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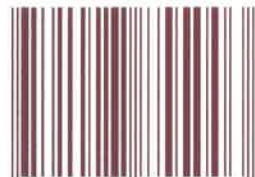
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Chief Editor's Note

This issue boasts contributions from several eminent translation scholars from the West who have obviously come to view the *Translation Quarterly* as a worthy channel through which to publish their recent, and most exciting, research. From the Chinese side, on the other hand, we have an article that showcases the brilliant work done on the Mainland. Yet perhaps the most special contribution is the fruit of a collaborative effort between two scholars, one from China and the other from the United Kingdom.

The piece jointly authored by Nigel Reeves and Liu Shusen represents the cross-fertilization of ideas between two different parts of the world, as seen in the case of the recasting of Chinese ideas in a European context in variant translations of four works by the immensely popular Tang poet Bai Juyi, who was famous for his down-to-earth romantic ballads, by Bertolt Brecht and Arthur Waley. The authors present with perspicacity an analysis of cultural and ideological forces in twentieth-century Europe that shaped the translations. What is most remarkable is their close textual study of original and translated versions in which the distinctiveness of three different languages—Chinese, English and German—can be highlighted and contrasted.

In presenting the newest findings in their International Folktale Project, Cay Dollerup, Iven Reventlow and Carsten

Rosenberg Hansen also put to use their expertise in several languages, including English, Turkish, Greenlandic, and old and modern Danish. Working with readers' responses to translations of the Danish folktale "Per Smed's Whip" (which they collected from several countries over a number of years), the three researchers ponder a wide variety of issues, most especially national differences in the interpretation of themes. The findings lead the researchers to wonder if "the whole discussion about 'free' vs. 'literal' translation, about attaining 'equivalence', no matter whether it is formal, dynamic, etc., is irrelevant to the literary response". Indeed, studies of what happens in the minds of readers of translated narratives are few and far between.

In her compendious and thoroughly researched article on the Fuzzy Synthetic Marking Model in translation testing, Mu Lei tackles head-on the mind-boggling problem of how to properly assess translations in various genres. While advancing a practicable method, her article is also built on firm theoretical foundations. Based on L. A. Zadeh's idea of "fuzzy sets", her marking model was subject to some trial tests conducted with the help of a team of experienced translation teachers and their students. Though its usefulness is proven almost beyond doubt, Mu Lei is modest enough to suggest, at the end of her article, that further modifications to her model are not only possible but also necessary.

A delightfully written book review wraps up this issue,

presenting what is evidently the most eagerly awaited series of Cantonese drama translations by a local, widely respected translation doyenne.

Leo Chan

May 2006

Translation as Revival and Transformation: The Poems of Bai Juyi in Arthur Waley's and Bertolt Brecht's Translations

Nigel Reeves and Liu Shusen

Abstract

This paper aims to explore how Arthur Waley and Bertolt Brecht disseminated Bai Juyi's poems in the English and German contexts, with a focus on looking into their political and ideological ambitions as revealed in their translated texts. On the basis of textual analysis along with historical evidence and ideological background, the paper shows that Brecht made Waley's political concerns more explicit so as to give his own translation heightened dramatic effect. In their translation/retranslation at the end of the First World War (1918), just prior to the Second World War (1937) and in its aftermath (1950) Waley and Brecht not only revived Bai Juyi for audiences in the English-speaking world and in Germany; they also subtly transformed his message in their new versions for a Western readership of the 20th century. Their translations, as a contrast with Georg Lukács' advocacy of a return to Europe's paramount literary achievement of the nineteenth century, the Realist Novel, are particularly striking.

In August 1938, *Das Wort* (*The Word*), a monthly German exiles' periodical published in Moscow and edited jointly by the German poet and dramatist, Bertolt Brecht, together with Willi Bredel and Lion Feuchtwanger,^[1] featured, under Brecht's authorship, *Sechs Chinesische Gedichte* (*Six Chinese Poems*).^[2] This periodical was host at the time to one of the most vehement literary debates of the 20th century, the so-called "Expressionism Debate". The chief protagonists in this debate were Brecht himself, the poet/translator of the six Chinese poems, and the Marxist literary critic, Georg Lukács. Following the first performance in 1930 of his satirical opera *The Rise and Fall of the City of Mahagonny*, Brecht claimed, in his *Notes* on the opera,^[3] that his work had not only renewed the operatic genre but changed its function from entertainment for society as it exists into an instrument for changing society through its effect on the political and social understanding of its audience. In December 1932 Lukács had directly criticised Brecht's *Notes* for their distinction between an aesthetic of pleasure and a new aesthetic aimed at instigating social change. His critique had appeared in the socialist periodical *Linkskurve* (*Left Curve*):

This theory obviously believes it can find a basis in Marx's last Feuerbach thesis: the distinction between "interpreting" and "changing" reality as the dividing-line between the old philosophy and Dialectic Materialism. But the distinction as presented here is mechanical and distorts the true meaning of Marx's thesis. The notion that prior to Marx there had only been "interpretations" of reality and since Marx we have simply changed reality is a superficial vulgarisation of Marx's view, resulting in the loss of both the Dialectic and Materialism.^[4]

This dispute between Brecht and Lukács grew still more bitter when, in 1936, Lukács published in *Das Wort* an article entitled "The Intellectual

Physiognomy of Artistic Creation" ("Die intellektuelle Physiognomie des künstlerischen Gestaltens"), in which he rejected the dramatic characters of Naturalist and Expressionist theatre as "purely abstract, narrow, one-dimensional and in the final analysis simply non-human figures".^[5] By 1938 Lukács had extended his attack to almost all literary production from Zola and Hauptmann to the Surrealists in favour of Realism, whose chief representatives he identified as Balzac, Dickens, Tolstoy, Keller and Heinrich and Thomas Mann. In the essay "It's a Matter of Realism" ("Es geht um den Realismus") Lukács repeated his argument of 1936 that only the rounded hero of the Realist Novel could incorporate the great, abstract questions of his age as questions that were a personal matter of life and death^[6] and so reveal the characteristic features of his historical era.^[7]

Every important Realist recreates, using methods of abstraction among others, what he has personally experienced in order to reach the laws of objective reality, the underlying, hidden, indirect, not immediately visible connections in social reality.^[8]

In contrast to James Joyce and other "avant-garde masters" the great Realists, including the Brothers Mann, offered "the broad masses of the people" access to their experience of life.^[9] Indeed, in the essay "The Intellectual Physiognomy of Artistic Creation", Lukács had already asserted that "only a culture of Realism as understood by the classic writers" could do justice to the age and society.^[10] For Lukács then, only a renewal of the major European literary genre of the 19th century, the Realist Novel, could show the way forward to the literary future of the 20th century.

Brecht was of a quite different opinion. At the same time as he was working on the opera *The Rise and Fall of the City Mahagonny* (1927-

1929), his associate, Elisabeth Hauptmann, had translated for him a Japanese Nô-play, *Taniko or Cast into the Abyss*. Her English language source was one of a collection of Nô-plays translated from the Japanese in 1921 by the famous English translator, Arthur Waley. ^[11] This Nô-play, *Taniko*, was to serve as the model for Brecht's drastic didactic play, *The Yes-Sayer* (*Der Ja-Sager*, written 1929-1930, published 1930), which the composer Kurt Weill set to music. Hauptmann continued her search for Far Eastern literary models and found, in French translation this time, a Chinese play that came to be the inspiration for a further didactic play by Brecht, *The Exception and the Rule* (*Die Ausnahme und die Regel*, written 1930, published 1937).

As early as 1935 in Moscow, Brecht had seen performances by the Chinese actor, Mei Lanfang and his theatrical troupe, and had participated in the scholarly discussions that were held with the actors. ^[12] In 1936 Brecht published a seminal essay, in which he used for the first time his later celebrated term "Verfremdung"—"alienation". Entitled "Alienation Effects in the Art of Chinese Acting" ("Verfremdungseffekte in der chinesischen Schauspielkunst") ^[13] Brecht developed in his essay the alienation concept to refer to a reflective distance created by the dramatist between the members of the audience, as observers, and the events and emotions displayed on the stage. The audience was not to be emotionally involved in the fates of the characters in the play but to remain critically detached.

Then, in 1938, Brecht received a copy of Waley's translation masterpiece, *One Hundred and Seventy Chinese Poems*, which had first appeared in 1918 but had already gone to several printings (and is still being reprinted in the West to this day). A significant part of Waley's anthology was devoted to the 9th century poet, Bai Juyi, (or Po Chü-I as Waley called him). Two elements seem to have attracted Brecht, particularly in the context of his debate with Lukács. The first was the Chinese poet's

(and court official's) profound compassion and his closeness to the people, which were made accessible by the simplicity of his style. Such an attitude and such simplicity even made it possible for the uneducated to understand his thoughts and feeling for them. In the preface to his translations of Bai Juyi Waley wrote:

The most striking characteristic of Po Chü-I's poetry is its verbal simplicity. There is a story that he was in the habit of reading his poems to an old peasant woman and altering any expression she could not understand. The poems of his contemporaries were mere elegant diversions which enabled the scholar to display his erudition, or the literary juggler his dexterity. ^[14]

In his own preface to the *Chinesische Gedichte* of 1950, Brecht's German versions of Waley's translations, Brecht did not reproduce this point. Instead he emphasised Waley's view that Bai Juyi's didactic purpose follows the Confucian tradition and highlighted Waley's interest in the criticism that Bai Juyi expresses in his poems of the sycophantic courtiers of his time, the militarism of the Chinese Empire and the exploitation of the peasantry. Quoting Waley's text almost verbatim, Brecht wrote that Bai Juyi had said of his own activities:

When the tyrants and favourites heard my songs, they looked at each other and drew long faces.

Brecht went on, still quoting Waley's preface:

His songs were "on the lips of peasants and stable-boys", they were written "on the walls of village schools, temples and ships' cabins". ^[15]

However, Brecht could not accept everything that Waley wrote. Remaining true to his own Marxist convictions, which he had held since the late 1920s, when he first began a systematic study of Marx's *Capital* (*Das Kapital*), Brecht omits or "edits" Waley's trenchant rejection of Bai Juyi's unshaken adherence to literary didacticism, retaining only the elements that accorded with his own purpose. Waley had written:

Like Confucius, he [Bai Juyi] regarded art solely as a method of conveying instruction. He is not the only great artist who has advanced this untenable theory. He accordingly valued his didactic poems far above his other work; but it is obvious that much of his best poetry conveys no moral whatsoever. The didactic poems or satire belong to the period before his first banishment. "When the tyrants and favourites heard my Songs of Ch'in, they looked at one another and changed countenance", he boasts. Satire, in the European sense, implies *wit*; but Po's satires are as lacking in true wit as they are unquestionably full of true poetry. We must regard them simply as moral tales in verse. ^[16]

Brecht also substantially altered the emphasis of another of Waley's observations. Waley had written in the preface to the translations of Bai Juyi's poems:

His enemies soon found an opportunity of silencing him. In 814 the Prime Minister, Wu Yuan-heng, was assassinated in broad daylight by an agent of the revolutionary leader, Wu Yuan-chi. Po, in a memorial to the Throne, pointed at the urgency of remedying the prevailing discontent. He held at this time the post of secretary to the Princes' tutor. He should not have criticized the Prime Minister (for being murdered!) until the official Censors had spoken, for he held a Palace appointment which did not carry with it the right of censorship. ^[17]

Brecht wrote that not only did Bai Juyi "draw attention to the intolerable suffering of the masses", but "when the Chancellor was killed by revolutionaries, he still criticised him because he had done nothing to ameliorate the general discontent, and so he [Bai Juyi] was banished". ^[18] Thus Brecht explicitly endeavoured to shift the reader's attention from Bai Juyi's error in breaching the limits of his official powers to the murdered Chancellor's failure to help ordinary people in their distress. We shall have reason to return to this point below.

The affinities between Bai Juyi and Brecht are plain to see. Of course it could not be claimed that this Chinese poet of the 9th century AD was a philosophical precursor of Marx. But he shared with Brecht a preference for a simple, accessible style, a profound sympathy for ordinary people and a keen awareness of social injustice, in addition to his determination to intervene in the social wrongs at least by way of writing poems. In his translations Waley succeeded in capturing the Chinese poet's uncomplicated tone. A comparison of Brecht's "translations", as he called them, from the English into German, generally reveals a close adherence to Waley's choice of words and syntax. What is surprising is that Waley on the other hand claimed not to accept Bai Juyi's didactic purpose despite the fact that Bai Juyi is the only poet in the anthology to whom an essay is devoted. Indeed Bai Juyi's poems occupy in length some 40% of the entire collection. Of his fifty-one poems represented there, ten, arguably eleven, contain critical comments on the lack of social justice in the Empire. True, many others of his poems, like those of the other poets who feature in the anthology, are about the misery of exile, separations from one's beloved through travel or death, and the transitoriness of life and happiness. Nevertheless the critical poems form the core and it was this that must have appealed to Brecht.

If, for Waley, genuine satire had to display "wit", the most agile kind of humour, and if there is a fundamental distinction between "true

poetry” and satire, Waley’s selection of poems and poets is strange. It seems plausible that Waley, sensing the topicality of these poems, wanted to make them available to a broad public. It was a public which must have been deeply worried and personally affected by the appalling slaughter of the First World War and which was becoming ever more acutely aware of the inequalities in the rigid British class system as a result of the social upheavals caused by the first truly “industrialised” war and the unprecedented loss of life among young men, husbands, brothers, sons. On the other hand, Waley, himself an upright young official of the British Museum, may have wanted to preserve at least the appearance of a late-Victorian sense of decency and maintain traditional literary values such as the pre-eminence of pure lyric poetry as it had established itself in the Age of Romanticism, a poetry of feeling and of nature, the type of poetry we find perpetuated in the work of the British Poet Laureate of the time Alfred Lord Tennyson. However, there were other features of late Romantic establishment poetry that Waley rejected, particularly the pretentious use of latter-day Platonic abstracts. In a later introduction to a reprint of the anthology, Waley expressly stated how the simplicity of both the language and the thoughts of the Chinese poems had attracted a readership among ordinary, unprivileged people such as secretaries and clerks, who never normally read poetry:

The reason they got on all right with Chinese poetry was, I think, that it mainly deals with the concrete and particular, with things one can touch and see—a beautiful tree or lovely person—and not with abstract conceptions such as Beauty and Love. ^[19]

In other words Waley seems to have reached precisely the audience that Bai Juyi would have sought.

It could even be argued that these thousand-year-old Chinese poems

in English translation enabled Waley to operate as a covert critic of his age, a technique that reminds us of other writers who wrote in times of formal—or in Waley’s case informal—censorship and used literary models as masks, for example Montesquieu’s celebrated *Lettres Persanes* (*Persian Letters*) of 1719. These letters were new creations in foreign guise, as if written by Persian visitors to the France of Louis XVI not by a French citizen, who would be more likely to fall foul of the censor, while the setting itself is moved from France to an Eastern country that could be regarded as despotic without fear of incurring anger from the French authorities. The new versions of the Chinese originals that we find in Waley and Brecht also function as masks, yet masks that still reveal the physiognomy of the translators by expressing their true beliefs in the safety of anonymity.

If we believe Brecht’s words in his own preface to the *Chinese Poems*, he thought he had found in Waley literal, “word-for-word translations”. ^[20] It is not, however, true that Waley always adhered to his originals. We can find no evidence that Brecht knew the originals or had them re-translated directly from the Chinese. His assistant Elisabeth Hauptmann translated Waley’s English into German for Brecht, including both poems from the anthology and Waley’s translations of Japanese Nô-plays. She also translated Chinese plays from French versions, as well as American short stories. ^[21] Brecht was thus heavily reliant on Hauptmann’s translations of what were themselves, in Waley’s case, translations. He was, therefore, working at two removes from the original texts. However, Brecht made significant alterations to the German text he will have received from Hauptmann for we have no reason to suppose that it was Hauptmann herself who introduced those changes. But it is important to note that it is improbable that Hauptmann went back to the originals or indeed could understand any Chinese. She was almost completely reliant on Waley’s English versions. The alterations that Brecht himself

introduced are the subject of the remainder of this article.

Let us turn initially to what is perhaps the most drastic example of alteration, or indeed of transformation. We find in Waley's anthology a four-line poem by Bai Juyi, entitled in English "The Big Rug".^[22] It reads:

The Big Rug

That so many of the poor should suffer from cold what can we do to prevent?

To bring warmth to a single body is not much use.

I wish I had a big rug ten thousand feet long,

Which at one time could cover up every inch of the City.

This translation, of epigrammatic brevity, makes an unambiguous social point. An individual may protect himself from the winter cold with a rug. But that can provide no warmth for an entire poverty-stricken city quarter. To achieve that you would need a huge carpet, which, it is implicitly stated, is just a wild dream of compassion. But it could have been the kind of dream that might have occurred to a good number of thoughtful readers in England at the time of publication in 1918, at the end of a devastating war that had brought together men—and women—of different classes as never before and had highlighted the inequalities in Britain between the classes and between the sexes that had persistently survived, even if lessened to a degree, a hundred and fifty years of industrialisation. Below is Bai Juyi's original poem together with a word-for-word interlinear translation.^[23]

《新製綾襖成感而有詠》

水波文襖造新成，綾軟綿勻溫複輕。

晨興好擁向陽坐，晚出宜披踏雪行。

鶴氅毳疏無實事，木棉花冷得虛名。

宴安往往歡侵夜，臥穩昏昏睡到明。

百姓多寒無可救，一身獨暖亦何情。

心中為念農桑苦，耳裏如聞饑凍聲。

爭得大裘長萬丈，與君都蓋洛陽城。

newly / make / silk / jacket / completed / affected / so / had /
intone

water / wave / pattern / jacket / made / newly / completed,

silk / soft / floss / even / warm / also / light.

morning / rise / enjoy / wrap / facing / sun / sit,

evening / out / should / wrap / round / tread / snow / walk.

crane / cloak / feather / scanty / not / real / help,

kapok / flower / cold / gain / hollow / reputation.

feel / happily contented / often / joy / approach / night,

lie / properly / drowsily / sleep / till / dawn.

common people / majority / cold / nothing / accessible / rescue,

single / body / alone / warm / mean / what / feeling.

heart / central / for / think / farmers / sericulturists / hardship,

ear / inside / seem / hear / hungry / frozen / cries.

wish / gain / enormous / fur cloak / long / ten thousand / feet,

with / you / all / cover / Luoyang / city.

With regard to the content of the Chinese original and Waley's English translation, the contrast is striking. Not even the Chinese title bears any resemblance to Waley's. Bai Juyi's poem is a fourteen-line occasional poem, celebrating the poet's acquisition of a newly made warm jacket before it turns to his concerns with the poor people. The jacket is made of silk woven with a wave pattern and lined with silk floss. The poet imagines that he can wear the new jacket sitting outside in the

morning sunshine to enjoy the winter sun in comfort, or he can go out of an evening in spite of the snow. Living a rich, happy, and contented life, he may even sleep off the effects of a late winter's evening party, without suffering from the cold. That concludes the first part of the poem, speaking of the occasion to be remembered and celebrated.

In its latter part the mood changes. The poet turns to belittle his own luxurious life when he realises that he cannot help the many poor city-dwellers to keep out the winter cold. Yet they are the very people who do the farm work and cultivate the mulberry bushes and so rear the silkworms that are the source of the material for his jacket. Inwardly he hears the hungry moans of freezing labourers. There comes his wish for the needy people. If only he had a huge cloak, which could be laid across the whole city and its inhabitants in order to warm them and keep out the cold. The poet's dismay at this injustice, the social irony, constitutes the climax of this poem, a climax that is all the more powerful through the contrast with the long introduction, initially celebrating the apparently innocent pleasure derived by the poet from his jacket, a pleasure that seems to move briefly to a moment of self-centred content, only then giving way to his thoughts on the plight of the silk producers. The image that he conjures up of some huge cloak to keep everyone warm is just a fantasy.

In Waley's translation, the occasion for the poem, the new jacket, has vanished. What remains is the sympathy for the plight of the poor in winter. Waley has not only truncated the poem and transformed the jacket into an unlikely giant cloak, he has magnified Bai Juyi's words, where the poet asks what might be done for the silk producers, into the question whether there might be a social solution, as shown in the last two couplets of the Chinese poem:

心中為念農桑苦，耳裏如聞饑凍聲。

爭得大裘長萬丈，與君都蓋洛陽城。

Thanks to his deletion and manipulation of the text, this reads in Waley's version:

That so many of the poor shall suffer what can we do to prevent?

In the distance we can just hear the socialist discussions that were in progress at the end of the War in the intellectual circles in which Waley would have moved, but which in England would have centred on reform rather than revolution as had been sporadically attempted in Germany in 1918, the subject of Brecht's early drama, *Trommeln in der Nacht* (*Drums in the Night*, 1918-1920), in which Kragler, a First World War soldier returned from the Front, shrinks from supporting the Spartacist uprising in Berlin.

