



中南财经政法大学
青年学术文库

默会维度上 认识理想的重建

——波兰尼默会认识论研究

李白鹤 著

中国社会科学出版社



中南财经政法大学
青年学术文库

默会维度上 认识理想的重建

——波兰尼默会认识论研究

李白鹤 著

中国社会科学出版社

图书在版编目 (CIP) 数据

默会纬度上认识理想的重建：波兰尼默会认识论
研究 / 李白鹤著. —北京：中国社会科学出版社，
2009. 11

(中南财经政法大学青年学术文库)

ISBN 978 - 7 - 5004 - 8372 - 4

I. ①默…II. ①李…III. ①波兰尼, M. (1891~1976) —
认识论—研究 IV. ①B561.59

中国版本图书馆 CIP 数据核字 (2009) 第 226695 号

责任编辑 吴连生
责任校对 王兰馨
封面设计 久品轩
技术设计 王炳图

出版发行 中国社会科学出版社

社 址 北京鼓楼西大街甲 158 号

邮 编 100720

电 话 010 - 84029450 (邮购)

网 址 <http://www.csspw.cn>

经 销 新华书店

印 刷 北京奥隆印刷厂

装 订 广增装订厂

版 次 2009 年 11 月第 1 版

印 次 2009 年 11 月第 1 次印刷

开 本 710 × 1000 1/16

印 张 13.25

插 页 2

字 数 210 千字

定 价 28.00 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发行部联系调换
版权所有 侵权必究

《中南财经政法大学青年学术文库》

编辑委员会

主 任：吴汉东

副主任：郭道扬

张中华

陈小君

委 员：刘可风

卢现祥

熊胜绪

杨灿明

范忠信

罗 飞

朱新蓉

陈池波

齐文远

张新国

夏成才

姚 莉

杨宗辉

朱延福

向书坚

主 编：张中华

编辑部成员：姚 莉

陈敦贤

刘普生

朱冬生

本书主审：杨清荣

总 序

一个没有思想活动和缺乏学术氛围的大学校园，哪怕它在物质上再美丽、再现代，在精神上也是荒凉和贫瘠的。欧洲历史上最早的大学就是源于学术。大学与学术的关联不仅体现在字面上，更重要的是，思想与学术，可谓大学的生命力与活力之源。

中南财经政法大学是一所学术气氛浓郁的财经政法高等学府。范文澜、嵇文甫、潘梓年、马哲民等一代学术宗师播撒的学术火种，五十多年来一代代薪火相传。在世纪之交，在合并组建新校而揭开学校发展新的历史篇章的时候，学校确立了“学术兴校，科研强校”的发展战略。这不仅是对学校五十多年学术文化与学术传统的历史性传承，而且是谱写新世纪学校发展新篇章的战略性的手笔。

“学术兴校，科研强校”的“兴”与“强”，是奋斗目标，更是奋斗过程。我们是目的论与过程论的统一论者。我们将对宏伟目标的追求过程寓于脚踏实地的奋斗过程之中。由学校斥资资助出版《中南财经政法大学青年学术文库》，就是学校采取的具体举措之一。

本文库的指导思想或学术旨趣，首先在于推出学术精品。通过资助出版学术精品，形成精品学术成果的园地，培育精品意识和精品氛围，提高学术成果的质量和水平，为繁荣国家财经、政法、管理以及人文科学研究，解决党和国家面临的重大经济、社会问题，作出我校应有的贡献。其次，培养学术队伍，特别是通过对一批处在“成长期”的中青年学术骨干的成果予以资助推出，促进学术梯队的建设，提高学术队伍的实力与水平。再次，培育学术特色。通过资助在学术思想、学术方法以及学术见解等方面有独到和创新之处的成果，培育科研特色，力争通过努力，形成有我校特色的学术流派与学术思想体系。因此，本文库重点面向中青年，重

点面向精品，重点面向原创性学术专著。

春华秋实。让我们共同来精心耕种文库这块学术园地，让学术果实挂满枝头，让思想之花满园飘香。



2009 年 10 月

Preface

A university campus, if it holds no intellectual activities or possesses no academic atmosphere, no matter how physically beautiful or modern it is, it would be spiritually desolate and barren. In fact, the earliest historical European universities started from academic learning. The relationship between a university and the academic learning cannot just be interpreted literally, but more importantly, it should be set on the ideas and academic learning which are the so – called sources of the energy and vitality of all universities.

