# Understanding Poetry



## 理解诗歌

第4版

Cleanth Brooks Robert Penn Warren

外语教学与研究出版社
FOREIGN LANGUAGE TEACHING AND RESEARCH PRESS
汤姆森学习出版集团
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英美文学文库



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### General Preface

Among the most important developments in contemporary global culture is the arrival of Western literary criticism and literary theory in China. FLTRP is to be congratulated for its imagination and foresight in making these crucial texts available to teachers and students of literature throughout China. There is arguably no greater force in producing understanding between peoples than the transmission of literary traditions—the great heritage of narrative, lyric, and prose forms that give cultures their distinctive character. Literary criticism and theory stand at the cross-roads of these transmissions. It is the body of writing that reflects on what a literature has meant to a culture. It investigates the moral, political, and experiential dimensions of literary traditions, linking form to content, literature to history, the sensuous love of literature to analytic understanding.

The availability of these important texts will greatly help students and teachers to become acquainted with recent criticism and major critical theories and movements. I am convinced that the series will make an important contribution to the literary education of China, increasing literacy in new fields and international understanding at the same time. It is an extraordinarily timely venture, at a time when comparative literary study in a global context has become increasingly important for professionals, and beyond that, for a general readership that seeks a deeper understanding of literature.

#### W. J. T. Mitchell

Gaylord Donnelley Distinguished Service Professor English and Art History University of Chicago Editor, Critical Inquiry

## 出版说明

近年来,许多大专院校为英语专业的学生开设了英美文学课程,市场上也出现了各种版本的原版英美文学经典著作,它们基本上满足了高校对课堂阅读教材的需要。但是,英美文学教学中仍然严重缺少原版文学史、文学理论、文学评论和文学工具书等重要参考书,以至于许多学生写论文时收集资料成为一大难题,专业教师和研究人员业务水平的提高因此受到限制,在知识更新及学术研究上也难以与国际接轨,北京、上海等大城市以外的地方尤为如此。

据此,外研社组织了全国17所著名高校或研究院的44名英美文学领域的专家学者,经过仔细斟酌,决定引进一批与教学需要相适应,有学术价值,在国外最常用且被国际公认为优秀的文学评论、文学理论、文学史和文学工具书。这是一套开放型的系列图书,以原版加中文序言的形式分批出版。相信这套书的出版定可缓解国内大专院校中英美文学参考书匮乏的现象,同时,通过这种途径,可以有意识地引进国际知名学者的代表作,这无疑会推动和提高我国在英美文学领域的研究水平。

## 钱青

北京外国语大学英语学院

《理解诗歌》是克林斯·布鲁克斯(Cleanth Brooks)和罗伯特·潘·沃伦(Robert Penn Warren)合著的美国大学文学系教科书,最初于1938年出版。两位作者都是20世纪三四十年代美国新批评派的重要人物,两人与他们的老师、美国田纳西州范德比尔特大学兰色姆(John Crowe Ransom)教授和他们的同学泰特(Allen Tate)等人共同出版过文学刊物《逃亡者》。1925年后,布鲁克斯与沃伦都从诗歌创作转向文学批评,合编了《南方评论》(1935-1942),成为"南方批评学派"的主要成员。后来在耶鲁大学共事期间,他们与维姆萨特(William K. Wimsatt, Jr.)和韦勒克(Rene Wellek)等形成了新批评后期中心之一,以"耶鲁集团"闻名。他们合著的《理解诗歌》影响极大,成为美国大学广为采用的课本。许多批评家认为它是"把新批评派的正统观念传授给整整一代美国文学学生"的一个"主要媒介"。①

