

明清戏曲与同时期 短篇小说关系研究

刘 玮◎著

本书主要探讨明清戏曲与同时期短篇小说在题材和创作意图上的联系，以及艺术体式及相关方面的差异。是对同一时期、相同题材的戏曲和短篇小说进行比较，不仅着眼于戏曲与小说题材、内容上的相通，更注意到二者艺术体式的不同及由此造成的差异。



中国社会科学出版社

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中央高校基本科研业务费专项资金资助



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图书在版编目(CIP)数据

明清戏曲与同时期短篇小说关系研究 / 刘玮著. —北京: 中国社会科学出版社, 2014. 7

ISBN 978 - 7 - 5161 - 5057 - 3

I. ①明… II. ①刘… III. ①古代戏曲 - 文学研究 - 中国 - 明清时代②短篇小说 - 小说研究 - 中国 - 明清时代 IV. ①I207

中国版本图书馆 CIP 数据核字(2014)第 262041 号

出版人 赵剑英
责任编辑 任 明
责任校对 王 斐
责任印制 李 建

出 版 中国社会科学出版社
社 址 北京鼓楼西大街甲 158 号 (邮编 100720)
网 址 <http://www.csspw.cn>
中文域名: 中国社科网 010 - 64070619
发 行 部 010 - 84083685
门 市 部 010 - 84029450
经 销 新华书店及其他书店

印刷装订 北京市兴怀印刷厂
版 次 2014 年 7 月第 1 版
印 次 2014 年 7 月第 1 次印刷

开 本 710 × 1000 1/16
印 张 10.25
插 页 2
字 数 169 千字
定 价 48.00 元

凡购买中国社会科学出版社图书, 如有质量问题请与本社联系调换

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序

中西文化的差异性至为鲜明地显现在对于文体的认识界定上。西方学者依据文学作品的形式特征直观明了地将其分析为诗歌、散文、小说、戏剧四类，这样的“四分法”早已天下通行。而中国传统的处理过程则要复杂得多，先贤致力于透过文学形式考察其社会功能，进而为其配置合适的语言风格。比方“诗”，著于两千多年前的《毛诗序》有如下定义：“诗者，志之所之也。在心为志，发言为诗。”诗是情感的外化，是专用于抒情言志的文体，一般不用来叙事，也“不涉理路”（严羽《沧浪诗话》）。西晋文学家陆机进而说：“诗缘情而绮靡。”（《文赋》）诗用于抒写情感，故而讲求词采艳丽。与之相对应，“赋体物而浏亮”，赋用于形状事物，故而用语须要明白晓畅。其他还有：“碑披文以相质，诔缠绵而凄怆。铭博约而温润，箴顿挫而清壮。颂悠游以彬蔚，论精微而朗畅。奏平徹以嫺雅，说炜烨而譎诳。”各类文体的不同用途及其语言风格的相应区别，现今看来颇嫌繁琐，甚至不明就里。但是先贤注重功用、注重内涵，追求语言形式与思想内容高度结合的文化观念，于兹不难体味。

这种观念被齐梁间的文学家刘勰发挥到极致。《文心雕龙》罗列古今文体二十一类，各述源流演变。其中第五篇“辨骚”，第六篇“明诗”，第七篇“乐府”，只有《诗经》称“诗”，楚辞、乐府均不称“诗”。同样六朝以下，惟唐代定体的古近体诗称“诗”，词为“诗余”，曲为“词余”，亦不称“诗”。直到二十世纪初，才有人恍然大悟：“彼西人之诗不一样，吾侪译其名词，则皆曰诗而已。若吾中国之骚、之乐、之词、之曲，皆诗属也。……数诗才而至词曲，则古之屈宋，岂让荷马、但丁？而近世大名鼎鼎之数家，若汤临川、孔东塘、蒋藏园其人者，何尝不一诗累数万言耶？其才力又岂在摆伦、弥尔顿下邪？”（梁启超《小说丛话》）