Zhongnan University of Economics and Law is a high education institution which enjoys rich academic atmosphere. Having the academic germs seeded by such great masters as Fanwenlan, Jiwenfu, Panzinian and Mazhemmin, generations of scholars and students in this university have been sharing the favorable academic atmosphere and making their own contributions to it, especially during the past fifty – five years. As a result, at the beginning of the new century when a new historical new page is turned over with the combination of Zhongnan University of Finance and Economics and Zhongnan University of Politics and Law, the newly established university has set its developing strategy as “Making the University Prosperous with academic learning; Strengthening the University with scientific research”, which is not only a historical inheritance of more than fifty years of academic culture and tradition, but also a strategic decision which is to lift our university onto a higher developing stage in the 21st century.

Our ultimate goal is to make the university prosperous and strong, even through our struggling process, in a greater sense. We tend to unify the destination and the process as to combine the pursuing process of our magnificent goal with the practical struggling process. The youth’s Academic Library of Zhongnan University of Economics and Law, funded by the university, is one of our specif-

ic measures.

The guideline or academic theme of this Library lies first at promoting the publishing of selected academic works. By funding them, an academic garden with high – quality fruits can come into being. We should also make great efforts to form the awareness and atmosphere of selected works and improve the quality and standard of our academic productions, so as to make our own contributions in developing such fields as finance, economics, politics, law and literate humanity, as well as in working out solutions for major economic and social problems facing our country and the Communist Party. Secondly, our aim is to form some academic teams, especially through funding the publishing of works of the middle – aged and young academic cadreman, to boost the construction of academic teams and enhance the strength and standard of our academic groups. Thirdly, we aim at making a specific academic field of our university. By funding those academic fruits which have some original or innovative points in their ideas, methods and views, we expect to engender our own characteristic in scientific research. Our final goal is to form an academic school and establish an academic idea system of our university through our efforts. Thus, this Library makes great emphases particularly on the middle – aged and young people, selected works, and original academic monographs.

Sowing seeds in the spring will lead to a prospective harvest in the autumn. Thus, Let us get together to cultivate this academic garden and make it be opulent with academic fruits and intellectual flowers.

Wu Handong

序

汪信砚

在人类认识活动中，存在着一些转瞬即逝的、模糊的、难以用言语精确描述的认识，虽然我们很难在这些认识出现的同时就明晰地意识到它们，但通过对认识结果的反思我们还是能够发现它们的存在。

匈牙利裔的英国哲学家波兰尼对认识中所存在的这种“我们知道的比我们能够讲述出来的多”的现象作了深入研究，在认识论领域首次提出了默会认识理论，使人们把关注的目光开始投向存在于言传认识背后的默会认识。波兰尼认为，人们对认识的研究通常只限于言传认识，实际上，在言传认识背后还存在着在认识活动中真正处于主导地位、起着决定作用的默会认识。波兰尼通过对认识的默会维度的揭示，突出地强调了认识活动中无法排除的个人因素。由此出发，他对当时所盛行的客观主义认识理想进行了批判，并提出了一种个人知识的理想，开拓了认识论研究的全新视界。

波兰尼原本是一个卓有建树的物理化学家，后来转向哲学、社会科学的研究。他在《个人知识》（1958）一书中最为集中地阐述了他的默会认识论思想，该书出版后，在西方学术界产生了广泛的影响，至今仍一再重版。在西方学术界，一些学者甚至把他的认识论思想誉为认识论上的“哥白尼式的革命”。而在国内学术界，波兰尼认识论思想的重要性尚未引起人们的足够重视，以往人们对它的研究显得相当零散。为了弥补这一明显不足，李白鹤博士的《认识理想的重建——波兰尼默会认识论研究》一书在充分吸收国内外有关研究成果的基础上，系统地探讨了波兰尼的默会认识论，开掘、凸显和阐明了波兰尼默会认识论的理论主题即在默会维度上对认识理想的重建，具体地分析了波兰尼默会认识论在一系列问题上的独

到见解,并对波兰尼默会认识论的理论地位、深刻影响和重要意义作了深入考察和评析。在我看来,该书在理论上的建树主要有以下几个方面:

第一,通过考察波兰尼从各种不同的维度对默会认识的具体分析,从总体上揭示出了波兰尼默会认识论的理论主题,这就是默会维度上认识理想的重建,即在默会维度上确立个人知识的理想,以此来代替客观主义的认识理想。书中的分析表明,波兰尼的默会认识论通过个人知识理想的确立,突破了客观主义认识理想的理论误区,克服了客观主义认识理想所导致的主客二元对立、科学与人文的分裂以及认识与存在的分离等问题,从而实现了对近代认识论的超越。正是由于有了对波兰尼默会认识论理论主题的准确把握,所以该书在对波兰尼默会认识论理论的研究一开始就占据了一个理论制高点。

