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# 翻譯季刊

*Translation Quarterly*

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The Hong Kong Translation Society

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## 編者的話：

本期共收錄六篇研究論文和兩篇書評，內容涉及口譯、中國文學外譯等，研究方法有實證研究、定性研究等，內容豐富。

目前對科技輔助口譯的研究，尚付之闕如。張其帆和李天韻透過實驗，探討自動語音識別科技（ASR）所生成的來源語字幕是否能提高同步口譯表現。實驗對象為 24 名已完成同步口譯訓練，母語為普通話的碩士生，實驗材料為帶口音講話和 ASR 生成的英文字幕。分析的數據包括口譯目標語的準確度和流暢度矩陣、實驗對象主觀感受的 Paas 量表、實驗後採訪。結果顯示，ASR 生成的字幕有優點也有缺點，一方面提高了目標語的準確性，但另一方面卻妨礙了口譯的流暢性。鶴田知佳子探討了日本電視同傳的現狀並試圖說明近年來出現的新趨勢及其影響。文章通過英日和日英同聲傳譯的例子討論了電視同傳獨有的特點和挑戰，指出時間限制和保持聲畫一致被認為是電視同傳的兩個獨有的特點。作者通過觀察得出，雖然電視同傳的內容在變化，但口譯員所面對的挑戰是不變的，例如正確地傳達資訊、吐字清晰以及保持悅耳的聲音。使用人工智慧來根據口譯者的口頭翻譯生成字幕被認為是一種回應觀眾需求的方式，因為觀眾希望能聽到原始的口譯版本並通過字幕進行理解。以此種方式來使用同聲傳譯表明，口譯和筆譯作為“交流”方式的任務正日益緊密關聯。

顏色詞是色彩概念的語言表達，武光軍選取 6 個顏色詞作為研究物件，探索其在《紅樓夢》楊憲益夫婦譯本和霍克思譯本中翻譯的差異。研究發現，楊譯中存在源語透過效應，但霍譯中這種效應較小，即「源語透過效應」假說只是部分得到證實。但發現，楊譯和霍譯有共同的特徵，即譯者的母語文化身份繼續發生效應，我們稱之為翻譯中譯者的「母語文化身份透過效應」。不論是在正向翻譯中還是在逆向翻譯中，這種效應都應存在。張倩在“張愛玲自譯《色，戒》的敘事操縱”一文中指出，相較其英文原作 *The Spying*，張愛玲的中文自譯作品《色，戒》更顯著地體現了她的典型敘事風格，突出表現在《色，戒》巧妙隱晦的故事講述方式以及對人物複雜的內心世界細致入微的揭示。張愛玲自譯時的敘事操縱讓作品的故事顯得更加真實可信，為情節發展到關鍵的刺殺橋段女主人公的臨時變節埋下了必要的伏筆，敘事效果更為成功。在張愛玲自譯《色，戒》的敘事操縱背後，是她的改寫努力、雙語背景以及敏銳的讀者意識在發揮作用。

20 世紀以來，《文心雕龍》的英譯取得了長足進展。戴文靜在厘清英語世界《文心雕龍》譯介譜系的基础上，借助 WorldCat 考察五部英譯本的全球接受情況。蔡宗齊譯本宏微結合、譯研兼融的中西比較詩學研究範式，助推了英語世界《文心雕龍》的傳播與接受，這一研究範式不失為中國文學理論現代轉型和全球傳播的一種合理嘗試，已成為當下海外中國傳統文論研究的新趨向和增長點，為中國傳統文論如何“走出去”這一宏大命題提供了重要的學理反思。林蘊銳以宇文所安的著作《中國文學思

想讀本》為中心，考察中國古典文論中核心概念“情”的演進與英譯。研究將其用法分為情況、感情和文情幾類，參考中國文學理論範疇體系的四個階段分期、結合對應歷史背景分析了《讀本》各選文中“情”的用法及英譯。研究亦進一步概括該概念發展進程中擴展與集中的總體趨勢，並以《文心雕龍》為轉捩點作個案分析，對比宇文所安、楊國斌、黃兆傑的譯文，總結其翻譯策略。生態翻譯學研究在中國乃至全球翻譯學界方興未艾。蘇慧子和覃江華的書評文章介紹了胡庚申教授生態翻譯學英文專著的撰寫背景、主要內容、特色與不足。兩位作者認為，生態翻譯學誕生於整個人文社會科學“生態轉向”的大背景下，是具有中國特色的本土翻譯理論的代表。在文中，他們不僅簡要梳理了生態翻譯學的發展歷史，而且比較了其與描述翻譯學和功能目的論等西方翻譯理論的異同。武敏從四個方面分析了翻譯詩集《芬芳之韻：經典美國詩選》的鮮明特色與獨特價值：1) 序言以 80 句原創詩歌敘詩評詩，新穎別致，不乏藝術感染力與學術創造力；2) 譯詩側重通過復現原詩的典型形式特徵以達到神似；3) 經典詩歌的重譯體現了對詩歌理解的深化以及漢語表達手法的豐富化；4) 對部分漢語經典詩歌的回譯為中英詩學對比提供了素材，為白話語境下的漢語詩歌經典再造提供了啟發。

李波

2022 年 6 月

## CONTENTS目錄

- iv **Editor's Note** 編者的話
- Articles** 論文
- 1** Machine Aided Interpreting: An Experiment of Automatic Speech Recognition in Simultaneous Interpreting  
*Andrew K.F. Cheung Tianyun Li*
- 21** Thoughts on Broadcast Interpreting: A Passion for Being There  
*Chikako Tsuruta*
- 35** 譯者的“母語文化身份透過效應”——以《紅樓夢》楊譯本及霍譯本中顏色詞英譯比較為例  
*武光軍 王丹*
- 47** 張愛玲自譯《色，戒》的敘事操縱  
*張偉*
- 59** An Empirical Study on the English Translations and Reception of *Wenxin diaolong*  
*Wenjing Dai*
- 75** Translation of *Qing* (情) in Ancient Chinese Literary Thought: An Analysis Centering on Stephen Owen's Readings  
*Yunrui Lin*
- Book Review** 書評
- 99** Review of Eco-Translatology: Towards an Eco-Paradigm of Translation Studies  
*Huizi Su Jianghua Qin*
- 105** 譯才詩才並具，形似神似兼備——《芬芳之韻：經典美國詩選》評述  
*武敏*
- 113** 稿約凡例 Guidelines for Contributors



# Machine Aided Interpreting: An Experiment of Automatic Speech Recognition in Simultaneous Interpreting

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## ***Abstract***

*Automatic Speech Recognition (ASR) has been proposed as a means to enhance the performance of professional interpreters. This article reports the results of a pilot experiment that test the usefulness of ASR generated caption of an accented speech. This paper seeks to contribute to the theoretical debate on whether the text could aid or harm the SI process. The potential benefits of this technology were evaluated by applying an accuracy and fluency matrix and by investigating the users' subjective perceptions through the Paas scale and post-experiment interview. The results show that there are pros and cons of the ASR generated captions which improved accuracy but hampered fluencies in the renditions.*

## **1. Introduction**

This paper reports the results of a pilot study that investigated whether automatic speech recognition (ASR) technology could improve the quality of simultaneous interpreting (SI) by human interpreters. With the development of English as a Lingua Franca (ELF), interpreters are faced with speakers from different linguistic backgrounds who use English at conferences (Albl-Mikas 2018; Cheung 2022a; Ruiz Rosendo and Diur 2017).

SI quality may suffer because of source speeches with unfamiliar accents. Understanding accented speech, in general, could be cognitively challenging as listeners need to spend

more effort (Van Engen and Peelle 2014; Adank et al. 2015). SI is cognitively demanding as interpreters are engaged in language comprehension, language processing and language production simultaneously (Gile 2009; Seeber 2013). Studies have shown speakers' unfamiliar accents may lead to deterioration of interpreters' SI performance (Cheung 2015; Lin, Chang, and Kuo 2013; Sabatin 2000). The increase in cognitive load resulted from trying to comprehend accented speech may lead to omissions, errors and disfluencies in the target language renditions.

