

高等院校英语语言文学专业研究生系列教材

总主编 戴炜栋

# Western Classics in Literary Criticism

From Plato to Henry James

## 西方经典文论选读

从柏拉图到亨利·詹姆斯

姚乃强 编

  
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# 高等院校英语语言文学专业研究生系列教材

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### 总 序

近年来,随着我国经济的飞速发展,社会对以研究生为主体的高层次人才的需求日益增长,我国英语语言文学专业的研究生教学规模也在不断扩大。各高校在研究生培养方面,形成了各自的特色,涌现出一批学科带头人,开设出自己的强项课程。但同时我们也认识到,要使研究生教育持续健康地发展,要培养学生创新思维能力和独立研究与应用能力,必须全面系统地加强基础理论与基本方法方面的训练。而要实现这一目标,就必须有一套符合我国国情的、系统正规的英语语言文学专业研究生主干教材。

基于这一认识,我们邀请了全国英语语言文学专业各研究领域中的知名专家学者,编写了这套《英语语言文学专业研究生系列教材》,旨在集各高校之所长,优势互补,形成合力,在教材建设方面,将我国英语语言文学专业的研究生培养工作推上一个新的台阶。我们希望通过这套教材的出版,来规范我国的英语语言文学专业的研究生课程,培养出更多基础扎实、知识面广、富有开拓精神、符合社会需要的高质量研究生。

在内容上,本套系列教材覆盖了英语语言文学专业各学科的主要课程。我们总的编写指导思想是:结合我国英语语言文学专业研究生教学的实际情况与需要,强调科学性、系统性、先进性和实用性。力求做到理论与应用相结合,介绍与研究相结合,中与外相结合,史与论相结合,广泛搜集资料,全面融会贯通,使每一本教材都能够反映出该研究领域的新理论、新方法和新成果。本套教材的这些特点,使其有别于单纯引进的国外同类原版教材,是国外教材所不可取代的,两者的作用是相辅相成的。也正是由于这些特点,本套教材不仅可以作为我国英语语言文学专业研究生的主干教材,也可作为中国语言文学专业的教师与学生的参考用书。

在编写体例上,我们参照了国家标准局的有关标准以及国际上的通行做法,制定了统一的规范。每章后面,都列出了思考题和深入阅读书目,以便启发学生思考和进一步深入研究。

教材建设是学科建设的一项重要基本建设,对学科发展有着深远的影响。我们相信,正如国外剑桥和牛津大学出版社出版的语言学和应用语言学教材

和丛书对推动国际语言学和应用语言学的发展起了巨大作用一样,在世纪之交推出的这套系列教材,也必将大大推动我国 21 世纪英语语言文学专业研究生教育事业的发展,促进我国英语语言文学研究水平的提高。

戴炜栋

2000 年 9 月

《西方经典文论选读》是上海外语教育出版社策划、运筹和出版的“高等院校英语语言文学专业研究生系列教材”之一,也是“西方文学理论和批评”这门课程教材总体设计中的第一部分。本书内容涵盖 20 世纪以前的西方文学理论和批评,第二部分则以现当代西方文学理论和批评为主。按照计划与分工,我负责编写前一部分,南京大学朱刚教授负责后一部分。这两本教材在内容、年代上先后衔接,编写的原则和体例也尽量保持一致,但根据不同时期产生的不同文学理论、流派和批评方法,在编选的方法,内容的取舍以及陈述风格等方面略有差异。我和朱教授在编写过程中经常交换意见,磋商计议。他的《二十世纪西方文艺批评论》一书已在 2001 年 10 月出版,让我有先例可援,并鞭策我加快本书的编写。

