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Translation Quarterly

香港翻譯學會
The Hong Kong Translation Society

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Chief Editor's Note

The authors of the three articles in the present volume hail from disparate parts of the world, representing voices from three different continents.

George Echu and Théodore Dassé's "Exploring Translation Intuition: A Triangulation Approach" showcases translation research carried out in Cameroon, and is the first time that work from our African colleagues is featured in the *Translation Quarterly*. The article grapples with the concept of translation intuition: it seeks to give a workable definition, then relates the concept to a variety of translation "macro-competences," and finally examines how a new understanding of translation intuition can be usefully deployed in translator training.

"Core Vocabulary in Interpreting" is the third in a series of contributions made to the journal, over a period of some ten years, by Yang Cheng-shu, Professor at the Center for Cultural Studies, Fu-jen University, Taiwan. This time she focuses on the issue of core vocabulary like topic words, event words, time phrases, locative words and modal words. The special problems connected with these words in oral interpreting are microscopically and empirically studied in the article, on the basis of data collected from sight translation and consecutive interpretation of texts from Mandarin into English. Yang's conclusions are of particular relevance to the evaluation and teaching of oral interpreting.

Readers of this journal should find her rigorous analysis of interpretation output, displayed in several charts and tables, particularly illuminating.

Contrary to current trends, Paul G. Fendos' "Culture, Looking Back, and Translation of the *Book of Changes*" highlights the need for a translator to be sensitive to, and knowledgeable about, the source culture. The article centers on translations of the *Book of Changes*, and begins by introducing the two main schools of translation associated with it—the traditionalists and modernists. It discusses at length the translations of J. S. Marshall, especially the problems that grow out of what Fendos calls "retroactive interpretation." While carrying on the sinological tradition, the author, currently based in Minnesota, USA, takes the analysis of English translations of the Chinese classics to a different level of sophistication.

Let's hope this exciting assortment of articles will be a signal of better things yet to come.

Leo Chan

September 2010

Exploring Translation Intuition:
A Triangulation Approach

George Echu and Théodore Dassé

Abstract

This paper is a contribution to the study of the concept of translation intuition. It is based on the premise that the study of intuition in translating can give enhanced insights into translators' mental processes and eventually lead to a paradigm shift in translation teaching. The paper therefore attempts to define the concept of translation intuition and discuss its role in quality evaluation mainly in translation as a process (or translating). It is argued that translation intuition is the "ability" or "aptitude" that enables the translator to quickly deliver quality translations while making little processing effort. Such an "ability" or "aptitude" is believed to result from the combination of linguistic, encyclopedic and cognitive translation macrocompetences. Considering that translators' training curricula are found lacking in courses designed to sharpen learners' cognitive macrocompetence, it is suggested that each component of cognitive macrocompetence be attended to through appropriate means and contents when designing translation courses.

Introduction

One question that crops up in virtually all translation quality assessment studies is the following: When do we know when a translation is good? House (2001: 243) believes that this question is one that "lies at the heart of all concerns with translation criticism". In fact, it may be interesting to know what, in translating, makes us single one possible or actual rendition out of several others and describe it as one that we feel, think, or believe is best, better, good, or bad. Many theories have been proposed, which all seek to provide measuring rods for the assessment of the quality of translations. These have generally been classified under three labels, namely the mentalist approach, the response-based approach, and the text and discourse approach.

Within the text and discourse approach, there has been growing concern for objectivity as opposed to subjectivity in the quality evaluation exercise. For example, proponents of this view reject Nida's (1964), Nida and Taber's (1969), and Margot's (1979) "dynamic equivalence" as well as Reiss and Vermeer's (1984) and Nord's (1991) "skopos theory" as essentially intuitive and offering no specific objective formula for analysis and evaluation. House's (2001) functional-pragmatic model echoes early House's (1976; 1981; 1997) overt/covert translation as well as Bowker's (2001) corpus-based approach; they are examples of models that guaranty some objectivity in the evaluation of the quality of translations. The common denominator to these so-called subjective/intuitive and objective approaches is that on the one hand they all seek to evaluate the degree of equivalence between source and target texts, and on the other hand their focus is more on translation as a product than on translation as a process.

Translation as a product refers to the target discourse as it is when the process of meaning recovery from the source text, linguistic conversion and meaning transfer is over. Translation as a process, or translating, refers to the process of meaning recovery, linguistic conversion and meaning transfer as it unfolds. From this dichotomy, it appears that there are basically two levels of evaluation in translation. The first happens during translating as the translator selects the target language material that he uses to restore meaning in the target text. The second, which we are used to, is the evaluation of translation as a product. While the study of translation as a product is definitely of much theoretical importance, it remains unclear whether this endeavour is of equal utility to translation students and translators. On the contrary, an interest in translating is likely to give some helpful insights into what prompts and guides the choices of translators. This paper is a step in that direction as it explores translation intuition, a concept that has fervent supporters and fervent detractors as well, but that has not yet been operationalised in any satisfactory manner.

The paper is divided into three sections. In the first section, the concept of translation competence is attended to. This concept has so far been used in a rather promiscuous way as evidenced by the review of current literature. Extant models are therefore critically reviewed and re-operationalised, in order to sketch out the profile of a competent translator (what makes a good translator), that is, one capable of translating intuitively. The second section grapples with the concept of translation intuition, focusing on its definition, its relation to translation macrocompetences identified in the previous section, and its importance for the translator. In the third section, evidence from the previous sections is used to discuss the possible implications of the proposed concept of translation intuition on translation teaching.

Translation Competence

Ever since Chomsky's concept of competence was introduced—and rightly so—in translation studies by Nida (1964), it has been used, over the last three decades or so, in a rather careless way. The misunderstanding and misinterpretation of this concept is so pervasive and misleading that before any discussion of the components of translation competence, it is important to seek a minimal conceptual consensus.

Rothe-Neves (2007: 131) notes that in the literature of translation studies, the meaning of the concept of translator's competence shows a discrepancy "from one author to another or even for the same author", and that "sometimes, it means aptitude, and sometimes a repertoire of abilities". For example, Keen (1988: 41), cited by Österlund (1999), describes translation competence as "the ability to do a certain work task with the help of means and support". A similar stance is taken by Deslile and Woodsworth (1995: 1), for whom competence consists in "doing with ease what others do with effort". The use of such words like "aptitude" and "ability" in these sample views clearly epitomizes the difficulty that translatologists have in establishing a clear-cut divide between Noam Chomsky's competence and performance.

This divide is, however, worth establishing especially as questions on the utility of translation theories to translators are rooted deeply in the fact that these theories use as data translation as a product, devoting little attention to the processes through which that product came into being. In our opinion, any useful study of the competence of a translator should be one that is geared towards the improvement of the translator's capacity to produce quality translations. This is why such a study must necessarily focus on translating and not on translation as a product, hence the twist we have taken in this article. Unlike the study of translation as a product, the study of translating is likely to have applications in translation learning and teaching, in the same way as Chomsky's works on competence and performance have applications in second language learning and teaching.

To overcome this conceptual misunderstanding, it is perhaps necessary to formulate new definitions of translation competence and performance. In order to circumvent pitfalls, we shall start doing so by asserting that the dissimilarity between (translation) competence and performance is unequivocal and that it is a fallacy that competence in general—and translation competence in particular—is some sort of "ability" or "aptitude".

From this stance, translation competence is viewed both as some sort of internalized knowledge and an intrinsic faculty available in translators. By internalized knowledge, which can also be called *input*, we mean the knowledge that the translator takes in and accumulates as a result of his exposure to the world. This knowledge is internalized or accumulated in formal and informal settings. In the acquisition process, the student and the professional translator play an active role as they make *sustained conscious efforts* to access this knowledge. The accumulated knowledge is subsequently used in actual translating.

Unlike internalized knowledge, intrinsic faculty refers to some properties of the mind that are generally natural endowments but that are gradually sharpened as the student and professional translators practice translation and actively seek to improve on their internalized knowledge. The availability or unavailability of this intrinsic faculty has a direct bearing on whether the translator is trained or born. In the subsequent paragraphs, we will operationalise the concepts of internalized knowledge and intrinsic faculty using categories proposed by Bausch (1977) and members of the research group known as PACTE (Process of the Acquisition of Translation Competence and Evaluation). Before then, however, the concept of performance will also be examined.

If translation competence is viewed as both internalized or input knowledge and intrinsic faculty, translation performance should be the output of the translator, which is his production as translator. The expectation is that the production or output should reflect the internalized competence or input. As such, a translator who has accumulated knowledge in the field of Law and knowledge of the legal register is necessarily more competent than one who has not done so; as a result, the performance of the former in legal translation is necessarily of better quality than that of the latter.

Previous veritable attempts to operationalise the concept of translation competence are those of Bausch (1977: 519), Deslile (1992: 42), and recently, those of PACTE. Bausch divides translation competence into three subcompetences, namely *linguistic competence* that includes both grammatical and communicative competence, *specific competences* that he describes as encompassing knowledge of the extra-linguistic reality, and finally, *translational competence* which he presents as some sort of autonomous ability that surpasses reading and writing in complexity. Deslile identifies five translation competences, namely (1) linguistic (ability to understand the source language and quality of the target text language); (2) translational (ability to retrieve meaning from the source text and transfer it into the target language without any interferences); (3) methodological (ability to gather relevant documentation on a given field and master the terminology of that field); (4) field specific (ability to translate texts in some basic fields like economics, computer science, law); (5) technical (ability to use various translation resources like text processors, terms bank, voice over machines, etc.).

Following Bausch (*ibid*) and Deslile (*ibid*), researchers from the PACTE group have developed a componential model which is larger in scope and encapsulates Bausch's three subcompetences as well as Deslile's five competences (see Hurtado 1996, 1999 and 2002; PACTE 1998, 2000 and 2001 for a detailed discussion of this model). In the words of Melis and Hurtado (2001: 280), "elements that define the competence of a good translator, the different levels of competence, and the progression in the acquisition of that competence" are factors that should be examined when looking at what is being assessed in translations.

Following this objective, researchers within this group have proposed a "holistic and dynamic model" in which translation competence is described as "the underlying system of knowledge, aptitudes and skills necessary to be able to translate" (Melis and Hurtado: *ibid*). They have equally broken down translation competence into six different subcompetences, namely:

(1) Communicative competence in both languages. Comprehension in the source language and expression in the target language.

(2) Extralinguistic competence. Knowledge of the theory of translation, bicultural knowledge, encyclopedic and thematic knowledge.

(3) Transfer competence. The ability to perform the entire process of transfer from the original text to the final text: comprehension, deverbalisation and separation of the two languages (control over interference), re-expression and definition of the translation project (selection of the most appropriate translation method).

(4) Instrumental/professional competence. Knowledge and skills relating to professional translation practice: knowledge of documentation sources, new technologies, the labour market, professional conduct.

(5) Psychophysiological competence. The ability to apply psychomotor, cognitive and attitudinal resources: psychomotor competences and skills in reading and writing, cognitive faculties (memory, attention, creativity, logical thought, etc.) as well as psychological

attitudes (intellectual curiosity, perseverance, rigour, critical acumen, awareness of and confidence in one's own ability, etc.).

(6) Strategic competence. Conscious and subconscious, verbal and non-verbal individual procedures used to solve problems encountered during the translation process. This competence is used in detecting problems, making decisions, correcting occasional errors or deficiencies in any of the other subcompetences. Included here are comprehension strategies (differentiating between main and secondary ideas, establishing conceptual relationships, searching for information, etc.), reformulation (paraphrase, back-translation, reformulating aloud, avoidance of *faux amis*/false cognates/calques, etc.), documentation (establishing an order of inquiry, knowing how to select information, etc.).

Melis and Hurtado (2001: 280) argue that these subcompetences are interconnected and that transfer competence and strategic competence are of vital significance. They adduce the argument that the former "brings together all other sub-competences", while the latter "is used in making up with [sic] for the deficiencies and solving the problems arising from any of the other subcompetences".

That transfer competence brings together other subcompetencies is unquestionable. But, the role they attribute to strategic competence needs some revision. For one thing, the concept of (translation) strategic competence and its role are too reminiscent of Canale and Swain's (1980: 72) strategic competence which is based on the idea that speaking Language 2 in the classroom and doing extensive reading in Language 2 would help the second language learner get accustomed to developing strategies in order to fill gaps in comprehension. The accommodation of this imported concept and its role in translation studies is rather complex, the more so as Melis and Hurtado (*op cit*) take competence for "ability" and "aptitude", a stance earlier criticized in this paper.

As a matter of fact, it seems unlikely that strategic competence can make up for deficiencies in communicative, extra-linguistic, transfer, and instrumental and professional competences. To prove this point, it seems appropriate to start by reorganizing Melis and Hurtado's six subcompetences into three macrocompetences. Thereafter, it will be argued that a diachronic study of the acquisition of these competences is likely to provide clearer insights into their roles and hierarchy. Finally, the pattern obtained from the reorganization of these subcompetences will inform subsequent discussions.

A close reading of these subcompetences suggests that they can roughly be grouped into three translation macrocompetences, namely linguistic macrocompetence, encyclopedic macrocompetence, and cognitive macrocompetence or cognition. Linguistic macrocompetence would be made up of subcompetences 1 and 3 with subcompetence 3 being a knowledge and not, as it were, an "ability". Encyclopedic macrocompetence would consist of subcompetences 2 and 4. Both linguistic and encyclopedic macrocompetences are what we referred to earlier as internalized knowledge. Subcompetence 5 would be the lone component of cognitive macrocompetence and would be viewed as an intrinsic faculty, not knowledge or some sort of "ability". This classification allows for overlappings both between and within linguistic and encyclopaedic macrocompetences only!

Cognitive macrocompetence or cognition would comprise psychomotor, cognitive and attitudinal resources like memory, attention, creativity, logical thought, (intellectual) curiosity, perseverance, rigour, critical acumen, awareness of and confidence in one's own ability, etc. To these features proposed by Melis and Hurtado (2001) can be added Newmark's (1981) sensitivity and intelligence, which he presents as "compulsory" (our emphasis) qualities of a good translator. This view is re-echoed by Vannerem and Snell-Hornby (1986) who believe that a translator needs "very good memory, outstanding intelligence, elevated linguistic sensibility […] as well as the disposition to take responsibility […] and to think dynamically and creatively". It should be noted that that Vannerem and Snell-Hornby (*ibid*) use the inappropriate word "ability" in their discussion of these cognitive features.

In our opinion, any good translator *must* have these innate cognitive faculties. One simple reason that can be adduced is that a student translator who does not have a good memory cannot accumulate and use linguistic and encyclopedic knowledge. By the same token, he who lacks intellectual curiosity would not vie for sources of both linguistic and encyclopedic knowledge and as a result would also lack these translation macrocompetences. In like manner, an absent-minded individual cannot deliver any good translation, no matter how much linguistic and encyclopaedic knowledge he is exposed to. Such translators tend to rely heavily on translation resources like dictionaries and the like.

From this discussion, it is possible to establish a hierarchical relationship between the three translation macrocompetences in which cognitive macrocompetence would be the main macrocompetence, while linguistic and encyclopaedic macrocompetences are embedded macrocompetences. Regarding the acquisition process, it can be argued that cognition is a natural endowment, and that linguistic macrocompetence is acquired first, while encyclopaedic macrocompetence comes next. The acquisition of linguistic and encyclopaedic macrocompetences is a sustained conscious effort and, albeit inborn, cognitive macrocompetence develops with time as the translator actively and consciously accumulates linguistic and encyclopaedic knowledge and, above all, practices translation. This process of knowledge internalization takes place in formal settings like translation schools and in informal settings as the individual accesses sources of knowledge within the framework of personal research and translation practice. The concept of encyclopaedic macrocompetence also comprises submacrocompetences each corresponding to a specific field. As such, one can talk of legal, commercial, civil engineering encyclopaedic macrocompetences to refer to the translator's general knowledge of each of these fields.

The translation macrocompetences identified above can be regarded as three pieces of the puzzle of the triangulation approach to the study of translation intuition. These three macrocompetences are exclusive and indispensable features of the profile of any translator worthy of the name. Before settling on the discussion of the functioning of these macrocompetences in relation to the concept of translation intuition, it is perhaps important to indicate that experience also plays a major role in the formation and polishing of each of them. The role of experience in building translation competence has been given due attention by such researchers as Krings (1986), Königs (1987), Hönig (1993), Alves (1995, 1996), and Tirkkonen-Condit and Jääskeläinen (2000) as cited by Rothe-Neves (2007: 133). At this point, though the formation and development processes of linguistic, encyclopaedic, and cognitive macrocompetences have been clearly determined, it remains unclear how they function in actual translating. It is this question that shall now be examined under intuition.

Intuition in Translating

To begin with, translation intuition is viewed as an "ability" and/or "aptitude". Of prime importance in the study of translation intuition is the correlation between quality, time, and processing effort. During translating, the translator is often confronted with various possible renditions of a word, a sentence or an utterance, some of which are either very appropriate, appropriate, or altogether inappropriate. For example, for the following English source utterance, (a), (b), (c), and (d) are the possible French renditions that can come to the mind of the translator.

> **Source text:**
> Tuberculosis samples from Cameroon land French researchers in court.
>
> **Possible renditions in French:**
> (a) Tuberculose échantillons du Cameroun atterrissent Français chercheurs au tribunal (*Tuberculosis samples from Cameroon land French researchers in court*)
> (b) Des chercheurs français atterrissent au tribunal à cause des échantillons de tuberculose prélevés au Cameroun (*French researchers land in court because of samples of tuberculosis collected in Cameroon*)
> (c) Des chercheurs français se retrouvent au tribunal à cause des échantillons de tuberculose prélevés au Cameroun (*French researchers find themselves in court because of samples of tuberculosis collected in Cameroon*)
> (d) Des chercheurs français en procès à cause des échantillons de tuberculose prélevés au Cameroun (*French researchers prosecuted because of samples of tuberculosis collected in Cameroon*)

Rendition (a) is a perfect instance of word for word translation. The translator may eliminate it as altogether inappropriate on the grounds that it is both syntactically incorrect and meaningless. Rendition (b) is fairly literal and meaningful but can be rejected as not very appropriate because of the use of the verb "atterrissent". The translation of the source text's verb "land" as "atterrissent" is preferable in texts dealing with aeronautics. In rendition (c), the verb "land" is translated as "se retrouvent" (find themselves). There are two obvious weaknesses to this rendition. The first weakness is that the sequence "se retrouvent + au tribunal" gives the impression that the translator is explaining the source text rather than translating. The second weakness is that the use of the verb structure "se retrouvent" introduces some degree of informality in the target text. Rendition (d) could appear as very appropriate because it renders the sequence "land in court" as "en procès" (prosecuted). This appropriateness stems from the fact that "en procès" not only suits the legal register of the source text but also achieves some degree of formality which is expressed in the source text.