差不多同时，王国维为戏曲作如下定义：“戏曲者，盖以歌舞演故事

也。”（《戏曲考原》）。又云：“必合言语、动作、歌唱以演一故事，而后戏剧之意义始全。”（《宋元戏曲考》）这都是就戏曲的最终实现形式——场上搬演着眼的。这样的定义乍看很周延，却经不住推敲。试想，将“歌舞”形式认定为戏曲与同是叙事文学的小说和西方戏剧的主要区别，以“汤临川、孔东塘、蒋藏园其人”为代表的戏曲家们能同意吗？他们苦心经营的“一诗累数万言”的“曲”呢？难道它不是传统戏曲的文体特征，不是传统戏曲区别于其它叙事文体的形式规范吗？

毫无疑问，戏曲的主体是“曲”，是诗之一体。作为词之余、“乐之支”（王骥德《曲律》），其传统功能长于抒情而短于叙事。然而戏曲又有“无传不奇，无奇不传”（倪倬《二奇缘·小引》）的叙事文学要求，这直接导致了中国戏曲迥异于小说和西方戏剧的叙事模式和文体特征。这是极具现实意义的学术课题。当今层出不穷的新编戏曲大多以西方戏剧的编导理论为主臬，只注重故事编排、人物塑造、场面结构，有意无意地忽视戏曲之“曲”，因而总是缺少诗情，缺少意境，缺少传统戏曲的神理气味，值得深思。

刘玮博士于2007年毕业于中国人民大学张国风教授门下，专业方向中国古代戏曲与小说。博士论文选题“元明戏曲与唐传奇的历史姻缘”，着重考察二者在题材传承基础上所发生的一系列承袭与变异现象，并归结为传统伦理观念与新社会思潮的激荡交织以及两种艺术体式横向差异两大原因（该成果经修订后已被批准为2014年度国家社会科学基金后期资助项目）。同年进入苏州大学博士后流动站，继续就戏曲与小说关系进行考察研究。她选择的论题是“明清戏曲与同时期短篇小说关系研究”。作为博士论文课题的延伸，这个选题可以最大限度地排除文学作品改编过程中因时代背景、学术思想变迁而导致的情节内容的演变，从而集中注意力于因文体变易对文学题材的开拓、增删、表现方法、格局层次以及整体面貌产生的影响，具有重要的学术价值。来到明清时期戏曲、小说创作传播的中心，徜徉在充溢江南人文气息的园林旧宅、水巷古镇，聆听着悠扬曲笛、水磨昆腔，刘玮博士如鱼得水，对古典戏曲以及培育滋养它的文化环境有了更直观的认识理解。附近的吴江、常熟、昆山、太仓，稍远的扬州、南京，以及邻省的杭州、绍兴，处处留下了她考察调研的纤小身影。两年半以后，放在我面前的是一份12万字的出站报告。当时我在合作导师评语中写道：

刘玮博士的博士学位论文《元明戏曲与唐传奇的历史姻缘》探求元明戏曲对唐传奇承袭与变异的现象及其原因。博士后出站报告《明清戏曲与同时期短篇小说关系研究》显然是博士论题的延展与深入。作者从考察明清戏曲对这一时期文言和白话短篇小说的改写现象入手,通过概括其改写类型,讨论明清戏曲是如何运用同一时期的短篇小说题材进行创作的。以此为基点,进一步分析明清戏曲与同题材短篇小说之间存在着的联系和差异。同时探讨明清戏曲取材于同时期短篇小说的原因,试图总结明清戏曲利用同时期短篇小说题材进行创作的规律。接着还反向思考并讨论了明清时期戏曲对短篇小说的渗透,从而描述出戏曲与小说二者之间既密切关联又迥然有异的生动关系。

报告取材丰富,择别妥当,论说条理,结撰得体。文后附表分时代、分体裁罗列了明清短篇小说与同题材戏曲,一一对应,洋洋大观,足见作者阅读之广,用力之猛。而从博士学位论文到博士后出站报告,作者所关注的戏曲与小说关系这一学术课题也因而得到了超越前人的进一步阐释。

