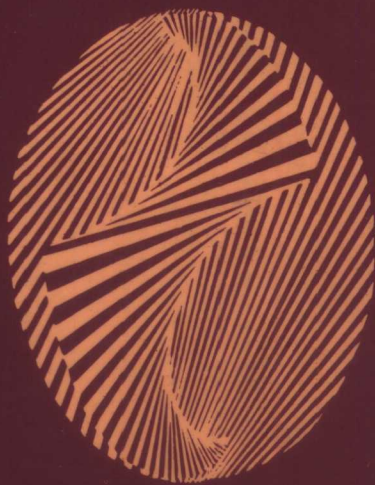


刘海平 编

# 中美文化的互动与关联

中国哈佛—燕京学者第一届学术研讨会论文选编



上海外语教育出版社

SHANGHAI FOREIGN LANGUAGE EDUCATION PRESS



# 中美文化的互动与关联

中国哈佛 - 燕京学者第一届学术研讨会论文选编

## CULTURAL RELATIONSHIPS: CHINA AND THE USA

Papers Presented at the First Conference of Former  
Harvard-Yenching Scholars in China

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刘海平 著

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哈佛—燕京学者中美文化交流研讨会与会者合影

## ✻ Foreword ✻

To begin with, I would like to congratulate the Chinese Visiting Scholars of the Harvard-Yenching Institute, who organized an Association and now have published a volume of the scholarly papers which were delivered at the meeting of the Association. This reflects a considerable initiative and vitality. It also recognizes a commitment to scholarship which is shared by both Chinese and American academics. I trust that the Visiting Scholars Association in China will continue to maintain close ties with the Institute in Cambridge.

I became the director of the Harvard-Yenching Institute in 1976, and served in the capacity until 1987, a total of eleven years. Looking back, I can say without any hesitation that the most significant development during those years was the re-establishment of ties between the Institute and institutions in China.

In the United States, if something good happens while a president is in office — if, say, the economy is strong and prosperous — he will invariably claim credit for it, even if, in fact, it was brought about by conditions over which he had no control. Following the example of presidents, I would like to claim credit (on the American side) for re-establishing the Institute's ties to China. But, as a historian, I am unable to do so. I just happened to become the director in the era immediately after the end of the Cultural Revolution and the Vietnam War, when a new re-

relationship between China and the United States became possible. The previous director, John Pelzel, had earlier made some tentative approaches to China. And had the larger historical setting evolved at a slower pace, my successors, Patrick Hanan and Tu Weiming, would certainly have re-established the Institute's ties to universities in China.

We began with five institutions, listing from north to south: Peking University, the Institute for Social Sciences, and Nanjing, Fudan, and Zhongshan (Sun Yatsen) Universities. We knew there were many other excellent schools in China, but in practical terms, interviews at those five were all that could be handled. We felt that interviews were a necessary part of the selection process since universities in China, as elsewhere, on occasion would recommend candidates on some ground other than scholarship. We were determined to have a representation of China's best scholars. Looking back, we are pleased with the results. Speaking personally, I recall with appreciation and fondness the scholars I brought to Harvard during these years.

For the first few years we took one scholar from each school, or, now and then two, when our budget permitted. This was necessary to establish relationships. Then, in the early eighties, we changed our policy, and began to take the five or six best candidates, without regard for equal representation. Our thought was that if a school missed one year, they would put up more competitive candidates the next. I am not sure whether this change in policy made much difference, for we continued to find excellent candidates at all of the schools with which we corresponded.

I might note a few of my impressions — notable perhaps for their naivete\* since I had never visited China before. On my first visit to universities in China, I was struck by the lack of books for undergraduates and the crowded dormitories. But in spite of having eight students to a

room (or maybe because of it), the rooms were kept far neater than the rooms in the undergraduate "houses" at Harvard College.

