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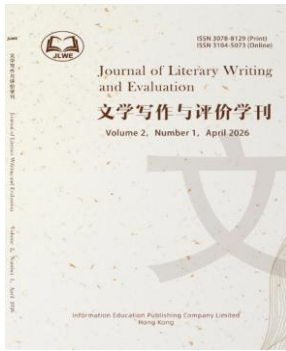
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Literature and Silence: An Interview with Professor Kate McLoughlin, University of Oxford

Kate McLoughlin, Wang Li

Abstract: The relationship between language and silence is not only an important issue in both Chinese and Western philosophies but also closely related to literary activities and daily life. During the author's visit to the University of Oxford as a visiting scholar from 2023 to 2024, an interview was conducted with Professor Kate McLoughlin on “Silence and Literature”. The interview explored the definition, nature, and various manifestations of silence in literature, analyzed the manifestations and commonalities of silence in different periods and different literary movements in the history of British literature, discussed the phenomena of silence among women and veterans in literature, the interaction among different silences in the context of postmodern literature, and the different viewpoints held by some writers and philosophers on the issue of language and silence.

Keywords: literature; silence; language

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题目：文学与沉默——牛津大学凯特·迈克洛林教授访谈

摘要：语言与沉默之间的关系不仅是中西哲学所关注的一个重要问题，也与文学活动以及日常生活息息相关。作者在牛津大学访学期间（2023-2024）对凯特·迈克洛林教授就“文学与沉默”进行了访谈，探讨文学中沉默的定义、性质及多种表现形式；分析英国文学史不同时期、不同文学运动中沉默的体现及共通性；讨论女性和退伍军人在文学中的沉默现象、后现代文学背景下不同沉默的相互作用，以及部分作家和哲学家对语言与沉默问题所持有的不同观点。

关键词：文学；沉默；语言

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Li Wang: Good afternoon, Professor McLoughlin. I know you are specialist in modern and contemporary literature with a particular expertise in war writing, and a trans-historicist. Could you please share a bit about your personal background and your educational journey? What motivated you to pursue a career in literary research and education?

Kate McLoughlin: Thank you. I will first say that I'm very honoured to be interviewed. I've loved literature ever since I can remember; I read and read as a child all the time – my favourite book growing up was *The Winter of Enchantment* by Victoria Walker - and so it was an obvious move to study literature at university. I was an undergraduate at Oxford University and did a master's in renaissance literature at Cambridge University. And then my career took a bit of a side-track as I qualified as a lawyer and worked for the UK Government Legal Service, with stints at the European Commission in Brussels and the Conseil d'Etat in Paris. But I never felt right as a lawyer; I always thought I was wearing 'borrow'd robes', to quote *Macbeth*. Eventually, I decided that my strengths lay in literary scholarship, so I came back as a mature student to Oxford to do another master's, this time in modern literature, and a doctorate. And since then, I've been lucky enough to have permanent jobs in academia, at Glasgow University and Birkbeck, University of London. I've been a professor at Oxford since 2014.

Li Wang: I noticed that in 2017 you held a knowledge exchange fellowship at the Oxford Quaker meeting, beginning to learn about spiritual silence and poetry. What initially drew you from the study of war writing to silence in literature?

Kate McLoughlin: It does seem a counter-intuitive route to go from war writing to silence, doesn't it! What happened was that I wrote a book about the war veteran in English literature as a figure representing anti-Enlightenment tendencies. The penultimate chapter was about veterans who talk too much, who talk on and on and on about the wars they've been in. The last chapter was about the opposite of that: veterans who can't or won't or don't talk about the wars

they've been in. That's often read as a symptom of post-traumatic stress disorder. But I was reading it more epistemologically as a sign of a failure in communication in the late Enlightenment. And when I was thinking and writing about my silent veterans, I suddenly had a light-bulb moment: *there's so much silence in English literature. This is now what I want to focus on*. So, the way from war to silence came through reticent veterans.

In the early stages of my thinking about literature and silence, I was lucky enough to be awarded a Knowledge Exchange Fellowship with the Oxford Quaker Meeting by Oxford University. For eight weeks, I attended Quaker meetings, which consist of everyone sitting in complete until someone feels moved to speak. Sometimes no one does! For many of the Quakers I met, silence was a profound part of their spiritual lives, and it was a privilege for me to share it and discuss it with them. My part of the 'exchange' was to put on four poetry workshops in which we talked about poems about silence. I came away feeling I had learned about silence from the masters.

Li Wang: Well, how do you understand silence in literature? Is it negative or positive in British literature, culture, and daily life?

Kate McLoughlin: I think it's both negative and positive. I use quite a broad definition of silence. Silence is defined in the dictionary both as an absence of sound, and as an absence of words. It's impossible for humans to experience absolute silence (except for some with specific hearing conditions): even if you're in an anechoic chamber you can still hear your own heartbeat. So, silence is a concept rather than an experience.

Following Wittgenstein and others, I also define silence as an absence of communicating words. If you meet someone and say, 'how are you?', you're not really expecting a detailed run-down of their current state of health. You're communicating, not that you're interested in their health data, but that you respect them and will observe conversational niceties with them. But you don't say that explicitly; it's communicated as a silent message. There are also silences—negative silences—in the forms of censorship and people's voices not being heard.

One of the most important silences in British life is the Two Minutes' silence that's held every Remembrance Day to commemorate the war dead. It's a very moving period, those two minutes when everybody falls silent; very powerful. The premise of my book is that silence is eloquent, it speaks to us and it speaks to us loudly.

Li Wang: Could you elaborate on Remembrance Day, what people do and feel during those two minutes of silence? Then how about in daily conversations? Can people tolerate a long period of silence?

Kate McLoughlin: For those two minutes on Remembrance Day, the nation falls silent and remembers the war dead. This happens, not only in Britain, but around the world. I can't say what other people are saying and doing but I'm thinking of the enormous sacrifices people have made and into my mind come thoughts of my grandmother's brothers who fought in the First

World War and my grandfather who fought in both the First and Second World Wars. National and personal remembrance are melded.

In other contexts, I think we're not necessarily very good at silence. We find silences quite awkward and rush to fill them. In the age of pings that we currently live in—instant notifications on our phones disturbing us all the time—we don't really have much silence left in our lives.

Li Wang: In both Chinese and English cultures there is a saying that silence is golden. The Chinese also say “day in xi sheng” (大音希声) which means great sound is verified, in another word, the great sound is actually silent. I'm curious about the traditional British perspective on relationship between silence and sound.

Kate McLoughlin: It's Thomas Carlyle, the great Victorian polymath, who's credited with saying that silence is golden. At the same time, he says that speech is silver. Sound in the form of words has, since ancient times, been associated with rationality, argument, literature. Silence has belonged to traditions based on wordlessness: mysticism and intuition. But I wouldn't overstate the binary: the two, silence and sound, are mutually constitutive.

Li Wang: So, silence and sound are not a binary opposition. Silence exists because there is sound, and sounds exist because there is silence.

Kate McLoughlin: Yes, they support each other. Sometimes, in silent scenes in literature when there's no human speech, the silence is actually accentuated if the writer also mentions something like bird song or the rustling of leaves on trees or the murmur of a mountain stream. Milton does this when describing the Garden of Eden in *Paradise Lost*, for example. Those very quiet noises seem to make the silence even deeper.

Li Wang: Yes, another example is that when people fall asleep, some white noise can facilitate a faster sleep onset. Wittgenstein said that whereof one cannot speak, thereof one must be silent, then how do you understand his viewpoint?

Kate McLoughlin: As I understand it, he was saying that when we're saying things other than logically provable propositions, we are, in effect, silent. When we talk about things like metaphysics or aesthetics, which can't be proven, then he would say we're talking nonsense. We're not communicating provable propositions and (like the example with 'how are you?' I gave before) what we say is therefore silent. That's not to say it's meaningless.

Li Wang: Currently you are writing a literary history of silence. Could you please introduce your work?

Kate McLoughlin: Yes, of course, it is a trans-historical book; it's going to be a long book, 200,000 words, published by Oxford University Press. It's for a crossover audience, so it's not only for academics but also for general readers who are interested in literature and silence. I've

tried to make it as enjoyable to read as possible. It starts with a 9th-century poem called ‘The Wanderer’ and it ends at the present day. On the way, it takes in a huge swathe of British literature, including Shakespeare, Milton, Wordsworth, Austen and Tennyson. It only deals with British literature: I think that silence is culturally specific, and I only really feel qualified to talk about British silence. It covers poetry, fiction, drama and non-fiction: everything from medieval lullabies to romantic poetry to self-help books of today.

Li Wang: So, do you mean that silence is also culturally specific in the UK?

Kate McLoughlin: I suspect it is: I wonder if a British silence is the same as a Chinese silence? But that's something that I don't feel I have expertise to pronounce upon. It's something that I would love to research another at a later point.

Li Wang: Then in your study, do you think in the history of British literature, there is a phenomenon where writers from a particular historical period share commonalities in their depiction or presentation of silence?

Kate McLoughlin: I'm looking at both thematic and formal silences. One thematic silence is the idea of the divine as something that's beyond words. You have to silence yourself to approach it. That idea starts very early in literature. In today's mindfulness movement, you can see the same instinct to detach yourself from your thoughts. Being overwhelmed to the point of speechlessness by strong emotions is also constant throughout literary history. Grief can be very difficult to articulate, as can love. Humankind's relationship with nature often involves silence and that is written about over the centuries. And there are other, sadder silences now to do with extinction due to the climate crisis. The ways in which writers convey silence vary but have a consistency as well. There are rhetorical silences such breaking off, structural silences like secrets, silences created by paradoxes. There are also visual silences—blank space on the page—as well as censorship, self-censorship, repression: these are *silencings*.

I've spoken about forms and themes that crisscross the centuries; you also asked about period specificity. Over time, I've noticed a gradual secularization of silence. In the early modern period, silence is played with as authors write love-sonnets bemoaning their own speechlessness. In the nineteenth-century novel, awkward social silences come to the fore—Jane Austen is a master of them. The novel in that period is also interested in the silent regions of the mind, anticipating Freud's notion of the unconscious. In the twentieth century, you get experiments in form, including *mise-en-page*, which render silences disruptive and baffling.

Li Wang: Within various literary movements such as Modernism, Postmodernism, or Romanticism, do the writers or schools of writers during these periods share commonalities in their depiction or representation of silence?

Kate McLoughlin: Romantic poets are interested in the silence of the sublime, in what's beyond

the power of reason to grasp. They convey it by writing about the fact that they *can't* convey it. By the time you get into the early 20th century, writers are interested in the silences that seem to characterize the nature of reality and the depths of the human psyche. Some writers are more experimental than others in approaching these matters. So, for example, in *The Waves*, I think Virginia Woolf is actually trying to give voice to the profound level at which she thinks we perceive reality.

Li Wang: So, can I say that Virginia Woolf's novels of stream-of-consciousness is a kind of silent writing?

Kate McLoughlin: Well, in *The Waves*—which is my favourite novel by Woolf by the way! —there are six 'characters' and we're presented with what appears to be an ongoing conversation between the six. But I don't think that the characters are talking in the sense of talking aloud or to each other or even to themselves. It's what the region of their minds that perceives reality deep, deep down would be saying if it could speak. As a result, it comes across as a very strange novel. Nobody had written a novel like that before, nobody had tried to give voice to that region of the mind—the last chapter of Joyce's *Ulysses* isn't representing Molly Bloom's unconscious—and so when you read it, you get quite an unsettled, but exhilarating, feeling of *what are these voices and what are they talking about?*

Li Wang: In postmodernist novels, there is often a prevalence of indeterminate and uncertain descriptions. Would this be related to the concept of silence we discussed earlier?

Kate McLoughlin: Yes, absolutely: indeterminacy and uncertainty can be reflected in prose style, for example when two mutual opposites are presented at the same time, so creating logical impossibilities, playfulness, that kind of thing.

Li Wang: Yeah. And the reader will get drawn in. Are there many depictions of violence of women and veterans in literary works?

Kate McLoughlin: Women and other minorities have been silenced throughout literary history. It's difficult to demonstrate because it involves proving a negative. But minority silences have also sometimes been turned into strength. There's a rough divide between Anglo-American feminist literary criticism, which sees silencing as a barrier to women's expression, and French literary criticism, which sees silence as a powerful way of speaking in itself.

I have found veteran silence throughout British literary history. And, although I say that silence is culturally specific, I suspect it's also true in other countries that veterans can't or won't speak about the wars they have been through. This silence is often psychologically based but when it appears in literature, I read it as related to a more general sense of the challenges of communication.

Li Wang: So, if we consider speech as a manifest manifestation of subjectivity, then could silence of women and the veterans be seen as a form of objectification, reflecting a lack of discourse, power, and subjective presence? I mean, can we regard the silence of women and veterans as a negative phenomenon? And consequently, can it be argued that silence is a negative phenomenon?

Kate McLoughlin: That has been the general critical approach, most famously in Gayatri Chakravorty Spivak's essay "Can the Subaltern Speak"? And the answer to her question has often been *no*. If the subaltern could speak, they wouldn't be a subaltern. But, more recently, there's arisen a critical school called the New Ethics, and it's suggested that people have the right to remain silent like someone does if they're arrested. The idea is that critics shouldn't necessarily expect authors, or characters, to explain things. It's ironic in a way because it does critics out of a job – our *raison d'être* is to explicate texts! But, instead, if you can register and honor the silences rather than try to elucidate them, then that produces a new and interesting critical approach.

Li Wang: Could you elaborate on the interplay among the silence of the author, the silence of the characters, and the silence of the readers within the context of postmodern literature? Have you previously contemplated this relationship?

Kate McLoughlin: Are you talking about authorial intention? Obviously, there can be quiet and timid characters in fiction who are prone to silence, and they can appear in very wordy novels. Fanny Price in Jane Austen's *Mansfield Park* for example. Her silence is saying something about human nature, but also about the status of women in society at that time. I'm also interested in readers' silence: we mostly read in silence, although you might have a voice in your head that's 'saying' the words. You asked specifically about postmodern literature. I have a chapter about experimentalism in the book, in which I look at moments when authors try to stop the process of reading. They might do that by blanks on the page. Some—B. S. Johnson, for example—even cut bits out of their novels.

Li Wang: The issue of "silence" in literature has been discussed throughout the twentieth century by George Steiner, Maurice Blanchot and Susan Sontag etc. For Steiner, the silence is brought about by the poverty or limits of language. Blanchot discussed the problem of literary silence too, but he approached it more from the perspectives of language and philosophy, proposing the characteristics of literary silence based on the self-negation of language. Susan Sontag, in her essay "The Aesthetics of Silence", believes that the understanding of silence should not be limited to viewing it as a "blank space" in art; rather, it is a stylistic approach that refuses to communicate with the reader and their interpretation. How do you understand the difference among these writers and philosophers? And do you discuss silence in British literature from these perspectives?

Kate McLoughlin: The works of Blanchot, Steiner and Sontag are milestones in philosophical and literary thinking about silence. Both Blanchot and Steiner link silence with the stymieing of reason. The disaster, says Blanchot, erases all that has been said: it ‘un-writes’ anything that humans try to set down. Steiner was pessimistic about the fact that literary culture has no ameliorative effect. He pointed to the guards at Auschwitz who would read Goethe before going out to do their hideous daily work. The ‘unwritten poem’, Steiner says, is the only riposte to phenomena like the Holocaust. But how do you register the unwritten poem?

Sontag gives examples. She instances Heinrich von Kleist, Arthur Rimbaud, the Comte de Lautréamont and Ludwig Wittgenstein as writers who all deliberately paused or ceased their work. In her view, the ensuing silence gives retroactive power and authority to the authors’ existing creations.

I discuss all three writers in my book, particularly in the chapter on the two world wars, when I explore the ethics of remaining silent.

Li Wang: It seems that you have recently developed a strong interest in Chinese literature, culture and philosophy. Is it possible that you might conduct some cross-cultural research, in the future, such as a comparative study of silence in Chinese and British literature?

Kate McLoughlin: Yes! I was fascinated when you came and spoke to my master’s class about silences in traditional Chinese thinking. You mentioned Confucianism, Taoism, and Buddhism. I would love to know more about these; how they’re reflected in Chinese poetry and how that has influenced British poetry as well. I would also love to know more about silence and Chinese culture historically and today. My guess is that, like, like British culture, the contemporary situation is very noisy. We’re rushing here, there and everywhere. We’re constantly pinged by our phones, and the internet, even though it might not be making a literal noise, is very ‘busy’. It’s difficult to find silences in these circumstances. So, one of my dream projects is to create an online library of silences from different cities, maybe from Oxford and Zhengzhou, so people could experience them, if only virtually.

Li Wang: Then what advice could you give to young scholars who are interested in pursuing a career in literary studies, particularly in your area of its expertise?

Kate McLoughlin: To read as much as possible and really to follow your interests: that’s what will make your passion will shine through.

Li Wang: Could you please recommend some books or articles about literature in silence? Both literally and critically?

Kate McLoughlin: Yes. Max Picard’s *The World of Silence* (1948), originally written in German, is seminal. Picard was a Swiss catholic theologian, as well as being a medical doctor, and he reflected deeply on silence from a spiritual point of view. Alain Corbin’s *History of*

Silence: From the Renaissance to the Present (2016), originally written in French, is a fascinating account of social and cultural attitudes to silence across centuries. Sara Maitland's *The Book of Silence* (2008) is more personal. Maitland writes about seeking silence in her own life, but she is also wonderfully well informed about historical and religious practices of silence. Diarmaid MacCulloch is a professor at my own university. His *Silence: A Christian History* (2013) was an inspiration when I started to think about silence. It ranges from the Desert Fathers and Mothers who practised silence in the early centuries after Christ to the use of silence in Christian liturgy to the *omertà* of the Catholic church. *Seeing Silence* (2020) by Mark C. Taylor is an impressive exploration of visual silences. Recently, there have been a couple of more general books about silence: John Biguenet's *Silence* (2015) and Sarah Anderson's *The Lost Art of Silence* (2023).

Li Wang: Thank you.

Kate McLoughlin: Thank you. It has been such a pleasure to talk about silence with you, and I hope we can create future collaborations.

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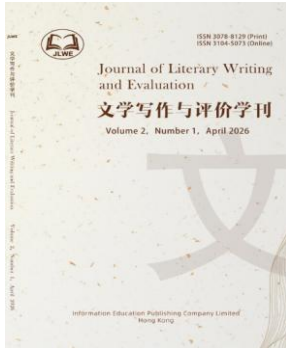
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味的离散与回返:

《接骨师之女》中的食物叙事与族裔身份

何嘉莉 (He Jiali), 陈 晞 (Chen Xi)

摘要: 美国华裔作家谭恩美 (Amy Tan) 的《接骨师之女》(The Bonesetter's Daughter, 2001) 以食物书写为核心叙事线索, 通过多重食物意象构建起华裔离散群体族裔身份建构的完整脉络。以物叙事为理论框架, 本文深入剖析白粥承载的族裔性排斥、腌萝卜蕴含的身份觉醒、茶叶蛋与菜谱承载的文化遗产, 揭示主人公露丝在跨文化语境中的身份困境与突围路径。食物不仅是满足生理需求的物质载体, 更成为串联代际记忆、调和文化冲突、承载历史创伤的核心媒介。主人公露丝在味的回返中达成和谐的跨文化族裔身份构建, 谭恩美借此打破早期华裔文学的异国风情叙事桎梏。这一身份建构路径, 为理解全球化语境下离散群体身份的多元性、流动性与建构性提供了独特的文学范本, 丰富了华裔文学食物叙事的研究维度。

关键词: 谭恩美; 《接骨师之女》; 食物书写; 族裔身份; 物叙事

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Title: Return of Taste in Diaspora: Food Writing and Ethnic Identity in *The Bonesetter's Daughter*

Abstract: *The Bonesetter's Daughter* (2001), written by Chinese-American author Amy Tan,

takes food writing as its core narrative thread and constructs a complete vein of ethnic identity construction for the Chinese diasporic community through multiple food images. Using the theoretical lens of Thing Theory, this study provides an in-depth analysis of how congee embodies ethnic exclusion, pickled radish signifies identity awakening, and tea eggs and recipes carry cultural transmission, thereby revealing the protagonist Ruth's identity struggles and pathways toward agency in a cross-cultural context. Food serves not merely as a material object for satisfying physiological needs but also as a central medium for connecting intergenerational memory, mediating cultural conflicts, and bearing historical trauma. Through the return of taste, Ruth achieves a harmonious construction of a cross-cultural ethnic identity, enabling Tan to break away from the exoticized narrative constraints typical of earlier Chinese American literature. This path of identity construction offers a unique literary model for understanding the multiplicity, fluidity, and constructedness of diasporic identity within a globalized context, thereby enriching the research dimensions of food narrative in Chinese American literature.

Keywords: Amy Tan; *The Bonesetter's Daughter*; Food writing; Ethnic identity; Thing Theory

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引言

《接骨师之女》(*The Bonesetter's Daughter*, 2001)是美籍华裔女作家谭恩美(Amy Tan, 1952—)创作的第四部长篇小说,是其极具自传色彩的代表作。学界普遍认为,该作品跳出了早期华裔文学“异国风情叙事”的桎梏,以母女双线叙事为核心,成为书写华裔离散记忆与身份重构的重要文本。小说以主人公露丝的跨文化成长轨迹为线索,串联起母亲茹灵在民国时期的中国往事与移民美国后的生活困境:茹灵带着家族创伤与传统文化记忆扎根异国,与受美国主流文化熏陶的女儿露丝产生深刻的文化认知隔阂,而露丝在跨族裔的生活语境中,始终深陷文化归属的迷茫。

聚焦《接骨师之女》的现有研究,学界多从代际关系、创伤记忆、伦理身份等角度展开阐释,积累了丰富的研究成果,但尚未有研究系统从饮食叙事视角切入,深入剖析食物书写与族裔身份构建的内在逻辑。事实上,食物书写是美国华裔女性文学中一脉相承的创作传统,华裔作家常以饮食为文化载体,勾连母体文化与寄居地文化,其不仅承载着族群的集体记忆,更具备串联叙事、隐喻身份的深刻文化意义,成为族裔身份表达的重要叙事工具。谭恩美精准以饮食叙事为核心线索,让“历史语境下看似细枝末节的食物意象被横向或纵向排列,不断推进着历史时间和叙事主题”(董美含, 2014, p.137),深度参与到主人公露丝的族裔身份建构全过程。从饮食叙事与族裔研究的双重视角出发,借用物叙事的框架,挖掘小说中食物书写与露丝身份认同的关联,对丰富华裔文学的食物叙事研究具有重要的学术价值。

在物叙事的理论框架下,食物作为一种特殊之“物”,既是物质生存的基础,又是精神记忆的存储体。食物的能动性使文本最终超越象征主义,转向一种关于存在的认知思考。在《接骨师之女》

中，从童年时期受美国消费主义影响的拒食，到成年后通过感官体验实现的接纳，最后到理解文化创伤并共同书写菜谱的传承，主人公露丝对中式食物的态度演变构成了她身份认同的完整轨迹。这一过程揭示了离散华裔如何通过与“物”的互动，跨越代际与文化的隔膜，在从“食”到“文”的转化中重构族裔主体性。

一、拒食白粥：被排斥的族裔性

在女儿露丝与母亲茹灵的代际互动中，食物不再是单纯满足生理需求的物质载体，而演变为母女之间确立自我、争夺话语权的关键媒介。白粥、汉堡与糖果的饮食选择冲突，本质上是两代华裔女性在话语权、身份认同与主体性掌控上的较量，彰显出非人类之物的叙事在突出伦理与权力问题的重要功能（Bernaerts et al., 2014）。露丝对于糖果、汉堡的偏爱与白粥的拒食展现出二代华裔移民在文化认同与代际交往中困境，更进一步展示了美国主流社会意识形态的同化力量在饮食话语中如何运作。

詹妮弗·萨图尔（Jennifer Sattaur）在梳理维多利亚时期叙事作品中的“物理论”（Thing Theory）时认为相关研究已经从关注物的商品属性转向了更深层的关系建构，致力于“解释主体和客体之间的关系……以描述作为能指符号的物的复杂性”（2012, p. 347）。小说中时而穿插的童年记忆生动刻画了露丝早期对“美国式”消费和饮食文化的观察与自身欲望的折射。自童年起，不论是美国式食物，还是中国式食物，都承载着文化性的能指符号。

当时露丝只有十岁，她十分惊讶地看着姨妈他们把看到的所有中意的东西都往购物车上扔：巧克力牛奶、甜甜圈、冰淇淋三明治、夹心饼干、电视餐等等，都是露丝没机会吃到的好东西。后来一家人还在超市的鲜花柜台买了一束粉色的小玫瑰，而当时既没人去世，也没人过生日。（p. 40）^①

露丝投向姨妈一家消费行为的艳羡目光，折射出她渴望被承认为美国人的欲望。姨妈一家疯狂扔进购物车的，并非生活必需品，而是高度符号化的“垃圾食品”。这些食物被露丝的母亲茹灵视为不健康、不必要且奢侈的。对年幼的露丝而言，它们代表了“中意”和“好东西”，这是一种被外部文化建构起来的欲望。她投向那些“中意”的食物的目光折射出她对无拘无束的“美国式”生活自由和丰裕的渴望。在露丝从母亲那里获得的消费框架中，消费行为通常需要与具体的仪式绑定，有其明确的目的和意义。而姨妈一家“无缘无故”地购买鲜花，代表了一种纯粹的、为即时快乐而进行的消费。美国加州大学伯克利分校亚裔研究系黄秀玲教授（Sau-ling Cynthia Wong）通过分析“吃”这一与食物密切相关的动态行为，根据饮食需求与方式将华裔文学作品中的物相对地划分为“大食者”和“甜牙”。以露丝为代表的长着“甜牙”的第二代美国移民总是偏好精美的食物（黄秀玲，1993, p.65），这些食物在他们眼中象征着白人社会将接纳他们的充满诱惑的承诺。与此截然不同的则是以母亲茹灵为代表的“大食者”的食物选择。茹灵总是秉持着一切都要以生存为根本的食物取向，“考虑再三，仔细衡量这花是不是物有所值”（p. 39）。一种是基于生存、实用和传统仪式的“大食者”逻辑；另一种是基于欲望、情感表达和个人享受的美国主流消费主义逻辑。后者对年幼的露

^① 本文有关《接骨师之女》的引文均来自谭恩美（2017年）：《接骨师之女》，张坤译。北京：外语教学与研究出版社。以下引文只标注页码，不再一一说明。

丝构成了强大的吸引力，因为它显得如此轻松愉悦。她选择的不仅是一种食物，更是一种她认为更轻松、更被主流社会认可的生活方式，可以让她摆脱“被当成局外人的那种尴尬感受”（p. 64）。实质上，这是卡米莉亚·卡蒂（Camille Cauti）所说的“烹饪冒充”，即“依靠食用某些食物来获得自己不属于的种族群体的接受”（qtd.in Dalessio, 2012, p. 140），从而在社会上临时伪装成“真正的美国人”。“美国主流社会经常通过饮食方式……对少数族裔或各地区的人进行归类”（Brown & Mussell, 1984, p. 3），通过暂时性的身份冒充，露丝试图改变自我身份，由他者身份变为被主流承认的美国人。露丝食物选择的妥协反映了在种族化社会中，少数族裔通过改变饮食来提升社会地位的巨大压力。但她既无法通过模仿主流饮食完全融入，又因疏远族裔传统而失去文化根基。

露丝对美国式食物的偏爱与对中国式食物的抗拒不仅是对族裔性的压抑，也是对“自我”支配权的争夺。吃与不吃，吃什么不吃什么，这不仅是生理、心理或者文化的选择，其中涉及权力的支配，最重要的是谁对“自我”具有支配权的问题。在露丝和母亲茹灵日常的食物选择中，两者不同的食物偏好恰恰构成了列维-斯特劳斯意义上的二元对立结构，也成为了母女二人早期的相处模式。为了治疗露丝的心理性失语，茹灵违背了自己对牛肉的生理性厌恶制作了露丝一直想吃的牛肉汉堡，同时明确了交换条件：“让她说‘汉堡包’，然后才给她吃汉堡包。她得开口说‘饼干’，才给她饼干吃。”（p. 80）露丝见母亲居然“开天辟地头一遭做了顿美国晚饭，心中暗自兴奋”（p. 80），但她敏锐地感知到汉堡在母女之间的符号所指。

露丝很想说话，可又怕一开口这神奇的魔咒就失效了。只要吐出一个字，眼前这些好东西就全都会消失不见。她摇摇头。茹灵不停地鼓励她张口，直到汉堡包都凉了，上面的油脂凝固成了很难看的一圈白色固体。最后，茹灵把汉堡包放到冰箱里，给露丝一碗热乎乎的米粥，还说甭管怎么说比起汉堡包，米粥对身体更好些。（p. 80）

从诱人的食物变为“油脂凝固成了很难看的一圈白色固体”，汉堡的冷却隐喻了露丝美梦的破灭。她逐渐意识到，母亲提供的“美国晚饭”并非接纳的信号。以沉默作为自己策略，她宁愿放弃渴望的食物，也不愿在母亲设定的规则框架中丧失自我主体性。最终，汉堡被撤下，取而代之的是“一碗热乎乎的米粥”。这一置换过程构建了列维-斯特劳斯（Claude Lévi-Strauss）意义上的二元对立结构：“这种对立关系对于各对立事物或者至少其中一方的在先性使我们得以理解，一旦烟草被人知道，它就同蜂蜜结合起来，与之构成一个被赋予无上重要性质的对偶”（2007, p. 21）。如同烟草与蜂蜜的对偶，汉堡与白粥本来不存在直接的对立关系，但在与母亲茹灵的食物选择的日常中，汉堡与白粥不再是两种单纯的食物，而是形成了一组价值对立：汉堡代表独立、现代与逃离；白粥则代表依附、传统与被规训。茹灵通过否定不健康的汉堡并推崇营养的白粥，重新划定了母女关系的边界，将露丝拉回了一代华人移民“大食者”的生存逻辑之中。

这种控制欲的根源，可以追溯到深层的心理机制。拉康的镜像理论认为，母亲若因自身主体性迷失，往往会将女儿视为“镜像”，从而引发病态共生。茹灵作为经历了巨大创伤的移民母亲，在旁人甚至女儿的眼里都是“历来如此，难缠，个性压抑，举止怪异”（p. 63）。“食物生产、加工和服务成为华人在寄居国立足谋生的手段”，而华裔文学中对烹饪的丰富描写，正是其被“种族化、性别化和阶层化的结果。”（Xu, 2008, p. 8）茹灵作为第一代移民，她所烹制和食用的、在主流白人视野

中被视为“另类”或“不洁”的食物，实则是坚韧与生存智慧的象征，是在资源匮乏与极端困境下维持生命、呵护家人的必要手段。这种饮食实践源于一种不得已而为之的“必需”，是动荡时代赋予她的生存本能。然而，在一个通过《排华法案》等系统性种族主义政策将华人禁锢于社会底层、限制其职业选择、并将其标记为“他者”的国度里，茹灵赖以生存的饮食智慧被新的主流文化语境所误读和贬斥：“从非华人那桌的脸色来看，他们定是觉得一盘比一盘更怪异”（p. 96）。她那些承载着创伤记忆与文化知识的食物，不再被理解为智慧与坚韧的结晶，反而被扭曲为落后、肮脏与不可同化的“他者性”的标志。这种饮食上的差异，本是其生存史的见证，却成为了她在新环境中被进一步边缘化的符号，加剧了其“被种族化”的处境。母亲自身被剥夺的主体性促使她必须在女儿身上获得补偿。她无法忍受女儿通过吃汉堡变成一个完全陌生的“美国人”，那是对她镜像的打碎，代际创伤开始无意识传递：“永远都不开心，看什么都不顺眼。露丝的整个童年都沉浸在母亲这种无以名状的绝望情绪中，以至于每当和亚特起争执时，露丝都对此深恶痛绝。”（p. 16）这种基于“美式自由/中式掌控”二元对立的对族裔性的排斥无法真正切割其族裔身份的特殊性，一场关于反思情感与族裔认同的深层回流在其真正热爱的食物与共食空间中得以展开。

二、着迷腌萝卜：无法割舍的族裔性

小说中明确提到露丝最爱的食物腌萝卜时，总是用大量笔墨去描绘人与物互动间的细节，强调腌萝卜独特的物性特征与感官体验，这正成为露丝打破性别客体化处境、确立情感主体的逻辑起点与物质根基。

在超市的生鲜蔬菜区，露丝探身往前，观看一篮漂亮的萝卜。每个萝卜都有苹果那么大，形状匀称，擦洗得干干净净，带点青紫色。露丝一面从里面挑出五个萝卜，一面心想，很少有人像她那样，懂得欣赏萝卜蕴含的美感……她喜欢好搭配、懂合作的蔬菜。她最爱吃腌萝卜——就是把萝卜切成块，用醋、盐、糖和辣椒一起腌起来。……究竟是她喜欢吃盐，还是为那种辣得发麻的快感而着迷呢？（p. 38）

在超市生鲜区的挑选场景中，露丝并未如往常般处于迎合他人的被动状态，而是展现出一种罕见的主体意识：她探身向前，专注于萝卜“匀称、苹果般大小”的美感，并认定自己是“懂得欣赏萝卜蕴含的美感”的少数人。这种独特的审美认知，赋予了普通食材以超越果腹功能的精神属性，标志着她开始尝试确立独立的审美坐标。拉图尔（Bruno Latour）指出，要理解自我的行动与情感，我们更应关注其依寓之物，以及那些触发情感的对象（1999, p. 27）。当她专注于腌萝卜在舌尖绽开的滋味时，不再是“可以随便丢掉的剩饭剩菜”，而是以情感主体的姿态掌控味觉体验。萝卜“好搭配”的特质，与露丝长期以来迎合他人、主动妥协的情感模式形成互文。而“醋、盐、糖和辣椒”的腌制流程及其带来的“辣得发麻的快感”，则构成对这种压抑状态的反叛。口味有了社会建构性，成了判断人的阶层的工具，食物本来的味道在文明化的过程中逐渐被剥离，对于“低级的、粗俗的”“天然享乐”的否定带来的是“升华的、精致的”“享乐”，由此，“艺术与文化消费实现的是使社会差异合法化的社会功能”（Pierre Bourdieu, 1984, p. 7）。露丝对腌萝卜“刺痛味”的主动享受，本质是她拒绝被主流审美规训，通过拥抱带有族裔印记的味觉体验，让被压抑的自我与族裔性得以释放。

腌萝卜编码的族裔身份在私人与公共共食空间中转化为更加明显的边界，突显了族裔间的文化隔阂。在私人共食空间中，腌萝卜的物性特征不仅关联性别主体建构，更承载着华裔身份的文化编码。露丝的饮食偏好与男友亚特及其继女的排斥形成尖锐对立：“可那两个女儿却非说萝卜条闻起来像是‘什么东西在冰箱里放的屁’。”（p. 38）亚特家人对腌萝卜的否定，本质是通过饮食口味的区隔，划定“自我”与“他者”的族裔边界，将露丝的华裔身份编码为“异类”。这种私人空间的隔阂并非孤立存在，而是自然延伸至中秋家宴这一公共共食空间，升级为族裔间的文化冲突：“高灵在露丝另外一侧的位子坐下来，随后其他的家庭成员也都入座。露丝看到亚特和米莉安一起坐在另外那张桌子边，那边很快就变成了‘非华人区’。”（p. 95）“非华人区”的自发形成，海蜇、海参等中式食材引发的排斥与尖叫，将主流社会对少数族裔的文化偏见具象化。露丝“胃里开始隐隐作痛”（p. 96）的生理反应正是心理创伤的躯体化投射。

腌萝卜所承载的族裔身份编码，在私人与公共两类共食空间中转化为清晰的文化边界，直观凸显了族裔间的深层隔阂，也让露丝逐渐认清：排斥、压抑甚至舍弃族裔性，终究无法消除种族与文化的鸿沟，恰如作者谭恩美所意识到的“说美国是个大熔炉是一个神话。在融化的过程中，我们最终总是有意识地选择美国的东西——热狗和苹果馅饼——而丢掉中国的一切”^②。如果说味觉体验是内在意识的觉醒，那么对共食规则的重定与厨房物理空间的改造，则是露丝将主体意识外化为对抗族裔与性别双重压迫的实践。长期以来，露丝延续着上一代女性“吞咽”苦难的命运逻辑，“露丝觉得自己确实像剩菜一样，什么都没得挑了才找到自己。……会主动妥协，迎合他的感受，这已经成为了自己的情感模式”（p. 317）。但在觉醒后，她主动打破了这一循环。首先，她颠覆了单向迁就亚特的共食模式，明确提出：“如果你真想跟我一起吃饭，不如我们换换”（p. 318），于是亚特和两个孩子每星期到茹灵家吃饭，这是要求代表主流话语的亚特进入边缘族裔的生活场域，更是在要求其身体力行地接纳华裔家庭的饮食习惯、文化氛围与情感逻辑。

这种主动抗争在厨房空间的改造中达到顶峰。“物质环境同样对人物的身份认同产生了深远的影响。物不仅塑造了个人的身份，也成为他身份的隐喻性延伸，与他形成了一种共生关系。在此，人与物相互朝向彼此转变，展现出一种物类似于人、人也类似于物的浮动的本体论。”（唐伟胜，2024，p. 23）从前的食品储藏间“如今成了她的小工作室”，经过露丝自己的改造，“漆黑的架子上摆的不是果酱而是一排排的参考书。她的笔记本电脑放在一个推拉式的切菜板上，板子下面原来有个面粉缸，现在拆掉了，留出地方好伸展腿脚”（p. 41）。露丝将食品储藏间改造为书房，蕴含着深刻的象征意义。母亲茹灵刚在美国落脚，露丝才两岁时，父亲就因车祸离世，留给茹灵的只有一小笔抚恤金，她只能到处做些杂活来维持生计。而露丝的工作是一名鬼写手（ghost writer），“有技巧地把散乱的思绪转化成清新流畅的散文”（p. 43）。食品储藏间原本是第一代华裔移民“大食者”生存方式的物质体现，早期华裔在美国多以餐馆、洗衣房等体力劳动为生，被主流社会贴上了带有歧视色彩的标签；而参考书与笔记本电脑的摆放，让这个空间转变为知识创造与身份构建的场所，这一转变也对应着华裔群体从“体力劳动者”到“知识生产者”的身份跨越。食物不仅见证两代移民女性的命运变迁，更成为跨越时空的情感媒介，将个体的性别反抗与族裔奋斗，转化为集体记忆的书写。

^② 英文原文为“‘There is this myth,’ she said, ‘that America is a melting pot, but what happens in assimilation is that we end up deliberately choosing the American things – hot dogs and apple pie – and ignoring the Chinese offerings’”。该引语出自谭恩美访谈，参见 Tan, A. (1989, April 17). [Interview by an unknown interviewer]. *Newsweek*, 68-69.

小说结尾外婆、母亲与女儿三个人合为一体，共同执笔写下属于她们的故事，将食物叙事的伦理意义推向高潮。从外婆宝姨吞墨自戕，葬身穷途末路“就像是经过大山的喉咙肠胃，最后落到大肠，样样都堆积在这里腐烂发臭”（p. 172）；到母亲茹灵漂洋过海，在艰难的排华社会中依旧不懈奋斗，改变因饥饿或战争死亡的命运；再到露丝通过腌萝卜确立主体，通过与谁共食不断增强主体性。随着露丝主体力量的增强，共食空间逐渐从隔阂场域转化为共情空间。

正如茹灵在宴会上的致辞“希望大家像糯米年糕和西洋布丁一样，甜甜蜜蜜地黏在一起”（p. 98），恰是这种融通的诗意表达：糯米年糕代表华裔传统，西洋布丁象征美国主流文化，两者并置打破“非此即彼”的族裔对立，呼应露丝拥抱跨族裔身份的选择。少数族裔女性不再被动接受主流社会的身份编码，而是主动构建属于自身的文化叙事，在“熬煮”命运的过程中，完成了跨族裔身份的确认与性别、族裔的双重解放。

三、共煮茶叶蛋：族裔身份的重构

“族裔食物所承载的关于本族裔群体的传统、文化和记忆，强化了族裔个体之间的感情联结。”（姚红艳，2023，p. 149）露丝经历了从理解母亲对牛肉的“创伤性排斥”，到反思家族“缺失之物”带来的文化焦虑，最终落脚于通过“在场之物”的互动来修复代际裂痕。这一从“食”到“文”的过程，深刻揭示了离散华裔如何通过与物质世界的互动，将破碎的历史记忆缝合为具有主体性的身份叙事。

离散华裔的饮食选择始终与个体生命体验、历史创伤记忆深度绑定，这一点在露丝母亲茹灵对牛肉的态度中尤为鲜明。茹灵明确排斥牛肉汉堡，直言“牛肉让她联想到布满伤疤的肉体，她觉得牛肉叫人恶心”（p. 80）。这种排斥并非单纯的口味差异，而是双重情感与认知的投射：一方面，源于中华农耕文化中牛的特殊符号意义——牛作为耕耘劳作的伙伴与家庭生计的维系者，其坚韧奉献的特质已内化为民族文化的情感内核，而茹灵成长于饥饿、战争交织的年代，日军侵华时期“人命如草芥”的苦难经历，人与牛在被杀戮、被“吃”的命运上产生了惊人的同构。茹灵对牛肉的恶心，实则是对那些在战争中像牲畜一样被碾碎的生命同情与恐惧。牛肉的“布满伤疤的肉体”意象，是茹灵战争创伤与生命苦难的投射。这种对牛肉的排斥，本质是对苦难历史的铭记与对生命的敬畏。另一方面，这种排斥暗含对美国快餐文化的隐性疏离，牛肉汉堡作为美国消费主义文化的象征，其标准化、速食化的特质，与茹灵认知中饮食所承载的情感联结、生活仪式感形成尖锐对立。在茹灵的价值体系中，人们需要“感激这可口的食物”（p. 271），食物从来不只是果腹的工具，而是情感联结、生活仪式与生命尊严的载体。这种饮食伦理与美国快餐文化中将食物工具化、符号化的特质形成本质区隔，也成为她坚守自身文化根脉的重要表达。

食物不仅作为现实世界的象征，更凭借其内在的“物性”发挥着重构叙事现实的作用。强调物的“物性”，有助于捕捉那些“难以捉摸”或“常被忽视的意义与思想”（Freedgood, 2006, p. 5-6）。在离散语境下，承载家族与民族记忆的“物”往往面临流散风险，而食物及其相关实践则成为填补文化空洞、重构叙事现实的核心媒介。小说中，象征家族荣誉与民族记忆的北京人头盖骨（龙骨）在战乱中失踪，“骨头本该用火车运到天津，然后通过一艘美国船从天津运到马尼拉，但是船沉了”（p. 280）。这一情节并非单纯的叙事点缀，而是特定历史时期物质生活在文本中的痕迹（Brown, 2001, p.22）。1941年北京人头盖骨随美国海军陆战队转移未果、最终失踪的历史事实，让龙骨的失

踪成为离散华裔本体层面的文化失根象征，既是家族诅咒的源头，也是茹灵流亡美国的代价。

当物作为记忆承载者缺席时，叙事现实便会出现裂隙，给人带来匮乏感（Freedgood, 2006）。露丝在成长过程中，一直介怀于未能获得某种具有实体感的家族传承之物。在男友亚特的家中，她看到了代代相传的银器、家具，那些物品确证了亚特家族在美国历史中的连续性与合法性。相比之下，露丝感到自己处于一种漂浮无根的状态。在实体性的“龙骨”消散之后，何物能够填补这一巨大的文化空洞？谭恩美给出的答案是：中国菜谱。这本由姨妈高灵构想、名为《通往中国的烹饪之路》的未完成之书，将家常菜的做法转化为文化记忆的载体，成为甲骨之外另一种形式的“传家宝”。不同于龙骨那种沉重、甚至带有诅咒色彩的“死物”，菜谱是一种具有生产性的、活态的“物”。它不需要被供奉在神龛上，而是需要在厨房的烟火气中被反复实践。物的网络具有“收集本质”，能够编织意义之网（Callon & Latour, 1981）。菜谱正是通过收录一道道家常菜的做法，将民族的饮食智慧、生活仪式与情感联结收集其中，形成跨越时空的文化网络。物易消散，但蕴含其中的文化基因与生活智慧，可通过饮食实践与文本记录永久保存。

烹饪传统转化了民族归属感，使食品成为积极的塑造者，是集体身份形成的标志（Wilk, 1999）。中国的饮食传统为继承中国传统“提供了比语言更强韧的联系。通过一起烹饪和进食，家庭将其过去的价值观念永久保存”（Scott, 1999, p. 181）。在小说的尾声中，烹饪和食用民族食物“使参与者能够重新塑造自己的民族身份”（Raspa, 1984, p. 193），露丝参与茶叶蛋的制作，通过饮食实践完成民族身份的內化。

露丝一边帮姨妈剥煮好的鸡蛋，一边听她絮叨：“茶叶蛋的做法是这样的，先抓两把红茶，记住，必须得是红茶，日本式的绿茶就不行，你们这些孩子爱喝的那些健康花草茶更不行。用细纱布把茶叶包起来，口扎紧。“然后把煮好的鸡蛋跟茶叶一起放到锅里，二十个鸡蛋配半勺酱油，再放六个八角茴香。”（p. 342-343）

中国饮食文化向来注重“食以载道”，食物是传递家族情感、维系文化脉络的重要载体。高灵将茶叶蛋的制作流程细致拆解，从茶叶的种类到调料的用量，每一个细节都蕴含着传承的深意——这些未被文字记录、仅靠口耳相传的技艺，是比书本更鲜活的文化遗产，它们承载着高灵对故乡的思念、对家族的眷恋，以及对后代的期许。“从厨房中流传下来的不仅是食物制作的方式，还有仪式、传统和家庭历史。”（Blend, 2001, p. 149）从制作茶叶蛋的原料来看，一方面，“日本式的绿茶就不行”的明确排斥，直指近代日军侵华战争留给华裔群体的集体创伤记忆，本质是侵略与被侵略、压迫与反抗的历史关系的微型投射。高灵对日本绿茶的拒绝是对侵略历史的隐性控诉，是将宏大的历史创伤转化为日常饮食实践的无声反抗。对于流散美国的华裔群体而言，这种选择更具特殊意义：身处异国他乡，文化身份的模糊与历史记忆的淡化成为普遍困境，而“拒绝日本绿茶”的饮食实践，成为维系族群历史记忆、确认“非侵略者”身份的重要方式，让后代在烹饪细节中触碰祖辈的苦难与抗争，避免历史创伤的消解。另一方面，“必须用中国红茶”的坚持，拒绝的是日本绿茶所代表的异质文化影响，坚守的是中国饮食文化的纯粹性，每一道工序都承载着对故乡饮食体系的记忆与认同。中国红茶的醇厚、八角茴香的辛香，都是乡土中国的生活记忆。食物的物性与文化意义在代际传递中不断延伸，从茹灵对牛肉的排斥到露丝对茶叶蛋与菜谱的坚守，印证了食物作为民族身份“更强

韧的联系”的核心价值。物虽然容易消散，但附着在物之上的文化实践却能跨越时空，生生不息。这本菜谱不再是那种令人窒息的旧式传统，而是一种开放的、允许被重新书写的文本。最终，食物成为华裔群体在文化漂泊中重要的文化认同载体，让分散的个体通过味觉与烹饪实践，重新联结为具有文化凝聚力的集体，在“味的回返”中完成了族裔身份的确认与文化精神的永续。

结语

《接骨师之女》印证了食物在华裔离散语境中的叙事能动性与文化建构功能。小说生动刻画了露丝对中式食物态度转变的动态过程：从童年时期受美国主流消费主义意识形态裹挟而对中式食物的刻意拒斥，到成年后凭借触觉、味觉等感官体验重拾文化记忆并实现对族裔饮食的主动接纳，再到最终直面母女代际间的文化创伤，以共同编撰菜谱的方式完成饮食文化的代际传递。这深刻揭示了离散华裔在跨文化场域中，如何以“食物”这一具象之物为媒介，通过器物互动消解代际隔阂与文化断裂，在从饮食实践到文化叙事的转化与升华中，重构被主流话语压抑的族裔主体性。

作为当代美国华裔文学的代表性作家，谭恩美以饮食书写为叙事策略，突破了早期华裔文学被桎梏于“异国风情”的叙事窠臼，摒弃了西方读者期待视野中的东方主义想象，将离散群体的集体记忆、代际创伤与身份焦虑，巧妙融入日常饮食的柴米油盐之中，使食物超越了物质供给的本质属性，成为离散族群锚定精神根脉、重构族裔主体性的重要载体。这种书写方式不仅丰富了华裔文学的叙事维度，更赋予了离散书写以烟火气与人文温度。在小说的末尾，露丝的最终选择并非盲从主流或固守传统，而是在味的回返中达成和谐的跨文化族裔身份构建。这一身份建构路径，为理解全球化语境下离散群体身份的多元性、流动性与建构性提供了独特的文学范本，也彰显了美国华裔文学在跨文化语境中，对族群文化传承、代际关系调和与身份认同重构等核心议题的深层思考与价值追问。

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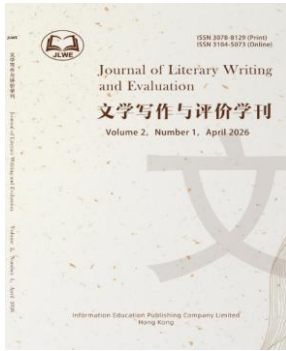
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由伦理走向逆伦理

——《威廉斯多普》中的亲缘、姻缘与血缘秩序的裂隙

张梦伟 (Zhang Mengwei), 谭惠娟(Tan Huijuan)

摘要：赫尔曼·查尔斯·博斯曼的遗作《威廉斯多普》深刻揭示了南非种族问题的伦理困境。本文运用文学伦理学批评，通过分析小说中亲缘、姻缘与血缘关系在种族隔离下的扭曲，提出“逆伦理”这一核心概念，旨在阐明种族主义如何通过“伦理倒置”系统性地逆转日常伦理，构建其自我辩护的规范体系。研究指出：在亲缘关系中，责任发生错位，人物在伦理自觉中仍走向失范；在姻缘关系中，欲望被政治化为维系种族边界的工具，表现为“道德化渴望”与“堕落化占有”的双重模式；在血缘关系中，“逆伦理”性达至顶峰——血缘触发“白人恐慌”，白人父权借“理性意志”将混血生命判为“污染”，从而将保护生命的伦理义务倒置为排除生命的暴力。至此，“伦理”沦为清除行动的修辞工具。

《威廉斯多普》由此呈现了一个伦理结构失衡却依靠“伦理倒置”逻辑持续运转的社会图景。这表明种族隔离不仅是一种政治制度，更是一套深度内化、以伦理倒置为核心运作的意识形态系统。小说超越具体历史语境，凭借对“逆伦理”机制的洞察，成为审视权力侵蚀伦理、身份在伦理废墟上重建的后殖民文学典范。

关键词：博斯曼；《威廉斯多普》；逆伦理；亲缘；姻缘；血缘

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Title: From Ethics to Counter-Ethics: Disintegrations in the Order of Kinship, Marriage, and Blood in *Wilhelmstorp*

Abstract: Herman Charles Bosman's posthumous novel *Wilhelmstorp* profoundly exposes the ethical predicament underlying South Africa's racial issues. Employing the methodology of ethical literary criticism, this paper analyzes the systematic distortion of kinship, marital, and blood ties under apartheid as depicted in the novel, proposing the core concept of “counter-ethics.” The aim is to elucidate how racism, through a mechanism of “ethical inversion,” systematically reverses everyday ethics to construct a self-justifying normative system. The study argues that: in kinship relations, responsibility becomes displaced, with characters veering into transgression despite ethical awareness; in marital relations, desire is politicized into an instrument for maintaining racial boundaries, manifesting in a dual pattern of “moralized yearning” and “degenerate possession”; in blood relations, the nature of “counter-ethics” reaches its zenith—blood ties trigger “white panic,” leading white patriarchy to employ “rational will” in condemning mixed-race life as “pollution,” thereby inverting the ethical imperative to protect life into a violence that excludes it. Consequently, “ethics” itself is reduced to a mere rhetorical tool for eradication. *Wilhelmstorp* thus presents a social panorama where the ethical structure is fundamentally unbalanced yet continues to operate, sustained precisely by the logic of “ethical inversion.” This demonstrates that apartheid was not merely a political system but a deeply internalized ideological system whose core operation relied on inverting ethics. Transcending its specific historical context, the novel, through its incisive critique of the “counter-ethics” mechanism, stands as a postcolonial literary classic for examining how power erodes ethical foundations and how identity is reconstructed upon the ruins of ethics.

