

中国外语博士文库

成长小说与自传

——成长叙事研究

许德金 著



高等教育出版社
HIGHER EDUCATION PRESS

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导 读

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“成长小说”(bildungsroman)一词源于德语,意为“(性格)形成小说”(novel of formation),又称“教育小说”(novel of education)。世所公认的第一部成长小说为德国大小小说家歌德(1749~1832)的《威廉·麦斯特的学习时代》(*Wilhelm Meister's Apprenticeship*)。此后,成长小说这朵奇葩即在欧美大陆的土壤上绽放异彩并结出累累硕果。其中典型的代表作有狄更斯(1812~70)的《大卫·科波菲尔》和《远大前程》、勃特勒(S. Butler, 1835~1902)的《众生之路》、乔伊斯(James Joyce, 1882~1941)的《一个青年艺术家的肖像》等。

综观西方文学的历史长廊,以成长为母题的小说可谓比比皆是,并引起了20世纪西方批评家的重视与关注。而同样是以成长为母题的自传与传记写作在二十世纪尤其是二十世纪中后期也引起了西方传记批评家的重视,其批评的浪潮一浪高过一浪,大有赶超其竞争对手成长小说的研究趋势。但遗憾的是,同样是以“成长”为母题的两个文类——小说与自传的对比较研究国内外尚鲜有人论及,更遑论对这两者具体的叙事结构、元素与手法的比较探究。本书正是以此为突破口,在“成长叙事”的大旗下对成长小说与自传叙事之间的关系进行较为深入的研究,同中求异,异中辨同,以揭示它们内在的叙事逻辑和技巧,为当今世界尤其是我国的成长小说与自传研究添砖加瓦。

就国外的研究现状而言,成长小说与自传文学的研究可谓齐头并进,方兴未艾。总体而言,国外,尤其是欧美,对成长小说的研究历来比较重视,时有相关的专著与论文出现,其中有相当部分是博、硕士论文,仅在中国国家图书馆和北京大学图书馆可以查到的英语类相关著作就有8本(详见参考文献)。

与国外的研究状况相比,国内的成长小说研究则很不理想:据笔者2005年1月6日从中国期刊网上的调查发现,从1994年至2007年6月为止,全文中出现“成长小说”一词的文章共有320+373=693篇,而以“成长小说”为关键词的研究性文章只有31篇,具体统计数字如下表所示:

：意向不成五若斐主策福新排德新小斗数国界而色，言而和息
 的心甚差代本原首(2)：海不致或至突谓刊排封相景德新小斗数依(1)
 式式德新小斗数又五并点排替德新排，中著守新排德新小斗数关音
 由于网因理由器种何致致，点排因封封自更高其下部感而，面而

表1 中国成长小说研究相关论文分布表：时间与内容
(1994-200706)

	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	05	06	07	总计
理论探讨												8	21	24	53
综述							1		1	2	1	7	35	28	75
评论									2		2				4
作家作品															
研究			1		1	1		3	5	6	5	49	90	111	272
总计			1		1	1	1	3	8	8	8	64	146	163	404

从上表不难看出，从1994至2001年共8年的时间内总共只有7篇以成长小说为研究对象的论文，其中1994、1995及1997年居然剃了光头！从2002年起，成长小说在中国学术界才真正引起了一定的重视，可每年也只有8篇论文，与每年总数达上万篇的刊物论文总量相比，实在是微不足道。更值得我们关注的是，从1994年至今发表的31篇文章中，竟然没有一篇是对成长小说进行理论探讨的！相关理论研究的缺失正是本书所要重点关注和有所创新的地方。

相比论文的数量，国内成长小说的研究专著则更是少得可怜：从中国国家图书馆的库藏来看，目前仅见三本相关专著，且都为2003年后出版的著作（详见参考文献）。而这其中，只有一本是概述性研究外国成长小说的，而且也仅局限于美国（该书虽辟有专章涉及英国及德国的成长小说，但大都泛泛而谈，是典型的“文学的外部研究”）。