第二,遵循波兰尼默会认识论的逻辑构架,系统地阐述了波兰尼默会认识论的丰富内容,细致考察了它在一系列问题上的独到见解。作者的论述表明,波兰尼的默会认识论彰显了认识的个人性,揭示了认识的个人性与普遍性的统一,得出了认识的真正结果是“个人知识”的结论,展现了科学与人文在默会层面上的统一,并对身心关系问题、认识的主客体关系问题、认识与存在的关系问题等一系列传统认识论问题作了全新的解答。这些都是该书清晰地呈现于我们面前的波兰尼默会认识论的独特理论贡献。

第三,在东西方思想的广阔背景下,深入考察和评析了波兰尼默会认识论的理论地位、深刻影响和重要意义。书中分析和论述了波兰尼默会认识论所实现的“认识论上的第三次哥白尼式的革命”及其丰富内涵,考察了波兰尼默会认识论对当代西方哲学发展的重要影响和在当代西方心理学、教育学、经济学中的广泛应用,并在揭示波兰尼默会认识论与中国传统体知文化的共通之处、与马克思主义认识论的契合关系的基础上,探讨和阐明了其对于当代中国马克思主义认识论研究的重要启示。

从20世纪70年代末到90年代初,认识论一直是我国哲学研究的前沿热点领域。20世纪90年代中期以后,我国的认识论研究似乎有些沉寂。但是,这并不意味着对认识论问题的研究已变得不重要或已告结束。实际上,认识论领域仍存在着许多悬而未决的、需要我们下大力气探讨的问题。就当前的认识论研究而言,问题的关键不在于研究什么,而在于以何种方式去从事研究。《认识理想的重建——波兰尼默会认识论研究》一书

就指出，波兰尼的默会认识论为我们提供了一个从新的视角探讨认识论问题的范例。对于当代中国马克思主义认识论发展过程中曾引起人们热烈讨论的许多问题，如果从波兰尼的默会认识论的角度重新加以审视，我们会获得许多新的启示。通过吸取和借鉴波兰尼的默会认识思想，来促进当代中国马克思主义认识论的研究，以及推动当代中国马克思主义认识论的发展，这也是该书探讨波兰尼默会认识论的根本目的之所在。

李白鹤 1998 年考入武汉大学哲学系，并自 2002 年开始在我的指导下攻读硕士学位和提前攻读博士学位。她的博士学位论文曾经国内哲学界多位名家的评审，评审专家对论文给予了高度评价，答辩委员会一致认为，其是一篇优秀博士学位论文。她的这部专著《默会维度上认识理想的重建——波兰尼默会认识论研究》，就是由其同名博士学位论文修改而成的。我相信，该书的出版，必将有助于推进和深化我国马克思主义认识论的研究。

2008 年 5 月 18 日于武汉大学

内容摘要

本书在深入考察波兰尼认识论产生的理论背景和思想来源的基础上，从“默会认识”、“寄托”、“个人知识”这三个波兰尼认识论的核心概念出发，研究波兰尼默会认识论的主要内容，探讨波兰尼默会认识论对客观主义认识理想的批判和对个人知识理想的建立，考察波兰尼默会认识论对科学发现问题和对宗教、艺术领域问题的解答，揭示波兰尼努力将自然研究和人的研究在默会认识的框架下统一起来的尝试，阐释波兰尼默会认识论对于推进当代中国马克思主义认识论发展的重要意义。

第一章主要探讨波兰尼默会认识论形成的理论背景和思想来源。客观主义的认识理想强调对世界的如实反映，力图排除认识过程中的个人系数，对于认识的结果往往只注意到可以言传或以文字形式来表达的东西，而忽视了无法明言的默会成果。随着人类认识和实践的发展，现代科学的新发现使得人们开始重新审视客观主义认识理想。波兰尼也注意到客观主义认识理想带来的事实与价值、科学与人性的分离等理论后果，从默会维度对认识进行新的分析，力图重建人们的认识理想。尽管在波兰尼之前，从古希腊到中世纪乃至近现代的许多西方哲学家在对认识问题进行探讨时，曾或多或少地觉察到这种内在的、非言述性的认识，但是直至波兰尼在《个人知识》一书中提出“默会认识”的概念后，人们才真正开始对认识的默会维度进行直接关注。在波兰尼认识论中，我们可以看到格式塔心理学、现象学、发生认识论和存在主义，对其理论、概念的直接影响。