今年5月,刘玮博士对报告加以增补修订,准备交付出版,因来函索序。前后七年,打磨此剑,如今堪当一试了。作者持续关注十年的戏曲与小说关系这一学术课题,以下将如何继续推进,我愿拭目以待。

周 秦

2014年6月于寸心书屋

中文摘要

中国古代戏曲和小说之间有着深厚的渊源，特别是明清乃戏曲和小说的繁荣时期，二者关系更加紧密。本书立足于明清戏曲，从戏曲与同时期短篇小说题材上的关联入手，着重考察二者之间的联系与差异。

在正式展开本论题之前，首先谈四个问题：一是选题的依据。主要从明清小说和戏曲在文学史上的地位以及二者之间的密切关系着眼。二是戏曲与小说关系的研究现状。这一论题虽有学者不断研究，亦取得了不少成果，但尚存在空白，特别是明清戏曲与同时期短篇小说关系的研究几乎无人问津，而戏曲与小说二者之间的密切关系在这一时期染上浓郁的时代特色；同时昆腔传奇亦在此时兴盛，因此，这一课题的研究具有较强的历史文化和现实意义。三是对本书研究对象的说明。大致说来，本书所涉及的明清短篇小说包括文言和白话两类，前者指这一时期由文人创作或编集的文言短篇小说及小说集；后者指这一时期文人创作或编集、整理的白话短篇小说。本书涉及的明清戏曲包括与同时期短篇小说题材相关的戏文、杂剧和传奇，不包括花部诸腔和近代作品。四是对本书结构安排的简要概括。

文章主体部分主要探讨了明清戏曲与同时期短篇小说之间的联系和差异。概括地说，明清戏曲与同时期短篇小说的联系表现在以下几个方面：首先是题材上的好“奇”。在选取奇异题材的同时，二者又都对爱情题材给予了特别关注，其数量居各类题材之首。其次是二者主题上的联系，都大力张扬爱情主题，对青年男女婚恋自主给予了高度肯定，更可贵的是有一类作品特别讲述了市井男女在日常经营之中逐渐建立起朴素的情感，最后结为夫妇，既是对商人等市民生活的关注，又表现出对渐进式爱情模式的探索，为晚明以来主情思潮添上朴素而有意味的一笔。再次是明清戏曲和短篇小说又均有相当数量的作品描写忠奸斗争故事，确立了鲜明的扬忠

刺奸主题。这类作品题材多集中于忠臣义士对权臣严嵩父子和魏忠贤的斗争,即小说家和戏曲家们将目光投注到时事问题上,体现出鲜明的爱憎态度和以天下为己任的责任感。也有部分作品借古喻今,借颂扬前代义士表达对忠义品格的景仰和对现实的不满。除上述联系,明清戏曲和同题材的短篇小说之间在创作意图上也多相通,许多作品寄寓着劝世讽世的意图,实现这一意图的途径亦大体相同。劝惩的内容比较丰富,概括而言,多为家庭伦理、社会风俗等与市民生活息息相关的人物故事,其中所蕴含的价值观念,也可用一句话概括,即“劝善惩恶”。这是明清戏曲和小说在审美趣味和价值观念上不断接近市民的趋势使然。基于此,二者实现劝惩意图的途径亦相通,主要是运用善恶相形的对比手法加深受众印象,并借助因果报应的朴素信仰警示世人,从而达到劝善惩恶的目的。

明清戏曲与同时期短篇小说在存在上述联系的同时,亦微有不同,即在劝讽内容上,戏曲“理”的主旨较同题材短篇小说更加彰显,在情与理错综交织方面,戏曲较小说表现得更加突出。这与二者的艺术特质、传播方式和渠道等的差异息息相关,是二者的同中之异。

