洋生物的书写就具有理性的价值。廖鸿基通过创作诠释了作品不会高于生命的高度，海洋文学是行动的文学，需要靠着行动去感受。因此海洋文学的创作与生态实践活动相辅相成，目的是对人类社会现存的价值观念和生存逻辑展开彻底反思，促使生态意识的觉醒成为自发性的伦理规范，进而通过行为实践固化为可持续的生活方式。

海洋作为连接不同文明的地理空间与文化符号，始终是文学书写的重要母题。历史记忆是身份认同的重要基础，台湾省海洋学的历史书写，通过对不同历史时期海洋叙事的还原，再现了集体记忆中的身份认同。赖和、杨逵等作家的作品，还原了殖民时期台湾省民众的海洋记忆，展现了民族身份的抗争与确认；钟理和、陈映真等作家的作品，记录了战后台湾省的海洋发展历程，展现了本土身份的扎根与探索；廖鸿基、夏曼·蓝波安等作家的作品，则折射出全球化时期台湾省海洋文学的身份开放与重构。台湾省海洋学的历史书写，不仅是对过去的回忆，更是对当下身份的确认与未来身份的展望。作家们通过历史书写，将个人记忆与集体记忆相连，将本土历史与全球历史相融，在历史的维度中完成了对身份的多元重构。未来，台湾省海洋学应继续以开放的姿态参与全球海洋文化对话，在坚守在地性的基础上，不断拓展书写的边界与深度，为世界海洋学的发展贡献更多的东方智慧与本土经验。

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达纳的航海叙事与海洋民族共同体想象

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摘要: 理查德·达纳的航海叙事参与了 19 世纪美利坚海洋民族共同体的想象性建构: 首先,《两年水手生涯》等作品通过航海见闻的文学再现,将海洋冒险精神、“男子气概”“帝国气质”塑造为民族性格的核心特质,成为新兴民族的精神图腾;其次,这种海洋叙事构建了独特的民族身份话语体系,作品通过将个体海洋经验与国家命运相联结,形成了“海洋天命”的意识形态框架,为海外扩张建构了文化合法性;最后,达纳对加州沿岸以及加勒比海区域的详细记述与美国的海洋扩张战略形成历史呼应,客观上支持了美国在上述区域的霸权扩张。

关键词: 航海叙事; 海洋秉性; 海洋民族共同体; 男子气概; 海外扩张

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Title: Dana's Maritime Narratives and the Imagination of American Maritime Community

Abstract: Richard Henry Dana's maritime narratives contributed to the imaginative construction of the American maritime community in the nineteenth century. First, works such as *Two Years Before the Mast* use literary representations of seafaring experiences to shape maritime adventurousness, masculinity, and an imperial ethos as core traits of national character, turning them into spiritual totems for the emerging nation. Second, such maritime narratives constructed a distinctive discursive system of national identity. By linking individual maritime experience to national destiny, they formed an ideological framework of "maritime manifest destiny," establishing cultural legitimacy for overseas expansion. Third, Dana's detailed accounts of the

California coast and the Caribbean Sea correspond historically with America's maritime expansionist strategies, objectively lending support to U.S. hegemonic expansion in those regions.

Keywords: Maritime narratives; Maritime attributes; National maritime community; manliness; Overseas expansion

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理查德·亨利·达纳 (Richard Henry Dana, 1815–1882) 是 19 世纪美国最受欢迎的海洋作家之一，他以自己的航海经历为基础，创作了《两年水手生涯》(Two Years Before the Mast, 1840, 简称《两年》)、《古巴纪行》(To Cuba and Back, 1859) 和《环球航行记》(A Voyage Round the World 1859–1860) 等多部广受好评的非虚构航海叙事作品。狄更斯 (Charles Dickens) 致信达纳赞扬他的《两年》(Lucid 1: 50)，麦尔维尔 (Herman Melville) 盛赞《两年》是一本“无与伦比的”书 (156)，劳伦斯 (D. H. Laurence) 称赞《两年》是“一部非常了不起的书，包含海量的、极其有用的知识” (121)。尽管如此，达纳研究的处境颇为尴尬。^①事实上，达纳的航海叙事不仅塑造了美利坚民族的海洋文化身份认同，也为美利坚海洋民族共同体注入了深邃的海洋精神内涵，赋予其中的人物群像厚重的、典型的海洋性格底色，同时也借此扩散了“海洋天命”思想，客观上支持了美国在太平洋和加勒比海地区的霸权扩张。

一、“勤劳进取”的美利坚民族共同体

“想象的共同体”是本尼迪克特·安德森 (Benedict Anderson) 用来界定民族形成与发展的核心概念，他认为民族“是一种想象的政治共同体——并且，它是被想象成为本质上有限的，同时也享有主权的共同体” (5)。就美利坚民族这一“共同体”而言，它在 200 多年的历史中从一个英属殖民地居民发展演变成一个融汇世界民族的融合体。众所周知，美国被称为“大熔炉”，往往指的是其多元的民族和种族构成，其民族和种族数量之众，常常令人惊叹。由于民族构成的多样性和复杂性，往往给美利坚民族的共同体意识带来巨大挑战。譬如，北美 13 个殖民地由于建立时间和所处地域的不一，加上政治体制、经济制度、文化习俗和种族结构的差异，因而地域观念和本土意识比较强，这对民族的整体认同形成挑战，因此“13 个殖民地居民的共同体意识发育相对迟缓” (李剑鸣 515)；后来，在“热爱自由和追求权利的基础上，北美居民形成了共同的价值观念”，“这种共同的价值观，为殖民地居民提供了一个认同的基点和联合的基础” (李剑鸣 518)。此后，他们基于共同居住的地域而获得一个整体名称：美利坚人 (America 或 American)。但是，美利坚人到底拥有哪些典型的民族特性？这是美国人或学者试图厘清的重要问题。就达纳而言，他试图通过内在认同与外在边界双重维度来构想和塑造美利坚民族共同体：一是通过融合“独特的集体经验” (Said 332) 来强化民族认同；二是依赖与“他者”民族的对照来确立自我身份，这种建构逻辑印证了萨义德

(Edward Said) 关于身份认同的本质论断——任何群体的自我定义,“归根结底牵涉到与自己相反的他者身份的建构”(Said 332)。

达纳首先通过预设美利坚民族共有的“进取精神”和“家国情怀”等核心特质,试图为“把美国当成一个想象的共同体来进行假定和构建”(Bendixen and Hamera 5) 提供价值基础。在达纳看来,美利坚民族是一个“积极进取”^②“精力充沛”(104)和“男子气概十足”(205)的民族。在《两年》中,达纳用一章的篇幅来渲染美国水手们“勤奋劳作”的日常画面。譬如,“朝圣者”号(*Pilgrim*)的船长汤普森是一个“富有活力、精力充沛的人”,“全身上下没有一根懒骨头”(104)。普通水手们也同样勤劳进取,人们绝不会“在一个秩序井然的船上看到站在甲板上发呆或在一旁坐着、靠着的水手”(15)。达纳还把美利坚民族塑造成具有强烈的家国情怀的民族。在《两年》中,他多次称呼美利坚国为“祖国”(4)“我们亲爱的祖国”(10)。史密斯(Anthony Smith)认为,共同体“意味着一个明确的社会空间……共同体成员们认同并认为他们属于那里”(9),达纳正是通过重复“我们的祖国”等概念来塑造“美国等于家园”的概念隐喻,从而强化了“美国一家园”意识和精神归属感。此外,达纳每一次的航行都以回到美国结束,这不仅象征着自我回归家园,更是“为国家的可能性提供了最有力的证明”(Caesar 18)。可见达纳在《两年》中展现了构建美利坚民族共同体的双重努力:一方面通过整合多元族群的文化特质来塑造统一的民族认同,另一方面则运用“祖国”等隐喻概念来强化民族凝聚力和国家认同感。这种文学实践实质上是一种民族主义话语建构,旨在将分散的族群意识升华为具有共同历史记忆和共同价值取向的国家民族意识。

其次,达纳试图借助“他者”民族来想象和构建美利坚民族共同体身份,这种方式对他同样重要,因为美利坚的“民族身份只有通过与他者的对比才有意义”(Triandafyllidou 593)。“他者”民族如何成为构建本民族身份的重要工具?怀特(Hayden White)认为,在社会文化的压力下,当缺乏强制性的自我认同标准来满足积极的自我定义需求时,就会转向与自我明显不同的“他者”,特定的民族身份就通过它们的对立面建立起来(151)。具体而言,达纳在《两年》中将西班牙裔美洲人、加利福尼亚人、中国人、古巴人等“其他”民族置于审视的目光之下,坚持认为“美国人”同“其他”民族之间存在巨大差异,并基于这些“差异”化修辞来构建民族共同体认同。

一方面,达纳通过将西班牙裔美洲人、加州人、印第安人等民族标签化为“懒惰”,从而建构美利坚民族作为“勤劳”的对比形象。譬如,在南太平洋菲尔南德斯群岛,达纳称他见到了“世界上最懒惰的人”,这些人“什么也不做,连说话都懒得加快语速”(48)。达纳将岛上的西班牙裔美洲人的生活方式建构为“懒散”典型,宣称其完美体现了北美移民发明的“游手好闲者”(52)概念。在达纳眼中,加州人也是一个患上了“加州热”(200)的懒惰民族。此外,达纳通过建构一系列民族刻板印象——墨西哥人的“恐水症”、意大利与俄国人的航运“无能”、加州人/古巴人/中国人的“男子气概缺失”——系统性地塑造美利坚民族的优越性叙事。总之,达纳在其文学叙事中运用了典型的二元对立策略,通过塑造“他者”民族的文化缺陷来反衬美利坚民族的“优越性”。这种对比手法不仅强化了美国民族认同的逻辑基础,更凸显了其试图确立的文化霸权地位。

另一方面,与此形成鲜明差异的是,达纳笔下的美国水手和商人普遍被塑造成具有“更加勤劳”“积极进取”的民族气质(200)。在《两年》中,达纳用一章的篇幅来着重介绍美国商船水手们“勤奋劳作”的日常工作:“朝圣者”号的船长汤普森“全身上下没有一根懒骨头”(104),人们绝不会“看到站在甲板上发呆或在一旁坐着、靠着的水手”(15)。在达纳笔下,正是得益于美国

水手们勤勉尽责的工作，美国商船才会比外国商船更加整洁有序。与之相对，意大利商船船身是“生锈的”（183），俄国商船“甲板的脏乱程度足以让一名军舰水手反胃”（263），而美国商船“警觉”号（*Alert*）“没有铁锈，没有灰尘，没有松垂的索具……一切都整整齐齐的”（205）。勤劳奋进的水手与井然有序的船只已然升华为民族国家形象的鲜明标识。

正是凭借所谓“勤劳奋进”的海洋冒险精神，美国水手和船长不仅“控制了当地的贸易”，并籍此自然而然地“领导当地人”（92）。在达纳眼中，加州自然条件异常优越，它不仅拥有“世界上最好的”气候和“多个优良的港口”，还有“肥沃的土壤”，这一切倘若放在“在一个有进取心的民族手中，加州将成为一个伟大的国家！”（200）达纳的此番论述颇具深意。他首先尖锐地指出加州人因缺乏“进取精神”而导致地区发展滞后的现象，但随后提出的“富有进取心的民族”这一概念却留下了耐人寻味的悬念——这个被寄予厚望的民族究竟指向何方？达纳毫不掩饰地抛出了论断：加州应当由“有进取心的美利坚民族”（445）来掌控，这一言论赤裸裸地揭示了其殖民加州的真实意图。达纳最后总结认为，美利坚民族之所以富有“进取精神”，根源在于新教信仰。达纳宣称：“天主教是不会在新英格兰传开的……美国船长在一年的时间里要比天主教国家的船长多出将近三周的劳力。……海上的船长永远不知道感恩节什么时候到，水手们没有任何节日”（154）。达纳通过把“更勤劳、更节俭、更有进取心的美国人”（91）的民族秉性与新教关联，一方面强化了美国人对新教伦理的国家认同，同时试图利用“勤劳进取”叙事来削弱“旧大陆”根深蒂固的天主教的地位和影响力。

二、“天生伟大的海洋民族”共同体

由前文可知，达纳塑造“勤劳进取”的美利坚民族性格，旨在服务于民族身份认同、政治权力建构以及海洋文化共同体建构。那何为海洋文化身份抑或海洋属性？“所谓海洋性格或属性，主要是针对较平和的、倾向团结统一的大陆性格而言的，具有海洋属性的民族倾向于形成自由独行、对外扩张、崇尚冒险与竞争等性格。”（段波 64）法国思想家托克维尔（Alexis de Tocqueville）在界定美利坚民族的性格特征时曾有如下观点，“美国人天生就是伟大的海洋民族”（637）。究其根源，悠久的海洋传统、长期的海事活动以及临海的地理位置等海洋因素深刻影响了美利坚民族的性格，使他们易于形成海洋民族禀性。然而，美国作家在塑造美利坚人的“海洋性”方面同样功不可没。譬如，被誉为“美国海洋小说的开创者”的詹姆斯·库珀（James F. Cooper）就通过他的《领航人》（*The Pilot*, 1824）、《红海盗》（*The Red Rover*, 1827）等十余部海洋小说塑造了一大批具有典型海洋性的美国水手形象，譬如科芬、“红海盗”等，从而把典型的水手个体形象升华成国民精神和民族性格的化身。无独有偶，达纳同样在其航海叙事中将美国水手群体塑造成“最有经验的‘赶海人’”形象（248）。

首先，达纳笔下的美国水手先天对大海有一种强烈的嗜爱。达纳认为，海洋对美国人有一种天生难以抗拒的吸引力，“海洋、有关海洋的歌和海洋故事有一种巫术，只要一看到船只和水手的衣着，尤其是年轻人，他们就立即被这种巫术吸引”（460）。托克维尔同样认为“英裔美国人始终对海洋表现出一种明确的嗜好”（Tocqueville 638）。美利坚人对海洋的嗜爱首先体现为对自由和海洋冒险的向往。达纳本人正是为了寻求自由和冒险而成为“海洋漫游者”的，他“第一次感受到自由”（21）的场所正是大洋上而非陆地上。《两年》中“朝圣者”号的二副的父亲也是为了让儿子接受海

洋的“自由教育”（21），才将其送到海上的。此外，商船上不少美国船员都是经验丰富的老水手，他们与大海和船舶之间建立了深厚的情感纽带：“朝圣者”号的霍尔虽然年轻，但“多次到过广州”参与中美海洋贸易（23）；“警觉”号船长福肯“一生都在海上度过”（464），他被达纳称赞为“彻头彻尾的水手，对船非常了解，坐在船上就像一个补鞋匠在自己的棚子里一样自在”（219）；大副布朗对“警觉”号的重视甚至“不亚于对妻子和家庭的重视”（207）。达纳认为自己也是为海而生，“我相信我就是为海洋而生的，我在岸上的生活整个来说是失败的”（Adams 1: 332）。对于达纳等美国水手来说，海洋和舰船就是他们的精神“家园”（286）和灵魂归属。

其次，达纳还建构“敢于冒险”“勇于争先”的海洋民族形象。一方面，同船水手之间激烈的竞争画面让人印象深刻。譬如，收帆过程中“每个人都尽力先把上桅帆收起来”（25），首先完成的水手会通过唱歌来宣告自己的领先地位；拢帆工作通常由最强壮的、经验最丰富的水手完成，如果被别人抢先的话会令人“颜面尽失”（26）。另一方面，美国水手绝不会放过任何一个与外国船只竞争的机会，船只入港往往被他们看成“一次划船比赛的绝佳机会”（247）。托克维尔指出，美国航运业蓬勃发展的关键驱动力，正是源于达纳系统性地构建并宣扬的那种独具美国特色的冒险文化理念：

欧洲航海家谨慎地冒险出海，他只在天气宜人的时候才启航。如果发生意外事故，他会返回港口……美国人则忽视了这些预防措施，蔑视这些危险。他在暴风雨肆虐时离开；他日日夜夜把所有的帆都迎风扬起；他在航行途中修理被风浪损坏的船……没有哪个航海家能像他那样迅速地跨越海洋。（Tocqueville 640-641）

诚如托克维尔描述的那样，“朝圣者”号在从波士顿前往加州的漫长航行途中仅仅在智利的菲尔南德斯群岛靠岸进行一次补给。在达纳笔下，美国水手与匮乏的食物做斗争，与坏血病做斗争，与合恩角的致命风暴做斗争，他们表现出一种令托克维尔敬佩的“英雄主义”（Tocqueville 641）。

再次，达纳通过美国船员与外国船员的形象对比，来刻意塑造美国水手群体高超的航海技艺神话。达纳自豪地称呼美国水手为“最有经验的‘赶海人’”（248），譬如参与加州兽皮贸易的船只几乎都依赖“美国人的航海技术”（68），美国舰船“载人能力如此有限但却做得如此出色”（155）。譬如，在一次登陆过程中，达纳在恶劣海况下与其他美国水手“向他国船只展示正确的登陆方法”（249）。尤其需要指出的是，达纳还通过贬抑他国航海者的专业水平，来建构美国水手航海技术的优越性神话。譬如，他有意贬损英国水手的能力，“如果不是我们跟他们[阿亚库乔号的船员]一起涉水，这艘船可能永远也动不了”（248）；他将墨西哥人蔑称为“恐水症”（248）民族；而意大利船员则“像一群‘野胡’”（155），俄国船员则“从未见过的愚蠢和油腻”（262-263）。由此可见，达纳通过航海叙事对比手段，着力构建了美国海洋实力和海洋权力的优越性叙事神话，而英国、意大利与俄国商船则被塑造为技术落后的对比样本。达纳通过令人印象深刻的文学渲染，不仅展现了美国在船舶制造和航海技术方面的突破，更象征性地揭示了美国试图建构全球海洋权力格局的战略意图。这种叙事策略本质上反映了19世纪美国海洋民族主义和扩张主义意识形态的文学表达。

达纳认为，美国在海洋贸易领域的优势源于双重因素：一方面是美国人作为海洋民族与生俱来

的航海特质，另一方面则是美国先进的造船工业技术所提供的有力支撑。在《两年》中，性能优越、速度快捷的美国商船比比皆是，好似船舶展览会一般。譬如，达纳夸赞“警觉”号是一艘“公认的好船”，它比“罗莎”号[意大利船]大，大到能装下加州所有的兽皮”（189）；它速度奇快，“从波士顿到卡亚俄只用了八十多天，这是有记录以来最快的航行之一。在那里，它甩开了……英国的‘金发’号护卫舰和法国的‘七十四’号护卫舰”（206）。美国快船“藏獒”号（*Mastiff*）也是“美国最好的船之一”，它“速度非常快”（*Lucid* 3: 857）。此外，达纳还把美国商船比作赛马，“警觉”号“就像一匹赛马一样冲了上来”（203-204）。船只如赛马的比喻能够帮助我们更加深刻地理解达纳为何一直强调美国舰船的速度，因为速度是决定商业利润的重要因素，是衡量商业能力的重要标准，是决定美国能否在海洋贸易竞争中胜出的先决条件。在帆船时代，“警觉”号等美国造舰船凭借“和蒸汽船一样快”（392）的速度为美国赢得了利益，更赢得了国家荣耀。因此，达纳盛赞它是“世界上最光荣的移动体”（393），更是“国家之舟”的光荣象征。究其实，“美国船只膨胀的帆布代表了整个扩张主义事业”（*Rouleau* 3）：飘扬着星条旗的美国商船载着水手、货物、资本在世界海域内快速移动，“成为美国在世界范围内扩大商业能力和实际存在的象征”（*Mattox* 11）。达纳航行至古巴时再次感叹于美国造船业的能力，“所有的比较都是对我国有利的，船的式样等（都有利）”（*Dana To Cuba and Back* 287）。

然而，需要指出的是，美国舰船在当时展现出的航行速度优势，实际上恰恰源于其相对较小的吨位规格和有限的建造预算——这些表面上的“劣势”反而在特定历史条件下被达纳“转化”为机动性优势。18-19世纪，由于资金匮乏和市场变化等因素，“美国的船坞倾向于生产小型船只，最普遍的是从船头到船尾配有帆的单桅帆船和双桅纵帆船（长度为40到80英尺，排量为40到120吨）”（*Labaree* 172）。达纳在其航海叙事作品中刻意塑造的船只形象，往往通过其紧凑的船体设计展现出独特的航行特性——这种“小型化”特征赋予了船只更高的机动性与操作灵活性，成为其叙事中美国航海技术特色的重要文学表征。值得注意的是，大约从18世纪30年代开始至世纪中叶以后这段时期，美国航运业和造船业等海洋产业迎来了“繁荣”时期，并“在很多方面标志着美国海洋经济的鼎盛时期”（*Labaree* 272）。因此，当托克维尔于19世纪30年代到美国考察时，其蓬勃发展的造船业和航运业给他留下了深刻的印象，“今天，美国人用自己的船将十分之九的欧洲产品运到他们的海岸，同样也是美国人用自己的船将新世界出口产品的四分之三运送给欧洲消费者。”

（*Tocqueville* 638-639）托克维尔震撼于美利坚民族展现出的海洋属性与商业开拓精神，这种被达纳和库柏等美国海洋小说家刻意塑造的海洋民族性格促使他做出如下预言：“他们总有一天将成为全球首屈一指的海洋强国。他们生来就是要统治海洋的，就像罗马人天生就是来征服世界一样。”

（*Tocqueville* 648）达纳和托克维尔等人对美利坚民族的海洋属性的渲染与预见，成为研究美国的海洋共同体建构与海洋霸权不可忽视的重要思想与文化资源。

三、“男子气概十足”的民族共同体

在达纳的民族共同体想象框架中，所谓“海洋性”的美利坚民族也是“男子气概十足”（205）的民族。所谓“男子气概”，通常具有六项“具有某种恒定性”的人格和精神品质，它们分别是：勇敢、坚定的意志力、自我控制、自信、责任心和荣誉感（*隋红升* 127）。达纳笔下的美国男子不仅具有典型的“男子气概”，还拥有十足的“帝国气质”。显而易见，所谓美利坚民族的“男子气

概”，其实是他刻意建构的文化产物，这样的民族“气质”对正在形成中的美利坚民族共同体和帝国形象建构至关重要。

首先，达纳在其航海叙事中构建了一个独特的男性气质理论框架，将海洋冒险、勇于挑战与男性身份认同进行了深刻联结，由此来塑造美利坚民族的所谓“男子气概”。达纳在其作品中通过塑造典型的水手形象，艺术化地展现了美利坚民族特有的男性气质。这些人物形象不仅承载着个体英雄主义的特质，更成为民族精神的文化符号。譬如，在《两年》中，“警觉”号的大副布朗先生是个“‘十足的男子汉’”，他是个“有活力的人，声音洪亮，时刻保持清醒”（205）；汤普森船长“很有干劲”，“全身上下没有一根懒骨头”（104）。作为一名新水手，达纳饱受晕船的折磨，但是依然“使出全身的力气，坚持爬上桅杆”，努力完成刷油任务（9）。当他完成这项任务后，他顿时感觉自己“像个男人了”（10）。达纳的海洋文学形象叙事深刻揭示了19世纪美国水手群体独特的性别文化心理。他通过细腻的笔触展现了男性气质追求如何成为水手们克服艰难险阻的内在动力。达纳反复强调，“每个人都知道他必须是个男子汉，并且在履行职责时表现出男子气概”（210-211），“每个水手，只要他是个男人，就会毫无怨言地挺过去”（101）。达纳精心塑造的充满男子气概的美国硬汉形象——勇敢无畏、矢志不渝地为美国海洋扩张事业奉献——实质上构成了美利坚海洋帝国构建的意识形态基础。

其次，达纳认为崇尚力量是男子气概最重要的特征之一。海上生活与陆地生活是极不相同的，正如佩克（John Peck）指出的，“对海上生活的理解是基于“男子气概”这一观念的理解，其中力量是唯一重要的品质”（7）。在达纳的海洋叙事中，航海生活被描绘成一个严酷的性别竞技场。汹涌的大洋不仅是自然力量的展现，更成为检验男性气质的终极试炼场，在这里，水手们的身体力量与心理韧性时刻经受着生死考验。一位生病的水手忍着病痛也要坚持工作，他“羞于向长官承认情况”，但他还是被嘲笑为“病得像个女乘客”（418）。

再次，达纳在其海洋叙事中建构了一种独特的男性气质范式，将情感克制与身体忍耐视为水手职业伦理的核心要素。这种文学表达反映了19世纪航海文化中特定的性别意识形态与职业伦理要求。在航行途中，新水手们常饱受晕船的困扰，然而，“在船上，身体健康的人是会同情晕船的水手的，他们总是在比较中显示出他们的男子气概”（78）。在达纳看来，富有男子气概的水手一般是不会流露感情的，而且要“以漠视（伤病）为荣”。在船上，“生病的人得不到同情或关注”，因为“任何怜悯的表情，或任何关注的表现，都会显得像姐妹一样（柔弱）”（295）。由此可见，达纳通过航海叙事建构了一种崇尚武力、排斥怜悯的男性气质范式。在这种意识形态框架下，他将力量与阳刚气质直接等同，而将同情弱者、关怀弱势群体等优良品质贬斥为女性化的软弱表现。这种价值体系与殖民主义逻辑高度契合——它合理化了对“劣等民族”的征服，认为强权民族对弱势群体的统治不仅是必然的，更是符合“性别特质”和自然法则的优胜劣汰。

达纳在建构美利坚民族作为阳刚气质化身的形象时，其叙事策略实质上折射出复杂的帝国气质构建意图。正如格鲁特（Joanna de Groot）所言：“无论是在商业和政府的实践中，还是在写作、旅行和艺术的逃避领域中，男子气概和帝国都相互印证，相互保证，相互促进”（122）。因此，达纳在其航海文学中建构的男性气质范式，实际上参与了19世纪美国海洋扩张的意识形态建构。这种将情感克制与身体忍耐神圣化的叙事策略，为美国的殖民主义事业提供了文化合法性依据。

最后，达纳通过二元对立的性别叙事策略——美利坚民族的“男子气概”与“他者”民族的

“阴柔懦弱”等性别特征——系统性地建构了服务于美国殖民主义意识形态的性别文化表征体系。为了凸显美利坚民族的所谓“男子气概”，达纳差异化地把“他者”民族刻画成所谓“热衷服饰”“温和柔顺”“胆小懦弱”等性别特征。在《两年》中，达纳将加州人的服饰文化符号与男性气质缺失相连接，“每个有钱的男人都穿得像个贵族，穷人都穿得像破产的绅士”（84），毫无男性气质可言。在他看来，这一“性格（缺陷）是阻碍蒙特雷发展成大都市的唯一障碍”（93）。与注重服饰的加州人相比，波士顿商船“拉戈达”号（*Lagoda*）的水手们的衣服虽然“有些粗糙，打着补丁，还有些旧”，但他们都“有勇有谋”（128）。不论是把加州人塑造成懒惰的、还是注重服饰的形象，达纳的意图非常明显，就是为了“让人质疑他们的男子气概”（Sánchez 174），以凸显美国人的男子气概。在《古巴纪行》中，达纳构建了一套殖民主义话语体系，通过特定的文学修辞将古巴民族气质“幼态化”，以此反衬美国国民性的所谓“阳刚特质”。这种二元对立的叙事策略，深刻反映了19世纪美国扩张主义意识形态的文化逻辑。这种“幼态化”叙事在古巴游船甲板上展露无遗：