第二章主要探讨波兰尼的“默会认识”概念对认识的个人性的彰显。波兰尼指出，人们通常对认识的关注只是限于言传认识，实际上，在言传认识的背后还存在着真正在认识活动中处于主导地位、起着决定作用的默会认识。波兰尼的“默会认识”，实质上就是认识主体对认识对象身心合一的整体理解，它作为认识主体的个体认识活动，具有强烈的个人性。在波兰尼那里，默会认识的结构就是把内在的附带觉知，整合到我们对外在

物体的焦点觉知之中。这一整合过程是我们通过对身体的附带性地应用认识外部物体的过程，也是我们通过内居于事物的局部而认识事物的整体的过程。内居不仅是默会认识的运行机制，也是人的一种存在方式。波兰尼通过对默会认识的分析，指出默会认识是言传认识的基础、对于新知识的发现起着决定性的作用，得出了“所有人类知识均是由默会的思想机能来塑造和支撑的”这一结论。默会认识在知识形成中的决定性作用，实际上，显示了认识主体在知识塑造过程中的个人参与。由此，通过对认识的默会维度的揭示，波兰尼强调个人在知识形成中的“不可避免的参与”，彰显了知识的个人性。

第三章主要探讨波兰尼的“寄托”概念揭示的认识的个人性和普遍性的统一。波兰尼宣称他的认识论就是要以信托纲领代替普遍怀疑原则。他发现，所有的认识都有一个默会的前提，包含着一整套没有表达出来的、有时是不可表达的假设与信念。波兰尼将认识的这一默会前提称为寄托框架。寄托是持有信念的行为，同时也是具有责任的行为。寄托框架作为人们认知活动无法挣脱的预设框架，所涵甚广，包含着人们认识活动依赖的种种信念，还包含着个人因持有信念而具有的一切责任。相信某种东西是一种个人的心灵行为，但是寄托中的个人在形成某种信念的同时还要服从于普遍性的意图。波兰尼指出，正是在寄托框架中，认识的个人性和普遍性得到了统一，也正是因为这个原因，认识的个人性并不等同于主观性。波兰尼的寄托理论揭示了认识的个人性和普遍性的统一，构成了对客观主义认识理想的批判，直接指向个人知识理想的建立。

第四章主要探讨波兰尼默会认识论对“个人知识”理想的确立。在揭示了默会认识是认识的最本质形式、寄托是认识的默会前提后，波兰尼指出认识的真正结果不可能是完全排除人的因素的客观知识，因为每一项认识行为中都包含着认识者无所不在的参与，我们应当将个人知识作为我们的认识理想。在波兰尼看来，科学发现过程始终都根植于个人的默会整合行动；艺术的创作和审美都源自个人想象力的整合；宗教作为人的心灵的寄寓之所，也离不开人的想象力对无法并立的成分的融合。通过对科学、宗教和艺术的分析，波兰尼指出，科学、宗教和艺术作为个人知识，在默会层面上是相通的，科学发现、宗教体验和艺术审美都是个人的“理解”，科学与人文在理解的基础上是统一的。

第五章主要探讨波兰尼默会认识论的理论地位、影响和意义。波兰尼

默会认识论在默会维度上对认识理想的重建，是“认识论上的第三次哥白尼式的革命”。通过对个人知识理想的确立，它突破了客观主义认识理想的理论误区，对传统认识论的许多理论问题进行了新的解答，展示出对传统认识论的超越。作为认识论上的重要变革，它对当代西方哲学的发展和当代西方心理学、教育学、经济学等学科的研究都产生了重大的影响。默会认识论与中国传统体知文化有着诸多的相通之处，与马克思主义认识论在某些方面也有着契合关系。这些共通之处和契合关系，成为我们吸收和借鉴波兰尼默会认识论的理论基础，并为当代中国马克思主义认识论的研究提供了有益启示。

关键词：波兰尼；默会认识；寄托；个人知识；客观主义认识理想

Abstract

Polanyi claims that all knowledge must be rooted in our tacit powers and thus we should treat the ideal of “personal knowledge” as the goal of knowing. So, the main task of this dissertation is to analyze the main content of Polanyi’s theory of tacit knowing based on the three core conceptions of his theory which are “tacit knowing”, “commitment”, “personal knowledge”; to study the criticism of the objectivism ideal of knowing and the foundation of the ideal of “personal knowledge” made by Polanyi’s theory of tacit knowing; to explore Polanyi’s solution of the questions about scientific observation, religious experience and artistic appreciation with his theory of tacit knowing; to reveal Polanyi’s attempt on unifying the study on nature and the study on man within the frame of tacit knowing; and finally to expound the profound enlightenment of Polanyi’s theory of tacit knowing on the development of contemporary Chinese Marxism Epistemology.

