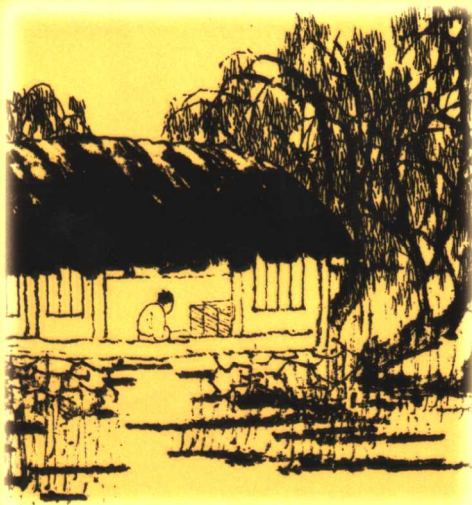




《文心雕龙》与二十世纪西方文论

The Literary Mind and the Carving of Dragons
and 20th Century Western Literary Theory

● 汪洪章 著

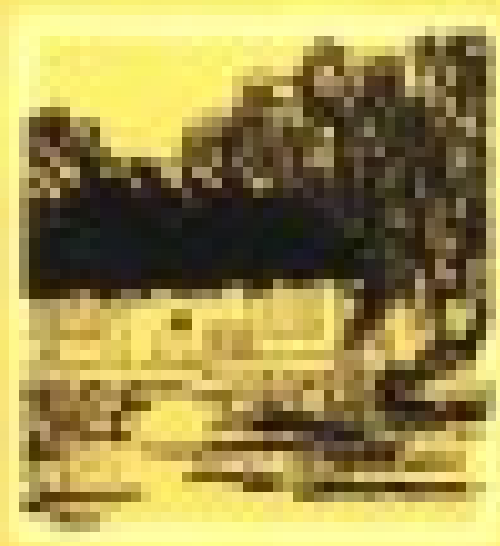




《史心學說》與二十世紀西方史學

The History Mind and the Learning of History
and 20th-Century Western History Theory

■ 史哲哲 著



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追求比较诗学的“有效性”(代序)

上世纪末八十年代中期,中国兴起过一阵引进西方文学理论术语的热潮。有些理论家断言中国文学批评的不景气盖源于文论术语的过于陈旧,难以操作。有的专家们呼吁文学批评和研究要从术语创新开始,要建立自己崭新的文学学术语系统。文学批评和研究的繁荣,似乎维系在术语的创新。热闹过后,中国的文学批评不仅没有改观,反倒让那些时新杜撰的术语搅得一片混沌。一篇本该很明晰的评论,让那些古怪的术语装缀得云雾缭绕,不堪卒读。一些用清晰明白的语言可以表达清楚的论述,反倒要读者从堆砌的术语里去费力地解读,云遮雾罩的后面,往往也还是那些意思,甚至更形模糊。这种影响,至今犹存。那种对术语的癖好和怪异文风,虽然已经不复当年气势,但时不时还会在某些地方冒出来。

术语是文学理论操作的手段,而文学的理论总是发生在文学事实之后,因为理论是对文学事实的解释,并非先验的理念。然而有一种观念,总认为文学理论指导文学创作,好像文学的发展全仗正确文学理论的指引。这是颠倒的认识。作为操作手段的文学学术语也是需要丰富的,但它应该是文学发展进程中对文学事实的概括,是理论思维的一种积淀。它是文学发展历史进程中文学家、理论家、批评家通过文学实践共同的选择,公认的约定。它并无先验性。

中国的文论,尤其是古典文论,在中国文学发展进程中形成的表述方式,是一个需要细心探究的课题。它是在中国文学发展事实里产生的理论操作手段,和中国文学有着极深的联系,支撑着中国文学两千多年的发展。中国文学的观念和内涵都凝结在文论的表述里。但中国的文学理论,从五四新文学运动以来,引进了大量西方的概念,加上后来接受俄苏文论的影响,中国本土的,特别是古典的文论在相当程度上被搁置在主流理论视野之外。这并不正常。任何国家的文学理论都能从本国的理论渊源上来进行阐释,而我们现今常用的理论观念与批评术语,如果稍作寻根溯源,往往就会引向西方文论。而西方文论的概念又常常在中国的土地上发生变异。近年来很有些学人开始关注这方面的问题,特别是注意到了中国古典文论与西方当代文论的关系。而比较文学思潮在国内的发展,更大大加强了这方面的研究。汪洪章君的论著《〈文心雕龙〉与二十世纪西方文论》就是一个很认真的探索,显示了一种十分切实的研究方法。

