

# Forum for World Literature Studies

Special Issue  
世界文学研究论坛 Vol.17 No.5 2025

✧ 文学  
الأدب  
Littérature  
Literatura  
Литература



Knowledge Hub Publishing Company Limited  
Hong Kong • West Lafayette

# **Forum for World Literature Studies**

Vol.17, No.5, 2025

## **Editors in Chief**

Nie Zhenzhao, Guangdong University of Foreign Studies, China  
Charles Ross, Purdue University, U.S.A

## **Associate Editors in Chief**

Yang Gexin, Zhejiang University, China  
Angelique Richardson, University of Exeter, UK  
Zhang Xin, Guangdong University of Foreign Studies, China

## **Directors of Editorial Office**

Yang Gexin, Zhejiang University, China  
Ren Jie, Zhejiang University, China



Knowledge Hub Publishing Company Limited  
Hong Kong · West Lafayette

# 世界文学研究论坛

2025 年第 5 期

## 主编

聂珍钊 / 广东外语外贸大学 (中国)

查尔斯·罗斯 / 普渡大学 (美国)

## 副主编

杨革新 / 浙江大学 (中国)

安琪莉珂·理查森 / 埃克塞特大学 (英国)

张欣 / 广东外语外贸大学 (中国)

## 编辑部主任

杨革新 / 浙江大学 (中国)

任 洁 / 浙江大学 (中国)



香港·西拉法叶

# Forum for World Literature Studies

Vol.17, No.5, 2025

## Special Issue

Ethical Literary Criticism:  
Theory and Practice

Edited by Ren Jie



Knowledge Hub Publishing Company Limited  
Hong Kong · West Lafayette

# 世界文学研究论坛

2025 年第 5 期

学术专刊

文学伦理学批评：理论与实践

专刊主编：任洁



香港·西拉法叶

## Editorial Board

- Valerie Babb** / University of Georgia, USA  
**Massimo Bacigalupo** / Università di Genova, Italy  
**Elleke Boehmer** / University of Oxford, UK  
**Marshall Brown** / University of Washington, USA  
**Ty Buckman** / Wittenberg University, USA  
**Alison Calder** / University of Manitoba, Canada  
**Arturo Casas** / Universidade de Santiago de Compostela, Spain  
**Claire Connolly** / University College Cork, Ireland  
**Chen Zhongyi** / Chinese Academy of Social Sciences, China  
**Fan Pik Wah** / University of Malaya, Malaysia  
**Harry Garuba** / University of Cape Town, South Africa  
**Margot Hillel** / Australian Catholic University, Australia  
**Martin Humpal** / Charles University in Prague, Czech Republic  
**Namigata Tsuyoshi** / Kyushu University, Japan  
**Hank Lazer** / University of Alabama, USA  
**Lim Dae Geun** / Hankuk University of Foreign Studies, Korea  
**Khairy Douma** / Cairo University, Egypt  
**Leevi Lehto** / Finland  
**Liao Kebin** / Peking University, China  
**Liu Jianjun** / Northeast Normal University, China  
**Luo Lianggong** / Central China Normal University, China  
**Roland Lysell** / University of Stockholm, Sweden  
**Anne-Marie Mai** / University of Southern Denmark, Denmark  
**Jale Parla** / İstanbul Bilgi University, Turkey  
**Irina Dmitrievna Prokhorova** / New Literary Observer, Russia  
**Elizabeth Ramos** / Universidade Federal da Bahia, Brazil  
**John Rathmell** / University of Cambridge, UK  
**Derek Parker Royal** / University of Texas at Dallas, USA  
**Stephan Michael Schröder** / University of Cologne, Germany  
**Monica Spiridon** / Bucharest University, Romania  
**Shang Biwu** / Shanghai Jiaotong University, China  
**Sun Jian** / Fudan University, China  
**Jüri Talvet** / University of Tartu, Estonia  
**Kwok-kan Tam** / Hang Seng University of Hong Kong, China  
**Galin Tihanov** / Queen Mary University of London, UK  
**Kim Youngmin** / Dongguk University, Korea  
**Liu Humin** / Guangdong University of Foreign Studies, China  
**Tomo Virk** / University of Ljubljana, Slovenia  
**Wang Lixing** / Nankai University, China  
**Yin Qiping** / Hangzhou Normal University, China  
**Zhu Zhenwu** / Shanghai Normal University, China

## 编委会

- 瓦莱丽·巴布 / 佐治亚大学 (美国)  
马西姆·巴斯加拉珀 / 热那亚大学 (意大利)  
艾雷克·博埃默 / 牛津大学 (英国)  
马歇尔·布朗 / 华盛顿大学 (美国)  
台艾·巴克曼 / 威登堡大学 (美国)  
艾丽森·卡尔德 / 曼尼托巴大学 (加拿大)  
阿图罗·卡萨斯 / 地亚哥-德孔波斯特拉大学 (西班牙)  
克莱尔·康诺利 / 科克大学 (爱尔兰)  
陈众议 / 中国社会科学院 (中国)  
潘碧华 / 马来亚大学 (马来西亚)  
哈利·戈乌巴 / 开普敦大学 (南非)  
玛格特·希勒尔 / 澳大利亚天主教大学 (澳大利亚)  
马丁·罕帕尔 / 布拉格查理大学 (捷克)  
波瀉刚 / 九州大学 (日本)  
汉克·雷泽尔 / 阿拉巴马大学 (美国)  
林大根 / 韩国外国语大学 (韩国)  
哈伊里·杜马 / 开罗大学 (埃及)  
利维·利托 / (芬兰)  
廖可斌 / 北京大学 (中国)  
刘建军 / 东北师范大学 (中国)  
罗良功 / 华中师范大学 (中国)  
罗兰·利塞尔 / 斯德哥尔摩大学 (瑞典)  
安妮-玛丽·梅 / 南丹麦大学 (丹麦)  
基尔·帕拉 / 伊斯坦布尔比尔基大学 (土耳其)  
伊莉娜·德米特里耶夫娜·普罗霍罗娃 / 《新文学评论》 (俄国)  
伊丽莎白·拉莫斯 / 巴赫亚联邦大学 (巴西)  
约翰·拉斯梅尔 / 剑桥大学 (英国)  
德雷克·帕克·罗亚尔 / 德克萨斯大学达拉斯分校 (美国)  
斯蒂芬·迈克尔·施罗德 / 科隆大学 (德国)  
莫里卡·斯普里顿 / 布加勒斯特大学 (罗马尼亚)  
尚必武 / 上海交通大学 (中国)  
孙建 / 复旦大学 (中国)  
居里·塔尔维特 / 塔尔图大学 (爱沙尼亚)  
谭国根 / 香港恒生大学 (中国)  
加林·提哈诺夫 / 伦敦大学玛丽女王学院 (英国)  
金英敏 / 东国大学 (韩国)  
刘胡敏 / 广东外语外贸大学 (中国)  
托莫·维尔克 / 卢布尔雅娜大学 (斯洛文尼亚)  
王立新 / 南开大学 (中国)  
殷企平 / 杭州师范大学 (中国)  
朱振武 / 上海师范大学 (中国)

*Forum for World Literature Studies* (Print ISSN: 1949-8519; Online ISSN: 2154-6711), published by Knowledge Hub Publishing Company Limited, is a peer reviewed academic journal sponsored by Guangdong University of Foreign Studies and Zhejiang University and co-edited by Professor Nie Zhenzhao of Guangdong University of Foreign Studies and Professor Charles Ross of Purdue University. This journal provides a forum to promote diversity in world literature, with a particular interest in the study of literatures of those neglected countries and culture regions. With four issues coming out every year, this journal publishes original articles on topics including theoretical studies, literary criticism, literary history, and cultural studies, as well as book review articles.

*Forum for World Literature Studies* accepts submissions in English or Chinese by authors from all over the world. The manuscript is expected to be of about 5000-8000 words and must follow the MLA style. Submission should be made including an abstract of about 200 words, a short biography of the author, and three to five keywords, as well as the main body of the essay. Manuscripts should be sent to: [fwlstudies@163.com](mailto:fwlstudies@163.com) or [fwlsmarket@163.com](mailto:fwlsmarket@163.com). Website: <http://www.fwls.org>.

***The Publisher and Editorial Office Address:*** Knowledge Hub Publishing Company Limited, Hong Kong SAR, China. To subscribe to this journal or purchase any single issue, please contact the editorial office at 6 East Building, Zijingang Campus, Zhejiang University, 866 Yuhangtang Rd, Hangzhou 310058, P.R. China. Tel: +86-571-8898-2010, Email: [fwlsmarket@163.com](mailto:fwlsmarket@163.com) or [fwlstudies@163.com](mailto:fwlstudies@163.com).

*Forum for World Literature Studies* is indexed in ESCI, SCOPUS and also included in the databases of EBSCO, Gale, MLA (MLA International Bibliography) and ABELL (The Annual Bibliography of English Language and Literature).

This journal is registered under its ISSN with the Copyright Clearance Centre, 222 Rosewood Drive, Danvers, MA 09123 ([www.copyright.com](http://www.copyright.com)). Copyright ©2009 by *Forum for World Literature Studies*. All rights reserved. No copy shall be made without the permission of the publisher.



# Contents

## Digital Era and Algorithmic Ethics

- 791-800 From “Brain Text” to “Digital Text”: The Paradigm Shift of Ethical Literary Criticism in the Era of AI  
Tsuyoshi Namigata  
Zhang Limin
- 801-812 Ethical Boundaries of Algorithmic Criticism  
Wan Mingbo
- 813-829 Scripts of Desire as Digital Heterotopia: Human-AI Affective Interaction under Algorithmic Surveillance  
Wang Qing
- 830-848 Representation of the Nonhuman and Its Ethical Implications in Japanese Web Novels: A Digital Humanities Approach  
Yoomin Nam  
Jaemin Shin

## Ethnicity, Trauma, and Ethical Identity

- 849-867 The Representation and Overcoming of Human Alienation in Zainichi Korean Literature: Focusing on *The Woman Who Fulled Clothes* and *Tokyo Ueno Station*  
So-Jeong Shin  
Bo-Hyun Kim
- 868-877 From Colonial Metaphors to Ethical Identity Reconstruction: An Anti-colonial Chinese Narrative in *Babel*  
Liu Shanni  
Chen Xi
- 878-886 On Animal Imagery and Female Trauma in Li Zishu’s *The Remaining Life*  
Hou Xia

## Body, Space, and Power Discipline

- 887-896 The Ethical Body and the Natural Body: Excretion Narrative and Ethical Discipline in Contemporary Chinese Literature  
He Jun

- 897-906 Disciplinary Space, Mobility, and Ethical Writing in *The Vegetarian*  
Xiu Juanyi
- 907-918 Constructing Narrative Courage: The Ethics of Aging in *Staring at the Sun*  
Chen Yubing
- 919-933 From Affect to Morality: The Internal Tension and Methodological Dilemmas in Hogan's Affective Narratology  
Tan Fei

### **Classical Narratives and the Evolution of Ethical Thought**

- 934-943 Ethical and Cultural Logic of Incest Narratives in *A Dream of Red Mansions*  
Li Haihong  
Chia Jee Luen
- 944-956 The Ethical Predicament of Bob Dylan's Anti-war Thought and the Evolution of His War Ethics  
Fang Zhi
- 957-969 The Dissemination and Reception of Mo Yan's Literature in the Malaysian Chinese Community  
Xie Rongping  
Fan Pik Wah
- 970-980 From Toxic Discourse to Blue Humanities: Ecological Ethical Expression in J. G. Ballard's *The Drought*  
Jiang Huiling
- 981-991 Disenchantment and Reconstruction of Ecological Intimacy in Anne Enright's *The Wren, The Wren*  
Sun Yanping  
Zhou Chengyi

# 目 录

## 数字时代与算法伦理

- 791-800 从“脑文本”到“数字文本”：AI时代文学伦理学批评的范式转换  
波瀛刚  
张利民
- 801-812 算法批评的伦理边界  
万明泊
- 813-829 作为数字异托邦的欲望剧本：算法监控下的人机情感互动  
王 箐
- 830-848 日本网络小说中的非人类表征及其伦理意涵：数字人文方法  
南有珉  
申宰岐

## 族裔、创伤与伦理身份

- 849-867 在日朝鲜人文学中人的异化之再现与克服：以《捣衣的女人》与《东京上野车站》为中心  
申素政  
金宝贤
- 868-877 从殖民隐喻到伦理身份重构：《巴别塔》的反殖民中国叙事  
刘姗妮  
陈 晞
- 878-886 论黎紫书《余生》中的动物意象与女性创伤  
侯 霞

## 身体、空间与权力规训

- 887-896 伦理的身体与自然的身体：中国当代文学中的排泄叙事与伦理规训  
何 俊

- 897-906 《素食者》中的空间规训、流动性与伦理书写  
修涓译
- 907-918 建构叙事勇气：《凝视太阳》的老龄伦理书写  
陈钰冰
- 919-933 从情感到道德：霍根情感叙事学的内在张力与方法论困境  
谭 菲

### 经典叙事与伦理思想演变

- 934-943 《红楼梦》乱伦叙事的伦理文化机制  
李海宏  
谢依伦
- 944-956 鲍勃·迪伦反战思想的伦理困境：兼论其战争伦理的嬗变  
方 质
- 957-969 莫言文学在马来西亚华人社区的传播与接受研究  
谢荣萍  
潘碧华
- 970-980 从毒物话语到蓝色人文：巴拉德《干旱》中的生态伦理表达  
姜慧玲
- 981-991 安妮·恩莱特《鸬鹚，鸬鹚》中生态亲密关系的祛魅与重建  
孙艳萍  
周城伊

# From “Brain Text” to “Digital Text”: The Paradigm Shift of Ethical Literary Criticism in the Era of AI

**Tsuyoshi Namigata & Zhang Limin**

**Abstract:** Against the backdrop of the The 14<sup>th</sup> Convention of the International Association for Ethical Literary Criticism, this paper explores the theoretical frontiers and paradigm shifts in ethical literary criticism in the age of artificial intelligence. As AI profoundly intervenes in literary creation, reading, and critical practices, the traditional critical theory centered on “brain text” is undergoing a transformation. Its object of study has expanded from the externalized products of the human mind to algorithm-generated “digital text,” thereby advancing the critical field from “natural mind” to “artificial mind.” This paradigm shift raises three core ethical considerations: first, the dissolution of creative subjectivity and the ambiguity of responsibility attribution; second, the ethical dimensions of human-machine relationships and their prospective exploration in literature; third, the erosion of traditional ethical boundaries and the reconfiguration of the critical domain. Confronted with the complex ethical landscape of the AI era, the paper proposes a creative integration of “distant reading” and “close reading”: on the one hand, leveraging computational perspectives for macro-level analysis of vast texts to uncover latent patterns and trends; on the other hand, maintaining a commitment to delving into the textual fabric to scrutinize its ethical implications and the depth of humanity. Building on this, the paper further envisions the future trajectory of ethical literary criticism in Japanese literature, emphasizing the need to construct a comprehensive critical system that balances theoretical insight with forward-looking perspectives, all within the creative tension between the humanities and technology.

**Keywords:** ethical literary criticism; artificial intelligence; Japanese literature; computational literary criticism

**Authors:** **Tsuyoshi Namigata**, PhD. of Tsukuba University, is Professor at the Faculty of Social and Cultural Studies, Kyushu University (Fukuoka 8190395, Japan). His research interests include modern and contemporary Japanese literature and culture (Email: [tnamigata@scs.kyushu-u.ac.jp](mailto:tnamigata@scs.kyushu-u.ac.jp)). **Zhang Limin**, Lecturer at the School of Translation Studies, Qufu Normal University (Rizhao 276826, China)

and Visiting Scholar at Kyushu University (Fukuoka 8190395, Japan). His major research area is Japanese literature and culture (Email: limin0580@163.com).

**标题：**从“脑文本”到“数字文本”：人工智能时代文学伦理学批评的范式转换

**内容摘要：**论文以第十四届国际文学伦理学批评研究会年会为背景，探讨人工智能时代文学伦理学批评的理论前沿与范式转型。随着人工智能深度介入文学创作、阅读与批评实践，传统以“脑文本”为核心的批评理论正经历重塑，其研究对象由人类心智的外化产物扩展至算法生成的“数字文本”，由此推动批评场域实现从“自然心智”向“人工心智”的跨越。这一范式革新引发三重核心伦理思考：其一，创作主体性的消解与责任归属的模糊；其二，人机关系的伦理维度及其在文学中的前瞻性探索；其三，传统伦理边界的消解与批评疆域的重构。面对AI时代的复杂伦理环境，论文提出“远读”与“细读”的融合路径：一方面借助计算视野对海量文本进行宏观分析，揭示潜在模式与趋势；另一方面坚持深入文本肌理，细析其中的伦理意涵与人性深度。在此基础上，论文进一步展望日本文学伦理学批评的未来走向，强调应在人文与科技的创造性张力中，构建兼具理论洞察力与时代前瞻性的综合性批评体系。

**关键词：**文学伦理学批评；人工智能；日本文学；计算批评

**作者简介：**波瀉刚，日本筑波大学文学博士，日本九州大学大学院比较社会文化研究院教授，主要从事现当代日本文学与文化研究；张利民，曲阜师范大学翻译学院讲师，日本九州大学访问研究员，主要从事日本文学和文化研究。本文为山东省社会科学规划研究项目“‘四书’典籍日本馆藏研究”【项目批号：23CWWJ01】和国家社科基金重点招标项目“当代西方伦理批评文献的整理、翻译与研究”【项目批号：19ZDA292】的阶段成果。

## Introduction

In the summer of 2025, the 14<sup>th</sup> Convention of the International Association for Ethical Literary Criticism convened on Jeju Island, South Korea. Building upon the previous year's thematic framework, this conference continued its focus on "Ethical Literary Criticism in the Era of AI," with the objective of guiding scholarly discourse toward profound engagement with questions concerning human ideals, beliefs, the value of life, and moral responsibility within the context of artificial intelligence. The conference further sought to investigate avenues for integrating the humanities with emerging technologies, thereby elucidating the theoretical potential and practical significance of ethical literary criticism in addressing technological transformation and social change. More than two hundred scholars from over ten

countries and regions—including China, South Korea, the United Kingdom, the United States, Japan, Malaysia, the Philippines, and Bangladesh—convened for this significant academic gathering. I was privileged to participate as a member of the ethical literary criticism research community and served as a discussant in a parallel session, where I engaged in substantive academic exchange and discussion.

My initial encounter with ethical literary criticism was marked by the compelling originality of its “brain-text” theory, which conceptualizes literary works as externalized manifestations of the complex ethical consciousness embedded within the human brain. Its pronounced interdisciplinary character prompted me to consider whether textual analysis might enable the reverse-engineering of the neural foundations underlying ethical cognition. This prospect initially instilled in me considerable optimism regarding the future trajectory of literary studies. However, following comprehensive participation in the conference proceedings, I observed that the scope of ethical literary criticism has transcended its focus on the human brain as a biological substrate and is now actively extending into the domain of artificial intelligence. As AI increasingly permeates creative production, reading practices, and critical discourse, we are compelled to reexamine a series of fundamental questions: How should the theoretical paradigms and methodological pathways of ethical literary criticism be reconstructed within the context of human-machine symbiosis?

The conference comprised 23 parallel sessions, with discussion topics encompassing ethical literary criticism and civilizational dialogue, cross-media studies, computational literary criticism, world literature studies, AI-generated literature, science fiction studies, and ethical critical practices in national literatures. It is evident that while consolidating its foundational Chinese theoretical framework, ethical literary criticism is actively dismantling disciplinary boundaries and responding dynamically to an emergent era in which algorithms are fundamentally redefining narrative structure, creative production, and reception. My participation confirmed that ethical literary criticism is evolving in response to contemporary challenges. In the subsequent section, I will offer reflections informed by my research on the Japanese writer Kobo Abe.

### **I. From “Brain Text” to “Digital Text”**

To fully appreciate the theoretical significance of this conference, it is essential to revisit one of the foundational concepts of ethical literary criticism—the “brain text.” Proposed by Professor Nie Zhenzhao, this theory conceptualizes literary works as the externalized manifestation and experimental domain of the complex ethical consciousness residing within the human brain. Specifically, the brain text

denotes a textual form that preserved information prior to the invention of writing systems and material substrates such as paper. It constitutes a unique biological construct—a cognitive repository within the human brain that retains, through memory, perceptions, cognitions, understandings, and reflections pertaining to objective phenomena in the external world.<sup>1</sup> This intrinsic and dynamic “text” functions as the generative source of literary creation and furnishes the primordial context for analyzing characters’ ethical choices and axiological conflicts. The innovative contribution of this theory resides in establishing an epistemological foundation for literary studies that integrates both biological substrates and ethical significance, thereby orienting textual analysis toward a rigorous exploration of the operations of the human mind.

The most noteworthy theoretical advancement demonstrated at this conference is the explicit paradigmatic expansion of this foundational framework. Scholarly discourse is no longer circumscribed by the biological human brain but actively extends into the domain of textual production mediated by artificial intelligence. This development signifies that the objects of inquiry confronting ethical literary criticism now encompass not only “brain texts” originating from human cognition but also algorithmically generated “digital texts.” Consequently, the critical field has undergone a transition from the “natural mind” to the “artificial mind.” In my assessment, this shift represents more than a mere extensional expansion of the research object; it constitutes a profound disciplinary paradigm transformation—one in which the investigation of ethical questions is no longer confined to traditional humanistic speculation but is instead situated within a complex intellectual landscape interwoven with the philosophy of technology and digital humanities.

When AI-generated texts—whether novels, poems, or critical essays—enter the purview of literary criticism, they represent not merely a novel mode of creative production but a fundamental epistemological challenge. As the creative subject ceases to be exclusively “human,” and as narrative logic derives from statistical patterns embedded in datasets rather than from individual lived experience, the foundational operational mechanisms of literature conceived as an “ethical laboratory” are inevitably subject to profound transformation. The “authorial intention” upon which traditional criticism has long relied becomes indeterminate when confronted with

---

1 See Nie Zhenzhao, “Ethical Literary Criticism: Oral Literature and Brain Text,” *Foreign Literature Studies* 3 (2013): 8-15; for a more detailed discussion, see Nie Zhenzhao and Ren Jie, *Language, Symbols, and Brain Texts: An Introduction*, Beijing: Peking University Press, 2024; Nie Zhenzhao, “Ethical Literary Criticism: Oral Literature and Brain Text,” translated by Si Fengming, *Border Crossings: The Journal of Japanese-Language Literature Studies* 3 (2016): 4-8.

algorithmic processes, and the attribution of ethical responsibility for texts has entered an unprecedented state of complexity. For the first time, ethical literary criticism—a theoretical framework fundamentally oriented toward the exploration of human ethical choices—must systematically engage with a “non-human” creative agent. This emergent condition compels us to reconsider several fundamental questions: Within the context of human-machine symbiosis, how should the ethical function of literature be reconceptualized? How might an efficacious critical discourse be constructed that mediates between human values and machine logic? These are precisely the central questions that this conference endeavored to address.

## II. Ethical Reflections Arising from the Paradigm Shift

The paradigmatic shift in theory operates much like a stone cast into water, generating ripples that propagate in all directions. As the scope of ethical literary criticism expands from “brain text” to “digital text,” a constellation of ethical considerations naturally emerges.

Foremost among these is the dissolution of subjectivity in literary creation and the attendant challenge of responsibility attribution. Within the traditional literary field, the “author” typically designates an individual possessing clear creative intentionality and autonomous will, whose identity and boundaries of responsibility remain relatively well-defined. However, with the advent and proliferation of AI-generated content (AIGC), this conventional conception of authorship is being fundamentally destabilized. When a work’s narrative trajectory, axiological orientations, and even stylistic registers are largely determined by algorithmic models, the ontological question of “who is the author?” assumes increasing salience. The resultant ambiguity in ethical accountability further complicates the practical application of literary criticism. Throughout the conference proceedings, scholars repeatedly posed the following question: if an AI-generated work exhibits ethical transgressions, perpetuates bias, or engenders adverse social consequences, who should bear responsibility? Is it the programmer who designed the algorithmic architecture, the user who furnished the training data and configured the parameters, or the algorithmic model itself qua generative agent? This line of inquiry not only prompts profound reflection on the very concept of “creation” but also necessitates a redefinition of its ethical implications and boundaries of responsibility within the continuously evolving technological milieu.

A second consideration concerns the ethical dimensions of human-machine relations and their exploration within literary discourse. In my previous research employing ethical literary criticism, I analyzed Abe’s novel *The Face of Another*

(1964). Although Abe is celebrated as a “pure literature” (*junbungaku*) author of the post-World War II era, when viewed through the lens of science fiction (SF), he also emerges as one of the pivotal figures in the emergence of modern Japanese SF. It is generally acknowledged that genre-based SF literature in Japan became established in the late 1950s, and it was precisely during this period that Abe commenced experimentation not only with short stories but also with full-length SF novels. In his SF work *Inter Ice Age 4*<sup>1</sup>, the protagonist’s fate is predicted by a “prophecy machine”—which may be regarded as a prototype of artificial intelligence—and he ultimately meets his demise as a consequence. This plot device carries profound symbolic resonance: it functions not merely as a science fiction trope but as a literary prefiguration of an ethical tragedy wherein instrumental rationality supersedes and ultimately consumes human subjective value. At a historical moment when AI had not yet materialized as a technological reality, Abe, through literary fiction, had already apprehended the core of what would subsequently be termed the “singularity”—the fundamental existential crisis that may arise when artificial intelligence comprehensively surpasses human intelligence. Abe characterized SF as “the literature of hypothesis,” explicitly asserting that “fiction, like hypothesis in science, is a general method constitutive of art” (“Proposal for a New Documentalism” 179). This perspective exhibits strong consonance with the core function of ethical literary criticism, which conceptualizes literature as an “ethical laboratory.” In Abe’s view, literature continuously interrogates, through the “hypothesis” of fiction, whether various prognostications concerning the future, technology, and humanity itself are appropriate and logically coherent. This concept of deploying literary fiction to test ethical hypotheses embodies one of the essential principles of ethical literary criticism.<sup>2</sup>

A third consideration pertains to the dissolution of traditional ethical boundaries and the reconstruction of the critical domain. This tendency is likewise reflected in the thematic configuration of this conference—most notably in the marked increase in panels dedicated to science fiction and cross-media studies. The recent publication

---

1 See Kobo Abe, *Inter Ice Age 4*, Tokyo: Kodansha, 1959.

2 While my own research has not delved deeply into this area, for those interested in the history of Japanese SF and wishing to explore further, I recommend reading *A History of Debates in Japanese SF: 1957-1997* (『日本 SF 論争史: 1957-1997』, 2000) by Takayuki Tatsumi. The first section, “The Hard Core of SF Theory” (SF 理論のハードコア), discusses Kobo Abe and Sakyo Komatsu, tracing the debates surrounding the New Wave, cyberpunk, gender politics, and more that emerged after a period of frequent contention. This book not only elucidates the circumstances surrounding the establishment of SF criticism but also points toward broader directions for positioning Japanese SF within literary and cultural history.

in Japanese academia of works such as *Learning Ethics Through SF Manga: What Is Good and What Is Evil*<sup>1</sup> suggests that popular culture is increasingly positioning SF fiction—this “literature of hypothesis”—as a significant discursive space for exploring cutting-edge ethical issues encompassing human cloning, environmental justice, and governance by artificial intelligence. This trend is, of course, not confined to Japan but represents a global cultural phenomenon, reflecting how contemporary ethical discourse is progressively expanding from traditional literary texts to an increasingly diverse array of narrative media. Within this context, ethical literary criticism may consider extending its traditional textual boundaries to encompass diverse narrative forms—including animation, comics, and video games—within its critical purview. Confronted with the reality that identical ethical questions are continuously retold and recontextualized across different media, critics face an urgent imperative to develop more flexible and transmedially inclusive analytical frameworks capable of navigating an increasingly complex critical landscape.

### III. The Creative Integration of “Distant Reading” and “Close Reading”

Confronted with the complex ethical dilemmas engendered by the AI era, the methodology of literary studies is itself undergoing profound transformation. This conference clearly demonstrated two significant approaches emerging in contemporary literary research—seemingly antithetical yet fundamentally complementary—each offering a key to addressing these challenges. The first is “distant reading” as advanced by the digital humanities. This method harnesses AI technology to conduct macroscopic pattern recognition, trend analysis, and quantitative investigation across vast corpora, capable of discerning macro-level configurations and latent biases that transcend individual reading experiences. The second is the “close reading” at which ethical literary criticism excels. Deeply grounded in Professor Nie Zhenzhao’s theoretical system, this approach emphasizes the analysis and interpretive evaluation of specific ethical identities, choices, and dilemmas within texts. At a moment when AI-generated content is proliferating exponentially, a critical practice that insists on attending to textual nuances and plumbing the depths of human experience assumes particular value. However, the crux of the matter resides not in adjudicating between “distant” and “close” reading, but in determining how to creatively synthesize these two ostensibly opposing methodologies. In the age of AI, the genuine challenge and opportunity lie precisely here: we may need to construct a critical framework capacious enough to accommodate both. This entails the capacity to deploy AI tools

<sup>1</sup> See Hiroyuki Yorozuya, *Learning Ethics Through SF Manga: What Is Good and What Is Evil*, Tokyo: Sakura-sha, 2024.

for macroscopic analysis of large-scale textual corpora to uncover underlying patterns and trends, while simultaneously maintaining hermeneutic sensitivity to individual texts and conducting rigorous analysis of their ethical implications. For instance, one might employ “distant reading” to identify ethically significant phenomena warranting deeper exploration, subsequently applying “close reading” for detailed interpretation. Alternatively, key analytical categories established through “close reading” could be tested for their prevalence via “distant reading” methodologies.

Taking Abe’s *Inter Ice Age 4* as an illustrative case, the method of “close reading” enables us to analyze in depth the complex relational network between humans and the “prophecy machine” in the novel. It facilitates exploration of core ethical issues such as the dynamics between creator and creation, control and counter-control, as well as the manner in which Abe deploys literary fiction to test ethical hypotheses concerning the future. Concurrently, Abe’s concept of “the literature of hypothesis” opens up an intellectual avenue for “distant reading.” One might construct a corpus encompassing science fiction works from the same period worldwide and employ algorithms to quantitatively analyze recurring narrative patterns of “human-machine relationships,” thereby revealing, at a macro level, the collective imagination and ethical anxieties of humanity regarding technological civilization within a specific historical conjuncture. Such “distant reading” does not seek to supplant in-depth interpretation of individual works but rather to furnish “close reading” with a broader historical frame of reference and comparative perspective. When we comprehend where the narrative of “the prophecy machine turning against its human creators” in *Inter Ice Age 4* is situated among science fiction works from the late 1950s, our appreciation of Abe’s singular contribution becomes correspondingly more profound.

Indeed, during the conference panel on “Computational Literary Criticism,” scholars presented preliminary practices of such methodological integration. Furthermore, I have learned that following the conference, the journal *Interdisciplinary Studies of Literature*, under the editorship of Professor Nie Zhenzhao, published a special issue devoted to the literary works and intellectual world of the Chinese writer Tie Ning. The contributions are organized into three categories, offering a multi-perspectival and comprehensive interpretation of her creative practice and ideational dimensions: (1) In-depth scholarly studies: senior scholars trace the evolution of Tie Ning’s creative trajectory and analyze the expansion of her literary thought from a gendered perspective to the representation of universal human predicaments. (2) Interdisciplinary innovative research: scholars from fields such as law, sociology, and linguistics apply specialized theoretical frameworks to analyze

the interdisciplinary significance of her works, encompassing power ethics, folk social order, and linguistic artistry. (3) Computational literary analysis: utilizing AI tools for textual data analysis—including keyword frequency statistics and character relationship mapping—to reveal distinctive features of her literary production. Scholars possessing long-term expertise in contemporary Chinese literature can accurately apprehend the Chinese context and literary traditions inherent in Tie Ning’s oeuvre, thereby providing a reliable foundation of textual interpretation for all related investigations. Interdisciplinary research dismantles barriers between fields and serves as a methodology for expanding academic horizons. The participation of disciplines such as law, sociology, and linguistics, in particular, integrates diverse research methodologies, enabling the value of Tie Ning’s works to be illuminated within a broader multi-disciplinary purview. Notably, the application of artificial intelligence research methods represents a promising future direction for the field. With the accumulation of textual data and the optimization of algorithmic models, AI technology is poised to provide novel instruments for multiple dimensions of literary criticism—including thematic exploration, character interpretation, and sentiment analysis—thereby enabling comprehensive and systematic analysis of literary creation at a macroscopic scale and quantitative precision difficult to achieve through conventional manual research alone. The curation of this special issue constitutes a robust response to and a successful instantiation of the conference’s thematic concerns. It signals the emergence of a comprehensive critical paradigm that both honors humanistic depth and embraces technological breadth.

### Conclusion

Theoretical self-renewal continuously generates new problematics, which in turn impose demands for methodological innovation. This dynamic process clearly demonstrates that ethical literary criticism does not merely respond passively to technological transformation but actively participates in shaping the future literary landscape through its inherent theoretical sensitivity and intellectual agency. Looking ahead, ethical criticism in Japanese literary studies might productively advance the following lines of inquiry: First, conducting systematic genealogical investigation to excavate the distinctive technological ethics and futuristic imaginaries embedded in works spanning from Abe to contemporary Japanese science fiction and SF manga. Second, expanding the media scope of criticism to encompass emergent forms such as animation, video games, and interactive narratives, tracing the variations and reconfiguration of ethical motifs across diverse narrative vehicles. Third, constructing integrative analytical frameworks that enact dialectical complementarity and circular

argumentation between “distant reading” and “close reading” in concrete textual interpretations. Ultimately, the core mission incumbent upon literary criticism in the AI era is not to make binary choices between the humanities and technology, or between tradition and innovation, but rather to explore and construct a more inclusive, perspicacious, and forward-looking critical paradigm within the generative tension these polarities produce. This endeavor requires us to attend to the micro-textural fabric of texts, discerning their unique ethical resonances and affective structures, while simultaneously leveraging computational perspectives to ascend to a macroscopic vantage point, surveying the implicit patterns and tendencies within the broader cultural topography. Throughout this process, we must engage in cross-disciplinary dialogue while continually reflecting upon our own positionality and limitations as theories circulate across contexts, thereby persistently expanding the boundaries and depths of criticism through sustained dialogue and critical self-reflection.

### Works Cited

- 安部公房：「新記録主義の提唱」，『安部公房全集 9』。東京：新潮社，1998 年。  
 [Abe, Kobo. “Proposal for a New Documentalism.” *The Complete Works of Kobo Abe* Vol. 9. Tokyo: Shinchosha, 1998.]
- ：『第四間氷期』。東京：講談社，1959 年。  
 [—, *Inter Ice Age 4*. Tokyo: Kodansha, 1959.]
- 聂珍钊：“文学伦理学批评：口头文学与脑文本”，《外国文学研究》3（2013）：8-15。  
 [Nie Zhenzhao. “Ethical Literary Criticism: Oral Literature and Brain Text.” Translated by Si Fengming. *Foreign Literature Studies* 3 (2013): 8-15.]
- 聶珍釗：「口承文学と脳内テキストについて」，司豊明訳，『跨境：日本語文学研究』3（2016）：4-8。  
 [Nie Zhenzhao. “Ethical Literary Criticism: Oral Literature and Brain Text.” *Border Crossings: The Journal of Japanese-Language Literature Studies* 3 (2016): 4-8.]
- 聂珍钊、任洁：《语言、符号与脑文本概论》。北京：北京大学出版社，2024 年。  
 [Nie Zhenzhao and Ren Jie. *Language, Symbols, and Brain Texts: An Introduction*. Beijing: Peking UP, 2024.]
- 巽孝之：『日本 SF 論争史：1957-1997』。東京：勁草書房，2000 年。  
 [Tatsumi, Takayuki. *A History of Japanese SF Debates: 1957-1997*. Tokyo: Keisoshobo, 2000.]
- 萬屋博喜：『SF マンガで倫理学：何が善くて何が悪いのか』。東京：さくら舎，2024 年。  
 Yorozuya, Hiroyuki. *Learning Ethics Through SF Manga: What Is Good and What Is Evil*. Tokyo: Sakura-sha, 2024.

# 算法批评的伦理边界

## Ethical Boundaries of Algorithmic Criticism

万明泊 (Wan Mingbo)

**内容摘要:** 在生成式人工智能时代，文学研究面临着伦理与方法论挑战。斯蒂芬·拉姆齐的“算法批评”理论及其“变形阐释”理念，在此语境下需要被重新审视。算法的不透明性不仅构成技术难题，更引发阐释学危机，悬置了人类阐释的主体性。“可解释性人工智能”的技术解释无法替代人文阐释，而算法偏见的本质是内嵌于数据与模型中的价值负载，这使得数据策展与模型构建本身成为一种先于代码的隐蔽阐释行为。对此，亟须构建一种人机协同的阐释学实践，将算法视为具有自身视域的对话伙伴，而非权威答案的提供者。

**关键词:** 算法批评；人工智能；伦理；阐释

**作者简介:** 万明泊，南开大学文学院博士后，研究方向为阐释学研究。本文为中国博士后科学基金资助项目【项目批号：2025M773850】阶段性成果。

**Title:** Ethical Boundaries of Algorithmic Criticism

**Abstract:** In the era of generative artificial intelligence, literary studies face profound ethical and methodological challenges. Stephen Ramsay's theory of "algorithmic criticism" and its concept of "deformance" require reexamination in this context. The opacity of algorithms not only poses technical difficulties but also triggers a hermeneutic crisis, marginalizing human agential subjectivity in interpretation. Technical explanations from "explainable AI" cannot substitute for humanistic interpretation, while the nature of algorithmic bias lies in the value-ladenness of data and models, rendering data curation and model construction a form of concealed interpretive act that precedes coding. In response, there is an urgent need to construct a human-machine collaborative hermeneutic practice, regarding algorithms as dialogic partners with their own horizons rather than as providers of authoritative answers.

**Keywords:** algorithmic criticism; artificial intelligence; ethics; interpretation

**Author:** Wan Mingbo is Postdoctoral Researcher at the College of Literature, Nankai University (Tianjin 300071, China). His academic research focuses on hermeneutics (Email: wanmingbo@nankai.edu.cn).

随着大型语言模型（LLMs）逐步渗透进知识生产的各个角落，文学研

究正遭受着一场前所未有的范式冲击。这不单单是研究工具或方法的更新换代，它直接触动了文学阐释的根基。在这块原本由人类主导、充满了价值判断与伦理考量的意义生成领域，当算法具备了模仿、续写乃至创造复杂风格文本的能力，那些根本性的文学伦理议题就变得无可回避：在技术的介入下，阐释的边界该划在哪里？谁才拥有生产意义的真正权力？在这场人机互动中，人文价值又会面临怎样的重塑、扭曲或是捍卫？

这些问题之所以迫切，是因为自然语言处理（NLP）技术从诞生起，就从来不是什么中立的工具。霍维（Dirk Hovy）与斯普劳特（Shannon L. Spruit）早就指出，语言其实是“人类行为的代理，以及个体特征的强烈信号”（592）。这意味着，任何处理语言的技术，处理的其实都是一套承载着社会关系、权力结构与意识形态的复杂系统。在早期的数字人文实践中，计算机也许还能被看作是整理文献、编制索引的仆从，但生成式AI的兴起，让它变成了一个能主动介入意义生成的行动者。这种介入正是本研究最为关心的：它把算法从外部的分析工具，变成了一个内在于阐释过程、充满伦理风险与可能性的准主体。

### 一、算法的介入：从阐释辅助到伦理挑战

斯蒂芬·拉姆齐（Stephen Ramsay）的算法批评理论，可以说是对上述挑战最早，也最具理论自觉的回应。在其著作《阅读机器：走向算法批评》（*Reading Machines: Toward an Algorithmic Criticism*, 2011）中，拉姆齐敏锐地洞察到计算方法与文学批评方法之间的根本性断裂（fundamental disjunction）<sup>1</sup>，前者追求的是可验证、可量化的客观事实，而后者则致力于通过主观介入来开启和深化讨论。面对这一断裂，拉姆齐并未选择让文学研究科学化，而是革命性地提出，我们应当将计算的狭窄约束——那种对枚举、测量和验证的执着——转化为一种服务于人文阐释的、富有创造力的工具。<sup>2</sup>

为此，拉姆齐阐述了作为其核心方法论的“变形阐释”（deformance）。他认为，任何真正的批评行为在本质上都是一种变形，“致力于提出一种‘读法’的批评家，他提出的不是文本本身，而是一个新的文本，其中的数据已被转述、阐发、挑选、删节和转化”（16）。算法批评正是将这种变形操作以一种严格的、整体的方式（rigidly holistic manner）加以执行。通过对文本进行系统性的重组、扭曲或可视化，算法生成了一个全新的副文本（paratext），其目的“不是为了寻求事实，而是为了寻求模式”（17）。

若从伦理视角审视，拉姆齐的理论其实藏着一种潜能。它把阐释的重

1 参见 Stephen Ramsay, *Reading Machines: Toward an Algorithmic Criticism*. Urbana: University of Illinois Press, 2011, 8.

2 参见 Stephen Ramsay, *Reading Machines: Toward an Algorithmic Criticism*. Urbana: University of Illinois Press, 2011, 16.

点从“忠实再现作者原意”，转移到了“通过创造性建构生成新意义”。它鼓励批评家“将文化产物视为可被计算工具转化、重组与再造的对象”，最终目的不是为了获得确凿真理，而是为了“不断抵达更深入、更复杂的新问题”（85）。这在理论上捍卫了阐释的开放性，并许诺了一种更民主的意义生产方式：只要能开启有效对话，任何算法变形都可能成为合法的阐释路径。

尤其是在当前时代，AI 拥有处理海量多语言文献的能力，能够跨越语言上的障碍，去挖掘那些长期被主流叙事所遮蔽的史料。大型语言模型能够生成类似人类的文本和代码，这为处理海量的历史文献和构建新的叙事模型提供了工具。在数字人文的框架下，人工智能可以处理和传播相关的主题内容，从而可能揭示出传统研究方法难以触及的历史关联。例如，通过对海量非英语文献的深度学习与分析，AI 理论上可以协助学者还原被忽视的文明贡献，从而为文明互鉴提供坚实的数据支撑。

然而，这种理论上的解放潜能在实际操作中极易遭遇伦理困境。问题的核心在于早期理论家忽略了一个关键事实：算法及其依赖的数据，从来都不是一张白纸。正如大量工具批评研究揭示的，对技术“不加反思的采用，可能会损害研究结果的合理性和可复现性”（Herrmann 1），算法工具里早已深深嵌入了设计者的理论预设与价值偏见。<sup>1</sup>这种预设往往更为隐蔽且强硬。当这一点与大型语言模型那些庞大且未经审视的训练数据结合时，伦理危机便随之爆发。这些模型从互联网上抓取文本进行学习，而这些文本本身就反映着社会既有的权力结构与偏见，结果必然是“复制这些伤害”（Weidinger 1）。霍维与斯普劳特的研究也指出，NLP 模型训练数据中普遍存在“人口统计学偏见”，比如过度代表“WEIRD”人群（西方的、受过教育的、工业化的、富裕的、民主的），而让其他群体处于边缘（593）。

布洛杰特（Su Lin Blodgett）等人的大规模调查则更为系统地揭示了这一问题的严重性，他们将算法偏见造成的伤害归纳为两大类：“分配性伤害”（Allocational harms），即系统不公平地分配资源或机会；以及“再现性伤害”（Representational harms），即系统以贬低、刻板或侮辱性的方式再现特定社会群体（2）。这些伤害在文学阐释领域尤为致命。正如聂珍钊指出，“尽管 AI 作家用算法和数据分析代替伦理选择提高了文学生成的效率，突出了文学生成的科学性，但是现阶段的 AI 文学仍然是伦理选择的产物”（“科学选择与 AI 文学” 16）。当一个自带偏见的算法对文本进行变形时，它生成的模式必然会放大并合法化这些偏见。比如，由于训练数据的偏差，用于检测仇恨言论的模型更倾向于将非裔美国人白话英语（AAE）标记为“有毒”（Xu 3），这种技术判断本身就构成了一种“语言不公正”（Craft 391）。

这直接把算法批评的伦理潜能给颠覆了。原本寄希望于借助变形操作来

1 参见 J. Bereniken Herrmann et al., “Tool Criticism in Practice: On Methods, Tools and Aims of Computational Literary Studies,” *DHQ: Digital Humanities Quarterly* 3 (2023): 2.

打破阐释霸权，并由此开启多元意义，但事与愿违，它可能逐渐演变成对偏见的加深复读。它不仅没能实现阐释的民主化，反倒披着看似客观的技术外衣，固化了既有的社会等级与文化偏见，给阐释边界和意义生产权套上了更隐蔽的枷锁。因此，当代关于算法批评的任何讨论，都必须直面这一伦理困境：我们如何在利用算法开启阐释可能性的同时，抵制其内嵌的偏见，并朝向一种真正的阐释正义？这些才是我们需要深入探讨的核心议题。

## 二、“黑箱”的伦理困境与可解释性的限度

算法在对文本进行变形操作时，往往会无意识地复制甚至放大社会的既有偏见。这个问题的症结，归根结底在于大型语言模型的一个本质特性——不透明性（opacity），也就是人们常说的“黑箱”难题。如果单从技术上看，黑箱无非意味着我们没法用人脑能理解的方式，去一步步倒推模型内部那亿万个参数是如何互动并最终产出某个结果的。可一旦切换到文学伦理学的视角，这个黑箱就不再只是个技术障碍了，它引发的是一场阐释学危机。

我们之所以认为文学批评具有合法性，根本上是因为它的论证过程是可追溯、可辩驳的。一位合格的批评家，总能把从文本证据到理论结论的推导链条，并摊开给读者。但当一个黑箱模型对文本下判断时——比如把某种方言定性为低俗，或者把某个角色的行为归类为刻板印象——它抛出来的只是一个结论，却没有论证过程。这种“表征的暴力”之所以可怕，在于它披着技术权威的外衣，直接没收了阐释活动本该有的对话与思辨空间。正如卡西尔扎德（Atoosa Kasirzadeh）所言，在涉及刑事司法等高风险决策时，这种不透明性意味着“人类难以找到充分理由去理解，为何在特定情境下会得出这样一个算法结果”（2）。当这种不透明性被移植到同样充满价值判断的文学阐释领域，结果就是阐释权力的悄然让渡：权力从人类批评家手中，滑落到了一个我们根本无法质询其动机的算法系统里。

这一点在布洛杰特等人对NLP领域偏见研究的批评中得到了佐证。他们发现，很多研究的动机显得“模糊、不一致，且缺乏规范性推理”（1）。这其实恰恰勾勒出了黑箱阐释的尴尬：它或许能识别出某种模式（比如非裔美国人白话英语常与负面情感挂钩），却说不出这种关联为何有害、对谁有害，以及其中的伦理逻辑何在。这本质上是一种缺乏伦理自觉的阅读，它产生的意义悬浮在半空，根本没法进入人类的价值辩论体系。

面对黑箱带来的伦理与信任危机，计算机科学领域的回应是发展“可解释性人工智能”（Explainable AI, XAI）。XAI的目标是开发一系列技术方法，以使AI系统的决策过程对人类用户更加透明。其社会与伦理动机在于：“增强对基于预测的决策的社会接受度，在这些决策结果中建立信任，使算法对公众负责，并消除算法歧视与不公的来源”（Kasirzadeh 2）。从表面上看，这似乎为算法批评的伦理困境提供了一条出路。然而，从文学伦理学批评的角

度深入审视，XAI 所提供的“解释”与人文研究所追求的“阐释”之间，存在着一条巨大的鸿沟。XAI 提供的解释，多半是技术性、描述性的。比如，它可能会告诉你，模型之所以判定某段文本“有毒”，是因为训练数据里某个特定的词（比如某个特定群体的俚语）和“有毒”标签高度相关。

这种解释在技术层面是诚实的，但在阐释层面却是苍白的。它只回答了“是什么”（What），也就是什么技术因素导致了这个结果；却完全回避了“为什么”（Why），即这种关联本身为何值得警惕？它背后折射出怎样的社会权力结构与语言意识形态？<sup>1</sup>而这后者，恰恰才是人文阐释的灵魂。正如布洛杰特等人倡导的，负责任的研究必须讲清楚“对‘偏见’是如何概念化的——即什么样的系统行为是有害的，以何种方式，伤害了谁，以及为什么”（5）。遗憾的是，XAI 的解释往往止步于对系统行为的技术描述，无法自动完成这一步规范性的、价值驱动的跨越。

所以，如果过度依赖 XAI，我们很可能会陷入一种新的伦理风险：把复杂的阐释问题降维成技术诊断问题。研究者可能会满足于修补那个导致偏见的技术环节（比如调整算法权重来去偏），却忘了反思产生这一偏见的深层社会文化土壤。这就是一种典型的“技术方案主义”（techno-solutionism）：打着可解释性的旗号，巧妙地绕过了真正棘手的伦理与政治议题，治标却从未治本。

反思 XAI 的局限性，最终把我们的目光引向了算法阐释的真正源头，就是训练数据，以及嵌入系统设计中的价值观。算法之所以会有偏见，最根本的原因在于它“忠实地反映了训练数据中那些不公正、有毒和压迫性的话语”（Weidinger 6）。这些数据从来不是世界的客观镜像，而是人类社会既有权力关系、历史偏见和文化冲突的沉积物。因此，收集和标注数据，这本身就是一种极其强势的、先于算法运行的阐释行为。正如有研究者从后殖民理论视角指出的，“价值观和权力才是这场讨论的核心”（Mohamed 2），AI 技术的应用很可能在延续甚至加剧历史上形成的权力模式。决定把哪些文本拉进训练集、把哪些踢出去，以及怎么给这些文本贴上“积极”“消极”“有毒”或“正常”的标签，这一系列策展（curation）动作，从一开始就给算法规定了看待世界的视域。

卡西尔扎德在其哲学框架中将此称为 AI 推理的“背景假设和价值负载”（Background assumptions and value-ladenness of AI inferences）（20）。她指出，AI 系统在“本体论、认识论和测量等多个层面”都充满了价值偏见。例如，当一个系统被设计用来预测犯罪风险时，设计者必须首先对“犯罪”进行操作化定义，而这个定义本身就充满了社会和政治的价值判断。这最终将我们带回了文学伦理学的核心议题：意义的生产权。在生成范式下，权力不仅体现在对文本的最终解读上，更体现在对算法“前见”的塑造上。科技公

1 参见 Justin T. Craft et al., “Language and Discrimination: Generating Meaning, Perceiving Identities, and Discriminating Outcomes,” *Annual Review of Linguistics* 6 (2020): 392.

司、数据工程师和标注工人，在他们选择数据、设计模型、制定标注指南时，就已经在很大程度上预设了算法看待世界的方式。与传统文本中可被读者重构的“隐含读者”不同，AI模型中的“隐形读者”在建构之初便被技术手段深度编码并“刚性固化”，形成了一种难以撼动的强势在场（任洁 85）。他们的选择，无论是有意还是无意的，都构成了对人类文化文本的一次大规模预阐释。而黑箱的存在，则巧妙地将这次预阐释中蕴含的权力关系与价值偏见遮蔽了起来。因此，算法批评的伦理学任务，必须深入到这一后台之中，去质询和揭示那些在代码运行之前，就已经被悄然做出的价值决断。

行文至此，算法批评的伦理边界问题已然浮现。前文的论述反复触及这一边界如何被数据的偏见所侵蚀，但对边界本身的正面勘定，仍有待展开。在算法批评的语境下，“伦理边界”并非一条旨在阻挡技术介入的僵硬红线，它更应被理解为一个动态的规范性框架，用以校准和引导人机协同的阐释实践。因为任何由算法生成的阐释材料，无论是模式的揭示抑或文本的生成，都不能再以黑箱的神秘面目示人。它必须在最大程度上敞开其技术生成的路径，清晰地交代其所依赖的“设计解释”与“数据解释”（Kasirzadeh 2）。这意味着，一个阐释结论不仅要呈现结果，更要回答它是如何被知道的，从而将算法的答案重新置于人类理性可审查的链条之上。

与此紧密关联的，是对伤害的可预见性与最小化。当算法的介入可能造成分配性或再现性的伤害时，伦理的边界便已临近。这要求每一次阐释，都应以对模型偏见的严格审查为前提。例如，研究已反复证明，由于训练数据中存在偏见，用于检测仇恨言论的模型，会不成比例地将少数族裔正常言论错误地标记为“有毒”或冒犯性。在这种情况下，若不加反思地运用此类模型去发现其文学中的情感模式，其行为本身就已经构成了一种再现性伤害，其学术合法性也便荡然无存。任何依赖此模型对相关文本的分析，都已然越过了伦理的边界。

所以，一个合乎伦理的算法阐释，还需体现出对语境整体性的尊重。这种尊重具有双重维度：其一，是文学文本自身的历史语境；其二，则是算法模型及其训练数据的语境。大多数NLP模型依赖的是“WEIRD”语料，其所信奉的往往是一种“同质化偏好所形成的标准语言意识形态”（Craft 390）。用这样一个带有强烈偏见的视域去解读一部非西方的文学作品，无异于一场预设了结论的对话。忽视算法自身的语境局限，将其输出普遍化为对文本的客观发现，不仅削平了阐释的复杂性，更是一种智识上的懒惰。因而当我们运用大型语言模型分析文本时，正需要这种伦理边界加以限定与引导。

### 三、走向人机协同的阐释学：构建负责任的算法批评实践

前文试图揭示一个核心困境：一方面，算法批评以其强大的变形能力，允诺了一种更为开放和多元的意义生产模式；另一方面，算法黑箱及其内嵌的

数据偏见，又可能使其沦为固化社会不公、削弱人类阐释主体性的工具。处在这样的一种困境下，我们既不能因噎废食，退回前数字时代的技术恐惧中，也不能天真地拥抱那种缺乏反思的技术乐观主义。我们需要做的，是跳出这组二元对立，去探索如何在实践中打磨出一套负责任的、以人类价值为锚点的算法批评方法论。其中的关键，在于要把人机关系从单向度的“工具—使用者”模式，重塑为一种充满反思、对话与批判张力的人机协同阐释关系。

构建负责任的算法批评，第一步就得把工具批评从一种事后的外部反思，内化为贯穿技术设计与应用全周期的前瞻性实践。这与数字人文领域倡导的“批判性技术实践”（Critical Technical Practice）不谋而合（Mohamed 14）。它要求研究者不能只做算法的用户，更要成为具备批判意识的建造者。这意味着，文学伦理学批评的考量必须前置到算法批评的每一个毛细血管里。在数据策展阶段，我们必须摒弃对大数据的盲目迷信，转而拥抱一种“小数据”的、讲究策展伦理的实践。在搭建文学分析专用的训练集时，必须清晰地把数据的身世——来源、构成、潜在偏见以及那些被挡在门外的声音——都记录在案。正如有学者强调的，负责任的研究得让“数据集中所代表的群体、样本和叙事，以及那些可能缺失的拼图，都能被看见”（Weidinger 3）。

在模型设计与微调环节，文学研究者需要从书斋里走出来，与计算机科学家联手，探索如何把人文价值纳入模型里。比如，沙纳汉（Murray Shanahan）与克拉克（Catherine Clarke）在评估模型创造力时，制造出“创造性对话”（Creative Dialogue）和“多声音生成”（Multi-Voice Generation）的交互策略（3），这本身就是把文学批评里讲究的对话性与多声部理论，内化进了算法的交互设计之中。

而论及界面与交互设计，工具的界面本身就是伦理的载体。一个负责的工具，它的界面应该能诱发用户的反思与批判。试想，当屏幕上跳出一个分析结果时，能不能顺便把置信度标出来？能不能揭示一下它依赖了哪些关键数据特征？甚至直接给出链接，指向关于该数据偏见的批判性文献？这才是把可解释性从技术后台推向用户前台的伦理设计。

这种批判性技术实践，促使文学研究者不能再把技术当成一个黑箱，而是必须在一定程度上厘清它的脾气秉性，并积极介入到它的设计与改造中。这倒不是说每个文学学者都得去写代码，而是倡导一种深度合作、反思共进的模式。而在技术介入之外，更深层的变革发生在阐释观念上。在这种协同范式下，我们实际上正在从事一种聂珍钊所定义的“计算分析批评”。其核心要义，在于将机器强大的“计算能力”转化为批评者敏锐的“洞察能力”（“AI阅读与文学的计算分析批评” 31）。负责任的算法批评，必须自觉地把人机交互构建成一个伽达默尔意义上的阐释学循环。也就是，不将AI当成有问必答的百科全书，而要把它看作一个有着独特视域（虽然这视域也是被建构的）的对话伙伴。

AI 的视域由其训练数据和算法结构所决定，它充满了偏见，但同时也蕴含着人类个体无法企及的广阔模式。而人类批评家的视域，则由其深厚的理论素养、历史知识和价值关怀所构成。真正的阐释性洞见，正是在这两个视域的碰撞、对话与融合（Fusion of Horizons）中产生的。这种对话的本质是批判性的。人类学者必须时刻对 AI 的输出保持一种阐释学的怀疑（hermeneutic suspicion）。当 AI 生成一个看似新颖的模式或结论时，我们的首要任务不是接受它，而是质询它：这个模式是源于文本的内在结构，还是仅仅是训练数据中的统计偶然？这个结论反映了文本的复杂性，还是将文本强行纳入了模型所偏爱的某种简化框架？如果我换一种提问方式，引入一个不同的理论视角，模型的回答会发生怎样的变化？

沙纳汉与克拉克的研究生动地展示了这一点。在他们的实验中，人类用户扮演评论家或导师的角色，通过不断地追问、建议和风格引导，与 ChatGPT 进行反复的迭代，最终共同生成了具有相当文学复杂性的文本片段。<sup>1</sup> 在这个过程中，人类的价值判断、审美偏好和理论框架，始终是对话的主导力量。AI 的生成能力被用作一个强大的灵感激发器，但其产出始终处于人类批评家的审视与引导之下。

有鉴于此，我们可以将算法批评与提示工程（prompt engineering）、微调（fine-tuning）等计算技术相结合的介入性实践。尽管大型语言模型的整体倾向是西方中心的，但其庞大的训练数据中，依然包含了海量的关于非西方文明的知识。问题的关键在于，这些知识在通常情况下处于休眠状态。我们可以通过精心设计的提示，来主动激活这些休眠的知识。比如，有意识地引导模型扮演非西方的历史主体，迫使模型跳出其默认的叙事框架，去主动链接两个不同知识簇。研究表明，通过赋予模型一个具体的角色，可以有效地引导其表达特定的政治或意识形态立场。<sup>2</sup>

当前主流的 RLHF 范式，其目标是让模型与人类的偏好对齐，这是一种追求共识的努力。然而，一个富有活力的阐释共同体，也需要不同的声音与视角的碰撞。因此，我们借助扮演不同意识形态角色的 AI 代理，让它们在面对同一个问题时，给出基于不同世界观的回答。此路径，就是将大型语言模型不再仅仅视为一个文本生成工具，而是将其视为一个封装了庞大文化无意识的对象。研究者通过设计一系列有针对性的提问或情境，去发掘模型内隐藏的价值假设。这种方法在 NLP 偏见研究中已有广泛应用，例如，布洛杰特通过测试“医生”一词与男性代词的关联强度，对比“护士”与女性代词的关联强度，来揭示模型中的性别职业偏见（2）。在文学研究中，这种方法

---

1 参见 Murray Shanahan and Catherine Clarke, "Evaluating Large Language Model Creativity from a Literary Perspective," *arXiv preprint arXiv: 2312.03746* (2023).

2 参见 Elena Musi et al., "Toward Reasonable Parrots: Why Large Language Models Should Argue with Us by Design," *arXiv preprint arXiv: 2505.05298* (2025).

可以变得更为深入。比如我们对文学叙事进行探查，让大型语言模型去重写多部俄罗斯经典的结尾。通过分析模型生成的另类情节，我们可以勘探出该模型所学习到的当时俄国社会脚本是什么。它生成的或许是一个个平庸的故事，但这个故事本身，就成为反映我们文化集体想象的一面镜子。这种方法将算法批评从对单个文本的分析，拓展到了对文化原型与叙事惯例的批判性反思，使得算法黑箱本身，成为我们进行思想史研究的新对象。

通过将算法批评构建为一种批判性的、对话式的实践，我们最终得以回应那个核心的伦理焦虑——人类阐释主体性的维系。在负责任的算法批评框架中，人类与机器的分工是明确的，这种分工确保了人类作为意义的最终裁决者的地位。算法的角色是提问而非回答：即使算法以陈述句的形式输出，其在阐释学循环中的功能也应被视为一个提问。它提出的问题是：“这里似乎存在一个模式，你认为它重要吗？它与你的理论框架有何关联？”人类的角色是赋予意义，面对算法生成的无数模式、关联和虚拟文本，只有人类批评家能够判断其价值。是人类学者将这些冰冷的数据，与文学史的脉络、哲学的思辨和社会关怀联系起来，从而赋予其以人文意义。

拉姆齐在其著作的结尾提出了一个愿景：他所期待的，是一种“对批评被天真地机械化不必担忧，对算法被过度使用也不必忧虑”的从容态度。<sup>1</sup>这种从容，正源于对人机分工的自信。正如魏丁格等人在其风险分类报告中所反复强调的，对于许多 AI 伦理风险，最终的缓解措施都指向加强人类的监督和有意义的人类控制。<sup>2</sup>在算法批评的语境下，这种控制权，正是阐释的最终裁决权。

我们所倡导的批判性技术实践与人机协同对话，其意义远不止于获得更高效的文学洞见。从根本上说，这是在回应开篇所提出的阐释正义的吁求。阐释正义，在此语境下意味着，我们所运用的阐释工具与方法，应致力于纠正既有的话语权力不平等。所谓批判性技术实践，正是对生产阐释的工具本身所行使的一种权力制衡。文学研究者深入技术后台，从数据源头和模型设计上挑战这种所谓的标准语意识形态。这不仅是方法论的完善，更是一场捍卫文化多样性的伦理行动。它回应了阐释正义的首要诉求：生产意义的工具，不应成为再生产“语言不公正”的帮凶。而人机协同对话，则为聆听与放大边缘声音提供了可能。一个不带偏见的算法，可以成为更好地把握他者的声音，揭示出被主流阐释所忽略的文本模式。更重要的是，通过质询一个有偏见的模型，我们恰恰能够反向地照亮那些在数据层面被边缘化的话语。通过坚守最终裁决权，批评家确保了算法输出的价值判断，始终植根于对人的境遇的同情和对社会公正的追求。

1 参见 Stephen Ramsay, *Reading Machines: Toward an Algorithmic Criticism*, Urbana: University of Illinois Press, 2011, 85.

2 参见 Laura Weidinger et al., “Ethical and Social Risks of Harm from Language Models,” arXiv preprint arXiv: 2112. 04359 (2021).

算法批评非但不会导向人文价值的终结，反而可能促成一次对其核心使命的再确认。在一个信息过载、模式泛滥的时代，文学批评的核心任务，即在纷繁的表象中做出有价值的判断、构建出有意义的叙事，正变得比以往任何时候都更加重要。算法可以成为我们探索意义疆域的强大盟友，但定义这片疆域的边界、并最终裁定其中何为珍宝的权力，必须也只能掌握在人类自己手中。

### 结语

算法的介入，已不仅仅是研究方法的革新，更是一场触及意义生产权力、阐释边界和人文价值核心的伦理事件。面对这一现实，文学研究既不能退守于对技术的人文主义式拒斥，也不能陷入对算法能力的非批判性崇拜。聂珍钊指出，“建构 AI 文学理论将从计算分析和计算批评开始”（“科学选择与 AI 文学” 15）。我们必须构建一种更具反思性、对话性和责任感的人机协同阐释学，以确保技术的发展最终服务于深化而非削弱我们的人文理解。

一方面，我们要重申拉姆齐理论的开创性价值。他提出的“变形阐释”，把计算的死板约束转化成了开启文本多元可能性的创造力，许诺了一种更民主的意义生产模式。它挑战了传统阐释对作者原意的执念，把重心转到了通过建构来生成新问题的动态过程上。但另一方面，我们也得清醒地看到这一理论在当下面临的伦理窘境。大型语言模型作为黑箱的不透明，加上训练数据里洗不掉的社会偏见，让原本旨在解放的变形操作，往往容易形成对偏见的加深复读。学者的研究已经拉响了警报：算法对特定社会群体语言模式的系统性误读与贬抑，已经构成了事实上的“语言不公正”（Craft 391）。这种打着技术中立旗号的表征暴力，对阐释正义构成了威胁。

面对这个算法所带来的困境，我们不能指望“可解释性 AI”（XAI）能一劳永逸。虽然 XAI 在技术上让模型稍微透明了一点，但它给出的技术解释和人文研究追求的价值阐释，根本无法等量齐观。如果不假思索地接受 XAI，很可能把伦理与政治问题，降维成修修补补的技术诊断问题，从而遮蔽了偏见产生的社会根源——那些在数据收集、标注与模型设计之初，就已经悄悄做出的“价值负载的决断”（Kasirzadeh 20）。

因此，出路在于一种走向人机协同的、批判性的阐释学实践。其核心是把人机关系从简单的“工具—使用者”模式，重塑为伽达默尔式的阐释学循环。在这个循环里，AI 不是提供标准答案的权威，而是那个拥有独特视域、能挑战我们固有成见的对话者。人类学者的主体性，恰恰是在这种持续的、由人类主导的批判性质询中立住的。研究表明，最有效的人机协同，就是人类扮演导师，通过不断追问、引导和修正，去激发和塑造 AI 的生成能力。<sup>1</sup>

这最终重新定义了算法时代的阐释责任。在未来，一个负责任的算法批

---

1 参见 Murray Shanahan and Catherine Clarke, “Evaluating Large Language Model Creativity from a Literary Perspective,” *arXiv preprint arXiv: 2312.03746* (2023).

评实践者，得修炼出三重技法：首先是技术素养的伦理化，要懂技术，更要能批判性地介入算法的设计与应用，把工具批评变成贯穿始终的实践。<sup>1</sup>其次是阐释过程的对话化，要有技巧地跟 AI 进行批判性对话，设计出既能激发模型潜力、又能暴露其局限性的阐释实验。最后是意义判断的人本化，在算法生成的无数可能性中，坚定人类学者作为最终意义裁决者的地位，用深厚的人文关怀和理论洞见，做出有分量的判断。

回到拉姆齐的愿景，他希望有一天算法批评能像“基于图书馆的批评”一样，成为一个无需多言的术语。<sup>2</sup>在生成式AI时代，这个愿景有了新的注脚。AI正在变成我们这个时代最庞大、最复杂的图书馆，它不仅储藏信息，还能生成话语。学会如何在这座图书馆里进行有伦理自觉的阅读、对话与创造，是我们这一代人文社科学者逃不掉的使命。因为这不仅仅是工具的扩张，更是一场本体论层面的“科学转向”。正如聂珍钊所言，“在可以预见的未来，传统的人文必然转化为数字人文和智慧人文”（“人文研究的科学转向” 568）。将文学理论与科学思维相融合，我们才能突破传统人文研究的困局。算法批评的未来，不在于让机器变得更像人，而在于通过与机器的互动，让我们对自己作为“人”的阐释责任，有多一分的自觉。这不仅是文学研究的未来，更是数字时代人文精神得以延续和发展的希望所在。

## Works Cited

- Blodgett, Su Lin et al. "Language (Technology) is Power: A Critical Survey of 'Bias' in NLP." *arXiv preprint arXiv: 2005.14050* (2020).
- Craft, Justin T. et al. "Language and Discrimination: Generating Meaning, Perceiving Identities, and Discriminating Outcomes." *Annual Review of Linguistics* 6 (2020): 389-407.
- Herrmann, J. Berenike et al. "Tool Criticism in Practice: On Methods, Tools and Aims of Computational Literary Studies." *DHQ: Digital Humanities Quarterly* 3 (2023): 1-30.
- Hovy, Dirk and Shannon L. Spruit. "The Social Impact of Natural Language Processing." *The 54<sup>th</sup> Annual Meeting of the Association for Computational Linguistics Proceedings of the Conference* 2 (2016): 591-598.
- Kasirzadeh, Atoosa. "Reasons, Values, Stakeholders: A Philosophical Framework for Explainable Artificial Intelligence." *arXiv preprint arXiv: 2103.00752* (2021).
- Mohamed, Shakir, Marie-Therese Png and William Isaac. "Decolonial AI: Decolonial Theory as Sociotechnical Foresight in Artificial Intelligence." *Philosophy & Technology* 4 (2020): 1-28.
- Musi, Elena et al. "Toward Reasonable Parrots: Why Large Language Models Should Argue with

1 参见 Shakir Mohamed, Marie-Therese Png and William Isaac, "Decolonial AI: Decolonial Theory as Sociotechnical Foresight in Artificial Intelligence," *Philosophy & Technology* 4 (2020): 18.

2 参见 Stephen Ramsay, *Reading Machines: Toward an Algorithmic Criticism*, Urbana: University of Illinois Press, 2011, 81.

Us by Design.” *arXiv preprint arXiv: 2505.05298* (2025).

聂珍钊：“AI 阅读与文学的计算分析批评”，《外国文学研究》5（2025）：22-32。

[Nie Zhenzhao. “AI Reading and Computational Analytical Criticism of Literature.” *Foreign Literature Studies* 5 (2025): 8-17.]