To arrive at the conclusion that "Des chercheurs français en procès à cause des échantillons de tuberculose prélevés au Cameroun" is the most appropriate rendition, the translator can intuitively eliminate the other candidate renditions namely (a), (b), and (c), using his three translation macrocompetences just as he can have recourse to translation resources.

An intuitive translation is necessarily one that appears spontaneously, and swiftly too, to the translator as good as a result of extremely little or no reasoning effort and for which he has used no translation resources. Intuitive translations can be verified subsequently if the translator wishes to be sure he has not been misled by his intuition. To that end, he makes use of translation resources like specialized dictionaries and softwares, seeks the opinion of an expert in the field, or uses specially designed Evaluation Corpora.

The type of ability or aptitude that characterizes translation intuition is one that Wilss (1982: 185) refers to as "when solving a task, there are the available means to proceed, by which we can get rid of the task at hand, so to speak, with a direct tackle". The means referred to here should only include the three macrocompetences discussed earlier. Along the same line, "doing with ease what others do with less effort" is intuition and not "competence" (cf. Deslile and Woodsworth 1995: 1). Similarly, what Melis and Hurtado (2001: 280) have described as strategic competence is actually intuition. As such, intuition can also be viewed as the subconscious, verbal and non-verbal individual procedures used to solve problems encountered during translating. It is used in detecting problems, making decisions, and correcting occasional errors. It is a comprehension strategy that the translator uses to differentiate quickly and spontaneously between main and secondary ideas, establish conceptual relationships, search for information, reformulate, avoid deceptive cognates and calques, establish an order of inquiry, and select and grade information. It should be underscored that the intuitive property of these operations is rooted deeply in the fact they are carried out spontaneously without the translator making any unnecessary or noticeable processing effort.

For translation intuition to exist and function as efficiently as described above, any translator must have available linguistic, encyclopaedic, and cognitive macrocompetences. Once these three ingredients are all available, several plausible scenarios can be imagined to explain how they combine to yield intuitive translations. Such plausible scenarios are probably complex in nature and can be better accounted for by research in cognitive sciences. Some primitive ones can be sketched here.

One such primitive scenario would be that during translating, the mind of the translator uses processes similar to those described in Sperber and Wilson's Relevance Theory. This theory, derived from Grice's inferential pragmatics, seeks to explain how "the hearer infers the speaker's meaning on the basis of the evidence provided" (Sperber and Wilson 2004: 609). Sperber and Wilson (*ibid*) argue that:

> intuitively, an input also called stimulus (a sight, a sound, an utterance,

> a memory) is relevant to an individual when it connects with background information he has available to yield conclusions that matter to him: say by answering a question he had in mind, improving his knowledge on a certain topic, settling a doubt, confirming a suspicion, or correcting a mistaken impression.

Relevance Theory is based on two main principles. The first is that the greater the positive cognitive effects (a true conclusion, for example) achieved by processing an input, the greater the relevance of the input to the individual at that time. The second is that the greater the processing effort expended, the lower the relevance of the input to the individual at that time (Sperber and Wilson, *ibid*: 610). Relating these principles to the concept of translation intuition, it can be argued that upon reading a sentence-utterance the translator accesses his cognitive competence that gears him towards the spontaneous retrieval of only the linguistic signs that are pertinent to the field in which the whole text is embedded.

The other scenario could be that upon receiving a source text, the first instinct of a cognitively competent translator as an attentive, curious, and intelligent person is to spontaneously determine the field of the subject matter of the text. This in turn not only facilitates the recovery of the meaning of each of the source text's utterances but is possible because of the many encyclopaedic submacrocompetences that the translator has internalized throughout his training or career. In fact, only the encyclopaedic submacrocompetence with regard to the field of the text under consideration is activated, exempting him from making any unnecessary processing effort. This enables him to easily retrieve the linguistic signs that matter to him, mainly those that belong to the register of the field of the text under consideration.

Yet another scenario would be that the interdependency of cognitive, encyclopaedic and linguistic macrocompetences makes it possible for cognitive macrocompetence to mark out the path of the translator as he attempts to comprehend the source text. Then encyclopaedic macrocompetence marks out his path as he attempts to select "textual" elements or linguistic signs that are pertinent to the field of the register of the text. It is this chain of solidarity in which one macrocompetence facilitates the judicious exploration of the next that gives rise to translation intuition. It spares the translator the trouble of pondering on "what" to select and "how" to use the selected item. Should there be a missing link, that is, should the translator be deficient in any of the macrocompetences, he will resort to translation aids to make up for this deficiency. In doing so, it would take him more time to produce a quality output than it would take someone who does not have such deficiencies.

Nevertheless, knowledge of these tentative scenarios, whether they are simple or complex, is of dubious utility, for ultimately what matters is the result that they yield. Of interest, however, can be a reflection on how the three translation macrocompetences can be enhanced for even better and faster results. This move has didactic implications that are examined in the next section.

Implications on Translation Teaching

In previous sections, three translation macrocompetences were identified and their role in the production of intuitive translations discussed. Though it is claimed that cognitive macrocompetence plays a vital role in the accumulation and use of linguistic and encyclopaedic macrocompetences, it seems to be the only translation macrocompetence that is not given due attention in translation schools.

As a matter of fact, translation schools are known for providing student translators with linguistic and encyclopedic macrocompetences. These learners are subjected to intensive translation exercises, each finely tuned to blend some major linguistic difficulties and conceptual problems that may arise in translating. As such, they are taught the functioning system of languages, exposed to the style and terminology of specialized fields (Law, Commerce, Newspaper, etc.), encouraged to learn more about any field or their field of specialization, taught some bicultural knowledge, trained to use translation resources, and introduced to the labour market, amongst others. From every indication, however, this formal knowledge accumulation process seems to be restricted to the development of linguistic and encyclopaedic macrocompetences, as cognition is ignored.

It would appear that there is no manual or translation theory devoted to the sharpening of such innate cognitive faculties as memory, attention, creativity, logical thought and such psychological attitudes as intellectual curiosity, perseverance, rigour, critical acumen, as well as awareness of and confidence in one's own abilities. In the main, the polishing of these natural attributes is left to two sorts of factors, namely affective-instrumental factors (passion for translation and yearning for a successful professional career) and extrinsic factors (frequency of translation and duration of experience).

Considering the importance of cognitive macrocompetence in the proposed theory of translation intuition, the fact that its polishing is left to affective-instrumental and extrinsic factors could be considered as the Achilles' heel of translators' training programmes. For one thing, though passion for translation and yearning for a successful professional career may be good factors that help sharpen cognitive macrocompetence, they remain essentially unconscious. The student translator may not necessarily be aware of their role in the accumulation, retrieval and use of linguistic and encyclopaedic macrocompetences. For another, leaving to such extrinsic factors as frequency of translation practice and duration of experience the responsibility of sharpening cognitive macrocompetence may preclude the possibility of having fresh translation graduates endowed with near-veteran translation skills. To correct this imbalance, it is possible to contemplate a paradigm shift in the training of translator.

This paradigm shift entails that translation curricula should no longer be limited to the building of linguistic and encyclopaedic macrocompetences. In addition to focusing on the development of these translation macrocompetences, translation curricula should include contents and ways to sharpen the cognitive macrocompetence of students. There are two possible ways of doing this. As has been mentioned, the first way may consist of raising the awareness of learners on the existence and importance of such natural cognitive faculties as memory, attention, creativity, logical thought and such natural psychological attitudes as intellectual curiosity, perseverance, rigour, critical acumen, awareness of and confidence in one's own abilities. This may be done through mere sensitization.

The second way may be the development of contents aimed at sharpening each of the above cited cognitive faculties and psychological attitudes. For the development of memory for example, memorization techniques may be taught, applied and evaluated. Translation students may be required to memorize and be able to recite a relatively important number of technical terminologies of their field of specialization as well as the equivalents in their language II. Attention, perseverance and rigour may be enhanced by designing courses aimed at evaluating the translation learners' sensitivity to details and other subtleties pertaining to linguistic (including paralinguistic) and encyclopaedic considerations. Thus, they may be required to correct a relatively long text (5,000 words for example) riddled with language mistakes like, say, misspellings, poor grammar, wrong punctuation and misuse of diacritic signs (for languages like French and Spanish).

Creativity and logical thought may be enhanced by requiring translation learners to rearrange and format a relatively long text wherein the syntactic patterning and sequencing of ideas have been previously put in a chaotic order.

Critical acumen, awareness of and confidence in one's own abilities could be enhanced by requiring student translators to comment, criticize, justify and eventually improve on their translations. This suggestion may not be new. With the introduction of Think Aloud Protocols (TAPs) in translation studies, some researchers have already started developing the so-called process-oriented proposals for the education of translators. Think aloud protocols consist of observing a translator working while encouraging him to "think-aloud", that is, to explain what types of problems he encounters and how he solves them.

Traditionally, TAPs were used to collect data from translators (both professional and learners) in order to discover the strategies that they use to solve problems encountered during translating. Within the framework of the so-called process-oriented proposals for the education of translators, it is empirically demonstrated that verbal protocols (TAPs and file logs) "are a rich methodological option to gain access to the translation process not only as diagnostic instruments for researchers to draw on in order to grasp its complexity but also as a resource to be used in translators' education" (Alves, Megalhaes and Pagano 2002: 168). For more about the introduction of process-oriented studies of translation into the education of novice translators, see Alves, Megalhaes and Pagano (2000).

Concluding Remarks

The above exploration of the concept of translation intuition entailed a critical review of previous studies on translation competence. Three major conclusions ensued from that critical review. The first is that the concept of translation competence should be discussed in terms of "availability of" and not, as it were, in terms of "ability to" or "aptitude". The second is that the concept of translation performance refers to the actual output of the translator, and not to the processes that led to that output. For example, studies of translation as a product use "performance data" (also known as corpus), whilst studies of translating processes that led to the production of this performance data use no data at all, but are merely what Rothe-Neves (2007: 133) refers to as "ad hoc reflections". The third is that the terms "ability to" and "aptitude" as used in various approaches to translation competence are neither of the sphere of competence nor of that of performance.

The concept of translation intuition was said to be definable as an ability or aptitude that results from the combination of three translation macrocompetences, namely linguistic, encyclopaedic and cognitive macrocompetences. Of these translation macrocompetences obtained from the reorganization of the PACTE (1998) and Melis and Hurtado's (2001) componential model, the development of cognitive macrocompetence was found lacking in the curricula of translation schools. Consequently, the suggested ways of including courses designed to sharpen the cognitive macrocompetence of learners of translation require further elaboration and testing.

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口譯中的核心詞語

——內容詞與問題詞 *

楊承淑

Abstract

Core Vocabulary in Interpreting: Content Words and Problematic Words (*by* Yang Cheng-shu)

This study examines the management of core vocabulary and phrases in interpretation, specifically content vocabulary and phrases, especially ones that are problematic, while looking closely at their meanings and functions. Content vocabulary and phrases are divided into the following categories: topic words, event words, time phrases, locative words, modal words, manner phrases, measure phrases and speech context. Prior studies on the characteristics, distribution, and identification of content vocabulary and phrases can be used to examine the completeness of interpretation output, as well as clarify the correspondence between source and target languages. We will look at the categories of specific words, compound words, function words and polysemous words. This study uses Mandarin Chinese as the source language, and examines sight translation and consecutive interpretation from Mandarin into English. By looking at areas which interpreters consider to be more difficult, the content and problematic vocabulary and phrases can *be explored, and strategies for preserving the completeness of the information and overcoming translation difficulties established.*

一、前　言

從巴黎學派 Seleskovitch（1984）“釋意理論”（theory of sense）的明確主張迄今，無論在口譯的教學或研究上，大家都已瞭解到口譯的訊息處理過程裏，譯者並不是針對一字一詞去理解或產出訊息意義的。這項共識不僅限於某兩種語言之間，可以說所有語言之間的口譯，都是以訊息意義的理解與產出為其核心，而不是以詞語之間的對應為基礎。

而在口譯實務操作上，透過特定詞語之間的訊息對應，再配合相當程度的訊息冗餘或重複，譯者才能有效地理解源語的訊息內容，進而順利產出譯語。反之，缺乏核心內容與冗餘成分的搭配，往往導致口譯訊息內容的流失或誤譯。

因此，在以訊息意義為基礎的詞語內涵上，必有某些核心內容是建構話語訊息框架時的必要成分。透過此類必要成分，口譯的雙語訊息框架才得以達到等效的對應關係。當我們檢驗以上必要成分的訊息內涵及其角色功能時，即可從兩者的訊息結構得知雙語之間是否達到對應的效果。

如果在不同語言組合之間進行逐步口譯，而以上必要成分的訊息內容都不約而同地出現在口譯筆記上的話，可見這些內容成分應是話語框架的組成要件。這也就是本研究所稱的“內容詞”（content vocabulary and phrases）。[1]

筆者（2007）曾經針對中日、日中、英中、英日資深譯者的逐步口譯筆記，探討其中內容詞的訊息內涵及其角色功能的對應。而本研究則將以輔大譯研所碩士班剛通過中英專業考試的口譯新秀為對象，探索譯者在建構話語訊息時，在必要的內容成分上是否完整，以及在產出之際有哪些共同的困難。而對於譯者經常遭遇的困難，本研究將針對發生產出困難的詞語，透過語料分析其訊息內涵與角色功能。對於此類詞語，本文將稱之為“問題詞”（problematic vocabulary and phrases）。

透過對“內容詞”與“問題詞”的描述與分析，可以讓我們對於口譯訊息內涵的完整程度，以及源語與譯語對應的困難程度，達到更精細的理解、更有效的產出。

二、內容詞與問題詞

在前述口譯筆記研究裏，我們發現了一些與詞語相關的線索。而這些線索的共同特徵，正好又是各語言組合共有的現象。關於這一點，Pöchhacker（2004: 124）曾綜合多位前人實證研究結果指出：“口譯員的筆記，是用來支持記憶的，同時可以儲存和提取已記憶的概念結構或感覺模式”。從這句話裏，我們可以推知口譯的訊息內容，包含詞語與感知兩個層面。感知方面的內容，大都是譯者置身於話語情境時所產生的，也是比較容易記憶與提取的訊息內容。例如，說話者的態度、當場的氣氛、談話參與者之間的互動等。而在詞語方面的訊息內容，則包含“頻用詞彙、專有名詞、連貫詞、語氣詞、數量詞等”（劉敏華，1993:

70-94）。此外，塚本慶一（1987: 43）也曾指出口譯筆記的核心成分為：“數字、專有名詞、專業詞彙”。可見，口譯筆記中的某些內容是保存源語及產出譯語的核心成分，具有觸動裝置（trigger）的意義及作用（楊承淑，2007: 56）。

在筆者（2007）對逐步口譯的筆記研究中，曾透過五位譯者的筆記比對，得知“時間詞、處所詞、情態詞、談話主題、連貫關係”等詞語內容，為前述四種語言組合間的共通成分（楊承淑，2007: 63-64）。假使把以上前人研究內容完全含括在內的話，我們可以歸納為以下 10 項核心詞語。

表 1. 口譯筆記裏的核心詞語（資料來源：研究者自行整理）

1. 時間詞	6. 情狀詞
2. 處所詞	7. 談話主題（主題詞、事件詞、話語情境）
3. 情態詞（含語氣詞）	8. 連貫關係（含邏輯、順序、增補）
4. 數量詞	9. 專有名詞
5. 頻用詞彙	10. 專業詞彙

以上這些透過口譯筆記與口譯語料的對應分析，顯示有些成分與話語的訊息內容或談話主題相關，但有些詞語成分則與情緒意義相關。例如，與談話主題、話語情境密切相關的是第 7 項“主題詞”、“事件詞”。而第 3 項“情態詞”、“語氣詞”則與情緒意義相關。可見，口譯者對於訊息內容與情意感知的處理是同時並行的。

除了雙語間的核心詞語研究之外，在單一自然語言處理（指不經過翻譯的文本）方面，Fukumoto and Suzuki（2000a）曾在語

料庫研究中發現，有兩類足以表現文本核心內容的“主題詞”與“事件詞”，並分別定義如下。所謂“主題詞”（topic words），意指“在同一主題的相關文章中，多數文章中都會出現的詞，而且只出現在相同段落（如，第一段）”。[2] 以一則關於“***上海世博會***倒計時牌啟動儀式舉行”的報導為例，相關文章的主題詞有“***上海世博會、2010 年***”。而“事件詞”（event words）則指“在同一主題的相關文章中，只會出現在某一篇或某幾篇文章的詞，而這個詞會均勻地出現在文章中的每一個段落裏”。在同樣談到上海世博會的前述文章中，其事件詞為“計時牌、啟動儀式、吳邦國、中國大陸、天安門廣場、參展”等（“吳邦國”是“全國人大常委會”委員長。）

圖 1. 新聞報導的摘述（資料來源：Fukumoto and Suzuki 2000a: 58）

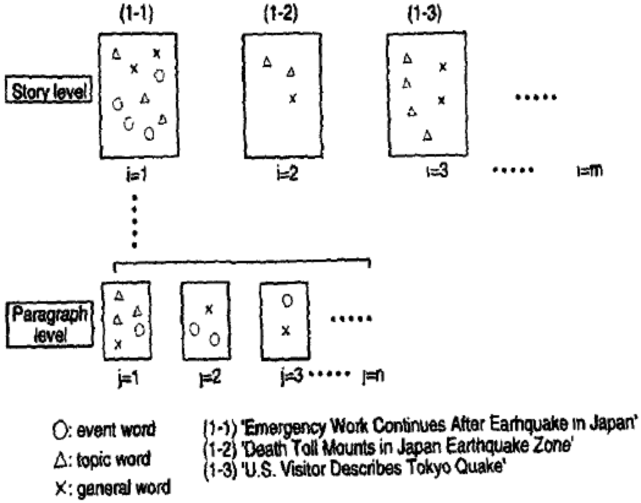
(1-1)
(1-2)
(1-3)
Story level
i=1
i=2
i=3
i=m
Paragraph level
j=1
j=2
j=3
j=n
O: event word
Δ: topic word
X: general word
(1-1) 'Emergency Work Continues After Earthquake in Japan'
(1-2) 'Death Toll Mounts in Japan Earthquake Zone'
(1-3) 'U.S. Visitor Describes Tokyo Quake'