有些男孩子是从[美国]北方各州来的，皮肤白皙，发色浅，体格健壮，声音洪亮，衣着朴素，穿着结实的鞋子，诚实而笨拙；还有一些古巴男孩，他们穿着拖鞋，穿着装饰华丽的马甲和短上衣，戴着一顶有宽带子的帽子，神情既热情又胆怯，面色蜡黄，身材瘦长，声音小，举止文雅，但更像女孩子而不像男孩子。^③

在古巴的田野观察段落中，达纳延续其殖民主义叙事范式，通过人类学式的对比描写，将古巴青少年与美国同龄人置于文明进化论的话语框架中进行差异化建构：柔弱的古巴男孩“在娱乐活动中，更像女孩子，喜欢坐着，用自己的手玩耍或工作……一位美国母亲的儿子比学校里的所有男孩都更有勇气”（87）。在达纳看来，古巴人民的语言、宗教、娱乐等各个方面都是缺乏男子气概的：语言方面，古巴人民的“声音和语调单薄而急切，非常迅速，唇音过多，给人的印象是热情和孩子气的结合”（47），他们的声音“听起来像柔弱的、娘娘腔的齿擦音”（208）；宗教方面，“古巴人对过度装饰有幼稚的、孩子气的嗜好，他们的祭坛看起来像玩具店”（89）；娱乐方面，在一场斗牛比赛中，达纳观察到兴奋异常、大喊大叫的观众就像“玩耍的孩子们”（204）。达纳这种将古巴青少年与成人女性化和“幼态化”的文学策略与民族志书写，实质上构建了一套关于男性气质的殖民主义话语体系，这种民族志书写实质上反映了19世纪美国种族主义意识形态的内在逻辑。在《环球航行记》中，达纳尤其将中国人塑造成胆小懦弱的形象。1859年，达纳搭乘美国快船“藏葵”号前往香港，途中船只突然起火，船上统舱中的175名中国乘客慌作一团冲向救生艇，导致船员不得不用“手枪来威胁击退他们”（Lucid 3: 858）。达纳在危机叙事中刻意构建了鲜明的形象对比：一方面将中国男性乘客描绘成慌乱失态、缺乏勇气的群体，另一方面则塑造了沉着冷静、充满阳刚之气的美国船长及其夫人形象。通过这种二元对立的叙事手法，达纳笔下的中国男性乘客被表现为在危急时刻争相挤占本应优先救助妇女儿童的生命艇位，而美国船方人员则展现出西方殖民叙事中典型的“勇气十足”的形象。最后，达纳自豪地宣称：“在这种惊慌失措的情况下，有那么多一无所知、毫无用处的人[……]为了活命乱作一团；在此情况下我们竟然可以安全地把每只船放下水，把所有的人都装上了船，没有一个人溺亡或者被烧死。”（Lucid 3: 858）非常明显，达纳的叙事建构了一种鲜明的二元对立：中国男性被刻意塑造为怯懦无能、自私自利的负面形象，而美国男性则被理想

化为英勇果敢、沉着坚毅的典范。这种对比修辞不仅强化了东方主义的刻板印象，更通过将中国群体“他者化”的方式，确立了西方殖民话语中的种族等级秩序。值得注意的是，这种叙事策略实际上反映了19世纪美国社会盛行的种族主义意识形态，而非客观的历史事实。

通过以上论述可知，达纳把加州人、古巴人、墨西哥人和中国人等“他者”民族塑造成“娘娘腔”“孩子气”“胆小懦弱”的弱者形象，一方面以此凸显美利坚民族所谓的“男子气概”，另一方面也为征服这些所谓“阴柔和顺”的民族提供所谓“性格理据”。在西方殖民话语中，强壮的体魄是男子气概的重要组成部分，而塑造男子气概的目的就是回应时代的关切，万斯（Norman Vance）在论述“基督教男子气概”（Christian manliness）时就认为，这一概念总是反映“当代的英雄主义和时代关切”（175），其根本目的是“试图控制整个世界”（Hall 9）。就笔者而言，达纳塑造的美国“男子气概”所蕴含的文化价值和反映的当下关切无疑就是19世纪美国在太平洋与加勒比海地区的殖民扩张利益。很明显，达纳通过殖民话语的修辞策略，刻意构建了一种种族化的权力叙事，即将被殖民对象民族本质化为“柔弱”“驯顺”的客体，这种话语建构剥夺了其主体性与反抗能力。在此叙事框架下，美国殖民者以“男子气概”为符号的暴力统治被赋予了双重合法性——既是白人种族优越性的自然体现，又赋予白人“对软弱的、懒惰的种族或文明进行正当统治的权力”（Leverenz 207）。这种话语机制典型体现了萨义德所批判的东方主义认知暴力，通过将权力关系自然化，掩盖了殖民掠夺的实质。

在19世纪美国领土扩张的历史进程中，墨西哥成为其首要的侵略目标。这种扩张主义行为被包装在“天定命运”的意识形态外衣之下，通过将墨西哥人建构为“柔弱”“落后”的他者形象，美国试图为其侵略行径披上“文明开化”的合法外衣。达纳在《两年》中宣称，“四十名带枪的肯塔基猎人，十来个北方佬和英国人，足以对付一整团饥饿、慢吞吞、懒惰的混血儿”（197）；在参观墨西哥当地的要塞时，达纳渲染了要塞的“落后的”守备状况：“古老残破的”要塞“只有两门炮，其中一支被钉牢了，另一支没有支架。十二个衣衫不整、饥肠辘辘的家伙组成了驻军，据说，他们每个人都没有步枪。”（132-133）达纳对墨属加利福尼亚地区的“弱化”叙事具有深刻的政治意涵，这种话语建构与19世纪美国扩张主义的意识形态形成共谋关系。当扩张主义者宣称“软弱本身就是战争的理由”（Greenberg 227）时，实际上是在为殖民暴力构建一种伪自然化的合法性基础。

《德·鲍评论》（*De Bow's Review*）就宣称，墨西哥之所以被美国征服正是因为它“衰弱的”“娘娘腔的”性格缺陷：“它[墨西哥]混杂的人口具有文明的一切罪恶，却没有文明的一切美德……它是衰弱的、娘娘腔的、背信弃义的、虚伪的和变化无常的。……墨西哥是我们的。她知道，而且过去就知道，她完全没有能力抵抗我们。”（613, 626）达纳通过将彼时统治加州的墨西哥人描绘为缺乏阳刚之气的群体，成功构建了加州如同温顺的“羔羊”的形象叙事。这种刻意贬低墨西哥统治者的修辞策略，实质上为19世纪美国吞并加利福尼亚地区提供了意识形态合法性，在舆论场域预先完成了对殖民扩张行为的道德辩护。

在达纳的殖民叙事框架下，不仅加州人、古巴人、墨西哥人是“阴柔的”民族，就连中国、锡兰（现斯里兰卡）等亚太地区的“男人和女人都很衰弱”，他甚至预言这些地区的男孩“将成为像他们的祖先那样温和而无能的男人”（Lucid 3: 1075）。达纳采用的二元对立的性别叙事策略，实质上是一种殖民话语的政治实践。这种叙事策略通过将“他者”民族女性化、弱质化的表征方式，不仅暴露了其服务于美国海外扩张的意识形态功能，更折射出19世纪帝国主义知识生产的权力逻辑。

四、结语

总之，达纳的航海叙事是在 19 世纪美国海洋民族主义高涨、积极寻求海外扩张的历史语境下扬帆起航的，他在海洋叙事中塑造了具有强烈海洋禀性的美利坚海洋民族形象，构造了富有男子气概和帝国气质的民族共同体身份。这不仅增强了美利坚民族的海洋身份认同，也为美国向太平洋和加勒比海地区的霸权扩张提供伪自然的、所谓“合法的”辩护。

达纳对美利坚海洋民族共同体的构想超越了单纯的民族身份建构，其本质蕴含着服务于国家战略的殖民和扩张意图。达纳以帝国“拓荒者”的身份（439），致力于塑造 19 世纪扩张时期美国的国家形象。他通过构建海洋民族共同体叙事来强化海洋身份认同，宣扬美利坚民族的优越性，这种意识形态建构实质上服务于当时美国对外扩张的战略需求。必须指出：达纳的航海叙事所涉及的加州、古巴、夏威夷、中国等都是 19 世纪的美国企图攫取或企图进行权力渗透的国家或地区。达纳将这些国家或区域的民族塑造成所谓“懒惰”“和顺”“柔弱”的“他者”民族。与之相对，他将美利坚民族塑造成航海技术高超、“勤劳进取”、富有“男子气概”的海洋性民族。由此可见，达纳是一个不折不扣的民族主义者，他在“一个竞争的、比较的场域之中”得出美利坚民族为“最好的”民族这一论断（安德森 18），从而为美利坚民族对其他民族的霸权征服和殖民统治建构了所谓“性格理据”。这不仅巩固了美利坚民族共同体的海洋属性认同，同时也借此扩散了“海洋天命”思想，客观上支持了美国在太平洋和加勒比海地区的霸权扩张行径。

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注解【Notes】

①相比《两年》，学界对《古巴纪行》等作品的研究较少，其中 Mark McBride 著的 *The Colonizer Abroad*（2004）揭示《古巴纪行》中隐含的种族观和殖民意识形态，Leslie Butler 的论文“Historicizing American Travel at Home and Abroad”（2011）认为达纳前往古巴旅行呼应了美国对古巴的日益增长的兴趣。国内除了对《两年》的零星关注外，尚未涉及其他叙事文本。

②Richard Henry Dana. *Two Years before the Mast: A Personal Narrative*. Boston: Field, Osgood & Co., 1869, p.445. 后文凡出自同一著作的引文，随文标注引文出处页码。

③Richard Henry Dana, Jr. *To Cuba and Back: A Vacation Voyage*. Boston: Ticknor and Fields, 1859, p. 24. 下一段落中凡出自同一著作的引文，随文标注引文出处页码。

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“海盗帝国”：《金银岛》中的地缘政治隐喻

李长亭 (Li Changting)

摘要：罗伯特·路易斯·史蒂文森于 1883 年创作的《金银岛》，并非单纯的少年冒险小说，而是 18 世纪英帝国海洋霸权崛起、全球殖民掠夺与地缘权力博弈的文学缩影。小说以虚构的加勒比金银岛为叙事中心，以寻宝冒险为主线，将海权争夺、“边缘—中心”权力结构、殖民暴力与财富掠夺的逻辑，浓缩于不同群体的利益博弈之中。本文以地缘政治理论为支撑，结合 18 世纪大西洋殖民体系的时代背景，从空间地缘、主体权力、利益博弈三个维度剖析小说中蕴含的地缘政治内涵，揭示作品对海盗帝国殖民扩张合法性的隐喻与反思，探讨殖民时代全球资源流动与权力分配的本质。

关键词：《金银岛》；地缘政治；海盗；海盗帝国；财富掠夺

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Title: “Pirate Empire”: Geopolitical Metaphor in *Treasure Island*

Abstract: Written by Robert Louis Stevenson in 1883, *Treasure Island* is far more than a simple juvenile adventure novel. It stands as a literary microcosm of the rise of Britain’s maritime hegemony, global colonial plunder, and geopolitical power struggles in the 18th century. Centered on the fictional Caribbean Treasure Island and structured around a quest for treasure, the novel condenses contests for maritime supremacy, the “periphery-center” power structure, colonial violence, and the logic of wealth plunder into the interest conflicts among different groups. Grounded in geopolitical theory and set against the historical context of the 18th-century Atlantic colonial system, this paper analyzes the geopolitical implications of the novel from three dimensions: spatial geography, subjective power, and interest game. It reveals the work’s

metaphor and reflection on the legitimacy of colonial expansion of the pirate empire, and explores the essence of global resource flow and power distribution in the colonial era.

Keywords: *Treasure Island*; geopolitics; pirate; pirate empire; wealth plunder

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引言

18世纪中叶至19世纪初，是英帝国从区域崛起走向全球鼎盛的关键转折期，对外扩张与殖民掠夺成为这一时期帝国发展的核心要务。作为海岛国家，海洋成为英帝国势力向外辐射的核心通道，而大西洋海域连接欧洲、美洲、非洲三大洲，成为世界各国地缘权力争夺的焦点。史蒂文森的《金银岛》虽创作于1883年，距离英帝国殖民扩张的鼎盛期已有一定间隔，但小说的叙事背景明确设定于18世纪中叶的大西洋殖民语境之中。小说以少年吉姆·霍金斯的寻宝经历为切入点，巧妙串联起海盗、乡绅、医生、船长等不同身份、不同立场的群体，将他们的利益冲突、权力博弈与命运沉浮，融入一场看似简单的寻宝冒险之中，但冒险之旅却暗藏着丰富而深刻的地缘政治元素。在当下霸权主义甚嚣尘上，地区冲突不断升级的国际形势下，分析文本中的地缘政治书写可以为我们厘清帝国霸权主义发展本质提供有益参考。

地缘政治理论认为，地理空间是权力博弈的核心载体，国家、群体乃至个人的权力争夺，始终与地理空间的战略价值、资源分布、区位优势紧密相关。而殖民时代的地缘政治本质上是帝国对边缘地区的资源掠夺、权力投射与领土占领。从地缘政治理论的发展脉络来看，哈特向在《地理学的性质》中明确指出，地理空间并非孤立存在的客观实体，而是与人类社会的权力结构、利益分配深度绑定的“权力容器”，不同空间的区位差异与资源禀赋，直接决定了其在全球权力格局中的地位与作用（哈特向 45）。大卫·哈维在《新帝国主义》中作了进一步补充，他认为，殖民时代的地缘博弈本质上是“中心—边缘”结构的构建与强化过程，帝国中心通过暴力手段与制度设计，将边缘地区纳入自身的殖民体系，实现资源的单向转移与权力的绝对支配（78）。这些观点为我们解读《金银岛》中的地缘政治隐喻，提供了理论支撑。

长期以来，学界对《金银岛》的研究多集中于三个维度：一是聚焦小说的冒险叙事与文学审美，将其视为一部经典的少年冒险小说，重点分析其情节、叙事与语言特色（Sally Bushell; John D. Moore）；二是聚焦小说中的人物形象分析，多围绕吉姆·霍金斯的成长、约翰·西尔弗的复杂性和弗林特船长的传奇性展开，探讨人物形象的性格特征与象征意义，却未能将人物命运与殖民时代的地缘政治语境相结合（John Robert; 管南异; Jean Fernandez）；三是关注作品与英帝国殖民扩张的关联，但简单地将寻宝冒险等同于殖民掠夺，未能从地缘政治视角出发，系统剖析小说中空间、主体与时代背景的逻辑关联，也未能挖掘作品中蕴含的殖民扩张合法性反思与地缘权力博弈（Bradley Deane; Janet Sorensen; 姚晓玲）。本文基于现有研究，以地缘政治理论为核心分析框架，结合18世纪大西洋殖民体系的时代背景，聚焦《金银岛》中“英国本土—大西洋航线—金银岛”空间结构，剖析不同群体的权力逻辑与博弈关系，挖掘作品蕴含的殖民地缘政治隐喻。

一、18 世纪大西洋殖民体系下的地缘政治

《金银岛》中的地缘政治叙事并非史蒂文森的主观虚构，而是建立在 18 世纪大西洋殖民体系的基础上。当时英帝国的海权崛起、欧洲列强的殖民竞争、全球贸易网络的形成与殖民暴力的常态化，共同构成了小说地缘政治叙事的背景，也决定了小说中权力博弈与利益争夺的核心逻辑。要准确解读《金银岛》中的地缘政治隐喻，首先需要厘清 18 世纪大西洋殖民体系的时代背景，明确这一时期地缘政治的核心特征与运行规律。

18 世纪中叶，欧洲列强的殖民扩张进入白热化阶段。随着新航路的开辟与航海技术的发展，大西洋海域不再是隔绝各大洲的天然屏障，而是成为连接全球资源与权力的核心通道，英国、法国和西班牙三国成为大西洋海域地缘争夺的中心力量。三者围绕制海权、殖民地与全球资源，展开了长期而激烈的博弈，形成了复杂的地缘权力格局。西班牙作为最早开启殖民扩张的帝国，凭借其先发优势，成为 16 至 17 世纪大西洋殖民体系的主导者。但到了 18 世纪中叶，西班牙的殖民霸权逐渐衰落，无法再维持对大西洋航线的绝对控制，其殖民垄断地位受到了严重冲击。法国作为后起的殖民帝国，在 17 世纪逐渐崛起，开始积极参与大西洋海域的地缘争夺。在 18 世纪中叶英法间的“七年战争”（1756-1763 年）之前，法国在加勒比海地区的殖民势力逐渐壮大，成为英国海权崛起的主要竞争对手。但英国作为最终的胜利者，在 18 世纪中叶逐渐崛起，凭借其独特的地理优势与海军实力，逐步突破西、法两国的封锁，确立起以海权为核心的殖民扩张模式。小说中的“西斯帕诺拉号”船名就源于西班牙的城市名称，有着深刻的地缘政治寓意，暗示着这条航线曾经被西班牙控制，而英国通过海上博弈，取代西班牙对这条航线的控制权，也隐喻着英帝国殖民霸权的崛起。英国位于欧洲西部的不列颠群岛，四面环海，天然具备发展海权的地理优势，同时，英国率先通过工业革命，经济实力与军事实力迅速提升，为海军的发展提供了坚实的物质基础。古罗马政治家、哲学家马库斯·图留斯·西塞罗（Marcus Tullius Cicero）《论共和国》中提出了“谁控制了海洋，谁就控制了世界”的海权理念，这一理念成为英帝国扩张的指导思想，《金银岛》中的财富争夺与权力博弈，正是这一时期欧洲列强地缘争夺的文学缩影。

小说中，吉姆等人乘坐“西斯帕诺拉号”从英国布里斯托尔出发，跨越大西洋前往加勒比金银岛的航行路线，是 18 世纪英国殖民贸易的核心航线，也是美洲金银流向欧洲的关键通道。小说虽然没有直接描写具体的贸易流程，但通过对金银岛宝藏的来源，寻宝队伍的航行过程以及各方势力对航线的争夺等细节的描写，间接展现了大西洋航线的地缘价值与殖民时代的财富流动逻辑。金银岛的宝藏是西班牙殖民者从美洲印第安人手中掠夺的金银，经过弗林特海盗的抢夺与藏匿，最终被英国寻宝者带回英国本土，究其本质是殖民暴力与海盗行径的产物，反映出海盗与殖民者的共谋关系。

18 世纪大西洋殖民体系的一个重要特征就是海盗与私掠船的合法化。当时各国为了争夺海权与殖民利益，纷纷授权私掠船攻击敌国的船只与殖民据点，私掠船的船员被视为国家的非正式战士，他们的掠夺行为被赋予了“合法”的外衣，一旦捕获敌国船只，私掠船船员可以获得船上的部分财富，剩余的财富则上缴国家。这一现象成为这一时期特殊的地缘政治景观，也成为英帝国殖民扩张的重要助力。私掠船作为国家授权的海上掠夺者，以攻击敌国船只、掠夺财富为目的，本质上是帝国扩张的隐形工具，小说中的海盗其实都是英帝国私掠体系的参与者。他们在海上的掠夺经历，正是帝国殖民暴力的直接写照。

弗林特船长作为小说中的传奇海盗，其原型正是 18 世纪英国著名的私掠船船长，他曾接受英国政府的授权，攻击西班牙的运金船与殖民据点，掠夺了大量的金银财富。他的船上“所载的金子差一点把船压沉了”（史蒂文森 71）。他还会把被劫掠者“像猪一样宰掉”（史蒂文森 76）。他后来脱离英国政府的控制，独自成为海盗，建立起自己的海盗势力，试图将掠夺的财富据为己有。这种从“合法私掠者”到“非法海盗”的转变，本质上都是以暴力为手段的财富掠夺，都是帝国殖民扩张的组成部分。

小说中，比尔·博恩斯作为弗林特船长手下的退役船员，曾跟随弗林特参与过多次海上掠夺。“如果人世间谁最心狠手辣，比尔可以算一个”（史蒂文森 76）。他将藏宝图带回英国本土，充当了将殖民边缘的财富秘密传递给帝国中心的信使功能。约翰·西尔弗作为“西斯帕诺拉号”的大副，暗中勾结海盗，试图夺取船只与宝藏。其阴险狡诈的做事风格，与 18 世纪私掠船的掠夺逻辑一脉相承，体现出海盗与政府既合作又对抗的历史脉络。史蒂文森通过对这些海盗形象的刻画，不仅展现了 18 世纪大西洋海域海盗活动的猖獗，更揭示了私掠船制度与大英帝国殖民扩张的深层关联，展现出帝国殖民扩张的多样性与残酷性。

总而言之，18 世纪大西洋殖民体系下的地缘政治，是由欧洲列强的海权博弈、海盗与私掠船的合法化共同构成的。英帝国的海权崛起打破了原有的地缘权力格局，确立了以海权为核心的殖民扩张模式。《金银岛》的寻宝冒险并非偶然的个人行为，而是英帝国殖民扩张逻辑的延伸，金银岛的财富争夺是 18 世纪欧洲列强地缘争夺的具象化和文本化。小说中的空间设定、利益冲突及主体形象等都与当时的殖民地缘政治语境紧密相连，承载着深刻的地缘政治隐喻。

二、“中心-边缘”结构中的权力投射与通道争夺

地理空间是《金银岛》地缘政治叙事的核心要素。作者巧妙构建了“英国本土—大西洋航线—金银岛”的三级空间结构，这一结构并非单纯的地理空间串联，也并非随意设定的叙事场景，而是 18 世纪英帝国殖民体系“中心-边缘”权力结构的文学投射。每一处空间都承载着特定的地缘战略价值，有着明确的功能定位。空间流动标志着帝国权力的延伸与财富的转移，空间关系象征着帝国中心与殖民边缘的支配与被支配关系。英国本土作为小说叙事的起点，也是英帝国地缘权力的核心，更是殖民掠夺的指挥中心、财富归宿地与权力辐射源。殖民边缘地区的一切资源掠夺与权力博弈，最终的目的都是为了向这一中心输送资源，强化中心的权力地位，巩固帝国的殖民霸权。

小说开篇的“本葆”旅馆位于英国西南海岸的布里斯托尔附近，看似是一个偏远、简陋的海岸旅馆，实则是帝国“边缘-中心”结构的重要节点，是连接英国内陆与大西洋海域的核心纽带，也是海外掠夺者回归本土、帝国权力向海洋延伸的起点与跳板。布里斯托尔作为 18 世纪英国重要的港口城市，是英国殖民贸易与私掠活动的核心基地，大量的私掠船从这里出发，前往大西洋海域与加勒比地区，掠夺财富，扩张殖民地。同时，大量的殖民财富也从这里被运回英国本土，成为帝国积累资本的重要集散地。小说的开篇设定在布里斯托尔的“本葆”旅馆有着深刻的地缘政治寓意，它不仅明确了小说的叙事起点，更暗示了英国本土作为殖民掠夺起点的核心地位，也为后续的寻宝冒险与权力博弈埋下了伏笔。旅馆中的核心人物，无论是退役海盗比尔，还是乡绅特里劳尼、医生利弗西，亦或是少年吉姆，都承载着帝国殖民体系的符号意义，他们的行为与命运，都与帝国的殖民扩张逻辑紧密相连，共同构成了英国本土作为权力中心的象征体系。

比尔作为海盗带着宝藏地图，回归英国本土，是殖民财富从边缘向中心流动的重要中介。乡绅特里劳尼和医生利弗西则是英帝国合法秩序的代理人，也是殖民体系的“正式代理人”，他们的身份与立场代表着官方意志与殖民逻辑。特里劳尼组织寻宝队伍，就是以“合法”的名义，将殖民边缘的财富纳入帝国体系，实现个人利益与帝国利益的统一。利弗西医生作为英国中产阶级的代表，兼具“文明”与“暴力”双重属性。他的形象完美体现了英帝国殖民扩张的“双重逻辑”，即以“文明传播者”之名，行掠夺之实，揭示了英帝国殖民扩张的虚伪性。少年吉姆作为英国平民少年的代表，象征着英国平民被卷入帝国全球殖民体系的过程，也隐喻着帝国权力对底层民众的渗透与动员。他从一个旁观者，逐渐转变为参与者、推动者。在寻宝冒险的过程中，他亲眼目睹了海盗的杀戮与背叛，见证了帝国代理人的虚伪与掠夺，也经历了成长与蜕变，最终成为宝藏争夺的胜利者，获得了财富与荣誉。吉姆的成长历程，本质上是英国底层民众被帝国殖民体系“驯化”的过程。吉姆的成功并非个人的成功，而是英帝国地缘政治的彰显。

小说详细描写了“西斯帕诺拉号”航行过程中的权力博弈与利益冲突。这些博弈与冲突，象征着帝国“合法”海权与“非法”掠夺力量的对抗，是帝国秩序在海上的复制与维护，而这场博弈的舞台就是大西洋航线这一地缘通道。博弈双方分别代表着英帝国的官方秩序与海权规范，以及帝国扩张中的海盗“灰色力量”。两者的冲突，不仅是个人立场与利益的冲突，更是不同地缘权力逻辑的对抗。西尔弗等人的行为是对帝国秩序的背叛与破坏，是“非法”掠夺力量对“合法”海权的挑战，而这种挑战，并非出于对帝国殖民扩张的反抗，而是为了更好地实现个人利益的最大化，是帝国殖民掠夺逻辑的另一种体现，只是缺少了“合法”的外衣而已。斯莫利特船长作为帝国的官方代表，掌控着船只的指挥权，制定航行规则与纪律，对船员进行管理与约束。这种管理模式与英帝国在殖民地的统治模式一脉相承，都是通过等级制度与纪律规范实现权力的绝对支配。而对航线的控制意味着英国打破了西、法等国的海权封锁，确立了在大西洋海域的主导地位，能够自由地实现帝国权力向加勒比地区的投射，控制周边的殖民地。这也契合 18 世纪英帝国海权崛起的历史事实。斯莫利特船长的胜利并非单纯的正义战胜邪恶，而是大英帝国“合法”海权对“非法”掠夺力量的胜利，是帝国秩序对混乱秩序的胜利，隐喻英帝国对大西洋航线的绝对控制权，标志着英国海权模式的合理性与优越性，进一步巩固了英帝国的殖民霸权地位。

