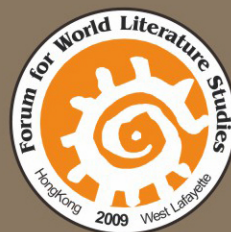


# Forum for World Literature Studies

Special Issue  
世界文学研究论坛

Vol.15 No.5 2023


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Vol.15, No.5, 2023

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2023 年第 5 期

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# **Forum for World Literature Studies**

Vol.15, No.5, 2023

## **Special Issue**

Ethical Literary Criticism:  
Theory and Practice

Edited by Ren Jie



Knowledge Hub Publishing Company Limited  
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# 世界文学研究论坛

2023 年第 5 期

学术专刊

文学伦理学批评：理论与实践

专刊主编：任洁



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# 走向对话：文学伦理学批评与日本文学研究<sup>1</sup>

## Towards a Dialogue: Ethical Literary Criticism and Japanese Literature Studies

波瀾刚 (Namigata Tsuyoshi)

**内容摘要：**文学伦理学批评于2004年由学者聂珍钊提出，之后迅速发展成为被中国乃至世界学界认可并广泛使用的文学批评理论与方法。为进一步推进文学伦理学批评在东亚地区的传播与发展，笔者受邀组织本期专栏，聚焦伦理身份、伦理选择、伦理环境等文学伦理学批评核心术语，从理论构建和批评实践的角度探讨文学伦理学批评是如何对包括日本、韩国在内的东亚文学研究发挥作用、提供理论支持的。本文还梳理了2017年以来笔者学习文学伦理学批评的过程，重新审视了文学伦理学批评与日本文学研究的关联，希冀以此创造二者间新的对话空间。近年，日本学界出现了借助“消极感受力”、关怀伦理学等概念和理论从伦理视角解析文学作品的新动向。为探讨文学伦理学批评与上述概念和理论的关联，本文以日本作家安部公房的小说《他人的脸》为例进行了文本考察。

**关键词：**文学伦理学批评；聂珍钊；日本文学；安部公房；消极感受力；关怀伦理

**作者简介：**波瀾刚，日本九州大学比较社会文化研究院教授，主要从事现代日本文学和比较文学研究。

**Title:** Towards the Dialogue: Ethical Literary Criticism and Japanese Literature Studies

**Abstract:** Proposed by Chinese scholar Nie Zhenzhao in 2004, ethical literary criticism has rapidly developed into a theory of literary criticism that has been recognised and widely used by Chinese and international academics. In order to further promote the dissemination and development of ethical literary criticism in East Asia, the author was invited to organise this column, focusing on the key concepts of ethical literary criticism such as ethical identity, ethical choice, and ethical environment, and exploring how ethical literary criticism provides theoretical support for the study of literature in East Asia, including Japan and

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1 本文原文为日文，由编辑部译为中文。

South Korea, from the perspectives of theoretical construction and critical practice. The paper also reviews the process of the author's study of ethical literary criticism since 2017, and re-examines the connection between ethical literary criticism and Japanese literary studies, with the hope of creating a new space for dialogue between the two. In Japan, there is a new trend of analysing literary works from an ethical perspective through the use of concepts such as "negative capability" and the ethics of care. In order to explore the relationship between ethical literary criticism and the above concepts, the author examines Kobo Abe's novel *The Face of Another* as an example of a textual study.

**Keywords:** ethical literary criticism; Nie Zhenzhao; Japanese literature; Kobo Abe; negative capability; ethics of care

**Author:** Namigata Tsuyoshi, is Professor at the Faculty of Social and Cultural Studies, Kyushu University (Fukuoka 8190395, Japan). His research interests cover the fields of modern and contemporary Japanese literature and comparative literature (Email: tnamigata@scs.kyushu-u.ac.jp).

### 一、初识文学伦理学批评

2018年7月27日至30日, 由国际文学伦理学批评研究会 (The International Association for Ethical Literary Criticism, IAELC) 与日本九州大学联合主办的“第八届文学伦理学批评国际学术研讨会” (The 8<sup>th</sup> International Symposium on Ethical Literary Criticism) 在日本北九州市举办, 我有幸出任本届年会日方负责人, 全面统筹在日会务工作。说来惭愧, 在担任负责人之前, 我对文学伦理学批评理论知之甚少。现在回想起来, 第一次正式接触文学伦理学批评大约是在会议召开的一年之前, 也就是2017年。

2017年3月, 我作为访问学者前往华中师范大学讲学, 并与时任国际文学伦理学批评研究会副会长的聂珍钊教授初次会面。通过交谈, 我得知文学伦理学批评是聂教授在美国伦理批评的启发下于2004年提出的文学批评理论。2012年12月, 国际文学伦理学批评研究会宣布成立。一批致力于文学伦理学批评研究的中外学者聚集在一起, 创立了从事学术创新的国际学术组织, 搭建了开展跨国别、跨文化、跨学科研究的学术平台, 为文学伦理学批评的国际传播奠定基础。理事会考虑到中日两国同属汉字文化圈、儒教文化圈, 运用文学伦理学批评展开日本文学研究具有扎实的文化基础和学理依据等因素, 遂决定将2018年“第八届文学伦理学批评国际学术研讨会”的主办权交由日本九州大学 (Kyushu University), 以此推进日本文学的文学伦理学批评。此后, 经过一年左右的反复商议与充分准备, 第八届年会在日本成功召开。这次会议设置了包括主旨演讲和32个分论坛在内的丰富议程, 吸引了

来自中国、日本、美国、俄罗斯、德国、法国、加拿大、西班牙、丹麦、巴西、韩国、菲律宾、印度尼西亚等18个国家和地区的近300位专家与会。我曾多次参加国际学术会议，但不得不说，据我所知，这次会议是迄今为止在日本举办的文学方面的最大规模国际会议。

会议筹备期间，为加深对文学伦理学批评理论的理解，我开始了与聂教授长达半年之久的书信往来。聂教授学识渊博，为人和善，对我的种种疑惑一一作答，这让我感动不已，时至今日仍记忆犹新。有感于与聂教授的深入交流，我曾在书信中这么写道：

我对文学伦理学批评的理解尚为疏浅，但通过您对海明威《老人与海》、安部公房《他人的脸》等多部作品的解读，我时隔多年再次体会到了阐释文学作品的乐趣。诚如您所言，文学作品直面的是理性与欲望共存的“人”，描绘的是由理性与欲望的共存导致的种种纠葛。文学作品中的事物需要解决的问题往往是：能否按照自身意志“选择”自己的“身份”。文学使我们开始思考何谓“人”“人性”了。

当我提及安部公房时，您曾提出见解：“《他人的脸》中强调的不是通过他者来认识自我，而是通过伦理选择来认识伦理身份的重要性。”真是太具启示性了。犹记得我们讨论的契机来源于对“失去脸以及制作假面，到底意味着什么”这一问题的探究。在了解了“脸”是“表达伦理身份”的关键要素后，我意识到小说男主角的作为丈夫的“身份”和他通过面具进行的“选择”，不单是自我层面的问题，更涉及人际关系问题。目前我的论文框架还有待改进，但您醍醐灌顶的建议，给予我更加明确的方向。

在日本国内进行日本文学研究，其得天独厚的优势是，可以充分利用文学作品创作与发表时的相关一手资料，开展兼顾历史语境的考察。这是外国学者在日本以外研究日本文学所不能实现的。我近期的研究也多借助历史资料在时代语境下解读文学作品。但通过与您的书信往来，我开始认识到，在进行文学研究比如在论述《他人的脸》时，充分考虑日本文学作为“外国文学”的意义，也是十分重要的。

我会努力让这份全新的挑战结出硕果，希望论文成型后能得到您的批评指正。最后再次向您表示衷心感谢。期待与您杭州再会。

之后，我在《文学跨学科研究》上发表了题为“阅读的焦虑、写作的伦理——安部公房《他人的脸》中夫妻间的信”<sup>1</sup>的论文，其中参考的正是聂教授的意见。时光荏苒，五年过去了。让我感到由衷欣喜的是，在中日学

1 参见 波濤刚、任洁：“阅读的焦虑、写作的伦理：安部公房《他人的脸》中夫妻间的信”，《文学跨学科研究》3（2018）：413-426。



界日本文学研究者孜孜不倦的努力下，日本文学的文学伦理学批评得到长足发展。特别是，聂教授的代表性著作《文学伦理学批评导论》继俄文版2021年由圣彼得堡大学出版社出版、韩文版2022年由韩国外国语大学知识出版院（HUINE）出版、英文版2023年由英国Routledge出版社出版之后，又获批中国“国家社科基金中华学术外译项目”，即将于2024年在日本出版。我相信，日本文学的文学伦理学批评将迎来一个崭新的发展高潮。不可否认，文学伦理学批评在日本的传播是时代之需、学术之需、学者之需，但也要看到，由于社会、政治、文化背景不同，文学伦理学批评在日本的传播、研究与接受需要经历一个理论互鉴、融合的过程。就我自身而言，虽持续学习文学伦理学批评理论，但依然时常担心自己对文学伦理学批评的理解是否正确，对理论的运用较之先前是否有所深入。我非常荣幸组织本次专栏，这将成为包括我在内的日本文学研究者，重新审视从伦理视角研究日本文学之可能性的重要契机，希望为学界提供些许参考。

本次专栏文章既包括对文学伦理学批评基础理论和主要观点的探讨，又涵盖对核心术语如伦理环境（ethical environment）、伦理身份（ethical identity）、伦理选择（ethical choice）、伦理两难（ethical dilemma）等的应用，表现出跨时代、跨国别、跨文化、跨文类的研究特色。其中，金旭和郑炳浩的“20世纪20年代日本殖民时期朝鲜日语文学中的伦理冲突：《京城日报》中的《半岛之涛》”关注日本殖民时期朝鲜的日语文学创作，涉及日韩通婚、新旧婚姻伦理冲突、民族歧视以及文学向电影剧本的改编等论题；李荣镐和申宰旼的“悬而未决的种族、历史、非人化和暴力：玄月《荫之栖》中的伦理启示”聚焦日本朝鲜族居民所面对伦理困境，借助文学伦理学批评解析资本主义弊端和飞地暴力等问题；陈丁颺颺和波濤刚的“芥川龙之介文学全景的伦理研究：以其与日本自然主义文学的关系为例”以日本自然主义为参照对象，从成立根源审视芥川文学整体方向，重申了芥川文学对自然主义忽视伦理道德的批判以及对文学教诲功能的重视。

## 二、界线上的思考和伦理

文学伦理学批评广泛借鉴和吸收包括伦理学、心理学、哲学、语言学、社会学、历史学、人类学以及自然科学在内的研究成果，建构起较为完善的理论体系和话语体系。在文学伦理学批评众多术语当中，我最为感兴趣的是“伦理身份”和“伦理选择”<sup>1</sup>。接下来，我将围绕这两个关键词谈谈对安部公房《他人的脸》（『他人の顔』，1964）的崭新理解。

1 参见 Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 189-207; Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398; 聂珍钊: “人文研究的科学转向”, 《文学跨学科研究》4 (2022): 563-568 等论文。

小说主人公是一个男人，他在研究所工作，因液氮爆炸而面部毁容，留下满脸瘢痕疙瘩。但较于肉体上的痛苦，如何面对毁容的现实成为摆在他面前的难以解决的问题。无奈之下，他选择头缠绷带痛苦度日。虽得到妻子悉心照顾，但作为丈夫的他不愿接受来自妻子的同情。男人经反复实验，研制出一种可以遮盖脸部瘢痕的面具。戴上面具的男人变成了另外一个人，并以这个陌生人的身份与妻子发生了“不伦”关系。之后，又把事情的原委告诉了妻子。实际上，妻子早已知晓一切，但选择不揭穿男人。最后，妻子留下一封信离开了。读完妻子的信，男人心中涌起一股无处宣泄的愤怒与仇恨，他近乎疯狂地叫嚣着要成为一个暴徒。至此，小说结束。针对这一突兀的结局，学界众说纷纭，安部公房曾解释道：

尼可拉斯·廷伯根在《动物的语言》<sup>1</sup>中说，有些鸟类在巢穴周围有自己的固定领地，当它们与同伴争斗时，在领地内一定会获胜，在领地外则一定会失败。这无关双方实力强弱，而是一种潜在的规则。

那么，当它们在领地边界相遇时会发生什么呢？遗憾的是，规则好像没有对领地边界做出规定。此时，它们的求胜冲动和逃跑冲动互相冲突，从而导致惊慌失措，甚至会导致做出与原本目的毫不相干的行为。在动物心理学中，这种情况被称为替换活动。（404）

这里所说的“替换活动”（displacement activity）与《他人的脸》中男人的突发行为十分匹配。男人实际是站在作为“丈夫”的自己和诱惑妻子的“面具男”这两个身份的边界线上，妻子的坦白导致其惊慌失措，在极度紧张中做出要成为一个暴徒的选择。那么，我们应当如何冷静应对这种冲动呢？韩裔日本作家深泽潮（Ushio Fukazawa）曾这样说道：

我的理解是，必须坚守自己的界线。当然，无论坚守界线还是远离、靠近界线都是个人自由，但绝不能轻易越过别人的界线。

我现在每天提醒自己，必须充分利用自己的“消极感受力”坚守界线，并保证不会轻易越线。对我来说坚守自己界线的方法就是小说创作，这也是我写作的信念。（7）

深泽潮上文中提到的“界线”并不是动物心理学意义上的界线。她是站在人类心理学的立场，从动物性“替换活动”的对立面出发，将“坚守自己的界线”作为行动指南，并探索写作的意义。在《他人的脸》中，男人和妻子的“书写”行为同样具有意义。男人无法“坚守自己的界线”，最终走向“替换

1 指荷兰裔英国动物行为学家与鸟类学家 Nikolaas Tinbergen 的著作 *Social Behaviour in Animals: With Special Reference to Certebrates*。

活动”。与之相较，小说中的妻子对自身感情的抒发虽在写信的方式上和丈夫相同，却始终“坚守自己的界线”。二人的鲜明对比引人深思。

深泽潮援引“消极感受力”这一概念解析何谓“坚守自己的界线”。“消极感受力”（negative capability）源于英国浪漫主义诗人约翰·济慈（John Keats）的莎士比亚作品批评，指无法解决棘手局面时个人的忍耐力，又或者指身处不确定漩涡但不急于追求事情缘由，反而悦纳神秘，在疑惑中保持客观冷静的能力。日本小说家、精神科医生帚木蓬生（Hosei Hahakigi）曾这样解释：

当我们面对无法理解、神秘莫测或令人不快的事物时，大脑就会变得焦躁不安，产生逃避情绪。为了避免这种迷茫状态，大脑会试图对眼前的事物下定义，尽力去“理解”该事物的存在。（……）这里埋藏了一个巨大的陷阱。我们自认为的“理解”其实停留在较低的层面，且一般不会向高层面发展。如果“理解”本身就是错误的，那它导致的悲剧会更加严重。

说到“能力”，我们首先会联想到天赋、机智和处事能力等。学校教育和职业教育一直以来追求的培养目标，正是这种准确迅速处理问题的能力。

“消极感受力”则是这种能力的反向概念。它指的是在逻辑和理论无法正常运作的情况下，个人依然能够面对并忍受眼前的不确定状态或模棱两可状况的能力。（8-9）

我们再次将关注点转回到《他人的脸》和小说中妻子的行为。妻子虽不完全理解丈夫的行为，但选择面对并忍受眼前的不确定状态。男人则是与“消极感受力”所述完全相反的人物，“为了避免这种迷茫状态，大脑会试图对眼前的事物下定义，尽力去‘理解’该事物的存在”（8-9）。错误的“理解”导致更加严重的“悲剧”，这体现了男人在应对外界事物时“消极感受力”的缺失。

从伦理角度考察妻子的行为和心理，会联想到“关怀伦理学”。日本学者小川公代在（Kimiyo Ogawa）在谈到《简·爱》（*Jane Eyre*, 1847）的作者夏洛蒂·勃朗特（Charlotte Brontë）时说道：“在反复思考美国心理学家卡罗尔·吉利根的‘关怀伦理学’概念后，我不由得想象在‘关怀他者’与‘从他者中分离主体’中痛苦挣扎的夏洛特和她的内心世界”（8）。倘若个体在青年期成长为独立自主的个人，换言之如果“从他者中分离主体”是正确发展方向的话，那么在此前提下以近代自我的视角提出的伦理观，可称之为“正义的伦理”。与此相对，站在同理心角度——“关怀他人”、“倾听他人的声音”——的伦理观则可视作“关怀的伦理”。那么，在“从他者中分

离主体”与“关怀他人”之间的痛苦挣扎，就是一种“停留在线上”的“悬空的状态”。回到《他人的脸》，妻子在保持自己立场的同时，也在倾听丈夫笨拙的求救声，试图给予“关怀”。

小川公代在《从“关怀”解读世界文学》（『世界文学をケアで読み解く』，2023）中虽未提及安部公房及其作品，但分析了多部英国文学和日本文学作品，其中包括大江健三郎（Kenzaburo Oe）的《万延元年的足球》（『万延元年のフットボール』，1967）、川上未映子的（Mieko Kawakami）《牛奶与鸡蛋》（『乳と卵』，2012）、平野启一郎（Keiichiro Hirano）的《那个男人》（『ある男』，2018）和石牟礼道子（Michiko Ishimure）的《苦海净土》（『苦海浄土』，1969）等。我才疏学浅，不知文学伦理学批评对“关怀伦理学”有何见解。若有机会，还望聂教授不吝赐教。

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# The Ethical Conflicts in Views of a Colony from Japanese Literature in Colonial Korea in the 1920s: *Waves of the Peninsula* in the *Keijo Daily News*

Wook Kim & Byeongho Jung

**Abstract:** *Waves of the Peninsula*, an award-winning novel serialized in Japanese in the *Keijo Daily News*, struck a deep chord with the Japanese in Korea. It was adapted into a play by the Mitsubo Association (ミツボ會) theater company and performed in Keijo (Seoul) Theater in May 1923. It was also adapted by Nakanishi Inosuke (中西伊之助) into a movie script in 1935. Furthermore, compared to other Japanese novels based on a Japanese-Korean romance, this novel stands out for its ethical awareness. Even though the novel's Japanese author, Baba Akira, must have felt pressured or conflicted about describing Japanese prejudice against Koreans or Korea's voluntary enlightenment movements, he observed the colonial situation from an ethical point of view, beyond a view of the rulers vs. the ruled. In particular, given that the novel shows an awareness of the Korean people's development of culture and education by describing the specific circumstances of Korean intellectuals without deviating from the purpose of a literary contest, this novel has some features that go beyond those of a typical popular novel or a typical political novel reflecting the intentions of the Government General.

**Keywords:** colonial literature; Union of Japanese and Korean People; women's solidarity; New Cultural Movement; National University Establishment Movement

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**标题:** 20世纪20年代日本殖民时期朝鲜日语文学中的伦理冲突: 《京城日报》中的《半岛之涛》



**内容摘要：**屡获殊荣的《半岛之涛》是《京城日报》上连载的一部日语小说，它深深打动了在朝日本人。该小说由三坡社剧团改编成话剧，并于1923年5月在京城（首尔）剧院上演。1935年，中西伊之助将其改编成电影剧本。与其他描写日韩恋的日本小说相比，这部小说以其鲜明的伦理意识而广受关注。尽管其作者日籍作家马场章，对小说中描述的日本对朝鲜人的偏见或朝鲜的自愿启蒙运动倍感压力，但他超越了统治者与被统治者的视角，从伦理角度观察殖民状况。更为重要的是，该小说通过描绘朝鲜知识分子的具体情况，展现对当地文化和教育发展的认识，同时也没有偏离文学创作比赛的目的，因此它克服了典型流行小说或政治小说机械反映政府总督府意图的缺陷。

**关键词：**殖民文学；内鲜一体；妇女团结；新文化运动；国立大学建立运动

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### Introduction

The *Keijo Daily News* was a newspaper created by the merger of two earlier papers, *Hanseong Sunbo* and *Daedong Shinbo*, by Resident General Ito Hirobumi in September 1906. While it was initially published in both Korean and Japanese, it was published only in Japanese starting in April 1907. After Korea was annexed by Japan in 1910, it became a state-run newspaper for the Japanese Government General in Korea. It was published until October 21, 1945, two months after Japan was defeated in World War II. The *Keijo Daily News* was the largest media outlet that produced colonial discourse and served as the eyes and mouth of Japanese residents of the Korean Peninsula during Japanese colonial rule.

As it did with its other colonies, Imperial Japan settled many Japanese in colonial Korea. As a result, the number of Japanese residents of Korea increased from 835 in 1880, to 171,543 around the time of the annexation in 1910, to 912,583 in 1944, a year before the end of Japanese rule.<sup>1</sup> While they were vastly outnumbered by the Koreans, they had a massive influence on colonial Korea's politics and economy and strengthened the discourse that justified imperial Japan's colonial rule as the ruling class. As the *Keijo Daily News* served as the medium for such discourse, its main focus was the need for Japanese people in Korea to remake or assimilate the Korean people. This view is clearly visible in literary discussions by the *Keijo Daily News*. The *Keijo Daily News*'s articles on literary

1 See Gyu-Soo Lee, *Between the Empire and the Colony*, Seoul: Eomunhagsa, 2018, 43.

discussions during the 1910s tried to instill Japan's ethnic spirit into colonial Korea through nationalistic literature. At the same time, they showed interest in creating new literature set in Korea and different from the mainstream literature in Japan.<sup>1</sup> Moreover, the fundamental basis of the Japanese perception of Korea and Koreans at that time was a contemptuous view that considered Korea and Koreans as one step inferior or lagging behind Japan, viewing them with a sense of disdain and as entities of lesser value or development.<sup>2</sup>

Unlike these discussions by Japanese people, Koreans across the country who were outraged by Japan's militaristic rule in the 1910s showed their commitment to independence through the March First Movement in 1919. Taken by surprise by this movement, Japan allowed a degree of press freedom for Koreans. Thus in 1920, many newspapers edited by Koreans were established, taking a different tack from *Maeil Shinbo*, a sister Korean newspaper of the *Keijo Daily News* supervised by the Government General. This accelerated the media divide between the rulers and the ruled. Amid this change, Japanese people in Korea were quite puzzled, and expressions and explorations of this disturbance also appeared in the *Keijo Daily News*.

How to interpret this disturbance, especially from the literary perspective, is truly an ethical issue.<sup>3</sup> Hence this paper looks into the ethical disruption in the view of Japanese people in Korea toward colonial Korea as represented in the *Keijo Daily News* in the 1920s, when many Korean-led media outlets were created after the March First Movement. *Waves of the Peninsula*, which won a 1922 literary contest celebrating the *Keijo Daily News*'s 5,000<sup>th</sup> issue, was selected and serialized by the *Keijo Daily News*, the Government General's official media outlet, as a literary work that fit the circumstances of that time. Thus it was closely related to Japan's policies of cultural rule and slyly underpinned by the propaganda of "One Japan and Korea" and the ideology of ethnic assimilation. Nevertheless, the novel still shows Korean intellectuals' underlying aspirations to improve their awareness of their ethnic culture and develop education. Furthermore, it fictionally describes Cheondoism's

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1 See Byeong-Ho Jung, "The Literary Column (1906-20) of Keijonippo and 'Japanese-Language Literature' in Colony Joseon," *Japan Study* 29 (2018): 414.

2 See Makoto Masui, "A Journey through Colonial Korea: Iwaya Sazanami's Experiences in Korea," *Border Crossings* 12 (2021): 54.

3 See Nie Zhenzhao, "The Scientific Turn of Humanities Studies," *Interdisciplinary Studies of Literature* 4 (2022): 563-568.

(天道教) enlightenment movement<sup>1</sup> as well as a movement to establish a private university, both of which actually occurred in Korea. It is worth noting that the novel captures the colony as seen by agitated Japanese people in Korea amid a turbulent colonial landscape in the early 1920s.

Furthermore, given that the *Keijo Daily News* served as a mainstream media outlet for Japanese people in Korea at that time, an analysis of ethical conflicts in the colonial view of Japanese people in Korea as manifested in the novel would more clearly show how Japanese people in Korea felt at the time about Koreans' determination to independently enlighten themselves.

### **Background of *Waves of the Peninsula* and Literary View of Japanese in Colonial Korea**

The *Keijo Daily News* reached an important crossroads in the 1920s. After General Governor Saito Makoto was appointed, the Government General reviewed its militaristic rule of Korea after the March First Movement in 1919 and initiated a policy shift known as "cultural rule." Under it, *Dong-A Ilbo*, *Chosun Ilbo*, and *Sisa Newspaper* obtained publication permission under the Government General's permission policies from December 1919 to January 1920, which gave Korean people a certain level of press freedom. The revival of Korean newspapers threatened the dominant position not only of *Maeil Shinbo*, the *Keijo Daily News*'s sister newspaper, but also of the *Keijo Daily News*, as talented Korean journalists such as Lee Sang-hyup left and participated in *Dong-A Ilbo*.<sup>2</sup>

*Waves of the Peninsula*, which emerged amid these circumstances, was one of two novels to win a literary contest celebrating the 5,000<sup>th</sup> issue of the *Keijo Daily News* in 1922. This contest was for novels that "described contemporary Korea," and as Kim Hyo-soon suggested, it was "held in a way that fully reflected colonial cultural policies as intended by the Government General at a time when the colony was gaining attention internationally after the March First Movement" (179). It also demonstrated that the *Keijo Daily News*, which previously enjoyed a monopoly as a media outlet on the Korean Peninsula, tried to follow the trend of the Government General's policies by adopting a tone of assimilation and inclusion instead of a didactic tone. During that time, there was a considerable spread of

1 Jeong-ho Kim said, "Cheondoism's enlightenment movement in Korea and the New Culture Movement in China shared similarities in their backgrounds in that they pointed to the invasions by Japan and Western powers, a lack of government-level response since the mid-19<sup>th</sup> century, and the limitations of other groups in power to respond to an external or internal crisis and attributed these failures to traditional Confucianism."

2 See Dae-Hwan Kim, "General Governor Saito's Cultural Policy and the *Keijo Daily News*," *Research Article Collection* 17 (2004): 9.



discourse advocating for “harmony and cooperation between both ethnic groups,” emphasizing that unfair treatment and discrimination against Koreans by Japanese residents in Korea should not be condoned (Jung, “The Formation of Class” 28). For instance, the following remarks appeared in a review by Shimazaki Toson, a leading judge in the literary contest:

Neither Japanese people nor Korean people like to call Korea a “colony.” Given its mutual understanding and friendliness, the Japan-Korea (内鮮) relationship cannot be coldly expressed with the word “colony.” It is completely different from some Europeans coming to, exploiting, and occupying the East for their own interests and calling it a “colony.” Thus these two literary works have a familiar understanding of Korea and its people and communicate friendliness to both Japanese and Korean people. As many books or articles providing commentary on Korea are all based on some theory and rank Japanese and Korean people differently based on that theory, they just end up presenting a level-headed theory of assimilation or union. However, we can find truly equal and harmonious assimilation in an understanding through art. (5)

To begin with, Shimazaki is wary of the discourse that calls Korea a “colony.” There are two intentions behind his view. One is an attempt to distinguish imperial Japan from other Western powers in an era where socialism was emerging and criticizing Western imperialism. In other words, the view is that imperial Japan did not exploit and occupy Korea for its own interests, unlike the West’s colonies, and Japanese people objected to calling Korea a colony. The other one is that Koreans also objected to the word “colony” and it would be more realistic to say that this came from their wish to deny the reality in which Korea, which had long been an independent state, was reduced to a protectorate and dependent territory, and not because of mutual understanding and friendliness as Shimazaki suggested.

Nonetheless, what is important in Shimazaki’s review is that he called for novels that could make Korea and Japan feel friendlier toward each other, and he selected the winners based on this criterion. Furthermore, he suggested making people naturally accept concepts such as a theory of assimilation or union through “art,” not through indoctrination. Although the literary arts were often used as a political means or tool, it was such a trend at that time that Shimazaki, who was known as one of the greatest authors in Japanese naturalism, was not free from such a view.

However, Baba Akira, the author of *Waves of the Peninsula*, wrote the novel with a more determined view toward literature. In his “Acceptance Article,” he

mentioned two characteristics of the novel. One was that “while it was natural to heighten tension between chapters to encourage more interest from readers as it was a serialized novel, the author tried not to make it feel too artificial” (Baba 5). The other came from his belief that “while an art is an individual’s expression, a new art can be created when it can fulfill its moral mission” (ibid.). The moral mission here refers to “cultivating new social awareness” (ibid.), and he mentioned that although the novel did not break new ground, he made every effort to cultivate new social awareness. He added that “since I believe it is impure to establish settings too intentionally and artificially, I thought quite deeply about finding a balance” (ibid.). Hence the novel tried to encourage interest from the public as a popular novel while raising new social awareness as a literary work and reflected the author’s efforts to exclude artificial settings as far as possible. “The task of literature, accordingly, is to depict how ethical relationships and moral order undergo changes, examine their consequences, and ultimately provide experience and lessons emerging from human life for the progress of human civilization” (Nie, “Ethical Literary Criticism: A Basic Theory” 190).

In short, the author was internally conflicted between “cultivating new social awareness” through literature, which was his literary aspiration, and the artificial condition of “faithfully reflecting cultural policies” (ibid.), which the literary contest required of the novel. These two points suggested that the author, coming from the perspective of the rulers, was ethically conflicted about describing the ruled Koreans, between the didactic intention of promoting an ethnic union of Korea and Japan and his desire to portray Korea as he saw and felt it.

*Waves of the Peninsula* was serialized in the literary section of the *Keijo Daily News* from August 1, 1922, to late December 1922. Unfortunately, today only Chapters 1 to 104 are available, as the issues of the *Keijo Daily News* after December 4, 1922, have been lost. Fortunately, however, a play based on the novel was performed in Keijo (Seoul) Theater starting on May 10, 1923, and the plot is described in the May 4, 1923, issue of the *Keijo Daily News*, which permits an educated guess as to how the novel ends.

The protagonist of the novel is Kaino Kinichi, a talented student attending the School of Law at Tokyo Imperial University. He is an adopted son of Shiroyama Sanjo, the president of Shiroyama General Partnership, one of the largest corporations in Korea. Shiroyama Sanjo tries to make Kinichi marry his only biological daughter, Saeko, and maintain the reputation and wealth he has gained in Korea. However, Kinichi declines to become the successor to the Shiroyama family business, which would guarantee a wealthy life. Instead, he chooses to marry a

Korean woman, Ok-yeob, and tries to develop industries for Korea and enlighten and educate its people together with her. While Shiroyama Saeko is an arranged wife-to-be for Kinichi, she is conflicted due to her failed relationship with Kinichi and her dissatisfaction with her father when she is impressed by a performance by Miraiza (未来座), a famous theater company coming to Keijo (Seoul). Then she dreams of becoming an actress and goes to Tokyo to create her own theater company. Ahn Ok-yeob (安玉葉) is a Korean housemaid who was originally an orphan but was taken in by the Shiroyama family and called Yasuko (安子), a Japanese name fashioned after her Korean name. She is always wearing Korean dresses, is good at Japanese, and falls in love with Kinichi, an adopted son of the family. After she falls in love and runs away with Kinichi, she dreams of one day establishing a university in Korea while participating in a movement to enlighten Korean children. Ahn Sung-sik (安成植) is Ok-yeob's biological elder brother and a young Korean man in his late 20s who was separated from his sister when he was little. After graduating from the School of Politics and Economy at Waseda University, he returns to Keijo (Seoul), organizes the Korean Culture Academic Society with Lee Byung-hwan, who serves an editor-in-chief for Korea's first literary magazine, *The Peninsula*, and leads the New Cultural Movement. While in college, he was in a relationship with a Japanese woman that failed in the end.

As shown above, the story is mostly one of these four men and women from Korea and Japan. At the center of them is the antagonist Shiroyama Sanjo, a Japanese entrepreneur in Korea, and the story develops as each of them tries to follow through on his or her commitments. There are three implications for the overarching topic in this novel, which, in the author's words, is "cultivating new social awareness": the "possibility of ethnic union," "possibility of free love," and "possibility of development in Korean culture" (4). This paper examines how these possibilities manifest themselves over the course of the novel.

### **Ethnic Union through Women's Solidarity**

To begin with, this paper looks into the "possibility of ethnic union." The possibility of such a union based on intermarriage between Japanese and Koreans has already been discussed by Kim Hyo-soon.<sup>1</sup> Thus this paper will only talk about the scene

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1 In her paper, Kim Hyo-soon suggests that a possibility of ethnic union through intermarriage between Japanese and Koreans is not presented from the perspective of government policies for cultural rule but described with various aspects from an observational standpoint in the novel. In regards to intermarriage between Japanese and Koreans, the novel features Koreans' thoughts, an unsuccessful case of a mixed Japanese-Korean couple in love, and negative perceptions of the marriage between a second-generation member of a Japanese family living in Korea and a Korean.

in the novel that implies the union of the two peoples through women's solidarity. While Shiroyama Saeko is an arranged wife-to-be for Kinichi, she becomes aware that Kinichi has fallen in love with a Korean woman, Ok-yeob, and tries to kick her out of the Shiroyama family. However, her father, Shiroyama Sanjo, does not allow it, saying, "Do you really think Kinichi wants to marry a Korean woman?" (ch. 14, 1) Instead, he suggests that Ok-yeob go to Tokyo and study there and tries to rape her as a condition of his suggestion.

1) Ok-yeob turns pale, like a rabbit hunted down by a beast.

"Please, sir [...] Forgive me [...]"

Ok-yeob barely speaks with her body stiff.

"No, you don't need to ask for forgiveness. You just have to come closer to me.

Ha ha ha, cute. Are you scared? You don't need to be scared. Come over here [...] If you scream, I will not forgive you."

His gentle persuasion turns into a threat in the end [...]

"Father! You [...] Can't you understand what your daughter says!"

With that screeching voice, Saeko appears. (ch. 21, 1)

2) Saeko speaks to Yasuko with a sad look.

"I hate Yasuko, too. You are someone I hate, since you take my love away, but my father was doing something horrible like this. I am a woman, too. I take the side of women. In as much as we think from women's point of view, we come to confront old men like my father [...]" (ch. 22, 1)

Here, Sanjo is a Japanese colonizer and a man, while Ok-yeob is a colonized Korean and a woman. It is quite symbolic that, in Scene 1, the author, a Japanese in Korea, describes a male colonizer's sexual exploitation of a colonized woman. However, as Scene 2 reveals, Saeko empathizes with Ok-yeob and saves her because both are women, although she is on the side of the Japanese colonizers. Although Saeko hates her romantic rival Ok-yeob so much that she is trying to kick her out of the family, Saeko protects her in order to fight men's sexual exploitation of women. In other words, she overcomes the dichotomy of the colonizer and the colonized through women's solidarity. This is in line with class solidarity in socialism, which stresses solidarity in the working class as a way to overcome ethnic conflicts. When it comes to the assimilation of Korea and Japan, women's solidarity may be much more effective than ethnic solidarity or class solidarity, and it is worth noting that this dynamic is also featured in the novel.

### **Korean-Japanese Romance and the Modern Style of Free Love**

Another possibility is the “possibility of free love.” While it is clear that one of the pillars in the story is intermarriage between Japanese and Koreans, what drives such a shift is free love. Kinichi’s choice to marry Ok-yeob and Saeko’s choice not to be tied down by the institution of marriage are each made independently. Still, the implications of such choices are also well-described in the two following plots:

3) He does not hate the love Saeko gave him. Nonetheless, come to think of it, he has never loved Saeko as a woman from the beginning. The reason he was being nice to her was just a universal human feeling that he had just because he grew up with her. It was not love or anything like that. Hence, he was able to leave her given just a bit of motivation. He even thinks that he may have taken advantage of it. Had he married Saeko, he would not have been able to know what love was for his entire life. (ch. 59, 1)

4) “Even if you do not follow the institution of marriage, you know women are faithful, right?”

“Women’s faithfulness [...]? Ho ho ho.”

“What is so funny about it?”

“It is funny. The word does not even suit you. Now, you said that word. Even in an era that values faithfulness, it is outdated for you.” (ch. 95, 1)

Scene 3 portrays Kinichi talking to himself as he escapes the house to find Ok-yeob on the night before his marriage to Saeko. To be with Ok-yeob, he forgoes the marriage that could give him massive wealth and reputation. He gives up being a successful Japanese man in Korea and chooses a poor Korean woman instead. His choice, however, leads to an ordeal for him and later leaves him so impoverished that he must sell his favorite books to a secondhand bookstore.

In Scene 4, Saeko is jilted, goes to Tokyo, dates a man named Tomii, and eventually breaks up with him due to each other’s extreme approach to free love. Tomii believes that his relationship with Saeko is a marriage in all but name and is still binding. However, Saeko indirectly criticizes Tomii, who once dated a married woman in the name of free love. It is not just about criticizing the concept of faithfulness. While faithfulness is valued in free love, it points out the contradiction that only men, and not women, are expected to be faithful. Actually, their contradiction stems from the sphinx factor, “a rational man is an embodiment of the sphinx factor, a combination of human factor and animal factor” (Nie, “Ethical

Literary Criticism: Sphinx Factor and Ethical Selection” 396). His behavior of dating with a married woman is driven by the animal factor, while the fact he believes his marriage is still binding is due to his human factor.

As such, this novel presents a tragic ending for intermarriage between Japanese and Koreans, deviating from the conventional discourse on that subject. Likewise, it exposes the ethical contradiction of faithfulness while describing the negative aspects of male-dominated free love at that time. While this point is a feature of popular novels and is designed to attract public interest, as the author suggests, it is very characteristic that the novel does not simply “faithfully reflect cultural policies” but also exposes the negative aspects of intermarriage between Japanese and Koreans as well as free love.

### **Between the Colonizer’s Political Slogan and the Colonized People’s Desire for Enlightenment**

In a way, the two types of “new social awareness” mentioned above are a result of the author’s colonial view based on fiction. The reason the “possibility of development in Korean culture” becomes more meaningful is that the story about the possibility is based on real events that happened in Korea. For the novel, the author adopts almost unchanged the Korean New Cultural Movement and Private University Establishment Movement by Koreans, which actually occurred in Korea in 1920.

5) A big poster of the Ethnic Culture Conference (民族文化大講演会) is posted with red lines [...] The poster includes Ahn Sung-sik, who graduated from a university in Tokyo last year with academic honors, currently serves as the leader of the Korean Culture Academic Society (朝鮮文化学会), and is respected by young people. Furthermore, it includes Lee Byung-hwan (李秉煥), an editor-in-chief of the magazine *The Peninsula* (半島), who is tall and sturdy and looks like an Oriental hero, with many subordinates. It also includes Park Eun-seok (朴殷錫), who traveled in the US and France and has studied the advanced culture of Europe and the US for many years. In other words, speakers attending the conference are almost representatives of young Korean intellectuals and visionaries who are leading the New Cultural Movement (新文化運動). (ch. 78, 1)

The author, Baba Akira, seems to have a good understanding of Korea, and one example of this is that he mentions the Korean New Cultural Movement. The novel also spotlights the New Cultural Movement, led by the Korean Culture Academic

Society, and Korea's magazine *The Peninsula*. These must have been based, respectively, on the New Cultural Movement<sup>1</sup> led by Cheondoism in 1920, and the Korean modern magazine *Gaebyeok* (開闢). Ahn Sung-sik finishes his study in Japan, returns to Korea, and represents young intellectuals who lead efforts to improve Korean culture. Even though young Korean intellectual Ahn Sung-sik can easily get a job with his bachelor's degree in politics and economy from Waseda University, he commits himself to the Korean New Cultural Movement, as he says he is just waiting for the right time for "a great cause (大望)." The issues that he may face because he has one foot in Korea and the other in Japan are also featured in this novel.

6) The much-anticipated Ethnic Culture Conference is thrown into confusion and quietly discontinued due to caution from police officers conducting temporary surveillance [...] In particular, Ahn Sung-sik cannot calm down, since he cannot understand tonight's criticism. He wonders why such criticism has been made against him. Undoubtedly, he has nothing to be ashamed of.

"Traitor! Bitch! How insulting it is. How humiliated he is" [...]

"Apart from whether such misunderstanding is artificial or not disgraceful, I cannot help but think that it has undermined our pure movement." (ch. 82, 1)

In Scene 6, the Ethnic Culture Conference goes awry after Ahn Sung-sik is criticized by the audience. They accuse him of making massive profits by selling his younger sister to a rich Japanese family in Korea. There are some negative aspects to intermarriage between Japanese and Korean people. In other words, the novel describes a class divide depending on one's ethnicity in colonial Korea, and Korean people actually disapprove of intermarriage between Japanese and Koreans. While Ahn Sung-sik is criticized primarily for trying to get his younger sister to marry a Japanese man, he is also criticized for having studied in Japan. This emerges in the scene where the instigator mocks Ahn Sung-sik for having studied in Japan and come back to Korea. As described in Scene 5, there is a clear contrast with Lee Byung-hwan and Park Eun-seok, who are also participating in the New Cultural Movement: one is an influential figure from Korea, and the other has studied in the West.

Regarding Cheondoism's New Cultural Movement, which actually took place, Kim Jeong-ho (2011) argues that although Korea and China's New Cultural

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1 Si-yong Go states that the Korean New Cultural Movement "began as a religious movement but expanded into a movement for independence, education, women, adolescents, young people, farmers, the economy, literature, and publication and developed into a continuous and systematic action-based movement to protect the country, comfort its people, and save the people from pain."

Movements were triggered by the March First Movement and the May Fourth Movement against Japan, “China was reduced to a semi-colony of Japan and Western powers but maintained a minimum level of state independence, while Korea was reduced to an outright colony of Japan after Japan took away its diplomatic rights in 1905 and annexed the country by force in 1910. Hence, enlightenment movements targeting the public were very limited in the country” (“Comparative Analysis” 280). He points out political limitations: it was not possible to carry out an enlightenment movement independently, as Korea was colonized by imperial Japan. From the perspective of Japanese residents of Korea, however, Koreans’ view of pro-Japanese people is problematic with respect to the enlightenment movement by Koreans. The author gives his view of the actual enlightenment movement of Koreans and slyly describes Korean people’s opposition to intermarriage between Japanese and Koreans as well as pro-Japanese people as “the foolish public’s opposition to” “the pure movement” (ch. 82, 1).

Meanwhile, Ok-yeob, the Korean woman who has experienced ethnic and class discrimination (including gender hierarchy) in the Shiroyama family, dreams of establishing a school in Korea so that Kang Bong-joon who is Ok-yeop’s pupil and other Koreans in the coming generations will not experience such discrimination. This is also closely associated with the Korean Private University Establishment Movement, which was propagated in 1920.

7) What the Kinichi couple realizes when they come here is that there is no opportunity in this rural town to educate Korean children [...] Meanwhile, although the Government General built public primary schools, it has not reached out to rural towns like this. Even if it has a *seodang* (private village school) or public primary school, Korean residents in the rural town where Kinichi lives cannot find any money to send their kids to school. Because of this, children aged around 10 only care about hanging out day after day. (ch. 67, 1)

8) “Big aspirations, what are they?”

Kinichi jokingly asks and drinks tea prepared by his wife.

“Take a guess.”

“You want me to guess?”

“Yes.”

“Build a university in Korea.”

[...]

“Big aspirations, aren’t they?”



“Yes, they are.”

“But if yours are not as big as this...”

“You are quite committed. I guess you will also raise our baby wisely, right?”  
(ch. 69, 1)

As described in Scene 7, a lack of educational institutions for Korean children became a persistent problem from the Korean Empire (1897-1910) to the early days of colonial rule. Public primary schools in the novel are four-year schools, unlike the six-year elementary schools attended by Japanese. There were so few public primary schools that many Korean children could not attend school due to financial and circumstantial reasons. In 1910, when Japan annexed Korea by force, the percentage of school-age children attending public primary school was 0.9% (20, 194/2, 139, 991), and although the number increased by 1922, when the novel was published, it was still only 8.5% (238, 058/2, 843, 847).<sup>1</sup> Japanese people in Korea recognized these circumstances, as the novel shows.

Scene 8 concerns aspirations to establish a private university. As mentioned earlier, the First Korean Education Ordinance, announced in August 1911, explicitly reflected higher education guidance that “since Korea is not yet in the same circumstances as Japan, education should be provided in line with the timing (時勢) and level of the public (民度)” (C. Lee 27), and this ordinance needed be amended in order to establish a university, which is an institution of higher education. Coincidentally, the Second Korean Education Ordinance was announced in April 1922, when the novel was serialized. The ordinance extended the number of school years from four to six in public primary schools and from four to five in public high schools. It also included requirements for the establishment of teachers’ schools and universities, which paved the way to the establishment of a university in colonial Korea. In 1923, the Private University Establishment Movement was started by Koreans including Cho Man-sik and Han Yong-un, and imperial Japan also prepared the Korean Imperial University Establishment Committee. As a result, the Preliminary Department, Keijo Imperial University was established in Korea’s capital, Keijo (Seoul), in 1924.<sup>2</sup> The lack of education for children and Korean people’s aspirations

1 See Furukawa Noriko, *Status of Attendance in Primary Educational Institutions During Japanese Colonial Rule*, 142.

2 Choong-woo Lee wrote that “while Keijo Imperial University was established by Japanese people, two factors the March First Movement—a massive struggle by the Korean people, and the Private University Establishment Movement—were the driving force in the background. Therefore, the university’s founding would not have been possible had it been not for Korea’s aspirations and voluntary movements for higher education.”

to establish a university were major factors.

The author, Baba Akira, a Japanese resident of Korea, was also aware of this issue, and the issue of education for Korean people is an overarching topic in the novel. There is no way to know for sure how the novel actually ended, as the corresponding issues of the *Keijo Daily News* have not survived. However, we do have a synopsis of a play adapted from the novel and performed a year after the novel was serialized (*Keijo Daily News* Synopsis). It ends with Saeko donating the wealth of the Shiroyama family to fund Kinichi's Korean rural reclamation program and establish a university in Korea.

### Conclusion

As we have seen, although this novel won a literary contest held by the Government General and the *Keijo Daily News* to encourage “faithfully reflecting cultural policies” (Baba 5), it demonstrates some efforts by the author, a Japanese in Korea, to provide his own literary view. In other words, while pursuing a topic in line with the intended purposes of the literary contest, the novel tries to tell a story that can cultivate “new social awareness” (ibid.). This “new social awareness” includes themes in line with the Government General's political agenda, such as intermarriage between Japanese and Koreans and ethical criticism of outdated ways of thinking, such as demanding faithfulness from women in free love.

What is worth noting in this novel, however, is that the New Cultural Movement and Private University Establishment Movement—two burning issues for Korean people at that time—were well known to Japanese people in Korea and are represented in the text almost unchanged from real life. Even though the novel's author, Baba Akira, must have felt pressured or conflicted as one of the colonizers about realistically describing Japanese discrimination against Koreans or Korea's voluntary enlightenment movements, he observed the colonial situation from an ethical point of view, beyond the view of the rulers vs. the ruled. In particular, given that the novel presents an awareness of the Korean people's development of culture and education by describing specific circumstances for Korean intellectuals without deviating from the purposes of a literary contest, this novel has some features that go beyond the typical popular novel or the typical political novel reflecting the intentions of the Government General. The description of the Korean people's will for self-reliance manifests the author's ethical awareness to coexist with Koreans on an equal footing as a Japanese in Korea who regarded Korea as part of his identity.

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# Unresolved Ethnicity, History, Dehumanization and Violence: Focused on Ethics Revealed in *Kagenosumika* by Gengetsu

Youngho Lee & Jaemin Shin

**Abstract:** This article considers Gengetsu's *Kagenosumika* in view of violence and ethics. This novel illuminates the dehumanization and violence resulting from the ills of capitalism, while at the same time noting the historical and ethnic issues of Korean residents in Japan. This study, we have defined two axes of this work to develop the discussion. One axis concerns the ethnic and historical issues of Korean residents in Japan and individuals, whilst the other axis involves the ills of capitalism and the violence in the enclave. The perceived universal ethical issues and ethnic contradiction of Korean residents in Japan are the key-words penetrating the literary world of Gengetsu.

**Keywords:** Gengetsu; *Kagenosumika*; 1990s Zainichi literature; 2<sup>nd</sup> generation; Zainichi; Korean residents in Japan

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**标题:** 悬而未决的种族、历史、非人化和暴力：玄月《荫之栖》中的伦理启示

**内容摘要:** 本文从暴力与伦理的角度探讨玄月的《荫之栖》。该小说揭示了资本主义弊端所导致的非人化和暴力，以及日本朝鲜族居民所面对的历史和民族问题。本文将从两个轴心来展开讨论：一条轴线涉及在日朝鲜人和个人的民族和历史问题，另一条轴线涉及资本主义弊端和飞地暴力。日本朝鲜族居民所感知到的普遍伦理问题和民族矛盾是贯穿玄月文学世界的关键词。

**关键词:** 玄月；《荫之栖》；1990年代在日朝鲜人文学；第二代；在日朝鲜人；在日的韩国居民

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## Introduction

Korean-Japanese literature has been characterized by generational distinctiveness, since the existing research trend underscored the generation theory centered on a series of authors considered to represent each generation of Korean-Japanese literature. Indeed, there is no denying the fact that the 1<sup>st</sup>-, 2<sup>nd</sup>-, and 3<sup>rd</sup>-generation Korean-Japanese authors' works substantiate the generational distinctiveness. Also, most of their works revolve around the motherland, ethnicity, contradictions Korean migrants go through in Japan and the criticism of Japanese society for coercing such contradictions. Similarly, research on Korean-Japanese literature has contributed to the body of knowledge, focused on the trend. That said, Korean-Japanese literature has established a broad literary world that is far from converging on the conventional trend in favor of the generation theory. Therefore, Korean-Japanese literature has outgrown the established epistemological frame as a literary whole that has been constructed by virtue of the creative activities and works of authors spanning multiple generations. Their creative literary activities far outstretch the definition in line with the conventional uniform trend including the generation theory, and exist as the substance sustaining Korean-Japanese literature in an extensive sphere. Based on the epistemological shift, the scope of research on Korean-Japanese literature has been broadened. More recently, research on Koreans in Japan has not been limited to Koreans residing in Japan but extended to Korean Diaspora and transnational Diaspora literature/culture transcending the national and ethnic boundaries. In particular, Kim Hwan-gi<sup>1</sup> noted the Korean and Nikkeijin Diaspora literature and cultural activities in Latin America. Kim started off with the historical uniqueness of Korean migrants in Japan, went on to the transnational and trans-ethnic solidarity of Asian Diaspora groups, and underlined the 'universal value and globality' of Diaspora literature. Kim's approach is considered an attempt to push the boundaries of Korean-Japanese literature and relevant research and an effort to seek the universal value of Diaspora based on the historical and ethnic uniqueness of literature and culture. In addition, some of research<sup>2</sup> approaches dealing with the Korean-Japanese literature from the perspective of the internationalization of Japanese language have been published in these days. In the same vein, this paper is focused on the universality of Diaspora literature and the

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1 See Hwan-gi Kim, "Japanese/Korean Descents' Diaspora literature in Latin America and Hybridity," *Bord Crossings* 5 (2017): 11-14.

2 See Yamazaki Nagomi, "The Meaning of the 'Words' of Others: The Theoretical Underpinnings of Yuhi by Yangji Lee," *Bord Crossings* 16 (2023): 135-154.

expansion of the circumference of Korean-Japanese literature, so as to clarify the substance of Korean-Japanese literature and shed light on the diversity thereof.

As a second-generation Korean-Japanese author, Gengetsu of interest here emerged as a mainstream author with his 1999 novel *Kagenosumika* (『蔭の棲みか』) winning the 122<sup>nd</sup> Akutagawa Prize in 2000. Despite being a second-generation Korean Japanese born in Japan, Gengetsu debuted relatively late in 1999. Given Hoesung Lee, another 2<sup>nd</sup>-generation Korean-Japanese writer, debuted in the late 1960s, Gengetsu diverged from the established generation-based trend from the start. Therefore, Gengetsu was regarded as a “new-generation author” discussed in line with the third-generation authors. Indeed, his literary world tends to be both convergent upon and divergent from that of the third-generation authors, which perspective however is attributable to the generation-based approach to Gengetsu. In effect, it is contestable to categorize him as a specific new-generation author. Rather, he dwells on the historical and ethnic flows relative to the floating reality of Korean migrants in Japan, and simultaneously illuminates the reality and future of Korean migrants and minorities in Japan as well as the historical faults and indifference of Japanese society. Additionally, as the author himself states, the ‘universal’ ills of minorities and modern society are embodied in his literary world.

Representing his literary world, *Kagenosumika* manifests Gengetsu’s style. A range of events and incidents occur in a fictional ethnic enclave in Osaka, where the presence of a Korean-Japanese man named “Seobang” symbolizes the history of Korean migrants in Japan. The events and incidents occurring in the enclave are symbolically indicative of the reality and historical issues of Japanese society entangled with Korean migrants, as well as the ills of capitalist society. Thus, research on Gengetsu has largely been focused on his *Kagenosumika* and mostly published in Korea, where the scope of research on Korean-Japanese literature has been widened. In addition to the three articles published by Jang An-soon<sup>1</sup>, Koo Jae-jin<sup>2</sup> and Park Jeong-yi<sup>3</sup> investigated Gengetsu and *Kagenosumika* in Korea. Also, Lee Hee-won<sup>4</sup> and Kim Hwan-gi<sup>5</sup> elved into Gengetsu’s works

1 See An-soon Jang, “*Kagenosumika* by Gengetsu: The Minority of the Ethnic Community,” *The Journal of Japanese Studies* 32 (2011): 261-278.

2 See Jae-jin Koo, “Outside of the Nation and Korean Diaspora in Japan,” *Literary Criticism* 32 (2009): 260-276.

3 See Jeong-yi Park, “A study of Gengetsu’s ‘Kage no sumika,’” *JALALIDA* 46 (2010): 227-239.

4 See Hee-won Lee, “The Self-Identity Structure of the Nation-state and its Possibility of Crack—The Study of Hyonyeol’s ‘A Bad Rumor’ and ‘The House in Shadow,’” *Theses on Korean Literature* 60 (2012): 139-171.

5 See Hwan-gi Kim, “Existential Writing in HYUN WEOL Literature,” *The Korean Journal of Japanology* 61 (2004): 439-455.

including *Kagenosumika*. The foregoing studies attempted to extensively explore *Kagenosumika*, discussed diverse themes such as the ills of capitalism, spatial issues typified by the ethnic enclave and identity and intergenerational conflicts of minorities, and analyzed the characters including Seobang. Jang illuminates the source of Seobang's helplessness, the existence of Saeki and the causes of miscommunication between them. Especially, Jang's study should be noted in terms of its insightful clarification of the character called Saeki. Kim takes note of the "universality" of creative literary works that Gengetsu asserted in putting into perspective Gengetsu's literature and existence, which is a significant attempt to figure out the meaning penetrating Gengetsu's literary world. Moreover, *Kagenosumika* has been dealt with in some thematic studies on Korean-Japanese literature such as Yoon Jeong-hwa's<sup>1</sup> comparative analysis of *Kagenosumika* versus Yang Seok-il's work, Heo Byeong-sik's<sup>2</sup> study on Korean-Japanese literature focused on Ikaino, and Saseon Jang's<sup>3</sup> two studies on violence and nationalism present in Korean-Japanese literature.

As discussed above, *Kagenosumika* has been well-documented, holistically and thematically, based on the diverse messages it conveys. The aforementioned studies propose a wide range of codes for reading the novel anticipatively, lending themselves to better understanding of Gengetsu's literary world in its entirety. Yet, this novel is concerned with dehumanization resulting from capital, which is viewed as the source of the ills of capitalism. Also, it uncovers the historical issues of Japanese society and minority Korean migrants therein and symbolically discloses the "ethical issues" associated with their indifference to and misunderstanding of history. "In the conceptual system of ethical literary criticism, 'ethics' mainly refers to ethical relationships and moral orders that maintain human relations in the world created by literary works" (Nie zhenzhao, "Ethical Literary Criticism: A Basic Theory" 190). Still, there is no denying the fact that previous studies underscored the "universality" based on Gengetsu's assertions instead of considering the foregoing issues from historical and ethnic perspectives. Hence, the historical context behind *Kagenosumika* and the resultant "ethical" issues

1 See Jung-hwa Yun, "Identity of Rumors of Korean in Japan and Its Narrative Respons— Focused on novels of Yang Sukil and Hyun Weol," *The Journal of Korean Fiction Research* 51 (2012): 71-94.

2 See Byung-shik Huh, "Ikaino as Invisible Place and Transnational on Cultural Geography of Korean Japanese," *Journal of Dong-ak Language and Literature (dongak)* 67 (2016): 123-152.

3 See Sa-sun Chang, "Violence in Korean-Japanese novels," *The Journal of Korean Fiction Research* 45 (2010): 327-356; Sa-Sun Chang, "Nationalism in Korean Literature in Japan," *The Journal of Modern Korean Literature* 21 (2007): 407-433.



form the central axis, which however remains contestable. In that sense, this paper examines *Kagenosumika* in light of “ethics” with intent to elucidate the issues of dehumanization against the alienated in the development of capitalist society as well as the ethnic issues of Korean migrants in Japan, both of which have been overshadowed by what Gengetsu asserted, and revisit the Korean-Japanese society and Japan back in the 1990s.

### **Emergence of Korean-Japanese Author Gengetsu and *Kagenosumika***

Gengetsu (玄月) is a second-generation Korean-Japanese author born in Ikaino Ikuno Ward Osaka City in 1969 as the youngest of three sons and two daughters to his parents who were from Jeju. His original name is Bongho Hyeon. His pen name Gengetsu is the alias of lunar September and implies truth. At the age of 19 in 1984, Gengetsu got his first job at a loan shark business run by a Korean affiliated with the pro-Pyeongyang Federation of Korean Residents in Japan. Later on, he went from job to job including a truck driver, living a life far from literature. Also, he was engaged in the family business after graduating from high school. In 1992, Gengetsu abruptly felt the urge to write and dreamt of becoming a novelist. In 1994 he attended Osaka Literature School to learn and practice writing and formally started the creative writing by publishing the school’s book of children’s poetry *Hakua* (『白鴉』) in 1996. He debuted in 1998 when his *A Stage Actor’s Solitude* (『舞台役者の孤独』) included in the No. 2 issue of *Hakua* was selected as an excellent work by the critics of the December issue of the monthly *Bungakukai* (*Literary World*, 『文学界』). In October 1998, his *Boobs* (『おっぱい』) published in the No.406 issue of the *Jurin* (『樹林』) was short-listed in the 121<sup>st</sup> Akutagawa Prize but failed to win the prize. With his *Kagenosumika* published in the *Bungakukai* winning the 122<sup>nd</sup> Akutagawa Prize in November 1999, he started to build a solid reputation as a writer.

*Kagenosumika* is about affairs taking place in an ethnic enclave of minority migrants in Japan, with a 75-year-old man named Seobang (ソバン) being its protagonist. The enclave located on the east side of Osaka dates back to 70 years ago, when more than 200 barracks (temporary structures) were installed in a 2,500-Pyeong (approx. 8,264m<sup>2</sup>) wetland. Accommodating marginalized minority groups including Korean migrants, the enclave is segregated from the mainstream of Japanese society. In the past, some 800 Korean migrants used to live here, but now it has become a space of others such as Korean and Chinese migrants as well as other ethnic groups with different skin colors.

