

靳涵身 著

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Rewriting and Subverting the Classic

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约翰·厄普代克「红字」三部曲之互文研究
重写与颠覆



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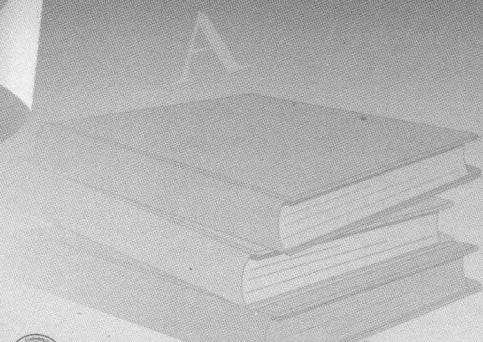
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**REWRITING AND SUBVERTING THE CLASSIC:
AN INTERTEXTUAL STUDY OF JOHN UPDIKE'S
THREE PALIMPSESTS OF *THE SCARLET LETTER***

by

Jin Hanshen

A Dissertation

Submitted to the Graduate School and College of English
in Partial Fulfillment of the Requirements for
the Degree of Doctor of Philosophy

Under the Supervision of
Professor Yu Jianhua
Professor Lan Renzhe

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自序

约翰·厄普代克（John Updike, 1932~）是美国当代著名小说家、文论家、诗人，不仅成果累累，且文采熠熠，几乎揽获美国所有的文学大奖，被誉为世界最佳英语小说家之一。其文坛地位被认为与霍桑和纳博科夫等大师齐名。

批评界认为，厄普代克在文学创作上与许多美国文坛巨匠有相同之处，称之如惠特曼满腔热忱地歌颂人之肉体及欲望，如霍桑细致入微地探索两性关系及物质和精神的关系，如库伯和帕索斯聚焦于自己的民族，如费茨杰拉德努力把握时代的音容、肌理与脉搏，因而被誉为“战后美国民族心灵与行为的领衔编年史家”。因此，研究厄普代克及其作品，既有美学意义，也有文化意义。

此项研究的对象是厄普代克“《红字》三部曲”——《整月都是礼拜天》（1975）、《罗杰教授的版本》（1986）、《S.》（1988）与霍桑《红字》（1850）之间的互文关系。其主要任务是：（1）考证二者之间的互文事实；（2）梳理厄普代克互文小说的创作方法；（3）品评其互文艺术的特点；（4）甄别其世界观在这几部作品中的体现；（5）提高对美国社会文化的认识。

指导此课题研究的理论依据是克里斯蒂娜等语言学家提出的“互文理论”。对厄普代克“《红字》三部曲”与其原型作品《红字》之间互文现象的考证，主要在“仿拟性互文关系”“延展性互文关系”“颠覆性互文关系”三个层面展开。研究发现，在“仿拟性互文关系”层面，厄普代克作品中最突出的互文现象是对《红字》与“伊甸园故事”之间的原型性互文关系的借引。《红字》承袭了“伊甸园故事”中的许多原型要素，包括里面的“三角关系”人物（丁梅斯代尔——亚当，海斯特——夏娃，奇

灵渥斯——撒旦）、原罪及追求救赎的主题，以及一些原型性象征物（如树木、河流、森林、玫瑰花）等。厄普代克如法炮制，继承了霍桑的创作方法，不仅使自己的作品直接与“伊甸园故事”发生联系，更以《红字》中的人物和情节为原型，创作出现代的丁梅斯代尔（《整月都是礼拜天》中的马什菲尔德牧师）、奇灵渥斯（《罗杰教授的版本》中的罗杰教授）和海斯特（《S.》中的家庭主妇莎拉），并从三角关系人物各自的角度分别讲述自己的故事。在主题上，厄普代克继承了《红字》的话题，如性、婚外情、宗教、救赎（精神解脱）、妇女解放等。在象征手法上，厄普代克也与《红字》如出一辙，使用了树木、河流、玫瑰、森林等象征物。在“延展性互文关系”层面，厄普代克将《红字》中被遮掩起来的场景与话语公布于众（比如男女主人公的性活动），把《红字》中躲在幕后的人物请到前台（比如丁梅斯代尔的家人），或为相关的事件增补前奏或续集，以充实重写文本的信息，使人物更丰满，互文性更厚重。在“颠覆性互文关系”层面，厄普代克虽然借引了《红字》的话题，却颠覆了霍桑关于这些话题的理念。例如，霍桑主张通过诚实的宗教忏悔达到对罪孽的清洗与心灵的升华，而厄普代克的婚外情人们则通过对上帝与宗教的否定以及对性的神圣化来寻求精神的自慰与开脱。此外，厄普代克还颠覆了霍桑为海斯特所设计的较为激进的妇女解放之路。

