



美国浪漫主义文学中 个人主义思想研究

The Study on American Individualism Reflected in American Romantic Literature

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前 言

自 20 世纪晚期以来，西方国家的文学批评理论通过国内学者的翻译、介绍逐渐在国内的外国文学研究领域风行起来。随着哲学和政治学对文学批评理论的巨大影响以及学者对受各种派别（如新自由主义、社群主义、功利主义和共和主义）不断深入研究，国内学者开始关注西方文学中个人主义思想研究。个人主义思想伴随着美国文学的发展历史，但是，我国学者对于美国浪漫主义文学中个人主义思想研究还缺少细致深入的研究。基于此，我们于 2008 年申请了辽宁省社会科学规划基金项目“美国浪漫主义文学中个人主义思想研究”，并成功获批（项目号：L08DWW017）。本书为该项目的最终研究成果。

本书选题视角新颖，突破了以往的研究范畴，拓宽了研究领域。将个人主义置于文学思想的研究之中，其意义主要在于：第一，个人主义本身是一个涵盖各个社会领域和人文科学中复杂的理论问题，因而需要系统化地深层次的理论研究；个人主义属于政治范畴而非文学范畴，个人主义研究将突破原有的思维定势和学术范式，为文学研究开创独立的空间领域，推进整个文学，尤其是外国文学的研究。第二，在世界日趋一体化的今天，我们不仅要正确对待和理解自己的民族文化，还要正确对待和理解域外文化。透过美国浪漫主义文学研究个人主义，探究人与社会的关系，为我国的政治民主制度建设和国民道德水平建设提供借鉴。第三，正确认识西方个人主义在历史上的积极作用。个人主义贯穿整个美国浪漫主义时期，产生于清教主义、超验主义的个人主义思想对于美国人民价值观和思想道德的形成具有积极的意义。吸收美国个人主义价值观中对我们有用的、合理的成份是我国文学参预全球化发展轨道的途径之一。

从该成果的研究的视域上看，本书抓住个人主义在美国浪漫主义文

学中的思想史考察和个人主义对于美国浪漫主义文学作品的影响两个主要方面，以超验主义为核心，论及美国浪漫主义时期文学中的个人主义思想。成果集中于爱默生、梭罗、惠特曼、霍桑、麦尔维尔、库珀等几位作家及其主要作品中所表现出的个人主义思想。这些作家及其作品的选择在这一选题研究中具有一定程度的代表性。该成果在研究内容上主要体现在：第一，个人主义在美国浪漫主义文学中的思想史考察。美国浪漫主义文学时期正是个人主义发展的最重要的时期。美国浪漫主义文学初期既有模仿性，又有独立性，个人主义的形成源于欧洲的各种思潮。爱默生的超验主义的出现使个人主义在美国达到高潮，从精神层面上提升了美国人民的自信心。本课题首先梳理了影响个人主义的各种思潮，并从这些思潮中发现问题的实质，进一步探析美国浪漫主义文学中个人主义研究的主要问题以及探索了还应该包含的亟待解决的问题。第二，个人主义对于美国浪漫主义文学作品的影响。美国个人主义的形成是一个渐进的过程。美国浪漫主义时期正是美国从殖民地走向独立，从“母国”特色走向“美国化”的过程。在这个过程中，文学作品见证了个人主义形成的整个过程，并受到个人主义的影响，尤其是在超验主义的影响，一大批美国本土作家登上文坛，从而出现了“美国化”的美国文学作品。但个人主义对于美国浪漫主义时期美国文学品的影响所折射出的价值观的是非曲直是一个需要研究和解决的问题。第三，美国浪漫主义文学中个人主义对于我国文学研究的启示。相对于个人主义，地处东方的古老的中国更加崇尚集体主义。这一研究成果对于破除将“个人主义”等同于利己主义的狭隘认识具有重要意义。通过挖掘美国浪漫主义文学中个人主义内涵，有利于我们重新审视西方“个人主义”的积极影响，为我国的文学研究提供理论指南。

在研究方法上，本书从交叉学科研究的方法出发，以历史唯物主义和辩证唯物主义的观点出发，将哲学和政治学引入该选题的研究之中，因而该成果具有很强的说服力，所得出的结论具有很大程度的可信度。

该成果的创新意义主要体现在：对西方文学作品中的个人主义进行理论研究目前在该领域研究中具有开拓性意义。自 20 世纪晚期以来，西方国家的文学批评理论通过国内学者的翻译、介绍逐渐引入我国内的外

国文学研究领域，其中，哲学和政治学对文学批评的影响巨大，受各种派别（如新自由主义、社群主义、功利主义和共和主义）的影响，国内学者开始高度关注美国浪漫主义文学作品中个人主义研究，但是，对于个人主义问题还缺少比较深入的研究。此外，国内学术界在相当时间内把个人主义研究置于哲学和文化范畴的研究模式内而限制了美国文学中个人主义道德研究的推进和扩展。因此，该成果具有填补这一领域研究空白的作用。

