

上海大学出版社

2007年上海大学博士学位论文 77



20世纪中国成长小说研究

- 作者：徐秀明
- 专业：中国现当代文学
- 导师：葛红兵



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图书在版编目(CIP)数据

2007 年上海大学博士学位论文. 第 2 辑/博士学位论文编辑部编著. —上海: 上海大学出版社, 2010. 12

ISBN 978-7-81118-649-9

I. ①2… II. ①博… III. ①博士—学位论文—汇编—上海市—2007 IV. ①G643.8

中国版本图书馆 CIP 数据核字(2010)第 132867 号

2007 年上海大学博士学位论文

——第 2 辑

上海大学出版社出版发行

(上海市上大路 99 号 邮政编码 200444)

(<http://www.shangdapress.com> 发行热线 66135110)

出版人: 姚铁军

*

南京展望文化发展有限公司排版

上海华业装潢印刷厂印刷 各地新华书店经销

开本 890×1240 1/32 印张 223.25 字数 6080 千

2010 年 12 月第 1 版 2010 年 12 月第 1 次印刷

印数: 1~400

ISBN 978-7-81118-649-9/G·544 定价: 640.00 元(32 册)

Shanghai University Doctoral Dissertation (2007)

A Study on Bildungsroman in the 20th Century of China

Candidate: Xu Xiuming

Major: Modern Chinese Literature

Supervisor: Ge Hongbing

Shanghai University Press

• Shanghai •

上海大学

本论文经答辩委员会全体委员审查,确认符合上海大学博士学位论文质量要求。

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答辩委员会对论文的评语

关于 20 世纪中国成长小说的研究,至今还处于起步阶段,缺乏系统性的研究成果,此论文选题具有一定的开拓性,具体论述过程中以西方成长小说的概念与流变为参照,较好地解决了中国成长小说的定义问题,辨析了成长小说与教育小说、传记小说、青春小说等其他类型小说的区别与联系。作者能够综合运用历史研究、文化批评、结构主义叙事学等多种研究方法,对中国成长小说进行深入分析,准确把握了 20 世纪中国成长小说的精神流脉,较为全面系统地梳理了中国成长小说发生、发展的全过程,并且对于中国成长小说的叙事类型进行了比较深入的分析。论文拓展与深化了对于中国成长小说的研究,在历史源流、中西比较以及阶段性分析方面皆有所突破,思路清晰、资料翔实,具有独特的学术价值,是一篇较为优秀的博士论文。

不足之处在于论文对成长小说的定义界定尚欠严谨,缺乏对于不同时期的代表性作品的深入细致分析。

答辩委员会表决结果

经答辩委员会表决,全票同意通过徐秀明同学的博士学位论文答辩,建议授予文学博士学位。

答辩委员会主任：**夏中义**

2007年7月10日

摘 要

“成长小说”20 世纪初进入我国,但始终声名不彰,1990 年代之后逐渐彰显,学术研究也逐步深入。但现有研究成果多是主题、思想探讨,无法深入本质,没有意识到它还是一种形态独特、渊源有自的小说类型。本文以整个 20 世纪的成长小说为研究对象,以类型学的理论经纬全文,辅以结构主义叙事学、历史研究、文化批评、心理分析等多种理论方法对它进行分析,力图弥补这一缺憾。

成长小说最初源自西方,由“成长维度”和“教育维度”相互影响交织而成,其形成演变大体完成于德英美三国:古典时期的德英两国的成长小说各有侧重,但以社会为本位,对个体牺牲个性融入社会的要求如出一辙;20 世纪后的美国成长小说,一开始就是古板保守的“教育维度”与追求个人实现的“成长维度”的混合产物,后起的“消费文化价值观”使其最终走向以个体为本位、拒绝社会教化的路子。这也是目前世界成长小说的大体发展倾向。

中国成长小说同样是“教育维度”与“成长维度”交织而成,不过“教育维度”与“成长维度”很不均衡:“清末民初”因民族国家的政治“救亡”需要引入成长小说,用来“启蒙”愚弱的国民,“教育维度”产生的情形与 18 世纪德国成长小说相似。“五四时期”热血青年竭力把刚刚接受的现代意识付诸实践,争取个性成长的自由空间,“成长维度”由是诞生。但中国时局变化过于