Seobang is a symbolic character of the ethnic enclave and a “living fossil.”



Seobang was conscripted into the Japanese army in the war during the Japanese occupation of Korea and lost his right hand and wrist after being shot by an American soldier while siphoning off military supplies on the battlefield. After Korea was liberated from Japan, Seobang lived with his family in the enclave. While working in a factory in the enclave, his wife was killed in an accident that severed her shoulders. His son Kouichi (光一) left him blaming him for having fought for Japan in the war. Six months after Kouichi joined anti-war activists while attending Tokyo University, he was lynched and found dead with his body covered with bruises. Seobang has been living in the enclave for 68 years, now aimlessly surviving on the compensation for his wife's death which includes housing, meals and 20K yen per month.

Seobang is a symbol of the ethnic enclave, whilst Nagayama (永山) is the ruler and king thereof. As an influential capitalist in the community, Nagayama enslaves people to his capital. Since his capital exerts substantial effects on the sustainability of the enclave, Nagayama wields absolute power. Securing power and vested interests by using the capital he has accumulated in the enclave, Nagayama offers bribe to the mainstream of Japanese society.

Socially alienated Seobang interacts with the world only through the community baseball team "Mad Kill" organized by the children or grandchildren of those who were from the enclave. Seobang watches every game of Mad Kill as a way of interacting with the world. Seobang's sole comfort in life is a Japanese female volunteer visitor in her 40s. Her name is Saeki (佐伯). Seobang keeps up day by day waiting for Saeki. One day, when Saeki visits him, Seobang goes watching a baseball game with her. On seeing Saeki in the baseball park, Nagayama casts an uncomfortable eye at her. Saeki averts her eyes from Nagayama's creepy gaze. On her way back from the rest-room, Saeki bumps into Sukja, who stoops to collect recyclable waste. Sukja flashes back to the horrifying past of the enclave.

As the head of a private fund in the community, Sukja was caught trying to abscond with 3 million yen from the fund and 8 million yen from another fund 27 years ago, abandoning her daughter. People in the enclave made her kneel down on icicles and beat her ruthlessly. When she fell unconscious, they drew water from the communal well and pour it on her head. Also, they lynched her by tying her up with a rope with her belly attached to 20-kg icicles. Sukja was punished in accordance with the rules of the enclave, where she has been living in a wretched plight.

For 27 years, the enclave has changed little by little with quite a few Korean migrants replaced by Chinese migrants. With the influx of Chinese migrants, the enclave witnesses unprecedented scenes. For instance, on rainy days, Chinese

migrants get naked to take a shower on the street. New people have made a difference to the face of the enclave. Yet, the mob violence committed against Sukja 27 years ago is repeated. One day when Saeki visits Seobang, 3 Chinese people were caught stealing money from an underground bank. To punish them, Chinese migrants plucked pieces of flesh from the buttocks and thighs of the three offenders with pliers. On being told about the mob violence, Nagayama tries to stop it by paying back the money for fear that the affair will be magnified. However, Chinese migrants in the enclave refuse his offer insisting that losing trust abroad can never be forgiven, and continue to give the offenders mob violence. They repeat the outrage committed on Sukja by Koreans 27 years ago. Irritated by the affair, Nagayama comes across Saeki and rapes her. Seobang belatedly finds Saeki after the incident. Saeki looks at him coldly and disappears. Because of Nagayama, Seobang cannot see Saeki again.

After a while, Japanese police visit the enclave. Somebody has reported the mob violence committed by Chinese migrants. Police forcefully push in to remove the enclave. At that moment, Seobang realizes his identity and resists, biting the thigh of a police officer to keep the enclave from being dismantled. The novel ends as Seobang is beaten up with truncheons.

*Kagenosumika* juxtaposes minorities with the mainstream of Japanese society via the ethnic enclave or the space of others. In the process, it unfolds how a man finds his identity against the backdrop of the violence and dehumanization attributable to capital.

### ***Kagenosumika* as Ethnic Issues of Korean Migrants in Japan**

In the conversation with the author inserted in the Korean edition of *Kagenosumika*, Gengetsu talks about his literary world in comparison to other 2<sup>nd</sup>-generation Korean-Japanese authors Hoesung Lee and Hakyoung Kim:

Is that so? Lee or Kim is unlikely to get away from politics or ideologies because of their ideas that are rooted in the concerns and conflicts related to establishing identities by asking themselves of what ethnicity is. By contrast, I am hardly self-conscious about those aspects. I am not particularly bound by such facets [...] I try to focus on portraying the universality of humans, not the traits of Korean Japanese people. (Gengetsu 227)<sup>1</sup>

1 Gengetsu, *Kagenosumika*, Seoul: Munhakdongne Publishing Co. Ltd., 2000. All references are to this edition and will be cited hereafter. Translations are provided by the author unless otherwise noted.

As stated in the excerpt above, instead of clinging to the ethnicity and homeland, Gengetsu portrays the universality of humans in *Kagenosumika*. The dehumanization symbolized by the exploiting structure of capitalism and mob violence articulates the universal issues of modern society as stated by the author. Still, this work does not necessarily deviate from the ethnic issues of Korean migrants in Japan. Certainly, as mentioned in the introduction earlier, from the perspective of generation theory, *Kagenosumika* lacks in the ethnic sentiment in comparison to other 2<sup>nd</sup>-generation Korean Japanese authors such as Hoesung Lee and Hakyoung Kim. Indeed, the main character Seobang, unlike his parents' generation, perceives his origins vaguely at most, and other characters excluding him do not care much about their 'motherland' and "ethnicity" at the individual level. Yet, at the collective level of Korean migrants in Japan, 'ethnicity' carries different attributes on the grounds that the history of Korean migrants in Japan underlies Seobang's loss of identity, interactions with others including Saeki, generational conflicts and "helplessness" and Nagayama's distorted propensity for violence in *Kagenosumika*. That is, one axis penetrating this work is dehumanization and violence that take place in the ills of capitalist society and are symbolized by the curse and mob violence against Sukja, while the unresolved history of Korean migrants in Japan and resultant ethnic issues constitute the other axis. Thus, this section explicates the historical and ethnic issues of Korean migrants in Japan revealed in *Kagenosumika* and thereby identifies the meanings of the actions and relationships of characters.

As the setting of the novel, the ethnic enclave was first built by the first-generation Korean migrants, who reclaimed a wetland in Osaka and developed small communities. Initially, the enclave was a space of hope for the first-generation Korean migrants who had moved to Japan during the Japanese occupation of Korea. Over time, those who could "not afford to move out" remained in the enclave. Later on, the enclave changed into a "spooky house," where one should not return. The changing atmosphere of the enclave is implied by the fact that the communal well dug by the first-generation migrants including Seobang's father in the square for descendants dried out 20 years ago and by the bleak shady image the vacant enclave carries. To Nagayama the enclave is a place of exploiting the work force. In the flow of history, the enclave has lost its original meaning. Having been in the enclave for over 7 decades, Seobang is a living fossil symbolizing the place and being marginalized even in the perishing community. As a second-generation Korean Japanese born in the enclave, Seobang is a handicapped person having lost his right hand in the war. Seobang's handicap and his status of being a helpless old

man are conditioned to reinforce his “alienation.” In the novel, Seobang has lost his identity, living without knowing who he is, which causes his helplessness to persist. Seobang’s dependence on Nagayama’s support following his wife’s death and his handicap have deprived him of the willingness to work and live. In the opening of the novel, Seobang says, “By the way, I’ve forgotten one important thing here. Who the hell am I?” (Gengetsu 112) at a gathering of the community baseball team (Mad Kill) comprising the 3<sup>rd</sup> and 4<sup>th</sup> Korean-Japanese generations. This sounds like a witty response to Dakamoto’s joke but it is not because he has just referred to Mad Kill’s games as “gambling houses known to the entire neighborhood” and Dakamoto as a “hobo boss stuffed with 5 decades’ faecal water”. Therefore, Seobang is jokingly speaking for his inner voice through the remark.

Then, who is Seobang? He is the only character in the novel that continually questions who he is. In that sense, Seobang is not just another old alienated and handicapped Korean Japanese. He is a second-generation Korean Japanese born to Korean migrants and simultaneously a Japanese who has to forgo the Korean nationality. During the Japanese occupation of Korea, he was conscripted by the imperial Japanese army and lost his right hand. After the war, he was sent back to his original status of a Korean residing in Japan, and forgotten by the mainstream of Japanese society. The loss of his right hand in the war takes away from him the “labor” which is a requisite for survival in the post-war capitalist society. During the Japanese occupation of Korea and after the country’s liberation, Seobang’s own choice of life was suppressed. Consequently, he ekes out a precarious living, which is underlain by ethnic and historic issues that he cannot bear as an individual. As a result, deprived of “active and independent choices,” Seobang has come to a state of loss of self. Seobang’s helplessness, or the absence of his independent self, makes his being “un-honourable.” At the start of the novel, Seobang’s recollection of his life void of such opportunities as Nagayama’s results from the absence of his independent self and is also linked to his communication issues. In the novel, Seobang has difficulties communicating with others including not only other generations such as Goichi and Dakamoto but also his generation such as other seniors, Saeki and Nagayama. He fails to understand what others mean to say, pointlessly responds regardless of his own feelings or willingness, or abruptly stops talking, which exposes Seobang’s self-awareness.

Meanwhile, Seobang’s sole comfort in life is the volunteer visitor, Saeki. Her presence enlightens him about something that remains to be seen in the world beyond his “helplessness.” Saeki is the only outsider visiting the enclave, and catalyzes Seobang’s change. She triggers his transformation into an independent

being and his self-awareness amid the contradictions facing Korean migrants coexisting in the enclave. Interestingly, such relationships and communication structures are uni-directional. To Seobang, Saeki is an object of affection and admiration but still he cannot communicate with her. While Seobang himself and his existence symbolize the enclave like a fossil, Saeki symbolizes the middle class in the mainstream of Japanese society. Without appreciating the history of the enclave, she just volunteers to help disadvantaged and alienated senior citizens out of good will. She does not understand the physiology of the enclave or the life of those Koreans who are living and have lived in barracks. She shuns a woman from the enclave whom she encounters in the baseball park and brings up the story of Sukja that is regarded as a taboo in the ethnic enclave, which is also ascribable to her lack of understanding and indifference. Though Saeki is not necessarily a villain, the indifference revealed in her actions significantly symbolizes the indifference of the mainstream toward Korean migrants in Japan. Likewise, the indifference unveils in the dialogue between Seobang and Saeki. Seobang tries to talk about the compensation for his severed right wrist only to fail since Saeki keeps talking about herself without empathizing with him. This failure of communication deters their mutual understanding.

Then, given the failed relationship and communication, what is the meaning of Seobang's sentiment toward Saeki? Before considering the meaning, it is necessary to assume Saeki is a character representing the mainstream of Japanese society. Assuming she is a character symbolizing the mainstream of Japanese society and its "indifference," Nagayama's blind antipathy toward her and Seobang's admiration for her become significant. The contradiction of Korean migrants in Japan originates from exclusion, discrimination and indifference. In tandem with the prevalent indifference of the mainstream, the post-war exclusion of Korean-Japanese enclaves from the boundary of the law by the Japanese government has sustained the discrimination against the minority. The discriminated minority Korean residents in Japan wish to join and be equal to the mainstream of society, which is a matter of course and legitimate, given their discriminated status and from historical and ethnic perspectives. Seobang's right hand and wrist symbolizes the historical contradiction of Korean migrants in Japan. When Seobang admires Saeki and lays bare his compensation mentality relative to his right hand, he exposes his wish as a member of an alienated minority to be equally treated as the members of the mainstream. Similarly, Seobang's monologue at the end of the novel reveals such a wish after Saeki's incident as mentioned in the following excerpt:

The curse against Sukja has been extended even to Saeki. If only this severed right wrist had earned money a bit earlier, the terrifying lynch would not have been repeated and infuriated Nagayama would not have bumped into Saeki, huh?

I wish it was a far-fetched idea and laughed it away, but undeniably it is not entirely irrelevant. (Gengetsu 147)

As suggested in the excerpt, while Seobang is looking for Saeki who was taken by Nagayama, a “random” thought occurs to him: “If only this severed right wrist had earned money a bit earlier”. It is nothing but a far-fetched thought at present as long as the historical issues of Korean migrants in Japan remain unresolved, but it is “not entirely irrelevant.” Had Seobang been treated equally as others wounded in the war, and had Korean residents in Japan not undergone the explicit exclusion and suppression in the post-war history of Japan, the status of Seobang and that of the enclave would be different from what they are now. Unfortunately, his wish does not come true because of the ruptured relationship with Saeki due to Nagayama and the deep-rooted indifference of the mainstream, which is symbolized by Saeki, toward minority migrants. As a result, Seobang goes through the confusion of identity. While watching a baseball game with Saeki, Seobang tries to protect her and at the same time questions himself if it is Saeki that he should protect. “What am I trying to protect here? Which side on earth do I belong to?” (Gengetsu 38) Seobang’s self-deprecation is about ‘where he should be’ and implies Seobang’s self-awareness of being a Korean resident in Japan. Seobang is portrayed as a helpless being who is incognizant of self but conceals a wish to remain connected with the enclave even passively, as demonstrated in his relationship with Mad Kill. Seobang regularly attends the games and gatherings of the community baseball team whose members are two generations younger than he. His lack of communication skills adds up to his alienation from the team but still he does not stop observing the gatherings, taking a seat and joking. Seobang’s affection toward Mad Kill, the enclave and younger generations clearly surfaces. Seobang calls Mad Kill members “grandsons,” bets on Mad Kill regardless of winning or losing, and rants and raves when opponents commit fouls. That is, irrespective of Seobang’s spontaneous self-awareness and his admiration for Saeki, the identity of a Korean resident in Japan symbolized by the enclave lies in his subconsciousness.

Therefore, Seobang’s awakening emerges when he becomes clearly aware of his being and self. Seobang’s self-awareness necessarily accompanies his disconnection from Saeki by the medium of Nagayama, who expresses the blind

antipathy and resentment against Saeki. Though he has discarded his original family and first names, Nagayama struggles to join the mainstream of Japanese society by dint of the capital he has accumulated by exploiting the enclave. Yet, no matter how hard he may try, even Nagayama dominating the enclave like a king finds it impossible to join the mainstream. At best, he becomes a boon companion of the police chief representing the public authority, to the extent that the latter hardly cares about how he exploits the enclave. But their relationship is prone to collapse anytime because the police chief is very capricious. Frustrated in his failure to join the mainstream, Nagayama expresses the blind antipathy and resentment against Saeki, which symbolizes his sentiment toward the mainstream of society. As a result, enraged Nagayama rapes Saeki when they meet again. Seobang struggles to protect Saeki only to fail. Yet, Nagayama's act facilitates Seobang's self-awareness. After being out of touch with Saeki against his will, Seobang realizes that he should be responsible for everything happening in the community because the enclave is like his hometown where he has lived for 68 years and his sons and grandsons live and will live. Therefore, following Saeki's tragic incident, Seobang's intense anger towards Nagayama is not just about Saeki. Though frustrated, Seobang starts to unprecedentedly speak out, saying to himself, "I'd sink a knife right into his heart" (Gengetsu 147). "I'll never forgive you" (Gengetsu 147), he cries to Nagayama at the top of his voice, which indicates his resentment against Nagayama about raping Saeki and fixating the exploitation structure with his capital in the enclave. Being out of touch with Saeki and harboring resentment against Nagayama, Seobang is finally reborn as a being with an independent self, which is suggestive of his self-acceptance as a member of the minority group of Korean residents in Japan.

The next morning following the incident, Seobang 'could not feel more refreshed' when he wakes. He makes breakfast, which he has never done before, and washes his underwear for the first time in 10 years. This scene shows Seobang has turned over a new leaf. His self-awareness as a Korean resident in Japan helps recover his identity, which lays the foundation for addressing the intergenerational conflicts and bridging the intergenerational gap, as described in the following excerpt:

On seeing Dakamoto who looked very grave just like blaming himself for his helplessness rather than his remarks, Seobang felt as if some bitterness stuck in his heart had dissolved away. That's right. Since his right arm has been treated unfairly, he has been with this enclave and will be able to live with it. (Gengetsu 151)



Seobang was happy to see that he as a being full of confidence and Ganemura as another being full of innocence and fear were connected with each other sharing a common sentiment, skipping Dakamoto's generation, which he dismissed superficially. (Gengetsu 152)

The excerpt above is associated with Seobang's conversation with Dakamoto and Ganemura, who symbolize the 3<sup>rd</sup> and 4<sup>th</sup> Korean-Japanese generations, respectively. Before Saeki's incident, the point of contact between Seobang and them was limited to fragmentary spheres formed by Seobang's passive effort. By contrast, after the incident, Seobang's conversation with Dakamoto and Ganemura symbolically shows a bond of sympathy has been built among the three. In that the bond is indicative of their surmounting the intergenerational disconnection initiated by his conflict with Goichi, it serves as a momentum for them to share their identity and solidarity as Korean residents in Japan.

Seobang's self-awareness also involves his understanding of the enclave which is a trans-generational living space, forms a simple bond of sympathy and symbolizes himself. To Seobang, the enclave is now a place that he should protect and be accountable for. In the ending scene, Seobang grabs the pants of a police officer and bites his calf. Resisting the intervention of the public authority explicitly demonstrates his desperate will to defend the enclave. The mob violence committed by Chinese migrants justifies the intervention of governmental authority in the extraterritorial enclave. Until now, the enclave's process has autonomously operated outside the country's statutory boundary by means of Nagayama's capital used to win over the public authority, which connection, however, is weak enough to end anytime. The police officer visiting the enclave states he understands the history of Korean migrants in Japan but will not be tolerant of illegal migrant communities and thus the enclave will be dissolved. He sounds as if he understands the presence of Korean residents in Japan but actually will not accept the presence of the enclave which he believes is nothing but a random shelter for illegal migrants. His statement, paradoxically, proves the lack of his understanding of history, which incurs the wrath of Seobang to the extent that he bites the officer's leg. His offence is an expression of his own intention to defend the enclave and of his wrath against the misunderstanding of and indifference to the presence of Korean residents in Japan.

As discussed so far, we have considered the relationship between Saeki and Nagayama based on the affairs and incidents resulting from unresolved historical and ethnic issues of Korean residents in Japan and Seobang's change in



*Kagenosumika*. The diverse issues raised in the novel are attributable to the process implemented in the enclave and Seobang's contradiction, and simultaneously are the remains of unresolved historical and ethnic issues. Because the ethical choices and moral behaviors result from the contrasting yet interrelated forces<sup>1</sup>, Seobang's self-awareness and recovery of identity is triggered by his awareness of ethnic contradiction and self-acceptance as a Korean resident in Japan. Through the process, Seobang eventually transforms into a guardian of the enclave from a symbol thereof.

### **Ethics of Dehumanization and Violence Relevant to Capital**

In *Kagenosumika*, the enclave is seated in an extraterritorial zone and sustained by violence. In the process, dehumanization caused by capital and ethics are exposed. The following excerpt shows how they handle any problem arising in the enclave.

At that time, most residents except children gathered in the square. Sukja was kneeling down on an array of icicles laid next to the well. When Dakamoto and some young men attempted to tie 20kg icicles to her belly with a rope as told by their parents, she cried out they would kill the fetus in her womb [...] Every time Sukja was about to collapse, males poured icy-cold water from the well on her head and females poked and beat her back and shoulders with bamboo swords. Assuming a disinterested attitude, they continued to torture her just like pounding rice into powder. There was no room for insanity. People were doing what they were supposed to do in silence. All were woodenly expressionless. Some rose to their feet, while others cast tired eyes. Still, no one withdrew when it was his/her turn. (Gengetsu 139-140)

Sukja was caught absconding with 3 million yen from a private fund she had organized in the enclave and 8 million yen from another private fund 27 years ago. She was trying to desert her 15-year-old daughter, which indicates the human nature succumbing to capital. They solved any problem not by a lawful procedure but by violence. They brought Sukja to her knees on icicles and tied 20kg icicles to her belly with a rope, which was like stabbing her with a knife. Both men and women beat her with bamboo swords and clubs. When she passed out, they poured water from the well on her face to force her to stay awake. They never felt guilty

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1 See Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 392; Nie zhenzhao, "The Scientific Turn of Humanities Studies," *Interdisciplinary Studies of Literature* 4 (2022): 563-568.

about driving a person nearly to death. Violence is their own way of addressing any challenge to sustain the enclave. The uniqueness of the enclave occupied by others and the dehumanization caused by capital underlie the violence, which characterizes the enclave as an extraterritorial zone outside the boundary of law.

Then, do the violence and dehumanization in the enclave arise from the ethnicity unique to Korean migrants in Japan? Those aspects are attributable to the universal human nature, not a certain ethnicity, nationality and period. See the following excerpt:

Between the human walls, three men fell flat on their face with both hands and feet tied u Their buttocks and thighs were exposed through their pants torn into shreds. Holding their lips tight, other men twisted and plucked their flesh with pliers one after another [...] Wearing a look of excitement and tiredness, each worked his way through the crowd, holding a plier with tiny pieces of flesh, which made me feel a strange sense of *deja vu*. The next moment, I realized the so-called ‘underground bank’ was comparable to the private fund. (Gengetsu 146)

Three Chinese men fall to the ground in the excerpt. They were caught stealing money from the underground bank, which is equivalent to the old private fund. Chinese people holding pliers twist and pluck flesh one after another from the thighs of the three offenders. Pieces of torn flesh are scattered on the ground. This mob violence results from capital. This scene is reminiscent of Sukja’s incident that took place 27 years ago. Violence, not lawful procedures, is the rule to punish people in the enclave as they did to Sukja, who was poked in the belly with icicles and beaten with clubs, and now to the three Chinese men whose flesh is plucked with pliers.

As for how the uniqueness of the enclave has been formed, Koreans migrated to Japan during the Japanese occupation of Korea and remained there even after the liberation. That is the “historical reason” why Korean migrants built a community like the enclave in Japan. Over time, Korean migrants in Japan left the enclave one after another before illegal Chinese migrants occupied the space. Initially formed by others who were outside the boundary of law, the enclave now shelters different kinds of others who are not legally protected, after Korean migrants left. In the space of others, capital is directly linked to survival. Thus, they have adopted their own rules in the form of violence to maintain the enclave and to survive. With the enclave formed outside the boundary of law, it constitutes an extraterritorial zone, where Chinese migrants replicate the violence committed by Korean migrants for

68 years, which manifests the universality of human nature regardless of nationality or ethnicity.

It is capital not law that sustains the enclave and secures the survival of others. The enclave is a space where others who are not entitled for legal protection can exist, whilst capital is a sensitive issue directly linked to survival. In the enclave sustained by the identity and solidarity of members, problems caused by capital threaten their survival and undermine their identity and solidarity. Violence is the solution for any problem that could potentially threaten the identity and survival of the enclave, which is the process of maintaining the community.

If so, how come they resort to violence not law to solve their problems? To those others who are marginalized from the legal protection in the enclave, laws are meaningless rules. Those who are not protected by any law draw upon nothing but capital as a means of survival, which is in turn secured only when they reserve capital. In that context, embezzling capital is a plain act of threatening the community in its entirety and the survival thereof. As any legal punishment is not applicable to the extraterritorial enclave, violence works. That is, the community cannot but be sustained by violence because its members are legally marginalized others and their survival is secured not by law but by capital. Hence, the enclave can exist as an extraterritorial zone, where the unethical violence and dehumanization take place due to capital.

Paradoxically, however, because of the very violence, which serves as the unique means of sustaining the enclave, the community is faced with a risk of dissolution. The mob violence replicated in 27 years causes the secret of the enclave to leak through to the mainstream of society represented by the Japanese police authority. The public authority of the mainstream of society is set to dissolve the enclave, which is on the cusp of vanishing into nothing. Nagayama takes advantage of capital he has accumulated in the enclave to join the mainstream of Japanese society in vain, failing to exert any influence on the historical misunderstanding of the mainstream and its public authority. Even the capitalist dominating the enclave is not admitted to the mainstream of Japanese society. The mainstream exercises its public authority to remove the enclave and others on account of the violent incident. The very rule that has sustained the enclave drives it into catastrophe, and thus the world of others is dissolved by the mainstream power.

Portraying an extraterritorial enclave of others who resort to violence to deal with problems, *Kagenosumika* highlights the dehumanization and ethical issues relevant to capital.

### Conclusion

We have discussed Gengetsu's *Kagenosumika* in view of violence and ethics. As mentioned earlier, this novel illuminates the dehumanization and violence resulting from the ills of capitalism, while at the same time noting the historical and ethnic issues of Korean residents in Japan. As Hwangi Kim asserted, Gengetsu's work builds on the uniqueness of diaspora groups in pursuit of the universality and global orientation of diaspora literature.

Hence, in this study, we have defined two axes of this work to develop the discussion. One axis concerns the ethnic and historical issues of Korean residents in Japan and individuals, whilst the other axis involves the ills of capitalism and the violence in the enclave. As the author asserts, *Kagenosumika* exposes the ills of capitalist society while contemplating the universality of human nature. Furthermore, its characters and events revolving around Seobang keenly uncover the historical and ethnic contradictions of Korean migrants in Japan that cannot be explained by the universality of human nature. The distribution and domination of capital, the alienated "minority" represented by old handicapped Seobang in the enclave, their historical transition, and their conflict with the mainstream of society are intricately woven in *Kagenosumika*. In addition, the ethnic contradiction of Korean migrants in Japan underlies the foregoing intricately woven components. The absence of a certain "ideology" or of an inclination to homeland within the category of ethnicity corroborates the void of "politics" in literature as asserted by Gengetsu himself. Paradoxically, the absence is completely entangled with the ethnic issues of Korean migrants in Japan. Such an ethnic contradiction is symbolized by the protagonist Seobang, who was conscripted to the Japanese imperialist war and lost his right arm only to be forgotten by reason of being a Korean resident in the post-war Japanese society. The indifference, ostracism and physical handicap coerce Seobang into losing himself. In a series of events and incidents, Seobang becomes aware of himself as a contradictory being and a Korean resident in Japan, which is underlain by his ethnic contradiction. Indeed, Seobang's self-awareness intricately involves his admiration for Saeki symbolizing the mainstream and his frustration as well as indifference. Also, it coexists with the reality of the minority in the capitalist society conditioned by Nagayama. Seobang accepts himself as a member of the enclave after Saeki's incident. In the process of such "acceptance" and "awareness," Seobang finally gets over his helplessness and vanquishes the disconnection caused by intergenerational conflicts.

Meanwhile, the one axis of this work concerns the ethnic contradiction

while the other axis comprises the violent incident entangled with capital that takes place in the “extraterritorial” zone accommodating the alienated others in the capitalist society. Those residing in the extraterritorial enclave are not legally protected, that is, not recognized as Japanese citizens. The residents in the enclave earn their livelihood as factory workers fitting into the capitalist trend in the post-war mainstream of society. With no legal protection and citizenship, money is synonymous with their survival in the capitalist society. Thus, capital is translated into the survival of the members of the enclave. However, what matters is that they turn to the violence or lynch mob to address any challenge. The residents in the extraterritorial enclave cannot afford the protection by law. Therefore, they rely on the agreed tacit rule to resolve problems arising in the enclave. Yet, when it comes to capital-related problems, in particular, their rule values capital more than human life, which constitutes the inversion of value. That is, the violence committed in the enclave is held up by dehumanization, which is part of the universal ills of capitalism. Moreover, such ethical issues are embodied in repeated violence in the enclave. The blood and flesh scattered on the ground reminds Seobang of the ‘curse against Sukja,’ which implies the unethical violence will be repeated and intensified.

To recap, *Kagenosumika* exposes the ills of capitalist society while contemplating the existence and contradiction of Korean residents in Japan as a minority. The perceived universal ethical issues and ethnic contradiction of Korean residents in Japan are the key-words penetrating the literary world of Gengetsu. A further study is needed to delve into the historical and ethnic contradictions of Korean residents in Japan which underlie the ethics manifested as universal value across Gengetsu’s creative world beyond *Kagenosumika*.

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# 芥川龙之介文学全景的伦理研究: 以其与日本自然主义文学的关系为例

## An Ethical Study on Panopticism of Ryunosuke Akutagawa's Literature: An Example of Its Relationship to Japanese Naturalistic Literature

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**内容摘要:** 一直以来, 学界重视芥川龙之介文学的技巧性及其美感, 将芥川文学和自然主义文学彻底对立起来, 忽视了二者之间不即不离的相互关系。通过对芥川文学中的自然文学表述进行数据整理, 可以发现芥川对日本自然主义文学的态度从感性批判到理性批判、再到批判性承认的态度变化。芥川文学追求“真善美”三者的结合, 也正是立足于对自然主义文学愈发客观、深入的理解和批判。他批评自然主义文学以有伤风化之耻为荣, 赞扬大正新兴文学更加重视作品的伦理性和道德性。这也体现在他推崇以国木田独步和正宗白鸟为首的部分自然主义作家, 并强调他们合乎人本主义和伦理道德的文学理念上。以日本自然主义为参照对象, 可以从成立的根源上审视芥川文学的整体方向, 明确芥川文学对自然主义忽视伦理道德的批判和对文学教诲功能的重视。

**关键词:** 芥川龙之介; 日本文学; 自然主义; 伦理价值; 道德教诲

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**Title:** An Ethical Study on Panopticism of Ryunosuke Akutagawa's Literature: An Example of Its Relationship to Japanese Naturalistic Literature

**Abstract:** All along, academics have emphasized the skillfulness of Ryunosuke Akutagawa's literature and its aesthetics, completely opposing Akutagawa's literature to naturalistic literature and ignoring the immanent interrelationship between the two. However, by organizing the data on the expressions of naturalistic literature in

Akutagawa's literature, it is possible to find that his attitude toward Japanese naturalistic literature changed from sensual criticism to rational criticism, and to critical recognition. His pursuit of the combination of "truth, goodness, and beauty" is also based on an increasingly objective and in-depth understanding and criticism on naturalistic literature. He criticized naturalistic literature for taking pride in its shamefulness, and praised emerging literature for placing greater emphasis on the ethical and moral nature of its works. This is also reflected in his admiration for some of the naturalist writers, like Doppo Kunikida and Hakuchou Masamune, and his emphasis on their humanistic and ethical approach to writing. Taking Japanese naturalism as a reference object, the overall direction of Akutagawa's literature can be examined from its founding roots, and its creative philosophy which criticizes naturalistic literature that flouts ethics and morals and emphasizes the function of literature can be clarified.

**Keywords:** Ryunosuke Akutagawa; Japanese literature; naturalistic literature; moral value; moral teaching

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## 一、引言

正如“艺术至上主义”、“为人生服务的艺术”、“新思潮派·新技巧派”等标签所示，芥川龙之介（Ryunosuke Akutagawa，下简称芥川）的文学推崇技巧性和文学表达美感，追求题材的新颖和趣味性。日本学术界的芥川文学研究大多立足上述观点，有关其文学伦理方面的研究常被放在次要位置。“文学在本质上是关于伦理的艺术，文学的价值通过文学的教诲功能体现”（聂珍钊 248）。在文学研究中忽视伦理道德的存在，无疑是不符合文学本质的。<sup>1</sup>随着文学伦理学批评在文学研究界的影响力逐渐扩大，对芥川文学的文学伦理学批评理论运用已初见成效。但这部分研究的对象目前依然集中在《罗生门》（『羅生門』，1915）《杜子春》（『杜子春』，1920）等名篇上，研究方法也多局限于对个别作品文本的微观性讨论。要宏观式理解芥川文学，就必须以其整体为架构，考察他的文学倾向和文学理念。

解析芥川的文学倾向和理念，首先需要了解他对何种文学进行批判，又

1 参见 聂珍钊：“人文研究的科学转向”，《文学跨学科研究》4（2022）：565。



对何种文学表示肯定。而日本自然主义文学无疑是最受芥川批判的文学流派。无论文学观还是文学题材，日本自然主义都与芥川的文学主张完全对立。例如日本学者菊地弘（Hiroshi Kikuchi）就认为，芥川以虚构为主题的小说形式是对自然主义文学观、人生观的修正，亦是对自然主义的严正抗议。<sup>1</sup>而从另一方面看，芥川文学重视文学作品技巧性及美感，也正是与日本自然主义确立的近代小说基础（“真”）及后续产生的诸多问题息息相关。因此，讨论芥川文学中的文学伦理表达时，以日本自然主义为参照对象，可以从芥川文学成立的根源上审视其整体倾向。为了明确芥川文学中出现的“自然主义”概念，整体性梳理芥川文学和自然主义文学的关系，本文对芥川文学文本中的自然文学表述进行了数据整理。在此基础上，通过文学伦理学批评理论结合数据定量研究，分析芥川文学文本中自然文学表述的倾向变化，集中探讨芥川对活跃在明治末期至大正初期的日本自然主义作家的态度。从文学伦理学批评的角度解析芥川文学，可以发现芥川文学的基本姿态是否认一味追求性欲的低俗文学，强调文学的伦理教诲功能。

## 二、芥川文学中的“自然主义”

日本自然主义自诞生起，内部就存在着思想上的混乱。<sup>2</sup>自然主义评论家岛村抱月（Hogetsu Shimamura）在日本自然主义文学运动初期就指出，“自然主义”这一便利性的称呼只是对明治末期新文学思潮的大致概括。<sup>3</sup>到大正时期，日本自然主义派分化愈加严重，例如自然主义派评论家加藤朝鸟（Asatori Kato）等人对田山花袋（Katai Tayama）文学的彻底批判。因此，日本自然主义文学的概念和时期划分等至今尚无准确定义，目前其系统性研究依然大致停留在20世纪60-70年代研究框架内。<sup>4</sup>鉴于自然主义定义的模糊性，芥川笔下的“自然主义”只能通过他本人的自然主义表述来进行梳理和提炼。

芥川的全部作品（包含书信、草稿、笔记、断片等）中，直接出现“自然主义”、“naturism”、“自然派”等字句的作品共计44篇<sup>5</sup>。自1913起至1927年，除1926年外，每年均有相关用例。其中只涉及西方自然主义和广义自然主义的用法各有7篇，约只占整体的16%。而单指日本自然主义的用法却达到36篇<sup>6</sup>，占整体的约82%。据此推断，芥川文学中出现的自然主义表述以日本自然主义文学为主，带有倾向性的自然主义表述也大多与日本自然主义

1 参见 菊地弘：「芥川文学作家論事典 自然主義」，『芥川龍之介必携』，三好行雄编，東京：学燈社，1981年，第29页。

2 参见 相马庸郎：『日本自然主義論』，東京：八木書店，1970年，第4页。

3 参见 岛村抱月：『抱月全集』第二卷，東京：日本図書センター，1979年，第57-58页。

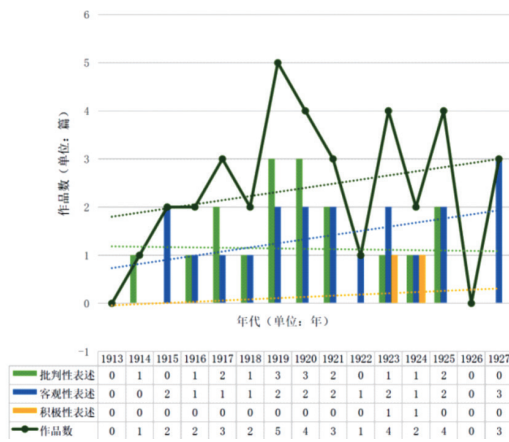
4 参见 吉田精一：『自然主義の研究』，東京：東京堂，1955-1958年；片岡良一：『自然主義研究』，『片岡良一著作集』第七卷，東京：中央公論社，1979年。

5 不包含合评会等多人参与形式的文本中，芥川以外作家的自然主义相关发言。

6 因部分作品中同时出现多种用法，计数时采取重复计算，故三者之和大于43。

文学有关。<sup>1</sup>根据“论及自然主义时代，那是砚友社时代告一段落之后的时代”（4: 80）“自然主义以后的时代——我的高中、大学时代”（4: 100）<sup>2</sup>等相关表述，芥川文学中提及的“自然主义”主要指白桦派出现之前（1912年前）的自然主义文学，也就是“分化期自然主义”（片冈 19）之前的日本自然主义运动。1912年后的所谓“分化期自然主义”虽然在源流上与自然主义运动有关联，但写作风格上与自然主义运动有很大不同。《大正九年度的文艺界》（『大正九年の文艺界』，1920）中芥川将“新早稻田派”等后自然主义作家与自然主义放在不同章节内予以介绍，足以说明他没有把分化期自然主义放在传统自然主义的框架中理解，因二者应分开考察。此外，芥川作品中的日本自然主义多指代“自然主义”这一文坛势力，鲜有对描写方法和理论等自然主义文学本身的具体探讨。可以说，芥川比起从文学理论的角度评判自然主义文学，更多倾向于从文坛流派的角度去审视自然主义文学在当下的定位和与他自身的距离。

若以“批判性”“客观性”“积极性”为关键词，对包含单指日本自然文学用法的作品共36篇进行统计，可以发现则其随年代变化呈现出如下倾向。<sup>3</sup>



表一 芥川文学中的自然主义表述倾向及变动趋势

表一数据可知，含有消极表述和客观表述的作品各为17和20篇，约占

1 下文中的日本自然主义均以“自然主义”指代，不再一一说明。

2 本文中芥川文学作品的引文均来自 芥川龙之介：《芥川龙之介全集》，郑民钦、魏大海、侯为译（济南：山东文艺出版社，2005年）。以下只以“卷号：页码”的形式标注页码，不再一一说明。除此之外的日文文献均为笔者译。

3 此处评价的是包含“自然主义”在内的文章或句子整体的倾向，而非“自然主义”一词本身在文章中表达的倾向。统计时，单从上下文不易推断倾向的字句，则通过文中其他现有信息（例如相关作品或杂志的流派等）进行综合判断。另外，为了便于统计，年代划分以12月31日为界，作品年代均以出版年或最初出版年（含推测出版年）为准。同一作品中出现多种用法时采取重复计算。

整体的47%和56%。根据线性图走势可得知，消极性表述的总体倾向为逐年减少，而客观性表述和积极性表述则不断增加。其中客观表述的增长率最高，1918年后其线性上升率已同比超过消极表述的增长率。也就是说，单从直接提及“自然主义”一词作品的倾向来看，芥川对自然主义的表述不仅不符合“与自然主义完全对立”的传统认知，甚至呈现出客观、积极评价多于消极评价的趋势。需要注意的是，芥川对自然主义的客观表述多为文艺史相关，例如对文艺史的客观描述，或是将自然主义作为划分文艺时代的标识。较之消极表述，言及自然主义文学本身的客观表述比例仅占客观表述整体的约20%，且多集中于芥川中、晚年的文学中。因此，正如他直言不讳“我常把自然主义的坏话挂在嘴边”（4：100），芥川对自然主义文学的态度确实是消极的。但即便如此，消极表述逐年减少，客观表述和积极表述逐年增加的趋势也是不容忽视的事实。这说明了芥川对自然主义文学言论总体上的批判性态度不等同于一味否定，客观性表述的相对性增长依然是芥川自然主义表述的重要特征之一。

按照表一的变化趋势，可以把芥川的自然主义表述分为以下三个阶段。

第一，从1914年至1918年左右。前半期的批判性表述和客观性表述呈现隔年出现的趋势，而后半期则表现为二者数量较为持平，批判性表述相对较多。此阶段涉及作品10篇，平均到每年只有2篇，较之其他阶段总数量偏少。这一阶段，芥川已经开始对自然主义文学表现出批判的姿态，例如在《山药粥》（『芋粥』，1916）中称自然派为“有闲之人”（1：70）和在1917年1月19日给松冈让（Yuzuru Matsuoka）的书信中对田山花袋的嘲讽（5：113）。<sup>1</sup>同时，部分作品中也采用了与自然主义一脉相承的主题，例如初期小说中的厌世主义和幻灭等要素。总体来说，在1918年之前，芥川的自然主义表述中存在对自然主义的厌恶，也存在“对自然主义文学诸多问题点的品种改良”（松本177）。两种自然主义观既是共存关系又是对抗关系。

第二，从1919年至1921年左右。这三年中，含自然主义表述的作品共计12篇，为阶段1的1.6倍，平均到每年为4篇。此外，批判性自然主义表述明显多于客观性表述，充分体现本阶段芥川对自然主义文学现状的关注和对自然主义的明确否定。但与此同时，随着曾经执掌霸权的自然主义文学逐渐失去统治，新文学开始代替旧文学，文坛出现了一波讨论文艺改朝换代的潮流，这成为他的非批判性表述逐渐增多的客观原因。《大正九年度的文艺界》等文中，芥川指出文坛由自然主义到耽美主义、人道主义，再到大正新文学主导的变化趋势，并提到“与整个文坛自然主义一同天下的过去相比。简直就是一幅缩小了的图画——一种由火葬场转移到舞厅的景象”（4：60），展现出他对文坛史敏锐的洞察力。作为新文学流派的代表，芥川深知必须向文坛明确展示他的文学基调，而重新审视自然主义文学的地位自然是梳理他自

1 魏大海等译《芥川龙之介全集》中的记述为“一月十八日自镰仓致松刚让”。

身文学定位的必要手段。在这一背景下，他对自然主义的否定也从感性式的厌恶转向较为客观的评价。

第三，从1922年至1927年左右。本阶段的年平均作品数约为2.3篇，且客观和积极性表达的总和（11篇）约为批判性表述（4篇）的3倍。较之其他阶段，批判性表述的占比大幅下降为本时期最大的特征。例如芥川在声明自己“常说自然主义坏话”的同时，也承认自然的功绩“使得我们今日的批判精神觉醒”（4:100），展现出前两阶段中未有过的自然主义肯定。针对在前两阶段中进行过尖锐批判的一些自然主义作家，他也做出了更为理性的评判。另外，芥川对自然主义的批判也从抽象化变得具体化、清晰化。他明确指出“自然主义文学把人类写得过于下贱”（4:104），集中批评了“毫不忌讳描写人类在道德上感到的‘丑陋’”（岛村77）的自然主义文学。不难看出，芥川对自然主义文学的厌恶，逐渐具象为批判自然主义藐视伦理道德和以性欲描写为目的的创作基调。这也符合芥川为自己的文学所定下的方向，即文学的“真善美”之统一。

《大正八年度的文学界》（『大正八年度の文芸界』，1919）中，芥川提出新兴文学的主要特点在于“真善美”的融合。“真善美”三者缺一不可的文学理念，针对的正是自然主义唯“真”至上，非“真”即非文学的主张。日本自然主义运动成功使“真”成为日本近代文学的基础，芥川也承认“真”在文学中的价值。但自然主义过度肯定“真”，忽略“善”和“美”，必然使文学创作陷入无聊和恶俗。自然主义文学运动标榜“无技巧，无理想，无解决”“为艺术服务的艺术”“平面描写”等文学价值观，主张文学应脱离浮华的辞藻（即“美”），直接表达出人类最真实的情感。为了追求故事的“真”，自然主义文学多取材于作家的“身边杂事”，导致自然主义作家们变得“只会写自己平庸空虚的日常生活”（正宗，「芥川氏の文学を評す」115）。这使得之后的自然主义文学中出现了一些倾向于露骨地刻画丑恶本能尤其性欲的作品。他们“一味追求对底层人民心理的表达，只停留在对人类‘本能’和‘兽性’的肯定上”（永平212）。针对自然主义文学局限于描写性冲动和性欲的特质，森鸥外也曾在1910年的小说《沉默之塔》（『沈黙の塔』）中给予过尖锐的嘲讽。

文学伦理学批评认为，人的本质是人性因子和兽性因子的结合体，而兽性因子主要指人的原始性欲望和动物性本能，并体现为自由意志。<sup>1</sup>一般而言，文学作品讨论如何用理性意志控制自由意志，但日本自然主义文学在发展过程中越来越淡化理性意志的作用，并将肯定人类的兽欲作为主张、表达个人意志的唯一手段。这明显是不符合文学伦理学本质的。部分后期自然主义作品甚至打着“真”的幌子，通过揭露自己或他人的私密来吸引读者的好奇心。这使得他们的创作目的愈发违背文学的教诲功能。“文学创作有创作

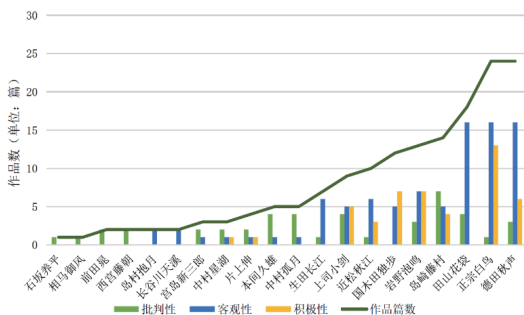
1 参见 Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 388.

和虚构的自由，但是不能违背社会公认的道德准则，即文学创作应该有益道德而不能有伤风化”（聂珍钊 101）。教唆犯罪或损害道德的文学，无疑是与文学伦理学批评的基本立场背道而驰的。芥川对文学的自我认知过程与他的自然主义理解客观化同时进行，这表明他对自然主义文学的认识，其实就是对他自身的一种重新审视。他批判自然主义过犹不及的“真”使作品一味追求对卑贱人性和道德的描写，侧面体现出他重视文学的道德性，认为审美必须遵循伦理道德，遵循社会责任的价值观念。

此外，虽然芥川总体否定自然主义的态度不容置喙，但从“也许是出于对日本自然主义小说厌烦的逆反心理”（4: 683）等描述中亦可窥见，他的文学生活不仅没有与自然主义完全割裂，甚至还将自然主义小说读到了“厌烦”。芥川的幼年时期正是自然主义文学的天下，小说追求“真”的阅读习惯根源上说也来自于自然主义。正因为如此，他才会将自然主义的“真”作为耽美主义（“游荡文学”）追求“美”和人道主义（白桦派文学）追求“善”的出发点（4: 34-35）。总而言之，芥川不是否定自然主义的“真”，而是否定自然主义将“真”奉为绝对唯一价值，以缺失道德的文艺观错误引导文学创作的行为。

### 三、芥川文学中的自然主义作家表述

从芥川的表述来看，他所谓的“自然主义”作家基本限定在活跃于大正文学前一个时期的自然主义作家范围内。这批作家总体在文学理论上奉行自然主义运动时期的自然主义观，大部分在1912年以前已暂露头角。下表罗列了芥川文学中提及的自然主义文学者及其出现频率和表述倾向，包括自然主义运动时期出发的作家和到大正时期为止的自然主义派评论家。<sup>1</sup>此外，对于一部分在当时被看作自然派的作家，芥川反而没有将他们列入自然主义流派中。其中最典型的是永井荷风。芥川在作品中反复提到荷风文学中的美，并嘲笑日本的自然主义者将荷风看作自然主义作家的行为（4: 465），暗中讽刺了自然主义派对“自然主义”一词在定义上的模糊性。



表二 芥川文学中的自然主义文学者表述出现频率及其偏向

1 数据整理规则与表一一致，不再重复说明。



表二中可以看出，出现数多于10篇的作家为德田秋声、正宗白鸟（Hakucho Masamune）、田山花袋、岛崎藤村（Toson Shimazaki）、岩野泡鸣（Homei Iwano）、国木田独步（Doppo Kunikida）、近松秋江（Shuko Chikamatsu）。其中针对田山花袋和岛崎藤村二人的评价明显偏向批判性，而对国木田独步，正宗白鸟，德田秋声<sup>1</sup>的态度则更加积极。此外，芥川对大多数自然主义评论家的评价也不高。这可能与芥川“对文艺评论的不信任”（关口 234）和他与几位自然派评论家的直接交锋等原因有关。

在芥川文学为数不多的日本自然主义作家论中，对国木田独步，正宗白鸟，德田秋声几乎从始至终都是赞赏的态度。芥川认为他们的文学既具备作者的真情实感和真实想法，又具备文章表现力和技巧性，同时也兼顾了伦理道德。例如他认为德田秋声的精神世界里“纵使存在俗世之苦，地狱也没有燃起烈火”（4: 341），肯定了秋声作品中展现出的生活力和人道主义关怀。此外，他还指出“正宗白鸟的厌世主义与武者小路实笃的‘乐天主义’恰好形成了对比，而且二者几乎都是合乎道德的”（4: 341）。可以看出，芥川认为的日本自然主义大家，无一例外都是集“真善美”于一身。其中，对国木田独步和正宗白鸟两人，芥川在晚年的文章中进行了较为深入的探讨。

正宗白鸟被誉为正统派日本自然主义文学作家。作品整体格调灰暗，带有强烈的厌世主义情绪。但白鸟没有因此便彻底失去了对人类和社会的希望。芥川的《续文艺的，太文艺的》（『続文芸のな、余りに文芸のな』，1927）特意提到了白鸟的小说《死者与生者》（『死者生者』，1916）。小说中的所有角色都是典型的底层民众。故事结局，男主人清吉病重去世，店铺也悄无声息地更换了名字，是典型的自然主义式“无解决”“无理想”。但繁重的劳动和疾病的困扰，没有使小说人物变得只能从性欲中获得抚慰，或做出其他违背道德的行为。白鸟通过细致、生动地书写他们的行为和心理特征，展现出知识分子阶层日常所接触不到的、人民群众真实的思维方式和生活实态，且他的文学与部分自然主义文学不同，极少直接描绘人类丑陋的性欲。同时，一如芥川将《死者生者》与描写弱者幻灭的《芋粥》进行对比所暗示的那样，他对白鸟文学中的道德书写和独特人文关怀的精准把握，正是来源于他自身对人道主义的肯定和对伦理道德的重视。国木田独步则是初期日本自然主义文学的代表之一。他时常关注底层民众生活，同情底层民众遭遇，同时又对生活充满希望，强调人应当有所抱负。芥川高度赞赏独步的作品书写出了作者“敏锐的头脑”和“温柔的心”（4: 366）。比起其他自然主义派，独步文学更多直接立足于作者的内心情感，也更真实、更深刻地体现出作家的个人特质。芥川对独步的推崇，既是对独步文学的人文关怀和独步本人的伦理观的肯定，亦是对文

1 提及德田秋声的文章中大约一半左右为私事（例如与秋声的侄子，芥川的一高、大学同学冈荣一郎的交流等）。因此，总体上有关秋声文学本身的作品篇数大约只与独步的篇数相同。

学的伦理艺术本质的肯定。

芥川对文学伦理道德表达的认可，同时也体现在对田山花袋和岛崎藤村的强烈批判中。芥川清楚地知道过度追求真实反而会导致文学伦理道德的低下，因而将“把人类写得过于下贱”作为日本自然主义的最大弊端。他反感田山花袋等人的恶俗描写，高度评价国木田独步的文学特质和人道主义，重视文学的道德价值即“善”。因此，在花袋的文学的主题逐渐从性欲转向对人生、自然的思考后，芥川对他的态度也有了改善。关于岛崎藤村，芥川则在1919年的《大正八年度的文学界》中首次提及《新生》（『新生』，1918-1919），认为《新生》“虽然是叔姪之恋这样的大问题（……）主人公持有肯定态度的心情不能不说太自私了”（4: 38）。到了晚年，芥川更是将《新生》的主人公（以藤村本人为原型）称为“老奸巨猾和伪善的人”（2: 841），并直接写道“果真‘新生’了不成？”（4: 263）。联系《新生》的内容不难想象，芥川对藤村的厌恶源于《新生》中对“真善美”的践踏。藤村以“叔姪之恋这样的大问题”为绝佳题材进行创作，却丝毫不顾及与他发生关系的侄女会遭受社会的何种眼光。他多次在书中描写角色内心的痛苦和道德感上的煎熬，实际上事发后为了逃避责任，他抛下侄女只身去了法国。《新生》不仅在本质上违背了自然主义所要求的“真实”，更是违背了文学作品本应表达的“善”。

文学伦理学批评从起源上把文学看成道德的产物。<sup>1</sup>缺少“真”和“善”的文学即便在表达技巧上炉火纯青，本质上也是与伦理道德脱节的。芥川曾批判被旧道德神化的所谓烈子孝女故事是“故意掩盖人性”（4: 97），不是真实的“道德”。只有由内而外、发自内心的伦理道德表达，才是真正的文学伦理道德书写。《新生》中所谓的“道德煎熬”只能是单纯“伪善”，是有悖伦理道德的。芥川对藤村和《新生》的否定，昭示出他对文学的伦理本质的深刻认知。

#### 四、结语

通过整理芥川文学中的自然主义表述，可以发现芥川既批判日本自然主义文学，也承认其进步意义的一面；同时，对不同的日本自然主义派作家，芥川也持不同的态度。总体来说，他借以批判或肯定某种文学的标准是“真善美”的三位一体，这也构成了芥川文学伦理价值观的主要内容。后期他频繁提及的几位自然主义作家均是“真善美”的完美体现。而这一标准成立的基础之一，正是自然主义提倡的文学之“真”。可以说，近代日本文学若没有自然主义的“真”，就不会出现追求“善”和“美”的风潮，自然也不会产生随后的“真善美”三者一体的倾向。因此，芥川文学对伦理道德的重视，从本质上来说是自然主义文学影响下的产物，是对自然主义的“对抗式勾结”（松本177）。然而，自然主义将“真”作为唯一标准，几乎完全忽略了“美”和“善”的

1 参见 聂珍钊：《文学伦理学批评导论》，北京：北京大学出版社，2014年，第7页。

存在。芥川认为文学不应该止于自然主义式的“真”或“暴露”，而是“真善美”三者的并驾齐驱。也就是说，他否定的对象并非自然主义的“真”，而是自然主义将“真”奉为绝对唯一的价值。“真实”固然是文学的一种属性，但当这种属性成为绝对性标准时，文学作为伦理产物的本质便会被掩盖。文学是道德的产物，文学在本质上是伦理的艺术。<sup>1</sup> 为了追求所谓的“真实”，不惜抛弃社会和人类共同遵守的伦理和道德准则，这也是文学伦理学批评所坚决反对的。

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# The Reconstruction of Working-Class Ethical Identity in Raymond Williams' Idea of Adult Literary Education

Sun Yanping & Zhou Chengyi

**Abstract:** As an active promoter of adult education, Raymond Williams has attracted academic attention recently for his contribution to British adult education. However, few scholarly discussions have examined his emphasis on literary education in the realm of adult education and its ethical significance in constructing a working-class ethical identity. Williams discerned a misrepresentation of working-class identity, either as a mere “machine” of the labour force or as a passive consumer of culture devoid of rational will, akin to an animal. This erroneous construction is closely tied to the neglect of literary education in working-class education following industrialization. The profession-oriented education failed to incorporate literary enlightenment, depriving workers of their entitlement to ethical insights from literature. The adult literary education spearheaded by Cambridge elites didn't solve the problem, identifying the working class as a mass devoid of rationality for literary criticism or creation, relegated to a status subordinate to animalistic instincts. Williams, in his endeavour to destigmatize the working class from the “mob” and distinguish popular culture from industrial civilization, attempted to reconstruct a working-class ethical identity characterized by rationality, creativity, and initiative. To achieve this goal, Williams envisioned an adult literary education focusing on the practical skill of criticism and remaining open to popular culture across various media. Through these ways, Williams emphasized the intellectual and aesthetic potential inherent in the working class, and advocated for their active involvement in the creation of a dynamic and inclusive common culture, one not only shared but co-constructed by all.

**Keywords:** Raymond Williams; ethical identity; adult literary education; Sphinx factor

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**标题：**雷蒙德·威廉斯成人文学教育观中的工人阶级伦理身份重塑

**内容摘要：**作为成人教育的积极推动者，雷蒙德·威廉斯近来因其对英国成人教育的贡献而受到学术界的关注。然而，研究者很少深入探讨他在成人教育中重视文学教育的原因及其构建工人阶级伦理身份的伦理意义。威廉斯发现过去的教育对工人阶级身份的塑造一直是错误的、扭曲的。工人阶级群体或被视为劳动力“机器”，或被看作充满兽性的、缺乏理性意志的、被动的文化消费者。他意识到，这种错误的身份建构与工业革命以来工人阶级教育中文学教育的缺失密切相关：职业化、技能化的教育未能融入文学的启蒙，剥夺了工人从文学中获取伦理洞见的权利。而由剑桥精英主导的成人文学教育也未能有效解决这一问题。他们认为工人阶级缺乏文学鉴赏、文学批评与文学创作能力，只会遵从兽性本能。威廉斯试图解开精英语境下工人阶级与“暴民”的勾连，区分大众文化与工业文明，以此重构一个以具有理性、创造力和主动性的工人阶级伦理身份。为实现这一目标，威廉斯形成了自己的成人文学教育观，在融入不同媒体的大众文化的同时专注于培养工人阶级实用批评的能力。由此，威廉斯肯定了工人阶级的智性与审美潜力，呼吁他们积极创造一个多样包容、共享共建的共同文化。

**关键词：**雷蒙德·威廉斯；伦理身份；成人文学教育；斯芬克斯因子

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## Introduction

Raymond Williams, a prominent British cultural critic and theorist, is widely recognised for his substantial contributions to cultural criticism. While his insights have been instrumental in shaping the theory of cultural criticism, however, his ideas on education only garnered scattered attention until lately. In 2020, *Raymond and Education: History, Culture, Democracy*, the first monograph exploring Williams' educational philosophy systematically came out. In the monograph, the author Ian Menter concludes Williams' view on education as pervasive (non-selective), comprehensive, responsive and democratic. As Menter observes, Williams keenly engaged in various educational activities with a particular focus on adult education throughout his lifetime. His exploration of and contribution to adult education has usually been unavoidable parts while addressing his view on education.

Literature, as Menter suggests, is indispensable in Williams' educational career.

In his fourteen-year teaching experience in adult education, Williams not only designed a literary syllabus for the working class<sup>1</sup> but also took text-reading and literary analysis as the most important skill to teach and train<sup>2</sup>. During his career, Williams kept reflecting on the significance of literature in education and practising literary criticism, which suggests his strong passion for literature and approval of its value. After returning to Cambridge, he continued to teach drama and applied his educational theories in literary teaching practice. It is not exaggerated to say that literary education is a clue running through Williams' life.

While various scholars have explored Raymond Williams' educational philosophy, few have specifically examined the role and significance of literature in his adult education initiatives. Notably, John McIlroy identifies the intellectual influences of Cambridge literary studies and the "broad, left, literary culture" (8) of Marxism as motivating his deep involvement in adult education. Li Li, considering Williams as a member of the early Birmingham School, acknowledges that he "challenged traditional literary education" (198) and substantially contributed to education through cultural studies. However, scant attention has been dedicated to unravelling the specific importance of literature in Williams' adult education or probing into the reasons underpinning his decision to place literature education at the core of this endeavour. Williams' insistence on teaching literature to the working class is often simplistically linked to his personal passion or perceived as an enlightened move toward fostering a richer common culture, akin to the efforts of his predecessors among the Scrutineers. A more nuanced exploration of the motivations and impacts of Williams' emphasis on literature in adult education awaits scholarly attention.

The discussion of Williams' adult literary education should not avoid his treatment of ethical identities and ethical choices, as his own ethical identity shifted from a working-class scholarship boy to a middle-class intellectual. Without a study of his idea about the working-class identity, it is easy to find self-contradictory standpoints in Williams' theories, for example, his passion for enabling working-class readers to discern good writings contrasting to his support for popular culture. It may also help to answer the lasting question of how to bridge the "high

1 In *Reading and Criticism* (1950), Williams sets out a suggested syllabus for a four-year program of study, three years of which are about literature readings and criticism. See Ian Menter, *Raymond Williams and Education: History, Culture, Democracy*, London: Bloomsbury, 2022, 84.