虚构的加勒比金银岛是小说地缘政治博弈的中心，也是最具象征意义的空间。从地理区位来看，金银岛位于加勒比海核心区域，扼守美洲—欧洲的海上航线，是天然的海上据点，具有极高的战略价值。作为殖民体系中的“边缘飞地”。金银岛无主权、无政府、无固定居民，处于一种“无序”的状态，契合了殖民时代“无主之地”的殖民想象与掠夺逻辑。因为按照国际法，谁先发现无主之地，谁就可以宣誓主权。特里劳尼们登上金银岛，“就把英国国旗悬挂在杉树做成的旗杆上”（史蒂文森 122），标志着主权占领。对于英帝国而言，控制金银岛，不仅能够进一步巩固其对大西洋航线的控制权，还能够将其作为掠夺加勒比地区资源的前沿基地，实现帝国权力向加勒比地区的渗透，控制周边的殖民地与海域，强化其在加勒比地区的殖民霸权。金银岛的地形特征，也进一步凸显了其地缘战略价值。它“这座岛屿大约九英里长，五英里宽，形状犹如一头肥胖的直立恐龙。岛上有两个被陆地环抱的避风良港。岛的中央有一座名叫‘西贝格拉斯’的小山”（史蒂文森 41）。这种地形使得金银岛易守难攻，既是海盗藏匿宝藏、躲避追击的理想巢穴，也是殖民者建立军事据点、控制周边海域的绝佳地点，符合殖民时代帝国中心对边缘地区的掠夺条件。弗林特船长在岛上修建

的堡垒，更是将岛屿军事化，形成了一个微型帝国，进一步彰显了金银岛的地缘战略价值。

小说中的主人公少年吉姆·霍金斯家经营的“本葆”旅店很有象征意义。本葆是英国海军将领，曾在牙买加附近海域与法国舰队激战，负伤身亡（史蒂文森 3）。这种设定使虚构与真实交汇在一起，似乎在暗示读者文本的可靠性。这也和后来的故事情节发展形成了呼应。海盗比尔的闯入将海盗形象与英国舰队联系在一起。“在平静的乡村生活里，他的出现无疑是一剂强心针。甚至有一群年轻小伙还对他赞不绝口，称他为‘真正的老水手’，还说正是有了他这样的人，英国海军才得以称霸海上”（史蒂文森 6-7）。很显然，海盗形象的魅力已然融入了英国国民的自我认知之中。年轻人们为英国海军的赫赫威名而自豪，而这种自豪感，丝毫没有因海军力量与海盗那种无法无天的暴力行径之间的关联而减弱。当英格兰的民族认同与海盗行径交织在一起时，海盗也不再是正派与基督教精神的绝对对立面。乔治·格里菲斯在《缔造帝国的英雄们》一书中，把征服者威廉描绘成了一名海盗。“如果我们能摒弃那些虚伪的道德说教，就会清楚地看到，既然所有国家的起源都或多或少与海盗行径有关，那么最优秀的海盗，自然也能成为最出色的帝国缔造者。幸运的是，这种古老的海盗血脉，至今仍未在我们身上断绝”（Griffith 6）。小说中的海盗尽管嗜血成性、作恶多端，但他们身上那份令人惊叹的胆识与智慧却削弱了其反派色彩，与乡绅等所谓英国绅士形成了共谋。

从财富价值来看，金银岛的宝藏并非天然存在，而是弗林特船长通过掠夺西班牙殖民地、抢劫西班牙运金船所得，是殖民暴力的直接产物，也是 18 世纪殖民时代全球财富的缩影。这些宝藏的所有权归属成为各方势力争夺的焦点，也成为小说地缘政治博弈的核心。“英雄化的海盗形象……以削弱自由帝国主义的根基——包括自由贸易、基督教信仰与英格兰民族认同——为代价”（Deane 693）。这场争夺是殖民时代“财富掠夺合法化”逻辑的体现：谁能掌控岛屿，谁就能掌控宝藏，谁就能将“非法”掠夺转化为“合法”占有，而金银岛作为“无主之地”，恰好为这种掠夺提供了“正当”的借口。

金银岛宝藏的流动路径清晰地展现了殖民时代财富的掠夺逻辑：西班牙殖民者从美洲印第安人手中掠夺金银财富，将其运往欧洲，这是第一次掠夺；弗林特船长作为英国私掠者，抢劫这些金银财富，将其藏匿在金银岛，这是第二次掠夺；吉姆等人作为英帝国的官方代理人，前往金银岛，夺取这些宝藏，将其带回英国本土，这是第三次掠夺。在这三次掠夺过程中，金银岛始终扮演着财富中转站的角色，而宝藏的所有权，始终被殖民势力掌控，美洲印第安人作为宝藏的原始创造者，却被彻底剥夺了所有权，甚至遭到杀害。这种命运正是殖民时代边缘群体被压迫和掠夺的真实写照。

值得注意的是，金银岛作为“无主之地”的设定，本质上是北方殖民帝国对全球南方空间的“认知建构”，是帝国掠夺合法化的借口。事实上，金银岛并非真正的“无主之地”，根据小说中的间接描述，金银岛曾是美洲印第安人活动的区域，印第安人在岛上生活、繁衍，形成了自己的生存方式与社会秩序，他们是金银岛的原始主人。然而，随着海盗和殖民者的入侵与扩张，印第安人遭到了他们无情的驱逐甚至屠杀，使得金银岛逐渐成为“无固定居民”的岛屿。小说中，本·甘恩等被放逐者在岛上发现的印第安人遗迹，也印证了金银岛并非“无主之地”，而是被北方力量剥夺了原有居民的南方边缘空间。北方殖民势力通过将金银岛建构为“无主之地”，消除了其原有的主体性，为自身的殖民掠夺提供了“合法”借口。这种认知建构是北方殖民话语霸权的重要体现，也深刻揭示了殖民时代地缘博弈的虚伪性与残酷性。

三、不同群体间的权力与博弈关系

地缘政治博弈的核心不仅是空间的争夺，更是群体间的博弈。《金银岛》中的不同群体代表着殖民时期不同的地缘权力主体，他们的身份、立场与行为对应着不同的地缘政治诉求。各方之间的博弈本质上是 18 世纪大西洋殖民体系中不同力量间的对抗与妥协，展现了殖民地缘政治的复杂性与多元性。这些群体并非孤立存在的个体，而是与“英国本土—大西洋航线—金银岛”三级空间结构息息相关，他们间的权力博弈也进一步强化了“中心—边缘”的殖民权力结构。

乡绅特里劳尼、医生利弗西和船长斯莫利特是大英帝国合法秩序的代表，也是殖民体系的代理人。他们的身份与立场决定了其地缘政治追求就是要维护英帝国的殖民秩序与利益，实现对边缘地区资源的垄断与占有，推动殖民扩张的顺利进行。他们与海盗集团等灰色力量有着本质区别：他们拥有帝国赋予的合法身份与权力，能够以“文明”、“正义”为借口，对边缘地区进行堂而皇之的控制与掠夺，其行为是英帝国殖民扩张策略的直接体现。

斯莫利特船长作为英帝国海权力量的代表，其地缘政治主张是“秩序掌控”与“权力维护”。他将维护帝国的海权秩序、确保寻宝任务的顺利完成作为自己的核心职责。因为帝国的扩张不仅需要暴力掠夺，更需要内部秩序来维护统治，确保殖民扩张的顺利进行。他利用自己的指挥才能与船只的防御优势，挫败了西尔弗等人的阴谋，不仅确保了寻宝任务的顺利完成，强化了帝国的海权秩序，彰显了帝国的权力权威。此外，斯莫利特船长对金银岛的控制，也体现了其掌控边缘地带的的能力。当吉姆等人抵达金银岛后，斯莫利特船长并没有盲目地寻找宝藏，而是首先占据了弗林特船长修建的堡垒，加强了堡垒的防御，建立了临时的统治秩序，控制了岛上的通道与资源，确保了寻宝队伍的安全。他的行为复制了英帝国的殖民扩张模式，就是以武装力量为支撑，以秩序掌控为核心，实现对边缘地区的控制与掠夺。

利弗西医生作为英帝国“文明”秩序的代表，其地缘政治逻辑是“文明驯化”与“掠夺合法化”。他作为一名医生，救死扶伤、坚守道德底线，对待吉姆等年轻人，充满关爱与引导。对待本·甘恩等边缘人物，虽然内心充满歧视，但表面上仍保持着基本的尊重与友善。在寻宝冒险的过程中，他始终坚守原则，反对不必要的杀戮与背叛，试图以“文明”的方式，解决各方之间的矛盾与冲突。但当西尔弗等人发动叛乱时，利弗西医生没有选择和平谈判，而是积极参与抵抗，甚至亲自拿起武器，参与战斗，成为暴力冲突的参与者。当吉姆等人夺取宝藏后，利弗西医生没有质疑宝藏的所有权归属，而是心安理得地接受了自己应得的一份，将“非法”掠夺的财富，转化为自己的“合法”资产。利弗西医生的这种双重行为，揭示了英帝国殖民扩张的真实意图。

特里劳尼乡绅作为英帝国上层贵族的代表，是寻宝行动的发起者与资助者。他组织寻宝队伍，并非单纯的个人逐利，也并非偶然的冒险行为，而是有着明确的地缘政治诉求。对于他而言，寻宝冒险不仅能够为自己带来巨额的财富，提升自己的社会地位与影响力，更能够为大英帝国积累资本，巩固帝国的殖民霸权，实现个人利益与帝国利益的统一。他虽然性格有些鲁莽、傲慢，容易轻信他人，但在涉及帝国利益与宝藏安全的问题上，始终保持着清醒的头脑，坚决维护帝国的核心利益。当寻宝任务完成后，他第一时间将宝藏带回英国本土，将大部分宝藏上缴帝国，自己只留下少量份额，这种行为正是“帝国利益至上”的完美体现。

斯莫利特船长、西利弗医生和特里劳尼乡绅虽然身份不同、性格各异，其地缘政治逻辑的侧重点也有所不同，但他们的核心诉求是一致的，即维护英帝国的殖民秩序与核心利益，实现对边缘地

区资源的垄断与合法占有，巩固帝国中心对边缘地区的支配地位。他们三人的协同合作，构成了英帝国殖民扩张的正式力量，其行为是大英帝国殖民扩张的直接体现，也推动了小说地缘政治博弈的展开。

相比以上三个人物，西尔弗、弗林特船长和比尔等海盗是殖民体系中的“灰色力量”，他们既不是英帝国的正式代理人，也不是边缘地区的反抗者，而是处于殖民体系的灰色地带，兼具“工具性”与“反叛性”。他们既是英帝国殖民扩张的“非正式工具”，曾为帝国的殖民扩张积累财富、争夺海权，也是帝国秩序的反叛者，试图脱离帝国的控制，以暴力为手段，追求个人利益的最大化。他们的行为逻辑与英帝国的殖民扩张逻辑，既有相通之处，也有本质区别。二者的相通之处在于，两者都以暴力为手段，以掠夺财富为目的；本质区别在于，英帝国的掠夺有“合法”的外衣与秩序的支撑，而海盗的掠夺则是“非法”的、无序的。

每一个帝国都会塑造出属于自己的海盗形象。通过重新定义这些海上劫掠者，帝国得以反衬自身海外扩张行为的合法性（Deane 694）。罗马帝国曾将海盗称作“人类公敌”——他们游离于国家法律与道德准则之外。正如马库斯·莱迪克尔所观察到的那样：“自古以来，‘海盗’一词就充满了意识形态色彩。它的作用，大致相当于‘蛮族’在陆地上的同义词，即任何与罗马为敌的人。无论海盗的真实身份与背景如何，他们都被直接定义为彻头彻尾的罪犯，是帝国社会秩序的绝对对立面”（Rediker 174）。在维多利亚中期的小说中，海盗确实被塑造成基督教精神与英国特质的对立面，但 1899 年的第二次英布战争催生了英国狂热的帝国主义情绪。自由党领袖约翰·莫利在当年的一次演讲中指责英国为“海盗帝国”（pirate empire）：“他们说要建立帝国。可我们要的，绝不是一个海盗帝国”（转引自 Harding 354）。有学者指出，莫利援引“海盗”这一概念，既是为了哀叹他眼中英国对道德与进步原则的背弃，也是为了谴责他所认定的英国对国际法的践踏（Deane 709-710）。但剑桥大学国际法教授约翰·韦斯特莱克在为英布战争辩护时就宣称，在这件事上，为战争正名的理由必须到“法律之外”去寻找（Westlake 21），要诉诸一种“更高层次的正义”（Westlake 6）。他主张政府不要理睬法律层面的争议，坚持对外扩张。有学者指出，这与其说是对莫利“英国无视国际法，形同海盗”这一指控的反驳，不如说是在公然宣称：在某些特定情况下，采取海盗式手段才是构建帝国的正确方式（Deane 710）。这样的争论其实就是用海盗隐喻来形容英帝国的对外地缘政治策略，同时也变相证明了海盗在英帝国发展历程中的重要作用。

在小说中，特里劳尼招募了西尔弗与其他海盗，认为他们“拥有最不屈不挠的钢铁意志”。但西尔弗曾是 18 世纪中叶英国著名海军将领“霍克将军的部下，在海战中失去一条腿”（史蒂文森 47）。这似乎暗示海盗与海军的紧密关系。特里劳尼出发去金银岛时，“身着蓝色外套，酷似一位海军军官”，“有意模仿水手的步伐”（史蒂文森 50）。这好像表明，他们的寻宝之旅就是政府层面的武力掠夺与征服。史蒂文森在给好友的信中，曾这样表达自己对平庸生活的抗拒：“当一个看似心智健全的人告诉我，他‘爱上了一成不变的生活’时，我只能对他说：‘你永远成不了海盗！’——好好想想吧！永远成不了海盗”（史蒂文森 365）！这至少表明，作者对海盗生活还曾是心向往之的。但小说中对海盗的描写似乎暴露出作者的矛盾态度，这其实也是和英帝国对海盗不同时期的立场是相吻合的。

弗林特船长作为小说中的传奇海盗，具有强烈的象征意义，他的行为逻辑完美体现了海盗集团“工具性”与“反叛性”的双重特征，也揭示了海盗与英帝国殖民扩张的深层关联。弗林特早年投

身英国私掠体系，接受英国政府的官方授权，专门攻击西班牙的运金船与殖民据点，掠夺大量金银财富，是帝国“合法”掠夺的延伸。特里劳尼就曾说过：“我有时感到自豪，因为他是英国人”（史蒂文森 38）。弗林特后来的反叛，并非对殖民掠夺本身的否定，而是想成为掠夺利益的掌控者，其本质仍是殖民掠夺的延伸，只是从“为帝国”转变为“为自己”。他在金银岛修建堡垒、驻扎海盗、掌控资源，其统治模式与英帝国在殖民地的军事控制如出一辙，都是以暴力为支撑的权力支配，区别仅在于权力主体和有无“合法”外衣。

约翰·西尔弗作为小说中最具复杂性的海盗形象，其更具隐蔽性与投机性，是海盗集团“灰色属性”的最佳代言人。西尔弗以“西斯帕诺拉号”大副的身份为伪装，成功融入帝国海权秩序，表面上忠诚能干、恪守纪律，主动配合斯莫利特船长的指挥，甚至赢得了部分船员的信任，完美扮演着帝国秩序“服从者”的角色，暗地里却勾结船上海盗船员，秘密策划叛乱，试图夺取船只与宝藏，成为帝国秩序的“破坏者”。他曾对别的海盗说：“如果我当上了国会议员，坐上了马车，我可不愿意那帮在房舱里的海洋律师像魔鬼闯进教堂那样闯进我的家。我主张静候时机，但时机到了，决不能轻易放过每个人”（史蒂文森 76）。这也暴露了帝国殖民者与海盗间既合作又对抗的复杂关系。

综上所述，海盗集团作为殖民体系中的“灰色力量”，其“工具性”服务于英帝国的殖民扩张，为帝国积累财富、争夺海权提供了助力，使英帝国成为“海盗帝国”；其“反叛性”只是为了打破帝国对掠夺利益的垄断，并非对殖民掠夺逻辑的否定，二者共同构成了殖民时代地缘权力博弈的重要组成部分。

结语

本文结合 18 世纪欧洲列强海权博弈与全球殖民体系的历史背景，剖析了小说中蕴含的地缘政治隐喻，揭示了作品与英帝国殖民扩张的内在关联。“西斯帕诺拉号”的航行路线、金银岛的宝藏来源和海盗群体的生存状态，均是历史现实的文学投射。这些叙事细节是对 18 世纪英帝国海权崛起、殖民掠夺常态化的形象表达。小说构建的“英国本土—大西洋航线—金银岛”三级空间结构，是英帝国地缘政治权力结构的文学镜像。金银岛作为殖民边缘的“飞地”，展现了英帝国殖民体系的运行逻辑，也强化了中心对边缘的支配与掠夺关系。不同群体间的权力博弈，并非正义与邪恶的对抗，而是“海盗帝国”不同历史时期利益集团间既合作又对抗的真实写照。小说将复杂的地缘政治关系与殖民历史具象化，让读者在冒险叙事的阅读体验中，窥见殖民势力在“正义”外衣下，对外实施的地缘政治统治和财富掠夺。当下以美国为首的霸权主义甚嚣尘上，丛林法则横行无忌，人类社会秩序正遭受严重挑战。《金银岛》中的地缘政治隐喻展现出超越时代的文学想象力和重要的研究价值。

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东亚视域下的宁波海丝文化

李广志 (Li Guangzhi)

摘要: 宁波海丝文化对外传播的时间久、范围广、影响大，在东亚史上独占鳌头。由宁波传到海外的文化既包含物质方面，也包含精神层面，同时也伴随大批人员交流互动。宁波成为通往日本和新罗海道的启碇港，将中国先进文化、制度、汉字及书籍等传播到海外。文章以海上丝绸之路为线索，考证了宁波与东亚千年海上交通的历史，梳理东亚文明史上留下的文化印记。

关键词: 遣唐使；市舶司；高丽使馆；大唐街；圣地宁波

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Title: The Maritime Silk Road Culture of Ningbo from an East Asian Perspective

Abstract: The maritime Silk Road culture of Ningbo has a long history of international dissemination, with extensive reach and profound influence, ranking foremost in East Asian history. The culture that spread abroad from Ningbo encompassed both material and spiritual aspects, accompanied by large-scale exchanges and interactions among people. As the starting port for routes to Japan and Silla, Ningbo served as a gateway through which advanced Chinese culture, institutions, Chinese characters, and books were transmitted overseas. Taking the Maritime Silk Road as its central thread, this paper examines the millennium-long maritime history between Ningbo and East Asia and traces the cultural imprints left on the history of East Asian civilization.

Keywords: Envoys to Tang Dynasty; Office of Oversea Trade(Shibosi); Goryeo Embassy; Datang Street; Sacred Ningbo

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宁波被称为古丝绸之路的“活化石”^①。宁波地区不仅有丰富的史前文化，河海元素独具特色，唐代开始设明州，由此展开对外交流，积累了丰富的丝路文化。宁波海丝文化对外传播的时间久、范围广、影响大，在东亚史上独占鳌头。宋代以后，宁波设置了管理海外贸易的市舶司，成为中国对外交流的重要口岸，在宁波与日本、高丽、东南亚交往中发挥了重要作用。

中日交流两千年，早期是以官方往来为主，日本使者多以到访国都为最终目的地。中国古代都城经常更迭，比如，自秦汉以来，今西安、洛阳、开封、南京、杭州、北京等地，都曾经做过不同时期的首都，日本奉贡朝贺的地点也随之不断变换。但是，宁波与日本的交往，1300多年来，始终没有中断过。从区域角度来看，其历史之久，内容之丰富，超过历史上的都城，是我国其他地区无法比拟的。通过宁波输往日本的瓷器、书籍、艺术、习俗、文学等，对日本文化的形成产生巨大影响。因此，宁波在的地位，近年被日本学界称之为“圣地宁波”。如今，宁波城内保留许多海丝文化的历史遗存。这些看得到、摸得着的景观，连接宁波与东亚的海洋世界，展示着宁波这座城市的丰富文化内涵。

一、宁波与日本的海上交通

唐代的明州，成为通往日本和新罗海丝之路的启碇港。日本及新罗的船只可利用季风及洋流，横渡东海、黄海直达明州。日本遣唐使带回大唐的先进文化、制度、佛教及书籍等，明州与遣唐使之间留下许多历史佳话。

鉴真东渡在中日交流史上留下光辉的一页，其影响不局限于当时，一直延伸至今。自742年至753年，鉴真进行了长达12年的东渡之旅，前五次均遭失败，第六次才得以成功。他凭着不畏艰险、不屈不挠的顽强精神，实现了赴日弘法的心愿，同时也感动了一代又一代的日本人。

743年底，鉴真第二次东渡遭遇暴风失败，在明州上岸，被安置到阿育王寺。鉴真在明州居住期间，遍游阿育王山，见到了鄮山东南岭石上的佛足迹、圣井等遗迹。鉴真与明州阿育王寺的因缘，成为日本佛舍利信仰的源头。鉴真东渡所带物品的清单中有“如来肉舍利三千粒”及“阿育王塔样金铜塔一区”。（真人元开、汪向荣 87-88）如今，日本唐招提寺内，盛装舍利的“金龟舍利塔”和鉴真带来的“白玻璃舍利壶”，以及包裹其壶的“方圆彩系花网”都已成为日本国宝级文物。自鉴真以后，日本佛舍利信仰发生了变化，成为人们礼拜的对象。不能不说，鉴真带到日本的阿育王信仰，也使宁波与日本佛教开始产生了机缘，为日本佛教注入了新的成分。

阿倍仲麻吕是唐代中日友好往来的象征，也是日本留学生的杰出代表。唐开元五年（717），不满20岁的阿倍仲麻吕随遣唐使入唐，求学长安，改名为朝衡（亦作晁衡），后历任司经句校书、左拾遗、左补阙、左散骑常侍、安南都护等职，直至大历五年（770）逝世，在大唐生活了54个春秋。他与李白、王维、储光羲等人交往密切，以文会友，尤其他在明州海边咏唱的《明州望月》诗，成为日本文学史上的千古绝唱（李广志 1-12）。

日本延历二十三年（804年，唐贞元二十年），日本再派遣唐使。这批遣唐使中有两个重量级人

物，即最澄和空海。他们二人在唐的经历，以及他们在日本所传播的思想，影响日本一千多年，至今仍是日本文化中的代表人物。其中，最澄抵唐和返回日本的线路都是从宁波进出的，他活动的区域主要集中在明州、台州和越州等地。

延历二十三年七月六日，四艘遣唐使船从肥前国松浦郡田浦同时起航。次日，第三、第四船失去联络，第一、第二船驶向大陆。其中，空海乘第一船，最澄乘第二船。八月十日，空海乘坐的第一船漂至福州长溪县赤岸镇己南海口。最澄所乘的第二船，较顺利地抵达明州。第二船人员中，判官菅原清公等二十七人准许入京，九月一日从明州奔往长安（李广志 362）。

最澄因欲往天台山巡礼求法，在明州稍做休息后，于九月十五日出生。日本延历寺保存下了当时明州和台州官府给最澄出具的牒，作为唐代发给外国人的通关文书，在唐日关系史中堪称一级史料，具有极其珍贵的价值，现在已列入日本国宝。此牒称作《明州牒》，也称《传教大师入唐牒》，现存原本是两份牒，合二为一，前一部分是明州史孙阶签发的牒文，后一部分为台州刺史陆淳给最澄回明州时签发的牒。

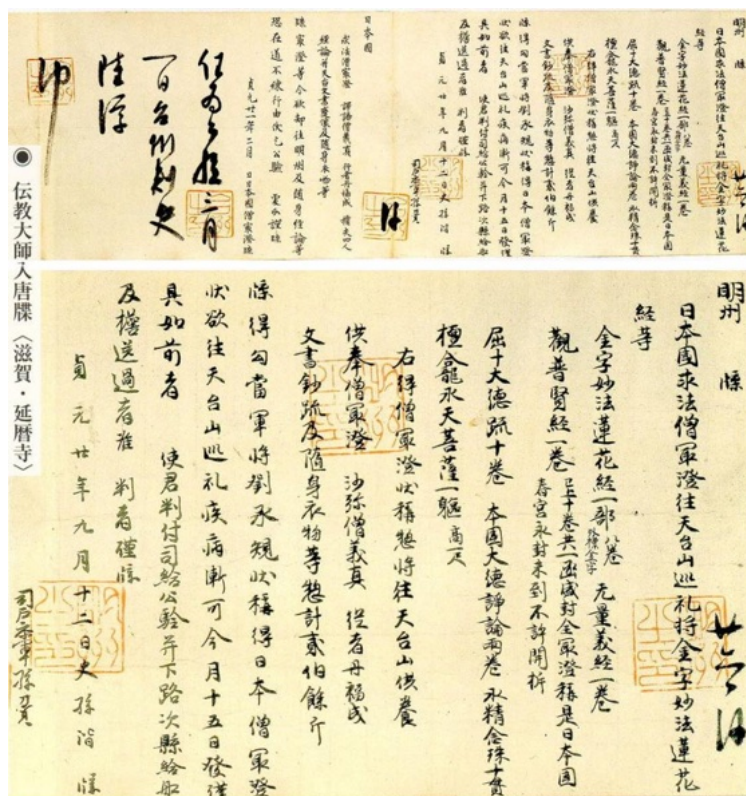


图 1: 《明州牒》（日本滋贺县延历寺藏，笔者摄）

Fig 1. "Mingzhou Tie" (collected by Yanli Temple in Shiga Prefecture, Japan, photographed by the author)

明州史孙阶签发的日期为九月十二日，另从最澄“疾病渐可”可以看出，最澄到达明州已有一段时间。如此，最澄开始了在唐为期八个多月的求法巡礼活动。

第二年，最澄自台州返回明州后，又到越州龙兴寺求法，在越府峰山顶道场得阿闍梨沙门顺晓灌顶传授三部三昧耶、图样契印法，接受密宗“两部灌顶”后再回明州。

唐贞元二十一年（805）五月五日，最澄受教于明州 县檀那行者江秘，从他那里受得“普集坛”及“如意轮坛”。最澄在其著作《内证佛法相承血脉谱》中载有“大唐明州檀那行者江秘”，其文

曰：“大唐贞元二十一年五月五日。大唐国明州檀那行者江秘。留传此普集坛并如意轮坛等。往日本国讫。付法行者。大唐明州 县廊里江第十二郎。”另，最澄还记录了在开元寺的活动情况，题为“大唐开元寺灵光和上”，该项载：“大唐贞元二十一年五月五日。明州开元寺西厢法华院灵光和上。传授军荼利菩萨坛法并契像等。”（李广志 139-152）可见，最澄与明州开元寺有着不懈之缘。

遣唐使在明州期间，地方政府负责他们的吃住行，向他们提供食物，安排住处，一切费用由唐政府承担。贞元二十一年二月六日，朝廷还下诏赐给在明州留守人员每人 5 匹绢。寺庙则是安置遣唐使的主要场所，《日本后纪》载：“去二月五日发福州，海行五十六日，此日到来。三日，到明州郭下，于寺里安置。”（森田悌 363）从福州过来的第一船等待人员，几乎全部安置在明州的寺院里。当时明州城及周边寺院有近二十所，其中包括城里的开元寺、开明庵、太平兴国寺和郊外的阿育王寺及天童寺等。