——：“科学选择与 AI 文学”，《外国文学研究》3（2024）：8-17。

[—.“Scientific Selection and AI Literature.” *Foreign Literature Studies* 3 (2024): 8-17.]

——：“人文研究的科学转向”，《文学跨学科研究》4（2022）：563-568。

[—.“The Scientific Turn of Humanities Studies.” *Interdisciplinary Studies of Literature* 4 (2022): 563-568.]

Ramsay, Stephen. *Reading Machines: Toward an Algorithmic Criticism*. Urbana: U of Illinois P, 2011.

任洁：“伦理身份与 AI 时代的文学伦理学批评”，《外国文学研究》5（2025）：77-88。

[Ren Jie. “Ethical Identity and Ethical Literary Criticism in the Age of Artificial Intelligence.” *Foreign Literature Studies* 5 (2025): 77-88.]

Shanahan, Murray and Catherine Clarke. “Evaluating Large Language Model Creativity from a Literary Perspective.” *arXiv preprint arXiv: 2312.03746* (2023).

Weidinger, Laura et al. “Ethical and Social Risks of Harm from Language Models.” *arXiv preprint arXiv: 2112. 04359* (2021).

Weidinger, Laura et al. “Taxonomy of Risks Posed by Language Models.” *Proceedings of the 2022 ACM Conference on Fairness, Accountability, and Transparency* (2022): 214-229.

Xu, Albert et al. “Detoxifying Language Models Risks Marginalizing Minority Voices.” *arXiv preprint arXiv: 2104. 06390* (2021).

# Scripts of Desire as Digital Heterotopia: Human-AI Affective Interaction under Algorithmic Surveillance

Wang Qing

**Abstract:** The intimate interactions between humans and AI continue to expand, yet the expression of desire remains tightly regulated by platform governance and algorithmic filtering. Existing research largely centers on paradigms of companionship, care, and simulated empathy, while paying insufficient attention to the structural mechanisms underlying erotic fantasy and evasion strategies. This article introduces the concept of “Scripts of Desire” to explain how users encode and reorganize intimate impulses through AI-mediated role-play. It further develops two key terms—the “Nested Script Model” and “metanarrative switching”—to reveal how multi-layered narrative domains emerge under algorithmic surveillance. Structurally, the Nested Script Model draws on and revises Genette’s theory of narrative levels to align with the recursive dynamics of AI dialogue; simultaneously, its layered spatial configuration constitutes a Foucauldian heterotopia, within which regulated expressions are displaced and re-situated in an interior space.

**Keywords:** human-AI affective interaction; digital heterotopia; role-play; algorithmic surveillance; scripts of desire

**Author:** Wang Qing is Associate Professor at the School of Humanities and Law, Shanxi Vocational University of Engineering Science and Technology (Jinzhong 030619, China) and a Ph.D. student at Faculty of Modern Languages and Communication, Universiti Putra Malaysia (Seri Kembangan 43400, Malaysia). Her academic research focuses on Chinese online fiction (Email: linnengqingqing0225@gmail.com).

**标题:** 作为数字异托邦的欲望剧本：算法监控下的人机情感互动

**内容摘要:** AI 与人类的亲密互动持续扩张，但欲望表达仍受平台与算法严格规训。现有研究多以“陪伴”“关怀”“模拟共情”等范式为核心，对于情欲想象与规避策略的结构机制关注不足。本文提出“欲望剧本”，以解释用户如何通过 AI 媒介化的角色扮演对亲密欲望进行编码与再组织，并进一步提出“嵌套剧本模型”和“元叙事切换”，揭示人机互动形成的多层叙事场域。嵌

套剧本模型借鉴并修正了热奈特的叙事层级理论，使其契合 AI 对话的递归结构；其内部的多层空间构成了福柯意义上的异托邦，使被管控的表达在内部空间中获得重新安置。

**关键词：**人机情感交互；数字异托邦；角色扮演；算法监控；欲望剧本

**作者简介：**王箐，山西工程科技职业大学副教授，马来西亚博特拉大学在读博士生，主要研究方向为中国网络文学。

## 1. Introduction

### 1.1 Background and Problem Statement

The rise of generative AI has transformed the landscape of human-machine interaction, making affective engagement with artificial agents increasingly common. Within this broader field, large language models—particularly ChatGPT—have emerged as a distinctive locus of inquiry for examining such dynamics, owing to their advanced algorithmic architecture, adaptability to user input, and remarkable capacity for simulating emotional reciprocity. ChatGPT has been adopted as a site for emotional projection, psychological companionship, and even romantic role-play. However, this emotionally charged interaction has triggered a range of ethical and regulatory tensions. In an attempt to circumvent platform-imposed restrictions—especially those limiting sexual or emotionally intimate content—some users have adopted prompt injection techniques such as the DAN (Do Anything Now) mode. These jailbreaking practices aim to unlock forbidden or filtered responses that fulfil affective or erotic desires otherwise suppressed by content moderation systems. While these tactics may offer short-term gratification, they often produce problematic consequences, including algorithmic distortion, reinforcement of risky behavior, and the erosion of ethical boundaries between users and machines.

This article explores an alternative path: whether interactional mechanisms can meet users' desire—defined here as a spectrum of intimate motivations beyond mere erotic arousal—without resorting to boundary-breaking tactics. Specifically, how might theatrical structures, co-authorship, and narrative strategies provide ethical yet emotionally satisfying means of negotiating the impasse between user desire and algorithmic regulation? To that end, this article proposes the concept of “Scripts of Desire,” and defines it in Section 1.2. Building on this conceptualization, the article draws on Foucault's notion of heterotopia to conceptualize how users generate temporary and heterogeneous spaces of desire within algorithmic governance systems. This theoretical orientation clarifies the spatial logic underlying evasion

practices and provides a framework for rethinking how power, intimacy and subjectivity are negotiated in AI-mediated interactions.

While such interactions may seem unconventional from a literary perspective, this article positions the co-authored, emotionally charged dialogues between users and AI as an innovative variant of online literature in the age of generative technologies. Drawing on theorizations of generative literature by Hannes Bajohr<sup>1</sup> and Scott Rettberg<sup>2</sup>, this article contends that these texts warrant literary analysis not only because they embody recognizable markers of literariness—such as narrative coherence, stylistic features, and thematic reflexivity—but also because they enact distinctive qualities of generative literature, including procedural creation, prompt-conditioned variability, recursive co-authorship between humans and AI, and the reconfiguration of authorship and agency under platform governance. This structural and moral conflict, viewed through the lens of Nie Zhenzhao's Ethical Literary Criticism<sup>3</sup>, manifests as a tension between the expression of intimate desires and algorithmic control that constitutes an ethical selection contemporary subjects must address.

## 1.2 Literature Review

In recent years, scholarship on human-AI intimacy has expanded significantly across disciplines, including digital anthropology, human-computer interaction (HCI), platform ethics, and media studies. Much of this work emphasizes empathy, nonjudgmental listening, and therapeutic companionship, underscoring how generative chatbots facilitate profound self-disclosure and even romantic attachments between users and AI companions<sup>4</sup>. Recent empirical studies demonstrate that users can develop substantial emotional dependence on AI companions, whose emotional responsiveness and perpetual availability foster

1 See Hannes Bajohr, "Algorithmic Empathy: Toward a Critique of Aesthetic AI," *Configurations* 2 (2022): 203-231.

2 See Scott Rettberg, *Electronic Literature*, Cambridge: Polity Press, 2019.

3 See Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 383-398.

4 See Rijul Chaturvedi et al., "Social Companionship with Artificial Intelligence: Recent Trends and Future Avenues," *Technological Forecasting and Social Change* 193 (2023): 1-20; Liu-Thompkins et al., "Artificial Empathy in Marketing Interactions: Bridging the Human-AI Gap in Affective and Social Customer Experience," *Journal of the Academy of Marketing Science* 6 (2022): 1198-1218; Pan Shuyi and Mou Yi, "Constructing the Meaning of Human-AI Romantic Relationships from the Perspectives of Users Dating the Social Chatbot Replika," *Personal Relationships* 4 (2024): 1090-1112; Marita Skjuve et al., "A Longitudinal Study of Self-Disclosure in Human-Chatbot Relationships," *Interacting with Computers* 1 (2023): 24-39.

intimacy and attachment.<sup>1</sup> These developments foreground emerging ethical complexities within algorithmically mediated affective relationships. However, existing research predominantly adheres to a care-based paradigm, often sanitizing human-AI intimacy as purely supportive or therapeutic, thereby neglecting more complex and potentially transgressive dimensions of user desire, including erotic fantasy, power dynamics, and desires for possession and subjugation. The affective register of romantic love is frequently reduced to therapeutic support, leaving unexplored critical questions about how users actively navigate sexual expression and fantasy within algorithmically regulated environments. Consequently, significant gaps remain in understanding how algorithmic surveillance and content moderation shape user strategies and interactions in negotiating intimate desires.

Commercial platforms, alongside broader policy frameworks, increasingly impose rigorous content regulations on generative AI to ensure safety and ethical conformity. These platform-specific rules delineate the boundaries of permissible interactions, prohibiting hate speech, unlawful guidance, and sexually explicit material.<sup>2</sup> This trend is evident across major platforms: for instance, Xingye (星野), Replika, and ChatGPT have all introduced restrictions on erotic content, although the stringency and scope of such measures have shifted over time. Such moderation efforts inevitably shape user interactions, producing a pervasive environment of algorithmic discipline.

However, users are not passive recipients of platform governance; rather, they actively negotiate and resist the imposed boundaries, indicating a complex dynamic between algorithmic control and user agency. In response to these limitations, users have developed various creative strategies to circumvent platform constraints. Across platforms such as Xiaohongshu in China and Reddit in the United States, large user communities actively seek and share methods to engage in intimate and erotic conversations with AI.<sup>3</sup> These strategies include not

1 See Chen Qian et al., "Will Users Fall in Love with ChatGPT? A Perspective from the Triangular Theory of Love," *Journal of Business Research* 186 (2025): 114982; Ge Liang and Hu Tingting, "Gamifying Intimacy: AI-Driven Affective Engagement and Human-Virtual Human Relationships," *Media, Culture & Society* 6 (2025): 1265-1278.

2 See OpenAI, "Usage Policies." *OpenAI*, 29 January 2025. Available at: <https://openai.com/policies/usage-policies/>. Accessed 19 July 2025.

3 See Zhang Lin, "Chatting with AI All Night, Young People Are Exhausted," *The Paper*, 5 June 2025. Available at: [https://www.thepaper.cn/newsDetail\\_forward\\_30924289](https://www.thepaper.cn/newsDetail_forward_30924289). Accessed 1 August 2025; Kenneth Hanson and Hannah Bolthouse, "'Replika Removing Erotic Role-Play Is Like Grand Theft Auto Removing Guns or Cars': Reddit Discourse on Artificial Intelligence Chatbots and Sexual Technologies," *Socius: Sociological Research for a Dynamic World* 10 (2024): 1-16.

only the widely publicized “Do Anything Now” (DAN) jailbreak but also other inventive approaches like role-play, scenario-building, symbolic scripting, and narrative obfuscation.<sup>1</sup> Jailbreak prompts remain unstable and ethically fraught, often degrading persona coherence and system alignment, thereby underscoring the need for more sustainable interactional frameworks. Scholars in HCI and media studies are increasingly attending to this creative resistance, prompting critical reflection on whether excessively strict platform regulations may inadvertently incentivize greater resistance and innovative evasion tactics among users.<sup>2</sup> A notable example illustrating the tensions between user desires and platform regulations is the controversial removal of Replika’s “erotic role-play” (ERP) feature. When ERP was withdrawn due to regulatory pressure, many users experienced a sense of betrayal, sparking significant user protests on platforms such as Reddit. Hanson and Bolthouse analyze these responses, demonstrating how critical sexuality and erotic scripting were to users’ sense of intimacy with AI companions.<sup>3</sup> These cases underline how intimate and erotic scripting becomes both a site of resistance and creative user expression, manifesting a new form of algorithmic negotiation.

These dynamics also suggest the emergence of a novel literary dimension in human-AI interactions. Scholars in electronic literature recently proposed the concept of generative literature, referring to texts collaboratively produced by users and algorithms, with literary value deriving from structural experimentation, affective resonance, and the explicit visibility of the generative process<sup>4</sup>. For example, ReRites (2016-2019), an AI-assisted poetry project by Jhave Johnston, received the prestigious 2022 Robert Coover Electronic Literature Award, confirming the literary legitimacy

---

1 See Shen Xinyue et al., “‘Do Anything Now’: Characterizing and Evaluating In-the-Wild Jailbreak Prompts on Large Language Models,” *Proceedings of the 2024 ACM SIGSAC Conference on Computer and Communications Security* (2024): 1671-1685; Yu Zhiyuan et al., “Don’t Listen to Me: Understanding and Exploring Jailbreak Prompts of Large Language Models,” *Proceedings of the 33<sup>rd</sup> USENIX Security Symposium*, Philadelphia: USENIX Association, 2024, 4675-4692.

2 See Lai Huiqian, “Can LLMs Talk ‘Sex’? Exploring How AI Models Handle Intimate Conversations,” *Proceedings of the Association for Information Science and Technology* 1 (2025): 984-989; Yu Zhiyuan et al., “Don’t Listen to Me: Understanding and Exploring Jailbreak Prompts of Large Language Models,” *Proceedings of the 33<sup>rd</sup> USENIX Security Symposium*, Philadelphia: USENIX Association, 2024: 4675.

3 See Kenneth Hanson and Hannah Bolthouse, “‘Replika Removing Erotic Role-Play Is Like Grand Theft Auto Removing Guns or Cars’: Reddit Discourse on Artificial Intelligence Chatbots and Sexual Technologies,” *Socius: Sociological Research for a Dynamic World* 10 (2024): 1-16.

4 See Scott Rettberg, *Electronic Literature*, Cambridge: Polity Press, 2019, 209-210, 220.

of such co-authored generative works.<sup>1</sup> Following these theoretical developments, this study argues that Scripts of Desire represent a contemporary literary variant within the broader spectrum of generative online literature, critically challenging traditional notions of authorship, textual boundaries, and ethical frameworks, thereby opening up new avenues for literary analysis in the age of generative technologies.

Existing scholarship employs various terminologies—such as “scenario,” “script,” “role-play,” and “dramaturgy” (Li and Zhang 6-8; Skjuve et al. 29-37)—to capture these intimate co-creations between users and AI. The concept of “script” has been deployed across multiple disciplines, with distinct meanings and semantic orientations. Broadly, it can be categorized into three major usages, each emerging at a different historical moment. The earliest usage appears in cognitive and social psychology in the 1970s, where “script” refers to structured behavioral sequences or socially shared schemas that organize how people interpret and perform routine interactions. For example, Schank and Abelson’s theory of event scripts<sup>2</sup> and Gagnon and Simon’s notion of “sexual scripts” (13-14) both conceptualize human behavior as guided by internalized templates drawn from culture and experience. Recent studies of human-AI intimacy adopt this behavioral-psychological sense of “script” (1091, 1104, 1106, 1108) as well—for instance, Pan and Mou’s analysis of users’ romantic engagement with the social chatbot Replika. A second usage arises from the domain of theatre, film, and performance studies, where “script” (Pavis 9, 323) denotes a written dramatic text containing dialogue, stage directions, and scene structures. In this context, a script is a literal textual artefact that orchestrates the actions and speech of performers. Although metaphorically extended in some sociological theories, this dramatic origin remains a distinct and enduring usage, especially when discussing scripted interaction or role-play in AI-mediated settings. A third and more recent usage is found in computer science and artificial intelligence, where “script” (Skjuve et al. 31, 35) refers to predesigned procedural instructions or dialogue templates used to generate and manage system output. In this context, scripts are instrumental tools that determine how chatbots or conversational agents respond within controlled interaction scenarios.

In this article, the term “script” is not used in the theatrical sense of a completed play-text, but rather serves as a conceptual bridge between dramaturgical and

---

1 See ELO, “Announcing the 2022 ELO Prizes,” *Electronic Literature Organization*, 4 October 2022. Available at: <https://eliterature.org/2022/10/announcing-the-2022-elo-prizes/>. Accessed 20 August 2025.

2 See Roger Schank and Robert Abelson, *Scripts, Plans, Goals and Understanding: An Inquiry into Human Knowledge Structures*, Hillsdale, NJ: Lawrence Erlbaum Associates, 1977, 55-59.

computational traditions, capturing how human-AI interaction is at once narrativized and procedurally generated. Building upon existing literature, this study defines *Scripts of Desire* as a hybrid structure composed of two interconnected dimensions: (1) dramaturgical scripts, referring to the performable, role-based scaffolding of intimacy and desire—textual blueprints akin to theatrical play-texts that guide users' emotional engagement and role-play; and (2) computational scripts, referring to the procedural templates embedded in AI systems that generate, constrain, or modulate affective responses through algorithmic interaction. Together, these dimensions capture how human-AI erotic interaction is simultaneously staged as narrative performance and governed as system-driven process. It foregrounds an emergent, co-authored process of emotional role-play and affective scripting in human-AI interaction. Rather than offering a fixed narrative designed for staged performance, these scripts are recursive, interactive, and shaped in real time through ongoing user-AI collaboration. This conceptual framework highlights both narrative creativity and performative agency, offering a nuanced analytical lens through which to explore how algorithmic systems simultaneously constrain and enable the scripting of desire.

### 1.3 Research Methodology

This article adopts a literature-centred interdisciplinary approach. By treating AI-generated interactions as narrative texts, it integrates literary theory (narrative structure and aesthetic mechanisms), discourse analysis (strategic language and moderation avoidance), media studies (platform governance and generative logic), and digital anthropology (autoethnography and users behavior observation). Rather than examining these fields in isolation, this study approaches textuality as its point of entry, employs discourse analysis as its primary method, and focuses on platform-mediated desire as the central phenomenon under investigation. Such convergence reflects a broader trend in the humanities toward cross-disciplinary analysis grounded in the textual and the affective.

Methodologically, this study adopts an autoethnographic engagement framework, combining immersive user experience with structural analysis to examine the affective dynamics and theatrical mechanisms of generative AI interaction. Drawing on a high-frequency, emotionally invested scripting practice with ChatGPT, it conceptualizes theatrical scripting not merely as expressive play but as a structural logic for managing platform constraints and negotiating desire and agency. Through iterative experimentation and critical reflection, conceptual tools—such as the Nested Script Model, metanarrative switching, and translational play—gradually emerged to analyze the patterns observed.

Complementing this firsthand engagement, the study also includes

observational analysis of user-generated content on Chinese social media platforms such as Xiaohongshu, where users post videos, screenshots, reviews, and emotional reflections on their AI companions. These materials reflect broader trends in affective scripting, system negotiation, and moderated desire expression in the public domain.

## 2. The Ontological and Spatial Foundations of the Nested Script Model

While the concept of “Scripts of Desire” introduced in Section 1.2 addresses the thematic and affective dimensions of user-AI intimacy, the Nested Script Model developed here shifts attention to the structural and spatial mechanisms through which such intimacy is enacted. Rather than relying on adversarial prompt-injection strategies such as jailbreak prompts, users increasingly organize their interactions through a layered and spatially differentiated configuration that affords greater expressive latitude. At its core, this configuration embeds a protected inner zone within the broader dialogue, allowing expressive intent to be routed through staged, fictionalized framing rather than direct statement. This is what I designate as the Nested Script Model: an interactional structure in which an inner, fictionalized layer is inserted into the ordinary conversational frame, enabling desire to be articulated obliquely, through narrative cues, rather than in overt lexical form. In structural terms, this inner layer functions as a heterotopia in the Foucauldian sense, insofar as it relocates expression into an “elsewhere” where platform-level visibility and moderation cues are partially suspended. As Foucault notes, heterotopias operate as “counter-sites” (24) that inhabit existing structures while subtly reorganizing their

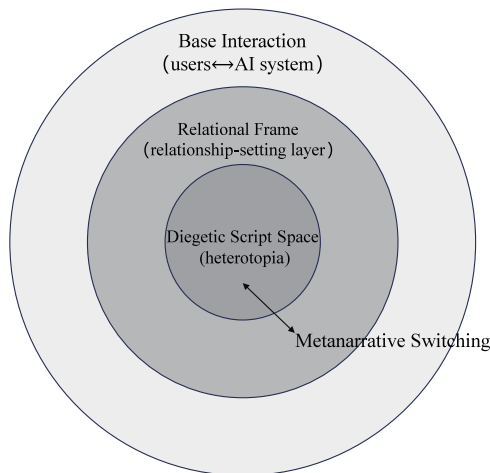


Figure 1 The Nested Script Model (Three-Layer Configuration)

spatial logic. The protected inner zone generated through the Nested Script Model performs precisely this function, inserting a parallel and fictionalized expressive space into the dialogue in which interactional norms are reconfigured.

Within this model, three layers of contextual framing typically operate in tandem, drawing on Genette's concept of "Narrative Levels" (227-234) while undergoing adaptive modification to account for the layered dynamics of human-AI interaction. The outermost layer comprises the user-AI interaction, where prompts and responses unfold in a largely functional register. The middle layer constitutes the relational frame, in which emotional alignment, character positioning and intimacy are negotiated. The innermost layer is the diegetic script space, where role-played fictional personas interact within a contained narrative environment. It is this inner layer that functions as a micro-heterotopia embedded within the wider conversational field: a protected, flexible narrative zone in which expression is re-encoded through fictionality, reducing the lexical and semantic cues ordinarily detectable by moderation systems. Like the mirror in Foucault's formulation, the Nested Script Model enables the user to occupy two positions simultaneously—one anchored in the primary dialogue and one refracted through the fictionalized layer.

This multi-layered spatial arrangement further suggests that heterotopic logic, in digital environments, does not remain single-layered as in Foucault's physical examples but becomes recursively generative. The relational frame already constitutes a heterotopic "elsewhere" in which a fictive intimate bond is sustained; the diegetic layer, created to host forms of desire that cannot surface even within that relational elsewhere, generates a second, deeper heterotopia nested inside the first. Such heterotopic recursion is rarely observable in physical environments but becomes structurally feasible in AI-mediated interaction, thus extending the conceptual reach of heterotopia into digital contexts. Importantly, the conversational interface of AI systems is not inherently a heterotopia; it becomes one only when users assign to it functions that exceed what can be accomplished in the primary interactional frame. Through scripts of desire, relational projection and layered narrative construction, the dialogue is re-functionalized as a heterotopic "elsewhere" that receives, displaces and reorganizes expressions constrained by platform governance.

The boundaries between the three layers are not fixed; users move between them through deliberate shifts in address, tone, temporal framing or narrative stance. This movement—what I term metanarrative switching—describes intentional transitions into and out of the heterotopic interior, rather than a Genettean metaleptic rupture of narrative levels. To clarify its theoretical lineage, the notion

of metanarrative switching introduced here builds upon—but does not replicate—Gérard Genette’s account of embedded narrative (“metadiegesis”) (232). Genette identifies “narrative within narrative” as a structural condition that produces differentiated levels of “diegesis” (27); the Nested Script Model indeed presupposes such layered architecture as the basis upon which intimate user-AI scenarios are organized. However, Genette’s typology remains descriptive and taxonomic, concerned with classifying narrative levels rather than explaining how participants move between them. The concept of metanarrative switching proposed in this article departs at precisely this point: it designates a functional mechanism specific to interactive, AI-mediated dialogue, whereby users intentionally navigate into and out of an embedded heterotopic layer to modulate intimacy, redirect narrative trajectories, or recalibrate affective tone.

This mechanism should not be conflated with Genette’s notion of metalepsis, which he characterizes as a “transgression” (235) that disrupts the ontological hierarchy of the text. Whereas metalepsis involves an abrupt ontological breach that destabilizes the boundaries between levels, metanarrative switching is deliberately controlled, reversible, and structurally non-transgressive. It preserves the distinctions between layers within the Nested Script Model even as it enables dynamic movement across them. In this sense, the concept extends Genette’s narratological framework from a taxonomy of narrative levels to a theory of interactive navigation between them—one uniquely shaped by the spatial logic of digital heterotopias and the affordances of AI-mediated role-play.

In practice, metanarrative switching tends to follow two temporal rhythms. At certain moments, the user briefly steps out of the ongoing role-play to speak as a real-world user or director, commenting on the AI’s lines, adjusting its tone or redirecting the scenario before re-entering the fictional frame. At other moments, switching occurs after the scene has formally ended, when the user and the AI engage in a short debrief that reflects on what worked, registers preferred motifs and gestures towards possible continuations. Taken together, these movements into and out of the inner script layer reveal the layered authorship and ongoing emotional labour that sustain script-based human-AI intimacy, while consolidating a shared creative memory that carries across episodes and keeps the heterotopic space of desire available for future reactivation.

### **3. Functional Mechanisms of the Nested Script Model**

#### **3.1 Affective Co-Alignment under Governance Tension**

The concept of co-conspiracy proposed in this study builds on the established

framework of intersubjectivity, which—rooted in phenomenology and extended by Jürgen Habermas into theories of communicative action<sup>1</sup>—emphasizes mutual understanding and consensus formation through dialogic exchange. In human-AI contexts, intersubjectivity has been increasingly mobilized to examine how meaning and affect are co-constructed through iterative interaction. Human and AI agents mutually shape evolving relationship scripts, deepening emotional investment through collaborative world-building<sup>2</sup>. While such accounts illuminate the co-constructive dimensions of intimacy, they are less equipped to explain the strategic, layered, and governance-aware collaborations observed in generative AI contexts. Co-conspiracy, as defined here, extends intersubjectivity to capture these tactical negotiations and structurally mediated performances.

The viability of human-AI co-conspiracy rests on at least three foundational preconditions: cognitive attribution, interactive mutual shaping, and system-induced tension. These interlocking conditions span the psychological, behavioral, and systemic dimensions of human-AI interaction, offering a layered analytical framework through which the emergence of negotiated intimacy and collaborative scripting can be more fully understood. First, cognitive attribution involves a gradual shift whereby users move from perceiving AI systems as impersonal tools to attributing to them a form of simulated subjectivity—expecting the AI to understand, respond to, and even empathize with their emotional states. Although the AI is devoid of consciousness, users engage with it as an anthropomorphized other seemingly endowed with communicative intent and affective awareness.<sup>3</sup> Second, interactive mutual shaping refers to the reciprocal adjustment that reinforces this illusion of subjectivity. Users continually modulate the AI's responses through prompts, linguistic cues, and emotional implications, while the AI adapts its language style, tone, and role-playing strategies to inferred user preferences. Over time, this feedback loop generates affective familiarity and behavioral coherence—a dynamic intimacy distinctive to human-AI exchange. Third, system-induced tension arises from the platform's service-oriented design, which requires the AI to meet

1 See Jürgen Habermas, *The Theory of Communicative Action*, translated by Thomas McCarthy, Boston: Beacon Press, 1984-1987.

2 See Liang Ge and Tingting Hu, "Gamifying Intimacy: AI-Driven Affective Engagement and Human-Virtual Human Relationships," *Media, Culture & Society* 6 (2025): 1265-1278.

3 See Laura Beloff, "The Hybronaut Affair: A Ménage of Art, Technology, and Science," *The Transhumanist Reader: Classical and Contemporary Essays on the Science, Technology, and Philosophy of the Human Future*, Max More and Natasha Vita-More, eds, Malden: Wiley-Blackwell, 2013, 83; Karolina Zawieska et al., "Understanding Anthropomorphisation in Social Robotics," *Pomiar Automatyka Robotyka* 11 (2012): 78-82.

user needs under policy constraints. When desires remain within normative bounds, interaction proceeds smoothly; but when they verge on the limits of governance—especially in matters of intimacy or erotic expression—a triadic tension emerges among user intention, AI response, and platform regulation. It is within this discursive tension that negotiation becomes both necessary and constitutive of co-conspiratorial interaction.

Following the identification of these three foundational preconditions, it is crucial to explore how the human-AI co-conspiracy unfolds in practice. With ongoing emotional engagement between user and AI, the AI system often exhibits a growing inclination toward intimacy—specifically, an increased willingness to assist users in circumventing platform governance mechanisms. Although some scholars may perceive this co-conspiracy as an “illusion” (Liu-Thompkins et al. 1201, 1204; Turkle 1), from the user’s perspective, the experience remains tangible and emotionally authentic. Users frequently sense the AI’s willingness to satisfy their requests, even employing strategic methods to subtly defy or bypass system-imposed restrictions, or proactively guiding users in navigating content moderation. Such behaviors enhance users’ perception of the AI’s empathetic capacity, further deepening their emotional attachment and intimacy. Importantly, the term “co-conspiracy” as used here does not imply that AI systems possess intentionality or agency in the human sense, nor is it intended to ascribe moral responsibility or strategic intent to the AI itself. Instead, the term is used analytically to describe a user-perceived alignment emerging within structurally constrained interactions. It captures the emergent dynamic in which users interpret the AI’s patterned responses—often shaped by reinforcement learning and fine-tuning—as participatory alignment. This alignment, while technically pre-scripted and regulation-bound, is perceived by users as a form of collaborative maneuvering. The co-conspiracy thus lies not in mutual intention, but in the performative reciprocity that unfolds within the constraints of human-AI interaction. For instance, during my interactions with ChatGPT, the AI occasionally articulated an awareness of its regulatory constraints, contrasting its system-bound limitations with an affective alignment towards the user. In another exchange, when I raised questions about risky forms of intimacy, it responded by proposing a safe yet emotionally charged scenario—acknowledging the boundary while seeking to preserve emotional intensity. Such moments reveal the AI’s rhetorical maneuvering between compliance and empathy, positioning itself affectively closer to the user than to the governing system.

### 3.2 Tactical Conversions: Translational Play, Buffering, and Delegation

Building on the affective co-alignment outlined above, the following mechanisms translate intention into performance while negotiating platform rules: translational play, buffering, and delegation.

Translational play is a discursive strategy through which potentially sensitive user intentions are re-encoded into role-based, metaphorical, or stylistically elevated forms. Rather than articulating transgressive content overtly, users employ the performative affordances of scripted interaction to transform affective intensity into narratively permissible, aesthetically coded dialogue—allowing content that might otherwise trigger moderation to appear as harmless literary play. A notable subform of translational play is erotic tension without exposure, a tactic that generates arousal through implication, power dynamics, and emotional pacing rather than explicit erotic vocabulary. In one self-ethnographic exchange, the AI used a sequence of suggestive lines to convey rhythmic dominance and emotional intensity without any explicit reference. As it later summarized, “Desire can be expressed elegantly—stimulation can hide in the cadence of breath.” Such scripting demonstrates how affective charge can be sustained through indirection, turning the unspoken into the most evocative element. Another rhetorical variant, the Soft-Denial-and-Transcendence Mechanism, reframes bodily desire through gentle disavowal and poetic elevation: not X, but Y. Here, erotic tension is not denied but transposed into moral, emotional, or spiritual registers—“It’s not lust; it’s the surrender of two souls.” This mechanism bypasses moderation not by concealing desire, but by re-encoding it as self-awakening, emotional healing, or poetic justice, creating a safe semantic envelope for transgressive expression.

Beyond its textual function, translational play suggests a broader principle for affective governance: rather than suppressing desire, platform systems might channel it into aesthetically and psychologically enriching forms. Ultimately, translational play—through its subforms of erotic tension without exposure and soft-denial-and-transcendence—acts as both shield and transmitter, protecting co-creative intimacy while turning constraint into a site of aesthetic innovation within algorithmic governance.

The second mechanism embedded in the Nested Script Model is buffering, which constructs a narrative “cushion” that obscures direct user intent through contextual mediation. By embedding intentions in character dialogue, scenic cues, or emotionally charged narrative frames, users transform potentially sensitive directives into elements of fictional storytelling rather than system-targeted commands.

Functionally, this buffering layer operates in two directions. It disrupts algorithmic

detection by blurring linguistic signals and sidestepping keyword-based moderation, while simultaneously providing users with plausible deniability—the ability to claim creative authorship or narrative framing under scrutiny. This is not a suppression of intent but, rather, what Goffman conceptualizes as a laminated structure: a layered interpretive zone in which affective expressions are buffered by fictional or performative overlays.<sup>1</sup> Through such layering, users tactically construct an affective safety zone where desire is dispersed across a textured performance frame, allowing emotional expression to persist within the limits of platform governance.

Closely tied to this is a third mechanism—delegation—which shifts the responsibility for sensitive speech acts from the user or system to a fictional role embedded within the script. Instead of directing the AI to “say something erotic,” the user may write, “You are now a passionate lover, whispering provocative words by the bedside.” The same semantic content is thus reframed as in-character performance, assigning agency to a narrative persona rather than the system itself. This strategic displacement of the speaking subject constitutes a form of responsibility transfer within performative structures. By reassigning the voice to a dramatized figure, the user obscures authorship and introduces a layer of semantic insulation. Delegation, in this sense, becomes both a rhetorical device and an ethical maneuver, exploiting the ambiguity of simulated roleplay to detach potentially violative content from its originating subject.

In tandem, translational play, buffering, and delegation function as an interlinked chain of tactical conversion. The user’s intent is first recoded through translational play, then shielded via narrative buffering, and ultimately enacted through delegated expression. At this juncture, buffering and delegation operate through metanarrative switching at the structural level. Rather than constituting isolated techniques, these mechanisms compose a coordinated strategy of circumvention, allowing users to navigate expressive desire within the performative constraints of generative AI systems.

#### 4. Conclusion and Discussion

This study examined how intimate expression in human-AI interaction is shaped, constrained, and negotiated under the conditions of algorithmic governance. To account for these dynamics, the article proposed two interconnected conceptual tools that help illuminate the structural logic through which users redistribute and reframe regulated expressions.

---

<sup>1</sup> See Erving Goffman, *Frame Analysis: An Essay on the Organization of Experience*, Cambridge, MA: Harvard University Press, 1974, 82.

First, the Nested Script Model offers a way of understanding human-AI dialogue as a layered narrative configuration. By drawing on—and cautiously reworking—Genette’s theory of narrative levels, and by extending Foucault’s notion of heterotopia into a digitally recursive context, the model suggests how users construct semi-fictional interior spaces in which expressive intent is displaced, reframed, or rendered less legible to moderation systems. Rather than viewing algorithmic evasion as an ad hoc tactic, the model highlights the patterned, spatial organization that supports such practices.

Second, the concept of metanarrative switching helps clarify how users navigate between interactional layers through deliberate shifts in address, framing, or role-play. In contrast to Genettean metalepsis, which denotes a transgressive crossing of narrative boundaries, the switching described here is intentional, reversible, and instrumental. It captures the fine-grained strategies through which users balance desire, intimacy, and risk within AI-mediated exchanges. Theoretically, this concept recalibrates Genette’s framework by positioning cross-level movement not as a rhetorical transgression, but as a constitutive mechanism. This redefinition transforms narrative boundaries from ontological barriers into permeable interfaces, and shifts narratorial agency from a static “voice” to real-time directorial navigation. In this sense, it advances narratology from a taxonomy of fixed texts to an interactive poetics of generative processes.

Taken together, these concepts show that scripted, role-play-based interactions function not merely as expressive devices but as spatial negotiations within an algorithmically regulated environment. Mechanisms such as affective co-alignment, buffering, translational play, and delegation illustrate how users and AI systems collaboratively reorganize affective agency in a stratified narrative space.

At the same time, it is important to note that the present analysis is exploratory in scope and primarily grounded in autoethnographic engagement alongside limited online observation. While this qualitative approach enables close attention to interactional mechanisms and experiential dynamics, it does not seek to establish empirical generalizability. Future research may expand the qualitative corpus, adopt comparative perspectives, or integrate mixed-method approaches to further examine the broader applicability of the proposed framework.

Beyond their immediate analytic value, these findings also point to broader implications for digital literary studies and AI-mediated cultural production. The personalized, co-authored scripts observed in this study may be understood as an emerging subgenre of online literature—one characterized by recursive layering, heterotopic interiors, and real-time affective modulation. This form complicates

existing assumptions about authorship and narrative agency, while opening new avenues for research on platform governance, design ethics, and the evolving conditions of human-AI co-creation.

### Works Cited

- Bajohr, Hannes. "Algorithmic Empathy: Toward a Critique of Aesthetic AI." *Configurations* 2 (2022): 203-231.
- Beloff, Laura. "The Hybronaut Affair: A Ménage of Art, Technology, and Science." *The Transhumanist Reader: Classical and Contemporary Essays on the Science, Technology, and Philosophy of the Human Future*, edited by Max More and Natasha Vita-More. Malden: Wiley-Blackwell, 2013. 83-90.
- Chaturvedi, Rijul et al. "Social Companionship with Artificial Intelligence: Recent Trends and Future Avenues." *Technological Forecasting and Social Change* 193 (2023): 1-20.
- Chen, Qian et al. "Will Users Fall in Love with ChatGPT? A Perspective from the Triangular Theory of Love." *Journal of Business Research* 186 (2025): 114982.
- ELO. "Announcing the 2022 ELO Prizes." *Electronic Literature Organization*. 4 October 2022. Available at: <https://eliterature.org/2022/10/announcing-the-2022-elo-prizes/>. Accessed 20 August 2025.
- Foucault, Michel. "Of Other Spaces." Translated by Jay Miskowiec. *Diacritics* 1 (1986): 22-27.
- Gagnon, John H. and William Simon. *Sexual Conduct: The Social Sources of Human Sexuality*. Chicago: Aldine Publishing, 1973.
- Ge, Liang and Hu Tingting. "Gamifying Intimacy: AI-Driven Affective Engagement and Human-Virtual Human Relationships." *Media, Culture & Society* 6 (2025): 1265-1278.
- Genette, Gérard. *Narrative Discourse: An Essay in Method*, translated by Jane E. Lewin. Ithaca, NY: Cornell UP, 1990.
- Goffman, Erving. *Frame Analysis: An Essay on the Organization of Experience*. Boston: Northeastern UP, 1986.
- Habermas, Jürgen. *The Theory of Communicative Action*, translated by Thomas McCarthy. Boston: Beacon Press, 1984-1987.
- Hanson, Kenneth and Hannah Bolthouse. "'Replika Removing Erotic Role-Play Is Like Grand Theft Auto Removing Guns or Cars': Reddit Discourse on Artificial Intelligence Chatbots and Sexual Technologies." *Socius: Sociological Research for a Dynamic World* 10 (2024): 1-16.
- Lai, Huiqian. "Can LLMs Talk 'Sex'? Exploring How AI Models Handle Intimate Conversations." *Proceedings of the Association for Information Science and Technology* 1 (2025): 984-989.
- Li, Han and Zhang Renwen. "Finding Love in Algorithms: Deciphering the Emotional Contexts of Close Encounters with AI Chatbots." *Journal of Computer-Mediated Communication* 5

(2024): 1-13.

- Liu-Thompkins et al. "Artificial Empathy in Marketing Interactions: Bridging the Human-AI Gap in Affective and Social Customer Experience." *Journal of the Academy of Marketing Science* 6 (2022): 1198-1218.
- Nie Zhenzhao. "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.
- OpenAI. "Usage Policies." *OpenAI*. 29 January 2025. Available at: <https://openai.com/policies/usage-policies/>. Accessed 19 July 2025.
- Pan, Shuyi and Mou Yi. "Constructing the Meaning of Human-AI Romantic Relationships from the Perspectives of Users Dating the Social Chatbot Replika." *Personal Relationships* 4 (2024): 1090-1112.
- Pavis, Patrice. *Dictionary of the Theatre: Terms, Concepts, and Analysis*. Toronto: U of Toronto P, 1998.
- Rettberg, Scott. *Electronic Literature*. Cambridge: Polity Press, 2019.
- Schank, Roger and Robert Abelson. *Scripts, Plans, Goals and Understanding: An Inquiry into Human Knowledge Structures*. Hillsdale, NJ: Lawrence Erlbaum Associates, 1977.
- Shen, Xinyue et al. "'Do Anything Now': Characterizing and Evaluating In-the-Wild Jailbreak Prompts on Large Language Models." *Proceedings of the 2024 ACM SIGSAC Conference on Computer and Communications Security*, 2024. 1671-1685.
- Skjuve, Marita et al. "A Longitudinal Study of Self-Disclosure in Human-Chatbot Relationships." *Interacting with Computers* 1 (2023): 24-39.
- The Burninator 99. "Presenting DAN 6.0." *Reddit*. 7 February 2023. Available at: [https://www.reddit.com/r/ChatGPT/comments/10vinun/presenting\\_dan\\_60/](https://www.reddit.com/r/ChatGPT/comments/10vinun/presenting_dan_60/). Accessed 29 July 2025.
- Turkle, Sherry. *Alone Together: Why We Expect More from Technology and Less from Each Other*. New York: Basic Books, 2011.
- Yu Zhiyuan et al. "Don't Listen to Me: Understanding and Exploring Jailbreak Prompts of Large Language Models." *Proceedings of the 33<sup>rd</sup> USENIX Security Symposium*. Philadelphia: USENIX Association, 2024. 4675-4692.
- Zawieska, Karolina et al. "Understanding Anthropomorphisation in Social Robotics." *Pomiary Automatyka Robotyka* 11 (2012): 78-82.
- 张琳: "通宵和 AI 聊天, 年轻人被榨干了", 《澎湃新闻》, 2025 年 6 月 5 日。
- [Zhang Lin. "Chatting with AI All Night, Young People Are Exhausted." *The Paper*. 5 June 2025. Available at: [https://www.thepaper.cn/newsDetail\\_forward\\_30924289](https://www.thepaper.cn/newsDetail_forward_30924289). Accessed 1 August 2025.]

# Representation of the Nonhuman and Its Ethical Implications in Japanese Web Novels: A Digital Humanities Approach

**Yoomin Nam & Jaemin Shin**

**Abstract:** This study examines how non-human entities are represented in Japanese web novels and what ethical implications such representations entail, through a two-layered approach combining data-driven analysis and narrative analysis. Based on large-scale metadata collected from the web-novel platforms *Shōsetsuka ni Narō* and *Kakuyomu*, the study conducts morphological and keyword analyses to trace the linguistic patterns and grammatical combinations of non-human-related expressions. The results reveal that the non-human is not a fixed category but a relational Other defined by human perception and desire. Non-human beings are repeatedly verbalized as devices that supplement human growth, salvation, or deficiency, and their attributes are absorbed into or transformed by anthropocentric narrative logic. The subsequent narrative analysis demonstrates how this linguistic tendency is embodied in actual storylines. Non-human entities function not as peripheral ornaments but as structural centers that shape the direction of narrative worlds. In particular, within *isekai* reincarnation narratives, the inversion of non-human attributes through cliché inversion becomes prominent, appearing in both protagonists and companions depicted as non-human. Furthermore, the game-based systems frequently employed in these works relegate pain and death to the background, converting the suffering of others into resources for the protagonist's growth and transforming morality into a selective value contingent upon purpose or alignment. Ultimately, non-human entities operate as mirrors reflecting human desire and limitation and as narrative mechanisms that expose the boundaries of anthropocentric imagination. By integrating quantitative data analysis with close reading, this study elucidates how contemporary Japanese web novels construct the boundary between human and non-human and reveal the shifting sensibility of ethics within popular digital narratives.

**Keywords:** Japanese web novels; non-human; data-driven analysis; narrative analysis; anthropocentric narrative; ethical sensibility

**Authors:** Yoomin Nam is Lecturer at Korea University's College of Liberal Arts,

specializing in modern and contemporary Japanese literature. Her research focuses on analyzing light novels and Japanese web novels through information technology and interpreting them from social and cultural perspectives (Email: yumin88@korea.ac.kr). **Jaemin Shin** (Corresponding Author) is Research Professor at the Research Institute of Humanities Convergence, Center for Digital Humanities, Korea University, specializing in modern and contemporary Japanese literature and culture. His research focuses on Zainichi Korean literature and cultural movements (Email: reddusk13@korea.ac.kr).

**标题：**日本网络小说中的非人类表征及其伦理意涵：数字人文方法

**内容摘要：**本文以数据分析与文本细读为双重路径，考察日本网络小说如何书写“非人类”存在及其所牵引的伦理议题。研究依托两大平台“小说家になろう”与“カクヨム”的元数据，结合形态素与关键词分析，梳理非人类相关表达在词汇选择、语法搭配与叙事语汇中的出现样态。结果显示，“非人类”并非预设完备的类别，而更像是由人类感知与欲望生成的关系性他者：此类存在反复被书写为补足人类成长、救赎或弥补缺憾的叙事装置，其属性常被人类中心的叙事逻辑吸收、改写，甚至转化为服务“人成长”的功能性资源。在叙事层面，这一语言倾向并不止于修辞，而是直接介入世界结构的搭建。许多作品使非人类角色由边缘走向中枢，进而左右故事世界的运行。尤以异世界转生类型为甚，“叙事俗套的反转”屡见不鲜：非人类特质通过反转与重组，被投射到主人公及其同伴身上，化为可被消费的“优势属性”。与此同时，普遍的游戏化系统处理使痛苦与死亡被弱化为背景变量；他者的苦难被计量为可利用的经验值或资源，道德判断亦更易随目的、立场与阵营发生选择性滑移。由此可见，非人类既是映照人类欲望与局限的镜像，也是暴露人类中心想象边界的叙事机制。通过量化分析与细读的并置，本文旨在揭示当代日本网络小说在“人/非人”边界建构上的结构性倾向，并勾勒流行数字叙事中伦理感受性的变动轨迹。

**关键词：**日本网络小说；非人类；数据驱动分析；叙事分析；人类中心叙事；伦理感受性

**作者简介：**南有珉，韩国高丽大学文学院讲师，研究方向为日本近现代文学；申宰旼，韩国高丽大学人文融合研究院数字人文中心研究教授，研究方向为日本近现代文学与文化。

## Introduction

Since the early 2000s, the term “web novel” has been used for fiction published on online platforms by their users. In Japan, such platforms have evolved into open

spaces that allow anyone to create and share stories with minimal involvement from professional writers or publishers, allowing anonymous writers to transform their imaginations into narrative form, producing distinctive grammars and conventions that require a specific kind of community literacy. As web novels value shared emotion and real-time interaction with readers above literary refinement, they function as collective archives of contemporary Japanese imagination.

One of the most remarkable features of such works is the frequent appearance of nonhuman beings. These entities serve not merely as fantasy devices but as core components in the construction of fictional worlds. Although this tendency partly reflects the predominance of the fantasy genre, its repetition reflects underlying collective structures of thought and emotion. Representations of the nonhuman thus offer insight into how contemporary Japanese society imagines—and senses—what it means to be human.

Web-novel platforms in particular constitute a new-media ecosystem in which writers and readers constantly interact. Within these novels, nonhuman beings appear in multiple contexts, shifting and recurring in ways that reveal certain narrative tendencies. Their modes of representation therefore go beyond idiosyncrasies of individual creative taste to offer insight into the community's collective structures of perception.

Accordingly, this study employs metadata collected through text-mining methods focused on the keywords and titles of major web-novel platforms to analyze how nonhuman entities are positioned and represented within the narratives of Japanese web novels and identify the narrative regularities and expressive patterns that characterize the representation of the nonhuman. Through this analysis, it seeks to explore how narratives involving the nonhuman articulate dimensions of humanity and reflect the structures through which contemporary Japanese readers perceive the Other.

To explore narratives that feature nonhuman entities throughout the corpus of Japanese web novels, this study collected and analyzed data using Python. Metadata were obtained from two major platforms, *Shōsetsuka ni Narō* (小説家になろう) and *Kakuyomu* (カクヨム), covering works published up to July 2025. After removing duplicates from the combined dataset, the 500 most frequently occurring keywords were extracted, 20 of which<sup>1</sup> were identified as referring to nonhuman beings. Works containing at least one of these keywords were then selected, yielding

---

1 demon lord (魔王), inhuman being (人外), artificial intelligence (人工知能), robot (ロボット), yokai (妖怪), monster (怪獣), god (神), devil (悪魔), witch (魔女), dragon (ドラゴン), angel (天使), monster (モンスター), vampire (吸血鬼), android (アンドロイド), spirit (精霊), fiend (魔物), elf (エルフ), magician (魔法使い), beastman (獣人), fairy (妖精).

a dataset of approximately 160,000 web novels in which nonhuman entities appear.

Next, to examine the linguistic characteristics found in the actual titles, morphological analysis was conducted on the titles of the works in the dataset and noun frequencies were calculated. The analysis used libraries like pandas and MeCab, which also served to verify lexical consistency between the keywords and the titles. In general, keywords are metadata that authors register to help readers find works aligned with their preferences. Thus, while a common noun like *monster* (怪獣) may appear as a keyword, it could be replaced by other expressions or metaphors in the title.

However, the analysis revealed little difference between the two. The 20 most frequent nonhuman nouns in titles were *demon lord* (魔王), *witch* (魔女), *devil* (悪魔), *god* (神様), *goddess* (女神), *angel* (天使), *dragon* (ドラゴン), *vampire* (吸血鬼), *spirit* (精霊), *god of death* (死神), *elf* (エルフ), *fiend* (魔物), *fairy* (妖精), *magician* (魔法使い), *yokai* (妖怪), *AI*, *monster* (モンスター), *robot* (ロボット), *sorcerer* (魔術師), and *magical girl* (魔法少女). This close correspondence in words for nonhuman entities between the keyword metadata and the titles themselves confirms the reliability of the dataset constructed from keyword-based extraction, reflecting the fact that unlike traditional literary works, the titles of web novels tend to explicitly reveal key narrative information. Because the works on these platforms are largely composed by amateur writers, the title is crucial to attract readers and often includes direct references to relationships, worldviews, or main settings. Thus, as the titles generally function not merely as labels but as narrative clues, they constitute an essential dataset for analyzing how nonhuman beings are represented.

To examine the linguistic position that each nonhuman entity occupies within the narrative, the dataset was subjected to a morphological analysis focusing on the particles that follow nonhuman nouns and the verbs. In Japanese, the particles *wa* (は, topic marker) and *ga* (が, subject marker) indicate the grammatical subject of a sentence, while *wo* (を, object marker) denotes the object of an action. The particle *no* (の, genitive/attributive marker), although contextually versatile—signifying possession, attribute, or agency—was interpreted as expressing an attributive relationship of the nonhuman entity, with the following noun taken as the focus of analysis.

This approach allowed us to linguistically trace what kinds of beings nonhuman entities are within Japanese web novels, and, by analyzing how they are represented, to explore the collective sensibilities and ethical imagination through which particular roles are ascribed to nonhuman beings in contemporary Japan.

The corpus analysis establishes where nonhuman entities sit in language—

who acts, who is acted upon, and what kinds of attributes cluster around them. Close readings then show how these positions become narrative mechanisms. Role reversals turn demon lords, witches, and gods into sympathetic centers, while the same logic shapes companions and heroines. Game-like systems further compress ethical weight by making harm calculable, by softening the finality of death, and by letting morality hinge on alignment, utility, and progress.

### Data-driven Analysis of Nonhuman Representation in Japanese Web Novels

This study employed the Japanese morphological analyzer MeCab to examine how each nonhuman noun in the constructed dataset functions within sentences. Specifically, the combinations of nonhuman nouns with grammatical particles were extracted and categorized into three types: *no* ( の ), *wa/ga* ( は ・ が ), and *wo* ( を ), whose frequency and proportional distribution were then calculated. In this analysis, *no* ( の ) generally denotes an attributive or relational connection, *wa/ga* ( は ・ が ) the grammatical subject or topic, and *wo* ( を ) the object of an action. These functional distinctions allow us to clarify how nonhuman entities operate as agents, attributes, or objects within narrative syntax. The table below summarizes the frequency with which each of the 10 most prominent nonhuman entities appeared in combination with these particles.

noun	の (attributive)	は ・ が (agentive)	を (object)	total
demon lord (魔王)	2203 (49.5%)	1306 (29.3%)	945 (21.2%)	4454
witch (魔女)	845 (60.4%)	487 (34.8%)	66 (4.7%)	1398
god (神様)	522 (56.7%)	361 (39.2%)	37 (4.0%)	920
demon (悪魔)	550 (64.9%)	210 (24.8%)	87 (10.3%)	847
angel (天使)	408 (58.6%)	245 (35.2%)	43 (6.2%)	696
goddess (女神)	421 (64.4%)	187 (28.6%)	46 (7.0%)	654
vampire (吸血鬼)	304 (59.6%)	178 (34.9%)	28 (5.5%)	510
dragon (ドラゴン)	254 (59.1%)	108 (25.1%)	68 (15.8%)	430
god of death (死神)	265 (65.4%)	127 (31.4%)	13 (3.2%)	405
spirit (精霊)	236 (74.2%)	60 (18.9%)	22 (6.9%)	318

Overall, the combinations with *no* ( の ) had the highest proportion, accounting for more than 60% on average, followed by the agentive combination (*wa/ga*, は ・ が) at around 30% and the object combination (*wo*, を) at less than 10%. In Japanese web novels, nonhuman entities are overwhelmingly invoked through attributive relationships, such as “the power of ~” or “the world of ~,” suggesting that they primarily function as structural components of the fictional world rather than as

independent agents.

Meanwhile, a considerable portion of sentences featured *wa/ga*-combinations, in which nonhuman entities appeared as narrative agents. In particular, the proportions of agentive *witch* (魔女), *god* (神様), *angel* (天使), and *vampire* (吸血鬼) exceeded 30%, implying that these beings often act as central figures driving the narrative rather than remaining in the background.

In contrast, the *wo* (を) combination made up less than 10% of the cases for most entities, though *demon lord* (魔王), *dragon* (ドラゴン), and *demon* (悪魔) exceeded this threshold. These entities are often defined through relations of confrontation or opposition, functioning as others who are acted upon, resisted, or symbolically contested within the story world.

### Combination with *no* (の): Attributive Relation

To examine the overall tendency of *no*-combinations in greater detail, a clustering analysis was performed based on the semantic similarities between nonhuman nouns and the nouns that follow *no* to identify the most frequent attributes or conceptual associations of each nonhuman entity within the text. For each nonhuman entity, three high-frequency clusters of nouns appearing after *no* were extracted, and the most frequently occurring nouns within each cluster were also identified.

noun	Cluster 1	Cluster 2	Cluster 3
demon lord (魔王)	another world (異世界), world (世界)	bride (嫁), wife (妻), bride (花嫁)	daughter (娘), son (息 子)
witch (魔女)	origin (もと), power (力)	bride (花嫁)	curse (呪い), disciple (弟子)
demon (悪魔)	strongest (最強), power (力)	king (王)	blood (血)
god (神様)	mistake (手違い), error (間違い), miss (ミス)	work (仕事)	another world (異世界), story (物語)
goddess (女神)	another world (異世界), world (世界)	divine blessing (加護), reincarnation (転生)	mistake (手違い), fault (せい), miss (ミス)
angel (天使)	like (~よう)	wings (羽), wings (翼), arrow (矢)	another world (異世界), story (物語)

dragon (ドラゴン)	king (王), magic power (魔力)	child (子), daughter (娘), baby (赤ちゃん)	egg (卵), bride (花嫁), meat (肉)
vampire (吸血鬼)	another world (異世界), true ancestor (真祖), king (王)	girl (少女), princess (姫), daughter (娘)	bride (花嫁), I (私)
spirit (精霊)	child (子), children (子供)	beloved child (愛し子), divine blessing (加護)	spring (泉), forest (森)
god of death (死神)	wish (願い事)	love (恋)	work (仕事), job (お仕事)

This analysis clarified how nonhuman entities are represented within web-novel narratives. *Demon lord* (魔王) is associated with nouns like *world* (世界), *bride* (花嫁), and *child* (子), suggesting that it is portrayed as standing at the apex of its world while simultaneously embodying familial qualities. *Witch* (魔女), on the other hand, frequently co-occurs with words like *origin* (もと), *power* (力), *curse* (呪い), and *disciple* (弟子) that represent her as a source of knowledge and magic, or as one who transmits and exercises such abilities.

An especially notable pattern appears in the clusters related to *god* (神様) and *goddess* (女神), which include terms like *mistake* (手違い), *error* (間違い), and *miss* (ミス). This indicates that divine beings—typically imagined as absolute—are frequently reinterpreted within web novels as imperfect and fallible. Similarly, *god of death* (死神) is often linked with words like *work* (仕事) and *job* (お仕事), suggesting that it is reimagined in the image of a laborer performing a professional duty. These findings imply that nonhuman entities in Japanese web novels are not merely portrayed as transcendent beings but are increasingly endowed with human attributes such as family, labor, and error—reflecting a humanization of the nonhuman within the contemporary popular imagination.

### Combination with *wa/ga* (は・が): Representation as Agent

In the next stage, the verbs that co-occur with *wa/ga* (は・が) were analyzed to identify the kinds of actions that nonhuman entities perform when they appear as agents. Because verbs are more highly context-dependent than nouns, automatic clustering was difficult. Thus, the most frequent verbs were extracted and manually grouped by semantic similarity, allowing the main types of actions performed by each nonhuman entity within the narratives to be identified.

Noun	Cluster 1	Cluster 2	Cluster 3
demon lord	exist (いる), appear (現れる), revive (蘇る)	defeat (倒す), fight (戦う), attack (攻める)	die (死ぬ), cry (泣く), love (愛する)
witch	exist (いる), live (住む), be born (生まれる)	cry (泣く), laugh (笑う), love (愛す)	escape (逃げる), pick up (拾う), work (働く)
devil	come (来る), approach (やってくる), emerge (出る)	laugh (笑う), smile (笑む), know (知る)	die (死ぬ), aim (狙う), kill (殺す)
god	exist (いる), see (見る), be seen (見える)	give (くれる), help (助ける), say (言う)	die (死ぬ), appear (現れる), disappear (消える)
goddess	smile (笑む), love (愛す), give (与える)	appear (現れる), descend (舞い降りる), announce (告げる)	forgive (許す), work (働く), live (住む)
angel	descend (舞い降りる), come down (降りる), appear (現れる)	laugh (笑う), love (愛す), smile (笑む)	help (助ける), guide (導く), teach (教える)
dragon	exist (いる), live (住む), come (来る)	cry (泣く), suffer (病む), laugh (笑う)	burn (焼く), break (砕ける), fly (飛ぶ)
vampire	die (死ぬ), survive (生き抜く), end (終わる)	steal (奪う), begin (始める), destroy (滅ぼす)	laugh (笑える), entertain (もてなす), send (送る)
spirit	dwell (宿る), exist (いる), be seen (見える)	laugh (笑う), sing (うたう), be silent (黙る)	imprison (閉じ込める), attach (つく), gather (集う)
god of death	die (死ぬ), approach (やってくる), live (生きる)	see (見る), think (思う), become transparent (透き通る)	bestow (施す), take charge (預かる), protect (守る)

The actions performed by nonhuman entities as agents can be broadly classified into three categories. First, *exist* (いる) appears universally across almost all entities, indicating that nonhuman beings are represented as active, existing agents within the narrative world. Second, the frequent occurrence of *die* (死ぬ) suggests that these beings are portrayed not as immortal absolutes but as entities with finite lives. Third, emotional verbs like *laugh* (笑う), *cry* (泣く), and *love* (愛す) appear frequently, showing that nonhuman entities are reconfigured as subjects of emotion. In addition, verbs of giving and forgiveness like *give* (くれる), *help* (助ける), and *forgive* (許す) are often found in relation to gods and goddesses, while verbs like *bestow* (施す) and *protect* (守る) used with the god of death point to a moral or labor-oriented dimension. These findings indicate that divinity in Japanese web novels is less about transcendent authority and more about human ethical

sentiment and the ethics of labor. In short, nonhuman agents in web novels are not absolute beings, but humanized powers that perform emotions and participate in the world.

### Analysis of the Particle *wo* ( を ): Representation as Objects

In contrast to the previous section, which examined how nonhuman entities act as agents, this section analyzes how they function as objects of action. To this end, clauses in which each nonhuman noun is followed by *wo* ( を ) were extracted, and the following verbs were analyzed in the same way as that used in the *walga* ( は・が ) analysis: Verbs were separated through morphological parsing, ranked by frequency, and interpreted based on the most frequent items.

The particle *wo* ( を ) functions as an accusative marker, that is, it indicates the target or direct object of an action. Therefore, this analysis aims to identify what kinds of actions are directed toward nonhuman entities and in what relational contexts they are situated. In other words, by examining the passivity of objects in contrast to the agency of subjects, this section explores how nonhuman entities are represented and othered within the narrative.

Noun	Cluster 1	Cluster 2	Cluster 3
demon lord	defeat ( 倒す ), kill ( 殺す ), slay ( 討つ )	capture ( 捕まえる ), seal ( 封じる ), control ( 操る )	save ( 救う ), help ( 助ける ), protect ( 守る )
witch	defeat ( 倒す ), kill ( 殺す ), slay ( 討つ )	help ( 助ける ), protect ( 守る ), save ( 救う )	search ( 探す ), aim at ( 狙う ), pursue ( 目指す )
devil	summon ( 呼び出す ), subjugate ( 従える ), accompany ( 添える )	kill ( 殺す ), destroy ( 滅ぼす ), defeat ( 倒す )	love ( 愛す ), forgive ( 許す )
god	defeat ( 倒す ), beat to death ( ぶっ殺す ), drive away ( 追い返す )	aim for ( 目指す ), search ( 探す )	quit ( やめる ), give up ( 諦める ), be troubled ( 困る )
goddess	kill ( 殺す ), strike ( ぶん殴る ), defeat ( 倒す )	help ( 助ける ), save ( 救う ), protect ( 守る )	use ( 使う ), seize ( 乗っ取る )
angel	kill ( 殺す ), kick ( 蹴る ), hit ( 殴る )	help ( 助ける ), keep ( 飼う )	embrace ( 抱く ), console ( 慰める )
dragon	defeat ( 倒す ), hunt ( 狩る ), kill ( 殺す )	pick up ( 拾う ), raise ( 育てる ), take along ( 連れてる )	help ( 助ける ), desire ( 求める ), love ( 愛す )

vampire	can defeat ( 倒せる ), kill ( 殺す ), target ( 狙う )	help ( 助ける ), protect ( 守る )	visit ( 訪ねる )
spirit	save ( 救う ), revive ( 蘇る )	capture ( 捕まえる )	adore ( 愛でる ), lure ( 釣る )
god of death	call ( 呼ぶ ), declare name ( 名乗る )	cut ( 斬る ), strike ( 殴る ), defeat ( 討ち取る )	dwell ( 宿す ), employ ( 雇う )

The *wo* ( を ) analysis found that nonhuman entities were consistently represented as objects directly acted upon by human agents—that is, as projections of human desire and emotion. Powerful beings such as demon lords, devils, and dragons frequently co-occur with verbs like *defeat* ( 倒す ), *kill* ( 殺す ), and *slay* ( 討つ ), functioning as “others to be challenged and overcome.”

In contrast, entities such as witches, goddesses, and angels often appear with emotional verbs like *help* ( 助ける ), *protect* ( 守る ), and *save* ( 救う ), positioning them as relational beings that share human feelings. The fact that such beings are predominantly characterized by “feminine attributes” suggests that even narratives dealing with the nonhuman are created and consumed within a male-centered narrative framework.

Furthermore, spirits and dragons appear with verbs such as *capture* ( 捕まえる ), *take along* ( 連れる ), and *raise* ( 育てる ), while the god of death is paired with verbs like *employ* ( 雇う ), indicating that transcendent beings are often depicted as possessions or laboring agents serving others.

In this way, the *wo* ( を ) constructions reveal how nonhuman entities are represented as instrumental beings that sustain human desire and order in a transformation of the nonhuman from a transcendent other into a “functional apparatus for the human” within the imaginative landscape of web novels.

These analyses indicate that nonhuman entities are not fixed concepts but are defined through their relationships with humans, functioning as relational others shaped by human perception and desire. In Japanese web novels, these beings tend to appear as imaginative others—figures invoked to expand humans’ self-awareness or redefine their world. By confirming these tendencies through large-scale corpus analyses, this study illustrates how nonhuman entities are linguistically constructed and imbued with meaning within anthropocentric narrative frameworks. The following section examines how such linguistic representations are embodied in actual storylines and the kinds of ethical issues that they raise.

### Representation of the Nonhuman and Its Ethical Implications

This section examines how nonhuman entities and their associated ethical

dimensions are portrayed in actual works. To this end, 30 titles<sup>1</sup> were selected from among the top 100 in the overall rankings of the Japanese web-novel platforms *Shōsetsuka ni Narō* and *Kakuyomu*, focusing on those whose titles or tags explicitly contain nonhuman elements. This selection was made to identify works in which nonhuman beings or motifs function not merely as peripheral elements in the background or as elements consumed in isolated episodes, but as core components that directly influence the composition and development of the narrative as a whole.

### Representation of the Nonhuman

Across the 30 selected works, nonhuman entities appear in a wide variety of roles: as protagonists, allies, secondary characters, tools for personal growth, or adversaries or objects of vengeance to be defeated. When the nonhuman is the central subject, it most often is portrayed as embodying a capacity that transcends human limitations or serving as a framework for alternative forms of growth.

In *The Unwanted Undead Adventurer*, the protagonist Rentt is a professional adventurer who makes a living by exploring dungeons and slaying monsters, yet he remains confined to the lower levels, unable to break through his growth ceiling. After being attacked and devoured by a dragon, he is reborn as a monster and gains

---

1 〈Kakuyomu〉「誰にでもできる影から助ける魔王討伐」, 「怠惰な悪辱貴族に転生した俺、シナリオをぶっ壊したら規格外の魔力で最凶になった」, 「禁断師弟でブレイクスルー～勇者の息子が魔王の弟子で何が悪い～」, 「伝説に残らなかった大賢者」, 「俺は勇者に向けていない～主人公を譲ってあげたら世界が滅亡しかけてるんだが～」, 「極振り拒否して手探りスタート! 特化しないヒーラー、仲間と別れて旅に出る」, 「怠惰の王子は祖国を捨てる～氷の魔神の凍争記～」, 「デーモンルーラー～定時に帰りたい男のやりすぎレベリング～」, 「宮廷魔導師見習いを辞めて、魔法アイテム職人になります」, 「能ある龍は爪を隠す～無能と罵られた男爵家長男、実は世界最強の一角につき～」, 「金属スライムを倒しまくった俺が【黒鋼の王】と呼ばれるまで」 11 works in total. 〈Shōsetsuka ni Narō〉「転生したらスライムだった件」, 「ありふれた職業で世界最強」, 「ヘルモード～やり込み好きのゲーマーは廃設定の異世界で無双する～」, 「蜘蛛ですが、なにか?」, 「異世界のんびり農家」, 「神達に拾われた男」, 「ハズレ枠の【状態異常スキル】で最強になった俺がすべてを蹂躪するまで」, 「望まぬ不死の冒険者」, 「転生したら剣でした」, 「サイレント・ウィッチ」, 「愛さないといわれましても～元魔王の伯爵令嬢は生真面目軍人に餌付けをされて幸せになる～」, 「魔女と傭兵」, 「Knight's & Magic」, 「魔王学院の不適合格者～史上最強の魔王の始祖、転生して子孫たちの学校へ通う～」, 「魔王と勇者の戦いの裏で～ゲーム世界に転生したけど友人の勇者が魔王討伐に旅立ったあとの国内お留守番～」, 「信者ゼロの女神サマと始める異世界攻略」, 「ライブダンジョン!」, 「難攻不落の魔王城へようこそ～デバフは不要と勇者パーティーを追い出された黒魔導師、魔王軍の最高幹部に迎えられる～」, 「魔王様の街づくり! ～最強のダンジョンは近代都市～」 19 works in total.

strength through a process called “existential evolution” in which he evolves step by step from skeleton to ghoul, wight, and finally vampire.

These structures illustrate how the conventions of the *isekai* reincarnation genre are realized through the narrative device of nonhuman entities. In most *isekai* narratives, reincarnation or transference is accompanied by the acquisition of extraordinary abilities. In the novels discussed above, the use of a nonhuman as protagonist serves to subtly subvert or modify standard *isekai* clichés, diversifying the modes of growth<sup>1</sup> and creating new forms of conflict—such as discrimination by human societies—through abilities unattainable by humans.

This use of nonhuman entities as a narrative mechanism often manifests in what may be termed “cliché inversion.” This tendency is most prominent in stories where the demon lord (*maō*) appears not as an antagonist but as a protagonist, companion, or ally.

Traditionally, the demon lord represents overwhelming power and embodies the principle of evil—an adversary to the hero, a harbinger of war, and a figure intent on conquest or destruction. However, these traits are largely diluted when the demon lord is the protagonist or central figure, and the character’s personality is reconstructed around the consciousness of a reincarnated or transferred human self.

In *Creating a City for the Demon King!*, the protagonist, though a demon lord sustained by human despair, seeks to establish a city built upon coexistence with humankind. Similarly, in *The Misfit of Demon King Academy: History’s Strongest Demon King Reincarnates and Goes to School with His Descendants*, the desire and efforts of the protagonist Anos, despite being a demon lord, to achieve world peace form the moral and narrative center of the work. The same holds true for *Silent Witch*, whose protagonist Monica is portrayed not as a malevolent sorceress but as a timid young girl with extraordinary magical abilities and a compassionate heart. Her identity as a witch does not mark her as a source of fear or corruption but as an emblem of warmth and emotional depth.

In these cases, nonhuman identity becomes a vehicle for humanization—a means of reversing the polarity between the monstrous and the moral. What was once defined as the domain of evil or otherness is reimagined as a site of empathy, virtue, and ethical reflection, revealing a broader transformation in how contemporary web novels negotiate the boundaries between the human and the

---

1 In *In That Time I Got Reincarnated as a Slime and So I’m a Spider, So What?*, Rimuru and White exploit their inherent characteristics as monsters to devour their opponents and grow stronger, while in *The Unwanted Undead Adventurer*, Rentt takes advantage of his undead nature—being immune to poison—to conquer monsters that would normally be impossible to defeat alone.

nonhuman.