作为两种不同的文艺样式,戏曲与小说之间又存在诸多差异。戏曲是一种综合性艺术,小说主要是文学体裁;戏曲是代言体的,小说主要是叙述体。由这些基本差异又导致戏曲与小说在结构安排、人物描写、演述方式、传播方式和渠道等方面的差异。在不同的时代、涉及戏曲与小说具体情况时,它们之间的差异又往往表现出一些特殊性。明清戏曲和同时期短篇小说之间的差异,就是戏曲与小说的一般差异在特定时代、因具体体裁而产生的。

具体地说,明清戏曲与同题材短篇小说在情节结撰方式、陪衬人物的描写、演述方式上表现出明显的不同。情节结撰方式上,戏曲往往较短篇小说更重视铺排,主要体现在生旦家门,考试、中举、结婚等场面的铺排,个别情节的展开等方面。这是由戏曲、主要是传奇在明清时期剧本体制逐渐定型以及戏曲的戏剧性所决定的。对于陪衬人物,短篇小说一般是泛泛而写,人物面目模糊,戏曲则将这类人物具象化,甚至赋予其丰富的动作,使其个性更加鲜明。这一差异的出现,是因为小说是叙述体,戏曲则是一种舞台表演艺术,前者可以让读者借助想象将人物具象化,后者则必须使人物可以登场表演。戏曲独特的艺术形式还造成了它与同时期短篇小说的另一方面差异:由繁趋简,即将同题材短篇小说中比较繁复的情节

简化,或者将众多的人物减少。将小说中众多人物减少有三种情形,一种是有名有实的减少,一种是象征性减少,还有一种介于上述二者之间,既带有象征性,同时也是实质性减少。这同样是由戏曲的舞台表演性所决定的。戏曲的舞台表演性还使之具有程式化和虚拟化特征,这一特征使少量演员、简单动作代表众多人物、繁复场景成为可能。戏曲的舞台表演性还导致其往往将同题材的短篇小说中繁复的情节简化,这种简化可以极大地方便场上搬演,也便于观众观赏和理解。

除上述差异,在抒情性上,戏曲与小说也表现出明显的不同,即戏曲抒情性较小说更显豁。戏曲的核心构成——曲,是诗之一脉,与音乐相伴随,因此戏曲具有浓郁的抒情色彩,或者代人物抒情,或者剧中人代作者抒情,或者在抒情中推动情节发展,与小说由叙述者直接讲述故事、描述人物状态存在明显差异。但是戏曲与小说均是“说故事”的,因此二者又均具有叙事性,在叙事时间、叙事视角、叙事话语等方面交叉渗透,相互借鉴。概括言之,小说属叙事体文学,其核心是叙事。戏曲属戏剧体文学,兼容抒情体与叙事体,抒情中有叙事,叙事中又渗透着浓郁的抒情意味,情与事水乳交融,相辅相成。从抒情性来看,戏曲与小说存在较大差异;就叙事性而言,戏曲与小说又是相互渗透的,体现了戏曲与小说的异中之同。

综上所述,戏曲与短篇小说是两种不同的艺术样式,各自遵循着特定的艺术规律,同时在各自的发展过程中,彼此交叉,相互渗透。在明清这一特定时期,二者之间的关系又呈现出新的特点:一方面是体裁界限越来越明朗;另一方面,二者的交融互渗更加深入,在题材、主题、创作意图、叙事性等方面存在千丝万缕的联系,呈现出同中有异、异中有同的独特面貌。这既体现了戏曲与小说的一般关系,又染有特定的时代气息。

关键词: 明清戏曲, 短篇小说, 创作意图, 叙事性, 抒情性

Abstract

Drama and fiction in traditional Chinese literature were intimately related to each other, and the interrelationship between the two was especially strong in the Ming-Qing Period, when both drama and fiction flourished. This thesis deals with drama of the period, and, taking the connections in subject between drama and short story of the period as the starting point, focuses especially on the connections and differences between the two.