该书从刘勰的《文心雕龙》这一部“体大思精”的中国古典文论著作出发,考察了20世纪西方文论的基本范畴,将西方文学批评的主要操作手段,大量的文学批评范畴和术语,从比较诗学的角度作了阐释。使中国的古典文论与20世纪西方文论的内在本质的共性得到了充分凸现。书中提出了“异形同构”(heteromorphic structurality)的概念,正是针对中西文论差异实质性的表述。在中西文论比较研究中,“异形”的剥离是一个很大的研究题目。文学性是文学区别于其它艺术门类的本质特征。而文学性的各种要素在不同的文论体系里有不同的表述,这是每种文论外在的形相,但它们本质的构建其实有着很大的共通。只是由于各自的文化背景的差异,中国的文论更多感性的表述,西方的文论偏于理性的分

析。中西思维方式的差异也造成中西文论表述的不同。中国传统的综合性思维方式与西方肇始于古希腊罗马时代、大行于十七世纪的分析性思维方式有着十分巨大的差异。中国浑然一体的模糊性表述与西方条分缕析的拆解式话语常常会对同一问题产生面目迥异、格调不一的阐释。虽然它们涉及的文学问题仍然是同质的。但迥然不同的叙述风格,有时会遮蔽理论上的共通。这就有赖于研究者十分细致的工作。从根本上说,不同文学的本质和内涵是有共同规律可循的,表述的差异既然来自历史、文化、传统、思维方式等诸因素,那么要揭示差异后面的文学本质问题,就必须从中国古典文论与西方现代文论两方面作精细切实的研究。这种由于思维方式和表述方法不同形成的阻隔,使中西文论很难有径情直遂的融合,处理不当就会发生生搬硬套、张冠李戴的现象。这正是比较诗学的一个主要研究课题。

中国古典文论与西方诗学之间最大的差异是西方文艺理论追求体系,讲究构架,在许多名家那里,它往往是某个庞大思想哲学体系中的一个系统,称作“诗学”或者“艺术哲学”。中国的文论像《文心雕龙》这样的系统论著并不多见,往往是文人感悟式、玩味式的文字,它的着眼点落在文学本体,即文本、体裁、形式、语言、修辞、格调、品位、况味等更能体现文学性的那些方面,它的形式也表现为诗歌、骈俪、赋体、散文、书信、题跋等各种文体。所以中国的古典文论常常本身就是一篇上乘文学作品。直要到20世纪,西方文学理论与批评在长期的实证主义、现实主义趋向后,观念开始明显转向本体。着眼形式,看重文本,关注语言的趋向加强,竟出现了与中国古典文论有了历史的交汇的可能。

《〈文心雕龙〉与二十世纪西方文论》由于它细致的阐释方式,中西文论相互映照的结果,在中西两个方面都比原来单纯一面的

解读提供了更广阔的理解背景。在中国古代诗歌、散文基础上对《诗经》“六义”中比、兴的理解如今放在新批评派有关象征、意象、隐喻、含混的阐释背景下，内容增益不少，本质也更确定。中国文论里对这两个概念始终保留着某种程度的模糊表述，但在西方文论中，特别是新批评派，对这些概念作了明确的限定。这样，在对《诗经》“六义”的理解上，在对刘勰在《文心雕龙》里“比兴”、“隐秀”诸篇的理解就有了更丰富的参照。从“比、兴”与意象，“比、兴”的语言，到“客观的关联物”，以至燕卜苏的“含混”类型，可见中西在相类问题上不一样的思考方式。在《“陌生化”与“奇”》一章里，在俄国形式主义学派的“奇化”说（英译“defamiliarisation 陌生化”）的映衬下，刘勰主张的“酌奇而不失其真，翫华而不坠其实”的主张，明显蕴含着中国式的适度感。事物或概念都要在比较里限定。比较的宗旨并不在优劣的区分，更在精确地限定事物或概念的范畴，凸现事物的本质特征。另外，书中对于“互文性”这一重要概念的阐发，对“张力”、“肌质”、“反讽”、“反论”的论述，都是本书有特色的地方，尤其是对“张力”和“肌质”的解析，十分精彩，层层剥茧，缕缕抽丝，把这些西方文化里的概念详加阐发，在中国文论观念的背景里显得相当清楚。

本书的成功之处在于它运用比较方法的细致，从全书的风格可以见出作者始终着眼在文论术语和观念的“有效性”，也就是他在书里所引的“阐释学”、“接受理论”中有关的“阐释的有效性”（interpretive validity）命题。文学理论和批评的研究与借鉴，如果绕过这一重要命题，眼里没有研究的导向和目的，研究不产生理解和实际应用的效应，研究的价值也就十分可疑了。另外对于已有的对《文心雕龙》的阐发，作者仍能作仔细的再评价，例如对于把比、兴定义为明喻与暗喻的说法，作者从文学事实上作了认真的考

