

学校编码: 10384

分类号: _____ 密级 _____

学 号: B9904004

UDC: _____

博士学位论文

KURT VONNEGUT'S DECONSTRUCTION AND RECONSTRUCTION
OF THE REAL WORLD AND THE FICTIONAL WORLD AND
HIS TENDENCY TOWARD NEW HISTORICISM

库尔特·冯内古特对现实世界与小说世界
的解构与重构及其新历史主义倾向

陈 世 丹

指导教师: 杨仁敬教授(厦门大学外文学院)

申请学位: 博士

专业名称: 英语语言文学

论文提交日期: 2002年2月22日

论文答辩日期: 2002年5月26日

学位授予单位和日期: _____

答辩委员会主席: _____

评 阅 人: _____

2002年5月

Ph. D. Dissertation

KURT VONNEGUT'S DECONSTRUCTION AND RECONSTRUCTION
OF THE REAL WORLD AND THE FICTIONAL WORLD AND
HIS TENDENCY TOWARD NEW HISTORICISM

Ph. D. Candidate: Chen Shidan
Advisor: Professor Yang Renjing
Research Direction: The History of the American Novel

Department of English Language and Literature
College of Foreign Languages and Cultures
Xiamen University
May, 2002

Table of Contents

Acknowledgements	III
Abstract	IV
摘要	X
Abbreviations of Vonnegut's Works	XIV
Introduction	2
Chapter 1 Vonnegut's Deconstruction of the Real World	13
A. Vonnegut Deconstructs Science and Technology	13
1. Machine: the Cause of Loneliness of Human Beings.....	14
2. Science: the Cause of the Destruction of the Human World.....	16
B. Vonnegut Deconstructs the Capitalist Society	19
1. The Dirty Source and Implications of the Capitalist's Money.....	19
2. The Law Only Protects the Capitalist America.....	21
a. Strike and Massacre.....	22
b. Justice Upholder: the Enemy of American Institutions.....	23
c. Fired because Pessimistic—Un-American and Anti-American.....	25
3. Capitalism Destroys the Environment and Culture.....	26
Chapter 2 Vonnegut's Reconstruction of the Real World	29
A. Dignity against Mechanization	29
B. Kindness against War	32
C. Fellowship against Loneliness	33
D. Survive by Ceasing to Be Fully Human	35
E. The Ways to Adapt to Chaos	37
1. Black Humor.....	38
2. Schizophrenia.....	41
3. New Religions.....	43
Chapter 3 Vonnegut's Deconstruction of the Fictional World	48
A. The Development of the Novel from Realism to Modernism and Then to Postmodernism	48
B. Metafiction	54
C. Vonnegut's Metafictional Novels	57
1. <i>Slaughterhouse-Five</i> : a Novel about How to Write This Novel.....	57
2. <i>Breakfast of Champions</i> : an Anti-Novel.....	61
3. <i>Deadeye Dick</i> : the Metafictional Plays-Within-the-Play.....	64
D. The Aesthetic Features of Vonnegut's Deconstruction of the Novel World	65
1. Indeterminacy in Meaning and Narration.....	66
a. Pluralism in Meaning.....	66
b. Discontinuity in Narration.....	68
2. Fragmentation in the Text.....	70
3. Decanonization: the Delegitimation of the Grand Narratives.....	72
a. <i>Petit Recit</i> : the Portrayal of the Anti-Hero.....	72
b. Little Narratives on Heterogeneous Subjects in the Same Structure.....	74

4. Selflessness, Depthlessness: Postmodern People—All Kinds of Machines.....	77
5. The Unpresentable, Unrepresentable Subjects.....	81
a. The Abject and Brutal Aspects in Humanity.....	81
b. Death: the Central Character.....	83
Chapter 4 Vonnegut’s Reconstruction of the Fictional World.....	86
A. Irony: the Suspensive Multiple Irony in <i>Cat’s Cradle</i>.....	86
1. The Belied Truths.....	87
2. The True Lies.....	88
3. Ironic Fatalism.....	88
4. An Attack against Christianity and a Parody of the Origin of All Religions as Well.....	89
5. Self-invalidating Contradictions.....	90
B. Hybridization: the Variant Imitation of Genres.....	91
1. <i>Deadeye Dick</i> : a Mixture of Fiction and History.....	92
2. <i>Timequake</i> : a Stew of Novel and Memoir.....	93
C. Carnivalization: <i>Breakfast of Champions</i>—a Polyphonic Novel.....	95
1. Participate in the Wild Disorder of Life.....	96
2. Polyphony Caused by the Centrifugal Power of Language.....	98
a. Digressions.....	98
b. The Hopelessness of Communication.....	99
D. Performance, Participation in the Writing of Text.....	100
E. Constructionism: New Gnosticism in Vonnegut’s Science Fiction.....	104
1. Relativity against Eternity.....	105
2. The Absurd Notion of a Final Accounting.....	107
3. A Crime to Use Science for Making Killing Weapons.....	107
F. Immanence in the Discourse.....	108
1. Language Refers to Itself and Becomes a Hero.....	109
2. Language Turns Culture into an Immanent Semiotic System.....	111
Chapter 5 Vonnegut’s Tendency toward New Historicism.....	115
A. The Rising of New Historicism.....	115
B. The Basic Theories of New Historicism.....	117
C. Vonnegut’s New Historical Novels.....	119
1. The Historical Event in a Circular Language Structure.....	119
2. The Historical Events Appropriated to Serve Special Interests.....	123
Conclusion.....	128
Works Cited.....	132
Index.....	138

