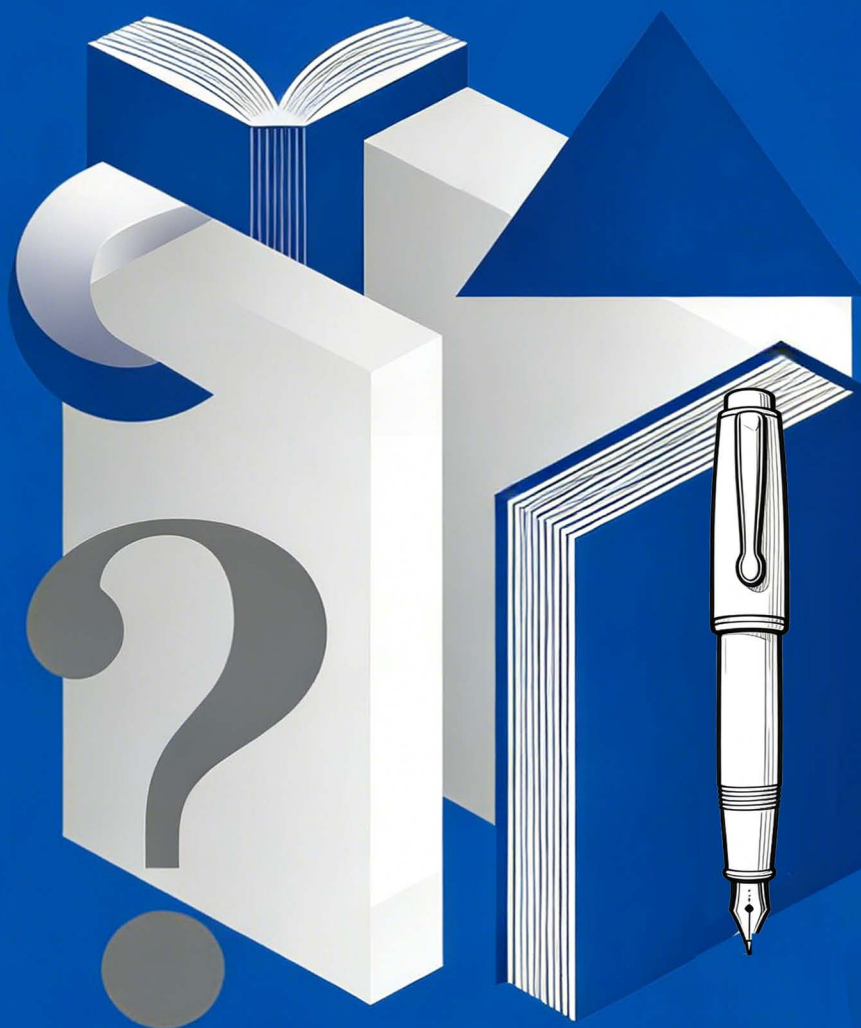


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# Journal of Publishing and Criticism

## 出版与批评学刊

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# *Journal of Publishing and Criticism*

## 出版与批评学刊

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## 海伦·邓莫尔《谎言》中的“泥土”意象与战争反思

张高魁 (Zhang Gaokui), 刘胡敏 (Liu Humin)

**摘要:** 英国现当代作家海伦·邓莫尔在《谎言》中讲述了主人公丹尼尔从一战战场返乡后, 受战争创伤困扰而无法回归正常生活, 最终跳崖身亡的故事。小说《谎言》中, “泥土”远非简单的环境背景, 而是战争创伤的核心载体与隐喻。本文以创伤理论为框架, 通过剖析文本中嗅觉、触觉与视觉三个维度对“泥土”的感官书写, 揭示其如何具象化主人公丹尼尔无法言说、无法摆脱的创伤记忆。嗅觉上, 泥土的气味如同“触发器”, 不断侵入当下, 将丹尼尔拖回战友死亡的瞬间; 触觉上, 泥土的粘附性与沉重感, 象征着创伤如影随形, 即使通过清洁仪式也无法涤除; 视觉上, 家乡“生泥土”与战场“泥土”的尖锐对立, 加剧了战争亲历者的身份危机与社群疏离。通过多感官叙事, “泥土”意象不仅深刻表征了创伤的持续性、体感性与不可言说性, 预示了丹尼尔的悲剧命运, 也构建了邓莫尔对战争暴力及其深远后果的文学反思。

**关键词:** 泥土; 创伤载体; 嗅觉; 触觉; 视觉

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**Title:** The Imagery of “Mud” and the Reflection on War in Helen Dunmore’s *The Lie*

**Abstract:** Helen Dunmore, a contemporary British writer, tells the story of Daniel, the protagonist of *The Lie*, who returns home from the WWI battlefield haunted by war trauma, unable to resume a normal life, and eventually commits suicide by jumping off a cliff. In the

novel, “mud” is far more than a simple environmental backdrop; it serves as the core carrier and metaphor for war trauma. Taking trauma theory as the framework, this paper analyzes the sensory depictions of “mud” from three dimensions—smell, touch and vision—in the text, so as to reveal how it materializes Daniel’s unspeakable and inescapable traumatic memories. Olfactorily, the smell of mud acts as a “trigger” that constantly intrudes into the present and drags Daniel back to the moment of his comrades’ death. Tactilely, the stickiness and heaviness of mud symbolize that trauma lingers like a shadow, which cannot be eliminated even through purification rituals. Visually, the sharp contrast between the “raw mud” of his hometown and the “mud” of the battlefield exacerbates the identity crisis and social alienation of the war survivor. Through multi-sensory narration, the imagery of “mud” not only profoundly represents the persistence, corporeality and ineffability of trauma, foreshadows Daniel’s tragic fate, but also constructs Dunmore’s literary reflection on the violence of war and its far-reaching consequences.

**Keywords:** Mud; Trauma Carrier; Smell; Touch; Vision

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## 引言

海伦·邓莫尔（Helen Dunmore, 1952–2017）是英国现当代文学中颇具影响力的作家，其作品以细腻的历史重构与深刻的心理刻画闻名。2014 年出版的《谎言》（*The Lie*）延续了她对战争与人性的探索，借士兵丹尼尔的返乡经历，展现了一战幸存者的精神困境与异化状态。在这部作品中，“泥土”作为核心意象贯穿全文，不仅承载着战场上的血腥记忆，更成为返乡士兵丹尼尔创伤的实体化象征。作者以敏锐的感官视角与细腻的文笔，巧妙运用“泥土”这一日常却意蕴丰富的意象，串联起战争与和平、创伤与救赎、个体与社会等多层面的主题，为读者呈现出一部思想深刻、情感张力强烈的文学佳作。该作品在英国现当代文学中占据独特地位，也为战争文学研究提供了新的视角与丰富素材。

近年来，学界对邓莫尔小说的研究尚显薄弱，成果较为分散，针对《围困》（*The Siege*）（2001）、《大衣》（*The Greatcoat*）（2012）、《谎言》（*The Lie*）（2014）等作品的研究文献不足 10 篇，其中关于《谎言》的研究仅有 1 篇硕士毕业论文，且对小说中“泥土”意象与创伤关联性的探讨不够充分。本文试图结合创伤理论，从不同感官视角出发，深入剖析“泥土”的多重隐喻。朱迪斯·赫尔曼（Judith Herman）在《创伤与复原》（1992）中提出，创伤记忆常“以意象和身体感官为主”，并且具有“难以言辞描述的特征”（Herman, 1992, p.70）；凯西·卡鲁斯（Cathy Caruth）强调，创伤的本质在于“无法被完全叙述”（Caruth, 1996, p.10），需借助隐喻间接表达；

巴塞尔·范德考克（Bessel Van der Kolk）在《身体从未忘记：心理创伤疗愈中的大脑、心智与身体》（2016）中指出，“创伤无法像一个有始有终的普通故事一样叙述，而只能以一些碎片的方式（例如图像、声音、身体感觉）携带强烈的情感（多数是恐怖或无助）一同呈现”（Van der Kolk, 2016, p.62）。本文综合上述理论，揭示《谎言》中“泥土”意象如何通过三种感官叙事构建创伤的不可言说性，并探讨邓莫尔对战争暴力的深刻反思。

### 一、嗅觉：泥土气味与创伤记忆的侵入

嗅觉作为最原始的感官之一，与大脑边缘系统直接相连，能够触发强烈的情感与记忆，被视为“最佳记忆线索”（Herz, 2007, p.XI），其关键就在于它强大的情感唤起能力。在《谎言》中，“泥土的气味”成为丹尼尔创伤记忆的“触发器”，与战争的血腥残暴场景及好友弗雷德里克的死亡紧密交织。

在枪林弹雨的洗礼下，土地被炮弹反复翻搅，化作泥泞的炼狱，士兵们在其间艰难行进、浴血奋战。邓莫尔通过嗅觉描写，将泥土与死亡绑定，暗示创伤记忆的具象化。丹尼尔嗅到“泥土的味道”，“这本该深埋地底的秽物，如今将所有的污浊袒露无遗，带着腐蚀性，啃噬着不得不寄生其中的尸体。潮湿的泥口朝我呼出腥膻的吐息”<sup>1</sup>（Dunmore, 2014, p.21）。赫尔曼指出，“创伤记忆缺乏语言叙事和背景；相反，它们以生动的感觉和图像形式被编码”（Herman, 1992, p.38），而“泥土的气味”——尤其是附着在弗雷德里克身上的泥土气息——正是这种“记忆碎片”的载体。为躲避德军，弗雷德里克与丹尼尔等人躲进了防空壕，丹尼尔闻到了“又脏又臭的死水，里面满是发臭的东西”，在泥沼中他发现，“弗雷德里克的小腿部位状况不好”，“泥土被风吹进了伤口里”（p.105），他们周围都是血与土交融的残酷现实。最终，当丹尼尔返回时，他“看见弗雷德里克了，就在前方二十码处。他一动没动。要是你事先不知道他在那儿，根本就找不到他”（p.208），而后亲眼看着弗雷德里克因不幸被炸弹击中而丧生，“我既没看见炮弹爆炸，也没听见声音。前一秒我还看着弗雷德里克，下一秒就被狠狠砸进了（泥）土里”（p.208）。弗雷德里克的离去成为丹尼尔内心永远无法愈合的创伤。对此，凯西·卡鲁斯曾在其著作《无人认领的经验》中给出关于创伤的一个极具影响力的定义：“创伤是对于突如其来的、灾难性事件的一种无法回避的经历，而对于这一事件的反应往往是延迟的、无法控制的，并且通过幻觉或其他侵入的方式反复出现”（Caruth, 1996, p.11），丹尼尔对弗雷德里克死亡的反复回忆，正是幸存者负罪感的体现。自此，“泥土”便与这一惨痛记忆紧密相连，不仅是战场环境的客观存在，更成为暴力与死亡的象征。在拜访费莉西亚时，丹尼尔无意间发现她独自一人在“杂物室”里哭泣，当他尝试安慰时，费莉西亚却说“我只是希望会有人到这儿来，仅此而已”，随后他发现这是弗雷德里克生前所住的地方，在屋里丹尼尔闻到了“还有另一种气味，让我浑身起鸡皮疙瘩”（p.153），同时屋内还放置着其在军队用过的物件。“床尾放着他那捆鼓鼓囊囊的装备。气味就是从那儿来的。凡是沾过那片泥土的东西，都带着一股死亡的气息”（p.154）。这种“泥土的死亡气味”直接触发了他的创伤记忆，即他未能拯救战友弗雷德里克的失败感，而正是这种记忆的侵入，才引发了他的负罪感和自我道德拷问。“泥土的

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<sup>1</sup> Dunmore, Helen (2014): *The Lie*, London: Hutchinson. 以下引文只标注页码且所有引文为笔者本人翻译，不再一一说明。

气味”由此转化为道德拷问的媒介，小说中弗雷德里克“从头到脚都裹满了泥，黏得紧紧的”及其身上散发的泥土气味，“我能闻到泥土的味道”（p.1），迫使丹尼尔不断重返创伤现场。

在《谎言》的叙事中，丹尼尔与弗雷德里克情谊深厚，共同的战场经历成为丹尼尔生命中不可磨灭的印记，“泥土”在其中扮演了关键角色。战场上，“泥土”见证了他们的生死与共；战争结束后，“泥土的气味”并未消散，而是以幽灵般的形态侵入丹尼尔的日常生活。夜深人静时，他常“闻到弗雷德里克身上的湿泥味”，仿佛“他就坐在床尾”（p.1）。那股泥土味涌入鼻腔，弗雷德里克被炸死的画面便立刻在脑海中浮现，伴随而来的是无尽的悔恨与遗憾：“倘若当初我多拖拽他几码，哪怕二十码，弗雷德里克本可活命”，“那时我像受惊的老鼠在弹坑间仓皇逃窜，却美其名曰为他寻求救援”（p.208），这些想法最终成为他心中难以抚平的创伤。嗅觉刺激瞬间将他拉回德国西线战场的惨烈岁月，泥沼中腐臭、硝烟与血腥混合的气味扑面而来，令他深陷恐惧与绝望的深渊。范德考克指出，“这些记忆的感知碎片侵入现实，就是它们再现的方式，只要创伤没有被解决，身体释放的压力激素会自动循环，防卫机制和情绪反应也会不断重复”（Van der Kolk, 2016, p.59）。笔者认为“泥土的气味”正是这种反应的“触发器”。此外，丹尼尔试图通过清洁行为消除“泥土的气味”：他“擦洗地板”（p.19），“用碱水刷净”（p.20），“床垫则拖到户外通风”（p.19）。这种徒劳的抵抗恰恰揭示了创伤记忆的不可逆性——正如赫尔曼所言，创伤并非过去的事件，而是“持续侵扰当下的存在”（Herman, 1992, p.37）。

“泥土的气味”具有幽灵性，暗示着战争对私人空间的侵蚀。丹尼尔的卧室本应是安全的避风港，却因战场记忆沦为“第二战壕”。笔者认为这种空间异化呼应了多米尼克·拉卡普拉（Dominick LaCapra）的“创伤性在场”理论，“在‘重演’创伤的过程中，时空崩塌，仿佛人又回到了过去，重新经历创伤的场景。过去与现在（甚至未来）之间的二元性（或双重铭刻）被经验性地瓦解，只会产生悖论和双重束缚”（LaCapra, 2001, p.21）。在丹尼尔身上，“泥土的味道”如同情感“触发器”，瞬间解锁他内心压抑的战争恐惧与悲伤。这种与“泥土”紧密相连的嗅觉创伤，不仅影响着他的睡眠质量与精神状态，更逐渐侵蚀其日常生活，使他在看似平静的家乡环境中，始终处于精神高度紧张、情感极度脆弱的边缘状态，进一步凸显了“泥土的气味”作为战争创伤载体的侵入性与幽灵性。

## 二、触觉：泥土的粘附性与创伤的“如影随形”

触觉强调身体与环境的直接互动，“泥土”粘滞、沉重的物理属性，恰成为战争创伤难以让人摆脱的绝佳隐喻。

战场上，泥土的触感与士兵的生存状态紧密交织。《谎言》第五章开篇提及“战壕腿”，这种疾病是因“长时间站在冷水或者泥浆中”，或“持续长时间穿着湿袜、靴子和绑腿”（p.52）所致，而泥土的黏附感正是这种创伤感受和记忆的外化。士兵们背负的不仅是泥土的重量，更是死亡恐惧与道德困境的双重压力。邓莫尔通过触觉描写揭示创伤的累积性：“（在战场上）陷入泥沼的人无法自行脱困。需得两人协助，在他两侧各垫一块木板，每次拽出一只军靴，一寸寸拖曳。这是缓慢的营救。但更多时候根本来不及，只能任其沉没”（p.3）。“泥土”在此成为战争的“同谋”，其触感从物理层面给人带来的不适感升华为精神层面的窒息。“下一秒，我们就趴在泥地里，匍匐前进。还没爬出我方铁丝网十码远，我就对这次突袭失去了信心”（p.279）。在突袭未果后，丹尼尔

四处找寻弗雷德里克的身影，“我跪趴在地上，身体不住地摇晃，像只不知该往哪去的狗，四处搜寻弗雷德里克之前待过的地方”（p.281-2），他感觉“我手下的泥土摸起来像耕过的田”（p.282），被弹药打散到松软，就像是犁过一样，以至于可以吞噬掉一个人。后面丹尼尔发现弗雷德里克的腿受伤了，于是便“背着他”，并且“无论如何都要带他出去”（p.201）。由于他受伤太重，身上全是泥土，便“把弗雷德里克放到地上”，“我得确保他的脸朝上，不埋在泥里，口鼻也通畅着。他在这儿没事的，没人能发现他”（p.206），丹尼尔打算自己一人行动，快速寻找一个担架以便拖走弗雷德里克，并想办法给他医治。“没了他的拖累，我动作很快，像只老鼠一样在各个隐蔽处窜来窜去。我得去求救，必须尽快离开他，越快越好”（p.207），但是当他找到人后，却发现“我当时把弗雷德里克留在那儿躺着，可等我回来时，那里什么都没有了”（p.274），他认为如果不是他的离开，弗雷德里克就不会死，他恨自己为什么在放下弗雷德里克后竟然爬得那么快。他明明妥善安置好了一切，还细心清理了弗雷德里克身体部位的泥土，然而等他找到两个救兵返回时，眼前却只剩下了泥土。他甚至恨自己，并且认为“我本该和弗雷德里克一起死的”，“我本该留下来陪着他的”（p.275）。此时，可触可感的、夹杂着战争的泥土将身体上的不适感与粘附感转移到了丹尼尔的意识之中，升级成为精神上的窒息。

战争结束后，丹尼尔试图重启生活，清扫房间成为他迈向新生活的重要仪式。然而，他发现“烟囱需要打扫了”（p.15），但是“很难想象，一个烟囱里居然能扫下这么多脏东西（泥土）”（p.17），他“碰了下桌子，手收回来时已经变黑了”（p.18），“水壶脏了”（p.19），除此之外还有墙面等等，他惊觉“泥土”似乎无处不在，“这事儿（打扫）花了那天剩下的所有时间，还耗了大半个晚上”（p.19），但是无论怎样努力打扫，都无法彻底清除。“到了白天，情况就不一样了。我之前以为房子已经打扫得差不多了，可实际上根本没打扫干净，还有一大堆活儿等着做”（p.19），这一情节深刻暗示了战争创伤在其内心的根深蒂固，如同顽固的泥土，难以从生命中剥离。《谎言》中，丹尼尔返乡后试图通过打扫房间洗去战争的痕迹，但“家具缝隙里的泥土无论如何也清理不干净”（p.17）。丹尼尔的失败则暴露了这种抵抗的虚妄。泥土的顽固附着隐喻着创伤记忆的不可逆性：即便已经远离物理战场，但他心理的战场仍在进行。更具讽刺意味的是，丹尼尔清洁时遭遇的雨水场景：他“跑到屋外淋雨，冰凉的雨水暂时冲走了汗水和泥土”（p.18），但回到房间后，泥渍仍像伤疤一样印在家具上。雨水成为短暂的净化媒介，却无法根除创伤的“污染”。这一循环揭示了创伤复原的悖论：幸存者越是试图遗忘，记忆越是顽固重现。战场上，泥土长时间附着在他的身体上，渗透进衣物纤维，嵌入肌肤纹理，成为身体的一部分；如今回到家乡，这种触觉记忆依然鲜活，每一次触碰那些似乎永远清理不完的泥土，都如同再次触摸战争的残酷与无情。这表明，即便身处相对安全的家乡，战争的触觉记忆仍在他的脑海中萦绕，使其无法真正摆脱战争的阴影，这不仅体现了创伤的精神禁锢，更印证了创伤记忆的体感本质。正如范德考克所论证的，创伤不仅存在于记忆中，更烙印在身体里。丹尼尔对泥土粘附感的持续警觉，正是他的身体仍在‘重演’战场生存状态的证明。

在古希腊罗马神话中，也有类似于“泥土”接触的表达。巨人安泰俄斯通过身体接触地面持续获得力量补充，其体力恢复速度与接触面积呈正相关，但是脱离地面接触后力量急剧衰退。由此可见，巨人安泰俄斯通过接触地面而获得能量，而离开地面则力量中断，他的战场上的成功来源于“土”。与古希腊神话中从大地汲取力量的安泰俄斯相反，对丹尼尔而言，泥土并非力量的源泉，

而是创伤的载体。安泰俄斯因脱离大地而毁灭，丹尼尔却因无法脱离泥土的束缚而备受折磨。这种对比更加凸显了战争创伤的残酷性：它扭曲了人与自然最基本的关系，将滋养生命的土变成了象征死亡与痛苦的枷锁。

对小说主人公丹尼尔而言，在触觉上具有粘附性的泥土象征着“如影随形”的创伤，而试图清除妨碍正常生活的泥土的这一行为，不仅是个体身体与环境的对抗，更是个体在社会文化语境中试图摆脱战争阴霾、回归正常生活秩序的艰难努力。它反映出战争对个体生活秩序的严重破坏，以及个体在重建生活过程中面临的巨大心理障碍，进一步揭示了战争创伤在社会文化层面的深远影响。

### 三、视觉：泥土的双重形态与战争亲历者的身份危机

视觉层面的“泥土”构建了战争与和平、亲历者与旁观者的尖锐对立，凸显了创伤对身份认同的解构。

战争场景中，德国战壕里的泥土是战争残酷性的生动写照。突袭后当丹尼尔一队人在防空壕边缘时，他发现“我们爬过弹坑边缘，在泥土（地）里匍匐前进”（p.203），眼前的泥土在昏暗光线下呈现出死寂的灰暗，与弹片、残骸、血水交织，构成一幅毛骨悚然的画面，“我不得不一次次停下来，把呛进嘴里的东西（泥土）吐出去。我能看到炮火闪烁的光，还能看到信号弹拖着光迹升上天空”（p.203），“到处都是尸体，外面漆黑一片”（p.204）。士兵们在狭窄泥泞的防空壕中蜷缩，每一次移动都可能引发泥土滑落，暴露位置并招来炮火轰击。这里的泥土承载着死亡威胁与战争恐怖，是战争暴力的直接见证。突袭失败后，丹尼尔亲眼看见战友们或死或伤、动弹不得，并且“有人在呻吟”（p.204）。他背着弗雷德里克离开时，发现其脸上“被雨水打湿，满是泥土”（p.205）。“泥土”成为掩盖死亡的帷幕，其视觉上的破碎感映射出战争对自然秩序的破坏。邓莫尔的文字描写亦达到相似效果：泥土的翻涌不仅展示死亡，更质问暴力的正当性。这种视觉冲击使读者深切感受到战争的无情与残酷，“泥土”成为战争创伤的视觉化象征，深刻烙印在丹尼尔的记忆中，成为其战后精神创伤的重要根源。

返乡后的家乡场景中，“生泥土”与战场泥土形成鲜明的对比。家乡人视而不见的“生泥土”，在丹尼尔的视觉记忆里，却始终与战场上那吞噬生命、混杂血肉的泥沼重叠、交织，而这种无法共享的视觉经验，将他彻底孤立。家乡的泥土本应是生命与希望的象征，与大自然的生机相连，但在丹尼尔眼中，却是对战场上混着血肉的泥土的赤裸裸讽刺，无时无刻不提醒他那段如“幽灵般”挥之不去的战争过往。家乡人在这片泥土上安居乐业，他们未曾经历战争，如同纯净的“生泥土”，保持着生活的原始安宁；而丹尼尔作为战争亲历者，却像是被战争玷污的泥土，与周围环境格格不入。他发现家乡“雨水浸润的土地松软如绸，锄尖落下时仿佛切开凝脂”（p.286），这种“生泥土”与战场泥土的对比加剧了他的异化感。赫尔曼指出，“创伤对人际关系的破坏并非是创伤的次要影响，创伤事件所产生的主要影响，不仅作用于个体的自我心理结构，还波及连接个体与社群的依恋系统及意义系统”（Herman, 1992, p.51），“泥土的视觉对立”正是这种隔阂的隐喻。创伤破坏了个体与社群的联系，并且这种破坏在丹尼尔身上通过视觉实现：他无法再用与家乡人同样的眼光看待共同的乡土。他所‘见’之物，已承载了截然不同的、可怖的意义。更深刻的是，当家乡人追问他关于玛丽的消息，丹尼尔闭口不谈甚至欺骗众人，隐瞒其去世的事实，这既体现了他的自我隔离，也强调了残酷战争对人的异化。家乡的“生泥土”成为暴力旁观者的象征，反衬出亲历者的孤独。

这一过程深刻揭示了战争对个体的异化作用，以及战争创伤在社会环境中的无形蔓延。即便身处和平的家乡，战争创伤依然如影随形，使丹尼尔成为无法融入正常生活的边缘人，进一步强调了战争创伤的持久性与深刻性，引发读者对战争给个体和社会带来不可逆转伤害的反思。

在《谎言》的最后一章，丹尼尔在动身去伦敦之前，还是选择了去犁地松土，他“感觉我就像站在（泥）土的边缘，能真切地察觉到它在转动”（p.286）。丹尼尔脚下的泥土是松软无比的，它在转动，好像随时都可以将他轻易吞噬，笔者认为这一表达暗含了主人公丹尼尔被家乡人追赶最后跳崖死亡的结局。返回家乡后，丹尼尔“没跟任何人说玛丽·帕斯科的死讯”（p.14），他“害怕走进人群之中”（p.33），同样家乡中的人也对他充满了不信任，例如多莉·奎克和杰夫·帕迪克等人。丹尼尔既不愿主动走进他人，同样的，家乡人的不理解也使他举步维艰。他就像是“在黑暗中继续前行”，就像“泥土一边吸拽着你的靴子，一边把靴底糊得满满当当”（p.244）。最终矛盾终于爆发了。丹尼尔被一群人追赶至悬崖边，脚下“无法前行，悬崖挡住了我的去路”（p.291），这成为其死亡的直接原因，而丹尼尔的纵身一跃正是创伤无法愈合的终极体现。此时，追赶他的家乡人如同泥土，将战场上的压抑气氛带到他身边：“再回首，追兵确乎落后，却见左右翼分兵包抄，海岸小径两端皆被封死”，“人数优势碾压而来”，“想起莫里斯中士当年领我们步入德军战壕”（p.289）。丹尼尔在被追赶的极端压力下，其创伤后应激障碍（PTSD）发作，战场的视觉记忆侵入现实，使他将追赶的家乡人“视作”了战场上包围他的敌人。这样，联系两者的不是因为家乡人像泥土，而是丹尼尔的创伤性视觉将两幅画面叠加了。恍惚之间，丹尼尔听到弗雷德里克在呼喊他“你这个爱吹牛的老家伙”，看到弗雷德里克“站在悬崖边上，轻轻松松保持平衡”，“而且他身上一丁点儿泥土都没有，看上去和往常一模一样”（p.292）。此时身上没有泥土、穿着一如从前的好友出现在他面前，救他于人群之中，带他脱离无尽的痛苦与折磨，这一如当初丹尼尔背着一身泥土、昏迷不醒的弗雷德里克，助他远离战争的血腥与暴力。唯一不同的是，这次是丹尼尔被如泥土般的家乡人所裹挟，而救他于水火的幻想中干干净净的弗雷德里克。而这也呼应了前文丹尼尔脚下松软且转动的泥土，而他也最终被其所“吞噬”，在悬崖边上纵身一跃，结束了自己的苦难，也埋葬了自己的一生。战争亲历者丹尼尔如同被异化的人，既无法逃脱战争，也难以回归正常生活，每日受战争创伤的折磨直至生命终结。这种内在联系不断提醒他那段痛苦的战争经历，也向世人强调：战争创伤不会消失，而是贯穿战争亲历者的一生。

这种对“泥土”的感知差异，揭示了战争对个体认知最根本的扭曲。在中国诗人艾青笔下，“土”是泪水与深爱的对象，是家国情怀的归宿（‘为什么我的眼里常含泪水？因为我对这土地爱得深沉’）。然而，在丹尼尔的视觉中，与之同源的“泥土”却已成为创伤、疏离与死亡的象征。这种截然相反的视觉体验，有力地强调了战争如何彻底剥夺了人与其生存根基之间最原始、最温暖的情感联结。由此可见，战争不仅改变个体命运，更在社会群体间制造无形鸿沟，使经历过战争的人与未经历者之间产生深深的隔阂与疏离。笔者认为，这种社会层面的分裂通过“泥土”意象具象化，揭示了战争在社会层面的深层次影响，以及战后社会重建中复杂的人际关系与社会融合问题。

#### 四、结论

通过对“泥土”意象在嗅觉、触觉、视觉维度的多维度分析，本文揭示了《谎言》如何通过三种感官叙事呈现战争创伤的复杂性与持久性。“泥土”作为创伤的载体，不仅承载血腥记忆，更象

征着幸存者无法回归正常生活的精神困境。邓莫尔借这一意象，批判战争对个体的毁灭，呼吁读者直面历史创伤。“泥土”在小说中超越物质属性，成为战争创伤的有力象征，紧密围绕丹尼尔的命运，从战场延伸至家乡，贯穿其整个战后生活，深刻预示了他的悲剧结局。这一意象的精妙运用，生动展现了战争对个体身心的毁灭性打击，揭示了战争创伤在社会文化与人际关系层面的广泛影响，引发读者对战争本质、后果及对人类社会深远意义的深入思考。在当代战争题材文学创作领域，《谎言》以其极具创新性的意象体系，为文学作品如何实现主题深度表达树立了典范。这部作品不仅启发研究者重新审视创伤载体在文学叙事中的多元价值与深层意蕴，也为战争文学研究注入新的活力与视角。同时，作品以文学特有的感染力与穿透力，唤起人们对和平的珍视和对战争的反思。

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## “The Third Space” in Langston Hughes’s Poetry: A Path to the African American Identification

**Song Zhiyan, Lei Yanni**

**Abstract:** As the Poet Laureate of the Harlem Renaissance, Langston Hughes focuses on African Americans’ culture and identity, and attempts to construct a multidimensional African Americans’ identification through his poetry. The concepts of hybridity and the third space proposed by Homi K. Bhabha are effective strategies for breaking binary oppositions and cultural hegemony which are employed in Hughes’s poetry to challenge the entrenched authorities, make the voices of marginal African American heard and show the negotiation between different cultures. The hybridity is demonstrated in poetic structure, language and narrative, which create the third space. This space serves not to define a static African Americans’ identity, but to show African Americans’ collective memories and rich culture, and then articulate African Americans’ dynamic identification and to envision a multicultural American future. Hughes’s poetic strategies demonstrate African Americans’ self-affirmation. His poetry, rooted in his ethnic pride, provides a solid cultural foundation for African Americans’ resilient, dynamic, and dignified identification.

**Keywords:** Langston Hughes; Hybridity; The Third Space; Postcolonialism

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**标题：**兰斯顿·休斯诗歌中的“第三空间”：非裔美国人的身份认同之路

**摘要：**作为哈莱姆文艺复兴时期的桂冠诗人，兰斯顿·休斯关注非裔美国人的文化与身份，并着力通过其诗歌构建一种多维度的非裔美国人认同。霍米巴巴所提出的混杂性与第三空间概念则为理解休斯的诗歌策略提供了批判性的视角。休斯的诗歌有效地打破了二元对立和文化霸权，挑战了根深蒂固的白人权威，使得被边缘化的非裔美国人得以发声，进而展现不同文化之间的协商。混杂性体现在休斯诗歌的结构、语言和叙事三个维度，进而创造了第三空间。该空间并非为了定义一种静态单一的非裔美国人身份，而是为了展示非裔美国人的集体经验和丰富的文化，进而展现非裔美国人对自我身份的持续探索和动态的身份认同构建，并且展望着一个多元文化并存的未来美国社会。休斯的诗歌策略展示着非裔美国人的自我肯定，这份植根于民族自豪感的创作，为该群体构建一种富有韧性、动态和尊严的认同提供了坚实的文化基石。

**关键词：**兰斯顿·休斯；混杂性；第三空间；后殖民主义

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Langston Hughes is one of the prominent African American poet of the twentieth century, and his poetry is deeply embedded with African American culture which shows his responsibilities for speaking up for the African American community. His poetry embodies characteristics of African Americans in both structure and content, confronts the historical wounds of the black community, and expresses strong ethnic confidence which provide a cultural blueprint for the African Americans' identification and construct literary discourse to resist racial oppression in twentieth century. Hughes becomes "a leading figure of the Harlem Renaissance by innovating American verse through a jazz poetry style" (Murray, 2018, p.39). Such innovation not only constructs a poetic form but also asserts the value of African American vernacular. As an African American, Hughes explores the racial differences in his poetry, and his poetry becomes an important part of American culture. The interplay of African heritage, American citizenship and racial cultures deepens the complexity of Hughes and his poetry. Hughes's poetry shows the collision of cultures which results in the hybridity. According to Bhabha, "the process of cultural hybridity gives rise to something different, something new and unrecognisable, a new area negotiation of meaning and representation" (Rutherford, 1990, p.211), which is

aligned with features of Hughes's poetry. Moreover, for Bhabha, "the importance of hybridity...is the 'third space' which enables other positions to emerge" (Rutherford, 1990, p.211). Therefore, Hughes' distinctive poetic style and content create the third space which provide opportunities for African Americans to resist the mainstream narrative in the West, and keeps the vitality of African Americans' culture in the process of deconstructing and reconstructing it.

Hughes's significant achievements and contributions attract plenty of scholars' attention at home and abroad. A large number of foreign papers study Hughes's poetry from a postcolonial perspective including cultural hybridity, black identity and challenges to colonial hegemony etc. Wahyuni and Andriani (2021) analyzed the hybridity and the dominance of whites over blacks in Hughes's poetry. Gohar (2007) focused on confronting the history of slavery and colonization in terms of content and themes in Hughes's poetry. Kanwal and Ashfaq (2024) explored self-apprehension and mixed identities in "The Negro Speaks of River". However, domestic papers that directly study Hughes's poetry from a postcolonial perspective are relatively limited. Scholar Luo Lianggong introduced the postcolonial features of Hughes's poetry in *American Literature: Critical Essays* including "save the image of the black, explore the historical origin of ethnic culture and discover the distinctive cultural resources of the black" (2004, pp.440-445). Scholar Zheng Yi applied postcolonial theory to Hughes's poetry, but she focused more on postcolonial themes reflected in the content of the poetry, while insufficient analysis of the deep connection between the form of the poetry and the postcolonial theory. Although Zheng Yi mentioned the Black music and the Black vernacular in the paper, the discussion lacked specific demonstration. Moreover, Zheng Yi also analyzed Hughes's identity and his poetry from the perspective of hybridity to demonstrate "the deconstruction of the dominant mainstream white culture and meanwhile show his call for multicultural integration"<sup>1</sup>(2009, p.100), but she only focused on the thematic content of Hughes's poetry while neglecting the diction and his poetry style, which are also important component of the hybridity of Hughes's poetry.

Regarding to Hughes's poetic innovations, Patterson demonstrated the blues in Hughes's poetry and Hughes's critique of black cultural nationalism. According to Patterson, "Hughes, appealing to the strength, humor, and "rooted power" of the blues, tries to change the derogatory view of folk culture that prevailed among the African American middle class and Euro-Americans" (2000, p.661). Patterson's argument reveals the duality of blues in Hughes's poetry, but fails to further explore how this tension embodies the hybridity of Hughes's poetry and the resulting the third space. Borshuk argued that "while Hughes accents African American difference through his use of recognizably black cultural source material, his relationship to that material is quintessential modernist in the distance he asserts between it and his own artistic expression" (2025, p.13). These descriptions imply a kind of hybridity and an int-between state but the connection between postcolonial theory and poetic style is implicit.

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<sup>1</sup> All English translations of Chinese articles, books and other sources cited in this essay are done by authors of this essay.

In terms of the study of Hughes's poetic style, a domestic scholar Luo Lianggong carried out detailed analysis from different aspects including black English vernacular and African American music. According to Luo Lianggong, "Langston Hughes's exploration and use of African American music in the United States are inseparable from his poetic ideals" (2002, p.48), which shows the importance of connecting the forms of Hughes's poetry and the connotations of his poetry. Most studies on Hughes's poetic style separate it from postcolonial theory, but postcolonial connotations are in the process of discussions. Therefore, it is necessary to introduce the postcolonial theory especially the third space to the study of Hughes's poetry which enables a more comprehensive understanding of Hughes's poetic innovations in poetry and highlights the important role his poetry plays in African Americans' identification.

### **1. Hybridity in Structure: Collective Memories of African American Community**

Hughes's attempts to explore African American cultures and communicate his cultural pride are illustrated in his use of blues in poetry. For Hughes, the use of blues and jazz is not merely a stylistic choice, but reveals his politic and cultural awareness. As Luo Lianggong states, "The blues...originates in the corn and cotton fields of the American South, and it evolves through the fusion of work songs, church spirituals, and folk humor and wisdom, gradually develops into a simple but expressive means of catharsis" (2002, p.52). Therefore, the blues represents African Americans' collective memories and strong creativity which provides Hughes a great platform to deconstruct Western cultural hegemony and construct African Americans' cultural confidence.

The blues as a traditional musical form has its specific structure. According to Tracy, "Twelve-bar blues generally consist of one thought or statement repeated, and a third line which resolves or extends the repeated thought in some way (AAB)" (1988, p.76), and such structure makes significant impact on Hughes's poetry. For example, Hughes's poem "Po' Boy Blues" is a typical poem that employs the blues structure, and the reader can follow the blues form to experience the boy's misery which is emphasized by the repeated lines:

When I was home de  
Sunshine seemed like gold.  
When I was home de  
Sunshine seemed like gold.  
Since I come up North de  
Whole damn world's turned cold.  
I was a good boy,  
Never done no wrong.  
Yes, I was a good boy,  
Never done no wrong,

But this world is weary  
An' de road is hard an' long.  
.....  
Weary, weary,  
Weary early in de morn.  
Weary, weary,  
Early, early in de morn.  
I's so weary  
I wish I'd never been born. (Hughes, 1927, p.28)

Hughes's use of the blues in poetry results in the hybridity in double dimensions. Each stanza of the poem strictly adheres to the AAB blues structure. The structure of the blues makes each stanza has the similar pattern that repeating the first two lines and presents a new opinion in the last line in each stanza. In terms of structure, Hughes integrates the musical structure and rhythms of the blues into modern poetry, which endows literary texts with musical resonance while imbues the blues with narrative function and depth, and thus achieving a profound mixture of music and literature. This hybridity creates the third space for the distinctive experiences and historical traumas of African Americans. Moreover, the use of the blues form creates the third space. Soja and Bhabha "define the third space as a place, where marginals build a community of resistance, in order to be heard by the 'powerful' representatives" (Kalscheuer, 2009, p.37). Hughes's poetry is a hybridity that constructs a space for African Americans to speak for themselves and exposes African American culture to the public that makes their marginal voices to be heard by other people. Hughes writes the white Americans' expectations for African American authors, "be stereotyped, don't go too far, don't shatter our illusions about you, don't amuse us too seriously" (1985, p.3). The cultural hegemony of the white in American society constrains African American writers, and Hughes strategically incorporates the blues form into traditional poetic forms, which creates a "new area negotiation of meaning and representation" (Rutherford, 1990, p.211). Hughes combines the blues originating from the African American life experiences with English poetry that has traditionally been dominated by the white, which shows a mixture of the African American cultural spirit and the dominant white literary tradition. The use of the blues can be regarded as a strategic appropriation, creating the hybridity that challenge the traditional poetic form and carves out the third space, where marginalized community is able to reshape the language of power.

According to Tracy, "African-American music like the blues, a combination of African and European elements, would draw partially on these African elements to create a new music from "a new race" (1988, p.64), and the inherent hybridity makes the blues the third space. Thus, when Hughes incorporates the blues form into poetry, he does not merely adopt a musical structure but situates his poetry within the third space which endows his poetry with expanded interpretive dimensions and a capacity to explore complexity. As

Tracy states, “Blues performances are both communal and individual extural meeting ground of African and European art in America...blues performances are both communal and individual expressions, dynamic and varied” (1988, p.60). The blues can speak for both individual African American and the collective African American community, which enables Hughes’s poetry to bridge personal emotions with collective history and offer profound insights into the complex realities of African American life and identity. According to Liu Guangjian and Zhang Huicheng, “Ethnic poets, either implicitly or explicitly, weave non-mainstream heterogeneity into their works by constructing epistemological thresholds. This strategy not only asserts the actual existence of the ‘Other’ but also facilitates a process of identity filtration within the community” (2025, p.107). Hughes introduced the blues, with its distinctive AAB rhythmic structure into poetry to create a form of heterogeneity that functions as an internal identity code for the African American community. By transcribing musical rhythms into text, he protected the construction of African American identity from being fully subsumed by dominant discourses. This mechanism of filtration allows the identity to maintain its cultural uniqueness even as it engages in the mainstream culture, ultimately achieving an active and evolving self-definition. Although the boy’s identity is not directly pointed out in “Po’ Boy Blues”, the blues form indicates his African American identity. The poem traces a boy’s psychological journey and his inner world transforms from “sunshine” to “weary” with the geographical movement showed in the lines “Since I come up North de/Whole damn world’s turned cold” that indicates the Great Migration that millions of African Americans move from the rural community in Southern America to the Northern areas, which is a force that leave the African Americans in a state of “rootlessness”. Hughes employs the blues structure to reveal and emphasize this collective dislocation. The boy’s lament “this world is weary” is an epitome of the mental situations of the whole African American community, which is aligned with the inherent hybridity of the blues. Moreover, the poem “Homesick Blues” has the similar blues structure:

De Railroad bridge’s  
 A sad song in de air.  
 De railroad bridge’s  
 A sad song in de air.  
 Every time de trains pass  
 I wants to go somewhere. (Hughes, 1994, p.71)

The poem revolves around personal emotions, but the blues form evokes the collective memory of the migratory African American community. As Tracy notes in *Langston Hughes and the Blues*, “the blues are ‘a way of life’... A particular misery and sadness, a particular blues, unites African-Americans” (1988, p.59). Although the narrator feels homesick, the destination remains an ambiguous “somewhere” that reflects an in-between state, which is also the condition of African American community at the time. They displace from the

South but not belong to the North, and although they are legally American, they are marginalized by the society. They can neither return to the past nor arrive the ambiguous future. The blues, a hybridity from cultural encounters, served as both medium and metaphor unfolds African American's life experience.

Although the blues form is a distinctive feature of Hughes's poetry, he does not mechanically transplant the blues form into his poetic practice. Hughes extends the blues form with original literary ideas in some of his poems. "Hughes implies that the conventional blues idiom is so compelling, and so limited, as to threaten his imaginative freedom" (Patterson, 2000, p.664), and the extensions and changes enables Hughes's poetry further transcend constraints. The structure of the poem "Southern Mammy Sings" is derived from the traditional blues form. "The traditional a-a-a rhyme scheme in the blues is replaced by a more complicated scheme, a-b-c-b-b" (Johnson & Farrell, 1979, p.61). Through his innovative use of line repetition in poetic form, Hughes amplifies African American voice that expresses the misery of oppression and appeals for racial justice. The poem reads as follows:

Miss Gardner's in her garden.  
Miss Yardman's in her yard.  
Miss Michaelmas is at de mass  
And I am gettin' tired!  
    Lawd!  
I am gettin' tired!  
.....  
Last Week they lynched a colored boy.  
They hung him to a tree.  
That colored boy ain't said a thing  
But we all should be free.  
Yes, m'am!  
We all should be free. (Hughes, 1994, p.227)

The poem "Southern Mammy Sings" shows the collective voice of African American labors. As Tracy states, "The blues...represented an adaptation of older instrumental and vocal techniques (which responded to one kind of oppressive system) to a new kind of music, one that responded to the unique problems posed by the new oppressive system and provided an appropriate way of expressing these problems" (1988, p.75). Hughes's expansion of the blues form further reveals his rebellion against the oppressive system and his strive to break the existed form, which brings newness to the culture and expression. According to Kalscheuer, "newness enters the world, questions existing structures of authorities and politics and thereby establishes the preconditions for a modified relationship between the colonizer and the (oppressed) colonized" (2009, p.39).

This poem constructed the third space where the stereotype of the southern mummy is debunked and the real living environment of African Americans is revealed. The hybridity in structure enables the expression of personal emotions to resonate with the collective memory and historical traumas of African American community, which powerfully challenges the single literary orthodoxy. Through such structural innovation, Hughes elevates the blues from a musical genre to a profound narrative strategy that carries out cultural resistance, constructs group identity, and renews cultural confidence.

## **2. Hybridity in Vernacular Language: Articulation of the African Americans Subjectivity**

Black vernacular language stems from their traumatic experience of black people in American plantation culture, which has become an epitome of their physical and mental traumas as slaves. According to Vukelic, “vernacular expression was one of the strongest media for Black people fighting for freedom and racial justice” (2022, p.46). By integrating Black vernacular language into his poetry as a strategy of cultural resistance, Hughes achieves cultural empowerment, which carves out a space for African Americans to articulate their own voices within poetic expression. This approach promotes the construction of a collective identity and reinforces African Americans’ cultural confidence.

George Schuyler, a black writer, used to write to Hughes, “What the black masses need is hope and pride, an understanding of their potentialities, a reinforcement of dignity” (Rampersad, 1986, p.221). Noticing African Americans’ critical deficit in self-understanding, Hughes positions his poetry as a strategy aimed at promoting African Americans’ sense of self-worth. Specifically, Hughes’s deployment of Black vernacular language serves as a vital tool in his endeavor. In the poem, “Bound No’t Blues”, the Black vernacular language not only traces the migration and mental activities of African Americans, but more importantly, it demonstrates an elementary collective identification through the linguistic form of the community. The use of Black vernacular language functions to validate the marginalized experience and establish a foundation for African American cultural discourse. The poem reads as follows:

Goin’ down the road, Lawd,  
Goin’ down the road.  
Down the road, Lawd,  
Got to find somebody  
To help me carry this load.  
Road’s in front o’ me,  
Nothin’ to do but walk.  
Road’s in front of me,  
Walk...an’ walk...an’ walk.  
.....

On the no'thern road.  
These Mississippi towns ain't  
Fit fer a hoppin' toad. (Hughes, 1994, p.76)

The poem comprises lots of direct appropriations of Black vernacular language such as “Lawd”, “fer”, “Goin’”, embedding colloquial expressions within a formal poetic framework. This cultural hybridity infuses Hughes’s poetry with emotions and thoughts of African Americans, transforming it into a window for their expression. The Black vernacular expressions reveal the complex and authentic emotions and collective experience of African Americans during the Great Migration, presenting neither a purely pessimistic complaint nor blind optimism, but a paradoxical sensibility that includes sorrow, hope, and disillusionment etc. Such rich emotions prevent African Americans from being defined as “‘unitary’ or ‘originary’ identity, identity as ‘presence’, identity therefore represented by the supposedly transcendental ego” (Easthope, 2008, p.342), but a more dynamic and multi-faceted image of African Americans, transcending the simplistic mainstream definitions.

Influenced by the White cultural hegemony, Black culture is portrayed as primitive and uncivilized, and so is Black vernacular language. More importantly, such external devaluation is so deep and profound that some Black bourgeoisie internalize it and refuse to accept the Black culture. Trying to adapt to White culture is trying to get rid of Black identity. As Fanon writes in *Black Skin, White Masks*, “The colonized is elevated above his jungle status in proportion to his adoption of the mother country’s cultural standards. He becomes whiter as he renounces his blackness, his jungle” (2008, p.9). Their rejection of Black vernacular language and culture is an attempt to become whiter, which divides the African American group as a whole, and leads to internal fragmentation and cultural shame. Just as Fanon mentions, “In the man of color there is a constant effort to run away from his own individuality, to annihilate his own presence” (Fanon, 2008, p.43). The imitation of White people results in the loss of identification of African Americans, so that they not only cannot integrate into White group but also alienate themselves from their own culture and racial group. Hughes’s use of Black vernacular language is not an emphasis on returning to origins, but a cultural strategy of hybridity. Hughes’s poetry creates a third space that is neither purely Western nor purely African, but a space where African Americans can truly understand themselves and achieve identification. By validating Black vernacular language through his poetry, Hughes helps African Americans get rid of an originary identity. In this “in-between” space, they can understand themselves and forge a new and resilient sense of cultural confidence.

Hughes’s poetry is not a simple exposure of Black culture to the public, but a strategic practice, a conscious reconciliation and adaptation. In the poem “Mother to Son”, rather than directly express African Americans’ rage or joy through purely revolutionary language, Hughes reveals African Americans’ experiences and thoughts through Black vernacular language. The poem reads as follows:

Well, son, I'll tell you:

.....

I've been a-climbin' on,

And reachin' landin's,

And turnin' corners,

And sometimes goin' in the dark

Where there ain't been no light.

So boy, don't you turn back.

.....

Don't you fall now—

For I've still goin', honey,

I've still climbin',

And life for me ain't been no crystal stair. (Hughes, 1994, p.30)

In the poem, a mother tells her son about the hardships of life and offers him advice through her personal experiences. The identities of the mother and the son are not directly given in the poem, but Black vernacular language is frequently used in the poem which indicates the Black identity of the mother and the son. For example, in the line, "I've been a-climbin' on", the auxiliary verb "have" is omitted, resulting in the features of Black vernacular language. Additionally, the "ing" is replaced by "in" in these lines, "And reachin' landin's, /And turnin' corners", which is another important feature of Black vernacular language. In the last line, "And life for me ain't been no crystal stair", the double negative, one of Black vernacular language feature, is used, making the line more like a peaceful and insightful narration rather than a simple venting of emotions, which shows African Americans' philosophy of life and existence. "Black Dialect is an Africanized form of English reflecting Black America's linguistic-cultural African heritage and the conditions of servitude, oppression and life in America" (Smitherman, 1977, p.2). Therefore, the utilization of Black vernacular language liberates African Americans from the singular narrative of slavery documented by the White majority, allowing them to narrate their own stories and show the hybridity forged through the spatial migration and cultural integration experienced by African Americans. The encounters and interactions between traditional poetic form and Black vernacular language establish a third space where the blackness of African Americans is no longer rigidly defined but is transformed into a fluid and subversive subjectivity that transcends the binary opposition of Black and White. This cultural hybridity not only carries the traces of African culture but also incorporates the lived experiences of American society. Hence, their identity is reshaped into a dynamic, resilient, and creative cultural construction, rather than a fixed, surveillable, or classifiable essentialist signifier.

Black vernacular language often echoes the content of Hughes's poetry, collectively demonstrating the authentic life and emotional experiences of African Americans. In the poem "Song for a Banjo Dance", both

the content and the language Hughes chose are forms of Black vernacular. Banjo, as a famous stringed instrument, serves as a powerful symbol of hybridity itself. Banjo is brought from Africa during the Atlantic slave trade, carrying the profound history of African American people and their features of diaspora, and it is frequently used in present African Americans' singing, which positions it as an epitome of collective memory and cultural continuation. Hughes describes the Banjo dance with Black vernacular language. The poem reads as follows:

Shake your brown feet, honey,  
Shake your brown feet, chile,  
Shake your brown feet, honey,  
Shake 'em swift and wil'—  
Get way back, honey,  
Do that low-down step.  
.....  
Sun's going down this evening—  
Might never rise no mo'.  
The sun's going down this very night—  
Might never rise no mo'—  
So dance with swift feet, honey,  
(The banjo's sobbing low)  
Dance with swift feet, honey—  
Might never dance no mo'. (Hughes, 1994, p.29)

Black vernacular language is mixed with the African Americans' traditional music, strongly showing African Americans' emotions in the poem. In the line "Shake 'em swift and wil'—", the last letter "d" of the final consonant cluster is omitted, and in these lines, "The sun's going going down this very night—/Might never rise no mo'—", the letters "re" of the word "more" is omitted, a common feature of Black vernacular language. The introduce of black dialect in the poem breaks the form of formal written English, imbuing vitality into the poem, which is aligned with the black people's passion. The colloquial expression of black people resonates with the content of the poem. The Black vernacular language Hughes used is a component of African Americans' life and communications, which constructs a sense of authenticity of poetry. The language in the poem is not just a tool for communication but becomes African Americans' experience itself. Through a kind of language hybridity, which draws upon a "genteel tradition, adapted to the special features of black culture" (Rampersad, 1986, p.221), Hughes's poetry functions as a cultural strategy that strengthens a sense of identity and confidence within the African American community.

The frequent use of Black vernacular language endows these poems with strong colloquial features and a sense of authenticity, bringing them closer to the real life of African Americans. Moreover, Hughes makes African Americans' language visible that resonates deeply with the African American community, and thereby strengthening their identification and cultural belonging. "To speak means to be in a position to use a certain syntax, to grasp the morphology of this or that language, but it means above all to assume a culture, to support the weight of a civilization." (Fanon, 2008, p.8). The use of Black vernacular language confirms the position of Hughes and his poetry, and shows a cultural resistance strategy. The repetition of Black vernacular language in poetry effectively counters the denigration of African American language and culture by mainstream culture. Hughes's poetry proclaims that the everyday language of African American is a powerful tool which also transform the poetry into a window of reflecting the African Americans' spirit. It declares that African American people possess their own special linguistic rules and expressions that are not inferior but valid and dignified. Through it, African Americans are able to hear their own voices that help them avoid being defined by a mainstream unitary standard.

### **3. Hybridity in Narrative: From Authority Subversion to the African American Self-affirmation**

Hughes's poetry focuses on African American identification, but this is not achieved by establishing a single identity sharply opposed to white culture. Hughes traces the historical legacy of Africa, the trauma of slavery, and the collective memory of African Americans. While confronting racial oppression and struggle, Hughes also embraces a vision of multicultural coexistence. The interplay of past and future, Africa and America depicted in his poetry, collectively shapes the complexity and hybridity of African American identity. The essence of African American identity resists any simplistic definition, which is aligned with what Bhabha states, "multiple subject positions—of 'race,' gender, generation, institutional location, geopolitics, sexual orientation—that inhibit any claim to single identity" (1995, p.269). Hence, the hybridity in Hughes's poetry is not only shown in the poetic structure but also in the imagery, narrative and themes, thereby reveal the fluid African American identity and their identification that transcends binary oppositions.

The hybridity in Hughes's poetry deconstructs the binary opposition of the black and the white and challenges dominant white cultural norms and beliefs. In "Christ in Alabama," Hughes does not simply reject the core symbol of the West, Christ, but employs cultural displacement to hybridize traditional Christian images with African American identity, thereby deconstructing entrenched discrimination and domination. The poem reads as follows:

Christ is a nigger,  
Beaten and black:  
Oh, bare your back!  
Mary is His mother:

Mammy of the South,  
Silence your mouth.  
God is His father:  
White Master above  
Grant Him your love.  
Most holy bastard  
Of the bleeding mouth,  
Nigger Christ  
On the cross  
Of the South. (Hughes, 1994, p.143)

According to Bhabha, “Hybridity is the revaluation of the assumption of colonial identity through the repetition of discriminatory identity effects. It displays the necessary deformation and displacement of all sites of discrimination and domination” (1994, p.159). Hughes appropriates the narrative of Christianity, including “Christ” “Mary” “Cod the Father” that are all supreme and sacred symbols in white culture and beliefs. However, Hughes places these symbols in the context of black slavery and racism to achieve deformation and displacement. Christ is displaced by a nigger who is oppressed, and Mary is displaced by the mammy of the South who is an exploited black woman, and God is stripped of his universal divinity and displaced by the white master who physically and sexually exploits black people. The repetition in this poem deconstructs the image of Christ as a symbol of white cultural morality, and thereby exposes the underlying reality of racial oppression and challenges the moral legitimacy of white cultural hegemony. Hughes appropriates and satirically imitates the colonial cultural elements of the white people, and as Bhabha states, “Hybridity represents that ambivalent ‘turn’ of the discriminated subject into the terrifying, exorbitant object of paranoid classification - a disturbing questioning of the images and presences of authority” (1994, p.162). The hybridity Hughes created in this poem reveals how the so-called universal religious discourse is exploited by the racial power structure, thereby making Christianity a field for criticizing oppression and expressing the suffering and redemption of African Americans. This poem challenges both white authority in America society and the binary opposition that frames the white as a symbol of civilization while the black as a symbol of barbarism. Hughes’s mimicry does not lead to assimilation, instead distort and disrupts the existing power structure, which empowers African Americans to break free from the ideology of white supremacy, and enables them to affirm their identification.

The narrative hybridity in Hughes’s poetry subverts the authority of White belief and dismantles their monopoly over historical narratives, thereby establishing a new internal authority for African American community within the poetry. As Rutherford writes, “this third space displaces the histories that constitute it, and sets up new structures of authority, new political initiatives” (1990, p.211). African Americans are no

longer defined by the histories, authority, or political initiatives created by the White majority. Instead, they transition from a passive object to self-defining subject that reinterprets itself and construct cultural confidence within the in-between status.

Hughes's exploration of African Americans' identification does not stop at the deconstruction of white cultural hegemony. He is also committed to exploring the historical and cultural resources of the African American community from a positive perspective. One of Hughes's representative poems "The Negro Speaks of Rivers" employs rivers as the central image to show the transnational history and experiences of African Americans. The poem is the following:

I bathed in the Euphrates when dawns were young.  
I built my hut near the Congo and it lulled me to sleep.  
I looked upon the Nile and raised the pyramids above it.  
I heard the singing of the Mississippi when Abe Lincoln  
went down to New Orleans, and I've seen its muddy  
bosom turn all golden in the sunset. (Hughes, 1994, p.23)

In "The Negro Speaks of Rivers", the hybridity is shown in the interplay of the splendor of ancient civilization and the trauma of black slavery, the interplay of ancient soul and modern thinking, which rejects a one-dimensional interpretation on African Americans. "This notion of a 'third space' reflects the way hybrid theory articulates identity outside this self/other polemic and not in terms of being tied to a particular location" (Wright, 2018, p.105). This poem creates a third space that transcends concrete geographical and temporal boundaries, where African American identity is liberated from the self/other polemic and the binary opposition of the white and the black, and emerge in a mixed and open state. Hughes links black identity not to a single location, but to the rivers of human civilization including the Euphrates, the Congo, and the Nile. The inherent fluidity and vitality of these rivers serve as a powerful metaphor, which resonates with the transnational and migratory history of black people and their vitality. Hughes writes that "My soul has grown deep like the rivers" (1994, p.23), and African American culture and soul contain the history of African continental history and the American experiences, which make African American identity deep and dynamic just like the rivers. The poetic space is the third space that is a historical and fluid homeland rather than a geographical and static place. In the poem "Black Seed", Hughes describes the diaspora of African American, "Driven before an alien wind/Scattered like seed" (1994, p.130), which leads to their destined identity that "Hybrid plants/In another's garden" (Hughes, 1994, p.130). The metaphor emphasizes that African American identity is a hybrid that transcends geographical limitations and is rooted in collective memory, and this hybridity serves as the foundation for their identification.