本书取名为《西方经典文论选读》,也许用《英美经典文论选读》更为符合本书的实际,因为除了前四篇选自古希腊、古罗马的哲学家、文论家写的经典著作之外,其余的十二篇都出自英美作家之手。我为什么要将柏拉图、亚里士多德、贺拉斯和郎吉努斯四位大师的作品选入,而不是清一色的英文论家的作品呢?我认为这几位大师的作品篇篇都是传世之作,是每一个英美文学专业的学生,尤其是研究生必读的著作。他们的论著所阐述的思想可谓是西方文学理论的源头。什么是文学?文学的本质是什么?文学究竟有什么功能?作家在社会上的作用是什么?其地位又如何?以及什么是“摹仿说”、“悲剧定义”、“崇高论”等等,几个世纪以来在文艺界争论不休的问题,盖发源于这些经典著作之中。当然,长期以来,除了上述几位古希腊和古罗马的文学大师及英美作家之外,其他国家的一些优秀文学大师和批评家,对这些问题也发表过许许多多思想深邃、富有真知灼见、或文笔优美隽永的文论,有些并不比入选的英文论逊色,甚至更博大精深,脍炙人口。那么,为何不包容兼收,优中选优呢?主要考虑是作为一门课程,授课时间有限,内容不宜过多,不必面面俱到。另外,对于英语语言文学专业的学生来说,读英美文学评论家写的文章,无论在语言、背景知识以及可能涉及到的作家和作品等方面都较为熟悉,有助于提高学生的学习兴趣,收到较好的效果。对文论有兴趣的学生则可由此及彼,一隅三反。

本书是一本教材,或者严格地说是一本“资料汇编”,朱刚教授称之为“sourcebook”是比较确切的。我从1991年开始讲授“西方文论”这门课。由于没有一本较适合我国英语语言文学专业研究生使用的这类教材,年年要复印许多资料发给学生,原因是学生在图书馆不易借到原著,在书店里也往往难以购得。国外出版的这类教材不少,有的质量也不错,但常常篇幅较多,动辄上百万字的大部头书,价格不菲。另外,这门课时间跨度较大,有些作品分散在多本著作里面,对教学使用来说,不甚方便。目前,我国研究生扩大招生之势迅猛,对教材的渴求极为强烈。因此,我愿将我在长期教学中积累的一些资料,经过筛选整理,结集成册,以应教学的需要。

本书共分三大部分:一、古希腊和古罗马时期的经典文论四篇;二、英国16世纪到19世纪的重要文论七篇;三、美国19世纪作家的五篇文论。全书共十六篇,独立成章,大体上可作为一个学期的教学内容。把古典文论和英美作家的论文分成三大部分是考虑到有的院系课程设置不同,或因其他原因,没有单独设“西方文论”课程,他们便可因地制宜,灵活运用,比如把古典文论部分放在“文学导论”课中教,把英美文论分别放在英美文学史或选读课中讲授。我曾经试验将这里入选的五位美国作家的文论作为“19世纪美国文学”课程的一部分来讲授,让学生对美国19世纪的文论有一个较系统的又较简略的了解,收到了较好的效果。英国部分则结合英国文学史来讲授,效果亦然。这样,扩大了教材的应用范围,一书多用。

每一单元由作者简介(About the Author)、文本提要(About the Text)、文本(The Text)、思考题(Study Questions)、推荐书目(Further Reading)几部分组成。作者简介和文本提要写得都不长,只提供一些必要的背景知识。这些简介和提要是从我讲课笔记和积累的资料中遴选出来的,在编写过程中又添加进了国内外最近出版的书刊或网络上下载的一些新材料。原著的文本是在对不同的版本进行比较后选定的,重要的文章尽量采用全文,不作删节。培养学生的思维能力、创新能力和良好的阅读与写作能力是研究生教学中的重要目标,每章后面的思考题和推荐书目不仅是为了帮助学生复习和掌握本章的内容,也是为了培养上述各项能力而设置的。书后还附有“文学批评术语汇编”(Glossary of Literary Critical Terms),约一百五十条,是从多本词典与教科书中摘选整理而成的,可作为学生学习文论时的参考。