Another impression had to do with the values and orientations of university presidents and deans. At each institution I was asked why the Institute would not accept scientists and engineers as visiting scholar candidates. I was not surprised by this question since Harvard is strong in these fields and since I had encountered the same emphasis on the sciences and engineering at universities in Japan, Korea, and Taiwan. I would answer the question with a little sermon, saying that scientists seemed well cared for, and stressing the importance of the humanities and social sciences. I probably convinced no one.

Another thing that struck me was the centrality of the unit (*dan wei*) in the lives of Chinese, including scholars. I suppose it impressed me more than it might have otherwise because, prior to visiting China, I had never heard of it. I asked myself whether Harvard was my "*dan wei*" and decided it was not.

While in China I also asked myself whether Chinese students study harder than their American counterparts. At Nanjing University, for example, I noted students standing by themselves on a tennis or basketball court early in the morning reading aloud from some English book. I do not know the answer. But I was convinced that, with a population of over a billion and with only one percent attending universities, the system was intensely competitive. Prior to visiting China, I had read quite a bit about the "iron rice bowl." This intense competitiveness did not fit that image. Since the early eighties, I understand, things have changed considerably.

The best part of my visits to the universities — for me if not for the candidates — were the interviews. Since my special field is Japanese history, I am inevitably a student of China as well. I had read many histories

of China and had a lot of second-hand knowledge about Chinese society. But then in the interviews I had the chance for first-hand contact with some of the best younger scholars in China. I listened with great interest and sympathy to stories of their personal experiences during the Cultural Revolution and afterwards. I was impressed not so much by the scholars' survival during an extremely difficult period as by the fact that they seem to have worked through their experience, assimilated its meaning, and goes on. In thirty years time the Cultural Revolution and other more recent events will have become a part of China's modern history. How will it be written? What an interesting generation!

Albert Craig  
Harvard-Yenching Professor of History  
Tokyo, May 1996



## ✿ 序 ✿

(译文)

下笔伊始,我首先向哈佛-燕京学社的中国访问学者们致贺:你们不仅组织了联谊会,而且已经把在该联谊会主办的学术研讨会上宣读的论文结集付梓。此举表明你们积极主动,充满活力,也说明认真做学问在中美学术界都一样得到重视。我深信中国访问学者联谊会今后将继续与设在美国坎布里奇的燕京学社保持密切联系。

1976年到1987年期间,我一直担任哈佛-燕京学社主任之职。回顾学社这11年来的发展,我可以毫不犹豫地宣称其中意义最大的一步是重建与中国学术机构间的联系。

在美国,若某总统在位期间适有幸事发生,如经济繁荣强盛之类,该统座必表功于此,即使此事原为时势所造而与他无关。若依照总统先生们的做法,我原该把学社重建与中国联系中美国方面的功劳归入名下。然而,作为一名历史学者,我不能这样做。自己出任主任适逢“文革”结束,越战停火,中美之间正有可能建立新关系。在早些时候,我的前任,约翰·佩泽尔已与中国进行了一些尝试性接触。另外,假设历史大环境的发展放慢一拍,重建学社和中国各大学间联系的工作必为我的继任,帕特里克·韩南和杜维明所担当。

我们首先与以下5所机构联系,从北到南分别为:北京大学、中国社科院、南京大学、复旦大学、中山大学。我们知道中国还有

其它的优秀院校,但实话实说,我们只能做到在这5所机构中开展面试工作。我们认为面试是录取工作中不可或缺的一环,因为不可免俗地,中国的大学有时也并非完全根据学识推荐候选人,而我们需要的是中国一流学者的杰出代表。回顾来路,此举之效令人甚感欣慰。忆起历年来我招到哈佛的诸位学者,我心底里对他们充满欣赏和喜爱之情。