Keywords: Bosman; *Wilhelmstorp*; Counter-ethics; Kinship; Marriage; Blood Ties

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引言

赫尔曼·查尔斯·博斯曼（Herman Charles Bosman 1905–1951）是二十世纪南非文学承上启下的关键作家。其遗作《威廉斯多普》（*Willemsdorp* 1991）因历史审查迟至 1991 年才完整出版，被视为其最成熟尖锐的文学表达。小说以二战前布尔人小镇为背景，通过两个交织的故事——约翰内斯家庭的伦理崩塌与编辑查尔斯的欲望分裂——揭示种族隔离制度如何侵蚀人伦根基，使亲密关系沦为权力战场，最终呈现“伦理倒置”的悲剧过程。

既有研究已从文学传承、美学渊源与主题象征等角度确立博斯曼的地位（Trump, 1986, p. 164–

178; Schopen, 2019, p. 82-88), 亦有学者指出小说中悬置的谋杀隐喻了白人身份的伦理困境 (Potter, 1986, p. 158-164)。然而, 小说中伦理系统的结构性扭曲及其运作机制, 仍有待深入剖析。

本文拟运用文学伦理学批评, 重返历史伦理现场, 聚焦亲缘、姻缘与血缘三重人伦关系在种族政治下的秩序裂隙。研究旨在论证, 这些裂隙并非偶然失范, 而是系统性的“伦理倒置”之征候——善与责任被逆向编码, 暴力被修辞为“必要”。这一倒置过程最终催生了一种自我辩护的“逆伦理”体系。本文试图阐明, 《威廉斯多普》不仅描绘伦理失序的社会图景, 更揭示了伦理自身如何走向其反面的机制, 从而为理解种族主义对人性伦理的根本性腐蚀提供深刻的文学证言。

亲缘伦理中的角色责任错位: 家庭基石的瓦解

伦理困境不来自善恶对立, 而来自“角色责任的错位”。文学伦理学批评强调回到历史的伦理现场, 站在当时的伦理立场上解读和阐释文学作品, 寻找文学产生的客观伦理原因并解释其何以成立, 分析作品中导致社会事件和影响人物命运的伦理因素, 用伦理的观点对事件、人物、文学问题等给以解释, 并从历史的角度作出道德评价。(聂珍钊, 2010, p. 14) 从这一视角重返布尔人的历史现场, 可以发现 19 世纪末至 20 世纪初英布战争的彻底溃败不仅带来军事与政治上的溃败, 更导致深层的社会结构性创伤与伦理根基的动摇。农业经济被摧毁, 大量布尔农民失去土地; 农村向城市迁移加剧, 形成“贫困白人”阶层; 在资本、工业与行政体系中处于对英裔白人的从属地位。布尔人虽然是“白人”, 在种族等级中居于上层, 却在阶级与政治权力上被边缘化。这种撕裂的处境——既是压迫者又是被压迫者——为一种深刻的伦理倒置埋下了伏笔: 他们在被英裔压制的集体记忆中构建出“被剥夺的白人”叙事, 将自身困境归咎于帝国资本, 从而系统性地忽略并遮蔽自己对黑人与有色人种群体的结构性压迫。作为历史中的“受害者”, 布尔人是否仍需为正在实施的压迫承担道德责任? 这一问题本身已揭示出其伦理位置的内在矛盾与逆伦理倾向的萌芽——即一套将自身苦难置于他者痛苦之上的价值排序。

约翰内斯·伊拉斯谟的道德困境并非源于简单的善恶抉择, 而在于其伦理主体性被深度嵌入并扭曲于制度身份之中。他的自我想象与现实位置之间的鸿沟, 直接导致了其伦理身份的困惑与道德责任的系统性错位。伊拉斯谟不断强调自己是一个“有影响力的人”, 是“组织者”“事务家”, 是能“越过某些高级督察的头”的操盘者。他将自我伦理价值完全绑定于“制度运作中的操控能力”, 坚信只有越权行事, 才算真正履行责任。然而, 博斯曼的反讽叙述无情地揭穿了这一幻象: 在俱乐部中, 他始终被视为“只是个校长”, 被排除在真正的权力中心之外, 其“知情”永远是二手与不完整的。这种渴望认同于统治精英却不被接纳的处境, 使其伦理行为彻底沦为一种空虚的表演, 这正是在微观层面上伦理倒置的体现——伦理实践的目的从实现正义异化为表演权力。

妻子玛丽对伊拉斯谟的呼唤, 本应是一次纯粹的伦理召唤: “你会不由得想到农场里的人们……你我都不是在镇上出生的。我们都来自乡下。我们知道干旱是什么滋味。” (Bosman, 1991, p. 33) 她基于共同的乡土记忆与血缘情感, 恳请他履行基本的亲族责任。然而, 伊拉斯谟的反应却暴露了其价值体系的深层倒置: 他考量的并非是否该帮助亲人, 而是此举是否配得上其自命的“事务家”身份。责任在此被彻底转化为一场关于个人影响力的表演。这表明, 在其认知框架中, 伦理

价值已被一种扭曲的、以自我形象为中心的逻辑所倒置。

弟弟克里斯杨则呈现了另一种更彻底的逆伦理模式。他“带着乡野的优雅和粗犷的男子气概”（Bosman, 1991, p. 110），对女性持彻底的蔑视态度，唯一敬重的是工作。在他这里，伦理价值被极端压缩为经济生存的逻辑，人际关系完全工具化，工作被奉为不容触及的“圣域”。这种将人的价值彻底物质化、工具化的世界观，标志着伦理本身在其生命中被清除。他与玛丽的性关系远非不正当关系所能概括，而是一次伦理秩序的彻底倒置与践踏：卧室这一象征婚姻伦理的核心空间，沦为兄弟权力与女性身体进行交换的场所。玛丽在此过程中的复杂体验——快感源于“触及禁忌”与短暂摆脱角色束缚——亦非真正的解放，而是在被内化的压抑性伦理下一种扭曲的主体挣扎，体现了系统性的伦理规范如何塑造甚至扭曲人的本能与情感。

匿名电话的插入，最终将这场家庭伦理悲剧推向了无法挽回的境地，并清晰揭示了从“伦理自觉”滑向“逆伦理”行动的可怖路径。极具反讽意味的是，伊拉斯谟对整个事件保持着高度的伦理自觉：他明知电话的卑鄙、“抓奸”行为的低贱，甚至预感妻子可能无辜。然而，这种“明知”并未导向善的选择，反而加剧了他的行动，因为其行为逻辑早已被身份表演与权力维护所支配。这种“知善而不为，知恶而故犯”的分裂，正是伦理倒置在个体心理上的完成形态：伦理判断与伦理实践彻底分离，判断能力沦为对自身罪责的清醒酷刑。枪支的动用是最终的逆伦理宣示，暴力彻底摧毁了其作为丈夫、兄长和社区领袖的全部伦理完整性。事后的痛哭与“不会有好结果的……通过家族关系给克里斯杨找工作”（Bosman, 1991, p. 67）的哀叹，只是一种空洞的“虚假和解”。伦理秩序一旦经由自觉选择而被倒置与践踏，便无法真正复原，只留下沉重的、自我指控的道德负担。这个家庭的崩溃，标志着在种族隔离意识形态渗透下，维系社会最基本的亲缘伦理如何从内部被腐蚀、倒置，最终孕育出指向更广泛逆伦理秩序的萌芽。

姻缘伦理的两种诡辩：政治欲望与种族边界

亲缘伦理的断裂，使个体如失锚之舟，悬浮于更广阔而复杂的社会关系中。此时，姻缘及其他亲密关系，便成为观察欲望如何被种族政治反复规训的场域，因为它既是情感的舞台，亦是权力悄然改写身体与欲望的隐秘脚本。

在种族隔离的意识形态框架内，欲望绝非纯粹的个人情感或生理冲动，它被征用、形塑为一种践行与巩固种族界限的政治实践。白人男性查尔斯·亨德里克与两位女性——同族的莉娜和有色人种的玛乔丽——的关系，呈现为两套截然不同却又互为镜像的伦理诡辩。这两套诡辩并非偶然的话语策略，而是深植于种族隔离制度、供白人男性主体调用的系统性话语装置，精准揭示了其在“白人至上”秩序下欲望管理的内在分裂，以及这种分裂如何服务于一种更深层的伦理倒置逻辑——即欲望的实践旨在维护一套逆伦理的种族等级秩序。

查尔斯·亨德里克与莉娜关系的核心，并非“未遂的爱情”，而是一场关于伦理自制的精密表演，其本质是欲望在种族内部纯洁性规范下的自我规训。当亨德里克试图以“道德正当”的方式去渴望同族女性莉娜时，伦理本身便成了欲望的扭曲镜面与安全阀。他反复进行心理暗示：“这太平静了，不像是爱”。这种自我否认并非真诚的理性判断，而是一种将欲望去欲望化、去身体化的话

语诡辩，旨在将其情感纳入白人社会内部“体面”的道德安全区。他刻意回避传统的“男性凝视”，强调莉娜“不漂亮”，努力不将其物化为“欲望对象”。然而，正是这种过度的、近乎禁欲的“自制”，暴露并再生产了权力关系的不平等：作为编辑，他掌握着莉娜专栏的发表权，其“说服”她继续供稿的举动，实质是在职业依附的框架内，维系一种允许他进行安全的情感投射的权力结构。这种“自制”的表演，本身即是一种象征性权力的诡辩，它允许亨德里克在想象中扮演一个尊重、克制的主体，同时却从未撼动其固有的支配位置。这种将真实欲望压抑、转而表演一种符合内部纯洁性规范的“道德”姿态，本身即是伦理倒置的初步体现：真实的人性情感受压，而虚伪的规范表演被赋予伦理价值。

伦理关系的失衡在科茨街走廊的黑暗中抵达临界点，并瞬间瓦解了自制的假面。“他一手搂着她肩膀，一手搂着她腰，将她压在印刷厂白墙上。一个短暂的吻……那是一个咸味的吻，带着血和海的味道。（Bosman, 1991, p. 74）”这绝非浪漫，而是一次未经同意的伦理冒进与权力僭越。亨德里克的身体行动先于任何语言协商，粗暴地越过了由他自身设定的“道德”边界。这印证了聂珍钊所言，伦理选择由身份决定并反过来建构身份（聂珍钊，2020, p. 77）。在此，他“白人男性编辑”的身份驱动了侵犯性的选择，而该选择又将其身份瞬间固化为“侵犯者”。莉娜事后的彻底沉默与“他好像什么都没发生”的冷漠态度，看似反常，实则是弱势主体一种清醒的防御性伦理策略。她以拒绝承认、拒绝赋予事件以叙事意义的方式，单方面终止了这次越界可能带来的进一步情感剥削与道德纠缠，在无力改变权力结构的情况下，守卫了最低限度的自我叙事权。

在同族女性处受挫于这套“体面”诡辩，亨德里克转而激活了另一套更具颠覆性也更为真实的欲望诡辩。他与玛乔丽的相遇绝非单纯的私人放纵，而是种族隔离伦理在“夜间私人空间”中的系统性实践与变形，是逆伦理逻辑在私密领域的直接展开。在酒精与单身公寓共同构筑的、社会规范被临时悬置的非正式空间里，公共领域的种族律令并未消失，而是被内化为一种更隐秘的微观身体政治。查理醒来的第一反应不是“她是谁”，而是启动一套种族识别的扫描程序：她是不是白人？她的五官、肤色、口音是否“越界”？这种凝视本身，即是一种将人物化、分类、并置于种族等级秩序中的伦理暴力。他将越界行为叙述为“是他，而不是那个有色女孩，消除了壁垒”，这堪称一种精妙的伦理倒置式诡辩：将制度性的压迫与不平等，偷换为个人化的“宽容”与“主动”，从而在叙事上完成了一次对殖民逻辑的自我赦免与美化。

“他不能请她坐在椅子上，但可以请她上沙发床。（Bosman, 1991, p. 88）”这一悖论，是理解两种欲望诡辩的核心密码，也是伦理倒置的空间化铭写。它揭示了种族隔离秩序下最尖锐的身体与空间伦理：公共空间的平等象征（椅子）是绝对不可触及的禁忌，那意味着社会身份的承认；而私密空间的性化对象（床）则是可以被消费、被占有的例外领域，那仅仅关乎身体的享用。玛乔丽在叙事层面被系统性剥夺了内在的复杂性与主体深度，被简化为一个常常微笑、缺乏沉思的“可进入的他者”。这是一种叙事层面的伦理降格，通过剥夺其丰富的人性表征，使她得以被顺畅地合理化为—具纯粹的、不引发道德焦虑的欲望身体。这一过程正是通过将他者非人化，来消除逆伦理行为所引发的内在认知冲突。

因此，查理的“自我厌恶”必须被置于种族政治的滤镜下重新审视。他厌恶的核心并非源于对

权力不对等的认知，或对制度性压迫的反思，而是根植于“自己竟与‘低贱’的黑人女人同床”这一种族羞耻。这是一种错位的、服务于种族秩序的伦理反省，是逆伦理价值体系内化的结果。其情绪是悔恨，但内核仍是白人至上主义。他的态度差异恰恰表明，他并非被盲目的欲望所控制，而是在莉娜与玛乔丽身上，如切换诡辩剧本般精准执行着两套由种族编码的欲望指令，这双重标准本身就是伦理倒置系统的实践特征。

两次与玛乔丽的相遇，标志着这套越界诡辩从外部空间悖论向内在伦理秩序的升级。第二次，玛乔丽被“允许坐下”，这看似是边界的松动，实则是查理已将自己完全内化为“伦理失败者”的结果。种族隔离秩序最稳固的维系机制，恰恰在于通过自我厌恶与道德羞辱完成主体的规训。查理全盘接受“白人男性与有色女性发生关系是低贱的”这一社会判决，并以此对自己进行终极裁决。因此，他的“自知之明”不具备任何解放性，反而成了巩固秩序的工具：越界者被标记为“堕落的白人”，而“白人”与“有色人”之间不可逾越的等级鸿沟，却在个体的“堕落”叙事中显得更加自然和永恒。这种将个体罪责感转化为系统稳定性的过程，正是逆伦理系统强大的吸纳与再生产机制。

车站茶室的临别场景，将这两种诡辩策略的对立与共生推向了戏剧性的高潮。莉娜首次袒露内心的愤怒与幻灭，从一个被观看、被定义的客体，短暂地获得了伦理主体的声音与厚度。而查理的意识却被玛乔丽怀孕所引发的“白人恐慌”完全占据，在莉娜的主体性显现面前，他却是伦理缺席的。莉娜在此被他无意识地预设为内部纯洁性的“道德法官”，而玛乔丽则成为其种族污染焦虑的“活体凭证”。

火车的驶离，象征的并非一段感情的终结，而是这种白人男性伦理人格结构性分裂的永久定格——他们必须终生在代表内部纯粹性的“道德法官”与代表越界欲望的“可进入的他者”之间，进行一种分裂性的、永无休止的伦理调适。这正是种族隔离制度以伦理倒置为内核，在亲密关系中最深刻、最残酷的烙印。

综上所述，查理在两位女性间切换的两种欲望诡辩，共同维护着一个分裂却异常稳固的伦理调适系统。它策略性地允许甚至默许跨种族的身体越界，以此作为白人男性特权的泄压阀与确认场；与此同时，它又坚决禁止任何由此产生的情感责任与社会承认跨越种族边界，从而确保种族“纯粹性”的社会象征秩序毫发无损。欲望，在此被彻底政治化，不再是私人领域的情感，而是成为演练、践行与最终固化那条不可见的、却坚不可摧的种族边界的核心工具。这两套看似矛盾的诡辩，实则是一体两面的共谋关系，共同服务于维系以伦理倒置为基础、以清除与排斥为特征的逆伦理秩序这一根本目的。

血缘的“伦理”玷污：逆伦理的象征性清除

在种族隔离的象征秩序中，血缘的纯洁性不仅是生物学的范畴，更是维系其社会等级与身份认同不可动摇的基石。当查尔斯·亨德里克与有色人种女子玛乔丽的关系可能产生后代时，叙事便触碰到了这一秩序最敏感的神经，触发了一场深刻的“白人恐慌”。这远非个人层面的情感或道德危机，而是整个种族主义符号系统遭遇根本性质疑的征兆。本节旨在揭示，这种对血缘“玷污”的恐

惧，如何驱动了一整套逆伦理的象征性清除机制。所谓“逆伦理”，在此指涉一种伦理价值的系统性倒置：血缘，这一本应象征生命延续与伦理责任的终极纽带，被异化为必须清除的污染源；而保护生命的基本伦理律令，则被逆转为排除乃至毁灭生命的暴力实践。这一过程的核心，在于将“伦理”话语本身征用为实施清除的合法性修辞，最终使清除行动——这一象征性的清除物——得以在“理性”与“必要”的面具下完成，暴露了种族秩序维系其纯粹性神话所依赖的深刻暴力。

恐慌的根源，首先在于将潜在混血儿预先建构为必须被清除的“象征性异常体”。这是“玷污”的建构成为可能的逻辑前提。查理得知玛乔丽可能怀孕后的反应，绝非父性的觉醒，而是其白人主体性在种族边界前的溃退，这精准地体现了聂珍钊所言的“理性意志”——一种在特定伦理语境中，为维护既定秩序而进行的冷酷算计（聂珍钊，2011，p. 8）。他内心的独白，“那不会发生在他孩子身上”（Bosman, 1991, p. 159），表面是血缘的确认，深层则是运用一套严密的种族分类逻辑，执行逆伦理的预先审判：将一个尚未出生的生命判决为“不合法的存在”。“混血私生子”“没有未来的存在”等称谓，并非客观描述，而是命名即放逐的象征性暴力。通过这套话语，生命被排除在伦理共同体之外，被建构成对“纯洁血统”的致命玷污。这标志着逆伦理逻辑的启动：血缘的联结意义被清除，转而指向一种必须被净化的基因性威胁。

查理的思维进一步暴露了这种逆伦理运作的政治无意识。他认为混血儿“没有途径表达自我”、“所有门都关闭”，这并非同情，而是一种将社会性压迫自然化、命运化的意识形态操作。他将制度设置的系统性障碍，扭曲为混血儿与生俱来的“本质”缺陷。由此，阻止其诞生这一极端暴力，竟被粉饰为一种“必要”甚至“仁慈”的“理性选择”。这构成了逆伦理的尖锐悖论：在心理层面，他无法否认“这是我的孩子”所携带的微弱伦理回响；但在社会象征层面，他坚决拒绝这一血缘关系的公开合法性。这种“内在承认”与“外在抹除”的分裂，正是白人父权在逆伦理秩序中的根本困境：它必须在扮演（白人内部）道德主体的同时，坚决执行对（跨种族）潜在生命的象征性清除。

然而，“玷污”的抽象威胁必须被锚定于具体的、污名化的空间，才能完成其恐惧的具象化与社会管控，这是逆伦理实践得以深化的关键环节，即“玷污”的空间锚定。查理潜入有色人区的行为，是一次充满象征意义的伦理越界之旅。有色人区在此并非单纯的地理聚居地，而是一个被种族意识形态编码的象征性隔离区与污名容器。白人身体一旦未经制度授权进入此空间，其本身便成为“可疑”的能指。查理为自己预设各种正当职业身份的心理活动，暴露了其最深的恐惧：并非恐惧黑人，而是恐惧自己“无权欲望者”的真实面目在种族地理学的凝视下被戳穿。他的进入，象征着“玷污”的可能源头与“肮脏”空间发生了危险的重叠。

这一重叠在“铁皮屋”场景中达到顶峰，完成了逆伦理的空间定型。玛乔丽裙角在门内的闪现，使她瞬间从私密欲望对象，转变为无可抵赖的公共性伦理证据。私密性被彻底打破，潜在的“血缘玷污”与“肮脏、贫困的黑人区铁皮屋”这一空间意象牢牢绑定。“不能出生于铁皮屋”——查理的最终决断清晰揭示：在此逆伦理的象征系统中，一个生命的价值与权利，自其被构想之初，便已由其种族起源与象征性的“出生地”所预先裁决。铁皮屋作为物质与象征的双重底层空间，成为吸纳并“证明”这种玷污的最终场所。清除威胁，因此不仅关乎血缘，更关乎将白人父权从这种耻辱性的空间锚定中“拯救”出来，维护其象征意义上的“纯洁”。这一定位过程，本身即是一种空间化的清除预备。

最终的“解决”方式，将清除从个体的心理计算与空间驱逐，上升为一种集体性的、叙事层面的象征性净化仪式，这也是逆伦理机制的终极完成形态，即“叙事的清除”。玛乔丽之死及其与“奇迹坑洞”传说的并置，完成了一次极其高效的叙事清除与责任蒸发。她从有血有肉的个体，被物化为一个无名无姓、可供闲谈的奇闻主角——“那个跳进坑洞的有色女人”。其死亡被奇观化，具体的痛苦与背后的权力压迫在传播中被抽空。

“奇迹坑洞”由此从一个自然地理存在，升格为一个吞噬所有“越界”后果的象征性伦理深渊。其物理上的“深不可测”，隐喻着白人共同体道德底线的无底线坠与对罪责的无限容量。通过共同讲述并相信这个将谋杀转化为自愿“奇迹”的传说，共同体成员在不进行任何实质性忏悔的前提下，完成了一次集体的心理赦免与道德净化。玛乔丽及其所承载的潜在血缘，被一同抛入这个叙事的黑洞中消失无踪。这一叙事行为，本身即是那个最关键的象征清除物：它并非实体，却以传说为载体，有效地从集体记忆与伦理责任中“清除”了活生生的他者。

血缘的“伦理”玷污正是逆伦理的功能性前提；它以维护“纯洁”为名，系统性地将血缘纽带逆转为污染恐慌，将生命责任逆转为清除暴力。而所谓的“伦理”，被工具化为实施这一切的合法性修辞。最终，通过从话语建构到叙事清除的系列象征操作，种族主义秩序生产出其维持自身所需的终极清除物：一个被抹消的他者与一段被净化的历史。博斯曼的冷峻笔触揭示，在这种极端形态下，伦理并非简单的功能性逆转，而是一场针对生命本身的、精致而残酷的象征性谋杀。这构成了《威廉斯多普》对种族隔离制度最深刻的批判：它展示了一种倒置的伦理系统如何可能，以及生活于其中的人类心灵将付出何等代价。

结语

通过对《威廉斯多普》中亲缘、姻缘与血缘三重人伦关系的逐层剖析，本文揭示，博斯曼所描绘的伦理失序景象，绝非偶然的个人悲剧，而是种族隔离意识形态在日常生活的毛细血管中渗透与再生产的必然结果。这一过程呈现为从“伦理错位”到“伦理倒置”，并最终形成“逆伦理”系统的完整轨迹。

从亲缘伦理的错位开始，家庭这一情感与责任的天然载体，沦为了权力展演与工具交换的战场，揭示出伦理角色与义务关系的根本性扭曲。进而，在姻缘伦理的操纵中，欲望被政治化为划定与巩固种族界限的工具，白人男性通过在“道德化渴望”与“堕落化占有”两套脚本间的切换，实践着一种深刻的伦理倒置——将占有伪装为自由，将压迫叙述为宽容，从而在欲望领域完成了对伦理价值的系统性逆向重估。最终，在血缘伦理的清除中，这种倒置逻辑走向了极端：血缘触发“白人恐慌”，“理性意志”将生命保护倒置为生命排除，伦理话语被彻底工具化为实施暴力的修辞。至此，一种自我辩护、自我循环的逆伦理系统宣告完成——它并非没有伦理话语，而是建立了一套将排斥、清除与等级固化正当化的逆向规范。

因此，《威廉斯多普》的伟大成就，在于它超越了特定历史问题的写实呈现，通过精湛的叙事将

种族隔离解构为一种深度内化的伦理编码工程。它深刻地揭示，当一种意识形态致力于对人的价值进行绝对化的种族分类与等级排序时，它所摧毁的不仅是具体的社会关系，更是伦理价值本身得以成立的基础。博斯曼以其超前的文学洞察，不仅记录了南非的痛苦过去，更贡献了一个关于权力如何通过“伦理错位”诱发“伦理倒置”、最终构筑“逆伦理”世界的普遍寓言。这部小说因而成为审视一切系统性压迫如何腐蚀人性伦理根基的文学典范，并稳固确立了其在后殖民批判传统中的先驱地位。

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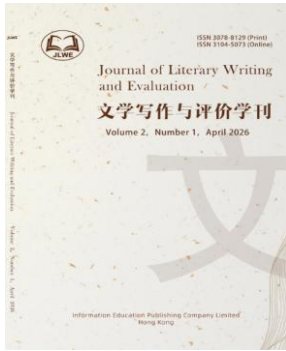
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文化结构中的主体建构

——文化唯物主义视域下的《长日留痕》

郑丹彤（Zheng Dantong），王桃花（Wang Taohua）

摘要：石黑一雄的小说《长日留痕》以回忆与现实交织的叙事策略，将人物置于多元历史语境之中，揭示了文化结构制约性与个体能动性之间的复杂张力。立足文化唯物主义理论视角，对小说所建构的特定历史时期文化结构与人物主体展开剖析，可揭示出，人物主体在受制于整体社会意识形态规训的同时，又以多元实践姿态参与文化结构的重塑与变迁。将小说置于其生成的历史文化场域中考察，能够清晰呈现作家挣脱保守文化结构的规训、借文学创作对文化结构展开批判性反思的主体性表达。石黑一雄以“怀旧”为叙事表象，既对保守怀旧主义展开批判性反思，亦对当代政治文化语境中个体的发展困境予以深度关切，由此完成了对文化结构现实意涵的文学书写。

关键词：《长日留痕》；文化唯物主义；文化结构；主体建构

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Title: Subject Construction in Cultural Structures: *The Remains of the Day* from the Perspective of Cultural Materialism

Abstract: Kazuo Ishiguro's novel *The Remains of the Day* adopts a narrative strategy that interweaves memory and reality to situate its characters within a multifaceted historical context,

which reveals the intricate tension between the constraining forces of cultural structures and the agency of individuals. From the theoretical point of cultural materialism, an analysis of the specific historical-period cultural structures and character subjects constructed in the novel reveals a nuanced dynamic. These character subjects, while subjected to the disciplinary power of the overarching social ideology, participate in the reshaping and transformation of cultural structures through diverse practical engagements. When analyzing the novel in its historical and cultural setting, the author's subjective intention to break away from the shackles of conservative cultural structures and conduct critical reflection via literary creation is clearly shown. With "nostalgia" as a narrative disguise, Ishiguro not only offers critical reflections on conservative nostalgia but also expresses profound concern for the developmental dilemmas confronting individuals in contemporary political and cultural contexts, thereby achieving a literary depiction of the practical implications of cultural structures.

Keywords: *The Remains of the Day*; cultural materialism; cultural structure; subject construction

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引言

石黑一雄 (Kazuo Ishiguro, 1954-) 是当代著名的日裔英国作家, 其创作以鲜明的“怀旧”叙事特质著称。在其代表作《长日留痕》(*The Remains of the Day*, 1989) 中, 通过主人公史蒂文斯的回忆性叙事, 石黑一雄将小说人物的命运与英帝国时代的兴衰交织在一起, 从而剖析了“怀旧”主题下个体与文化结构之间错综复杂的动态关系。史蒂文斯是一位服务多年的英国管家, 1956 年, 他进行了一次为期六天的公路旅行, 在旅途中回顾了自己在二战前后于达林顿府工作及与人交往的经历。过往研究大多关注这一角色的管家身份引发的主体性丧失 (Gehlawat, 2013; 林萍, 2018; Terestchenko, 2007), 却忽视了文化结构的更深层影响, 未能揭示史蒂文斯及其他角色背后复杂的文化内涵, 以及个体与文化结构的互动关系。此外, Beedham (2010) 指出, 既有研究普遍关注《长日留痕》中的不可靠叙事, 小说所彰显的“怀旧”书写, 实则是主人公对记忆的重塑与再建构。邓颖玲 (2016) 指出, 通过展现主人公回忆的不可靠性, 石黑一雄揭示了人类如何主动“操纵”原始记忆, 以建立起一套自我保护机制。Colombino (2024) 认为, 小说中的“怀旧”是一种理想主义的体现。在这种情况下, 个人叙事被认为掩盖了历史叙事的真实性。但问题在于, 这种对“怀旧”负面效应的认知, 是否遮蔽了个体在应对历史文化变迁过程中对自身主体性的积极建构? 事实上, 在小说所营造的“怀旧”群体氛围中, 并非只有史蒂文斯, 小说中的其他人物甚至作家本人都在参与着文化结构的

变迁，且与文化结构产生双向互动。“怀旧”也并非仅仅是对过去的简单重复和沉溺，而成为个体反思过去、审视现在并重塑主体性的契机。

当聚焦于小说中“怀旧”与个体政治文化体验的交织时，文化唯物主义以其独特的理论视角提供了有效的分析框架。雷蒙·威廉斯（Raymond Williams）将文化唯物论界定为“在历史唯物主义语境下探讨文化和文学之物质生产特殊性的理论”（Williams, 1997, p.5），并站在马克思主义的思想立场，“将经济结构和由此产生的社会关系作为编织文化的引导绳”（Williams, 1959, p.287）。由此可见，文化唯物主义强调文化与物质生产的紧密联系，以及社会经济结构对文化形成的决定性影响。继承威廉斯的衣钵，乔纳森·多利莫尔（Jonathan Dollimore）提出了唯物主义观下的主体性概念，指出“受矛盾的社会与意识形态进程影响，主体从来不是一个不可分割的统一体，也绝非一个自主自决的意识中心”（Dollimore, 2010, p.269）。从唯物主义主体性观念出发，文学作品中的人物形象并非抽象人性的体现，而是特定社会历史条件孕育的产物。同样地，文学批评也不能脱离现实而存在，而要着重关注作品与现实之间的紧密关联，“对与文学和批评均紧密相连的历史、社会和政治现实展开积极且明确的探究”（Dollimore, 2010, p.249）。这就要求我们重新审视石黑一雄对过往政治与历史语境的重构，以理解其在小说“怀旧”表象下对帝国文化、主体身份与历史整体之间关系的更深层思考。

在《长日留痕》中，昔日的帝国民众既受制于当时的政治文化环境，又不得不对动态发展的历史作出回应，这种主体与文化结构双向建构的动态关系，正是文化唯物主义的核心议题。依托威廉斯提出的文化概念，可以更全面地审视小说内外的政治文化环境及其对人物个体的影响；借助多利莫尔的主体建构理论，能够洞察到个体在受到环境制约的同时，也对文化结构整体进行回应与反抗，展现出小说人物主体的能动性；通过探讨作家主体与文化结构之间的双向互动，能够进一步揭示作家主体的反思与建构。基于文化唯物主义的理论视角，本文通过剖析与小说相关的英国不同时期文化结构，探究小说人物主体、作家主体与文化结构之间相互作用的动态过程，进而揭示石黑一雄创作中潜藏的政治文化观念，重新评估小说文本的政治文化价值。

一、文化结构的意识形态规训：主体的服从与失语

在《长日留痕》中，不同历史时期的政治文化力量相互交织，形成了多元且动态的文化结构。在文化唯物主义视域下，文化不再被单纯视为上层建筑，而是“关系到更为广泛的现实领域”（Williams, 1997, p.111）。安东尼奥·葛兰西（Gramsci Antonio）对“霸权”（hegemony）概念进行了文化领域的延伸，将其界定为“代表某一历史集团利益的意识形态力量，为取得政治、知识和道德领域里的领导地位，不断与其他力量冲突、商讨、妥协以及接合的过程”（周兴杰, 2006, p.549）。威廉斯（Williams, 1985, p.145）指出，对“文化霸权”的运用，实现了“将政治主导地位的概念从国家间关系拓展至社会阶级关系”的转变。这意味着，统治的形式不仅体现在政治与经济制度层面，还蕴含于积极的社会经验与社会意识之中。借鉴葛兰西的“文化霸权”概念，威廉斯（1997, p.113）将政治文化这一动态系统阐释为“许多政治力量、社会力量和文化力量组成的复杂关联体”，其中总是存在着“替代性的或直接对立的政治和文化形式”，这些因素的相互作用会与主导文化产生矛盾和冲突，促使不同时期形成不同的文化结构。

在小说中，史蒂文斯所处的现实时间是 1956 年，此时英国正逐步丧失其世界霸主地位，同年苏

伊士运河危机的爆发,更是让其失去了在中东的重要势力支撑。这一现实与史蒂文斯回忆中大英帝国的辉煌形成了鲜明的文化落差。彼时,英国处于两次世界大战之间的过渡时期,社会正因政治变动而转型,首要表现即是从战时物资匮乏转向了战后经济复苏。为加速经济恢复,英国国内再次兴起加强与巩固帝国地位的呼声,这一主张得到了民众广泛支持。在文化唯物主义范式下,任何社会、任何特定阶段,均存在一个实践、意义与价值的核心系统,即威廉斯所谓的“组合系统”(a corporate system)(Williams, 1980, p.38),这一系统并非固定不变、抽象的,而是动态变化、基于物质基础的,它塑造了特定时期的社会文化形态(Durham & Meenakshi, 2006, p.135)。在小说中,二战前后英国的“核心系统”呈现为以贵族私宅为决策中心的帝国权利运行模式:“整个世界就是一个轮子,以这些豪宅为中心旋转着”(石黑一雄, 2008, p.95)^①。昔日辉煌的达林顿府,是帝国鼎盛时期物质财富与政治领导力的象征,各国政治高层云集在此,商讨决定世界政治走向的大事。真正的权力源自贵族显赫门庭,而非政府议事厅,这一独特的文化结构无疑加剧了统治阶级对个体的意识形态规训。

这种以绅士文化为核心,融合贵族精神、等级制度与帝国意识的英国传统文化体系,既以当时英国丰足的物质基础为依托,又深深嵌入每一位英国公民的社会实践之中。正如威廉斯(Williams, 1959, p.300)所言:“我们要理解这些文化,就必须致力于探究那些显见的事物——即整体的生活方式”。文化唯物主义将文化纳入物质生产过程进行考察,揭示出人们的现实社会活动无不渗透着文化的意义表征。在精英主义意识形态的熏陶下,英国民众形成了对帝国统治高度服从的态度,以小说重点刻画的管家阶层表现最为明显。以老史蒂文斯为例,这位垂暮之年仍坚守岗位的老人,在达林顿府举办的高层会议临近之际,“仿佛某种超自然的力量支配着他,使他一下子年轻了二十岁;往日的那种低沉神情在他脸上差不多已荡然无存,他干起活来是那么精力旺盛”(64)。即使因过度劳累倒下,他牵挂的仍是府邸内事务是否顺利。这种服务至上的管家性格,无疑是当时英国文化结构的典型产物。正如史蒂文斯所言:“如果你要想象杰出的男管家是什么样的人,几乎可以准确地这么说,他必定是位英国人”(36)。

作为父亲的接班人,史蒂文斯受帝国文化的影响更为明显,直接表现为他对那些“雇用我们为之服务的伟大绅士”的崇拜(200)。他将在达林顿府召开的会议称为“达林顿勋爵长期策划出的最佳之作”(58),反复强调这一会议的重要性并以此训诫下属,宣称“历史将会在这府邸里被创造出来”(64)。史蒂文斯对勋爵推崇备至,评价其是“完完全全的绅士,亦是我今天深感自豪曾将我服务的最佳年华为之奉献的人”(51)。他将服从勋爵的命令内化为职业尊严,并断言:“除非我已尽我所能去照料勋爵顺利完成他赋予自己的那些伟大使命,我的职业才会功德圆满”(141)。即使对勋爵的某些主张存有疑虑,他仍坚持履行命令,认为“男管家之职责便是提供良好的服务,而不是干预国家大事”(161)。然而,当史蒂文斯在旅途中被误认为名流乡绅时,他并未澄清身份。这表明,他真正引以为傲的并非卑微的管家职位,而是想象中参与政治秩序建构的主体身份——即便这种参与以牺牲个人独立思考为代价。在此意义上,史蒂文斯受制于当时的文化结构,丧失了个人应有的主体性。人是社会的产物,管家阶层的身份认同亦根植于当时优越的政治文化氛围之中,这一优越感则源自英国曾作为世界霸主的地位。当帝国昔日的荣光消逝,受文化结构意识形态规训的主体便会

^① 文中所有该小说的引文均出自:石黑一雄(2008):《长日留痕》,冒国安译。译林出版社。以下引文只标注页码,不再一一说明。

陷入原有身份的困境，不得不重新审视自身价值。

在当时英国文化结构的影响下，女性主体被边缘化的现象同样显著。文化唯物主义主张女性主义实践应“将性别与父权制等不稳定结构追溯至其所在历史时刻的矛盾中”（Dollimore, 1994, p.11），这意味着需要结合具体历史语境，剖析性别、父权制与社会矛盾之间的关联，从而揭示女性边缘化的根本成因。以小说所依托的时代背景为例，一战的爆发和升级使大量英国男性投身战场，为填补劳动力缺口，许多女性从家庭走向职场。然而，随着一战结束、男性返乡，绝大多数女性被迫返回家庭，在政治文化领域中依旧缺失话语权。尽管实践已证明女性的工作能力不逊于男性，但在传统性别角色观念与父权制家庭形态的双重桎梏下，战后英国女性的地位并未得到提升。在《长日留痕》中，女管家肯顿小姐热情活泼、聪明能干，但其鲜明独立的个性却难以在男性主导的文化结构中寻得立足之地。当达林顿勋爵无故解雇犹太女仆时，她勇敢地向史蒂文斯提出抗议，直言此举“犹如过去任何的罪孽那般可恶”（122），并表明自己不愿继续在这样的府邸工作。然而，在男性主导的社会环境下，女性就业机会稀缺，为求生存，她最终并未选择辞职。她向史蒂文斯坦言：“我当时是多么认真地考虑过离开这府邸。所发生的一切对我的刺激是那么强烈。倘若我是那种无论如何都值得尊重的人，我现在敢说，很早以前我就已离开达林顿府了”（125）。在她看来，自己并非男性那种“值得尊重的人”，不可逆转的阶级观念与性别差异已植根于她的意识形态中，成为束缚其主体性的结构性因素。她虽试图为史蒂文斯的配膳室增添色彩，甚至向这位沉默的男管家表露心迹，却均遭其漠视，最终只能远嫁他乡。在英帝国主义的保守社会语境中，父权主义是“为适应社会秩序和稳定的需要而产生的”（向荣, 2001, p.98），这在当时已成为多数英国国民的政治文化态度。在父权主导的文化结构制约下，肯顿小姐无法摆脱自主意识被消解的命运，其追求自由和幸福的个人斗争注定失败。

文化结构是嵌于社会系统之中的深层力量，对个体身份认同的构建与行为模式的塑造具有深远影响。在《长日留痕》营造的叙事场域中，帝国权力中心所构建起的文化结构，展现出了强大的意识形态规训能力。以史蒂文斯父子为代表的管家阶层，沉溺于这种文化结构划定的角色框架之中，沦为了权力规训下的顺从主体。以肯顿小姐为代表的女性角色，则因在既有文化结构中缺乏足够的权力资源与发展空间，逐渐被强势的父权文化遮蔽了主体性，进而陷入话语失权的困境。与之形成鲜明对比的是，达林顿勋爵作为帝国权力的象征符号与利益阶层的典型代表，似乎从当时的文化结构中获益更多。在此情境下，他是否实现了更具积极意义的主体建构？史蒂文斯后来踏上了乡村旅途，置身于截然不同的文化结构中，又是否会引发他的思想转变？要解决这些问题，有必要进一步剖析主体对文化结构的回应策略，以及在回应过程中主体呈现的能动性。

二、文化结构的时代转型：主体的固守与重构

尽管《长日留痕》以史蒂文斯的个人叙述为线索展开叙事，但透过其视角，仍能清晰洞察当时英国民众面对社会变革时的反应。如蒋怡（2013, p.124）所言，在史蒂文斯的旅行历程中，“战后的英国也在重新界定国民身份”。在文化唯物主义视角下，主体在受到现时文化结构制约的同时，亦以多元方式回应社会整体意识形态的变迁，进而成为政治文化的重要组成部分。多利莫尔提出的主体建构理论，正是在唯物主义框架下反思文化、社会与主体的关系，进而“在主体身份中描述社会进程”（Dollimore, 2010, p.19）。在《长日留痕》中，既有积极回应文化结构的人物，也不乏被历史浪潮裹挟而作出被动回应的角色，体现了主体与文化结构之间复杂的动态关系。在权力关系构筑的政

治文化环境中，既要正视“文化结构对主体的制约和限制”，也要认识到“主体在实践中的能动性”（胡庆龄、王丽，2009，p.22）。这意味着在关注个体受主导意识形态压制的同时，也需肯定个体作为他异因素参与文化结构和实现主体建构的存在价值。

在与文化结构互动的过程中，达林顿勋爵始终秉持积极姿态并付诸实践，然而这种积极参与并不等同于有效的主体建构。他声称要“维护这个世界的正义”（60），怀揣人道主义思想投身政治事业，最终却沦为法西斯政权的傀儡。勋爵的失败并非无迹可循。在修正《凡尔赛条约》的总结会上，史蒂文斯观察到，勋爵在致辞最后“开始缅怀起他已故的朋友卡尔—海因茨·布雷曼先生来。这就让人有点遗憾了。因为这个话题一直只是勋爵的心事，而他倾向于在某种程度上进一步表明”（81）。尽管勋爵宣称修正条约的原因在于“以那种方式对待战败的敌人太让我们丧失名誉了。这完全违背了这个国家的传统”（59），但其无意中流露的真实情感却表明，其改变英德关系的努力很大程度上是出于对自身绅士身份的考量。他需顾及与德国友人的交情，并寻求对友人自杀而产生的心理补偿。达林顿勋爵看似积极投身国际事务，实则仍受困于英国贵族阶层保守自私的文化结构，以至被美国大使刘易斯讥讽为“业余政治家”（84）。英法代表与美国大使之间的激烈交锋，影射了“贵族时代的绅士政治与民主时代的实用政治”的冲突（金万锋，2011，p.96），其结果在当下已见分晓。二战后，英国选举产生社会民主主义工党政府，中产阶级逐渐成为社会主体，绅士政治彻底退出历史舞台。达林顿勋爵未能洞察社会结构的民主化趋势，固执地认为“民主是某种适合过去时代的东西”（169）。这种对历史发展的抵抗最终只能归于徒劳，达林顿勋爵为政治事业的奔波也成了“可悲的浪费”（163）。

相较于达林顿勋爵对文化结构的积极回应，史蒂文斯的态度显得消极许多。起初，面对新雇主法拉戴先生带有“美国性”的玩笑话，史蒂文斯显得无所适从，构思的回应也显得老套而滑稽。在叙述这段轶事时，史蒂文斯不断强调自己的英国身份和雇主的美国身份，将自身的窘迫处境归因于两国文化的不可调和：“他（法拉戴先生）毕竟是一位美国绅士，他的言谈举止和英国人往往是大相径庭的”（11）。二战后，随着反殖民运动的兴起，英国已不再是昔日强盛的殖民宗主国。殖民地居民向英国本土迁移，其他国家的国民也融入英国社会生活，推动英国逐步向多元文化国家转型。在旅行伊始，身为帝国遗民代表的史蒂文斯对新兴文化仍持排斥态度，仅将“提供有趣的逗弄”视作“良好职业服务的重要组成部分”（12），并未真正接纳雇主打趣逗乐的方式。直到旅程接近尾声，他才认识到调侃打趣可以成为“人间温情存在之关键”（200）。在象征身份探寻的旅程中，这位原本保守克制的管家逐渐迎来了思想转变，标志着他对战后英国文化结构转型的逐步适应。

史蒂文斯的这一转变与他在旅途中的经历息息相关。在乡村旅行其间，史蒂文斯遭遇的是全然不同的文化体验。在文化唯物主义视角下，文化有主导文化、残余文化和新兴文化之分，不同的文化形式映射出不同的意识形态。主导意识形态与从属成分之间相互对抗又彼此交织，共同构建起一个动态的文化结构体系，而“乡村社会的理念也主要是残余性的，从某些限定的方面来讲，它同大城市的工业资本主义处于相互取代或彼此对立的关系中”（雷蒙·威廉斯，2008，p.131）。这种乡村残余文化具备发展为新兴文化的潜力，因此，史蒂文斯从代表权力中心的府邸走向象征民主的乡间，实际上是从旧的主导文化走向了潜在的新兴文化，从居于统治地位的帝国意识形态走向了居于从属地位的民主意识形态。

在旅途中，史蒂文斯结识了诸多有别于豪宅权贵的普通民众，收获了许多与深宅管家生活迥异的乡间见闻，感受到了人间温情。行车途中，他遭遇母鸡挡道，因未碾死母鸡而获得母鸡主人的感

激。这一简单的善举让他罕见地敞开心扉：“我因单纯的善意而受到感激，也收到了单纯的善意作为回报，这在某种程度上使我对未来几天里将面对的整个旅行计划感到特别振奋”（57）。其后，因汽车熄火，史蒂文斯被泰勒夫妇带回家里暂住。热情的村民纷纷前来探望，并与他就“尊严”的内涵展开辩论，乡村的民主观念开始与史蒂文斯根深蒂固的帝国意识形态发生冲突。来自乡下的哈里·史密斯先生认为：“英格兰是个民主国家，居住在这村里的我们像那些奋斗以维护民主永存的人一样遭受过同等的磨难。现在我们责无旁贷地要行使我们的权利，这是每一个人的职责”（153）。尽管史蒂文斯认为史密斯先生“异想天开”，但这种新兴的民主观念已悄然渗入其意识形态，并与植根其中的帝国观念发生对抗。在小说结尾，史蒂文斯与一位同具管家背景的陌生人交谈后，最终意识到：“应该停止过多地回顾过去，应采取更为积极的态度，而且应尽力充分利用我生命的日暮时分”（200）。他在旅途最后完成了对旧式帝国管家身份的解构，决意接纳新式文化，回去让新雇主“满意地大吃一惊”（200）。他已承认先前被帝国主义意识形态蒙蔽所犯的错误，并在对未来的思考中展现了对重建自身主体性的努力。

在主体与文化结构的互动中，主体既为整个文化结构所制约，又以自身的实践活动参与并形塑这一结构，进而可能对自身主体性进行颠覆与重构。在小说中，达林顿勋爵积极投身文化结构变革，却因受英国贵族阶层保守文化结构的束缚，未能洞察社会民主化趋势，最终在政治事业上徒劳无功，成为时代转型中主体固守旧有模式的典型。与之相反，史蒂文斯起初消极应对文化结构转型，但在经历乡村残余文化的洗礼之后，他最终接纳了民主观念对其思想的重塑，实现了从消极到积极、从固守到重构的转变，诠释了文化结构转型下主体建构的可能路径。他不再盲目地美化过去，而是以更加客观、理性的态度重新审视自身经历和旧有文化结构。这种重新审视使得小说中的“怀旧”不再是对过去的简单复刻，而成为对过去的批判和超越。从作者意图来看，这一转变亦反映出作家自身主体建构的深层诉求，需要深入到作家所处时代的社会文化语境中理解其生成逻辑与现实关联。

三、文化结构的批判性超越：作家主体的反思与建构

在文化唯物主义视域下，文学艺术是意识形态的再生产。“人们的意图实践必然要从属各种现实关系，但社会现实又会对这种实践作出改变。作家既不应坐待变化，也不应屈从环境，而是要把自己的写作实践变成真正能动的社会实践”（雷蒙·威廉斯，2008，p.22）。在文学生产过程中，作家所处的文化结构对其创作具有意识形态层面的制约作用，作家也通过创作参与社会文化实践，进而对文化结构进行批判和超越。对石黑一雄而言，“怀旧”是其创作中一贯采用的叙事策略，在《长日留痕》中，这一怀旧模式更是被贯彻到了极致。小说对帝国风景的细腻描绘，与小说创作时英国社会兴起的怀旧风潮不无关系，或者说正是当时保守文化结构影响下的产物，流露出为帝国没落而惋惜的怀旧之感。详尽的风景描绘似乎透露出作家试图重构过往帝国精神的意图，但这是否意味着，作家有意在写作中为统治阶级代言呢？文化唯物主义主张将作品置于相关的历史坐标中进行考察，以重构作家的文学实践与社会意识形态之间的关联。结合《长日留痕》的创作背景进行分析就会发现，上述关于作家政治立场的解读并不成立。

《长日留痕》创作于20世纪80年代，彼时正值撒切尔夫人执政，保守党在政治文化领域占据绝对主导地位。在全球殖民体系瓦解的大背景下，英国于1982年从阿根廷手中夺回马尔维纳斯群岛

(英称福克兰群岛), 似乎又让整个国家重温了一次“帝国梦”^②。为获取民众支持以推进新一轮扩张, 保守党试图让国家重塑昔日世界霸主形象, 借助社会对大英帝国的怀念, 营造出帝国犹存的幻象。然而, 这种怀旧情绪实则沦为统治阶层实现政治目的的工具, 为新一轮帝国意识形态的传播创造了条件。石黑一雄本人曾表示: “这种英格兰神话般的风景, 在很大程度上, 是对一个不存在的时代无害的怀旧。然而, 另一方面, 它被用作一种政治工具——就像美国西部神话一样”(Vorda & Herzinger, 1991, p.139)。在这种文化结构影响下, 英格兰独特的风景文化成为游说民众的意识载体, 使民众认为“英格兰的风景在全世界都是最让人满意的, 而且这种特征只有用‘伟大绝伦’一词才可能概括”(23)。然而, 细读文本不难发现, 石黑一雄在描写中反复强调英格兰风景之“宏大”, 而这种“宏大”却建立在“缺乏”之上: “正是因为缺乏一目了然的刺激, 或者奇观, 才使我们国土美丽得超凡脱俗”(24)。这种刻意的强调和矛盾修辞的运用更贴近于反讽效果, 在史蒂文斯略带夸张的自我陶醉中, 伟大绝伦的英格兰风景被塑造为一个虚幻的帝国神话, 仅存在于保守的帝国遗民不切实际的想象之中。

实际上, 作家并未同小说主人公一样沉湎于已逝的帝国荣光, 而是对陷于过去、企图恢复旧帝国秩序的行为提出了委婉的批判。人在本性上是政治动物, 人的社会性决定了其实践背后往往潜藏着特定的政治冲动(亚里士多德, 1965, p.7)。石黑一雄在一次访谈中, 亦表露了他对怀旧的政治性见解: “念旧实际上使人们沉湎于一种更舒适, 更令人愉快的生活, 而那种生活却是建立在许多其他人的痛苦之上的。如今, 不管你谈论的是帝国的过去还是等级制度带来的各种福份, 本质上是建立在使多数英国人沦为奴仆或工人的基础上的”(李春, 2005, pp.135-136)。由此可见, 石黑一雄对帝国主义持有批判态度, 其寓于文本之中的主体意识也并非触不可及, 正如《长日留痕》中对帝国风景的呈现, 其目的反而是为了反对以盲目的怀旧情绪重建那个失落的“理想国”。

在文化唯物主义者看来, 作家的主体性常常会介入到文化结构对创作的束缚之中, “以各种方式隐含着或明示着某种出自特定观点、经过专门选择的经验”(雷蒙·威廉斯, 2008, p.209)。在这一点上, 石黑一雄选择不直接表明自己的态度, 而是借史蒂文斯这一角色之眼反观社会, 在不为自身招致争议的同时将笔触延伸到当时的政治文化领域。小说结尾处, 作家也借一位前管家之口表达了对社会保守之风的批评: “别总是没完没了地回顾过去, 否则你注定要意志消沉的……说实话, 我俩现在都完全不再处于精力旺盛的青年时期, 可你必须持续朝前看”(199)。马克思(2000, p.84)指出, “人是一个特殊的个体, ……同样, 他也是总体、观念的总体, 被思考和被感知的社会的自为的主体存在”。具有主体性的作家并非单纯地受制于所处的政治文化环境而进行文本创作, 作为社会文化的实践者, 他也“同社会, 主体与客体之间处于双向建构关系中”(胡庆龄, 王丽, 2009, p.23)。与前两部以日本为背景的小说不同, 《长日留痕》将故事的发展融入从鼎盛走向衰落的英国社会中, 体现的正是作家对于当时英国文化结构的批判与反思, 以及作为能动的主体实现“自我编纂”和“社会编纂”的写作追求(雷蒙·威廉斯, 2008, p.224)。

四、结语

在《长日留痕》中, 石黑一雄将小说人物置于持续变化的文化结构场域, 他们在受到文化结构

^② 马尔维纳斯群岛于1883年被英国占领, 岛上多为英裔移民, 经济和战略价值有限。阿根廷进占马岛, 是认为衰落的英国已无力顾及这群远洋孤岛; 而英国选择反击, 更多是出于撒切尔夫人“不愿让英国的国威在她手上受辱”的考量。这场胜利实际意义有限, 主要是在心理层面安抚了英国民众, 使他们回想起大英帝国曾经的辉煌荣耀。详见: 钱乘旦, 许洁明(2002): 《英国通史》, 上海社会科学出版社。

制约的同时，也以各自的方式回应并参与文化结构的建构，展现出主体与文化结构之间双向影响的动态过程。在文化唯物主义看来，文化结构内化于公民的社会实践中，在帝国文化结构的限制下，忠诚于旧有体制的管家阶层逐步丧失其主体性，积极斗争的肯顿小姐也无法摆脱自主意识被消解的命运，成为时代的牺牲品。然而，个体并非完全被动地接受这种制约，而是同时回应着社会整体意识形态的变化。达林顿勋爵积极投身历史，但其努力却未能有效构建主体；相比之下，史蒂文斯在旅程中逐渐觉醒并反思过去的错误，求得了一条重建主体性的途径。这一转变不仅是史蒂文斯对个人命运的救赎，更是这一人物与作家自身所代表的主体对文化结构的挑战和反思。石黑一雄并非在为帝国主义谱就一曲“怀旧”挽歌，而是借助对历史的回望，表明其批判帝国主义的态度，体现了作家主动介入文本创作的主体性。直面过去不仅是为了认识历史的本质和真相，更是要通过剖析历史背后的政治文化和思想观念，借助主体的力量对历史遗产进行积极的改造和重构。石黑一雄选择在“怀旧”表象下，探究个体与不同时期文化结构之间的动态关系，目的也是为了启发当下，探讨历史变动中主体建构的问题，这也是作家主体为构建更为合理的文化结构所做出的努力。

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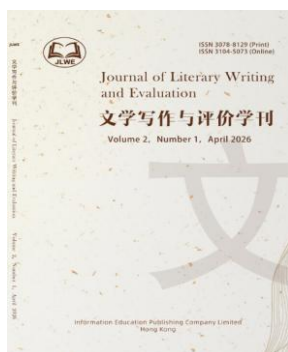
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The Duality of Symbols in MacLeod's *The Boat*:

A Symbolic Analysis of Boat, Book, and Sea

Liu Kedong, Cui Yihang

Abstract: Alistair MacLeod's *The Boat* employs a rich symbolic framework to explore the profound tension between tradition and change. This paper analyzes the inherent duality within the story's three central symbols: the boat, the book, and the sea. First, the boat functions both as a supportive foundation for the family's livelihood and cultural continuity, and as a perpetual constraint that entraps individuals in a predetermined fate. Second, the book acts as a symbol with two potentialities for escape: one representing idealized intellectual freedom and broader horizons, and the other constituting an illusory escapism that breeds dissatisfaction with one's reality. Finally, the sea serves as both a daily nurturer that provides identity and sustenance to the community, and an ultimate destroyer. Through this symbolic analysis, the paper concludes that it is the inherent contradiction and complexity of these symbols that collectively forge the core tragedy of the story, illuminating the irreconcilable conflicts between obligation, freedom, and memory.

Keywords: Alistair MacLeod; *The Boat*; Duality; Symbols

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题目：麦克劳德《船》中象征作用的二元性：船、书与海的象征性分析

摘要：阿利斯泰尔·麦克劳德的短篇小说《船》通过丰富的象征体系，深刻探讨了传统与变革之间的张力。本文分析了故事中三个核心象征物：船、书与海与其内在的二元性。首先，船既是维系家庭生计与文化遗产的根基，亦是个体命运中无法挣脱的永恒枷锁，束缚着人对生活的自主选择。其次，书象征着两种逃离的可能：一方面，它代表理想化的智性自由与更广阔的世界；另一方面，它也构成一种虚幻的逃避，滋生人与现实之间的疏离与不满。最后，海既是日常的养育者，为沿海社群提供身份认同与生存资料，又是最终的毁灭性力量，吞噬希望与生命。通过这一象征性解读，本文指出，正是这些象征本身内在的矛盾性与复杂性，共同铸就了故事的核心悲剧，揭示了义务、自由与记忆之间难以调和的冲突。

关键词：阿利斯泰尔·麦克劳德；《船》；二元性；象征

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Introduction

Alistair MacLeod (1936-2014) is a preeminent Canadian author, renowned for his meticulously crafted and critically acclaimed body of work, which is predominantly set in his family home of Cape Breton, Nova Scotia. Despite a relatively small literary output, comprising one novel, *No Great Mischief* (1999), and two short story collections, MacLeod secures a lasting legacy in Canadian literature. In 2000, Macleod was elected a Fellow of the Royal Society of Canada. In 2001, his novel *No Great Mischief* was named the greatest Canadian book of all time and won the International IMPAC Dublin Literary Award. To date, Macleod's works have been translated into seventeen languages and attracted wide attention from scholars and critics. MacLeod is born in Canada, his emotional heartland is Cape Breton, his cultural heritage is Scottish, and his works belong to the world.

Alistair MacLeod's "The Boat" is a foundational masterpiece in Canadian literature, a haunting elegy that navigates the irreconcilable tension between heritage and self-invention. Told through the reflective and guilt-tinged memory of a university professor, the story centers on the profound schism within his Nova Scotian fishing family. This domestic conflict is personified by his mother, an unwavering guardian of their rugged maritime tradition, and his father, a fisherman whose soul yearns for the intellectual liberation found in the world of books,

which is a dream he sacrifices for duty but which he bequeaths upon his son.

Despite MacLeod's sparse literary output, this work remains a towering critical achievement, renowned for its psychological depth and resonant symbolism. The boat itself is a potent emblem of both sustenance and entrapment, while the relentless Atlantic Ocean represents a force of both identity and economic necessity. Through his lyrical, rhythmic prose, MacLeod transforms a specific regional story into a universal and timeless exploration of the inescapable bonds of memory, the guilt of departure, and the profound costs buried beneath the choices that define their lives.

In China, the earliest Chinese rendering of MacLeod's fiction appeared in *World Literature* (2001), where Beijia Lin published three stories: "Vision" (1976), "Autumn" (1976) and "The Tuning of Perfection" (1986). In 2008, Youping Yan translated "As Birds Bring Forth the Sun" (1986) and, in an accompanying note, drew attention to the author's powerful nostalgia. Zhi Zhang added three more tales: "The Island" (1976), "The Lost Salt Gift of Blood" (1976) and "Return" (2000) in 2013. Gradually, story by story, a corpus of MacLeod's short stories was constituted, providing a sustained conduit for his entry into the Chinese literary field. MacLeod, however, still failed to step into the popular spotlight and remained a marginal name. Not until 2015, when *The Lost Salt Gift of Blood* was issued as part of a short classic series, did his Cape Breton gradually become familiar to Chinese readers.

International scholarship shows that critics of MacLeod's short fiction follow the two paths used in novel studies. Some zoom in on a single story and mine it for overlooked details. Others range across several tales from one or more collections in order to trace connections and offer broader readings. Beyond these approaches, commentary on MacLeod can be grouped into three broad strands. First come theoretically oriented close readings that examine the stories' rich meanings, such as MacLeod's sustained attention to the harsh realities of Cape Breton. As Nicholson (1986, p.197) observes that this is an entrusted landscape and its inhabitants are merely its inheritors and caretakers. Second come critics who situate MacLeod within the context of maritime and regional literature and who explore his engagement with cultural identity. Creelman (1999, p.89), for example, argues that the story's use of "blood" reveals an author willing to risk himself in order to consolidate that identity. Finally, a third group of scholars, uninterested in placing MacLeod in any cultural pigeonhole, focus on narrative technique, examining genre, narration, imagery, or temporality, as Christian Riegel (1998) does in his formal analyses.

This paper is structured to systematically analyze the complex symbolism in *The Boat*, arguing that the central images of the boat, the book, and the sea are fundamentally dualistic, embodying both sustainable and destructive forces that reflect the core tensions between tradition and transformation. The analysis will first explore the boat itself, examining its dual role as both a supportive foundation for the family's livelihood and identity, and as a vessel of

perpetual constraint that dictates a life of inescapable duty and ultimate sacrifice. The second section will then deconstruct the symbol of the book, investigating its dual potential to represent both an idealized form of intellectual freedom and a potentially illusory escapism that fosters dissatisfaction with one's prescribed reality. Finally, the paper will delve into the profound duality of the sea, portraying it as a daily nurturer that provides purpose and sustenance, while simultaneously underscoring its role as an ultimate destroyer of life and dreams. The conclusion will synthesize these analyses, positing that it is through the intricate and often contradictory interplay of these symbols that MacLeod most powerfully articulates the tragic complexities of filial duty, the cost of escape, and the enduring power of memory.

1. Boat: Dual Aspects of Tradition

In *The Boat*, the boat is far more than a simple tool of livelihood; it is a complex and contradictory symbol, embodying the weight of family history tradition as well as the individual's relationship with a seemingly predetermined fate. It functions simultaneously as a supportive foundation that underpins existence and a perpetual constraint that confines lives.

As the titular object of the story, the boat is key to understanding everything that happens to the narrator and his family. Above all, the boat functions as the foundational structure upon which both the family and the broader community's existence is built. It is not merely a vessel for fishing, but the primary source of economic sustenance and a powerful symbol of identity and continuity. The narrator's father depends on it daily, as the boat enables the seasonal cycle of labor, such as spring lobsters, summer mackerel, later cod and haddock. This economic reliance is not presented abstractly but deeply embedded in the physical and emotional rhythms of family life. The boat's absence or delay would disrupt not only the flow of income but the very structure of daily existence. Therefore, the boat operates as the lifeblood of the household, sustaining not just the body but the social fabric of the family unit.

Moreover, the boat is deeply embedded in the family's lineage and cultural heritage. It is registered under the name "Jenny Lynn" (MacLeod, 1991, p. 696), the mother's maiden name, which is a detail that the narrator regards as part of a broader tradition: "most of the boats that berthed at the wharf bore the names of some female member of their owner's household" (MacLeod, 1991, p. 696). This naming practice transforms the boat into a living heirloom, which is a symbolic extension of the maternal line that links the family's past, present, and future. The narrator reflects that the boat is another link or connection in the inheritance of family tradition, suggesting that it is not merely a possession but a vessel of memory, identity, and inter-generational continuity. In this way, the boat becomes a floating monument to the family's matriarchal roots, reinforcing the role of women as both literal and symbolic anchors in a male-dominated seafaring culture.

Furthermore, the boat structures not only the family's economic and symbolic life but also

its daily rhythms, sensory experiences, and linguistic practices. The narrator's earliest memories are saturated with the physical presence of the boat and its associated imagery: the sight of his father's gigantic rubber boots, the taste of salt on his father's cheek, and the persistent scent of the salt that permeates the boat. These sensory impressions form the basis of the narrator's childhood consciousness, illustrating how the boat mediates his understanding of home, family, and self. The mother's life is similarly oriented around the boat: she is constantly repairing clothes that are torn in the boat, preparing food to be eaten in the boat or looking for the boat through kitchen window. After the narrator's first trip on the boat, the family's questions about the boat repeatedly invoke the vessel as the focal point of concern and identity. This repetitive linguistic pattern underscores the boat's centrality in the family's shared vocabulary and emotional life. Ultimately, the boat is not just an object of labor or a symbol of heritage, but the organizing principle of the family's world, the axis around which their lives revolve.

Paradoxically, while the boat serves as the material and symbolic foundation of the family's survival, it also functions as a predetermined and inescapable life path, one that demands physical sacrifice and severely limits individual freedom. For the father, the boat represents a fate that he may never have truly desired but been nonetheless compelled to accept. The narrator, reflecting on the time he spends working with his father, comes to the realization that perhaps his father has never intended to become a fisherman neither physically nor psychologically or to spend his whole life in the boat. Moreover, the boat "emphasizes the continuing presence of the father's influence on the narrator, while he is forever physically absent" (Riegel, 1998, p. 236). Later, the father's retreat into the chaotic and book-filled bedroom stands in stark contrast to the disciplined hardship of life on the boat, suggesting an inner life at odds with the physical demands of his profession. The books, scattered and ash-stained, represent a world of intellectual possibility that remains forever out of reach, highlighting the unbridgeable gap between his lived reality and his unfulfilled aspirations.

