

比较文学经典导读

胡继华 编著

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编者前言

比较文学与世界文学是北京第二外国语学院中国语言文学一级学科第一个授权硕士学科。从 2007 年开始培养比较文学研究生至今,承担这个学科建设的跨文化研究院已经培养了 5 届近 70 名硕士研究生。用什么样的材料来组织研究生教学,以便让这个专业的学生开卷有益?而且更重要的是,如何体现比较文学学科的跨语言跨文化特色,并适应全球化视野下博雅教育回归的趋向?在研究生培养和学术研究中,我们自然遭遇这么一些具有普遍性的学科难题。比较文学学科设想和教学规划,自然必须以"多语制度" (polyglottism)和"通识教育"(education in general)为前提。然而,从学科草创的 19 世纪以来,比较文学以及世界文学的对象、方法、视角方面的持续不确定性引起的困惑却有增无减,理论和实践中的难题亦层出不穷。全球化语境下后殖民主义潮流、后现代主义思想方法以及文化研究对学科疆界的空前拓展,对比较文学和世界文学的挑战更是前所难比。

这些问题仍然只是一些抽象的普遍问题。仁者见仁智者见智,难以定于一尊,囿于一见。在外国语学院从事比较文学的教育和研究,当务之急自然是充分利用外语资源,体现文化差异,拓展学科视野,从而志在培养国际性新型复合型人才。比较文学和世界文学学科虽属学术型学科,可这些学生毕业后却只有极少数人进一步在国内外深造,和毕生从事学术研究。如何把学术性与普及性结合起来,把学科的深度融于通识的广度,体现出外语学院国际研究中的学科特色?即便是学术型研究生,能让他们静心阅读经典的时间算来也不过两年半。由本科升至研究生,要三个月转换角色;就业形势越来越严峻,他们四处求职也需要半年。留给他们读书的时间已经很十分微寡,这是我们不得不考虑的现实问题。

鉴于学科发展的普遍难题和我们在教学中遇到的现实问题,我们只能做"减

法"。具体说来,在比较文学教学中,我们首先减去高深理论,将基本理论融汇到文本分析的实践中;其次减去学科历史,通过具体的个案粗线条呈现学科的发展轨迹;最后不忍地减去古典学术基础部分,侧重体现学科发展的当今态势。区区一个学期十八周的教学,实在容不下比较文学的丰富驳杂、幽意远旨,无奈只能选取十五篇堪称经典的论文,让学生对20世纪60年代至当今的比较文学之发展轮廓有一个大致的了解,对其中每个阶段上所表现的视野与方法有一种全景观照,对其中那些代表性理论家的观点及文本分析有一种比较深刻的体察。

本册收编论文可粗略划分为四组:

第一组含五篇论文,展示了学科含义。第一篇和第二篇关涉比较文学的过去和现在:一篇为韦勒克所撰,他在 20 世纪 50 年代末 60 年代初论说比较文学的危机及其出路;一篇为苏源熙在 2003 年为美国比较文学协会撰写的学科标准报告,论说比较文学在全球化语境下的境遇,及其超越单极性而向多极性发展的趋势,研究方法从文学形式主义向文化政治的位移。通过这两篇跨越半个多世纪的文章,学生对比较文学的历史与现状当有所把握。另外三篇论文,集中论述"世界文学"概念的历史及其内涵。丹洛诗将"世界文学"描述为一种阅读方式和跨文化经典流通的方式,特别强调"世界文学"生成于民族语境之中,世界主义与民族主义之间的张力构成了其不朽的生命力。莫莱蒂依据"现代世界体系"对世界文学做出了诸种猜想,提出世界文学乃是整体而不平等世界体系扩散的产物,西方形式与地方素材彼此涵濡导致了地方格调的出现。阿普特以 1933 年欧洲流亡者在伊斯坦布尔的文化实践为个案,在理论上认同比较研究的"世界主义",从"全球翻译"的角度论说了"全球人文主义"。特别值得一提的是,阿普特强调,比较文学乃是流亡欧洲人在背井离乡的境遇下的一项灿烂"发明"。

第二组含三篇论文,简略展示了三种具有代表性的理论结构。归岸将"诗学"视为一个历时性与共时性经纬交错的系统,特别强调文学体裁在历史中的动态发展,以及文学阐释系统的历史性。孟而康论述了文类学作为比较研究的基本视角以及原创诗学研究的基本原则。霍刚的文学通则论在后现代思潮和后殖民主义的挑战中重构普遍规律,应用"科学研究纲领",提出蕴涵通则论及其理论结构,为文学认知和形态学研究开拓了空间。