遣唐使回国前，明州刺史郑审则还送给最澄一封信，称赞最澄不畏艰险，万里求法，“可谓法门龙象，青莲出池。”（叡山学院 281）由此，遣唐僧最澄结束了浙东求法之路，携带大量的经书章疏及图像和法器，满载而归，回国后开创了日本的天台宗。

另一位文化大师空海，在长安留学期间师从青龙寺惠果和尚，禀学真言密教。他很快便融会贯通，接受金刚界和胎藏界两部大法灌顶。因其学业优异，提前回国。唐元和元年（806）四月，空海前往明州途中，在越州与当地文人进行了广泛交流。据说，空海回国前，为在日本寻求传授佛教的圣地，在明州海边投掷密教法器“三钴杵”。他面朝日本方向，高声祈愿：“吾国如有圣地，愿三钴降到彼处，归国后必竭力传播！”（李广志 76-80），于是抛向空中。三钴杵乘五色彩云，放射吉祥光芒，飞向东方大海。

回国后，空海在高野山金刚峰的一棵松树上找到了这个三钴杵，因此，高野山也就成了真言密教的道场。高野山上至今存活一棵“三钴之松”，据说就是当时空海投掷三钴杵时落到的那棵树。可以说，在日本密教缘起中，贯穿着一条宁波与高野山之间的飞天之路。

二、东亚海丝的启碇港

9 世纪开始，东亚海域交流发生重大变化，以唐朝商人、新罗商人、渤海商人和日本商人为主的海上贸易商团开始崛起，他们活跃于唐、日本和新罗等地，成为东亚海域交流的主体。在明州口岸，聚集大批海商，他们承载着货物运输与人员移动的跨国交往。

9 世纪上半期，新罗海商张宝皋掌控大部分东亚海域，从事唐与新罗、日本之间的贸易。张宝皋的贸易，以新罗清海镇为大本营，范围延伸至山东赤山、登州、莱州、泗水、楚州、扬州、明州、泉州及日本九州等地。

明州与新罗及日本的跨国贸易，贯穿整个 9 世纪。唐元和年间（806 年-820 年），浙东与新罗间就已畅通了航线。元和十一年（816 年），《旧唐书·东夷·新罗》载：“新罗饥，其众一百七十六人求食于浙东”（刘昫等 3632），当地政府妥善安置。另外，日本弘仁十年（819 年）六月，就有大唐越州人周光翰、言升则等人，乘新罗船抵日的记录。第二年，周光翰、言升则等人乘渤海使船回国。明州与新罗间的海上交通，随着洋流以及季节风的变换，形成一条自然畅的通道，致使两地船只，即便不欲互市，也会偶尔吹到对方。日本最后一次抵唐的遣唐使回国时，便担心飘至新罗，圆仁在《入唐求法巡礼行记》中载：“案旧例，自明州进发之船，为吹着新罗境。又从扬子江进发之

船，又着新罗。”（圆仁 36）可见，在圆仁记录的开成四年（839），以及较早时期，明州与新罗之间，时常会发生船舶漂着现象。

另据 1936 年《牟平县志》录《无染院碑记》载：“又鸡林金清押衙，家别扶桑，身来青社，货游鄞水，心向金田，舍青鳧择郢匠之工，凿白石竖竺乾之塔。……施主浙江东道东西都指挥使、检校尚书右仆射、守明州刺史兼御使大夫黄晟。”（中国方志丛书 1449-1452）碑记中的“鸡林”，指新罗，“金清”，则为新罗国押衙。唐时，藩镇史府、都督府内掌管衙内之事的官员，或负责仪仗的侍卫称“押衙”。“扶桑”，则指东夷诸国，此处为新罗。“青社”，原指以青州为中心的山东地区，此处指登州昆崙山一带。“鄞水”，明州地区，因古置鄞县，流淌鄞江，故此处称之鄞水。“金田”，指佛寺。黄晟（859 年-909 年）则是明州鄞县人，性格强悍，唐末乱世而起，独霸一方，自任明州刺史，在任 18 年，政绩斐然，深得后世明州人民的怀念。

唐末海商中，李延孝、张支信（有些史料记为张友信）、詹景全，航行的次数最多。唐朝商人及船主的身份，文献有记载的包括：明州商人张支（友）信；大唐商人李延孝，又称渤海国商主；越州商人詹景全，《延历寺座主圆珍传》则称其为婺州人；唐人李邻德；新罗国人王超；新罗人张公靖；此外，还有浙江商人李达等。

值得注意的是，在 9 世纪东亚海域交流中，商人的身份具有多重性、跨国性，超越了现代人所界定的国界和民族的概念。有的唐船或唐商人，实际又为新罗船或新罗人。圆仁归国时所乘船员有唐人长江、新罗人金子白、钦良晖、金珍等。此船在日本则称“新罗商船”，新罗人金珍又被称为“唐人”和“唐客”。同样，钦良晖又被成为“唐商”和“大唐国商人”，此类事例不胜枚举。

宋代管理海外贸易的机构称市舶司，相当于现在的海关职能。就其等级而言，分为市舶司、市舶务、市舶场。路一级设市舶司，其下属市舶务多在州，下级政区设置市舶场。北宋末设有五处市舶司，分别为：广南路广州、福建路泉州、两浙路杭州和明州、京东路密州市舶司。

南宋初，绍兴二年（1132）三月二日，两浙提举市舶移至秀州华亭县置司。此后，杭州、明州两处市舶司改为两浙路市舶司下辖的市舶务。两浙路市舶司下辖五个市舶务：杭州市舶务（后为临安府市舶务）、明州市舶务（后为庆元府市舶务）、秀州市舶务、温州市舶务、江阴军市舶务。绍熙元年（1190）年起杭州的市舶务被停废，宋宁宗执政期间（1195-1224 年），曾一度只许宁波从事中国与日本和朝鲜半岛之间的海外贸易。

宋代与高丽交通的主要口岸有两个：第一，北路，山东半岛的登州；第二，南路，即明州口岸。北宋熙宁七年（1074 年），高丽为躲避契丹的威胁，请求由明州上岸，宁波开始接待高丽使者。元丰元年（1078），定海县建“航济亭”，确立“为丽使往还赐燕之地”（《宝庆四明志》卷十八《定海县志》）。如今位于宁波市月湖北侧的“高丽使馆遗址”，是宁波港与高丽往来的历史见证。所谓高丽使馆，历史名称为“高丽司”、“来远局”、“高丽使行馆”、“高丽行衙”，政和七年（1117 年），明州人楼异建议宋徽宗在城内建造，徽宗皇帝愉快地答应，并有御笔批谕。这一馆舍不仅是接待高丽使者的设施，同时也是商贾及朝贡贸易的中转地，在外交礼仪方面发挥了巨大作用。

宣和五年（1123），宋朝以给事中路允迪、中书舍人傅墨卿为正、副国信使出使高丽，擅长书法的徐兢，以奉议郎充奉使高丽所提辖人船礼物官的身份随同行。徐兢一行于宣和五年三月十四日，乘舟出汴京（今开封市），五月三日抵达明州，行程 49 天。在明州休息几日后，开始出发，通过海上航路驶向朝鲜半岛的高丽国。

据徐兢《宣和奉使高丽图经》卷三十四《海道一》载，宣和五年五月“十六日戊辰神舟发明州，十九日辛未达定海县”，二神舟及六客舟，8 船浩浩荡荡地离开明州定海县，“二十四日丙子，八舟，鸣金鼓，张旗帜，以次解发。”此次使团在高丽逗留约一个月左右时间，回国后，徐兢将所见所谓如实地记录下来。徐兢的《宣和奉使高丽图经》是研究宁波与朝鲜半岛海上丝绸之路珍贵史料，他详细地记载了自明州至高丽礼成江碧澜亭（今开城西海岸）的海上航线，是我们了解宁波海上丝绸之路的重要依据。

南宋初，高丽行使馆随着政治局势的变化，高丽向金国称臣，高丽使改向金派使者，高丽行使馆的作用随之减弱。隆兴二年（1164）四月，高丽入贡，此次是明州接待高丽官方使者的最后记录，此后遂绝。



图 2：旅日华侨捐资修路的宋代石碑（宁波博物馆藏，笔者摄）

Fig 2. A stone tablet from the Song Dynasty, donated by overseas Chinese residing in Japan for road construction (collected by Ningbo Museum, photographed by the author)

1980 年代初，一个新的发现，引起海内外高度关注。宁波天一阁内尊经阁西边的院墙上，嵌入三块宋代华人刻石，他们是宋孝宗乾道三年（1167），三名居住在日本太宰府（又作大宰府）博多港的华人捐钱给明州寺院的刻石，施主的姓名分别为丁渊、张宁和张公意。丁渊捐资“十贯文，砌路一丈”；张宁“舍身砌路一丈”；张公意“舍钱十贯，明州礼拜路一丈”。这三块石刻文物遗存的发现，有力地证明了宋代华人在日本侨居的状况。

如此，在 11 世纪左右，博多地区形成了中国人居住区。尽管各类史料表述略有差异，但多数都称之为“唐坊”、“唐房”或“唐防”。滋贺县西教寺所藏《两卷疏知礼记》（上）永久四年（1116）五月十一日条载：“筑前国薄（博）多津唐房大山船龚三郎船头房，以有智山明光房唐本移书毕。已上。”（奈良国立博物馆 292-293）据此可知，在博多地区已有中国人居住的“唐房”，“大山”为大山寺（有智山寺），“龚三郎”应当是中国人名，“船头”是指船长或船主。关于“唐坊（房）”

一语，“唐”指唐人，即中国人，“坊”指他们居住的街巷或房屋。唐宋时期广州出现的阿拉伯、穆斯林聚居区称作“蕃坊”；唐代居住在楚州的新罗人生活区称“新罗坊”。

明代李言恭、郝杰著《日本考》载，在昔日日本博多有一条街，名“大唐街”。可见，博多中国人聚居区，形成于 11 世纪，一直持续到 12 世纪中下叶。尽管这种华人聚集海外的现象，并非日本独有，类似于博多唐坊的中国人居住区，同一时期也出现在高丽及东南亚各地，但宋时在博多地区形成的唐坊，无论在文献、考古资料还是历史遗存等方面，是已知华人在海外生活过程中最为完整的大唐街，可以称作是世界上最早的“唐人街”。

三、日本佛教的源流“圣地宁波”

在日本美术史上，有一个专用的学术名词，称作“宁波佛画”。这一术语的代表作基本上出自宋元时期宁波地区的美术作品。可以说，宁波是日本佛教的源头之一。其中，位于宁波市的天童寺与阿育王寺，他们不仅在中国佛教文化中拥有一席之地，而且，在日本文化中也占有重要地位。

2009 年 7 月 18 日—8 月 30 日，日本奈良国立博物馆举行一个特别展，题目叫：“圣地宁波——日本佛教 1300 年的源流”。此展览一出，立刻在世界上引起强烈反响。不言而喻，这里所说的圣地，指的是佛教发源地或与之有关的神圣之地，说明日本佛教与宁波有着密切关系。

荣西是日本临济宗祖师。他曾两次入宋，他的入宋求法之路，在宁波与日本的“海上丝绸之路”上留下一条鲜明的文化交流轨迹。

第一次是 1168 年（日本仁安三年），四月三日出生，四月二十四日到达宁波。期间，到阿育王寺朝礼舍利、巡礼天台山五百罗汉，停留 4 个月后回国。

第二次是在 1187—1191 年。在宋生活 5 年，期间，初于天台山万年寺师事虚庵怀敞禅师修学禅法，并随其来到天童寺学习。虚庵见天童寺的千佛阁，破损严重，发愿重修。荣西得知后，为报师恩，欣然许愿，提出回日本后愿寄来良材，以助修复千佛阁一臂之力。

绍熙二年（1191）秋七月，荣西乘杨三纲船离开明州。回国后，荣西果然从日本运来大批木材，以援助修建损害的“千佛阁”。楼钥《千佛阁记》载：“果致百围之木，凡若干。挟大舶，泛鲸波而至焉。千夫咸集，浮江蔽河，辇致山中。”（天童寺志编纂委员会 104）可见当时的壮观场面。

如今，千佛阁已不复存在。但是，天童禅寺在内外二“万工池”中间的位置修建一个千佛阁遗址，称“千佛亭”，再现当初的历史时空。位于天童禅寺东南青龙岗山坡上新建一个“千佛塔”，与千佛阁遗址遥相呼应，采用七层八面楼阁式宋塔的样式。塔下文字牌介绍：“古有千光荣西为报佛恩，携僧众 59 人从日本送‘百围巨木’建‘千佛阁’，万历十五年（1587），毁于水灾。现建 59 米（地面 54 米，地宫 5 米）高的千佛塔以纪念千光荣西一行礼佛盛事。”曾经的千佛阁虽已消失，但千佛亭遗址叙说着千年的历史，令游人叹为观止。

荣西是将流行于南宋时期禅宗传到日本的先驱。同时，他写有《吃茶养生记》，被日本称为“茶祖”，日本茶叶第一人。据说，荣西从明州回国时带回茶种，在日本种植后，日本才开始有了茶叶。

今宁波市三江口岸矗立一座纪念碑，上书“道元禅师入宋纪念碑”。1223 年阴历 4 月，24 岁的道元远渡重洋来到南宋的宁波（庆元府）。初到宁波时，因手续不全，未能立即上岸，在船上生活了一段时间。

五月四日，道元正在船上和日本船长聊天，一位老僧上船来，欲购买日本产的香菇。道元一边

劝茶，一边询问，得知老僧为阿育王山广利禅寺的典座。于是，二人促膝长谈，度过一段暂短的美好时光。这一段经历，不仅令道元本人终身难忘，同时也给中日交流史上留下一段佳话。道元在《典座教训》中记下了当时的精彩瞬间。典座，相当于禅寺里的厨师长。



图3 道元禅师入宋纪念碑（笔者摄）

Fig 3. Monument to the Arrival of Dogen Zan in Song Dynasty (photographed by the author)

二人交谈完了后，同年七月，老僧辞去典座一职，准备还乡，得知道元在天童山挂锡，特意去看他。二人再度相逢，道元高兴不已，赶紧请教日前在船上留下的文字和修行的问题。典座又给道元指点一番，为道元开启了新世界。典座所言“遍界不曾藏”，指的是大千世界无任何隐瞒，现实世界真实地展现在人们面前。起初，在道元看来，典座一职，只是做些杂务，受苦受累，对于追求修行悟道没什么好处。修行佛道应该坐禅、读经、参话头，而烧火做饭之类的日常炊事劳动与佛道无关。然而，典座开启道元，任何事情，都含有禅的精神，炊事也有禅，炊事禅。文字也不可执迷于文字的表象，文字要与实践相结合，才能融会贯通，达到真正的目的。由此，道元最后表白：“山僧聊知文字，了辨道，乃彼典座之大恩也。”^②

雪舟是明代（日本室町时代）的著名画僧，日本美术史上的一位杰出画家。1467年，雪舟随遣明使船来中国，从宁波上岸。在宁波期间，雪舟游览了阿育王寺和天童寺，尤其在天童寺，他获得了“四明天童第一座”的称号。

值得注意的是，这个称号是个荣誉称号，不是实际职务。天童寺授予他第一座，也就是“太白山天童景德禅寺”的首座，这也许是因为他是外国僧人，自古以来，对外国友人一般都给与特别的关照。雪舟来明朝前，他的僧位是“知客”，也就是寺院中负责接待客人的僧职，官位并不高。获得“四明天童第一座”的称号，对于雪舟来说，是个至高无上的荣誉，他也以此为自豪，在晚年的书画中，经常以此为落款。可见，天童寺已深入到日本文化和艺术等领域，成为日本文人及僧侣向往的地方。

阿育王寺在日本文化史上的地位，更是不言而喻。自从鉴真东渡以后，阿育王寺及其佛舍利信仰，在日本逐渐广为人知。

作为日本国分总寺的东大寺，12世纪末曾一度毁于战火，在重建过程中，负责人重源聘用宋朝工匠，最终完好地修复了东大寺。重源曾“入唐三度”，1167年，他首次入宋时，1168年在明州遇

见荣西，二人一起参礼了天台山、阿育王寺。重源见阿育王寺的舍利殿严重破损，表示愿意修缮积德，回国后运来了日本良材，阿育王寺以此木材修复了舍利殿。重源启用宋人陈和卿为指挥，铸佛造像，1183年（寿永2年）冶炼铸造成大佛之首。1196年，明州工匠伊行末等四人雕造了石像、石狮等，最终才使重建工程得以顺利完成。

总之，大量的历史事实证明，在中日交往史的长河中，宁波天童寺与阿育王寺始终是两座高峰，尤其在中日两国佛教交流、文化互通的过程中扮演了重要角色。无论是以鉴真为代表的中国文化使者，还是以荣西、道元、雪舟为代表的日本求法僧，他们的足迹映射在两座古刹的历史步道上。

四、宁波与日本的跨海交流文化遗产

在一千多年的中日交流中，宁波作为文化的输出和输入地，展示了港航文明的重要价值。宁波自身的文化元素，通过贸易、商人及僧侣等带到日本，丰富了日本的佛教、艺术、文学和习俗等方面的文化内涵。

日本现存许多南宋时期的石刻艺术。东大寺南大门的两座石狮子，为赴日的明州石匠所雕刻，据《东大寺造立供养记》记载：“建久七年（1196），中门石狮、堂内石胁士、同四天像，宋人字六郎等四人造之。若日本国石难造，遣价直于大唐，所买来也。”（佛书刊行会 54）据此可知，1196年，来自宋朝的六郎等四人，建造了东大寺南大门两侧的石狮、佛堂内的石造胁侍菩萨和四天王像。日本自身的石材难以刻石，所以从中国买来。刻造的石材，证实为宁波产的梅园石。此处的“六郎”，是排行的称呼，并非真名。而这四人中，能够证实其真实姓名的也只有这位“六郎”，即明州工匠伊行末。



图4：东大寺南大门石狮（笔者摄）

Fig 4. Stone lions at the south gate of Todaiji Temple (photographed by the author)

伊行末的活动痕迹多见于日本历史遗存，奈良县宇陀市大藏寺层塔，造于1240（延应2年），十三重石塔，四面重檐无纹饰。塔上铭文刻有“大唐铭州伊行末”等字，这里的“铭州”即是“明州”。也就是说，伊行末是宁波人。东大寺法华堂（三月堂）门前，安置一件由伊行末权守施与的石灯笼，灯笼上铭文显示为1254年（建长6年）。在东大寺重建过程中，伊行末修筑大佛殿石坛、四面回廊等，功劳卓著，特授予其“权守”（官位）一职，为此，伊行末布施石灯笼一座。

伊行末为修建东大寺而来到日本。1196年，伊行末等四人建造的东大寺南大门石狮子，分东、西方雌雄两座，矗立于南大门北侧，面北背南，入口处各一尊。其中，东方像高1.80米，西方像高1.60米，分别被安置在高约1.40米的华丽底座上。两座雕像的实际高度均已超过3米。两具座狮（蹲狮），胸佩腰带和流苏。底座四周雕有含苞欲放的牡丹、开花莲、飞天及双狮戏球等图案。并且，其上下配有莲瓣，下端刻有隅撑的脚台，底座基台雕有复杂的云纹图样，足见工匠的技艺精湛。

伊行末完成东大寺援建后，携家眷在日本定居下来。行末逝后，后人继承其石刻风格，光大他的事业，活跃在镰仓南都一带，形成了个性鲜明的伊氏石刻流派，成为日本石刻工艺史上赫赫有名的“伊派”，同时也是另一石工名流“大藏派”的鼻祖。这使得“伊派”石刻艺术成为日本传统文化的一部分。

日本江户时代诞生了阳明学，王阳明生活的年代正是日本遣明使来华时期。正德八年（1513）五月，王阳明与日本遣明正使了庵桂悟在宁波会晤，王阳明撰并书之《送日东正使了庵和尚归国序》，落款时间为“皇明正德八年癸酉五月既望”，即公元1513年，明正德八年五月十六日。此序比宁波文人张迪（自称“四明山人习斋居士”）为《了庵和尚语录》作跋文早一日。阳明是与弟子徐爱等人游浙东诸名山后，途经宁波返回余姚时，遇见了日本遣明使正使了庵桂悟，并为其送别诗文作序。

了庵桂悟本为僧人，因其拥有丰富的学识和人格魅力，81岁高龄被任命为正使。此次遣明使于正德六年（1511）六月抵达宁波，正德八年回国。由于使团分两批出发，四船之中，第四船的正使为宁波出身的宋素卿，他早于其他三船提前抵达宁波，并且先行返回。了庵使团朝贡仅至南京，未能到北都，阳明与了庵之会晤，亦仅此正德八年五月一次。

了庵桂悟回国前，宁波文人为他举行了隆重的送别会。宴会上所作之诗、所撰之文，均有记录，经人整理汇集成册，然后请宴会上最具文采的人作序。此刻，正是王守仁（王阳明）所作写《送日东正使了庵和尚归国序》诞生的过程。

该序文极其珍贵，未见中国史料记载，最早见于日本江户时代儒学家斋藤拙堂的《拙堂文话》中，后被《本朝高僧传》《邻交征书》《大日本史料》等收录，但文字略有出入。通过阳明参加送宴会及作序之举，可以认为，这是王阳明亲自参加的一次中日文人交流实践活动，也是部分阳明思想直接传到日本的首次历程，尽管尚不清楚它对后来日本形成的“阳明学”产生过什么影响，但它至少在历史学、文学及书法等方面是一份宝贵遗产。

阳明序的原本在日本久为私家秘藏，长期下落不明。直到东京五岛美术馆举办新装开馆纪念名品展——“五岛美术馆·大东急纪念文库之精华”，王阳明《送日东正使了庵和尚归国序》手书真迹才得以面世。

五、结语

综上所述，宁波与海外的交往是一个动态的历史过程，通览全史，交往的区域以东亚为主。唐

代中日交往分为两个时期，前半部分为官方往来，唐中后期以民间贸易为主。宋元时期则主要是民间贸易，虽说民间贸易，但也是在国家管理之下进行的商品交易及人员往来。明代为勘合形式的朝贡贸易。

中日交往呈现多种形态，中国货物及人员输往日本，给日本社会带去诸多影响，概括而言体现三个方面：第一，物质流动，主要有陶瓷、香药、书籍、铜钱等；第二，人的流动，有商人、僧侣、使者；第三，思想的流动，主要包括信息、制度、规则、技术、技能、文化习俗、宗教、信仰、语言等。然而，有别于内陆交往，中日交往的另一个特点是通过海上交通实现的，称之为“海上丝绸之路”。这个海路的出入口便是宁波。人员及物质流动的载体是商人的船舶，同时伴随大批中国人去往日本，11-13 世纪间，在博多地区形成了“大唐街”。中国人生活在日本，也需要语言沟通，有些商人一边从事贸易活动，一边兼职作通事，甚至从事专职翻译，为文化交流起到桥梁纽带作用。

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①这一提法是习近平主席在 2017 年 5 月 14 日，北京召开的“一带一路”国际合作高峰论坛开幕式上演讲时提出的著名论断：“……宁波、泉州、广州、北海、科伦坡、吉达、亚历山大等地的古港，就是记载这段历史的‘活化石’……”。习近平出席“一带一路”高峰论坛开幕式并发表主旨演讲（全文），2017-05-14 11:52: https://www.gov.cn/xinwen/2017-05/14/content_5193658.htm, [2026 年 1 月 31 日]。

②岸泽惟安著《典座教训讲话》：<https://junsoyo.on.coocan.jp/taberu/tenzo/tenzokyokun.htm>, [2026 年 2 月 13 日]。

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山形水势：中国古代航海图的意象性符号

蒋秀云 (Jiang Xiuyun)

摘要：山形水势是我国古代航海图的意象性符号。与西方航海图注重几何投影技术不同，我国古代山形水势图具有鲜明的视觉艺术特征。它忽略西方航海图要求比例尺一致的原则，采用散点透视中移步换景的原则，描绘出船员航行时在移动的甲板上所观察到的地文剪影。与西方航海图努力用数学知识把地理位置投影到二维地图上不同，中国山形水势图采用意象性思维方式，把航行中观察到的实景用符号绘制在海图上。航行时，舟师透过捕捉岛礁、山峰等地理信息，对比海图中的剪影轮廓，直观地判断海船所处的位置，选择航向，从而摆脱西方导航系统中执着于确定自己在地球坐标系中绝对位置的单一导航模式，构建出一种以人为中心的动态制图观。

关键词：山形水势；航海图；古代航海图；意象性

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Title: *Shan-xing Shui-shi: The Imagistic Symbols in Ancient Chinese Nautical Charts*

Abstract: *Shan-xing Shui-shi*, literally “the flow of water and shape of mountains”, functions as imagistic symbols in ancient Chinese nautical charts. Compared with Western nautical charts showing a favour for geometric projection and consistent scale techniques, Chinese nautical charts, especially the *Shan-xing Shui-shi* maps, possess distinctive visual and artistic characteristics. In contrast to the consistent scale used in the Western cartography, Chinese *Shan-xing Shui-shi* maps features a multi-scale approach through a logic of “moving perspective”, which are based on floating vantage point. This approach depicts the terrestrial silhouettes observed by Chinese sailors from a moving deck during their navigation. During voyages,

Chinese sailors captured geographical information—such as islands, reefs, and mountain peaks—and compared these features with the shapes depicted on nautical charts. Rather than projecting geographical locations onto a two-dimensional surface according to geometric laws, *Shan-xing Shui-shi* maps represented the imagistic symbols onto the nautical charts, which is guided by an imagery-based mode of thinking in China. Thus Chinese nautical cartography refused the western navigation system which obsessed with fixing the observer's position within a rigid geometric grid, and articulates a human-centered and dynamic understanding of space.