Figure 1: *Broadcast news* stories (event extraction)

根據 Fukumoto and Suzuki（2000a: 58）在針對同一主題的不同新聞報導裏抽取其中的關鍵詞（keyword extraction）時，發現如第 29 頁圖 1 所示“主題詞”與“事件詞”的分佈規律。也就是，以“○”表示的“事件詞”會平均地分佈在整篇文章裏；而以“△”表示的“主題詞”，則只出現在特定的段落（如第一段）裏。

以本文所舉的“上海世博會”為例也可以推知，主題詞顯示的是文本的主旨與訊息焦點（見***斜體粗字***處）；而事件詞包含的則屬“人、事、時、地、物”等構成“事件”的訊息內容。[3] 因此，表 1 所顯示的各項核心詞語內容，不僅指出雙語之間的核心成分，也與自然語言的分析結果是一致的。

而另一方面，從表 1 的 8~10 項還可以看出，“連貫詞、專有名詞、專業詞彙”除了與訊息內容相關之外，同時又與口譯的產出困難也有一定的關聯。我們從口譯的課堂教學及聽寫語料裏，發現學生在做口譯練習的時候，某些詞語會讓他們停頓下來考慮很久，才能繼續翻譯下去。因此，針對那些會引起口譯困難的詞語，掌握其中的共同特徵並找出對策，對於降低口譯的難度，是有其教學及研究意義的。

不同於逐步口譯的即席性質，視譯的譯者可能事前就已取得稿件，或者起碼在口譯進行之際，就已經看到文稿內容了。所以，在訊息內容上產生缺漏的情形並不多見。因而，對於問題詞的探討，視譯的產出困難要比逐步口譯更具研究意義。理由是，譯者既然已經查證明白、或清楚地看到的內容，到了實際做口譯時，何以還是發生中斷或是不流暢的現象？因此，找出困難詞的特徵，並指出對症下藥的方法，應該是解決口譯困難的必要手

段。

關於問題詞的研究，筆者曾於 1995-1996 年間，以一學年的時間持續記錄兩名一年級研究生的課堂視譯表現，並將她們停頓兩秒以上的詞語加以歸納整理。結果發現阻礙視譯流暢的詞語是：複合名詞、外來語、專有名詞。同時，在該研究中也發現，從句法結構及詞語屬性的角度探討口譯中斷或不流暢的原因時，發現與指示詞、形式名詞、抽象名詞、名詞修飾句、副詞修飾句、從屬句、省略句等詞句形式有關（楊承淑，2000: 180-183）。

關於這類詞語成分的出現分佈，筆者（2008: 138-146）在逐步口譯的筆記研究中發現，大都集中在句首的位置，且具有顯現句法結構的作用。從句子結構與句法意義說來，這些成分都是句子以外的句法成分，也就是所謂的“句外主題”（extra-sentential topic）。就訊息意義及其功能說來，則是具有引介新的或重要訊息的功能。又稱“引介成分”（presentational word/phrase）。

對於問題詞的研究，值得一提的還有透過默讀文稿的眼球運動實驗，針對閱讀困難所做的閱讀理解認知歷程研究。早在八十年代，神部尚武（1986）就曾透過眼球“注視點”（fixation）的“停留位置”（landing position）、停留時間（fixation duration），探討閱讀日語時的內在認知歷程，並指出句子的主詞、副詞修飾成分、及名詞修飾句為閱讀時的重點。而在針對日語漢字與假名混合的書寫文本方面，則發現主詞（及其修飾成分）、格助詞、被修飾語，為日文閱讀理解上的困難成分。從句法成分看來，閱讀與視譯的理解困難可說相當類似。

而在英語閱讀的認知研究方面，釣井千惠與山科美和子

（2008）數年來透過一系列對於眼球運動的實驗，分析日本具有中高級英語閱讀能力的 34 位受測者，閱讀英語時的眼球逆向活動（regression）軌跡。[4] 結果發現，詞組（phrase）、詞串（chunking）的理解、掌握句首名詞組的意義、修飾主語的關係子句、插入句等句法意義、以及運用語用訊息的理解策略，在閱讀能力及理解速度上是具有關鍵意義的因素（釣井千惠、山科美和子，2008: 93-94）。

從釣井與山科（2008）的研究結果看來，除了運用語用訊息（如 schema）的理解策略之外，影響閱讀流暢的影響因素，幾乎都集中在以詞語為單位的成分上。此外，透過英、日等不同語言的默讀或視譯實驗，都已證實以詞組、詞串為主的詞語意義及其語法功能，在語文理解及產出上，確實扮演着極其重要的角色。不但與訊息內容的完整接收相關，且又與訊息的有效傳遞相關。

因此，本研究將針對同一講者的兩次演講，透過同一譯者的中譯英視譯與即席逐步口譯語料，分析其產出困難之處的詞語類型，並瞭解此類詞語在口語訊息傳輸中的屬性特質及功能意義。藉此，可以為口譯教學與實務，提出明確的指導方針及改善方法。

三、問題詞的類型與特徵

對於即席口譯或是帶稿視譯而言，當我們評估訊息意義是否有效傳達之際，通常都會以訊息是否完整、準確，視為首要之務。因此，無論在掌握主題意旨或是細節脈絡上，詞語內容的完

整保存及其正確對應，可說是譯者在訊息處理上的基本要求。而事實上，從口譯的產出流暢程度看來，通過專業訓練的譯者對於訊息內容的掌握，大都能夠達到準確與完整的要求。

然而，透過對譯語停頓與中斷的觀察，我們發現譯者的困難似乎並不在於訊息內容，真正的困難往往集中在某些類型的詞語或詞組上。因此，本研究將針對這些成分在帶稿視譯與即席逐步口譯，兩種不同媒介及型態的口譯環境之下譯成英語時，分析其中共同的產出困難，並分析產生困難的詞語屬性。

為了減少產生分歧的因素，本研究在中譯英的實驗中，分別安排了母語背景相似的兩位譯者，[5] 為同一演講人（連戰 [6]）的帶稿演講視譯及其記者招待會中的演講，進行即席的逐步口譯。透過這樣的安排，希望對口譯產出過程中的認知歷程，能有較為明確的檢驗機制。此外，也為了進一步證實停頓與口譯產出的關係，我們還請兩位譯者自行聽寫英譯內容之後，逐一與譯者核對口譯停頓與產出困難的詞語之間的對應關係。

在視譯稿的口譯實驗裏，我們以口譯停頓之處做為譯者產出困難的標誌（marks）。結果發現，中譯英兩位譯者的共同困難可分為以下四類“問題詞”（以英文字首 P 為代表，P1~P4 為其代碼），每類之下再分 a、b 兩項（如，P1-a、P1-b ...）。以下，將依序說明各類之屬性特徵，並以語料中的實例進行分析。

（1）特定詞（specific words）：

P1-a 具有專定語意的“專有名詞”（proper noun; proper name）或“專業詞彙”（professional vocabulary）。如，人名、地名、國名、組織名稱或術語名詞等。

兩位譯者的視譯內容中出現停頓或中斷之處，且屬核心詞語之處，一律以斜體顯示。此外，為區分兩位譯者的差異，其中一位的口譯內容以灰色網底表示。

P1-a：專有名詞	(p)表 2 秒以上停頓，<uh>表有聲停頓
中國國民黨	*the Kuo… uh… KMT,*
到了*台灣大學*， 出任*台灣大學*的校長	*Taiwa… National Taiwan University,* the president of *Taiwan… National Taiwan University*.
杜威	Du Wei（誤譯；Dewey）
實用主義	*(p) pragmatism* when… (*p*) Mr. 胡適 was advocating *pragmaticism*
自由主義	why did *(p) liberalism influence, (p) um,*
胡適	*(p) uh, Hu Shi* when*… (p) Mr. Hu Shi* was advocating…

以上詞語都是專有名詞，其中有組織名稱（中國國民黨、台灣大學）、人名（杜威、胡適）、以及術語名詞（實用主義、自由主義）。

P1-b 文化詞（culture words）：含外來詞（loan words）、新詞（neologism）等因新生事物而產生的外來詞或演變中的新詞。或是諺語、成語、俚語、典故、經典、詩歌、口號、電影片名等反映社會、時代、或文化背景的詞語。

P1-b：文化詞	(p)表 2 秒以上停頓，<uh>表有聲停頓
歷史的*因緣際會*，	*this (p) chance* from history
北大、台大*系出同源*，	*free thought (p) comes from* both… University.
相互輝映	the two universities *(p) resonate with one another*.

自由的思想，…可說是*一脈相傳*。	*a fortress for… for* thoughts on… on freedom,
八國聯軍	*the eight, uh, allied countries attacking China,* *…(p) the eight countries war*
烽火連天	The people *(p) suffered a great deal and had to face the constant threat of warfare*.
樣樣都是*名列前茅*。	… it is among *(p) the top in the world*.
國共和談	*KMT-CCP P, uh, (p) negotiations*.

以上文化詞反映的訊息內容包括：成語（因緣際會、系出同源、一脈相傳、名列前茅）、詩歌典故（烽火連天）、以及歷史事件（八國聯軍、國共和談）。可見，與文化背景相關的詞語訊息內涵繁複，翻譯的難度也就相對較高。透過口譯語料的檢驗，我們得以具體明確地發現此類詞語的翻譯困難。

（2）複合詞（compound words）：

名詞組或動詞組為主的構詞型態及語意內涵。

P2-a 複合名詞：名詞組都由兩個詞幹混合或合成；前者稱為“混成詞”（portmanteau words），如“brunch”；後者稱為“複合詞”，如“break-fast”。

P2-b 複合動詞：含 over，under，down，up，out 等具有固定形式和意義的“成語動詞”，及其他詞類合成的複合動詞。[7]

本次語料中，我們沒有發現複合動詞的例子，而只找到一個複合名詞（國共兩黨），其他則都是名詞組的詞語型態。但就訊息內涵而言，此類詞組與複合名詞相似，都包含了兩個（以上）的訊息內容，也因而提高了翻譯的難度。

P2-a：複合名詞／名詞組	(p)表 2 秒以上停頓，<uh>表有聲停頓
國共兩黨	*the (p) two parties*
*改革開放的路線*要管一百年	*(p) the reforms* will take one hundred years.
民意的驅動。	If we talk about *the motivate… the popul… uh,* the motivation of the public,
僵化的思維	*a (p) stagnated mode of thought,*
這都是*正確的歷史方向*，	this is a very, *uh, good direction* to take,

（3）功能詞（function words）：

指不具詞語意義，但具有語法意義及功能的虛詞（grammatical words）。

P3-a 虛詞：除了具有連貫功能的詞或詞組之外，不具語意內涵的連詞、介詞、量詞、限定詞、疑問詞（wh-word）、人稱代詞、副詞組、指示詞、形式名詞（日文獨有）等都屬虛詞。

P3-a：虛詞	(p)表 2 秒以上停頓，<uh>表有聲停頓
*一個那樣的*環境之下，中國的人民實在是沒有*一個那樣的*環境⋯	*In under… uh, under such an* environment, the people of China did not *have any… an* environment to… *… there was… that it was* impossible for the people of China to calmly think about...
如何能夠讓⋯不要再⋯， *如何能夠讓*和平來實現，	How can we *(p) let* the Chinese people avoid war and bloodshed? How can we *(p) implement* peace?
經貿的發展、經濟的成長，*樣樣都是*名列前茅。	economic development and growth *(p) is, uh,* has performed very well.
整個的政治改革，⋯，在大陸*還有相當的空間*來發展，	political reform, …, *is still… uh, there are still room* for development in China. political reform *has a lot of space...* a lot of room for improvement in China.
我們今天*怎麼不能夠*重視當前？	*(p) How can we not* focus on what is important today?

以上各例大都是漢語裏的虛詞，原本就是語意空洞的詞語。如，“一個”（量詞）、“那樣的”（限定詞）、“如何能夠”、“怎麼不能夠”（疑問詞）、“讓”（介詞）、“樣樣都是”、“還有相當的空間”（副詞組）。相對於前一類語意內容複合的詞語成分，這類語意空泛的詞語顯然更難翻譯。但好在這類功能詞通常詞語型態固定、且重複出現的頻率頗高，只要有一定的對應方法，大都可以固定地套用。

P3-b 輕動詞：指不具詞語意義，但具有語法意義及功能的動詞。如 be 動詞。

P3-b：輕動詞	(p)表2秒以上停頓，<uh>表有聲停頓
傅斯年曾經*當過*北京大學的校長，	Fu Si Nien *(p) was* once the President of Beijing University,
各位今天除了*各有*專精之外	When I see you all, I remember *(p) apart from* your specialties… professional specialties,
*在於*民意的一個驅動	*the move… the* motivation of popular, uh, desire.
*以*中國的富強、康樂*為*目標。	*have… all want the, uh,* prosperity of China and the happiness of the people. for the prosperity *(p) for (p) of* our country and our wealth and (p) turning our people into wealthy people
*形成*了若干民族之間的間隙	*created… creates* a great deal of sorrow. *It has resulted in (p)* big differences between (p) the two sides
是為了*進行*所謂第三次的國共和談，	*I would int… uh… I would proceed* in the third KMT-CCP P, uh, (p) negotiations. my coming here *(p) is to hold* the 3rd KMT and Chinese Communist talks,
我們為什麼不能夠*以善意為出發點*	Why can we not proceed *from a (p)… uh…* starting point (p) of benevolence

漢語裏的輕動詞，愈是常用，通常語意內涵愈少。如“有”或“在”。而與介詞配套的用法，如“以（介詞）…為…”、“在於”；或是“到了”、“形成”、“當過”等與動貌（aspect）連用的型態等，幾乎都沒有詞義。而台灣近年習用的“進行”，則可以視為與外來詞、複合詞或名詞組等沒有固定動詞可以連用時的替代動詞。其主要詞義都在連用的名詞（組）上，所以也是沒有語意的。既是沒有語意，卻又非得譯出不可時，譯者的難處也就可想而知了。

（4）多義詞（polysemous words）：

指語意範疇的縮小或擴張、以及透過暗喻等手法所形成的語意抽象化。如，由核心意義擴展至周邊意義，或是由具體意義轉化為抽象意義等語意遷移的現象。

P4-a　比喻（parable）：包含明喻（simile）、暗喻（metaphor）、換喻（metonymy）等詞語表達方式。

P4-a：比喻	(p)表 2 秒以上停頓，<uh>表有聲停頓
母校，*母親的學校*	my alma mater today, *the mother… uh, sorry, the mother's school.*
台大～*高等學術人才的*一個*榮譽*。	one of the elite institutions (*p*)
到了台灣大學，把*自由的種子*帶到那裏去，在那裏*開花結果*。	(p) and settled down at Taiwan University.（未譯出）
可以說是歷史上的一個*自由的堡壘*	a fortress *for… for thoughts on… on freedom,*
自由主義這個思想在中國*走的是一段坎坷的路*，	*liberalism is… liberalism has actually had* a very difficult path in China.
*回到*一個近代中國史的*時光隧道*	*into (p) a tunnel back* in time,

本次語料裏的比喻，正好包含了換喻（“母校，*母親的學校*”、“*自由的堡壘*”），也包含明喻（“台大，*高等學術人才的榮譽*”，以及暗喻“*自由的種子*……*開花結果*”、“自由主義在中國，*走的是一段坎坷的路*”、以及“*回到*一個近代中國史的*時光隧道*”）。這種語意轉化的現象，使得譯者無法確切地掌握語意，因而導致遲疑或改口的現象。

P4-b 上義關係（hypernymy）：運用語意略微脫落，但還未達語意全然透明的“語意淡化動詞”（semantically bleached verb），來表達詞義較為精確的一般動詞。如，make，have 等。或是透過語意較廣／模糊的“上義詞”（hypernym），來取代語意較窄／精確的“下義詞”（hyponym）等手法。

P4-b：上義關係	(p)表 2 秒以上停頓，<uh>表有聲停頓
*談到*科學的方法和科學的精神，面對重大的針對社會的問題，提出所謂…。	*This (p) can be used to* address many of the major problems in society,
把他*歸納*成 12 個字，	*we… maybe we can shorten* this sentence,
深化的、全面的提升了人民生活的水準，	*(p)* he improved the quality of life for people in China.
這是一個非常嚴肅的， 同時是一個非常*嚴重的扭曲*，	…this is a very severe and very serious, uh, misrepresentation. this is a very serious issue and *is… has seriously* twisted the real objective of my visit.