可见，厄普代克在“《红字》三部曲”中的互文艺术体现了他对原型作品既忠诚又反叛的双重态度。他的忠诚体现于对《红字》文学要素的继承，包括对人物、主题、象征等要素的仿拟。其反叛体现于对《红字》主题的颠覆。厄普代克互文艺术的独特之处，体现于互文层面的多样性、叙事形式的实验性和主要话题的现实性，像是“披后现代派外衣，谈现实主义话题”。其互文层次的多样性体现于厄普代克在重写作品中在上述三个层面的互文建造。其叙事形式的实验性体现于其叙事方法上后现代派戏仿

作品的特点：第一人称的叙事角度、叙事者强烈的自我意识、杂乱的叙事秩序、多层次的话语表达等。但是，厄普代克互文作品的主旨并不在于表现意义的建构方式或文学创作的过程和原理，而是表现家庭、婚姻、宗教、信仰等传统、现实的社会母题。

研究发现，厄普代克互文作品体现了作者的基本世界观。特别是厄普代克在婚外情、宗教信仰、物质与精神、妇女解放等问题上对霍桑理念的颠覆，体现了他从小所接受的路德教派对人性和人的欲念所持的宽容态度，体现了他对“基督教正在衰败、性正成为新的宗教”的观点，体现了他所一贯奉行的“中庸之道”。

通过对厄普代克互文艺术的研究，我们不仅领略了厄普代克这个文学大师的互文艺术，还了解到美国主流文化的变迁。通过了解美国文化的过去和现在，可掌握其传承、发展、变化的轨迹。厄普代克现代丁梅斯代尔、海斯特、奇灵渥斯们的经历表明，虽然美国人享受到现代社会在宗教与性等方面相当的宽松与自由，但仍然陷于禁锢、疏离、焦虑等感觉之中。19世纪中期人们所面临的婚内不和、婚外偷情、人际无信、事业无果、精神无望等人生窘境依然存在，妇女仍未从男权主义的桎梏中得到彻底解放。

需要说明的是，此课题是上海外国语大学的一篇博士论文，其出版的目的是为了与读者共享研究成果，并求得同行的批评。因此，成书的技术规格并非按照博士论文的标准而设置。

为了此书的出版，四川外语学院、河北农业大学曾提供及时、宝贵的资金援助，作者在此向以上两个单位表示诚挚的感谢！

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Abstract

John Updike (1932 ~) is a contemporary American novelist, poet, essayist and literary critic. Up to 2007, he has published 22 novels, 15 short story collections, 10 volumes of essays and literary monographs, 13 anthologies of poems, a drama, and numerous book reviews, speeches, interviews, etc., for which he has received nearly all types of major national rewards. His achievement is so great that he is regarded as one of the best living writers in English in the world, a great writer who has exceeded any other contemporary American author, and a man of letters ranking alongside with such masters as Hawthorne and Nabokov.

In fiction writing, Updike is thought to be on a par with many great American writers before him: like Whitman, he sounds the praises of the human body and its desires; like Hawthorne, he explores domesticity, heterosexual love and the relationship between matter and spirit; like Cooper and Dos Passos, he writes about the American nation; like Fitzgerald, he strives to capture the voices, fashions, textures, and pulse of his time, and is thus well-known as the leading chronicler of post-war American mores and morals. Therefore, the study of Updike and his works is not only aesthetically significant, but also culturally worthwhile.