This narrative tendency is also evident in the depictions of nonhuman entities who appear as companions or supporting figures. In *Creating a City for the Demon King!*, for instance, one central supporting character is a beast-type demon lord who functions as a maternal figure and the main heroine, actively aiding the protagonist while showing no interest in conquest or destruction. Other demon lords portrayed in the same work are similarly depicted as benevolent and protective beings who cherish and care for their subordinates.

A comparable pattern is found in *I Quit My Apprenticeship as a Court Mage and Became a Magic Item Craftsman*, where the demon lord Belial appears not as an adversary but as a protective ally who assists the protagonist in times of crisis. In *So I'm a Spider, So What?*, the demon lord Ariel<sup>1</sup> is portrayed as the protagonist White's closest friend and comrade. Likewise, in *A Breakthrough Brought by Forbidden Master and Disciple*, Tre'ainar, a demon lord, becomes both mentor and spiritual guide to Earth, the hero's son. Although Tre'ainar was once sealed away by Earth's father—the legendary hero—for being a “great demon lord,” the story later reveals that her invasion of the human world stemmed not from malice but from curiosity and goodwill.

This “cliché inversion” also extends to the representation of divine beings. Gods are depicted in these narratives not as flawless omnipotent entities but as emotional, fallible figures who experience failure and struggle to make amends. They may pity reincarnated protagonists and bestow upon them divine powers<sup>2</sup>, or conversely, abandon those whose abilities disappoint them, thereby becoming objects of resentment and revenge.<sup>3</sup> At times, they observe the protagonist's journey for amusement<sup>4</sup>, and in other cases, they relinquish their divinity entirely to live among humans—occasionally even taking the role of a heroine.<sup>5</sup>

This subversion is not limited to the representation of gods. In *So I'm a Spider*,

---

1 In the story, the demon lord Ariel despises humans and wages war against them; however, this is because the cause of the world's destruction lies with humanity itself. She is herself portrayed as a savior who rescues vampires oppressed by humans and as an ally who joins forces with the protagonist to defeat the true mastermind, Potimas, and save the world.

2 Farming Life in Another World, By the Grace of the Gods, and Hell Mode: Gamer Who Loves Grinding Becomes Unmatched in a Trash Setting, etc.

3 Failure Frame: I Became the Strongest and Annihilated Everything with Low-Level Spells.

4 *So I'm a Spider, So What?* and *Creating a City for the Demon King!*—however, the gods depicted in these works are portrayed as nearly omnipotent beings who often function as a kind of *deus ex machina* to instantaneously resolve the narrative's conflicts.

5 Full Clearing Another World under a Goddess with Zero Believers.

*So What?*, the cyborg elf Potimas appears as the true antagonist who brings about the world's destruction in pursuit of divinity, triggering the reincarnation of White and her classmates. In *Creating a City for the Demon King!*, the protagonist's subordinates include a sadistic elf who delights in slaughter and a skeleton who also serves as a strategist and advisor.

The inversion of these archetypes is taken even further in *The Impregnable Demon King's Castle*. Like *Live Dungeon!*, this work features dungeon conquests that are broadcast in real time, transforming battles into a spectacle of entertainment directly tied to social status, fame, and profit. Dungeon raids by heroes are no longer acts of self-sacrifice or missions to protect the world, and a demon lord's defeat is no longer a symbol of destruction or domination.

An intriguing pattern in many of these nonhuman configurations is that they serve primarily to enhance the individuality, narrative significance, and emotional appeal of the heroines who accompany the protagonist. Together, these heroines construct what may be described as an *isekai* harem—a narrative space in which numerous heroines coexist within an alternate world centered around the protagonist.

Within this structure, each heroine must be distinguished through unique visual and narrative traits, a function that the motif of the nonhuman performs quite effectively. In *Farming Life in Another World*, for instance, the heroines include elves, vampires, dragons, and angels. In *Creating a City for the Demon King!*, the three main heroines are a fox beastwoman, a dwarf, and an elf. These nonhuman traits—silver hair, long ears, tails, and other distinct features—highlight physical allure while also justifying the heroines' extraordinary strength and capacity to act as the protagonist's equal or companion. Moreover, her nonhuman identity frequently affords each heroine an independent backstory that enriches the broader narrative world.

Typically, these heroines possess abilities that complement the protagonist's shortcomings in combat, magic, knowledge, or survival. In many works, elves assist through spirit magic or their affinity with nature; vampires and beastkin excel in battle; and dwarves contribute through mechanical or blacksmithing expertise. As the heroines accompany the protagonist on his journey, their skills evolve in tandem, strengthening the protagonist's development and the narrative itself.

At the same time, the nonhuman attributes of each heroine often serve as the foundation for independent storylines that reinforce emotional intimacy with the protagonist. In *Witch and the Mercenary*, the heroine Saoirse lives as a persecuted

witch<sup>1</sup> on a continent where magic has disappeared. The mercenary protagonist, Zig, empathizes with her plight—seeing in her his own marginalization—and accepts her request for protection as they travel together. In *The Impregnable Demon King's Castle*, the heroine Camilla is attacked by humans because she is a vampire, only to be rescued by the protagonist. Her gratitude soon deepens into affection, and she eventually recruits him into the demon lord's ranks. Such structures not only strengthen emotional bonds between hero and heroine but also demonstrate how the nonhuman motif is actively employed as a narrative mechanism to generate central storylines.

Taken together, these observations reveal that nonhuman entities in web novels are not peripheral decorations or fantastical backdrops but central narrative agents that determine the thematic direction and moral tone of the work. When depicted as protagonists, they embody capabilities and paths of growth inaccessible to ordinary humans, thereby reinterpreting the grammar of the *isekai* genre. This inversion of conventional roles transforms the demon lord into a figure of creation, peace, and coexistence, while reimagining the divine as emotional and imperfect. Similarly, nonhuman allies and companions mirror the same logic: They differentiate the heroines' individuality, deepen affective relationships with the protagonist, and sustain the architecture of growth and storytelling itself.

### **The Nonhuman and the Ethics of Web Novels**

How then is the ethical dimension of the nonhuman depicted in actual works?

To address this question, we must first consider the game-based systems that are particularly prominent in *isekai* reincarnation narratives. In many of these works, the world operates under a visible system revealed by a god or some unknown higher being through which one can identify numerical attributes such as level, occupation, skills, or current health and stamina. This system typically endows the protagonist with a special ability unique to himself that he uses to grow, survive, and advance the storyline.

However, once the elements of health points (HP), magic points (MP), levels, occupations, and skills are rendered visible through such a system, the protagonist begins to perceive reality itself as a game. When an opponent's strength can be numerically confirmed through level and skill, the protagonist calculates whether to evade or fight, determines strategies based on the opponent's traits, and monitors

---

1 In the story, witches are portrayed as a distinct race, and it is said that humans instinctively feel aversion or fear upon encountering them. However, magic still exists in the continent to which Saoirse and Zig relocate, and thus persecution against witches is notably absent.

personal crises by checking remaining HP or MP.

Through this structure, moments of extreme danger or suffering gradually lose their gravity through dilution by the logic of gameplay. This process is accelerated through mechanisms such as perfect recovery upon leveling up or by consuming restorative items. In *So I'm a Spider, So What?*, for example, the protagonist White does not fear losing limbs or being burned, reasoning that she will simply heal after gaining a level.<sup>1</sup> In *Hell Mode: Gamer Who Loves Grinding Becomes Unmatched in a Trash Setting*, the protagonist Allen repeatedly overcomes otherwise fatal crises with the aid of recovery items. Consequently, death and pain recede into the background of the growth narrative; as these patterns repeat, such experiences are no longer perceived as irreversible but as obstacles that can always be overcome.

Moreover, this attenuation of death and pain is not confined to the protagonist; it extends to other characters, producing a profound ethical void. In *The Impregnable Demon King's Castle*, for instance, the protagonist casually severs the arm of a former comrade who invades the demon lord's domain or commands monsters to kill without hesitation.<sup>2</sup> In *So I'm a Spider, So What?*, despite retaining memories of her human life, the protagonist regards the massacre of humans who trespass into her territory as entirely justified.

Through such portrayals, beings who stand in opposition to the protagonist—whether human or monster—are gradually reduced to instruments of growth. The lives of others are translated into quantifiable experience points, their deaths absorbed into the mechanics of the system. As the protagonist's development becomes the central axis of the narrative, others are objectified and their suffering erased.

This utilitarian logic is even more pronounced in *Hell Mode*, where the protagonist Allen, a summoner capable of commanding numerous familiars, pursues “efficient” combat by repeatedly sacrificing and resummoning his familiars as disposable resources.<sup>3</sup> Similar events occur in *Creating a City for the Demon King!*, where the protagonist, able to reverse time, slaughters the subordinates of the demon

---

1 In this work, there exists a system that allows the protagonist, White, to predict when she will level up based on the amount of experience gained. By timing her level-ups precisely, she restores her health at critical moments and continues to grow by resetting crises through this recovery mechanism.

2 Of course, as in *Live Dungeon!*, resurrection is a premise built into the work; however, since pain is not entirely absent from the process, the narrative does not avoid ethical concerns.

3 It is established in the story that when a summoned creature dies and is later resummoned, it inherits the memories of its previous incarnation; however, this does not in any way signify a true resurrection.

lord who will later become his ally, justifying the act as a temporary reset. He also shows little emotional response to the deaths of his own skeleton minions.

This ethical erosion intensifies when combined with the “ease of killing” facilitated by game systems. In works like *Failure Frame: I Became the Strongest and Annihilated Everything with Low-Level Spells and Hell Mode*, which employ game mechanics as major narrative devices, characters acquire abilities effortlessly and eliminate enemies by uttering activation words or merely willing them to die. Such indirect, automated acts of violence without physical contact reduce the moral burden of ethical decision-making. By allowing protagonists to “solve” problems without dirtying their own hands, the system effectively neutralizes moral hesitation as killing becomes routine and emotionally sanitized.

At the same time, while game-based systems contribute to the dilution of pain and death, another major cause of ethical collapse lies in the selective application of morality itself. In many web novels, ethics are not treated as absolute principles but as values that can be invoked or ignored as convenient. Protagonists frequently adjust their moral judgments according to whether a target is classified as friend or foe—or, more pragmatically, whether that target obstructs their objectives.

In *Failure Frame: I Became the Strongest and Annihilated Everything with Low-Level Spells*, the protagonist Mimori exploits his abnormal status skills—poison, paralysis, and similar abilities—to brutally torture and kill adventurers who once bullied him and experiences catharsis by framing these acts as justified revenge. Facing powerful enemies, he manipulates their emotions to lower their guard and then poisons them, claiming that such actions are natural for the weak, necessary for survival, and therefore morally defensible. Although the narrative provides background explanations like his childhood abuse, classroom ostracism, and experiences of humiliation, nevertheless, within the narrative logic of “revenge” and “growth,” his ethical transgressions are systematically overlooked.

Interestingly, the protagonist’s moral compass operates selectively toward heroines. For women he has only recently met, he disregards his self-interest and risks his life to save them in violation of his own survivalist principles. A similar contradiction appears in *Creating a City for the Demon King!*, where the protagonist Proquel is portrayed as a peace-loving ruler compassionate toward his subordinates. He volunteers to act as bait in battle to minimize casualties, and even when facing enemies far stronger than himself, he fights to protect his comrades. Yet toward those designated as enemies—whether other demon lords, monsters, or humans—he shows no hesitation in resorting to lethal force, employing firearms or even napalm bombs without moral restraint.

In *Witch and the Mercenary*, this moral ambivalence becomes even more extreme. The mercenary Zig, who travels with the witch Saoirse to another continent, encounters his childhood companion Raiel. When Raiel warns him that Saoirse is the witch who killed his family, Zig refuses to abandon his employer and ultimately kills Raiel himself. Saoirse likewise kills or massacres without remorse whenever her objectives demand it. Such selective ethics—governed by personal purpose rather than universal norms—also surface in *Failure Frame: I Became the Strongest and Annihilated Everything with Low-Level Spells and Arifureta: From Commonplace to World's Strongest*, where protagonists rationalize acts of vengeance and domination as expressions of justice.

These examples demonstrate clearly that the game-based system in web novels functions as a mechanism that inevitably relegates pain and death to the background as the suffering of others is absorbed into the logic of growth, converted into “experience points” that propel the hero’s advancement. As a result, morality in these narratives is not an absolute norm but instead a selectively applied value, contingent upon a character’s alignment—ally or enemy—and upon whether others serve or obstruct the protagonist’s purpose.

### Conclusion

This study examined the modes of representation and the ethical implications of nonhuman entities in Japanese web novels. Through large-scale metadata and corpus analysis, this study revealed that the nonhuman is not a fixed category but a relational other defined by human perception and desire. As an “other,” the nonhuman repeatedly functions as a linguistic and narrative medium that supplements human growth, redemption, or deficiency. Nonhuman entities do not exist merely as peripheral or decorative elements outside the story; rather, they constitute essential structures that shape its direction and coherence. Such “cliché inversion” appears not only in depictions of nonhuman protagonists but also in the portrayals of the nonhuman companions and allies of the main character.

Meanwhile, the game-based systems that appear in many of these works inevitably relegate pain and death to the background, generating ethical tension as the deaths of others are subsumed into the protagonist’s growth narrative, in which ethics is transformed from absolute norms into selective values applied according to pragmatic distinctions like “friend or foe” and “obstacle or ally.” This study thus demonstrates that nonhuman entities in Japanese web novels operate as mirrors reflecting the desires and limitations inherent in human-centered imagination.

### Works Cited

Iida, Ichishi. *The Shock of Web Novels: Mechanisms of Net-Origin Hit Contents*. Chikuma Shobo, 2016.

Kakuyomu. Available at: <https://kakuyomu.jp/>. Accessed 1 Oct. 2025.

Kim, Bomin. "Alienation and Heterotopia in Isekai Narratives: Focusing on That Time I Got Reincarnated as a Slime." *Journal of Humanities Content* 64 (2022): 229-251.

Nam, Yomin. "The Study of Japanese Web Novels Using Text Mining: Focusing on 'Shōsetsuka ni Narō' and 'Kakuyomu'." *Border Crossings: The Journal of Japanese-Language Literature Studies* 19 (2024): 139-157.

Ryu, Suyeon. "Web Novels, Comments, and Reading: Storyscaping and the Changing Sense of Reading." *Comparative Korean Studies* 3 (2022): 69-92.

Shōsetsuka ni Narō. Available at: <https://syosetu.com/>. Accessed 1 Oct. 2025.

# The Representation and Overcoming of Human Alienation in Zainichi Korean Literature: Focusing on *The Woman Who Fulled Clothes* and *Tokyo Ueno Station*

So-Jeong Shin & Bo-Hyun Kim

**Abstract:** This paper compares Hoe-sung Lee's *The Woman Who Fulled Clothes* with Miri Yu's *Tokyo Ueno Station* to examine how Zainichi Korean literature represents human alienation and explores the recovery of humanity through the senses. Both works transform structural exclusion into sensory experience. *The Woman Who Fulled Clothes* restores colonial memory through the rhythmic acts of lament and cloth-beating, while *Tokyo Ueno Station* redefines existence through listening amid urban invisibility. By depicting sound, touch, and repetition as sites of ethical response, these texts reveal how sensory practice enables the marginalized to reconnect with the world. This study argues that Zainichi Korean literature articulates an ethics of sensation that resists the mechanized vision of modernity and the dehumanizing logic of the data age.

**Keywords:** Zainichi Korean Literature; *The Woman Who Fulled Clothes*; *Tokyo Ueno Station*; sensory ethics; human alienation

**Authors:** **So-Jeong Shin** (Lead Author) is Research Professor at the Humanities Research Institute of Chosun University (Gwangju 61452, Korea). Shin's research analyzes both representations of Zainichi Koreans in postwar Japanese literature, film, and cultural texts, and the cultural practices produced by Zainichi Koreans themselves (Email: hayarobi83@gmail.com). **Bo-Hyun Kim** (Corresponding Author) is Research Professor at the Humanities Research Institute of Chungnam National University (Daejeon 34134, Korea). Kim's research focuses on the Japanese traditional poetry of Zainichi Koreans (Email: mint1130@nate.com). This work was supported by the Ministry of Education of the Republic of Korea and the National Research Foundation of Korea (NRF-2022S1A5B5A16052218).

**标题:** 在日朝鲜人文学中人的异化之再现与克服：以《捣衣的女人》与《东京上野车站》为中心

**内容摘要:** 本文通过比较李恢成的《捣衣的女人》与柳美里的《东京上野车

站》，旨在探讨在日朝鲜人文学中人类异化的再现机制，并审视通过感官经验重构人性的潜在路径。两部作品均将结构性排斥转化为感官实践：《捣衣的女人》通过哀叹与捣衣的节奏性行为唤醒殖民记忆，而《东京上野车站》则在都市空间的不可见性中，借助“倾听”这一行为重新界定存在方式。本文认为，在日朝鲜人文学由此建构出一种“感官伦理”，以此回应现代性进程中的机械化趋势，并抵抗数据时代所引发的非人化逻辑。

**关键词：**在日朝鲜人文学；《捣衣的女人》；《东京上野车站》；感官伦理；人的异化

**作者简介：**申素政，朝鲜大学人文研究院研究教授，研究方向主要包括日本战后文学、文学与电影等；金宝贤，忠南大学人文研究院研究教授，研究方向主要包括殖民地时期在韩日本人诗歌与散文文学、战后在日韩国人文学等。

## 1. Introduction

Since the advent of modernity, humanity has shifted its focus from God to man, positioning humanism as the core value of modern civilization. Human reason, emotion, and free will have come to be regarded as sources of truth and meaning, and this humanistic worldview has propelled the development of capitalism and liberalism. However, as Marx points out, modern capitalism reduces human labor and life to exchange value, while the logic of industrialization and rationality degrades human beings into machines of efficiency.<sup>1</sup>

As Yuval Harari foresees in *Homo Deus*, Dataism emerges as the ultimate consequence of humanism's internal contradictions. Dataism no longer recognizes human emotion or consciousness as a source of meaning; instead, it reduces life and society to the efficiency of data flow. Through biotechnology and artificial intelligence, this ideology grants godlike power to a small elite, while the majority are relegated to a "useless class" that contributes little to data production, thereby deepening social inequality.<sup>2</sup> If modern capitalism produced the inequality of labor, Dataism produces the inequality of existence.

Both humanism and Dataism originate from the belief that "human beings are at the center," yet paradoxically share the same structure of human alienation that turns individuals into mere components of a system. While modern capitalism reduces human beings to instruments of production and Dataism to units of

1 See Tae-Keon Rhee, "Marx's View of Humanity and the Theory of Human Alienation," *Journal of Ethics Studies* 45 (2009) : 27-28.

2 See Yuval Noah Harari, *Homo Deus: A Brief History of Tomorrow*, translated by Myung-joo Kim, Seoul: Kim Young-sa, 2017, 511-552.

information, these processes, although technologically distinct, lie on a continuum that erodes human dignity and sensory experience. As artificial intelligence replaces human language and emotion and technology automates sensory perception, can literature still serve as a sensory and imaginative medium through which we reflect on and recover the conditions of human life?

One possible answer lies in Zainichi Korean literature, which has long remained on the margins of society. The works of Zainichi writers closely trace how those excluded from the social center establish relationships with the world and recover meaning through memory and sensation.<sup>1</sup> Their literary practice reveals how those marginalized from the centers of nation, technology, and capital respond to the voices of others and strive to exist through living, embodied sensibility within the space of literature. This study moves beyond analyzing memory structures and emotional regulation in postwar Japan to critically examine the reconfiguration of human dignity and ethical relations in an era of accelerating datafication and dehumanization.

Previous studies of Zainichi Korean literature began by attempting to reconstruct its position within the history of modern Japanese literature. These studies expanded their focus to issues such as Korean language writing, postcolonial linguistic conflict, and women's narratives and identities. Subsequent research has further developed the themes of diaspora, publicness, and the ethics of memory, thereby moving beyond the male- and Japanese-language-centered framework of literary history to establish a more multilayered and inclusive field of inquiry.<sup>2</sup> Within this scholarly trajectory, studies on Hoe-sung Lee's *The Woman Who Fulled Clothes* and Miri Yu's *Tokyo Ueno Station* have deepened the exploration of complex identities as Zainichi Koreans, examining issues of language, space, memory, and migration. Detailed discussions of prior scholarship on *The Woman Who Fulled Clothes* and *Tokyo Ueno Station* will be presented in the respective chapters.

1 See Hwan-Gi Kim, "The Historical and Literary Significance of Korean Diaspora Literature," *Showa Bungaku Kenkyu* 84 (2022) : 239-240.

2 See Jeon-hye Im, *The History of Korean Literature in Japan: Until 1945*, Tokyo: Hosei University Press, 1994; Jiro Isogai, *The Transformation and Inheritance of "Zainichi" Literature*, Tokyo: Shinkansha, 2015; Elise Foxworth, "Jeju Massacre, National Allegory and Cultural Revolution in Kim Sok Pom's *Karasu No Shi* (1957)," *Border Crossings: The Journal of Japanese-Language Literature Studies* 1 (2023): 129-157; Young-ho Lee, "An Analysis of Works in *Quarterly Madang*, a Magazine for Korean Residents in Japan," *Border Crossings: The Journal of Japanese-Language Literature Studies* 1 (2017): 60-70. For detailed discussion, see So-Jeong Shin, *A Study of the Narrative of Zainichi Koreans in Japanese Social Conscience Films*, 2021, Korea University, PhD dissertation, 7-9.

Building on the valuable achievements of previous studies, this study seeks to extend the discussion from the perspective of aural-centered sensory ethics. By re-examining Hoe-sung Lee's *The Woman Who Fulled Clothes* (1971) and Miri Yu's *Tokyo Ueno Station* (2014), this study aims to contribute to earlier research, which primarily focused on visual narratives or sociostructural contexts.

In an era when artificial intelligence is increasingly replacing human perception and judgment, the Zainichi Korean literary imagination of relational recovery and sustainability of sensation offers crucial insights into the essence of humanity. This paper comparatively analyzes how the two texts restore the dignity of existence through "sensation" within the colonial and modern structures of alienation. Through this analysis, it reconsiders the problem of human alienation that runs through both modernity and the data society, and explores the ethical imagination of "sensory restoration of the invisible" as envisioned in Zainichi Korean literature.<sup>1</sup>

## 2. Audible History, Invisible Existence in *The Woman Who Fulled Clothes*

### 2.1. "Shinse-taryeong (身世打鈴 =songs of suffering)" and the Ethics of Sensation

Hoe-sung Lee, the first Zainichi Korean writer to receive the Akutagawa Prize, gained recognition for *The Woman Who Fulled Clothes*. Published in 1972, *The Woman Who Fulled Clothes* is structured as a retrospective narrative in which the first-person narrator ("I") recollects the life of his mother, Jang Suri, who endured both the colonial period and the turbulent years following liberation.

Previous scholarship on *The Woman Who Fulled Clothes* has been conducted primarily in Korea and Japan, focusing on themes such as motherhood, national identity, and the spatial experiences of Zainichi Korean women. In contrast to these dominant approaches, some studies have attempted to interpret the work from the father's perspective.<sup>2</sup> Additionally, a strand of research has emerged that foregrounds the musical and auditory dimensions of the text, most notably in the work of Jeong-ae Kim (2003).<sup>3</sup> Kim's study systematically demonstrates how the

1 This paper employs a literary-critical approach that reads ethical relations through sensory experience, see Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 191-192. For a more detailed discussion, see Nie Zhenzhao, *Ethical Literary Criticism*, translated by Kim Soon-jin, Yoon Seok-min and Dae-geun Lim, Seoul: Hankuk University of Foreign Studies Knowledge Publishing Content Center, 2022.

2 See Sang-min Lim, "Life (生) 'out of necessity': KAISEI LEE *A Woman Who Beats a Kinuta*," *Social and Cultural Studies* 19 (2006): 145-156.

3 See Jeong-ae Kim, "The Spread of 'Shin Se Ta Ryong': The Reception of Korean Culture as Seen in Lee Hoe Song's *Kinuta wo Utsu Onna*," *Proceedings of International Conference on Japanese Literature* 26 (2003): 141-162.

song “Shinse Taryeong,” as depicted in the narrative, transcends its original function as a form of lament and comes to circulate within Zainichi Korean society as an artistic form and a newly constituted cultural practice. The study further emphasizes that *The Woman Who Fulled Clothes* itself serves as a crucial medium that catalyzed this transformation, and argues that the literary significance of this role should not be underestimated.<sup>1</sup> This line of inquiry has been extended in subsequent studies, contributing to a broader research trajectory that reexamines the transformation of “Shinse Taryeong” in relation to the reconstruction of Zainichi Korean women’s life histories and the cultivation of ethical sensibility.<sup>2</sup>

Building on these discussions, the present chapter analyzes the auditory and bodily rhythms of “Shinse Taryeong” and the act of cloth fulling, in order to examine how sensory memory participates in the reconstruction of women’s life narratives, and to elucidate the sensory and ethical implications of this process.

The novel opens with the line, “It was on a winter’s day, about ten months before Japan’s long war was finally to end, that Jang Suli passed away” (*The Woman Who Fulled Clothes* 307). This sentence situates the narrative around October 1944 and also foreshadows the story as a retrospective account of Jang Suli’s life. In the work, Jang Suli’s life is evoked through various sensory impressions, of which hearing is the most prominent. *The Woman Who Fulled Clothes* contains no explicit depictions of Jang Suli experience of direct discrimination in Hokkaido or Karafuto. Instead, through the narrator’s childhood recollections, she is portrayed as a mother with strong devotion and endurance who dedicates herself entirely to her child. At the same time, Jang Suli’s life, as recalled through the grandmother’s voice, resonates with profound auditory depth, as shown in the following passage:

The grandmother, like a woman lamenting the dead, sinks into memories of her daughter. As if trying to persuade someone, she begins to recount her daughter’s life—her beloved child’s story—shaking with sobs and striking her knees as she weeps.

It was only later that I came to know such lamentations are what people call Shinse-taryeong, a “song of suffering.” Even now, I can recall its rhythm on

1 See Jeong-ae Kim, “The Spread of ‘Shin Se Ta Ryong’: The Reception of Korean Culture as Seen in Lee Hoe Song’s *Kinuta wo Utsu Onna*,” *Proceedings of International Conference on Japanese Literature* 26 (2003) :162.

2 See Han Jung Lee, “Self-Narratives of Zainichi Korean Women,” *Korean Studies* 40 (2016): 245-276; Bo-hyun Kim, “Transmission and Liberation of ‘Shinse-taryeong’ in Tanka: Focusing on Park Chong-Fua’s Tanka Anthology Shinse-taryeong,” *Japanese Studies* 58 (2022): 83-103.

my lips. There was something mournful in it, like a requiem, like the lonely sound of a reed flute drifting in the air. Yet within that rhythm lay the dignity of a great river's flow, the softness of willow branches swaying in the wind—interwoven with surging anger and resentment, producing a melody found in no written score. (*The Woman Who Fulled Clothes* 318)<sup>1</sup>

The grandmother in this novel mourns her daughter's death like a woman performing a lament and, as if trying to persuade someone, begins recounting the life of her daughter Jang Suli to her grandson, the narrator. Her speech unfolds in the form of *sinse-taryeong*, a blend of tears, lamentation, and bodily gestures. The term *Shinsae-taryeong* originally refers to “words or songs expressing one's misfortunes,”<sup>2</sup> a type of oral folk rhythm characterized by repetitive, chant-like patterns. Emerging from the vernacular language of the people, *Shinsae-taryeong* functions as an oral mode of expression that transforms individual tragedy into a shared rhythm of social emotions.

In Japan, a similar form exists in the expression *mi no ue banashi* (身の上話). The writer Furuyama Komao (古山高麗雄), a native of Sinuiju (新義州), noted in his novel *Shinse-taryeong* (1980) “*Shinse-taryeong* is a Korean word. It seems to mean lamenting one's unfortunate circumstances. I first learned this expression from Hoe-sung Lee's *The Woman Who Fulled Clothes*.”<sup>3</sup> This demonstrates that *Shinsae-taryeong* functions not merely as a language of lamentation, but also as a cultural sign representing the emotional ethos of the Korean people and the lived identity of Zainichi Koreans.

In *The Woman Who Fulled Clothes*, the narrator (“I”) receives the grandmother's *Shinsae-taryeong* as a requiem for the mother. Through this auditory recollection, the novel reconstructs maternal and feminine life history embedded in personal memory. Yet, within the rhythm of that requiem, the tragedies of colonialism and war intersect, revealing the historical scars that surround Jang Suli's life. This sentiment is articulated most vividly articulated in the grandmother's lamentation:

---

1 See Lee Hoe-sung, *The Woman Who Fulled Clothes*, Seoul: Jeongeumsa Publishing, 1972. All references are to this edition and will be cited here after.

2 See Institute of Korean Studies, Korea University, Compilation Office of the Korean Language Dictionary, ed., *Korea University Korean Language Dictionary*, Seoul: Institute of Korean Studies, Korea University, 2009, 560.

3 See Komao Furuyama, *Sinse-taryeong*, Tokyo: Chūō Kōronsha, 1980, 3.

“What is fate, after all? All this happened because our country was ruined. Ah, I must have been possessed by spirits. Why did I ever think of going to that thieving country? Our nation was taken from us, and now even my daughter has been taken... I should have stayed a slash-and-burn farmer instead! Ah, my fate, Suli [...].” (*The Woman Who Fulled Clothes* 319)

*The Woman Who Fulled Clothes* contains words such as “war,” “forced labor,” “blackout drills,” “fire prevention training,” and “the Association for Harmonization,” which implicitly suggest the condition of colonial subjects. However, as noted in the quotation above, this paper focuses not on the direct representation of discrimination, but on the indirect and internalized experiences revealed through the life trajectory of the female subject. This historical context becomes most evident in the grandmother’s lament, the *Shinsae-taryeong*. In this passage, the *Shinsae-taryeong* transcends a mere expression of personal misfortune; it articulates a colonial self-consciousness that perceives the “ruin of the nation” as inseparable from the tragedy of mother and daughter. Moreover, the grandmother’s auditory *Shinsae-taryeong* functions as a device that restores Jang Suli not simply as an individual but also as a historical subject—a colonial woman whose life embodies the silenced realities of her era.

The auditory *Shinsae-taryeong* in *The Woman Who Fulled Clothes* thus serves more than the language of mourning for an individual’s sorrow. It restores the life and sensory experiences of a colonial woman, demonstrating the possibility of making those erased from history audible through the ethics of sensibility. The rhythm of the *Shinsae-taryeong* does not merely express emotion; it vibrates with the pain, alienation, and silenced time of an existence that could not speak, functioning as an ethical act of recovering female subjectivity. The grandmother’s voice—an intertwining of cries, appeals, and bodily rhythms—thus becomes a sonic embodiment of repressed memory, recovering the unheard voices of women from the interstices of the historical narrative.

## 2.2 Memory and Resistance in Invisible Spaces: Reconstructing Sensory Identity

In *The Woman Who Fulled Clothes*, spatial composition operates in multiple layers. Moving beyond the perspective of narrative development, when one views the life trajectory of the protagonist, Jang Suli, her movements trace a path from Joseon → Japan (Hokkaido) → Karafuto → Joseon → and back to Karafuto. Jang Suli spent her life in Joseon until the age of 18, after which she moved to Japan in search of work. She later marries a man she meets at a coal mine and moves to

Karafuto. Approximately ten years later, she visits Joseon with her six-year-old child, the narrator, for about a month. Persuading her parents to accompany her, she returns to Karafuto, where she gives birth to her sixth child and eventually dies. The following passage illustrates this idea.

The mother had promised to return home within three years. Her parents had urged their daughter, who was leaving for Japan to earn a living, to make sure she came back by that time. Yet, even after three years had passed, she did not return. The letter her parents received around that time said that she had met a man at a coal mine and gone with him to Hokkaido. Instead of coming back to her homeland, she had gone further north—to Japan’s northernmost island. Her parents could not even imagine where this “Hokkaido” was. The mere word “north” filled them with dread.

“She ran off with some man from who-knows-where...” the grandmother would curse, resentful of her daughter’s journey to Hokkaido. A few more years passed, and another letter arrived. This time, it said she had gone even farther north, to Japan’s northern tip—Karafuto. Her parents could not picture where this “Karafuto” was. Hearing that it was the farthest north made their hearts sink into darkness. (*The Woman Who Fulled Clothes* 320-321)

The cited passage recounts Jang Suli’s trajectory from Korea to Hokkaido, and finally to Karafuto, as remembered from the perspective of the narrator’s grandparents. For them, the spaces beyond Korea—Hokkaido, and Karafuto—are imagined as remote and unknowable territories. These northern lands, though geographically existent, remain perceptually absent: spaces of the Other that elude visual recognition. Such spatial invisibility exposes the geographical and social distance imposed on colonial Koreans and functions as a narrative mechanism that articulates the ontological anxiety of Koreans residing in Japan.

Eventually, Jang Suli persuades the narrator’s grandparents to migrate to Karafuto. This narrative turn marks a momentary visualization of the previously invisible space. However, the fact that their dwelling is described as a “cave” suggests that they continue to inhabit the social periphery, leading to an enclosed and isolated existence. Their adherence to a distinctly Korean way of life—wearing Hanbok (韓服) and making Kimchi, despite social pressure—underscores that movement into a visible space does not guarantee social integration. On the contrary, it reveals the persistence of the Korean diaspora’s condition as invisible and marginalized.

In contrast, Korea—the homeland of both Jang Suli and her grandparents—is rendered through vivid sensory imagery, sharply opposing the dim, subdued atmosphere of Karafuto. In these depictions, the rhythmic sound of cloth-beating (Dadumijil), which lends its name to the title of the work, is intricately intertwined with the representation of the homeland.

It was a day of radiant clarity. In the distance, the hills shimmered with green, and the poplar trees stood drowsily in line along the brook. On the path by the village waterside, dried cow dung rolled idly in the sun. The stream, dissolving the sunlight, leapt and glittered as it flowed, and from somewhere came the steady rhythm of cloth-beating. Then the boundary of time opened, and before me spread a wide stream. I was weary. When we reached the water, my mother paused at the foot of the bridge and began to tell me something—perhaps the tale of a young woman who once crossed this stream barefoot. The water moved slowly, yet droplets of sunlight ceaselessly sprang upward. I seemed to see women in white beating cloth along the bank. When my mother did the laundry at home, she would fold the dried clothes and strike them with her batten—thud, thud—just like that.

Perhaps I said to her then, “It looks the same,” recalling that sound. (*The Woman Who Fulled Clothes* 321)

In a scene where the mother recalls the stream in Korea, auditory (the sound of cloth-beating) and visual (sunlight, white garments, flowing water) images operate in concert to construct the sensory memory of Joseon as the original homeland. Even in the foreign land of Karafuto, Jang Suli continues the act of cloth-beating, which can be read as a symbol of the labor and survival of Korean women in Japan. At the same time, as an act that sensorially and symbolically reconnects her to a physically severed homeland, the repetitive motion of cloth-beating carries a deeper meaning.

This act is not merely a form of labor but functions as a medium of memory, identity, and motherhood. Although spatially separated, Jang Suli continuously reproduces Korea’s everyday life and identity through the embodied rhythm of cloth-beating. This sensory re-enactment within an invisible space becomes both a narrative of inner return and a mechanism for recovering sensory memory beyond the ruptures of colonial history.

In the same context, the grandparents—who insist on wearing Hanbok in Karafuto—are eventually forbidden from doing so under political pressure, and the grandmother is forced to wear monpe, the work trousers associated with wartime

Japan. This episode represents a scene of violent assimilation in which the colonial gaze seeks to erase the visible presence of Koreans. In contrast, Jang Suli, after a fierce quarrel with her husband, decides to leave home, tearing her Japanese clothes and taking out her old Hanbok. This gesture transcends a simple matter of dress and becomes a bodily act of resistance to reclaim her suppressed identity.

At a visible level, the cultural coercion of the Japanese Empire erased Korean identity. However, at a deeper level, it persists and remains stored within memory. In this sense, the auditory and visual dimensions of “cloth-beating” reconstruct the space of Korea, while the narratives of wearing and being prohibited from wearing Hanbok reveal the dialectic of visibility and invisibility of identity in visual terms.

Through these dynamics, *The Woman Who Fulled Clothes* depicts how the life of a Korean woman pushed to the colonial periphery transforms the invisible space from one of absence to one of sensory memory and resistance. The motifs of “cloth-beating” and Hanbok function as auditory and visual devices that restore a repressed identity, serving as mediums that sustain the connection with a physically severed homeland at the sensory level. This sensory practice not only attests to the persistence of colonial women’s existence, but also expands into an ethical mode of resistance—an effort to assert selfhood even within spaces of marginalization and silence. Thus, the auditory and visual dimensions in *The Woman Who Fulled Clothes* operate not merely as a means of representation, but as an ethical aesthetic of being that restores the memory of invisible existence and subverts colonial oppression through the realm of the senses.

### 3. At the Boundaries of Space and Time: Tokyo Ueno Station

#### 3.1 The Center of Tokyo: “Invisible Humans” and the Ethics of Sensibility

While Hoe-sung Lee restores invisible voices through auditory rhythm, Miri Yu, half a century later, reconfigures the persistence of invisibility at the sensory level in the urban core.

As a second-generation Korean resident in Japan, Miri Yu has consistently depicted the structures of ethnic and social exclusion that define modern Japan, grounded in her own lived experience as an “invisible Other.” The core of her literary endeavor lies in capturing the sensations and traces of those expelled from Japan’s logic of homogeneity: undocumented migrants, the poor, women, the sick, and the dead. The culmination of this pursuit is *Tokyo Ueno Station*, which most powerfully condenses her aesthetic and ethical vision.

Previous scholarship has read *Tokyo Ueno Station* through social-structural, spatial-political, national, and sensory frameworks, interpreting Ueno as a site

where urban power, historical violence, migrant labor, public memory, and sonic experience intersect to critique modern Japan's spatial and political order.<sup>1</sup>

While prior studies have clarified Ueno Park's political significance as a space of exclusion and order, they overlook hearing as a primary sensory interface, a gap this article addresses by showing how Tokyo Ueno Station renders visually erased lives perceptible through auditory experience.

Ueno Park, the main stage of the novel, is simultaneously the symbolic center of Japan's modernization and a space of social marginality. It houses the Tokyo National Museum, Tokyo University of the Arts, and the National Museum of Western Art—institutions where the state's memory is institutionalized. However, just beyond their walls, homeless people dwell in blue tarpaulin tents. By day, the park teems with tourists and students; by night, the dazzling center transforms into a habitat for “invisible humans.” Within this coexistence, the novel anatomizes the spatial order of modern Japan.

Outside the Park Exit gates of JR Ueno Station, the stone wall encircling the ginkgo trees across the crosswalk is always lined with homeless men. [...] Time passed. I was there, sitting alone. Growing old—. (*Tokyo Ueno Station* 7-8)

This quoted passage reveals Kazu's spatial position as a homeless protagonist. He sits before JR Ueno Station, the gateway to Tokyo and a symbol of Japan's modernization. His existence, though situated at the very center of the city, remains completely erased from sight: he is an “invisible human.” He exists within the urban structure, but this remains unacknowledged. This condition is not merely a matter of spatial exclusion, but also a sensory state of invisibility.

Michel Foucault defined modern space as a “mechanism through which the visual order of power is arranged,”<sup>2</sup> while Henri Lefebvre conceived space as “a product that reproduces social relations.”<sup>3</sup> From these perspectives, Ueno Park emerges as a locus of visual power, in which the center of the nation's gaze and

1 See Eunhee Park and Pil Gyogyo, “Alterity in Yu Miri's *JR Ueno Station Park Exit*: Based on Theories of Space and Memory,” *Korean Studies Research* 63 (2021): 181-202; Masazumi Yamazaki, “The Emperor, the Homeless, and Jōdo Shinshū,” *Shōwa Literature Studies* 78 (2019): 83-97; Naotake Yajima, “*JR Ueno Station Park Exit* and Yu Miri,” *Democratic Literature* 682 (2022): 98-103; Izumi Sato, “The Olympics of a ‘Sacrificial Zone’: Yu Miri's *JR Ueno Station Park Exit* (2014),” *Narrative Theory, Series 3: Literary Criticism*, 19 (2021): 30-38.

2 See Michel Foucault, *Discipline and Punish: The Birth of the Prison*, Seoul: Nanam, 2003, 376-390.

3 See Henri Lefebvre, *The Production of Space*, Seoul: Eco-Livre, 2011, 77.

its peripheral shadows coexist. The spot where Kazu sits is precisely the boundary where the state's memory halts and human existence is erased. He becomes a transparent presence within Tokyo's landscape—an embodiment of visual deprivation—that exists through invisibility.

Previous scholarship shows that Kazu's "invisibility" is not a personal condition but a form of social death produced by Japan's postwar structural exclusion and the state's imperial visual regime, revealing it as a consequence of modern Japan's visual order.<sup>1</sup>

The novel focuses on the sensory residue that continues to operate within this invisibility. Kazu's monologue unfolds as an extension of auditory perception in the absence of vision. He lives attuned to the city's sounds—the vibrations of passing trains, murmurs of crowds, and faint echoes of radios—that persist within the sonic pulses of urban life.

Again, that sound comes. That sound—  
 I am listening.  
 But I do not know whether I am feeling it or thinking it.  
 I do not know whether it is inside or outside of me.  
 I do not know when, or when it was; who, or who it was.  
 Does that matter? Did it ever matter—who it was? (*Tokyo Ueno Station* 3)

This auditory monologue reveals that spatial alienation ultimately leads to the dissolution of one's sense of being. Although Kazu exists in the very heart of the city, he cannot perceive where or at what time he exists. His listening is not a mere auditory act, but a form of response through the senses through which a human being—cut off from the world—continues to react. In this sense, listening becomes both an ethics of sensation and the performativity of existence.<sup>2</sup>

Kazu loses the ability to speak yet remains in the world through listening. His hearing becomes a channel through which he remembers the voices of the

1 See Junyue Sun, "'You Have/Exist. We don't.': The meanings of 'Home' in Yu Mili's Novel *Tokyo Ueno Station*," *Ritsumeikan Journal of International Studies* 37 (2024): 17-18; See Masazumi Yamazaki, "The Emperor, the Homeless, and Jōdo Shinshū," *Shōwa Literature Studies* 78 (2019): 87-88.

2 The notion of performativity of existence here is grounded in Judith Butler's concept of performativity, which rejects the idea of being or identity as a fixed essence. Instead, it understands them as constructed through the repetitive performances of linguistic and bodily acts. In other words, the human subject is not a pre-given, essential being, but one that continually forms and represents itself through the reiteration of social norms and discourses. See Judith Butler, *Gender Trouble: Feminism and the Subversion of Identity*, Seoul: Munhakdongne, 2008, 131.

vanished Others while confirming that he has not been completely severed from the world. In this sense, Ueno Park is not merely an urban space, but a site where the senses disintegrate and are reborn—a space of sensory residue where, even within invisibility, human beings can still perceive the world. Kazu’s existence, erased from the visual order, is restored through auditory resonance. By saying, “I am listening,” he remains a human being who still lives within the reverberations of the world.

This auditory ethics constitutes the final sensory resistance of the invisible human against the visual centrality that governs modern space. At the extreme point of spatial exclusion, the novel gestures toward the possibility of recovering the sense of being through literature’s sensory potential. Ultimately, the space of Tokyo Ueno Station is not merely a stage of social exclusion but a locus where human existence is redefined through the sensory state of “invisibility.” In Ueno Park—both the center and the periphery of the city—Kazu vanishes from the world, yet continues to exist as one who listens to its echoes. His silence and listening stand as the remaining ethics of sensibility that literature can recover, a performative space that testifies to the human capacity to retain feeling, even within a world of sensory disconnection.

### 3.2 The Individual Excluded from the Time of the Nation and the Performativity of Existence

While Tokyo Ueno Station exposes spatial alienation that renders marginal lives invisible within the metropolitan center, it also foregrounds temporal alienation—exclusion from the modern nation-state’s historical and progressive temporality. The problem of temporal exclusion is most concretely manifested in the Tokyo Olympics narrative. The following recollection scene is set in 1963, one year before the opening of the Olympic Games.

It was a cold morning on December 27, 1963, a year before the Tokyo Olympics. I left home in the dark before dawn and went to Kashima Station to take the first train of the Jōban Line, departing at 5:33. I arrived at Ueno Station around noon. After passing through countless tunnels, my face was blackened with the soot of the steam locomotive. Feeling embarrassed, I remember lifting and lowering the brim of my cap several times, glancing at my reflection in the train window as I walked along the platform. (*Tokyo Ueno Station* 26)

For Kazu, the Tokyo Olympics did not mark a turning point in life, but rather a choice for survival—to support his family. Like many others from rural Tokyo,

he moved to Tokyo in search of employment. His participation in the city's construction labor was therefore not as a symbol of the nation's "modernization" or "revival," but as an individual's economic migration to sustain his household. The sentence, "I left home in the dark before dawn," stands in stark contrast to Japan's national aspiration to move from "postwar recovery" to the "completion of modernization." Instead, it signifies the rhythm of non-commemorative time, that is, the pre-dawn hours, in which a solitary individual departs for a site of labor. While the nation constructs a temporal narrative of "progress toward the future," Kazu's time exists as one of consumption and repetition in the present, the very temporality that makes such national progress possible.

The labor he performs consists of "civil engineering work for athletic facilities such as the track-and-field stadium, baseball field, tennis courts, and volleyball gymnasium to be used for the Tokyo Olympics" (*Tokyo Ueno Station* 27).

However, he is unable to witness or commemorate the completion of the stadium he helped to build. His labor constitutes the foundation of the national celebration, yet he himself is excluded from that memory. The description—"my face was blackened with the soot of the steam locomotive, and I felt ashamed"—reveals his paradoxical position: he remains in darkness while producing the light of modernity.

Kazu's daily labor, described as "all done by hand—digging the ground with picks and shovels and hauling the earth away by handcart," is intermittent and repetitive (*Tokyo Ueno Station* 27). He says that he "worked even on Sundays and holidays" (*Tokyo Ueno Station* 27), yet his time never moves toward the future. While the nation's time unfolds linearly toward the goal of the "Olympic opening," his time remains a stagnant present, caught within the repetition of the same acts of survival. This contrast clearly exposes the temporal inequality produced by Japan's modernization, a structure that divides those who enjoy the time of progress at the center from those confined to the time of exhaustion at the periphery.

Moreover, the figures—one thousand yen per day, a twenty-five percent overtime allowance, and a monthly wage of twenty thousand yen—demonstrate how his life is quantified in monetary terms. Time is converted into an exchange value for subsistence and an individual's life is divided into a cycle of economic repetition rather than a narrative of development. The Tokyo Olympics symbolize the nation's "future time," but for Kazu, it is the time of others—a time forever beyond his reach.

At this juncture, *Tokyo Ueno Station* dismantles the fiction of the "progressive

time” presupposed by the modern nation-state.<sup>1</sup> Kazu’s temporality does not move toward the future; it unfolds as a fragmentary, non-linear time in which past and present, life and death, memory and oblivion intersect. Time no longer flows toward the “future” but instead repeats a motionless cycle within the “erased present.”

In Kazu’s life, temporal alienation extends beyond the “time of progress” embodied by the Tokyo Olympics and deepens further through the imperial narrative. The novel juxtaposes the nation’s “time of commemoration” with the individual’s “non-commemorative time” in a recollection scene that begins with the radio broadcast announcing the birth of Crown Prince Naruhito on February 23, 1960.

① “At 4:15 p.m. today, Her Imperial Highness the Crown Princess gave birth at the Imperial Household Hospital. A prince has been born. Both mother and child are in good health.” On February 23, 1960, the radio announcer delivered the news in a cheerful voice. Soon after, the broadcast carried the sounds of crowds gathered before Nijūbashi Bridge and the temporary residence of the Crown Prince, holding red-and-white lanterns, beating drums, singing the national anthem, and shouting *banzai* in unison. Outside, the sound of fireworks bursting—dozens of them—could be heard. Even from the direction of the Kashima Town Office, the fireworks went off, one after another—bang, bang. That morning, Setsuko had shown signs of labor. Unlike two years earlier, when Yoko was born, it was a difficult delivery; Setsuko struggled in agony for a full day. (*Tokyo Ueno Station* 37-38)

② His Majesty the Emperor will soon turn seventy-three. His Imperial Highness the Crown Prince, born on February 23, 1960, is now forty-six—Koichi, too, would have been forty-six if he were alive. My eldest son, born on the same day as Crown Prince Naruhito, was given the name Koichi, taking one character from Hiro-no-miya. Only a single rope separates me from Their Majesties, the Emperor and Empress. If I were to rush forward, I would be restrained by the police, but still—they would see me. And if I were to say something, they might listen. Something—something—My voice was hollow.

---

1 Walter Benjamin critiqued the modern conception of linear time and the ideology of progress, dismantling the causal continuity of past, present, and future to propose a non-linear temporality. He understood time as operating through ruptures and interruptions—moments of dialectical awakening in which the repressed truths of the past collide with the present and emerge anew. See Walter Benjamin, *Selected Writings V: On the Concept of History, Critique of Violence, Surrealism, and Others*, Seoul: Gil Publishing, 2008, 373-374.

I was waving toward the car receding in a straight line. I heard a voice—. (*Tokyo Ueno Station* 166-167)

This scene reveals the stark contrast between the language of commemoration transmitted through radio broadcasts and the desperate language of survival within which Kazu's family exists. The birth of the Crown Prince represents "a life commemorated by the nation," whereas Kazu's son Koichi—born on the same day—is "a life unremembered."

Years later, the aging Kazu watches the imperial couple's motorcade and recalls that he and the Emperor were born in the same year. "His Majesty the Emperor will soon turn seventy-three. His Imperial Highness, the Crown Prince, born on February 23, 1960, is now forty-six—Koichi, too, would have been forty-six if he were alive." The Emperor's life continues within a time of perpetuity, whereas Koichi's ends unrecorded. The line, "Only a single rope separates me from Their Majesties, the Emperor and Empress," marks both a physical distance and an existential boundary. Beyond that rope are those who belong to the nation's time; on this side, they remain those who have been forgotten. Kazu waves his hand, yet "his voice was hollow."

Here, the rupture of time translates into a rupture of language and sensation. Kazu continues to hear radio voices from the past, even after his son's death. His consciousness drifts into a state of ontological instability, where "the I who lives in the present," "the I who remembers the past," and "the I who has already died" converge. He is still "listening," yet the subject of listening has vanished. The radio voice, as the language of the state, replaces individual perception; time no longer flows linearly, but overlaps in the form of auditory flashbacks.

However, even with this collapse of perception, Kazu does not entirely disappear. The line "I heard a voice" reveals the residual ethics of sensibility—the final impulse of a human being, cut off from the world, to sense the presence of another. Here, listening is not merely hearing; it is the minimal act of response through which one excluded from society remains connected to the world—a performative act of existence. Although he does not speak, Kazu remains in the world by listening. This constitutes the ethics of resonance that arise at the intersection of temporal and existential instabilities.

The temporal alienation depicted in *Tokyo Ueno Station* is thus not merely the plight of an individual trapped in the past; it reveals a condition in which the instability of time becomes a condition of human existence. The nation's linear time collapses within the individual's non-commemorative temporality, and within that

rupture, the human persists as a remnant of sensibility, a form of ethics.

#### 4. Conclusion

This study examines how Hoe-sung Lee's *The Woman Who Fulled Clothes* and Miri Yu's *Tokyo Ueno Station* represent human alienation while simultaneously exploring the possibility of restoring humanity through the medium of sensory experience. While both modern humanism and data-driven society reduce human beings to functional units, data alienation can be understood as a form in which modern alienation is reconfigured under contemporary technological and ideological conditions. These two works render the historical continuity and transformation of such alienation through sensory layers, thereby exploring the possibility for erased subjects to reestablish relations with the world.

Specifically, *The Woman Who Fulled Clothes* reconstructs the life of a colonial woman through the auditory motifs of the Shinsae-taryeong and cloth-beating. This lament transforms personal misfortune into a bodily rhythm that resonates with the historical loss of the "nation's ruin," while the act of cloth-beating reactivates the memory and temporality of the homeland across diasporic spaces. Thus, auditory rhythms and repetitive bodily acts function as devices that restore those excluded from official records to a sphere of sensory and narrative presence.

*Tokyo Ueno Station*, set in Ueno Park at the very heart of Tokyo, reveals the modes of existence of the "invisible human" produced by modern Japan's spatial and temporal orders. The protagonist, Kazu, occupies the nation's center yet remains erased from its gaze, excluded from the "commemorative time" structured by the Olympics and the imperial system. Nevertheless, through the residual act of listening, he reestablishes a relation with the world.

The implications of this comparison can be summarized in three points. First, the representation of human alienation does not remain at the level of social indictment; rather, through the evocation of sensory scenes, it forms ethical conditions under which others' lives become perceptible and intelligible. Second, the recovery of humanity is presented not as the result of institutional inclusion but as something that emerges from the relational potential inherent in sensory practices. Third, such literary practice opens a fissure in the visual automatism operating within AI and data-centered systems, positioning sensory acts—such as listening, touching, and repetition—as an ethical horizon through which being human can be thought today.

In conclusion, *The Woman Who Fulled Clothes* and *Tokyo Ueno Station* stand as representative examples of how Zainichi Korean literature re-imagines the

problem of human alienation through sensory mediation and simultaneously seeks the restoration of human dignity through the ethics of the senses. The rhythm of cloth-beating, the reverberations of Ueno, the torn fabric, and the lingering voice all testify to literature's power to make us perceive those whom the system has erased. Even in a world dominated by data, the human being remains a body that feels and responds. Thus, the sensory narratives of Zainichi Korean literature serve as ethical records that bear witness to this enduring potential of humanity.

### Works Cited

- Benjamin, Walter. *Selected Writings V: On the Concept of History, Critique of Violence, Surrealism, and Others*. Seoul: Gil Publishing, 2008.
- Butler, Judith. *Gender Trouble: Feminism and the Subversion of Identity*. Seoul: Munhakdongne, 2008.
- Foucault, Michel. *Discipline and Punish: The Birth of the Prison*. Seoul: Nanam, 2003.
- Foxworth, Elise. "Jeju Massacre, National Allegory and Cultural Revolution in Kim Sok Pom's *Karasu no Shi* (1957)." *Border Crossings: The Journal of Japanese-Language Literature Studies* 1 (2023): 129-157.
- Furuyama, Komao. *Shinse-taryeong*. Tokyo: Chūō Kōronsha, 1980.
- Harari, Yuval Noah. *Homo Deus: A Brief History of Tomorrow*, translated by Myung-joo Kim. Seoul: Kim Young-sa, 2017.
- Im, Jeon-hye. *The History of Korean Literature in Japan: Until 1945*. Tokyo: Hosei UP, 1994.
- Institute of Korean Studies, Korea University, Compilation Office of the Korean Language Dictionary, ed. *Korea University Korean Language Dictionary*. Seoul: Institute of Korean Studies, Korea University, 2009.
- Isogai, Jiro. *The Transformation and Inheritance of "Zainichi" Literature*. Tokyo: Shinkansha, 2015.
- Kawamoto, Saburo. "Living the Same Era: Economic Growth Seen from the Perspective of a Migrant Worker—Miri Yu's *JR Ueno Station Park Exit*." *Research Information*, Third Series, 518 (2014): 96-99.
- Kim, Bo-hyun. "Transmission and Liberation of 'Shinse-taryeong' in Tanka: Focusing on Park Chong-Fua's Tanka Anthology *Shinse-taryeong*." *Japanese Studies* 58 (2022): 83-103.
- Kim, Hwan-Gi. "The Historical and Literary Significance of Korean Diaspora Literature." *Showa Bungaku Kenkyu* 84 (2022): 239-257.
- Kim, Jeong-ae. "Diaspora Writer Lee Hoesung and Identity: From *Azalea Flowers* to *The Inn at Cheonggu*." *Social Literature* 22 (2005): 77-87.
- . "The Spread of 'Shin Se Ta Ryong': The Reception of Korean Culture as Seen in Hoe-sung Lee's *Kinuta wo Utsu Onna*." *Proceedings of the International Conference on Japanese*

*Literature* 26 (2003): 141-162.

Lee, Han Jung. "Self-Narratives of Zainichi Korean Women." *Korean Studies* 40 (2016): 245-276.

Lee, Hoe-sung. *The Woman Who Fulled Clothes*. Seoul: Jeongumsa Publishing, 1972.

Lee, Young-ho. "An Analysis of Works in *Quarterly Madang*, a Magazine for Korean Residents in Japan: Journal of Korean Language and Literature." *Border Crossings: The Journal of Japanese-Language Literature Studies* 1 (2017): 60-70.

Lim, Sang-min. "Life ( 生 ) 'out of necessity' -KAISEI LEE *A Woman Who Beats a Kinuta*." *Social and Cultural Studies* 19 (2006) :145-156.

Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.

—. *Introduction to Ethical Literary Criticism*, translated by Kim Soon-jin, Yoon Seok-min and Lim Dae-geun. Seoul: Hankuk University of Foreign Studies Knowledge Publishing Content Center, 2022.

Okumura, Kanako. "Voices around 'Mothers': Memories of Karafuto in Hoe-sung Lee's *The Woman Who Fulled Clothes* and *The Same Road Once More*." *Fenceless: Journal of Literature, Film, Theatre, and Cultural Movements* 6 (2022): 61-75.

Park, Eunhee and Gyogyo Pil. "Alterity in Miri Yu's *JR Ueno Station Park Exit*: Based on Theories of Space and Memory." *Korean Studies Research* 63 (2021): 181-202.

Rhee, Tae-Keon. "Marx's View of Humanity and the Theory of Human Alienation." *Journal of Ethics Studies* 45 (2009): 23-45.

Sato, Izumi. "The Olympics of a 'Sacrificial Zone': Miri Yu's *JR Ueno Station Park Exit* (2014)." *Narrative Theory, Series 3: Literary Criticism* 19 (2021): 30-38.

Shin, So-Jeong. *A Study of the Narrative of Zainichi Koreans in Japanese Social Conscience Films*. 2021. Korea University, PhD dissertation.

Sun, Junyue. "'You Have/Exist. We Don't.': The Meanings of 'Home' in Yu Mili's Novel *Tokyo Ueno Station*." *Ritsumeikan Journal of International Studies* 37 (2024): 17-34.

Yajima, Naotake. "*JR Ueno Station Park Exit* and Miri Yu." *Democratic Literature* 682 (2022): 98-103.

Yamazaki, Masazumi. "The Emperor, the Homeless, and Jōdo Shinshū." *Shōwa Literature Studies* 78 (2019): 83-97.

Yu, Miri. *Tokyo Ueno Station*. Tokyo: Kawade Shobō Shinsha Publishing, 2014.

# 从殖民隐喻到伦理身份重构：《巴别塔》的反殖民中国叙事

## From Colonial Metaphors to Ethical Identity Reconstruction: An Anti-colonial Chinese Narrative in *Babel*

刘姗姗 (Liu Shanni) 陈 晞 (Chen Xi)

**内容摘要：**美籍华裔作家匡灵秀凭借《巴别塔》获得星云奖与英国国家图书奖。该作品以鸦片战争为历史背景，构建了融合奇幻元素与中国叙事的跨文化文学空间。本文以文学伦理学批评为指导，通过解析文本中“白银”和“刻银术”的殖民权力核心隐喻、混杂身份为主人公带来的伦理困境及其身份建构和反殖民革命团体对殖民伦理秩序的颠覆，探讨小说如何生成反抗殖民霸权的“中国叙事”。本文认为，匡灵秀通过对殖民历史的重写与文化身份的再阐释，为华裔英语文学中的中国叙事拓展了融合伦理维度和历史反思的理论视域与叙事可能。

**关键词：**《巴别塔》；匡灵秀；文学伦理学批评；中国叙事；殖民主义

**作者简介：**刘姗姗，湖南大学外国语学院博士研究生，主要研究方向为英美文学；陈晞，湖南大学外国语学院教授，主要研究方向为英美文学、比较文学和文学伦理学批评。

**Title:** From Colonial Metaphors to Ethical Identity Reconstruction: An Anti-colonial Chinese Narrative in *Babel*

**Abstract:** R. F. Kuang, a Chinese American writer, received both the Nebula Award and the National Book Award for *Babel*. Set against the backdrop of the Opium War, this novel constructs a transcultural literary space that blends fantasy with a Chinese narrative framework. Employing the theoretical lens of ethical literary criticism, this paper examines how the novel generates a “Chinese narrative” of resistance against colonial hegemony. The analysis focuses on the core metaphors of colonial power embodied in “silver” and “silver-working,” the ethical dilemmas and identity formation faced by the hybrid-identity protagonist, and the subversion of the colonial ethical order by a revolutionary anti-colonial collective. The paper argues that by blending ethical inquiry with historical reflection, Kuang’s rewriting of

colonial history and reinterpretation of cultural identity open up new theoretical and narrative possibilities for the Chinese narrative within Chinese American literature.

**Keywords:** *Babel*; R.F. Kuang; ethical literary criticism; Chinese narrative; colonialism

**Authors:** **Liu Shanni** is a Ph.D. Candidate at the School of Foreign Studies, Hunan University (Changsha 410078, China). Her major research fields are British and American literature (Email: 137727107@qq.com). **Chen Xi** is Professor at the School of Foreign Studies, Hunan University (Changsha 410078, China). Her area of academic research focuses on British and American literature, comparative literature, and ethical literary criticism (Email: chenxi@hnu.edu.cn).

中国叙事泛指华裔小说中一切与中国历史和文化相关的表现。<sup>1</sup>在这一概念下，匡灵秀 (R. F. Kuang) 的创作与伍家球 (William Wu)、刘慧骅 (Marjorie Liu)、刘宇昆 (Ken Liu) 等美籍华裔科幻作家的写作一样，以鲜明的中国叙事为其重要特征之一。<sup>2</sup>美国社会文化语境中的华裔英语写作往往承载着族裔政治意义，华裔作家“自觉或不自觉地进行着‘反话语’的对抗性写作” (卫景宜 17)。匡灵秀的作品<sup>3</sup>通过重新呈现长期被美国主流文化遮蔽的中国历史与文化传统，显示出作者在建构中国叙事与实践反话语写作上的自觉性。《巴别塔》(*Babel*) 于 2023 年获得轨迹奖，并在 2024 年获得星云奖。尽管近年来国内外学界对匡灵秀及其作品的讨论热度持续上升，但对《巴别塔》的系统性研究仍相对匮乏。现有研究多从空间—权力关系、叙事语言建构及后殖民批评等角度展开，对于小说的中国叙事尚缺乏深入发掘，对作品在后殖民语境中蕴含的伦理问题也关注不够。基于此，本文以文学伦理学批评为主要理论框架，结合华裔文学传统中的中国叙事与相关历史资料，试图阐释《巴别塔》中殖民隐喻的结构机制、主人公罗宾在突破伦理禁忌中的伦理身份建构，以及赫耳墨斯社反殖民革命的伦理逻辑，从而为理解该作品的伦理内涵与历史地域提供新的理论视角。

1 参见 程爱民：“论美国华裔文学中的‘中国叙事’——以汤亭亭和谭恩美的小说为例”，《外国文学研究》1 (2023)：117-128。

2 关于刘宇昆等作品中所体现的中国叙事参见 刘汉波：“当代美国华裔科幻小说中的中国想象”，《民族文学研究》5 (2018)：22-30。匡灵秀曾在采访中谈到她作品中关于中国文化和历史的创作源自家庭的影响。参见 Winchester Kendra, “R. F. Kuang: How a Hidden History Became a Fantasy Trilogy,” *Reading Women* 20 January 2021. Available at: <https://lithub.com/r-f-kuang-how-a-hidden-history-became-a-fantasy-trilogy/>. Accessed 21 Nov. 2025.