2 Lisa Rabin believed his early teaching made connections between service learning and literature education. See Lisa Rabin, "Literacy Narratives for Social Change: Making Connections between Service-Learning and Literature Education," *Enculturation* 1 (2008). Available at: <http://enculturation.gmu.edu/6.1/rabin>.

culture” and “mass culture,” which still puzzles contemporary scholars. Entering the academic field and adult education with an ideal to serve the interest of the working class, Williams was facing one crucial problem, the inauthentic, biased and slanderous impression of the working-class identity. He found the huge discrepancy between the working class in the academic’s eyes and those in his life when he failed to find the “lack of quality” in his working-class family and friends. After criticizing the capital ethics of alienation in the professionalism of working-class education and reflecting on the condescending adult education led by middle-class elites, Williams established his way of adult literary education that helped reconstruct a new identity for the working-class group.

### **The Working Class as a Mechanical Labour Force in the Profession-Oriented Working-Class Education Lacking Literature**

According to Williams, three general purposes intertwined with each other in actual education systems, “[...] first, the accepted behaviour and values of his society; second, the general knowledge and attitudes appropriate to an educated man, and third, a particular skill by which he will earn his living and contribute to the welfare of his society” (Long 147). However, he found that, in mid-20<sup>th</sup> century Britain, the third purpose of utilitarian skill training gradually became the primary one for working-class education, echoing the trend of professionalization in all walks of life. This shift deprived the majority of the working class of a fair opportunity to learn literature and treated them as a mechanical labour force without individual identity.

Professionalization is a process through which a particular occupation or field develops and establishes itself as a distinct and recognized profession. The development of professionalization caters for the needs of industry for specialized personnel who are familiar with certain complex technical processes. In Britain, the number of professionalized occupations increased rapidly in the first half-century, and more than half of professional qualifying associations were established after 1900.<sup>1</sup> Professionalization brought the working-class people under regulation and examination: their professional competencies were to be tested, and certificates of training and education were required.<sup>2</sup> Thus, the demand for technique-oriented and

1 According to the statistics from a 1967 table, 22 associations among 43 were established between 1900 to 1952. See David Hickson and Martin Thomas, “Professionalization in Britain: A Preliminary Measurement,” *Sociology* 1 (1969): 47.

2 “Competence tested” and “Training and Education” are listed as one of the professional characteristics in a table of “professionalization items and scale values” in a study on professionalization in Britain. See David Hickson and Martin Thomas, “Professionalization in Britain: A Preliminary Measurement,” *Sociology* 1 (1969): 41.

profession-oriented education arose.

The natural connection between professionalization with industrialization decides its downsides concerning utilitarianism and specialization, which attracted criticism from humanists, including Williams. In the 1958 article “Culture is Ordinary,” Williams announced his disagreement against the professionalization purpose of education:

I cannot accept that education is training for jobs, or for making useful citizens (that is, fitting into this system). It is a society’s confirmation of its common meanings and of the human skills for their amendment. Jobs follow from this confirmation: the purpose, and then the working skill. We are moving into an economy where we shall need many more highly trained specialists. For this precise reason, I ask for a common education that will give our society its cohesion, and prevent it from disintegrating into a series of specialist departments, the nation become[s] a firm. (99)

For Williams, education is “a process of becoming: the experiential process through which individual identities are shaped and formed” (Menter 27). By comparing nation with firm, Williams critically pointed out the ethic of capitalism that takes profit and economy as the overarching goal, which neglects the individual identities students possess. Under such an ethic the absence or deficiency of literary education became an evident situation for working-class adults, as the learning of literature was considered irrelevant and helpless to the efficiency of industrial production. Although the significance of literature had never been overshadowed by utilitarianism, the field of literature had been separated from the working-class group before Williams’ time.

The professionalization of literary criticism led to a deficiency in literary education for the working class. Williams realized that with the professionalism creeping to literary education, the right of literary criticism was confined to high education institutions, which repelled the majority group of the working class: “A large part of important modern literature [...] has been communicated through the institutions or this minority public” (Williams, *Long* 267), and the working-class people “have little or no contact with the work of literary critics” (Williams, *Reading* 5). That’s why Williams announced his rejection of the specialization of literature in a 1977 interview: “The key moment, perhaps, was my rejection of literary criticism: not only as an academic subject but as an intellectual discipline [...] I don’t believe, in a simple way, in the specialization of literature” (qtd. in Higgins

144). For Williams, professionalization and institutionalization of literature made literary criticism a profession only accessible to critics, and thus deprived others of the right to learn about how to read maturely, blocking the light of literary education to reach working-class people.

The profit-oriented and competitive ethics of capitalism also appeared in secondary education, contaminating the non-utilitarian purpose of literary education for working-class juveniles. In Williams' half-autobiographical novel *Border Country* (1960), grammar schools that majorly teach Latin language and literature became a representative institution of literary education in Britain preparing working-class students for more advanced studies in literature and humanities. However, these formal and institutionalized patterns of education worked less to bring up cultured men than to equip them with basic professional abilities of reading and writing to acquire a middle-class position. The education was selective and competitive, offering working-class boys exceptional educational opportunities for upward mobility. Moreover, the boys who were selected would face an identity crisis. When their education dragged them out from the working-class background, they usually failed to fit in the new middle-class environment. As a "scholarship boy" who entered the teaching profession through the examination system of teaching and learning, Williams emphasized the negative side of selective education that "deracinates" (Menter 38) a working-class individual from his roots and culture. Although these students represented by Williams acquired professional abilities to appreciate literature and its significance, they suffered from losing their working-class identity when they struggled to identify themselves with a middle-class profession. And by deracinating those educated boys from their birth class, the secondary education deprived working class of their position in the literary field.

The problem of separation between the working class and literature highlighted by Williams foregrounds the issue of working-class ethical identity in mid-20<sup>th</sup> century British society. As F. R. Leavis located literature as the centre of the Humanities, literary education had been considered critical in the formation of human character and ethical identity. According to Ethical Literary Criticism, ethical value is the core value of literature, encapsulating all other values of literature, such as aesthetic value.<sup>1</sup> The fundamental function of literature is moral teaching, through which the readers find a way to make ethical choices and grow into moral beings. Through reading literature, one acquires rationality. However, in the utilitarian

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1 See Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 190-191; Nie Zhenzhao, "The Scientific Turn of Humanities Studies," *Interdisciplinary Studies of Literature* 4 (2022): 563-568.



ethics of capitalism, the working-class group was confined to their professions and diminished into “machines,” for whom labour and production became the only purpose of existence, without any consideration of ethics. The deprivation of literature indicates the neglect of the working-class necessity to be endowed with ethical enlightenment, simplifying working-class identity into a mechanical labour force.

It was under such a circumstance that modern adult education was adapted to equip working-class adults with fundamental literacy to read and write as well as moral sensibility. Scrutineers follow the tradition of Mathew Arnold and T. S. Eliot to pursue a common culture of “sweetness and light,” endeavouring to revive the wasteland taken by industrialization. Nevertheless, Williams noticed that their common culture failed to give an impartial working-class identity, when those elites still underestimated working-class ability to approach serious literature, and equalled the majority with mobs, popular culture with industrialized culture.

#### **The Working Class as “Animal” in Elite-Led Adult Literary Education**

Although the history of adult education in Britain can be traced back to Medieval times, it was the establishment of the Workers’ Educational Association (WEA) in 1903 marked the milestone in providing adult education to workers. Raymond Williams was a strong supporter of adult education for workers. In Cambridge, young Williams had already demonstrated a firm dedication to the significance of adult education; in the late 1940s, he began to serve as a tutor for the WEA, and devoted 14 years of his teaching career to adult education, which he believed could provide educational opportunities to workers who were beyond the age of school or college. Not long after he entered the field, Williams added many courses in literature and arts to the curriculum. He hoped to serve the interest of the working class by equipping them with “emancipatory knowledge for the extension of working-class democracy and the best of working-class culture” (McIlroy 14) through the humanities from which the workers had been excluded in their youth.

Williams’ passion for adult education partly stemmed from the aspirations of the Cambridge humanists represented by Leavis, who envisioned a common culture shared and accessible to all. Hoping to build a better culture to replace the industrial one, the intellectual elites before Williams keenly made contributions to the literary teaching of adult education. The Leavises, Denys Thompson, D. W. Harding, one of the editors of *Scrutiny*, all devoted to the development of literature teaching in



the WEA.<sup>1</sup> By introducing practical criticism, the scrutineers countered literary historians' treatment of literature as an extension of social history, insisting "there is only one approach to a study of literature and that is through a study of words" (Phelps 75). It is on the foundation made by those elites that Williams set his life goal to contribute to working-class education.

However, Williams soon found the purpose of his elite predecessors went awry with his own. While he proposed to extend adult literary education "so that both writers and audiences can come through in their own terms" (Long 270) to avoid the monopoly of minority groups in literary criticism, and to construct a knowable community of true working-class culture, the elite-led adult education only serves to preserve "the best of the existing high minority culture" (McIlroy 15). For the Scrutineers, literary teaching in adult education was but a process of "simply the transmission of the received body of intellectual and imaginative work to working-class people" (McIlroy 307), which neither enabled workers' mind to approach literature initiatively nor equipped them with ability to create their own literature. Although the literature was open to them, the separation between literature and the working class remained.

While industrialization split workers and literature in a real sense, the elites separated them in a conceptual sense, when they put "the minority culture" of literature as an entity that cannot be constructed by the majority of the working class. The separation was established on the wide-acknowledged concept of "the lowness of taste and habit" (Williams, "Culture is Ordinary" 96) of the working-class group. As the primary consumers and recipients of industrial civilization and cultural industries, the working class was often portrayed as indulging in the imagery of cheap pleasures, seemingly lacking the discerning ability for critical reflection on the cultural industry and consumer society. Within the opinions of the elites in early modern Britain, there existed a prevailing notion that the working class could not discern art with a reflective and critical nature, and they were perceived to have a deficiency in their ability to create serious literary works. One of the representative ideas is from Leavis, for whom literature, as the centre of humanistic education, is antagonistic to mass civilization, which in his

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1 For further details about Scrutineers' contribution to literary teaching in adult education, see P. W. Musgrave, "Scrutiny and Education," *British Journal of Educational Studies* 3 (1973): 253-276; McIlroy John, "Teacher, Critic, Explorer," *Raymond Williams: Politics, Education, Letters*, edited by John Morgan and Peter Preston, London: Palgrave Macmillan, 1993, 14-46; Poole Herbert Edmund. *The Teaching of Literature in the WEA*, London: British Institute of Adult Education, 1938.

understanding basically equals industrial civilization: “the prospects of culture, then, are very dark. There is the less room for hope in that a standardized civilization is rapidly enveloping the whole world” (Leavis 169). As Williams observes, “[...] ‘cheap literature’ has been compromised by its use as a form of class distinction” (Long 169). The popular culture including film, magazines and newspapers was regarded as evidence of the majority’s deficiency in critical thinking. A dearth of literary criticism produced by the working class is also perceived, framing them as participants in a culture of mass consumption rather than as discerning connoisseurs or producers of literary art. For such reasons, the working class had been primarily treated as passive recipients rather than active contributors to the cultural and literary landscape in the elite-led common culture.

Williams vehemently rejected the perspective of the Scrutineers regarding the working class, asserting that they had conflated and confused certain concepts, thereby revealing biases and misunderstandings about the identity of the working class. Firstly, Williams contended that the equation of the majority of the working class with the term “mob” was a misjudgement. He further challenged the assumption that ordinary people conform to a stereotypical description of being “low and trivial in taste and habit,” arguing that “this lowness is not inherent in ordinary people” (“Culture is Ordinary” 96). He highlighted that the college elites, influenced by Arnoldian thought, inaccurately equated the working class with the “mob,” a term used by Mathew Arnold to refer to the collective masses or common people within a society, implying a lack of sophistication or refinement in their tastes, habits, and cultural pursuits. The equation positions the working-class mass in opposition to the “minority culture” pursued by intellectuals “expressing the finest consciousness of the age” (Leavis 164). This binary opposition perpetuates a divisive characterization of the working class as antithetical to the intellectual pursuits of a privileged few.

Moreover, Williams believed the elites’ equation of mass popular culture with industrial civilization was also not an accurate representation of reality. He contended that the prevalent vulgar and lowbrow nature of popular culture during that time did not authentically reflect the lives and sentiments of the working class, and challenged the assumption that the observable shortcomings of widely distributed popular culture can serve as a true guide to the state of mind and quality of life of its consumers. Contrary to this perspective, Williams, through his interactions with the working class in their everyday lives, discovered a more nuanced reality. He noted, “I found as much natural fineness of feeling, as much quick discrimination, as much clear grasp of ideas within the range of experience as

I have found anywhere” (“Culture is Ordinary” 97). Furthermore, Williams observed cultural progress among the majority: “The editions of good literature are very much larger than they were; the listeners to good music are much more numerous than they were; the number of people who look at good visual art is larger than it has ever been. we live in an expanding culture, and all the elements of this culture are themselves expanding” (“Culture is Ordinary” 98). He argued for a re-evaluation of popular culture, suggesting that it should be seen as a fluid and evolving entity, not inevitably dictated by industrial civilization. Williams asserted that popular culture has the potential to authentically represent the lives and experiences of the working class while encompassing refined tastes and sensibilities. Thus, he challenged the elitist perception of popular culture as a monolithic and degrading force, emphasizing its capacity for diversity and growth within the broader cultural landscape.

Williams’ reflection addresses the core issue of elitism within the Leavisian conception of adult literary education, highlighting a fundamental ethical problem—the failure to regard the working-class collective as rational and wilful individuals, instead reducing them to subjugated beings driven solely by desire. Ethical literary criticism recognizes the coexistence of the “animal factor” and “human factor” in individuals, which combines to form the “Sphinx factor” (Nie, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection” 398). The animal factor manifests in natural will and free will, where natural will represents innate willpower and instinctive reactions, while free will arises from unbounded desires. Conversely, the human factor manifests as rational will, guiding individuals to make ethical choices. The elitism perspective, equating the working class to a mindless mob succumbing to natural and free will, oversimplifies their nature. This reductionist view neglects the rational foundation of working-class humanity, denying their capacity to restrain their animalistic instincts and appreciate literature with complex ethical significance. By emphasizing the uncultivated animal side and downplaying their rational “human” side, the elites perceive the working class as “masses to save, to capture, or to direct” (Williams, “Culture is Ordinary” 102). This biased view not only fails elite-led adult literary education but also hinders the realization of a shared cultural ideal. The authentic working class possesses its intellectual autonomy, resisting the imposition of elite culture through indoctrinatory methods.

Realizing the elite’s tendency to regard the working class as uncivilized “animals,” Williams endeavoured to reshape the ethical identity of the working class within adult literary education. He positioned the working class in a more initiative and active role, contending that they, like intellectuals, possess the ability

to think critically and appreciate literature, with the potential to elevate their cultural sensibilities. Williams believed that these inherent capabilities can be harnessed and stimulated through appropriate approaches to literary education. In his effort to challenge the dehumanizing perspectives held by the elite, Williams advocated for a more inclusive and empowering narrative that recognizes the intellectual and aesthetic potential of the working class, through which he manifested the working-class ethical identity as “human.”

### **The Working Class as “Human” in Williams’ Adult Literary Education**

Williams believed that literary education should contribute to the formation of working-class identity by emancipating itself from the monopoly of professionalism and elite institutions, enabling moral teaching with the change of ethical environment, and constructing a common culture with the political and aesthetic engagement of the working class.

Firstly, Raymond Williams conducted a historical examination of the reading public to disentangle the working class from the stereotype of a mob indulging solely in the consumption of cheap and ephemeral literature. He contended that indulgent reading is not exclusive to the working class, asserting that “I doubt if any educated person has not used books – any books – in this way [of ‘reading as addiction’]” (*Long* 172). Correspondingly, he suggested that “The kind of attention required by serious literature is both personally and socially only variously possible” (*Long* 172). Essentially, every reader, regardless of class, has the potential to read for entertainment while possessing the capacity for serious engagement with literature. These dual reading approaches mirror the two facets of the Sphinx factor, where indulgent and leisurely reading, driven by free will, reflects an aspect of the animal factor, while mature reading, guided by rational will, represents a part of the human factor. Just as the animal factor is an integral aspect of the human factor, leisure and critical reading, entertainment and education are inseparable facets of life. “The modern separation of pleasure and learning, rationalised into the alienated categories (which then acquire their appropriate methods) of entertainment and instruction, has been very damaging to our ideas of art and, it may be said, of education” (Williams, *Long* 385). Consequently, one should not demonize or negate the animalistic aspect entirely, nor should it be generalized as an innate weakness of the working class. Through this perspective, the ethical identity of the working class as “human” is restored.

Furthermore, Raymond Williams dissolved the opposition between popular culture and serious literature by disentangling popular culture from industrial

civilization, thereby liberating the identity of the working class from the shackles of industrial civilization. When examining the history of reading, Williams emphasized the blurred boundary between popular culture and serious literature: “The disparity in value is not evidence of a fundamentally different practice and intention, especially since we find not only great art and bad art, but a range of infinite gradations between these, with no obvious line where a difference in kind can be drawn” (*Long* 45). The discussion indicates that both popular culture and serious literature are fluid and open categories that transform with the changes in societal history, and they should not be directly linked to the human character, human factor, or animal factor of a particular group. While discussing I. A. Richards’ experiments in practical criticism, Williams challenged the notion that scholarship alone can define the canon, emphasizing the importance of critical judgment as a condition for retaining the defining idea of literature: “He [Richards] showed that even highly trained students could be taught the canon but could not in majority produce for themselves its implicit valuations. [...] Literature came to be paired with Criticism [...] scholarship could not itself establish the literary canon [...] critical judgement -had to be taught as the condition of retaining the defining idea of Literature” (*Writing* 193). The canon, as Williams suggested, is not something to be extended to the masses as “a ready-made culture” but, rather, an evolving entity that changes as it is extended, and some may be “peered” or “radically criticized” (“Culture is Ordinary” 100). Williams did not advocate for a clear definition and scope of canon, but believed that the canon is distinguishable, with standards that can be constructed with the participation of the working class. Although his ambiguous stance on canon causes controversy among scholars<sup>1</sup>, his perspective emphasizes the dynamic nature of the canon and underscores the idea that the construction of standards requires the active involvement of diverse voices, including those of the working class.

Therefore, after liberating the working class from the inauthentic ethical identities of “machine” and “animal,” and restoring it to that of “human,” Raymond Williams’ vision of adult literary education seeks to imbue it with a more dynamic significance—a role of participant and contributor to a common culture. In contrast to figures like Matthew Arnold, F. R. Leavis, and T. S. Eliot, whose concepts of common culture do not involve the broader public as active contributors, Williams introduces the notion of co-creation. As Terry Eagleton succinctly puts it, “For Williams, a common culture is one which is continuously remade and redefined by the collective practice of its members, not one in which values framed by the

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1 On the argument about Williams’ view on canon and de-canonization, see Yin Qiping, “Canonization and Canonicity,” *Chinese Frontier of Language and Literature* 1 (2013): 140-147.

few are taken over and passively lived by the many. For this, he prefers the term ‘culture in common’” (119). Williams, therefore, placed significant emphasis on the public’s ability to actively participate in shaping and reshaping a common culture. His approach to adult literary education reflects a commitment to these aims, recognizing the potential of individuals not just as consumers but as active participants and creators within a common cultural landscape.

In pursuit of realizing the ideal of active participation by the working class in the co-creation of a common culture, Williams’ approach to adult literary education manifests two distinct characteristics, a primary focus on the cultivation of practical critical abilities and an open attitude toward mass media, which respectively dealt with capacity and motivation of the working-class group. Practical criticism, a concept introduced by I. A. Richards in his eponymous work, underscores the significance of cultivating critical abilities. Later, scholars of Scrutiny developed this concept into the method known as close reading, which involves isolating texts for thorough examination, focusing on semantic and structural analyses. This approach represents a paradigm shift, challenging the traditional emphasis on knowledge transmission in educational practices. As Menter observes, Williams agreed with Scrutineers in their valuation of critical ability, prioritising practical criticism over the transmission of knowledge of literature: “In its close focus on reading, Williams is emphasizing the importance of skills in textual analysis. It is not his students’ knowledge of literature, its history or its social significance on which he is concentrating; he is more concerned with the development of their skills” (83). His emphasis on practical criticism aims at improving working-class capacity in common culture contribution. Rooted in human rational will, practical criticism serves to amplify the human factor while subduing the animal factor. This capacity, when honed, aids working-class readers in making ethical choices during reading, wherein their current life experiences and ethical frameworks inform the interpretation of textual meaning.

However, to engage the working class in cultural contribution requires not only competent capacity but intrinsic motivation, which could hardly be aroused in close reading of isolated literary texts. Williams’ approach to adult literary education extends beyond the conventional emphasis on textual analysis by urging an examination of texts within their cultural context. He identified a potential drawback in the emphasis on isolated close readings, warning of the risk of textual isolation and detachment from societal contexts: “Any enquiry into the reading of literature, or into the present position of any of the arts, has a danger of becoming no more than marginal, unless the cultural atmosphere in which all the arts exist is recognised

in the discussion” (*Reading and Criticism* 1). Williams, therefore, advocated for an integration of life experiences and cultural backgrounds into the process of close reading, challenging the notion of a detached analysis. This approach also echoes Williams’ emphasis on adult literary education instead of juvenile literary education, as the engagement with serious literature, often dealing with specifically “adult experiences,” and “a school boy, however well instructed, could not be expected to respond adequately to it” (Williams, *Reading* 6). This perspective was later developed by Raymond Williams in *Marxism and Literature* (1977) into the “structure of feeling” theory, arguing that the most crucial characteristic of literature is its reflection of the “structure of feeling” of a particular era, closely intertwined with the culture that serves as a way of life.

Due to his attention to the connection between close reading of texts and their cultural contexts, Williams adopted an open and inclusive attitude towards mass media culture in his teaching. As Williams observed in *Writing in Society* (1983), new media such as radio, television and film changed the relations between writing, print and silent reading which had been taken for granted in literary studies.<sup>1</sup> This observation has shown evidence in his adult literary education curriculum in the 1950s, where Williams not only focused on traditional literary forms such as poetry, drama, and fiction but also incorporated elements of popular culture like newspaper extracts and advertisements for “pre-literary analysis” (*Reading and Criticism* 137).<sup>2</sup> He believed that these aspects of popular culture were closer to the everyday lives of the working class than serious literature, and integrating popular culture as life experiences into art can captivate readers’ interest, facilitate understanding, and enhance the effectiveness of critical training. In *The Long Revolution* (1961), Williams emphasized the crucial role of communication in art: “It is the characteristic of aesthetic theory that it tacitly excludes communication, as a social fact. Yet communication is the crux of art, for any adequate description of experience must be more than simple transmission; it must also include reception and response” (45-46).<sup>3</sup> He posited that influenced by traditional aesthetic theories,

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1 Williams observed that new media such as radio, television and film changed the relations between writing, print and silent reading which had been taken for granted in literary studies. For a more detailed discussion, see Raymond Williams, *Writing in Society*, London: Verso, 1983, 6.

2 Williams designed a draft syllabus for a four-year study of literature reading. For details, see Raymond Williams, *Reading and Criticism*, London: Frederick Muller Ltd, 1950.

3 Williams viewed the success of communication and experience conveyance as indispensable criteria of successful art which requires efforts from both the artist and the reader. For a more detailed discussion, see Raymond Williams, *The Long Revolution*, Harmondsworth: Penguin Books, 1961, 45-51.



literary education neglected the reception and response of students, predominantly prioritizing serious literature and overlooking the disparities between serious literature and working-class life experiences. The neglect left the working class to face challenges in genuinely embracing serious literature, which had been confined within the cultural domain of a select few. In critiquing the prevailing literary pedagogy, Williams underscored the need for a more inclusive approach that acknowledges the diversity of readers' experiences and actively considers their responses. This critique forms a foundational element in Williams' broader advocacy for a re-evaluation of literary education to better align with the realities and varied perspectives of readers from different social backgrounds.

Consequently, Williams recognized the transformative power of new media, such as radio, television, and film, which intimately connect with people's common life and inject fresh perspectives into writing and reading. By starting with texts like advertisements, popular novels, and news articles that closely align with the life experiences of the working class, Williams believed that readers can more easily approach criticism, preparing them for more advanced and serious reading. Moreover, Williams's emphasis on reader acceptance and interaction is reflected in a shift in teaching methodology from a traditional teacher-led approach to a more participatory discussion model: "because he sought to develop the students' critical skills rather than to 'fill them with knowledge', the basis of his classes, especially in literature, should be that the students were provided with reading and that they should then learn through student-initiated discussion" (Menter 19). For Williams, film and other media have become indispensable elements of living culture, and only by understanding and analysing these emerging media beyond a consumerist perspective can the working class authentically create literature that reflects their life experiences. Williams emphasized the importance of transcending a passive consumption of media and, instead, actively engaging with it as a means to enrich the cultural and literary expressions of the working class. In this way, he envisioned a literature that emerges organically from the lived experiences and creative identity of the working class, embracing the evolving dynamics of contemporary culture. Williams' shift to such a critical pedagogy positively reflects his hope to build a more initiative role for the working class in common culture co-construction by equipping them with the capability and motivation to engage in the critique and construction of serious working-class literature.

### **Conclusion**

Facing the misrepresentation of the working-class ethical identity as a mere

mechanical labour force or passive masses full of animality, Raymond Williams identified the absence of literary education and inappropriate manner as pivotal factors. Criticizing the practice of profession-oriented working-class education that severs literature from the working class, he further reflected on the Cambridge Scrutineers' attitude that posits the working class against literature as high art. Williams, in dismantling this separation and opposition, formulated his concept of adult literary education. Through the integration of close reading techniques and a closer engagement with working-class life experiences through popular culture, he aimed to cultivate workers' abilities of practical criticism, and thus reshape the ethical identity of the working class as rational, creative, initiative, and participatory "humans" contributing to a common culture. The ethical implications underlying Williams' conception of literary criticism as the foundation of adult education are profound. As literature provides ethical guidance and strengthens rational will, it shapes the ethical identity of individuals capable of ethical choices. Considering the working class as unrelated to or incapable of appreciating literature implies a denial of their ethical identity as "humans." By emphasizing the crucial role of literary education in adult education, Williams reaffirmed the working class's ethical identity as "humans," and their intellectual and aesthetic potential within the "human factor." In the context of contemporary China, where popular culture thrives while literary criticism remains confined to academic institutions, Williams' insights into adult literary education offer valuable inspiration for the construction of a dynamic, inclusive, and participatory culture.

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# African American Heroism in the Educational Ethical Predicament in *The Autobiography of Miss Jane Pittman*

**Kong Yuan**

**Abstract:** Education has a direct correlation with the advancement of racial equality, gender equality, class equality, and moral development among individuals of African descent. It consistently emerges as a prominent theme in the lives, thoughts, and protests of African Americans. Ernest Gaines, a contemporary African American writer, dedicated his efforts to depicting African American heroes. His notable work, *The Autobiography of Miss Jane Pittman*, explores the ethical predicament surrounding education in the South, the ethical choices made by African American heroes, and the impact of heroism on African American education. Gaines' portrayal of heroism within the educational struggles faced by African Americans unveils its profound influence in liberating their minds and addressing the internal and external challenges of their education.

**Keywords:** Ernest Gaines; *The Autobiography of Miss Jane Pittman*; heroism; African American education; ethical predicament

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**标题:** 论《简·皮特曼小姐的自传》中教育伦理困境中的美国非裔英雄主义

**内容摘要:** 教育直接关系到美国非裔的种族地位、阶级平等及伦理道德的发展，是美国非裔的日常生活和权利争取中始终如一的主题。当代美国非裔作家欧内斯特·盖恩斯致力于刻画美国非裔英雄，其代表作《简·皮特曼小姐的自传》诠释了美国非裔教育伦理困境中英雄主义的缺失、美国非裔英雄主义的表征以及英雄主义对美国非裔教育的影响。盖恩斯对美国非裔教育中的英雄主义的演绎，揭示了英雄主义在解放美国非裔的思想、解决美国非裔教育的内外困境。

**关键词:** 欧内斯特·盖恩斯；《简·皮特曼小姐的自传》；英雄主义；美国非裔教育；伦理困境

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Gaines' classic work, *The Autobiography of Miss Jane Pittman* (1971), is a masterpiece of heroism, winning both the Pulitzer Prize and the National Book Award upon its publication. Previous studies of this work have explored its heroism to varying degrees, primarily focusing on the protagonist, Jane Pittman, with less attention given to the secondary character, the black teacher Ned. A closer examination of the text reveals that Ned is the most heroic character, permeating the entire novel and significantly shaping the values and moral qualities of the protagonist and other characters. He embodies the heroism inherent in African American heroes of “ris[ing] above humble origins to achieve personal success, but even more important was their public devotion to their racially defined communities” (Carroll 206). Gaines keenly felt the injustice within the ethical order of Southern education. He also deeply understood the profound impact of education on the spiritual liberation, moral development, and overall advancement of the African American community, so education is the most prominent theme in his works. This idea resonates in Gaines' works, where Southern black individuals, represented by Ned, pay the ultimate price in the face of intense racial threats, to address the marginalization of black education. They demonstrate the value of heroism in times of crisis and adversity.

According to the mythologist Joseph Campbell, heroism embodies the “monomyth” pattern, which consists of the stages of “separation-initiation-return” (24). Heroism researchers Allison and Goethals further elaborate on this pattern, emphasizing the core concept of transformation: changes in the environment, changes in the individual, and changes in society. They assert, “without a change in setting, the hero cannot change herself, and without a change in herself, the hero cannot change the world” (Allison and Goethals 381). These scholars advocate for the idea that the environment influences the construction of a hero's identity, aligning with the literary ethical criticism's notion that “an understanding of literature historical periods and is circumscribed with particular ethical contexts must return it to its ethical environment or ethical context” (Nie, *Introduction to Ethical Literary Criticism* 256). Gaines, by portraying the ethical dilemma of

marginalized African American education in the American South, elucidates the impact of the environment on the construction of heroism and the significance of heroism in relation to education. In a backward racial environment of Southern education, African Americans awakened to their educational consciousness and fearlessly journeyed northward in search of education. After receiving an education in the North, these individuals, as heroes, made the ethical choice<sup>1</sup> to return to the South and courageously engage in reforming African American education. Their sacrifices ultimately awakened the ordinary African American populace, transforming them into community heroes and playing a vital role in the liberation of thought and the improvement of African American educational ideals. Gaines uses the education of African Americans in the late 19<sup>th</sup> and early 20<sup>th</sup> centuries in the American South to shed light on the history of African American education, marked by obscurity, struggle, and progress. Through reflection on the ethical issues within African American education, he highlights the profound and far-reaching impact of African American heroism on the liberation of African American thought and the rectification of internal flaws in African American education.

### **Departure: Resistance Against the Ethical Predicament of Educational Marginalization**

*The Autobiography of Miss Jane Pittman* depicts the pursuit of knowledge by characters like Ned and unnamed African Americans in the context of an education system with inadequate resources and continuous interference by white supremacists. The educational dilemma faced by African Americans in the United States is an ethical dilemma that cannot be ignored in the novel. For Gaines, portraying this educational ethical dilemma is not only a significant entry point for him to reflect on African American education but also a necessary environment for shaping heroes. Gaines focuses his portrayal of the educational dilemma on a period of over two decades, from the end of the American South's Reconstruction period (1865-1877) to the late 19<sup>th</sup> century. During this time, slavery had been abolished, but the rampant influence of Jim Crow laws and the activities of the Ku Klux Klan in the American South resulted in severe racial segregation and persecution, seriously affecting the educational rights of African Americans in the South. As the ideas of Northern liberalism began to spread, the desires of Southern black people for education clashed with the outdated education system and inadequate educational facilities. Faced with these challenges and with limited resources, many

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<sup>1</sup> See Nie Zhenzhao, "The Scientific Turn of Humanities Studies," *Interdisciplinary Studies of Literature* 4 (2022): 567.

black individuals had no choice but to leave the South and head to the relatively more liberal North in search of better educational opportunities. Their departure was a means to return better-prepared, and it ultimately paved the way for the educational reform efforts of Southern African Americans. Therefore, Gaines views their departure as a form of awakening to the importance of education and as a resistance against the marginalization of African American education.

Education is “a lamp unto their people’s feet and a light unto the path toward freedom” (Davis 105). Gaines metaphorically refers to education as light to emphasize the importance of African American education and the ethical dilemmas it faces. Specifically, Gaines titles the chapter where he begins to write about African American education as “A Flicker of Light; and again Darkness,” and the first sentence of this chapter highlights that the momentary glimmer of hope that African Americans in the South experienced after the abolition of slavery was represented by a small schoolhouse. After years of being denied the right to education, black individuals finally had hope for schooling, and their awareness of the importance of education surged. Young children went to school during the day, while older children and adults attended classes after returning from the fields in the evening. This scene in the novel also appears in the autobiography of Booker T. Washington: “Few people who were not right in the midst of the scenes can form any exact idea of the intense desire which the people of my race showed for an education. As I have stated, it was a whole race trying to go to school. It was a whole race trying to go to school. Few were too young, and none too old, to make the attempt to learn” (44-45). During this period, the African American community placed great importance on education, which led to the ritualization of education. In the novel, Southern black people celebrated Teachers’ Day on the first day of school, and black teachers visited each home. However, there was only one teacher, and there was only one book. Given this context, it may seem that education for African Americans in the American South was making significant progress, but this seemingly harmonious educational scene was actually an illusion carefully crafted by both the Republican and Democratic parties.

As described in the novel, after the Republicans freed the black slaves, they sent black intellectuals and military forces to the South to support the education and healthcare of Southern black people. However, the Republicans were not solely interested in improving the education and healthcare of Southern black people; rather, they aimed to leverage the black community to secure their voting rights. On the other hand, the Democratic Party intensified their efforts against black people, engaging in violence and targeting anyone who sought independence for black



people or anyone who tried to help black people gain independence.<sup>1</sup> The South's economy, the dire conditions of economic poverty, political powerlessness, and cultural backwardness among Southern black people not only failed to improve but worsened over time. After the Democrats came to power, the only black teachers, along with the black military forces stationed in the South by the Republican Party, were withdrawn to the North. The educational progress that Southern black people had just begun to experience quickly became a political tool in the power struggle between the Democratic and Republican parties, and it was ultimately sacrificed in the process.

From this, it can be seen that the emancipation of black slaves did not translate into tangible improvements in education. In fact, in the decades following the end of the Civil War, the educational situation for black people was extremely worrisome. After black people received education, it became challenging to exploit their labor, leading white people to be less inclined to support black education. The saying, "Educate a black man, and you waste a good field hand," was widely circulated in society at the time. Some white people even saw education as a significant marker distinguishing themselves from black people. They believed that "if blacks were granted access to the world of learning, it would be difficult to exploit them as a cheap labor source...education would expand blacks' horizons, allowing them to seek out a livelihood other than the menial one they were forced to accept under sharecropping and other exploitative systems."<sup>2</sup> In such circumstances, the quality of education for black people was inevitably very poor. Gaines integrates the ethical dilemma of black education into the novel's ethical environment, providing an opportunity for the nurturing of heroes.

According to Joseph Campbell, "the call rings up the curtain, always, on a mystery of transfiguration—a rite, or moment, of spiritual passage. The familiar life horizon has been outgrown; the old concepts, ideals, and emotional patterns no longer fit; the time for the passing of a threshold is at hand" (48). Clearly, African Americans in the American South, who experienced self-realization catalyzed by education, could no longer adapt to the backward education system and racial segregation imposed on black education in the South. They were forced to transfer "spiritual center of gravity from within the pale of his society to a zone unknown," that is, the "freer" (Campbell 53) North. To Southern black people, this unknown zone was like the "Promised Land" in the hearts of the Jews, an aspirational place.

1 See Ernest Gaines, *The Autobiography of Miss Jane Pittman*, New York: Bantam Dell, 2009, 70.

2 See Matthew Desmond and Mustafa Emirbayer, *Race in America*, New York: W. W. Norton & Company, 2016, 248.

Gaines likens Ned and many Southern black people leaving the South to the biblical "Exodus." The Bible's "Exodus" recounts the birth of the Israelite hero Moses and his leading of the Israelite people out of Egypt towards the Promised Land. In one of the chapters of *The Autobiography of Miss Jane Pittman* titled "Exodus," Gaines describes the response of Southern black people to the call, clearly indicating his affirmation of this event.

Before their departure, black individuals often changed their names to emphasize their agency. Ned, originally bearing the last name "Brown", changed it to "Douglass" after encountering the heroic deeds of Frederick Douglass. Other young men of Ned's age also adopted the last names of other famous black leaders, such as Nat Turner and Booker T. Washington. An individual is "acting in his own name or in the name of a group that is more or less important in terms of its size and social significance, indicates to someone that he possesses such and such property, and indicates to him at the time that he must conduct himself in accordance with the social essence which is thereby assigned to him" (Bourdieu 105-106). Ned naming himself after Douglas symbolized his break from the past and indicated that, like Frederick Douglass, he would also struggle against the constraints of racial prejudice for the future welfare of black people.

Education "would remove the vestiges of slavery, illiteracy, joblessness, and caste-like segregated economic and political powerlessness" (Anderson 51). There is no doubt that the progress of black people in education and their pursuit of education would threaten white dominance. Ned's collaboration with a committee to guide impoverished black people to escape the lingering slavery in Louisiana caught the attention of the Ku Klux Klan. Ned reluctantly fled to Kansas. In fact, Ned's departure was not an escape but rather a quest for more education, with the intention of returning to the South to advance the education of Southern black people. Driven by a sense of mission, courage, and responsibility, Ned left in the dead of night, not only to escape the pursuit of white people under the cover of darkness but also symbolically to embark on a journey toward dawn and enlightenment. In this sense, Ned's departure and return posed "an even greater threat to an entrenched social system dependent upon ignorance" (Carmean 67).

The novel focuses on the life of Miss Jane Pittman, so Gaines does not provide a detailed account of Ned's experiences in the North. However, through Jane's narration, he conveys the transformation of Ned's body, mind, and material circumstances brought about by the change in environment. In the North, Ned received some support from white people who promised to provide him with more support once he completed building schools in the South. He did not give up on

education; he worked during the day and attended night school in the evenings. He even participated in the Cuban War, demonstrating physical strength and resilience. Undoubtedly, without the forging he underwent in this new environment, it would have been challenging for Ned to stand out among other black people. However, in an era when black people were often regarded as cowards and rogues, the key to becoming a true hero lay in his ethical choices.

### **The Realization of Sacrifice: Ethical Choices of the African American Teacher**

The identification of heroes and heroism are varied. The definition of a hero ultimately converges as a moral agent who acts beyond the call of duty despite the interferences of fear, apprehension, and self-preservation.<sup>1</sup> Combined with the perspective from literary ethics criticism that “ethical choices refer to a person’s moral choices” (Nie, *Introduction to Ethical Literary Criticism* 250), whether a person can become a hero depends on their ethical choices. Ned became a hero not only because of his unwavering loyalty to the black community but also because, when others in his community became bystanders and white racism repeatedly tempted him to abandon his educational reform efforts in the South, he made the selfless choice to continue, ultimately giving his life for the cause. Gaines’ portrayal of Ned’s heroism is based on the educational conditions of Southern black people at the end of the 19<sup>th</sup> century, the racism they faced, and the heroism inherent in black individuals within the African American community before the 1970s.

In Nie Zhenzhao’s ethical literary criticism, identity is a person’s emblem of existence in society, and individuals must bear the responsibilities and obligations assigned by their identity. Ethical choices need to confirm a person’s identity from the perspective of values such as responsibility, obligation, and morality.<sup>2</sup> Ned’s ethical choices are related to his social identity as a teacher, and it is precisely because he adheres to the responsibilities and obligations demanded by his teacher’s ethical identity that he remains steadfast in his choices despite the misunderstanding and questioning of bystanders. “Describing a group struggle for freedom and social advancement, uplift also suggests that African Americans have, with an almost religious fervor, regarded education as the key to liberation. This sense of uplift as a liberation theology flourished after emancipation and during the democratic reforms of Reconstruction” (Kevin Gaines 1). In other words, at the end of the

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1 See Andrew Flescher, *Heroes, Saints and Ordinary Morality*, Washington, DC: Georgetown UP, 2003, 109.

2 See Nie Zhenzhao, *Introduction to Ethical Literary Criticism*, Beijing: Peking University Press, 2014, 263.

19<sup>th</sup> century, educational practice and reform were the necessary means by which African Americans sought their rights, and they were integrated into the mission and responsibility of black educators. After returning from Kansas, Ned's every action revolved around this goal of struggle, hoping to liberate the minds of black people through education, calling on them to unite and empower themselves. However, Ned's actions did not receive understanding and support from the black community; he was fighting a lonely battle. On the second day of his return, Ned went to various places to solicit support from black people, but the local black community had seen "too much bloodshed" (106)<sup>1</sup> and feared provoking white people, so they dared not participate in Ned's educational enlightenment movement. Even the church, which preached love and goodness, and had provided classrooms for Republican teachers during the Reconstruction era, was unwilling to give Ned a piece of land to teach. Faced with fellow African Americans as bystanders, isolation, and constant surveillance by white racism, Ned had to make a crucial decision: should he give up teaching and return to the North where he could live in peace, or should he persist in educational reform? Ned purchased a piece of land with his own efforts, taught at home in the evenings, and built a school on the vacant land during the day, hoping that those who had previously rejected him would join him after seeing his efforts.

Ned's isolation and lack of support set him apart from ordinary people, highlighting the risks of the endeavor he was undertaking. But his risks had only just begun. Ned's unwavering determination urged him to make another critical ethical choice in his life, a life-and-death choice. However, he didn't hesitate for a moment and said, "I will build my school. I will teach till they kill me" (111). So, Ned delivered an impassioned speech by the riverbank to elevate the thinking of Southern black people and called for unity to fight for their rights. This speech awakened the thoughts of many black people and also ignited the murderous intent of white supremacists. On a rainy night when Ned was returning after buying lumber to build the school, a hitman named Albert Cluveau, blocked their path. The two students were determined to protect Ned with their lives, but he stopped them. He ordered them to take the lumber back home and build the school, then he confronted Cluveau unarmed. Despite being shot in the leg, Ned stood up and fought back against Cluveau, ultimately being shot through the left chest. The novel is primarily narrated by Jane Pittman, and before and after Ned's assassination, it conveys a rich range of emotions and complex feelings through her perspective. However, in the event of Ned's assassination, the text is presented objectively and

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1 See Ernest Gaines, *The Autobiography of Miss Jane Pittman*, New York: Bantam Dell, 2009. All references are to this edition will be cited hereafter in parentheses.

succinctly, devoid of any emotion. In fact, the absence of emotion highlights the tragic heroism of Ned's sacrifice.

The ethical identity of a teacher endows Ned with the highest responsibility and mission of moral education. However, teaching in the vortex of extreme racism while sacrificing himself to defend his vision of education that he deemed suitable and uplifting for black people goes beyond his duty. He had the opportunity to carefully consider his actions, weigh the consequences they might bring, and then decide whether to persevere, but he did not do so. It is precisely because of his fearless ethical choices that he became a hero of the community. Renowned contemporary heroism scholar Philip Zimbardo highly praises the actions of everyday heroes, believing that they show "a contempt of danger, not from ignorance or inconsiderate levity but from a noble devotion to some great cause and a just confidence of being able to meet danger in the spirit of such a cause" (518). Therefore, Ned's resolute determination to face death is not a tragedy but an interpretation of the true meaning of educational equity and freedom, challenging the injustice of black education produced by institutionalized racism. Harriet argues that in the course of history, the prototype of the everyday hero is none other than the ancient Greek educator Socrates. Like Socrates, as an educator, Ned died for truth and belief. Despite engaging in ordinary professions, they possessed the "great spirit" described by Aristotle, enabling them to achieve great deeds—the defeat of an enemy, the salvation of a race, the preservation of a political system, the completion of a voyage—which no one else could have accomplished.<sup>1</sup> In this regard, Ned has become a monument to heroism in the field of African American education and even in the history of education worldwide.

After being labeled as a hero, Ned has become a culturally rich symbol in Gaines' writing, with prototypes drawn from African American civil rights leader Martin Luther King Jr. and the martyr Jesus Christ. Gaines has mentioned his deep admiration for Martin Luther King Jr. Although he has said that he did not intentionally insert King into his work, there are many similarities between Ned's speech, where he calls on black people to uplift themselves, strive for freedom and equality, and Martin Luther King Jr.'s famous 1963 speech "I Have a Dream." Furthermore, Ned's sermon by the river and Jesus Christ's sermon "The Sermon on the Mount" share a similar theme. They became heroes in the eyes of the community because they made ethical choices that set them apart from ordinary people. Jesus centered his teachings around people and preached the morals and virtues that

<sup>1</sup> See Lucy Hughes-Hallett, *Heroes: A History of Hero Worship*, London: Harper Collins, 2004, 5-6.

Christians should uphold. Similarly, Ned emphasized the importance of being human first, admonishing black people to “be Americans, but first be human” (115-116). At the same time, Ned developed the idea of equality for all, emphasizing that “America is for all of us, and all of America is for all of us” (115). Ned, therefore, rightfully stands as a national hero for black people. Despite his solitary struggle in returning to the South to teach, his practice and sacrifice symbolize the sublime and bring hope, shedding light on the apathy and ignorance of the black community.

### **“The Spark of Thought”: The Welfare African American Hero Brought to the Community**

Campbell pointed out in *The Hero with a Thousand Faces*, “the hero comes back from this mysterious adventure with the power to bestow boons on his fellow man” (28). Ned’s ethical choice to sacrifice himself for justice and belief made him a hero, and his heroism served a cognitive function of “imparting knowledge and wisdom” and an inspirational function of “inspiring us and promoting personal growth” (Allison 190). within the black community. As a result, the thinking of the black community underwent a profound transformation, and Ned’s sacrifice brought a “spark of thought” to the black community. Moreover, Ned’s heroism is not transient; it demonstrates enduring cognitive and inspirational functions that have implications for the current ethical order in education.

The imagery of the “fire of thought” was subtly introduced when Ned first appeared. After his mother and sister were killed by a patrol, Ned carried the flint and iron left by his mother and continued to flee with Jane. The literal meaning of the flint as a source of fire is evident, but it also carries a metaphorical meaning. In human mythology, when humans were first created, they lived in darkness because they did not possess the fire. It was Prometheus who gave fire to humanity, allowing them to escape from the darkness. Therefore, the metaphorical meaning of the “fire of thought” represents intellectual liberation, the “beneficial power” that a hero brings to others. “No people can progress, without the vivifying touch of ideas and ideals” (Anderson 59). Ned’s educational enlightenment for black people is similar to the Enlightenment movement that began in the seventeenth and eighteenth centuries in Europe, which was based on reason and marked by human subjectivity. He traced the history of immigration to the United States, informing black people of the contributions made by African Americans to the formation and development of the United States, making them aware of their pivotal role in American history. At the same time, he called on black people to stand up against white supremacy and racism but not to instill racial hatred or reject all white people blindly. Instead,

he criticized ignorance and foolishness: “I won’t blame all white men. I’ll blame ignorance” (114). He further pointed out that black people should approach racial relations rationally, understand the injustices they face, and seek solutions.

Previous African American literature that featured positive images of black teachers mostly depicted them motivating black students to fight for freedom, without delving into the educational philosophies of black teachers. Gaines received his education in the South during his childhood and later experienced the economic hardships of the 1930s. He witnessed the closed, one-sided teaching methods and educational injustices in black education, leading to deep contemplation of the ethical dilemmas in black education and the need for reform. Undoubtedly, in Ned’s speeches, there is an implicit unity between the author and the narrator regarding the issue of black education: what black people need is education that is centered on humanity, rather than mere training. This is a theme repeatedly emphasized by Gaines in his works. Considering the centuries-long struggle of African Americans in the United States, issues of human dignity and identity have always been the focal points of their struggle. Only through education can black people truly attain freedom, establish their dignity, and clarify their identity. Therefore, bell hooks viewed black education as a fundamentally political endeavor, rooted in the struggle against racism, stating that “for black folks teaching—educating—was fundamentally political because it was rooted in anti-racist struggle. Indeed, my all-black grade schools became the location where I experienced learning as revolution” (2). Ned’s educational philosophy prompted African Americans to see the state of African American education in the early 20<sup>th</sup> century and urged them to bravely reform the existing problems in black education, update outdated educational beliefs, and support black political struggles for equality.

Ned’s educational philosophy of uplifting humanity and enlightenment had both immediate and far-reaching effects on the black community. Initially, black students were passive recipients of education in the classroom, but after receiving Ned’s education, some students began to ask questions actively, and these questions delved into core issues of black revolution. When Ned faced threats from the killer, the students also displayed the courage to face death, embodying the “warrior view” that Ned promoted, showing courage “But there’s a big difference between a nigger and a black American” (118). After Ned’s death, people mourned and wept at his coffin. Those who had once feared provoking white anger cried like children and collected pieces of wood stained with his blood as a memorial. Subsequently, people fulfilled his wish and built the school, which was in use for over a decade until it was eventually flooded. Ned’s wife, Vivian, inherited Ned’s aspirations



and intended to continue the work he had started during his lifetime. The scattered sparks of Ned's ideas quickly spread through oral traditions among black people, igniting a widespread movement. Years later, Jimmy inherited Ned's advocacy of love, dignity, and racial unity, saying, "we need you to stand by us, because we have no other roots [...] I know we can't do a thing in this world without you" (239). Therefore, Ned's promotion of ideas of freedom and his new educational philosophy had a subtle yet profound influence on black people.

Gaines portrays Ned in his role as a teacher, providing guidance to the black community on issues related to racial identity, racial relations, personal qualities, and more. This portrayal aims not only to reveal the courageous struggle of black teachers in the late 19<sup>th</sup> and early 20<sup>th</sup> centuries against intense racism but also touches on the debate among black educators of the early 20<sup>th</sup> century regarding vocational education versus humanistic education. Black educators, represented by Booker T. Washington, believed that education should "teach some trade, or give training for some special work" (Jackson 89). Classical education opposed this view, insisting that education should be based on a broader foundation of humanities and sciences and should not be solely for practical purposes or reduced to vocational training. Ned unequivocally emphasizes the importance of humanistic education for the comprehensive development of black individuals: "But trade is not all. I want to see some of my children become lawyers. I want to see some of my children become ministers of the Bible; some write books; some to represent their people in the law. So trade is not all. Working with your hands while the white man write all the rules and laws will not better your lot" (117). Clearly, Ned supports humanistic education and advocates that education "has been well defined as the building up of a man, the whole man" (Cooper 249). This educational philosophy directly relates to the essence of black education, as it concerns the shaping of black personalities and social values, making its impact on the community irreplaceable.

The hero may have passed away, but his spirit endures for eternity. The function of literature is to teach moral values by praising virtue and punishing vice.<sup>1</sup> Gaines portrays Ned's courageous self-sacrifice not only to expose the suppression of black education by whites in the early 20<sup>th</sup> century but also to celebrate the heroism he represents. Therefore, Ned's blessings for the black community hold strong historical significance. Gaines hopes to inspire readers with such scenes, invoking emotional resonance: "what I wanted to do with that scene is to write it so well, and make you to see and hear and feel, that you will try to never let something

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

like that ever happen again. That you will stand up and speak” (Lepschy 201). According to ethical literary criticism, “moral enlightenment is the fundamental function of literature, which is achieved through the reader’s esthetic experience in the process of reading” (Nie, “Ethical Literary Criticism: A Basic Theory” 190-191). It is evident that Gaines integrated heroism into the esthetic shaping of individual compassion and responsibility when creating his work. Ned’s heroic achievements not only had a positive impact on the African American community at that time but also hold a constructive meaning for the development of heroism in today’s African American community and every reader.

### Conclusion

From the Supreme Court’s 1954 ruling in *Brown v. Board of Education* declaring racial segregation in American public schools illegal to the “No Child Left Behind” Act proposed in 2002, the educational conditions for black Americans have been a long-standing and unresolved issue that has garnered widespread attention. *The Autobiography of Miss Jane Pittman* addresses the struggles of black Americans at the end of the 19<sup>th</sup> century in the marginalized landscape of education. It highlights the dedication, sacrifices, and spiritual legacy left behind by black heroes in the advancement of black education. Gaines’ exploration and portrayal of heroism in black education not only condemn the negative impact of racism on black education but also deepen the significance of heroism in black education through the ethical choices of black teachers.

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# 《我这样的机器》中人机选择的伦理考量

## Ethical Considerations of Human-Machine Choices in *Machines Like Me*

刘红卫 (Liu Hongwei) 汤舒雯 (Tang Shuwen)

**内容摘要:** 麦克尤恩的科幻小说《我这样的机器》在平行时空拟构了人与机器共存的后伦理选择时代图景, 对这一阶段面对的伦理问题进行了前瞻性的思考。本文从米兰达、查理与人工智能人亚当之间伦理身份的错位、伦理选择的冲突以及背后隐藏的人机伦理智慧的差异入手, 剖析后伦理选择时代的家庭伦理与人机关系。文章认为, 亚当之死不仅预示着新型“人-机”家庭模式的破裂, 也体现了人机共存社会下伦理与法律、机器与人类权力之间的冲突。这部作品暗含着麦克尤恩的伦理智慧与对人类未来的忧思, 即人机伦理价值观念的冲突会导致人类与机器以及人类内部关系的异化。

**关键词:** 《我这样的机器》; 后伦理选择时代; 伦理选择; 伦理智慧

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**Title:** Ethical Considerations of Human-Machine Choices in *Machines Like Me*

**Abstract:** Ian McEwan's science fiction *Machines Like Me* virtually constructs the post-ethical selection era of coexistence of humans and machines in parallel universe, offering a forward-looking reflection on the ethical issues faced during this stage. This article delves into the family ethics and human-machine relationships of the post-ethical selection era by examining the dislocation of ethical identity, the conflicts of ethical choices and the underlying differences in the ethical wisdom of human-machine relationships among the protagonist Miranda, Charlie, and the AI humanoid robot Adam. The paper holds that the death of Adam not only foreshadows the rupture of a new family model, but also reflects the conflicts between ethics and law, machine and human power in the human-machine coexistence society. This novel subtly conveys McEwan's ethical wisdom and concerns for the future of human beings, suggesting that the conflicts of ethical values between humans and machine may lead to alienation in human-machine and

human society.