For Waley, the purely covert critic of his times, a solution was just a fantasy, the fantasy that was Bai Juyi's. For Brecht, however, it was a different matter. There are two versions of his poem "Die große Decke" ("The Big Blanket"), the first from 1938 soon after he had had access to Waley's anthology, and a slightly modified text from 1950.^[24] This is the latter version:

Der Gouverneur, von mir befragt, was nötig wäre
Den Frierenden in unsrer Stadt zu helfen
Antwortete: Eine Decke, zehntausend Fuß lang
Die die ganzen Vorstädte einfach zudeckt.

(The Governor, questioned by me, what should be done
To help those freezing in our city
Replied: A blanket, ten thousand feet long

That simply covers all the outer city quarters)

We have to assume that Brecht had no idea that Waley's text was neither a close translation nor a mere four lines from a fourteen-line poem ironically reflecting on the plight of exploited farmers and silk-producers whose work served to keep a few happy individuals warm while they themselves were freezing. As a convinced Marxist of the 1930s, Brecht would surely have made more of such material with its direct mention of peasants working for the benefit of the more privileged while suffering abject conditions themselves. Nevertheless, Brecht was clearly attracted by both the concentrated, antithetical structure of Waley's four-line poem and the social question it still raises. Bai Juyi's concern for the less fortunate, highlighted by Waley's omission of the major part of the poem and by his question whether there might be a social solution, is further sharpened by Brecht, who places the issue into a directly political context. He creates the figure of the City Governor, and, indicating his own background as a dramatist as well as a poet, engages the Governor in a quasi-dramatic dialogue. It was a modification that his reading of Waley's biography of Bai Juyi in the anthology may have prompted. For, as we saw, Waley had highlighted Bai Juyi's memorandum to the Emperor when a "Prime Minister" was assassinated by revolutionaries demanding an improvement in social conditions, a memorandum that was deemed *ultra vires* and therefore led to the poet's banishment. The "Prime Minister" was the man who should have had responsibility for the welfare of poor people. In Brecht's poem he becomes the Governor who does nothing to alleviate the plight of the poor in the winter cold. Bai Juyi's fantasy, the giant cloak to keep the whole outer city warm, which, through its lack of realism, is essentially pessimistic in tone, becomes in Brecht the scornful answer of an unassailable ruler. Put bluntly, the Governor declares, "ask a foolish question and you will receive a foolish answer".

And in another subtle twist it is no longer the whole city that needs the covering, it is just the outskirts, the area occupied by the poor, implying that the centre where the ruling elite live has no such need.

Brecht, the dramatist, who, in contrast to the Naturalist and Realist dramatists of the 19th century, wanted to sever the empathetic link between audience and stage characters through the process of alienation, "Verfremdung", which he thought he had found in the Chinese theatre tradition brought to Moscow by Mei Lanfang's troupe, had already explored the use of placards bearing short, shocking statements to bring out the prevailing attitudes and processes that the play and the actors were demonstrating on the stage. The purpose was to make the audience think again about such attitudes, which they may themselves have shared without reflection, and to enable them to recognise social processes in which they may unthinkingly have been participating. An example is the placard displayed in the play *Trommeln in der Nacht*, "Jeder Mann ist der Beste in seiner Haut", which broadly means "Every man for himself!",^[25] illustrating the essentially selfish attitude that Brecht thought permeated society and which, when he had become familiar with Karl Marx's writings later in the 1920s, he came to believe characterised the very nature of capitalism. It is a theme that runs through his satirical opera *The Rise and Fall of the City of Mahagonny*, a parody of a get-rich-quick American capitalist city, written when he was articulating his theory of a non-empathetic theatre, or "non-Aristotelian theatre" as he called it, a theatre that makes the audience think rather than feel, and that would tell a story illustrating a social and political situation rather than dramatise the personal situation of characters caught up in it.^[26]

The play by Brecht that demonstrates most starkly the double meaning of alienation (Marx—"Entfremdung", Brecht—"Verfremdung") is set in China and was written after Brecht had become acquainted with Waley, Bai Juyi and Japanese Nô-plays. It is *Der gute Mensch von Sezuan*

(*The Good Woman of Setzuan*) written 1938-1940.^[27] “The Good Woman”, Shen Te, is a good-hearted prostitute, selected by the gods to salve their consciences, by showing that even the most unfortunate creatures in society can remain truly human. To demonstrate their belief in the essential goodness of the human being irrespective of their social circumstances (a view that Brecht as a Marxist rejected) the gods give Shen Te enough money to abandon her trade and to set up a small tobacco shop. But Shen Te soon finds that in order to survive in the cut-and-thrust of capitalist business she has to protect herself against predatory men and women seeking to take advantage of her goodness. So she creates a more ruthless male cousin who knows the rules of capitalist business, deals with the predators and builds up the tobacco shop into a profitable factory. Shui Ta, the cousin, is in fact Shen Te in disguise. She needs the cousin to protect herself and her unborn child. Thus the audience is intended to see how capitalist society alienates the person from his/her true self (in Marxian terminology “*Entfremdung*”), while the audience, theoretically at least, is detached from the events on the stage through the theatrical technique of “*Verfremdung*”—Brecht’s own term—and is thus prevented (in theory at least) from being drawn into uncritical emotion and identification with the central figure.

Brecht’s recreation of Waley’s truncated translation of Bai Juyi’s poem as an encounter between a cynical ruler and someone who questions the permanence of social reality reminds us in its epigrammatic brevity and its irony of those placards on the stage, intended to wake us up and make us think.

Brecht has, then, dramatised the four-line poem, originally by Bai Juyi, which he found in Waley, not knowing that it was only a transformed fragment of a longer piece, and has altered it to fit his own political purpose. Waley shaped his translations of Bai Juyi to serve not only a social critical purpose, which was already present in the Chinese original

—but to give the poems a more obvious political dimension. He transformed an occasional poem with a profound personal reflection on the suffering of a section of society into an epigrammatic barb, which, despite his own protestation in favour of wit, is in fact a covert satirical attack on the social ills of poverty and deprivation and raises the political issue: what steps should be undertaken to right that ill? Brecht, unaware of the material in the original poem that would have given an economic context to the translation entirely in keeping with his own Marxian standpoint, has revived the poem by introducing a dramatic dialogue and has placed the truncated text in a new political context by introducing the figure, responsible in theory for looking after the poor of the city, the Governor.

Is this alteration of what is called a translation (*Übertragung*) an exception? A close examination of the other Brechtian versions of Waley’s Bai Juyi translations reveals a pattern of change, less drastic, subtler but of a similar basic nature. We shall now consider three further poems by Bai Juyi, two of which were included in Brecht’s original 1938 collection, the third “The Flower Market” (“*Der Blumenmarkt*”) being added in 1950 (though it is argued in the critical edition that it was already written in 1938).^[28]

The third poem in the original Brecht collection is entitled “*Der Politiker*”.^[29] This is Waley’s translation, which Brecht read in the 1918 anthology, followed by Brecht’s version to be compared with the original Chinese and its English transcription:

The Politician

I was going to the City to sell the herbs I had plucked;
On the way I rested by some trees at the Blue Gate.
Along the road there came a horseman riding,
Whose face was pale with a strange look of dread.

Friends and relations waiting to say good-bye
 Pressed at his side, but he did not dare to pause.
 I, in wonder, asked the people about me
 Who he was and what had happened to him.
 They told me this was a Privy Councillor
 Whose grave duties were like the pivot of State.
 His food allowance was ten thousand cash;
 Three times a day the Emperor came to his house.
 Yesterday he was called to a meeting of Heroes:
 Today he is banished to the country of Yai-chou.
 So always, the Counsellors of Kings;
 Favour and ruin changed between dawn and dusk!
 Green, green, —the grass of the Eastern Suburb;
 And amid the grass, a road that leads to the hills.
 Resting in peace among the white clouds,
 At last he has made a "coup" that cannot fail!

(Trans. Arthur Waley)

Der Politiker

Wie üblich, meine frisch gepflückten Kräuter
 Zum Markt zu bringen, ging ich in die Stadt.
 Da es noch früh am Tage war
 Verschnaufte ich mich unter einem Pflaumenbaum
 Am Osttor.
 Dort war's, daß ich die Wolke Staubs gewahrte.
 Herauf die Straße kam ein Reiter.
 Gesicht: grau. Blick: gejagt. Ein kleiner Haufe
 Wohl Freunde und Verwandte, die am Tor
 Schlaftrunken und verstört auf ihn gewartet, drängten sich
 Um ihn, ihm Lebewohl zu sagen, aber

Er wagte nicht zu halten. Ich, erstaunt
 Fragte die Leute um mich, wer er war
 Und was ihm zugestoßen sei. Sie sagten:
 Das war ein Staatsrat, einer von den Großen.
 Zehntausend Käschen Diäten jährlich. Noch im Herbst kam
 Der Kaiser täglich zweimal in sein Haus. Noch gestern
 Aß er zur Nacht mit den Ministern. Heute
 Ist er verbannt ins hinterste Yai-chou.
 So ist es immer mit den Räten der Herrscher
 Gunst und Ungnade zwischen zwölf Uhr und Mittag.
 Grün, grün das Gras der östlichen Vorstadt
 Durch das der Steinfeld in die Hügel führt, die friedlichen
 Unter den Wolkenzügen.

(Trans. Bertolt Brecht)

《寄隱者》(The Chinese Original)

賣藥向都城，行憩青門樹。
 道逢馳驛者，色有非常懼。
 親族走相送，欲別不敢住。
 私怪問道旁，何人復何故？
 雲是右丞相，當國握樞務。
 祿厚食萬錢，恩深日三顧。
 昨日延英對，今日崖州去。
 由來君臣間，寵辱在朝暮。
 青青東郊草，中有歸山路。
 歸去臥雲人，謀身計非誤。

to / recluse (An Interlinear Translation)

sell / herbs / towards / capital / city,
 go / rest / green / gate / tree.

road / encounter / galloping / horseback / rider,
 complexion / show / not / usually / terrified.
 relatives / kin / walk / see / off,
 want / farewell / not / dare / pause.
 I / surprised / ask / roadside / onlookers,
 what / person / and / what / reason.
 answer / be / right-sided / prime / minister,
 manage / country / hold / pivotal / duties.
 income / high / feeding / ten thousand / money,
 favour / profound / daily / three / visits.
 yester / day / invited / meeting eminent / persons,
 this / day / Ya / county / go.
 ever / since / monarch / ministers / between,
 favour / humiliation / be / morning / evening.
 green / green / eastern / suburb / grass,
 middle / exist / return / mountain / road.
 return / go / crouching / clouds / man,
 seek / life / plan / not / wrong.^[30]

If we look at the Chinese original and our “character-for-word” translation, it will be seen that Waley has altered the title in two ways. Firstly the original poem is addressed to a person. The nature of that person is indicated in the last lines as the poet’s own commentary on the episode, where he suggests that in view of the vicissitudes of royal official life, in which the highest favour and power can be replaced by humiliation and rejection in the span of a single day, it is best to retreat to the recesses of mountains and live a life without fear of making fatal judgements or errors. To the poet it seems that there may still be an opportunity to alter the course of life. These observations are directed to a recluse, which the Chinese title indicates. One such recluse is the herbal medicine seller

of the opening lines who is resting under the trees by the city gate, probably called the Green Gate because of the colour of its trees. In the Tang Dynasty when this poem was written it would probably have been the East Gate, the traditional gate for saying farewell. The emphasis in Bai Juyi’s poem would seem to be on the benefit of countryside life rather than the direct critique of the political cut-and-thrust of the capital. Green in Chinese is also believed to be the colour of nature, life, and energy, but Waley’s choice of “Blue Gate” instead of the “green gate” in the original seems to focus on the urban life the Western audience is familiar with. The poet assumes the role of a witness to the contrast between the simple life of the herbal medicine maker, resting quietly outside the city before selling his goods, and the turbulent retreat into exile of the disgraced Prime Minister. The title “To a Recluse” seems to emphasise this detachment of the poet and his observations on the better way of life, exemplified by the medicine-seller.

Waley has merged the medicine-seller and the poet, ignoring the poet’s detachment and focusing the reader’s attention on the plight of the politician. His introduction of the phrase “coup that cannot fail”, accompanied by the obvious reference to death awaiting him in the line “Resting in peace among the white clouds”, removes entirely the original’s suggestion that a return may be possible and makes more explicit the comment on the unpredictable nature of political life. Furthermore Waley has highlighted the importance of the politician by mentioning that the Emperor actually visited him three times a day, clearly exaggerating a political and social possibility at that time. The “high favour” lay rather in his access to contact with the Emperor three times a day, not the reverse.

The central contrast in the original between two ways of life was, however, to emerge in another of Waley’s Bai Juyi translations, “An Early Levée”, not taken up by Brecht,^[31] which is addressed to a hermit in the

sub-title and contrasts the quiet, snug life of the recluse with the exigencies and hardships of the courtier who must brave the extremes of a winter morning to congratulate the Emperor. And in Waley's second version of "The Politician" of 1946, he redresses the balance of Bai Juyi's poem by retitling it "The Hermit and the Politician".

In Brecht's version of 1938 the poet speaks throughout in the first person and is identical with the herb gatherer, as in Bai Juyi's original. He adds that he rested because it was early in the day and enriches the description by making the trees plum trees. The Blue Gate is now the East Gate. The horseman is in full dramatic evidence: "Herab die Straße kam ein Reiter geritten" ("Down the street a horseman came riding"). He has a grey face, and his horse throws up the cloud of dust—of which there is no mention in the Chinese or in Waley's version. This first alerts the herb-gatherer to the drama of the event. His hunted look—"Gesicht: grau Blick gejagt" ("Face: grey. Look—hunted")—tersely replaces Waley's Byronic embellishment. In the Chinese, in Waley and in Brecht the little crowd are "friends and relations", though Brecht adds "wohl"—"probably", "wohl Freunde und Verwandte", who come to see him off. This is interesting since the Chinese is also cryptic in the rendering of who may be friends. In Waley's English version they are "pressing at his side" and in Brecht's they are pressing around him "eifrig"—"eagerly", perhaps to ascertain in detail what has happened. In the original they are simply walking, all evidence of Brecht's sense of the theatrical.

Waley suggests the management of the State exercised by this minister with the addition of the metaphor of the pivot. The term "Privy Councillor" conveys the historical quality of the setting, but fails to indicate that he was one of the only two such ministers in the national government, the one who sat on the right of the Emperor. In his 1938 version Brecht sidesteps any such issue with the more evocative "einer der Größten", ("one of the greatest") while he almost seems to put the

words into the mouths of the onlookers approached by the poet when he changes it in the 1950 version to "einer der Großen", ("one of the great")—a "them and us" image.

Brecht has emphasized the Prime Minister's huge food allowance by extending the invitation to a banquet to the most "eminent persons", now also "heroes", "Heroen". The yesterday and today contrast of the Chinese is, however, preserved in both the English and the German. Waley has weakened the coming and going of the Emperor's ministers with his "So always, the Counsellors of Kings".

In his first version Brecht sensitively omits Waley's rather banal references to resting in peace among white clouds though he retains the last "coup", none of which properly renders Bai Juyi's concept of the choice to take the road leading to tranquillity, from which a late return is still possible. In the second version Brecht omits the "coup" and cleverly avoids Waley's sentimental banality with a "Steinpfad" ("a stony path") that leads into peaceful mountains amid banks of clouds.

Nevertheless the fundamental contrast made by Bai Juyi between the fate of politicians and the precipitous changes of fortune that beset them with the peace and quiet of the reclusive herb gatherer (who in the Chinese cultural context seeks to heal men) is substantially weakened in both Waley and Brecht and only indicated faintly by the emphasis on the green, green grass of the suburb.

For Brecht the appeal of the poem will have lain in the satirical insight into the irrationality of political power and the excesses of those that can only enjoy it while favour lasts. For Waley, if we accept his own introductory remarks on Bai Juyi at face value, the poem is rather to be understood as a moral tale, the higher you are in an institution of power, the deeper and more suddenly you may fall when disgrace comes. Nonetheless we cannot discount the possibility of Waley seeking to express political criticism in a subtle manner that would not harm his

own standing. In Bai Juyi, the poem certainly expresses the contrast between two ways of life, both of which the poet, we know, had experienced, and while the text hints at the possibility of return from banishment, it is the quiet socially useful life of the herb-gatherer which is presented as positive.

Such points also find fine expression in other poems like "The Dragon of the Black Pool". Below are Waley's English version, Brecht's German retranslation, and Bai Juyi's original, which is followed by an interlinear English translation.

The Dragon of the Black Pool

A Satire

Deep the waters of the Black Pool, coloured like ink;
They say a Holy Dragon lives there, whom men have never seen.
Beside the Pool they have built a shrine! The authorities have established
a ritual;
A dragon by itself remains a dragon, but men can make it a god.
Prosperity and disaster, rain and drought, plagues and pestilences—
By the village people were all regarded as the Sacred Dragon's doing.
They all made offerings of sucking-pig and poured libations of wine;
The morning prayers and evening gifts depended on a "medium's"
advice.

When the dragon comes, ah!
The wind stirs and sighs.
Paper money thrown, ah!
Silk umbrellas waved.
When the dragon goes, ah!
The wind also—still.
Incense-fire dies, ah!

The cups and vessels are cold.

Meats lie stacked on the rocks of the Pool's shore;
Wine flows on the grass in front of the shrine.
I do not know, of all those offerings, how much the Dragon eats;
But the mice of the woods and the foxes of the hills are continually
drunk and sated.

Why are the foxes so lucky?
What have the sucking-pigs done,

That year by year *they* should be killed, merely to glut the foxes?
That the foxes are robbing the Sacred Dragon and eating His sucking-
pig,
Beneath the nine-fold depths of His pool, does He know or not?

(Trans. Arthur Waley)

Der Drache des schwarzen Pfuhls

Tief sind die Wasser des schwarzen Pfuhls und
Tintenfarbig. Es heißt, ein sehr heiliger Drache
Wohne hier. Kein menschliches Auge
Hat ihn je gesehen, aber neben dem Pfuhl
Hat man einen Schrein gebaut und die Behörden
Haben ein Ritual eingerichtet. Ein Drache
Bleibt vielleicht ein Drache, aber die Menschen
Können aus ihm einen Gott machen. Die Dorfbewohner
Betrachten gute Ernten und Mißwachs
Heuschreckenschwärme und kaiserliche Kommissionen
Steuern und Seuchen als Schickungen des sehr heiligen Drachen. Alle
Opfern ihm kleine Ferkel und Krüge mit Wein, je nach den Ratschlägen

Eines der ihrigen, der das Zweite Gesicht hat.
Er bestimmt auch die Morgengebete und die
Feierabendhymnen.

Gegrüßt seist du, Drache, voll der Gaben!
Heil dir im Siegerkranz
Retter des Vaterlands, du
Bist erwählt unter den Drachen und erwählt ist
Unter allem Wein der Opferwein.

Fleischstücke liegen auf den Steinen am Pfuhl herum
Das Gras vor dem Schrein ist von Wein befleckt.
Ich weiß nicht, wieviel von seinen Opfergaben
Der Drache ißt. Aber die Mäuse des Gehölzes
Und die Füchse der Hügel sind beständig betrunken und überfressen.

Warum sind die Füchse so glücklich?
Was haben die kleinen Ferkel getan?

Daß sie geschlachtet werden sollen Jahr für Jahr, nur
Um die Füchse zu hofieren? Der sehr heilige Drache
In der neunfältigen Tiefe Seines Pfuhles, weiß Er
Daß die Füchse Ihn berauben und fressen Seine kleinen Ferkel
Oder weiß Er es nicht?

(Trans. Bertolt Brecht)

《黑潭龍》(The Chinese Original)
黑潭水深黑如墨，傳有神龍人不識。
潭上駕屋官立祠，龍不能神人神之。
豐凶水旱與疾疫，鄉里皆言龍所為。

家家養豚漉清酒，朝祈暮賽依巫口。
神之來兮風飄飄，紙錢動兮錦傘搖。
神之去兮風亦靜，香火滅兮杯盆冷。
肉堆潭岸石，酒潑廟前草。
不知龍神享幾多，林鼠山狐長醉飽。
狐何幸？豚何辜？年年殺豚將喂狐。
狐假龍神食豚盡，九重泉底龍知無？

black / pool / dragon (An Interlinear Translation)

black / pool / water / deep / black / like / ink,
rumour / exist / divine / dragon / men / never / know.
pool / above / built / house / authorities / establish / shrine,
dragon / fail / become / god / man / apotheosize / it.
prosperous / ominous / flood / drought / and / pestilence,
villages / within / all / say / dragon / has / done.
family / family / feed / pig / filter / sacrificial / wine,
morning / pray / evening / sacrifice / rely / witch / mouth.
deity / will / come / ah / wind / stir / stir,
paper / money / move / ah / silk / umbrella / wave.
deity / will / go / ah / wind / also / tranquil,
incense / fire / extinguish / ah / cup / dish / cold.
meat / heap / pool / ashore / rock,
wine / splash / temple / affront / grass
never / know / dragon / deity / enjoy / how / much,
forest / mice / hill / foxes / long / drunk / glut.
foxes / why / lucky?
pigs / anything / guilty?
year / year / kill / pigs / will / feed / foxes.
foxes / pretend to be / dragon / deity / eat / pigs / up,
nine / fold / pool / bottom / dragon / know / if.