Integrating ASR into the professional practice of SI may have practical implications. Many conference organizers have adopted the online mode to organize their conference when the sheltering-in and travel restriction policies during the ongoing COVID-19 pandemic. The language needs of these online conferences have been met by remote simultaneous interpreting (RSI) using cloud-based SI platforms where interpreters, speakers and listeners are connected by the internet. Interpreters only have to log in to the online platform to provide their services. Online conferences may democratize conference attendance of speakers and attendees who might have otherwise not been able to attend some conferences because of time, geographical, financial and/or legal constraints. With wider participation of individuals from different backgrounds, interpreters may come across even more unfamiliar accents. Using ASR may help them overcome some of the difficulties of unfamiliar accents.

## **2. Factors affecting SI performance**

The performance of SI could be negatively affected by a number of effort consuming source language features (Cheung 2001; Gile 2009). Numbers are among the factors in the source language that lead to problems in the translation to the target language because they tend to consume too much of the interpreter's cognitive resources (Cheung 2008, 2009, 2014; Korpala and Stachowiak-Szymczak 2020). Numbers pose problems because they do not usually have meanings and must be translated accurately as the listeners can spot the errors when they appear on the screen. Trainee interpreters need to learn the skill of translating numbers (Nour, Struys, and Stengers 2020), but even experienced interpreters still stumble over numbers, and it is common for numbers in the source language to lead to errors, omissions, or approximations in the target language (Cheung 2008). With the help of ASR technology, however, the accuracy of number translations in SI seems to be improving. Desmet, Vandierendonck, and Defrancq (2018) showed that a technology that automatically recognizes numbers in the source language and presents them on the screen could improve the accuracy of numbers or figures in SI rendition. ASR may have the potential to help interpreters overcome other difficulties.

Among the aforementioned factors affecting the quality of SI, an unfamiliar accent is frequently encountered by human interpreters in today's age of ELF. As English education has become prolific in different countries, many people in different parts of the world now speak

English, but with their respective regional accents. While interpreters can prepare for an SI assignment by familiarizing themselves with the subject matter of the content that they will interpret, having to deal with the speakers' unfamiliar accents may still pose a challenge to successful SI. It takes a longer time to understand English spoken with an unfamiliar accent than to understand English spoken with a familiar accent (Munro and Derwing 1995), and the former thus consumes more of the interpreters' cognitive resources. With fewer cognitive resources available for the other ongoing SI subtasks, there may be an increase in errors and omissions.

Unfamiliar accents can lead to the deterioration of SI quality (Cheung 2015; Gile 2009; Lin et al. 2013; Ruiz Rosendo and Diur 2017). Speakers' unfamiliar accents were ranked among the top stress factors for interpreters, along with fast speakers and read speeches (Mackintosh 2003). The quality of SI may suffer due to these stress factors as interpreters often need to spend more cognitive resources to deal with them. With the widespread use of ELF in international conferences, interpreters face the daily challenge of dealing with unfamiliar accents. It is not uncommon for interpreters to complain about intelligibility loss when interpreting the speeches of speakers with unfamiliar accents, and interpreters have expressed the "desire for visual support/visual presentation to reduce [their] processing load" (Albl-Mikasa 2010, 136) when asked how the challenges posed by unfamiliar accents could be overcome.

Chinese interpreters are faced with a wide variety of English accents. China has the world's largest number of English speakers because of the sheer size of its population (Cheung 2020), but the approach to English teaching in China is conservative, emphasizing the "standard pronunciation," and English learners have little exposure to different types of accents. As English has become the de facto lingua franca in international conferences, conference speakers from different linguistic backgrounds use English to present and discuss. As a result, speakers with unfamiliar English accents may pose challenges to Chinese interpreters. Whether the ASR technology can help Chinese interpreters overcome the challenges posed by accented speech should be investigated empirically.

### **3. Use of technology for SI**

Machine could aid the SI process by helping interpreters overcome some of the challenges. When performing SI, interpreters often carry a laptop with them into a booth so that they can find a relevant document or use an online search engine that can help them perform their tasks and subtasks better. Ortiz and Cavallo (2018) have come up with a comprehensive list of tools for interpreters, most of which are glossary management tools. It is not known if there are available technologies that can perform such online tasks as slowing down oral deliveries, reducing accents, or simplifying sentences, but ASR technology is available and can help. Such technology is constantly being improved by the increasing number of sound

recordings.

The ASR technology may be able to ease interpreters' cognitive loads from accented English speech. Most of the common errors in texts recognized by such a system are conversational terms, which may not pose serious challenges to interpreters. ASR applications are normally online tools that recognize speech and present it as text. For it to be useful to interpreters, the audio source (the speaker's speech) must be inputted into the interpreter's laptop through a cable while the interpreter is performing SI. ASR converts the incoming audio source into text, and the interpreter can read such text on his or her laptop's screen. Interpreters performing SI aided by ASR will thus have both audio data of the speaker's speech and visual data consisting of the text recognized by ASR and inputted to the interpreter's laptop screen.

Visual input may aid the SI process. In a general setting, the visual speech information provided by a speaker can supplement the listener's perception of the auditory speech (van Wassenhove, Grant, and Poeppel 2007). When performing SI, interpreters receive inputs not only from the speaker's voice, facial expressions, lip movements, and gestures but also from written materials made available to them either in the form of a manuscript or on slides (Seeber 2017). Lamberger-Felber (2001) and Lamber (2004), comparing the output between SI with text and SI without text, suggest that text can have a positive effect on certain aspects of the SI quality.

While having both audio and visual inputs may be an advantage on the part of the interpreter, it may also be a disadvantage. SI with text is SI in which the interpreter has access to the manuscript being orally delivered by the speaker. During SI with text, the interpreter listens to the audio input and follows the manuscript visually. The text can both be beneficial and detrimental to the interpreter (Gile 2009; Setton and Dawrant 2016). It can be detrimental because written discourse tends to have high information density, and the prevailing notion is that interpreters consume too many cognitive resources when they simultaneously process auditory and visual inputs to orally render the interpreted material (Chmeil and Mazur 2013). Consequently, the quality of SI may suffer. When Chmiel, Janikowski, and Lijewska (2020) studied the eye movement of interpreters performing SI with text, they found that the interpreters paid more attention to the text than to the audio input running the risk of errors when speakers depart from the prepared scripts.

As mentioned above, adding visual input may increase the cognitive load of interpreters. Multimodal input is the norm of SI as interpreters sometimes also follow a speaker's Power-Point presentation while performing SI. However, a high degree of linguistic interference has been found in the output of SI with text, when interpreters are provided with the script of the speech in the source language (Lamberger-Felber and Schneider 2008; Ma and Cheung 2020). One of the possible reasons for linguistic interference is dual input; that is, interpreters read and listen while performing SI, which reduces the cognitive resources that they need for formulating idiomatic target language renditions (Lambert 2004). Linguistic interference can also

be attributed to the fact that speakers often read a prepared text, which likely lacks redundancy limiting interpreters' abilities to formulate idiomatic renditions.

Captions may facilitate the understanding of a spoken language. A caption is an onscreen text matching the speaker's utterances in the language being used by him or her (i.e., the onscreen text and the speaker's utterances are in the same language). In the language acquisition literature, the caption has been documented to be beneficial to foreign language acquisition (Bird and Williams 2002; Herron 1994; Matielo et al. 2015; Mitterer and McQueen 2009; Vanderplank 1993; Yang 2020). Because caption is the visual representation of the spoken language, language learners could use the caption to confirm their auditory reception. This is one of the reasons why captions may also positively impact language learners' confidence and motivation (Chen et al. 2020).