围绕此项课题，我们进行了艰苦细致的研究工作。本书的出版，除了本课题组成员付出了大量心血，还得到了大连民族学院科技处和外国语言文化学院有关领导的大力支持。大连民族学院外国语言文化学院王维波教授，吉林大学博士生导师胡铁生教授和上海交通大学索宇环教授对本著作提出了宝贵修改意见，新西兰专家 Jeremy S. Cooper 对全书进行了细致的校对和润色，在这里表示衷心的感谢！

限于知识、经验和时间，错误和偏颇在所难免，恳请专家和读者不吝指正。

著者

2010年3月

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Chapter I

Introduction

Today, the world is becoming more and more integrated. The soft cultural strength is gradually becoming an important standard to weigh a country's power. With China's constant construction and development in reform and the opening-up over the past 30 years, while making brilliant achievements in economic construction, we also have made noted achievements in cultural construction. Domestic scholars are beginning to notice that it is not enough to only output economic products. We need to further build up the influence of traditional culture of our country upon the world. Therefore, we need to not only adopt a correct attitude towards understanding our own national culture but also the overseas cultures. The USA, being the biggest nation to export its culture to the globe, has always been one of the target cultural nations who have been paid attention by the foreign literature research circles in China. The initial American literature of the American Independence Period was just in the Romantic Period. It was at that time that the individualistic thoughts and values were formed in the USA. With the appearance of Transcendentalism represented by Emerson, American individualistic thoughts and values were progressively developed into the strongest forte influencing each field of the American people. This indicated that the USA not only got rid of the mother country — Britain — from the political system and got physical independence, but also made real independence in a cultural respect. "Transcendentalist Movement was the continuity of American Independence. It is only with the appearance of Transcendentalism that the USA has really finished independent revolutionary completely."¹ Therefore, references will be offered for the institutional improvement for the political democracy in China by studying American Individualism through American Romantic Literature and to probe into the relationship between people and society.

¹ Zhang Zhigang. Transcendentalism: the Declaration of American Spiritual Independence. *The Journal of Dalian Nationalities University*, 2004(4), p44

1. The Current Study of American Individualism

Over the past 20 years, the study on American Individualism has gradually become the hot issue in the research field of world literature. The research results, especially on American Transcendentalism and the formation of American Individualism, are comparatively abundant. In 1931, American scholar Dewey published "*Individualism Old and New*", indicating the enormous change that had happened in the theme of American Individualism studies. It also indicated that new individualism was becoming the strongest forte in American contemporary philosophical and ideological trends. Affected by this kind of ideological trend, it became popular to study American Individualism in American literary works. A large number of literary critics began to pay close attention to the individualism issue in the western literary works and tried to put forward criticism of the individualism theory. In the research field of American literature, the romantic literary works received much concern, mainly because American Individualism and its values are closely related with Transcendentalism. The overseas study of American Individualism and the rich fruits are shown thoroughly in the dispute of relevant individualism.

The dispute abroad was issued around Emerson as the core. First, It was disputed inside the issue about individualism, conducted mainly by Emerson, Thoreau, Whitman and Melville; Secondly, in the 1920's and 1930's, New Individualism, initially represented by W. Wale, H. Croly and J. Dewey, were the most favorable critics of this new trend. After the 1990's, the school of British new individualism was formed by the Green believers that consisted mainly of Oxford Professors, scholars and alumnus. Finally, New Individualists represented by D. Reich, L. Boswell, L. Hobhouse, J. Hobson and E. Barker and the Conservative Individualists represented by Hayek had pushed into the response of the dispute of individualism which lasted nearly one hundred years.

The theoretical works closely related to individualism which emerged in this dispute are as follow: Emerson's *The American Scholar*, *Nature*, *Transcendentalism*, Thoreau's *Walden*, *Civil Disobedience*, Dewey's *Individualism Old and New*, *Liberalism and Social Action*, Hobhouse's *Liberalism*, Hayek's *The Road to Serfdom*, *Law, Legislation and Liberty*, etc.. There are a vast number of academic papers on western individualism. They are extremely abundant.