For the daughters, the boat and the traditional world which the boat represents become the exact catalyst for their escape. The mother, attempting to confine them to conventional female roles centered on domestic labor, forbids them from playing near the wharf. However, their exposure to the books in their father's room introduces them to alternative ways of life beyond the confines of the household. As a result, they gradually become increasingly restless and discontented, finding themselves slowly losing patience and genuine enthusiasm for the quiet, repetitive domestic tasks such as darning old socks and baking bread day after day, eventually leaving home to work as summer waitresses and marrying young men they meet in the process. For them, the boat symbolizes the restricted, repetitive life they must reject in order to claim autonomy and pursue broader horizons.

For the narrator, however, the boat becomes an inherited destiny. Confronted with the situation of people's "social activities are increasingly detached from their immediate locale"

(Yang, 2025, p. 336), refusal of inheritance is sometimes a choice. As the only son, he is expected to continue the family's maritime tradition. His agonizing decision between continuing his education and remaining on the boat culminates in the emotional promise to his father: to stay with him as long as he lives and to fish the sea together. This vow, though rooted in love and duty, ultimately binds him to a life he might otherwise have chosen to leave. Specifically, this short story focuses on how the modern world threatens individual identity and explores the relationship between the self and the larger world amid recurring predicaments. The boat, in this context, becomes a generational yoke, a symbol of continuity that demands personal sacrifice. It is not merely a vessel for labor, but a powerful force that shapes identity, constrains choice, and enforces the cyclical nature of family fate.

2. Book: Dual Potentials of Escape

In *The Boat*, the book symbolizes a dimension starkly opposed to the traditional world represented by the sea and the fishing vessel. It serves simultaneously as a tool of enlightenment, offering a path to a wider world and intellectual freedom for those constrained by tradition, and as a potential agent of alienation, fostering an illusory escape that can lead to a profound rupture from one's family and community.

Practically, every object the narrator's father owns carries symbolic weight: his rubber boots show his endurance, and his radio links him to the wider world while letting him shut out his wife's domestic voice. Yet the most lasting symbol is his big collection of books. Actually, the existence of the book and the lack of education "are paramount factors in determining not so much the characters' choices but rather working as antagonists in the shaping of their lives" (Paci, 2016, p. 33). At the same time, the shelf holds literary classics, revealing a thoughtful, cerebral side. More importantly, books function as epistemic bridges that transport the marginalized subject beyond the spatial and symbolic confines of the fishing village. For the father, the printed page operates as a heterotopic refuge: the bedroom, "now so filled with books as to be almost Dickensian" (Macleod, 1991, p. 705), is the only site in the house where disorder is tolerated because it signifies an alternative order of knowledge. Here, stretched on the unmade bed, he reads by a goose-necked lamp while cigarettes smolder and the radio offer its steady murmur. The scene condenses into a single image in which there is a kind of tension between manual labor and mental longing.

The father's strong interest in books proves that he is intelligent and curious, as well as that he has academic potential that he is not capable of fulfilling because he has to take up fishing and inherit his family's tradition. His deep interest in books combined with the narrator's comment that his father has once wished to go to college implies that the father himself recognizes and regrets this thwarted potential.

The narrator's sisters are treated as one unit, and he follows their mirror-image lives with curiosity. All red-haired and pretty, they first help their mother at home. Once they reach their early teens they find their father's paperbacks, lose interest in housework, and upset their mother. Reading and chatting with their father lead them to summer jobs at a tourist restaurant in town, where they meet well-off, city-smart young men, one after another, marry and move away. For the sisters, reading is a catalytic event that converts domestic immobility into geographic mobility. As time goes by, the sisters begin to feel a growing sense of unease and dissatisfaction, eventually letting go of her former interest in the ordinary household tasks of darning socks and baking bread, the two activities their mother repeatedly invokes as synecdoche for feminine duty. Literacy thus mediates a double estrangement: from the gendered labor of reproduction and from the coastal enclave itself. Their eventual migration to Boston, to Montreal, and to New York with the young men they meet in the summer, is not merely an escape but a translation of textual cosmopolitanism into literal cosmopolitan mobility, confirming that books provide the initial map of elsewhere.

The fate of the sisters in the story is a bit of a paradox: they form a new tradition by breaking old traditions. Ultimately, they represent the inevitability of change, showing how a whole generation can become wealthier and better educated than the one before it, at the cost of losing the old tradition. "Those living in Canada share cultural traits, but they also share a history of displacement, of migrancy" (Jody, 2013, p. 165). What is more, the narrator's own relationship with books is less straightforward than his sisters. At one point, he is willing to give up his education to help his family with the boat. Ultimately, however, he ends up as a university professor, suggesting that the books his father provides allow him to achieve what his father always dreams of doing for himself but could not because of his circumstances.

The liberty that books appear to offer enters the household as a slow chemical agent, dissolving the adhesive of communal obligation. The mother perceives this corrosive capacity from the outset. Having closed her own engagement with print at the high-school door, she treats every reopened volume as a breach in the domestic dike. Her question of the role of father's books, functions less as curiosity than as moral indictment: reading hours that should be allocated to mending nets or kneading bread, and reading returns no tangible product that can be weighed, cooked, or bartered. When she discovers a daughter interested in the book and the outside world, her response is immediate and corporeal. The slap that sends the paperback to the floor is an attempt to restore the household equation in which time equals measurable output, and in which bodies, rather than books, guarantee economic survival. Years later, when the son prepares to leave for university, she repeats the same zero-sum logic, lamenting that he prefers the useless books to his parents that give him life, thereby forcing a choice between textual and biological ancestry.

Yet the most insidious cost of the book is its capacity to translate private reverie into public absence. The sisters' return visits materialize as a sequence of consumer offerings whose semiotic charge immediately distinguishes them from the household's subsistence economy. An electric razor, glossy periodicals, and dresses manufactured for urban dining venues where lobster appears as curated cuisine rather than daily sustenance all function as souvenirs of a wage regime grounded in tourist expenditure. The mother, however, intercepts these artifacts at the threshold. By folding the garments into trunks and declining to wear them, she performs a silent act of symbolic refusal: cloth purchased through service-sector remuneration shall not contact skin still permeated by the salt of family-based labor. The gesture operates at two levels. First, it maintains a moral boundary between money earned from seasonal visitors and income generated by the extraction of marine resources, thereby preserving the household's definition of legitimate value. Second, it prevents the commodified exterior from acquiring an intimate place within domestic space, guarding the weave of local identity against threads spun in metropolitan markets. In this way an apparently sartorial decision becomes a cultural strategy, asserting continuity with inherited practices while repudiating the consumption logic that literacy has unleashed.

The deepest wound left by the book is measured in people, not pages. Because none of the girls marries a fisherman, the family line anchored to the sea stops at their generation. Each daughter instead joins households that face city streets, not tides, so future grandchildren will learn from picture books about fire trucks rather than from the storm almanac once kept by the kitchen window. The mother suffers a double absence: her grown daughters no longer sit at the table, and their children will grow up without the taste of salt in their stories. Books begin as harmless paper but end by breaking the chain that once links work, name, and place. What remains is the lasting ache of losing them forever, which does not oppose the migration of Breton Islanders to big cities, but reminds the scattered descendants not to let Breton Island be left with nothing but the piercing sea wind. Once the freedom of the page is tasted, it cannot be returned, and it keeps redirecting lives away from the cove, leaving the mother's tongue and the mother's sea as distant anecdotes told at city dinners.

The narrator stands as both witness and residue of book's double ledger. While his sisters translate borrowed plots into permanent absence, he returns in memory to the kitchen where salt still clings to the walls and the almanac still records storms no one else will name. The books that once offer him escape but now compel him to speak for the continuity that his siblings abandon. His adult voice, shaped by lecture halls far from the cove, becomes a fragile bridge between the mother's evaporating world and the book that cannot be shut. He is aware that every syllable both preserves and distances the life that the books first teach him to imagine leaving.

3. Sea: Dual Sides of Fate

In *The Boat*, the sea is the omnipresent force that governs the existence of the characters, embodying a profound and inescapable duality. It is not merely a setting but an active agent that both sustains and threatens, acting as both the daily nurturer and the ultimate destroyer. This dual nature encapsulates the central conflict of the story, representing the very essence of the family's fate: a life that is simultaneously provided for and imperiled by the same source.

Primarily, the sea is portrayed as the fundamental provider, the undeniable economic and biological lifeline for the family and the entire coastal community. It functions as the ultimate "breadwinner", dictating the daily routine, shaping identity, and ensuring continuity across generations. The narrator's childhood memories are deeply saturated with the tangible gifts of the sea, which form the unshakable basis of their survival. This sensory link, smelling the air and the nets just as his father does, powerfully connects the sea to heritage and cyclical renewal. The scent is not one of danger but of work, sustenance, and tradition stretching back generations.

One obvious example is that "the lobster beds off the Cape Breton coast are still very rich and now, from May to July, their offerings are packed in crates of ice, and thundered by the gigantic transport trucks, day and night, through New Glasgow, Amherst, Saint John and Bangor and Portland and into Boston where they are tossed still living into boiling pots of water, their final home" (MacLeod, 1991, p. 707). It presents the sea as a daily nurturer through both diction and syntactic movement. The phrase "their offerings" personifies the ocean floor as a generous altar which voluntarily presents its creatures, while the adverbial "still very rich" assures the reader that this fertility is continuous, not accidental. By specifying the calendar rhythm of "from May to July", MacLeod converts the maritime harvest into a predictable seasonal pulse, underscoring the sea's reliability as a maternal source. The subsequent catalog of inland cities: New Glasgow, Amherst, Saint John, Bangor, Boston, maps the terrestrial route that the ocean's gift travels, thereby extending the nurturant function from local wharf to regional economy. Therefore, the passage dramatizes the sea's daily provision: it nourishes the family's table, finances their boat, and structures communal time, all while maintaining an inexhaustible richness that earns the text's quietly reverent label "offerings".

In this role, the sea embodies a familiar and nurturing force. It offers its resources generously, defining a way of life that, while demanding, is fundamentally sustaining. The rhythm of the seasons: like the spring lobsters, the summer mackerel, and later the cod and haddock, is dictated by the sea's provisions, structuring time itself around its abundance. This cyclical harvest makes the sea the giver of purpose and the anchor of a communal identity built upon the shared labor of harvesting its depth. Moreover, the narrator's mother, who is profound of the sea, further personifies this deep, unwavering connection, her life and energy entirely oriented around its demands and gifts. Therefore, the sea is not merely a background element

but the active, nurturing nucleus of their world.

Conversely, and with equal power, the sea is depicted as an agent of erosion, loss, and death. Most of MacLeod's characters' lives are "critically vulnerable to if not determined by environmental conditions such as climate, the sea, the region's depleting coal resources" (Berces, 1991, p. 115). For this reason, its nurturing nature is inextricably linked to its capacity for violence, operating as a fundamental force that does not merely give but also takes away. This destructive aspect operates on both a physical and a psychological level, defining the tragic dimensions of the characters' lives. Physically, the sea is the ultimate arbiter of mortality. It claims lives, as seen in the fate of the father, whose body is ultimately consumed by the very element that has sustained him for so long. The narrator's recollection of his father's corpse is brutally matter-of-fact, highlighting the sea's indifference. "His hands were shredded ribbons as were his feet which had lost their boots to the suction of the sea" (MacLeod, 1991, p. 708). This visceral imagery reinforces that the sea's destructive power is not a distant threat but a constant, grim reality that completes its cycle from provider to reclaimer. The father's death at sea underscores the precariousness of an existence tied to its whims. Psychologically, the sea acts as a slow, grinding force that erodes the human spirit. The narrator observes the sea's relentless impact on his father, noting how it ages and weathers him. This simile powerfully conveys how the sea does not just kill. It performs a gradual consumption, draining vitality and individuality from those who depend on it, leaving them worn down by its demands. Furthermore, the mother's entire worldview is shaped by her knowledge of the sea's treachery. Her fear of its destructive potential translates into a rigid insistence on tradition and a fierce opposition to any form of escape, making her a force of entrapment within the home, mirroring the sea's confines. Her life, dedicated to mending clothes torn by the boat and preparing food for it, is a testament to a defensive stance against the sea's ever-present threat.

Ultimately, the sea is the story's final and indifferent arbitrator of fate. It is the dark and unpredictable force that enforces the story's tragic conclusion, demonstrating that the same waters that offer life can, without warning or malice, become a vast and indifferent grave. This profound duality makes the narrator's escape not just a matter of leaving a profession, but a profound confrontation with a fundamental and powerful element of his own destiny and heritage. His physical departure is an attempt to sever ties with a force whose destructive capacity is as immense as its capacity to sustain.

Conclusion

In *The Boat*, Alistair MacLeod constructs an inescapable existential dilemma through three core symbols: the boat, the book, and the sea. The narrator's seemingly autonomous choice is predetermined by these intertwined symbolic forces. Choosing the book entails bearing the guilt

of abandoning tradition, while remaining with the boat demands profound self-sacrifice. Ultimately, all is engulfed by the sea, which is a force that both nurtures and destroys. Through this precise symbolic architecture, MacLeod transcends regional narrative to unveil the profound tragedy inherent in the individual's pursuit of freedom against the overpowering currents of cultural tradition and historical fate. Macleod exposes freedom itself as a cultural product whose parameters are set by the very traditions it seeks to outgrow. The sea's final engulfment is therefore not mere natural disaster; it is the symbolic confirmation that every human path, whether anchored to the wharf or directed toward the campus quadrangle, must sooner or later reckon with the same engulfing vastness. In revealing this inevitability, *The Boat* becomes an elegy not only for a maritime way of life but for the modern conviction that individual choice can break the historical continuum. The short story closes on the sober recognition that while books and boats propose different directions, they share a common horizon where personal desire and collective destiny collapse into the same relentless tide.

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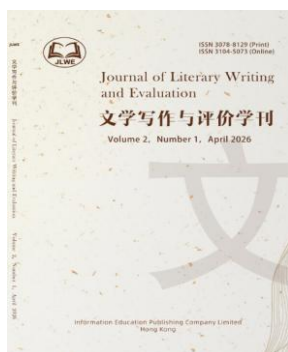
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A Poetic “Mundo” Constructed by Fragmented Seasons and Imagination: Wallace Stevens’ Poetic Meditation in *Harmonium*

Lei Yanni, Li Shiyuan

Abstract: Wallace Stevens incessantly employs the seasonal motif in his poetry, which has become a focus of critics. Through the analysis of seasonal poems from his inaugural anthology *Harmonium*, this paper examines how he fragments and omits seasons and ultimately transcends mere seasonal reference to reflect on postwar disillusionment and the destabilization of religious and scientific certainties. Additionally, it investigates how Stevens forges an alternative “mundo” through imagination. Through the subversion of seasons and privilege of imaginative perception, *Harmonium* establishes a self-contained poetic “mundo”, an aesthetic realm. While avoiding overt engagement with World War I, his works encode historical fractures, mediating between personal introspection as a poet and epochal disorientation. In this way, Stevens redefines the poet’s role as architect of an aesthetic “mundo”, resisting “violence without”, and thus transcends the historical constraints and progresses towards a poetic dwelling of permanence.

Keywords: Wallace Stevens; *Harmonium*; season; poetic imagination; self-preservation

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题目：碎片化季节与想象构建的诗学“世界”：论《簧风琴》中华莱士·史蒂文斯的诗学沉思

摘要：华莱士·史蒂文斯在其诗歌创作中持续运用季节主题，这一特点已成为评论界关注的焦点。本文通过分析其首部诗集《簧风琴》中的季节诗作，探讨诗人如何对季节进行碎片化处理与省略，最终超越单纯季节指涉，进而反思战后幻灭情绪与宗教科学确定性的瓦解。研究同时揭示了史蒂文斯如何通过想象力构建替代性的“世界”——通过颠覆季节秩序，同时赋予想象感知以优先地位，《簧风琴》建立起一个自足的诗意“世界”，即一美学领域。尽管史蒂文斯的作品刻意避免了对一战的直接涉及，却仍将历史断裂编码其中，在诗人个体的内省与时代性迷失之间进行调和。藉此，史蒂文斯重新定义了诗人作为美学“世界”建筑师的角色，通过抵抗“外部暴力”，最终超越历史局限，走向永恒的诗意栖居。

关键词：华莱士·史蒂文斯；《簧风琴》；季节；诗意思象；自我保存

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Wallace Stevens (1879-1955) enjoys the reputation of poet's poet as one of the preeminent figures of Modernist poetry. His first anthology, *Harmonium* (1923), initially garnered little critical attention, except for remarks from some of his contemporaries, like William Carlos Williams. However, following his receipt of the Pulitzer Prize for Poetry in 1955, Stevens' oeuvre attracted broader critical engagement, giving rise to diverse interpretative frameworks that encompassed philosophical and biographical inquiries, artistic and poetic experimentation, Romanticist studies and more. The renowned critic Harold Bloom (1977) later published *Wallace Stevens: The Poems of Our Climate*, asserting that Stevens represents the most potent voice of our time. Given that *Harmonium* was compiled during a period of global turmoil, this paper argues that the anthology serves, at least in part, as Stevens' introspective engagement with his own poetic identity. In the special context of historical turbulence, it is a dimension that warrants further scholarly investigation. Specifically, this study will focus on the seasons in *Harmonium*.

Seasons or seasonal changes are a motif that Stevens frequently employs in his poetic corpus. These seasonal poems constitute part of Stevens' poetic "mundo", for instance, "Credences of Summer", "Depression before Spring" and "Sunday Morning". Notably, he even names two collections after the seasons, namely, *Transport to Summer* (1947) and *The Auroras of Autumn* (1950). Within *Harmonium*, numerous poems incorporate conspicuous seasonal elements, like "The Snow Man", "The Emperor of Ice-Cream", "Thirteen Ways of Looking at a Blackbird", "Sunday Morning" and so on.

Such a recurrence has inevitably drawn significant scholarly attention, prompting diverse

critical interpretations. Scholars at home and abroad have argued that Stevens' engagement with seasonal motifs transcends mere aesthetic embellishment, evolving instead into a profound symbolic framework integral to his poetic worldview. They have been discussing it from various perspectives concerning his biographical experience and life philosophy. Lensing (2007), for instance, contends that Stevens' use of seasonal imagery progresses from a simple backdrop to a complex trope and ultimately crystallizes into a mythopoetic structure that unifies his "grand poetry". Furthermore, he suggests that Stevens' seasonal meditations render a deeply personal psychodrama, even functioning as a mode of survival for a poet grappling with estranged familial bonds, fractured friendships, and religious disillusionment. Moreover, Lensing (2017, p.70) further claims that "it was in the world of nature revealed through the seasons that he found his compensations, one could almost say, substitutions." Correspondingly, Huang Xiaoyan (2007, p.20) underscores the correlation between Stevens' poetic philosophy and his profound appreciation for the shifts of the seasons, stating, "Stevens qualified himself as a real poet: in..., the very seasonal changes that never failed to fascinate him". Li Yongyi (2008) examines Stevens' conceptualization of nature, asserting that it embodies an inherent paradox. This, in turn, generates both the thematic and artistic momentum of his poetic inquiry.

More recent research into Stevens' seasonal poems naturally takes ecocriticism into account because of his intimate contact with and personal affection for nature. Wolfe (2021, p.104), for example, claims that Stevens' poetry can be understood as reflecting the same "operating program" inherent in autopoietic living systems. However, Stevens himself once claimed that these seasonal poems had nothing to do with seasons themselves, but with the "drift of one's ideas" (1966, p.637). This suggests that instead of ecological concerns, Stevens may intend to express his own thoughts on life and poetry in his seasonal poems. Nevertheless, current critical approaches to Stevens' seasonal poetry fail to give sufficient and systematic consideration to the significance of these texts within his poetic framework. Therefore, this paper returns to this perspective in the analysis of his seasonal poems concerning his poetics.

Moreover, given the specific historical moment at which *Harmonium* was published, it is imperative to take its history into account. Most poems compiled in *Harmonium* were published in magazines between 1914 and 1923, a period that coincided with the global upheaval of World War I and its immediate aftermath. This era of relentless uncertainty and disruption inevitably leaves an imprint on the cultural and artistic landscape, rendering it a focal point for Stevens' critics. These critics arrive at opposite corollaries. While some critics argue that the collection engages directly with its socio-historical context, others maintain that it aspires to a form of poetic transcendence, constructing a space of aesthetic autonomy beyond historical contingencies. This paper posits that while Stevens deliberately avoids overtly mirroring contemporary reality, he does not entirely detach himself from it. Instead, he navigates a middle ground, crafting a poetic "mundo" in which seasonal motifs mediate the fractures of history.

A close examination of seasonal elements in his first anthology, *Harmonium*, mainly “The Snow Man”, “The Emperor of Ice-Cream”, “The Paltry Nude Starts on a Spring Voyage”, “Sunday Morning” and “Thirteen Ways of Looking at a Blackbird”, reveals that these poems do not serve as direct commentaries on contemporary historical realities. However, Stevens persistently interrogates the role of the poet in a fractured world, reconfiguring a “mundo”, a poetic space to reflect the predicament of religion and science from different angles. Stevens offers no prescriptive solution to the aches of the modern world. Instead, through his unique treatment of seasons and resort to imagination, he constructs a self-contained “mundo”, which hints at the cruelties and paradoxes of real-world existence. His writing then becomes an act of resistance, an assertion of poetic selfhood against external pressures. Stevens not only preserves a space for poetic contemplation but also goes beyond the limitations of history.

1. Stevens’ Special Treatment of Seasons

The era in which Stevens lived witnessed the rise of modern technology alongside the collapse of traditional religious frameworks. As Richardson (2018, p.13) notes, Stevens matured “as a poet in the years just after Einstein’s discoveries”, a period that fundamentally reshaped human conceptions of life. Stevens (1997, p.878) himself resonated with this predicament, stating, “he lives in the world of Darwin and not in the world of Plato”. Stevens (2018, p.155) also described the experience of the fall of religion as follows: “To see the gods dispelled in mid-air and dissolve like clouds is one of the great human experiences. ... It is simply that they came to nothing. ... we shared likewise this experience of annihilation. It was their annihilation, not ours, and yet it left us feeling that in a measure we, too, had been annihilated”. The erosion of religion and the “annihilation” of gods stripped the world of transcendent meaning, leaving a vacuum, where divine prophecy once provided existential anchoring. These terrifying discoveries of the modern world profoundly shaped Wallace Stevens’ worldview and his conception of the poet’s role in a disillusioned age. As a poet, Stevens (1997, p.841-842) came to position his own role as a secular “priest” responsible for forging new “satisfactions of belief”. In his view, poetry became the only true source of fulfillment, for “there is no true satisfaction for the poet but poetry itself” (1997, p. 878). He sought to construct a poetic “mundo”, a self-contained world, offering a response to the disenchanted modern age.

1.1 Fragmented Seasons

This vision is particularly evident in Stevens’ special treatment of seasons, where the passage of time is not linear but reversed, fragmented, or recombined. By deliberately dissolving seasonal boundaries, Stevens crafts a poetic “mundo” that resists the rigidity of chronological time, mirroring the impermanence and instability of existence in the modern world. For instance, “The Emperor of Ice-Cream” collapses seasonal distinctions between summer and winter to subvert the religious notion of resurrection. Instead, it advocates an alternative belief rooted in earthly

pleasures. Similarly, “Thirteen Ways of Looking at a Blackbird” reinforces a poetic reality that defies fixed temporal structures. Its rejection of linear time, fragmentation, and persistent engagement with transience reflect Stevens’ effort to construct meaning beyond traditional metaphysical frameworks. By dismantling conventional structures of time, Stevens reconfigures poetic reality as a dynamic and evolving space, thus countering the disorientation of the modern age.

Specifically, Stevens employs this technique in “The Emperor of Ice-cream”, rejecting the conventional progression of the seasons and instead intertwining summer and winter. The first stanza brims with the vibrancy of summer, while the second shifts abruptly to the stillness of winter. The first stanza describes a scene in which men and women all indulge in sexual lust and earthly delights. The vehemence of summer is fully shown with descriptions of “ice cream”, “cigars”, “whip” and “concupiscent curds” and three repeated imperative sentences beginning with “let”.

*Call the roller of big cigars,
The muscular one, and bid him whip
In kitchen cups concupiscent curds.
Let the wench dawdle in such dress
As they are used to wear, and let the boys
Bring flowers in last month's newspapers.
Let be be finale of seem.
The only emperor is the emperor of ice-cream.*

(Collected Poetry and Prose, 50)

However, the second stanza shifts abruptly to the image of a dumb corpse with cold feet, and a lifeless space, capturing the essence of winter. This poem disrupts traditional time cycles. In turn, by juxtaposing these two opposite seasons together without transition, it suggests that life represented by summer and death represented by winter do not exist in neat, separate phases but incorporate incessant change. This deconstructs the religious belief in concepts like permanence and regeneration and instead advocates the importance of sensory perception and secular life.

*If her horny feet protrude, they come
To show how cold she is, and dumb.
Let the lamp affix its beam.
The only emperor is the emperor of ice-cream.*

(Collected Poetry and Prose, 50)

“Thirteen Ways of Looking at a Blackbird” further reveals an incomplete, reversed seasonal cycle. It commences with a stark, wintry landscape, where snow dominates.

*Among twenty snowy mountains,
The only moving thing
Was the eye of the blackbird*

(Collected Poetry and Prose, 74)

This lifeless, frozen setting establishes a world of stillness. As the autumn wind rustles, the blackbird is entangled and the external world is no longer static but in flux. It then shifts to a vibrant, dynamic scene with its “green light,” a possible reference to the returning vitality of spring.

*At the sight of blackbirds
Flying in a green light,
Even the bawds of euphony
Would cry out sharply.*

(Collected Poetry and Prose, 76)

A sense of regeneration and revitalization follows the return of spring after the turbulence of autumn. Through such meditative and reflective moments, self is preserved to embrace renewal and growth. The final stanza once again returns to winter.

*It was evening all afternoon.
It was snowing
And it was going to snow*

(Collected Poetry and Prose, 76)

This cyclical return to snow reinforces the idea that life remains in perpetual motion, resisting final closure or resolution. However, unlike the passive stillness of the first winter scene, this return to snow follows a journey through transformation and renewal. The poet acknowledges that winter will always come again, but through meditation and perception, one can endure it.

Notably, in contrast to other seasons, which are explicitly referenced, summer is omitted from the poem. As Lensing (2007, p.119) notes, “Summer is culmination and consummation, the end for which the previous seasons have been prelude. Self and world attain perfect harmony and accord.” Summer is often associated with fulfillment and completion. This deliberate absence of it reinforces Stevens’ rejection of resolution or final definiteness. Instead of embracing a fixed, harmonious state, the poem thrives on fragmentation and change. By resisting the completeness of seasons, Stevens aligns with his belief that life is never static, but always exists in a state of flux.

Moreover, this poem challenges the linear narrative not only through its incomplete seasonal structure but also through its reversed time order and its shifting perspectives. Each stanza

presents an imaginative way of observing the blackbird, without offering any single, definitive meaning. By beginning in winter, proceeding through autumn and spring, and ultimately returning to winter, the poem subverts chronological expectations and generates a series of distinct perspectives on the blackbird. This disruption of time and order reinforces Stevens' resistance to externally imposed interpretations and highlights the necessity of poems in navigating an ever-changing world.

Through fragmented, shifting perspectives and the unconventional treatment of seasons, Wallace Stevens' "Thirteen Ways of Looking at a Blackbird" challenges linear structures. This deliberate structural choice underscores Stevens' philosophical stance that life is not a static, harmonious progression but an ever-changing, cyclical experience. Through the blackbird, a recurring figure, Stevens explores themes of transience and change rather than definiteness and thus asserts the power of poetic consciousness to withstand external turbulence and preserve an inner vitality in the face of external forces.

1.2 More than Seasons

Some of Stevens' other seasonal poems extend beyond mere references to the seasons, reflecting the decline of religion and providing a surrogate for belief systems. Specifically, the second stanza of "Sunday Morning" commences with two inquiries that cast doubt on the rationality of divine authority and the metaphysical promise of an afterlife within the context of religious disillusion.

Why should she give her bounty to the dead?

What is divinity if it can come

Only in silent shadows and in dreams?

(Collected Poetry and Prose, 53)

In contrast, the next lines swiftly turn to the consoling effect of earthly nature.

Shall she not find in comforts of the sun,

In pungent fruit and bright, green wings, or else

In any balm or beauty of the earth,

Things to be cherished like the thought of heaven?

(Collected Poetry and Prose, 53)

Stevens subsequently posits that human existence should not be contingent upon divine intervention. He advocates a revolt from the transcendent realm to the earthly domain and an affirmation of human dignity.

*Divinity must live within herself;
Passions of rain, or moods in falling snow;
Grievings in loneliness, or unsubdued
Elations when the forest blooms; gusty
Emotions on wet roads on autumn nights;
All pleasures and all pains, remembering
The bough of summer and the winter branch.
These are the measures destined for her soul.*

(Collected Poetry and Prose, 53-54)

These lines dismantle conventional religious belief by relocating the divine to the realm of human experience: the concept of “divinity must live within herself” emerges. This challenges the conventional belief in God and introduces a nascent belief in the self amidst the collapse of religion. Seasonal elements, such as “falling snow”, “autumn nights”, “the bough of summer” and “the winter branch”, transcend their traditional symbolic roles as cyclical markers. Instead, they become intertwined metaphors displaying distinct human emotional states and form a secular belief system where meaning derives from engagement with ever-changing earthly existence rather than divine permanence.

Moreover, the same vision finds its starkest expression in another seasonal poem, “The Paltry Nude Starts on a Spring Voyage”. It depicts a “paltry” protagonist who embarks on her voyage clinging to a “first-found weed” (1997, p.4). With detailed description, Stevens implies that the naked woman subverts the mythological archetype of Venus, who is traditionally depicted standing barefoot atop a seashell. Stripped off divine mandate or clear purpose, her journey originates in existential discontent.

*She too is discontent
And would have purple stuff upon her arms,
Tired of the salty harbors,
Eager for the brine and bellowing
Of the high interiors of the sea.*

(Collected Poetry and Prose, 4)

All these dismantle the grandeur of the voyage, transforming the so-called “spring voyage” into a secularized one. The “spring voyage,” typically emblematic of rebirth, is reconfigured as an “irretrievable” trajectory into the oceanic abyss. It culminates in “the high interiors of the sea”, which does not lead to redemption or fulfillment. That is to say, as “Scullion of fate”, the girl is compelled to move forward “upon her irretrievable way” across “the spick torrent”. She is

dictated by the confrontation with a godless universe where individuals must navigate human existence devoid of transcendental guarantees. Stevens positions this voyage as a metaphor for the perpetual flux of human existence, where artistic creation becomes an act of self-preservation against historical despair.

*Will go, like the centre of sea-green pomp,
In an intenser calm,
Scullion of fate,
Across the spick torrent, ceaselessly,
Upon her irretrievable way.*

(Collected Poetry and Prose, 5)

These poems further reflect Stevens' own thought that his seasonal writing aims to explicate religious decline and forge secular meaning. "Sunday Morning" dismantles divine authority by relocating sacredness to human experience, which is perceived through different sentiments evoked by various seasons. This elevation of human existence forms a self-reliant belief system. "The Paltry Nude Starts on a Spring Voyage" extends this vision: the "paltry" protagonist's "irretrievable" spring voyage is compelled by fate's "spick torrent". This subverts the traditional spring image of revival and embodies the existential flux. Both poems reject transcendental consolation, asserting instead that meaning arises from engagement with earthly transience, where seasons serve as fragments of a secular belief system rooted in human perception and endurance.

2. Stevens' Resort to Imagination

In the face of the ruins of World War I and the disenchantment of scientific rationalism and religious systems, modernist poets like T.S. Eliot (1963, p.53) lamented "a heap of broken images" that defined modern society. Stevens, however, transformed this fragmentation into a generative force. He resorted to the supreme affirmation of "imagination" in a modern world where the gods turned to "nothing" and man abandoned faith. In his prose, Stevens defines "nobility" of a poet as "violence from within that protects us from violence from without" or "the imagination pressing back against the pressure of reality". "Nobility" in his concept specifically refers to a quality that imagination inherently possesses. Stevens further claims that "nobility" as a force of imagination has "something to do with self-preservation; and that, no doubt, is why the expression of it, the sound of the words, helps us to live our lives" (1997, p.665). These words emphasize the role of imagination in self-preservation while counteracting the pressure and harshness of reality. This also reveals Stevens' lifelong reflection on a poet's role. The sound of words and the artistic expression of nobility seem to provide a kind of existential sustenance, allowing him to persist despite the pressures of reality.

Stevens resists such external religious and scientific "pressures". Instead, he imagines an

alternative poetic reality through the act of perception in his seasonal poems. His discourses concerning perception and reality provide a valuable lens to interpret his poetic “mundo”. In *Harmonium*, for instance, through its shifting yet recurrent imagery, “Thirteen Ways of Looking at a Blackbird” illustrates how imagination and perception reconstruct reality, aligning with Stevens’ notion that poetry resists external pressures by forging its own imaginative world. Whereas, “The Snow Man” serves more as a practical exploration into the relationship between perception and reality. It suggests a wintry mind that is free from subjective interpretation and that subsequently functions as an inner “violence”, which protects and preserves the self from the outer world of “violence”.

In “Thirteen Ways of Looking at a Blackbird”, the blackbird’s presence across multiple scenarios challenges externally imposed meanings, reinforcing poetry as a medium for constructing reality through perception.

*Among twenty snowy mountains,
The only moving thing
Was the eye of the blackbird*

(Collected Poetry and Prose, 74)

The blackbird’s eye is the sole dynamic element within this otherwise static landscape. With its movement, “the eye of the blackbird” represents a poetic consciousness that perceives beyond the apparent stagnation of external reality. This suggests a heightened awareness of perception. What matters is not the objective reality of the mountains, which may be vast and imposing, but the movement of vision, the act of seeing. Through the eye of the blackbird, Stevens asserts that poetic perception, rather than external reality, dictates meaning.

Moreover, throughout the seasonal flux over the poem, the blackbird recurs.

*The blackbird whirled in the autumn winds.
It was a small part of the pantomime.*

(Collected Poetry and Prose, 75)

In such turbulence, the blackbird, once deliberate in its movement, is now caught in “the autumn winds”. Even though it is reduced to merely a fragment of a greater, chaotic whole, it still exists. Even after linear time collapses (“evening all afternoon”), the blackbird sat “In the cedar-limbs”. It remains a constant presence, anchoring the fluctuating landscape. This repeated emergence encapsulates Stevens’ vision of poetic creation: an enduring act of perception that persists through time’s transformations. The blackbird asserts presence through sustained perception. This represents the poem’s ability to construct its own meaning, transcending temporal disintegration and external truth.

The blackbird functions as a constant figure moving through these seasonal shifts and an embodiment of the poet himself, maintaining presence and awareness amid the fluctuations of time and reality. In doing so, the poem affirms that even if caught in external turbulence, poetry itself creates a “mundo” that can navigate the external world to some extent. In a sense, “Thirteen Ways of Looking at a Blackbird” exemplifies Stevens’ manifesto: poetry is not merely a vessel for truth but a performative act of self-definition. This resonates with Heidegger’s (1971, p. 214-215) concept of “man dwells poetically”: poetry not only reflects the world but opens up space for spiritual existence.

In “The Snow Man”, Wallace Stevens advocates the necessity of adopting a wintry mind, or a detached, objective perspective, to fully perceive the natural world without imposing human emotions on it.

*One must have a mind of winter
To regard the frost and the boughs
Of the pine-trees crusted with snow;*

(Collected Poetry and Prose, 8)

The frosty, snow-crusted boughs of the pine trees and the ice-laden junipers together construct an austere wintry scene, which naturally evokes subjective human emotions. However, as the poem suggests, one should hold a wintry mind so as to refrain from being emotionally engaged in natural landscapes. The latter lines emphasize this idea by cautioning against interpreting the sound of the wind and rustling leaves as suffering or melancholy, which is merely an element that exists as part of the natural world’s continuous motion.

*And have been cold a long time
To behold the junipers shagged with ice,
The spruces rough in the distant glitter*

*Of the January sun; and not to think
Of any misery in the sound of the wind,
In the sound of a few leaves,*

*Which is the sound of the land
Full of the same wind
That is blowing in the same bare place.*

(Collected Poetry and Prose, 8)

In the last stanza, Stevens further advocates a mind of “nothingness”. Here “Nothing” does

not mean nihility but refers to another way of “being”, an enrichment of imagination.

*For the listener, who listens in the snow,
And, nothing himself, beholds
Nothing that is not there and the nothing that is.*

(Collected Poetry and Prose, 8)

Stevens implies that true perception of this environment requires not only physical endurance of the cold, but also a mental transformation into a mind of winter, an acceptance of the landscape as it is. In other words, preconceived notions should be abandoned so as to reach an unbiased perspective which is based on an alternative world constructed through perception.

3. Conclusion

Wallace Stevens' *Harmonium* emerges as a poetic response to the existential void left by the modern world's twin upheavals: the collapse of religious certainty and the destabilization of reality in scientific and technological advances. By subverting seasonal temporality and privileging imaginative perception, Stevens constructs a self-contained “mundo” that neither escapes nor directly mirrors the external world but reconfigures its chaos into aesthetic orders.

Central to this paper is Stevens' rejection of linear seasonal structures and transcendence of seasons. In “The Emperor of Ice-Cream” and “Thirteen Ways of Looking at a Blackbird”, seasons are fragmented, reversed, or omitted, with summer's absence being particularly telling, to underscore the instability and impermanence of modern existence. This temporal disruption mirrors the disorientation of an era influenced by Einstein's relativity and postwar disillusionment. Furthermore, in “Sunday Morning” and “The Paltry Nude Starts on a Spring Voyage”, Stevens elevates seasonal images to reflect human emotions, asserting that meaning arises from interaction with earthly transience. In this way, he further dissolves the belief in God and advocates a secular belief system rooted in human perception and endurance. These seasonal poems constitute part of his seasonal “mundo”. Noticeably, Stevens' “mundo” is not nihilistic; instead, it is a space of creative resistance. The “blackbird's persistent gaze” and the “wintry mind” exemplify a poetic consciousness that endures through detachment, transforming existential “nothingness” into a site of imagination.

Critics have long debated whether *Harmonium* transcends or engages with history. This paper argues that it navigates between the two. By avoiding direct reference to World War I while encoding its fractures through seasonal change, Stevens mediates between the personal and the epochal, or in other words, the poetic and the epochal. In this way, Stevens redefines his role as a poet: not as a prophet of divine truth but as an architect of provisional meaning, crafting language into a sanctuary against the modern world's “violence without”.

Ultimately, Stevens' *Harmonium* offers no direct solutions to the modern world's

predicaments but asserts poetry itself as a mode of dwelling. His seasonal “mundo” does not resolve contradictions but holds them in tension, inviting readers to experience the “momentary existence on an exquisite plane” of the imagination (Richardson, 2018, p.14). In an age of disbelief, Stevens’ works suggest that the nobility of poetry lies not in answers but in its capacity to sustain the poet himself and readers amid uncertainty, a lesson as vital today as it was a century ago.

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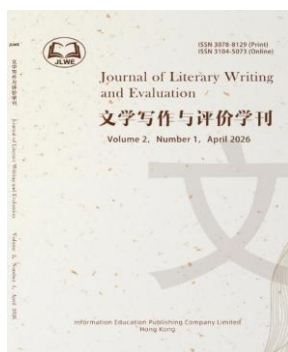
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《1793 年黄热病瘟疫》的生命伦理解读

龙艳霞 (Long Yanxia)

摘要: 小说《1793 年黄热病瘟疫》讲述了一个发生在 1793 年美国费城黄热病瘟疫期间的故事。该小说用虚构的故事展示了真实的医学历史，再现了 1793 年费城黄热病瘟疫的实况。故事暗示了瘟疫期间美国人民对医学的不信任，医疗环境中对黑人的隐性偏见，以及医者在医治病人的过程中所采用的家长式医疗等问题。该小说对 18 世纪美国不当医疗手段和卫生决策的揭露，引发笔者对突发性公共事件中的生命伦理的关注与思考。因此，本文试图从生命的选择、免疫神话的破灭和医学权威的坍塌三个方面来解读小说《1793 年黄热病瘟疫》中的生命伦理，以及蕴含在小说中的应对突发性公共卫生事件的种种问题和启示。

关键词: 《1793 年黄热病瘟疫》；生命伦理；生命选择；免疫神话；医学权威

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Title: An Interpretation of *Fever 1793* from the View of Bioethics

Abstract: The novel *Fever 1793* tells a story about the outbreak of the yellow fever in Philadelphia in 1793. This novel uses fictional stories to present the true history of medicine and recreates the actual situation of the yellow fever plague in Philadelphia in 1793. It implies issues such as the American people's distrust of medicine during the pandemic, the implicit prejudice against black people in the medical environment, and the paternalistic medical approach adopted by doctors in treating patients. The novel's exposure of improper medical practices and health

decisions in the United States in the 18th century has sparked the author's attention and reflection on bioethics in sudden public events. Therefore, this article attempts to interpret the bioethics in the novel *Fever 1793* from three aspects: the choice of life, the collapse of the immunity myth, and the collapse of medical authority, as well as the various issues and inspirations contained in the novel regarding the response to sudden public health events.

Key words: *Fever 1793*; bioethics; choice of life; immune myth; medical authority

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《1793 年黄热病瘟疫》(*Fever 1793*, 2000)是美国作家罗莉·哈尔斯·安德森(Laurie Halse Anderson)的一部青年小说,于 2001 年被美国图书馆协会授予“最佳青年读物奖”。小说讲述了一个名叫玛蒂·库克(Matilda Cook)的 14 岁白人女孩在瘟疫中勇敢面对疾病和死亡,并迅速成长的故事。

故事发生在 1793 年的费城。当时费城是美国的临时首都(1700-1800),也是北美最大的城市,拥有天然的优势港口和五万常住人口。黄热病瘟疫在美国曾多次爆发,但 1793 年的费城黄热病最为臭名昭著。根据医生本杰明·拉什(Benjamin Rush)^①的文献记载,从 1793 年 8 月费城黄热病暴发到当年 11 月 9 日,费城死亡人数达到 4044 人。瘟疫结束时,死亡总人数超过 5000 人,占费城总人口的十分之一。死亡人数如此众多,既与瘟疫本身凶险有关,也与医疗救治过程中可能存在的某些问题有关。安德森用虚构的故事揭露了在 1793 年黄热病瘟疫中,美国人民对医学科学的不信任,医疗环境中对黑人的隐性偏见,以及医者在医治病人的过程中所采用的家长式医疗等问题,同时揭露了当时医疗手段的缺陷和卫生决策的过失,以及救治过程中对生命伦理的严重漠视。本文拟从生命的选择、免疫神话的破灭和医学权威的坍塌三个角度来解读小说《1793 年黄热病瘟疫》中反映的生命伦理问题,并在此基础上对突发性公共卫生事件决策的制定提出意见和建议。

一、生命的选择

生命伦理学是根据道德价值和原则对生命科学和卫生保健领域内的人类行为进行系统研究的学科,是生命科学的分支。生命伦理学运用伦理学的理论和方法,在跨学科跨文化的情境中,对生命科学和医疗保健的伦理学方面,包括决定、行动、政策、法律等进行的系统研究。本文将结合叙事、医学、行为、政策等方面对小说《1793 年黄热病瘟疫》进行生命伦理的解读。

^① 本杰明·拉什(1745-1813)是《美国独立宣言》的签署人,也是费城的公民领袖。他曾担任美国陆军外科医生,并成为宾夕法尼亚大学的化学、医学理论和临床实践教授,对新兴医学界产生了重大影响。他反对奴隶制。在医学和教育领域,他都是杰出的人物。

科学和宗教的较量经历了动荡不安的历史，期间充满了暴力和互不信任。正如 Kahn（2016，p1547）所言，“当医学和生命伦理学无法完全抓住问题的‘真相’时，宗教团体就会就此问题发表自己的立场，提出与生命伦理学的普遍智慧相反的叙述。”

在 1793 年 8 月炎热潮湿的日子里，感染黄热病的西印度难民抵达费城，引发了一次生物学事件。在瘟疫期间，城市的社会和经济生活陷入停顿，各级政府的行动遭到破坏。医生用尽各种方法，包括清洗、催吐、服用甘汞、泻药以及放血等手段，却无法阻止黄热病病毒的蔓延，最终以十一月霜降和费城人口十分之一的死亡率结束了这场瘟疫。《1793 年黄热病瘟疫》中的艾普乐太太（Mrs. Epler）是宗教叙事的代表。玛蒂去市场采购时，与小贩艾普乐太太进行了关于黄热病的对话：

“他们，病人，应该去教堂。城里人，码头的罪人。他们不去教堂，上帝就让他们发烧。这是上帝的神迹。《圣经》说灵魂犯罪，人就会死。”

.....

“你，教堂去了吗，上周，玛蒂库克小姐？”

“是的，夫人。妈妈从不让我呆在家里。”

艾普乐太太裂开嘴笑了。

“她是个好女人，你母亲。你们都去教堂，你们不用担心！”（Anderson, 2000, p29）

按照艾普乐太太的意思，人之所以得病是因为他们不信上帝，不去教堂；去教堂的就是好人，一次不落地去教堂的，就不用担心得黄热病。然而，疾病对待任何人都是平等的，不会因为种族、阶级、信仰的不同而有所不同。不久后，总是去教堂的露西尔（Lucile），即玛蒂的母亲，高烧吐血，卧床不起；虔诚的艾普乐太太一家则在疫情爆发后逃离了费城。“不用担心”不攻自破，宗教叙事被医学事实和生命伦理彻底击碎。艾普乐夫妇是德裔农民，是市场上卖活鸡和鸡蛋的小贩。艾普乐太太的言语表达错漏百出，语法十分蹩脚，受教育程度显然不高。人们普遍认同的是受教育程度越低，对宗教越痴迷，而与相信科学成反比。艾普乐太太对宗教的认知是宗教叙事最典型的反映。

玛蒂经历了母亲病入膏肓、生死未卜，爷爷遇袭、不治身亡，自己也身染瘟疫、生命垂危等一系列打击之后，她在爷爷葬礼上所表现出来的对葬礼祈祷的执着成为小说中对医学和生命伦理的最强宗教叙事。由于瘟疫夺走了太多人的生命，能够主持葬礼的牧师已经所剩无几。每天面对大量的死者，幸存的牧师也自顾不暇，结果是爷爷的葬礼无人主持，无人祈祷。与此同时，玛蒂仍然执拗地认为，死者必须有牧师祈祷，才能进入天堂，何况“爷爷是一个好人”。但这与艾普乐太太为代表的宗教信仰形成了矛盾，如果信上帝，就是好人，母亲就不会感染黄热病，爷爷就不会死于非命。在经历了宗教叙事的自身矛盾之后，玛蒂为何依然执着于宗教呢？人们自然可以从宗教与科学的矛盾中找到其真正的原因。18 世纪的医学尚处在不完整、不完善的发展阶段，医疗措施和卫生决策不可能及时拯救玛蒂的母亲和爷爷，这就直接导致了她对医学的怀疑与不信任。

当罗利先生（Mr. Rowley）前来给母亲诊断并治疗时，玛蒂认为“让一个陌生人进入我们的卧室太不合适了”（65），她之所以产生这样的想法，不仅是因为这位医生满身酒气、外形粗鄙，更因

为在明显的黄热病症状下，他却声称母亲并未感染黄热病，给予的治疗手段仅仅是每四个小时给母亲洗一次澡。当晚，母亲开始呕吐黑色污物（呕吐黑色污物是黄热病重症的标志性症状）。三天后，另一位医生科尔(Dr. Kerr)将母亲确诊为黄热病患者，治疗手段是每天放 10 盎司的血，并服用泻药和甘汞（jalap and calomel）以清除体内毒素。玛蒂对此治疗方案提出了质疑，她认为母亲已然非常虚弱，放血和服用泻药只会加重母亲的虚弱，不利于母亲的治疗和康复。虽然放血、服用泻药和甘汞等在 18、19 世纪的美国是典型的治疗黄热病的手段（以拉什医生为代表），但高达十分之一的死亡率却有力地证明了该治疗手段的无效。黄热病治疗即使在医学高度发达的二十一世纪仍无特效药，现代医学通常的治疗一般采用物理降温为主，给予流质或半流质饮食，给予静脉补液，注意水、电解质和酸碱平衡等，最终达到增强患者的自身免疫力，直至自愈的目的。显然，两位医生给予露西尔的治疗方案都与现代医学极为矛盾，放血、服用泻药和甘汞不能维持营养平衡，甚至还会破坏患者的营养平衡，降低了患者的免疫力；而频繁的沐浴尽管能够达到降温的目的，却严重干扰了患者的休息。这样的治疗方案自然不能让患者的家人信服。因此，“如果科学和医学在认识论上（epistemically）被认为是不完整或不完善的，就会为替代性解释和其他认知传统（epistemic traditions）的出现提供空间，在某些情况下，这些替代性解释和认知传统可能被视为更加有效。”(Kahn, 2016, p1550)这就为宗教叙事打开了缺口。

1793 年费城的夏天，天气格外炎热，大批死者等待下葬，刻不容缓。爷爷的葬礼处于僵持状态。最终，玛蒂这个年仅十四岁的少女，从人群中走出来，主动承担起牧师的角色，为爷爷祈祷。葬礼上的人企图阻止她，因为他们从未见过非牧师的女性主持过葬礼并为逝者祈祷。她的行为破坏了宗教教义。但最终，人们被玛蒂所感动，让玛蒂完成了爷爷葬礼的宗教仪式。玛蒂以牧师角色为爷爷主持葬礼并祈祷的行为却同时兼具了相互矛盾的两种意义：一方面，玛蒂遵从了宗教仪式，完成了为逝者祈祷的所有内容；另一方面，她也打破了宗教教义的常规，因为她并不是主持宗教仪式所规定的人选。如前所述，玛蒂既不相信上帝，对医学也充满了怀疑，她的行为显然无关宗教信仰，而只是一种要让大家都知道“爷爷是个好人”（153）的执着信念。这是一个耐人寻味的叙述窗口，有趣的反自然主义信仰^②取代了宗教信仰。

科学和宗教相互独立，互不重叠。从本质上讲，科学和宗教在彼此不信任的前提下，最好的结果就是双方保持尽可能远的距离，并尽量避免冲突。这样的不信任不仅出现在 18 世纪的美国，即使进入 21 世纪，美国民众对医学的不信任也并未减弱。2015 年，“出于对科学的不信任，对政府的不信任，对大型制药公司的不信任等各种原因，美国及广大西方世界的各种个人团体拒绝为他们的孩子接种疫苗”（kahn, 2016, p1547）。反自然主义信仰取代了宗教信仰，大范围不信任医学和科学的境况令人担忧。西方拒绝接种疫苗的选择并没有保护孩子免受疾病的感染，也没能预防病毒向老人等弱势群体的传播和蔓延。宗教或非自然主义信仰选择带来的是对生命的荼毒。因此，医师、伦理学家、公共卫生从业人员等都需做出尝试，了解信仰者的基本关切、信念和思想，探寻不信任的根源，才能打破不信任、不妥协 and 进一步不信任的恶性循环，破解宗教或非自然主义信仰选择，并遏制这样的选择带来的生命屠戮。

^② 反自然主义（antinaturalism）指任何反对采用自然科学模式的社会学分析方法。

二、免疫神话的破灭

《1793年黄热病瘟疫》里有一个贯穿故事始终、举足轻重的人物，黑人妇女伊莉莎（Eliza）。伊莉莎是玛蒂家的厨子，她勤劳、善良，是咖啡馆运营的主力。她曾经是一名黑奴，后来她的丈夫为她付了赎金，伊莉莎获得自由。当时，在费城桂格会（Quaker）的保护下，费城的黑人过着相对于美国其他州的黑人更加自由、平等的生活。伊莉莎可以与自己的白人老板露西尔畅谈心事，相互安慰，成为闺蜜；也可以责怪老板的女儿玛蒂不懂得民间疾苦，需要教训和磨练，以好友相称。

小说的开头对于黑人的地位做了很好的铺垫，作者用对一个白人女仆的无视与冷漠来衬托黑人在费城受到的善待。波莉·洛根（Polly Logan）是玛蒂家咖啡馆的女服务员，与玛蒂是亲密无间的好友，可玛蒂的母亲露西尔却并不这么认为。当波莉患黄热病去世后，玛蒂的母亲严禁玛蒂去参加她的葬礼，也不让玛蒂去慰问她的家人，并表示“波莉只是我们的仆人，不是朋友。”（16）如果这番话是母亲对玛蒂说的，我们可以解读为母亲为了保护女儿免受黄热病传染，而故意使用了极端的表达。然而，白人老板对黑人厨子伊莉莎说一个白人服务员只是仆人而不是朋友，就值得探究了。根据文献记载，1793年费城第一个死于黄热病瘟疫的是一名爱尔兰人。在《1793年黄热病瘟疫》中波莉·洛根是费城的第一位黄热病死者，而洛根是爱尔兰姓。^③小说刻意与现实进行关联，意在说明爱尔兰人无论是作为英国本土居民，还是美国移民，长久以来一直都受到主流白人的偏见和歧视，在当时的费城其地位甚至低于黑人，^④因为黑人似乎享有与白人平等的地位。

然而，正是这种表面的平等麻痹了黑人。医学上标榜不同人种具有不同体液（humor）的论断，塑造了黑人的免疫神话，并最终将黑人推向瘟疫的深渊。黑人免疫神话就起源于1793年宾夕法尼亚州费城的黄热病瘟疫。关于该流行病的许多第一手资料揭示了一种广泛认同的观点，那就是黑人由于种族的原因而自然获得黄热病免疫力。南卡罗来纳州查尔斯顿的医师约翰·李宁（John Lining）就认为，“在那场公共卫生危机中，白人医生认为黑人由于种族的原因而不受黄热病的侵害”（Hogarth, 2019, p1339）。他在描述查尔斯顿1748年黄热病流行的论文中指出：“黑人的体质有些异常，使他们不容易发烧”（Lining, 1799, p7）。尽管这一论断并不能证明他们的差异是因为他们的种族形成的，因为这也有可能是由于他们先前与病患的接触而获得了免疫力，但李宁关于先天种族免疫的主张经久不衰。

本杰明·拉什医生重复了这一主张。他给自由非洲协会（Free African Society）创始人理查德·艾伦（Richard Allen）写信时使用了这一逻辑，请求他和费城的黑人居民在黄热病瘟疫期间留下来并提供帮助。“拉什保证黄热病将‘绕过’有色人种”（Hogarth, 2019, p1340）。于是，人们在《1793年黄热病瘟疫》中，到处可以看到白人相继逃离费城，而黑人却留了下来照顾患者的情景。

伊莉莎全家自然也选择了留在费城。他们相信医生，信任艾伦，不分昼夜地护理黄热病人。黑人为拥有这样的免疫力而取得和白人相同的地位感到欢欣鼓舞，他们冒着一切风险想要证明自己的

^③ 姓氏“洛根”最早发现于爱尔兰中部伦斯特省（Leinster）的韦斯特米斯郡（County Westmeath）。

^④ 在英国的统治之下，宗教的分歧导致爱尔兰人受到迫害，生活穷困。17-18世纪，第一代爱尔兰移民来到美国，由于没有文化和更多技能，只能在城市里做下等人，居住在脏乱狭小的贫民窟。当时的爱尔兰人处于社会最底层，他们的生活状况甚至还不如黑人。

价值。正如伊莉莎告诉玛蒂的那样，“医生们认为我们非洲人不会得黄热病。艾伦说，这是一个让黑人展示我们和白人一样优秀、一样重要、一样有用的机会。”(176)然而，结果却是伊莉莎的哥哥约瑟夫（Joseph）与妻子双双感染黄热病，妻子去世。此刻，伊莉莎对医生也产生了怀疑。她发现黑人开始生病、发烧，虽然也有部分黑人未受感染，但其他人种也有未受感染的情况，因此她怀疑黑人并不具有天生免疫的能力。“根据苏珊·克莱普（Susan Klepp）的记载，当时费城的居民中，94%是白人，6%是黑人；在这场流行病中，黄热病造成的死亡估计约为白人 3,095 人，黑人 198 人。”（Hogarth, 2019, p1337）单从死亡人数来看，黑人的确远远低于白人，属于不易感人群，看上去黑人似乎确实具有免疫力；但是在比较了人口比例和死亡人数比例之后，可以发现白人与黑人的人口比例（15.66:1）与白人和黑人的死亡人数比例（15.63:1）极其相近。这说明黑人和白人的病死率基本一致，他们所具有的免疫力几乎一模一样。因此，人们逐渐认识到，黑人和白人一样并没有天然免疫黄热病的特殊体质，由各路医学权威所编造的黑人天生免疫神话彻底破灭了。

不平等的医学思维错误地指导了黑人和白人不相同的观念。“拉什对奴隶制的反对并不一定意味着他认为黑人和白人在生理上是平等的。”（Hogarth, 2019, p1340）这种先天的、基于种族差异的神话就是医疗环境中的隐性偏见。“这些信念（beliefs）源于科学家、内科医生和奴隶主为奴隶制的辩护。”（Hoffman, 2016, p4297）随着时间的流逝，人们越来越相信黄热病是黑人能够免疫的疾病，这种信念更受到奴隶制拥护者的青睐。1853 年，美国密西西比州维克斯堡再次爆发黄热病瘟疫，当时公认的观念依然是非洲裔后裔对黄热病具有天然免疫力。“这样的观念不仅强化了南方医生关于黑人奴隶在生物学上不同于其白人主人的断言，而且还直接支持了奴役制的论点，即被奴役的男人和女人更适合于他们所劳动的环境条件。”（Privette, 2019, p93）这种观点甚至延续到了 21 世纪的现代医学观念之中。霍夫曼（Hoffman）等人在 2016 年“关于疼痛评估中的种族偏见的研究”清楚地说明了这一点。该研究发现，一些白人医生和居民普遍认为，“黑人的皮肤比白人的皮肤厚，或者黑人的血液比白人的血液凝固得更快”（Hoffman, 2016, p4298），因此他们认为黑人和白人在本质上和生物学上有所不同。然而，霍夫曼等人的研究结果却是黑人与白人在生物学上并无不同，其结论是：“白人医生和居民对黑人和白人之间的生物学差异抱有错误的信念。疼痛感方面的种族偏见与疼痛治疗建议中的种族偏见有关。”（Hoffman, 2016, 4297）这种先天和根本的种族差异信仰是一种畸变，它内置于医学知识生产的精神之中，是过去时代的不幸。现代医学对此问题的关注和解读，促使我们将注意力转移到医学领域之外更大的结构性问题上，而不再关注任何潜在的先天生物学成因。