SI with text is not the same as SI aided by ASR. One of the key differences between SI with text and SI aided by ASR is the nature of the text. For SI with text, the interpreters often receive a prepared script from which speakers read. Therefore, the nature of the source language for the interpreters performing SI with text is more akin to a written text even though it is delivered orally. As mentioned earlier, one of the characteristics of written discourse is information density due to the lack of redundancy, which may be challenging to interpreters (Chernov 2004). Findings from Ma and Cheung (2020) suggest that interpreted texts produced by SI with text showed a higher degree of source language interference than SI without text. It is often challenging to interpret carefully scripted texts meant for reading but which speakers read out. If the speaker sticks to the text and does not deviate from it, the SI is likely to go smoothly, but if the speaker decides to deviate from the text without informing the interpreter in advance, the interpreter may get caught off guard, which may affect the accuracy of the SI. As for the text that ASR generates, as it is a written representation of an oral utterance, it will have all the redundancies, if any, of the said oral utterance. The generated text will also reflect the filler words, unfinished sentences, false openings, etc., which may also affect the accuracy of the SI. Thus, unless the speaker deviates from the prepared speech in SI with text, the manuscript is more reliable in terms of accuracy than the text generated by ASR.

SI with text also differs from SI aided by ASR at the level of text presentation. In general, text is presented at two levels: the micro and macro levels. The micro level refers to words and sentences while the macro level refers to the entirety of the text. For SI with text, interpreters can read the manuscript in its entirety in advance, which will give them a global perspective of the arguments, stances, proper nouns, numbers or figures, and special terms, among others. Therefore, except when the speaker deviates from the prepared script, the manuscript constitutes an accurate micro- and macro-level text presentation. For SI aided by ASR, on the other hand, an ASR tool generates the text word by word, and the textual presentation is limited to the micro level. If the manuscript will be made available to the interpreter before its oral delivery, the interpreter can, if he or she wishes, prepare in advance by scribbling notes and

even translations on the manuscript to be used during the oral delivery. For SI aided by ASR, however, if the interpreter does not have a copy of the text that will be read by the speaker, he or she cannot prepare for the SI task. The link, if any, between latency of the recognized texts and interpreters' performance is underexplored. Presumably, the interpreter and the ASR tool receive the audio signal at the same time, but the ASR tool needs to receive the audio signal before it can recognize it. Therefore, interpreters can read the recognized text only after the ASR tool has processed the audio signal; hence, the latency. While there is a time lag between the source and target languages, however, there is very little evidence to suggest that the latency created by ASR affects the performance of the interpreter in SI aided by ASR, and if it does, how. This notwithstanding, discussions on whether inaccurate recognized text affects interpreters' performance, and if so, how, are scarce but needed.

The adoption of remote SI due to the COVID-19 pandemic may accelerate the integration of ASR with SI practice. ASR can benefit SI performance, having been described as having "considerable potential for changing the way interpreting is practiced" (Pöchhacker 2016, 188) and as having the potential to be "the next step in the evolution of CAI [computer-assisted interpreting] tools" (Fantinuoli 2016, 52). Most researchers in this field, however, have limited their studies on ASR to term or number detection (Costa, Corpas Pastor, and Durán-Muñoz 2014; Fantinuoli 2016). Probably because remote interpreting was not as common and simultaneous interpreting was mostly offline. Integrating ASR with onsite SI will also require a cumbersome setup: a separate audio input for the notebook computer that the interpreter is using while the interpreter receives an audio signal from the SI console. Because of the travel restrictions currently being imposed owing to the COVID-19 pandemic, however, meetings and conferences have come to be held online, and interpreters can now deliver their SI services online by using a notebook or desktop computer connected with the Internet. One single audio feed can be shared by the ASR software in the computer and the interpreter listening with a headset plugged into the computer. The need for an extra audio feed may thus be minimized.

## **4. The experiment**

### **4.1 Participants**

Twenty-four participants were recruited for this study (21 females, and 3 males). They did not receive any financial compensation for their participation in the experiment. The language combination of all the participants was Chinese A and English B. At the time of the experiment, all of them had finished their professional SI training, which included SI into and out of English. Their English source language training materials included both native and non-native English. Their curriculum also included SI with text. SI aided by ASR was not part of their training.

## 4.2 Experimental material

Before the experiment, the participants were briefed on the nationality of the speaker and the topic of the presentation. The experimental material was the video recording of a presentation on Zambia's relationship with China by Mr. Chalimba Phiri, Strategic Advisor of Oxfam Pan Africa, in an event that took place at the University of Johannesburg in South Africa. The participants also received a bilingual glossary with terms that included names of individuals, major infrastructure projects, and places in Africa. They first watched the introductory remarks by the moderator, who spoke English with a Chinese accent. It was optional for the participants to interpret the introductory remarks. There was a pause at the end of the remarks to check if there were any technical glitches. The participants began the SI once Mr. Chalimba Phiri began his presentation. The total length of the presentation was 30 minutes.

For the experiment, only approximately the first 20 minutes of the presentation were used. The video was divided into four segments, and only two of these had captions. The segments had almost the same lengths, and the experiment did not pause between segments. The participants were randomly divided into two groups, and the captioned segments that were assigned to the two groups were different to allow both inter- and intra-participant comparison. The grouping of the participants is shown in Table 1.

Table 1: Segments with captions assigned to the two experiment groups

Segments Groups	1	2	3	4
A	Captioned	Non- captioned	Captioned	Non-captioned
B	Non- captioned	Captioned	Non-captioned	Captioned

The experiment took place in an SI teaching classroom with six booths. Each booth can accommodate two people, but only one participant was made to sit per booth during the experiment to minimize interference. Each booth had two desktop computers, but only one was turned on for the experiment. The video recording was played on the screens of the desktops in all the booths, and the participants were made to wear a headset with a microphone while watching the video.

Each group of participants was further divided into two batches. The first batch fed the participants with the audio input, and the second batch recorded their Mandarin SI renditions of the audio input. Captions (i.e., onscreen text matching the speaker's utterances in the language being used by him or her), when available, were displayed at the bottom of the video frame, as shown in Photo 1. The participants' SI renditions were recorded as MP3 audio files.



Figure 1: screenshot of a captioned segment

### 4.3 Paas scale

When the participants finished watching the video recording and their SI renditions of it, they had to fill out a survey questionnaire containing a psychometric tool, the Paas scale (Paas 1992), and they had to answer an open-ended question on the effectiveness of captions for SI. The Paas scale was used in this study to determine if the participants perceived captions as alleviating their cognitive constraints when interpreting an accented speech. The Paas scale for cognitive load reporting is a subjective evaluation tool where the participants indicate their perceived total cognitive load when completing a cognitive task. It is a teaching tool based on the cognitive load theory (Sweller 2011, 2012), which “considers a learner’s finite cognitive capacities to apply knowledge and transfer it to new situations” (Szulewski et al. 2017, 952).

Table 2: Psychometric survey questionnaire adapted from Paas (1992)

<p>Please choose the category (1-9) that best applies:</p> <p>In the captioned/ non-captioned segment, the amount of mental effort required was:</p> <ol style="list-style-type: none"><li>1. Very, very low</li><li>2. Very low</li><li>3. Low</li><li>4. Slightly low</li><li>5. Neither low nor high</li><li>6. Slightly high</li><li>7. High</li><li>8. Very high</li><li>9. Very, very high</li></ol>
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The Paas scale differs from Gile’s efforts model (Gile 2009) in that the former seeks to indicate the total cognitive load involved in accomplishing the given task as reported by the

participants while the latter seeks to attribute the occurrence of errors and omissions in the interpretation to cognitive overload. The Paas scale consists of two items: captioned segments and segments without captions. It has been found to highly correlate with errors (Ayres 2006) as the more errors encountered while performing the given task, the more cognitively taxing the task is considered.

A post-test interview was conducted following the survey questionnaire, and the participants' comments were analyzed qualitatively.