察,提出了自己的见解。这都表明作者的认真与严谨。

一本著作的各个部份总会有某些不平衡,因为立题就在一部古典文论《文心雕龙》与 20 世纪西方文论最主要几个流派的比较,涉及的又几乎是整个文论体系和一整套的术语与概念。当某些概念不能找到合适的对应观念的时候,进行比照时就容易产生某些简化的倾向,例如“互文”之归入“陌生化与奇”一章,雅可布森关于所谓语言的“有组织暴动”的表述,刘勰的“藏颖词间”、“熔裁”的概念与“陌生化”、“奇化”的关系并不明显,可能更适合在其它的术语范畴,如“隐喻”、“互文”、“张力”以至篇章结构的理论里寻找对应的释义。

洪章君在复旦外文系外国文学教研室曾经随我连续攻读硕士、博士学位。他有很好的外文根底、理论思维能力和在外文专业中并不多见的古汉语、中国古代文学、哲学及文学理论修养。他当年撰写的硕士毕业论文题为《“人诗意地栖居”——海德格尔与庄子艺术论比较》。在我印象里,他是国内最早指出海德格尔和庄子学说的共同旨趣在于“反主客二元对立,反对象化认识论”的学人。攻读博士期间,他选择的是中西诗学比较方向。本书是他的博士论文,其中一些章节都已曾在几家刊物上发表,这次以论著的形式,全文出版,我视之为他将深化中西诗学比较研究之榻巢。这是一个具有很扩展空间的课题,我期待他的后续研究将使比较诗学在一个更加广阔的层面上开展。文学比较总要具有目的性、追求“有效性”。本书的研究指向无疑是值得注意的。从文论建设的角度看,希望这样的课题能有更多的学人参予。本书行世在即,应邀为序如上。

夏仲翼

2005 年 4 月

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Mr. Gao Jianmin, Mr. Shi Guodong and Ms. Li Yuzhen) working in the libraries of the Department of Foreign Languages and Literature and the Department of the Chinese Language and Literature, both of Fudan University, for providing me with most of the books and materials throughout the course of my study.

Lastly, I should like to claim the final responsibility for any errors and mistakes, factual or interpretive, which might remain in the dissertation.

Wang Hongzhang
Fudan University

Abstract

As its title suggests, the present dissertation, falling in two parts, attempts an ambitious and difficult task, one that makes a comparative study of 20th century western literary theory and Liu Xie's *The Literary Mind and the Carving of Dragons*^①. The task is ambitious because its subject is apparently too comprehensive, giving a false impression that it is about to set off on a trip across the almost whole domain of academic studies of literary theory and criticism. Literary theory, as an attempt to uncover and codify those generative principles that allow for the production of literature, developed not so later than literature itself; and it is no wonder that books and dissertations both on and about theory very soon became more than enough to fill a whole library to the rafters. In fact, today's students of literature face an all-but-impassable mountain of theoretical and

① Hereafter in this abstract referred to as *Wen-xin*. This way of rendering in English the original title (文心雕龙) belongs to the eminent Chinese-American scholar Vincent Yu-chung Shih. See Liu Hsieh. *The Literary Mind and the Carving of Dragons*. Translated with an Introduction and Annotated by Vincent Yu-chung Shih. Hong Kong: The Chinese University of Hong Kong, 1983.

critical writing to wend their way through. So we have every reason to believe that any study of this kind must be selective as regards its subject as well as its approach.

It is the modest goal of the present study to make a comparative discussion of only some of the fundamental issues concerning the meaning-generating literary text touched upon by Liu Xie and 20th century western literary theoreticians. As the Swiss linguist Ferdinand de Saussure rightly remarks that anything valuable must necessarily be synchronic, my study is mainly set on a synchronic dimension, duly or unduly neglecting any historical treatment of the theoretical and critical developments within particular schools.

One of the most important features of 20th century literary criticism has been its increasingly growing interest in literary form and its various modes of signification, a complete reversal of the 19th century positivistic critical view of literature with its improper total concern with content only and inevitable failure to appreciate the aesthetic qualities of form. This critical shift is quite unmistakable in the critical endeavor of Russian Formalism, Anglo-American New Criticism and French Structuralism. The first part of the following dissertation just embarks on a comparison of the formalistic approaches to literature as shared by these critical schools and Liu Xie in his *Wen-xin*.