Before formally unfolding this topic, we first discuss four issues. The first concerns the grounds for our choosing this topic, which mainly involve the significance of fiction and drama of the Ming-Qing Period in the history of Chinese literature and the intimate relationship between the two. The second issue is the current status of research on the relationship between drama and fiction. Scholars have continued to work on this topic and much has been achieved in this field, but there are still areas where little has been done, especially the relationship between Ming-Qing drama and short story of the same period, an area which has hardly been studied but which is important because the close relationship between drama and fiction is imbued with a spirit specific of the time. Furthermore, *Kunqu* opera also flourished in this period. Thus, research in this area is important both for its historical significance and for its relevance to our time. The third part is an explication of the subject matter of this study. Roughly speaking, short stories dealt with in this thesis include those written in classical Chinese and those written in vernacular Chinese, the former being short stories in classical Chinese written or compiled by the literati, while the latter being those in vernacular Chinese written or compiled by literati. The drama of the Ming-Qing Period dealt with in this thesis include early southern dra-

ma (*xiwen*), poetic drama (*zaju*), and southern drama (*chuanqi*), excluding the “miscellaneous assortment of local drama” (*huabu zhuqiang*) and works of the modern era. The fourth part is a summary of the structural arrangement of this thesis.

The main body of this thesis mainly explores the connections and differences between drama of the Ming-Qing Period and short stories of the same period. Briefly speaking, the connections are shown in the following areas: First, both drama and short stories of the period tend toward “strange” subjects, and in choosing to deal with “strange” subjects, both pay special attention to love as a subject, and works concerned with this subject are the most numerous. Secondly, drama and the short story of the period are related in themes, with both energetically advocating the theme of love, positively affirming free love and marriage of young men and women. Even more valuable is a category of works that specifically narrate stories of ordinary men and women in urban areas who develop simple affection for each other in their everyday activities to make a living and who end up married as husband and wife. This is both an expression of concern for merchants and other urban people and an exploration of the pattern of gradually progressing love, which adds a plainly expressed but meaningful stroke to the trend of thought since the late-Ming that puts emphasis on emotion. Thirdly, a significant number of both plays and short stories of the Ming-Qing Period are about the struggle between the loyal and the treacherous, establishing a vivid theme of praising the loyal and satirizing the treacherous. The themes of these works are mostly focused on the struggle of loyal officials and righteous men against the powerful chancellor Yan Song and his son Yan Shifan or against the eunuch Wei Zhongxian, which means authors of the short stories and the playwrights of the period had their eyes on social issues of the day, showing clear attitudes of love and hate and a sense of responsibility for the society. There are also works which use historical stories to implicate current issues, or which, through praising righteous men of earlier times, express admiration for loyal and righteous personalities and dissatisfaction with the reality. In addition to the connections above, plays and short stories sharing the same subject are similar also in authorial intention. Many works embody the in-

tention to admonish the world, and their approaches to carry out their intention are basically the same. The specific contents of admonishment are multifaceted, but, generally speaking, are mostly concerned with stories about family ethics and social mores, which are closely related to the everyday life of ordinary urban folks. The value orientations implied in both plays and short stories can also be summarized as "to encourage the good and to admonish against the evil". This is caused by a continuous trend of aesthetic taste and value orientation in Ming-Qing drama and fiction to move closer to the life situation of city-dwellers. Because of this, both drama and fiction share a common approach in expressing the intention of encouragement and admonishment, using mainly the device of contrasting good and evil to deepen the audience's impression and utilizing people's simple belief in retribution to warn them so as to attain to the effect of encouraging the good and admonishing against the evil.

In sharing the connections with short stories as outlined above, Ming-Qing drama also differs from them slightly, namely, in the contents of admonishment, the purport of reason in plays is more evident than short stories with the same themes, and the plays also show the interweaving of reason and emotion in a more marked way than do short stories. This is intimately related to the artistic character and the means and channels of communication of drama and fiction, and shows the minor differences in a general pattern of similarity between the two.