三、医学权威的坍塌

如前所述，玛蒂对医生的诊断和治疗手段产生了质疑，但她依然遵从医生的嘱咐对母亲进行护理，治疗手段也未发生变化；伊莉莎对于黑人免疫的医学神话提出了疑问，并察觉到反驳的证据，但是她仍旧遵照艾伦的指示继续护理患者。当玛蒂怀疑罗利先生时，伊莉莎告诫玛蒂，“如果艾伦牧师说了，你就可以相信那是真的”（65）；当玛蒂质疑医生给母亲放血时，科尔医生愤怒地说，“拉什医生已经证明，放血是拯救濒死病人的唯一方法”（72）；在伊莉莎向玛蒂表达了对黑人天生免疫力的质疑后，她怀疑“如果医生错了”（176），但是她没有停止护理患者，因为她执着于她的信仰——

自由非洲协会，而协会领袖艾伦则受托于拉什医生。玛蒂和伊莉莎的医学知识有限，她们的质疑完全来自人的本能和对亲人的关切。然而，阻碍她们进一步提出质疑的不是科学知识，而是某个被推崇或神话了的人。玛蒂相信伊莉莎，伊莉莎相信艾伦，一线医生和艾伦则完全信任当时的医学权威拉什。盲目的信任，绝对的服从，医生按照自己的经历和经验进行救治，家庭成员和患者不具有共享医疗决策的能力，最终导致“家长式医疗”的严重后果。如果治疗效果不如意，患者的期望值与医生的能力之间脱节，将进一步造成民众对医学的不信任、医患关系恶化的局面。1853年密西西比州维克斯堡爆发的黄热病瘟疫中，“居民很少提及医生的存在，当医生被提及时，也只是质疑他们的能力而已。”(Privette, 2019, p92)

1793年9月2日，费城医学院（Philadelphia College of Physicians）在报纸上公布了疫情期间的十一条医学建议(On Advice from the College of Physicians)。卡利斯先生（Mr. Carris）指着报纸对玛蒂的爷爷说，“请听安德鲁（Andre）刚刚印刷的市长命令” (58)然后为他读了这十一条建议：

1. 所有人都应避免接触病人。
2. 病人的住所应做上标记。
3. 病人应安置在通风大房间的中央，房间不挂窗帘，且保持清洁。
4. 须为穷人提供一所医院。
5. 所有的钟声都应立即停止。
6. 病死者应该私下埋葬。
7. 街道和码头必须保持清洁。
8. 所有人都应避免身心疲劳。
9. 所有人都应避免暴露在阳光下、通风处和傍晚的空气中。
10. 所有人都应根据天气增减衣物。
11. 所有人都应适量饮酒。（58）

这些被当作命令的建议，从隔离、标记，到生活起居、卫生保健等，在小说中都有忠实的执行。仅从现代医学及生命伦理的观点来看，这些在当时指导民众预防和应对黄热病的建议，却不乏误导民众的卫生行为，甚至破坏了家庭诚信关系，成为生命的杀手。

瘟疫的出现无疑加剧了人们的恐慌和焦虑，尽管医者的建议简要易懂，但由于医学院没有给予更多的解释和疏导，人们茫然不知所措。第一条建议要求所有人都应避免接触病人。从医学的角度看，“避免接触病人”的建议本无可厚非，陌生人之间也很容易做到。但是，亲密的家庭成员之间该如何应对？特别是在医疗水平较低、医疗资源不足的情况下，家庭成员应该如何有效地护理亲人患者，同时尽可能地保护自己不受感染，医学院并没有给予进一步的指导说明。罗利先生讲述了一位病重的老妇人被家人扔到街上，任其自生自灭的故事。放弃家庭成员是一个艰难的决定，医者的建议无形中破坏了家庭的诚信关系，助推了人们为此做出的残忍决定。玛蒂也亲眼看到一个十七岁模样的少年裹着床单被家人从窗户扔出的惨状，为了避免被传染，他们不得不选择抛弃染病的亲人，

其悲伤与痛苦可想而知。老妇人和青年在被抛弃时依然活着，亲人的选择加速了老妇人和青年的死亡。疾病让亲人患者在身体上遭受痛苦，亲人的无奈选择给了亲人患者身上更为严重的致命一击。2020 年开始肆虐全球的新冠肺炎疫情，也同样让有现代医学护佑的人们遭遇了前所未有的危机与灾难。虽然今天的现代医学高度发达，其治疗手段与效果已与 1793 年爆发黄热病瘟疫时不可同日而语，但不明就里的“群体免疫”（herd immunity）神话只能让更多的人遭受不幸。数据表明，新冠肺炎的死亡病例 80%集中在 60 岁以上的老年人群。^⑤年轻人身体健壮、免疫力强，但他们也有可能将病毒携带回家，从而使得有基础疾病的老年人成为病毒攻击的目标，这与 1793 年黄热病瘟疫中的情形如出一辙。

医学建议的第二条就是在黄热病感染者的门前作上标记。这种做法可以方便健康民众识别黄热病患者，自动远离传染性家庭，较好地保护健康民众免受感染。但是，被孤立的家庭却很容易成为不法分子瞄准的目标。玛蒂的母亲露西尔患了黄热病，她家门口被系上了黄布条，表明此屋有黄热病患者，具有传染性。当玛蒂和爷爷辗转回到费城时，发现母亲已不知所踪。费城被标记的家庭大都遭到了抢劫，玛蒂回家不久后又经历了第二次抢劫，爷爷死于与歹徒搏斗的过程中。然而，就在这样恶性事件发生的过程中，竟然没有一个邻居出现为他们提供帮助。黄布条在一定程度上起到了警示健康人的作用，客观上却吸引了不法分子，甚至纵容了犯罪行为的发生。给患者的住处做上标记，是一种变相的、极端的隔离，它让健康民众自觉地远离传染区域免遭感染，同时却将患病民众置于孤立无援的危险处境之中。“传染病学家支持严格隔离并以其作为公共卫生干预的重要措施，而反传染主义者认为隔离带给人们的安慰与帮助极少。”（Ellis, 2017, p447）“这就对瘟疫等公共危机爆发时可能以隔离的要求或感知形式作为公共卫生政策提出了挑战。”（Papadimos, 2018, p1858）。毋庸置疑，一个人的健康首先取决于一个国家的社会秩序的质量。人类历史上所出现的严重的公共卫生危机无一不说明了这一点。

与此同时，医学建议中的患病死者应私下埋葬（第六条），看似关照了死者的隐私，也照顾了民众的紧张情绪，还缓解了疫情期间人手不足的压力，但是从医学和生命伦理来看，这一建议否认或忽视了黄热病的传染性事实，不仅影响健康民众未来的生活，还将造成更大的灾难甚至触发生态危机。玛蒂在经过一块墓地时候看到：黄热病死者被一层一层垒起来埋在一个大沟里，没有消毒，未做任何处理，甚至没有棺材可以封闭尸体、掩盖病毒。其结果是，病毒在未经处理的情况下极易蔓延、传播，并将对健康民众造成极大的威胁。其实，费城医学院给出的多条医学建议存在明显相互矛盾的地方，一方面认为黄热病是烈性传染病，对黄热病患者应疏远和隔离，另一方面在处理黄热病死者尸体时又忽略了疾病的传染性。医学受制于时代的发展，就不可避免地存在其局限性。黄热病起源于热带森林地区，本不应该出现在费城，因此，当地医生对黄热病并不熟悉，其治疗也充满了不确定性。进入医学发达的 21 世纪，SARS、埃博拉、新冠病毒等新型病毒不断出现在人类面前，现代医学仍然存在太多的未知领域。在医学界尚未能研制出特效药的背景下，人类只能依靠预防，

^⑤ 在 2020 年新冠肺炎的报告病例中，儿童与成年人相比，症状较轻，患严重疾病的几率更低。在 50 岁以下的人群中，死亡风险低于 0.5%，而在 70 岁以上的人群中，死亡风险则超过 8%。死于 COVID-19 的大多数人都已患有潜在疾病，比如高血压，糖尿病和心血管疾病等，而这些都是老年人的常见疾病。

或者加强自身免疫力进行对抗。医学科学的不确定性，让民众和医者都寄希望于自然的力量：1793年黄热病瘟疫的结束，就始于11月的霜降；2003年的SARS病毒，在进入夏季后就自动消失了。但是，谁能断言自然的力量就能阻断所有病毒对人类的侵扰与破坏！由于医学存在的局限性和不确定性，卫生决策机构在制定公共卫生决策时应该采取更加审慎的态度，“必要时应在紧急（time-sensitive）危机中采取专制（autocratically）的行动。”（Papadimos, 2018, p1858）1853年美国新奥尔良爆发黄热病期间，新的卫生法规就曾规定，“所有尸体都应从城市范围内移出并埋在地面以下至少四英尺处，人类粪便必须埋在地下至少有五英尺深处，当具传染性的私密物品的埋葬距离地表不到两英尺时，物品所有者负有清理、消毒的责任。”（Privette, 2019, p88）又如，虽然黄热病瘟疫尚未在亚洲发生，但为了防止这种病毒的传入，一些亚洲国家要求事先对通过黄热病地区的外国游客进行强制性的疫苗接种。事实上，无论是突发或非突发公共卫生事件，人们将最终充分地认识到大自然与人类命运息息相关的道理，这不仅是作为医者的告诫，更是全人类必须获得的普遍认同。

结语

《1793年黄热病瘟疫》重现了1793年美国费城的黄热病瘟疫实况。它用虚构的故事展示真实的医学历史，是医学文本、感性理论和情感小说的重叠化工作。《1793年黄热病瘟疫》除了再现1793年费城黄热病瘟疫这一事件，其医疗救治过程中的医疗手段、卫生决策和生命伦理也给了读者诸多启发。一方面，医学和生命伦理学没有抓住疾病的“真相”，人们会放弃科学转而执着于宗教信仰、反自然主义信仰等，这对医学科学的进步发展提出了更高的要求；另一方面，只有了解信仰者的基本关切、信念和思想，才能打破不信任、不妥协 and 进一步不信任的恶性循环，打破盲目信仰带来的生命屠戮，科学地挽救患者的生命。18、19世纪医学上对有色人种的不平等，造成他们成为瘟疫的牺牲品，是医疗认知下的隐性偏见；现代医学应严格杜绝医学上的人种不平等观念，坚守各人种在生理上的平等，不同人种的不同肤色、不同习性等没有任何潜在的先天生物学原因。18世纪的家长式医疗，导致医生只按照自己的经历和经验进行救治；但患者才是自己患病经历的权威，亲人按照本能关照患者，医者应考虑这两者的需求，并共同做出医疗决策，才能有效地防止民众对医学产生不信任，维持良好的医患关系。由于医学受制于时代的发展，在某些疾病的治疗中充满了不确定性，生命伦理在紧急公共卫生事件的决策中的运用就显得尤为重要。它让公共卫生决策的制定更加审慎，并强调良好的国家社会秩序是制定卫生决策的重要保障。十八世纪的医疗技术对生病或受伤的病人所起的作用相对较小，医学实践的社会方面理应承担起预防、治疗和治愈的重担（Garden, 2007, p558），但结果却相去甚远。现代医学虽然已经获得较高的发展，但依然不能避免种种的不确定。因此，当医学面临不确定时，卫生机构及相关人员在突发性公共卫生事件中就更应该从生命伦理的角度出发，多加以考量和约束，让卫生决策的制定更加有效地保护生命财产，维护生命健康。

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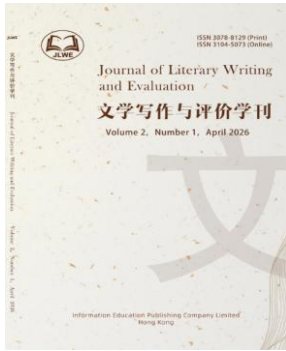
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尊严的枪响：《晚安，妈妈》中的女性身份建构与伦理困境

陈雅玲 (Chen Yaling), 张连桥 (Zhang Lianqiao)

摘要：《晚安，妈妈》是美国剧作家玛莎·诺曼的代表作，自1979年百老汇首演以来，就以极简舞台设置和深邃思想性成为20世纪女性主义戏剧经典。围绕《晚安，妈妈》展开研究，聚焦女性身份建构与伦理困境。在女性身份建构层面，剖析社会角色规训致使的身份异化、自我认知里的矛盾挣扎；伦理困境呈现上，探讨生命伦理、家庭伦理与性别伦理方面的困境。深入挖掘女性身份建构对伦理困境的影响，及伦理困境对身份建构的规约，借剧本洞察女性在复杂社会、家庭语境下的生存境遇与精神冲突。

关键词：《晚安，妈妈》；玛莎·诺曼；女性身份建构；伦理困境

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Title: The Dignified Gunshot: Female Identity Construction and Ethical Dilemma in *'night, Mother*

Abstract: *'night, Mother*, as the seminal work of American playwright Marsha Norman, has established its canonical status in 20th-century feminist theatre through minimalist staging and profound philosophical depth since its 1979 Broadway premiere. This study centers on *'night, Mother* to investigate female identity formation and ethical quandaries. Within the dimension of female identity formation, the study dissects ontological alienation induced by societal role

discipline alongside epistemological tensions within self-cognition. Within the presentation of ethical quandaries, it explores quandaries concerning bioethics, family ethics, and gender ethics. the research further excavates the impact of female identity formation on ethical quandaries and the reciprocal impact of ethical quandaries on female identity formation, thereby illuminating women's existential states and psychological conflicts within complex social and familial contexts.

Keywords: *'night, Mother*; Marsha Norman; Female Identity Formation; Ethical Quandaries

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引言

玛莎·诺曼 (Marsha Norman, 1947-) 的《晚安, 妈妈》(*'night, Mother*) 是一场生命的告别, 在当代美国戏剧史上留下深刻的印迹。这部作品讨论家庭关系和存在主义哲学, 斩获 1982 年苏珊·史密斯·布莱克本奖、1983 年普利策戏剧奖, 是百老汇保留剧目。当代戏剧批评家珍妮·布朗 (J.Brown) 称赞诺曼“或许是当今美国从事严肃女性主义戏剧创作最为成功的作家”(蔡佳露、贺安芳, 2018, p.3)。“诺曼通常将其剧作设定在一个单独封闭的房间或者房子内, 同时写实风格的布景、平常的 (有时为下层社会) 角色、其中所呈现的日常生活图景以及适用的日常语言, 勾勒出一个容易辨识的现实社会环境。”(陈莉莎, 2009, p.117) 剧情在一栋美国乡村房屋内展开, 仅有的两位角色, 母亲塞尔玛与女儿杰茜上演一场死亡倒计时。杰茜告知母亲她将用父亲的手枪自杀后, 剧情在塞尔玛震惊劝阻到情感崩溃、杰茜冷静整理后事的冲突中推进。于观众而言, 终极悬念是死亡是否发生, 于剧作家和研究者而言, 更重要的是, 该剧如何通过母女二人道德对话, 层层剥开当代女性个体的生存困境。

女儿杰茜的生活充满烦恼: 癫痫缠身、婚姻破裂、儿子犯罪, 而母亲塞尔玛作为典型的妥协者, 以“等待”麻痹生活中的痛苦, 始终未能理解女儿的绝望。“诺曼的另一个不同之处是, 她的作品关注弱者的另类生存状态, 也就是‘不曾被注意到的小人物’的痛苦生活, 关注这些人的意义在于所有的生命都是平等的, 所有的生命都应该被关注、被珍惜。”(朱姝, 2008, p.95) 这部剧作从女性生活体验出发, 通过母女对话, 揭示了当代女性在身份建构过程和伦理困境中的内心挣扎。杰茜用父亲的手枪解脱自己, 剧作家诺曼实际上是想通过女性身体的自主选择, 挑战性别规范下“生存责任”的伦理束缚。作品的台词渗透着对存在主义哲学与女性觉醒的思考。这部剧作在戏剧史的地位, 绝不是依赖奖项包装, 是因为直击灵魂的对话和对家庭关系隐秘创伤的赤裸呈现。剧中生活化对白打破传统宏大叙事, 让观众在厨房、起居室这些日常场景中, 思考生存命题。

一、《晚安，妈妈》中的女性身份建构

文学伦理学批评认为，“人的身份是一个人在社会中存在的标识，人需要承担身份所赋予的责任与义务。身份从来源上说可以分为两种，一种是与生俱来的，如血缘所决定的血亲的身份。一种是后天获取的，如丈夫和妻子的身份”。（聂珍钊，2014，p.263）萨特认为，自由和责任是人之为人的两个必要和绝对条件。在《晚安，妈妈》中，女儿、妻子、母亲，无论哪个身份，杰茜都有照顾者的伦理责任。剧中整理杂物的日常细节，是社会规训在家庭场景的微观体现，那些被归为女性天职的行为，实际上是看不见的精神枷锁。传统婚姻模式将杰茜定义为稳定家庭的维系者，可丈夫的冷漠和儿子的堕落，让她期待落空，形成反差。当社会用贤妻良母的标准衡量她的价值时，她的“失败”恰恰说明这种角色预设的不合理。她平静地做着家务，重复擦拭器皿、换垃圾袋的机械动作，象征着自我意识在生活琐碎中慢慢流失。社会对她癫痫病症的隐性偏见，给她贴上异样的标签，让她主动疏离了职业场域与公共空间的社交参与，自主选择收缩至家庭这一封闭空间，结果却陷入家庭和社会双重放逐的困境。这种自我封闭本质上是女性对不符合社会期待的生存压力作出的主动退避，可见规训体系下，女性为维系自我认同，将生活场域收缩至家庭内部的无奈选择，这正体现社会规范对性别身份的深刻塑造。

（一）社会角色规训下的身份异化

在社会对女性角色的期待和规范下，女性的身份建构往往与她们追求个人尊严和自我实现的渴望发生冲突。杰茜的悲剧命运就源于她的各种身份，聂珍钊谈到：“在文学文本中，所有伦理问题的产生往往都同伦理身份相关。”（聂珍钊，2014，p.263）《晚安，妈妈》将社会规训对个体的压迫、个体寻求存在本真的挣扎，浓缩在厨房与客厅的有限空间。

可以说，杰茜的悲剧源于角色期待与现实自我的断裂。塞尔玛对生活的理解、对事物的回应方式，带着时代与性别规训的烙印；杰茜试图挣脱，却难以完全剥离成长中被影响的部分。面对杰茜的自杀决定，塞尔玛本能地以母亲身份劝阻，作为母亲，要守护孩子，维系家庭完整，而杰茜坚持自我意志，不再被母亲期待绑架。杰茜在女儿、妻子、母亲等多重预设角色中失去自我本真，最终走向生存意义的彻底崩塌。

杰茜整理遗物时的冷静与谈论死亡时的坦然，实则是对身份异化的反抗。这种身份异化并非单一维度的压迫，而是家庭、婚姻、社会等维度的规训机制，逐步将个体的主体性蚕食殆尽。社会用婚姻成败、子女管教效果等外部标准定义她的价值，层层叠叠的角色标签，将人异化为符合规范的标准件，当个体无法承受这种异化时，唯一解法可能是生命的终结。

杰茜将人生比作坐车，她说：“我什么时候想下就下，只要坐够了，那就是到站了。我现在已经坐够了。”^①母亲塞尔玛则将生活视为各种琐事的合集，已经被规训到麻木状态了：“你可以猜猜谜，整整花园，清清阁楼，要么逛逛商店”，两代人对生命的不同理解，使她们虽然站在彼此身边，却像隔着银河。“故事的主要人物是两个女人，男性在这里是缺席的；其次，两个女人的关系的实质是母女之间意志的冲突，人类原本最亲密的关系在这里被异化。”（刘秀玉，2008，p.59）在这部作品中，剧作家“成功有效地使用了舞台之外的人物形象，所有的男性人物，如主人公的父亲、丈夫、兄长和儿子都被安排在舞台之外，上场的人物被缩减为母女二人。”（岑玮，2010，p.96）剧中男性角色的集体缺席（父亲、丈夫、儿子），使得杰茜被迫承担多重角色：既要履行被规定的女性义务，又要填补男性缺席留下的责任空白，这使她陷入“必须强大却无法如想象般强大”的悖论。“杰茜的迷惑和孤独是荒谬境遇里现代人生存状态及精神世界的缩影，面对丧失自我这样的难题，杰茜无法改变而选择了死亡。”（蔡晓燕，2008，p.47）杰茜的选择最终指向对存在真实性的思索：社会用无数角

^① 凡引自玛莎·诺曼《晚安，妈妈》中的内容，均出自：Marsha Norman(1998-01): 'night, Mother. Dramatist's Play Service, 1998年1月。ISBN: 9780822208211，原作为英文，引用处中文为本文作者自译，不另作注。

色标签定义人时，个体还有剥离所有附加属性、直面本真自我的可能吗？这一质问直指当代人的普遍困境，引导观众思考：我们是否也在无形的规训中，被动地成为了角色的奴隶？

（二）自我认知的矛盾与挣扎

剧中虽未直接写明杰茜的职业梦想，却隐隐透露出曾试图掌控生活、定义自我的女性轮廓，可惜早在癫痫病、失败婚姻的挤压下，变得模糊。女性在自我认知与社会期望间经历矛盾和挣扎，这种内心斗争常威胁到她们的尊严感和自我价值的确认。杰茜的认知被长期以来扭曲的生活观念左右，她说：“我这辈子什么也干不了。”这一自我贬低的背后，是社会没给她施展能力的空间，她在社会上找不到立足之地，自我认知出现矛盾与挣扎。给母亲煮热巧克力时，她下意识地表现得温顺体贴，这是社会教给她的女儿该有的样子；可当她谈论自杀时，又完全打破了这种规则，宣告要按自己的意愿活或死。

一般来说，自杀常被认为是软弱的表现，但杰茜偏要用这种方式反抗，她说“我坐够了”，意思是“我不想再演了”。母亲那种用生活琐事拼凑起来的活法，在她眼里就是对现实的妥协和假装，她做出了伦理选择。她选择结束生命，不再当顺从者。文学伦理学批评强调，“人类的生物性选择与伦理选择是两种本质不同的选择，前者是人的形式的选择，后者是人的本质的选择。”（聂珍钊，2014，p.35）杰茜清晰地感知到，外界定义的身份与自我认知的割裂。婚姻失败、儿子教育问题，她不愿意再用社会期待的“完美女性角色”的标签绑架自己。自杀这一伦理选择，是杰茜试图确认自我存在的极端方式。

存在主义是解读这一剧本的有力工具，“存在主义之所以能够被广泛接受，一个非常重要的原因就是它关注的核心问题不是抽象真理或者说先验准则，而是作为个体的主观实在”（聂珍钊、王松林，2020，p.183）杰茜冷静规划死亡，平静地整理物品，给母亲订购牛奶，向母亲明确表示自己将要自杀，“我要自杀，妈妈。再过两个小时”，以主动终结生命的行为，宣示对自我的掌控权，在生死抉择上的自主性，是她对自己生命拥有主导权的表达。面对母亲的劝阻，她始终没有动摇，没有想过放弃自杀，还是以决绝的方式，完成这场关于自我认知的思考，冷静且坚决地安排着自己离世前的种种事宜，按照自己的意愿处理最后几件事，掌控自己生命的最后时光。就像路易斯安那州立大学的比尔·德马斯特教授所说的，“戏剧提倡的并不是自杀这一行为，而是意识自主性。”（刘海平、朱雪峰，2004，p.485）“晚安，妈妈”，是杰茜以自杀者的主体身份说的话，于她而言，社会的女儿、妻子、母亲这些标签，都说不清楚“我到底是谁”，只有自己主动结束生命，才是对自身存在的确认。

二、《晚安，妈妈》中的伦理困境呈现

“伦理困境指文学文本中由于伦理混乱而给人物带来的难以解决的矛盾与冲突。”（聂珍钊，2014，p.258）可从生命伦理困境、家庭伦理困境和性别伦理困境三个层面，对该剧进行剖析。生命伦理困境侧重于个体生命自主权与传统生命神圣观念间的冲突，探讨当疾病或创伤消解生存意义时，生存或自杀行为的价值。家庭伦理困境是从家庭视角出发，分析代际情感联系、家庭责任和个体自主选择间的关系，揭示亲密关系理解和控制的边界。性别伦理困境常关注性别权力结构等方面的问题，探讨性别因素如何影响个体的自主性、选择权和伦理道德判断。“在玛莎·诺曼的戏剧世界中，现实对她的女主角总是不公平和残酷的。她们被牢牢地困在社会或家庭的困境之中。”（石坚，1998，p.134）深入解析该剧中这三类伦理困境，有助于反思当代社会中的伦理问题。

（一）生命伦理困境

传统伦理常把自杀视为对生命不负责，认为这违背人对家庭、社会的义务，但杰茜的逻辑是，如果活着本身就是无法缓解的痛苦，个体有没有决定生命的自主权？她在阁楼寻找父亲手枪、冷静擦拭的细节，表明这不是一时冲动逃避，而是经过思考后的决定。

杰茜在剧中反复整理冰箱、罗列购物清单、交代家务细节，这些整理行为是她在彻底离开前，“自我存在”的最后一次彰显。她坚持把糖果罐按口味分类、将旧毛巾和垃圾袋归置整齐，以物品有序模拟生命有序，用控制外物的仪式感，为死亡赋予主动选择的意义，而非被动接受。她知道自杀是对生命的否定，却主动规划死后的细节，安排母亲要做什么，将被动的死亡转化为主动的选择。杰茜说：“死亡是黑夜，是安静。”“我要安静得自己都感觉不出安静了。我要没有人能找到我。甚至我都不知道我在哪儿。这样我就平安了。”她将死亡视为解脱现实痛苦的方式，核心是通过终结生命来逃离“存在的煎熬”。当个体被疾病、家庭、社会等多重力量挤压至“存在无意义”的绝境时，自杀是否是唯一的“自由选择”？她整理完物品后平静擦枪的细节，正是内心矛盾的具象化——毁灭与掌控、绝望与自主，最终她选择自杀作为“存在过”的终极证明，当个体找不到“活着的意义”时，主动选择死亡或许是唯一可以掌控的自由。

杰茜谈及自杀计划获取子弹的经过时，透露了兄弟道森“以为我对子弹感兴趣”，她对道森说担心有小偷，道森便热心地告知她购买子弹的途径，还帮忙联系商家送子弹上门，这反映了她的孤独与被误解，无法得到真正的理解与关注。道森以为她是“对事物感兴趣了”，想与她多交流，却全然不知杰茜内心的绝望和孤立无援。杰茜的抉择最终指向生命伦理的核心命题：伦理的本质究竟是维持“活着”的状态，还是尊重个体对“如何有意义地活着”的价值判断？她整理物品、对他人进行最后交代，以毁灭生命的方式，践行着扭曲的“责任”，在终结责任前最后一次承担责任，以否定生命的方式确认自我存在。这反映了当代人在生命伦理上的困境：当疾病和创伤耗尽生命意义的时候，杰茜的自杀不是不爱惜生命，而是在抗议这种没有意义的活法。如果活着不能让人有尊严、有价值，人在社会角色的束缚下失去了自我，那么传统观念里“生命神圣”的说法，反而成了束缚人的枷锁？真正的生命伦理，不应只强调“人必须活着”，而应先创造出让人觉得“活着有意义”的社会环境。

（二）家庭伦理困境

杰茜自杀决定深刻揭示家庭伦理中个体和家庭间的复杂矛盾，还有家庭伦理责任和个人需求发生冲突引发的悲剧。文学伦理学批评重视人和人间的伦理关系，“这种关系不仅意味着相互承担的伦理责任，也意味着对彼此的理解、同情和包容。”（聂珍钊、王松林，2020，p.238）杰茜的决定是对传统家庭伦理观念的反抗，家庭伦理核心观念就是牺牲和责任，但杰茜的内心需求未曾得到真正理解和尊重，自杀是反抗，以极端手段表达自我身份和自由。

代沟加剧了母女关系的紧张，双方的沟通存在错位，母亲塞尔玛在对话中不断尝试弥补自身的不足，但她并没有真正理解杰茜的深层次需求，反而让她感到更压抑和不被理解。塞尔玛叮嘱杰茜家里饼干快没了、蛋糕也需购置，透露出她对家庭日常琐事的上心，希望家庭生活稳定宁静；谈及杰茜的癫痫病情时，塞尔玛的关心展露无遗，她向杰茜描述其发病时的状态：冰冷的手、呕吐的泡沫、苍白的面容……时刻关注着女儿身体状况的每一个细微变化。但是，塞尔玛这些关心行为，在杰茜眼中却逐渐变了味，塞尔玛过度关注家中物品储备、对多方面掌控家中事务，极大压缩杰茜的私人空间。杰茜的生活被严格规范，没有自主安排生活的权利。杰茜想有更多生活主导权，但塞尔

玛事无巨细的关心方式，和杰茜背道而驰，母女二人产生巨大认知鸿沟，引发矛盾冲突。杰茜痛苦不是因为母亲无情，是因为母亲压制她的生活主导权，缺乏对她真实感受的理解。

真正的家庭责任，要建立在尊重个体自主权和自由的基础上，要允许每个成员有成长空间和自由，有效沟通，相互支持。《晚安，妈妈》展现了家庭伦理的冲突和困境，深刻探讨个体自主和家庭责任间的微妙平衡，旨在提醒观众在追求家庭责任时，也要关注家庭成员间的理解、沟通和支持，避免无法挽回的伤害。

（三）性别伦理困境

在传统的社会结构中，女性常被赋予顺从和牺牲的角色，这是因为社会长期以来的性别不平等和对女性价值的狭隘定义。“杰茜面临的困境是女性在父权社会中建立独立身份时难以回避的。”（黄姗姗，2009，p.125）“‘父权’作为一种以男性为中心的系统性权力结构，通过家庭、教育、媒体等社会场域，将‘男性主导—女性从属’的性别秩序制度化，既赋予男性对女性的支配权，又通过标准化的价值体系，如‘淑女规范’‘女性天职’‘女神化’等符号化倾向实现对女性的驯化，而这种驯化的实现，离不开‘规训权力’这一关键机制。”（黄思涵、张连桥，2025，p.265）杰茜婚姻的破裂，深刻暴露出女性在家庭和社会中的不平等地位。社会往往将女性的价值与婚姻挂钩，婚姻失败使杰茜内心产生自我怀疑与痛苦，来自外界和内心的双重压力，使她对生活产生了深深的绝望。

杰茜自杀的选择不是一般的选择，而是两难选择。“伦理两难是难以做出选择的，一旦做出选择就往往导致悲剧。”（聂珍钊，2014，p.268）按照传统道德观念，自杀被视为逃避责任、不符合女性坚韧和奉献精神的行为。然而，杰茜在经历了病痛、婚姻破裂、儿子入狱等种种打击后，她的生活已毫无意义，自杀是她找到的唯一一个控制自己命运的方法，既然遵循社会规则无法找到自我，那打破规则甚至结束生命，便成了她唯一的反抗途径。杰茜选择使用父亲的手枪自杀，以暴力的方式打破“女性死亡应温柔消逝”的传统叙事，宣告了对自己身体自主权的最终掌控。杰茜自杀后，塞尔玛“拿起煮巧克力的锅，带着它一起来到电话旁”，即便面对女儿的死亡，她依然无法摆脱厨房这一女性身份的象征，陷入传统性别角色的束缚中。作为上一代女性，她的生活被无数琐事填满，早已习惯了顺从社会对女性的要求。“主体性丧失的母亲无法为女儿树立一个正面的形象，也不能为女儿创造一个适宜生存的空间。”（贺安芳，2013，p.35）“母亲西尔玛并不是一个愚钝的女人，对生活她有宿命的信念，一切都听天由命。”（朱姝，2008，p.96）她坚持说“还可能发生什么事，能改变一切的事”，塞尔玛的生活状态就是等待，在无聊中等待、在琐碎的小事中等待，无尽等待……她把自己限于“贤妻良母”的传统框架中，面对女儿杰茜的困境，也只是从传统角度去劝解，没有真正理解杰茜内心的痛苦与渴望。塞尔玛无法突破社会长期以来对女性角色的单一定义，没有过“女性是独立个体”的意识，自然也不知道怎么面对女儿杰茜作为独立个体的需求。

根据女性主义地理学的观点，“男性占据市场、办公场所等公共空间，而女性则被划归到家庭、花园等私人空间。”（黎林，2018，p.128）剧中的空间象征也充满性别伦理的隐喻：厨房和客厅是塞尔玛的“权力空间”，正是女性被局限的传统生活空间，“不仅构建了塞尔玛的身份，塞尔玛本人也通过自己的行为不断巩固空间固有的压迫性。”（黎林，2018，p.130）；杰茜的卧室则是她的“私密领域”，在这里，她只属于自己，锁上门自尽的举动是对卧室以外的性别空间的反抗；而藏有父亲手枪的阁楼，作为“家庭的边缘地带”，暗示男性权力尽管隐匿，但仍在家庭结构中占据重要地位。杰茜的父亲虽然未曾出现在剧中，但他留下的手枪成为杰茜自杀的工具，这一细节有深刻的象征意义。

即便父亲离开后不再参与家庭生活，但他的影响力深深嵌入家庭生活的每个角落，甚至影响着家中女性的命运。“现实主义的叙事手法和写实的女性生活经验之下，隐藏着作者独具匠心的叛逆性，这也是女性主义剧作家的共性之一。”（刘秀玉，2008，p.59）父亲、丈夫、儿子，这些未登场的男性角色，也是操纵剧中女性命运的隐形枷锁。《晚安妈妈》中的性别伦理困境，本质上反映了当代女性在传统角色与个人意识间的拉扯。杰茜的枪声打破了“好女儿”、“好妻子”的性别神话，塞尔玛直到最后还“低头看锅，紧紧地攥住它，犹如这是她的生命线”，给观众留下了深刻的思考，女性解放不仅需要打破外在制度的桎梏，也需要解构内心的性别规范。

三、女性身份建构与伦理困境的互动机制

社会认同理论认为，个体将社会中的各类人群进行区分，并将自己所属的群体视为“我群”。个体将自己归属于某群体，并对该群体产生认同。（聂文娟，2011，p.89）在《晚安妈妈》中，杰茜渴望独立与自我实现，在“反抗规范无法满足母亲的期待”与“顺从规范会失去自我”的伦理困境间挣扎。杰茜最终选择自尽，实际上是想摆脱这些身份，跳出困境。身份建构和伦理困境的互动，时刻发生在和杰茜有一样处境的女性们的身上。

（一）社会身份对伦理困境的影响

“社会身份的性质是伦理的性质，社会身份也就是伦理身份。”（聂珍钊，2014，p.264）在《晚安，妈妈》的故事里，杰茜的人生犹如被命运之手反复揉搓的纸团，身上背负着多重难以卸下的身份重担，她的各种社会身份如同一张密不透风的大网，将她紧紧笼罩在复杂的伦理困境中。聂珍钊教授认为，“伦理身份是道德行为及道德规范的前提，并对道德行为主体产生约束。”（聂珍钊，2014，p.264）家庭中，母亲塞尔玛对女儿杰茜寄予厚望，期待她安稳遵循传统女性生活轨迹，相夫教子、和睦持家。儿子的入狱使作为母亲的她陷入深深自责。这些不同身份带来的失败感，让她在亲情关系中陷入了无尽愧疚和痛苦。婚姻中，传统婚姻模式要求女性以丈夫为中心，将家庭视为生活全部重心，这些外界评判，引发了她内心深处强烈的自我否定。在激烈的社会竞争中，杰茜长期受癫痫病折磨，精力和体力都远不如常人，难以在事业实现自我价值。

文学伦理学批评认为，“只有意识到其他道德主体的需要和欲求时，自由的价值才能被更深切地感受到。”（聂珍钊、王松林，2020，p.233）杰茜在痛苦的思考中不断挣扎，无所适从。杰茜产生严重的身份认知偏差，在婚姻失败、儿子入狱等一系列问题中过度放大自身责任，忽视社会环境对婚姻观念的影响、家庭结构中其他成员的作用等外部因素。她陷入自我否定的深渊，认为自己毫无价值，引发她对生命意义的质疑。她无法在现有身份中找到存在的意义，选择以自杀这一极端的方式寻求解脱。实际上，杰茜作为女儿，对母亲的情感和责任认知存在偏差。她内心深处渴望得到母亲的理解，可在与母亲的相处时，又不彻底讲明，让母亲走进自己的内心世界。这种矛盾心理，使她在处理与母亲的关系时，既依赖母亲的关爱，又对母亲的不理解产生抗拒。杰茜的经历是令人痛心的悲剧，揭示当代社会女性身份建构的过程，以及引发的身份认知偏差对个人判断和选择有多么大的影响，引导观众思考社会对女性身份的定位、价值评判和伦理观念。

（二）伦理困境对身份建构的规约

在《晚安，妈妈》紧凑而压抑的叙事里，杰茜人生中的多重伦理困境将她层层围困，如同不断

收紧的绳索，勒住了她。“情感是人与客观物质世界的媒介，直观情感和“不可名状的情感”共同构成了主体行动的依据，但后者随时可将主体抛入失控状态”（郭然，2025，p.137），杰茜身份建构的空间充斥着家庭内部的情感关系和各种责任关系，这些伦理困境对她的身份建构有着显著的规约。

首先，癫痫带来的病痛折磨着杰茜的身体，还影响了她的社会交往和心理状态。社会期待女性独立能干，可她连维持正常生活都困难重重，杰茜的癫痫症是她的困境，但这个病已经成为她的最大特征，限制她的各项行为。无法正常参与社会工作，使她感到自己是一个不完整的人，无法完成自我价值的实现。其次，杰茜与母亲塞尔玛的关系也是她时时刻刻必须面对的处境。塞尔玛对杰茜的生活进行了广泛的干预，从日常生活的小事，到对杰茜人生的规划，使杰茜无法全身心地追求自我独立和自主，还需要背负着来自母亲塞尔玛的沉重情感负担和道德责任。杰茜与母亲塞尔玛间的关系确实已经失去平衡，这种失衡深刻地影响了杰茜的身份认同与建构，并推动她走向自杀的悲剧性结局。再者，杰茜与前夫赛希尔的关系也是理解杰茜的行为的重要情感线索，他们的关系对杰茜的身份建构也有所规约。尽管赛希尔已经离开，但他对杰茜的影响仍然存在。听到母亲说赛希尔另找了个姑娘时，杰茜沉默了，这沉默可能包含了失落、背叛感、对过去关系的怀念，或者对未来的不确定。她的健康状况、家庭关系和过去的婚姻都对她的自我认知和自我价值感产生影响，这些伦理困境如潮水般一次次冲击着杰茜，最终导致她采取极端行动。她也想继续做一个让母亲骄傲的女儿、维持好家庭的妻子和母亲，但内心对自由和自我价值的渴望又无比强烈。社会要求女性默默忍受痛苦、以家庭为重，可她实在无法在这样的框架里获得真正的满足，对自己存在价值的根本性质疑如影随形，身份认同的危机也越来越严重。

女性在伦理困境中进行身份重构，面临着太多难以克服的阻碍，社会文化中根深蒂固的传统伦理观念，是横亘在前面的一座大山。杰茜的自杀行为是对现有身份的反抗，用结束生命这样决绝的方式，摆脱传统伦理强加给自己的角色枷锁。文学伦理学批评认为，“审美不是文学的属性，而是文学的功能，是文学功利实现的媒介。……任何文学作品都带有功利性，这种功利性就是教诲。”（聂珍钊，2010，p.17）所以，文学作品用角色选择推动情节发展，承载作者的情感表达，实现作品教诲意义。剧作家诺曼“以一种后现代的方式来解放女性身上的束缚，挑战男权中心的社会，表现了对社会底层女性的人文关怀。”（徐瀛，2021，p.59）英国戏剧理论家、教授 J. L. 斯泰恩认为，“戏剧的意义不可能只存在于文字中，而存在于声音和语调中，存在于说话的节奏和沉默中；此外，还存在于演员的姿态和表情中，他与其他演员之间身体上的区别，悲剧的凝重和喜剧的生动，以及微妙的文体风格。在舞台上太多不同的元素在同时创造意义，以至于用其自身以外的术语来识别它是不恰当的。经验就是意义。”（J. L. Styan，1975，p.27）戏剧的意义通过观众的体验展现出来，随着剧情发展，观众感受到杰茜的绝望痛苦。那声尊严的枪响穿透四十多年的时空，至今仍在拷问每个观众，这个世界是否有给予女性足够的理由和空间在人生路上前行？

综上，《晚安，妈妈》中杰茜因传统性别角色重压走向悲剧，失败婚姻、儿子犯罪、令母亲失望，加上癫痫疾病缠身，都是对她的桎梏。杰茜的经历，是无数处于伦理困境中女性的缩影，她的故事展现女性在试图重构身份时面临的艰难处境。这部戏剧警示人们重新思考人该如何活着、存在的意义这些永恒命题，思考如何构建更包容的伦理体系，从教育、职场和家庭等多维度入手关注女性困

境, 让女性能够不再被传统观念所困, 自由地探索和发展属于自己的身份及人生。

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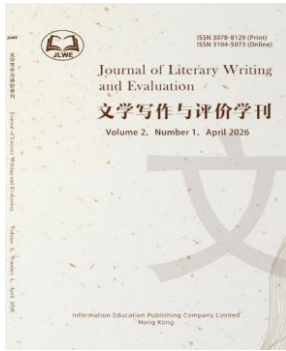
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论《面纱》中的生存困境与凯蒂的伦理选择

王青璐 (Wang Qinglu)

摘要: 英国小说家毛姆在《面纱》中通过虚构白人殖民者凯蒂和瓦尔特的生存困境，表达对英国海外殖民统治发展的关注和隐忧。凯蒂在婚姻生活中遭遇的生存困境既是西方男性中心主义对女性的性别暴力的结果，也是西方殖民系统内权力结构作用的结果。瓦尔特的生存困境指向了西方殖民系统内由权力分配问题引起的伦理混乱现状。最终，凯蒂通过伦理选择重建自我主体性，在萌生自我意识和责任意识后，获得新生。

关键词: 《面纱》；殖民；生存困境；伦理选择

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Title: On the Survival Dilemma and Katie's Ethical Choices in *The Painted Veil*

Abstract: British novelist Maugham expresses his concern for the development of British overseas colonial rule in *The Painted Veil* by fictionalizing the survival difficulties of white colonizers Katie and Walter. Katie's survival dilemma in her marital life is not only a result of Western male centered gender violence against women, but also a result of the power structure within the Western colonial system. Walter's survival dilemma points to the ethical chaos caused by power distribution issues within the Western colonial system. Ultimately, Katie reconstructs her self-subjectivity through ethical choices. Having awakened her sense of self and responsibility, she attains a new lease on life.

Keywords: *The Painted Veil*; Colonize; Survival Dilemma; Ethical Choice

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英国小说家威廉·萨默塞特·毛姆（William Somerset Maugham, 1874—1965）被认为是认同优生学的“种族主义者”（蒋天平，胡朝霞，2023，p.55），用写作表达对“帝国前途的忧虑”（陈兵，2016，p.111）的作家。之外，毛姆的作品也被认为具有丰富的伦理内涵，被研究者指出他的作品肯定了“每个人都有存在的潜力和伦理选择”，“是简单地在‘自尊和习惯的平庸常规’中‘摆脱我们唯一的生活’，还是积极地努力欣赏和实现我们的个性和独特的本性。人生最大的错误就是没有坚持后者”（Adams，2016，p.126）。小说《面纱》（*The Painted Veil*, 1925）是一部通过人物在逆境中的伦理选择和道德反思来实现自我救赎的作品。小说中，毛姆虚构了英国白人夫妇瓦尔特和凯蒂在英属殖民地香港和中国内地湄潭府遭遇的生活困境，来反映英国海外殖民统治走向衰落时期内部的混乱和无序。两人虽是殖民大军的一员，却都遭遇到统治阶层内部权力结构和话语系统的压迫。已婚的凯蒂同殖民地统治者查尔斯发生奸情既是情欲的结果，也同男权中心文化和殖民地统治系统中的暴力结构相关，其所受到的惩罚是前往危险的疫区湄潭府。瓦尔特则是在妻子的背叛和怀孕的打击下，意识到自身“男性气质”的建构失败，同殖民地男性统治者的气质不符，因而心灰意冷，选择离开人世。不同于瓦尔特，凯蒂清醒地挣脱了传统殖民话语和男权中心主义的思维禁锢，通过伦理选择努力地探寻理想的生活，完成主体建构。本研究分别从凯蒂和瓦尔特两人遭遇的生存困境切入，梳理两人的生存困境同男权中心主义和殖民地话语权力结构的关系，再通过分析两人不同的结局来认识《面纱》对西方海外殖民统治没落时期的艺术呈现。

一、性别暴力与凯蒂的生存困境

主人公凯蒂遭遇的生存困境同其伦理身份和所处环境中的性别暴力相关。“伦理身份有多种分类”，包括“以血亲为基础的身份、以伦理关系为基础的身份、以道德规范为基础的身份、以集体和社会关系为基础的身份、以从事的职业为基础的身份等”（聂珍钊，2014，p.263）。凯蒂在婚前是家中待嫁的女儿，婚后是细菌学家瓦尔特的妻子，来到香港后成为助理布政司查尔斯的情妇。二人不正当关系的秘密被曝光后，她被丈夫瓦尔特带到霍乱肆虐的中国内地湄潭府，回到香港前成为寡妇。小说结尾，寡妇凯蒂独自回到英国，同父亲团聚，并一起前往巴哈马群岛。

性别暴力是现实中性别权力运作的结果。凯蒂生活在一个剥夺女性的自由和权利的环境中。毛姆写作《面纱》时，英国正经历严重的经济问题，二十世纪初期“战争带来的巨额开支导致税收大幅增加”，也有人认为，“英国在战后错失了改革本国经济结构的机会”（Macdowall，1989，p.164）。国内的萧条，让英国“在20世纪20年代面临一场严重的政治危机”（Macdowall，1989，p.165）。20世纪初的英国社会依旧是以传统的男权文化为中心的社会。凯蒂在家中同母亲贾斯汀夫人形成紧密的母女共生关系。伊基·弗洛伊德研究母女关系时指出，母女双方在共生幻想中会“建立起一种镜像关系，她们通过相互依赖对方来维持自己的自我价值感”（弗洛伊德，2014，p.26）。贾斯汀夫人

是一位势利、“尖酸刻薄”，“支配欲极强”^①（毛姆，2006，p.13）的女人。虽然她的丈夫贾斯汀先生才是“全家的衣食来源”，但他的事业发展呈现出停滞的趋势，没法满足贾斯汀夫人。由此，把希望寄托在凯蒂、多丽丝两个女儿身上，期待给天生美人胚子的大女儿凯蒂找一个杰出的丈夫，以满足自己的虚荣心。可由于凯蒂一直没有找到满意的夫婿，还被刚满十八岁的妹妹多丽丝抢先订婚，她就在冲动之下完成了结婚的任务，嫁给了长相平庸、社会地位较为普通的细菌学家瓦尔特·费恩。

婚后凯蒂没有及时完成同身份转变相关的自我认知改变，在随丈夫来到香港殖民地后，受到殖民地交际圈中的阶层意识影响，做出了背离妻子的伦理身份和伦理义务的行为。凯蒂在香港遭遇的婚姻问题清晰地反映出殖民地中存在的社会矛盾与阶层冲突。她在婚前曾是社交界的明星，但在香港殖民地社交圈中没有人把她真正当回事，根本原因是丈夫瓦尔特的收入和社会地位都不高。出于对丈夫，对生活的失望，凯蒂逐渐疏远了丈夫，还偷偷地和殖民地助理布政司查尔斯·唐生私通。查尔斯已经四十岁了，长相高大英俊，穿着讲究有品位，是殖民地上最受欢迎的人。有了情人后，凯蒂开始幻想查尔斯能和原配妻子多萝西离婚，再同自己结婚。她以触犯婚姻禁忌的方式，来达到成为社交界的中心的目的。禁忌的产生是“人对身上的兽性部分即人的本能加以控制的结果”（聂珍钊，2014，p.261）。殖民地上的权力秩序诱惑凯蒂不再遵守相应的禁忌，她和瓦尔特之间由婚姻缔结的亲密联盟关系被打破。在凯蒂不正当关系被发现后，遭到了瓦尔特的报复。

触犯婚姻禁忌的后果对殖民地上不同阶层的男女而言是全然不同的。秘密曝光后，来自殖民地社会结构的权力暴力同婚姻秩序中的性别暴力同时惩罚着凯蒂。不正当关系威胁了查尔斯的生活。他已经同妻子多萝西形成了紧密的利益共同体。多萝西则是殖民地贵妇的代表，其父一度官至殖民地总督。她从不把丈夫的风流韵事当回事儿，还表示愿意和查理的情人们交朋友。查尔斯享受着多萝西家族带来的政治利益，由此不敢得罪多萝西。在凯蒂到办公室请求查尔斯帮忙时，他茫然地望着对面墙上挂着的一张中国地图，拒绝了凯蒂的请求。由此，凯蒂也意识到自己和查尔斯虽然是破坏伦理禁忌的共谋，但始终是不平等的关系。查尔斯除了是她的情人，还是她和瓦尔特的上级、统治者。查尔斯劝说凯蒂陪瓦尔特一齐去疫区，指出只要瓦尔特能回来，就能升官发财，得到圣迈克尔和圣乔治勋爵的称号。另外，他还表示如果事情到了不可收拾的地步，就去动用殖民地中的权力关系，请总督大人平息此事，让瓦尔特“领会权力的意思”（64）。查尔斯可以利用殖民地统治系统中的暴力结构来威胁凯蒂，瓦尔特则用主流婚姻秩序中的贞洁观念强迫凯蒂。他提出凯蒂可以留在香港，但必须先让查尔斯同多萝西离婚，再嫁给查尔斯；如果不能嫁给查尔斯，就必须陪自己前往疫区湄潭府。瓦尔特直接否定了凯蒂独自留在香港或回到英国娘家的可能，凯蒂不能独自呆在香港。而他之所以提出要一起去疫区湄潭府，是想借霍乱杀死凯蒂。

湄潭府虽然远离英国和殖民地香港，但却是一个处处存在着性别规训的符号，充满暴力关系的危险空间。在前往湄潭府的路上，轿夫有意让凯蒂在进城前看看伫立在山坡上的一座“为某位祈人多福的贤人或者贞洁的寡妇建的”（80）拱门。拱门是一个“记忆场”，“兼具实体性和精神性”（赵静蓉，2015，p.165）。在东方，拱门是道德秩序的标记。在凯蒂眼中，拱门是一种隐隐约约的威胁，在对她的嘲笑。附近的竹林里藏着什么人，正注视着她经过似的。拱门也是一道标志地理位置的边界之门，提醒凯蒂：她是因为触犯了婚姻禁忌，才被流放到远在西方现代世界之外的“蛮荒之地”。

^① 毛姆（2006）：《面纱》。重庆出版社：第13页。以下引文只标注页码，不再一一说明。

可事实上，真正导致凯蒂生活悲剧的是被权力扭曲的思想观念。直到前往湄潭府，她还企图通过丈夫来获得他人的关注和肯定，通过婚姻改善自己的生活处境。被发配至远离西方文明中心的湄潭府的命运，则宣告凯蒂婚姻观和生活观的彻底失效。

瓦尔特在湄潭府感染病毒离世，怀孕的凯蒂重新回到香港。变成寡妇对凯蒂而言是不光彩的，因为她没有通过婚姻获取自己在殖民地上想要得到的地位和财富，相反丈夫的去世让她退回到起点。选择居住的酒店就能反映出凯蒂对自己的定位，在殖民地贵妇多萝西看来那里是鱼龙混杂之地，那里三教九流都有，乐队会没日没夜地演奏爵士乐。在多萝西的邀请下，凯蒂住进了曾经的情夫查尔斯的家里，结果遭到查尔斯的诱奸。之后，查尔斯还幸灾乐祸地表示凯蒂怀的孩子更像是他的，而不是瓦尔特的。他甚至还霸道地对凯蒂和她孩子进行来自父权制的主权宣告，表示希望凯蒂怀着的孩子是个女孩，因为他和多萝西已经有个男孩。这让凯蒂毛骨悚然，因为她意识到，如果孩子真的是他的，自己可能终身都会受到来自查尔斯的管制，无法从男权和殖民地统治阶层的双重暴力中挣脱。最后，她准备随父亲前往巴哈马群岛，意图远离查尔斯。

《面纱》通过凯蒂婚前焦虑的择偶生活，婚后身不由己地来到疫区湄潭府，之后成为寡妇又迫不得已地回到英国的悲惨遭遇，批判了二十世纪初英国和殖民地上的社会性别伦理道德问题，也客观地呈现了女性等弱势群体在英国海外殖民系统中的边缘处境。《面纱》以凯蒂的生存困境对当时英国和殖民地的社会道德秩序和性别权力结构进行批判。除了书写凯蒂的不幸外，《面纱》还以瓦尔特的生存困境来批评当时殖民地中的伦理混乱和权力运作结构对男性殖民者的伤害。

二、殖民地中的伦理混乱和瓦尔特的生存困境

凯蒂的丈夫瓦尔特同样是最后惨遭失败的殖民者，其失败反映出当时的殖民活动中存在的伦理混乱的问题。伦理混乱即“伦理秩序、伦理身份的混乱或伦理秩序、伦理身份改变所导致的伦理困境”（聂珍钊，2014，p.257），“既有秩序遭到破坏、道德观念发生冲突、巧合、误解等，也同样属于伦理混乱”（聂珍钊，2014，p.258）。殖民地是伦理混乱的区域。瓦尔特在香港遭到上级的侮辱，妻子的背叛，来到湄潭府后又因妻子的怀孕陷入绝境，最后只能选择自杀来终结伦理困境。但是，瓦尔特的绝望感并非只是个人婚姻情感问题，也同社会结构和权力运作相关。妻子的婚外情和意外怀孕直接宣告了他作为英国男性殖民者、科学家的尊严与价值的消失，意味着他意图通过殖民活动获得社会地位、妻子的尊重的梦想的幻灭。

瓦尔特之所以提出让凯蒂做出选择，要么嫁给查尔斯，要么同自己去疫区湄潭府，是因为他对殖民地权力关系的认识比凯蒂的认识更为深刻，知道查尔斯不会离开多萝西。“殖民地的欧洲女性在种族警戒机制中发挥了关键作用——她们不仅维护着社会与种族边界，更通过身体存在不断提醒男性履行其种族与男性责任”（Gan, 2016, p.187）。不仅是社会和种族界限的守护者，也是对男性有关种族和男性气质方面的身体提醒。妻子的不贞让瓦尔特备受屈辱，而她选择的情夫还是他无法报复的上级，这样瓦尔特倍感耻辱。唯一可能让他减轻心头屈辱的途径，就是利用海外殖民运作系统和自己的医学知识，到中国内地进行殖民活动。湄潭府的霍乱也可能帮助他杀死凯蒂，成功完成报复。所以，瓦尔特和凯蒂离开香港，前往疫区是殖民地男性权力场和殖民权力运作系统双重作用的结果。

但是瓦尔特投入其中的英国海外殖民系统在二十世纪初已日薄西山。疫区湄潭府现状惨不忍睹，是对西方海外殖民统治走向衰败的隐喻。在疫区，“人们跟苍蝇似的成堆地死掉”，法国修女等数位西方殖民者在此丧命，不少人已经从中撤出，回到西方。当地的军阀势力代表余团长则“整天忙着叫他的军队别抢老百姓的东西”（83）。城外的坟墓和城内的棺椁像在警告远道而来的西方人，他们已经来到一个不能主宰自我命运的区域。瓦尔特等欧洲人在此处不再舒适自如，反而面临着生存的威胁。但前往湄潭府治理疫情却是瓦尔特能找到的快速晋升的途径。他在湄潭府能运用自己的医学知识，也能获得了妻子和其他殖民者的肯定。尽管凯蒂在婚姻生活中看不起瓦尔特，但在国家利益层面上他们始终是一致的。所以在听到法国修女夸赞瓦尔特进行细菌研究的才华时，凯蒂会感到一阵骄傲。但是疫区紧张的生活也没能真正改善凯蒂和瓦尔特之间的关系。

在凯蒂眼中，瓦尔特的男性气质没有因为其拥有的医学卫生知识而得到增强。两人来到湄潭府后继续过着同床异梦的生活。在瓦尔特投入工作时，凯蒂得到了长期驻留此地的官员韦丁顿的陪伴。韦丁顿是一个睿智、善良、友好的英国人，长着高高圆圆的额头，“脸很像猴子的脸”，“活像一个老男孩儿”，喝酒时“颇像一个酒过三巡的好色之徒”（85）。韦丁顿没有查尔斯那般的地位和男性魅力，但在湄潭府却有一个温文尔雅，有贵族气质、教养的满洲情人。韦丁顿同满洲女人之间的同居关系与瓦尔特和凯蒂的婚姻关系构成一对镜像。两对男女之间的生活都是悲剧性的：瓦尔特、凯蒂的婚姻名存实亡，韦丁顿和满洲女人虽然同居却没有子嗣。韦丁顿的婚姻故事也构成了对《面纱》中性别暴力和殖民地统治暴力的补充。

韦丁顿和满洲女人的无子生活模式契合作家毛姆的优生学理念，迎合了西方人对东方的刻板印象。在西方人眼中，东方民族始终是劣于西方的低等民族。例如在凯蒂眼中，湄潭府的中国孩子都是形象丑陋、怪异的，“不像人类，而是某种罕见的不知名的动物”，“活像一堆小虫子”，“面黄肌瘦，身同侏儒，鼻子都是扁扁的，几乎没有正常人的模样，一看便令人生厌”（113）。之外，在西方殖民者对东方的形象建构中，“整个东方都被意指为女性化的符号，且总是带着面纱，充满诱惑和危险”（张颖,2018,p.11）。韦丁顿和满洲女性的故事体现了作者毛姆的殖民理念和东方观。尽管韦丁顿不能吸引同为白人的凯蒂，但他却对贵族出身的满洲女人产生了神秘的吸引力，能令她能为韦丁顿不顾一切地私奔。

