



外国语言文学研究系列丛书

总主编◎高继海 杨朝军

文学理论与文学批评

Literary Theories and Literary Criticism

吕长发 胡金环◎编著



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丛 书 序

河南大学外语学院与河南大学同岁，其前身为 1912 年的河南留学欧美预备学校，迄今已有百年的办学历史。现设有英语、翻译、俄语、日语、德语、法语 6 个本科专业，拥有外国语言文学博士后科研流动站、外国语言文学一级学科博士、硕士学位授权点。河南大学外语学院的英语专业为国家级特色专业和国家级专业综合改革试点，“高级英语”为国家级精品课程，英语语言文学教学团队为国家级教学团队，外国语言文学为河南省一级重点学科。英语专业连续多年跻身全国专业排行榜 A++ 行列。

河南大学外语学院目前的在校本科生总数为 852 人，在校硕士研究生 360 余人，在校博士研究生 18 人，另有博士后进站人员 10 余人。现有教职工 106 人，其中教授 18 人，副教授 32 人，博士生导师 12 人，硕士生导师 36 人。拥有河南省高校人文社科重点研究基地（英语语言文学研究中心）、河南大学外国语言学及应用语言学、英美文学、翻译理论研究所等科研机构并主办有《外文研究》学术期刊。

一百多年来，河南大学外语学院的教职工秉承河南大学明德新民、止于至善的校训，殚智竭诚，筚路蓝缕，涌现出张今、刘炳善、吴雪莉、徐盛桓等国内知名专家学者，其关于认知语言学、莎学、语用学的研究在国内外有广泛影响，功能语言学、文体学、英汉语言对比、翻译理论、俄罗斯语言文学等方向的研究在国内居于前列。

按照十八大“科教兴国，人才强国，可持续发展”的科教战略，河南大学外语学院进一步完善了学科布局，出台了一系列的规章制度，使得学院学术研究空前繁盛，近五年来，共发表学术论文 360 多篇，出版教材和著作 50 余部；先后承担国家社科基金项目 9 项，省部级科研项目 16 项，获得省部级以上科研和教学奖励 24 项。正是在这样一种氛围中，

我们决定推出这套《外国语言文学研究系列丛书》，旨在展现河南大学外语学院的最新成果，向学界汇报我们的研究发现。

这套丛书的组织有以下两个明显的特点：

一是学科的覆盖面较为广泛，涉及文学、语言学和翻译等研究领域。文学方面有探讨文学批评原理的，如吕长发教授的著作；也有关于具体的文学理论流派的，如薛玉凤教授的创伤文学研究、孙晓青老师的印象主义研究、张玉红老师的民俗文学批评研究、张璟慧老师的现象学精神分析研究等；还有文学史料的研究成果，如李巧慧老师的《尤利西斯》出版史料研究等。涉及语言学的研究涵盖英语、汉语和俄语，均是利用当代语言学研究的最新成果对具体语言现象的分析，如杨朝军教授关于形式和功能关系的探讨、李香玲老师的认知研究、王志坚老师的俄语被动句语义研究、刘倩老师的心智哲学研究、庄会彬老师的现代汉语否定现象的句法研究等。涉及翻译的作品有侯健老师关于中国典籍翻译的方法论思考和薛凌老师关于理雅各《左传》英译的研究等。

这套丛书的另外一个特点是涉及不同的年龄阶段，可以说是老中青结合，反映了河南大学外语学院薪火相传、生生不息的学术传统，例如博士生导师吕长发教授已经是 74 岁高龄但仍然笔耕不辍，杨朝军教授和薛玉凤教授则是年富力强的中年学者，而其他作者皆为近几年涌现出来的青年才俊，他们学识渊博、风华正茂、成果丰硕，是当代外语界学者们的一个缩影。

最后想要说明的是，著作编撰难免有学术或技术上的问题，恳请各位同仁能够不吝指正。同时学院代表这套丛书的所有作者，向在背后默默付出的科学出版社的阎莉编辑和常春娥编辑表示谢忱！

总主编

2014 年 9 月于河南大学外语楼

Preface to the Revised Edition

It has been over ten years since the book was first published. We have learnt that there are English departments of colleges and foreign languages schools of universities which use the book as a textbook for their students, and some students told us that they found the book helpful when they wrote their graduation theses and research papers. Hearing this, we feel our work greatly rewarded.

We have improved the book, making some corrections and clarifications and adding some subheadings to chapters and sections so that they could be better organized.

We are deeply indebted to Professor Niu Baoyi, Dean, and Professor Yang Chaojun, Vice-Dean of Foreign Languages School of Henan University for their help in the revision and publication of the book.