第三组含五篇论文,集中表现比较文学研究处理文本的方法。奥尔巴赫《摹仿论》第一章堪称比较研究的典范。在希腊和希伯来传统下,作者对荷马史诗与《圣经·旧约》展开了文体、格调、风格、历史含义方面的多层次比较,即今读来亦感到此等比较眼光具有深厚的历史穿透力。尧斯从接受美学角度,运用问答逻辑,对《约伯记》的神圣正义问题以及歌德、尼采、海德格尔的回答进行了历史的分析,为比较研究开辟了从影响研究到接受研究转向的通途。文化史家戈斯

曼在文化融合的视野下重新解读英国批评家阿诺德的文本,重建了德国古典人文主义模式与反犹太主义的关联,体现了比较文学研究向文化研究的转向。尚冠文在论文中让欧里庇得斯、列维纳斯和策兰跨越 2000 年时间展开对话,展示了战争与认知暴力之间的隐秘关系,结论却指向了对文学与伦理的深邃意义。保罗·德·曼青年时代的一篇论文在济慈与荷尔德林之间建立了平行比较的可能性,而聚焦于二位浪漫抒情诗人的基本主题和诗学情调,特别强调诗学与民族身份之间的关系。

第四组含两篇论文,略微呈现中国诗学和中国视野。梅亚伟的文章在中国自然诗歌和英国浪漫主义之间展开了平行比较,他尤其突出了中、英诗学在价值上的差别,而不只是罗列二者的表面类似。张隆溪则历史地分析了西方人的中国形象,对"他者"("非我")展开了哲学思考,在方法论上主张破除"非我的神话",在跨文化解释之中将他者作为真正的他者来同情地理解。

本书编撰得益于跨文化研究院选修"比较文学原理"课程的所有研究生,他们睿智的思考和活跃的发言,给予编者惊喜和启发。而他们积极参与,一心向学,给予编者自信和希望。他们其中有的人也已经供职于高校,从事比较文学、文学理论的教学科研,其中有的人在自己的工作岗位上为国家和社会做出了重大贡献。学缘无价,师生缘深,学缘不逊血缘,在出版这本教材的时候,我必须对他们深表谢意。

二外研究生处将"比较文学原理"列入研究生质量提升计划优质课程建设项目,并予以经费支持,在此深表感谢。跨文化研究院各位同仁的支持和帮助,二外图书馆提供的资源和阅读便利,乃是本书顺利编撰的稳靠泰山,在此深表感谢。跨文化研究院研究生吕雯、张玲、王欣伊、何金梅、黄兰花、张超凡、师心跃、李治佳同学承担了相当繁重的英文录入与校对工作,这让编者再一次体会到铭心刻骨的师生情缘,同学们任劳任怨,一丝不苟,让我感动不已,感激不尽。北京师范大学出版社慷慨接纳拙编,马佩林等为出版本书做了大量的工作,从文字编辑到错误校正,令本书增色不少,特此衷心致谢。

由于编撰者视野有限,学力不足,编撰过程中问题肯定不少,在此祈求方家 时贤不吝赐教,并感谢各位的关注。

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Comparative Literature Today

Rene Wellek

At the Second Congress of the International Comparative Literature Association held at Chapel Hill in September 1958, I gave a paper, "The Crisis of Comparative Literature," which excited a lot of comment, much of it dissenting. ① It was of course designed to elicit such comment. We must imagine the situation and the circumstances. The International Association of Comparative Literature had been founded in 1954. It had held its first Congress late in September 1955 at Venice, with no American participants, since the lateness of the season prevented Americans from coming and since the topic of the Congress, "Venice in Literature" (though not devoid of American association if we think of Howells, Henry James, and even Hemingway) had no American takers. Thus the Chapel Hill Congress was the first occasion at which American comparatists were, officially, able to meet their European colleagues.