全书用英语编写,因为本书是作为英语专业研究生和本科高年级学生的



用书,学生已经具备相当的英语阅读能力。另外,根据我本人的了解,国内有关西方文论的专著、选读、教材等的中文版本、译本或用中文注解的书已经出了不少。有些学生在上这门课之前多多少少都读过这类书,却较少接触到完全用英语撰写的这类书,结果有的学生一些词语和概念只知道中文译名和中文表达方式,而不知道英语的原名与英语的表达方式。

我教英语,包括“西方文论”这门课程虽然已经多年,但我始终有力不从心之感,真是“学无止境”,尤其讲授文学理论和文学评论这类课程,不仅语言功底要好,而且还要有很好的文学修养和深厚的文化底蕴。要准确地评价一个作家、一部作品绝非易事,而要把一篇理论艰深、语言抽象、乃至晦涩难懂的文论,讲得深入浅出,生动活泼,还能给人有所启迪更是难上加难。本书中对作家及其文学批评理论的评述尽量做到客观公允,多介绍一些已普遍接受的想法和论述,给师生在课堂讨论和撰写论文时留有更大的空间。

最后,我要衷心感谢美国东田纳西州立大学英语系的 Robert Jack Higgs 教授,是他在我于该系任教和回国编写此教材时给了我许多指导与帮助。我也要感谢多年来在我讲授这门课程时给予我合作和支持的我的博士生和硕士生们。我从他们的提问、发言、讨论和论文中得到不少启发,让我不断改进教学。这里要特别感谢陈榕博士、陈许博士和陈丽等青年教师,他们在读研究生时都听过我这门课,对如何教好这门课提出过中肯的意见。现在他们又在搜集资料,整理校对书稿等方面给了我不少帮助。我还要在此对上海外语教育出版社的领导和编辑同志们表示由衷的谢忱,没有他们的鼓励和支持,我是很难完成本书编写任务的。我更希望使用本教材的教师、学生和广大读者提出宝贵的意见和批评,以便不断修改完善,在此先致谢意。

本书的文论与有关资料主要选自下列各书,也是重点推荐的参考书:

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***Critics of Ancient  
Greece and Rome***





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# 1. Plato

## *Republic, Book X*

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### About the Author

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Plato was born in Athens around 428 BC to an aristocratic family with a long and esteemed history of political leadership in the state. His father, Ariston, descended from the early kings of Athens, and his mother, Perictione, from a distinguished family that was related to the legislator Solon. Plato's father died when Plato was a young child; his mother, unable to support Plato, his two older brothers Adeimantus and Glaucon, and his young sister Potone on her own, remarried Pyrilampes, an associate of the statesman Pericles.

Plato had political ambitions as a young man and appeared destined to continue in the family tradition. His disillusionment with Athenian politics, however, was inevitable. Both Athens and its politics had begun to decline since the onset of the Peloponnesian War several years before Plato's birth. Outside the political sphere, Plato enjoyed success in athletics, winning the Isthmian wrestling competition, and wrote various forms of poetry and drama. Aristotle reported that during his youth, Plato also became familiar with the teachings of Cratylus, a student of Heraclitus, and other pre-Socratic thinkers, such as Pythagoras and Parmenides, providing the young philosopher with a worthy introduction to the foundations of Greek metaphysics and epistemology. At about this time, Plato probably met Socrates, who, because of his uncouth habits and intellectual unorthodoxy, was already an infamous figure in the city of Athens. Plato immediately became his devoted follower and a dedicated student of philosophy.

Socrates has been credited with teaching Plato basic philosophy along with his dialectic style of debate, in which the truth is elucidated through a

series of questions and answers. It is also thought that Socrates directed his disciple's inquiries toward the question of virtue and how it manifested itself into the nobility of human character. If there is a broader context in which Plato's philosophy developed, eventually unifying to some extent metaphysics, epistemology, aesthetics, politics, and ethics, it is the pursuit of virtue.