After the fall of the Han Dynasty, China experienced a long period of political division. Despite the social and polit-

ical confusion and military losses, China's cultural scene was by no means dismal. Up to this time, Chinese intellectuals could think freely and be concerned with philosophical disputes and religious controversies, and Chinese writers could long have been able to write with great spontaneity and artistry without the necessity of serving practical and utilitarian purposes. Poets and prose writers (writers of *p'ien-wen* in particular) as a whole were unusually concerned with lyrical expression and rhetorical devices for artistic effect. It was against this cultural, intellectual and literary background that *Wen-xin*, the first systematic, book-length work of Chinese classical literary criticism, had its timely genesis sometime between Southern Qi and Southern Liang of the Six Dynasties. Taken as a whole and judged by the fact that it uses the polyphonic *p'ien-wen* as its vehicle of dissertation, *Wen-xin*'s formalistic and aesthetic bend when treating literary issues can be clearly defined. And for that matter, we can unmistakably find its counterpart in 20th century formalistic criticism such as Russian Formalism and Anglo-American New Criticism whose common critical emphasis is laid on the analysis of the literary work as a self-sufficient object. Taking an approach at once formalistic and comparative, the first part of the present study deals, approvingly on a general basis, with the following views shared by Liu Xie and formalistic theorists of our century: that literature is distinguished by a special type of language whose distinctive features are defined in terms of

their opposition to ordinary, discursive or scientific language, that it expresses emotion, and that the true and inherent value of a literary work lies in its literariness. In this respect, I fully endorse Mark Schorer's following remark: "Modern [i. e., Formalistic] criticism has shown that to speak of content as such is not to speak of art at all, but of experience; and that it is only when we speak of the *achieved* content, the form, the work of art as a work of art, that we speak as critics. The difference between content, or experience, and achieved content, or art, is technique."①

Any piece of literary work has a meaning-generating structure. And philosophers, rhetoricians, and literary critics of all times have been constantly interested in the way a particular text generates its meaning. Their opinions as to where and how to locate the meaning differ a lot over the centuries. And these differing opinions constitute their different critical orientations. Roland Barthes says, "Classic criticism has never paid any attention to the reader; for it, the writer is the only person in literature. We are now beginning to let ourselves be fooled no longer by the arrogant antiphrastical recriminations of good society in favor of the very thing it sets aside, ignores, smother, or destroys; we know that to give writing its future, it is necessary to overthrow the myth: the birth of the reader must

① Mark Schorer, "Technique as Discovery," *Hudson Review*, 1[Spring 1948], 67. Quoted in Wilfred L. Guerin et al., *A Handbook of Critical Approaches to Literature* (Harper & Row, Publishers, Inc., 1979), p. 79.

be at the cost of the death of the Author.”^① If Russian Formalism, in its reaction against the prevailing emphasis in Russian criticism on the content and social significance of literature, stressed the formal patterns of sounds, words, and literary devices, and wittingly brought about the first shift in 20th century literary criticism, then “the birth of the reader at the cost of the author” could rightly be said to be the second one. And this second shift was originally ushered in by the Polish philosopher and literary theorist Roman Ingarden whose two monumental works, *The Literary Work of Art* and *The Cognition of the Literary Work of Art*, fervently employ Edmund Husserl’s phenomenology as a method of investigation. Ingarden’s writing is laboriously analytic, trying to establish the ontological status of literary objects and the epistemological status of the cognitive activities to which they give rise, and it stands as an extreme case of an approach to reading. “Spots of indeterminacy” and “concretization”, two of Ingarden’s fundamental critical concepts, readily find their way to works of other reader-oriented critics, a typical example being Wolfgang Iser, the contemporary German critic who is one of the main proponents of reader-response theory.

Another kind of reader-oriented criticism is reception-theory, proposed by Hans Robert Jauss in his “Literary History as

① Roland Barthes, “The Death of the author,” in David Lodge (ed.) *Modern Criticism and Theory* (London and New York: Longman Group Limited, 1988), pp. 171 – 172.

a Challenge to Literary Theory" (*New Literary History*, Vol. 2. 1970 - 71). Jauss thinks that critical interpretations and evaluations of a given literary work form a historically evolving "tradition" that is a "dialectic" or "dialogue" between a text and the horizons of successive readers. Jauss's reception-theory or reception-aesthetics can be said to be a historical application of one form of reader-response theory. In Jauss, one can easily feel the immediate influence of Hans-Georg Gadamer whose immense work, *Truth and Method*, in turn, comes under the direct influence of Martin Heidegger. Gadamer's work is "concerned with the problem of hermeneutics," as he tells us, but he also says, "Heidegger's temporal analytics of human existence (Dasein) has, I think, shown convincingly that understanding is not just one of the various possible behaviours of the subject, but the mode of being of There-being itself. This is the sense in which the term 'hermeneutics' has been used here. It denotes the basic being-in-motion of There-being which constitutes its finiteness and historicity, and hence includes the whole of its experience of the world."^① Heidegger's method of investigation is primarily phenomenological. He says in his most influential *Being and Time*, "With the question of the meaning of Being, our investigation comes up against the fundamental question of philosophy. This is one that must be treated *phenomenologically*."^② All

① Hans-Georg Gadamer, *Truth and Method* (New York: The Crossroad Publishing Company, 1982), pp. xi, xviii.

② Martin Heidegger, *Being and Time* (Basil Blackwell, 1962), pp. 49 - 50.