Through the generosity of the Ford Foundation and the initiative of Werner Friederich, no less than 43 scholars from Europe made the trip to North Carolina. I am not giving away secrets if I say today that several of us teachers of comparative literature in American universities were, at first, unhappy about the planned composition of the Congress. The visitors were to be largely those who had played a role in the organizing of the International Association and its functionaries; those originally invited to represent the United States were the few American members of the International Association or those who had some office in the Comparative Literature Section of the Modern Language Association. It was, I think, an act of great wisdom and tolerance when the organizer of the Congress, Werner Friederich, changed the original scheme and allowed it to become not only a forum of the specialists expressly committed to the cause

① The present paper is the text of an address delivered at the second triennial meeting of the American Comparative Literature Association at Cambridge, Mass. on Apr. 9, 1965.

of comparative literature but also of a wide variety of literary scholars who had one common purpose—the study of literature beyond the confines of one national literature. It was thus appropriate that somebody should question the assumptions of the methodology which led to the original narrowing in scope and personnel and that I should be the person—since I had for years criticized this methodology in various contexts long before the founding of the International Association.

One of my critics quite correctly observed that my objections to the accepted methodology of comparative literature—an artificial demarcation of subject matter, a mechanistic concept of sources and influences, motivation by cultural nationalism—had its beginning in Europe in the 1920s. While a student at the University of Prague during that decade, I reacted strongly against the positivistic factualism of some of my teachers and one dominant tradition of scholarship. In my paper, "The Crisis of Comparative Literature," I refer, in the very first paragraph, to Croce in Italy and Dilthey and his followers in Germany. I came to this country for the first time in 1927, to the Princeton Graduate School, where I found the same discontent become vocal in the neo-humanist movement. I paid a few visits to Paul Elmer More who lent me books by the Cambridge Platonists (I still remember Nathaniel Calderwell's Candle of the Lord) and I read the writings of his friend and ally, Irving Babbitt. Babbitt's Literature and the American College dates from 1908 and still remains one of the most powerful blasts against nineteenth-century erudition, which Babbitt then identified with pernicious German pedantry. He predicted that "comparative literature will prove one of the most trifling of subjects unless studied in strict subordination to humane standards" (p. 124). That Harry Levin has been named Irving Babbitt Professor of Comparative Literature is not only a tribute to Irving Babbitt but also a guarantee of a continuity of humane standards at Harvard, even though he might interpret the word "humane" differently from Babbitt's special meaning. The right meaning of "humanism" was the issue at Chapel Hill and is still the issue in comparative literature today.

After my return to Prague in 1930 I was, for a time, a member of the Prague Linguistic Circle and thus came into contact with the teachings of the Russian formalists. Roman Jakobson, now a professor at Harvard University, then in Prague, was a witty and pungent critic of the expansive and muddled methodology of academic literary history, of its desire to become fused and con-

fused with the totality of cultural history, and of its lack of focus on a separate subject matter—the literary work of art. When I went to England in 1935 I had some contacts with F. R. Leavis and the *Scrutiny* group who, from different premises, voiced their dissatisfaction with academic scholarship very loudly indeed. When I emigrated to this country in 1939 to join the University of Iowa English Department, I found Norman Foerster, a staunch adherent of the new humanism, as director of the School of Letters, and Austin Warren as a colleague. Austin Warren had been a pupil of Irving Babbitt and had known Paul Elmer More in Princeton, but had since moved to a position rather similar to that of T. S. Eliot and the New Critics.

The conflict between literary history and criticism was very acute and even bitter at Iowa. I still remember vividly how I and Austin Warren met a highly respected member of the department, a good historical scholar, and tried to suggest to him that, in writing about Milton and the English essay in the seventeenth century, he had also written some criticism. He turned red in his face and told us that it was the worst insult anybody ever had given him. I was, by conviction and in the academic constellation of the place and time, classed as a critic and I collaborated, under Norman Foerster's editorship, in a volume, Literary Scholarship, published in 1941 by the University of North Carolina Press, to which I contributed the chapter on "Literary History," which in many ways was a reworking of a much older piece, "The Theory of Literary History" written in 1935 for the Travaux du Cercle Linguistique de Prague. Mr. Warren and myself were somewhat is—satisfied with the volume. We felt that we sailed under false colors. We could not endorse the neo-humanistic creed of the editor, though we shared most of his objections to current academic practices and enjoyed teaching the humanities courses which he devised. Homer, the Bible, Greek tragedy, Shakespeare, and Milton were taught to freshmen and sophomores in compulsory courses long before the present vogue of far-ranging world literature courses. I myself taught a course in the European novel, which started with Stendhal and Balzac and reached Proust and Mann via Dostoevsky and Tolstoy, but I don't remember that I called it "comparative literature."