#### **4.4 Scoring**

Accuracy and fluency were scored independently by the scorers, who were blinded to the purpose of this study and to whether the segments they were scoring were captioned or non-captioned. The accuracy of the participants' SI rendition was scored by professional interpreters, who received financial compensation for their participation in the study. Only segments 3 and 4 were scored as the participants were still trying to get used to SI aided by ASR during segments 1 and 2. Each segment was independently scored by four scorers, who had access to the entire video recording sans captions in the source language. For scoring, the accuracy scorers used the accuracy score sheet shown in Figure 3. The fluency of the participants' SI

Table 3: Accuracy score sheet

Numeric score	Descriptors
5	Target language is colloquial and very close the source language intended meaning
4	Target language is slightly literal and/ or different from the source language intended meaning, a few minor distortions, additions, or omissions.
3	Target language is literal and/ or different from the source language intended meaning, one major omission, distortion or addition.
2	Target language is literal and/ or different from the source language intended meaning, a few major omissions, distortions or additions.
1	Target language is very different from source language.

rendition was scored by monolingual Mandarin speakers. Similar to accuracy scoring, only segments 3 and 4 were scored, and each segment was scored by five fluency scorers who were blinded to the purpose of the study and to whether the segments they were scoring were captioned or non-captioned. They received financial compensation for their participation in the study. Unlike the accuracy scorers, the fluency scorers were not provided with the English video recording. They used the fluency score sheet shown in Figure 4.

Table 4: Fluency score sheet

Numeric score	Descriptors
5	Recording is very clear, coherent and intelligible. Absence of hesitations, repetitions, redundancies and fillers.
4	Recording is clear, cohere and intelligible. A few hesitations, redundancies and fillers.
3	Recording is intelligible with some hesitations, redundancies, fillers and pauses.
2	Recording is with more hesitations, repetitions, redundancies, fillers and pauses.
1	Too many hesitations, repetitions, redundancies, fillers and pauses.

## 5. Results

### 5.1 Accuracy scores

The independent t-test was conducted to determine if there was a significant difference ( $p < 0.05$ ) between the scores of the captioned and non-captioned segments. In terms of accuracy scores, the captioned segments scored significantly higher than the non-captioned segments. For segment 3, the 12 participants in the captioned condition ( $M = 3.48$ ;  $SD = 0.45$ ) had significantly higher accuracy scores ( $t(22) = 8.19$ ;  $p = 0.00$ ) than the 12 participants in the non-captioned condition ( $M = 2.06$ ;  $SD = 0.40$ ). For segment 4, the 12 participants in the non-captioned condition ( $M = 2.23$ ;  $SD = 0.49$ ) had significantly lower accuracy scores ( $t(22) = -9.20$ ;  $p = 0.00$ ) than the 12 participants in the captioned condition ( $M = 3.67$ ;  $SD = 0.22$ ).

Table 5: t-test results for the mean of the accuracy scores

	Group A		Group B		<i>t-test</i>
	<i>M</i>	<i>SD</i>	<i>M</i>	<i>SD</i>	
Segment 3	3.48	0.45	2.06	0.40	.00
Segment 4	2.23	0.49	3.67	0.22	.00

Note: M = mean; SD = standard deviation

### 5.2 Fluency scores

There was also a significant difference ( $p < 0.05$ ) in the fluency scores, with the scores of the captioned segments significantly lower than those of the non-captioned segments. For

segment 3, the 12 participants in the captioned condition ( $M = 2.63$ ;  $SD = 0.71$ ) had lower fluency scores ( $t(22) = -2.49$ ;  $p = 0.02$ ) than the 12 participants in the non-captioned condition ( $M = 3.25$ ;  $SD = 0.50$ ). For segment 4, the 12 participants in the non-captioned condition ( $M = 3.17$ ;  $SD = 0.44$ ) had higher fluency scores ( $t(22) = 2.96$ ;  $p = 0.01$ ) than the 12 participants in the captioned condition ( $M = 2.54$ ;  $SD = 0.58$ ).

Table 6: t-test results for the mean of the fluency scores

	Group A		Group B		<i>t-test</i>
	<i>M</i>	<i>SD</i>	<i>M</i>	<i>SD</i>	
Segment 3	2.63	0.71	3.25	0.50	.02
Segment 4	3.17	0.44	2.54	0.58	.01

Note: M = mean; SD = standard deviation

### 5.3 Paas scores

Pearson's  $r$  correlation coefficients were computed to assess the relationship between the accuracy/fluency scores and the Paas ratings. Participants perceived captioned segments to be cognitively less challenging than non-captioned segments. Accuracy scores for captioned segments are higher than non-captioned ones. However, fluency scores for captioned segments are lower than for non-captioned segments. Data suggest that increases in accuracy scores of captioned segments were correlated with decreases in participants' perceived cognitive. As shown in Table 1, overall, there was a strong negative correlation between the accuracy scores for captioned segments (3 for Group A and 4 for Group B) and the Paas ratings. That is, the increases in the accuracy scores for the captioned segment were correlated with the decreases in the Paas ratings. Similarly, there was a strong negative correlation between the accuracy scores for captioned segments and the Paas ratings. That is, the decreases in the accuracy scores for non-captioned segments (4 for Group A and 3 for Group B) were correlated with the increases in the Paas ratings.

On the other hand, the increases in perceived cognitive loads were correlated with increases in fluency scores. As for the fluency scores, those for both captioned and non-captioned segments were positively correlated with the Paas ratings. That is, the increases in the fluency scores were correlated with the increases in the Paas ratings and the decreases in the fluency scores were correlated with the decreases in the Paas ratings. Source language inference from the captions may have contributed to the lower fluency scores of captioned segments.

### 5.4 Qualitative data on the participants' comments

A group interview was conducted with all participants following the Paas survey. The participants' comments on the captions were generally positive. The captions were seen as

Table 7: Pearson's correlation coefficients for the accuracy/fluency scores and the Paas ratings

Group A				Group B			
r	n	p	r	n	p		
Segment 3 accuracy scores & Paas scale ratings	-0.882	12	0.000	-0.751	12	0.000	
Segment 4 accuracy scores & Paas scale ratings	-0.760	12	0.000	-0.860	12	0.000	
Segment 3 fluency scores & Paas scale ratings	0.439	12	0.032	0.492	12	0.043	
Segment 4 fluency scores & Paas scale ratings	0.509	12	0.011	0.415	12	0.025	

an effective aid in the SI process. Two participants used very vivid imagery to describe the captions, as shown below.

“The captions were like a safety rope that I held on to tightly when I was overwhelmed by the speaker’s English accent while doing SI, and when I couldn’t understand what the speaker was saying.”

“The captions were like crutches without which I would have fallen.”

The presence of written text on the screen also gave the participants a sense of security as it helped them overcome their fears about not being able to understand what the speaker was saying:

“With the captions, I felt that I had more confidence in saying what I had heard, but without the captions, I really would not have known what to say because I could not fully understand what the speaker was saying.”

“I did not have too much confidence because it was really hard to understand what the speaker was saying. Even the captions had many errors, though. I realized I was not that bad because even high tech could not understand what the speaker was saying. At least, though, I was able to use some of the words in the captions to carry on.”

Specifically, the captions helped the participants make sense of some of the words that were difficult to understand because of the speaker’s accent. One participant commented:

“Some words were very difficult to understand just by listening to the speaker, but they were recognized [by ASR], so it’s much better.”

In addition to helping the participants recognize the audio input, the fact that the captions stayed on the screen a bit longer made a difference.

“Unlike the speaker’s utterances, which disappeared immediately, the captions stayed on the screen for some time, giving me enough time to deal with the message.”

The aforementioned comment is in line with the many research findings concerning the modality effect reported by Ginns (2005). The modality effect suggests that information presented in both the visual and auditory formats may be processed more efficiently than that presented in only one format.

While most of the participants' comments were positive, some participants offered suggestions for improvement. One such comment concerned the number of caption lines. In the experiment, only one caption line at a time was displayed on the screen. As soon as the speaker resumed talking after a pause, a new caption line appeared, and the previous one disappeared.

"It would have been better if there were more caption lines. [I] would not have had to be in a rush all the time."

Some participants also commented on how numbers were presented in the captions:

"The smaller numbers, such as years, should have been in numerals, and some big numbers should have been presented alphabetically. [I] spent much time counting the number of zeros of a big number, and [I] eventually gave up."