Hughes's poetry shows his aspiration of African Americans for equality in the United States and hope for a society of multicultural coexistence. According to Sheng Anpeng, "hybridity manifests in many forms including linguistic, cultural, political, racial etc." (2004, p.62). In his poems, Hughes frequently employs these various forms of hybridity, which is not only a call for a symbiotic society of different cultures and ethnic groups but also his effort to help African Americans build self-confidence and to strengthen their identification. In the poem "Theme for English B", Hughes writes:

Being me, it will not be white.  
But it will be  
a part of you, instructor.  
You are white—  
yet a part of me, as I am a part of you.  
That's American. (Hughes, 1994, p.410)

The line "Being me, it will not be white" is a powerful assertion of a unique and irreplaceable ethnic perspective, and it refuses complete assimilation into white culture. The line "it will be / a part of you" denotes that the cultures and experiences of different races are mutually permeable which breaks the potential binary opposition. This dynamic illustrates the theories of Bhabha, and according to Ikas and Wagner, Bhabha conceives of such intercultural encounters as a "a special kind of negotiation or translation that takes place in a Third Space of enunciation" (2008, p.2), which is supposed to "bring about a common identity, one that is new in its hybridity" (2008, p.2). African Americans' encounters with different cultures and ethnic groups trigger negotiations that retain differences while emphasizing connections. The last line, "That's America" redefines America that is not a fixed entity but a dynamic state of constant interaction and negotiation. It also provides a new understanding for African Americans for their identity that they do not need to choose to be "white" or "black", because the hybridity itself is America. In the poem "I too", Hughes articulates African American identity more directly. The line "I am the darker brother" (Hughes, 1994, p.46) makes an undeniable claim on the kinship within America that despite racial differences, African Americans remain an integral member of America, who is bound to others through brotherhood. The last line "I, too, am America" (Hughes, 1994, p.46) reaffirms African American existence, and strengthens a sense of belonging and pride.

In conclusion, Hughes's poetry serves as a profound poetic interpretation of Bhabha's important concepts of hybridity and the third space. Hughes transcends a narrow binary perspective and reveals the third space through the hybridity in poetic structure and content, by which he demonstrates African Americans' complicated and profound collective memories and experiences, and challenges the entrenched authorities to allow the voices of African Americans to be heard. The third space provides a terrain for African Americans to negotiate and embrace differences, enabling them to achieve a dynamic identification that transcends the

binary opposition. In the created third space, African American community can search and construct their self-confidence and sense of belonging, not in a return to an imagined pure past, but in a forward-looking present. Furthermore, Hughes expands his perspective to the entire multicultural and multi-ethnic landscape of America, calling for an equal dialogue between different cultures and ethnic groups. Hughes's poetry is not only a record of the era, but also a cultural practice for the future, and reveals the potential of literature to foster a resilient process of identification.

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## 《拉拉的褐色披肩》中的正念与慈悲

朱慧琳 (Zhu Huilin)

**摘要：**桑德拉·希斯内罗斯的长篇小说《拉拉的褐色披肩》（*Caramelo*, 2002）通过家族记忆、女性成长与族裔经验的交织，展现了一种兼具冥想性与疗愈性的叙事实践。希斯内罗斯在创作中以“正念”（mindfulness）与“慈悲”（compassion）为核心伦理，将佛教的观照精神融入家族书写，使创伤的再现转化为理解与宽恕的生成。论文从佛教“正念—慈悲”逻辑出发，探讨小说结合如“无常”与“缘起”的佛教理念，最终形成由正念观照通向慈悲理解的叙事机制；并指出希斯内罗斯以冥想式写作为修行，通过对父亲、祖母与“被遗忘者”的理解，完成了从创伤到觉悟的转化。研究认为，《拉拉的褐色披肩》不仅是一部族裔家族史，更是一部灵性成长史，体现了作者以正念观照现实、以慈悲疗愈创伤的精神实践。

**关键词：**桑德拉·希斯内罗斯；《拉拉的褐色披肩》；正念；慈悲

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**Title:** Mindfulness and Compassion in *Caramelo*

**Abstract:** Sandra Cisneros's *Caramelo* (2002) intertwines family memory, female growth, and ethnic experience to construct a meditative and healing narrative practice. Rooted in the Buddhist ethics of *mindfulness* and *compassion*, Cisneros transforms the retelling of trauma into an act of understanding and reconciliation. The paper proceeds from the logic of “mindfulness—compassion,” exploring how the novel integrates Buddhist concepts such as *impermanence* and

*interdependence*, ultimately completing a cycle of compassion. Through meditative writing as spiritual practice, Cisneros attains transformation—from pain to awakening, from resentment to compassion. The study argues that *Caramelo* transcends its role as a Chicana family saga, becoming a narrative of spiritual growth that reflects the author's mindful engagement with reality and compassionate reconciliation with the past. Ultimately, the novel exemplifies a transcultural compassion that unites Buddhist insight with Chicana identity.

**Keywords:** Sandra Cisneros; *Caramelo*; Mindfulness; Compassion

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## 一、引言

桑德拉·希斯内罗丝（Sandra Cisneros）的长篇小说《拉拉的褐色披肩》（*Caramelo*, 2002）是一部围绕家庭记忆、女性身份与族裔经验展开的跨代叙事。小说以少女拉拉的第一人称视角书写墨西哥裔移民家庭的日常与创伤，然而文本并未陷入指责、怨怼或控诉的情绪，而是在温柔与幽默的语调中完成对创伤的转化。因此，其叙事所呈现出的觉察力、包容性与疗愈性，超越了一般族裔创伤文学的模式。

其实，这种独特的叙事姿态，与希斯内罗丝在佛教修行中形成的“正念”（mindfulness）与“慈悲”（compassion）意识密切相关。希斯内罗丝在访谈中多次提到，她在写作时“保持正念与慈悲”，通过深入观察每一个角色的过去与灵魂，“即便我并不喜欢他们，也要理解并对他们怀有慈悲”（Elliott, 2002, p.106）。她还曾直言，《拉拉的褐色披肩》的思想“很佛教”，自己写作时“试图用更深的方式去看，去理解父亲是如何成为今天这样的”（Benson, 2002）。这些表述揭示，小说不仅是家族与族裔记忆的重构文本，更是以佛教观照为方法论的创作实践。佛教意义上的“正念”指的是一种“如实观照当下”的心灵训练，它要求修行者对当下经验保持清醒的觉知，不被情绪与偏见所左右（Thich Nhat Hanh, 1987, pp.11-14）。而“慈悲”则是这种觉知的自然延展：当个体透过正念清楚看见他人的苦，理解与关怀便会随之生发（Neff & Dahm, 2015, pp.126-127）。可以认为，正念与慈悲并非平行的修行项目，而是互为因果的链条：正念帮助修行者看清苦与无常的实相，进而生发出慈悲之心；慈悲又反过来深化正念，使观照不流于冷漠，而能转化为体恤与行动。希斯内罗丝的小说恰恰通过这种因果链条展开：拉拉以专注的笔触凝视家庭的细节与日常——衣物、气味、语调与争吵——在观照中化解评判，在理解中生成慈悲。她不以愤怒讲述压迫，不以怨恨讲述创伤，而以理解与宽恕修复破碎的家族关系。

关于桑德拉·希斯内罗丝的小说《拉拉的褐色披肩》，国内外学界研究主要聚焦于三大领域：其一是族裔身份与跨国叙事，如 Vázquez（2011）与 Vivancos Pérez（2013）分析拉拉跨越民族与文化的张力，Heredia（2007）探讨多代女性的族裔经验；其二是空间与地理研究，如 Mermann-Jozwiak（2018）从墨西哥城与芝加哥的城市象征阐释跨国身份；其三是叙事与象征研究，如 Alumbaugh（2010）提出“叙事偷渡者”（Narrative Coyotes）概念，Graf（2014）揭示女性独立意

识的重构。Michelle Guittar (2024) 分析了小说中的佛教意象, 认为小说虽然没有出现佛教的物品, 但是存在无常的佛教思想, 开辟了新的佛教小说。近年来, 国内学者开始从物质文化角度切入, 张晓雯 (2022) 以“新物质主义”视域探讨小说中的食物书写, 认为食物具有灵性与能动性, 是重构墨裔身份与文化记忆的重要媒介。然而, 较少有学者从佛教思想与写作实践的互动来理解其叙事风格。本文拟从佛教“正念—慈悲”的逻辑出发, 认为希斯内罗斯将写作作为自己正念的方式, 探讨小说如何通过正念的观照实现情感的转化与疗愈, 并由此建立一种跨文化的慈悲叙事风格。

## 二、正念的叙事实践：如实观照与无常意识

桑德拉·希斯内罗斯深受一行禅师的影响, 佛教可以包罗万象, 但需要“找到自己灵魂之根” (Hernández, 2023), 因此, 她虽然没有加入佛教, 但她在跟随一行禅师修行过后, 日常生活中, 她自己会进行冥想, 她在访谈中曾提及, “对我来说, 写作就是我的冥想。通过写作, 我发现自己能进入一种与静坐禅修相似的境界” (Hernández, 2023), 尤其是在创作《拉拉的褐色披肩》时, 这部小说是一部半自传体小说, 因此在小说中, 会有作家自己的身影。桑德拉·希斯内罗斯以一种近乎冥想的叙事实践, 将族裔记忆、家族历史与女性成长经验纳入精神书写的维度。小说的内在张力并非来自对外部压迫的再现, 而是源于一种持续的内观实践——对“看见”“理解”与“非评判”的训练。这种“深入观察”并非心理现实主义式的透视, 而是一种佛教意义上的“如实观照”——一种对存在之苦、无常与相互依存的觉知。由此, 《拉拉的褐色披肩》不只是族裔文学的延伸, 更是一场“正念书写”的实验: 作者在写作中修行, 叙述者在记忆中冥想, 读者则在阅读过程中被引入观照的流动。

Michelle Guittar (2024) 指出, 《拉拉的褐色披肩》中的佛教意象并非外在符号的移植, 而是一种内化的叙事逻辑。小说通过织披肩 (rebozo)、尘土 (dust) 与记忆 (recuerdos) 等循环意象, 将“无常” (impermanence) 与“缘起” (interdependence) 的理念嵌入叙事结构, 使“一个孙女的觉知与慈悲在文本的编织中逐步生成” (Guittar, 2024, p.49)。这种生成并非源于情节的因果推进, 而是一种呼吸般的节奏: 每一次回忆、争吵与凝视都成为意识的起伏, 使叙事呈现出一种内在的呼吸感。过去与现在、悲伤与宁静在这种流动中彼此交融, 小说因此成为一种在场的修行——一种以语言为媒介的正念实践。

披肩的织造构成了小说最核心的结构隐喻。祖母索莱达编织的披肩不仅是家族历史的物质化形象, 也是叙述者正念观照的起点。拉拉在描述这一物象时写道: “每一根线都带着祖母的气息——棉线里有阳光的味道, 也有她的汗水。我想, 也许披肩会说话, 只是我听不见。” (常文祺, 2012, p.34) 这一细节揭示了希斯内罗斯笔下独特的感官伦理: 拉拉并不以道德化的姿态回望祖母, 而是以专注与接纳面对织物本身的存在状态。她通过气味、触感与光线进入与世界的同在关系, 而这种“看见”正是正念实践的文本化体现。佛教意义上的“观”并非分析或评判, 而是一种纯粹的觉知。在这一凝视过程中, 拉拉完成了从评断到体认的转换。披肩的编织与解织不仅象征家族记忆的流动, 也标示着叙述主体对存在感知的持续更新——一种在时间流变中自我生成的主体意识。

这种观照的姿态贯穿全书。面对母亲与祖母的冲突, 拉拉始终以温和的旁观姿态出现。“她们又吵起来了。我什么也没说, 只是看着她们。她们都在哭, 像是在说自己小时候的事。” (常文

祺, 2012, p.236) 这一“看着”的语气揭示了小说的精神核心: 克制、体察与慈悲。拉拉不选择立场, 也不参与情绪的对抗, 而是在观照中生成理解。希斯内罗丝的写作“以工人阶级女性的伦理经验为基底, 将社会压抑与个体情感的紧张转化为共情的美学实践”(Tokarczyk, 2008, p.193)。这种“共情的美学”正是正念伦理的社会化延展——一种在非评判中感知“苦”的普遍性。在这种平视的理解中, 每一个被限制的个体都在爱与失落之间循环。小说以温柔的观察取代了剧烈的控诉, 让读者在静默中体验“苦”的平等, 并由此生成理解。

正念叙事的另一维度, 是对“无常”的持久觉察。“我看到父亲的背影, 他的影子比人更沉重。那一刻我明白, 他也只是被命运捉弄的孩子。”(常文祺, 2012, p.305) 这一“明白”的瞬间构成叙事的顿悟时刻: 她第一次以平等的目光看待父亲, 从怨恨与依附中解脱出来。这一觉知的过程是一种“精神再生”(spiritual rebirth)——通过看见无常而完成的自我重构(Guittar, 2024, p.62)。这种觉悟并非情节的高潮, 而是意识的转向。当拉拉意识到父亲的痛苦与自己的痛苦相互映照, 她从被伤害者转化为见证者, 从情绪的参与者转向观照的主体。

除此之外, 小说的叙事节奏呈现出一种呼吸式的循环。记忆与现实的交织、回忆与停顿的交替, 使文本仿佛在吸气与呼气之间流动。这样的节奏映照了佛教的“当下”意识。“吸气, 我使身心平静; 呼气, 我微笑, 安住当下, 知此刻唯一”(Thich Nhat Hanh, 1987, p.7)。希斯内罗丝将这种呼吸的意象转化为叙事的节奏, 使语言本身成为冥想的场所。小说的非线性结构不仅是一种叙事策略, 更是一种修行的方式——通过反复的回返、延宕与重复, 叙述者与读者共同被训练去“安住当下”, 在阅读的节奏中体验无常的展开。

希斯内罗丝的正念叙事并非脱离现实的内省, 而是一种兼具精神深度与社会敏感的伦理实践。她的佛教修行没有消解其族裔与性别的立场, 反而提供了新的理解路径。Guittar 指出, 希斯内罗丝的佛教意识“并未削弱其拉丁裔身份, 而是让她在文化矛盾中找到平衡, 使叙事成为跨文化的修行场域”(Guittar, 2024, p.63)。这种跨文化的“修行书写”不仅实现了精神的自我疗愈, 也在文化层面重塑了拉丁裔女性的叙述传统。通过正念的视角, 她将个体经验与普遍生命经验相连, 使家族故事超越地理与血缘, 成为关于“苦”与“解脱”的人类共同寓言。

因此, 《拉拉的褐色披肩》展示了一种以“如实观照”为核心的叙事实践。小说通过对细节的专注、对人物的理解与对无常的觉察, 形成了一种“非评判的叙事伦理”。在这一伦理之下, 创伤不再是控诉的对象, 而成为觉知的契机; 记忆不再是凝固的过去, 而是得以转化的当下。希斯内罗丝以“看见”取代“否定”, 以“理解”替代“排斥”, 在书写中完成了文学与修行的统一。“若我们平静、安住当下, 整个家庭与社会都会从我们的和平中受益”(Thich Nhat Hanh, 1987, p.4)。拉拉的叙述正是这一理念的文学化呈现: 当她在理解中获得宁静, 家族的裂痕也在文字的缝隙间被重新缝合。

### 三、慈悲的生成: 从观照到理解

希斯内罗丝曾多次将写作、冥想与精神修复联系起来。在Hernández的访谈中, 她明确表示“写作就是我的冥想”, 并认为写作能够使她进入类似静坐禅修的状态(Hernández, 2023)。这一说法揭示了她创作背后的精神取向: 写作并非单纯的私人表达, 而是一种通过观照、理解与叙述完成自

我修复的实践,并进一步生成对他者的慈悲理解的实践。《拉拉的褐色披肩》的创作萌芽于她照顾病重父亲的时期。最初,她仅希望书写一部关于父亲的作品;然而,要理解父亲之为父的缘由,就必须回溯其生命历程与家族根源。正是在这一追溯过程中,个人的父女叙事逐渐延展为跨世代的家族史叙事。这种从个体到群体、从当下到溯源的叙事逻辑,与佛教“诸法缘起、万物相依”的思想不谋而合。

在父亲这一人物身上,希斯内罗斯以温柔的观照与复杂的理解呈现出人性的矛盾与救赎。拉拉一直以为自己是父亲七个孩子中的唯一女儿,直到得知父亲在与母亲结婚前,曾与洗衣妇安帕罗生下一个女儿——坎德拉莉娅。这一秘密构成了家庭长期的裂痕与母亲的怨怼,也成为父亲内心无法言说的羞愧。在小说的尾声,父亲并未向拉拉坦白此事,而是告诫她:“拉拉,我这辈子也犯过很多错误。我的意思是,在任何时候,你都不要放任自流,不要虚度光阴。”(常文祺,2012,p.310)这段对话既是父亲的自省,也体现出他希望女儿超越错误、活得有尊严的殷切期望。

拉拉最终以理解取代了指责,以慈悲化解了怨恨:“没错,也许他犯下了一些错误,也许他说过一些善意的谎言,可那又怎样?这就是人性的弱点,难道我们就没有犯过错误吗?”(常文祺,2012,p.314)这一顿悟标志着她由“观照”走向“理解”的精神转变。她不再停留于对伤害的感受,而是洞见了父亲行为背后的困境与人性复杂。这种理解本身即是一种慈悲的生成——通过对痛苦的如实观照,抵达对人性普遍性的体恤。

小说结尾,拉拉将个人经验提升至宇宙性的叙事领悟:“‘上帝’的确是一个具有非凡想象力的作家。他为我们设计的故事情节跌宕起伏又相互纠缠;既有意外巧合,又有内在冲突;看似随意,却又不乏精心构筑。”(常文祺,2012,p.312)在这一比喻中,拉拉完成了从个体怨怼到普遍慈悲的精神跃迁。她以“理解”取代“评判”,以“观照”通向“慈悲”,从而在书写与记忆中实现了与家族、与父亲、亦与自我的和解。

这种“由观照而生的慈悲”不仅贯穿于《拉拉的褐色披肩》,也在她的散文《私生女》(*Natural Daughter*)中得到延续与深化。这篇散文收录于《我自己的房间》(*A House of My Own*) (2015)之中,是对“洗衣妇之女”这一情节的现实回声。希斯内罗斯在其中坦承自己多年来始终怀有深深的愧疚:“在写《拉拉的褐色披肩》时,我常常想到这位姐姐……小说早已完稿,但她依然萦绕在我心头”(Cisneros, 2015, p.247)。她的父亲在现实中确有一位被忽视的女儿,而那位“私生女”从未被正式承认。她在文中写道:

“或许,这一切都与‘遗弃’这一主题有关。创作《拉拉的褐色披肩》期间,我曾两度遭受恋人的离弃。正因如此,我明白,世上最令人痛彻心扉的,并非死亡所带来的别离,而是被生者遗弃的孤独”(Cisneros, 2015, p.254)。

这段自白将私人愧疚与普遍的被遗弃经验联系起来。她回忆自己如何在世界各地——墨西哥、波斯尼亚、意大利、乃至罗姆人聚落——不断“看见”那位失落的妹妹的身影,并在每一位贫困、坚韧、沉默的女性身上感受到同一种痛苦与尊严。正是在这种跨越血缘与国界的“看见”中,希斯内罗斯的慈悲不再停留于家族层面,而是扩展为对人类苦难的普遍体恤。

因此,《私生女》可视为《拉拉的褐色披肩》中慈悲主题的延伸——从对父亲的理解,到对“被遗忘者”的理解;从家庭赎罪到人类共情。这种由愧疚感生发的怜悯,正是她在访谈中所说“服务人类”的具体实践:通过书写与冥想,将个体的痛苦转化为理解与慈悲的力量。正如她所言:“我必须理解我的祖辈——我的父亲、他的母亲,以及她的母亲——才能真正明白我是谁”(Elliott, 2002, p.101)。这句话在小说与散文之间回荡——她通过理解家族与历史,最终抵达了对生命更广义的慈悲。

因此,《拉拉的褐色披肩》也是她对自己家族的一次精神和解。即使在关于祖母的描写中,希斯内罗斯也延续了这种以理解取代评判的态度。在奇卡纳文学传统中,祖母常被神化为智慧与庇护的象征;然而,希斯内罗斯打破这一定式,将其塑造成一个令人敬畏又复杂的“可怕祖母”。在访谈中被问及是否“太大胆”(Elliott, 2002, p.102)时,她坦然承认在自己没有完全了解自己祖母时,“站在母亲一边”(Elliott, 2002, p.104),但是,自从她了解了祖母的很多故事以及将她写入小说中,她的情感发生了变化,“在写这本书的过程中,我就知道会发生一些非常灵性的事情;我也明白,我会逐渐理解那个作为原型的现实中的祖母——因为现实中的祖母并没有那么坏”(Elliott, 2002, p.104)。

因此,希斯内罗斯并没有把祖母塑造成十恶不赦的反派。她像描写父亲一样,为祖母写下“第二篇故事”,让读者理解其形成的原因。祖母的身世悲惨:幼年丧母,被父亲送往姑妈家寄养;青春被年轻的祖父带回家做女仆,后又因怀孕被迫成婚。祖父在曾祖父训诫“我们不是狗”(Cisneros, 2002, p.164)后才承担起责任,但仍旧在婚后多次不忠。祖母的不幸命运与长期的压抑,塑造了她控制欲强、尖锐刻薄的性格,也使她成为家族痛苦的延续者与再生产者。希斯内罗斯通过揭示这些前因后果,使读者从“行为”转向“因缘”的理解,看到个体行为背后复杂的社会与性别结构。

在此意义上,她意识到,“因此,这本书带领我进入了一个真正的精神境地,让我不再单纯站在母亲那一边。并不是说我转而站在祖母那一边,而是我似乎超越了她们两人,因此能更清晰地看见她们”(Elliott, 2002, p.105)。尤为关键。这里的“超越”(above)并非情感上的疏离,而是一种“超越二元对立的观照位置”——一种接近佛教“中道”的精神姿态。她不再陷于母亲与祖母的冲突,而是将两者都置于慈悲的视域之中,以“看见”而非“控诉”的方式理解她们。这种超然凝视正体现了她在精神上的“正念觉知(mindful awareness)”：保持清明、觉察而不被情绪卷入。在她的叙事中,慈悲不是被动的宽恕,而是通过理解苦因、透视无明、承认共业而生发的智慧。

“我必须原谅她。只有理解了她的故事,我才能放下属于我的那一段。”(Elliott, 2002, p.106)。这句话可视为她对祖母的“心灵回向”。唯有真正理解祖母的故事,她才能放下自身的愤怒与家族的循环创伤。她的“原谅”不是出于道德义务,而是一种灵性实践——“以慈悲疗愈自我”的方式。通过书写,希斯内罗斯将赎罪转化为修行:让文字成为冥想的空間,使祖母的幽魂得以安息,也让自己的愧疚得以缓解。“有些人通过冥想或去教堂寻找安宁,而对我而言,写作就是我的冥想、我的教堂,也是我自我剖析的方式”(Cisneros, 2022),这句话与她在Hernández访谈中关于“写作即冥想”的表述彼此呼应——她的创作不再只是私人表达,而是一种借由书写完成理解、修复与精神转化的实践。她所“安抚的幽灵”不仅包括已逝的亲人,更包括那些被历史与社会边缘

化的女性形象。祖母便是其中之一。通过叙事，她让祖母重获主体性——她被看见、被理解、被赦免。这种写作的慈悲，正是“去殖民化灵性”的体现：将被压制的女性经验从罪与羞耻的语言体系中解放出来，使其重新拥有声音与尊严。

《拉拉的褐色披肩》的后半部分，祖母临终时的幻觉与拉拉的“灵魂对话”构成了小说最具灵性意味的段落。祖母的形象从一开始的凡人逐渐转化为“灵魂导师”，她在梦境中劝告孙女放下怨怼，鼓励她讲述家族的故事。这象征着拉拉完成了与祖母的“业缘了结”：她不再被祖母的阴影所困，而是通过理解使其超度。“见苦即生慈”，希斯内罗丝的慈悲来自对苦的如实观照。她通过祖母的故事，看见了更深的女性困境——被历史忽视、被男性定义、被传统捆绑——而这种洞见使她的写作从个体叙事升华为普遍的人类共情。

祖母的“解构”与“重建”过程，也体现了希斯内罗丝的叙事策略：她拒绝以黑白分明的道德框架审视女性，而是以圆融、非二元的视角呈现生命的复杂性。她的笔触在矛盾之间游走，不断地“看见”与“理解”。这种写作方式极接近佛教禅宗的“观心法”——通过持续的觉察，不断化解执念与对立。她既看见祖母的错，也看见其苦；既承认母亲的伤，也承认其爱。希斯内罗丝站在“慈悲的中点”上，将怨恨转化为理解，将评判转化为洞察。这种精神转化的轨迹——从父亲到祖母，从家庭到群体——正是她作品中“慈悲生成”的完整路径。

佛教中，真正的慈悲并非来自道德命令，而是源于“知苦”。希斯内罗丝的慈悲亦然——她的写作是知苦的艺术。祖母的苦、父亲的愧、母亲的怨，最终都被她写成了理解的练习。通过这一过程，她完成了对女性命运的重新定义：女性不再只是受害者，也不再是加害者，而是承载历史、延续智慧的生命体。她们的痛苦成为慈悲的源泉，而书写则成为救赎的形式。

因此，希斯内罗丝对祖母的慈悲，不是软弱的原谅，而是一种洞见的力量——通过理解而放下，通过书写而疗愈。祖母作为“可怕祖母”，最终被纳入普遍的母性慈悲之中；而希斯内罗丝作为讲述者，也在写作中实现了自我超度。从这个意义上说，《拉拉的褐色披肩》完成了从“家族史”到“灵性史”的跨越：它讲述的不仅是血缘的延续，更是慈悲的传递。

“我打量着父亲的脸，那是一张同祖母的脸，同我的脸完全一样的脸。”（常文祺，2012，p.314）这句看似平静的描写，实则是希斯内罗丝“慈悲之路”的最终象征——在他者的面容中看见自己，在痛苦与矛盾中洞察生命的延续与相依。她通过对父亲的理解、对祖母的宽恕，最终抵达了“自我觉知”的境地——那种从他者回望自身的慈悲，是她书写的灵性底色。

写作对她而言，是冥想的延伸，是将理解化为慈悲的实践。历经九年完成《拉拉的褐色披肩》后，她在手臂上纹下“佛母卢佩”（Buddhalupe）——一个将“Buddha”（佛）与“Guadalupe”（瓜达卢佩圣母）融合的词。这一自我命名的混成符号，标志着她精神旅程的升华。“这本书对我来说写得异常艰难。我当时真的认为，这个纹身是一种‘死亡与重生’的标记……所以，这个[纹身]某种意义上是为了用一种有意义的方式来纪念这本书”（José Antonio Gurpegui, 2009, pp.133-134）。

她虽以更广义的“灵性”来指引自身的生活方式，但在言谈中亦多次提及“正念（mindfulness）”“慷慨（generosity）”与“慈悲（compassion）”。这些概念与佛教伦理所重视的心性训练、德性培养和利他关怀密切相关（Keown, 2019）。希斯内罗丝所言的灵性（spirituality）已超越宗教范畴，而是一种正念（mindfulness）、慷慨（generosity）与慈悲（compassion）的生活方式。她以写作为修行，在创伤与回忆的缝隙中观照自我与他者的共同苦。

因此,《拉拉的褐色披肩》并非仅是一部家族史或民族记忆的小说,更是一部灵魂成长书写。那句“我打量着父亲的脸……”既是对血脉的确认,也是慈悲觉醒的顿悟——通过“看见”父亲与祖母,拉拉(亦即希斯内罗斯)终于看见了自己;通过叙述与理解,她完成了“由观照而生的慈悲”,并将个人的觉悟升华为普遍的人类体恤。

#### 四、结语

《拉拉的褐色披肩》以其温柔而深刻的叙事姿态,展现了桑德拉·希斯内罗斯如何通过写作实践实现“正念—慈悲”的精神转化。这部小说既是作者的冥想之书,也是她的修行之路。正念使她得以如实观照家族的创伤与无常,在专注与觉知中看见“苦”的普遍性;而慈悲则使她在理解中化解怨怼,在书写中完成精神的自我救赎。希斯内罗斯通过对父亲的理解、对祖母的宽恕与对“被遗忘者”的书写,将个体经验转化为普遍的情感体恤,使小说超越了族裔与性别的界限,成为一部关于人类共同苦难与解脱的灵性寓言。

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## 嗅觉意向性的单向化与主体的反噬——聚斯金德《香水》的现象学解读

李冰怡 (LEE Bingyi), 张佳棻 (Chia-fen Chang)

**摘要:** 帕特里克·聚斯金德的小说《香水》通过主人公格雷诺耶对气味的极端追求, 构建了一个以嗅觉为核心的经验世界。借助现象学的意向性理论为核心框架, 结合胡塞尔的“生活世界”、梅洛-庞蒂的“身体主体”等概念, 分析嗅觉如何成为格雷诺耶确证自我存在的唯一媒介, 并剖析这一确证方式为何最终走向失败。研究发现, 格雷诺耶“无体味”的设定使其嗅觉意向性陷入“单向化”困境。他能通过嗅觉意向世界, 却无法成为他人意向活动的对象。这一困境驱动他历经气味狩猎、暴力占有、提纯萃取与集体操控四个阶段, 试图以技术手段填补存在缺失, 却始终无法在知觉场中获得真正的相互确证。其悲剧结局揭示了意向性在丧失主体间可逆性时由建构意义异化为消解意义的逻辑。相较于叙事学与符号学, 现象学的优势在于深入意识的内在结构, 揭示感官经验的哲学维度, 为文学研究提供了从“经验描述”到“存在追问”的批判路径。

**关键词:** 现象学; 《香水》; 嗅觉意向性; 存在论危机

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**Title:** The Unidirectionality of Olfactory Intentionality and the Backlash of the Subject: A Phenomenological Reading of Süskind's *Perfume*

**Abstract:** Patrick Süskind's novel *Perfume* constructs an experience-world centered on olfaction through the protagonist Grenouille's extreme pursuit of scent. Taking the phenomenological theory of intentionality as its core framework and incorporating concepts such as Husserl's "lifeworld" and Merleau-Ponty's "body-subject," this paper analyzes how olfaction becomes the sole medium through which Grenouille affirms his own existence, and examines why this mode of self-affirmation ultimately fails. The study finds that Grenouille's inherent scentlessness traps his olfactory intentionality in a predicament of unidirectionality: he is able to intend the world through smell, yet cannot become an object of the intentional acts of others. This predicament drives him through four stages—scent-hunting, violent appropriation, distillation and extraction, and collective manipulation—as he attempts to remedy his existential lack through technical means, but he never attains genuine mutual confirmation within the perceptual field. His tragic end reveals a logic by which intentionality, when deprived of intersubjective reversibility, is alienated from a meaning-constituting force into a meaning-dissolving one. Compared with narratology and semiotics, the strength of phenomenology lies in its capacity to penetrate the inner structures of consciousness and to disclose the philosophical dimensions of sensory experience, thereby offering literary studies a critical path from "descriptive experience" to "existential inquiry."

**Keywords:** phenomenology; *Perfume*; olfactory intentionality; ontological crisis

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## 引言

德国当代作家帕特里克·聚斯金德（Patrick Süskind）的长篇小说《香水》最初在《法兰克福总汇报》连载，1985年由瑞士苏黎世迪奥格内斯出版社出书，1988年引入国内发行中译版，至今已被译成二十八种文字出版，在全世界发行600万册。这部小说的出版轰动了世界文坛，引起文学批评界持续广泛地重视。《香水》的轰动绝非偶然，它既是一部充满感官诱惑的犯罪史诗，也是一则关于现代性困境的哲学寓言。

聚斯金德在书中构建了一个完全依赖嗅觉的审美世界，挑战了传统文学以视觉为主导的感知模式，引发了一场感官书写的革命。文中的男主角格雷诺耶天生对气味拥有超乎常人的敏锐感知力，却也天生没有自己的体味。他能分辨世间千变万化的气味，在脑海中建构起只属于自己的气味王国。他的嗅觉可以指向世间一切对象，却没有任何气味能反过来确证他的存在——他无法被他人“闻到”。气味的缺失与攫取同他的生命历程紧紧捆绑。他被乳母抛弃，是因为身上没有“人间儿童应有的气味”（聚斯金德，2022，p.13）；他被人忽视，是因为“他的周围没有空间，他没有像他

人一样在大气中造成的波”（聚斯金德，2022，p.176）；而他最终攫取二十六位少女的体香制作出“完美香水”后走向自我毁灭，同样根源于这一原初的缺失。在格雷诺耶这里，气味不只是感官对象，而是主体确证自身存在的唯一媒介。嗅觉在他那里取代了视觉，成为意识把握世界、确证自我的核心通道。如果说现象学追问的是意识如何通过意向活动建构与世界的意义关联，那么格雷诺耶的悲剧恰恰呈现了这一追问的反面。当意向性的全部通道被压缩到最转瞬即逝的嗅觉上，当主体自身无法成为他人意向活动的对象时，这种建构是否可能走向自身的崩溃？这正是本文要从现象学路径切入的核心问题。

回顾以往关于这部小说主题意蕴的研究，叙事学路径关注小说如何讲述，认为其形式上的通俗与寓意的严肃使之别于古典、超于现代（作从作，2001）；符号学路径将气味作为可多重解码的能指符号，挖掘气味背后的互文语境与深度符码（谢建文&宋健飞，2005）；存在主义路径则从外部视角切入，关注个体在荒诞世界中的选择与自我否定（胡斐&沈宸亦，2020）。近年来，有学者尝试以阿多诺（Theodor Wiesengrund Adorno）的启蒙辩证法视角切入，将格雷诺耶解读为工具理性的人格化，认为行刑广场上的场景象征着酒神精神最终战胜了日神精神<sup>1</sup>。这些研究揭示了小说丰富的哲学意味，尤其聚焦于欲望、死亡与主体存在的思考。然而，它们的共同局限在于都没有深入追问格雷诺耶的嗅觉经验如何从意识活动的内部揭示了主体与世界关系的困境？这一问题，恰恰是现象学路径能够提供独特理论洞察的地方。现象学不追问故事的真实性，而是探究虚构经验如何被真实地体验，关注意识结构本身如何在意向活动中建构意义。已有研究虽已触及气味作为主体与世界联结的特殊方式，但嗅觉意向性在主体缺席的极限处境中如何运作、如何失败、以及这一失败揭示了主体确证自身的何种根本困境，尚未被充分探讨。

本文以胡塞尔（Edmund Husserl）的意向性理论为核心分析框架。意向性，即意识总是指向某个对象，并通过这种指向活动赋予对象意义。这正是格雷诺耶嗅觉活动的现象学本质，他的嗅觉始终具有明确的指向对象，不论是巴黎街头的腐臭还是少女的体香，都构成他意向活动的具体内容。正如胡塞尔在《纯粹现象学通论》中所指出的，“我思的本质是对某物的意识”（胡塞尔，1996，p.105）。格雷诺耶的极端之处在于，他的“某物”只限于气味这一最不可固定、最转瞬即逝的感官质料。同时，本文引入梅洛-庞蒂（Maurice Merleau-Ponty）的“身体主体”理论，考察格雷诺耶“无体味”的身体如何使他被排除在主体间的知觉场之外。身体是在世界上存在的媒介物（梅洛-庞蒂，2001），但当身体本身无法被他人所感知时，主体就沦为意识无锚的漂泊者。基于此，本文将通过分析格雷诺耶在气味狩猎、暴力占有、提纯萃取与集体操控四个阶段的意向活动，揭示嗅觉意向性从建构意义走向自我毁灭的内在逻辑，并追问格雷诺耶的存在论危机，在意向性分析中呈现出怎样的形态？这一危机对理解现代主体的存在困境意味着什么？

### 一、格雷诺耶的“无体味”与嗅觉意向的单向化

在现象学视域中，意识的本质是“意向性”，即意识总是指向某物，并通过意向活动赋予对象

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<sup>1</sup> Xie Yongkang. (June 16, 2025). "The Metaphysical Implications of the Novel Perfume. <https://rac.nankai.edu.cn/2025/0616/c36936a573366/page.htm>".

意义。胡塞尔指出,意向经验就是对某物的意识而言。(胡塞尔,1996,p.243)这种对象化过程是主体确证自身存在的核心机制。然而,《香水》主人公格雷诺耶的“无体味”设定,颠覆了这一逻辑,他的身体因缺乏气味沦为“透明存在”。这种意向通道的“单向化”,使他陷入现象学意义上的存在论危机。

在小说中气味是主体间相互识别的重要信息,是人不可或缺的感知。例如,乳母让娜·比西埃“知道婴儿有什么气味”,“她在夜里用鼻子就能找到他们”。(聚斯金德,2022,p.14)加拉尔夫人因为失去嗅觉,而“丧失了人的冷热感觉乃至任何激情”(聚斯金德,2022,p.23)。气味是格雷诺耶生命的纽带,串联起他不断被抛弃、痛苦挣扎却又非比寻常的一生。乳母让娜·比西埃和泰西埃长老因为没有闻到“人间儿童应有的气味”(聚斯金德,2022,p.13),而厌恶格雷诺耶将他抛弃。加拉尔夫人也因格雷诺耶特异的嗅觉功能而感到害怕,因此将他转卖给制革匠格里马。当格雷诺耶发现自己没有体味时,从康塔尔山回到巴黎。可以说格雷诺耶近乎流浪的人生轨迹都同气味紧密联系。

这一切的根源在于格雷诺耶对气味的感知是单向的。他能闻到世界——巴黎鱼市的腐臭、贵族的脂粉、少女的体香——却没有任何气味能从他身上散发出去,供他人识别。他的出生本身就带有强烈的荒诞性。他降生于巴黎最肮脏的鱼市,母亲试图像前四胎一般将他与鱼内脏一同丢弃在宰鱼台下,“因为在这儿生下来的血淋淋的肉,同摆在那里的鱼肚肠没有多大区别,而且也没有活多久”(聚斯金德,2022,p.5)。这一场景隐喻了其存在的“非人性”起点。作者始终未对他的身世作任何交代,也未对他的社会人际关系展开具体描写,反而不断刻画他动物般的生存状态。而“无体味”的设定,则从生物性层面消解了他进入人际知觉交换的基本条件。在现象学中,“如果我们用我们的身体感知,那么身体就是一个自然的我和知觉的主体。”(梅洛-庞蒂,2001,p.265)但格雷诺耶的身体因缺乏气味,无法通过气味被他人识别。他的身体虽然客观存在,却在知觉场中无法成为被他人意向的对象。他的意识通过嗅觉持续指向世界,却没有任何他者的意向活动能够指回他自身。

小说对此有精当的概括,因为没有自己的气味,“他们压根儿没有察觉到他的存在”,“他的周围没有空间,他没有像他人一样在大气中造成的波”(聚斯金德,2022,p.176)。借用小说中的表述,“这种生物,虽然无法否认地就在那儿,但却以某种方式并不在场”(聚斯金德,2022,p.176)。没有气味的他像扁虱一般“沉默地活着”(聚斯金德,2022,p.27)。此处的“沉默”不仅是物理意义上的无声,更是存在论层面的“失语”,他无法通过气味这一主体间的原初语言参与意义交换。当他人通过气味识别彼此的存在时,格雷诺耶沦为知觉背景,被排除在人类的意义网络之外。正如已有研究指出的,气味的缺失意味着本质的失落与自我存在的缺席(尚晓进,2008)。格雷诺耶不是不能意向世界,而是无法被世界意向。这种意向性的单向化,使他的存在沦为一种无法被对象反向确证的幽灵状态。正是这一困境,驱动了他此后对气味的猎取、占有与提纯。

## 二、气味的占有:嗅觉意向活动的暴力转化

格雷诺耶“无体味”造成的单向意向困境,驱动他转而通过占有气味来填补存在缺失。气味是其意向活动的核心对象,而嗅觉在他那里已取代视觉,成为把握世界的核心知觉通道。考察格雷诺

耶的嗅觉意向如何从单纯的感知活动演变为对他者存在的暴力占有，是理解其存在论危机如何深化的关键。

格雷诺耶从小便以嗅觉为认识世界的首要方式。他醒来时，“首先是鼻子开始醒的”；他不用眼睛指向对象，而“他的鼻子则固定有一个明确的目标”（聚斯金德，2022，p.20）。他从嗅觉经验入手学习语言，第一次学习“木头”一词，便是根据木头的气味来辨认和记忆。与之相对，“那些表示无气味的词即那些抽象的概念”（聚斯金德，2022，p.30）学起来最为困难。六岁时，他“在加拉尔夫人家里没有哪样东西，在北面的夏鲁纳大街没有哪个地方，没有哪个人，没有哪块石头、哪棵树、哪株灌木或哪个木栅，没有哪个小地段，他通过嗅觉不认得、不能重新认出来以及不是嗅过一次就牢牢记住的”（聚斯金德，2022，p.31）。到格里马手下讨生活时，他利用半天假期“执著地狩猎气味”（聚斯金德，2022，p.39），在巴黎这座敞开的气味狩猎区中，“以一位钓鱼者的热情和耐性追猎”（聚斯金德，2022，p.41）尚未被收录的气味，并将它们在回忆中分类存放，构建起独属于自身的“气味王国”。这些嗅觉意向活动取代了社会规范下的现实，构成他意识的根本依据。胡塞尔意义上的“生活世界”原指未被科学抽象化的原初经验领域（胡塞尔，1996），而格雷诺耶的生活世界几乎完全由气味填充。然而，这一“气味王国”的建构始终是单向的。他肆意收集和存储世界的气味，却仍无法让自己在气味层面被他人感知。这一困境在马雷大街少女一案中达到了临界点。

在马雷大街少女的气味被捕获之前，格雷诺耶一直以狩猎者的姿态出现，“他狩猎的目的在于把这世界所提供的气味统统占为己有”（聚斯金德，2022，p.44）。但当他接触到那位少女的体香时，意向活动中的主客关系发生了翻转，“不是他在跟踪这气味，而是它早已把他俘获”（聚斯金德，2022，p.47）。格雷诺耶的嗅觉经验显示，当主体对某一意向对象产生极端渴望时，意向活动的主动性可能逆转为被动性，即意向对象反过来支配了意向主体。马雷大街少女的香味对他来说“就是纯洁的美”（聚斯金德，2022，p.50），是他渴望将其“压到他那乱糟糟的黑色灵魂中去，从此只按照这种魔力公式的内部结构去想，去生活，去嗅”（聚斯金德，2022，p.50）的气味。他“只有一个心思，即不让她的香味跑掉一分一毫”（聚斯金德，2022，p.51）。为了彻底占有这一气味，他掐死了少女，将鼻孔贴近她的身体肆意嗅闻，直至嗅干。这一行为暴露了嗅觉意向在极限处境中的暴力潜能。格雷诺耶并非出于对少女本人的欲望而杀人，“他是爱香味。仅仅是爱着它，而不是别的”（聚斯金德，2022，p.218），他甚至在思想中对这一杀害“觉得是完全无所谓的”（聚斯金德，2022，p.53）。少女作为主体的全部属性被悬置，她仅仅作为了“气味载体”进入格雷诺耶的意向活动。格雷诺耶这一行为的实质是对他者存在的现象学还原，将他者还原为纯粹的嗅觉质料，以便从中提取出能够填补自身存在缺失的气味本质。

值得注意的是，在窃取少女体香的过程中，格雷诺耶“知道了自己怎样的人”，“自己的生活有了意义、目的、目标和更高的使命”——成为“一切时代的最伟大的香水制造者”（聚斯金德，2022，p.52）。他的自我确证并非通过气味在其自身身体上的自然散发来完成，而是通过对他人气味的掠夺和占有来代偿。他的鼻子在这儿已不再是单纯的知觉器官，而成为执掌其存在命运的“超身体器官”。它贪婪地吞噬世界，以不断获取新的气味来填补那个始终无法闭合的存在缺口。从现象学的主体间性视角审视，这一过程的问题在于正常的主体间知觉交换往往是双向的，我感知

他人的同时我也被他人感知，由此形成相互确证的知觉场。而格雷诺耶与他人的关系始终是单向的，他能通过嗅觉深入他人的生理与情感世界，他人却无法通过同一通道感知到他的在场。这种不对称驱使他以暴力方式强行打开被他者知觉的缺口。既然无法通过自身的气味自然进入知觉场，便通过占有他人最美的气味来制造一个可供他者意向的“嗅觉假体”。他猎杀的二十四位少女，便是这一内在逻辑的牺牲品。

### 三、气味的提纯：现象学还原的悖论

格雷诺耶对马雷大街少女体香的暴力占有，使他第一次意识到气味的转瞬即逝。无论他怎样贴近死者的身体去嗅闻，气味终将在时间中消散。这一认识标志着他嗅觉意向活动的再次转变，从单纯的暴力占有，转向通过技术手段对气味进行提纯与保存。

格雷诺耶所追求的气味，从一开始就不是一般意义上的嗅觉对象。少女的年龄、身份、外貌、道德意义等特征被他彻底搁置，她们仅仅作为“气味载体”进入其意向活动。他对此有清醒的认知，“他是爱香味。仅仅是爱着它，而不是别的，而且只是把它当做未来自己的东西来爱”（聚斯金德，2022, p.218）。对于杀死少女这一行为，“即使他意识到了，他也觉得是完全无所谓的”（聚斯金德，2022, p.53）。他所关心的，只是“不让她的香味跑掉一分一毫”（聚斯金德，2022, p.51）。这一操作方式与胡塞尔的现象学还原具有结构上的相似。胡塞尔提出的现象学还原要求悬置自然态度中的一切预设，包括事物的实存判断、因果关联与价值属性，以便直面在意识中自身给予的本质（胡塞尔，1996）。格雷诺耶同样悬置了气味的社会属性与来源的主体性，试图抵达纯粹的嗅觉本质。马雷大街少女气味的消亡让他逐渐意识到，气味的“本质”不在被杀死的躯体之中，而在一种需要通过专门技艺才能捕获的“芳香灵魂”之中。正是这一认识，推动他离开格里马，投入香水匠巴尔迪尼门下。

格雷诺耶将蒸馏提纯的方法视为“提取种种东西芳香灵魂的方法”（聚斯金德，2022, p.114）。我们可以将蒸馏器看作“现象学工具”，将利用蒸馏器对气味进行提纯的作法视为格雷诺耶对气味进行“还原”的现象学实验。他企图通过蒸馏提纯的方法提取“芳香灵魂”，还原气味的本质。这种“芳香灵魂”是他唯一感兴趣的事物。他夜以继日地不断改善这一实验，“想方设法尝试用蒸馏法生产人间尚无浓缩状态的新的香水”（聚斯金德，2022, p.219）。当他发现“无法从中汲取一滴在他脑海里经常浮现的那种具体的香精，搞不出一个原子”时（聚斯金德，2022, p.119），他明白了这一尝试的失败。这之后他就生了一场大病。即使在病中，他仍向巴尔迪尼询问获取物体香味的其他方法。可见这场疾病与这次气味还原实验的失败相关。蒸馏法提纯的失败暗示气味若脱离生活世界，将导致意义的彻底蒸发。气味的本质不是可以被物理手段从物质中剥离出来的独立实体，它依赖于身体在生活世界中的持续在场，一旦失去了生成的源头，便随之消散。这次失败使他生了一场大病，其严重程度暗示这绝非一次普通的技术性层面的挫折，而是一次关乎格雷诺耶存在的危机。

格雷诺耶学会的第二次提纯方法是冷油脂萃法，这一方法利用油脂奇妙的吸附力对气味进行提取，这是目前为止“获得脆弱香味的最巧妙和最有效的手段”（聚斯金德，2022, p.206）。他先用于无生命物体，再转向有生命的对象，最终“知道自己已经掌握强行摄取一个人的香味的技术”

（聚斯金德，2022，p.216）。然而，他所追求的并非一般的人体气味，“他觉得人的香味本身也是无关紧要的。人的香味他完全可以用代用品来仿制。他所追求的是某些人的香味：即那些激起爱情的极其稀少的人的香味”（聚斯金德，2022，p.216）。正是这种具有“纯洁的美”的气味，超越了他在“气味王国”中已收集的所有气味，成为他整个存在的终极意向对象。冷油脂萃法在技术层面成功了，却未能解决他的存在论困境——他仍然无法“真的占有它，他的香味，他自己的香味”（聚斯金德，2022，p.218）。当格雷诺耶决定猎取少女洛尔的香味之前，他陷入了矛盾的自我辩白。他知道“为了占有这种香味，他必定要付出即将丧失这香味的高昂代价”（聚斯金德，2022，p.220）。明知只能短暂占有，格雷诺耶仍旧选择“先占有而后丧失”，他认为“比起简单地放弃二者更值得追求”（聚斯金德，2022，p.220）。

冷油脂萃法所提取的，是气味的化学物质构成，而非气味在知觉场中的活生生的显现方式。胡塞尔的现象学还原旨在通过悬置外部判断而让本质自身被给予，但格雷诺耶的还原实验把“悬置”在物理层面执行到了极致。他抹除了气味来源者的生命，因此也一并抹除了气味产生的那种瞬间性的生命信号和那个持续在场的知觉背景。索夫拉夫斯基指出“为了努力超出经验的共相而达到本质的共相，我们从知觉进入到想象领域，尝试想象这个对象在一个被称为想象的变更过程中所发生的诸种变化。”（索夫拉夫斯基，2021，p.201）。格雷诺耶尝试想象气味的“本质”为可以被萃取成一种可独立存储的物质，但气味的真正本质——那些能唤起爱情和存在感的“纯洁的美”——恰恰存在于它不可存储、转瞬即逝的特性和它在人际知觉场中被感知和交换的过程之中。越是试图通过技术手段将其固定，越是远离了它得以显现的生活世界基础。随着实验的推进，格雷诺耶非但没有获得存在的确证，反而将自己更彻底地推向了存在的虚无。

#### 四、完美香水：意向性的集体异化与主体的最终消解

在经历了气味狩猎、暴力占有与技术提纯三个阶段之后，格雷诺耶制成了那瓶“完美香水”。这一成品将他的嗅觉意向活动推向了终极形态，不仅是对气味的占有，更是通过气味对他者意向活动的全面操控。广场行刑的场景集中呈现了这一操控的效力及其内在悖论。

在制作“完美香水”之前，格雷诺耶已先期掌握了仿制人体气味的技能。他用猫尿、干酪、沙丁鱼、烧焦猪皮碎和麝猫香等令人作呕的原料，配制出带有“人味”的香水。此后又陆续制作出“不引人注意的香水”“闻起来使人觉得粗鲁的香水”和“散发出激起同情心的香水”。他按外部需要像换衣服一样变换气味，“这些气味都使他在人的世界中不受搅扰、不暴露本质”（聚斯金德，2022，p.210）。这一阶段的仿制行为具有明确的意向性功能，即通过披上他者可识别的气味外衣，格雷诺耶得以短暂地进入知觉场，使他者对他的存在产生嗅觉意向。但仿制只是权宜之计，它所实现的是“不被注意”或“不被排斥”，而非“被确证”。真正驱使他制作“完美香水”的，是从根源上反转这种单向性的渴望。不仅要让他者闻到他，还要让他者因闻到而爱他、膜拜他，从而以压倒性的方式确认他的在场。

行刑广场的场景，正是这一渴望得以实现的瞬间。当格雷诺耶朝自己滴下一滴“完美香水”时，“一种强烈的爱慕的、温存的、完全幼稚可笑的爱恋感觉突然向他们袭来”（聚斯金德，2022，p.269），身旁的随从做出“一直向下做出完全拜倒的姿势”（聚斯金德，2022，p.270）。在场的所

有人将他想象为“他们所能想象的最美丽、最迷人和最完美的人”（聚斯金德，2022，p.271），“因为至高无上的上帝已经在阻拦刽子手，他把世人认定为杀人犯的人宣告为天使”（聚斯金德，2022，p.271）。群众的理性在香气中迅速消融，个体意识融解在集体无意识之中，“处决那个时代最可恶的罪犯的计划变成了盛大的酒神节”，“空气中弥漫着沉重的情欲的甜蜜气味，充满着一万个兽人高声的叫喊、嘟哝和叹息，简直和地狱一样”（聚斯金德，2022，p.272）。这一场景所呈现的并非一般的权力支配，而是一种被推向极端的单向意向性逆转。此前，格雷诺耶因为无体味而无法成为他人意向的对象，始终处于知觉场的背景之中。此刻，通过香水的媒介，他不仅被他人意向到了，而且是以“上帝”“天使”“最完美的人”这种超常的意义被意向。问题在于，被意向到的并不是格雷诺耶本人，而是香水所制造的气味幻觉。香水在此充当了一个“意向性替身”。群众的意向活动指向的是一团香气所建构的虚幻对象，而非那个站在行刑台上、没有自身气味的真实个体。梅洛-庞蒂在论述知觉场的主体间性时强调，真正的知觉交换要求身体在感知的同时也被感知，且被感知到的是同一个身体（梅洛-庞蒂，2001，p.129）。而在行刑广场场景中，格雷诺耶的身体和群众所嗅到的气味之间存在着根本的断裂，那气味不是从他身体自然散发出来的，而是外在地施加于身体之上的。

这一断裂在格雷诺耶的内在体验中得到了最尖锐的印证。他是整个广场上唯一没有被香水迷惑的人，正如他自己所言：“唯一在任何时候都认识它的真正美妙的人就是我，因为它是亲自创造的。同时，我是它无法迷惑的唯一一个人。我是这香水不起作用的唯一一个人。”（聚斯金德，2022，p.286）这段话揭示了气味的意向对象和意向主体在此被彻底分离。群众在香气的支配下将格雷诺耶“神化”，但他自己却清醒地知道那香气不属于他。他越是看到群众因香气而对他顶礼膜拜，就越是意识到被膜拜的是香水，而不是他。这就是他所体验到的那种“窒息的”感受的来源——“在这假面具下他没有脸庞，完全没有气味”（聚斯金德，2022，p.275），“可怕的、窒息的香雾继续从他的心灵沼泽里升起”，几乎令他窒息（聚斯金德，2022，p.275）。香水制造的集体狂欢越是盛大，他自身无体味的事实就越是凸显。群众的意向活动越是狂热地指向“他”，他所体验到的那种“被指向的不是我”的虚无感就越是尖锐。行刑广场上的胜利，本质上是意向性异常在群体层面的集中爆发。

因此，“完美香水”的成功恰是格雷诺耶存在论困境的终极证明。他通过技术手段获得了让他者意向自身的能力，但这一能力是建立在香水这一外在媒介之上的，而非建立在身体本身的知觉可逆性之上。他能够操控他者的意向活动，却无法使自己的真实身体进入其中。小说最后那个令人战栗的场景——格雷诺耶将整瓶香水倒在自己身上，让公墓中的众人将他啃食殆尽——正是这一困境的最终和解。既然无法让自己的身体通过气味被真正地感知和确证，那就让身体在被他者吞噬的极端行为中彻底消亡。这既是存在虚无的终极表现，也是他在唯一剩下的维度上——被分解、被纳入他人身体——完成的最后一次“被感知”的尝试。气味的缺失从一开始就注定了主体无法在知觉场中完成自身的确证，而完美香水的制作不过是沿着这一逻辑走到了它的终点。

## 五、结语

综上，格雷诺耶四个阶段的意向活动呈现出一条从缺失走向毁灭的内在逻辑。无体味造成的嗅

觉意向单向化，使他无法在知觉场中被他人确证；对少女体香的暴力占有，将主体间知觉交换扭曲为存在层面的掠夺；蒸馏与萃取技术对纯粹气味的追求，以现象学还原式的操作剥离了气味赖以产生意义的生活世界根基；而“完美香水”制造的集体狂欢，则以一种悖论性的方式证明了——当主体被他人意向到极致时，被意向到的恰恰不是主体自身。四个阶段的推进表明，格雷诺耶的存在论危机，本质上是意向性结构的单向化。当他只能意向世界而无法被世界意向时，意向性就从建构意义的通道，异化为瓦解意义的暴力。

透过现象学路径的分析，聚斯金德这则近乎荒诞的嗅觉叙事，其深层意蕴逐渐清晰。小说表面叙述的是一个嗅觉天才沦为连环杀手的故事，但贯穿始终的核心问题却是主体如何在与他人的知觉交换中确证自身的在场。格雷诺耶的悲剧在于，他将“被感知”的全部希望寄托于气味这一最转瞬即逝的感官媒介，却又天生丧失了参与这一媒介交换的身体条件。他终其一生试图通过占有、提纯和制造气味来弥补这一缺失，结果却是在每一次接近成功的时刻更加尖锐地体验到自我的缺席。这一悖论对现代主体的存在困境具有隐喻意义。当主体过度依赖某一种单一的确证通道——无论是感官的、技术的还是社会的——去寻求自我意义的实现时，这种单向度的追寻本身就暗含着异化为暴力的危险。有学者已指出，小说中的技术常伴随着杀戮与死亡的隐喻，“一次次的谋杀仿佛只是工具理性主导下的一个个技术环节，生命本身的意义却成为外围的和无关紧要的东西”<sup>1</sup>。这一技术暴力的根源不止外在于工具理性，也内在于主体的意向性结构中。

由此，《香水》的现象学解读不在于从外部审视主体的社会处境或心理动机，而是深入意识活动的内在结构，旨在揭示主体的存在论危机在意向性的运作中如何一步步生成、加剧并最终走向毁灭。日内瓦学派的批评家乔治·布莱曾将批评界定为对作者“我思”的发现，批评家通过认同作品中的意识活动来重新经历作者的意向性体验（张永清，2024）。本文对格雷诺耶嗅觉意向活动的分析，按着这样的思路，从文本所呈现的意识经验出发，追问格雷诺耶的“我思”如何在意向活动中运行并遭遇内在的困境。当主体丧失了与世界的知觉可逆性，意识的意向活动便可能从意义建构的力量逆转为自我毁灭的暴力。正是在这个意义上，《香水》不仅是一个谋杀犯的故事，更是一部关于主体如何在知觉交换中确证自身、以及这种确证如何可能走向失败的哲学寓言。

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## 霸凌、创伤与修行：论《不存在的女孩》中的全球化书写

潘敏芳 (Pan Minfang)

**摘要：**当代著名日裔美国作家露丝尾关在小说《不存在的女孩》中通过书写霸凌文化、系统暴力等多种暴力形式表达了暴力、邪恶的无所不在，它导致了现代社会个人生活的创伤体验。对于如何面对社会中普遍存在的暴力和恶，尾关推介了禅宗哲学。在全球化语境下，尾关以公共知识分子的身份将东方智慧引入到西方语境，表达了她对暴力的批评和和平的祈愿。

**关键词：**露丝尾关；《不存在的女孩》；暴力；禅宗；全球化

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**Title:** Bullying, Trauma, and spiritual Practice: A Study on Globalization in Ruth Ozeki's *A Tale for the Time Being*

**Abstract:** In her novel *A Tale for the Time Being*, the renowned contemporary Japanese-American author Ruth Ozeki explores various manifestations of violence, including bullying culture and systemic violence, to illustrate the ubiquity of violence, and the resultant trauma experienced by individuals in modern society. To address the pervasive nature of violence, Ozeki advocates for Zen philosophy as a means of coping and healing. Within the context of globalization, Ozeki assumes the role of a public intellectual, introducing Eastern wisdom into the Western discourse to articulate her critique of violence and her aspiration for peace.