以“上義關係”（hypernymy）表示的詞語，通常語意並不固定。例如，以句前引介成分“談到～”引領後句時，其實並沒有提示談話主題的意思。有時，還可以說是詞義模糊、冗餘；如，“深化的、全面的（提升）”、“嚴肅的、嚴重的（扭

曲）”。甚至，有些上義詞的詞語訊息是不可譯的；如“歸納成12 個字”的對應內容是“為民族立生命，為萬世開太平”，譯者當然無法對應成“12 個字”的英文譯語，因而只能採取變通的譯法或是略去不譯。

就詞語的語意結構而言，特定詞的訊息內涵，並非直指詞語本身的語意內涵，其實質意義是與專門領域的知識概念連結，或是牽涉歷史、文化等脈絡中的人物或事件。所以，譯者必須從詞語背後的“框架結構”（frame structure）去追溯訊息的意涵，而不能僅從字詞的語意加以解釋。這也就是專有名詞、術語名詞、或是成語、典故、文化事物等詞語之所以難譯的道理。

其次，在複合詞與詞組方面，無論在語意內涵或構詞型態上，都是由兩個（以上）內容組合而成，而經過複合之後的語意又可能形成另一個全新的語意（如，成語動詞）；形式與內容的雙重融合，造成了譯者的理解認知負荷，也延長了訊息處理的時間及過程。

反之，語意的虛化，使得譯者一方面難以掌握訊息的內容意涵，另一方面卻又必須理解這類虛詞的語法意義及其功能。尤其，對於稍縱即逝的口語前後脈絡，[8] 更必須同時做到正確理解與排除錯誤。以避免將無意義的口誤，當成是重要的訊息。此外，與虛詞搭配的實詞，如果語意還是不夠明確，或者正好又是難詞（如，複合詞、術語名詞）時，那就更是難上加難了。而口譯實務上，這類情況可說屢見不鮮。

再者，談到語意的轉移與延伸。多義詞屬於語言技巧的運用，與複合詞不同的是，單一詞語的語意遷移或擴張，可以透過喻詞（如，好比、就像）加以明喻（simile）；也可以藉由相似的

性質加以隱喻（metaphor）；或是透過相關的借代進行聯想，形成換喻或轉喻（metonymy）。這類詞語的語意內涵，必須從詞語的修辭原則與對事物的認知意義入手，才能達到深度的語意分析。反之，對於語意模糊的上義詞，則類似前述虛詞與實詞的配套，應從其下義詞推估其語意內涵，才能有效掌握詞義。

從以上四類造成產出困難的問題詞看來，詞語意義的**專定**（專有名詞、術語名詞）、**多重**（複合詞／組、上義詞）、**虛化**（虛詞、輕動詞）、**延伸**（文化詞、比喻）等，都是譯者在理解與分析上的共同困難。因此，透過對詞語的語意結構與外部功能的分析，對於口譯的困難與解決，可以從語意及語用上獲得實質的助益。

四、內容詞與問題詞的功能

而另一方面，究竟問題詞與內容詞的詞語特性，是否與口譯型態相關，也是值得探究的影響因素。結果發現，兩位譯者針對同一演講人（連戰）的逐步口譯中譯英的語料裏，同樣以問題詞P1~P4為例，幾乎每一項目在逐步口譯的分佈都是均勻的。這一點，足以說明前述視譯分析結果及其特徵是具有普遍性的。以下舉兩位譯者的逐步口譯，做為檢驗視譯語料的初步驗證。

P1-a：專有名詞	
在*瑞士洛桑國際管理學院*，所謂*世界競爭力*排名上	the *nat… uh*, *the global competitiveness report* published by, *uh, the Swiss in Lausanne*

P1-b：文化詞	
對中國…專制…的刻板印象	China as being an *auth… authoritarian,*
P2-a：複合名詞（組）	
跟*第三名的香港*來比較，	if we looked at *(p) Hong Kong, ranked third*,
把人民當做“*真正的主人*”，政府的官員才會變成*公僕好為*。	(p) The government needs to have *good public servants*, *(p) and good public service*.
只要透過*每個人的所得*上昇，	we must improve our *gr… uh… sorry, our per capita income,*
是一個*跨世紀*的承諾。	transcends time, that *transcends century… the century*.
邀請國家*產*、*官*、*學*、*研*以及民意代表在一定的時間之內，	*that will all… uh… that will ask representatives* from all sectors to…（*漏譯*）
我們國家…幾乎可以說是人才濟濟、“*美不勝收*”…	Taiwan has cultivated a lot of new talent, *almost too much,* shall I say.
P3-a：虛詞	
*除了*以往努力所創造的經濟奇蹟之外，	*in… in addition to* our economic growth,
就會*使得*整個競爭力削弱，	sometimes *(p)* competitiveness can fall.
*大致上*有下面八個大類。	*There are main… there are, sorry, there are* eight primary categories
今後行政院的各項施政，我們將*針對*國內外新的情勢…。	The Executive Yuan *(p)* now looks at the domestic and foreign situation,
P3-b：輕動詞	
今後必須*以*負責以及明快的態度*來*改善各種的瓶頸。	The government must take responsibility, *to im… make improvements* as necessary.
*以*激發公務員的榮譽心和使命感*為*重要的手段，	*by in… uh…. creating* a sense of duty within our public servants.
P4-a：比喻	
自己*在國家*欣欣向榮中間*所扮演的角色*。	they *have… they each have a role to play* in increasing our competitiveness.
政府將全力的來*剷除投資的障礙*	This is *th… done through the removal of, uh,* investment obstacles,

政府也許不再是所謂*大有為的政府*，	So *it seems like... the government does not need to be a big brother sort,*
人民*不再有貧窮的恐懼*；	that will mean, *uh, that would lead to, uh, the end of poverty.*
P4-b：上義關係	
我們*實現*了全民參與的民主政治	our President has also *(p) been elected* through universal suffrage.
在*國際輿論*稱讚我們的這一個時刻，	*(p) The world's observation*, and its approval and encouragement
我們要在*進入* 21 世紀之前，讓我們國家的競爭力來*進入*全球的前五名。	The government is determined to, *uh, improve* Taiwan's competitiveness ranking within, *sorry, to reach the, uh,* top five in the world before the 21st century.

從視譯與逐步口譯問題詞的分佈、類型、及其屬性等特質看來，我們可以明確指出，詞語意義的專定、複合、虛化、延伸等，正是譯者在理解與分析上的共同困難。而此類困難，會在產出譯語時，需要較多的訊息處理時間，故多以停頓、中斷、冗詞、或改口等方式呈現在譯語的表現上。尤其，對照前人研究及本次兩位譯者所產生的同類型困難詞，可以具體說明此一現象的普遍性。

至於，視譯語料中不曾出現的詞語標誌——以建構訊息框架為主的內容詞，卻在即席的逐步口譯中出現以下詞例，包括：主題詞、事件詞、時間詞、情態詞。

C-1 主題詞～連戰	
*本人*深感我們人民期望之殷切，	*(p) I* can feel the people's expectations, And... I understand the hope that people have for us,
（*本人*）在總統的領導之下，	*and I... and I* believe that under the guidance of the President, T

C-2 事件詞～競爭力、中國人、人民	
*競爭力*有極寬廣的一個概念，*它*不僅是一個國家創造財富的能力，	(p) not only does competitiveness help a country, uh, earn money,
*它*也不僅限於過去所強調的經濟的生產力，而是指國力的全面提升。	(p) Thus, competitiveness does not just involve economic development but also the core power of a nation.
我們相信共同的是：（*中國*）在法治和人權的保障之下，人民不再有政治迫害的恐懼；	All Chinese people, on both sides of the strait, wanted to see a world*… sorry, want to see a China* where laws and human rights are respected,
C-3 時間詞	
最近幾年來，	in *the years… uh… in recent years*,
百年以來，對中國以及中國人	(p) And over the last century or so,
C-5 情態詞 [9]	
政府部門今後必須以*負責以及明快的態度*來改善各種的瓶頸。	The government needs *to…take charge* and solve these problems in these ten aspects.
自己在國家*欣欣向榮中間*所扮演的角色。	they have… they each have a role to play *in increasing our competitiveness*.

以上透過詞語停頓、中斷、改口等標誌，從逐步口譯語料觀察到的困難詞，相較於視譯的難譯詞語，在性質上並不相同。嚴格說來，以上各項詞語若以單詞形式出現，通常應該不會造成任何翻譯上的困難。而譯者碰到的難處，往往在於話語訊息裏，內容詞所代表的訊息脈絡。可以說，內容詞的功能在於顯示談話的主題、事件、情態，以及話題的貫穿、銜接、轉折等作用，而未必僅限於詞義的表達。

從逐步口譯語料可以看出，譯者的主要困難在於訊息內容的分析及訊息缺口的彌補。因此，為了讓源語訊息內容在譯語的話

語連貫性與完整度上達到對等，譯者有必要透過表達談話主旨的主題詞以及談話結構的事件詞，加上可以貫穿話語脈絡的連貫詞，才能達到有效傳達談話內容的目的。在詞語的出現分佈方面，主題詞與時間詞大都出現於句首。[10] 而在功能上，句首主題詞的作用是引領後句；時間詞則具有“主題切換標誌”（topic-changing marker）的意義。

然而，內容詞所代表的話語訊息脈絡，以及問題詞所凸顯的詞語訊息內涵，除了反映譯者在理解、分析、彌補訊息缺口等困難之外，兩者之間的混雜現象更加深了理解與產出的難度（如 C-5“情態”與 P-4a“比喻”，同在一個句子：“自己在國家欣欣向榮中間所扮演的角色”）。但由於視譯的內容詞大都已書寫在文稿上，因而不易遺漏，也就難以深入探究。

整體而言，難譯詞語在逐步口譯中，比起視譯可說大為減少。難道逐步口譯在訊息內容上比起視譯容易表達嗎？其實，正好相反。在我們的實驗裏，視譯語料是事前就提供給譯者預習了約一小時。而逐步口譯反而是即席測試，事前只告知譯者大略的時空背景及講話形式（記者招待會），就立即開始了。此外，兩者在話語的型態上，都是場合正式的帶稿演講。就語體風格而言，可以說差異不大。而視譯與逐步口譯的最主要差異，還是在於訊息傳遞的媒介（口語或書寫）及其表達方式。也就是說，視譯是以書寫為媒介，並採取全體譯出的方式產出譯語；而逐步口譯則是以口語為媒介，且容許摘要譯出的方式產出譯語。

從訊息傳遞功能的角度而言，視譯時必須把文稿或即席的口述內容完整地傳遞出來；而逐步口譯則必須把即席的口述內容，以扼要的方式傳達出來。因此，視譯容易受限於文稿的詞語內容

及結構，因而詞語的難譯問題十分突出。而逐步口譯，則必須掌握談話的框架及其訊息組成元素。因此，談話的訊息脈絡與訊息焦點的重要性，遠高於詞語意義的對應。這也就說明了何以視譯與逐步口譯的訊息內容與語體風格即使近似，兩者的難譯詞語還是極為類同。可見，困難的癥結，不在於口譯型態而在於詞語特性。同時，這也解釋了何以逐步口譯中問題詞較少的原因。

本研究透過對譯者認知歷程的回溯與確認，對於傳遞訊息結構的內容詞與訊息意涵的問題詞，從口譯類型與訊息傳遞功能等角度，就核心詞語的角色功能提出較為精細的分析及例證。藉由雙語之間的訊息傳輸，探究其中具有關鍵意義的核心詞語的屬性特徵及角色功能。

五、結　語

口譯的訊息處理過程極其繁複，如何有效控制其變因，俾使口譯的產出困難，得到有意義的梳理，一直是口譯研究中的難題。本研究試以不同的口譯類型加以推測，並從詞語的屬性特徵及訊息傳遞的角色功能，描述其條理化的語言現象，可說意義重大。

從本研究的分析結果，顯示內容詞所代表的是訊息的恆常屬性，而問題詞所代表的則是訊息的暫態屬性。因此，在教學上着力於內容詞的分析與理解，可以導引學生掌握訊息的框架結構；而對於問題詞的屬性分析及分類描述，則有助於提升對於個別譯案的問題解決能力。

今後，進一步以不同的語言組合（如，中譯日），再次檢視本研究的初探結果，可望對源語的理解分析與譯語的產出效能，達到更廣泛而實質的助益。

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注　釋

[1] 內容詞包括（1）主題詞（topic words）（2）事件詞（event words）（3）時間詞（time phrases）（4）處所詞（locative words）（5）情態詞（modal words）（6）情狀詞（manner phrases）（7）數量詞（measure phrases）（8）談話情境（speech context）等。見筆者（2007）。文中將以內容詞字首 C，加上 1-8 項編碼表示前述各類詞語。

[2] 若以“上海世博會園區首批餐飲企業揭曉　台灣業者連中三元”為題，其事件詞為“餐飲、園區、參觀者、統一星巴克、真鍋咖啡、兩岸咖啡”；主題詞則為“上海世博會、台灣、業者”。若以“上海世博會明年元旦開始試運行”為題，其事件詞為“參展、洪浩、上海、城市、主題、退展”；主題詞則為“上海世博會、2010 年 1 月 1 日、試運行”。（“洪浩”是“上海世博會事務協調局”局長。）

[3] 參見 Fukumoto and Suzuki（2000b: 31）。

[4] 閱讀時的眼球運動方向，可分為順向移動（forward saccade）與逆向移動（regressive saccade）；對閱讀內容感到困惑不解時，眼睛會逆向移動擷取更多的訊息，大約佔閱讀時的 10 至 15%。

[5] 兩位譯者的受試項目都已通過 2008 年 6 月師大與輔大中英口譯專業考試。其中一位是英語母語，另一位則是英語接近母語的水平。

[6] 視譯的內容是連戰先生 2005 年 4 月 29 日在北京大學的演講，逐步口

譯則為連戰於 1996 年 5 月 3 日在行政院長任內舉行記者招待會的講話內容。

[7] 劉錦明（2004）指出，英語複合動詞數量已達 700 多個，頻繁用於大眾媒體及日常交流。其中有相當數量是近 10-20 年間出現的新詞。

[8] 帶稿視譯的口譯原則，是以講者當場的口述內容為準，而不是以文稿內容為依據。

[9] 情態詞（modal words）：表達說話者立場、態度或評價的情態詞／句。

[10] 關於時間、處所、情態、談話主題、連貫關係等，中英日逐步語料及分析，見筆者（2008: 139-154）。

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Culture, Looking Back, and Translation of the *Book of Changes*

Paul G. Fendos, Jr.

Abstract

The history of translation in the West reveals that theoretical discourse on translation has moved back and forth between source and target. In contemporary Translation Studies the pendulum is clearly swinging in the direction of target. Skopos theory, for example, describes translation as a purposeful action leading to a new situation or object. Polysystem theory examines the ways in which source texts are received by the target culture. And Postcolonial and Feminist theory posit a moral authority in the receptor that determines what text is chosen and how it is translated. However, this article attempts to push the focus back and closer to the source. It does so by arguing a common sense position: When translating, especially when translating material from a remote time or place, knowledge of source—in particular culture—is a prerequisite to understanding any text, and something without which even a cursory attempt at equivalence is impossible. Article content centers on translations of the Book of Changes, *introducing, in passing, the Traditionalists and Modernists, the* *two main schools of translation associated with it. The article highlights one author, J. S. Marshall, and problems found with his translations that grow out of "retroactive interpretation", a not uncommon attempt to solve the difficulties arising from a lack of the above mentioned knowledge of source.*

Background

Whether we look at Cicero's resolve to translate freely, the Victorian respect and adulation for the subject text, or Chomsky's "recoding" of surface structures to represent underlying universal deep structures, it is clear that the focus of translation for most of the last 2,000 years has consistently been on the search for some form of equivalence, a search that usually either moved toward one end of or straddled a spectrum from free to literal. Contemporary translation theory, which falls under the general name of Translation Studies, has moved away from this emphasis on—some might say obsession with—equivalence. More important now is to understand how source texts are received by the reader or target culture and what effect this has on their translation. However, finding a balance between fidelity to a subject text and transparency in a target language, that right blend of what Eugene Nida called formal and dynamic equivalence, is still an elusive goal that most translators must endeavor to achieve when directly involved in the difficult process of translation itself. This is true when working between two closely related modern languages with similar cultural backgrounds. But it is especially so when working with material in a subject language from the remote past, material whose world has long vanished, and thus material that we must "look back" at by recreating the cultural context in which it was once understood. Nowhere is this more the case, it seems, than when attempting to translate the *Book of Changes*.

The origins of the *Book of Changes* are often traced to the end of the Shang Dynasty (1576-1045 B.C.E.) and the beginning of the Western Zhou (1045-771 B.C.E.). Therefore, whether you consider yourself a distant relative looking back at your ancestors or you are a stranger born on the other side of the planet like myself, crossing that span of 3,000 years and trying to understand just a part of the world the ancient Chinese lived in might well entail nothing less than a lifetime's work. The problem does not end there, either. The *Book of Changes*, or at least something closely approximating what is commonly referred to as the "received" version of the *Book of Changes*, probably did not take shape until the 3rd century B.C.E. That left a period of almost 1,000 years during which it developed into the work as we know it today—a multi-layered text [1] with a variety of transcriptions [2] written in an elliptical style often lacking any real contextual detail. [3] Daunting indeed, then, is the task of trying to understand the *Book of Changes*.

Many of the early Western-language translators of the *Book of Changes*, including prominent figures like James Legge (1815-1897) and Richard Wilhelm (1873-1930), were aware of some of these problems. In attempts to find solid ground to work from, they turned to Chinese scholars for help or relied on early Chinese commentaries. But as one might expect, scholars disagreed and commentaries differed. In addition, by the beginning of the 20th century a new "modernist" group had surfaced in China, the "Skeptics of Antiquity School" (*Yigupai* 疑古派), made up of writers who disputed many of the "traditionalist" claims regarding both China's past and its classical literature. Led by scholars such as Gu Jiegang 顧頡剛 (1893-1980), Li Jingchi 李鏡池 (1902-1975), and Gao Heng 高亨 (1900-1986), this group aimed to apply textual and historical criticism in an attempt to determine the authenticity of ancient texts, with their results raising many doubts about early commentaries and thus calling into question interpretations and translations based on them.

Arthur Waley (1889-1966) was one Western translator of the *Book of Changes* influenced by these skeptics. Following Li Jingchi, who drew parallels between the *Zhouyi* Text and Shang Dynasty bone oracles, Waley questioned the veracity of traditional views attributing creation of the *Book of Changes* to the "holy sages of antiquity" (questioning, in the process, the assumed nature of the society in which the *Zhouyi* Text originated). Interested especially in uncovering the origins and primary meanings of the *Zhouyi* Text, Waley came to believe it was an amalgam of ancient omens, most of which rhymed, with a later and more sophisticated divinatory format, the compilation of which occurred from 1000-600 B.C.E. Take the hexagram text for Hexagram 51, *Zhen* 震.

> 震來虩虩笑言啞啞
> 震驚百里不喪匕鬯。

> When thunder comes, crash crash, there shall be laughter, ho ho;
> When thunder wakes people 100 *li* away, you shall not lose your ladle or spoon. (Waley 1933: 122)

This hexagram text, Waley believed, consisted of a rhymed phrase that associated a meteorological phenomenon, thunder, with a weak prognostication of things to come—laughter and composure on the part of the person divining. This is quite different from commentary interpretations, which tended to see ancient society from a moralizing Confucian perspective. For example, Cheng Yi 程頤 (1033-1107) pointed out that the last two Chinese characters in this passage, *bǐ chàng*, [4] referred to things used in sacrifices at the ancestral temple. And this, he believed, meant the hexagram text was concerned with the solemn sense of composure a person carrying out such a ritual would (or should) maintain during the ceremony, a mental state of "devoting one's sincerely respectful mind so that not even the awesome force of a thunderclap could cause him to fear and lose control [and spill the win in the ladle or spoon]" 盡其誠敬之心則雖雷震之威不能使之懼而失守 (Cheng Yi 1987: 6.1). Not surprisingly, therefore, Waley's omen interpretation is also quite different from the following commentary-based interpretation found in the Legge translation.

