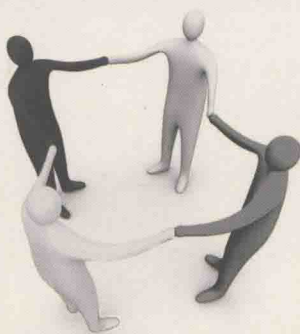


崔波 / 著

# 双声性对话和 双合种族意识



——对《他们眼望上苍》隐喻表述的研究

**Double-Voiced Dialogue and Dual Racial Consciousness:**  
**The Metaphorical Representation of *Their Eyes Were Watching God***

本书根据巴赫金“对话主义”理论、小亨利·路易斯·盖茨“言说者文本”理论并结合合作者对其种族观的表述，对美国黑人女作家左拉·尼尔·赫斯顿的长篇小说《他们眼望上苍》的叙事结构和叙事话语特点做了详细分析。通过论证，本书认为《他们眼望上苍》的框架叙事结构及人物话语与叙事者话语间的转换融合体现了一种“双声性对话”，而这种双声性对话是对作者的黑白种族观，即对黑白间平等对话的期许以及她的“双合种族意识”的一种隐喻表述。

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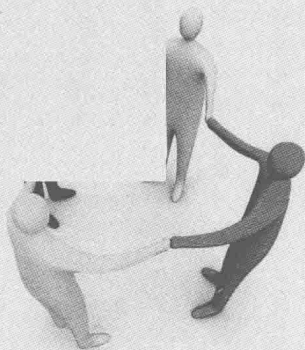
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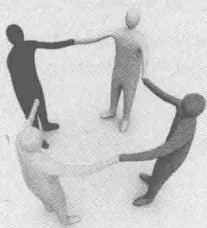
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## 序

佐拉·妮尔·赫斯顿是美国20世纪二三十年代取得巨大声誉的少数几个非裔美国女性作家之一。她的文学功底和写作水平受到了阿兰·洛克、W. E. B. 杜波伊斯等黑人文艺运动领袖的称赞。可称赞之余，批评家们对赫斯顿其人总有保留。当时不少学者认为，赫斯顿作为黑人，其种族观模糊不清，其作品并不能为黑人争取自由平等提供思想支持。到后期，有的批评家甚至认为赫斯顿讨好、取悦白人读者和出版商。这些评论渐渐成为主流，赫斯顿也因此慢慢归于沉寂。

20世纪70年代，由于爱丽丝·沃克等学者的努力，赫斯顿的“文学遗产”不断得以发掘，她对非裔美国文学乃至整个美国文学的贡献也逐渐得到认可，其作品也随之成为学界研究的焦点，而《他们眼望上苍》更受评论界的关注。国内外对《他们眼望上苍》的研究主要集中于黑人民俗表征、女主人公珍妮女性意识的觉醒、文本的叙事策略，或叙事语言特色等的探讨。虽然关于《他们眼望上苍》的研究已不算少，但崔波老师的《双声性对话和双合种族意识——对赫斯顿〈他们眼望上苍〉隐喻表述的研究》一书，以其独特的研究视角和严密的分析框架展开对《他们眼望上苍》的探讨，进一步挖掘出赫斯顿作品的深刻内涵和潜藏的寓意。从此意义上讲，《双声性对话和双合种族意识》的成书拓展了赫斯顿研究的视域，丰富了该领域研究的内涵。

《双声性对话和双合种族意识》从“文本内”和“文本外”两

方面入手，对作品思想和作者思想之间的联系做了深入分析，并做了大胆推测，提出“作品是关于作者‘双合种族意识’的一个隐喻”的结论。该书对赫斯顿研究进行了新拓展。“新”首先表现在“文本内”。该书结合文本分析，采用了较为新颖的理论视角，即巴赫金的“对话主义诗学”。在这个理论框架下，主要借用“故事体理论”和“引语修辞理论”，分析了《他们眼望上苍》中黑人口头叙述对书面叙事特权的反转，指出黑人土语以自由间接引语的方式出现，是对白人标准书面叙事话语权垄断的颠覆。根据巴赫金对话主义诗学中文学文本的语言结构和意识形态及话语权力关系的分析，作者指出，小说中的故事体框架叙事和叙事话语的转换、融合是关于黑、白两个种族平等对话、相互共融的一种隐喻。其次，《双声性对话和双合种族意识》的“新”还表现在其对“文本外”要素的挖掘。作者结合赫斯顿的成长经历、自传、正式发表的文章、言论、书信以及著名人士对赫斯顿的评论等，论证说明赫斯顿具有“黑白双合”的种族观。通过“文本内”和“文本外”的分析，并参照巴赫金“作品思想是作者思想折射”的论述，作者指出，《他们眼望上苍》所隐含的立场与赫斯顿的“双合种族意识”相符。