Waley added the sub-title "A Satire", which is not in Bai Juyi's original, despite the fact that he had claimed in his introduction that Bai Juyi was a moralist rather than a satirist. Waley seems to have had in mind that the reader would have to understand that the Dragon, the villagers, the animals, and the mysterious "medium" were all allegorical in intention. But quite apart from this addition, the significance of the Dragon as the quintessential symbol of China and thus of the Emperor and the fact that black is the colour specifically of the Chinese ink used for calligraphy and graphic art would probably have made the allegory obvious to a Western reader. Brecht does not reproduce the sub-title, indicating his different understanding and intention. The mysterious "medium" is in Chinese a "magician", more active in his powers than a visionary and certainly not the "einer der ihrigen"—"one of their number" that Brecht makes of him to implicate the ordinary people and their superstitious stupidity more firmly in the unnecessary suffering of the pigs, a further example of how Brecht heightens and extends the political critique. To him, the people who support tyranny are as blameworthy as those that perpetrate the ills.

Waley insets the next lines as a separate stanza, where the poet, in the Chinese as in his own version, vividly depicts how the presence of the Dragon is marked by the rising of the wind and the excited response of the villagers watching and waiting. As Waley states in a footnote, the inset is to emphasise that these lines are a parody of a religious song from the Han Dynasty. In addition, Waley has pointed up towards the end of the poem with the fuller syntax of his English that the pigs are effectively being executed without inherent guilt, in order to satisfy the greed of the cunning court sycophants (the foxes) and, probably, of minor figures such as court servants (the mice) who live off the bounty brought to the Emperor by the villagers. But the Emperor, who lives in complete isolation, has no knowledge of the sacrifice of the pigs, the

peasants whose produce sates the court while they may enjoy none of the fruits of their labour.

Both Waley and after him Brecht have heightened the contrast between the lucky foxes and the innocent pigs by inseting the questions, the introduction of "merely", "nur", while Brecht cleverly brings out the court connection with the verb "hofieren", "to fête" but incorporating in the German the term "Hof" meaning "the (royal) court". Both emphasise the "holiness" of the Dragon/Emperor through using capital letters for the personal and possessive pronouns.

In the Chinese of Bai Juyi, the primary target is the courtier. Criticism of the Emperor is far more veiled yet present. It is not clear that the Emperor knows, but doubt about the ultimate validity of his authority is indicated by the role of the magician who controls the ritual of the revelation and thus the whole process of exploitation of the villagers from the play on their gullibility to the unwarranted sacrifice of their pigs. In this poem, Waley and Brecht are close in the degree to which the implicit political critique is presented.

In his collection of *Chinesische Gedichte* published in *Versuche* in 1950, Brecht included Bai Juyi's poem "The Flower Market" ("Der Blumenmarkt").^[32] The peony was traditionally the sign of spring after the hardships of winter in North China, and although it was only in the 1880s that it had been enhanced as a national symbol of China, the reference in the original to the Imperial capital, Xi'an, at this time, suggests that the flower already symbolised the Empire and its way of life. It was because of the flower's cultural and seasonal significance that such care was taken of the plants, and a whole market could be devoted to the sale of the flower instead of the staples of life. The costliness and extravagance of buying these plants with their blossoms is evident in all three renderings. In order to make a comparative study of the three versions of the poem, it is again necessary to present them along with an English

translation of the Chinese original, as follows.

The Flower Market

In the Royal City spring is almost over:
Tinkle, tinkle—the coaches and horsemen pass.
We tell each other “This is the peony season”:
And follow with the crowd that goes to the Flower Market.
“Cheap and dear—no uniform price:
The cost of the plant depends on the number of blossoms.
For the fine flower,—a hundred pieces of damask:
For the cheap flower,—five bits of silk.
Above is spread an awning to protect them:
Around is woven a wattle-fence to screen them.
If you sprinkle water and cover the roots with mud,
When they are transplanted, they will not lose their Beauty.”
Each household thoughtlessly follows the custom,
Man by man, no one realizing.
There happened to be an old farm labourer
Who came by chance that way.
He bowed his head and sighed a deep sigh:
But this sigh nobody understood.
He was thinking, “A cluster of deep-red flowers
Would pay the taxes of ten poor houses.”

(Trans. Arthur Waley)

Der Blumenmarkt

In der Königlichen Hauptstadt ist der Frühling fast vorüber.
Wenn die Gassen sich füllen mit Kutschen und Reitern: die Zeit
Der Päonienblüte ist da. Und wir mischen uns
Mit dem Volk, das zum Blumenmarkt drängt. »Heranspaziert!

Wählen Sie Ihre diesjährigen Blumen. Preise verschieden.
Je mehr Blüten natürlich, desto höher der Preis.
Diese weißen—fünf Stückchen Seide.
Diese roten—zwanzig Ellen Brokat.
Gegen die Sonne ein Schirmchen drüber
Gegen den Nachtfrost das Wattekörbchen.
Besprengt mit Wasser und die Wurzeln mit Schlamm bedeckt
Werden sie, umgepflanzt, ihre Schönheit behalten.«
Gedankenlos folgt jeder Haushalt dem teuren Brauch.
Einen alten Landarbeiter, zur Stadt gekommen
Zwei, drei Ämter aufzusuchen, hörten wir
Kopfschüttelnd seufzen. Er dachte wohl:
»Ein Büschel solcher Blumen
Würde die Steuern von zehn armen Höfen bezahlen.«

(Trans. Bertolt Brecht)

《買花》(The Chinese Original)

帝城春欲暮，喧喧車馬度。
共道牡丹時，相隨買花去。
貴賤無常價，酬直看花數：
灼灼百朵紅，粼粼五束素。
上張幄幕庇，旁織笆籬護。
水灑複泥封，移來色如故。
家家習為俗，人人迷不悟。
有一田舍翁，偶來買花處。
低頭獨長歎，此歎無人喻：
一叢深色花，十戶中人賦！

buy / flowers (An Interlinear Translation)

emperor / city / spring / desire / end,

bustling / bustling / carriages / horses / run.
 all / say / peony / season,
 accompany / follow / buy / flowers / go.
 expensive / cheap / no / fixed / price,
 pay / only / rely / flower / quantity.
 brilliant / brilliant / hundred / pieces / red,
 rare / rare / five / bunches / white.
 above / spread / cover / curtain / shelter,
 beside / build / fence / hedge / protect.
 water / sprinkle / plus / clay / wrap,
 transplant / over / colour / as / before.
 family / family / wont / as / habit,
 man / man / fascinated / unable / comprehend.
 exist / a / rustic / house / man,
 occasionally / come / buy / flower / market.
 bow / head / alone / deeply / sigh,
 such / sigh / no / man / understand.
 one / cluster / deeply / coloured / flowers,
 ten / households / medium / men / tax.

In Bai Juyi's original the entire poem is narrated by the poet as an invisible observer. In contrast to the two versions by Waley and Brecht, there is no visible "we" as part of the jostling crowd, and there is certainly no stall-keeper offering the blossoms and advice on how to preserve them, a feature that Brecht, the dramatist, heightens with his "roll up, roll up"—"heranspaziert". But in the original it is a family event; the family, as the central social unit in China, is stressed with the positive connotation of social bonds. In Waley the apparently accurate "household" assumes in the English a sociological flavour, enhanced by the ideological twist he gives it by turning the visitor to the Imperial City,

who in the Chinese is an owner-farmer, into an old farm labourer and the ten "medium" (or socially middle-ranking) families at the close into ten "poor houses", which at that time in China would not in any case have paid taxes. Thus Waley transposes the poem into a modern, almost socialist context, perhaps reflecting, as we have observed before, some of the common sentiment in the closing years of World War I. Bai Juyi's farmer finds the fascination with these expensive but purely luxurious flowers bewildering and out of all proportion but his bewilderment is presented as a reflection on the contrast between the affected life in the capital city and the more basic concerns of the countryside and cannot be considered an anticipation of socialist concerns.

Waley may have encountered a linguistic difficulty in the middle of the poem. He appears to confuse the meaning of the character 素 for "white" with that of "silk", as it may mean both in different contexts. He also links the numbers associated with the more common, red peony (hundred[s]) and the rarer white peonies (five) with their cost by introducing the barter images of "pieces" of damask and "bits" of silk. Brecht in his turn works up the damask pieces, turning them into whole lengths of damask to stress the contrast between what is expensive and what is cheap. Interestingly, however, Waley could make no mention of the contrast between red and white, which is central in Bai Juyi's original, for white had been subsumed into his rendering "silk", the only reference to red peonies being expensive coming at the close with his accurate version "deep-coloured" and, possibly by implication, "brilliant". In the Chinese, certainly, there is some ambiguity, but it would appear that it is not the number of blossoms per plant that is vital as in Waley and, following him, Brecht, but their rarity and, quite contrary to Brecht's version, it seems to be the white blossoms that are rare and expensive. If that is correct, then Bai Juyi's final reflection that a clump of deep-coloured blossoms (alone) would be the equivalent of the taxes paid by

ten moderately affluent families is still more severe in its criticism of city life, a point that might again have appealed to Brecht if he had had informed access to the original.

Brecht, however, heightens Waley's cryptic socialist interpretation by introducing the image of "Ämter", the City or Imperial Authorities, that have become the real reason for the farmer's, or rather in Brecht the more humble "farm labourer's", visit to the capital.

Conclusion

As translators of Bai Juyi, both Waley and Brecht contributed to his dissemination in the Western sphere, though they transformed the source text through different kinds of manipulation so that their translated texts might help arouse reflection in their readership on parallels with the political circumstances of their own day. Despite Waley's stated view of Bai Juyi as a moralist rather than a satirist, his truncation of "The Big Rug", his rendering of "The Politician"—particularly the first version that omits in the title Bai Juyi's mention of the recluse or hermit alone—and his emphasis in "The Flower Market" have given Bai Juyi not only a political slant absent in the originals but even a modern socialist colouring. In Bai Juyi, the criticism is consistently directed at the shallowness and irrationality of life in the city, specifically the Imperial City, with its social privileges, its exercise of unpredictable personal and military power, by and on behalf of the Emperor, ("The Dragon of the Black Pool", "The Politician"); the fawning and greed of the court, ("The Dragon of the Black Pool"); the expenditure by city dwellers on luxuries that are beyond the capacity of country-people ("The Big Rug" and "The Flower Market"), all in contrast with a simpler, nature-bound existence in rural districts ("The Politician" ["To a

Recluse"])). As to Brecht, he has built on the social critique and implicit political scepticism of Waley's translations. He has given the poems heightened dramatic effect. He has made Waley's political concerns more explicit, while recognising in Bai Juyi, the 9th century Chinese poet, social critic and sometime exile, close affinities: his honesty, his simple style, his appeal to ordinary people.

In short, in their translations at the end of the First World War (1918), just prior to the Second World War (1938) and in its aftermath (1950), Waley and Brecht not only revived Bai Juyi for audiences in the English-speaking world and in Germany; they also subtly transformed his message in their new versions for a Western readership of the twentieth century and beyond. The contrast with Lukács' advocacy of a return to Europe's paramount literary achievement of the nineteenth century, the Realist Novel, could hardly be more striking.

Notes

- [1] Reinhold Grimm, *Bertolt Brecht*, Stuttgart: J. B. Metzlerische Verlagsbuchhandlung, 3rd printing, 1971, p. 42.
- [2] "Die Freunde", "Die Decke", "Der Politiker", "Der Drache des schwarzen Pfuhls", "Ein Protest im sechsten Jahre des Chien Fu", "Bei der Geburt seines Sohnes", *Das Wort*, Moscow, 1938, Heft 8, s. 87-89; *Bertolt Brecht, Werke. Große kommentierte Berliner und Frankfurter Ausgabe*, edited by Werner Hecht, Jan Knopf, Werner Mittenzwei, Klaus Detlef Müller, Berlin und Weimar: Aufbau Verlag, Frankfurt am Main: Suhrkamp Verlag, vol. 11, pp. 257ff., 1988. (= *Brecht Werke*).
- [3] *Anmerkungen zur Oper Aufstieg und Fall der Stadt Mahagonny*, *Brecht Werke*, vol. 24, pp. 74-84 (1930), with an appendix contrasting "The Dramatic Form of Theatre" and "The Epic form of Theatre" added in the 1938 version of the Notes (p. 85) (*Brecht Werke*).

- [4] *Georg Lukács Werke*, Neuwied und Berlin: Luchterhand, 1971, vol. 4, *Probleme des Realismus*, pp. 59-60. (This passage and all the subsequent quotations from Lukács and Brecht translated by Nigel Reeves.)
- [5] *Lukács Werke*, vol. 4, "Die intellektuelle Physiognomie des künstlerischen Gestaltens" ("The Intellectual Physiognomy of Artistic Creation") pp. 170-173.
- [6] *Lukács Werke*, vol. 4, op.cit., p. 156.
- [7] Ibid., "Reportage oder Gestaltung", vol. 4, p. 57.
- [8] Ibid., "Es geht um den Realismus", vol. 4, pp. 323f.
- [9] Ibid., "Es geht um den Realismus", vol. 4, p. 340.
- [10] Ibid., "Die intellektuelle Physiognomie des künstlerischen Gestaltens", vol. 4, p. 195.
- [11] *Brecht Werke*, vol. 21, p. 750. Compare, Werner Hecht, *Brecht Chronik 1898-1956*, Frankfurt am Main: Suhrkamp, 1997, pp. 277f. Arthur Waley, *The Nô Plays of Japan*, London: Allen and Unwin, 1921.
- [12] Ibid., vol. 22/2, p. 923.
- [13] Ibid., pp. 200-210.
- [14] Arthur Waley, trans, *One Hundred and Seventy Chinese Poems*, London: Constable & Co Ltd, first edition 1918, this edition 1986, p. 87. (Hereafter "Waley".)
- [15] *Brecht Werke*, vol. 11, pp. 387-388; Waley, pp. 87-88.
- [16] Waley, p. 87.
- [17] Ibid., p. 85.
- [18] *Brecht Werke*, vol. 11, pp. 87-88.
- [19] Waley, p. 7.
- [20] *Brecht Werke*, vol. 11, p. 387.
- [21] Werner Hecht in *Brecht Chronik 1898-1956*, Frankfurt am Main: Suhrkamp, 1997, makes reference to Elisabeth Hauptmann's early career as a teacher of English and translator, p. 178; that she translated Rudyard Kipling for Brecht, pp. 119-120; Gay, p. 244; Waley's translation of *Nô Plays* p. 271, and Chinese plays from French, p. 277, p. 307; *American Short Stories* p. 455.

[22] Waley, p. 122.

[23] All Bai Juyi's original poems quoted in this essay are from Gao Wen 高文 (ed.) *Quan Tang Shi Jianbian* 全唐詩簡編 (*An Abbreviated Version of The Complete Collection of Tang Dynasty Poems*), Shanghai: Shanghai Guji Chubanshe 上海古籍出版社, 1993, pp. 1088-1189; vol. II, p. 1179. The other version of Bai Juyi's poem quoted above is as follows: 《五古·新制布裘》：桂布白似雪，吳綿軟於雲。布重綿且厚，為裘有餘溫。朝擁坐至暮，夜覆眠達晨。誰知嚴冬月，支體暖如春。中夕忽有念，撫裘起逡巡。丈夫貴兼濟，豈獨善一身。安得萬裏裘，蓋裹週四垠？穩暖皆如我，天下無寒人。

[24] *Brecht Werke*, vol. 11, "Die Decke", p. 257 (i.e. the 1938 version); "Die große Decke" (reproduced here).

[25] *Brecht Werke*, vol. 1, p. 176, full text pp. 177-229.

[26] Ibid., vol. 2, pp. 333-392.

[27] For text, see *Brecht Werke*, vol. 6, pp. 175-279.

[28] *Brecht Werke*, vol. 11, p. 386.

[29] Ibid., vol. 11, pp. 257f, 262.

[30] Our interlinear translations may be compared with those offered in German by Antony Tatlow in his *Brechts chinesische Gedichte*, Frankfurt am Main: Suhrkamp, 1973. This work is (hitherto) the most extensive presentation of Brecht's Chinese poems in comparison with Bai Juyi's originals and Waley's translations. In addition to the interlinear transcriptions of Bai Juyi's originals Tatlow added short commentaries on Waley's and Brecht's general approach to translation but these commentaries tell us little explicitly about the differences between the three sets of poems nor the process of transformation that has taken place between the three versions of the individual poem texts—the original Chinese text of Bai Juyi, Waley's translation, and Brecht's version. Tatlow is, however, very critical of Waley. In his attempt to be "accurate", it is alleged by Tatlow, Waley produced one—"dimensional" versions that smack of ("taste of")—"schmecken

nach") translation. Our investigation reveals a rather different Waley who made subtle changes to the Chinese originals in order to make the topicality of Bai Juyi's social criticism evident to a war-weary English public.

In his more ambitious work, *The Mask of Evil, Brecht's Response to the Poetry, Theatre and Thought of China and Japan. A Comparative and Critical Evaluation, European University Papers*, Bern, Frankfurt am Main and Las Vegas: Peter Lang, 1977, Tatlow's critique of Waley is even more severe. Waley's attempt to remain "faithful" to the Chinese could result in poems that were rhythmic "disasters". Waley, he claims, could not decide whether he wanted to write a Chinese or an English poem (p. 121).

Brecht, on the other hand, produced "lively" versions (p. 69). His Chinese poems should be seen first and foremost as new creations, "a specific adaptation of their respective source material for a certain purpose" (pp. 113f). Our analysis lends support to this latter view of Brecht but not to the representation of Waley, who, on the contrary, appears already to have taken a similar purpose-informed approach to Brecht, albeit more covert. Nor does Tatlow make explicit the value judgement implied in his criticism, namely that a "lively" "adaptation" is to be preferred to a more "accurate" translation (notwithstanding that the reference to Waley's "accuracy" would appear rather to be an observation on the occasionally rather wooden English and not on the semantic accuracy or indeed even adherence to the original format of the poem, as our examples show).

[31] Waley, p. 91.

[32] Waley, pp. 99f; *Brecht Werke*, vol. 11, pp. 261f.

About the Authors

Nigel Reeves studied German and French at Oxford University where he also obtained his doctorate on the German poet, Heinrich Heine, in 1970. He was a lecturer in German at Reading University from

1968 and became Professor of German at Surrey University in 1975 after a year long Alexander von Humboldt Scholarship at Tuebingen University. He moved to Aston University, Birmingham, in 1990, where he was Head of Modern Languages until 1996 when he became Pro-Vice-Chancellor. He received the UK OBE in 1987, was awarded the Goethe Medal of the Goethe Institute in 1989, and the Officer's Cross of the Order of Merit of the Federal German Government in 1999. He has published several monographs and national reports, over one hundred articles in learned journals and conference proceedings, and is co-author of the Penguin Classics translation of Heinrich von Kleist's short stories. He is a Vice-President of the Institute of Linguists and has presented papers at international conferences in Hong Kong, including those organised by the Hong Kong Branch of the Institute of Linguists and by the Hong Kong Translation Society.

Liu Shusen is Professor of American and English literature and translation studies, and Deputy Dean of the School of Foreign Languages at Peking University. His current research includes translation studies and 19th century American literature, Walt Whitman studies in particular. He has a particular interest in the history of Western missionaries' Chinese translation of Western literatures in the late Qing Dynasty and the first decade of the Republic of China (approximately 1890-1919). His major publications include such co-authored books as *A Course in English Literature*, *A Course in American Literature*, *Selected Readings of American Literature*, *A History of the 20th Century Foreign Literature* (4 vols.), and dozens of academic essays published in China and beyond. In addition, he also teaches American literature, translation studies, and Greek and Roman Mythology.

Readers' Response to Translated Narratives: Statistical Findings from the "Folktale" Project

*Cay Dollerup, Iven Reventlow,^[1] and
Carsten Rosenberg Hansen*

Abstract

In this joint paper, the authors describe the findings in their "Folktale project", which involves work on English and Danish versions of folk narratives. The project is meant to explore the response to literature at a cross-disciplinary and interdisciplinary level. Through this project, the authors seek to develop methods for empirical studies within the humanities, hoping that their findings can be conducive to Translation Studies research.