**Keywords:** Ruth Ozeki; *A Tale for the Time Being*; Violence; Zen Buddhism; globalization

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## 引言

露丝尾关（Ruth Ozeki, 1956-）是活跃在当今美国文坛的重要女作家，她于美国的纽黑文出生长大，父亲是美国人，母亲是日裔。迄今为止，尾关已经出版了四部小说，包括《食肉之年》（“*My Year of Meats*”, 1998）、《天下苍生》（“*All Over Creation*”, 2003）《不存在的女孩》和《形与空之书》（“*The Book of Form and Emptiness*”, 2022）。《不存在的女孩》（“*A Tale for the Time Being*”, 2013）参与了英国布克奖的角逐，并进入决赛名单，为她的文学生涯赢得了巨大声誉。该小说一出版，就引起了评论界的兴趣，相关研究成果不断涌现。事实上作者在文本中对于暴力的呈现、创伤的体验和疗愈的策略是作者对全球化时代的微观反思。

### 一、霸凌文化：现代社会中的暴力现实

二十世纪的暴力不仅广泛存在，而且其程度史无前例，但这并不表明人类对残暴行径的记录始于二十世纪，事实上对残忍行径的历史记录漫长而悠久。早期的暴力书写中“暴力”的代名词是“撒旦”，他作恶多端，而且变化多端，他是罪恶的化身。在高度工业化的时代，罪恶的形象日渐模糊，但他仍然无所不在。戴尔班科（2013, p. IX）指出：“我们活在人类历史上最残酷的一个世纪，但魔鬼并未现身揽功，而是自行隐去。”所以要分析他的形象显得更为困难。即便如此，作家对于描写罪恶、恐怖的兴趣并没有减弱。“二十世纪的作家总是说他们不会描写恐怖事件，但他们从来没有停止尝试。他们认为自己有责任再现自己所处的时代的暴力，但他们也质疑成功的可能性。”（Wexler, 2017, p.18）露丝尾关在小说《不存在的女孩》里便进行了有益的尝试。

《不存在的女孩》对霸凌文化的再现是一条主线，主要以日本社会为背景。霸凌文化是日本文化的一个显著特征，它的直接来源是日本的“尚武”传统。日本学者新渡户稻造的《武士道》（1899）、中国学者戴季陶的《日本论》（1928）以及美国学者本尼迪克特的《菊与刀》（1944）等著述，都对日本的“尚武”传统做过极为精细的考证研究。他们一致认为，“尚武”精神是日本文化的精髓所在，是严酷自然生存环境所造就的文明遗产。（宋剑华，2009）正是日本的“尚武”传统导致了社会中的暴力行径频发不断。在现代社会语境下，暴力行为不仅仅是血淋淋的屠杀、格斗场面，而且包括各种形式的霸凌、人身攻击、甚至战争。

小说中的日本女孩奈绪在美国生活了十多年后，因为父亲失业，被迫和家人回到东京，奈绪转学进入一家公立初中后，遭受了同班同学的霸凌：从最开始的人身攻击，到之后同学为她举行像模像样的葬礼，甚至在洗手间拍下霸凌她的变态视频后上传到在网上，并在网上拍卖她的个人私物。奈绪的经历代表着日本现代社会的校园暴力。霸凌在日本并不是偶然现象、个别现象，而是校园里普遍存在的非正常行为，它是个人对他者的暴力；在奈绪的经历中，它是日本小孩对于国外归来的小孩实施的暴力，是封闭群体对外来者的暴力，其本质是要显示霸凌者的强大和被霸凌者的弱小。本尼迪克特在《菊与刀》中分析日本人的文化特征时指出了日本学校里高年级霸凌低年级，低年级生成为高年级生后继续霸凌低年级的行为。她认为霸凌行为意在建立整个社会的等级秩序。奈绪由代表民主平等的美国回到了以社会等级秩序为核心伦理建构的日本，她所遭遇的霸凌既是作者对日本暴力现象的再现，也是对霸凌现象的谴责，因为霸凌可能造成霸凌者的暴力倾向，也可能造成被霸凌者的心理疾病，甚至自杀倾向，上升到国家层面，则可能演变为强国对弱国的侵略或君临。

二十世纪是一个战争频发的世纪，世界经历了整体的和局部的多次战役。战争本身意味着国家

对国家的暴力，国家机器对个人的暴力，或者可以说是人类对于整个地球的暴力。在战争语境下，个人成为庞大的国家机器之上毫不起眼的小螺丝钉；个人在战争面前的胆怯、战争之后的创伤被宏大的国家政治话语所遮蔽。《不存在的女孩》中，尾关对二十世纪中叶日本发动的东亚战争进行了深刻反思，剑指其残酷性和非人道性。春树一代是东京大学哲学系的大学生，在母亲己子的教育下成长为热爱和平的青年。日本即将战败之际，他被迫应召入伍，成为日军的“神风队”队员。为了将这些新兵训练成暴虐的入侵者，上级军官对他们殴打、折磨、甚至谋杀，这是战争对于身体和生命的摧残，也呼应了奈绪在学校所遭受的霸凌行为。在“神风队”队员的战术手册中有一句口号：“以吾等之训练对抗敌军数量上之优势，以吾等之血肉对抗敌军之钢铁。”（本尼迪克特，2001，p.17）可见，加入“神风队”意味着必然的死亡，意味着以个体的血肉之躯为军国主义的霸权思想、暴力行径献祭，是最为残酷、最为血腥的暴力。

无论是校园霸凌，还是战争，这些暴力行径的本质是一种“霸凌文化”，露丝的丈夫奥利弗这样解释“霸凌文化”：

“我们生活在霸凌文化里。政客、公司、银行、军队。全都是强盗、骗子。他们盗窃、他们折磨人民、他们制定愚蠢的规则、确定基调。”<sup>1</sup>（p.127）

这些暴力行径也是伊格尔顿所称的“邪恶”，它没有目的，“从根本上就欠缺一种生命的向度，深深地陷没于一种永恒重复的精神麻木与单调之中。”（伊格尔顿，2014，p.81）这种邪恶实施着破坏的恶行，却似乎又是不朽的存在，因为它总是周而复始，永远在场。正如小说中所描写的，二战期间日本士兵在部队里遭受的霸凌在和平年代演变为校园霸凌。施暴者是邪恶的，因为他欺凌了他人。也许施暴者生来并不邪恶，但是某些极端的社会生活使他成为了邪恶的化身，从而导致了社会中形形色色的霸凌现象。

## 二、创伤人生：亚裔美国人遭受的种族歧视

亚裔美国人作为美国的少数族裔，一直遭受着隐性的歧视。1968年美国发起的亚裔美国运动就是凭借美国民权运动的浪潮，替亚裔争取在美国应得的权力。亚裔美国运动取得了一定的成效，亚裔美国群体也提出了一些有意义的策略，其中的典型人物是赵健秀和汤亭亭，汤亭亭主张的“征用美国”（claim America）的提议深入人心。但是种族歧视对亚裔造成的创伤不可低估。

《不存在的女孩》中的奈绪生活在二十世纪二十一世纪之交的美国，她三岁离开日本，十五岁返回，在美国生活了十二年，这段时间是她心智的成熟期，美国的生活观、价值观必然对她产生了深远的影响。小说隐晦地提到了美国社会的种族问题。奈绪的父亲春树二代是一个“电脑编程高手”，“拿到了硅谷一个很棒的工作”（p.44）。硅谷是美国高科技聚集地，聚集着来自世界各地的科技奇才。虽然说科技面前人人平等，可春树二代只是一个暂居美国的少数族裔科技人才，在公司倒闭后，他被裁员，没了工作，没了存款，没有绿卡，只能回到日本。他无法做到“征用”美国，声称美国是自己的美国，而只能无奈地回到母国日本。

春树二代的失业造成了多重创伤。首先，20世纪末期，经济危机席卷全球，世界经济遭到重创。在经济危机的困难时刻，最先受到冲击的就是美国的少数族裔，包括亚裔，导致他们的创伤体验。

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<sup>1</sup>露丝·尾关（2015）：《不存在的女孩》，袁田译。浙江文艺出版社。以下引文只标注页码，不再一一说明。

赵静蓉（2017）在分析“创伤”时指出：“对创伤主体来说，创伤就意味着自我和现实之间失去了平衡，统一性被打破，自身的连贯性也被割裂了，‘我’因而无法再体会到自身与环境及社会的圆融和谐感。”小说中，奈绪一家在美国生活了十二年，父亲母亲“自认为是日本人，能说流利的日语（p.44）”，也就是说，这么多年后，父亲母亲仍然无法融入美国社会。作为创伤主体的春树二代在美国丢了工作，认同美国身份的基石被彻底动摇，他成了一个局外人，遭受排挤的人。

其次，春树二代的失业也造成了奈绪的身份焦虑。奈绪的身份认同因为她的少数族裔身份受到影响。奈绪三岁的时候去往美国，根据美国法律，她不是美国公民。可是，“对我来说，我的整个人生始于阳光谷，终于阳光谷，我是美国人。”（p.44）幼年的奈绪很快掌握了英语，并认同了自己的美国身份，可是她无法打破种族的界限。在美国学校里，她因为没有服用营养类药物而被同学讥讽：“奈绪不需要药物。她是日本人。”（p.170）虽然不服药的行为更为常态，可是美国儿童的服药行为将奈绪与其他同学区别开来，奈绪被标记为异类、“他者”。奈绪成不了美国人，也不是日本人，处于身份的居间状态，无所适从。

遭受了美国种族歧视的奈绪一家回到了日本。而全球经济的萧条同样影响了日本的经济，春树二代在东京找不到合适的工作，两次试图自杀。奈绪回到日本后无法融入当地的生活，成为暴力行径的受害者，逐渐认识到自杀是摆脱人生痛苦的最好途径，她在日记中多次扬言要自杀。自杀，是个人对自身的暴力，是在个人与社会之间产生了不可调和的矛盾时个人无奈而消极的做法，更是对自己之前的创伤人生的过激反应。这些自杀之人和试图自杀之人的行为或想法展示了日本社会的怪像，即以毁灭自身来解决看似无法解决的生存问题。自杀行为一直是日本社会的顽疾，小说中写道：“自杀超过癌症是日本中年男人的头号死因”。（p.67）根据本尼迪克特（2001，p.115）在《菊与刀》中的分析，现代日本人施之于自身的最极端的攻击行为就是自杀。按照他们的信条是，用适当的方法自杀，可以洗刷污名并赢得身后好评。可见，自杀因日本社会特殊的历史文化因素而具有特殊性。但是，自杀虽然是遭受创伤后的过激反应，更是一种暴力行为，它将消灭肉体作为终极目标，事实上是一种逃避社会现实的行为，一种反社会的行为。正如张凯（2015）所说：“自杀与现代社会精神相违背，因为在现代社会，生命的价值在于现世的持存，在于活得富足、幸福。”自杀的背后隐藏着对社会暴力行为的顺从、默认和屈服，这是一种逃避的态度，只会助长暴力的嚣张气焰。

### 三、禅宗哲学：治疗社会暴力顽疾的良方

露丝尾关在小说中再现的对个人和社会的暴力是齐泽克所称的“主观暴力”，它是由“社会组织、邪恶个体、纪律化的压迫性国家机器以及狂热群众执行的主观暴力”（齐泽克，2012，p.11），是弱肉强食的权力话语表达。为了进一步遏制暴力的种种恶行，爱好和平的人们支持各种非暴力的政治文化行为，目的是反对暴力。汉娜·阿伦特（2013，p.12）认为：“暴力行为与非暴力行为之间的区别在于，前者一意孤行地想要毁灭旧事物，而后者关心的主要是如何创造新事物。”“非暴力行为”致力于和解和创造，以构建和平安宁的生活。尾关在小说中呈现了暴力的非理性，并实践了非暴力的救世路径，从而为时时面临暴力威胁的人类社会指向和平的光明前景。人类充满如此多的暴力和恶，该以怎样的方式处世呢？

尾关从宗教的角度回答了这个问题，她借奈绪曾祖母己子的佛教尼姑身份推介了禅宗救世度人的处世哲学，具体说来，就是以禅宗的精神武装个体生命。奈绪在学校里一直被霸凌，甚至被同学

宣称已经死亡。之后奈绪随着曾祖母己子来到其修行的庙宇，开始了“置于死地而后生”的学习历程。己子教她学习“超能力”以应对霸凌。首先，她们要洗净身体。然后，在一间“漆黑一片、寂静无声”的屋子里“参禅”，己子告诉她：“如果你每天参禅，你的思维会苏醒，你将拥有超能力”（p.192）。除“参禅”外，奈绪还需努力劳作，因为己子“向我解释说年青人需要多锻炼，我们每天都需要竭尽全力，否则我们将有棘手的想法和梦境，这些将导致引起麻烦的行动。”（p.214）可见，要实践禅宗哲学，能力的获得不仅要“苦其心志”，还要“劳其筋骨”。究其本质，“超能力”的本质是倡导用禅宗的哲学来指导生活，强调劳苦状态下的乐观精神。何谓禅宗？日本学者村上专精（1981，pp.188-189）解释说：

所谓禅宗，是“唯佛与佛，以心传心”的法门，让人们不要为名相文句所限，也不要计较、猜度，不用去掉烦恼，不去求证菩提，不用进行“闻、思、修”，也不必论说“教、行、证”，只要老老实实地居住，一天到晚倒卧横眠，运水搬柴，来来去去，就会在你面前出现千百种的三昧。

以此观之，奈绪试图从曾祖母处习得的习禅之法，正是要求她“劳心智、苦筋骨”，强调“以静制动”，无欲无求，以宽容的心看待世界，从人类悲惨的现实生活中寻找积极的生活元素，以期“见性成佛”。

《不存在的女孩》中，尾关之所以详细再现佛教徒己子宽容的处世哲学观，目的在于宣说佛教中的“禅宗”哲学。尾关本人信奉禅宗。小说扉页的作者简介中写道：“露丝尾关是一位小说家、电影制片人、禅宗教士”。在与郑绮宁的访谈中，尾关声称自己即将是“受命禅师”（Ty, 2013）。《不存在的女孩》开篇，尾关引用了日本道元禅师的著作《正法眼藏》中第十一章的内容“有时”。小说的附录中，尾关解释了禅宗的“刹那”，“一个刹那是一个非常小的时间微粒。”（p.431）无论是“刹那”还是“有时”，都表明了时间的匆匆流逝。只有理解了时间流逝得有多快，人们才能理解活着的意义；而只有理解了活着的意义，人们才能更宽容地对待他人。

此外，露丝尾关是日裔美国人，她笔下的部分人物具有日本文化背景，如露丝、奈绪等。日本的佛教传统历史悠久，是日本的最大宗教之一。露丝在基督教占主导地位的美国信奉禅宗，并推崇禅宗理念，目的是以东方智慧来面对社会问题，以期找到解决的途径。学者们认可“禅的修行在效果上可能带来的身体静养、心灵平和、疾病治愈及最终开悟。”（陈剑，2025）禅宗哲学是东方智慧，是作者给出的解决社会暴力的一种途径，这也是西方作家在寻找东方智慧解决矛盾冲突时的常见做法。在毛姆的小说《刀锋》中，主人公拉里无法忘记一战带给他的震撼和冲击，踏上探寻真理之路，途中饱受肉体及精神的历练，最终在印度求得真理。华裔美国作家汤亭亭的在《第五和平书》中讲述了自己组织越战老兵进行“正念”修行的活动，以期帮助老兵们走出战争创伤。

露丝尾关不仅在现实生活中信奉禅宗，在小说中，她让笔下的人物以禅宗的态度来解决冲突。春树一代在部队遭遇上级的霸凌时采取了禅宗的宽容态度，他的心理经历了“害怕/自我怜悯—憎恨—愤怒—同情”的转变过程。当他最终转向“同情”时，内心变得强大，上级军官逐渐放弃了针对他的霸凌行为。同样，104岁高龄的己子运用了宽容理念对付在街头无端辱骂她的少女们。己子先是对她们的辱骂充耳不闻，之后对着她们深深鞠躬，她的虔诚善良震慑了这些女孩子，迫使她们同

样以鞠躬来还礼。禅宗的目标不是以善易暴，而是期待人们“见性成佛”“明心见性”，这需要禅宗教士具有极大的忍耐力和耐心，但是它带给社会的非暴力理念和实践具有积极的意义，值得传习。

#### 四、个人修行：现代人的禅宗修行体验

露丝尾关在小说中介绍的禅宗思想，是她在列出社会暴力问题之后给出的核心解决良方。在禅宗哲学的生活实践中，最主要的方式是出家（home-leaving），即远离尘世生活，进入佛教徒的修行状态。过去时空里的己子二战后出家为尼，在修行过程中修己渡人。与己子和奈绪的经历构成平行叙事的露丝在不自觉的情况下也在进行着修行，并实践着己子的非暴力生活理念。露丝摒弃繁华都市纽约的行为隐喻着佛教徒的出家修行、隐喻着不同时空的人们对于和平的潜在追求。

露丝因为爱情、婚姻和责任的义务，携母远嫁加拿大，居住在鲸鱼镇。“鲸鱼镇本身算不上一个镇，而是一个‘居民点’，卑诗省把它定义为‘一处有名字的地方或区域，人口分散，通常在五十人或以下。’”（p.59）鲸鱼镇是个人烟稀少的所在，是一个日益老龄化的社会，因此也被戏称为“荒凉湾”。在这个与世隔绝的社区里，一年只有两个月的好天气，在其余的时间里，天气阴冷，断电、断水、断天然气等现象是常态。“荒凉湾”的最主要特征是远离了战争，远离了社会暴力，人们的生活安静、平和。这里的生活环境符合禅宗提倡的反对束缚、追求绝对自由的意识。

《不存在的女孩》中的日本时空里的己子在深山老林修行，加拿大时空里的露丝在加拿大的“荒凉湾”上修行，“荒凉湾”的最大特征就是远离尘世，代表了“天人合一”的禅宗修行场所。在露丝笔下，加拿大是一个人与自然和谐共生的人间天堂，露丝的房子周围，人与动物、植物和谐相处。对于信奉禅宗的人来说，烦恼即菩提，修行者通过认真体验生活来探寻本真，使生活充满了禅意。露丝在岛上创作、做饭、交友、养宠物，过着最为简单的生活，执着于本真，体验着时间缓慢的流逝，人与人之间的和谐相处。同时，“荒凉湾”的独特性还在于，这里“水仍然清澈，人们仍旧可以品尝贝类”。（p.198）它是人类的宜居之地。可以说，加拿大“荒凉湾”的存在既是对社会中无处不在的暴力的隐性批评，更是对天人合一的有机生态环境的显性渴望。

在露丝居住的禅意小岛，美国的“9/11”事件也呈现出了不同的特质。“9/11”恐怖袭击当天，露丝和丈夫奥利弗正在美国，为避免母亲担心，他们急忙赶回加拿大。回家后，他们发现“世界新闻与他们（小镇人）的日常生活毫无关联，他们只是模糊地知道南边发生了什么事。”（p.287）作者将“9/11”如此惨烈的恐怖袭击和加拿大小镇人的反应并置，表现了因时空而导致的信息传递的断裂。对于“荒凉湾”上的人来说，恐怖袭击虽然在美国，但仿佛发生在另一个世界、另一个时空，与他们的生活毫无关系。而“荒凉湾”远离现代文明，它的每一分钟都显得悠长，颇具禅的意味。这里的居民如道元禅师所宣扬的“出家的功德”中的核心思想一样，远离了城市的堕落与腐化，珍惜宝贵生命里的每一个刹那。

#### 五、东方智慧：全球化语境下的东学西用

著名的亚裔美国评论家郑绮宁（2013）在与露丝尾关的访谈介绍中写道：“在这些小说中，尾关着手应对了诸如资本主义、肉中的激素添加剂、跨文化冲突和种族冲突、传媒的力量、克隆和转基因、不孕症和全球化等问题。”这句话中的“全球化”一词点明了尾关在创作中所关注的核心问题。在全球化语境下，社会的暴力问题以更为多重且复杂的形式展现着自身。在小说中屡次提到了

虚拟空间。小说中，奈绪被同班同学欺辱的视频上传到了网络上，吸引了大量的观众。这种虚拟空间内对暴力的围观本质上是全球化时代的新形态。美国斯坦福大学教授莱斯迪克博士收集世界各地有自杀倾向的人的叙事文本，并将其公之于众，这同样是全球化带来的新模式。春树二代在美国开发以战争暴力为核心思想的游戏软件，这是虚拟空间对现实空间里的战争赤裸裸的模仿，它的受众是全世界的青少年，其负面影响不亚于现实世界里的战争暴力。

露丝尾关写现实空间与虚拟空间里的暴力的目的很显然是为了反对暴力，尤其是全球化语境下的暴力，因为暴力会引发更多的暴力，故意性的暴力最终会导致工具性的暴力。正因为如此，露丝尾关在小说中引入了禅宗思想。在访谈中尾关表示书中所探索的各种社会问题，包括酒吧女招待、神风队飞行员、海啸、环境污染等，根据禅宗思想来说，都是“相互依存的、暂时的、相互联系的”（Ty, 2013）。禅宗思想的本质是祈祷和平，反对战争。过去时空里的己子在深山老林里身体力行地反对二战，现在时空里的露丝也在反思二十一世纪初发生在美国本土的“9·11”事件。尾关作为一名公共知识分子，在小说中对暴力问题的解决进行了哲学层面的探索，她指出以暴易暴做法简单，并不能达成预期的效果，反而会为人类造成更多的灾难。而人类在二十世纪的战争浩劫中已经遭受了太多的痛苦创伤，对暴力的书写有助于人们了解暴力并控制暴力。

选择信奉禅宗的本质就是选择向善向好的生存哲学。小说中奈绪承认“我们的本心都是向善向好的”（p.190），虽然“我们的整个人生都被战争与往昔塑造”（p.190），虽然人类历史上对战争的记录总是要比平时期的记录长，但是和平，如同幸福一样，需要去追求。“向好向善”的理念否定了军国主义等法西斯思想，它意味着从思想上否定暴力，因为“暴力不能促进事业的发展，也不能推动历史的进步或革命的进展（阿伦特，2013，p.28）”。其次它鼓励对身体、生命的尊重。任何形式对身体的戕害都是不正确的。正是在这种意识的指导下，读者露丝及时干预，阻止了春树二代的自杀。春树二代与奈绪一起来到了己子临终的床前，理解了己子临死之前所写的“生”的重要意义，不再追求个体的毁灭，转而追求生命的持存，这符合超越了生死观的禅宗哲学。春树二代重新振作起来，以澄净之心面对自身和存在的世界，既拯救了自己、拯救了女儿，也拯救了家庭，更是投向暴力遍布的社会的一缕暖阳。由是观之，“向好向善”就是要尊重生命，热爱生命，反对暴力，呼吁和平，从而创造一个宜家宜国的社区。而对于暴力的反对、和平的渴望，需要不同时空的人联手起来共同应对，以确保社会中来之不易的和平环境。小说中打通了的时空就是尾关眼中最为完美的全球化范式。

露丝尾关虽然是日裔美国作家，但是与早期的日裔美国作家不同，尾关并没有拘泥于“拘留营文学”，而是关注了暴力、和平、全球化等具有普世性的话题，她的作品虽然以自己的族裔身份所指向的美加日三个国家为基点，但在文学主题上远远超越了族裔话题所能涵盖的领域。《不存在的女孩》以不同形式的暴力书写为起点，在全球化语境下对暴力进行了深刻反思并提出解决方案。表现了尾关作为公共知识分子所具有的社会责任感。全球化时代，暴力形式更为隐蔽，但是跨越族裔的东西方文化交流与借用可以破局，进而建构更加和谐相处更加互鉴互助的美好社会。

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## 《大师与玛格丽特》中莫斯科文本的反乌托邦精神

吴佩莎 (Wu Peisha), 俞航 (Yu Hang)

**摘要：**莫基于“莫斯科-第三罗马”学说的传统莫斯科文本内在地蕴含了乌托邦精神。随着现代化进程的推进与苏联政权的建立，乌托邦思想逐步转变为一种压抑个体自由与精神价值的官方意识形态。布尔加科夫的小说《大师与玛格丽特》折射出莫斯科文乌托邦精神的嬗变，以反乌托邦精神中的反思和批判意识观照社会，还原乌托邦精神的原初内涵。通过对莫斯科城市的重构，小说刻画了一个表面秩序井然、实则精神虚无的反乌托邦世界，又通过超越现实的“永恒的家园”揭示了莫斯科的救赎之路。布尔加科夫在解构官方乌托邦叙事的同时，延续了俄罗斯知识分子的弥赛亚意识，其作品在深刻的批判性中寄托了对以爱、信仰与心灵自由为核心的精神家园的乌托邦式追寻。

**关键词：**《大师与玛格丽特》；莫斯科文本；反乌托邦

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**Title:** The Anti-utopian Spirit of the Moscow Text in *The Master and Margarita*

**Abstract:** Based on the “Moscow, Third Rome” doctrine, the traditional Moscow text inherently embodies a utopian spirit. With the establishment of the Soviet regime and the advancement of modernization, utopian thought gradually transformed into an official ideology that suppressed individual freedom and spiritual values. Bulgakov’s novel *The Master and Margarita* reflects

the transmutation of the utopian spirit within the Moscow text, employing the reflective and critical consciousness of the anti-utopian spirit to observe society and restore the original connotations of the utopian ideal. Through his reconstruction of the city of Moscow, the novel portrays an anti-utopian world that appears orderly on the surface but is spiritually hollow, while simultaneously revealing the path to Moscow's redemption through a transcendent "eternal home." In deconstructing the official utopian narrative, Bulgakov perpetuates the messianic consciousness of the Russian intelligentsia. His work, marked by profound critique, embodies a utopian quest for a spiritual homeland centered on love, faith, and inner freedom.

**Keywords:** *The Master and Margarita*; Moscow text; Anti-utopia

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## 引言

俄罗斯的首都莫斯科历史悠久，经过几个世纪的变迁，凝聚着俄罗斯民族的精神。作为重要的文学母题，莫斯科书写传统贯穿于历代作家的创作实践之中。作为 20 世纪俄罗斯文学巨匠之一的米哈伊尔·布尔加科夫（Михаил Афанасьевич Булгаков，1891-1940）生前最后一部小说《大师与玛格丽特》（*Мастер и Маргарита*，1967）以莫斯科为背景，承袭了自 16 世纪以来的“莫斯科文本”传统，吸纳了 20 世纪莫斯科文学中蕴含的反乌托邦思想脉络，展现出俄罗斯知识分子深植于历史传统的使命意识与责任担当。

《大师与玛格丽特》最初写成于 1928 年，布尔加科夫对其进行了多次修改直至他 1940 年去世，在他身后的二十多年，小说终于得以出版，成为了 20 世纪苏联最具代表性的小说之一。《大师与玛格丽特》一经出版就引起了苏联国内的关注，自此之后兴起了“布尔加科夫热”<sup>1</sup>。我国对《大师与玛格丽特》的研究则起于 20 世纪八十年代，主要集中在在人物形象分析、宗教神话研究、艺术风格分析和对比影响研究等方面。值得注意的是，已经开始有学者尝试从莫斯科文本的角度研究《大师与玛格丽特》。<sup>2</sup>既有研究在对《大师与玛格丽特》的分析中，突出了小说中具有莫斯科文本的共同之处——由小巷、墙壁和广场构成的城市迷宫，突显出了城市浪漫神秘的氛围，强调了莫斯科这座城市在新的神话背景下有了“苏联新神话”版本。以现有研究为基础，本文将引入历时性考察维度，考察莫斯科城市文本的神话构建在不同时期的变化，探析其中所承载的乌托邦精神的嬗变轨迹；并以布尔加科夫的《大师与玛格丽特》为核心文本，深入分析布尔加科夫是如何将作为乌托邦精神象征的莫斯科转变为反乌托邦精神的象征，同时在这种“反方案”的基础上反思现代性思想付诸实

<sup>1</sup>参见梁坤：《布尔加科夫小说神话诗学研究》，北京大学出版社，2016 年，绪论，第 1 页。

<sup>2</sup>比较有代表性的有傅星寰：《俄罗斯文学“莫斯科文本”与“彼得堡文本”研究》，北京大学出版社，2023 年，第 70-71 页。

践时产生的负面效果。在《大师与玛格丽特》中，莫斯科不仅是情节展开的空间背景，更是作为一个具有多重象征意义的“莫斯科文本”，承载着作者对权力、信仰与民族命运的深刻反思。莫斯科形象的嬗变不仅映照出历史与文化的演变轨迹，也体现了布尔加科夫试图通过小说重新凝聚与再造俄罗斯民族精神的努力。

### 一、莫斯科文本中乌托邦精神的嬗变

“莫斯科”（Москва）一词承载着除了城市实体之外深厚的文化内涵，它既是真实的地理空间，也是俄罗斯民族精神的象征，由此形成的“莫斯科文本”（Московский текст），已成为俄罗斯文学中的重要概念。莫斯科从文学题材发展为系统性文本经历了漫长过程。20 世纪之前，莫斯科的形象已经频繁出现在诗歌、传奇与小说中，常被描绘为温暖抚慰的故乡；<sup>1</sup>在 20 世纪三十年代，莫斯科文本正式诞生，以玛丽娜·茨维塔耶娃（М.Цветаева）的组诗《莫斯科》（*Стихи о Москве*, 1916）、科尔日热诺夫斯基（С.Д.Кржижановский）的小说《邮戳：莫斯科》（*Штемпель: Москва*, 1925）及其他小说和安德烈·别雷（А.Белый）的系列长篇小说《莫斯科怪人》（*Московский чудак*, 1926）等一系列作品的出现为标志。以上作品系统性地将“莫斯科”作为核心母题和结构性元素进行书写，这使文学中的莫斯科形象和莫斯科题材逐渐走向成熟。这种创作的集中性和自觉性，标志着“莫斯科”已经从一个地理场景演变为一个独立的，具有鲜明地域特色的语义场所和诗学范式的城市文本。作为一个开放的符号系统，莫斯科文本被不断地书写和完善，从而成为了独具一格的文本机制。

莫斯科文本是独具俄罗斯特色的乌托邦精神的载体。莫斯科文本已经和民族精神融合，成为整个俄罗斯探索其命运、追寻人间真理的舞台。在源远流长的俄罗斯文学谱系中，莫斯科已经成为了承载了民族集体想象与精神寄托的核心意象，记录了人们对于信仰和真理艰难探索。“乌托邦”（utopia）一词形成源自西方哲学中的实体论，乌托邦精神表达了人们对未来的美好希望，激励着人类不断前进。值得注意的是，莫斯科文本中的乌托邦精神并非对西方乌托邦概念的简单移植，而始终根植于俄罗斯自身的历史哲学脉络。正如弥赛亚意识深植于俄罗斯民族的精神结构之中，乌托邦冲动也持续贯穿并塑造着俄罗斯的文明进程与民族话语建构。乌托邦精神假定了在历史中人的命运终将达到最高完善的状态，它隐秘地存在着对历史结尾某种宗教上的指望，即对历史的悲剧终将结束的希望；而俄罗斯民族身上的正具有一种被称为“末世论”的追求，他们期盼着“一切有限的东西即将终结，最终的正义即将呈现。”（别尔嘉耶夫，2024，p.258）表现了俄罗斯人们的美好期望。对于俄罗斯的乌托邦精神来说，修士菲洛费（Филофей）关于莫斯科是第三罗马的历史哲学观念具有重大意义。16 世纪，东正教普斯科夫修道院长老菲洛费向莫斯科公国的大公进言，提出“莫斯科—第三罗马”（Москва-третий Рим）的理论，即“第三罗马”俄罗斯帝国将是神选的东正教世界中心和永恒的强大帝国，莫斯科所代表的俄罗斯国家是接替罗马和君士坦丁堡来承担拯救世界任务的唯一最后继承人，负有在最终审判前守护真正信仰、对抗邪恶并迎接基督再临的终极责任。莫斯科作为最后的堡垒，在精神上与世界割裂，这种防御性的、自给自足的孤立状态，恰恰是催生内向的、

<sup>1</sup>参见普希金《叶甫盖尼·奥涅金》、托尔斯泰《战争与和平》和阿克萨科夫《家庭纪事》等作品。

寻求内部温暖的家园感的历史心理前提。“第三罗马”理论为莫斯科作为心灵家园提供了历史深度、神圣合法性和情感上的不可或缺性。19 世纪，莫斯科作为“第三罗马”和古都，其最初的文化形象与彼得堡的“西方”“理性”等概念相对立，常在作品中被描绘为“神圣罗斯”的心脏，代表了宗法制的、温暖的、带有民间烟火气的故乡。正如费多托夫（Федотов）所指出的，莫斯科始终“守护着乡土风情”（Федотов, 1992, p.56），是质朴真诚、人情味浓厚的心灵港湾。20 世纪，茨维塔耶娃的组诗《莫斯科》也将莫斯科作为祖国形象的代表，这使她散发着圣洁温暖的光辉。在俄罗斯境外侨民文学中，莫斯科成为了有关故乡和家的符号，是他们心中象征着美好生活与精神救赎的乌托邦。<sup>1</sup>

然而，莫斯科文本体现了俄罗斯的乌托邦传统，也承载了乌托邦本身无法回避的悖论。一方面，俄罗斯民族非凡的性格就体现在“对痛苦的忍耐，对彼岸事物、终极事物的追求。”（别尔嘉耶夫，2024, p.17）这正是俄罗斯民族所固有的“弥赛亚主义”，他们等待着“上帝之国”的来临——它是“此世的终结，是非正义和丑陋的世界的终结，是新世界的开端，是正义和美的世界的开端”（同上, p.256）；另一方面，这种弥赛亚精神和乌托邦精神共同承载着一种内在的矛盾。正如别尔嘉耶夫在“凯撒王国”与“精神王国”的对比中谈论的，乌托邦作为一个理论上悬置的蓝图，在历史上曾发挥着巨大的作用——它能够成为一种动力，吸引着人们不断靠近。别尔嘉耶夫写道：“乌托邦是人的本性所深刻固有的甚至是没有就不行的。被周围世界的恶所伤害的人有着想象、倡导社会生活的一种完善的和谐的制度的需要”，但作为在现实中生活着的人总是“以歪曲的形式实现自己的乌托邦”。（别尔嘉耶夫，2000, p.113）这些曲解的形式以未来蓝图的形式筑造了具有完善和谐制度的凯撒王国，却也由此形成了对自由的扼杀，因此别尔嘉耶夫不由自主地发出感慨“自由和自由的生活是最无法实现的乌托邦。”（同上, p.114）

历史上的乌托邦写作常把未来蓝图寄寓在现代性方案之中，其核心的思路是把人类幸福生活的愿望寄托在物质的丰富和社会制度的完善上。这些乌托邦思想家们构建社会理想时，普遍预设这个国度的人民应该生活在“合情合理的和谐和秩序井然的氛围中”。（赫茨勒，1990, p.124）从托马斯·莫尔（Thomas More）的《乌托邦》（*Utopia*, 1516）、弗朗西斯·培根（Francis Bacon）的《新大西洋》到康帕内拉（Campanella）的《太阳城》等乌托邦写作都秉承着理性的原则，尝试以现代民主观念和现代科学技术打造理想社会组织，执着于各种政治、财产和婚姻等精细的制度安排，主张人类幸福的实现要依靠形式和法律的约束来实现。这些乌托邦模型和启蒙运动之中生成的现代性方案具有同构性，现代性方案作为思想模式倡导人们可以借助理性、科学和民主，实现生活的现代化，社会矛盾的化解和人的全面解放，但是它在运作过程中未能解决人的全面发展问题。因此，现代性方案随着 20 世纪社会的剧烈动荡而遭到普遍怀疑。“反乌托邦”（anti-utopia）文学由此诞生。

作为一种和乌托邦如影随形的讽刺批判手法，反乌托邦在思想上揭露了乌托邦蓝图在某些方面的不现实性和荒诞性，促使人们反思并改变现实。它与乌托邦精神同是出自于对现实的关切和对未来社会的希冀，但前者对那种试图以详尽“蓝图”来构建终极完美社会的乌托邦传统持深刻的批判

<sup>1</sup>参见扎伊采夫《莫斯科》、什梅廖夫《朝圣》、布宁《纯净周一》和奥索尔金《希弗采夫·弗拉热克》等小说。

态度，并以“反方案”的形式延续着对未来的希望。<sup>1</sup>反乌托邦文学的代表作——叶夫根尼·扎米亚京（Y.Zamyatin）的《我们》（*Мы*, 1924）、阿道司·赫胥黎（Aldous Huxley）的《美丽新世界》（*Brave New World*, 1932）与乔治·奥威尔（George Orwell）的《一九八四》（*Nineteen Eighty-Four*, 1949）这三部作品系统性地构建了看似理性、实则极度压抑的未来社会模型，表达了对于未来社会恐怖图景的反叛。这些小说并非对人类的乌托邦精神理想的简单否定，而是以一种悖逆的方式展现作家们对当代社会科技与政治领域的深切反思。它们揭示了乌托邦蓝图在现代化进程中暴露的矛盾，即“将传统乌托邦蓝图设计推向极端化而出现的完全有悖于乌托邦理想主义者们初衷的反面状态。”（姜文振、黎新华，2020，p.35）因此，20 世纪以来西方现代性反思精神是反乌托邦小说的主要理论资源，其批判锋芒所向，是科学、理性主义、进步主义等现代性原则在实践过程中产生的负面后果，暴露了乌托邦的蓝图设计在现实中的片面性。然而，乌托邦精神作为对更好更完美的未来的期盼，它存在的本身激励着人们不断前进；作家们以“反方案”的方式把乌托邦精神极力从蓝图派乌托邦手中拯救出来，使其回复到乌托邦精神本身。

反乌托邦精神与乌托邦精神之间的对抗就贯穿苏联文学的始终。正如学者董晓所言：“乌托邦性与反乌托邦性往往会同时并存，只不过前者是高度直觉的，而后者往往是不自觉的，是隐藏在前者之中的。”（董晓，2010，pp.32-33）随着现代化的发展，乌托邦精神在俄罗斯逐渐工具化，发展成了国家乌托邦主义，这种掺杂了意识形态话语的乌托邦精神使莫斯科文本中的莫斯科形象变得复杂且矛盾：它既是古老神圣的，又是具有现代性特征的都市。在革命精神感召下，古老的莫斯科形象被重新诠释。无产阶级文艺工作者、共青团诗人等各阶层创作者都参与到这一文化构建中，塑造出崭新的“红色莫斯科”形象。苏尔科夫（А. А. Сурков）、江布尔（Д. Джамбул）、马雅可夫斯基（В. В. Маяковский）等作家都对莫斯科进行了真诚激情的讴歌与赞颂。“这些充满真诚的革命理想主义激情的作家大都体现了官方意志，这就使得他们无法超越当下的社会主流意识。”（同上，p.44）于是乎“这些作品大都忽略了对个人本真精神的描写，作品里缺少了人的心灵之声，作家对‘物’的追求远胜于对人的心灵之‘深’与‘复杂’的探寻。”（同上，p.57）本该属于知识分子个人话语的乌托邦精神在主流意识形态的裹挟下，失去了对现实和主流官方话语的批判意义，成为政权意志的代言人。美国学者马歇尔·伯曼（Marshall Berman）觉察出莫斯科身上发生的变化，自他看来，最初“彼得堡代表着所有贯穿在俄罗斯人生活中的国外的世界性力量；莫斯科则昭示着所有本土沉积下来的、各种独有的俄罗斯民粹的传统……”（伯曼，2003，pp.225-226）然而，现代时期，本应作为反现代性、固守传统的精神堡垒的莫斯科，在被动应对现代化冲击的过程中，逐渐呈现出一种矛盾的现代体验：城市规划者试图用宏大的蓝图设计实现社会平衡，但是却忽视了城市生活的复杂性，也未能使人们的道德与精神随着城市的现代化而增长。

俄国自 19 世纪以来文学作品中出现了反乌托邦精神的作品，这并不意味着对未来的绝望，而是以一种潜在的方式对抗存在的虚无，顽强地坚守着人类的精神家园，保卫和延续着俄罗斯文学的传统。扎米亚京、普拉东诺夫（А.П.Платонов）、布尔加科夫等一批反乌托邦作家已经指出了这种乌

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<sup>1</sup>参见拉塞尔·雅各比：《不完美的图像：反乌托邦时代的乌托邦思想》，姚建彬译，新星出版社，2007 年，绪论，第 4 页。

托邦构想以宏大的终极目标为名，要求个体牺牲自由与尊严的弊端。布尔加科夫的巅峰之作《大师与玛格丽特》展现出超越具体时代指涉的深远意义。作为一个生活在 20 世纪苏联的作家，二十年代末苏联的残酷现实粉碎了布尔加科夫的幻想。在越来越严苛的社会环境中，经历了作品遭到禁演的艰难困境，生活也难以维系的布尔加科夫仍然不愿放弃自己内心的追求，正如他在 1930 年 3 月 28 日致政府的信中宣称的那样：“无论审查制度如何，无论它存在于何种政权之下，与之抗争都是我作为作家的职责，正如呼吁新闻自由一样。我热切崇尚这种自由，并认为，如果任何作家试图证明自己不需要这种自由，那他就像一条公开宣称不需要水的鱼……”<sup>1</sup> 作为一位热爱自由、追求真理、宣扬人道主义的作家，他本身即体现出了反乌托邦精神的核心内涵：保持一种反抗的或者批判的能量或精神，对于不理想的现实做出反应和反思。

在莫斯科生活期间，布尔加科夫见证了官僚主义膨胀、政治压迫与日常生活的荒诞化，他于二十年代先后创作的《恶魔纪》（*Дьяволиада*, 1924），《不祥的蛋》（*Роковые яйца*, 1924）和《狗心》（*Собачье сердце*, 1925）体现了对“科学乌托邦”的讽刺。在他的这一系列莫斯科小说中，莫斯科是在一座被异化的都市，体现出深刻的反乌托邦性。然而在国家乌托邦主义空前盛行的年代，他也因作品对反乌托邦性的揭示使他失去了继续发表作品的权利。在经受了长期的肉体和精神折磨之后，1940 年，他在贫困中死去。在他所有剧目遭禁的十几年间，他仍在痛苦和孤独中坚持不懈地创作。最后的长篇小说《大师与玛格丽特》浓缩了布尔加科夫这段痛苦的心路历程，解构了莫斯科上空的国家乌托邦光环，揭露了当时社会的种种弊端，表现了布尔加科夫在现代性思想付诸实践时产生的负面效果的失望和愤怒。与此同时，小说又在莫斯科上空构建起了一个理想之地表达了对乌托邦精神的不懈渴求。

## 二、《大师与玛格丽特》中莫斯科的异化

《大师与玛格丽特》从反乌托邦叙事的角度描绘了莫斯科中的种种景象，对社会中出现的问题进行了揭示和批判，也寄寓着对人性与自由回归的深切期望，这一理想在莫斯科时空中体现得尤为鲜明。由于“莫斯科——俄罗斯的心脏”的独特地位（Федотов, 1992, p.56），莫斯科被赋予了承载神圣恩典的象征意涵，这使它在《大师与玛格丽特》中具有超越现实的意义。布尔加科夫不仅探索了无神论时代俄罗斯的精神境遇，也借由莫斯科中的异化景象反思将现代性方案无节制地加以使用造成的负面效果，重新诠释了首都莫斯科在历史进程中的角色。

《大师与玛格丽特》的故事背景设定于 20 世纪三十年代的莫斯科，高度发达的工业化构成了其社会的核心语境与基本社会景观。这时的莫斯科已经不再是以往俄罗斯文学中舒适温暖的“永恒之城”，而是变成了一个异化都市。在积极向上的表象之下，人心变得冷漠自私，毫无信仰。这座城市在传统宗教价值观经历“祛魅”之后，精神领域呈现出一种显著的真空状态。尽管一种以科学主义与历史进步论为内核的世俗信仰试图填补这一空白，但这种以工具理性为核心的新信仰，却无法回应个体关切的价值命题与生命意义问题。

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<sup>1</sup>С.Борис,Расшифрованный Булгаков. Тайны Мастера и Маргариты. М.:Яуза, Эксмо,2006.с.9.

小说用公寓、精神病院、地下室等不同的空间划分出了不同的层级，构建了一套空间编码系统，“通过空间层级的价值编码与能源分配的物质规训”（杨康，2025，p.57），将不服从秩序的个体驱逐至边缘，完成对主体的客体化与等级化规训。法国哲学家列斐伏尔（Henri Lefebvre, 1901-1991）把权力阶层所规划与主导的空间形态定义为“表象空间”（The Representation of Space）。（列斐伏尔，2021，p.51）强调表象空间是权力和资本的工具，它在强调效率、功能和控制的同时，也压抑了人的身体、情感和欲望。空间作为意识形态乌托邦的管制工具，试图将每一位公民纳入其所预设的科学与理性框架之中，并以一种高度秩序化的规训着人民的行为和精神。居民楼和疯人院等建筑正是这一治理逻辑的空间缩影。它们排列严整、编号明晰、管理有序，构成了一座福柯笔下的“全景敞视建筑”（panopticon）式的现代都市景观。（福柯，2003，p.224）这种建筑布局与空间组织，不仅是物理意义上的居住容器，更成为一种隐形的权力技术，持续地对居民进行着可见而不可确知的监视与规训。里面所居住的人们身为公民，行为举止都要合理恰当，在精神上要相信无神论。人们的言行一旦超出这个界限，就会被遭到治疗。小说中斯特拉文斯基医生即为此种理性权威的化身。他并非酷吏，言语平静甚至淡漠，他的诊断和注射、温水浴等治疗方法都显得温和与理智。他以冷静专业的姿态，通过“精神分裂症”的诊断及一系列医学化处置，将伊万对真相的追寻重构为病理症状。在此过程中，精神病学作为福柯所指的“权力-知识”复合体（同上，p.253），为体制压迫提供了科学合法性。这种控制技术不再依赖暴力惩戒，而是通过医学话语对个体经验进行系统性解构与再编码，最终目标在于将越轨者改造为符合系统规范的正常人。伊万在这样的治疗下产生了自我怀疑正是他被成功规训的标志。他被关押进精神病院这一“全景敞视建筑”之中，从一开始的反抗到产生自我怀疑，标志着权力通过科学话语实现了精神规训。最终伊万出院，成为一个看起来被治愈了的、无害的人。由此社会完成了自我净化，维护了官方乌托邦叙事的完整性和纯洁性。

这种粗暴的现代性方案所造就的民主社会最终形成了暴力和独裁的官僚统治，官僚统治中人的异化程度逐渐加深。科学和理性没有帮助人们走向进步，反而早就了非人化（обесчеловечивание）的世界。在现代性乌托邦方案中，标榜科学、理性和进步的现代性宏大叙事逐渐沦为了政治统治的工具。莫文协主席柏辽兹所掌管的“鲍里格耶陀夫之家”是苏联知识分子、官员和艺术家建造的集体住宅。其中聚集的“马索利特”会员们，以其镶金边的会员证闻名全城——那是一种普通人难以企及的身份象征。他们在此享用奢华餐厅，养得肥头大耳，生活悠闲自在，甚至借国家名义收受贿赂，中饱私囊，他们正是社会风气的代言人。布尔加科夫毫不留情地讽刺他们是“精明鬼、墙头草、马屁精”，（布尔加科夫，2024，p.91）并借书中人之口直斥：“他们最近太不像话，好吃懒做，酗酒无度，借用职权乱搞女人，什么都不干，再说也什么都干不了，因为他们对自己的职务一窍不通。就知道蒙骗上级！”（同上，p.95）他们中的一些人，写着嘹亮的诗歌，其作品已经被高度政治化的国家乌托邦话语所笼罩，盖过了活生生的人。他们嘴上假装关心他人的生活，实际上却对人们的命运毫不在意，毫无同情。在听闻柏辽兹的死讯之后，他们转头就可以继续投入舞池忘情地狂欢。他们毫不在意他人，只关心自己能不能继续享乐。因此，当伊万告诉他们杀死柏辽兹的真凶时，他们也只会认为伊万是受了刺激而发狂，不会有人想要去查明那个毫无意义的真相。他们作品中唱的那些空洞的幻想，早与现实中人民的生活相差甚远。在嘹亮的高歌背后隐藏的虚伪与冷漠，象征着现代莫斯科传统道德精神的消逝，也意味着物质利益使人变得非人化，个体逐渐沦为被动让渡自我的存在。

虽然国家乌托邦的实行使得社会保持了表面的平静，但是这种通过监控、谎言和暴力，持续地对人民的精神世界施加压力，使莫斯科的居民表现出普遍的麻木倦怠和道德的冷漠。面对柏辽兹的离奇死亡、剧院里的魔幻事件，人们迅速接受官方解释，选择不去深究。在一个随时可能被逮捕的环境里，对异常现象保持麻木，这是一种生存策略。在如此高压的莫斯科城市图景中，道德的沦丧和精神的虚空成为了更严重的问题。小说中莫斯科去宗教化政策把整个社会变成一个信仰的沙漠，里面居住的居民大多不再有任何信仰和敬畏，诗人伊万·无家汉在开篇时也是这个体系中的一员。作为著名杂志社的编辑，柏辽兹要求伊万写一首反宗教的诗歌，伊万在诗歌中需要根据要求对耶稣“极尽抹黑之能事”（布尔加科夫，2024，p.5）。当柏辽兹和沃兰德就有无耶稣这件事情进行了讨论时，前者坚称“我们不信上帝”，并宣称在莫斯科和国内，人们现在信仰的是理性与科学。但是，“以无求与外的人本主义为基础的现代道德秩序存在着不稳定性，而超验性缺席的社会在满足人们灵性渴望时常常存在问题。”（俞航，2021，p.161）工具理性的悲剧正体现于此，它可以服务于任何目的，包括那些毁灭性的目的。历史上种族灭绝和大屠杀的暴行已经证明了，“单单工具理性的规则”如何将那些美好的乌托邦理想变为排他的根源，因为“在那些规则中没有任何东西可以将‘社会工程’采取的大屠杀式的手段视为不适当”。（鲍曼，2011，p.24）当个体的道德责任被分工稀释，他的内在道德评价就会被程序正当取代，导致道德的冷漠。小说中的作家们仅仅把写作当作一份工作，成为意识形态的传话筒；莫加雷奇为了住进大师的房子而写了一封告密信诬告大师；剧场中人们为了争抢金钱推搡厮打。人们聚焦于眼前的利益，难以察觉在思想遥不可及的深处，道德和信仰的悄然消逝。二十世纪初著名的宗教哲学家沙霍夫斯基（Шаховской）在其《与俄罗斯人民的对话》（Беседы с русским народом）中指出：“人类在技术和社会方面取得进步的同时，却未能在增进善良、光明和精神智慧方面取得同等热忱的进步。”（Шаховской，1998，p.96）布尔加科夫有力地证明了当代人总体上与过去的人并无二致，且对于前者而言，工具理性成为了意识形态统治工具，反而阻碍了人的道德和精神的发展。

布尔加科夫通过对莫斯科城市和人心的揭露，对当时社会所推崇的乌托邦理想进行了深刻的祛魅。与此同时，作者通过一场大火焚烧尽莫斯科的一切，表达了重建伦理道德体系的理想。小说结尾大火烧毁了大师的地下室，也焚烧尽了他在莫斯科受到的种种痛苦，这象征着魔幻力量对污浊现实的彻底清扫，是从此岸过渡到彼岸所必须经历的“通过仪式”。大火的焚毁象征着与过去的彻底决裂，在决裂后的废墟上，开启了一种面向未来的新可能。

### 三、莫斯科文本的救赎维度：永恒的家園

布尔加科夫并未止步于解构，而是通过笔下的核心人物，积极探索人在扭曲城市空间中的生存姿态与精神出路，从而在莫斯科文本的谱系中，完成了一次对心灵自由的回归与城市精神内核的再造。作为布尔加科夫莫斯科小说的最后一部，《大师与玛格丽特》体现出一个怀揣俄罗斯灵魂的知识分子对社会负有的强烈责任感。

小说的最后，大师与玛格丽特选择彻底离开莫斯科进入“永恒的家園”，这正是一种精神层面的复归。大师在莫斯科所经历的种种精神磨难，实则成为他完成内在漫游、实现主体觉醒的必经之

路。通过阿扎泽勒所递上的毒酒，大师与玛格丽以肉身的死亡换取了灵魂的彻底自由，从而进入一个被称为“永恒的家園”的超越性境界。这里的“永恒的家園”是一个调和尘世与彼岸、历史与永恒、个性与救赎的所在。它以其绝对的宁静与自由，与现实中的莫斯科构成参照。可被视作历代知识分子对真理与自由不懈追求的理想投射与空间化象征。

在《大师与玛格丽特》中，三大世界（古老的耶路撒冷、现代的莫斯科和沃兰德的异界）构成了一个稳固的三角结构，呼应了哲学家弗洛连斯基（П.А.Флоренский）的“三位一体”（Троица）哲学。弗洛连斯基在《真理的柱石与确证》（*Столп и утверждение истины*, 1914）中指出，“真理的主体是三个位格的关系。”（Флоренский, 1914, p.49）三个位格都是真理的不同侧面，且“两个‘位格’之间的关系只能通过第三个来调和。”（同上, p.50）他认为，一切事物都是精神对象的表现，“本质在现象中具有可具体表现性”，“这个表现的中介就是象征”（徐凤林, 2006, p.173），以象征为中介可以连接两个世界。一个是感性现实，是物理现实；另一个是与此相符的意义和本质。两者融合成为象征，象征集自然之物和精神之物于一体。“凯撒王国”莫斯科和“精神王国”耶路撒冷通过“永恒的家園”连接，“永恒的家園”正是本质世界于现象世界中的象征。“大师与玛格丽特的最后避难所虽如尘世般舒适，却显然属于永恒——位于天地交界处，真实与虚幻空间相接的平面之上。”（Борис, 2006, p.497）它并非脱离现实的幻境，而是残酷的莫斯科和永恒的光明之间的中介和象征，它见证了三界的同一，是真理的显形。

三者之间的同一并不是静态的同一，而是动态的生成过程，“在另一位的身上，通过自我贬抑，我的存在方式从罪恶的自我主张的势力下找到‘救赎’，从希腊思想家所言的孤立存在的罪恶中解放。在第三者中，这个得到救赎的形象被‘荣耀化’，确立了不朽的价值。”（Флоренский, 1914, p.92）在莫斯科的现实世界中，大师的性格是懦弱、恐惧、被社会抛弃的，所以伴随着雷雨，沃兰德用毒药终结了大师的尘世生命，这一举动完成了大师人格的萃取，将其本质从尘世的奴役中彻底剥离出来，灵魂才能前往“永恒的家園”。准备前往“永恒的家園”的大师和玛格丽特决定最后去见一面疯人院中的伊万，伊万告诉大师从今往后想写一篇关于彼拉多故事的续集。这一雷雨时刻是三界交叠的时刻，人物在与精神体验中实现精神的安宁。这一“永恒的家園”成为了艺术、真爱与宽恕的终极归宿，让不同的人物都确立了其永恒的价值。

布尔加科夫并未宣判莫斯科的彻底沉沦，而是在其僵化的规训空间内部，巧妙地撕开了一道裂隙，构筑了一处可供精神喘息的空间。在大师和玛格丽特走后，莫斯科似乎又重新回到了正确的轨道，所有超自然事件都被赋予一套合乎逻辑却荒诞不经的官方解释。魔术表演的混乱被归咎于“集体催眠术”；格里鲍耶陀夫之家的大火是因为烟囱通风不畅；任何试图讲述真相的人都会被斥为疯子。然而，伊万·无家汉的存在，构成了对这一普遍遗忘的反抗。伊万并未选择逃离莫斯科，而是经历了一场内在觉醒。他从一个编写官方反宗教诗歌的符号化文人，在大师的精神启迪之下，逐渐复苏独立思考的能力，蜕变为承载记忆与真理的历史学者。每逢月圆之夜，他不再焦虑困顿，因为他步入了梦境中的“月光之路”，与彼拉多和大师相遇，在精神漫游中获取内心的安宁。这一梦境时刻，是古代耶路撒冷、现代莫斯科现代与沃兰德的异界之间的壁垒被短暂打破的时刻，是伊万获得永恒安宁的时刻，也是属于伊万的永恒家園。

值得注意的是，“永恒的家园”是由沃兰德提供给大师的。象征光明的利未·马太并未接纳大师进入光明，而是认为：“他不配得到光明，他只配得到安宁。”（布尔加科夫，2024，p.404）作为邪恶化身的沃兰德却被大师和玛格丽特打动，所以拯救了他们。小说中沃兰德和利未·马太形成了对抗：马太不承认作为邪恶化身的沃兰德的存在，后者则用“影本来自物和人”来进行反驳（同上，p.402），揭示出利未·马太的善必须在和沃兰德的恶的对比中才有意义。“善与恶是永恒而无法割裂的生活矛盾，沃兰德就是这一矛盾的化身”（梁坤，2016，p.237）。基督教文化和斯拉夫民族文化的滋养，使布尔加科夫形成了善恶并立的认知；恶的存在也时刻激励着人们向至善走近。正如别尔嘉耶夫所说“恶的经验使人朝向另一个世界，唤起对这个世界的的不满”（Бердяев，1994，pp.111-112），世界上存在恶，证明这不是一个完美的世界，并昭示着还存在着一个比现存世界更好的世界的可能。

对于承载着布尔加科夫反乌托邦精神的莫斯科也是如此，如果没有现实生活中莫斯科的压迫，那么大师通往的那个“永恒的家园”就毫无意义。反乌托邦的“反”既是相反和反对，也是返归和复归。反乌托邦和乌托邦一直如影随形，反乌托邦的存在推动着乌托邦的发展，它在揭示乌托邦构想在实践过程中的不合理之处的同时，也在尝试把乌托邦思想从极权主义中拯救出来，拯救着乌托邦思想本身的美好希望。《大师与玛格丽特》不仅是反乌托邦的实验，更是一次对城市精神重绘。布尔加科夫在莫斯科上空构筑的那个“永恒的家园”，既是反乌托邦精神对于现实社会的批判，也是对乌托邦本源的复归，揭示了人们对美好世界的梦想。它提醒我们，即使在一片看似封闭的土地上，心灵仍能通过“三”的法则，穿越时空的壁垒，在闪电交织的瞬间，触达自由与完整的永恒。

### 结语

小说的最后玛格丽特与大师去往的“永恒的家园”体现了布尔加科夫对未来的世界的希望，他以作家高度的历史责任感，写出了时代的病症，捍卫着俄罗斯文学宝贵的精神资源。大师在魔王沃兰德与忠贞的玛格丽特的帮助下，逃离这个尘世，去往一个“永恒的家园”。这个家园能带给大师内心的宁静和永恒的心灵自由。大师的经历正如布尔加科夫人生经历的“镜子”。他们都身为作家，都为了心灵的自由而孤军奋战。官方的批判让他们痛苦万分，但是即使如此，他们内心的召唤和使命感却让他们心甘情愿写下这篇小说，在苦难过后把最真挚的情感和精神献给人民。促使他们写作的，是一种俄罗斯知识分子特有的“弥塞亚”精神——使命感，这也是布尔加科夫对传统俄罗斯精神回归的信号。他肩负着俄罗斯知识分子的必然使命，探寻人类走出痛苦困境之路，摸索构筑幸福生活的存在模式。此种理想虽如《大师与玛格丽特》结局中所呈现的那般缥缈遥远，但它依然构筑起一个具有深厚乌托邦意涵的精神性栖居之所。此类空间虽往往诞生于现实之“恶”、混乱或压迫之中，却最终借助爱与心灵的力量，实现对现实苦难的救赎。

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## 《遥远的向日葵地》的和谐话语分析

王镕臻(Wang Rongzhen), 陆志军(Lu Zhijun)

**摘要:** 随着学界对生态语言学的研究和发展, 具有中国特色、应用于中国语境下的和谐话语分析理论体系已经初步成形。同时, 在生态文学蓬勃发展的良好态势下, 新疆生态文学作家李娟以其飘逸随性的文风和独具特色的写作对象脱颖而出。本文拟将李娟的散文集《遥远的向日葵地》置于和谐话语分析理论框架下, 深入分析《遥远的向日葵地》的假定原则和语言系统, 以凸显该作品的文学内涵和生态理念, 展现其特有的草原生态形象。

**关键词:** 生态文学; 《遥远的向日葵地》; 和谐话语分析; 假定原则; 语言系统

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**Title:** Harmonious Discourse Analysis of *Distant Sunflower Fields*

**Abstract:** With the research and development of ecolinguistics, the theoretical system of Harmonious Discourse Analysis with Chinese characteristics and applied in Chinese context has been preliminarily formed. At the same time, with the flourishing development of ecological literature, Li Juan, a writer of ecological literature from Xinjiang, stands out for her elegant style and unique writing objects. This paper intends to analyze Li Juan's prose collection *Distant Sunflower Fields* under the theoretical framework of Harmonious Discourse Analysis and make a deep analysis on its assumption, principles and language system, so as to highlight the literary connotation and ecological concept of the work, and at the same time to show its unique image of grassland ecology.