与成长小说的研究现状相比，国内的自传研究则要乐观得多：每年不但有几十篇甚至上百篇相关的论文产生，而且相关专著也层出不穷，与国外的研究相比，也毫不逊色。但值得注意的是，综观国内外近三十年来自传批评的大潮，其着眼点总是放在自传的真实性、传主与世界的关系以及自我表征和认同等方面，对自传中传主的“成长”母题则几乎无人关注，对自传形式技巧问题的关注也明显不足。鉴于此，本书将以“成长”的母题为纽带，把英美的成长小说与自传结合起来进行文化考察，以“叙事学-意识形态”研究法为切入口，对英美的成长小说与自传进行比较研究，并结合具体的小说与自传作品，使理论探讨始终建立在对具体作品的微观剖析上。

总体而言，当前我国成长小说的批评研究主要存在如下问题：(1)对成长小说的整体性批评研究还远远不够；(2)在原本为数甚少的有关成长小说的批评专著中，批评的着眼点往往又放在小说的方方面面，而忽略了其高度自传性的特点。造成这种状况的原因除了由

于批评界对成长小说的认识研究还不够深入、不够重视以外，也与成长小说自身的混乱状况息息相关。

针对目前成长小说与自传这两者研究中存在的问题，本书以成长小说的界定为突破口，一反传统的批评套路，把成长小说的批评视点从对其虚构性的过度专注而转到其具有的高度自传真实性方面：即不再把成长小说置于小说这种虚构文类的框架中研究，而是把其放于自传的新语境中来进行研究。另一方面，自传也因其本身具有描述传主自身经历的高度真实性特点而成为历来自传批评家所关注的中心；本书则通过对具体现代自传叙事作品的分析，揭示出自传本身具有一定的虚构性，为传主的叙事政治所服务，因而可以视为一种自传式小说，从而把自传的讨论从历史和事实论的束缚中解放出来。

本书的论点是：作为介于小说与自传之间的一种文学类型，成长小说可以视为自传的一种特殊形式——“小说体自传”(novel-form autobiography)。作为自传大家族中的一员，它既具有自传的一般特征，也有其自身的特色。而正是这些特色才是它与一般自传真正的差别所在。同样的，作为介于虚构与非虚构之间的一种文类，现代自传越来越具有虚构性，因而可被视作一种特殊形式的小说——“自传体小说”。作为小说大家族中的一员，自传体小说既有小说的某些特征，也有其独特的内涵，也正是这些内涵才构成了它与一般小说的真正差别。无论怎样，成长小说与自传都具有“成长叙事”所共有的特点，就文类而言，其疆界是模糊的，而正是这种模糊性才成就了成长小说与自传这两朵奇葩一直绽放在文学这个大花园中。

全书共分六个部分：

引言主要介绍了成长小说的起源和发展，特别是它与《威廉·麦斯特的学习时代》的渊源关系。本部分还针对目前成长小说研究中存在的混乱状况对成长小说进行了新的界定：即从主题、题材、叙述角度以及时间跨度四个方面对成长小说进行了定义，并由此限定了本书的研究范畴。

第一章在对自传的概念和分类进行重新阐释之后，着重从理论上讨论了它与成长小说的关系。本章的中心论点是：由于成长小说在内容上具有高度的自传性，虽以小说的形式出现在读者的面前，但由于其独具的高度自传性，在其所处的某种社会历史语境下，完全有理由被视为一种特殊形式的自传，即“小说体自传”。为理清概念，本章还对“小说体自传”与“自传体小说”进行了区分。

本书的第二、三、四、五章是个案研究，结合具体的英美文学作品对具体的成长小说与自传文本进行实例分析，是对第一章理论部分的有益补充。在这四章中，通过对六部具有高度自传性的典型的英美成长小说《大卫·科波菲尔》、《一个青年艺术家的肖像》、《华女阿五》及《女勇士》的对比分析《道格拉斯1845年及1855年自传》，具体分析论证了这几部代表作中成长小说是如何可被视作自传的一种特殊的形式，而自传又是如何可视为小说的一种特殊形式的。

本书的最后部分在上述个案研究的基础上又从理论上对成长小说与自传的关系进行了重新界定，以此揭示把成长小说与自传互换到对方的新语境中进行重新考察的意义所在，从而在比较中揭示出它们作为一种特殊的文类“成长叙事”所具有的独特性和优越性。