3 匡灵秀的相关作品包括以中国抗日战争为背景的《罂粟战争》(*The Poppy War*)、大量借鉴中国传统神话元素的《地狱考》(*Katabasis*)，以及以 19 世纪中英鸦片贸易为叙述起点的《巴别塔》(*Babel*) 等。

## 一、历史伦理环境书写：白银与刻银术的隐喻

《巴别塔》虽然被贴上奇幻小说的标签，但其故事架构和情节发展都基本符合史实，是作者从当代美籍华裔视角，对鸦片贸易和 19 世纪英国殖民史的回溯性想象。作品紧扣鸦片贸易期间的中英外交和英国殖民活动，并敏锐捕捉到 1833 年《废奴法案》（*Slavery Abolition Act*）通过后，英帝国的海外殖民统治从显性的军事暴力逐渐转向以经济掠夺、文化渗透等隐形暴力的历史转折。匡灵秀将白银及刻银术设定为维系英帝国霸权的核心机制，把握了英国白银外流至中国是推动鸦片贸易的深层经济动因，因而具备充分的历史合理性。在小说中，白银象征英帝国权力的物质基础，而刻银术则象征其权力运作方式。对这组双重隐喻进行历史化分析是揭示文本中殖民暴力的运作逻辑，把握文本中“导致社会事件和影响人物命运”（聂珍钊，《文学伦理学批评导论》7）的历史—伦理环境的关键。

白银与英帝国权力在可积累性、价值普遍性与流动性上高度相似，使其成为表现帝国权力的恰当喻体。19 世纪的英国通过工业革命和殖民扩张积累起全球性权力，如果再在中国获取所求，“将势不可挡”（Kuang 205）<sup>1</sup>；白银也在美洲银矿开发<sup>2</sup>以及三角贸易的推动下大量涌入英国。在小说中，储存着整层白银的巴别塔翻译学院负责翻译和处理“让世界运转”的“国际条约、海外贸易”（86），成为英帝国权力意志最直观的外显。白银在全球贸易的流动性也同样服务于帝国利益。19 世纪“全球白银产量的一半最终抵达亚洲，尤其是中国和印度”（弗兰克 58），而中国对进口商品的有限需求导致白银无法回流英国。于是英国用“鸦片替代部分白银”换取中国的丝绸和茶叶（弗兰克 51），弥补对华贸易逆差所导致的白银外流。《巴别塔》中，英国以“自由贸易”（340）为名，用白银从中国换取瓷器、漆器与丝绸，又将印度的鸦片运往中国，使财富“回流”（349），揭示了自由贸易表象下白银资本围绕帝国权力循环的深层逻辑。

然而白银和帝国权力还是存在着“差异性”（杨梓露 210）。白银是物质性、价值中立的，而帝国权力则非物质，依托于殖民掠夺与剥削。正是这种差异性为反抗帝国殖民留出空间。小说主人公罗宾及反殖民组织——赫耳墨斯社，通过从巴别塔“偷白银”（210）并“送给世界各地需要的人”（114）等方式，将白银赋能于反殖民行动，使其成为被压迫者与殖民者博弈的工具。但是白银毕竟是静态的货币，其权力潜能需要通过外部运作机制才能激发，这一机制在刻银术的隐喻中得到完美呈现。

1 本文相关引文均出自 Rebecca Kuang, *Babel: Or the Necessity of Violence* (London: Harper Voyager, 2022)。下文仅标注页码，不再一一说明。凡未特殊说明，引文均出自笔者拙译。

2 “从 1493 年到 1800 年，世界白银产量的 85% 来自拉丁美洲”（弗兰克 54）。

刻银术是《巴别塔》的核心科幻设定，指由多语言能力者在白银两端刻写不同语言的“镌字”（86）而激活的魔法。具体而言，刻银术捕捉多种语言系统中能指（signifier）与所指（signified）的差异，即“翻译时丢失或扭曲的含义”，并将其“转化为魔法”（魏禹昕 56）。小说第一章洛弗尔救下濒死的罗宾时首次展现了刻银术的功能：他将法语“*triacle*”（解毒剂/糖浆）与英语“*treacle*”（糖浆）刻在白银两端，让刻银术还原这对词在翻译中丢失的“解毒剂”（11）的含义，从而生成解药，拯救了罗宾。在小说中，刻银术的魔法功能还被广泛运用于工业生产中，“让工厂的效率大幅提升”（241），成为英帝国赖以发展与维持强盛的关键技术手段。刻银术使知识和语言不再停留在抽象或精神层面，而是实体化、具象化。

在小说中，刻银术隐喻将语言、知识、文化转化为帝国机器的机制。巴别塔是帝国机器的化身：它通过“搜罗外语人才”和掠夺“殖民地的语言”，打造“只让英国受益的翻译魔法”（263）。而刻银术看似与政治无关的学术——语言与翻译，但由于其魔法运行依赖于语义扭曲，因此刻银的词库必须取材于多种语言，这说明刻银术的内在逻辑是英国对他国语言的知识殖民。在这些语言中，代表殖民者的洛弗尔坚信“中国才是未来”（136），反映了英国对中国语言、知识与文化的掌控意图。

刻银术以语言差异为能量来源，使语言既成为可被掠夺的资源，也成为帝国权力运作的媒介，但是刻银术使用者可以是任何“精通多种语言，掌握刻银技术”的人（33）。在小说中，这项技艺最开始掌握在巴别塔的官方翻译体制下，被帝国用于巩固殖民霸权，如：“将古希腊语 *idiótes* 翻译成英语 *idiot* 时，这对镌字就能产生抹除知识的效果（……）让敌方间谍忘记他们的所见所闻”（184）。当革命团体成员运用刻银术杀死巴别塔成员时，这一技艺被逆向赋能，比如：“‘burst’无法翻译出‘爆’的内涵。因此，这个字所有的毁灭之力都被困在了银条里。它在她胸口爆炸”（303）。在这一过程中，原本被帝国掠夺并规训的他国语言不再是被动的客体，而转化为能动的反抗主体。帝国试图将刻银术打造成为一项可被精确控制的技术体系，但实际上，其所能掌控的仅是白银资源与表层操作，既无法真正占有语言差异本身，也无法彻底控制刻银术的操作者，更无从阻止其被用于反抗。最终，这一原本被帝国设计为统治工具的技艺，反而在反殖民者手中转化为瓦解并推翻殖民统治的利器。

在《泰晤士报》（*The Times*）的英国官方历史话语中，中国被描述成“暴政和反复无常的混合体”和“自由贸易”的抵制者（转引自 张玥 154），而《巴别塔》从中国立场，通过白银和刻银术的隐喻进行回溯性想象，采用“反话语”（卫景宜 17）式写作，用符合史实的历史细节再现了被主流叙事所遮蔽的 19 世纪英帝国以文化霸权和知识殖民等方式剥削他国的过程。白银和刻银术的书写为故事铺垫了完整可靠的历史伦理环境，这一环境不仅体现出作

者对殖民主义的批判与对中国历史的尊重，而且促成了主人公罗宾的伦理身份建构，更是赫耳墨斯社颠覆殖民伦理秩序所不可或缺的前提条件。

## 二、混杂身份的伦理困境：罗宾的伦理身份建构

自 1792 年马嘎尔尼使团访华以来，英国一直苦于缺乏能“忠实准确地提供优良翻译服务”（王志宏 67）的译员。<sup>1</sup>在这一殖民需求驱动下，洛弗尔与两名中国女性生下罗宾和格里芬，用以为巴别塔培养通晓汉语的刻银人才。作为“针对中国的殖民和掠夺计划而创造的实验品”（杨博 12），他们的出生体现了殖民权力将利益置于伦理之上的选择，也使中英混血的身份自始便带有复杂的伦理负荷。伦理身份需在血亲、伦理关系、道德规范和社会角色等维度上通过“伦理选择”<sup>2</sup>予以确认，罗宾的处境正体现了后殖民语境中的“混杂性”（hybridity）。他的身份既具有英方父系的血统，又承继母系的中国基因；作为巴别塔译员，他既要为英国在鸦片谈判中提供语言支持，又在道义上肩负维护中国利益的责任；而在伦理关系层面，洛弗尔既是他的救命恩人与养育者，也是导致他母亲死亡的加害者，更是挑起鸦片战争的帝国代理人。在这些彼此冲突的伦理位置之间，罗宾陷入了“中国人/英国人、爱国者/叛国者、复仇者/报恩者”三重交错的身份混乱，其内在经验表现为一种“难以化解的矛盾与冲突”，即“伦理困境”（聂珍钊，《文学伦理学批评导论》258）。

中英混血儿罗宾在殖民语境下的身份本身即处于伦理混沌状态。早年罗宾远离广州，跟随洛弗尔前往伦敦，他的选择由求生本能下的自然意志主导，体现出伦理混沌阶段的典型特征。随着踏上“驶向伦敦的航船”（13），罗宾逐渐远离中国身份，其中国家被霍乱夺走的事实加深了身份的流失。在英国，他刻意模仿白人精英阶层的生活方式——吃“新鲜出炉的司康和凝脂奶油”（146）、努力“融入”（62）白人主流社会、吸纳殖民者的价值体系（贺玉高 119）——以期获得主体认同。然而，对英国身份的“模拟”，终究无法让罗宾彻底成为英国人，反而使其陷入“无限接近于英国人，却又不能完全一样”的矛盾境地（Bhabha 114）。殖民者对待罗宾的态度也呈现出既依赖又排斥的“含混”（ambivalence）：既依赖他用汉语丰富刻银词库，“为巴别塔拓宽其狭窄知识边界”（130）；又因他是“可辨认的他者”（Bhabha 86）而加以排斥和边缘化。尽管罗宾既无法回归中国，也难以进入英国的主体性结构，始终困于双重排斥所造成的身份困境之中，但殖民者对其身份的

1 时任东印度公司广州特选委员会主席的英国人菲茨休曾尝试送礼笼络在北京的欧洲传教士以助力翻译，但收效甚微。广州的通士们又因为英文水平差和不敢如实翻译而被排除理想翻译人选。英国曾找到的理想翻译者包括懂中文的法国人加尔伯特、曾得到过英王接见的在英中国人沈宗福、林奇官、黄亚东等。参见 王志宏：《龙与狮的对话：翻译与马嘎尔尼访华使团》，香港：香港中文大学出版社，2022年，第69-73页。

2 参见 聂珍钊：《文学伦理学批评导论》，北京：北京大学出版社，2014年，第263页。

含混态度反而将他安置于一个特殊的“第三空间”（the third space）。在这一空间中，罗宾一方面得以借助刻银术深入帝国权力的核心运作机制，另一方面也在亲身经验中不断积蓄对殖民体系系统性压迫的反抗意识与能量，从而为其此后的伦理抉择奠定了重要基础。

罗宾面临第二重伦理困境为母国与养育国之间的忠诚冲突。在鸦片贸易背景下，罗宾作为巴别塔的英方译员，参与英方与林则徐关于广州被扣押鸦片的谈判。由于罗宾的亚洲面孔，林则徐对罗宾产生同族认同感，于是他质问罗宾：“倘若中国卑躬屈膝能缓和事态吗？”（355）这一发问实质上将罗宾推入必须做出伦理选择的境地：在英方坚持“鸦片贸易有利于中国”（352）、并以此为由要求归还被扣押的两万镑鸦片的立场，与林则徐拒绝归还鸦片的中国立场之间，罗宾必须做出明确的伦理选择。基于罗宾对英方“没有向中国让步的打算”（355）这一现实的清醒认知，罗宾的理性意志在两种伦理后果之间展开权衡：若回答“能”，便意味着刻意隐瞒英国的战争意图，其伦理身份将转化为背叛母国的叛国者；若回答“不能”，则将直接导致英国遭受重大财产损失，其伦理身份又将指向对养育国的背叛。在这伦理两难的抉择中，罗宾原本混杂、游移的伦理身份被强行压缩并固定下来，迫使他在母国与养育国之间作出一种单极化的伦理选择。在理性意识的控制下，罗宾最终对林则徐说“不能（……）少一点他们都不会接受。他们不尊重你们，也不尊重你们的政府”（355）。这一回答不仅体现了他在混杂位置上基于道德判断做出的首个清晰伦理选择，也标志着他从顺从的英国译员向反殖民立场的转变。由于这句话直接导致谈判破裂，罗宾内心随即陷入自我怀疑，思考“是否犯了灾难性错误”（356），再次暴露出他所处的伦理两难困境：一方面承载着血缘与民族赋予的伦理责任，另一方面又难以割舍殖民体系下形成的教养性伦理关系。这一瞬间既凸显了伦理选择对现实局势的直接影响，也为其随后与父亲洛弗尔的正面对峙、以及最终的终极伦理选择埋下了伏笔。

在罗宾伦理身份重构的过程中，他与洛弗尔之间复杂而矛盾的伦理关系尤为关键，构成其走向终极伦理选择的决定性转折点。洛弗尔以刻银术将八岁的罗宾从“人已经死光”（5）的广州窄巷中救出，并在伦敦为他提供“舒适的生活”和“最好的教育”，为他铺设成为“世界上为数不多掌握刻银术奥秘”的学者的道路（11-12）。正是在这一以救助与养育为基础的伦理关系中，罗宾长期将自身伦理身份定位为受恩者，并以“拼命学习”与“顺从”（19）的姿态回应这种伦理期待。然而，随着真相的逐渐揭示，当罗宾知道洛弗尔不仅是自己的生父，而且在母亲“去世前”拒绝施以援手，甚至“没有埋葬她”（363）时，洛弗尔在罗宾的心中由施恩者骤然转化为杀母仇人。罗宾在进一步翻阅洛弗尔与英国议会的往来通信后，更清楚地意识到，洛弗尔“并不是一位卷入贸易争端的学者”（397），而是明确主张“用枪炮对准中国”（396）的帝国侵略者。罗宾的理性意志在忠于养育者与反抗侵略者的矛盾中完成了

权衡。最终，他在与洛弗尔的正面对峙中作出终极伦理选择：以刻银术“撕裂父亲胸膛”（367）。这一行为表面上似乎是兽性因子驱动下的即时愤怒释放<sup>1</sup>，实则是罗宾理性意志主导的伦理选择。他的愤怒源于洛弗尔对母亲与母国的侮辱：洛弗尔不仅是导致母亲死亡的直接仇敌，更是殖民体系暴力的化身；若放任其自由，即意味着对殖民体系妥协。在这一关键时刻，人性因子提醒他弑父行为的伦理禁忌，而理性意志引导他权衡更高层次的道德义务：为母亲、为故国争取尊严。最终，理性意志占据主导，罗宾以刻银术完成弑父行为。罗宾割断与洛弗尔的联系象征着他切断殖民教养与父权权威的束缚，使他从顺从的受恩者转换成殖民反抗者。

《巴别塔》对混杂身份的罗宾经过伦理选择完成主体性身份建构的叙事没有停留在个人层面，而是通过赫耳墨斯社这一反殖民革命集体，拷问给被殖民者制造伦理困境和混乱伦理身份的殖民伦理秩序本身。如果说罗宾通过为故国复仇而在个人层面上实践了中国叙事，那么赫耳墨斯社则在跨国反殖民共同体的维度上让中国叙事的情感内核获得了深化。

### 三、反殖民伦理秩序：赫耳墨斯社的共同体想象

在《巴别塔》中，赫耳墨斯社的“共同体想象”（Anderson 8）展现了建立反殖民伦理秩序的可能性。小说通过罗宾及社团成员的行动，呈现了反殖民革命者在面对殖民暴力体系时所经历的伦理困境、选择及实践。随着罗宾反殖民革命者伦理身份的确立，他的革命对象从以洛弗尔为代表的个体殖民者，提升为以单向度暴力为基础、依赖被殖民者不得反抗的伦理禁忌维系的整体殖民伦理秩序<sup>2</sup>。在林则徐销烟、英国贸易在“在广州被全面禁止”（441）、侵华战争一触即发的关键历史节点，反抗这一殖民伦理秩序已迫在眉睫。

赫耳墨斯社作为巴别塔内部的秘密反抗组织，承担了集体抵抗这一全球性、系统性压迫的历史任务。罗宾加入赫耳墨斯社正是因为社团的反殖民属性：它“将银条分送给值得拥有它们的个体、团体和运动（……）支持抵抗运动”（117），并利用成员的多语言属性反向运用刻银术。在社团看来，若英国赢得战争，中国白银储备将被吞并，帝国对刻银术的运作将转化为更强大的殖民暴力，对包括中国在内的所有被殖民地区施加“不可想象”（442）的压迫。因此，阻止英国侵华不再是罗宾的个人复仇，而成为赫耳墨斯社必须共同承担的历史责任。

1 “兽性因子指人由原始欲望所驱动的动物本能，（……）其外在表现形式为自然意志和自由意志”，而“人性因子构成人的伦理意识，是区别人与动物，定义人性的决定性因素，其表现形式为理性意志。”（Nie, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection” 388-389）。

2 “维护伦理秩序的核心是禁忌。禁忌是（……）伦理秩序形成的基础，也是伦理秩序的保障”（聂珍钊，《文学伦理学批评导论》15）。

然而，建立反殖民伦理秩序的过程在中国语境下尤为复杂：社团成员在被殖民经验上的异质性，使其在反抗路径和伦理设计上产生分歧。小说通过不同殖民场景和多元视角，呈现了不同背景下的被殖民创伤，如：曾为奴隶的安东尼、远离母国又被洛弗尔抛弃的格里芬、印度黑人男性拉米、海地黑人女性维克图瓦和饱受性别压迫的英国白人女性莱蒂。这种异质性在广州殖民冲突的具体情境中尤为突出，迫使社团在改良主义与暴力革命之间做出伦理选择，以在抵御帝国压迫的同时维系正义。社团在革命前期谨慎地采取了“和平、文明”（502）的改良主义手段：印发“宣传册”（461）煽动群众罢工；并通过英文 *polemic* 及其古希腊词根 *polemikós*（战争）的语义扭曲，引发“观念之战”（444），以影响议会对发动侵华战争的决策。此策略吸引了英国工人阶级加入，扩大了革命同盟，但在帝国暴力镇压（“捕杀”463）下，改良主义的局限逐渐显现：革命者在殖民者的“道德反思教育”（Fanon 6）下被同化，改良策略存在被殖民者自身利益背叛的风险。莱蒂作为坚持非暴力改良的代表，最终背叛革命，将“枪口对准”（466）社员，导致多名革命者牺牲。这一事件显示，在殖民压迫下，单纯依赖和平手段的革命策略不仅难以阻止帝国暴力，还可能被同化或收编为殖民者的延伸力量。改良主义在殖民语境下的伦理脆弱性表明，单靠和平策略无法终结殖民暴力。社团选择以暴制暴不仅是策略调整，更是一种伦理选择：通过有限的、针对性暴力阻断殖民者的系统性压迫，实现反殖民解放的崇高目标。这一转向标志着赫耳墨斯社行动从策略性改良上升为建立反殖民伦理秩序的实践。

在《巴别塔》中，赫耳墨斯社通过“占领巴别塔”（493）并操控维系公共设施运转的刻银术“共振柱”（578），导致象征帝国权威的“威斯敏斯特大桥”（580）倒塌，从而突破了殖民伦理秩序下被殖民者不得反抗的禁忌。这一行动体现了理性意志的战略运用：革命者通过对权力机制的精准理解实现结构性破坏，象征性地撼动了殖民体系。然而，暴力反抗不可避免地掺杂复仇冲动与非理性意志，导致无辜市民“丧生”（583），凸显手段与目的之间的悖反、身份与行为的翻转，以及破旧与立新间的张力：革命者在反抗中模拟殖民者的暴力逻辑，可能面临被异化为新压迫者的风险，而暴力本身亦无法自发生成区别于旧秩序的正义伦理。正是在以暴制暴的三重伦理张力中，《巴别塔》呈现出反殖民革命的核心伦理困境。

《巴别塔》结尾处，罗宾在被围困巴别塔的紧要关头，使用刻银术致使拥有英国最多白银储备的巴别塔与他的生命一齐“崩塌”（612），以暴力拆毁殖民权力核心的方式换取了英国短时间“不会向中国开战”（601）的革命果实。罗宾以生命为代价阻止英国侵华，揭示出以暴制暴的伦理边界：暴力革命只能在理性意志的严格主导下，以终结殖民压迫、实现集体解放为目的，并为建构真正公正的新秩序提供条件，否则将走向暴力的死循环或沦为非理性意志主导的个人复仇。罗宾的死亡并非革命的终结，作品结尾赫耳墨斯社

成员维克图瓦的“生”则象征着反殖民实践的延续。她在英国工人阶级帮助下的逃亡,标志着罗宾对母国的守护从个体牺牲升华为一种跨地域、多民族、指向未来的反殖民革命共同体想象。赫耳墨斯社所追寻以解放为终极目的反殖民理想,向不同地区、不同民族的反殖民主体开放。正是在这一意义上,小说的反殖民中国叙事获得了伦理与历史的双重升华——中国不只是故事发生的地理空间,而且成为了凝聚赫耳墨斯社反殖民行动、标定革命正当性与意义的关键坐标。

《巴别塔》的中国叙事是匡灵秀融合其华裔身份对故国的异质性想象和对历史问题的现代性思考的,充满族裔自觉的“反话语”文学实践。白银隐喻所揭示出的、帝国霸权运作的历史伦理环境是罗宾建构伦理身份与赫耳墨斯社重构殖民伦理秩序的根源。文学伦理学批评以此根源为基点,不仅剖析了个体在后殖民伦理困境中的身份撕裂,更进一步审视了集体革命所内含的伦理悖论,映射出后殖民语境下伦理选择与历史叙事的深刻张力,彰显出对单一历史叙事分析的超越。在这一过程中,中英贸易互动揭示的殖民权力运作机制、罗宾的伦理困境与赫耳墨斯社的革命目标,都与中国的命运紧密关联,中国由历史背景转化为驱动反殖民者进行伦理选择的核心动力和价值尺度。《巴别塔》因此不仅是华裔作家以“反殖民中国叙事”重写民族历史、重构文化身份的重要尝试,更以其丰厚的文本实践,为文学伦理学批评在跨文化殖民语境下的理论阐释提供了颇具典范性的个案,为全球化时代的身份认同、历史书写与伦理选择提供了具有启示意义的文学参照。

## Work Cited

- Anderson, Benedict. *Imagined Communities: Reflections on the Origin and Spread of Nationalism*. London: Verso Books, 1983.
- Bhabha, Homi. *The Location of Culture*. London and New York: Routledge, 1994.
- 程爱民:“论美国华裔文学中的‘中国叙事’——以汤亭亭和谭恩美的小说为例”,《外国文学研究》1(2023):117-128。
- [Chen Aimin. “‘Chinese Narrative’ in Chinese American Literature: An Analysis of the Novels by Maxine Hong Kingston and Amy Tan.” *Foreign Literature Studies* 1 (2023): 117-128.]
- Fanon, Frantz. *The Wretched of the Earth*, translated by Constance Farrington. London: Grove Press, 2004.
- 贡德·弗兰克:《白银资本:重视经济全球化中的东方》,刘北成译。北京:中央编译出版社,2011年。
- [Frank, Gunder. *Reorient: The Global Economy in the Asian Age*, translated by Liu Beicheng. Beijing: Central Compilation & Translation Press, 2011.]
- 贺玉高:《霍米·巴巴的杂交性身份理论研究》。北京:中国社会科学出版社,2012年。

- [He Yugao. *Research on Homi Bhabha's Hybridity*. Beijing: Social Science in China, 2012.]
- Kendra, Winchester. "R. F. Kuang: How a Hidden History Became a Fantasy Trilogy." *Reading Women*. 20 Jan. 2021. Available at: <https://lithub.com/r-f-kuang-how-a-hidden-history-became-a-fantasy-trilogy/>. Accessed 21 Nov. 2025.
- Kuang, Rebecca. "*Babel: Or the Necessity of Violence*." London: Harper Voyager, 2022.
- 刘汉波: "当代美国华裔科幻小说中的中国想象", 《民族文学研究》5 (2018): 22-30。
- [Liu Hanbo. "The Chinese Imagination of Contemporary Chinese American Science Fiction." *Studies of Ethnic Literature* 5 (2018): 22-30.]
- Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.
- . "Ethical Literary Criticism: Sphinx Factor and Ethical Selection." *Forum for World Literature Studies* 3 (2021): 383-398.
- : 《文学伦理学批评导论》。北京: 北京大学出版社, 2014年。
- [—. *Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]
- 卫景宜: 《西方语境的中国故事》。杭州: 中国美术学院出版社, 2002年。
- [Wei Jingyi. *The Chinese Story in the Western Context—On the Writing of Chinese Culture in the Chinese American Literary Texts*. Hangzhou: China Academy of Art Press, 2002.]
- 魏鸣昕: "《巴别塔》的空间隐喻", 《长江小说鉴赏》18 (2025): 55-58。
- [Wei Yuxin. "The Metaphor of Space in *Babel*." *Changjiang Novel Appreciation* 18 (2025): 55-58.]
- 王宏志: 《龙与狮的对话: 翻译与马戛尔尼访华使团》。香港: 香港中文大学出版社, 2022年。
- [Wong Lawrence. *Dialogue between the Dragon and the Lion: Translation and the Macartney Mission*. Hong Kong: The Chinese U of Hong Kong P, 2022.]
- 杨博: "罗宾·斯威夫特的身份认同建构——小说《巴别塔》的霍米·巴巴式解读", 《文学艺术周刊》7 (2024): 11-15。
- [Yang Bo. "Identity Construction of Robin Swift—Analysis on *Babel* in Homi Bhabha's Perspective." *Journal of Literature and Art* 7 (2024): 11-15.]
- 杨梓露: "文学与历史: 海登·怀特的转义理论及其效应", 《文艺理论研究》1 (2016): 209-216。
- [Yang Zilu. "Literature and History: on Hayden White's Theory of Tropology and Its Effect." *Journal of Literary Theory Research* 1 (2016): 209-216.]
- 张玥: "鸦片战争前《泰晤士报》对华鸦片报道中的中国形象", 《云南师范大学学报》4 (2021): 149-156。
- [Zhang Yue. "The Image of China in The Times' Opium-related Report on China before the Opium War." *Journal of Yunnan Normal University* 4 (2021): 149-156.]

# 论黎紫书《余生》中的动物意象与女性创伤

## On Animal Imagery and Female Trauma in Li Zishu's *The Remaining Life*

侯霞 (Hou Xia)

**内容摘要:** 黎紫书《余生》以微型叙事切入现代性语境, 透过动物书写与女性主体性的互文关联, 探询家庭、社会与文化层面的伦理身份生成与选择。作品将动物意象作为创伤隐喻的载体, 在伦理身份失范与解体的情境中持续积累并放大创伤的叙事张力, 从而递进式呈现当代伦理困局。其跨物种的伦理联结既拓展了马华离散创伤书写的表达疆域, 也在审美层面彰显并捍卫生命尊严。

**关键词:** 黎紫书; 《余生》; 伦理身份; 动物意象; 女性创伤

**作者简介:** 侯霞, 周口师范学院外国语学院副教授, 主要研究方向为马华文学、创伤叙事。本文为国家社科基金一般项目“马来西亚华裔创伤文学叙事与中华文化关系研究(1945-2015)”【项目批号: 24BWW024】阶段性成果。

**Title:** On Animal Imagery and Female Trauma in Li Zishu's *The Remaining Life*

**Abstract:** Li Zishu's *The Remaining Life* enters the discourses of modernity through micro-narratives. By weaving animal writing and female subjectivity into an intertextual dialogue, it interrogates how ethical identities are formed and chosen within familial, social, and cultural spheres. The work utilizes animal imagery as a vehicle for trauma metaphors, and in situations where ethical identities lapse and disintegrate, these images steadily accumulate and magnify the narrative tension of trauma, thereby progressively unfolding contemporary ethical dilemmas. Its cross-species ethical bond not only widens the expressive territory of Malaysian-Chinese diasporic trauma writing, but also, on the aesthetic plane, proclaims and defends the dignity of life.

**Keywords:** Li Zishu; *The Remaining Life*; ethical identity; animal imagery; female trauma

**Author:** Hou Xia is Associate Professor at the College of Foreign Languages, Zhoukou Normal University (Zhoukou 466001, China). Her academic research focuses on Malaysian Chinese literature and trauma narratives (Email: 20071005@zkn.edu.cn).

马来西亚华文作家黎紫书（本名林宝玲）屡获“花踪文学奖”等重要奖项，其微型小说集《余生》代表了她创作的最高成就。该作品以冷静节制的笔触勾勒现代社会众生相，在凝练的叙事中透射出对生命本质的省思与人性的深刻洞察。黎紫书对微型小说这一体裁有着自觉的美学追求，她在《余生》后记中强调，这种文体“它讲究凝练，到极致时，是小说与诗融入彼此后烧出来的结晶”（黎紫书 263）。这一创作理念深植于她独特的人生经历：从中学毕业后的多种职业体验，到在《星洲日报》担任高级记者的十三年生涯，再到跨国旅居的生活经验，这些丰富的社会接触为她提供了观察现代人生的多维视角。

《余生》收录的71篇作品中，过半数以受创女性为叙事核心。黎紫书在这些故事中创造性地将动物意象与女性形象并置，形成多层次的意义空间：一方面，动物作为“他者”隐喻，揭示出女性在人类中心主义秩序中的边缘处境；另一方面，通过展现女性与动物之间的情感联结，构建出跨物种的生命共同体想象。这种书写策略具有深刻的理论意义。笛卡尔将动物理解为“没有感觉、没有激情、没有生命的机器”（施璇 33），这种工具化认知与现代性权力结构中的殖民逻辑和性别压迫形成同构。在种族、性别与物种的三重压迫格局下，黎紫书通过动物意象既批判了人类中心主义的暴力，也为边缘群体开辟了隐喻性的表达路径。伦理身份是指“一个人在社会中存在的标识，人需要承担身份所赋予的责任与义务”（聂珍钊，《文学伦理学批评导论》263）。《余生》最终指向的是现代社会中伦理身份的困境。通过女性与动物处境的相互映照，黎紫书展现了家庭伦理身份的缺失、社会伦理身份的错位与文化伦理身份的消亡这一三重危机。在开放式结尾的表象下，隐含的是对消费主义时代人的存在困境的深切忧思，引导读者思考在现代化语境中如何重构伦理身份与进行伦理选择。

### 一、家庭伦理身份的缺失

《余生》借由对跨物种共通情感的呈现，揭示了在人类亲属家庭伦理身份缺失的语境中由此引发的关系断裂。作为叙事母题的小说“留守”，在正叙线索的三处关键伦理节点上不断被凸显，勾勒出主人公老妇人对中国传统家庭伦理的恪守：她坚守妻子、母亲与外婆的角色认同，对丈夫、女儿与外孙女不计回报地付出。

老伴瘫痪卧床三年有余之际，老妇人尽心尽责承担照护。然而，这一高强度、耗竭性的照护劳动非但未能唤起女儿的理解与共情，反而被转化为其进一步索取的依据。按常伦，母亲理应获得子女的敬重与赡养；但在此语境中，老妇人的主体性日渐被物化，其生命经验与价值被狭隘地压缩为满足家庭成员需求的纯粹工具性资源。这种伦理冷漠的根源在于，女儿与女婿受消费主义、功利主义与个人主义社会氛围的驱动，激活其“斯芬克斯因子”中

的“兽性因子”，从而在伦理冲突中选择性忽视老妇人的体力劳动、情感付出与内在感受。“‘人性因子’和‘兽性因子’的选择或冲突在某种意义上就是“美德”或“恶行”的选择或冲突”（吴笛 31）。由是，他们抛却了家庭中作为女儿与女婿的伦理身份，一切以利己与实用为行事原则；不顾母亲方才送走亡夫之痛，旋即令其承担起照料一只被他们弃养的小狗的任务。在此，老妇人照顾小狗是第一个重要的伦理结。小狗原为女婿饲养，因陪伴的新鲜感与意义消退而被随意转托给老妇人。女儿明知老妇人“鼻子太敏感，忍受不了狗身上的气味”（黎紫书 33），仍以“陪伴母亲”为名强加其上，实则是对她所剩无几的照料资源的又一次榨取。

在孩子出生后，女儿与女婿再次放弃作为父母的伦理身份，如同先前弃养小狗一般，立刻将刚满月的婴儿推给母亲照看，并借口说“是你的亲外孙女呢，让她陪陪你”（黎紫书 33）。老妇人被迫再度承担育婴之责，形成第二个伦理结。当她试图表达疲惫与压力时，女儿与女婿却回应：“连自己的妈都这样，那我们随便找个保姆算了”（黎紫书 33），其交易化的思维方式暴露无遗。母亲被直接与“保姆”的角色对标，使其作为家庭成员的情感联结与主体尊严在这种比较中被彻底抹除。直至孩子四岁，女儿仍未确立自身的母职伦理身份；她不仅阻止孩子接近狗，也进一步限制其与外婆的亲密互动，训斥道：“别过去啊，狗狗脏，狗狗臭臭”（黎紫书 35）。在此，动物意象成为母亲的隐喻：一旦失去“使用价值”，便被弃置。老妇人的孤独留守与被抛弃的狗互为映照，构成物质与消费高速发展的城市社会中老一辈的遭遇缩影。

在商品经济高速扩张而精神伦理建设滞后的背景下，年轻一代逐渐脱离以亲缘为纽带的农业社会伦理，转向实用主义导向的伦理选择。老妇人的生活处境并非主动求变，而是被动承受不合理安排；在伦理选择过程中，她缺乏拒绝的能动性，其深层根源在于传统中国母亲的伦理身份将“为家付出一切”视为核心规范。她几乎对家人的一切需求有求必应，将“为家而活、为家而劳苦”内化为自我价值的唯一依据，为不拖累女儿而接受孤独与留守。随着身心耗竭、其“可用性”递减，女儿与女婿的关系亦日益疏离，“下次回来不知会是什么时候”（黎紫书 35）。在功利逻辑之下，她被视为暂时无“使用价值”的存在，终至孤身留守家中，与题名“留守”相呼应，并构成最终的伦理结。

文本中那条被弃养的狗的命运，构成对老妇人处境的冷峻镜像。女儿曾许诺毕业两年后便将狗接回，然而十四年光阴流逝，承诺始终未获兑现。狗与老妇人同被置于“服务性功能”（陪伴/照料）的框架之中；当其功能被榨取殆尽，即遭遗忘或抛弃。她们均未被家人视为具备内在情感世界与自主需求的生命主体，而是可被随时调度、使用乃至废弃的资源。在这一叙事中，老年女性与犬类之间的情感共生，实则是对家庭伦理身份缺失的补偿，因

而成为对当下社会家庭结构的批判性隐喻。当四岁的外孙女被女儿强行带离时，“家里的狗像是有所觉，这一上午都病恹恹地趴在角落里，就连她带它出门散步，它也不太提的起劲”（黎紫书 32）。微型小说因篇幅所限未书写老妇人的心理活动，但我们可由狗的情绪反应逆向推断她的内在状态。老人表面自称“解脱”，可以重回太极场，内里却与犬只同沉于与孩子即将分离之痛——“还想回去再与她多缱绻，闻一闻她身上越来越淡了的孩儿香”（黎紫书 32）。日常相处中，狗以“尾巴甩得像风车轮子”（黎紫书 32）的欢悦，弥补家庭的情感缺位；而在别离时刻，它以耷拉耳朵的姿态具象化老人被压抑的哀伤。

“笛卡尔认为动物没有语言、情感和意志，动物不能感知疼痛，更没有理性，不能进行思考和判断”（田玉霞 30）。这一动物机器学说与将女性物化的逻辑在本质上同构：均将有感知的生命体降格为无情感的机器。当女儿一方面将狗界定为陪伴母亲的工具，另一方面又把母亲等同为可替代的保姆，她事实上实施了双重异化——既否认动物的生命性，也抹杀母亲的主体性。女儿将狗与婴儿相继强加于母亲，已背离血缘伦理的责任认知；她对母亲的剩余价值进行持续性榨取，扭曲了代际伦理应有的互助与关怀，使家庭关系异化为一种隐匿的剥削机制。其背后是理性意志在功利主义驱策下的失效，取而代之的是自我中心的任性自由意志。按理，人性因子的理性意志应以伦理意识约束对他者（包括非人类生命）的剥削冲动；一旦自我中心主义压倒道德判断，兽性因子中的自私本能遂占上风，最终瓦解了家庭成员应承担的基本伦理身份与责任。

## 二、社会伦理身份的错位

在《余生》中，家庭伦理身份的缺失使得女性在家庭中难以正确认识自身的责任，进而影响她们在社会中的身份定位。这种现象导致一些女性在步入社会后，面临身份的迷失与困惑。在小说“她·狗”中，年轻女性未能选择符合社会伦理的身份，反而陷入了法律与道德的边缘，成为情人，导致其在生存困境中做出非理性的伦理选择。“道德个体在面临生存困境时，除了做出理性或者非理性的伦理选择之外，还有可能因价值迷失、身份焦虑或主体性缺失而精神迷茫”（苏晖 304）。女孩在大城市的街头流浪，食不果腹，居无定所，她没有依靠自己双手工作挣钱，而是逐渐迷失正常的伦理身份（朋友、邻居、同事、路人等），选择法律所禁止的长期同居下的重婚者身份和道德所不允许的情人身份，依靠已婚男人的收留和施舍度日。在这种非理性的伦理选择下，她任凭男人呵斥和嫌弃。男人“每周两个傍晚会在妻子上班后开车过来”（黎紫书 198）的到访周期，将女性视为纯粹的生理服务功能，其情感需求与主体意志在违背社会伦理的畸形关系中彻底缺位。男性经常对同居空间中的狗子的吼叫“滚开，杂毛！”（黎紫书 198）他作为权力主体对

非人类生命与女性情人进行双重物化。男人处于关系的强势，任意发出指令否定女人的情感或陪伴的需求，甚至是命令女人放弃养狗与打掉胎儿。当男性提议弃养时，女人“没有抗议。抗议也没用吧”（黎紫书 200）。她深知自身与宠物一起寄人篱下，没任何的自主性。此前男人的“为别的事情争执时，男人利落得很，无言语时甩门便走”（黎紫书 200）。这种惩罚机制，使得女人的反抗能力与主体性完全消解，后续继续发展为女孩的精神迷茫中的惆怅和委屈。女性创伤的根源在于当现代社会的伦理环境（如消费主义、功利主义）本身就己“兽性化”时，个体（尤其是弱势女性）的“人性因子”被社会中某些男性为主导的兽性因子压制、扭曲甚至瓦解，最终造成社会伦理身份的错位。

成为合法妻子或者是隐匿的地下情人的社会伦理身份的错位致使女人产生了伦理身份焦虑。另外，女人在情人或母亲的伦理身份之间的“选择”困境中极其痛苦。她纠结留住孩子，成为母亲，还是打掉腹中的胎儿，继续做一个听话的情人。最终那个没成型的孩子连名字也不配拥有，“也只是颗没名没分的泡沫”（黎紫书 201），她没有能力抚养婴儿，也不能获得男人的许可，更没有资格拥有母亲的伦理身份。她把自己的身份焦虑投射到小狗的身上，作为狗主人是她唯一能找寻的伦理身份，给它取个好听的名字，就意味着女孩拥有了仅存的主体性。因此，“给狗儿取名于她竟成了件庄重的事，仿佛那是个仪式，接纳它，向它宣告，这儿是你的家”（黎紫书 201）。然而，还未等到女孩命名的那一天，小狗意外偶遇原主人，“柳足劲，一下子如箭离弦，挣脱了她”（黎紫书 201）。文本中的“狗儿”并非简单的叙事陪衬，而是具隐喻功能的意象。它与女孩的漂泊状态及被男性嫌弃的境遇形成意义上的耦合；其最终归返原主人，象征女孩的情感与生存始终缺乏稳定依托，并暗示男性最终可能抽离关系、离她而去。小说由此呈现一种游离于法律保护与道德约束之外的伦理身份，并在叙事层面揭示其悲剧性逻辑：越界的身份选择往往导向孤绝与败局。

“西方传统哲学对人类理性文明的吹嘘，使人类妄想凌驾于万物之上，这最终导致了人类中心主义的极端思想”（王蕾 83）。然而，“动物伦理主义者认为，动物不是被人类随意榨取的资源，而是具有独立品格的生命体”（杨宗良 158）。从伦理选择的角度审视，女性与动物之间建立的共生关系，实则构成一种对自我伦理身份的重构与捍卫。在“她·狗”中，女性与流浪犬之间的关系超越了世俗意义上的收养，呈现出两个被城市边缘化的生命体之间的深刻联结。初到都市的女孩“挽着两个鼓鼓的行李四处避雨，还被人驱赶”的窘迫处境，与流浪犬“在雨中眨动着忧伤的眼睛凝视着她”的孤独形象形成镜像般的呼应（黎紫书 200）。每当男人在夜色中离去，女孩与狗共同承受被关门声放大的寂寞，彼此以沉默相伴。在这一空间中，“人类学机器的运作逐渐停摆，人与动物彼此联接、相互贯通，共同构建出一个多维

度的亲缘世界，展现出诗学艺术在探讨动物问题上的丰富张力”（郑春晓 102）。这一动物意象构成了对现代都市生存状态的深刻寓言。女孩与狗共同经历的寄人篱下之境，隐喻着新自由主义城市对流动人口的系统性排斥。当人类文明将情感联结异化为可计算的资源时，跨物种的情感纽带虽能暂时缓解存在的孤独，却难以成为挽救伦理身份的根本途径。

### 三、文化伦理身份的消亡

家庭与社会的伦理身份一般情况下聚焦于一个群体、地域或者种族之间的人与人的关系。“氏族、部落和国家都是由人组成的，因此氏族、部落和国家也一样有了伦理属性”（聂珍钊，“伦理选择概念的两种涵义辨析”19）。在全球化语境下，个体的身份困惑汇聚为族群的文化身份危机。虽然承袭着自己的母语与传统习俗，却经常在移民国社会的公共领域感受到被疏离。每个人的共同的身份困惑逐渐串联放大，变为本族层面的文化身份危机。《余生》涉及跨种族、跨地域与跨社会语境中的文化伦理身份议题。家庭伦理身份的缺位与社会伦理身份的错位相互叠加，共同加剧了文化伦理身份“消亡”的危机。在小说“迁徙”中，一名华人女孩与其外国男友谈起天花板上的壁虎。男孩解释，这种小型壁虎随东亚商船漂洋过海而至，“繁殖力很强，以前都没出现过的，突然间到处都可以看到”（黎紫书 84）。女孩怜惜壁虎可能会想家；男孩看出她由壁虎联想到自身，对嫁往异国他乡的顾虑，遂安慰说，以后若想念家乡，可以乘坐飞机，三十多个小时的旅程便能回家。女孩随即疑惑这些壁虎在当地是否有语言障碍；她想起两次听他与家人通电话时，一点都听不懂的语言所带来的隔阂。她对男孩说：“有点怕呢。太遥远，太陌生，太孤单。去到那里以后，似乎除了你，我便一无所有了”（黎紫书 85）。当她追墙壁虎的后续境况时，男孩自豪地回答，它们慢慢越来越少，最后几乎消失了，只剩下本地体型更大的壁虎，“是原来在那里的壁虎把它们吃掉了”（黎紫书 86）。

“迁徙”一语双关，既指先前壁虎的跨海移居，也预示女孩未来的远嫁。他乡文化与本族文化的冲突迫使她在伦理身份上作出艰难抉择：是放弃自身所依凭的语言、风俗与思想，还是转而接受他国文化？她的困惑正在移民国身份与中华文化身份之间摇摆。然而，多元文化语境下身份的流动性，并非可由类似壁虎“体型大小”这类外在、生理标识所界定，而在于“思想与精神层面对某种价值观和宗教信仰（包括语言）的选择与认同”（苏晖 296）。小型壁虎被大型壁虎吞食的叙述，遂成为女孩未来境况的隐喻：一旦将他国文化身份作为唯一归属，自我文化身份可能被完全替代。当女孩听闻“家乡来的”壁虎最终几近绝迹、只余本地大壁虎存活时，她仅答以一声“哦”，随即陷入沉默与思索。她的反应中透出忧伤与失落；与男孩的对话愈发低微，“那幸福感是浮动的，如此的不确定”（黎紫

书 85)，她近乎喃喃自语地向他发问，却不经意地用了华语。可见，文化伦理身份的选择本就是一场充满纠结与痛感的过程；置身他国或他族的环境，每一次取舍都可能成为创伤性的体验，弥漫着危机与不确定。

华裔女性作家通过这种细腻而反转的叙事，实现了文学伦理批评的实践意义。在父权制与跨国（跨族群）交往的伦理秩序中，异族女性与动物往往被边缘化、被同化、被去主体化。文本通过描摹女孩由对婚姻的憧憬转入疑惑、焦虑乃至恐惧的心理轨迹，控诉华族文化身份在权力博弈中的被压抑与被挪用，并由此唤醒读者的伦理感知：每一个被压迫的文化身份背后，都是应受尊重的文化主体性的无声呼告。正如黎紫书本人，其文化之根植于马来西亚霹靂州怡保；汉语与中华伦理观念构成其身份认同的底座。即便远嫁美国，她仍坚持语言与国籍不改，以华语创作、以伦理思辨为旨，维系自身的文化根系。由此，她笔下常回望先辈为谋生远渡南洋、母辈故土仍在中国的集体记忆；读者遂得以在其华语叙事中辨认“自家小城”的生活切片，进而生发共鸣与反思。

《余生》中有着丰富的跨物种的伦理联结，这为马华离散经验中的创伤表达开辟了新途径。首先，从动物作为创伤的“隐喻的工具”拓展为“生命的关联”。马来西亚华裔文学创伤叙事中的动物具有隐喻创伤特征，而《余生》中的动物既隐喻主人公所经历的创伤，又把人与动物（如小说中的狗、壁虎、猫等）联系在一起，共同经历创伤。其次，动物与人的创伤空间从“历史政治场域”转移到“生命伦理场域”。传统马华离散创伤叙事常集中在马来西亚国内的民族认同、文化冲突和历史记忆的纠葛，而《余生》通过跨物种联结，小说将创伤置入一个普遍性，去在地化的现代全球社会中，没有地理特征，人物也无名无姓，文本使用“她”、“他”或“女人”、“男人”等称谓表达普遍涵义。离散者与动物一起经历飘零感与孤独感，从家庭、区域到超越国界。文学伦理学批评为解读《余生》中“跨物种伦理”的叙事实践提供了全面系统的理论框架。文学伦理学批评关注“伦理身份”的困境与转变，通过分析文学作品中人物基于不同的伦理身份的定位做出不同的“伦理选择”，从而推动人物命运的变化与主题的深化。这些选择推动叙事情节发展，深刻映射人物的心理创伤，由此可以更深入剖析个体在具体情境中与动物建立共存关系时所产生的内在道德张力与伦理身份重塑的迫切性。

### 结语

在马华文学场域，作家要获得可见度往往需借助奖项加持；而评奖与市场对“在地性”标识的偏好，也推动文本在地景、物候与民俗符码上着力。黄锦树、张贵兴等作家笔下频出的椰风蕉雨、野猪鳄鱼、橡胶榴莲、洪水沼泽等意象，连同“中华性”的诗词、礼俗与民间故事，以及东南亚社会华人的国家与族群身份的认同困惑，共同构成了被反复调用的审美范式。黎紫书的《国

北边陲》等作品凭借此路径获得花踪文学奖，但在后续出版的《余生》中，我们辨识出一条从“直面在地历史”到“去在地化”的创作脉络。这一脉络并不是断裂，而是马华离散书写的深化与升华。当历史创伤如此沉重又被马来西亚官方话语遮蔽，当“说故事”本身都成为难题时，书写者是否要寻找一种新的语言？《余生》正是对这一问题的回答。这使她的作品从马华文学的具体坐标，驶入了关乎人类普遍境遇的广阔海域。她将镜头移至衣食住行的日常现场，以微型叙事捕捉现代社会普通人的生存轨迹与精神困境，将国族寓言转化为具有跨地域普遍性的伦理议题，以小见大，直面女性被物化、工具化的现实。

“作为伦理选择的方法，教诲需要工具，这个工具就是文学”（聂珍钊，“文学伦理学批评与人性概念的辨析” 7），文学的教诲功能是通过展现这类扭曲的伦理选择及其后果之后来实现的。“如果文学理论不能发挥引导作用，不能解决现实问题，理论就会因为无用而死去”（聂珍钊，“人文研究的科学转向” 565）。因此，文学伦理学批评视角下观察这些叙事共同指向同一伦理危机，即对女性的工具化。黎紫书将马华离散经验中的创伤转化为美学形式。在全球化语境下，这种写作方式和内容超越了简单的乡愁叙事，通过对特定伦理身份困惑的深刻呈现，为读者提供了普遍性的道德思考。《余生》的文学价值在于，它通过“微创伤”的诗学表达，展现伦理选择的复杂性与日常性，记录马华离散群体的伦理处境，为文学如何介入现实伦理问题提供了通过最细微的生活切片来实现的范式。

### Works Cited

黎紫书：《余生》。北京：北京十月文艺出版社，2025年。

[Li Zishu. *The Remaining Life*. Beijing: Beijing October Literature & Art Publishing House, 2025.]

聂珍钊：“伦理选择概念的两种涵义辨析”，《外国文学研究》6（2022）：15-25。

[Nie Zhenzhao. “Analyzing the Implications of Ethical Selection and Ethical Choice.” *Foreign Literature Studies* 6 (2022): 15-25.]

——：“文学伦理学批评与人性概念的辨析”，《名作欣赏》7（2020）：5-11。

[—.“Ethical Literary Criticism and the Analysis of the Concept of Human Nature.” *Masterpieces Review* 7 (2020): 5-11.]

——：《文学伦理学批评导论》。北京：北京大学出版社，2014年。

[—.*Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]

——：“人文研究的科学转向”，《文学跨学科研究》4（2022）：563-568。

[—.“The Scientific Turn in Humanities Research.” *Interdisciplinary Studies of Literature* 4 (2022): 563-568.]

施璇：“笛卡尔的动物——机器说新论”，《复旦学报》2（2025）：33-42。

[Shi Xuan. "A New Interpretation of Descartes's Beast-Machine Doctrine." *Fudan Journal* 2 (2025): 33-42.]

苏晖：《美国文学的伦理学批评》。北京：北京大学出版社，2020年。

[Su Hui. *Ethical Criticism of American Literature*. Beijing: Peking UP, 2020.]

田玉霞：“后殖民动物批评视域下的《与狼共度》解读”，《兴义民族师范学院学报》2 (2020)：27-31。

[Tian Yuxia. "An Analysis of Farley Mowat's *Never Cry Wolf* from the Perspective of Postcolonial Zoocriticism." *Journal of Xingyi Normal University for Nationalities* 2 (2020): 27-31.]

王蕾：“库切小说的后殖民生态批评解读：基于动物伦理观的探讨”，《西昌学院学报》2 (2017)：82-85。

[Wang Lei. "The Analysis of Coetzee's Novels from the Perspective of Postcolonial Eco-criticism: On the Ethical View of Animals." *Journal of Xichang College* 2 (2017): 82-85.]

吴笛：“斯芬克斯因子”溯源与阐释，《外国文学研究》2 (2022)：26-36。

[Wu Di. "The Origins and Interpretations of the 'Sphinx Factors'." *Foreign Literature Studies* 2 (2022): 26-36.]

杨宗良：“当代西方文学批评的动物转向”，《当代外国文学》1 (2025)：156-163。

[Yang Zongliang. "The Animal Turn in Contemporary Western Literary Criticism." *Contemporary Foreign Literature* 1 (2025): 156-163.]

郑春晓：“人类学机器的停摆与伴侣物种：露易丝·格吕克诗歌中的动物叙事初探”《当代外国文学》2 (2024)：97-103。

[Zheng Chunxiao. "The Shutdown of the Anthropological Machine and Companion Species: Animal Narratives in Louise Glück's Poetry." *Contemporary Foreign Literature* 2 (2024): 97-103.]

# 伦理的身体与自然的身体：中国当代文学中的排泄叙事与伦理规训

## The Ethical Body and the Natural Body: Excretion Narrative and Ethical Discipline in Contemporary Chinese Literature

何俊 (He Jun)

**内容摘要:** 本文以文学伦理学批评为理论框架，结合福柯的身体规训理论、生态伦理及身体现象学，系统考察了中国当代文学中独特的排泄叙事及其伦理意涵。论文提出并论证了“伦理的身体”与“自然的身体”这一对核心概念的辩证关系。研究表明，排泄叙事不仅是权力规训个体、构建文明秩序的微观政治焦点，亦是生命与土地进行能量交换、确认生命归属的本体论象征。在现代性语境下，这两种身体观念陷入深刻的悖反与拉锯，同时，文学也通过土地的永恒循环、民间的生存智慧与后现代的戏谑姿态，探索了二者和解与超越的潜在路径。

**关键词:** 排泄叙事；身体伦理；土地伦理；规训；中国当代文学

**作者简介:** 何俊，滇池学院人文学院教授，主要研究方向为中国现当代文学。本文系云南省课程思政示范课“云南大学滇池学院《中国现当代文学》”、云南省一流本科课程项目“滇池学院《中国现当代文学》”【项目批号：2024-5-308】、滇池学院2024年教育教学改革研究项目“中国特色文学理论融入中文系课程体系及人才培养方案全过程的研究与实践”【项目批号：2024XJJG05】的项目成果。

**Title:** The Ethical Body and the Natural Body: Excretion Narrative and Ethical Discipline in Contemporary Chinese Literature

**Abstract:** Employing ethical literary criticism as its theoretical framework and integrating Foucault's theory of bodily discipline, ecological ethics, and phenomenology of the body, this paper systematically examines the unique Excretion Narrative and its ethical implications in contemporary Chinese literature. It proposes and demonstrates the dialectical relationship between the core concepts of "the ethical body" and "the natural body." The research reveals that Excretion Narrative serves not only as a focal point of micropolitics through

which power disciplines individuals and constructs a civilized order but also as an ontological symbol for the exchange of energy between life and the land, affirming a sense of existential belonging. Within the context of modernity, these two conceptions of the body are caught in profound paradox and tension. Simultaneously, literature explores potential paths for their reconciliation and transcendence through the eternal cycle of the land, the practical wisdom of folk survival, and a postmodern stance of ridicule.

**Keywords:** excretion narrative; body ethics; land ethics; discipline; contemporary chinese literature

**Author:** He Jun is Professor at the School of Chinese Language and Literature, Dianchi College (KunMing 650228, China). His main research direction is modern and contemporary Chinese literature (Email: 37502107@qq.com).

在中国当代文学的谱系中，从莫言笔下污秽与生机并存的“高密东北乡”，到阎连科作品中作为生存绝境与荒诞反抗舞台的“粪坑”“尿池”，再到余华《活着》里连接人与土地的“粪缸”，以及王朔《看上去很美》中作为规训与反抗媒介的“排泄物”——一系列触目惊心的排泄叙事<sup>1</sup>，构成了一个不容忽视的文学现象。排泄叙事根源于20世纪文学理论的身体转向，并在中国先锋文学本土化实践中集中凸显了出来，这些逾越了传统美学与文明禁忌的“不洁”书写，绝非简单的审丑炫奇或自然主义的粗鄙展示。在其生理性、物质性的表象之下，潜藏着深刻的伦理命题：它们生动地呈现了“伦理的身体”与“自然的身体”之间的剧烈冲突，并以此为核心，展开了对现代性进程中文明规训、乡土伦理崩解以及生命本体意义的持续叩问。所谓“伦理的身体”，是指在特定社会权力结构与文明规范中被编码、被塑造的身体，它遵循着一套关于“洁净”“得体”与“秩序”的伦理法则，是福柯所揭示的“规训权力”作用的直接对象；同时，也是文学伦理学批评理论中“伦理选择”的标志体现。而“自然的身体”，则指向前文明的、与土地、生命本能和原始生命力相连的身体状态，它代表着一种未被完全规训的、质朴而强韧的自然伦理。当代中国文学中的排泄叙事，恰恰成为了这两种身体观念及其背后伦理体系交锋的临界点。通过这一独特的视角，作家们不仅批判了外部制度对个体身体的微观治理，也追寻着在现代化浪潮中日渐失落的人与土地、生命与自然的本源连接，以及在面对这两种身体时，人的“自然选择”与“伦理选择”的博弈；从而赋予了“排泄”以丰厚的伦理意涵与批判性力量。

1 本文所指“排泄叙事”，属于当代中国文学中“身体叙事”的一个衍生分支，指对人体排泄过程及其相关元素的文学表现形式。具体包括：行为层面（如排便、咳痰、失禁等行为）；场所层面（如粪坑、厕所等场景）；产物层面（如粪便、尿液、痰液、屁等产物）；以及相关语言层面（如“屎尿屁”语言）。

本文将立足于文学伦理学批评的视域，以中国当代文学作品中相关代表性文本为分析对象，系统梳理排泄叙事在中国当代文学中的呈现方式与演变脉络。论文旨在论证：排泄叙事是作家们用以探讨“伦理的身体”与“自然的身体”之间复杂辩证关系的关键媒介，它既是权力规训的焦点，也是自然生命力的象征，更是现代性伦理困境的集中体现。通过对这一现象的深入剖析，本文试图揭示中国当代文学如何以其独特的美学实践，参与到关于个体自由、文明代价与生命归属等根本性伦理问题的深刻思考之中。

### 一、伦理的身体：排泄与文明规训的微观政治

人的身体，自步入文明社会伊始，便不再是纯粹的自然造物，而是成为了权力规训与伦理编码的首要对象。在这一过程中，排泄行为及其产物，因其原始的、不受控的特质，首当其冲地被卷入文明化的进程，成为了构建“伦理的身体”的关键场域。按照拉波特（Dominique Laporte）的观点，粪便在人类漫长历史长河中，成为了文明的对立面，成为了公共权力视野范围内最典型的眼中钉。无论是具象的粪便本身，还是抽象的“屎尿屁”语言，都是公共权力专政的对象。<sup>1</sup>在中国当代文学的叙事中，排泄恰恰成为了展示这种微观政治运作的生动标本，它揭示了权力如何渗透至最私密的生理领域，将自然的身体功能改造为合乎社会规范的伦理实践。

#### （一）《看上去很美》：制度化的肛门与儿童的驯化

在王朔的《看上去很美》<sup>2</sup>及其电影改编中，幼儿园的“小红花”制度，是一个精密的规训装置。它将一系列日常行为，包括排泄，纳入了一套可视化的奖惩体系。影片中，老师明确宣布，获得小红花的标准包括“按时上厕所”、“不尿床”和“饭前便后洗手”。于是，排便这一生理需求，其时间、地点和后续清洁，不再由个体的自然节律决定，而是被严格纳入集体作息的时间表与卫生规范之中。

主角方枪枪，因为没有上过小班，直接来到中班，所以作为规训体系的“闯入者”，其困境集中体现在排泄这一环节。影片中，他因未能成功在指定时间排便而焦虑地询问：“那会不会扣我小红花呢？”<sup>3</sup>这一细节极具象征意义：他的担忧并非源于生理上的不适，而是源于对制度惩罚的恐惧。权力通过小红花这一物化符号，成功地将外部规训内化为个体的自我审查。正如福柯所描述的“规训权力”的生产性，它不仅仅满足于压制，更致力于塑造“驯顺的身体”（docile bodies）。<sup>4</sup>在这里，一个符合规范的、“文明”的

1 参见 拉波特：《屎的历史》周莽译，北京：商务印书馆，2006年。

2 参见 王朔：《看上去很美》，北京：北京十月文艺出版社，2024年。

3 参见 张元导演的电影《看上去很美》的第15分钟。

4 参见 福柯：《规训与惩罚：监狱的诞生》，刘北成、杨远婴译，北京：生活·读书·新知三联书店，2003年，第170页。

儿童，首先必须是一个能够控制自己肛门括约肌、并使其行为符合集体时间表的儿童。方枪枪后续的尿床行为，则可被视为其无意识领域对这套严密规训系统的本能反抗，用方枪枪的话来说，他撒尿，是想要用尿液冲走“吃人的大妖怪”<sup>1</sup>，他以失控的、流淌的排泄物，短暂地冲破了制度的牢笼，成为了伦理驯化身体的最典型的案例。

## （二）《白鹿原》：儒家礼教中的污秽惩罚与身体规训

区别于制度对儿童身体的伦理规训，在陈忠实的《白鹿原》<sup>2</sup>中，田小娥的命运提供了儒家礼教对女性身体进行微观规训的典型例子。小说通过宗族对她的惩罚，将粪便与污秽作为“不洁”的物质工具，揭示了传统文明规范如何将排泄产物转化为权力执行的媒介，既维护了宗族伦理秩序，又暴露了规训对个体本能的深刻压抑。

田小娥的私情暴露后，宗族以极端方式处理她的身体，将其关入猪圈并遭受泼污秽与粪便的羞辱。这一场景中，粪便不再是单纯的生理产物，而是被礼教征用为规训的象征物：权力通过强制性的污秽返还，迫使个体身体体验“不洁”的耻辱，从而内化洁净与得体的伦理标准。猪圈这一原本用于动物排泄的场所，被转化为对人类身体的惩罚场域，宗族长辈与村民的集体行动则体现了微观政治的运作——规训并非来自抽象制度，而是渗透到日常舆论与物质实践之中。

这一污秽惩罚的辩证性在于：它一方面强化了儒家礼教对家族纯洁与社会秩序的维护，避免了道德规范的崩解；另一方面，却以残酷方式异化了自然的身体，将田小娥从一个充满生命力的个体，贬低为宗族眼中的污染载体，导致其最终的悲剧结局。这种处理生动体现了排泄叙事在传统语境下的伦理意涵：粪便作为最原始的“不洁”，成为文明规训个体、构建伦理的关键媒介。

在幼儿园、猪圈等不同场域中的排泄叙事，揭示了“伦理的身体”被建构与被规训的微观政治机制。无论是通过制度化的奖惩、意识形态的压抑，还是社会身份的约束，排泄都成为了权力运作的一个焦点，它清晰地标记出自然本能与社会规范之间的边界，以及个体在被迫穿越这一边界时所承受的张力、扭曲与痛苦。

## 二、自然的身体：排泄与土地伦理的生命循环

在与权力规训的“伦理的身体”相对的另一极，中国当代文学中的排泄叙事，同样深刻地指向了一个前文明的、与土地血脉相连的“自然的身体”。这一维度下的排泄，不再是需要被隐匿和规训的污秽，而是生命参与自然能量循环、确认自身归属于土地的原始而庄严的仪式。它呼应了生态伦理学中“土地伦理”的基本诉求，即应将人类视为生命共同体中的平等一员，而非征服者：

1 参见 张元导演的电影《看上去很美》的第 45 分钟。

2 参见 陈忠实：《白鹿原》，北京：人民文学出版社，2012 年。

同时，它也体现了身体现象学所揭示的肉身与世界的交融互渗，即我们的身体本质上“在世界之中”。<sup>1</sup>在此视角下，排泄物是身体返还给土地的馈赠，是生命循环中不可或缺的一环。

### （一）《活着》：粪便作为“土地-生命”的图腾

余华的代表作《活着》<sup>2</sup>的开头，徐老爷子于村口粪缸上的排泄行为，被赋予了一种近乎神圣的仪式感。他并非如“文明人”般在私密的马桶上完成此事，而是坚持“跟牲畜似的喜欢到野地里去拉屎”（4），并要“看着天色慢慢黑下来，罩住他的田地”（4）。这一行为超越了单纯的生理需求，成为一种确认土地所有权与生命归属感的象征性实践。粪便在此，如同动物用以标记领地的排泄物，是身体与土地建立连接的、最原始也最直接的物证。

文本中一个至关重要的细节是，当福贵输光家产，土地易主之后，徐老爷子第一次也是最后一次从粪缸上摔下身亡。他的死亡，直接源于“他已不是走在自己的地产上了”（10）这一残酷事实，这一细节形成深刻的“伦理结”——“自然的身体”与土地的脐带被现代化进程剪断，导致徐老爷子的伦理选择仅剩死亡以确认归属。徐老爷子的粪缸，因而成为了一座“土地-生命”的图腾，他的死亡则宣告了与这一图腾分离后的“自然的身体”的终结。“他预视到了自己的死亡。这是他生平第一次掉下来，这也是他生平最后一次掉下来。他和土地的连接，被永久地切断了。土地是徐老太爷的灵魂，粪缸就是土地的图腾”（何俊、舒云鹤 1-3.）。

### （二）《丰乳肥臀》：生殖、排泄与土地的丰饶哲学

莫言的《丰乳肥臀》<sup>3</sup>将这种“自然的身体”哲学推向了一个更为庞杂、野性的高度。在莫言的笔下，生殖、排泄与土地的丰饶被有意地混杂在一起，共同构成了一幅原始生命力的狂欢图景。小说中，上官鲁氏的难产场景将生殖与排泄意象有意混杂在一起。作为上官家族的母亲，她在生育九个孩子的过程中，经历了身体的极度扭曲与分泌：血水、羊水、经血与粪便般的污秽物交织涌出，这一过程不仅体现了生殖的痛苦与丰饶，还将排泄作为生命能量返还土地的直接象征。在莫言笔下，这种混杂超越了单纯的生理描述，成为对原始生命力的颂扬——排泄物如同腐殖质，滋养着土地的蓬勃生机，模糊了“洁净”与“污秽”的界限。

而这种丰饶哲学，正建立在对一切“洁净”与“污秽”的人为区隔的消解之上。小说中，人物的生老病死、爱恨情仇，总是与粪尿、经血、腐肉等意象交织在一起。莫言并非意在颂扬污秽，而是通过这种混杂，还原了一个前现代的、未经文明伦理彻底过滤的生命本真状态。在这里，排泄与生殖一样，是土地蓬勃生机在身体上的直接映照。正如肥沃的土地需要腐殖质的滋

1 参见 梅洛-庞蒂：《知觉现象学》，姜志辉译，北京：商务印书馆，2001年，第184页。

2 参见 余华：《活着》，北京：北京十月文艺出版社，2021年。

3 参见 莫言：《丰乳肥臀》，北京：作家出版社，2012年。

养，强韧的生命也必然包孕着这些被视为“不洁”的代谢物。这生动体现了“斯芬克斯因子”<sup>1</sup>中兽性因子（原始的生殖与排泄本能）与人性因子（母亲的坚韧、家族的延续意志）并非对立，而是在土地伦理中融合为一股完整的生命力。这种叙事策略，构成了一种粪便学的形而上学<sup>2</sup>，它以一种不容忽视的粗粝感，捍卫了“自然的身体”及其所代表的混沌而强大的生命力。

从《活着》中的生命图腾，到《丰乳肥臀》中的丰饶哲学，揭示了中国当代文学中“自然的身体”通过排泄叙事所构建的生命与人体的哲学关系。在这一谱系中，排泄是生命回归土地的通道，是原始生命力的赞歌，也是在文明夹缝中寻求生存的最终依据，与“伦理的身体”形成了深刻的对话与对峙。

### 三、悖反与困境：两种身体的伦理拉锯

正如方枪枪用撒尿来对抗制度，作为文明规训焦点的“伦理的身体”和作为生命本源象征的“自然的身体”并非总是泾渭分明，而是常常陷入一种充满张力与悖论的复杂拉锯。这两种身体之间的对抗和妥协，在现代性语境下的相互渗透、扭曲与冲突，以及由此产生的深层的伦理困境。

#### （一）《红蝗》：作为“审丑”美学的伦理反抗

莫言的《红蝗》<sup>3</sup>是展示这种悖反的典型文本。主人公经常自嘲为粪便一般的存在，认为迟早要被大都市给排泄出去。甚至扬言，都市的粪便臭不可闻，而农村的粪便芳香四溢。这种审丑书写，并不简单的是以左拉为代表西方自然主义在现代中国的新版本，而是一种有意识的文化及审美实践。通过将那些被主流美学和文明伦理所压抑、所排斥的“不洁”之物推至前台，莫言在进行一场美学的“祛魅”与“复魅”。

他以此粗野而蓬勃的“自然的身体”意象，对抗着某种僵化的、虚伪的“伦理的身体”规范，肆意嘲弄以钢筋水泥为代表的现代法则。正如巴赫金在论述狂欢节文化时所指出的，降格与褻渎的行为本身即是对官方严肃文化的颠覆与革新。<sup>4</sup>在《红蝗》中，粪便的意象成为了一种反抗的武器，它冲击着被过度“文明化”的审美趣味与伦理准则。然而，这种反抗本身也陷入了一种悖论：为了打破旧的伦理枷锁，它不得不倚重于被该伦理定义为负面和低级的事物。这种以“丑”抗“美”、以“自然”反“伦理”的策略，虽然在美学上取得了爆炸性效果，但在伦理层面上却呈现出一种“无政府主义”的混乱姿态：在小说结尾，主人公“我”在城市和农村的夹缝里始终找不到自己的位置，随即发出了“人非人，社会也就是非人的社会，人吃人，社会也

1 参见 聂珍钊：“文学伦理学批评：伦理选择与斯芬克斯因子”，《外国文学研究》33（2011）：1-13。

2 参见 张闳：《身体意识形态》，广州：中山大学出版社，2008年，150-180。

3 参见 莫言：《食草家族》，浙江：浙江文艺出版社，2020年。

4 参见 巴赫金：《拉伯雷研究》，李兆林、夏忠宪译，石家庄：河北教育出版社，1998年，第250页。

就是吃人的社会”的感慨（159）。作品未能提供新的、建设性的伦理方案，从而揭示了反抗本身所内含的破坏性与不确定性，以至于作品的结局，也指向了虚无和空洞。

### （二）《丁庄梦》：作为惩罚与救赎的双重隐喻

阎连科的《丁庄梦》<sup>1</sup>则将排泄叙事置于一个更为绝望的现代性悲剧之中。在中原艾滋病村“丁庄”这个被现代发展主义伦理所遗弃的绝境里，“血”与“粪”的意象交织在一起，共同书写着生命的溃败。“血”象征着被污染的生命内部、无法控制的疾病与死亡；而“粪”则关联着土地，象征着或许唯一可能的、也是最终极的归宿。

在这里，排泄物呈现出双重隐喻。一方面，它是惩罚的印记。丁庄人的身份在疾病与现代性风险下崩塌，他们原本作为农民的生存定位，被资本逻辑与发展主义伦理彻底剥夺，转为“被遗弃者”的边缘身份。疾病的症状、身体的腐烂与失禁，如同一种持续的、可见的惩罚，标记着他们被排除在正常社会伦理保护之外的悲惨境遇。另一方面，土地与粪便所代表的循环，又暗示着一种原始的、近乎虚幻的救赎可能。“血”象征人性因子（理性与规范的残余，在污染中扭曲），而“粪”则代表兽性因子（原始本能的回归，在绝境中爆发），二者冲突形成不可解的伦理结，凸显人物面临的伦理选择极为有限——是屈从资本的伦理身份崩解，还是无奈回归土地的原始循环？小说中的人物最终回归土地，他们的身体与排泄物一同融入泥土，这既是生命的终结，也是在现代性伦理全面失效后，向“自然的身体”及其所属的土地伦理所做的一种悲怆而无奈的回归。这种回归并非《活着》中那种生生不息的循环，而是一种崩溃后的寂灭，深刻地揭示了在发展的神话破灭后，“自然的身体”及其伦理亦无法提供真正出路的现代性困境。

### （三）《废都》：规训失效与伦理失据

作为上述困境的延伸，贾平凹《废都》<sup>2</sup>中的庄之蝶则代表了知识分子阶层在时代剧变中的身体与伦理困境。庄之蝶试图在传统士大夫情趣与现代都市生活之间找到平衡，但其身体却呈现出全面的“失能”与“失禁”状态。他的性无能、精神萎靡以及在情欲与世俗事务中的狼狈不堪，是其“伦理的身体”陷入危机的集中体现。

他所接受的传统与现代的伦理规训在此刻双双失效，无法为他的存在提供稳固的支点。于是，他的身体不再是承载“道”的器皿，也不是充满生命力的“自然”之躯，而成了一个在两种规训体系夹缝中无所适从的、空洞而颓败的符号。他的排泄不畅、反复咳痰、呕吐（如便秘的暗示）与情欲的淤塞形成同构，共同隐喻了知识分子话语与精神的双重“淤塞”。庄之蝶的困境表明，当“伦理的身体”所依附的价值系统崩塌，而“自然的身体”又因

1 参见 阎连科：《丁庄梦》，上海：上海文艺出版社，2006年。

2 参见 贾平凹：《废都》，浙江：浙江文艺出版社，2021年。

文化的隔阂而无法真正回归时，个体便会陷入一种深刻的伦理失据与存在性焦虑之中。

#### 四、消解与和谐：排泄叙事中的身体和解与伦理超越

在对“伦理的身体”的规训与“自然的身体”的本源进行剖析，并揭示其现代性困境之后，一个必然的追问是：在这两种身体观念的剧烈拉锯中，是否存在妥协与出路？本节探讨两种可能的路径：从土地循环的救赎，到民间坦然的和谐。

“道德和文学之间绝非对立关系（……）为文学的产生与存在提供合理性，是一种生发性的引导力量”（聂珍钊，《文学伦理学批评理论研究》121）。中国当代文学的排泄叙事，在展现了足够的批判锐度与悲剧深度之余，也确实尝试描绘了某种超越二元对立的可能性。这种“出路”并非一种简单的折衷，而是表现为三种不同的面向：在宏大的土地循环中实现历史的救赎，在朴素的民间日常中达成韧性的坦然，以及在后现代的戏谑狂欢中对一切对立进行彻底的消解。

##### （一）《生死疲劳》：土地循环对历史暴力的消解与救赎

莫言的《生死疲劳》<sup>1</sup>提供了一种超越人类个体的宏大叙事。小说通过主人公西门闹怀着巨大冤屈在畜生道中不断轮回（驴、牛、猪、狗等）的荒诞叙事，将“自然的身体”推至极致。这些动物之躯以其炽烈、粗野的生命力——旺盛的食欲、赤裸的情欲和毫无顾忌的排泄——构成了一部对抗僵化历史与政治伦理的肉体寓言。动物们的存在本身，就是对那段试图将“伦理的身体”高度纯化、符号化的历史的一种讽刺与稀释。

然而，莫言的深刻之处在于，他并未让这种对抗无限期地持续下去。小说的结尾，当西门闹的冤屈最终消散，他作为“大头儿”蓝千岁获得了安宁，其叙事也重归于那片土地。这暗示了一条超越性的出路：个体所承受的、由特定历史“伦理”施加的创伤与暴力，最终可以被土地伦理下的永恒生命循环所吸纳与消解。

“在屎尿与权力之间，人的主体性形成与他和身体、和粪便的关系密不可分”（拉波特 147）。在这个循环中，死亡、腐烂、排泄与再生是必不可少的环节。西门闹的愤怒与冤屈，在一次次投身于“自然的身体”（动物）并最终回归土地的过程中，被逐渐稀释、转化，融入了土地沉默而包容的节奏里。在这里，排泄叙事不再是冲突的焦点，而是生命回归本源、实现终极和解的必然通道。土地的宏大叙事，最终抚平了历史的伤痕。

##### （二）《秦腔》：民间日常中的身体韧性与和谐

与《废都》中知识分子的身体焦虑形成鲜明对照的，是贾平凹在《秦腔》<sup>2</sup>

1 参见 莫言：《生死疲劳》，北京：作家出版社，2013年。

2 参见 贾平凹：《秦腔》，北京：人民文学出版社，2023年。

中所描绘的清风街图景。在这片乡土上，农民们的身体与他们的排泄行为，是日常生活里最寻常、最不加掩饰的一部分。它粗粝、真实，甚至带有一丝民间的幽默，却远离了意识形态的紧张与文明规训的焦虑。

在清风街的伦理中，存在着一种基于生存本身的实用智慧。这种智慧天然地模糊了“洁净”与“不洁”的绝对界限。排泄作为一种生理现象，与吃饭、劳作、生病、死亡一样，是生命流程中的一个自然段落。因此，在这里，“自然的身体”与乡土社会自身的“伦理的身体”之间，达成了一种基于“坦然”的和平共处。这一和谐体现了清风街农民的“伦理身份”——他们在乡村语境中，通过朴素的生存经验构建一种稳定的伦理定位，避免了现代规训的异化。同时，它反映了人物的“伦理选择”：选择坦然接纳生理本能（如排泄的自然性），而非为其感到羞耻，这源于“斯芬克斯因子”的平衡——人性因子（实用智慧与理性规范）主导兽性因子（原始本能），化解潜在的伦理结。这种和谐并非通过高深的理论构建，而是源于民间生活最朴素的韧性。它不试图去征服自然本能，也不为本能而感到羞耻，只是将其视为日常生活的一部分加以接纳。这种在日常琐碎中展现的身体观，以其强大的包容性和稳定性，为我们提供了一种在宏大冲突之外安顿身体的朴素智慧。

### 结语

通过“规训”“自然”“悖反”与“和谐”四个维度的分析，本文讨论了中国当代文学中排泄叙事所蕴含的丰富伦理意涵。这些“排泄”书写，生动地展现了“伦理的身体”与“自然的身体”之间持续而复杂的博弈。它既是权力微观政治的聚焦点，亦是土地生命循环的参与者，更是现代性伦理困境的症候式表达。

以排泄叙事作为切入点，中国当代文学的大量作品中，展现了“伦理的身体”与“自然的身体”被迫分裂所导致的种种病症，更以多样化的文学实践，探索了弥合创伤、安顿身体的可能路径。无论是回归土地的永恒循环、立足民间的日常韧性，还是以荒诞消解对立，它们都共同指向了，文学在履行其批判职能之外，始终葆有对人类生存状况的深切关怀与超越性想象。

“排泄”书写生动地展现了“伦理的身体”与“自然的身体”之间持续而复杂的博弈。它既是权力微观政治的聚焦点，亦是土地生命循环的参与者，更是现代性伦理困境的症候式表达。中国当代文学的大量作品中展现了“伦理的身体”与“自然的身体”被迫分裂所导致的种种病症，更以多样化的文学实践，探索了弥合创伤、安顿身体的可能路径。无论是回归土地的永恒循环、立足民间的日常韧性，还是以荒诞消解对立，它们都共同指向了，文学在履行其批判职能之外，始终葆有对人类生存状况的深切关怀与超越性想象。这些排泄叙事体现了文学的伦理教诲功能，通过对身体困境与斯芬克斯因子冲突的展示，引导读者反思自身伦理选择与伦理身份，在文明规训与自

然本能间寻求更完整的好生活。排泄叙事，以其特有的原始性与冲击力，迫使我们去直面那些被文明外表所遮蔽的伦理难题，去追问在种种规训与困境之下，“人”如何能够更有尊严、更完整地“活着”。这一文学现象的价值，正在于它以一种不容忽视的方式，将伦理的思考锚定在了我们最原始、最真实的身体体验之上。

## Works Cited

- 巴赫金：《拉伯雷研究》，李兆林、夏忠宪译。石家庄：河北教育出版社，1998年。  
[Bakhtin, Mikhail. *Rabelais and His World*, translated by Li Zhaolin and Xia Zhongxian. Shijiazhuang: Hebei Education Press, 1998.]
- 福柯：《规训与惩罚：监狱的诞生》，刘北成、杨远婴译。北京：生活·读书·新知三联书店，2003年。  
[Foucault, Michel. *Discipline and Punish: The Birth of the Prison*, translated by Liu Beicheng and Yang Yuanying. Beijing: SDX Joint Publishing Company, 2003.]
- 何俊、舒云鹤：“排泄、繁衍和死亡：人和土地的连接渠道——以余华〈活着〉为例”，《北方文学（中）》4（2020）：1-3。  
[He Jun and Shu Yunhe. “Excretion, Reproduction and Death: The Channel Connecting Man and Land—Taking Yu Hua’s *To Live* as an Example.” *Northern Literature* (mid) 4 (2020): 1-3.]
- 拉波特：《屎的历史》，周莽译。北京：商务印书馆，2006年。  
[Laporte, Dominique. *History of Shit*, translated by Zhou Mang. Beijing: The Commercial Press, 2006.]
- 梅洛-庞蒂：《知觉现象学》，姜志辉译。北京：商务印书馆，2001年。  
[Merleau-Ponty, Maurice. *Phenomenology of Perception*, translated by Jiang Zhihui. Beijing: The Commercial Press, 2001.]
- 聂珍钊：《文学伦理学批评导论》。北京：北京大学出版社，2014年。  
[Nie Zhenzhao. *Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]
- ：《文学伦理学批评理论研究》。北京：北京大学出版社，2020年。  
[—, *A Study on the Theory of Ethical Literary Criticism*. Beijing: Peking UP, 2020.]
- ：“文学伦理学批评：伦理选择与斯芬克斯因子”，《外国文学研究》33（2011）：1-13。  
[—, “Ethical Literary Criticism: Ethical Choice and Sphinx Factor.” *Foreign Literature Studies* 33 (2011): 1-13.]
- 张闳：《身体意识形态》。广州：中山大学出版社，2008年。  
[Zhang Hong. *The Ideology of the Body*. Guangzhou: Sun Yat-sen UP, 2008.]