本书收录的诗歌数量多达345首。除传统诗歌外,还包括188首20世纪 诗歌。从时间跨度上看,自15世纪流传于英国的中古民谣始,直到20世纪初 期的英语诗歌止,长达五百余年。从涉及的诗人来看,文学史上知名诗人达 157位之多,此外还有一些佚名诗人和个别的日本诗人。从诗体上看,有民歌 体、十四行诗、素体诗、英雄联韵体、颂歌体等,以及自由诗,不一而足。在 编排上也匠心独运,譬如把内容相关的诗纳人同一主题,旨在戏剧性地阐释各 种不同的态度、意义和方法。书中强调当代诗歌与历代诗歌的对比研究,尤其 关注文化内涵,包括当代英美国家中的某些文化差异,涉及性别、民族、民俗 等各个方面,出于这种考虑,书中收录了45首妇女诗歌、24首非洲裔美国诗 人和印第安诗人的诗歌, 以及若干民歌。书中同样强调节奏、格律和体式等技 术性问题。然而最重要的是,本书对理解英语诗歌做了全面、系统的处理。全 书共分8章,分别阐述戏剧性情境、诗歌的描述性、语气、比喻语言、主题意 义和戏剧性结构、各种运用方式,以及提供进一步研读的诗和当代具有代表性 的诗。书后还有4个附录,都很重要,不可忽视。最后的索引包括作者、标题 和术语, 也便于查阅。值得注意的是, 书中每一章大致分为两部分: 第一部分 包括前言、诗歌文本和编后语,并有对节奏和格律的详析,诗歌文本后面有注 释和启发性思考题,第二部分是补充阅读的诗歌。每一章都是一个完整的单

①见David Lodge. 20th Century Literary Criticism: A Reader (London: Longman, 1972), 291页。

元,而各章之间也相互关联。因此,读者既要把握各章的基本内容,循序渐进,也要注意章节之间的前后照应,融会贯通。

两位作者主张诗歌形式与内容的统一,认为诗决非用各种成分(格律、 韵、比喻语言和思想等) 机械地堆砌而成, 犹如用砖砌墙, 各种成分之间的关 系是整体性的, 犹如有机的花草 (第11页)。因此, 读惠特曼的《骑兵渡浅滩》 时,应当思考该诗是否仅由各种细节拼凑而成,还是有着某种组织的原则(第 81 页), 读济兹的《秋》时, 应当思考诗中的拟人化与主题之间的关系(第88 页)。本书特别强调文本细读的方法、注重诗歌结构和语义的分析、这对我国 读者无疑具有特别重要的意义,很有借鉴价值。就新批评的正统观点而言,强 调文本为中心,必须消除两个迷误,即"意图迷误"和"感受迷误"。但本书 在一定程度上似乎学受这种约束。作者强调当代诗歌与历代诗歌之间的连续 性和关联性、尤其突出 20 世纪诗歌与传统诗歌之间的内在联系。读斯蒂芬· 斯彭德的《贫民窟中的小学》时,要求将该诗与布莱克的《伦敦》加以对照, 并且提示: 两首诗都描写城市(虽然时代不同), 涉及同样的或密切相关的主 题(第153页)。读布莱克的《羔羊》时、要求将该诗与他的《老虎》进行比 较(第202页),因为"两首诗都与创造有关,羔羊和老虎象征创造中对立的 两极"、因此必须放在一起读(第203页)。对于布莱克笔下的老虎究竟指什 么, 历来众说纷纭, 但把两首诗放在一起读, 或许就会有不同的理解: 如果羔 羊代表善的力量,那么老虎就代表宇宙中一切恶的力量。因此,该诗第20行 "难道是创造羔羊的他,也创造了你?"就意味着创造善的上帝也创造了恶。 作者还指出,不了解莎士比亚生平,或不了解《哈姆雷特》的创作过程,也能 够读懂它,但如果不了解把复仇视为荣誉的英雄诗传统,就无法理解它(第 465页)。第五章还分别列举了丁尼生、豪斯曼和吉卜林的三首诗(第116-122 页),说明它们具有同样的情境,但在语气、结构、意义和主题上均不相同, 而且还可能引起读者的不同反应。一首诗的主题相当于"对人类价值观的评 论,也是对生活的阐释"(第269页)。因此一方面,读者共同的基础是"目睹 和参与人类的努力,通过体验来获取意义"(第270页);另一方面,读者的感 受可能与诗人相悖, 而且读者之间也可能有各种理解, 因为各自的观点、趣味 和价值观不尽相同,对诗歌主题的理解自然也有所不同(第 269 页)。作者指 出,诗虽是自存自足的,却又使人"更意识到诗歌本身之外的生活"(第11页)。 由此来看,本书并不完全排斥文类分析和社会历史批评。