As two different genres of literature and art, drama and fiction differ from each other in many ways. Drama is a comprehensive genre of art, while fiction is mainly a literary genre; drama is representational, while fiction is mainly narrative. These fundamental differences lead to further differences between drama and fiction: in structural arrangement, in character portrayal, in the ways of acting/narrating, and in the means and channels of diffusion. And in different historical periods, the differences between drama and fiction show some characteristics specific of their times due to their specific circumstances. The differences between Ming-Qing drama and short stories of the same period were produced from the general differences between drama and fiction in a specific historical period and in accordance with particular genres.

More specifically, Ming-Qing plays differs significantly from short stories with the same subjects in how the plot is weaved together, in their portrayal of secondary characters, and in how the story is narrated. In terms of how the plot is weaved together, the plays often give more weight to florid representation of certain scenes, mainly those showing the family grandeur of the hero or the heroine, and those of civil service examinations, the glory of the hero passing the provincial examination, and wedding, as well as the unfolding of certain scenarios. This difference is mainly because the formal elements of drama, especially of *chuanqi*, gradually became fixed during the Ming-Qing Period and because of the need to have some dramatic elements in drama. With regard to secondary characters, short stories of the period usually give them only an overly general, vague depiction, while plays represent them clearly, even letting them have rich, dramatic action, so that they become rather vivid. This difference is because fiction is narrative while drama is an art to be performed on the stage. The former can allow the reader to use his/her own imagination to make characters more concrete, while the latter must have scripts suitable for the characters to be put on stage. The unique art form of drama also led to another difference between it and short stories of the period, namely, the more complicated plot in a short story was often simplified, or the large number of characters reduced, when it was rewritten as drama. The number of characters in a short story can be reduced in three ways: first, it can be reduced both in name and in substance; second, it can be reduced only symbolically; third, in between the first and the second way, the number can be reduced symbolically but at the same time also substantially. This, again, is due to the quality of drama that it is performed on stage. This quality also results in its routinization and virtualization, which make it possible for a small number of actors and simple acts by them to represent a large number of people and complex scenes. That drama is performed on stage also leads to its often simplifying the complicated plot found in short stories. This simplification can greatly facilitate the actors' performance and the audience's appreciation and understanding.

In addition to the above differences, drama differs significantly from fiction in lyricism as well in that the former is more clearly lyrical. *Qu*, the core com-

ponent of drama, is a genre of poem set to music, making drama intensely lyrical, either expressing the emotions of the characters in the play, or with the characters in the play used to express the emotions of the playwright, or helping to develop the plot through lyrical expression, which differs significantly from the fiction, where the narrator directly narrates the story and portrays the characters. But on the other hand, both drama and fiction "tell a story", so both are narrative, and they interpenetrate each other and borrow from each other in terms of time, perspective, and language of the narrative. To sum, the fiction belongs to the narrative genre of literature, with the narrative as its core, while the drama belongs to the dramatic genre, which is both lyrical and narrative, with the narrative embedded in its lyricism, and a strong lyricism permeating the narrative. Emotions and the plot intermingle thoroughly and complement each other. In terms of lyricism, drama differs significantly, but in terms of narrative, the two are interpenetrating, resulting in some similarities amidst their general differences.

In summary of the above, drama and the short story are two different forms of art, with each following a specific artistic pattern. But they also intersect with and penetrate each other in their respective courses of development. In the Ming-Qing Period with which this thesis is concerned, the relationship between the two also shows some new characteristics. On the one hand, the boundary between the two genres became clearer and clearer; on the other, the blending and interpenetrating between the two are deepened, with countless interconnections between the two in subject, theme, authorial intention, and the narrative, presenting a unique pattern of differences existing in similarity, and similarities existing in difference. This pattern both embodies the general relationship between drama and fiction and is tinged with the spirit of the time.