Acknowledgements

I acknowledge my most heartfelt debt to my Advisor, Respected Professor Yang Renjing, who gave me the most helpful guidance in the writing of my Ph. D. Dissertation from the design of its outline through the whole process of its writing in details. While I was carrying on the State's Social Scientific Funds Program "A Study on the Themes and Artistic Techniques of American Postmodernist Fiction" (97CWW004), Professor Yang offered me great spiritual encouragement, offered me academic advice, provided many valuable reference materials for me, and finally, though extremely busy, wrote the Preface to my monograph *A Study on the Art of American Postmodernist Fiction* which has been published in May, 2002. Moreover, Professor Yang many times showed me warm solicitude for my work, my life, and my future. My gratitude to him is truly beyond words.

During my three years of study and life at Xiamen University, Dear Professor Chen Dunquan often gave me warm care for my life and instructions in my study, Respected Professor Liu Kaifang offered me very helpful advice in the writing of my dissertation, Respected Professor Yang Xinzhang ever gave me valuable suggestions in the planning of my dissertation and several times showed loving care for my research and my future work, Professor Zhang Lilong always gave me timely help whenever I needed in my study and research. Therefore, my whole-hearted thanks are also given to these professors.

I am also very grateful to Respected Professor Robert Kiely, Professor James Engell and Professor Phillip Fisher who also offered me valuable instructions and great help in my study and my dissertation writing when I was doing my research of American postmodernist fiction as a visiting scholar at Harvard University in the United States (September 21, 2000—September 19, 2001).

Finally, I show my gratitude to my dear parents for their spiritual support and their deep concern for my study and life. I should also thank my wife, Associate Professor Di Shujun, who shouldered all our family burdens and without whose support and help in the United States I simply could not finish the draft writing of my dissertation and my monograph.

Abstract

In 1948 in his book *The Dehumanization of Art and Other Essays on Art, Culture, and Literature*, the American famous artistic and literary theorist Jose Ortega Y Gasset seriously prophesied the coming death of the novel: “I believe that the genre of the novel, if it is not yet irretrievably exhausted, has certainly entered its last phase, the scarcity of possible subjects being such that writers must make up for it by the exquisite quality of the other elements that compose the body of a novel” (56). Though there was such authoritative declaration, since 1948, Kurt Vonnegut, Jr. (1922—), Bellow, Malamud, Pynchon, Nabokov, Hawkes, Coover, Barth, and others, have still provided for the readers a large quantity of excellent works of the novel. The novel’s “last phase” has continued for more than 50 years and there are still no signs that the novel has died. However, this is not to say that the contemporary literary scene is satisfactory. Therefore, the postmodernist novelists such as Pynchon, Nabokov, Hawkes, Coover, Barth, Vonnegut, and others have been extremely busy challenging the traditional concepts of the novel, the traditional ideas about the relations between artists and artificial works and readers. They are aware that literature is possible to be exhausted but at the same time insist to restore the vitality of the “exhausted literature.”

For Vonnegut, a humanistic novelist, the subjects of the novel will never be exhausted because he is deeply concerned with the present-day human conditions and so the social injustice, the economic inequality, the devastating exploitation of environment, and the hideous militaristic barbarity become the enduring themes in his novels.

In his novels, Vonnegut negates and dispels the metadiscourse that conceals the gloomy side of the reality and exposes a chaotic and dangerous human world. In the post-industrial society, the machine has replaced the poor workers and made them useless and purposeless; science and technology is used to threaten and destroy human beings; capitalism makes money through mean devices and damages environment and culture. Vonnegut, a present-day strong humanist, introduces new ideas to change the world into one more suitable for the human beings, which he considers a writer’s duty. To restore the dignity of the working people, he dispels the sense of mechanization; in order to prevent wars, he appeals to stop making killing machines and form extended families; he also offers people some ways such as black humor, schizophrenia, and new religions (the harmless lies) to deal with the chaotic and cruel reality that could not be changed for the time being.