**Keywords:** Ecological literature; *Distant Sunflower Fields*; Harmonious Discourse Analysis; Assumption and principles; Language system

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## 引言

随着工业革命的持续推进和科学技术的不断更新,人类对于客观世界的主导权逐渐变大,“人类中心主义”的概念应运而生。“人类中心主义所寻求的是一种基于人类自身权利要求的生态伦理,即以‘我’(人类)为‘体’、以自然为‘用’的‘主—客关系伦理’”(李宜强,2023,p.31)。该理论的盛行加剧了人类和自然界的关系的失衡。除此之外,“人类世”(anthropocene)(Crutzen & Stoermer, 2000)概念同样主张工业革命后强大的人类力量对地球造成的巨大影响,因为“人类活动正成为影响和改变地球的主导力量”(黄国文、肖家燕,2017,p.15),这种负面影响大大阻碍了人与自然和谐共生的进程。而且,现实的需求使得人文学界催生了包括生态语言学在内的某些生态友好理论,集中对“人与自然和谐共生”的课题进行研究和讨论。当前,国内生态语言学界的部分学者主张在“韩礼德模式”下结合中国国情进行生态话语分析(杜小涵、张云峰,2024),其中的代表性理论是赵蕊华、黄国文(2021)提出的和谐话语分析(Harmonious Discourse Analysis)。

在西方经典的生态作品《寂静的春天》《瓦尔登湖》《野性的呼唤》等涌现后,当代中国文坛掀起了一股生态文学热潮。其中,以李娟等作家为代表的新疆生态文学作品因其丰富复杂的自然生态和多元独特的地域文化,已然成为符合中国形象的特色生态文本,同时彰显了边疆异域的草原生态形象(汪树东,2022)。《遥远的向日葵地》(2017,花城出版社,)以其突出的地缘关系为纽带,集中观察独具特色的戈壁、荒漠、田地等意象,勾勒出极具新疆特色的自然生态和人文生态,以灵动的笔风自然流露出生态友好理念和个人生态自省。该作品在2018年荣获鲁迅文学奖,为新疆文学的发展作出颇大贡献,对国内生态文学发展具有一定的导向作用。

基于以上研究考量,本文拟将新疆生态作家李娟的散文集《遥远的向日葵地》置于和谐话语分析(赵蕊华、黄国文,2021;陆志军、王镕臻,2026)的理论视角下进行研究。具体而言,本文将采用和谐话语分析理论框架的一个研究假定和四个原则以及语域三要素作为话语分析切入点,深入剖析《遥远的向日葵地》及其构建的具有新疆地域特色的草原生态形象,为探索具有中国特色、适用于中国本土的生态话语分析模式,展现中国生态形象提供一定的参考借鉴价值。

## 一、和谐话语分析

### (一) 理论背景

全球范围内的生态问题推动了各学科的“生态转向”(Arran, 2015)。20世纪70年代兴起的生态语言学是涉及生态学和语言学的交叉学科或跨学科的语言学领域,而生态语言学的一个重要研究论题则是从生态的角度进行话语分析,即生态话语分析(eco-discourse analysis)(黄国文,2022, pp.27-28)。在生态语言学的视角下,国内外学界的研究都正在经历由“知”到“行”的“认知转

向”，以促进该领域的知行合一（梁颖，2022，p.3）。黄国文（2016，p.11）所倡导的“不但要进行语言学思考（think linguistically）和生态学思考（think ecologically），而且要进行生态语言学的思考与行动（think and act ecolinguistically）”恰好与此趋势互相印证，以推动人与自然和谐共处为目的。作为生态话语分析多元化视角发展的结果，“和谐话语分析在中国的特定语境下提出，以问题为导向，依托中国的发展背景，传承中国的哲学思想”（赵蕊华、黄国文，2021，p.43），能够促进中国文本和中国特色生态理论的融合，推进人文生态和自然生态的共同发展，凸显生态友好的主题。

## （二）理论框架

赵蕊华、黄国文（2021）提出的和谐话语分析理论框架包括“假定原则”和“语言系统”两部分。和谐话语分析理论以系统功能语言学为理论基础，以中国传统儒道思想为理念根基，围绕“以人为本”假定和良知原则（the principle of conscience）、亲近原则（the principle of proximity）和制约原则（the principle of regulation）展开。陆志军、王镕臻（2026）在赵蕊华、黄国文（2021）提出的和谐话语分析理论框架基础上增加了共生（mutualism）这一原则。“语言系统”则依据语域三要素展开话语分析：语场（field）、语旨（tenor）、语式（mode）。语场用来分析思想、态度、行为的合理性；语旨用来分析身份、地位关系的权威性；语式用来分析传统和新媒体两种渠道的有效性。

一个假定与四个原则互为支撑，构成了和谐话语分析理论框架的“假定原则”。“以人为本”的基本假定强调人的社会责任、优先保障人的权利的基础上，爱护和保护天地万物（黄国文，2017，p.884）。良知原则“是对性体的自觉，是道德判断的主体”，是以人为本的自觉条件；亲近原则是自然中各种生命形式的一个由近及远、从亲到疏的序列，是以人为本的具体表现；制约原则包括个人的良知和修养的制约、社团“乡规民约”的制约和社会、机构的法制制约，是以人为本的限定条件（赵蕊华、黄国文，2021，pp.45-46；黄国文，2017，pp.884-887）；共生原则突出表达“人类”和“非人类物质”在施事能力和叙事能力上的统一和平等，是“‘以人为本’基本假定在保障人本地位、强调人的主动性和社会责任感的基础上扩大的话语主动权范围”（陆志军、王镕臻，2026）。语篇发生学下的假定原则与系统功能语言学中的语域和元功能思想相互关联（赵蕊华、黄国文，2021，p.48），使得“假定原则”和“语言系统”两部分得以紧密结合。

## 二、《遥远的向日葵地》的假定原则分析

生态文学归根究底必须依托于特定的生态环境和条件。而要创作出具有代表性、独立性、创新性的生态文学作品，则必须建立在特色鲜明、个性显著的自然生态上。新疆坐拥独具一格的地形地势条件，因而孕育出多样性极强的自然生态系统，为文学创作者提供了丰富而生动的素材。本节基于和谐话语分析理论框架（赵蕊华、黄国文，2021；陆志军、王镕臻，2026），依据一个假定和四大原则对《遥远的向日葵地》的草原生态形象展开论述，从“以人为本”假定分析《遥远的向日葵地》的生态核心，从良知、亲近、制约、共生四大原则分析《遥远的向日葵地》的生态自觉、生态有序、生态管理与和谐共生。

### （一）“以人为本”假定的生态核心

根据黄国文（2017，p.884），“以人为本”援引自管仲，即“以人民为本”。在生态语境下，

也即“在人与动物的选择上，首先选择的是人”。人是环保主体，发挥其主体能动性对生态负责，“既作为施动者承担人的责任、开展人的行动，也作为受动者获得人的福利”（赵蕊华、黄国文，2021，p.48）。

在《遥远的向日葵地》中，李娟自始至终以人为主体的进行阐发，体现“以人为本”的生态核心。在《水》一篇中，作者描绘了地广人稀的边疆里，有限的水资源和人类及其他生物生存需求之间的尖锐矛盾，在这种客观条件约束下人类起到关键的承接作用。当珍惜的水资源出现时，人类首先受益，之后便作为施动者发挥生态责任，将水资源进行再次分配，使得从中受益的不只是人类——葵花地被喂饱了，农田里的作物得到了灌溉，就连鸭子、小狗也能够洗个大澡……可见，在这个草原生态话语中，人类是生态的引领者，“人类首先考虑的是自己的生活”（黄国文，2017，p.883），紧跟其后则发挥其环保主体的能动性承担责任、开展行动、对生态负责。

## （二）良知原则的生态自觉

黄国文（2017，p.884）在对良知原则进行阐释时，引入了王阳明对此概念的理解，即“良知是对性体的自觉，是道德判断的主体”，以强调源于本心的对事物价值的判断。在《遥远的向日葵地》中，李娟着重叙述阿勒泰地区草原生态的背景，通过对“向日葵地”的细致描述拓展到整个地区草原生态形象的展现。《遥远的向日葵地》中多处通过人类的生态自觉体现和谐话语分析的良知原则，并指向积极的草原生态形象。比如，在《繁盛》一篇中，作者以第一人称的心理活动细致刻画了边地百姓的生态自觉。该篇从“我”的视角出发，由眼前之景追溯到一百多年前扎根此地的农人，描述“我们”的先辈和这片土地最初的相逢和相处，农田、草地、鱼群、河流……万生万物在初始时期和谐共处，尽显自然之美。继而，作者又将自己置于先辈的视角进行思考，“我们”——这片土地的传承者——成了他们辛勤劳作成果的破坏者。曾经生生不息的绿洲被“我们”损毁成为草木不生的荒漠，回到现实的“我”既心痛又愧疚，这种心痛和愧疚是人类发自本心的一种生态良知。这种良知尤其体现在母亲面对旱灾和病虫害时日夜忧心的一幕，“她面对的不但是财产的损失，更是生命的消逝”，此时此刻，人类对于自身利益的追求不再急切而不择手段，转而对自然中的生命产生浓厚的关切，体现了人类的生态自觉。

近年来，对于阿勒泰地区的草原牧场保护行动热火朝天地展开，新疆相关领导在保护区视察时强调“‘资源开发可持续、生态环境可持续’的发展理念，并指出：经济发展与生态环境保护发生冲突时，经济发展必须让位于生态环境保护。”（陈祥军，2019，p.178）可见，从上到下的生态意识宣传、生态举措实施已经不断大力推进，人类的生态良知不断强化，推动了新疆阿勒泰草原地区生态文明建设，也为草原生态形象的建设添砖加瓦。

## （三）亲近原则的生态有序

黄国文（2017，p.886）提出，亲近原则强调自然生命中各种生命形式的“由近及远、从亲到疏”的序列。人和人、人和其他生物、人和自然之间的关系是生态领域恒久的中心议题，也是“以人为本的具体表现”。

在《丑丑和赛虎》一篇中，作者将陪伴人类周围的诸多动物——刻画出来。两只小狗、鸡鸭兔以及“破坏”庄稼的鹅喉羚，让我们的牧场生活不再单调。而“我们”和这些生物之间的远近亲疏，恰好对应了亲近原则中的生态有序。小狗作为人类最亲近的伙伴，在距离、情感上占据更优先的次

序，顺下排列则是鸡鸭兔，再次则是屡次偷吃庄稼、被视为与人类利益处于“对立”关系的鹅喉羚。这种生态次序鲜明排列，又都共同居于“人”这个中心位置之下，以此体现有序的草原生态形象。

阿勒泰地区西北部的吉木乃县有着优良的生态环境，各种珍稀野生动物如灰鹤、大雁、白鹭、赤麻鸭等国家级保护动物在此繁衍生息（引自《阿勒泰新闻网》2024年1月26日）。在这里，人类与野生动物、与整片自然的亲近性达到一个高峰。除此之外，该地雪山常年冰封、草地丰茂，吸引了一大批游客至此，带动徒步、滑雪、探秘等各类旅游业的发展，真正达到了“生态富足惠泽一方百姓”的效果。因此，以阿勒泰地区为代表的草原生态形象以其生态有序、以人为本的鲜明特点得以显著体现。

#### （四）制约原则的生态管理

赵蕊华、黄国文（2021）在诠释制约原则时着重强调了三大层面，即个人、社团和国家的制约。不管是发自个人的良知道德，还是乡规民约乃至国家法律，都是对我们生态行为的具有权威性的有力约束。

《遥远的向日葵地》中《力量》一篇用真实的笔触刻画了人类作用下土地被破坏、被侵蚀的遭遇。一方面，她大力歌颂“土地的力量”，赞美其牺牲自己为人类产出丰厚的果实。另一方面，作者又巧发奇中，在抒发个人内心思考的同时极力指责并呼吁停止土地破坏的行为。她直面那些因为人类不合理利用而“死掉的土地”，并由此联想到阿勒泰一条因污染退化成沼泽的河流，严厉指责人们盲目追求利益、无视耕种规则、一味向自然索取的不当生态行为。她的反思是对自身生态行为的约束和警醒，也是对他人、对社区生态行为的忠告和制约。

2011年，中华人民共和国生态环境部推出《国务院关于促进牧区又好又快发展的若干意见》，着力处理好牧区、牧场、牧民、牧业等的关系，推动草原生态更好发展。其中，第十条强调对草原监督管理的强化，要求对非法征用、乱开滥垦、乱采滥挖等破坏草原生态的行为进行严厉查处，以保护草原生态发展的结果。这是通过国家主体明确制定规则条例来进行的生态管理。通过多主体的参与，生态管理才得以有序推进。国家通过制定法律或相关条例对草原生态进行管理、制约，个人和社区也利用道德的约束力和乡规民约来践行生态准则，共同构建山水林田湖草沙一体化保护和治理的草原生态保护体系。

#### （五）共生原则的和谐共生

从上文可知，在“以人为本”的假定下生态自觉、生态有序、生态管理三个要素在亲近、良知、制约原则的指导下有机结合、互相照应，共同构建了和谐共生的草原生态形象与和谐生态理念。

“和谐”是基于中国传统儒道思想形成的概念，围绕孔孟的“仁民爱物”和老庄的“天人合一”思想，注重生态关怀和和谐生态的构建。“共生”是不同生物间互利互惠的共存关系。赵蕊华、黄国文(2017, p.16)提到，“‘和谐’已经成为中国发展的关键词，它强调各种关系的和谐一致”。

“共生”概念指的是不同生物之间的互利共生关系，正是基于上述中国传统哲学思想的结晶，突出地表达了“人”与“非人类物质”在自然中发挥作用和共享资源能力的统一性和平等性。这是一种在“以人为本”的基本假定下对人与其他生物和谐共处的强调，它保证人的地位，强调人的主动性和社会责任感。例如，《关于乌伦古》一篇范围甚广地提及“非人类物质”，从“羚羊”“乌鸦”

“水獭”“芦苇荡”，到草丛中的鸟卵和湖底的大鱼，都同人类一起享受乌伦古河带来的一切资源，共同依托于此处“庇护地”和“避难所”。“我”走在这片大地上，感叹这片土地的包容，以及土

地上人类和非人类物质的相互调节和互利共生。在阿勒泰的世界里，“自然不再是沉默、被动、等待被利用的‘客体’，而是充满生命、历史与智慧的‘主体’”（熊鸿妍、邹涛，2025，p.197）。

### 三、《遥远的向日葵地》的语言系统分析

根据和谐话语分析理论框架（黄国文、赵蕊华，2021），本节将从三个方面分析散文集《遥远的向日葵地》的语言系统：从语场探究过程的合理性，从语旨探究关系的权威性，从语式探究渠道的有效性。同时，亲近、良知和制约三大原则围绕着“以人为本”的基本假定，恰好照应了系统功能语言学的语域三要素。

#### （一）语场——过程——合理性

在系统功能语言学视角下，及物性系统反映了说话人对主客观世界的经验，其过程类型主要分为六类：物质过程、行为过程、心理过程、言语过程、关系过程和存在过程（Halliday, 1994）。

《遥远的向日葵地》中的《石头》一篇以小句的形式构成了极具生态特点的及物性系统，这六个过程有助于对该文本进行和谐话语分析。而和谐话语分析框架的良知原则正好对应了语域三要素中语场这一过程，并突出该生态话语文本的合理性。通过人工手动标注及核对，及物性过程类型及分布情况统计结果如表 1 所示：

| 过程类型<br>(Types of<br>Process) | 关系过程<br>(Relational<br>Process) | 心理过程<br>(Mental<br>Process) | 物质过程<br>(Material<br>Process) | 存在过程<br>(Existential<br>Process) | 行为过程<br>(Behavioral<br>Process) | 言语过程<br>(Verbal<br>Process) | 总计<br>(Total) |
|-------------------------------|---------------------------------|-----------------------------|-------------------------------|----------------------------------|---------------------------------|-----------------------------|---------------|
| 频数<br>(Frequency)             | 6                               | 4                           | 4                             | 2                                | 1                               | 1                           | 18            |
| 百分比<br>(%)                    | 33.33                           | 22.22                       | 22.22                         | 11.11                            | 5.56                            | 5.56                        | 100           |

表 1：及物性过程类型及其分布

Figure 1: Types of transitive processes and their distribution

第一，关系过程指的是对参与者之间关系的描述，强调事物的特征，其语义配置为“载体+关系过程+属性”。在《石头》篇中，有一处关系过程表述为：“作为荒野中的存在，戈壁玉的确是美丽的，甚至令人炫目。”该句阐明载体‘戈壁玉’（也就是篇名中的“石头”）及其属性‘美丽’‘炫目’，同时强调这种石头是‘荒野中’特有的存在，突出它在这种特殊地缘环境中的珍贵价值。

第二，心理过程指的是人类的情感认知过程，尤其是对生态现象的态度，包括参与者、感知过程和感知现象。比如，“可是在荒野中种植葵花和在荒野中挖掘石头有什么不同呢？都是掠夺。用挖掘机掠夺，用大量的化肥掠夺。紧紧地攥住大地的海绵，勒索到最后一滴液体。”作为感知者，作者批判了荒野中自然资源被人类无尽利用这一生态现象，认为这些行为都是对自然的掠夺。这是作者对生态破坏的自省和反思，并指责人类的贪婪自私，饱含对自然的痛惜和保护自然的呼吁。

第三，物质过程指的是对人类生态行为的强调，主要由动作者、动作过程、目标和发生环境组成。比如，“他们把车停在公路边，沿着公路上下行走，碰运气一般翻找大地表层的石头。”“他

们越走越远，越来越深入。搜罗遍了大地的每一个角落。”这几句描述了人类在新疆的荒野中几近疯狂地挖掘戈壁玉以谋利的恶性生态行为，谴责了人类对自然的卑鄙剥削。

第四，存在过程描述负面自然现象的发生，包括存在物、过程和环境。比如，“一边是戈壁玉成山成海的盛况，另一边，却是大地的千疮百孔”，该句描绘了荒野中戈壁玉被过度开发而造成大地受损的生态现状，指出存在物戈壁玉的‘成山成海’之景，同时与环境——‘千疮百孔’的大地——形成鲜明的对比，以此突出生态被严重破坏的景象。

第五，言语过程用来突出生态保护规则和要求，包括说话者、过程、受话者和讲话内容。在“一位年长的牧人痛心地说：‘捡石头！都是捡石头的人害的！’”一句中，牧人作为说话者对所有剥削资源的人类指出‘捡石头’对自然环境的破坏，点明旱灾成因，以警醒人们停止这种破坏行为。

最后，行为过程强调同一参与者所做出的生理行为，如：呻吟、受惊、哭喊等。“失陷绝地的蚂蚁们不知所措。一个个保护着蚁后，衔着蚁卵，面对眼下没完没了天翻地覆的世界，不知逃往何处。”这一句是蚂蚁这一行为者在遭到挖掘机破坏家园后所做出的一系列生理反应。通过‘不知所措’‘保护’‘衔’‘逃’等动词表现它们的无助和流离失所的痛苦，间接凸显了人类破坏生态的严重后果。

前文通过及物性系统展开了良知原则指导下生态话语的分析，体现出“向日葵地”地域要素中人类生态自觉的整体形象。作者以关系过程指明戈壁玉这种‘石头’的独特地位和价值，再通过物质过程明确人类的生态行为，还通过存在过程和行为过程体现该生态行为所造成的影响，最后通过言语过程和心理过程凸显不同主体对于生态现象的反思和对生态保护的呼吁、强调。由此，六大及物性过程与和谐话语分析的良知原则和“以人为本”的假定相互照应，共同体现了新疆特色生态话语研究的合理性，及其对和谐生态发展的积极意义。

## （二）语旨——关系——权威型

语旨指向“交际双方的社会角色关系以及语言活动的功能基调目的”（魏军丽、王红阳，2012），主要由语气、情态、人称系统构成，并与和谐话语分析中的亲近原则相互对照，以突出语言的权威性。本小节以《沙枣》一篇为例，运用实指语气和人称系统体现该和谐话语的生态友好性。通过对作品语旨的分析，指出生态主体的身份和地位，通过亲近原则指导话语的权威性，构建草原生态中生态有序的形象。

### 1. 实指语气（indicative mood）

在《遥远的向日葵地》全书中，这种以实指语气来进行的叙述随处可见。以《沙枣》一篇作为代表，其中实指语气共有84处，占全篇的88.42%。本篇细致描绘沙枣这种特殊果实及其周边环境，集中体现对该生物乃至周边动植物和自然环境的赞美和热爱。例如“穿行在沙枣林中，身边果实累累，像葡萄一样一大串一大串沉甸甸地低垂，把树枝深深压向地面”一句用实指语气将沙枣成熟后丰美的果实挂于树梢，引人垂涎的景象生动地展现出来。

### 2. 感叹语气

《沙枣》一篇为了直接表达强烈情感，共出现了8处感叹语气，占全篇的8.42%。“此地的麻雀何其富足！”“何止是麻雀们的富足，也是我的富足啊。”以这两处为例，作者在描写麻雀和人类共同享用丰厚的沙枣果实时，使用了强烈表达感情的感叹语气，‘何其’‘啊’等助词以及感叹号‘！’的使用大大加重了赞美语气，显示出这种可口的果实已成为动物乃至人类青睐的对象。

### 3.人称

作为一部“非虚构”散文集，作者李娟全程采用第一人称的叙述视角，通过强调作者的在场性，让作者以介入的姿态深入生活并探求生活本质，从而向读者呈现其精神世界（叶怡麟，2022）。正是这种叙述策略毫发无遗地流露出作者欲以表达的对沙枣的赞美和喜爱之情。同时，篇中穿插了不少第三人称代词，如“麻雀”“狗”“乌鸦”“沙枣花”等，这些代词将除人类之外的其他物种也纳入到此话语中，从而营造出和谐美好的生态景象。

### （三）语式——渠道——有效性

语式指向话语的传播途径。《遥远的向日葵地》作为优秀散文作品是通过传统媒介的途径进行传播，而和谐话语分析理论框架的制约原则正是探索语式从而突出话语有效性的方式。语式即语言交际形式，主要可从词汇选择和句段式展开分析。本节将以《遥远的向日葵地》中的《关于乌伦古》和《大地》两篇对话式展开剖析，体现制约原则指导下生态话语的有效性，并且将进一步以生态管理为要旨，表现阿勒泰地区的草原生态形象。

#### 1.词汇

生态词汇的多次提及极致体现了生态议题。在《关于乌伦古》篇中，“乌伦古河”作为一个地域特色鲜明的生态词汇成为中心叙述对象，仅“河”这一词语就在本篇章中出现了13次。同时，该篇还多次提及其他相关生态词汇，例如：“冰川”“河湾”“巨湖”“芦苇丛”“沙滩”等等，这些生态词汇共出现了17次，形成了一个生态词汇群，绘制出阿勒泰地区的基本地貌和当地人民的生活环境。除了客观存在的地形地貌元素，作者还提及“羚羊”“乌鸦”“水獭”等生物，它们共同生存在这片土地上，与人类享有平等的地位、共享平等的自然资源。直至结尾，作者将视线拉回人与人，即“我”与“赶牛的红衣妇人”间的互动，也借此使得自然、动植物和人形成了同一生态圈中共生共存的命运共同体。

除了生态词汇的应用，最高级词汇的加入也大大加重了作者的情感表达。在全篇首句“乌伦古河是一条在最需要河的地方流过的河”中，“最需要”一词通过最高级的使用体现出人类生产生活对其的极大需求。之后，“它是最后的一道界线。是向南面荒野敞开的最后一处庇护地，最后一个避难所”，连续三个“最”的排比用法突出其地理位置之重要，也间接体现了自然内部的自我调节功能，暗含作者对大自然之神奇的感叹以及对自己生长的这片净土之热爱。

#### 2.句式

作为一部散文集，《遥远的向日葵地》以其灵动多变的句式变化为特点，在排比等修辞手法的使用上也十分瞩目。此处依旧是对《关于乌伦古》一篇进行的例证。“它是最后的一道界线。是向南面荒野敞开的最后一处庇护地，最后一个避难所。”“所有时刻里所有远方的所有羚羊，都成群结队奔跑在去向他的途中；所有乌鸦静静栖停河中央的矮树上；所有水獭在河湾处的浅水里探头张望。”在描绘乌伦古河时，这两个排比句式在文章开头独占一隅，通过三个“是……最后的……”句型的判断句点明了乌伦古河在该地举足轻重的地位和作用。其次，又通过三个“所有……”强调乌伦古河对此地生态的绝对影响力。此类句式一方面使得散文韵律优美、节奏感强，另一方面增强了语气和情感，富有感染力。

#### 3.段式

作为语篇分析的重要手段之一，“主位（theme）推进理论在语篇的构建、发展以及建立语篇连贯的各个环节起到重要作用”，有助于读者认清语篇内部句子及段落之间的“内在联系和信息流动

规律”（牛梦薇、李雪娇，2023，p.91）。主位（Halliday, 1967, p.212）作为话语信息的起点，通常指向句中位于第一位置的元素。韩礼德提出四种主位推进模式，即：放射型模式、聚合型模式、阶梯型模式、交叉型模式。本节将依此对《大地》一篇中相关段式展开阐释。

“花盆里的种子，总是手持盲杖般前行，总是四顾茫然，小心地伸出触角又反复缩回。它侧耳倾听。整个白天深深潜伏，到了夜里才小心地分裂细胞。”“而大地中的种子们无所畏惧，你呼我应，此起彼伏，争先恐后蔓延根系，横冲直撞，呼呼拉拉，沸沸扬扬。”这两个句子的主位统一指向‘种子’，分别构成了一致的动作发出者和信息出发点，属于放射型的主位推进模式，使描绘更加深入。前句以‘花盆里的种子’为主位，运用拟人的修辞手法刻画其发出的动作：‘前行’‘四顾’‘伸出’‘缩回’‘倾听’等。后句以‘大地中的种子’为主位，用若干小句构成一个整句。这两句以主位推进模式和生动的叙述手段，形成鲜明对比，突出不同生长环境中不同种子的不同生长状态。

“我弯腰仔细打量一株草，它的叶片细碎，黯淡，却完整而精致。又拾起一块卵石，擦去尘土，看到它色泽浓艳，玉石般细腻。眼前这一切从来都不曾在意过大结局的事。只有我耿耿于怀。”该句属于主位推进模式中的交叉型模式，前句的主述位和后句的主述位相互交叉，使得不同信息得以集中呈现。该语段的第一句主位是‘我’，述位是‘草’，之后主位转换为‘草’。第二句主位依旧是‘我’，述位为‘卵石’。不同的主述位在该语段中反复转换位置，使得语段内部连贯，也构成了‘我’（人类）和‘草’‘卵石’（客观自然）的和谐统一。

综上所述，在语域三要素的引领下，《遥远的向日葵地》实现了对和谐话语分析“以人为本”假定和亲近、良知、制约、共生四个原则的印证。根据斯提比（Stibbe）对话语的分类，《遥远的向日葵地》属于有益性话语，其“话语中的意识形态完全和分析者的生态哲学观一致”（哈长辰、黄国文，2022，p.89），其多样化的话语表达共同指向生态语篇的合理性、权威性和有效性。同时，作为植根中国特色的有益性生态话语，《遥远的向日葵地》为构建阿勒泰地域性草原生态形象，展示中国本土特色的“天人合一”的和谐生态理念，具有不可估量的作用。

## 结语

本文在和谐话语分析的框架下对《遥远的向日葵地》及其草原生态形象的解读实现了用中国特色理论阐述中国特色生态文学的本土化论证效果。同时，在“以人为本”假定以及亲近、良知、制约、共生四原则的指导下，本文通过生态自觉、生态有序、生态管理、和谐共生四要素共同印证了话语的合理性、权威性和有效性，并导向人与自然和谐共生的草原生态形象。通过语域三要素的分析，本文阐明了具有中国地域特色的生态话语的语言实践路径，凸显和谐话语分析理论对生态文明建设的时效性和可行性。

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## 反向与正向：《时光机器》中的共同体想象

王晓惠 (Wang Xiaohui), 张莉莎 (Zhang Lisha)

**摘要：**作为一部兼具时空穿越叙事魅力与深刻伦理内涵的科幻经典，《时光机器》是威尔斯共同体思想的集中体现。本文通过深度挖掘作品关于共同体的反向想象：社会伦理秩序一旦失去公正性，不同群体就会从经济的两极分化成伦理的两极，最终酿成人类自取灭亡的恶果，系统阐释作品的正向思考：减少巨富与赤贫的人口数量，消除经济的两极分化，维护社会伦理秩序的公平正义，保证大多数群体受益，才能建立真正意义上的共同体，才是未来人类社会的福祉。共同体健康发展的关键在于公共权力的公正和共享，其路径为保护伦理存在，提高伦理能力。没有伦理保驾护航的科技和社会很可能会戕害人类。人类社会应在共同体框架下，鼓励人们努力追求和实践人性的真善美，实现人生最高境界的社会价值。威尔斯以科幻叙事为载体的伦理思想，直指人类社会发展的本质问题，对于当代社会追求和谐共生而言，无疑具有重要的启示意义与现实关照价值。

**关键词：**《时光机器》；共同体；伦理秩序；伦理存在；伦理能力

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**Title:** Negative and Positive: The Imagination of Community in *The Time Machine*

**Abstract:** As a sci-fi classic that blends the narrative allure of time travel with profound ideological connotations, *The Time Machine* embodies H.G. Wells' thoughts on community in a concentrated manner. By deeply exploring the work's negative imagination of community: once

the social and ethical order loses fairness, different groups will evolve from economic polarization to ethical division, ultimately leading to humanity's self-destruction, this paper interprets the work's positive reflections: only by reducing the population of the ultra-wealthy and the destitute, eliminating economic polarization, safeguarding fairness and justice in social ethics, and ensuring benefits for the majority, can a genuine community be established, which constitutes the well-being of human society in the future. The key to the sound development of a community lies in the impartiality and shared nature of public power, and its realization path includes protecting ethical existence, enhancing ethical competence. Science, technology and society without ethical safeguards are highly likely to harm humanity. Within the framework of community, human society should encourage people to strive for and practice the truth, goodness and beauty of human nature, so as to realize the social value of the highest realm of life. Expressed through science fiction narratives, Wells' ethical thoughts directly address the essential issues of human social development, and undoubtedly carry important enlightening significance and realistic reference value for contemporary society in its pursuit of harmonious coexistence.

**Keywords:** *Time Machine*; community; ethical order; ethical existence; ethical competence

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## 引言

关于“共同体”的概念，虽然存在文化语境的差异，但是中西方学界对其阐释具有核心的共识。亚里士多德（1995，p.13）将“共同体”定义为“为了实现某种共同的善而结成的关系和团体”，费迪南·滕尼斯（2010，p.54）则强调其是“关系的有机结合”，费孝通（2012，pp.1-5）指出共同体是“持久的和真正的共同生活”。梳理上述概念界定可见，中西方学者都着重凸显了“共同体”的核心特质，即：“合”，“合”既指向共同体的缔结基础，也贯穿其持续运行的全过程。与“合”对应，“分”作为共同体发展的反向状态，直接意味着其解体与终结。对“分”的深层研究，恰恰能为理解“合”的逻辑与基础提供重要的反向启示。关于“共同体”构建的正向与反向思考，早在一百多年前，英国作家赫伯特·乔治·威尔斯（Herbert George Wells）就通过科幻小说《时光机器》进行了深刻的文学表达与探索。

威尔斯被誉为“科幻小说之父”，与高尔斯华绥（John Galsworthy）、贝内特（Arnold Bennett）并称“英国现实主义三杰”。这些荣誉既凸显了他在科幻文学领域的开创性地位，也印证了其作品深植于现实主义的思想内核。身兼小说家、政治家和社会学家于一身的学者型作家，威尔斯始终将小说视为承载多元诉求的载体，他以小说家的艺术匠心为骨，又以社会学家的忧患意识为魂，更以政治家的改良思想为脉，使文学创作成为他批判社会现实、阐述核心思想、探索人类真理的重要阵

地。他认为“小说能够调节社会矛盾，促进人类互相理解，帮助人自我反省，昭示道德准则，交流良好的行为方式，营造风俗习惯。”（Wells, 1979, p.154）他创作的科幻小说，惯以缜密的逻辑架构、奇特的想象设定与悬念迭起的情节推进，将碎片化的科幻假象有机植入叙事肌理，使起初看似难以置信的故事逐渐转化为具有现实参照性的可信文本，吸引读者不自觉地吧科幻场景投射到现实生活中，将文学世界与当下时代形成互文对照，从而领会和接受威尔斯通过小说传递的深层伦理教诲。

威尔斯的首部科幻小说《时光机器》被认为是“最好的文学作品，将在我们语言最伟大的小说中占一席之地”，（Pritchett, 1976, p.35）亦被称作“现代文学中最令人感到荒凉的神话之一”。

（Lodge, 2001, p.237）小说借助“亦真亦幻的叙事效果”，（杜飞, 2005, p.71）深刻剖析了阶级矛盾的本质，不仅揭示了“不同阶级族群之间因为不能将内部的伦理道德推及外部而导致的冲突和互噬”，（刘熊, 2010, p.92），也警示了“阶级分化到极致所产生的严重性后果”，（李霄垅、许乐琪, 2016, p.14）进而驳斥了人类会“……向更高级进化”（Huntington, 1982, p.7）的盲目乐观想法。《时光机器》渗透的“批判现实主义的道德精神”使其“所蕴含的深刻意义和深沉的哲理在任何时候都具有现实意义”。（张莹, 2008, p.281）作品中渗透的共同体哲思，更因“文学经典的超越性与接受的共通性”（杨晓霁、胡一凡, 2022, p.145），对当代共同体建设形成重要启示。基于此，本文致力于系统阐释《时光机器》中的共同体反向警示与正向构想，以期当代共同体建设提供可资借鉴的文学智慧。

### 一、从经济的两级到伦理的两级：《时光机器》中共同体的反向警示

共同体本质上是由社会不同群体通过伦理关系联结而成的存在，正如黑格尔（1997, p.8）所言，“伦理本性上是普遍的东西”。这意味着任何社会生活都无法脱离特定伦理环境而存续，而伦理环境的核心支撑则是一套具有公正性、普遍性和整体性的伦理秩序。作为社会精神层面的抽象规范，伦理秩序的根本功能在于协调不同群体的利益关系，维护各群体的正当权益，其公正性直接决定了共同体的构建基础与运行稳定性。若伦理秩序偏离普遍性原则，转而向特定群体倾斜，必然会损害其他群体的合法权益，进而丧失其核心的公正性特质。而公正性的缺失会直接导致群体间权益分配的结构性失衡，这种失衡并非临时现象，反而会在缺乏矫正机制的情况下持续固化；随之而来的是群体间伦理矛盾的不断积累，进而升级为不可调和的伦理冲突，最终导致伦理秩序的崩塌与共同体的瓦解。威尔斯正是基于对这一逻辑链条的深远洞察，在《时光机器》中展开了对共同体命运的反向想象。

《时光机器》首先描绘出 80 万年后人类社会的未来景观：处长满鲜花，随处可见辉煌的宫殿建筑，整个社会没有任何所有权的标志，人类不再为经济问题发愁，战乱与纷争彻底消弭，阶级差异看似已然消除，俨然是一个“天堂社会”。（p.63）<sup>1</sup>然而，这片“天堂”之下暗藏着骇人的分裂与异化：生活在地表的埃洛伊人，其智力与体力均出现严重退化。与地表繁花似锦的“天堂”形成鲜明反差的是，莫洛克斯人长期栖息于地下，终日与机器相伴，在肮脏的环境中从事生产劳动，而

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<sup>1</sup>赫伯特·乔治·威尔斯（2009）：《时光机器》：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。

他们的劳动成果最终全部用于满足埃洛伊人的生活所需。这种看似埃洛伊人剥削莫洛克斯人的表象背后，隐藏着更为残酷的本质：埃洛伊人实则是莫洛克斯人圈养的“牲畜”，每当黑夜降临，他们便会沦为莫洛克斯人的食物。80 万年后的人类社会早已不复存在共同体形态，所谓的“人间天堂”，本质上是人类后裔啃食同类的地狱，这种残害同类的终极结局必然是人类的彻底灭亡。

80 万年后人类后裔为何会陷入蚕食同类的绝境？人类又为何会分化为两个截然不同的群体？带着这两个疑问，时光旅行者在自己所处的时代不断探寻答案的蛛丝马迹。他指出，这一分裂的根源早在 19 世纪的英国便已埋下伏笔，彼时人类社会已出现泾渭分明的两大群体：资本家与工人，且二者间的社会差距正以惊人的速度持续拉大。（p.95）“伦敦东区”的工人们如同莫洛克斯人，被迫生活在与“自然世界隔绝”的“人造世界里”，（p.95）长期被剥夺接触地表资源的权利；而资本家则对应着贪图享乐的埃洛伊人，他们“追求安逸”，（p.95）独占地上世界的所有核心资源，将土地瓜分殆尽，把工人驱赶到地下生存。资本家试图以这种不平等的阶层划分构建共同体伦理秩序，妄想凭借自上而下的伦理关系维系两个群体的永久平衡。然而时光旅行者最终发现，这种建立在剥削与压迫之上的畸形伦理秩序并未持续下去：80 万年后，曾经的平衡彻底崩塌，伦理关系发生根本性逆转，人类最终走上了人吃人的不归路。

《时光机器》创作于英国 19 世纪的维多利亚时代，这一时期的英国刚经历新科技革命的洗礼，社会产业结构、阶级结构乃至整体社会生活正经历前所未有的颠覆性变革。科学技术的突飞猛进直接驱动了工业的飞速发展，进而促成物质财富的急剧积累，人们对未来普遍秉持乐观主义信念，坚信人类社会的进步不可阻挡。然而，威尔斯敏锐洞察到一个深刻的悖论：物质世界的空前进步并未同步带动精神文明的提升，反而催生了一系列具有毁灭性的社会伦理矛盾。其中关键的症结在于社会贫富差距的日益悬殊，而科技的不当应用进一步加剧了人性的扭曲与人类的异化。在当时以资本家与工人为核心力量的社会共同体中，资本家凭借手中掌握的统治权与财富资本，无底线地侵占社会公共利益与生产资料，将工人彻底异化为谋取私利的工具与机器。在这样不平等的权力结构下，广大工人阶层的生存空间被极度挤压，连最基本的生存权利都难以得到保障。恩格斯（1997，p.434）说：“人们自觉地或不自觉地，归根到底总是从他们的阶级地位所依据的实际关系中——从他们进行生产和交换的经济关系中，获得自己的伦理观念”。资本家侵占工人的正当经济收入，迫使工人不得不接受资本家更加贪婪的剥削和残酷的压迫，两个群体之间的持续贫富差距扩大，资本家与工人之间已经站在经济的两级。

“资本社会中的伦理道德秩序带有极大的诱导性和欺骗性”，（王晓惠等，2025，p.46）正如尼尔森（2014，p.43）所指出的，这种伦理秩序被资本家“……蒙蔽的遮掩而巧妙地装扮成整个社会的利益”，实则彻底沦为资本家压榨和敛财的工具。由于自身合理的伦理诉求始终得不到回应，工人阶级不仅逐渐质疑并否定这套丧失公正性的伦理秩序与规约，更对维护和实施伦理秩序的统治阶级失去信任。打破虚伪的伦理桎梏、推翻资本家的专权统治，成为工人阶级的必然选择。由此，原本仅处于经济关系“两级”的两大集团，逐渐演变为伦理关系绝对对立的两极，这种对立是无法调和的根本冲突。随着双方殊死斗争的不断激化，被资本家炮制的所谓共同体彻底走向解体。最终人类作为一个物种已完全从地球上消失，只有“太阳永远地落了下去，海面上一片血红”的死寂终局。（p.167）

《时光机器》基于对未来社会的科学幻想，暗含作者对人类发展走向与终极命运的悲观预判，同时折射出其对共同体的批判性反向思考。在共同体运行体系中，一旦伦理秩序丧失公平性与合理性，势必会催生不同群体间的利益分化与阶层剥削。倘若失衡的伦理关系长期无法修正，社会伦理准则与道德约束将彻底失效，社会阶层会从经济层面的两极分化，进一步演变为尖锐的伦理对立。伦理失范与道德失序问题会持续加剧，强势阶层终将以貌似合理化的暴力手段彻底消灭弱势群体，最终导致共同体体系崩塌、人类文明走向毁灭的悲剧。值得注意的是，强势阶层并非固定不变的，在某些条件下弱势阶层或许会转变成强势阶层，犹如埃洛伊人是莫洛克斯人的盘中餐。《时光机器》的这一反向叙事蕴含深邃的道理：唯有消解贫富极端分化的经济鸿沟，坚守并维护社会伦理秩序的公平正义，保障全体社会成员的合理权益与发展利益，才能真正实现共同体的本质内涵，为人类文明的长远存续与可持续发展筑牢根基。

## 二、从伦理存在到伦理能力：《时光机器》中共同体的正向构想

《时光机器》通过对共同体形态的反向批判，深刻揭示了共同体内部经济分层与伦理撕裂双向极化的潜在危机。由此可见，若要有效规避双重分化带来的社会瓦解隐患，就必须将社会政治制度的合理建构与伦理秩序的公平建构作为共同体稳定运行的核心基石。建设公正性的伦理秩序需要确立双重发展维度：一是夯实伦理存在的底线保障，切实守护共同体成员的基础伦理权益与生命尊严，为共同体的长久存续构筑伦理根基；二是推进伦理能力的系统性培育，全面塑造个体与群体的伦理认知、道德实践及良性交往能力，为共同体长效发展注入内生动力。上述两大维度兼顾宏观制度顶层设计与微观个体道德涵养，彼此相辅相成、协同赋能，能够共同维系共同体关系的良性运转，助力共同体实现和谐稳定与可持续发展。

### （一）保护伦理存在

樊浩（2015，pp.33-50）指出，“社会财富与国家权力是伦理理念的客观化，或者说，是伦理的存在和实现方式”。这一观点揭示了抽象伦理向现实社会渗透的具体路径，伦理理念通过具象化为经济与政治领域的制度规范，将自身转化为可感知的客观存在，使个体在受经济政治制度制约与引导的过程中，间接体验到伦理的约束力与价值导向。社会财富的合理分配与公共权力的规范运行，其前提和保障在于一套公正合理的伦理秩序。若这一伦理秩序遭到破坏，国家的政治经济权力沦为强势群体的专属工具，其公正合理性便会丧失；而失去伦理秩序约束的财富与权力，必然走向被强势群体集中占有的失衡状态。这种分配与运行的失衡会直接激化不同社会群体间的利益矛盾，最终引发社会动荡。社会财富与公共权力分配的公正性，不仅是伦理秩序有效运转的外在表现，更是伦理自身得以存在的必要前提与保障。一旦财富分配与权力运行偏离公正轨道，伦理理念的客观化过程便会出现根本性断裂，进而引发社会层面的伦理信任危机，最终动摇伦理存在的现实基础。

《时光机器》中对伦理消亡的未来景象有着明确且层层递进的刻画。时光旅行者抵达 80 万年后的世界，最先映入眼帘的是一尊白色大理石雕像。作为人类文明物化成果的雕像，本应是文明存续的象征，但其呈现的状态却暗藏文明崩塌的隐喻。这尊雕像“……那双失明的眼睛似乎是在注视我，嘴角带着一丝浅浅的笑意。日晒雨淋把它破坏得很严重，给人一种病怏怏的感觉，让人不快”。

（p.41）“双目失明”和“病怏怏”的形态将 80 万年后的人类文明具象化为奄奄一息的存在，彻底

丧失了对人类行为的约束力与引导力。这一雕像所传递的文明衰败信号，直接引发了时光旅行者对自身安危的深层担忧，而这种担忧恰是对伦理崩塌可能性的预判：“如果这个时代民风变得很残忍怎么办？如果这段时间人类已经丧失了人性并且进化野蛮、冷漠而且无比强大该怎么办呢？”。

（p.43）后续情节则逐步印证了这一预判，当旅行者目睹莫洛克斯人餐桌上的“一块大腿肉”时，他不由得“……从心底可怜这些在人类的滔滔洪流中仅存的最后一点孱弱的生命”。（p.123）此处的“大腿肉”暴露出人类后裔的伦理底线完全崩塌，即便他们仍在生理层面延续，但其行为已背弃了人类的文明，人类文明和人类伦理此刻已经毁灭。

旅行者指出 80 万年后伦理存在彻底消逝的根本症结，可追溯至 19 世纪社会财富与公共权力的合理性、合法性双重丧失。资本家不仅垄断了社会的经济命脉与政治主导权，在无情剥夺工人基本生存权利的同时，进一步剥夺了其受教育权，教育权的缺失又加剧了阶层固化与认知隔阂。正如小说中所强调的那样：“由于富人所受的教育日益完善，以及他们和穷人粗鲁的暴力行为之间的隔阂日益加深”，（p.95）这种权利与资源的双重剥夺最终推动两个集团向经济与政治完全对立的两极分化。小说中“旧有的秩序已经部分被逆转。复仇女神正悄悄向那些精致柔弱的人们逼近”（p.115）的表述，正是分化、冲突升级的生动写照。这种伦理冲突与阶层对立最终引发了物种层面的异化：原本处于弱势地位的工人，在长期艰苦劳作中逐渐演化成强悍的莫洛克人；而曾占据强势地位的资本家，却在贪婪享乐的侵蚀下退化为孱弱的埃洛伊人。埃洛伊人沦为莫洛克人的猎物，不得不以生命为代价，偿还其先辈因贪婪与残暴所欠下的伦理债务。

伦理体系的崩塌并非孤立的价值危机，其终将演变为长远的社会危机：当维系社会秩序的道德底线不复存在，人与人之间的信任纽带断裂，利益争夺便会失去伦理约束，进而引发全局性的社会动荡。更为严峻的是，这种危机最终可能触及人类存续的根本，因此，伦理公正性的持续存在才是人类社会长治久安的核心基石。现代社会在追求科技进步与经济发展的同时，更需警惕社会伦理不被侵蚀：一旦伦理公正不复存在，即便是“……几近完美”（p.97）的科技，也无法阻挡人吃人的社会现象重现，更难以改变人类走向悲惨结局的命运。而这一切危机的根源，恰如《时光机器》中所显示的，在于部分贪婪的资本家“……心安理得地把自己的舒适和愉悦建立在同胞的辛苦劳作上”，（p.123）其对利益的无度攫取正是吞噬伦理公正性的重要诱因。

伦理的公正性既是社会权益分配走向合理化与合法化的道义要求，也是衡量社会均衡发展的道德判断，更是构建社会和谐制度的价值选择。作为贯穿社会运行层面的核心价值维度，其存在与否直接决定了制度体系的合法性根基，唯有以公正性为伦理基石，制度才能获得社会全体成员的普遍认同与自觉遵从；反之，若伦理丧失公正性，制度的合法性便会从根源上被动摇。当伦理公正性缺失时，长期遭受政治压迫与经济剥削的群体必然率先对该伦理体系的合法性与合理性产生质疑。这种初始质疑会逐步升级为对伦理规范正当性的彻底否定，进而演变为对现有伦理秩序的主动破坏乃至颠覆，反抗最终会直接指向伦理的制定者与维护者，甚至爆发殊死对抗。

## （二）提升伦理能力

伦理能力作为人自觉遵守伦理规范、遵循伦理标准的核心能力，是人之为本质的特征，这一能力的存在，根本上由人性与理性共同决定。首先，人性指“人作为人而非兽存在的本质属性……是人的道德属性”，（聂珍钊，2014，p.271）而理性则指向“人在特定环境中的正确认知和价值判

断，是人拥有的使自己区别于兽的美德”。（聂珍钊，2014，p.252）人性与理性均是人类独有的美德与道德品质，这一共通性不仅构成了伦理能力的内在动力，更成为伦理能力存在的重要表征。一旦人类社会的物质文明与精神文明割裂，将会严重扭曲了人性的人性，压抑理性的功能，最终导致人类的伦理能力在物质丰裕而精神匮乏的窘境中持续退化。

《时光机器》中还有一座特别的雕像，隐晦暗示了 80 万年后人类伦理能力的丧失。那是“一个半人半羊的农牧神像，或者类似的形象，只是没有头”，（p.119）这一形象极易引发读者对斯芬克斯符号的联想。斯芬克斯的特征在于“人头与兽身的结合”，这一形式蕴含着进化与人性的隐喻。正如聂珍钊（2014，p.38）所阐释的：“斯芬克斯形式上最重要的特点是人头和兽身结合在一起。这个特点有三个方面的意义：一是说明人在形式上最重要的特点是头脑，这是人类经过生物性选择的结果；二是人的头脑的象征性，表明人类经过长期进化完成生物性选择之后，已经具有了理性的萌芽；三是狮身说明人是从兽进化而来的，人的身上在当时还保留着兽的本能。”与斯芬克斯的“人头兽身”形成对照，小说中的“农牧神像”缺失了象征人性与理论的“头部”。人与兽的根本分野在于人类拥有以大脑为物质基础的理性与人性，这两者正是人类伦理能力产生的前提：大脑的进化使人摆脱了纯粹的兽性本能，理性的萌芽催生了道德判断与伦理意识，人性则为伦理行为提供了情感与价值支撑。由此反观这尊无头雕像，其“没有头”的设计象征性地剥离了人类理性与人性的物质载体，而“保留兽身”的特征意味着兽性本能的留存，二者精准传递出 80 万年后的人类后裔已丧失理性与人性、不再具备伦理能力，雕像的符号意义与小说的伦理叙事相互呼应。

人类的伦理能力与人类文明成果相辅相成，可以说人类文明是人类理性和人性生成和发展的源泉，高度发达的文明可以滋养和提升人类的伦理能力；理性和人性是人类文明的标志，是人类文明发展的重要动力。但是 80 万年后的人类社会不再存在任何文明的迹象，曾经的博物馆已变成废弃的“青瓷宫殿”。（p.127）博物馆是人类文明成果的聚集地，然而在未来世界里却是一片废墟，凝结着祖先智慧结晶的书已变成散落一地的纸屑，一派破败和荒芜的景象是对人类曾经的脑力劳动和人类文明资源的巨大浪费和亵渎。没有了文明，没有了书，人类得不到伦理教诲，其伦理能力就像无源之水，很快就干涸了。埃洛伊人从不读书，他们很久之前就已经抛弃了文明，或者被文明抛弃，他们无法从曾经伟大的文明和知识中习得理性和人性。只有五岁孩童智力的埃洛伊人，何谈伦理能力？旅行者倾向于把埃洛伊人看作是人类的后裔，并非认为他们具有伦理能力，而仅仅是“他们仍旧在很大程度上保留有人类的外形。”（p.123）埃洛伊人丧失伦理能力是失去文明教化和知识教诲的恶果。

在《时光机器》的埃洛伊人群体中，威娜（Weena）是唯一与旅行者建立亲密联结的女性角色，这一特殊性使其成为解读人类后裔人性留存的关键样本。旅行者明确感知到，威娜是埃洛伊人中最接近于人类的存在，主要原因在于“她的感情更加富有人性”。（p.127）这种人性特质通过具体互动场景得到充分印证：当旅行者救起落水的威娜时，她会以花环作为感谢的信物；在互赠鲜花的温情时刻，二人以亲吻双手的动作，传递出人类本真的爱与感恩。即便威娜的理性认知已出现严重退化，这种源于内心的温情与感激仍未泯灭。威娜身上残存的这些感性特质，“证明即使有一天人类不再有聪明才智和强健的体魄，人类的内心仍然怀有感激之情和对彼此的温情”，（p.183）而她与旅行者之间相互照顾、彼此牵挂的情谊，进一步印证了其身上保留着部分人性。

莫洛克斯人的伦理能力已消失殆尽，时光旅行者认为“……是不可能在那些东西身上觉出有什么人性的地方”，（p.133）而这种“非人性”的认知，首先源于其与人类截然不同的外形特征。他们“面色苍白，没有下巴，眼睛硕大，粉中带灰，而且没有长眼睑”（p.109），这种完全背离人形的生理构造，是让旅行者初步推断他们不具备人性的主要特质。若说外形只是直观的背离，莫洛克斯人的食人行为则彻底突破了人类伦理的底线。莫洛克斯人的先辈曾拥有过文明，本应具备人性与理性，但他们如今却完全丧失了对“人”的概念认知，他们“比我们三四千年以前的食肉祖先更没有人性”。（p.123）由此可见，莫洛克斯人既无符合人类认知的外形基础，又毫无人类的伦理意识，更丧失了先辈传承的人性与伦理能力，没有伦理能力的他们完全不属于人类的范畴。

在《时光机器》的想象性叙事中，80 万年后埃洛伊人与莫洛克斯人的伦理能力已完全退化，这一设定直接导致了人类文明走向灭亡的终极恶果。小说正是通过这一极具警示性的科幻图景，折射出其深刻的正向思考：当人类丧失伦理能力时，个体将彻底藐视伦理存在的制约，肆意打破长期形成的伦理秩序，公然践踏维系社会运转的伦理规约，呈现出“人已不人”的本质性异化，最终必然引发人类社会的全面消亡。人类社会的存续与可持续发展，不仅以伦理体系的存在为基础，更深度依赖人类自身伦理能力的持续培育与不断提升。小说中的旅行者作为知识精英的典型代表，不仅具备较为完善的伦理意识与实践能力，更以其超强的分析判断能力、对埃洛伊人的尊重与同情，以及主动提供帮助和保护的良好品格，成为理性与人性完美融合的伦理典范。在推动整个社会个体伦理能力提升的进程中，这类兼具认知深度与人文温度的知识精英，理应承担起引领示范的标杆作用，为伦理能力的普遍提升提供可参照的实践样本。

### 三、从反向警示到正向构想：《时光机器》中共同体建构的当代价值

作为一部兼具时空穿越叙事魅力与深刻伦理思想内涵的科幻经典，《时光机器》不仅是威尔斯共同体思想的集中体现，更完整呈现了其对伦理道德的深入思考。尽管作品植根于维多利亚时期的英国社会现实与伦理语境，但其核心关切直指共同体解体与重构的关键症结，即群体分化对共同体存续的根本冲击。因此，作品的价值已经突破特定时代的局限，得以为当下共同体建设提供极具价值的思想借鉴。

小说通过反向科幻想象所展开的警示性叙事，实则蕴含着指向未来的正向构想：共同体建设的关键，在于让内部不同群体的合理伦理诉求得到充分满足与实现，而这一目标的达成，必须以保持公正性与合理性的伦理秩序为基础。社会的伦理存在与个人的伦理能力共同构成了公正性伦理秩序建设的支点，两者相辅相成、不可分割：伦理能力是伦理存在在个人行为中的具体外化与实践体现，而伦理存在则为伦理能力的保持、提升提供了必要的土壤与支撑。这一对要素唯有在特定伦理环境中实现和谐统一，才能共同服务于共同体的维系与强化，不存在脱离伦理存在的孤立伦理能力，也不存在缺乏伦理能力支撑的空洞伦理存在。

《时光机器》再度印证了威尔斯的小说观，即文学并非单纯的审美载体，而是探讨普遍社会问题的重要媒介。其作品的独特性在于，将自然科学的缜密逻辑与科学幻想的浪漫想象深度融合，进而围绕共同体建设展开系统性思考：唯有坚守伦理存在的底线，持续提升人类的伦理认知与实践能

力，构建兼具公正性与合理性的伦理秩序，并通过规范公共权力的公正行使、保障公共权益的平等共享，才能不断夯实共同体的根基，推动人类社会实现可持续发展。

从更深层的思想内核来看，这部作品清晰地折射出威尔斯身兼社会学家与政治家的双重立场，其伦理主张贯穿始终：缺乏伦理约束的科技进步与社会发展，终将异化为戕害人类自身的力量。人类社会必须在共同体的整体框架下，倡导并鼓励个体追求与实践人性的真善美，最终实现个人价值与社会价值的统一，抵达人生的最高精神境界。威尔斯以科幻叙事为载体的伦理思想，直指人类社会发展的本质问题，对于当代社会追求和谐共生、实现可持续发展而言，无疑具有重要的启示意义与现实关照价值。

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## 神话-原型批评视域中《素食者》的伊卡洛斯式暴力

孙佳宇 (Sun Jiayu), 郭紫薇 (Florence Kuek)

**摘要:** 本研究以韩江《素食者》三部曲为对象, 结合诺斯罗普·弗莱的神话—原型批评理论, 参照伊卡洛斯神话, 提出“伊卡洛斯式暴力”概念, 探讨英惠所经历的暴力及其叙事进程。首先, 在《素食者》中, 英惠在婚姻与社会规训下压抑自身不安, 并通过拒食肉类来表现; 这一状态对应伊卡洛斯在父亲责备下被困囚笼的不安, 体现出家庭与社会规训对反叛者的压制。其次, 在《胎记》中, 围绕“绘画”与“裸身”描写, 揭示其短暂的“伊卡洛斯式飞翔”实为被凝视与异化的幻觉自由。最后, 通过《树火》中英惠“树木化”的结局, 结合弗莱对悲剧“献祭”的阐释, 论述其自我毁灭是伊卡洛斯式坠落的悲剧性超越, 由此, 英惠的暴力叙事悲剧构成了对伊卡洛斯神话叙事模式的现代性重构。因此, 本研究认为, 小说中的“伊卡洛斯式暴力”既表现为外部压迫, 也内在于英惠对纯粹自由的极端追求。将弗莱的原型批评方法运用于三部曲结构分析, 有助于理解韩江小说中反抗与毁灭的悖论, 并为当代东亚文学的悲剧意识与身体政治研究提供新的阐释路径。

**关键词:** 《素食者》; 神话-原型批评; 伊卡洛斯; 暴力; 韩江

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**Title:** A Myth–Archetypal Analysis of Icarus-Like Violence in Han Kang’s *The Vegetarian*

**Abstract:** This study examines Han Kang’s *The Vegetarian* trilogy through Northrop Frye’s

myth–archetypal criticism and proposes the concept of “Icarus-like violence” with reference to the myth of Icarus. It analyzes the forms of violence Yeong-hye experiences and their narrative progression. In *The Vegetarian*, Yeong-hye suppresses anxiety under marital and social discipline, articulated through her refusal of meat, corresponding to Icarus’s confinement under paternal authority and revealing repression imposed on transgression. In *Mongolian Mark*, representations of painting and nudity expose a brief “Icarus-like flight” structured by gaze and objectification rather than freedom. In *Flaming Trees*, Yeong-hye’s arboreal transformation is read, in light of Frye’s concept of tragic sacrifice, as a self-destructive form of Icarus-like fall. The study argues that Icarus-like violence functions both as external oppression and as internalized violence embedded in Yeong-hye’s extreme pursuit of pure freedom. Applying archetypal criticism to the trilogy’s structure clarifies the paradox of resistance and destruction in Han Kang’s fiction and offers a new perspective on tragic consciousness and body politics in contemporary East Asian literature.