正如本书所表明的那样,要从多方面来深化对诗的理解。其中或许更为重要的是诗的比喻语言,尤其是隐喻和象征。在这里,首先应知道诗的核心是images。对于这个词的理解,也是仁者见仁。一般认为它指"意象",即"通过感情以传达经验的语言",也许更多地暗示"内心的图景"。<sup>①</sup> 罗伯特·布朗宁

①劳·坡林著《怎样欣赏英美诗歌》,殷宝书编译,北京出版社,1985年,第41页。

《深夜幽会》(第41页)中的说话者讲述了他前去与情人幽会的行程。诗中每 一行都包含某种意象,如视觉意象(灰暗的海、漆黑的地、黄色的弯月、细浪 闪射的金光、火柴点亮的蓝光)、触觉和味觉意象(暖暖的沙滩散发的海香) 听觉意象(船头扎入岸边泥沙、轻扣窗户、擦燃火柴、恋人们低声细语和心跳 的声音)等,这一切都诉诸于说话者的感觉,通过一系列感觉印象,传达出内 心的激动和喜悦。但本书作者明确指出,诗中的images与人的直接感觉不同: "手严重烧伤的感觉比最生动的词语所描绘的感觉都更强烈。因为诗存在于词 语中,而不存在于直接的感觉中,它的真正作用不是力图超过感觉印象世界的 生动性",而是"通过对事物、人物或事件的戏剧性表现来激发我们的想象" (第68-69行)。因此, image 指的应是"语言中的象, 由具象的(即能在读者 意识中激发相应感觉经验的)语言组成",因此把image说成"语象"或许更 为贴切。① 我们不妨采用"语象"这个术语。诗人是"按语象思维"的,或 者"通过语象或在语象中感觉"的(第196页)。作者明确指出:"思想、感情、 语象……以及语言机质和节奏的这种密度,这种渗透,这种融合,乃是诗的本 质,诗的力量的源泉"(第196页)。在这个意义上,可以说创造语象的能力乃 是诗人的标志。比语象更为复杂的是隐喻。隐喻常被界定为"隐含的比较"(第 206页),或把某个东西说成是、或等同于另一个很不相同的东西。实际上,语 言的本质就是隐喻性的。人们的日常谈话中就带有各种隐喻,如"针眼"与 "河床",只是这些隐喻因使用过于频繁而老化,成为"死的隐喻",或"意义 固定的词"(第580页),不管在什么上下文中都表示大致相同的意思。然而, 诗人总是通过创造新奇的隐喻来扩展和加强他的思想和描述。约翰·多恩在 《告别辞: 莫伤悲》(第240页) 中采用圆规的两只脚来隐喻一对情侣的灵魂, 表现了他们不可分割的完美的精神之爱。18世纪的约翰逊博士批评多恩把混 杂的思想或异质的东西强捏在一起。但是,隐喻的力量来自两个被比较的事 物之间的对照,两者越不相似越好(第578页),这就意味着喻体和喻指之间 的距离越大越好。或者说,隐喻是"语境之间的交易",隐喻的力量就在于把 极为不同的语境联在一起(第579页)。多恩的圆规隐喻似乎不合逻辑,然而 由于这个隐喻中的喻体(圆规的两只脚)和喻指(两个灵魂)之间相距很远, 或由于两种极为不同的语境(几何学与爱情)被联在一起,它反而显得更奇 特,内涵更丰富。玄学派惯用"中性的"比喻,或不带特殊感情色彩、甚至没 有任何"诗意或美的联想"的比喻 (第225页), 但玄学派隐喻正是依靠喻指 和喻体之间或两种语境之间的远距取胜。象征与隐喻的不同在于它是"一种 '体现'或'代表'复杂情感和思想的语象"(第201页)。斯蒂文斯《坛的故 事》(第200页)一开头就说:"我在田纳西州放了一只坛",而且"放在一座 山上",这种说法很怪。州太大,山太高,而坛太小,这就形成极不相称的对