There were a few negative comments on incorrectly recognized words that confused the participants:

"Some words were incorrect and didn't make sense. They confused me because [I] tried so hard to understand them and I was wondering if [I] had heard them correctly."

To maintain a reasonable level of ecological validity, the captions were not edited for accuracy. All fillers and incorrectly recognized words were retained. As the above comment suggests, trying to make sense of erroneously recognized words while engaging in an SI task can be mentally taxing, which may lead to the deterioration of the SI quality.

Finally, almost all the participants commented on the fact that the captions appeared on the screen by segment instead of as a full sentence:

"They appeared segment by segment, sometimes just a few words in one line, then followed by one or two words. It was not very consistent, and it was so difficult to process the information."

In the experiment, the captions appeared not as complete sentences but as chunked segments. This was because there is the latency between the verbal signal and the visual text in real-time ASR. The speech signal is heard before the visual text can be read because recognition takes place after speech is uttered. In the experiment, the captions only slightly lagged behind the audio signals, creating the illusion that ASR was taking place in real-time, and that speech was constantly being recognized as the speaker was speaking. The recognized text in the caption moved to the left of the screen until it disappeared to make room for the newly recognized text.

## 6. Discussion

The data that were obtained in this study showed that ASR might have the potential to improve the accuracy of SI rendition as the accuracy scores of the captioned segments were higher than those of the non-captioned segments. Because of the speaker's unfamiliar accent, the participants might have had to exert extra effort to understand what the speaker was saying, which could have led to increased errors and omissions. However, the amount of effort exerted by the interpreter to understand what the speaker is saying may also be reduced by the use of captions. The participants in this study did not have to exert any effort to understand the correctly recognized text, and could concentrate on understanding the meaning of the message, formulating the target language renditions, listening to the incoming message, etc. As a result, the rendition of captioned segments tended to have higher accuracy scores than the rendition of non-captioned segments.

That the captions were helpful was evident in the Paas ratings. The captions, described by one participant as "crutches," provide some kind of support in the SI process. Therefore, the participants perceived that the amount of effort required for interpreting captioned segments was smaller than that required for interpreting non-captioned segments. While the Paas scale measures the users' subjective perception of required efforts, the Paas ratings in this study seemed to be negatively correlated with the accuracy scores (i.e., the lower Paas ratings were correlated with the higher accuracy scores). However, higher Paas ratings were correlated with lower fluency scores, probably due to the increase in disfluency and linguistic inference from reading the text (Song and Cheung 2019; Ma and Cheung 2020; Wu, Cheung, and Xing 2021).

Captions could neutralize the limits imposed by the high-cognitive-resources-consuming task of SI. The SI process may be conceptualized as a "higher-ordered cognitive process that relies on many sub-processes to be successful" (Wiley et al. 2014, 598). One of the sub-processes is understanding. Relying only on listening to understand accented speech is cognitively taxing, but it is even more challenging to understand accented speech while doing SI. The presence of captions on the screen gave the participants in this study an additional source of the speaker's speech, which could help them understand the accented speech, thereby reducing their risk of cognitive overload induced by a single source. In addition to reducing the required cognitive resources, the presence of captions may have had a positive psychological impact on the participants' confidence and anxiety levels.

The captions also provided a sense of security to the participants. The expressions "safety rope" and "crutches" were used by the participants to describe the captions. The participants' use of these expressions suggests that the participants felt that the captions served as either a safety rope for them when they were in danger of not being able to understand what the speaker was saying or crutches when they were handicapped by the speaker's accent. The psychological impact of the captions on the participants should not be underestimated. One of them also said that the captions helped her avoid a disaster, probably referring to the possibility of er-

roneously interpreting what the speaker was saying because of the difficulty of understanding it.

The captions, however, also had disadvantages. The fact that they did not appear as full sentences might have had a negative impact on the participants' SI performance especially when using the chunking strategy (Ahrens 2017; Jones 2014). Chunking is the SI strategy in which interpreters produce "short self-contained linguistic units that constrain continuations as little as possible syntactically, semantically or pragmatically" (Setton 2006, 383). Chunking may help maintain the completeness of the message as renditions closely follow the source language word order (Cheung 2012). The rendition may sound awkward, however, because the risk of source language interference of the word order in the rendition is high. In fact, data indicate that the fluency scores for captioned segments are lower than those of non-captioned segments, probably due to the increases in disfluency when reading captions. While subtitles are pre-edited translations and usually appear as complete units, the captions generated by ASR are not edited, and the speed of recognition also varies. It may take a while before a certain word is recognized; therefore, captions can also be used as an aide. They, however, should not be treated as if they were text from a written script. To better leverage the ASR technology, there should be training on SI aided by ASR focusing on how to use ASR-generated captions to aid the SI process instead of relying on captions to complete the SI process.

## **7. Conclusion**

As the findings suggest, ASR-generated caption could improve SI accuracy but may negatively affect fluency. When juggling with multiple tasks during the SI process, having visual access to the source language may reduce and increase the efforts required in the SI process. However, one of the reasons for the negative impact on fluency may have to do with the lack of training in ASR-assisted SI among participants. Replicating this experiment by recruiting participants that have been trained in ASR-assisted SI may yield different results as interpreters are increasingly being asked to perform SI on remote SI platforms.

ASR can be integrated with internet-based remote SI. Internet-based remote SI refers to the practice in which the interpretation is delivered online and the interpreters are distant from the speakers and/or audience geographically and/or time-zone-wise. Internet-based remote SI began to gain momentum following the imposition of travel restrictions due to the COVID-19 pandemic (Cheung 2022b; Chew and Cheung 2022), as conferences had to be held online. The interpreters may perform SI using a normal SI console in an SI booth set up by the conference organizers, or they may perform SI using an online platform to listen to the source language and translate it into the target language on a notebook/desktop computer. When the interpreter does the latter, the computer, in addition to running the online platform to allow SI to take place, can also run ASR simultaneously.

There are unknowns when integrating internet-based remote SI with ASR. Interpreters can utilize ASR to aid the SI process, but running these two functions simultaneously may lead to technical glitches, such as delays or frozen screens. Depending on a number of factors, such as the technical specifications of the computer and the speed of the Internet connection, these technical glitches may or may not happen. More tests are needed to ascertain if the running of ASR will not interfere with the online SI platform when the two are running simultaneously. Further research is also needed to determine if SI performance can be enhanced while the interpreter is juggling a number of tasks that have to be done simultaneously, including but not limited to translating what the speaker is saying, deciphering what is being presented on the PowerPoint slides that the speaker is using, and reading the text generated by ASR.

Future research should focus on training of SI aided by ASR. Captions generated by ASR are different from prepared scripts used for sight translation. Captions are transient and may contain incorrectly recognized words. More studies are needed to investigate the link, if any, between errors in ASR captions and SI performance. Specialized training on SI aided by ASR should be designed to improve the overall SI performance, especially internet-based remote SI.

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# Thoughts on Broadcast Interpreting: A Passion for Being There

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## ***Abstract***

*This article discusses the current situation of broadcast interpreting in Japan and attempts to illustrate new trends that have emerged in recent years and their implications. An overview is first provided of how TV stations in Japan employ broadcast interpreting. The unique characteristics and challenges of broadcast interpreting are then discussed using examples from English into Japanese and Japanese into English simultaneous interpreting. Here, the time constraints and the need to maintain synchronicity with the images on the screen are identified as two unique characteristics of broadcast interpreting. Next, the article discusses how interpreters can cope with the challenge of ensuring ease of comprehension for viewers even when encountering culturally specific expressions during live broadcasts. The article concludes with the observation that although the work of broadcast interpretation is changing, the challenges that interpreters face in conveying information correctly, clearly enunciating words, and speaking in a pleasant voice remain the same. The use of AI to generate subtitles based on the interpreter's spoken translation is identified as one way of responding to the audience's need to be able to listen to the originally spoken rendition and understand the meaning through subtitles. The use of simultaneous interpreting in this manner shows that the tasks of interpretation and translation as ways of "communicating" are becoming increasingly entwined.*

## 1. Introduction

Japanese TV stations have incorporated broadcast interpreting in their news reporting for over 30 years. This field of interpreting covers newsworthy events in areas ranging from politics, the economy, and natural disasters to sports and entertainment. This article discusses the unique characteristics of broadcast interpreting as compared to other types of interpreting in terms of the efforts that are needed to accurately convey news events in real-time while synchronizing with the speaker's voice and the images conveyed on the TV screen.