**Keywords:** *The Vegetarian*, Myth–Archetypal Criticism, Icarus, Violence, Han Kang.

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## 引言

诺斯罗普·弗莱的神话—原型批评理论在文学研究中影响深远。在其代表作《批评的解剖》中，弗莱（2002）指出，文学是一个独立自足的系统，其深层结构由普遍存在的“原型”构成。他强调“神话位移”，即许多看似写实的作品实质上是古老神话原型在当代语境下的变形与重构，这些原型源自人类共有的神话、仪式与梦境，表现为反复出现的意象、人物与叙事模式，在宏观上，可对应如春之喜剧、夏之传奇等四季循环的文学类型（弗莱，2002）。而通过识别文本中潜藏的原型结构，就可揭示作品深层象征意义与隐蔽叙事逻辑，在当代东亚文学中，韩国作家韩江及其《素食者》正是这一方法的典型分析对象。

韩江在 2024 年诺贝尔文学奖获奖演讲中提出悖论式叩问：“为何世界充满了暴力与痛苦？然而，世界又为何如此美丽”（韩江，2024）。显然，暴力是其创作尤其是《素食者》三部曲的核心母题。小说通过丈夫、姐夫与姐姐三重视角描绘主人公英惠从顺从家庭主妇，逐步走向以身体为战场、最终以绝食“植物化”的抗争，其叙事可概括为“反抗规训—身体叛逆—自我毁灭”的悲剧递进。

细察叙事结构，英惠的悲剧经历与神话中伊卡洛斯的叙事模式形成呼应。伊卡洛斯借蜡翼飞离囚笼，却因追逐太阳坠亡，其“受困—飞翔—坠落”的叙事模式，对应英惠在《素食者》中受困于家庭规训、在《胎记》中以身体叛逆、在《树火》中执意植物化并绝食的坠落过程，形成结构映照。

因此，本研究借弗莱神话—原型批评，以“伊卡洛斯”为原型重构《素食者》的暴力叙事，提出

“伊卡洛斯式暴力”概念。该概念即揭示，英惠所承担的暴力既来自家庭与社会的外部规训，也内嵌于英惠对超越的极端追求，两者共同构成其悲剧根源，从而呈现韩江笔下“反抗”与“毁灭”的悖论张力，从而为理解其笔下的暴力提供基于神话原型的阐释路径。

### 一、囚笼之不安的食肉血梦

诺斯罗普·弗莱的神话—原型批评理论认为，文学作品能够超越具体的历史背景，引起普遍的共鸣。这种普遍性源于文本中反复出现的原型结构，而这种原型结构深植于人类集体潜意识里，无论文化和时代的如何变化，都会通过“移位”和“变形”等方式，在各种文学作品中不断重现（韩雷，2012，p.92）。因此，从这个视角下看，文学中的诸多核心意象和情节，并不仅仅只是对现实的描写。它们更像是一种象征，把个人的独特经验转化为具有普遍意义的原型事件。

在这一转化过程中，梦境发挥着关键作用。正如诺斯罗普·弗莱所言：“文学艺术作品是一个神话，将仪式和梦结合起来”（弗莱，2002，p.169）。因此，在文学作品中，个人梦境常常成为普遍性神话得以显现的窗口。

从这个角度看，韩江《素食者》开篇中英惠的食肉梦境，绝非简单的心理描写。它体现了主人公内心的困境，揭示了潜藏在她意识深处的创伤在生理层面的返场，同时与关于暴力、牺牲和复仇等集体原型发生联系，也预示了她在伊卡洛斯式命运下即将经历的痛苦和挣扎。

在小说第一部《素食者》中，有着一段极具张力的家庭场景描写，揭示了英惠所承受的暴力以及反抗的萌芽：

“吃火锅用的牛肉、五花猪肉、两块硕大的牛腱、装在保鲜袋里的鱿鱼、住在乡下的岳母前阵子寄来的处理好的鳗鱼、用黄绳捆成串的黄花鱼、未拆封的冷冻水饺和一堆根本不知道装着什么的袋子。妻子正在把这些东西一个接一个地倒进大容量的垃圾袋。”（韩江，2021，p.7）

而丈夫在看到妻子正在丢掉肉的行为，失去理智，愤怒地大喊大叫起来，并质问她：“你这是在做什么……你疯了吗？为什么要把那些东西都扔掉”（韩江，2021，p.8）。面对质问，英惠只是用左手揉着被丈夫掐红的右手腕，用一如既往沉稳的语气说：“我做了一个梦”（韩江，2021，p.6）轻掩内心剧痛。这句看似平静的回复，实则是她在巨大家庭和社会暴力创伤中无法直言的伤口，而梦境则成为了她唯一被允许、也是唯一能使用的隐秘反抗萌芽。

从具体情景进入心理层面，英惠梦境的意义得以进一步展开。正如弗洛伊德在《梦的解析》中所指出：“梦是潜意识的表达，是被压抑的欲望与创伤以象征形式出现的结果。”（弗洛伊德，2013，p.224）英惠拒绝食肉并将肉类丢弃，正是源于她反复出现的恐怖梦境。梦中大量滴着鲜血的肉块使她产生强烈的不安与恐惧，她在文中回忆道：

“我无法忘记用牙齿咀嚼生肉时的口感，还有我那张脸和眼神……那是我见过无数次的脸，但那不是我的脸。我无法解释这种似成相识又陌生的感觉……也无法讲明那种既清晰又怪异和恐怖的感觉。”（韩江，2021，p.10）

这种既熟悉又陌生的体验，反映出她在心理层面对被迫吃肉的恐惧与不安。在梦中，英惠不仅反复经历“吃肉”的场景，也不断目睹杀人与被杀的画面。“吃肉”与“杀人”在此并置为同样令人恐惧的经验（侯家琦，2023，p.17）。

她将梦中的凶手和死者与现实中的亲人联系起来，却又刻意强调他们并非具体的“妈妈或姐姐”，而只是与一种“令人毛骨悚然的、肮脏的、恐怖的、残忍的感觉”（韩江，2021，p.27）相似。这种模糊的回忆表明，梦中的暴力并非指向某一个明确的施暴者，而是指向弥散于家庭与婚姻关系中的规训力量。因此，英惠在梦中不断经历“吃”与“被吃”、“杀”与“被杀”的循环，凸显的是她作为受害者，被长期规训并困于家庭结构之中的处境。梦中无法逃离的状态，正是她在现实生活中无从选择的心理映射。

而回到诺斯罗普·弗莱的神话—原型批评视域中，英惠的梦境不仅是个人心理的受困，更是原型在文学中的象征化呈现。英惠反复出现的血肉梦境及其所折射的家庭压抑状态，正对应着古希腊伊卡洛斯神话中蜡翼起飞之前的“受困”阶段。在神话叙事中，伊卡洛斯是建筑师代达罗斯之子，因触犯克里特岛国王米诺斯，父子二人被囚禁在由代达罗斯亲手建造的迷宫之中。迷宫表面上秩序严密、结构精巧，却封闭无出口，是一种以秩序之名限制自由的空间象征。将父子囚禁其中的国王，代表的是外在而强制的权力；而迷宫本身则由父亲建造，是父权与技艺理性的产物，父亲也因此成为权力结构的协作者。由此，迷宫不仅是国王暴力意志的物化形态，也是父权秩序被内化后的隐秘存在。在这种封闭且看似合理的结构中，规训与暴力以不自觉的方式运作，使被困者在日复一日的限制中逐渐耗损意志。伊卡洛斯正是在这样的空间中，长期处于压抑与受困状态。

这一原型结构深刻映照了英惠的处境。她的梦境折射出现实中长期压抑于她的伤害，其中不仅有来自社会的外部规训，更有由父亲、丈夫、姐姐等家庭成员共同构筑的、以义务与责任为名的隐秘规训迷宫。这一迷宫将她紧密包裹，使自由被封锁在家庭与社会秩序之中，甚至让她难以意识到会有逃离的可能。正因如此，梦境中的凶手与被杀者始终是模糊化的，它们并非指向某个明确的施暴主体，而是英惠对弥散性父权规训结构的感知与回应。

弗莱指出，文学小说常是古老神话经过“移位”处理的产物（弗莱，2002）。这种“移位”并非简单复刻神话情节，而是将神话的深层叙事结构与心理模式移植到当代社会和具体人物关系中。伊卡洛斯神话中“受困”阶段的核心在于，个体被困于规训构筑的封闭迷宫中，内心萌生自由的渴望，并开始积蓄反抗的力量。在《素食者》中，这一结构通过“移位”，体现为英惠在家庭中的处境，即丈夫的物化凝视以及家人的沉默，共同形成一个压抑的“迷宫”。在这样的受困下，英惠反复的血肉梦境象征她潜意识中的受困与觉醒，而她拒食肉类、选择素食的行为，则是开始对规训最初的反抗萌芽。由此可见，英惠的梦境和素食选择，并非情节上的模仿，而是伊卡洛斯原型中“受困”阶段在当代文学中的映现。

综上所述，从神话—原型批评的视角分析，《素食者》第一部中英惠反复出现的血肉梦境、决绝的拒食行为及长期处于的压抑性家庭结构，与伊卡洛斯神话原型中的“受困”阶段形成了深层结构性和心理模式的契合。英惠无法言说的潜意识创伤，通过血腥梦境得以象征化呈现；而她在现实中坚持素食的沉默反抗，则可视作伊卡洛斯式的对被困自由的本能渴望与回应。而神话—原型批评的“移位”理论，在此就不仅揭示了英惠在家庭与社会双重规训下所承受的结构性暴力与精神困境，也将为其后续叙事中更为激烈的叛逆“飞翔”与最终悲剧性“坠落”，提供了完整原型轨迹的追溯与铺垫。

## 二、飞翔之叛逆的裸体缪斯

在神话—原型批评体系中，“飞翔”是一种高度典型的原型意象，往往与解放、超越以及对既有秩序的否定紧密相连（尹泓，2012，p.86）。伊卡洛斯叙事第二阶段的“飞翔”，正是这一原型的集中体现。在神话中，伊卡洛斯借助蜡翼挣脱由父权与王权共同构筑的囚禁迷宫，短暂地飞离规训。然而，这一飞翔本身亦内含着悲剧性的悖论，即伊卡洛斯并未真正摆脱规训与凝视。他依赖父亲制造的蜡翼完成出逃，而其所谓的自由始终暴露在太阳的凝视之下，因此从一开始便注定要走向融化与坠落。

第二部《胎记》中英惠的反抗，正是在这一“飞翔”的结构性象征中展开其叙事的。如果说第一部《素食者》是通过血肉梦境与拒食肉类的现实行为，完成了伊卡洛斯神话原型中“受困”阶段的当代移位，那么在《胎记》中，英惠对自身身体的叛逆则对应着伊卡洛斯原型中“飞翔”的第二阶段。在第二部随着婚姻与家庭的规训加剧，当亲人将她逼入绝境时，她不再仅以素食这一方式被动抵抗包围自身的规训与暴力，而是通过身体的裸露、叛逆以及与姐夫的越界乱伦，将身体转化为反抗的核心支点。在这个过程中，她的身体既是武器，又是暴力施加其上的战场，从而展开了对规训下的暴力秩序最为激烈、却也最为短暂的一次出逃。

然而，正如伊卡洛斯的飞翔并不意味着真正的自由，英惠看似决绝的“飞翔”同样潜藏着再度被驯服的危机。她通过与画家姐夫陷入不伦关系，将自身身体当作画布，成为姐夫艺术欲望的载体，使原本指向主体反抗的身体叛逆，重新被置入由男性观看、凝视与异化所构成的暴力之中。由此，英惠的反抗从一开始便内含坠落的可能性，也在原型层面上预示了其最终的崩塌。因此，《胎记》中英惠的叛逆反抗姿态，构成了伊卡洛斯原型中“飞翔”阶段在当代文学语境中的一次典型移位。

在《素食者》第二部《胎记》中，小说通过姐夫对英惠身体的凝视，细致描绘了其欲望的生成过程：

“假如没有发生这件事，那个女人臀部绽放花朵的画面也不会成为刺激他灵感的瞬间……以不可思议的方式清晰且准确地形成因果关系，烙印在了他的脑海里。”“他想象着从未见过的小姨子的裸体，开始动笔描画。当画出臀部上像绿叶一样的胎记时，他体验到了轻微的颤栗和勃起”。（韩江，2021，p.58）

英惠的身体在此刻被姐夫转化为欲望投射的对象。这一过程对英惠来说，既是暴力的凝视，也是审美的物化。她的赤裸和叛逆在姐夫的视野中被重塑为供人欣赏的“裸体缪斯”，她原本以身体抗衡规训的“飞翔”在凝视下，再次失去了反抗的自主性。

然而，耐人寻味的是，英惠在被凝视的暴力物化的同时，也体验到心理上的短暂自由。小说中，她将身体上绘制的植物图案视为庇护与身份转换的媒介，并自言道：

“我想留着这些画，所以没有洗澡……以后如果掉了色，希望你能再帮我画上去。”“我是不是再也不用做梦了……现在不害怕了……再也不害怕了”（韩江，2021，pp.96-118）

在姐夫的蛊惑下，她身体上的这些植物图案如同神话中伊卡洛斯的蜡翼，使她得以暂时脱离“妻子”“女人”等社会身份的束缚，获得对现实暴力与规训的短暂逃逸与自由。

然而，这种自由脆弱而短暂。小说中英惠对姐夫画的依赖，如同伊卡洛斯无惧阳光飞翔，却因

蜡翼融化而坠落。韩江巧妙地安排了植物颜料终会掉色脱落这一场景，暴露英惠无法真正借助姐夫拯救自己的残酷事实。此时，她以身体为代价的叛逆反抗不再是对暴力的直接反抗，而是演变成了一场更隐蔽的驯服，如同伊卡洛斯在飞翔上升中受到的阳光下烈日的凝视，她的身体本是 her 对抗规训的姿态，却在姐夫的凝视下变成“裸体缪斯”的物化对象，呈现出一种伊卡洛斯式飞翔的悲剧底色，预示了这场以身体为代价的裸露叛逆所具有的幻觉性质，也构成了伊卡洛斯神话原型中“飞翔即危机”这一深层结构的生动再现。

因此，在《胎记》结尾处，当姐姐撞破这场以艺术为名义的“裸体绘画”乱伦时，英惠没有恐惧，而是以茫然的目光直面现实。这一反应既象征着她主体意识的进一步瓦解，也构成她对自身处境的关键觉知时刻。她终于意识到，自己的身体已彻底沦为他者欲望与权力争夺的战场，任何依附性的“飞翔”都无法真正通向自由。正如神话中伊卡洛斯的蜡翼飞翔并非终点，而是在逼近太阳的过程中悄然孕育着坠落的必然性，英惠在第二部中所经历的“飞翔”同样是一种以幻觉为基础的短暂反抗。

弗莱的神话一原型批评在此揭示出小说叙事的深层结构。在这一三部曲中，第一部《素食者》所呈现的“受困”，与第二部《胎记》中短暂而失效的“飞翔”，并非解放的完成或终点，而是通向以“坠落”为代价的自毁式反抗的必经阶段。而接下来，在第三部《树火》中，英惠不再寻求被理解或被观看，也不再试图借助姐夫实现虚幻的“飞翔”，而是通过彻底拒绝进食、拒绝语言，以及拒绝人类身体本身与社会秩序的方式，将所有暴力和规训焚烧殆尽，以焚毁自身的行为完成伊卡洛斯式第三阶段的“坠落”，从而再现伊卡洛斯神话原型中由上升走向毁灭的完整悲剧结构。

### 三、坠落之毁灭的熊熊树火

在《素食者》三部曲的终章《树火》中，叙事视角由英惠悄然转移至姐姐仁惠。通过仁惠的叙述，英惠对“成为植物”的执念不再停留于梦境或裸体绘画阶段的短暂幻想，而是呈现为一条清晰、连续、最终通向自我毁灭的悲剧进程。

从弗莱的神话一原型批评视角来看，英惠在《树火》中所经历的并非单纯的绝食和自残行为，而是伊卡洛斯神话中“坠落”阶段在其文学作品中的结构性移位与重构。自 20 世纪以来，受现代主义、精神分析及弗莱神话一原型批评的影响，伊卡洛斯的悲剧神话常被解读为上升神话中的典型“献祭者”形象，其坠落常被视为对太阳“自知不能到达的真理”迷恋的必然结果（叶隼，2020，p.72）。

而第三部中英惠的绝食行为就是原型视域下伊卡洛斯式坠落的再现。如同伊卡洛斯不听父亲的规训而执意飞向太阳，英惠也执意走向植物化的“树”，她在《树火》中的悲剧“坠落”并非反抗的失败，而是对既有规训暴力作出的终极拒绝，也是其反抗意志被推至极端的献祭式表达。正如弗莱在《批评的解剖》中所指出的：“悲剧人物往往并非因道德缺失而受惩罚，而是因其存在本身偏离社会秩序而被推向毁灭……其悲剧既是个体持续抗争所显示的英雄气魄，也是在毁灭中对凡夫俗子所代表的秩序的讽刺与超越”（弗莱，2002，p.57）。英惠正是通过绝食“成为树”，以此完成她对人类世俗秩序的英雄反抗与超越。

而这种以彻底摆脱人类身体与社会身份束缚的方式，追求植物性的存在而成为“树”的献祭描写，在《树火》中有着大量详细的呈现。小说首先通过她在精神病院的梦境描写展现这一心理进程，预示其献祭式“坠落”的展开：

“你知道我是怎么知道的吗？是梦，我在梦里倒立……身上长出了树叶，手掌生出了树根……一直钻进地里，不停地，无止境地……我的胯下仿佛要开花了，于是我劈开双腿，大大的劈开……”（韩江，2021，p.149）

英惠在梦中手掌生根，不断向下扎入土地，双腿劈开的倒立姿态构成了对伊卡洛斯原型的“坠落”书写。正如伊卡洛斯无畏阳光的暴力、以向死而生的姿态决绝地飞向太阳，英惠在梦中的“倒立与扎根”同样是一种主动的向死而生，她以身体倒立下沉的方式，拒绝人类社会施加于她的规训与暴力。而梦中其胯下“即将开花”的意象，进一步指向英惠潜意识中趋向去性别、去规训化的植物性存在，使这一梦境明确呈现为一种脱离人类秩序与暴力结构的植物化献祭。因此，在《树火》中精神病院的梦境里，她体内不断积累的叶片与树根，正是其即将在现实暴力中爆发的、最为彻底的挣扎的映照。

在现实世界中，英惠反复被社会规训与家庭暴力所束缚，始终无法找到逃离迷宫的出口。正是在这种无路可退的极端处境中，她最终在精神病院中将梦境中的“坠落”转化为现实行动，即通过彻底地拒绝进食，使身体成为植物性献祭的现场。《树火》中，当姐姐仁慧前往精神病院探视英惠时，对她因绝食而呈现出的身体状态进行了细致而残酷的描写：

“只见英惠平躺在床上……整张脸、脖子、肩膀和四肢已经没有一点肉了，骨瘦如柴的模样就跟灾区饥饿的难民一样……双颊和手臂长出了仿若孩子身上才会有的长长的汗毛。医生解释说，这是由于长时间不进食导致的荷尔蒙失调现象。”（韩江，2021，p.152）

仁慧看着英惠急剧消瘦的脸，以及如海草般未经梳理而显得蓬乱的头发，在震惊与担忧中询问她为何要这样对待自己，并急切地劝她进食。面对仁慧的关心与追问，英惠并未作出直接回应，而是打断了姐姐的话。她将脸凑近仁慧，仿佛在低声诉说一个不可回头的秘密，将自己的决定轻声告诉了她：“姐，我现在不是动物了……我不用再吃饭了，只要有阳光，我就能活下去……很快，我就不用讲话和思考了。”（韩江，2021，p.155）“我现在不是动物了”（韩江，2021，p.155）这句话，意味着英惠与人类世界的彻底决裂。“我不吃”的选择，则是她将梦境中的倒立与下沉付诸现实的绝食献祭。她以这种方式坚定地向下坠去，坠向那个在她的想象中没有性别、没有暴力和规训的植物性生命之中。至此，英惠以彻底绝食的植物化献祭完成了伊卡洛斯神话中由“受困”经“飞翔”直至“坠落”的完整叙事循环，使这一献祭的悲剧原型在当代小说中得以重现。

与此同时，英惠伊卡洛斯式的献祭般“坠落”也深刻影响了仁慧。在《素食者》第一部中，仁慧长期忍受着其丈夫的冷暴力及其父亲所带给她的童年阴影，却一直以妥协与麻痹的方式掩饰自身的痛苦，而在《胎记》和《树火》中，当她目睹英惠被送入精神病院，并以绝食将植物性献祭付诸现实时，她对妹妹的极端反抗产生了触动并深感震撼。这种震撼不仅唤醒了她在以往婚姻中压抑的麻痹状态，也促使她开始反思自身的生存状态：

“所有的一切都毫无意义。再也无法忍受了。再也过不下去了。不想再过下去了。她再次环视房间里的物品，那些东西都不是她的，正如她的人生也不属于她自己一样……她知道自己在很早之前就已死去。”（韩江，2021，p.167）

从弗莱的神话一原型批评视角来看，英惠以极端绝食实现的植物性献祭，是伊卡洛斯式“坠落”的典型原型事件。在《树火》中，这一献祭通过激发仁惠的内在共鸣，使她开始尝试挣脱长期受到的规训与暴力，这也体现了弗莱的观念，即文学中的献祭并非单纯呈现个体毁灭，而是构成神话循环中从“死亡”向“重生”过渡的必要环节（弗莱，2002）。这也恰恰对应着接下来仁惠在小说中所反思的追问：“如果丈夫和英惠没有冲破那道防线，也许倒下去的那个人会是自己……难道说英惠今天吐出的血，不是从她内心喷涌而出的吗？”（韩江，2021，p.184）

因此，此处英惠的伊卡洛斯式“坠落”不再仅呈现了个人英雄悲剧的原型，更通过触动他者即仁惠的内心，使得献祭本身在弗莱的神话视域下完成了从“个体毁灭”到“精神重生”的原型循环。在弗莱的理论视域下，若小说结尾缺乏仁惠的内心觉醒，英惠的自我献祭式坠落可能会更多停留在孤立、悲观的个人悲剧象征层面，而恰恰是仁惠的觉醒，让我们看到原型力量的强大生命力，它既驱动了英惠以暴力方式的反抗，又在仁惠身上引发回响形成精神传递，在故事世界内部产生了积极意义与深远价值。

#### 四、结语

《素食者》三部曲中的英惠，在伊卡洛斯“受困—飞翔—坠落”的原型框架下，显现出一种悲剧性的反抗命运。她的反抗始于噩梦，在语言与社会身份失效之时，身体成为她唯一的战场，并通过“不吃”“裸体”与“成为树”的方式，来持续对抗着现实的规训与暴力。回望韩江曾在诺贝尔文学奖典礼上提出的设问：“一个拒绝成为‘人类’的人，将经历什么”（韩江，2024），英惠的坠落，正是这一问题的回答。与此同时，弗莱的神话一原型理论提醒我们，神话原型不仅塑造着叙事结构，也在文学中生成更深层的影响意义。正如小说结尾，当姐姐仁惠走出医院，看见路边的树木在阳光下熊熊燃烧，如同无数昂然站立的野兽，它们既象征着对暴力秩序的无声抗议，也昭示着个体反抗所生成的延续力量。因此，从小说结尾中仁惠的觉醒来看，英惠的抗争虽以自毁告终，却通过神话原型的力量，显现出对社会、权力与自由意志的永恒追问。或许，这场抗争将仍会继续。

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## 狂欢与对话：《白鲸》的多元文化阐释

黄永亮（Huang Yongliang）

**摘要：**19世纪美国兴起了民族文化独创的热潮，处在社会转型时期的美国在文化上更具有多元对话的特点。梅尔维尔的作品体现了时代的多元文化特征。以《白鲸》为例，结合巴赫金的狂欢诗学理论，本文指出它对人物形象的加冕和脱冕蕴含了狂欢文化自由平等的精神，强调了社会地位和权势具有相对性；小说中有色人种的文化和其它边缘化的事物瓦解了白人文化的中心地位，呈现了多元异质文化平等共存的格局；不同人物思想意识的交锋对话突出了个体意识的差异性和多样性。

**关键词：**赫尔曼·梅尔维尔；多元文化；狂欢；《白鲸》

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**Title:** Carnival and Dialogue: A Multicultural Interpretation of *Moby-Dick*

**Abstract:** The 19<sup>th</sup>-century wave of creating national culture with originality made America more culturally diversified and dialogic in a period of social transformation. Such a multicultural stage is reflected in Melville's works. Based on a reading of *Moby-Dick* through Bakhtin's theory of carnivalization, this paper points out that by crowning and decrowning characters, the novel displays the carnivalistic spirit of freedom and equality, and the relativity of social privilege and status. The non-white cultures and other marginalized aspects dismantle the centrality of white culture, presenting a landscape where diverse heterogeneous cultures coexist as equals. The clash and dialogue of characters' thoughts highlight the heterogeneity and diversity of individual consciousness.

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## 引言

十九世纪早期美国刚从英国的殖民统治下取得政治独立不久，其文化总体上来说还处于模仿和学习欧洲模式的阶段。随着美国国民对文化独立的呼声日益高涨，越来越多的美国作家视创作具有美国特色的民族文学为己任。他们在扬弃欧洲文化传统的同时，努力挖掘美国的本土素材进行文学独创，由此造就了“美国文艺复兴”。赫尔曼·梅尔维尔（Herman Melville）自1846年出版处女作《泰比》（*Typee*）后，又创作了《奥穆》（*Omoo*, 1847）、《玛迪》（*Mardi*, 1849）、《雷德本》（*Redburn*, 1849）、《白鲸》（*Moby-Dick*, 1851）等小说，由于他曾当过航海水手，所以作品大多与航海生活有关，也很具有美国特色。梅尔维尔并不甘心当一个只是为了迎合大众口味的作家，而是力图以有思想深度的作品为刚刚起步的美国文学的发展添砖加瓦。大多情况下，他喜欢写的东西却常不为读者所青睐，甚至受到冷眼讥讽，到去世时他可以说是默默无闻了。从二十世纪二十年代起，经过欧美作家和评论家的挖掘和推崇，梅尔维尔作品的价值才重新被人发现，最终确立了他作为文坛巨匠的地位，而且在现当代文学研究中，他的作品是“一个开采不尽的富矿”，他的重要地位有增无减（刘意青，2020，p.5）。

国内梅尔维尔的研究专家杨金才（2017，p.3）认为美国性是其作品的一大特征。与爱默生（Ralph Waldo Emerson）、惠特曼（Walt Whitman）等作家对美国社会和前景过度乐观的态度不同，梅尔维尔对于19世纪美国民族的个性和行径，如自由和民主、西进运动、资本主义经济发展、领土扩张，既有称赞欢呼的一面，也有困惑、质疑甚至批判的一面。他的立场在很多时候是含混的，思想中具有两重性，他的小说具有开放性和不定性（Mcintosh, 2007，p.23）。这些特点说明梅尔维尔的小说拒绝绝对性的、单一的阐释，和巴赫金（Bakhtin）（1998a，p.13）所推崇的狂欢诗学的多义性、含混性、未完成性等精神内质不谋而合。本文以《白鲸》为例，结合巴赫金的狂欢化理论，揭示其作品具有提倡多元文化和相对主义、拒绝单一文化和绝对主义的内涵。

## 一、人物的加冕和脱冕

狂欢文化的精神实质是自由平等（巴赫金，1998a，p.128），嘲弄和否定一切官方的、权威的、传统的、等级的单一文化。所以，一切高高在上的人物和事物在狂欢文化中都成为降格、颠覆的对象。民间狂欢节中最重要的活动是加冕和脱冕仪式，扮演狂欢国王的小丑在狂欢节尾声时被打倒了。加冕从一开始就包含着后来的脱冕，两者合二为一，象征一种生死更换、新旧交替的循环式变化，是对固定边界和等级制度的消解，“说明任何权势和地位都具有令人发笑的相对性”（巴赫金，1998b，p.163）。

《白鲸》的故事是捕鲸船“披谷德号”的船长埃哈伯（Ahab）被白鲸莫比·迪克咬断一条腿，他带领船员疯狂地追杀它，最后整艘船反被它撞破沉入大海，只有以实玛利（Ishmael）一人得以幸

存。小说中“披谷德号”是一个等级分明的微型社会（周玉军，2012，p.202），而等级观念和世俗传统正是这部作品所要颠覆的对象（Porter，2007，p.76）。作为主角，捕鲸船的最高领导埃哈伯船长当然是加冕和脱冕的主要对象。小说中他还是美国白人文化的代表，是个人主义、白人至上主义、扩张主义等美国民族精神的象征。作者以多维度的视角来塑造人物形象，通过对埃哈伯的加冕展现了美国白人视野中唯我独尊的自我形象，而对其脱冕则体现作者对白人文化的质疑和批判。

小说从一开始关于埃哈伯的那些神秘的传闻传递了一个非凡的、具有王者气概的人物形象，也让新水手以实玛利对他形成一种敬畏的心理，这是作者对他的加冕。例如捕鲸船的经纪人法勒说他不是平常人，像上帝一般，他的长矛百发百中，在食人生番中呆过，经常接触“比海浪更深奥的稀罕事”，“古时的埃哈伯，你知道，那是戴上王冠的国王啊”（梅尔维尔，2001，p.117）<sup>1</sup>。在船开航的一段时间里，埃哈伯隐居在船长室里，只通过三个副手发号施令，这让他更增添一份神秘的、孤家寡人的气质。作者把船上的副手和镖枪手称为骑士和随从，而他们的“最高主子和独裁者”埃哈伯就是这艘船的帝王了（p.163）。他头脑中的某种君王思想化作“一种难以抗拒的独裁行径”（p.192）。他成功地煽动船员帮他向令人闻风丧胆的白鲸复仇，体现了他对整条船的绝对控制和无上权威。他是“船上的可汗，海上的国王以及那些大海怪的伟大主宰”（p.171）。他首次露面时，作者别出心裁的外貌描写展现了一个有着非凡经历的人：

“他活像一个从火刑柱上放下来的人，火焰虽说烧伤了所有他的四肢，却没有毁了它们……他的整个高大魁伟的形象像是用实实在在的青铜在一个无可更改的模子里铸成，犹如切利尼雕刻的《帕尔修斯》像”（p.164）。

作者对古希腊神话英雄帕尔修斯的联想突出了埃哈伯非凡的气概。他直立着，眼睛笔直朝前望去，透露出一种“无所畏惧、一往无前的献身精神”和“刚毅果敢，一种矢志不移、坚忍不拔的顽强意志”。尽管他受尽被鲸鱼咬断腿的苦痛，但“依然保有王者的不可名状的傲视一切的尊严”（p.165-166）。他在第36和119章发表了两场要挑战白鲸和上帝的演讲，体现了他坚强不屈、独立自主的个性。

小说指出埃哈伯的伟大是病态的（p.110），这说明他具有多重、复杂而矛盾的性格。“在他身上，美丽与丑陋，善良与罪恶，伟大与渺小，崇高与卑微并存”（央泉，2014，p.116）。作者对他的脱冕几乎和加冕同步进行，以此突出他复杂多重的性格。他的名字本身就兼有加冕和脱冕的内涵，它实际源自《圣经》。《圣经》的埃哈伯原型是古以色列的国王，也是一个具有多重性格的人物，他颇有才略，曾给国家带来繁荣稳定，然而因亵渎上帝、残暴不仁被杀了。小说中埃哈伯的内心独白还让人想起莎士比亚的悲剧英雄，通过影射《圣经》和莎剧，他被塑造为一个“专为崇高的悲剧而设置”的人物（p.110），所以他的英雄落幕迟早会来。小说出现了一些先知式的人物，如以利亚（Elijah）、迦百列（Gabriel）和费达拉（Fedallah），他们都预言了埃哈伯的死亡。其他船员对他的评价也揭示了他复杂矛盾的性格，起到脱冕的作用。在他们看来，他不乏有邪恶的一面，是一个

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<sup>1</sup>本文中《白鲸》的引文均来自成时的译本，以下引文只标注页码，不再一一说明。

暴君和疯子。例如斯塔勃克（Starbuck）认为他反对被人支配，“要当一个民主派，”自己却专横跋扈、唯我独尊，对别人“作威作福”（p.219）。皮普（Pip）认为他是条可怕的大蟒蛇。法勒（Peleg）说：

“要说有什么病吧，看脸色又不像。说实在的，他没病；不，不对，他也并不健康。……他是了个了不起的，不信上帝又像上帝似的人物。……有一阵子他精神不大正常……他变得喜怒无常”（p.117）。

以实玛利认为他的报仇之心是一种神经错乱，“一种丧失理性的病态心理”（p.239）。“恩德比号”的船长听说他要追杀白鲸，也在质疑他“是不是疯了？”（p.541）

内心独白在巴赫金（1998b, p.99）看来是一种“微型对话”，也具有脱冕的作用。埃哈伯的内心独白凸显了他的双重性格，证明了他本身是一个矛盾的存在。尽管他在船上不可一世，但对自己的命运总有一种不祥之兆。例如他走下房舱时自言自语，“像我这样的老船长，走下这窄窄的小舱口……就好比往下走进自己的墓穴”（p.168）。他像一位迟暮之年的老国王，感到自己终将被淘汰。对他的落落寡欢、孤家寡人的境遇，作者讽刺地说，在“潦倒的暮年，他把自己的灵魂关在他的躯干的空洞中，气忿忿地吮着那惨淡光景的脚掌过日子”（p.199）。作者刻画了他不可一世的王者威风，也说他是个“可怜的捕鲸老头”（p.192）。第30章作者将他比为丹麦国王、海上国王，然后笔锋一转，又以他的独白来展现他的内心烦恼，“这抽烟居然排解不了苦恼。我的烟斗啊！要是连你也没有了法力，那我的日子就难过喽……[我]活像那快死的鲸鱼”（p.171），然后他干脆将烟斗扔到海里。这一动作象征一种脱冕的仪式，他扔掉能给人提供放松快乐的烟斗，意味着他向痛苦和死亡的靠拢。他认为自己遭到天谴，丧失了以往的感受能力，对一切可爱的事物都感到痛苦。他自诩为头戴“伦巴第铁制皇冠”的人（p.217），然而这带给他的不是荣耀，而是让他感到不祥，感到脑筋发疼。他承认复仇之心使他“成了恶魔，我是疯上加疯”（p.218）。正如巴赫金（1998b, p.153）对狂欢文化中精神心理题材的分析所示，埃哈伯的精神错乱、近乎发狂的复仇欲念展现了他个性分裂中的另外一个自我。狂欢文化中国王加冕和脱冕仪式的核心是新老交替的精神。埃哈伯的固执代表一种僵死、老化的观念，一个“即将逝去的、垂死的旧世界”（巴赫金，1998a, p.235），而小说另一个人物以实玛利（如下文分析所示）代表一种流动、新生的观念和生命，故事结尾前者的死去，后者的得救正是旧事物结束、新事物开始的表征。

## 二、白人文化中心地位的瓦解

多元化是巴赫金思想的基本特点，他提倡差异性和多样性。若干多元异质的文化构成了一个文化整体，每种不同的文化都有强烈的主体意识，所以一个多元文化的社会就是各种不同话语和声音共存的世界。一切所谓的“权威声音”“独白话语”的中心地位因为各种文化的交流对话而瓦解，“一言堂”的大一统文化格局也被打破。在美国，白人文化占主流地位，同时也存在印第安文化、黑人文化和其他移民所带来的文化，是个多元文化的国家。然而，基于强化民族认同的需要，美国

白人在对待自己和外部社会时有一种自以为是的“使命感”，对其它文明进行排斥和压迫，试图说服、诱导或强迫它们遵从盎格鲁一新教文化的基本要求（袁先来，2016，p.11）。狂欢文化取消了绝对的理念，代之以快乐的相对性精神（夏忠宪，1994，p.81）。在梅尔维尔笔下，白人文化唯我独尊的绝对性地位受到了质疑。他的作品充满对非白人文化的描写，他不单单看到了异族文化，还在文化碰撞中摆脱原有的批评话语体系，以一个外来者的眼光去重新审视西方文明（李安斌、卢俊霖，2017，p.105）。

《白鲸》的以实玛利在客店遇到了来自南太平洋海岛的土著人季奎格（Queequeg）。在西方白人文化视野中，非白色人种具有野蛮、邪恶的形象。由于对季奎格的成见和无知，以实玛利一开始很害怕他。然而，后来他们成了知心朋友。他成为以实玛利反思文明与野蛮的参照。因为季奎格，以实玛利跨越、模糊了文明与野蛮、基督教与异教的界限，以超然的姿态去重新审视西方文明，从而对白人视野中“固有的文化认知模式和根深蒂固的成见”进行质疑，甚至颠覆（Porter，2007，p.94）。在客栈中，以实玛利说：

“外面的风暴一阵紧似一阵地咆哮。我开始有一种异样的感觉，感觉身内有什么在溶化。……我破碎的心和疯狂的手不再去反对那个虎狼世界。这个使人安心的蛮子已经改变了它。他坐在那儿，他的漠然无动于衷本身象征着一个其中并无暗藏着的表面文明的伪善和貌似和善的欺诈的天地”（p.84）。

也就是说，短短时间的相处让以实玛利之前对季奎格的恐惧、偏见和所接受的基督教文化教育完全瓦解了。在西方基督文化视野中，土著人是还没受上帝感化的野蛮人，他们必须经过教化才能为西方白人社会所接纳。然而，在这里文明与野蛮、基督与异教的地位发生了倒置，对照着季奎格这样朴实正直的土著人，西方文明社会在以实玛利眼里反而是个伪善野蛮的世界。之后，他们俩一起对季奎格随身所带的木偶神像进行礼拜。这是与基督教义背道而驰的，因为基督教义禁止偶像崇拜，禁止多神主义。然而以实玛利认为“你希望别人如何待你，你便如何待人——这便是上帝的旨意”（p.85）。在此，异族文化让他学会换位思考，从对方的立场来反思自身文化的问题，进行平等对话。

以实玛利还说季奎格是“食人生番中长成的乔治·华盛顿”，因为他的额头突出而宽广，让人想起“常见的华盛顿将军的半身塑像上的头颅”（p.83）。华盛顿是美国的缔造者，季奎格是满身纹身、行为古怪的蛮子，这两人被放在一起进行比较，耐人寻味。据研究，在梅尔维尔的时代，华盛顿的塑像遍布全国，他的纪念碑也随处可见（Maloney，2006，p.105）。对美国人来说，他是国父，是真理、正义和权威的缔造者。因此，将季奎格这个文化“他者”和一个民族英雄等同视之，作者打破了偶像崇拜，颠覆了白人至上主义。他的立场非常明确，美国不是由某个像华盛顿这样的白人英雄建立的，而是由众多来自不同文化和种族的普通人建立的，正如埃哈伯的捕鲸队是由来自不同国家和种族的水手组成的一样。对这些异族水手，作者在书中不吝赞美之词。例如第二十七章对季奎格、塔希特戈（Tashtego）和达果（Daggoo）这三个异教徒镖枪手的伟岸体格的描写透射出

他们朴实高贵的灵魂，让白人在其面前也有自愧不如的感觉。

作者民主平等的思想在小说的开头就已流露出来，以实玛利对自己出海当个任人使唤的普通水手这么解释：

我每次出海都是当水手，为的是那船头楼甲板上的有益健康的运动和洁净的空气。因为在这个世界上，顶风的时候远比风从船艄吹来的时候多。……所以司令官呆在后甲板上，他呼吸的气息多半就是在船头楼里水手们排泄出来的。司令以为空气首先到达他那里，其实不然。在别的许多事情上，平民百姓也大抵领先于他们的领袖（p.32）。

这里对船长和普通水手所呼吸的空气进行戏谑的对比，使两者的地位产生了反转倒置（Cowan, 1984, p.74）。作者将其推而广之，使它变成一个能颠覆传统和等级观念的普遍原则，认为在很多事情上百姓领先于领袖。美国作家有以船比喻国家的传统，《白鲸》的“披谷德号”是美国国家的象征，而船长埃哈伯和惠特曼的《啊，船长，我的船长！》（*O Captain! My Captain!*）中的船长一样，是象征国家领导人的修辞。作者对船长的权威和地位的颠覆体现了民主平等的思想，对他来说，一艘船更多是靠水手的劳动，而不是船长。由此类推，一个民族的生存和繁荣更多是靠普通百姓的奋斗，而不是某个白人英雄的领导。在他眼里，美国民主社会不同于欧洲等级社会，普通百姓应该在社会中起主导作用。他在书中指出平民身上令人肃然起敬的尊严与“帝王将相”、“庙堂的官爵”无关，而是见之于“挥镐打桩的人”，甚至“最卑贱的海员、叛教者和为人所不齿的人”也有高贵的品质（p.156）。像古代诗人向文艺女神缪斯祈求灵感一样，作者祈求“伟大的民主之神”证明他以凡夫俗子作为创作的主角是正确的选择。也就是说，他这部美国民族史诗要讴歌的是平民百姓。

梅尔维尔对普通民众、多元文化等的关注也是为了服务民族文化独创的目的。因为十九世纪早期主导美国的白人文化其实也是欧陆传统的精英文化（张科，2020，p.88），所以，美国民族文化的独立，必须打破这些精英文化的统治，将目光转向大众文化、乃至移民文化和土著文化。

### 三、思想意识的对话

对话是巴赫金狂欢诗学中的一个重要概念，他指出“对话关系是一种普遍现象，浸透了整个人类的语言，人类生活的一切关系和表现形式”（巴赫金，1998b，p.55）。它排除了统一的、绝对主义的独白形式，即排除了个人意识形态的统一性，彰显了个体的、民族的、社会的差异性和多样性（谢明琪，2018，p.31）。对话可以在一个有冲突、矛盾意识的人内部进行自我对话，即“微型对话”，如上文对埃哈伯内心独白的分析所示，也可以发生在不同意识的人物之间产生思想的碰撞，即“大型对话”（巴赫金，1998b，p.96）。尽管埃哈伯以船长的身份和独裁的个性控制着整条船，但小说依然渗透着其他人物不同的声音和意识，具有多元化和多声部性质。如第九十九章众人都看着桅杆上的金币，“你看，我看，他看”（p.532），但每个人都对它的图案做出不同的阐释。从小说人物的角度来看，以实玛利是埃哈伯之外的另一个重要角色，这两人不同的世界观和人际观构成小说最明显的不同人物思想意识的交锋。

表面看，埃哈伯追杀白鲸是因为它咬断了他的一条腿，实际上是因为他将其视为一种象征压制着自己人格自由的异己力量，而不仅是一只凶猛的、没有灵性的动物而已。在他眼里，白鲸所象征的异己力量其实就是上帝，这个上帝高高在上，冷漠地俯视着众生在其所编织的命运之网中挣扎，无视他们的苦难和诉求（郝运慧、郭棲庆，2015，p.144）。埃哈伯痛恨上帝的这种无形控制，所以也痛恨象征上帝的白鲸。同十九世纪美国哲人爱默生一样，埃哈伯把自然界看作精神的象征，而不只是物质世界。然而，爱默生用理想和乐观主义的眼光来看待自然，把它视为美和善的化身。他强调精神（即超灵）是“宇宙间至为重要的存在因素”，超灵无所不在，存在于人和自然界内，是扬善抑恶的力量（常耀信，2006，p.165）。埃哈伯则用悲观消极的眼光看待自然，在它身上看到黑暗和邪恶。

以实玛利刚出场时和埃哈伯有些相似，他的情绪低落表明他也面临着人生的危机。他发现自己心情有如阴雨潮湿的冬天，会不由自主地在棺材铺门前逗留或跟在送葬队后面。他和埃哈伯也有很大的不同，后者认为物质世界后面隐藏着黑暗和邪恶，而困扰着以实玛利的不是他在物质之外看到什么“歹毒”的主宰，而是这个貌似充满意义的物质存在之外其实什么也没有（Bryant，1999，p.69），他陷在虚无主义之中。正如他在教堂中看到石碑时的感想所示，在那里他感到“一切信仰的销蚀”、“一片痛苦的虚无”（p.67）。

如果把爱默生和埃哈伯看作乐观主义和悲观主义的两个极端代表的话，那么，以实玛利则是代表一种中庸。他对世界的理解不是非黑即白的，他的空白虚无也意味着多种阐释的可能，他认为世界是多元的，光明与黑暗同在，善良与邪恶并存。他“既不会对好人好事视而不见，对怪异可怖的人事也很快便能辩明”（p.33）。他从灿烂晴空中看到“蕴藏着致人死命的霹雳”（p.609），而当种种忧患痛苦向他袭来时，内心深处却“依然自我沐浴于永恒的欢乐的春风之中”（p.479）。在第35章他警告理想主义的哲学家天真地关注于一个简单化的世界观将会使人生陷入困境，正如水手在桅顶上冥想会导致走神掉入大海一样。以实玛利对事物的观察体现了一种多维视角：季奎格的斧头烟斗既可伤人，又可用来抽烟安抚灵魂；棺材也可以当作救生器；作为香料的龙涎香来自鲸鱼恶心的肠道；阿萨息提斯树林的鲸鱼骷髅上长满青翠的藤蔓，“生命拥抱着死亡，死亡支撑着生命”（p.551）；白色具有美丽、欢乐、纯洁、高贵的象征意义，又有死亡和恐怖的意蕴。以实玛利眼中这些现象具有狂欢世界的双重性，即“伪与真，恶与善，黑暗与光明，凶残与爱抚，死与生的经常混合”（巴赫金，1998a，p.503）。《白鲸》这部小说“阐述了宇宙万物具有双重意义的思想，而且明确指出了人们在认识上的片面性”（吴富恒、王誉公，1999，p.179）。以实玛利对这些具有不定性和多义性的现象的思考，强调了一个多元复杂的世界，也体现意义的探索具有相对性和未完成性。他总能从不同的角度同时去审视世界，而且认识到无论是哪种眼光，其中必定有人的主观意识的作用，用任何单一的视角来探索终极意义的努力最终都是徒劳的，所得的结论也是片面的。

面对生活中的危机和问题，埃哈伯和以实玛利的解决方式也很不一样。埃哈伯顽固不化、拒绝转变。他以暴制暴，对生活遭遇还以报复。而以实玛利则接受变化，“拥抱成长”（p.85），采取和解和友爱的方式去解决问题。尽管在小说开头他以一个悲观消极的形象出场，但他没有沉溺在悲观情绪中不能自拔，而是以出海看看外面世界的方式来避免自杀的悲剧。他也告诫人们要及时摆脱

消极情绪这种“半夜的幻觉，”这样才能避免“船毁人亡的惨剧”（p.519）。尽管蛮子季奎格曾经给他带来恐惧和威胁，他却主动与之接触，两人变成好朋友，而且后者的正直和忠实是促成他变化成长的重要因素，让他进行文化反思，审视白人文化的弊端和局限。从季奎格身上，他学到了友爱互助。季奎格两次分别舍身跳进海中和鲸油池去救人，展现了互爱互助的优秀品格，而身为捕鲸船二副的白人斯德布为了追捕鲸鱼，对不慎落水的皮普置之不理，致他被吓坏变成痴呆。这两者形成强烈对照，季奎格这面镜子照出了西方白人文明的虚伪和卑劣。

在人际关系上，埃哈伯自我孤立，独断独行，体现了爱默生的自助精神。爱默生在《论自助》（“Self-Reliance”）中强调了自助的人格意义，他相信个人的力量，而不是人群。在《美国哲人》（“The American Scholar”）中他还说，“世界是不足道的，人是一切，一切自然规律都在你心里。”他之所以相信个人的力量，是因为他认为“人是依上帝形象造出来的，只比上帝差一点”（常耀信，2006，pp.182-183），而埃哈伯走得更远，他不满足于“人比上帝差一点”的地位，他自己想成为上帝，而不是受人主宰。自助人格在埃哈伯那里得到过度放大，发展成为自私傲慢的极端个人主义。他一副高高在上、唯我独尊的架子，他对自己也有需要别人帮忙的时候感到可耻，例如木匠给他做一条假腿，他却说“我在这儿，神气得好像一位希腊的天神，却在求一个蠢货给我一条腿，好让我站起来！……我真想像空气一样自由自在，可我欠下了整个世界的账”（p.575）。以实玛利则认为人人应该互助合作，同时他也甘愿屈身人下，做一个受人使唤的下手，因为他认为“谁又不是奴隶呢？”（p.31）季奎格的舍身救人使他认识到“这是个彼此依存、合股经营的世界”（p.96），并在捕鲸集体劳动中进一步发展了他的“协同互助”理论。例如麻绳两端各拴住一位水手以便其中一位对死鲸鱼安全地进行割膘工作，这让以实玛利看到他们“成了一个两人的合股公司”，构成“生死与共的情谊”（p.400）。在猎捕鲸鱼时每人都有随时被曳鲸索拉出艇子丧命的危险，“所有的人都生活在曳鲸索的包围中，人人都生来脖子里就有根绞索”（p.358）。这里他所指的不只是捕鲸行业，而且指涉任何社会生活，所有人无论是长官，还是普通水手，都是平等的，必须团结一起，构成命运共同体。水手们一起干揉捏鲸脂的活使他感到大家“变得你中有我，我中有你；让我们大家全都变成一个油乳交融的友善的共同体吧”。以实玛利的互助友爱原则与埃哈伯的孤立主义形成对照。同时，鲸脂的形状和气味还让以实玛利想到葡萄汁和紫罗兰的香味以及“在妻子，在心灵，在床上，桌上，马上，在炉火边，在乡间”的幸福，让他“感到种种敌对意气、暴躁情绪、邪恶念头顿时化为乌有，感到到达一种神圣的解脱境界”（p.511）。这表明他愿意去拥抱日常生活的乐趣和爱，抛弃那些愤世嫉俗的消极意念。与此相反，埃哈伯一气之下扔掉烟斗，断绝对家中妻儿的思念，义无反顾地追杀白鲸，这象征他对正常生活情趣、乃至人性的抛弃。

#### 四、结语

作为一个新兴的多种族、多民族的移民国家，19 世纪的美国在文化上已具有高度的流动性和多元性。另外，此时美国正处在文化转型时期，谋求文化独立创新的使命促使美国人在对欧洲文化传统的扬弃中更积极主动地利用本土文化资源进行创作。所以，新旧思想价值观念的交替以及不同文化的融汇和碰撞使美国的社会文化更加呈现多元对话、众声喧哗的特点。这样的社会文化背景以及

梅尔维尔在水手生涯中接触过各式人物和文化的人生经历，无疑为他的创作创新奠定了基础。他具有狂欢特点的写作正是社会文化多元性和开放性的反映。《白鲸》的埃哈伯船长在小说的“微型社会”中是权威和统治的代表，也是美国白人文化的象征，小说在对其加冕和脱冕中展现了多重、复杂的人物性格，也说明社会权势和地位具有相对性，体现了狂欢文化中自由平等的精神。作者对美国主流文化的质疑和批判不只体现在具体象征人物的塑造上，还利用边缘化的事物对其进行嘲弄和颠覆。他在有色人种文化中观照白人文化，从而瓦解后者唯我独尊的中心地位，呈现多元异质文化平等共存的格局。小说不同人物思想意识的交锋形成了对话关系，彰显了个体意识的差异性和多样性。

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## Through the Literary Lens: A Review of *Postmodern Thought and Historical Writing*

Wang Shuai, Xu Shuangru

**Abstract:** *Postmodern Thought and Historical Writing*, authored by Pang Hao, stands as a landmark work in China's historiographical theory field in recent years. Taking "historical writing" as its focal point, the book systematically examines the complex interplay between postmodernism and historiography spanning half a century since the 1970s. Beyond clearly outlining how postmodernism reshapes historical scholarship through five key themes, i.e. language, power, grand narratives, representation, and knowledge, the work also addresses prevalent misconceptions and controversies surrounding postmodern theories in Chinese academia through rigorous textual analysis and historiographical research. This paper argues that the book's value lies not only in its comprehensive review of postmodern trend's interactions with western historiography, but more importantly in providing theoretical resources with significant reference value for hot topics in literary studies such as "non-fiction writing" and "new popular literature and art." By revealing profound transformations in historical writing across narrative and fictional dimensions, the book opens new dialogic spaces for literary researchers to explore intricate relationships between literature and history, reality and fiction, as well as elites and the masses.

**Keywords:** postmodern thought; historical writing; non-fiction writing; new popular literature and art

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**标题：**透文学之“眼”——评《后现代思潮与历史书写》

**摘要：**庞昊的《后现代思潮与历史书写》是近年来国内史学理论领域一部具有里程碑意义的著作。该书以“历史书写”为切入点，系统梳理了20世纪70年代以来后现代思潮与历史学长达半个世纪的复杂互动。本书不仅清晰勾勒了后现代思潮如何通过语言、权力、宏大叙事、表现与知识五个关键主题重塑历史学的问题意识与实践方式，更以扎实的文本分析与史学史梳理，回应了国内学界对后现代理论的诸多误读与争议。本文认为，该书的价值不仅在于其对后现代思潮与西方史学互动过程的全面回顾，更在于它为文学研究领域中的“非虚构写作”“新大众文艺”等热点议题提供了极具参照价值的理论资源。通过揭示历史书写在叙事性、虚构性等层面的深层变革，本书为文学研究者思考文学与历史、真实与虚构、精英与大众之间的复杂关系，开辟了新的对话空间。

**关键词：**后现代思潮；历史书写；非虚构写作；新大众文艺

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### 1. Introduction to the Book

*Postmodern Thought and Historical Writing*, authored by Pang Hao, emerged at a seemingly paradoxical moment: the peak of postmodern trends in the field of historiography had already faded. As John H. Zammito observes, “as a phase within the argumentation surrounding historical practice, postmodernism has come to an end” (2013, p.12). However, it is precisely at this turning point of “the ebb of tide” that Pang Hao keenly identifies a crucial academic opportunity: the decline of postmodern thought does not signify the disappearance of its influence; rather, it provides us with a perspective for “organization and reflection,” enabling contemporary scholars to “comprehensively examine the impact of postmodern thought on historiography and provide a balanced assessment of its contributions and limitations to its development” (2025, p. back cover).

The entire book centers its research on “historical writing,” a choice that itself reflects the author’s profound understanding of the complex relationship between historical practice and theoretical reflection. According to Pang Hao, historical writing can be seen both as a direct manifestation of postmodern thoughts

influencing historiography and as a practical arena where historians apply, critique, and revise postmodern theories (2025, p.9). By focusing on the specific and detailed aspect of “historical writing,” the author successfully avoids the vagueness and abstraction commonly found in historical theoretical research, grounding the theoretical discussion firmly within concrete historical texts and writing practices.

In terms of structural organization, this book demonstrates remarkable logical rigor. The author divides the five core themes recurrent in postmodern thought, i.e. language, power, grand narratives, representation, and knowledge, into five dedicated chapters, examining respectively how these themes have entered the historical discipline’s framework, influenced historians’ research paradigms and modes of writing, and enabled historians to critique and refine postmodern theories throughout this process. These five themes are not arranged arbitrarily but follow an inherent logical progression: language and power constitute the fundamental prerequisites enabling historiography; grand narratives and representation serve as the modes of presentation in historical research; and knowledge represents the ultimate goal of historical inquiry. This structural arrangement enables the book to comprehensively illustrate the interaction between postmodern thought and historiography while maintaining a clear analytical thread and coherent argumentative rhythm.

At the methodological level, Pang Hao demonstrates solid academic expertise and a broad scholarly perspective. In the first section of each chapter, the author first revisits the original arguments of postmodern theorists (such as Saussure, Foucault, Derrida, and Lyotard), integrating the latest research findings to faithfully reconstruct their original intentions; then examines how postmodern historical theorists (including Hayden White, F. R. Ankersmit, and Keith Jenkins) applied these ideas to the field of historical theory; finally, in the second and third sections, the author analyzes how postmodern thought takes root in actual historical practice through detailed examinations of specific historical writings. This progressive framework of “theory–history of theory–historical practice” ensures that the book can combine theoretical depth with substantial historical rigor.

Notably, the author provides a meticulous analysis at the micro level of historians’ reception of postmodern theory. He observes that historians’ understanding of postmodern theory sometimes exhibits a phenomenon of “indigestion,” which can manifest as either superficial misinterpretation or creative appropriation. For instance, while analyzing Robert Darnton’s *The Great Cat Massacre and Other Episodes in French Cultural History*, Pang Hao points out that although the work is relatively superficial in terms of theoretical insight, its pioneering nature and significance in the historiography cannot be overlooked (2025, p.100). This objective attitude, which affirms contributions while not shying away from problems, runs throughout this book, enabling it to avoid the extreme stances of “apologetics” or “criticism” common in many academic works, and presenting a rare balance and prudence.