文学作品是一个开放的话语体系。一部作品与其作者、读者，甚至其他作品之间都可以建立对话关系，这就使不同的文本解读成为了可能。对一部作品的解读可以从不同视角入手，推导出不尽相同的结论。然而，任何解读若没有完备的分析框架和严密的论证，就只能是一种“印象式批评”。《双声性对话和双合种族意识》在搭建分析框架和进行系统论证两方面做了积极的努力，并且得出了能够自证的结论。希望该书能为同类研究提供有益借鉴，也能为对此话题感兴趣的研究者提供启示。

云南大学外国语学院 骆洪

2015年2月

## 前 言

非裔美国文学作为一种族裔文学分类，其历史可以追溯至 17 世纪初，当年，最早的一批黑人从西非被贩运至美国为奴。为了在陌生而充满歧视的社会中生存下去，黑奴除了辛苦劳作之外，还坚持用口传叙事歌谣、民间传说、圣歌等来纾解内心的压抑。18、19 世纪，随着美国社会历史的发展，美国黑人的读写能力不断提高，参与社会政治进程的意愿也不断高涨。与之相应，诗歌、散文和早期奴隶叙事等文学形式开始出现。19 世纪中后期，黑人政治家、文学家们开始创作大量的废奴主义作品、奴隶叙事及其他文学作品。在此期间，黑人小说开始出现。到了 20 世纪，随着哈莱姆文艺复兴、黑人艺术运动的开展，黑人艺术家、文学家们创作了大量的文学艺术作品。这其中不得不提的，便是佐拉·妮尔·赫斯顿的名著《他们眼望上苍》。这部作品同作者本人一样经历了由被低估、被遗忘到重获正名的过程。其被低估和遗忘的主要原因有二。第一，小说创作于哈莱姆文艺复兴时期。作品风格也顺应了该运动的主张，即以黑人独有的表达方式来表现黑人文学艺术。因此，该作品属于“赞美诗”式的小说，歌颂的是美国南方黑人田园牧歌般的生活方式和乐观积极的心态。由于 20 世纪 30 年代的美国出现经济大萧条，社会矛盾愈发尖锐。大萧条也导致哈莱姆文艺复兴运动失去了经济支撑，运动不可避免的走向衰亡。在此背景下，“赞美诗”式的小说已然满足不了黑人（特别是城市里的黑人）的各种社会政治诉求。因此，“抗议式”“社会文



献式”的文学作品开始流行,《他们眼望上苍》则受到了排挤,逐渐地被人们遗忘。第二,由于个人经历和教育背景,赫斯顿本人的种族立场颇受诟病。尤其是她“可黑可白”的种族观则被认为是一种向白人压迫者的妥协。她认为,黑白之间的矛盾看似不可调和,可黑白之间事实上是不可分割、共存共生的关系。她对黑白种族关系的定义太过超前,以致其本人连同作品被不断边缘化,终至遗忘。而赫斯顿和《他们眼望上苍》最终“重获新生”也有个中缘由。其一,作品本身的叙事模式和修辞策略符合20世纪七八十年代美国黑人文学重建主义的批评理论。该理论主张立足于本族的文化和表意模式,建立黑人文学独有的批评体系。赫斯顿作品中独特的黑人土语传统和表意模式正是黑人文学中最特异、最有价值的部分。其二,在后现代、多元文化主义的观照下,赫斯顿“可黑可白”的种族观具有前瞻性和预见性。它与八九十年代美国学界主张的反本质主义、建构主义的种族文化建构策略十分吻合。基于上述原因,赫斯顿及其作品,尤其是《他们眼望上苍》,在尘封近半个世纪后又“重见天日”,被重新视为美国黑人文学,乃至美国文学的经典之作。

《他们眼望上苍》和其作者赫斯顿之所以重获认可,是由于作品和作者的创作观蕴含了很高的文学和社会价值。正如爱丽丝·沃克所言,赫斯顿的作品表现了一种“种族健康”。基于此,本书旨在建立《他们眼望上苍》与作者创作观和种族观之间的联系,探讨作者的“种族健康”观念是如何通过作品进行表达的。具体来说,本书论证过程由三个环节组成。第一,从叙事结构和叙事话语出发对文本进行细读;第二,结合作者的自传、相关评论以及其他学者的记述,对作者的创作观和种族观进行推论,认为赫斯顿具有“双合种族意识”,即希冀黑白平等、黑白对话、“黑白双合”的种族哲学;第三,本书根据巴赫金“对话主义理论”建立起文本和作者之间的