Vonnegut thinks that the traditional realism and modernism could no longer represent the human experience in the postmodern time. In his novel writing, Vonnegut dispels the traditional form of the novel and narrative itself by using metafiction, a fiction about how to write this fiction; reveals the pluralistic nature of the universe, discontinuity and decenterment of the narrative; randomly organizes, pieces together, or cuts apart the text; subverts all the canons, and plays language games. His novels indicate that man has lost his self and the world becomes a world

of objects and objects. Vonnegut's novels look for brinks, entertain exhaustion, and describe the vulgar and dead subjects. Meanwhile, Vonnegut pays more attention to randomness and doubt about feasibility and reliability of objective laws and social norms. The novels by Vonnegut are stews of variations of genres, the mixtures of higher language and lower language. Vonnegut's novel texts invite the readers to participate in the writing. Vonnegut often uses scientific fiction to suggest the growing intervention of mind in nature and culture, in social relations and high technologies. The systems of semiotic symbols that Vonnegut constructs not only refer to language and texts themselves but also suggest the invention of the outside world.

Vonnegut does not seek the innovation of forms for forms' sake and remain on the meaning plane of postmodernism. Quite different from the other postmodernist writers, Vonnegut does not ignore the relations between art and life, between text and historical reality, does not stop his eyes just on the inherent structure of the text and language techniques, but creates New Historical novel texts to rethink over history and also reveal the truth that both the text and history are invented.

This dissertation **“Kurt Vonnegut's Deconstruction and Reconstruction of the Real World and the Fictional World and His Tendency to New Historicism”** makes an all-sided exploration of Vonnegut's humanistic ideas, postmodernist world outlook, postmodernist literary innovations and New Historical tendency. Starting from his deepest concern for the present-day situations of human beings' existence, Kurt Vonnegut deconstructs the real world and truthfully exposes a very dangerous post-industrial human society in which human beings are dominated by machines, their existence is threatened by science and technology, and the environment and culture are destroyed by the greedy capitalists; meanwhile he reconstructs the real world by appealing for dignity against machines, morality against war, fellowship against loneliness, and offering people some ways to adapt themselves to the chaotic world. Thinking that the traditional and modernist writing techniques no longer suitable for the representation of the postmodern fragmented and centerless world, Kurt Vonnegut deconstructs the fictional world by using non-linear narrative, metafiction and other methods, having shown an indeterminate fictional world with the fragmented structure. At the same time as deconstructing it, Vonnegut reconstructs the fictional world with the methods such as irony, hybridization, carnivalization, immanence, etc. He constructs arbitrary and circular linguistic structures and mixes the historical facts with the invented stories to reveal the true looks of history.

In order to study this special postmodernist novelist who has not only humanistic ideas but also postmodernist outlooks and New Historical tendency, we have to use the special research method—the combination of historical analysis and text analysis, only with which can we correctly and all-sidedly represent Vonnegut's progressive ideas, artistic innovations and his great contributions to the world literature in the postmodern time. The dissertation consists of “Introduction,” five chapters, and “Conclusion.”

“Introduction” historically explains how Vonnegut has formed his humanistic ideas and become a postmodernist writer who is deeply concerned about the existing conditions of mankind, and presents the postmodernist cultural background for his

fictional writing.

“Chapter 1 Vonnegut’s Deconstruction of the Real World” thinks that Vonnegut denies, subverts, criticizes, and deconstructs the real world in two aspects: 1) In his novels, the machine in the post-industrial society has replaced the poor workers, made them useless, purposeless, and thus caused loneliness and spiritual suffering for the human beings. Science and technology that is used to make killing weapons has caused millions and millions of deaths of people in the wars and become the cause of the self-destruction of the human beings. Thus, he has deconstructed the function of science and technology in the postmodern society. 2) Vonnegut deconstructs the capitalist society by pointing out that the capitalist’s money comes about through the dirty devices such as greed, fraud, and bribery, that the law only protects the capitalist America and puts anybody who is against it to death, and that capitalism destroys the environment and culture and has thus reduced the society into a bleak spiritual desert. Vonnegut’s novels expose an absurd, dangerous, and chaotic real world.

“Chapter 2 Vonnegut’s Reconstruction of the Real World” gives a detailed study of Vonnegut’s propositions to make the world suitable for the human beings to live in: 1) Vonnegut appeals to dispel the sense of mechanization to restore the dignity of people and learn to love and care for the poor and useless people; 2) He advocates to return the ill-gotten wealth of capitalism to the poor people; 3) He calls people to be moral, be kind, not to make killing weapons, not to kill and not to join or wage a war; 4) Vonnegut advocates the extension of families to make all the people in the world members of big families so that there would be no wars between families and people would no longer suffer from loneliness; 5) Considering that intelligence or the big brain is the cause of the bad things, he suggests that the self-destructive human beings survive by ceasing to be fully human, which may be a black-humorous proposal for the absurd human world; 6) A writer who has the strong sense of duty and deep humanistic sympathy, Vonnegut offers people some ways to adapt themselves to chaos: to use black humor to relieve their spiritual and physical pains in the absurd world, to use schizophrenia to be indifferent to the world’s horrors, and to create new religions which are considered the basis of humanity and fraternal love to re-establish the continual relation between generations and bring people out of the difficult situation of existence.