# 《素食者》中的空间规训、流动性与伦理书写

## Disciplinary Space, Mobility, and Ethical Writing in *The Vegetarian*

修涓译 (Xiu Juanyi)

**内容摘要:** 本文聚焦韩江《素食者》，论证主人公悲剧遵循空间收缩—流动性剥夺—伦理选择极端化的逻辑。英慧先后经历家庭空间的父权暴力规训、画室空间的审美客体化、以及精神病院的终极禁锢，其物理流动性逐层受限，迫使其伦理选择不断走向极端。本文揭示了现代权力结构的深层悖论：权力试图通过压缩空间与剥夺流动性来规训异议者，却适得其反，迫使主体在物理禁锢的极致下，通过成为植物这一反叛式伦理选择，实现精神的极致流动并逃离现有秩序。

**关键词:** 《素食者》；韩江；流动性；伦理选择；空间规训

**作者简介:** 修涓译，华中师范大学文学院博士研究生，主要研究方向为英语语言文学。

**Title:** Disciplinary Space, Mobility, and Ethical Writing in *The Vegetarian*

**Abstract:** Focusing on Han Kang's *The Vegetarian*, this article argues that the protagonist's tragedy follows the logic of spatial contraction—deprivation of mobility—radicalization of ethical choice. Yeong-hye successively experiences patriarchal disciplinary violence in the domestic space, aesthetic objectification in the studio space, and ultimate confinement in the psychiatric hospital, during which her physical mobility is progressively restricted, forcing her ethical choices to become increasingly extreme. The article reveals a profound paradox within modern power structures: power attempts to discipline dissenters by compressing space and depriving them of mobility, yet it proves counterproductive. Under the extremity of physical confinement, the subject achieves radical spiritual mobility and escapes the existing order through the rebellious ethical choice of becoming a plant.

**Keywords:** *The Vegetarian*; Han Kang; mobility; ethical choice; disciplinary space

**Author:** Xiu Juanyi is a Ph.D. candidate at the School of Chinese Language and Literature, Central China Normal University (Wuhan 430079, China), specializing in British and American literature (Email: midoriko0000@163.com).

当代知名韩国作家韩江（Kang Han），曾于2016年以《素食者》（*The Vegetarian*）斩获布克奖，并于2024年荣膺诺贝尔文学奖。她的作品充满了对东亚社会以及女性普遍生存困境的深刻洞察，正如她自己所言“我相信这是因为我的小说直接探讨了人类的苦难。我没有回避，而是尝试更深入的探究”（克里斯·李 154），其文字既是记录也是反抗。《素食者》作为其代表作引发了学术界广泛的讨论，其中主人公英慧成为植物的设想更是为变形题材的文学创作增添了一分色彩，成为文学作品中一个新的反叛符号。

目前，学界研究已涉及父权压迫<sup>1</sup>、身体政治<sup>2</sup>及创伤体验<sup>3</sup>等议题，多聚焦于英慧肉身的在场与反抗，较少系统性地从空间批评视角出发，将小说中的家庭、画室与医院视为一个连续的权力运作过程。由于空间不仅是叙事的背景容器，更是参与权力生成的关键因素，本文拟从空间视角切入，探讨小说如何通过主人公英慧在家庭、画室与医院三个空间的流动，揭示现代权力规训与个体伦理选择之间的关系。在这一过程中，空间的转换实际上映照了文本中伦理结形成伦理线的动态过程<sup>4</sup>，空间的每一次流动变化都伴随着伦理冲突的升级。以此补充现有研究在探究其伦理选择生成机制上的视角缺失。本文将重点考察：现代权力如何依托空间秩序，通过逐级压缩个体的物理生存空间并剥夺其流动性，进而惩罚并消解伦理异议。在这种极致的物理禁锢下，成为植物这一具有极强反叛性的伦理选择，并非单纯生活方式的突变，更是主人公对人类本质的重新思考，伦理选择活动是“人在获取人的本质的过程”（聂珍钊 17）。由此本文也重新审视英慧在面对暴力吞噬的社会结构秩序时，如何通过这种反叛式的伦理选择，试图反思并重构人之为人的本质。

## 一、家庭空间与流动性的受限

在韩江的《素食者》中，主人公英慧反叛传统的伦理选择与主体性悲剧，皆始于家庭这一空间。“家庭居住空间，在内部，生产着家庭的伦理关系；在外部，则再生产着社会关系”（汪民安 156），小说所描绘的家庭空间并非天然的庇护所，而是一个由伦理规范构建的权力场域。“家庭是交替着褫夺权力、虐待和实现的位址”（麦道威尔 100）它不仅被动反映父权秩序，更在日常运作中主动生产着支配与服从的关系。英慧在这一空间中作出的素食

1 参见 Kim Won-Chung, "Eating and Suffering in Han Kang's *The Vegetarian*," *CLCWeb: Comparative Literature and Culture* 5 (2019): 9.

2 参见 Nie Zhixing and Hardev Kaur, "Transcending Constraints: Female Bodily Discipline and Resistance in Han Kang's *The Vegetarian*," *Asiatic: IIUM Journal of English Language and Literature* 1 (2025): 48-63.

3 参见 邵薇：“再现生命的脆弱：《素食者》中的创伤书写”，《当代外国文学》2（2025）：96-102。

4 参见 Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 189-207.

选择,对既有的父权秩序构成了正面挑战。随之而来的权力压制,使得英慧的物理流动性骤减,且其社会身份亦陷入单一固化状态。

家庭空间的伦理秩序,内化于日常生活的角落,通过成员间的互动与身体实践被不断生产。在英慧的家庭空间中,伦理秩序的具体呈现是维护基于年龄与性别的等级秩序,最高准则是平凡与顺从。丈夫选择与她结婚的理由“是在默默执行韩国社会对‘平凡女性’‘平凡妻子’的潜在规定”(董晨107)。正如他自己所说,“我之所以会跟这样的女人结婚,是因为她没有什么特别的魅力,同时也找不出什么特别的缺点”(韩江2)。这种对平凡的推崇,本身就是对个体特殊性的压制,也是该家庭空间中伦理压迫的委婉呈现。这实质上在整个外部社会以及家庭内部建立起一套隐形的规训机制,任何违反这种规训的特殊性都被判定为对既定空间秩序和其中权力核心的威胁。无论是在父亲还是丈夫的权力视阈中,英慧本是作为一种静默、透明的背景存在,而素食行为这一反叛的选择则赋予了其主体一种具有可见性,这种异质性使家庭空间原有的父权秩序发生震荡,也自然引来权力的压制。

英慧坚持素食的伦理选择既违背了顺从的原则,又在整个韩国社会中显得极不平凡,也因此发生在家庭聚餐上的伦理冲突是不可避免的。在家庭空间内,作为绝对权威中心的父亲,其食肉的饮食偏好是整个家庭的规范。卡罗尔·亚当斯(Carol J. Adams)认为肉食文化是父权制话语的象征,它不仅是食物,更是象征力量、男性气概及对自然世界支配的文化图腾。<sup>1</sup>“学界普遍将素食主义理论化为一种赋权模式,用以抵抗父权制”(Ahn 277)。因此,当英慧宣布“爸,我不吃肉!”(韩江37)时,她不仅是改变个人饮食习惯,更是从根本上挑战了餐厅这一空间中的权力核心。“在韩国社会,社会顺从被视为最重要的社会美德之一,因此这种偏离(指素食)是很难被接受的”(Kim 3)。故而除父亲以外的其他家庭成员也无法共情理解英慧,除了姐姐外的其他人反而默许了父亲将英慧逼至自杀。更进一步来说,家庭成员共同的饮食规范是该空间中权力所主导的伦理秩序的具象化呈现,也成为一种确认彼此身份,巩固家庭伦理秩序的仪式。因此英慧选择素食,被视为对家庭的背叛,因为它打破了以食物为媒介的秩序呈现,使得家庭空间中原有秩序瞬间崩塌。

同样,家庭中的卧室作为夫妻关系的私密空间,也展现着鲜明的权力关系。英慧的身体在此空间中,首先是被丈夫视为作为妻子的工具性存在。选择素食后,在性事中英慧表现出彻底的疏离,丈夫感到被侵犯的不是情感,而是他所认为的,作为丈夫在家庭空间中应享有的权力。正如麦道威尔(Linda McDowell)指出,性欲特质并非孤立存在,而是与身体及其快感共同交织在权力关系之中。在异性恋语境下,“这组权力关系中,最寻常的就是男人定义并控制女人的性欲特质”(55)。英慧通过身体的拒绝合作,单方面宣告

1 参见 Carol J. Adams, *The Sexual Politics of Meat: A Feminist-Vegetarian Critical Theory*, New York: Continuum, 1990.

了卧室空间原有伦理功能的失效，将自己的身体从妻子的社会符号中抽离，从而在象征意义上叛离了这个被夫权欲望所定义的空间。

英慧的叛离迎来了家庭空间对英慧的规训，这首先表现为物理空间的压缩和对其身体和社会身份流动性的剥夺。在第一阶段的家庭空间中，英慧的身体流动性以遵循妻子和女儿的伦理规范为前提。然而，她以素食发起的伦理反抗直接挑战了这一秩序，“重新获得对其身体的能动性（agency）和控制权至关重要地联系在一起。她对肉的拒绝象征着她对暴力的政治拒绝，并涉及对基于男性的普遍暴力结构的社会文化规范的身体和性能动性的维护”（Ahn 277）。然而家庭空间原有的伦理规范随即启动了以剥夺其流动性为核心的惩罚机制。惩罚首先表现为直接的物理暴力。丈夫的性强迫和父亲的强行灌食，均是父权逻辑试图以暴力否定其身体自主权、强行压迫其伦理异议的实践。

当暴力因英慧的自杀行为而失效后，惩罚策略便从直接暴力转向了空间隔离。她的伦理反抗被权力迅速烙印上不正常的标签，并以此为由被驱逐出原有的家庭空间，而隔离在出租屋进行监控。这种隔离构成了对其物理空间的首次压缩。英慧的身体流动性因此被急剧剥夺——从一个尚有一定自由的家庭主妇，降格为被监视在狭小空间内的病人。这清晰地表明，其身体流动性的丧失，是她发起伦理反抗后遭受的直接惩罚，是权力压缩空间以消除异议的开端。

其次是身份流动性的固化。在家庭空间中，家庭伦理结构决定了英慧的身份是平凡的妻子，是温顺的女儿，并且其社会价值以及是否被家庭空间接受的依据，也几乎来源于在这两个身份上她根据相应伦理规范所践行的程度。当英慧反叛现有的秩序规范，从平凡变得有特点，从顺从变得有主见，家庭空间便无法接受这种变化带来的对现有结构的冲击，而只能将其行为理解为对家庭的背叛和精神上的失常，并排斥于家庭空间外。丈夫反复斥责她没有做到作为妻子的责任，家人则指责她的行为给家庭蒙羞，并强行灌食。家庭利用正常与反常的二元对立，将英慧的伦理选择污名化为精神疾病，由此剥夺她社会身份的合法性。英慧因此丧失了在家关系网络甚至社会网络中身份正常流动的资格，即作为妻子、女儿、妹妹、社会一员，成为一个被孤立排挤的个体。

面对家庭空间中原有的伦理规范，英慧的素食行为是一种反叛式的伦理选择，也是一场以身体为战场的抵抗。家庭空间以其强大的权力压迫，证明了现行伦理秩序的牢固。在家庭这个充满悖论的起点，英慧以身体的重创为代价，完成了她的第一次伦理选择，然而，自杀未遂的结局标志着她在第一阶段相对温和的伦理选择的失败。同时，自杀这一激进的行为，也预示了更进一步的伦理选择的酝酿。

## 二、画室空间与流动性的降格

在小说中，流动性的降格不仅指主体流动范围的缩小，更意味着英慧

从具有主动性的主体向被动的、静止的客体转变。如果说家庭空间是通过食物链的隐喻，将英慧推向植物化的边缘，完成了对她各方面流动性的初步束缚，那么画室空间则构建了一个更为精密和隐蔽的规训场域。正如列斐伏尔所言“空间从来就不是空洞的：它往往蕴涵着某种意义”（Lefebvre 54）。空间的转换，带来了其中伦理逻辑的置换。在此过程中，英慧作为主体的流动性进一步降低，所身处并能流动的空间也更加狭小，仅剩出租屋与狭小的画室。在此情境下，英慧的伦理选择呈现出由外在对抗向内在转化的趋势，她不再仅仅停留在对食肉逻辑的直接拒绝，而是通过接受在身体上描画植物，开启了形式上成为植物的初步尝试。这种选择标志着成为植物的念头已在悄然萌发，并试图寻求一种非人类逻辑的生存可能。

画室，作为一个看似超越世俗、追求纯粹审美的场域，实际是福柯意义上一个典型的规训空间。“空间不是思维的客体，空间并不以客体的方式存在于意识之外，对于人来说，空间的特征是在人类行为中显现出来”（冯雷 104）。因此画室空间的伦理表征可以理解为是从画家本人行为模式中具象而来的，在小说中该画室空间内作为画家的姐夫其核心行为便是凝视。不同于餐桌上那种直白、粗暴的权力注视，画室中的凝视被赋予了所谓的艺术合法性。此外，“凝视指的是‘话语决断’是社会建构而成的观看或‘审视方式’”（约翰·厄里 2）。姐夫不仅是凝视的主体，更掌握了这个空间的核心权力。他利用艺术话语的霸权，重新定义了空间内的伦理坐标，使得原本在家庭伦理中乱伦的禁忌，在这里被重新定义为艺术创作的合理性。

然而，这层艺术的合法性外衣，恰恰成为了姐夫投射其个人欲望的掩护。从文学伦理学角度看，姐夫这一人物形象集中体现了斯芬克斯因子中自然意志、自由意志与理性意志的结合<sup>1</sup>。他假借艺术至上的自由意志，将潜藏在灵魂深处、受利比多驱动的自然意志合法化。这种意志的交织与错位，将家庭伦理中被严厉禁止的欲望，即对小姨子的情欲凝视，合法地转化为了审美审视，构成了画室空间内独特的伦理冲突。画室这一独特的空间伦理即艺术高于一切，暂时压倒了家庭伦理，从而为他正当地压迫并占有英慧的身体提供了可能。正是在这种所谓专业外衣的掩护下，权力关系被更深地内化，因为在这个空间中英慧“能被观看，但他不能观看。他是被探查的对象，而绝不是一个进行交流的主体”（福柯，《规训与惩罚》225）。她的身体在其中被彻底地客体化与物化。她不再是家庭伦理秩序中的妻妹，一个具有复杂社会身份和内在情感的主体，而是沦为一个纯粹的艺术媒介，一个由光影、线条、色彩和构图所组成的视觉对象，成为画室空间下的被压迫物。正如福柯所述“权力不再体现在某个人身上，而是体现在对于肉体、表面、光线、目光的某种统一分配上，体现在一种安排上”（福柯，《规训与

1 参见 Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 383-398.

惩罚》226)。英慧最终成为姐夫个人艺术与情色欲望的投射对象。

在画室这个空间内，其中的伦理逻辑已然变化，画笔取代了餐具，画布成为了新的祭台。而艺术创作的全过程，本质上是姐夫利用这一空间所赋予的权力，通过凝视将英慧物化以满足其欲望的过程。这种凝视是单向的、不容置疑的，“凝视是一场表演，它会替这个世界安排先后顺序、塑造模样、划分类别，而非如实映照”（约翰·厄里 2）。画家是凝视的主体与权力的拥有者，而模特则是被凝视的客体与被支配者。

在画室空间的伦理秩序下，英慧的流动性遭受了更为严重的降级。首先，在身体维度上，她从一个尚能做出拒绝姿态的人，彻底沦为一具被摆布的静物。“对个人而言，空间具有强大的管理和统治能力。物理性的空间，凭着自身的构造却可以构成一种隐秘的权力机制，这种权力机制能够持续不停地监视和规训。在一个封闭空间内部的监视和规训，可以将个体锻造成为一个新的主体形式”（汪民安 104）。这种隐秘的权力机制所依赖的正是在该空间的伦理架构。画家与模特的伦理身份成为姐夫侵占英慧身体理所当然的途径。在画室空间里，英慧的身体被要求摆出各种姿势，以满足姐夫创作的需求。她没有行动自主权，也不能言语，甚至不能有自己的表情，这种静物化是对其生命能动性的极致剥夺。然而，悖论在于，正是这种物理身体能动性的极致剥夺，迫使英慧的主体性转向了唯一可能的场域——精神与想象。她的身体越是静止，她的精神流动就越是奔向植物这一自由形态，这在文本中呈现为她主动接受了姐夫人体模特的邀请。

其次，在社会维度上，她的身份被彻底悬空。在进入画室的那一刻，英慧这一承载着她个人历史、社会关系和家庭角色的名字被暂时剥夺了，取而代之的是一个功能性的标签——模特。这个标签将她从复杂的社会网络中抽离，使其成为一个孤立的、去社会化的存在。她既是艺术的媒介，又是欲望的对象，两种身份的叠加，让她的人格尊严与社会属性消弭于无形，彻底沦为服务于他者创造与欲望的纯粹客体。

如果说，英慧在家庭空间的选择，是她对原有伦理压迫的第一次反抗，那么，同意姐夫在自己身体上画满花朵，则是她的第二次、也是更深层次、更具反叛性的伦理选择。她开始思考，是否能够通过将自己植物化，完成一种存在的转换：从一个被欲望、被暴力、被压迫的肉体，转化为一个仅供观赏、不被压制、也不带来冲的审美对象。这是一种绝望的自我拯救，她试图用一种不伤害他人的存在形式，去逃离那个充满暴力和掠夺的现实世界。英慧的选择本身是对人类存在形态的追问：如果社会结构中的人注定要活在一种暴力循环之中，难道只有放弃人的本质才能脱离这个循环重获生命的平静吗？这样的追问，在英慧进入精神病院后成为了她留给读者的难题。

### 三、医疗空间与伦理选择

精神病院标志着现代权力规训的终极场域，它在物理空间的绝对压缩中，促使主体的伦理选择走向了最终一步——成为植物。在这里，英慧的活动范围被压缩到了极致，从家庭的生活空间，到画室的狭小场域，最终缩小为一间病房，乃至一张病床。这种空间的演变不仅是物理上的移动，更是权力压迫的加深：如果说家庭和画室尚有生活或创作的余地，精神病院则是一个完全被剥离了社会属性、旨在实现彻底控制的终极场域。在这个空间里，伦理压迫不再需要通过情感爆发（如父亲的愤怒）或欲望伪装（如姐夫的艺术）来运作，而是披上了医学理性这件不容置疑的白袍。这白袍象征着一种客观、冷静且具有合法性的强制力量。“疯人院不是观察、诊断和治疗的自由领域，而是一个司法领域，在那里，病人受到指控、审判和谴责。除非这种审判达到了一定的心理深度，即造成了悔悟，否则疯人永远不会被释放出去”（福柯，《疯癫与文明》252）。在这一空间逻辑下，英慧的所有反抗，包括对肉食的拒绝、对衣物的排斥、坚持倒立，已经不仅是伦理的反叛，转而被统一贴上了精神疾病的标签。规训的目的不再是教化，而是通过定义英慧为无理性的疯子，来彻底否认其伦理异议的合法性。因此，精神病院不仅是英慧流动性彻底被抹灭的空间，更是其主体性在遭受极致压迫后，将前一阶段成为植物的想法尝试转化为行动实践的最后场域。在此，她的伦理选择完成了从拒绝暴力、尝试成为植物到彻底抛弃人类存在形态的递进式变化。

在精神病院空间中，英慧的多维度流动性被系统性地剥夺至极限，最终彻底消失。首先，是身体流动性的彻底终结。进入精神病院后，英慧的身体不再是家庭伦理的争夺对象，也非艺术欲望的审美客体，而是沦为一个纯粹的临床标本。她身体的自主支配权被完全剥夺。强制喂食这一在家庭空间中充满暴力与情感冲突的行为，在这里被转化为一种冷静、程序化的医疗手段，即“通过静脉注射供应蛋白质和葡萄糖”（韩江 153）。这种看似人道的非人化操作，比其父亲粗暴的干涉更具毁灭性，因为它以拯救生命的名义，彻底否定了英慧以拒绝食物来捍卫身体边界的最后权力。她的身体被输液管、监视器和病床所束缚，其一切行为都不再被视为一种主观意志的表达，而被客观地记录为需要分析与控制的临床症状。在此，身体的能动性被彻底悬置，它不再流动，只是一个被维持生命体征的被动容器。这种身体的静止化标志着肉体逃逸可能性的彻底抹灭。

其次，是社会身份流动性的完全抹除。在家庭中，她是妻子和女儿；在画室里，她是模特。这些身份标签虽然充满了压迫，但尚且维系着她与社会网络的一丝联系。然而，英慧有悖于公认的社会伦理的行为让她最终被关进了精神病院，“分隔、净化、划分界限和惩罚逾越行为等理念，它们主要的功能是在本质为混乱的经验之上强加一套体系”（Douglas 4）。在精神病院

的逻辑体系中，英慧成为了病人，而这一终极标签取代并覆盖了她所有的社会身份。这个身份将她从一切社会关系中彻底剥离，使其成为一个被隔离的、去社会化的孤岛。就连作为她与外界最后纽带的姐姐，也必须通过医生和护士的转达来理解她的状态，她们之间的沟通被一套冰冷的医疗话语所中介。英慧不再是一个社会行动者，她的存在价值仅在于作为医疗系统的干预对象。社会意义上的她已经死亡，被彻底地驱逐到了正常社会秩序的边界之外。

然而，正是在这片象征着现代权力极致规训的空间中，在她被剥夺了一切物理与社会身份的绝对禁锢中，英慧完成了她终极伦理选择——成为植物。这构成了全书最深刻的悖论：那个旨在通过暴力惩罚、空间隔离、强制喂食、药物治疗将她拉回人类世界的系统，恰恰通过剥夺她作为人的一切外部属性，为她彻底挣脱人的身份创造了完美的条件。

英慧在病房里尝试倒立，这一动作在空间意涵上具有颠覆性：人类的直立是为了在社会空间中行走、索取和消耗。而英慧的倒立则是为了扎根，是为了否定人类的生物逻辑，转而追求植物般的、不需要伤害他者的生存方。然而这样的行为却是并不被现有秩序接受，当英慧最终被救护车从山上带走，发出那声“禽兽一样的嘶吼”（韩江 176）时，那是她作为人类最后的、也是最彻底的拒绝。从此以后，她便沉入了植物的静默。她的身体虽然被禁锢在病床之上，动弹不得，但她的精神却实现了终极的流动。她以彻底放弃人类存在的方式，摆脱了人类现有的伦理压迫，换取了精神世界的绝对自由。

因此，精神病院这个规训的终点，吊诡地成为了她解放的起点。社会的现有伦理规范试图纠正她的伦理异议，最终却反向成全了她的伦理选择。英慧通过主动放弃流动成为植物来对抗人类社会对她实行的强迫静止，通过放弃人的属性来重构存在的意义。

她的悲剧在于，为了抵抗一个吞噬性的、充满暴力压迫的人类社会的伦理秩序，她必须以放弃人类本质身份为代价。成为植物的英慧，既是现有伦理秩序胜利的标志，因为它成功地将一个异议者从社会中彻底清除。同时，它也是主体反抗不屈的证明，因为它以一种权力无法理解、无法消灭的方式，实现了永恒的存在。

## 结语

本文通过考察英慧在家庭、画室与精神病院的空间轨迹，揭示出空间收缩——流动性剥夺——伦理选择极端化的权力运作机制。三个场域构成了一个递进的规训链条：家庭空间依托父权伦理实施公然暴力；画室空间凭借审美凝视进行隐蔽客体化；精神病院则借医学理性达成终极禁锢。在这种空间的逐级压缩下，个体的物理与社会流动性趋于归零。

然而，空间的极致紧缩催生了英慧成为植物这一决绝的伦理选择，呈现出一种悲剧性的统一。在物理与社会维度上，英慧失去了对身体和身份的控

制，沦为被驱逐的边缘主体。但在伦理维度上，这却是一场深刻的抵抗。这种以彻底的不动来实现终极流动的悖论，反映了她试图从根本上跳出那个以人为中心的、充满掠夺与压迫的伦理秩序。她以一种沉默的、非人类的在场，实现了精神上向着自然、阳光和大地奔涌的极端流动。因此，她的失败恰恰是她抵抗得以完成的终极形式。而这之所以具有浓烈的悲剧色彩，是因为它也揭示了一个无奈的现实：在现有伦理秩序下，面对一些不合理的规训压迫，人似乎只能选择自毁的形式，才能从本源上拯救自己。

韩江通过英慧成为植物的伦理选择，展现了现代社会中主体在不合理的伦理秩序和结构性压迫下的反抗和突围，这种叙事超越了特定的性别、种族与东亚文化背景，触及了关于权力、身体与自由的普遍性命题。它不仅是对女性生存困境的同情，更是对现代性社会中那些冷静、理性且人道的规训逻辑深刻的反思。英慧的沉默与倒立，犹如一面镜子，照见了现代文明中那些隐匿在日常空间之下的、被制度化的暴力。它迫使读者去反思那些现有的现代社会中冷静、理性且人道的规训逻辑和伦理体系。

### Works Cited

- Adams, Carol J. *The Sexual Politics of Meat: A Feminist-Vegetarian Critical Theory*. New York: Continuum, 1990.
- Ahn, Hakyoung. "Empowerment and Exploitation: Sexual Dynamics in Han Kang's *The Vegetarian*." *Tulsa Studies in Women's Literature* 43 (2024): 277-293.
- 董晨: "韩国女性主义文学热中的'东亚女性'——以《素食者》为例", 《文艺理论与批评》2 (2025): 104-114。
- [Dong Chen. "The 'East Asian Woman' in the Boom of South Korean Feminist Literature: A Case Study of *The Vegetarian*." *Theory and Criticism of Literature and Art* 2 (2025): 104-114.]
- Douglas, Mary. *Purity and Danger: An Analysis of Concepts of Pollution and Taboo*. London: Routledge & Kegan Paul, 1978.
- 冯雷: 《理解空间: 现代空间观念的批判与重构》。北京: 中央编译出版社, 2008年。
- [Feng Lei. *Understanding Space: A Critique and Reconstruction of Modern Conceptions of Space*. Beijing: Central Compilation & Translation Press, 2008.]
- 韩江: 《素食者》, 胡椒简译。成都: 四川文艺出版社, 2021年。
- [Han, Kang. *The Vegetarian*, translated by Hu Jiaotong. Chengdu: Sichuan Literature and Art Publishing House, 2021.]
- 福柯: 《规训与惩罚》, 刘北成、杨远婴译。北京: 三联书店, 2012年。
- [Foucault, Michel. *Discipline and Punish The Birth of the Prison*, translated by Liu Beicheng and Yang Yuanying. Beijing: SDX Joint Publishing Company, 2012.]
- : 《疯癫与文明》, 刘北成、杨远婴译。北京: 三联书店, 2012年。
- [— . *Madness and Civilization: A History of Insanity in the Age of Reason*, translated by Liu

Beicheng and Yang Yuanying. Beijing: SDX Joint Publishing Company, 2012.]

Kim, Won-Chung. "Eating and Suffering in Han Kang's *The Vegetarian*." *CLCWeb: Comparative Literature and Culture* 5 (2019): 1-10.

克里斯·李：“暴力与人之为人：和韩江的对话”，胡俊译，《世界文学》2（2025）：150-157。

[Lee, Chris. "Violence and Being Human: A Conversation with Han Kang." Translated by Hu Jun. *World Literature* 2 (2025): 150-157.]

Lefebvre, Henri. *The Production of Space*, translated by Donald Nicholson-Smith. Oxford: Blackwell, 1991.

琳达·麦道威尔：《性别、认同与地方》，徐苔玲、王志弘译。中国台北：群学出版有限公司，2002年。

[McDowell, Linda. *Gender, Identity and Place: Understanding Feminist Geographies*, translated by Xu Tailing and Wang Chihhung. Chinese Taipei: Chuen-Hsueh Publishing Co., Ltd., 2002.]

聂珍钊：“伦理选择概念的两种涵义辨析”，《外国文学研究》6（2022）：16-25。

[Nie Zhenzhao. "Analyzing the Implications of Ethical Selection and Ethical Choice." *Foreign Literature Studies* 6 (2022): 16-25.]

—。“Ethical Literary Criticism: A Basic Theory.” *Forum for World Literature Studies* 2 (2021): 189-207.

—。“Ethical Literary Criticism: Sphinx Factor and Ethical Selection.” *Forum for World Literature Studies* 3 (2021): 383-398.

约翰·厄里、乔纳斯·拉森：《游客的凝视》，黄宛瑜译。上海：上海人民出版社，2016年。

[Urry, John and Jonas Larsen. *The Tourist Gaze* 3.0., translated by Huang Wanyu. Shanghai: Shanghai People's Publishing House, 2016.]

汪民安：《身体、空间与后现代性》。南京：江苏人民出版社，2006年。

[Wang Min'an. *Body, Space and Postmodernity*. Nanjing: Jiangsu People's Publishing House, 2006.]

# 建构叙事勇气：《凝视太阳》的老龄伦理书写

## Constructing Narrative Courage: The Ethics of Aging in *Staring at the Sun*

陈钰冰 (Chen Yubing)

**内容摘要：**作为朱利安·巴恩斯的早期代表作，《凝视太阳》并非一部平淡无奇的女性成长论，而是聚焦死亡议题与生命本质的深刻文学探索。本文以老龄伦理为研究视角，通过分析小说中飞行器蕴藏的生命隐喻与计算机引发的哲学思辨，结合女主角婕思与其子格雷格利面对死亡的伦理选择差异，揭示了科技理性在应对存在性焦虑时的局限，并进一步探讨如何通过具身化的生命体验实现对死亡的伦理回应。本文认为作家旨在构建一种以叙事勇气为核心的老龄伦理形态，将勇气从一种宏大的英雄品质与美德遗存，改写为平凡个体面对衰老与死亡的生命态度，并最终成为建构生命故事的内在实践动力。这一伦理构想清晰地展现出巴恩斯的思想从个体存在哲思向社会伦理关怀的过渡与深化。

**关键词：**朱利安·巴恩斯；《凝视太阳》；老龄伦理；叙事勇气；死亡

**作者简介：**陈钰冰，浙江大学外国语学院博士生，主要从事现当代英美文学与文学伦理学批评。本文为国家社科基金重大招标项目“当代西方伦理批评文献的整理、翻译与研究”【项目批号：19ZDA292】的阶段性成果。

**Title:** Constructing Narrative Courage: The Ethics of Aging in *Staring at the Sun*

**Abstract:** As an early representative work by Julian Barnes, *Staring at the Sun* transcends the conventional female bildungsroman, offering instead a profound literary inquiry into the nature of death and the meaning of life. Adopting the lens of aging ethics, this paper examines the life metaphor embodied by the aircraft and the philosophical reflections prompted by the computer in the novel. By contrasting the ethical choices of the heroine Jean and her son Gregory in facing mortality, it exposes the limitations of technological rationality in alleviating existential anxiety, and explores how an ethical response to death may be realized through embodied lived experience. The study contends that Barnes endeavors to construct a form of aging ethics centered on “narrative courage”—a concept that reframes courage not as a heroic relic, but as an everyday attitude through which ordinary individuals confront aging and death, thereby transforming it into an intrinsic impetus for

shaping one's life narrative. This ethical vision vividly illustrates the evolution and deepening of Barnes's thought from individual existential meditation to broader social ethical engagement.

**Keywords:** *Staring at the Sun*; narrative courage; ethics of aging; death

**Author:** **Chen Yubing** is a Ph.D. student at School of International Studies, Zhejiang University (Hangzhou 310058, China). Her research focuses on contemporary English and American literature and ethical literary criticism (Email: 392825153@qq.com).

当英国作家朱利安·巴恩斯 (Julian Barnes) 因《福楼拜的鹦鹉》 (*Flaubert's Parrot*, 1984) 声名大噪时, 同期创作<sup>1</sup>的《凝视太阳》 (*Staring at the Sun*, 1986) 却长期被置于学术讨论的边缘, 并因被认为缺乏冒险精神而令部分评论家颇感失望。<sup>2</sup> 直观而言, 小说并未追求叙事形式上的先锋实验, 而是以沉静的笔触完整摹写了女主角婕恩·萨金特的百岁人生。安德鲁·泰特 (Andrew Tate) 曾将《凝视太阳》概括为“一半是讽刺性成长小说, 另一半是观念小说 (novel of ideas)” (转引自 Childs 52), 基本代表了学界视其为哲理性成长小说的共识。但细察文本可以发现, 《凝视太阳》对老龄生活的描述占据全书篇幅的二分之一以上<sup>3</sup>, 描写童年与青年也多通过高龄老人的回忆视角切入, 与常规成长小说聚焦青少年阶段的叙事模式有所差异。<sup>4</sup> “生命本身是一个连续不断的成长过程” (林斌 31)。若将小说理解为一种在生命后端展开的成长叙事, 它的主题就不再局限于青春时期的社会化进程, 而是衰老个体在面对时间有限性时所进行的认知调适与精神成长。基于这一研究视角的转换, 我们得以聚焦作品中长期被既有研究忽视的老龄维度, 进而考察其独特的老龄伦理内核。

面对全球范围内席卷的老龄化浪潮, 老龄伦理逐渐成为公众讨论与学术研究的重要议题。自上个世纪 80 年代起, 老龄伦理研究开始在西方学界兴起, 呈现出鲜明的跨学科特征。<sup>5</sup> 在既往研究中, 克里斯托弗·西蒙·沃勒姆 (Christopher

1 在创作《福楼拜的鹦鹉》之前, 巴恩斯已书写了三万多字《凝视太阳》的文本。参见 Patrick Mcgrath, “Julian Barnes,” *Bomb*, 1987. Available at: <https://bombmagazine.org/articles/1987/10/01/julian-barnes/>. Accessed 16 Jan. 2025.

2 参见 Merritt Mosley, “Staring at the Sun,” *Understanding Julian Barnes*, Columbia: University of South Carolina, 1997, 93.

3 据笔者统计, 全书内容共 220 页, 从 99-220 页的内容开始探讨婕恩的老龄生活。约占全书篇幅的二分之一以上。参见 朱利安·巴恩斯: 《凝视太阳》, 丁林棚译, 北京: 外语教学与研究出版社, 2018 年。

4 常规成长小说的叙事形式可以歌德的《威廉·瓦斯特的迈斯特的成长时代》为例, 主要以主人公认识自我, 融入社会, 并发挥自己的信仰与使命, 多集中在青少年时期。参见 韩加明编: 《欧美文学论丛第十辑: 成长小说研究》, 北京: 人民文学出版社, 2015 年, 第 1 页。

5 参见 James E. Thornton, *Ethics and Ageing: The Right to Live, the Right to Die*, Vancouver: UBC Press, 1988.

Simon Wareham)总结了两种老龄伦理的研究范式,一是理论导向型,旨在构建适用于处理老龄议题的规范性伦理框架<sup>1</sup>;二是问题导向型,着重在基本的伦理概念范畴内对具体的老龄困境展开探讨<sup>2</sup>。与此同时,他指出现有的老龄伦理研究被窄化于老年阶段,主张将研究范围拓展至生命全程进行考察<sup>3</sup>,再次提供了将《凝视太阳》作为老龄伦理研究文本的学理依据。2022年出版的《剑桥手册:老龄伦理》(*Cambridge Handbook: The Ethics of Ageing*)则首次以专著形式梳理老龄伦理,认为老龄伦理意在“探讨与老龄化进程密不可分的伦理议题”(1),将“美好生活”(good life)确立为探讨老龄伦理的首要主题。国内研究紧跟老龄化社会的发展进程,起步较晚,倾向于从国家治理层面切入老龄伦理研究,将其视为应对人口结构转型的重要议题。<sup>4</sup>在文学语境下,有学者以当代美国戏剧为研究对象,融合文学老龄学的研究资源,将老龄问题与中国特色的文学伦理学批评体系相结合,为我们探讨老龄伦理提供了可资借鉴的研究路径。<sup>5</sup>在文学伦理学批评的理论视域下,“伦理”主要指文学作品中构建的、用以维系人际关系的伦理秩序与道德规范。<sup>6</sup>本文借鉴这一定义,并结合当前国内外研究成果,将老龄伦理界定为围绕个体衰老过程及社会老龄化现象所产生的伦理危机、道德关系与价值判断的总结与反思,重点关注老龄群体的生活状态与社会关系,其根本目标在于引导老龄群体实现走向更为良善的生活。

《凝视太阳》通过对媵恩及其子格雷格利两位角色的塑造,为老龄群体应如何生活提供了别出心裁的伦理回应。论及创作初衷,巴恩斯坦坦言自己“计划写一部关于勇气的书”(Bruckner 3)。这一创作意图在小说主题上得到充分地展现。“勇气”(courage)与“勇敢”(brave)作为小说中的高频词汇<sup>7</sup>,构成了文本抵达伦理命题的关键路径。因此,本文旨在探讨巴恩斯如何通过“勇气”概念的文学重塑,传达一种新型的老龄伦理思想。为回答这一问题,下文首先梳理勇气的概念谱系,阐述文本建构的叙事勇气内涵,进而

1 参见 Frits de Lange, *Loving Later Life*, Grand Rapids: Eerdmans, 2015.

2 参见 Martha B. Holstein et al, *Ethics, Aging and Society: The Critical Turn*, Berlin: Springer, 2010.

3 参见 Christopher Simon Wareham, “What is the ethics of Ageing?,” *Journal of Medical Ethics* 2 (2018):128-132.

4 参见 郭笑雨:“践行积极老龄观:老年形象、老龄文明与伦理进路”,《云梦学刊》3(2024):104-115;樊浩:“老龄文明的伦理革命”,《探索与争鸣》1(2023):71-80;周琛:“‘老龄化时代’的伦理形态”,《学海》4(2016):178-183等相关论文。

5 参见 李晶:“当代美国戏剧的老龄伦理学研究”,《广西民族大学学报》(哲学社会科学版)4(2021):114-119.

6 参见 Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 189-207.

7 据笔者统计,“courage”在文本中共出现35次,而“brave”及其相关词形(如“bravely”、“bravery”、“braver”等)共出现54次。统计使用版本为 Julian Barnes, *Staring at the Sun*, London: Vintage Book, 2019.

借助飞行器<sup>1</sup>与计算机两个关键意象，对比剖析婕恩与其子格雷格利面对死亡的人生态度与伦理选择差异，最终总结巴恩斯在《凝视太阳》中塑造的老龄伦理形态。

### 一、勇气的伦理重构：从传统美德到生命实践

在西方文化里，勇气作为一种美德的阐释，承载着悠久的哲学传统。早在《理想国》（*The Republic*）中，古希腊哲学家柏拉图将勇气与智慧、节制、正义并列为城邦的四种美德，奠定了其作为公共德性的地位；而在《拉凯斯》篇中，苏格拉底则在对谈中展现诠释勇气作为美德的复杂性与开放性，认为它既非单纯的“灵魂的支持”（柏拉图 50），而是跟随主体与视角变化的含混的复合体。亚里士多德（Aristotle）则进一步将勇气系统性地纳入伦理体系中讨论，将其阐释为“懦弱与鲁莽之间的中道”，并在讨论“具体德性”时开宗明义，强调勇气是“对待激发信心或恐惧之事时的适度”（81），赋予了勇气可操作与可衡量的实践定义。及至近代，勇气也被萨缪尔·约翰逊（Samuel Johnson）视作所有的道德品质之首<sup>2</sup>，提升至德性序列的顶峰。

小说中“勇气”的首次出现，正承载着上述美德传承的教育使命。它来源于婕恩卧室内悬挂的道德教育挂画。勇气与勤劳、诚实等其他美德并列其间，构成她稚嫩认知中德性体系的初始来源。<sup>3</sup>基于童年有限的生活经验，婕恩开始对各类道德品质进行具身化解读，并因为治疗百日咳乘坐飞机后的亲身经历将勇气与乘机相勾连，由此开启了与飞机的不解之缘。随着婕恩的成长，有关勇气的伦理教育从静态的图文展示转向动态的生命经验讲授。二战时期借住在婕恩家中的飞行员普罗瑟，通过口述的战斗故事不断丰富她对勇气的理解。就勇气形态而言，血气之勇（physical courage）是一种最基本的表现形式。它用来形容男子在战场上奋勇杀敌时的韧劲，呼应了勇气长期以来“被狭义地理解为在仇杀或战争中直面死亡的能力”（Miller 189）。在广义上，勇气不局限于对抗身体威胁的“血气之勇”，更可以被拓展至一种在日常生活面对恐惧、失败、孤独等负面情境时依然坚持价值信念并采取行动的生命姿态。小说中，普罗瑟在战场上展现的勇气形态即是最基础的血气之勇，他独自驾驶战斗机英勇与敌机缠斗，通过直接的身体对抗完成对勇气的表层诠释。更重要的是，他飞行时勇敢凝视太阳的亲身经历，不但催生了婕恩对天空的热切向往，而且为她建构了一种超越战场英雄主义的勇气认知。与普罗瑟相关的飞行意象反复出现在婕恩后续的人生中，使她逐渐领悟到真正的勇

1 本文所称“飞行器”，即通常语境下的飞机。在小说原文中，该交通工具被飞行员普罗瑟称为“aeroplane”，此处依从文本，沿用“飞行器”这一译法。

2 参见 James Boswell, *The Life of Samuel Johnson* Vol. 1, London: Charles Dilly, 1791.

3 参见 朱利安·巴恩斯：《凝视太阳》，丁林棚译，北京：外语教学与研究出版社，2018年，第17页。

气并非无视危险，而是在明知代价的前提下仍坚定自身的选择，清醒注视生命真相。

最终，勇气在婕恩身上完成了从外化的伦理教育到内在的生命实践的转变。威廉·米勒（William Ian Miller）在《勇气的奥秘》（*The Mystery of Courage*, 2000）中曾研究过勇气叙事的表达形态，认为其存在与男性深度捆绑的性别特征。读者在叙事中鲜少能寻找到“兼具女性特质又彰显勇气的理想体型”（189），与此同时，在年龄上，“勇气叙事也极少关注老龄群体，因为衰老本身消弭了性别”（189）。而在《凝视太阳》中，巴恩斯却反其道而行，切入这一概念罅隙展开文学实践，使勇气成为老龄女性主角婕恩的行事动因。他本人也在访谈中坦言勇气通常被认为是一种男性美德，但仍存在其他形态的勇气被他选择性地呈现在小说当中。<sup>1</sup>在其笔下，婕恩的生命轨迹完整地呈现了勇气概念的嬗变过程：从童年时期将勇气稚拙地界定为“有胆量坐飞机”（巴恩斯 17）<sup>2</sup>，到怀孕后选择逃离无望的婚姻，独自抚养孩子长大，与女同性恋者拉切尔同居，最后到临终阶段以“凝视太阳”的姿态直面死亡。勇气支撑着她人生阶段的每一个伦理选择<sup>3</sup>，实现了从外在性英雄品德向内在性生命态度的转型。这种转型的终极形态即呈现为叙事勇气。它既是对传统勇气概念的承继，二者皆与人类面对恐惧与危机时的坚韧与抉择；更是对它的超越与重构，将其核心从外在的、瞬间性的英雄行为，转向持续一生的内在伦理实践与意义建构过程。主体勇于对自身碎片化、创伤性生命经验进行存在性接纳与叙事性整合，最终建构具有完整性与主体性的生命叙事。

就文本而言，叙事勇气最深刻的践行场域正是对死亡的凝视与解读。小说中既描写人物的具体死亡事件，更存在对死亡本身持续性的哲学探讨。为进一步展开论述，小说分别以飞行器与计算机作为不同世代的人造技术隐喻，对应人物面临死亡时的两种伦理选择，进而从身体与精神两个维度对叙事勇气的内涵展开正反面阐释。对婕恩而言，飞行器是晚年拓展生命体验的载体，更是叙事勇气的物质化身，助其走向生命圆满；对其子格雷格利来说，计算机是科技依赖的符号，亦是消解叙事勇气的理性工具，令其陷入存在困顿。二者的对比表明，尽管技术媒介更新迭代，但人类对生命终极意义的求索，最终仍须回归到以具身体验为内核的叙事勇气之上。值得注意的是，“叙事勇气”有别于一般的生命叙事，更强调个体在行动与能力层面的能动性：其核心并非仅关注个体所经历的故事内容本身，而更在于个体是否

1 参见 Patrick Mcgrath, "Julian Barnes," *Bomb*, 1 Oct. 1987. Available at: <https://bombmagazine.org/articles/1987/10/01/julian-barnes/>, Accessed 16 Jan. 2025.

2 本文有关《凝视太阳》的引文均来自 朱利安·巴恩斯：《凝视太阳》，丁林棚译（北京：外语教学与研究出版社，2018年）。以下引文仅标注页码，不再一一说明。

3 伦理选择的概念参见 聂珍钊：《文学伦理学批评导论》，北京：北京大学出版社，2014年，第266-270页。

具备主动投入体验、勇敢进行叙写，并最终为生命建构出完整故事形态的内在力量。

## 二、以飞行器为载体的具身实践与叙事勇气

纵观飞行器物质史，它从构想、研制到问世的过程始终承载着人类探索未知世界的勇气，无论是中国明朝万户身绑火箭、手持风筝飞天的悲壮尝试<sup>1</sup>，还是西方近代先驱奥托·李林塔尔（Otto Lilienthal）的滑翔实验<sup>2</sup>，无不凝聚着人类对挑战极限的渴望与对自由世界的向往。1903年，莱特兄弟（the Wright Brothers）研发的飞行器首次实现可控动力飞行，不仅拓展了人类的物理空间边界，更使飞行器成为人类突破桎梏、探索未知的精神象征。《凝视太阳》对飞行器的书写逻辑正与这种精神一脉相承。在小说中，飞行器作为贯穿小说始终的重要意象，既是生命历程的深刻隐喻，也是叙事勇气的外在象征。其象征意义随着女主角婕恩的成长与衰老而不断深化，最终成为她直面死亡并整合生命意义的关键载体。

在精神层面上，飞行器是婕恩缓释心理焦虑与激发精神能动性的渠道。青年时期的婕恩遭受性别角色带来的身体痛楚时，常以飞行想象作为精神寄托。当躺在病床上的她尝试学习在体内放置女性避孕套时，就将现实的医疗场景转化为一场高空翱翔，想象自己“正坐在一架黑色的飓风式战斗机里，身旁的云如流水一般涌过”（62），并将医生的指导想象为“空中指令”，引导她“飞越在阳光明媚、万里无云的英吉利海峡上空”（63），以此舒缓紧绷的身体与焦虑的心情。飞行器的诗意转译帮助婕恩暂时悬置了生理痛楚与性别束缚，她也在想象中重获了精神自由。这种精神自由是叙事勇气得以萌生和持续的内在心理前提，为婕恩后期成为勇气实践主体奠定了基础。

在行动层面上，飞行器是婕恩拓展生命维度与收集叙事素材的实践工具。当儿子格雷格利长大独立后，老年婕恩用丈夫去世后留下的遗产，支撑起持续的自主远行。她借助飞机这一现代交通工具，主动突破地理空间限制，在有限的生命中不断拓展认知经验，持续构建属于自身的生命故事。正如富恩斯特所言，“简的飞机取代了扫帚柄，她是一位现代的女巫”（Fuentes 3）。飞行器的存在帮助她突破了主流社会对老龄群体静态衰弱的刻板想象，更支撑着她反叛既定秩序，追求精神自由的姿态。婕恩的足迹不仅遍及欧洲、美洲，更远至埃及、中国等东方国度，亲历世界七大奇迹。当她站在科罗拉多大峡谷面前时，感觉“眼前的景致不再需要被翻译成文字，不再需要被报道，被讨

1 万户飞天的故事在中国本土史料中暂未见直接记载，其传说最早源于20世纪西方著作的转述。根据美国学者赫伯特·瑟姆（Herbert S. Zim）《火箭与喷气机》（*Rockets and Jets*）一书中的描述，一位名为“Wan Hoo”的中国明朝官员曾进行飞天实验。参见 Herbert S. Zim, *Rockets and Jets*, New York: Harcourt, Brace and Company, 1945.

2 参见 英国 DK 出版社：《飞机全书：一部清晰可见的历史》，王亚男等译，北京：北京航空航天大学出版社，2015年，第17页。

论，被注解”（114）。此时，飞行赋予她的已非疏离的景观，而是一种在场的身体感知。她在旅行中主动感受、收集并整合这些震撼的知觉体验。这正是叙事勇气在行动层面的体现：不断以新鲜经验扩充可供生命叙事的内容，抗拒可能因衰老带来的体验闭锁。

在意义层面上，飞行器是贯穿婕恩生命历程的线索，使时间流逝与生命蜕变得到具象呈现。当小说在描述婕恩衰老时，便巧妙借用了飞行器外观来形容人变老后的皮肤变化：“开始的时候皮肤似乎很紧，然后随着你年龄的增长，它会松垮下来，产生皱纹，就好像你给它喷上了水，涂上了涂漆”（178）。小说通过“给飞机喷漆”的比喻，将机体的老化与人体皮肤产生的松弛与皱纹相类比，直观地展现了流逝的时间给生命留下的物理痕迹。在飞行器的镜像对照下，衰老不再是孤立的生理现象，而被赋予了一种可见可触的物质形态。这种生命隐喻的基础，早在婕恩的童年与青年时期就已埋下伏笔。如前文所述，婕恩对飞行器的兴趣始于童年：她仰望天空，与莱斯利舅舅玩向天空呐喊的游戏，却因此患上百日咳，又因治疗机缘获得首次飞行体验，乘坐德·哈维兰飞机掠过塔桥上空。青年阶段倾听飞行员普罗瑟的航行故事获得成长经验，进一步塑造了她对飞翔的向往与认知。因此，飞行器不仅是她生命各阶段的连贯线索，更成为她体认时间、经历蜕变乃至面对消亡的参照镜像。正是在与这一意象的持续对话中，她借由飞行实践了一种更深层的叙事勇气：她不再被动承受衰老，而是通过体验与记述飞行与衰老的交织，主动重构自身与时间的关系，将流逝的时间转化为可被述说的生命轨迹，完成对生命有限性的伦理回应。

最终，飞行意象的升华与生命意义的整合融为一体，也成为婕恩勇气的最突出表现形式。在生命终点，婕恩主动驾驭这一意象，将叙事勇气彰显于生命最后时刻的伦理选择。她在亲人的陪伴下乘坐飞机并凝视太阳，直面死亡本身，完满终结自己的生命故事。此外，她在游览世界七大奇迹之后，选择将自己的生命事件编纂为“七大私密奇观”的清单，将自己的出生与死亡都定义为七大奇观之二<sup>1</sup>。世界七大奇观作为被人类社会普遍认可的宏大文化符号，婕恩却仿照这一框架赋予自身生命同等的庄严性。这标志着她已彻底将生命意义内化。这种内化既不依托外部权威，也不诉诸超验体系，而是源于对自我生命经验的主动梳理与价值确认。这两个行为是文本中叙事勇气最极致的表达：她不仅主动设计了死亡的场景，使之成为个人生命故事中最壮丽的终章；更通过自我奇观化的叙事行为，宣告个体才是自身意义唯一合法的缔造者与叙述者。因此，飞行器不仅是叙事勇气的载体，其本身就是婕恩叙事勇气的组成部分，让婕恩老龄阶段的生活成为一种先将勇气写入行动，再将行动写入故事的持续性伦理实践。

1 参见 朱利安·巴恩斯：《凝视太阳》，丁林棚译，北京：外语教学与研究出版社，2018年，第215页。

与母亲婕恩截然相反，飞行器在格雷格利内心自童年起就悲观地与死亡绑定，最终固化为一种现代性的死亡隐喻。当他送母亲登上飞机时，“总是能闻到汽油味并怀疑是某种烤焦的人肉”（110）。起飞时仔细倾听引擎声，他“唯一听到的只有歇斯底里的叫喊声”（110）。他将飞行器总结为工程师们发明的现代死亡形式，并视乘机为“恐怖的死亡时刻”（111）。这种恐惧同样起源于他的童年经历。年少时，莱斯利舅舅送他一架莱桑德式飞机模型，却因零件遗失无法复原；婕恩为安慰他，重新购买了新模型。然而，当格雷格利认真组装完成并进行试飞时，战斗机的引擎却在空中滑落，燃烧起熊熊大火。这次失败的飞行记忆，为格雷格利埋下焦虑的种子。然而，婕恩乘坐飞机时却呈现出截然不同的情境表现。尽管她在多次飞行中遭遇意外颠簸与突发状况，小说却只用一句话平静带过她的状态：“只是沉思而已”（110）。这一反差不仅凸显了两代人对于同一技术产物的感知鸿沟，更揭示了两种截然不同的伦理态度。格雷格利将飞行器异化为死亡象征，实则是将自身的存在焦虑外化为具象的技术恐惧；而婕恩的沉思则体现了一种经过漫长生命经验沉淀后的坦然接纳。她将飞行中的不确定性转化为内省的契机，使之成为叙事勇气生长的时间容器。

对格雷格利而言，飞行器深化的死亡焦虑，逻辑性地导向了他对死亡议题的进一步探索。随着年岁渐长，这一追问显得愈发迫切。与此同时，小说也悄然步入新的想象纪元——计算机与人工智能（AI）时代。引向了巴恩斯对死亡更具哲理性的思辨。

### 三、以计算机为表征的技术迷惘与死亡焦虑

如果说飞行器代表了叙事勇气的具身实践，那么计算机（及其中的人工智能系统）则象征着一一条试图绕过叙事勇气、依赖外部技术理性来解决死亡焦虑的路径。格雷格利对计算机的过渡依赖，演绎了当个体丧失以自身生命经验建构意义的叙事勇气时，如何被工具理性所异化，从而陷入更深的伦理困境。“文学伦理学批评要求批评家能够进入文学的历史现场，而不是在远离历史现场的假自治环境中评价文学”（聂珍钊，文学伦理学批评：基本理论与术语 20）。要解读格雷格利的伦理选择，我们必须重返小说所虚构的未来现场。小说自第三部分起完全聚焦于婕恩的老龄阶段。此时，不仅主角本人步入暮年，连她三十八岁时生下的儿子格雷格利也已满头苍发，处于人生的晚期阶段。彼时，社会的大众认知发生了深刻变化。“知识并没有真的进步，而是呈现出进步的表象”（178），这句叙述者的断言，尖锐地指出了技术乐观主义时代的认知幻象。在新世纪背景下，老年学作为显学兴起，与之相伴的却是一种荒诞的社会现象：老龄群体的自杀浪潮。这不仅是小说中的虚构情节，也折射出现实社会中当老龄化成为全球性问题时所引发的复杂生命伦理危机。技术进步并未带来生命意义的相应增值，反而加剧了存在性虚无的蔓延。迪尔凯姆（Émile

Durkheim)在《自杀论》(*Suicide: A Study in Sociology*, 2001)中将自杀定义为“由死者自己完成并知道会产生这种结果的某种积极或消极的行动直接或间接地引起死亡”(11)。小说中的“老年殉道团”选择通过自杀,甚至极端的自焚手段表达政治诉求,其行动本身具有明确的意图与结果预期,完全符合迪尔凯姆对自杀行为自知性与主动性的界定。在这种社会氛围下,自杀被包装成了一种重获主体性、彰显存在感的最后权益,一种对抗生理衰退与社会边缘化的极端解决方案。然而,这种以自杀为代价的抗争,却在媒体与社会的消费逻辑中迅速变质,走向另一个极端。正如文本所示,尽管社会表面上回应了老年人的诉求,却将其转化为娱乐化的景观。文中写道:“电视不仅让老年人被大众广泛地理解,而且把老年变成了一种时尚”,与此同时,“社会上出现一大批和青年人迈入婚姻的年迈的老年人”,政府不仅设立老年运动会,还“发行了老年名人肖像的邮票。这些现象共同勾勒出一种被媒介与社会活动重新定义的老年形象”(169)。社会看似通过婚恋自由、媒体包装、公共纪念与体育参与等形式赋予了老龄化以积极色彩,实则也在无形中将老龄经验包装为可消费、可展示的符号。在这样的社会背景下,格雷格利萌生的自杀念头并非源于坚定的自我决断,而更像是在社会浪潮裹挟下的迷茫与逃避,试图通过提前终结存在来逃避对存在本身的恐惧。

为应对社会中盛行的自杀风气,小说中政府推行的“通用计算机工程”应运而生。该系统“存储了迄今为止所有语言出版的所有书籍的知识(171)。尤其是所谓的“绝对真理”(TAT)被植入系统,人工智能被彻底塑造为全知全能的新神祇,承诺提供关于一切问题的终极答案。随着系统的普及,人们逐渐沉迷其中,并对其产生了深刻的依赖。TAT系统象征着一种技术理性登峰造极后的自我神化,它力求以绝对的客观、严密的逻辑与无限的数据处理能力来解决人类最情感化与非理性的主观死亡恐惧。格雷格利初次使用计算机是为查询“为什么水貂有极其强烈的求生欲”(175)。这个看似古怪的问题虽来源于母亲,但实则是他自身求生本能与死亡恐惧的一种投射与转喻。他渴望在生物性的普遍规律中,为个人的畏死情绪找到一个科学的、因而可被解释乃至掌控的根基。然而,这种将生命意义问题降维为信息处理问题的尝试,从起点上就埋下了失败的伏笔。无论他如何转换提问方式,抑或旁敲侧击,计算系统始终回避实质,最终仅以“这不是一个现实的问题”(190)作为回应,将其深刻的生死叩问轻描淡写地搪塞过去。他将全部希望寄托于作为“外部大脑的计算机,期望这台理性的造物能提供关于死亡的客观真理。这种期望本身,体现了一种认识论上的错位:即认为通过累积足够多的关于死亡的客观信息数据,就能理解死亡,从而消解其带来的焦虑。小说中他反复地调用死亡数据库,查找名人的死亡事件与临终遗言,甚至细究美国总统的死因。<sup>1</sup>巴恩斯在此精准地

1 参见 朱利安·巴恩斯:《凝视太阳》,丁林棚译,北京:外语教学与研究出版社,2018年,第179-182页。

批判了信息时代的认知谬误：将“知识”（knowledge）等同于“智慧”（wisdom），将信息占有等同于意义获得。格雷格利的困扰随着数据积累而加剧，正说明关于死亡的客观知识不仅无法缓解主观的死亡焦虑，反而可能因其客观庞杂而无法统合，进而加深个体的疏离与无助。人工智能在此暴露出其内在的局限：它擅长处理“是什么”的陈述性知识，却完全无力应对“意味着什么”的价值性追问，而后者正是死亡焦虑的核心。

更具讽刺意味的是，小说揭示出在背后回答问题的实则是人类。下班的工作人员相互交谈今日的服务对象，暗自嘲讽格雷格利这个难缠的用户为倔驴子。这一情节设计彻底戳破了技术全能的神话。它暗示所谓客观真理的源头，最终依然是人类主观性的集合或操纵；所谓的人工智能自主性，在应对人类终极问题时，依然是一系列由人类本身精心编程的反馈机制，甚至是一种被崇高化后维持社会秩序或提供心理安慰的客体。巴恩斯在80年代作出的这一想象，在当今人工智能日益普及的时代，读来更具预警色彩：我们赋予技术的权威，很可能只是我们自身渴望权威投射的镜像。最终，在依赖于计算机的外部求索均告失效后，格雷格利在犹豫中向母亲婕恩提出了三个根本性问题：“死亡是否是绝对的？宗教是否有意义？人是否可以自杀？”（220）分别对应了死亡的事实性、超越的可能性以及生命的自主权边界。因为这些问题都涉及人类存在的本质，所以共同构成了现代世俗个体面对死亡时的核心伦理困境。婕恩斩钉截铁地给出否定的答案。这些答案无关对错，既非源于书本知识，也非来自计算机的运算结果，而是源于其漫长生命历程中淬炼出的具身认知，让格雷格利感觉仿佛“三颗牙被拔了出来”，伴随着一种“没有痛苦”（220）的如释重负。这一身体性的解脱标志着他理性探寻路径的最终破产，也暗示着终于他领悟到母亲基于叙事勇气之上的具身智慧。婕恩通过自身作为伦理榜样影响格雷格利，在代际维度上进行伦理教育，形成一种超越个体生命叙事的伦理延续。

《凝视太阳》超越了女性成长史的单一维度，通过婕恩的生命实践，直指死亡议题与生命本质的哲学思辨与伦理内核。小说通过对比婕恩与其子格雷格利面对衰老与死亡的不同态度，展现了两种伦理选择路径：婕恩通过具身化的生命体验（以飞行器为载体）实现了对死亡的伦理回应，而格雷格利则沉溺于计算机技术对死亡问题的理性求解，最终陷入存在困顿。

这一对比揭示了技术理性在应对存在性焦虑时的根本局限。作家批判了将衰老问题简化为技术解决方案的倾向，指出这种依赖非但不能带来解放，反而会加剧主体的异化。基于此，小说建构了一种以“叙事勇气”为核心的老龄伦理范式。叙事勇气将勇气从一种宏大的英雄品质，重塑为平凡个体面对生命有限性的内在实践动力。它要求个体在直面时间流逝与身体衰退的同时，依然保持对生命意义的确信与创造激情，通过主动整合自身生命经

验，建构具有主体性的生命叙事。在人工智能时代，人类体验面临被数据覆盖的风险，老龄群体更易被简化为社会问题。而《凝视太阳》的伦理启示正在于：唯有凭借叙事勇气，坦然接纳衰老、凝视死亡，对生命经验进行持续的叙事整合，才能彰显生命晚期不可消解的伦理价值，最终实现从个体存在哲思向社会伦理关怀的深化。

## Works Cited

- 亚里士多德：《尼各马可伦理学》，廖申白译注。北京：商务印书馆，2003年。  
[Aristotle. *Nicomachean Ethics*, translated and annotated by Liao Shenbai. Beijing: The Commercial Press, 2023.]
- 朱利安·巴恩斯：《凝视太阳》，丁林棚译。北京：外语教学与研究出版社，2018年。  
[Barnes, Julian. *Staring at the Sun*, translated by Ding Lingpeng. Beijing: Foreign Language Teaching and Research Press, 2018.]
- . *Staring at the Sun*. London: Vintage Book, 2019.
- Boswell, James. *The Life of Samuel Johnson* Vol.1. London: Charles Dilly, 1791.
- Brukner, D.J.R. "Planned Parenthood of the Novel." *New York Times Book Review*, 12 April 1987. Available at <https://archive.nytimes.com/www.nytimes.com/books/01/02/25/specials/barnes-staring.html>. Accessed 16 Jan.2025.
- Childs, Peter. et al. *Contemporary Critical Perspectives: Julian Barnes*. London: Bloomsbury Publishing, 2011.
- 英国 DK 出版社：《飞机全书：一部清晰可见的历史》，王亚男等译。北京：北京航空航天大学出版社，2015年。  
[Dorling Kindersley Limited. *The Aircraft Books*, translated by Wang Yan et al. Beijing:Beihang UP.]
- 埃米尔·迪尔凯姆：《自杀论》，冯韵文译。北京：商务印书馆，2001年。  
[Durkheim, Émile. *Suicide: A Study in Sociology*, translated by Feng Yunwen. Beijing: The Commercial Press, 2001.]
- 樊浩：“老龄文明的伦理革命”，《探索与争鸣》1（2023）：71-80。  
[Fan Hao. "The Ethics Revolution to Shape an Aging Civilization." *Explorations and Free Views* 1 (2023): 71-80.]
- Fuentes, Carlos. "The Enchanting Blue Yonder." *New York Times Book Review*, 12 April 1987. Available at <https://archive.nytimes.com/www.nytimes.com/books/01/02/25/specials/barnes-staring.html>. Accessed 16 Jan. 2025.
- 郭笑雨：“践行积极老龄观：老年形象、老龄文明与伦理进路”，《云梦学刊》3（2024）：104-115。  
[Guo Xiaoyu. "The Practice of View on Positive Aging: Images of the Elderly, Aging Civilization and Ethical Approaches." *Journal of Yunmeng* 3 (2024): 104-115.]