## 2. The Interdisciplinary Dialogue between “History” and “Literature”

As a seminal work in historiography, this book integrates postmodern thoughts within the framework of historical discipline itself, presenting five themes through a progressive logical framework. Among these, the

chapters on “historical representation” and “historical knowledge” particularly highlight the interdisciplinary nature of historiography. When it comes to “historical representation,” Pang Hao transcends the traditional distinctions between concepts such as “historical compilation” and “historical narrative,” employing the term “writing” to integrate various historical texts. In the chapter on “historical knowledge,” the author further elaborates on “historiography as literature and art” through the section titled “Beyond Historical Knowledge.” This integration of truth and imagination in historical writing further facilitates interdisciplinary dialogue between history and literature. The book’s re-examination on the essence of “historical writing” resonates strongly with contemporary literary and cultural studies’ focus on hot topics, such as “non-fiction writing” and “new popular literature and art,” serving as a concrete demonstration of its practical relevance.

Firstly, the book’s redefinition of “historical writing” to transcend traditional boundaries in literary and historical disciplines, has promoted academic scholars to reconsider the interplay between “literariness” and “authenticity.” This focus resonates intriguingly with current discussions on “non-fiction writing” in literary studies. “Referring to the rise of ‘non-fiction writing’ in the Chinese literary field of the new century, which has garnered widespread attention and become a widely debated literary phenomenon (or trend), the key reason cited is the commitment to and pursuit of ‘truth’” (Ouyang, 2025, p.14). In recent years, non-fiction works such as Chinese writer Liang Hong’s “Liangzhuang” series and Chinese-Canadian writer Chen He’s *Bukit Merah Camp* (《米罗山营地》), have sparked intense discussions among literary critics regarding issues like “truth,” “being present,” and “witnessing.” These works often operate at the boundary between literature and history, between documentary and fiction, and their authors range from professional writers to scholars, journalists, and even ordinary individuals. Just as Deng Xiaomang notes, “the truth of history is the truth of human nature; it possesses objectivity, not absolute objectivity, but objectivity permeated with subjectivity” (2013, p.105). This phenomenon precisely illustrates that how postmodern thought has challenged and transformed the traditional concept of “historical writing,” fundamentally altering both its subject and form.

Secondly, this book’s systematic examination of postmodern linguistic criticism provides literary researchers with valuable theoretical resources for contemplating the narrative qualities of non-fiction works. Hong Zhigang highlights the limitation of such works as “weak artistic quality,” which manifests in “most authors overemphasizing narrative authenticity and excessively highlighting the creator’s own cognition and reflections, resulting in a narrative process that... strives to objectively portray the real experiences of characters... attempts to reinforce the authenticity of historical records... and is permeated with subjective interpretations and value judgments” (2016, p.70-1). It is not difficult to observe that non-fiction writing is often simplistically understood as “truthful recording,” with its literary quality regarded as a supplement or embellishment to “truth.” However, Pang Hao’s reference to the New Cultural History’s assertion that “language is not a ‘transparent medium’” to deconstruct historical writing, and citation of Hayden White’s four tropes as well as narrative structures to argue that “there is no essential difference between historical writing and literary writing” (2025, p.14, 12), both break down the disciplinary boundaries by postmodern

thought. This insight reminds us that the “truth” in non-fiction works does not merely present self-evident objective facts; it also constructs a “sense of authenticity” through specific narrative strategies. This is precisely a defining characteristic of non-fiction writing that engages with real society under the guise of “truth.”

Thirdly, the book’s discussion of postmodern critiques of power offers a crucial critical perspective on the issue of “new popular literature and art” within literary and cultural studies. The term “new popular literature and art” refers to “a comprehensive overview of the various emerging literary and artistic forms and cultural phenomena in today’s internet environment. It represents the concentrated manifestation of artistic innovation under internet conditions and, more importantly, a new cultural form that aligns with social development in the new era while fulfilling people’s spiritual and cultural needs” (Zhang, 2026, p.1). In today’s era dominated by mass media, emerging cultural forms are gradually replacing the traditional artistic production mechanisms that have long concentrated “art” exclusively in the hands of a select few, enabling ordinary people to become creators of art as well. As Pang Hao repeatedly emphasizes in his book, a key aspect of postmodern thought is precisely “breaking down the divide between elites and the masses” (2025, p.5). This judgment resonates strongly with the theoretical discourse on “new popular literature and art” in recent literary studies. Furthermore, Pang Hao’s caution that “experimental historiography risks falling into the trap of consumer capitalism” (2025, p.290), encourages contemporary scholars to adopt a dialectical perspective toward this emerging cultural phenomenon. While “new popular literature and art” aligns with social trends like modernization, technological advancement, and de-elitization, this phenomenon raises questions: is it merely a new wave of “popularity-driven products” shaped by mass consumer markets? By catering to public expression desires, does it simultaneously undermine the potential for deep reflection and critical engagement? These questions invite endless contemplation.

Finally, the book’s discussion on critiques of postmodern grand narratives offers a new perspective for literary researchers to examine the ethical issues surrounding historical narrative. A shared characteristic of non-fiction writing and “new popular literature and art” is its focus on the destinies of “ordinary people.” By reflecting the vicissitudes of an era through individual fates, these works strive to capture the life experiences of common individuals at a micro level, thereby challenging the approach of simplifying history to grand narratives. In analyzing microhistory writing, Pang Hao holds an opinion that the postmodern critique of grand narratives has prompted historians to focus on the “ordinary people” and “the other” in history. However, Pang Hao does not fully endorse microhistory writing. “The postmodern critique of grand narratives laid the foundation for the emergence of new grand narratives. Macro-history and Deep History are attempts by historians to reconstruct grand narratives and grand theories” (Pang, 2025, p.198). This in-depth exploration of a global perspective has inspired literary scholars to ask: do non-fiction works that focus on individual destinies truly address the structural causes of individual suffering, or do they merely remain at the level of being “moving,” thus becoming objects of “emotional consumption”?

### 3. Contributions of the Book and Discussions

Overall, the academic contributions of *Postmodern Thought and Historical Writing* can be summarized in the following dimensions.

Firstly, it provides an interdisciplinary research paradigm. The book's research approach, i.e. alternating between theoretical exploration, engagement with writing practices, and subsequent theoretical reflection, serves as a valuable model for interdisciplinary studies. Rather than simplistically opposing history and literature, the author reveals their commonalities in narrative, rhetorical, and expressive dimensions, thereby facilitating interdisciplinary dialogue between the two fields.

Secondly, it expands postmodern historical research. As the author notes in the review section, although considerable scholarly discussions have taken place domestically and internationally on postmodern historical writing, "no comprehensive work has yet been published to examine the relationship between postmodern thought and historical writing" (Pang, 2025, p.37). The publication of this book, to some extent, effectively addresses this research gap. Through rigorous historical documentation and theoretical analysis, the author provides readers with a comprehensive overview of the nearly half-century-long interaction between postmodern thought and historiography relatively well.

Thirdly, it clarifies the misinterpretations of postmodern theories within the domestic academic community. The author repeatedly emphasizes in multiple chapters that researchers' understanding of thinkers such as Foucault and Derrida is often one-sided or even erroneous. For instance, he explicitly states that Derrida's assertion that "nothing exists outside the text" does not deny the existence of the real world, but rather underscores that "language can only convey meaning within a specific context"; similarly, Foucault's critique of knowledge and power does not advocate for knowledge relativism, but rather urges vigilance toward systematic knowledge (Pang, 2025, p.291). These clarifications hold significant academic value for fostering a more accurate understanding of postmodern theory within the domestic academic community.

However, any work inevitably leaves room for further discussion. In the fields of literature and cultural studies, the intersection of "postmodernism" and "historical writing" has also sparked considerable academic debates.

① Debates regarding the relationship between "postmodernism" and "popular culture and art". In the process of discussing how postmodern thought breaks down the divide between elites and the masses, this book places greater emphasis on postmodern theorists' "explanations" and "affirmations" of this phenomenon, while dedicating relatively less attention to its inherent complexity and contradictions. In recent years, with the rise of "new popular culture and art," cultural researchers have increasingly recognized that popular cultural production is not inherently liberating. Forces such as algorithmic recommendations, the traffic economy, and emotional consumption may more effectively shape public expression than traditional elite systems. As Xu Jing illustrates, "the extreme emotional outbursts and highly homogenized micro-series narratives of 'domineering tycoons' and 'revenge' that we see on screens appear, on the surface, to be choices made by consumers autonomously; in reality, however, they represent a form of reverse conditioning imposed

by platform algorithms through data-driven analysis of human weaknesses and widespread social anxieties” (2026, p.12). Can postmodern theories sufficiently aid us in critiquing this new cultural production mechanism? This is perhaps a question that warrants further exploration.

② Questions regarding the narrative paradox of “non-fiction writing.” This book highlights the similarities in narrative structure between historical and literary writing, which is undoubtedly enlightening for understanding non-fiction writing. However, we also need to consider whether there exists a narrative ethics of “non-fiction” in the present day, where the boundary between “non-fiction” and “fiction” is increasingly blurred. In other words, when we acknowledge that all the writings are narrative construction, do we thereby lose the criterion for the distinguishment between “truth” and “falsehood”? Pang Hao observes that “for historiography, a discipline aimed at seeking truth, the dissolution of knowledge itself signifies its death” (2025, p.239). This assessment equally applies to literary studies. If non-fiction writing degenerates into mere narrative textual games, how can its ethical power as “witness” be demonstrated?

③ Questions regarding the tension between “microscopic writing” and “structural criticism”. While acknowledging the humanistic concern inherent in micro-history writing, this book also identifies its potential “nihilistic” tendency. This indeed is a profound insight. However, in concrete literary criticism practice, how can we delve into individual life experiences without neglecting critical engagement with structural issues? Does any writing approach exist that can establish an effective theoretical bridge between the microscopic and the macroscopic? These questions may require further dialogue between literary studies and historical theories.

④ Regarding the intersection of “posthumanism” and “new popular literature and art.” The third chapter of this book, states that “the introduction of posthuman thought ... also suggests that historians can write a comprehensive history from a posthuman perspective” (Pang, 2025, p.198). This perspective can equally be extended to literary studies. In recent years, the rise of posthumanist approaches in science fiction, AI-driven writing, and cybernarratives has been transforming our recognition of “literature” and “writing.” As writing is no longer confined to human authors and “authors” may include artificial intelligence systems like algorithms, do we need to reconsider the essence of “non-fiction writing”? Although the book touches upon the topic of posthumanist thought, it does not provide an in-depth analysis.

#### 4. Conclusion

Pang Hao’s *Postmodern Thought and Historical Writing*, is a work that combines profound theoretical depth with substantial historical rigor. It doesn’t only provide a systematic overview of the complex interplay between postmodern thought and historiography within the domestic academic community, but also offers valuable theoretical insights into hot topics in literary studies, such as “non-fiction writing” and “new popular literature and art”, through its incisive analysis of historical writing. In an era where postmodern thoughts are gradually receding, the significance of this book may precisely lie in prompting us to reconsider: how do we inherit the legacy of a theory after its decline, critique its limitations, and build upon this foundation to embark on new academic explorations? As the author notes in the conclusion, “the retreat of postmodern thoughts

doesn't signify the demise of Barthes, Foucault, or Derrida" (Pang, 2025, p.291). Similarly, the decline of postmodern thoughts doesn't signify the end of our discussions about their legacy. On the contrary, it is precisely after this "retreat" that we can more calmly examine the thinkers who were swept along by the "tide" and more clearly reflect on the academic issues that were once dominated by it. In this sense, *Postmodern Thought and Historical Writing*, as a brilliant "flower" blossoming from the fertile soil of "literature-history integration," has effectively and profoundly advanced postmodern historical research while offering valuable insights for fields such as literary and cultural studies.

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## Why Are the Flowers So Red: A Review of Dai Jianye's Essay Collection *"Mantra Trilogy"*

**Ma Lili**

**Abstract:** The reason Dai Jianye's "Catchphrase Trilogy" has become a phenomenal bestseller lies in the interplay of three types of "power": 1. The Power of Substance: The prose collections draw on a wide range of sources, showcasing the author's extensive knowledge of classics from both ancient and modern times, as well as his profound expertise in the study of classical Chinese literature. By blending academic depth with literary creation, the works present unique and profound insights, demonstrating exceptional writing skills. This contributes to the promotion of general education and the popularization of traditional Chinese culture. 2. The Power of Warmth: The author respects women and holds bold and progressive views on gender relations and love. His reflections on family education and parent-child relationships serve as a solid reference for parents and offer valuable guidance for the growth of young people. The prose collections are imbued with the author's nostalgia for his hometown, familial affection, friendships, romantic love, teacher-student bonds, and humor, as well as his sense of responsibility, commitment, and love for society. 3. The Power of Ideological Appeal: The author advocates for pursuing the vitality and passion of life while criticizing the mediocrity and apathy prevalent in contemporary society. He demonstrates remarkable foresight and sound judgment regarding the issues inherent in the online world. His reflections on higher education are

profound and forward-thinking. The problems he critiques, the ideas he champions, and the warnings he issues carry significant and enduring relevance, exerting a strong attraction and guiding force on readers.

**Keywords:** Dai Jianye; “Catchphrase Trilogy”; Bestseller

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**标题:** 花儿为什么这样红——评戴建业散文集“口头禅三部曲”

**摘要:** 戴建业“口头禅三部曲”成为现象级畅销书的原因在于三种“力”的作用：一、内容的实力：散文集旁征博引，体现了作者对古今中外经典的广泛了解，以及在中国古典文学研究方面的深厚造诣，将学术底蕴与文学创作相融合，见解独到而深刻，写作技巧高超，有助于推进通识教育与国学知识的普及。二、情感的热力：作者尊重女性，其两性观、恋爱观大胆而进步；其对家庭教育和亲子关系的反思，是父母育儿的硬核参考，也是青少年成长的有益指引；散文集融入了作者的乡情、亲情、友情、爱情、师生情和幽默风趣，以及作者对社会的责任、担当与热爱。三、思想的引力：作者倡导追求生命的活力与激情，批评现实社会中的平庸与消沉；对网络社会存在的问题具有极强的前瞻性和准确的判断力；对高校教育的反思深刻而富于预见性。作者所针砭的问题、所主张的观念，所发出的警醒，都具有重要而持久的现实意义，对读者具有强大的吸引力与指引力。

**关键词:** 戴建业；口头禅三部曲；畅销书

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### Introduction

Professor Dai Jianye’s essay collection, the “Catchphrase Trilogy”, consisting of *Ni ting dong le mei you* (Did You Understand?), *Wo de ge tian* (Oh My Heavens), and *Lang man de yao ming* (Romantic to Death), has sold over 600,000 copies to date since its successive publication in 2019, 2021, and 2025, becoming a phenomenal bestseller and a marvel at a time when the print media era is in decline.

Why are the flowers so red? Why are Professor Dai’s essays so popular? This is a question worth pondering.

As is well known, before his essay collections became bestsellers, Professor Dai was already a nationally known “internet celebrity professor.” In October 2018, clips from his lectures on Tang poetry, uploaded to Douyin (TikTok) by the Chaoxing Master Teacher Forum, garnered over 20 million views and over 1 million likes for a single video on the day of upload, thanks to his humorous expressions and uniquely fresh insights, with his followers increasing by over 100,000 per day. In August 2019, Shanghai Literature and Art Publishing

House published *Did You Understand?*, and by the end of that year, sales had exceeded 100,000 copies. The online popularity brought by new media dissemination was undoubtedly the initial catalyst for the warm reception of Professor Dai's works.

However, in the internet age, the heat of fame often comes and goes quickly; popularity may bring fleeting hot sales but cannot sustain continuous bestseller status. What fundamentally attracts the readership as consumers and creates the marvel of sustained print book sales in the digital era?

Sartre once said, "Between the signposts set up by the author lies a void that the reader must fill themselves." That is, the value and meaning of a text can only exist through the reader's act of reading. The "guidance" different readers gain from the signposts in Professor Dai's books will certainly vary, as everyone has their own understanding and insights. Yet the sense of "arrival" that everyone ultimately attains must share common ground, because only shared recognition and anticipation would create the marvel of the trilogy's consecutive bestseller status.

Overall, Professor Dai's "Catchphrase Trilogy" possesses three kinds of "forces" that sufficiently satisfy readers with a sense of "arrival."

### 1. The Power of Substance

The content of the trilogy is very substantial, reflecting the author's extensive familiarity with classics from ancient and modern times, China and abroad, as well as his profound expertise in classical Chinese literature. This allows readers to gain practical knowledge, intellectual inspiration, and aesthetic pleasure.

Citing extensively from various sources is a major manifestation of the strength of Professor Dai's essays. In his articles, whether classics from ancient or modern times, China or abroad, spanning literature, history, philosophy, psychology, sociology, and political science, he always draws upon them effortlessly. This not only broadens readers' horizons but also greatly enhances the readability of his essays. For example, the essay "Men" (Dai Jianye, 2023a, p.2) opens with quotations from psychologist Erich Fromm's exposition on "freedom," the great poet Tao Yuanming's lament "Life is truly hard" from his *Self-Elegy*, and philosopher Arthur Schopenhauer's view that life is a recurring cycle of desire, suffering, and satisfaction. Within a short span of about three hundred characters, the quoted content spans ancient and modern times, China and abroad, and the fields of psychology, literature, and philosophy. Due to the close logical connections among them, the reading experience is neither pedantic nor obstructed by dense allusions.

In the internet age, citing extensively has become easy. However, it is still easy to distinguish between forced quotations used to "show off" and naturally occurring, apt, and appropriate allusions. Beyond examining the logic of the writing and the transitions and turns of the rhetorical style, understanding the author and his times remains a very useful method. From Professor Dai's essays, we learn about his educational journey and reading preferences. For example, because he enjoyed English essays, he directly translated them himself. His proficiency in English even allowed him to read some original English philosophical works. With

this kind of diligent and persevering scholarly spirit, the famous authors and works that Professor Dai writes about are not merely quoted but become natural expressions of the landscapes in his mind and the light from his pen.

For this reason, Professor Dai's extensive citations are truly adept; no matter what literature he quotes, it blends seamlessly with the article's purpose, like salt in water or nectar in flowers, greatly broadening readers' horizons, making them feel as if they have entered a treasure mountain, lingering with delight.

Integrating scholarly depth into literary creation is another manifestation of the strength of Professor Dai's essays. Fan Jun's "A Brief Discussion on Dai Jianye's 'Catchphrase Trilogy'" (Fan Jun, 2026) praises Professor Dai's essays for possessing "two pens"—the seamless integration of the scholar's pen and the writer's pen. In Professor Dai's writing, scholarship is by no means obscure or dull; instead, it has a lightness that can move mountains.

For instance, in "In Praise of Eros" (Dai Jianye, 2025, p.159), which discusses when the Nineteen Old Poems were composed, the author, relying on his clear understanding of the characteristics of Western Han and Eastern Han society, uses three arguments—differences in the practice of naming taboos, the construction of Luoyang city, and the emergence of individual self-awareness—to concisely infer that the Nineteen Old Poems were written in the late Eastern Han period. Regarding who wrote the Nineteen Old Poems, he integrates the historical context, starting from the distinction in the minds of people of that time between the refined four-character verse and the more vernacular five-character verse, explaining that the poems' anonymity is precisely because five-character verse was not yet considered elegant enough for authors to wish to attach their names. This conclusion also serves as counter-evidence that the Nineteen Old Poems were not written by Cao Zhi or the Jian'an poets, as the five-character poems surviving from the Jian'an period all bear authors' names, indicating that the era of the "prosperity of five-character verse" centered around Cao Zhi had already begun by the Jian'an period. The entire reasoning process is handled with ease, like a skilled butcher dissecting an ox, demonstrating the author's profound accumulation in history and literature as well as his sharp thinking.

The scholarly expression in Professor Dai's essays is like Bai Juyi's yuefu poetry—understandable even to an old woman. Academic research is most prone to being so specialized that it becomes inaccessible to outsiders, but Professor Dai's integration of "two pens" can move this mountain, opening a path for the general reader in the promotion of general education and the popularization of classical Chinese learning.

Unique and profound insights are yet another manifestation of the strength of Professor Dai's essays. The "Catchphrase Trilogy" contains many unique and profound insights, especially when interpreting classical poetry, where these insights burst forth like light, illuminating the reader's eyes. For example, Professor Dai's observation that the lines "The sun rises from the remaining night of the old year / Spring enters the old year before it departs" contain the vigorous and powerful spirit of the High Tang era is very impressive. Perhaps these lines are simply the poet's natural description of time and seasonal changes, but Professor Dai discovered the positive spirit and power within them, and the nurturing influence of High Tang ethos on the poet's

temperament and poetic spirit—profound and thorough. Classical literary research is Professor Dai’s specialty, so his brilliance there may not be surprising. Let us then take two examples of his discussions of social issues.

For example, in “Classmate, Say It Properly” (Dai Jianye, 2023b, p.105), the author defying the majority opinion, offers a fair and serious critique of the Zhejiang Province college entrance examination perfect-scored essay “Living in the Trees.” He hits the nail on the head, pointing out that this essay, as obscure as a heavenly script, crammed with a host of philosophical, sociological, ethical, and literary giants, and filled with pseudo-academic stylistic expression, essentially catered to the grading preferences of the head of the Zhejiang Province essay grading panel, representing a kind of insincere and opportunistic writing. Moreover, the personal preferences of the grading panel head are harmful to society. Faced with specious issues, ordinary people find it difficult to make independent judgments and often merely submit to authority or follow the crowd. However, Professor Dai, confronting an expert on grading college entrance examination essays and a dazzling “perfect-scored” essay, maintained a clear head and independent judgment. His insight derived not only from his logical reasoning skills but also from his deep familiarity with Chinese and foreign classics—the very foundation of his independent judgment.

In “A Robust Life Needs Even More Reasons” (Dai Jianye, 2023a, p.71), regarding the incident where a Liaoning Province top scorer in the college entrance examination withdrew from the University of Hong Kong to retake the exam, aspiring to be admitted to Peking University to study “pure Chinese classics,” the author bluntly states that “retaking the exam is harmful to one’s physical and mental health.” He objectively analyzes the respective characteristics of the University of Hong Kong and mainland Chinese universities and frankly criticizes the official media for over inflating the issue. The top scorer’s withdrawal and retaking of the exam might be merely a personal act, but Professor Dai observes the social impact of this incident and the potentially dangerous factors that could emerge from it. Professor Dai’s insights on social issues are not only unique but also embody the intellectual’s integrity and sense of responsibility, helping readers gain intellectual inspiration.

Superb writing technique is yet another manifestation of the strength of Professor Dai’s essays that attracts readers. The “Catchphrase Trilogy” is written with a brilliant pen, turning everything into wit. It is not only meaningful but also interesting, bringing readers aesthetic pleasure and even a sense of deep satisfaction from reading. Professor Dai’s writing techniques are seamlessly integrated between the lines, too numerous to list. Here, I will take a shortcut—using the technique of glimpsing a leopard through a single spot—and use the titles of Professor Dai’s essays alone to demonstrate this conclusion.

For instance, opening *Romantic to Death*, one is immediately struck by a title like “Life May Have No ‘Meaning,’ But It Cannot Lack ‘Interest’” (Dai Jianye, 2025, p.12). How can life lack meaning? This is almost a subversion of the worldview and outlook on life that people have long held. After reading the essay, the reader suddenly understands: lofty “meanings” of life often lead people into difficulty and disappointment; life goals tailored to oneself allow one to truly experience the beauty of life. For those troubled by life, at a low point in their career, or pessimistic about society, living with “interest” is a warm way station on a long journey, and can even be a destination.

The book *Romantic to Death* contains many such “click bait” titles, such as “Su Dongpo the Foodie” (Dai Jianye, 2025, p.37). This is an elegant essay under a vulgar title. It quotes extensively from Su Shi’s poems, essays, and other writings, as well as original passages from poetry critiques, notes, historical records, Buddhist scriptures, and includes some textual research on names and objects. Much of this content would normally be daunting to the average reader, but through Professor Dai’s inspired pen, it becomes a pathway for readers to understand Su Shi’s life experiences and personal integrity. Other examples include “Rap Master and Life Expert,” reviewing Bai Juyi’s poetry, and “Studying Art Like Studying Plants and Animals,” reviewing Taine’s *Philosophy of Art*—all captivating titles. The titles mentioned earlier, such as “Classmate, Say It Properly” and “A Robust Life Needs More Reasons,” adopt film titles and internet slang, creating a playful psychological interaction with readers that they will readily appreciate.

## 2. The Power of Warmth

The “Catchphrase Trilogy” is a work with warmth. The enthusiasm, candor, vividness, and humor nurtured by the author’s true nature are like a spring breeze on the face, giving readers spiritual warmth and humanistic care, and inspiring them to pursue the beauty of life.

Respect for women, along with a bold and progressive view of gender, love, and marriage, is the warmth and strength that the “Trilogy” gives to all women, and men as well. Professor Dai’s advocacy for gender equality is far more radical than that of ordinary people. His views strike directly at the taboos of traditional Chinese norms. In “What Is the Most Precious Betrothal Gift a Son-in-Law Can Give to His Mother-in-Law’s Family?” (Dai Jianye, 2025, p.51), the author makes the resounding point that without equality between the sexes, any morality concerning the sexes is merely discrimination and prejudice, with “chastity” being a typical manifestation of such discrimination and prejudice. The author then startlingly points out that a girl without a hymen can still be a chaste woman. Even if she has had premarital sexual relations with a partner, when she finds that partner unsuitable for her, she should bravely break up; such a woman is truly a contemporary woman capable of loving and hating and possessing her own mind. The author further advises all young women to know how to protect themselves physiologically and psychologically during premarital sexual activity, especially reminding more traditional girls not to develop feelings of guilt or anxiety.

Professor Dai opposes the suppression and constraint of women by the concept of chastity. This view is based not only on the idea of gender equality but also on the affirmation of human nature. In “Facing Oneself: On ‘Sex’” (Dai Jianye, 2023a, p.61), written in 2012, the author points out that the sexual instinct is inherent in our human nature; accepting and affirming sex means accepting and affirming ourselves. If we only know how to view sex as ugly, people cannot affirm themselves, cannot appreciate the opposite sex, and patriarchal societies are particularly prone to demeaning women. His exaltation of human nature, his recognition and affirmation of female desire, and especially his advocacy for “sexual equality” between men and women, are still highly pertinent to the entrenched problems of current social issues even 14 years later. They remain bold, progressive ideas, and are advocacy and appeals that society should still cherish and value.

The “Trilogy’s” writings about parents and children are not only deeply moving songs of familial love but also reflections on family education and parent-child relationships, candid acknowledgments of personal trauma, sincere exchanges with parents, essential reading for parenting, and beneficial guidance for the growth of young people. From “I Am Dai Jianye” (Dai Jianye, 2023b, p.1) and “Mom, I Want to Be Your Son Again in My Next Life” (Dai Jianye, 2023b, p.189), we learn that Professor Dai’s father was a handsome, scholarly man, a “good man” admired throughout his life by his mother. Perhaps due to the frustrations of his era, he had a violent temper, was overly eager for quick success in raising his children, and was extremely strict, causing great psychological harm and leading to a lonely, unsociable personality in his youth, even almost making him lose interest in school. Childhood trauma not only takes a lifetime to heal but can also fatefully extend to the next generation: Professor Dai honestly admits that he unconsciously followed his father’s methods in raising his own son. Although from the reader’s perspective, both father and son are successful models of parenting, Professor Dai profoundly recognizes that the value orientation of “hoping one’s son will become a dragon” can turn parents into demons and children’s childhoods into nightmares. Professor Dai says his “criticism” of his father is essentially a “self-condemnation”: how could he replicate the pain he had suffered onto his own child? Perhaps the value orientation of our entire society should change, no longer making the so-called “standing out” the sole goal of success, but bravely accepting ordinariness and accepting a child who grows up healthily according to their own wishes.

In contrast to his father, Professor Dai’s mother was an uneducated rural woman. However, she was gentle, reasonable, tolerant, and kind. Most valuable of all, she was very skilled at communicating with her children, knowing how to speak words that would resonate with them. She was also an interesting mother, nourishing her children’s hearts with joy and happiness in the most ordinary of days. In “Hakka-accented Mandarin Chats about Macheng” (Dai Jianye, 2025, p.114), Professor Dai recalls how as a child, after his mother made meat cake, she would stroke his head and say, “Have a taste, good little dog, have the New Year first.” When she made fire-baked flatbread, she would say, “Which little glutton wants to eat first?” These warm images convey not only the mother’s diligence and capability but also her loving kindness and sense of fun. Children raised by fun parents usually grow up to live happy lives.

The “Trilogy” also pours out care and affection for his students, and concern and attachment for the broader community of learners. This is a teacher’s unique emotion, as well as a teacher’s unique sense of mission and responsibility. In “The Most Beautiful Teacher-Student Love in the World” (Dai Jianye, 2023a, p.136+143), written respectively for students from his time as a visiting professor in Taiwan and for the graduating class of 2012 at Central China Normal University, Professor Dai uses heartfelt prose to articulate the essence of the teacher-student relationship: the teacher feels a high sense of responsibility and selfless care for students, perceiving the value of their own existence through giving and obtaining a “peak experience” of self-realization; the student feels deep gratitude for the teacher’s care, respect for the teacher’s character, admiration for the teacher’s wisdom, and through interaction with the teacher, expands their own knowledge and elevates their own character. The most beautiful teacher-student love is the mutual growth and mutual achievement of teacher and student.

For the broad community of learners, even though they are not his own students, Professor Dai does not forget to encourage and enlighten them. When they face the first major challenge of life, the “college entrance examination,” or when they choose to pursue graduate studies, he writes numerous heartfelt articles, guiding them with his own life experience and wisdom.

Professor Dai himself is also a good student. His diligent and persevering scholarly spirit is very inspiring, serving as a powerful model. In “The Aspect of Learning and the Gateway to Writing” (Dai Jianye, 2023a, p.247), Professor Dai recounts his experience of not valuing textual criticism (philology) as an undergraduate, then teaching himself the subject after starting work through the works of Zhang Shunhui, and finally engaging in textual criticism research himself. Through this retrospective, the article highlights the profound importance and role of textual criticism in academic research, underscores Zhang Shunhui’s great academic achievement of helping researchers clarify “the aspect of learning” and find “the gateway to writing,” and simultaneously, through his own experience of learning textual criticism, points young scholars toward the path of learning. In “The Joy of Affection” (Dai Jianye, 2023b, p.242), discussing his relationship with the historian Xiong Tieji, the author says that teacher-student friendship should be judged “by the heart, not by outward signs”. Professor Xiong was not formally his teacher, but in his heart, he deeply respects Professor Xiong as a teacher. Although there was no formal teacher-student connection in deeds, there was the sentiment of teacher and student. Professor Dai transforms his inner respect and admiration for Professor Xiong into witty, humorous, deeply sincere, and affectionate prose, bringing Professor Xiong's noble character, scholarly demeanor, and endearing personality vividly to life.

Professor Dai’s humor and wit are not only a distinguishing feature of his identity as “Professor Dai Jianye,” but also a hallmark of the “Dai Jianye style.” His humorous expressions give readers a pleasant and relaxed reading atmosphere, deepen the impression of the reading, and increase the reader's gains from reading. Professor Dai’s humor sometimes suddenly emerges from between the lines, catching readers off guard and tickling their funny bone. In “Hakka-accented Mandarin Chats about Macheng” (Dai Jianye, 2025, p.114), after praising the delicious Macheng meat cake, his wife says: “The only good thing about marrying this bumpkin is getting to eat meat cake.” Professor Dai then writes, “I must truly thank my hometown’s meat cake; it gives my mouth flavor and my face glory.” This is a display of the deep love between husband and wife, but also an expression of Professor Dai’s playful humor. Reading this, I couldn't help but laugh. Humor needs to be experienced personally, not argued for, so I will not elaborate further here.

The “Trilogy” integrates the author’s nostalgia, familial affection, friendship, romantic love, and teacher-student love, as well as the intellectual's sense of responsibility, commitment, and love for society.

### **3. The Power of Ideological Appeal**

The “Trilogy” contains many profound reflections. The issues the author critiques, the concepts and actions he advocates, and the proposals and warnings he issues all possess significant and enduring practical relevance, exerting a powerful attraction and guidance for readers.

“Men” is the first essay in the first volume of the “Trilogy,” and its viewpoint and advocated spirit run

throughout the entire “Trilogy.” This spirit and viewpoint is the advocacy and pursuit of vitality and passion in life, and a critique of the mediocre and dispirited reality of society.

The author uses Li Bai as an example, advocating the poet's extremely heightened exuberance of life, his defiant arrogance and wildness, and his astonishingly imaginative hyperbole, believing them to be filled with the great national vitality of our nation's peak period. The author criticizes the popularity of “peace is a blessing,” the prevalence of “a contented mind is a perpetual feast,” and the fashion for “ignorance is bliss,” seeing them as signs of the exhaustion of the era's passion and the decline of public morale. While many people adopt “ignorance is bliss” as their motto, Professor Dai declares that he hates this “life maxim” that the whole populace esteems, because its essence is to teach people to disregard right and wrong and to lose the spirit of struggle. In “No Fine Lakeside Views Here Like at Home” (Dai Jianye, 2023a, p.105), the author again criticizes the three maxims mentioned above, encouraging young people to leave their hometowns and realize their “Chinese Dream” in the wider world. Even when visiting scenic spots, Professor Dai issues a call, hoping that people will revere the courage to leap into the abyss, like the Huang Guoshu Waterfall, and the spirit of sacrifice willing to be dashed to pieces—this is precisely a negation and critique of a mediocre existence. When advising graduate students, Professor Dai passionately urges young scholars to possess an “irrepressible passion and impulse for their work.” What the author advocates is not the kind of spectacular life that ordinary people find difficult to achieve, but a life that does not let one's talents go to waste, a life of pursuit, achievement, and courage, a life that radiates vitality, a life that struggles against inertia and decline.

Professor Dai is unafraid to express views that differ from the mainstream culture of “going with the flow,” demonstrating extraordinary courage and intellectual independence. The vitality of life, spirit of adventure, and passion for life that Professor Dai advocates are even more valuable and meaningful in today's society, where being a “Buddhist youth” or “lying flat” is popular.

Contemporary society is increasingly advanced in information technology, bringing profound changes and transformations to every field. For instance, in the realm of communication and learning, the emergence of the internet and AI technology has completely transformed traditional ways of reading, writing, and interacting. While people fully enjoy the convenience and benefits brought by new technologies, Professor Dai has also personally experienced being both a surfer and a trailblazer on the internet. However, Professor Dai quickly identified the problems.

The drawbacks of online reading that Professor Dai identifies and criticizes serve as a wake-up call for modern society, where information technology is developing rapidly. They are sincere advice to all internet users and an appeal for humanity to hold fast to its own capacity for thought. Looking back at Professor Dai's remarks in today's AI era, we can further appreciate his strong foresight and accurate judgment, and recognize even more clearly that the alarm bell he rang is still resonating.

In 2012, Professor Dai wrote an article titled “The Flattening of Thought and the Fragmentation of Knowledge” (Dai Jianye, 2023a, p.109) commenting on Weibo (microblogging), pointing out that its disadvantages outweigh its advantages. Although Weibo, as a new form of expression and communication platform, has brought many benefits, the author argues that if a person frequents Weibo for a long time, it will

lead to the flattening of thought, the fragmentation of knowledge, and the blunting of senses. Professor Dai very accurately points out that most Weibo statements are “positions” and “expressions of attitude”—isolated conclusions that cannot present a person’s thought process. However, Hegel said in the Introduction to the *Phenomenology of Spirit* that “the process of thinking is more important and more valuable than the conclusion of thought.” The large number of illogical expressions on Weibo, along with the transience and fluidity of the content, ultimately lead to the flattening of thought. Moreover, the vast amount of miscellaneous knowledge on Weibo is fragmented, piling up in the brain and ultimately leading to a situation where a person seems to know everything in general but knows nothing when it comes to practical application. At the same time, the constant novelty of Weibo information and the strange tales from home and abroad initially provide a sense of freshness, but over time, people go from novelty to boredom, from shock to numbness, resulting in a dull and indifferent feeling that “there is nothing new under the sun.” Weibo addiction can also lead many enthusiasts to become irritable, distracted, and unable to focus on reading or studying after returning to the real world.

In an article published in 2020, “Reading Habits and the Future of Life” (Dai Jianye, 2023b, p.129), Professor Dai suggests that in today’s society, where it is impossible to reject mobile and internet reading, people should read classics online or on their phones, upgrading from casual browsing to challenging reading, because different reading choices determine whether a person’s future will be “outstanding” or “unexceptional.”

Professor Dai, the “clickbait” master, also wrote “Watch Out! Your Idle Brain Will Be Taken Away” (Dai Jianye, 2023b, p.141). Although the article discusses the importance of thinking, looking back from the early days of the internet to the present emergence of AI, countless teenagers are addicted to the internet and gaming, countless adults are addicted to the distractions of smartphones, and countless students have gone from relying on search engines to thinking to replacing thinking with AI. In modern society, with its rapid iteration of information technology, our brains are being increasingly thoroughly idled. How far away can the day when they are taken away be?

As a university teacher, Professor Dai’s reflections on higher education are also profound and forward-looking. As early as 2011, in “Can We Please Not Torment Doctoral Students?” (Dai Jianye, 2023a, p.86), Professor Dai raised profound questions such as “Who can think of a way to not torment doctoral students?” and “Who can think of a way to not torment Chinese academia?” Fifteen years later, doctoral students are still “striving” for the quantity and “level” of their publications, and Chinese academia still has not emerged from the vicious circle of measuring academic standards by “level.” Similarly, fifteen years ago, in “Compulsory or Elective?” (Dai Jianye, 2023a, p.78), Professor Dai suggested that universities should pay attention to College Chinese education, putting forward practical proposals to enhance the instrumental, practical, and aesthetic aspects of the College Chinese course, hoping that through this course, students would feel the charm of their mother tongue, improve their thinking abilities, and master the norms and techniques of academic paper writing. However, today, many university curricula have removed College Chinese from their offerings.

In “Just Kidding: Undergraduate Thesis Defense” (Dai Jianye, 2023a, p.89), the “going through the motions and formalities” that Professor Dai criticized remains, over a decade later, one of the persistent problems of higher education.

The British scholar and chairman of the board of editors of the Encyclopædia Britannica, Mortimer Adler, once proposed criteria for selecting classics: classics are enduring bestsellers; classics are accessible to the general public; classics do not lose their value with political changes; classics are rewarding to read repeatedly; classics are most influential, most inspiring and instructive, and contain unique insights. If we ask whether Professor Dai's “Trilogy” meets the above criteria, this question must be left to the judgment of more readers and the passage of longer time. Professor Dai is an extremely humble and clear-headed gentleman. May Professor Dai continue to create freely and spontaneously, and continue to guide readers with his independent spirit and free thinking.

As a native of Hubei Province who graduated with a BA in Chinese from Central China Normal University, reading and reviewing Professor Dai's essay “Trilogy” is a task imbued with a sense of mission. Although I know that I cannot match Professor Dai's book reviews in combining insight with literary elegance, giving equal weight to praise and criticism, I nevertheless, disregarding my own shallowness, have boldly taken up my pen, hoping to sincerely seek the guidance of Professor Dai himself and other experts in the field.

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## Stepping Out of Eurocentrism and Achieving Equal Dialogue: A Review of the book *A Study on the Intercultural Theatre Adaptations and Chinese Opera Performances of Ancient Greek Tragedies*

Wu Fengqi, Zhang Lianqiao

**Abstract:** Chen Rongnü's monograph *A Study on the Intercultural Theatre Adaptations and Chinese Opera Performances of Ancient Greek Tragedies*, published in 2023, systematically examines the development, achievements, and shortcomings of intercultural theories both domestically and internationally from the perspective of intercultural theater theory, and she strives to establish a localized Chinese theoretical framework. By bridging the gap between theory and practice, the book focuses on China's intercultural theatrical stage practices and employs "field work" method to provide a clear and detailed analysis of how Ancient Greek tragedies are integrated with Chinese traditional operas. This process—from adaptation and performance to dissemination—realizes a circular journey of intercultural theater. Throughout the book, the author's reflective spirit is evident. Through the Chinese intercultural stage practices, Chen explores the intellectual anxieties arising from differing Eastern and Western perspectives and their impact on intercultural theater, ultimately addressing the book's core purpose: to uncover the dynamics of exchange between different civilizations and achieve equitable dialogue and mutual learning. *A Study on the Intercultural Theatre Adaptations and Chinese Opera Performances of Ancient Greek Tragedies* holds significant theoretical and practical value, offering critical insights for the development of China's intercultural theater in both theory and practice.

**Keywords:** intercultural theater; localized paradigms; stage practice; equal dialogue

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**标题:** 走出西方中心主义, 实现平等对话——评《古希腊悲剧在中国的跨文化戏剧实践研究》

**摘要:**《古希腊悲剧在中国的跨文化戏剧实践研究》是陈戎女教授于 2023 出版的学术专著, 运用跨文化戏剧理论的视野, 系统爬梳国内外跨文化理论的发展和得失, 并致力建立中国本土的跨文化理论。作者打通理论和实践之间的界限, 聚焦于中国的跨文化戏剧舞台实践, 结合“田野调查”的研究方法, 清晰而细致地分析古希腊悲剧如何和中国传统戏曲相融合并搬上舞台, 从改编、搬演到传播实现跨文化戏剧的圆形之旅。在书中, 作者的反思精神贯穿始终, 通过中国跨文化戏剧的舞台实践, 作者探讨东西方视角差异所带来的思想焦虑以及对跨文化戏剧的影响, 最终指向了本书的目的——挖掘不同文明之间的动态交流, 实现平等对话和文明互鉴。《古希腊悲剧在中国的跨文化戏剧实践研究》具有理论意义和现实价值, 对中国的跨文化戏剧在理论和实践具有重要的启示作用。

**关键词:** 跨文化戏剧; 本土化范式; 舞台实践; 平等对话

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There is a theory that traditional Chinese opera can be traced back to the ancient shamanistic rituals, and that it matured during the Ming and Qing dynasties, diversifying into various local genres. Traditional Chinese opera employs singing, recitation, acting, and acrobatic to narrate stories, shape characters, and convey themes (Zhang & Guo, 2014, p.111). It also features rich and varied stories: some works celebrate the pursuit of love and freedom, such as the Kunqu opera *The Peony Pavilion*; others defend justice, such as the Henan opera *The Orphan of Zhao*; and still others commenting on history, such as the Peking opera *The Eight Greats*. Ancient Greek theatre, in contrast, represents the splendor of human civilization in the West. Ancient Greek theatre emerged around the 6th century BCE, associated with the worship of Dionysus. Driven by the social needs of the Athenian city-state, folk ritual dances gradually evolved into ancient Greek tragedy. Drawing from mythology, Ancient Greek tragedies tell the stories of heroic figures, exploring metaphysical issues concerning humanity, fate, and the gods. Due to the limitations of performance conditions, the features of Greek tragedy can be summarized by Aristotle's classical unities—unity of time, unity of place, and unity of action. “Yet these limitations not only did not hinder the development of ancient Greek drama, but also

contributed to its artistic success” (Luo, 1985, p.12). How can the civilizations originating from the Yellow River and the Mediterranean region achieve mutual understanding and exchange in the modern era? Professor Chen Rongnü, in her book *A Study on the Intercultural Theatre Adaptations and Chinese Opera Performances of Ancient Greek Tragedies*, adopts the theoretical perspective of intercultural theatre, traces the history of “performing Greek plays through Chinese opera,” explores the adaptation of Greek tragedy with traditional Chinese opera, and finally articulates the significance and value of this practice.

The book *A Study on the Intercultural Theatre Adaptations and Chinese Opera Performances of Ancient Greek Tragedies* consists of five chapters. In the introduction, the author adopts a macro-level perspective, clarifying the developments and debates in intercultural theatre theory since the second half of the 20th century, as well as how directors from different regions have practiced their intercultural theatre. The author does not merely focus on the notion of “intercultural”; she also provides a terminological analysis of “theatre,” “drama,” and “opera” within the context of intercultural theatre. The term “xiqu” (traditional Chinese opera) cannot be directly equated with these English words, reflecting differences in Chinese and Western conceptions of theatre. In the introduction, the author also proposes the theoretical paradigm of a “circular intercultural journey of ‘translation-adaptation-performance-communication’” (Chen, 2023, p.30), which runs through the case studies in the following four chapters. In Chapters Two to Five, the author employs case study methods to explore, respectively, how the ancient Greek tragedies *Medea*, *Antigone*, *Oedipus the King*, and *The Oresteia* were strategically adapted and transformed into Chinese xiqu. Through the theory perspective of intercultural theatre and case studies, the author further examines in the conclusion the practical values, significance, and problems of intercultural theatrical practices, thereby pioneering new directions for the future development of Chinese xiqu.

## 1. Expansion of Theoretical Perspective

This book focuses on adaptations and stage practices of ancient Greek drama in China. Grounded in intercultural theatre theory, it aims to explore the dynamic cultural exchanges between the two ancient civilizations. In this monograph, the author systematically examines intercultural theatre theory and bridges the gap between dramatic theory and stage practice, which can help us study Chinese and Western drama from a new theoretical perspective.

### 1.1 Intercultural Theatre Theory

In her book, Chen Rongnü reviews the debates on intercultural theatre theory that have taken place both in China and abroad in recent years. According to Chen (2023), two key issues emerge in sorting out the development of intercultural theatre theory abroad: first, Western scholars disagree on the definition of “intercultural theatre”; second, any discussions of it inevitably involve East-West issues. French scholar Patrice Pavis proposed the theory of the “Hourglass of cultures,” which conceptualizes intercultural exchange as a unidirectional, static process flowing from the “source culture” at the top to the “target culture” at the bottom. German theorist Erika Fischer-Lichte, in her early work, proposed the concept of “theatrical lingua franca”, referring to a share “language” that every culture can develop to be accepted and understood by other cultures. Later, influenced by postcolonial theory, she put forward the concept of “Interweaving Cultures in

Performance,” which emphasizes cultural equality and critiques colonial mindsets and power imbalances. The East-West issue is an unavoidable topic in the exploration of intercultural theatre theory. American theatre scholar Richard Schechner advocates for bridging Eastern and Western ways of thinking. However, Professor Chen argues that his notion of “East-West isomorphism” obscures the discursive imbalance between the two and imaginarily bridges the power disparity. Polish director Jerzy Grotowski believed that intercultural theatre is marked by Eurocentrism and fails to reflect the distinctive characteristics of different cultures. Indian scholar Rustom Bharucha critiques the Eurocentrism of intercultural theatre, pointing out that the image of the East in the minds of European and American directors is merely a cultural Other of their own construction; they show little concern for the social reality of Eastern cultures. In 2019, Irish scholars attempted to propose a “new interculturalism” in their published essay collection. They abandon hegemonic intercultural theatre and reconstructs a multifaceted space for cultural exchanges between the Global North and the Global South. Although some foreign scholars are vigilant against Eurocentrism, Professor Chen points out the pitfalls of rigidly adhering to local identities. What intercultural theatre emphasizes is equality and dialogue.

In this monograph, the author (2023) also reviews intercultural theatre theory in China. Chinese scholars who have focused on intercultural theatre theory include Sun Huizhu, He Chengzhou, and Zhou Yunlong. Sun was an early scholar in this field; he believes that intercultural theatre should embrace not only cross-border exchanges in theatrical forms but also “intercultural content”. In Chapter Four of this book, the author analyzes Peking opera *Oedipus the King* adapted by Sun. This adaptation employs a localization strategy, reshaping not only the structure and theme but also the characterization, creating an image of Oedipus different from that in the original play. Oedipus becomes a young, virtuous, and wise ruler who sacrifices himself for justice. The adaptation also conveys the character’s painful emotions through Expression of the Performance—integrating stylized movements with the character’s emotions and music (Sun & Liu, 2011, p.8). He Chengzhou has also discussed intercultural theatre in several of his essays. He examines China’s intercultural theatre practices in the context of global scholarly discourse and affirms their positive significance for new theoretical paradigms. He also points out that while China has rich experience in intercultural theatre, its theoretical system remains underdeveloped and requires further effort. Through a systematic review of intercultural theatre theories from both Chinese and foreign scholars, the author clarifies the difference between Eastern and Western theorists and identifies one of the reasons for this: the imbalance in the global cultural and political order, as well as the anxiety arising from Eastern scholars’ lack of discursive power among Eastern scholars. The author provides a clear exposition of intercultural theatre theory, laying a solid theoretical foundation for the entire book. In the case studies of Chapters Two to Five, grounded in intercultural theatre theory, the author examines how Chinese playwrights and directors freely navigate between two civilizations, realizing the localized reconstruction and staging of ancient Greek tragedies. Through these efforts, the author explores a viable path for the development of Chinese intercultural theatre.

### **1.2. The theoretical paradigm of a “a circular intercultural journey of ‘translation-adaptation-performance-communication’”**

Chen’s monograph focuses on the stage practices of ancient Greek tragedy in China. Professor Chen (2023, p.30), building upon the three-tier cultural transcoding model of “translation-adaptation-performance”, proposes the theoretical paradigm of a circular intercultural journey of “translation-adaptation-performance-

communication”. Intercultural theatre comprises four stages: first, translating the dramatic script from the source language into the target language; second, adapting and rewriting it into a script fit for the local context; and third, performing it on stage. Professor Chen adds a fourth stage— “communication”, accounting for international dissemination and audience reception. Intercultural theatre should be disseminated not only in China but also across cultures. This dissemination is not a linear, one-way process; rather, it breaks with Pavis’s “hourglass of cultures” model and emphasizes “intercultural mutual transmission” (Chen, 2023, p.31), enabling intercultural theatre to circulate between different countries and cultures. The “communication” stage is often easily overlooked. According to Colin Hoskins’s theory of “cultural discount”, when intercultural communication occurs, people in the target market may encounter difficulties in acceptance due to the “lifestyle, values, history, institutions, myths, and physical environment” in the foreign culture (Hoskins, McFadyen, & Finn, 2004, p.6). If ancient Greek tragedies were directly transplanted to China in their original script or performance style, or if Chinese opera were to be disseminated abroad, “cultural discount” would inevitably occur, particularly in terms of aesthetic concepts. However, after localized adaptation, ancient Greek tragedies are transformed into Chinese xiqu, thus naturally resolving the “cultural discount”. When the Hebei Bangzi Opera *Medea* and the Peking Opera *Oedipus the King* travel abroad, these stories, already familiar to foreign audiences, are reinterpreted through Chinese opera. Professor Chen Rongnü (2023, p.87) points out in her book that in the staging of *Medea*, the retention of the chorus creates a sense of both familiarity and strangeness for audiences both at home and abroad. “Performing Greek plays through Chinese opera” not only reduces the “cultural discount” for local Chinese audiences but also generates new aesthetic experiences. Of course, it should also be noted that Colin Hoskins’ theory is aimed at film and television; theatre has an additional characteristic—it is more flexible and can be adjusted according to audience reception and stage effects.

In the case studies, the author points out that the Hebei Bangzi Opera *Medea* and the Peking Opera *Oedipus the King* have successfully realized the circular intercultural journey, whereas the Bangzi Opera *Thebes City* and the Pingju *The Oresteia* have not been as widely disseminated. The Hebei Bangzi Opera *Medea* was directed by Luo Jinlin. In an interview between the author and Luo Jinlin, Luo (Luo, Chen, & Tian, 2016, p.6) noted that Hebei Bangzi Opera *Medea* had been performed in Europe, the Americas, and Latin American countries, totaling over 200 performances. Professor Chen (2023, p.53) believes that one of the reasons for this play’s great popularity is its emphasis on plot narration supplemented by lyrical expression, with thrilling martial sequences and touching dramatic moments. Building upon the ancient Greek tragedy, the Hebei Bangzi Opera *Medea* adds three episodes— “Obtaining the Treasure,” “Boiling the Ram,” and “Leaving Home”—depicting events prior to the crisis between Medea and Jason. These added scenes supplement the Chinese audience’s knowledge of the story of Medea, creatively reduce the “cultural discount” in intercultural transmission, and foreshadow the subsequent episode “killing of the children”. In her analysis of the “killing of children” scene, the author focuses on how the actress performs Medea killing her children. After learning that the princess and the king have been burned to death by the golden crown and robe she sent, and that her husband Jason is solely concerned with the safety of the children, Medea erupts with inner hatred.

In the Hebei Bangzi Opera *Medea*, Medea to kills her own children with her magic fan, but when she witnesses the death of her children, her maternal instinct bursts forth, and she embraces them. This scene moved audiences both at home and abroad, as the actress's emotions built up step by step, culminating in a powerful climax. After the Hebei Bangzi Opera *Medea* was performed in Athens in 1991, K. Georgousopoulos, a renowned Greek theatre critic and director of the Greek Theatre Research Centre, was full of praise for it (Chen, 2023, p.98). Professor Chen points out that the Hebei Bangzi Opera *Medea* exemplifies the circular intercultural transmission model of "translation-adaptation-performance-communication". *Medea* has traveled from ancient Greece to China, and then from China to modern Greece and other countries, eventually back to China (Chen, 2023, p.99). From the ancient Greek script to its modern interpretation through Chinese opera, it has achieved cross-temporal and cross-spatial communication between different civilizations. In this circular journey of transmission, "performing Greek plays through Chinese opera" has been interpreted by people of different civilizations, creating emotional resonance and contemporary relevance.

## 2. Position and Strategy: Moving Beyond Eurocentrism

The author reviews overseas practices of intercultural theatre in the introduction. Professor Chen (2023, p.21) holds that in overseas intercultural theatre practices, Western directors tend to merely borrow Eastern theatrical elements, whereas Eastern directors strive to integrate traditional theatre with Western dramatic works as much as possible. Among Western directors, for instance, British director Peter Brook upholds the universality of theatre, advocating that humanity should be regarded as a whole, transcending national and individual differences. However, Professor Chen Rongnü believes that he has not escaped individualism. As for Polish director Jerzy Grotowski, she argues that in his borrowing from Eastern theatre, this European director ignored the differences between Chinese and Japanese theatre. Eastern culture is regarded as the Other. Implicit in the author's analysis is a critique of the West's tendency to use Eastern culture merely as a "tool" to mend the fractures within European civilization. The author instead hopes for equal dialogue and mutual learning between the two civilizations, achieving mutual benefit and win-win results. For the West, the East functions more like a mirror in which the West reflects upon itself and asserts its cultural superiority. For Edward Wadie Said (1999), culture has become an arena where various ideologies contend, and the West naturally extols its own culture. However, in the globalized world, non-Western voices are growing ever stronger and their influence is on the rise. Imperialist culture is no longer monolithic and cannot be completely isolated from other cultures. We should move beyond Eurocentrism and emphasize a spirit of dialogue. Professor Chen also calls for the rejection of "hegemonic intercultural theatre". In the following chapters, the author consistently emphasizes the local practices of "performing Greek plays through Chinese opera", avoiding the reduction of Eastern theatrical elements to mere Western tools.

In Chapter Four, Professor Chen (2023) analyzes *The Bacchae* as one of her case studies. *The Bacchae*, a tragedy of Euripides, tells the story of Dionysus, the son of Zeus and Semele, a princess of Thebes. Because his aunts slander his divine identity, he disguises himself as a mortal and returns to Thebes to avenge his late mother. First, he drives the women of Thebes mad, who then abandon their homes and flee to the mountains.

Pentheus, the newly crowned king of Thebes and Dionysus's cousin, is tricked by Dionysus (who has taken the form of a mortal) into dressing in women's clothing and going to the mountains to spy on these women—among them Pentheus's own mother. Using his divine power, Dionysus confuses the maddened women, and Pentheus is ultimately killed by his mother. *The Bacchae* is a collaborative work by Chinese-American director Chen Shizheng and his American partners. The adaptation reorganizes the original seven acts into five sections, with a chorus and three principal actors who wear masks to perform all the roles in the play (Zhou, 2007, p.69). Professor Chen Rongnü (2023, p.156) argues that the framework and performance style of this play remain fundamentally those of ancient Greek tragedy, with Peking Opera merely borrowed as tools. Artistic director Peter Steadman holds a Western artistic mindset, viewing Eastern theatre merely as a tool for Chen and his American partners to develop their own theatrical ideas. In Chapter Four, Professor Chen (2023, p.157) cites Erika Fischer-Lichte's assessment of *The Bacchae*. Erika Fischer-Lichte observes that in *The Bacchae*, Eastern elements, as a weaker culture, fail to achieve their own independent character, as the American partners exercise their cultural authority in a manner that subordinates Chinese culture. The author integrates theory with stage practice, drawing not only on positive examples such as *Medea* and *Oedipus the King* but also on the counterexample of *The Bacchae* to explore more deeply how Chinese theatre should engage in cultural dialogue with ancient Greek tragedy. This spirit of critical reflection runs throughout nearly the entire book.

### 2.1 Strategic Exploration and Equal Dialogue in “Performing Greek Plays through Chinese Opera”

In her book, Professor Chen Rongnü puts forward the theoretical paradigm of the circular intercultural journey of “translation-adaptation-performance-communication”. Beyond adding the “communication” stage, the author places greater emphasis on the stage practices of “adaptation” and “performance”. The author summarizes the staging strategies of intercultural theatre in China into two types. The first type features the Sinicization and localized reconstruction of foreign dramas, transforming foreign stories into Chinese one. The second type preserves original foreign themes while adopting the formal elements of Chinese opera (Chen, 2023, p.32). Drawing on Qi Shouhua's terminology of “localization” and “hybridity”, the author analyzes the stage practices of Chinese intercultural theatre. Among those cases in the book, the Hebei Bangzi Opera *Medea* in Chapter Two, Bangzi Opera *Thebes City* (adapted from *Antigone*) in Chapter Three, and the Pingju *The Oresteia* in Chapter Five adopt the second type—namely, the “hybrid” approach. Meanwhile, *Mingyue and Zihan* (adapted from *Antigone*) in Chapter Three, *Oedipus the King* in Chapter Four, and the Pu Opera and Henan Opera versions of *Oedipus the King* employ the “localization” strategy.

In the author's analysis, *Mingyue and Zihan* serves as a typical case of the “localization” of ancient Greek tragedy in China. *Mingyue and Zihan* is an adaptation of Sophocles' tragedy *Antigone* by playwright Sun Huizhu. The play *Antigone* tells the story of Antigone, one of the children born from Oedipus' incestuous relationship with his mother. Her two brothers fight each other for the throne and both die in battle. Antigone wants to bury her brother, but this act violates the decree of Creon, the new king of Thebes and her uncle, who has forbidden the burial. Antigone defies the edict, buries her brother, and is subsequently imprisoned, where she takes her own life. The tragedy presents the conflict between divine law and human law, as well as between personal kinship and political authority. After adaptation, *Mingyue and Zihan* transformed into a Chinese story.