This article reports some findings in the international "Folktale" project.^[2] Using English and Danish narratives, the "Folktale" project explores the response to literature at a cross-cultural and interdisciplinary level. Its main emphasis is on developing methods for empirical studies within the humanities, notably Translation Studies and literary criticism. Nearly 1,000 readers from India, the US, Ireland and Denmark have answered more than 500 questions about their response to three folktales from, respectively, Denmark, Greenland, and Turkey.^[3]

The data were collected by means of questionnaires carefully set up in a Danish and an English version. The original stories were translated (or transferred) into modern English and Danish from Turkish, Greenlandic, and old-fashioned Danish. The modern English and Danish versions of the stories were collated in great detail by professional translators in order to ensure that they were as "identical" in English and Danish as humanly possible. The preparatory work for the study began in 1982 and involved criticism, introspection interviews, and retrospective essays in numerous countries, as well as tests of all the questions that we posed in a series of pilot studies. For the collection, we developed six small leaflets, in which the order of the three stories was rotated (A, B, C—B, C, A—etc.). The leaflets opened with an instruction, but otherwise each story was followed by a series of questions pertaining to that particular story. After the readers had read all stories and answered the pertinent questions, they had to compare them and answer some questions concerning their own background, e.g. nationality (Dollerup, Reventlow and Rosenberg Hansen 1995).

The Collection and the Results

In the period 1990-1991, the stories were presented in **English** to **Indian readers** (in Bangalore, India), to **American readers** (in Iowa City, USA), and to **Irish readers** (in Dublin, Ireland). In 1991-1992, they were presented to **Danish readers** in a **Danish version** and an **English version**, in order to assess differences in the responses that were due to differences in translation.

Out of the 1,000 readers, 565 fulfilled the crucial criteria of answering two out of three control questions at the end of each story correctly. These control questions were inserted to make sure that readers

had actually read the stories and concerned "indisputable facts" (such as in "Per Smed's Whip", "How many times did Per meet the woman in the wood?").

The answers by the 565 readers have been subjected to a large number of qualitative and (mostly) statistical analyses. We have set the limit for statistical significant results at $p \leq .001$ which means that there is less than a 1% chance that any result cited is due to coincidence. This is about 20 times higher than most statistical analyses in the humanities and, to some extent, the social sciences.

The reliability of these data is high. Only 5% of the readers have answered four questions in a way which might be self-contradictory.

In the study, we posed some questions concerning the response to characters in the stories and the way it changed in the course of the reading. The present article focuses on these findings and takes up a few more points.

Culture-bound Differences

The Turkish story "The Golden Apple" tells about a young girl who, disguised as a boy and therefore called "Ali", sets out to "steal Beyoglu's apple". Beyoglu turns out to be a young man. After having found out that "Ali" is a girl, he marries her in the end. In this story we asked some "yes", "no", and "don't know" questions concerning the readers' beliefs about Beyoglu when his name was first mentioned.

There was consensus among readers of all nationalities that he was a "powerful" and "rich" man. It was clear to most readers that he was "powerful" (with variations from 83.5% to 92.1% between different nationalities). Since it is not mentioned early in the story that he is a man, it is curious that more readers believed he was "male" (80.0%-89.8%)

than that he was "rich" (73.0%-83.7%) although the story explicitly states that he has "a golden apple". The waters divided significantly concerning the perception of Beyoglu's age. Although Irish and American readers were inclined to believe he was old, a significant difference is found between Danish and Indian readers:

67.6% of the Danish readers, and

30.9% of the Indian readers believed he was **old** (N=539).

Furthermore,

81.0% of the Danish readers believed he was **evil** and only

51.5% of the Indians thought so (N=550).

or, conversely,

7.2% of the Danes surmised he was **good**, as opposed to

38.7% of the Indians (N=539).

Discussion

These differences appear to be based on differences in traditional tales told to children in India and in Denmark.

Indian tales do not necessarily take a stand for or against characters in tales and therefore readers and listeners have few preconceived ideas—or prejudices—about characters.^[4] Consequently, the Indian readers were less inclined to take a dim view of "Beyoglu" at the outset.

However, in Denmark, it is a stereotype in the popular genres of children's literature and especially fairytales that young protagonists will

meet with old men and women who are malicious ogres and witches. Therefore we may safely assume that Danish genre stereotypes prompt Danes to believe that "Ali" will meet a wicked old person.

This means that culture-bound stereotypes in given literary genres will affect responses to that type of literature. At the beginning of a story, readers in different cultures have different expectations about the outcome.

Changes in the View of Characters

"Per Smed's Whip" is a Danish folktale recorded in 1874. In this story, an old man, Per Smed (a craftsman, a "smith"), who lives on a feudal estate, has married a young woman. He is cuckolded by the steward on the estate. The steward also tries to make Per run away from his wife by posing impossible tasks. These are nevertheless fulfilled thanks to the help Per receives from an old woman he meets in a wood. The third time they meet, the old woman tells him about the steward's machinations and provides him with a magic whip. Per uses the whip's spell to make a chamber pot, his wife, the steward, his own maid, the squire and eventually the squire's wife stick together in a "pertegoy" (an *ad hoc* word) so that they become the laughing stock of the manor. The magic is lifted when the squire promises to sack the steward or have him shot.

In this story we explored the readers' response to developments in the protagonist's relationship with his wife and in the power hierarchy in the story.

The Views of the Protagonist, Per

We charted the view of Per by means of five questions, all of them

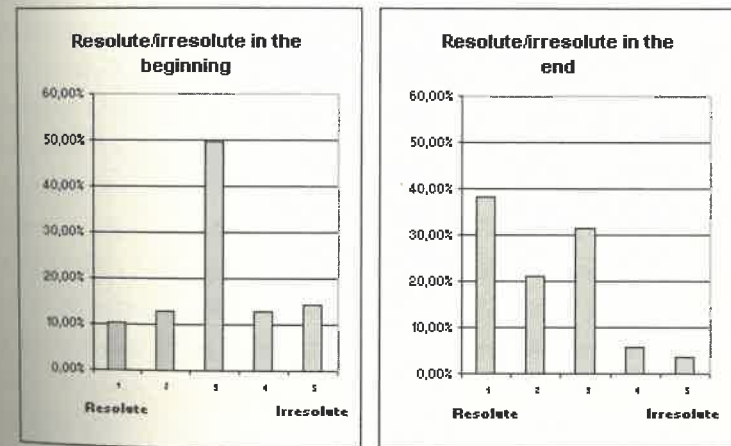
five-graded semantic differentials with the extremes:

"Good"—"bad", "inconsiderate"—"considerate", "resolute"—"irresolute", "passive"—"impassive", and "weak"—"powerful".

The "good"—"bad" and "inconsiderate"—"considerate" axes did not change. As for the other three, the shifts are shown in the graphs below:

Resolute vs. Irresolute

The graphs vividly show how, in the beginning, readers do not have a clear view of Per's resoluteness. This is not hard to explain. There is no feature that points towards a resolute character except that Per has challenged conventions by taking a young wife. Once challenged by the powers that be he cowardly runs away. He is ignorant of his wife's affair, he is ignorant that the steward exploits his superior social status to cuckold him, and the old woman in the wood can make him change his mind: he is manipulated by others. Readers prefer to be neutral.



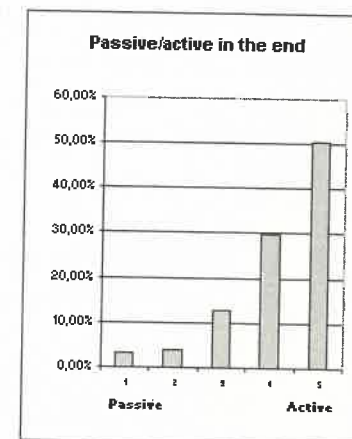
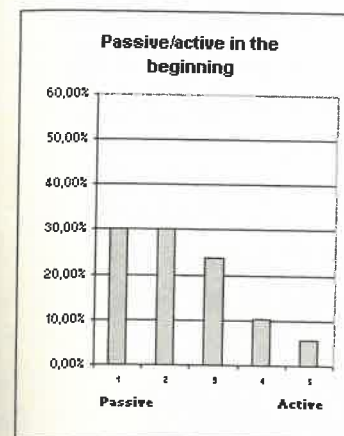
At the end of the story, Per has received the magic whip without any hesitation and applied its power and charm without question, publicly humiliated everybody who has hurt his pride, exposed them—and, since they represent a cross-section of his society—been “resolute” in restoring order. On the other hand, both the squire and the old woman exert more “real” power in the development of the plot by enabling Per to humiliate the steward and demand punishment of him.

In the course of the reading, readers have therefore got a much clearer idea of the nature of Per's resoluteness, and this is what we see: the increased insight, the augmented realisation about character that is part of the reading experience.

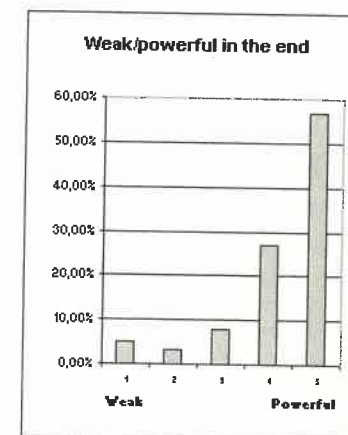
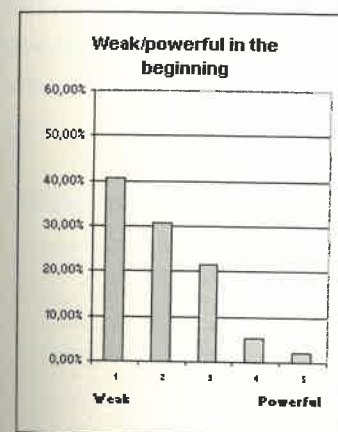
Passive vs. Active

The axis “passive—active” also changes in the course of the reading. This was actually predicted by some literary critics who participated in the pretests.

The distribution in the beginning seems to reflect several factors: Per is active in that he takes a young wife and runs away. Conversely, although he is not aware of his wife's adultery, he is passive in that context; he also takes advice from her (to run away) and, later, the advice of the old woman in the wood. Per's general behaviour thus amply explains why most readers consider him inactive in the beginning. The making of the “pertegoy” is due to magical powers: Per uses it and he decides who is to get stuck to it. He also drives the members of the “pertegoy” through areas where they are displayed in their nakedness, and in the end, he determines the ultimate fate of the steward (although this has to be executed by the squire): in the eyes of the readers, Per has become a decidedly more active character in the end.



Weak vs. Powerful



The largest change concerns Per's power as a husband. In the beginning, he is weak in that his wife can have an affair without his knowledge, in that she is willing to let him down, and in that he is obliged to take her advice to flee. This essentially amounts to handing her over to another man on a silver platter. After he has meted out a relatively

mild punishment, he has, however, also demonstrated his superiority and thus become very powerful in relation to her. This is reflected in the final words of the story: "So ever afterwards Per Smed had his wife all to himself, and the two of them got along very well indeed".

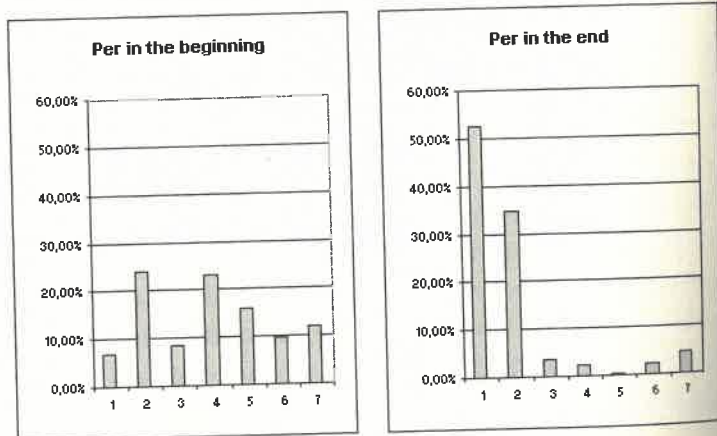
Changes in the Power Hierarchy in the Story

In our preparatory data collection, which formed the basis for our questions, we had interviewed readers by means of introspection, retrospection (by having them write essays), and the process also involved critical analyses. These latter in particular had focused on the power relations.

Accordingly, we charted the development in the power hierarchy by asking readers to indicate what position in the hierarchy they would assign each character in the story, first in the beginning and then in the end.

Per's Power

Per's power in the end and the beginning was looked upon as follows:

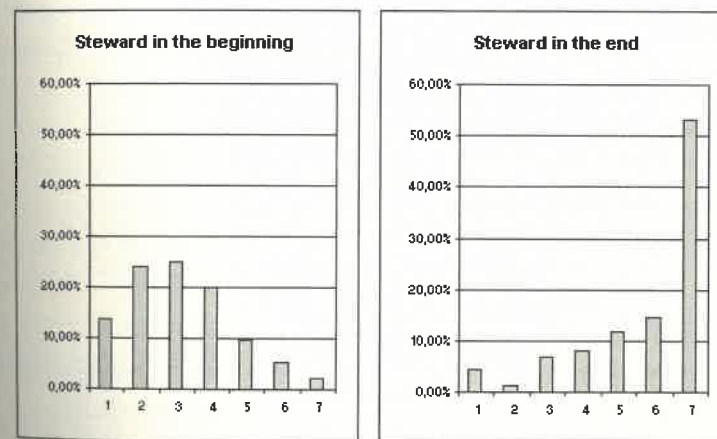


First, we pay attention to the readers who consider Per the weakest character in the end. In our check on the completed questionnaires, we found that a few readers seemed to have misread the instruction and used the figures in another way than we had intended (namely with 1 at the top and 7 at the bottom). We are inclined to believe that the last group represents such readers (the 5% ticking at 7 in the chart to the right). This is confirmed by the otherwise high reliability already mentioned and we shall therefore not refer to such anomalous answers below.

Overall, it is noted that there is a radical change in the view of Per: readers have no clear-cut idea of his power in the beginning, but in the end, they feel he is powerful.

The Steward's Power

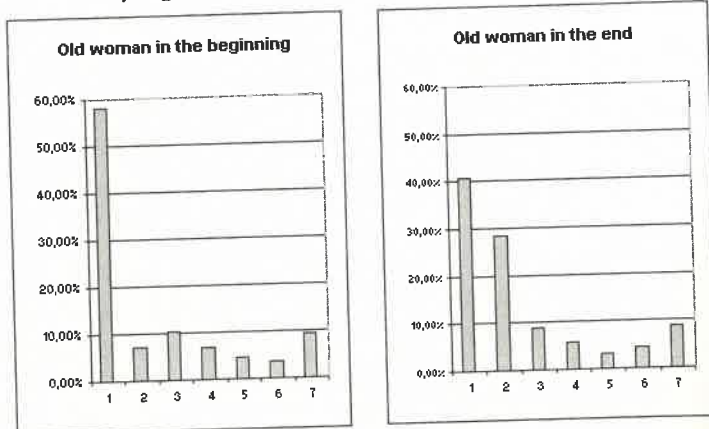
The steward, the villain, who is punished, slides down in the opposite direction:



He thus finishes up at the bottom, but even at the beginning, he is not all that powerful but somehow fits into the major social hierarchy.

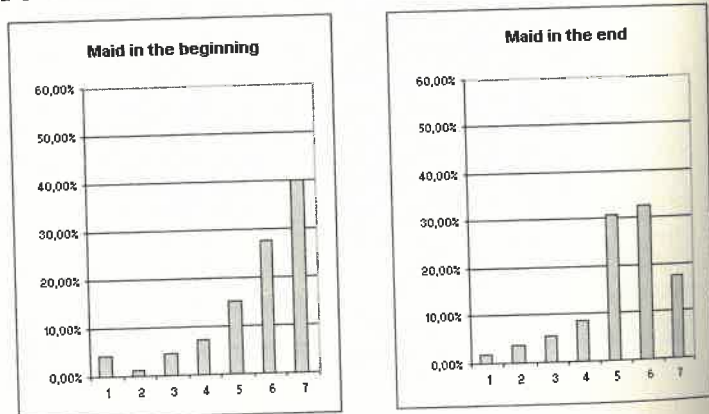
The Old Woman

The old woman in the wood commands supernatural power. She ranks relatively high:



It is noted that she still retains a high position at the end, but that this is less clear. In the story she has, after all, handed over to Per one of her magic tools. For the duration of the story he has therefore been given a share of her "supernatural" power to rectify the injustice he has suffered.

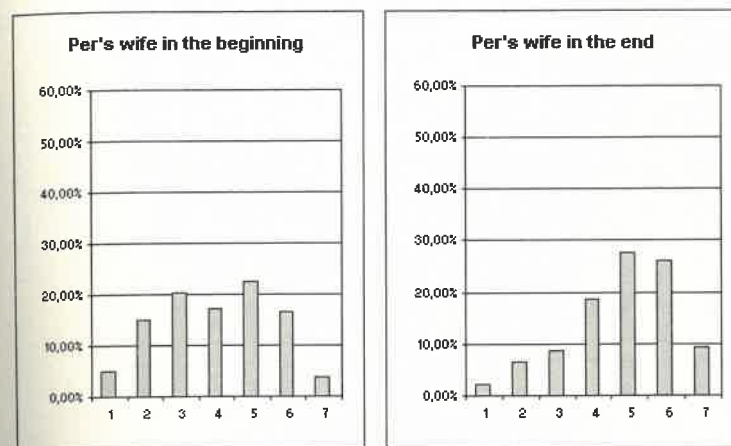
Per's Maid



Per's maid has shifted a little bit.

This should probably be related to the change in the position of Per's wife.

Per's Wife

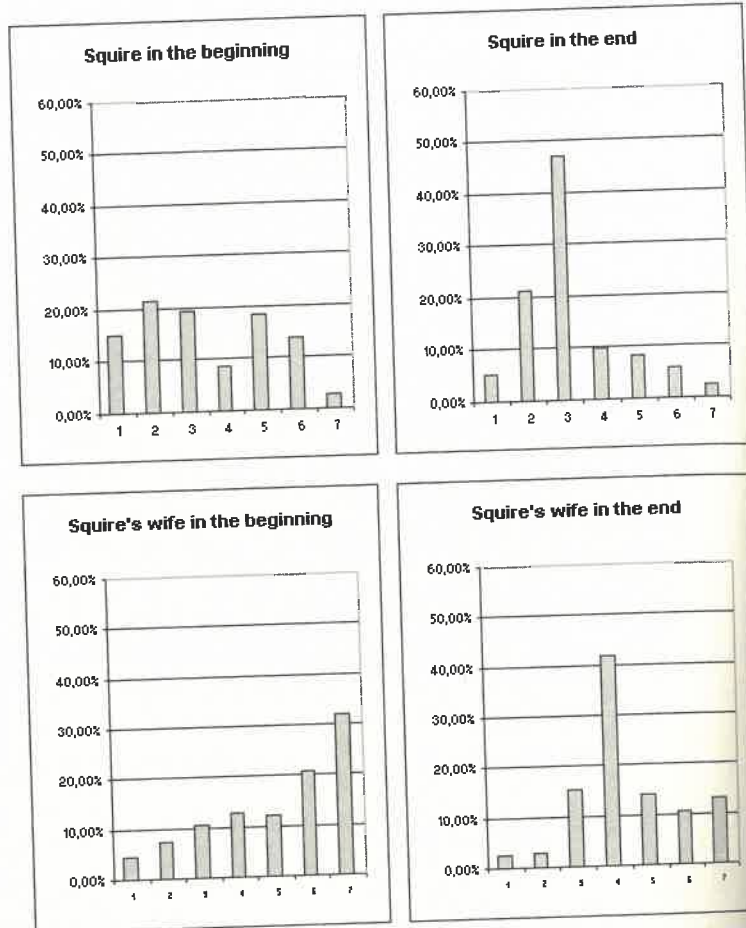


It is seen that Per's wife shifts towards a lower place in the hierarchy: she has not only lost the ability to cuckold her husband and order him around, but she has also been humiliated in public.

The maid was, in the beginning, the only character whose position as a servant was clear. It is therefore not only the wife's degradation, but also the fact that the steward becomes a low-status figure, that promote the maid's position.

The Squire and His Wife

The squire and his wife change positions as follows:



In the beginning, readers find it difficult to place the two characters in the social hierarchy. This is not surprising, since the story describes a societal, feudal order which disappeared more than 100 years ago and "squires" are virtually unknown to modern young urbanites anywhere in the world. Therefore it is the events in the story which clarify their relation vis-à-vis the other characters.

The Levels in Power

The distance in power between the seven characters cannot be measured exactly, but the characters can be placed at different levels. This provides another overview of their relative placement in the hierarchy, with the caution that the levels are not equidistant.