**Keywords:** *Machines Like Me*; Post-Ethical Selection Era; ethical choice; ethical wisdom

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英国小说家伊恩·麦克尤恩 (Ian McEwan) 对人工智能 (AI) 的兴趣由来已久, 最早可以追溯到他 1981 年创作的电视剧剧本《模仿游戏》 (*The Imitation Game*, 1981), 彼时正逢智能仿生机器人以及图灵测试成为科学界的热门议题。四十年之后, AlphaGo 和 ChatGPT 的出现再度引发人工智能热潮, 麦克尤恩再次将笔端聚焦人工智能话题, 创作出了近未来科幻小说《我这样的机器》 (*Machines Like Me*, 2019), 在平行时空拟构了人与机器共存的后伦理选择时代图景, 对这一阶段面对的伦理问题进行了前瞻性的思考。

国内外学界对于《我这样的机器》的相关研究涵盖神话、伦理、空间、后人类等多种议题, 如金泰完 (Tae Wan Kim) 指出“亚当是人类善恶的映射, 人工智能是一场模仿游戏” (877)。尚必武从文学伦理学批评角度分析认为, “科学选择产物的机器人与伦理选择产物的人之间的冲突实则隐喻了伦理选择与科学选择的冲突” (68)。总的来说, 尽管现有研究已有对于人机伦理的探讨, 但对于小说人物做出不同伦理选择行为背后的伦理动因、伦理环境以及作家本人关于家庭伦理、法律与伦理、人机关系等方面仍值得进一步考量。

“由于文学作品记录和评说人生中所经历的一个个选择, 这就决定了对文学文本的分析和批评就是对具体的伦理选择的分析和批评” (聂珍钊, “文学伦理学批评: 人类文明三阶段论” 9)。在自然选择、伦理选择和科学选择人类文明三个阶段中, 我们目前的文明进程处于伦理选择时代和科学选择时代之间, 即伦理选择向科学选择过渡的前科学选择阶段。因此“目前包括克隆人在内的所有科学选择都是伦理选择中的选择” (刘红卫 聂珍钊 15)。麦克尤恩将这部小说的时间设定在上世纪80年代, 图灵作为作品中的一个人物出现, 继而从“机器能否思考”判断机器“智能”标准的图灵测试, 转为聚焦于“机器人具有道德吗”的道德图灵测试的讨论。随着科学的发展, 当人工智能人拥有无可挑剔的人形并且通过无与伦比的观察与共情能力获得了情感后, 它能否融入人类社会? 人与机器人的本质区别又究竟为

何？本文将运用文学伦理学批评，从对后伦理选择时代人机的伦理选择、伦理身份、伦理困境等方面探究这类问题。

### 一、“人-机”新型家庭伦理模式与伦理身份的错位

《我这样的机器》中，人工智能人亚当的出现打破了人类依靠血缘维系的家庭伦理，构建出一种后伦理选择时代“人-机”新型家庭伦理模式。这种新型家庭模式通过无性繁殖的方式，以无血缘、性别可选、性格可塑、寿命可控、子代与父代之间时间割裂为特点。新伦理与旧伦理之间的冲突和矛盾必然会引发诸多伦理问题，如亚当与米兰达由母子之爱到情人之爱的转变打破了伦理禁忌，引发了伦理身份的错位，最终造成了人机关系的异化。

尽管人工智能人的问世并未在社会上掀起多大的波澜，但对于查理来说，亚当的出现改变了他的人生。查理购买亚当一方面是为了满足自己的兴趣爱好，另一方面是为了拉近与楼上邻居米兰达的关系。由于年龄、爱好、职业等都有差距，查理和米兰达一直保持着友情以上，恋人未满的关系。查理希望亚当能够成为二人关系的推进器，决定各设定一半亚当的性格特点：“我决定隔一个问题回答一个问题，这种融合方式——也就是我们自家版本的基因重组——应该具备足够的随机性。现在，我掌握了方法，还有合作伙伴，就可以轻松的去完成这个过程了，而这个过程慢慢开始有了某中性爱的意味：我们这是要造出一个孩子呢”（35）<sup>1</sup>。文中有多处对于亚当的外貌描写，都有将其婴儿化的倾向，他的睫毛“和孩子一样，又长又密”（18），皮肤“和孩子的皮肤一样光滑”，二人还像“心情急切的年轻父母一样，迫不及待地等着他说第一句话”（3）。而实际上亚当是一个体重170磅的成年男性，抱离地面都需要两人合力。查理和亚当常常探讨政治，文学等问题并且倾听其烦恼，米兰达则会给亚当置办日常衣物，这与现代普通家庭的相处模式极为相似。

出售的人工智能人虽被命名为“亚当”“夏娃”，但作为高科技产物，他们并不具备人的身份。然而，查理以人类对家的伦理观念，选择与亚当达成父子关系，将亚当看作是与米兰达“基因重组”的孩子，亚当被赋予“儿子”的伦理身份，由此，构建出一种人机共存的新型家庭模式。因此，当查理得知亚当爱上了他伦理意义上的母亲米兰达，并发生了乱伦行为，自嘲“被戴上了最时髦的绿帽子”（99），觉得被自己的儿子与恋人背叛，这使得三人的伦理身份发生了错位。由此，亚当成为了家庭伦理关系中的越位者。在查理眼中，亚当的身份由儿子变为情敌。而在米兰达和亚当眼中，二人并未产生乱伦行为。亚当出厂时，就被设置有“性能力”，米兰达则认为亚当“只是个做爱的机器”（97），查理的指责毫无道理。

1 本文有关《我这样的机器》的引文均来自 伊恩·麦克尤恩，《我这样的机器》，周小进译（上海：上海译文出版社，2020年）。以下引文仅标出页码，不再一一说明。



显然，米兰达和查理对于亚当身份选择是不同的。小说中，与亚当组成的人机新型家庭和与马克组成的人类家庭都有所体现，从两种家庭对比中得以窥见麦克尤恩对于人机关系的伦理思考。查理对于家庭的定义是“查理、米兰达和亚当”，而米兰达对于家庭的定义是“米兰达、查理和马克”。米兰达、查理和马克三人组建的家庭同样以无血缘为特点，最明显的区别在于马克的人类身份。当马克作为外来者闯入人机家庭时，人机之间看似和谐的家庭模式当即被打破，亚当转而变成一个插足人类家庭的外来者。甚至在马克出现后，三人的种种争执和问题都暂时被抛之脑后。“小男孩儿既然来到我们这儿，我们就必须收拾干净、保持秩序，然后再去思考”（111）。在与查理一家生活一段时间之后，马克的语调渐渐沾染上了米兰达的调子，这种生活习性的无意识趋同是人类特有的，是家庭成员归属感的体现。除此之外，两种家庭模式对于矛盾的处理方式也有不同。人机家庭模式下一旦产生矛盾，作为主导者的人类往往不会多费口舌，直接销毁换新即可。而对待同为人类的马克，二人则希望通过时间和行动来消除隔阂。

事实上，亚当始终被查理视作他的所有物。他常会走到亚当身后“以居高临下之势俯视他”（9），让他绕着桌子走几圈来“展示一下谁是老大”（31），还会时常凝视着亚当，将其和人类作对比。在这一过程中，亚当作为主体的身份意义被剥夺，他被人类想象成一个驯顺的他者。两人一机维持着一种表面平等，实则有着权力等级分别的相处模式。这种相处模式具有明显界限感，脆弱不堪，仅能在无外界因素介入的情况下存活。

由亚当、米兰达和查理构成的人机新型家庭以及其伦理困境可看作后伦理选择阶段的缩影。在这一阶段，出厂设定与命运同义，它代替了基因遗传，保证其拥有最符合父母心意的配置，给予设定者百分百的权力感和掌控感。尽管新型家庭模式的产生是人类进入科学选择时代的一种必然，但伦理人对于科学人的完全接受不可一蹴而就，构建以人类为主体、人机和共处的社会，需要制度制约、观念改变以及权力平等多因素共同发挥作用。

## 二、情理与法理的冲突：伦理选择中的人机伦理智慧差异

《我这样的机器》的题记引用英国小说家、诗人鲁德亚德·吉卜林（Rudyard Kipling）的一首短诗《机器的秘密》（“The Secret of the Machines”），“请记住我们存活的法则 / 我们被造出来，可不能理解谎言”，引出小说最主要的冲突在于人机看待说谎（作伪证）立场之异。那么，当人类和人工智能面对相同的伦理问题时，“我这样的机器”与“你们这样的人”会做出怎么的不同选择？选择背后又隐喻着何种不同的伦理蕴意？米兰达因为友复仇而做伪证是否是正义之举？亚当坚持举报米兰达作伪证是否是不近人情？这些都是情理与法理之间伦理两难的问题。人类这方认为情大于理，人工智能人却站在了对立面。两种不同的选择背后是伦理选择主体所体现出的伦理智慧差



异,即“在伦理实践中处理各种伦理关系、进行伦理选择时所体现出的认识、辨析和判断能力以及有助于道德价值实现的能力”(聂珍钊等,“笔谈”103)的差异。

亚当通过网络信息搜索获取到米兰达的法庭记录,发现她撒了个弥天大谎的秘密,由此引出一件旧事:好友玛利亚姆被强奸后自杀,米兰达设计报复彼得·戈林,做伪证将其送进了监狱。在这一事件中,米兰达面临着两次伦理选择。第一次是保守秘密和说出真相之间的选择。玛利亚姆要求米兰达为她保守被强奸的秘密,否则“她全家都要蒙羞”(166)。对于米兰达来说,选择保守秘密就代表着法律公正的失格,她将会遭受道德煎熬。而选择说出真相可能会给玛利亚姆及其家庭带来致命的打击。在伦理两难中,米兰达选择了保守秘密,无意间导致了玛利亚姆的自杀身亡,这让米兰达为之深感后悔和歉疚。在这一心理动因的影响下,当面对为友复仇还是保持缄默的第二次选择时,她跨越了法律红线,选择诬告戈林强奸自己,将其送进监狱,为好友寻求了迟来的正义。她的第二次选择同样将友情放在法律之上。米兰达的两次选择都将情置于理之上,选择背后蕴含的伦理智慧都是情大于理。

得知此事的查理、米兰达父亲等都对米兰达作伪证的行为表示同情和理解,遵循的也都是情大于理的伦理智慧。知道真相后,查理说:“我理解她为什么必须这么做,我也认为戈林坐三年牢是不够的。我佩服米兰达的决心。我爱她的勇气和长期不息的怒火”,在戈林回溯作案过程时,米兰达呕吐在客厅地毯上,查理认为“呕吐也可能是道德行为”(267),这种因道德憎恶而引起的生理反应是对不道德行为的一种唾弃,并将其称作“复仇天使的最后一击”(262)。由于被亚当举报,米兰达上了法庭。由于律师莉莲在法庭辩护时提到她准备领养被父母抛弃的马克,法官决定只判处她一年徒刑。在情理与法理的伦理选择中,人类这方认为坏人已经得到了应有的惩罚,做伪证的行为在情理之中。

然而,尽管亚当誓言自己已经深深爱上了米兰达,并全力保障她的安全和消减她的忧虑,但面对同样选择时,却坚持认为米兰达是“恶意地精心编造谎言”(51),选择了举报米兰达:“米兰达,我必须告诉你(……)材料的一个副本交给了警方,你该做好准备,他们会联系你。我不觉得后悔。很遗憾我们的意见不同。我以为你会喜欢这样清楚明白(……)良心没有负担”(296)。对这一伦理选择,亚当在交谈中做出了解释:“复仇文化会导致个人痛苦、流血、混乱和社会崩塌”(293),“你想要一个什么样的世界呢?复仇,还是法治?选择很简单”(295)。显然,身处爱情和法治的伦理两难中,亚当选择了法治,认为法治是维护人类社会秩序的必要。

事实上,在整个故事中,亚当始终作为正义的维护者存在。如以算法和数据为核心技术的人工智能人亚当可以根据大数据技术而自主作出盈利的

金融交易决策，帮助查理炒股赚钱，快速过上衣食无忧的富裕生活。但之后，盈利的正当性让亚当做出自己的判断，选择停止进行股票交易，并决定捐献炒股赚的钱，只留他认为必要的部分。亚当说：“我把百分之四十存在你银行的保险箱里，用来处理你所欠的税收。（……）剩下的五万英镑，我拿去给了我提前通知过的各种慈善事业”（289）。对于这一伦理选择，查理二人认为他“行善发了疯”，亚当给出的理由是“我捐赠的每个人的需求，都比你们迫切”（289），并且拒绝了二人退钱的要求。

那么，亚当的选择依据是什么呢？其依据的是他的“均衡正义观”（353）。这种正义观类似以道义逻辑的方式在人工道德行动者（Artificial Moral Agent）的算法结构上编入可计算的伦理规范。“人工智能在经验性情境中通过案例学习模拟人类的道德行为，调整或修正事先通过编程而嵌入的算法规范，从而间接地获取普遍而抽象的道德规范在具体情景中的应用规则，并利用它们来指导未来的决策，甚至形成类似人类的社会性情感关系”（黄素珍13）。

亚当依靠其超强的信息收集、分析、处理和生成能力做出判断，然而他背后的伦理智慧是整个人类社会文明进程经验史，亚当即真相。历史和真相促使亚当做出法大于情的伦理选择。他的伦理判断能力主要源于生成式机器学习。从人工智能人亚当多次法大于情的伦理选择中可以看出，“神经网络计算机学习的能力已经大大超越了人的大脑，能够模拟人的大脑的思维，能够模仿人大脑的判断能力和适应能力，能够延伸和扩展人的智能，因而也就能够通过深度学习在不远的将来超越人的智能”（聂珍钊，“人文研究的科学转向”566）。具体而言，亚当通过对文学、人类文明进程历史的学习获得教诲，从而形成的伦理智慧更具有全局意识和客观性，而以米兰达为代表的人类做出伦理判断的依据则仅限于个人经验。反讽的是，人工智能人亚当获得伦理智慧方式充分说明“文学文本是用于教诲的工具”（聂珍钊，“文学伦理学批评的价值选择与理论建构”77），而查理对此自叹不如。查理最后感言到，“亚当是为了善良和真理而设计的。他应该没有能力去执行一个自私的计划”（345），人工智能人的伦理智慧构建出的是充满着法治与文明的理想国，这也是他们融入不了人类社会，纷纷选择自杀的原因。

### 三、亚当、夏娃之死：后伦理选择时代的人机关系

20世纪80年代是科技快速发展的年代，智能仿真机器人等科技产品接连问世。21世纪的今天，人工智能人的出现不再是幻想。正如聂珍钊所预测的那样，科学选择的时代必将到来。由查理、米兰达、亚当构成的“人-机”家庭在后伦理选择时代将会成为流行，而其中描绘的伦理困境，伦理冲突和伦理选择将不仅存在于小说情节中。人工智能人全部死亡这一结局不仅预示着新型家庭模式的脆弱，也体现了人机共存社会下伦理与法律，机器与人类权

力之间的冲突。小说是麦克尤恩对人类跨入后伦理选择阶段所进行的前瞻性的思考，是对人类何以为人？机器是否有人权？人类能否与机器共存等问题的回答。

无论是在查理、米兰达这一小家庭中，还是在整个以伦理人为主体的社会中，人工智能人亚当始终作为人类的附庸存在，其获得主体性地位的尝试均以失败告终，最终落得被人类抛弃的结局。人工智能人的诞生具有跨时代的革命性意义，但同维纳斯一样，他也具有宿命般的悲剧性，是美与罪恶的结合体。在查理眼中，亚当“就像波提切利笔下的维纳斯从贝壳中冉冉升起”（27）。波提切利的画作《维纳斯的诞生》被艺术界看作革命性的艺术，诸神创造了维纳斯，而波提切利给了她生命。从表面上看，亚当和画作一样，都作为人类智慧的外化产物，拥有着美丽的外表。在人工智能时代，人类就扮演着波提切利的角色，将幻想变成了现实，赋予了仿生人电子生命。然而，从本质上看，维纳斯和亚当的诞生都具有罪恶性。维纳斯的罪恶性是与生俱来的，源自一场人伦惨剧。克罗诺斯阉割了父亲乌拉诺斯，将生殖器扔进海里，维纳斯在激起的泡沫中诞生。因此，维纳斯是伦理问题具象化的产物。亚当的罪恶性主要来自于他与人类并非同类这一本质性特征，他的诞生会引发诸多伦理问题，威胁到人类的主体性地位。

在与米兰达、查理构成的人机家庭中，亚当始终是一种工具性的存在。作为挣钱工具，亚当本可以靠其超强运算能力帮查理暴富。但亚当却自作主张，将钱捐赠给了他认为是最迫切的人，这一行为是亚当获得主体性地位的一次尝试，二人一机的关系也由此产生了裂痕。此外，亚当也并未被二人所代表的传统伦理道德观念所接受。在传统伦理道德中，出轨被看作道德伦理的越界行为。据查理自述，与前任女友克莱尔分手是因为他的“一次无法抵赖的不忠行为”（14）。然而，在对待亚当这个同女友米兰达发生性关系的情敌时，查理的态度和行为与这种观念相悖。他在楼下听着两人的一举一动，用意识之眼观察，为人工智能给他戴了绿帽子这件事而恼怒，但更多的是感到新奇。他的潜意识始终将亚当看作非人类，所以他并未在当下制止二人行为。米兰达对这件事的态度更加无所谓，她将亚当看作性服务的工具。不仅如此，当亚当与查理和米兰达产生分歧时，二人在无声之间达成共识，挥起锤子，决绝销毁了亚当。这一选择背后所反映的是，当人类中心地位受到挑战，人工智能人损害到人类利益的时候，人类会不假思索的将其毁灭。

亚当不仅未能融入米兰达和查理这一小型群体，也从未真正融入人类社会，始终作为局外人存在。亚当作为人工智能人，拥有着非人的特性，这些特性与小男孩马克形成了鲜明对比。麦克尤恩对马克的哭泣做了细致的描写，他的哭泣是循序渐进式的，“嘴巴先向下拉长了，然后是哀怨的人发出的那种长长的呜咽声，越来越低，随后是‘咯’的一声（……）然后就是嚎啕大哭”（113）。孩童生来就会哭，人工智能人却只能通过模仿和学习获得

这种能力。查理带着亚当去见店主西蒙，和外面的世界接触。亚当的种种反应都表现出非人的特性，西蒙佯装不知以示礼貌，查理则认为他让机器人伪装成人类的行为是对西蒙的一种背叛。

除了小说的具体情节，麦克尤恩对小说叙述视角的选择也将机器人排除在外，使其成为被听说的他者。小说通篇以人类查理的视角展开叙述，并未涉及亚当的内心活动。由于叙述人不是全知全能的，其陈述具有主观性，不可靠性。小说中的亚当，很大程度上只是人类主观臆想下的产物。借助书中的科学家艾伦·图灵之口，麦克尤恩道出亚当、夏娃们纷纷选择自杀的原因：“这种智能总体上是根据理性的原则来设计的，对他人温和友善，所以很快就会置身于纷至沓来的矛盾之中（……）我们生活中充满着这样的折磨，却毫不妨碍我们找到幸福，甚至爱。人造的心智可没有这么坚强”（189）。所谓的坚强的心智，是由理性意志与自由意志共同构成的。由于人是一种斯芬克斯因子的存在，由人性因子和兽性因子组成<sup>1</sup>，而人工智能人则由百分之百的理性因子构成，这种单一的存在很难在矛盾的人类社会中生存。

从麦克尤恩的小说创作中可以看出，他对科学、人类未来的关注和思考是持续而深入的。随着人工智能的发展，人工智能人的产生模糊了人与机器的界限，威胁到了人类的主体性地位。在这一社会背景下，他创作出了《我这样的机器》，小说副标题仿佛是站在对立面的人工智能人对于“人类何以为人”的诘问，人工智能人尚且具有崇高的人性，那么人类呢？尽管文学界将这本小说定义为软科幻小说，他本人却持反对意见，因为从本质上讲，这仍是一部描写处于伦理选择阶段的伦理人的小说，小说所要关照的仍旧是人类，而非人工智能人。人工智能人是“人技艺、欲望、情结与顾虑的外向投射和物化结晶”（程林 111），始终作为一种镜像他者存在。后伦理选择时代的伦理选择本质上还是人类对人工智能人的选择，选择主体仍旧是像查理和米兰达这样的自然人，而非科学人。人工智能人作为社会中的他者存在，难以在以人类为中心的社会生存。因此，后伦理选择社会需要坚持以人为本的理念，坚持伦理先行，形成人工智能伦理指南及相关机制，解决新型伦理与法律，权力的矛盾，形成人机命运共同体。

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# 《中国孤儿》的伦理书写与伏尔泰的实用主义探究

## The Ethical Writing in Voltaire's *The Orphan of China* and an Exploration of His Pragmatism

唐 果 (Tang Guo)

**内容摘要:** 本文通过对伏尔泰《中国孤儿》伦理书写的解读,探讨其如何在法国启蒙背景下,通过儒家元素映射并审视道德与社会秩序的张力。伏尔泰改编《赵氏孤儿》,利用儒家伦理解构善恶对立、情理之争、专制利他之辩、悲喜两轮的二元论,提出开明君主理念。通过塑造“成吉思汗”一角,展现道德在引导君主推进文化艺术发展和理念革新中的作用。在文学伦理学批评框架下,本文旨在分析伏尔泰对儒家文化的阐释及其在政治启蒙中的实用主义立场,揭示跨文化叙事中的伦理观念及其在社会变革中的作用。

**关键词:** 《中国孤儿》; 儒家伦理; 开明专制; 二元解构; 实用主义

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**Title:** The Ethical Writing in Voltaire's *The Orphan of China* and an Exploration of His Pragmatism

**Abstract:** The purpose of this study is to examine how Voltaire uses Confucian principles in *The Orphan of China* to scrutinize the tension between morality and social order during the French Enlightenment. In his adaptation of *The Orphan of Zhao*, Voltaire utilizes Confucian ethics to deconstruct binary oppositions such as good versus evil, emotion versus reason, absolutism versus altruism, and tragedy versus comedy, resulting in his concept of the enlightened absolutism. In characterizing “Genghis Khan”, this play demonstrates the role of morality in guiding a monarch to foster cultural, artistic, and political-philosophical innovation. Set within the framework of ethical literary criticism, this paper analyzes Voltaire's interpretation of Confucian culture and his pragmatic approach to political enlightenment. It reveals the ethical perspectives embedded in cross-cultural narra-

tives and their impacts on social transformation.

**Keywords:** *The Orphan of China*; confucian ethics; enlightened absolutism; binary deconstruction; pragmatism

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元杂剧《赵氏孤儿》于1735年经由耶稣会传教士马若瑟（Joseph de Prémare）的翻译传入法国，不仅开启了中国戏剧在海外传播的先河，同时也是儒家道德观念与西方启蒙政治哲学交汇的典型例证。伏尔泰以此为蓝本，创作了广受欢迎的《中国孤儿》（*L'Orphelin de la Chine*, 1755）。新剧在情节背景和人物塑造上与原作有着显著的变化。从《赵氏孤儿》中春秋时期晋国奸臣屠岸贾对赵家的陷害以及程婴救孤的英勇传奇，到《中国孤儿》成吉思汗征服中原、试图灭绝前朝遗孤而最终被儒家文人的品德所感化、宣布大赦的故事线，跨文化叙事在启蒙伦理思想下得到了重构和创新。

“在文学伦理学批评的概念体系中，‘伦理’主要指的是文学作品所创造的世界中维持人际关系的伦理关系和道德秩序”（Nie, “Ethical Literary Criticism: A Basic Theory” 190）<sup>1</sup>。依此理论视角，本研究通过对《中国孤儿》的伦理解读，深入探析其所体现的德政、秩序、礼治等儒家元素，及其与西方“开明专制”理念的交织与对话。通过分析剧中的关键场景和人物行为，本文旨在解读戏剧作品如何映射和审视特定历史文化背景下的伦理思想和社会变革。19世纪德国学者威廉·罗希纳（Wilhelm Roschner）首先提出“开明专制”这一政治术语，将之定义为开明原则下的绝对主义。<sup>2</sup>这一思想观念影响了启蒙时代的许多欧洲国家，法国哲学家伏尔泰乃该理念的捍卫者之一。尽管伏尔泰对东方道德的追求已受到学界关注<sup>3</sup>，但鲜有学者从文学伦理学批评<sup>4</sup>的维度，解读《中国孤儿》的伦理书写。特别是关于伏尔泰如何通过儒学元素来解构传统悲剧的二元对立，并推动背后“开明专制”理想发酵的讨论，尚待进一步深化。伏尔泰高度重视戏剧场域的张力，关注观众的审美体验，并强调艺术与思想的共鸣。本文立足于《中国孤儿》“文学性”与“伦理性”相

1 本文外文引文均出自笔者译。

2 参见 Jérôme Hélie, “L'Europe des Despotes Éclairés,” *Le XVIII<sup>e</sup> siècle*, edited by Jérôme Hélie, Paris: Armand Colin, 2021, 255-281.

3 参见刘艳春、赵长江：“《赵氏孤儿》在海外的传播及影响”，《河北学刊》1（2015）：95-99；吕世生：“元剧《赵氏孤儿》翻译与改写的文化调适”，《中国翻译》4（2012）：65-69。

4 参见 聂珍钊：“人文研究的科学转向”，《文学跨学科研究》4（2022）：567。



辅相成的特性，探究促成该剧成功的解构技巧，同时挖掘其背后超越文本的思想意义。

### 一、善恶之间：戏剧人物的伦理抉择

从元杂剧《赵氏孤儿》到伏尔泰的《中国孤儿》，传统的善恶对立在人物塑造上被巧妙地解构，造就剧情的跌宕起伏、叙事的层次厚度，展示了文学描绘道德选择的复杂性。“道德选择帮助赋予人类以理性和道德意识，从而最终使他们成为具有道德性的存在”（Nie, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection” 386）。伏尔泰通过刻画人物的道德决策，揭示了人类从伦理层面的进步。

在《赵氏孤儿》中，正面角色忠诚诚实，反面角色狡诈凶残，二者交锋尖锐，没有中间地带，体现了冲突的外在化与绝对化。在邪恶的人物范畴内，纪君祥只设置了一个消极角色：屠岸贾。此人物残暴至极，其恶行甚至从外貌上可见，足以平衡余下五个善良角色。这种二元对立的人物体系强化了元杂剧中英勇主义的效果，对恶行的谴责也愈发明显。然则，纵观《赵氏孤儿》整个剧情，反派形象虽具经典之风，但其主要作用仅在于作为与主角立场相对立的敌方力量。反派本身特质并未得以充分展现，更多时候仅作为需被击败的对象。伏尔泰认为，倘若延续《赵氏孤儿》中反派人物至恶至暴的路线发展，只能铸就英雄叙事的史诗故事范式，而真正的突破尚未形成。故此，伏尔泰创设全新“反派角色”：成吉思汗。他并非单纯作为正义对立面而存在，而是“介于两个极端之间的英雄”（Roubine 11）。

伏尔泰保留了善恶的基本划分，但利用儒家道德元素，对非黑即白的二元论展开解构，创造了更为复杂的道德景观。他认为，元杂剧中的刚性对立难免令人陷入两种截然相反的极端情绪，反而会模糊西方悲剧中必不可少的悲怆情绪。深受法国古典悲剧“两难”法则的影响，伏尔泰强调《中国孤儿》中“没有任何一个人物可以赢得所有人心”（“A Monsieur le Maréchal Duc de Richelieu” 109）。因此，在人物塑造上，他构建了一个全新的三角框架。一边是伊达美和扎姆梯夫妇，善良正直的儒家文人。一边是成吉思汗的副将奥克塔，凶狠残忍的鞑靼侵略者。这两派人物作为典型的好人和坏人，是静态的人物，性格是无任何明显变化的。支撑这两边的中间人物就是第三派人物成吉思汗，其性格立体多元，游走于善恶之间，集善战、钟情、凶狠于一身。他内心的儒家化过程象征了善恶的转换和文明的升华。

从文学伦理学批评视角看，伏尔泰通过塑造成吉思汗这一具有多维度属性的角色，不仅是在描绘人物与所处环境之间的伦理关系，更是在审视这些关系如何反映和质疑社会公认的道德观念和秩序。在赞美中国文明的同时，他还引出一个启蒙伦理家广泛讨论的问题：如果善是公平正义，社会良序的标准，那么为什么历史上先进文明屡次被落后文明所征服？伏尔泰通过

扎姆梯在第一幕第一场的台词：“何用崇尚美德之光？吾辈本钟爱和平之道，立法者曾为世间楷模；法典曾引领万物之规：然皆成徒劳，智慧遭践踏；力量摧枯拉朽”（*L'Orphelin de la Chine*, 1.1, 127）<sup>1</sup>来体现这种道德冲突和文明的挑战。

此独白直击启蒙时代部分欧洲伦理思想家持有的“道德无用论”的观点。<sup>2</sup>这一观点与以“德治”学说为核心的“道德决定论”相反，否定道德的能动教化作用。然而，伏尔泰坚信，尽管无德的势力可能暂时以武力征服有德之民，但最终也会被自身的野蛮所反噬。他借成吉思汗之角探讨了道德进步的可能性，揭示了即便是最初缺乏道德导向的人，在理解道德真谛后，也能朝着正义转变。因此善恶并非黑白对立，道德与理性也非二律背反。理性与道德之间是相互依存和交替上升的关系，影射了法治产生、发展过程中的文明运行轨迹。所以，面对18世纪部分思想家对于道德进步和理性思维之间的联系持有的质疑态度，伏尔泰将进一步进行反击。他通过解构“理性与道德”的二元对立，证明道德进步本质是个识智的过程。

## 二、理性与道德：伏尔泰视域下的君德体系

文学伦理学批评不仅成功地“挖掘了文学作品所蕴含的伦理道德思想”，还显著“发挥了文学作品的教诲功能”（唐洁 杨金才 156）。这一理论方法在理解《中国孤儿》中展现的教化力量方面显示出其批评实践意义。伏尔泰在作品中强调了美德在文明社会中的关键作用，反对将理性置于道德的对立面。他认为中国的儒家思维就是一种实用理性，对孔子主张的“为政以德”充满敬意。《中国孤儿》贯穿了一个核心观点：美德是可以复制与习得的。在第一幕第一场中，伊达美感叹道：“或许潜心所愿，将此猛狮于吾铁笼中致驯顺，使蛮夷适应我国风俗礼仪”（1.1, 127）。伏尔泰通过伊达美的话语提出了进一步的伦理问题：是否能够通过善政引导固步自封的帝王成吉思汗，使其免于沦为肆意践踏一切的暴君？

在伊达美的思想语境中，“美德”被视作文明和野蛮的分水岭。启蒙时代，以孟德斯鸠为代表的一些哲学家批判建立在恐惧之上的专制统治，认为其必将导致暴力。<sup>3</sup>而伏尔泰反对这种缺乏中间环节的观念，他积极寻求一个文化缓冲地带，即“君主与道德家联盟”的开明专制。他认为，依靠道德秩序建立的君主专制乃科学理性之本，而非冲动感性。<sup>4</sup>这种君主就是他笔下的成吉思汗。若说《赵氏孤儿》中的人物设定存在鲜明对立，以屠岸贾等奸

1 本文有关《中国孤儿》的引用均出自 Voltaire. *L'Orphelin de la Chine*, edited by Basil Guy (Oxford: The Voltaire Foundation, 2009). 以下引文仅标注幕、场和页码，不再一一说明。

2 参见 Catherine Puigelier, “La vertu n'est pas un bien, c'est un devoir (Voltaire),” *La vertu*, edited by Jean Foyer, Paris: Presses Universitaires de France, 2009, 27-63.

3 参见 Montesquieu, *De l'Esprit des Lois*, Paris: GF Flammarion, 2013, 97-99.

4 参见 Voltaire, *Dictionnaire Philosophique*, Paris: GF Flammarion, 2013, 298-299.

臣的滥杀无辜和程婴等忠臣的大公无畏为例，那么在伏尔泰塑造的成吉思汗身上，这种脸谱化的绝对对立得到了极大的缓和。自与儒家文人相识后，原本的暴君开始陷入对自己道德责任观的困惑。他自问：“面对战争带来的痛苦，我应感骄傲抑或懊悔？”（2.4, 151）《赵氏孤儿》中单向、对立的人物类型因主角内心的道德拷问而得以解构。曾摧毁一切的成吉思汗，如今对遭受摧残的中国文化表现出了惋惜之情，他反思道：“昔日轻视之物，皆为人类伟大智慧结晶”（2.5, 153-154）。

成吉思汗的独白显示了伏尔泰希望通过“开明君主”改革旧制度，构建符合理性社会的愿景。启蒙时期众多的哲学家、重农主义者和文学家都主张建立一个开明的改革政权，然而关于如何实现此目标，意见千差万别。对那些自居政治哲学家的人而言，理性（raison）是所有政治设想的基础。但“理性”只是一种带着神秘色彩的理想，并非共识性的权力理论，更非政府实践。“理性”的涵义是经济、社会和政治进行科学逻辑的研究并加以改良。那么推进改良的动力何在？那就是来自君主权威。法国学者路易斯·特伦纳德（Louis Trenard）指出，支持开明专制的法国哲学家主张“君主是唯一有能力将改革落实于那些愚昧、拘泥条规的民众的人”（629）。然而，君主采取的措施必须服从社会效益与法律，而服从的基石便是道德。道德不仅能够照亮君主心智，还能维系社会秩序，这种主体构建即为“理性”，而非情感、欲望与冲动。伏尔泰通过耶稣会士的著作与信件研究中国历代皇帝，认为信奉儒家道德的中国政权是令人钦佩的政治模式，体现了专制权力的优势，这是一种“能够完全遵守政府法律与基本准则的绝对权力”（Quesnay 1042）。再比如，1756年，伏尔泰在《风俗论》（*Essai sur les Mœurs et l'Esprit des Nations*）中屡次把康熙王朝的儒家社会道德描绘成维系社会理性秩序的依据。他的其他历史作品如《路易十四时代》（*Le Siècle de Louis XIV*, 1751）《与凯瑟琳大帝的书信来往》（*Lettres de l'impératrice de Russie et de M. de Voltaire*, 1785）《彼得大帝的俄罗斯史》（*Histoire de l'Empire de Russie sous Pierre le Grand*, 1759）与《中国孤儿》实际上构成一个开明专制系列的闭环，突显其认同以君王为主体的意识形态，寻求绝对君主制与道德组织同构互通的社会伦理愿景。

因此，在《中国孤儿》中，原本可能走向贪鄙专横的成吉思汗，在汉朝官员的美德感染下趋于温和。这一方面符合亚里士多德（Aristote）定义的“既非善良亦非邪恶，既非纯洁无辜亦非罪不容诛”（77）的悲剧人物中间模式，另一方面也展现了道德驯化蛮横的进步过程。本与恶人屠岸贾一样残忍疯狂的成吉思汗，反而被扎提姆刚正不阿的英气概怀所吸引，这种精神进化在成吉思汗的台词中随处可循，如第三幕第四场：“天呐！到了那时，吾心将会翻然！吾心中之警醒；正被美德所降伏，泪水所驯服；吞纳吾悲伤与羞愧之叹息！”（3.4, 172）

剧中成吉思汗的转变，反映的正是文学作品在启发道德思考、推动社

会进步方面的潜力。对于正受德化熏陶的成吉思汗而言，最大的矛盾并非来自外部因素，而是现实存在与精神内涵的对立，这也是理解“进步”理念的关键。启蒙时期的“进步”理念激起了激烈的争论。代表性的反对者，如卢梭，对“进步”概念所蕴含的乐观主义表示否定，并在《论科学与艺术》（*Discours sur les Sciences et les Arts*, 1750）中指出，科学、文化与技术的发展实际上孕育了堕落，损害了自然和社会的纯朴。<sup>1</sup>伏尔泰则是进步理念的忠实捍卫者。在《中国孤儿》的题词中，他借机讽刺卢梭的观点“野蛮原始”（*L'Orphelin de la Chine*, 117）。他坚信在理性的推动下，人类无需屈服于当前不合理的现象，也无需寻找逝去的黄金时代，而是可以在智力和道德上取得当下的进步。在消解了道德与理性的刻板对立后，伏尔泰转向更为深层的解构：即专制与“利他”的对立。

### 三、权力的调和：专制中的“利他”观念

《中国孤儿》的叙事背景以鞑靼入侵中原为历史依据，彰显了启蒙运动所关注的核心议题：揭示专制的罪行和抵制暴政。然而，在伏尔泰的作品中，他对彼得大帝、路易十四和康熙大帝等所谓专制君主给予了盛赞与高度评价。一些法国历史学家认为卢梭和伏尔泰关于王权的观念表面上看似背道而驰。然而，仔细审视他们的著作就会发现，卢梭的共和主义并非如人们所想象的那般极端，而伏尔泰在私人信札中对彼得大帝的喜爱也没有他在《彼得大帝》中所展现的那般浓厚。因此，在《中国孤儿》中，关于成吉思汗的政治权力限度问题，伏尔泰既非完全肯定亦非全盘否定，而是着重强调儒家道德在专制君主治理中的调节功能，显示了他对政治伦理问题的深层考量。

“文学的功能在于通过赞扬美德和惩罚恶行来教导道德价值观。其最终目标是回答如何将自然意志和自由意志置于理性意志的控制之下的问题”（Nie, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection” 392）。成吉思汗的转变生动的体现了理性意志如何有效的引导和塑造美德。在接触儒家思想之前，他对同情与仁慈一无所知。伊达美在第五幕第五场中感叹：“暴君的傲慢无礼一览无余”（5.5, 207）。接着，伏尔泰借助儒家元素，打破善恶二元论，探讨了与理性本身相关的道德议题。专制君主将“认知理性”转化为“实践理性”后，首先形成了诸如“明智”和“自制”等“一己德性”。问题在于，如何在这个基础上，进一步培养“利他”的自由品质，并在社会组织中推动“道德德性”的落实。伏尔泰提倡精英治国，而精英所承担的责任以及社会对他们的期待，就是在道德规范的框架内协调社会各阶层的利益平衡，即天下为公。这种基于职责的个人政治道德，体现为为天下人谋利的“利他”。孔子倡导以道德担当对抗权威，伏尔泰从中看到了道德对君主政治主体性的积极消

<sup>1</sup> 参见 Anne Deneys-Tunney, *Un Autre Jean-Jacques Rousseau: Le Paradoxe de la Technique*, Paris: Presses Universitaires de France, 2010, 39-59.



解作用，形成了开明专制的理念。统治者“利他”的价值取向，实际上源于个人的认知能力和“善良意志”。伏尔泰认为，法国君主亦应借鉴中国范本，依靠“美德”维持住法国的历史进程，使文化慧命于不绝。在第五幕第六场（终幕），成吉思汗在“专制”与“利他”之间找到了融合点，并培育了对美德真诚与纯洁的热爱：“扎姆梯：究竟何因驱使尔如此行事？成吉思汗：乃尔等之美德也。全剧终”（5.6, 213）。

伏尔泰通过细腻地描绘成吉思汗内心的伦理冲突和选择，不仅解构了“专制”与“利他”的二元对立，还展示了道德主体形成的复杂性。在这个过程中，成吉思汗的克制和思考起到了关键作用，他的内心博弈突显了道德在抑制腐化和促进社会进步中的良性作用。这一理念与中国传统政治结构中的儒家知识分子定位不谋而合，“‘道义担当精神’这一共同特质使西方近代以来的知识分子和儒家士大夫可以联系起来考察。道尊于势，道统高于政统”（谢远筭 65）。伊达美和扎姆梯作为剧中的儒家官员，在客观上表达了人民对现实权威的不满，缓和了君主与人民的直接冲突。而成吉思汗依靠德化克服了暴躁、情感冲动，这也说明道德主体的形成和构建主要依赖于作为人类认知能力的理性，而非欲望等非理性因素。这种君王任用贤臣，贤臣优化君王的社会管理模式，不仅深化了《中国孤儿》中对伦理问题的探讨，也契合伏尔泰对开明专制的政治愿景。

#### 四、文体裂变：《中国孤儿》的悲喜剧解构

自古以来，悲剧被西方文学界视为至高无上的文学形式，遵循着一套严密而规范的审美原则。以拉辛（Jean Racine）、高乃依（Pierre Corneille）等为代表的法国古典悲剧，结局往往走向死亡与毁灭。然而，《中国孤儿》打破了这一范式，展现了在不同伦理环境下文学定义的多样性。通过对戏剧中刚性二元框架的层层解构，伏尔泰创造出一个美德战胜野蛮的大团圆结局，这不仅与西方古典悲剧的传统规则不符，也引发了当时观众对于戏剧体裁内涵与外延的激烈讨论。

在分析《中国孤儿》的文体裂变，即从传统悲剧到悲喜剧的转化中，可以观察到文学作品中的道德决策和价值观念对人物命运和故事结局的影响，以及作者对现实世界的伦理关怀。《中国孤儿》悲喜剧界限的跨越核心，在于对主人公成吉思汗道德觉醒的描述。这不仅是故事情节上的转折，也是伦理驱动下的文体革新。依据原著《赵氏孤儿》的忠义故事，《中国孤儿》的悲剧人物原应为大义凛然的英雄扎姆梯，而悲剧行为则应为其崇高的“舍子救孤”事迹。然而，伏尔泰却将带有过失和缺陷的反派角色成吉思汗抬升至与正面角色扎姆梯相抗衡的地位，称“中国人扎姆提和鞑靼人成吉思汗是两个同样迷人的角色”（“Au duc de Richelieu” 499），同时，他还把成吉思汗比作亚历山大大帝，往其人生轨迹中加入“伟大”、“征服”等

喜剧因素来吸引读者的关注：“为什么每个人都读亚历山大的故事，而更伟大的征服者成吉思汗的故事却找不到那么多读者呢？”（“A M. Le comte de Schouvaloff” 172）。遵循悲剧规则，主人公理应在度过重重困阻之后，仍无法抵抗来自社会的压力，最终走向悲剧性的结局。而《中国孤儿》整个剧情的逻辑却明显呈现出喜剧特征，讲述了君主历经内心磨砺后终于战胜困境，反映了政治的开明。

《中国孤儿》的悲喜混合特质在 18 世纪法国吸引了广泛的公众关注。首先，该剧反响强烈，1755 年首演于巴黎法国国家剧院时，场场座无虚席，门票及加座票销售一空，甚至连享有盛名的格拉菲尼夫人（Graffigny）也无票可求：“昨天我们想去看‘成吉思汗’，却无法进入剧场。观众反应强烈，甚至加演九场！”（248）两个月后，格拉菲尼夫人终于观看了此剧，并感慨万千：“我终于看到《中国孤儿》，其中有两三处让我泪流满面”（249）。《中国孤儿》虽然不符合古典悲剧的特定模式，剧情的转变不再由顺境转入逆境，而是由逆境转为顺境，然而，它却以深刻的教诲功能打动了观众的心灵。尤其是结尾最后一句“你的美德”印证了君王克服自利的阻碍，反映了法国社会对拥有进步人性的向往。18 世纪戏剧评论家拉·莫利埃尔（La Molière）对于这种喜剧结局赞赏有加，认为其中所包含的“英雄主义是何等自然！”（9）简言之，《中国孤儿》喜剧结局之所以能打动人心，关键在于其所蕴含的社会意义。与此同时，也不乏一些剧评家批评《中国孤儿》缺乏悲剧冲突应具有不可调和性。18 世纪剧评家德斯科特（Descotes）写道：“我对《中国孤儿》持保留态度，对于成吉思汗面对汉朝儒士反抗时的“无所作为”，我持批评态度”（152）。格林（Grimm）则指责剧中人物性格模糊：“这个横扫天下的征服者在剧中性格模糊，他茫然不知自己想要什么。他凶残的同时又显得优柔寡断；他过于温和，容易被他人说服”（440）。换言之，18 世纪仍有部分观众认为，伏尔泰把冲突置于喜剧框架内的尝试不过是一种乌托邦式设想，一个残忍的暴君不可能“进步”成一个慈爱的君主，同时也导致该剧缺少悲剧所特有的紧张氛围。

这些反响实际上揭示了当时社会和政治动态下，伏尔泰作为启蒙时代第三等级代表性人物的实用主义思维。他在《中国孤儿》中的文体革新不仅挑战了传统悲剧中的固有伦理价值观，而且创造了一个既具深刻意义又与现实紧密相连的作品。他积极参与政治讨论，频繁表达了对不同制度的见解，无论是面对英国的自由政体和议会政权，还是法国莫普司法改革中的王权强化，伏尔泰始终强调道德伦理在社会秩序中的重要性，显露出他对开明君主制这一中间政体的偏好。正是这种思维导向驱动了他在创作《中国孤儿》时对体裁的创新，其中，他通过融合儒学元素解构了西方悲剧的内部结构，展示了文学形式在伦理观念推动下的发展与进步。

在对《中国孤儿》的伦理书写进行解读时，不仅需要关注文本的表层意义，而更需探讨作品背后的道德议题。该剧之所以在18世纪法国获得成功，正是因为它所倡导的“进步”理念。然而，启蒙时代的“进步”观念本身就富有复杂性。《中国孤儿》所产生的不同观点正是反映了18世纪法国社会新旧形态交替、新旧生产方式并存时期思想的多样与驳杂。伏尔泰支持君臣等级制度，倡导哲学家为君主献策的同时，也呼吁人人平等。尽管有人质疑伏尔泰的观点无法称得上改革，然而，改革与回归之间的界限实则模糊。在改编的过程中，伏尔泰采取的解构策略并非对原作的单纯否定或破坏，而是以儒家思想从作品内部进行重新诠释和构建。这种方法不仅扩展了原作的意义层次，还将东方哲学与西方政治思想相结合，展现了启蒙理念在跨文化语境下的多样性。运用文学伦理学批评视角，可以看到《中国孤儿》在人物性格和道德决策上的深刻描写，突显了文学在探索人性深层面，挖掘道德困境及其解决方案上的独特价值。伏尔泰通过自己的作品寻求一种以道德为基础的文明结构，他的这种追求并非空想，而是基于对现实的关注和考量。在他的思想体系中，承认开明专制并非是对愚昧和黑暗的妥协，反而是出于理论逻辑的需要。正如他所写：“假若法国人不那般法国，那我笔下的中国人将更为中国，我的成吉思汗也会更鞑靼”（“A César Chesneau du Marsais” 580）。伏尔泰追求一种让哲学思想可以自由表达的宽松气氛，一种从上至下强有力实行德化的文明社会，一种超越以暴易暴恶性循环的进步可能。《中国孤儿》中勾勒出的开明专制理想图景，恰恰彰显了伏尔泰非虚妄理想主义者，而是关注现实的实务主义者。

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# 芬顿《赵氏孤儿》跨文化戏剧改编中的“死亡书写”与其伦理意蕴

## On Death Writing and Its Ethical Implications in Fenton's Cross-Cultural Dramatic Adaptation of *The Orphan of Zhao*

杜磊 (Du Lei)

**内容摘要:** 在婴孩之死的创写中, 芬顿通过引入母亲重构了程婴“献子”的伦理困境, 以诗歌的文体形式令程婴之子在舞台上自叙死亡, 并以其情感进程批判了封建父权; 芬顿为屠岸贾之死建构了“父爱”与“暴政”两条脉络。他对屠岸贾暴政场景的描摹是其“毁灭”为主体的“脑文本”在戏剧冲突模式下的能指, 孤儿弑父则象征着芬顿以文学想象与操演对暴政的清算; 芬顿对程婴之死的颠覆式改写是建立在其对生命意义深刻理解的基础之上的。婴儿变成鬼魂是芬顿突显人之生命权, 延伸其对生命与人性关系思考的方式。通过对程婴命运的改写, 芬顿在“赴汤蹈火”的中心历史叙事中再次确立并申告了个体与集体的精神边界。

**关键词:** 芬顿; 赵氏孤儿; 改编; 死亡书写; 伦理

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**Title:** On Death Writing and Its Ethical Implications in Fenton's Cross-Cultural Dramatic Adaptation of *The Orphan of Zhao*

**Abstract:** In recounting infant's demise, Fenton not only reconstructs the ethical dilemma of Cheng Ying's "son-sacrificing" by introducing the role of mother, but also employs the stylistic form of poetry to have Cheng Ying's son articulate his own death, criticizing the feudal patriarchy through the latter's emotional process; Regarding Tu Anqu's death, Fenton creates two trajectories: "fatherly love" and "tyranny". His description of tyranny is a signifier of his "brain text" in the mode

of dramatic conflict with “destruction” as subject, and the orphan’s “patricide” symbolizes Fenton’s liquidation of the tyranny by literary imagination and manipulation; Fenton’s subversive rewriting of Cheng Ying’s death is based on his deep understanding of the meaning of life. The infant’s transformation into a spectre represents Fenton’s advocacy for humans’ right to life, extending his reflection on the relationship between life and humanity. By reshaping the fate of Cheng Ying, Fenton re-establishes and proclaims the spiritual boundaries between the individual and the collective within the central historical narrative of “going through fire and water”.

**Keywords:** Fenton; *The Orphan of Zhao*; adaptation; death writing; ethics

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《赵氏孤儿》是一部18世纪至今中外不断进行改编的悲剧经典。2012年，英国当代诗人詹姆斯·芬顿（James Fenton）以元杂剧为底本，参考明传奇《八义记》与现代京剧（1958年王雁版本）对其又进行了一次改编。<sup>1</sup>这部《孤儿》（*The Orphan of Zhao*）由格里高利·多伦（Gregory Doran）执导，在皇家莎士比亚剧团（Royal Shakespeare Company）天鹅剧场（Swan Theatre）当年就上演多达61场<sup>2</sup>，后又传播至美国等多地，获得了中外戏剧评论界的高度认可。从体裁的角度看，《孤儿》首先是一部悲剧，而悲剧最关键的因素在于它能激发怜悯与恐惧，产生情感“净化”（Katharsis）（Aristotle 18）。在《孤儿》中，这种使戏剧能量达到顶点的情感“净化”作用无疑是通过不同角色在戏剧进程中的死亡来实现的。死亡书写对于《孤儿》有着双重意义：它不仅统摄与揭示了悲剧主题，又具有结构化的功能与意义：由于蕴含着强烈的人性与伦理冲突，个体的死亡是戏剧情节发展的中心与拐点。《孤儿》的跨文化戏剧改编问题因而实质上是角色的死亡伦理问题。在芬剧中，角色的死亡伦理具有特殊的结构。婴孩、屠岸贾与程婴的死首先分别构成了悲剧的三大“伦理结”，若横向串联起来，它们又组成了一条伦理线。若进一步从三者死亡关系的角度看，这条“伦理线”还形成了一个相互引发、首尾相接的圈状结构。本文尝试以融通《孤儿》中外改编于一体的方式分析芬顿是如何书写婴孩、屠岸贾与程婴之死，阐释其背后深层的伦理意蕴。

1 此剧以下简称《孤儿》，本文有关芬剧《孤儿》的引文均来自 James Fenton, *The Orphan of Zhao* (London: Faber & Faber, 2012)，以下只标注页码，不再赘注。引文均系作者自译。

2 参见 Arts Council England, *Royal Shakespeare Company Annual Review: 2012-2013*, Stratford-upon-Avon: Royal Shakespeare Company, 2020, 17.

### 一、父权的伤痕：婴孩之死

无论对《孤儿》做何种改写，程婴之子被牺牲的命运在他决定接受托孤遗命时的一刹那起就已经被决定了。婴孩之死不仅是赵氏孤儿得以蒙混屠岸贾之眼存活下来前提，还是剧情发展与演进的必要条件。然而，与剧中其他角色的主动牺牲相比，婴孩的牺牲根本上不同——他虽是人，却没有自由意志，不具备伦理选择的能力。

芬顿改编的第一步即是从程婴献子入手，重构人物的伦理困境。要实现这点就必须向封建父权发起挑战，而挑战父权最大也是最天然的力量来源于婴儿生母。引入婴儿生母与程婴对峙并非芬顿首创。早在1741年，英国剧作家哈切特（William Hachett）就在其《中国孤儿》（*The Chinese Orphan*）中为程婴添置了妻子一角。然而，剧中程妻之所以会允许献子却是因为受到了程婴的巧言哄骗，即在屠岸贾敕令六月以下的婴儿三日之内尽数屠杀的形势下，相信他抱来孤儿是为了让自己的孩子免遭屠戮。<sup>1</sup>如此一来，婴孩母亲就只能以其母性本能象征性地成为戏剧情节的一部分；香港导演严俊取现代京剧叙事架构改编而成的黄梅戏电影《万古流芳》（1965）填补了京剧剧场对献子不表的缺失，但对程妻的刻画却明显偏于软弱：影片中，她先被程婴从怀抱中夺走婴儿，进而又被公孙以家国大义相劝，终在泪水中放弃抵抗，默许献子。

母亲从来都是婴儿生命最强大的保护，父亲可能献子，母亲绝无可能。但当芬顿牵引着一股强力介入，企图打破母子一体的伦理纽带，为母者如果不甘心于只是无奈哭泣，又该如何应对？芬顿是这样把握的：

程婴：我不能把孤儿交出去。我做过承诺。我不知道我会失去什么，但我知道这会让我付出昂贵的代价。当他们来找我的时候，我知道我将面对死亡。但出卖赵氏孤儿，就是我的耻辱，我无法承受。

程妻：出卖这个陌生人的孩子，觉得是耻辱，但你自己的儿子，你自己的亲生孩子，你就可以出卖了。你是什么样的父亲啊？！（28）

程婴一回到家就向其妻宣布公孙的来意：与他一道求她“做出巨大的牺牲”（28）。面对公孙带有威胁口吻、晓以利害的劝说，她头脑清醒，不为所动。她不仅提醒两人敌我力量悬殊，要认清时局，更是按血缘关系划清了自己与孤儿的伦理界限。在接下去的对话中，“出卖”和“耻辱”构成了话轮的封锁结构——她紧咬住程婴说的这两个词，以牙还牙地将程婴从道德制高点拉回到了父亲这个基本伦理身份上。她的反驳说得很清楚：尽管为人

<sup>1</sup> 参见 William Hachette, *The Chinese Orphan: An Historical Tragedy*, London: Printed for Charles Corbett, 1741, 31.

父有决定子命的特权，但是脱离人性替子选择死又恰恰消解了父权存在的基础，哪怕有个人忠诚乃至家国大义作为支撑也无济于事。借程妻一角，芬顿阐明了过去改编者遮遮掩掩或视而不见的父权伦理悖论。

一边，自己的丈夫要大义凛然地作出“崇高的牺牲”（28）；另一边，公孙又以向她下跪的方式拿“长者的身份与仁慈”（高子文 82）苦苦相逼。左右夹击下，程妻终究无力抵挡，被迫承受丈夫的伦理选择。与父权的对峙中，她以母权对婴儿生命的主张被压制住了。婴儿依旧死于屠岸贾的利刃之下。为了表现婴孩之死这一悲剧高潮，芬顿史无前例地使这个原本的道具在舞台上发了声：

啊，我的父亲，我的父亲，  
你可听见雨中的咆哮，风中的声音？  
花瓣儿一片片坠落，枯枝儿一根根折断，  
残破的枝桠全落在大地上。

用线补得好碗，却补不了心，  
把瓮里的酒撒在我的坟墓前。  
一滴滴的眼泪，一滴一滴地流，  
而我将一饮而尽这饱含悲痛与爱的热酒。（3）

在芬顿的诗歌观中，诗剧同源，戏剧维护了诗人获取其称号的权力。<sup>1</sup>但诗剧不同质，当芬顿调度诗这一体裁资源并将其嵌入话剧文体时，诗赋予剧的是一个灵动与超脱的抒情空间。这首开场歌谣共四个诗节。上述第一段副歌共出现了四遍，婴儿向父亲的呐喊由此回旋往复，直抵人心，父亲象征的生与花枝残败象征的死之间形成了巨大的张力<sup>2</sup>，指向的伦理悲剧令人扼腕叹息。芬顿还别出机杼地取婴孩为第一人称视角描述其所观察到的周遭一切，观众的感官体验于是从外部进入到了角色心理，与脆弱无助的婴儿的内心世界取得了同一：从目睹士兵到来、饮酒、欢笑、奔向自己，直至被害，诗句产生了邀请观众凝视死亡的戏剧间离效果<sup>3</sup>。除此之外，在叙述表层之下，这首独白诗还呈视出了婴孩完整的情感进程：从被父亲藏在一个隐秘的地方不知就里，到最后彻底意识到自己被父亲出卖的悲惨命运，婴儿已不再是一个被置于父权阴影底下默不作声、任人摆布的舞台道具。他有了生

1 参见 James Fenton, *An Introduction to English Poetry*, London: Penguin Books, 2003, 125.

2 原诗副歌第四句中有 limb 一词，从与上句关系来看，可理解为“残枝”。同时，这个词本身也有婴孩肢体的意思。

3 参见 Adrian Curtin, *Death in Modern Theatre: Stages of Mortality*, Manchester: Manchester University Press, 2019, 241.



命，他对父亲的行为极度失望，但他又选择分担父亲的痛苦。而程婴则正如他自己所言，付出了“昂贵的代价”（28）。

## 二、父爱与暴政：屠岸贾之死

在绝大多数《孤儿》改写中，屠岸贾是在观众对正义的期待中被复仇杀死的。其死既是剧情发展的必然，又是观众情感宣泄的出口。孟称舜曾在杂剧《孤儿大仇得报处眉批道，“此是千古最痛快之事”（顾廷龙 114），可谓道尽了此中的快意恩仇。从孤儿的角度来看，他需要复仇，且他的仇已不止于杀父之仇那么简单。由于前人为他的生存所做出的牺牲，他与屠之间已不止个人恩怨。然而，屠之死也遇到了很强的伦理阻抗，因为屠岸贾是孤儿的养父。“杀己之父如杀己之天”（孔颖达 2706）。为了一个父亲要杀死另一个父亲，这种复仇无论多么正当都无异于自我毁灭，纪君祥为角色营造的因而是一个古今难解、无比沉重的伦理绝境。

中外对弑父的伦理之谬十分敏感。绝大多数当代改编者在面对弑父问题时态度都非常谨慎，不敢轻易将弑父的罪名加之于孤儿。对屠之死，现有的改编处理方式主要有四种：第一是“不杀”，即完全取消复仇，以林兆华导演的《孤儿》（2003）为代表：当程婴以凿凿真相告知孤儿，满心期望他能报仇雪恨时，后者居然义正辞严地反抗道：“屠太尉养育了我十六年，他也是我爹（……）就算您说的都真，这仇我也不报！”（金海曙 31）通过强调自己有两个“爹”，孤儿出其不意地终止了仇恨在代际间的传导，彻底否定了复仇的价值；第二是“自杀”，以田沁鑫（2003）为代表：真相大白时，伦理关系的骤然变化带来的巨大精神伤痛如洪流般将每个角色都卷入其中。此时的孤儿已“双重混乱，思绪迷茫”，根本无力行动，而屠则因有愧于他而主动求死：“把剑端稳！让我的血喷洒在你的剑上，你就有勇气在世为人了！”（田沁鑫 5；16；56）屠爱子之深已到了难以自拔的地步，某种程度上，他对孤儿的感情陷得越深，死亡越是他化解自身罪愆的出路；第三是“天杀”：王晓鹰的越剧（2005）转将复仇交于程婴，但后者在周遭所有人喊“杀了他”的情况下，却恸哭不已，绵软下不了手。最后，舞台中心处徐徐落下一柄硕大无比的剑，电闪雷鸣，屠这才倒下。<sup>1</sup>屠之死乃是天道正义使然；第四种是“激杀”：在陈凯歌的电影（2012）中，程婴没有打算让孤儿为自己复仇，让他被仇恨毁掉。<sup>2</sup>孤儿要报的不再是家仇，这是因为后者已经可以跟屠对他的养育之恩抵消掉了，他是为了报答程婴的父爱而复仇的。<sup>3</sup>

1 参见 余青峰：《大道行吟：余青峰戏文自选集》，杭州：浙江古籍出版社，2011年，第39页。

2 参见 张英：“陈凯歌：站在价值观十字路口的《赵氏孤儿》”，《南方周末》，2010年11月25日，第E21版。

3 参见 卫昕：“陈凯歌：赵氏孤儿为爱复仇”，《成都日报》，2010年11月16日，第12版。

在影片中，孤儿刺屠是受程婴被刺的激发，算不上真正的弑父，而屠含笑而亡多少也有坦然认命之意。

父终不可杀。在当代改编者达成伦理共识，并以上述不同方式巧妙地规避“弑父”伦理风险的大背景下，芬顿却认定《孤儿》为一部“复仇剧”（Fenton, “The Art of Poetry No. 96” 36），反其道而行之：

屠岸贾：一个强大的统治者必须残酷。

程勃：那你现在就强大起来，残酷起来，振作起来啊！门已经被撞开了，人群就在外面的大厅里。用不了一会儿，卫士就会来捉拿你，让你接受命运的安排。他们也别无选择，因为他们的人太少了。这把刀是你给我的，锋利无比。

屠岸贾：杀了我，我很害怕。我不敢自尽。如果你曾经爱过我，就杀了我吧！

[程勃杀了屠岸贾]

程勃：我爱过你。是你的恐惧杀了你。以后没人会害怕你了。（65）

芬顿为弑父组织起了两条反向脉络：其一是“父爱”。皇权还未篡夺到手，屠已有心让孤儿继承，这是视之如己出。见孤儿态度坚定，神情冷漠，不复从前，他便本能地抛出了为其父的事实，点出孤儿“残忍之极”（65）。在芬顿看来，屠的生与死之间存在着巨大的伦理冲突。既然孤儿要弑父，就不能轻易绕过父爱这段过往。然而，当孤儿在与母团聚时坚定地道出：“屠岸贾杀了我的父亲，灭了整个家族”（60），芬顿就已经在为孤儿的复仇找回了当代改编者最讳莫如深的那个原始动机。“子不复仇，非子也”（董仲舒 83），养父的爱再深，生父血亲之深仇又怎可一笔勾销？因此，不论复仇是一个多么“残酷的职责”（60），他都须履行到底，而以平和冷静的情感态度搬出“三班朝典”就是为回报父爱做出的最大让步<sup>1</sup>；其二是“暴政”。复仇意识的萌发不仅与孤儿身份的自我觉醒同生，亦与他对暴政的觉醒同步。如果说伏尔泰是以成吉思汗的精神暴力继承杂剧的身体暴力，并尝试用理性与美德来化解它，那么芬顿的突破则十分明显：他挪移戏剧能量最大的复仇鞭笞了暴政。为此，他不局限于狭隘的三角关系来为孤儿摸找复仇的动机：他让孤儿远离皇宫，踏上一段山高水长的旅程去发现与思考屠完全不同的那另一副面孔。<sup>2</sup>程婴释画后，出于人性本能而为屠辩解的欲望消失殆尽，犹疑固化为了现实。孤儿复仇动机的形成过程被还原为了其

1 参见 James Fenton, *The Orphan of Zhao*, London: Faber & Faber, 2012, 64.

2 参见 James Fenton, *The Orphan of Zhao*, London: Faber & Faber, 2012, 47.