Digital technologies are changing the working environments of broadcast interpreters in that interpreters can now view the transmitted programs on a digital server. Thus, in cases where interpreters have time to prepare before going on air, the interpreters can repeatedly view the parts they are assigned and prepare their talking scripts.

The new technologies have also facilitated the remote interviewing and reporting that has been pushed to the fore during the COVID-19 pandemic. The pandemic has changed many aspects of our daily lives, and interpreting and translating are no exception. For example, remote communication technology has enabled interviews to be conducted with subjects residing in foreign countries and news reporting of ceremonies can now be conducted online without needing a TV crew to go on site. Another change is the incorporation of deep learning in AI or machine translation, which has increased the accuracy of the applications and led to the wider use of machine translation in interpreting and translation.

Nevertheless, in the author's opinion, the primary factor that drives practitioners remains the same, namely, the "passion for being there".<sup>[1]</sup> Live news reporting is by definition reporting from the scene in real-time. Broadcast interpreters share the passion for real-time reporting through their voices. Even when a script has been prepared beforehand, reporting the news remains a thrilling endeavor because the absolute rule is to follow what the speaker says. As the speaker might knowingly or inadvertently skip the prepared script, the interpreters need to maintain sufficient flexibility to adapt to what is happening on the scene and respond to what the clients require.

## 2. Interpreting on TV

### 2.1 Interpreting into Japanese

The following overview of broadcast interpreting in Japan mainly focuses on the English–Japanese language combination, although broadcast interpreters in Japan also work with other languages.<sup>[2]</sup> Here, the term broadcast interpreter is used to describe interpreters that predominantly interpret TV programs.

Broadcast interpreting has come to hold a unique position in Japan. In Asia, the United States, and various European countries, interpreting for TV is mostly conducted on an ad-hoc

basis by conference interpreters and is typically used for conveying key political speeches or describing major events in entertainment. What is unique in Japan is that broadcast interpreting is part of regular TV programming. The expression “*hoso tsuyaku*” or broadcast interpreting came into existence around 1990 when NHK (Nihon Hoso Kyokai or Japan Public Broadcasting Corporation), launched its Broadcast by Satellite television channel dedicated to sports and news. In 1988, NHK began test operations using conference interpreters and then began to regularly broadcast news reports from the United States, Europe, and Russia. The coverage has since expanded to include news from Asia, the Middle East, and South America, and interpreters using language combinations other than English–Japanese are also employed regularly. In the case of NHK, the broadcast interpreters are registered with a subsidiary of NHK named NHK Global Media Services. Most of the current broadcast interpreters have been with NHK for over 10 years. In 1992, NHK established the NHK Training Institute to train interpreters and translators.

NHK BS1 is the current broadcast news channel, with eight of the 24 hours of satellite broadcasts being devoted to airing news. There are two notable features of the news broadcasts that use interpreters on NHK-BS. First, overseas news programs are not used in their entirety but are “cut” based on the editorial decisions of the day. The cut pieces of the news programs are then aired using what is called “prepared interpreting”. In this case, the broadcast interpreters have between one and two hours to prepare talking scripts for their assigned parts before going on the air. Another notable feature is that NHK-BS makes it clear that it is airing news programs obtained from abroad. The decisions as to what to broadcast are made by NHK-BS. Although prepared interpreting is the preferred mode of interpreting on NHK-BS, for live media events such as the US President’s Inaugural Address, the simultaneous mode is employed. For second showings, subtitles are usually included.

Other dedicated news channels, such as BBC World and CNN, are regularly interpreted into Japanese in simultaneous mode and broadcast live on cable television from early in the morning until late at night. JCTV (Japan Cable Television) broadcasts CNN news in Japan from 7 a.m. to midnight. BBC World has its channel and employs broadcast interpreters in Tokyo to air between 6 and 9 a.m. then from 11 a.m. to 2 p.m. and 6 p.m. to 9:30 p.m. The group based in London performs interpreting from 10 p.m. to 2 a.m. the next day.

## **2.2 Interpreting from Japanese into English**

NHK is currently the only TV station in Japan that broadcasts news in English using broadcast interpreters. In the 1980s, a number of commercial terrestrial TV stations aired bilingual news programs. However, when the economy went into decline, all but TBS (Tokyo Broadcasting System) stopped their bilingual news services. TBS aired its “News no Mori” program from 6 p.m. to 6:30 p.m. for 26 years until the end of 2009. Today, NHK broadcasts two popular bilingual Japanese–English news programs on the terrestrial wave, one at 7 p.m.

and the other at 9 p.m. For Japanese into English, although there is no equivalent to “prepared interpreting”, the Japanese news scripts are “written” as English news reports by bilingual Japanese news writers that are then edited by native English speakers and senior editors. The English scripts are then read by news “readers” who are native English speakers. Only those parts that cannot be prepared beforehand, such as breaking news of major disasters or the results of sports matches, are broadcast using simultaneous interpretation.

NHK World Japan is an international channel for overseas viewers that began broadcasting in 1998. In 2000, a top-of-the-hour news program called “Newslines” was launched, and the channel began broadcasting 24 hours in 2009. In this context, Japanese into English news interpretation is used to report major news events and ceremonies happening in Japan to overseas viewers and to raise the awareness and interest of viewers in English about life in Japan.

One event that had a dramatic effect in the area of Japanese-to-English interpreting was the Great East Japan Earthquake and tsunami that occurred on 11 March 2011 and which warranted the use of broadcast interpreters. A Senior Editor at NHK World-Japan stated that the broadcasting of the major disaster made him realize what a safe country Japan had been up to that point. <sup>[3]</sup> Before then, no major news about Japan had been reported in English. In the weeks after the 11 March incident, reporting of the disaster took up significant airtime and was repeatedly broadcast on the NHK English channels. The interpreters were also reminded of the fact that this was nothing like what they had experienced before. At one point, the 11 March disaster and its powerful images dominated foreign TV news coverage. This massive operation, which continued for 45 days, was the biggest that NHK Global Media Services had experienced in terms of employing broadcast interpreters.

### **3. Unique characteristics of broadcast interpreting**

#### **3.1 Time constraints and synchronicity with images**

Two unique characteristics of broadcast interpreting, especially in the simultaneous mode, are the time constraints and the need to maintain synchronicity with the images on the screen. Although simultaneous interpreting is by definition performed with severe time constraints, the challenge is especially demanding in the case of broadcast interpreting. The time that is available to interpreters in the case of broadcast interpreting is constrained in two ways. The first constraint relates to the preparation time, even in the case of prepared interpreting. News, by definition, is valuable to report because it is new. However, the information also needs to be reported accurately. Thus, as conveyors of news, broadcast interpreters need to stay abreast of world events and continually follow what is happening around the globe.

The interpreters face an additional time constraint when they are on the air in that their

interpreting of the news must be “spot-on”. As the news is conveyed through images, the interpreters cannot lag behind what is shown on the screen. Moreover, the reporting needs to match the often powerful images that are shown on the screen even when transmitted through the voice of a simultaneous interpreter.

### **3.2 Coping strategy: English into Japanese**

To illustrate the difficulties faced by English into Japanese broadcast interpreters, in this section, the speech delivered in Hiroshima on 27 May 2016 by the then President of the United States, Barack Obama, is discussed together with the coping strategies used by the broadcast interpreters.

This historical speech was reported by all the major news stations in Japan using simultaneous interpreters and the key stations rushed to hire the best interpreters. This raises the question of what qualities the stations sought in the interpreters for this historic event. One characteristic of this event was that almost no information was made available beforehand regarding the speech. The interpreters waiting eagerly at each station had to do their best with what they had in terms of information about what the President would be saying. Because no script was available in advance, the interpreters were literally forced to play it by ear.