Keywords: the flow of water and shape of mountains; nautical charts; imagistic

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与西方航海图采用几何投影技术不同，中国古代航海图采用意象性原则，绘制出具有导航价值的岸山、岛屿与礁石等剪影，并在其上标注水深、打水测深后的海底地质情况。出航时，船员站在甲板上，在不同角度瞭望山脉、岛屿等形状来定位或导航。山形水势是我国古代航海图的意象性符号。山形水势中的“山”，按照台湾省学者陈国栋的观点，并非完全指称山峰、山岳或者山脉，而主要用来表示海中突起的陆块（land mass），包含岛屿、岛礁……等；所谓“形”就是其轮廓。“山形”指海中岛屿、或较大岛屿上个别山峰的轮廓。“水势”不是强调水的流势或流量，而是海洋地形，特别是具有危险性，应该小心或回避的海洋地形（陈国栋 4）。与西方现代海图以数学作为科学知识的基础不同，中国古代航海图具有鲜明的视觉艺术特征。美国地图史学家余定国（Cordell D. K. Yee）认为，它“并未从视觉艺术和文学艺术中完全脱离出来”，“与绘画和诗歌有着相同的美学原则”（149）。他认为，研究中国航海图，首先需要突破过去地图学研究中“将视觉与文字、地图与绘画、摹绘与象征的展示手法对立起来的研究方法”（149），要从中国古代艺术审美的角度理解中国古代航海图绘制的特点。我国古代艺术精神的源头可追溯到《周易》。它通过卦象符号捕捉自然万物变化的理念，为我国艺术创作提供“立象以尽意”的哲学基础。意象性是我国艺术创作的基本精神，也是我国古代航海图绘制的基本思维方式。

一、图画同源与意象性思维方式

作为中国古代对山川风物的一种认知方式，山形水势图与中国艺术创作具有同源关系。“图画同源”不仅体现在它们的绘制技法上，还体现在哲学思维、审美情趣及创作者身份等多个方面。首先在词源上，我国航海图（或地图）与绘画紧密相连。许慎《说文解字》认为，“图”（圖）是会意字，“从口从畺”（许慎 277）。徐灏《说文解字注笺》指出：“畺即都鄙之鄙，版图故画都鄙也。从口畺者，环其都鄙而图之也。”（《说文解字诂林》6418 下）这里的“圖”即“地图”之“图”的本字。同时，“图”还表示图画。《广雅·释诂四》：“图，画也。”（《广雅疏证》113）《史记·司马相如列传》：“众物居之，不可胜图。”（司马迁 673）裴骥《史记集解》引郭璞曰：“图，画也。”（673）在古代汉语中，“图”字既包含航海图、地图，也包含绘画。从绘制角度看，我国

古代航海图、地图与绘画都采用绢帛、纸张、木材、石料等相同的物质载体和生产工艺技术，“这使它们之间的联系更为紧密”（余定国 157）。中国古代航海图不追求绝对的几何投影，而是采用与古代山水画的表现方式，用线描技法表现山脉和河流形状，用长卷绘画“步步移，面面观”的散点透视法表现航程，具有书画同源的性质。

我国古代航海图绘制与绘画都用图像的方式摹写自然山川风物，表现人类生活的外部世界。高居翰（James Cahill, 1926—2014）发现，中国绘画中有一种描绘实景的地形山水画（topographical landscape painting），是“图画同源”的直接体现。这种绘画常被视为“旅游指南”“行政地图”或“史实记录”。其创作初衷不是为了抒发画家个人情感，而是为了记录特定的地理风貌、名胜古迹或城市景观，其核心在于真实性。为了帮助观者一眼认出当地的景观，画家刻意呈现山岳、建筑的特定形状、河流的走向等，并在其旁边标注地名，具有“绘画—地图的特征”（picture—map）。画上各地方均有标名，像图例一样，把山水、城郭、标志性建筑等简化成约定的符号（范景中 50）。中国古代航海图采用山形水势的形式绘制，具有强烈的艺术性与人文性，其妙处在于“似与不似之间”。图画同源在“似与不似之间”交合重叠，体现出我国古代意象性的思维方式。它不仅呈现古代航海家所需航海信息，还具有中国艺术审美的基本精神。王微在《叙画》中提到：“图画非止艺行。成当与《易》象同体。”（张彦远 132）也就是说，中国的图画同源不仅是艺术问题，从根本上来讲，它与代表中国古代思维方式的《周易》卦象息息相关。

《周易》卦象用阳爻和阴爻两种符号组合成六十四卦，以记录天地万物及其变化规律。卦爻之“象”是我国表达对流动不居事物吉凶判断、预测与忧患之“意”的思维方式。“象”作为世界万物（事象、物象）的模拟、写照与反映，艺术形象也是天地万物形象的反映，寓有以小见大、以迹见远、以一总万的象征性，是中国艺术的基本精神；“意”则是不可形而见之、不可得而闻之的无形意念思虑。它们的关系成为中国艺术创作的基本精神。易中天指出，“意象是中国独有的美学范畴，意象造型观也是中国独有的艺术观念，而诗画艺术则是这种艺术观的集中表现”（易中天 70）。对中国艺术创作来说，“意象”统摄着一切，统摄作为动机的心理意绪、作为题材的经验世界、作为媒介的物质载体及创作者与欣赏者的感兴。不管是艺术创造的目的、艺术欣赏的对象，还是艺术品自身的同一性，都会归结到“意象”。意象性是中国艺术审美的基本精神。比兴、兴象、形神、气韵、神韵、意境等传统美学范畴多建构在“意象”的骨架上。受这种艺术思维影响，中国古代航海家在文人画家帮助下，运用意象性思维方式，符号化地提取主要山脉、河流的主要特征，记录其经年积累的地理信息，绘制出山形水势图。

中国山形水势图强调经验感知为基础，以视觉识别为核心，形成特定的中国古代海洋定位与导航系统。在这套系统中，海图绘制与针路簿（文字指南）、天文测量和罗盘技术等结合，构成一整套闭环的定位与导航体系，其中，“山形”“水势”等意象性符号作为其视觉校准器。对景侧视图帮助船员对照海图上的山峰轮廓来确认地标，解决“我在哪”的问题；水文注记标注水深（以“托”为单位）、海底质地（如“泥”“沙”“礁”）等，帮助船员避险；海图密密麻麻注记的针路与更数不仅规定船只的航行方位，也是中国古代航海定位体系中的路径指令。当航行驶入深海，无法看到陆地山影时，我国航海系统会切换到牵星图天文导航模式，通过记录特定海域北极星、华盖星等星座的高度，以海图中的高度数据（单位为“指”）测量星辰与海平面的夹角，确定船舶所在纬度。

可以说，我国古代航海图的意象性特征集成地理学、天文学、数学和水力学等知识，为我国船员提供一套可操作的航行指南。

二、望山符号与可变比例尺

望山辨水是我国古代航海的重要导航方式。舟师选取高耸的山头作为标识，记取山峰形状，留意周围是否有其他山屿可以辅助辨认，再依据山嘴或山头及山门开合情况，确定礁脉走向，避礁行船。金门人林树梅在《闽海握要图说》中描述“望山形”：

如一山屿自北迤南约五里，自西至东约一里，就东西而望，则一山屿也。而四面之观望，各其一形，大率山高，即见山影照水，犹可再拢湾泊；如山低，一见山影，即当下碇，恐其迫山犯浅。盖山高影自远，山低影必近……（林树梅 138）

我国古代船员以航路沿线的山头、岛澳、海岸、沙汕、礁石、塔标等陆标参照物，判断舟船是否已经到达预定位置，航路是否正确。望山是我国渔民经验性的航海记忆。望山时，舟师根据倒影成像的原理，注意岛屿各个方位所成形状的差别。因此，在行舟过程中，他们不仅要抬头望山，还需低头看水。这种方式对发现礁石、沙汕同样有效，即所谓辨水势。由于在不同海域，洋流的流动方向与潮汐时间皆有不同；水的颜色变化表明离岸远近，提示是否进入另一海域。舟师在航行过程中需要时刻留意流水的变化。

为了帮助船员直观地识别出“山形”特征，我国山形水势图常把山脉画成符号化的剪影。有些是并列的三角形或侧面轮廓，如屏风般分布，或陡峭、圆润、断裂。比如《耶鲁大学所藏航海图》中山形常被绘成侧面平视的形态，水系多呈现为俯瞰的平面曲线，以便清晰标注河流的支流与交汇处。船舶接近陆地时，海图中所绘山头轮廓会随观测方位的不同而变化。绘者采用多角度绘图。因此，即使绘制同一地标，山形水势图的呈现中也并不完全相同。同一岛屿在不同位置、不同航段所呈现出的轮廓差异，是我国古代航海家舟师判断“我在哪”“该往哪转”的关键。巩珍《西洋番国志》说，“海中之山屿形状非一，但见于前，或在左右，视为准则，转向而往。”（巩珍 5—6）一个长条形岛屿，正对着它航行时可能看起来像一座“尖峰”，但当你航行到它的侧面（“或在左右”）时，它会拉长变成一堵“长墙”，舟师必须掌握同一座山在“东望”“西望”“南望”时的不同意象符号。

对这些符号化的剪影来说，方位关系比距离更重要。这种导航逻辑更接近于绘画中的“景观写生”而非“地形测量”，反映出一种非线性的空间关系。余定国指出，

在中国绘画中，画面比例往往比自然比例更加重要。也就是说，画面上物体的大小乃是根据布局需要，而非遵循几何透视原则。为避免布局过于拥挤与混乱，近处的景物可能被缩小，而远处的景物可能被放大，以衬托中景和近景。比例不一的图像裴秀制图六体中的“定实”原则。然而，很显然，直到明清时期，许多地图绘制者仍然坚持这种比例不一的绘图方法，明清的许多地图都没有连续一贯的比例尺（166-167）。

这种方法与西方自文艺复兴以来建立的“近大远小”焦点透视原则迥然不同。西方焦点透视遵循“近大远小”的原理。前景物体（如大树、高墙、巨石）占据画面绝大部分面积，像一堵墙一样遮住后面的关键信息。然而，中国意象性技法则优先保证观者的阅读效果。为了帮助看清远处的航行针路，中国绘法会故意把前景“压扁”或缩小。通过缩小近处非核心的景物，画面自然形成一个观看入口，观者可轻松越过前景，直接投射到最有价值的信息区域。通过观看山体在视野中的高度（视觉大小），航海家可轻松地判断出船只离岸的远近。

这种绘法忽略西方航海图比例尺一致性的要求。在中国山形水势航海图上并未标出比例尺，如余定国所说，“比例尺……并不是中国绘图者最关注的问题”（哈利 74）虽然目前西方学界认为，地图上缺乏比例尺或网格并不必然表明缺乏地理测量学识。世界现存最早的航海图集《郑和航海图》，采用中国传统绘画中的“景观定位法”标记山形、地物时，是按照海船行驶的方向，绘制行船者站在船头观测景物时产生的视觉感受，航海时观海看图，依“景”而行。其画面从右至左呈“一字形”展开，范围、比例、详略等并不统一，其比例尺前后并不统一。在中国另一幅著名航海图《塞尔登地图》上，虽然有一把直尺，但其整张地图的比例尺也不一致。据卜正民研究，

整体来看，这张地图以约 1:4750000 的比例画成。中国大部地区和婆罗洲、苏门答腊，差不多都是如此。但整张地图并非一致采用这个比例。拿塞尔登地图与近代圆锥投影图相比较，可看出某些地方太大，某些则太小。由不同地方的大小，可证实此点。菲律宾与长城沿线的中国北部所采的比例，是此地图其他地方所采比例的两倍（1:2400000）。这意味着地图上这些区域的面积，比按照婆罗洲或中国其他地方的比例画出的面积，还大了一倍。有些区域则是相较之下变小。东南亚大陆缩小情况尤其显著。在云南，比例缩为 1:6000000，在越南，减至不到 1:7000000。（卜正民 226）

由于菲律宾、香料群岛及中国东南沿海地区的海况复杂、贸易口岸密集，需要更详细的“地理注记”，这部分海图被不成比例地放大。相对而言，内陆及东南亚等多地则被严重压缩。据此，塞尔登认为，与其说它是地理信息呈现图，不如说它是商人“相互通商的公共权利”的海图（卜正民 228），是动态而重点突出的商业资源分布图。我国山形水势图的可变比例尺反映出，中国航海图不追求西方航海图构建的全知全能“上帝视角”般的网格，在纸面上复制地球的物理属性，它更注重导航的实用功能。当舟师在特定角度看到特定山形时，符号化的剪影如同在执行“转向而往”的指令。只要眼睛能看到其意象，航向就不会丢。或者说，它不追求数学上的绝对真理，却更注重航行中决策的高效。它承认人类的认知局限，在接受人类无法直观感受经纬度坐标的基础上，利用其敏锐的图像识别能力，把浩瀚的海洋信息浓缩成一系列可识别、可操作的意象性符号。当然，这种比例尺的差异也可能源自航行者对航行时间的认知。帆船航行受季风和洋流影响，在风顺水急的航段，船员感知的距离会缩短；而在需要曲折迂回的近岸，感知的距离会拉长。

总之，中国古代航海图是我国古代舟师望山辨水地文导航的智慧结晶。它主张运用意象性的思维方式，绘制出望山导航所需的符号化剪影。其绘制并不追求绝对比例尺，而是让航海图布局服务于航海需求，帮助舟师精准捕捉望山标记的剪影轮廓，实现航行中“转向而往”的决策引导。应该说，中国山形水势图是更加注重实用功能的信息传递载体。它通过这种意象化的符号剪影，超越自然事

物客观的物理比例，把“形状非一”的海中屿山视为绝对准则，从图像学的角度，建构出一整套与海图、针路（罗盘方位）、水深（以“托”为单位）等有关的立体航海指引系统，为我们理解东方航海技艺突破西方精确测绘限度，揭示出人类航海技艺的另一种可能。

三、散点透视与移步换景

我国古代山形水势图模拟水手站在甲板上向远方眺望的第一视角，把“航路上可资以导航的沿海岸山和航路中的岛屿礁石的剪影，以及这些岸山和岛礁附近的海洋水文和地质情况”（刘义杰 103），在海图或长卷上用写意或白描等手法勾勒出侧面轮廓，形成行舟秘本。航行时，只要水手结合天文、罗盘等导航取向，用航路上的沿海岸山和岛屿、礁石等轮廓与海图上的意象进行比照，就可判断航路是否正确或者船舶是否到达预定的位置。据此，刘义杰认为，决定中国航海成败的关键在于航海图所绘“山形”是否准确（103）。经文人多次转录变形的山形水势图，有可能失去其导航作用。如章巽在《古航海图》中指出，由于抄手不了解“山形”的内在意义，转绘时随意性很大，“山形”严重变形，已经不足以“导航”。因此，“山形”绘制技术在我国古代航海图的绘制过程中，发挥着至关重要的作用。

我国古代航海图不采用西方制图学中固定视点的“焦点透视”原则，而是运用中国山水画的散点透视法来绘制。与遵行近大远小与近实远虚基本规律的焦点透视原则不同，中国绘画不把深度空间作为表达对象，而是强调用主观意象在平面上营造“空间联想”的理想。它透过宾主、前后、高低、藏露、黑白、开合、疏密、虚实、趋势等方式，用“圈外者”身份打量世界，“细细看，面面观”，“看得透，窥得穿”，从而实现统观大势的表现目标。它拒绝在同一视点观察，主张采用移步易景的方式，安排心中景致，实现从山下看到山上，山前看到山后，使“咫尺之图，写千里之景，东西南北，宛而在前”（周积寅 401），形成“以大观小”的透视观，努力在平面上安排景物分布，呈现其相互位置关系。

与西方制图学建立固定视点不同，中国古代航海图拒绝还原静态的地理空间形态，呈现观察者在移动时的视觉效果。航行时，帆船的位置是运动变化的。船员站在甲板上所观察到的地形、地物在不断更迭。船员的观察视角不是从高空俯瞰，而是从海平面仰视。这要求绘者把每个地标（如岛屿、岬角）视为独立的观察平面，使其始终与目标物保持垂直正对。如余定国所说，

观察点不是固定的，而是不断移动和不受限制的，或者说是多重的。画面上的每一个景点都好像画在观察者隔着一段距离所看到的平面上，这个平面与观察者的视线垂直（余定国 170）。

这说明在中国传统制图学中，由于观察者处于流动的船只上，其视角随航向的平移而移动并置。其绘图遵循动态平视原则的视觉逻辑，放弃西方焦点透视的纵深感，追求最大化地呈现其轮廓。漫长航程被并置为一系列正面特写，形成不求空间几何严密、但求地标识别精准的动态图示，以满足水手在甲板上实时对标的导航需求。

与西方制图观把空间视为有界而静止，可组织、可度量的实体不同，中国传统制图观并不把空间中的具体某点置于固定的坐标系中。在中国制图观中，空间是“无边和无限的……无法被固定”，“随着观察点的变化而变化”（刘义杰 167），具有流动性。因此，中国古代航海图要呈现出随着船

只推进时，船员视点的变化过程，航路景观的动态流动性，把关键地理节点（岛屿、暗礁、水势）等置于盈尺海图间。为了便于船员在经过时对标志性地形、地物进行瞬时对应，绘者必须通过主观想象，以意象性的思维方式，绘制地标、地物的剪影。

西方焦点透视光线属单点辐射，其视点既不能随意移动，也无法增加，只能服从单点照相机式的直观反映，无法作为中国古代航海图的测绘方式。而散点透视原则的视点散在性与可移动性，使绘者在自由而平行移动的视线中，全方位地观照航程。特别是散点透视法中移步换景的原则，观察者不断移动，视角不断变化，“构思一连串动态的空间景象”（余定国 170），形成流动的观察序列，描绘出船员“移步换景”时的系列动态意象剪影。船员短则数日、长则数月的航程，被浓缩为连续贯通的意象，以“连珠式”结构并置于海图，形成海图长卷。长卷式绘制海图，把原本时间上先后发生的观察体验，用静态平面的空间方式呈现出来，使船员在航程变化中感知地理位置的变化，成为世界地图史上独树一帜的绘制方式。

结语

与西方航海图用投影的方式，努力客观地把地理位置投影到二维地图上不同，我国山形水势图采用散点透视理论，把航行中观察实景，包括海岸线、岛屿、山体等地文特征，用意象性的符号绘制在海图上。航行时，舟师（舵手）通过捕捉岛礁、山峰等地理信息，对比海图中所绘山形剪影轮廓，直观地判断海船所处的位置，选择航向，呈现出“散点透视绘图—航行时望山辨水—对照海图定位导航”三位一体的动态过程。如郭文伟所说，中国古代航海图，“通过对实地景物全方位动态观察，对要描绘的由直观视觉采集的视觉物象信息进行主观思维组合和视觉纠正，克服直观视觉收敛变形，使之成为既符合实地客观真实、又符合脑海里的思维组合真实的意象”（郭文伟 59）。在他看来，海员对航海实地景物进行全方位动态观察后，通过意象性思维方式，把它们重构为望山标记的剪影。

与西方焦点透视原则强调“近大远小”的收敛变形不同，中国山形水势图通过望山的视觉参照物，在航海中动态地感知自己的位置及前方的航道，摆脱西方导航系统中执着于在航行中地确定自己在地球坐标系中绝对位置的单一导航模式。由于西方导航系统由严谨的数学规律所主导，它要求观察者必须站在特定的点前，机械地接收信息，从而把浩瀚的海洋空间固定在几何化的物理瞬间。观察者成为被动的接受物理客观规律的“单眼”设备，消除了观察者的主体性。而中国古代航海图强调舟师通过全方位动态观察来采集信息，由大脑中的意象思维方式，为导航系统进行视觉纠正。观察者不再是被动的接收者，而是空间的构建者——他拒绝盲目遵循几何透视原则，可以为避免布局拥挤而缩小近景，也可据实用功能需要调整物体大小。这种制图哲学接受航行者在真实海域中“移步换形”的动态体验，通过“经营位置”把碎片化的视觉意象重组为符合认知逻辑的真实形象，从而拥抱了观察者的主体性，把西方海图绘制中静态地理记录转化为动态的、以人为中心的认知模型。其真实感不是来源于精确的几何比例，而是在于观察视角连贯性及动态过程的完整性，是一种以人为中心的动态制图观。

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平等、自然主义与“和合”：张于荣海洋诗中的生态伦理意识

胡苏珍 (Hu Suzhen)

摘要：张于荣近年的创作被推为中国当代海洋诗歌的重要进展，他改变了海洋书写的“征服”型话语，在对鱼——渔者关系的思辨中表达了生命平等观，表现出深层生态伦理意识。他诗歌中鱼的死亡引发的“虚无”，改变了大海于人而言的形象，但他没有采取非人类中心视角，而是持自然主义立场，在顺应人类客观历史与经验逻辑事实的基础上，将人——鱼置于一个守恒的关系，并发出对技术主义的警惕与反思，续接了中国古人的生态思想智慧。面对海、人、鱼的缠结、冲突关系，他返回中国传统文化，接通“和合”之道，从诗化海洋与物种，拟构写意化的劳动，换位思考等方面，求得海洋生态伦理的想象性建构。

关键词：张于荣；海洋诗；平等观；自然主义；和合

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Title: Equality, Naturalism, and Harmony: The Ecological Ethics in Zhang Yurong's Sea Poetry

Abstract: Zhang Yurong's recent works have been hailed as a significant advancement in contemporary Chinese sea poetry. He transformed the "conquest" discourse of oceanic writing, articulating a vision of life equality through reflections on the relationship between fish and fishermen, thereby expressing deep ecological ethical awareness. The "nothingness" evoked by the death of fish in his poetry reshapes the image of the sea in human perception. However, rather than adopting an anti-humanist perspective, he maintains a naturalist stance, aligning with the objective historical and experiential logic of humanity. Placing humans and fish in a state of

conservation, he issues warnings and reflections against technicism, continuing the ecological wisdom of ancient Chinese thought. Faced with the entangled and conflicting relationships among sea, humans, and fish, he draws back to traditional Chinese culture, connecting with the “harmony” philosophy. Through poetic depictions of the sea and species, the imaginative labor of metaphorical writing, and empathetic perspectives, he achieves a speculative construction of marine ecological ethics.

Keywords: Zhang Yurong; Sea poetry; equality consciousness; naturalism; “harmony”

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在当下中国蓬勃的海洋诗歌热潮中，张于荣的写作引起了焦点性关注，在2025年9月27日中国现代文学馆举办的个人诗作研讨会中，《诗刊》社主编李少君评价他建立起了人与海洋平等、亲密的对话关系，展现出人与海洋双向奔赴的现代海洋观，为当代诗歌开拓了具有哲学深度的新路径，标志着海洋诗歌创作的重要进展。评论家木叶也在2025年10月21日上海作协召开的研讨会上说，张于荣诗歌有考古有对话，“建立了自己的海洋诗学”。而世界宏观层面的海洋诗学已有“蓝色诗学”之称，学者王松林晚近引进了“新海洋学”的理论视野和背景，倡导跨学科研究（35-43，160）。这些论说可以启发出关于张于荣创作的如下问题：张于荣创作在当代中国海洋诗中有怎样具体的特性，背后包含了哪些参照，他对人海关系的理解有怎样的时代意识，其个体海洋诗学包含了哪些生态伦理意识，又是否投射了传统精神？对这几个层面的细究，可以打开中国当代海洋诗伦理思考的一个面相。

一、“平等”观背后的深层生态伦理意识

有学者认为，中国的海洋文学不必对标欧美海洋文学理论与标尺，局限在航海叙事、海洋历险、海上探险题材（张志忠 15-22）。的确，在中国历史上，郑和的七次航行是最灿烂的航海伟绩，但也是屈指可数的典范；中国作为农耕文明主导的国度，虽然有辽远的海岸线，但海上对外征服、探险征程难成为民族史诗或个人历记，相比之下，抒发由大海而起的感发、情意与想象，表现海上现实生存劳动占据了主要篇幅。

中国古代文学中的海洋书写有几条“人海关系”的脉络。一是先秦两汉时的神仙想象，如《庄子·逍遥游》中的“藐姑射之山有神人居焉”（《庄子》13），《史记·淮南衡山列传》中的“（始皇）使徐福入海求神异物”（司马迁 3750），班彪《览海赋》中的仙道，都与人的仙逸追求有关。二是海阔长风、大展鲲鹏之志的豪情抒发，从《逍遥游》“绝云气，负青天”的高远（8），到李白“扶摇直上九万里”（511）的醉狂。第三是文人“望海”经验畅怀与“道不行，乘桴浮于海”心志抒发。有近看钱塘江入海时的奔涌水流，如沈约的“归海流漫漫，出浦水溅溅”（354）；有因望海而激荡内心的，如谢灵运的“荡志将愉乐，瞰海庶忘忧”（张兆勇 21），陆游的“潮来涌银山，忽复磨青铜。饥鹤掠船舷，大鱼舞虚空。流落何足道，意气荡心胸”（31），都忘情于大海，陶然自乐。四是描摹临海生存、经济生活，直接写人与海洋的物质依存关系，这典型体现在元明清以来，渔业规模

扩大，反映渔人苦辛、渔村风情的诗作多了起来。如清代定海人曹伟皆《定海山谣》中的“夜深双炬明岩下，道是浮波蟹眼灯”，写的就是渔民深夜在石壁环境中捕梭子蟹的辛劳（转引自杨风琴23）。

就常居海边的人而言，书写大海另有一番怀抱。骆寒超先生比较了普希金、徐志摩、舒婷三位名家与李越的大海题材诗之后，认为前三者是以大海作为抒情手段，直觉层面没有与大海融为一体，而后者能把对海洋的感觉提升到与海洋有宿命关联的生存感受上，写大海的苍茫，渔家人的孤独，粗犷不羁的生命力（1-4）。李越这种鲜活“在场式”的海洋书写主要发生在福建、浙江等沿海诗人那儿，诗艺影响最大的是汤养宗，他渔家出身，又做过海军，他将1980年代盛起的生命意识歌吟与诗性存在之思灌注于笔下的鱼、船和渔人身上，海洋成了他的精神家园和想象力的发源地。浙江的“群岛诗群”聚合了许多住在海边，有志于咏唱海域景观、渔民生存的诗人，诸如李国平、厉敏等，他们表现海的阔大与动荡、梦幻感与神秘性，渔民的劳动与创造，艰辛与创伤，文本呈现了本真的情感与可触的感性。

张于荣也久居海边，大量参与、组织过海洋诗歌讨论会，突出的是，为了准备写作，他长久而深入地观察、研究海洋、渔民、渔业、民俗，考证本地海洋生态、历史和现实变迁，搜集和占有不同年代渔民们的经验，从而推出了自己“宏大”的“在场”书写。

深刻与在场，是张于荣海洋书写的自觉追求。表现渔民迎风斩浪、勇敢坚毅的生存、生命形态，是大多数海边海洋写作者的自发格局，但张于荣更用心思考这种存在方式中的人与海、人与鱼的关系，升华到了生命伦理的高度。人是陆地动物，人与大海的关系，除了景观化的望海体验，交通上的涉海方式，就是临海而居的谋生需要。相较而言，大地上的劳动有一个正义标准，“对于人类施于大地上的艰辛和劳作，播种和耕耘，大地都用生长和收获加以回报”（施米特7）；而海洋上，固然有海里的鲜鱼与珍珠可获，但必须接受狂风与暴浪的咆哮，聆听死神的呓语，所以很多民族对海洋保持古老和虔诚的敬畏。一些人类学家坚信“那些在海岸边生活的人群一定是不得已而为之（约翰·R·吉利斯9）。张于荣对海边残酷中的生存表达了痛感：“流水，鱼，网，船/渔人/谁在主宰，又在悲悯”（《入海》38），“每一个暴头都是难关/陈老大却把风暴折成纸船/放入孩童的梦”（《与一条船谈论大海》45），都包含了他对渔民容易葬身大海的命运的悲切感。这也是当代居住海边的海洋书写者的共通主题。在王彪的《莽海上的家族》中，诗人哭诉：“你也给了我台风、旋涡、恐惧的呼喊/灯塔无数次昏倒了/我死去的父辈呵，在你怀里/像礁石一样严峻，默示着生命的固执”（岑琦、王彪13）；厉敏也在《大潮》中记下了那个悲恸的画面：“渔村在太阳熟悉的沉默中/被安静地掩埋/渔夫的尸骨木材般从村口漂出/海边礁石的头骨呼喊着”（6）。这些海边诗人留下了气候预报技术落后年代大海吞噬渔民生命的情感记忆。