Eventually Mr. Warren and I collaborated in *Theory of Literature*, a book which was written in 1944—1946 but for various reasons was not published until January 1949. The last chapter, which first appeared as "The Study of Literature in the Graduate School: Diagnosis and Prescription" in the *Sewanee Re-*

view (October 1947), reflects the situation at the end of the war and suggests specific reforms for the study of literature in our universities—among them was the establishment of departments of comparative literature which should become, we said, "Departments of General and International Literature, or simply Literature." We hoped that the Department of Comparative Literature might "become the center for the reform which should, however, be carried out primarily within the departments of English and the other Modern Languages, the reform which, briefly, demands a Ph. D. in literature rather than in English, French, or German Philology" (p. 297).

We were not alone. The New Critics had made the greatest practical impact on the college teaching of literature, particularly with the textbook, Understanding Poetry (1938), by Cleanth Brooks and Robert Penn Warren, which had begun to catch on in the early 1940s. In Chicago Ronald S. Crane had, since 1935 at least, advocated and institutionalized the study of criticism and its history. In 1939 the English Institute, expressly devoted to an examination of the methods of literary study, had met for the first time in New York. While also concerned with problems of bibliography and editing, the English Institute soon became a forum for the discussion of critical and aesthetic issues. In spite of its name and its original limitation to English scholars, the Institute has had a series of sessions devoted to French and German criticism. As early as 1940 the Southern Review and the Kenyon Review published a symposium on "Literature and the Professors," to which some of the best known New Critics, J. C. Ransom, Allen Tate, and Cleanth Brooks, as well as Harry Levin, contributed trenchant criticisms and the most varied suggestions for a reform of the academic study of literature. Change was in the air and a profound change was actually effected, not overnight and not in all institutions uniformly, but gradually almost everywhere. Present-day students seem completely unable to realize the situation of the early decades of the century in most English departments. Criticism was taboo, contemporary and even American literature was not taught at all, foreign literatures were largely ignored, texts were studied only as philological documents-in short, nineteenth-century positivism reigned unchallenged and supreme.

I have reviewed these developments and my share in them not because I want to indulge in autobiographical reminiscences, but because my personal story reflects the history of literary scholarship in these decades, the whole "revolt

against Positivism" which I described in my first public lecture at Yale in February 1946—Croce and German Geistesgeschichte, the Russian formalists, American neo-humanism and T. S. Eliot, F. R. Leavis and the New Critics. Thus, when Mr. Friederich, in the first Yearbook of Comparative and General Literature (1952) reprinted Jean-Marie Carré's brief introduction to M.-F. Guyard's little handbook, La Litérature comparée (1951), I felt it as a challenge to all that had been achieved in this country. Carré, the first president of the International Comparative Literature Association, here restates, in the narrowest terms, the old concept of literary study and of comparative literature in particular; comparative literature is a branch of literary history concerned with the "factual contacts" (rapports de fait) between the works, the inspirations and even the lives of writers belonging to several literatures. Carré, in this preface at least, expressly excludes "general literature" from our subject and condemns all comparisons which are not justified by concrete historical contacts as mere rhetorical exercises. I severely criticized the preface and the little book by Guyard in the next Yearbook (1953), though I recognized the modest pretensions of a handbook for students and its dependence on a similar earlier booklet by Paul Van Tieghem (1931). Still, it seemed to me a dangerous symptom of the survival of an obsolete methodology and its restrictive legislation. The paper at the 1958 Congress at Chapel Hill merely restated my objections in the presence of the European visitors. It was, regrettably to my mind, understood as a manifesto of an American school of comparative literature and as an attack on the French school, though it was obviously not directed against a nation but against a method. I was and am aware that in France also similar criticisms of academic scholarship had been voiced for many years. One need only think of the attacks against Lanson and la critique universitaire before World War I. I know that there are many critics and historians in France who have struck out boldly in many directions opposed to the positivistic factualism advocated by Carré. I am also aware that many American scholars are not in agreement with my point of view, and I have never arrogated for myself the role of spokesman for American scholarship in general. Myself a European by birth, I do not relish being put into the odd position of appearing anti-French or even vaguely anti-European.