联系,认为:首先,文本通过框架叙事结构建立的口传叙事传统与书面叙事传统之间的“双声对话关系”,其次,以黑人土语为载体的“人物话语”与以白人标准英语为载体的叙述话语间的转化、融合,及以此建立起的“双声对话关系”隐含地表述了作者的种族哲学。简言之,上述两个“对话关系”是关于赫斯顿“双合种族意识”的一种隐喻。

该书共有六个部分。第一部分介绍了赫斯顿其人及其重要作品,概括了作者和《他们眼望上苍》渐被低估和遗忘的过程。第二部分对国内外相关话题的相关研究进行了综述,提出了本书的创新之处及核心论点。第三部分梳理了巴赫金“对话主义”理论框架,探讨了巴赫金“故事体”理论与《他们眼望上苍》中框架叙事结构之间的联系,并指出框架叙事结构即故事体的一种形式,它能展示某种双声对话关系。此外,该部分还讨论了巴赫金理论体系中的引语问题,指出引语是展示双声对话关系的重要方式;最后,探讨了赫斯顿如何使用隐喻方式表达自己的双合种族观,并讨论了她使用隐喻方式的原因。第四部分是文本分析。该部分结合文本从故事体结构(框架叙事结构)和引语(叙事话语)两个角度揭示了文本中所蕴含的双声对话关系,进而指出双声对话关系就是两种价值观、文化传统及政治意识形态间交流融合的隐喻表述。第五部分是第四部分的文本外支撑。该部分对赫斯顿生平自传,及她对黑白关系、种族观的表述进行了讨论,指出文本中的双声对话关系所展现的双合种族意识可以在文本外找到印证。赫斯顿本人就是一个横跨在黑白世界交界处的桥梁。她同时受到了黑白两个话语世界的影响,她的声音是“双声”的,而她的意识则是“双合”的。只不过由于她的女性身份和种族身份,她不得不用一种间接的、隐喻的方式来表达自己的种族观。第六部分系全书的结论。



本书试图用一种较新的理论视角去探讨作者的创作观和种族立场。在此过程中，文本细读和文本分析占了很大比重，以期为本书的核心论点提供足够的支撑。

由于作者水平有限，本书的论证过程和语言表述还有不足之处，还望广大读者予以批评指正！

崔 波

2015 年 1 月

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## Part 1

### *Zora Neale Hurston and Her Works*

Zora Neale Hurston was born into an average African American family in 1891 with seven brothers and sisters. In 1894, when Hurston was three years old, she moved to Eatonville, Florida with her parents. At that time, Eatonville was one of the first all-black towns in the United States. Hurston deemed Eatonville as “home” to her as she spent childhood there. Her several novels and short stories, especially *Their Eyes Were Watching God*, are set in Eatonville. Her father John Hurston was mayor of the town just as Joe Starks, one of the main characters in *Their Eyes*, is elected mayor of “Eatonville”, a small all-black township in the novel.

Hurston depicted Eatonville in her essays and short stories as a place where black Americans could live as they wanted, free from white society. Hurston spent the rest of her childhood in Eatonville, which is believed to contribute so much to the shaping of her non-confrontational view on black-white racial relationship. Just as she describes in her 1928 essay *How It Feels to Be Colored Me*, “During this period, white people differed from colored me only in that they rose through town and never lived

there”.<sup>①</sup>Hurston's early friendly contact with white people in Eatonville may also contribute to her later optimistic and confident view on African American people in black-white issues, which is expressed as well in “How It Feels to Be Colored Me”: “But I am not tragically colored. . . I do not belong to the sobbing school of Negrohood who hold that nature somehow has given them a low-down dirty deal and whose feelings are all hurt about it.”<sup>②</sup>Hurston was one of the few black American writers who got rigorous academic training in the top notch American universities. She began undergraduate studies at Howard University, where she took courses in Spanish, English, Greek and public speaking and earned an associate's degree in 1920.<sup>③</sup>In 1925, Hurston was offered a scholarship by Columbia University, where she was the college's sole black student.<sup>④</sup>In 1928 when Hurston was 37, she received her B. A. in anthropology. While she was at Columbia University, she conducted ethnographic research with noted anthropologist Franz Boas, and continued to spend two years as a graduate student in anthropology there after she got her B. A..

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① Zora Neale Hurston, *How It Feels to Be Colored Me*, in Alice Walker (ed.), *I Love Myself When I Am Laughing. . . And Then Again When I Am Looking Mean and Impressive: A Zora Neale Hurston Reader*, The Feminist Press, 1970, p. 153.