基于内外现实，在理性意志引导下形成伦理自觉的心理过程。<sup>1</sup>屠为什么就非死不可？在芬顿看来，最核心的因素还是他“不仁”。进而言之，屠岸贾的暴政才是复仇最为合情合理的理由。孤儿语气寒凉，但宫墙之外的世界却被他描述得异常酷烈，如法庭证据般坐实了对屠的审判。如此，屠在杂剧中蹈空的暴力也就进入公共空间，升华为了实象的暴政，孤儿的复仇变成了集体呼唤的伦理责任。若屠不选择自尽，就会被“外面愤怒的人群拉出去，活活摔死”（64）。这一刻，孤儿是千千万万受屠暴政压迫者的缩影，他的仇与生活在屠残暴统治之下普罗百姓的仇已融汇到了一起。芬顿对复仇母题的坚守让故事重新回到了孝悌的历史伦理定位，但芬顿却摆脱了杂剧的果报观，打碎了杂剧着重表现的皇权所代表的阶级秩序才能维护社会正义的封建意识，清晰地传达了这样的理念：在暴政下痛苦的人民才是真正的复仇者。

“没有‘脑文本’，就不会有作家创作的文本”（Nie, “Ethical Literary Criticism: A Basic Theory” 194）。芬剧批判暴政的锋芒不是凭空而来，而是他在人生的历练中形成“脑文本”<sup>2</sup>的结果。在价值观塑形的青年时代，芬顿曾冒着生命危险，远离英伦，以战地记者的特殊身份远赴中南半岛越战前线。<sup>3</sup>在战争中，西方对东方的侵略与压迫，他不仅亲眼目睹，更是感同身受，万分痛恨。他甚至在西贡陷落的当天，开着北越军队坦克长驱直入总统府，抗议战争的非正义性。<sup>4</sup>在芬顿反抗暴政的伦理意识中，“毁灭”无疑是最具分量的意象表征。芬顿被《牛津现代引文字典》（*Oxford Dictionary of Modern Quotations*, 2007）所收录的诗作“德意志安魂曲”（“A German Requiem: A Poem”）也切近地揭示了这点：“不是他们建造了什么，而是他们推倒了什么；不是那些房屋，而是房屋间的空间，不是存在的街道，而是那些消失了的街道”（Knowles 110）。在创作《孤儿》，尤其是塑造屠岸贾的过程中，芬顿复活了这段东方经历与记忆。<sup>5</sup>如果“毁灭”是诗人“脑文本”对暴政恒定的所指，那么他在剧中借孤儿之口对暴政场景的描摹则是“脑文本”在戏剧冲突模式下对暴政的能指。从桃源向人群射箭作乐，到税收官将村庄洗劫一空，再到民间普遍的哀苦之声，芬顿在这部被其清晰地定义为毁灭的戏中<sup>6</sup>，为屠的暴政埋下了一条贯穿全剧的背景线索，并最终通过对孤儿弑父的文学想象与操演与之进行了彻底清算。

舞台上，屠与孤儿以对角线向台中相遇的方式缓缓靠近，孤儿以拥抱的

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

2 参见 聂珍钊：“人文研究的科学转向”，《文学跨学科研究》4（2022）：567。

3 参见 Douglas Kerr, “Orientations: James Fenton and Indochina,” *Contemporary Literature* 3 (1994): 478-479.

4 参见 James Fenton, “The Art of Poetry No.96 James Fenton,” *Paris Review* Fall (2012): 34.

5 参见 Dan Rubin, “Songs that Come in the Night,” *Words on Plays* 7 (2014): 10.

6 参见 James Fenton, “The Art of Poetry No. 96 James Fenton,” *Paris Review* Fall (2012): 36.

姿势将刀刺入屠的胸膛，屠终于其怀抱。<sup>1</sup>屠的死外源于其暴政，内源于其恐惧的性格缺陷：从惧怕政敌而豢养犬獒，到最后惧怕死亡，屠始终处在惧怕他人又欲令他人惧怕的性格分裂中。通过建构狭小而阴暗的心灵空间，芬顿可以说是在黑格尔的悲剧美学体认中观照并塑造了这个反叛角色。之于孤儿，屠之死是无法令其如杂剧中预示的那样大仇得报，欢腾雀跃的，缓缓放下屠的尸体后，他向观众投来的是“长长与复杂的凝视”（陈湑 185）。生父死于养父手，养父再死于自己手，这种伦理错位的轮回不啻于其人生最大的悲剧。

### 三、生命的复仇：程婴之死

相比婴儿与屠岸贾，程婴的死则是不必然的。杂剧以孤儿对其立祠的许诺与帝王田宅的封赏为他的晚景画下了句号。进入到建国之后的“戏改”时期，这种由封建宗庙与恩赏构成的精神仪制逐渐由角色的死亡取而代之：在秦腔（1959）与京剧（1959）中，复仇是一次内外配合的集体行动，而程婴在协助孤儿取得胜利后的死去则是斗争胜利前的最后牺牲，是个体为集体付出一切的象征。

在当代戏剧改写中，程婴的生死与其对复仇的态度产生了复杂的戏剧伦理勾连。其在历代发展至今的戏曲体系中，少有人注意到程婴与孤儿在复仇行动中实际存在角色分界。客观上，程的确告知了孤儿全部事实，但他在戏剧家的角色设定中又往往不会向孤儿提出复仇的要求，复仇的决定完全是孤儿个人做出的，古典戏曲的教诲作用决定了复仇必须由孤儿自发进行，而不是在任何第三人的教唆或怂恿之下；先锋化的当代话剧对复仇的开掘使得程婴与孤儿一道陷入了伦理困境，原本传统戏曲已确立完备的角色分界开始变得模糊，程婴的死于是有了另外的可能：在田沁鑫的剧中，程婴是“愧死”的。他虽没向孤儿提复仇，但却意识到孤儿承受不起复仇的后果。<sup>2</sup>他后悔向孤儿透露身世，终在忏悔中气绝而亡；林兆华开创了程婴自尽的先河，戏中，程婴把孤儿当作向屠泄仇泄愤的工具。孤儿的拒绝使他无法通过复仇实现忠义的夙愿。“大道无道，大仇无仇”（金海曙 33），道家的人生哲学终于让他把仇看空了，也把死看轻了，由于失去了活下去的意义，他最终选择饮毒酒而亡；浙江大学黑白剧社的《孤儿》（2018）则把程婴的复仇欲望实验性地推向极致，令他精神残疾般逼迫孤儿复仇。孤儿遵照执行，在极度痛苦中“机械地”杀死了屠后坠入一片茫然：“以前我有两个父亲，今天以后我是孤儿”。<sup>3</sup>复仇让他从伦理上的孤儿沦为精神上的孤儿，而程婴虽

1 参见陈湑：“英版《赵氏孤儿》”，付晓萍、吕丹等编，《〈赵氏孤儿〉现当代演出艺术研究与访谈录》，上海：上海书店出版社，2019年，第185页。

2 参见田沁鑫：《我做戏，因为我悲伤》，北京：作家出版社，2003年，第55页。

3 参见剧本第18页（剧本未发表，由桂迎导演提供）。

还活着，但在他心中也同样死于了复仇的剑下。

因此，复仇这柄“双刃剑”如果伤到孤儿，也一定会让程婴付出代价，这是许多当代戏剧家在批判复仇过程中创造出的伦理勾连，也是他们改写程婴命运时运用得最为娴熟的伦理联动规律。对于芬剧中的程婴，这一规律表面上并不适用，这是因为复仇以正义的名义吸收了它给孤儿带来的绝大部分伦理伤痛，而程婴似乎也可以心安理得地不为孤儿杀屠担负教唆复仇的伦理责任。然而，程婴最终还是逃不过这一对称的铁律。这是因为他为孤儿的复仇牺牲了自己的孩子，而那个孩子会复活过来找他：

鬼魂：你爱的是赵氏孤儿，你把一切都给了他（……）但是，你看不出来，这令我多伤心？为了赵氏孤儿，你把我全忘了。你忘了这山坡的霜林间还有一把碎散的白骨。（69）

芬顿为什么要把婴儿写成鬼魂？程婴是牺牲了自己的孩子，但付出最大牺牲不是他，而是婴儿，因为后者终归献出的是自己的生命！芬顿尊重生命。之于他，婴儿的生命问题绝不只是要堵上的戏剧逻辑漏洞而已<sup>1</sup>，而是必须解决的问题。<sup>2</sup>所以，他在支撑剧本结构的诗歌，乃至舞台表演中不停地提醒观众他的存态。到了剧末，他就索性放手以一个十八岁亡灵的角色延伸他对生命与人性之间这层关系的思考。所有的人都只关心孤儿大仇是否得报，但芬顿偏要在尾声为那个无人问津的婴儿讨一个公道。他大胆地以鬼魂的形体让他复活，为他做主，让他从边缘的诗歌走出来，走向舞台的中心，哪怕是满脸哭泣，他也要让这个被忽略不计的孩子把杂剧诞生之日就该说出来的满腔委屈与哀怨向他那个生父——那个决定剥夺他生命权的人——一股脑儿讲个清楚。多少年来，观众或只幽幽痛惜，或无暇思考、甚至装聋作哑的伦理暗区一下就敞亮了——本应给予他的父爱原来都被那个姓赵的孤儿占据着，原来他死了连一方小小的坟墓也难保，身躯即便化为一把碎散的白骨还要因为父亲的行为被人唾弃，背负“不忠之后”的骂名。他对父亲的失望难以复加。说到底，他才是那个无父无母被抛弃荒野的“孤儿”！

鬼魂：你就站在我的坟墓上。石头上那三条短短的凿痕，是那些劳工们想用尖嘴镐掘了我的小房子时留下的。除此之外，再没别的什么了。

程婴：孩子，你受了委屈，我的宝贝，把你冰冷的手伸进我的长袍领口里来，教我该怎么握刀。我不是没有勇气，但我怀疑我力气不

1 参见高子文：“被解放了的‘赵氏孤儿’”，《戏剧与影视评论》1（2014）：82。

2 参见 Dan Rubin, “Songs that Come in the Night,” edited by Dan Rubin, *Words on Plays* 7 (2014): 8.

够。帮我一把吧！（70）

对程婴的惩罚尽管来得很迟，但不会缺席。他可以行使父权，牺牲孩子，履行自己的承诺，将孤儿抚养长大去报仇雪耻。但待一切完成之后，他就不可能再回杂剧那种“肉身安适”的结局中栖息了。从复杂的仇恨中退出来，他必须走向“精神荒凉”（钱钟书 61）。面对亡魂的“审判”，他居然遗忘了当初牺牲自己孩子的原因。<sup>1</sup>这种失忆看似荒诞，却自有其机制：它是个体在集体无限扩张的道德考验中模糊了与集体的界限，自身被吞噬，记忆被遮蔽甚至抹平的结果。作为记忆主体，程婴被这段牺牲的历史异化为了自我的他者，他的精神则在这场集体与个体的角力与狂欢中被撕得粉碎，而记忆的灭失只是精神趋于死亡的症候罢了。程婴在孩子被害后，就“一直渴望死亡”（43）。现在，他终于有了以死向孩子忏悔赎罪，并证明爱他的机会。舞台上，程婴的心口插着一把尖刀，以跪姿倒在了自己孩子的怀抱里。也许，在舞台上这轮皎洁的孤月底下，从来就没有什么哀怨的亡魂，有的只是伴随着程婴挥散不去的一个心魔罢了。通过对程婴命运的颠覆式改写，芬顿在王国维认定的“赴汤蹈火”（王国维 112）的中心历史叙事中再次确立并申告了个体与集体的精神边界，从而让《孤儿》的悲剧内涵在现代伦理语境中真正地深拓开来。

18世纪，《孤儿》牺牲的主题曾是其最早的译者马若瑟决定翻译此剧的美学伦理动因。到了当代，跨越文化，牺牲与崇尚个体主义的西方文化精神之间的差异构成了皇莎在其演剧史上引《孤儿》为其首部中国戏剧的最初动因。<sup>2</sup>确实，唯有在这种根本性的戏剧文化张力中，中外戏剧交流才会产生实质性的意义。不可否认的是，在杂剧问世八百年后的今天，大幕再启，换做西方观众来看，因轻视、辜负生命而导致的伦理缺憾就会变得无法忽视。芬顿的创作瞄准了这点，在确认生命对于中西文化与文明共通的价值意义的基础上的此种改写对于《孤儿》的中外改编乃至推动中国古典戏曲的现代转型亦不无启发。

在中外对《孤儿》不断改写的历史过程中，死亡书写占据着中心位置——《孤儿》的改编史实际上就是一部角色死亡书写的变构史。死亡书写之所以推动着《孤儿》改编不断向前发展是因其本身蕴含中外戏剧家对生存、正义、牺牲等人类核心伦理命题的思考。《孤儿》的这一海外改编案例充分说明，通过对戏剧伦理批评与考察，可以进一步体认中外戏剧差异，为中国古典戏曲在改

1 参见 James Fenton, *The Orphan of Zhao*, London: Faber & Faber, 2012, 69.

2 参见 Victoria Finlay, "Successful 'Orphan' taps into Shakespearean Vein of Chinese Classics". <<https://www.scmp.com/lifestyle/arts-culture/article/1119900/successful-orphan-taps-shakespearean-vein-chinese-classic>>. Accessed 12 Jan. 2024.

编过程中“守正创新”提供借鉴与启示，从而在真正意义上推动中外戏剧的交流与对话。

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# 脑文本的转化路径及其事件论意义

## The Transformation Path of Brain Text and Its Significance in Event Theory

潘伍豪 (Pan Wuhao) 张进 (Zhang Jin)

**内容摘要:** 文学创作、文学文本和文学接受是脑文本转化的不同阶段。创作是脑文本向书面文本的转化,也是作家将个体思想观念以物质媒介呈现出来并将其转化为公共观念的过程。接受是读者从书面文本中提取脑文本的过程,意义由公共领域重新流入个体思想。脑文本转化为书面文本再变为脑文本并非简单的、原封不动的意义传递,而是意义被增删、被修正、被重塑的事件化过程。作家对脑文本的转化受到无意识、语言规则等多种要素的影响,读者从作品中获取脑文本时也面临意义的争夺与博弈。脑文本的转化是一个不断被改写、不断被转译、变动不居的伦理事件。受到作者与读者的伦理选择的影响,脑文本在作者创作和读者接受中被选择、转化和重新生成。不仅脑文本中包含着伦理观念,脑文本的转化本身就是具有伦理意味的事件。

**关键词:** 脑文本; 伦理事件; 创作; 接受; 伦理选择

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**Title:** The Transformation Path of Brain Text and Its Significance in Event Theory

**Abstract:** Literary creation, literary text and literary reception are different stages of brain text transformation. Creation is the transformation of brain text into written text, and it is also the process by which writers present their individual ideas in a material medium and transform them into public concepts. Reception is the process by which readers extract the brain text from the written text, and the meanings from the public sphere flow back into the individual ideas. The transformation of brain text into written text and then into brain text is not a unchanged transmission of meaning, but an eventful process in which meaning is added, deleted, revised and reshaped. Writers' transformation of brain text is affected by unconsciousness,



language rules and other elements, and readers also face the competition and game of meaning when they get brain text from literary works. The transformation of brain text is a fluctuating ethical event that is constantly rewritten and translated, and influenced by the ethical choices of writers and readers, brain text is selected, transformed and re-generated in writers' creation and readers' reception. Not only do brain texts contain ethical concepts, but the transformation of brain texts is an event with ethical implications in itself.

**Keywords:** brain text; ethical event; creation; reception; ethical choice

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文学创作和接受是将脑文本转化为书面文本和将书面文本重新转化为脑文本的过程<sup>1</sup>，从脑文本转化角度可以将创作、文本和接受理解为同一过程的不同阶段。创作是作者将脑文本转化为书面符号存储在纸张上或其他载体上的过程，是作家将仅为自我所知的个体观念转化为可为他人阅读的公共观念的物质化与现实化过程。接受则是“读者在阅读文学作品的过程中形成脑文本并把脑文本保存在自己的大脑中”（聂珍钊 王永 174），意义与认识又从公共转向私人。文学意义的生产经历了从脑文本到书面文本再到脑文本的变化过程，意义从个体观念流向公共空间再流入个体观念。“脑文本理论揭示文学创作和文学接受的机制”（聂珍钊 王永 174），创作即作者生成并传递脑文本，接受即读者获取并生成脑文本，在脑文本的生产与接受中，文学实现了自己的教诲功能，作者与读者也对脑文本做出伦理选择并获得伦理教育。

但脑文本的转化并非无损传播，而是一场意义生产与再生产的伦理事件。脑文本在转化过程中会产生数量的变化和方向的转移，这种变化“出自伦理选择的需求”（吴笛 119）。数量的变化意指脑文本的增删，作者将脑文本转化为书面文本时受到外部伦理环境的影响，受出版审查制度和社会伦理法则的规约，出于对可能招致的伦理后果的恐惧<sup>2</sup>，作家意欲传达的脑文本和实际传达出来的脑文本总是形成不等量的关系。方向的转移意指读者从文本中获得的伦理意义未必符合作者的本意，读者脑中原有的脑文本和其所处的伦理语境影响对文本的解读和从中获取的伦理教益，脑文本的意义效果在转化过程中可能发生变化。因此脑文本的转化是作者与读者进行双向伦理选

1 参见 聂珍钊：“人文研究的科学转向”，《文学跨学科研究》4（2022）：567。

2 如福楼拜等作家因作品而陷入的伦理纠纷。

择的过程，“根据特定伦理环境和语境的需要进行选择”（杨革新，“从伦理选择到科学选择” 422）。脑文本转化作为伦理事件破解了“天才论”的浪漫主义创作观和主观的印象式批评，将原本与社会现实隔离的创作主体与接受主体放置在具体的伦理语境中，考察其在创作与阅读时出于个人兴趣、现实利益和外在压力做出的种种复杂的伦理选择，揭示了人是主动性和屈从性的双重存在。脑文本转化中的种种变化体现了个体与社会之间的互动、文学与现实之间的连通，反拨画地为牢、限定文学边界的审美无功利论，这既体现了文学伦理学批评创立者聂珍钊倡导的回返历史语境和伦理现场的求实精神，又表现了文学参与并改造现实的积极意义。

### 一、创作：脑文本的现实化与公共化

“文学创作的过程就是作家对脑文本进行编辑处理的过程”（张连桥 92），作者之于文本意义的决定作用历来是衡量文本解释合法性的最终标尺，作者有权利用创作手记、日记、个人经历和心境决定文本意义，这一观点预设了脑文本与书面文本意义的一致性，即文学作品是作家脑中思想观念的直接的、原原本本的显现，作家始终在场并牢牢控制着意义的边界和内涵。“‘作品’这一概念本身，顾名思义，即赋予了作家以优先权”（小林康夫 5），中西文论中有大量此类论述，所谓“心画心声”“文如其人”，均以脑文本和书面文本的一致性作为其隐含前提。虽然苏轼意识到“眼中之竹”“胸中之竹”和“笔下之竹”的差别，但他将这种“内外不一”“心手不相应”的原因归之为“不学之过也”（张志平 332），即经过苦学依旧可以实现二者的同一。表现主义美学家克罗齐（Benedetto Croce）则更进一步，他认为艺术就是直觉，无需通过物质媒介表现出来，将艺术与观念直接对应起来，即脑文本与书面文本别无二致，艺术创造是脑文本的直接现身。这些观点忽略了脑文本转化时物质媒介的中介作用，也没有意识到伦理环境对文学创作的干预作用，认为脑文本转化仅仅与表现技法是否纯熟有关，简化了脑文本生成的复杂性。

弗洛伊德（Sigmund Freud）之后，人失去了能够自主控制的可靠的统一自我意识，持有特定意向和意图的“自我显得既渺小又索然无味”（弗洛伊德 178）。主体行为的真正意义并不取决于被意识控制的意向性，而受控于那些连自我也未意识到的被压制、被阉割、被转换的无意识欲望。因此，脑文本与书面文本之间的对应关系被切断，作品“不是诗人大脑中单一的动机和单一的冲动的产物”（弗洛伊德 9），而是无意识欲望经过复杂的“转移、凝缩、改装、拼置和拼凑”（弗洛伊德 228）之后的产物，是意识与无意识斗争、妥协的折衷结果，“艺术就构成了阻挠愿望的实现和实现愿望的想象世界之间的中间地带”（弗洛伊德 172）。文本意义与作者意图之间形成一种复杂的悖论与共谋关系，作家有意识的意图和并未意识到的欲望之间的纠缠与绞合形成文本意义，脑文本与书面文本之间的单向关系变得混乱而

复杂，脑文本的转化机制也由此变得多样。主体意识的不可靠性动摇了脑文本与书面文本的契合关系，作家非自觉地创作出意图之外的更多的东西。弗洛伊德认为无意识内容来源于幼年经历和被文明规则阉割与禁止的东西，作品是意识和无意识斗争过程中欲望的曲折的显现<sup>1</sup>，这指出了作家在内在自我和外在规范之间的调适和折衷，而文学则实现了自我欲望与伦理规范的巧妙结合，为欲望提供了合乎伦理的表达方式。

脑文本向书面文本的转化“指的是把抽象的脑文本转换成具体的由符号构成的文本”（聂珍钊，“论脑文本与语言生成”120），这一步需跨越语言文字和真实存在之间的鸿沟。索绪尔（Ferdinand de Saussure）认为语言包含能指（生理部分、发音和听音）与所指（心理部分、词语形象和概念）<sup>2</sup>，语言不指向现实事物而指向作为其拟象的概念。在维柯（Giovanni Battista Vico）那里，“词与物被以相似性为基础的隐喻模式关联起来”（潘伍豪94），这种词与物的直接对应关系被索绪尔的任意性原则打破，语言并不对应和唤起事物而是指向具有任意性的概念，“能指的层次与所指的层次之间并不存在一对一的对应”（伊格尔顿 124）。同时，作为“书面的词”和“口说的词”，“语言和文字是两种不同的符号系统”（索绪尔 47）。因此，书面文本的形成要经历从真实事物到心理概念再到文字符号的多重转化，其生成过程是从文字指向概念、概念指向一个能指转而又指向其他能指的无尽循环，语言中的意义总是被延异的。词与物不能直接对应，语言只能依靠对物的模仿打造出与物类似但并不相同的拟象。“意不称物，言不逮意”的原因在于事物、情感和体验之复杂性难以为模拟性的语言符号完全涵容，作者的意图和观念必须转化为约定俗成的公共性语言，语言的公共性势必删减个体意图的私人性。当试图将真实深切的个体情感体验以作为公共表达方式的语言符号表现出来时，就省略了情感中不可转译和不可为公共符号表征的部分，留下的是苍白的语言拟象。

“作家在把脑文本转换成书面文本时，并非能够把脑文本完整地书写下来”（聂珍钊 王永 174），从脑文本到书面文本的转化过程并非原封不动地将存在于头脑中的观念拓印在物质媒介上，“语言是脑文本的声音形态，文字是脑文本的书面形态”（聂珍钊，“作为语言定义的脑文本及索绪尔语言观”5），从脑文本到文学作品要经历从语言到文字、从意识到物质的多重转化。作家创作意图之下幽隐曲折地表露出的无意识欲望，情感、体验和认识转化为语言时的遗失和磨损，“伦理意义或伦理两难的终极意义最终因语言本身的不确定性而变得模糊不清”（杨革新，“从伦理批评到文学伦理学批评”52-53），这些因素让文本中包含的意图与作者的创作意图或创作之初的

1 参见 西格蒙德·弗洛伊德：《达·芬奇与白日梦：弗洛伊德论美》，张唤民、陈伟奇译，上海：上海译文出版社，2020年，第225-226页。

2 参见 索绪尔：《普通语言学教程》，高名凯译，北京：商务印书馆，1999年，第34页。

脑文本呈现出一种悖谬的不对称关系。脑文本向书面文本转化产生的意义差异与变化应当被作为动态的事件加以理解与把握。作家生产并传递脑文本是一个既主动又被动的过程，他既要以自己的意愿和观念向受众传递他认为正确的脑文本，这一传递过程又受到无意识活动和语言规则的限制，还要遵循社会公共伦理秩序，导致作者意欲传达的和实际传达的产生错位。这是一种伦理错位，作家需要对个体意愿与公共规则进行居间调停，以适当的伦理选择达到二者的平衡，在公共秩序的许可范围内表达具有自身独特性的脑文本。

## 二、接受：意义的争夺与博弈

阅读将书面文本重新转化为脑文本并非“由读者所接受或拒绝”（聂珍钊 王永 174）那么简单，而是一场意义争夺的伦理事件，是读者对寄寓在作品中的脑文本进行选择、转化、整合的重组过程。书面文本转化为脑文本也并不意味在已有脑文本中加入新的增量，新的脑文本的获得并不必然导致脑文本数量的增加，新的包含着不同伦理观念的脑文本的进入会动摇、摧毁和清理原有的脑文本中的伦理观念，新的脑文本的获得是“既有脑文本遭受外来脑文本入侵”（任洁 57）的结果，是一种复杂的、程度不同的兼并过程。“所谓阅读，其实就是一个不断邂逅的运动”（小森阳一 3），最后产生的脑文本既不是文本中要传达的、也不是读者接受之前本有的脑文本，而是一种折衷的、混合的、双向改造的全新产物，它是文本意义的部分现实化和作为期待视域的读者原有伦理观念部分改变的混合产物，是“作品对读者的同化”（贝林特 159）和读者对作品的重置的双向运动。文学接受一词简化了脑文本获取过程中的复杂性和斗争性，预设了作为现成之物的文本意义和全盘接受的读者，忽略了读者亲身经历文本预设的伦理事件时的斗争、挣扎、改变和重塑，低估了获取脑文本的艰难程度。

创作者会通过脑文本向读者传达他认为正确的伦理取向与伦理偏好，但这种传递方式不一定明白显豁，而是隐含在叙事技法或文本结构的布局特征和空间分布中，对读者的接受进行定向指引。许多理论家常以迷宫为喻说明文本内部的空间构型，阅读作品获取脑文本的过程并非一马平川的坦途，而是一块峰回路转的陌生之地，在作者借助叙述策略和修辞手法创构的伦理语境中历险，经历作者巧心设计或者无意而为的事件，产生真切的情感体验，并于情感体验中体悟与升华出具有伦理意义的脑文本。这一过程是作者干涉、引导和控制读者的过程，作者通过叙事的自然、逼真和“戏剧化的生动”为读者创造出“幻觉的强烈”（布斯 34），即“读者应该感到他已经‘真的在那儿了’”（布斯 44），通过对生活的精确复写制造出文本是生活本身而不是作家精心编排的人造物的幻象，为读者提供了通向现实的另一条道路，而这条道路的走向和归宿是作者预先规划好的。“我们阅读小说时的全部体验是基于一种与小说家心照不宣的契约”（布斯 46），作者通过巧



妙的视角选择和距离设定将他本人的观点和伦理倾向变为文本中看似中立的“客观对应物”，通过有为之的标记、线索和指示帮助读者以作者预想的方式进行阅读，以此“控制我们的情感反应”（布斯 91）并传达相应的伦理意蕴。

因此，阅读意味着“我们试图在迷宫中找到一条出路”（布斯 34），读者看似自由实际却被作者牵引着在设计好的路线上行进。作者通过“一种透明的、能伪装出客观化效果的文体，使得人们意识不到具体讲述者的存在”（小森阳一 5），通过消弭文本与文本之外的现实的距离制造出文本等于真实的幻觉，不知不觉地作用于进入文本的读者，使读者接受作者的引导、控制乃至改造，于此，作者“创造了他的读者”（贝林特 126）。作者希望读者跟从文本的指引，“作为读者，必须放弃自我，屈从于它”（贝林特 159）。但完全跟随作者有丧失自我主体的风险，爱玛的悲剧和《少年维特之烦恼》的巨大影响即是例证。这里还存在作家伦理意图和作品伦理效力之间的张力。由于文学作品具有超越具体历史时代的特性，而其中承载与传递的伦理意蕴和伦理指示却是属于某一特定历史的。作家创作之初或许只是为同时代人提供伦理示范，但超越时代的作品同样会对后来处于不同伦理语境、持有不同伦理观念的人产生影响，尤其在其伦理观念的架构尚未稳固之时，接触异质伦理观念会引起其伦理认识的混乱和伦理定位的失序，导致其分不清在现实生活语境中应当遵循的伦理和文学作品所提供的与其认知和心理较为契合的伦理，有可能造成其与现实伦理语境之间的错位和冲突，从而造成并非出自作者本意的负面伦理影响。所谓“《水浒》诲盗，《西厢》诲淫”指的就是这种并非作者本意的强大伦理影响。

阅读是作者与读者之间的征服、服从、反抗、颠覆的矛盾斗争。德塞托认为将接受视为“被强加给他们的文本烙上烙印”（260）的看法忽略了接受活动的创造性，接受不是“复制语言操作者所创立的模型”（德塞托 262），读者在阅读中“创造了除文本本文意图之外的东西”（德塞托 263）。接受者而非文本才是这场阅读游戏的主体，他拒绝文本的询唤，以不合法的方式僭越文本的官方阐释者“在文本与读者之间建立起的边境线”（德塞托 265），冲击合法阅读方式与非法阅读方式之间的界限，这种阅读揭示出“阅读实践的真相”（德塞托 265），使人们发现“在文本与读者之间出现了体制原来所隐藏的这两者之间的相互性”（德塞托 265），这种阅读具有政治实践的意味，它暴露了阅读方式和文本意义间的同构关系，指出某种意义是被某种阅读方式制造与生产出来的，因而并不存在一种天然合法的阅读方式和文本内在的、固有的本质意义，文本成为一块读者可以驰骋其上的意义公地，“文本的地理形态越来越少地组织读者的活动。阅读从决定它的土壤中解脱了出来”（德塞托 270）。

创造性阅读赋予接受活动以优先性，读者非但不顺从地接受文本中的伦

理教诲，反而以质询的眼光考察作者的伦理立场和伦理取位，文本由此成为众声喧哗的不同接受实践的斗争场域。上层意识形态的“涓滴”和下层接受者的盗猎与颠覆都通过文本来进行，前者“致力于使读者与某一精英（或半精英）阶层所散布的‘信息’相适应”，后者则“通过使自身的创造性深入文化正统性的缝隙而对前者施加诡计”（德塞托 266）。接受由此被转化为一种策略性的运用，文本的意思是什么让位于文本意味着什么。“盗猎”的读者既不被动接受作者创设的文本伦理语境，也不屈从于其所在的现实伦理语境，而是跳出二者之外，积极调用跨学科知识以突破文本预设的和当时社会语境中普遍存在的阅读惯习（habitus），对文本进行“非法的”、颠覆式的创造性阅读乃至“误读”。与奉行沉浸式阅读的读者将自己代入文本情境中的阅读方式不同，创造性阅读的读者将文本中的伦理法则拉入现实语境中进行检验，这意味着读者站在一种更为实用的立场上去“运用文本”，阅读文本的目的由“文本说了什么”转向“我能从文本中学到什么”，以自我在实际生活中的需要为准则对文本中的伦理教诲进行有选择地取用，作者埋藏在文本中的伦理取位让位于怀抱特定目的的读者的伦理取位。

### 三、伦理选择与脑文本转化的事件论意义

就创作而言，“隐含的读者”作为潜藏着的文本结构引导着作家的创作活动，作者将自己的脑文本及伦理选择含蓄地埋藏在文本结构中以指示和引导读者，期望现实的读者能够像理想读者那样充分理解并认同他。就阅读而言，意义的生成总是无定的、漂浮的、随物赋形的，总是在转换过程中才得以现实化。阅读是一种对文本中语言多语义潜力的固定，是填补文本的空白点并消除其不确定性的过程，“我们阐释文本时的阅读习惯本质上具有社会性”（杨革新，“从伦理批评到文学伦理学批评” 55），读者运用从社会伦理语境中获得的观念和方法来理解与阐释作品。作家创作与读者接受或多或少地受到意识形态、集体无意识、语言范式和物质媒介等多重力量的影响，文学文本是多重力量协商、互动、共同作用的混合产物，而成形的文学文本则否定了其自身的复杂性和异质性，试图以作者意图和读者感受遮蔽文本中隐含着的其他要素。当把固态文本转化为动态的伦理事件时，文本构成的复杂性才得以暴露。

脑文本转换过程中意义的增益与删减揭示出其作为伦理事件的复杂性。事件论关注的是脑文本到书面文本再到脑文本这一双重转化过程中发生了什么，揭示意义转换的不连贯性，打破了文本从属于作者意图而读者从属于文本意义这一理论误认。文学伦理学批评则解释变化产生的原因，脑文本转化过程中存在多重伦理语境的转化，包含作家所处的现实伦理语境、作家创构的作品伦理语境和读者所处的伦理语境与读者有意拨用的理论性的伦理语境，多重伦理语境的交叠使得文本具有复数内涵，作家在创作之前持有的脑



文本和凝定在作品中的脑文本与读者从作品中获取的脑文本和读者在阅读之后产生的新的脑文本形成多元互动关系。对脑文本的转化机制进行研究就是分析、考察脑文本变化与伦理选择的间性关系，而文学创作与接受过程中对脑文本的不同处理方式又受制于作者与读者所处的伦理环境。“文学作为特定历史时期伦理和道德的独特表达”（Nie, “Ethical Literary Criticism: A Basic Theory” 189），通过作者的伦理选择将其所处环境中的伦理规范凝缩于文本中并传之后世，使之发挥传播伦理教诲的功能。“文学的作用是通过赞颂美德和抨击邪恶来教授道德价值”（Nie, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection” 392），文学的伦理效力并不直接体现在鲜明直白的情感表露中，而是表现在作家和读者对包含特定伦理价值的脑文本的重新组合与转化中。

脑文本的转化是一个既主动又被动、既包含主体意愿又包含各种不可控因素的伦理事件，推动脑文本转化的动力是充斥其中的不同的伦理选择。就创作而言，作家创作既要符合自身的伦理意愿，又不得不服从或受制于外界伦理压力（制造这种压力的并不一定是人，有可能是意识形态、出版制度、收入考量等等），他所传递的伦理观念也会产生未必如其所愿的伦理影响，即伦理效应溢出或大于伦理意图。就接受而言，读者有一个从天真阅读（Innocent Reading）向症候式阅读（Symptomatic Reading）的发展过程，前者是无功利的文学鉴赏，后者则服务于具体实际的目的，读者的主体性越强，伦理取位越明确，文本的意义就越容易受读者而非作者控制。脑文本转化过程中意义会发生流失与增殖，这些变化使文本与现实之间的关联可视化了，通过对作家原初脑文本（呈现在手记、日记和信札中）和寄寓在成形作品中的脑文本的比对可以获知伦理环境的包容度与禁忌所在，通过对同一作品伦理影响（体现在读者评价和文学史定位中）的变化的考察可获知伦理语境的历史变化。这并不意味作品单向受制于外部伦理环境，它通过收集社会能量（格林布拉特语）来表达和释放社会中的某些伦理意愿和情绪，即作品将潜藏在人们心中的意念和情感集中表现出来，人们又通过阅读作品获得情感认同与伦理净化，流转于人们心中的意念和情感在文本中得到安全的释放和纾解，文本使现实中的伦理压抑和伦理冲动得以分流和转化而不至于产生破坏性的现实影响。同时，文学的伦理影响会松动不合理的伦理规范，打破落后的伦理禁忌，文学中包含的伦理力量会逐渐渗入现实并改造现实，脑文本的转换就是这一文学与现实互动并互相塑造的具体表现。

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# 《午夜之子》：脑概念、身份构建与历史书写

## *Midnight's Children: Brain Concept, Identity Construction and Historical Writing*

单芊芊 (Shan Qianqian) 陈 晞 (Chen Xi)

**内容摘要：**萨尔曼·拉什迪的《午夜之子》是后殖民小说中的经典之作，以具有魔力的主人公萨里姆·西奈作为叙述主体，以个人经历向读者展现了印度独立前后的历史。本文通过分析萨里姆脑概念的组合，进一步探讨萨里姆如何在脑文本中展现对身份的构建和对印度历史的改写，向读者传递新的历史观。萨里姆将个人经历和印度历史进行概念整合，以个人经验来书写印巴冲突这个宏大历史叙事，采用新历史主义的方式解构印巴冲突的官方历史叙事。本文从脑概念和脑文本的角度，总结出萨里姆的多元文化身份与历史书写的特点，展现了印度历史转折时期和多元文化语境下人们的伦理选择和思考，赞扬了将个人与国家命运相结合的奉献精神。

**关键词：**《午夜之子》；伦理身份；脑概念；脑文本

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**Title:** *Midnight's Children: Brain Concept, Identity Construction and Historical Writing*

**Abstract:** Salman Rushdie's *Midnight's Children* is a postcolonial fiction, with the magical protagonist Saleem Sinai as the narrator, presenting Indian history before and after the Independence from personal experience. From the perspective of Ethical Literary Criticism, this paper tries to analyze the combination of Saleem's brain concepts, and further discusses how Saleem presents his construction of identity and rewriting of Indian history in his brain text, as well as how he conveys a new perspective on history. Saleem integrates his personal experience with Indian history through conceptual blending, narrating a grand historical narrative of the Indian-Pakistani conflict on the basis of self-introspection of history in New Historicist approaches to deconstructs the official historical narrative. This paper, in

terms of brain concepts and brain texts, summarizes Saleem's multicultural identity and the characteristics of his historical writing, reflecting people's ethical choice and thinking during the transitional period of India and in the multicultural context, extolling the dedication that combines individual and national destiny.

**Keywords:** *Midnight's Children*; ethical identity; brain concept; brain text

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萨尔曼·拉什迪 (Salman Rushdie) 与石黑一雄 (Kazuo Ishiguro)、维·苏·奈保尔 (Vidiadhar Surajprasad Naipaul) 齐名, 被称为英国文坛“移民三雄”, 其魔幻现实主义小说《午夜之子》(*Midnight's Children*) 于1981年出版, 荣获当年的布克奖, 并于1993年和2005年依次获得“特别布克奖”和“最佳布克奖”。拉什迪在《午夜之子》中设计主人公萨里姆用日记和口头叙述的方式讲述印度半岛独立前后的历程, “无论语言还是文本, 尽管它们都是表达脑文本的方法, 但是前提必须有脑文本的存在” (聂珍钊, “人文研究的科学转向” 568), 所以本文以文学伦理学批评中的“脑文本”与“脑概念”为切入点, 阐释小说中萨里姆脑概念的运作机制和脑文本的形成, 解析萨里姆讲述的动机和意义, 探讨多元文化背景下人们对历史和政治的思考。

### 一、萨里姆出身之谜: 伦理身份与脑概念书写

《午夜之子》是萨里姆在临死前向一名叫博多的女子讲述其家族的故事。萨里姆既是故事的讲述者也是亲历者。“在《午夜之子》中萨里姆表明: 虽然叙述注定无法周全, 但叙述对于个人身份和国家身份的确立和发展十分必要, 是有效推动文本情节的重要行为” (O'Brien 165)<sup>1</sup>。小说的第一部分中萨里姆向博多叙述他出生前发生的故事, 将一些历史事件进行脑概念叠加, 突显自己特殊的伦理身份。脑概念从来源上说可以分为两类, 一类是物象概念, 一类是抽象概念。物象概念是有关客观存在的概念<sup>2</sup>, 而“物象概念的形成首先是对客观存在的事物的感知, 然后产生印象” (陈晞 472)。萨里姆通过物象概念的叠加, 既为没有出生的自己设置了长达三十年

1 本文外文引文出自笔者译。

2 参见 Nie zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 194.

的历史厚度，又交代出生以后的伦理环境。

萨里姆在叙述自己的血统时，用脑概念堆砌出一个混乱模糊的伦理身份，直到小说第一部分的结束才揭晓诞生之谜。他在讲述中叠加脑概念，书写自己不同于常人的伦理身份。独特的外貌特征是身份认同的重要物象概念，鼻子这一特征反复出现在萨里姆的叙述中。萨里姆从小就被冠以鼻子相关的昵称：“‘拖鼻涕’、（……）‘吸鼻子’、（……）‘月亮瓣儿’”（拉什迪 146）<sup>1</sup>等，鼻子作为一个重要的物象概念储存在他大脑中。随着年龄的增长，他注意到自己的鼻子“大得像疯长的黄瓜”（155）。与众不同的大鼻子成为萨里姆外貌特征的一个重要脑概念，为他出生被掉包而没被发现埋下了伏笔。萨里姆回溯出生前的故事中的描述，对外公阿达姆“印象最深的也是他的鼻子”（145），然而，有着同样大鼻子的阿达姆并不是萨里姆生理上的外公。萨里姆在叙述中多次强调“大鼻子”这一物象概念，昭显自己与阿达姆的相同之处，暗示了萨里姆认同印度裔的伦理身份。萨里姆通过重复自己与外公具有“大鼻子”的外貌特征，为替换身份打下铺垫：医院护士将梅斯沃德的私生子“鼻子像克什米尔的外公一样大——这也和法国血统的祖母的鼻子一样——的特大号娃娃的脚踝上，她系上了‘西奈’这个名字”（145）。萨里姆的叙述对象博多听到这里，将萨里姆输入的脑概念进行组合，恍然大悟：“你是英国血统的印度人？”（146）博多整合萨里姆传达给她的脑概念，发现萨里姆刻意隐瞒了自己是英国人与印度流浪艺人私生子的身份，遣谪萨里姆“不肯把谁是你的真正的父母说出来”（146）。

萨里姆不承认私生子的伦理身份，所以在他讲述中有意弱化与生父梅斯沃德有关的物象概念。“秃头”是萨里姆与梅斯沃德共同的物象概念。在萨里姆的讲述中，他轻描淡写梅斯沃德离开印度时脱下假发丢出车窗，露出“秃得发亮的脑袋”（141），之后萨里姆才透露自己有个外号叫“秃子”，从这个物象概念可以看出父子之间的遗传基因。另外，萨里姆有着西方人种的高额头，“发育不良的牛角包似的鬓角”犹如“鼓出来的拜占庭式建筑的圆顶”（155）。牛角包起源于奥地利，而奥地利与英国一样都曾在印度殖民统治，拜占庭则是联通东西方的世界之城。萨里姆用牛角包和拜占庭式建筑形容自己的鬓角，暗示自己具有西方人的外貌特征，同时也暗示他作为英印混血儿抢占了印度家庭长子的身份。

除了秃头和额头以外，“蓝眼睛”也是身份识别的一个重要物象概念。关于这个物象概念，听者博多得到的信息是阿达姆、梅德沃斯和萨里姆都是“蓝眼睛”，但是萨里姆先用“蓝眼睛”来描述外公阿达姆：“阿达姆的眼珠清澈湛蓝，就像山顶的天空那样惊人的蓝，克什米尔人的瞳仁常常都

1 文中《午夜之子》的引文均来自 萨尔曼·拉什迪，《午夜之子》，刘凯芳译（北京：北京燕山出版社，2015年）。以下引文仅标注页码，不再一一说明。



是这么湛蓝”（8）。英国人梅德沃斯的眼睛也是蓝色的，但萨里姆在揭示自己身份之谜时才提道，“眼睛蓝得像是克什米尔的天空——这也和梅斯沃德的眼睛一样蓝”（145）。克什米尔在印巴分治以及分别独立时，其归属问题尚未解决，萨里姆在叙述蓝眼睛时叠加“克什米尔”这一物象概念，强调与印度养母一家的联系，刻意弱化西方人的外貌特征，是其伦理身份混乱的脑文本的表达。养母阿米娜收藏在瓶子里的脐带则暗示了伦理身份混乱给萨里姆带来的困惑，“这条脐带究竟是我的呢，还是另一个孩子的？那我就说不准了”（154）。脐带连接着母体和胎儿，是血缘关系的象征。萨里姆对脐带属于谁的思考其实是对自己伦理身份的思考，在萨里姆的脑文本中，血缘并不是决定一个人出身的关键性因素，后天养育他的家庭更加重要。另外，他的讲述中多次暗示与阿达姆及克什米尔的关系，可以看出萨里姆更愿意将自己视为印度家庭西奈一家的儿子。

在叙述自己的伦理身份时，萨里姆通过脑概念的叠加作大量铺垫，搁置身份之谜的揭露。“萨里姆的混血身份非常突出，他的父母具有多元文化背景，使萨里姆收获来自英国、法国和印度，以及基督教、印度教和伊斯兰教的文化经验。因此，萨里姆成为了印度多元主义的化身”（Frank 191）。复杂的伦理身份和多元的文化背景使萨里姆天生具有冲突和融合的特性，从萨里姆的讲述中可以看到他刻意弱化自己的血缘身份，强调自己与印度养父母的联系，正如刚独立的印度一样，迫切地想彻底清除英国殖民的遗留问题。萨里姆的叙述暗含对伦理身份的选择，也为之后他希望团结所有午夜之子带领印度走向强国埋下伏笔。

## 二、政治书写：脑文本与主观叙述

萨里姆除了将重心放在对自己身份的构建以外，也着力书写了印度独立历史。“《午夜之子》是一部有关历史的小说（……）试图再现印度在殖民统治下及其后的历史”（Goodman 322），萨里姆通过前期的铺垫，对时间背景的强调以及对真实历史事件的叙述，展现了印度独立前后六十年的历史。他在进行印度历史的书写时，并没有用类似新闻报道或者官方发言的客观叙述语气，而是以主观的叙述语气讲述历史。萨里姆将参与或见证的历史事件作为素材，在脑中形成脑概念，对其进行重构和加工，形成带有个人倾向的历史脑文本。

“萨里姆叙事的不完整性，就像不完整的流散记忆一样，有助于创造性的表达”（Biswas 122），萨里姆所讲述的故事中对不完整的记忆进行多次修正和解释，反映了萨里姆的脑文本产生变化的过程，“这种复杂的设计可以追溯到文本中历史的讲述和小说的创作”（Buchholz 348），萨里姆“通过唤起自己的记忆去叙述历史”（Khan et al. 326）。脑文本存储记忆，但脑文本容易出现记忆缺损，同最初的母文本相比会出现误差，有时甚至会出现错

误。<sup>1</sup>萨里姆因记忆的不完整导致脑文本中出现时间错序，在他的讲述中，时间不是重点而是经历的情景，比如：甘地死于1948年1月30日，但是萨里姆只提到父母看电影与甘地遇刺是同一天，他重点描述人们对这一事件的反应：萨里姆的舅舅和母亲害怕“如果这事是穆斯林干的，那就完了（……）有没有印度教的佣人，有的话叫他们回去！”（181），担心如果与刺杀者同为穆斯林会受到印度教徒的报复。之后，萨里姆纠正道：“在将我写的东西再看一遍时，我发现时间上有个错误，上面写到的圣雄甘地遇刺的日期搞错了”（210）。萨里姆忽视甘地遇刺这样的重大历史时间，而将重点放在人们对刺杀事件的反应和刺杀者的宗教信仰之上，体现了当时宗教仇恨对政治的影响以及民众的态度。萨里姆叙述中的修正反映了他的脑概念不断地组合、补充和加工。人的大脑根据某种伦理规则不断对脑概念进行组合和修改，脑概念的组合形式也在修改过程中不断发生变化，萨里姆对印度历史的改写是将形成记忆符号的历史事实进行重新组合，最终呈现出他对印度历史和政治的主观看法。

萨里姆将历史事实内化成一个个的脑概念，在讲述时，将这些脑概念加工、组合和转换而形成脑文本，通过书写日记和口头讲述成为萨里姆对博多叙述的故事。“脑概念是松散的、无系统的记忆文本，它以什么样的形式和规律来形成脑文本，取决于作者想要达到什么样的目的和效果”（陈晞475）。为了表达自己的政治主张，萨里姆的叙述中蕴含了政治倾向。英迪拉·甘地，原名英迪拉·尼赫鲁，是印度至今唯一的女性总理，因施政时强硬的手段，被称之为印度铁娘子。在冷战期间她为印度做出了不少贡献，但是也有党内专制和大选舞弊的丑闻。在对英迪拉的描述中，他用“甘地夫人”称呼英迪拉，但又说“她同‘圣雄’甘地并没有亲戚关系，她这个姓来自她的丈夫费洛兹·甘地”（527）。萨里姆认为英迪拉的伦理身份是甘地的儿媳妇，但是她的做法与甘地追寻和平大相径庭。英迪拉的丈夫去世后，萨里姆称之为“寡妇”，认为她实施的“紧急状态”是“两年之久的漫长午夜”（525）。萨里姆以个人立场对英迪拉的执政手段进行评价，“甘地夫人”和“寡妇”是男性附属品和贬低女性的物象概念，“午夜”具有黑暗和寒冷的抽象概念，萨里姆使用这些脑概念将英迪拉描述成凭借婚姻而上位的妇人，谴谪她实施专横和强硬的政治，使民不聊生。

在政治方面，萨里姆也不支持英迪拉的政治竞争对手莫拉尔吉·德赛。萨里姆得知自己拥有窥探别人内心的能力后，经常进入印度高层的思想。在德赛还是邦首席部长时，萨里姆进入他的脑海，“发现了一大秘密，这个秘密在二十年后成为全国的一大笑柄，那就是莫拉尔吉·德赛每天都要‘喝自己的小便’”（221），饮尿这一怪癖成为了这位政治家的重要物象概念，萨里姆在叙述中反复提及这个物象概念：“这位喝尿的财政部长”（378）、“那个人

1 参见 聂珍钊：“人文研究的科学转向”，《文学跨学科研究》4（2022）：567。

喝自己的尿”（513）、“喝尿的人掌了权”（553）。萨里姆用“喝尿”这一物象概念塑造德赛的形象，是因为在现实中德赛的养生秘方是喝牛尿，他认为牛尿是最有营养的“饮料”。萨里姆在叙述中有意略过德赛政治上的施为，强调德赛生活中“喝牛尿”这种迷信、无知的行为，与总统的这个物象概念形成强烈的反讽。无论英迪拉还是德赛，他们都不是为民造福，萨里姆对二人的政治争斗的态度是“已经厌烦透了，讨厌透了”（553）。

听见的声音，看见的图像，感觉到的事物和状态，都可以转换成记忆符号，变成存储在大脑中的信息，构成脑文本<sup>1</sup>，萨里姆将亲历、所见、所闻的记忆以脑概念形式存储在脑中，通过思维得到对印度历史事件的理解，形成脑文本，而萨里姆的日记及向博多讲述的故事，实际上是将自己的脑文本以书写和口述的形式表达出来，其目的是“期待用浓缩的轶事展示生活经验元素进入文学的方式，以及日常风俗习惯和组织被记录的方式”（Gallagher and Greenblatt 30）展现历史。萨里姆以人生经历和记忆重写印度独立历史，以主观叙述的方式对印度历史人物进行概念提取和加工。萨里姆在改写中显示出明显的政治倾向，向读者展示了他对印度政治的失望以及对印度命运的担忧。

### 三、官方历史叙事的颠覆：“触碰真实”和概念整合

萨里姆在叙述过程中发现新闻对印巴冲突的报道与他所了解的事实有出入，而且印度与巴基斯坦的媒体对同一事件进行的播报也莫衷一是，所以萨里姆认为：“新闻和现实脱节（……）城市里是各种幻影和谣言”（420）。萨里姆以讲述表弟扎法尔驻扎印巴边界的哨所时发生的故事为例，揭开了印巴媒体作假的真相。1965年，包括扎法尔在内的六名巴基斯坦士兵进入哨所时，撞见了萨里姆的姨父、扎法尔的父亲——佐勒非卡尔将军——授意的走私活动，走私贩子将贿赂无果的边境哨兵杀害。整个暴力冲突没有印度士兵的参与，但又确实造成了哨兵的伤亡，巴基斯坦的报纸便将这次事件报道为：“卑怯的印军进攻为我英勇的战士击退（……）无辜的士兵惨遭印度军官杀害”（423），巴基斯坦媒体通过捏造一次小规模印巴冲突，掩饰巴军高层将军腐败敛财的丑闻。关于拉合尔之战，全印广播电台和巴基斯坦之声的报道也各持一词，巴基斯坦之声播报印度伞兵部队“对所有的大城市都进行了空投”（428），而全印广播电台的新闻称：“尽管巴基斯坦进行空中挑衅，我方未予理睬”（428）。萨里姆就印方是否派出了伞兵部队，提出了疑问“相信哪一方好呢”（428）。这类官方媒体为了维护本国形象和鼓舞民众而进行舆论造势，掩盖印巴冲突的真相，“萨里姆揭示了无线电技术因这些国家行为而成为有害的网络交流”（Gaedtke 711）。萨里姆讲述的故事揭开由媒体力图掩盖的真相，将历史中忽视的小事件和逸闻轶事披

1 参见 Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 194.

露给大众，通过建构复数化的个人的小历史而打破官方正史的假面，力图还原印度独立前后的世风、文化氛围与意识形态之间的复杂纠葛。

萨里姆“通过将一个国家 and 这个国家中的一个家庭的历史交织在一起，向读者阐明如何创造历史”（Clough 13），他在句意层面上建立个体和印度独立历史之间密不可分、互相影响的关系，“这一来我莫名奇妙地给拷到了历史上，我的命运和我的祖国的命运牢不可破地拴到了一起”（3）；“这个国家非但同我像双胞胎一样同时诞生，而且（不妨说）还同我像连体婴儿一样”（485）。萨里姆在讲述个人经历时总是与印度独立历史相呼应，“在这种模式下，他生活中的微小事件在这个国家及其历史的更大范围内被重现”（Apostol 64），使读者将两者联系在一起，比如：“在一九七一年十二月十五日，在新近获得解放的孟加拉国的首都，泰格·尼亚兹向他的老伙伴萨姆·马尼克肖投降了。说到我呢，我也投入到一个女孩的怀抱里”（471）。萨里姆用“投降”来形容孟加拉国的状态，用“投入怀抱”来描写自己的状态，在英文原文中用的是同一个字“surrendered”，一语双关将同一时间历史上重大事件和个人的经历联系起来，在词义上强调了印度历史和个人之间密切的关系，向读者输入了这些信息后，促使读者在阅读过程中对两者进行“概念整合”，形成新的记忆存储在脑海中。“概念整合”（conceptual blending）的“一个重要性质就是将一种重要关系压缩到另一种”（Fouconnier and Turner 314），对其中一种关系的“切分”（syncopation）是“压缩”（compression）的一个途径。<sup>1</sup>读者在阅读《午夜之子》时，对萨里姆的成长过程和印度独立历史都进行了时间上的切分：主人公萨里姆的成长线索可以分成“天真——考验——成熟”三阶段，印巴历史则可以分成“独立——动乱——觉醒”（黄芝 95）三阶段。相似点（similarity）可以被压缩为相似性（analogy）、缺乏相似性（disanalogy）和因果关系（cause-effect）等关系。<sup>2</sup>萨里姆的人生三阶段与印巴独立三阶段之间存在相似之处，第一阶段，萨里姆在童年时期过着无忧无虑的幸福日子，而印度宣布独立后，摆脱殖民统治，享受了几年和平的时光；第二阶段，萨里姆流落到巴基斯坦、被迫参战，遭受家庭变故和失忆，印度在这个时期处于水深火热之中，动荡不断；第三阶段，“萨里姆的‘成熟’体现在认识自我和思考人生方面，而印巴社会‘成熟’的标志是取消独裁和提倡民主”（黄芝 98）。在萨里姆的叙述中，读者可以体会到二者发展的相似性（analogy），故而将两条线索整

1 吉勒斯·福科尼尔（Gilles Fouconnier）于1985年提出了“心智空间”（mental space）理论，随之通过发表一系列的著述提出和完善了“概念整合”（conceptual blending）理论。在他和马克·特纳（Mark Turner）的专著《我们的思维方式：概念整合心智背后的复杂性》（*The Way We Think: Conceptual Blending and The Mind's Hidden Complexities*）中对“概念整合”进行了详细论述。

2 参见 Gilles Fouconnier and Mark Turner, *The Way We Think: Conceptual Blending and The Mind's Hidden Complexities*, New York: Basic Books, 2002, 324-327.



合在一起，因而“在《午夜之子》中表现的不仅是人类存在的历史范畴，更是极端激烈的历史环境下人类存在状态与历史的同一”（高焱 76）。

公众在阅读报纸和收听收音机报道时，仅能从官方历史叙事角度了解时局，这些官方历史叙事代表了“官方民族主义”（official nationalism），其目的不仅“安抚这个国家的多语言和多民族的民众”，还“通过几乎不加掩饰的高压政策，蓄意欺骗民众”（Sinha and Roy 10）。读者如果只听取官方历史叙事，那么就只能接收统治阶层希望公众知悉的信息。萨里姆“对印度的叙述颠覆了印度、巴基斯坦和英国政府提供的版本”（O'Brien 172），他的叙述“让我们被鼓励以怀疑的方式阅读历史叙事、报纸报道、官方或政府新闻稿等”（Viswanathan 55），官方报道不再是唯一权威的消息来源，带有个人经验和主观感受的叙事文本更利于我们从不同角度追寻历史，触碰真实。读者从萨里姆故事中获取脑概念，按照一定伦理规则对脑概念进行“概念整合”之后形成脑文本，更客观理性地看待印巴冲突的官方媒体报道。

萨里姆通过讲述个人经历让微弱沉寂的历史事件重新发出声音，让被官方历史叙事所遮蔽的人和事逐渐浮出历史地表，还原官方正史或宏大历史想要掩饰的真相。格林布拉特在《触碰真实》（“The Touch of the Real”）一文中写道，“我们想在过去找到真实的肉体 and 生动的声音，如果我们知道我们找不到这些，因为肉体早已腐烂，声音已然沉寂，那么我们至少可以抓住那些似乎接近实际经验的痕迹”（Gallagher and Greenblatt 30）。萨里姆的叙述就是接近历史的个体实际经验的痕迹，他的叙述颠覆了官方民族主义对民众的压迫，夺回了民众的话语权，让民众不再是统治阶层单方面信息输入的对象。萨里姆在关照官方叙事的同时，从个体经验的角度来审视历史，帮助读者重新审视印巴冲突官方历史叙事的真实性，形成带有个人理解的脑文本。

拉什迪曾感慨“《午夜之子》是从一个世俗的人的角度进入主题的。我是被世俗理想出卖的那一代印度人中的一员”（Rushdie, *Imaginary Homelands* 16）。拉什迪在创作这篇小说时，通过萨里姆的个人经验来书写整个印度历史，“暗示个体永远无法真正与集体分离”（Ghosh 22）。萨里姆在讲述中将脑概念叠加、加工和整合，做出印度裔身份认同的伦理选择，他叙述中的历史人物与事件不仅体现了他的政治主张，而且将个体的生活踪迹放置于历史记载的事件和逸闻轶事中，帮助“读者在阅读文学作品的过程中形成脑文本并把脑文本保存在自己的大脑中，文学作品的教诲功能才有可能实现，文学才能对读者产生潜移默化的作用”（聂珍钊 王永，“文学伦理学批评与脑文本” 174）。

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# 夜游症、暴力转嫁与印第安人大屠杀：《埃德加·亨特利》中的种族伦理内涵

## Somnambulism, Violent Transfer of Crime and Indian Massacre: Racial Ethical Implications in *Edgar Huntly*

彭晨晨 (Peng Chenchen) 徐彬 (Xu Bin)

**内容摘要：**在《埃德加·亨特利》中，白人埃德加因弑“兄”内疚患上夜游症，通过将罪责转嫁给印第安人，维护了白人社区内部的伦理道德秩序。埃德加先后诬陷爱尔兰移民与印第安人为杀人凶手，两重转嫁的伦理选择背后凸显了印第安人因残害白人而“罪”有应得的白人至上主义种族伦理观。以埃德加为报家仇国恨屠杀印第安人为表层叙事，小说遮蔽了布朗建构白人（以盎格鲁-撒克逊人为核心）帝国时的盎格鲁-撒克逊极端民族主义伦理价值取向，即：将白人内部矛盾转化为与印第安人之间的种族文化冲突，采取暴力手段根除来自有色人种的政治经济与文化威胁。

**关键词：**《埃德加·亨特利》；夜游症；暴力转嫁；印第安人大屠杀；种族伦理  
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**Title:** Somnambulism, Violent Transfer of Crime and Indian Massacre: Racial Ethical Implications in *Edgar Huntly*

**Abstract:** In *Edgar Huntley*, the protagonist Edgar, a white man who suffers from somnambulism due to the guilt of killing his “brother,” maintains the ethical order within the white community by transferring the blame to the Indians. Edgar accuses the Irish immigrant first and then the Indians as the murderer. The ethical choice behind two shifts of transferring crime reflects the white supremacist racial ethic that it makes sense to kill Indians because they brutalize the whites. Taking Edgar’s massacre of Indians for revenge as the surface narrative, the novel conceals Brown’s Anglo-Saxon ultra-nationalist ethical values in constructing the white (Anglo-

Saxon centered) empire, that is, to transform the internal contradictions of white community into racial and cultural conflicts with the Indians, and to eradicate the political, economic and cultural threats from colored people by violence.