“Chapter 3 Vonnegut’s Deconstruction of the Fictional World” makes a deep research on how Vonnegut deconstructs the fictional world. Firstly, this chapter examines the development of the novel starting from realism to modernism and then to postmodernism. For the realistic linear narrative mode, a novel should narrate a vivid and interesting story, portray one character or several characters who would often fall into certain psychological or social contradictions and conflicts, and along with the development of the plots these contradictions and conflicts would surely be solved finally in a certain way. The modernist novel went deep into man’s sub- and un-consciousnesses, explored man’s inner secrets, emphatically represented the predicament of the modern man’s existence, his introspection, his rethinking over the world, reality, life, man’s existence value and meaning, and established a kind of time and space pertaining only to the inner world. Having abandoned the realistic linear

narrative, destroyed the metaphysical convention of the modernist novel, broken its closed and self-satisfied aesthetic form, the postmodernist novel advocates pluralism in thinking modes, writing techniques, artistic genres, and language plays.

Secondly, the chapter discusses the postmodernist novel paradigm—metafiction, the fiction that comments on the fiction writing itself at the same time as composing the fiction by merging “writing” and “criticism” into the concepts of “interpretation” and “decomposition.” In order to explore the relation between the novel and the reality, metafiction systematically pays attention to its position as a man-made work and at the same time as narrating stories, metafiction not only examines the basic structure of the work itself but also probes into the possible fictitiousness of the outside world. Metafiction reveals to us how a literary work constructs the imagined world and by means of this helps us to understand that the world in which we live in everyday is similarly “constructed” and similarly “written down.” Metafiction can be further sub-divided into: the fiction about how this fiction will become a fiction, the fiction about the previous fiction, the metafiction similar with the other texts.

Thirdly, this chapter discusses Vonnegut’s metafictional novels: *Slaughterhouse-Five* is a novel about how to write this novel. *Breakfast of Champions* is an anti-novel, another kind of metafiction that systematically pays attention to its position as a man-made work by deliberate arrangements in print such as the lines out of alignment, vacant positions, etc., all kinds of English penman-ships, Chinese calligraphies, musical signs, linguistic and logical formulas, and non-novel genres: the concrete poems, time tables, lists, and other charts. What the writer of an anti-novel wants to stress is: this is a text, a creation of language, not the neutral hand-written copy of the “reality”; the technique has its own life and can create life, unnecessarily relying on the contents having existed in advance. *Deadeye Dick* (1982) contains some metafictional plays-within-the-play.

Finally, Chapter 3 explores the postmodernist deconstructive aesthetic features revealed in Vonnegut’s novels: indeterminacy, fragmentation, decanonization, selflessness and depthlessness, and the unrepresentable and unrepresentable. Vonnegut’s novel texts whose meanings are indeterminate indicate that indeterminacy, including all kinds of ambiguities, ruptures and displacements that affect knowledge and society, has permeated all the thoughts and actions of the people in the postmodern society, and formed the most basic situation of the world that the people actually face. His fragmented texts refract a postmodernist outside world that is formed with fragments, but the sum of fragments cannot form a totality and the fragments do not gather together around a center or a totality. Vonnegut uses *petit recit* (the little narratives) to declare the ineffectiveness of metadiscourse and metanarratives, subverts and dispels all canons and all conventions of authority, and shows that man’s activities are no longer the actions carried out around the specific themes, centers, canons or orders but become the arbitrary activities like games without ultimate goals. His novels represent a postmodernist world of objects and objects, in which man as subject has already lost his central place, become fragmented, and thus lost his self and depth. Vonnegut’s novels also turn inwardly to represent the things that are hard to represent or simply unrepresentable such as the foul, vulgar, nihilist and dead subjects—the insignificant

aspects in humanity.