However, even when a script is available, broadcast interpreters cannot assume that the speaker will strictly follow the text. For example, at the Opening Ceremony of the Football World Cup in Russia in 2018, the FIFA Chairman suddenly gave his opening words in Russian instead of in English as anticipated. In this case, a colleague of the author who was interpreting from Russian into Japanese quickly took over so the communication went smoothly, even though no Russian script was provided beforehand. Therefore, quick thinking and quick responses on the job are always essential.

In terms of coping strategies, three points are worth noting. Specifically, interpreters should endeavor to (1) acquire information about the place, occasion, and the audience to help with comprehension; (2) pay close attention to what is being said, decide when to segment information and start interpreting, and segment when possible, and jump in when interpreting that chunk, especially in cases of live speech without a script; and (3) be flexible and choose pertinent translations in view of the implicit connotations of sensitive terms.

There are five sentences in Barack Obama’s Hiroshima speech that clearly illustrate the difficulty that this author faced in performing the job. On this day, the job of interpreting the speech, which lasted 17 minutes and 10 seconds with a speech rate of 85 words per minute, was shared with a colleague. We took turns roughly every two minutes so we could closely follow the speaker and have as few omissions as possible.

1. Seventy-one years ago, on a bright cloudless morning, death fell from the sky and the world was changed.
2. Why do we come to this place, to Hiroshima? We come to ponder a terrible force

unleashed in the not-so-distant past.

3. Yet in the image of a mushroom cloud that rose into these skies, we are most starkly reminded of humanity's core contradiction – how the very spark that marks us as a species, our thoughts, our imagination, our language, our tool making, our ability to set ourselves apart from nature and bend it to our will – those very things also give us the capacity for unmatched destruction.

4. We may not be able to eliminate man's capacity to do evil, so nations and the alliances that we formed must possess the means to defend ourselves.

5. That is a future we can choose, a future in which Hiroshima and Nagasaki are known not as the dawn of atomic warfare, but as the start of our own moral awakening. <sup>[4]</sup>

In terms of the three coping strategies mentioned above, without a script to go by the main task is to consider how to make the message comprehensible to a Japanese audience. The second strategy concerning were to segment information and the third concerning pertinent word choices in view of the time constraints reflect the balancing act that is required of interpreters. As Daniel Gile (2009) states in his “tightrope hypothesis”, interpreters need to use all the resources they have available to cope with the task at hand. The interpreter needs to stay closely in synch with the voice of the person talking and not fall behind what is unfolding in front of the eyes of the TV viewers. There is no room for the luxury of taking a few seconds to ponder over a term that is difficult to interpret or to confer with a booth mate about how to cope. While these affordances may be possible in a conference interpreting setting, they are not available to broadcast interpreters who face severe time constraints and close public scrutiny.

In terms of coming up with pertinent translations on the spot, this author found statements such as “death fell from the sky”, “terrible force”, “the image of a mushroom cloud”, “to do evil”, “dawn of atomic warfare”, and “start of our moral awakening” to be particularly difficult. If one had the time to consider what they mean, one would likely come up with appropriate translations, for example when it is clear that metaphor is being used. However, it is a challenge to interpret metaphors in a comprehensive manner on the spot.

In terms of chunking, the first sentence shown above was the first sentence of the speech, and this author took the short segment “71 years ago” as one sentence in Japanese rendition. Compared with other interpreters who performed broadcast interpreting that day, this was the shortest segmentation. This author's style is to correspond as closely as possible to what is being said so as to not omit information. For long sentences, such as the third sentence, where to segment can be problematic. If one starts too early, the interpretation might not be a comprehensible rendition, but if one waits too long, there is a real risk of information being lost. Looking at the sentence in a script, although it is clear that the statement concerns “humanity's core contradiction”, for simultaneous interpreters intently listening and performing online pro-

cessing, the judgment as to where to segment has to be made on the spot. My decision was to make the shortest segmentation and use connectives to make sense of the Japanese rendition.

An issue that came up in the fifth example is the word choice for “dawn”, as here this author anticipated incorrectly that the mention of “dawn” would connect with “sunset” as the opposite term, but it did not unfold that way. Another issue was where to segment. For example, should the segment stop before the phrase that starts with “in which” or after this phrase? This was the last sentence of the speech and to conclude that we must “start our own moral awakening” was indeed a powerful ending to an oratorical speech. But it is a tall order to get it right without a text. Even an experienced interpreter would not be assured of making a successful rendition in the first attempt.

As an added note, remarkably, live subtitles of the speech in Japanese appeared on the TV screen as the interpreters delivered their renditions. There have been other occasions, such as during Barack Obama’s first inauguration speech in 2009, when commercial TV stations have provided live subtitles using the interpreter’s voice.

### **3.3 Coping strategy: Japanese into English**

Even with sufficient preparation time and having a talking script in hand, maintaining synchronicity with the TV screen requires careful coordination. This author conducted Japanese into English broadcast interpreting for a program called “A Year Past a Year to Come”, which aired between 2018 and 2019 when it was expected that the Heisei era would pass to that of the next emperor. The 30-minute program aired on NHK for domestic viewers and was interpreted from Japanese into English by three interpreters for NHK World-Japan. This program was broadcast each year from 23:45 on New Year’s Eve to 0:15 on New Year’s Day. Here, representative scenes from various parts of Japan were chosen to reflect on the year that had passed and what the next year would bring. A script was available beforehand, and a rehearsal was conducted with live reporting from various parts of Japan. Even so, the interpreters needed to constantly monitor what was on the TV screen to remain in synch and to follow the ad-lib speech of the news reporters and newscasters. In conference interpreting it is always good to see the facial expressions and gestures of the speakers so as to get non-verbal cues about what they are saying. In broadcast interpreting, especially for live coverage events involving reporting from multiple places, we closely follow the images on the TV screen.

An example of an occasion where a script was provided but the speaker did not follow the text is the Japanese Prime Minister’s speech at the Hiroshima Peace Memorial Ceremony. The script stated that the Prime Minister would allude to the sounds of cicadas, a familiar summer sound in the surrounding areas of Memorial Park. However, perhaps due to the poor weather or maybe just inadvertently, the Prime Minister skipped that part of the Japanese script. When omissions like this occur, the interpreter should, with undivided attention, follow exactly what the speaker is saying and not what is on the script. This is one of the main reasons simultaneous

interpreters are hired to be the voice in English, rather than simply having an announcer read the script.

Here I would like to mention one effect that COVID-19 has imposed on us, namely the increased use of remote communication technology, as mentioned in the Introduction. In this case, there is no turning back, as the genie is now out of the bottle, so to speak. Nonetheless, this change has had some positive effects, especially in terms of convenience. In the past, when covering the ceremonies in Hiroshima and Nagasaki for NHK World-Japan, the interpreting needed to be performed on-site, and the interpreters would have to travel to the locations together with the newscasters and the technical crew. Because we had to start early in the morning, everyone on the team needed to travel one day ahead of the event. The script would be made available for the NHK domestic broadcast and finalized the night before the broadcast, being 6 August for Hiroshima and 9 August for Nagasaki. The interpreters needed to stay up until quite late in the evening to prepare the talking script and for all of the dignitaries' speeches, such as those of the mayors, prefectural governors, and representatives of the survivors. Now, with the use of remote communication technology, we can perform the interpreting from air-conditioned rooms within the broadcasting station.

## **4. Challenges of broadcast interpreting**

### **4.1 Ease of understanding for a mass audience**

There are two notable factors that make broadcast interpreting especially challenging. First, the interpreters address a mass audience and not specialists, as is the case in conference interpreting. Second, the idioms, metaphors, and culturally specific terms that inevitably appear in a politician's speech, especially in a live news conference, cannot be given as much attention as they deserve in view of the abovementioned constraints, namely the time constraints and the need to maintain synchronicity with the images.