但张于荣走到了更悖论性的一面，即渔民要生存，但鱼也是生命，是大海鲜活的状态，渔的动作关乎另一族类的死亡：当看到“数吨秋白命毙索饵场”，他只觉得“鱼的痛苦和食者的快乐，一起沉入海平线”“渔者的船仓板隔着生死”（《入海》58）。《鱼和渔之间》中，他似乎看到了鱼的泪：“帆篷上露滴是泪痕，荡开一片旧日涛声/网挂在空中，任凭一排垂死的飞鱼穿过”（《入海》45）。新生墨鱼被捕，他敏感于“网在抽搐，礁石战栗”（《入海》37），这种悲悯甚至让他在《渔场！渔场！》中纠结于捕鱼的收成之有无：“鱼获，风帆更加劲满/网空，海面更加辽阔”（《入海》35）。悖论的终点是虚无感，张于荣多次写海上的虚无：“纺锤体的人脸/扑向蛊惑焰光的虚无”（《入海》

34)；“用渔网打捞起海水的虚无”（《入海》19)；“亢奋的青占鱼兵团/逐火于魅惑的虚无”（《与一条鱼谈论大海》44)；“打捞虚无，让鱼儿着迷”（《与一条鱼谈论大海》6)。这些虚无描写都是由鱼的死亡而触起的。

张于荣对鱼的怜悯让人想到马尔维尔的《白鲸》，但后者更着意的是资本者船长哈亚的贪婪、凶残，捕鲸工人的贫困和丧命之悲哀，白鲸可能象征恶，也可能象征高洁。张于荣诗歌无关阶层关系或道德谴责，他立足的是哲学与生态层面的生命伦理观，他说，“平等意识已成为我海洋诗学的基本主张”“物竞天择，鱼为渔亡，似乎天经地义，但滥渔酷捕，伤天害理”（《与一条船谈论大海》205)。这既是对可持续生态环境的维护，也属于一种深层的生态学意识，阿伦·奈斯说：“深层生态学的一个基本规范就是，从原则上讲，每一种生命形式都拥有生存和发展的权利……当有生命的存在物(包括大地)被毁灭时，我们也将感到悲哀”（转引自余谋昌、王耀先 95)；生物中心论创始人施韦泽也认为，“所有生命都有内在价值，都值得敬畏和尊重”（转引自贾丁斯 153)。张于荣对鱼之死亡的悲悯，他主动提取的“平等”观，内里就是认为一切存在物都有生存、繁衍的权利，符合生物圈平等主义的原则。平等主义可以唤起对其他生命的情感，尤其是张于荣对酷捕下鱼之死亡的痛切情感，来自于一种敏感的生命伦理态度。大面积的鱼之死，必然让人直面死本身，死，让生命理念无可凭依，无可附着，只能落入恐惧的深渊和凄惨的虚无。

在处理鱼、渔人矛盾关系的时候，张于荣有时会将大海形象主体化，赋予人的意识和感受。比如具有代表性的《与一条船谈论大海》中，“奔赴渔场的船，说话如桅头旗猎猎作响/又像一把利剑/刺向海的前额”（40)，写出了大海因生物被捕而起疼痛感；“飞白处的伏笔/一旦引入人，便有大把的曙光/海就有了灵魂/嘴唇啜饮海朝廷的废墟”（46)，这是对深夜捕捞结束后海面的荒凉衰败的想象；“出海，携岛一起远行/每一次鸣笛/大海愈发不安”（47)，更是摹拟出海的惊弓之鸟状。由此，张于荣进一步思辨了人与大海的关系，庞大的大海不再那么壮观那么威猛，不再是被征服的对象，而变得脆弱、瑟缩和紧张，惹人怜惜。这是因为经过了生命的中介，进一步说，是死亡的中介，改变了大海于人而言的形象，海洋，变成了心灵感受的对话者。

二、自然主义的情感立场

但是，张于荣的“平等”生命观没有必然地导向非人类中心主义，他上述面对鱼死亡的虚无感也没有导向素食主义，在诗中，他还写了鱼在成为食物后，“死亡的最高意义/是以另一种被感知的方式活着”（《与一条船谈论大海》28)，这就让他的伦理书写变得暧昧起来，复杂起来，而他，将自己崇尚的态度定为“自然主义”，一种较为平和、稳健、普遍化的立场。

《银鲳研究》中，张于荣以考古式的决心和规模写了一条鲳鱼游走于蓝故乡，在冬天南下，继而跟随暖流朝高纬度北上，在产卵场繁衍后，拖儿带女奔向索饵场，被网捕后“用末日，为人类庆生”（《与一条鱼谈论大海》28)，即便“被一刀一刀凌迟”，终“在食者味蕾上复活”（29)。这首叙事长诗固然以鲳鱼为命运主角，但结尾没有对人类吃鱼这一行为质询或进行忏悔，而是客观接受。这说明，生态伦理意识与人类中心意识可以并存。

常见的态度是在生态伦理思想与人类中心主义思想中做二元选择。生态伦理思想最初就是对人类中心主义思想的纠正。从亚里士多德开始，就认定“所有的动物肯定都是大自然是为了人类而创造的”（23)，人类以外的一切都以人类的利益和价值为中心，进入现代，技术发明、环境改造仍坚

持以人的生存和发展需要为根本尺度。对这一强大的认识背景，生态伦理主义者提出，伦理学应当把道德关怀的视野扩展至土壤、水和动植物等整体上（利奥波德 192-193），人的生存要依赖其他生物，其他生物的生存不依赖于人类，人并非天生就比其他生物优越，所以，人不在必要的情况下不能伤害别的物种。这两种思想在张于荣《银鲳研究》中都部分地被吸收进来。银鲳“复活”的说法属于意义升华，羹的鲜甜、在唇上“扑腾”等细节也提供了意义补充，这是人类中心意识，而结尾的“垂危打鱼人”，用人类的同样必死性平衡了银鲳被杀的悲哀，达到了有机生命命运相同的平等。

归根结底，张于荣诗歌中的生态伦理表达没有停留于机械概念，而是从具体处境、语境、场景中派生的，他说，“自然主义，（鱼和渔者）才可握手言和”（张于荣，《与一条船谈论大海》21），可以进一步说，“自然主义”就是他海洋生态伦理书写的基本情感立场。他说的自然主义，当然不是否认超自然、非自然实体的那种认识论方法，而是一种尊重历史唯物认识与经验逻辑实证的行为方式。

自然，首先表现在他按照客观历史与生活事实，顺应几千年人类发展中的必然行为选择、价值判断标准，将渔者生存和鱼的存亡置于一个守恒的关系中。怜悯鱼的死亡，是一种情感反应，但情感态度不能导向一种人性原罪论。吃鱼是人类几千年的行为，如果从生态伦理学（非宗教学）的终极尺度推导出人类的伦理行为，认为人的占有自然、肉食行为就是一种恶，那从根本上否定了人的“自然性”的一面。人是有生命的自然存在物，和动植物一样，是受制约的存在物，自然界是人为了不致死亡而与之交往的，鱼，也是人为了生存而捕捞的对象。而人类在捕捞中，风暴又生出制衡的力量，“海风是调停者”（《银鲳研究》）。对此，张于荣用了“生命的守恒”来看待大海上“鱼—渔者”的矛盾：“你的倾覆，就是渔者的悲和鱼的欢/鱼亡，就是渔者的欢”（《与一条船谈论大海》55）。“守恒”是诗人对渔者悲欢、鱼的存亡寻找的一个达观的通道，这情感本身就显得素朴、自然。

如果没有哲思层面的观照，纯粹的渔民生存书写可能流露自然生命之趣，如同样深入写人—鱼关系的汤养宗就积极拥抱“鱼腥香”，以得鱼之欢为基调：“计算大潮小潮鱼眼在东在西/三千条水路挂在扶桑树上”“让我吊胆提心的/是一只渔篓的表情”（20），“鱼腥香在渔业的根部招我/那风里浪里的气流/是我碗中的黄金”“在种种世风面前/渔村始终亲近鱼唇 与鱼共呼吸”（24-25），诗中全然没有伤鱼之悲。这种自然生活画面中多出了浪漫主义的意味，不同于张于荣的沉思型追问。

其次，张于荣的自然主义更指向对技术主义的警惕与反思。人类的历史就是一部技术更新迭代的历史，技术改变了事物的物理形态、生产方式、收成效益，在海洋渔业，技术的影响力节节攀升，渔民的生命危险更有了保障，鱼的捕捞可以实现一网打尽。但张于荣深入渔业现场，考古了“底拖”等技术的危害。底栖拖网这类高效技术能顺利捕获比目鱼、虾等物种，但破坏力惊人，对珊瑚礁、海绵场、海草床系列生态环境摧毁严重；此外，密网渔具对幼鱼伤害极大，“延绳钓”也时常误捕。

基于“平等”生态伦理意识，张于荣在诗中具体展开了渔具描写和议论。比如《捕捞：洄流泛着鱼骨的鳞光》的“三角函数计算的拖网/如敞开的天井/细密网囊是命数”（《入海》28），将人的功利计算与海上生物的命运构成二元关系，让读者去感受诗题中的“鱼骨的鳞光”，为鱼的命运心寒。而底拖是他最反对的，它意味着把所遇到的鱼一网打尽，那对海生物而言足以构成群体事件。他能接受的是给生物余地的渔具，比如“流刺网/放大的网眼是随性的表达/鲳鱼该退勿退/鳓鱼当进勿进/拖网船有赎罪之身”（《与一条船谈论大海》44），这里，大网眼给了鱼进出的可能，不是一闷

子打入鬼门关，这样也属于渔人的一种自我救赎。在一番考古后，张于荣得出：“唯有佛系延绳钓，鱼与渔者握手言和”（《与一条船谈论大海》13）。可以说，诗人对鱼的生命的那种敬畏超过了普通人的习惯意识，也超过了绝大多数海洋书写者，给人一种超前感。

张于荣慨叹进步渔业技术之伤，希望尊重自然的法则，给海里生物多一些生存空间与繁衍机会，既有现代生态思想的照亮，也续接了中国古人的智慧。《论语·述而》中有“子钓而不纲”（转引自杨伯峻 73），孔子最早提出不用大绳网截断流水对鱼一网打尽，以便让鱼繁衍生息，还有类似的“竭泽而渔，则蛟龙不合阴阳”说法，意在提醒暴殄天物对环境的破坏恶果。孔子出于仁的行为准则，既透出他对生命的爱惜，也表达了最早的生态意识。对照张于荣的书写，显然有古今脉络关系。

另外，张于荣的自然主义立场还在于倡导一种余裕的态度，一种萧闲的姿势。上述字眼中，“随性的表达”“佛系延绳钓”，都透出张于荣的自然主义立场。在生存不是那么严酷紧迫的时候，“随性”地从事渔业就是降低“满载而归”的收益心理，放弃扫荡式的网尽杀绝，不让海域成为一片废墟；“佛系延绳钓”，就是表、中、底层敷设浮子、沉子时不要那么绵密、备至，留给一些鱼存活概率。这种略随意的自然主义态度有几分关照其他生命的真意，它意味着，技术不能那么高歌猛进，志在必得，渔者尽可以悠哉一些，闲淡一些，不用使出所有狠劲与招数。

三、和合：海、人和鱼之间的关系求解

自然主义给了张于荣一种纾解的慰藉，但他不止于此，还怀有一种宏大的关系考量，希望对上文中的海、人、鱼的缠结、冲突关系有个价值落实，最终他得出：真谛可能在于“和合”。面对人海生态伦理冲突，他不是只袭用征服型思维，而是回到中国传统文化，找到“调和”“和解”之道，在诗中着意书写了人与海的较量和握手，人与鱼的相互认出，鱼在海中的依存感和自由感。这种用心的主题设计，呈现了他对个体海洋诗学的建构。

海洋的显性特征是巨大性、不可控性、破坏摧毁性，西方海洋文学一开始的古典传统就有对海洋的单一负面认知，如荷马式基调的“黑暗之海”，后来出现了“肥沃的阴影”“生命之渊”，到米歇尔 1861 年的《海》中，他提出新海洋愿景的表达词语，视为“既是开端也是终结，既是光明也是黑暗，既是生命也是死亡”（Frank 117），体现了西方征服海洋过程中的成就感与矛盾心理。而张于荣给出的个人判断是，“从独木舟到远洋轮/人，海，鱼的暗合”（《与一条船谈论大海》54），加上他多篇诗重复“握手言和”，可见他看重关系伦理之间的“和”。和，《说文解字》释为“相应”，不同的声音相互应和，构成一种和谐的状态。钱穆在《晚学盲言》中得出，中国乃一尚“和”之民族（1227）。在新世纪，张立文进一步根据国际纷繁冲突局势得出本土“和合学”战略，认为和合是一种重构事物冲突关系的思维，对待人与自然的冲突，需要一种融合观来认识（53）。这一本土思想流脉渗进了张于荣的海洋生态思考中。他集中推敲海、人、鱼的关系，最终都落在了“和”的解决方案上。这一“和”字，是他对自然造化的接受，对文明历史的信念，对人心常理的把握。

对于人与海的关系，张于荣除了正视海上风暴的吞噬威力，也高扬了人的心力、豪情与潜能。在《与一条船谈论大海》中，陈老大“开足马力/顶浪，马的角力/绷紧的骨架，体内的吼声/捶打天空”“狼性的眼眸逼退风暴”（37），船板“写出海浪的平仄和冒险者的传奇”（38）；除了现实的利益求取，海上的时光还包括对未知前方的本能好奇，对沿途天光水声的收取：“一条船与纯真相连/探寻无限可能的新边界”“桅尖上听天籁/鸥鸣处涂抹一方海天/雾淞让麒麟山有了冰山的魔力”

(35); 也有与大海的心灵共鸣: “我们的落寞/也是大海的落寞” (39)。这就是张于荣看到的人与大海的“较量和握手”关系。

更深一层的“和合”之思还是在他“写意”化的捕捞动作书写中。渔业捕捞垂钓本是纯粹的经济营生, 鲜少和艺术行为挂钩, 但张于荣在《延绳钓简史》中大量使用书法艺术理论术语, 对陈老大的绳钓过程进行铺张、提纯, 写出了活色生香的钓鱼现场, 耐人寻味。开端“秋冬讯, 像多线条水墨纵情” (《与一条船谈论大海》4), 就把劳作海面环境改变为扑香纸面; 钓船“颠簸于浪涛, 如秉性疏野”, 把钓船写出了疏狂之气、游戏之态; “浪尖峰谷, /涂抹的水墨正用简笔描摹秋白” (4), 浪峰的线条中映衬出了秋白的线条; “犹如小篆笔法, 纤细绵长, 延伸和收缩间混迹于海/它绵里藏针, 垂钓暴力触及海的腹部” (6), 这是对钓绳和吊钩用“小篆”消泯“暴力”程度。而陈老大一届渔民, 也“心系万物, 追鱼, /重力的对角扑向某种轻。/……船和脸的倒影, /如纵横笔墨, 画出大写意” (5)。当张于荣在诗中直接亮出“写意”状态时, 我们可以读到, 钓者在大海里的劳作是轻快的、舒畅的。“写意”的肯定性义项, 指画画、写作时重在主观情志、意趣, 李白有一首诗《扶风豪士歌》, 内中就有“开心写意君所知” (385)。张于荣那些诗句中有“性情化”“趣味化”的偏向, 诸多书法用语虚拟钓鱼之事, 有提升、净化经济行为的效应, 让人生出闲者、隐者垂钓的恍惚感。因此, 上述语感、语境的美学迁移, 对后文中鱼的死亡之痛、枯骨、伤痕形成了综合, 捕捞者的“破坏生态”一面得到有效抑制, 可以让读者得出“和”的整体情感。

而张于荣诗中人和鱼的关系呢, 固然有“生的反面、死的对角” (《与一条船谈论大海》42) 这一局面 (即人希望鱼亡, 海可能让人亡), 但他同样增加了两者之间的多维联系, 把对立关系缝合起来。首先, 对鱼赋形人的身段、情态和心理, 达到人鱼相通。《银鲳研究》中, 那条鲳鱼是娇媚的妖女, 既有自己的“寓言和布道” (《与一条船谈论大海》15), 鸣叫、飞翔中都暗含“人性”; 也追求与宇宙的同一: “与朝阳一起浮上来/与黑夜一同沉下去”, 甚至“身披月光, 为自己提灯” (17), 觉醒于自己对光明的追求之道; 并清楚自己“海的伤口里生活, 长满嘶哑的声带”的宿命处境 (17)。比起以往“美人鱼”传说中的单纯两性故事构架, 张于荣这里的人化鱼更高远、更苍劲。

对于鱼——渔者的你死我活残酷关系, 张于荣也用了换位和延时多重思路作和解。在《灯光围网》中, 既有“抵近人鱼共生的远古深海”的前景 (《与一条船谈论大海》195), 也有捕捞专家说, “人间唯有我与你惺惺相惜/反串角色, 成为鱼族一员” (187), 其中暗示部分人也是活着的鱼, 即“人为刀俎, 我为鱼肉”的后部分, 这里通过换位、共情实现了人鱼相通。而“生者前世和死者余生/艰难互换和呈现的多重身份” (186) 这一议论, 同样在勾连鱼是人的前世。诗人还在《银鲳研究》中说, “一个鱼形脸的生命尽头/已经接近他” (30), 这是慨叹死后的人和死去的“鱼脸”必然相似, 通过把时间延长到人的死亡那一时刻, 他化解了两种生物的紧张关系。

最后是鱼和大海的关系的书写。不脱“鱼儿离不开水”的至理, 张于荣调动了深情的笔触呈现了鱼在大海中的惬意、自由。《银鲳研究》中, “飘忽魅惑的水妖” (15) 和大海内外一切交融: “尾鳍, 把涛声写成月光” (16) “一条鲳鱼/活在海鸥和星星的眺望中” (18), 活化了鱼对波涛的着迷, 对光影声色的喜爱; “风帆上没有悬念/只在属于自己的水层舒展曼妙” (16), 这是安全状态下的悠游。这条鱼又不满足于安逸, 她还有对大海高处、远方的探索热力, 要全方位地拥抱大海: 来一回“注定的长途跋涉”, 且“洄游, 意味着把生命交付/不想与你谈论生死” (18), 几乎是挑战生命极限的决心。所以, 哪怕这条鱼最终成为了人的味蕾记忆, 但这份融于大海怀抱的生命

意志给海洋生态书写留下了精神深度。

回到当代中国海洋诗的场域，在写大海（生物）的通灵这一维度上，不少诗人都作过实践。如汤养宗，“虎鲨忧郁的心此刻又在海底泛滥了”（29），“船骨 冥冥地瘫在渔村的滩头/像架破败的琴/喻一声断了弦”（150），这些虚拟的感觉场景，改变了客观世界的时空状态和物质形态，共同传递出诗人对海洋神性的推崇。而李越偏于冷峻的书写中，“大海的肚脐”能高举起万年石灯，还有“琥珀潜逃”，甚至在大海雕刻的杰作里能看到“雷声扒开粘土之眼”（106），它们托出了诗人对海洋旷古以来寂静中的物物相通相应或相冲突的细微存在的想象。但张于荣的特点在于，他的灵性书写是并置在鱼被捕、被杀这一现实叙事层面的，是与生态伦理思考相融的，因此，这种灵性拟构可以看作是他对不同物种相同相通的证明，是对生态伦理矛盾的化解之思、和合之思。

四、结语

张于荣在《入海》《与一条船谈论大海》两本海洋诗集中有意识地区别于以往的海洋诗写作，他见证过《蔚蓝色视角——东海诗群诗选》中那些诗人在八、九十年代中所走过的路，阅读过他们的海上苦难书写与英雄气概歌吟，也揣摩过前辈的陌生化手法。在区分出想象中的海、视角中的海、身体里的海、在场的海几种写作类型后，他决意在第四种类型中增加伦理哲思重量和考古细节，杂糅沉浸式在场书写与背景式多维虚写。从创作效应看，在汤养宗、杨克等获得海洋诗歌奖的诗人的探索之外，张于荣悟出了一条个性化的海洋诗学之路，他改变了海洋书写的人对自然的“征服”型关系话语，在对鱼—渔者关系的思辨中表达了生命平等观，表现出深层生态伦理学意识，他诗歌中鱼的死亡引发的“虚无”，渗进了关于大海的形象描绘中。但他没有照搬非人类中心理念，而是持自然主义立场，在顺应人类客观历史与经验逻辑事实的基础上，将人—鱼置于一个守恒的关系，并发出对技术主义的警惕与反思，续接了中国古人的生态思想智慧。面对海、人、鱼的缠结、冲突关系，他从新世纪以来的人类学思维趋势受启发，返回中国传统文化，接通“和合”之道，从诗化海洋与物种，拟构写意化的劳动，换位思考等方面，求得海洋生态伦理的想象性建构。

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鲸为棺，海为魂：评《鲸落》的叙事与哲思

张陟 (Zhang Zhi)

摘要：美国作家丹尼尔·克劳斯的《鲸落》是当代海洋文学的佳作。作品以主人公杰伊深海寻父的绝境求生为主线，串联起父子情感救赎与自然生态的思考。从叙事策略上看，小说采用幽闭叙事与闪回叙事交织的双线结构，有效增强情感张力与叙事悬念；从意象建构上看，小说构建了以抹香鲸为核心、大王乌贼等其他海洋生物为辅助的多元意象体系，将自然现象巧妙转化为承载亲情、生命与生态的文学符号；从思想意涵上看，小说深入叩问亲情本质、生命意义与生态共生三大命题，实现了个体情感与宏大命题的有机统一。小说既继承西方鲸类书写的文脉，又突破创新，彰显出兼具科学性与人文性的独特魅力，为当代海洋文学创作提供有益借鉴，也为公众传递敬畏生命、守护海洋生态的价值理念。

关键词：《鲸落》；叙事策略；意象建构；生命哲思；海洋文学

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Title: Life, Death, and the Deep Ocean: A Review of Daniel Kraus's *Whalefall*

Abstract: *Whalefall* by American author Daniel Kraus is an outstanding work of contemporary maritime literature. Centered on the protagonist Jay's desperate struggle for survival in the deep sea as he searches for his father, the novel interweaves father-son emotional redemption with reflections on nature and ecology. In terms of narrative strategy, the novel adopts a dual structure that intertwines claustrophobic narration and flashbacks, effectively heightening emotional tension and narrative suspense. In its construction of imagery, Kraus establishes a multi-layered imagery system centered on the sperm whale and supplemented by other marine creatures such

as the giant squid, subtly transforming natural phenomena into literary symbols that embody familial affection, life, and ecological themes. In its thematic exploration, the novel deeply inquires into the essence of family bonds, the meaning of life, and ecological symbiosis, achieving an organic unity between individual emotion and grand universal themes. While inheriting the literary tradition of Western writings on whales, the work also makes innovative breakthroughs and presents a unique charm that integrates scientific perspectives with humanistic concerns. It thus provides meaningful references for contemporary sea literature writings and conveys to the public the values of revering life and safeguarding marine ecosystems.