The Compilers

Kaifeng

January, 2015

Preface to the First Edition

It had long been our wish to compile a book concerning literary theories and literary criticism as we observed how our students needed literary theories to guide them and methods for them to make use of in writing their graduation theses and research papers on literature. But when we set about the work we found it must be a bulky volume that can cover the rich and varied content of literature. We had to confine ourselves to certain aspects of it, and therefore what this book offers is but some elementary knowledge of literary theories and literary criticism. It introduces to the students who are studying literature in English at colleges and universities and the other English learners who are interested in literature, in the simplest possible way, the value of literature, its nature, views and opinions on the essence and function of literature, and the ways we approach literary works. Included in the book as samples of literary approaches are some research papers we wrote ourselves and essays by some critics selected from English journals so that the students and the learners may have articles on different subjects and of different styles for reference when they write their own theses.

We tried to apply the Marxist stand, viewpoint and method to our discussion of the value and nature of literature, but it was just an attempt, and we know much work remains to be done in this respect.

We are learners of literature ourselves. The knowledge contained in this book is that which we have acquired in our study of literature, including the information we collected, the ideas and opinions we

borrowed from a number of books. We are indebted to the authors, compilers and editors whose works we have consulted.

Acknowledgements must also be made to Professor Zhang Jin and Professor Qin Yingjun, who spent time going over the manuscript of the book and gave us valuable advice and suggestions on the improvement of it. We are thankful, too, to our colleagues who have given us help in many ways.

The Compilers

Kaifeng

October, 1998

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PART ONE THE VALUE OF LITERATURE

As one of human creations, literature is a reflection of life and a record of human experiences. Art and literature reveal to us the things people treasure and admire, the things people praise and advocate as the true, the good and the beautiful, as well as the things they fear and hate most deeply, the things they denounce and do away with as the false, the evil and the ugly. The beauty of a face, of a bunch of flowers, or of a haunting landscape can be revealed in a painting in a way that is impossible to convey in an ordinary description; a complex personality can be captured in a novel or a play in a way that reveals the person's innermost soul; the joy or anguish of human feelings can be transmitted with music, or drama more quickly and completely than by other means. Without these modes of expression, human beings would be as impoverished and as handicapped as they would be if they tried to live without language.

Works of Art and Literature as Things Desirable and Enjoyable and as the Expression of Thoughts and Feelings

Works of art and literature are not only something we find desirable and enjoyable; there are feelings, emotions, and ideas that cannot

be expressed in any way other than through art and literature. An effective literary work may seem to speak directly to us, especially if we are ripe for it. The inner life that good writers reveal in their characters often gives us glimpses of some portion of ourselves. We can be moved to laugh, cry, tremble, dream, ponder, shriek, or rage with a character by watching a play acted on the stage or by simply turning a page instead of turning our lives upside down. Although the experience itself is imagined, the emotion is real. Present-day production of *The Birds* by Aristophanes and *The Merry Wives of Windsor* by Shakespeare have provoked the audience to gales of laughter that have literally stopped the shows for almost minutes at a time, while the mention of the ghastly sight of the wretched queen hanging herself and the king plunging the golden brooches into his eyes in Sophocles' *Oedipus the King* have appalled them and filled their hearts with sorrow and sadness. A reader may be so concerned about the fate of Oliver Twist in the hands of Old Fagin and the gang of thieves that he does not go to have his meals until he knows the little boy was rescued and then was adopted by Mr. Brownlow. The repressed love of Hester Prynne in *The Scarlet Letter* is painful to a sympathetic reader. And a reader is happy to read about the engagement of Darcy and Elizabeth, in spite of the insolent intervention of Lady Catherine, and their marriage in the end of the novel *Pride and Prejudice*. We read again and again with unfailing delight good love poems and the poems describing the beauty of nature, and the final chapters of a good adventure novel can make our hearts race as much as a 100-yard dash. Human emotions speak a universal language regardless of when or where a work was written.

The Didactic Function of Art and Literature

Art and literature provide an endless variety of inspiration in addition to enjoyment, for they are the means of making people feel