> When (the time of) movement (which [*Chen*] indicates) comes, (the subject of the hexagram) will be found looking out with apprehension, and yet smiling and talking cheerfully. When the movement (like a crash of thunder) terrifies all within a hundred *li*, he will be (like the sincere worshipper) who is not (startled into) letting go his ladle and (cup of) sacrificial spirits. (Legge 1971: 258)

Though Waley's approach represented a new way of reading the *Zhouyi* Text, few Western scholars or translators of the *Book of Changes* immediately followed up on it. In recent years, however, a surge in archaeological studies has shed more light on many areas of China's ancient past, leading to numerous new theories on the origins and nature of the *Book of Changes*. A good number of them have been put forth by a group of Western "modernist" scholars, a group that includes Edward Shaughnessy, Richard Kunst, and Richard Rutt. Shaughnessy and Kunst both wrote doctoral dissertations in the 1980s aiming to reveal the original meaning of the *Zhouyi* Text. Shaughnessy (1983) utilized his knowledge of background cultural information found in oracle bone texts and bronze inscriptions to both date and offer new insight into the *Zhouyi* Text, while Kunst (1985) transcribed the archaic Chinese pronunciations of the *Zhouyi* Text with the goal of uncovering the original words behind the received version. Though some of Shaughnessy's conclusions at times seem to be less than objective, [5] his dissertation, his translation of the Mawangdui Han Silk Manuscript *Yijing*, and his work on the Fuyang Han Bamboo Strips *Zhouyi* all demonstrate his important position in *Book of Changes* studies and translation. And though I find Richard Rutt's (2002) belief that the *Zhouyi* Text was a royal book of oracles mainly related to warfare (especially warfare related to obtaining captives for use in sacrifices) to be restricting and narrow, his translation of the *Zhouyi* Text, along with Kunst's phonetic transcription, translation, and glosses, has contributed much to understanding the original nature of this earliest layer of the *Book of Changes*—a prerequisite to any kind of faithful rendering.

Of course, the growing strength of these modernists did not mean the traditionalists just gave up and completely disappeared. Scholars and *Book of Changes* practitioners alike who still adhere to or argue in support of some or many of the old views abound. One, J. S. Marshall, stands out. His ideas (and translations) in *The Mandate of Heaven* are especially informative. In this book Marshall follows an approach that is at times quite critical of the modernists. It leads to some interesting arguments and thoughtful interpretations, but it also drags Marshall into a practice that all translators hoping to look back in time should take care to avoid—over speculation and reading too much into the subject language text. [6]

J. S. Marshall and *The Mandate of Heaven*

Marshall sees the contributions that modernists have made to uncovering some of the original meaning of the *Zhouyi* Text. But he also feels the pendulum of interpretation has swung too far in their direction and is in need of correction. Specifically, though he believes oracle bone texts do shed new light on traditional theories concerning the origins of the *Zhouyi* Text, he thinks this new evidence can sometimes be used to support, not undermine, these theories. Marshall is particularly interested in turning modernist thinking and techniques to the task of sympathetically examining the traditional belief that King Wen was involved in the creation of the *Zhouyi* Text, a belief he thinks is sustainable (2001: xi).

Marshall's thesis is a simple one. On the surface, he says, the *Zhouyi* Text seems to contain little of substance. On closer examination, however, one can find exact detail, verifiable allusions, hidden names and places, and vivid imagery. In particular, the Text, Marshall believes, preserves intact divinations of early Zhou kings, some of which can be traced back directly to King Wen—or others associated with him. This, along with his belief that other parts of the Text go back as far in time as the conquest of the Shang by the Zhou, suggests that, just as Yinxu 殷墟 oracle bones are the vestiges of royal divination from the Shang Dynasty, the *Zhouyi* Text itself may be remnants of divination used at court during the early Zhou Dynasty. The catch is to understand that this early Zhou Dynasty divination was carried out using oracle bones, not yarrow stalks, the form most commonly associated with the *Book of Changes*, and that the hexagrams and line texts now associated with the *Zhouyi* Text were first spoken by a king or kings during oracle bone divination in the Early Zhou, later recorded, and then compiled in the form of a yarrow-stalk divination manual (i.e., the *Zhouyi* Text). If understood in this way, Marshall argues, the *Zhouyi* Text can be seen as oracle records from that period when the mandate of Heaven was transferred from the Shang to the Zhou—hence the title of his book, *The Mandate of Heaven.*

Of course, the idea that the *Zhouyi* Text contains remnants from an ancient period in Chinese history is not new. Early *Book of Changes* commentaries pointed out that individual references to both Shang or early Zhou personalities or place names could be found in it. [7]

11/5 [8] 帝乙歸妹。以祉。元吉。
Sovereign Yi gave the younger sister in marriage. There were blessings. Great auspiciousness.

(**Sovereign Yi** was the penultimate ruler of the Shang Dynasty.)

36/5 箕子之明夷。[9] 利貞。
Jizi's "calling pheasant". It is favorable to determine.

(**Jizi** was a relative and court official of the last Shang king Zhou 紂.)

46/4 王用享於岐山。吉。無咎。
The King offers a sacrifice at Qi Mountain. Auspicious. No misfortune.

(The Zhou Dynasty was first established at the foot of **Qi Mountain**.)

63/3 高宗伐鬼方。三年克之。小人勿用。
The Exalted Ancestor subjugated Demon Territory. Three years and he overcame them. Petty men are not to be used.

(The **Exalted Emperor** is said to be the Shang king Wu Ting 武丁.)

In addition, even Western scholars like Kunst and Rutt have called attention to a variety of references to early Zhou Dynasty customs. [10]

3/1 磐桓。利居貞。利建侯。
Turning around. Favorable in a dwelling determination. Favorable for establishing a lord. (Kunst 1985: 245)

(**Enfeoffment of lords** was an important part of the early Zhou Dynasty feudal system.)

17/4 隨有獲。貞凶。有孚在道。以明何咎。
In pursuit, there will be a catch. The determination is ominous. There will be a capture [11] in the road. If they (the captives) are used in a sacrificial covenant, [12] what misfortune will there be? (Kunst 1985: 273)

(Using **captives** in **human sacrifices** was common in early Zhou ritual.)

20/5 觀我生。君子無咎。
Observe our sacrificial victims: [13] no misfortune for a noble. (Kunst 1985: 279)

(Again, reference to **sacrificial victims**.)

22/4 賁如皤如，白馬翰如。匪寇。婚媾。
They are adorned, they are fair, the white horses so shaggy.

> They are not bandits. It is a marriage match. (Kunst 1985: 283)
>
> (**Marriage** involving real or feigned **abduction by bandits** was a not uncommon custom among the common people.)

But claiming there is a pattern of evidence in the *Zhouyi* Text connected to an early king or kings, a pattern Marshall says suggests the Text originated in royal (oracle bone) divination records, is a step above citing individual references to names or customs from the same general time period. [14] It is necessary, therefore, to look closely at the evidence Marshall offers to see if such a pattern does in fact exist.

Marshall's approach to finding this evidence strikes me as being similar to that taken by Sarah Allan in some of her early work on Chinese myth. Allan (1991) was interested in showing that Chinese myth traditions found in later textual sources could be understood as transformations of Shang Dynasty antecedents, the existence of which could be substantiated and the content of which could be explained by reference to elements in early sources (oracle bone inscriptions) that were structurally related to the later transformations. Marshall, of course, is dealing with what he believes to be historical fact, not developing myth traditions. But it is still the remnants of oracle bone divinations (found in the *Zhouyi* Text, says Marshall) that are the object of his search. And it is more detailed descriptions found in later textual sources that act as the framework for giving shape to parts of those remnants.

Marshall is aware that retroactive interpretations of the *Zhouyi* Text (based on stories found in later sources) may incorporate elements not part of the original historical record. He attempts, therefore, to establish only the bare skeleton of the historical tradition surrounding King Wen, hoping that that minimum tradition can be accepted as the historically true one. In *The Mandate of Heaven* Marshall is most interested in the events leading up to the conquest of the Shang by the Zhou. I give a very rough outline of his chronology on those events, inserting some examples [15] from the *Zhouyi* Text that he says fit into and support it.

MARSHALL'S CHRONOLOGY OF ZHOU CONQUEST OF THE SHANG

King Wen

The Earl of the West 西伯, later known as King Wen, was installed as a senior lord to rule in outlying territories by the last king of the Shang, Zhou Xin 紂辛. Zhou Xin was a dissolute and cruel ruler, who severely punished those who criticized him, even going so far as to pickle and eat some. The Earl of the West, on the other hand, was a virtuous man who loved his people. For this he was slandered and imprisoned, his life saved only when his loyal ministers paid a ransom.

As time passed, more feudal lords became disaffected by the corruption of the Shang court, many of them turning to the Earl of the West, whose reputation was now spreading. He was known as a good man who humbled himself and, dressed in coarse clothing, helped with farming. He was so dedicated to advancing the welfare of his people that he worked from day until night, sometimes not even allowing himself the leisure of eating—all of which, Marshall maintains, is reflected in the following line.

> 1/3 君子終日乾乾。夕惕若厲。無咎。
>
> The noble man [King Wen] all day strengthens himself. At night he is anxious as if there is some danger. No misfortune. (Marshall 2001: 172, n. 29)

In time, the Earl of the West began to expand the power of Zhou, moving from the Qi Mountain 岐山 area to Feng 豐, seventy miles to the east, but he was content to bide his time, waiting until he was sure it was the right moment to attack the Shang. Unfortunately, he died before that attack took place, and was succeeded by his son, King Wu 武王.

King Wu

After King Wen's death, King Wu entered into a three-year-period of mourning (55/6). But (as 55/2, 55/3, and 55/4 show) during that time the city of Feng was hit with a total eclipse of the sun. So dark did it become that they could see the Big Dipper at mid-day. King Wu, thinking it might be a sign, rushed to the Ancestral Temple, where he offered an *Yi* sacrifice to the God of Soil to allay the eclipse (55), and cracked an oracle bone to determine what he should do. The oracle bone responded "not mourning" (55), which King Wu interpreted to mean he should stop mourning, take up the mantle of power, and move on to attack the Shang. Having verification, King Wu complied, himself stating that the prognostication was "auspicious" (55/2) for moving against the Shang. He then began to meet with other tribes/leaders, even divining to get an oracle that said a meeting with the Lord of the Yi Tribe would be auspicious (55/4).

55 亨。王假之。勿憂。宜日中。
Sacrifice. "The King [King Wu] approaches it [the Ancestral Temple]. Not mourning. *Yi* sacrifice at noon." (Marshall 2001: 69-73)

55/2 豐其蔀，日中見斗。往得疑疾。有孚，發若。吉。
"The city of Feng was so obscured at noon the Big Dipper

was seen. Though able to depart, the urgency was doubted. Having verification, Fa [King Wu] complied. Prognostication: Auspicious.” (Marshall 2001: 81; 192, n. 58)

55/3 豐其沛，日中見沬。折其右肱。無咎。
“The city of Feng was so darkened at noon one could only see dimly.” He breaks his right forearm. No misfortune. (Marshall 2001: 64)

55/4 豐其蔀，日中見斗。遇其夷主。吉。
“The city of Feng was so obscured at noon the Big Dipper was seen.” Meeting with the Lord of the Yi tribe. Auspicious. (Marshall 2001: 108)

55/6 豐其屋蔀其家。闚其戸，闃其無人。三歳不覿。凶。
“His living quarters in Feng were screened off from his family. He peered through the door, on his own, without any others. Three years not admitting to audience. Prognostication: Disastrous.” (Marshall 2001: 39-40, 48, 79-80)

Soon after, King Wu marshaled his troops and the troops of various other countries for the long march toward the Shang capitol. He was sure now that the time was right. Heaven, through the oracle bones, had given its approval for King Wu to lead the Zhou in taking power.

7/6 大君有命。開國成家。小人勿用。
“The great prince [King Wu] has the Mandate to found a State [the Zhou] and inherit the House.” Petty men are not to be used. (Marshall 2001: 76)

All that remained was for King Wu to carry out this Mandate by overthrowing the Shang. (This movement toward "revolution" being the origin, Marshall argues, of the hexagram name and at least one line text from Hexagram 49, *Ge* 革.)

> 49 (革)
> (Hexagram Name—Revolution) (Marshall 2001: 29)

> 49/4 悔亡，有孚。改命，吉。
> Regret disappears, there is a captive. "To change the Mandate," auspicious. (Marshall 2001: 30)

Within a month the army arrived at the Ford of Meng 盟津 on the Yellow River, where they stopped, and King Wu divined for a propitious day to cross. In accordance with such affairs, (Marshall says,) King Wu first carried out a vegetarian fast for three whole days before and after the *jia* (divination day), whereupon, having gotten an auspicious prognostication, he decided to cross the great river (i.e., the Yellow River). [16]

> 18 元亨。利涉大川。先甲三日。後甲三日。
> Great sacrifice. "Advantageous to cross the great water. Before *jia*, three days [King Wu began fasting]. After *jia*, three days [King Wu continued fasting, then crossed the Ford of Meng on the Yellow River]." (Marshall 2001: 87)

Other consultations with the oracle at this time also prognosticated that it was indeed advantageous for King Wu to cross.

> 57/1 進退。利武人之貞。

> Advancing, retreating. It is advantageous for a "military man" [King Wu] to divine. (Marshall 2001: 88)

So, King Wu faced his followers, telling them the time was right and exhorting them to cross the river and proceed to the Wilds of Mu 牧野, where the battle with Shang would be joined.

> 13 [同人] 於野。享。利涉大川。利君子貞。
> "[Fellow Countrymen] proceed to the Wilds." Sacrifice. "Advantageous to cross the great water [the Yellow River]." It is advantageous for the noble man [King Wu] to divine. (Marshall 2001: 89)

King Wu led the crossing, and his younger brother Kang shu 康叔 carried the corpse of their dead father King Wen (in order to invoke the power of Heaven), as they made their way toward the coming battle.

> 7/5 田有禽。利執言。無咎。長子帥師，弟子輿尸。貞兇。
> In the hunt there is game. It is advantageous to seize prisoners. No misfortune. "The elder brother [King Wu] leads the Army, the younger brother [Kang shu] carries the corpse [of King Wen]." The divination is ominous. (Marshall 2001: 76)

Once across, King Wu divined for another propitious day, this one to begin the battle. And again, in accordance with such affairs, King Wu first carried out a vegetarian fast for three whole days before and after the *geng* (divination) day, whereupon they entered into battle. [17]

57/5 貞吉。悔亡。無不利。無初有終。先庚三日。後庚三日。吉。
The divination is auspicious. Regret disappears. Nothing is not furthered. No beginning, but an end. "Before *geng*, three days [King Wu began fasting]. After *geng*, three days [King Wu continued fasting, then attacked the Shang at the Wilds of Mu]." (Marshall 2001: 88)

The battle was like one between two dragons.

2/6 龍戰於野。其血玄黃。
"Dragons [the Zhou and Shang] battling in the Wilds. Their blood is black and yellow." (Marshall 2001: 89)

And Zhou Xin, seeing he was losing, divined repeatedly, trying to find some auspicious sign. But Heaven and the Oracle had already abandoned him.

4 享。匪我求童蒙，童蒙求我。
Sacrifice. "It was not I [the Oracle] who sought the deceitful boy [King Zhou]; the deceitful boy sought me." (Marshall 2001: 96-97)

After the battle was over, King Wu then carried out the customary hunt in which the victor of a battle killed game to provide for celebratory feasts and offerings to the ancestors.

57/4 悔亡。田獲三品。
Regret disappears. In the hunt "three kinds of game are caught" [by King Wu]. (Marshall 2001: 89)

In fairness to Marshall, I should point out that I find fault in only a few pages with a chronology that he uses a large part of a book to explain. As such, the arguments I concentrate on are only a small part of the total package he is trying to create, a package that he probably believes is a consistent whole. In addition, Marshall's work does make interesting reading, especially in light of the wide range of source materials incorporated into his arguments. In fact, Marshall has read and quoted so widely, connecting things in such a way, that one is almost left to marvel at the complexity of all the intricate inter-relationships he has built. [18] Nevertheless, the arguments I concentrate on below, which form the basis of his translations, are representative of his work as a whole, and even a cursory look at them shows some serious problems.

Look first at his interpretation of the terms "noble man" and "great prince" in 1/3, 7/6, and 13. What particular evidence can we find in the context of these hexagram and line texts that might help us determine who these terms were referring to? I can find none at all for 1/3, and Marshall gives none. He simply seems to think that 1/3 accurately describes how King Wen must have felt and acted at the time, so the "noble man" in this line text was probably him. [19] Marshall does connect the word "wilds" in 13 with the place name "Wilds of Mu", where the final battle between the Zhou and Shang was fought. This "link", and the fact that 13 also makes mention of "crossing the great water", [20] which Marshall believes refers to the crossing of the Yellow River at the Ford of Meng, are apparently enough to convince him that the "noble man" in 13 must be King Wu. But such an interpretation of 13 seems based on understanding *yu* 於 as a verb meaning "to go" or "to proceed", an interpretation that is questionable. [21] As for the term "great prince" in 7/6, the character *ming* 命 used in 7/6 is generally translated by most scholars as "mandate", something Marshall says refers to the Mandate of Heaven and the transfer of power from the Shang to the Zhou, and thus an interpretation that would seem to correspond with the Zhou rise to power. This, along with the belief 7/5 may reflect the traditional view that King Wu took his father's body into battle with him, [22] suggests to Marshall that 7/5 and 7/6 were part of a series of divinations carried out by King Wu before the battle at the Wilds of Mu. But as is the case with most of the *Zhouyi* Text, in 7/6 (and 1/3, 7/5, and 13) little is specifically stated. Names must be added so things "make sense" in Marshall's chronology, and even if one were to accept Marshall's interpretations, one would then have to ask whether other instances of "noble man" and "great prince" in the *Zhouyi* Text (or the phrase "advantageous to cross the great river", which is a widely used formulaic expression) were also all to be understood as referring to either King Wen or King Wu (or the Yellow River).