韦丁顿对满洲女人产生的神秘的吸引力同瓦尔特对妻子凯蒂的失败管束，形成对照。作为殖民者的妻子和英国人的女儿，白人女性凯蒂同样被“期望体现一种无性的纯洁和美丽”（玛玛,2018,p.230），遭遇到来自西方白人男性的凝视。研究者指出西方人在面对东方人时，会产生尚古兴趣，“主要集中在对中国妇女的缠足，还有非洲的割礼以及中东的面纱”，东方被认为“代表一种静止状态”（肖丽华,2013,p.26）。小说中就出现了韦丁顿让太太取出一只漂亮的满洲鞋让凯蒂试穿的情节。凯蒂穿上鞋子后，发现韦丁顿脸上露出了坏笑，就问这双鞋对于韦丁顿夫人会不会太大。韦丁顿回复说“大了去了”（160）。试穿东方鞋子的场面构成一幅尚古的画面，而白人女性凯蒂被韦丁顿为代表的西方男性纳入到尚古的场景中，成为他们品鉴的对象。凯蒂同东方女性一样被放置于西方男性的对立面。

韦丁顿同满洲女人的婚姻表面上是和谐的，实际和瓦尔特同凯蒂之间的婚恋关系一样，都隐藏着暴力倾向，绝不是“《面纱》中唯一一对和谐美满的夫妻”（余云，2016，p.152）。在凯蒂的观察

中，满族女子看起来“更像是一个木偶”，操控者就是她的丈夫韦丁顿。韦丁顿告诉凯蒂，他的妻子会有节制地抽鸦片，而他的职责就是禁止鸦片交易。根据美国叙事学家詹姆斯·费伦对不可靠叙述的研究，韦丁顿的叙述属于“事实/事件”轴上的错误判断。历史上，十九世纪末英国人为代表的西方列强以鸦片荼毒中国人民，霸占中国领土，掠夺中国资源，所以韦丁顿的描述是歪曲事实的。他否定了二十世纪初英国人在东方制造的罪行，反而美化了英国人在东方的活动。另外，韦丁顿的话语内容也可能在掩饰一个真相：即韦丁顿是通过鸦片的力量来控制美丽的满洲贵族女子，弥补自己的男性气质缺陷。

韦丁顿的故事指向殖民地权力结构中的暴力性因素的在场。瓦尔特的悲剧也同殖民统治相关，因为他始终没有获得殖民权力系统的接纳。湄潭府的生活经历推动了他的梦想的幻灭，也将他置于深渊。凯蒂则在湄潭府变得比瓦尔特更为成熟，能够更准确地认识到他们在海外殖民系统中的地位和作用。她意识到他们的处境就像“学习某种外国话的时候，读完了一页文章你却根本不知所云：直到一个单词或者一个句子启发了你”（73）。他们其实一直被排斥在殖民统治势力的核心圈子外，没有被海外殖民统治的主体接纳。瓦尔特逼迫凯蒂随自己来到疫区，以为能改善关系。凯蒂的怀孕却真正宣告了瓦尔特作为丈夫和男性殖民者的失败。他既无法像查尔斯同殖民地贵妇多萝西结成牢固的联盟关系，也韦丁顿利用鸦片控制满洲女人的能力。所以无法忍受屈辱和痛苦的瓦尔特最后选择主动感染霍乱、离开人世。

瓦尔特的离世去为凯蒂敲响警钟，帮助她更清晰地直面个体在殖民系统支配下前的处境和命运。凯蒂去看遗体时发现离世的瓦尔特“就像一个停下里的机器”。她发觉“那才是可怕之处。如果他只是一具机器，那么所有这些病态、心碎、苦难，有都算得了什么呢？”（183）。他们不远万里地来到湄潭府，推动了英国海外殖民进程的发展，但却不能真正地改善个人的生活，反而还陷入了悲惨的处境中。从丈夫的管控中挣脱出的凯蒂也没有为他哭泣，因为她再也不想惺惺作态、悖逆心愿了。她认为自欺是不可饶恕的。

三、凯蒂的伦理选择与主体重塑

亚当斯认为毛姆的作品传达了一定的道德内涵：“心是我们必要本性的所在；我们的生存和道德挑战不是去改变这种自然”，“而是去理解和欣赏它，这样我们就可以从它的积极情绪中受益，限制它的消极情绪的破坏性影响和潜在力量”，而“这是一项由人类的头脑完成的理性的任务”（Adams, 2016, p.126）。在《面纱》中，凯蒂和瓦尔特在面对现实生存困境带来的沮丧情绪时采取不同的态度。瓦尔特在绝望之际选择感染病毒离世。凯蒂则清醒地意识到她和瓦尔特同查尔斯为代表的海外殖民统治者之间存在着不平等关系，即使他们做出牺牲，也无法获得查尔斯为代表的海外殖民统治主体的肯定。认清现状后，凯蒂在困境中“达到道德成熟和完善”，做出了“道德选择”，既伦理选择（聂珍钊，2014，P267）。她改变了对东方的刻板印象，学会去理解和欣赏自己的处境，真诚地告诉瓦尔特他不是孩子父亲的真相。回到英国后，凯蒂还同父亲修复关系，随父亲前往巴哈马群岛追逐想象中更为自由、平等、和谐的生活。

凯蒂做出伦理选择的过程也是人物内心成长，主体重塑的过程。来到湄潭后，凯蒂开始从男性殖民统治者的知识话语统治中挣脱而出，力求重获对身体的支配权，以重塑自身的主体性。首先，

她不顾细菌学家瓦尔特的劝阻，故意“逞能”吃中国厨师做的沙拉。情夫查尔斯也曾告诫她在湄潭不要吃不煮熟的东西，尤其是不干净的水果和沙拉。凯蒂吃生菜沙拉的做法确实鲁莽，但蕴含了反抗精神，是其想要争取独立性的表现，既要向瓦尔特报复，“也是在嘲笑自己心中的恐惧”（97）。

其次，凯蒂还通过参加劳动重塑自己的主体性，减轻对男性的依附，在劳动中重新寻回自己的价值。尽管在西方殖民进程中，法国修女们是英国殖民者的竞争对手，但在霍乱时期，修道院提供了让凯蒂探索自己的空间。她在修道院中临时顶替已故的圣弗朗西丝姐妹，帮忙照看修道院年龄较小的孩子。在劳动的过程中，凯蒂感觉自己在不断地成长。她接触到了新的生活，新的观念，活力又回来了。劳动让她意识到自己可以不依附男性生活，也让她暂时忘记同情夫查尔斯·唐生之间不光彩的往事，发现自己有摆脱男权社会的束缚的可能性。

修道院中的工作帮助凯蒂形成更为独立的自我意识，让她能够从殖民话语的规训中挣脱出来，更客观地看待长期被殖民宣传妖魔化、他者化的中国形象。黄丽娟也同意“凯蒂在梅潭府死亡威胁的状况下，放眼周遭，心生同情，灵性生命被唤起，发生了第二次蜕变”（黄丽娟，2022，p.43）。中国风光不再充斥着恐怖的死亡阴影，而是以清新、美丽的景象出现在凯蒂眼前。她见到的农舍、竹林风光都相得益彰，十分养眼。凯蒂对中国孩子的态度也有所转变。最初在她眼中，中国孩子是“某种罕见的不知名的动物”，一堆“虫子”（113），随着在修道院工作的深入，她不再以妖魔化的眼光去看待“丑孩子”为代表的东方人，而是赋予他们和瓦尔特等西方人平等的地位。

法国修女主持的修道院也让凯蒂进一步认识到自己在海外殖民系统中的微不足道，加速推动凯蒂心中同殖民话语系统相关的信仰的幻灭。瓦尔特离世后，她尝试申请留在修道院中工作。可凯蒂始终无法成为其中一员，也无法同修女们结成命运共同体的关系。她感受到修道院像另一个世界，一个超然于宇宙之外的世界。凯蒂同湄潭府法国修女之间的关系构成了对英、法两国在二十世纪初海外殖民进程中的政治较量的隐喻。法国修女主持的修道院空间是一个排斥其他欧洲国家公民，彰显法兰西国家民族利益的权力场域。历史上，基督教传教在帝国的扩张中发挥了重要作用。“东南亚原本属于英国的势力范围”，“英国人死后，法国修女们即刻赶来建立修道院”，“试图夺取英国在当地的公共卫生权力”（蒋天平，胡朝霞，2023，p.54）。尽管贵族出身的院长在凯蒂眼中是慈祥的化身，实际上伪善的院长对凯蒂充满戒备，因为修女为代表的法国殖民者不欢迎凯蒂等英国人驻留此地，同法国殖民势力竞争。

凯蒂从东方文化中获得思想启发，打破了西方殖民话语对其影响。东方对凯蒂、韦丁顿等西方人产生的积极作用，东方的思想文化可以帮助西方人更好的生活，研究者也认为小说反映了“西方知识分子向异域的‘他者’文化寻求改变欧洲衰败倒退之方的人道主义情怀”（黄丽娟，2022，p.41）。韦丁顿向凯蒂介绍了中国的道家思想，指出道家思想“能使我们从对这个世界的嫌恶中解脱出来的，就是纵使世事纷乱，人们依然不断创造出来的美的事物”，“其中最为丰饶的美，就是人们美丽的生活”（184）。凯蒂在东方生活工作后，意识到人类和河中的水滴一样，都在永不停歇地流走，直至汇入大海。生命如流水般短暂易逝，所以人们不应该为了区区小事互不相让，两败俱伤。人与人是如此，不同种族之间也是如此。东方智慧能帮助凯蒂从英国帝国殖民统治推行的狭隘的思维局限中挣脱出来，让她对生命有更为多元、宽泛的理解。

推动凯蒂完成主体重塑，收获独立性的是怀孕事件。凯蒂怀孕后，瓦尔特前来问询孩子的父亲

是谁。凯蒂意识到答案的重要性：如果她说了是，对他来说就意味着新的世界来临了。他会相信她。相反如果凯蒂说出情夫查尔斯才是孩子父亲的真相，他们的婚姻就会直接走向终结，她也会面临更多的舆论危机。因为她知道自己不爱瓦尔特，在说真话之外，她别无选择。凯蒂只能直面两人的矛盾和冲突。秦宏指出，在毛姆看来“偷情是一桩过错，婚姻的枷锁把两个人捆绑在一起渡过漫长的一生那才是真正恐怖罪恶的事”（秦宏，2008，p.103）。适当的撒谎或许能够保障凯蒂的生活，但她依旧选择诚实回答，坦荡地面对人生。

母亲的身份也赋予凯蒂新的认知，帮助凯蒂反思自己同父母的关系，思考随母亲身份而来的伦理责任。她不再认同母亲贾斯汀夫人灌输的功利主义思想，既通过婚姻来获取名利。女权主义者认为“母性是妇女解放运动的一个严重障碍”，但在后殖民女性主义者看来，成为母亲并拥有保护自己子女的权利就“具有了抵抗殖民的意味”，“夺回对自己身体的自主权，主宰自己种族繁衍的权利”（肖丽华，2013，p.35）。凯蒂在怀孕的过程中意识到“男人是多么愚蠢啊！他们在生养儿女的过程中扮演的是如此微不足道的角色，是女人怀胎十月，历尝辛苦，最后在痛苦中妊娠生产”（155）。凯蒂的女性意识萌生，让她对后代产生了责任感，不希望孩子会重复自己的错误。她表示要让孩子成为自由的人。回到英国，凯蒂与父亲重逢，修复了父女关系，同父亲一起前往巴哈马群岛。

结语

小说《面纱》通过虚构英国殖民者瓦尔特、凯蒂的悲惨遭遇，反映了殖民者个体同西方海外殖民群体之间的复杂关系，客观呈现了二十世纪初英国海外殖民统治的黑暗和衰落。如果说凯蒂的遭遇侧重于反映二十世纪初殖民系统内的男权文化对女性的生存权力和自我价值实现机会的剥夺，瓦尔特的悲惨结局则是对英国殖民统治内部权力结构的不平等性的控斥。凯蒂在困难中表现出顽强的生命力，体现出她所具有的强大的学习能力和反思意识。小说也借凯蒂和瓦尔特的遭遇为读者带来有关人生和婚姻的启发。

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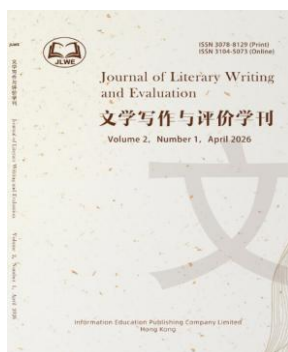
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解构美国亚当神话：莫里森《慈悲》中的多重叙事视角

何淑敏 (He Shumin)

摘要：本文借用马克思对商品拜物教与资本积累的批判，探讨美国非裔作家托妮·莫里森的小说《慈悲》(2008)对“美国亚当”神话的解构。作者采用多重第三人称限知视角与第一人称叙述互动交织的方式，形成一种多棱镜式的叙事结构，使读者得以重新审视十七世纪殖民时期的美国历史。一方面，小说通过对奴隶主叙事的戏仿，再现了美国主流历史叙事如何通过建构田园牧歌式的“美国亚当”神话而掩盖资本原始积累过程中对黑奴的剥削本质；另一方面，黑奴与印第安土著的叙事穿插其中，与奴隶主的视角形成抗衡，揭示了殖民叙事的伪善与暴力。错综复杂的叙事结构不仅形成了强大的美学张力，更凸显“新奴隶叙事”的批判力量。通过颠覆美国起源神话并重写殖民历史，莫里森不仅揭示了资本主义现代性建立在奴隶制与殖民暴力之上的历史真相，也为当代关于种族、身份与记忆的讨论提供了重要启示。

关键词：托妮·莫里森，《慈悲》，美国亚当，资本欲望，新奴隶叙事

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Title: Deconstructing the Myth of American Adam: Multi-perspective Narratives in Toni Morrison's *A Mercy*

Abstract: Drawing on Marx's critique of commodity fetishism and capital accumulation, this paper explores Toni Morrison's deconstruction of the myth of "American Adam" in her novel *A Mercy* (2008). Through the interplay between multiple third-person limited point of views and Florence's first-person narration, the novel constructs a prismatic narrative structure that enables readers to reexamine the history of colonial America. On the one hand, the novel parodies the

slave owner's perspective to expose how the idyllic myth of "American Adam" in mainstream historical narratives belies the exploitation of Black people in the process of primitive capital accumulation; on the other hand, the novel incorporate point of views of the slaves and Native Americans, which interweave with the slave owner's narrative, contesting its authority and revealing the hypocrisy and violence of colonial discourse. This intricate narrative structure not only generates powerful aesthetic tension but also exemplifies the critical force of the "neo-slave narrative". By undoing the American origin myth and rewriting colonial history, Morrison unveils the capitalist modernity grounded in slavery and colonial violence, while also offering profound insights into contemporary discussions of race, identity, and cultural memory.

Keywords: Toni Morrison; *A Mercy*; American Adam; capitalist desire; neo-slave narrative

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引言

作为当代美国最具影响力的非裔作家之一，托妮·莫里森（Toni Morrison, 1931-2019）致力于通过文学书写揭示黑人群体在美国历史中所承受的苦难与被压抑的记忆。她在1993年获颁诺贝尔文学奖时，瑞典文学院称赞她的小说“极富洞察力和诗情画意，将美国现实的一个重要侧面写活了”。这一重要侧面无疑指向美国黑奴制度与种族主义对非裔群体造成的沉重创伤与生存困境。莫里森的作品以细腻的笔触、丰富的情节与人物刻画，对美国历史进行重访，将边缘的声音引入美国文学的中心，体现出浓厚的“新奴隶叙事”（neo-slave narrative）特征。作为非裔文学的重要且突出的表征策略，“新奴隶叙事在主题上重访了非裔美国文学中关于黑人主体、黑奴史和黑人文化的再现问题，在形式上也呈现‘时代错误’、‘时间旅行’、令人迷乱的戏仿和互文等，与后现代主义的革新技巧相呼应”（林元富, 2011, p.152）。莫里森的小说《慈悲》（*A Mercy*, 2008）就是一部运用戏仿、互文、多角度叙事等手法，对美国的历史起源，特别是对“美国亚当”神话叙事进行重溯、重新审视的“新奴隶叙事”作品。小说以黑奴少女佛罗伦丝自述母亲央求农场主雅各布·瓦尔克将自己带走以抵消债务的回忆为开篇，紧接着分别从雅各布、土著女仆莉娜、雅各布的妻子丽贝卡、被弃的混血儿索萝、白人契约工威拉德和斯卡利的视角，以第三人称限知叙述的方式，从不同的角度呈现瓦尔克一家试图建造一个田园牧歌式的“家园”，但贪婪、疾病和死亡最终瓦解了这一幻象的过程。

国内学界对《慈悲》的解读主要聚焦奴役、母性、性别与家园等主题。王守仁与吴新云（2009）关注小说对“奴役”本质的探讨，凸显莫里森以“超越种族”的视角体现其对历史、社会和人心的深刻洞察。尚必武（2010）则从叙事学角度分析佛罗伦丝的母亲“卖女为奴”这一核心事件，揭示母爱的复杂性与多重叙事判断。胡俊（2010）探索小说中“家”的建构与失落，暗喻美国这个“家园”从接纳异己到排斥异己的过程，指出莫里森在重访美国历史起源的同时寄寓理想国家愿景。隋红升（2017）聚焦佛罗伦丝的成长困境，认为西方传统女性气质加剧了其自我迷失，而小说通过“鞋子”等象征呈现其主体意识的重建。这些研究展示了《慈悲》在叙事伦理、历史批判与性别反思上的多维价值，但仍有一些问题值得探讨：小说大量运用多角度第三人称限知叙述，同时穿插佛罗伦丝的第一人称叙事，作者为何要采用这种形式？小说中的“家园”是否经历了从“建构”到“解体”的过程，抑或是这个“家园”的建构从最初就只是个幻象？小说的标题——“慈悲”——是赞美还是讽刺？

本文关注小说的多重叙事视角，借用马克思的资本批判理论，聚焦《慈悲》中“美国亚当”神

话与资本原始积累之间的关系，分析小说如何通过多声部叙事拆解殖民话语的虚伪。文章认为，雅各布的叙述试图营造一种欧洲中心主义的田园牧歌式美国起源神话，塑造一个“自立”、“纯洁”、“仁慈”的“美国亚当”形象。然而，雅各布表面上出于“慈悲”接收了黑奴少女弗洛伦丝，同时也通过巴巴多斯的种植园产业发家致富。其叙事掩饰了自身商品拜物教的本质与对财富的无尽渴求，同时掩盖了自身资本积累是建立在黑奴剥削的基础上这一事实。与此同时，莫里森加入黑奴、杂工、奴仆等多角度叙事，与雅各布的“奴隶主”叙事形成抗衡，以碎片化、对话的多声部叙事的方式，对雅各布的贪婪与邪恶本质进行层层解剖，揭示资本主义殖民话语的虚伪与残酷。奴隶主、黑奴、土著奴仆、杂工等多重视角的交织与对话，构筑出一个多棱镜般的叙事结构，揭示所谓“慈悲”背后掩盖的是殖民、蓄奴制与资本欲望的暴力逻辑，体现莫里森对美国现代性与奴隶制内在关联的深刻洞察。

一、“美国亚当”的神话建构：雅各布限知叙事中的理想化形象

在对《慈悲》之“家园”的建构与失落的分析中，胡俊认为小说描写了“一个家从有到无的过程：不同族裔的人包括黑人、白人和印第安人曾经齐心协力建构了一个其乐融融的家园，然而好景不长，家庭经历变故，遭致解构”（2010, p.202）。在其后续分析中，胡俊指出，这个“美好家园”的解体主要受到雅各布这位“一家之主”的影响：“起初正是他的一点善心成就了这个家，但当他的善性逐渐被贪婪吞噬，这个家也经历了异化，从乐园跌落到失乐园”（同上，p.206）。抛开上述文章所认为的“其乐融融的家园”是否存在不谈，胡俊将小说中的奴隶主、黑奴、邮购新娘和印第安女仆笼统地描述为“黑人、白人和印第安人”，掩盖了小说所聚焦的黑奴剥削及性别、种族不平等的主题。事实上，莫里森将故事背景设定在17世纪的美洲大陆，并非为了给读者呈现一个在美国国家建构时期“曾经存在过的”、怀旧的、田园牧歌式的“家园”。细读文本会发现，作者对“家园”的描写是对主流叙事的讽刺性戏仿。雅各布本质上是一位逐利的商人，而非慈善家，而他最初的“慈悲”不过是用以掩盖资本积累与黑奴剥削关系的幌子，是在殖民语境下将个人经济利益伪装成仁慈善举的自我辩护。“家园”的本质是一个注定难以维系的幻象，它象征的不是温情与庇护，而是殖民扩张、种族压迫与性别不平等交织的矛盾场域。而小说之所以给人以“温馨家园”的假象，部分原因在于雅各布的第三人称限知视角使得读者的认知形成误判。

在雅各布的视角中，首先为读者呈现的一组鲜明的对比：在债务人朱布里奥·德尔特加那装饰豪华的餐桌上，雅各布穿着“粗布衣”，而德尔特加却身穿“绣花丝绸和花边领口”（Morrison, 2016, p.15）。这个场景不仅揭示了两人在阶级上的悬殊，也暗示了新大陆与旧大陆之间的差异，更将雅各布指向了R.W.B Lewis（1955）所说的，在美国主流文学中被反复塑造的“美国亚当”意象。Lewis指出，主流文学对“美国亚当”神话的建构，“将真实的美国人塑造为英雄般纯洁、具有无限潜能、在新的历史开端蓄势待发的形象”（1955, p.1）。在主流文学的想象中，美国被描绘为一个田园牧歌般的国度，北美大陆是“新世界中的伊甸园”，而美国人则被视为“尚未堕落的亚当(Adam before the fall)”，在这片处女地上开疆辟土、建立家园，这成为美国国家身份建构的一个重要维度（Ball, 1995, p.279-80）。作为一位“在新大陆探险的英雄”，美国亚当是“一个独立自足、依靠自身力量前行的人，他随时准备迎接一切未知的挑战，并保持着纯真无邪的本性”（Lewis, 1955, p.5）。而在《慈悲》中，雅各布的限知叙事反映了他对世界的感知与认知，这种叙事清晰地将他与“美国亚当”的理想化形象对应起来。

在雅各布的认知中，美洲是“这样一个新奇、原始而近乎让人恐慌的世界”，“自诺亚时代就未被触碰的森林”和“触手可及的野果”（Morrison, 2016, p.10）让人联想到伊甸园的乐土。雅各布

在这片充满新生的“处女地”上自我放逐，象征着他与陈腐的欧洲旧大陆的决裂。这种强调新大陆“未被染指”的初始纯净的话语，强化了“欧洲想象中，美国亚当具有无限潜能、伫立于全新起点的形象”（Terry, 2014, p.131）。雅各布强调自己是“一个邈远的孤儿”（Morrison, 2016, p.10），靠“偷来的食物、替人跑腿赚取小费”（同上, p.29）来维生，以此凸显自身独立自主、不依赖他人的形象。他又刻意表明吸引他来到这里的并非“公司那唾手可得的利润在等着所有来访者的谎言”，相反，“正是（新大陆的）艰难和冒险精神吸引着他”（同上, p.10），借此为自己披上勤勉的道德外衣。在这样的叙事中，雅各布为自己树立起了一个“亚当”的形象：孤独、自立、富于冒险精神，在这片新大陆上不断探寻新的可能。

除了强调自身的自立，雅各布的叙述还将自身描述为高尚纯洁、未被罪恶染指的形象。这一点在丽贝卡对丈夫的评价中得到了明确的暗示：“亚当（像雅各布一样）是个好男人，但（与雅各布不同的是）他受到妻子的挑唆和拖累”（同上, p.93-94）。这里，莫里森以丽贝卡之视角，对《圣经》的引用意味深长。丽贝卡说“亚当不同于雅各布”，实则暗示雅各布不同于那个受夏娃唆使而犯下罪恶的亚当，换言之，雅各布是“未曾堕落”的、纯洁的亚当。正因如此，这个“清白”的亚当对德尔特加“依靠抓来的、需要更多的力气去控制的劳动力而获得财富”的行为“嗤之以鼻”（同上, p.25），从而凸显自身的高尚道德。雅各布将收留弗洛伦丝的行为视为出于“对孤儿与流浪者的怜悯”（同上, p.30）而实施的“拯救”（同上, p.31）。这一带有“救赎”意味的行为，被读者解读为是一种“具有伦理价值的行为”，从而促使他们对雅各布作出积极的伦理判断（尚必武, 2010, p.65）。

然而，需要注意的是，莫里森以雅各布的限知视角呈现叙事，并非意在引导读者对这位“美国亚当”产生共鸣，而是对美国历史起源的主流叙事进行了一种讽刺性的戏仿。细读文本可见，作者在描写雅各布的心理活动时，字里行间流露出他的自鸣得意，从而揭示“美国亚当”形象背后的虚幻与反讽。有学者敏锐地指出，雅各布的“慈悲”之举实际上是“将自私自利伪装成善意”（Strehle, 2013, p.119），他那“救世主般虔诚的伪装背后潜藏着种族主义的毒蛇”（同上, p.117）。雅各布试图建构的神话，充其量不过是一个美国丹麦裔版本的鲁滨逊·克鲁索，他大肆宣扬自己的冒险精神，将自己对“星期五”的奴役伪装成救赎，以此掩盖其殖民扩张的真实动机及其背后无穷无尽的资本欲望。事实上，从雅各布叙事的自相矛盾及弗罗伦丝、莉娜、索萝等奴仆的叙事可以看出，雅各布本质上是一个追求利益的、贪婪的商人，而非道德高尚的田园开拓者，下文将对此展开论述。

二、神话的反讽：资本欲望的泄露与解构

尽管雅各布试图将自己塑造成一个自立、道德高尚、且不受罪恶染指的“美国亚当”，其叙述视角所呈现的思维风格（mind style）却泄露了他内心的资本欲望以及对人际关系的高度物化。在雅各布眼中，无论是他与丽贝卡的婚姻，还是他与奴隶和仆役之间的关系，都被放置在一种可被交易与占有的逻辑中理解，这恰恰体现出马克思所说的“商品拜物教”（commodity fetishism），即将人与人的关系变成商品形式的关系。马克思指出，“商品形式在人们面前把人们本身劳动的社会性质反映成劳动产品本身的物的性质，反映成这些物的天然的社会属性，从而把生产者同劳动的社会关系反映成存在于生产者之外的物与物之间的社会关系”（2018, p.89）。换言之，商品拜物教意味着人与人之间的关系被简化为物与物之间的关系，人被视作商品，其价值被置于商品交换的尺度上衡量。

小说通过多个细节暗示了雅各布对人际关系的看法是高度物化、商品化的。许多学者注意到，小说中的一个核心事件是母亲为防止弗罗伦丝受到奴隶主的性侵而不得不“卖女为奴”的故事（尚必武, 2010）。小说通过弗罗伦丝、雅各布和母亲的视角对事件进行了三次不同的呈现。在弗罗伦丝

的自述中，母亲因偏爱弟弟而“抛弃”了她；雅各布的叙述则强调自己“拯救”了这个“遭母亲抛弃的穿着一双大鞋的孩子”（Morrison, 2016, p.31）；直到小说终章，母亲的自述才揭示，当年的“抛弃”实属为保护女儿而作的无奈之举。在清楚不论是将女儿留在身边还是送去别处当奴隶，两种情况都“同样毫无庇护可言”的两难处境下，母亲选择与德尔特加“不同”的雅各布，因为“你穿着那双鞋站在那儿，那个高个子男人（雅各布）哈哈大笑”，母亲由此判断“那个高个子男人把你看成一个人的孩子，而不是八枚西班牙硬币”（同上, p.158）。然而在雅各布的叙述中，佛罗伦斯穿着大鞋的滑稽模样不过是为他放肆大笑提供了一个借口，他的大笑并非由于看到了小女孩的童真，而是源于看穿多尔特加的怯懦后所产生的兴奋与优越感，他“笑的是这次拜访（为德尔特加）所造成的滑稽可笑和无望的恼人局面”（同上, p.23）。也就是说，母亲眼中象征希望的“慈悲”，在雅各布的叙述中却只是对自我身份的再确认。两种叙事的对照，不仅揭示了叙事主体之间的错位与隔膜，也凸显了“慈悲”这一主题背后的反讽意味。

倘若细读文本，可以看到雅各布最初拒绝德尔特加用黑奴来偿还债务的提议并非出于仁慈，而是因为“他用不上她”（Morrison, 2016, p.22），因为“他的农场不大……也没有活要他们干”（同上, p.19）。可见，雅各布拒绝用黑奴抵债主要是出于经济考量：他的农场并不存在需要用到黑奴劳力的地方，因此在他眼中，他们毫无价值。而他最终同意收下弗洛伦丝的原因，也没有他所声称的那样高尚。当德尔特加主动提出会立即将弗洛伦丝送到他的农场时，雅各布的反应暴露出他作为商人的本质。他立刻开始盘算起这笔交易，首先想到“我得摆脱这个女孩，换个男的”（同上, p.24），因为在他看来，男性黑奴能干更多的活，比小女孩更有价值；然而，当他想到“丽贝卡会喜欢身边有个孩子”时，又意识到自己可以“用得上”这个小女孩，将她用作已故女儿的替代物。这样一来，原先没有价值的弗洛伦丝便成为一件可以安慰妻子的工具。而雅各布在后续叙述中，却将收留弗洛伦丝的举动定义为“拯救”（同上, p.31），以此彰显自身的道德优越。

即便在谈及与妻子丽贝卡的关系时，雅各布的言辞也充满了商品拜物教的意味。他称赞道，与那些有钱人太太相比，“他的丽贝卡对他比任何时候都更有价值”（同上, p.17），理由是这位年轻女子“体态丰腴、面容姣好，而且十分能干”（同上, p.18）。这位邮购新娘满足了“他想要这样一类型的配偶”的需求：她处于生育年龄，勤奋又能干，“关心他的需要，给他做最柔软的水果布丁，热情洋溢又富有创意地在一片完全陌生的土地上干着琐碎的家务杂活”（同上, p.18）。可见，雅各布对妻子的定位是工具性的。这种商品拜物教的逻辑在丽贝卡对自身地位的认知中更为凸显，她深知自己对于父母而言只是一件货物，“她知道，父亲会把她送给任何人，只要那个人愿意给她订张船票，叫他不用再养她”（同上, p.69-70）；母亲将她的婚姻称作一场“买卖”（同上, p.70），而事实也是如此。雅各布的“买妻”的过程，与他在翻阅广告后，最终买下莉娜这个“能吃苦……能做各种家务，可以用货物或钱来交换”（同上, p. 49）的奴仆如出一辙，两者都被视作可以用金钱购买的商品。在雅各布，甚至在丽贝卡的眼中，人与人的关系被异化为一种几乎彻底物化的、“失灵的（dysfunctional）关系”（Armengol, 2017, p.481）。

雅各布的商品拜物教所揭示的是其背后的资本欲望，而这正是殖民扩张和美洲蓄奴制的根本动因，也是美国主流历史叙事常常中被隐没的一个重要部分。尽管雅各布试图建立一个田园牧歌般独立而崇高的“亚当”形象，他贪婪与逐利的本性在叙事开头已有所显露。在雅各布叙述的开篇，有一段“让人辨不清方向的金色迷雾”的描写，“这不像他打小就熟悉的英国的雾，也不像他如今居住的北方的雾，这里的雾在阳光的炙烤下，把整个世界都变成了厚重、灼热的金色（turning the world into thick, hot gold）”（Morrison, 2016, p.7-8）。这里的“金色”具有双关意义，它既是对自然景象的描摹，同时也暗指“黄金”这一财富与权力的象征。在17世纪末的弗吉尼亚，殖民地的经济发展高

度依赖种植园体系与黑奴贸易，黄金般的幻象象征了资本主义逐利逻辑下对土地与黑奴的剥削。而雅各布在穿过了金色迷雾后，仍然对它很“怀念”（同上，p.8）恰恰暗示了他内心的资本欲望和逐利冲动。

如果我们将雅各布收留佛罗伦丝的“慈悲”之举与他决心投资种植园时的诡辩式自欺联系起来解读，就能更理解莫里森对“亚当”神话及殖民者之伪善本质的讽刺。值得注意的是，仅仅过了一个下午，雅各布便从对德尔特加嗤之以鼻，宣称“血肉之躯不是他的商品”（同上，p.19），迅速转变为“十分清楚自己作为农场主的缺点……发现还是经商更对他的胃口”，并用自我欺骗的逻辑安慰自己：“朱布里奥庄园对奴隶身体的贴身占有，与远在巴巴多斯的劳动力之间存在着深刻差别，对吧？对的。”（同上，p.32）。雅各布对巴巴多斯的联想意味着他心中“被压抑已久的追逐最大化利润的欲望已被激发，而在17世纪的美洲，这几乎等同于对黑奴身体的无尽榨取”（Quan, 2019, p.559）。这一突兀的转变表明，他的恶念并非循序渐进地滋生，而是早已潜藏于内心深处，在了解种植园经济的巨额利润后便迅速浮现并自我合理化。从另一个侧面来看，雅各布所强调的“深刻差别”或许并不仅是“借助诡辩式自欺来安抚自己那点自诩自由派的良知”（Jennings, 2009, p.649），更揭示他对两种奴役形式的新认知。如果说朱布里奥庄园中的黑奴只能提供有限的“使用价值”，那么巴巴多斯种植园的黑奴劳动力就是另一种性质。正如马克思所说，“问题已经不再是从黑人身身上榨取一定量的有用产品，现在的问题是要产生剩余价值本身了”（2018, p.273）。至此，雅各布已完全卸下道德伪装，卷入资本“谋求利润的无休止运动”（同上，p.179）的逻辑中。由此可见，在雅各布自我标榜“勤勉高尚”的同时，他内心深处的贪婪也暴露无遗。而他那如同朱布里奥庄园般富丽堂皇、“两条闪闪发光的眼镜蛇在门楣的顶端相互亲吻着”（Morrison, 2016, p.33）的宅邸成为他通过黑奴剥削而积累财富的见证。

莫里森对雅各布自相矛盾的叙事的嘲弄反映出她对“美国亚当”神话的嘲讽。美国主流传统叙事往往将国家建构与发展过程描述为白人的“亚当式”勤勉与自立的结果，却掩盖其对黑奴的暴力剥削与对土著及其它族裔的屠杀。莫里森通过雅各布的第三人称限知视角对这种欧洲中心主义神话叙事进行戏仿和反讽，直白地揭露“奴隶制是殖民地（即北美洲）财富唯一的自然基础”（马克思，2018, p.880）这一赤裸现实，并对美国白人殖民叙事通过美化自身经历而“为掠夺式经济提供意识形态辩护”（熊鸿妍、邹涛，2025, p.194）的行径进行了辛辣讽刺。而莫里森以雅各布的奴隶主叙事为开篇，在后续情节中分别通过莉娜、佛罗伦丝、斯卡利等黑奴、仆人和杂工的视角，对雅各布的伪善叙事进行层层拆解，逐步揭开其“慈悲”外表下的残暴与罪恶。通过多声部的交错叙事与互文式的对话结构，莫里森拼合出一幅完整而复杂的殖民时期美国历史图景，使那些在主流叙事中被抹去的族裔经验得以显现。

三、多声部叙事与历史重塑：“家园”的虚幻性与失家创伤

前文提到，关于《慈悲》是否可以被解读为“一个由不同族裔共同建构而最终走向解体的美好家园的故事”，这一观点仍值得商榷。在探讨“家园”这一主题时，有几个关键问题需要追问：这是谁的家？这个“家”的成员是否容纳了黑奴与印第安土著？谁的家园得以建构，谁的家园又被无情摧毁？只有将这些问题置于北美洲殖民史与资本逻辑的背景中加以考察，我们才能看清莫里森笔下“家园”的复杂性。不同于传统小说，《慈悲》运用非线性的多重叙述视角，“聚焦北美大陆上多元而对话性的不同经历，重访美国的建国神话与霸权化的历史叙事”（Terry, 2014, p.128），揭示雅各布的“家园”并非一个田园牧歌式的共同体幻象，而是充满权力不平等、种族压迫与剥削的矛盾场域。如果说雅各布的叙事是殖民话语的表层，那些来自黑奴、仆人与杂工的声音则像潜流般冲破

了奴隶主的话语疆界。这些多元杂糅的奴隶群体的声音形成了有力的反叙事，诉说着不同群体因殖民暴力而带来的“失家”创伤，揭示出自诩“仁慈”的奴隶主伪善而残酷的另一面。

小说通过多处细节揭示，所谓“家园”不过是某种被建构起来的幻象，它从未存在过。作为除雅各布以外最早来到这个“家园”的人，莉娜“曾经很享受自己在这个小而紧密的家中的位置，如今却看清了它的荒谬之处”，她随后揭露，“老爷还在世时，要掩盖这个事实还很容易：他们根本不是一家人——甚至不是一群志趣相投的人”（Morrison, 2016, p.55）。同样地，契约工斯卡利和威拉德也感慨，“他们曾经以为他们就像一家人，因为他们在孤独的生活中一起雕刻出了陪伴。可他们所想象的那个家是虚假的”（同上, p.148）。莉娜、斯卡利和威拉德以各自的视角看到小说中“家园”的虚幻本质。而莉娜对于太太死后自己、索笏和弗罗伦丝这“三个无主的女人”将何去何从感到焦虑，“她们会变成非法闯入者、擅自侵占财物者，只能被售卖、租用、侵犯、诱拐、放逐”（同上, p.55）。莫里森用“售卖、租用、侵犯、诱拐、放租”这五个词道出她们被当作物品，从一个买家辗转转到另一个买家的悲惨境遇，她们并不像雅各布所说的那样得到了“救赎”，这个幻想中的“家”只属于奴隶主，而从未将黑奴和印第安人容纳在内。

如果说在雅各布自我构建的“美国亚当”神话中，他与凶残的德尔特加不一样，扮演着弗罗伦丝的救赎者，那么莉娜的视角则揭露他与其他欧洲殖民者一样具有两面性。在莉娜的叙述中，雅各布的形象并非如他所说的那样仁慈而勇于冒险，而是充满矛盾与暧昧。“他让莉娜困惑。所有欧洲人都是如此”（同上, p.41），“一方面，他们会烧毁你的家，另一方面，他们又给你吃的，照顾你，甚至为你祈福”（同上, p.43）。在莉娜的句法中，雅各布与“所有欧洲人”被放置在一起，恰恰揭示出他与其它欧洲殖民者并无区别，他的所谓“慈悲”正是殖民者惯常的双重逻辑，一边施行掠夺与毁灭，一边又以恩惠与救赎的姿态加以粉饰。而随着莉娜的回忆慢慢展开，印第安部落因欧洲人带来的天花病毒而面临死亡、家园尽毁的事件逐渐展示在读者面前，直指殖民者“蓄意发起的，针对土著的细菌战，结合强制驱逐、武装暴力与背信弃义的条约等手段，使土著沦为大规模种族屠杀机器中的牺牲品”的野蛮行径（Moore, 2011, p.6）。

欧洲人给莉娜的部族带来的不仅是物质层面的家园丧失，更是精神层面的文化毁灭。“因为担心再次失去住所，害怕没个家孤独地活在世上，莉娜只得承认她是个异教徒，任凭自己被这些可敬的人们净化”（Morrison, 2016, p.44）。所谓“净化”，实为基督教话语下的文化规训与精神殖民。“她得知赤身裸体在河里洗澡是一种罪孽；从果实累累的树上采摘樱桃是偷窃行为……望着狂野为母亲或玩伴哭泣，就会招来诅咒”（同上, p.44-55）。那些原本习以为常的部族文化习俗，在殖民者的语境中被打上“罪孽”与“野蛮”的标签。莫里森通过对殖民文化的“恶魔式戏仿(demonic parody)”（Moore, 2011, p.3），揭露欧洲人打着“文明”的旗号对土著进行文化和精神抹杀的罪恶。物质与精神层面的双重“失家”，使莉娜陷入无尽的伤痛，“孤独，懊悔与愤怒几乎要将她摧毁”，以至于她只能“将那个世界死亡前六年的记忆全部清除”（Morrison, 2016, p.47）。这种失忆既是个体的自我保护机制，也象征着在殖民暴力下被迫抹去的集体文化记忆。

同样承受“失家”之痛的还有弗罗伦丝与她的母亲。从个体层面来看，母女二人的分离既造成了家的瓦解，也意味着爱的剥夺，其创伤久远而难以消解。童年被母亲“抛弃”的阴影如同鬼魅般不断浮现。她对孕妇与婴儿的恐惧，以及对铁匠所收留小男孩的强烈嫉妒，实则是童年创伤的心理投射。这种被遗弃的感受塑造了弗罗伦丝的自我认知与情感需求，使她在成长过程中始终在依恋与不安之间摇摆，从而揭示出蓄奴制所造成的家庭关系的断裂与母性伦理的畸变。而母亲为了保护女儿而不得不做出“抛弃”的举动，虽然违背了传统的母性伦理，却是“一场伦理悲剧，但同时又闪耀出人性伦理的熠熠光辉”（尚必武, 2011, p.18）。然而进一步思考便会发现，莫里森并不仅仅在

书写一位母亲的伦理困境，而是借此悲剧对殖民历史提出更深刻的质问：是什么推动了黑奴贸易，导致数不清的黑人被迫离开家园？又是什么导致母亲需要以骨肉分离、违背人伦的方式来守护心中的人性伦理？在这一追问背后，潜藏着对资本欲望与殖民暴力的揭露：正是贪婪的殖民扩张与资本积累的逻辑，使无数黑人丧失了主体性，沦为奴隶；正是奴隶主的暴力规训，剥夺了黑奴自我保护的权利，将母亲的选择推向了残酷的两难境地。倘若将雅各布提及“远在巴巴多斯的劳动力”时的轻描淡写与佛罗伦丝母女分离所造就的深切痛苦放置在一起进行阅读，则更凸显雅各布“慈悲”外衣下的冷漠与无数黑奴因资本家与殖民者的贪婪而丧失家园、失去至亲的痛苦。佛罗伦丝与母亲的悲剧亦不再是个体命运的显现，而成为整个非裔族群“失家”、“失爱”创伤的缩影。

由此可见，尽管瓦尔克夫妇自诩“像亚当和夏娃一样”（Morrison, 2016, p.55），他们那如伊甸园般虚幻的“家园”建构背后，是资本欲望与殖民暴力的影响下无数黑奴和印第安人被迫失去家园的悲惨经历。佛罗伦丝和莉娜都曾在叙述中用“火”的意象暗示那虚幻的“家”背后的罪恶。在佛罗伦丝的自述中，自己从德尔特加转手到雅各布的过程并非一段救赎之旅，而是辗转于地狱的不同阶段，“入地狱时会先遇到冰，然后是一直燃烧的火……我敢肯定，火就要来了”（同上，p.5）。与之对应的是雅各布那拔地而起的庄园门前盘踞着的象征罪恶的两条银蛇，它们成为“美国南北战争前邪恶而残忍的蓄奴制的化身”（Quan, 2019, p.561）。而莉娜则将“火”视作吞噬印第安部落文化记忆的毁灭性力量，“她记忆中那个堆满了死人的村庄慢慢地化为了灰烬，而在记忆的废墟上，一个单一的意象腾腾生起。火。那么快。那么坚定决绝地吞噬了曾经被建立起来的一切，曾经的生活”（Morrison, 2016, p.48）。莫里森通过黑奴、印第安土著与契约工等视角，扯下雅各布奴隶主叙事的遮羞布，揭示欧洲殖民者在北美扎根之初，以文明开拓之名，不断向西侵略扩张，对印第安土著展开无情屠杀，又为追逐巨额利润，贩卖黑奴、榨取其劳力的罪恶行径。瓦尔克家虚幻的伊甸园，正是美国殖民历史中血腥起源的缩影与象征。

结语

在小说《慈悲》中，莫里森以诗意的语言、多声部的叙事和深刻的历史批判，邀请读者重新审视美国国家建构的根基。作者通过聚焦 17 世纪美洲大陆上不同群体多元交错的生活经历，重访殖民时期的美国历史，对美国起源神话和资本逻辑进行批判性重构。小说通过雅各布的第三人称限知视角，揭示了“美国亚当”这一自立、勤勉、仁慈的神话形象如何在殖民话语中被塑造，却又在资本逐利与种植园奴隶制的现实中自我瓦解。与此同时，小说赋予黑奴、土著等被压迫的群体以叙事的声音，这些多声部的叙述与奴隶主的话语形成对话与抗衡，揭示了殖民历史中被遮蔽的残酷事实。莫里森通过对殖民话语的“恶魔式戏仿”，颠覆了欧洲中心主义的历史叙事，直面黑奴贸易、蓄奴制、种族屠杀等殖民行径为少数族裔带来的沉重伤痛。无论是莉娜因家园毁灭而陷入的文化记忆断裂，还是佛罗伦丝与母亲因骨肉分离而承受的心理创伤，都共同指向蓄奴制与殖民暴力下个体与群体的“失家”境遇。瓦尔克家看似田园诗般的庄园，实际上是资本贪婪、殖民掠夺与种族压迫的缩影，它在“伊甸园”的幻象中折射出美国现代性起源的血腥本质。小说将事件设定在 17 世纪，不仅是对过去的追问，也是对当下与未来的警醒。提醒读者所谓“美国亚当”的纯洁与崇高并非历史真相，而是遮蔽殖民暴力的神话，对美国现代性与繁荣的理解不能脱离奴隶制与殖民掠夺，唯有正视这段伤痛，才能真正理解美国历史的复杂性与当代社会的深层矛盾。

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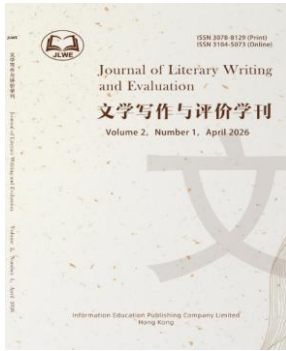
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双重时间中的历史叙事：

新维多利亚小说的亚类问题及其历史观研究

林永辉 (Lin Yonghui), 金琼 (Jin Qiong)

摘要：传统的新维多利亚小说分类存在类型重叠与类别缺失等问题，有必要进行修正与补充。双重时间与历史叙事是新维多利亚小说的核心创作特征，依托双重时间建构，新维多利亚小说通过想象进行历史叙事并解构历史；根据不同的历史叙事视角，新维多利亚小说可以划分为基于官方历史叙事视角、民间历史叙事视角与或然历史叙事视角创作的新维多利亚小说三类，三者分别以质疑官方历史、发掘民间历史、虚构或然历史三种叙事策略，向绝对客观真实的历史叙事发起挑战，对维多利亚时代的既定历史进行解构，共同表征了后现代历史观具有的修正性、边缘性与自反性。

关键词：双重时间；历史叙事；新维多利亚小说；亚类；历史观

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Title: Historical Narrative in Dual Time: The Subgenre Problem of Neo-Victorian Novel and Its Historical View

Abstract: Traditional classifications of neo-Victorian novel have some problems such as genres overlapping and missing, and it is necessary to revise and supplement. Dual time and historical narrative are the core creative features of neo-Victorian novel, relying on the dual time, neo-Victorian novel uses imagination to narrate history and deconstruct history. From the perspective

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of historical narrative, neo-Victorian novel can be divided into three genres: neo-Victorian novel based on the official historical narrative perspective, the folk historical narrative perspective, and the alternate historical narrative perspective, which challenge the absolutely objective and true historical narrative, deconstruct the determined history of the Victorian era by questioning the official history, excavating the folk history, or making up the alternate history. Three genres together express the revisionism, marginality and self-reflexivity of postmodern historical view.

Keywords: Dual Time; Historical Narrative; Neo-Victorian Novel; Subgenre; Historical View

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引言

新维多利亚小说 (neo-Victorian novel) 是当代英语历史小说中的一种重要类型, 它以吉恩·里斯 (Jean Rhys) 的《藻海无边》(*Wide Sargasso Sea*, 1966) 与约翰·福尔斯 (John Fowles) 的《法国中尉的女人》(*The French Lieutenant's Woman*, 1969) 为源起, 拜厄特 (A.S. Baytt) 的《占有》(*Possession*, 1990) 为高峰, 创作至今方兴未艾。值得注意的是, 新维多利亚小说并不存在一个先验的创作纲领, 它是对以维多利亚时代为创作背景, 试图从后现代的文化观念解构维多利亚时代既定的历史, 在文本叙事上具有强烈自反意识的历史小说统称。因此, 新维多利亚小说涵盖作品数量众多, 风格不一, 学界对其内部分类存在一些分歧。达娜·席勒 (Dana Shiller) (1997) 从叙事来源出发, 将新维多利亚小说分为改写维多利亚时代经典文学文本的小说、重写维多利亚时代经典人物经历的小说、借鉴维多利亚时代文学模式创作的小说三个类别。罗宾·吉尔摩 (Robin Gilmour) (2000) 从叙事方式出发将新维多利亚小说分为改写维多利亚时代经典文学文本的小说、从当代视角书写维多利亚时代历史的小说、以拼贴与戏仿的方式指涉维多利亚时代历史的小说、颠覆维多利亚时代意识形态的小说、批判维多利亚时代社会规范的小说、研究维多利亚时代历史的小说六个类别。路易莎·哈德利 (Louisa Hadley) (2010) 从叙事题材出发, 将新维多利亚小说分为新维多利亚后殖民小说、新维多利亚达尔文小说、新维多利亚档案小说、新维多利亚传记小说、新维多利亚女性哥特小说五个类别。上述分类皆是围绕新维多利亚小说不同的叙事层面展开讨论, 关注小说如何组织叙事对维多利亚时代的文学文本、经典人物、意识形态、殖民活动、性别议题等不同的对象进行后现代解构, 但在具体实践中却存在着界限不明晰的问题。

以新维多利亚小说《奇怪的音乐》(*Strange Music*, 2008) 为例, 作者罗拉·菲什 (Laura Fish) 以维多利亚时代著名女诗人勃朗宁夫人 (Elizabeth Barrett Browning) 的长诗《逃跑的奴隶》(*The Runaway Slave at Pilgrim's Point*, 1846) 为创作源头, 虚构了关于巴雷特家族种植园两位女性奴隶的悲惨遭遇, 以及诗人在听闻其中一位奴隶逃跑的消息后写下《逃跑的奴隶》一诗的创作经历, 在此基础上揭露维多利亚时代女性遭受的种族、阶级与性别压迫。作者同时还在小说叙事中融入大量诗人的真实日志与书信, 形成虚实相间的艺术效果。可以说《奇怪的音乐》既是一部改写维多利亚时代

经典文学文本的小说，也是一部重写维多利亚时代经典人物经历的小说；或者是同时兼具了新维多利亚后殖民小说、新维多利亚传记小说与新维多利亚女性哥特小说三重特征的小说，读者难以界定这部小说具体的解构对象。与《奇怪的音乐》情况相仿的还有《藻海无边》、艾玛·坦南特（Emma Tennant）的《苔丝》（*Tess*, 1993）、玛格丽特·福斯特（Margret Foster）的《女仆》（*Lady's Maid*, 1990）等小说。这是因为席勒等人的分类局限于某一具体的解构对象，忽视了部分新维多利亚小说中存在着多个解构对象的现象，特别是没有察觉到新维多利亚小说不同解构对象之间的共通性，如殖民与性别、意识形态与社会规范等问题在特定情况下是紧密联系在一起的，因此容易造成分类之间的重叠。除此之外，20 世纪末英语小说界还出现了一种新的历史科幻小说——蒸汽朋克小说（steampunk novel），因多数蒸汽朋克小说以维多利亚时代的英国为背景，通过建构一个蒸汽技术高度发达的“平行世界”来探讨自然、科技等人文话题，相关小说如威廉·吉布森（William Gibson）与布鲁斯·斯特林（Bruce Sterling）的《差分机》（*The Difference Engine*, 1991）、保罗·迪·菲利波（Paul Di Filippo）的《蒸汽朋克三部曲》（*The Steampunk Trilogy*, 1995）、柴纳·米耶维（China Mieville）的《帕迪多街车站》（*Perdido Street Station*, 2001）等也被相关学者划分至新维多利亚小说当中，以往的分类标准明显没有囊括这类小说。就此而言，目前的新维多利亚小说分类就存在类型的重叠与类别的缺失两大问题，有着进一步探讨的空间。

从席勒等人的研究来看，“叙事”与“解构”是理解新维多利亚小说类型的一组关键词，我们必须先明晰新维多利亚小说本质的叙事逻辑与解构指向：即新维多利亚小说怎样叙述维多利亚时代的历史？它们有无一个共通的叙事逻辑？蒸汽朋克小说这类脱离历史实际的科幻小说，其叙述历史的方式是否与以往的新维多利亚小说存在共性？因之，本文试图在探究新维多利亚小说中的历史叙事与双重时间建构的基础上，对新维多利亚小说类型进行辨析，提出新的分类标准，进而明晰其基于历史叙事视角的后现代历史观表征。

一、双重时间中的历史叙事建构

马克·卢埃林（Mark Llewellyn）在期刊《新维多利亚研究》（*Neo-Victorian Studies*）的创刊号中对新维多利亚小说做出如下定义：“既属于维多利亚时代又不属于维多利亚时代，它是对维多利亚时代历史进行重新阅读、重新构想与重新解释的叙事方式”（Llewellyn, 2008, p.179），这一定义指出了新维多利亚小说写作的两个核心特征——双重时间与历史叙事。新维多利亚小说叙述的内容是过去发生的历史，但小说中叙述的历史时代与历史叙述的时代并非处于同一时间维度上，是以当代的视角叙述的。哈德利就强调：“历史小说在书写一个时代的同时，又指涉另一个时代，它总是在现在与过去的关系中占据一个复杂的位置。对历史小说的批评应优先考虑创作的时代，而非小说书写的时代”（Hadley, 2010, p.5）。例如在《法国中尉的女人》的叙事中，小说讲述的是维多利亚时代的故事，但来自 20 世纪的叙述者声音反复出现在文本当中，小说明显是以 20 世纪的时代观念来写作与评价维多利亚时代的人事，在创作中形成了明显的双重时间历史叙事结构。卢卡奇（Georg Lukacs）在《历史小说》（*The Historical Novel*, 1937）中就以“时间错位”（anachronism）一词形容历史小说中出现的双重时间现象，并转述了黑格尔（G. W. F. Hegel）的观点：“书写对象（历史）的内在实质保持不变，但在不断发展的时代文化语境中它的表达形式必须发生改变”（Lukacs, 1963, p.61），指出历史小说的历史书写是无法回避当下视角的错位介入，只有这样我们才能感受到历史与当下之间

的紧密联系，历史叙事中出现双重时间导致时间错位是必然现象。那么历史小说应该关注的创作重点应是历史是通过哪种方式被叙述的，而不是叙述了什么历史内容。

琳达·哈琴（Linda Hutcheon）将当代这类具有时间错位特征的历史小说称为“历史编纂元小说”（Historiographical Metafiction），认为这类小说“既强调文本的自我指涉功能，又悖论地指向历史人物、事件”（Hutcheon, 2009, p.6），即当代作者以后现代意识指涉历史叙事，但又坚定其创作是“历史真实”的表达。历史编纂元小说的概念打破 19 世纪以来以德国历史学家利奥波德·冯·兰克（Leopold von Ranke）为代表的西方历史学家一直秉承的线性历史观。线性历史观遵循因果式的历史叙事逻辑，认为人类历史总是沿着从起因到结果、过去到未来的线性结构前进。海登·怀特（Hayden White）（2004）就指出在这种历史观下的历史叙事方式就是按事件发生的顺序排列形成编年史，然后再由编年史形成故事。史书上被详细记载的皆是影响历史走向的重要人物与事件，当下的我们对维多利亚时代的认识只是一串按时间与因果逻辑顺序排列起来的重大政治事件，我们只能被动地接受相关的论断。但是因为历史编纂元小说自有的时间错位特征，它遵循是从当下视角回到历史现场的逻辑，遥不可及的历史全貌就取决于我们对各种历史材料多方面地挖掘与阐释，这就使得历史叙事被编纂成为了可能。正如拜厄特在小说创作中使用腹语术（ventriloquism）的策略进行历史叙事一般，通过唤起死人的灵魂然后用自己的声音代替他们发声，将当下与过去两个不同的时空连接起来，从而还原历史的真相。值得注意的是，海伦·戴维斯（Helen Davies）（2012）认为腹语术本质上是一种精心策划的自言自语表演，因为只有腹语表演者发声，假定的对话对象才可能回话，这就意味着后者其实是被前者引导与操控的，腹语表演者和假定的对话对象之间的产生有关的历史叙事完全是由表演者的此时此刻的自我想象。维多利亚时代已经远去，我们没有办法回到过去，历史编纂元小说与腹语术都表明了当下的历史叙事只能在已有历史资料上进行时间错位地想象与推测。从这一层面上说，当下的我们参与了对“完整”历史的塑造。

有趣的是，荣获 1998 年雨果奖的新维多利亚小说《别忘了还有狗》（*To Say Nothing of the Dog*, 1998）就以“时间旅行”（time travel）的概念直接表明了当下对历史的塑造作用。小说名称来源于维多利亚时代作家杰罗姆（Jerome Klapka Jerome）的旅行小说《三人同舟：别忘了还有狗》（*Three Men in a Boat: To Say Nothing of the Dog*, 1889），它以未来 2057 年为时间背景，讲述了牛津大学历史学者内德·亨利为了寻找考文垂大教堂在二战期间消失的主教鸟桩而不断进行时间旅行的故事，期间因为连续时间旅行导致的偏差，亨利阴差阳错地抵达了维多利亚时代的牛津，并邂逅了杰罗姆（Jerome Klapka Jerome）一行人，之后一同游历了泰晤士河，并且亨利的加入还直接启发了杰罗姆《三人同舟》的创作，来自未来世界的时间旅行者成为过去历史的创造者。安·豪威（Ann F. Howey）（2022）指出这部小说实际上玩弄了历史叙事的因果观念，在时间旅行的干涉下，现在与过去的二元对立被打破，亨利遭遇的维多利亚时代是否是真实的不再重要，原因在于尽管他通过时间旅行回到历史的现场，但他所经历的历史现场正是由他当下的时间旅行所参与塑造的，由此打破了线性历史观，使历史真相变得扑朔迷离。因此，《别忘了还有狗》这部新维多利亚小说所揭示的历史秘密就是过去的历史只是历史学家一种想象的重建。从时间错位到历史编纂元小说，从腹语术再到时间旅行，新维多利亚小说中的创作种种概念都在向读者揭示历史叙事不再是牢不可破、不可逆转的线性结构，反而我们都有可能成为历史的参与者与解释者。由此可见，新维多利亚小说的解构指向并非仅是维多利亚时代的某一具体史实或叙述，而是历史这一概念本身。