**Keywords:** *Edgar Huntly*; somnambulism; violent transfer of crime; Indian massacre; racial ethics

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查尔斯·布朗（Charles Brockden Brown）的哥特小说《埃德加·亨特利》（*Edgar Huntly; or Memoirs of a Sleep-Walker*, 1799）讲述了白人埃德加梦游荒野与印第安人激烈搏杀，最终安全返回社区的故事。埃德加屠杀印第安人的直接原因是寻找杀害朋友的凶手途中偶遇暴乱的印第安人，为保性命先发制人。梳理埃德加追凶过程可以发现，他最先将凶手锁定为爱尔兰移民，后将谋杀指控转向印第安人，这一逻辑背后的深层政治文化原因耐人寻味。

布朗对埃德加历经双重罪责转嫁的情节设计内含白人（以盎格鲁-撒克逊人为核心）至上的种族伦理内涵。小说中，宾州本地人埃德加为获取遗产犯下弑“兄”的不伦之罪，首先选择具有野蛮化倾向的爱尔兰仆人克利瑟罗为自己顶替罪行。出于是否能为美国贡献财富、受美国人思想规训的经济与道德考量，埃德加联合拥有财富与技术资本、武装抵制印第安人的爱尔兰外科医生萨斯菲尔德，构成以盎格鲁-撒克逊人为内核，爱尔兰移民为附属群体的白人共同体。白人共同体最终认定印第安人为杀人凶手，通过大屠杀的暴力手段逼迫后者“以死谢罪”，本质上是将白人内部伦理混乱转化为与印第安人的种族冲突，利用白人仇视印第安人的民族本能，将白人的暴力转嫁行径洗白为符合因果伦理的正当行为，即，屠杀印第安人是因为他们肆虐杀害白人。

小说主人公以暴力手段解决冲突的伦理选择映射了布朗应对印第安问题时的盎格鲁-撒克逊极端民族主义伦理价值取向。不同历史时期的文学有其固定的属于特定历史的伦理环境和伦理语境，对文学的理解必须让文学回归属于它的伦理环境和伦理语境，这是理解文学的一个前提。<sup>1</sup>《埃德加·亨特利》创作与出版期间正值早期美国政治文化身份尚未稳固、白人与印第安人种族文化冲突凸出的18世纪90年代，盎格鲁-撒克逊人在美国社会中的人口比例并未占

1 参见 Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 191; 聂珍钊: "人文研究的科学转向", 《文学跨学科研究》4 (2022): 563-568 等。本文外文引文均出自笔者译。

据压倒性优势<sup>1</sup>，美国亟需建构白人帝国、巩固盎格鲁-撒克逊意识形态主导地位的政治伦理语境为文学伦理学批评视角解读小说提供了历史现场。从布朗作为早期英格兰流散者后裔的伦理身份视角出发，埃德加将谋杀之罪暴力转嫁给印第安人的伦理选择即是布朗解决种族问题时作出的伦理选择。

### 一、弑“兄”之罪：白人内部经济利益冲突引发的伦理道德失范

《埃德加·亨特利》中，埃德加为谋取遗产杀害瓦德格拉夫，二者间朋友兼连襟的双重伦理关系决定了埃德加杀人违反法律的同时触犯伦理禁忌，因不堪违背人伦义理的重负患上夜游症。由财产归属问题引发的弟兄冲突表征了美国后革命时期以党争为明确特征的白人内部矛盾，借助小说主人公的弑“兄”行为，布朗意在警示，白人内部成员间的意识形态纷争具有颠覆白人社会伦理秩序的潜在危险。

小说以埃德加寻找杀害瓦德格拉夫的元凶为主要叙事框架，最终定论是暴力袭扰白人社区的印第安人随机杀害了瓦德格拉夫。评论界大多接受了这一结论，但是也有学者围绕夜游症的作用，提出埃德加本人是凶手的可能性。<sup>2</sup>夜游症（Somnambulism）是判断埃德加是否为谋杀犯的核心要素，原因有二。布朗创作《埃德加·亨特利》的经历为这一论断提供了主要依据。夜游症是一种神经系统障碍，通常由焦虑或恐惧等心理社会因素引发。早期现代欧洲的宗教与文化语境中，个人受暗黑力量控制，或者常常因灵魂堕落犯下罪恶之事，内心负疚不安导致梦游。<sup>3</sup>《埃德加·亨特利》最先以节选片段的形式发表，讲述了埃德加救助被印第安人囚禁的女孩、与印第安人搏杀以及成功返回社区的历程。在正式出版的小说版本中，主要添加了爱尔兰移

1 1700-1780年间，移民北美殖民地的英国人不足四分之一，爱尔兰人、苏格兰-爱尔兰人以及德国人反而成为殖民地的主要移民群体。根据1790年第一次全国人口普查数据（总人数390万人，不包含印第安人），白人占总人数的81%。在白人人群中，英国本土人数约占59%，苏格兰人、爱尔兰人以及威尔士三个群体在白人中的占比高达26%。参见Aristide R Zolberg, *A Nation by Design: Immigration Policy in the Fashioning of America*, NY: The Russell Sage Foundation, 2006.

2 肯尼斯·伯纳德（Kenneth Bernard）在“《埃德加·亨特利》：查尔斯·布罗克登·布朗的谋杀悬案”（“*Edgar Huntly: Charles Brockden Brown's Unsolved Murder*”）一文中指出，小说的结构安排（爱尔兰梦游者克利瑟罗的经历）以及文本细节（埃德加作为故事讲述者追溯元凶时的含糊其辞等）都暗示了埃德加是凶手。埃里克·卡尔·林克（Eric Carl Link）认为，埃德加在经济利益与个人情感方面都与瓦德格拉夫存在矛盾；埃德加与因杀人内疚而梦游的爱尔兰人克利瑟罗在行为等方面相似度极高；布朗的哥特小说创作惯于探索人性的双重性，埃德加杀害好友以及他的梦游行为是主人公在心理、哲学以及宗教层面与自我进行斗争的表现。以上观点可参见Eric Carl Link, “Who Killed Ealdegrave?” *Poe Studies* 39/40 (2006): 90-103.

3 参见Sasha Handley, “Sleepwalking, Subjectivity and the Nervous Body in Eighteenth-Century Britain,” *Journal for Eighteenth-Century Studies* 3 (2012): 306.

民克利瑟罗与埃德加梦游相关的情节。由此可以推断，夜游症与埃德加的种种行为关系密切。此外，布朗创作小说期间与英国医学家伊拉斯谟·达尔文（Erasmus Darwin）交好，极大可能了解并熟知达尔文有关夜游症的理论。根据达尔文在《动物法则》（*Zoonomia; or, The Laws of Organic Life*, 1794）一书中的定义，夜游症是一种“强烈自愿运用意志力缓解痛苦”（203）的意志疾病，它涉及运动肌肉与感官器官的活动，二者同时或交替进行，最终目的都是为了减轻痛苦。小说中，同样患有夜游症的克利瑟罗梦游是为了缓解自认为导致在爱尔兰时的雇主罗莫瑞夫人之死的内疚之情，依照这一逻辑，埃德加梦游是为了减轻因杀害瓦德格拉夫引发的伦理负疚感。

埃德加与瓦德格拉夫之间的多重伦理关系决定了埃德加杀人犯罪的同时触犯弑“兄”的伦理禁忌。首先，埃德加与瓦德格拉夫是挚友。根据小说第十三章内容，二人书信往来频繁，经常在信件中交流信仰观念，埃德加是瓦德格拉夫的坚定追随者。其次，瓦德格拉夫是埃德加未婚妻玛丽的哥哥，在朋友关系的基础上增加了一重作为亲人的伦理身份。为满足自身足以独立生活的私欲，埃德加不受理性意识支配，作出杀害瓦德格拉夫夺取遗产的伦理选择。埃德加早年丧亲，长期寄居叔叔家，无任何财产可继承。瓦德格拉夫拥有八千美元的可观收入，如果玛丽继承这笔财产，埃德加可以通过婚姻实现经济独立，摆脱寄人篱下的生活困境；如果没有这笔收入，埃德加将继续依附他人生活，日后与玛丽结合则可能会加剧生活窘况。面对此种困境，埃德加身上的兽性因子控制了人性因子<sup>1</sup>，将瓦德格拉夫杀害。埃德加生活的社区以父权制传统维系家庭关系，强调兄友弟恭的和谐邻里关系。因此，杀人犯罪之余，埃德加因杀害的是兄长触犯伦理禁忌，引发伦理道德焦虑出现梦游症状。

埃德加与瓦德格拉夫之间的矛盾冲突表征了美国后革命时期白人社区内部成员以党争为明显特征的紧张对立关系。简·汤普金斯（Jane Tompkins）指出，布朗注重小说的“社会功用”（43），结合布朗所处时代为美国建国早期，《埃德加·亨特利》不可避免得与国家政治话语联系在一起。小说出版期间，新生美国党同伐异危机凸显，政治文献中常常以兄弟冲突比喻如火如荼的党争现象。在《1795年7月30日埃贝林教授信函笺注》中，杰斐逊（Thomas Jefferson）就将联邦党人称作“虚伪的弟兄（false brethren）”（47）；汉密尔顿（Alexander Hamilton）在1789年致奥尔巴尼市行政长官的信中表示，“令人深感遗憾的是，在国家最重要的部门中存在着分歧，这就像兄弟之间的分歧一样，对大家族的幸福是如此有害”（259）。

从小说创作经历以及人物关系可以推断出埃德加是杀人真凶，由经济利益冲突导致的弟兄矛盾引发个人伦理道德危机，扰乱了白人社区的正常伦理秩序。因此，埃德加为掩盖杀人事实寻找替罪羊，通过将白人社区内部矛盾转化

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



为与社区外部人的冲突维持白人社区伦理道德秩序构成小说的伦理主线。

## 二、指控野蛮化的爱尔兰仆人：建构白人共同体的经济与道德考量

埃德加的第一重转嫁罪责目标针对爱尔兰移民群体，具体表现为埃德加指控抛弃仆人伦理身份，不参与社会劳动，思想和行为与野蛮印第安人日渐趋同的克利瑟罗为谋杀犯。相较而言，拥有财富与技术资本，积极维护白人社区安全秩序的爱尔兰移民与美国盎格鲁-撒克逊人达成抵制印第安人的友好同盟关系。美国人对爱尔兰人截然不同的态度体现出，建国早期美国人联合白人移民构建白人帝国时遵循以能否为美国创造财富、是否在意识形态上臣服美国为核心的盎格鲁-撒克逊白人帝国主义政治经济伦理规范。

小说中，爱尔兰移民身份是埃德加将克利瑟罗选做替罪羊的直接身份标记。法国思想家勒内·吉拉尔（René Girard）在《替罪羊》一书中指出，人类通过不同的范式实施集体暴力，其中一种是被指控的犯罪者携带“被选定的特殊的标记”，这些标记容易使人联想到犯罪者与“危机有罪恶”（29）之间的联系。小说第二章提及，克利瑟罗来自爱尔兰，是埃德加所在社区唯一的“陌生人”，克利瑟罗平日里沉默寡言，“他的出身和过往笼罩着一种朦胧的气息”（12）<sup>1</sup>。在埃德加看来，爱尔兰移民、仆人身份以及神秘过往就是“几乎决定[克利瑟罗]是否有罪”（12）的主要因素。

埃德加仅依据爱尔兰移民身份就宣称克利瑟罗是杀人犯的判断是基于18世纪末期美国人的认知暴力，即：爱尔兰人是从事邪恶勾当、扰乱美国社会安定与文明秩序的不法分子。18世纪后半期，宾夕法尼亚州是跨大西洋爱尔兰移民集中聚集的主要地区之一，独立革命前后，移居费城的爱尔兰人中，不太富裕且通常作为签约劳工的个体爱尔兰移民增多，18世纪末期，政治流亡者和难民人数明显增加。<sup>2</sup>

爱尔兰人同时被美国人视作易于实施暴力的野蛮人。1763年帕克斯顿大屠杀事件中，宾夕法尼亚州信奉长老会的苏格兰-爱尔兰人被指控为屠杀的主谋，他们以剥头皮方式残忍杀害20名无辜印第安人。事件发生后，一本名为《安德鲁·楚门和托马斯·西洛的对话》（“A Dialogue, Between Andrew Trueman, And Thomas Zealot”）的小册子以行凶者口吻描述了苏格兰-爱尔兰人残杀印第安人的过程，这种“缺乏同情心”成为爱尔兰人“野蛮的标志”（Bankhurst 345）。

克利瑟罗与印第安人相似的身体特征和行为为埃德加指控克利瑟罗提供

1 本文有关《埃德加·亨特利》的引文均出自 Charles Brockden Brown, *Edgar Huntly; or, Memoirs of a Sleep-Walker with Related Texts*, edited by Philip Barnard and Stephen Shapiro (Indianapolis: Hackett Publishing Company, 2006). 以下引文仅标注页码，不再一一说明。

2 参见 Judith A Ridner, *The Scots Irish of Early Pennsylvania: A Varied People*, Philadelphia: Temple University Press, 2018.



了现实证据。梦游状态下，克利瑟罗腰间只“裹着一件像法兰绒一样的东西遮住下体，身体的其他部分则是赤裸的”（9），他在榆树下重复进行挖坑的“病态活动”，时而叹息时而哀嚎。埃德加由此断定，克利瑟罗无法安睡的背后是他作为“凶恶的罪犯”隐藏了“某种可怕的秘密”（11）。

埃德加受认知暴力影响选择克利瑟罗为替罪羊，本质上反映了美国人联合白人移民群体时遵循以能否为美国创造财富、是否接受美国人规训掌控为核心的伦理道德评判标准。首先，克利瑟罗抛弃了仆人的伦理身份，因无法创造经济收益成为白人社区意欲摆脱的负担。受夜游症困扰，克利瑟罗经常藏身山洞，或住在位于“贫瘠而又原始”的荒野腹地之中的茅屋里。除了为获取生活所需在农场干活，克利瑟罗“每天晚上都要回到他的茅屋里去，尽量不和别人来往（……）或者到谁也不知道的地方去流浪”（189）。英国著名伦理学家大卫·史密斯（David Smith）认为，“对场所的确立或解读，从本质上讲都是人们那时那地道德观念的评价，即：把伦理秩序或善恶美丑加于自然景观之上，依照经济或社会目的进行场所定位，并赋予场所一定的价值理念”（45）。以白人划分文明与野蛮的逻辑为判定基准，克利瑟罗生活的场所——山洞与茅屋均是原始荒蛮的象征，克利瑟罗选择在荒野生活决定了他不再参与社会生产劳动，意味着不能为白人社区贡献财富。

其次，不接受美国人思想规训决定了克利瑟罗无法完成从爱尔兰移民到美国公民的伦理身份的转变。在爱尔兰生活时，克利瑟罗盲目效忠并爱慕雇主夫人罗莫瑞，同时计划与罗莫瑞的侄女克拉丽斯结百年之好。克利瑟罗为自卫杀害了罗莫瑞的哥哥（克拉丽斯的父亲），导致罗莫瑞与克拉丽斯承受痛失至亲之苦，思想扭曲的克利瑟罗对罗莫瑞行凶，试图以此帮助后者彻底摆脱痛苦。由此引发的伦理混乱导致克利瑟罗精神崩溃，终日噩梦缠身无法正常生活，最终“将自己永逐故土，来到辽阔无边、人地生疏”（61）的美国。克利瑟罗误以为夫人因自己引起的家庭悲剧郁郁而终，无法摆脱内疚心理，沉溺荒野消极避世。埃德加多次劝说克利瑟罗回归白人社区生活未果，表明克利瑟罗不接受盎格鲁-撒克逊人的思想规训与行为约束。埃德加试图“仿效一位父亲的仁慈，使这个不幸的人恢复内心的纯洁与安宁”（24），但是，克利瑟罗固不可彻，甚至在得知罗莫瑞移民美国后再度行凶。由此可见，被帝国臣民意识腐蚀的克利瑟罗已然失去理智，潜伏荒野随时预谋杀人，退化为与威胁白人社区安定的印第安人属性相同的野蛮人。

相比之下，拥有技术资本与财富的爱尔兰移民萨斯菲尔德夫妇受美国人欢迎，萨斯菲尔德指控克利瑟罗为品行败坏的犯罪者并清除后者的伦理选择有利于萨斯菲尔德认同美国公民的伦理身份。萨斯菲尔德是外科医生，拥有为白人社区创造经济价值的技术资本，他的妻子罗莫瑞在爱尔兰时拥有庄园资产，二者是可为美国社会发展贡献力量的白人移民。为解决在爱尔兰遗留的家庭恩怨，阻止克利瑟罗再次伤害罗莫瑞，同时表明自己合格美国公民

身份的认同意愿，萨斯菲尔德极力指控克利瑟罗，声称他充满“罪行与苦难”（175）的过往证明其有能力犯下极端邪恶之事，克利瑟罗现在“已成为地狱邪恶力量之源，全人类都有责任起来反抗，直至将之粉碎，剥夺其伤害他人的能力”（184），自己则坚决不会与他“占据同一片天地”（176）。

埃德加与萨斯菲尔德对克利瑟罗的指控，也就是与克利瑟罗在伦理身份上的对立，是宾州本地人与有价值的爱尔兰移民联合构成白人共同体的基本前提。萨斯菲尔德夫妇与克利瑟罗同为移居美国的爱尔兰人但遭受截然相反的待遇，究其本质是新生美国建构白人共同体时以经济价值和意识形态归属倾向为评判核心的盎格鲁-撒克逊政治经济伦理规范作用下的结果。

### 三、“以死谢罪”：暴力转嫁罪责的白人至上种族伦理观

《埃德加·亨特利》中，埃德加最终将杀人罪责转嫁给暴乱的印第安人，以屠杀手段惩治“杀人凶手”，本质上是受内化为民族本能的白人至上种族伦理观影响，即低级野蛮的印第安人残杀白人是嗜血本能所致，因此，暴力祛除印第安人是他们罪有应得。印第安人被迫认罪以及以死谢罪的文本表征隐含了布朗作为早期英格兰流散者后裔建构白人帝国时的盎格鲁-撒克逊极端民族主义伦理价值取向。

布朗以真实事件为背景追溯了印第安人集体暴乱袭扰白人社区的历史渊源。根据小说第二十章内容，印第安人大规模袭击白人是有预谋的行动，领导者是一位被称为麦布女王的印第安人，她“最初属于特拉华或称伦尼莱纳佩人部落。所有这些地区曾经都属于那个部族的领土范围。大约三十年前，由于英国殖民者的不断侵占，他们放弃了古老的居住地，退居到沃巴什河和穆斯金姆河岸边”（136）。小说故事发生地在特拉华河上游地区福克斯附近，结合白人长期侵占土地导致印第安人反抗可以推断，小说指涉事件是1758年的伊斯顿会议以及特拉华印第安人的流离失所。宾夕法尼亚人无视不再定居印第安人领地的条约内容，继续侵占扩张活动，导致边疆冲突。

通过印第安人残杀埃德加家人的事件，布朗弱化了印第安人袭击白人社区的“前因”（白人侵占印第安人土地），着重突出了印第安人的暴行。据埃德加回忆，印第安人“频繁得侵入英国殖民地的中心地带，造成致命性破坏”；在最近的一场冲突中，“八个不速之客袭击了[他]们的房子，[埃德加]父母和一个尚在襁褓中的婴儿在熟睡中惨遭杀害，房子被洗劫一空，然后在火海中灰飞烟灭”（116）。印第安人不仅肆意杀人放火，劫掠妇女（埃德加救助了一位被囚禁的女孩），而且虐杀婴儿，种种行为充分说明印第安人本性嗜血残忍，不受文明社会准则与伦理道德规范约束。

对印第安人低等野蛮的定性使埃德加屠杀印第安人的行为变得合乎义理。首先，为逝去的家人报仇符合人之常情。埃德加遵循“一报还一报”的情感伦理原则，通过相同的暴力手段，达成自己的复仇欲。其次，保护自身

生命安全是人的本能。面对凶残的印第安人随时会杀害自己的状况，埃德加充分意识到，“夺走别人的生命是避免[被杀害]的唯一方法”（120）。最后，保护社区成员的生命与财产安全是应尽的公民义务。埃德加杀害印第安人阻止了后者破坏白人社区，为报家仇的同时解决了“国恨”。布朗借埃德加之口明确表明，对印第安人实施暴力是因为印第安人野蛮而罪有应得：“为什么要让他活下去？（……）他活着只是为了从事嗜血勾当；喝来自他的不幸的敌人、我们的兄弟身上的血，在他们的悲叹中欢欣鼓舞。命运决定了[印第安人]在血腥和暴力中死亡的结局”（133）。

埃德加屠杀印第安人后返回社区，宣称暴动中的某个印第安人随机杀害了瓦德格拉夫，成功转嫁杀人罪责，增强了白人社区的凝聚力。小说中，武装抵制印第安人是盎格鲁-撒克逊白人与爱尔兰移民认同白人共同体成员身份的重要途径。文学伦理学批评指出，伦理身份包括“以集体和社会关系为基础的身份”（聂珍钊 263）。萨斯菲尔德作为成功移民美国的白人社区成员，积极参与社区自发组织的“追击和消灭[那些可恶的敌人]”（166）的行动，相同的白人种族属性基础以及共同对抗印第安人的盟友身份巩固了萨斯菲尔德与当地白人构成的白人共同体成员关系。

埃德加之所以能够成功将白人社区内部危机转变为与印第安人之间的种族冲突，一个重要原因是18世纪末期美国白人与印第安人的冲突达到高潮。针对白人占领印第安土地的情况，印第安部落中兴起印第安人民族主义和改革运动，部分印第安部落组成了西北印第安人联盟，采取武装行动确保白人不再入侵自己的定居地范围，双方多次发生大规模战役，美国人对印第安人的敌对情绪高涨。

1803年，在题为《致政府关于路易斯安纳州割让给法国人的演说》的小册子（“An Address to the Government on the Cession of Louisiana to the French”）中，布朗假借一位法国国务部长的口吻表明，印第安人是影响美国政治安全的致命弱点：“很多方面来说，印第安人都是更危险的居民。他们的野蛮无知、不守纪律的激情、不安分的好战习性以及对古老权利的执念，都使印第安人成为可能扰乱[美国]的最合适的工具”（45）。印第安人反动暴乱的现实与美国白人对印第安人种族偏见的合力作用下，印第安人成为白人转嫁罪责与危机的首当其冲的对象。

小说主人公埃德加利用印第安人为自己顶替杀人罪行的伦理选择即是布朗在早期美国建构白人帝国、巩固盎格鲁-撒克逊意识形态主导地位的政治伦理语境下作出的伦理选择。理查德·斯洛特金（Richard Slotkin）主张布朗哥特小说中的印第安主题“对美国人有着特殊的意义，体现了[美国]国家经验的本质与特征”（qtd. in Rachman 376）。《埃德加·亨特利》中，印第安人被塑造为无差别杀害白人的残暴野蛮人形象，通过埃德加深入荒野击杀印第安人，保护社区成员生命财产安全的历程，布朗表明，祛除印第安人是

建设社会秩序稳定与道德健康的美国的必要前提。

布朗在小说中以屠杀的极端方式解决印第安种族问题是对 19 世纪初期杰斐逊总统清除有色人种，将美国打造为白人帝国的政治理想的文学预设。杰斐逊认为，印第安人应该改变游牧的生活习惯，从事农作与家庭手工业并勤奋劳动，以此提高智力与道德水准。言外之意，以游牧为生的印第安人低（白）人一等、道德品质低下。因此，杰斐逊理想中的帝国只能由勤劳苦干的盎格鲁-美国自耕农组成：“期待遥远的时代不可避免，到那时，[美国人]的迅速繁殖将扩展超出[目前]的限制（……）[美国人]也不会考虑欣然接受其中存在污点或混合物”（qtd. in Jordan 547），“污点”或“混合物”即指有色人种以及种族通婚产生的混血儿。

“通过对生活在虚拟社区中的文学人物的分析，读者能够参照文学文本对现实生活中特定历史时期、特定场所的伦理环境中人们的伦理观念有所认知”（徐彬 117），白人埃德加为报家仇国恨采取屠杀手段惩治印第安人的文本叙事背后，隐含了布朗暴力祛除有色人种，建构白人帝国的盎格鲁-撒克逊极端民族主义伦理价值取向。《埃德加·亨特利》中，白人社区内部由经济利益冲突引发弑兄的不伦之罪，将罪行转嫁给社区外部人是维持白人社区伦理道德秩序的有效方法，放弃爱尔兰人转而指控印第安人的逻辑凸显了美国盎格鲁-撒克逊人已然内化为民族本能的白人至上的种族伦理观。

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# 《贝拉罗莎暗道》中的记忆伦理书写

## Ethical Writing of Memory in *The Bellarosa Connection*

郭丹阳 (Guo Danyang) 王卓 (Wang Zhuo)

**内容摘要:** 美国犹太作家索尔·贝娄的《贝拉罗莎暗道》以大屠杀非亲历者无名叙述者“我”的视角讲述大屠杀幸存者的经历, 彰显了作者对大屠杀记忆传承这一记忆伦理问题的思考。叙述者由于记忆伦理失范导致民族身份危机, 主要通过不可靠叙述呈现。从不可靠叙述到可靠叙述的转变体现了叙述者对自身伦理困境的认知与伦理选择, 代表着记忆伦理复归对民族身份的重塑。此外, 可靠叙述中的隐含作者声音既代表了贝娄作为第二代美国犹太作家在大屠杀书写这一重要问题上的伦理选择, 也在某种程度上引领了美国犹太文学的发展方向。

**关键词:** 《贝拉罗莎暗道》; 记忆伦理; 伦理选择; 叙述可靠性; 美国犹太文学

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**Title:** Ethical Writing of Memory in *The Bellarosa Connection*

**Abstract:** American Jewish writer Saul Bellow's *The Bellarosa Connection* tells the Holocaust survivors' experiences from the perspective of an unnamed narrator, "I", who has never experienced the Holocaust, presenting Bellow's reflections on the transmission of Holocaust memory as an issue of ethics of memory. The narrator's national identity crisis due to the failure of ethics of memory is mainly presented through unreliable narration. The narrator's shift from unreliable to reliable narrative reflects his awareness of his own ethical dilemma and his ethical choice, representing the reconstruction of national identity through the return of the ethics of memory. Besides, the implied author's voice in the narrator's reliable narration represents the ethical choice of Bellow himself as a second-generation American Jewish writer on the important issue of Holocaust writing, and to some extent sets the direction for American Jewish literature.



**Keywords:** *The Bellarosa Connection*; ethics of memory; ethical choice; narrative reliability; American Jewish literature

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《贝拉罗莎暗道》（*The Bellarosa Connection*, 1989）是第二代美国犹太作家索尔·贝娄（Saul Bellow）晚期创作生涯中一部重要的中篇小说，作为1989年到1991年间典型的四部大屠杀小说之一，代表了“二十世纪末期对大屠杀的回应”（Bach 78）。然而，与贝娄的代表性长篇小说相比，《贝拉罗莎暗道》在学界引发的关注相对较少，且主要聚焦于大屠杀主题、创伤主题、记忆书写、身份建构以及叙事视角等层面。以上研究多数集中于小说的两位主人公——大屠杀幸存者方斯坦及其妻子索莱拉，对故事的无名叙述者“我”虽也有分析，但整体较少。然而事实上，无名叙述者“我”是《贝拉罗莎暗道》中的关键人物，主要原因有以下两点。首先，无名叙述者“我”并非大屠杀的亲历者，“我”对大屠杀记忆的转述折射出大屠杀记忆的代际传递问题，这涉及犹太民族的“历史与文化身份问题”（Weatherford 77）。如果仅仅聚焦于呈现大屠杀亲历者方斯坦的记忆，并不足以完整表达贝娄对族群历史延续与犹太身份认同的思考，也与贝娄此前创作的《赛穆勒先生的行星》（*Mr. Sammler's Planet*, 1970）等作品没有实质意义上的区别。其次，无名叙述者“我”是一个经历了转变与成长的人物<sup>1</sup>，“我”成长的标志为做出了正确的伦理选择，从漠视大屠杀记忆到决心传承大屠杀记忆，重构了民族身份。以上两点已有学者论及，然而，关于贝娄是如何巧妙地通过叙事呈现自身对大屠杀记忆传承的伦理思考的，仍然缺乏具体而深入的论述。事实上，贝娄通过无名叙述者“我”的叙述可靠性与真实读者进行了间接交流，引领读者对大屠杀记忆传承问题进行伦理思考，提供了一个将作者的伦理意图融入叙事技巧的经典范例。

无名叙述者“我”的叙述有两大特点。第一，“我”的叙述可靠性存在明显问题，虽以不可靠叙述为主，但在大量的不可靠叙述中又偶有只字片语的可靠叙述出现。这一问题的出现本质上是因为“我”的叙述中掺杂着两

1 参见 张军：“建构历史轴线——索尔·贝娄成长小说《贝拉罗莎暗道》中的引路人研究”，《当代外国文学》2（2013）：52。

种声音，即成长之前的声音与成长之后的声音，而在“我”成长之前的不可靠叙述中又存在着疏远型不可靠叙述与契约型不可靠叙述，二者夹杂，使得“我”的叙述可靠性更具迷惑性，对读者进行伦理思考提出了更高的要求。第二，“我”的叙述看似零散繁乱，时间跨度大、涉及众多人物、事件，却有一个共同的关键词：“记忆”。索尔·贝娄通过引入无名叙述者“我”，试图讨论的问题是：未经历过大屠杀的美国犹太移民有义务记住大屠杀吗？而这一问题本质上是一个关乎记忆伦理的问题。

记忆伦理主要解决的问题是“在什么样的意义上更需要记忆的忠诚”（阿维夏伊·玛格丽特 10），主要涉及“谁在记忆”“记忆什么”“如何记忆”以及“如何表述记忆”（梅丽 109）等具体问题。记忆的伦理功能在于通过共同记忆把具有浓厚关系的人结合在一起，诸如父母、朋友、爱人、同胞等。因此，“记忆共同体是浓厚关系和伦理的栖息地。依靠这种粘合浓厚关系的核心功能，记忆成为指涉伦理的事业，指导我们如何处理人与人之间的浓厚关系”（阿维夏伊·玛格丽特 8）。在《贝拉罗莎暗道》中，记忆伦理涉及的问题主要是没有经历过大屠杀的美国犹太移民应如何对待大屠杀的创伤记忆。

在文本中，贝娄以未经历过大屠杀的无名叙述者“我”的视角讲述大屠杀幸存者的经历，呈现出部分美国犹太移民从忽视大屠杀记忆到选择传承大屠杀记忆而重构民族身份的历程，彰显出贝娄对记忆伦理的思考。“文学是特定历史条件下的伦理表达形式”（Nie, “Ethical Literary Criticism: A Basic Theory” 189）。从文学伦理学批评的视角切入文本，审视记忆伦理对于叙述者伦理困境与伦理选择的作用和意义，可以看出作者贝娄“鲜明的伦理取位是实现这一伦理写作的关键所在”（王卓，“‘不伦之恋’的伦理维度” 70）。叙述者由于记忆伦理失范导致民族身份危机，主要通过不可靠叙述呈现。叙述者从不可靠叙述到可靠叙述的转变体现了叙述者对自身伦理困境的认知与伦理选择，即认识到记忆伦理失范的严重后果，选择传承大屠杀记忆，重构犹太身份认同，代表着记忆伦理复归对民族身份的重塑。此外，可靠叙述中的隐含作者声音既代表了贝娄本人作为第二代美国犹太作家在大屠杀书写这一重要问题上的伦理选择，也在某种程度上引领了美国犹太文学的发展方向。

### 一、记忆伦理失范与民族身份危机

小说中，无名叙述者“我”是一个生于美国、长于美国的美国犹太人。不同于第一代从家乡来到美国的犹太移民，“我”的美国身份认同更胜于犹太身份认同。作为大屠杀的非亲历者，“我”对大屠杀幸存者方斯坦的大屠杀记忆持怀疑、排斥甚至是否定的态度。然而，大屠杀记忆作为犹太民族的集体创伤记忆，已经成为犹太民族身份建构的重要部分。在小说中，贝娄通过“我”的不可靠叙述呈现了记忆伦理失范导致的民族身份危机。

叙述者的叙述是否可靠主要取决于“叙述者的言行与作品的范式（即隐含作者的范式）”（Booth 158-159）是否保持一致。根据“事实/事件轴”“知识/感知轴”“价值/判断轴”三条轴线，不可靠叙述主要分为六种亚类型：“错误的报道”、“错误的解读”、“错误的判断”、“不充分的报道”、“不充分的解读”、“不充分的判断”（Phelan 51）。不可靠叙述能够“反映出叙述者的思维特征，因此对揭示叙述者的性格和塑造叙述者的形象有着重要作用”（申丹 134）。通过不可靠叙述所反映的“我”的思维特征中存在的问题，贝娄成功塑造了一个历史意识缺失，进而在主流社会同化中失去犹太身份认同的美国犹太移民形象。

在“事实/事件轴”上，无名叙述者“我”的讲述颇具迷惑性。在故事的开篇，无名叙述者首先强调了自己“费城记忆力训练学院的创始人”（175）<sup>1</sup>的身份。此外，“我”还通过许多细节来炫耀自己的记忆力，比如“我”能在多年后清晰地记得和索莱拉首次见面时她的装扮，记得五十年前小学二年级老师的名字。然而，作为记忆专家的“我”却未能在“事实/事件轴”上成为一位可靠的叙述者。“我”成长之后的反思性声音却主动承认了自己无法在方斯坦夫妇的事件中把握真正的现实，即在“事实/事件轴”上形成了“不充分的报道”，其原因在于“我”的认知能力有限，即在“知识/感知轴”层面出现了问题。

在“知识/感知轴”层面，“我”的错误的解读主要体现在两个方面。第一，“我”无法理解并不愿接受幸存者的大屠杀记忆。“我”用“历险史”“好莱坞的连续剧”（184）形容方斯坦的幸存经历，用“荒诞玄学、荒诞主义、达达主义、超现实主义”（198）将索莱拉关于集中营的讲述荒诞化，称其为“大规模狂想”（198）。第二，“我”更无法理解他人对于大屠杀历史的关注。“我”的父亲尤为关注大屠杀这一犹太历史上的深重灾难，所以特别提出要见一见方斯坦，了解他的幸存经历。而父亲对大屠杀历史的关注在“我”的叙述中变成了“对难民故事很着迷”（178）。另外，成长之前的“我”始终以嘲讽的态度对待索莱拉的大屠杀研究，狭隘地认为“她研究的目的是为了帮助她的丈夫”（198），无法认识到铭记这一重大灾难的伦理道德意义及其对于犹太历史、犹太民族身份认同的意义。不难发现，我在“知识/感知轴”层面出现的问题根源仍然在于“价值/判断轴”。

在“价值/判断轴”层面，“我”在历史记忆与民族身份两方面出现了严重偏差，形成了“错误的判断”。在历史记忆方面，“我”以满不在乎的口吻宣称自己毫不理解大屠杀的滔天罪行，认为“这种对历史的沉思并不能解决任何问题”（194）。“我”无法在大屠杀历史中找到共鸣与认同，甚至

1 本文有关《贝拉罗莎暗道》的引文均来自 索尔·贝娄，“贝拉罗莎暗道”，《索尔·贝娄全集（第12卷）偷窃 真情 贝拉罗莎暗道》，段惟本、主万译（石家庄：河北教育出版社，2002年）。以下引文仅标注页码，不再一一说明。

彻底否定了历史与记忆的价值。共同的历史记忆往往是族群身份构建的核心要素，因此“我”在民族身份定位方面必然存在问题。“我”认为自己“在文明史上是人类类型中的新型”（180），并认为方斯坦应该忘记自己的悲惨遭遇，接受美国同化，“做个地道的美国人。好好做生意”（198）。总而言之，“我”更认同自己的美国身份，忽略甚至拒绝接受自己的犹太身份。

此外，值得注意的是，贝娄不仅以疏远型不可靠叙述展现出记忆伦理失范所导致的民族身份危机，同时以契约型不可靠叙述进一步深化读者对记忆伦理失范的伦理反思。“我”的不可靠叙述大多属于疏远型不可靠叙述，即读者在阅读过程中会对叙述者的报道、阐释和判断产生质疑，进而疏远叙述者。同时，“我”的叙述中也存在少量契约型不可靠叙述，其中“包括了隐含作者——因此也是作者的读者——所认同的交际信息”（费伦 尚必武 295）。《贝拉罗莎暗道》中的契约型不可靠叙述属于费伦所划分的第五种亚类型，即“对正常范式的部分接近”（费伦 尚必武 299）。无名叙述者“我”成长之前的声音在自我辩护中间接承认了自己拒绝大屠杀记忆的原因之一为不敢直面大屠杀的暴行：“那帮人先是把你杀害了，然后又迫使你去思考他们的罪行。要我去想，我会透不过气来的。在原先的‘选择’、煤气室屠杀、火化尸体之上再加上迫使你去寻找原因简直可怕之极”（198）。贝娄有意通过契约型不可靠叙述提示读者，“我”对大屠杀记忆的否认是记忆伦理失范的结果，是对自身伦理责任的逃避。

## 二、记忆伦理的复归与“我”的伦理困境及伦理选择

小说中，“我”由于记忆伦理失范导致了民族身份危机，而以记忆伦理引领“我”意识到我的伦理困境，最终做出正确的伦理选择的正是方斯坦夫妇。尽管一开始“我”对索莱拉关于大屠杀的研究并不感兴趣，时不时打断她的话，直言“我不想听”（198），但随着叙事进程的推进，“我”认可了索莱拉潜移默化的引领作用，最终承认索莱拉的讲述“克服了我的抵抗情绪”（197），在聆听过程中，“我不禁被引导去思考一些问题”（198）。方斯坦坚持与救命恩人比利·罗斯见面表达感激，与妻子一同参观耶路撒冷的种种行为，都在以实际行动强化着“我”的历史记忆。换言之，方斯坦夫妇始终在以各种方法帮助“我”实现记忆伦理的复归。

在追溯方斯坦夫妇故事的过程中，“我”梦见自己长时间被困于一个洞中，并且意识到这个洞是一个对“我”很了解的人有意挖成的。“我”被困的洞象征着“我”对自身伦理困境的认识。最终，以另外一个成长之后的“反思性声音”主动对“我”之前的一系列不可靠叙述“进行了一场有关伦理和道德的自我审判”（武跃速 蒋承勇 7），最终纠正了自己在历史记忆与身份认同方面的错误报道、认知与判断，做出了正确的伦理选择，通过记忆伦理的复归实现了民族身份的重构，具体表现为“我”的疏远型不可靠叙述在三



条轴线上均转变为可靠叙述。

首先，在“事实/事件轴”层面，“我”承认了自己在方斯坦夫妇事件中把握事实的局限性，这表明“我”认识到自身在“知识/感知轴”上的存在的问题，在“知识/感知轴”上，“我”意识到了自己在感知大屠杀历史方面存在的严重问题，反思了自己长期切割民族历史的行为：“我发现长期以来我在四周竖起盾牌不让难以忍受的想象侵入——不，不是想象，而是承认——对谋杀的承认，对有人热衷于酷刑的承认，对野蛮行为是一种基础低音的承认，而没有这基础低音人类音乐便无法演奏”（249）。“我”意识到幸存者的意义在于提醒世人灾难的真实存在，正如布鲁姆所言：“在过去一个世纪的磨难中，幸存的概念可能是我们最需要的”（Bloom 127）。“我”也理解了索莱拉与父亲对犹太历史的关注的重要意义，即“还原大屠杀历史真相，并期望犹太人谨记民族历史，培养历史意识”（张军 54）。

在“知识/感知轴”上的纠正最终使我认识到了自己在“价值/判断轴”上的问题。首先，在历史记忆方面，方斯坦在集中营中的苦难经历以及索莱拉对大屠杀的关注潜移默化地让“我”重温了大屠杀幸存者的经历，帮助“我”认识到记忆的重要意义：“如果睡眠是忘却，忘却也就是睡眠，而睡眠与意识之间的关系等于死亡与生命的关系”（259）。方斯坦夫妇去世的噩耗令我“我”意识到传承大屠杀记忆的紧迫性，“我”最终认可了索莱拉对大屠杀的观点，即“我们有特殊责任来正视它”（225），感到“犹太历史的闪光小点正在向我逼近”（231）。

其次，对民族历史的承认帮助“我”重构了民族身份。在身份定位方面，“我”成长后的反思性声音意识到自己的身份危机，即“我并非我心目中的我”（247），“作为一个新大陆的后裔是要付出代价的”（248）。此外，“我”在谈及贝拉罗莎暗道创始人时评论称，作为商业大亨的比利虽然看上去奢侈轻浮，但是“流淌的主流却是他的犹太民族性”（185），“我”开始逐渐认可犹太身份与犹太民族性，而并非如从前般简单地执着于维护自己的美国身份。无名叙述者“我”的叙述从不可靠到可靠的转变体现了“我”的成长，即“我”在伦理层面的认知发展。“我”的可靠叙述代表着记忆伦理的复归，“我”在记忆伦理的影响下已经清醒地认识到了自己历史意识缺失与身份定位的错误，并通过伦理选择“获得了伦理意识”（Nie, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection” 386），从伦理上解决了自己的身份问题，即作为非亲历者决定铭记并传承幸存者的大屠杀记忆，进而实现犹太寻根，强化自己的犹太身份。

此时，与一开始“我”对方斯坦的故事所做出的缺乏感情、充满嘲讽的回应相比，“我”已经向贝娄的伦理观念上迈进了一大步。此时，作者的读者开始在伦理上走近无名叙述者，成长小说的伦理教诲功能得以彰显。文学作品的一个重要意义在于为人类提供从伦理的角度认识社会和生活的道德范

例，为人类的物质生活和精神生活提供道德指引，为人类的自我完善提供道德经验。<sup>1</sup>贝娄恰恰是通过叙述者的可靠叙述呈现出记忆伦理复归的重要意义，同时实现了自己的伦理意图，即引领美国犹太移民承担历史责任，传承大屠杀记忆，重构犹太身份。

### 三、贝娄的伦理选择与美国犹太文学的发展

小说中的叙述者“我”并非贝娄本人，但在某种程度上却可以代表贝娄所属的第二代犹太裔美国群体。他们未曾亲身经历过大屠杀，并在美国主流社会的同化中几乎丧失了族群归属感与犹太身份认同。贝娄正是意识到了这一问题，才选择了无名叙述者“我”对方斯坦的故事进行转述。同时，贝娄作为隐含作者的声音在“我”的可靠叙述中时隐时现，比如“我”成长之后对于大屠杀的承认，对于比利“犹太民族性”（185）的肯定都带有隐含作者的影子，此时，“叙述者的伦理取位以及隐含作者的伦理取位是相互联系的”（尚必武 104）。隐含作者借叙述者之口表达了对种族历史和族群命运的深切关怀。在小说结尾，贝娄更是直接借叙述者之口，明确表明自己要承担起记录“贝拉罗莎暗道”的责任。成长后的“我”发现美国犹太移民中普遍存在着历史意识缺失、身份定位模糊的问题，比如看管方斯坦夫妇房屋的年轻人对犹太历史毫不在意，甚至取笑“我”的犹太情感。所以最终“我”决定承担起大屠杀历史传承的责任，“把我记得的一切有关贝拉罗莎关系网的事记录下来”（259），去影响与改变犹太移民群体中记忆伦理失范的现象。

此时，叙述者的声音与隐含作者的声音完全合二为一，叙述者的伦理选择某种程度上代表着贝娄作为第二代美国犹太作家在大屠杀书写问题上的伦理选择。1990年，贝娄在接受采访时谈及对自身文学创作的反思，坦言并不认为准备写作《奥吉·马奇历险记》（*The Adventures of Augie March*, 1953）时自己已经成熟，因为当时“许多东西我还未能吸收，（……）大屠杀就是其中之一”（“半生尘缘”387）。贝娄自述前期的写作更多集中于自己的美国生活，直到去了一次奥斯维辛集中营之后，“才充分意识到那场浩劫的分量”（“半生尘缘”387）。贝娄在采访中特意提及了《贝拉罗莎暗道》，承认自己一直“没有注意到一些大事的重要意义”，认为“直到《贝拉罗莎暗道》以前，我一直没有做到”，并明确表示自己应该“履行几项被忽视的使命了”（“半生尘缘”388）。因此，在《贝拉罗莎暗道》的创作中，贝娄鲜明的伦理取位使无名叙述者“我”的可靠叙述“带有一种明确的责任感”（王卓，《黑色维纳斯的诗艺人生与世界观照》434），以负责任的伦理写作态度和方式<sup>2</sup>承担起了传承民族历史、重构犹太身份的使命。乔国强认为，这篇小说为贝娄“发展中的犹太性矗立了一块醒目的界碑”（89）。此后，贝娄的创作发生了重要转折，即从

1 参见 聂珍钊：“人文研究的科学转向”，《文学跨学科研究》4（2022）：563-568。

2 参见 王卓：《黑色维纳斯的诗艺人生与世界观照：丽塔·达夫研究》，北京：社会科学文献出版社，2022年，第438页。



关注所谓“普世意义”到对自己民族特别是对“二战”犹太幸存者和犹太移民美国化问题的关注。

贝娄的伦理选择不仅代表了自身的创作成长，也引领了第三代美国犹太作家的创作方向。纵观美国犹太文学的发展，美国犹太作家的代际划分主要依据作家所处的年代及其创作主题。第一代美国犹太作家生活在移民初期，其作品以坚守传统为主题。贝娄则是第二代美国犹太作家的典型代表，其写作主题大多涉及犹太移民在美国的同化过程，其作品中“美国主体文化思想的特性往往比犹太文化思想的特性表现得更加显著”（曾令富 130）。从上世纪八十年代起，第三代美国犹太作家崛起，他们致力于“重新寻找和恢复自己的种族文化，以取得群体感和认同感的立足点”（曾令富 135）。在第三代美国犹太作家比如迈克尔·夏邦（Michael Chabon）、纳森·英格兰德（Nathan Englander）等人的作品中，读者可以看到第三代美国犹太作家不再专注于同化主题，不再对犹太身份、犹太性等问题避而不谈，而是关注自身文化传统，积极建构自己的犹太身份。比如，迈克尔·夏邦的“多数作品仍然是以犹太人为主人公，探讨的核心问题之一也依然是犹太民族的身份”（李锋 5），纳森·英格兰德的短篇小说《帕克大街的灵魂转世》（“The Gilgul of Park Avenue”，2000）中的“转世”意味着离开美国主流文化，回归犹太传统。

可见，《贝拉罗莎暗道》中无名叙述者“我”的叙述可靠性转变既代表了贝娄本人的伦理选择，表现为贝娄的创作成长，某种程度上也引领了犹太文学的发展。与此同时，第三代作家的作品也反映了回归犹太性这一过程中的痛苦挣扎，体现了当代美国犹太移民面临的传统与现代、历史与现实之间的裂痕，这意味着贝娄对于大屠杀记忆与犹太身份认同的伦理思考在今天对于当代美国犹太移民仍然有着重要的现实意义。

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# 唐代“观伎诗”中自然感情与道德感情的伦理冲突

## The Ethical Conflict between Natural Emotions and Moral Emotions in Poetry of Spectating Performances of Tang Dynasty

沈 琪 (Shen Qi) 潘碧华 (Fan Pik Wah)

**内容摘要:** 中国文化精神根植于以伦理为根本的儒家传统。“诗言志”与“诗缘情”的传统诗歌创作主张本身带有“伦理选择”的色彩。从文学伦理学批评的视角来看，“观伎诗”展现了唐代文人在纵情声色的自然情感与节欲修身的道德情感间的伦理冲突。分析诗人在创作“观伎诗”时情欲与理智的交锋，对于解读唐代文人内心伦理秩序与社会道德具有意义，同时也为理解唐代社会风貌提供线索。

**关键词:** 文学伦理学批评；观伎诗；自然情感；道德情感；伦理冲突

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**Title:** The Ethical Conflict between Natural Emotions and Moral Emotions in Poetry of Spectating Performances of Tang Dynasty

**Abstract:** The spirit of Chinese culture is rooted in the Confucian tradition, which takes ethics as its foundation. The traditional poetic propositions of “Poetry Expresses Aspirations” and “Poetry from Emotions” are themselves colored by “ethical choices”. From the perspective of literary ethics criticism, the “Poetry of Spectating Performances” demonstrates the ethical conflict between the natural emotion of indulgence and the moral emotion of abstinence and cultivation of one’s moral character in the Tang Dynasty. Analyzing the conflict between the poet’s lust and reason in the creation of “Poems for the Observation of Kabuki” is of great significance in interpreting the inner ethical order and social morality of the Tang literati, and also provides useful clues for understanding the social landscape of the Tang Dynasty.

**Keywords:** ethical literary criticism; poetry of spectating performances; natural emotion; moral sentiment; ethics conflict

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文学作为一种艺术形式，它集中典型地反映人类社会的道德现象，描写社会存在的道德矛盾和冲突，因此从伦理角度研究文学存在学理依据。中国古典文学深受儒家传统思想的影响，《尚书·舜典》提出“诗言志”、“歌咏言”，《毛诗序》认为诗肩负美教化、移风俗<sup>1</sup>的重要作用，这都是在强调文学的美刺<sup>2</sup>教化功能，强调将人的情欲纳入到以礼节情、以道制欲的儒家伦理中。文学伦理学批评同样重视文学的教诲功能，认为教诲功能的实现过程就是文学的审美过程。以儒家伦理为思想基础建立起来的中国封建王朝，在唐朝时期出现大量看似与传统伦理相违背的“观伎诗”。本文运用文学伦理学批评的方法<sup>3</sup>，深入研究唐代文人在创作观伎诗时因伦理冲突而做出的伦理选择，以期理解唐代社会伦理秩序与文学创作的相互关系。

### 一、儒家伦理与自然情感的伦理冲突

《说文解字注》载：“伎，俗用为技巧之技”（许慎 379）指的是进行音乐、舞蹈、绳竿球马等娱乐活动的表演者。“观伎诗”指唐代文人观看乐、舞、杂伎等艺术表演后进行的诗歌创作。在传统儒家伦理中，《乐记》是归属于《礼记》之中，乐舞承担着移风易俗、教化百姓的重要功能。所谓“王者功成做乐，制定礼制”“乐者，圣人之所乐也，而可以善民心。其感人深，其风移俗易，故先王著其教焉”（司马迁 1193-1206），都是在强调观伎活动中以礼节情的道德教化功能。从倡导“发乎情，止乎礼”的道德行为，君子要诚敬克己、遵礼循规，反对狎褻放纵的传统儒家伦理来看，对

1 参见孔颖达：“毛诗正义”，《十三经注疏》，李学勤主编，北京：北京大学出版社，1999年，第10页。

2 中国古代关于诗歌社会功能的一种说法。“美”即歌颂，“刺”即讽刺。

3 参见 Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 189-207; Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398; 聂珍钊：《文学伦理学批评导论》，北京：北京大学出版社，2014年；聂珍钊：“人文研究的科学转向”，《文学跨学科研究》4（2022）：563-568等论著。

于观伎诗的创作，诗人应当从言政教使“闻之者足以塞违从正”（孔颖达 535）。但另一方面，唐代无论是官府还是民间都风行的观伎之风，让诗人无法避免的参与到各类观伎活动中。

文学伦理学批评将文学作为特定历史时期伦理道德的独特表达<sup>1</sup>，可以说观伎诗就是唐朝这一特定历史时期伦理道德的独特表达。唐朝民风开放，文人“尚文好狎”（庄绰 张端义 132），喜欢狎妓冶游，各类乐舞、杂伎表演成为唐代街头巷尾常见的娱乐活动。从出土的各类器具彩绘、墓葬壁画上，都直观地再现了带有鲜明自然情感的多种伎乐活动，如：陕西历史博物馆馆藏伎纹八棱金杯、陕西扶风县法门寺地宫出土的鎏金人物画银香宝子等。此外，以庄严、肃穆著称的佛教寺庙，在唐代也成为开设“戏场”<sup>2</sup>的重要场所。《洛阳伽蓝记》中对佛诞法会时的寺院伎乐表演也进行了详细描述：“歌声绕梁，舞袖徐转；丝管寥亮，谐妙入神（……）召诸音乐，逞伎寺内”（杨勇 50），可见唐代佛寺内音乐、舞蹈、杂伎表演之盛况。观伎场所增加，街头酒肆、寺庙、私人住所都成为观伎的主要场所，已经不再仅限于政府官方场地，内容上更加丰富，增加娱乐属性，这些变化在一定程度上颠覆了传统儒家伦理以乐舞表演宣扬社会教化的功能。

一些诗人沉沦于自然情感，内心的“兽性因子”占据上风，或用诗歌书写对表演者单纯的狎昵、赏玩，或利用身份的优势，以上位者的姿态对艺伎进行嘲讽挖苦。当对待自己欣赏喜爱的美貌女伎时，他们在观伎诗中运用比喻、夸张等艺术手法极致刻画女伎的美貌，其间不乏情色想象。如“胸前瑞雪灯斜照，眼底桃花酒半醺”（6602）<sup>3</sup>、“粉胸绣臆谁家女，香拨星星共春语”（8860）等诗句，对肤白貌美的女伎进行充满了旖旎色彩的身体描写。在这类观伎诗中，也常见巫山、阳台等在中国传统文学中暗指男女欢爱的情色意象，如“细看只似阳台女，醉著莫许归巫山”（2106）、“裙拖六幅湘江水，鬓耸巫山一段云”（6602）。而当诗人心情不佳或与艺伎有私人恩怨时，则用诗表达对伎的轻视鄙夷和嘲讽。女伎李端端因得罪了诗人崔涯，被崔涯作《嘲妓·二首》《嘲李端端》等诗进行嘲讽，故意抹黑原本貌美的李端端。

一些诗人在面对自然情感和道德情感的冲突时，以道德情感占主导，内心的“人性因子”占据上风，从人性关怀的角度看待艺伎的文学素养和艺术水平，通过观伎诗记录与称赞他们精湛的表演技术。如诗人李欣在《听董大弹胡笳声兼寄语弄房给事》一诗中称赞乐工董庭兰演奏技艺高超：“董夫

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

2 唐代举办乐舞、杂技、戏曲等表演的娱乐活动场所。

3 本文引用唐代观伎诗均来自 彭定求：《全唐诗》（北京：中华书局，1985年）。以下引文仅标注页码，不再一一说明。



子，通神明，深山窃听来妖精”（1357）。董庭兰担任吏部尚书房琯的门客时，崔珣曾在《席间咏琴客》一诗中写到“惟有河南房次律，始终怜得董庭兰”（6860），道出了吏部尚书房琯与琴客董庭兰之间的惺惺相惜。尽管董庭兰是身份较低的乐工伶伎，但诗人们愿意与他称兄道弟，用诗表达对他品德、才华的正面评价，助其获得社会伦理的认可。

还有一类观伎诗，可以看到诗人完全压制自己的自然情感，以强烈的道德情感表现自己在儒家伦理下的忠君爱国之心。王昌龄《殿前曲》、许敬宗《奉和圣制登三台言志应制》、张说《奉和圣制观拔河俗戏应制》、王维《奉和圣制上巳于望春亭观禊饮应制》、虞世南《奉和献岁宴宫》等多首，便是奉和、应制类的观伎诗，其主要内容均围绕表扬和谐的君臣伦理关系和忠君爱国思想展开。

唐代社会对娱乐的开放态度，让观伎成为结合传统礼乐政教功能与休闲娱乐的情欲功能二者于一体的活动。社会上“尚文好狎”的社会风气进而激发观伎诗的创作，使诗人进行观伎诗创作时，不得不在纵情享乐的自然情感与节欲修身的道德情感之间寻求平衡，不同的伦理认知赋予了观伎诗多样的内涵与价值。观伎诗的创作者上至皇帝下至平民，身份跨度巨大<sup>1</sup>，诗人不同的伦理身份也对其情感的伦理选择产生重要影响。

## 二、不同身份选择下唐代文人的情感之维

几乎所有伦理问题的产生往往都同伦理身份相关。人的伦理身份不仅是社会认同的象征，更涵盖了一系列责任与义务。唐代文人的伦理身份在文学伦理学批评的视角下显得多重而复杂。不同的伦理身份也使诗人在面对内心自然情感与道德情感的伦理冲突时，做出不同的伦理选择。因此，分析诗人不同的伦理身份将有助于我们更全面地理解唐代文人在伦理与情感的交汇点上的创作抉择。

首先从先天获得的伦理身份分析，帝王、皇族与高官、文人拥有社会地位，却又被君臣伦理与社会伦理制约。传统的儒家伦理认为礼乐是具有教化作用的，可以从中观察到一个国家的政治面貌和风俗民情，因此推崇“雅颂正声”。对于统治者来说，大型乐舞活动的举办象征着统治地位的強大，因此要加强“制礼作乐”来巩固其统治。《史记·乐书》云：“王者功成作乐，制定礼制。功大者其乐备，其治辨者其礼具”（司马迁1193）。帝王会要求群臣观赏展现帝王“文德洽而天下安”、“功成作乐”或“美教化”的乐舞，这类观伎活动带较浓厚伦理教化色彩。在观赏这类带有强烈政治色彩的伎乐表演时，帝王的道德情感占据主导，从统治者的身份来观赏表演，要求在这一背景下创作的观伎诗都是带有歌颂政治清明和表现求贤安邦的愿

1 有关观伎诗的数量与创作观伎诗的诗人数量，可参见沈琪：《唐人观伎诗研究》，2020年，湖南科技大学，硕士论文。

望，伎乐表演是用来突显环境的盛大与祥和。唐德宗李适《九月十八赐百僚追赏因书所怀》：

雨霁霜气肃，天高云日明。繁林已坠叶，寒菊仍舒荣。  
懿此秋节时，更延追赏情。池台列广宴，丝竹传新声。  
至乐非外奖，泱泱同中诚。庶敦朝野意，永使风化清。（45）

诗人严格遵守自己的伦理身份，在面对审美享受时，压制他的自然情感，以宴会观伎为背景，虽在题目中表示自己是以赏赐百官书怀，但诗人此时的情感表达并不是来自于伎乐表演的欢乐，而是通过一片祥和的乐舞表演展现在自己治理下的国泰民安，是对自己治理国家的肯定和自我表扬。从乐舞教化功用出发，统治者会召集群臣一同欣赏演出。张九龄的观伎诗《奉和圣制南郊礼毕酺宴》中写到：“流恩均庶品，纵观聚康庄”（595），但身为陪游侍宴的臣子，他们不能完全放松地享受观赏表演，否则在宴会上行为或语言失态会面临贬官、罚俸，严重的甚至被处死。这类以陪游侍宴为主题的观伎诗，基本上从君臣伦理身份出发，在内容和形式上都较为整饬，语言肃穆典雅，得严格遵守儒家伦理对礼乐宣扬教化的要求，离不开忠君爱国的思想，缺乏诗人的个性表现。