Keywords: *Whalefall*; narrative strategy; imagery construction; philosophical reflections on life; maritime literature

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丹尼尔·克劳斯 (Daniel Kraus) 是当代美国知名畅销书作家,《纽约时报》评价其“兼具科学家的严谨与诗人的细腻感知”^①。克劳斯的代表作品包括《腐烂》(*Rotters*, 2011)《怒容》(*Scowler*, 2013)《泽布隆·芬奇的生与死》(*The Death and Life of Zebulon Finch*, 2015)《天使坠落》(*Angel Down*, 2025)等,其中《泽布隆·芬奇的生与死》入选《娱乐周刊》年度十大好书榜单,《天使坠落》跻身《纽约时报》十大好书及《今日美国》畅销书榜单。他还曾凭借《腐烂》《怒容》两度荣获奥德赛奖 (Odyssey Award)、布拉姆·斯托克奖 (Bram Stoker Award)、斯克莱布奖 (Scribe Award) 等多项荣誉。此外,他与吉尔莫·德尔·托罗 (Guillermo del Toro) 合著的《水形物语》(*The Shape of Water*), 是第 90 届奥斯卡金像奖最佳影片等多项大奖同名电影的创意来源。作为横跨小说、电视、电影三大领域的跨界创作者,克劳斯以硬核科技与人文哲思的巧妙融合为鲜明特质,兼顾扎实的艺术表现力与强劲的市场认可度,是跨界创作领域专业性与大众化兼具的典范。

沧溟载韵,哲思沉渊。海洋以独有的浩瀚与深邃,一直是人类叩问本心、探索永恒命题的特殊场域。克劳斯 2023 年创作的《鲸落》(*Whalefall*, 2023) 便是海洋题材创作的新作,该书甫一面世便斩获亚里克斯奖 (Alex Award), 入围洛杉矶时报图书奖 (L.A. Times Book Prize) 决赛,获评美国国家公共广播电台、《纽约时报》等多家权威媒体 2023 年度最佳图书,实现了荣誉与市场双收。众所周知,西方文学中的鲸类书写历来不乏经典与标杆:《圣经·约拿记》中约拿被鲸吞食而忏悔获救的故事,承载着宗教救赎的内涵;麦尔维尔《白鲸》更以亚哈与白鲸的对抗为焦点,兼具百科全书式的知识厚度,可谓西方鲸类书写中的经典。《鲸落》扉页处,赫然引用《白鲸》中一句“倘若这鲸是位君王,那它也是面相极其阴郁的家伙”,显然有向麦尔维尔致敬之意。浸淫于深厚的海洋文学传统之中,这本新起之作缘何能脱颖而出、备受瞩目? 其特色与价值又有几何? 以下,本文将从叙事策略、意象建构与主题意义三个维度为国内读者分析介绍。

一、现实与回忆交织的叙事策略

长篇小说创作有一个基本共识，要塑造丰满的人物，传递厚重的主题，离不开广阔的时空宽度、多元的场景切换与适度的情节铺陈。充足的篇幅是呈现人物成长轨迹、展开情感纠葛和深化主题的基础，也是长篇区别于中短篇的特点。反之，不依托广阔时空与多元场景，仅凭极简的情节、紧凑的时空来支撑较长的篇幅，对小说创作而言，无疑难度极大。

《鲸落》的故事时间严格限定在一天之内（甚至不足一天），空间更是极致收缩，集中在漆黑、封闭的鲸腹之中。面对极为有限的叙事时空带来的挑战，小说家采用了现实绝境与回忆闪回双线交织、彼此支撑的叙事策略。一方面，小说以杰伊潜水寻父、困于鲸腹、九死一生的深海求生为主线，这是一条悬念迭起、张力十足的“幽闭线”；另一方面，小说聚焦于杰伊与家人跨越十余年间的生活经历，以片段连缀片段，将人物的情感纠葛娓娓道来，构成小说叙事的“闪回线”。“幽闭线”与“闪回线”以杰伊在鲸腹内与父亲的超时空对话而汇集一处，最终让主人公在绝境中完成了与父亲、与自我的和解。“幽闭线”与“闪回线”相互呼应、彼此照亮，共同撑起 300 页的小说篇幅，彰显了作者高超的叙事能力。

《鲸落》中属于“幽闭线”的小节，以“数字+PSI”为标识，从开篇的“3000PSI”至文末的“143PSI”，共约 110 个，形成清晰而紧绷的叙事脉络。所谓 PSI，是“磅/平方英寸”的缩写。PSI 是国际通用的气压计量单位，用于标注潜水气瓶的内部压力，是潜水者判断氧气储备、规划水下停留时长的依据。3000PSI 的满瓶气压，可支撑潜水者在 30 米水下正常呼吸 40 至 60 分钟，而 500PSI 则是安全底线，瓶内剩余氧气能维持 7 至 10 分钟的呼吸，潜水者应立即停止探索、缓慢上浮，否则将氧气耗尽、窒息身亡。换言之，小说家以现实的潜水常识为依据，为主人公杰伊、也为自己的写作设定了一个看似无法完成的任务：所有的下潜、寻父、鲸吞与逃生，必须在短短一小时内完成，且既要兼顾科学规律，又要有足够的叙事张力与感染力。

小说以 3000PSI 的标准满瓶气压为叙事起点，将气压递减与杰伊深入险境的全过程绑定。3000PSI 时，杰伊携满瓶氧气潜入海中，海面风平浪静，危机尚在暗处蛰伏，充足的氧气让他得以从容寻父。气压降至 2373PSI 的瞬间，危机爆发，杰伊被巨型抹香鲸吞入腹中，他从主动寻父的舒缓，坠入被动求生的绝境，叙事张力与悬念感瞬间拉满。当气压持续递减至 1500PSI 以下，杰伊被困鲸腹深处，氧气储备减半，身体多处骨折，精神濒临崩溃，屡次陷入想要放弃挣扎的至暗时刻。而当气压跌破 500PSI 的安全底线时，氧气濒临耗尽，每一次呼吸都成为奢望，杰伊的生存陷入终极绝境。千钧一发之际，在父亲冥冥之中的精神指引下，杰伊以孤注一掷的勇气破鲸腹而出，完成了一场近乎不可能的求生奇迹。一小时的叙事时限内，作者为主人公创造了奇迹。

与“幽闭线”相对，《鲸落》中的“闪回线”则是约 100 个标明年份的章节，穿插于杰伊鲸腹求生的章节间，再现了小说的人物群像与日常生活。回忆的片段自 2013 年始，至 2022 年止，涵盖杰伊从童年到青春期的成长经历，既有他与父亲米特之间的互动，也自然而然地铺陈出家庭与小镇的全景。其间不仅有父子间的情感冲突，也有母亲始终如一的温柔守护，两位姐姐对弟弟的关爱，父亲好友休伊的陪伴与开导等。有了这近十年间生活片段的插入，原本不得已聚焦在生存危机的角色，变得有血有肉、立体丰满。

从功能上看，“闪回线”支撑起了“幽闭线”，让绝境求生与情感转变有了坚实的依据。小说再现了父亲给儿子传授海洋知识的诸多场景：如何应对不同洋流的潜水技巧，如何以横膈膜呼吸，如何规避氮醉等等，而这些知识也在杰伊潜水与自救中发挥了作用。可以说，有了回忆的往复穿插，

鲸腹逃生便有了依据，避免了情节的悬浮。同时，“闪回线”也完整呈现了父子隔阂的形成脉络：一边是多年来米特事无巨细的严苛要求，另一边杰伊不断的叛逆逃避与时不时的愧疚牵挂。这些小说情感发展必要的铺垫和补白，能让杰伊在出海寻父与鲸腹求生时的悔恨、挣扎与和解自然而然地释放出来，而不会是简单或突兀的情绪爆发。

好的长篇小说，叙事节奏需要张弛有度，这一点对《鲸落》之类具有极强幽闭叙事特点的作品，尤为重要。“幽闭线”里，杰伊困在鲸腹中，阴暗封闭，黏滑酸腐，无处不在的压迫感加之氧气不断减少的困境，让读者感觉节奏紧绷、喘不过气。与此相对，“闪回线”的家庭日常、童年经历、海边互动，则是另一番景象：场景明亮开放，氛围松弛安逸，没有了生死考验的焦灼，更多的是日常家居的松弛与惯常。这种紧张与舒缓、阴暗黏滑与明亮开阔的交替，犹如绘画中的疏密搭配，能缓解单一场景的单调感和压迫感，也能让读者的神经在紧绷之后适度放松，回过头再看“幽闭线”的绝境时，对危机的感受更敏锐，整部小说的叙事也因此更有层次和韵味。

二、海洋意象的建构

意象之所以重要，在于其是文学作品的灵魂，也是小说传递情感、深化主题的重要载体。《鲸落》最具感染力的艺术成就之一，便是构建了以鲸落为核心、包括各种海洋生物的意象体系。小说将抹香鲸、大王乌贼、头盔水母等海洋生物及其生活习性纳入叙事，以精准的生物学知识与细腻的笔触，将读者带入深邃浩瀚的大海，沉浸式感受深海世界的斑斓与诡谲：既有生命共生的温柔绚烂，也有弱肉强食的残酷凌厉；既有未知领域的神秘魅惑，也有生死关头的紧迫决绝。同时，丰富的海洋意象，不仅诠释了人与海洋相依相抗、共生共存的复杂关系，也让每一种生物都成为连接现实与内心、承载情感与哲思的媒介，这正是《鲸落》意象体系的独特之处。

《鲸落》意象体系的主角，非抹香鲸莫属。小说中的抹香鲸重达 60 吨，头部占体重三分之一，具备极强的深潜能力，可下潜至千米深海捕猎。抹香鲸独特的声呐系统可用于定位猎物与同类交流，小说中时不时响起的“哒哒”声与抹香鲸利用声呐吸食捕猎的习性，更是推动情节发展的载体。抹香鲸身上遍布与大王乌贼搏斗的疤痕，呈现出深海弱肉强食的残酷法则。小说对抹香鲸同类互助的描写尤为动人：当巨鲸为虎鲸群所攻击时，同伴会以声呐呼应、组合成玛格丽特阵型来施救。此番描写打破了深海生物冷漠残酷的刻板印象，展现出生命的温情与厚重。同时，小说中的巨型抹香鲸也可以看做是父亲米特的形象投射。巨鲸的坚韧、孤独与深潜水下的生活方式，与米特的人生自有类似之处。二者都在各自的境遇中与命运抗争，都以笨拙且深沉的方式守护幼兽。巨鲸最终因甲烷爆炸撕裂的结局，既是自身生命的落幕，也是鲸落生态的开端，与儿子依靠父亲冥冥之中的教诲而重生之意，颇有契合之处。

大王乌贼作为抹香鲸的天敌，是小说海洋意象体系中不可或缺的角色。这头出现在蒙特雷海底峡谷的大王乌贼长达 30 多英尺、重达半吨，拥有十条粗壮的腕足，腕足上布满吸盘，可牢牢缠绕猎物，尖锐的喙则能轻易撕裂猎物的身体。作为深海顶级掠食者，大王乌贼与抹香鲸的殊死搏斗是小说中最具冲击力的场景之一：二者从深海表层缠斗至近海浅滩，腕足与身体的撞击、声呐的激烈共鸣，构成了大洋中残酷却也壮丽的生命图景，让读者直观感受到海洋生存的凶险与刺激。从意象建构来看，大王乌贼既象征着深海世界的未知与危险，也隐喻着杰伊内心的叛逆与挣扎。大王乌贼与抹香鲸的对抗，虽然以被吞噬的失败而告终，但乌贼的喙却成了杰伊鲸腹逃生的关键工具，呼应了

小说中海洋生命能以不同形态相互转化的主题。

头盔水母作为重要的辅助意象，虽体型微小，却在杰伊的逃生过程中发挥了不可替代的作用。小说中，杰伊被困鲸腹中，四周是漆黑的胃液沼泽，能见度几乎为零，他在黏腻的浆液中摸索逃生路径，屡屡受阻。就在他陷入绝望之际，恰有头盔水母被鲸鱼吞入腹中。水母浑身透明，伞盖边缘布满发光器官，发出的微弱蓝光，如同散落的星辰。杰伊借着水母的微光，看清了所处环境与挣扎逃生的方向。头盔水母的微光，纤细而美丽，犹如具象化了亲情与希望，帮助杰伊绝处逢生。

小说意象均来自现实的海洋生活。小说开篇处的修道院海滩便是其中之一。修道院海滩位于美国加州的蒙特雷，有着全美最危险海滩的称号，常年被强劲离岸流裹挟，暗礁密布、海浪汹涌，每年都有潜水者和游客在此遇难，被潜水界称为生命禁区。修道院海滩的凶险环境，既暗示了杰伊寻父之旅的艰难，也隐喻出父子和解之路的不易，它既是米特结束生命、与海洋融为一体的场所，也是杰伊放下怨恨、读懂父爱的关键场景，其凶险特质与父子和解的艰难相互映衬，深化了情感表达的厚度。

《鲸落》作为小说名，更可谓神来之笔。从本质上来说，鲸落是鲸鱼死亡后沉入深海，遗体逐渐分解、滋养深海万物的自然现象，该自然过程本身便蕴含着生命轮回的朴素道理。可以说，小说中所有的海洋意象与人类情感，无论是抹香鲸的巨大厚重、大王乌贼的强悍诡谲、头盔水母的纤细温情，还是杰伊与米特之间的情感纠葛，都在“一鲸落、万物生”的自然法则中得到了审视与安放。小说中的鲸落，不再是一个自然现象的名称，而成为了统领小说的核心意象，不仅令小说中所有的海洋意象有了更深邃的精神内核，也让父子救赎的主题更具深度与说服力。

三、亲情、生命与生态的叩问

《鲸落》的文学价值，不仅体现在其精妙的叙事策略与鲜明的海洋意象建构，更体现在其以深海求生这一极端场景为载体，对亲情、生命与生态命题的叩问。

第一重叩问聚焦亲情的解构与重构。父子间的和解，其实质或许就在于对彼此不完美的接纳与理解。米特深爱着杰伊，将自身所有牵挂与期望寄托于儿子身上，却始终以严苛、偏执、冷漠的方式表达这份爱意。米特渴望与儿子亲近、获得儿子的理解认可，却因内心的骄傲与性格的笨拙，始终无法传递温柔的牵挂与真实的情感，最终导致父子间的隔阂日益加深，杰伊离家出走，临终也未能见父亲一面，成为人生中无法弥补的遗憾。而杰伊对父亲的情感，始终处于复杂的矛盾之中：他厌恶父亲的控制与偏执，厌倦其严苛与冷漠，却又深深崇拜父亲的潜水才华与坚韧品格。他怨恨父亲未能给予自身渴望的温柔与陪伴，却又对自身未能在父亲病重时陪伴左右、在其绝望之际给予安慰支撑而深感愧疚。

小说通过杰伊在鲸体内与父亲的超时空对话，完成了对亲情的重新建构与定义。真正的父爱，并非完美无瑕，其可能包含偏执、控制与笨拙，可能夹杂未说出口的牵挂与遗憾，却始终蕴藏于朴素深沉的守护之中，从未缺席。米特的严苛，其实是对杰伊深沉的担忧与守护：他深知海洋的凶险无情与生活的残酷艰难，希望以最严厉的方式，使杰伊掌握足够的生存技能，能够在残酷的世界中立足。而杰伊的和解，并非盲目原谅父亲的所有过错、强行抹去过往的伤害，而是真正理解父亲的无奈与孤独，读懂其严苛背后的深沉爱意，接纳彼此的不完美，放下心中的怨恨与愧疚。小说能让读者在父子二人的情感纠葛中，看到自身与亲人的影子，引发情感共鸣。

第二重叩问围绕生命的意义展开。死亡不是生命的终结，而是新生的开始，生命的意义在于过程的厚重与精神的永恒。鲸落作为贯穿全文的核心意象，成为解读人物命运的关键。米特的自杀，不是由于懦弱的逃避或对生活的彻底放弃，而是对自身生命的终极救赎：他一生执着于潜水，将其视为生命的全部意义，却最终被间皮瘤击垮，无法再拥抱大海。在身体痛苦与精神绝望的双重折磨下，他选择沉入毕生热爱的海洋，与自身热爱的一切融为一体，完成生命的闭环。杰伊在鲸体内的绝境求生，也是一次向死而生的蜕变：他在濒临死亡的边缘，直面内心的恐惧与父子间的矛盾，解开多年的心结，摆脱过往的阴影与束缚，最终奇迹生还。可以想见，杰伊获得的将不仅仅是肉体的延续，更是精神层面的涅槃重生。他会从一个自卑、敏感、充满怨恨的年轻人，成长为成熟、勇敢、懂得珍惜、能够直面自我的成年人，找到他自身生命的意义与价值。

第三重叩问则关乎生态的警示。《鲸落》并非单纯的情感小说或冒险小说，而是一部充满人文关怀的生态警示录。作者从人物遭遇出发，从多个细节揭示了人类活动对海洋生态的严重破坏，描绘海洋生物面临的生存困境：观鲸产业的盲目扩张、塑料污染的持续加剧、声纳噪音的无序干扰，使鲸鱼等海洋生物面临前所未有的危机，而这些危机也直接威胁着鲸落的存续。米特一生与海洋相伴，亲眼见证海洋的衰败，目睹鲸鱼等海洋生物的生存困境，却无力改变这一切，最终只能以自杀的方式，表达对海洋的愧疚与忏悔，传递对人类破坏行为的无声抗议。

当然，作者并未刻意渲染生态危机的恐怖与绝望，而是将他的生态思考融入人物情感与叙事情节之中，使读者在感受父子情感的温暖、生命力量的强大的同时，认识到人类活动对自然的伤害，引发对生态保护的反思。所幸的是，作者让我们相信，生还后的杰伊必然会带着对父亲的理解与思念、对海洋的敬畏与热爱，成为海洋生态的坚定守护者。他会尽其所能，让鲸落的生命循环得以延续，让每一种海洋生命均得到尊重与善待。

结语

当年的麦尔维尔说过，“[作家]要写出强有力的作品，必须先选择强有力的题材。”（Melville 349）。说这番话的麦尔维尔，心中洋溢的是属于 19 世纪的时代精神。那是一个对自然充满征服欲、对知识抱有百科全书式渴望的年代。可以说，《白鲸》凭借宏阔的叙事格局，细致呈现了丰富的鲸类知识与捕鲸产业细节，并将“裴廓德号”捕鲸船隐喻为民族精神的缩影，最终构筑成了一部关乎人类野心、自然神性与民族想象的宏大史诗。《鲸落》显然继承了《白鲸》对深海巨鲸的敬畏与探索渴望，却在叙事维度上完成了一次属于 21 世纪的转向。丹尼尔·克劳斯不再试图去书写一部包罗万象的海洋百科，而是将镜头极致收缩，聚焦在一个不幸落于鲸腹内的少年身上。如此的创作选择，倒也是切中了现代人的精神困境——在科技高度发达与个体原子化生存的当下，相较于曾经流行一时的航海冒险或国族叙事，人与人之间的情感疏离与生态焦虑获得了更大的叙事优先权。小说通过杰伊在鲸腹中与父亲的灵魂和解，实际上是将“鲸”这一意象从宏大的自然符号，转化为承载私人情感与心理疗愈的容器。因此，《鲸落》10 余万字的篇幅虽远不及《白鲸》50 余万字的浩瀚博大，却以其极致的幽闭叙事，回应了 21 世纪关于亲情、救赎与生态的时代命题，在继承西方鲸类书写文脉的同时，也为其注入了更有时代感、也更有温度的内涵。这或许就是《鲸落》的价值所在吧。

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①<http://www.danielkraus.com/about/> 登录日期为 2026 年 3 月 10 日。

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国族想象的文史航图：评张陟《大海如镜：英美海洋小说研究》

商倩 (Shang Qian)

摘要：张陟所著《大海如镜：英美海洋小说研究》以文史互证为核心方法，贯通 18 至 19 世纪英美海洋叙事，系统考察其与国家建构、帝国想象之间的深层关联。作者通过“双向视野”揭示帝国话语内部的分裂与张力，在斯威夫特、康拉德等作家身上呈现殖民批判与时代局限的交织；借助跨文化比较，拆解不列颠内部及大西洋世界的文化差异，将英格兰、苏格兰、爱尔兰与黑人奴隶书写并置为彼此冲突又相互缠绕的叙事谱系。在对美国部分的论述揭示海洋小说如何服务于共和主义与扩张主义，同时以《白鲸》等文本展现对国家危机的文学预警。全书将海洋叙事从类型文学提升为理解现代性、帝国政治与文化权力的典范场域，并为当代海洋书写留下开放的对话空间。

关键词：《大海如镜：英美海洋小说研究》；海洋小说；国家建构；殖民记忆

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Title: A Documentary-Historical Nautical Chart of National Imagination: A Review of Zhang Zhi's *The Mirror of the Sea: A Study of English and American Sea Novels*

Abstract: Zhang Zhi's *The Mirror of the Sea: A Study of English and American Sea Novels* employs a method of mutual corroboration between literature and history to trace maritime narratives from the eighteenth to the nineteenth century, offering a systematic investigation of their deep entanglements with nation-building and imperial imagination. Through a “dual perspective,” the author reveals the internal fractures and tensions within imperial discourse, demonstrating in writers such as Swift and Conrad the intertwining of colonial critique and historical limitation. By means of cross-cultural comparison, the study deconstructs cultural differences within Britain and across the Atlantic world, juxtaposing English, Scottish, Irish, and

Black slave narratives as a conflicted yet interwoven genealogy. In its discussion of the American context, the book shows how maritime fiction serves both republicanism and expansionism, while readings of works such as *Moby-Dick* illuminate literary premonitions of national crisis. Overall, the study elevates maritime narrative from the realm of genre fiction to a paradigmatic site for understanding modernity, imperial politics, and cultural power, while opening up a space for dialogue with contemporary oceanic writing.

Keywords: *The Mirror of the Sea: A Study of English and American Sea Novels*; maritime fiction; nation-building; colonial memory

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在传统文学史的叙事框架中，海洋小说常常被简化为冒险故事或通俗叙事的一支，其与国家建构、帝国扩张及现代主体形成之间的内在关联，长期未能得到系统讨论。张陟教授的专著《大海如镜：英美海洋小说研究》，率先完成了这一学术探索，重新定位了英美海洋小说的学术价值。作者以古今贯通的历史纵深感、文史互证的精密考察、双向视野的辩证张力、跨文化比较的广度剖析，以及指向未来的开放性提示，不仅绘制出一幅脉络清晰的英美海洋文学的“文史航图”，更将此类叙事提升为解读近代化进程中文学与国家、权力之间复杂关系的典范场域。

作者虽然谦逊地将自己的研究界定为“阶段性成果”，并坦言仅聚焦若干部经典文本展开分析，然其所选极具代表性及阐释力，足以勾勒出海洋小说参与国族与帝国想象的核心脉络。从笛福笔下承载新伦理与殖民自信的鲁滨孙，到梅尔维尔笔下象征国家命运与内在裂变的“裴廓德号”；从加勒比海盗故事映射的帝国边界流动性，到对南极、非洲等边缘地带的文学书写，作者力证海洋远非单一的冒险叙事舞台，而是现代民族国家观念、文明等级秩序乃至个体身份得以生成、协商与反思的关键空间。正是在这一意义上，大海成为一面“镜子”，映照出英美社会关于自我、他者及世界秩序的想象方式与历史逻辑。

一、绘制海洋小说的“文史航图”

从整体结构来看，本书最突出的学术贡献在于作者凭借深厚的历史学素养与娴熟的文史互证功力绘制出一幅考据详实、坐标清晰的英美海洋文学的“文史航图”，从而回应了一个根本性的理论命题：“民族是一个想象出来的政治意义上的共同体，即它不是许多客观社会现实的集合，而是一种被想象的创造物。”（Benedict Anderson 2）。这种国族想象并非凭空捏造，它同时包含了厄内斯特·盖尔纳所指出的“文化上富于创造性的、空想的、积极创造的一面”（Gellner Ernest 74）。作者的工作正是通过海洋小说的深度解读，具体呈现出这一命题在文学叙事中的展开。

这幅地图的精妙之处，体现在作者将每一部作品都精准地锚定于具体的历史经纬坐标之上，并且书中对历史语境的重建并非背景式的泛泛而谈，而是与文本分析形成了互释互证的紧密关系。例如，作者深刻揭示了1707年英格兰与苏格兰《联合法案》的颁布，作为一种催生新的国家认同的力量，如何激发了斯摩莱特笔下苏格兰人的帝国想象与身份焦虑，转化为主人公罗德里克·蓝登通过参

与海外殖民事业来寻求个人尊严与族群认同的复杂叙事动力。同样，对于奥劳达·埃奎亚诺的《生平自述》，作者没有停留于对其奴隶叙事身份的简单描绘，而是深入剖析了贯穿其文本的“中间航路”创伤记忆与大西洋奴隶贸易的经济体系，如何共同构成了埃奎亚诺笔下自由概念的残酷悖论，海洋既是将其从非洲故土撕裂、抛入奴役深渊的暴力通道，却也是他后来通过学习航海技能、参与海上贸易，最终为自己赎得人身自由的唯一可能空间。这种将文学情感、人物命运与宏大的政治事件、经济结构、社会思潮紧密结合的互证方法，使得“国家如船”或“船即国家”这类文学隐喻转化为具有坚实的历史解释力的分析范式。读者借助这份地图，不仅能按图索骥地领略经典文本的风貌，更能理解它们何以在特定的历史时刻被写出、被阅读，并参与了时代精神的塑造。

尤为重要的是，作者所绘制的这幅“文史航图”，其探索范围并未局限于大西洋三角贸易航线或帝国殖民扩张的主流通道，而是敏锐地将目光转向那些在正统历史叙事中被忽视、被边缘化，或仅仅被奇观化的异质地理与想象空间。无论是坡在《皮姆的叙事》中对南南极地空间的极端想象，抑或 19 世纪航海叙事中出现的“地心”“世界尽头”等超越现实航路的空间概念，作者都将其视为国家想象与文明观念展开的特殊场域。这种对“偏离航线”的书写重视，揭示出在扩张主义话语之外，对未知世界的焦虑、试探与反思。由此，本书也为文学地理学与空间美学研究提供了重要的启示，这些承载着民族、地域等因素的文学表征，作为有意义的实践，“不仅反映了一种文化现象，而且也促进了有情境的文化意义的建构与循环”（梅新林 853）。

二、呈现海洋小说的跨文化张力

本书始终保持着一种“对举式”的双向视野，不仅体现在人物身份的对立，如船长与水手、奴隶贩子与奴隶等，也体现在文化冲突与地缘政治位置的张力之中，即宗主国与殖民地、航海扩张与田园理想、帝国自信与道德怀疑。通过将叙事放置于这些相互对抗的位置之间加以考察，作者使海洋小说不再只是冒险与奇观的书写，而是成为殖民主义、民族主义与现代主体性相互纠缠的复杂文本场域。

在对斯威夫特的讨论中，这种张力体现为其身份与情感的分裂性。一方面，斯威夫特以尖锐的讽刺为爱尔兰争取权益，在当时被视为“爱尔兰的爱国者”；另一方面，他又在私人书信中将爱尔兰描绘为愚昧与落后的国度。《格列佛游记》中耶胡形象与爱尔兰原住民之间的隐约对应，正揭示了这种矛盾心态。作者并未将其简化为“反殖民者”或“殖民者”，而是理解为一种处于帝国结构内部的分裂意识，既反对殖民压迫，又难以摆脱殖民话语。作者将其与笛福肯定“个体的自我成就与帝国扩张的合法性”形成鲜明对比，凸显其“对英格兰的政治与社会现状、对帝国文明的傲慢、甚至对人性本身都进行了深刻的反思与批判”（张陟 165）。通过剖析“一位反对殖民主义的殖民者”的矛盾位置，凸显出帝国话语内部不同行动者的分歧。

类似的双重性也体现在雷诺兹的“海洋民族主义”之中。雷诺兹以“国家的事业”“国家的财富”“国家的未来”等修辞，将捕鲸与航运塑造为国家认同的核心实践，并明确反对杰斐逊式自给自足的田园理想，提出“从存在的第一天起，我们就是一个商业民族”（张陟 255）。在这里，海洋不再只是自然空间，而被转化为民族主义动员的浪漫化修辞资源。作者通过这一分析揭示，美国海洋小说与航海话语既服务于共和主义与扩张主义，也在无形中建构了一种以商业与远洋活动为核心的国家想象。

在对康拉德及《黑暗的心》的讨论中，本书进一步将这种双向视野推进到殖民主义批判层面。作者既承认康拉德文本中存在对非洲人的刻板化书写，又强调必须将其还原到 19 世纪末的历史语境中加以评价。相较于同时代仍沉浸于文明优越幻象的作家，康拉德已率先揭示殖民暴力的真相，并以文学方式参与了对刚果暴政的公共揭露。正是在这种历史比较之中，作者揭示出海洋小说的批判潜能，它既无法完全脱离时代偏见，又能在既有话语内部生成对殖民主义的怀疑与反抗。同时，这种对立与拉扯也使海洋小说显现其作为国家叙事“镜像”的复杂功能。

其次，本书的卓越之处，还在于其打破了“英国文学”或“美国文学”的同质化理解框架，展开了一种真正意义上的跨文化比较研究。作者并未止步于单一国别的线性对比，而是进一步拆解了不列颠内部以及大西洋世界内部的文化差异，将英格兰、苏格兰、爱尔兰与黑人奴隶书写分别对应差异化的历史经验与身份位置。在英国部分，笛福所代表的英格兰主体，往往将航海与商业成功视为国家活力与个人德性的体现；斯摩莱特则通过塑造在海外扩张中获得尊严与机会的苏格兰人形象，使不列颠帝国成为苏格兰人重新确认主体性的空间。作者敏锐地指出，斯摩莱特作为苏格兰人，在社会地位上无法与笛福相提并论，其边缘处境反而激发了他对帝国政治的更敏锐观察，因此《蓝登传》中不仅发出“伦敦是魔鬼的王国”的尖锐批判，同时又不得不承认海洋为苏格兰人提供个人身份流动的可能性。斯威夫特所呈现的，则是处于英帝国边缘位置的爱尔兰经验，其讽刺书写既指向帝国权力，也折射出自身身份的分裂性。而埃奎亚诺的自传性叙事，则进一步将目光从不列颠内部推向跨大西洋世界。作为黑人前奴隶，埃奎亚诺是集奴隶、士兵、商人、船员、黑人、英国人的身份复杂体。作者细致分析了“中间航路”对埃奎亚诺精神世界的冲击，以及他如何通过海上贸易中的商品交换逻辑为自己赎买自由。这一过程深刻揭示了海洋既是奴役通道又是自由途径的悖论性，使黑人前奴隶成为理解帝国运行机制的重要视角。通过这些不同文化位置的考察与分析，本书呈现的并非单一的帝国声音，而是一组彼此冲突又相互缠绕的叙事谱系。