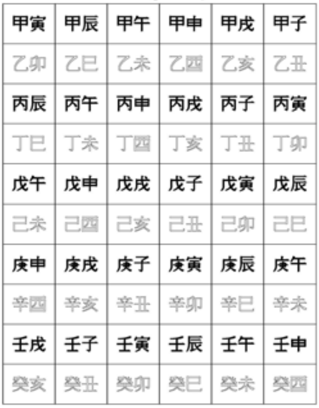
Marshall's interpretations of several of the other *Zhouyi* Text materials listed above are equally dubious. The battling "dragons" of 2/6 are associated with the Shang and Zhou based on a single quote from a section of the *Book of Documents* stating that after King Wu conquered the Shang the people of Shang "came out to show their gratitude by offering him baskets full of black and yellow silks" (the same colors as the blood of the fighting dragons). [23] The reference to the "deceitful boy" in 4 is said to be King Zhou because King Zhou was supposedly called that name in a poem written by Jizi 箕子, [24] one of his elder brothers (by a concubine). The "military man" in 57/1 is assumed to be King Wu because the Chinese character for "military", *wu* 武, is the same as that used in King Wu's name, i.e., the Martial King. And hexagram 49 is given the tag/name Revolution simply because it can be linked with the Mandate (of Heaven) in 49/6 and the general idea of the overthrow of the Shang Dynasty. None of these are particularly strong arguments.

Some examples cannot be rejected so easily. Take 18 and 57/5, remnants of oracle bone divinations King Wu supposedly had carried out before he led his army across the Yellow River and again before he led them into battle. Marshall has weaved an interesting interpretation of these text materials based on the belief that with such divination it was customary to (1) first carry out a vegetarian fast for three full days, (2) then crack an oracle bone and make the divination, (3) continue the fast for three more full days, after which, assuming an auspicious prognostication had been received, (4) action be taken. Both 18 and 57/5 might be seen as suggesting just such a ritual (in "Before X, three days … After X, three days"). Nevertheless, if we follow Marshall's calculations closely, it seems there was not enough time to carry out both ritual divination cycles.

Marshall believes the battle at the Wilds of Mu occurred on a *jia* day, specifically *jiazi* 甲子 day, the first day of a new Shang sexagenary calendar (see Diagram 1 below). This is substantiated, he argues, by both textual and archaeological evidence. [25] Using 57/5 and Marshall's method of calculating, that means the divination to join battle with the Shang was carried out on *gengshen* 庚申 day, three full days earlier, and the fasting begun after *bingchen* 丙辰 day, three full days earlier than that (a period from day 53 on one calendar to day 1 on the next). Strangely enough, however, when this chronology is compared with the divination record Marshall also sees in 18, they overlap. The Yellow River was crossed on *wuwu* 戊午 day, the divination carried out three full days earlier on *jiayin* 甲寅 day, and the fasting begun three full days earlier than that, after *gengxu* 庚戌 day (a period from day 47 to day 55 on one calendar). This means that King Wu began the fast that was a prelude to divining about the auspiciousness of entering into battle with the Shang before he had crossed the Yellow River, and while he was still fasting after divining about the auspiciousness of crossing the river. This is not a likely sequence of events.

Diagram 1

六十甲子/Sexagenary Calendar



甲寅	甲辰	甲午	甲申	甲戌	甲子
乙卯	乙巳	乙未	乙酉	乙亥	乙丑
丙辰	丙午	丙申	丙戌	丙子	丙寅
丁巳	丁未	丁酉	丁亥	丁丑	丁卯
戊午	戊申	戊戌	戊子	戊寅	戊辰
己未	己酉	己亥	己丑	己卯	己巳
庚申	庚戌	庚子	庚寅	庚辰	庚午
辛酉	辛亥	辛丑	辛卯	辛巳	辛未
壬戌	壬子	壬寅	壬辰	壬午	壬申
癸亥	癸丑	癸卯	癸巳	癸未	癸酉

As an aside, the reference to hunting three kinds of animals in 57/4 is said to concern the hunt for animals to sacrifice to the ancestors after the battle at the Wilds of Mu that Marshall thinks is assumed in 57/5. However, if 57/5 (and 57/1) cannot really be linked to that battle, then the hunt for animals mentioned in 57/4 could be referring to any hunt, and not a particular hunt King Wu might have conducted after that battle.

No doubt the most interesting and complicated of Marshall's arguments—and the core of his book—can be found in 55, 55/2, 55/3, 55/5, and 55/6. The interpretations Marshall offers, many quite unique, together make a rather compelling argument for a new understanding of Hexagram 55. Namely, that the divination texts making up Hexagram 55 originated with King Wu in the city of Feng, where, as he was observing three years of mourning after the death of his father, he witnessed an omen (a solar eclipse), whereupon he rushed to the ancestral temple to offer a sacrifice and divine, the prognostication of which resulted in him deciding Heaven was signaling to cut short his mourning and attack the Shang. However, again, even here a brief look finds plenty of room for doubt. Take just these three examples, which are at the center of his interpretation of the hexagram and line texts for Hexagram 55.

> 1. The character *feng* 豐, which is the name/tag of Hexagram 55, refers to the city where the Zhou set up their capitol before King Wen died, and does not mean "full", "abundant", "prosperous" or the like (as is often thought).

At the beginning of 55/2, 55/3, 55/4, and 55/6 *feng* 豐 is the initial character in three-character groupings with a middle character of *qi* 其. In 55/2, 55/3, and 55/4 Marshall seems to read *qi* like the pronoun "it" and to understand the three-character groupings as Noun/Pronoun/Verb [26] structures: *feng qi bu* 豐其蔀 (Feng/it/is obscured) and *feng qi pei* 豐其沛 (Feng/it/is darkened). However, with the corresponding three characters in 55/6 he reads *qi* as the possessive pronoun "his", referring to King Wu, and changes the structure to Noun/Pronoun/Noun: *feng qi wu* 豐其屋 (Feng/his/living quarters). In addition, in the second similar three-character grouping in 55/6 the character *bu* 蔀, which in 55/2 and 55/4 Marshall reads like a stative verb meaning "is obscured" (in reference to Feng falling under the eclipse), is now found translated as the transitive verb "to screen off": *bu qi jia* 蔀其家 (screen off/his/family). [27] These translations Marshall gives for 55 seem both inconsistent and awkward, with line texts found in two other hexagrams perhaps providing a better pattern to work from.

The two hexagrams I am referring to are 31 and 52. The first three characters in the line texts of these hexagrams look very similar to the corresponding characters in Hexagram 55, and their overall structural cohesiveness makes evident that the better pattern for translation is probably Verb/Pronoun/Noun.

	Hexagram 31, *Xian* 咸	**Hexagram 52, *Gen* 艮**
Line 6	咸其輔 Cut/his/jaw	--------
Line 5	咸其脢 Cut/his/back	艮其輔 Cleave/his/jaw
Line 4	--------	艮其身 Cleave/his/trunk
Line 3	咸其股 Cut/his/thigh	艮其限 Cut/his/waist
Line 2	咸其腓 Cut/his/lower leg	艮其腓 Cleave/his/lower leg
Line 1	咸其拇 Cut/his/toe	艮其趾 Cleave/his/feet

These line texts originally apparently referred to the preparation of human bodies for sacrifice. And, as can be seen, there is a clear relationship between the structure of the hexagrams and the cut-up body parts mentioned in the associated line texts. Moving from Line 1 up to Line 6, one also moves in a corresponding manner from lower body parts to upper body parts. In addition, the structure of all three-character groups clearly follows the pattern Verb/Pronoun/Noun. The parallel is not perfect, as the verbs from Hexagrams 31 and 52 are all transitive and those from Hexagram 55 mentioned above could be transitive or stative, [28] but it seems that Verb/Pronoun/Noun would be a much better—and overall more consistent—pattern to use in the translation of the corresponding line texts in Hexagram 55 than Noun/Pronoun/Verb. In which case, *feng* could not be understood as a city name.

Hexagram 55, Feng 豐

Line 6	豐其屋。蔀其家。	Full is/his/canopy. (It) screens/his/house.
Line 5	--------	--------
Line 4	豐其蔀。	Full is/his/screen.
Line 3	豐其沛。	Full is/his/curtain.
Line 2	豐其蔀。	Full is/his/screen.
Line 1	--------	--------

> 2. The character *bu* 蔀 (55/2, 55/4) means "to be obscured" and refers to an eclipse of the sun.

Back in late 1979, in a class at Stanford University taught by David S. Nivison and attended by Edward Shaughnessy and David Pankenier, Nivison presented an argument attempting to use the chronological system in the *Bamboo Annals* 竹書紀年 to date bronze inscriptions. This started a movement among Western scholars to use this work, especially references in it to planetary conjunctions and other sidereal movements, to prove important dates in early Chinese history. Though he himself is at times quite critical of such work—for example, calling attempts by Pankenier (1981-82) and Shaughnessy (1985-87) to use a five-planet conjunction in the *Bamboo Annals* to date the Zhou conquest of Shang "both excessively complex and far-fetched" (2001: 53)—Marshall's interpretation of Hexagram 55 continues this same general type of argumentation. Believing that the character *bu* suggests the occurrence of an eclipse just before the Zhou conquered the Shang, Marshall searched for and then believed he had found a date for an eclipse that fit into the general timeline he had envisioned—around noon on June 20, 1070 B.C.E. In so doing, Marshall added to a growing list of dates purporting to pin down the time of the conquest, but also discovered what he believed to be the original date and meaning of the divination records in Hexagram 55. I will not discuss Marshall's reasons for choosing an eclipse on this particular date. More important is pointing out that his theory depends on reading the character *feng* as a noun and the name of the city Feng, [29] something I mentioned above I do not believe stands up to scrutiny.

> 3. The character *dou* 斗 means the Big Dipper, with *ri zhong jian dou* 日中見斗 "at noon the Big Dipper was seen" (55/2, 55/4) suggestive

of a solar eclipse.

There is a general consensus that the character *dou* 斗 in Hexagram 55 refers to the constellation *Bei dou* 北斗 Northern Ladle, also generally called the Big Dipper. Marshall thinks it is part of another piece of evidence for an eclipse hidden in Hexagram 55 because, he argues, the phrase *ri zhong jian dou* 日中見斗 (sun/middle/see/ladle) suggests that when the solar eclipse occurred it became so dark that one could see the stars making up the Big Dipper. Granted, if someone really did see those stars in the middle of the day we might indeed begin to suspect an eclipse, or something of similar magnitude, had occurred. But Marshall himself admits eclipse experts have pointed out that even in eclipse totality making out the Big Dipper in the sky would not be possible. He tries to get around this problem by saying that what is important is not what they might have seen, but what they thought they saw. Marshall never does explain how he could know what these people thought they saw. However, even if "seeing the Big Dipper in the middle of the day" is a reference to an eclipse during which some people thought they saw the Big Dipper, that in itself would still not prove King Wu or anyone in the city of Feng thought they saw it at the time Marshall says they did. That they could have seen it would be more likely if we could link the character *feng* to the city Feng and show *bu* meant "obscure" in the sense of an eclipse. But neither seems to be the case. Marshall's theory would also be strengthened if there was further collaboration that King Wu did, in fact, witness a solar eclipse before his final battle with the Shang. But Marshall offers no such evidence, not even from any of the many sources he worked with.

What else could the phrase mean? Is Kunst closer to the truth when he says *ri zhong* refers to the equinox, i.e., "day of middle length", and *ri zhong jian dou* means "At the Equinox we see the Dipper?" Marshall does not think so. [30] Still, I find it highly unlikely that this phrase was part of a record of an eclipse that King Wu witnessed.

Stripped of any reference to either the city of Feng or a solar eclipse that might have occurred there, the remaining questionable interpretations in Hexagram 55 also fall to the side. Marshall's translation of the hexagram text for 55 seems to be the most accurate of the five items from 55 that I have listed. [31] But even mention of "The King" in that hexagram text is not enough to buttress his translation of *fa* 發 in 55/2 as King Wu's personal name. With an unknown setting and no other contextual clues "The King" could be any king. Moreover, a translation of *fa* as King Wu is based on an understanding of *fu* 孚 as a "verification" which follows divination. But as is the case in most other places in the *Zhouyi* Text where it is found, *fu* originally more likely was a reference to some kind of captive [32] than it was to a verification. The fact that the character *fa* is replaced by *xu* 洫 (meaning ditch, moat, or to leak) in the Mawangdui Han Silk Manuscript version of the *Book of Changes* only gives further reason for pause.

Marshall's translation of 55/6, *san sui bu di* 三歳不覿 (three/years/not/seeing), faces similar difficulties. Clearly this phrase refers to not seeing someone or something for three years. But if the character *feng* is seen as a verb and not a noun, there is no need to bring King Wu into the equation, or the fact that his father had just died and he was entering into a three-year period of mourning—a custom, by the way, that some believe did not develop until later in the Zhou anyway.

Marshall refers to this general form of interpretation he is attempting in *The Mandate of Heaven* as reconstruction. I prefer to call it plug-and-play methodology. Very little direct evidence is involved. One reads through the text, looking for places that pre-determined ideas or theories might fit, plugs them in, and if they make sense, uses them. The *Book of Changes* actually lends itself relatively easily to such a methodology. Many have remarked that the success and longevity of the *Book of Changes* as a book of divination lie in the vagueness of the hexagram and line texts and how easily they can accommodate application to a variety of situations. The same thing can be said about interpreting their original meanings. All of which does not inspire much confidence in this kind of plug-and-play methodology, even in cases like Hexagram 55, where it seems there is a confluence of related evidence (i.e., multiple interpretations that appear to fit together). [33]

Conclusions

Translation Studies theory is not wrong. Culture is important. But when attempting to uncover the original meaning of ancient works like the *Book of Changes*, especially its *Zhouyi* Text, the focus must not be on the culture of the target language, but on the culture of the subject language. Because no matter how much one talks about the target language culture, and the influence it may have on the meaning of the subject text or the translator, a good translation begins with correctly understanding the material one is working on, and in the case of the *Zhouyi* Text that means looking back in time in an attempt to comprehend the cultural context in which it was created. [34]

Ultimately, translations like those found in J. S. Marshall's *The Mandate of Heaven* do not measure up to good translation (or good interpretation) because they fail to do just this. They take the short cut, one might say, by attempting simply to graft pre-conceived ideas and theories onto a generally vague and at times incomprehensible body of material. Actually, Marshall's approach and his results might be useful, but only as corroborating evidence for ideas and elements of culture that are really discovered in the Text. And it is this discovery where the emphasis must be—among individual translators but also in the field of *Book of Changes* translation.

As for the dispute between the traditionalists and modernists, it is a real one, and unlikely to go away until later textual materials can actually be shown to accurately reflect the reality of early Chinese civilization. Of course, this is unlikely to happen in any but a piecemeal way. But unless it does the path for the translator of ancient Chinese texts seems clear. Reading widely on a variety of topics—from new Chinese archaeological discoveries to careful philological and linguistic analyses—is a must if one wishes to uncover the original meaning of things. This is good advice for all translators, but especially for new translators whose native language is Chinese. Because in a world dominated by Western languages, in particular English, perhaps too much emphasis is being placed on these Western languages and the cultures of which they are a part.

Notes

[1] The *Book of Changes* consists of three chronologically distinct layers: omen and image texts with their appended prognosticatory phrases; moralizing (usually Confucian) commentaries on these texts, often within the context of *xiangshu* 象數 or *yili* 義理 interpretations; and philosophical pronouncements on the concept of change and the correlative system on which it is built. The first layer is part of the older *jing* 經 or Text portion of the *Book of Changes*, which consists mostly of the hexagram and line texts. (In this article I refer to these hexagram and lines texts as the *Zhouyi* 周易 Text [with a capital T].) The second and third layers make up the *Shi yi* 十翼 or Ten Wings.

[2] Some variations represent real differences in the text and are often the result of changes in characters or the use of phonetic loans. Remnants

from four versions of the *Book of Changes*—the Chu Bamboo Strips *Zhouyi*, the Mawangdui Han Silk Manuscript *Yijing*, the Fuyang Han Bamboo Strips *Zhouyi*, and the Han Xiping Stone Classic *Yijing*—highlight differences with the received version.

[3] This elliptical style is a reflection of both the language and function (i.e., a prompt book for divination?) of the earliest layer of the *Book of Changes*.

[4] Literally "ladle/spoon and sacrificial spirits (alcohol)".

[5] For example, the conclusion that dates the compilation of the *Zhouyi* Text to the reign period of King Xuan 宣王 (r. 827-782 B.C.E.) (Shaughnessy 1983: 49).

[6] I am not referring here to the intrusion of the translator's own culture into the translation process, nor even to the traditionalist's tendency to color ancient China in the shades of later historical periods, but to the simple practice of taking parts of the *Zhouyi* Text and making them fit into or correspond with pre-conceived beliefs or ideas.

[7] Unless otherwise pointed out, all Chinese characters in this article come from *A Concordance to* Yijing (1935)—though punctuation has sometimes been changed. These four translations are mine. I forego explanations on my translations (or comments on translations by anyone except Marshall) until a later date and a book I am working on titled *The Book of Changes: A Modern Interpretation and Adaptation*.

[8] These numbers refer to specific hexagrams and hexagram lines: e.g., 11/5 means Hexagram 11, Line 5.

[9] These two characters are now generally thought to have originally been *ming zhi* 鳴雉.

[10] Some of Rutt's translations seem based on Kunst's transcriptions of the *Zhouyi* Text using archaic Chinese pronunciations. Therefore, I use Kunst's translations in these four examples as representative of both (though there are a good number of differences).

[11] *Fu* 孚 read as *fu* 俘, “capture” or “captive”.

[12] *Ming* 明 read as *meng* 盟, “covenant”.

[13] *Sheng* 生 read as *sheng* 牲, “sacrificial livestock victim”.