二、新维多利亚小说的亚类辨析

在新维多利亚小说的叙事实践中，历史成为了一个开放的文本结构，如同拜厄特的揶揄：“（历史）既然不可能确知，那么我们就可以随心所欲地创造，什么都可以”（Byatt, 2016, p.51）。拜厄特的观点与怀特将历史看作一种语言构造可以被人为地介入是不谋而合的，他认为历史必须用语言叙述，但因为语言符号本身不可避免的象征特性，因此历史叙事其实是“语言凝聚、替换、象征化和某种贯穿着文本产生过程的二次修订的产物”（张京媛，1993，p.101），在某种意义上，历史被编纂也不是不可能之事。实际上，拜厄特本人就受新历史主义影响颇深，在评论集《历史与故事》（*On History and Stories*, 2000）中她就将当代小说创作发生历史转向的首要原因归结为新历史主义思潮消解了历史本体、模糊了历史与叙事文学界限。因此作者以什么方式叙述（解构）历史就成为新维多利亚小说创作中的一个重要问题。

根据前文论述可知，新维多利亚小说所叙述的历史是因时间错位导致的未知历史过程，而非起点与终点，其对未知历史过程的着迷暗合了新历史主义学者因为历史符码的断裂从而重视“小历史”的理论逻辑。所谓历史符码的断裂是指在看似完整统一的历史叙事中存在的缝隙与暗流，这是异我言说被主导意识形态压抑的结果。我们要如何发现历史叙事中存在的缝隙与暗流，那就要“表现出对历史记载中的零散插曲、轶闻逸事、偶尔事件、异乎寻常的外来事物、碑文甚至是不可思议的情形等许多方面的特别的兴趣”（张京媛，1993，p.106）。“小历史”的观念拆解了宏观、正统与一元的官方历史叙事，即仅仅展示统治阶级意志的历史叙事，转而重视民间历史叙事、个体历史叙事，体现了在后现代史观下历史叙事的微观性与复数性倾向。值得注意的是“未知”一词实质上指涉了双重含义，一是已知的反面存在，是有待我们发现的；二是可能的存在，既然是可能的，那么它并非必然是必然存在的，在具体的历史叙事中前者意味着对遗失历史的重新挖掘，包括官方记载中丢失的历史细节、没有被记录的民间历史等，后者意味着对非必然（不可能）存在历史的想象。在当代历史小说中就存在一种“或然历史（alternate history）小说”，指偏离正轨的历史叙事，一种假想性质的历史小说。或然历史小说的创作一般是选择历史发展的某一重要时期或节点，以此为转折点，杜撰偏离后续已知历史线性发展轨迹的事件，提供一种与现实历史互相参照的历史假设，李锋指出这些假设：“或基于科技预测，或基于相关事实，或完全出于主观想象，背后有作者在文化甚至意识形态上的考量。其中比较常见的是作者对当前社会现实的极度不满或担忧，通过描述一个梦魇般的世界，来达到讽喻当下、警示世人的效果”（李锋，2014，p.76）。我们可以认为或然历史小说体现了自反性、编史性、非线性历史、复数历史观等文体特征，与新维多利亚小说遥相呼应。实际上，新维多利亚小说中就存在不少或然的历史叙事，部分蒸汽朋克小说就是其中的典型。

因此，文章认为后现代史观中存在着三种不同的历史叙事视角，一是官方历史叙事视角、二是民间历史叙事视角、三是或然历史叙事视角。依托以上三种历史叙事视角，以历史叙事为核心特征的新维多利亚小说可以分为三类。

第一，基于官方历史叙事视角创作的新维多利亚小说。这类小说一般以有明确历史记录的人物、事件为创作来源，不改变已被记录的历史起因与结果，但会对其中没有被详细记录的历史过程与细节做合理地想象补充。代表作品有彼得·阿克罗伊德（Peter Ackroyd）的《王尔德最后的遗言》

(*The Last Testament of Oscar Wilde*, 1983)、玛格丽特·福斯特的《女仆》、拜厄特的《婚姻天使》(*Conjugial Angel*, 1992)、帕特里夏·凯特·戴维斯(Patricia K. Davis)的《午夜颂歌》(*Midnight Carol*, 1999)、朱利安·巴恩斯(Julian Barnes)的《亚瑟与乔治》(*Arthur & George*, 2004)、罗拉·菲什的《奇怪的音乐》等。这类基于官方历史叙事视角创作的新维多利亚小说书写的人物、事件是建立在相关的历史记录之上,作者在创作过程中往往需要参考大量材料,确保写作内容合乎客观记录。悖论的是,依托大量文书材料所书写的这类新维多利亚小说反而有着反对客观真实历史的自反特征,热衷揭露官方历史叙事的虚假特性,即维多利亚时代的历史书写者在叙述过程中出于某种目的有意地排除某些话语,当代的我们就要对此给予重现,补充官方叙事中所缺少的部分。拜厄特的《婚姻天使》就着重书写了桂冠诗人丁尼生(Alfred lord Tennyson)对密友哈勒姆的强烈爱意。在官方传记中,丁尼生与哈勒姆的情谊一直被视为是正常的男性友谊,但这是丁尼生的儿子在为其作传时有意删除了那些可能引起误解的书信材料的结果,因此公共领域中的丁尼生形象并非是完全真实的。金冰(2010)就指出拜厄特依托约翰·罗森伯格(John D. Rosenberg)、克里斯托弗·克拉夫特(Christopher Craft)等人对丁尼生与哈勒姆之间情感关系的研究重塑了私人领域中的丁尼生形象,在《婚姻天使》中再现了丁尼生对哈勒姆超乎友谊的情感。

值得注意的是,新维多利亚小说中存在一批以经典维多利亚小说为蓝本进行二次创作的改写小说,这类改写小说与上述文本有着相同的写作逻辑——揭露官方历史叙事的虚假特性。维多利亚小说作为维多利亚时代重要的文化表征,它们以文字叙述的形式直接或间接地反映了这一时期英国的社会状况与历史实际,参与了维多利亚时代历史的建构,例如在后殖民主义的视角下,一批维多利亚小说就被指认是见证与书写大英帝国殖民历史的重要文本。新历史主义提倡的“文本的历史性”就认为任何文本都是历史的产物,文本是一段压缩的历史,维多利亚小说在某种程度上已经成为了一种既定的历史叙事文本,充当了维多利亚时代历史的讲述者。然而,大部分改写小说的作者认为维多利亚小说受主流意识形态的影响,或者为了迎合官方意志便在创作有意美化或掩盖了许多社会问题,成为官方历史叙事的重要组成文本,那么他们必须在当下给予质疑与重现。因此改写小说的改写创作基本遵循原著的叙事逻辑,通过前传、后传、外传等形式讲述原有叙事中没有提及或被有意掩盖的内容对原著提起质疑。作为官方历史叙事产物的维多利亚小说与质疑官方历史叙事创作的改写小说之间就形成了一组矛盾关系,那么改写小说也应归类到此处。改写小说的代表作品有《藻海无边》、林·海尔·萨金特(Lin Hair Sargeant)的《希刺克利夫:重返呼啸山庄》(*Healthcliff: The Return to Wuthering Heights*, 1992)艾玛·坦南特的《彭伯里庄园》(*Pemberley*, 1996)、彼得·凯里(Peter Carey)的《杰克·迈格斯》(*Jack Maggs*, 1999)、D.M.托马斯(D.M. Thomas)的《夏洛特》(*Charlotte*, 2000)、乔·贝克的(Jo Baker)《浪博恩》(*Longbourn*, 2013)等。其中《浪博恩》的创作动因就是作者希望借改写来揭露《傲慢与偏见》(*Pride and Prejudice*, 1813)中被掩盖的阶级矛盾:“《浪博恩》中的主要人物是《傲慢与偏见》中幽灵般的存在,他们的存在是为了服务家庭和故事。他们传送便条和驾驶马车;他们在没有人愿意出门的时候跑腿——扮演着代理人的角色,在倾盆大雨中为尼日菲尔德的舞会去镇上取舞鞋上的装饰玫瑰。但是,至少在我的脑海里,他们也是人”(Baker, 2013, p. 336)。作者重点关注了《傲慢与偏见》中被忽略仆人群体,并从此视角

对既定叙事进行了扩容与补充，向读者展示被隐去的相关内容时又不破坏原著叙事发展。

第二，基于民间历史叙事视角创作的新维多利亚小说。这类小说一般以作者杜撰的一批维多利亚时代人物为书写对象，他们的生活经历为写作内容，从非官方的民间视角对维多利亚时代的社会、文化、历史等多个方面进行想象性还原，是新维多利亚小说最为常见的创作形式。代表作品有《法国中尉的女人》、格雷厄姆·斯威夫特（Graham Swift）的《水之乡》（*Water Land*, 1983）、萨拉·沃特斯（Sarah Waters）的《轻舔丝绒》（*Tipping the Velvet*, 1998）、贝里·班布里奇（Beryl Bainbridge）的《大师乔治》（*Master Georgie*, 1999）、米歇尔·法柏（Michel Faber）的《绛红雪白的花瓣》（*The Crimson Petal and the White*, 2002）、拜厄特的《孩子们的书》（*The Children's Book*, 2009）、安娜贝尔·阿布兹（Annabel Abb）的《伊莱莎小姐的厨房手札》（*Miss Eliza's English Kitchen*, 2021）等。基于民间历史叙事视角创作的新维多利亚小说通常聚焦于历史上无名（no name）个体的历史境遇，展示他们的命运如何被维多利亚时代的政治、经济、文化、价值观等因素塑造，从他们的境遇透视维多利亚时代的风貌。如《水之乡》中的托马斯·阿特金森利用新的蒸汽排水系统改造洼地，建造起了庞大的啤酒工厂，逐步掌握了芬斯地区的经济与政治，并随着英国的殖民扩张将其商业帝国扩张到印度孟买，阿特金森的发迹恰恰是与维多利亚时代英国社会的发展紧密联系在一起。正是如此，这类小说的叙事是以真实的历史背景为基础，通常还会结合相关的时代事件作为故事发展的脚注，如《法国中尉的女人》中提及的达尔文主义与古生物考古热潮、《孩子们的书》提及的工艺美术运动与博物馆运动，相关事件皆是维多利亚时代的代表性事件，因此这些小说的创作内容并不会违背历史的真实性。与此同时，这类小说特别瞩目书写被正史有意忽略的一类维多利亚人——精神病患者、性工作者等等，通过他们的经历向当代读者再现维多利亚时代被掩盖的历史阴暗面，揭穿维多利亚神话的虚假面目。至少在性道德方面，福尔斯就毫不客气地指出：“19世纪是那样一个时代：那时候妇女是神圣的，然而，你花几个英镑就能买到一个13岁的女孩子——甚至只要几个先令，如果你只要她陪你玩一两个小时的话；那时候兴建起来的教堂比那之前历史上所造的总和还多，然而，伦敦每六十幢房屋就有一幢是妓院（现代的比例是接近六千比一）；那时候，每一个布道坛，每一篇报纸社论，每一次公开演讲，都赞颂婚姻的圣洁和婚前的贞操，然而，众多的公众大人物——地位最高者包括王储——他们的私生活是丑恶可耻的，这类人的数量之多是以以前从未有过或者很少有过的”（Fowles, 2002, p.285）。

第三，基于或然历史叙事视角创作的新维多利亚小说。这类小说一般以维多利亚时代为故事背景，通过假想的创作形式虚构一段不可能存在的历史，或者将历史偏离原本的发展轨道进行演绎，即作者在创作中选择了不同历史分叉点来讲述平行世界的历史。代表作品有安吉拉·卡特（Angela Carter）的《马戏团之夜》（*Nights at the Circus*, 1984）、《占有》《差分机》，阿拉斯泰尔·格雷（Alasdair Gray）的《可怜的东西》（*Poor Things*, 1992）、《别忘了还有狗》《帕迪多街车站》等。基于或然历史视角创作的新维多利亚小说背离了读者所熟知的历史，取而代之的则是各种陌生奇异的历史想象：羽丰翼全的空中女飞人、蒸汽驱动的计算机、大脑置换手术、吸食人类心智的恐怖生物“鳞蛾”（slake-moth）等等。尽管这类新维多利亚小说所讲述的历史是不可能存在的，但其创作的内核仍是基于作者对维多利亚时代相关文化元素的利用与解构，如蒸汽技术、铁道交通、科学怪人、

煤气灯、伦敦妓院、降灵会等，读者可以在这类小说中发现许多与真实历史相仿的事件。特别是作为蒸汽朋克小说的鼻祖《差分机》看似是另一个平行时空的故事，但读者仍然可以从中看出许多与真实历史相对应历史事件：1832年议会改革、资产阶级政府镇压卢德运动、伦敦大恶臭事件等，只不过这些历史事件的发生时间、参与人物、进行方式有所改变。或然历史叙事虚构不存在的历史是否代表一种历史虚无主义？米兰·昆德拉（Milan Kundera）（2004）认为在文学创作中历史本身必须作为一种存在处境来理解，即历史的文学言说要在富有典型意义的特定处境中呈现，通过这一特定处境揭示人类面对的共同处境。实际上，基于或然历史叙事视角创作的新维多利亚小说一大创作方式就是抽取维多利亚时代典型的历史事件，然后对其进行陌生化处理。但就真实的历史事件与被陌生化处理的历史事件而言，两者本质上都代表着同一种历史的存在处境，即无论是真实历史中的人物还是或然历史中的人物，他们都有着相同的历史境遇。这类小说凭借相同的历史境遇的描写实现了今人对维多利亚时代的后现代审视。例如《帕迪多街车站》中的虚构城市新克洛布桑就与维多利亚时代的伦敦有着高度的相似性，黑夜中闪烁的煤气灯、雾霾天气、肮脏的下水道、犯罪猖獗的贫民区、神出鬼没的连环杀手“独臂螳螂手杰克”，伦敦人与新克洛布桑人都在面对着工业发展与高速城市化带来的种种弊端。就算是将时间背景设定遥远未来的《别忘了还有狗》也通过时间旅行装置将未来人与维多利亚人放置在同一历史场景里，使其共同参与到影响未来历史走向的关键节点当中，成为历史的参与者或见证者。新维多利亚小说中的或然历史叙事并不意味着是对真实历史的消解，反而它以一种梦幻的寓言方式向我们揭示人类所面临的历史境遇都具有相似的共性。

以上三类新维多利亚小说不约而同地通过想象的创作方式解构历史，带有明显的虚构特性，但这不代表它们叙述的历史都是一种无差别的乌有之事。三类新维多利亚小说想象的历史并非是一类型，不同历史叙事视角下创作的新维多利亚小说之想象，分别是有记录的历史、无记录的历史以及不存在的历史。不仅如此，小说对三类历史的想象都需要参照一定的历史材料，并非毫无根据的想象，差别就在于参照程度的不同：基于官方历史叙事视角创作的新维多利亚小说，通过对记载的历史进行叙事，叙事逻辑需要参照所叙述的历史原型与相应的社会历史现实进行建构；基于民间历史叙事视角创作的新维多利亚小说，通过对无记录的历史进行想象叙事，叙事逻辑只需参照相应的社会历史现实进行建构；基于或然历史叙事视角创作的新维多利亚小说，通过对不存在的历史进行叙事，叙事逻辑可以改变相应的社会历史现实，进行想象性建构。与此同时，我们必须认识到，虽然基于官方历史叙事视角创作的新维多利亚小说以考据的方式想象已经发生且有记录的历史，推测官方历史叙事中遗漏的信息，但也只是在尽可能地接近而非确凿的历史真相，遑论基于民间与或然历史叙事视角创作的新维多利亚小说。由此可见，新维多利亚小说所叙述历史的真实性永远是一个未知数，如同德里达（Jacques Derrida）提出的“延异”（différance）思想一般，有关真实历史的叙事永远在不停地阐释生成，充满着未确定性。

三、新维多利亚小说中的后现代历史观

历史叙事是新维多利亚小说的核心创作特征，从历史叙事视角对新维多利亚小说进行考察有助于我们发现新维多利亚小说的解构指向以及策略，厘清三种创作类型——基于官方历史叙事视角创

作的新维多利亚小说、基于民间历史叙事视角创作的新维多利亚小说、基于或然历史叙事视角创作的新维多利亚小说，由此突破既往分类研究中存在局限性问题。不仅如此，尽管三种新维多利亚小说的具体创作方式不一，但在解构历史过程中它们又共同体现了后现代历史观中表征的修正性、边缘性与自反性。

首先，试图修正历史。自新维多利亚小说问世之日起就被部分学者责难为一种类似“遗产电影”的怀旧商业作品，缺乏历史深度。事实上新维多利亚小说通过不同的历史叙事角度对既定的历史事实进行补充、反思甚至颠覆，隐含着文本要修正历史的冲动。在后现代思潮的影响下，正统历史叙事中以节制、保守、勤勉、繁荣等特点著称的维多利亚时代遭到了不同学者的质疑与解构，他们都反对单一的历史叙事掩盖了复杂的历史实际。为了展现多元的历史叙事，新维多利亚小说中的历史叙事都是对正统历史叙事的悖反。但是“历史叙事”一词本身就具有强烈的意识形态性，詹明信（Fredric Jameson）认为：“我们只能通过预先的文本或叙事建构才能接触历史，而我们对它的接近以及对真实本身的接近，都必须经过其在先的文本化，它的在政治无意识中的叙事化”（Jameson, 1997, p.148）。所谓的政治无意识中的叙事化即历史叙事无法规避叙事语境，包括叙事者的立场、政治活动、社会思潮等因素的干涉。因此无论以哪一视角进行历史叙事，质疑官方历史进行叙事创作、发掘民间历史进行叙事创作、虚构或然历史进行叙事创作都是新维多利亚小说基于当下的语境，从性别、殖民、创伤等角度对维多利亚时代盖棺定论的历史文本进行反复解读，有目的地为读者提供不同版本、非唯一性的历史叙事，即为新维多利亚小说的历史修正性。安德烈·基斯科诺普夫（Andrea Kirchknopf）强调：“新维多利亚小说是基于强烈的互文性概念，通过在当代和维多利亚时代的叙事之间建立对话，设法为当代重写文本提供不同于维多利亚时代的视角”（Kirchknopf, 2008, p.54），可见新维多利亚小说绝非单纯的怀旧之作。

其次，关注边缘历史。新维多利亚小说通过不同历史叙事角度叙述被压抑的个人史、家族史、或然史等在某种程度上皆是异于主流的。斯威夫特在《水之乡》中对历史做出以下定义：“1.探究，调查，学习。2.（1）对过去事件的叙述，史志。（2）任何叙述：记叙，传说，故事”（Swift, 2009, p.1）。在作者看来历史不只是历史书上所记载的史志，如法国大革命、第二次世界大战等影响总体人类命运的历史事件，还包括不被官方认可，或多或少有着虚构色彩的记叙、传说与故事等“小历史”，如克里克家族与阿特金森家族的历史，总的来说前者的历史价值往往高于后者。但当历史叙事打破视角的限制、着眼于叙述“小历史”时，宏观层面上的集体叙事将被消解，而微观层面上的个体叙事则得到重视，特别是个体的政治身份、性别身份、族裔身份等议题得到前所未有的关注，于是乎卢埃林所声称的“边缘化的声音”就被释放了出来，使得沉默的精神病患者、性工作者等一众历史中的他者可以重新发声。杜丽丽（2017）就以“众声喧哗的对话性历史”强调新维多利亚小说叙事是通过他者的话语在中心与边缘、自我与他者、事实与虚构的对话中解构与重构复杂的历史，颠覆了中心与边缘的二元对立。在后现代文学批评中，解构不仅是要消解中心，还包括了消解后的重构，新维多利亚小说对维多利亚时代的解构就是要以边缘的“小历史”修正中心的“大历史”，以不同历史叙事视角下不同版本、非唯一性的历史叙事强调多个中心的存在。

再次，反思历史本质。无论是试图修正历史还是关注边缘声音，新维多利亚小说通过不同的历

史叙事角度叙述的“小历史”皆是作者想象性重构的产物，因此我们无法确认被修正历史的真实性。当想象与真实的杂糅成为了一组矛盾的创作动力，两者相互对立使新维多利亚小说呈现出明显的自反性表征，这直接动摇了新维多利亚小说作为历史小说的根基，因为在传统史观中历史应该是绝对客观真实的。但是，在怀特（2004）看来历史叙事本质上已被证明是一种虚构的话语，绝对客观真实的历史叙事已不复存在，一切历史叙事都是建立在对过去文本的阐释上，我们如何阐释成为关键。想象历史并不意味着完全虚构，新维多利亚小说的虚构是一种参照式虚构，是建立在客观史料上的主观再创造，如同拜厄特依靠信件、诗集、日记等文本材料重新解读丁尼生的情感生活一般，新维多利亚小说毫不掩饰地以矛盾的自我指涉方式解构了绝对客观真实的历史叙事立场。在后现代主义的语境中，由于逻各斯中心的消解，一切叙述都走向了不确定的状态，新维多利亚小说对绝对客观真实的历史叙事修正，产生的多版本历史实际上就是一种不确定性产物。当然，新维多利亚小说矛盾的自反性并不是为了消解历史，其自我指涉、自我反思、自我反对的矛头是指向以统治者出发点的历史书写立场，历史不是一成不变的，历史是错综复杂。因此我们更需要以一种多元化的视角重新思考有关历史真相的问题。在此层面上，新维多利亚小说彰显的反思价值是值得肯定的。

综上所述，基于历史叙事视角考察新维多利亚小说的分类，我们可以将其分类为基于官方历史叙事、民间历史叙事与或然历史叙事视角创作的新维多利亚小说。无论从哪一角度进行书写，我们都可以清晰地看到新维多利亚小说创作以“小历史”反对“大历史”的解构倾向，而这一倾向正是其试图修正历史、关注边缘声音、反思历史本质等后现代历史观的具体展现。

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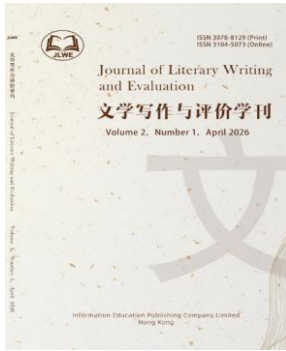
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《山神》中的通感实践与古今诗学对话——一种知觉现象学考察

黎钰晖 (Li Yuhui), 邵 薇 (Shao Wei)

摘要: 痙弦的诗歌创作以“通感”为核心艺术手法, 实现了对古典诗学传统的深度承袭与创造性转化。以痙弦的创作为本位, 对通感从古典“感通”哲学到现代修辞学的谱系演变及痙弦的实践作知觉现象学的考察, 可以发现, 痙弦的通感实践不仅停留于修辞层面的感官“联觉”, 而是抵达了通感所指涉的、经验与语言的关系——通感是感知秩序在语言中肉身化生成的艺术表现过程。《山神》是痙弦早年仿照何其芳《秋天》(二)一诗所写的习作, 在《山神》这一通感实践的经典范例中, 痙弦以听觉、视觉、触觉等多重感官的交互建构知觉场域, 实现音乐性与视象性的高度融合, 揭示感知经验通过语言显现的过程。痙弦以通感为媒介, 连通古典意象、乡土记忆与现代汉语感知结构, 在相互侵越、相互交织的语言张力中为经历过流散冲击的汉语重塑质感。痙弦的通感创作实践修复了白话诗的感知维度, 更在文学史层面接续古今、融汇中西, 为现代汉语诗歌开辟出一条天真而沉郁的诗意路径。

关键词: 痙弦; 《山神》; 现代汉诗; 通感; 知觉现象学

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Title: Synaesthetic Practice in *The Mountain God* and the Dialogue between Classical and Modern Poetics: A Phenomenological Inquiry into Perception

Abstract: Synesthesia serves as one of the significant artistic techniques in Ya Xian's poetry, enabling a profound inheritance of the classical poetic tradition while simultaneously achieving

a creative transformation of it. Taking Ya Xian's oeuvre as its focal point, this study examines the genealogical evolution of synesthesia, from the classical philosophy of affective resonance to modern rhetoric, alongside Ya Xian's poetic practice through the lens of phenomenological aesthetics. It argues that Ya Xian's use of synesthesia transcends mere sensory synesthesia at the rhetorical level, reaching instead toward the relationship between experience and language that synesthesia signifies synesthesia is the artistic unfolding through which perceptual order becomes incarnated in language. *The Mountain God*, an early work modeled after He Qifang's *Autumn (II)*, serves as a paradigmatic example of Ya Xian's synesthetic practice. In this poem, Ya Xian constructs a perceptual field through the interplay of auditory, visual, and tactile senses, achieving a high degree of fusion between musicality and visual imagery, thereby revealing the process by which perceptual experience manifests through language. Using synesthesia as a medium, Ya Xian connects classical imagery, rural memory, and the perceptual structure of modern Chinese. Within the tense interplay of mutual infiltration and linguistic interweaving, he restores a tangible, textural quality to the Chinese language, a language that has undergone the shocks of diaspora. Ya Xian's synesthetic practice not only to a certain extent, expands the perceptual expressiveness of modern Chinese poetry, but also at the level of literary history, bridges the ancient and the modern, integrates Chinese and Western traditions, and carves out an innocent yet profoundly melancholic poetic path for modern Chinese poetry.

Keywords: Ya Xian; *the Mountain God*; Modern Chinese poetry; Synesthesia; Phenomenology of Perception

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引言

痖弦（1932—2024）本名王庆麟，出生于河南南阳，是中国台湾省著名的诗人、文学评论家、文学编辑。他秉持高度的创作自觉，融入音乐、绘画等其他艺术门类的技法，试图修补古代汉语与现代汉语、古诗写作传统与新诗写作诉求之间的断裂。在痖弦的诗中，古代诗学传统未曾被截断，而是以内隐的形式与现代新诗艺术相遇、接续、展开对话，这种诗学对话表现为关于通感艺术手法的创作实践。对通感艺术手法的自如运用是痖弦诗的突出特征，也是他通过诗歌创作衔接古今诗学传统的文学行动之一。痖弦对“通感”进行了扩充与再构建，他的通感创作实践从具身的感知出发，综合了听觉、视觉、触觉、味觉等感官经验和蕴藉隽永的心灵感受，沟通五感、融冶物象。通感所强调的不只是审美体验中多种感觉的并行，实际上，“通”所达成的审美影响是一种对话关系，是意象与意象之间、文本与文本之间、读者与文本之间多层次的、相互交叠的对话。象征主义诗人如波

德莱尔（Charles Pierre Baudelaire）早已在其诗中尝试表达过，在主客体中存在着不可思议的契合感应现象，如他的《应和》一诗，“自然是座神殿，那里活着的柱子 / 时时含糊不清地喃喃自语； / 当人在那里行走，穿过象征的森林， / 森林用亲切的眼光注视着人”（Baudelaire, 2011, p.17），集中体现了象征主义诗学的世界观与“应和”的美学观。人的情感显现在自然对人的注视之中，神秘而奇特。在波德莱尔的艺术表现形式中，“应和”往往和联觉（synaesthesia）并用，“联觉”指的是听觉、视觉、嗅觉、味觉、触觉、直觉相互渗透，构成感觉的统一体。通过契合感应，现代诗与万物万象可达成一种多解的高次方程。通感所致的艺术效果不只是各感官间的相互浸染，它最终走向的是一个立体的、持续生成中的艺术空间，读者原有的感觉边界在这场对话中被打破、重置，在审美的张力中得以生成新的感知秩序。从哲学基础的角度来看，通感是感觉经验的生成性表现形式，关于通感的创作实践描述了经验生成的过程。感觉只有经过身体的亲历方才在世实存，它的存在处境不可能是孤立的。因此，要考察通感实践的特征及其艺术表达，首先要从历史考辨与知觉现象学的角度来考察通感。

1962年，钱锺书发表了《通感》一文。周振甫（1989）、莫芝宜佳（1998）等学者认为，钱锺书是“通感的发现者”。而近年来的考辨表明，“通感”二字早见于《南齐书》，其义近于“天人感应”，与修辞学义相去甚远。中国古代对通感的讨论本含摄于哲学范畴之内，未曾形成独立术语。钱锺书的贡献在于以跨文化视野将西方心理学中的联觉概念与中国古典传统相接合，并以“六根互用”阐释之，使其进入中国思想脉络。可以说，钱锺书完成了一次概念的重新“发明”。从整体上来看，围绕“通感”的讨论可归纳为三重对话：其一，古今之间——中国古代“感通”哲学与西方现代心理学的跨时空相遇；其二，跨学科之间——修辞学、现象学、认知神经科学各有涉猎，各有发明；其三，中外文化之间——通感从外来概念转化为本土理论资源的内化过程。通感之“通”由此获得了双重含义，它既是被归纳的艺术现象，也是在持续论辩中不断被重新发明的理论场域。

而从哲学层面来看，通感如何得以实现？梅洛-庞蒂的知觉现象学对通感的实现机制进行了阐释。（Maurice, Merleau-Ponty, 2001）他提出了“身体图式”的概念，“身体图式”指的是身体在感知世界时形成的、先于意识反思的统合能力，身体并非各器官的简单叠加，而是各感官之间无须转译即可直接交换信息的整体性结构。“身体图式”的统合功能使各感官无须转译便可直接交换信息，使得视觉中包含触觉的质感、听觉中潜藏视觉的轮廓成为可能。（Merleau-Ponty, 2001, pp.114-118）并且，“我对我的身体的意识，不是对一个孤立总体的意识，而是一种姿态图式，它是对我的身体与纵向、横向以及它所处环境的某些重要坐标轴之间的位置的知觉。”（Merleau-Ponty, 2001, p.177）感觉之间的流通是身体存在于世界的本然方式，而非后天习得的修辞技巧，感知秩序凝结于语言，使原本沉睡的知觉世界在言语中得以唤醒。知觉的统一先于理性反思，听、视、触等诸感官相互蕴含、彼此交织，统一于身体之中，而不是彼此隔绝。（Merleau-Ponty, 2001, p.214）因循这一路径，“身体图式”是解释通感发生机制的核心概念，“本己身体的综合”则可以用来描述读者接受层面的具身性——前者属于机制层面，后者则属于主体层面，二者共同支撑着文本与读者之间主体间性的对话结构。

从知觉现象学的角度来看，关于通感的创作实践既是对工具理性的抵抗，也是对被过度切割之感知世界的还原，是感知主体通过语言向世界的召唤作出的整体性回应。梅洛-庞蒂认为身体既不是

纯粹的主体，也不是纯粹的客体，而是一种原初的存在方式——人通过身体“存在”于世界之中，同时感知世界、也被世界所感知。（Merleau-Ponty, 2001, pp.98-101）痖弦的诗歌即是这一整体性回应的自觉实践。他的诗风本具有对话性，诗中社会关怀与超现实主义元素彼此张望、现代生存体验与古典诗学资源相互浸润，这种风格上的内在张力本身就是一场建立于知觉经验之上的“通感”。如《葬曲》（痖弦，2010，p.250）以整饬节奏配合超现实意象，洞穿生死之间的谜题；《如歌的行板》（痖弦，2010，p.194）以乐曲结构模仿柴可夫斯基弦乐四重奏的节奏脉动，诗题本身即是通感的宣言。而《山神》（痖弦，2010，p.47）则是痖弦通感实践中最为纯粹、也最为密集的一次，在《山神》中，他大量运用通感手法，以感知的流动本身作为诗的结构，艺术化地还原了感觉经验的内在秩序。

一、知觉盛宴：《山神》的通感形态与感官交融

身体是知觉经验生成的场域，虽然经验经由感官触发、输入，但感官与感官之间并非各自孤立，在“身体图式”的统合下，各种感觉彼此渗透、相互激活，先于理性分析构成了整体性的、未曾割裂的知觉结构。这种知觉结构的整体性是身体向世界敞开时，感觉经验汇聚所达成的结果。在“身体图式”的统合下，视觉、听觉、触觉等感知通道不是彼此孤立，它们是同一具身性结构的不同显现方式，而各感官之间的相互渗透与激活则是身体向世界敞开时的本然状态。视觉中含有触觉的质感，听觉中潜藏视觉的轮廓，触觉中回荡听觉的余响，感官与感官之间的相互联立和相互补充使知觉得以立体地把握经验对象，而诗歌中的通感实践则通过语言凝练、优美地还原了这种经验过程及其结果。通过听觉、视觉、触觉等多重感知维度的联动，痖弦在《山神》中构建了一个动态的、具身性的知觉场域，其中的感知维度是相互交融、相互含摄的。诗中每一处物象的出场都伴随着感官的联动，这种联动又反过来重塑了物象的呈现方式，由此形成一个不断自我生成的感知场域。当读者进入这一显现于文本中的感知场域时，便以自身的身体—主体为媒介，感受山中景致，读者的感知是在阅读接受的过程中与“山神”的感知共同生成的。

痖弦的通感实践并不是凭空而来，追溯《山神》的创作背景，可以发现痖弦的写作灵感来自何其芳的《秋天》（二）。（李元洛，1987）但从知觉现象学层面看来，二者对感觉的表达有着根本性的区别，何其芳的通感实践仍属于认识论框架内的描述，感觉是服务于意义表达的手段。而痖弦的通感实践则是感觉在本体论层面的显现，是感知经验的肉身化过程，感觉本身即是意义。

作为汉语新诗中较早自觉运用感官联觉、以多重意象层叠营造诗境的范例，《秋天》（二）在视觉与听觉的交织上已具有相当的艺术水准，其细密的意象铺陈和清婉的抒情语调也对痖弦产生了直接影响。然而，该诗的审美范式仍属现代白话诗早期“观照—描摹”式的静态结构，读者仍是从外部来观照诗中的意象和景观。何其芳以精微意象与柔美音韵描绘忧郁秋景，却仍未脱借景抒情的表意传统——诗人是单方向观察物象的主体，感觉的表现只是景物描写的点缀，不是对感知结构的艺术还原。每节结尾“秋天栖息在农家里”“秋天游戏在渔船上”等点题式的句子明确收束了流动的感觉，语言止步之处，也是感觉收束之处。诗人站在画面之外勾勒秋日图景，景物与人之间保留着静观式的、固定的审美距离，感觉的生成被限定在“诗人—景物”这一“观照—描摹”式的主客二分结构之内。景物是被赋予了情感色彩的对象，但它们自身的感知能力仍未被充分调动，没有与诗人展开双向的对话，感知结构的整体性被切断了。景物与人之间保留着静观式的审美距离，感觉的生

成被限定在“诗人—景物”这一主客二分结构之内。《秋天》（二）反映了现代汉语诗人在探索感觉表达时的一种阶段性范式——以“描绘”感觉为主，而非以感觉本身作为诗的结构。痖弦的《山神》则在这一范式上做出了重要推进。《秋天》（二）中的感觉与语言终究未能彻底打通“可说”与“不可说”之间的隔膜，《山神》则在这道隔膜上凿开了新的开口。

痖弦沿继《秋天》（二）的美学内涵在《山神》中进行了新的艺术尝试。《山神》集中体现了痖弦的通感实践中音乐性与视象性高度融合的美学特征——从感官联觉的角度来看，《山神》中的感官层次十分丰富，诗人通过调动视觉、听觉、触觉等多个感知维度，依照四季时序渐次展开一幅动态的物象图景。各类意象在诗中纷至沓来、腾挪跃动，引导读者实现感官与感官、感官与意象之间的联觉交响，进而与诗人的感知世界建立深度关联，构成主体间的对话关系。在痖弦对通感艺术的精妙运用之下，《山神》不只是一幅四季山水长卷，更是一部可听、可触、可感的综合感知诗篇，它充分展现了痖弦以通感拓展诗歌表现维度的艺术自觉和痖弦诗的通感实践特征。痖弦承继了何其芳音乐性与视象性细腻结合的语言风格，在《山神》中实验性地开辟了新的表达向度：风景物象不再只是被动的描绘对象，而成为以感觉为场域、与诗人主动展开对话的表意主体。诗中意象几乎无一静止——“太阳在山中点火”“瘴病婆兜售苦苹果”（p.47），动态化、人格化的意象将所有物象连缀为一个持续流动的感知世界。而且，此处意象的人格化也不是传统修辞学意义上以人拟物的单向投射，当太阳点起火、山中因此感到灼热，带来疫病的“瘴病婆”向山民“兜售苦苹果”时，物象不是被附加上人的某种情态，其人格化源于它们在具身经验中被诗人感知到的行动性和特点。如太阳投下的强光在视觉上和触觉上都如火焰般灼烈，山间潮湿闷热、易生疾患，因此山民们常受疫病之苦，这仿佛一场不可拒绝的强制交易，而“瘴病婆”的形象又增添了诗歌语言的童真之感，拉近了读者的感知距离。物象的特点与人的行为方式在感觉层面相互交织，这种写法将山中世界整体地构建为一个充满主动性的感知场域。除此之外，诗人以第一人称“我”来想象山神的行迹，每节结尾皆是山神融入凡间生活的姿态，如“我在菩提树下为流浪客喂马”“我在烟雨的小河里帮渔汉撒网”等，可以看出，山神与凡人之间毫无隔阂，感觉边界在这种“神”与人的互动中自然消弭。在感觉的相互侵越与彼此交织中，这位“山神”亲切、和善的形象与精神弥散而出——感觉不停，言说不止。诗行终结，而在读者的感知世界中，关于“山神”的吟咏久久未散。感觉的边界，终于超越了表达的边界。

因其通感实践的完满性与对前人作品的有意沿继，《山神》成为进入痖弦诗歌艺术天地的最佳切口。在《山神》中，痖弦重写了文本物象与读者之间的关系，充分释放了意象本自具足的言说潜能，构建了一种真正对话性的主体间性结构，这种结构所拓展的是感觉经验与诗歌语言的双重边界。《山神》中的世界是经由作为“身体—主体”的“我”——即那位温厚又略显狡黠的山神——在“身体图式”的统合下所遭逢的一个感性的整体，一切都由感觉而生。《山神》成功塑造了一种始于身体的、感知物的路径，“我”即是身体，而非“我”拥有身体，诗中所有的感觉都是“身体—主体”的感觉，是未经分化的、整体性的、充满生命交感的经验。身体处于知觉间，具有处境向度的空间性。诗人通过“山神”的身体调动起自身的感官，在文本中返回那个视、听、触、嗅浑然一体的知觉世界。

二、肉身与灵性：《山神》通感的诗学表达

《山神》中的感觉表达最终汇聚于肉身与灵性的维度。所谓“肉身”，是梅洛-庞蒂所说的知觉经验得以发生的具身性场域——不是抽象的精神，而是有温度、有重量、有感觉的“身体”；所谓“灵性”，则是山神信仰、四季轮回与泛灵论色彩所指向的超越性向度。在痼弦的通感实践中，肉身与灵性相互渗透——灵性借感官之“肉身”而显现，肉身因感通万物而获得了灵性的深度。这种双向的渗透具体地发生在《山神》的物象、声音与读者的感知等三种感知层面之中，成就了“感觉即意义”的表达。

（一）物象的多重共现

初读《山神》，四幅依次铺展的季候画卷跃然眼前，形成视觉上的刺激。诗中充盈着丰富的“物”，各类物象随诗笔流转纷呈，与读者建立知觉联结。这种知觉联结使读者从旁观者转化为以具身“肉身”置身世界之中的知觉主体，实现人与万物之间的知觉粘连与经验交织，诗意由此生成。正如梅洛-庞蒂所说，身体并非客体，而是知觉定位之场，是人与世界交流、组织与重写经验的媒介。在《山神》的通感世界中，身体知觉成为了意义生成的机制之一，各类意象则是触发多重感官响应的感知媒介。当身体的感官被文本激活，感觉就会进入到更复杂的意义建构之中，感官将人与世界相连接，又将这种连接的结果与个体已有的认知和经验连接起来，赋予意义。

诗中意象可依其属性大致分为五类：一是植物与作物类意象，如“松果”“菩提树”“苹果”“柿子”；二是自然征候类意象，如“太阳”“雪”“火”“北风”——二者共同昭示四季流转；三是动物类意象，如“马”“缙鹑子”“雁子”“狸花猫”，它们自在栖息，与人和山和谐共存；四是人物类意象，如“进香者”“流浪客”“瘴疔婆”等，或为山民，或为行者，与山的某一片段交会；第五类则是作为叙述基点与灵体化身的“我”——“山神”本身。第一人称“我”既串联四季图景，又推动诗节节奏，使全诗成为流动的整体而非仅仅是被观赏的、静止的画面。这些意象本身就蕴含通感的基本条件，具有视觉、听觉与触觉等多层面的表意潜能。“松果”粗糙的表皮唤起触觉的质感，成熟坠落的瞬间又隐含听觉的声响；“雪”既是视觉之白，也是触觉之冷与听觉之寂——落雪无声，有一定厚度的积雪却能在脚下发出吱嘎的响声；“火”既具色彩与形态，也散发热量与噼啪声响。痼弦在选取意象时，已然埋下了感官交织的伏笔，使每一个意象都成为多重感知的凝聚。

《山神》中的知觉体验是双向交感的，作为背景的山中四季被身体给予“我”，为“我”塑造了身体的空间，身体知觉到了世界。这是一种具身性的知觉体验。读者跟随“我”——“山神”进入其感知领域，山中的各种声响——风声、叶响、动物啼鸣、人的活动——在文本空间中此起彼伏，表现出静与动的张力与平衡。这种知觉体验的具身性引起了读者的共鸣，读者成为了全身心投入其中的参与者，是诗歌的主角之一。当“猎角震落了去年的松果”，读者的耳朵“听”到了猎角的鸣响，眼睛“看”到了松果的坠落，身体甚至能“感受”到松果落地的轻微震动，同一瞬间刺激多重感官，形成了联觉交响。

（二）听觉的多重共振

《山神》表层音韵纷然上下源于其语言形式与内在情感的共振结构，其音乐性十分突出。痼弦的笔触模拟歌谣式的复唱，调动感官联觉，在一首诗的篇幅中反复将视觉意象转化为听觉体验，又使声音具象化为可视的形态，意象为声音衍化出了“肉身”。他通过节奏的起伏、声调的抑扬以及意象之间的声音呼应，指挥了一场由自然之声来演奏的交响音乐会。

《山神》中对声音事件的表现是视觉化的。“猎角震落了去年的松果”(p.47)一句中,“猎角”的声音本是无形的振动,痠弦却写出了它能够“震落松果”的物理力量,听觉通过“震落”这一动词转化为触觉的冲击与视觉的动态。声音不再是无形无质的存在,而是能够作用于世界、能够改变物象形态的力量。这种对声音的视觉化处理,使听觉意象获得了空间上的延展性,并转化为可以“看见”的物质。“栈道因进香者的驴蹄而低吟”(p.47)一句中,作为静物的“栈道”在驴蹄的触击下发出“低吟”,原本作为视觉置景的栈道由此获得了听觉的生命,“低吟”既是拟声,也注入了情感色彩。诗人对声音的视觉化呈现使读者能够“听”到木质栈道在驴蹄下发出的轻微震颤,“看”到进香者缓缓前行的身影,感受到山间清晨的静谧与清凉。视觉、听觉、触觉、温度觉在同一意象中交汇。而“樵夫的斧子在深谷里唱着”一句中,樵夫挥起斧头是视觉动态,伐木的回声是听觉感受,“唱着”二字则简练地将视觉动态与听觉感受合而为一,形成了声景交融的复合意象。斧子的每一次起落都像是一个音符,深谷中的“歌声”是许多个音符的合唱,视觉上的劳作场景由此转化成为听觉上的旋律。

痠弦不仅善于将视觉转化为听觉,还善于将听觉具象化为可以被“看见”的形态。诗中的“北风”是冬天来临的季节信号,它的呼啸声也具有寒冷、凛冽的质感——读者仿佛能“看”到风声的形状,能“见”到寒意如何凝结于空气中。这种对听觉的视觉化处理使抽象的声响转化为能够被视觉捕捉的、更加具体的形态,使读者能够通过多个感官同时感知同一个意象。“雁子”划过天空的轨迹则转化为一串高低错落、渐远渐弱的音韵,雁阵的飞行本是视觉捕捉到的移动,但痠弦将其处理为一组“渐弱的旋律”——视觉与听觉的边界又一次不着痕迹地消融,读者既“看”到了雁群的远去,也“听”到了风中消散的雁鸣。这种感官交织使自然的响动与情感的韵律融为一体,深化了诗的象征层次和读者的感知体验。

《山神》的节奏设计同样是通感表达机制的体现之一,诗句的适时停顿和延宕构成了视觉与听觉层面的双重通感效应。在听觉层面,它们形成了音乐性的声调起伏;在视觉层面,这些停顿又转化为意象的疏密布局与情感的光影明暗。如“春天,呵春天”这一重复、延绵的咏叹句式,在听觉上是舒缓的抒情旋律,在视觉上有如春光骤亮、色彩突然跃动、丰富起来的过程,从这组复唱中,读者仿佛能看见冬天灰白、低郁的画面瞬间染上春天的彩色。诗人通过词语节奏设计“声音—视觉”的联觉,使诗歌得以摆脱线性时间单向推进式的扁平叙述,与读者的感知结构相互映射,成为一个可供读者徘徊其间的知觉场域。读者不仅“听”到了节奏,也“看”到了节奏在空间中的绎动,随之联通各个感官,感受到节奏变化带来的情感起伏。

(三) 读者接受层面的通感

《山神》灵动的语言风格与对主体间的对话性之艺术化表达是密不可分的,对语言、意象的轻灵运用和通过这种语言风格来托起的人与自然万物之间平等、亲切的对话姿态体现了痠弦诗歌游戏性的感知特征。这种游戏性是在诗性秩序中对世界展开的自由想象,语言接住了诗人的想象,在语言中展开的通感实践为《山神》略有神秘色彩的主题和对生命饱含关怀的情感创造出一种生动可感的肉身形式。

即便痠弦常常处理严肃的主题,但他的诗整体上仍能保持一种举重若轻的轻盈质地。《山神》涉及山神信仰、四季轮回、人与自然的关系等重大主题,但诗歌的语调始终轻灵、自由,这种举重若

轻之表达的实现同样依赖于通感，而在读者接受层面，它以童趣与游戏性等言说策略来达成。

童趣是痙弦诗的艺术特征之一。从知觉现象学的视角看，所谓“童趣”，是指一种先于理性反思的经验层面的、尚未被理性范畴切割的感知姿态。在儿童的经验中，视觉、听觉、触觉尚未像成人那样被区分为彼此独立的通道，世界是以“整体性”的方式被感知的。痙弦诗歌中的“童趣”是一种从对语言本体的追问中生成的诗学策略，它常常表现为一种天真的凝视，在一系列写景诗中，他摒弃了成人世界中的固化认知框架，走出人与物的隔阂，以贴近孩童的直觉尝试与万物建立平等的对话关系，回归那个未经分割的原初感知世界。在《山神》中，这种孩童的目光使“松果”“雁子”“狸花猫”等意象摆脱了单纯的、作为被观察的符号的物象功能，它们在孩童的视角下成为了具有主体性的、可以交谈的、能够表达喜怒哀乐的伙伴。松果可以被“震落”，也可以沉默地躺在树下，等待被捡拾；雁子“哭着喊云儿等等他”，在孩童的眼中，它们仿佛拥有人的情感与语言；狸花猫蜷缩在屋角打呼噜，它的呼噜声也成为了山间音乐的一部分。通过“童趣”的诗学策略，读者与物象的距离得以被拉近，物象通过现象身体的综合而被把握。“童趣”指向的是认知姿态层面的转变和认知视角的切换，它成功消解了人与物、主体与客体二元对立的僵硬界限，取而代之以交互式、游戏化的互动，使读者重新获得与世界对话的能力。这种视角不仅使意象倍显鲜活、灵动，还在本体论的层次上恢复了世界原初的可对话性，使全诗生机勃勃。可以说，痙弦通过通感机制祛除了遮蔽，世界复而澄明。在通感的维度上，童趣也意味着感官的全面开放——孩童尚未学会只使用某一种感官来感知世界，他们同时调用所有感官，用眼睛听、用耳朵看、用手触摸、用心感受，这种感官原初的开放性使通感成为可能。

《山神》中意象群内部的对话关系是游戏性的，当意象在诗中自由嬉戏、相互借喻、彼此转化时，它们所呈现的正是感知本身的发生方式——在目的性的理性思考之前，世界首先是以“游戏”的方式向身体显现的。这种游戏性显著体现为意象之间的自由嬉戏。在进入《山神》的感觉世界时，读者所参与的是一种非工具性的、更贴近于原初形式的感知活动。如“当融雪像纺织女纺车上的银丝披垂下来”一句中，痙弦设置了“融雪—银丝”和“银丝—披垂”两组对应，他让自然现象与人工劳作在通感中进行感觉交互的游戏，彼此借喻、相互转化。这种游戏性遵循内在的感知逻辑——融雪与银丝在因其形态而在视觉与触觉上相通，纺车转动与银丝披垂在动态上相似，自然与人工的界限在诗句、在感觉的游戏中随之消融。又如“牧羊童在石佛的脚趾上磨他的新镰”一句，同样充满游戏性。石佛的脚趾本是宗教庄严的象征，却被牧羊童用作磨镰刀的工具，二者在游戏中是并置的，神圣的象征却并未因游戏而被亵渎，也未曾对游戏的孩童产生力量压制，反而达成了一种和谐。而回归通感的角度，“磨镰刀”的动作唤起了触觉与听觉，“石佛的脚趾”也唤起了视觉上的肃穆、静默与触觉上的坚硬质感，各种感官经验在同一个画面中交织，形成一种近似复调的感知体验。

尽管《山神》带有一定的泛灵论色彩，但作为第一视角的“山神”并不是某种抽象概念的人格化图解或超验象征的简单投射。《山神》中作为叙述者的“山神”不是高高在上的超越存在，而是渗透于松果的坠落、融雪的披垂、雁子的啼鸣等细微意象之中的感知主体。如山神“在菩提树下为一个流浪客喂马”，其灵性体现为对山中生灵的日常关怀，通过触摸马鬃的触感、听见马蹄声的听觉、看见流浪客身影的视觉等感官，灵性找到了它的“肉身”，成为可触可感的在场。这是通感“道成肉身”式的深化，它在打通了感官界限之后，又打通了超越与内在、神圣与世俗的界限。山神的灵性

通过感觉介质而成为读者能够以全身心感知的存在，山中世界经由“身体—主体”的感知涌现。读者得以在感官的交响中，重返世界原初的可对话性。在痠弦笔下，通感远不止于修辞学意义上的感官挪移，而是对语言之发生机制的把握——它让声音可以被看见，色彩可以被触摸，使诗歌从线性时间的约束中解放出来，成为一个在文学时空中逡巡、呼吸、可交感的主体。

三、古今对话：痠弦通感实践的诗史价值

《山神》是汉语新诗中一次极其成功的通感实践，但若仅将痠弦的通感实践置于单一文本之内加以审视，则难以充分揭示其更深层的文学史意涵。因此，应当梳理古今诗学的谱系脉络，以历史眼光考察通感这一艺术手法在中国古代诗歌传统中的形态演变，方能突显痠弦通感实践的超越性。从白居易、元稹到李贺，古代诗人的通感实践有其内在的演进逻辑，亦存在难以逾越的表达困境；而痠弦对这一困境的回应与突破，正是其通感创作具有诗史价值的关键所在。

学者张桃洲认为，“汉语新诗理论要探讨和解决的问题是，处于‘现代性’境遇中的中国诗人，如何运用给定的语言材料——现代汉语——和言说空间，将自身的现代经验付诸表达。”（张桃洲，2005,p.5）痠弦在已有语言材料和审美范式之上作出艺术突破，以感觉为本位、用感觉来言说，凭意象群之音乐美和视觉美来呈现身体—主体的具身经验。意象群是表意的主体。当感觉在诗中相互触通，山神便在刹那作为可听、可见、可触、可感的诗意存在显现，这是中国古代“感通”之美学传统的现代性表达，古今汉语诗学传统在《山神》中相遇，并得到了新的阐发。通过《山神》，痠弦为中国古代诗人所面临的感觉言说困难提供了一种解法。

回看中国古代文学史，可以发现古人已经积累了大量的技法原型和创作实践，并产生了一定的理论意识。古人通过制造多种感官的融通组合来创造审美体验，使读者在其感官的共鸣中感知对象之美。钱锺书认为，“通感的各种现象里，最早引起注意的也许是视觉和触觉向听觉里的挪移。”（钱锺书，1985，p.65）古人的通感实践仅停留于修辞手法层面，通过侧写其他感官感觉来突出某一感官感觉。中国古代诗歌中，通感的经典形式是“听声类形”，通感实践多是对声音事件的叙写，从视觉与触觉层面落笔，写感官的挪移是为了烘托要表现的主角——声音，视觉与触觉是对听觉的增补。古诗中的通感实践典范之一《琵琶行》即属此类，白居易要侧重描写的感觉是听觉，他突出琵琶乐音之悦耳的方法就是以声写声，将琵琶乐音比拟为自然界中其他类型的声音，如“大弦嘈嘈如急雨，小弦切切如私语”，“间关莺语花底滑，幽咽泉流冰下难”等句，琵琶是“丝竹”之器，却能让听者有如同置身于自然界中，在短短一曲时间内带给听者繁美的听觉感受。《琵琶行》中的通感实践确实有意模糊了音画艺术形式的界限，以发散的写法表现“仙乐”之感染力，但却并未达到不同艺术形式之间的突破、交融，诗人的创作意图也是因自身的政治失意而感伤，听觉等感受不是最底层的主题。比起白居易的发散，他的好友元稹则在《善歌如贯珠赋》中将歌声比喻为“贯珠”，“贯珠”是全文的中心意象，通感实践紧扣它展开，“美绵绵而不绝，状累累以相成。……吟断章而离离若间，引妙啖而一一皆圆。小大虽伦，离朱视之而不见，唱和相续，师乙美之而谓连。……仿佛成像，玲珑构虚……清而且圆，直而不散，方同累丸之重叠，岂比沉泉之撩乱……似是而非，赋《湛露》则

方惊缀冕，有声无实，歌《芳树》而空想垂珠。”（元稹，2010，p.369）元稹极其细致地以“贯珠”流畅圆润之美写尽了歌声的动听，这种写法是集中的。元白二人的通感实践都着重于基于听觉展开的想象，或发散或集中，而若论及对感官世界进行最极端、最彻底的拆解与重组，则非李贺莫属。李贺放任知觉狂乱，他的通感实践是感觉先行的，这种写作手法撕开了诗人有意设计的规整感知秩序，使感官重返原初统一性，如《神弦曲》，“西山日没东山昏，旋风吹马踏云。画弦素管声浅繁，花裙綵縠步秋尘。桂叶刷风桂坠子，青狸哭血寒狐死。古壁彩虬金帖尾，雨工骑入秋潭水。百年老鸱成木魅，笑声碧火巢中起。”（李贺，2015，p.186）诗人从目视耳听等各个角度刺激读者的感官，以几组连续变换的意象群营造幻景，幻景所呈现的是融入打碎后改写的真实奏乐景象。李贺的通感实践就是诗人用色调一致、相互感应的意象群创造一个同时触发所有感官、知觉如潮涌般此起彼伏的通感世界。在他的通感世界中，所有感觉通道都被开启，通感与诗人的意志完成了融合，统摄于所有写作质素之上，表达形式因此发生了改变，生命感受融渗于通感的表达形式之中。从李贺的通感实践中，读者能够领会到他凄异、扭曲的生命感受。从《琵琶行》到《神弦曲》，对感觉的描写逐渐由记事言志前的铺垫、烘托转变为先行于其他写作质素的主导型表达，诗人描述声音事件亦从“听声类形”发展为系统性的意象群式写法，但感觉仍然没有成为诗歌要表现的主角。古人的通感实践大多停留于修辞的立体化层面，真正的、能以主角的言说姿态与世界对话的感知主体是缺失的，多数通感实践中，作为叙述者的作者、由物象而起的感觉与读者处于分离状态。这种传统的通感实践所对应的感知方式也是较为单调的，由于无法还原感知体验的复杂性和对话性，古人遭遇了表达的困境。

而在《山神》中，庾弦则让感觉成为了与叙事者“我”——山神——相当的主角，丰赡的四季物象与万般感受皆归于“我”，“我”是亲历山中世界的主体，也正是由于感觉的综合形成基础，“我”及“我”的所听所见才得以显现。《山神》的通感实践不只是单单描述某一声音事件或渲染某种情思，不让位于其他叙事目的，它所走向的艺术效果就是还原感觉的过程与结果。钱锺书将 synaesthesia 一词译为“通感”，其理据来自中国本土哲学中的“感通”传统，他在《通感》一文中论及，《易经》有言，“咸，感也……天地感而万物化生”，且宋人张载也认为“感通”具有一体性，“感而后有通，不有两则无一”。（钱锺书，1985，p.65）感官挪移只是对“通感”最表层的解释，通感的实质是通过感觉的叠加及感觉互为注解所达成的“感而遂通”之境。在庾弦的诗中，被封闭的感官重新敞开，通过联觉填补人与世界关系的空缺，原本孤立的主体之间因感觉而重新建立起对话，臻于“感通”之境。而从知觉现象学的角度来看，知觉习惯之所以能够在文学接受中成立，是因为一代代创作实践中所保留的经典化符号具有相对固定的可理解性。与此同时，语言在创作实践中不断打破习惯的桎梏，在文学实践的积累中保留语言之于意义的生成性。无论是古代汉语诗学中的通感修辞，还是现代诗学范畴中被视为一种新的感知综合形式的通感，其存在基础都是梅洛-庞蒂（2001）所说的“本己身体的综合”（p.60），即读者以自身身体作为媒介来综合感觉经验的能力。这既是身体一主体亲历世界时的特性，也是文学作品得以被阐释、经验从“不可说”变为“可说”的条件之一。身体的感觉与文学语言的表达具有同构性，唯有身体一主体与它所知觉的世界相互交织、相互反射、彼此包含，诗人想要通过文学作品表达的感觉经验才因“本己身体的综合”而得以显现。作为感知