I have learned from Harry Levin that Mirabeau is the author of the aphorism that an audience of foreigners constitutes "a living posterity." I can make only melancholy reflections about posterity from the amount of misunderstand-

ing and distortion this polemical paper had to suffer abroad. It was apparently interpreted as a manifesto of American hostility to scholarship, since, after I gave an erudite historical paper on the word "criticism" at the Utrecht Congress in 1961, I was congratulated for being less ignorant and less a defender of ignorance than I had seemed at Chapel Hill. Marcel Bataillon, in a conciliatory review of the Chapel Hill Proceedings, entitled "Nouvelle Jeunesse de la philologie à Chapel Hill" (in RCL, XXXV, 1961, 290-298) while admitting the justice of some criticisms against the established theories, misunderstood my position as being inimical to all literary history and deplored the fact that Renato Poggioli, Claudio Guillén, and myself, though Europeans by birth, had ceased to be interested in the relations between the rival European nations which the old cosmopolitanism tried to revive after the war. Bataillon regretted the passing of such a "cosmopolitanism, suspect of bourgeois idealism by a pseudo-Marxist philosophy of history, or convicted of historic vanity by triumphant structuralism" (p. 296). It was my mistake not to have sufficiently guarded in the Chapel Hill speech against such misapprehensions and to have assumed that it would be known that I had defended literary history, for instance in the last chapter of Theory of Literature, against the antihistorical tendencies of the New Critics and that I had for years advocated a proper interplay between a study of national literatures, their common tendencies, the totality of the Western tradition—which for me always includes the Slavic world—and the ultimate ideal of a comparative study of all literatures, including those of the Farthest East.

Far stranger misreadings were made in Russia, where "comparative literature" was simply a forbidden subject under Stalin. With the Thaw its necessity was again recognized and there was a conference in Moscow in January 1960 which formally rehabilitated the subject. (Cf. Vzaimosvyazi i vzaimodeistvie natsionalnykh literatur. Akademiya Nauk SSSR, Moscow, 1961). The Russians pride themselves on having solved all questions on the basis of Marxism, and the speakers at that conference discussed us all as poor erring sheep who have not discovered the light of truth. Friederich, who as the organizer of the Chapel Hill Congress assumes in their eyes the role of a "leader," gets a heavy dose of abuse for supposedly making the Congress a "political enterprise" (p. 106), apparently because Gleb Struve gave a well-informed account of the situation in the Soviet Union. My paper is quoted when it seems to serve as a weap-

on in the polemics against all Western scholarship, but I am severely taken to task for two sins, formalism and cosmopolitanism. In all the papers it is assumed that I have never heard of the historical and social implications of literature, that I uphold an abstract formalism, and that my objections to nationalistic literary history mean advocating the abolishment of national literatures in favor of a colorless super literature which would serve the aims of American imperialism. I am accustomed to the rigidity of Communist ideology but am often surprised at their complete lack of perspective and understanding of personalities and institutional conditions in this country. They assume that there is, e. g., an Institute of Comparative Literature at North Carolina, that at Yale I plot moves in the cultural cold war, assigning topics and coordinating efforts with my accomplices. Deep designs are seen in the gaps or the chance constellations of papers at the Chapel Hill Congress or in the journal Coml parative Literature. Even the fact that my paper on "The Crisis of Comparative Literature" was translated into German by Sigurd Burckhardt and published in a West German periodical, Wirkendes Wort, seems to J. S. Pavlova most ominous (p. 298). There would be no point in trying to explain to them that we operate quite differently, that Sigurd Burckhardt, whom I did not then know personally, happened to be struck by my paper and felt like translating it.

In 1960 in Moscow the Russians were among themselves. The three papers on comparative literature in the West by R. M. Samarin, I. G. Neupokoeva, and N. S. Pavlova were wholesale condemnations of all that we were doing. In October 1962 there was another congress at Budapest on comparative literature in Eastern Europe, which was attended by W. P. Smit, the then president of the International Association of Comparative Literature, by Etiemble, the successor of Carré at the Sorbonne, and by three other Western members of the association (Mortier, Rousset, and Voisine). Madame Neupokoeva repeated there her attack on my paper, accusing me of wanting to "denationalize" literature and linking me and American comparative literature with the reactionary philosophy of history of Arnold Toynbee, apparently only because E. R. Curtius had professed admiration for Toynbee (I never have). Luckily some of the other participants knew better and tried to correct the Russians: Etiemble, e. g., distanced himself from the view of Guyard and Carré and protested that we are not all adherents of Toynbee. A Polish woman scholar, Maria Janion, saw that I never advocated "denationalization" or rejected all history, and an East