truth and beauty through their senses. The highest forms of art and literature have had the effect of exciting a noble enthusiasm and sincere desire of self-sacrifice. Count Leo Tolstoy pointed out, "If art be the means of expressing and conveying emotion, then the noblest art must be that which expresses and conveys the noblest form of emotion." The noblest form of emotion expressed by the great writers and artists has inspired one generation of human beings after another. The sublime thought of caring for the broad masses of the people and for others as conveyed in "Oh, for a great mansion with ten thousand rooms/Where all the poor on earth could find welcome shelter, /Steady through every storm, secure as a mountain! /Ah, were such a building to spring up before me, /I would freeze to death in my wrecked hut well content" by the famous poet in the Tang Dynasty Du Fu who wrote the lines in his thatched hut wrecked by the autumn wind and beaten by the rain streams, and in "Be the first to become concerned with the world's troubles and the last to rejoice in its happiness" by Fan Zhongyan, a great writer and politician in the Northern Song Dynasty, has filled our hearts with noble emotion and encouraged us to make self-sacrifice for others. Percy Bysshe Shelley wrote "Ode to the West Wind", the subject of which is the power of the west wind to create new life by stripping the foliage from the trees in order to provide room for new growth and to spread the seeds for new plants. When we read the poem we can feel the great strength with which the West Wind sweeps across the land, driving the dead leaves "like ghosts from an enchanter fleeing", and charioting "the winged seeds" "to their dark wintry bed" where "they lie cold and low" until "the Spring shall blow" her "clarion o'er the dreaming earth" and fill "plain and hill" with "living hues and odors". The political reform or revolution, which is symbolized and manifested in the West Wind, is sure to come to create a new world: "The trumpet of a prophecy! O Wind, /If Winter comes, can Spring be far behind?" Our confidence in the final victory of the revolution is thus heightened and

our morale boosted. There are literary works which teach us moral lessons, and the maxims given by Confucius in *The Analects* as well as those in the essays by Francis Bacon give us advice on how to live, how to treat others and how to become persons of morality. We need political culture, instruction, that is to say, in what pertains to our relation to the State, to our duties as citizens; and we need also to be impressed sentimentally by having the presentation in legends and novels of heroic and patriotic examples brought vividly and attractively before us. The stories of Robert Bruce, Alfred the Great, William Tell and a lot of stories in China have the effect of exciting a noble enthusiasm and filling our hearts with ardent patriotism. Such heroic struggles waged by the working people as described in *Outlaws of the Marsh*, *A Tale of Two Cities*, etc. arouse our sympathy for the oppressed and our indignation against those who lord over others. Many characters created in poetry, short stories, novels and plays are much on our lips, and in our hearts. The positive characters, the heroes and heroines that contributed to the defense of the nation, the welfare of the people and the selfless service of others are always respected by us, while the negative characters have become the object of our contempt. A thing of beauty is a joy forever. The poetry and prose portraying the beauty of mountains, rivers, forests, and plants by the famous Tang poets Li Bai and Wang Wei, and the Song poet and prose writer Su Shi, as well as by a large number of English and American writers have greatly inspired us and made us love Nature all the more.

The Function Art and Literature Perform in Enriching People's Knowledge and Broadening Their Horizons

In addition to appealing to our emotion, literature broadens our perspectives of the world. Most of the people we meet are pretty much like ourselves, and what we can see of the world even in a life-

time is astonishingly limited, and the richest of lives can but touch directly a fraction of the potential range of human experience. Literature allows us to move beyond the inevitable boundaries of our own lives and introduces to us people different from ourselves, places remote from our neighborhoods, and times other than our own. Reading literary works makes us more aware of life's possibilities as well as its subtleties and ambiguities. The excitement with which we read *Journey to the West*, *Alice's Adventures in Wonderland*, etc. is beyond description. If we do not have the money and leisure to visit a certain place, we can always "experience" it at second hand by reading travels or literary works describing the place. The actually impoverished experience of people can be supplemented by literature.

The study of literature is also practical, because it engages us in the kinds of problem solving important in a variety of fields, from philosophy to science and technology. The interpretations of literary texts require us to deal with uncertainties, value judgments, and emotions; these are unavoidable aspects of life. Literature is, therefore, not only something we find desirable and enjoyable; it can be seen as an absolute necessity for human survival.

**PART TWO THE NATURE OF
LITERATURE**

Chapter 1

The Phenomenon of Literature as a Social Phenomenon of Human Beings

Literature is the product of social practice (rather a particular social practice) of human beings. It does not fall from the heavens, the product of a mysterious creation, nor is it something that comes flying like Athena, fully grown and fully armed, from Zeus' head. The phenomenon of art and literature came into being with the emergence of human society, and no phenomenon of art and literature exists outside human society. The phenomenon of art and literature, as the phenomenon of part of human activities in society, emerged to meet the needs of human beings in social production and social activities, and emerged when the same activities made its emergence possible.

Engels's Theory about the Emergence and Development of Art and Literature

Frederick Engels, in his "The Part Played by Labor in the Transition from Ape to Man", gives an explicit account of the development of human brain and sense organs, and then the development of society and the emergence of art and literature: first labor, after it and then with it, speech—these were the two most essential stimuli under the influence of which the brain of the ape changed, step by step, into the brain of man. With the development of the brain went the develop-