[注释]

- ① 在德国，“成长小说”又可细分为以下三种类型：“发展小说”(Entwicklungsroman)以描写主人公的一般成长为主；“教育小说”(Erziehungsroman)主要强调主人公成长过程中所受的教育；以及艺术家小说(Künstlerroman)——专门描写艺术家成长过程的小说。
- ② 卡拉尔于1824年把歌德的《威廉·马斯特的学习时代》译成英文，其译名为*Wilhelm Meister's Apprenticeship*，并给予它很高的评价。苏珊·豪(Susanne Howe)在其博士论文《威廉·麦斯特与他的英国亲戚》(*Wilhelm Meister and His English Kinsmen*)中专辟了一章(第五章)论及卡拉尔译介该书的情况。

Abstract

The BILDUNGSROMAN, which is of German origin meaning “novel of formation or education”, has now won universal recognition as a type of novel. However, as a special type of autobiography, it is still yet to be recognized, and this book is just an endeavor in this direction.

To argue that the bildungsroman can be regarded as a special type of autobiography, this book in the introductory part, after tracing its origin back to Germany (especially Goethe's *Wilhelm Meister's Apprenticeship*), first seeks to provide a new definition for the bildungsroman in terms of theme, content, narration and time span, thus paving the way for a further discussion on the relationship between bildungsroman and autobiography.

Then, Chapter One, based on a reconsideration of fact and fiction in autobiography, attempts to redefine the traditional dividing line between autobiography and novel and to offer a new approach to classifying autobiography. By the apparent literary form in which the autobiographic content is presented, one may divide autobiography into the common and special forms. Within the large category of the special form, one may further categorize it into the essay form, the poetic form, the letter form, and the novel form. The bildungsroman, due to its highly autobiographical nature but in the form of a novel, might as well be regarded as the novel-form autobiography. Besides, it also shares much common ground with autobiography: both subordinate plot to characterization; both have the central motif of “searching for self-identity”; both focus on revealing the relationship between experience, education, and identity formation. To have a deeper understanding of the bildungsroman as the novel-form autobiography, one must distinguish between the NOVEL-FORM AUTOBIOGRAPHY and the AUTOBIOGRAPHY-FORM NOVEL, between the BILDUNGSROMAN and the AUTOMIOGRAPHIC NOVEL, between AUTOBIOGRAPHY and FICTIONAL AUTOBIOGRAPHY.

To make sounder the argument that the bildungsroman is a novel-

form autobiography, Chapters 2 to 5 investigate altogether 6 bildungsroman and biographies. Chapter 2 and Chapter 3 conduct a case study of two representative bildungsroman — Charles Dickens' *David Copperfield*, James Joyce's *A Portrait of the Artist as a Young Man* to show how those works built the boundary of bildungsroman and autobiography and how the new context solicits new understandings and interpretations of the works in question. Chapter 4 first undertakes comparison between the two bildungsroman already analyzed in the previous two chapters, then proceeds to reassess the bildungsroman within the large category of autobiography rather than that of novel.

Based on the above analysis and discussion, the final part finally draws the conclusion that the bildungsroman as a hybrid of novel and autobiography indeed has its own particular advantages over both novel and autobiography. Nevertheless, as pointed out in Epilogue, this book is not intended to conduct a detailed and comprehensive study of the bildungsroman, but to focus on revealing the relationship between bildungsroman and autobiography in an attempt to offer a new perspective on the bildungsroman studies. In this sense, an ending of this book may just indicate a new beginning for another book in the same direction.