We thus get the following hierarchy:

Level	In the Beginning	In the End
1	The old woman in the wood	Per
2		The old woman in the wood
3	The steward <i>and</i> the squire	The squire
4	Per <i>and</i> Per's wife	The squire's wife
5		Per's wife
6	The maid <i>and</i> the squire's wife	The maid
7		The steward

Since this is a chart of relative, not absolute, positions, we should be cautious about categorical statements.

Discussion of Power

Per's and the old woman in the wood's relative positions can, in all likelihood, be ascribed to the fact that readers find it difficult to make up their minds as to which of them is the most powerful. The old woman is still, in "the world at large", the one who possesses supernatural powers and can set things right. In the universe and the social world depicted in the story, it is Per who has re-established order. There are thus two

different “worlds” that are difficult to compare, especially under the limitation of a set questionnaire.

The changes in status are, notably as far as the squire and his wife are concerned, due to the readers’ initial ignorance of feudal society. The changes in the maid’s and Per’s wife’s position have been discussed, but they also depend on how readers view the positions of the other characters, to which we should add that they all appear to be subsumed to male values in society.

The steward’s downfall and Per’s rise represent the development of the plot, and at a deeper thematic level, the externalised ordering of a universe in which good wins in the end.

Other Aspects Concerning National Differences

At the time of writing, we are still trying to get to grips with other features. We have established that there are no statistically significant differences in the readers’ sympathy vs. antipathy towards characters, although many Translation Studies scholars would have termed such differences “inevitable” because translations bear the imprint of individual translators and because of differences in the target audiences in the cultures involved. In other respects, there were differences.

Same Language Texts and Different Nationalities: The View of the Language

A breakdown, according to whether participants read the story in their mother tongue or in a foreign language, looks as follows:

Readers of the English version and their liking of “Per Smed”

Readers	Did you like the story?						Total
	Very much	Yes	Fairly well	So-so	Not much	Not at all	
Irishmen and Americans	22.6%	29.8%	22.6%	14.7%	7.9%	2.3%	100.0%
Danes and Indians	9.6%	26.9%	25.6%	14.1%	19.2%	4.5%	100.0%
Total	17.8%	28.7%	23.8%	14.5%	12.1%	3.1%	100.0%

N=421

 $p \leq 0.001$

It is immediately noted that the story enjoys more popularity with native speakers of English than with non-native speakers; it seems most likely that the Indians and the Danes reading the English version simply found it difficult to read the story in English. Small surprise since most of them were only BA students.

According to the limits set down in this study, there is no significant difference between the two groups’ response to the dimension “good” vs “poor” language. As far as “fluent” vs “clumsy” is concerned the difference is significant ($p \leq 0.001$). In this case, it is the non-native speakers who have the most positive view of the language. On the other hand, it is still the same aspect in the experience which we uncover.

The non-native speakers are also more inclined to consider the language in “Per Smed” “modern” than native speakers ($p \leq 0.08$).

National differences in the interpretation of themes

There are major differences, however, in the way readers in different cultures interpret the themes, broadly speaking “what the stories are about”, according to statements elicited from readers in the pretests.

Since we are still working on this, one instance will suffice in this context, merely to illustrate the potential scope of our findings.

The statement that "The Golden Apple" "is about a girl who gets married" elicited the following response:

Nationality	Agree	Disagree	No stance
Danes	25.8%	57.1%	17.0%
Irishmen	10.3%	75.3%	14.4%
Americans	5.6%	69.7%	24.7%
Indians	30.1%	44.7%	25.2%
Average	18.4%	62.6%	19.0%
N=548	$\chi^2=44.438$	df=6	$p \leq .001$

It is striking that the Indian and the Danish readers found this relatively superficial reading one they would agree with. The differences between the nationalities are even more striking, but, as mentioned, these call for a more detailed exploration.

Conclusion

In terms of methodology, the study and the answers discussed in this article illustrate that it is possible to gauge the response to characters in literature. In other words, we can chart the dynamics of the reading process by posing targeted questions immediately after the reading. These dynamics are often overlooked because most empirical studies are based on retrospective responses or retrospective criticism, both of which tend to focus on the end result (as we did ourselves with more than 200 readers who participated in the pretests of "Folktale").

In the story in question, we have unveiled at least three power relations which are reflected in responses:

- There is one between Per and his wife which is multi-faceted and in which some aspects change and others do not.
- There is another between the oppressor (the steward) and the oppressed (Per).
- The third power relation reflects the power distribution in the society in which the story was originally told and which becomes clear even to modern readers of different nationalities in the course of the reading.

The study is a contribution to international cultural studies by illustrating that readers in different countries and cultures have different expectations about the eventual outcome of stories that belong to what we might loosely term "the same genre", and the preliminary findings also strongly indicate that there are major divides between how readers (and perhaps critics) belonging to different cultures respond to what we might naively look upon as "the same text" since it has been translated and collated scrupulously by professional literary translators.

In this last respect is the main finding in a Translation Studies context: no matter whether translation scholars like it or not, works of literature simply do not evoke the same response in different cultures. The whole discussion about "free" vs. "literal" translation, about attaining "equivalence", no matter whether it is formal, dynamic, etc., is irrelevant to the literary response. It does not really come as a surprise when we think it over, for after all our individual appreciation of literature is something that happens in our minds: literature is not the typographical units that we see on a page, but it is the life that it is given in our readings.

Notes

- [1] We mourn the death of our colleague, Iven Reventlow, and dedicate this modest work to his wife, Ida.
- [2] We wish to thank readers who have participated in the studies, all the scholars worldwide, including India, that have helped us, as well as our assistants, over the years. We gratefully acknowledge the support given by UNESCO, which made it possible to conduct the major data collection. We also thank Professor Ludvig Wimmer og Hustrus Legat, Kommuneleærer Th. E. Giese og Hustrus Mindelegat, Fornanderska Fonden, the Department of English, University of Copenhagen.
- [3] Chinese readers may wonder why China was not thought of, but this was at the very beginning of the open-door policy. In addition, India officially has some c. 2-4% of the population that speak English.
- [4] For this piece of information, we are indebted to Dr Tabish Khair, Department of English, Aarhus University, Denmark.

Publications from the Study

Work on the project has been described in 14 reports which are available in the American ERIC system. In addition, we refer to:

- Dollerup, Cay, Iven Reventlow and Carsten Rosenberg Hansen (1990). "The Copenhagen Studies in Reader Response". *SPIEL: Siegener Periodicum für Internationalen Empirischen Literaturwissenschaft* 9: 413-436.
- . (1995). "Self and Cultural Identity. Folktale: Levels in a Cross-cultural Reader Response Study". In *Literature and Psychology: Proceedings of the eleventh international conference on literature and psychology*. Ed. Frederico Pereira. Lisbon: Instituto Superior de Psicologia Aplicada. 3-12.
- . (1993). "Identity in Practical Translation: Conducting Cross-cultural Studies". *Langage et l'homme: recherches pluridisciplinaires sur le langage XXVIII*: 11-25.

About the Authors

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Iven Reventlow (1926-2003) was Dr.Phil. Senior lecturer in general psychology, ethnology, and comparative psychology at the University of Copenhagen. His main interest was the analysis of complex experimental designs inspired by the models of Georg Rasch as demonstrated in his doctoral thesis. He applied these methods in many fields such as medicine, criminology, training of pilots, and studies of reader response.

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翻譯教學中的（漢英／英漢） 文本測試研究 ——模糊綜合評分模式的建立*

穆 雷

Abstract

A Critical Study of (C-E/E-C) Text-based Translation Testing: Towards Constructing a Fuzzy Synthetic Marking Model (by Mu Lei)

The author expresses her dissatisfaction with previous discussions of the applicability of Fuzzy Models to the evaluation of translations. Not losing sight of the relevance of current translation theories to the topic, she proposes a number of criteria (like correctness of terminology, accuracy of concepts expressed, logical clarity, coherence of message, and stylistic correspondence) which have to be taken into consideration in translation testing. She devotes particular attention to the different degrees to which these criteria affect the assessment of eight different kinds of texts (technological, business, news, travel, religious, political, literary, "official" and legal). A series of experiments are then carried out by the author, with ten experienced translation teachers being asked to grade four translations and come up with "fuzzy" evaluations. The article concludes with an objective consideration of the strengths and limitations, as well as the scope

for further elaboration, of the proposed model.

一、緒 論

（一）研究背景

在一個完整的教學過程中，測試是必不可少的重要環節。它既可以檢測教師是否通過教學手段達到了既定的教學目標，又可以看出學生對教學內容的掌握程度，因此，測試研究也是教學研究裏的重要內容。近一二十年間，隨着翻譯的重要性在全球社會各範疇內不斷凸顯，社會上的翻譯實踐愈益專業化、制度化，翻譯教學也越來越受到關注，這一點從有關翻譯教學研究的論著逐年增多就可見一斑。研究翻譯測試本應成為順理成章的事，然而，情況未見得是那麼理所當然。筆者在翻譯教學研究過程中，在跟同行們的交流中看到，許多教師對翻譯測試（testing）往往感到困惑，甚至很少認認真真去思考去研究。由於國內過去一直忽視翻譯理論，特別是翻譯教學理論的研究，翻譯教學中的許多現象得不到有說服力的解釋，很多問題也無法解決，多數教師都是憑自己的感覺、經驗給學生做翻譯測試；雖然不少教師也發現這樣做效果不理想，可又不知道究竟怎樣可以改善。就現有中英文資料來看，專門的翻譯測試研究非常少，有些語言測試研究裏順便提到翻譯測試，都是一帶而過，寥寥數語，或者根本隻字不提；認真深入地討論翻譯測試的論著固然不多，有系統、有理論根據的研究更少，但對與翻譯測試關係密切的翻譯評估（translation assessment/evaluation）感興趣者比較多，可惜的是

這些研究多為純理論探討，翻譯教師無法直接應用。這就更加顯出翻譯測試研究的必要性和重要性。

（二）研究範圍

本研究所指的英漢／漢英文本翻譯測試（E-C/C-E text-based translation testing），^[1]是指為了檢查受試者所掌握的翻譯知識、翻譯技巧和翻譯綜合能力所組織的測驗、考查或考試中的段落或篇章翻譯題目。因篇幅所限，本文集中討論文本翻譯試題的評分辦法。

（三）研究目的

本文分析目前各種文本翻譯測試評分方法的利弊，提出作者對解決文本翻譯測試中評分問題的想法，運用模糊學的基本理論，發展出翻譯教學適用的文本翻譯測試的模糊綜合評分模型，以及在此基礎之上的評分體系，同時還有可供操作的電腦應用界面，供翻譯教師、翻譯研究者、翻譯培訓及管理者參考。

（四）研究內容

- （1）模糊學思維模式對翻譯測試方法的啟發；
- （2）文本翻譯測試模糊綜合評分模型與體系的建立；
- （3）文本翻譯測試模糊綜合評分模型運用的實驗報告；
- （4）模型與體系的發展及運用前景的討論。

（五）研究方法

本研究主要採用定量研究（quantitative approach），以札德

（Zadeh 1965）的模糊集與模糊綜合評判為理論基礎，結合翻譯理論，設計一套翻譯測試的模糊綜合評分模式，並經實驗驗證其可行性，最後指出其應用、改進和發展的方向。

（六）研究意義

翻譯測試本身包含了許多內容與多種方法，不可能在一個研究中全面展開，本研究只討論文本翻譯測試的評分方法，因為這恐怕是所有翻譯測試研究中公認最為困難、最為關鍵的部份。希望這一研究能對促進翻譯教學起到一定的作用，更希望本研究經過發展和調整，將來能用於各種文體乃至於各種語言之間文本翻譯的評估。

二、英漢／漢英翻譯測試概述

借鑒語言測試的分類方法，根據評分方法大致可以將現行翻譯測試分為客觀性測試（objective testing）和主觀性測試（subjective testing）兩大類。客觀性試題主要指正誤判斷、資料填空、多項選擇等題型，其答案一般只有一個，或者說有惟一的既定標準；而主觀性試題主要指段落翻譯或篇章翻譯等文本翻譯題型，以及解釋、問答、簡述等題型，由於評判標準往往因人而異，或者一道題可以有數種不同的正確答案，其得分取決於評判者的主觀判斷，有一定的隨意性。就目前掌握的資料來看，對各種翻譯測試的系統研究都不多見。在翻譯測試中主觀性試題仍然是主要的題型，運用廣泛，歷史悠久。正因為如此，人們一般感

覺翻譯測試屬於主觀性測試，評分難度較大，不大專門研究。

這裏要對“文本（text）翻譯”作一個說明。筆者通過對翻譯教師的問卷調查^[2]發現，在實際的翻譯測試中，使用最普遍的就是文本翻譯，它包括除單詞翻譯和單句翻譯以外的段落翻譯、篇章翻譯或長篇翻譯。文本翻譯的長度沒有一定之規，從筆者收集到的大量試題可以看出，不少教師命題時參照過教育部制定的外語教學大綱所規定的翻譯速度，即每小時 250-300 漢語單字或外語單詞。在有限的測試時間（中國內地高校一般為兩小時左右）內，教師往往願意盡可能考察多一些文體翻譯，那麼，每一種文體的文本具體長度就要根據文體種類的多少和測試時間的長度來決定。一般而言，150 字／詞至 300 字／詞之間長度的文本選用較多。因此，本研究的實驗就選取這一長度內的原文。

筆者認為，翻譯測試研究可以從翻譯理論（包括翻譯標準、翻譯批評和翻譯評估等討論）和翻譯教學研究中取得有關測試內容的參照。也就是說，指導翻譯測試的理論基礎，可以翻譯標準、翻譯批評、翻譯評估和翻譯教學的討論為主。由於篇幅所限，這幾方面的文獻回顧從簡。

三、翻譯測試基礎理論概述

任何翻譯批評都必須依據一定的翻譯標準來進行。因此，翻譯標準的討論就成為古今中外翻譯研究的主要論題，而翻譯標準的討論又與翻譯研究的對象密切相關。古今中外的傳統翻譯研究試圖確立一套固定的翻譯標準作為翻譯行為的規範，只是到了

“目的論”、“操控學派”以後，人們才越來越清醒地認識到，用一套固定的標準去衡量不同目的、不同文體的翻譯活動，這種努力歷經千年終難成功是必然的。受到解構主義批評的影響，翻譯是否有標準也一度受到懷疑。翻譯批評和文學批評一樣，正在呼籲建立新的不同層次的評估標準。辜正坤曾提出“翻譯標準多元互補論”（辜正坤，1988），把單一維度的翻譯標準擴展為多維度的翻譯標準，但還是希望用一套相對固定的標準去衡量不同文體、不同內容和不同目的的翻譯。弗米爾明確提出翻譯及翻譯批評的第一標準是譯文所期望達到的目的（1984，原文為德文，引自薛思亮，2001），目的不同，標準顯然有異。這並非意味着譯者可以隨心所欲地按照不同的翻譯目的給自己設立不同的翻譯標準，特別是在翻譯教學中，教師總要講授一個基本的標準，或如何認定某類文本甚或某些文本適用的標準，測試也以此標準作為主體或基準，輔以其他便於操作的條件。

已有文獻的多數要麼是把豪斯（House 1981; 1997）的評估模式具體運用於某一種文本做實驗，要麼討論豪斯模式中的某個具體評估參數，一般沒有從理論上系統討論翻譯評估模式的建立基礎。嚴格說來，絕大多數研究都屬於定性描述，個別屬於定量研究，也有人想把二者結合起來，但是都沒有拿出具體的評估方案來。^[3]而且從總體來看，現有翻譯質量評估的方式，單獨使用都不大適用翻譯教學中的文本翻譯測試評分。況且，前人的研究基本上都是針對職業翻譯評估的，大多是以文字描述為主要評估方法，然而，翻譯教學中的測試，特別是文本翻譯測試的評分有自己的不同之處，一是評估對象不同，翻譯教學中的文本翻譯測試對象是翻譯專業的學生，而且測試中的文本一般來說篇幅都比較

短，幾百字為主，有的測試同時用幾篇不同文體的文本，不像職業翻譯評估，往往是一種文體，而且篇幅相對較大；二是評估要求不同，翻譯教學測試最好有具體的分數而不僅僅是文字描述來表達評分結果，即使使用等級，如何區分等級之間的差別？或者說，如何區分被測者之間水平的差異？現實中有一些翻譯教師確實是用分數的，但是，他們往往根據自己的經驗扣分或加分，缺乏理論根據和嚴格的論證。

本研究擬在前人提出的翻譯標準基礎之上，根據翻譯教學的實際需要，提出一套文本翻譯測試的評估標準體系，該體系考慮到翻譯教學常見的八種文體，分別設立數量不等的評估操作標準。具體運用時，使用者可以根據不同的測試目的選用不同的標準，以避免用固定的標準去衡量不同目的的翻譯所帶來的弊端。筆者擬提出模糊學綜合評分模式，就是針對翻譯教學中的文本翻譯測試的，具體來說就是針對段落或篇章翻譯的。前人的翻譯評估研究中，有的強調譯文可讀性（如新聞釋學方法）、有的強調讀者反應（如讀者反應／行為模式）、有的看重譯文在目標文化文學系統中的形式與功能（如以文學為主的模式）、有的從哲學和社會學的角度重新審視翻譯（如後現代及解構主義模式）、有的根據目的論（如功能主義理論模式）、有的則根據各派語言學理論。這些在職業翻譯評估中的確十分重要，但在翻譯教學的測試中有的因素就不那麼重要。誠然，翻譯教學也要培養學生顧及客戶的要求，顧及特定的翻譯目的，因此，適用於翻譯教學測試的評分方法如果加以改造，說不定也可以用來做職業翻譯評估，那還需要進一步的深入研究。模糊綜合評分模式力求兼收並蓄，綜合各種模式的長處，考慮翻譯教學的特點，以調查研究為依

據，力求既重視文本的對比，又不忽略譯者和讀者因素，還要兼顧各類文體的特徵。若設計得宜，或日後繼續深入研究，或許可以補足過去翻譯測試缺乏理論根據的狀況，使翻譯測試跟語言學測試一樣逐步總結規律，健康發展。

四、模糊綜合評分模型及體系的建立

對於評估者來說，最花時間和精力的就是文本翻譯的評分，因此本文重點討論文本翻譯的評分策略。通過問卷調查我們發現，國內翻譯教師目前採用的文本翻譯評分方法，要麼籠統地憑印象給出等級，要麼過細地從辭彙、語法等方面逐一扣分；即使有人分為幾個評價因素綜合性給分，也沒有認真探討設立這些評價因素的理論依據。因此，翻譯教師幾乎一致認為，文本翻譯評分由於主觀性太強而難於獲得比較令人滿意的解決。文本翻譯評分之所以比較困難，是因為它要求把對文本的主觀印象用比較具體的分數表達出來，也就是說，要把定性分析轉化為定量表述，同時還要把眾多的“主觀性”綜合起來，並使“主觀性”獲得相對合理的理論解釋，這是解決問題的關鍵所在。解決這個難題的思路在於，如何把模糊的印象轉換為清晰的表述，由此筆者想到採用模糊學的原理和方法，建立模糊綜合評分模式以及模糊綜合評分體系。

（一）模糊學的基本概念

1965年，美國系統學家札德（L. A. Zadeh）發表了論文“模

糊集合 (Fuzzy Sets)”。模糊學是以模糊集合論為基礎發展起來的一門學科，並於 1976 年首次介紹到中國內地自然科學界。^[4]在模糊學的種種應用中，我們所感興趣的主要是模糊綜合評判。^[5]在現實生活中，同一事物或現象往往具有多種屬性，對一個事物的評價常常要用多個因素或多個指標才能刻畫其本質與特徵，也就是要兼顧各個方面。按確定的標準，對某個或某類對象中的某個因素或某個部份進行評價，稱為單一評判。從眾多的單一評判中獲得對某個或某類對象的整體評價，稱為綜合評判（彭祖贈、孫韞，2002: 122）。綜合評判是在多因素相互作用下的一種綜合判斷，而且採用模糊語言分為不同程度的評語。綜合評判是模糊系統分析的基本方法之一，有着廣泛的應用，特別是在軟科學領域裏。

經過對比分析我們發現，文本翻譯的評分問題正是一個模糊綜合評判問題。以往的評分，也有把評價標準分解為若干個具體因素分別給分的。然而，對兩篇譯文來說，同一個評價因素，一篇譯文得分為 77，另一篇得分為 78，或者說，一篇譯文得分 60，可以及格；而另一篇譯文得分 59，遭到淘汰，二者之間究竟相差多少？一分之差的理論根據是甚麼？恐怕很難說得清楚。顯然，用百分制給分要比用等級來得困難，可等級制卻沒有百分制精確，如何解決這個矛盾並綜合二者的長處？如何把評分者頭腦中的等級印象轉換為有比較意義的具體分數？這是解決文本翻譯評分問題的關鍵所在。譯文要兼顧各個方面，對譯文的評分是一個典型的綜合評估問題。用語言根據每個評估因素大致分檔，要比用具體的分數來得相對容易一些，然後再根據一定的公式加以運算，得出具體分數，這就是模糊綜合評判的方法，近年來已經廣