纷繁复杂,“大革命到文革”期间政治话语笼罩一切,成长小说的政治引导性空前强烈,重新回到“教育维度”当家的轨道上,不同的是“清末民初”的教育重“知”,“大革命到文革”的教育重“行”——不仅要提高受众的政治觉悟,还肩负召唤他们起而行之的政治任务。这种严肃刻板的道德灌输方式,与英国维多利亚时代的道德训诫小说传统颇为相近。“新时期以来”主流政治话语对个体生活的直接控制渐渐消退,世俗生活的边缘感性话语开始复苏,张扬个性成长的“成长维度”终于获得与“教育维度”并驾齐驱的地位;“消费文化价值观”的出现,一方面彻底颠覆了以往政治话语对成长小说的控制,一方面又是新的商业意识形态影响力进入的开始。“成长维度”与“教育维度”交错纠缠,难分主次。

个体成长的客观规律,在成长小说中表现为相对稳定的叙事结构。因此,用结构主义叙事学研究成长小说的形态特征可谓得天独厚。个体成长过程中“天真、困惑、接受、叛逆、受挫、顺从、皈依”这七个成长环节,在成长小说的叙事框架中大致与七个“核心场面”对应。作者根据不同的表达需要在它们中间的自由取舍、排列组合,构成了“懵懂自然、知时顺命、特立独行、求索皈依”这四个成长小说的基本叙事语法。它们各自强调的成长重点分别是接受、顺从、叛逆、皈依,拆开看是四种平行并列的成长模式,或者四类人的成长轨迹;合拢看可以视为四个成长层次,不同类型的人经历的成长层次多少不同。文学研究重在分析理解,而非充当思想意义、人生价值的终极审判官。解读各个叙事语法在各个时期的代表作的手法形态与思想意旨之间的互动关系,可以开掘每一种基本叙事语法蕴含的

文化及文学意义,理解文化传统、作家性情,社会环境和文化思潮等各方面的因素对成长小说的影响。

关键词: 20 世纪;成长小说;教育小说;类型小说

Abstract

At the beginning of the 20th century, Bildungsroman treams into China, but it is always not famous. After 1990's, it has become the business focus and entered the visual field of the academic research. But the current research concentrate on the studies of the topic, even can not realize it is still a kind of novel genre. Its form is very special and it has the very long history. The research object of this article is the Bildungsroman of the 20th century. The scholar takes theory of typology as the core and carries on research, still including many kinds of theories methods such as structure doctrine narrates studying, historical research, culture criticizing, psychoanalysis, etc. and try hard to remedy this shortcoming.

Bildungsroman at first stems from the west and the “educating and linking degree” and the “growing up and linking degree” make up it. And they influence each other. It forms and develops on the whole in the Great Britain and America and Germany of three countries——In classical period, Bildungsroman of Great Britain and Germany each with particular emphasises, but takes society as the core. It is the same that the demand which dies to the individual and which the individual character incorporates the society. After the 20th century, Bildungsroman of U. S. A. is at first “educating and linking degree” which is conservative mix with

“growing up and linking degree” which courts individuals to realize. Later, Bildungsroman is affected by “cultural values consumed”, regards individual as standard and was a content that he refused the social norm. This is development inclination of the novel that the world Bildungsroman at present too.

In China, Bildungsroman equally “educating and linking degree” combines with “growing up and linking degree”. But the social cultural tradition is too conservative, there are special contents “health (physiology) growth”. Since the 20th century, the Chinese society was confused, the development of Bildungsroman lagged behind for a long time. The “educating and linking degree” and “growing up and linking degree” and very unbalanced to develop. Late Qing-Early Republican. Bildungsroman is introduced, saves the nation and educates the unwise people. The production situation of “educating and linking degree” similar to Germany Bildungsroman in the 18th century. The May Fourth Movement period, the hospitable youth had just accepted modern thinking and had practised to it and strived for the free space which the individual character grows up. Then the “growing up and linking degree” produced. But it is too frequent and complicated that China’s current political situation changes. The great revolution to the Culture Revolution, the political words lead everything. The politics guiding of Bildungsroman was unprecedentedly strong and Bildungsroman got back to it as the track of the main fact

again. It is differently emphasized that the education is “knowing” in Late Qing-Early Republican and the education is “doing” in “the great revolution is to the Culture Revolution”——It not only should improve the masses’ political consciousness but also undertake the political mission of calling them to take action. The serious mechanical morals way similar to novel of ethical admonition in era Victoria of Britain. Since new period, the directional control of individual life of political words of the mainstream has disappeared gradually. The perceptual words of edge of common customs life begin to recover. The “growing up and linking degree” publicizing the individual character and growing up was obtained with the “educating and linking degree” positions of running neck and neck at last. The appearance of “cultural values consumed” on one hand had completely subverted the control of the political words, on the other hand began to enter new commercial ideology influence power. The “growing up and linking degree” is mixed with the “educating and linking degree” and it is difficult to distinguish primary and secondary.