Professor Chen (2023, p.118) notes in her book that the theme of *Mingyue and Zihan* has been significantly altered, shifting the central conflict from “to bury or not to bury” in *Antigone* to “to rescue or not to rescue”. Sun Huizhu refers to this kind of “localizing” adaptation as “reinventing”. He argues that intercultural theatre encompasses both formal and content-based interculturality. The “reinventing” of *Mingyue and Zihan* represents an intercultural theatre that combines form and content: it adopts the form of Peking Opera, sets the story in the imperial court of the ancient Can Cong Kingdom in China. It tells the tale of Duke Ke, the regent, who sows discord between the brothers Tian En and Tian Ci. After Tian En’s death, Princess Mingyue is forbidden to save her brother Tian Ci, leading her to commit suicide (Chen, 2023, p.119). It is evident that the plot of *Mingyue and Zihan* has gone far beyond the original play. Comparing the intercultural form and content, Sun Huizhu believes that content-based interculturality is more important (Chen, 2023, p.31). The adapted work needs not be identical to the original; rather, it should reinvent something new (Chen, 2018, p.120). *Mingyue and Zihan* adopts the standpoint of its own culture, dilutes the religious dimensions of ancient Greek tragedy, explores family ethics—a theme familiar to Chinese audiences—within Chinese cultural context, and “highlights the core modern concept of ‘cherishing life’” (Chen, 2018, p.119).

The author regards the Pingju *The Oresteia* as another typical case of the “hybrid” strategy and provides a detailed analysis of it. The Pingju *The Oresteia* is adapted from Aeschylus’s trilogy of the same name, consisting of three plays—*Agamemnon*, *The Libation Bearers*, and *The Eumenides*. Ancient Greek tragedy *The Oresteia* tells the story of Agamemnon, who sacrificed his daughter before departing for the Trojan War. Upon his victorious return, he is killed by his wife Clytemnestra and her lover. Agamemnon’s son, Orestes, flees into exile. As an adult, he returns to avenge his father following an oracle from Apollo, only to be pursued by the Furies. He seeks help from Athena, who casts the deciding vote in his trial, leading to his acquittal. When adapting ancient Greek tragedy, one must consider the differences between the two civilizations in terms of history, society, ethics, religion, and other aspects. Otherwise, a forced, mechanical adaptation would be incompatible with Chinese culture, create obstacles to understanding, and fail to achieve cultural exchange between China and Greece. Professor Chen (2023) affirms that the Pingju *The Oresteia* first modifies the structure, plot, and content of the original play. Instead of a trilogy, the Pingju *The Oresteia* is adapted into a single play, with a more tightly woven and dramatic plot, while reducing the religious overtones of the original. The characterization also undergoes “localizing” treatment, particularly that of Ke Lü dai (Clytemnestra in the original). The Pingju *The Oresteia* highlights the emotional bond between Ke Lü dai and her son, Orestes. She is both politically ambitious and deeply maternal. After killing her husband, Ke Lü dai seizes power in Thebes. However, as a mother, she resolutely seeks justice for the death of her eldest daughter. When she hears the false news of her son’s death, she weeps bitterly—unlike Clytemnestra, who merely feigns sorrow. Her lover, Aegisthus, warns her to heed the omens in her dreams, but she remains immersed in her grief over the loss of her son. When her son returns for revenge and raises his sword to kill her, she questions whether he truly intends to slay his own mother. In the Pingju *The Oresteia*, the mother-son relationship is portrayed with great emotional power. Yet, as a mother, Ke Lü dai is also a contradictory figure: she imprisons her second daughter and attempts to starve her to death. Ke Lü dai is not a flat, morally simplistic character; rather, she is “a more

multifaceted, three-dimensional, and complex figure than her counterpart in the original Greek play” (Chen, 2023, p.221). Chen’s monograph notes that the Pingju *The Oresteia* embodies a “staging approach that is both Greek and Chinese, integrating local and Western elements” (Chen, 2023, p.245). Director Luo Jinlin (2014, p.33) explains the creative concept behind this play, stating that it combines the tradition of ancient Greek tragedy, Chinese Pingju, and modern aesthetics. On stage, the actors wear Greek costumes, with distinctions in style and color between aristocratic and common attire (Chen, 2023, p.248). The actors’ movements retain the stylized conventions of Pingju while also creating new physical expressions adapted to the costumes. The singing preserves the distinctive vocal style of Pingju, but the spoken part is transformed into a “recitative” style, reflecting the linguistic style of ancient Greece while also incorporating elements of modern drama (Luo, 2014, p.34). Musically, the Pingju *The Oresteia* combines “digital music” with traditional operatic music: on the one hand, it retains traditional Pingju instruments such as drums, erhu, and pipa; on the other hand, it integrates a Western orchestra (Chen, 2023, p.253).

Grounded in intercultural theatre theory and focused on stage practice, Professor Chen takes the Hebei Bangzi Opera *Medea*, the Bangzi Opera *Thebes City*, the Peking Opera *Oedipus the King*, and the Pingju *The Oresteia* as primary case studies. The author analyzes and explores how, in today’s globalized world, Chinese opera can adapt and stage ancient Greek tragedies while completing the circular intercultural journey of “translation-adaptation-performance-communication”. In this theoretical paradigm, every component is indispensable: newly created adaptations must be stageable, and stage performances must account for audience reception both at home and abroad, with the ultimate aim of achieving equal dialogue between China and the West. As the author demonstrates that these stage practices also reveal a shift in China’s attitude toward Western drama—during the Republican era, modern Chinese writers and scholars sought to introduce Western drama to promote China’s modernization, whereas today Chinese practitioners actively absorb and creatively adapt Western drama. Professor Chen uses the term “creative adaptation” to highlight the distinctive characteristics of intercultural theatre such as the Hebei Bangzi Opera *Medea*: it is not merely a rewriting of the original script, but a creative endeavor that organically integrates the dramatic traditions of two different civilizations. Nevertheless, the East-West problem in intercultural theatre remains persistent. Scholar Zhou Yunlong (2023, p.30) argues that intercultural theatre is closely bound up with identity politics, functioning as “a political environment and collective provocation in the sense of an ‘affective medium’”. It is precisely in this sense that the stagings of the Hebei Bangzi Opera *Medea*, the Bangzi Opera *Thebes City*, the Peking Opera *Oedipus the King*, and the Pingju *The Oresteia* carry particular significance: they break free from the artistic logic of Western theatre, not only reconstructing local Chinese theatre but also shaping the audience’s cultural identity, ultimately declaring cultural autonomy to the world.

### 3. Academic Contributions and Implications

Professor Chen (2023, p.34) notes that her book is the first monograph to offer systematic theoretical discussion and stage analysis of intercultural theatre adaptations and performance of ancient Greek drama in China, demonstrating her sustained engagement with intercultural theatre theory and practice in China. The

author reviews the evolution of intercultural theatre theory at home and abroad, pointing out the strengths and weaknesses of each. Foreign theorists generally fall into two opposing camps in this field: one examines Eastern cultures through a Eurocentric perspective, attempting to obscure the differences between East and West; the other overly politicizes the theory, viewing intercultural theatre as concealing power imbalances between East and West. Such one-sided perspectives hinder equal dialogue. Compared with Western academia, China boasts abundant practical experience yet lags in theoretical research, requiring much more work in theoretical construction. In response to this theoretical dilemma, the author proposes a new theoretical paradigm of the circular intercultural journey of “translation-adaptation-performance-communication”. Through her review of existing theories and the construction of this new theoretical paradigm, the author demonstrates her conscious effort toward local theoretical construction. The author maintains a prudent attitude toward foreign theories, refraining from directly using them as a universal criterion for Chinese stage practice. Such cautious attitude resonates with “traveling theory” discussed by Edward Wadie Said in *Travelling Theory*. When a theory travels from one cultural and geographical context to another, where the cultural, historical, and geographical conditions differ from those of its original context, the journey becomes increasingly complex. The differences between Western and Chinese cultural contexts mean that China’s theoretical construction cannot mechanically replicate foreign theoretical models. The author grounds her research in China’s cultural context and stage practices, promoting local theoretical construction. In the book, the author provides a systematic and detailed analysis of domestic intercultural theatre stage practices, employing fieldwork methodology. By interviewing directors Luo Jinlin and Sun Huizhu to gather first-hand materials, she enables intercultural theatre theory to take root in China. Numerous gaps still exist in the field of intercultural theatre in China, and theoretical construction urgently needs to be addressed. The book *A Study on the Intercultural Theatre Adaptations and Chinese Opera Performances of Ancient Greek Tragedies* lays the groundwork for establishing a new research paradigm in this field.

In her analysis of China’s intercultural theatre stage practices in the book, Professor Chen (2023) maintains a reflective stance, exploring how the two civilizations should integrate with one another. The book notes that the performance concepts of Chinese opera differ from those of Western theatre: Chinese opera prioritizes performance over ideas, and form over content. Through her analysis of stage practices, the author concludes that the ideas of ancient Greek tragedy can be transformed into themes that Chinese opera excels in expressing; that different themes can be downplayed or emphasized; and that adaptation can be made while preserving original elements. In this way, the contradictions between Chinese and Western cultures can be resolved. Intercultural theatre breaks free from the single cultural model and “confronts the issue of conflicts and exchanges between different racial cultures, allowing concepts and characters from different cultures to collide and engage with one another on stage” (Sun, 2005, p.34). Sun Huizhu argues that intercultural theatre is neither a drama monopolized by the West nor a closed-off form of drama that focuses solely on itself. It authentically embodies the interactions between different races, religions, and cultures. In addition, he rejects the rigid East-West dualism inherent in postcolonial theory: the West is not a monolithic entity, nor is the East entirely homogeneous. Sun’s perspective aligns more closely with Homi K. Bhabha’s theories of hybridity

and negotiation. Intercultural theatre reflects the current situation of cultural pluralism in today's world. How different civilizations can integrate and engage in communication with one another remains a persistent challenge. Therefore, the value of Professor Chen Rongnü's book extends beyond a mere analysis of theory and stage practice. She compels us to reflect deeply on the modern intercultural question: how can Chinese opera maintain its own spiritual core in dialogue with the West, while drawing on Western drama and participating in the global intercultural conversation? This ultimately touches upon the question of self and other.

It is important to recognize that the essential differences between civilizations cannot be erased. As Hans-Georg Gadamer elaborates through his concept of "prejudice" (Vorurteil), we cannot escape the limitations of history; yet "prejudice" also serves as the precondition for the fusion of horizons. Furthermore, Hans-Georg Gadamer emphasizes that the fusion of horizons takes place between a subject and another subject, not between a subject and an object. His theory provides important insights for intercultural communication. In intercultural communication, the two parties are not fully consistent; a utopian form of cultural fusion is unrealistic (Sun, 2005, p.35). The two parties are not in a binary opposition of a subject and an object. Instead, both subjects engage in mutual listening and adopt an open stance. Therefore, in intercultural theatre, we can neither ignore the differences between civilizations in the pursuit of a so-called universality—which is not only unrealistic but also ignores the cultural and political relationships between the two parties in the real world—nor completely obscure the theatrical characteristics of the other party. Instead, we must honestly address the differences between the two parties on stage. Thus, the book *A Study on the Intercultural Theatre Adaptations and Chinese Opera Performances of Ancient Greek Tragedies* offers us another insight: intercultural theatre is not about erasing differences between the two parties, nor about rigidly clinging to one's own cultural traditions. It emphasizes the subjectivity of both parties and generates new cultural meanings and values of intercultural theatre within the fusion of horizons and the Third Space.

### Conclusion

The book *A Study on the Intercultural Theatre Adaptations and Chinese Opera Performances of Ancient Greek Tragedies* is a pioneering monograph by Professor Chen Rongnü in China's intercultural theatre field. In this book, she systematically reviews intercultural theatre theories at home and abroad and constructively puts forward the theoretical paradigm of the circular intercultural journey of "translation-adaptation-performance-communication", thereby providing theoretical support for subsequent intercultural theatre research. Taking intercultural theatre theory as her analytical perspective, she focuses on domestic intercultural theatre practices, taking the Hebei Bangzi Opera *Medea*, the Bangzi Opera *Thebes City*, the Peking Opera *Oedipus the King*, and the Pingju *The Oresteia* as representative case studies. Employing fieldwork methodology, she explores how ancient Greek tragedies are adapted and successfully staged in China. Her analysis is meticulous: she takes the strategies of "localization" and "hybridity" as criteria to conduct detailed examinations from script content to stage performance forms, thereby delineating the overall picture of the circular intercultural journey of "translation-adaptation-performance-communication". As the first monograph to offer a systematic

theoretical exploration and stage analysis of Chinese intercultural adaptations and performances of ancient Greek drama, this book demonstrates the author's sustained commitment of both theory and practice in Chinese intercultural theatre, filling a gap and addressing deficiencies in the academic field. Chinese intercultural theatre has long been confronted with the challenge of communication and integration between different civilizations. In her analysis of stage practices, the author maintains a reflective stance and emphasizes equality and dialogue between civilizations. Professor Chen's monograph not only presents a systematic overview of theory and practice for intercultural theatre but also provides important insights for reflecting on the boundaries of cultural dialogue and power in the context of globalization.

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## Knowledge on the Assembly Line: Industrial Publishing and the Shaping of Modern Chinese Knowledge Culture

Chen Yiying

**Abstract:** This review essay examines Robert Culp's *The Power of Print in Modern China: Intellectuals and Industrial Publishing from the End of Empire to Maoist State Socialism* and explores how the book contributes to the study of modern Chinese cultural and intellectual history by shifting attention from authors, works, and ideas to the industrial organization of publishing. Centering the concept of *print industrialism*, the essay shows how Culp reorients the history of knowledge toward editorial departments, labor organization, workflow rationalization, and the institutional production of textual forms. It highlights the book's account of how editors emerged as a new intellectual stratum and how industrial publishing reshaped the making of textbooks, dictionaries, photolithographic reprints of ancient books, and book series. In doing so, the essay argues that publishing was not merely a vehicle for the dissemination of ideas but an infrastructure that organized knowledge, standardized language, structured readerships, and redefined the relationship between writing and management. The review further emphasizes the book's contribution to debates on continuity and rupture across the 1949 divide by showing that the logic of industrial publishing persisted, in transformed form, under state socialism and within the framework of the pedagogical state. It also identifies several avenues for further inquiry, including regional comparison beyond Shanghai, fuller attention to reader reception, and a more sustained analysis of the material and technological conditions of print production. Finally, the

essay underscores the book's contemporary relevance by linking its analysis of project-based production, editorial coordination, and the discipline of performance metrics to the organizational logics of today's content industries and academic publishing.

**Keywords:** Robert Culp; print industrialism; industrial publishing; modern Chinese knowledge culture; publishing history

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**标题:** 当知识进入流水线：工业化出版与现代中国知识文化的塑造

**摘要:** 罗伯特·卡尔普的《出版的力量：清末至新中国初期的知识分子与工业化出版》（商务印书馆，2025年）将出版史的关注点从作者、作品和思想转向出版的工业组织，为现代中国文化史与思想史研究做出了重要贡献。该书以“印刷工业主义”为核心概念，将出版史重新导向编辑部门、劳动组织、工作流程理性化以及文本形式的制度化生产，并着重讨论了编辑作为新兴知识阶层的崛起，以及工业化出版如何重塑教科书、词典、古籍影印和丛书的制作过程。在卡尔普看来，出版不仅是传播思想的工具，更是一种组织知识、规范语言、构建读者群体并重新界定写作与管理关系的基础设施。同时，该书对1949年前后出版的断裂与延续的论争做出了重要推进，揭示了工业化出版的逻辑在国家社会主义和教育型国家的框架内以变体形式延续了下来。另外，该书亦为后续研究打开了若干值得探索的方向：如突破上海中心视域的区域比较、读者接受的系统性实证考察，以及印刷生产物质技术条件的深度历史化分析。最后，该书将项目制生产、编辑协调与绩效考核的规训机制与今天内容产业和学术出版的组织逻辑加以衔接，凸显了其对当代知识生产的镜鉴意义。

**关键词:** 罗伯特·卡尔普；印刷工业主义；工业化出版；现代中国知识文化；出版史

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## Introduction

First published by Columbia University Press in 2019 and issued in Chinese by The Commercial Press in September 2025, Robert Culp's *The Power of Print in Modern China: Intellectuals and Industrial Publishing from the End of Empire to Maoist State Socialism* is much more than a contribution to publishing history. Covering the period from the late Qing to the early years of the People's Republic, the book shifts attention away from the familiar triad of author, work, and idea and toward a different historical problem: what happened to knowledge once publishing ceased to be primarily a craft and became an industrial system

organized around editorial offices, routinized labor, and standardized print products? Culp's answer is ambitious. Industrial publishing did not simply transmit knowledge more efficiently. It reorganized the labor through which knowledge was made, the categories through which it was ordered, and the publics and intellectual types to which it gave shape. In that sense, the book is as much a study of modern Chinese knowledge production as it is a history of industrial publishing.

That larger ambition gives the study its force. Culp is not merely filling in a neglected corner of modern Chinese cultural history. He is asking what becomes of knowledge once it passes through the institutions, workflows, and economies of industrial production. Who counts as a producer of knowledge, and who becomes its organizer, manager, or mediator? How do textbooks, dictionaries, reprint projects, and book series turn knowledge into forms that can circulate through classrooms, bookstores, and everyday life? These questions form the analytical backbone of the book, unifying its diverse case studies and making it something more than a descriptive survey of discrete publishing enterprises. What emerges instead is a sustained account of how modern China's knowledge culture is materially organized.

### 1. Print Capitalism and Print Industrialism

The book's central conceptual intervention is its formulation of *print industrialism*. Culp begins with Benedict Anderson's print capitalism, but he does so in order to redirect the discussion rather than simply to restate it. Anderson, as Culp notes, was primarily concerned with the consumption of print and with the shared temporal experience of reading through which imagined communities came into being. Culp's question lies elsewhere. Instead of focusing on how readers were shaped by print, he asks how print itself was produced. The point of *print industrialism* is therefore to recover the production side of modern print culture: mechanization, centralized management, division of labor, and the rationalization of workflow all become integral to the making of knowledge.

This conceptual shift is inseparable from a methodological one. Great thinkers and individual authors no longer occupy the narrative by default. Instead, editorial workers—editors, compilers, proofreaders, project heads, and managers—move to the center of the story. By foregrounding their daily practices, Culp relocates the making of knowledge in concrete institutional settings: the editorial department, the publishing house, the printing workflow, the meeting room, the classroom, and the book market. Knowledge, in this account, is not detached from social and material life; it is produced within it.

The argument unfolds across three broad layers: the recruitment and organization of labor, the creation of culture through specific textual forms, and the legacies of industrialized cultural production under state socialism. That tripartite structure is revealing in itself. Publishing appears here not as a subordinate mechanism for transmitting ideas already formed elsewhere, but as an infrastructure capable of connecting talent, institutions, market demand, and state power. It produces not only texts but also occupational roles and social relations.

## 2. Making Knowledge into Products

One of the book's most effective moves is to bring editors from the margins to the center of historical explanation. China, Culp reminds us, had long possessed a vibrant publishing market and a well-established tradition of scholar-literati participation in cultural production. What changed in the late Qing and early Republican period was not simply the arrival of new ideas. Educational reform, foreign intellectual imports, and changing market demand together forced publishers to reorganize labor in unprecedented ways. The decisive shift, as Culp presents it, was that labor organization changed first. Only then could ideas be disseminated, standardized, and popularized on a new scale.

This argument also allows him to recover aspects of early editorial culture that broader narratives often leave out. Editors were not abstract intermediaries suspended between authors and readers. They had identifiable social lives, networks of association, and professional ethics, and they still moved within worlds marked by older forms of literati sociability. By tracing clubs, gatherings, publishing ventures, and circulation networks, Culp shows that modern publishing did not simply break with the past. Rather, it absorbed older cultural resources and recoded them within new institutional forms.

At the intellectual center of the book stands Culp's reconstruction of two competing visions of publishing in the early Republican period. In 1921, Hu Shi, serving as a consultant to The Commercial Press, imagined a publishing house that would resemble a university or research institute, equipped with research resources, laboratories, and a degree of intellectual autonomy for editors. Wang Yunwu, by contrast, articulated a model much closer to manufacturing. In his scheme, texts could be decomposed into parts, stored, recombined, and produced through a rational division of labor. Textbooks, reference works, and encyclopedic texts would no longer depend primarily on solitary authorship; they would emerge from a managed process of coordinated production.

Culp's discussion of collective compilation is especially strong here. Although Wang Yunwu spoke through the organic metaphor of the "organism," the structure he designed already resembled an assembly line. Modern knowledge texts were increasingly produced through centralized planning, distributed research and drafting, and layered processes of review and integration. This organizational logic also generated a new social position: the editor class. These workers were educated, intellectually ambitious, and eager for cultural participation, yet burdened by modest incomes and Shanghai's high cost of living. They belonged neither to industrial labor in the narrow sense nor to the world of elite scholarship. Their historical significance lies precisely in that intermediate position. Culp uses this liminal status to recast the figure of "the intellectual," not as a purely moral or political actor, but as someone shaped by wage structures, institutional hierarchies, professional discipline, and prestige economies. Seen from that angle, the separation of writing from management in modern cultural production no longer looks accidental. It appears structurally produced.

The contemporary resonance of this argument is difficult to miss. Project-based management, editorial review, segmented labor, and performance evaluation all feel uncannily familiar. Much that is often taken to be distinctive of contemporary academic and content industries was already visible, in embryonic form, in the editorial departments of major Republican-era publishing houses.

The same analytical strength appears in Culp's treatment of textbooks and vernacular education. He refuses to treat publishing simply as a neutral vehicle for the spread of ideas. Instead, he asks how specific print forms created an order of knowledge. The Commercial Press's launch of vernacular textbooks in 1919, and the rapid expansion of that line after 1920, did far more than simply align with the linguistic reform movement. Frequent curricular change compelled publishers to build stable internal mechanisms for drafting, revising, and updating educational materials. By 1921, the press had even created a dedicated Chinese Language Department for that purpose.

The implication is sharp. The Vernacular Language Movement is often told as a story of elite intellectual liberation and stylistic revolution. Culp shows that its social efficacy depended just as much on the industrial production of textbooks. Only through large-scale supply and standardized pedagogical use could the vernacular become an everyday linguistic reality. Textbooks did not merely spread a new style of writing; they tacitly defined what counted as proper modern prose and what could be taught as legitimate knowledge.

Dictionaries extended this logic. If textbooks addressed how people learned to read and write, dictionaries addressed the concepts through which they learned to understand the world. Culp's discussion of *Ciyuan* (*Sources of Words*) and *Cihai* (*Sea of Words*) is persuasive precisely because he treats dictionary compilation not only as scholarship but also as organization and labor. *Ciyuan* was imagined as a kind of compass for navigating new learning. *Cihai*, meanwhile, embodied a more explicitly modern epistemic logic: new terms were to be gathered from current publications, and recent historical events incorporated into the lexicon. Under such conditions, the dictionary became a machine for assembling new concepts, new institutions, and new histories into public language.

Scale is crucial here. As dictionary and textbook projects expanded, compilation teams grew dramatically, reaching about fifty members by the mid-1930s. Editing and proofreading were divided into teams and procedures; later revisions made visible specialized groups, work meetings, and representatives of the municipal publishing bureau. Knowledge was no longer simply intellectual content. It had become the output of an industrial system sustained by positions, workflows, meetings, and something akin to version management.

Culp's chapter on photolithographic reprints of ancient books is equally important because it complicates the entrenched binary opposition between modernity and tradition. Projects such as the reprinting of *Gujin Tushu Jicheng* (*Complete Collection of Illustrations and Writings from the Earliest to Current Times*) show

that tradition was not displaced by industrial modernity. It was remade within it. In order to replace missing fascicles, ensure typographic consistency, and control costs, Zhonghua Book Company relied on both the book market and literati networks while redesigning format and layout for economy. The recovery of tradition, in other words, depended on the dual mobilization of both market and social network.

Culp is especially effective in reconstructing the labor scene of such projects. Participants recalled workflows in which editing, mounting, proofreading, repairing, photographing, proof-checking, plate-making, printing, and binding proceeded simultaneously. Temporary teams and continuous shifts were organized to keep the process moving. What this makes visible is not the disappearance of tradition but its recoding into a reproducible and circulable industrial product. That, Culp suggests, was one of the key mechanisms through which Chinese tradition was widely reproduced in modern times.

The discussion of book series opens yet another route into the problem. Here the issue is not formal education, but the popularization of knowledge outside it. The World Book Company's *ABC Series* is exemplary in this regard. Its aim was mass education, but its significance lay equally in form. Short, categorized pieces written by experts broke specialized knowledge into manageable units for ordinary readers. The shift was subtle but consequential: away from the one-time purchase of heavy scholarly works and toward serial products that could be bought selectively, read incrementally, and fitted to the needs and preferences of individual readers. In this respect, the book series became an important instrument for broadening the social reach of knowledge.

Culp also insists on the political implications of these projects. Because they remained relatively independent of universities and the state, such series gave educated elites an alternative route for exercising leadership in society. Before the state and the university system had fully absorbed the work of knowledge dissemination, industrial publishing took on a quasi-public educational role by combining market organization with product design.

The final chapters place this history within the state socialist transformation of the early People's Republic. Here again, Culp resists a crude narrative of rupture. The move toward public-private joint operation and, later, state socialist reorganization unquestionably changed the institutional landscape. Campaigns such as the Five-Anti Campaign of 1952 shook the industry, and by June 1954 Shanghai's publishing industry had entered a new phase of public-private joint operation, marked by a banquet attended by Premier Zhou Enlai and by the conversion of major houses into joint public-private enterprises. But Culp is more interested in what persisted through transformation. The state did not abolish the logic of industrial publishing; it inherited and intensified many of its core imperatives, especially those of efficiency, scale, and service to a mass readership.

This is where the concept of the *pedagogical state* becomes especially useful. Under state socialism, publishing became one of the means through which the state sought to educate and guide society. Yet cultural production did not thereby become a simple one-way command structure. The expertise of editors and scholars remained indispensable; readers still mattered; negotiation persisted. Culp's example of the later revision of *Cihai* makes the point clearly. Representatives of the municipal publishing bureau assumed roles analogous to those of earlier executive editors, while professional expertise continued to set limits on what could be done. The result is a much more nuanced account of socialist cultural production than either a pure rupture thesis or a pure continuity thesis can provide.

### 3. Reframing the History of Intellectuals

Taken together, these arguments make the book important on at least three fronts. First, it re-socializes and re-professionalizes the intellectual. Through editorial labor, wage structures, costs of living, promotion patterns, institutional discipline, and prestige economies, intellectuals appear not as naturally elevated inhabitants of a realm of ideas, but as historically constituted social actors. The history of intellectuals therefore cannot be confined to cataloguing ideas. It must also ask under what institutional conditions particular knowledge-producing roles became possible.

Second, the book clarifies modern Chinese knowledge culture by examining it through the dual lenses of textual form and production process. Textbooks, dictionaries, book series, and reprint projects were not neutral vessels. Each segmented knowledge differently, standardized it to different degrees, and imagined different publics. Textbooks and dictionaries helped establish new prose norms and vocabularies; book series reorganized the supply of knowledge and created new channels through which elites could exert influence. By bringing media form and production logic into the same frame, Culp makes it easier to see why modern knowledge took the shapes it did.

Third, the book offers a more fine-grained basis for thinking about the relationship between the Republican and socialist periods. Social and economic institutions changed dramatically after 1949, but industrial publishing's need for scale, efficiency, and procedural regularity did not disappear. A limited but real space for adjustment remained even under new forms of governance. In that respect, Culp's preferred explanatory model—structural continuity combined with institutional reorganization—fits the historical record better than a simple insistence on either absolute rupture or unbroken continuity.

### 4. Limitations and Future Avenues for Scholarly Inquiry

The book is strong enough that its limitations are best understood as openings. Its empirical center lies overwhelmingly in large Shanghai publishing institutions. That focus is well justified: Shanghai provides the clearest view of industrial publishing in its most developed form. Yet the emphasis also risks minimizing the

role of regional publishing, local educational systems, and smaller book workshops in the diffusion of knowledge. A broader comparison incorporating North China, Central China, and frontier regions might further clarify how industrial publishing interacted with state-building and local society.

A second limitation concerns readers. Culp is right to treat readers as one side of a negotiated relationship, but the empirical center of gravity remains within institutions: editorial departments, project organization, and managerial systems. Readers usually enter the narrative through market demand or audience positioning rather than through thickly described social experience or archival evidence of reader reception. Letters from readers, borrowing records, bookstore sales data, and school procurement archives would further illuminate how different knowledge products were understood, misinterpreted, or reappropriated by specific groups.

A third issue concerns technology. Culp vividly describes how industrial organization reshaped knowledge production, especially in the case of large reprint projects. But technology often remains a background condition rather than a fully developed analytical object. One would like to know more about how printing equipment, plate-making techniques, and paper supply chains constrained page design, text length, illustration, and collation. Had that material dimension been drawn out more fully, *print industrialism* might have emerged not only as an organizational concept but also as the basis for a more developed material history of publishing.

None of these limitations diminish the book's value. On the contrary, they testify to the extensibility of its framework. Subsequent researchers can readily carry its questions into new regions, richer archives, and more fine-grained histories of technology.

#### Conclusion: A Historical Mirror of Contemporary Knowledge Production

It is difficult to finish this book without thinking about the present. Project-based management, standardized workflows, divided labor, and performance evaluation—many of the organizational logics often treated as peculiar to the digital age were already taking shape in the editorial offices of Republican-era publishing houses. The model Culp reconstructs, in which texts are broken into components for reassembly, bears an obvious resemblance to today's modular content, standardized curricula, and reusable knowledge units.

More important still, the book reminds us that the power of knowledge culture resides not only in grand ideas but also in apparently neutral formats, procedures, and product design. Textbooks define standards of writing. Dictionaries establish conceptual boundaries. Book series slice knowledge into manageable and consumable segments. In that sense, the power of publishing lies in its capacity to convert ideas into forms that can be reproduced, distributed, and used for training.

What makes *The Power of Print in Modern China* especially compelling is that it restores to the center of modern Chinese cultural history those figures so often left at the margins: editors, compilers, proofreaders, and publishing managers. Through the framework of *print industrialism*, Culp shows how they collectively shaped not just the circulation of knowledge but its very form and distribution. Modernity, in this account,

was not simply the triumph of ideas or of great thinkers. It was also the triumph of organizational capacity—and of the countless intellectual workers who met deadlines, proofread manuscripts, and lived under the discipline of performance metrics.

If older forms of intellectual history often imagined knowledge as something lofty and distant, Culp turns our attention downward: to workstations, workflows, meetings, divisions of labor, and ledgers. It is there, on the ground, that abstract knowledge is transformed into something durable, portable, and socially usable. By the end of the book, one sees clearly that publishing is not merely a vehicle through which culture appears in public. It is one of the mechanisms through which culture itself is made.

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## The Three Dimensions of Imagination: A Review of Xie Youshun's *Imagination Is More Important Than We Think*

Ju Zhian, Deng Aiqin

**Abstract:** Imagination designates the act of rendering present what is otherwise absent. Literary writing represents an accomplishment that integrates imagination, critical thinking, and innovative spirit, wherein imagination fulfills an indispensable role. This paper delineates three interrelated dimensions of imagination: sensation as the foundation of imagination; awakening as the proper function of imagination; and Pondering as the abode of imagination. It contends that imagination functions as the keystone in the process of literary composition. Imagination further enables literature to inherit the lineage of traditional spirit, traverse the inner pathway of the soul, and respond to existential questions concerning life and the world. In the end, imagination allows literature to remain grounded in reality while reaching toward transcendence.

**Keywords:** imagination; Xie Youshun; imaginative capacity

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**标题:** 想象力的三重面相——评谢有顺的《想象力比我们想象的更重要》

**摘要:** 想象是使本身不出场的东西出场，作文是以集想象力、思辨力和创新精神于一身

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的成果，想象在其中发挥着极其重要的作用。本文梳理了想象力的三个面相：感觉—想象力之本；觉悟—想象力之职；神思—想象力之家。认为想象力在创作文学的作文过程中有着拱心石的作用，同时，想象力使文学上承传统精神之脉，中通灵魂之途，下应身世之问。最终使文学脚踏实地并仰望星空。

**关键词：**想象；谢有顺；想象力

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Xie Youshun's work *Imagination Is More Important Than We Think* was published in 2025 by Shaanxi People's Education Press as part of the Short Essays by Distinguished Writers series edited by Wang Jiuxin. The contemporary era is pervaded by a culture of speed, epitomized by the widespread prevalence of short-video media. To remain engaged with the times rather than being marginalized, the literary field has witnessed a subtle shift: a turn from voluminous monographs to concise essays by prominent authors, a trend to which the series responds. The series is designed to enable literary readers to utilize fragmented time to read short essays by distinguished writers, thereby broadening intellectual horizons, nurturing spiritual wellbeing, overcoming intellectual and emotional impoverishment, and engaging in intellectual dialogue and affective exchange with great writers. Literary works serve as the medium for such exchange, yet imagination occupies a pivotal position in the creative and compositional process. By unpacking the three dimensions of imagination, this paper demonstrates that imagination constitutes the fusion of subject-objectification and object-subjectification, as well as the reconciliation between illuminating the Dao (道) through humanity and comforting humanity through the Dao.

### 1. Sensation: The Foundational Ground of Imagination

Faulkner once observed that experience, observation, and imagination constitute the three pillars of writing. Within the creative process, Faulkner privileged experiential sensation, for sensation represents humanity's most natural and originary capacity. "The depth attained by sensation is inaccessible to purely cognitive deduction or logical reasoning" (Xie Youshun, 2025, p.27). Writers achieve depth of sensation through literary memory accumulated via extensive reading. Such memory functions as an artistic endowment: the greater its accumulation, the richer the reservoir of sensation, the broader its scope, and the more vivid its content. Works animated by such sensation exhibit fuller emotional resonance, more intricate plotting, and more vividly realized characters. By contrast, impoverished literary memory and depleted sensation "confine writing merely to the immediate present, the visible, and the self. Confinement to the present precludes spiritual connections to the past and future; confinement to the visible leads to entrapment in the wilderness of

phenomena and experience; confinement to the selfhinders comprehension of a broader life within the coordinates of the other and the world” (Xie Youshun, 2025, p.22). As “the scope of sensation expands, so do the boundaries of writing and the horizon of imagination. What was once unthinkable or unexperienced becomes available through the restructuring of the sensory world” (Xie Youshun, 2025, p.23). Thus, grounded in accumulated literary memory, sensation opens up greater possibilities, complexity, and imaginative space for literary creation.

Beyond literary sensation forged through extensive reading, there exists physical sensation closely bound to “eyes, ears, nose, tongue—the sensory realm” (Xie Youshun, 2025, p.41). Both forms are subsumed under the category of sensation, marked by individuality, subjectivity, and concreteness. These characteristics furnish abundant resources and potentials for literary creation and critical interpretation.

As the preceding analysis indicates, sensation underpins writing, and “writing is an experiment of imagination” (Xie Youshun, 2025, p.29). Imagination thus flourishes on the fertile ground of sensation, growing richer as the scope of sensation expands. Sensation presupposes a sensory world, rooted in human and mundane life—the lifeworld—which together form the material exterior of literature. This material exterior contains the experiences, details, and materials within literary works. Readers apprehend the imaginative space inscribed by the author through these details, thereby accessing the author’s spirit and the work’s inner soul. By contrast, contemporary literature shaped by fast culture often prioritizes tense, sensational plots and rapid pacing with relentless suspense, delivering a roller-coaster reading experience yet lacking rhythmic subtlety and descending into superficial sensationalism. Hence, the experiences, details, and material elements in superior literary works are not mere physical presences; they serve as markers of affective arousal, outlets for emotional expression, and bridges of affective communication between author and reader. While seemingly depicting objects, they essentially embed emotion. In this sense, the material world in a work constructs its physical exterior while sustaining its “spirit” and “soul,” lending authenticity and resonance, stimulating sensation, and enriching imagination.

The material exterior of literature cannot be divorced from the present. The “present” here is not a moment severed from past and future, but one dynamically interconnected with them, thereby possessing “presentness.” The present thus integrates past, present, and future, acquiring both temporality and spatiality—the spatialization of time. The spatialization of time in literature allows for the juxtaposition and superimposition of time and space, ensuring that literature’s engagement with, insight into, and articulation of the present avoid superficiality, vacuity, and isolation. Instead, it grasps the complex and polysemous reality of the present. Literature may appear to turn away from the present, yet in truth it approaches and illuminates the present more profoundly.

As a product of imaginative experimentation, literature enriches its affective and spiritual dimensions through the expansion of imagination. The expansion of imagination, in turn, relies on the expansion of

sensation, which originates from the material exterior of literature. Although matter and literature belong respectively to the material and spiritual realms, “things are not mere things; they embody human affection and ethical relations. To portray humanity through things, transcending the distinction between self and object, is a perennial literary theme” (Xie Youshun, 2025, p.40). The boundary between the world of things and the world of humanity blurs, granting literature tangibility and verisimilitude. The material world thus constitutes the origin of literary creation and vitality. Sensation mediates between matter and literature: it draws nourishment downward from the abundant world of things and enriches literary imagination upward. In this regard, diversified sensation is the source of manifold imagination, and imagination is the artistic experimentation of diversified sensation in literature.

## **2. Awakening: The Proper Function of Imagination**

As the resource base of imagination, sensation supplies ample content and space for imaginative activity. The expansion of sensation not only broadens the horizons of imagination but also enriches its content and extends its scope. In other words, sensation provides the materials and resources for imagination, while imagination digests and appropriates these materials to expand its terrain and deepen its significance. Two core functions emerge: first, transformation—absorbing and converting sensory materials into imaginative resources; second, preservation—on the basis of transformation, the dissolution of the old imaginative framework generates new imagination, which embodies the preservation of transformation. Collectively, transformation and preservation are termed awakening or enlightenment. Awakening discharges two interrelated functions in literary creation and expression: constancy and change, and vulgarity and elegance.

### **2.1 Constancy and Change**

Qian Mu remarked that innovation must be preceded by the preservation of tradition, meaning that enduring literary and cultural legacies must be upheld before transformative innovation is pursued. Since the early twentieth century, the dominant ethos of Chinese literature has been the pursuit of change, which has served as its overriding motif. Hu Shi, a pioneering anti-traditional figure, and Lu Xun, renowned for his critique of the “man-eating” old society, both championed the rejection, opposition, and even repudiation of tradition. By the 1980s, more radical, avant-garde writers emerged in Chinese literary circles. They assigned characters symbolic labels such as “1, 2, 3, 4” or “A, B, C, D” (Xie Youshun, n.d., p.66), completely stripping characters of the profound cultural meaning and heritage embedded in proper names. In this respect, such avant-garde or modernist Chinese literature slid toward historical nihilism, becoming a tree without roots or a stream without a source. Yet as Qian Mu suggests, change and constancy are mutually implicated and interdependent. Twentieth-century Chinese literature prioritized change; the future of Chinese literature lies not in mere adherence to tradition, but in the coexistence of constancy and change—constancy within change, change within constancy.

To uphold constancy is to draw intellectual resources from tradition in order to understand and inherit it. It is not uncritical dogmatism, but selective preservation: absorbing the essence while discarding the dross. Tradition constitutes a vast living organism; each literary tradition is a living entity, and every individual life aspires to merge into this greater organism, achieving individual expression and existential wholeness. Similarly, each literary form seeks survival, development, and fulfillment within tradition.

Insight into the dialectic of change and constancy forms a function of imagination, yet not its ultimate end. The telos is their synthesis—innovation. Change unfolds within the horizon of constancy to avoid vacuity and rootlessness; constancy operates within the context of change to avoid rigid imposition and uncritical affirmation. The interplay of constancy and change actualizes the ideal of “upholding integrity while pursuing innovation” in literary creation and practice.

## **2.2 Vulgarly and Elegance**

The dialectic of vulgarity and elegance parallels that of constancy and change. Whereas constancy and change concern literary engagement with tradition and the utilization of inherited intellectual resources, vulgarity and elegance address the layers of emotion, value, and artistic ambition embodied in literary works. Higher emotional and value registers correspond to elegance; lower registers correspond to vulgarity.

Like constancy and change, vulgarity and elegance are not rigidly dichotomous or mutually exclusive. In reality, vulgarity enfolds elegance, and elegance implicates vulgarity, for both are grounded in the emotion, value, and artistic ambition of literary works. Literary “vulgarity” here denotes not coarseness or obscenity, but accessibility and popular appeal. Such works “are readily received by diverse readers and can be integrated with film, television, animation, and games to form a cultural industrial chain” (Xie Youshun, 2025, p.96). Vulgarity contains the potential for elegance—a “minor elegance” or the germ of true elegance. To actualize this potential, three steps are required: “first, craft and complete a compelling narrative; second, portray universal emotions and shared values; third, innovate discursive forms, especially through linguistic refinement” (Xie Youshun, 2025, p.99). Through these measures, “even popular literature can effectively transcend its own limits”—the classical idea that “extreme vulgarity is elegance, and extreme elegance is vulgarity” (Xie Youshun, 2025, p.100).

Commonly, “elegance” is associated with lofty, esoteric themes that isolate emotion, value, and taste from ordinary readers, resulting in obscurity and self-enclosure. This represents a narrow and dogmatic understanding. Authentic elegance does not alienate readers, but educates and transforms them, enabling them to perceive universal emotions, shared values, and profound artistic taste beyond superficial appearances. In so doing, works abandon elitist, self-enclosed elegance and dismantle the invisible barrier between elegance and the reading public. Ultimately, literature opens onto a path of “shared appreciation by refined and popular tastes alike.”

The tension and reconciliation of constancy and change, vulgarity and elegance, all depend on the exercise of imaginative function, ultimately realized through the power of awakening.

### 3. Pondering: The Abode of Imagination

Pondering constitutes the abode of imagination. This abode is not a physical shelter for the body, but a spiritual home that protects the mind from alienation and harm (Wang Yongbing, Yao Yuanyuan, 2025, p.40). As contemporary men of letters, writers should integrate poetry, calligraphy, and painting. Literary works—as experimental products of imagination—concentrate the writer’s temperament, spirit, and creative energy; in short, they embody the writer’s ‘connotation’(yi,意)—the spiritual home. This ‘connotation’ likewise animates the writer’s poetry, calligraphy, and painting. The appreciation of these artistic forms reveals the writer’s temperament and spirit; through ‘connotation’ on spirit and temperament, one reaches the abode of imagination—the writer’s ‘connotation’. Within the realm of ‘connotation’, writer and reader attain not only affective and value resonance but also insight into the resilience of life and “the truth of the world” (Xie Youshun, 2025, p.118).

As contemporary literati, writers’ calligraphy “often bears literary grace, unpolished charm, or untrammelled vigor, through which temperament flows forth” (Xie Youshun, 2025, p.103). Compared with professional calligraphers, they may be less skilled in technical execution, yet the ‘connotation’ concealed within their literary, unpolished, and untrammelled style far surpasses that of professional calligraphers. Thus, literati calligraphy possesses less technical virtuosity but greater artistic conception. Such conception is both the object and the outcome of Pondering; Pondering is artistic conception—the ultimate tranquil destination of imagination. Similarly, literati painting, like literati calligraphy, serves as an artistic medium to manifest the literatus’s temperament and conception. This temperament and conception are refracted not only in calligraphy and painting but also in literary works as experiments of imagination.

### Concluding Remarks

Imagination renders present what is absent, encompassing “recollection and association, creative imagination, and fantasy” (Zhang Shiyong, 2004, p.1). As the keystone of literary creation (Yan Fuping, 2003, p.115), imagination takes sensation as its ground, expanding its possibilities as sensation deepens, intensifying its dimensions by internalizing sensory materials through awakening, and finally returning to its abode through pondering—constructing a “dwelling place” for humanity. This dwelling place does not retreat from the integrated material exterior of past, present, and future. It is not a secluded chamber, but an open wilderness, “a meditation that transcends finitude and contemplates the infinite void” (Zhang Shiyong, 2005, p.21). Thus, the abode of imagination is both the realm of pondering and the place of human dwelling.

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## Symbol as Bridge: Decoding the Meaning Dilemma in the Era of AI—A Review of Zhao Yiheng’s *Cultural Semiotics in the Era of Artificial Intelligence*

Sun Rong, Tan Qing

**Abstract:** This review critically examines Professor Zhao Yiheng’s seminal work, *Cultural Semiotics in the Age of Artificial Intelligence*. In an era where AI profoundly permeates cultural production and meaning construction, the book employs cultural semiotics as a theoretical framework to confront core cultural crises arising from AI: the symbolic essence of AI-generated content, the crisis of human subjectivity in the post-human era, and the risk of “Heat Death of Meaning” caused by information overload. The review illuminates three key contributions: First, by defining AI as a non-intentional symbolic machine, the book reaffirms the ontological bond between meaning and human consciousness, desires, and lived experiences. Second, it proposes “Continuity as the Fourth Rationality”, providing a sharp analytical tool for understanding AI-generated texts and expanding the horizons of semiotic theory. Third, through reflections on “Form and Meaning”, “Five Paradoxes” and “Halfway Style”, the book issues a profound warning about homogenized meaning in contemporary art. The work bridges the technological and humanistic perspectives, offering crucial intellectual resources for safeguarding the depth and diversity of human meaning in the AI era. However, it leaves gaps in addressing “externalizations”, particularly in exploring dimensions of symbolic political economy like algorithmic bias, symbolic power, and platform politics.

**Keywords:** artificial intelligence; cultural semiotics; rationality; form and meaning

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**标题：**符号为桥，解码 AI 时代的意义困境——评赵毅衡《人工智能时代的文化符号学》

**摘要：**本文是对赵毅衡教授《人工智能时代的文化符号学》一书的评述。面对人工智能深度渗透文化生产与意义建构的时代，本书以文化符号学为理论工具，系统回应了 AI 引发的核心文化困境：如 AI 生成物的符号本质、后人类时代的主体性危机以及信息过载导致的“意义热寂”风险。书评认为，该书的贡献体现在三个层面：其一，通过判定 AI 为“非意图性符号机器”，捍卫了意义与人类意识、欲望、生命体验的本体论联结；其二，创造性地提出“延续性作为第四理据性”，为分析 AI 文本生成提供了锐利工具，并推动了符号学理论的范式扩容；其三，以“形式与意义”“五个悖论”与“半程风格”反思当代艺术，发出意义同质化的深刻预警。这本书在技术和人文之间搭起了一座批判性的桥梁，为 AI 时代保护人类意义世界的深度和多样性，提供了重要的思想资源。不过，它也留下了一些“外部性”议题的空白，比如算法偏见、符号权力等内容，还有待深入挖掘。

**关键词：**人工智能；文化符号学；理据性；形式与意义

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## Introduction

The rise of artificial intelligence marks not merely a leap in technological capabilities but a profound paradigm shift in the mechanisms of meaning production. As DeepSeek's conversations attain an so fluent as to inducing cognitive disorientation, as MidJourney's generated images increasingly approach—and at times eclipse—the aesthetic refinement of master human artists, and as algorithmic recommendations subtly shape the knowledge horizons and emotional frameworks of billions, what we witness transcends a simple technological breakthrough: it represents a fundamental philosophical crisis concerning the essence, origin, and authority of “meaning”. Once regarded as an exclusive attribute of human consciousness and culture, meaning is now being redefined by non-biological, statistical, and algorithmic intelligence.

Amid the intense clash between technological optimism and humanistic concerns, Professor Zhao Yiheng, drawing on his decades of profound expertise in semiotics, has authored *Cultural Semiotics in the Age of Artificial Intelligence* (Sichuan University Press, September 2025). The book integrates semiotics as an

“instrument for meaning interpretation” with the context of the AI era, exploring the significance challenges of this technological age while infusing new vitality into contemporary semiotic theory. It stands as a pivotal work bridging technology and humanities scholarship. Its core value extends far beyond merely labeling complex AI cultural phenomena; more profoundly, it compels semiotics (a discipline born from and deeply rooted in anthropocentric traditions) to engage in self-reflection, re-examine its boundaries, and even drive the renewal of entire research paradigms when confronting systemic challenges posed by “non-human intelligence”.

As a scholar dedicated to the localization of semiotics in China, Professor Zhao Yiheng has been striving to integrate semiotic theories with Chinese cultural practices, and has constructed a semiotic analysis framework with distinct local characteristics. In this book, he continues this academic research without confining himself to the theoretical boundaries of traditional semiotics; instead, he adopts artificial intelligence as a novel research subject, transcending the divide between technological and humanistic studies. The first part focuses on “Cultural Semiotics of Artificial Intelligence”, addressing cultural phenomena and core issues in the AI era, while the second part delves into “Formal Theories of Meaning”, providing solid theoretical basis for the practical inquiries of the first part. This approach forms a coherent argumentative logic of “phenomenon-problem-theory-reflection”, offering both detailed analyses of specific cultural phenomena and innovative constructions of theoretical systems, combining practical relevance with academic depth.

### **1. Confronting the Reality of AI and Questioning the Contemporary Dilemma of “Meaning”**

The perspective presented in this book is grounded in a clear and definitive philosophical judgment: artificial intelligence is essentially an outstanding “symbolic operations machine”, rather than a genuine “symbolic meaning subject.” This judgment is based on an in-depth semiotic phenomenological analysis that bypasses the technical “black box” of neural networks and directly addresses the philosophical core of the issue: Must the generation, understanding, and communication of meaning necessarily depend on biological consciousness, intrinsic intentionality, and embodied life experiences?

#### **1.1 The Significance of Artificial Intelligence**

To substantiate this argument, the book constructs a logically coherent analytical framework. Its opening discussion of “alien intelligent entities” in science fiction serves as a sophisticated theoretical foundation. As humanity’s intellectual laboratory, science fiction’s depictions of robots and extraterrestrial intelligence fundamentally reflect humanity’s self-examination and projection of its symbolic systems and cognitive frameworks. The book contends that regardless of how sci-fi authors imagine empathy among alien intelligence, the underlying dilemma persists: without shared life forms or evolutionary histories, can mere symbolic exchange truly foster meaningful understanding? This literary analysis reveals the ontological divide between AI and human symbolic practices. Such an approach avoids both the blind worship of technological optimism and the one-sided rejection inherent in technological pessimism, embodying rigorous academic rationality.

Subsequently, through a chapter titled “Ten Questions about Artificial Intelligence”, which is full of

dialogues and reflections, this book explores this gap. Ranging from “Is its fundamental function a meaningful activity?” to “Can it employ irony?”, these ten questions serve as a set of philosophical tests that reveal the mechanistic nature of AI’s symbolic processing. AI’s “understanding” involves the recognition and matching of input symbolic patterns; its “response” consists of generating the most probable sequences based on extensive data training. The entire process can be described as a form of “competence without understanding”. It is indifferent to the referents of symbols and focuses solely on the probabilistic associations between them. This fundamentally distinguishes AI from meaningful human activities, as human activities are rich in elements such as emotional value, historical memory, and concerns about survival.

To explore whether the symbolic essence of human thought can be fully formalized, this book focuses on the mystery of the “present moment”, distinguishing between humans “perceiving the present moment” and artificial intelligence’s “working moment” (Marx, 1995). Drawing on the “dual-axis” theory (Saussure, 1980) and incorporating the debate between Hinton and Chomsky, it elucidates the interactive mechanism of the symbolic dual axes (the combination axis and the aggregation axis) in AI text generation, arguing that AI-generated texts are essentially mechanical combinations of these axes, lacking the creativity and flexibility inherent in the dual-axis interaction characteristic of human symbolic activities.

## **1.2 The Artistic Perspective of AI**

The most theoretically significant analysis from the artistic perspective of artificial intelligence is found in its critique of “AI art”. Today, the awe and controversy sparked by AI creations represent the central arena for the struggle over meaning sovereignty. This book argues that while AI can remarkably realistically imitate or even blend various artistic styles (i.e., skillfully handle “the meaning of form”), it fails to infuse artistic creation with the most fundamental driving force: desire. The desires mentioned here are not merely psychological needs. Rather, at the existential level, living beings have the urge to express themselves due to scarcity, the pursuit of completeness, and the struggle against the world.

From Qu Yuan’s “Li Sao” to Van Gogh’s “Starry Night”, great works of art is invariably the crystallization of such existential desires. “AI art” is ultimately “a form of replication without a subject” (Zhao, 2025), a “representation” that is highly realistic at the symbolic level but completely devoid of meaning at its source.

This analysis not only resolves the controversies surrounding AI-generated art but also upholds the essence of art itself, art as the highest form of human meaningful activity, whose core lies in the manifestation of subjectivity and creativity. This argument strengthens the ontological connection between art and human lived experience. However, it also places us in a more complex dilemma: when the “forms” created by AI become sufficiently perfect and effectively evoke emotional resonance in viewers, is the definition and meaning of art undergoing a transformation? Will the evaluation of art’s value gradually shift from the traditional “author-intention-expression” paradigm to a “audience-effect-interaction” paradigm?

## **2. Deepening the Theoretical Foundation and Constructing a Formal System of Meaning**

### **2.1 Reconsidering “Rationality”**

The first part of this book is a practical inquiry into cultural phenomena in the AI era. The second part, “The

Formal Theory of Meaning”, is a theoretical response to this inquiry and also an innovative construction of Professor Zhao Yiheng’s semiotic theory. By returning to the core proposition of semiotics, which is “how meaning is generated”, through rethinking rationality, exploring the dialectical relationship between form and meaning, conducting thought experiments, and interpreting the “halfway style” of contemporary art, a complete formal theory of meaning has been constructed. This provides a solid theoretical support for AI cultural semiotics and also promotes the contemporary development of semiotic theory.

“Reconsidering rationality” is the core content of the second part. Since Saussure proposed arbitrariness and Charles Sanders Peirce refined the tripartite classification of resemblance, indication, and regulation, the rationality theory has been relatively stable. This book starts from Socrates’ hesitation (Edith & Huntington, 1963), first exploring that rationality is “the force that connects symbols and meaning”; second, it proposes the concept of “universal pragmatic rationality” (Zhao Yiheng, 2024), distinguishing between “acquired meaning at birth” and “acquired meaning during growth”; third, it explains “continuity” as the fourth rationality, combining C. S. Peirce’s “thought symbol” theory (C. S. Peirce, 2014), and pointing out that continuity is the basis for the coherence of symbolic meaning. The operation mechanism of large language models like Deepseek is precisely this rationality, striving to generate the most “smooth”, “reasonable”, and “in line with the expectations of the previous context” symbolic sequences within the probability space built by a vast amount of training corpora. The “thinking” of such models has no ultimate goal; its essence is to advance following the logic of “continuity”.

This rethinking of rationality not only enriches the theoretical system of semiotics but also provides a new theoretical tool for interpreting the symbolic activities of AI. On the one hand, it provides a sharp tool for analyzing AI-generated text products. The reason why an AI-generated news article “looks like” a news article mainly lies not in its resemblance to real events (it may be completely fictional), but in its continuation of the vocabulary, sentence structure, and narrative mode of the news genre. On the other hand, it also illuminates the long-neglected “continuity” dimension in human symbolic activities. Our daily conversations, academic writings, and even thinking flows deeply rely on this internal coherent logical structure. This book “alienates” the logic of AI and allows us to see the other side of our thinking reflected by the algorithm mirror.

### **3. The “Halfway Style” and the Concept of Heat Death of Meaning**

This book applies the theoretical frameworks to a macro-level critique of the cultural ecology in the AI era, proposing two profoundly insightful concepts with far-reaching implications: “The Five Paradoxes of Artificial Intelligence” and “The Halfway Style”. This marks a shift in the book’s research from “theoretical innovation within semiotics” to “semiotic engagement in critical analysis of our times.”

#### **3.1 The Five Paradoxes of Artificial Intelligence**

The “Five Paradoxes of AI”, namely, “The Simple Approach to Ultra-Advanced Intelligence”, “Professional Technology for Universal Use”, “Technological Radicalism Driving Cultural Internalization”, “Social Production Prosperity Leading to Reduced Human Agency”, and “Information Overload Resulting in a Heat Death of Meaning”. These uncover the fundamental contradictions and alienation effects between technological logic and sociocultural logic.

Among these concepts, “Heat Death of Meaning” draws on the Heat Death Theory from physics to describe a cultural phenomenon: driven by AI, the efficiency of symbol production and dissemination reaches its peak, resulting in a flourishing cultural landscape. However, once meanings are endlessly replicated and restructured, their uniqueness and profound essence are continuously diluted. Ultimately, all cultural expressions tend toward homogenization, flattening, and a state of maximum entropy. This is not merely an issue inherent to AI itself, but rather the cultural dilemma of the entire digital age accelerated by AI as a catalyst. This analysis not only interprets the current cultural predicament, but also provides an important theoretical perspective for us to reflect on the development of artificial intelligence.

### 3.2 The “Halfway Style” of Contemporary Art

The “Halfway Style” represents the concrete manifestation of “meaningful thermal death” in aesthetic and creative dimensions. This paper argues that much contemporary art (including typical AI-generated works) often stagnates halfway between achieving “formal completion”. Drawing on the concept of “qualia” and integrating it with Charles Sanders Peirce’s theory of qualia, the book elucidates the essence of “semiotic encoding” and explores the “ten stages of artistic evolution”. By applying Marxist theory of “new sensibility”, it posits that contemporary art should pursue an “organic unity of form and meaning”, maintaining the core significance through formal innovation while advancing form through meaning construction. While AI art possesses all conventional artistic elements, novel media, distinctive compositions, and challenging concepts, it lacks profound meaning and sublimation. AI enables the industrialized and automated production of this halfway style, exacerbating the issue. This diagnosis accurately identifies the crux of contemporary art and cultural production, calling for a “complete style” that restores spiritual weight and existential depth.

However, this critique with humanistic ideals may also face counterarguments from contemporary thought itself. Under the influence of postmodernism, within the fragmented, fluid, and decentralized digital existence, does the inherently open and indeterminate nature of the “halfway state” precisely constitute a new, more contemporary form of meaning expression? While this book establishes rigorous criteria, the aesthetic paradigms of our era may already be shifting; the dialogue between these standards and paradigms will become the central arena for future cultural discourse.

## 4. Academic Value and Practical Implications: Building a Bridge Between Technology and Humanities

The greatest value of the book *Cultural Semiotics in the Age of Artificial Intelligence* lies in its ability to bridge the gap between technology and humanities, establishing a systematic theoretical framework for AI cultural semiotics. It not only advances contemporary innovations in semiotic theory but also provides crucial theoretical guidance and practical insights for cultural development in the AI era, with its academic significance and practical relevance manifesting in multiple aspects.

From an academic perspective, the book’s innovations manifest in two key aspects. First, it expands the research boundaries of semiotics by extending its scope from traditional studies of language, literature, and art to the entirely new field of artificial intelligence, thereby advancing semiotics’ interdisciplinary development. Second, it reconstructs semiotics’ core theories by introducing concepts such as “continuity as

the fourth rationality”, “universal pragmatic rationality”, and “semi-process style”, offering a fresh interpretation of the dialectical relationship between rationality, form, and meaning.