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Introduction

Bildungsroman — *Toward a New Definition*

"The child is father of the man" — indeed, the formative years of a child evolving from innocence into maturity are of vital importance in the formation of character and constitute a long hard pilgrimage every child has to experience before he comes to grip with the great universe. Through this unavoidable passage of growing up, one has to undergo many trials and tribulations. Just as Mr. Worldly Wiseman told Christian before he set off on his Journey:

Hear me; I am older than thou :thou art like to meet with, in the way which thou guest, wearisomeness, painfulness, hunger, perils, nakedness, sword, lions, dragons, darkness, and, in a word, death and what not. These things are certainly true, having been confirmed by many testimonies. (*Pilgrim's Progress*, Chap. I)

On this hard voyage, everything is uncertain, and every character undecided, as Keats put it:

The imagination of a boy is healthy, and the mature imagination of a man is healthy; but there is a space of life between¹, in which the soul is in a ferment, the character undecided, the way of life uncertain, the ambition thick-sighted.... (Buckley, 1)

Apparently, the process of growing up in which a child has his first encounters with the world is of immense appeal to artists of any time. However, what so surprising is that it is the latter half of the 18th century that first saw the concrete artistic expression of the processes of information in the form of

¹ Compton Mackenzie has the John Keats's passage about childhood, manhood, and the space between as the epigraph of his autobiographical *Sinister Street*. Another critic J. Buckley even used the term 'The Space Between' as the subtitle for his Introduction to *Season of Youth: the Bildungsroman from Dickens to Golding*.

poetry² and, more important, in the newly rising form of novel — the bildungsroman, of which Goethe's *Wilhelm Meister* is an early influential example.

Bildungsroman is a German word borrowed into English, and as its source indicates, it first flourished in Germany. "Bildungs" in German means "formation" or "education", and "roman", "novel" — hence "bildungsroman" meaning "the novel of formation or education". In German literary history, *Wilhelm Meister's Apprenticeship*, since its publication in between 1794 and 1796, has been established as the prototype of the bildungsroman. This lengthy work tells of a story about the process by which a sensitive soul with artistic temperament eventually discovers his own identity in the world. In this process, the young self-conscious Wilhelm, who was anxious to achieve independence and self-expression, impatient with his father's mercantile mentality and contemptuous of all deadening devotion to Commerce, decided to join the players on their visits to the count's castle. He later became the manager of the stage company, thus fulfilling his wish of making the German theater a primary agent of cultural change. Yet, ironically, Wilhelm's "apprenticeship" to the stage eventually proves, as Buckley points out:

Like Goethe's own dream of a vocation in the plastic arts, a quite misdirected ambition, Wilhelm does make an effective romantic Hamlet, perhaps because the character, as he (or Goethe) conceives and projects it, is so like his own. But soon after his production of the play, he is willing to abandon the stage altogether in the belief that his histrionic talents are strictly limited. And the theater he rejects suddenly becomes an allegory of all the illusions of his troubled youth. The true apprenticeship, we then see, is spiritual rather than professional. When he has served his term, he is formally released; through

² The most representative poem in this regard is William Wordsworth's *The Prelude*, in which the great English Romantic poet faithfully recorded the "growth of a poet's mind" from childhood through adolescence into early manhood. To a lesser degree, another romantic poet Byron's "Don Juan", which is less autobiographical, like "The Prelude", also follows a young man in his progress from boyhood to his poised maturity, though "iconoclastic in attitude and reductive of all ideals" (Buckley, 7).

many dark passages, he has been led into the light; and a mysterious abbe salutes him. 'Hail to thee, young man! Thy apprenticeship is done: Nature has pronounced thee free.'
(Buckley, 11)

As the first successful work of the bildungsroman, Goethe's *Wilhelm Meister's Apprenticeship* is almost statue-like in both the development and critical reception of the bildungsroman as a genre of literature.

First, as far as the development of bildungsroman is concerned, *Wilhelm Meister* wielded an inevitable influence on subsequent German and English bildungsromane, tried positive proof of which was to be seen in the flourishing of such works in the 19th century Germany and the Victorian England. Wilhelm Meister's influence on English literature was realized through Carlyle, who in 1824 translated Goethe's work into English as *Wilhelm Meister's Apprenticeship*. Ever since, this new artistic form had been obviously developed by such writers as Charles Dickens and Samuel Butler in the Victorian England, James Joyce and S. Maugham in the modernist period of Britain, and Mark Twain in the 20th century America. Since the bildungsroman came into English literature chiefly through the influence of *Wilhelm Meister*, Susanne Howe(6) conveniently coined a new English word for the German equivalent — the "apprentice" novel, now generally called "apprenticeship" novel. Yet her assertion 60 years ago that the "apprentice" novel "never assumed in England the importance of a group classification or a type" nowadays seems totally out of date, for "apprenticeship" novel has now been generally recognized as a genre or a type of novel throughout the world. In fact, as an entry it has entered *The New Britannica Encyclopedia*. (See, for instance, *The New Britannica Encyclopedia*, vol. 23: 135)

