



Empire and Identity:

A Study
of Rudyard Kipling's
Indian Fiction

帝国与认同

鲁德亚德·吉卜林印度题材小说研究

陈 兵 著



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内 容 简 介

长期以来,评论界对英国首位诺贝尔文学奖得主鲁德亚德·吉卜林在英国文学史上的地位及其作品的价值一直有争议。但随着时间的推移和 20 世纪后期后殖民主义理论的兴起,吉卜林作品的价值逐渐为人们所肯定。本书从后殖民主义视角出发,对吉卜林的主要作品即他的印度题材小说进行了系统的研究。作者根据吉卜林印度题材小说的创作过程和特色,将其分为三个时期,认为尽管这些作品中都表现出一种帝国主义态度和身份危机,但它们还是经历了一种意识形态的变化。简而言之,他的前期印度题材小说中帝国主义倾向比较明显,而其后期印度题材小说则更多地表明他对印度的热爱及其东西方融合的观念。

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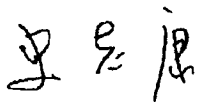
序

凡是熟悉我的人都知道,我是一个十分注重快乐的人,而且是一个可以在生活中经常发现快乐理由的人。说坦白话,我常常感到非常快乐的坚定理由之一是我有不少“精神朋友”(friends in spirit),或者说得更确切点,我有许多“心智伙伴”(intellectual companions),在他们中间占大多数是以我的名义指导的博士生和硕士生,他们不自觉地用各自独特的智慧、知识、人格魅力不断地充实我的人生内涵。因为当他们用自己的学术研究成果向我“请教”时,实际上是在鞭策我,在扩大我的学术视野,补充我所缺乏的一种学术“营养元素”;因为当他们跟我东南西北谈天说地神聊时,我会被各种若断若续的游思、幽情所感染,不知不觉地摆脱了眼前种种世俗的琐碎事,真正看到如画的人生,如诗的人生,从而慢慢地,自然地让自己有一种比较达观、超然的人生态度。陈兵先生就是我的一个“心智伙伴”,而且是我心中仅几个很铁中的一个。我很了解陈兵先生,他是一个情感与理智调和得十分和谐的人,是一个在生活中注意全面、比例和平衡的人,是一个不会逾越人性中和之道的智慧人。陈兵先生做学问和他做人一样。他很有学者风范,虽然他学术基础厚实,并且还在孜孜不倦地结累新知识,钻研新学问,不断地取得新成果,但是他从来不事张扬。我可以十分肯定地说,陈兵先生的学术生涯必定辉煌,前景不可估量。

下面再说几句关于这本专著的话。这本专著是陈兵先

生在自己的博士论文基础上修改而成的，是一本专门研究英国著名小说家鲁德亚德·吉卜林(Rudyard Kipling, 1865—1936)的著作。吉卜林在文学评论界是一个有争议的人物。一方面，他是英国第一个诺贝尔文学奖获得者。另一方面，他在作品中又有着帝国主义的倾向。陈兵先生认为，正是因为吉卜林的作品，特别是他的印度题材的作品有帝国主义的倾向，体现作者与大英帝国的关系，再加上不少研究者由于怕这怕那的原因，对这个问题研究不多等因素，深入研究这些作品才显得特别重要。我赞同、支持这种观点。我想，做学术研究时若能最大限度地做到不偏不倚，那么肯定有助于研究走向深度，结论也往往更加可信。陈兵先生选择了吉卜林的印度题材作品为其主要研究内容，并将其分解为三个阶段来研究，这种划分体现了最为珍贵的原创性，不仅为研究吉卜林提供了一个新的视角，而且可以帮助读者依据吉卜林创作每个阶段的具体作品中的线索，探寻作家思想发展的脉络，从而理解作家的创作主题和风格的变化。这是一本很有高学术价值的著作，在一定程度上填补了我国外国文学研究领域中的一个空白。

我满怀欣悦，等待着这本专著的问世，并期待着陈兵先生在不远的将来有新的著作问世，因为他爱文学，爱思考，懂得如何以谦逊的精神，盎然的兴味去作新的探索，享受新的发现所带来的快乐。