[14] Some similarities between oracle bone inscriptions and yarrow stalk divination texts **are** apparent from a simple structural analysis. The former consist of a preface, charge, prognostication, and verification; the latter a line, omen or image, injunction, and prognostication. In addition, Marshall points out a handful of examples in which he shows similarities between hexagram and line texts and oracle bone inscriptions: the oracle-bone word “report” 告 in the hexagram text for *Meng* 蒙 4 (2001: 200, n. 57); the phrase “The Army perhaps carting the corpse, disastrous” 師或輿尸凶, found in *Shi* 師 7/3, which Marshall says reads like an oracle bone text (2001: 75); and “In the (next) ten days there will be no calamity” 旬無咎, a common formula in oracle bone inscriptions, seen in *Feng* 豐 55/1 (2001: 69). He also notes references to both “yarrow stalk divination” 筮 and “report” 告 in Hexagram 4, something suggestive of a mixing of traditions (2001: 199-201, n. 57). However, to believe oracle bone inscriptions and yarrow stalk divination texts are similar or related is not enough to prove a particular set of oracle bone records was the material from which *Zhouyi* yarrow stalk divination Texts were directly molded (as Marshall appears to be saying).

[15] Actually, Marshall does not give formal translations for all of these examples. Sometimes he just “interprets” their meaning in general terms. In addition, sometimes he interprets or translates only part of a hexagram or line text. I put Marshall’s exact translations within quotation marks and then translate for him those parts he has only loosely interpreted, mentioned simply in passing, or left out. I also add information inside brackets to show (a) how Marshall thought King Wen (or an earlier member of the royal family) fit into the hexagram or line texts, and (b) how Marshall interpreted in greater detail what on the surface seem to be

at best vague references.

[16] According to Marshall's calculations, the divination was carried out on *jiayin* 甲寅 day of the Shang ten-day week, day 51 of the sexagenary calendar. The fasting began after *gengxu* 庚戌 day of the ten-day week, day 47 of the sexagenary calendar, and three full days before *jiayin*. The fasting ended three days after *jiayin*, whereupon, on the fourth day, *wuwu* 戊午 day of the ten-day week, day 55 of the sexagenary calendar, they crossed the river.

[17] Again according to Marshall's calculations, the divination was carried out on *gengshen* 庚申 day of the ten-day week, day 57 of the sexagenary calendar. The fasting began after *bingchen* 丙辰 day of the ten-day week, day 53 of the sexagenary calendar, and three full days before *gengshen*. The fasting ended three days after *gengshen*, whereupon, on the fourth day, *jiazi* 甲子 day of the ten-day week, day 1 of a new sexagenary calendar cycle, they entered into battle.

[18] Though I must admit it is not always clear from his notes whether Marshall has read and is quoting original source materials or translations of them. And sometimes he gets so caught up in all the different sources he is using that he wanders from his main arguments.

[19] In fact, Marshall just says that 1/3 is "reminiscent" of how King Wen felt and acted (2001: 172, n. 29).

[20] Something also seen in line 18 above.

[21] In oracle bones *yu* seems to be used mainly as a preposition (to, in, etc.) before people, places, or time: "Cracked on *gengshen*, divined by the King: a *you* sacrifice to Mother Xin, the tenth month" 庚申卜，王貞：其又於母辛十月 (*Jian* 戩 7, 8); "*Yiwei*, cracked by Yu: in the ninth month there will be an undertaking" 己未，余卜：於九月又史 (有事) (*He* 合 281). And the first sign of the use of *yu* as the verb "to go" or "to proceed" seems to be in the *Shi jing*: e.g., "The peach tree is young and fresh, brilliant are its flowers; this young lady goes in marriage, suitable is she

for the chamber and home" 桃之夭夭，灼灼其華，之子於歸，宜其室家 (1985: 1.11a). In 13 *yu* seems to be used like such a preposition, not a verb (the same can be said of 2/6). However, for Marshall *yu* must mean "to proceed to", not "in", otherwise crossing the Yellow River would make no sense, as they would have already crossed it and be in the Wilds of Mu.

[22] Qu Yuan's (340-278 B.C.E.) *Tian Wen* 天文 says King Wen's "body was carried into battle" 載尸集戰 (1980: 3.34b). Though a live impersonator is also sometimes said to have been substituted for the dead person, Hong Xingzu's (1090-1155) commentary of the *Tian Wen* quotes from Sima Qian's (145-86 B.C.E.) *Shi ji*, which says that after "arriving at Meng Jin a wooden tablet of King Wen was made, carried on a cart, and placed among the soldiers" 至於盟津為文王木主載以車中軍 (then apparently carried across the Yellow River) (Qu Yuan 1980: 3.34b; Sima Qian n.d.: 4.120). Marshall mentions these sources (2001: 74-77), but they do not really prove his translation in 7/5—"The elder brother leads the Army, the younger brother carries the corpse"—is referring to King Wu, Kang shu, King Wen, and the battle with the Shang. Marshall does mention an anecdote in the *Kang Gao* 康誥 section of the *Shang shu* where King Wu is called "elder brother" 兄 and Kang shu is called "younger son" 小子 (*Shang shu* 1985: 13.21a-24a). This is similar to what is actually mentioned in the Chinese for 7/5—長子 meaning "eldest son" and 弟子 meaning "younger son"—so Marshall concludes it is enough to connect at least King Wu and Kang shu to 7/5. Still, even if Marshall is on to something here, which I question, King Wu is said to have had eight other younger brothers, so why the "younger brother" of 7/5 would have to be Kang shu is not clear.

[23] Marshall is referring to a quote from the spurious *Wu cheng* 武成 section of the *Shang shu*, a reference to which can also be found in the *Mencius* 孟子—thus proving, to Marshall's satisfaction, its ancient age: "I conquered

the East, pacifying the men and women. Their men and women placed yellow and black [silk] in square bamboo baskets, honoring our Kings of Zhou" 肆予東征，綏厥士女。惟其士女，篚厥玄黃，昭我周王 (*Shang shu* 1985: 11.6b).

[24] The poem is: "The wheat spikelets are bearded, the millet shines. That cunning boy, was not good to me" 麥秀漸漸兮，禾黍油油。彼狡僮兮，不與我好兮 (Sima Qian n.d.: 38.15). However, as can be seen, the relevant term used in the poem is more akin to "cunning boy", and different from Marshall's translation of the *Zhouyi* phrase 童蒙, i.e., "deceitful boy".

[25] The Mu shi 牧誓 section of the *Shang shu*, where it says "The time was the *jiazi* day at dawn. In the morning the King arrived at the Wilds of Mu on the Shang border, and harangued [his troops]" 時甲子昧爽王朝至於商郊牧野乃誓 (1985: 11.4b); and the Li gui 利簋 (bronze vessel), unearthed in 1976, which states "[King] Wu attacked Shang, on the *jiazi* morning ..." 珷征商，唯甲子朝…

[26] Functioning like a stative verb that when translated into English comes out as a predicate adjective.

[27] Actually, it is not clear exactly how Marshall is reading these six characters from 55/6, as he also uses the word "from" in his translation. This suggests his translation of them is more free than literal. Based on his apparent understanding of them, however, it would almost make more sense for Marshall to translate 豐其屋蔀其家 as "King Wu's living quarters in Feng, they screen off his family".

[28] *Feng* could be the stative verb, "Full is", though it could just as easily be the transitive "Making full". I see *bu* in 55/6 as transitive, "screens", and do not like it as the stative, "Screened is". Actually, if one wanted to make these line texts completely parallel with the paradigm cases of Hexagrams 31 and 52, all these verbs from 55 would be seen as transitive. This is what Shaughnessy has done (1998: 99).

[29] Unless he is going to translate *feng qi bu* 豐其蔀 as something like "Full is its eclipse", which I do not think he wants to do, as it would eliminate the need for the setting to be the city of Feng.

[30] Though Kunst does seem to do a better job of translating what some refer to as the calendar constants found in 55: *bu* 蔀, the Seventy-six Year Callippic Cycle, and *zhang* 章 (found in 55/5, but not listed in this paper), the Nineteen Year Metonic Cycle (Kunst 1985: 348-349; Marshall 2001: 65-66, 185-186, n. 41).

[31] Even though Marshall's translation of 之 as "Ancestral Temple" and 勿憂 as "not mourning" lacks any direct evidence.

[32] See 17/4 above.

[33] Frankly, I have many problems with Marshall's interpretations. I am skeptical even of the minimum story he comes up with surrounding the chronology for the Zhou conquest of the Shang. It all seems just too neat and orderly, with the confrontation between the "good" Zhou and the "evil" Shang more like an embellished story that was created after the fact by the conquerors.

[34] This still leaves open the possibility of multiple interpretations of the *Zhouyi* Text, depending on the stage in the development of the *Book of Changes* that the *Zhouyi* Text is looked at from. For example, the original meaning of the hexagram and line texts during the Early Zhou is going to be different from their perceived meaning in the "Philosophy of Change" that developed as part of the *Book of Changes* (in the Ten Wings) during the Warring States period. One might even argue that the same can be said of the various interpretations and commentaries found in later periods. What period or philosophical view point one is basing one's translation on, therefore, must clearly be stated.

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報　告

關於翻譯的全方位研究的思考

——從 Salzburg Global Seminar on Translation Studies 說起

羅選民

我們常見的翻譯研究，是純學術性的，議題大都從不同的學術視角出發，研究翻譯的本質、過程、特點與影響。這些議題可以是宏觀的或微觀的，技術的或方法的，論證性的或操作性的。譯家或作品，流派或經驗，口譯或筆譯，無不包括在其中。這似乎構成了一幅翻譯研究的全景圖。但在奧地利薩爾茨堡召開的關於翻譯研究研討會（Salzburg Global Seminar on Translation Studies）告訴我們，翻譯研究僅僅局限在學術討論還不夠，它應該還是跨學科的，行業互動的和全球性的文化交際行為。只有這樣，翻譯學科才能發展；只有這樣，翻譯的創造和批評功能才能得到加強。

一、關於薩爾茨堡研討會

“Salzburg”在德語中是“鹽堡”的意思。奧地利的 Salzburg 是莫札特的故鄉，電影“音樂之聲”的拍攝地。這兒有一個紅衣

主教的莊園，二十世紀四十年代，被幾位美國人買下來，作為一個全球論壇的基地。對此，復旦大學網頁有如下介紹：

> The Salzburg Seminar（薩爾茨堡研討會）是一個美國的非盈利組織。它每年邀請來自全球各地的政治、經濟和商界的未來領袖，就經濟、政治及其他領域的問題舉辦一系列的研討會。該組織的宗旨是“激發當今和未來的領導人為解決全球性的問題提供創造性的建議”。

研討會的舉辦地——Schloss Leopoldskron——是一座迷人的洛可哥式的宮殿，位於奧地利的旅遊勝地薩爾茨堡，地處阿爾卑斯山麓，湖光山色，風景絢麗。薩爾茨堡素有“音樂之都”的美譽，也是“音樂神童”莫札特的故鄉。

The Salzburg Seminar 成立於 1947 年，由三個哈佛大學的畢業生創辦。當時創辦人的理念是將歐洲各領域的領袖人物聚集在一起，治癒第二次世界大戰造成的創傷。今天，The Salzburg Global Seminar 已經發展成為一個世界知名的討論全球問題的論壇。

至今，薩爾茨堡研討會已舉辦 480 餘期，[1] 但從其 1947 年建立至今，每年不過召開幾次而已，但其影響十分重大，為各國政府高層科研機構所關注，甚至積極參與並贊助。[2]

二、2009 年薩爾茨堡全球研討會 第 461 期翻譯專題研討會

2009 年 Salzburg Global Seminar 全年共有九個專題研討會，翻譯專題研討會（第 461 號）是該年度的第一個，也是薩爾茨堡全球研討會有史以來的第一個翻譯為主題的研討會，時間為 2 月 21 日至 26 日。會議語言為英文，討論的主題是：Tradutore Traditore? Recognizing and Promoting the Critical Role of Translation in a Global Culture（翻譯抑或叛逆：認識和加強全球文化中翻譯的批評功能）。

參加研討會的共有 50 人，來自幾個管道：（一）特邀發言代表。如 Peter Bush，著名學者、作家、文學翻譯家，與 Susan Basnett 合編 *The Translator as Writer*，2008 年由 London/New York: Continuum 出版，獲得過 Valle-Inclcan 文學翻譯獎，曾經在 Middlesex University 和 East Anglia University 任教授，並在那兒主持英國文學翻譯中心工作；又如瑞典斯德哥爾摩大學的馬悅然（Göran Malmqvist）教授，是著名漢學家和翻譯家，瑞典皇家科學院諾貝爾文學評獎委員會委員；（二）國際學會和基金會負責人。如 Caroline McCormick，是國際筆會的執行主席，掌握聯合國相關經費的分配權，所以，讓她知道翻譯的現狀和重要性很有必要；John Balcom 教授（曾師從美國著名學者、翻譯家葛浩然 [Howard Goldblatt] 先生），美國文學翻譯學會會長，本次論壇的主席之一；現任國際譯聯主席，來自南非 Marion Boers 女士；[3] Catherine Porter 是當代語言學會新當選會長，康耐爾大學訪問教授。（三）翻譯家與學者。如肯雅的 Wangui Wa Goro，具有肯雅

和英國雙重國籍，是著名的翻譯家、翻譯批評家，大部分時間住在倫敦，將俄國普希金和一些著名英美文學家的作品翻譯成肯雅文；Josep-María Terricabras，西班牙 Giron 大學主講現代思想／哲學的 Ferrater Mora 講座教授。（四）記者，編輯，出版家，網路管理者。如來自三藩市的 Olivia Sears，是美國藝術翻譯研究中心創建者，*Two Lines* 雜誌的創辦人，詩人與翻譯家；Boyd Tonkin，乃英國獨立報文學欄目主編，作家；John O’Brien，是美國伊利諾大學 Dalkey Archives Press 總編，等等。有些學者並不從事翻譯，但其工作涉及翻譯問題，如參會者之一的 Stephanie Lawrence-White，是一位元音樂博士，現從事音樂教育工作，研究翻譯與音樂的傳播與衍變問題。

在所有的 50 人代表中，又分為邀請代表和申請代表。前者由研討會提供研究經費，後者需提交申請材料和選題報告，通過專家評審後再發出邀請，但需要自己支付會議六天間的所有費用。不管邀請還是申請，一旦入選，便是 Fellow of Salzburg Global Seminar，可以長期分享 Salzburg Global Seminar 的網路資訊資源。

本次會議比較注意代表的地域分佈性。50 名代表來自幾大洲的幾十個國家。代表的專業背景也是多元化，大約一半來自大學和研究所，一半來自基金會、出版機構、文化機構、學術組織；大約有一半的代表做翻譯或翻譯研究，一半是其工作涉及翻譯或與翻譯政策相關。在從事翻譯或翻譯研究的代表中，前者佔壓倒性多數。一言以蔽之，會議代表的挑選與確定緊緊圍繞着研討會的四個議題——教育過程中的翻譯，如何影響出版界？如何獲取個體贊助和公共贊助？在提升文學翻譯方面翻譯家和他們的學會組織能做些什麼？這樣就能夠充分保證會議組織者的精心策劃與

設計能夠得到最大程度的實施。

本研討會的經費主要得到了愛德華 T 科恩基金會（The Edward T. Cone Foundation）的資助，不足部份由美國安德魯－梅隆基金會（The Andrew W. Mellon Foundation）和日本財團（The Nippon Foundation）提供。

三、翻譯的全方位研究

Homels 的翻譯研究路線圖，勾勒了作為翻譯學科的有機結構，為翻譯做出了重要的貢獻。但翻譯如同產品一樣，如何得到社會的贊助？如何得到社會的認同？如何推動社會的進步？如何在全球文化的構建中發揮作用？對翻譯家角色的認同？等等，這一些不能在 Holmes 的翻譯研究路線圖中得到答案。而 Salzburg Global Seminar 第 461 號研討會要做的，就是這樣一種綜合性的研究開發模式。

會議代表共分成四個小組，討論四個不同的專題：

（一）教育過程中的翻譯（Translation in the Educational Process）。要點有：大學本科和研究生的課程設計裏應該開設翻譯課程；教師在授課中，當學生在翻譯中讀到外國作者時，應該就該作品如何被翻譯的事實進行點評；翻譯文學應該引入初中和高中文學選讀課程之中，引入到初高中教師的培訓課程之中；教育結構應該與一些相關的文化機構如地方文化中心，翻譯中心，個體圖書中心及網路中心等建立聯絡；大學的科研應該承認和接受文學翻譯和學術著作翻譯，並在不同的評審中得到認定。

（二）如何影響出版界？（How to Influence the Publishing World?）在基於上述事實的討論時：需要對美國和英國市場的出版商與在歐洲和世界出版商之間的巨大差別給予注意並施加影響；除了增加出版的翻譯數量外，另外一種影響出版界的方法是讓出版商的翻譯出版事業更加富有成效。所以，擴大翻譯作品的銷售層面與增加翻譯作品的出版數量一樣甚至更加重要。另一個關心的問題是可持續發展與發現那些可以促進出版和提升未來文學的行為。概言之，三個問題：出版商的資訊，資助和資金問題，讀者的發展。三者相互依存，相互發展。缺少那一個方面，都會給翻譯事業帶來不良影響。

（三）如何獲取個體贊助和公共贊助？（How Can We Make the Case for Private and Public Sector Funding?）獲得基金贊助的理由：翻譯帶來全新的文化體驗，翻譯帶來了不同文化的理解和容忍；翻譯帶來了商業利潤；翻譯帶來自由清新的語言表述，因為翻譯能在全球性不等對話中發出了重要的聲音；翻譯豐富了文學交流和本土作家的創作。一些發達的歐洲小國如挪威、芬蘭，對此有深刻的理解。挪威前翻譯學會會長 Elinor Kolstad 女士在發言中提到，挪威是一個只有 38.5 萬平方公里，480 萬人口的國家，在該國每年的出版物之中，寫作佔百分之十，翻譯佔百分之九十。她意味深長地說，如果僅僅依靠挪威語來進行閱讀，該民族的文化和思想就會被窒息而死；翻譯讓一個國家、一個民族融入世界，得到最大的營養。

（四）在提升文學翻譯方面翻譯家和他們的學會組織能做些什麼？（What Can Translators and Their Associations Do to Promote Literary Translation?）在探討這個問題時，譯者的法律與經濟狀況