“Chapter 4 Vonnegut’s Reconstruction of the Fictional World” expounds the postmodernist reconstructive aesthetic features revealed in Vonnegut’s novels: irony, hybridization, carnivalization, performance and participation, constructionism, and immanence. Vonnegut takes the ironic attitudes to treat plays, dialogues, conversations, fables, and self-reflections in order to reveal indeterminacy, multiplicity, multivalence, randomness, contingency, and even absurdity of all the topics that he faces. Through the variations of genres, the mixture of higher language and lower language, and the convergence of serious and popular subjects, Vonnegut’s novels have enriched the intension and extension of writing and strengthened the vitality of original works. His novels riotously embrace indeterminacy, fragmentation and selflessness, and further mean the absurd disposition of “polyphony,” the sense of fragmentation caused by the centrifugal power of language, perspectivism and performance, participation in the wild disorder of life, the immanence of laughter. The indeterminacy in Vonnegut’s novels elicits the reader’s participation in the writing because gaps must be filled; his verbal texts invite the reader’s performance because they want to be written, revised, answered, and acted out. Vonnegut’s novels stand for that both the literary texts and the reality are constructed with inventions and that because science and technology has great influence upon man’s thought and culture, Vonnegut takes science and technology as the stimulators of his inspiration for creative works and tries to use all the achievements of science and technology as the new materials for his artistic creation. Vonnegut continually makes efforts to generalize himself, expand himself, and multiply himself by making use of symbols and stresses the semiotic aspect of nature, society, world, and knowledge.

“Chapter 5 Vonnegut’s Tendency toward New Historicism” discusses Vonnegut’s writing of New Historical novels. The essence of New Historicism lies in the return to historicity and ideology. New Historicism thinks that literature is a vivid and meaningful existing form that can clearly reveal the true looks of history and that literature is a bigger symbolic system of signs that gives meaning to the events in a specific historical moment, that the literary interpretation of history and the interpretation of historical literature indicate that literature and history have a certain kind of relation of mutual promotion between them, and that literature does not passively reflect historical facts but takes part in the process of the historical meaning creation and even participates in the re-examination of political discourse, power manipulation and hierarchical order through the interpretation of this complicated textualized world. For the New Historicists, all the historical narratives, like novels, contain invented elements, and what historians deal with is not all facts while what novelists treat is not all “imagined” events. We must first regard the understanding of history as a language structure and through this structure we can grasp the true essence of history. Therefore, Vonnegut puts the historical event, the Dresden bombing, in an arbitrary circular language structure, combines history with imagination, and finally speaks out that historical fact that is hard to talk about in the novel *Slaughterhouse-Five*. In the novel *Hocus Pocus* (1990), like the other historians, Vonnegut also takes the facts out of the time sequence table, codes them into special

plot structures, and appropriates the historical events to serve some special interests or purpose, thus having revealed the true essence of history.

“Conclusion” offers my evaluation of Kurt Vonnegut in four points: (1) Kurt Vonnegut is such a postmodernist writer who is not only assiduously seeking innovations in forms but also using the new forms to present his new humanistic ideas and his deep rethinking over history; (2) his greatness lies not only in the revolution of literature but also in the promotion of social progress; (3) Vonnegut has pointed out a new direction for the development of the progressive literature of the whole world through his innovatory literary practice in the second half of the 20th century; (4) his humanistic ideas have great, profound, lasting, realistic and historical significance to the promotion of the civilization of all human beings.

Key Words: Kurt Vonnegut, postmodernism, deconstruction, reconstruction, real world, fictional world, new historicism

摘要

1948年,美国著名文艺理论家约瑟·奥特加·加塞特(Jose Ortega Y Gasset)在他的《艺术的非人化及其它关于艺术、文化和文学的论文》一书中,严肃地预言小说就要死了:“我认为小说这一文学体裁,如果尚未无可挽救地枯竭,肯定进入了它的最后阶段,可用题材的严重贫乏迫使作家们不得不用构成小说本体其它成分的精美质量来弥补。”尽管有如此权威的宣告,但自1948年以来,小库尔特·冯内古特、贝娄、马拉默德、品钦、纳博科夫、霍克斯、库弗、巴思等小说家还是为读者们提供了大量优秀的小说作品。小说的“最后阶段”已经持续了50多年,而且仍未见有已死的征象。然而,这并不是说当代文学的景观就是令人满意的。所以,冯内古特、品钦、纳博科夫、霍克斯、库弗、巴思等后现代主义小说家一直在忙于挑战小说的传统观念、挑战关于艺术家、艺术品和读者三者之间关系的传统观念。他们意识到文学可能会枯竭,但同时又坚持恢复“枯竭文学”的活力。

具有强烈的人道主义思想的后现代主义小说家冯内古特认为,小说的题材将永远不会枯竭。因为他深深地关心当代人类的生存状况,所以社会的不公正,经济的不平等,环境的破坏性开发,和军事上的穷凶极恶的暴行,都成为他持久的小说主题。

冯内古特的小说否定和消解掩盖现实阴暗面的元话语,暴露了一个混乱且危险的人类社会。在后工业社会中,机器取代了贫困工人的劳动并使他们变得无用无目的;科技被用来威胁和毁灭人类;资本主义通过肮脏手段去赚钱并破坏环境与文化。作为人道主义者的冯内古特主张变革,重构一个适合于人类生存的现实世界,他认为这是作家的责任。为了恢复人的尊严,他消解机械化观念;为了防止战争,他呼吁停止制造杀人机器,建立大家庭;他向人们提供各种办法如黑色幽默、精神分裂症和新宗教等来对付暂时不能改变的混乱和严酷的现实。