泛運用於人文社科領域，不過我們以往沒有意識到罷了。還有，模糊學充份肯定了主觀性，認為主觀性是事物模糊性的一個特點，這就為文本翻譯評分中不可避免的主觀性找到了合理解釋的理論根據。運用模糊綜合評判的方法，先用等級描述各評估因素，再經過換算，得到具有比較區分意義的評估結果，再轉換為百分制，就可以綜合百分制和等級制兩種方法的長處，這顯然比單獨使用任何一種傳統評分方法都要優越。

（二）模糊綜合評判在譯文評價中的應用

（1）可行性討論與存在的問題

1987 年，范守義發表〈模糊數學與譯文評價〉，首次提出把模糊數學的原理用於譯文評價（當時並未區分評估和評價等基本概念），西安電子科技大學謝維信教授的模糊數學應用講座，這些都使筆者受到啟發而開始對模糊數學的應用產生濃厚的興趣，筆者曾於 1991 年和 1993 年分別撰文對此方法作了進一步探討和實驗；另外，吳新祥（1985）、徐盛桓（1987）和夏昭慧、曹合建（2003）等人也都嘗試過對譯文做量化評估。現在看來，當時的研究只是對模糊學原理在翻譯評估中的應用可能性的初步探討，比較簡單粗淺，但其思路極有幫助，成為本研究的主要參考方法。

范守義的貢獻在於，他首先敏銳地注意到了翻譯評估中的模糊思維特點，以及模糊數學對於譯文評估的潛在使用價值，並對此做了一些嘗試（范守義，1987、1990），從而引起筆者從 1987 年開始關注、思考並探索用模糊數學的方法評估譯文（穆雷，1991、1992）。范守義的注意力一開始主要集中在基本概念的引

進、隸屬度的確定、矩陣分析等理論應用(分析)上(1987)。他把短文按句設控制點，每一句又設若干個辭彙作為控制點，長篇選擇要點或抽樣，都是針對職業文學翻譯評估的，例句也選用文學翻譯。後來他注意到了模糊綜合評判的方法(1990)，但仍然把評估標準鎖定在“信”字上，同時他所應用的電腦程序由於當時的技術所限，一般的翻譯教師不容易看懂，更遑論具體應用。十幾年過去了，這方面的研究一直沒有取得突破性的進展，僅僅停留在十年前的可行性研究上。反觀十幾年以前的研究，也有相當的局限性，故較難為廣大譯界人士普遍認可或接受，筆者認為其主要原因有以下幾點：

(a) 由於我們沒有及時全面地瞭解國際翻譯研究的進展和動向，對翻譯理論的認識較為片面膚淺，特別是對翻譯標準的認識長期停留在“信、達、雅”這一固定模式上，任何固定的翻譯標準若未為人們普遍接受，就無法用其作為翻譯評估的基點，在此標準基礎上建立的評估模式也就難以被人接受。

(b) 十幾年前，電腦的應用，尤其是個人電腦的發展應用遠不如今天這樣普及、方便，當時的電腦應用甚至還要用紙帶穿孔或編制複雜的程序等辦法，使文科特點突出的翻譯教師望而卻步，很難產生進一步深入研究或應用的欲望，甚至不願意思考這種方法的合理性與巨大應用潛力。

(c) 受我國教育體制的制約，現有的翻譯教師主要源自於英文系，他們的知識結構嚴重偏科，理科知識不足，難以接受看上去有可能顯得繁複的推理和運算，對“數學模式”產生本能的排斥。研究人員本身知識結構的局限也成為深入探討的藩籬。

筆者今天之所以重新思考探索這一方法，是出於以下幾點考

慮：

(a) 近十幾年來，翻譯研究隨着翻譯學的興起而不斷深入，人們對翻譯標準的認識不再局限於一定要樹立一個一成不變的固定標準，特別是目的論的出現與功能派對翻譯類型的劃分，使筆者產生了構建可以調整的評分體系的想法。

(b) 電腦的迅速發展，使其應用廣泛普及，十幾年前看似非常複雜的應用設想，如今有可能變為現實，看上去貌似複雜的運算公式，可以變成簡單明瞭、直觀友好的用戶界面，使整體構想容易被理解並接受。

(c) 翻譯實踐和翻譯教學的迅速發展，行業管理規範化對準確迅速進行翻譯評估的大量要求，使翻譯評估與翻譯測試的重要性凸顯，而文本翻譯的評分已經成為制約翻譯測試發展的瓶頸，設計簡單易行的評分模式成為當務之急，也成為本研究的基本動力。

筆者認為，范守義的研究具有理論研究上的重要啟發意義，但由於當時國際國內翻譯理論發展的現狀所限，沒有從理論上解釋他選擇的九個評價參數的理論依據，這就使評估參數的選擇帶有一定的隨意性。徐盛桓(1987: 89-96)也曾對范守義的文章有過評論，他指出，范守義的方法有幾點明顯不足：第一、將九個“方面”等量齊觀，沒有區分它們可能具有的主次輕重的不同的作用；第二、“方面”的確定帶有主觀隨意性；第三、“方面”過多，操作不易。(范守義 1990 年的文章比 1987 年的又進了一步，注意到權重的設立，已經解決了徐盛桓指出的第一個問題。)本研究正是要試圖克服這幾個不足，使模糊綜合評分模式趨於完善。我們把每一種文體的評估參數控制在五個左右，每一

個參數分配給一個權重，文本、參數和權重的設定都有理論根據，可以基本上解決徐盛桓指出的三個主要問題。同時，由於電腦及其應用的發展，我們今天有條件設計方便、直觀、快捷的友好用戶界面，並形成一個模糊綜合評分體系。就目前的認識而言，應用模糊學的方法來設計翻譯測試的評分模式有多重優點：

(a) 模糊學自誕生以來，已經被成功地運用於包括社會科學在內的多種學科領域。人文社科領域在眾多的評估中已經自覺或不自覺地運用了模糊學的原理和方法，特別是模糊綜合評判的方法，例如我們對教師的評估等，有時雖然沒有使用“模糊綜合評估”這種名稱，但實際上用的就是這種方法。筆者認為，既然用了模糊學的原理和方法，不如認真深入地探討其進一步具體應用的可行性並且明確地用它來命名。

(b) 模糊綜合評判的方法特別適用於評估參數較多、評估者不止一人、評估量較大、需要用數量做比較而不僅僅是用文字描述，但直接用數字算分又比較麻煩費時的場合。而這些特點正是現今翻譯教學、翻譯職業培訓及管理的特性。我們運用好這種方法，可以使得原先大家普遍感到主觀性強、缺乏相對統一的理論依據、操作繁瑣的文本翻譯評分變得相對容易、速度增加、相對準確、便於比較、也易於被接受，同時也使以前零散的“主觀性”獲得相對合理的理論解釋，為翻譯測試、翻譯教學的研究逐步走向科學化起到一定的促進作用。

(c) 本研究結合翻譯理論和翻譯教學的實際，在模糊綜合評分模式的基礎上，設計了一個“文本翻譯模糊綜合評分體系”，這個體系是開放的、靈活的，也就是說，使用者如果認同筆者的整體設計，可以直接根據自己的實際需要從中選取所需要的評估

參數進行操作；如果對某一種文體的評估參數及權重設計持有異議，完全可以經過自己的理論論證做出修改、調整、補充，但整個體系的設計思路及使用方法依然適用。這就意味着，在整體結構相同的前提下，使用者可以根據自己對不同文體、不同測試目的等不同的要求，自行調整相關的評估標準，確定不同的評估參數及其權重，更重要的是，所有的評估標準、評估參數及其權重等的設立，都是有根有據的，言之有理的，經過嚴密論證或合理解釋的，徹底改變了過去完全依賴主觀判斷的狀況。

限於當時中國翻譯研究的狀況，范守義、徐盛桓和穆雷都只從模糊數學的角度論證了模糊學方法用於翻譯評估的可行性，既沒有從翻譯理論上加以論證，說明評估參數選擇的依據，也沒有設計出針對翻譯教學測試的具體應用模型，更缺乏面向廣大用戶的電腦應用界面，因此，這幾篇論文發表後，都沒有能夠用於實踐，這也是十幾年來筆者一直想做而沒有做的一件事。下面首先介紹十幾年前提出的模糊綜合評估譯文的嘗試，並做一些分析。

(2) 模糊數學應用於譯文評價的初步探討

把模糊系統用於譯文評分時，首先要確定評估指標，也就是說確定從哪些方面去評估譯文，還要確定譯文對於模糊標本的隸屬度，取得原始資料，經過簡單的運算，就可以確實譯文的評估結果。值得重視的是，在用模糊學的方法評估譯文時，隸屬度的確定對用數學方法描述譯文的模糊性具有關鍵的作用。如何確定隸屬度？根據模糊學原理，有幾種基本方法可以考慮，如專家給定、模糊統計和套用公式等。范守義主要使用的是經驗法，由專家根據自己的經驗給出。范守義曾對隸屬度的確定做過比較詳細

的說明（范守義，1987：3-5），他的理論前提仍然是“信、達、雅”作為翻譯標準，選取其中的“信”為例闡述基本概念；他規定從9個方面判斷譯文單位（即元素X）“信”的隸屬度，這9個方面有：句法結構、詞義搭配、修辭色彩、風格層次、邏輯結構、形象變通、心理轉換、社會規範、雙關語。文中沒有說明為甚麼選擇這9個方面作為評價參數。為了證明如何確定隸屬度，范守義按照需要選取了9個互不相關的句子及其相應的兩三個譯文進行分析，以便讓讀者相信，譯文的信度能用數量表示。最後他還選取同一原文的三段譯文作了定量分析，以檢驗理論的實用價值。范守義把單句作為評估對象，句內的主要辭彙都是考察的要素，這樣就比較繁瑣，人們會想，如果是實際的測試，評分都有時間限制，逐詞加以評判不大現實。本研究對此做了改進，改為從整體上按照評估參數做評判，不具體考慮每一個詞或每一句話，也不必為給出具體分值而費心思，只需對照每一個評價因素，給出一個印象等級，這樣一來，評估的速度相對會快一些，評估者也無須逐個去數扣分或加分的分值，把原來的印象法與分析法綜合起來，汲取各自的長處，形成新的評分方法。

（三）模型和體系的建立

（1）模糊綜合評判模型

譯文評估的實質是對譯文傳達原文各方面要素的程度、層次或等級作出判斷，是一種模糊思維。模糊思維突出強調通過比較相對地識別事物的方法論的意義。不去（有時可能根本就無法）實地測定對象的各種準確數值，而是用語言值比較對象在量的規定性方面的差別，在比較中把握量的規定性，這是模糊思維的一

條原則，也是用模糊學的方法評估譯文的基本原理。模糊學強調的，就是從整體性上把握模糊性這種不確定性。譯文評估就是要對譯文的各種性質要素（或曰具體標準）做出程度和等級的區別，是一種模糊性的判斷，其本質是模糊思維，而模糊學正是要解決此類問題。

我們把譯文質量根據不同的譯文文體和翻譯的目的等要求分解成相應的單因素評估標準／評估參數，請專家根據翻譯理論和實際經驗確定每個單因素在整個評估體系裏的權重；評估者只需對照原文和譯文，給每一個具體的評估單因素即評估參數做一個判斷即可，也就是給出很好、較好、一般和較差這樣的等級。剩下的工作全部運用根據模糊學原理，根據數學公式和事先制定的程式，由電腦完成，並通過一定的用戶界面顯示出來。

如前所述，在范守義1987年的文章中，為了使問題簡單易懂，他只以譯文的信度作為評估指標。范守義在1990年的文章裏提出了三項標準，而這三項標準都離不開“信”，把譯文要傳達的信息分為主要信息、伴隨信息和結構信息來考察。筆者認為，信度只是譯文的一個方面，為了全面地檢驗一篇譯文的質量，應該從各有關方面去綜合考慮，設置評估指標。多年來，在中國翻譯界，評估譯文都是以信達雅為指標的。這是一個高度概括的抽象的模糊概念，很難具體衡量。要想較為客觀全面地評估一篇譯文的質量，從語言學、語義學、語用學、文體修辭等方面綜合考慮，必須設置若干輔助標準，以便於具體實施操作。如可以提出的幾個方面：句法結構、詞義搭配、修辭色彩、風格層次、邏輯結構、形象變通、心理轉換、社會規範、雙關語義等。然而，只提出這些輔助標準是不夠的，在每篇特定文體的譯文中，各個因

素的重要程度是不同的，不能以同一重要性去衡量。例如，在科技譯文中，修辭色彩等條件的要求就不一定跟文學翻譯一樣。我們又從模糊學中得到啟發，對每一標準按其重要程度分配給它一個相應的權數，先按每個標準進行單獨評判，再按所有標準及其權重進行綜合評判。現將具體方法舉例說明如下：

一個事物往往需要用多個指標刻劃其本質與特徵，並且人們對一個事物的評價又往往不是簡單的好與不好，而是採用模糊語言分為不同程度的評語。我們要用到的是模糊綜合評判模型。這種模型要讓每個因素都對綜合評價有所貢獻。其數學模型描述如下（胡中鋒，1999: 179-185）：

(a) 確定評估因素集：假設採用 n 個因素（或參數／指標）刻劃某篇譯文，這些因素就構成一個譯文評估因素集 $U = \{u_1, u_2, \dots, u_n\}$ 。

(b) 確定評估等級：設所有可能出現的評語有 m 個，一般以四個等級為宜，即很好、較好、一般、較差，這四個等級構成譯文評價集 $V = \{v_1, v_2, \dots, v_m\}$ 。

(c) 確定因素權重集：設對因素的權重分配為 U 上的模糊子集 A ，簡記為 $A = (a_1, a_2, \dots, a_n)$ ，式中 a_i 為第 i 個因素 u_i 所對應的權重，可採用經驗法，由有關專家指定給出。

(d) 確立因素集的模糊矩陣：在模糊數學中，矩陣的每一行叫一個模糊子集，而每一行表示一個評價因素的每個等級的隸屬度。

對第 i 個因素的單因素模糊評判為 V 上的模糊子集 $R_i = (r_{i1}, r_{i2}, \dots, r_{im})$ ，將各個模糊子集組合起來，就構成單因素評判模糊矩陣。

$$R = \begin{pmatrix} r_{11} & r_{12} & \cdots & r_{1n} \\ r_{21} & r_{22} & \cdots & r_{2n} \\ \vdots & \vdots & \ddots & \vdots \\ r_{m1} & r_{m2} & \cdots & r_{mn} \end{pmatrix}$$

(e) 選擇評判模型：模糊數學中常用的評判模型包括“主因素突出型”（即極值法或最大最小法）、“加權平均型”、“幾何平均型”和“單因素決定型”等。從理論上講，這些方法都可以換用，且結果相差不大。我們根據譯文評分的具體需要，選用前面兩種，即極值法和加權平均法，這也是兩種最常用的方法，二者相應的運算元如下：

(i) 極值法 $M(\wedge, \vee)$: $b_j = \bigvee_{i=1}^n (a_i \wedge r_{ij}), j=1, \dots, m$ ，其中要求 a 歸一化，即 $\sum_{i=1}^n a_i = 1$ 。

其中，“ b_j ”為每一個指標的綜合評判值；“ \vee ”為取大運算符號；“ \wedge ”為取小運算符號； (\vee, \wedge) 為札德算符，表示“最小—最大”，即兩兩先取小，然後在所得結果中保留最大的一個。如： $5 \vee 3 = 5$ ， $6 \wedge 4 = 4$ 。將 a_i 與 r_{ij} 比較後取較小者，實際上是用 a_i 限制、修正或調整 r_{ij} ， a_i 是在考慮多因素時調整後的隸屬度 r_{ij} 的上限；然後對所有的結果取最大者，實際上只考慮了調整後的隸屬度 r_{ij} 起主要影響作用的那個因素，或者說是最突出的因素，而忽略了其他因素的影響作用。因此，(i) 也被稱為“主因素突出型”或“主因素決定型”。

(ii) 加權平均法 $M(\cdot, \oplus)$: $b_j = \sum_{i=1}^n \oplus (a_i r_{ij})$ ，其中，“ \cdot ”為相

乘運算符號；“ \oplus ”為相加運算符號；“ $\sum \oplus$ ”為有界和。模型(ii)的運算過程在步驟上與模型(i)基本相同，不同之處在於，(ii)在模糊矩陣合成時，以“ \cdot ”取代“ \wedge ”；以“ $+$ ”取代“ \vee ”。該模型的重要特點是，在決定各因素的評價對等級的隸屬度 b_j 時，考慮了所有因素的影響，所以各個 a_i 的大小都具有刻畫各因素種程度的權重意義，因此， a_i 也應滿足歸一化要求，即 $\sum_{i=1}^m a_i = 1$ 。

極值法因為採用了取小、取大運算，對於某些問題，有時可能會丟失一些信息，使結果顯得有些粗糙，特別是評估因素較多，權重分配又比較均衡時，由於歸一化的要求，使得每一個評價因素所分得的權重很少，綜合評估中得到的 b_j 也很小。這時，較小的權重通過取大運算而被剔除了，“掩蓋”了某些真實現象，“漏掉”了部份可以利用的信息，靈敏度降低而變得不夠準確。在這種情況下，就可以採用加權平均法。另外，有時採用模型(i)運算時，結果會出現某兩個結果數字相同的情況，就無法得出肯定的評判結論，這種現象稱為札德算符(\wedge, \vee)的“二義性失效”；或者全部隸屬度相同，即札德算符的“全同失效”。遇到這種情況，也要使用模型(ii)。兩種計算方法的結果會略有不同，這是由於運算元不同之故。當模糊子集 A 中的元素比較均衡時，也就是說每個評估因素的權重比較均衡時，加權平均法就比極值法運算結果更加準確；反之，如果評價因素的權重相差較大時，比較適合於採用極值法，以突出某個因素的重要性。或者說，主因素突出法的模型比較適用於單項評判最優就能算作綜合評判最優的情況，而加權平均法的模型比較適用於要求總和最大的情形（參見王琦，1992；王銘文等，1988；張躍等，1992）。

還要說明的是，綜合評判結果的絕對大小沒有太大的意義，有意義的是不同事物間的比較，即相對大小。對於給定的一組事物，為了分出它們之間的優劣，要根據具體情況選用不同的運算模型。

(f) 計算綜合評判值：對某一評判對象的模糊綜合評判 B 是 V 上的模糊子集 $B = A \circ R$ 。

模糊矩陣的運算就是在兩個數字之間取最大/最小值的問題，或簡單的加法乘法，無論數字多少，計算都很簡單，還可以用電腦輔助計算。本研究專門設計了極值法和加權平均法兩種演算法的電腦應用界面，只要把評分者的判斷綜合輸入電腦，立刻就能得到評分結果。

(2) 模型與體系及其說明

運用模糊綜合評判的原理進行翻譯測試，關鍵在於三點：一是確定評估的具體標準或曰參數體系；二是確定每個參數在具體的評估體系中所佔的比重，也就是權重；三是確定每個具體譯文中的評估參數對於評估標準的隸屬度或隸屬函數。根據模糊學理論，前二者均可由權威/專家根據經驗或統計給定。在確定參數及其權重的過程中，權威/專家可以運用自己所掌握的翻譯理論和實踐經驗加以論證，設計出一整套評估體系，應用者可以按照需求選用其中的某一部份，還可以根據測試需要對相應的參數及其權重進行調整。而在具體運用時，評估者只需根據自己的經驗對第三項做出判斷即可。下面首先給出一份本研究根據上述理論分析初步構思的評估體系表，然後再加以說明論證。

翻譯教學測試評估體系

權重 參數	政論 演講	科學 技術	法律 文獻	一般 公文	文學 作品	商業 文本	新聞 文章	旅遊 手冊
觀點正確	0.3						0.1	
術語準確		0.3	0.3					
概念正確		0.35						
內容準確			0.2	0.2			0.1	
信息完整		0.2		0.2		0.4	0.4	
邏輯清晰	0.3		0.2	0.1		0.1	0.1	
形象完整					0.3			
敘述準確			0.2	0.1		0.1		
風格相應					0.3			
格式恰當				0.3		0.2		
語體一致							0.1	
語言平實		0.15	0.1	0.1		0.1		
再現神韻					0.2			
功能相同						0.1		0.3
語言感人	0.2				0.2			0.2
關鍵信息								0.3
表述流暢	0.2						0.2	0.2

說明：

1. 本體系根據翻譯教學的特點而設計，如果用於職業翻譯評估還需在理論探討的基礎上作相應的調整。
2. 所有評估參數雖然是假設作為例子，但都是根據本次研究的問卷調查和筆者此前所作有關研究中的調查，經過斟酌選擇的。