上海外国语大学教授、博导
中国英国文学学会副会长 史志康

2006年12月16日

前 言

英国第一个诺贝尔文学奖获得者鲁德亚德·吉卜林(1865—1936)在英国文学史上的地位比较微妙,在很长时间内评论界对其作品的价值以及他在英国文学史上的地位一直有争论。评论家 R·L·格林称他为“英国文学中最有争议的作家”。但是,随着时间的推移,人们越来越了解吉卜林的作品以及他对英国文学的贡献。文学风格的变换和各种文学理论的兴起也为其作品的解读提供了不同的视角。今天,人们大都会同意现代英国文学巨匠 T·S·艾略特对吉卜林的评价:吉卜林是个“我们不可能完全理解而又决不能轻视的作家”。

鲁德亚德·吉卜林素称“帝国诗人”,人们一直将其与大英帝国联系在一起。而其印度题材小说最能显示他与大英帝国的关系以及他的帝国主义观念,因此,这些作品以及研究这些作品就显得特别重要。许多人认为吉卜林的主要作品都完成于 1900 年之前。在研究中评者大都比较注重他的印度题材小说,从中找出他的帝国主义倾向,或是论证他的认同危机。但是少有评者注意吉卜林在其印度题材作品中所体现出来的意识形态的变化。这可能是由于其作品比较复杂,在各个时期的创作中都涉及其帝国主义观念和认同危机,因而其意识形态的变化就不明显。尽管如此,本书作者还是认为,吉卜林的印度题材小说实际上经历了一种意识形态的变化。总的来说,他的前

期印度题材小说中帝国主义倾向比较明显,而其后期印度题材小说则更多地表明他对印度的热爱及其东西方融合的观念。

吉卜林的创作受其生活经历影响甚大,这已为评论界所确定。其印度题材小说也是如此。本书将吉卜林的印度题材小说的创作分为三个时期。吉卜林在英国中学毕业后去印度做了七年记者兼编辑。他在这七年中以及随后回到英国初期所写的短篇小说为第一个时期,均结集出版,计有《山中的平凡故事》(1888)、《三个士兵》(1888)、《雪松下》(1888)、《鬼影人力车》(1888)、《小威利·温基》(1888)、《黑与白》(1888)、《盖茨比一家的故事》(1888)、《生活的阻碍》(1891)等。吉卜林在自传中称他在印度做记者的七年是“艰辛七年”。这不仅因为其工作强度大、环境恶劣,而且更为重要的是因为这些岁月直接的殖民接触,使他更深切地体会到英国殖民者和印度人之间的矛盾以及他自己的认同危机——对大英帝国的忠诚与对生身之地印度的热爱。他这一时期的小说就传达了这种复杂的情感。一方面,吉卜林在作品中表现了强烈的帝国主义倾向,另一方面他又常常表现出对印度人的同情。此外,吉卜林还着重表现了英国人在印度的困境,以及他们的恐惧和焦虑。吉卜林这一时期的作品数量大,涉及面广,风格则以写实为主,间或有象征手法的运用,一般笔调灰暗、抑郁。某些作品中也已出现其东西方融合观念的萌芽。

吉卜林第二个时期的印度题材小说主要写于他婚后定居于美国佛蒙特州布拉特布罗镇的几年。这个时期吉卜林生活安定、舒适,创作上也佳作迭出。其印度题材小说除了几个收在不同集子里的短篇小说外,主要为两卷本

的《丛林之书》(1894,1895)。这是童话体作品,以狼孩莫格里系列故事为主体,描写了神奇美妙的印度丛林世界以及莫格里与动物们的悲欢离合。这些故事大都笼罩着梦幻般的童话气氛,迥异于其前期作品,反映出吉卜林心态的安定平和。而故事中对奋斗、法则、纪律、服从等规则的强调则显示了吉卜林一贯的生活哲学,也从一个侧面暴露了他的帝国主义态度。他的认同危机在故事中也有体现,尤其是在莫格里系列故事里。在这个时期吉卜林开始认真探讨东西方融合的可能性,但其明显的东方主义态度使他不可能成功地摸索出一条东西方融合之路。