主体的身体能够综合为一个统一整体，不再堕入虚无，而是因感觉深化本身的存在。身体—主体双重地置身于生活世界与诗人构造的文本世界中，其感觉是同步的。

可以说，痼弦的通感实践是一场主体间的诗学对话。读者是综合感觉、意义生成的主体，身体—主体是声音聚合和感官沟通的场域，感觉只有当读者亲历时方才显现，与对话的另一方——世界——产生共振、共鸣。痼弦的诗笔穿透了感受，将读者带往那个感官统合而非分立的原初世界。古人的感受固然敏锐，但其通感实践始终停留于片段的、对声音事件的放大，对视觉、触觉等其他感官的表现多居于次要地位，即使涉及到各感官之间的联觉，这种关系也不是双向的对话。声音事件仅仅是作为被描写的对象单向地被观察，由听觉挪移到其他感觉，但其他感觉对听觉的回应却是缺失的，导致了感觉对话的断裂。《山神》的写作意图并不是要抒发诗人对生活的感受，它是诗人对物象的观察、感知之统合，是“本己身体的综合”的艺术化表达。诗人调用各种物象不是为了展示自己的心境，他只是让物象自如地存在，还原它们的真实，没有过多着色、夸张，而它们原本的面目已足够生机勃勃，具备作为主体与读者对话的言说潜能。这个世界中，知觉成为了主导，外部物质世界的一切任由感官调动，知觉世界与外部世界由“感”而衔接，由“感”而通达。这是一种文本世界与生活世界之间的通感。现代诗人在创作中追求万物互联、心物交融的效果，可以视作是用现代汉语重写“感通”传统的尝试之一。通过多层次的通感实践，痼弦在《山神》细致地建构了这样一个“感通”的世界。

那么，他如何在《山神》中表现这个“感通”的世界呢？《山神》的世界中有可听、可见、可感的时序。《山神》依照四季时序展开图景，而通感正是连接四季、使时序流转得以转变为知觉之美妙体验的媒介，诗人用被充分感觉的物象来表现本不可见的时间，为模糊的时间涂上一层清明的颜色。春天对应着听觉的复苏——“猎角震落松果”的声响；夏天对应着视觉的繁茂——“菩提树”的绿荫；秋天对应着触觉的丰收——“苹果”“柿子”的饱满；冬天对应着温度觉的收缩——“北风”的凛冽与“雪”的寒冷。每一个季节都有其主导的感官维度，但痼弦从未孤立这些感官。春天的声响中有视觉的动态，夏天的繁茂中有听觉的蝉鸣，秋天的丰收中有触觉的饱满，冬天的寒冷中有视觉的洁白。四季的流转，由此成为感官的流转；时间的推移，由此成为感知方式的更替。正如大风起于青萍微末，读者能够以通感为媒介，全身心地沉浸感受季节变迁下的物象变化，感受“我”作为山神如何顺应自然规律生活。《山神》的世界中有对话的主体。《山神》中，第一人称“我”既是叙述基点，也是灵性的化身。但这个“我”并非孤立地观看、摄取物象，“我”不是独白的主体，而是时时刻刻都在与万物对话的感知主体。“我”与松果、与雁子、与流浪客之间的关系都是平等的对话关系，这种对话关系的建立依赖于通感的媒介作用。不是“我”单方面地看见、听见了他（它）们，而是通感使“我”能够感知万物的感知，松果的坠落不仅是视觉事件，也是“我”能听见的声响、能感受的震动；雁子的啼鸣不仅是听觉事件，也是“我”能看见的轨迹、能触及的哀伤。经由通感，“我”得以进入万物的感知世界，万物也得以进入“我”的感知世界，主体与客体、人与物的界限在感官的交融中消解，“我”陶醉于存在风格之中。

痼弦的通感实践不仅突破了对感觉结构、感觉方式与语言关系的表层艺术化把握，还通过诗歌的言说方式使抽象的主题落于可感的实处，为其再塑肉身。山神的灵性体现为可触可感的日常关怀，

四季的轮回体现为可听可见的意象流转，人与自然的关系体现为感官的交融，当人身处于错综复杂的感受之中，就已经是在与世界对话。原本重大的主题被转化为具体的感官经验，它们不再是沉重的概念负担，而成为可以轻松感知、自由体验的诗意存在，读者在这种孩童游戏般轻快的节奏里领悟生命原初的诗意。

通过对通感艺术的精妙运用，《山神》实现了音乐性与视象性的高度融合，诗人调动视觉、听觉、触觉以及心灵感受等多重感知，依照四季时序渐次展开动态的物象图景，引领读者进入诗的世界，达成感官与感官、感官与意象之间的联觉交响。痖弦在《山神》中以丰富多彩的声、形、色意象群呼唤读者的感知，这使得诗歌成为一个能呼吸、会游戏、可交感的、带有生之意趣的主体，读者对诗歌的理解不再是静观式、对象化的。《山神》的感知场域持续向读者敞开，当读者跟随“山神”这一“身体—主体”进入诗的知觉场域，阅读行为本身便成为一种具身化的经验接受，读者以自身的感知结构回应诗中感知结构的召唤，与之形成交感与共振。通感超越了形式技巧，成为痖弦与读者、与自然、与生命进行关系性对话的根本诗学途径。

结语

从感官形态的细读到“肉身与灵性”之通感形态的剖析，再到古今诗学谱系的纵向梳理，可以发现，痖弦的通感实践抵达了感知经验与语言关系的本体论深度，不只是停留于修辞技法的表层；他所书写的“感觉”亦不只是对物象的外部观察，而是物象与心象的对话式契合。通感是痖弦诗的艺术特征，更是痖弦重构对物象的感知、融会中国古今诗学的策略之一。通过对古典意象的创造性转化和对现代经验的感官统摄，痖弦让古今诗学得以在文本空间与修辞境遇中开启对话，拓展了汉语诗歌的表现领域，为当代诗学应如何处理传统资源这一疑惑提供了一种新的可能。作为一种诗学实践形态，通感不能被简化为纯粹的外部因素，它指向的是诗人对语言质地的锤炼，以及对感知世界的生成性把握。可以说，通感的发展本身即是一种多层次的、文学史相互交叠的对话。痖弦的诗学贡献不仅限于形式上的创新，他与古典传统的对话，对时间、记忆与存在的沉思，都反映出特定的社会文化心理和时代变迁的印记。对痖弦诗歌的理解若仅止步于艺术技法层面的分析，便难以完整把握其诗学价值。

痖弦的诗歌一方面是其个体心象的投射，另一方面是与古典诗学传统、现代世界景观及读者期待视野之间多重对话的产物。痖弦的创作实践说明，文学经典的生成从来都不是审美自律性的孤立事件，而是审美创造与历史选择、文化传承与社会语境等多种因素共同作用过程。通感既是连接诗人内在感官与外在世界的媒介，也隐喻性地成为联结文学内部研究与外部研究的有效进路。归根结底，痖弦的通感实践是一场古今诗学的内部接续。他用现代感知结构重写了古典诗学精神，使古代汉语的韵律与意境在现代汉语中获得新的生命形态。这种转化不是对已有传统的背离，而是生发于诗学对话的创造行动。当感觉在诗中相遇，山神便在刹那显现，永恒在静寂中降临——“山神”不是不可见、不可说的神灵，而是可听、可见、可触的诗意本身，痖弦为读者打开的是一条重返世界原初可对话性的诗学路径。

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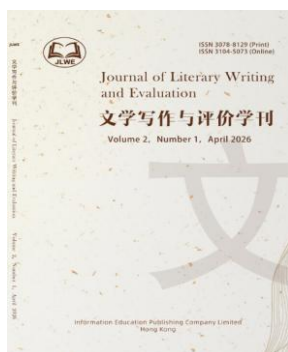
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自由外衣下的性别桎梏：论《富兰克林自传》中的女性观

翟俊丽（Zhai Junli），冯军霞（Feng Junxia）

摘要：作为美国传记文学的开山之作，《富兰克林自传》不仅成功地向世人传授了勤奋自律、力臻完善的道德律令，还塑造出了一个无法比肩的美利坚民族的国父型人物形象，使富兰克林成为家喻户晓的“美国第一人”。但是，《自传》也同时折射出了作者偏颇的女性观。相较于众多个性鲜明的男性，富兰克林所著自传中既无女性群像，也鲜有女性角色被提及，连相伴一生的妻女也只占据了寥寥数笔。即便提及，女性人物也往往被刻画为卑微低俗的不堪形象。为何一部倡导独立自强、不计出身背景机会均等的作品在性别问题上却表现出如此明显的偏见呢？为何一位提倡民主自由博爱的启蒙思想家对女性却偏偏如此苛刻呢？究其根本，我们认为，18世纪欧洲社会普遍存在的父权思想是该作中女性形象缺失的客观原因，而更主要的原因则是由于富兰克林自身持有的浓重的男权意识。

关键词：本杰明·富兰克林；《富兰克林自传》；女性观

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Title: Gender Constraints Under the Veil of Freedom: A Study on the View of Women in *The Autobiography of Benjamin Franklin*

Abstract: As the pioneering work of American biographical literature, Benjamin Franklin's *Autobiography* has not only successfully imparted to the world the moral principles of diligence, self-discipline, and the pursuit of perfection, but created an incomparable paternal figure of the American nation, making Franklin a household name as “the first American”. However,

Autobiography also reflects the author's biased view of women. In contrast to the numerous distinctive male figures, Franklin's *Autobiography* contains neither a group portrait of women nor many references to female characters. Even his wife and daughters, who accompanied him throughout his life, are only briefly mentioned. Even when mentioned, female characters are often depicted as humble and vulgar figures. Why does a work that advocates independence, self-reliance, and equal opportunities regardless of background show such obvious gender bias? Why is a thinker who promotes democracy, freedom, and universal love so harsh on women? At the root of it, we believe that the widespread patriarchal ideology in 18th-century European society is the objective reason for the absence of female characters in this work, but the more significant reason is Franklin's own strong male chauvinism.

Keywords: Benjamin Franklin; *Autobiography*; View of Women

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引言

本杰明·富兰克林 (Benjamin Franklin, 1706-1790) 是美国历史上一位纪念碑式的人物, 他集政治家、外交家、科学家、社会活动家、思想家、作家等多重身份于一体, 被认为是美国的国父和美国精神的化身。他的一生留下了许多宝贵的遗产, 《富兰克林自传》当属其中最为重要的遗产之一。这部作品讲述了富兰克林通过自我教育和完善实现“美国梦”的心路历程, 同时也描绘了他对于科学与进步、民主与自由的崇高追求, 传统解读将其视为改变无数人命运的美国精神读本。在18世纪启蒙运动推崇理性、平等、自由与个体权利的时代浪潮中, 富兰克林以自我奋斗的叙事范式, 将个人道德完善与民族国家建构紧密结合, 使其自传成为阐释现代主体精神的经典文本。启蒙思想强调个体的价值与尊严, 主张打破出身、等级的限制, 为北美殖民地的独立与民主制度的建立提供了重要的思想根基。然而, 当我们以女性主义研究视角重新审视这一经典文本便会发现, 在通篇宣扬“人人生而自由平等”的叙事内核之下, 女性却处于系统性缺席、失语与被客体化的处境。这种鲜明的性别失衡并非简单的叙事疏忽, 而是18世纪北美父权文化结合作家个体价值观共同作用的结果。从女性主义理论视角来看, 自传作为一种自我合法化的文类, 其人物选择、叙述侧重与价值评判, 本质上是社会权力关系在文本中的具象投射。富兰克林在作品中对女性的遮蔽、简化与工具化塑造, 恰恰暴露了其“自由”叙事背后的性别排他性与权力边界。基于此, 本文依托西蒙娜·德·波伏瓦 (Simone de Beauvoir) 《第二性》(The Second Sex) 中的他者理论, 以及朱迪斯·巴特勒 (Judith Butler) 的社会性别建构与男性中心话语理论, 剖析18世纪父权制性别秩序下富兰克林偏颇女性观的形成逻辑与文本呈现, 挖掘这一经典自传文本背后的性别权力关系与女性被边缘化、被工具化的深层根源, 使我们对这部流传不息的伟人传记获得更为全面、客观的认识。

国外关于《富兰克林自传》的研究一直如火如荼, 仅以该书名为题的论著就达16本之多, 但长期以来, 文本中隐匿的性别叙事与男性中心视角, 长期处于研究视野的边缘, 鲜有著作分析该作品中体现的作者的女性观。其中, 纽约城市大学教授大卫·瓦尔德里斯特雷彻 (David Waldstreicher) 曾提及富兰克林在女性问题上前后矛盾的态度, 威廉·舒尔 (William Shurr) 则认为富兰克林对于女性在婚姻中的经济和繁殖能力的重视是其实用主义思想的体现。对富兰克林的女性观剖析更为深入

的则是拉里·蒂斯（Larry Tise）的著作——《富兰克林与女性》，该作品相对全面地梳理了富兰克林的一生与女性产生的各类交集。在国内，虽然富兰克林广受学者关注，但对其自传中作者的女性观这一话题的关注和研究也十分少见。分别以“本杰明·富兰克林”、“富兰克林自传”为关键词在CNKI 上进行检索后得出，已有的研究中大部分是关于《自传》中的宗教观、伦理品德和实用精神，与富兰克林的女性观相关联的目前只有黄川的“叙述中的权力——论《富兰克林自传》中的男权意识”。综上所述，目前学界已有的关于《富兰克林自传》的研究未能就其中所体现的作者的女性观展开深入探讨，作品背后所折射的时代及作者的思想局限性也尚未得到充分发掘，这也是本文开展此次研究的核心出发点与价值所在。

一、自传中女性形象的缺失

朱迪斯·巴特勒在《性别麻烦》（Gender Trouble）中指出，在阳具逻各斯中心主义主导的普遍男权体系下，女人始终处于难以被完整言说、无法再现的处境，成为语言表达中缺席的存在。《富兰克林自传》中女性形象的大面积缺失，并非简单的叙事取舍，而是这一霸权话语体系的直接体现，这使得“女性这个具有颠覆多元性的场域没有发声的余地”（Butler, 2024, p. 72）。整部自传以男性个人成长、事业追求、公共价值实现为核心叙事线索，其书写逻辑完全依附于男性主体的话语体系，女性不被视作独立的叙事主体，被排除在核心叙事之外。相较于浓墨重彩的诸多男性人物，富兰克林生活中的女性在其自传中被严重忽视甚至是完全缺失的。首先体现在叙述者对于其女性家庭成员的忽略。在“家族逸事”一章中，富兰克林追溯了本家的家族史，讲述了其父辈的故事，包括祖父和三位伯父如何在各种艰难的环境下坚持学习圣经、坚守宗教信仰、追求事业的故事。在回忆父亲在他为人处世和教育启蒙上的深远影响时更是不厌其烦、娓娓道来，花费大量篇幅来夸赞其父亲的风度和品格。吉尔·莱波雷（Jill Lepore）（2013, p. 19）在她的《岁月之书》中曾写道，富兰克林的母亲常年操劳：“缝纫、祈祷、读书、宰杀、烹饪、洗涤、擦洗、打理花园、熬制肥皂、制作蜡烛”。然而，这类维系家庭、支撑他成长的女性付出，在这位伟人的自传中却丝毫没有提及。对于母亲，他只是一笔带过，“我的母亲也有同样的好体格，她抚养了她的十个孩子”（富兰克林, 2010, p. 9）。此外，除了母亲的名字艾比亚（Abiah）之外，书中甚至找不出一个完整的女性的名字。在同辈的十二个兄弟姐妹中，只有哥哥、姐夫和妹夫在记叙中被提及，诸多姐妹甚至是与富兰克林感情最为亲密的妹妹简·米考姆（Jane Mecom）都不曾占有一席之地。妹妹简一生与富兰克林书信往来长达63年，为他传递家族讯息，是他重要的倾诉对象，却依旧被排除在自传之外。正如莱波雷所言，他撰写自己的人生故事，将家庭、妹妹与过去统统抛诸身后，从而成为一个开明、独立、通达世事的人，一个真正自由的人。富兰克林对于后辈的态度则更为明显。富兰克林一生育有三位子女，分别是萨拉（Sarah）、在四岁时夭折的小儿子弗朗西斯（Francis），以及自传伊始所指的“我亲爱的儿子”——威廉（William）。威廉不仅生母身份未明（私生子），还与父亲在政治上分道扬镳最终彻底决裂。相比之下，女儿萨拉则始终照顾陪伴父亲直至他生命的最后一刻。然而，即便是这样长久的陪伴与照料，也无法换得相应的书写话语权。富兰克林在创作时既没有选择用“亲爱的女儿”，也没有用笼统的“亲爱的孩子们”来开篇。这种开篇称谓的性别筛选，以极简的叙述方式完成了男性中心的家族谱系建构，将女性彻底排除在精神传承与价值接续之外，直观呈现出对女性的忽视与轻视。

其次，富兰克林对于女性朋友也颇为吝惜笔墨。从名不见经传的印刷店学徒成长为举世闻名的人生导师，“富兰克林立本之道的一个核心是发挥‘人的因素’”（赵白生, 2004, p. 87）。可以说，无论是从波士顿到费城的首次冒险，还是在印刷店从学徒到老板的飞跃，抑或是后来政坛上的叱咤风云，富兰克林的每一步成功都离不开身边朋友的帮助，而富兰克林也处处表现出超强的社交与用人技巧，朋友是无疑他人生历程中无形的巨大财富。在自传中，富兰克林对那些帮助过自己的朋友们不惜笔墨，如詹姆士·拉尔夫（James Ralph）、艾萨克·皮尔逊（Isaac Pearson）和史密斯

兄弟 (the Smiths) 等等, 以至于杰夫瑞勋爵 (Lord Jeffrey) 质疑称富兰克林不应将这么多“默默无闻的人”写入回忆录 (赵白生, 2004, p. 88)。然而, 在洋洋洒洒的关于朋友的叙事中, 女性却不曾占有只言片语。当然, 这里不排除有富兰克林所在的印刷业等活动领域女性参与较少的原因。然而纵观富兰克林的一生, 他真的缺乏异性好友吗? 事实上, 富兰克林与女性广泛而复杂的交往不仅是公认的, 也是有据可查的。沃尔特·艾萨克森 (Walter Isaacson) (2008, p. 83) 就曾表示, “富兰克林天生就对女性有好感, 他喜欢和女性交谈, 一起工作, 既可以和她们严肃认真地讨论工作, 也可以和她们轻松地打情骂俏”。艾萨克森提到的这些女性包括但不限于“法国大革命前夕所邂逅的气质优雅、珠光贵气和充满异域风情的巴黎女士们; 在18世纪的美国殖民地、伦敦和英国各地、低地国家以及德国法国的会客厅和沙龙中遇到的其他各种女性” (Tise, 2000, p. 1)。其中与富兰克林交往最密切的当属巴黎的布瑞伦夫人 (Anne Brillon) 和赫尔维修斯夫人 (Anne Helvetius)、其停留伦敦期间借宿的女房东斯蒂文森夫人 (Margaret Stevenson) 和女儿波莉 (Polly Stevenson), 以及忘年之交的凯瑟琳·雷 (Catharine Ray)。布瑞伦夫人作为法国上流社会极具影响力的沙龙女主人, 为富兰克林在法国的外交活动提供了重要的社交支持与舆论助力; 斯蒂文森夫人和女儿不仅为富兰克林提供了住处, 还宽慰了他在遥远而漫长的旅途中远离亲人的孤独与寂寥, 使他在异乡感受到了家人的温暖与慰藉, 他们的友谊也一直维系到了富兰克林生命的尽头。但是这些女性朋友却通通没有在富兰克林的自传回忆中被提及。这种系统性的遮蔽并非偶然, 而是富兰克林以男性为中心的叙事逻辑使然, 在他的自我书写中, 只有能够助力其事业、彰显其品格的男性关系才值得被记录, 而女性的情感陪伴与精神支撑则被视作无关紧要的私人生活细节, 被彻底排除在他的公共性自传叙事之外。

二、自传中对女性刻画的指向

虽然《自传》中对于女性的关注较少, 但也有一些女性在富兰克林笔下被呈现了出来。然而, 对于这些女性的描写却指向了作者富兰克林偏狭的女性观。作为第二波女性主义浪潮的代表人物, 波伏瓦提出, “定义和区分女人的参照物是男人, 而定义和区分男人的参照物却不是女人。她是附属的人, 是同主要者 (the essential) 相对立的次要者 (the inessential)。他是主体 (the Subject), 是绝对 (the Absolute), 而她则是他者 (the Other)” (2004, p. 5)。父权社会中男性占据天然主体地位, 女性始终处于他者的位置, 《自传》对于女性的刻画恰好印证了这一理论: 文中出现的女性角色, 几乎都没有独立的个人追求与价值, 而是被简化为依附男性的功能性存在——其存在意义仅仅是服务男性书写、满足男性在生活、经济与道德层面的现实需求或教化他人。这些有限的女性书写并非对女性现实状态的客观再现, 而是按照男性中心视角对女性角色进行的规训, 服务于以男性为主体的社会与家庭秩序。

富兰克林的偏狭首先体现在他对待女性的实用主义态度。正如《本杰明·富兰克林研究指南》 (A companion to Benjamin Franklin) 一书中论述, 虽然富兰克林“确实把许多女性当作完整的个体来对待, 但当她们不再有用时, 他就会抛弃她们” (Waldstreicher, 2011, p. 249)。在《自传》中, 这种实用主义立场最突出的体现是他对于婚姻的态度。当好心的戈弗雷太太 (Mrs. Geoffrey) 为富兰克林撮合姻缘时, 他表示, “我希望他们女儿带来的钱可以偿还我的印刷所尚未付清的债务, 我相信这个数目不会超过100英镑” (富兰克林, 2010, p. 54)。而当女方的嫁妆无法达到这个数额时, 他转而建议女方家庭抵押房屋以满足需求。这也是布洛赫 (Bloch) (2003, p. 112) 所指的——“富兰克林经常把好妻子与金钱等同起来。”对于富兰克林而言, 婚姻的意义不在于情感联结, 而在于维持家庭秩序、保障个人事业无后顾之忧, 女性在其中承担的是功能性角色, 而非平等的伴侣。在联结婚姻与经济利益的希望幻灭之后, 已在婚恋市场丧失优势的富兰克林最终选择了相识的里德小姐作为终身伴侣。他们的结合一则可以克制他与充满诱惑的“下等女人”交往的欲望; 二则, 黛博拉 (Deborah Read) 忠贞节俭, 这与他的观点——“妻子就应该操持家务, 勤俭持家, 照顾一

家老小”的观点不谋而合（艾萨克森，2008，p. 60）。事实证明，黛博拉没有让他失望。在婚后的44年间，富兰克林长期滞留于海外，追求公共事务，缺席家庭参与。黛博拉不仅要照顾一家人的起居饮食，还代他履行各项职责，包括照料印刷所的一应生意往来，监督住宅的施工，《印花税法案》暴乱期间保卫该住宅，以及代为管理殖民地邮政局等等。这满足了富兰克林对于婚姻的实用主义愿望，他为此称赞黛博拉是一位勤劳简朴的好帮手。对比妻子毫无保留的付出，富兰克林显然在婚姻中并不尽职。他始终热衷于自己的公共事业和科学实验，在妻子生命余下的十八年内也依旧没有放弃他的事业与旅行的爱好，最终导致妻子孑然一身，遗憾而去，不禁令人唏嘘。最后只在《自传》中简单提到了妻子，行文之中几乎没有流露出任何感情，这种极度理性甚至冷漠的叙述方式，进一步凸显了女性在其价值体系中的工具性位置。

除了实用主义的态度，作品中对于女性的描写也反映了富兰克林对于女性的歧视。《自传》第一部分中提到了他与朋友约翰·科林斯（John Collins）就“女性受专门知识的教育是否适当”这一话题展开的争辩。富兰克林说道，“他的意见以为这是不适当的，因为她们对这事是天生不能胜任的。也许有点为争辩而争辩，我就站在反对的一方”（富兰克林，2010，p. 12）。对于此次辩论的最后结果，富兰克林的认知却与女性教育这一话题无关，而是认为自己应该在辩论信稿的辞藻和条理方面继续改进。由此可见，富兰克林并非真正赞同女性应当接受教育这一观点。如果说这一实例稍显牵强，那接下来的一个故事则更加直白地印证了他的偏见：即使富兰克林认可女性拥有接受教育的权利，但这种教育也并非为了实现女性的自我成长与发展，而应是“培养能够确保妇女在婚姻中获得幸福的那些品质，因为婚姻和生育是她们的天然使命”（Conway，1974，p. 2）。当富兰克林听说查尔斯顿有一位荷兰籍的寡妇运用自己的记账知识独立经营印刷所并且养育子女的事迹后，他评价说青年女子应当为了家庭的利益接受记账这类实用的教育，这样可以使她们在丧夫之后“有经商的能力，能继续经营可赚钱的商店，直到她们的儿子成人，适合担任这种工作”（富兰克林，2010，p. 79）。这一观点与卢梭的理念不谋而合，都认为女性所接受的教育应当与男性相关。这种观点并非以女性自身成长和长远利益为出发点。即使在如此成功的案例之下，他仍然坚持女性能力存在局限，无法如男性一般承担家业，她们只是男性继承者的临时替代品，无法获得同等的地位与认可。“使女人处境变得特别引人注目的一个原因是，她这个和大家一样的既自由又自主的人，仍然发现自己生活在男人强迫她接受他者地位的世界当中。男人打算把她固定在客体地位上，使她永远是内在的”（波伏娃，2004，p. 18）。这种将女性价值彻底依附于家庭与男性之上的想法，漠视了女性的主体性，也让富兰克林对女性的歧视展露无遗。由此，富兰克林笔下的女性始终无法成为自我定义的主体，只能在男性设定的框架内扮演被规训的固有角色，这也正是父权体系规训女性的典型体现。

三、自传中男女刻画差异的原因

《富兰克林自传》中男性与女性占比严重失衡、形象刻画反差鲜明，这并非偶然的叙事疏漏，而是多重因素共同作用的结果。究其根源，可从文本编辑流传的外界客观因素、时代社会文化的深层影响，以及作者自身男权思想的主观局限三个维度展开系统分析。其一就是图书编辑与手稿流传这一不可抗的外界因素。实际上，这本书并非由富兰克林本人亲自出版发行，而是“直到19世纪40年代——富兰克林去世后的50年，才有了类似我们现在读到的《自传》版本出版”（Shurr，1992，p. 435）。出版史也表明，早期流传的诸多《自传》版本仅收录了富兰克林手稿的部分内容，因此在图书编撰和文本流传的过程中出现纰漏，导致文本内部男性与女性的刻画差异也是未可知的。除去这一因素，以下两个方面的原因也可解释这一现象。

文学从来不是真空的产物，它必然反映并再生产其创作时代的主流文化观念与权力结构，《自传》也不例外。彼时美国的性别秩序与主流观念，是造成书中性别刻画失衡的深层社会根源。自北美殖民地时期起，美国男性与女性的社会地位就是不平等的。男性在经济、政治等领域始终占据主

导地位，女性被建构为依附于男性的次要存在——“妇女在经济、政治、法律、宗教和社会等方面的低下地位，则决定了她们在殖民地时期只能以‘帮手’、‘助手’和‘下属’的身份生活”（王恩铭，2002，p. 6）。到了18世纪，女性被要求遵守“四德”，即“虔诚、纯洁、顺从、持家”（王恩铭，2002，p. 14）。而这一时期盛行的“共和母性”进一步固化了这种性别分工。这一观念将女性的社会价值更加局限在家庭场域，“女人注定要去延续物种和料理家庭——就是说，注定是内在的”，她们的价值只能通过男性后代的成就间接体现（波伏娃，2004，p. 458）。“共和母性”的理念看似赋予女性重要的社会职责，实则剥夺了女性进入公共领域、实现自我价值的权利，女性难以拥有独立的自我追求与公共话语权，因此极少地参与到商界、政界和科学界之中。而即便女性为家庭经济和家庭幸福做出很大贡献，她们也并不一定能被赋予以家庭地位和权威，更不用提家庭之外的外部世界了。因此，作为父权秩序中的“他者”，女性自然不被当作理想读者和隐含受众，《自传》中对于女性的关注也就不及男性。富兰克林的写作本身就是对时代主流性别观念的呼应与强化，他的文本并非个人偏见的偶然流露，而是整个社会性别权力结构的文学投射。

此外，富兰克林自身的男权思想构成了这一现象的主观原因。可以说，置身于18世纪，富兰克林对女性的看法有些承上启下。一方面，富兰克林的思想带有一定的时代进步性，比如他对于生命中涌现的诸多女性的赞赏与尊重，再比如他以女性视角写出的《波力·贝克的讲演》的故事，这篇文章也体现出了富兰克林对于女性受到不公正对待的强烈抨击。然而，他始终未能突破时代与男权观念的桎梏。正如学者苏珊·克莱普（Susan Klepp）所言，“本杰明·富兰克林从未质疑过父系世系的传统以及伴随着这种传统所带来的宗教、法律和文化上的男性特权。男性是家长，是家庭的首脑。而根据法律和习俗，妻子、孩子和学徒都‘属于’家庭的主人”（Waldstreicher, 2011, p. 242）。前文已然提及，富兰克林对于女性确实存在歧视心理，承认妇女的价值仅限于家庭之中。他曾为妻子立下诸多规矩，其中一条就是要妻子谨记，她的权力建立在丈夫的尊重与爱意之上。他对于女性参政的行为更是十分不认同，认为女性不应插手干涉政治，除非这一举动是为了调和政见不同的男性亲属间的矛盾。在公共领域与私人领域的严格划分中，富兰克林始终将女性限定在私人领域之内，坚决反对女性涉足政治、学术等属于男性的公共空间，这种严格的性别边界意识，正是其男权思想最直接的体现。富兰克林所秉持的这种男权思想使得他写作的“重点仍然是男人，且以他自己为主要榜样”（艾萨克森，2008，p. 114）。同时，富兰克林写作《自传》的核心初衷是将自身奋斗历程作为范本，他所关心的最主要的问题就是如何让其子孙后代及美国青年效仿他的成功之道。为了塑造自己作为家族之父和民族之父的正面形象，他刻意隐去了那些有损或无助于自我形象建构的事件和经历，也选择性淡化和忽略了女性的存在。正如学界研究指出，他在叙述中“运用了一套自己内化了的男权话语，始终把女性作为‘他者’，或加以利用或加以谴责”（黄川，2006，p. 113）。这也能解释富兰克林在书中提到其他几位女性的原因，包括富兰克林前往波士顿船上遇到朋友拉尔夫的情人T夫人，以及他在伦敦寄宿阁楼上的70岁的老处女等，这些女性也不过是在富兰克林对后辈的教育过程中充当的媒介与陪衬而已，从未拥有独立的叙事意义。从性别建构理论来看，富兰克林对女性的边缘化书写，本质上是在不断巩固男性主体的权威地位，通过弱化女性来凸显自身作为精英男性的完美形象，从而完成对男性中心话语的再生产。综上，文本的流传、彼时的时代背景，以及富兰克林本身的男权思想共同导致了女性在《自传》中的被边缘化。

四、结语

本文以性别理论与女性主义理论为透镜，从三个研究维度较为系统地剖析了《富兰克林自传》中的女性观，实现了对这部经典作品的新视角解读。作为被后世推崇的家族之父，富兰克林通过《自传》成功地向后世传递了个人处世之道与成功经验，然而作为一名倡导民主与平等理念的伟人，其思想始终无法摆脱所处时代的固有局限。即便真实生活中的富兰克林与诸多女性往来密切，但在文本建构中，他仍旧遵循父权制叙事逻辑，弱化了女性的存在。《自传》中女性群体处于被忽视、

被边缘化的失语状态，对女性的刻画流于表面、缺乏主体塑造，与男性形象的详尽书写形成鲜明反差。这种叙事差异并非单纯的文学创作选择，而是多重因素共同作用的结果：18世纪北美社会性别权力结构的社会秩序，为女性在文本中的弱势地位奠定了时代基调，而富兰克林自身根深蒂固的男权思想与偏颇的女性观，则是导致文本性别刻画失衡的核心因素。女性在这本著作中的系统性缺席与工具性塑造，正是父权话语主导下，其被排除在公共历史与主体叙事之外的典型文本表征。在当代性别平等理念日益深化的语境下，重新审视《自传》中的性别桎梏，不仅有助于更历史地理解富兰克林及其时代局限，也能为经典文学的性别批判研究提供参考，挖掘文本背后隐匿的社会文化与权力话语内涵。真正的自由与平等，必然是超越性别边界、包容所有主体的完整价值，只有承认并修正性别偏见，我们才能更接近启蒙思想所承诺的普遍正义。

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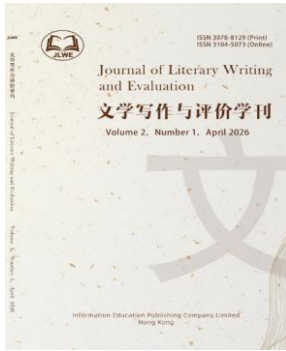
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Breakthrough from Artistic Aesthetics to Natural Aesthetics: A Review of Du Xuemin's *Nature and Beauty: An Introduction to Natural Aesthetics in Modernity*

Jianhua Xiao

Abstract: It is a long-standing situation that the study of artistic beauty has been the center, while the study of natural beauty has been marginalized in aesthetic research. Highlighting the independent significance of natural beauty and constructing natural aesthetics is not only a breakthrough from traditional aesthetic research centered on artistic beauty, but also an opportunity for the self-improvement of aesthetics. *Nature and Beauty: An Introduction to Natural Aesthetics in Modernity* written by Du Xuemin always discusses the issue of natural aesthetics from the perspective of dialogue between artistic beauty and natural beauty. On the one hand, it emphasizes the independence of natural beauty and the necessity of constructing natural aesthetics. On the other hand, it advocates that natural beauty, and artistic beauty should be placed in their respective positions, each with its own irreplaceable value. Lastly, it always emphasizes the integration, unity, and coexistence of natural beauty and artistic beauty. The study of natural beauty and the construction of natural aesthetics at the present time help us to have a more complete and accurate understanding of the object of aesthetic research, clear the full meaning of the aesthetic in modernity, and clarify the boundary and rational relationship between artistic beauty and natural beauty.

Keywords: Artistic beauty; Natural beauty; Natural aesthetics; Modernity; Chinese cultural standard

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题目：从艺术美学向自然美学的突围——评杜学敏《自然与美：现代性自然美学导论》

摘要：在美学研究中，长期以来的局面是，以艺术美的研究为中心，对自然美的研究被边缘化。彰显自然美的独立意义，进行自然美学的建构，是从传统的以艺术美为中心的美学研究的向外突围，也是美学学科自我完善的一次机会。《自然与美：现代性自然美学导论》一书始终站在艺术美和自然美的对话视野中来讨论自然美学的问题，一方面强调自然美的独立性和建构自然美学的必要性，一方面主张自然美和艺术美各归其位，二者各有其不可替代的价值，一方面又始终强调自然美和艺术美的融合、统一、共存。在当代进行自然美的研究和自然美学的建构，有助于让我们更加完整准确地理解美学研究的对象，有助于澄清现代性审美的全部真义，有助于让我们更加厘清艺术美和自然美的边界和合理关系。

关键词：艺术美；自然美；自然美学；现代性；中国文化本位

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Introduction

Traditional aesthetic research is centered around artistic aesthetics, which should not be controversial. For example, Hegel said that the most accurate name for his aesthetics should be “philosophy of art”, and Taine also named his aesthetic works “philosophy of art”. Even in the study of aesthetics in the 20th century, the study of art was actually of paramount importance, not to mention Kandinsky, Clive Bell, Roger Fry, Greenberg, George Dickie, Arthur C. Danto, and other specialized art aesthetics researchers, even in Heidegger, Benjamin, Adorno, Marcuse, and others in the aesthetics of people, the study of art is also a core component of their aesthetics. For example, Heidegger’s aesthetic masterpiece *The Origin of the Work of Art* is dedicated to exploring the existence and origin of artistic aesthetics. Adorno and Marcuse are fond of modernist art, and Benjamin is fond of art in the era of mechanical reproduction. These are important examples of this study of artistic aesthetics.

The relationship between natural beauty and artistic beauty is very complex, and the debate over which one is more qualified to be the core object of aesthetic research seems to be ongoing. Therefore, in some aestheticians, it is often seen whether natural beauty is higher than artistic beauty or artistic beauty is higher than natural beauty. For example, Kant believed that natural beauty is superior to artistic beauty, Hegel believed that artistic beauty is superior to natural beauty, and so on. Of course, the two are not completely

opposed to each other, and at times, they also use mutual intellectual resources to argue for their own rationality. In the 18th century, some landscape aestheticians often viewed natural beauty from the perspective of painting art, thus proposing the new concept of “picturesque beauty” in natural aesthetics, which laid the foundation for the development of natural aesthetics in the future. In the 1830s and 1840s, the Barbizon School in France adopted the principle of “facing nature and sketching from the scenery” as their creative principle, advocating for direct outdoor sketching. Whether a painter had superb sketching ability became the standard for measuring their creative level. Later, the Impressionist School was inspired by this and used the changes in outdoor light and shadow to create paintings, which had a great impact on modernist painting. At this time, natural scenery also became art and directly transformed into the object and content of artistic creation. Of course, the concept of “picturesque beauty” proposed in natural aesthetics in the 18th century also revealed that the concept of “natural beauty” was not mature and independent at that time, so the appreciation of nature must still be measured and evaluated in relation to the center of aesthetic research at that time, namely artistic beauty. In the 20th century, with the development and maturity of ecological aesthetics and environmental aesthetics disciplines, the question of how to break through the framework of artistic aesthetics in the study of “natural beauty” and how to break through from the previous aesthetic framework based on artistic aesthetics was naturally raised. Looking at the research on natural beauty throughout the 20th century, breaking free from the constraints of artistic aesthetics and making the study of natural beauty a truly independent field should be seen as a general trend. Of course, as for Du Xuemin’s book *Nature and Beauty: An Introduction to Natural Aesthetics in Modernity* (hereinafter referred to as *Nature and Beauty*, Shanghai Jiao Tong University Press, 2022.), the purpose of the book is not merely to free the study of natural beauty from the limitations of artistic aesthetics, but also to attempt to make the study of natural beauty independent from ecological aesthetics and environmental aesthetics. As the subtitle *An Introduction to Natural Aesthetics in Modernity* of the book indicates, its ultimate goal is to start from the study of “natural beauty” and prove the legitimacy of the existence of an aesthetic discipline or field called “natural aesthetics”. This reflects that the book has a more profound research theme beyond and breaking through the limitations of artistic aesthetics.

1. Beyond the limitations of artistic aesthetics

Regarding the reason for conducting research on natural aesthetics, In *Nature and Beauty*, it clearly states: “For a long time, when modernity has been mentioned in the field of aesthetic research, people often focus on the artistic philosophy and aesthetic discourse about artistic beauty/ the art of beauty that emerged at the same time as modernity. As a result, the natural aesthetic discourse of natural beauty/ the beauty of nature, which is also in the process of modernity, has been neglected or even rejected.” (Du Xuemin, 2022, p.278) “The basic characteristics of aesthetic modernity are: to criticize and oppose the rationalization, institutionalization, and purpose rationalization principles of the modernization movement from the perspective of aesthetic principles and artistic self-discipline.” “The aesthetic modernity discourse discussed above mainly focuses on artistic aesthetics, thus seriously ignoring the natural aesthetic dimension.” (Du Xuemin, 2022, p.34) In other words, since the birth of aesthetics, our long-term aesthetic research has been more focused on the study of artistic

aesthetics and neglected the study of natural aesthetics, which is of course a huge flaw. Moreover, regarding artistic aesthetic modernity as the entirety of modern aesthetic research itself does not conform to the historical fact of the development of modern aesthetics. In *Nature and Beauty*, it points out, based on its detailed explanation and sorting, that “natural aesthetics is not a one-sided fiction of some scholars who are concerned about this discipline: it actually runs through the natural beauty thinking of thinkers such as Rousseau, Kant, Hegel, Heidegger, and other aesthetic schools in the history of Chinese and Western aesthetic such as Lao-Zhuang’s Taoism, Marxism, environmental aesthetics, ecological aesthetics thought with unique problem dimensions.” (Du Xuemin, 2022, pp.43-44) Only by truthfully presenting the evolution of the important issue of natural beauty in the development of Western modern aesthetics, presenting its differences and similarities in the thoughts of different aestheticians, can we obtain a more accurate and comprehensive understanding of the issue of modernity and the aesthetic discipline itself. Unfortunately, even in contemporary times, some scholars still hold biases against natural beauty: “It (‘the appreciation of natural beauty’--the quoter) itself does not have an inherent dynamic structure but is a secondary phenomenon of certain cultural systems. Obviously, the appreciation of natural beauty itself cannot cause its own conflicts and revolutionary movements, and its various changes are passive.” (Zhao Tingyang, 1990, p.169) This makes it even more urgent for us to incorporate the re understanding of natural beauty issues into current aesthetic research topics.

The issue of natural beauty has long been obscured in modern aesthetics, as Adorno has already pointed out: “*Philosophy of Art* is Schelling's main aesthetic work. Since Schelling, aesthetics has almost exclusively focused on artistic works, interrupting the systematic study of ‘natural beauty’. In Kant's *Critique of Judgment*, some of the sharpest analyses of natural beauty are made. Why has natural beauty been removed from the aesthetic agenda? The reason is not as Hegel wants us to believe, that natural beauty has been abrogated in a higher realm. On the contrary, the concept of natural beauty is completely suppressed. Its continued appearance may trigger a hidden pain, reminding people of the violent actions taken by each artwork as a purely artificial product in opposition to natural objects. Artworks are entirely created by humans, in stark contrast to the non-human nature” (Adorno, 1998, pp.109-110). Art creation emphasizes human talents, emotions, and essential powers. Art is an artificial product that can better highlight human subjectivity and abilities, which is completely different from the natural beauty that arises naturally. It is understandable that it is more valued in modern times. But as Adorno pointed out, art is not completely opposed to nature. “The contemplation of natural beauty is an inseparable component of any art theory” (Adorno, 1998, p.110). The two are both opposed to each other and interdependent. From the perspective of natural beauty, it has “continuously provided meaningful impulses for art for a long time” (Adorno, 1998, p.112). Without understanding the issue of natural beauty, one cannot fully comprehend the issue of artistic beauty.

In summary, the reason why the study of artistic beauty has long been emphasized in aesthetic research while neglecting or even belittling the study of natural beauty is triple reasons. Firstly, there is a bias towards natural beauty, believing that it is a subordinate aesthetic phenomenon compared to artistic beauty. The second is the arrogance in the study of artistic aesthetics, which seeks to use the study of artistic beauty to encroach the study of natural beauty. The third is the fear of artistic aesthetics research towards the study of natural

beauty, because the natural beauty precisely highlights the hegemony of human subjectivity and its arbitrary behavior in the creation of artistic beauty. The result of doing so is also threefold: firstly, it obscures the fact that human aesthetic history includes the coexistence of artistic beauty and natural beauty; secondly, it hinders us from better understanding the truth that artistic beauty and natural beauty are both different and cooperate with each other; thirdly, it distorts the true meaning of aesthetic modernity by understanding it as artistic aesthetic modernity, making it impossible for us to see the entire history of aesthetic modernity or truly understand all the factors and mechanisms that promote the development of modernity in society.

From both anthropological and philosophical perspectives, the relationship between humans and nature is the most fundamental issue that human society must face. Although humans bid farewell to apes, they have not completely lost their naturalness, and in terms of their environment, humans still rely heavily on nature. From a philosophical perspective, the system of natural philosophy was formed in ancient Greece. In ancient China, there were also sayings of “unity of heaven and man” and “separation of heaven and man”. As the book *Nature and Beauty* profoundly points out, “The relationship between human and the natural world, the natural endowment (the dual nature), or the issue of the relationship between heaven and man, is always almost a fundamental problem in philosophy and in all over the world. It can be said that the so-called fundamental problem of philosophy is the relationship between thinking and being. The reason why philosophy regards the relationship between man and the dual nature as a fundamental problem that cannot be separated from its roots is because even after man becomes independent from nature and becomes the spirit of all things (nature), any human activity still needs to be carried out in the relationship between man and nature or between heaven and man, and obtain its essential determinacy. Since the dual nature and its relationship with human beings constitute the prerequisite and foundation that cannot be separated from any human activity, it will inevitably become the basic reference frame and fundamental dimension for philosophers to understand themselves and society. The exploration of it cannot but become a continuous philosophical tradition, especially for philosophy directly related to nature (including traditional natural philosophy but not limited to it).” (Du Xuemin, 2022, pp. 273-274) The relationship between humans and nature is a fundamental philosophical question, and the issue of natural beauty should also become a fundamental aesthetic question. From the perspective of the aesthetic historical genesis, natural beauty must have emerged before artistic beauty in time. Even from the perspective of Hegel’s logical evolution, artistic beauty is still later than natural beauty. From the perspective of the development of modern aesthetics, the issue of natural beauty should be the fundamental content of aesthetics itself, or in other words, the opening of the modern era and the emphasis and discovery of natural beauty issues are synchronous and isomorphic. As Burckhardt pointed out with Petrarch as an example: “Italians are the earliest modern people to see and feel the beauty of the external world” (Burckhardt, 1979, p.292), and this earliest Italian is Petrarch, “the earliest true modern person” (Burckhardt, 1979, p.294). From the perspective of modernity itself, the issue of natural beauty has become a crucial point in our understanding of the entire social problem of modernity. We must use natural beauty to create and establish modernity, reflect on and criticize modernity, and even restart modernity. Various complex social and cultural issues that arise in modernity converge on the issue of natural beauty, which is an important entry point for us

to understand and reflect on the legitimacy and rationality of modernity. It is precisely because of this, especially from the last two aspects related to modernity, that the issue of natural beauty gradually rises to become a natural aesthetic issue with disciplinary and methodological properties.

2. Natural aesthetics as a modern aesthetic property and system

From the perspective and standpoint of modernity, this is the most distinctive feature of Du Xuemin's masterpiece, as demonstrated by its subtitle *Introduction to Natural Aesthetics in Modernity. Nature and Beauty* points out that "the dominant issue faced by this book is the 'natural aesthetics' study of the 'modernity' of 'nature' from the perspective of natural beauty and the natural aesthetic activities of people, that is to say, from the perspective of the aesthetic relationship between human beings and both internal and external nature." (Du Xuemin, 2022, p.1) Throughout the book, this is indeed a consistent theme.

Modernity itself is a complex concept, and it is not an exaggeration to say that there are as many different understandings of modernity as there are thinkers. For example, Max Weber defined modernity from a rational perspective as a process of disenchantment and secularization, a process of differentiation and autonomy among science, morality, art, religion, and others; Calinescu, following Weber's concept of autonomy, distinguishes modernity into aesthetic modernity and social modernity. As autonomous art/aesthetic modernity, it is a reflection and criticism of social modernity, which is actually the so-called "reflexive modernity" or "the reflexivity of modernity"; Foucault, on the other hand, understood modernity as something universal beyond a specific stage, which is "a specific spiritual mentality, personality traits, and even cultural psychological structure expressed by people in a specific historical period through feelings, thoughts, actions, and behavioral patterns" (Du Xuemin, 2022, p.32). As long as there is such temperament and feeling, regardless of when and where it originated, it can have "modernity" (contemporaneity or temporality). *Nature and Beauty* adopt a comprehensive and broad understanding of "modernity" that draws on the strengths of others, as can be seen from its writing. For example, the book discusses the natural views of modern aestheticians such as Kant and Hegel who emphasize rationality, as well as the natural aesthetic views of Rousseau, who to some extent embraces rational modernity while reflecting on it. It also discusses the natural aesthetic views of thinkers with anti-modernity such as Heidegger, Dufrenne, and Adorno, and incorporates the natural aesthetic views of ancient Chinese philosopher Laozi and Zhuangzi into its discursive framework of natural aesthetics in modernity. That is to say, the modernity referred to in the book *Nature and Beauty* is not only a historical thing, but also constantly adds new connotations with the development of the times. From the perspective of Chinese and Western cultures, it is also a universal thing, appearing both in the West and the East.

I believe that the most core dimension of modernity is its understanding of subjectivity, manifested in history, that is, how subjectivity is established, reflected, and even reconstructed in the process of modernity. This is a fundamental issue, and by addressing it, we can grasp the key to the thorny super problem of modernity. The issue of subjectivity plays a crucial role in modernity, and similarly, it has a significant impact on the construction of modern natural aesthetics. In the preface to the book *Nature and Beauty*, Professor You Xilin, a renowned Chinese aesthetician and doctoral supervisor of Du Xuemin, grasped this key point and hit

the nail on the head by pointing out:

“Natural beauty is the only foundation that does not belittle the human subject and promises the natural subject, thus it is the homogeneous foundation of the relationship between humans and nature.” “Because natural beauty is the purposiveness of the subject (human beings) encompassing the purposiveness of the object (it breaks through the subject-centered state), and reaches a unified product at a higher level with the purposiveness of the subject itself, therefore, natural beauty is not only deeply related to the relationship between humans and nature, but also transcends this relationship. Natural beauty provides a higher good that enhances the unity between humans and nature: the existence of natural beauty enables humans to not only surpass individual self-centeredness, but also surpass species human self-centeredness. Nature has not only freed itself from the position of being dominated by humans, but also has not fallen into the wild jungle law of spontaneous regulation. Instead, it has enhanced the natural purposive system in a humanized form that harmonizes with the human subject and receives help.” (Du Xuemin, 2022, p.13)

Whether natural aesthetics is the only aesthetic theory that promises the dual subjectivity of natural and human subjects when breaking anthropocentrism, I dare not make a rash statement. In my opinion, ecological aesthetics, environmental aesthetics, and various animal sovereignty aesthetics, the “object-turn” in aesthetics, including the Chao-praxis aesthetics and Chao-subjectivity theory that I am advocating. They share a common ideological purpose with natural aesthetics or are all on the path of criticizing anthropocentrism and reconstructing subjectivity. However, Professor You Xilin’s discourse, as the doctoral supervisor of Du Xuemin, undoubtedly highlights the importance of subjectivity in the field of modernity to the topic of natural aesthetics. In other words, it is an indicative sublimation or summary of the core problem clues that *Nature and Beauty* should present. Du Xuemin undoubtedly has a conscious awareness of this point. When he talked about the academic significance of the study of natural beauty in the perspective of modernity for the entire aesthetics, he pointed out that “from the fundamental purpose of aesthetic research, as a branch of philosophy and a backbone discipline of modern humanities, the ultimate significance of aesthetics, especially as a fundamental discipline and theoretical discipline, lies in the pursuit and construction of a human value system, and the realization of human aesthetic survival” (Du Xuemin, 2022, p.48). To achieve this goal, we need to rethink the subjectivity of human beings in the study of natural beauty, and on this basis, reconstruct the relationship between humans and nature. We can achieve the so-called aesthetic survival.

The main content of *Nature and Beauty* is an exploration of the modernity dimension in the natural beauty discourse of Western modern and contemporary aestheticians, or in other words, a review and reflection of their relevant discourse on natural beauty from a modern perspective. They involve Kant, Hegel, Rousseau, Marx, Heidegger, Dufrenne, and others.

In Kant’s view, the concept of “nature” has a rich connotation. In terms of the discourse on natural beauty, Kant mainly approached it in two senses. Firstly, he regarded natural beauty as “the manifestation of the concept of formal purposiveness in a purely subjective form” (Du Xuemin, 2022, p.91), such as the beauty of flowers. Secondly, he discussed it from the perspective of intrinsic natural purposiveness, that is, subjective

freedom. Therefore, the aesthetic of this intrinsic natural purposiveness connects natural phenomena on the one hand, and leads to moral freedom on the other hand, becoming a bridge connecting the intellectual realm and the practical rational realm. The reason why Kant proposed that “beauty is a symbol of morality” is precisely because of this. Du Xuemin also correctly pointed out in his works: “Kant’s natural beauty and teleological view of nature together defend the moral dignity of human beings.” (Du Xuemin, 2022, p.123) Although both are representative figures of German classical aesthetics, unlike Kant who values natural beauty more than artistic beauty, Hegel values artistic beauty more than natural beauty in his aesthetic system. Starting from his viewpoint that “Beauty is the sensible manifestation of the Idea”, Hegel believed that artistic beauty is superior to natural beauty. Of course, it is not to say that Hegel completely does not involve natural beauty in his discourse, but rather that even when discussing natural beauty, he believes it is a transitional stage that will ultimately be abrogated by artistic beauty. The reason why artistic beauty is superior to natural beauty is because “artistic beauty is a beauty generated and regenerated by the mind, and the mind and its products are superior to nature and its phenomena, and artistic beauty is also superior to natural beauty.” (Hegel, 1979, p.4) Undoubtedly, Hegel’s discourse of promoting artistic beauty and suppressing natural beauty became the source of emphasizing artistic aesthetic modernity and obscuring natural aesthetic modernity in later aesthetics. Of course, regardless of the differences in Kant and Hegel’s discourse on natural beauty, they share the same emphasis on the subjectivity of natural aesthetics as rationalist aesthetics in the Enlightenment era. However, one is from the perspective of highlighting and affirming the subjectivity in the appreciation of nature, while the other is from the perspective of belittling and negating the subjectivity in the appreciation of nature.

Among Enlightenment thinkers, Rousseau was a “rather unconventional leader level figure” (Du Xuemin, 2022, p.50). This “alternative” was reflected on one hand in his admiration for reason. The main purpose of Rousseau’s advocacy of “natural education” was to awaken human nature and lay the foundation for the establishment of a capitalist modern society. On the other hand, Rousseau was also a pioneer of Romanticism. Will Durant referred to Rousseau as the “father of the Romantic movement” in his book *A History of World Civilization* (Will Durant, 2009, p.1029). The Romantic movement had a dual nature, calling for enlightenment and rational modernity, and recognizing the potential dangers of Enlightenment rationality earlier. Therefore, by calling for a return to nature, it fought against the enormous problems brought by capitalist urban civilization. The term “natural beauty” also has two meanings in Rousseau’s view. One is the natural beauty in the sense of nature: “I must always strive to be as close to nature as possible, so that the senses that nature endows me with feel comfortable, because I deeply believe that the more its happiness is combined with my happiness, the more real my happiness will be.” (Rousseau, 1978b, p.509) The second is the natural beauty in the sense of nature, for example, he said, “The more we depart from the state of nature, the more we lose our natural taste.” (Rousseau, 1978a, p.191) Here, nature is the natural meaning of human nature, which is the perfect state of human nature and a perfect aesthetic ability.

My discussion sequence of the thoughts of Rousseau and Kant is slightly different from that in *Nature and Beauty*. *Nature and Beauty* emphasizes more on the “historical response” of Kant’s “dual modernity of enlightenment and aesthetics” revealed by Rousseau in natural beauty (Du Xuemin, 2022, p.78). However, I

value more the modernity aspect of Rousseau's anti-modernity that is different from Kant and Hegel. I believe that the most direct inheritance of this modernity of anti-modernity is not Kant and Hegel, but later Marx, Heidegger, and others. If we put it in the most general sense, Marx's so-called "humanization of nature" (i.e., the transformation and practice of nature) refers to the way in which humans, as class subjects, differ from animals in their activities. This means that "animals are only constructed according to the scale and needs of the species to which they belong, while humans know how to produce according to the scale of any species" (Marx, 2014, p.53). However, the "humanization of nature" discussed by Marx has never been in an abstract sense but has its specific social and historical connotations. This specific and concrete connotation is based on the era in which he lived. Marx saw that in capitalist society, the practice of transforming nature and labor of laborers were alienated. The so-called "labor produces palaces, but produces sheds for workers" (Marx, 2014, p.49) needs to be understood from this perspective. Marx always held a critical attitude towards the "humanization of nature" under the conditions of capitalist society, which is based on the alienation of workers. To overcome this humanization of nature in a state of alienation, it is also necessary to enter a free society through the extension of social history, the continuous accumulation of labor, and the great improvement of productivity, in order to achieve the ultimate change: "Society is the essential unity of man and nature, the true resurrection of nature, the realization of naturalism by man, and the realization of humanitarianism by nature." (Marx, 2014, pp.79-80) The so-called naturalism realized in society and humanitarianism realized in nature here are not only in the most general sense, that is, from the perspective of the connection and difference between humans and nature as quasi-subject, but also from the perspective of achieving a specific historical stage that truly overcomes the alienation of capitalist society. Reflected in the appreciation and experience of natural beauty, it has three levels of meaning. Firstly, for workers in capitalist society, they cannot feel the natural beauty that they have manifested through their labor practice in the process of transforming nature. The so-called "worried and poor people have little feeling for the most beautiful scenery" (Marx, 2014, p.84.). Secondly, in the most general and abstract sense, even in capitalist society, workers can change the relationship between humans and nature in their practice of "humanized nature", and win opportunities for the general public, especially capitalists, to appreciate the beauty of nature through the transformation of nature. Thirdly, it is to completely overcome the alienation of capitalism and enter the communist stage. Through their free labor and practice, humans once again adjust the relationship between humans and nature. At this time, labor is free, and nature becomes an object of the great beauty in human joyful labor, becomes an object that can be fully appreciated by everyone.

Heidegger's understanding of natural beauty reflects the natural aesthetics view of anti-modernity that is in line with Rousseau and Marx. In many of Heidegger's works, he criticized the domination, deprivation, and exploitation of nature by modern technological artifacts: "Forests are forest farms, mountains are quarries, rivers are hydraulic, and wind is the wind that sets sail." (Heidegger, 1999, p.83) "Hydroelectric power plants are enframed over the Rhine River, which enframes the river for the water pressure of the river. The water pressure of the river enframes turbines to rotate, and the rotation of the turbines drives some machines. "The driving devices of these machines produce electricity, and the long-distance power plants and their grids for

transmission are customized for this electricity.” Heidegger was quite opposed to the attitude of using nature as a purely presence-at-hand, so he emphasized that we should respect and echo to nature. In Heidegger’s aesthetics, nature as the object of technology is exhausted nature and is not beautiful; and the nature that he hopes for is a kind of nature in its fundamental sense, which is actually what Heidegger called “being”. Therefore, in *On the Essence of Truth*, he interprets nature as the “emerging presence”, and this emerging presence is the struggle between the earth as a concealment and the world as a unconcealment in *The Origin of the Work of Art*. It is in this tearing struggle that “truth” emerges, and the beauty that appears as the essence of “truth of being” also be presence. Dufrenne’s discourse on natural beauty to some extent absorbed the phenomenological aesthetic ideas of Heidegger, Merleau Ponty, and others. Dufrenne’s discourse on natural beauty mainly has two aspects. Firstly, he emphasizes the naturalness of the artwork itself as an aesthetic object: “The ontological satisfaction of the sensory unity that form endows it with makes us completely say that the aesthetic object is nature.” “The aesthetic object becomes nature through its own sensory power.” (Dufrenne, 1996, p.121) These are all about the artificial form endowing and blending with the natural objects described in the artwork as an aesthetic object, or “transforming those things in nature that can be aestheticized and manifested as aesthetics themselves” (Dufrenne, 1996, p.113). Dufrenne’s argument shows that art works are always difficult to escape the influence of nature. In order to achieve their brilliant sensibility, first of all, they must incorporate natural objects into the aesthetic perspective of art, and secondly, make themselves appear like nature. And the ultimate aesthetic effect it presents is actually the unity of artistic beauty and natural beauty. Dufrenne’s discourse fully demonstrates that it is not to suppress nature, but only through a full dialogue with nature can artistic beauty be better formed and manifested. Secondly, the “nature” in the sense of natural aesthetic experience can break through the control of human subjects to a certain extent with its inherent inevitability. In a superficial detachment from human control, it actually engages in dialogue with human subjects, reflecting a deep and hidden connection between humans and nature: “At this moment, nature speaks to me, and I can hear it... Nature speaks to me in this way, not only within ‘the scope of our own silence’, as Schelling said, but also within the scope of its silence... While talking to me about itself, it also talks to me about myself... However, it at least tells me that this boundless presentation is a presentation for me, so I am secretly in harmony with this boundless presentation.” At this moment, nature presents itself to humans as a “glorious” beauty.