Key words: Ming-Qing drama, short story, authorial intention, narrative, lyricism

目 录

绪论	(1)
一 论题的提出	(1)
二 戏曲与小说关系研究现状	(3)
三 本书研究对象	(9)
四 本书结构安排	(10)
第一章 明清戏曲与同时期短篇小说之间的联系 (上)	(11)
第一节 “作意好奇”——题材上的联系	(12)
第二节 “大旨谈情”——主题上的联系之一	(14)
一 对人欲的张扬和情爱的挖掘	(14)
二 对渐进式恋爱模式的关注	(18)
第三节 扬忠刺奸——主题上的联系之二	(21)
一 颂扬与悲愤：在时事中扬忠刺奸	(21)
二 借古人酒杯浇时人块垒：借史事扬忠诛佞	(27)
三 喜庆背后的悲歌：忠奸斗争作品的悲壮基调	(29)
第二章 明清戏曲与同时期短篇小说之间的联系 (下)	(31)
第一节 劝世讽世——创作意图上的联系	(31)
一 多子多福：劝人行善的伦理依据之一	(32)
二 斥妒倡贞：传统伦理观念下对女性的劝讽	(33)
三 明清小说、戏曲注重伦理规范的社会原因	(39)
第二节 善恶相形 因果报应——明清戏曲小说实现劝讽 意图的相同途径	(41)
一 善恶相形：实现劝惩意图的艺术手法	(41)
二 因果报应：警世醒世的有力武器	(44)

第三节 理的彰显——明清戏曲与同时期短篇小说的同中之异	(46)
第三章 明清戏曲与同时期短篇小说之间的差异	(52)
第一节 铺排与概述——情节结撰方式的差异	(52)
一 生、旦家门	(53)
二 考试、中举、结婚等场面的铺排	(54)
三 个别情节的铺排	(56)
第二节 具象化与泛写——陪衬人物描写的差异	(60)
第三节 简化与繁复——演述方式的差异	(63)
第四节 抒情中的叙事——明清戏曲与同时期短篇小说的异中之同	(65)
一 抒情性：戏曲与小说的差异	(65)
二 叙事性：戏曲与小说的异中之同	(72)
结论	(78)
附表	(81)
参考文献	(140)
后记	(146)

绪 论

明清戏曲许多作品与短篇小说同一题材，其具体情况是，有的取材于同时期或稍早的短篇小说，有的与短篇小说共同利用一个故事题材，其本事可追溯至唐传奇、宋元说唱文学、元杂剧、前代笔记甚至更远的史事或传说，这里，不考虑这些戏曲和小说题材的远源，而是立足于戏曲，考察二者之间的联系和差异，试图寻绎出它们之间共生共存状态的内在机理，以及出现差异的原因，从而对这一时期戏曲与短篇小说之间的关系作一管窥蠡测。

一 论题的提出

在中国古代文学史上，戏曲与小说有着密不可分的血缘关系。自明清两代以来，研究中国古代戏曲和小说的专家学人都对这一现象给予了不同程度的关注。但综观古代文学研究的历史，这一研究的起步相对于中国传统诗、文等的研究要晚得多（与小说和戏曲这两种文体成熟较晚有关系），而且由于中国古代文学理论与文学批评缺少系统性，在戏曲与小说关系方面亦很少有系统性的研究论著保存下来。

明清小说在中国古代小说史乃至整个中国古代文学史上占有重要地位，是对此前中国古代小说发展的总结，无论是在小说的整理、改编、结集和创作，还是在小说的批评与理论建树上，都大有创获。说明清是我国古代小说的集大成时期，应不为过。这其中当然包括短篇小说所取得的成就。从语体上说，明清短篇小说包括文言和白话两大类。20世纪以来，在明清小说的研究领域，取得了非常丰硕的成果，但绝大多数是立足于小说本身的研究，对小说与戏曲的关系则没有给予足够的关注。

同样地，明清戏曲在我国古代戏曲发展史上占有举足轻重的地位，许多作品至今还以各种形式活跃在戏曲舞台上，它是我国传统文化的瑰宝。