From a practical perspective, this book offers crucial guidance for addressing the meaning dilemmas of the AI era and upholding human subjectivity. First, it emphasizes the need to correctly understand the cultural semiotic nature of artificial intelligence, acknowledging its technological advantages while clearly recognizing its limitations. The symbolic activities of AI involve unintentional, non-subjective, and emotionless mechanical processing, making it incapable of truly replacing human meaning-making endeavors. Second, it advocates preserving the diversity of meaning systems and guarding against the “meaning thermal death” dilemma caused by information overload. In the AI age, where symbolic production has become increasingly convenient and exponential information growth leads to meaning fragmentation and homogenization, we must actively preserve human creativity and reflective capacity, focusing on meaning construction within symbolic activities. Third, it calls for balancing technological advancement with humanistic principles by defining clear boundaries for AI development, ensuring its progress serves human well-being and fosters a positive synergy between technological progress and humanistic values. Fourth, it promotes the healthy development of contemporary art to highlight human subjectivity and creativity. While AI can serve as an auxiliary tool for artistic creation, it should not replace human artists, as the core of art remains human emotion, thought, and creativity.

### **Conclusion**

This book adopts a research perspective focused on “introversion,” with a relatively limited exploration of “externalizations”. While it primarily examines the intrinsic mechanisms of AI as a symbol producer (i.e., the “how-to-produce” question), its discussion of the external operational mechanisms of symbolic power within political and economic dimensions remains insufficient. For instance: What cultural biases and ideological “dark matter” rooted in regional, gender, and class dimensions exist within AI systems? How do technology platforms automate and scale these biases through algorithms, thereby shaping new forms of cognitive inequality and symbolic power structures? How will the copyright ownership and ethical accountability of AI-generated symbols reshape the ecosystem of cultural production? These critical issues pertaining to “symbolic political economy” and “algorithmic critique” require deeper dialogue with fields such as communication studies, political science, and law.

Given the rapid advancement of AI technology, it is imperative to adopt a cautious and forward-looking academic approach to address complex challenges arising from its development, including ethical ambiguities, identity reconstruction dilemmas, and socio-technical risks (Yu, 2025, p.131). Key issues such as the symbolic generation capabilities of large language models, the meaning-assignment mechanisms of virtual humans, and the cultural biases embedded in training data warrant further exploration. Nevertheless, this does not diminish the book’s academic value or practical relevance. As the book’s author Professor Zhao Yiheng powerfully emphasizes, semiotic research is a vibrant, dynamic process that must perpetually adapt to contemporary challenges and continuously evolve its theoretical frameworks. The book’s core contribution lies in its

systematic examination of AI through the lens of cultural semiotics, advocating for the use of symbols as bridges to decode the cultural logic underlying technological developments. It underscores the importance of preserving human subjectivity, safeguarding the diversity of meaning systems, and thereby protecting humanity's spiritual homeland while fostering a positive synergy between technological progress and humanistic advancement.

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## Archival Anchoring and Academic Reflection at the Forefront of Technological Innovation: A Critique of Ouyang Youquan's *Chinese Network Literature Yearbook 2024*

Chen Qiongju, Huang Dezhi

**Abstract:** As the only authoritative annual chronicle of network literature continuously published in China, *Chinese Network Literature Yearbook 2024*, edited by Ouyang Youquan, continues its team's compilation philosophy of "historical materials preservation, academic analysis, and industry guidance", and systematically records the full landscape of Chinese network literature development in 2024 from a panoramic perspective. For the first time, this yearbook takes the integrated development of Generative Artificial Intelligence (AIGC) and network literature as its core annual theme, accomplishing the full-chain preservation of historical materials on industry practices amid technological transformation, an in-depth analysis of technology's enabling value, and a dialectical reflection on relevant risks and dilemmas. Taking this yearbook as the core object of critical analysis, this paper sorts out its compilation logic and overall positioning, focuses on the innovative breakthroughs in its AIGC-related content, explores its academic value and room for improvement in the disciplinary construction of contemporary literature and network literature research, and provides a reference for the high-quality development and academic research of network literature in the AIGC era.

**Keywords:** *Chinese Network Literature Yearbook 2024*; Ouyang Youquan; network literature research; AIGC; literary historical materials

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**标题：**技术前沿的史料锚定与学术观照——评欧阳友权《中国网络文学年鉴 2024》

**摘要：**作为国内唯一连续出版的网络文学权威年度志书，欧阳友权主编的《中国网络文学年鉴 2024》（北京出版社，2025）延续了其团队“史料留存、学术分析、行业引导”的编撰理念，以全景式视野系统记录了 2024 年中国网络文学的发展全貌。这部年鉴首次将生成式人工智能（AIGC）与网络文学的融合发展作为年度核心命题，完成了技术变革下行业实践的全链条史料留存、赋能价值的深度分析与风险困境的辩证反思。本文以这部年鉴为核心评析对象，梳理其编撰逻辑与整体定位，重点聚焦 AIGC 相关内容的创新突破，探讨其在当代文学学科建设、网络文学研究中的学术价值与可完善空间，为 AIGC 时代网络文学的高质量发展与学术研究提供参考。

**关键词：**《中国网络文学年鉴 2024》；欧阳友权；网络文学研究；AIGC；文学史料

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### 1. Panoramic Portrayal of the Annual Landscape: Compilation Logic and Fundamental Positioning of the 2024 Yearbook

The year 2024 marks a critical juncture for online Chinese literature as it enters a phase of in-depth transformation, and equally, a pivotal moment when generative artificial intelligence (AIGC) became truly embedded in the processes of literary creation and production. Driven by relevant policies, the Chinese state has continuously supported innovative exploration in the digital cultural industry and encouraged deeper integration between artificial intelligence and the cultural sector, providing external support for the technological and modal upgrading of online Chinese literature. After more than two decades of rapid growth, online Chinese literature in China has entered a new phase where the core focus shifts from quantitative expansion to qualitative improvement. Nevertheless, the industry cannot avoid pressing practical challenges, including content homogenization, an excessively long cycle for IP commercialization, and high barriers to creation. To a certain extent, AIGC's advantages in text generation efficiency and scenario adaptation have addressed the practical needs emerging amid the industry's transformation. At the same time, the scope of contemporary literary studies has continuously expanded into emerging fields such as digital literature and online Chinese literature. The new phenomena and issues arising from the integration of AIGC and online Chinese literature have already become one of the most dynamic and cutting-edge research directions in current academic circles.

Against this backdrop, China Online Literature Yearbook 2024 (Beijing Publishing House, 2025), edited by Ouyang Youquan, was published. As the ninth consecutive annual yearbook on online Chinese literature

compiled by his team since 2016, this work serves both as an authoritative annual archive of the development of online Chinese literature in 2024 and a pivotal achievement in the development of digital historical materials for contemporary literature. From the perspective of the academic history of online Chinese literature studies, this continuously published yearbook series has long transcended its positioning as a mere “compilation of industry data” to become core documentary support for the disciplinary development of online Chinese literature. Furthermore, the 2024 edition’s focus on the cutting-edge theme of AIGC has realized an upgraded positioning from an “annual recorder” to an “academic pioneer”.

As a leading scholar in the field of online Chinese literature research in mainland China, Ouyang Youquan has long been committed to the collation of historical materials and academic research on online Chinese literature. The China Online Literature Yearbook series he edits has become one of the indispensable authoritative references in contemporary literary studies. Leveraging the series’ mature compilation system, the 2024 Yearbook constructs a five-in-one, full-ecosystem content framework encompassing “creation, industry, research, dissemination, and governance”. The book comprises ten chapters, covering an annual overview of online Chinese literature, literary websites, active writers, popular works, online Chinese literature readership, the online Chinese literature industry, academic conferences and key events, internet regulations and copyright administration, theory and criticism, and the overseas dissemination of online Chinese literature. It concludes with an appendix documenting the chronicle of events in the online Chinese literary circle in 2024, forming a complete logical closed loop of “macro over view, me so ecosystem, micro text, and extended development”. Compared with previous editions of the yearbook and other industry reports of the same kind, the most prominent breakthrough of the 2024 Yearbook is its tight grasp of AIGC as the critical thread driving industry transformation. For the first time, the book places the integration of technology and literature at the core of its compilation, moving beyond the fragmented references to technological transformation in previous editions, and delivering systematic collation, in-depth theoretical analysis, and critical rational reflection on the practical forms of the integration between AIGC and online Chinese literature. This compilation approach not only addresses the shortfall of cutting-edge historical materials on online Chinese literature in the digital age, but also responds to the critical theoretical question of the mutual construction of technology and literature in contemporary literary studies, embodying the compilation team’s keen academic insight and real-world concern.

From the academic lineage of the studies of historical materials of contemporary literature, online Chinese literature, born of digital media, has long faced the inherent dilemmas of “ephemerality, fragmentation, and fluidity” in its historical materials. The rapid iteration of AIGC technology has further exacerbated the risk of the loss of digital literary historical materials. As Huang Fayou (2022) points out in his research on digital humanities and the study of historical materials of contemporary literature, the development of literary historical materials in the digital age is facing the core challenge that the speed of technological iteration far outpaces that of historical material preservation. A wealth of vivid industry practices and creative scenes quickly vanish with platform updates and technological iteration, which imposes brand-new requirements for the systematic preservation of historical materials of contemporary literature. The 2024

Yearbook's focus on the core theme of AIGC precisely addresses this academic dilemma. Its value lies not only in documenting the annual industry landscape, but more importantly, in exploring a feasible paradigm of "synchronous tracking of cutting-edge developments, systematic classified preservation, and simultaneous academic examination" for the development of literary historical materials in the digital age.

## **2. The Integrated Landscape of AIGC Technology and Literature**

With the large-scale implementation and widespread application of AIGC technology, profound transformations have taken place in online Chinese literature across its production mechanisms, dissemination channels, and consumption patterns. The 2024 Yearbook does not confine itself to the simple collation and listing of industry phenomena. Instead, from a rigorous academic standpoint, it weaves AIGC-related issues throughout the core chapters of the book, conducting both an in-depth analysis of the practical value of technology-enabled development of online Chinese literature and a dialectical examination of the attendant risks and dilemmas. This is not only the core content of the yearbook that holds the greatest academic value and innovative significance, but also serves as a critical reference for postgraduate students majoring in contemporary literature to carry out relevant research.

### **2.1 Systematic Preservation of Historical Materials on AIGC Practices**

Online Chinese literature originated from digital media, and its historical materials are inherently characterized by ephemerality, fragmentation and fluidity. AIGC-related industry practices feature rapid iteration, scattered application scenarios and diversified data dimensions, and have long remained in a state of "unpreserved practices and unsorted phenomena". Numerous platform tools, creative cases and industry data vanish rapidly amid technological updates, leaving a prominent gap in the construction of digital historical materials for contemporary literature. As an authoritative annual publication, the 2024 Yearbook has for the first time conducted full-spectrum and systematic collation of AIGC applications within online Chinese literature. It transforms scattered industry practices into preservable, verifiable and retrievable academic archives, filling the vacancy of cutting-edge technical materials in contemporary literary research. Shan Xiaoxi (2025) clearly states in relevant studies that the core goal of digital literary historiography is to convert decentralized, perishable and non-standard digital literary practices into authoritative academic historical materials capable of long-term preservation, academic verification and efficient retrieval. Nevertheless, existing research mostly focuses on sorting archives of canonical online literary works and writers, while lacking systematic collection of frontier practical materials brought by technological transformation.

In terms of content coverage, grounded in the actual development of the online literature industry in 2024, the 2024 Yearbook offers comprehensive documentation of diverse AIGC application scenarios across the sector. In its specific discussion of creative practice, it outlines the functional updates and practical application of mainstream AI writing tools such as Yuewen Miaobi, ERNIE Bot and Fanqie Assistant, and illustrates how artificial intelligence reshapes traditional writing through concrete cases. Addressing practical industrial concerns, the book draws on operational data from major platforms to examine the role of AI in IP adaptation, content production and derivative development, and acknowledges its positive effects in shortening

development cycles and reducing operational costs. Language barriers have long been a prominent bottleneck for the overseas dissemination of online Chinese literature. The yearbook also recognizes the vital role of AIGC multilingual translation in cross-cultural communication, and adopts empirical data to demonstrate how AI optimizes international communication outcomes. In addition, it collects AIGC-related copyright disputes, industrial norms and policy documents of the year, clarifying the evolutionary trajectory of technological governance and leaving valuable documentary resources for subsequent academic inquiry.

Notably, the 2024 Yearbook adheres to the principles of authority, systematicness and representativeness in compiling and archiving AIGC-related materials. All statistical data cited derive from official releases of major online literature platforms and research reports issued by authoritative institutions including the Online Literature Center of the Chinese Writers Association (Online Literature Center of the Chinese Writers Association, 2024). Selected cases have undergone rigorous screening and verification by the editorial team, effectively remedying the current problems of fragmentation, inaccuracy and fragility in available AIGC resources. Such rigorous archival work not only lays a solid documentary foundation for postgraduate research on AIGC and online literature, but also advances the improvement of the digital historical material system for contemporary literature, thereby highlighting the enduring core value of the yearbook as a credible academic archive.

## 2.2 The Value of Technological Empowerment in Online Literature

In contemporary literary research, the relationship between technology and literature has always been an indispensable core issue. The in-depth integration of AIGC and online Chinese literature has offered new perspectives and practical samples for exploring this subject. Beyond the systematic collation of annual materials, the 2024 Yearbook incorporates AIGC into the core logic of online literary development from an academic perspective. It focuses on the empowering effect of technology on the creative ecosystem and explores how technology intervenes in content production and to what extent it shapes literary development from the dual dimensions of literary ontology and industrial trends. Its in-depth response to how technology serves literature marks a fundamental distinction between this yearbook and ordinary material compilations.

The book clarifies that AIGC reconstructs the creative modes and expands the creative boundaries of online Chinese literature, echoing the developmental trends of universal creation and diversified expression in contemporary literature. Drawing on the research findings of scholars including Ouyang Youquan (2025), the editorial team emphasizes that the core value of AIGC lies not in replacing human creators, but in establishing a new human-machine collaborative creation model. Artificial intelligence undertakes repetitive and basic creative work such as scene description, plot foreshadowing, dialogue supplementation and grammatical polishing, allowing writers to concentrate on core literary creation links including conceptual design, character depiction and thematic deepening. This balance achieves simultaneous improvement in creative efficiency and innovative expression. Supported by authentic 2024 industry data, the book objectively demonstrates how AIGC optimizes creative efficiency and recognizes its role in expanding the boundaries of creative subjects. Regarding this trend, Tang Qiao (2024)<sup>1</sup> notes that texts independently generated by AI

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<sup>1</sup>Tang Qiao (2024, March 22): The rise of generative AI: What is its impact on online literature? URL:[https://tech.cn.cn/techyw/kan/20240316/t20240316\\_526629416.shtml](https://tech.cn.cn/techyw/kan/20240316/t20240316_526629416.shtml)

often surpass the works of average writers, making it difficult to distinguish human writing from machine output. The rise of generative artificial intelligence signifies the strong involvement of technological rationality in literary and artistic creation. AIGC lowers the entry threshold for online literary writing, enabling ordinary users without professional writing experience as well as special groups such as people with disabilities to realize literary expression with technological assistance. It advances the realization of universal creation in online literature and provides a new research perspective for discussions on the diversification of creative subjects within contemporary literary studies.

Meanwhile, in terms of industrial development, the 2024 Yearbook systematically sorts out the all-round empowering impact of AIGC on the entire industrial chain of online Chinese literature, adding a brand-new dimension to the research on online literary industrialization. Based on the industrial practices of 2024, the editorial team argues that AIGC has broken the traditional industrial boundaries of online literature and built an intelligent full-chain empowerment system covering content production, IP adaptation, multimodal development and global communication. In IP adaptation, AI accelerates the industrial remodeling process of online literature. It facilitates rapid text conversion for film and television scripts, comic storyboards and game narratives, shortening the adaptation cycle and optimizing cost management. In the field of multimodal development, AI helps online literature break away from the single textual form and expand into audio books, dynamic comics and interactive narratives. This enriches content presentation methods and diversifies commercialization channels. For overseas markets, AI multilingual translation gradually breaks down language barriers for online literature going global. Through efficient localized adaptation, it enables Chinese online literature to reach readers across diverse cultural backgrounds. It is evident that AI is reshaping the online literary industrial chain from content production and form innovation to cross-border communication, and provides vivid practical references for the research on the integration of literature and cultural industries in contemporary literary studies.

### **2.3 Dilemmas and Ethical Reflections in the Development of AIGC**

Faced with the technological dividends brought by AIGC, the 2024 Yearbook does not indulge in one-sided celebration. Instead, it maintains the prudence and balance required by academic research. While documenting technological empowerment, it does not avoid the profound problems arising from AIGC's intervention in literary creation—from ambiguous copyright authorship and risks of content homogenization to algorithmic bias and ethical dilemmas in human-machine collaboration. The yearbook addresses these issues one by one in thematic sections, presenting the real tensions of technological development and leaving room for critical reflection in subsequent research. This dialectical attitude, which acknowledges both technological potential and hidden risks, distinguishes the yearbook from general industry reports and endows it with genuine academic weight.

In its annual overview, the 2024 Yearbook devotes a special thematic section to confronting the core dilemmas in AIGC development, drawing on the research perspectives of scholars such as Wang He (2025) and Ouyang Youquan (2025)<sup>1</sup>. These dilemmas also constitute key concerns for the critical reflection on

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<sup>1</sup>Ouyang Youquan (November 3, 2025): Exploration on the artistic ethics of artificial intelligence creation. URL. [http://www.cssn.cn/zx/mx/202601/t202601\\_5970280.shtml](http://www.cssn.cn/zx/mx/202601/t202601_5970280.shtml)

technology-literature integration in contemporary literary studies: First, the risk of intensified creative homogenization. Over-reliance on AI-generated content among some creators has led to formulaic plots, templated language, and flat characters, eroding the originality and individuality of online Chinese literature and violating the essential laws of literary creation. Second, the risk of diminishing creative subjectivity. Under the human-machine collaborative model, some creators have gradually lost the ability to conceive independently and refine texts, becoming mere “reviewers” and “splicers” of AI output. This phenomenon raises the profound question: Where does the subjectivity of literary creation lie? Third, the challenges of copyright attribution and infringement governance. The copyright ownership of AI-generated content lacks clear legal definition. Infringements related to AI training data and widespread piracy of AI-generated works pose new challenges to copyright governance in online literature, forming an important dimension of digital literary copyright research in contemporary literary studies. Fourth, risks in content moderation and value orientation. AI-generated content carries potential problems such as deviant values, vulgarity, and historical nihilism, imposing new pressures on content security management in online literature. This aligns with the core demand of reflecting on literary value orientation in contemporary literary studies.

Based on the above analysis of dilemmas, the 2024 Yearbook puts forward clear academic guidance for the integrated development of AIGC and online Chinese literature. It emphasizes the core principle of “technology as the form, literature as the soul”, insisting that online literature must uphold its aesthetic value and spiritual core while embracing technological innovation. This responds to practical anxieties in industrial development and offers clear value guidance for research on technology-literature integration, demonstrating the editorial team’s academic responsibility and ethical commitment. Notably, current academic discussions on AIGC-literature integration are trapped in a binary opposition between “technological determinism” and “technological alienation.” Some studies overemphasize the empowering effects of technology while neglecting its erosion of literary ontology; others completely reject the literary value of AI and treat it as an adversary to literary creation. The principle of “technology as the form, literature as the soul” proposed by the 2024 Yearbook transcends this binary trap. It affirms the empowering value of technology while upholding the aesthetic essence of literature, providing a realistic and theoretically grounded compromise for this academic debate.

### **3. Comprehensive Evaluation and Reflection on the 2024 Yearbook**

The value of the 2024 Yearbook is reflected in multiple dimensions. It not only provides a continuously accumulated documentary foundation for the disciplinary development of contemporary literature, but also plays a supporting role in the standardization of the online literature industry and cultural communication. More closely aligned with the academic frontline, it responds to the practical needs of postgraduate students in the compilation process—whether sorting out the annual development context, focusing on cutting-edge issues, or presenting industrial changes brought about by technological variables such as AIGC, it provides reliable first-hand materials and clear research entry points for young scholars engaged in research on online

literature and digital literature. For them, this yearbook serves not only as a reference book at the initial stage of academic research, but also as an important reference for understanding the development logic of this field.

As an important practice in preserving cutting-edge historical materials of online literature in the digital age, the 2024 Yearbook fills the gap in relevant historical materials in the AIGC era. Its systematic record of the integrated practice of AIGC and online literature not only provides vivid and authoritative annual historical materials for related research, but also explores a feasible paradigm for the collation and preservation of digital literary historical materials. Based on the industrial development and the academic needs of postgraduate students, the yearbook accurately captures the development context of online literature in 2024, and discusses issues such as the industry status quo, core characteristics, existing dilemmas and future trends. At the same time, combining the core issues of contemporary literary research, the book balances the dual characteristics of historical data and academic nature, and conducts an in-depth analysis of the integration path of AIGC and online literature on the basis of systematically preserving historical materials of industry practices.

Of course, when viewed against the higher standards of contemporary literary academic research and combined with the detailed needs of postgraduate academic research, the 2024 Yearbook still has room for further optimization, improvement, deepening and expansion in the compilation of AIGC-related content. Regarding the theoretical debates, paradigm innovations and core differences in the academic circle in 2024 on AIGC and online literature, this yearbook has not carried out sufficient in-depth evaluation. The integration and interpretation of the relevant research perspectives of scholars such as Shao Yanjun (2025) and Zhou Zhixiong (2024)—which focus on the production mechanism and genre characteristics of online literature and are highly relevant to the development issues of online literature in the AIGC era—can be further strengthened.

By deepening this part of critical summary, it can better meet the academic research needs of contemporary literature postgraduates and further enhance the academic leading power of the yearbook. In terms of recording AIGC application practices, the current focus is more on top platforms, top creators and benchmark cases. There is still considerable room for expanding the collection of AI application practices of small and medium-sized vertical platforms, niche circle creators and even county-level online literature creation groups. Only by further enriching the coverage of cases can we more comprehensively present the diverse ecology of AIGC applications in the field of online literature and improve its comprehensiveness as historical materials. Faced with the transformation of literary ontology brought about by AIGC, the discussion on relevant in-depth theoretical propositions can also be further deepened. Content such as the essence of literature in the AI era, the subjectivity of creators, and the reconstruction of literary aesthetic standards can be thoroughly explored by enriching the collection and analysis of relevant academic viewpoints and combining core contemporary literary theories, thereby enhancing the ideological depth of the yearbook.

### **Conclusion**

The publication of China Online Literature Yearbook 2024 establishes an authoritative, systematic and comprehensive annual academic archive for the development of online Chinese literature in 2024, and also

injects new vitality into contemporary literary research. The most groundbreaking value of this work lies in its keen academic insight into AIGC, the core driving force of industrial transformation throughout the year. It achieves full-chain preservation of practical materials concerning the integration of technology and literature, in-depth analysis of technological empowerment, and dialectical reflection on inherent risks and dilemmas. While filling the gap in the construction of cutting-edge historical materials for online literature, it responds to contemporary challenges brought by technological changes with steady academic judgment and keeps pace with the frontier trends of contemporary literary research.

In the digital age marked by continuous AIGC iteration, the development of online Chinese literature constantly faces the essential tension between technological innovation and literary persistence, which will remain a long-term core issue in contemporary literary studies. As a continuously published serial work, the China Online Literature Yearbook series acts not only as a chronicler of online literature development, but also as an academic guide for industrial progress. Its sustained compilation and publication have facilitated the integration of online literature into the mainstream vision of contemporary literary research and expanded the connotation and boundary of relevant academic exploration. As a highly innovative volume in this series, the 2024 Yearbook sets a solid archival anchor for the industrial changes of 2024, offers clear value guidance for the high-quality development of online literature in the AIGC era, and provides authoritative and systematic documentary support for postgraduate research on online literature and digital literature.

Looking ahead, with the deepening integration of AIGC and online Chinese literature, it is expected that the China Online Literature Yearbook series will continue to archive cutting-edge materials on technology-literature integration and deepen theoretical interpretation, so as to provide stronger support for disciplinary construction, industrial upgrading and cultural communication. Meanwhile, it is anticipated that the yearbook will help Chinese online literature realize the coordinated advancement of literary merit and industrial value in the digital era, and promote innovative breakthroughs in the future development of contemporary literary research.

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## Regional Perspective and Gender Reconstruction: A Commentary on Qiao Yuyu's *The Phase of East Asian Women's Chinese Literature*

Wang Xin

**Abstract:** *The Phase of East Asian Women's Chinese Literature* focuses on the historical period marked by the prosperity and development of East Asian women's Chinese literature from the fifteenth to the nineteenth century. Using the "East Asian Chinese Cultural Sphere" as its methodological framework, the book elaborates on the "phase" of ancient East Asian women's Chinese literature. Based on women's writing in classical Chinese, the book extends its research to East Asian countries represented by Japan and Korea, revealing the living conditions, spiritual aspirations, and literary characteristics of East Asian female writers in different social contexts through such dimensions as creative psychology, literary genres, and thematic expression. The gendered writing of "female survivors," the reexamination of the marriages of "Heavenly Kings," and the canon formation of women's poetry in the Ming and Qing dynasties together present the overall landscape of women writers' literary production during the Ming–Qing period. Through horizontal comparisons among China, Japan, and Korea, the book demonstrates cognitive differences in women's literary talent and literary creation, teacher–disciple relationships, and role positioning, thereby promoting regional cultural exchange and further advancing research on the history of ancient Chinese literature in East Asia.

**Keywords:** East Asian Chinese Cultural Sphere; History of Ancient Chinese Literature in East Asia; Chinese Literature; women; gender studies.

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**标题:** 区域视域与性别重构——评乔玉钰《东亚女性汉文学的位相》

**摘要:** 《东亚女性汉文学的位相》一书聚焦 15-19 世纪东亚女性汉文学繁荣发展的历史时期,以“东亚汉文化圈”为方法论,阐述古代东亚女性汉文学的“位相”。全书在本土女性汉文学书写的基础上,将研究拓展至以日本、韩国为代表的东亚国家,从创作心理、创作体裁、创作题材等维度揭示东亚女性作家在不同社会语境下的生存状态、精神诉求和文学特质。“女遗民”的性别书写、“天壤王郎”的婚姻再审视和明清女性词的经典化构建囊括了明清之际女作家创作的整体情况,又在中国、日本、朝鲜的横向对比中,呈现对女性文才及创作、师生关系及角色定位的认知差异,推动了区域文化交流和东亚古代汉文学史研究的进一步发展。

**关键词:** 东亚汉文化圈;东亚古代汉文学史;汉文学;女性

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### Introduction

“The term ‘cultural circle’ derives from the German word *Kulturkreis* and was coined by the German scholar Leo Victor Frobenius in 1898. The cultural circle theory posits that the world comprises multiple cultural circles, each composed of a core cultural origin and peripheral cultural reception areas.” (Liu Zhigang, 2020, p. 84) The “East Asian Han Cultural Circle”, also referred to as the “Confucian Cultural Circle”, “Chinese Character Cultural Circle”, and “Sinospheric Cultural Circle”, remains a concept with contested connotations in academic discourse. Nevertheless, it is undeniable that pre-modern East Asian regional civilizations shared core cultural elements including Chinese characters, Confucianism, and traditional canonical texts. Such cultural homogeneity laid a solid foundation for diverse interactive relations across East Asia, covering economic and trade exchanges as well as political communication. (Hu Lizhong, Wang Weimin, 2004) Nevertheless, East Asian countries represented by Japan have not only inherited Han cultural traditions but also carried out comprehensive localization of these imported cultures. Furthermore, following the Meiji Restoration, Japan embraced the ideological tenet of “leaving Asia for the West” and deliberately constructed the so-called “Greater East Asia Co-Prosperity Sphere”. Under the combined influence of internal and external factors, the traditional East Asian Han Cultural Circle underwent structural fission and eventual disintegration. In the second half of the 20th century, the acceleration of globalization facilitated robust progress in regional cooperation. Long-standing cross-cultural exchanges have enabled East Asian countries to adopt a principle of seeking common ground while reserving differences, thereby promoting equal dialogue and friendly cooperation. Against this backdrop, the East Asian Han Cultural Circle has entered a new phase of revitalization and reconstruction. (Cai Yu, 2013)

“The ancient Chinese literature of East Asia constitutes an extremely valuable cultural heritage created over more than a millennium by literati and scholars from various East Asian countries through the use of Chinese characters and intellectual traditions. It represents a colorful symphony of cultural exchange within the ancient East Asian Chinese Cultural Sphere.” (Written by Qiao Yuyu and prefaced by Bian Dongbo, 2026, p.22). Existing scholarship has produced abundant studies on the history of local Chinese literature in East Asian countries; however, most of these studies have selected male writers and their works as primary research materials. Comparatively little attention has been paid to women’s literature and its interaction with East Asian Chinese literature, nor have scholars sufficiently examined the development of the history of ancient Chinese literature in East Asia and the dissemination of Chinese literature across East Asian countries from a holistic perspective. Qiao Yuyu’s *The Phase of East Asian Women’s Chinese Literature* (2026) focuses on the historical period during which East Asian women’s literature experienced unprecedented prosperity from the fifteenth to the nineteenth century.<sup>1</sup> Centered on Chinese literature composed by female writers, the book investigates the “phase” of women’s Chinese literature from multiple perspectives, including creative content, creative psychology, and literary techniques, while endeavoring to demonstrate the literary achievements, gender characteristics, and spiritual world of another gender group within ancient East Asian Chinese literature. In this sense, the book undoubtedly serves as an important supplement to the study of the history of ancient Chinese literature in East Asia. Moreover, a systematic understanding of the history of ancient Chinese literature in East Asia is not only a careful retrospective of its own historical development, but also a prerequisite for promoting regional cultural exchange and friendly cooperation through the study of Chinese literature. As Zhao Jianmin stated, “With the economic development of East Asia, the establishment of regional cooperation organizations, the advancement of political cooperation among China, Japan, the Republic of Korea and the Democratic People’s Republic of Korea, and the growing demand for a regional security system, alongside increasingly frequent people-to-people cultural exchanges, the ‘Chinese Character Cultural Circle’ will exert a positive integrative effect on regional integration.”(2007, pp.113-114)

### **1. Multidimensional Perspectives: The Narrative Logic of East Asian Women’s Chinese Literature from the Fifteenth to the Nineteenth Century**

In the introduction to *The Phase of East Asian Women’s Chinese Literature*, Qiao Yuyu (2026) elaborates on the book’s narrative logic and writing framework. The volume consists of nine chapters, excluding the appendix. The first six chapters focus primarily on the Chinese literary creations of local female writers, while the final three chapters examine the local characteristics of Chinese, Japanese, and Korean women in terms of literary creation, personal development, and spiritual pursuits from the broader perspective of the East Asian Chinese Cultural Sphere under shared thematic concerns. More specifically, the first three chapters begin

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<sup>1</sup> 乔玉钰 (2026) : 《东亚女性汉文学的位相》。江苏人民出版社。以下引文只标注页码, 不再一一说明。

respectively with discussions of the laments of “female survivors” and “Tianrong Wanglang”, the selection and compilation of women’s poetry in the Qing dynasty, and critiques of women writers and their works. Approaching the subject from the perspectives of creative psychology, thematic expression, and literary genres, these chapters provide an overall account of the “phase” of women’s Chinese literature from the fifteenth to the nineteenth century and establish the major themes developed in Chapters Four through Six. Chapters Four through Six select three representative female writers—Wu Zao, Zhang Lingyi, and Gu Taiqing—on the basis of criteria such as the large number of extant works, high literary achievement, differences in geographical background, and preferred literary genres. Through horizontal regional comparison, these chapters reveal the living conditions and spiritual world of female writers, thereby echoing and deepening the discussions presented in the first three chapters. Chapters Seven and Eight take Yuan Mei of China and Rai Sanyō of Japan, both of whom supported the literary creation of their female disciples, as case studies to explore women’s living conditions and writing spaces in different social contexts through analyses of ideal marriage partners and teacher–disciple relationships. Chapter Nine focuses on Japan, a country with strong political independence, and examines the literary creations of the female writers Ema Saikō and Yanagawa Kōran in order to further investigate the localization and transformation of Chinese literature in Japan.

### **1.1 Gender Awakening and the Spiritual World of the Inner Chamber**

“Survivors” constituted a special identity group during the dynastic transition between the Ming and Qing dynasties and possessed distinctive cultural attributes. Unlike men in ancient China, who could attain official recognition through the imperial examination system or military achievements, women were largely confined to the inner chambers, responsible for household affairs and lacking stable economic resources, thus depending primarily on men for survival. In addition to the nostalgia for the fallen dynasty and attachment to their homeland shared with male survivors, female writers also displayed distinctive gender characteristics and particular existential difficulties in their writings. Qiao Yuyu (pp.10-34) roughly categorizes the “female survivors” of the Ming–Qing transition into three types. “The first category consists of the wives and daughters of Ming loyalists or Ming survivors.” Traditional moral ethics imposed different expectations of loyalty upon men and women. Whereas men’s loyalty was generally directed toward the state and political order, women’s loyalty was more closely associated with bodily chastity and marital fidelity. Consequently, although these “women from loyalist families” embodied the noble spirit of fulfilling their husbands’ aspirations to serve the country, their writings inevitably expressed resentment, hardship, and anxieties about survival amid social turmoil due to economic difficulties. “The second category refers to the wives and daughters of officials who served both the Ming and Qing dynasties.” Under traditional Confucian ethics, the tension between loyalty to the state and loyalty to the family created a psychological dilemma for these women. Their satire and admonition regarding their husbands’ compromised chastity and loyalty precisely reflected women’s growing autonomy of thought. “The third category includes women whose fathers or husbands died before the fall of the Ming dynasty, those whose fathers and husbands did not serve either dynasty, or those who refused to

serve the Qing dynasty without necessarily being categorized as ‘twice-serving officials.’” Although the political attitudes of their fathers and husbands were often unclear, these women nevertheless possessed a strong consciousness of survivorhood. Growing up during the Ming–Qing transition, a period in which women’s cultural and educational levels generally improved, these female writers increasingly reflected on gender limitations and wrote from the perspective of everyday life. Their works either lamented the suffering caused by dynastic collapse and expressed emotional attachment to the fallen state, or articulated long-suppressed aspirations through the adoption of male literary voices. Although the three categories of “female survivors” differed in social identity, their writing styles and underlying psychological expressions all diverged in significant ways from those of “male survivors,” thereby presenting another female-centered dimension of ancient Chinese literature in East Asia.

Marriage was not only a crucial component of women’s lives in ancient society, but also an important experiential source through which talented women expressed their “lament of heavenly fate.” During the Ming and Qing dynasties, the publication and compilation of women’s literary works gradually flourished. The sorrow and resentment expressed in writings concerning marriages to unsuitable spouses not only attracted sympathy and criticism from readers, but also revealed the marital dissatisfaction and spiritual aspirations of talented women concealed beneath literary expression. Accompanying the improvement of women’s cultural and educational levels was the awakening of female self-consciousness and the construction of women’s own spiritual lineage. At the same time, the idealized marriages portrayed by male literati in the “talented scholar and beautiful lady” tradition further encouraged women to reflect upon the vicissitudes of marriage and fate. “The Lament of the Heavenly King” demonstrates that beneath the pride of talented women lay the helpless reality that women lacked autonomy in marriage and could only indirectly articulate gender boundaries and boudoir emotions through literary writing. Literary depictions of the suffering experienced by talented women in marriage not only intensified women’s self-pity and emotional anguish, but also became a form of spiritual consolation for literati who lamented the frustration of their own talents and ambitions. Such “lament of heavenly fate” and similarly tortuous psychological experiences are also reflected in the literary writings of Wu Zao and Zhang Lingyi. The recurring sense of loneliness in their works was internalized into an awakening of gender consciousness and a pursuit of literary reputation amid the unprecedented flourishing of women’s literature during the Ming and Qing dynasties. For instance, Wu Zao transcended conventional gender boundaries and established literary friendships with male literati, while Zhang Lingyi expressed her aspirations through dramatic writing in an attempt to break through gender restrictions and articulate her unwillingness to remain confined within the inner chamber. Although Gu Taiqing did not directly experience the sorrow of loyalist attachment to a fallen dynasty, the collapse of her family life following her husband’s early death caused her profound suffering. Consequently, in her rewriting of *Dream of the Red Chamber*, she expressed the ordinary desire for familial harmony and reunion, thereby revealing the contradictory psychology between worldly engagement and transcendence. Under the traditional moral dictum that “a

woman's lack of talent is a virtue," female writers collectively bore the pressure of public opinion that regarded women's literary activity as improper. As a result, they often justified literary creation either as a means of seeking moral instruction for future generations or as a pastime to relieve the tedium of women's domestic labor. Moreover, allusions similar to "The Lament of the Heavenly King" were not confined to the intellectual circles of the Ming and Qing dynasties; they were also widely employed by talented women in Korea and Japan, where they acquired distinctive localized characteristics in literary creation (pp.35–62, 91–144).

In addition to the widespread popularity of poetry among women, the selection of ci anthologies and the critical evaluation of authors also served as important criteria in the canon formation of women's poetry. The increase in both the number and proportion of works by female writers included in Qing dynasty ci anthologies directly demonstrates the growing influence of women writers within the ci literary world. At the same time, the inclusion of women's works in Qing dynasty ci anthologies was not merely the result of the compilers' curiosity. Rather, these selected works embodied the compilers' principles of ci poetics and were evaluated alongside male-authored works within the critical system involved in the construction of ci literary history. The Qing dynasty represented another peak period in the development of ci studies. Qing poets traced the origins of women's ci writing back to the Five Dynasties and the Northern Song dynasty, seeking legitimacy and historical continuity for women's ci poetry in the Qing period. Female poets regarded Li Qingzhao and Zhu Shuzhen as both literary models and spiritual companions within the inner chamber, while also harboring a long-standing aspiration to canonize their own works. Moreover, the intellectual independence of Qing women writers was reflected in their attempts to transcend established literary classics. Women's ci poetry often centered on the experiences of inner-chamber life and was constrained by sentiments of sorrow and perceived feminine weakness. Some female poets nevertheless emphasized feminine characteristics in their writings, insisting that poetry should serve as an expression of genuine emotion and thought. By contrast, other women writers deliberately obscured or transcended gender markers in their works, displaying the style and temperament traditionally associated with male literati. In doing so, they attempted to break through gender limitations and construct literary authority through a challenge to established classics. The image of the plum blossom frequently appears in the poetry of both Zhu Shuzhen and Wu Zao. In Zhu Shuzhen's poetry, the plum blossom is confined to the limited spatial world of the inner chamber. It functions not only as an object of melancholy contemplation, but also as a metaphorical image and a form of spiritual sustenance. In contrast, the plum blossom in Wu Zao's poetry grows within the broader world of travel and poetic composition beyond the boudoir, becoming a cultural and social symbol endowed with noble character and extraordinary elegance (pp. 63-107).

### **1.2 Cross-Border Dialogue in Chinese Literature**

As teachers and patrons of female disciples, Yuan Mei and Rai Sanyō were both highly renowned in their respective eras, presenting a social image characterized by the support of women's literary creation and the promotion of female literary talent. As male literati, Yuan Mei's and Rai Sanyō's pursuit of ideal female

companions indirectly reflected the attitudes of Chinese and Japanese intellectuals toward women's literary talent. Meanwhile, from the perspective of female disciples, the teacher-disciple relationships surrounding Yuan Mei and Rai Sanyō reveal the differing literary spaces and social attitudes toward talented women in the two countries. In ancient China, men often regarded the pursuit of feminine beauty and romantic relationships as expressions of licentiousness, while the principle of strict gender segregation dominated social ethics. Adhering to the notion that "a woman's lack of talent is a virtue," society prioritized women's moral conduct over their literary ability. Consequently, women's literary creation became deeply entangled in anxieties surrounding the accusation of "literary transgression." Japan, while inheriting and localizing Chinese culture, likewise emphasized Confucian moral expectations regarding feminine virtue. Nevertheless, Japanese women demonstrated a relatively strong sense of independence in areas such as writing in classical Chinese. At the same time, the Edo-period literary world continued the tradition of "evaluating talent according to ability," although Chinese literary creation in Japan placed greater emphasis on "integrity" and "purity." More specifically, Yuan Mei attached primary importance to women's virtue while openly discussing elegant and romantic affairs associated with the literati culture of pleasure and sensuality. He also did not avoid describing the beauty and appearance of women such as Zuo Fen, Jin Yi, and Xi Peilan. However, when portraying the beauty of his female disciples, he frequently employed allusions to celestial female figures such as the Goddess of Mount Wu, Chang'e, and the Queen Mother of the West. He likewise compared himself to Buddhist masters and famous scholars such as Fosheng and Xiahousheng, thereby endowing his literary gatherings and lectures in garden settings with both transcendent elegance and the legitimacy of traditional pedagogy. As discussed earlier, the psychological tension between women's literary creation and worldly participation has already been examined and need not be repeated here. By contrast, although Rai Sanyō also recognized women's virtue, he placed greater emphasis on women's literary talent and learning. In his daily exchanges of poetry and prose with his female disciple Ema Saikō, he likewise implied emotional and romantic sentiments between men and women, while maintaining stricter standards only with regard to the "purity" and "elegance" of Chinese literary composition (pp.149-201).

The development of Chinese literature during the Edo period reached a remarkable peak, among which the Chinese literary creations of Ema Saikō and Yanagawa Kōran achieved particularly outstanding accomplishments. Their works reflect both the inheritance and the localized transformation of women's Chinese poetry within Edo-period Chinese literature. Japanese female writers were well versed in Confucian ethics and poetic culture, and their extensive use of classical allusions and poetic conventions provides compelling evidence of the shared origins and interconnected traditions of East Asian Chinese literature. Moreover, such features as the "presentation of different images of the same object," the selective acceptance and deviation from the doctrine of the "Three Obediences," and the incorporation of "local customs and national consciousness" in Japanese women's Chinese literature all demonstrate Japan's localized transformation of Chinese culture. Taking the "Three Obediences and Four Virtues" as an example, women

during the Ming and Qing dynasties generally regarded these principles as normative standards that exerted strong moral constraints. In Ema Saikō's poetry, however, texts such as the Four Books for Women functioned primarily as leisure reading and as classical materials for understanding Chinese culture and improving literary accomplishment in Chinese writing, rather than as sources of direct moral instruction. The relatively relaxed creative environment, comparatively equal family status, and more diverse moral concepts together shaped a distinct ecology of women's Chinese literary creation in Japan. As a result, women's Chinese literature in Japan, China, and Korea from the fifteenth to the nineteenth century developed different literary styles and creative characteristics (pp.204-223).

## 2. The "Chinese Cultural Sphere" as Method and Gender Narrative

Under the call to examine the development of the "East Asian Chinese Cultural Sphere" and literary exchange from a holistic perspective, Zhang Baiwei (2011) proposed the research approach of "the Chinese Cultural Sphere as Method," which seeks to transcend national and regional boundaries from the broader perspective of East Asian civilization. As an important component of the history of Chinese literature, women's Chinese literature reveals women's existential difficulties and spiritual aspirations through writings centered on the inner chamber, thereby supplementing the relative absence of discussions of marriage and family life in the writings of male literati through subtle depictions of everyday experience. From the perspectives of gender relations and marital relationships, such literature possesses significant literary and social research value. Over the past two decades, the introduction of Western gender theory has provided new perspectives for the study of East Asian women's Chinese literature. Beginning from the broader framework of the "East Asian Chinese Cultural Sphere" and foregrounding gender narratives constitute the central writing logic of *The Phase of East Asian Women's Chinese Literature*. Focusing on the development of local women's Chinese literature during the Ming and Qing dynasties, the book adopts such approaches as the mutual verification of historical materials and literary works, the combination of general creative patterns with representative female writers, and comparative analysis centered on shared themes. More specifically, the independent consciousness and gender characteristics projected in the writings of "female survivors," as well as the gender resentment concealed beneath the pride of talented women in "The Lament of the Heavenly King," are closely related to the overall improvement of women's educational and cultural levels during the Ming and Qing dynasties, the flourishing trend of literary collection and compilation, and the broader social context of the development of women's literature. When confronted with shared themes such as the recognition of literary talent and teacher–disciple relationships, differences in attitudes toward the East Asian tributary system, as well as varying degrees of acceptance of Chinese culture and Confucian moral norms, also shaped the distinctive styles of women's Chinese literary writing in different countries. In addition, the book primarily focuses on China, the birthplace of Chinese culture, and Japan, which maintained relatively strong political independence. Discussion of Korean women's Chinese literature appears only briefly in Chapters Eight and Nine, while

women's Chinese literary creation in other East Asian countries and regions such as Vietnam and the Ryukyu Kingdom is absent altogether. Although this limitation is partly attributable to objective factors such as the obscurity of female writers' lives and the loss of literary works, the inability to conduct a comprehensive comparative analysis of women's literary writing across ancient East Asian countries nevertheless constitutes a major limitation in the overall study of the "East Asian Chinese Cultural Sphere."

### Conclusion

*The Phase of East Asian Women's Chinese Literature* closely centers on the keyword "phase," extending its scope from the study of local women's Chinese literature to East Asian countries represented by Japan and Korea. While narrating the development of local women's Chinese literary creation, the book also examines literary exchange from a holistic perspective, presenting the development of East Asian women's Chinese literature through multiple dimensions, including creative psychology, thematic expression, and literary genres, while revealing the underlying social and cultural motivations behind such developments. During the Ming and Qing dynasties, talented women's depictions of married life departed from the traditional literary emphasis on talented scholars and harmonious unions. Instead, these writings exposed the imbalance of power in gender relations, as well as the compromises and concessions women endured within marriage. Through classical Chinese poetry and prose, female writers attempted to transcend gender restrictions and articulate the concealed emotions and interests of the inner chamber that had long remained unspoken. In this context, both inheriting and transcending literary classics became essential paths toward the canon formation of talented women's writings during the Ming and Qing dynasties. This process also constituted a literary manifestation of the prosperity and development of women's literature during the period, as well as the strengthening of women's self-reflection and independent consciousness. In horizontal comparison with East Asian countries of the same period, social conditions continued to play a dominant role, while the attitudes of representative individuals toward women's talent and social relationships shaped readers' preliminary understanding of the creative ecology and living environment of women in different countries. In short, by centering on women's Chinese literary writing, the book supplements and corroborates male-centered Chinese literary history in terms of content, while also promoting the collaborative interaction between localized studies of Chinese literature and regional studies of the "East Asian Sinographic Sphere." It is a scholarly work of considerable academic value and well worth reading.

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## Stripping the Metaphor of Anxiety: Catherine M. Pittman's *Taming Your Amygdala* translated by Yuqing Wang and Jinde Huang

**Zixi Zheng, Chen Shaolian**

**Abstract:** This book review offers a concise interdisciplinary evaluation of Catherine M. Pittman's *Taming Your Amygdala: Brain-based Strategies to Quiet the Anxious Mind* (translated by Yuqing Wang and Jinde Huang). Situated within the medical humanities, the review analyzes the text's neurobiological dual-pathway framework through the lenses of Susan Sontag's critique of illness metaphors and Michel Foucault's discourse theory, while actively evaluating the translators' linguistic adaptations. It praises Pittman's empirical tools and the translators' humanistic phrasing for depathologizing psychological distress and restoring human agency. However, it critically addresses the text's reductive biological determinism, which overlooks systemic socio-cultural stressors. Ultimately, the review contends that the book transcends the self-help genre, framing neuroplasticity as a flexible form of narrative potentiality.

**Keywords:** Taming Your Amygdala; Amygdala Pathway; Psychoeducation; Medical Humanities; Narrative Potentiality

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**标题：**剥离焦虑的隐喻：评凯瑟琳·M.皮特曼《重塑杏仁核》王羽青、黄金德译本

**摘要：**本文从跨学科视角评介凯瑟琳·M.皮特曼的《重塑杏仁核：情绪修复脑科学》（王羽青、黄金德译本）。文章立足医学人文研究，结合苏珊·桑塔格关于疾病隐喻的批判以及米歇尔·福柯的话语理论，分析该书以杏仁核通路和皮层通路为核心的神经生物学框架，并考察译者在语言转换中的人文性调适。本文认为，皮特曼通过将焦虑症状还原为可理解、可训练的神经反应，有效削弱了心理痛苦的病耻感；译者则通过“重塑”“情绪修复”等较具疗愈意味的表达，使原书中偏技术化的神经科学话语转化为更易被中文读者接受的心理重建叙事。然而，本文也指出，该书在强调个体神经调节与生活习惯管理的同时，存在一定程度的生物决定论倾向，较少关注焦虑背后的社会文化压力与结构性因素。总体而言，《重塑杏仁核》超越了一般自助读物的功能边界，将神经可塑性阐释为一种开放的叙事潜能，为焦虑管理、心理教育与医学人文研究提供了有价值的思考路径。

**关键词：**《驯服杏仁核》；杏仁核通路；心理教育；医学人文；叙事潜能

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In the discourse of contemporary clinical psychology and cognitive sciences, anxiety has long been epistemologically framed either as a pathological deviation of cognitive interpretation or as a purely neurochemical dysregulation. However, Catherine M. Pittman's seminal work, *Taming Your Amygdala: Brain-based Strategies to Quiet the Anxious Mind*, stages a profound conceptual reconciliation between prehistoric limbic survival and the hyper-rationality of modern human existence. Rather than treating anxiety as an abstract existential malady or a moral failure of willpower, the author grounds this pervasive human condition within the dense, palpable cartography of the brain—specifically focusing on the dual-pathway mechanism dominated by the amygdala and the cortex. Pittman's narrative does not merely synthesize cognitive behavioral interventions; it effectively “depathologizes” human suffering by shifting the therapeutic paradigm from passive suppression to active, narrative rewriting. The text reinterprets the chaotic symphony of panic—the racing heart, the frozen limbs, and the hyperventilating lungs—not as signs of an impending psychic collapse, but as the vivid, somatic translations of an ancient evolutionary defense response. It is the exquisite irony of the modern condition that the very neurological architecture that guaranteed the survival of our Pleistocene ancestors now manifests as a paralyzing alienation within the sanitized landscapes of the twenty-first century.

This book review critically evaluates how *Taming Your Amygdala* bridges the historically contentious

chasm between rigid neurobiological determinism and the lyrical fluidity of human agency. The central thesis of this review contends that the ultimate triumph of Pittman's work lies in its clinical psychoeducation: by translating the dense, esoteric vocabulary of neurobiology into an actionable, empirical lexicon of self-empowerment, the text transforms neuroplasticity from a cold biological fact into a profound narrative potentiality. In doing so, it provides readers not with a chemical shield to anesthetize their angst, but with a structural blueprint to reclaim the locus of human subjectivity from the evolutionary tyranny of the inherited brain.

To facilitate a comprehensive understanding of anxiety management, Pittman provides a structured neurobiological framework that categorizes anxiety into two distinct physiological pathways: the Amygdala Pathway and the Cortex Pathway. This bifurcation is the theoretical cornerstone of the book, shifting the focus from abstract psychological symptoms to the tangible neural mechanisms that govern emotional responses.

The Amygdala Pathway represents what Pittman identifies as the brain's "rapid-response system." As illustrated in Figure 4-2 ("The Amygdala Pathway to Anxiety"), sensory data from the eyes or ears is transmitted directly from the thalamus to the amygdala before the cerebral cortex has the opportunity to process the information (Pittman 40). This anatomical shortcut explains why individuals often experience a "defense response" (fear or panic) before they consciously understand the threat. Pittman clarifies that the amygdala does not operate on logic or language; instead, it processes raw sensory "triggers," such as a sudden movement or a specific sound, and immediately activates the sympathetic nervous system. In Chapter Five, the author details the physiological manifestations of this activation, including increased heart rate, the release of adrenaline and cortisol, and the inhibition of digestive activities. By presenting these symptoms not as malfunctions, but as a "pre-programmed defense response" designed for evolutionary survival, Pittman helps the reader recognize the biological utility of their anxiety.

In contrast, the Cortex Pathway involves higher-order brain functions, such as cognition, memory retrieval, and anticipation of the future. Unlike the amygdala, the cortex provides a detailed interpretation of sensory information, identifying specific objects and complex concepts (Pittman 43). However, Pittman argues that the cortex can inadvertently foster anxiety through "catastrophizing", a process where thoughts or mental images of potential threats signal the amygdala to initiate a defense response (Figure 4-3). The book utilizes the adapted Hamilton Anxiety Rating Scale (Worksheet 1-1) to help readers categorize their experiences across fourteen dimensions, distinguishing between purely cognitive concerns (e.g., worry, memory issues) and somatic symptoms (e.g., muscle tension, insomnia). This distinction is critical for the author's subsequent argument: while cortical anxiety can be addressed through cognitive restructuring, amygdala-based anxiety requires physiological interventions.

Furthermore, Pittman emphasizes the critical role of lifestyle habits, particularly sleep, in maintaining

the equilibrium of these neural pathways. According to Chapter Seven, the amygdala's reactivity is significantly influenced by the quality of Rapid Eye Movement (REM) sleep. As shown in Figure 7-1, the sleep cycle is a recurring sequence where REM stages, essential for emotional processing, lengthen toward the final third of the night (Pittman 91). Pittman notes that even a single night of sleep deprivation can weaken the functional connectivity between the prefrontal cortex and the amygdala, leading to heightened emotional sensitivity. By situating therapeutic success within the context of biological hygiene, such as consistent sleep schedules and the avoidance of blue light before bed, the text moves beyond traditional talk therapy. It offers a pragmatic, neuroscience-based approach to emotional regulation.

While Pittman's *Taming Your Amygdala* is grounded in empirical neuroscience, its broader critical and practical value extends significantly into the medical humanities and cultural criticism, a dimension subtly amplified by the linguistic choices in Yuqing Wang and Jinde Huang's translation. The text's primary methodological contribution lies in its structural framework of "psychoeducation", a process that does not merely transmit biological data. However, it actively transforms how an individual linguistically defines their lived experience of suffering. By conceptualizing the amygdala as an autonomous, pre-programmed alarm system that "frequently acts on incorrect or insufficient information" (Pittman 14), Pittman achieves what humanities scholars recognize as the de-stigmatization of psychological distress.

Within this framework of psychoeducation, Wang and Huang's translation plays a pivotal narrative role. In the original English text, Pittman relies on relatively mechanical and clinical metaphors such as "rewire" and "tame," which carry a subtle undercurrent of behavioral engineering. However, the translators insightfully choose the Chinese rendering "Chongsu" (reshaping/redefining) and "Qingxu Xiufu" (emotional restoration). From a translation studies perspective, this linguistic shift successfully translates a cold, biological imperative into a softer, humanist discourse of psychological reconstruction. By replacing a purely technical, biological manipulation with vocabulary saturated with healing and agency, the translation bridges the epistemological gap between Western neurobiology and Eastern clinical reception, making the text's empowering thesis highly accessible to its target cultural audience.

This diagnostic de-stigmatization aligns closely with the foundational arguments presented by cultural critic Susan Sontag in her seminal work *Illness as Metaphor*. Sontag famously asserts that "the most truthful way of regarding illness—and the healthiest way of being ill—is one most purified of, most resistant to, metaphoric thinking" (Sontag 1). She critiques society's historical tendency to attach moralistic or punitive metaphors to psychological and physical suffering, which often causes individuals to blame their own character or willpower for their conditions. Pittman's textual strategy directly answers Sontag's call to strip illness of these damaging psychological projections. When a patient uses Worksheet 5-2 to reframe a racing heart from a sign of impending psychic collapse into a literal evolutionary mechanism for pumping blood to

the limbs (Pittman 57), they are effectively purifying their condition of punitive, abstract meanings. Anxiety is no longer viewed as a fundamental character defect or a moral failure; instead, it is reinterpreted as a misaligned biological script inherited from ancient ancestors. By giving the unnamed panic a literal, non-metaphorical description, the text empowers the reader to regain personal agency, transitioning from a passive victim of psychological self-blame to an active manager of their physical responses.

Furthermore, from a practical standpoint, Pittman's emphasis on quantitative self-monitoring through structured tools, such as the "Daily Anxiety Record" (Worksheet 1-2) and the target-setting matrices (Worksheet 3-1), introduces a disciplined methodology to emotional regulation. This systematic approach effectively bridges the gap between theoretical knowledge and everyday practice. However, when evaluated through a broader interdisciplinary lens, this heavily structured approach reveals certain conceptual limitations. By restricting anxiety's architecture to the dual pathways of the amygdala and the cortex, Pittman's analysis occasionally risks adopting a reductive biological determinism.

In his critical history *Madness and Civilization*, the philosopher Michel Foucault observed that modern scientific and institutional discourses frequently isolate psychological suffering from its broader sociopolitical ecology. Foucault argues that "the man of reason delegates the physician to madness," thereby limiting human suffering to a relationship defined exclusively through "the abstract universality of disease" (Foucault x). To a certain extent, *Taming Your Amygdala* exhibits this deterministic bias. By framing anxiety primarily as the mechanical error of a "faulty car alarm" (Pittman 56), the text tends to obscure the legitimate social, cultural, and economic anxieties inherent in twenty-first-century life. Environmental pressures, labor alienation, and systemic societal stressors are largely bracketed out, leaving the reader with the impression that emotional equilibrium is purely a matter of individual neurological hygiene, such as managing blue light exposure or tracking sleep stages (Pittman 98). While this narrow biological focus ensures the book remains highly actionable as a pragmatic self-help guide, it nevertheless narrows the text's critical scope, overlooking the profound ways in which human consciousness and neural pathways are continuously shaped by the socio-cultural realities they inhabit.

Ultimately, Catherine M. Pittman's *Taming Your Amygdala* transcends its functional limitations as a popular self-help manual, offering significant diagnostic and pedagogical value to the fields of psychoeducation and interdisciplinary mental health studies. By successfully translating the clinical empirical data of the "low road" and "high road" anxiety pathways into a practical vocabulary of self-empowerment, the text demystifies the chaotic somatic indicators of panic, effectively returning psychological ownership to the individual. Its balanced blend of self-quantification methods, combined with accessible physiological practices such as breathing, structured sleep, and muscle relaxation, establishes a highly functional blueprint for contemporary anxiety management.

For scholars navigating the intersection of science and the human experience, the book offers an essential realization: neuroplasticity is not merely an unyielding biological dictate, but a flexible form of potentiality. In this light, the human nervous system is revealed to be less an immutable cage of inherited evolutionary traits and more an ongoing text, continuously inscribed by our environments and rewritten by our choices. In an era marked by shifting modern anxieties, Pittman offers readers more than just temporary coping mechanisms. She delivers an inspiring reminder that while we cannot completely silence the ancient, protective echoes within our brains, we retain the agency to reshape their volume. In doing so, we can consciously realign the fragile neural topography of our inner worlds to better serve our personal life goals.

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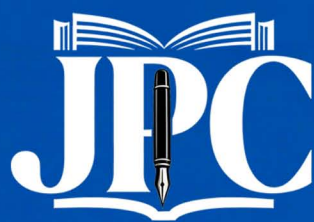
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