問題首要地提出來。代表認為，合同要保證翻譯者的合法收入，版權必須與一個國家的合同法相關；需要強勢的翻譯學會和團體來保護翻譯者的合法權益。譯者應該現身，譯者常常隱藏在作者的背後，甚至處在作者的陰影之下，這種情況應該結束。因為譯者能夠讓一部文學作品獲得新生，所以譯者的地位應該得到彰顯。遺憾的是，在許多國家，學術團體沒有可行的方法來提升譯者的可見度，甚至沒有能力來保護譯者的合法權益。文學翻譯家的真正的交流，如建立相關的網站，促進翻譯家的交流，文學翻譯團體的作用體現等，都得到了不同程度的討論。當然，代表們也認識到，不同的國家有不同的法律，所以沒有一個唯一和簡潔的解決方案或思路——但必需要有對策和適用的解決辦法。

整整五天的討論，白天分組，晚上有時還集中交流，只有一個下午安排自由活動，其他時間都排得滿滿的。在會議結束的宴會上，馬悅然先生作為資深學者對會議做點評，北京清華大學羅選民教授與一位美國教授被推選發言，代表所有與會者對會議主席和會議主辦方祝酒並表示感謝。

四、對中國翻譯的啟示

（一）翻譯與社會的聯繫

翻譯必須與社會聯繫，這是 Salzburg Global Seminar 給所有會議代表的一個啟示。良好的翻譯生存狀況必須靠翻譯者自己來創造；如果譯者僅僅關注翻譯的內部行為，那我們的翻譯作用和功能就不能得到最極致的發揮。最近幾年，中國翻譯協會在翻譯

外部做了不少的工作，但他們的努力並沒有得到所有學者的充分認可和欣賞。也許，這是因為我們在方法上還有改進的餘地，翻譯和翻譯研究的外部與內部行為需要得到更加有機的結合。

翻譯與社會聯繫，就不可忽視翻譯法律問題。拿翻譯公司來說，僅北京就有上千家。從另一個角度來考慮，這表明翻譯具有廣泛的市場，具有強大的社會服務功能。但什麼人具有開翻譯公司的資格（合法性問題）？這恐怕是一個嚴重的問題。據筆者所知，不少翻譯公司實質上就是一個夫妻店，譯員來自各大學的學生或滯留在城市的大學畢業生。一些甚至達數萬字的翻譯，最終以品質不過關而拒付稿酬。翻譯合同簡直就是一個霸王條款，這類霸王條款甚至被一些有頭面出版社的編輯拿來使用。這就引發另外一個問題：誰來鑒定翻譯的優劣（品質問題），誰來保證譯者的水準問題。即便今後高校培養大批的 MTI（翻譯專業碩士），如果沒有法律政策的制約，少數翻譯公司還是可以雇傭廉價的譯工，甚至以品質不夠為藉口大肆進行剝削。

翻譯與社會聯繫要從多角度去思考。報刊可以設翻譯專欄，出版社編輯可策劃翻譯項目，如兒童歌謠的翻譯與教學。隨着社會的發展，可以鼓勵個體公司組織翻譯和出版能推動社會進步的出版物，自負盈虧。社會就像一個網路，翻譯行為受到種種限制。如何解放翻譯的生產力，這是擺在我們面前的一個重要課題。

（二）翻譯與其他學科的關係

在 Salzburg Global Seminar 上，一些音樂教育家，文化工作者也被邀請作為會議代表。這一事實說明翻譯不僅僅是文字的，

它有時是立體的，是文字、音樂和舞蹈的結合。如莎士比亞的劇本，如果按照朱生豪的譯本，它是被讀的。但事實上，在莎士比亞時代，其劇本是來觀賞的。其臺詞是詩體，而且琅琅上口，便於舞臺表演。掌握這些基本特徵，那我們就能理解到，僅僅閱讀莎士比亞的英文劇本來做翻譯是遠遠不夠的。於是又出現孫大雨、卞之琳、梁實秋等人的譯本。臺灣學者蘇其康是中世紀英國文學專家，為了研究莎士比亞的劇本，他多次去倫敦，觀賞莎士比亞時期的演劇，[4] 從而去發現文字中讀不到的東西。

又如漫畫的翻譯。德國 Leipzig 大學 Heike Elisabeth Jungest 從三個角度對日本漫畫在德國的翻譯做出分析：（1）語言。日文使用平假名和漢字，給德語留下空間不大，翻譯時，往往需要重新設計版面，常將擬聲詞嵌入圖片，譯者還會刻意保留日文，以營造獨特的異國風情，從而獲取“仿造式原味”；（2）文化。漫畫具有獨特的文化內涵，譯者要充分認識這一點，即譯者的影響力既遜於出版商又遜於讀者，所以不能彰顯翻譯的痕跡；（3）編排。需要精心設計，讓漫畫給譯者提供一個與讀者互動的平台和最具創意的翻譯場域。

翻譯與跨學科研究的關係已為大陸學者注意。早在 2002 年，清華大學就召開了首屆清華－嶺南翻譯學術研討會，主題是“翻譯與跨學科研究”，2004 年第四屆亞洲翻譯家論壇的主題是“翻譯－認知與跨學科研究”，2007 年上海交通大學召開了翻譯與跨學科研討會，有關的叢書也相繼出現。[5] 2009 年由眾多學者精心打造的 *Translating China* 一書由英國 Multilingual Matters 有限出版公司出版，應該是翻譯跨學科研究的一項新成果。

（三）學術贊助與翻譯的發展

在國外，不少翻譯學會與基金會有聯繫。如美國的 Pen Association，每年獎勵少數好的譯者和譯本。通常一個譯本可以獲資助 5,000 美元，譯本出來後，前期稿酬收回以沖掉資助經費。但如果譯著賣得不好，資助不需償還。

國內在召開一些國際會議時，常常為邀請國際知名學者做主題發言專家一事而捉襟見肘。在西方，在歐洲，一些翻譯學會遇到這樣問題，就會找航空公司作為贊助，提供國際專家的往返機票。在中國，會議資助主要來自學校，極少數來自省市和教育部；公司在這方面的參與極少。

翻譯的發展離不開宣傳。圖書展：西方的學會在召開國際會議時常常會開設翻譯圖書展，充分利用會議的機會來展示翻譯家、翻譯研究者的作品。這一點，值得中國學習和借鑒。香港在這方面相對做得好一些，有比較成功的經驗。如 2006 年香港中文大學舉辦的翻譯研討會議，邀請的國際學者不僅有照片介紹，還有展示作品。此外，出版社也有專業書刊在會議期間出售。

翻譯獎是加強文學翻譯批評功能的策略之一。在大陸，有韓素音青年翻譯獎，臺灣有梁實秋翻譯獎，香港有宋淇翻譯獎，這些獎項旨在獎勵後學，提攜新人。但華文社區還沒有出現一項足以影響到多邊區域的國際獎項，這恐怕是我們今後需要考慮的事情。

（四）從世界性看翻譯學科的重要性

在歐洲等西方國家，翻譯作為一種職業，相對規範。如報刊雜誌有譯文，作者的名字一定出現；在電視臺的視播節目裏，播

出內容如經過翻譯，一定會注明編譯者的名字。從某種意義上說，這是譯者合法登場的表徵。在大陸，教育部對翻譯學科和翻譯專業的碩士進行了調整，在不到四年的時間裏，大陸幾十家大學招收 MTI（Master of Translation and Interpretation）作為專業碩士學位，其性質與法學碩士、工商碩士相同。這是翻譯融入世界的一種表現。這一做法對過去那種對翻譯理論的關注勝於對翻譯實踐的關注，對西方的關注勝於對本土的關注，對外譯漢的關注勝於對漢譯外的關注，必將帶來極大的衝擊。接下來的是翻譯學科更加蓬勃的發展。大陸的翻譯學術碩士和翻譯專業碩士的發展會不斷趨於平衡。

翻譯可以將一個國家的文化和文學帶向世界，中國文化的對外交流還需要大力提高，中國的文學作品需要更多地推向世界，翻譯與其他學科的互補關係需要得到加強。歷史證明，當一個國家的翻譯的事業發展時，其經濟、文化、思想建設都可以得到大力發展。也許正是因為這一原因，Salzburg Global Seminar 在新世紀舉辦了翻譯專題討論，其理論和實踐意義必然是深遠的。

* 筆者有幸獲 2009 年 No. 461 Salzburg Global Seminar Fellowship，作為邀請代表參會。謹在此鳴謝！

注　釋

[1] Salzburg 研討會每年僅召開幾次，時間由原來的兩周到如今的一周左右，每期研討會都有專門的議題和編號。一些國際研究機構和高校可以在此租借場地召開高層會議，如清華大學曾與美國等十所高校就 2008 奧運會的新聞報導在 Salzburg 舉辦過專門研討會，但這些會議

不屬於 Salzburg Global Seminar 系列。

[2] 中國社會科學院的單繼剛研究員——《翻譯的哲學方面》的作者參加了這次研討會。據告知，中國社會科學院與 Salzburg Global Seminar 關係十分緊密，常派學者參加 Salzburg 不同的專題會議。

[3] 國際譯聯第一副主席黃友義先生也接到會議邀請，但因參加中國國內重要會議而缺席。

[4] 在倫敦泰晤士河上有一座紀念戴安娜的行人橋，因為它建於 2000 年，故稱為千禧橋。在橋南端的西側是泰特現代藝術館，東側是莎士比亞全球劇院（Shakespeare Global Theatre），該劇院按照莎士比亞當年的建築原樣設計，連演出的服裝道具亦如此。演員說唱不用麥克風，劇院沒有燈光投影，觀眾與演員距離很近。

[5] 清華大學出版社“翻譯與跨學科研究系列叢書”目前已出書十種。

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羅選民，清華大學教授、人文學院學術委員會會員、外語系學術委員會副主任、翻譯與跨學科研究中心主任、博士生導師，有著譯十餘本，在國內外重要刊物上發表論文六十餘篇。

BOOK REVIEW

Reconceptualising Translation: Tymoczko and the Radical Inclusive Approaches to Translation *

Shao Lu

Maria Tymoczko. *Enlarging Translation, Empowering Translators*. Manchester: St. Jerome, 2007, pp. viii + 353. ISBN: 1-900650-66-3.

Paradoxically, although Maria Tymoczko grew up in the Anglophonic world, and although her language and outlook are Western, she is one of those to have explored moving beyond dominant Western discourses about translation. The publication of Tymoczko's recent book *Enlarging Translation, Empowering Translators* is an answer to her calling for a move beyond Eurocentric conceptualisations. The seemingly subjective introduction predominantly features a very detailed personal account (as she begins her book by telling her own story) which sets a trend for an amalgam of anthropology, ethnography and translation studies. It gives the reasons why her thinking about translation has been formed by practices and experiences that stand at the margins of dominant Western ideas. She argues that translators and translation scholars will do well to borrow some of the emerging practices of anthropologists and ethnographers by prefacing their scholarship on translation with some account of their own formations, their views of language, their experiences of and attitudes towards cultural difference, their political loyalties, to name just a few, such that their positions on translation can be more adequately assessed by readers.

In this latest book, Tymoczko calls for more inclusive approaches to translation, including a greater internationalization of the field. She discusses the implications of an expanding and open definition of translation for research methods, charting future approaches to translation studies. These enlarged views of translation are then linked to the empowerment and agency of practising translators. Deeply influenced by Murphy (2002), Tymoczko forgoes using italics or a special typeface to distinguish the concept of translation from the category or activity of translation. In spite of presenting a uniquely personal introduction, she distinguishes the intercultural conceptions of translation, which should be at the heart of translation studies, from the local understanding of translation in the English language by prefacing the English word *translation* with an asterisk in order to highlight the cross-cultural understanding that translation studies must move toward: *translation. Interestingly, while she realises "this usage may be distracting to some readers" (59), she insists "perhaps that is all to the good" (*ibid.*). In her view, her usage of "*translation" is a way of reminding people (including herself) of the necessity of defamiliarising (or foreignising) the concepts currently used in translation studies. Throughout the book, Tymoczko repeatedly reminds readers that as translation studies emerges as a global field, it becomes increasingly essential to interrogate the basic premises and assumptions that underlie the things everyone thinks they know about translation. Similarly, these terminology problems in designating cross-cultural social concepts are discussed by Hermans (1995: 220-222), who opts for "*translation*$_2$" to designate what he calls the "supralingual category". Also, acknowledging the problems of terminology, Paker (2002: 128) observes that it is nonetheless possible to have a multilingual scholarly conversation about the meaning of translation internationally. All these observations of defining translation, as I see it, are associated with the popular dictum in contemporary literary studies that the task is not to solve the problems but to problematise the solutions.

After briefly tracing currents through the various developments and schools of translation studies in the second half of the twentieth century in Chapter 1, Tymoczko offers a response in Chapter 2 towards García-Landa's (2006: 435-444) attack on her way of defining translation. While giving no clear statements or traces of hints of fighting back, Tymoczko deploys the same title "Defining Translation" as the title of García-Landa's article "On Defining Translation". García-Landa (*ibid.*) criticises Tymoczko's intervention in the plenary session of the International Conference "For a Proactive Translatology" celebrating the 50th META Anniversary for her observation on the principal trajectories of research in translation studies. Tymoczko observed an apparent lack of an agreed definition of translation and, what is more, "such a definition is impossible because translation, like the concept game discussed by Wittgenstein, is an open concept" (1998: 654-656). In Volume 50, no. 4, December 2005 issue of the journal, Tymoczko traces some "Trajectories of Research in Translation Studies" and the first trajectory is related to the difficulties, even impossibility, of defining translation. By confessing he was perplexed with the way Tymoczko quotes those remarks by Wittgenstein (for Wittgenstein always uses the expression "language game" or "Language games" whereas Tymocko separates those two words and speaks of "game" and then of "language"), García-Landa (2006) tries to show that it is perfectly possible to define translation if you look at it, not from the viewpoint of "Translations Studies" aka *Traductologie*, but from the viewpoint of philosophy. However, Tymocko's implicit counterattack against García-Landa's criticism in this chapter seems a little far-fetched because although the application of fuzzy logic to *translation might be very instructive and might have much to offer the discipline of translation studies, she has given hardly any more detailed analysis at this point and only directs readers to Cronin (2003) and Lakoff (1987) in footnotes. Admittedly, fuzzy logic delineates some blurred boundaries of *translation and within a cluster concept approach, ensures the flexibility needed for defining translation by all cultures; it also allows for an inclusive framework for understanding the typologies of translation and the relationships between only marginally overlapping types of translations. However, as fuzziness facilitates the openness of the concept of *translation and a lack of precise boundaries, it also allows translation methods and techniques to adapt to diverse translation practices (Shao 2008). In re-thinking the trajectories of translation research in the future, Tymocko suggests that "the task of defining translation is not finished and that it will continue to be a central element of translation research in the foreseeable future" (53).

In the second half of the book, Tymocko's enlarged views of translation are linked to the empowerment and agency of the translator. Improved ideological frameworks for translation, new paradigms for the translation of culture and new ways of incorporating contemporary views of meaning into translation followed from the expanded conceptualisation of translation; all serve as a platform for empowering translators and promoting activist translation practices. This book has received some quick responses after its publication. Drawing on Tymoczko's theory of activist translation in this book, Guo (2008) addresses the issue of translators' active agency in social and political changes. More specifically, using the examples of two Chinese translators and their activist translation activities during the Chinese communist movement from the 1920s to 1930s, Guo argues for a broader definition of the concept of the translator, one that sees the translator as a social being participating in variant power relationships that can considerably enhance the translator's active agency in conflicting situations. By touching on translators' social agency, Guo also examines the debate on human nature and social class among a handful of Chinese translators during the communist movement and argues that translators' different positioning in society has direct relevance for their varying perceptions of their social roles. Extensively influenced by Tymoczko's work, Guo observes that no matter what their political, ideological stances are, the key for translators to empower themselves and stand up for their beliefs in adversity is to activate their reflexivity—the ability to reflect not only on their own positioning but on the limits and boundaries imposed on their self-perception.

A notable sign of the internationalization (or de-Westernization) of this book is the frequent citations of scholars outside Europe and North America. For instance, it makes many references to Chinese scholars' works like Eugene Chen Eoyang (1993), Elsie Chan (2002), Lin Kenan (2002), Martha P. Y. Cheung (2002; 2005; 2006a; 2006b), Leo Tak-hung Chan (2004), Eva Hung (2005a; 2005b; 2006), to name just a few. Clearly, Chapter 1 initially grew out of the opening lecture of a series on "Western Translation Theory" presented to the M.A. Translation Programme at Tianjin Foreign Studies University (China) in 2000.

Throughout the book, Tymoczko recurrently argues that translation studies must de-Westernise its perspectives on the nature of translation processes and products, reconceptualising many of the fundamental assumptions of the discipline. However, what does *Western* really mean at this point in time? In many respects Western dispositions and practices no longer have a locus—they have escaped their traditional boundaries and cultures. Obviously what is Western cannot be identified merely with Europe or the US or countries around the world that use European languages. Take Hong Kong for example. It often takes the lead in Westernization within the Chinese world. This gives rise to the following questions: Is a language determined by mutual intelligibility between its users? Are borders between languages defined by their lack of mutual intelligibility? If so, does that make Putonghua, Cantonese and Sichuanhua different languages since they are not completely mutually intelligible? Is "Chinese" actually a cluster of languages instead of a single language?

Most chapters in Tymoczko's book have grown out of the author's presentations at CETRA, VIII Encontro National de Traductores in Bel Horizonte, Brazil, and other venues. Therefore ideas in most parts may not be entirely new. In a sense those parts can be seen as a survey of translation studies diachronically and synchronically. Yet in contrast to other parts, Chapter 4 is new because it introduces a "scientific method" from the perspective of postpositive epistemology. It points out, quite rightly, that "the task of translation studies is not to take up a research methodology from another discipline or to develop a single approach to research, but rather to define methodologies appropriate to its own subject matter that will nonetheless retain the basic characteristics of research, namely measurement, verifiability, and replicability" (145).

In a way Tymoczko is not exactly opposed to a Western or an Eastern point of view. Rather, she wants to combine the two. In other words, she is not arguing against the view of translation as transfer *per se*, but rather questioning exclusivist thinking about translation in Western terms. She is arguing for a "biodiversity of the mind" (325). What she is not really happy about is not Western approaches to translation. What she wants is to reaffirm difference and variation, and to use them to reconceptualise the discipline of translation studies as a whole. To my understanding, the central idea of the book is that inclusivity and complementarity rather than exclusive assertion or rejection of any particular tradition of thinking is not only essential for thinking about translation, but also vital for other cluster concepts associated with human life and human well-being.

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