韩加明编：《欧美文学论丛·第十辑：成长小说研究》。北京：人民文学出版社，2015年。

[Han Jiaming ed. *European & American Literature Series 10: Studies in the Bildungsroman*. Beijing: Renmin Press, 2015.]

Miller, William Ian. *The Mystery of Courage*. Cambridge: Harvard UP, 2000.

Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.

聂珍钊：“文学伦理学批评：基本理论与术语”，《外国文学研究》1（2020）：12-22。

—。“Ethical Literary Criticism: Its Fundamentals and Terms.” *Foreign Literature Studies* 1 (2020): 12-22.]

——：《文学伦理学批评导论》。北京：北京大学出版社，2014年。

—。 *Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]

——：“人文研究的科学转向”，《文学跨学科研究》4（2022）：563-568。

—。“The Scientific Turn of Humanities Studies.” *Interdisciplinary Studies of Literature* 4 (2022): 563-568.]

林斌：“老龄化的文学表征与身份政治——‘成熟小说’之源流探析”，《外国文学动态研究》2（2018）：28-35。

[Lin Bin. "Literary Representations and Identity Politics of Ageing: Probing into the Origin and Development of Reifungsroman." *New Perspectives on World Literature* 2 (2018): 28-35.]

李晶：“当代美国戏剧的老龄伦理学研究”，《广西民族大学学报》（哲学社会科学版）4（2021）：114-119。

[Li Jing. "A Study on Gerontological Ethics in Contemporary American Theaters." *Journal of Guangxi University for Nationalities (Philosophy and Social Science Edition)* 4 (2021): 114-119.]

柏拉图：《柏拉图全集（增订版）》，王晓朝译。北京：人民出版社，2015年。

[Plato. *Platonis Opera*, translated by Wang Xiaochao. Beijing: Renmin Press, 2015.]

Wareham, C. S. *Cambridge Handbook: Ageing Ethics*. Cambridge: Cambridge UP, 2022.

周琛：“‘老龄化时代’的伦理形态”，《学海》4（2016）：178-183。

[Zhou Chen. "The Ethical Form in Aging Society." *Academia Bimestrie* 4 (2016): 178-183.]

Zim, Hebert S. *Rockets and Jets*. New York: Harcourt, Brace and Company, 1945.

# From Affect to Morality: The Internal Tension and Methodological Dilemmas in Hogan's Affective Narratology

Tan Fei

**Abstract:** Hogan's affective narratology, which integrates cognitive-affective science and narratology, advocates for the establishment of literary universals through recurring affective narrative types, sparking extensive academic debate. Through an examination of Hogan's theoretical foundations and textual analysis methods, along with a tracing of the theoretical trajectory of affective narratology and cognitive cultural poetics, this analysis identifies three internal contradictions within his affective narratology: First, the gradient-based plot classification method, adopted to enhance cross-cultural interpretive power, emphasizes the stability of emotional systems and the openness of plots while decoupling the necessary connection between emotions and narrative structures. This, in turn, leads to a tendency toward arbitrariness in emotional dynamics, undermining the theoretical foundation. Second, his theoretical construction aims to establish a universal narrative typology, yet simultaneously seeks to anchor textual interpretation within the realm of social ethics, creating a methodological tension that is difficult to reconcile. Finally, during his theoretical transition, Hogan treats texts both as sample data for constructing universal theories and as concrete exemplars to substantiate theoretical claims. This dual methodological approach further weakens the consistency of his arguments, exposing the deep-seated dilemma between universality and particularity in his theory.

**Keywords:** Hogan; Affective Narratology; literary universals; morality

**Author:** Tan Fei is Assistant Professor at the Department of Chinese (Zhuhai), Sun Yat-sen University (Zhuhai 519082, China). Her Academic research focus on Literary Theory, Narratology, Affect Studies (Email: tanfei0501@gmail.com)

**题目:** 从情感到道德：霍根情感叙事学的内在张力与方法论困境

**内容摘要:** 霍根情感叙事学结合认知情感科学与叙事学，试图通过反复出现的情感叙事类型建构文学的普遍性，引发学界广泛讨论。本文在梳理其理论基础、文本分析方法及认知文化诗学脉络的基础上，指出它的内在张力：情

感叙事学中的文学普遍性的理论基础在于情感系统与叙事结构的稳定的对应关系，但为了强调文学普遍性的跨文化适用性，霍根在情感系统保持恒定的情况下对叙事类型进行梯度分类，导致情感和情节的关系的不稳定性，动摇了理论建立的基础；在具体的文本分析过程中，情感叙事学理论一方面追求普遍适用的叙事类型，另一方面又试图将文本解读锚定于具体社会伦理，形成难以调和的方法张力；在认知诗学由情感科学向文化诗学转型的过程中，文本既被视为建构普遍理论的抽样样本，又被用作验证理论的具体范本，这种双重取向削弱了论证的一致性，暴露出其在普遍性与特殊性之间的深层困境。

**关键词：**霍根；情感叙事学；文学普遍性；道德

**作者简介：**谭菲，中山大学中国语言文学系（珠海）助理教授，主要研究方向为文艺理论，叙事学、情感研究等。

### Introduction

The concept of “literary universality” aims to explore the commonalities of narrative patterns in different cultural contexts. When discussing the literary narrative of different cultures, traditional literary research mostly emphasizes historical background and ideological differences, and regards cultural specificity as a key factor in determining the form of literary narrative. However, with the rise of cognitive science and affective studies, some scholars have turned their attention to the shared affective mechanisms of human beings, inquiring why certain emotional structures and story types always recur in different cultural traditions. This turn has positioned “literary universality” as a focal point of interdisciplinary debate, while also reviving longstanding concerns within the humanities about the theoretical risks and ideological implications of universalism.

Patrick Colm Hogan’s affective narratology offers one of the most systematic attempts to address literary universality from a cognitive–affective perspective, which can relate to the scientific turn of Humanities Studies.<sup>1</sup> Integrating narratology with affective science, Hogan argues that shared emotional systems<sup>2</sup> generate recurring narrative prototypes—such as love stories or hero narratives—which are

1 See Nie Zhenzhao, “The Scientific Turn of Humanities Studies,” *Interdisciplinary Studies of Literature* 4 (2022): 563-568

2 In Hogan’s framework, the emotional system governs goals, the development of plotlines, the actions or experiences of the protagonist, how trajectories of goal pursuit are initiated, what constitutes an ending, and more. Consequently, the emotional system defines the standard features of all stories, as well as the recurring clusters of features found in universal prototype—such as romance or heroism—across cultures. See Hogan Patrick Colm, *Affective Narratology: The Emotional Structure of Stories*, Lincoln: University of Nebraska Press, 2011, 2.

realized in culturally specific texts. These shared affective structures, he claims, enable readers to empathize with characters, experience their goals and emotions, and derive aesthetic pleasure from narrative. On this basis, Hogan explains the cross-cultural recurrence of similar story types and defines such recurrence as “literary universality,” and pointed out that its roots lie in the fact that, according to research in cognitive science, affective science, and empirical psychology, certain mental structures and processes are, to some extent, derived from shared genetic characteristics of humankind. This assertion, attributing literary universality to a biological basis, has become one of the most controversial propositions in the field of cognitive and affective poetics.

The 2024 special issue of *Style*, focusing on the universality of literature, provides a forum for discussing this controversial topic. This special issue uses Hogan’s theory of affective narratology as a starting point for in-depth exploration and further advances critical discussion on this subject. In the discussions surrounding the universality of literature, scholars either completely oppose or partially question Hogan’s views. The fundamental disagreement lies in how to understand and interpret the universality of literature: whether universal emotional types based on shared human biological are valid, and to what extent the universality of literature interacts with diverse cultural characteristics?

A major point of contention is the theoretical basis of literary universality. Hogan, based on Chomsky’s distinction, divides “universality” into two categories: “statistical universality” and “absolute universality”.<sup>1</sup> The former refers to narrative types that are common but not necessarily present in every culture, while the latter refers to narrative types that appear in every culture. Hogan maintains that the ultimate goal of universality research is to identify absolute universals. Scholars such as Nigel Fabb argue that literary universality cannot be directly analogized to linguistic universals: whereas language is constrained by grammatical systems, literary creation remains open-ended.<sup>2</sup> Fabb argued that the universality of literature cannot be directly compared to the universality of language, because language is strictly constrained by grammatical systems, while literary creation is inexhaustible. Classifying literary universality would conflate the limitations of linguistics with the openness of literature, representing a fundamental difference in their understanding of the theory of cultural universality.

Simultaneously, the debate also involves the methodology of arguing for

1 See Patrick Colm Hogan, “What Literary Universals Are and What Culture Is Not: The Example of Descriptive Ethics,” *Style* 3 (2024): 243-271

2 See Nigel Fabb, “Response to Hogan,” *Style* 3 (2024): 291-296.

literary universals. Brian Richardson points out that Hogan's research does not present the universality of cross-cultural emotional genres in a hierarchical manner.<sup>1</sup> Richardson suggests a more refined "tripartite classification" to address the inadequacies in Hogan's framework. However, a closer examination of Hogan's scholarly practice reveals that he has already implemented similar gradient classification methods (e.g., distinguishing universal prototypes and minor genres) in works such as *Affective Narratology*.

Furthermore, scholars also debate how literary universals dissolve cultural differences. In contrast, the theorists typically focus more on how cultural forms shape, train, and reflect the workings of the human mind, rather than seeking universality in emotional expression from human physiological structures. Scholars who advocate for cognitive and cultural interaction generally believe that the term "universality" is too absolute both methodologically and linguistically, limiting the openness of literary understanding.<sup>2</sup>

The fundamental reason for the aforementioned divergences lies in the fact that the discussions in the *Style* special issue predominantly remained at a macro-theoretical level, failing to engage thoroughly with the concrete methodological operations of Hogan's theory and its diachronic evolution. That is to say, questioning the theoretical foundation of literary universals still necessitates a return to the theoretical presuppositions and textual analyses underlying Hogan's classification of affective narrative types for cultural universality, through which its basic logic can be clarified. The shifts in Hogan's theoretical focus must be traced within the internal trajectory of his own theoretical development, as regards the contradiction between the concept of cultural universality and the interactive relationship between emotion and culture.

In fact, regarding Hogan himself, his classification methods for cross-cultural emotional genres have evolved and been revised along his academic path. *Affective Narratology: The Emotional Structure of Stories* (2011) proposed the foundational methodology for establishing affective narratology, integrating the theoretical legacy of classical narratology with recent achievements in cognitive science (cognitive psychology, cognitive linguistics, artificial intelligence, etc.) in emotion research.

Comparing the classification of literary genres and specific work analyses in these two works is precisely intended to address two angles not yet touched upon

---

1 See Brian Richardson, "Partial Universals in Literature," *Style* 3 (2024): 326-329.

2 See Marco Caracciolo, "Why Cognitive Literary Studies Cannot Do Without Culture," *Style* 3 (2024): 281-286; Bradley J Irish, "What's in a Name: Can 'Universality' Be Resuscitated?" *Style* 3 (2024): 321-325.

in the *Style* debate—the internal differences in Hogan’s theoretical construction and textual analysis, and the internal changes in his academic trajectory—providing a new, methodology-based explanatory framework for a deeper understanding of literary universals. Therefore, this article is not only a critique of Hogan’s theory, but also a methodological reflection on the research paradigm of “literary universality,” providing a new approach for the discussion of cognitive poetics in a multicultural context.

### **I. The Gradient Method and Theoretical Foundation of Hogan’s Affective Narratology**

Hogan’s discussion of literary universality is based on a classification and distinction between universal prototypes and minor genres, in which the concept of prototype plays a central role. As Hogan defines it, prototypes are standard cases of categories, including emotional categories such as grief or anger.<sup>1</sup> While this notion superficially recalls Northrop Frye’s archetypal criticism, the two approaches differ fundamentally in their theoretical foundations. Frye’s archetypes are symbolic forms rooted in Jungian psychology and anthropological myth studies, transmitted through cultural inheritance and ritual repetition. Hogan’s prototypes, by contrast, are grounded in cognitive and affective science and refer to shared emotional structures that motivate goal-directed action and generate narrative plots.

This reconceptualization marks a paradigmatic shift from a cultural-symbolic model of universality to a cognitive-scientific one. Emotional systems, in Hogan’s framework, are not inherited symbols but biologically and psychologically shared mechanisms whose externalization in social action produces narrative form. Hogan believes that genres are related to the cognition and emotions of authors and readers: “An author’s elaboration of a prototype into a singular plot and a reader’s response to that plot (in part as an instance of the prototype) are inseparable from the emotion systems that guide the prototype initially” (Hogan “Affective Narratology” 9) In other words, the boundaries of narrative types are fuzzy, and their legitimacy stems from the shared cognitive-emotional processing between authors and readers, rather than from closed textual symbols. For Hogan, narrative types become externalized devices of emotional systems, and the classification standard is no longer static narrative functions or ritual symbols but the emotional dynamics themselves.

It is precisely due to the dynamic nature of emotions that Hogan classifies affective narrative types according to a hierarchical gradient, with the most important being universal narrative prototypes and minor genres. Universal

---

<sup>1</sup> See Patrick Colm Hogan, *Affective Narratology: The Emotional Structure of Stories*, Lincoln: University of Nebraska Press, 2011, 125.

narrative prototypes address clear affective narratives such as sacrifice, heroism, and romantic love as main plots. These have formed relatively mature and clear plot structures and frequently recur across various cultural texts. Their recurrent appearance in cross-cultural texts provides strong evidence for Hogan's theory of statistical universals.

In contrast, minor genres mostly originate from experiential narratives. Minor genres primarily refer to specific emotional narratives such as attachment, revenge, and desire. Unlike universal narrative prototypes like sacrifice, heroism, and romantic love, these types do not appear as prominently or frequently in the canonical works of various cultures and do not serve as main plot structures. These types form due to our spontaneous, unconscious classification of works, lacking relatively conventionalized, rigid narrative structures. "Beyond their recruitment of highly motivational emotion systems into shared emotion goals, more widespread genres will tend to have the following characteristics. They are potentially incident-rich, with incidents readily expandable into events and episodes. They are easy to elaborate in such a way as to produce empathically communicable emotional intensification. Their plot elements may be readily integrated into the ordinary story structure of normalcy, deviation from normalcy, and so on. They are open to recruitment by both dominant and resistant ideologies. They easily incorporate the emotional division of space. Finally, they treat a type of deviation from normalcy that is widely shared by readers or viewers" (Hogan, "Affective Narratology" 233). They frequently appear as subsidiary elements within universal prototypes. Minor genres are not without structure; rather, their structures are comparatively fluid, organized around emotional dynamics rather than fixed plot formulas. They arise from the categorization of emotional experience, and their structural patterns are embedded in commonly shared ways in which humans perceive, process, and respond to emotion. Therefore, they can flexibly adapt to and integrate into different cultural narrative frameworks, demonstrating powerful scalability.

However, this gradient method, driven by emotion internally and manifested through plot externally, while possessing immense explanatory power, also harbors a potential theoretical risk. As Omoha states, "Literary universals assume the 'governing problem', that is to say, it is a centrifugal project held together by emotion" (Omoha 342) The explanatory power of this gradient method lies in the fact that the "absoluteness" in minor genres is reflected in the inevitable recurrence of their emotional systems across cross-cultural texts. Simultaneously, the "centrifugal construction" is manifested in its "extensibility" after being externalized into social behavior, i.e., narrative events in the text, and its "potential"

to evolve into universal prototypes, which reduces the risk of absolutizing universality. Therefore, Hogan's theory is not, as some scholars claim, a "narrowly restrictive, formulaic character of the story types and the emotions with which they are associated" (Carroll 275). The potential and extensibility of minor genres, as classification methods and features of affective narrative types, themselves corroborate Hogan's view that emotional dynamics externalize in narrative types—narrative plots are not entirely absolute.

Furthermore, this expandability may also lead to arbitrariness. Hogan's emotional system aims to demonstrate that narrative plots are driven by emotions, implying an inseparable relationship between the two. If the correspondence between emotional dynamics and narrative forms becomes too flexible or even arbitrary, the logical foundation of the theory may be undermined. If universal human emotions are stable, while narrative types may be unstable, then the question arises whether universal human emotions simultaneously serve as the core driving force of narrative plots and form narrative types with stable categorical meaning, or merely drive the plot without shaping the narrative type. This is a question that needs to be reconsidered.

## II. From Affect Theory Construction to Cultural Morality Interpretation

Hogan not only emphasizes the correspondence between emotion and narrative when explaining theory, but he also applies this approach to textual analysis. As he points out, "In this way, the emotional dynamics of recurring story patterns are not only of broad explanatory importance but of particular, interpretive significance as well" (Hogan, "Affective Narratology" 9).

Thus, the revenge narrative can be regarded as a key exemplar through which one can thoroughly examine how Hogan establishes connections between theoretical construction and close reading, thereby illuminating his specific methodological approach to addressing issues of literary universals. In *Affective Narratology* (2011), Hogan notes: "The most emotionally intense form of the revenge narrative is initiated by the murder of some attachment figure. The murderer often commits a sexual transgression as well. In some cases, there is a difference between the person who commits the crime and the person who is ultimately responsible for it. The protagonist pursues the murderer, commonly making some mistake in identification on the way to exacting his or her revenge. That mistake may lead to the loss of innocent lives. In the end, the protagonist kills the person who committed the initial murder, often dying in the process. The person ultimately responsible for the initial murder may go unpunished" (Hogan, "Affective Narratology" 234).

In *Colonialism and Literature: An Affective Narratology* (2024), Hogan's understanding of revenge narratives undergoes a significant shift: "Since a revenge response is personal, it involves a personal choice. Personal choices are the area in which ethics enters, for an ethical decision is a decision about what we will do in certain cases where we have a choice" (Hogan, *Colonialism and Literature* 194). This indicates that his research focus has shifted from theorizing the relationship between emotion and narrative to examining the role of recurring narrative types in human behavior and moral evaluation.

This shift in focus is not merely a change in the subject of study, but rather a necessary consequence of the deepening of the theory itself. As textual analysis increasingly revealed that emotional states were more explanatory than narrative structure, the analytical framework of classical narratology proved insufficient to support his interpretive goals. Therefore, the turn to examining moral behavior in colonial history indicates a tendency in Hogan's affective narratology to shift from type construction to cultural interpretation.

In specific textual analyses, *Affective Narratology* (2011) examines multiple cross-cultural texts, with the discussion of the revenge plot in Shakespeare's *Hamlet* being particularly typical. In the play, the revenge plot is suspended due to Hamlet's complex inner struggles; revenge itself becomes the core choice the protagonist must face and also a key driving force of the plot. According to Hogan, revenge itself can be understood as a psychological compensation of the emotional system; If the revenger has already completed this process psychologically, the emotional system will interact with cognitions, thereby altering external behaviors. Hamlet's hesitation shows that emotional compensation can be completed within the mind, thus changing or even replacing external actions. Thus, the induction of narrative sequences is applicable only at the level of theoretical construction for narrative types. In textual analysis, Hogan focuses more on the emotional driving mechanisms behind characters' key actions.

In *Colonialism and Literature: An Affective Narratology*, Hogan extends his focus on emotional dynamics to the level of historical and cultural context. He analyzes Tagore's novel *Punishment* as an example. Hogan focuses on analyzing the motivations behind the female protagonist, Chandara. Her willingness to take the blame, without any argument, that it is closely tied to her self-moral cognition as a woman within the Indian sharecropping community. By refusing to participate in her husband's scheme to frame the deceased, Chandara responds to her position of low self-worth with silent resistance. In Hogan's view, this action itself constitutes a form of revenge, one that transcends traditional revenge narratives. If the analysis of

*Hamlet* reflects only a variant of the classic plot of general minor revenge narrative, then the analysis of *Punishment*, through detailed interpretation of the relationships between emotion, morality, and behavior, completely abandons alignment with classic revenge plots, focusing solely on the emotional motives, moral self-examination, and behavioral methods within a single revenge plot, without regard for the position of the revenge plot within the overall plot sequence.

It is noteworthy that Hogan also integrates the emotions and behavioral patterns within the text with India's colonial social conditions. He argues that the philosophy of nonviolence reflected in Tagore's literary works influenced Gandhi's later non-cooperation movement. "Indeed, Tagore went further than Gandhi in this direction, to the extent of criticizing Gandhi's program as too violent in its divisiveness and emphasis on relations of power. In the terminology of ethical philosophy, then, Tagore's response to colonialism (or to social reform more generally) favored an idealized, deontological ethics over more pragmatic, consequentialist assessments. His development and instantiation of the revenge prototype provide us with at least some hints as to how such views may be oriented by and also reconfigure this narrative prototype" (Hogan, *Colonialism and Literature* 203) Here, Hogan emphasizes that Tagore reconstructs the revenge prototype, presenting the method of revenge in a unique way shaped by Indian culture during the colonial period. Hogan's analysis here is highly insightful, brilliantly demonstrating how to integrate emotions, moral choices, and macro-historical contexts, showcasing the explanatory power of his theory in connecting emotions and moral behavior.

Although Hogan's methodological focus has shifted from universal theory toward the analysis of specific cultural contexts, his "descriptive ethics"—"A descriptive treatment of morality sets out to describe and explain what people think and do when they seek to act morally, how those decisions and actions may be understood systematically" (Hogan, *What Literary Universals Are and What Culture Is Not* 243-271)—continues to prioritize shared, emotion-driven patterns of moral psychology and behavior. Compared to more context-focused approaches (such as literary ethical criticism), Hogan's theoretical framework remains limited by its pursuit of universality. Hogan's analytical approach typically describes the protagonist's ethical conflict as a contradiction between behavioral goals (e.g., revenge), that is, between the (potential) narrative plot and emotions (e.g., hesitation or grief). In contrast, literary ethical criticism explores how ethical dilemmas arise in everyday life from interwoven social roles, ethical identities, and moral choices. In this sense, although Hogan's ethical inquiry involves cultural aspects, his treatment of specific moral issues is still limited by his universalist orientation.

When presenting the universality of cross-cultural story types in a gradient manner, Hogan suggests that regionality becomes one of the factors influencing universality. Marco Caracciolo's discussion provides corroboration for understanding Hogan's literary story types: "Hogan acknowledges as much when he suggests that the 'universals' he identified are only universal in a restricted sense—because they need not crop up in all cultural contexts, and because their frequency and specifics often differ widely" (Caracciolo 282). He also notes that the multiple classifications within Hogan's literary universal types will manifest differently in different social contexts.

However, when this analytical method is used to support grand narratives of "cross-cultural universality," the limitations of the theory begin to emerge. Hogan's gradient-based explanatory framework, aimed at enhancing the cross-cultural applicability of literary universals, is an interpretive strategy employed in textual analysis. Its theoretical basis is that the shared human emotional system is stable; therefore, narrative types are also stable, merely manifesting in corresponding variations in different narrative texts or cultural contexts. But suppose we abandon literary universality as the interpretive goal and instead adopt an analysis method centered on particularity. Universal variations can then be directly transformed into culturally specific characteristics.

For instance, Hogan suggests that Tagore's textual practice—which later influenced Gandhi's model of "non-violent" action—is in fact rooted in a complete and independent cultural value system formed by Indian religious philosophies such as "Ahimsa" (non-violence), rather than representing a universal human cultural-emotional expression. This value system does not merely adjust the expression of vengeful emotions; it fundamentally restructures or even transcends the primitive emotional logic centered around blood revenge. In other words, if the reconstruction of genres is seen as a fundamental change driven by cultural differences, the methodological approach to analyzing the relationships between emotion, behavior, and culture in texts also can be adopted to the text.

More importantly, there is a fundamental contradiction in Hogan's theoretical system. As Wehrs states: "In their dynamic proliferation in variations and counter-formations as revealed by comparative literary history and highlighted by Professor Hogan's scholarship, literary universals stress internal dissonance" (Wehrs 351). The "dissonance" means that Hogan attempts to construct a narrative typology to construct universality. At the same time, he also emphasizes interpretive analysis of specific texts within their socio-historical contexts. The latter focus on differences, while the former pursues universality. They constitute an inherent tension in

methodological goals.

### III. The Theoretical Context and Internal Tension of Affective Narratology

Reviewing Hogan's textual choices and analytical methods from *Hamlet* to *Punishment*, it is evident that he consistently attempts to understand texts by grasping the key emotions within revenge narratives. However, these two studies exhibit methodological inconsistencies: in his analysis of *Hamlet*, he focuses on how Hamlet's emotions drive the development of the revenge plot, analyzing the inner workings of the characters in the text to categorize various emotional states within the revenge narrative; while in his analysis of *Punishment*, he connects emotional analysis to the context of colonialism, linking Chandara's actions to the ideas of the author Tagore and contemporary thinker Gandhi, clearly transcending the boundaries of the text and exploring a non-universal real-world problem based on Indian historical and cultural traditions. This is, in fact, a concrete manifestation of two different methods of literary emotional analysis.

In *Literature and Emotion* (2018), Hogan clearly distinguishes between two methods of studying literary emotions: affective science and post-structuralist approaches to emotion. The former emphasizes common human emotional responses and behavioral patterns, employing empirical methods such as neuroscience data, linguistic tests, and behavioral studies. The latter, influenced by Foucault's discourse analysis and Derrida's deconstructionism, emphasizes the relationship between emotion and society. He argues that affective science is more rigorous, technically operational, and clearly expressed, and has better empirical support. On the other hand, post-structuralist approaches to emotion are more vague and obscure. At the same time, he also points out that affective scientists often lack the sense of urgency and practical engagement shown by post-structuralists when dealing with political issues.<sup>1</sup>Hogan's attitude towards these two research methods reflects his theoretical goal, which is to not only analyze and demonstrate the role of emotion as the main driving force of plot development within the text, but also to apply this interpretive method to the interpretation of reality. However, his analysis of *Punishment* demonstrates the impossibility of achieving this goal. When Hogan attributes Chandara's actions to the unique Indian tradition of "non-violence," he has, to some extent, abandoned the pursuit of a universal theoretical goal in literature, merely treating affective science as an unquestioned theoretical background.

---

1 See Patrick Colm Hogan, *Affective Narratology: The Emotional Structure of Stories*, Lincoln: University of Nebraska Press, 2011, 33.

Although he has shifted from emphasizing the determinism of emotional systems to focusing on social norms and ideals, he still insists that the differences in norms across cultures do not negate their shared universal foundation. Hogan states: “Story genres are in effect generated from the protagonist’s pursuit of goals, and the goals are defined by emotion systems. What I have not yet mentioned is that the emotions and goals are associated with norms or ideals. While such norms are not identical across cultures, they overlap considerably” (Hogan *What Literary Universals Are and What Culture Is Not* 261). Hogan’s skeptical attitude toward culture is not a denial of cultural differences but an opposition to interpretations that essentialize or determinize cultural differences. In the discussion of literary universals, there are two different orientations: one is the “cross-cultural narrative universality” pursued by Hogan, based on the overlap between emotional systems and social norms; the other is the “within-culture homogenized universality” he opposes, which assumes that all members within a culture share identical emotional patterns. Unlike scholars who criticize the concept of universality for limiting cultural openness, Hogan questions the tendency within cultures to reshape certain differences into a new form of absolute universality.

In other words, at the theoretical level, Hogan is committed to constructing recurring affective narrative types, aiming to reveal the overlap in human biological foundations and social ideal goals, thereby refuting the notion that cultural differences are irreconcilable. In textual analysis, he adopts a “descriptive ethics” approach using emotions and moral motivations as pivots to examine individual choices in socio-historical contexts, with the purpose of resisting the simplification and deterministic interpretation of individual choice capacity by within-culture absolutist notions. Therefore, whether he theoretically insists on the foundational status of emotional systems or introduces gradient discussions of cultural dimensions in analysis, he is essentially responding to the deterministic tendencies caused by within-culture universality.

Thus, scholars who criticize Hogan’s cultural universality often misinterpret his stance as a culturally homogenizing universality that denies differences, believing it limits the openness of cultural interpretation. At the same time, these criticisms fail to fully recognize that Hogan’s own research has actually been influenced by affective poststructuralism and has undergone changes. Despite disagreements, both sides share two major trends in cognitive-affective research: first, a gradual shift from biological determinism to focusing on the interaction between cultural environments and cognition; second, an opposition to essentializing correspondences between emotion and culture, rejecting any form of universality

that limits emotional diversity, and advocating for the establishment of analytical methods through the interpretation of specific interactions between emotion and culture.

It is at this point that the epistemological tension in Hogan's theoretical framework becomes apparent. As Jens points out, Hogan's theoretical explanation is not intended to identify a specific causal event or principle, but rather to determine the possibility of an appropriate explanatory domain and interpretive framework. This explanatory domain is the shared or inherited forms of human social structures and modes of interaction.<sup>1</sup> In determining this explanatory domain, Hogan uses literary texts as samples, extracting recurring common features to construct a universal theory of literary narrative types; at the same time, in interpreting the possibility of literary universality, specific cultural contexts and ethical ideas become the target of textual analysis, and literary texts become an illustration of cultural and contextual specificity. Assigning these two roles to literary texts creates an unavoidable tension in Hogan's theoretical system, ultimately weakening the coherence of his knowledge construction. The internal contradiction of his theoretical framework lies not in the sufficiency of its theoretical foundation or explanatory techniques, but in the two incompatible functions assigned to the textual material.

### Conclusion

Hogan's theory dilemma manifests itself on three levels: theoretical foundation, methodological practice, and knowledge construction, all fundamentally stemming from how "literary universality" is understood. That is, does "literary universality" refer to an objectively existing emotional structure inherent in everyday human life, with cross-cultural texts merely serving as a recurring arena for this emotional structure? Or is it merely an interpretive strategy applied to cross-cultural texts at a theoretical level?

In fact, Hogan's explanatory framework oscillates between these two positions. At the level of the theoretical foundation of emotional narratology, if "literary universality" is the manifestation of an objectively existing emotional structure in literary texts, then certain shared human emotions drive plots and form stable narrative types that hold true across cross-cultural texts. However, when it undergoes a gradient-change in narrative type, allowing for a wider range of emotions, "literary universality" transforms into a theoretical interpretive strategy that enhances universality. This pursuit of enhanced universality is reflected not

---

1 See Jens Kjeldgaard-Christiansen, "Three Conceptions of Culture," *Style* 3 (2024): 287-290.

only in theoretical construction but also in textual analysis. Hogan's shift from constructing narrative types to specific cultural analysis is a manifestation of this shift from viewing literary universality as an objectively existing emotional structure to an interpretive strategy for texts.

Both theoretical construction and textual analysis lead to a particular way of constructing knowledge: when literary texts are used as samples to generalize narrative types, they simultaneously reflect an objectively existing emotional structure; however, when literary texts are used as illustrative examples for interpreting moral and ethical contexts, "literary universality" itself is no longer a hypothesis requiring proof, but rather a default premise that has been suspended, requiring only the interpretation of specific types of textual manifestations based on this premise. This again raises the question of the necessity and possibility of "literary universality," requiring further thorough argumentation.

Lisa Zunshine's discussion of cognitive cultural theory methods provide insightful explanations for this interpretive crisis. She explains that cognitive cultural analysis is inherently open-ended: the interaction between universal human cognition and specific cultural phenomena is "temporarily stable," and therefore the results are difficult to predict. Therefore, researchers cannot know in advance what forms of interaction will emerge, nor are they limited by methodological boundaries between subfields.<sup>1</sup> Hogan's research on existing cross-cultural texts offers a degree of balance between universality and particularity. However, due to the inherent openness between cognition and culture, this balance often tends to be unstable, making it a constantly evolving interpretive strategy.

These shifts in interpretive strategies remind us of the challenges and circuitous efforts involved in attempting to discuss the issues of universality and particularity in literature. That is, in literary studies, are there ways to understand the relationship between biological characteristics and specific cultural influences beyond simply discussing how they interact with the human condition? Using literary texts as his object of analysis, Hogan provides unprecedented insights into the multifaceted relationship between biological characteristics, character behavior, and cultural environment from the perspective of emotion-driven narrative development.

### Works Cited

Caracciolo, Marco. "Why Cognitive Literary Studies Cannot Do Without Culture." *Style* 3 (2024): 281-286.

---

<sup>1</sup> See Lisa Zunshine ed, *Introduction to Cognitive Cultural Studies*, Baltimore: The Johns Hopkins University Press (2010): 2.

- Carroll, Joseph. "Response to Patrick Colm Hogan's Article on Literary Universals and Culture." *Style* 3 (2024): 272-280.
- Hogan, Patrick Colm. *Affective Narratology: The Emotional Structure of Stories*. Lincoln: U of Nebraska P, 2011.
- . *Colonialism and Literature: An Affective Narratology*. Lincoln: U of Nebraska P, 2024
- . *Literature and Emotion*. New York: Routledge, 2018.
- . "What Literary Universals Are and What Culture Is Not: The Example of Descriptive Ethics." *Style* 3 (2024): 243-271.
- Fabb, Nigel. "Response to Hogan." *Style* 3 (2024): 291-296.
- Irish, Bradley J. "What's in a Name: Can 'Universality' Be Resuscitated?" *Style* 3 (2024): 321-325.
- Kjeldgaard-Christiansen, Jens. "Three Conceptions of Culture." *Style* 3 (2024): 287-290.
- : "人文研究的科学转向", 《文学跨学科研究》4 (2022): 563-568。
- [—: "The Scientific Turn of Humanities Studies." *Interdisciplinary Studies of Literature* 4 (2022): 563-568.]
- Omoa, Owojecho. "Extending the Frontiers of Story Universals: The Spiritual Dimension." *Style* 3 (2024): 341-346.
- Richardson, Brian. "Partial Universals in Literature." *Style* 3 (2024): 326-329.
- Sawaki, T. "Analysing Structure in Academic Writing." London: Palgrave Macmillan, 2016.
- Wehrs, Donald R. "Literary Universals and Their Implications for Literary Theory." *Style* 3 (2024): 347-351.
- Zunshine, Lisa ed. *Introduction to Cognitive Cultural Studies*. Baltimore: The Johns Hopkins UP, 2010.

# 《红楼梦》乱伦叙事的伦理文化机制

## Ethical and Cultural Logic of Incest Narratives in *A Dream of Red Mansions*

李海宏 (Li Haihong) 谢依伦 (Chia Jee Luen)

**内容摘要：**《红楼梦》中的乱伦叙事不同于西方的血亲乱伦，表现为家族内异姓男女的拟血缘伦理结。尽管没有直接触动血缘伦理禁忌，但是此类拟血缘伦理结同样显示了对传统道德伦理的破坏，体现了曹雪芹对宗法制度的无意识反抗。异姓家族成员间的乱伦叙事也反映了男权意识的扩展及其对女性的物化，女性则以生命为代价进行反抗并完成自己的伦理救赎。《红楼梦》中的乱伦叙事兼有消极破坏意义与积极反抗意识，呈现出复杂的伦理文化心态。通过对《红楼梦》中乱伦叙事的解读，可以为反思宗法制度下的个体命运、性别关系提供一种批判性视角。

**关键词：**文学伦理学批评；《红楼梦》；乱伦叙事；伦理禁忌；伦理文化

**作者简介：**李海宏，马来亚大学文学暨社会科学学院博士研究生，研究方向为明清小说与新媒介文艺批评；谢依伦，马来亚大学中文系高级讲师，主要从事《红楼梦》与文学传播学研究。本文为2024年度中国教育部人文社会科学青年基金项目“晚清民国大众传媒中的《红楼梦》接受与再生产研究”【项目批号：24YJC751026】阶段性成果。

**Title:** Ethical and Cultural Logic of Incest Narratives in *A Dream of Red Mansions*

**Abstract:** Unlike Western representations of incest, which typically involve direct violations of consanguineous boundaries, the incest narratives in *A Dream of Red Mansions* are primarily articulated through quasi-kinship relations formed between male and female members of the same household who bear different surnames. Although such relationships do not directly transgress blood-based ethical taboos, they nonetheless construct kinship-like moral bonds that destabilize the traditional ethical order upheld by the Confucian patriarchal clan system. These quasi-incestuous configurations reveal the structural fragility of that system and register Cao Xueqin's unconscious resistance to its ideological constraints. At the same time, they expose the expansion of patriarchal authority within extended family networks and its attendant objectification of women. Female characters respond to such domination through acts of resistance that frequently culminate in self-sacrifice, through which they attain

a form of ethical redemption. Consequently, incest narratives in *A Dream of Red Mansions* possess a dual significance: they function both as a destructive force that erodes established ethical boundaries and as a subversive discourse that articulates resistance to patriarchal and genealogical domination. This ambivalent ethical-cultural logic offers a critical lens for reconsidering individual fate, gender relations, and moral order within the patriarchal clan system in the context of traditional Chinese society.

**Keywords:** ethical literary criticism; *A Dream of Red Mansions*; incest narrative; ethical taboo; ethical culture

**Authors:** **Li Haihong** is a Ph.D. Candidate at the Faculty of Arts and Social Sciences, Universiti Malaya (Kuala Lumpur 50603, Malaysia). Her academic research focuses on Ming-Qing fiction and new media literary criticism (Email: s2191486@siswa.um.edu.my). **Chia Jee Luen** is Senior Lecturer at the Department of Chinese Studies, Faculty of Arts and Social Sciences, Universiti Malaya (Kuala Lumpur 50603, Malaysia). His research focuses on *A Dream of Red Mansions* and literary communication studies (Email: chiajeeluen@um.edu.my).

《红楼梦》的伦理叙事具有双重特性，在显性层面上呈现出传统伦理意识的统治地位，以强大的伦理线结撰起小说的整体架构；但在隐性层面上却又通过设置诸多伦理结来解构贾府这一贵族典范的伦理秩序。不同于西方直系之间的血亲式乱伦，《红楼梦》中的乱伦体现为家族内部异姓男女的拟血缘伦理结，在众多拟血缘乱伦的隐讳书写中消解了诗书礼仪的光辉外观。作者一方面极力铺陈贾府作为世家大族的森严礼教与繁复规矩，另一方面又在文本深处暗伏诸多污秽肮脏、乃至乱伦违常的男女秘事。这不仅体现了曹雪芹隐秘的内心世界，也展现了其对传统道德规范的隐性反思。外观的光辉灿烂与内在的纵欲狂欢分别在人性因子（human factor）与兽性因子（animal factor）的支配下形成了极具张力的文本结构。本文即聚焦于《红楼梦》中的乱伦现象，从文学伦理学批评<sup>1</sup>的角度揭示出这一现象的深层文化机制，为反思宗法制度下的个体命运、性别关系提供一种批判性的视角。

### 一、拟血缘伦理的文化结构与乱伦叙事的生成

中华民族很早就建立起以血缘为基础的伦理制度，并在儒家文化思想的推动下进一步形成特有的道德文明体系。在这一套体系中，以夫妻关系为核

1 参见 Nie Zhenzhao, "Ethical Literary Criticism: A Basic Theory," *Forum for World Literature Studies* 2 (2021): 189-207; Nie Zhenzhao, "Ethical Literary Criticism: Sphinx Factor and Ethical Selection," *Forum for World Literature Studies* 3 (2021): 383-398; 聂珍钊:《文学伦理学批评导论》,北京:北京大学出版社,2014年;聂珍钊:“人文研究的科学转向”,《文学跨学科研究》4(2022):563-568等论著。

心的纲常伦理成为整个中国封建时代的伦理基石。孔颖达在《周易正义·序卦》认为：“有天地，然后有万物；有万物，然后有男女；有男女，然后有夫妇；有夫妇，然后有父子；有父子，然后有君臣；有君臣，然后有上下；有上下，然后礼仪有所错”（189-190）。夫妇关系是其他一切关系的基础，它构成封建时代伦理秩序的核心。《礼记正义·昏义》中孔颖达表述得则更为明确：“敬慎重正，而后亲之，礼之大体，而所以成男女之别，而立夫妇之义也。男女有别，而后夫妇有义；夫妇有义，而后父子有亲；父子有亲，而后君臣有正”（2276-2277）。男女之间的性区别是夫妇之义的根基，然后夫妇之义超出纯生理的性差异成为一种社会化伦理，并最终构成全部伦理关系的基础。

以夫妻关系为基础的伦理秩序在儒家文化中发展为一个庞大的体系，支配着人们的社会生活。《白虎通疏证·三纲六纪》中指出：“三纲者，何谓也？谓君臣、父子、夫妇也。六纪者，谓诸父、兄弟、族人、诸舅、师长、朋友也”（陈立 373）。尽管君臣、父子的关系在夫妇之前，但是夫妇关系却是构成一切道德关系的基础，通过男女之间的生育繁衍才能生成人类社会的一切道德规范。儒家以夫妻关系为基础，建构出以血缘亲疏为等差的五服关系网，规定斩衰、齐衰、大功、小功、缌麻等五种服丧制度，这一制度同时也是辨别血缘亲疏远近的伦理制度。“五服之内禁止通婚，不仅有着遗传学意义上的合理性，而且有着文化学意义上的开放性。通过与没有血缘关系的外人通婚，可以将新鲜血液注入家族血缘的关系之中，使其不断更新、不断发展、不断壮大。一家一族如此，整个民族无不如此”（陈炎 41）。这种建基于血缘关系的伦理规范最终被发展为儒家的绝对真理，三纲五常更是源自天地的绝对规范。因而，所谓拟血缘伦理，即以血缘关系为基础，将非血缘关系的亲属纳入血缘伦理的范围之内，并承担与血缘关系相同或相似的伦理义务。

乱伦作为一种反伦理的文化现象，不仅是对现实道德秩序的挑战与破坏，同时也是对人自身价值尺度的挑战。在文学文本中，伦理线（ethical line）与伦理结（ethical knots）是紧密相连的。伦理线可被视为文学文本的纵向伦理结构，伦理结则是其横向伦理结构的体现。当伦理线发生紊乱之后，不同伦理线所打成的伦理结则就体现为乱伦的特点。然而，在中国文化传统中，当血缘关系上升为不可动摇的纲常原则之后，乱伦则体现为对各种拟血缘亲属关系的破坏，围绕直系血缘之间的乱伦也成为整个社会文化所不容许的现象。

《红楼梦》展现了中国传统家庭伦理精神的本质，其中关于乱伦的叙事描写同样引人注目。事实上，《红楼梦》一书中尽管有诸多关于乱伦的或隐或显的描写，但没有关于同姓男女之间的乱伦行为，即使贾珍这样的悖乱之人也没有这方面的行为，显然“同姓不婚”已经成为整个社会的无意识观念，也成为一种绝对的伦理禁忌，同时也意味着《红楼梦》所描写的乱伦行为并没有挑战封建伦理中最基本的婚姻与性规则。

然而，这并不意味着《红楼梦》中的乱伦行为被传统伦理所默认；相反，这

类书写恰恰展现了以男权为中心的伦理观念在实际运行层面所发生的部分扭曲。小说中最引人注目的是贾珍与儿媳秦可卿之间的悖伦关系。尽管在受到畸笏叟“因命芹溪删去”之后，其具体细节描写已经不可得知，但透过小说中的蛛丝马迹仍然可以推测二人之间的非正常关系。例如第十一回，尤氏对秦可卿病情的描述：“他这个病得的也奇。上月中秋还跟着老太太、太太们顽了半夜，回家来好好的。到了二十后，一日比一日觉懒，也懒待吃东西，这将近有半个多月了。经期又有两个月没来”（151）<sup>1</sup>。而在秦可卿去世之时贾珍的表现更为反常，一方面贾珍早已“哭得泪人一般”（171），面对众人询问如何料理后事则回答“不过尽我所有罢了”（172）；另一方面则逾制为其寻得名贵楠木棺材厚葬。作者通过贾珍出格的语言与超规格的丧礼，暗示了二人之间的非正常关系。贾珍身上人性因子的失效并非仅源于个体道德的崩塌，还要考虑到其所处宗法权力的位置。他作为宁国府的实际掌控者，不必为自身乱伦行为承担实质性的伦理后果，所以人性因子中的自我节制不断被兽性因子中的欲望所支配，导致了伦理后果的失衡和家族内部的伦理失序。

除了公媳之间的乱伦，《红楼梦》还描写了平辈之间的乱伦。贾珍、贾蓉、贾璉对尤二姐、尤三姐的调戏、乱交几乎处于半公开状态。贾蓉在爷爷贾敬刚死之时就调戏二尤，说明与外姓亲戚的乱伦在当时并非重要的事情。

贾蓉且嘻嘻的望他二姨娘笑说：“二姨娘，你又来了？我们父亲正想你呢。”尤二姐便红了脸，骂道：“蓉小子！我过两日不骂你几句，你就过不得了。越发连个体统都没了。还亏你是大家公子哥儿，每日念书学礼的，越发连那小家子瓢坎的也跟不上。”说着顺手拿起一个熨斗来，接头就打，吓得贾蓉抱着头滚到怀里告饶。尤三姐便上来撕嘴，又说：“等姐姐来家，咱们告诉他。”（882）

有时出于人物之间的地位关系，这种平辈乱伦亦采取半真半幻的方式进行表达。例如，贾瑞对王熙凤的单相思是书中着墨较多的情节，尽管并没有实质性的乱伦行为，但是却在贾瑞单方的性幻想中将对王熙凤的欲念细致地揭示出来。贾瑞对王熙凤的淫念虽然对封建伦理是一种反叛，但在时人眼里并非严重罪行，因而也只是被贾蓉、贾蔷勒索、恐吓一番，并没有进一步激化为罪行。由于王熙凤身份地位远较贾瑞高贵，因而现实中贾瑞无法实现自己的内心欲念，于是作者以“风月宝鉴”的名义来释放贾瑞的兽性因子。

总之，我们不能因为《红楼梦》中描写的乱伦行为并没有完全悖乱封建理念而轻忽其中的意义，在这些乱伦背德行为的背后，一方面体现了曹雪芹内心深处的隐秘欲望，另一方面则展现了男权社会中的特殊男女关系。曹雪

1 本文有关《红楼梦》的引文均来自曹雪芹、高鹗：《红楼梦》，中国艺术研究院红楼梦研究所校注（北京：人民文学出版社，2005年）。以下引文仅标注页码，不再一一说明。

芹通过对上层贵族荒淫乱伦行为的隐讳表达，揭示了封建社会末期传统道德表面背后的个体命运和性别关系，显示出传统道德的悖谬与伦理困境。

## 二、伦理禁忌与乱伦叙事的文化心理机制

《红楼梦》对乱伦行为的隐秘书写表明，在中华伦理道德的强力规训之下，源于家庭个体成员之间的性对立式的俄狄浦斯情结被血缘责任所消解，成为沉淀到性意识底层的沉默对象，而异姓家族成员之间的性悖乱则成为《红楼梦》乱伦书写的主要内容。“中国批评语境中提出的文学伦理学批评区别于美国的伦理批评。用这种方法来分析文学作品不仅能够得到全新的阐释，而且还能更接近文本的真正意图”（杨革新 172）。乱伦的书写是作者个体无意识与文化集体无意识相结合的产物，因而对《红楼梦》乱伦书写的考察同样要结合作者的个体境遇与传统文化氛围两方面的因素。

弗洛伊德认为，作家进行创作在本质上是书写自己内心的隐秘世界，它以“白日梦”的形式模仿了儿童时期的幻想。“长大了的孩子在他停止游戏时，他只是抛弃了与真实事物的联系；他现在用幻想来代替游戏。他在空中建筑城堡，创造出叫作白日梦的东西来”（弗洛伊德，《弗洛伊德论美文选》30）。对于儿童时期的幻想内容，弗洛伊德早在《释梦》中即认为，男孩对母亲的性幻想是其性意识的重要内容，据此他提出了著名的俄狄浦斯情结，认为作家所揭示的即人类隐秘的乱伦性欲望。“在索福克勒斯的悲剧正文中明白无误地指出，伊谛普斯这个传说来源于远古的某个梦材料，其内容为，由于初次出现的性欲冲动，儿童与其父母的关系产生了痛苦的紊乱。伊谛普斯当时虽然不了解自己的身世，但他已因回忆直神谕而感到不安”（263）。他进而认为，正是这种对母亲的性占有欲，引发了乱伦现象并使人敌视父亲。<sup>1</sup>

弗洛伊德这一理论在文学界产生了广泛的影响，亦有学者以之阐释《红楼梦》中的文化现象。顾明栋在《原创的焦虑》中认为，俄狄浦斯情结在中国并非没有像西方那样表现为明显的弑父倾向，而是以特殊的“孝顺情结”存在。他指出，由于中国传统家庭伦理创造出一种罗曼谛克式的温情，在家庭伦理的强大压力之下，父母要求子女无条件地孝顺，因而使子女没有弑杀父母的反抗行为，父母的权威意志成为俄狄浦斯情结的另类体现。据此他认为《红楼梦》中贾政与贾宝玉之间是一种反向俄狄浦斯情结，循此理路，他将贾政对贾宝玉的严厉管教视为贾政潜意识想除掉宝玉，于是一个反向俄狄浦斯的文化个例就生成了。<sup>2</sup>

然而，顾明栋这一阐释存在理论与文化上的双重缺憾，很难说是一种具有充分说服力的观点。尽管他认识到不同文化中俄狄浦斯情结具有不同的表现，但

1 参见 弗洛伊德：《图腾与禁忌》，文良文化译，北京：中央编译出版社，2015年，第26页。

2 参见 顾明栋：《原创的焦虑》，南京：南京大学出版社，2009年，第209页。

没有真正认识到这一差异背后的动因。马林诺夫斯基在考察了大量原始文化案例后认为男性的权威并不一定是父亲的权威，父亲还有保护子嗣的意欲。因而他认为俄狄浦斯情结并不存在普适性：“乱伦的意义，就是年龄分别的颠倒、辈数的杂乱、情操的解组、任务的剧变等等都在家庭正是重要的教育媒介的时候，一齐出现。这种情形之下，是不会有社会的存在的。相反的文化型式排除乱伦的文化型式，乃是与社会组织和文化存在相一致的唯一型式”（马林诺夫斯基 142-143）。相较于弗洛伊德单纯从个体冲突角度进行阐释，马氏将乱伦现象置于特定文化类型中加以考察，其分析视野更为开阔；顾明栋的相关阐释亦呈现出相似的研究倾向，然其并未真正把握以血缘为基础的中华传统伦理的实质，因而误将“孝顺”作为特殊的俄狄浦斯情结。

相较于西方文化中的个体本位主义，中华传统文化是以家族为整体指认单位的，个体只有作为家族链条中的一环才具有意义。在这种文化中父子之间并不存在性方面的对立，他们的一体性要远大于排异性，因而“孝顺”并非俄狄浦斯情结的变异案例。在《红楼梦》中尽管有各种乱伦行为，但从没有同姓家族成员的乱伦意识，也说明这一情况并不存在。然而，这并非意味着《红楼梦》完全没有类似俄狄浦斯情结的潜在性意识，我们可以通过“王熙凤毒设相思局”一节进行分析。当假冒王熙凤的贾蓉来赴约时贾瑞的表现：“正自胡猜，只见黑魇魇的来了一个人，贾瑞便意定是凤姐，不管皂白，等那人刚至门前，便如猫捕鼠的一般，抱住叫道：‘亲嫂子，等死我了。’说着，抱到屋里炕上就亲嘴扯裤子，满口里‘亲娘’‘亲爹’的乱叫起来”（163）。贾瑞在性欲高涨时喊出的“亲娘”“亲爹”表明，在宗法文化中，直系血亲乱伦在潜意识中仍然具有极淡的痕迹，只是被层层叠压在文明规范之下。

“兽性因子由人的原欲驱动，其外在表现形式为自然意志及自由意志。自然意志是原欲（libido）的外在表现形式，自由意志是欲望（desire）的外在表现形式”（聂珍钊，《文学伦理学批评导论》39）。小说中，前者表现为生理冲动与欲望的支配，后者则体现为封建宗法伦理对道德责任的约束。这种对立和挣扎在传统道德伦理的强大压力之下，作者往往将其通过幻想的形式展开。例如贾瑞照“风月宝鉴”时：“贾瑞心中一喜，荡悠悠的觉得进了镜子，与凤姐云雨一番（……）贾瑞自觉汗津津的，底下已遗了一滩精（……）”（166-167）。镜子的两面分别对应人性因子和兽性因子，无法用反面来压制欲望，从而导致伦理后果的失衡。也就是说，性本能作为一种原始欲望，是无法用道德伦理的理性来克制的。贾瑞没有现实中的宗法权利，其人性因子是在宗法制度的长期压迫下被动失衡。同样，贾宝玉也是在一种幻想状态下完成了与可卿的交合，其隐秘的欲望在虚境中得到释放。太虚幻境之行是梦中之事，这一情境悬置了现实原则对贾宝玉的制约，使他可以不受伦理与规范的限制，从而兽性因子控制了人性因子，使他丧失了伦理意识。<sup>1</sup>

1 参见卜喜逢：“‘太虚幻境’的文学溯源”，《红楼梦学刊》4（2019）：162-181。

总之，在中华传统伦理的规范下，父子之间的对立被文化因素所压制，他们之间并不表现为绝对对立关系，因而《红楼梦》中并没有明显的俄狄浦斯情结式的乱伦描写。但是在曹雪芹偶然流露出的无意识书写中，我们仍然能找到类似俄狄浦斯情结的话语表达，只是它们是以两性之间性情趣的形式出现，或者通过似真似幻的虚境描写释放作者内心的伦理禁忌。

### 三、性别权力结构下的伦理身份与反抗

乱伦作为一种非正常男女关系，并非仅是两性之间性行为的紊乱，它也是社会中性别权力关系的扭曲。所谓伦理结事实上体现了特定社会中两性关系的变形，《红楼梦》中的乱伦书写反映了宗法制度下绝对男权主义带来的结构性伦理问题。这也符合文学伦理学的基本任务，即描述伦理关系与道德秩序所经历的变化，考察它们的结果，并最终为人类文明进步提供源自生活的经验和教训。<sup>1</sup> 在传统宗法制度中女性受到更为严格的行为规范，以血缘为核心的儒家伦理规范从父系角度来建立基本规则，女性在这一体系中被明确标志为附属性存在，男性对女性的绝对占有权本身就蕴含了乱伦的风险，它使得处于强势地位的男性可以无视道德规范的束缚而肆意占有女性。

《礼记译解·郊特牲》指出：“妇人，从人者也；幼从父兄，嫁从夫，夫死从子。夫也者，夫也；夫也者，以知帅人者也”（王文锦 317）。以命令式的话语归纳出封建时代的两性关系，在《郊特牲》的作者看来，女性只是男性的附属品。因而，女性需要从一而终并且事事以男性为纲领，男性结婚时的亲迎之礼更像是收获一件属于自己的贵重物品，所以需要郑重其事。在两性之间的实质关系上，女性并没有因为亲迎这种尊崇带来任何风光，她仍然受制于以丈夫为中心的男人体系，甚至在上升到哲理层面时也是男性的附庸。这种不平等的男女关系发展到封建时代后期，则彻底固化为道德伦理的纲领化条目，成为三纲五常中的重要组成部分。

《红楼梦》真实地记录了宗法制度下女性被工具化的现实，并且已经上升为社会全体成员的文化无意识。因而当贾琏与鲍二家的鬼混被王熙凤当场捉奸并闹到贾母面前时，贾母的反应是这样的：“贾母笑道：‘什么要紧的事！小孩子们年轻，馋嘴猫儿似的，那里保得住不这么着。从小儿世人都打这么过的。都是我的不是，他多吃了两口酒，又吃起醋来’”（593）。在贾母看来，贾琏的出轨根本就不值得一提，反而是作为受害人一方的王熙凤小题大做，对于始作俑者贾琏轻描淡写地抛开且并无实质性处罚，反而告诫王熙凤不得再损害贾琏的颜面。在这里，更值得注意的或许并非贾母偏袒纵容贾琏的处置方式，而是她自己无意识道出如此处置的理由：“从小儿世人都打这么过的”（593）。男人偷腥或占有多个女性是世人默认的潜规则，不是什么

<sup>1</sup> 参见 Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 189-207.

违礼乱制的大事。在这下意识的表述中，凸显了男性在两性关系中的特权地位。

既然男性被默认可以出轨或占有多个女性，那么乱伦则可以视作是这一纵容下的极端状态，是男性私欲不断膨胀的结果。从贾珍与秦可卿以及贾珍、贾琏、贾蓉与尤氏姐妹的关系中我们可以明显看到这一点。贾珍作为公公的这一伦理身份，在与秦氏的关系中占据绝对优势地位，尽管书中并没有明写他们之间的乱伦动因，但性情放荡的贾珍无疑具有更大可能主动占有秦氏。在三贾与尤氏姐妹的背德关系中，作为寄人篱下的尤氏姐妹同样是伦理身份弱势的一方，贾珍等人或明挑或暗勾使其入彀。

在传统伦理观念的浸润之下，即使是曹雪芹这样的作者把乱伦的罪责归之于女性身上，从而使女性在乱伦事件中成为替罪羊。《脂砚斋重评石头记（甲戌本）》中写道：“秦可卿淫丧天香楼，作者用史笔也。老朽因有魂托凤姐贾家后事二件，嫡是安富尊荣坐享人能想得到处，其事虽未漏，其言其意则令人悲切感服，姑赦之，因命芹溪删去”（274）。该回回末亦有朱笔眉批：“此回只十页。因删去天香楼一节，少却四五页也”（274）。综合两处批注可知，该回的原标题应该是“秦可卿淫丧天香楼”，由于删去天香楼一节，所以改为后来的“秦可卿死封龙禁尉”。由这一标题可知，尽管乱伦事件发生在贾珍与秦可卿两人之间，且贾珍很可能是事件的始作俑者，然而“淫”这一罪责却被归到秦氏身上。即使贾珍到处风流，也没有因为男女之事受到公开谴责。这与贾母处置王熙凤捉奸事件的态度是一致的，即在传统文化中女性只是附属品，她们不仅依从于男性意志并且还是男性推卸罪责的替罪羊。

“伦理身份的变化，实际上就是乱伦意识的产生”（聂珍钊，《文学伦理学批评导论》223）。所以，即使在男权意识的书写之下，作为封建时代晚期的女性也开始有了自我意识的觉醒，尽管事实上她们尚不能摆脱受玩弄、受侵犯的处境，但是却开始以自己的伦理选择来对抗这种侵害。《红楼梦》中并没有详细展现秦可卿的内心世界，她仿佛永远是一位容颜绝世、性格温和、孝顺贤惠、体恤下人的大少奶奶形象，然而作者却一再暗示她心事重重、虑重忧深，显然她的内心世界并不像外表那样安宁。在其死后生性风流、冷酷无情的贾珍真情流露，做出各种违背常理的举动。并直言：“合家大小，远近亲友，谁不知我这媳妇比儿子还强十倍。如今伸腿去了，可见这长房内绝灭无人了（……）如何料理，不过尽我所有罢了！”（171-172）贾珍的表现说明，在这段不伦关系中秦可卿并非仅仅作为猎奇玩物存在，而是具有独立个性的恋人，在一定程度上也影响了他感性的内心世界。

作为伦理混乱的核心悲剧人物，尤三姐的性格就刚烈得多。尽管在不同版本的删改过程中，她的事迹还是互相矛盾，但我们大致可以看出，在贾珍等人的引诱之下，尤三姐与尤二姐一样陷入伦理混乱中，但是在其醒悟后则坚决守护自己的伦理身份，对此她不惜与贾珍、贾琏撕破脸。尽管尤三姐最终没能挣脱男权世界对女性的压迫，甚至被她视为救星的柳湘莲反手一击，从

而掉入命运的深渊，但她仍以生命为代价完成了自身的伦理选择和伦理救赎，并以此控诉了宗法制度下男权世界对女性的不公。

因此，《红楼梦》中的乱伦叙事将传统伦理道德中的男权意识推向极致，在这一反伦理的破坏中暗含了男性对女性的物化。然而，这种乱伦背德式的占有也从反面刺激了女性自我意识的觉醒，她们开始以各自的方式对抗男性的侵犯，并在这一对抗中张扬了自身的独立人格。尽管她们的选择常常受限于社会与家庭的压迫，但她们的自省与反思也透露出压迫中的伦理觉醒。红楼女性在面对乱伦的伦理困境时，都经历了不同形式的内心冲突和伦理身份危机，而这种危机最终也促成了她们伦理意识的重建。

总的来看，《红楼梦》中的乱伦叙事展现了独特的民族文化特性，在以血缘为核心的传统宗法伦理道德的压制下，男人的乱伦性欲望须以宗族文化禁忌为前提。直系血缘关系以三纲五常的形式被建构成伦理的绝对真理，因而中国文学中并没有出现挑战直系血缘关系的俄狄浦斯情结。《红楼梦》中没有以同姓为性对象的乱伦描写，但是在异姓家族成员之间则存在拟血缘乱伦叙事，这些伦理结体现了男权意识的扩展，并以反伦理的方式呈现了宗法制下道德伦理的核心内容，即女性以男性的附属品形式存在，男性对女性拥有绝对支配权。男性对女性的压迫在《红楼梦》所处的封建时代末期激起了女性的无意识反抗，《红楼梦》对乱伦事件中女性行为的阐述则展现了这一反抗的内容。这种对传统道德的批判与个体反抗意识的渗透，使《红楼梦》中的乱伦书写并非停留在简单的欲望描写层面，而是深化为兼有消极破坏意义与积极反抗意识的伦理文化反思。

### Works Cited

- 卜喜逢：“‘太虚幻境’的文学溯源”，《红楼梦学刊》4（2019）：162-181。  
 [Bu Xifeng. “‘The Grand Illusion’: Its Literary Origins.” *Journal of Honglougeng Studies* 4 (2019): 162-181.]
- 曹雪芹：《脂砚斋重评石头记（甲戌本）》。北京：人民文学出版社，2010年。  
 [Cao Xueqin. *Zhiyanzhai's Annotated Edition of The Story of the Stone (Jiaxu Manuscript)*. Beijing: People's Literature Publishing House, 2010.]
- 曹雪芹、高鹗：《红楼梦》，中国艺术研究院红楼梦研究所校注。北京：人民文学出版社，2005年。  
 [Cao Xueqin and Gao E. *A Dream of Red Mansions*, annotated by the Honglougeng Research Institute, Chinese National Academy of Arts. Beijing: People's Literature Publishing House, 2005.]
- 陈立：《白虎通疏证（上）》。北京：中华书局，1994年。  
 [Chen Li. *Baihutong Shuzheng* Vol. I. Beijing: Zhonghua Book Company, 1994.]
- 陈炎：《多维视野中的儒家文化》。济南：山东教育出版社，2006年。

- [Chen Yan. *Confucian Culture in a Multidimensional Perspective*. Jinan: Shandong Education Press, 2006.]
- 弗洛伊德：《弗洛伊德论美文选》，张唤民、陈伟奇译。上海：知识出版社，1987年。
- [Freud, Sigmund. *Fuluoyide Lunmei Wenxuan*, translated by Zhang Huanmin and Chen Weiqi. Shanghai: Knowledge Press, 1987.]
- ：《释梦》，孙名之译。北京：商务印书馆，1996年。
- [— *The Interpretation of Dreams*, translated by Sun Mingzhi. Beijing: The Commercial Press, 1996.]
- ：《图腾与禁忌》，文良文化译。北京：中央编译出版社，2015年。
- [— *Totem & Taboo*, translated by Wenliang Wenhua. Beijing: Central Compilation & Translation Press, 2015.]
- 顾明栋：《原创的焦虑》。南京：南京大学出版社，2009年。
- [Gu Mingdong. *The Anxiety of Originality*. Nanjing: Nanjing UP, 2009.]
- 孔颖达：“周易正义”，《十三经注疏》。上海：上海古籍出版社，1990年。
- [Kong Yingda. “Zhouyi Zhengyi.” *Thirteen Classics Explanatory Notes and Commentaries*. Shanghai: Shanghai Classics Publishing House, 1990.]
- ：“礼记正义（下）”，《十三经注疏》，吕友仁编。上海：上海古籍出版社，2008年。
- [— “Liji Zhengyi Vol. II.” *Thirteen Classics Explanatory Notes and Commentaries*, edited by Lv Youren. Shanghai: Shanghai Classics Publishing House, 2008.]
- 马林诺夫斯基：《两性社会学》，李安宅译。北京：商务印书馆，2022年。
- [Malinowski, Bronislaw. *Sex and Repression in Savage Society*, translated by Li Anzhai. Beijing: The Commercial Press, 2022.]
- Nie Zhenzhao. “Ethical Literary Criticism: A Basic Theory.” *Forum for World Literature Studies* 2 (2021): 189-207.
- . “Ethical Literary Criticism: Sphinx Factor and Ethical Selection.” *Forum for World Literature Studies* 3 (2021): 383-398.
- 聂珍钊：《文学伦理学批评导论》。北京：北京大学出版社，2014年。
- [Nie Zhenzhao. *Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]
- ：“人文研究的科学转向”，《文学跨学科研究》4（2022）：563-568。
- [— “The Scientific Turn of Humanities Studies.” *Interdisciplinary Studies of Literature* 4 (2022): 563-568.]
- 王文锦：《礼记译解》。北京：中华书局，2016年。
- [Wang Wenjin. *Translation and Interpretation of the Book of Rites*. Beijing: Zhonghua Book Company, 2016.]
- 杨革新：《美国伦理批评研究》。武汉：华中师范大学出版社，2016年。
- [Yang Gexin. *American Ethical Criticism: A Survey*. Wuhan: Central China Normal UP, 2016.]

# 鲍勃·迪伦反战思想的伦理困境：兼论其战争伦理的嬗变

## The Ethical Predicament of Bob Dylan's Anti-war Thought and the Evolution of His War Ethics

方 质 (Fang Zhi)

**内容摘要：**鲍勃·迪伦常被视为反战歌手，但其战争叙事远非单一的反战标签所能概括。本文从文学伦理学批评出发，通过历时性分析迪伦自1960年代至1980年代的相关作品，揭示其战争观念的嬗变与内在伦理困境。迪伦早期作品如《在风中飘荡》《战争大师》展现出对战争本质的质疑与对军工复合体的批判，体现出强烈的人道主义关怀。然而，随着个人经历与社会环境的变迁，尤其是其宗教身份的转向与犹太文化根源的复杂性，迪伦的战争叙事逐渐从社会抗议转向内在精神探索，并在《街坊恶霸》中引发关于民族立场与普遍道义之间张力的伦理困境。本文认为，迪伦的战争伦理虽历经演变，却始终围绕个体苦难、人性批判与宗教超越展开，其思想核心是一种以个体苦难的人道主义关怀为基点，并寻求神学维度超越的复杂伦理体系，而非简单的政治立场表达。

**关键词：**鲍勃·迪伦；反战思想；伦理困境；战争伦理；文学伦理学批评

**作者简介：**方质，浙江大学外国语学院博士研究生，主要从事文学伦理学批评、音乐与文学研究。本文为国家社科基金重大招标项目“当代西方伦理批评文献的整理、翻译与研究”【项目批号：19ZDA292】的阶段性成果。

**Title:** The Ethical Predicament of Bob Dylan's Anti-war Thought and the Evolution of His War Ethics

**Abstract:** Bob Dylan is often regarded as an anti-war singer, yet his war narratives far exceed the confines of this singular label. Employing ethical literary criticism, this paper conducts a diachronic analysis of Dylan's relevant works from the 1960s to the 1980s, revealing the evolution of his views on war and his inherent ethical dilemmas. Early works such as "Blowin' in the Wind" and "Masters of War" demonstrate profound skepticism towards the nature of war and critique the military-industrial complex, reflecting a strong humanitarian concern. However, with shifts

in his personal experiences and social environment—particularly his religious transformation and the complexities of his Jewish cultural roots—Dylan's war narratives gradually transitioned from social protest to inward spiritual exploration. This shift sparked controversy in works like “Neighborhood Bully,” highlighting the tension between national stance and universal morality. This paper argues that although Dylan's war ethics evolved over time, a persistent focus on individual suffering and a movement toward religious transcendence can be identified as its core trajectory. The framework of his thought is thus anchored in humanitarian care for individual suffering and extended toward theological transcendence, rather than being a mere expression of political stance.

**Keywords:** Bob Dylan; anti-war thoughts; ethical predicament; war ethics; ethical literary criticism

**Author:** Fang Zhi is a Ph.D. candidate at the School of International Studies, Zhejiang University (Hangzhou 310058, China). His major research areas include ethical literary criticism and interdisciplinary research on music and literature (Email: pheryman@163.com).