In the first chapter, the theoretical background and theoretical source of Polanyi’s theory of tacit knowing is discussed. In Polanyi’s time, the objectivism ideal of knowing once prevailed in science and epistemology. The objectivism ideal of knowing stressed that in order to gain the real reflection of the fact we should try to exclude the personal coefficient from the process of knowing. And as a result, people always focused on the explicit results of knowing which can be articulated and neglected the tacit results of knowing which cannot be articulated. But with the development of human practice, the objectivism ideal of knowing was questioned by many new discoveries of contemporary science, thus people began to reconsider the objectivism ideal of knowing. And at that time, Polanyi also noticed the detachment of fact and value, of science and humanity which brought by the objectivism ideal of knowing. So he analyzed the knowing process from the tacit dimension and tried to reestablish the ideal of knowing. Though many phi-

losophers were ever aware of the existence of this internal and unarticulated form of knowing, it was not until Polanyi proposed the conception of “tacit knowing” for the first time in his personal knowledge that people discussed the tacit form of knowing directly. And we can see the direct influence of the theory of Gestalt psychology, the theory of phenomenalism, the theory of genetic epistemology, and the theory of existentialism on Polanyi’s theory.

In the second chapter, I mainly discuss the personality of knowing which is indicated by Polanyi’s conception of “tacit knowing”. To Polanyi, “tacit knowing” is in fact the subject’s mind – body understanding of the whole object, and it has a “from – to” structure in which the subsidiary awareness is integrated into the focal awareness. Polanyi points out that the process of this integration is not only the process that we dwell in the parts of the object to grasp the whole object but also the process that we dwell in our bodies to focus on the external world. And so “in – dwelling” is the engineering mechanism of tacit knowing, and it is also a way of being. Based on this analysis on tacit knowing, Polanyi views that all knowing is either tacit or rooted in tacit knowing and all knowledge must be rooted in our tacit powers. The decisive role that tacit knowing plays in the formative process of knowledge in fact manifests the unavoidable personal participation in the formative process of knowledge. Thus through the discussion of the tacit dimension of knowing, Polanyi underlines the unavoidable personal participation in all knowing and unveils the personality of knowing.

In the third chapter, I mainly discuss the unification of personality and universality of knowing which is indicated by Polanyi’s conception of “commitment”. Polanyi asserts that the aim of his epistemology is to replace the fiduciary programmer with the universal skepticism principle. Polanyi finds that all the knowing has a tacit precondition which includes a whole series of beliefs and assumptions that not be articulated or even cannot be articulated. Polanyi calls this precondition as commitment framework, and to Polanyi, this framework is a pre – established framework of all the knowing which includes kinds of beliefs which knowing relies and kinds of responsibility which bring by the beliefs. So the intellectual commitment is not only a personal decision, but also a responsible deci-

sion which is in submission to the universal intent. Polanyi points out that it is just in the fiduciary programmer that the personality and universality of knowing is unified, and so we may distinguish between the personal in us, which actively enters into our commitments, and our subjective states, in which we merely endure our feelings. Polanyi's theory of commitment demonstrates the unification of personality and universality of knowing, and it also manifests the criticism of the objectivism ideal of knowing and indicates the foundation of the ideal of "personal knowledge".

In the fourth chapter, I mainly discuss the foundation of the ideal of "personal knowledge" made by Polanyi's theory of tacit knowing. Revealing tacit knowing is the basic knowing form and commitment is the tacit precondition of knowing, Polanyi points out that the real result of knowing cannot be the objective knowledge which precludes all the personal coefficient because all knowledge must be rooted in our tacit powers and we should treat the ideal of "personal knowledge" as the goal of knowing. To Polanyi, scientific observation is rooted in personal tacit integration, artistic creation and appreciation are resulted from the tacit integration by personal imagination, and regional experience is also the integration of uncollateralized elements. And thus by demonstrating the way in which all knowing requires human tacit participation, Polanyi declares that scientific observation, artistic appreciation and regional experience are all personal tacit understanding. So the theory of tacit knowing establishes a continuous transition from the natural sciences to the study of the humanities.

In the fifth chapter, the theoretical influence and the profound enlightenment of Polanyi's theory of tacit knowing are explored. The reestablishment of the ideal of knowing by Polanyi's theory of tacit knowing provides us with a new analytic frame and research angle, and leads us reconsider the role of human in the process of human. Undoubtedly, Polanyi's theory of tacit knowing brings a great change in the history of Western epistemology, and has great influences on the research in other subjects and social practice. We should also not ignore that Polanyi's theory of tacit knowing shows certain coincidences with Chinese traditional philosophy and Marxism epistemology. And based on these, the study on Pola-