Second, *Wilhelm Meister's Apprenticeship* also played a decisive role in the critical reception of the bildungsroman as a genre or type of novel. This powerful role manifests itself in the following respects:

Firstly, it is based on Goethe's *Wilhelm Meister's Apprenticeship* that some critics sum up the typical theme pattern of the bildungsroman.

Howe, for example, in her lengthy study of the bildungsroman entitled *Wilhelm Meister and His English Kinsmen* describes the apprenticeship pattern as:

The adolescent hero of the typical “apprentice” novel sets out on his way through the world, meets with reverses usually due to his own temperament, falls in with various guides and counselors, makes many false starts in choosing his friends, his wife, and his life work, and finally adjusts himself in some way to the demands of his time and environment by finding a sphere of action in which he may work effectively. (Howe, 4)

Another critic J. H. Buckley also abstracted the broad outline of the bildungsroman works:

A child of some sensibility grows up in the country or in a provincial town, where he finds constraints, social and intellectual, placed upon the free imagination. His family, especially his father, proves doggedly hostile to his creative instincts or flights of fancy, antagonistic to his ambitions, and quite impervious to the new ideas he has gained from unperceived reading. His first schooling, even if not totally inadequate, may be frustrating insofar as it may suggest options not available to him in his present setting. He therefore, sometimes at a quite early age leaves the repressive atmosphere of home (and also the relative innocence), to make his way independently in the city (in the English novels, usually London). There his real “education” begins, not only his preparation for a career but also urban life. The latter involves at least two love affairs or sexual encounters, one debasing, one exalting, and demands that in this respect and others the hero reappraise his values. By the time he has decided, after painful soul-searching, the sort of accommodation to the modern world he can honestly make, he has left his adolescence behind and entered upon his maturity. His initiation complete, he may then visit his old home, to demonstrate by his presence the degree of his success or the wisdom of his choice. (Buckley, 17-18)

Applying this outline to *Wilhelm Meister's Apprenticeship*, one may readily find out that it fits in quite well — in effect, if one substitutes “a child” with “Wilhelm Meister”, one might obtain a good summary of the novel. And in this light, one might conclude that both Howe's and Buckley's outlines of the bildungsroman are actually drawn heavily on *Wilhelm Meister's Apprenticeship* — the only difference lies in that the former is too simple and crude while the latter, more detailed and generalized.

Secondly, *Wilhelm Meister's* powerful influence upon the critical world of the bildungsroman also finds expression in the essential components of the bildungsroman. Since *Wilhelm Meister* firmly established itself as an archetype of the bildungsroman, Wilhelm Meister's self-awareness (and self-education) has been held as an essential component of the bildungsroman. It is by this standard that Howe dismissed *David Copperfield*, *Great Expectations* and *Pendennis* as “bypaths” from the main course of bildungsroman development:

They deal, it is true, with young men who learn from experience and who do grow up in the course of the story, but more by accident than design.... They³ have not developed through any inner realization of their own powers and the resolve to make their experience function. They have stumbled good-naturedly over their obstacles, righted themselves, and determined not to make that particular mistake again, but they are not imaginative or reflective enough to see the wider implications of what has happened to them. Their history leads back rather more distinctly to the eighteenth-century picaresque tradition of Fielding and Smollett than to the German form of the Bildungsroman... (Howe, 14-15)

Indeed, Howe's dismissal of the above three novels as “bypaths” due to the lack of self-awareness on the part of the central heroes was later echoed by many who were interested in the bildungsroman. As Sheridan pointed out in his article “*David Copperfield*: Different Readers,

³ Here “They” refers respectively to David, Pip and Arthur Pendennis, the protagonists of the three novels in question.