①赵毅衡著《新批评》、中国社会科学出版社、1986年、第132-136页。

照,因此这坛也就具有了某种神秘色彩(第200页),成为全诗的"焦点",从而暗示"这坛是一个象征",因为它"代表"了自身之外的某种"复杂情感和思想"(第201页)。当然,隐喻也可能代表某种复杂的情感和思想,但在《坛的故事》中,坛就是坛,它不代替任何其他东西,它只是一种"扩散的意义",而不是"扩散的语象"(第201页)。

多恩的圆规隐喻显然是诗人有意识地用它来隐喻一对精神情侣的,因此 隐喻带有较多的人为色彩。相对而言,象征则较少带有人为色彩,而且更"自 然"(第577页)。约翰·班扬的《天路历程》带有明显的意识。故事中把抽象 概念拟人化,如主人公 Christian (基督徒),他与旅伴们先后穿过"绝望泥 沼"、"名利场"、"怀疑城堡"等地、最后抵达天国之城。故事中的各个人物、 各个地方,都是象征。一个基督徒象征所有的基督徒,形成一对一的固定关 系。这种象征的特点是"被安在固定的,虽然有时是很复杂的布局中"(第580 页)。这种象征不同于斯蒂文斯的坛,可以称为寓言式象征,是中世纪寓言传 统中所经常采用的。此外,有些象征在人类经验中是根深蒂固的,如太阳是赋 予生命的力量, 它发出光和热使人类的生命成为可能, 因此往往象征"驱散黑 暗势力的真理之光",或"春天滋润万物的太阳击溃死亡的力量"(第580-581 页)。布莱克笔下的羔羊,不仅具有天真而温顺的传统联想,也是基督教世界 中常用的基督的象征。这种象征可称为公用象征。但也有些是属于诗人自己 只用一次的象征,如W.B.叶芝在《驶向拜占庭》(第353页)中采用古拜占 庭来象征理想化的现代世界。这种象征可称为私用象征。其实,象征和隐喻有 时重叠, 很难分辨 (第 205 页, 第 581 页)。这是个相当复杂的问题, 人们对 此也往往争论不休,本书"附录 C"重点阐述了隐喻和象征之间的差异,值得 认真研读。

关于诗歌格律等各种技术性问题,在"附录B"中得到系统的处理。该附录分为两部分、第一部分阐述传统诗歌的格律,第二部分介绍自由诗。第一部分介绍以重读音节为特点的诗歌,诸如音步、抑扬格等术语,划分重音的技巧,修辞变化的意义,重读音节的划分,以及韵(第523页);第二部分介绍自由诗。自14世纪英国诗人乔叟开创的格律诗起,直到19世纪美国诗人惠特曼首创的自由诗为止,可以说诗歌与散文的分野在于前者根植于格律。20世纪初,人们曾经认为可以删除一切正规的格律,主张写自由诗。所谓"自由诗"主要指在格律和节奏上的自由,但这并不意味着它没有形式,因为"没有形式,就没有诗歌"(第560-561页)。在自由诗和格律诗之间也没有严格的界限。格律诗并非一成不变,也常有破格现象;自由诗也不是一点不讲格律,它也隐含着某种(不是传统意义上的)格律。T.S. 艾略特在为庞德的《诗选》所写的序言里,曾把作为话语的诗(verse as speech)和作为歌的诗(verse as song)区分开来,说明抒情诗不仅可以用传统的歌来写,也可用无韵的话语节