There is no new thing under the sunlight. It is one of mankind’s eternal themes to grow up. The objective law at several stages that the continuous individual grew up, is shown as the relatively stable narration structure in Bildungsroman, so it is the most suitable to study the shape characteristic of Bildungsroman with the narration of the structure doctrine is studied. While the individual grows up, “innocent, puzzled, accept, rebel against, baffle, submit to, converted to” of

these seven growth links that roughly contrast seven “key scenes” in the narration frame of Bildungsroman. The author’s freedom choice, arrange and making up according to the needs of different expressions in the middle of them. They make up basic narration grammar of Bildungsroman. These four grammars are “the muddleheaded and natural, the dutiful, do things creatively one, the converted to”. The growth focal point that they emphasize is to accept, submit to, rebel against, converted to separately. They are four kinds of growth modes equated that they separate, or the growth orbits of four kinds of persons. It is can regard as four growth level to close up and different kinds of growth that person go through what is level different. Certainly, the persons who it is thorough to perform on a certain level live excellently more than the persons who go through but were not deepened of four levels. The research of literature puts emphasis on analysing and understanding, but not regard as the thought meaning, ultimate trial officer of value in life. We understand the interdynamic relation of each narration grammar of between tactics shape and thought intention of masterpiece in each periods and can find the culture and literature meaning that every kind of basic things contain, understand the impacts on Bildungsroman of factor of various fields and these factors include the cultural tradition, writer disposition, social environment and ideological trend of culture, etc. .

Keywords the 20th century; Bildungsroman; educational novel; novel genre

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绪 论

成长小说,^①在西方拥有源远流长的传统;在中国尽管从 20 世纪初包天笑等人的创作算起已有一个世纪的发展史,但研究方面始终门庭冷落:不仅得不到公允的评价,而且长期没有公认的命名,翻译家、研究者往往自说自话地根据个人理解称之为“教育小说”、“修养小说”、“发展小说”等等。1990 年代成长小说因被市场选中骤然大热之后,学界的反应是猝不及防地仓促宣讲:孟繁华屡下断语:“从严格意义上讲,中国没有成长小说,只有类成长小说”;^②曹文轩以中国“成长小说”的概念提出者自居,^③却把“成长小说”与“少年小说”混为一谈。^④这些早期评论虽不准确,却有信息传递、造成社会影响之功。

“成长小说”在这种背景下成为新的学术热点。目前的研究成果

① “成长小说”一词译自德语“Bildungsroman”或“Entwicklungsroman”,又译作“教育小说”、“修养小说”、“塑造小说”等。

② 理由是:《青春之歌》、《欧阳海之歌》等,都是写通过领导或某个全能人物的不断引导、帮助,使被描写的人变成一个英雄,“这些类成长小说的主体都是成长者指代的‘他’,而西方成长小说的主人翁都是成长者自己”。参见沙林:《评论家探讨主旋律应该怎么写——把书写进土地里》(《中国青年报》,2003 年 9 月 6 日)。这种说法的轻率与不当显而易见:任何人的成长都无法完全离开父母长辈的范导——即便一生下来就持枪荷盾、全副铠甲的雅典娜,不也是从父亲宙斯的脑袋里冲出来的吗?“范导”未必全是坏事,成长小说的主题之一就是成长主人公如何在社会规训与个人意志之间来回游移、蹒跚前行的。

③ 曹文轩:“虽然‘成长小说’的概念是我提出的,但并不说明我写的每部作品都是‘成长小说’……”(引自卜昌伟:《曹文轩:新作不是成长小说 我非青春文学之父》,《京华时报》,2005 年 1 月 20 日)。

④ 这一点从下面这段倡导辞就可看出:“在儿童文学与成人文学之间,有一大片开阔地带,长久地荒芜着。有一些小说家,因为没有获得这一概念,在涉足这一地带时,总有一种‘无名’的感觉。他们无法确定自己的位置,结果是儿童文学嫌它故作高深、不合儿童文学的接受尺度,而成人文学又嫌它过于浅薄、难入成人文学的领地。长期以来,这批小说家就处在这样一种尴尬之中而无可奈何”。(曹文轩:《〈看上去很丑〉序》,桑地:《看上去很丑》,大众文艺出版社 1999 年。)