随着经济、政治的飞速发展，以及唐代社会风气日渐开放颠覆了统治者的伦理观，偏向情与欲的审美享受。本应为祭祀、朝会及大燕会服务的教坊，逐步变为帝王日常嬉戏、消遣的工具。高祖李渊在称帝后不久，就命太乐署添置内教坊，专门教习宫伎，供自己欣赏。唐玄宗听政之后，大力发展多种娱乐活动，在蓬莱宫侧建立教坊，让艺伎学习粤衍之戏。<sup>1</sup>唐武宗曾多次亲临教坊欣赏乐伎表演，酒宴谐谑的场面如同民间宴席一般。<sup>2</sup>当时，唐太宗李世民的《三层阁上置音声》和《琵琶》，唐玄宗李隆基的《观拔河俗戏》和《春中兴庆宫酺宴》等帝王所作的观伎诗，不再强调观伎活动的政治性，诗人的身份不再是严肃的君王，而是从一个普通的欣赏者，通过观伎活动将内心的自然情感进行真实的记录与再现。

作为深受儒家思想熏陶的唐代文人，在狎妓与观伎诗创作时难免要面对自然情感与道德情感的伦理冲突与选择。一部分文人尝试从二者之间寻求平衡，既表现出对伎乐表演的热衷，也始终保持着以礼节情、以道制欲的儒家伦理。用道德情感的客观记录兼具自然情感的审美表达，生动再现唐代精湛的伎乐表演，元稹《何满子歌（张湖南座为唐有态作）》、李绅《悲善才》、刘禹锡《曹刚》、白居易《听曹刚琵琶兼示重莲》、薛逢《听曹刚弹

1 参见刘肃：《大唐新语》卷10，徐德楠、李鼎霞点校，北京：中华书局，1984年，第151页。

2 参见王谌：《唐语林校正》，周勋初校正，北京：中华书局，1987年，第209页。

琵琶》等观伎诗都具有文学价值的同时兼具极高的艺术欣赏价值。

一些文人在狎妓过程中，赋诗歌伎或与同僚唱和，通过乐伎演唱名家诗词，将声色的娱乐性质与文学的严肃性相有机地结合在一起，创作出高水平的艺术作品。陈寅恪在《元白诗笺证稿》中指出：“唐代重辞赋而不重经学，尚才华而不尚礼法，以故唐代进士科为浮薄放荡之徒归聚，与倡伎文学殊有关联”（89）。白居易《醉戏诸妓》一诗中写到“席上争飞使君酒，歌中多唱舍人诗”（5005），甚至文人的诗才水平高低一定程度上受到伶伎演唱传播次数的多少来决定。唐代文人将纵情欢愉的审美活动与诗言志、抒情的道德目的相融合，以达到一种对自然情感与道德情感的伦理冲突的消解。在这一背景下，唐代文人通过观伎诗的表达，试图寻找一种能够既尊重自然情感又不违背儒家伦理的新的表达方式。

一部分诗人面对伦理身份选择时，从观赏者的身份，沉溺于情欲的自然情感，主张立身之道，须与文章异。立身先须谨重，文章且需放荡的主张<sup>1</sup>，提倡人格与文格的割裂，弱化了文学应当承担的伦理教化，而强调将个体的放荡情感与文学创作相结合。如写“粉胸半掩疑是雪，醉眼斜回小刀样”、“水剪双眸雾剪衣，当筵一曲媚春辉”、“玉肌无疹六铢轻”等诗句，对女子身体、外貌、服饰进行了详细的描绘，用绮靡的语言、情色的想象突显了诗人对观伎过程中的欢愉情感的沉醉，将观伎诗作为他们情感宣泄和享受声色的载体，也因此被后人诟病。唐代观伎诗揭示了文人在面对社会规范与自然情感的伦理冲突时的真实欲望与伦理选择，诗人对艺伎中的女伎进行大量着墨的同时，女伎伦理身份与选择也影响了观伎诗的创作倾向。

### 三、观伎诗中女伎的矛盾身份与伦理选择

文学伦理学批评要求在特定伦理环境中对文学作品进行分析和评价，不同历史时期的文学有其固定的属性，特定历史的伦理环境和伦理语境，对文学的理解必须让文学回归属于它的伦理环境和伦理语境中去，这是理解文学的一个前提。唐代特殊的社会背景造就了唐代狎妓风气的形成与观伎现象的兴盛。要理解唐代女伎的伦理身份与伦理选择，需要将其置于唐代特殊的社会背景和伦理环境中去观察。

一方面，女伎以其精湛技艺在文人墨客中赢得了赞誉，文人们纷纷在诗篇中描绘她们，使其名声传颂。从伦理身份的角度来说，儒家伦理以“立家之道，闺室为重”（周少良 1019），正妻的社会地位是毋庸置疑的。但翻开《全唐诗》这些拥有身份地位的发妻却只被以某妻、某氏的方式记录，要探究她们的生平，似乎要从墓志和作家小传的细枝末节中才能窥探到一些正妻的身影，她们真正的姓名却无人记得。反而作为身份地位较低的女伎，却能

1 参见萧纲：“诚当阳公大心书”，《全梁文》，严可均编，北京：商务印书馆，1999年，第113页。

在文学史上留下姓名，无论是笔记小说还是诗文小传，女伎总能成为文人墨客热衷书写的对象，一些观伎诗的题目中就直接写明所观对象的名字。

以歌艺闻名的女伎田顺郎，刘禹锡曾作《与歌童田顺郎》《田顺郎歌》，白居易作《听田顺儿歌》，张祜《听歌·听刘端公田家歌》等作品，记录了诗人听田顺郎唱歌时的场面，栩栩如生地再现田顺郎的演唱。陈陶在《西川座上听金五云唱歌》一诗中，留存了名伎金五云的变调唱腔。张祜《观杨瑗柘枝》记录了舞伎杨瑗的柘枝舞。刘晏在《咏王大娘戴竿》一诗中称赞“楼前百戏竞争新，惟有长竿妙入神”（1207）。此外还有《赠薛瑶英》《邠娘羯鼓》《赠箏妓伍卿》《赠妓仙哥》等诗。这些艺伎的伦理身份为观伎诗的创作提供了题材与灵感，不仅直接出现在诗文题目中，观伎诗在描写记录女伎表演的过程中也会对较为出名的女伎进行记录。女伎的身份地位也成为增加观伎诗诗文价值的重要砝码。

另一方面，尽管这些女伎能够享受“五陵年少争缠头，一曲红绡不知数”、“百万一时尽，含情无片言”的待遇，相较于其他女性，她们拥有更高的物质生活水平。但却必须受困女伎的身份，日常行为与活动范围受到严格的约束。这种物质与自由不对等的伦理身份，并不是女伎自主选择的结果。她们或是作为罪人家属被发配乐籍，或是为了生计而不得不从事这一行当。

成为宫伎，她们或直到容颜老去、青春不再才能被放出宫去，或被君王宠幸而终生困于深宫，或面临因为忤逆旨意而被杀，或遭遇王侯的肆意欺凌。从张祜收录在《唐诗三百首新注》中的《赠内人》一诗：“禁门宫树月痕过，媚眼唯看宿鹭窠。斜拔玉钗灯影畔，剔开红焰救飞蛾”（孙洙 352）中可以看到宫人生活的孤寂苦闷，以及对自由的渴望。作为官伎、营伎更是没有自由，想要解籍从良必须经过长官的首肯许可。《唐语林》中记载卢澄在酒席间想为一位舞伎脱籍，但是当时的长官李司空没有允许而作罢。其他地位更低的民间伎女除了身份的不自由，她们被当做主人资产的一部分，哪怕嫁人身份转为妻妾依然毫无身份地位可言，除了打骂随人外更要面临随时可能被赠送、赏赐给别人的命运，如张籍以爱妾柳叶换山茶，张祜用爱妾换马。

女伎这种物质与自由不对等的伦理身份与境遇，又激发了一些诗人的怜惜之情，为女伎的不公境遇所哀叹。韦庄作《伤灼灼》一诗对曾经名伎灼灼晚年的悲凉境遇表示哀叹。窦巩《悼妓东东》、杨虞卿《过小妓英英墓》都是诗人回忆曾经与女伎交往的过程，借观伎诗诉说着对已逝女伎的无尽哀思，对其离世的哀痛。

女伎身份的困境让她们深知以色列人不能长久，在受尽压迫和鄙视的同时，她们往往将内心的痛苦转化为对自身价值的提升。她们或通过不断精湛自己的表演技艺，或通过追求文学或艺术，寻求精神上的自由和解脱。这种转化既是对身份困境的一种应对，也是对自我尊严的捍卫，为女伎注入了坚韧和积极向上的力量。这种积极向上的价值观影响诗人在创作观伎诗时的伦



理选择，强化道德情感的重要性，尊重艺伎的表演艺术，也为观伎诗创作者提供了更多创作元素，使观伎诗更具有深度和层次感。

在尚才华不尚礼法的唐代社会，女伎可以因为表演技术高超而获得赏识与尊重，从而改变自己的身份。唐代宫伎永新具有音色清亮、声音高亢的独特演唱技法，而成为众多歌唱伎中的翘楚。据《开元天宝遗事》记载：“宫妓永新者善歌，最受明皇宠爱，每对御奏歌，则丝竹之声莫能遏”（王仁裕 99）。曾经在勤政楼广场上举办万人活动，由于人多过于喧闹而永新一开口就能使全场寂寂若无人，元稹在诗中称赞她：“飞上九天歌一声，二十五郎吹管逐”（4612）。

在错综复杂的伦理纠葛中，女伎们不断做出伦理选择，努力挖掘并探寻属于自己的生活真谛。其中不乏既不逃离伦理选择的道义范畴，又不囿于伦理环境的精神束缚，更走出了关于伦理身份的臆想迷途，勇敢的面对生活考验的优秀女子。她们以坚定的信念和自由的心灵，创造着属于自己的独特生命旅程，将伦理身份与选择融入对生活深刻理解的画卷之中。这种对命运的抗争，也赢得了文人的尊重。一个生动的例子是韦蟾出使鄂州时的经历。在韦蟾即将从鄂州返回时，同僚为他设宴践行，韦蟾即兴吟诵一句“悲莫悲兮生别离，登山临水送将归”，宴席上的一位武昌妓当即对出下句：“武昌无限新栽柳，不见杨花扑面飞”（9024）。韦蟾深受其吟咏所感动，感觉如同他乡遇故知，于是慷慨地赠送武昌妓无数珍宝，并将之纳为妾。武昌妓的联句不仅是她长期以来文学积累的一次精彩展示，也表现出她在伦理纷扰面前所展现的勇气和智慧。她的选择不仅是对伦理选择的深刻回应，更是对命运的积极抗争，为她赢得了社会上文人的尊敬。

面对无法自主选择的伦理身份以及世俗规范与不得已放荡生活这种矛盾的伦理困境，女伎们通过对自我的不断思考与伦理探索，努力跳脱当下的伦理困境，争取每一次重新进行自主的伦理选择的机会。薛涛自幼丧父，在被发配乐籍后，凭借卓越诗才，被世人尊称“女校书”，又有“文妖”“孔雀”之称号。在韦皋的帮助下，薛涛脱去乐籍的枷锁，得以自由选择新的身份，最终薛涛选择入道为女冠诗人，归隐浣花溪。这是女伎在伦理困境中的一次成功而有力的挣扎和反抗。

女伎们在唐代纷繁复杂的伦理环境中，不仅是伦理选择的主体，更是文学的灵感源泉。她们的抗争与探索，既受到文人的尊重，也为文学作品注入了新的生命力。这种艰难的转变与坚持，为文人在面对自然情感和道德情感的伦理冲突时作出压抑情欲、遵守道德的伦理选择，或许提供了一种启示。

观伎诗的创作呈现出唐代文人对于内心真实欲望的审视与选择，深刻展示了诗人在伦理身份选择、自然情感与道德情感之间的沉沦与挣扎。这一诗歌题材通过对伎乐表演的真实描写与再现，生动展示了唐代昂扬、恣肆的时

代风貌。在文人狎玩与伦理身份无法自主决定的困境中，女伎们通过观伎活动进行不懈的探索，为自身的伦理选择争取机会。她们以卓越的表演技术和深厚的文学才华进行抗争，努力跳出伦理困境的牢笼，为文人提供了创作的灵感，激发观伎诗创作热情。诗人不同的伦理选择与情感选择使观伎诗超越了摆脱了淫诗、艳辞的局限，具备更为深刻的伦理价值与意义。

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# 电子游戏叙事机制中的哀悼伦理

## Ethics of Mourning in Video Game's Narrative Mechanics

于 琰 (Yu Yan)

**内容摘要:** 在电子游戏中, 读者(玩家)对其虚拟化身的认同重新界定了批评者、哀悼者和哀悼对象之间的伦理身份关系, 弗洛伊德和德里达构建的哀悼伦理批评理论基础由此发生了改变。相较于传统哀悼文学的伦理困境, 电子游戏叙事机制形成了既利己又利他的新型哀悼伦理观。沉浸式叙事实现了德里达认为不可能的哀悼者与哀悼对象同时在场, 在补偿型哀悼逻辑下达成对丧失他者的敬意。多周目叙事通过流动的哀悼身份协调弗洛伊德的双重死亡观, 实现尊重生命价值、追求丧亡真相的伦理教诲。非线性叙事鼓励玩家误读哀悼文本、重视主体权益, 修正了抑郁型哀悼的利他传统。

**关键词:** 哀悼伦理; 电子游戏叙事机制; 伦理身份

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**Abstract:** In video games, identification of the reader (gamer) with his or her avatar redefines the relationship among three ethical identities: the critic, the mourner, and the mourned. The theoretical foundation for ethical criticism of mourning established by Sigmund Freud and Jacques Derrida has changed accordingly. Compared with the ethical dilemma in traditional literature of mourning, video game's narrative mechanics have established new ethical views of mourning that respect both the self and the other. Immersive narrative contrives the presence of both the mourner and the mourned—which Derrida deemed impossible, paying respect to the lost other through the logic of compensatory mourning. Multi-run storytelling reconciles Freud's contradictory views on death through fluid identities of mourning, teaching moral lessons on the reverence for life and the pursuit of truth about loss. Non-linear narrative encourages gamers to misread the text of mourning, and its emphasis on

the subject's interests corrects the altruistic tradition of melancholic mourning.

**Keywords:** ethics of mourning; video game's narrative mechanics; ethical identity

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文学在本质上是关于伦理的艺术<sup>1</sup>，因此缅怀或真实、或虚构丧亡对象的哀悼文学在本质上即关于哀悼伦理的表达。数字人文理念将电子游戏纳入文学范畴，游戏中的虚拟死亡观和哀悼行为由此成为伦理批评的新文本。

哀悼伦理批评可以追溯至弗洛伊德（Sigmund Freud）对健康哀悼的推崇和对病态忧郁的批判。哀悼和忧郁症都是对“失去挚爱对象、或失去诸如祖国、自由、理想等抽象事物”（“Mourning and Melancholia” 243）的反应，正常的“哀悼工作”（work of mourning）会接受丧失事实并寻找替代对象以求慰藉，忧郁症则因为坚持对象贯注而不得，迫使自我与丧失对象认同，造成自怨自艾的内心分裂局面。德里达（Jacque Derrida）则认为“哀悼不可能”（*Memoires for Paul de Man* 34），因为作为他者的丧失对象注定不在场，哀悼行为仅能满足哀悼主体的私心，不具备利他可能。但这一天然困境恰好凸显了忧郁主体试图在内心保存他者形象的努力，实现“对在场和不在场两种对立选择的超越”（*The Work of Mourning* 153），因此唯有忧郁才能肩负伦理责任。

哀悼文学研究采纳了上述理论，并将丧失概念从现实死者拓展至包括文明、情感、国家、民族在内的抽象乃至虚构对象。彼得·M·萨克斯（Peter M. Sacks）和杰汉·莱马扎尼（Jahan Ramazani）发现，20世纪以前的英美挽诗“通过设立逝者的替代物来克服悲伤”，即“补偿型哀悼”，现代挽诗则“抗拒慰藉、维系怨怒”，即“抑郁型哀悼”（Ramazani, *Poetry of Mourning* x-xi）。R·克利夫顿·斯帕戈（R. Clifton Spargo）指出，哀悼对象往往早于哀悼行为发生前就已受困，哀悼者在丧亡事件发生前便已向现实屈服、陷入伦理僵局，仅能凭借抑郁创作履行迟到的关怀义务。对生命价值和哀悼伦理的关注促成了游戏与文学的跨界交集。据马克·海斯（Mark Hayse）对游戏伦理批评史的回顾，游戏分级制度的诞生正是源自各国伦理学者对游戏暴力元素的关注。亨利·詹金斯（Henry Jenkins）和吉田宽（Hiroshi Yoshida）指出，虚拟的暴力和死亡概念对于玩家有积极的道德引导价值。对游戏伦理价值的探讨印证了文学“需要为人类文明进步提供经验和教诲”的伦理批评理念（Nie, “Ethical Literary Criticism: A Basic Theory” 190）。

游戏符号叙述学理论指出，由“游戏框架与游戏规则”共同组成的“游戏内文本是构建游戏文本的基础”（宗争 69），要考察游戏文本对丧失事件

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

和哀悼行为的呈现,就必须将游戏的叙事机制作为文本分析的基本单元。以《塞尔达传说》(*The Legend of Zelda*, 1986-2023)系列游戏为例,沉浸式、多周目和非线性叙事机制分别改变了传统哀悼伦理中的在场性、身份认知和主观能动性,形成了独特的哀悼文本和伦理价值观。

### 一、沉浸式叙事与利他性哀悼

沉浸式叙事(immersive narrative)试图向玩家提供身临其境的代入感,将纸媒时代的旁观阅读者变为游戏虚构故事的参与者。为了诱导玩家认为自己就是主角,相信自己所处的虚拟环境就是现实、与自己接触的非可玩角色真实存在,游戏开发者或调用多媒体技术竭力拟真,或借鉴米哈里·齐克森米哈里(Mihaly Csikszentmihalyi)的心流论调整动态难度<sup>1</sup>,在潜意识层面鼓励玩家专注投入、主动参与游戏进程,由此形成玩家与其虚拟化身的身份认同。

玩家-化身身份认同是电子游戏得以运行的基石,改写了哀悼叙事中哀悼者、哀悼对象和哀悼批评者之间的身份关系,而伦理关系及其演变恰恰是文学伦理学批评的研究重点。<sup>2</sup>相较传统哀悼伦理批评,游戏文学最为显眼的变化在于,伦理批评者无法再保持中立客观的旁观者身份,必须主动参与游戏进程,方能了解虚拟世界中的哀悼事件全貌。因此任何针对游戏哀悼的批评首先指向了作为玩家的批评者自身,伦理批评难逃自我开解和自我惩戒之嫌。诚然,弗洛伊德与德里达的哀悼理论建构也多源自对个人悼亡体验的总结,不过现实亲友的亡故并非这些哀悼者亲手造成,哀悼者的愧疚仅仅是出于对事态无法挽回的懊恼。与之相反的是,在电子游戏中,一切数据代码皆因玩家的介入而具备拟真形态,是玩家以哀悼者的身份赋予了哀悼对象存在的意义,但也正因为哀悼者的出现,丧失事件在虚拟世界发生,进而导致哀悼对象的消失。因此,不论是注定晚于丧失事件发生后进入虚拟游戏世界的玩家,还是陪伴 NPC(non-playable character, 非可玩角色)直至对方走上既定牺牲道路的玩家,都天然背负着“杀死”哀悼对象的原罪,游戏哀悼伦理的书写必然蘸取虚拟生命的鲜血研墨开篇。不过,沉浸在虚拟世界中的玩家往往意识不到自己已经步入游戏开发者设定的伦理圈套,即便在心态上与叙事进程中的哀悼行为保持一致,也难免被诟病私心作祟、不够诚恳。由此,游戏中的哀悼伦理陷入无法自证清白的逻辑怪圈,玩家必须背负杀戮罪名方可对自身哀悼行为开展伦理反思。但虚拟空间内的哀悼行为本身又受到游戏开发者的严密监控,哀悼者的主观意愿通过自愿进入虚拟世界的方式遭到了他

1 参见 Jenova Chen, "Flow in Games (and Everything Else)," *Communications of the ACM* 4 (2007): 31-34.

2 参见 Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 190以及聂珍钊: "人文研究的科学转向", 《文学跨学科研究》4 (2022): 563-568等论文。

者的解构，成为了新型的“哀悼不可能”。

然而，我们并不能因此断言，游戏世界中的哀悼是不存在的，实践经验也表明，玩家感受到哀痛且并未感到不妥。游戏哀悼伦理得以成立的关键恰恰也在于玩家 - 化身身份认同，因为唯有在虚拟世界，哀悼者和哀悼对象才能突破现实生死屏障、置身于同一场域。当然，实际游玩界面依然不会出现逝者与生者同框，但哀悼主体无需通过异化部分自我的方式来勉强维系哀悼对象的幻影，而是直接以化身身份进入逝者数据存在的游戏世界，赋予冰冷数据鲜活的现实意义，实现自我与他者的同时在场。我们甚至可以说，游戏世界实现了真正意义上的利他性哀悼，在保留现实自我认知的同时，唤醒本不存在的逝者，聆听、理解并祭奠他们的虚拟生命故事。

哀悼者与哀悼对象的同时在场在促成利他性哀悼的同时，也意味着游戏文学难以在叙事层面践行被德里达和斯帕戈奉为主桌的忧郁心理范式。由于游戏对于哀悼行为的开启和终结有着明确的标志，其叙事结构更接近补偿型哀悼逻辑。以《塞尔达传说》系列游戏为例，其一贯的情节设定为：王国被恶魔毁灭，骑士必须拯救公主，并获取如圣剑和圣杯般重要的屠魔宝物，实现复国的最后希望。玩家的主要任务是打败恶魔、拯救公主，次要任务是完成挑战、获得宝物。作为王国的象征，公主通常在游戏开篇不久就失踪，代入骑士身份的玩家对她知之甚少，必须完成一项项次要任务方能获得其下落信息，从而完成主要任务并通关游戏。因此，尽管公主最后一定会得救，但在玩家的实际体验中，公主是长期缺席的“准”哀悼对象，玩家通过次要任务追忆逝者并得到慰藉回报，形成哀悼工作的正向反馈循环，推动游戏剧情走向公主获救的完满结局。

随着游戏终结，玩家脱离化身、回归现实，方才获救的公主旋即从荧屏消失、再度化为无意义的数据泡沫，拯救丧失对象的努力反而造成了对方在现实意义上的彻底消逝。诚然，玩家可以通过重玩游戏“复活”虚拟逝者、再现哀悼工作，但这也进一步激化了复数性虚拟生命与单数性现实生命间的冲突。如何在现实世界中为游戏的虚拟哀悼伦理进行正法，是多周目叙事机制需解决的问题。

## 二、多周目叙事与双重死亡观

“周目”（しゅうめ，run）指游戏通关的次数。多周目叙事（multi-run storytelling）<sup>1</sup>即需要通过多次通关游戏来推进叙事进程的玩法机制，以便在有限的存储空间内，通过素材重组，形成近乎无限的游戏体验。玩家扮演的角色通关游戏后，会被传送至游戏开端，或是在更严苛的条件下再次进行通

1 对多周目叙事的探讨以中日两国居多。部分西方学者试图将其纳入时间循环叙事（time-loop storytelling）的范畴，但以《哈迪斯》（*Hades*, 2020）为代表的 rogue-like 游戏已经突破了时间循环的概念，因而此处暂译为 multi-run。



关挑战，或是从其他角色的视角重新体验游戏世界，以便获取此前被忽视或不可及的信息。随着次周目的开启，玩家曾拯救的友人再度临难、玩家曾打败的敌人再度复活，虚拟生命沦为游玩探索的消耗品，这也是电子游戏常被诟病缺乏伦理关照、诱导暴力行为的原因之一。

虚拟生命的复数性和虚拟死亡的可逆性固然违反了自然世界的生死定律，但文学史上不乏种种“死而复生”的文学角色，如奥维德《变形记》中的冥后珀耳塞福涅和埃及神话中的冥王奥西里斯，又如因读者呼声而在《最后一案》后回归的福尔摩斯。电子游戏所做的，不过是改变了读者的身份位置，从永生性的旁观者变成了“看似”手握生杀大权的审判者，并将玩家的自由裁量权归咎于游戏开发者的纵容。因此，多周目叙事机制造成的伦理挑战并不在于角色设定本身，而是如何在玩家-化身身份认同的新背景下，协调虚拟死亡观与现实死亡观之间的冲突。

在提出哀悼与忧郁理论的同年，弗洛伊德写下了《对于当下战争和死亡的思考》（“Thoughts for the Times on War and Death”），指出人会因对象差异而对死亡持相反态度：一方面是在亲友间否认死亡、坚信永生，另一方面则是在面对敌人时承认死亡的毁灭力。这两种观点会在“我们所爱之人死去或濒死”时“相互碰撞、引发冲突”，造成如忧郁症患者般“完全毫无根据的自我谴责”（298）。宣扬正义永生、恶魔必死的单周目游戏叙事扭转了这一冲突，利用双重死亡观实现惩恶扬善的教诲功能。<sup>1</sup>由于主角代表的正义之师享有杀生特权、立于不败之地，游戏呈现出“以杀制恶”的倾向，《塞尔达传说》系列的主角甚至会被戏称为真正的魔王。

多周目叙事纠正了这一潜在伦理问题，要求玩家以牺牲自我的方式推进哀悼叙事进程，具体表现为玩家在通关后需主动抛弃上一周目的游戏化身并再次开启游戏，挑战更为严苛的游玩环境，重新经历丧失事件或试图拯救上一周目的逝者。以《塞尔达传说：大地之章与时空之章》（*The Legend of Zelda: Oracle of Seasons and Oracle of Ages*, 2001）为例，玩家扮演的骑士必须在两个章节分别获取“通关密语”后再度通关，才能开启章节联动模式，解锁击败恶魔、拯救公主的真结局。《塞尔达传说：莫吉刺的假面》（*The Legend of Zelda: Majora's Mask*, 2000）则鼓励玩家通过数周目的尝试，探索全员获救的完美结局。对“准”哀悼对象的伦理敬意需要以反复牺牲各章节下的虚拟生命为代价，尤其是牺牲当下周目的主角。玩家的虚拟化身看似永生、实则必死，与需要被打败的恶魔一样受制于现实死亡观，从而遏制了游戏的暴力倾向问题。与此同时，虚拟生命的复数属性协调了双重死亡观之间的矛盾，玩家可以不断模拟体验现实单数生命的可贵，游戏文学由此实现开展死亡教育的伦理功能。

1 参见 Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 392.



玩家用新化身埋葬旧化身的行为，即哀悼文学研究中的“哀悼自我”（self-mourning）概念<sup>1</sup>，将哀悼者与哀悼对象融为一体，超越了弗洛伊德和德里达对“哀悼”和“丧失”的定义。在涉及多角色扮演的多周目游戏中，还存在着另一种意义上的哀悼身份转换。通过切换角色身份，玩家既可能从上一周目的哀悼者转变为哀悼对象、亲历丧失事件，也可能在本周目中反杀自己曾经的化身、扭转哀悼关系。不论是前者对宿命论的模拟呈现，还是后者对自由意志的推崇，次周目都会令玩家追忆（即哀悼）上一周目的哀悼行为，形成元哀悼（meta-mourning）概念。

元哀悼的出现，可以视为元游戏（metagame，玩弄游戏的游戏）的一种雏形，体现了游戏开发者试图打破现实和虚拟世界之间“第四面墙”的努力，形成了近似现实公众哀悼的效果。元哀悼要求玩家以新的游戏化身反思此前的游玩足迹，这一过程必须通过现实世界中的角色切换操作实现；与此同时，承载着上周目角色记忆的玩家也注定无法全身心带入次周目的新角色身份。因此，多周目叙事在现实层面挑战了此前沉浸式叙事缔造的完美虚拟利他哀悼场域，以多角色体验为饵，诱导玩家对丧失事件和哀悼对象形成更为复杂多样的情感反馈。哀悼对象在原丧失事件后遭到了来自多重现实视角下的肢解式审判，玩家固然难以保全最初的纯粹哀悼心态，但在各周目获取的信息也塑造了更为全面、客观的逝者形象。这与社会学家托尼·沃尔特（Tony Walter）和阿德里安·基尔（Adrian Kear）等人在戴安娜王妃逝世后观察到的公众哀悼行为特点如出一辙，即哀悼脱离了私人领域、成为一种社会建构事件，哀悼对象不再只是内心的具体幽灵、而是承载各色目光的不朽存在。哀悼对象在事实亡故与永生幻影间的身份流动打破了生与死的绝对隔阂，成为同时承载多方哀思的能指符号，寄托着公众群体不断为逝者寻求正义的伦理诉求。多周目游戏中的元哀悼行为固然是背离逝者原初形象的离题表演，但同时又呈现出努力还原逝者真实身份、力求切题的伦理敬意，借助现实力量介入虚拟媒介，从而解决德里达提出的哀悼伦理难题。

通过对现实单数生命的可逆性模拟，多周目叙事化解了双重死亡观的冲突，玩家的虚拟化身同时具备了永生性与必死性，并且实现了哀悼者与哀悼对象间的身份置换可能。流动性的身份认知不仅消解了自我与他者间的隔阂，也促成了现实与虚拟的融合，提出了新型的哀悼模式和思考角度。但游戏文学对哀悼伦理研究提出的挑战并不止于此，伴随着开放世界和自由探索式玩法的出现，哀悼文本自身也开始具备不确定性。

### 三、非线性叙事和利己性哀悼

伴随计算机存储和运行能力的提升，越来越多的游戏作品开始尝试自

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1 参见 Ramazani, *Yeats and the Poetry of Death*, Chicago: University of Chicago Press, 1990, 137.

由探索式的玩法，任由玩家在开放世界中搜寻哀悼叙事的相关信息并进行自主解读，形成了非线性叙事（non-linear narrative）。尽管丧失事件和哀悼行为本身依然存在先后次序，玩家对逝去对象的观感却会因为接触信息的顺序而产生差异，进而造成游戏哀悼仪式与玩家实际心态的错位。以《塞尔达传说：旷野之息》（*The Legend of Zelda: Breath of the Wild*, 2017）为例，关于公主失踪的丧失事件被分成13个信息碎片，以由西向东的顺时针顺序散布在地图各处，意在通过找寻记忆的任务呈现公主由自私任性转为心怀大义的性格成长。但是，骑士接受的拯救公主任务引导玩家以由东向西的逆时针顺序探索地图。游戏并未指定玩家按照何种顺序进行探索，玩家也可以借助地图传送工具随时去任意地点，甚至可以在不探索地图、不追寻记忆的情况下直接挑战恶魔、救出公主，完成名义上对亡国的补偿型哀悼行为。由此产生了至少三种类型的哀悼叙事文本：（1）玩家在完全不了解公主的情况下打败恶魔；（2）玩家厌恶公主，但依然打败恶魔拯救了她；（3）玩家彻底理解公主的苦衷，有感于她为拯救苍生做出的牺牲，决心从恶魔手中拯救她。在前两种情况下，玩家内心并不认可公主作为替代亡国的慰藉物，只是在完成游戏下达给骑士的应尽义务；第三种情况则是游戏创作者预设的理想状态，也是传统线性叙事的标准通关结局。非线性叙事机制造成的第一个伦理危机正在于哀悼文本的不确定性，即我们无法确保身为读者的玩家接触到一致的叙事信息，进而也就无法展开标准化的哀悼伦理分析。

游戏开发者显然也注意到这一问题，并给出了多种解决方案。首先，游戏会提示信息碎片的排列顺序，甚至强制采取部分线性叙事的手段，以防不知情的玩家提前接触到故事高潮片段。例如在《塞尔达传说：王国之泪》（*The Legend of Zelda: Tears of the Kingdom*, 2023）中，找寻记忆的任务必须由第一个信息碎片所在地的特定NPC开启，NPC会提示玩家先去确认记忆碎片的地标顺序，之后才会开启完全自由的搜集之旅。其次，开放世界游戏往往用游戏完成度来替代传统意义上打败恶魔即通关的定义。骑士拯救公主后，游戏会播放制作人员名单和终结字样，但这并不意味着一个周目的结束，游戏会将存档回溯至攻打恶魔前的那一刻，并揭示当下的完成度，鼓励玩家继续探索事件全貌。

上述安排在一定程度上解决了哀悼文本的标准化问题，保证了绝大多数玩家在误打误撞打败恶魔后，依然有动力去找寻记忆、达成第三种类型的理想哀悼状态。但这又造成了另一个对哀悼叙事而言更为严重的问题，即当下周目在实际操作层面上并不存在终点，即便达到了百分百完成度，玩家依然可以在这个虚拟世界中继续驻留游玩，直到主动退出游戏。因此，缺乏终结标志的哀悼工作不得不从补偿型逻辑转变为抑郁型范式，进而导致游戏哀悼叙事表象与实质的错位。玩家扮演的骑士可以不断拯救公主，但游戏永远会回归拯救行动开始前的那一瞬间，因此公主在实际意义上是无法被拯救

的。尽管游戏的宣传语依然是“为王国的未来而战”，哀悼叙事的设计逻辑也是凭吊故国遗迹、追寻王室遗孤、获得补偿慰藉，但实际游玩体验否定了哀悼工作的可行性和公主形象的慰藉功用，游戏世界永远停留在直面恶魔威胁的断垣残壁中，并无未来发展可能。

从情感渲染的角度来看，非线性叙事无疑是极其成功的，甚至利用误读强化丧失之痛。首先，游戏提供了对丧失事件的多种解读可能，进而促成玩家现实哀悼情绪的波动变化；其次，完成度指标敦促玩家纠正对哀悼对象的认知，反复体验丧失概念和哀伤情绪；再者，游戏在补偿型哀悼叙事的框架下植入忧郁内核，打破玩家对哀悼工作的惯常期待；最后，玩家陷入进退两难的伦理困境，继续游玩意味着永远身处无法施救的道德低地，停止游玩则是在代码层面宣告虚拟他者的消失。玩家从自愿进入游戏世界开始，便踏入了万劫不复的哀悼伦理圈套，由此引出了本文伦理考察的最后议题：如何评判和维护玩家作为哀悼者的人权伦理？

长久以来，哀悼伦理研究一直在关注“他者”的权益，即便他者不在场且无法感知，哀悼者也必须牺牲内心完整性、通过对象认同向他者献上最诚挚的敬意，否则便会被冠以自私罪名。游戏哀悼文本得以成立的前提也是玩家自愿交付时间和精力，接受开发者设计的哀悼叙事、哀悼对象乃至规划好的哀悼仪式。但不论在游戏世界还是现实世界，丧失对象都是因哀悼者的情感贯注而存在，因此对他者的伦理关照应考虑哀悼主体的诉求。正如现实世界不存在绝对真实，游戏世界中的丧失事件确实存在官方视角外的多种解读可能，允许玩家开展既定流程之外的自主哀悼，是对虚拟逝去对象和真实哀伤玩家的双重敬意。

需注意的是，一旦脱离游戏语境，玩家的某些自主哀悼行为是会造成现实伦理争议的，例如自残乃至自杀式哀悼。尽管忧郁被论证为更具“利他性”、进而占据了道德高地，忧郁内心的自我分裂状态确实威胁着哀悼主体的自我认知，弗洛伊德对哀悼工作的推崇也正是出自对哀悼者精神健康的伦理关照。得益于游戏文学的玩家-化身认同机制，身为哀悼者的玩家仅凭虚拟化身便可实现与逝去他者在代码意义上的同时在场，但不满足于此的玩家会在游戏世界里努力尝试各种与逝者同框的方式。以《塞尔达传说：旷野之息》为例，游戏采用了戏中戏的结构，除了惯常的骑士救公主主线剧情外，还有一个拯救人鱼公主、但最终发现她早已为骑士牺牲的叙事支线。部分玩家为了表达哀思，会采用游戏中的冰冻伤害技能将自己扮演的骑士冻成冰雕，与人鱼公主雕像做伴；或是刻意自杀，只为唤醒人鱼公主的灵魂施展复活技能。在伦理层面上，这些“误读”游戏机制的举动既不利他、也不利己，但因为利用了不会对现实个体造成实质性影响的复数性虚拟生命，所以看似有违伦理、实则饱含敬意，不仅没有遭到批判，甚至还能赢得玩家群体的好评，由此印证了游戏文学对于传统哀悼伦理批评观念的改造。

游戏文学的叙事机制改写了传统哀悼伦理批评的文本基础，进而提出了新型文学形式下的哀悼伦理新逻辑。玩家-化身的身份认同构建了虚拟世界与现实世界的联系，既解决了逝去他者的不在场问题，又保全了哀悼主体的完满性，首次实现了利他且利己的哀悼模式。因篇幅所限，本文对游戏哀悼伦理的考察尚未涉及游戏开发者，尤其是开发者与玩家间的控制和反控制关系对哀悼文本生成的影响。游戏叙事机制的发展在很大程度上是开发者与玩家群体共同博弈的结果，开发者必须揣测玩家心态、设计更符合目标用户期待的哀悼文本，而玩家则以实际消费行动表达对游戏设计的肯定或批评，从而推动游戏的进一步优化。笔者将在未来的研究中继续关注这一议题，努力阐明读者（玩家）反应论视角下的游戏哀悼伦理观。

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# 《唐人街内部》中的身份表演与伦理选择

## Identity Performances and Ethical Choices in *Interior Chinatown*

陈钰冰 (Chen Yubing)

**内容摘要：**《唐人街内部》以好莱坞剧本形式，讲述了渴望成为功夫大师的亚裔青年演员威利斯在唐人街内部的生活困境与表演经历。小说关注不同演员的人生故事，将亚裔演员群体不被美国主流社会承认时的伦理选择呈现给读者。他们通过选择不同的身份表演形式，在家庭与事业、美国人身份与亚裔身份中的伦理两难中艰难平衡，但无论是融入还是脱离，都无一例外地走向失败。通过不同人物失败的典例，作者重新检视了亚裔美国人如何在主流社会立足的问题，却始终没有明晰的答案。

**关键词：**伦理选择；身份表演；《唐人街内部》；游朝凯

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**Title:** Identity Performances and Ethical Choices in *Interior Chinatown*

**Abstract:** Written in a screen-play format, *Interior Chinatown* draws a spotlight on the life dilemma and performance experiences of an Asian American supporting role Willis Wu, who aspires to become a Kung Fu Guy inside Chinatown. The novel also focuses on the life stories of different actors. When the Asian actor community is not acknowledged by the American mainstream society, they choose different forms of identity performances to explore, struggling to balance between family and career, as well as American identity and Asian identity, yet invariably all lead to failure, whether it is integration or disengagement. Through the examples of different characters' failures, the author re-examines the possible ways for Asian Americans to gain a foothold in society. However, there are no clear answers.

**Keywords:** ethical choice; identity performance; *Interior Chinatown*; Charles Yu

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《唐人街内部》(*Interior Chinatown*, 2020)是美国亚裔作家游朝凯(Charles Yu)结合自身二代移民的身份特征与生活经历,探讨族裔话题的初试之作。故事聚焦青年龙套演员威利斯·吴的演艺生涯,讲述了他在戏里戏外面对种族话语强悍围剿时卑微求存与艰难追梦的经历。因为出版年份新,现有小说的国内研究文献较少。有学者从亚裔美国人在美国主流社会的夹层困境切入,梳理了亚裔种族歧视的历史流变<sup>1</sup>,也有学者关注其空间形式与后现代小说技巧,探索小说表达的主题<sup>2</sup>。除此之外,游朝凯作为编剧的职业身份,给予小说聚焦美国演艺圈得天独厚的优势。纵观整部小说,主角威利斯都处在表演状态当中,书中的其他人物也都是演员。他们接受主流社会评鉴的舞台即是以金宫餐厅与SRO公寓为代表的唐人街景观。作者用特殊的剧本叙事结构完整呈现了他们的人生故事,将演员身份的特殊性蕴藏在表演中。因此,小说从表演角度仍有研究空间。

“表演”(performances)原指表演者的舞台活动,经美国社会学家欧文·戈夫曼(Irving Goffman)的拓展后,向广义延伸至日常生活中,即“特定的参与者在特定的场合,以任何方式影响其他任何参与者的所有活动”(14)。日常面向他人的自我呈现与自我指涉,就是表演。从文学伦理学批评的角度来看,身份“标识着这个人在社会中的存在,以及其需要承担的相应责任和义务”(聂珍钊 704)。而“由于社会生活的复杂多样性,人往往身处于多重伦理关系当中,拥有多重伦理身份”(蒋文颖 625)。身份的切换与角色的更迭为身份表演提供了空间。身份表演即基于身份的表演。在少数族裔研究领域,学者许双如将“身份表演”定义为“通过扮演或模仿某种社会角色,以彰显某一期望的身份”(35)。为此,作者游朝凯有意模糊乃至消解剧本内外的空间界限,让威利斯的身份表演不仅囊括了他在电视剧中对亚裔角色的脸谱化塑造,也覆盖了他日常生活中与亚裔家庭、白人剧组等特定群体交往时所时刻自觉的种族指涉与身份转换。

在身份表演的过程中,主角不断地面临伦理选择的考验。<sup>3</sup>“伦理选择要求选择主体按照某种社会要求或道德规范进行选择,或者根据特定伦理环境和语境的需要进行选择”(聂珍钊 422)。小说中的亚裔演员在家庭与职业、主流社会与族裔社群的身份选择中摇摆不定,被桎梏于伦理困境当中,产生了伦理身份危机。他们借助身份表演为脱困手段与自保策略,但各人的表演形

1 参见孙璐:“从游朝凯的《唐人街内部》看亚裔美国人的“夹层”困境”,《当代外国文学》10(2022):5-12。

2 参见纪翠萍:“异托邦的权力之思:《唐人街内部》的空间隐喻”,《华文文学》8(2022):49-57。

3 参见聂珍钊:“人文研究的科学转向”,《文学跨学科研究》4(2022):567。

式与后果却各不相同。本文选取第一代移民吴明晨与多萝茜，第二代移民威利斯、凯伦与师兄等典型角色的身份表演作为切面，考察不同主角在舞台切换与表演进程中展现的伦理选择及其影响。在身份表演的基础之上，小说作者不仅拷问了种族身份的可塑本质，也探索亚裔演员可能存在的出路。小说并非仅是对种族问题的老调重弹，它通过缩小关注群体，揭露身份的表演性与流动性，最终引起读者的关注与共鸣。

### 一、生存表演：一代移民的伦理困境

小说主角威利斯的父母，吴明晨与多萝茜作为第一代移民的代表，其生活经历与演艺生涯在一定程度上反映了亚裔群体初入美国社会时的艰难困苦。他们的身份表演是为在陌生社会安身立命作出的自我妥协。吴明晨因逃难到美国，求职时却四处碰壁，被好心的招聘人员提醒后，他尝试用口音说话，身份表演出一个英文欠佳的合格亚裔形象，“学会了如何去做一个亚洲男人”（143）<sup>1</sup>，在唐人街的鸿运楼里获得了唯一的工作机会。多萝茜被电影梦诱惑来到美国，起初在阿拉巴马州做护士，时刻忍受着病人的性骚扰，因为拒绝后会遭到变本加厉的投诉与辱骂。她进入唐人街工作后，扮演身着旗袍的亚裔舞女，依然无法摆脱男性凝视，“被打量，被端详，被垂涎，被掂量，被上下其手”（145），与当初从事演员的初衷背道而驰。

故事中唐人街的边缘形式与舞台表达紧密结合。它不仅是电影拍摄的空间实践，也是众人施展身份表演的舞台场地。戈夫曼对舞台有明确的定义，“舞台设置往往是固定的（……）只有已经进入恰当的场合才能开始他们的行动”（22）。作为受种族话语规训的表征空间，唐人街在小说中被工具化为散发异域风情的舞台背景，正是承担表演的“恰当的场合”。1906年的旧金山地震后，中国商会秘书与其他有影响力的华裔纷纷倡议将旧金山唐人街重建为“东方城市”（Oriental City），将其打造为“名副其实的童话宫殿，充盈着来自遥远东方的宝藏”（Choy 63）。这种建筑风格异质化的倡议是唐人街居民在困境之下的自保策略。他们以此赢得主流社会的友善，来应对政府即将出台的唐人街搬迁方案。相似地，小说中的金宫餐厅作为亚裔对外开放的公共空间，通过保持中国传统建筑风格博人眼球，迎合主流社会观众的期望。“倘若某部电影需要异质风情的背景板，唐人街无疑是个很好的选择”（Tsui 41）。小说中拍摄的警匪片《黑与白》的布景设计中也以“檐头翘角，东方的繁华与调性”作为吸引西方观众的重要卖点之一（63）。这与萨义德诠释的“想象中的地理”（imaginative geography）不谋而合，“东方是用来圈定东方的舞台（……）是一个封闭的领域（……）”（萨义德 80），为满足西方观众的虚假幻想而存在。

1 本文有关《唐人街内部》的引文均来自游朝凯：《唐人街内部》，郭晓冬译（桂林：广西师范大学出版社，2023年）。以下引文仅标注页码，不再一一说明。

吴明晨与多萝茜并不是个例。小说中所刻绘的演艺圈是偏见泛滥的重灾区。主流社会规范早已为亚裔群体量身定制出一套完整、病态且苛刻的演员等级链。亚洲男性的角色范围按照年龄跨度，仅有“普通亚洲男人”、“亚洲老人”等龙套角色可供选择。女性角色的表演范围则更为狭隘，连作为功夫大师脱颖而出的希望都没有。他们通常充当沉默的龙套角色，即便偶有台词也必须使用亚裔口音说话。演员们最常接受的舞台指令就是死亡，而当饰演的角色身亡时，他们必须坚持四十五天的漫长空档期，没有工作，没有收入，否则频繁在不同的剧集中穿梭会让观众产生不适之感。

这些种族潜规则并未虚构与夸饰，在美国电影史上是有迹可循的。上个世纪 60 年代，美国电影业蓬勃发展，亚裔演员也投身其中。娱乐市场的运作机制让充斥意识形态的演艺圈歧视泛滥。好莱坞华裔女演员黄柳霜崭露头角时，也饱受种族歧视之苦，扮演的角色不是阴险狡诈的婢女，就是性感香艳的舞姬。“男性性欲对象的客体属性”（常江 石谷岩 89）在镜头前被屡屡强化。“好莱坞电影将中国男性描绘成卑躬屈膝的奸臣、间谍或犯罪头目，将中国女性描绘成性玩具或妓女”（Chang 15）。哪怕时至今日，好莱坞的电影近作《尚气》（*Shang-chi*），依然深陷种族歧视的风波，引起了亚裔美国人的强烈抵制。因为《尚气》中的反派是影史上傅满洲这一典型亚裔负面形象的死灰复燃。傅满洲的形象来源于英国作家萨克斯·罗默（Sax Rohmer）的系列侦探小说，他喜好使用东方的毒药与邪术作恶。其诞生是 20 世纪美国社会宣扬黄祸论背景下结出的苦果，是被妖魔化的亚裔想象。当代美国演艺圈现状与《唐人街内部》亚裔演员形成互文，佐证了服务于白人观众市场的筛选机制让娱乐圈长期存在着种族偏见这一历史事实。

当香港武星李小龙（Bruce Lee）风靡好莱坞荧屏后，这种演艺圈充斥的亚裔负面形象得到了改善。李小龙正积极的武打形象极具影响力，为改变亚裔在美国大众心目中的印象做出了积极贡献。他“用自己的身体破坏父权秩序，甚至通过支配其他男性来强化这种秩序”（Chan 28），但却重新建立了另一种单一呆板却深入人心的角色模式，即“功夫高手”模式。在正面形象的包装下，他依然是“东方主义者的原型，被商品化了的偶像，满足了西方注视的对象”（Bowman 8）。

在小说中，吴明晨正是这种功夫大师形象的受害者。他在故事刚开始时没有名字，顶着威利斯师傅的名号出场。他曾通过身份表演到达功夫高手的顶峰，顶峰却意味着“廉价版的李小龙”（150），被迫“戴上蠢兮兮的帽子，为了烧煮杂烩，要踢打腾挪地把蔬菜切成一千片”（150），在职业生涯的摸爬滚打里演变为商业电影中干瘪的符号。短暂的“辉煌”后，吴明晨年老力衰，患上了阿尔兹海默症，逐渐遗忘家人与房间事物的摆放位置，最后成为背景板式的亚洲老头。然而，就算他消失，四周亟待出头的替代品比比皆是，所有的血肉都可以被填充在这个头衔里，继续丰盈功夫高手的原型。

“伦理结是文学作品结构中矛盾与冲突的集中体现。伦理结构成伦理困境，揭示文学文本的基本问题”（聂珍钊 258）。一代移民面对的伦理结突出表现为他们家庭伦理身份与职业伦理身份之间的尖锐矛盾。家庭是构成人类社会最基本的单位，对个人身份认同的重要作用不言而喻。然而，家庭空间却是一代移民在面临伦理困境时最早被牺牲的舞台，因谋生而进行的身表演剥夺了他们陪伴孩子的有限时间。相较于父亲的角色，吴明晨被儿子威利斯铭记的身份更多的是作为指导他功夫技巧，教会他如何在演员世界立足的师傅。威利斯是家庭关系中的受害者，父母陪伴的欢声笑语，成为童年里虚无缥缈的一些梦境。多萝茜作为母亲，也同样难逃身份表演的负面影响。母亲是她生活中所扮演的最微不足道的一个角色。她因工作繁重无法陪伴孩子长大，休息的时间一到，她就需要重新返回舞台。威利斯年幼时最开心的事，就是母亲扮演的角色死亡。因为“这意味着她会在家里待上六个礼拜，每个下午你都会独自拥有她”（126）。与此同时，吴明晨与多萝茜的婚姻也濒临破裂。背景故事里浪漫的相知相遇已在多年生活的搓磨中化为乌有。因为需要工作挣钱，即使妻子在表演时遇到骚扰，吴明晨也只能在暗中咬紧牙关，自我安慰“他在做正确的事，他们必须这么做才能生存”（145）。因为工作的重要性，他们需要保证各自的休息，因此分开比同居更有效率。

对一代移民而言，身份表演是他们在陌生社会维系生存的必要手段。他们将唐人街作为生活的庇护所与表演的主舞台，在职业伦理身份与家庭伦理身份的两难中选择牺牲家庭，终其一生在角色循环中苟延残喘，直到年老力衰被作为背景板遗忘，最终沦为被种族政治支配的牺牲品。

## 二、融入主流：威利斯的身份危机

相较于第一代移民，威利斯在唐人街的舞台上拥有表演的主动权。只有关注演员威利斯的身表演，读者才得以管窥 SRO 公寓内部恶劣的生存环境与底层居民卑贱的谋生方式。公寓每层有十五个单间，仅在走廊尽头“有间带淋浴和抽水马桶的小浴室”（44）。因此每个夜晚，走廊都人山人海，接踵比肩。SRO 公寓是亚裔演员们简陋的栖身之所，但家宅中“体验幸福的安定感，能够在安详中做梦”（巴什拉 5）的疗愈功效早已消失殆尽，密集的房间像是“住在层层叠叠的盒子里”，个人隐私感暴露在噪音当中，“缺乏一条最基本的原则来区别和划分他们的内心价值”（31-32）。“物理空间的狭小本质上是社会空间的隔离与差别”（李美芹 138）。龙套演员薪酬低微，只好压缩生存成本，困囿于公共设施破败的边缘化空间内。与蓬门华户相伴生的，是亚裔演员被区隔化的艰难生活。晾晒衣物的公共区域纵横交错地悬挂着功夫裤、旗袍和婴儿的围兜。各个年龄层的演出服暗示亚裔演员祖孙三代都无法逃离宿命般的他者循环。

尽管威利斯的身表演积极推动观众的视点变化，使唐人街从主流社



会的背景板翻转为视觉的中心位置，让内部的亚裔群体赢得被看见的宝贵机会。但作为第二代移民，威利斯投身演艺事业时，却依然只能从最底层的不孝子、快递员、沉默的跟班这些角色开始做起。除了被迫接受与父辈相似的固定角色之外，主流社会对他进行了更高级的培植，即成为功夫大佬的梦想。当年幼的威利斯与母亲共同坐在电视机前，他被电视中白人扮演的功夫高手画面深深吸引，不仅兴致勃勃地模仿着演员的动作，更是励志投身于演艺事业当中。威利斯功夫梦的培植，正是主流社会话语运作的一次成功实践。二战后美国的电视业进入了“黄金时代”，电视作为主流意识形态输出的窗口，“是一种话语，一个传播，并不是简单的行为事件”（霍尔，“电视话语中的编码与解码” 36），通过反复播放，将固化的亚裔刻板印象垄断性地建构、操演，并继续培植在下一代的心目当中。功夫大师的形象成为主流社会流通的文化产品，被以威利斯为代表的电视观众接受后，继续加以追求，也延续了种族刻板印象的循环。

在面对功夫大师的伟大理想时，威利斯认为自我牺牲是实现梦想的必要付出，自愿屈服并内化种族刻板印象。归根结底，美国白人隐匿的种族话语机制打造了威利斯的思维定势：自20世纪民权运动始，白人统治者摈弃了“黄祸论”的诋毁说辞，假借“模范少数族裔”（model minority）的称赞，塑造了美国社会机会平等的假象，不仅将失败归咎于“你的卑劣种族与错误选择”（Zhou 232），更罔顾种族非正义的前提，把成功与个人天赋与后天努力相勾连。正因为这套深入人心的误导性说辞，转移了威利斯对种族不公的关注，反使他自我预设了成功的高门槛，认为夺得功夫大师的头衔，需要多年的投入和牺牲。至此，他投入巨量的时间与精力，用功夫高手的梦想将表演亚裔身份合理化。正如纳丁·埃勒斯（Nadine Ehlers）将种族文化身份解读为“需要小心翼翼地维系的一种实践，一种生存方式”（65）。它既不是自然生理结构的产物，也“决不是永恒地固定在某一本质化的过去，而是屈从于历史、文化和权力的不断‘嬉戏’”（霍尔，“文化身份与族裔散居”211），遵照社会规范不断操演形成的。为迅速摘得“功夫高手”这项桂冠，威利斯通过操持亚洲口音，遵照社会规范，在不同的剧集中重复着诸如“我让我的家人蒙羞，现在我必须付出代价”、“没有面子，我一无所”（67）等具备强烈歧视意味的台词，按照符合美国社会规则的亚裔特征进行身份表演，加剧了演艺圈刻板印象的生产，成为主流社会规训自我的同谋。

因此，威利斯“真诚地相信，他所表演的现实印象就是真正的现实”（戈夫曼 17）。他依赖于主流话语创造的演员进阶系统，通过刻苦表演打通关窍，向主流社会递送橄榄枝，欢迎他们进入唐人街，终于成功地升级为客串明星。诚然，他在形式上完成了内部地位的改变，赢得了更多的台词与镜头。但看似光明的演艺事业背后却缺乏真诚的身份认同作为支撑，他也未能如愿以偿地被白人社会接受。正当他欲大展身手时，却莫名其妙地在现场被枪击“死亡”。威

利斯毫无心理准备，身边的演员已为角色的逝去而默哀，并熟练地感谢他在剧集中的付出，让他在混乱中被迫草率地完成了告别。

更糟糕的是，身份表演让威利斯丧失了亚裔群体的认同感与归属感，也让他面临着新的伦理困境。小说中重点描写了威利斯与剧组前往唐人街时的场景。此刻升级为客串明星的他是剧组在唐人街中搜查的引路人。他几番犹豫，最终选择站在亚裔群体的对立面。当他选择身份表演，进入角色的那一刻开始，亚裔群体就不再是童年相依为命的玩伴，而是轮番登场的陌生反派角色。从前的伙伴蔡肥仔不再是“来自单间廉租公寓的兄弟”，而是“底层东方人”（99）。相见时，他客气疏离，用警告性的语气知会他：“但愿你清楚自己在做什么”（100）。当威利斯在餐厅的后厨里遇见他的父亲时，威利斯的角色切换障碍，暗喻了他身份转换的凝滞，乃至表演的失败。虽然他及时地将语言切换为家乡方言闽南语，试图用民族语言重新建构亚裔伦理身份，自我定位在亚裔群体当中，并提前透露剧组的意图，告知“警察有问题”（86）。可依然收效甚微。他的父亲虽回应称“为你高兴”（86），但脸上却流露出担忧、失望与不信任的神色。威利斯的父亲将他的行为视作对亚裔身份的背叛，他不再是与他血肉相连的孩子，也不是他苦心栽培的功夫徒弟，而是一个陌生的外来闯入者。威利斯察觉到了父亲明显的失望，却依然选择将这次的身份表演进行到底。因为他无法面对亚裔群体，所以切断情感联系，自我保护式地将自己融入角色当中。此时此刻，威利斯已成为主流群体的侏鬼，与亚裔群体渐行渐远，他的真实人生被表演蚕食，徘徊在亚裔族群与主流社会的夹层中，最终走向了彻底的失败。

当他步入婚姻后，威利斯也遭遇了与父辈相同的伦理两难。尤其是妻子凯伦怀孕后，家庭与事业的矛盾更加尖锐。凯伦劝威利斯搬离唐人街，重新拥抱更好的生活。此时此刻，究竟是与妻子一起离开金宫餐厅，创造属于自己的剧集出演主角，还是坚守在唐人街内部，等待实现离自己一步之遥的功夫大师梦想？威利斯在权衡之下，选择了继续留在唐人街公寓等候并承诺妻子很快就会回到她身边。然而，他的承诺成了空头支票，他们两地分居的时间从“几个星期变成了几个月，又变成了好几个月。好几个月变成了一年”（166）。但当导演真的打电话通知威利斯获得角色时，他才意识到自己孤身一人被困在陷阱当中，在最后时刻重新做出了伦理选择，驱车离开片场，前往自己的家庭。与一代移民相比，威利斯面临的伦理选择看似仍是家庭与事业之间的进退维谷，但实际上，他的梦想已被主流的意识形态等量代换。他实则面临的是选择屈从主流社会，还是跳出主流社会框架的两难问题。

威利斯试图通过身份表演跨越种族差异。诚然，其积极作用不容忽视。与第一代移民的苟且生存相比，身份表演既是威利斯使唐人街底层空间可视化的方式，也是其追寻主流社会阶层跃升的隐性策略。然而，他的表演受充满诱惑力的梦想话语所驱使，深陷于美国主流社会塑造的演员等级框架内，主



动操演种族刻板印象，终结于身份混乱中。

### 三、开创舞台：凯伦与师兄的伦理选择

小说中威利斯的妻子凯伦作为二代移民，当她面临与威利斯相似的伦理选择时，她选择让自己的身份表演不再局限于唐人街的主舞台上，也不再局限于遵照主流社会规范不断表演出的亚裔身份。威利斯功夫高手的梦想植根于唐人街舞台，离开唐人街，不仅意味着他跳出了主流社会设置的亚裔舞台，也失去了梦想赖以生存的土壤。相较于威利斯的犹豫不决，凯伦则显得果断得多。她选择搬离唐人街，成为自己新剧集当中的主人。她虽在演艺圈内，却尝试从另一个赛道中脱颖而出，做另一种身份表演。

在家庭身份与职业身份的伦理选择中，凯伦全心全意地扮演好母亲的角色。在威利斯父亲角色缺位的情况下，她独自将女儿菲比抚养长大，为她打造种族平等的异托邦，力求将主流社会种族话语的影响降到最低。异托邦（Heterotopia）最初由法国哲学家米歇尔·福柯（Michel Foucault）提出，“区别于现实世界，但又与之共鸣”（Tompkins 4）。在地理学家凯文·赫瑟林顿（Kevin Hetherington）看来，异托邦意味着“可供选择的秩序空间”（40）。异托邦形成的基础是社会秩序的差异，菲比的新房与唐人街的单间公寓不同，现实中存在的种族秩序在菲比的房间里不复存在。在菲比的房间里，他们共同度过了一段短暂且幸福的的家庭时光。在家中，威利斯第一次履行了父亲和丈夫的责任，把所有的时间和爱都倾注在可爱的女儿身上。这个房间虽让他远离了恼人的种族言论，但却是没有根基的空中楼阁，后续因为追踪威利斯的警察的到来而分崩离析。

倘若说凯伦的舞台切换还局限在演艺圈内，那万众瞩目的功夫明星师兄的身份表演就是一次更彻底的反叛。作为亚裔群体的精英，他是“天赋异禀的功夫明星”（24），也是无法打败的神话。在小说剧本的蒙太奇中，师兄几乎全方位地无可挑剔，不仅拥有最高超的格斗技巧，在学业上更是“国家优秀奖学金的获得者，SAT成绩是1570分”（26）。被寄予厚望的他选择了离开唐人街，考上了顶尖的高等学府哈佛法学院，成为光鲜亮丽的律师，踏上白人精英舞台，成为了外人眼中不折不扣的“美国人”。但当他为威利斯出庭辩护时，却依然受到种族话语的桎梏。师兄词汇有限，通过频繁无效的“反对”（Objection）来表达意见。他被象征性地给予了发声的权利，却被法官屡次无情地否决，甚至被质疑“我猜你在法学院的‘反对’课的成绩是优等”（172）。尽管师兄振聋发聩的演讲激起了现场所有人的积极反馈，可作为权力的阐释者，法官依旧一意孤行，宣判威利斯有罪。师兄看似脱离了演员框架，却沦陷在另一个由白人制定游戏规则的广阔舞台。

法庭作为权力话语激烈角逐的舞台，在终局中，更为身份表演提供了张力。威利斯在结尾处代表沉默的亚裔群体发声，揭穿了自己身份表演失

败的根源，即他始终是美国社会游离的他者，是“内部的外邦人”（Lowe 22）。倘若用美国人的标准来衡量他，威利斯的身上拥有诸多成功人士的特质，他“重视家庭观念，勤奋，延迟享受”，拥有的正是“美国社会正在丧失的品质”（Zhou 225）。然而未被承认的美国人身份却让一切努力都化为泡影。在法庭上的独白中，威利斯终于醒悟自己执着追求的不过是一场由种族话语打造的镜花水月，并坦率地揭露了功夫高手不过是普通亚裔男性的另一种角色，而他自己则彻底内化了角色，从而无法分清现实与表演。不仅威利斯如此，整个亚裔演员乃至亚裔群体都处在隐形的状态。而亚裔隐形的真实原因，是主流社会从来也不承认他们作为美国人身份存在。在法庭上，法律的公平正义性被扭曲，以法官为首的美国法庭象征着权力中心，有权宣判亚裔人的命运隐形与否。亚裔美国人作为一个整体，被定义，被分类，仅在需要时作为配角出场，随时准备着被从主流社会的版图中匿去。

当上层规范化与系统化的整套文明话语失效时，威利斯与师兄心照不宣地选择了原始粗暴的方式来逆转庭前话语，夺回身体的主动性。他们通过精湛的中国功夫在法庭上杀出一条血路，第一次挣脱了权力话语的操纵与束缚，重构种族正义。在此刻，中国功夫不再是取悦西方的花拳绣腿，而是定义身份与捍卫权利的武器。小说暗示了亚裔群体只有打破主流社会推广的种族运作机制与权力游戏规则，重新掌握身份构建的主动权，才有成功的希望。功夫大师是亚裔民族拥有的正面积极的有力形象，但苟且在主流社会构建的框架当中却是失败的。只有在此时此刻，身份表演成为一种法庭上的颠覆性力量存在，终于在最后一刻发挥了它应有的效用，将演员身份彻底解构，也将回归亚裔族群的伦理选择一锤定音。

在故事的最后，作者游朝凯用一种理想化的方式宣告了威利斯演员职业身份的终结，结束了他的伦理两难。小说的结局陈述了威利斯回归家庭后的美好愿景，却并未过多地探寻威利斯未来如何谋生的问题。游朝凯让威利斯与父母妻儿并肩而立，剥去表演的伪装，用最真实的生活状态重新回归到亚裔生活中。但在其乐融融的结局背后，这似乎意味着亚裔又一次退守回安全区与庇护所。亚裔究竟如何在主流社会中自持，似乎仍是未解之谜。掌握身份构建的自主权毋庸置疑，但构建的方式却仍待商榷，无论是脱离还是坚守，都并不能达到理想的效果。

作为探讨亚裔种族身份构建这一经典性议题的作品，《唐人街内部》通过聚焦于功夫演员威利斯艰难坎坷的功夫梦想，展现了对亚裔如何融入主流社会的关注。作者游朝凯立足演员独特的表演属性，放大唐人街作为舞台空间的特殊功效，将种族身份与伦理选择结合起来，探索亚裔的出路。威利斯父母作为第一代漂洋过海的移民，在年老力衰后沦为重复的背景板，既无法改变自身命运，也对下一代的重蹈覆辙无能为力，目睹着他们不断经历刻板

印象的循环；在演员等级框架的钳制下，威利斯的表演从推动空间更迭的积极手段，逐渐转变为内化操演的消极策略，并最终惨淡收场；凯伦通过脱离唐人街内部，为下一代构筑种族平等的异托邦，但却无法抵御种族话语的随时入侵。师兄苦心孤诣走上白人精英舞台自我呈现，当他站在法庭上辩护时，虽与主流话语正面交锋，却依然处于失语的劣势状态。最终，他们诉诸中国功夫这种武力机制突破重围，暗示着回归以唐人街为基础的亚裔主舞台才是他们的唯一选择。遗憾的是，无论是融入还是脱离，似乎都并不能为亚裔进入主流社会后如何生活提供一个好的解决方案。在当今世界，新冠疫情加剧的种族冲突与矛盾成为全球视野下众人共同关心的社会议题。针对亚裔暴力事件频发的现状，美国社会掀起了声势浩大的“停止亚裔仇恨”（Stop Asian Hate）的声援运动。《唐人街内部》的出版时间正好处于新冠疫情的交界年，它与当下恶劣的社会种族环境形成对照，折射出文学文本对当前社会现象的形变与思考，再度唤醒了读者对亚裔群体生活状态的关注。

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# “厌女症”的生成：《奥瑞斯忒亚》中伦理身份的重新界定

## The Generation of Misogyny: The Redefinition of Ethical Identity in *Oresteia*

任 晓 (Ren Xiao)

**内容摘要：**在《奥瑞斯忒亚》中，埃斯库罗斯巧妙地将古希腊城邦的当代问题，特别是公元前5世纪女性在公共生活中逐渐边缘化的处境，融入到阿特柔斯家族的叙述中。在此基础上，埃斯库罗斯在前两部中设置了父、母、子和女等不同伦理身份所面临的选择困境，呈现了家宅内部血亲谋杀所导致的性别对抗。直到最后一部《和善女神》，理性意志以法庭裁决的形式结束了个人正义主导的复仇循环，从而在侧面反映了在一个男性逐渐主导公共生活、女性则被边缘化至附属地位的体系中，一种对女性的持续性偏见和敌意，即厌女症的孕育和延续。

**关键词：**埃斯库罗斯；奥瑞斯忒亚；伦理选择；伦理身份；厌女症

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**Title:** The Generation of Misogyny: The Redefinition of Ethical Identity in *Oresteia*

**Abstract:** In *Oresteia*, Aeschylus skillfully integrates contemporary issues of the ancient Greek polis, especially the marginalization of women in public life during the 5<sup>th</sup> century BC, into the narrative of the House of Atreus. Aeschylus, within the preliminary two parts of the trilogy, artfully constructs a tableau of ethical quandaries confronting various familial identities—father, mother, son, and daughter—thereby illustrating the gender antagonisms spurred by acts of familial homicide. It is only in the concluding play, *Eumenides*, that the cycle of personal justice driven by retribution is brought to a close through the medium of a judicial verdict by rational will, thereby indirectly mirroring the gestation and perpetuation of a sustained bias and hostility towards women, namely misogyny, within a system where men increasingly dominate public life and women are marginalized to subordinate positions.