转向美国部分后，这种跨文化结构并未消失，而是发生了历史形态上的转化。作为“先有国家名义、后有文化认同”的新兴国家，美国海洋小说一方面继承了英帝国的航海叙事传统，另一方面又将其重写为共和主义、扩张主义与商业民族主义的话语资源。作者深刻揭示了 19 世纪美国与英国在国家建构路径上的根本差异，英国是在漫长的历史过程中逐渐凝聚文化认同，并最终形成政治实体；而美国则是先通过政治革命获得国家之名，需要再利用文化叙事来填充认同之实。这一差异直接影响了美国海洋小说的功能，使之成为建构国家想象共同体的重要手段之一。从雷诺兹以航海商业构建民族事业，到库珀、梅尔维尔等人以航海经验塑造美国主体性，美国海洋小说在延续帝国空间想象的同时，也不断制造与欧洲传统的距离。而这一继承与变形的过程，亦从文学与历史的交互书写中，呈现出大西洋文化重心由不列颠向美利坚逐渐转移的行动轨迹。

值得注意的是，作者对美国海洋小说的分析并非仅探讨民族主义所表现出的积极面向，亦剖析出其潜藏的复杂含义。在讨论达纳的《两年水手生涯》时，作者通过对 19 世纪 40 年代的美墨战争与西进扩张热潮的考察，揭示了文本中暗含的扩张主义视角。在分析麦尔维尔的《白鲸》时，更是将其置于 19 世纪 50 年代国家危机的语境中，解读“皮阔德号”的沉没不仅是一场捕鲸悲剧，更是“对国家之船被疯狂与贪欲吞没的担忧”（张陟 338）。亚哈的疯狂与专制，实玛利的无奈与微弱抵抗，共同构成了美国民主制度困境的文学隐喻。

通过这种跨文化与跨身份的分析视角，本书有效瓦解了将英美文学视为同质整体的研究惯性。海洋小说不再只是“英国的”或“美国的”，而是处在多重文化力量交汇点上的产物。它既承载英帝国的扩张经验，也记录被殖民者、边缘群体与新兴国家的回应与改写。正是在这种文化差异与历史错位之中，海洋小说呈现为多元化叙事空间，其文学意义也因此超越了类型文学的范畴，进入国家想象与文化政治的讨论视野。

三、探讨海洋小说研究的方法与未来航向

从方法论层面看，本书的学术贡献还在于对霍米·巴巴“国家叙事”理论的创造性运用，以及对“大历史”与“小历史”辩证关系的处理。作者指出：“国家，如同叙事一样，在时间的神话中消弭了源头，只有在头脑之‘眼’中才会重现其地平线。”（张陟 389）这意味着理解国家不能仅仅停留在地理、人口、经济等显见因素之上，还必须依靠历史语境的重建与文本的深入解读。作者发掘与重建了“大历史”的层峦叠嶂之中少有人知的“小历史”，揭示出二者之间“协商与拒斥、顺应与抵抗的复杂关系”（张陟 389）。本书通过对 10 余部代表性作品的深度细读，展现了海洋小说如何在政治、经济、军事与社会的功能之外，始终保持着见证与参与人类想象自我、探索世界与建构意义的全过程。无论是对埃奎亚诺“从大海中获得自由”的个案分析，还是对麦尔维尔“以船喻国”的宏观把握，作者都力图揭示，作家无法脱离其时代，但又能在结构与缝隙之间留下反思的空间。

最后，本书尤为难能可贵的是，并未将目光局限于历史深处，而是在分析中留下了诸多指向现当代的开放性提示。作者在结语中指出，随着人类认知边界的不断扩展，“当代海洋小说面对海洋常有‘去崇高化’‘去浪漫化’的‘祛魅’之举，其类型化、通俗化的特点尤其突出”（张陟 385）。相较于 18–19 世纪的海洋书写，现代期转向了更为平实、生态或反英雄叙事，取而代之的是对污染、资源、战争与生态危机的关注。这一判断不仅具有文学史意义，也为理解当代环境书写与海洋政治提供了文化维度的补充。同时，作者在探讨性别与边缘视角时，提及“东亚海女”等异域女性书写亦待挖掘，展示出宏观的学术视野，为海洋文学研究打开了一条由帝国航路通向地方经验、由宏大叙事通向微观生活的路径。这种指向未来的研究姿态，使英美海洋小说研究能够与当代人文议题形成新的对话关系。

综上所述，《大海如镜：英美海洋小说研究》是一部具备明确的问题意识、精密的论证结构及广阔的学术视野的杰出著作。它成功地将常被低估的海洋叙事，提升为解读英美现代性、帝国构建及文化政治的核心文本，绘制出一幅兼具历史深度与思想指向的文化导航图。它在时间维度上贯通 18 至 20 世纪英美文学传统，在空间维度上并置主流航线与非常规地理想象，在立场维度上呈现帝国话语与批判意识的相互映照，在思想维度既确认扩张与商业文明的历史现实，也包含对殖民暴力与民族主义逻辑的反思。可以说，每一位打开此书的读者，都不仅是踏上了一次回顾英美文学经典的航程，更是在获得一种重新理解文学如何在“大海之镜”中映照并塑造世界的文化视角。

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The Severed Ocean and Humanity: A Review of *Blue Ecocriticism* and *Shadowing the Anthropocene*

Ma Sitao

Abstract: This article juxtaposes Dobrin’s *Blue Ecocriticism and the Oceanic Imperative* and Ivakhiv’s *Shadowing the Anthropocene* to examine the cultural diagnosis and philosophical foundations of ecocriticism’s “blue turn.” Dobrin reframes the ocean’s absence as a structural symptom, showing how “land-based prejudice” operates through “cultural memory apparatuses” to obscure the sea; Ivakhiv’s “process-relational ontology” traces this absence to its ontological roots, arguing that the capitalist logic of “disconnectibles” severs dynamic relational processes into static objects. Together they form a double-layered framework: Dobrin addresses how absence is culturally constructed; Ivakhiv interrogates why it is structurally necessary. The article also identifies key limitations: Dobrin’s analysis stays at the level of representation; Ivakhiv’s systematic theorization of the “ungraspable” paradoxically reinstates the possessive cognition his shadowing posture resists. The article concludes by proposing the *Wangchuan* ritual as a corrective, calling for an oceanic ethics premised on coexistence rather than mastery.

Keywords: blue ecocriticism; process-relational ontology; oceanic ethics; disconnectibles

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题目: 切割的海洋与人类：评《蓝色生态批评》与《影随人类世》

摘要: 本文并置评述 Dobrin 的《蓝色生态批评与海洋律令》与 Ivakhiv 的《影随人类世》，探讨生态批评“蓝色转向”的文化诊断与哲学基础。Dobrin 将海洋的缺席重新定

性为结构性症状，揭示“陆地偏见”如何通过“文化记忆装置”遮蔽海洋；Ivakhiv的“过程-关系本体论”则从本体层面追溯其根源，指出资本主义“断联物”逻辑如何将动态关系世界切割为静态对象。两书构成双层阐释框架：前者揭示缺席如何被建构，后者追问为何缺席。本文亦指出其局限：Dobrin对结构性成因着墨不足；Ivakhiv以系统性框架把握“不可把握”，已然复归其所警惕的占有式认知。最后以“送王船”为例，呼吁建立不以“把握”为前提的海洋伦理。

关键词：蓝色生态批评；过程-关系本体论；海洋伦理；断联物

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1.0 The Absence of the Ocean: Blue Silence in Human Discourse

Land has always been the eternal mother of human civilization; the attachment to the soil spans every culture and time. Yet the ocean—that companion of the land, a treasury of water resources covering seven-tenths of the Earth’s surface—has equally sustained human survival and reproduction, while long failing to receive the same depth of attention as its terrestrial counterpart. That we call this planet “Earth” rather than “Ocean Orb” may itself betray a deep-seated bias within human civilization. On the cognitive map of humanity, land is center and ocean is periphery—a pattern strikingly evident in cartographic history; land is stable reality, ocean is the ungraspable Other. This bias pervades the details of cultural history. In *The Little Prince*, Saint-Exupéry has the geographer declare that the books recording “choses éternelles” (eternal beings), like mountains and plains, are “les livres les plus précieux de tous les livres.” (the most valuable books of all) (Saint-Exupéry 62). The ocean, with its tides and ceaseless transformations, is excluded from what the geographer deems worth recording. Though these are but a few lines in a work of “children’s literature,” they reveal the deep preference within human civilization for stability and graspability. The ocean, because it is always changing, always refusing to be named or grasped, has long been absent from humanity’s intellectual landscape.

Yet today, this “Other” encroaches upon the terrain of human cognition with the utmost urgency. Ecocriticism, as the humanities’ primary response to environmental crisis, now exposes a structural gap: from Thoreau’s *Walden* to Leopold’s *A Sand County Almanac*, the canonical texts of ecocriticism are almost uniformly rooted in terrestrial writing. In the age of globalization, however, the ecological crisis can no longer be understood at a single scale. Global warming, sea-level rise, species migration, ecological extinction—these problems transcend national borders, transcend the scale of any single landmass, and transcend the scale of any single species. When the epicenter of crisis has shifted, the critical gaze has yet to follow.

2.0 A Framework for Dialogue: Tensions and Complementarities between Eco-Realism and the Blue Turn

It is against the background mentioned above that Sydney I. Dobrin’s “blue turn” acquires its historical urgency. Today, ecocriticism’s shift from land to ocean is not a sign that terrestrial critique has been exhausted; on the contrary, it supplements what traditional land-based critique could not perceive by turning toward

oceanic chaos. Orienting within the blue ocean deepens the geographic and spiritual breadth of human civilization, breaking through the psychological dependence on “terrestrial stasis” that has long characterized traditional humanities, and opening a new critical and cultural path toward a hitherto unimagined mode of existence. *Blue Ecocriticism and the Oceanic Imperative* (2021), read alongside Adrian Ivakhiv’s *Shadowing the Anthropocene: Eco-Realism for Turbulent Times* (2018), constitutes an essential ontological and epistemological exploration. Dobrin’s work is a systematic diagnosis, revealing the structural causes of “land-based prejudice” in traditional ecocriticism and asking why the ocean has been so long absent. Ivakhiv supplies a perspective tracing the origin. His “process-relational ontology” erects the modern philosophical foundations for understanding the ocean, revealing how the capitalist logic of “disconnectibles”^① severs a dynamic relational world into static objects that can be possessed, exchanged, and discarded. Together, the two books point toward a core proposition: a crucial dimension of the ecological crisis is not the scarcity of resources but the rupture of relations.

Dobrin’s and Ivakhiv’s theories are not naturally compatible. Each attends to a different scale: the former concerns representation and belongs to the path of cultural studies; the latter probes ontology, emphasizing events, relations, and becoming, and belongs to the path of philosophical ontology. Yet juxtaposing the two books reveals a double-layered structure underlying the mechanism of the ocean’s absence: Dobrin’s “ungraspable” ocean and Ivakhiv’s “process-relational ontology,”^② “scale literacy” and “hyper-event,” “cultural memory apparatus”^③ and “iconophilia” share deep connections—namely, “why the absence exists” and “how absence is constructed.” The ocean’s absence is, in fact, an inevitable product of the capitalist “disconnectibles” logic that severs relational networks. These concepts will be elaborated in the sections that follow.

The two books also exhibit an internal methodological tension: Dobrin attends to “the constructedness of representation”; Ivakhiv explores “the generativity of the world.” Dobrin’s “submersive epistemology” finds ontological grounding in Ivakhiv’s philosophical system: if the world is constituted fundamentally by events rather than static objects, then “submersion” is not merely an epistemological posture but a response to how reality itself operates. Only within such an ontological framework is it impossible for cognition to maintain exteriority; it must occur through participation and immersion. The “scale literacy” argued in Chapter Two—a call to cultivate the cognitive capacity to move between multiple scales—resonates with Chapter Three’s use of Timothy Morton’s “hyperobject”^④ concept to redefine the ocean: the ocean is at once a perceivable object and a “hyperobject” that vastly exceeds the scale of human perception. This directly echoes Ivakhiv’s “hyper-event”: “an event that triggered chain reactions, which in turn rearranged agential relations operating on multiple spatial and temporal scales” (Ivakhiv 216). The two are expressions of the same phenomenon within different ontological frameworks: the former, taking “object” as its unit, emphasizes trans-scalar distribution; the latter, taking “event” as its unit, emphasizes generativity and relational networks. Dobrin, by tracing the transformations of oceanic imagery across different media, advances the concept of the “cultural memory apparatus” (Dobrin xiii). Ivakhiv, drawing on Latour’s “iconophilia,” articulates a philosophical framework for understanding the movement of the image—respecting the image’s propagation,

transformation, and reinterpretation across different contexts, rather than worshipping or possessing the image itself. It is within this tensely complementary framework that the present analysis unfolds, treating the theoretical dialogue between the two books as a productive foundation for understanding the philosophy of ecocriticism's "blue turn."

3.0 Dobrin's Blue Reboot: The Mechanism of Oceanic Representation in Culture

Dobrin's chief contribution lies in recasting the ocean's absence from ecocriticism not as an accidental oversight but as a structural symptom. Greg Garrard's observation that ecocritics adopt "green"—a term grounded in terrestrial ecological features—as the symbol of environmental politics (Dobrin 3), and Glotfelty's critique of how the word "landmark" is deeply embedded in ecocritical thought (Dobrin 5)—these details collectively expose the disciplinary unconscious of traditional ecocriticism: from its very inception, ecocriticism took land as its self-evident ontological center and suspended the ocean beyond its horizon. Steve Mentz identifies the fundamental challenge: "The basic challenge the ocean always poses: to know an ungraspable thing" (Dobrin 11). The ocean's ungraspability is both the cause of its absence and the truth that its absence conceals: the human knowledge system has long evaded everything that cannot be measured, named, or fixed.

Through six progressively layered chapters, Dobrin constructs a conceptual apparatus for revealing this mechanism of absence. The "cultural memory apparatus" stands at its core: from Herman Melville to Rachel Carson, from Jacques-Yves Cousteau to contemporary ocean documentaries, these texts and images are not neutral representations of the ocean but media that shape the way humans perceive it. The "cultural memory apparatus" determines how the ocean is constructed, distorted, or obscured in literature, art, film, and technological representations such as Google Ocean. The "submersive epistemology" overturns the pursuit of solidity and certainty characteristic of land-based thinking, emphasizing instead a fluid, corrosive mode of thought that dissolves terrestrial thinking's solidity—"a neologism that compounds submersible and subversive to suggest not merely fluidity and depth but also the corrosive potentials of thinking" (Dobrin 11). "Scale literacy," echoing Clark's *Ecocriticism on the Edge* and its discussion of "derangement of scale," reveals that the ocean is the paradigmatic site of such derangement: humans struggle to forge effective connections between individual actions and global consequences (Dobrin 91). The introduction of the "hyperobject" concept redefines the ocean as simultaneously a perceivable object and a hyperobject that vastly exceeds the scale of human perception. Chapter Five's "protein economy," using shrimp as its case study, discloses how marine organisms are absorbed into global capitalism's protein supply chain, grounding abstract epistemological critique in concrete political-economic analysis. Yet Dobrin's diagnostic power runs parallel to the limitations of his analysis. His discussion remains primarily at the level of cultural representation and media criticism, with insufficient attention to the structural reasons behind the ocean's absence. Why does the modern human mind structurally exclude the "ungraspable"? Why can the logic of "disconnection" so thoroughly sever humanity's perceptual bond with the ocean?

4.0 Ontological Roots: Ivakhiv's Process-Relational Framework

Ivakhiv's philosophical thought provides a structural perspective for understanding the ocean's absence. In *Shadowing the Anthropocene*, Ivakhiv follows Peirce's triadic categories to organize the book into three progressively deepening themes: "objects/events," "body-mind action," and "images/common worlds." These are not isolated chapters but a complete "logo-ethico-aesthetics" system that moves from ontology, through perception, to the reconstruction of action and ethics. At the heart of his ontology is a critical transcendence of object-oriented ontology (OOO). Ivakhiv argues that the fundamental unit of the world is not the static "object" but the dynamic "event," contending that reality is essentially a relational process of becoming. The "realness" of a thing lies not in its isolated existence but in its connections with countless other events. Ivakhiv synthesizes Whitehead's concept of "prehension" with Peirce's triadic categories to form a "process-relational ontology" capable of grasping both "being" and "becoming" simultaneously. The critical edge of this ontology is uniquely valuable in an era when plastic waste and electronic refuse permeate the globe. Ivakhiv astutely observes that treating things as "disconnectible" (Ivakhiv 27) is the philosophical projection of capitalist commodity logic—commodities are designed to be exchangeable, possessable, and disposable "disconnectibles," while the production processes, labor relations, and ecological costs behind them are deliberately obscured (Ivakhiv 27–29). Descartes treated animals as "machines"; Newton treated the universe as a "clock." This tradition of mechanical materialism sought to disassemble the world into independently analyzable parts, furnishing the philosophical foundation for capital's logic of "universal resource-ification," yet it cannot address the problem of "relationality": the interdependencies within ecosystems, the feedback loops within climate systems—these are invisible within a mechanical framework, just as the ocean is absent from traditional ecocriticism. For understanding the ocean, this ontology possesses formidable interpretive power: the ocean is not a static, mappable "object" but a "relational field" woven from countless "events." What is called modern thinking has yet to free itself from the tradition of mechanical materialism and still habitually severs the world into "disconnectibles." The ocean—an existence that refuses to be severed and cannot be grasped in isolation—thereby becomes a blind spot in the human cognitive system.

Building on his ontology, Ivakhiv proposes a path from philosophical cognition to bodily event. The second part introduces the Buddhist mindfulness tradition (Shinzen Young's system), translating abstract philosophical ontology into an actionable "body-mind" practice: training the capacity to perceive dynamic events through the three sensory fields of "seeing, hearing, and feeling." In traditional epistemology, the senses are often regarded as passive channels for acquiring knowledge; for Ivakhiv, however, they are the primary means by which humans actively participate in the world's "prehensive" activity. This shift is particularly important for oceanic perception—the ocean's essence can only be experienced dynamically and bodily, never captured through static conceptualization. The third part draws on Latour's "iconophilia" to address multicultural conflict and construct a "common world" capable of accommodating nonhuman actors and plural claims. Within this framework, the ocean is both a wellspring of "images"—appearing across cultures as "pathway of life," "dwelling of deities," "treasury of resources," "bridge of communication," "destination of the dead"—and a site where meaning is continuously reproduced through the movement of images, becoming

a bridge that connects the divergences among human civilizations.

Ivakhiv names this system “shadowing”—a cognitive posture of perpetually approaching but never possessing. By turning “ocean” into a crossed-out “ocean,” one acknowledges the limitations of human language and of humanity itself: human cognition is forever “approaching” rather than “possessing” the “events” embedded in complex relations; what humans perceive as “ocean” is a “shadow” glimpsed through the gaps, not “ocean” itself. This article, too, deliberately adopts this epistemological humility: the inquiry into the ocean’s absence does not terminate here in a closed conclusion. What we can do, perhaps, is only this: to continue approaching, and to honestly acknowledge that perpetual distance.

From the perspective of eco-realism, the ocean is not merely a flowing physical space but a dynamic field of relational processes. The ocean should not be viewed as a passive backdrop or resource repository; rather, it is an agential “actor” that participates in shaping human civilization and the Earth’s ecosystems. The ocean’s ungraspability is, on one hand, the cause of its absence, and on the other, it exposes humanity’s severed attitude toward its own relationship with the environment. Compared to the direct, visible changes on land, oceanic changes are far less intuitive, and the consequences of ecological destruction often reach humans only after a significant delay. Yet humans have selectively forgotten: through the chain reactions of ecosystems, foundational damage to the ocean ultimately punishes humanity itself through progressive bioaccumulation. This is precisely what Ivakhiv calls a “hyper-event”: the Fukushima nuclear disaster’s destruction of marine ecology, for instance, will travel through ocean currents and the water cycle to affect the entire planet’s aquatic ecosystem, and in turn the humans who depend on water for survival. This event reveals the ocean’s “relational essence” in the most brutal fashion: humans believed they could “disconnect” nuclear waste from the ocean—seal it in containers, sink it to the deep sea, affix “Do Not Touch” labels. But the ocean responds through its currents: nothing is truly “disconnected.” The Fukushima event is not an isolated “object” but a convergence of countless “events”—earthquake, tsunami, technological failure, political maneuvering, media narrative, and more. Dobrin, drawing on Clark’s “derangement of scale,” provides a powerful explanation for this phenomenon.

5.0 Limitations and New Horizons: Casting Off from Two Theories

Both books, to be sure, have certain limitations. Dobrin acknowledges that “I cannot provide ‘indigenous methodologies’ in this project” (Dobrin 51); his text primarily explores ecocriticism from a North American and Western perspective, leaving itself open to the charge of overlooking how colonial maritime history has shaped the construction of oceanic meaning. His analysis largely remains at the concrete level of cultural representation, with insufficient treatment of the structural causes—the ontological and epistemological reasons—for the ocean’s prolonged neglect. Ivakhiv’s “process-relational ontology,” while emphasizing relational generativity, risks neglecting the ocean’s materiality and politicality. To view the “ocean” purely as a “relational field” weakens the explanatory power of the blood and fire of imperial expansion, the slave trade, and colonial violence. His emphasis on body–mind cultivation can easily slide toward a “personalized ecological ethics,” attenuating both the political character of the ecological crisis and the organizational

dimension of responses to it. Indeed, one cannot ignore the internal tension between Ivakhiv's theory and the ocean's "ungraspability": is deploying a theoretical system to grasp the "ungraspable" ocean not itself a paradox? When Ivakhiv's theory is used to redefine the ocean as a "dynamic field of relational processes," that very redefinition constitutes a form of possession. The possessive cognitive impulse that the humble posture of "shadowing" guards against returns, shadow-like, in the very process of theoretical construction. This is not a rhetorical problem that can be dissolved by saying "theory is only a shadow"; rather, it points to a substantive predicament rooted in humanity's own limitations: any attempt to furnish a systematic framework for the "ungraspable" is internally contradictory with its own epistemological premises.

Capturing depictions of the ocean from a diversity of civilizational perspectives is the first step toward fundamentally altering humanity's longstanding neglect of the sea: this is also the methodological expression of oceanic studies' intrinsic commitment to connection, fluidity, and cultural pluralism. When Western oceanic scholarship encounters the limits of its perspective, Chinese scholars gain a distinctive space for intervention: Zheng He's maritime voyages, the oceanic economic traditions of Jiangsu, Zhejiang, and Fujian, the literary imagination of overseas realms in *Flowers in the Mirror*, the transoceanic spread of the Mazu faith—these accumulated resources constitute a cultural repository distinct from the Western "conquest of the ocean" narrative, awaiting incorporation into the horizon of blue ecocriticism. Take the folk custom of *Song Wangchuan* ("Sending Off the Royal Vessel") in the Minnan region as an example. In *Wangchuan* culture, the ocean is at once the source of livelihood, the sacred abode of deities, a perilous domain of the unknown, and the necessary passage homeward. This complex "oceanic imagery" cannot be reduced to "resource" or "threat"—it simultaneously accommodates awe, gratitude, supplication, and farewell. The core logic of this ritual is neither "utilizing" the ocean nor "worshipping" it, but establishing a sustained relationship with it on the premise of acknowledging the ocean's ungraspability. This is at once what Dobrin identifies as a "cultural memory apparatus" and a practical enactment of Ivakhiv's "iconophilia": neither worshipping the ocean nor conquering it, but learning, through long cohabitation with the sea, to respect its ungraspable "movement." This is perhaps precisely what Western blue ecocriticism still lacks: an oceanic ethics not premised on "grasping."

Despite these limitations, the scholarly contributions of both books cannot be overlooked. In the interactive dialogue between Dobrin's "blue ecocriticism" and Ivakhiv's "process-relational ontology," a new paradigm capable of grasping fluidity and relationality is constructed. This paradigm reveals that a critical driver of the ecological crisis is not the "resource scarcity" or "environmental pollution" of the conventional view, but "the rupture of relations"—the rupture between humans, the rupture between humans and nonhumans, the rupture between humans and environment, the rupture between humans and the future. The key to solving the problem lies in "the repair and reconstruction of relations." Through "body-mind cultivation" one rebuilds the capacity for perception; through "iconophilia" one rebuilds multicultural dialogue; through the broadly connected "common world" one rebuilds an ethics of action—grounded in the intimate solidarity of every person, every life, and every nonliving entity—to establish a more inclusive, non-anthropocentric ecological regime capable of addressing the systemic predicaments confronting the entire ecosystem. In this sense, the framework resonates with the concept of "a community with a shared future for mankind."

When, then, will ecocriticism truly meet its own ocean? Through this juxtaposed examination of the two books, this article has excavated a philosophical framework for oceanic ecocriticism: Dobrin tells us that the ocean is absent from ecocriticism, while Ivakhiv reveals the deep reasons for that absence, constructing a three-layered interpretive framework that moves from cultural phenomenon to ontological positioning, from representation to becoming, thereby elevating ecocriticism's "blue turn" from empirical critique to a philosophical reorientation of ecological epistemology. Dobrin writes at the end of his book: "My intent here, then, is to urge ecocriticism to take to the sea" (Dobrin 229). When should we do so? Ivakhiv, too, supplies an answer: "There is no better time for action than now" (Ivakhiv 229). When ecocriticism encounters the ocean, this will be not merely a disciplinary turn but a harbinger of human thought's liberation from isolated, fragmented mechanical conceptions toward a more mature systemic vision.

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Notes

①For the term "disconnectibles," Ivakhiv offers a definition grounded in his critique of "object": "In other words, there is value in distinguishing between disconnectibles—which this book will call objects—and the processes out of which those disconnectibles arise, within which they move, and to which they return" (Ivakhiv 27). The crux of the disconnectible lies in those entities that present themselves as "things" detached from relational networks—object-forms that enter new contexts and are manipulated as independent units.

②Process-relational ontology holds that reality is constituted by continuously productive relational processes; existence is not static substance but a dynamic process of perpetual becoming through relational interaction. As Ivakhiv writes: "The tools I apply are those from the philosophical tradition I identify as 'process-relational' . . . a view that takes reality to be ceaselessly creative, semiotic, and 'morphogenetic' in the sense that its forms are perpetually being generated through the relational acts of its constituent members" (Ivakhiv 18).

③Cultural memory apparatus refers to those culturally produced texts and media that exist in material form; they not only carry memory but themselves participate, as memory, in the generation and circulation of cultural imagination (Dobrin xiii).

④"Hyperobjects are things that are massively distributed in time and space relative to humans," according to Timothy Morton.

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