3. 每一類文體可以有數量不等的評估參數，但是，所有參數的權重相加之和都等於 1。
4. 此表只是一種舉例或構思，供說明機制之用，若拿出來實際應用，還有待進一步修改完善，大規模的使用甚至還要用統計學的方法先做試驗。具體使用時還可以具體調整。
5. 根據筆者所做的調查，詩詞與戲劇翻譯在實際翻譯測試中所佔的比例微乎其微，可以忽略不計，因此，文學翻譯只選用小說散文類，但如果要用此體系去做測試評分，參數和權重都要經過仔細研究加以調整。
6. 參數設計的論證是另外的事，需要進一步深入研究。參數可由專家按照實際文本或教學要求指定、更換或調整。
7. 評估時只考察譯文與原文各參數相匹配的程度（隸屬度），原文本本身的質量不予考慮。

這張表格分別來看，就是八種文體評分標準：

1. 政論演講

2. 科學技術

評價參數	權重	評價參數	權重
觀點正確	0.3	術語準確	0.3
邏輯清晰	0.3	概念正確	0.35
語言感人	0.2	信息完整	0.2
表述流暢	0.2	語言平實	0.15

3. 法律文獻

評價參數	權重	評價參數	權重
術語準確	0.3	內容準確	0.2
內容準確	0.2	信息完整	0.2
邏輯清晰	0.2	邏輯清晰	0.1
敘述準確	0.2	敘述準確	0.1
語言平實	0.1	格式恰當	0.3
		語言平實	0.1

4. 一般公文

5. 文學作品

評價參數	權重	評價參數	權重
形象完整	0.3	功能相同	0.3
風格相應	0.3	語言感人	0.2
再現神韻	0.2	關鍵信息	0.3
語言感人	0.2	表述流暢	0.2

6. 旅遊手冊

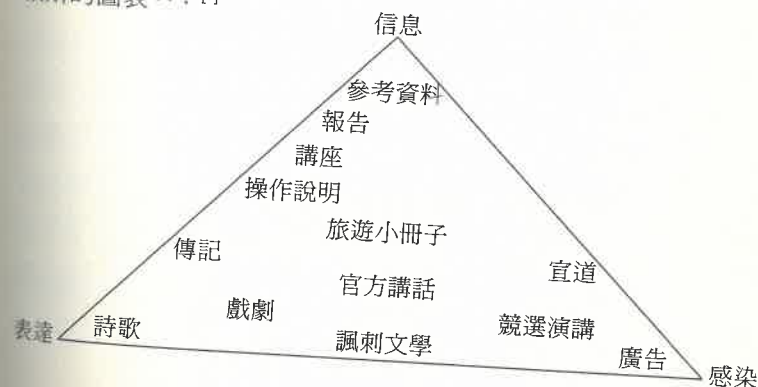
7. 商業文本

評價參數	權重	評價參數	權重
信息完整	0.4	觀點正確	0.1
邏輯清晰	0.1	內容準確	0.1
敘述準確	0.1	信息完整	0.4
格式恰當	0.2	邏輯清晰	0.1
語言平實	0.1	語體一致	0.1
功能相同	0.1	表述流暢	0.2

8. 新聞文章

筆者設計的這份“翻譯教學測試評估體系”，其中的評估參數及其權重設定，一是根據各種文獻裏所提到的觀點和方法，二是根據翻譯教學的實際需要所擬定的。參考了紐馬克針對不同文本提出的標準如譯文的表達功能（expressive function）、信息功能（informative function）和呼喚功能（vocative function）等（Newmark 1981: 21）說法，還有布勒（Buhler）把語言的語義功能分為三類：“表達”（expression）、“再現”（representation）和“感染”（appeal）。同時參考了賴斯（1976）對各類文本關係說明的圖表（見下圖），從表中可以看出，詩歌與戲劇處於表情功能的極端，而翻譯教學多側重於信息功能和感染功能的各類文本。不過具體到每一種文體，會根據教學需要把這幾種功能用不同的辭彙表述出來，如“信息完整”、“關鍵信息”等評估參數都屬於信息功能。根據模糊學原理，參數及其權重的設定都可以根據經驗給定，而且可以根據情況修訂。因此，我們可以根據前人的理論和經驗以及教學需要設定表格，然後再通過實驗等進行驗證調整。

賴斯的圖表 [6]：[7]



賴斯認為，一個緊密聯繫翻譯實踐，涵蓋所有文本種類的類型學是客觀翻譯批評最基本的要求。文本類型是影響譯者選擇適當翻譯方法的首要因素（Reiss 2000）。翻譯教學測試評估體系評估參數的設計，就是建立在翻譯類型學的基礎之上的。翻譯教學並不需要涵蓋所有的文本類型，我們只需從賴斯的類型圖中找出翻譯教學中最常用的幾種類型即可。正如朱志瑜所分析，在“再現”的文本中，“事物”是中心內容，“表達”文本突出的是“發送者”，“感染”的對象是“接受者”。這樣，表面上林林總總的問題在三種“功能”的類型下統一了起來，為進一步解決我們常說的內容與形式的關係問題打下了基礎。譯者能根據文本類型處理內容與形式的主次取捨。信息文本翻譯的首要目的要保證信息的精確，表情文本關心修辭結構的相應美學效果，感染文本要達到原文的目的（朱志瑜，2003）。它與傳統做法的根本區別在於，傳統譯論的核心是想樹立一個能夠涵蓋所有類型文本的翻譯標準，同時這個標準又能為所有譯者與評者所接受。然而，能夠解決所有類型文本翻譯的方法並不存在，因此這樣的標準也就難以存在。缺乏“普遍適用”的標準，翻譯批評／翻譯評估／翻譯測試都失去了參照系，每位譯者與評者都要突出自己心目中想強調的東西，如“事物”、“表達”或“感染”，其他人又不一定認可，於是才有持續多年的爭論與無奈。我們在設計這個體系時，首先承認文本類型對翻譯方法的影響，在考慮各種不同功能的同時，突出翻譯教學的實際需要，把需要評估的文本類型範圍進一步縮小。而且說明，這些文本類型和評估參數都不是固定不變的，都可以根據實際情況進行調整，表中所列只是說明或舉例。

筆者在設計評估參數時還參照了周兆祥對各類功能文體着重點的劃分：

語篇功能	重 心											文 體
	作者	作者意圖	訊息	原文	真理	社會	溝通渠道	譯文語	委託者	譯者	譯文使用者	
祈使						✓			✓		✓	商業、演講、宗教、公文
表達	✓	✓	✓	✓								自傳、詩、談話
描述					✓	✓						科技、新聞、法律
美感							✓	✓		✓	✓	戲劇、詩、散文、小說

（周兆祥，1996：14）

此表中的“重心”，就是我們所說的各種文體的主要語篇功能，也是測試評估參數設立的參照。

選擇評估文體的依據是專家提出與調查研究相結合，具體來說就是以豪斯對文本類型的劃分方法為主，參考問卷調查的結果。在豪斯提出的八種文體中，本研究選用了科技文體、商務文體、新聞文體、旅遊文體、宗教和政治文體，沒有選用道德軼事和戲劇對白，因為這兩種文本在國內的翻譯測試中使用不多。另外增加了文學、公文（實用）和法律三種常見的文體。其他學者

在討論評估標準時往往針對某一種具體的文本。筆者之所以選用這八種文本，是因為在對中國內地翻譯教師的問卷調查中發現，這幾種文體是他們在實際的短文和長篇翻譯測試中使用較多的，例如文學翻譯（指小說散文的翻譯）佔 42%，實用翻譯佔 33.3%，科技翻譯佔 18.8%，旅遊翻譯佔 11.6%，政論翻譯佔 11.6%，法律翻譯佔 8.7%，新聞翻譯佔 4.3%。我們根據教學實際又作了一些調整，便於教師分類掌握。

把每一種文體進一步分解為單因素評估參數。每一種文體的測試評估參數一般控制在 5 個左右，最多不超過 7 個，這是因為如果評估參數過多，每個參數所能獲得的權重就會相對分散（所有參數權重之和為 1），無法突出文體特點；而且對於評估者來說，在完成測試評分的過程中，評估參數至少需要短時記憶。認知心理學家通過實驗發現，短時記憶的廣度有 7 個項目或稱“組塊”（chunk），容量是“ 7 ± 2 ”，即 5~9 之間（方俊明，1990: 142）。考慮到教師個體短期記憶容量的差異以及他們對評估標準的熟悉程度，評估參數不宜太多，否則會影響評估的準確程度。

評估體系表中的 17 個評估參數，都跟上述語言功能、翻譯功能和文本類型相關，如“觀點正確”、“術語準確”、“概念正確”、“內容準確”、“信息完整”、“關鍵信息”、“敘述準確”和“邏輯清晰”等，都是為表達（expression）功能服務的；“形象完整”、“風格相應”、“格式相當”、“語體一致”、“語言平實”、“表述流暢”等，是為再現（representation）功能服務的；而“語言感人”和“功能相同”則是為感染（appeal）功能服務的。之所以為每一類功能服務的參數要用不同的術語來表達，也是為了加以區分，突出不同文本類型的需要，而且這些

參數都是可以調整改變的。例如，政論演說文本強調觀點正確、邏輯清晰和表述流暢、語言感人，是為了準確表達論者的政治觀點、態度與立場，並使演講具備一定的感染功能；科技文本強調術語準確、概念正確、信息完整和語言平實，是因為科技文本涉及大量的專業術語、科技概念和專業信息，語言要求樸實清楚，等等。文學作品主要通過各種語言手段和技巧（如語法、辭彙和修辭等）表達形象，如人物形象等，因此譯文也要求調動譯語相應的各種手段和技巧保持原來的形象。特別需要說明的是，由於語言符號的傳意功能不是單一的，有時候可能同時具有三種功能，但以某種功能為主，因此，不同的文本只是突出強調某一方面的功能，不排除它同時具有其他兩種功能，相應地，表達這些功能的手段及其評估參數也都是一樣，可能同時擁有其他功能，但以某種功能為主。對於“符合慣用法”、“有創造性”等方面的評估和表述，已經融合到整體評估中，不再單獨作為評估參數。

至於表中所設定的權重，完全是根據以往的經驗暫時擬定的，目的是為了說明模型、便於計算和操作。根據模糊學原理，權重本來就是由專家根據經驗每一次運作的需要而設定的，而且可以隨條件改變而修改調整。因此我們在設計實際的實驗時，增加了徵求意見的表格，徵求參加實驗的翻譯教師對權重的修改意見，應用者在實際運用時，可以參考筆者的設計，也可以根據自己的經驗和實際需要再作調整。

這一體系有兩種運用方法：第一，對同一種原文如果有兩個或兩個以上的譯文，可以用此評估體系來對比兩個或多個譯文的優劣，這在教師給全班學生的譯文評分、翻譯競賽等場合特別有

用；當然，評估者也最好有多人參加；第二，對某一名學生的某一段譯文進行評估，最好有兩位或多位教師同時進行，得出綜合評估的結果。如果有兩位或多位教師參與評分時，用這種方法比較快捷。下面就來做實驗。

五、模式的運用實驗

筆者設計的評分體系包括八種不同的文體，由於時間與篇幅所限，不可能每一種方法都作驗證，只能選擇其中一種為例。筆者 1990 年所作的實驗是以科技文體為例的，說明了科技文體比較適合此種評分模式。為了便於對比和節省時間，我們再次選用科技文體。然而，在筆者設計的評分體系中，“科學技術”文體是一個寬泛的概念，指所有自然科學、人文科學和社會科學的論著。因此，比較方便的選材就是從筆者自己所屬的學術領域即翻譯研究論著裏選摘一段，於是，就選定了原文和譯文如下。原文與譯文一、二都是已經發表的文獻，這兩篇譯文本身就是一位作者為了比較而挑選的，為了增多比較的對象，筆者又邀請兩位翻譯專業的碩士研究生完成了譯文三和四（在此僅向四位譯者致謝）。

（一）實驗目的

本實驗的目的，是要用一種文體文本翻譯的不同譯文，邀請經驗豐富的翻譯教師，分別用印象等級、百分制和模糊綜合評分模式三種方法給出評分，比較三種評分方式的結果。如果模糊綜

合評分模式的結果與前兩種傳統的方法大體一致，說明該模式確實綜合了人腦的主觀判斷，比較可靠。然後在對比的基礎上再來討論該模式的長處與需要改進之處。

（二）實驗步驟

第一，邀請十名翻譯專業教師參與評分。¹⁰實驗表格上的要求主要有以下幾點：（1）請您用印象等級法和百分制分別給四個譯文打分；（2）請您根據評估參數和對譯文的印象，分別給出每一個相應評估參數的等級；（3）請您提出每一參數權重的比例是否合適，如不合適，應該如何修改？（4）您只需給出對每一個評估參數的判斷即可，最後的運算由電腦完成；（5）如對參數的設置有不同意見，也請一併提出。（設計評分表格略）

第二，得到實驗資料如下：

得到單因素評判矩陣

$$R1 = \begin{bmatrix} -0.2 & 0.4 & 0.3 & 0.1 \\ 0.1 & 0.7 & 0.1 & 0.1 \\ 0 & 0.8 & 0.2 & 0 \\ 0.2 & 0.6 & 0.2 & 0 \end{bmatrix} \quad R2 = \begin{bmatrix} -0.5 & 0.2 & 0.3 & 0 \\ 0.5 & 0.4 & 0.1 & 0 \\ 0.2 & 0.7 & 0.1 & 0 \\ 0.6 & 0.2 & 0.2 & 0 \end{bmatrix}$$

$$R3 = \begin{bmatrix} 0.1 & 0.1 & 0.6 & 0.2 \\ 0.1 & 0.2 & 0.3 & 0.4 \\ 0.1 & 0.3 & 0.5 & 0.1 \\ 0.2 & 0.2 & 0.4 & 0.2 \end{bmatrix} \quad R4 = \begin{bmatrix} 0 & 0 & 0.3 & 0.7 \\ 0 & 0 & 0.3 & 0.7 \\ 0 & 0.1 & 0.2 & 0.7 \\ 0 & 0.1 & 0.5 & 0.4 \end{bmatrix}$$

第三，將資料登錄運算公式 $B_1 = A \circ R_1$ 和 $B_{12} = A \circ R_2$ 。

(選用模型 i)

$$B_2 = A \circ R_1$$

$$B_3 = A \circ R_1$$

$$B_4 = A \circ R_1$$

電腦界面顯示結果為

$$B_1 = 0.2 \quad 0.35 \quad 0.3 \quad 0.1$$

$$B_2 = 0.35 \quad 0.35 \quad 0.3 \quad 0$$

$$B_3 = 0.15 \quad 0.2 \quad 0.3 \quad 0.35$$

$$B_4 = 0 \quad 0.1 \quad 0.3 \quad 0.35$$

(選用模型 ii)

$$B_{22} = A \circ R_1$$

$$B_{32} = A \circ R_1$$

$$B_{42} = A \circ R_1$$

電腦界面顯示結果為

$$B_{12} = 0.125 \quad 0.615 \quad 0.195 \quad 0.065$$

$$B_{22} = 0.455 \quad 0.370 \quad 0.175 \quad 0$$

$$B_{32} = 0.115 \quad 0.190 \quad 0.445 \quad 0.250$$

$$B_{42} = 0 \quad 0.035 \quad 0.310 \quad 0.655$$

上述結果表明，按照模型 (i) (即取大取小) 方法計算，譯文一和譯文二、譯文三和譯文四得分兩兩相同 (根據模糊綜合評判方法裏的最大隸屬原則，在每一組四個數字裏面取最大值進行比較，並以最大值所在的那個結果為最後得分，在模型 (i) 的計算中，四個譯文的最高得分值均為 0.35，而且譯文一和譯文二都可以看作較好，譯文三和譯文四都可以看作不好)，這個結果為二義性實效，沒有區分價值，故在此情況下應以模型 (ii) 的計算為準。

按照模型 (ii) (即加權平均) 方法計算，根據最大隸屬原則，譯文一所得四個評分數字中最大的為 0.615，為較好；譯文二最大的數字是 0.455，為很好；譯文三最大的數字是 0.445 為一般；譯文四 0.655 為不好。

(三) 實驗結果的報告

與用傳統方法評分進行比較：

根據印象等級給分結果為：

加上係數	4	3	2	1	總分
譯文一	很好 0	較好 9	一般 0	不好 1	28
譯文二	很好 7	較好 1	一般 1	不好 1	32
譯文三	很好 2	較好 1	一般 5	不好 2	23
譯文四	很好 0	較好 0	一般 3	不好 7	13

從總分可以看出，譯文二最好，譯文一次之，然後是譯文三和譯文四。從表中就可以看到結果，加上係數是為了使文字的結果用數字表現出來，更加直觀。

十人所給平均分數 (百分制)：

譯文一：73.9

譯文二：79.3

譯文三：67.9

譯文四：55.8

於是我們得到比較結果：

	等級制	百分制	模糊綜合評分
譯文一	較好	73.9 分	較好
譯文二	很好	79.3 分	很好
譯文三	一般	67.9 分	一般
譯文四	不好	55.8 分	不好

三種計算方法結果一致，都認為譯文二很好，譯文一較好，譯文三一般，譯文四不好，說明本設計從理論原理到實際操作基本正確，符合設計要求。需要說明的是，在百分制裏面，各校分值有所不同，例如，有的學校 60 分及格，有的 50 分就算及格，有的 40 也算及格，因此，各位評分者所給分數相差較大，在這裏，絕對分值由於計算平均分數而沒有相對分數有意義，只是由於香港學校普遍分值低於內地學校，參加試驗者 80% 都是香港的教師，所以平均分數看起來不算高。但是，我們需要的是相對分數，因為相對分數就具有區分的意義了，有了相對分數之後，就可以根據各校的具體要求和比例轉換成相應的具體分數（這一步計算可以完全由計算機完成）。

（四）討論及模式的調整

有人會問，既然三種方式的結果一樣，那麼模糊綜合評分模式的優越性何在？

首先，模糊綜合評分模式的設計是有理論根據的，如翻譯標準的討論、目的論、翻譯類型的劃分、翻譯批評和翻譯評估等，還要充份尊重實際需求和實踐經驗，如評估參數的選擇、評分模型的選擇及權重的確定等，都是在前人經驗的基礎上，經過使用者根據實際情況反復調整過的，這顯然要比僅僅根據評分者個人經驗或個人的主觀判斷要有說服力。

第二，適應性強，靈活方便。在模糊綜合評分模式的基礎上，我們又設計了評分體系，把翻譯教學中常用的文本翻譯各種文體綜合起來，便於使用者根據實際需要選擇，這就為廣大的翻譯教師提供了一整套參考方案；於是，作為翻譯教師個人，如果

接受本課題的研究結果，只需使用本模式和體系而無須自己再去苦苦思索設計評分方案。

第三，與傳統評分方式所需時間相近。本實驗同時請參加實驗者協助記錄了三種方法評分所需要的時間，雖然因為時間精力等條件所限，我們沒有分別請人來做，而把三種方法合在一起來作，這樣實驗者只要看一遍原文和譯文就能完成三種方法評分，從而削弱了區分意義，但是，經過口頭交流詢問，實驗者大都認為，三種方法評分所需時間基本上沒有差別。例如，某實驗參加者記錄，四份譯文，他用三種方法分別給分，每一份譯文都需要用五分鐘。這就意味着，模糊綜合評分方式並不比兩種傳統的評分方式更費時間。

第四，區分性強。從實驗結果報告可以看出，運用模糊綜合評分模式，其結果共有四個數字可供參考。通常我們只要選取四個數字裏面最大的一個進行比較，但其餘三個數字並非毫無價值，因為當大規模測試參加人數很多時，難免會出現最大那個數字相同的情況，在這種情況下，其餘三個數字的比較就有意義了。除了相同的那個數字以外，可以根據其餘三個數字的大小，或者根據需要確定這些人的最後得分排名。例如本實驗中用模型一計算的結果，當譯文三的得分為 0.15、0.2、0.3、0.35，譯文四的得分為 0、0.1、0.3、0.35 時，雖然按照最大隸屬原則，兩個譯文的最高得分都是“不好”（0.35），並且兩個譯文的第三項得分均為 0.3；但是，譯文三前面兩位數字顯然要比譯文四高（ $0.15 > 0$ ； $0.2 > 0.1$ ），由此可知，譯文三要比譯文四好。而傳統的等級法和百分制都僅有一個數字，萬一這個數字相同（等級法更容易出現這種情況，人數多時百分制也會出現這種情況，而用模糊綜