奏来写。不管怎么说,掌握一定的格律知识是欣赏英诗的不可或缺的组成部分。本书各章都有一节专门对节奏与格律的分析,这对中国学生无疑是极为 重要的基础知识。

布鲁克斯生于1906年,沃伦生于1905年。他们两人都毕业于田纳西州范德比尔特大学,后来又任耶鲁大学教授。除本书外,他们也合著了《理解小说》(*Understanding Fiction*, 1943)。本书曾于1950年、1960年两次再版。现在的版本是经过扩充的第4版,于1978年问世。

胡家 峦 北京大学英语系

## Preface

This fourth edition of *Understanding Poetry* has been much more thoroughly and radically changed than were the second and third editions. What we began as merely another revision became, during several years of conversation and argument, an attempt to re-inspect, to re-think, from the start. This revision is thus the result of a new immersion in poetry for both of us.

We have tried always to keep in mind that this book should be both teachable and flexible. These two qualities interact in our minds-and, we believe, in the book-with what we feel is the most natural and fruitful way to approach any poem: To begin with as full and innocent an immersion in the poem as possible; to continue by raising inductive questions that lead students to examine the material, the method, and their relations in the poem-that is, to make an appeal to students' "understanding" of the poetic process; then to return students as far as possible to the innocent immersion-but now with a somewhat instructed innocence to make deeper appreciation possible. The purpose of such a process is to lead each student, not to a set of clichés that may be parroted about any poem, but to an experience of the poem-an experience that is at first immediate in its impact and then gradually acquires greater and greater resonance. Students, in other words, can be encouraged to understand poetry both as a continuity with, and a comment on, their own experience. They can be led to understand poetry as a means of imaginatively extending their own experience and, indeed, probing the possibilities of the self.

The most obvious result of seeking to achieve these goals is the changed organization and table of contents:

- 1. In the third edition, there were 215 poems; in this edition, there are 345. But these figures do not tell the whole story. There are actually 188 poems new to *Understanding Poetry*. Believing in the vital continuity of past and present, we have greatly increased the number of contemporary poems; in fact, there is now a whole new section entitled "Representative Poems of Our Time."
- 2. We have tried to emphasize more strongly the relation of traditional to twentieth-century work by placing the poems according to the two principles contrast and continuity. For example, in Section 3, "Tone," under the subheading "Against the Establishment" (pp. 149-161), we include three traditional poets from the late eighteenth and early nineteenth

centuries, a protest piece from the Depression, two ballads, Lowell's poem on modern Boston ("For the Union Dead"), two noteworthy pieces of black protest, and Ginsberg's lament for America ("A Supermarket in California").

Among other instances of such interweaving of periods under a single rubric is Section 4, "Analogical Language: Metaphor and Symbol" (p.96). In one of the several subsections dealing with the various strategies in the use of metaphor and symbol, we include "She Dwelt Among the Untrodden Ways" (Wordsworth), as well as "You're the Top" (Cole Porter).

- 3. The mere juxtaposition of old and new inevitably involves cultural differences, but we have undertaken to dramatize the matter of poetry and cultural difference not only by chronological and geographical spread, but also by a variety of cultural sources. We should emphasize here that this is not a handbook of comparative literature and that it is confined to the English-American language. Even within the limitations of that language, however, there are a great variety of cultural sources, traditions, and techniques from which we have drawn. There are certain obvious sources of variety: here are 45 poems by women, 24 by black Americans and Indians (including examples of the rich poetic tradition of spirituals and blues), a number of examples of folk poetry of various orders, and an appendix of parodies.
- 4. Another new feature is the reorganization of material in the individual sections to provide a more effective pedagogical progression. This process of revision is most obvious in Sections 3, 4, and 5. Section 3, "Tone," for example, is divided into eleven subsections (A-K), each concerning a general topic that clearly invites differences in tonal treatment. We have already commented on the variety in Subsection F, "Against the Establishment," but we should also note the variety in Subsection D, "A Garland of Love Poems" (pp. 138-145), which juxtaposes a cry of yearning ("Western Wind"), almost naked passion (Tennyson's "Fatima"), sentimentality (Brown's "When Love Meets Love" and E. B. Browning's "If Thou Must Love Me"), intellectualized passion (Shakespeare's "Let Me Not to the Marriage of True Minds"), and a blend of intellectual paradox and tenderness (Auden's "Lullaby").