冯内古特认为,传统的现实主义和现代主义都不再能表现后现代的人类经验。于是他消解传统的小说形式和叙事本身,在小说中揭示了世界的多元性、叙事的非连续性和去中心性;任意地组织、拼凑或割裂小说文本;颠覆、消解所有原则与权威,玩语言游戏。在他的小说中,人失去了自我,这个世界已变成一个物与物的世界。他的小说寻找边缘,接受枯竭,描写难以表现的卑琐题材。同时,冯内古特更多地关注随意性,并且对客观规律与社会标准的可行性与可靠性表示更多的怀疑。他所创作的小说各种文学体裁的变异与模仿的大杂烩,高级语言与低级语言的混合。冯内古特的小说文本邀请读者的行动与参与。冯内古特经常运用科幻小说来暗示智力对于自然与文化、社会关系与高科技的不断介入。冯内古特构筑的符号系统不仅指示语言与文本自身,而且暗示外部世界的虚构性。

冯内古特并不追求为形式而形式的创新,并不停留在后现代主义的意义平面上。与其他后现代主义作家不同,冯内古特不忽视艺术与生活、文本与历史现实之间的关系,不只把眼睛盯在文本的内部结构和语言技巧上,他创作新历史主义的小说文本来反思历史并揭示文本与历史同样是虚构的这种真实。

本篇学位论文“库尔特·冯内古特对现实世界和小说世界的解构与重构及其新历史主义倾向”全面探讨了冯内古特的人道主义思想、后现代主义世界观、后现代主义艺术创新和他的新历史主义倾向。

研究这样一位既有人道主义思想又有后现代主义世界观和新历史主义倾向

的特殊的后现代主义小说家，我们也必须用特殊的研究方法——历史分析与文本分析相结合，这样才能正确地、全面地表现处于后现代、后工业时期的冯内古特的进步思想、艺术创新和他对世界文学的巨大贡献。本篇论文的正文由“引言”、5章和“结语”构成。

“引言”回答了冯内古特为何如此深刻地关心当代人类现状并成为一位坚定的人道主义小说家，为何在小说中解构与重构现实世界和小说世界并通过建构语言符号系统使事实与虚构混合来反思历史等问题。作为一位富于人道主义同情心和正义感的作家，冯内古特亲身经历和目睹了一系列给人类世界留下严重影响的事件：30年代的经济大萧条、40年代的二次大战、50年代的朝鲜战争、60、70年代的越南战争、20世纪后半叶的冷战、科学技术的迅猛发展及其对人类生存的威胁、霸权主义的肆虐、资本主义的疯狂与贪婪，等等。这些事件使冯内古特意识到，人类生存于其中的后现代世界是荒诞的、危险的、无中心的、零散的，科学技术一方面剥夺了人的尊严，另一方面使人类具有了自我毁灭的能力，资本主义在不断地破坏人类环境与文化。冯内古特认为，作家的责任是真实地揭示历史与现实的虚构本质，给后现代社会的人们提供对付和改变现实的新思想，鼓舞人们为自己创造一个适于生存的世界。

“第一章 冯内古特对现实世界的解构”认为，冯内古特在两个方面否定、颠覆、批判并解构了现实世界：1) 在他的小说中，后工业社会的更先进的机器剥夺了贫穷工人的劳动权利，使他们变得无用、无目的、失去了人的尊严，从而导致了人类的孤独与精神痛苦。被用来制造杀人武器的科学技术造成了战争中人们的大批死亡，因而成为人类自我毁灭的根源。这样，冯内古特解构了科技在后现代社会的作用。2) 他在小说中无情地揭露，资本家的钱是通过贪婪、欺骗、贿赂等肮脏的手段赚来的；这个社会的法律只保护资本主义的美国，处死任何有损资本家利益的人和反对这个制度的持不同政见者；资本主义破坏了环境与文化，使这个社会变成一片精神的荒漠。这样，冯内古特就又解构了被美化为理想之窗的最民主、最公正的美国资本主义社会。冯内古特的小说暴露了一个荒诞的、危险的、混乱的现实世界。