合評分模式，出現幾個數字同時相同的機會要小得多），就很難對這些相同的分數再作區分排隊了。這就表明，模糊綜合評分模式可以有效地對被測者作區分和排列。

第五，大規模的測試，評分速度和質量都可以有所保障。例如在原有的英語專業八級考試翻譯測試中，評卷教師實際操作中很少嚴格按照評分表來做，是因為他們認為評分標準太抽象、太長不好記等，這樣一來，評分標準即使相當合理也難免形同虛設，起不到應有的作用。模糊綜合評分模式的每一種文體評分標準都相對比較具體、簡潔，便於記憶與操作，但還需要進一步深入研究，例如日後若能進一步對傳統評分經驗的歸納總結和理論探討，有助於使評估參數的選擇和權重的設定更加趨於合理。還有，我們目前使用的電腦運用界面是相對固定的，如有需要，還可以將其做成動態可變的，運用起來自當更加方便。

第六，每一種文體的評分標準都可以根據所選文本與翻譯目的等作進一步的調整。本研究在這方面做得不夠。由於筆者設計實驗的時候，只考慮到選取學術著作作為科技文體的代表，因此僅從原文內容判斷其有學術成份，忽略了所選取的原文是學術著作的序言；而人們在寫作序言時，往往不像寫作正式的學術著作時那麼嚴謹，會帶有感情色彩，或運用修辭手法，使序言文采斐然的同時偏離了正常的科技文體特點。因此，筆者實驗時提交給參加實驗者的評價參數或會顯得有失妥當，實驗結束以後，筆者在與各位參加實驗者的交流中才發現選材不十分恰當，原文作者的寫作風格不是嚴謹的科學文體，而是有文學文體的成份，因此最好對評價參數及其權重作一些調整。好在實驗的最後一項就是請參加實驗的專家們提出意見，這在一定程度上彌補了選材的欠

缺，為今後的修改調整提供了依據，同時也顯示出模糊綜合評分體系設計理念的優勢，即體系中所有的項目都是動態開放的、可以修改的，本實驗僅僅提供一個小小的例證作為說明而已。參加實驗的專家們提出，評估參數可作如下修改：在語言表述方面可以更加簡明，如把原來的四個字改為兩個字如“術語、概念、資訊和語言”，讓語言的模糊性涵蓋面更大，更便於操作；有人提出增加“行文連貫”一項（如果參數增加到五個，評估等級也要相應地增加到五個^①）；還有人提出用“語言”不如用“風格”或“慣例”等作為評估參數更好。有一半的專家建議修改權重，如把原有四個權重 0.3、0.35、0.2 和 0.15 改為 0.3、0.3、0.2、0.2。有趣的是，筆者最早的設計正是如此，只是在從“體系”中抽出科技文體的參數時，考慮到四個權重兩兩相同，有可能導致結果二義性實效，失去鑒別意義，所以才作了修改的。沒想到如果增加語言的權重份量，便又回到筆者原初的設計上去了。遺憾的是，本實驗由於時間所限，來不及重新請人幫忙再作一次，也來不及再作漢譯英的實驗和其他七種文體的試驗了。

筆者願意接受大家的建議，在後續的研究中：（1）謹慎選擇實驗材料，使之更加具有代表性和說服力；（2）多選用幾種文體做實驗；（3）作英譯漢的實驗，同時也作漢譯英的實驗；（4）增減評分者的人數，看看結果會有甚麼變化；（5）總結專家們的經驗，繼續調整每一種文體的評價參數及其權重；（6）用統計學的方法研究此模式的信度和效度；和（7）與模糊數學和計算機的學者合作，進一步完善應用界面，以及設計把模糊綜合評分的排列結果根據需要變換成具體分數。

六、結 論

(一) 前景與展望

運用數學方法來進行定量研究是當今人文社會科學研究的一個趨勢。我們運用模糊學的思維方式，提出量化翻譯測試的構想，設計翻譯測試的模糊綜合評分模型及評分體系，就是試圖解決翻譯測試中的模糊性和不確定性這個亙古以來的“局限”。這種努力只是一種初步的探索與嘗試，用定量研究來充實、豐富和深化定性研究，進而使翻譯研究朝着科學的思考邁進。

另外，隨着語料庫的迅速發展，建立標準樣本或模糊樣本也成為可能，將來可以利用語料庫來做模糊識別，從而使譯文評估自動化的程度更高，這是今後的發展方向。目前的語料庫研究還主要用於人類對比原文和譯文的標本與參照，還需要人的操作，沒有發展到及其自動識別的程度。筆者認為，完全依賴機器進行全自動的機器評分還有很長的路要走，不是一年兩年、一篇兩篇博士論文所能解決的，還要相關領域的學者通力合作，在計算機智能化、語料庫建立與應用、翻譯教學理論等多方面進一步發展之後，才能逐步向這個方向靠攏。需要說明的是，無論電腦發展到甚麼程度，還是少不了人腦的介入或參與，人類的經驗、人的主觀能動性可以使電腦的運用更加合理更加有效，因此電腦不可以完全取代人。

(二) 局限與不足

一個完整的測試研究，應從基礎理論探討入手，然後制定測試大綱、確定測試內容、討論測試方法，研究測試評分方法和分

數調整，以及測試的組織實施等。具體到翻譯測試研究來說，本文研究的是主觀性較強的文本翻譯測試的評分問題，這是解決翻譯測試大規模應用的關鍵所在。本研究着眼於從理論上闡明建立模糊綜合評分模型及其評分體系的可能性與基本原理，並舉例加以說明，還沒有進行大規模的統計學實驗進行驗證以及後續種種應用研究。至於為甚麼要進行翻譯測試？翻譯測試應測哪些內容（即考甚麼的理論根據）？翻譯測試如何命題（即具體來說怎樣考）？還有考試結果的統計分析、如分數計算、分數核對總和調整、對測試的分析評估、各種專題分析，以及反饋和總結等等，涉及範圍廣泛，是一個龐大的研究體系，一次學位論文研究當然未及涵括所有的內容。無可避免地，限於時間、篇幅、以及筆者本人的學識、精力等條件，眼下的研究不可能面面俱到，上述其他各種問題只能留待今後再去研究解決。

模糊綜合評判常用的基本模型有四五個，本研究只選用了其中最具有典型意義的兩個，極值法和加權平均法，主要是為了說明問題，簡單易懂。實際應用時，還可以根據情況選用其他幾種模型作為補充、調整。這需要模糊數學家的參與。

電腦應用界面的設計，只能用於現有的模型設計，如果需要改變模型的某些內容或結構，需要電腦軟體設計師配合，作相應的調整改進。例如，現在的權重個數是根據所得矩陣的行列數目產生的，一般來說在五個左右比較方便，換言之，評估參數最好在五個左右；而且我們只設計了兩種常用的模型，使用者選擇的餘地不大；今後可以把常用的五種模型都設計成應用界面，並加以實驗、比較，從中選出合用的和備用的模型，令使用者感到更加方便。還可以設計一個應用程式，把用模糊綜合評分模型運算

出來的結果自動轉換成標準分數，等等。總之，與模糊數學家和計算機軟件設計師進一步合作的空間還比較大，還可以把此項研究做得越來越好。

本研究僅僅從原理上闡述了筆者的設計思想，由於涉及的知識面比較廣，有關課題需要做的實驗還不少，而且限於篇幅，只能就目前證實的結果告訴讀者，與傳統評分方法相比，模糊綜合評分模式的優勢就是要綜合以往人們的評分經驗，綜合單個個人的主觀意見，綜合各種相關理論的有用之處，由此可見，人類的經驗對於評估參數的選擇和權重的確定等至關重要，是人們最後決策選擇的重要依據。本研究的種種不足，正是今後相關研究的問題和起點所在。

（三）結語

本課題成果不僅可以使英漢／漢英文本翻譯測試逐步做到有理論依據、有量化方法，而且可以從研究過程中看出翻譯理論研究對於翻譯教學實踐的指導作用。如果進一步做下去，用模糊統計等方法確定評估體系中各個參數的權重，用各種文體的試題分別做實驗，用統計學的方法研究幾種不同模型的應用結果，就可以使本研究擁有更加合理的評分模式、評價參數及其權重等，以期適用於翻譯教學實際、適用於國內正在推廣的翻譯資格證書考試等各類翻譯測試，甚至適用於英語和漢語之外的其他語種，為推動翻譯教學和翻譯理論研究做出應有的貢獻。

* 本文在作者博士論文的部份章節基礎上修改而成，為其《英漢／漢英翻譯測試研究系列》之五，同時也是廣東省哲學社科基金規劃項目（批准號 03104H2-07）的階段性成果。借此機會謹向導師黎翠珍教授和周兆祥博士表示衷心的感謝。

注 釋

- [1] 本文中的文本翻譯，指相對於單詞或單句翻譯而言的段落翻譯、篇章翻譯或長篇翻譯。經過調查發現，文本翻譯是翻譯教學中應用最為廣泛的測試題型。
 - [2] 有關問卷調查的報告，由於篇幅所限從略。
 - [3] 篇幅所限，無法一一列出上述文獻，請參見所附參考文獻。
 - [4] 內地出版業大約於 20 世紀 90 年代初才開始加入國際版權組織，注意遵守相關的規定，在此之前，由於缺乏嚴格意義上的版權約束，翻譯、編譯、譯述，包括編著中的引用原文，都不甚規範，因此，很難查找一些較早資料、特別是編譯書籍的資料原始出處及其權威版本的翻譯。目前所見中文模糊數學論著多為編著者根據英文資料直接編著（從資料上有時看不出是翻譯、譯述，還是編譯或編著），很難查到完整的譯作，能查到的早期資料只有：潘雪梅、張錦文“弗齊（Fuzzy）集合論”，《電腦應用與應用數學》1976 年第 9 期；L·A·查德“模糊集”，任平譯，《自然科學哲學問題叢刊》1981 年第 5 期等。故除原文之外，只能轉引或參考這些評述性質的話語。另外，英文原文因為是寫給專業讀者的，內容多為專業術語和公式，少有淺顯的介紹與評論，而本文讀者估計多為不懂模糊數學的外行。目前中文有關模糊數學的編著或論著也有一些，為避免過於專業、枯燥、難懂，我們儘量採用現有的以普及為目的的中文資料（如苗東升的《模糊學導引》等），以方便讀者理解，這並不意味着我們認為這些資料就是該領域的權威論著。特此說明。
- [4] 中文有關模糊數學的論著裏，有的用“評判”，有的用“評價”，也

有用“評估”的，在英文裏都是 evaluation。為了尊重原作者，本文在引文裏一般採用原文的說法而不改為統一的說法，特此說明。

- [6] 這些術語使當時在文章中使用的，雖然現在看來不夠合理，但筆者還是照用，未加修改，這是為了尊重歷史，讓讀者瞭解當時的情況。
- [7] 本文採用的中文譯本參見朱志瑜〈類型與策略：功能主義的翻譯類型學〉一文，《中國翻譯》2004年第3期，頁3-9。
- [8] 之所以邀請十位翻譯教師參加評分，是出於以下考慮：參與評分的翻譯教師都是經驗豐富、有多年教學經驗的；選擇十名教師的另一個考慮就是，最後的結果作歸一化處理比較方便，也便於讀者自行檢驗是否準確。
- [9] 由於我們最初設計的科技文體評估參數只有四個，所以評估的等級也設為四個，這樣便於電腦操作。大多數文體的評估參數都控制在五個左右，這裏一方面有心理學依據，另一方面也是便於操作。參數太少失去意義，參數太多又會使權重過於分散，也難於跟評估等級相匹配。

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BOOK REVIEW



Mother Tongue in a Foreign Mouth: Jane Lai's Cantonese Translations for the Theatre

Lie Jianxi

Lai, Jane Chui Chun. *Jane Lai Drama Translation Series* (9 vols.). Hong Kong: Centre for Translation, Hong Kong Baptist University, and International Association of Theatre Critics (Hong Kong), 2005.

This series presents Jane Lai's translations of nine plays in the Cantonese vernacular, including established repertoire pieces such as Sophocles' *Oedipus Rex* and Shakespeare's *King Lear*, and more recent works like Samuel Beckett's minimalist dramaticule, *Rockaby*. Since they are translated in the vernacular, they were meant, from the very beginning, to be vocalised on stage rather than read on the page: a welcome starting point, for the very life of the theatre lies precisely in its vocal enactment in performance.

The choice of Cantonese raises some interesting issues. Martha Cheung in her Introduction to the series mentions the reluctance of publishers to accept the plays for publication, as no one would put one's business at stake by launching something written in an "inferior" language like Cantonese. This leads us to ponder the unique status of Cantonese

in Hong Kong.

In most parts of China, Putonghua is the absolute higher variety of the Chinese language. Putonghua's prestige comes from its long and respected literary tradition, and is consolidated by education and national standardisation; on the other hand, local dialects (including Cantonese), being distinct from the written form to varying degrees, are used only for everyday functions and learned by children in the natural way: they belong in the lower varieties. Putonghua has been standardised in such a way as to have superseded the role of local dialects as *the* mother tongue. In Hong Kong, however, the picture is far less holistic. Where one talks the way one writes in Putonghua, in Cantonese one never talks the way one writes. Cantonese itself is thus divided into two varieties, the "higher" one used only on formal occasions like Chinese courses and recitation contests; the "lower" other used by most people in daily communication most of the time. While this is true of other Cantonese-speaking communities like Guangzhou, the divide is less marked as people in those communities can resort to Putonghua when it comes to formal activities—Putonghua has been internalised in such a way that it assumes an absolute higher status. People in Hong Kong, however, have nothing to resort to. Think of the coexistence of a higher, written form of Chinese and the spoken form of the Cantonese vernacular: students recite in Cantonese, for instance, a passage which is written in that higher form of Chinese. Every act of enunciation in that written form of Chinese becomes "abject" in nature: there is something lurking threateningly in this that is not "me". Hence the ultimate complication: while politically and culturally the written form enjoys a higher status, the spoken form of Cantonese assumes a psychological prestige as it is the more "intimate" variety, the mother tongue.

Thus Jane Lai's translation in the Cantonese vernacular makes some special pleading for itself. It seeks to (a) bring Cantonese speakers a most

intimate experience of the plays; and (b) reinvigorate the literary quality of Cantonese by showing that it is more "presentable" than most people think.

This is no easy task which demands more than a talent for language. If it takes a poet to translate poetry, then it must take at least a practitioner of theatre, if not a playwright, to translate drama. For only someone with empirical knowledge of theatre will see what does work on stage and what does not. Jane Lai's background in dramatic production stands her in good stead because her endeavour is virtually unique in its concern with the sounds and rhythms of the plays. Most of the plays collected in this series have been staged by the Seals Theatre, which she co-founded with Vicki Ooi in 1978. Working closely with actors, directors, and stage dancers, matching language with stage décors, body movements, as well as the performers' vocal attributes, she has sought to achieve the best possible speech rhythms and capture the musicality of the original. Sometimes the translations are nuanced to the level of exclamations:

Lear. No, no, no, no! Come, let's away to prison:
We two alone will sing like birds i' the cage:
When thou dost ask me blessing, I'll kneel down,
And ask of thee forgiveness: so we'll live,
And pray, and sing, and tell old tales, and laugh
At gilded butterflies, and hear poor rogues
Talk of court news; and we'll talk with them too,
Who loses and who wins; who's in, who's out;
And take upon the mysteries of things,
As if we were God's spies: and we'll wear out,
In a wall'd prison, packs and sects of great ones,
That ebb and flow by the moon.

李 唔去唔去、唔去唔去。嚟啦，我哋去監牢，
我哋兩人高歌，好似係籠中鳥，你若求我祝福，
我就會下跪向你求寬恕。我哋可以咁樣度日，
祈禱，唱歌，仲可以講故事，笑一下喇
披金戴銀嘅蝴蝶，聽一下閒人閑語話當朝，
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得天獨厚知天意。安坐於監牢四壁內，
冷眼看朋黨浮沉於官宦潮。

(*King Lear*, 114)

Jane Lai is sensitive enough to have spotted the drastic differences between English and Chinese exclamations: where the former is less varied in vocabulary, its tone heavily dependent on the context of articulation, the latter is more vocabulary- and rhythm-based. Tellingly she observes, “The four No’s in the original are fine, you can say them in whatever way you like. You can say, for instance, ‘No No, No No’, ‘No! No, No, No!’ or even ‘No, No, No! No!’ But in Chinese, three consecutive 不’s will have sounded funny, four, hilarious, as in the case of Zhu Shenghao’s translation. In Cantonese, you normally say 唔去 three times when you’re angry. Four 唔去’s in a row with a pause after each would have rendered Lear effeminate” (“Conversation with Martha Cheung”, *Rockaby*, 39-40). Eventually she broke down the four into two parts, each consisting of two 唔去’s. By doing so, she retains the original power and number of words while avoiding being funny.

Apart from its sensitivity to sound patterns, this passage is also extremely beautiful. We see that archaic expressions and syntax fit very well into spoken Cantonese without appearing odd or strange. “I find the Cantonese vernacular beautiful ... People say that Cantonese is not presentable, I don’t believe that. I said I would convince them by

translating *King Lear* into Cantonese, ... the point is how you use the language” (“Conversation with Martha Cheung”, *Rockaby*, 35). According to Lai, there are forgotten elements of the dialect that need to be discovered so as to reinvigorate it as the carrier of local culture. Cantonese proves to be most energetic and accommodating in her translations: with common people, it is vigorous and vivacious; in a palace or on an altar, it is delicate, forceful, and solemn. Whatever the situation, it shows no signs of depletion.

In a disarming preface, Lai says that where she had to decide between accuracy and the actors’ convenience, she would sacrifice the former for the sake of the latter: “It’s better to ‘see’ with your ears, after all”. Her translations display a strong dependence on the ear’s capability to hear—as we read them aloud, we marvel at the imminent presence that sounds alone can bring about. Here, theatre is at its quintessential best when sonic energies surge and foam and bodies diffuse, melting into each other, subsiding into the heaving syrup of a rare felicity. Indeed, no disservice is worse than to fossilise a highly performable text in the course of translation, however accurate it may be.

I like Jane Lai’s humble but suggestive comment on the communicative function of her translation: “I don’t translate to introduce a foreign culture to the local audience; I translate to bring them the pleasure that a foreign audience would experience”. To this “pleasure”, Walter Benjamin would have given the name “pure language”. It is in view of this that the translator must work: instead of reproducing the meaning of the original, one “must lovingly and in detail incorporate the original’s mode of signification, thus making both the original and the translation recognisable fragments of a greater language” (Benjamin, “The Task of the Translator”). In this sense, each becomes an echo of a ventriloquist’s voice, suggestive of an unexplained presence in which they are complicated, but which they do not contain. Then the boundaries between

them break down and they spill into each other: the original gains new vigour in the translation, when the translation achieves a life of its own by refusing to be a mere “copy” of the original.

This is, to borrow from Roland Barthes, a *vertical* kind of domestication. For so long, we have been talking about the pros and cons of a *horizontal* kind of domestication whereby words “deliver their meaning when the utterance is completed” so that “meaning [...] moves across them, over time, in a constant process” (Barthes, “Writing Degree Zero”). In Jane Lai, however, words and their connotations are far less important than the *vertical* axes of style in which the utterances exceed their content, representing a dynamic not restricted by the original:

Lear. The bow is bent and drawn; make from the shaft.

Kent. Let it fall rather, though the fork invade

The region of my heart: ...

李 利箭上急弦，你避開！

健 利箭離弓由他發，雖然中的在我心……

(*King Lear*, 7)

Lines like these remind us of Cantonese Opera, yet a fine balance is maintained. While we are constantly aware of the presence of a familiar form, we are never able to name it. The similarity is alienated such that the audience feels, “The play is so freshly *ours*!”

All in all, Jane Lai’s translations are extremely beautiful, well-paced, and vivaciously colloquial with a good sense of rhythm. One can always quibble with the rendering of a line here and there, but the standard of translation is very high on the whole. This is rich fare not only for practitioners of drama who want to discover something new about their familiar plays, but also for the discerning student of Western theatre

who might find the original intimidating: they serve to whet the appetite for further exploration of individual figures. In reading these plays, one is haunted by lines like 冇嘢要，又冇人要, a terse and moving translation of Eugene O’Neill’s original: “... who does not really want and is not really wanted ...” (*Long Day’s Journey into Night*, 140). Such a simple but immensely touching rendering is by no means easy to come up with: it takes all good sense on the translator’s part in her most intimate encounter with the original, as she works through the selvages of its textile.

Because I admire this series, I offer here a mild animadversion. There are occasional typographical errors, where, for instance, it is said that Samuel Beckett died in 1982 at the age of eighty-three (*Rockaby*, 85). Lovers of Beckett would not be happy to learn that their favourite writer had died seven years earlier than he actually did.

About the Author

Lie Jianxi recently obtained his Ph.D. from the Department of English, Lingnan University. He has published literary translations as well as articles on the British cinema and Chinese avant-garde fiction.

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