在最初几年中,我们每年从每所机构中挑选一名学者,经济条件允许时,间或也选两位。这在初建联系时期是必须的。此后,从80年代早期起,我们改变了策略,开始选出五至六位最佳人选而不再平均分配名额。我们认为,如果一所机构失去了本年的机会,就会在来年派出更具竞争力的人选。我不太肯定这一政策的改变是否产生了什么实质性的影响,因为我们从未停止过在所有上述机构中物色优秀人选。

在这里我还想谈谈我的几点印象,因为它们对我这个从前从未到过中国的人来说相当新鲜。在我初次访问中国一些大学时,使我震惊的是本科生书籍的短缺和宿舍的拥挤。然而尽管八个学生挤在一个宿舍里(或许正因为这样),那些房间仍然比哈佛文理学院本科生的“寓所”整洁得多。

另一印象跟大学校长和系主任的价值观念和办学方向有关。在每个学校都有人问我为什么学社不在理工科中选拔访问学者。这一问题倒没有出乎我的意料,因为哈佛在这些领域的确实力雄厚,而且以前在日本、韩国、台湾各大学我也见识过诸如此类对理工科的关注。对此我答曰科学家们已被呵护有加,并强调人文科学的重要性。这一回答难逃说教之嫌,而且也许谁都没被我说服。

还有一点给我感受至深的是“单位”在中国人,其中也包括学者们的生活中所占的中心地位,去中国访问之前,这一概念我闻所未闻,所以印象之深不同一般。我自问哈佛是否算我的“单位”,考虑后觉得不是。

在中国期间,我也自问中国学子们是否比他们的美国同龄人用功。例如,在南大,我注意到大清早就有一些学生独自站在网球场或排球场上,手持英语书大声朗读。对上面这个问题我不知如何作答。但事实使我相信,超过十亿的人口和仅有百分之一的大学入学率造就的制度自然具有高度竞争性。来中国前,我在阅读中常遇到“铁饭碗”之说,这一说法显然不适用于描述中国升学的竞争性。我知道,80年代早期以来中国的形势已有所变化。

我的中国大学之行中最愉快的部分是面试(不知应试者作何感想,对我来说至少是这样)。因为自己研究日本历史,不可避免地也要学习中国。我读过许多不同版本的中国史,掌握了不少关于中国社会的二手知识。而此番在面试中我有机会与中国出类拔萃的中青年学者们直接接触。我怀着浓厚的兴趣和深切的同情听他们讲述各自在文革期间和过后的生活经历。其中打动我的不仅在于他们能从那种极端困难的年代中幸存下来,更在于他们已从自身这段经历中挣扎而出,怀其深义,再踏征程。在30年的时间里,文革和其它更近的事件将成为中国现代史的一部分。这一章将会怎么写?这是多么有意义的一代人!

阿尔伯特·克莱格  
哈佛-燕京学社历史学教授  
东京,1996年5月

(江皓云译 刘海平校)

## ❁ Preface ❁

The articles in this volume are drawn from papers presented at the first conference in China of former grantees of the Harvard-Yenching Institute. As director of the Institute at the time, I had the privilege of attending the conference and listening to the papers and the lively discussion that followed them. Both papers and discussion struck me as exemplifying the highest aims of the Institute.

The Harvard-Yenching Institute is a foundation situated at Harvard University. It was established in 1928 from the estate of Charles M. Hall, an American inventor and industrialist, with the purpose of supporting higher education in Asia. (Note that the title "Harvard-Yenching" is misleading, the Institute has always included other countries besides China.) Most of the Institute's funds are devoted to bringing relatively young faculty members in the humanities and social sciences from the leading East Asian universities and academies to Harvard University (and in the case of the doctoral program, to other universities as well) for the purpose of research. The Institute's aim is to have these scholars acquire a deep understanding of foreign scholarship — of its concerns, assumptions, approaches and methods. At the same time the Asian scholars provide the Harvard University faculty with an invaluable opportunity to understand their scholarship.