“第二章 冯内古特对现实世界的重构”详细探讨了冯内古特关于改变现实，使这个世界适合于人类生存的新思想。冯内古特从人道主义的立场出发，履行作家的责任，在小说中表达了他重构现实世界的建议：1) 冯内古特呼吁消解机械化意识，恢复人的尊严，学会关怀与爱护那些贫困且无用的人们，把美国还给普通人民；2) 他主张把资本主义的不义之财还给贫穷的人们；3) 他号召人们要有道德，要善良，不要制造杀人武器，不去杀人，不参加或不发动战争；4) 冯内古特主张不断地扩大家庭，使世界上所有的人都成为若干个大家庭的成员，这样在家庭之间就不会有战争了，人民也就不会再忍受孤独之苦了；5) 考虑到智力或大脑是做坏事的根源，他暗示具有自我毁灭能力的人类可以通过不再是完全的人的进化而实现幸存，这可能是一个为荒诞的人类世界提出的一个黑色幽默的建议；6) 在现实世界暂时不能改变的情况下，冯内古特给人们提供了一些使自己适应混乱的方法，如用黑色幽默缓解自己在荒诞世界中的精神和肉体痛苦，用精神分裂症的办法使自己置世界的恐怖于度外，创造被认为是人性与博爱基础的新宗教，以重新建立人们代与代之间的持续关系并使人类摆脱生存的困境。

“第三章 冯内古特对小说世界的解构”就冯内古特如何解构小说世界的问题作了深入的研究。首先，本章考查了小说从现实主义到现代主义再到后现代主义的发展过程。现实主义的线性叙事模式认为，一部作品应该叙述一个生动有

趣的故事，塑造一个或几个经常陷入某种心理的或社会的矛盾和冲突之中的人物，伴随着情节的发展这些矛盾和冲突最后总是以某种方式得到解决。现代主义小说深入人的下意识和无意识，探寻人的内心秘密，强调表现人的生存困境，人的内省，人对于世界、现实、人生、人的存在价值与意义的反思，建立一种仅属于内部世界的时空。后现代主义小说抛弃了现实主义的线性叙述，破坏了现代主义小说的形而上常规，打破了它封闭的自满自足的审美形式，主张思维模式、写作技巧、艺术体裁和语言游戏的多元化。

其次，本章讨论了后现代主义的小说范式——元小说，即关于小说的小说。这种小说在创作小说的同时又对小说创作本身进行评述。这两种过程在形式上紧密结合，从而打破了“创作”与“批评”的明显界限，使它们合并为“阐释”和“分解”的概念。为了探索小说与现实的关系，元小说有系统地注重其作为人工制品的地位，在叙述故事的同时，不但检视叙述作品本身的基本结构，而且还探索文学外部世界的可能的虚构性。元小说向我们展示文学作品是如何构筑想象的世界的，以此来帮助我们理解我们每天生活其中的现实是同样“构筑”、同样“写下”的。元小说还可细分为：关于这部小说如何成为小说的小说，关于先前小说的小说，类文本元小说。

再次，本章分析讨论了冯内古特的元小说创作。《五号屠场》是一部关于怎样写这部小说的小说。《冠军牌早餐》是一部反小说——另外一种有系统地注重其作为人工制品地位的元小说，它不仅在印刷上有意安排如不整齐字行、空白位置等，还有反复出现的各种英文书法、中文书法、乐谱、语言学与逻辑公式等。非小说文体如具体诗、时间表、单子、和其它表格亦到处可见。反小说作者所要强调的是：这是文本，是语言创造物，不是对“现实”的中性的手写复制品；技巧有其自己的生命，而且能创造生命，无须依靠事先存在的内容。《神枪手狄克》(Deadeye Dick, 1982) 包含一些元小说式的戏中戏。

最后，第三章探讨了冯内古特小说中所表现出的后现代主义解构性审美特征：不确定性、零散性、非原则化、无我性与无深度性、卑琐性与不可表现性。冯内古特的意义不确定的小说文本表明，包括影响社会和认识的各种模糊性、断裂性和移置的不确定性，已经渗透到了后现代社会人们的所有行动和思想中，并构成人们实际面对的世界的最基本状况。他的分裂的文本折射了一个破碎的后现代外部世界，它是由片断构成的，但片断之和不能构成一个整体，而且片断也不围绕一个中心或一个整体聚集。冯内古特用小型叙事宣告元话语、元叙事的失效，颠覆和消解所有的原则和一切权威惯例，并表明人的活动已不再是围绕特殊的主题、中心、原则或秩序而进行的活动，而成为像游戏一样的没有终极目的的任意活动。他的小说表现了一个物与物的后现代世界，在这个世界里人作为主体已经失去了他的中心地位，已经零散化，因而也就丧失了自我和深度。冯内古特的小说也反身向内，去表现自身中难以表现或不可能表现的东西如卑琐、低级、虚无、死寂的题材，喜欢表现人性中卑微的方面。

“第四章 冯内古特对小说世界的重构” 论述冯内古特小说所表现出的后现代主义重构性审美特征：反讽、种类混杂、狂欢、行动与参与、构成主义、内在性。随着原则或范式的失落，后现代主义小说家冯内古特以反讽的态度来对待游戏、对话、会话、寓言及自我反省，以展示他所面对的所有话题的不确定性、多义性、多重性、散漫性、或然性、甚至荒诞性。冯内古特的小说以体裁的变异，包括滑稽性模仿诗文、谐摹诗文、仿作杂烩等，借助陈腐或剽窃的题材、拙劣的模仿与拼凑、时序的交错与颠倒、地点与空间的置换、高级话语与低级话语的杂