To compare with the abundant research abroad, the domestic research about American Individualism is relatively weak. On the one hand, the research of American Literature in China is relatively late; on the other hand, the research mode of American Individualism is regarded as a philosophical and cultural category which has limited the promotion and development of studying American Individualism in American Literature. In the 1980's, the foreign literary circles of China began to introduce American Individualism into American Romantic Period Literature in some teaching materials, mainly introducing the formation and influence of Transcendentalism on American Individualism. In *A Survey of American Literature* by Chang Yaixin from Nankai University and Liu Haiping and Wang Shouren's *New American Literary History*, Emerson's life, thought and his main works are introduced and commented on with 12 and 16 pages respectively. Since 1995, the works to translate and introduce Emerson have been published every year in China, focusing mainly on his prose and the collections of his lectures. The publications in recent years are mostly the Chinese-English editions. They have parallel texts: *The Selected Essays by Emerson* (Chinese-English Edition) by Huang Libo were published by Shanxi People's Press in 2005, *The Selected Works by Emerson* (Chinese-English Edition) were published by Tianjin Educational Publishing House in 2004. These publications have undoubtedly offered the reliable platform for studying Emerson. However, this kind of translation and research work often categorizes American Individualism into the scope of philosophy and culture. As for American

Literature, especially for American Individualism in the American Romantic Period, there are no essential break-throughs. Thus, there are no outstanding research results.

In 1979, The National American Literature Research Association was established. Shandong University undertook The First American Literature Academic Conference in Yantai. From then on, more and more scholars began to pay close attention to American literature and throw themselves into the research of this field. At present, more and more works about American Individualism are being translated into Chinese. A large number of domestic universities are opening courses of American Literature. The American literary circles of China are beginning to pay much more attention to the research on American Individualism in Romantic Period Literature. In recent years, this kind of trend is more obvious. There are more and more research achievements about American Individualism. The numbers of Doctorate dissertations for the relevant theme of American Individualism keep increasing. In the past ten years, there have been 41 theses and dissertations for MA and PH. Ds to deal with American Individualism in the American Romantic Period (as CNKI is counted), among which 5 are Doctorate dissertations. However, behind the seeming academic prosperity, there is a lack of deep thinking for the questions and further investigation of the theory. Domestic research still remains only at the stage of translating, introducing, explaining and putting materials in order. Therefore, the research of American Individualism in the American Romantic Period Literature will promote the study of American literature, especially the research about American Individualism in American literary works.

2. Research Contents

Through the study of American Individualism in the American Romantic Period Literature in China, we find that there are still some blind

areas needing to be studied.

The first blind area lies in the theoretical history of American Individualism in the American Romantic Period Literature. The American Romantic Period was the exact period when American Individualism was developed significantly. In this period, American literature was both imitative and independent. American Individualism was formed and evolved from various ideological trends of Europe. The appearance of Emerson's Transcendentalism made American individualism a climax in the USA, having promoted American people's self-confidence from a spiritual aspect. It is of great significance to study the various kinds of ideological trends of individualism, to find out the essence from these trends, to analyze the major problems of American Individualism in the American Romantic Period Literature and to explore the problems which need to be solved urgently.

The second blind area is the influence of American Individualism on the American Romantic Period literary works. The forming of American Individualism was a progressive course. The Romantic Period was exactly the course that the USA needed in order to move the independence from the colony towards the "Americanized" course from the "Mother Country's" characteristics. In this course, the literary works had witnessed the whole course that individualism formed. The literary works were influenced by American Individualism, especially by Transcendentalism. A large number of native writers of the USA mounted the literary world, thus the "Americanized literary works" appeared. Nevertheless, the merits and demerits which influenced American literary works reflected in American Individualism in the American Romantic Period Literature is a problem which needs studying and solving.

The third point lies in the inspiration of American Individualism in the American Romantic Period Literature to the literature study in China. To compare with individualism, China, located in the East with a long history, favors collectivism more. For a long time, we have equated "individualism"

with “egoism”, understanding the connotation of individualism in a different way. Through excavating the connotations of American Individualism in the American Romantic Period Literature, we are trying hard to examine the positive impact of American Individualism closely again. Guidance is offered to the theory of studying socialist literature in China.

3. The Significance of the Study

Since late in the 20th century, through the translation and introduction by scholars in China, the literary theories of western countries came to prevail gradually in the field foreign literature studies in China. Among them, philosophy and political science are of great influence on literary criticism. Influenced by various groups (such as new liberalism, utilitarianism and republicanism), some scholars in China began to pay great attention to American Individualism in the American Romantic Period Literature. However, there still lacks deeper research into American Individualism. The study of this subject is of great theoretical and practical significance.

First, the American Individualism theory itself has extremely important meanings. 1) American Individualism itself is a complex theoretical issue that contains both the social field and human sciences, needing profound systematic theoretical research. 2) American Individualism belongs to the political but not literary category. The study of American Individualism will break through the long existing way of thinking and research of normal forms, opening the independent study field for literature, promoting the whole literature study, especially the study of foreign literature.

Second, today, the world is becoming more and more integrated, so we should not only adopt a correct attitude towards understanding our own national culture, but also overseas cultures. To study American Individualism in the American Romantic Period Literature and to probe into the relationship between man and society will offer the reference for improving