Following the end of the Peloponnesian War, an oligarchic tyranny, called the "Thirty Tyrants," ruled Athens for eight months from 404 – 403 BC. Critias and Charmides, members of the regime that seized the estates of wealthy citizens and resident aliens and executed numerous others, invited Plato to join them. The junta, however, had dissolved as a result of civil war before Plato could decide. But the Thirty also tried to enlist Socrates by ordering him to arrest Leon of Salamis. Although Socrates refused to comply — escaping punishment only because the Thirty were promptly replaced by a new and radical democracy, he nonetheless gained a reputation for anti-democratic beliefs. In 399 BC Plato witnessed the trial and execution of Socrates at the hands of the restored Athenian democracy, under charges of corrupting the youth, introducing new gods to the city, atheism, and unusual religious practices. The trial, later memorialized in the dialogue, *Apology*, culminated the most important sequence of events in Plato's early life. Soon after this a thoroughly jaded Plato, justifiably fearing for his own safety, left Athens, abandoning his political career and a state he was no longer able to serve. During the next twelve years Plato traveled widely around the Mediterranean, visiting Italy, Sicily, and Egypt, searching out the philosophers, the priests and prophets of other lands with whom Plato reportedly studied religion, geometry, and astronomy. He was also at this time composing his first group of dialogues, generally known as the "Socratic" dialogues, because of their more direct debt to Plato's mentor, including *Apology*, *The Crito*, *Charmides*, *Euthyphro*, *Laches*, *Lysis*, *Hippias Minor and Major*, *Gorgias*, *Ion*, and *Protagoras*.

In 387 BC, at the age of forty, Plato returned to Athens and founded the Academy, often described as the first European university, which continued to teach its comprehensive curriculum of astronomy, biology, mathematics, political theory, and philosophy until it was closed in 529 AD by Emperor Justinian, nearly one thousand years later. The institution was designed to train a new generation of leaders for the Greek world, the "philosopher-kings." Aside from administrating the Academy, Plato was, during this pro-



lific and transitional “middle” period, expounding his more mature philosophical speculations, including the theory of Forms, or Ideas, in works such as *Phaedrus*, *Symposium Meno*, *Euthydemus*, *Menexenus*, *Cratylus*, *Phaedo*, and, especially in *The Republic*.

When in 367 BC Plato was offered the opportunity to put his philosophical ideas into practice by tutoring the new ruler of Syracuse, Dionysius II, he accepted, despite being heavily occupied with the administration of the Academy and his own philosophical writings. His experiment in Sicily failed twice, so disagreeably on the second trip that Plato had difficulty returning unscathed to Athens in 360. Meanwhile, Aristotle, Plato’s most prominent student, had entered the Academy. There is comparatively little knowledge about the final years of his life, though it is certain Plato continued lecturing at the Academy and writing. The works produced in these years — *Theaetetus*, *Parmenides*, *Philebus*, *Laws*, and *Timaeus* — constitute the “later” period and contain some of Plato’s most profound meditations on the nature of knowledge, perception, and subjectivity. He died in his sleep at about the age of 80 in Athens in 348 or 347 BC.

### About the Text

If, as Whitehead said, the history of philosophy is a series of footnotes to Plato, then it may also be said that the history of literary criticism is a footnote to Book X of *The Republic*.

Book X is the most influential discussion of art in the Platonic canon. Its central thesis — that poets have no place in Plato’s ideal state save as writers of hymns to the gods and songs in praise of great leaders — has stung devotees of the arts for the last two thousand years.

Book X is at the end of *The Republic*, the longest of the dialogues, which opens with the issue of whether Might makes Right. This harsh question leads Socrates and his two friends to consider the question: What is Justice? Socrates’s hypothesis is that Justice is knowing one’s place and performing its duties — but how can one know and act properly in the Athenian polis? This question leads Socrates to fashion a model state, a republic governed by a natural elite of guardians, in which it would be possible, as it is not in