吉卜林的长篇小说《基姆》(1901)被认为是“有史以来最伟大的英语小说之一”,也是其最后一部印度题材作品,说的是印度的一个英籍爱尔兰士兵的遗孤基姆与一个西藏喇嘛在印度游荡,寻找传说中的“箭河”和进行“大游戏”的故事。这部作品脱胎于吉卜林早年在印度写的一部长篇小说的手稿,后又经吉卜林数易其稿,前后共历十余年才终于1900年在英国完成,可以看作是吉卜林印度题材小说的第三个时期。吉卜林对原稿的修改尤其反映了他对东方——印度态度的转变。小说充满温情地描写了印度的山水、习俗和人民,同时也描写了英国人和印度人的相互尊敬以及他们精诚合作,共抗外来威胁的团结精神。书中对“箭河”的寻求、“大游戏”、基姆和喇嘛等人物形象都有着浓厚的象征意味。总的说来,这部小说以众多的细节描写阐述了吉卜林关于东西方融合的观念。

将吉卜林的印度题材小说分为三个阶段是本书的主要创新之处,因为此前的吉卜林研究中似乎没有这种提法。本书作者认为,尽管吉卜林所有的印度题材小说中都

表现出一种帝国主义态度和认同危机，但其不同时期的作品在主题和风格方面差别比较明显，因此据此进行分类还是言之成理的。本书旨在提出一种新的解读吉卜林印度题材小说的方法，并希望以此对国内的吉卜林研究、乃至英国文学研究有所贡献。

本书在作者三年前写成的博士论文基础上修改而成。作者希望借此机会向导师、上海外国语大学的史志康教授表示衷心的感谢！此外，作者从上海外国语大学的李维屏教授和虞建华教授处获教良多，也谨在此一并致谢。在上外攻读博士期间，本书作者结识了众多好友，他们使其上海三年的清苦生活变得充实而温暖，作者在此也向他们表示感谢和祝福！

作 者

2006年11月8日

Foreword

Rudyard Kipling (1865—1936), the first English to win the Nobel Prize for Literature, has been a controversial writer. Opinions have been sharply divided in the past decades about the value of his works and his position in English literature. But, with the passing of time, people have come to understand better Kipling's works and his contribution to English literature, and the changing of literary styles and the rising of different literary theories have also provided more varied perspectives for the study of his works. Today most people would agree with T. S. Eliot that Rudyard Kipling is "a writer impossible wholly to understand and quite impossible to belittle."

As "the Bard of Empire", Rudyard Kipling has always been identified with the British Empire. This puts his Indian fiction in a prominent place since they best show his connections with the British Empire and his imperialistic views. Actually many critics think that Kipling's best works were written before 1900. Critics have been studying his Indian fiction, focusing either on his imperialistic tendencies or on his dilemma of identity. But few of them have mentioned Kipling's ideological development in his Indian fiction. This is perhaps because imperialistic tendencies and identity problem are equally

strong in all his Indian fiction. The author of this book holds, however, that Kipling underwent some gradual ideological development in his Indian fiction. In other words, his early Indian fiction reflects more his imperialistic tendencies while his later works show more his love of India and his idea of the East-West reconciliation.

Kipling's writing was greatly influenced by his experiences. This is clearly demonstrated in his Indian fiction, which could be roughly divided into three phases. The first stage covers the stories he wrote in the seven years he spent as a journalist in India and shortly after he returned to England, including *Plain Tales from the Hills* (1888), *Soldiers Three* (1888), *Under the Deodars* (1888), *The Phantom Rickshaw* (1888), *Wee Willie Winkie* (1888), *In Black and White* (1888), *The Story of the Gatsbys* (1888) and *Life's Handicap* (1891). In his autobiography Kipling called his stay in India "the Seven Years Hard" as these years of direct colonial contact heightened his awareness of the sharp conflicts between the English and the Indians, and his divided identity — his loyalty to the Empire and his love of India, the place of his birth. Accordingly his stories of this period convey mixed feelings. While demonstrating strong imperialistic tendencies, Kipling often expressed his sympathy with the natives. Moreover, the stories depict more the dilemma the English were in, their fears and anxieties. Kipling's works of this period are the most varied

and realistic, and some of them already show the budding of his idea of East-West reconciliation.