② Ibid, p. 154.

③ Sharon L. Jones, *A Critical Companion to Zora Neale Hurston: A Literary Reference to her Life and Work*, Facts on File, 2009, p. 4.

④ William L. Andrews, Frances Smith Foster, & Trudier Harris (eds), *The Concise Oxford Companion to African American Literature*, Oxford University Press, 2001, p. 32.

After graduating from Columbia University, Hurston traveled in the Caribbean and the American South to do her anthropological research. Based on her research in the South, Hurston in 1935 wrote *Mules and Men*, an unprecedented work which documents African-American folklore. During her research in the Caribbean, say Honduras, Hurston experienced the polyethnic culture of the region, and she expressed her interest in the same respect, which is recorded in her novel *Seraph on the Suwanee*.

In 30 years or so when Hurston was active in the world of literature and art, she published four novels, two collections of folklore, a collection of short stories, an autobiography, numerous essays and journal articles, and several musical and dramatic productions. In 1921, she wrote a short story, *John Redding Goes to Sea*, which admitted her to a member of Alain Locke's literary club. Alain Locke was then the main advocate and proponent of the Harlem Renaissance in New York City. When Hurston arrived there in 1925, the Harlem Renaissance was at its peak, and she soon became one of the writers at its center. Hurston's short story "Spunk" was selected for *The New Negro*, a landmark anthology of fiction, poetry, and essays focusing on African and African-American art and literature.<sup>①</sup>

In the 1930s, Hurston published her first three novels,

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① Richard A. Long, *The New Negro*, in William L. Andrews, Frances Smith Foster, & Trudier Harris (eds), *The Concise Oxford Companion to African American Literature*, Oxford University Press, 2001, p. 78.



which are *Jonah's Gourd Vine* in 1934, *Their Eyes Were Watching God* in 1937, and *Moses, Man of the Mountain* in 1939. Her last novel was published in 1948, in which she depicts several white characters and explores the image of "white trash".

Although Hurston possessed multiple academically recognized titles such as folklorist, journalist and critic, the title of "an outstanding writer" was not fully accepted, or rather ignored, despite the fact that she was the most prolific black woman writer in America between the 1920s and 1950s.

The reasons why Hurston was once acclaimed but finally kept in oblivion, even with so many works published, are not easy to explicate. Culturally and politically, Hurston's views on how literary texts should be represented and how black-white issues should be dealt with were totally out of step with the mainstream standpoints of literati in the Harlem Renaissance.

Influenced by her ethnographic training and research, Hurston stylistically chooses African American dialect to represent dialogues between characters and narration itself in her novels. Her skillful use of idiomatic speech in novelistic texts was criticized by some of her fellow artists. They thought that Hurston's way of writing novels brings the racist minstrelsy back to life.

For instance, Richard Wright commented upon Hurston in his review of *Their Eyes Were Watching God*:

*The sensory sweep of her novel carries no theme, no message, no thought. In the main, her novel is not addressed*

*to the Negro, but to a white audience whose chauvinistic tastes she knows how to satisfy. She exploits that phase of Negro life which is "quaint," the phase which evokes a piteous smile on the lips of the "superior" race.* ①

Allain Locke, one of the most important leading roles and critics in "Harlem Renaissance", thought of Hurston's novel as aesthetically beautiful but an "oversimplified" ②, one "full of these pseudo-primitives whom the (white) reading public still loves to laugh with, weep over and envy" ③.

Other writers and critics were critical of Hurston's political stand and racial philosophy. Langston Hughes was once a fellow artist and friend of Hurston. He commented upon Hurston that,

*in her youth she was always getting scholarship and things from wealthy white people, some of whom simply paid her just to sit around and represent the Negro race for them, she did it in such a racy fashion... To many of her*

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① Richard Wright, *Between Laughter and Tears: Review of Their Eyes Were Watching God*, in *New Masses*, October 5, 1937, Quoted in Neal A. Lester, *Understanding Zora Neale Hurston's Their Eyes Were Watching God: A Student Casebook to Issues, Sources, and Historical Documents*, Greenwood Press, 1999, p. 3.

② Allain Locke, *Review of Zora Neal Hurston's Their Eyes Were Watching God*, in *Opportunity*, 1 June 1938. Quoted in Henry Louis Gates Jr. & A. K. Appiah (eds), *Zora Neale Hurston: Critical Perspectives Past and Present*, New York: Amistad, 1993, p. 18.

③ Ibid, p. 18.