This dissertation is a systematic study of the intertextuality of Updike's three novels related to Hawthorne's classic, *The Scarlet Letter*(1850), namely, *A Month of Sundays* (1975), *Roger's Version* (1986) and *S.*(1988), the task of which is to find out: (a) facts existing in the three hypertexts that are intertextually related to the hypotext;

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(b) devices of the Updikian intertextual narration and their features; (c) Updike's world-outlook as being reflected in his intertextual efforts; (d) traces of the mainstream American culture, etc.

Under the guidance of the theory of intertextuality put forward by Kristeva and other post-structural linguists, intertextual facts between Updike's three palimpsests and Hawthorne's classic are investigated in three directions: the imitative, the derivative, and the subversive. In the category of imitative intertextuality, we find that the most prominent feature of Updike's imitation is his adoption of Hawthorne's use of archetypal elements in the myth of Eden as prototypes for many literary elements in *The Scarlet Letter*, such as the star-crossed lovers (Adam for Hawthorne's Dimmesdale and for Updike's Marshfield, Dale, and the Arhat; Eve for Hawthorne's Hester and Updike's Sarah and others; and Satan for Hawthorne's Chillingworth and Updike's Roger Lambert and others). We find similarity also in themes such as original sin (sex, adultery), the quest for redemption and symbols such as tree, river, forest, rose, etc. Updike has also taken over from Hawthorne the topic of women's liberation and some other methods of symbolism. In the category of derivative intertextuality, we find that Updike has revealed some detailed scenes or voices that are only covertly expressed in *The Scarlet Letter*, such as that of sexuality between the adulterous partners. Besides, he has let Hawthorne's hidden characters out to the front stage and added prequels or sequels to some events or scenarios to supply cause/effect information and strengthen intertextuality. In the category of subversive intertextuality, Updike is seen to have subverted Hawthorne's understandings of adultery, redemption and women's liberation. Through his protagonists, Updike has subverted

Hawthorne's traditional, Christian notions by allowing his sinful characters to be spiritually resurrected through negating God and the church, and sanctifying adultery. In his depiction of women's liberation, it seems that Updike does not quite agree with Hawthorne about his radical plan to free women from the patriarchal domination.

Based on close examination of the found facts of intertextuality, it is easy to observe that the Updikian intertextual narration features a mixed attitude of devotion and aggression toward his predecessor, with the devotion lying in his imitative efforts and the aggression in his subversive reinterpretation of the main thematic topics. However, the uniqueness of the Updikian intertextual devices lies in the experimental form of narration that bears the features of postmodernist parody, such as first-person point-of-view, self-reflexive narration, disordered narrative sequence, and multi-layered discourses, and in his adherence to taking the traditional, realistic social problems as thematic topics. In other words, the features of Updike's intertextual narration include (a) three intertextual directions (the imitative, the derivative and the subversive), (b) experimental form, and (c) realistic themes.

The study has also found that Updike's subversive efforts have truthfully reflected his world outlook, such as his tolerant Lutheran attitude toward human nature and their sins, his resentment toward organized religion, his assumption that Christianity is giving way to sex, and his golden-mean standpoint toward social changes. It seems that Updike does not support the traditional Christian belief of redemption, nor does he agree with radical feminism.

The dissertation has concluded that through studying Updike's intertextual works we can learn not only something about the art of

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his intertextual narration, but also something about the mainstream of the post-war American culture. We know not only what it was like in the past and what it is like today, but also what has been inherited and what has been changed: we know that though Updike's modern Hesters, Dimmesdales, and Chillingworths enjoy one of the most religiously open and sexually permissive societies, modern Americans continue to feel imprisoned, alienated, anxious, and entangled in the same mid-nineteenth-century conflicts such as marital tensions, sexual escapades, personal betrayals, professional disappointments, and spiritual crises, and, patriarchal oppression is still a problem for the womankind.