The second stage of Kipling's Indian fiction refers to the stories Kipling wrote during the Brattleboro years in the U. S. , including *The Jungle Book* (1894), and *The Second Jungle Book* (1895) and some other stories. For Kipling this is a period of relative peace and happiness, and also one of productivity. This is also reflected in *The Jungle Books* , which were written primarily as children's books. Most of the tales in them are enveloped in dreamy, fairy-tale atmosphere, and they all preach hard work, law, obedience and discipline. Though seemingly children's tales, *The Jungle Books* also embody imperialistic ideas and show Kipling's identity crisis, especially in the Mowgli series. In this period Kipling began to consider seriously the possibility of East-West reconciliation. However, his Orientalist views hindered his successful exploration of the East-West relationship.

Kipling's third stage of Indian fiction is mainly *Kim* (1901), his masterpiece and last work on Indian topic. Considered "one of the greatest of English novels of all time", *Kim* tells the story of Kim, an Irish orphan, and an old Tibetan lama in a quest. The book took many years to grow and underwent several revisions before Kipling finally finished it in England. The revisions clearly demonstrate Kipling's change of attitude towards the Eastern people. In the book Kipling described with warmth and

love the fascinating land, customs and people of India and emphasized the mutual need and respect of the English and the Indians for each other in defending the Empire against foreign threats. The quest, the Great Game, Kim, and the lama are all highly symbolic. On the whole the book illustrates in vivid detail Kipling's idea of East-West reconciliation.

The proposal of an ideological development in three phases in Rudyard Kipling's Indian fiction is the creative point in this book as it seems that no critic has put forth such an idea in the Kipling studies before. The divisions between the different phases are relatively clear, even though Kipling demonstrates in all his Indian fiction imperialistic tendencies, sympathy for the Indians and his identity crisis, and the complexity of his works adds to the controversy over him in the past decades. The present book is meant to suggest a new perspective in the interpretation of Kipling's Indian fiction and therefore contribute to the Kipling studies that have attracted increasing attention.

The present book is based on the dissertation that the author wrote for his Ph. D degree in Shanghai Foreign Studies University three years ago. The author would like to take this opportunity to express his heart-felt thanks to professor Shi Zhikang, his supervisor, and to professors Li Weiping and Yu Jianhua for their inspiring lectures. Moreover, the author wants to thank all the friends that

have made his life in Shanghai meaningful and memorable: Li Zhiling, Yao Ximing, Zhang Hui, Lu Weizhong, Fan Xiangtao, Zhou Ping, Xiong Youqi, Zhu Yajun, and Bai Wenchang.

Bibliographical Note

As Rudyard Kipling's works are constantly quoted, they are abbreviated as follows:

PTH	<i>Plain Tales from the Hills</i>
ST	<i>Soldiers Three</i>
WWW	<i>Wee Willie Winkie</i>
PR	<i>The Phantom Rickshaw</i>
CSC	<i>The Complete Stalky & Co.</i>
LH	<i>Life's Handicap</i>
MI	<i>Many Inventions</i>
JB	<i>The Jungle Books and Just So Stories</i>
LF	<i>The Light that Failed</i>
CC	<i>Captains Courageous</i>
DW	<i>The Day's Work</i>
PPH	<i>Puck of Pook's Hill</i>
AR	<i>Actions and Reactions</i>
21 Tales	<i>Twenty-one Tales by Rudyard Kipling</i>
SW	<i>Sahib's War and Other Stories</i>
FPB	<i>The Favorite Poems and Ballads</i>
BB	<i>The Barrack-room Ballads</i>
SOM	<i>Something of myself</i>
LR	<i>Limits and Renewals</i>

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