The point here is that the variety is not for the sake of variety as such. The fact of the variety dramatizes, in a pedagogical progression, the fundamental question: how do the elements in a poem relate to its overall meaning and "feel"? That is, how does the poem come to be what it is, even though its topical concern is the same as that of a number of other poems? As for a similar intention, but with a somewhat different method, we should point to Section 4, "Analogical Language: Metaphor and Symbol," which, in its six subsections, surveys various aspects of meaning and strategy in the use of imagery.

To sum up, then, the organization of this edition emphasizes progression

by smaller units—or "clusters"—of concern arising from the general topic of a section.

- 5. An entirely new feature in this edition, Section 6 (p. 341), is organized about the relation of a number of poems to a common subject, a way of dramatizing the variety of the attitudes, meanings, and methods available when "the poet looks at a bird."
- 6. Perhaps our most marked departure from ordinary practice is in the method of treating metrics and other technical problems. All instructors know that when this type of material is offered in terms of abstract principles, the result, for many students at least, is boredom and alienation. Yet there is a systematic body of such material which is essential to an understanding of the nature of poetic practice—not merely in an intellectual sense, but, more importantly, as a way of sharpening the ear and the feelings of the reader. Our conviction is that only the instructor, who knows the specific class, can finally decide on the best way of handling this most difficult of problems. We have therefore sought a method flexible enough to give the instructor room for maneuver, but without sacrificing the possibility of a systematic treatment of the subject.

We offer Appendix B, "Metrics" (p. 493), which consists of a systematic treatment of both meter and other technical questions, including such topics as theoretical variation, unity and texture, musicality of verse, stress meter, and free verse. Except, perhaps, in certain advanced groups, this appendix should not, in the beginning at least, be studied as a whole. The ideal is for students to grasp the relevance of the technical material bit by bit as it applies to the poetry they have already made some basic connection with and, presumably, immersed themselves in, even as a rhythmic experience.

What we have done is to insert six "Rhythm and Meter" subsections in Sections 1-5 that discuss topics—and refer to pages—in Appendix B that are most fruitfully considered in connection with certain poems in the specific sections. Additional exercises related to the poems are often included in these subsections. Also, there are page references to Appendix B elsewhere, when appropriate. Note that the sections of Appendix B assigned in the "Rhythm and Meter" subsections and elsewhere are not consecutive. For example, early in the book, the student encounters poems in free verse and poems in stress (not accentual-syllabic) meter; therefore, we send the student to Appendix B for further information on those topics at those points, even though, for systematic reasons, stress meters and free verse are treated late in Appendix B itself. That is, our references meet the student's immediate need.

Our hope is that by the time students have reached the end of Section 5, they will have covered all of Appendix B, in constant association with poems they have come to know well, reinforced by poems in the appendix itself. Thus we have tried to devise a method by which the study of technical matter is geared to the student's needs and curiosities while progress-

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ing—a method that constantly emphasizes the expressive aspect of the technical details and constantly suggests our governing idea of the massive unity of the good poem.

. . .

The first edition of this book was published in 1938 and the following editions in 1950 and 1960. During all the years that these three earlier editions have been in use, we have benefited from comments, suggestions, and criticisms from a great number of instructors who have used the book. These constructive reactions have had much to do with the fact that each edition, including this one, has, we believe, been a decided improvement over the last. We wish to make formal acknowledgment here of our debt to these colleagues.

C.B. R.P.W.

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