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Introduction

John Updike (1932 ~) is a contemporary American novelist, poet, essayist and literary critic. As a novelist, he has up to this date published 22 novels and 15 short story collections and a drama.¹ As an essayist and literary critic, he has published 10 volumes of essays and literary monographs.² As a poet, he has published 13 anthologies of poems.³ Besides, he has also written or published works in other forms, such as travel notes, children plays,⁴ memoirs,⁵ book reviews, speeches, interviews, and even audio products of his own voice reading his own works. As James A. Schiff puts it, Updike's versatility could be proved by the fact that "in any given month one is likely to find his essays, poems, and short stories in the *New Yorker*; his art reviews in the *New Republic* and the *New York Review of Books*."⁶

Updike as a man of letters is not only famous for great productivity, but also renowned for the good quality of what he has written, for he has won nearly every kind of national prizes or awards in the United States in the field of letters, including a Rosenthal Award from the National Institute of Arts and Letters (1960, for *The Poorhouse Fair*), a National Book Award (1963, for *The Centaur*), an American Book Award (1982, for *Rabbit Is Rich*), 15 O. Henry Awards (for short stories),⁷ 2 Pulitzer Prizes,⁸ and 3 National Book Critics Circle Awards.⁹ Besides, Updike was elected to be a member of the National Institute of Arts and Letters in 1964 and to the American Academy of Arts and Letters in 1977. He was honored with the National Medal of the Arts in 1989.¹⁰

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Updike's literary achievement has long drawn the praise of writers and critics alike. Among the writers, William H. Pritchard predicted in 1973 that Updike "will eventually be seen as second to none in our time"¹¹ and in 1996, 23 years later, George Sterner praised him for having "established himself in a place beside Hawthorne and Nabokov."¹² Joyce Carol Oates referred to Updike as "a great writer, a major important writer,"¹³ and novelist Anita Brookner took Updike as the greatest living novelist in English for his "easy and lucid command of the language."¹⁴ According to Schiff, up to 1998, critics had written more than 25 books on Updike's works, the effort of which exceeded any other contemporary American author. (UR 7) According to my statistics, up to 2007, this number has increased to 43, among which there are monographs, anthologies, biographies, compiled conversations, and reference books for Updike studies.

Thematically, Updike studies can be classified into three categories, with the first dealing with the author's life that is based on autobiographical works by the writer himself, such as "The Dogwood Tree: A Boyhood" (1965)¹⁵ and *Self-Consciousness* (1989). Besides, his long poem "Midpoint"¹⁶ is autobiographical in nature, in which Updike has recalled his life from childhood through to the year 1968, when he was 36, an age he regarded as the midpoint of his life. Products of such studies include the "*John Updike*" books by Kenneth and Alice Hamilton, Robert Detweiler, and Judie Newman.¹⁷

The second category of Updike studies, the mainstream of the Updike scholarship, is the study on his works. Major scholars include James A. Schiff, Donald J. Greiner, Harold Bloom, Jack De Bellis and James Yerkes. As a university professor (from University of Cincinnati), Schiff dedicates his academic efforts to Updike studies

and the result is prolific. Major books by him include *Updike's Version: Rewriting The Scarlet Letter* (1992), *Updike Revisited* (1998) and *Updike in Cincinnati: A Literary Performance* (2007),¹⁸ among which the available and the most referential use made by me is *Updike Revisited*, in which Schiff has made his expert examination and comments on Updike's novels, short stories and literary criticisms up to that date. In this book, Schiff has classified 15 of Updike's novels (and a drama) in 6 categories¹⁹ and made authorial, social and historical connections, as well as thematic, prosaic and aesthetic inspections. He observes that few writers in American letters can match the extraordinary achievement of John Updike and refers to him as a major novelist, short-story writer, essayist, critic, writer of light verse and an elegant stylist whose accomplishment matches Nabokov, Hemingway, Faulkner, and James. He believes that technically Updike is like Whitman in his singing for the human body and human desires, and his celebration for the nation of America; and like Hawthorne, he "has explored the realm of domesticity and heterosexual love, and he has scrutinized the relationship between matter and spirit;" and like Cooper and Dos Passos, he has written a lot about America; and like Fitzgerald, he "has striven to capture the voices, fashions, textures, and pulse of his time" (UR: 191). Of this work, what is especially helpful to my project is the section on Updike's three palimpsests: "Hawthorne and *The Scarlet Letter*" (UR: 85-111), in which he has examined the influential relationship between Updike and Hawthorne, connections and differences between their works, and the cultural archetypes of the American culture.

Donald J. Greiner, another Updike expert, also a university professor, has produced some major volumes on Updike, including