The articles in this volume show the Chinese scholars reflecting on

their experience in the United States, and describing, explaining, and above all, evaluating from their own individual points of view the scholarship in their fields with which they have come into contact. It thus exemplifies the Institute's highest aim, that of encouraging a free and mutually intelligible exchange of scholarly ideas and knowledge.

Patrick Hanan

May, 1996

## ✻ 前 言 ✻

(译文)

此卷中所辑文章，均选自曾就研于哈佛-燕京学社的学者们在中国召开的首次研讨会上所作的报告。作为当时在任主任，我有幸与会听取这些报告以及报告后生动激烈的讨论。两者均体现了学社的最高目标，令我难忘。

哈佛-燕京学社是个基金会，位于哈佛大学内，其地产原属美国发明家、实业家查尔斯·M·霍尔先生。学社创立于1928年，旨在援助亚洲的高等教育事业（注意：“哈佛-燕京”的提法有失偏颇，学社面向的范围一直包括除中国以外的其它国家）。学社大部分基金用于从东亚各主要大学及研究机构选拔较年轻的人文及社会科学者，将他们请到哈佛（或按博士培养计划也可到其它学校）开展研究工作。学社的目标在于帮助这些学者对国外学术知识就其涉及对象、设想、研究视角和方法等方面获得较深入的了解，同时亚洲学者的莅临也给哈佛教师带来了解别国学术的无价良机。

从此书中可见，中国学者们已深味在美经历，并从个人的独特观点出发，对在各自领域中接触到的知识进行了描述、解释，以及更为重要地作出评价。由此可见，此书充分体现了哈佛-燕京学社的最高目标，即鼓励学术思想和知识的自由、互通的交流。

帕特里克·韩南  
1996.5.

(江浩云译 刘海平校)

# 目 录

阿尔伯特·克莱格

序(英文) /1 /

帕特里克·韩南

前言(英文) /8 /

## 一 文艺天地

- 张惠英 《金瓶梅》研究的中美交流 /1 /  
——谈我和“金学”研究
- 莫砺锋 白璧之瑕 /24 /  
——评史蒂芬·欧文《初唐诗》与《盛唐诗》
- 乐黛云 文化对话与世界文学中的中国形象 /42 /
- 张子清 中美文化的撞击与融汇在华裔美国文  
学中的体现 /51 /
- 刘海平 中国文化与美国：戏剧篇(英文) /68 /
- 程朝翔 曹禺的《原野》与奥尼尔的《琼斯王》(英文) /91 /

## 二 历史视野

- 陈星灿 马家窑文化舞蹈纹彩陶盆的比较研究 /100 /  
时殷弘 与复杂局势相违的简单化政策 /113 /  
——论冷战时期美国在东亚的安全政策
- 葛剑雄 中美中国古代史研究交流的若干问题 /132 /  
邹重华 谈中国史研究 /137 /  
夏春涛 两位研究中国近代史的美国历史学家：  
史景迁和孔飞力 /144 /
- 邢文 二分及其意义 /151 /  
——哈佛汉学研究·先秦篇

## 三 哲学思考

- 万俊人 “哈佛哲学”传统与“美国精神” /162 /  
刘清平 中美哲学精神之比较 /184 /  
钱满素 爱默生与中国 /197 /  
王守仁 论中国古代文化思想对梭罗的影响 /202 /  
陈亚军 “世界充满了人的足印” /213 /  
——论普特南新实用主义实在论

## 四 国际政治舞台

- 倪世雄 中美国际关系理论的比较研究 /233 /



## 五 文化批评

- 关世杰 试论中国人与英美人思维方式的差异  
及汉字在其成因中的作用 /240 /
- 盛 宁 传统与现状:对美国实用主义的再审视 /261 /
- 申慧辉 总把新桃换旧符 /275 /  
——裹夹在高科技、后殖民和文化研究中的人文科学

## 六 哈佛与我

- 朱 虹 我与哈佛—燕京 /294 /  
——从《美国女作家小说选》到《中国女作家散文选》
- 刘海平 后记 /303 /