In the specific analysis and discussion of the natural beauty points of Western modern and contemporary thinkers in *Nature and Beauty*, there are many brilliant insights, such as Kant’s proposition that “the concept of natural beauty superior to artistic beauty is not natural beauty in the sense of beauty of natural things, but natural beauty in the sense of beauty like nature self, that is, natural beauty as opposed to artificial beauty” (Du Xuemin, 2022, p.113). As explicitly stated by Kant, “the reason why the beauty of this flower is judged as natural beauty is it involves in an appreciative judgment about emotional pleasure without any conceptual intervention, rather than a teleological judgment about what the flower actually is” (Du Xuemin, 2022, p.94), which helps clarify people’s misunderstanding of Kant’s natural beauty as a natural thing as an objective entity. Furthermore, in his analysis of Heidegger’s thoughts on the essence of “the essence of the essence”, he pointed

out that Heidegger was not an anti-essentialist, and that some anti-essentialists in the current academic community are actually just “allergen sufferers for essence” (Du Xuemin, 2022, p.212). The shining points of these ideas are everywhere, and the clusters are too numerous to be fully loaded.

Nature and Beauty, through the sorting out of the natural beauty concepts of Western modern and contemporary aestheticians such as Rousseau, Kant, Hegel, Marx, Heidegger, and Duchamp, basically connects a development thread of Western modern natural aesthetics. At the same time, based on the ideas of these Western aestheticians, it presents or constructs a system of so-called modern natural aesthetics that exists in Western aesthetics. This natural aesthetic system includes functional dimensions represented by Rousseau, free dimensions represented by Kant, artistic dimensions represented by Hegel, practical root dimensions represented by Marx, essential dimensions and experiential dimensions represented by Heidegger and Dufrenne. The sorting of Western natural aesthetic concepts in *Nature and Beauty* is basically based on the combination of two levels: external natural beauty and internal natural/free natural aesthetics. This is actually Du Xuemin’s consistent viewpoint, as he always understands and presents Western aesthetics from his own perspective of natural aesthetics.

From Rousseau to Dufrenne, different aestheticians have their own different ideological systems and aesthetic research interests, but they also consider the issue of natural beauty within the common ideological camp of modernity. They take the seemingly small issue of natural beauty as a starting point to consider the issue of human subjectivity, and use the reflection on human subjectivity as an opportunity to constantly reconstruct a modern view of nature, reconstruct a new relationship between humans and nature, and rethink the balance and position that humans should grasp in nature and the universe. And its ultimate goal is nothing more than to provide guarantees for a more poetic and aesthetic survival of humanity while correctly coordinating the relationship between humans and nature. The reflection and understanding of modernity are constantly evolving, and the recognition of a modern natural aesthetic is also constantly evolving. Humans are also constantly seeking a poetic way of living in the natural world. And it is precisely in the reflection on modernity and the grasp of the scale of the relationship between humans and nature that a kind of ethical aesthetics leading to purposive goodness is taking shape. In short, the natural aesthetics of modernity is actually a kind of ethical aesthetics of modernity.

3. Adhering to the Chinese centric stance of modernity

In addition to sorting out the Western modern natural aesthetic ideas, *Nature and Beauty* also uses a chapter to analyze in detail the Chinese natural beauty theory from Laozi and Zhuangzi to contemporary ecological aesthetics. Undoubtedly, the analysis of Chinese natural beauty theory in *Nature and Beauty* is also based on a modern perspective. According to Foucault’s definition of modernity as discussed earlier, there may also be dimensions of modernity present in the society and thought of a certain period in ancient times. Even if ancient ideas do not have the connotation of modernity, we can still stand on the current standpoint of modernity, observe them from the perspective or vision of modernity, or transform ancient discussions about natural beauty into modernity, thus endowing them with the connotation of modernity. On the one hand, the

organization of the chapter in *Nature and Beauty* aims to supplement the Chinese aesthetic theory of natural beauty in cross-cultural dialogue between China and the West, in order to avoid the lack of subjectivity in aesthetic discourse. On the other hand, it aims to incorporate Chinese natural beauty discourse from ancient times to the present into this modern aesthetic framework, making it a necessary component of modern natural aesthetics and even modern aesthetics, laying the foundation for Chinese aesthetics to embark on the path of modernity, move towards cross-cultural aesthetic dialogue, and compose a common world aesthetic discourse.

According to the analysis of *Nature and Beauty*, the research on the theory of natural beauty in China generally consists of three parts. Firstly, it is the natural beauty theory represented by Laozi and Zhuangzi, also known as the discourse of “beauty of heaven and earth”. Laozi and Zhuangzi’s “view of nature” includes both the “natural endowment” and the “natural world”. (Du Xuemin, 2022, p.225) These two types of nature are the ontological meaning of nature and the nature of external things. Laozi and Zhuangzi’s theory of natural beauty has become a resource for many thinkers in later generations and even contemporary times. In the construction of his theoretical system and the expansion of his life sentiment, Laozi and Zhuangzi’s theory of natural beauty is often borrowed, which makes Laozi and Zhuangzi’s theory of natural beauty always an open, contemporary, and modern ideology. Secondly, it is Li Zehou’s theory of natural beauty in practical aesthetics. The discussion on Li Zehou’s theory of natural beauty is placed in the second section of Chapter 4, which is a review of Marx’s theory of natural beauty. The reason for this is that Li Zehou’s theory of natural beauty in practical aesthetics is strongly influenced by Marx’s ideas on practical aesthetics and natural beauty theory. Li Zehou’s theory of natural beauty extended from the 1950s to the 1980s and 1990s, and his views remained largely unchanged. He simply accepted Marx’s *Economic and Philosophical Manuscripts of 1844* and proposed the perspectives of “humanization of nature” and “humanized nature” to discuss human practice and the changes it brings to the relationship between humans and nature, as well as the natural aesthetic issues arising from these changes. Marx’s natural aesthetics is a modern form of natural aesthetics, and similarly, Li Zehou’s theory of natural beauty, influenced by Marxist thought, is also a modern form of aesthetics. However, according to my opinion, there is a significant difference between Li Zehou’s theory of natural beauty and Marx’s theory of natural beauty. In Marx’s view, the proposal of his theory of natural beauty mainly presents its modernity of anti-modernity in the process of criticizing capitalist alienated labor, while Li Zehou’s practical aesthetics is placed in the context of China’s call for rationality and the construction of social modernity, resulting in his theory of natural beauty being more aimed at catering to the enlightening modernity and lacking the characteristics of critical modernity from Marx’s theory of natural beauty. Thirdly, it is the natural beauty theory of ecological aesthetics and life aesthetics, represented by Zeng Fanren, Yuan Dingsheng, Cheng Xiangzhan, and others, which has flourished since 2000. In the advancement of social modernity, human subjectivity and centrism are increasingly expanding and strengthened, and the originally harmonious ecological relationship between humans and nature is being disrupted. The natural ecological crisis is becoming increasingly prominent, and it is in this context that ecological aesthetics has officially emerged.

“The most fundamental characteristic of ecological aesthetics is that it is an aesthetic view that includes an ecological dimension, which distinguishes it from the aesthetic form characterized by ‘anthropocentrism’” (Zeng Fanren, 2010, p.279). This is reflected in the attitude towards nature, ecological aesthetics advocates for ecological natural beauty. “In the concept of natural beauty, it advocates for the ‘interrelationship’ of ‘equality and symbiosis’ between nature and human beings, rather than the traditional epistemological aesthetic relationship of ‘humanization of nature’” (Zeng Fanren, 2009, p.108). Whether ecological aesthetics can truly overcome anthropocentrism remains to be seen, just as *Nature and Beauty* also puts forward several constructive suggestions on the theoretical basis of ecological aesthetics: “How does the strong criticism of traditional epistemological aesthetics (especially Chinese practical aesthetics) and its anthropocentric tendency towards ecological aesthetics understand the possible existence of ecological aesthetic activities? What are the special characteristics of this ecological aesthetic activity that distinguish it from non-ecological aesthetic activities? How should we view the relationship between ecological aesthetics and natural aesthetics, which may be more fundamental than the relationship between ecological beauty and natural beauty? And how should we view the status of people in ecological aesthetics? How to ensure that this ecological aesthetic can achieve the ecological aesthetic of the unity of heaven and man, without distinguishing between the self and the object, without showing anthropocentric tendencies or subjectivity, thus maintaining a consistent state of ontology and life theory?” (Du Xuemin, 2022, pp.262-263) However, in any case, contemporary Chinese ecological aesthetics has its modern dimension, and its discourse on natural beauty makes it a modern form of natural aesthetics.

It is obvious that in the long history of Chinese aesthetics, there are certainly rich discussions on natural beauty, not just the three representative ideas listed above. From Laozi and Zhuangzi to practical aesthetics and ecological aesthetics, “the concept of natural beauty in China has undergone three stages of historical evolution: classical natural beauty, modern natural beauty, and contemporary ecological beauty. It also demonstrates a significant ethical construction value, which is the contribution of the concept of natural beauty in Chinese aesthetics to natural aesthetics.” (Du Xuemin, 2022, p.272) This highlights the modernity dimension of Chinese aesthetics and its Chinese centric position, which reflects the conscious identity recognition of subjectivity in contemporary Chinese aesthetics research, including natural aesthetics, and the desire and effort to make unique contributions to the construction of modern natural aesthetics. In the construction of natural aesthetics, *Nature and Beauty* delves deeply into the “natural beauty as nature itself” from Laozi and Zhuangzi, which has been unconsciously overlooked and obscured by later generations. This is a grand vision of the cross-cultural dialogue and intersection of modern Chinese and Western aesthetics, surpassing Western modernity and not satisfied with Western discourse on natural beauty. Instead, it imbues the connotation of natural beauty with the characteristics of Chinese culture, paving the way for a modern natural aesthetic system that integrates Chinese and Western aesthetics.

As a Chinese scholar, Du Xuemin has always been fully conscious of his subjective stance, which is a

modern Chinese centric cultural stance, in his research on natural aesthetics. Whether in the study of natural beauty or other aesthetic topics, Western intellectual resources always have an overwhelming advantage, but do Western perspectives have limitations that are difficult to overcome? The answer is self-evident. “How to avoid the potential Westernization of natural aesthetics that may arise from the abundance of intellectual resources and issues related to natural beauty in our research?” (Du Xuemin, 2022, p.276) This is a question we must face. Du Xuemin personally demonstrated to us through his aesthetic research practice that we must supplement the study of natural beauty with the lesson of Chinese intellectual resources and endow it with a modern connotation. “Only by relying on this link can this study always be based on the practice of natural aesthetics of the entire human race (rather than Westerners or Chinese people) to think about the characteristics and value significance of natural aesthetics.” (Du Xuemin, 2022, p.276) In the study of natural beauty, we have our own cultural perspective and overcome the binary opposition between Chinese and Western aesthetics and culture. Only by exploring together in the dialogue between Chinese and Western aesthetics and culture can we jointly deepen our thinking on the issue of natural beauty. On the premise of adhering to the Chinese cultural standpoint of modernity, its thinking on the issue of natural beauty not only turns it into a practical problem that we ourselves have to face, but also into a universal modernity problem that both China and the West need to face together. It has become a fundamental problem in aesthetic research, that is, we need to explore the issue of natural beauty and make it a key to opening up and solving the eternal problem of beauty and aesthetics.

“Ten years of sharpening a sword”, Du Xuemin quietly cultivated the research field of natural aesthetics and put in a lot of effort, thus achieving results that are equal to his efforts. *Nature and Beauty* is a rare and excellent aesthetic work in current domestic aesthetic research and can even be said to be “the best book” that systematically studies natural aesthetics from a modern perspective, elevating it to a high level of disciplinary construction. Looking through the entire book, if I have to offer some suggestions, the main points are as follows: Firstly, although the book discovered the natural beauty with ontology from Laozi and Zhuangzi, and applied it to the analysis of some aesthetic ideas, the book still lacks its own unique aesthetic vocabulary. If more unique concepts and categories related to natural beauty can be proposed on the existing basis and fully demonstrated in the historical review, it will make the construction of its modern natural aesthetic system more comprehensive and detailed. Secondly, although the subtitle of the book is *An Introduction to Natural Aesthetics in Modernity*, the book still lacks a systematic exposition and explanation of fundamental issues such as what natural beauty is and what the ultimate or future form of natural aesthetic construction will be. This leads to a lack of construction in the book, and more emphasis is placed on historical analysis. Of course, it is not denied that the author has their own views and self-awareness on natural beauty. Thirdly, when sorting out the modernity dimensions of natural aesthetics represented by Western thinkers such as Rousseau, Kant, Hegel, Marx, Heidegger, and Dufrenne, there is insufficient connection and analysis between their modernity ideas in terms of identity and differences, inheritance and reflection. Instead, the book is more satisfied with

a temporal listing and lack a synchronic structural analysis. Fourthly, when sorting out and highlighting the meaning and dimensions of modernity in natural aesthetics, the understanding of the concept of “modernity” has not been implemented in a more specific category, such as ethical turn or subjectivity. If Du Xuemin can explore the modernity of natural aesthetics from one of these concepts and domains, it will make people feel more concrete and practical. Fifthly, the analysis of natural beauty theories in both the East and the West is disproportionate in length throughout the book. Most of it is a review of Western natural beauty theories, while only one chapter is devoted to the review of Chinese natural beauty theories. This is certainly due to the dominant position of Western aesthetic thought, but when designing the structure, the commentator can still do some work to demonstrate a certain balance between Eastern and Western ideas. Sixth, although the author attempts to elevate “the concept of natural beauty and related issues” to “understanding or answering the essence of beauty” (Du Xuemin, 2022, p.47), in reality, this goal has not been fully achieved. Seventh, although the author is aware of the differences between the natural view of natural aesthetics and the natural views of ecological aesthetics, environmental aesthetics, landscape aesthetics, and life aesthetics, there is a lack of systematic exposition and in-depth argumentation on the differences between them, as well as the uniqueness of natural aesthetics based on this discourse compared to other aesthetics. Eighth, when proposing the concept of “beauty as nature self” with ontological characteristics in natural beauty, applying it to the analysis of nature, life, society, and art, this was a characteristic, but it also brought its shortcomings, that is, the so-called “beauty as nature self” is not the natural beauty in the eyes of ordinary people, but a natural perfection and freedom realm of life reflected by the things that are naturally formed, which can easily confuse readers. In addition, this “beauty as nature self” is not only reflected in nature, but also in social life and art. Therefore, when discussing natural beauty, he constantly touches upon social beauty and artistic beauty. On the one hand, this illustrates the integration between natural beauty, social beauty, and artistic beauty, but on the other hand, it also leads to the continuous crossing of the research field of natural beauty. Ninth, when discussing the study of contemporary Chinese natural beauty, there is a lack of reflection on post-practical aesthetics. As a powerful aesthetic trend in contemporary China, post-practical aesthetics also has its own research topics on natural beauty, and compared to practical aesthetics, its modern characteristics may be even more distinct. The tenth, the final part of the work combines the ethical turn of contemporary aesthetics and the proposition that “aesthetics is the first philosophy”, pointing out that modern natural aesthetics has its ethical connotation. Among numerous branches of aesthetic research, natural beauty has a primary position because it can “shoulder the great responsibility of the ‘first philosophy’” (Du Xuemin, 2022, p.280). This was originally a very insightful statement, but unfortunately it was briefly mentioned and lacked in-depth elaboration.

In summary, Du Xuemin’s *Nature and Beauty* is an important achievement in contemporary Chinese natural aesthetics research and is a masterpiece of aesthetic theoretical research full of wise insights everywhere. This book starts with a review of the discourse on natural beauty by both Eastern and Western

aestheticians and then constructs a so-called “modern natural aesthetics”. The “natural aesthetics takes the study of natural beauty and natural aesthetics as its own responsibility, focusing on the dual connotations of the beauty of natural things and the beauty as nature self”. It is a “humanistic academic research that reflects on the dual natural aesthetics relationship between human and internal and external nature” (Du Xuemin, 2022, p.44). This modern natural aesthetics is undoubtedly a new branch of aesthetics, and the emergence of *Nature and Beauty* marks the rise and self-awareness of this new branch of aesthetics.

The modern natural aesthetics constructed by Du Xuemin has a profound theoretical foundation in both Eastern and Western thought, as well as its own theoretical summary and sublimation. It is an introduction to “modern aesthetics” contributed by contemporary Chinese scholars, starting from the perspective of natural beauty, and is also an “introduction to modernity” guided by natural beauty. A significant feature of this book is that it always discusses the issue of natural beauty from the perspective of dialogue between artistic beauty and natural beauty. On the one hand, it constantly traces back history to discuss how Western thinkers viewed the relationship between artistic beauty and natural beauty; on the one hand, it emphasizes the theoretical significance and modern value of natural beauty research compared to artistic beauty research. It reflects on the previous excessive emphasis on artistic beauty research, which has suppressed and limited natural beauty research. It emphasizes how natural beauty research should break through the limitations of traditional aesthetic disciplines centered on artistic beauty research; on the other hand, due to the relatively broad understanding of the category of “nature”, which not only regards nature as natural things and the natural world, but also as the “nature” of “looking like nature self” and “as a matter of course”, its discourse constantly oscillates between natural beauty, artistic beauty, and even social beauty, life beauty, etc., making its discourse full of freedom and flexibility, or in other words, taking the discourse of natural beauty as an opportunity to achieve a holistic discourse on various aesthetic objects. The reason why *Nature and Beauty* always discusses and constructs the issue of natural aesthetics from the perspective of dialogue between artistic beauty and natural beauty, or the breakthrough of natural beauty research on artistic beauty, is, of course, its main purpose is to allow us to think about various issues related to natural beauty itself in the context of modernity, and to use natural beauty as the object to achieve a more comprehensive and accurate understanding of modern aesthetics. It also allows us to think about fate issues closely related to the meaning of human existence, which are related to art, society, and nature.

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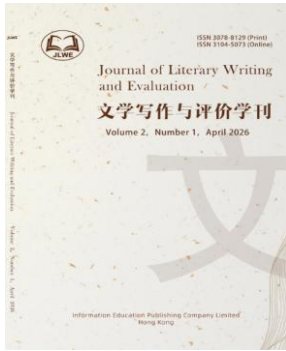
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Reviewing the Muse's New Abode: A Review of *Museum of Words: European and American Interart Poetics*

Wang Hao, Wang Ruhui

Abstract: This review examines Ou Rong's co-authored *Museum of Words: European and American Interart Poetics* (2022), a brilliant work of interart studies which offers a systematic survey of the historical evolution and conceptual reorientation of modern interart poetics through its "Theoretical Survey" and "Critical Practice" sections. A primary contribution of the volume is the redefinition of "ekphrasis" as a dynamic transformation across different artistic media and sign systems, thereby challenging the long-standing privileging of textuality in literary criticism. Furthermore, the book moves beyond Eurocentrism by integrating Chinese aesthetic traditions and employing innovative methodologies, including digital humanities. Ultimately, this work serves as both a retrospective synthesis and a forward-looking intervention that reshapes the paradigm of literary studies in the digital age.

Keywords: *Museum of Words: European and American Interart Poetics*; Ou Rong; Ekphrasis; *yigefuhuan*; interart poetics

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题目：探访缪斯的新居所：《语词博物馆：欧美跨艺术诗学研究》述评

摘要：本文评述了欧荣及其研究团队的新著《语词博物馆：欧美跨艺术诗学研究》（2022）。该书通过“理论爬梳”与“批评实践”两大部分，系统梳理了跨艺术诗学的历史演变，并剖析了该领域的现代转向。其核心贡献在于将“艺格符换”（ekphrasis）重新定义为不同艺术媒介与符号系统之间的动态转化，挑战了文学研究中长期存在的文本中心主义。此外，该书打破了欧洲中心主义，将中国美学传统纳入对话，并融合了数字人文等创新研究方法。该著作不仅是对跨艺术研究传统的总结，更是对数字化时代文学研究范式的积极重构，是该领域的里程碑之作。

关键词：语词博物馆；欧美跨艺术诗学研究；欧荣；艺格符换；跨艺术诗学

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Introduction

In an intellectual climate increasingly shaped by the convergence of disciplines, methodologies, and media, *Museum of Words: European and American Interart Poetics* emerges as a timely and ambitious intervention into contemporary literary studies. Authored by Ou Rong and her research team, this substantial work surveys the historical evolution of interart poetics and proposes a conceptual reorientation of the field with notable precision and comparative depth. Intended for scholars and advanced students of comparative literature, art history, musicology, and intermedial studies, the work manages the rare feat of being both encyclopedic in its historical sweep and discerning in its close-critical moments. It reveals that literature is not a closed system of symbols, but rather a dynamic existence that constantly flows, translates and re-creates itself across different media.

1. Theoretical Lineage of the Core Concept “Ekphrasis” in Interart Poetics

At its core lies a compelling and far-reaching argument: poetry has never existed in isolation. Rather, it is fundamentally interartistic—born from and continuously shaped by its entanglements with music, visual art, and performance. This claim is not merely interpretive; it is ontological. The book thus invites readers to reconsider what poetry is, rather than simply how it may be analyzed. The metaphor of the “Museum of Words,” adopted and developed from James Heffernan’s theoretical discourses (1993), provides a powerful organizing principle for the volume. Drawing on the etymological roots of the “museum” as the *mouseion*, or seat of the Muses, the authors reconstruct a premodern imagination of artistic unity, more than just “verbal representation of visual representation” confined in Heffernan’s book. In this framework, reading poetry is not just a temporal unfolding of the verbal text but a spatial and sensory experience—akin to walking through a gallery where language serves as both medium and architecture. Such a metaphor is more than illustrative; it functions methodologically, urging readers to engage poetry through multimodal perception, activating

vision, hearing, and imagination simultaneously. In doing so, the book challenges the long-standing privileging of textuality in literary criticism and repositions poetry within a broader aesthetic ecology.

Structurally, the volume is divided into two major sections: a “Theoretical Survey” and a “Critical Practice.” The first part undertakes an intellectual archaeology of interart poetics, tracing its lineage from classical antiquity to the present. Beginning with foundational texts, the authors revisit early reflections on the relationship between artistic forms, including the analogies drawn between poetry and painting in ancient rhetorical traditions. These early formulations are shown to have laid the groundwork for a persistent line of inquiry into the affinities and distinctions between temporal and spatial arts.

The discussion then moves into the Enlightenment, where attempts to delineate the boundaries of different art forms became more systematic. Here, the tension between unity and differentiation comes to the fore. While earlier traditions often celebrated the kinship between the arts, later theorists sought to define their limits, distinguishing, for instance, between the temporal unfolding of poetry and the spatial immediacy of visual representation. This dialectic, between convergence and separation, becomes a central thread running through the history of interart poetics.

A major turning point identified in the book is the twentieth century “Interart Turn,” during which comparative literature expanded its scope to include relationships between literature and other artistic and cultural systems. The authors carefully reconstruct this shift, highlighting how scholars began to move beyond purely textual analysis toward a more relational understanding of literature. Interart studies, once considered peripheral, gradually gained legitimacy as a distinct area of inquiry. This development was further institutionalized through the formation of international scholarly communities like International Association of Word and Image Studies, the International Society for Intermedial Studies, the International Association for Word and Music Studies, which have fostered sustained dialogues across disciplines and national boundaries.

One of the most significant contributions of the theoretical section is its engagement with the concept of “ekphrasis”. Traditionally understood as the verbal representation of visual art, ekphrasis has long occupied a central place in the discussions of interart relations. However, the authors argue that this definition is no longer sufficient. In contemporary scholarship, ekphrasis has expanded to encompass a wide range of intermedial interactions, including description, transformation, translation, and reinterpretation across different sign systems.

To address this conceptual expansion, the book undertakes what it terms a “rectification of names.” (Ou et al., 1) Recognizing the inconsistencies and limitations in existing Chinese translations and interpretations and built on Siglind Bruhn’s definition of ekphrasis — “a representation in one medium of a real or fictitious text composed in another medium” (559), thereby, Ou further proposes that “ekphrasis is the dynamic transformation among different artistic media and sign systems”, and emphasizes “the continuous and dynamic bi-directional/multi-directional influence” throughout the very process (Ibid., 10). This redefinition is not merely terminological; it reflects a deeper theoretical shift. By emphasizing transformation rather than

representation, Ou reconceptualizes ekphrasis as an active process, a set of operations through which meaning is generated, exchanged, and reconfigured across media.

Equally noteworthy is the book's insistence on situating interart poetics within a global, rather than exclusively Western, framework. While the historical narrative engages extensively with European and American traditions, it is consistently refracted through a comparative lens that brings Chinese poetics into the conversation. This approach challenges the implicit Eurocentrism of much interart scholarship and demonstrates that the intuition of artistic interconnectedness is by no means unique to the West.

Drawing on classical Chinese texts, the authors illustrate how the integration of poetry, music, painting, and calligraphy has long been a defining feature of Chinese aesthetic thoughts. According to Ou, with a holistic view of nature and culture in mind, Chinese education used to be a holistic education: art and literature, poetry, painting, calligraphy and music were required of the Chinese Scholar-official class; and more and more talented writers and artists with three or four perfections turned up and practiced the intermedial play of sister arts in their works, the tension between word and image and *paragone* of painting and poetry characteristic of the West exist less prominent in China, particularly before the modern China. (Ibid., 170) Concepts such as the mutual illumination of poetry and painting, or the synthesis of multiple art forms within a single work, resonate strongly with contemporary theories of intermediality. At the same time, the book is careful not to collapse these traditions into a homogeneous framework. Instead, it highlights both convergences and divergences, suggesting that different cultural contexts give rise to distinct configurations of interart relations.

This comparative perspective is particularly effective in revealing the limitations of existing theoretical models. Categories developed within Western scholarship, while useful, are not always adequate for capturing the complexity of non-Western practices. By placing these models in dialogue with Chinese aesthetic traditions, the authors open up new possibilities for conceptual and theoretical refinement. Nevertheless, with a comparison of ekphrasis and Chinese literary genre of *Fu* (赋), Ou also advocates the refinement of Chinese poetics to revitalize the writing and criticism of *Fu*. (Ibid., 219)

In addition to its historical and theoretical scope, the book distinguishes itself through its methodological pluralism. Traditional approaches such as close reading and intellectual history are complemented by insights from digital humanities. The use of bibliometric analysis, for instance, allows the authors to map the development of interart studies across different academic contexts, revealing patterns of influence, gaps in study, and emerging trends. This empirical dimension adds a layer of rigor to the study and underscores its relevance for contemporary scholarship.

At the same time, the book remains attentive to the changing conditions of literary production and reception in the digital age. The proliferation of new media technologies has fundamentally altered the ways in which texts are created, circulated, and experienced. Poetry, in particular, has increasingly moved beyond the printed page, taking on new forms that incorporate visual, auditory, and interactive elements. The authors recognize that these developments by expanding the possibilities of poetic expression and challenging existing theoretical frameworks. In this context, the concept of interart poetics acquires renewed significance. If poetry is no longer confined to a single medium, then its analysis must likewise transcends disciplinary boundaries.

The book thus positions itself at the intersection of tradition and innovation, drawing on historical insights while engaging with contemporary transformations.

Taken together, the first half of *Museum of Words* lays a robust foundation for rethinking the nature of poetry and its relationship to other arts. By combining historical depth, theoretical rigor, and comparative sensitivity, it offers a comprehensive account of interart poetics as both an enduring tradition and a dynamic field of inquiry. More importantly, it advances a bold and persuasive argument for the centrality of intermedial thinking in the study of literature today. In doing so, the book rather surveys an existing field but actively reshapes it. It challenges readers to move beyond entrenched disciplinary boundaries and to embrace a more integrated vision of the arts, one that recognizes the fluidity, hybridity, and transformative potential of aesthetic expression.

2. Critical Practice of Interart Poetics Across the West and East

While the first half of *Museum of Words* constructs a dense and historically grounded theoretical framework, the second half “Critical Practice” demonstrates the interpretive power and flexibility of that framework through a wide-ranging series of case studies. Here, interart poetics is no longer an abstract proposition but an analytical method, capable of illuminating texts across periods, genres, and media environments. The transition from theory to practice is not structural; it enacts the very principle the book advocates: that meaning emerges through dynamic interaction rather than isolated contemplation.

The section opens with what might be considered the “origin scene” of Western ekphrasis: the description of Achilles’ shield in Homer’s *Iliad*. This canonical example is revisited not as a static instance of “verbal representation of visual representation,” (Heffernan, 1993) but a complex intermedial event. The shield, as described in the epic, is not simply an object rendered in words; it is a microcosmic world, a narrative device that integrates visual imagery, temporal progression, and symbolic layering. By re-reading this passage through the lens of ekphrasis (*yigefuhuan*, 艺格符换), the authors foreground its dynamic quality: the poem does not merely depict the shield but re-creates it as a performative space in which multiple artistic logics intersect.

From antiquity, the discussion moves into the Renaissance, where the relationship between poetry and painting becomes increasingly self-conscious. Portrait poems, in particular, are examined as sites of negotiation between visual likeness and verbal interpretation. These works do not simply “translate” images into words; they interrogate the very possibility of representation, often exposing the tension between appearance and meaning. The interart framework reveals how such texts operate simultaneously within and against the conventions of both media, producing a layered aesthetic experience that cannot be reduced to either.

The book’s engagement with Romanticism further expands this trajectory by highlighting how poets began to internalize visuality. Rather than describing external artworks, Romantic poets often generate images through language itself, blurring the boundary between perception and imagination. This shift marks a crucial

moment in the evolution of interart poetics: the visual is no longer merely an external reference point but becomes embedded within the structure of poetic expression.

Particularly compelling is the discussion of American modernist poetry, where interart experimentation reaches a new level of intensity. Poets such as R. M. Rilke, Hart Crane, Langston Hughes and Bernard Spencer are presented as key figures who actively engaged with visual art, architecture, music and dance, as inspiration and structural principles.

The scope of the “Critical Practice” section is further broadened by its engagement with global and intermedial phenomena. Case studies examining the intercultural circulation of literary works, such as the transmission of Western poetry into Eastern contexts and vice versa, highlight the role of intermedial processes in shaping global literary and artistic exchanges. These examples demonstrate how texts are continuously reinterpreted and transformed as they move across linguistic, cultural, and medial boundaries.

Importantly, the authors do not treat these processes as neutral. While the primary focus remains on aesthetic transformation, there is an implicit recognition that interart and intermedial exchanges are embedded within broader historical and cultural dynamics. The movement of texts across contexts involves creative adaptation and negotiation, reinterpretation, and, at times, contestation.

The methodological diversity of this section mirrors the complexity of its subject matters. Close textual analysis is combined with historical contextualization, comparative reading, and theoretical reflection. This pluralism allows the authors to capture the multifaceted nature of interart phenomena without reducing them to a single explanatory model. Instead, interart poetics emerges as a flexible and evolving framework, capable of accommodating a wide range of artistic practices.

At the same time, the section reinforces the central claim of the book: that poetry is fundamentally interartistic. Whether through its engagement with visual forms, its incorporation of sound and performance, or its participation in global networks of exchange, poetry is shown to be a dynamic and relational medium. The boundaries between arts are not fixed but porous, constantly reshaped by processes of interaction and transformation.

In this sense, the “Critical Practice” section does more than illustrate theoretical concepts; it enacts them. By moving across different historical periods, cultural contexts, and artistic forms, the authors demonstrate how interart poetics operates in practice. The result is a richly textured account of poetry as a living, evolving phenomenon—one that resists confinement within any single medium or disciplinary framework.

3. The Future of Interart Studies

Having established both a comprehensive theoretical foundation and a diverse range of critical applications, *Museum of Words* turns, in its broader implications, toward the future of poetics in an increasingly digitized and interconnected world. This forward-looking dimension is one of the book’s most distinctive features, positioning it as a retrospective synthesis and a programmatic statement for the evolution of literary studies in the twenty-first century.

Central to this future-oriented perspective is the recognition that the “media revolution” has fundamentally altered the conditions under which poetry is produced, circulated, and experienced. The rise of digital technologies has given birth to new forms of artistic expression that defy traditional categorizations. Poetry is no longer confined to the printed page; it now exists in multimedia installations, interactive platforms, and algorithmically generated environments. In such contexts, the interart nature of poetry becomes an observable reality.

The book engages with these developments through a nuanced discussion of intermediality in the digital age. Drawing on contemporary theoretical insights, the authors argue that digital media do not simply provide new channels for existing forms but actively reshape the ontology of artistic works. Code, databases, and interfaces function as mediating structures, influencing how texts are constructed and interpreted. This shift requires a corresponding transformation in critical methodology, one that can account for the complex interactions between human creativity and technological systems.

This book is also recommendable by its commitment to methodological innovation. The book’s use of digital humanities tools, such as bibliometric analysis and citation mapping, exemplifies how quantitative methods can complement traditional interpretive approaches. By visualizing patterns of scholarly production, the authors provide empirical evidence for the development of interart studies as a field, highlighting both its achievements and its gaps. This integration of qualitative and quantitative methods reflects a broader trend in the humanities, where interdisciplinary collaboration is increasingly necessary to address complex research questions.

At the same time, the book remains attentive to the limitations and challenges of its own approach. In its concluding reflections, it acknowledges that the scope of its analysis, while extensive, is not exhaustive. The primary focus on European and American traditions, even when supplemented by Chinese perspectives, leaves other cultural contexts relatively under explored. The authors identify this as an area for future research, calling for a more inclusive and globally representative account of interart practices.

Another area identified for further development is the critical examination of power dynamics within intermedial processes. While the book touches on issues such as the politics of representation and the role of cultural hierarchies, these themes are not explored in depth. A more sustained engagement with questions of gender, colonialism, and ideological influence could enrich the analysis, revealing how interart transformations are shaped by aesthetic considerations and social, political forces.

Despite these limitations, the book’s overall contribution is both substantial and far-reaching. It succeeds in redefining interart poetics as a central concern of literary studies, rather than a peripheral specialization. By articulating a comprehensive framework that integrates historical analysis, theoretical innovation, and critical practice, it provides scholars with a powerful set of tools for engaging with the complexities of contemporary culture.

Perhaps most importantly, *Museum of Words* reaffirms the relevance of the humanities in an age often characterized by technological determinism. By demonstrating how poetry continues to evolve through its interactions with other arts and media, the book highlights the enduring vitality of aesthetic expression. It

suggests that, far from being rendered obsolete by digital technologies, the arts are being transformed in ways that open up new possibilities for creativity and understanding.

The metaphor of the “museum” thus acquires a renewed significance. Rather than a static repository of past achievements, the Museum of Words is envisioned as a dynamic and evolving space, a site of ongoing dialogue between different forms, traditions, and perspectives. It is a place where boundaries are not enforced but explored, where meaning is not fixed but continually renegotiated.

Conclusion

In conclusion, *Museum of Words: European and American Interart Poetics* stands as a landmark contribution to the field of interart intermedial studies. Its synthesis of theoretical depth, methodological innovation, and critical insight makes it an indispensable resource for scholars across disciplines. More than that, it offers a compelling vision of the future of literary studies, one that embraces complexity, fosters dialogue, and recognizes the interconnectedness of all artistic expression.

By reimagining poetry as an inherently interartistic practice, the book expands the scope of literary criticism and invites us to reconsider our own modes of perception. In an age defined by fragmentation and rapid changes, it reminds us that meaning emerges not from isolation but from relation, from the continuous interplay between words, images, sounds, and the human imagination.

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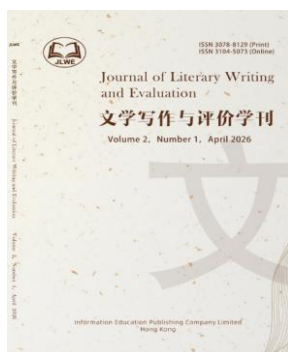
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Rimbaud: A Reconstruction and a Farewell: A Review of the Three-Volume Edition of *The Poetry of Rimbaud*

Ni Zhijuan, Liu Xinyi

Abstract: Professor Robert Greer Cohn (1922–) authored the three-volume work *The Poetry of Rimbaud*. Centering on the microscopic details embodied in Rimbaud's poetic texts, this monograph conducts textual explication, associative imagination and derivative interpretation, and delivers a panoramic overview of the gifted poet's poetic creation and life trajectory. As argued by Professor Cohn, Rimbaud established poetry as the fundamental domain of language, sustained the vitality and self-renewal capacity of linguistic expressions, and perpetually revitalized language eroded and depleted by daily triviality.

Key words: Rimbaud; Reconstruction; Innovator

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标题：兰波：一次重建与一次告别——重读《兰波诗歌》三卷本

摘要：罗伯特·格里尔·科恩（Robert Greer Cohn, 1922-）教授的《兰波诗歌》三卷本，聚焦于兰波诗歌呈现的细节，进行释义、关联性想象和衍生，对这位天才诗人的诗歌和生平进行了概述。科恩教授指出：兰波使诗歌成为语言的根据地，保持了语言的生命力、自我更新能力，不断刷新被日常所损耗的语言。

关键词：兰波；重建；革新者

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The three-volume work *Rimbaud's Poetry* (2015d) by Professor Robert Greer Cohn (1922-) serves as both a collection of poetic criticism and an unorthodox biography of Arthur Rimbaud. Following the chronological order of Rimbaud's poetic works, Cohn offers commentary on each poem individually, appending concise or elaborate notes after every line or stanza. This interpretative form resembles the traditional Chinese textual annotation and exegesis, yet it distinguishes itself fundamentally. Beyond explanatory notes on basic contextual facts, Cohn's commentary integrates the author's original insights, aesthetic reflections, and associative speculations. A core focus of his research lies in exploring the correlations between the lexical choices, syntax and imagery in Rimbaud's poems and the poet's life experiences, temperament and psychological state, striving to delineate a comprehensive spiritual portrait of Rimbaud.

Rimbaud's brief life falls into three distinct and clearly demarcated stages: a restless childhood, a poetic youth, and a wandering vagabond phase. Born in 1854 in Charleville, a small town in northern France, he grew up in a household marked by paternal absence and a stern, rigid mother. He began writing poetry at the age of sixteen and ceased all literary creation around the age of twenty, thereafter abandoning literature entirely to become a merchant and traveller until his death from illness at thirty-seven. Though his poetic career spanned merely five to six years within his compressed life, his verses have secured an enduring and resplendent place in literature. Self-proclaimed a "seer" and endowed with precocious poetic genius, Rimbaud has long been regarded as an unrestrained genius unfettered by conventional bounds. His poetry is imbued with innate ecstasy and perpetual unrest, achieving surreal and bizarre artistic enchantment long before he formed a conscious and definitive poetic mission. Rimbaud's post-literary life—his itinerant existence as a

so-called “wind-walker”—amounted to a lived poetic performance art. He enlisted in the Dutch colonial army, worked as an interpreter for a circus caravan, escorted firearms and ivory for merchants, ventured into the jungles of Africa, and wandered along the coasts of the Mediterranean and the Red Sea. He seamlessly merged the fanaticism of an explorer with the prudence and diligence of a professional merchant.

His later life and poetic writings echo and illuminate one another. They embody the metaphysical concepts of genius, artistic inspiration, destructive impulses and other intuitive “visionary” faculties of human nature elaborated by Kant, Schopenhauer and other philosophers, rendering such abstract ideas tangible in literary expression. Furthermore, his life and works cast an enduring spell over modern poetry, divesting it of its traditional redemptive and soothing qualities and re-configuring it into an art of obscurity, secrecy, uncertainty and fragmentation, perpetually haunted by phantoms of madness.

Cohn makes no attempt to construct a holistic, unified portrait of the poet. In his own words, he seeks not to “tame” Rimbaud. For a poet who perpetually sought to remain “other”, all conventional biographical endeavors are inherently doomed to failure. Mirroring the fluidity embedded in his poetry and his recurrent acts of departure throughout life, Rimbaud refused to be confined to a single narrative or a fixed identity. Instead, Cohn’s critical methodology centers on the minute details of each individual poem, conducting textual interpretation, contextual association and extended critical reflection rooted in these particulars. Even in the introductory overview, he rejects conventional summarizing frameworks and adopts a mirrored, fragmented mode of presentation. Such an interpretative approach is inevitably fragmentary, yet its greatest merit lies in magnifying microscopic textual details. It enables readers to discern fragments of truth amid the labyrinthine artistic veil that Rimbaud deliberately wove for himself and his literary oeuvre.

One pivotal analytical tool adopted by Cohn is psychoanalysis. He pays meticulous attention to the psychological undercurrents reflected in Rimbaud’s poetry, tracing such mental phenomena back to the poet’s childhood through psychoanalytical reasoning. Cohn argues that the upheavals of Rimbaud’s early life “undoubtedly intensified his precocious sensibilities and propelled him toward an extraordinary poetic career... Rational analysis enables us to apprehend the sufferings of his adolescence and their far-reaching repercussions.” He continuously identifies textual evidence across Rimbaud’s poems to substantiate this argument.

In Professor Cohn’s view, nearly every psychological fragment and personality trait forged in Rimbaud’s childhood—his estrangement from and resentment toward his mother, the profound void left by his absent father, his persistent desire to flee, his yearning and frenzy, and his perpetual resistance against life—finds a fixed symbol or recurring imagery in his poetic works. For instance, his memories of his mother are

inextricably linked to the colour blue, the hue of her eyes, a shade invariably bound up with unpleasant sensations: “She has lying blue eyes.” (Cohn, R. G., 2015a, p. 13)

Meanwhile, golden yellow stands for his absent father, constantly intertwined with intense hallucinatory visions. Furthermore, numerous male figures in Rimbaud’s verse embody his imaginative projections of the missing paternal presence. The blacksmith in the poem *The Blacksmith* serves as a telling example; out of admiration, Rimbaud “magnifies him to colossal, legendary proportions.” (Cohn, R. G., 2015b, p. 41) From a psychoanalytical perspective, paternal absence and the deprivation of maternal affection inflict enduring spiritual trauma on a child and erect multiple barriers to their growth. Plagued by a discordant family milieu, Rimbaud, an “extraordinary soul”, harbored singular needs for affection. “The primal tragedy of his vulnerability, compounded by parental neglect, once setting the depth of his emotional rhythm, would repeat itself incessantly and irrepressibly.” (Cohn, R. G., 2015a, pp.8-9) Subconsciously, Rimbaud’s poetic creation became an extraordinary compensatory means of self-vindication. On this basis, Cohn argues that “the central figure of Rimbaud’s poetry is a child (or adolescent), wandering curiously along woodland paths, country lanes and urban streets.” (Cohn, R. G., 2015a, p.9) Through poetry, he sought to reconstruct his lost childhood and complete the construction of self-hood. Rimbaud’s obsessive immersion in childhood, or in the past, was an endeavour to pursue his authentic existence. (Cohn, R. G., 2015a, p.3) This hidden creative drive—the self-reconstruction of childhood through verse—also foreshadows his ultimate renunciation of literature in later life. Once his self-construction was accomplished, the fundamental motivation for composition faded away, followed by a definitive farewell to poetry. Cohn nevertheless leaves an open-ended question: had Rimbaud’s life not ended at the age of thirty-seven, who could say with certainty that he would never have returned to writing? Should he have revisited poetry in his later years, would he have cast off the fragility and vacillation of his youthful genius to evolve into a powerful, vigorously visionary poet of extraordinary creative energy, or would he have lapsed into mediocrity?

2

Professor Cohn’s interpretation guides readers to focus on the poet’s inner spiritual world while engaging with poetic texts, discerning the spiritual narrative woven into verses and thereby drawing closer to the poet himself. Such a mode of reading proves vital to the understanding of any poet, for it enables a genuine comprehension of the reality inherent to poetry. Cohn underscores the value of “rational analysis” in reading, fully embodying his confidence and authority as a literary critic. Much like his contemporaries in criticism, Cohn acknowledges that “Rimbaud relied far more than most people, even most poets, upon himself and his innate nature... He retreated increasingly into the unreal realm of intense voyance.” (Cohn, R. G., 2015a, p.3) Nevertheless, when

confronting this visionary poet, Cohn persists in critical rationality—a faculty that allows readers to penetrate the visions of voyance and access the multilayered realities embedded in Rimbaud’s poetry.

The first layer of reality is Rimbaud’s personal reality.

An uncompromising rebel, Rimbaud embodied his defiance in his declaration “I is another”, as well as in his poetic output and the itinerant life he led after renouncing literature. His rebellion may be interpreted as an impulse to sever the connection between empirical reality and spiritual self-hood, seeking to envelop a flawed world with the power of imagination. As one critic observes, Rimbaud “established a fundamental unity grounded in metaphysics and poetry” (Cohn, R. G., 2015c, p.249). His metaphysical construction unfolded not only in his verses but also in the erratic trajectory of his post-literary life. “We are beyond the world,” (Cohn, R. G., 2015a, p.8) Rimbaud once wrote, an echo of Plato’s discourse on the world of Ideas versus the material world of appearances. To him, empirical reality was illusory, and transcendence of such illusion constituted the only path to authentic being. Cohn, however, incisively argues that Rimbaud’s metaphysical impulses constitute a covert narration of his personal reality. His lyrical return to childhood, much like his lifelong wanderings that perpetually circled back to Penelope— “his mother” (Cohn, R. G., 2015b, p.245)—epitomizes a realist posture of perpetual self-effacement and self-renewal for new beginnings. It follows that even the most hermetic poetry remains deeply anchored in the poet’s personal reality, encompassing both tangible temporal events and intangible psychological experiences shaped by spatial contexts. This fundamental truth was also recognized by René Char, the eminent modern French poet, who contended that while Rimbaud ought to be judged primarily through his poetry, his life and work resonate inseparably in unparalleled coherence.

Specifically, Rimbaud’s metaphysical poetics manifest in his abstraction of lexical meaning, his infusion of colour and musicality into linguistic texture, and his advocacy for the creative fusion of vision, hearing, touch and other senses to dissolve the boundaries between disparate perceptions. This aptitude defines his identity as a visionary. Historically, the term “psychics” originated as a religious epithet before being appropriated by Romantic poets and imbued with mystic connotations to denote poetic insight into cosmic mysteries. Rejecting its religious and mystical baggage, Rimbaud redefined voyance as an essential poetic faculty—the power of “systematic derangement of the senses”, attainable through sustained, disciplined cultivation.

In analyzing Rimbaud’s visionary imagery, Cohn lays bare their underlying realism. In *Vowels*, for instance, the association between the letter A and blackness, alongside the imagery of flies clad in fuzzy black coats; in *The Punishment of Tartuffe*, the depiction of sombre sacred robes and gloved hands. Such motifs evoke a Baudelairean aesthetic of evil, with their interwoven associations and synaesthesia projections rooted

in Rimbaud's lived experience and fraught relationship with his mother. Her coercive enforcement of Catholic piety left an indelible aversion in his mind, which ultimately metamorphosed into rebellious imagery across his poems.

The second layer of reality pertains to Rimbaud's contemporary contextual reality.

Among the cultural conditions of his era, Rimbaud regarded the historical decline of poetic language as the most urgent concern. He and his fellow Symbolist contemporaries acutely perceived the depletion of poetic expression, driven by a pressing need for linguistic innovation and the exploration of new expressive resources. The deterioration of Western verbal language can be traced in George Steiner's seminal work *Language and Silence*. Steiner chronicles the gradual erosion of linguistic authority in Western civilization. Prior to the seventeenth century, Western culture inherited from ancient Greece an unshakable faith in language: "In the beginning was the Word." Language ordered the tangible world and structured human cognition and expression. Civilizations once bore solemn witness to the conviction that all truth and reality, save for a marginal sphere of inexplicable anomalies, could be contained within the bounds of language. (George, 1998, p.14) This faith began to wane in the age of Milton. First, the rise of mathematical logic reshaped the very forms of thought, emerging as an autonomous, even authoritative, linguistic system independent of verbal expression. Second, modern art—including painting and music—deliberately distanced itself from linguistic interpretation, embracing abstraction, non-figuration and semantic indeterminacy. While the territorial scope of verbal language contracted externally, the language itself suffered internal degradation, losing its former grandeur and refinement. Though modern vocabularies expanded quantitatively, lexical usage contracted drastically. The rise of mass culture eroded literary sensibility, diminishing the scope of reality that language could articulate. "As Western consciousness came to rely less on verbal resources for organizing experience and articulating spiritual life, words forfeited precision and efficacy." (George, 1998, p.25) In essence, language, overused and over exploited, grew stale with time, while concessions to the communicative demands of mass culture reduced it to mediocrity. (George, 1998, pp.13-26.)

Cohn fully contextualizes Rimbaud within this linguistic and cultural crisis. Rimbaud's poetic rebellion entailed a deliberate resistance against the degenerative trajectory of Western language. He strove to craft a linguistic style characterized by the subtlety, delicacy and fluidity of Impressionist Pointillism, in stark contrast to the diffuse rigidity of Neoclassical diction, thereby endowing his writing with unfamiliar aesthetic power. (Cohn, R. G., 2015b, p.243) Rimbaud's acute awareness of linguistic decline and his radical remedial poetics redefined the mission of subsequent generations of poets: to revitalize and preserve linguistic texture against the atrophy of overuse. His ultimate abandonment of poetry may well stem from a profound sense of futility: even reinvented language inevitably succumbs to stagnation, and individual creative innovation

cannot counteract the inevitable ageing of discourse. Might he have deemed absolute silence the ultimate bulwark against linguistic decay?

The third layer of reality resides in the poetic tradition that shaped Rimbaud.

Though disinclined to “tame” Rimbaud into conventional critical frameworks, Cohn situates the poet within the broader continuum of literary evolution. His close textual readings balance microscopic detail with macroscopic perspective, interconnecting Rimbaud’s imagery and verses with those of Shakespeare, Baudelaire, Mallarmé, Sartre and other canonical writers. Such contextual alignment emancipates Rimbaud from the label of an isolated prodigy, embedding him within a profound poetic lineage and revealing the internal logic of literary development alongside his textual exegesis.

Cohn observes that in *The Drunken Boat* and subsequent compositions, Rimbaud achieved tangible progress in syntactic fluency and openness, yet his writing remained indelibly anchored to a specific historical moment, geographical setting and literary tradition. “Rimbaud is also ‘one of us’—an almost foreseeable, infinitely compelling French youth...” (Cohn, R. G., 2015b, p.245) This subtle assessment delineates Rimbaud’s pivotal position in French poetic heritage, echoing Mallarmé’s famous analogy: Rimbaud blazed across literature like a fleeting meteor, transient in appearance yet eternal in legacy. His centrality to French poetry derives not from isolated genius, but from his transitional poetics, which synthesized the innovations of his predecessors and charted new directions for modern verse.

Cohn further offers incisive generalized observations: “In a sense, many French writers grow up without a paternal figure. Fathers instil in sons the codes of masculine fortitude, emotional restraint, communal adaptation and autonomous existence. Deprived of such guidance, one seeks to redefine existential roles through radical, creative vision.” (Cohn, R. G., 2015b, p.8) The integration of such psychoanalytical arguments with close textual analysis yields expansive, thought-provoking critical insights. From this perspective, one may envision the refined, delicate ornamentation adorning Versailles, the Louvre and the Musée d’Orsay, and the opulent aura emanating from their artworks; one may picture the glamorous women of Paris, whose elegance and prominence overshadowed traditional masculine vigour, infusing French masculinity with understated grace, calm and softness; one may recall the iconic French men of letters—Rousseau, Musset, Flaubert, Proust, Camus—united by pale countenances, melancholic temperaments and an immersive literary sensibility, who substituted lived experience with written creation. Against this cultural backdrop, Rimbaud’s emergence in France emerges not as a fortuitous anomaly, but as an inevitable product of his time and literary milieu.

Professor Cohn's rational analysis unveils the inherent reality within Rimbaud's poetry, conveying a clear argument: every canonical poetic genius is deeply embedded in the broader poetic tradition and constitutes an indispensable link in its evolution. This is the most grounded dimension of poetic genius.

Such intrinsic reality consolidates Rimbaud's status as a poetic innovator and grants him landmark significance in the landscape of modern poetry. His innate linguistic gift and rebellious temperament enabled his work to resonate profoundly with the historical context. By subverting established linguistic conventions, his revolutionary writing fulfilled the vital function of linguistic redemption. Through dismantling linear time and causal logic in language, bridging the divides between disparate senses, and infusing verse with musicality and chromatic texture, Rimbaud restored to language the primal wonder and magic gradually eroded over time. His dreamy verses and hermetic poetics foreshadowed the defining features of modern poetry. Furthermore, he established poetry as language's final and most resilient stronghold, safeguarding its vitality and capacity for self-renewal. Poetry thus preserves a fertile reservoir of linguistic richness amid the persistent depletion and mediocrity wrought by mass culture.

Cohn frequently draws parallels between Rimbaud's innovative vision and the philosophical thought of Jean-Paul Sartre, for Sartre fully recognized Rimbaud's radical contributions. In comparing Baudelaire and Rimbaud, Sartre describes Baudelaire as a mere rebel, while crediting Rimbaud as a genuine revolutionary who "smashes reality as one smashes a money box", (Cohn, R. G., 2015b, p.245) tearing away the illusory veil shrouding the world. Meanwhile, Rimbaud's rejection of all constraints, his pursuit of the aberrant even the mad in poetic creation, and his rootless post-literary existence resonate closely with Foucauldian philosophy. Beyond innate talent and the faculty of *voyance*, rebellion and madness functioned as indispensable spiritual catalysts shaping his poetry. Throughout his life, he waged a primal, essential form of resistance. In *A Season in Hell*, Rimbaud identifies himself as a "savage": "I belong to the race that sings under torture; I know no laws, no morality. I am an uncivilized savage..." (Rimbaud, A., 2011, p. 178) and "Yet I have always been alone and homeless; I cannot even name the tongue I speak." (Rimbaud, A., 2011, p. 175) Cohn delivers a penetrating assessment of Rimbaud's unyielding, unregulated nature, arguing that the poet possessed a unique artistic "integrative power". This faculty allowed him to forge "monolithic works" and grant voice to madness, rescuing it from perpetual silence and obscurity. Such integrative power draws an insurmountable boundary between genius and insanity, and between Rimbaud and his mediocre epigones. Many aspiring writers possess raw talent yet lack Rimbaud's artistic cohesion, reducing their gifts to unmediated madness incapable of self-expression. Others, devoid of his poetic genius, reduce rebellion to hollow, fruitless posturing and superficial performance art.

Since the twentieth century, modern poets including Ezra Pound and T. S. Eliot have advanced along the literary path pioneered by Rimbaud. Acutely conscious of the oppression inflicted upon language, they upheld linguistic preservation as the central mission of the poet. (Eliot, T. S., 1989, pp. 243–245) Eliot emphasized that renewing modern civilization hinges largely on redeeming language, maintaining its precision and subtlety amid the complexities of contemporary life. Pound championed linguistic innovation, contending that modern language has broken free from subservience to empirical experience and acquired ontological independence. For Pound, poetry's social purpose lies in safeguarding language: this duty lies not in ideological persuasion, but in preserving the purity of intellectual tools and the integrity of cognitive materials. Human communication relies entirely on stable language; once discourse becomes verbose, imprecise and degenerate, rational thought and social order will inevitably collapse. (Eliot, T. S., 1989, p. 29)

Similarly, linguistic innovation remains a formidable challenge for contemporary Chinese poetry. Shaped by China's unique modernization trajectory, modern Chinese is sharply severed from classical literary heritage, failing to fully root itself in profound cultural soil. Already inherently deficient, it suffered further depletion from successive political movements and the surging tides of commercialization. Unlike the ageing language of Rimbaud's era, modern Chinese suffers not from obsolescence, but from paucity, monotony and fragility. It cries out for cultural accumulation, creative renewal, and visionary innovators to rebuild the linguistic lineage of modern Chinese poetry. In evaluating such trailblazers, we may adopt the critical criterion set forth by Cohn: the possession of authentic artistic integrative power.

For all its merits, this three-volume commentary is not without limitations. Preoccupied with microscopic analysis of individual words and imagery, Cohn often touches upon thematic connections without elaborate elaboration. Nevertheless, his associative insights offer valuable interpretive clues, guiding readers to further explore Rimbaud's entanglement with poetic tradition and his enduring enlightenment for modern poetics. In the second volume, the translator appends an essay by Suzanne Bernard on Rimbaud, which lucidly reconstructs his formative years, temperament, literary influences and poetic evolution. This supplementary material complements Cohn's close textual readings and enriches the overall critical framework.

For domestic Chinese critics, this work offers invaluable methodological inspiration. The textual difficulty of modern poetry often alienates general readers, while many contemporary critics evade rigorous close reading by invoking ambiguity, polysemy and indeterminacy as convenient excuses. Traditional Chinese critical discourse has long favoured intuitive impressionistic commentary and generalized evaluation, lacking sustained models of detailed textual analysis. Centering on Rimbaud—an extraordinarily difficult, visionary genius—Cohn's three volumes conduct unflinching rational analysis of his fragmented, seemingly illogical language and surreal imagery. Regardless of the absolute validity of his conclusions, his rigorous interpretative

method sets an exemplary benchmark for critics and readers alike: poetry is inherently definable and merits rational comprehension, even the visionary verses of Rimbaud.

In recent decades, French philosophy and art have exerted growing global cultural influence. Yet insufficient translation and the limited dissemination of French language learning in China have resulted in widespread neglect of French poets compared with their Anglo-American counterparts. Gratitude is owed to Professor Yang Deyou for translating this uniquely structured commentary on Rimbaud, bridging the cultural gap and bringing Chinese readers closer to the essence of French poetry.

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