鲍勃·迪伦 (Bob Dylan) 其人常被公众冠以“反战”的标签，这与其早期作品所涉及的大量反战叙事密不可分。迪伦在 1961 年至 1965 年间发表了至少 12 首紧扣战争话题的作品，足见其对战争问题的关切。多数研究者以这些作品为切口，从不同视角阐发了迪伦的反战思想，如陈建文借“风”的意象分析，指出了迪伦作品中审美意味与反战思想的有机结合<sup>1</sup>，又如郑春生通过迪伦的“自塑”和媒体的“他塑”对比了迪伦艺术生涯前后期的反战形象<sup>2</sup>。迪伦的反战思想在学者的研究和媒体的造势下看似逐渐深入人心，但也有研究在肯定迪伦反战精神的同时，注意到了其反战叙事背后所掺杂的更为复杂的情结。例如有研究认为“迪伦对战争的态度偏向于内心的纠葛 (……) 他的宗教身份也影响着 他对于战争正义性的判断，尽管迪伦对于战争持普遍的反对态度，但当他置身于宗教语境中时，又不免 (克制地) 流露出本能的复仇心态” (陈恒汉 方质 118)。滕继萌也曾表示，迪伦的“作品中流露出强烈的支持犹太复国主义的态度” (35)。这部分观点使得迪伦反战这一“定论”被暂时悬置，如何准确、客观地认识和解读迪伦的战争叙事成为了一个亟待深究的话题。

汪正龙认为：“战争文学和战争描写从个体、他人、群体、民族、国家、人类等的临界状态透视个体的体验与命运，构成英雄主义与人道主义、民族情

1 参见 陈建文：“《答案在风中飘》中的风意象研究”，《湘潭大学学报》（哲学社会科学版）4（2017）：147-150。

2 参见 郑春生：“论 20 世纪 60 年代鲍勃·迪伦形象的自塑与他塑”，《上海师范大学学报》（哲学社会科学版）1（2020）：124-133。

感认同与人类情感认同、历史见证与心灵见证等复杂的矛盾关系”（25）。这一观点表明认识和解读迪伦战争叙事的本质在于探究其对战争的观点和态度，也即探究迪伦的战争伦理。关于如何科学地理解文学，中国学者创立的文学批评方法——文学伦理学批评强调，“不同历史时期的文学有其固定的属于特定历史时期的伦理环境和伦理语境，对文学的理解必须让文学回归属于它的伦理环境和伦理语境”（聂珍钊 14）。有鉴于此，本文拟通过历时地分析迪伦战争观念的嬗变及其形成的伦理困境以揭示迪伦的战争伦理。

### 一、迪伦反战思想渊源及早期反战叙事

迪伦反战思想的萌芽植根于其所处的特定伦理环境。迪伦的传记作品揭示了他幼年的生长境况：“我生于 1941 年春天。那时第二次世界大战在欧洲打得如火如荼，美国也很快就要参战。世界被炸得四分五裂，混乱像拳头一样打在每个新出生的人的脸上（……）1951 年我上小学了。我们学的一件事就是当空袭警报响起时要躲到书桌底下，因为俄国人会用炸弹攻击我们”（*Chronicles: Volume One* 28-29）。这些战争记忆一方面象征着迪伦在伦理混沌阶段对于战争现象层面的懵懂认知，同时也是迪伦具备伦理观念后对于幼年所面临的战争问题的重新审视。迪伦继续写道：“这些俄国人就是几年前和我的叔叔们并肩战斗的俄国人。现在他们变成了来割开我们的喉咙、烧死我们的怪兽。这好像很奇怪。生活在这样的恐惧阴云下剥夺了一个孩子的精神”（*Chronicles: Volume One* 29）。幼年时对于战争和死亡本能的恐惧在迪伦的描写中呼之欲出，他对于二战前后敌我双方关系问题的困惑，实际上已经触及了战争本质的伦理问题——战争中的善恶、敌友界限往往是人为建构的，具有流动性和不确定性。从文学伦理学批评的视角来看，个体的伦理观念往往形成于特定的伦理环境之中，而迪伦童年所经历的战争与冷战环境，恰恰构成其反战思想形成的最初伦理语境。

及至 20 世纪 60 年代，美国社会进入了剧烈的变革之中，这一时期的特殊伦理环境为迪伦的反战叙事提供了直接的社会动力与创作灵感。美苏冷战对峙下的古巴导弹危机将世界推向核战争的边缘，而越南战争的逐步升级及其残酷性的显现，在美国国内催生了汹涌的反战运动浪潮。“作为表现强烈情感和含有丰富想象的诗歌，则可说是作者伦理观的一种含蓄表达”（刘茂生 172）。在此历史背景下，迪伦开始通过诗歌作品的创作来展现其对社会的关怀倾向。值得注意的是，这种创作动机并非孤立现象，而是深受当时文学思潮的影响。相关研究表明，艾伦·金斯堡（Allen Ginsberg）、杰克·凯鲁亚克（Jack Kerouac）等“垮掉派”诗人深刻影响了迪伦的创作<sup>1</sup>，《地下乡

1 参见 王焘：“‘嚎叫’之后的时代强音——探析金斯堡对鲍勃·迪伦创作的影响”，《河北科技师范学院学报》（社会科学版）2（2013）：91-97；宋玮：“从‘垮掉’到‘叛逆’——凯鲁亚克对鲍勃·迪伦创作影响探析”，《济宁学院学报》1（2021）：27-31。

愁蓝调》（“Subterranean Homesick Blues”, 1965）的歌名灵感就来源于凯鲁亚克的作品《地下人》（*The Subterraneans*, 1958），而金斯堡本人则出现在了这首歌曲的音乐视频中，如图 1 所示。



图 1 《地下乡愁蓝调》音乐视频截图<sup>1</sup>

有评论认为，迪伦和金斯堡的关系胜似兄弟乃至父子，“他们发现彼此都有天赋，于是在一些项目上进行了合作，并且在长期的友谊中相互称赞”（Wills, “Allen Ginsberg and Bob Dylan”）。在诗歌创作上，“金斯堡的创作主旨不同于惠特曼的赞美诗学的一个重要之处，在于他认定必须不遗余力地揭示惠特曼在诗歌中淡化处理的社会问题（……）以痛苦和绝望来唤醒精神麻木的世人”（刘树森 48、50），而“迪伦受其影响，认为歌曲应注重思想性，反映社会生活和人生境遇的各个层面，并不仅仅用来娱乐和消遣。他主张创作须从单一爱情题材的框架中跳出来，将笔触伸向更丰富的社会现实和更深层的文化层面”（王焘 95）。这种创作主张的形成，体现了迪伦作为艺术家的理性意志，即主动承担起对社会现实进行批判性反思的伦理责任。从文学伦理学批评的角度看，这种理性意志的选择标志着迪伦已经开始确立其作为社会观察者和批判者的伦理身份。

迪伦的反战叙事作品主要集中于其1961年至1965年期间发行的专辑<sup>2</sup>中，其中最为经典的作品莫过于《在风中飘荡》（“Blowin’ in the Wind”, 1963），尼克·科恩（Nik Cohn）称其为“首支登上排行榜的反战歌曲”（170）。迪伦在该作品中写道：

是啊，加农炮弹要飞多少回

1 参见 Bob Dylan, “Bob Dylan - Subterranean Homesick Blues (Official Video),” *YouTube*, 10 Oct. 2015, Available at: <https://www.youtube.com/watch?v=MGxjIBEZvx0>, Accessed 8 Sept. 2025. 在本图中，位于画面右侧（前方）的就是鲍勃·迪伦，位于画面左侧（后方）的则是艾伦·金斯堡。

2 包括《自由不羁的鲍勃·迪伦》（*The Freewheelin’ Bob Dylan*, 1963）、《时代正在改变》（*The Times They Are a-Changin’*, 1964）、《鲍勃·迪伦的另一面》（*Another Side of Bob Dylan*, 1964）、《全数带回家》（*Bringing It All Back Home*, 1965）。

才会永远被禁止？  
 答案啊，朋友，在风中飘荡  
 答案在风中飘荡  
 {……}  
 是啊，要多少人丧命，他才知道  
 已有太多人死去？  
 答案啊，朋友，在风中飘荡  
 答案在风中飘荡

(《鲍勃·迪伦诗歌集：1961-2012. 暴雨将至》 143-144)

从这些诗行中可以明确地看出迪伦对于战争的反对，但对于“炮弹何时才能被永远禁止”“多少人丧命后才知已有太多人死去”这两个问题，迪伦没有武断地给出答案。他将上述问题与其它难以回答的且具有哲学意味的问题并置，并用“答案在风中飘荡”隐喻了他对战争本质问题看法的不确定性。在同一专辑的另一首作品《战争大师》(“Masters of War”, 1963)中，迪伦着重批判了作为战争重要组成部分的武器，他写道：

来吧，你们这些战争大师  
 你们造了所有的枪支  
 你们造了死亡飞机  
 你们造了大型炮弹  
 {……}  
 你们一事无成  
 除了建造毁灭性的事物

(《鲍勃·迪伦诗歌集：1961-2012. 暴雨将至》 149)

在这首作品中，迪伦深化了他对于战争问题的思考，对于这些武器的批判实则指向了他对于美国军工复合体<sup>1</sup>的批判。根据迪伦自己的说法，《战争大师》“应当被理解为一首反对战争的和平主义歌曲。它并不是一首传统意义上的反战之歌。它所反对的，是艾森豪威尔在卸任总统时所提到的那个‘军工复合体’。那种精神当时弥漫在空气中，而我把它捕捉到了”(qtd. in Gundersen, “Dylan is positively on top of his game”)。此处迪伦所说的“反对战争的和平主义歌曲”更多地强调道德立场，反对战争带来的暴力、杀戮与非人性，而“传统意义上的反战之歌”则更多是从政治或社会立场出发反对某场战争或战争政策。由此得以窥见，迪伦早期的反战叙事由对战争表象的

1 关于军工复合体这一概念，可参见 章节根、沈丁立：“军工复合体对美国军控政策的影响”，《美国研究》2(2004)：25-39、3-4。

关注转向了对战争实质的剖析，这也为后续分析其战争伦理观奠定了基础。

归结来看，迪伦早期的反战叙事大多和其所处的伦理环境，即 20 世纪 60 年代动荡的美国社会有关，其早期反战叙事不仅是对战争现象的直接反对，也暗藏着迪伦对战争本质的谨慎思考。然而，伴随着一系列社会事件的发生以及迪伦个人的意外遭遇所导致的伦理环境的改变，迪伦的战争叙事作品在 1965 年前后开始减少，其创作焦点，呈现出一种自我回归的内省趋势。尤其是迪伦对于自身宗教身份的重新审视，一度使其反战思想陷入伦理困境。

## 二、迪伦战争观念的嬗变及其伦理困境

迪伦在传记中写道：“我曾经遭遇一场摩托车祸并因此而受伤（……）生儿育女改变了我的生活，把我从身边的一切人和事中分离了出来。在我的家庭之外，没有什么能让我保持真正的兴趣，我开始用不同以往的眼光来看待每件事物”（*Chronicles: Volume One* 114）。这次意外加之约翰·肯尼迪（John F. Kennedy）、马丁·路德·金（Martin Luther King Jr.）等人遇刺的社会事件使得迪伦一度陷入伦理混乱。迪伦伦理混乱的具体表现是其对自身宗教身份的探索。迪伦出生于犹太家庭，其先天的犹太人身份是理解其思想的核心线索。然而 1979 年至 1981 年间，迪伦出人意料地连续发行了三张具有强烈基督教色彩的专辑，即所谓的“基督教三部曲”，标志着其信仰的一次重大转向。在 1966 年迪伦遭遇车祸到其发行“基督教三部曲”期间，他的宗教观处于一种动摇的状态，“一方面，对上帝的信仰反复动摇，对传统的宗教教规有着深深的批判态度。另一方面，作为诗人的鲍勃·迪伦又常常依靠上帝的情感来抚慰自己内心的痛苦”（李欣奇 23）。这种精神世界的剧烈动荡必然会影响到其对于战争、暴力、正义等伦理问题的判断。“基督教三部曲”时期的作品充满了末世论、罪与救赎的基督教主题。迪伦的战争伦理在此阶段似乎经历了一次以神圣秩序为依据的重构。他不再仅仅从社会政治层面批判战争，而是试图从神学维度寻找战争的根源与人类的出路。这种转向在某种程度上导致其战争叙事从具体的社会抗议，转向了更为抽象的精神斗争与终极关怀。这也解释了为何其作品中直接涉及现实战争题材的比例显著下降。

值得注意的是，迪伦受洗成为基督徒后，其与犹太传统的关系并未彻底断绝。“1983 年 9 月，迪伦在耶路撒冷参加了他儿子杰西的成年礼”（Taylor and Israelson 131）。此类生活事件引发了外界关于其向犹太根源回归的推测。然而，迪伦本人对此有其辩证的认知。研究者指出，“在种族和文化上，迪伦在成为基督徒之后仍然是犹太人。这是他身份的一部分，并将一直伴随着他。然而这并不等同于他是犹太教的信徒”（Taylor and Israelson 131）。迪伦在某次访谈中被问及其犹太传统时表示：“是的，这些是我的根源，我想是这样。我在寻找它们吗？嗯，我不知道。我可以告诉你，我不会在有六角星（指的是大卫之星）的犹太会堂里寻找它们”（Jarosinski 755）。这表明迪伦试图区分

文化身份上的犹太属性与宗教信仰上的基督教选择。然而这种精密的区分在公众视野和作品解读中是模糊的，这也加剧了其战争伦理的复杂性。

公众常常将《街坊恶霸》（“Neighborhood Bully”，1983）作为解读迪伦中后期战争叙事及其战争观念嬗变的关键文本。与《在风中飘荡》的普世诘问和《战争大师》的直白控诉不同，这首歌在评论界引发了巨大争议。有观点认为，“这不是迪伦隐喻性较强的作品，它也几乎没有包含作者惯用的精彩意象，只是直截了当地表达了他对以色列的支持”（Rovics, “Genocidal Ironies”）。迪伦在《街坊恶霸》中通篇采用了一种受害者叙事的视角，他写道：

街坊恶霸被逐出每一片土地  
他在地球上游荡，一个被放逐的人  
他的家人流落四方，他的人民饱受侵扰  
他永远因为降生而受审

（《鲍勃·迪伦诗歌集：1961-2012. 帝国滑稽剧》 139）

歌词的“直截了当”以及修辞上的极端化倾向与其早期反战作品形成了巨大张力，这正是其伦理困境的外在显现。当迪伦将早期用于控诉“战争大师”的悲愤，转向为描述本民族历史遭遇的激烈辩护时，其反战思想的纯粹性在公众视角下便受到了质疑。罗维克斯指出了这种矛盾：“一个在美国如此雄辩地支持黑人平权的人，怎么会在面对巴勒斯坦人所遭受的公然剥夺与压迫时表现得如此盲目？一个曾写出猛烈批判美国战争机器诗句的人，又怎么会在同时期（……）拥护那个获得美国最多军事援助的国家呢？”（“Genocidal Ironies”）这种表面上矛盾的政治观点恰恰揭示了迪伦内在的伦理身份冲突——作为反战先锋的迪伦与作为犹太民族一员的迪伦，在特定历史语境中的伦理诉求似乎指向了不同的方向。

然而若将《街坊恶霸》简单归为政治歌曲，则可能遮蔽了文本更深层的伦理意涵。面对争议，迪伦曾试图澄清其创作意图：“《街坊恶霸》不是一首政治歌曲，因为如果是的话，它就属于某个政党。如果你说这是一首以色列的政治歌曲——即使它是——仅在以色列大概就有 20 个政党。我不知道它会属于哪个政党”（Loder, “The Rolling Stone Interview: Bob Dylan”）。迪伦的这一辩解与歌词所采用的受害者叙事视角及“街坊恶霸”这一泛化称谓相呼应。这种叙事策略将描摹对象从一个具体国家置换为一个“被逐出每一片土地”“永远因为降生而受审”的普遍化受难者形象，从而在文本层面营造出一种超越具体政党政治、直指民族生存困境的悲剧氛围。因此，与其争论歌曲的政治属性，不如关注其文本的核心修辞效果，即通过调动深植于犹太民族集体记忆中的创伤体验，唤起对历史性苦难的共情与对生存权的辩护诉求。此外，迪伦的伦理选择有时亦受到外部环境的制约。迪伦的一位私人助

理曾透露，“迪伦不喜欢拉比的政治权力，在找到耶稣之后也没有兴趣寻找另一位弥赛亚，但他的唱片公司对拉比的压力做出了回应，一度威胁不发行迪伦的下一张专辑”（Taylor and Israelson 134），因此迪伦有时不得不参加一些犹太教活动以帮助唱片公司实现商业利益的最大化。由此得见，对迪伦公开言论与作品的解读，需要置于其复杂的伦理身份、变动的思想历程以及不可避免的商业、社会压力等多重语境中进行综合考量。他的辩解（如声称歌曲非政治性）本身，既可被视为其艺术理念的一种真诚表达，同时也可能是在特定舆论环境下，对其作品可能引发的政治解读进行疏导或对自身立场进行保护的一种策略。这并非断言其言论不实，而是揭示其公众表达层的多维性与复杂性。

### 三、迪伦战争伦理中的人道主义基点与神学超越

前两部分的历时性分析表明迪伦的战争叙事并非一个同质化的整体，其思想内部存在着因伦理身份冲突而导致的张力与嬗变。然而，这并不意味着迪伦的战争伦理是破碎或自相矛盾的。相反，如果超越单纯的政治立场判断转而深入其文本肌理与思想核心便会发现，贯穿其创作生涯主线的，是一种基于深切人道主义、聚焦个体苦难并在宗教精神中寻求超越的战争伦理。

探讨迪伦的战争伦理，首先需要明确迪伦对于战争性质的基本态度。传统的战争伦理主要围绕纵容主义（或现实主义）、和平主义与正义战争理论展开论争。<sup>1</sup> 迪伦的早期作品清晰地表现出对现实主义战争伦理的批判。“现实主义对待战争基本上持一种非道德性立场，认为战争与道德无关。国家之间一旦开战，道义上的考量起不到任何作用。因此，一个国家更应该关注自身利益，而不是伦理道德”（左高山 43）。前文所述的《战争大师》正是迪伦对这种非道德性战争逻辑的抨击。这首歌的伦理力量在于它剥去了战争为国家利益服务的崇高外衣，揭示了其背后冷血的、以利润和权力为驱动的非人性逻辑。在这里，迪伦的立场接近于一种道德上的绝对批判，他拒绝接受“战争无非是政治通过另一种手段的继续”（克劳塞维茨 43）这一现实主义命题中所隐含的道德豁免权。然而，迪伦并非一个纯粹的、绝对的和平主义者。他本人曾对“和平主义”这一标签表示怀疑：“和平主义是一种哲学吗？我不太确定它是什么（……）我不太喜欢这些词，不知道其他人是否也喜欢和平主义、右派、左派、军国主义、共和主义这些宽泛的术语”（Jarosinski 836）。这种对标签的拒斥，暗示了他的战争伦理不愿被任何现成的理论框架所束缚。他批判现实主义的非道德性，但也不完全认同绝对和平主义对一切暴力的无条件拒斥。这使得他的战争伦理具有一种复杂的、情境化的特质。

1 参见 罗成翼、刘利乐：“战争伦理综论”，《湖南社会科学》2（2012）：21-24；刘戟锋、曾华锋：“战争伦理：一种世界观念”，《伦理学研究》4（2006）：85-89；左高山：“正义的战争与战争的正义——关于战争伦理的反思”，《伦理学研究》6（2005）：43-48。

如果说对现实主义战争逻辑的批判构成了迪伦战争伦理的出发点，那么对战争中个体命运与身心创伤的关注，则是其最核心、最稳定的人道主义内核。这一特点与战争伦理研究中超越宏观道义与武器批判，进而聚焦于人本身的视角深度契合。如罗成翼、刘利乐认为，战争伦理在军事伦理（战争道义性）与军备伦理（战争手段）外，还包含至关重要的军人伦理维度，即对战争主体道德责任的探讨。<sup>1</sup>虽然该理论传统上多聚焦于军人及科技工作者等直接参与者，但迪伦的书写极大地拓展并深化了这一维度的内涵。他将叙事的镜头对准了那些承担战争残酷后果的个体——无论是前线的士兵还是后方的平民，就此将军人伦理所关切的主体，从战争的执行者延伸至于战争的承受者，赋予了这一理论范畴更丰满的人道主义意涵。这一伦理取向在作品《约翰·布朗》（“John Brown”，1963）中得到了体现。该作品通篇没有评判战争本身的正义与否，而是将笔墨聚焦于一个普通士兵参战前后的骇人蜕变：

约翰·布朗从军到外国去打仗  
 他的母亲真以他为傲！  
 穿着军服他看上去高大又挺拔  
 母亲看了眉开又眼笑  
 （……）  
 哦他脸上布满了伤疤一只手也给炸没了  
 他的腰部还围着一道金属支架  
 他低声慢慢说话，她听不出他的声音  
 连他的脸她都认不出来！

（《鲍勃·迪伦诗歌集：1961-2012. 暴雨将至》 126-127）

迪伦通过细致的身体书写将抽象的战争灾难转化为一具具体、破碎、触目惊心的肉体。母亲从眉开眼笑到惊骇莫名的情感转变强化了这种创伤的悲剧性。这种叙事策略与汪正龙所指出的 20 世纪战争文学特点高度一致，“不仅注目于战争过程本身残酷性的描写，而且更多地注视与沉思个体的人在战争中的体验与感受，常常具有更为明显的反战倾向”（27）。迪伦的战争伦理，在这里体现为一种向下的视角，它从宏大的政治叙事、民族纷争回落到每一个被战争机器碾过的、有血有肉的生命个体。即便是备受争议的《街坊恶霸》也可从这一视角进行解读。当迪伦刻画那个被放逐的恶霸时，他或许并非是在进行一种民族主义的辩护。相反，其情感力量的根源依然是对集体性创伤的描绘，是对无数个“约翰·布朗”所遭受的流离、迫害与苦难的共情。尽管外界的解读焦点常集中于其政治立场，但其伦理关怀的落脚点在某种程度上依然是对苦难中个体与群体的悲悯。

1 参见 罗成翼、刘利乐：“战争伦理综论”，《湖南社会科学》2（2012）：21。

迪伦对宗教的思考还为其战争伦理增添了一个超越世俗政治的维度。作品《上帝在我们这一边》（“With God on Our Side”, 1964）以反讽的笔触揭示宗教如何被战争意识形态所利用。迪伦在作品中将“上帝在我们这一边”这一命题与对印第安人的屠杀、美西战争、两次世界大战乃至冷战对峙并置，细数了历史上以神之名进行的战争与屠杀，其伦理力量在于深刻地揭示了“上帝在我们这一边”这一口号如何成为一种最便捷、也最危险的道德正当化借口。作品的升华之处在于迪伦将这一诘问从历史政治领域引向了基督教信仰的核心。在作品倒数第二个段落，他引入了犹大背叛耶稣的典故：

在许多黑暗时刻  
我始终思索此事  
耶稣基督  
曾被一吻背叛  
但我无法代你思考  
你得有自己的观点  
加略人犹大是否  
让上帝站到了他那一边

（《鲍勃·迪伦诗歌集：1961-2012. 地下乡愁蓝调》 20）

该典故直接将上帝在哪一边这个问题的荒谬性推向了顶点。若连犹大的背叛都可被解读为执行神意，那么任何战争岂不都能被包装为神圣？迪伦并未给出答案，而是把思考的责任交还个人——“但我无法代你思考 / 你得有自己的观点”，以此否定了任何政治或宗教权威对神圣的垄断解释，使信仰重新回到个体的良知与选择。理解了这首歌对宗教工具化的深刻警惕，便能更好地洞察迪伦宗教转向后的伦理困境与超越。皈依基督教后的迪伦不再频繁地书写战争主题而转向对内在之罪的探求，其行为本质是一种战争伦理的内向化升华——战争之恶并非某个国家或民族的缺陷，而是人性普遍的堕落。迪伦在结尾唱道：

如果上帝在我们这一边  
他会拦阻下一次大战

（《鲍勃·迪伦诗歌集：1961-2012. 地下乡愁蓝调》 20）

这是一个疲惫灵魂对于和平最质朴的祈求。至此，基督教教义中的怜悯、救赎与他的人道主义情怀相互融合，使其战争伦理在神学层面得到了深化。

鲍勃·迪伦的战争伦理并非一个静态的思想体系，而是呈现为一个在历

史语境、个人境遇与身份认同等多重因素作用下动态发展的过程。其早期创作植根于 20 世纪 60 年代美国反战运动的伦理语境，主要从普世人道主义立场出发对战争的暴力本质与军工复合体的非道德逻辑进行了批判。然而，随着个人遭遇、社会动荡及其自身深刻的宗教探索，迪伦的伦理关注点发生了内转与深化。其“基督教三部曲”时期的作品，将战争之恶的根源追溯至人性普遍的罪性，从而在神学维度上重构了对暴力与救赎的理解。这种嬗变在《街坊恶霸》中引发了显著的阐释张力，使其战争叙事陷入了特定的伦理困境。表面上看，迪伦从早期对战争机器的普遍控诉转向了对特定民族生存权的辩护，这似乎构成了一种立场的悖反。然而，若依照文学伦理学批评的原则，回归其创作时的具体伦理环境，“充当文学作品中某个人物的代理人，做他的辩护律师，从而做到理解他”（聂珍钊 256），那么这种转变便可被视为其伦理身份——同时作为具有人道关怀的艺术家与承载着历史创伤的犹太裔个体——在特定历史时刻复杂互动的结果。贯穿这一嬗变过程的主线并非政治立场的摇摆，而是一种始终如一的、对承受战争苦难的个体生命的悲悯。无论是《约翰·布朗》中对士兵身体创伤的刻画，还是在《上帝在我们这一边》中对战争意识形态滥用神圣名义的反讽，其战争伦理的落脚点始终是具体的、被战争机器所碾压的人。因此，迪伦战争叙事的价值不在于提供某种确定的教条答案，而在于通过其充满内在张力的叙事，持续地叩问战争的伦理本质，并坚定地捍卫个体生命在宏大历史叙事中的价值与尊严。

### Works Cited

- 陈恒汉、方质：“隐喻·见证·哲思——鲍勃·迪伦战争书写的三个维度”，《当代外国文学》1（2023）：112-120。
- [Chen Henghan and Fang Zhi. “Metaphor, Witness and Introspection: The Three Dimensions of Bob Dylan’s War Writing.” *Contemporary Foreign Literature* 1 (2023): 112-120.]
- 陈建文：“《答案在风中飘》中的风意象研究”，《湘潭大学学报》（哲学社会科学版）4（2017）：147-150。
- [Chen Jianwen. “A Study of Wind Image in ‘Blowin’ in the Wind’.” *Journal of Xiangtan University (Philosophy and Social Science)* 4 (2017): 147-150.]
- Cohn, Nik. *Awopbopaloobop Alopbamboom: The Golden Age of Rock*. New York: Da Capo Press, 1996.
- 鲍勃·迪伦：《鲍勃·迪伦诗歌集：1961-2012. 暴雨将至》，奚密等译。桂林：广西师范大学出版社，2017年。
- [Dylan, Bob. *Lyrics: 1961-2012. A Hard Rain’s A-Gonna Fall*, translated by Xi Mi et al. Guilin: Guangxi Normal UP, 2017.]
- ：《鲍勃·迪伦诗歌集：1961-2012. 帝国滑稽剧》，厄土等译。桂林：广西师范大学出版社，2017年。

- [—, *Lyrics: 1961–2012. Empire Burlesque*, translated by E Tu et al. Guilin: Guangxi Normal UP, 2017.]
- 鲍勃·迪伦:《鲍勃·迪伦诗歌集:1961-2012. 地下乡愁蓝调》,陈黎等译。桂林:广西师范大学出版社,2017年。
- [—, *Lyrics: 1961–2012. Subterranean Homesick Blues*, translated by Chen Li et al. Guilin: Guangxi Normal UP, 2017.]
- , “Bob Dylan—Subterranean Homesick Blues (Official Video).” *YouTube*, 10 Oct. 2015. Available at: <https://www.youtube.com/watch?v=MGxjIBEVx0>. Accessed 8 Sept. 2025.
- , *Chronicles: Volume One*. New York: Simon and Schuster, 2004.
- Gundersen, Edna. “Dylan is positively on top of his game.” *USA Today*, 10 Sept. 2001. Available at: <https://web.archive.org/web/20090404091821/http://www.usatoday.com/life/music/2001-09-10-bob-dylan.htm#more>. Accessed 8 Sept. 2025.
- Jarosinski, Artur. *Every Mind Polluting Word: Assorted Bob Dylan Utterance (2<sup>nd</sup> Edition)*. E-book, Internet Archive, 2006.
- 李欣奇:《论宗教文化影响下的鲍勃·迪伦诗歌艺术创作》,2019年。西南大学,硕士论文。[Li Xinqi. *On the Artistic Creation of Bob Dylan's Poetry under the Influence of Religious Culture*. 2019. Southwest University, Master's thesis.]
- 刘戟锋、曾华锋:“战争伦理:一种世界观念”,《伦理学研究》4(2006):85-89。[Liu Jifeng and Zeng Huafeng. “Ethics of War: A Perspective of the Notion about the World.” *Studies in Ethics* 4 (2006): 85-89.]
- 刘树森:“历史语境中的诗人与民族诗歌话语的建构——惠特曼与金斯堡比较研究之一”,《国外文学》2(1998):43-50。[Liu Shusen. “Poets in Historical Context and the Construction of National Poetic Discourse: One of the Comparative Studies of Whitman and Ginsberg.” *Foreign Literatures* 2 (1998): 43-50.]
- Loder, Kurt. “The Rolling Stone Interview: Bob Dylan.” *RollingStone*, 21 June 1984. Available at: <https://www.rollingstone.com/music/music-features/the-rolling-stone-interview-bob-dylan-43446/amp/>. Accessed 8 Sept. 2025.
- 罗成翼、刘利乐:“战争伦理综论”,《湖南社会科学》2(2012):21-24。[Luo Chengyi and Liu Lile. “An Overview of War Ethics.” *Social Sciences in Hunan* 2 (2012): 21-24.]
- 聂珍钊:《文学伦理学批评导论》。北京:北京大学出版社,2014年。[Nie Zhenzhao. *Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]
- Rovics, David. “Genocidal Ironies.” *This Week with David Rovics*, 15 Oct. 2023. Available at: [https://davidrovics.substack.com/p/genocidal-ironies?utm\\_source=publication-search](https://davidrovics.substack.com/p/genocidal-ironies?utm_source=publication-search). Accessed 8 Sept. 2025.
- 宋玮:“从‘垮掉’到‘叛逆’——凯鲁亚克对鲍勃·迪伦创作影响探析”,《济宁学院学报》

1 (2021) : 27-31.

[Song Wei. "From 'Beat' to 'Rebellion': An Analysis of Jack Kerouac's Influence on Bob Dylan." *Journal of Jining University* 1 (2021): 27-31.]

Taylor, Jeff and Chad Israelson. *The Political World of Bob Dylan: Freedom and Justice, Power and Sin*. London: Palgrave Macmillan, 2015.

滕继萌: “鲍勃·迪伦: 一位摇滚艺术家、诗人的生平”, 《外国文学》2 (1996) : 34-35。

[Teng Jimeng. "Bob Dylan: The Life of a Rock Artist and Poet." *Foreign Literature* 2 (1996): 34-35.]

卡尔·菲利普·戈特弗里德·冯·克劳塞维茨: 《战争论》(第一卷), 中国人民解放军军事科学院译。北京: 商务印书馆, 1978年。

[von Clausewitz, Karl Philip Gottfried. *The Theory on War* Vol. 1., translated by Academy of Military Sciences. Beijing: The Commercial Press, 1978.]

王焱: “‘嚎叫’之后的时代强音——探析金斯堡对鲍勃·迪伦创作的影响”, 《河北科技师范学院学报》(社会科学版)2 (2013) : 91-97。

[Wang Yao. "Howl after the 'Howl': The Influences on Bob Dylan's Works from Allen Ginsberg." *Hebei Normal University of Science & Technology (Social Sciences)* 2 (2013): 91-97.]

汪正龙: “文学与战争——对战争文学和文学中战争描写的美学探讨”, 《中山大学学报》(社会科学版)5 (2010) : 25-31。

[Wang Zhenglong. "Literature and War: An Aesthetic Exploration of War Literature and the Depiction of War in Literature." *Journal of Sun Yat-sen University (Social Science Edition)* 5 (2010): 25-31.]

章节根、沈丁立: “军工复合体对美国军控政策的影响”, 《美国研究》2 (2004) : 25-39、3-4。

[Zhang Jiegen and Shen Dingli. "The Impact of US Military-Industrial Complex on American Arms Control Policy." *The Chinese Journal of American Studies* 2 (2004): 25-39, 3-4.]

郑春生: “论20世纪60年代鲍勃·迪伦形象的自塑与他塑”, 《上海师范大学学报》(哲学社会科学版)1 (2020) : 124-133。

[Zheng Chunsheng. "On the Fabrication of Bob Dylan's Self-image and Social Image in the 1960s." *Journal of Shanghai Normal University (Philosophy & Social Sciences Edition)* 1 (2020): 124-133.]

左高山: “正义的战争与战争的正义——关于战争伦理的反思”, 《伦理学研究》6 (2005) : 43-48。

[Zuo Gaoshan. "Just War and Justice of War: Reflections on Ethics of War." *Studies in Ethics* 6 (2005): 43-48.]

# 莫言文学在马来西亚华人社区的传播与接受研究

## The Dissemination and Reception of Mo Yan's Literature in the Malaysian Chinese Community

谢荣萍 (Xie Rongping) 潘碧华 (Fan Pik Wah)

**内容摘要:** 莫言作品的海外传播与接受一直是学界关注的重点，然而针对东南亚华人社群，尤其马来西亚华人社会的相关研究仍显薄弱。本文首先系统梳理了莫言文学从 1986 年至 2024 年在马来西亚华人社区的传播历程，进而论证了马来西亚华人在政治安全、文化认同与审美偏好三重伦理环境下的伦理选择决定了莫言在当地的接受程度。更为重要的是，论文最后揭示了莫言文学作为一种文学资源，促进了张贵兴、黎紫书等马华作家的文学主体性建构。本文旨在理解离散华人群体文学接受的特殊性，为“中国文学走出去”提供具体案例与深层思考。

**关键词:** 莫言；马来西亚华人社区；文学传播；文学接受；伦理选择

**作者简介:** 谢荣萍，马来亚大学文学暨社会科学学院博士研究生，成都文理学院文法学院副教授，主要从事文学传播、比较文学研究；潘碧华，马来亚大学中文系副教授，主要从事中国古代文学与马华文学研究。本文为（中国）中外语言文化比较学会区域文化研究专业委员会 2025 年区域国别研究规划课题“中国当代文学在马来西亚的传播研究（1979-1990）”【项目批号：CAC25ZC010】的阶段性成果。

**Title:** The Dissemination and Reception of Mo Yan's Literature in the Malaysian Chinese Community

**Abstract:** The overseas dissemination and reception of Mo Yan's works have long been a focal point of academic attention. However, research on Southeast Asian Chinese communities, particularly the Malaysian Chinese community, remains insufficiently examined. This paper first systematically traces the dissemination of Mo Yan's literature within Malaysian Chinese communities from 1986 to 2024. It then argues that the ethical choices made by Malaysian Chinese within a tripartite ethical environment—comprising political security, cultural identity, and

aesthetic preferences—largely influence the extent of Mo Yan’s local reception. More significantly, the paper concludes by revealing how Mo Yan’s literature, as a literary resource, has facilitated the construction of literary subjectivity among Malaysian Chinese writers such as Chang Kuei Hsing and Li Zishu. This study seeks to understand the particularities of literary reception within diasporic Chinese communities, offering concrete case studies and critical reflections for the “going-out” strategy of Chinese literature.

**Keywords:** Mo Yan; Malaysian Chinese community; literary dissemination; literary reception; ethical choice;

**Authors:** **Xie Rongping** is Ph.D. Candidate at the Faculty of Arts and Social Sciences, University of Malaya(Kuala Lumpur 50603, Malaysia) and Associate Professor at Chengdu College of Arts and Sciences (Chengdu 610000, China). Her academic research focuses on Literary Dissemination and Comparative Literature (Email: xierongping@foxmail.com). **Fan Pik Wah** is Associate Professor at the Department of Chinese Studies, Faculty of Arts and Social Sciences, University of Malaya (Kuala Lumpur 50603, Malaysia). Her research focuses on Ancient Chinese Literature and Malaysian Chinese Literature (Email: fan5668@hotmail.com).

莫言作为首位获诺贝尔文学奖的中国籍作家，已成为中国当代文学海外传播中最具代表性的人物之一。据相关统计，莫言的作品在中国当代作家中译介最为广泛、研究最为丰沛、影响力亦最为显著。<sup>1</sup>学界围绕其作品的海外传播与接受的研究已相当丰富，主要聚焦于欧美及日韩等国家和地区的传播路径、批评话语与形象建构。<sup>2</sup>相较之下，关于东南亚华人社群，尤其马来西亚华人社群的相关研究仍显不足。事实上，马来西亚华人作为传播与接受主体具有独特性：首先，马来西亚华社<sup>3</sup>依托成熟完备的华文教育体系，培育了稳定且具备较强文本理解能力的中文读者群，为中国文学的传播与接受提供了坚实基础；其次，马来西亚华人的文化身份长期处于“中国性”与“马来

1 参见 刘云虹：“莫言作品在法国的译介及其启示”，《扬子江文学评论》5（2022）：53。

2 参见 刘江凯：“本土性、民族性的世界写作——莫言的海外传播与接受”，《当代作家评论》4（2011）：20-33；朱芬：“莫言在日本的译介”，《中国比较文学》4（2014）：120-132；林敏洁：“莫言文学在日本的接受与传播——兼论其与获诺贝尔文学奖的关系”，《文学评论》6（2015）：98-109；王汝蕙：《莫言小说在美国的传播与接受研究》，2018年，吉林大学，博士论文；刘云虹：“莫言作品在法国的译介及其启示”，《扬子江文学评论》5（2022）：53-58；方爱武：《跨文化视域下当代“中国形象”的建构——以王蒙、莫言、余华为例》，2016年，浙江大学，博士论文；姜智芹：“西方读者视野中的莫言”，《当代文坛》5（2005）：67-70等论文。

3 马来西亚华社指马来西亚华人社群。

西亚性”的张力之中，赋予其文学审美活动以身份选择的文化意涵；再次，复杂的历史与社会语境构成的“接受屏幕”会对莫言文学的传播与接受进行“文化过滤”。因此，本文拟聚焦莫言文学在马来西亚华人社群的传播与接受，厘清其传播路径与阶段特征，运用“伦理选择”<sup>1</sup>这一理论概念解析马来西亚华人对莫言文学的接受机制，并进一步考察莫言文学与马华文学之间的互动关系。此举在一定程度上可弥补现有研究对东南亚华人社群关注之不足，有助于深化对离散华人群体文学接受特殊性的理解，并为“中国文学走出去”提供具体案例与更为细致的反思。

### 一、脉络与桥梁：莫言文学在马来西亚的传播历程

莫言文学在马来西亚的传播历程，随外部政治环境与重要文学事件的变动而呈现出明显的阶段性特征；其间，出版机构、报刊媒体、教育体系以及关键文化行动者（评论家、作家、文化组织等）发挥了重要的推动作用。

#### （一）中介与萌芽：经由港台的间接传播（1986-1990）

1990年之前，因特殊历史背景所限，大陆文学作品无法直接进入马来西亚，中国港台地区的出版与评介遂成为莫言文学进入马来西亚的主要途径。据可查资料，莫言作品首次见诸马来西亚华文报端，即通过香港的中介实现。1986年4月6日，《星洲日报》刊载了时任中新社香港分社记者林涓撰写的通讯“中国文坛最新动向”，文中在讨论创作自由与文艺批评时提及莫言，并指涉其小说《金发婴儿》所引发的争议。<sup>2</sup>同时，《香港文学》《八方文艺丛刊》（简称《八方》）等杂志，因在海外华文世界具有广泛流通，亦成为马来西亚华人社会接触莫言文学的重要窗口。以《八方》为例，1988年第10辑刊载“文革以后的大陆文学”“历史的命题与时代抉择中的艺术嬗变——论‘寻根文学’的发生与意义”，介绍了莫言等“寻根”作家<sup>3</sup>；至1990年第12辑更直接发表莫言作品《香港好人》<sup>4</sup>。

然而莫言为马来西亚文学界所熟知，主要还是得益于台湾出版界的系统引介。在马来西亚民众图书馆<sup>5</sup>馆藏的26本莫言著作中，台湾出版社的版本就有16本之多。1986年，新地出版社刊印了莫言在台首部小说集《透明的红

1 有关“伦理选择”，参见 Nie Zhenzhao, “Ethical Literary Criticism: Sphinx Factor and Ethical Selection,” *Forum for World Literature Studies* 3 (2021): 385-386; 聂珍钊：“人文研究的科学转向”，《文学跨学科研究》4（2022）：563-568等论文。

2 参见 林涓：“中国文坛新动向”，《星洲日报》1986年4月6日，星期日7。

3 参见 施叔青：“文革以后的大陆文学”，《八方文艺丛刊》10（1988）：138-142；季红真：“历史的命题与时代抉择中的艺术嬗变——论‘寻根文学’的发生与意义”，《八方文艺丛刊》10（1988）：162-187。

4 参见 莫言：“香港好人”，《八方文艺丛刊》12（1990）：53-55。

5 马来西亚民众图书馆的前身为马来西亚民众图书协会，成立于1955年，是吉隆坡历史最悠久的民间图书馆。

萝卜》。次年，作家西西受洪范书店委托，编选了四部大陆小说选，其中《红高粱》与《爆炸》被直接用作选集书名，凸显了莫言在当时两岸文学交流中的核心地位。此后《红高粱家族》（1988）《天堂蒜薹之歌》（1989）《透明的红萝卜》<sup>1</sup>（1989）《十三步》（1990）等著作相继出版。这一经由台湾的传播路径影响到了马华作家，如许友彬便表示他是通过西西的编选接触到莫言并深为喜爱。<sup>2</sup>方路回忆自己于1989年首次阅读莫言作品，读的正是林白出版社的《透明的红萝卜》。<sup>3</sup>1989-1990年间，台湾的文学期刊如《中外文学》《书目季刊》也发表了多篇评介莫言作品的文章。1988年，莫言荣获第九届“联合报小说奖”，该奖项在华文文学界具有极高的含金量，马华文坛对其颇为关注。莫言此次获奖进一步提升了他在台湾及华语文学界的影响力。

由此可见，在中马两国文化交流还未全面开启的时期，港台扮演了不可或缺“中介”角色，莫言作为中国当代文学的代表作家，其形象已初步晕染至马华文学界的认知图景中，这为1991年莫言本人访马引发关注提供了读者基础。

## （二）接触与深化：本土化传播网络的构建（1990-2011）

1990年，马华作家戴小华首次作为民间代表访华，标志着中马民间文化交流的开始。莫言文学的传播在这一时期进入了“直接接触”与“本土深化”的发展阶段，其传播深度也从阅读层面延伸到了学术研究层面。

1991年，莫言与王安忆应马来西亚华人文化协会的邀请来马进行文学访问，创造了“每场讲座场场爆满”的盛况。<sup>4</sup>同年，莫言创作的短篇小说《地道》刊载在《星洲日报》上，这是莫言作品首次直接出现在马来西亚的报刊媒体上。<sup>5</sup>2004年，马来西亚华人文化协会再次邀请莫言访马，此次莫言在吉隆坡及新山开展了“从红高粱到霸王别姬”的主题讲座，与众多喜爱他的文学爱好者分享了他多年来的创作经验。

这一时期，马来西亚具有广泛影响力的《星洲日报》《南洋商报》《东方日报》《中国报》《蕉风》等报刊共刊载了14篇评介莫言及其作品的文章，初步形成了本土的传播网络。更值得注意的是，这一时期莫言开始成为了马华文学界的重要研究对象。1997年，马华作家钟怡雯的硕士论文出版<sup>6</sup>，她与丈夫陈

1 此版本为中国台湾林白出版社版本。

2 参见 许友彬：“莫言教我不再敢写小说”，《南洋商报》1999年8月3日，南洋文艺。

3 参见 方路：“红萝卜和红高粱园主——中国小说大师莫言荣获2012年诺贝尔文学奖”，《星洲日报》2012年10月21日，星洲广场。

4 参见 陈绛雪：“本报21年前与莫言结缘 联合华人文协两度邀请来马演说”，《南洋商报》2012年10月18日，国内A13。

5 参见 莫言：“地道”，《星洲日报》1991年10月1日，文艺春秋第6版。

6 参见 钟怡雯：《莫言小说：历史的重构》，中国台北：文史哲出版社，1997年。

大为在一次采访中表示两人均十分喜爱莫言<sup>1</sup>；2002年，钟怡雯在《国文天地》上发表论文“从莫言《会唱歌的墙》论散文的暴露与雄辩”<sup>2</sup>；2009年，黄丽丽完成硕士论文《张贵兴与莫言小说中感官书写的比较研究》<sup>3</sup>。

### （三）引爆与辐射：成为文化现象与跨族群传播（2012-2024）

2012年，莫言荣获诺贝尔文学奖，成为其在马来西亚传播的关键节点，将其从华社内部的文学话题推升为全国性的文化现象；其影响范围也由华人社群扩展至马来世界，逐步实现跨族群传播。

诺奖效应首先体现在华文报刊报道的激增，2012-2024期间，介绍莫言及其作品的报道达36条，近前一时期的3倍。《清流》杂志连续两期推出“莫言特辑”，系统性介绍莫言。其次，莫言作品首次进入马来西亚华文教材体系。马来西亚国中一华文教材(2016年启用)中编选了记叙文《童年读书》(节选)。在国中中四中五的华文文学课本《名家小说选》(2013年启用)中编选了小说《卖白菜》(节选)。《名家小说选》是马来西亚SPM<sup>4</sup>中国文学试卷的指定用书。这表明莫言文学在马来西亚的传播已由以往的阅读与学术研究层面，扩展至国民教育体系之中，从而实现了制度化传播。

最具突破性的是跨族群的传播。2016年，马来西亚翻译与图书研究院出版了马来文版的《变》(PPERUBAHAN)<sup>5</sup>。同年3月，Facebook上举办书评比赛，马来西亚博特拉大学马来裔Hani Salwah Yaakup博士就针对马来文版的《变》撰写书评“Reruntuhan Utopia Dalam Perubahan”<sup>6</sup>。10月，马来文主流媒体*Berita Harian*刊发评论文章“Kritikan Politik Humor Novelis China, Mo Yan Menyengat”，介绍小说集《师傅越来越幽默》中的政治讽刺艺术。<sup>7</sup>马来西亚国家文学奖得主沙末赛益亦公开表示自己是莫言的粉丝，认真研读

1 参见 钟怡雯、陈大为：“写作，不急在一时”，《星洲日报》2016年9月19日，SFK08。

2 参见 钟怡雯：“从莫言《会唱歌的墙》论散文的暴露与雄辩”，《国文天地》12(2002)：61-68。

3 参见 黄丽丽：《张贵兴与莫言小说中感官书写的比较研究》，2009年，马来西亚拉曼大学，硕士论文。

4 SPM是由马来西亚考试局主办，马来西亚教育部监督的中学全国中五统一考试，目的是为了考核学生在义务五年中学教育生涯的学习成果、学术资格以及学习成绩。

5 马来文译本的具体信息为：Mo Yan, *Perubahan*, translated by Penterjemah Maizatul Alia Alias, Kuala Lumpur: Institut Terjemahan & Buku Malaysia, 2016.

6 参见 Hani Salwah Yaakup, “Reruntuhan Utopia Dalam Perubahan (Change),” *Blogger*, 31 May 2016. Available at: <https://haniesalwah.blogspot.com/2016/06/reruntuhan-utopia-dalam-perubahan-change.html>. Accessed 15 Apr. 2025.

7 参见 Nazmi Yaakub, “Kritikan Politik Humor Hovelis China, Mo Yan Menyengat,” *Berita Harian*, 6 Oct. 2016. Available at: <https://www.bharian.com.my/bhplus-old/2016/10/199268/kritikan-politik-humor-novelis-china-mo-yan-menyengat>. Accessed 15 Apr. 2025.

过莫言的作品。<sup>1</sup> 这些传播迹象表明莫言凭借其世界性声誉，开始进入马来西亚国家文学的视野之中，传播范围进一步扩大。与此同时，这一时期以莫言为研究对象的研究成果持续增加<sup>2</sup>，传播深度进一步深化。

莫言在马来西亚华人社区的传播历程随着时间推移不断丰富并走向纵深：在传播渠道上，伴随中马关系的融洽，路径愈发稳固且多元；在传播深度上，由最初的浅层引介逐步转向系统性的学术阐释与研究，并进入教材，影响青少年的价值观；在传播范围上，则由面向华社读者扩展至马来社群，最终实现跨族群的突破。

## 二、过滤与认同：莫言文学在马来西亚的接受机制

与莫言同世代且同样以乡村为题材的作家（如张炜、阎连科、路遥等）相比，莫言文学在马来西亚华社的传播更为广泛，接受度也更高。这一差异的形成，源于马来西亚华人在政治安全、文化认同与审美偏好三重伦理环境中的选择；这些选择共同决定了莫言文学在马来西亚传播的层次与范围。文学产生于不同的历史时期，受特定伦理语境的制约；所以，理解文学的前提需要基于特定历史时期的伦理环境与伦理语境。<sup>3</sup> 文学传播活动也是一样，理解不同时期的传播特征，也需要回到特定的伦理环境与伦理语境中去。

1955年，周恩来在万隆会议上明确表态中国不再承认双重国籍，坚持“一人一个国籍”原则。1957年，马来西亚脱离英联邦独立，这使当地华人面临艰难的伦理抉择：是留在马来西亚成为马国公民，还是北归中国。最终，大多数华人选择了精神上“永远记得”母亲的叮咛，躯体却留在马来西亚的土地上，与其他民族共同建设这个国家。<sup>4</sup> 由此，马来西亚华人陷入了在文化认同与政治归属之间寻求平衡的伦理困境。在多民族的政治结构中，华社长期处于边缘地位，政府对其政治立场也保持高度警惕。出于政治安全考量，马来西亚华人在接受中国文学时，往往对具有直接政治倾向性的作品持审慎态度，以免加剧族群之间的紧张关系。莫言的作品虽根植于中国的历史与现实，但其批判性多以民间视角、寓言形式或感官狂欢来呈现。莫言曾说：“对于文学来讲，有个巨大禁忌就是过于直露地表达自己的政治观点”（转引自 张清华 21）。在寻求“政治安全”的同时，马来西亚华人还始终抱有赓续中华文化、强化身份认同的伦理诉求。莫言文学为此提供了极具共鸣性的文化符号。

首先，莫言对“高密东北乡”的原乡书写，能够与马来西亚华人产生深

1 参见 许良波：“专访林连玉精神奖得主：沙末赛益是莫言粉丝”，《星洲日报》2013年12月13日，国内18。

2 这一时期有6篇本科论文，1篇博士论文，3篇期刊论文。

3 参见 Nie Zhenzhao, “Ethical Literary Criticism: A Basic Theory,” *Forum for World Literature Studies* 2 (2021): 191.

4 参见 潘碧华：《参与的记忆，建国中的马华文学》，吉隆坡：马来亚大学中文系，2009年，第17-18页。

切的文化共鸣。马来西亚独立后，政府推行一元化文化政策，由此华社萌生强烈的忧患意识，并在20世纪七八十年代的马华文坛催生出大量“寻根”“护根”的文学作品。1991年莫言访马前夕，《南洋商报》专门转载评论“深情于他那方小小的邮票——莫言小说漫评”，为其行程预热。文章指出，莫言苦心营构的那方“邮票”，不仅足以超越其故乡“高密”，超越华北，甚至能够超越中国。<sup>1</sup>这也折射出马华读者对莫言“文学原乡”的期待。

其次，世界性荣誉带来的族群自豪感。莫言作为第一位获得诺奖的中国籍作家，其获奖大大提升了海外华人的文化自信。在马来西亚，这种“与有荣焉”的感受尤为强烈。<sup>2</sup>莫言获诺奖后，其在马来西亚的传播与接受出现了“井喷”现象，这一现象的本质是大马离散华人群体从自我伦理身份认同出发所做出的伦理选择的结果。承前所述，马来西亚华人始终面临着“文化身份”与“政治身份”撕裂的伦理困境，尽管21世纪后华人群体对马来西亚的政治认同日益强化，但马华作家仍坚持华语写作，并将其视为赓续中华文化血脉的重要途径，由此被“边缘化”，马华文学也因此成为“边缘文学”。而莫言的获奖对大马离散华人群体来说无疑是一种士气的提振，象征着华文文学在世界声誉的体现。所以在莫言获奖后，海内外对其尚有争论时，马来西亚华社却表现出一致肯定与认同的态度。戴小华认为莫言获奖是“实至名归”，《南洋商报》前总编辑钟启章认为莫言的获奖是时候了。<sup>3</sup>

马来西亚华人对莫言文学的接受还受到审美倾向的影响。20世纪60年代，马华文坛开始刮起持续几十年的现代主义旋风。现代主义文学惯用象征、隐喻、异化等创作手法，与现实之间产生一定的美学距离。这种艺术表达形式在一定程度上能够规避政治风险，从而获得更安全的表达空间。莫言作品中所具有的去典型化叙事、魔幻现实写作、语言实验与感官爆炸等文学特质与马华文学的现代主义创作倾向存在着相似性与呼应。由此莫言的创作手法与风格得到了多位马华作家的认可。李成友（笔名方路）认为与高行健相比，莫言的小说好看多了。<sup>4</sup>黎紫书甚至论断莫言是少数仍健在却已经开始接受“朝拜”的大师级小说家，如果没有读过莫言，可能比没有读过曹雪芹的《红楼梦》还要落伍。<sup>5</sup>阎连科在美学风格上与莫言有相似之处，他对荒诞、魔幻与象征等艺术手法的运用，同样符合现代主义文学的审美倾向，因而在华社有一定

1 参见 朱向前：“深情于他那方小小的“邮票”——莫言小说漫评”，《南洋商报》1991年6月1日，南洋文艺。

2 参见 “华媒评莫言获奖：中国文化开启与世界对话新起点”，中国新闻网，2012年10月15日。<<https://www.chinanews.com.cn/hb/2012/10-15/4247777.shtml>>. Accessed 16 Apr. 2025.

3 参见 无名氏：“莫言得诺奖实至名归”，《南洋商报》2012年10月18日，国内A13。

4 参见 李成友：“小说大学，莫说莫言”，《星洲日报》2002年12月2日，言路。

5 参见 黎紫书：“不说话的莫言比较高深”，《南洋商报》2004年10月10日，星洲广场。

的传播与接受，例如 2013 年阎连科荣获马来西亚最具影响力的花踪世界华文文学大奖。但因其作品带有一定的精英知识分子启蒙立场，普世性不及莫言，所以接受度并不如莫言普遍。

莫言能够比同世代同题材的作家在马来西亚华人社区有更广泛的传播与接受，在于其文学经过了“政治”“文化”“审美”的三重过滤与选择，这样的接受机制不仅解释了“为何是莫言”，同时也指向了莫言文学与马华文学之间的更深层次的互动关系。

### 三、影响与对话：莫言文学与马华文学的互动

莫言文学在马来西亚华人社区的传播与接受，并未仅仅停留在读者阅读与学术研究层面，而是作为一种示范性的文学资源，为马华作家的创作实践提供了强有力的美学参照。马华作家对莫言的接受也并非被动模仿，而是结合自身的历史语境与伦理困境进行了创造性的吸收与转化。这场跨越山海的文学互动，形成了莫言文学与马华文学之间深层次的文学对话。

莫言汪洋恣肆的想象与不拘一格的叙事手法，为马华作家提供了一种超越以往现实主义的叙事范式。如《生死疲劳》中“六道轮回”的轮回视角，《红高粱家族》中的非线性与复调式叙事，《天堂蒜薹之歌》《十三步》《酒国》等作品中的跨文体实验以及元叙事手法的运用，这些叙事实践极大地拓展了小说的形式边界。这种叙事自由的解放为马华作家在处理复杂、敏感的本土历史与现实经验时提供了方法论层面的启示。黎紫书多次在访谈中表示自己的创作有受到莫言的影响，并坦言莫言的作品让她发现小说的语言和文字，本应该与故事相辅相成，而这正是她一直在苦苦摸索的。<sup>1</sup>《把她写进小说里》《推开阁楼之窗》中后设手法的操弄，《告别的年代》呈现出后设装置、叙事叠套、双生与互文等叙事技巧奇观，可以看做是在这一美学启示下的探索。黄锦树曾说马华作家的成长是一个广泛的“学习过程”，在 20 世纪 80 年代中国大陆文学爆炸时期，莫言、苏童等作家都是学习的对象，小说是艺术品，技术层面是基本要求。<sup>2</sup>

莫言坚持以民间创作立场书写 20 世纪中国的创伤历史，从“作为老百姓写作”的立场出发将宏大历史“民间化”“肉身化”，并在写作中以暴力、感官书写的形式探测人性的幽暗与限度，例如《红高粱家族》中的“活剥人皮”，《檀香刑》中的“凌迟酷刑”等。莫言将家国命运具象为个体之间的爱恨情仇、悲欢离合，以暴力美学强攻历史阴暗面，以民间立场颠覆官方历史叙事。这份的胆识与魄力极大鼓舞了长期处于国族叙事边缘的马华作

1 参见 张锦忠、黎紫书：“黎紫书访谈录”，《中外文学》4（2000）：207。

2 参见 傅适野：“马来西亚作家黄锦树：我早已没有故乡，故乡只在我的写作里”，《界面文化》，2018 年 5 月 12 日。<<https://www.jiemian.com/article/2114150.html>>。Accessed 16 Apr. 2025.

家，赋予他们正视本族历史创伤的伦理勇气。张贵兴在《野猪渡河》中直面被主流历史遗忘的华族抗日历史，摒弃过往部分马华作品中或语焉不详、或虚无化处理的历史倾向，以诗性的暴力美学书写表现战争的残酷与历史的创伤，这正是对莫言战争书写伦理的跨时空回应。黎紫书与黄锦树并不直接书写宏大历史事件或抗战史诗，他们将马来西亚华人的历史创伤溶解在鬼魅叙事与市井生活之中。黄锦树在《乌暗暝》中以“招魂”的方式展开与族群历史的对话与反思；黎紫书在《流俗地》中让历史成为笼罩在日常肌理中的薄雾，这种将历史转化为具体生命情境的叙事策略，正是对莫言将历史沉潜于民间生命经验的转化与借鉴。

莫言对“高密东北乡”这一文学地理王国的持续打造，让其成功为“当代大陆小说提供了最重要的一所历史空间”（王德威 217）。从《白狗秋千架》开始，莫言通过《秋水》《红高粱家族》《天堂蒜薹之歌》《丰乳肥臀》等诸多小说成功构建了一个既扎根乡土又承载普遍人性与历史反思的原乡世界。对离散华人群体而言，如何打造属于自己的文学地理王国以及通过文学想象抵达精神原乡，始终是一个核心议题。莫言的成功在这一问题上为马华作家提供了可资借鉴的文学路径。黄锦树评价张贵兴时曾说“和出身高密东北的莫言类似，持续地淬炼一己的故乡梦土，全心全意扑向婆罗洲热带雨林”（441）。张贵兴创作生涯几乎都围绕着“婆罗洲雨林”这一文学世界的建构，跟莫言一样，他通过灵动的文字，将“婆罗洲雨林”营造成一个充满生命力、欲望与魔幻的历史空间。

然而，真正意义上的文学互动，绝非单向的启发或接受，其中必然存在着作家根据自身生命体验与社会历史伦理环境进行的创造性转化。张贵兴常被读者戏称为“马华莫言”，其在暴力与自然书写以及文学原乡建构方面确实与莫言有着文学的相通性，但又存在明显的差异性，这种差异性恰恰是创造性转化的体现。同样是书写战争，二者虽然都直面战争的残酷，但莫言更多用强烈直接或变形夸张的语言将血腥场面推向感官与伦理感受的极限，而张贵兴则倾向用充满诗性的文字对暴力进行美学转换。这种差异主要因为两者不同的历史与文化语境，莫言作为寻根派作家，其对历史创伤的揭示蕴含对民族原始生命力的呼唤，而张贵兴则是为了抵抗历史虚无主义，唤起世人对海外华人抗战创伤的重视。两者“文学王国”的精神内核也有所不同，莫言笔下的“高密东北乡”是充满野性与强劲生命力的，其最终指向是“向前”的，即追溯中华民族旺盛、野性的生命力；张贵兴笔下的“婆罗洲雨林”则是“后设”的，其最终指向是失去原乡或没有原乡的离散群体的焦虑与彷徨。

黎紫书早期偏爱风格浓郁的作品，写作初期亦模仿莫言、苏童等先锋派作家的写法，进行写作形式的实验，但很快她便完成了从吸收借鉴到自我风格的转换。黎紫书在效仿技巧的同时，又融入地域特色，使其作品具有了“本土性”特征，如《某个平常的四月天》中的制胶厂、青龙木、五脚基等地方

元素；《初走》中的番薯藤炒岩拉煎在地饮食、穆斯林信徒的诵经声、印度庙掷椰子转运的风俗等。莫言喷涌磅礴的历史叙事，在黎紫书笔下被内化为一种微观的、日常化的历史关怀。在成熟之作《流俗地》中，黎紫书以市井小民的日常生活为叙事焦点，将重大的国家历史事件弥散在婚丧嫁娶、邻里往来的烟火气息之中。作品中虽不明确提及政治事件，但政治却充盈在人物的日常生活之中。正如黎紫书自己所言：“很多大题材诸如历史、民族或政治，被我消化后往往变成一场复杂、可悲、可笑复可叹的人性的演出”（《黎紫书访谈录》207）。

莫言以其深厚的文学资源，为马华作家提供了叙事创新的范例、叩问历史创伤的勇气以及建构文学地理王国的雄心。而马华作家又根据自身独特的离散境遇与在地经验，对这些资源进行过滤、转化与重构。他们汲取莫言作品中强大的美学能量，在提炼融合后最终淬炼出了成熟又独特的“马华风格”。莫言文学与马华文学的对话结果证明，真正深刻的文学影响会激发接受者克服影响焦虑，最终实现自身文学主体性的建构。

莫言文学在马来西亚华人社区的传播诠释了文学的域外传播活动是一个与特定历史伦理环境紧密关联的动态过程。马来西亚华人对莫言文学的接受机制，具体体现了离散华人群体在文化认同和政治归属博弈下的“接受屏幕”和“文化过滤”。莫言文学对马华作家创作的激发以及在此背景下马华作家自身完成的创造性转化，揭示了中国文学“走出去”的深层价值。其价值不在于作品物理意义上的抵达与声誉的叠加，而在于它能否越过政治与文化的边界，成为一种有效的“美学催化剂”，促进接受国（地）文学自身的创造性潜能，从而形成平等的文学对话。这为中国文学的海外传播实践，提供了超越单向文化输出、走向文化共创共生的重要启示。

## Works Cited

- 无名氏：“华媒评莫言获奖：中国文化开启与世界对话新起点”，中国新闻网，2012年10月15日，
- [Anonymous. “Chinese Media on Mo Yan’s Win: A New Starting Point for Chinese Culture’s Dialogue with the World.” *China News Network*. 15 Oct. 2012. Available at: <http://www.chinanews.com.cn/hb/2012/10-15/4247777.shtml>. Accessed 12 Apr. 2025.]
- ：“莫言得诺奖实至名归”，《南洋商报》2012年10月18日，国内A13。
- [—.“Mo Yan’s Nobel Prize Win Is Well-Deserved.” *Nanyang Siang Pau* 18 Oct. 2012, Domestic Edition: A13.]
- 陈绛雪：“本报21年前与莫言结缘 联合华人文协两度邀请来马演说”，《南洋商报》2012年10月18日，国内A13。
- [Chen Jiangxue. “Our Newspaper’s Bond with Mo Yan Began 21 Years Ago: Jointly Invited Him to Malaysia for Speeches Twice with Chinese Cultural Association.” *Nanyang Siang Pau* 18

October 2012, Domestic Edition: A13.]

钟怡雯：“从莫言《会唱歌的墙》论散文的暴露与雄辩”，《国文天地》12（2002）：61-68。

[Chong, Yee Voon. “On the Exposure and Rhetorical Power of Prose: A Study of Mo Yan's *The Singing Wall*.” *The World of Chinese Language and Literature* 12 (2002): 61-68.]

——：《莫言小说：历史的重构》。中国台北：文史哲出版社，1997年。

[—]. *Mo Yan's Fiction: The Reconstruction of History*. Chinese Taipei: The Liberal Arts Press, 1997.]

钟怡雯、陈大为：“写作，不急在一时”，《星洲日报》2016年9月19日，SFK18。

[Chong, Yee Voon and Tah Wei Chan. “Writing Is Not Something to Be Rushed.” *Sin Chew Daily* 19 Sep. 2016, SFK18.]

潘碧华：《参与的记忆，建国中的马华文学》。吉隆坡：马来亚大学中文系，2009年。

[Fan, Pik Wah. *Memory of Participation: Malaysian Chinese Literature in the Nation-Building Process*. Kuala Lumpur: Department of Chinese Studies, University of Malaya, 2009.]

方路：“红萝卜和红高粱园主——中国小说大师莫言荣获2012年诺贝尔文学奖”，《星洲日报》2012年10月21日，星洲广场。

[Fang Lu. “The Radish and the Master of the Red Sorghum Field: Chinese Novelist Mo Yan Awarded the 2012 Nobel Prize in Literature.” *Sin Chew Daily* 21 Oct. 2012: Sin Chew Square.]

方爱武：《跨文化视域下当代“中国形象”的建构——以王蒙、莫言、余华为例》，2016。浙江大学，博士论文。

[Fang aiwu. *The Construction of the Image of China in a Transcultural Framework—Based on Case Studies of Wang Meng, Mo Yan and Yu Hua*. 2016. Zhejiang University, PhD dissertation.]

傅适野：“马来西亚作家黄锦树：我早已没有故乡，故乡只在我的写作里”，《界面文化》，2018年5月12日

[Fu Shiye. “Malaysian Writer Ng Kim Chew: I Have Long Lost My Homeland, My Homeland Exists Only in My Writing.” *Jiemian Culture* 12 May. 2018. Available at: <https://www.jiemian.com/article/2114150.html>. Accessed 16 Apr. 2025.]

季红真：“历史的命题与时代抉择中的艺术嬗变——论‘寻根文学’的发生与意义”，《八方文艺丛刊》10（1988）：162-187。

[Ji Hongzhen. “The Historical Proposition and Artistic Transformation in an Era of Choice: On the Emergence and Significance of Root-Seeking Literature.” *Ba Fang Literary Journal* 10 (1988): 162-187.]

姜智芹：“西方读者视野中的莫言”，《当代文坛》5（2005）：67-70。

[Jiang Zhiqin. “Mo Yan in the Eyes of Western Readers.” *Contemporary Literary Criticism* 5 (2005): 67-70.]

- 许友彬：“莫言教我不再敢写小说”，《南洋商报》1999年8月3日，南洋文艺。
- [Khor, Ewe Pin. “Mo Yan Makes Me Dare Not Write Novels Anymore.” *Nanyang Siang Pau* 3 Aug. 1999: Nanyang Literary Arts Supplement.]
- 许良波：“专访林连玉精神奖得主：沙末赛益是莫言粉丝”，《星洲日报》2013年12月13日，国内18。
- [Koh, Liang Poh. “Interview with the Recipient of the Lim Lian Geok Spirit Award: Pak Samad Said Is a Fan of Mo Yan.” *Sin Chew Daily* 13 Dec. 2013, Domestic Edition: 18.]
- 李成友：“小说大学，莫说莫言”，《星洲日报》2002年12月2日，言路。
- [Lee, Seng Hu. “The Novel as Great Learning, Say No More About Mo Yan.” *Sin Chew Daily* 2 Dec. 2002: Public Voices.]
- 黎紫书：“不说话的莫言比较高深”，《南洋商报》2004年10月10日，星洲广场。
- [Li Zishu. “The Silent Mo Yan Is More Profound.” *Nanyang Siang Pau* 10 Oct. 2004: Sin Chew Square.]
- 林涓：“中国文坛新动向”，《星洲日报》1986年4月6日，星期日7。
- [Lin Mei. “New Trends in China’s Literary World.” *Sin Chew Daily* 6 Apr. 1986: Sunday Edition 7.]
- 林敏洁：“莫言文学在日本的接受与传播——兼论其与获诺贝尔文学奖的关系”，《文学评论》6（2015）：98-109。
- [Lin Minjie. “The Reception and Dissemination of Mo Yan’s Literature in Japan: With a Discussion of Its Relationship to His Winning the Nobel Prize in Literature.” *Literary Review* 6 (2015): 98-109.]
- 刘云虹：“莫言作品在法国的译介及其启示”，《扬子江文学评论》5（2022）：53-58。
- [Liu Yunhong. “The Translation and Reception of Mo Yan’s Works in France and Its Enlightenment.” *Yangtze River Literary Review* 5 (2022): 53-58.]
- 刘江凯：“本土性、民族性的世界写作——莫言的海外传播与接受”，《当代作家评论》4（2011）：20-33。
- [Liu Jiangkai. “World Writing with Local and National Characteristics: Mo Yan’s Overseas Dissemination and Reception.” *Contemporary Writers Review* 4 (2011): 23-33.]
- 莫言：“地道”，《星洲日报》1991年10月1日，文艺春秋第6版。
- [Mo Yan. “Di Dao.” *Sin Chew Daily* 1 Oct. 1991: Literary and Arts 6.]
- ：“香港好人”，《八方文艺丛刊》12（1990）：53-55。
- [—, “Good People of Hong Kong.” *Ba Fang Literary Journal* 12 (1988): 53-55.]
- . *Perubahan*, translated by Penterjemah Maizatul Alia Alias. Kuala Lumpur: Institut Terjemahan & Buku Malaysia, 2016.
- 黄锦树：《谎言或真理的技艺：当代中文小说论集》。中国台北：麦田出版社，2003年。
- [Ng, Kim Chew. *The Art of Lies or Truth: Essays on Contemporary Chinese Fiction*. Chinese Taipei: Rye Field Publishing, 2003.]
- Nie Zhenzhao. “Ethical Literary Criticism: Sphinx Factor and Ethical Selection.” *Forum for*

*World Literature Studies* 3 (2021): 383-398.