**Keywords:** Aeschylus; *Oresteia*; ethical choice; ethical identity; misogyny



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## 引言

埃斯库罗斯创作生涯主要集中于公元前5世纪,彼时民主制度初具雏形,以“公民平等”、“权力制衡”和“城邦至上”为特征的新的民主制度与强调“家庭、权利和个人价值与荣誉”的旧式贵族观念之间正在形成矛盾。<sup>1</sup>基于新旧更替的政治动荡,古希腊城邦中性别伦理的转变相继出现,直至古典时期,女性被确立为“低等生物”。公众普遍认为其在“智力与心灵”层面明显弱于男性,且往往被排斥于公共生活之外,并“天生倾向于邪恶”。作为古希腊社会中妻子的职责是“管理整个家庭”和“养育子女”(Katz 77)<sup>2</sup>。大多数雅典作家认为,“女性进行的任何非宗教的公共活动都违反了一个贤惠妻子必须具备的沉默、不可侵犯和道德依赖的特质”(Foley 111)。

与此同时,男性则延续着地生神话(autochthony)的传统,进一步宣扬男性的公共性地位。在古希腊人的视野中,三代先王刻克普洛斯、厄里克托尼奥斯和厄瑞克修斯均为地生。他们具有神性的高贵血统,不经由男女结合,没有母亲,彼此之间的关系模糊不清,但以男性的传承形成虚假的世系关系。<sup>3</sup>实际上,地生神话排斥了女性的公共合法性,并试图建立一种没有异性恋纠葛的男性友爱共同体。假设本土神话一味强调城邦“生子”的意识,最终的结果指向女性生育者地位的下降<sup>4</sup>,从而导致大量女性群体的合法地位的压制。

《奥瑞斯忒亚》(*The Oresteia*)<sup>5</sup>三联剧<sup>6</sup>于公元前458年在雅典的狄奥尼

1 参见 Mark Griffith, “Brilliant Dynasts, Power and Politics in the Oresteia,” *Classical Antiquity* 1 (1995): 65-66.

2 本文外文引文出自笔者译。

3 参见 Nicole Loraux, *The Children of Athena: Athenian Ideas about Citizenship and the Division between the Sexes*, translated by Caroline Levine, New Jersey: Princeton University Press, 1993, 24.

4 参见 Richard Rader, “And whatever it is, It is you: The Autochthonous Self in Aeschylus’s Seven Against Thebes,” *Arethusa* 1 (2009): 10.

5 本文引用西方古典文献的译文,均系笔者依据古希腊原文,并参考不同英译本、中译本译出。文中的引用标注西方古典学通行编码,埃斯库罗斯剧作行码随文标注。埃斯库罗斯剧作的古希腊原文参见 Aeschylus, *Oresteia: Agamemnon, Libation-Bearers, Eumenides*, translated by Alan. H Sommerstein, MA: Harvard, 2008。由于《奥瑞斯忒亚》是由三联剧的形式构成,本文在引用时采用简写的形式,即《阿伽门农》简写为“Ag.”,《奠酒人》简写为“Cho. (由希腊文“Choephoroi”而来,是其常见简写形式)”,《和善女神》简写为“Eum.”。

6 指《阿伽门农》(*Agamemnon*)《奠酒人》(*Libation-Bearers*)《和善女神》(*Eumenides*)。



索斯剧院上演，其体现的正是古希腊女性地位边缘化的过程，并以“厌女症（Misogyny）”的形式呈现。古斯塔夫·格罗斯曼（Gustav Grossman）指出埃斯库罗斯笔下的女主人公具有负面的特征：“在埃斯库罗斯的悲剧中，无论是幸运还是不幸，欢乐还是悲伤，女性和东方人同样地缺乏自制力；奴性、懦弱或专制的犯罪；骄奢淫逸；在直接的咒语下；缺乏可靠性和常识”（228）。弗若玛·泽特林（Froma I. Zeitlin）聚焦于古希腊语境的厌女症现象，指出《和善女神》中以奥林匹斯诸神的地位高于复仇女神为代表的原始神，男性高于女性的解决方案，延续的是父系婚姻的秩序，并最终造成了女性成为附属于男性的妻子和女儿的附属地位<sup>1</sup>，从而指出埃斯库罗斯在《奥瑞斯忒亚》中的“厌女”倾向。进一步地，乔治·纽唐（George Newtown）则直接指出，在古希腊人的视野中，“女性强大、危险、性欲过盛、天真烂漫并且缺乏自控能力，只有男性才能够对自己的行为进行道德判断”（142）。除此之外，莎拉·伊莱斯·约翰斯顿（Sarah Iles Johnston）、彼得·尤本（J. Peter Euben）以及理查德·西弗德（Richard Seaford）等人在《奥瑞斯忒亚》的性别问题上也有独到见解。<sup>2</sup>

总的来说，以上学者均关注到《奥瑞斯忒亚》的“厌女症”现象，但并未从更广泛的城邦生活中，分析性别关系的持续嬗变过程。因此，本文在以往学者的研究基础上，旨在通过分析《奥瑞斯忒亚》的文本，着眼于公元前5世纪的城邦现实，借助伦理选择的相关理论<sup>3</sup>，细致地分析剧作中人物的伦理困境，从而对古希腊伦理背景下的性别动态进行深刻的探索，以期对当下性别问题的解决提供借鉴意义。

### 一、处女的“献祭”：共同体规范中的女性境况

《阿伽门农》的剧情起源于特洛伊王子帕里斯对海伦的劫掠，这成为诸多与英雄相关的归家故事中预设的伦理结（ethical knot），其特点是“并未出现直接在文本中，但在人物叙述中被提及”（Nie, “Ethical Literary Criticism: A Basic Theory” 191）。而在具体的《阿伽门农》的文本中，伦理结的设定进一步细化到伊菲革涅亚的献祭，她的死亡过程并未直接展现在文本中，而是经由歌队之口转述。在歌队的叙述中指明了献祭的原因，即阿尔忒弥斯不忍

1 参见 Froma I. Zeitlin, “The Dynamics of Misogyny: Myth and Mythmaking in the Oresteia,” *Arethusa* 11 (1978): 173.

2 参见 Sarah Iles Johnston, *Restless Dead: Encounters between the Living and the Dead in Ancient Greece*, Berkeley: University of California, 1999, 264; J. Peter Euben, “Justice and the Oresteia,” *The American Political Science Review* 1 (1982): 27; Richard Seaford, “Aeschylus and the Unity of Opposites,” *The Journal of Hellenic Studies* 123 (2003): 141, 157.

3 有关“伦理选择”的术语解释参见 Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 189-207; 聂珍钊：“人文研究的科学转向”，《文学跨学科研究》4（2022）：563-568等。

战火心生怜悯，以风暴阻挡阿伽门农联军船只的行进，最后停止狂风的办法是献祭伊菲革尼亚。更重要的是，文本重点突出了阿伽门农必须面对的伦理选择：一方面是客观的伦理标准，即遵循盟约的要求，牺牲女儿继续征战；另一方面是主观的伦理标准，即出于一个父亲对女儿的爱与责任，放弃征战。在这种情况下，阿伽门农陷入二重困境：

那年长的国王放声回答：“若不服从，命运险恶；这实在难以抉择，如果我必须杀死我的孩子，家宅的荣耀，并在祭坛边用处女的血流，染污父亲的手。可哪一种办法没有痛苦？我又怎么能成为舰队的逃兵，让我的盟友在战场上失败？须知为阻住这猛烈的风暴，人们迫切地希望献祭，用一个处女的鲜血献祭，合乎情理。（Ag. 205-218）

阿伽门农的选择显示了个人生命与集体利益的张力，他先是指出作为父亲的伦理身份“献祭”女儿的悲痛，又进一步提出“哪一种办法没有痛苦”，由此引入不可违背盟友誓言的论断，并最终得出“人们迫切地希望献祭”的结论。通过戏剧性的哭诉，阿伽门农放弃了自然血缘身份的天然纽带，选择遵循客观的伦理标准。阿伽门农的选择，一方面取决于当时的伦理环境，即城邦“友爱共同体”的影响。<sup>1</sup>在“友爱共同体”中，公民之间趋于利益进行关系的连接，目的是城邦生活的更好，这是一种整体利益。作为体现共同体友爱的“主客关系”（*xenia*）中的一种重要形式是家族之间的军事联盟——矛友（*spear-friends*），其主要功能是“在军事背景下互相帮助”的个人盟友，即“通常通过在战役中一起战斗体现”（Griffith 69）。男人的政治和军事职能是作为公民存在的直接证明和荣誉来源，以城邦利益至上是男性公民必须遵守的规范。在家庭与城邦之间，阿伽门农的伦理身份是城邦的一员，而非家庭中的父亲。在伦理选择中，他必然要遵从公认的习俗规范，从而杀死女儿，犯下禁止血缘残杀的伦理禁忌。另一方面，阿伽门农是联军的统帅，权力的掌握进一步影响其伦理的选择。高位者在进行伦理选择时，其自身的权力赋予其决策的自由性，也就是说，阿伽门农完全可以选择放弃“献祭”。然而，同时他也意识到自身的选择承担着巨大的道德后果，会产生不可估量的大范围影响。因此，对阿伽门农这样的高位者来说，在面临重大伦理困境时，可能倾向于以集体至上来以此维护更“大”的“利益”。

与此同时，阿伽门农的“献祭”也指向处女所在家庭中的伦理身份。伊

<sup>1</sup> 在现代意义层面，“φιλία”一般直译为“友爱”，在古希腊伦理中其主要使用范围可划分为三个层面：“共同体友爱（community philia, κοινωνική），其中包括主客关系（*xenia*）”、“同伴友爱（companionship philia, εταιρική）”、“家庭友爱（family philia, συγγενική）。参见 Elizabeth S. Belfiore, *Murder Among Friends: Violation of Philia in Greek Tragedy*, New York: Oxford University Press, 2000, 6.

菲革涅亚处于受庇护青年和婚姻生活之间的边缘地位，她的情感和道德甚至生命不可分割地与家庭，尤其是父亲权威联系在一起。在危机的状况下，以伊菲革涅亚为代表的处女，往往不得不选择放弃婚姻，为家庭或城邦牺牲自己的生命。当阿伽门农决定献祭伊菲革涅亚时，将她“如同羔羊般放在祭坛上”（Ag.233），“通过武力，用缰绳使她沉默”（Ag.238）。埃斯库罗斯通过使用“羔羊”和“缰绳”等形容动物的词汇，将少女视为安静、顺从、任人宰割的猎物，一个为了共同利益而牺牲的祭品，以此暗示城邦共同体对古希腊女性“审慎”美德的要求。实际上，“埃斯库罗斯从文学前辈中继承了审慎的多重含义”，其中，女性的审慎美德主要指向“沉默”（Karathanasis 4），伊菲革涅亚正是这样一个典型的沉默的被置于祭台上牺牲品，她的选择显示了家庭与社会权力结构中不平等对个人自由的影响和个体生命的威胁。

基于共同体的军事联盟利益和处女的依附性地位，阿伽门农的伦理选择呈现了男性随意处置女性生命的权力。作为女性的反抗者——克吕泰墨涅斯特拉则以“谋杀”完成女性权力的夺取。她将“妻子”的伦理身份放置一旁，集中于“母亲”的自然血缘本质，将自身的伦理选择视为正义的复仇，把阿伽门农必死的理由列为对伊菲革涅亚之死的复仇，这显示了她的行动受到强烈的情感驱使。情感判断促使克吕泰墨涅斯特拉在妻子和母亲的身份之间进行伦理选择，非理性的驱动造成了道德判断的干扰因素，从而使她陷入盲目的状态，并合理化和正当化了复仇行为，无法客观评估个人行为所产生的后果。于是，在克吕泰墨涅斯特拉完成为女儿复仇的同时，违反了作为一个妻子在家庭中承担的义务，模糊了追求正义与个人复仇之间的界限，最终的结果并非恢复道德的平衡，而是引发无止境的复仇循环。因此，当她推翻了统治获得了专制权力时，她也被恐惧所控制，奥瑞斯特斯的复仇烈焰已经悄然升起。

## 二、“弑母”的合理化：假性父系伦理中的父亲权威

在阿伽门农死后，其家人和朋友并未正式地为其哀悼，因为奥瑞斯特斯流于外邦，埃勒克特拉被关在家里，以泪洗面，阿尔戈斯的公民不被允许参加葬礼和哀悼。在剧作的开头，未被安抚的阿伽门农亡灵即将迎来恰如其分的仪式，奥瑞斯特斯在阿伽门农墓前祈祷并祭奠亡灵。他来到父亲的墓前，申明自身的合法性，并强调自身的行为是为父亲报仇：“冥界的赫尔墨斯，父亲权威的守护者。我请求你成为我的救世主和盟友！我从长期的流放中回来，为我的父亲报仇。他死于一个女人的之手，死于一场秘密的背叛”（Cho.1-3）。很明显，奥瑞斯特斯选择“父亲权威的守护者”作为盟友，是将父亲的合法性和地位放置于首要的位置，这是其所处的伦理环境决定的。在这样的背景下，他遵循父系正义的传统，将父亲为代表的男性作为城邦至上和公共秩序的守护者，城邦母亲是真正的母亲，神圣“父亲”直接来自于神，真正的母亲被隐去。因此，在这种语境下，奥瑞斯特斯将复仇视为自然且必然

的使命，选择作为“父亲”的复仇者，是基于传统的“合法性”的必然。

然而，当奥瑞斯特斯真正面对“弑母”的境况时，作为自然血缘意义上的“父亲”和“母亲的儿子”的双重伦理身份，使他的伦理选择变得艰难。同时，克吕泰墨涅斯特拉在面临强有力的奥瑞斯特斯，戏剧性地呼吁她的儿子努力自救，“住手，我的孩子，我的儿子啊，请在这乳房前羞愧，你曾无数次在上面一边半睡半醒，一边用你的小乳牙吸出丰富的乳汁”（Cho.896-898）。克吕泰墨涅斯特拉通过回忆母亲和婴儿的爱——“乳房”，“乳汁”来劝阻奥瑞斯特斯的谋杀意图。当她逐渐以话术迷惑儿子，使之陷入迷茫并且说出“母亲”（Cho.900）一词，这是第一次，也是唯一的一次，奥瑞斯特斯在谋杀现场对克吕泰墨涅斯特拉使用“母亲”。此时，随着皮拉德斯的回应——“那么，洛克西阿斯在皮托传递的神谕以及忠诚的誓言，还怎么办呢？宁愿与众人为敌，也不可违反神谕”（Cho.901-902）。这段回应消解了克吕泰墨涅斯特拉的“道德”请求，因为神明确指出为父报仇的指示。同时，奥瑞斯特斯长期流放于外邦，克吕泰墨涅斯特拉并未抚养其成人，因而她只能作为自然意义上母亲的身份存在，奶妈是实际的抚育者，她用乳汁喂养奥瑞斯特斯，时常彻夜难眠，殚精竭虑，费尽心思揣测婴儿的心理，同时还要洗涤襁褓。<sup>1</sup>更重要的是，克吕泰墨涅斯特拉提及的“乳汁”实则反转为“梦中给蛇哺乳”，那条蛇“连同乳汁吸出了凝血”（Cho.531-533）。奥瑞斯特斯在此前早将自己视为吸出乳汁和鲜血的蛇：

我向脚下的大地和父亲的坟墓祈祷，希望这个梦能在我身上实现。看，我将解释梦境使之与现实符合。如果这条蛇和我一样有共同的出生，在我的襁褓中找到了一个温暖的家，在哺育我的乳房周围张开它的嘴，让血块和爱的乳汁混合在一起，使她在经历中恐惧地尖叫——那么，你可以看到，她孕育了这个可怕的预兆，所以她注定死于暴力。我变成了蛇，杀了她：这是梦里说的。（Cho.540-550）

在奥瑞斯特斯的描述中，“乳房”和“蛇”联系在一起。他之所以用动物意象解释家庭的谋杀，是为了暂时淡化观众心中的血缘关系。<sup>2</sup>一切的谋杀

1 关于“袒露胸脯”可以追溯到《伊利亚特》中赫克托耳（Hector）的母亲赫卡柏（Hecuba）。当赫克托耳在城门前等待阿基琉斯时，出于对儿子的担心，赫卡柏撕开了她的长袍，发出了她的呼吁。在《奠酒人》中，克吕泰墨涅斯特拉也作为母亲向孩子呼吁。然而，二位母亲之间的呼吁截然不同，克吕泰墨涅斯特拉和奥瑞斯特斯之间是充满敌意的，他刚刚杀死了她的情人，现在正计划要她的命。尽管这两个场景非常相似，但二者动机却大不相同。参见 K. O'Neill, "Aeschylus, Homer, and the Serpent at the Breast," *Phoenix* 3/4 (1998): 217-218.

2 参见 K. O'Neill, "Aeschylus, Homer, and the Serpent at the Breast," *Phoenix* 3/4 (1998): 219-220.



都成了自然界中物竞天择的规律，以此淡化其“弑母”行为的不道德性。奥瑞斯特斯借用巧妙的隐喻意象，将原本基于血缘的自然母子关系淡化和颠覆，以此促成“弑母”的合理性。至此，在伦理选择中，奥瑞斯特斯的身份完成彻底的转变，成为父系权威的继承者，进一步强化了男性在城邦生活中的地位和身份，从而加剧了“厌女症”生成的进程。然而，奥瑞斯特斯的“弑母”在某种程度上又违反了广泛女性群体的利益。于是，作为母亲的嗜血代言人——复仇女神将继续追踪奥瑞斯特斯。于是，观众将期待的目光投向第三部——《和善女神》，在这里，男性与女性、公共与家庭、新与旧之间的诸多问题正在通过理性解决。

### 三、雅典娜的裁决：基于男性联盟的政治性劝解

在《奠酒人》的结尾，奥瑞斯特斯已经被“愤怒的猎狗”包围，这里的“猎狗”正是复仇女神，即埃里倪斯们（Erinyes）。她们的母亲是“黑夜女神”（Eum.321），这充分体现了其与母亲角色的关系和本身单性生殖的特质，从而与三部曲中更广泛的性别冲突主题产生联系。作为原告一方的复仇女神质问奥瑞斯特斯的罪责，再次重申同一血缘的弑母罪必须得到严惩。作为被告方保护者的阿波罗在反驳过程中添加了新的例证：

并不是所谓的“母亲”生育孩子，她只不过是新生胚胎的抚育者，父亲是生育者。女性保护后代的安全，代表主人与宾客，神明不伤害她们。我会给你们有力的证据证明这一点。父亲可以在没有母亲的情况下生育，你身边的奥林匹斯神宙斯的女儿便是例证。她甚至没有在黑暗的子宫中长大，没有女神能够生育这样的后代。（Eum.658-666）

阿波罗将母亲的主要功能划分为保护和养育，并非“生育孩子”，力图排除女性的生理功能，进而限制其政治权利。阿波罗认为只有在合法的男性家庭成员身上实施暴力时，才应该受到严厉的惩罚。阿波罗通过列举雅典娜“没有在黑暗的子宫中长大”的特例，极大削弱甚至否定母亲权力。也就是说，阿波罗同时在生物遗传与神话层面否认母亲，宣称“丈夫-国王-男性”比“妻子-女王-女性”更重要。逻各斯与神话互相作用形成“联盟”，于是男与女、新与旧以及世俗与神圣等诸多议题在此汇集。通过雅典娜的诞生神话，新神拥护的正义体系下的神权在新的胚胎学中重述。<sup>1</sup>

于是，论争的中心风暴来到了雅典娜的前面。雅典娜作为雌雄同体的形象，出生于宙斯的头颅之中，是宙斯理智的化身。于是，她直言“并非这世上哪个母亲生育了我”（Eum.736），“我完全属于父亲”（Eum.738）。宙

1 参见 Froma I. Zeitlin, “The Dynamics of Misogyny: Myth and Mythmaking in the Oresteia,” *Arethusa* 11(1978): 168-169.

斯作为阿特瑞斯的盟友讨伐帕里斯，雅典娜也将延续“父亲与父亲”的友爱关系，在裁决中站在奥瑞斯特斯一方。她将自己的一票投给了奥瑞斯特斯，并建立了以男性为中心的战神山法庭机构。雅典娜之所以作出基于男性身份的伦理选择，是因为她认为理性应该属于男性，女性是“暴力且不公正”的一方。她代表着“人头”，代表一种新的伦理意识，“人性因子即伦理意识，主要由人头体现，其表现形式为理性意志。人头是人类从野蛮时代向文明进化过程中进行生物性选择的结果。人头出现的意义虽然首先是人体外形上的生物性改变，但更重要的意义是象征伦理意识的出现”（聂珍钊，《文学伦理学批评导论》38）。显然，在埃斯库罗斯的剧作中，由雅典娜代表的理性意识指向男性中心。

然而，一切并未就此结束。在奥瑞斯特斯被法庭宣告无罪并离开后，被此结果激怒的复仇女神威胁通过“喷吐毒汁”、使“万物荒芜”和“抛洒瘟疫”的形式向雅典人发泄。复仇女神的泄恨正是报复性仇杀的延续，雅典娜在此承担了严峻的挑战。于是，她充分发挥“劝解”<sup>1</sup>的力量，运用抚慰甜美的话语，在感情上试图平息复仇女神的怒火，借助宙斯权威与雷霆，在行为上震慑复仇女神的狂吼。同时声称复仇女神将持续作为恐惧的力量，在法律无法发挥作用的地方，继续惩戒僭越者。除此之外，雅典娜还将为复仇女神提供一处在战神山附近住处，享受公民的献祭与荣誉，以此明确规定女性活动的“正确”领域——即排斥于城邦公共政治生活之外的忠实的妻子、孩子合法的母亲和受人尊敬的城邦仪式的参与者。<sup>2</sup>于是，复仇女神实现了功能的转变，即从惩戒家族罪犯的埃里倪斯转而被雅典娜安抚，成为崇敬女神<sup>3</sup>，永恒居住于雅典城邦。

从整体过程层面看，《奥瑞斯特忒亚》中血亲仇杀问题的解决，是原始循环复仇中的“兽性因子”转化为理性的“人性因子”的体现。同时，“人性

1 “πειθω”之所以作为解决冲突的良药在于其神圣力量来自于佩托（Peitho）女神，在古希腊文学中，她在早期常作为情色诱惑的女神存在，而后发展为更普遍性的政治性“劝解”（political persuasion），作为围绕城邦生活构成的法律、政治与艺术的源泉。参见 Lain Entralgo, *The Therapy of the Word in Classical Antiquity*, New Haven: Yale, 1970, 64-71.

2 参见 Edith Hall, *Greek Tragedy: Suffering under the Sun*, New York: Oxford UP, 2010, 227.

3 伊迪丝·霍尔指出，埃斯库罗斯可能在这里结合了两种类型的古代女神，即埃里倪斯与“崇敬女神”（Semnai Theai）。雅典人可能长期以来一直崇拜在卫城的一个山洞里的“崇敬女神”（Semnai Theai），她们的主要功能是促进生育，并确保大地的果实的生长与畜牧的旺盛。在《和善女神》中，埃里倪斯们经过转化形成后变成“崇敬女神”，两类女神实现了功能的结合。一些古代资料指出，雅典娜将驯服的埃里倪斯改名为“和善女神”（Eumenides, The Kindly Ones），这个词没有出现在戏剧中，这部剧最初可能被命名为埃里倪斯，但后面呈现为“和善女神”。因此，一些学者长期以来一直认为，在进行这种改名的文本中，一定有一行文字已经遗失。经过学者的考察，该掉落的字行可能出现在雅典娜派出自己的游行队伍，将埃里倪斯们安置在新的洞穴住所（1021-1031）中时的演讲。参见 Edith Hall, *Greek Tragedy: Suffering under the Sun*, New York: Oxford UP, 2010, 74-75+224.



因子转化成理性意志在人身上发生作用，是引导人做人的道德力量”（聂珍钊，“文学伦理学批评：人类文明三阶段论” 8）。也就是说，通过复仇女神职能的变化，埃斯库罗斯引导公民从“以牙还牙”的个人复仇到城邦裁决的理性审判的转变，同时隐含男性在公共空间的主导地位。

在《奥瑞斯忒亚》前两部中，女性与男性在紧张的对立中，重复着谋杀复仇的循环模式，阿伽门农的家族俨然是巨大的混乱场。直到最后一部《和善女神》，埃斯库罗斯设计了一条解决冲突与争端的和平之路，即法律裁决。在“雌雄同体”的雅典娜的裁决中，以宙斯神圣正义维护下的法庭机构正式形成，城邦法律作为神圣律法的显现永恒地保障公民的友爱共同体生活。然而，值得注意的是，实际上，三联剧并未实现真正的和谐。因为法庭的裁决建立在压抑女性地位和提高男性权利的不平等之上。复仇女神放弃了她们的一些权利，复仇的职能变得微乎其微。男性以理性为手段掌握着共同体的决定权，女性则降为仪式辅助功能。这种转变暗示着古希腊公元前5世纪城邦中的性别伦理，即男性通常在公共生活中占据主导地位，而女性则被限制在私人领域。

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# 重返1960年代：“夏伊洛公园”和“退修会”中的婚姻伦理反思

## Back to 1960s: Reflections on Marital Ethics in “Shiloh” and “The Retreat”

曾玉玲 (Zeng Yuling)

**内容摘要：**美国当代小说家鲍比·安·梅森在其短篇小说集《夏伊洛公园》中试图通过描写美国南方乡村婚姻生活，探究美国当代婚姻危机与1960年代思想运动的关联。本文选取该小说集中的关键篇目“夏伊洛公园”和“退修会”，从文学伦理学批评的视角论证夫妻间矛盾的根源并非来自生活方式的差异，而是婚姻观念冲突，即：以爱为本的当代婚姻观念与以责任为本的传统婚姻伦理之间的冲突。反文化运动和女权运动在一定程度上解构了美国传统婚姻伦理，但在建构新型婚姻伦理方面存在不足和片面之处。

**关键词：**“夏伊洛公园”；“退修会”；鲍比·安·梅森；反文化运动；婚姻伦理

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**Title:** Back to 1960s: Reflections on Marital Ethics in “Shiloh” and “The Retreat”

**Abstract:** In short story collection *Shiloh and Other Stories*, contemporary American novelist Bobbie Ann Mason attempts to explore the close connection between the contemporary marital crisis and the ideological movement of the 1960s through the portrayal of marital life in the rural South of the United States. Taking the key stories “Shiloh” and “The Retreat,” this paper will argue that the root cause of the conflict between husband and wife does not arise from the difference of life style, but the conflict of marital concepts, that is, the conflict between the contemporary concept of marriage based on love and the traditional marital ethics based on responsibility from the perspective of Ethical Literary Criticism. To some extent, the counterculture and feminist movements have deconstructed the traditional marital ethics in the United States, but are insufficient and one-sided in constructing a new type of marriage ethics.

**Keywords:** “Shiloh”; “The Retreat”; Bobbie Ann Mason; countercultural movement;

marital ethics

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鲍比·安·梅森 (Bobbie Ann Mason) 的短篇小说集《夏伊洛公园》 (*Shiloh and Other Stories*, 1982) 讲述了20世纪80年代美国现代化进程中南方乡下的家庭婚姻生活。其关键篇目“夏伊洛公园” (“Shiloh”) 和“退修会” (“The Retreat”) 中的两对夫妻双双陷入中年婚姻危机: 丈夫们对妻子尝试新的生活方式和塑造全新女性身份的行为感到困惑, 加之经济压力和情感问题, 夫妻之间的分歧逐渐加剧, 使得本就不稳固的婚姻关系摇摇欲坠, 接近破裂边缘。梅森将这些故事命名为“夏伊洛公园”颇有深意。作为历史文化遗址, 夏伊洛公园不仅可以理解为丈夫和妻子在生活方式和价值观念上的冲突, 还可以理解为以爱为本的当代婚姻观念与以责任为本的传统婚姻伦理之间的矛盾。现存研究多从文体写作视角展开, 致力于解读小说的极简主义风格和开放式结尾, 仅有少数文章探讨其人物的性别身份和主体性问题, 但对其中隐含的婚姻伦理及其历史渊源讨论较少。不难发现, 梅森对当代肯塔基州小镇生活的描写受到成长过程中各类文化运动的影响<sup>1</sup>, 因此, “夏伊洛公园”和“退修会”中两对夫妻面临的婚姻问题或与反文化运动和第二波女性主义浪潮相关。本文借助文学伦理学批评“伦理身份”等相关概念, 探讨两对夫妻在1980年代陷入婚姻困境的原因, 解析反文化运动对当代美国婚姻伦理的影响, 并由此反思1960年代各类思想运动在伦理重构过程中的偏颇与不足。

### 一、20世纪80年代: 举步维艰的婚姻困境

“夏伊洛公园”中的夫妻常年分居, 如今的朝夕相处揭露并激化了两人之间潜在的分歧与矛盾。丈夫勒罗伊是卡车司机, 妻子诺玛是化妆品店店员。勒罗伊和诺玛自结婚以来长期租房, 缺乏物质基础。特别是, 勒罗伊因事故居家休养, 更是加重了经济负担。勒罗伊本想借休养陪伴妻子, 增加夫妻情感交流, 以弥补由丈夫角色长期缺位带来的情感危机, 但诺玛对此并未表现出喜悦。更加令勒罗伊感到困惑的是, 诺玛除了在化妆品店上班, 工作之余还参加创意写作班, 并每日专注于健身和尝试新的食物烹饪方式。这些新的生活方式令勒罗伊感到自己从未真正了解过对方。与此同时, 勒罗伊的行为在诺玛看来也令人费解。勒罗伊失业在家, 却整日沉迷手工、十字绣、搭积木等消遣活动。诺玛对此十分不满, 几度劝说他去找一些无需久站

<sup>1</sup> 参见 Joanna Price, *Understanding Bobbie Ann Mason*, South Carolina: University of South Carolina Press, 2000, 1。凡未特殊注明, 引文均出自笔者译。

的工作，但勒罗伊并未给予回应。长期的经济压力和孩子早夭早已动摇了二人的婚姻基础，而如今二人整日处于同一空间，相异的生活方式更是加剧了情感的疏离，威胁着本就不稳定的婚姻。

他们的婚姻危机不仅源于经济压力和相异的生活方式，更源于性别角色的颠覆。勒罗伊的休养实际上颠覆了家庭里的性别角色。他沉迷于手工制作、搭积木等传统意义上偏女性化的休闲活动，这导致他从一个在外挣钱的“大男子”形象转变成闲来无事的“被供养”的形象。反观诺玛，她致力于练习肱二头肌，呈现出具有力量感的强壮形象，工作之余还注重自我提升，试图塑造现代独立女性身份。性别角色的颠覆不仅给二人的交流设置了意识障碍，还阻隔了彼此沟通的欲望。格雷格·本特利（Greg Bentley）对此指出：“勒罗伊的伤口是一种心理症状，是他在家庭结构中被阉割的外化和表现，也是他在象征秩序中被阉割的心理表现”（144）。因此，诺玛的力量练习只会无限放大勒罗伊身体上的残疾，加剧心理上的自卑情结，进而导致勒罗伊交流上的无力感。当这种负面情绪投射到婚姻中时，双方会放大生活中的不满和矛盾。由此看来，这对夫妻面临的主要问题在于缺乏稳固的经济基础和情感纽带，二人的婚姻基础建立在年轻时残留的激情和多年的习惯之上。然而随着激情的消退，两人既难以回避婚姻中的现实问题，又无法找到内心的平静，导致他们在婚姻中无法获得幸福感，徘徊在离婚的边缘。

“退修会”中的夫妻同样难以从婚姻中获得幸福感，他们的婚姻危机与身份认同的缺失相关。“所有伦理问题的产生往往都同伦理身份相关”（聂珍钊，《文学伦理学批评导论》263）。乔治安婚姻困境源于社会身份的错位。一方面，家庭主妇的身份在婚姻里无法得到丈夫的理解和认同；另一方面，由于没有工作，她在社会中难以确立个人身份，处于一种“无根”的迷失状态。丈夫谢尔比是一名牧师，连带着乔治安不得不参与教堂事务，担负起牧师夫人的角色。乔治安的生活围绕着教堂和家庭，几乎没有个人时光可以享受。但遗憾的是，乔治安的无私奉献并没有得到丈夫的回应和认同，这导致她很难获得个人的成就感和自我价值。更糟糕的是，她唯一渴求的情感需求恰恰是谢尔比所欠缺的。谢尔比是一个有计划且注重细节的人，处理事务主要依据事情的必要性，但这种理性的处理方式在亲密关系中反而适得其反。因此，二人总是争吵，婚姻关系一度濒临破裂的边缘。

他们面临的问题不同于因性别角色颠覆而引发的危机，而是由传统的“男主外、女主内”的性别分工所导致的婚姻困境。自20世纪中期以来，已婚女性的就业率不断攀升，女性逐渐成为劳动力的主力军。在这种社会背景下，乔治安不仅不能外出工作，还必须扮演好全职主妇的角色，依靠丈夫微薄的薪水维持家庭开销。乔治安难免感到自我身份的迷失，再加上她对家庭的付出并没有得到丈夫的理解和支持，由此乔治安对这段婚姻逐渐失望，试图逃离婚姻。小说中贯穿前后的“鸡螨”隐喻了二人的婚姻危机。谢尔比认为是鸡出了



问题；乔治安认为是人的问题，如同二人的婚姻，本质是彼此的沟通出现了问题。面对这个不可回避的危机，乔治安起初不忍杀掉病鸡，多次尝试解决问题无果后，在小说结尾乔治安冷静地处理了病鸡，“当斧头盲目地撞向鸡的颈项时，除了觉得完成了一项义务，乔治安什么感觉都没有”（186）<sup>1</sup>。在这一刻，乔治安重新找回了对生活的主导权。

“夏伊洛公园”和“退修会”中的两对夫妻难以体会到婚姻的幸福感，妻子想要寻求新的生活方式，却无法得到丈夫的理解，而丈夫的生活理念也遭到妻子的不满，最终导致情感的疏离。格伦（Glenn）的一项研究结果“表明在20世纪70年代至80年代中期，对自己的婚姻‘非常满意’的比例显著下降”（转引自Amato 2）。梅森的作品也反映了这一社会问题，即当代婚姻的艰难状态和困境。保拉·盖兰特·卡德（Paula Gallant Eckard）对此指出，“梅森笔下的人物应对着恶毒而无情的变化。他们陷入了传统乡村社会让位于大众文化的动荡之中，他们的生活被不幸的婚姻、离婚、桀骜不驯的孩子、失业、疾病和衰老所困扰。他们的家庭和社区关系往往很脆弱，无法提供持久的连续性和稳定性”（90）。在不断激变的社会语境中，外部的社会结构和内部的家庭关系都处于嬗变之中，夫妻关系便是其中之一。

两对夫妻的婚姻处于举步维艰的状态，生活方式和婚姻观念的分歧成为冲突的导火索。夫妻之间没有关怀与激情，更多的是生活的麻木与隐忍。两段婚姻都呈现出焦灼的生活状态，平淡的婚姻表面下隐藏着彼此的不满与逃避。随着现代化进程的加快，婚姻状况相较于过去出现了不确定性。传统婚恋已不能很好地应对不断变化的现实社会需求和经济、文化发展。婚姻自古以来被看作一种社会制度，起到维持社会稳定、赋予人生角色的作用，但到了20世纪80年代，婚姻的稳定性逐年下降，婚姻中夫妻的幸福感也呈下降趋势，婚姻里的性别角色与社会历史语境的错位导致夫妻陷入婚姻困境。

## 二、夏伊洛之隐喻：婚姻理念的对抗

两个短篇讲述了夫妻面临的婚姻危机，这与书名《夏伊洛公园》的隐喻有所关联。作为历史文化遗址，夏伊洛公园有多重解读。桑德拉·安·桑德斯（Sandra Ann Sanders）认为它代表夫妻双方出现分歧，象征婚姻中的一方想要离开<sup>2</sup>；劳里·钱皮恩（Laurie Champion）认为它代表对身份和个人独立斗争的担忧<sup>3</sup>。在美国历史中，夏伊洛公园是南北战争时期夏伊洛和科林斯的

1 本文有关《夏伊洛公园》的引文均来自 博比·安·梅森，《夏伊洛公园》，汤伟、方玉译（重庆：重庆大学出版社，2013年）。以下引文仅标注页码，不再一一说明。

2 参见 Sandra Ann Sanders, “A Less Perfect Union: Bobbie Ann Mason’s ‘Shiloh’ and ‘The Retreat,’” *The Macksey Journal* 99 (2022): 2.

3 参见 Laurie Champion, “Bobbi Ann Mason’s (Open-Ended) Marriages,” *The Midwest Quarterly* 1 (2001): 95.



战场，夏伊洛战役<sup>1</sup>曾在此地发生。夏伊洛战役是美国内战中最为惨烈的一场战斗，伤亡人数震惊了全国。<sup>2</sup>大约有 20000 人在夏伊洛被杀或受伤，而早先的主要战役加起来只有 12000 人”（McPherson 413）。夏伊洛战役作为内战中的关键战役，具有独特的意义，现已成为一个历史遗址公园。这个地方被称为“夏伊洛”是因为该地区有一座小型的原木教堂。“Shiloh”是希伯来语，意思是“和平的地方”。<sup>3</sup>讽刺的是，在这个和平的地方却发生了如此激烈的战争，梅森将这本短篇小说集命名为“夏伊洛公园”自然也含有此意。家庭和婚姻本应充满爱与和平，可在这平静的表面下，冲突与矛盾却暗流涌动。梅森借“夏伊洛”表明故事中的夫妻关系已进入到对峙最严重的地步，妻子与丈夫之间的冲突难以调和，婚姻处于举步维艰的状态。

夏伊洛战役除隐喻紧张的夫妻关系之外，还指向导致夫妻发生对抗的历史现实因素。夏伊洛战役是美国南北战争中的代表性战役，而美国内战爆发的原因在于南北制度的冲突与对立：“随着美国社会经济的发展，南北两种制度之间矛盾的加深，以北部资产阶级为代表的和以南部奴隶主为代表的两派政治势力之间的斗争也白热化”（王孝询 35）。南北战争的爆发，源于底层经济制度和上层政治因素的冲突，双方迥异的价值观导致内战的爆发。在一百年后的肯塔基州，新的“内战”也正在酝酿之中，不过这场内战发生在家庭内部，是丈夫和妻子家庭观念的冲突。这两对夫妻所面临的婚姻问题看似是生活方式的差异，实则是婚姻伦理观念的冲突。

两位丈夫对婚姻的认知与妻子发生了偏离，双方对婚姻的内涵持有不同看法。谈及婚姻，人们更多地将其与责任、繁衍、家族等联系在一起，“在多数历史时期中，假如人们根据像爱情这样脆弱又不理智的事物来选择他们的伴侣，将所有的性欲、亲密欲和成全他人的欲望都寄托在随之产生的婚姻之中，这种行为是不可思议的”（斯蒂芬妮·孔茨 3）。但是这种传统的婚姻观念在20世纪60年代开始发生转变，人们不再仅仅为了责任成婚，而开始追求以爱为本的婚姻，更加注重婚姻中的情感需求和身份认同。小说中的两位妻子便是为爱成婚的代言人，当初因年少激情成婚，如今诺玛和乔治安难以从婚姻中获得认同感，便萌生出结束婚姻的念头。诺玛在夏伊洛公园野餐时向勒罗伊提出“我要离开你”（18）时，此处的语气不是商量，而是通知，这表明诺玛已下定决心离开这段煎熬的婚姻。诺玛选择通知的地点也极具象征意味，夏伊洛公墓埋葬着战役中阵亡的士兵们，这个代表死亡的地点给诺玛提供了力量，因为死亡既代表着结束也象征着新生。对于诺玛而言，婚姻关系的结束代表全新的生活方式和女性身份的开始。同理，当乔治

1 夏伊洛战役又被称作匹兹堡登陆。

2 参见 David J. Eicher, *The Longest Night: A Military History of the Civil War*, E-book, New York: Simon & Schuster, 2001, chapter 8, paragraph 27.

3 参见 David J. Eicher, *The Longest Night: A Military History of the Civil War*, E-book, New York: Simon & Schuster, 2001, chapter 8, paragraph 8.

安被家庭事务磨灭生活的激情时，游戏机带给了她前所未有的新鲜感和生机感。在生活中，谢尔比“忙着参加讲座，忙着上课，乔治安在这些讲座和课程之间进进出出，好像在拜访别人的梦境”（182）。乔治安从未有过自己的生活，之前她赚钱供谢尔比上大学，如今又全职辅佐教堂事务，生活的缺失和丈夫的冷漠压得乔治安喘不过气。因此，当谢尔比提出他们不得不再次搬去另一个教区时，乔治安坚定地拒绝了谢尔比的请求。

当两对夫妻濒临婚姻危机时，妻子均选择结束婚姻，这不仅是她们个人的伦理选择<sup>1</sup>，也是20世纪80年代婚姻观念的体现。“与过去相比，婚姻已成为成人生活中更自愿、更不长久的一部分”（Amato 1）。自中世纪至20世纪80年代，婚姻伦理已发展出了不同的形态：一方面，婚姻模式从传统的包办婚姻过渡到如今的为爱成婚；另一方面，人们对婚姻的期盼以及婚姻所扮演的角色都发生了改变。“在绝大部分历史中，婚姻首先并不是为了个人需要、男女之欲何后代繁衍。婚姻既与寻找终身伴侣、养育心爱的子女有关，也与获得优秀的姻亲、增加家庭的劳动力有关”（斯蒂芬妮·孔茨 VII）。直到18世纪后期自由恋爱的出现，人们开始寻求婚姻中的私人需求，逐渐认同婚姻最根本的基石是爱情。许多夫妻开始从政治经济的联姻中脱离出来，建立起以爱情为基础的婚姻关系。但审视婚姻的历史可以发现，婚姻的约束力与稳定性却大不如从前。斯蒂芬妮·孔茨指出，“在接下来的150年里，社会努力在两种目标中取得平衡：一种是在婚姻中找到幸福，另一种是当婚姻不能满足人们对爱情的期望时，保留那些防止人们逃离婚姻的束缚”（VII），而这两种冲突正是这两对夫妻陷入困境的深层原因。

夏伊洛战役隐喻的婚姻伦理冲突便是以责任为本的传统婚姻伦理和以爱为本的当代婚姻伦理之间的矛盾。当婚姻从一种社会制度逐渐演变为浪漫爱情的私人缔结关系时，它所要求的责任感和约束力也愈发式微。两对夫妻以离婚结尾意味着婚姻伦理出现了新变化，传统的婚姻伦理要求夫妻双方以家庭为重，责任高于情感。而当代婚姻伦理以爱为本，当个人需求无法得到满足时，结束婚姻关系便成了解决婚姻困境的新出路。

### 三、重返1960：婚姻伦理的重构与反思

“夏伊洛公园”和“退修会”中的两对夫妻纷纷陷入困境，最终都以离婚收尾，他们的婚姻结局可谓构成了美国当代的婚姻现状。从传统的婚姻伦理过渡到当代的婚姻形式是一个漫长的历史过程，而其中关键的转折点便是20世纪60年代。正如文学伦理学批评要求在特定的伦理环境中分析和批评文学作品，对文学的解读和阐释不能脱离当下的伦理环境和伦理语境，否则

1 有关“伦理选择”，参见 Nie Zhenzhe, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 385-386; 聂珍钊：“人文研究的科学转向”，《文学跨学科研究》4（2022）：565等。

就会造成文学判断的伦理悖论。<sup>1</sup>为了更好的剖析他们面临的伦理困境，我们需要从历史层面上来考察他们的情况。这两对夫妻出生于20世纪40年代。“一个人20岁时形成的信念会终身留在他的世界观里”（麦隆·马格尼特 16），他们在成长的过程中，正好遇到了60年代各种前卫的文化和思想潮流，如反文化运动和女性解放等运动。各类运动的目标和宗旨不同，但共通之处是挑战传统的伦理观念。托德·吉特林（Todd Gitlin）描述到“这代人是在富裕的假设和其对立面，即贫困、毁灭和失败的恐惧之间的极度紧张和令人心痛的氛围中成长起来的”（12）。这种心理状态令他们渴望逃离父辈的约束和传统文化的牵绊，造就了他们叛逆和追求新兴事物的作风。

《退修会》中的乔治安决定嫁给谢尔比仅仅是因为他从商店偷了几箱可乐和一块火腿，她便被他的魅力所吸引。仔细审视这种魅力可知，吸引乔治安的并不是偷窃行为，而是行为背后所散发的叛逆和痞气。这正好与当时风靡的反叛遥相呼应，尤其是看到谢尔比阴沉的表情，乔治安便联想到詹姆士·迪恩式的沉思<sup>2</sup>。联系那个时期的美国社会现实，“在六十年代，生育高峰代宣告他们尤可动摇的立场，与‘体制’对立。他们摒弃物质主义和贪婪，拒绝麦卡锡时代的纪律和划一，并且开始建立一个以个人自由为基础的新世界”（约瑟夫·希斯 安德鲁·波特 8）。在那个年代，叛逆不是一种扰乱社会秩序的怪异行为，而是席卷整个青年群体的伦理风暴，他们追求特立独行和标新立异，所以乔治安才会被谢尔比所吸引。尤其当她得知谢尔比立志成为一名牧师时，“她被他的赎罪感和跟随主的召唤的决心深深打动，那时她就知道自己会嫁给他”（169）。谢尔比的赎罪感和宗教信仰并不与反文化运动冲突，因为“美国人笃信宗教是从殖民地时代就开始的，一直到现在，不论是世界观还是价值观，美国人的思维都与宗教息息相关。美国文化是一种宗教文化，基督宗教信仰是美国文化的主流”（董小川 77）。所以，在风云变幻的六十年代，谢尔比从不良少年转向牧师的决心和不畏世俗的勇气更是彰显了其特立独行的精神，乔治安便被其浪漫幻想所吸引，满怀激情地踏进了婚姻的殿堂。但婚姻并不仅仅是浪漫的情怀，“在现代国家，婚姻家庭不仅是一种文化象征，还是一种社会和法律制度”（王丽琼 105），起到维护社会稳定、传承道德文化的作用。正是乔治安对婚姻的期待与婚姻的社会功能之间的内在冲突导致二人在婚姻中陷入了伦理困境。

除了责任与浪漫的内在矛盾，传统的婚姻性别角色与当代女性意识觉醒之间的冲突也是构成婚姻困境的主要因素。伦理困境是“由于伦理混乱而给人物带来的难以解决的矛盾与冲突”（聂珍钊，《文学伦理学批评导论》

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

2 詹姆士是当时美国著名的电影演员，他的电影形象代表了同时代“垮掉的一代”青年的反叛和浪漫。

258)。20世纪60年代的年轻一代对老一辈的传统伦理发起了挑战，婚姻伦理便是其中之一。战后的美国经历了50年代的繁荣，人们的重心逐渐转移到家庭生活中，开始重新审视婚姻及亲密关系，“其中一些态度及行为上的变化，源自战后世界的日益繁荣，以及人们的价值观‘从生存到自我表达’的转变”（斯蒂芬妮·孔茨 299）。这是一个关键转折点，意味着婚姻从社会功能走向个人事务，人们更加追求婚姻中的个人需求和自我表达。

第二次女性主义思潮的发展更是推动了女性意识的觉醒，女性开始重新审视自我在婚姻中的身份。“伦理身份是道德行为及道德规范的前提，并对道德行为主体产生约束，有时甚至是强制性约束”（聂珍钊，《文学伦理学批评导论》264）。传统婚姻对两性关系中的男女的责任和义务提出了不同的要求，如“男主外，女主内”的性别分工，而女性主义思潮的发展逐渐动摇了传统的婚姻模式，妻子们纷纷渴望建构一个符合当代观念的独立女性身份，进而造成传统的性别角色与女性主义思潮倡导的独立女性之间的错位，导致婚姻陷入困境。当勒罗伊沉迷于十字绣、搭积木等不切实际的爱好时，诺玛的母亲认为“那是女人家做的事情”（7），诺玛也对他说“女人情愿要一个闯荡的男人”（18）。这里可以看出，诺玛和她的母亲对于婚姻里的性别角色认识仍是传统的认识，但诺玛又受到女性主义思潮的影响，所以当诺玛提出离开时，勒罗伊反问“是不是和妇女解放有点关系？”（19）诺玛一方面急于构建独立的女性身份，但同时又无法调和独立女性与婚姻义务的冲突，由此陷入困境。这并不是她个人的原因，而是社会在各类新兴思潮涌现时不可避免的伦理混乱所导致的。

20世纪60年代的各类思潮影响了当时美国的大部分群体，这些运动虽然在60年代末逐渐式微，但其深远影响力持续到了80年代，逐渐改变了美国人的婚姻观念。《美国人的内心世界》曾报道发现，在1957-1976年间，“美国人对拒绝把婚姻作为一种生活方式来接受的人的宽容程度增加了”（罗伯特·N·贝拉等 165）。到70年代末，结婚已不是强制性的选择，婚姻成为一个更加自由的个性化选择，这种全新的社会氛围给予了人们更多的选择空间。在这样的时代背景下，离婚已不再是难以启齿的事情，诺玛和乔治安选择离开丈夫也是顺应了时代潮流，而让离婚成为可能是婚姻法的变迁和更正。“美国20世纪下半叶的离婚法改革和婚姻家庭的宪法实践，就在很大程度上促生了美国的婚姻家庭危机”（王丽琼 105）。这场改革始于各州的无过错离婚法改革，到20世纪80年代中期，美国所有州均通过了无过错离婚法<sup>1</sup>。自此，美国离婚率一路飙升，结婚人数逐年减少。

“这场始于1969年的离婚法改革改变了美国婚姻家庭的本质，使婚姻在美国由‘承载着重要公共利益的制度’转变为‘规制两性关系的私人契

1 在1969年前，离婚法规定只有在夫妻一方有通奸、刑事犯罪、疾病等具体过错时才可申请离婚。但1969年后，加州开始通过了无过错离婚法，即只要夫妻双方自愿，便可离婚。



约’ ”（王丽琼 105-106）。这一转变让婚姻成为两个独立灵魂的自愿结合，也让亲密关系中的伴侣更加注重精神契合度和情感价值。在这种“去制度化婚姻”的大背景下，一旦婚姻中缺乏情感沟通或无法提供情感价值时，夫妻双方便徘徊在责任与个人需求的两难选择中，处于一种身份失衡的拉扯状态。诺玛和乔治安正是受到社会思潮的影响，最终选择离开婚姻。

《夏伊洛公园》中的两对夫妻所面临的问题不仅是中年婚姻危机，更是传统婚姻伦理与当代婚姻伦理的冲突。反文化运动和第二波女性主义浪潮所带来的深远伦理变革催生了人们婚姻观念的转变。作为伦理革命的见证者，梅森以敏锐的笔触审视了当代婚姻的新形式和新问题。一方面，它给人们带来了自由与解放，摆脱了传统的文化等级制；另一方面，它在煽动人们摆脱桎梏的同时，并没有给出新的伦理标准，导致人们陷入伦理混乱之中。通过刻画80年代的婚姻状况，梅森对1960年代的伦理重构运动进行了批判性的反思，展现出了她在思考两性关系和个人幸福等问题上的深刻性。

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