处、严肃题材与大众题材的交汇，丰富了创作的内涵和外延，增强了原有文本的生命力。冯内古特的小说愉快地接受不确定性、零散化、无我性，进一步指涉“一符多音”的荒诞气质、一种语言的离心力所游离出来的支离破碎感、透视与行动、对极混乱生活的参与、大笑的内在性。冯内古特小说的不确定性诱使读者参与创作因为鸿沟必须填平，他的小说文本邀请读者行动因为它要求被书写、被修改、被回答、被演出。冯内古特的小说表明，文学文本和现实都是虚构而成的；因为科学技术对思想和文化有着极大的影响，像其他后现代主义作家一样，冯内古特也在作品中将科技作为创作灵感的激发物，并运用科技的一切成果为自己提供新的艺术创作素材。冯内古特借助各种话语和符号进行实现自我扩充、自我增长、自我繁衍的努力，并强调自然、社会、世界和知识的符号性方面。

“第五章 冯内古特的新历史主义倾向”讨论冯内古特的新历史主义小说创作。新历史主义的本质在于对历史性和意识形态的回归。新历史主义认为文学是一种能够清晰地揭示历史本来面目的生动而有意义的存在形式，文学是一个较大的赋予一个特定历史时刻中的事件以意义的象征符号系统，对历史的文学解释和对历史文学的解释之间有着一种相互促进的关系，文学并非消极地反映历史事件，而是加入历史意义的创造过程，甚至通过对这一复杂的文本化世界的解释参与对政治话语、权力操纵、等级秩序的重新检视。新历史主义者认为，像小说一样，所有的历史叙事都含有虚构成分，历史学家所处理的并非都是事实，而小说家所写的也并非都是“想象的”事件。我们必须首先把对历史的认识看作一种语言结构，通过这一结构我们才能把握历史的真实。所以，冯内古特在小说《五号屠场》中，将德累斯顿轰炸这一历史事件置入一个任意的循环的语言结构，将历史与想象结合，终于讲出了那个难以言说的历史事实；又在小说《欺骗》(*Hocus Pocus*, 1990)中，像其他历史学家们一样，从时间顺序表中取出事实，然后把它们作为特殊情节结构而进行编码，挪用历史事件来服务于某种特殊兴趣或目的，以此揭示历史的真实本质。

“结语”指出，库尔特·冯内古特是这样一位特殊的后现代主义小说家，他不仅孜孜不倦地追求新的文学形式，而且运用这些新形式来表现他新的人道主义思想和对历史的深刻反思。他的伟大不仅在于他对文学创作的革命，而且在于他对社会进步的推动。冯内古特通过他在 20 世纪后半叶创新的文学实践，为世界进步文学的发展指出了一个新的方向，他的人道主义思想对于促进全人类的文明进步具有重要的现实意义和深远的历史意义。

关键词：库尔特·冯内古特，后现代主义，解构，重构，现实世界，小说世界，新历史主义

Abbreviations of Vonnegut's Works

In the course of this study Vonnegut's works are abbreviated as follows (in the order of publication):

PP	<i>Player Piano</i> (1952, novel)
ST	<i>The Sirens of Titan</i> (1959, novel)
	MN <i>Mother Night</i> (1962, novel)
CC	<i>Cat's Cradle</i> (1963, novel)
GBYR	<i>God Bless You, Mr. Rosewater</i> (1965, novel)
SF	<i>Slaughterhouse-Five</i> (1969, novel)
BC	<i>Breakfast of Champions</i> (1973, novel)
WFG	<i>Wampeters Foma & Granfalloon</i> (<i>Opinions</i>) (1974, miscellanea)
S	<i>Slapstick</i> (1976, novel)
J	<i>Jailbird</i> (1979, novel)
PS	<i>Palm Sunday</i> (1981, miscellanea)
DD	<i>Deadeye Dick</i> (1982, novel)
G	<i>Galapagos</i> (1985, novel)
B	<i>Bluebeard</i> (1987, novel)
HP	<i>Hocus Pocus</i> (1990, novel)
FWD	<i>Fates Worse Than Death</i> (1991, miscellanea)
T	<i>Timequake</i> (1997, novel)

Degree papers are in the "[Xiamen University Electronic Theses and Dissertations Database](#)". Full texts are available in the following ways:

1. If your library is a CALIS member libraries, please log on <http://etd.calis.edu.cn/> and submit requests online, or consult the interlibrary loan department in your library.
2. For users of non-CALIS member libraries, please mail to etd@xmu.edu.cn for delivery details.

厦门大学博硕士学位论文摘要库