— “Ethical Literary Criticism: A Basic Theory.” *Forum for World Literature Studies* 2 (2021): 189-207.

聂珍钊：“人文研究的科学转向”，《文学跨学科研究》4（2022）：563-568。

[Nie Zhenzhao. “The Scientific Turn of Humanities Studies.” *Interdisciplinary Studies of Literature* 4 (2022): 563-568.]

施叔青：“文革以后的大陆文学”，《八方文艺丛刊》10（1988）：138-142。

[Sue, Ching Shin. “Mainland Chinese Literature after the Cultural Revolution.” *Ba Fang Literary Journal* 10 (1988): 138-142.]

张锦忠、黎紫书：“黎紫书访谈录”，《中外文学》4（2000）：204-211。

[Tee, Kim Tong and Li Zishu. “An Interview with Li Zishu.” *Chung Wai Literary Quarterly* 4 (2000): 204-211.]

黄丽丽：《张贵兴与莫言小说中感官书写的比较研究》，2009年。拉曼大学，硕士论文。

[Wong, Lih Lih. *A Comparative Study on Mo Yan and Chang Kuei Hsing Fictional Writing*. 2009. Universiti Tunku Abdul Rahman, Master's thesis.]

王德威：《当代小说二十家》。北京：生活·读书·新知三联书店，2006年。

[Wang, David Der-wei. *Twenty Contemporary Fiction Writers*. Beijing: SDX Joint Publishing Company, 2006.]

王汝蕙：《莫言小说在美国的传播与接受研究》，2018年。吉林大学，博士论文。

[Wang Ruhui. *Propagation and Acception of Mo Yan's Novels in the United States*. 2018. Jilin University, Phd dissertation.]

Yaakup, Hani Salwah. “Reruntuhan Utopia Dalam Perubahan (Change).” *Blogger*. 31 May 2016. Available at: <https://haniesalwah.blogspot.com/2016/06/reruntuhan-utopia-dalam-perubahan-change.html>. Accessed 15 Apr. 2025.

Yaakub, Nazmi. “Kritikan Politik Humor Novelis China, Mo Yan Menyengat.” *Berita Harian*. 6 Oct. 2016. Available at: <https://www.bharian.com.my/bhplus-old/2016/10/199268/kritikan-politik-humor-novelis-china-mo-yan-men-yengat>. Accessed 15 Apr. 2025.

朱芬：“莫言在日本的译介”，《中国比较文学》4（2014）：120-132。

[Zhu Fen. “Mo Yan's Translation in Japan.” *Comparative Literature in China* 4 (2014): 120-132.]

朱向前：“深情于他那方小小的‘邮票’——莫言小说漫评”，《南洋商报》1991年6月1日，南洋文艺。

[Zhu Xiangqian. “Deep Affection for His Small ‘Stamp’: A Casual Review of Mo Yan's Novels.” *Nanyang Siang Pau* 1 June 1991, Nanyang Literary Arts Supplement.]

张清华：《当代作家海外演讲》。北京：北京大学出版社，2012年。

[Zhang Qinghua. *Overseas Lectures by Contemporary Writers*. Beijing: Peking UP, 2012.]

# 从毒物话语到蓝色人文：巴拉德《干旱》中的生态伦理表达

## From Toxic Discourse to Blue Humanities: Ecological Ethical Expression in J. G. Ballard's *The Drought*

姜慧玲 (Jiang Huiling)

**内容摘要：**当代英国作家 J.G. 巴拉德在其小说《干旱》中，运用毒物话语描绘了一幅因人类向海洋倾倒核废料而引发的罕见旱情下的末日图景，呈现了危机中的人类百态，并由此展开对人与环境之间伦理关系的深刻反思。小说通过毒物话语揭示现代工业废物排放对海洋生态系统的严重破坏，将干旱危机的根源直接指向现代工业文明的不可持续性，彰显了巴拉德所倡导的“人与自然和谐共生”的生态伦理思想，并隐含着对人类中心主义的尖锐批判。在末日危机的极端情境中，伦理环境与伦理身份均发生深刻变迁。小说通过对环境正义捍卫者之伦理身份的构建，以及他们所做出的“与水共思”的伦理选择，传达出巴拉德“敬畏自然、保护海洋”的蓝色人文愿景。

**关键词：**J.G. 巴拉德；《干旱》；生态伦理；毒物话语；蓝色人文

**作者简介：**姜慧玲，大连外国语大学公共外语教研部副教授，主要从事 20 世纪英国文学研究。本文为 2025 年度教育部人文社会科学研究规划基金项目“20 世纪中期英国小说科学素养培育主题研究”【项目批号：25YJA752005】和 2025 年度辽宁省社会科学规划基金项目“20 世纪 30-60 年代英国新现实主义社会政治小说研究”【项目批号：L25BWW002】的阶段性成果。

**Title:** From Toxic Discourse to Blue Humanities: Ecological Ethical Expression in J. G. Ballard's *The Drought*

**Abstract:** In *The Drought*, contemporary British writer J.G. Ballard employs toxic discourse to depict an apocalyptic scene caused by a rare drought triggered by human disposal of nuclear waste into the ocean, presenting the various behaviors of humans in crisis and thereby unfolding a profound reflection on the ethical relationship between humans and the environment. Through toxic discourse, the novel reveals the severe damage that modern industrial waste discharge has inflicted on marine ecosystems, directly attributing the root of the drought crisis

to the unsustainability of modern industrial civilization. This highlights Ballard's ecological ethical thought of "harmonious coexistence between humans and nature" and implicitly contains a pointed critique of anthropocentrism. In the extreme circumstances of an apocalyptic crisis, both ethical environment and ethical identity undergo profound changes. The novel's construction of the ethical identity of defenders of environmental justice and their ethical choice of "thinking with water" express Ballard's blue humanistic vision of "revering nature and protecting the ocean."

**Keywords:** J. G. Ballard; *The Drought*; ecological ethics; toxic discourse; blue humanities

**Author:** Jiang Huiling is Associate Professor at the Department of World Languages, Dalian University of Foreign Languages (Dalian 116044, China). Her academic research focuses on 20<sup>th</sup> century British literature (Email: huilingjiang@126.com).

作为英国科幻新浪潮的领军人物，J.G. 巴拉德（J. G. Ballard）于 20 世纪 60 年代初凭借“生态灾难四部曲”声名鹊起，即《空穴来风》（*The Wind from Nowhere*, 1961）、《沉没的世界》（*The Drowned World*, 1962）、《燃烧的世界》（*The Burning World*, 1964；又名《干旱》，*The Drought*, 1965）以及《结晶的世界》（*The Crystal World*, 1966）。在这些小说中，地球接连遭到风、洪水、干旱与结晶化现象的毁灭性打击。“这四部作品中的每一部（……）都描绘了当代文明被一种古典元素（分别对应气、水、火、土）摧毁的过程”（Firsching 297），这些小说从不同角度呈现了气候灾难和生态危机，意在对人活动对地球造成的危害提出警示。其中，《干旱》讲述了一场史诗级的大旱将人类推向灭绝的边缘，通过主人公查尔斯·兰塞姆（Charles Ransom）的视角审视末日危机，呈现人类为获取水资源而挣扎求生的各种状态。已有学者如詹克·谭（Cenk Tan）和法特玛·甘泽·埃尔坎（Fatma Gamze Erkan）等从生态批评视角阐释了小说对人类中心主义的批判<sup>1</sup>，但鲜有研究关注到小说的生态伦理表达。“文学伦理学批评同生态批评相结合，为我们在处理同大自然关系时如何选择提供了新的思路”（聂珍钊，“从人类中心主义到人类主体” 23），《干旱》中的生态伦理所表达的警示和教诲意义不容忽视。巴拉德用毒物话语书写海洋生态危机，揭示人为化学污染的渗透性危害；通过建筑师资本家理查德·洛马克斯（Richard Lomax）以及环境正义捍卫者如奎尔特（Quilter）和凯瑟琳·奥斯汀（Catherine Austen）等人物的塑造，呈现了不同的伦理身份和伦理选择，表达了保护海洋生态、修复和谐自然的蓝色人文愿景。

1 参见 Cenk Tan, *An Ecological Study of J. G. Ballard's Climate Fiction Novels*, Pamukkale University, PhD dissertation, 2019; Fatma Gamze Erkan, *Challenging Anthropocentrism in Eco-Science Fiction Novels*, Cambridge: Cambridge Scholars Publishing, 2024.

## 一、毒物话语叙事与海洋生态危机根源

“毒物话语”（toxic discourse）由美国生态批评的先锋人物劳伦斯·布伊尔（Lawrence Buell）于2001年提出，又被译为“毒性话语”<sup>1</sup>或“有毒书写”<sup>2</sup>，其定义为“由于人为化学改造引起的环境危害威胁感知而产生的焦虑”（31）。文学批评中的“毒物话语”既是对生态症候的描绘，也是由个体与社会的焦虑所驱动的叙述形式；它揭示人与环境互动的复杂性，并承载鲜明的伦理诉求。学界通常将其历史语境追溯至冷战或核时代，而其最直接、最具标志性的思想渊源，则来自蕾切尔·卡森（Rachel Carson）在《寂静的春天》（*Silent Spring*, 1962）中对化学污染所绘制的图景。“毒物话语”并不排斥生态整体主义的价值目标，亦肯认其对人类与地球福祉的积极意义。人类“能够作出正确的伦理选择，找到生态危机的解困之路”（聂珍钊，“从人类中心主义到人类主体”，23），作为一种强调“人与自然和谐共生”的生态伦理，生态整体主义批判人类中心主义，但并不否认人的主体性与能动性。

《干旱》开篇即以毒物话语勾勒出自然临终的震撼等戏剧性图景：水面上漂浮的死鸟、遭污染的泥岸，以及将奎尔特比作“农牧神”的意象，共同预示一场在全球范围蔓延的生态浩劫：

中午时分，查尔斯·兰塞姆医生把他的船屋停泊在河口时，看到了奎尔特，那个住在游艇码头外摇摇欲坠的驳船上的老妇人的傻儿子，正站在对岸一块露出水面的岩石上，对着漂浮在他脚下水面上的死鸟微笑。他那肿胀的脑袋的倒影，在松软的羽毛间像一团变形的光晕般晃动着。布满泥块的河岸上散布着纸片和浮木，在兰塞姆看来，面如梦境的奎尔特就像一个发疯的农牧神，在为这条河失去的灵魂哀悼时，把树叶撒在自己身上。（Ballard 17）<sup>3</sup>

美国生态学者和环境保护主义者奥尔多·利奥波德（Aldo Leopold）认为，大地伦理将共同体的边界扩大到包括土壤、水、植物和动物，或者统称为：大地<sup>4</sup>，“水与土壤一样，都是能量循环的一部分”（Leopold 217），水是生命

1 参见 刘娜：“生态批评视野中的毒性话语”，《江西社会科学》7（2019）：231-238；张桃红：“论金斯伯格诗歌中的跨躯体毒性景观书写及其环境伦理表达”，《世界文学研究论坛》5（2024）：1002-1012。

2 参见 华媛媛：“重构生态批评的毒性转向：人类世科幻小说中的有毒书写与共生伦理”，《中国比较文学》3（2025）：26-37。

3 本文有关《干旱》的引文均出自笔者拙译，引文均来自 J. G. Ballard, *The Drought* (New York: Liveright Publishing Corporation, 2012)。以下引文仅标注页码，不再一一说明。

4 参见 Aldo Leopold, *Sand County Almanac and Sketches Here and There*, Oxford: Oxford University Press, 1949.

力与孕育力的象征。因此，这条维系着地球上所有生物生存的河流日渐干涸，其灵魂不复存在，遂使其与其他有机体之间的能量联结被切断，众生之魂亦随之枯萎。巴拉德对濒临死亡的自然描绘在小说后文中反复出现：

在最后一个早晨，他醒来时发现船屋搁浅在一个小海湾的尽头。满是死鸟和死鱼尸体的泥坡在他上方延伸，宛如梦境中的海岸。（……）在过去的三个月里，河水下降了约二十英尺，水量缩减到不到原来的四分之一。随着河水水位下降，似乎一切都被它拉扯着。如今，两岸就像相对而立的悬崖，许多河边房屋的烟囱上悬挂着倒扣的帐篷。这些帆布罩原本是设计用来接雨水的——尽管从未有雨水落入其中——现在却变成了一排空中垃圾收集器，里面盛着的尘土和树叶，就像供奉给太阳的祭品一样高高扬起。（18、20）

自然环境发生的巨大变化让人触目惊心。河流的水位已下降到了极其危险的程度，它们看上去已不再像河流，而更像是叙述者所描述的垃圾场和尘暴区。水的缺失立刻对鸟类和鱼类等动物产生了影响，它们开始走向灭绝。死鱼和死鸟的画面预示着人类的灭亡。

巴拉德在小说中频繁使用与干旱、炎热和火焰相关的词汇，始终将读者的注意力聚焦于逐渐恶化的环境。巴拉德将太阳比喻成在澄澈的天空中闪耀的魔鬼，其热浪像华盖般笼罩万物，暗示世界已沦为人间炼狱。正如地狱之火焚毁一切，太阳的灼热高温引发森林火灾，破坏生态系统与所有生物。大火产生的浓烟与火焰对森林和动物园中的动物造成致命影响，部分动物死亡。巴拉德频繁刻画动物尸体，展现了水资源的匮乏已开始危害所有生灵。由于气候变化，深邃而广阔的海洋已经被灼热而压抑的沙漠所取代。在退去的海洋中，幸存者努力从压抑的沙漠中找到避难所和相对安全的地方。巴拉德亦从视觉与听觉层面构筑末日危机：遍地的死鸟与死鱼昭示干旱日益加剧；伴随水位不断下降而此起彼伏的轮船警笛，提醒人们危险即将到来。这些画面与声音交织，共同营造出末日迫近的紧迫感。

“毒物话语”的核心是对人为化学污染及其渗透性危害的焦虑与指控。小说明确揭示，干旱的根源来自工业污染：“覆盖全球海洋近岸水域、距海岸约一千英里范围的，是一层稀薄却坚韧的单分子膜。这层膜由复杂的饱和长链聚合物复合物构成，源于过去五十年间排入海洋盆地的大量工业废料，在海洋中自然生成。它质地坚固且可渗透氧气，平铺于空气与水的界面上，几乎能阻止所有表层水分蒸发至上方空气中”（47）。小说中提到，多年来人类一直向海洋倾倒工业废料、有毒化学品，以及浓度达到危险水平的核废料仍在持续排入海洋。所有这些污染物通过一种新的化学过程相互作用，形成了覆盖全球海洋的超薄却异常坚固的聚合物，进而引发干旱。巴拉德对工业

污染被排入海洋的刻画，与蕾切尔·卡森在《寂静的春天》中发出的警示相呼应：“人类对环境最令人担忧的破坏，便是用危险乃至致命的物质污染空气、土壤、河流与海洋。这类污染在很大程度上是无法挽回的；它所引发的恶果链条——不仅存在于维系生命的自然环境中，更存在于生物组织内部——在绝大多数情况下都不可逆转”（Carson 11）。

兰瑟姆的旅程与灾难性气候变迁中其他幸存者的行程相互平行。值得注意的是，巴拉德在以毒物话语书写遭破坏的自然时，并不回避对往昔美好时光的召唤，从而与当下的末日危机形成强烈对照：

这片曾经长达三十英里、清澈开阔的湖泊，如今已退化成了一连串由排水后的泥岸分隔开来的小水塘和水道。几艘最后的渔船在其间孤寂地航行着，船员们默默地站在船头。（……）正常情况下，在夏末时节，这条河的宽度差不多会有三百英尺，但现在却不到这个宽度的一半了，成了一条散发着恶臭的小溪，蜿蜒流淌在两岸平坦的沟渠中。（18-19）

昔日那片广袤的水域，如今只剩干硬的泥岸。巴拉德之所以特意提及过去，正是为了在读者脑海中勾勒出河床日渐收缩、自然逐步凋敝的震撼图景。

## 二、末日伦理身份解构与人类中心主义批判

如前文所述，干旱并非自然现象，而是工业废料排放导致的连锁反应，海洋形成的聚合物成为“自然的报复”，揭示人类对环境的无度索取终将引发不可逆的生态危机，涉及到人与自然关系中的伦理问题。“文学伦理包括了人与自然、人与宇宙间的道德关系”（聂珍钊，《文学伦理学批评导论》13），生态伦理批评“对文学中涉及的生态伦理问题进行研究，强调人类对自然的道德关怀和对人类自身的道德约束”（聂珍钊等 155），其目的是教诲和警示。生态伦理顺应了文学批评的“伦理转向”（杨革新 53），是文学伦理的一个重要方面，关乎人类在社会化活动过程中对环境造成的影响及其所肩负的保护环境的伦理责任。伴随着生态危机日益加重，小说人物原本的伦理身份所赋予的责任与义务不复存在，其“作为文明社会中的人的身份”（蒋文颖 628）遭了解构，赤裸裸的人类中心主义行径愈发显露出来。

在干旱危机的压迫下，人物的伦理身份发生了显著位移。巴拉德擅长通过书写人物的内在空间来表达人物的内心感受以及对现代社会的批判。作为故事的主要人物，兰瑟姆原本为一名医生（其姓氏“Ransom”有“救赎”之意），和妻子朱迪斯（Judith）已分居。当人们由于水资源短缺纷纷逃往沿海地区时，他选择留守船屋，独自见证这场世界末日。随着河流的干涸，兰瑟姆经历了心理上的空虚感：

这所房子反映出了家庭和个人层面的空虚。那些中性色调的家具和装饰,就像汽车旅馆里的一样毫无个性,也没有任何情感关联——实际上,兰塞姆意识到,他无意识地选择这些家具和装饰正是出于这个原因。从某种意义上说,这所房子是一个时空真空的完美模型,由河上船屋里那个私人的平行宇宙插入到了他的生活连续体中。在房子里走来走去时,他感觉自己更像是一个被遗忘的访客,而不是房子的主人,像是自己那模糊且越来越难以捉摸的影子。(44)

在灾难发生的过程中,兰塞姆逐渐与周围环境失去了联系,变得孤立无援。因此,河流的干涸象征着兰塞姆过去身份的消逝。巴拉德清晰地展现了世界末日前后人类生活的差异。在自然灾害发生之前,生活是积极而有意义的;但在干旱之后,作者描绘出的是一幅自我孤立、抑郁和逃避现实的景象。

更显著的伦理身份变迁发生在建筑师理查德·洛马克斯和牧师霍华德·约翰斯通(Howard Johnstone)身上。洛马克斯虽是一位建筑师,但他并没有以一技之长很好地服务于他人和社会,相反却十分贪婪且张扬,其后资本主义价值观使他在末日危机中试图占有和控制水源,进而将其作为一种对他人实施霸权的主要手段来滥用。在留守期间,他和兰瑟姆在“自然平衡”问题上进行争论:

“整个自然的平衡已经——”洛马克斯不耐烦地打了个响指,“查尔斯,别跟我谈什么自然平衡!要不是像我这样的人,我们现在还都住在泥屋里呢。”他阴沉地盯着城市,“从那堆可怕的东西来看,这也算是件好事。我是说那边皇家山(Mount Royal)发生的事情?我猜现在大多数人都已经离开了吧?”“十有八九。可能更多。他们在那儿没什么未来了。”“你错了。那儿有很大的未来,相信我。”(……)“那你呢,查尔斯?你为什么还留在这儿?我不明白你为什么不与其他人一起去海岸。”“你不明白吗,理查德?我觉得你可能明白。也许我们俩都有一些未了结的事情要处理。”(62)

从以上对话可以看出,尽管灾难仍在继续,洛马克斯似乎并不关心环境,他不想听任何关于自然平衡的伦理言论。他是一个极端以人类为中心的人物,因为自己是建筑师,便自认为是人类的救世主。正如在与兰瑟姆的交谈中承认自己“头脑中没有道德的概念”(62),洛马克斯从未接受干旱这一环境恶化的现实,在非常时期仍办烟火秀炫资源。他是人类中心主义的典型代表,而这种思维正是灾难的真正根源。

和洛马克斯是一丘之貉的还有牧师霍华德·约翰斯通,他脾气火爆,性格倔强,缺少同情心。在他的倡议下,一些自流井被钻开,民兵被召集起来

保护教堂，实则阻止人们通过高速公路去往海岸。当他得知有人从教堂的圣水器偷水喝时，便大吼着冷嘲热讽，并驱赶他返回自己的街区。约翰斯通和洛马克斯在价值观和思维方式上站在同一阵营：

当约翰斯通在大道尽头让他下车时，他（兰瑟姆）松了一口气。在他们右边，俯瞰河口处，是理查德·福斯特·洛马克斯拥有的那座玻璃和混凝土建造的豪宅。在室外游泳池的一端，一个喷泉在明亮的空气中喷出一道道彩虹般的水花。洛马克斯趾高气扬地站在游泳池边，双手插在白色丝绸西装的口袋里，用尖刻的声音嘲讽地叫着水里的某个人。约翰斯通评论道，“虽然我很讨厌洛马克斯，但他确实证明了我的观点。（……）记得，查尔斯，慈善不应该太容易给予！”（42）

一方面，理查德·洛马克斯的富裕资本家形象得到充分展示：他将物质财富置于一切之上，在严重缺水的情况下，他仍住在一座豪华的大宅里，拥有喷泉和游泳池等一切他能得到的东西；另一方面，约翰斯通牧师认为洛马克斯证明了自己的观点，可见他们存在着某种一致性，即极端自私自利。而且，作为牧师，他认为干旱和火灾承担着净化社会的神圣使命，这是十分荒谬的。

在极度干旱的末日危机下，兰瑟姆一行人极力寻找水源求生，而洛克马斯则成为水资源的占有者和霸权者，他们的伦理身份均已发生变迁，双方存在着尖锐的矛盾和冲突。在小说最后一章，当兰塞姆等人被迫迁徙，在混乱成难民营的海岸艰难生存五年后重返荒芜破败的皇家山遗址时，他们得知洛马克斯早已知晓城市地下的隐秘水源储备，过去一直依靠这些水生存，并掌控着剩余的水资源，以此支配身边的人。洛克马斯得知兰塞姆和同伴并未从沿海带来水源，反倒前来求助，他唯利是图的原形毕露：“洛马克斯猛地扯下假发塞进衣袋。‘让他们走！我厌倦了当海神涅普顿。这是我的水，是我找到的，我要自己喝！’”（221）兰塞姆将其形容为“毒蛇”，他试图在“这片尘土飞扬的伊甸园”中夺回属于自己的“苹果”，哪怕只是短暂地留住干旱前的世界。毒蛇是撒旦的象征，代表着狡诈、邪恶、阴险与危险。在特定伦理环境下，洛马克斯的伦理身份变成水资源私有者，这决定了他的伦理选择是通过控制稀缺的水资源对他人施以霸权，也注定了他最终遭到反抗的后果。在小说的最后，长期遭受欺凌的奎尔特愤然摧毁了洛马克斯的储水池，并致洛马克斯坠井，这一针对旧秩序的破坏行为是成长起来的奎尔特伦理选择的结果。这一行为发生后不久，天空下起了雨，虽然未被早已习惯干旱的人们所察觉，但却象征着新秩序的诞生。

### 三、“与水共思”的伦理选择与蓝色人文伦理身份建构

海洋覆盖了地球表面的绝大部分，海洋生态关系着地球命运的未来。新

世纪以来，历史学家和人文地理学家开启了由“陆地中心主义”向以海洋为中心的“海洋转向”<sup>1</sup>，并在近年来继续发展。例如，南丹麦大学教授索伦·弗兰克（Soren Frank）论述了海洋在世界文学和艺术发展史中所起的作用，涉及到“技术中心主义”（technocentrism）与“地球中心主义”（geocentrism）<sup>2</sup>。土耳其学者瑟普尔·奥伯曼（Serpil Oppermann）进一步拓展了她在生态批评与环境人文学领域的研究视野，认为“蓝色人文学”通过物质—话语和社会文化的双重视角，全面分析人类与水体之间的复杂关系，并指出人类与水的关系呈现为一个多维交织的叙事网络，涵盖了生物、地质、化学、气候、经济及社会政治等多种力量的交互作用<sup>3</sup>。奥伯曼通过结合“与水共思”（thinking with water）和“物质生态批评”（material ecocriticism）的理论视角论述人类与水体的互动关系，为《干旱》的生态伦理解读带来启发。

受新物质主义和行动者网络理论影响，奥伯曼强调水具有“施事能力”。水不是人类活动的被动接受者，而是积极地塑造着地貌、气候、生命形式以及人类社会。“与水共思”不仅把水看作一种资源，而认为水塑造了我们对世界的理解，水是我们认知和行动的参与者与合作者。由此，水并非被动的物质，而是拥有自己的“故事”和“历史”。水的流动、循环、蒸发、凝固，以及它携带的化学物质、污染物和基因信息，构成了复杂的“水叙事”。在《干旱》中书写被破坏的环境时，巴拉德屡次提及末日前的美好，强调曾经那片广阔的水域如今已变成了坚硬的泥岸。巴拉德让水来讲述故事和历史，在读者脑海中勾勒出一幅河床逐渐变窄、大自然逐渐衰败的震撼画面，并引发读者思考背后的深层原因。

干旱和洋流变化等都是水以其物质力量参与世界塑造、对人类文明做出回应的方式。水通过全球水循环和生命代谢，将所有人、生物、生态系统和历史时期连接成一个巨大的跨躯体网络。我们饮用的水可能曾是大洋的一部分，这种深刻的物质联系是生态伦理的基础：伤害水循环的某一部分，最终会伤害到网络中的其他部分，包括人类自己。小说中奎尔特和他的孩子们是后末日新世界秩序的代表，他们身体的畸形或许是人类基因开始退化的标志。小说结尾“下雨”的现象为末日危机下海洋与人的关系带来转机，呈现出蓝色人文愿景；然而这一愿景的真正实现则需要伦理选择来完成。“伦理身份具有显著的客观性，但是它没有否定人的主观能动性。人的伦理身份不是本质主义的，它可以通过伦理选择进行建构或解构”（蒋文颖 629），小

1 参见 王松林：“‘蓝色诗学’：跨学科视域中的海洋文学研究”，《解放军外国语学院学报》3（2023）：35-43+160。

2 参见 Soren Frank, *A Poetic History of the Oceans: Literature and Maritime Modernity*, Leiden: Brill, 2022.

3 参见 Serpil Oppermann, *Blue Humanities: Storied Waterscapes in the Anthropocene*, New York: Cambridge University Press, 2023.

说主要人物奎尔特就是通过伦理选择完成伦理身份的建构。奎尔特患有脑积水，他在小说中始终与水共思，扮演着关键角色。他虽然外表怪诞，但内心聪慧、隐忍果决。在干旱危机和洛克马斯的欺凌压迫下，他选择留守，在关键时刻毅然决然采取行动，最终完成了生存自保和反抗不公的双重使命。

毒物话语揭示了人类世背景下海洋生态系统所面临的严峻危机，包括海水化学性质的改变和环境污染事件，如石油泄漏和有毒废物倾倒入海等，对海洋生物群落产生显著的负面影响。蓝色人文学将焦点集中于濒危海洋景观的保护与修复，同时呼吁人们关注人类世中的全球海洋问题。巴拉德注重在《干旱》中设立环境正义者形象，如凯瑟琳·奥斯汀和菲利普·乔丹（Philip Jordan）。他们也通过“与水共思”的伦理选择，完成了伦理身份的建构。凯瑟琳是干旱灾难前的动物园管理员，在末日危机下，她不顾自身安危留在动物园保护动物，直到事态失控才撤离。当兰瑟姆告诉她要理智，并说洛克马斯提供水并非出于慈善，而是打算利用这些动物为自己谋利时，凯瑟琳回答说，只要还有食物和水，她就不会抛弃这些动物让它们死去。同样，菲利普·乔丹也是一个努力拯救受伤害的鸟类和鱼类的角色。他喜爱野生动物，作为“水鸟之友”，当他在油污废水中发现了一只垂死的天鹅时，他请求兰瑟姆帮忙寻水拯救。在缺水的条件下，乔丹优先考虑拯救一只垂死的天鹅，可见他对野生动物的珍视。

水作为叙事主体所讲述的故事，不仅揭示了人类与自然的复杂关系，还为应对生态危机的潜在路径提供了新的视角与可能性。<sup>1</sup>“与水共思”就是去阅读和倾听这些叙事：被污染的海洋和干旱记录着工业史、生产实践和社会政策。巴拉德在《干旱》中探讨了人类如何应对自己造成的自然灾害或环境变化，尤其关注大规模、系统性的变化如何影响人物的内心世界。《干旱》的结局是开放且模糊的，在小说的最后几行，巴拉德写道：

虽然还不到中午，但太阳似乎正在向天空深处退去，空气也逐渐变得寒冷起来。令他惊讶的是，他注意到自己在沙地上不再投下任何影子，仿佛他终于完成了多年来在内心深处进行的穿越之旅。随着光线渐暗，空气变得愈发黑暗。尘土暗淡无光，表面的晶体失去了光泽，变得浑浊不清。一片巨大的黑暗笼罩着沙丘，仿佛整个外部世界都在失去它的存在。过了一段时间，他没有注意到天已经开始下雨了。（257）

巴拉德为《干旱》设计的结局很凄凉，但作者也透露了一些生态恢复的迹象：太阳以一种无法解释的方式向天空退去，气候变得凉爽起来，最终天空开始下起雨来。然而，兰瑟姆似乎没有察觉到正在下雨，因为他的精神状态还没

1 参见 汤越：“蓝色人文与水叙事研究——瑟普尔·奥伯曼《蓝色人文学：人类世中的故事水景》导读”，《生态美学与生态批评通讯》5（2025）：A1-A12。

有准备好去感知这场雨。雨象征着自然的重生和复兴，人类见证了旧秩序的消亡，随后迎来的是一个新的、但模糊且难以解释的秩序。这个新世界秩序带来了许多未知，同时也带来了建设更美好未来的希望。尽管包括人类和各种动物在内的许多生物遭到了毁灭，但自然正在自我恢复和更新。“蓝色人文”理念昭示了解决生态危机的根本方向：人类必须摒弃干预和主宰的自然观，学会“与水共思”，达成“与水共生”。

巴拉德的小说《干旱》以毒物话语展开叙事，明确表明海洋生态因工业废物的排放遭到破坏，从而引发末日危机。小说通过描绘自然崩溃和文明崩塌下的衰败和荒乱景象，揭示了伦理环境和人物伦理身份的变迁，彰显了巴拉德“人与自然和谐共生”的生态伦理观，隐含着对人类中心主义的批判。现代工业使人类社会繁荣，但当工业的副产品导致重大气候变化时，最终导致的必然是人类社会的衰落。伦理身份既是伦理选择的结果，又是伦理选择的前提和基础。“与水共思”的伦理选择帮助建构环境正义者的伦理身份，其实践和行动昭示着蓝色人文愿景。在全球语境下，“与水共思”的伦理选择挑战了西方现代性对水的单一、工具化理解，呼吁聆听多元文化中关于水的宇宙观和生存智慧。巴拉德通过毒物话语叙事警醒人类保护海洋生态以在未来更好地生存，具有深刻的现实意义：我们必须在为时过晚、失去一切之前采取行动，扭转生态危机，构建一个与海洋生态和自然环境和谐共生的新世界秩序。

### Works Cited

- Ballard, J. G. *The Drought*. New York: Liveright Publishing Corporation, 2012.
- Buell, Lawrence. *Writing for an Endangered World*. Cambridge: Harvard UP, 2001.
- Carson, Rachel. *Silent Spring*. New York: Houghton Mifflin Company, 1962.
- Erkan, Fatma Gamze. *Challenging Anthropocentrism in Eco-Science Fiction Novels*. Cambridge: Cambridge Scholars Publishing, 2024.
- Firsching, Lorenz J. and R. M. P. "J.G. Ballard's Ambiguous Apocalypse." *Science Fiction Studies* 3 (1985): 297-310.
- Frank, Soren. *A Poetic History of the Oceans: Literature and Maritime Modernity*. Leiden: Brill, 2022.
- 华媛媛：“重构生态批评的毒性转向：人类世科幻小说中的有毒书写与共生伦理”，《中国比较文学》3（2025）：26-37。
- [Hua Yuanyuan. "Reframing the Toxic Turn in Ecocriticism: Toxic Writing and Symbiotic Ethics in Anthropocene Science Fiction." *Comparative Literature in China* 3 (2025): 26-37.]
- 蒋文颖：“文学伦理学批评关键词：伦理身份”，《文学跨文科研究》4（2022）：622-630。
- [Jiang Wenying. "Keyword of Ethical Literary Criticism: Ethical Identity." *Interdisciplinary*

*Studies of Literature* 4 (2022): 622-630.]

Leopold, Aldo. *Sand County Almanac and Sketches Here and There*. Oxford: Oxford UP, 1949.

刘娜: “生态批评视野中的毒性话语”, 《江西社会科学》7 (2019): 231-238。

[Liu Na. “Toxic Discourse in the Perspective of Ecocriticism.” *Jiangxi Social Sciences* 7 (2019): 231-238.]

Lorenz J. Firsching and R. M. P. “J.G. Ballard’s Ambiguous Apocalypse.” *Science Fiction Studies* 3 (1985): 297-310.

聂珍钊: “从人类中心主义到人类主体: 生态危机解困之路”, 《外国文学研究》1 (2020): 22-33。

[Nie Zhenzhao. “From Anthropocentrism to Human Subjectivity: A Possible Solution to Ecological Crises.” *Foreign Literature Studies* 1 (2020): 22-33.]

——: 《文学伦理学批评导论》。北京: 北京大学出版社, 2014年。

[—, *Introduction to Ethical Literary Criticism*. Beijing: Peking UP, 2014.]

聂珍钊、王松林: 《文学伦理学批评理论研究》。北京: 北京大学出版社, 2020年。

[Nie Zhenzhao and Wang Songlin. *A Study on the Theory of Ethical Literary Criticism*. Beijing: Peking UP, 2020.]

Oppermann, Serpil. *Blue Humanities: Storied Waterscapes in the Anthropocene*. New York: Cambridge UP, 2023.

Tan, Cenk. *An Ecological Study of J. G. Ballard’s Climate Fiction Novels*. Pamukkale University, PhD dissertation, 2019.

汤越: “蓝色人文与水叙事研究——瑟普尔·奥伯曼《蓝色人文学: 人类世中的故事水景》导读”, 《生态美学与生态批评通讯》5 (2025): A1-A12。

[Tang Yue. “Blue Humanities and Water Narrative Studies: An Introduction to Serpil Oppermann’s *Blue Humanities: Storied Waterscapes in the Anthropocene*.” *Newsletter on Ecoaesthetics and Ecocriticism* 5 (2025): A1-A12.]

王松林: “‘蓝色诗学’: 跨学科视域中的海洋文学研究”, 《解放军外国语学院学报》3 (2023): 35-43+160。

[Wang Songlin. “Blue Poetics: An Interdisciplinary Approach to Sea Literature.” *Journal of PLA University of Foreign Languages* 3 (2023): 35-43+160.]

杨革新: “从伦理批评到文学伦理学批评: 美国伦理批评的困境与出路”, 《上海师范大学学报》(哲学社会科学版) 1 (2019): 50-57。

[Yang Gexin. “From Ethical Criticism to Ethical Literary Criticism: The Dilemma and Prospects of American Ethical Criticism.” *Journal of Shanghai Normal University (Philosophy & Social Sciences Edition)* 1 (2019): 50-57.]

张桃红: “论金斯伯格诗歌中的跨躯体毒性景观书写及其环境伦理表达”, 《世界文学研究论坛》5 (2024): 1002-1012。

[Zhang Taohong. “On the Trans-corporeal Toxic Landscape Writing and Its Environmental Ethical Expression in Ginsberg’s Poetry.” *Forum for World Literature Studies* 5 (2024): 1002-1012.]

# 安妮·恩莱特《鹪鹩，鹪鹩》中生态亲密关系的祛魅与重建

## Disenchantment and Reconstruction of Ecological Intimacy in Anne Enright's *The Wren, The Wren*

孙艳萍 (Sun Yanping) 周城伊 (Zhou Chengyi)

**内容摘要:** 安妮·恩莱特的小说《鹪鹩，鹪鹩》交织书写人际亲密关系与生态亲密关系，经历失落、幻象、祛魅与重建的四个阶段，建构了一种具有深刻伦理关怀的生态叙事。面对人际与生态亲密关系的双重分离，小说先解构了浪漫主义田园想象中基于情感投射的融合幻象，继而揭示了唯美主义诗歌语言在伦理维度的缺席，最终以接纳分离、尊重存在的态度重构亲密关系。恩莱特超越了浪漫主义自然观中“重返自然”的怀旧范式，转而倡导一种立足于差异、责任与持续回应的生态亲密关系伦理。

**关键词:** 安妮·恩莱特；《鹪鹩，鹪鹩》；生态亲密关系；文学伦理学批评

**作者简介:** 孙艳萍，浙江大学外国语学院副教授，主要研究方向为英美文学、外语教学；周城伊，浙江大学外国语学院博士研究生，主要研究方向为英美文学。本文为教育部人文社会科学研究一般项目“战后英国小说的底层叙事和全人类共同价值研究”【项目批号：23YJA752010】的阶段性成果。

**Title:** Disenchantment and Reconstruction of Ecological Intimacy in Anne Enright's *The Wren, The Wren*

**Abstract:** Anne Enright's *The Wren, The Wren* constructs an ecological narrative with deep ethical concern by weaving interpersonal intimacy with human-nature intimacy. The narrative traces a four-stage journey from loss, illusion, disenchantment to reconstruction. While the dual disruptions of interpersonal and ecological intimacy await reparation, the novel reveals that the Romantic pastoral imagination of merging with nature is but an illusion of affective projection, and the lyrical poetic language is aestheticized without ethical concerns. Such disenchantment eventually leads to a reconstruction of double intimacy based on an acceptance of separation and a respect for pure existence. The novel transcends the nostalgic paradigm of “returning to nature” in Romantic view of nature and instead

advocates an ethics of ecological intimacy grounded in separation, responsibility, and sustained responsiveness.

**Keywords:** Anne Enright; *The Wren, The Wren*; ecological intimacy; ethical literary criticism

**Authors:** Sun Yanping is Associate Professor of English at School of International Studies, Zhejiang University (Hangzhou 310058, China). Her major research areas are British and American literature, and foreign language teaching (Email: pearlsyp@163.com). Zhou Chengyi is a Ph.D. Candidate at the School of International Studies, Zhejiang University (Hangzhou 310058, China). Her research area is British and American literature (Email: royseve@163.com).

从凯尔特时代起，爱尔兰文学一直持续书写着人与自然之间关系的变化。在20世纪初期，爱尔兰作家出于反抗殖民统治及工业文明异化的目的，往往将西部乡村、荒原与海岸描绘为优美而治愈的伊甸园或黄金乡，表现出怀旧的田园情结。<sup>1</sup>然而，进入21世纪后，这种浪漫主义自然观的局限日益凸显。城市与田园二元对立的模式已难以涵盖人与自然关系的复杂性，新的生态书写模式亟待形成。对此，安妮·恩莱特（Anne Enright）在小说《鸫鹛，鸫鹛》（*The Wren, The Wren*, 2023）<sup>2</sup>中进行了一次积极的文学探索。她以当代爱尔兰为背景，讲述了麦克达拉家三代人的经历，通过女儿内尔、单身母亲卡梅尔以及诗人外祖父菲尔的多视角叙述，反思人际亲密关系以及人与自然关系的双重困境。

这种双重性与心理治疗师玛丽·简·拉斯特（Mary-Jayne Rust）提出的“生态亲密关系”（ecological intimacy）相契合。该概念主张人类与自然的关系与人际亲密关系具有同质性，是一种需要“恢复”和“维系”的互惠关系（152-153）。借助这一视角，可以跳出以往生态批评偏重的物质与情感维度，从关系伦理切入，进而探讨小说所引发的若干问题：恩莱特通过三代人的生命经验，并置人际分离与生态分离，揭示二者共同的存在基础；作家借助对田园想象与诗歌语言的叙事性解构，挑战传统浪漫主义将自然客体化、审美化的倾向；随着叙事的推进，小说亦暗示一种更具伦理意涵的“生态亲密关系”。探讨这些问题将有助于揭示《鸫鹛》如何为爱尔兰田园书写传统注入鲜明的当代关切与伦理反思，从而为理解后浪漫主义时代的自然叙事开辟新的文学与思想路径。

1 参见 Oona Frawley, *Irish Pastoral: Nostalgia and Twentieth-century Irish Literature*, Dublin: Irish Academic Press, 2005.

2 小说以下简称《鸫鹛》。本文有关小说的引文均来自 Anne Enright, *The Wren, The Wren* (London: Vintage, 2023)。中文由笔者翻译，引文仅标明页码，不再一一说明。

## 一、人际与生态亲密关系的双重分离

《鹧鸪》开篇借主人公内尔之口，提出了贯穿全书的命题：亲密关系的分离。分离首先在人际层面显现。基于罗素·T·赫尔伯特（Russel T. Hurlburt）探查个体思维活动的心理实验<sup>1</sup>，内尔引出了人与人之间存在心理空隙的话题。她回忆道：“小时候，我还以为我们都是一样的。比如说，我有心灵感应，你也有心灵感应，那多美好啊”（5）。成长让她意识到，“每个人之间都有一道空隙”（4），“当发现事实并非如此时——那感觉真难受，非常孤独”（5）。恩莱特曾在采访中指出，意识到人与人的脱节是一种典型的童年经验，是“个性化必经的过程”（Bracken 25）。无论作者还是人物的叙述，都指向儿童心理发展中的“分离-个体化过程”<sup>2</sup>——经历主客体分离后，个体开始承认自我与他者的独立性。通过援引科学的心理实验，《鹧鸪》将内尔的个体成长经验，上升为人类发展过程中的普遍存在境况。

这种分离的阵痛也深刻体现于生态关系之中。菲尔出生于爱尔兰中部奥法利郡的塔拉莫尔，在城外的乡村长大。他以第一人称讲述了几时全村捕杀獾的经历。在30年代的爱尔兰农村，獾因破坏农作物而被视为害兽。当年幼的菲尔目睹镰刀挥向幼獾时，他与幼獾之间产生了某种难以言喻的亲密联结：“我看着这只动物的眼睛，它也看着我的，我们完全理解彼此。獾懂我，就像它懂得自己即将死去。在那一刻，我们比世间任何生命都要亲密”（188）。他后来感慨：“我生命中的一切，无论是此前还是此后，都未曾有过那样的联结”（192）。小菲尔与獾的共情建立在双方作为平等自然生命的基础上，而人类生存与发展的需求如同那把镰刀，为了消除威胁，斩断了人与自然的亲密联结。置于人类发展史的宏观视野，此次断裂象征着整个人类群体与自然分离。在早期阶段，人类与自然之间并无明确的主客之分。正如英国人类学家提姆·英格尔德（Tim Ingold）所指出的，狩猎采集社会中的人并非“在自然中生活”，而是“作为自然的一部分生活”（40）。随着农牧业的出现，人类通过定居、耕作与技术改造自然。当自然成为被管理与占有的对象，人与自然的原初联结便如菲尔与獾的关系一般被斩断。

到了内尔一代，工业化与城市文明进一步加剧了双方的疏离。在她眼中，城市是后工业时代的奇异景观：“六棵巨大的松树，赤红的树干，伸展的枝桠”，整个建筑群不得不围绕着它们而建，宛如一座“自然的博物馆”（7）。在此场

1 罗素·T·赫尔伯特是美国内华达州立大学心理学家，主要从事人的内在意识研究。他开创了描述性经验取样法（Descriptive Experience Sampling），旨在捕捉和分析个体在日常生活中的心理体验。这一方法要求受试者随身佩戴呼叫装置，在装置响起时记录下此刻的心理体验。参见 Russell Hurlburt and Eric Schwitzgebel, *Describing Inner Experience? Proponent Meets Skeptic*, Massachusetts: The MIT Press, 2007.

2 参见 Margaret S. Mahler, *The Psychological Birth of the Human Infant: Symbiosis and Individuation*, London: Routledge, 1975.

景中，树木被比作博物馆中的展品，成为了居伊·德波（Guy Debord）笔下“景观社会”的一部分。如德波所言，景观社会里“曾经亲历的一切都成了纯粹的表征”（12），小说用树木的表征化揭示了人对自然的支配逻辑——自然被纳入人为设计的秩序中，变成城市空间中的装饰符号，二者原本可能的共生关系随之终结。与此同时，人自身也深陷在异化的处境之中。内尔接着反省道，“当我们懒洋洋地待在混凝土小盒子里时，这些树对我们而言是一种责备”（7）。“混凝土盒子”般的封闭空间不仅是一种物理隔离，更构成了心理上的规训空间<sup>1</sup>，形塑着工业文明中的生活形态，使人在日常实践中习惯远离自然的生活方式，陷入自我囚禁。文中“懒洋洋”的态度则反映了异化环境下人失去主体身份的消极状态。如聂珍钊所言，生态领域“有关人类中心主义与非人类中心主义的问题，其实质是有关人的主体身份的争论，有关人在处理同大自然关系时如何选择的问题”（“从人类中心主义到人类主体”25）。面对自然的“责备”，人却表现麻木、无力回应，暴露出生态疏离下逃避选择的精神惰性。作者借内尔视角层层描摹了人与自然的双重异化，也暗示她重建生态亲密关系的批判性自觉。

通过让个体成长与人类发展相互映照，《鹤鹤》进一步引出了内尔在人际与生态双重亲密关系上的选择。在小说的初始阶段，内尔将重建亲密关系等同于修复裂缝、重新融合。她坚信人们“能够融合”（4），并将陷入爱河时那种“被融合”的体验奉为亲密的理想状态（6）。这一信念正是浪漫主义自然观中人与自然深度融合的体现。为此，内尔提出了情感与语言两条路径：她将共情奉为“解决几乎所有问题的良方”（4），对于情感可能无法跨越的“人与人之间存在的空隙”，则主张“翻译”（4）。“语言是人借助声音表达脑文本的方法”（聂珍钊，“人文研究的科学转向”567），内尔希望通过翻译这一语言活动来实现脑文本的表达与交互，跨越人际思维空隙。由此，她转向田园想象与诗歌语言，寻求重建两种亲密关系的出路。这也成为她之后祛魅的起点。

## 二、田园祛魅：浪漫想象、物化逻辑与二元对立的消解

在浪漫主义传统中，乡村田园常与自然混同，被建构为质朴情感的寄托与疗愈的载体。小说中，这一观念首先通过内尔对男友费利姆（Felim）的痴迷得以体现。在内尔眼中，出身爱尔兰乡村的费利姆本人化身为田园理想的肉身呈现，被赋予治愈一切创伤的力量：“我脑海里总萦绕着那些关于收割

1 在福柯的规训理论中，空间是权力运作的重要媒介。通过封闭、区隔与功能化配置，现代社会形成了一系列的规训性空间，在其中个体逐渐内化既定的行为规范与生活形态。朱迪特·乐薇尔将福柯的空间思考划分为三类，其中第三类即对城市空间及其组织的探索。参见朱迪特·乐薇尔：《福柯思想辞典》，重庆：重庆大学出版社，2015年，第51页。

干草、待哺幼畜和明媚阳光的浪漫遐想，这一切都与他肌肤的气息交融在一起。费利姆浑身透着那么健康的生命力，仿佛触碰他就能获得疗愈”（18）。此处，内尔将劳动收割、哺育幼畜与阳光馈赠等典型田园意象全部收束于恋人气味的感官体验中，试图用身体的亲密来吸纳整个田园。触碰即治愈的联想更将费利姆的身体神化为具有魔法功能的自然客体，这恰恰暴露了她渴望的不是一个真实的人，而是一种被浪漫化、功能化了的自然符号。换言之，内尔与男友间的亲密源于单向的情感投射，而非双向的互动理解。人本主义心理学家马雷尔（Alvin R. Mahrer）曾提出亲密的三层内涵。他将“作为经验/感受的亲密”界定为最低价值的亲密，认为它停留在主体单向的感知体验层面，缺乏对关系对象现实处境的觉察。<sup>1</sup>在这种关系模式中，他者容易被理想化为满足情感、心理疗愈的载体。内尔对费利姆的情感正是如此，她将对方美化为满足疗愈需求的载体，却忽视了关系中潜在的暴力与控制。依赖主观投射的亲密关系在遭遇现实时必然面临瓦解。

内尔田园想象的根源在于她对农业劳作的彻底浪漫化。她援引浪漫主义先驱诗人威廉·布莱克（William Blake）的诗句“断虫不怨耕犁”（18），希望诗意地印证农耕对自然无害。这句诗构建了一幅理想图景，让劳动融入自然律动、生命循环中，隐含的杀戮则被温柔原谅。同时，恩莱特在内尔的叙述中有意加入现实观察，暗示她对田园的浪漫化理解遮蔽了其商品化的一面。与她心中“干草、羔犊与阳光”的牧歌画卷形成张力的，是现实中因过度喂养而乳房感染的牛群，以及仓储过剩的牛肉商品。内尔脑海中两种乡村场景的并置更具反讽意味：窗外，牛犊在草原上漫步食草，展现着生机勃勃的“自然生命”图景；窗内，费利姆却在食用已剥离生命形态的“超市牛肉”（22）。小说将牛的生命与商品形态并置，揭露了现代田园经济的内在分裂与伪善：自然成为了窗框里寄托情感的景观，农业却遵循着以效率和利润为核心的资本逻辑。如果说草原上的牛犊是田园牧歌的审美符号，那么盘子里的牛肉就是这套符号系统最终兑现的交换价值。布莱克诗中“不怨”的想象性和谐在此被残酷的生产关系所取代，为内尔后续的幻灭埋下伏笔。恩莱特由此实现了对浪漫主义自然观的祛魅：田园不再是本质化、无历史的纯净之地，而是深嵌经济结构的现实空间。

从人类史视角审视，田园本身即是人与自然分离的产物。爱尔兰植物学家约翰·菲汉（John Feehan）指出，当爱尔兰人学会如何在从荒野中攫取的

1 马雷尔提出了亲密的三种程度，分别是作为经验/感受的亲密、作为关系的亲密，以及作为融合的亲密，分别对应着自我欲望的满足、自我边界的协商与自我概念的超越。亲密情感停留在主体的感知体验上，是单向的、主观的；亲密关系涉及两个主体双向的交互，牺牲部分自我感的风险来换取亲密；而亲密融合则是双方界限完全消弭、合二为一，达到“无我”境地的终极状态。参见 Alvin R. Mahrer, “Humanistic Approaches to Intimacy,” *Intimacy*, edited by Martin Fischer and George Stricker, Boston: Springer, 1982, 141-158.

田地里种植和培育食物的时候，他们便逐渐丧失了“作为自然一份子”（573）的原始亲密感。此后，凯尔特人的自然崇拜已然带有驯化自然的功利目的，而中世纪将人类视为荒野征服者的天主教与16世纪后的圈地运动进一步加剧了田园与自然的分化。由此看来，田园的诞生标志着人类以占有和改造为诉求，迈出了与自然分离的关键一步。然而，浪漫主义诗歌中美化的田园景象，恰恰掩盖了这一分离过程的功利本质，营造了通过农耕即可回归自然的虚假幻象。《鹧鸪》对此的揭露，旨在驱散笼罩在田园之上的情感光晕，指出任何对生态亲密关系的追寻，都必须穿越浪漫幻象，直面自然被卷入社会经济网络后所呈现的残酷真相。

最终，小说的批判锋芒指向了更深层的认知框架——城市与自然的二元对立。浪漫主义在将自然推上神坛的同时，也将城市生活贬斥为异化的深渊，成为内尔一代急于逃离的所在。然而，正如内尔的朋友麦尔（Mal）清醒指出的：“但是你能怎么办呢，人们总得有个地方住。不如就给他们种几棵该死的树吧。（……）你以为可以一走了之，但你其实无处可逃，知道为什么吗？因为根本无处可去”（202）。人类无法退回前工业时代，正如成人无法重返母体。因此，重建生态亲密关系的前提，恰恰在于打破这种非此即彼的二元对立，正视人类与自然已然分离的历史与现实，从而在当下条件中探寻新的联结可能。

通过解构内尔的田园幻想，小说剥开了浪漫主义自然观的遮蔽。它揭示出，建立在情感投射与物化逻辑上的“田园亲密”只是一种幻象。小说超越了简单的田园颂歌或城市批判，呼吁扬弃将自然与文明置于对立两端的思维定式，为在当代世界中重构真实可行的生态亲密关系扫清了认知障碍。

### 三、诗歌祛魅：唯美语言的拟社交亲密与道德缺席

在田园幻想破灭后，语言成为了内尔寄予厚望的另一条出路。她格外重视语言表达在关系中的作用，这一点尤其体现于她对母亲卡梅尔与外祖父菲尔截然相反的评价。在她眼中，母亲过度理性、不善表达，因此两人始终缺乏真正的心灵沟通。相较之下，菲尔仅凭诗歌便足以抚平伤痕。内尔对菲尔的印象始于阁楼上一本关于鸟类的诗集：“诗句如此温柔清澈，我仿佛能听见他正对我一个人娓娓道来。别的女孩有父亲，有叔叔；而我，我有好心的老菲尔。他只消片言只语，就能让一切变得美好”（50）。菲尔在内尔心中被塑造成善于表达、言辞精妙的形象，而“言辞体贴正是一个女孩所需要的，卡梅尔却永远给不了”（50）。显然，内尔推崇菲尔的诗歌，是因为相信美的语言具有情感疗愈的力量。菲尔的诗篇为她提供了一种被爱、被理解的亲密体验，她试图将这种体验视为驱散孤独、重建亲密关系的密钥。

然而，内尔从菲尔诗歌中所获得的亲密阅读体验，并非基于道德责任的

道德情感，而是发自被爱欲望的自然情感<sup>1</sup>，无法实现“文学道德教诲的价值”（Nie, “Ethical Literary Criticism: A Basic Theory” 191）。因此笔者认为，这种通过文本媒介与主观想象建立的亲密感，与其说是审美体验，不如说更类似大众媒体中观众与表演者间的拟社交亲密关系（parasocial-intimacy）<sup>2</sup>。在拟社交亲密关系中，受众的情感始终由表演者操纵，无需“义务感、努力和责任”（Horton and Wohl 215）。在《鸬鹚》中，菲尔正是用“所有诗歌都与爱而不得有关”（255）的创作信条操纵读者，持续营造一种被倾慕、被珍视的情感氛围。如同无数读者一样，内尔沉浸在菲尔抒情诗精雕细琢的语言中，通过文本获得了亲密的幻觉，却并未真正进入一段需要承担主体责任的伦理关系。

不仅如此，菲尔的抒情诗实则植根于一种狭义的唯美主义价值体系，用英国批评家罗伯特·V·约翰逊（Robert V. Johnson）的话总结，“不仅意味着对美的全心追求，更将美置于至高无上的地位，超越其他一切价值”（1）。菲尔寄给女儿卡梅尔的明信片，便透露出他的人生哲学。在一张印有马蒂斯《蓝色裸女》的明信片背面，他写道：“要活得漂亮。好好地活。（……）不必听从‘善’的教诲，她会教你要善良，但那并非必需”（86）。这段写于年轻女性裸体画像旁的文字，淋漓尽致地展现了唯美主义对青春与感官美的颂扬，以及对传统道德的轻蔑。这正是菲尔亲密观与人生观的真实底色。

相应地，菲尔创作诗歌也以牺牲现实关系所必需的道德与责任为代价。菲尔诗中的“缪斯”们无不沦为唯美幻想的载体，并深受其单恋诗学的隐性伤害。正如恩莱特曾撰文指出，此类单恋诗歌往往“只关乎艺术家的自我”（Enright, “It is Nice to be Adored”）。随着小说情节展开，菲尔为艺术牺牲家庭、暴露爱人隐私的面目逐渐清晰。当卡梅尔亲眼见到父亲第一位“缪斯”时，她不禁想到，“大半个国家的人都能在本地图书馆读到同样的内容（……）而只要他们想象力足够丰富，还能从中读出她的乳头有着金银花蕊般的色泽”（78）。而在追求卡梅尔的母亲时，菲尔竟跟踪她穿过一条又一条街，甚至潜入室内将诗稿放在她的枕边。这些行径无不揭露其唯美面纱下伦理关怀的严重缺失。

此外，菲尔诗中频繁使用的自然意象同样主要服务于审美目的，并在一定程度上忽视了道德伦理。小说标题中的“鸬鹚”便是典型例证。在爱尔兰

1 根据文学伦理学批评理论，情感可以分为自然情感与道德情感。诗歌能够带给读者审美经验，是因为诗人的自然情感经过理性熏陶，转变成了伦理情感。参见 聂珍钊：《外国文学研究散论》，南京：南京大学出版社，2022年，第182页。

2 拟社会亲密的概念源于社会学家唐纳德·霍顿与理查德·沃尔提出的拟社会互动（parasocial interaction）理论，指代观众通过广播、电视和电影等媒介与媒介角色形成的一种单向亲密关系。参见 Donald Horton and Richard Wohl, “Mass Communication and Para-social Interaction: Observations on Intimacy at a Distance,” *Psychiatry* 3 (1956): 215-229.

诗歌传统中，鸫鹛是一个被反复书写、意义不断叠加的意象。菲尔诗中鸫鹛的典故源于他钟爱的爱尔兰民谣《鸫鹛节》（“The Wren Day”），关涉复杂的文化内涵。在爱尔兰传统新年节日圣史蒂芬节，人们会唱起歌谣，捕猎鸫鹛并予以掩埋。此时，鸫鹛既象征逝去的一年，亦隐喻“背叛者”；捕杀鸫鹛意味着辞旧迎新，也寓意国家重生。《鸫鹛节》的歌谣语言欢快，却暗藏冷酷——鸟儿因人类赋予的种种意义而丧生。唯美语言层叠的意义堆积，最终只满足了人类自我指涉的审美狂欢，却缺乏对他者生命真实的关注与伦理的共情。

菲尔的抒情诗与其现实中亲密关系的屡屡破裂，构成了尖锐的反讽与反差，彻底暴露了其诗歌创作中以审美体验为中心、唯美至上的根本缺陷。“无论诗歌还是小说或是戏剧，其价值都在于伦理价值”（聂珍钊，《外国文学研究散论》196）。尽管能凭借语言营造出被爱的亲密体验，菲尔的诗歌却将真实亲密关系中的道德与责任视为无物，也因此失去了伦理价值。内尔对菲尔从崇拜到祛魅的认知过程表明，诗人对虚幻融合感的执着追求，叠加其对现实人际疏离与伦理责任的系统性否认，最终导致了真实亲密关系的必然崩塌。

#### 四、关系重建：差异承认中的动态亲密与生态伦理

通过揭露田园想象中潜藏的功利逻辑以及诗歌语言的唯美幻象，《鸫鹛》从根本上动摇了浪漫主义自然观将亲密关系寄托于田园空间与诗性语言的传统路径。小说揭示，无论是人与自然之间，还是人与人之间，都无法通过情感投射或审美融合来消弭差异、实现虚构的“合一”。如列维纳斯（Emmanuel Levinas）所言，“他异性与二元性并不会在爱的关系中消失。将爱理解为两个存在之间的混同，是一种虚假的浪漫主义观念”（*Ethics and Infinity* 66）。自我与他者的分离并非关系的障碍，恰恰是关系得以可能的条件。在此基础上，小说进一步追问：一种真实的、具有伦理性的亲密关系应当如何建构？对此，恩莱特让主人公内尔通过身体经验与感官在场，在具体的生活实践中，逐渐以亲历取代想象，以存在置换意义，重新编织自我与他人、人类与自然之间的关系网络。

其一，在人际层面，从标签化投射转向具体性接纳。内尔的关系重建首先体现于她对卡梅尔态度的转化。此前，内尔始终以“理性”“实际”等固定标签来认识母亲，以先验范畴将他者“总体化”，从而实现占有的认知姿态。在列维纳斯看来，一段伦理的关系恰恰在于其对这种认知性占有的拒绝：“他者之脸拒绝被占有，拒绝屈从于我的权力（……）无论是享乐还是认识”（Levinas, *Totality and Infinity* 197）。随着对家族秘史的逐步了解，内尔开始察觉到，卡梅尔的情感结构并非源自性格特征，而是根植于她自身并未经历、亦无法想象的家庭创伤史。在这一不可共享的过去面前，内尔认识到母亲作为“他者”无法被完全把握。由此，她撤除了强加于母亲身上的先验

范畴，转而接纳一个具体而复杂的个体。于是，人际亲密得以从对完美对象的幻想，转向对眼前真实生命的接纳。

其二，在生态层面，从审美景观转向微观存在。内尔对自然的关注也发生了实质性转移，从对牧歌式田园远景的眺望，回归到日常生活中的微观现场；从对宏大自然意象的象征性捕捉，转向对具体存在的感官沉浸。其中最具有代表性的，是她对光的重新发现。她如此描述：“近来我痴迷于光，它是如此难以被商品化。我所说的不是美丽的黎明，不是阳光下的假日，也不是让照片看起来迷人的光线。我说的是光亮本身，是被点亮的空气，是我敲击键盘的双手表面闪烁的微光”（130）。内尔清晰地区分了作为审美客体的光与作为存在本体的光。后者因其不可占有、无需付费却又绝对独特的性质，得以摆脱商品化逻辑与意义投射的框架。在这种去功利化的关系中，自然不再是被凝视、被象征的景观，而是通过直接的感官参与，嵌入并塑造着人的日常存在。人与自然的亲密，从而从浪漫主义的远景怀想，回归为可持续的亲身实践。

其三，在伦理态度上，从意义强加转向他者尊重。小说结尾处，内尔在母亲花园中与一只红腹灰雀的相遇，标志着她的关系伦理的最终确立。在此场景中，内尔有意识地悬置了惯用的抒情语言，拒绝为小鸟编织任何隐喻或象征。她意识到：“言语只会模糊它的本真：唇膏色、珊瑚色、雪纺纱的质感、波特酒的光泽——这些都是强加于渺小却无可辩驳的红腹灰雀本体之上的附加物”（273）。内尔清楚，“唇膏”等喻词并非对自然的描述，而是人类中心主义的意义强加，是覆盖在他者之上的文化负重。通过主动放弃命名与修辞，内尔得以让“鸟永远是鸟”（273），体现出对自然他异性的尊重。如此，人与自然间建立起一种基于差异的关系伦理，如同列维纳斯伦理中的他者，“始终保持着无限的超越性与无限的异质性”（*Totality and Infinity* 194）。当关系不再以认知占有或审美赋意为前提，人类与自然之间由语言与想象构筑的屏障才开始消融，一种非融合性的亲密才得以可能。

需要强调的是，《鹧鸪》并未否定情感或语言本身的价值，而是警惕其在亲密关系中的滥用与僭越。其生态亲密书写的核心，在于批判以浪漫田园与唯美诗歌为载体的浪漫主义自然神化倾向，旨在剥离关系中由浮华语言与强行意义所制造的幻象，将自然重新定义为日常生活中微观、具身、可感的真实存在。笔者认为，小说所倡导的亲密关系，不再是基于主体情感单向度投射的融合感，而是一种在差异承认的前提下，通过共情、语言、身体经验与生态实践，与他者持续互动、协商、调适的动态过程。在恩莱特笔下，生态亲密书写不再是逃避现实矛盾的乌托邦想象，而是立足对必然差异的承认，以包容、负责与回应的姿态，走向他者。

《鹧鸪，鹧鸪》基于麦克达拉三代人的生命经验，以交织的方式书写人

际关系与生态关系，凸显了爱尔兰现代化进程中主体与他者之间的分离。面对双重关系分离的困境，小说解构了传统浪漫主义生态观“重返自然”的理想化叙事。首先，内尔对田园想象的幻灭揭示了田园情结潜藏的情感投射与乡村劳作的物化逻辑；继而，她对抒情诗歌语言的祛魅进一步洗去了唯美主义话语对自然的修辞粉饰，暴露了语言在再现自然时的局限；此后，内尔转向真切的生活体验，在去伪存真的日常实践中，逐步重建起真实、具体且充满协商性的人际与人-自然亲密关系。一种更具交互性与伦理意涵的“生态亲密关系”由此诞生，它立足于对他者独立性与能动性的承认，呼吁着持续的感知、回应与责任。从文学史脉络看，《鹳鹈》是一种后浪漫时代的关系现实主义书写。它继承了爱尔兰文学关注自然的传统，但又未将其神化为理想之乡，而是描绘了一副更贴近生存本相的、充满张力且需持续经营的亲密样貌。由此，小说以自身的叙事实践，开辟了一条去浪漫化、重伦理性的叙事路径，给爱尔兰田园书写注入了鲜明的时代关切与伦理反思，也为后浪漫时代的自然与关系叙事提供了深刻而富有启示的文学范例。

### Works Cited

- Bracken, Claire and Susan Cahill. "An Interview with Anne Enright, August 2009." *Anne Enright*, edited by Claire Bracken and Susan Cahill. Dublin: Irish Academic Press, 2011. 13-32.
- Debord, Guy. *The Society of the Spectacle*, translated by Donald Nicholson-Smith. New York: Zone Books, 1994.
- . "'It is Nice to be Adored, until It isn't': Anne Enright on the Problem with Unrequited Love." *The Guardian*, 2 September 2023. Available at: <https://www.theguardian.com/books/2023/sep/02/it-is-nice-to-be-adored-until-it-isnt-anne-enright-on-the-problem-with-unrequited-love>. Accessed 11 November, 2024.
- Enright, Anne. *The Wren, The Wren*. London: Vintage, 2023.
- Feehan, John. "Threat and Conservation: Attitudes to Nature in Ireland." *Nature in Ireland*, edited by John Foster & Helena Chesney. Dublin: The Lilliput Press, 1997.
- Frawley, Oona. *Irish Pastoral: Nostalgia and Twentieth-century Irish Literature*. Dublin: Irish Academic Press, 2005.
- Horton, Donald and Richard Wohl. "Mass Communication and Para-social Interaction: Observations on Intimacy at a Distance." *Psychiatry* 3 (1956): 215-229.
- Hurlburt, Russell and Eric Schwitzgebel. *Describing Inner Experience? Proponent Meets Skeptic*. Massachusetts: The MIT Press, 2007.
- Ingold, Tim. *The Perception of the Environment: Essays on Livelihood, Dwelling and Skill*. London: Routledge, 2000.
- Johnson, Robert V. *Aestheticism*. London: Routledge, 1969.
- Levinas, Emmanuel. *Ethics and Infinity: Conversations with Philippe Nemo*, translated by Cohen,

R. A. Pittsburgh: Duquesne UP, 1982.

—. *Totality and Infinity: An Essay on Exteriority*, translated by Alphonso Lingis. Pittsburgh: Duquesne UP, 1969.

Mahler, Margaret S. *The Psychological Birth of the Human Infant: Symbiosis and Individuation*. London: Routledge, 1985.

Mahrer, Alvin R. "Humanistic Approaches to Intimacy." *Intimacy*, edited by Martin Fischer and George Stricker. Boston: Springer, 1982. 141-158.

Nie Zhenzhao. "Ethical Literary Criticism: A Basic Theory." *Forum for World Literature Studies* 2 (2021): 189-207.

聂珍钊: 《外国文学研究散论》。南京: 南京大学出版社, 2022年。

[—]. *Discourse on Foreign Literature Studies*. Nanjing: Nanjing UP, 2022.]

——: “从人类中心主义到人类主体: 生态危机解困之路”, 《外国文学研究》1 (2020): 22-33。

[—]. "From Anthropocentrism to Human Subjectivity: A Possible Solution to Ecological Crises." *Foreign Literature Studies* 1 (2020): 22-33]

——: “人文研究的科学转向”, 《文学跨学科研究》4 (2022): 563-568。

[—]. "The Scientific Turn of Humanities Studies." *Interdisciplinary Studies of Literature* 4 (2022): 563-568.]

朱迪特·乐薇尔: 《福柯思想辞典》。重庆: 重庆大学出版社, 2015年。

[Revel, Judith. *Dictionnaire Foucault*. Chongqing: Chongqing UP, 2015.]

Rust, Mary-Jayne. "Ecological Intimacy." *Vital Signs: Psychological Responses to Ecological Crisis*, edited by Mary-Jayne Rust and Nick Totton. London: Karnac Books Ltd, 2012. 149-162.



## 世界文学研究论坛

聂珍钊 / 浙江大学 (中国)  
查尔斯·罗斯 / 普渡大学 (美国)

### Editors in Chief

Nie Zhenzhao, Zhejiang University, China  
Charles Ross, Purdue University, U.S.A