Thus, in cases such as these, it is especially challenging to ensure ease of understanding for a mass audience and to accurately convey the intended meanings of idioms, metaphors, and culturally-specific terms, particularly when voiced by politicians.

### **4.2 Examples from COVID-19 related news**

Various terms came to be used in the news reporting of COVID-19 that were unfamiliar to the Japanese audience. COVID-19 drastically changed our lives and in so doing introduced new unfamiliar terminologies. In English into Japanese interpreting, broadcast interpreters have needed to cope with these new terms. However, the task has been even more challenging for those interpreting from Japanese into English.

The COVID-19 crisis has required a whole new range of English words to be Japanese

and used by government officials. There have been concerns that these new words are not easily understood by ordinary Japanese citizens, especially seniors. There are many words in what is called Japanglish that are used differently from how they are used in English. One pertinent example is “overshoot”. While when used in daily English this word means “to go further than the end of” or “past something, without intending to”, when used by epidemiologists, it means an “explosive spread” or “surge”. Therefore, when the Japanized form of this word, which is pronounced “obaashuto”, is used in a Prime Minister’s statement, for example, it should be interpreted in English as “explosive spread” rather than “overshoot”, which is unlikely to convey the intended meaning.

Another example is the phrase “Tokyo Alert” used by Tokyo Governor Koike Yuriko. This usage drew criticism for being unclear as to whether it intended to convey the Japanized meaning of “ara-ato” (Japanized pronunciation of alert). Sometimes one cannot help but think these English words are used to add an extra air of authority. In this case, the term “Tokyo Alert” was not intended to mean “warning” or “alarm” but rather that the Tokyo Metropolitan Government was closely monitoring the COVID-19 situation and was requesting Tokyoites to be vigilant. Thus, it would not be accurate to interpret “ara-ato” as “alert”.

The term “raibu-hausu” or “live house” was recently introduced to refer to a place where many cases of infections have occurred. But here again, translating this term back into the seemingly original English does not make it a comprehensible rendition. One has to be mindful that when translating Japanglish terms it is not always possible to use the English words that they were originally based on, and this has been especially true in the case of COVID-19-related news. In the process of becoming Japanized, the words acquire different nuances. For example, “raibu-hausu” does not mean “a house that is alive” in English, but means “a live music venue” and should be interpreted as such.

### **4.3 Examples from live news conferences by Suga Yoshihide**

It was not just the United States that had a recent change of President. In September 2020, following the resignation of Abe Shinzo, the Liberal Democratic Party (LDP) held an election to choose its President and hence the new Prime Minister of Japan, due to the LDP being the party in power at that time. The new Prime Minister, Suga Yoshihide, was known to the Japanese public and the world as he had served as the Chief Cabinet Secretary for seven years and eight months, at the time of the election. However, at a press conference he gave after being elected President of the LDP, his speech included several peculiar terms that posed a challenge for this interpreter. Three examples are discussed below.

Suga started by saying 地縁血縁もなく, meaning he had no local connections and did not come from a famous family of politicians. In this case, it would have been best to describe his background in detail by stating, for example, “I am not from a political family nor have I any connections with local big shots”. However, given the time constraints, it was not pos-

sible to add such an explanation. Then, Suga said that he would like to do away with 役所の縦割り, which on the homepage of the Prime Minister's office was translated literally as “bureaucratic sectionalism”. This interpreter used a term that is commonly used by political commentators, namely “silo mentality”. Yet another possibility is the “compartmentalized bureaucracy system”, which was also found on a website. However, the actual intended meaning was “improved cooperation across government agencies is desirable” since he was saying that he would like to do away with such sectionalism. But in reality, when performing simultaneous interpreting, the interpreter would unlikely be able to go that extra step. Another example is his response when asked about his choice for his Chief Cabinet Secretary, as he did not have the luxury of serving as his own secretary. His answer was he would like 総合力のある人 to be his Chief Cabinet Secretary, which this interpreter translated on the spot literally as “a person with comprehensive ability”. However, after careful thinking, it appears that what he wanted to say was that he wanted someone who is “versatile” and can perform a variety of tasks.

#### 4.4 Jojo's Bizarre Adventure

Another example can be used to illustrate a future direction our job as interpreters might take. At the beginning of 2021, the author was asked to perform simultaneous interpreting from Japanese into English for a talk show event with five Japanese voice actors to be held in Yokohama on 4 April. This interpreter did not know anything about the event except that it was related to the anime “Jojo's Bizarre Adventure”. Then, having recalled seeing one of the voice actors appear on a TV variety show performing what is called a live “after-recording”, or “afu-reko” in Japanese, this interpreter became interested in the job offer. This anime includes frequent fighting scenes, some of which would require a great deal of imagination to convey the physical movements of the anime characters. To do that using one's voice is in itself an act of translation. Furthermore, the job was not to be performed in the conventional way of broadcasting through simultaneous interpretation. Rather, to let the voice actors' voices be heard as they spoke, two interpreters conducted simultaneous interpretations with the spoken translations being converted into subtitles by an AI-driven voice-to-text application. The subtitles were added to the live broadcast. The author later learned that in addition to the Japanese–English translation, simultaneous translation into Chinese was conducted to produce live subtitles.

Looking at the website for this event, there was no mention of the word “interpretation” at all. The website indicated that the talk show would be delivered with subtitles, which suggests that this type of work might be more in demand in the future. While watching the anime characters on the screen, the audience would want to hear the voice actors speak and their voices conveyed with the power of live acting. In this case, subtitles are preferable as they enable the viewers to hear the actors' voices at the same time. However, even though the AI had rehearsed and “learned” the text for the subtitles, it was extremely difficult to accurately

capture the many proper nouns that were frequently used. Thus, interpreters need to take extra care to enunciate as clearly as possible in order to obtain accurate AI voice-to-text renditions.

Although the two interpreters prepared well in advance, it was not possible to make perfect renditions into subtitles. There was also something to be desired in the working environment. Although a small monitor was provided in the temporary booth installed in the corner of the Pacifico Convention Hall where the talk show took place, it was difficult to see the facial expressions of the five voice actors as they spoke. Moreover, there was not enough space to display the terminology list and other materials the interpreters had prepared and, as the lighting for the event was dimmed to create a dramatic effect, it was quite difficult to read the materials. Nonetheless, to interpret while watching the five voice actors give their talk and conduct a live performance of “afu-reko” was a very fulfilling and rewarding job. Moreover, through this job, this interpreter came to realize that the skills of simultaneous interpreters can be used in ways other than conveying messages through voice, and that the tasks of interpretation and translation as ways of communicating are becoming increasingly entwined.

In any kind of professional specialization, for the service to be successful it must satisfy what the clients, in this case the audience, require. Interpreters are mediators in the act of communication. Thus, if the market demands that subtitles should be provided, interpreters should live up to that task.

#### **4.5 Tokyo Media Center (TMC)**

During the Tokyo 2020 Olympic and Paralympic Games, the Tokyo Metropolitan Government set up the Tokyo Media Center (TMC) to serve as a media coverage base for domestic and international media outlets. In addition to providing a media coverage base, the TMC served as an information provider, offering information related to the host city Tokyo as well as the Tokyo 2020 Games. Thus, the TMC differed from the Main Press Center (MPC) and International Broadcast Center (IBC), which were operated by the Tokyo 2020 Organizing Committee, a public interest incorporated foundation. A studio for broadcasting what was called the TMC Briefing and TMC Talk was set up inside the Tokyo Metropolitan Government Building in Shinjuku.

During the Olympics (23 July through 8 August) and the Paralympics (24 August through 5 September), five interpreters were employed to deliver the TMC Briefing and TMC Talk in English. The TMC Briefing aired every day at 12:30 pm during Tokyo 2020. Running for about thirty minutes, the briefing included announcements from the Office of the Governor for Policy Planning and other bureaus of the Tokyo Metropolitan Government depending on the theme of the day. TMC Talk was broadcast every day at 2 p.m. and ran for about an hour, including Q&A. TMC Talk was conducted in an interview style with a person from the Office of the Governor for Policy Planning acting as a moderator and included guests who discussed various aspects of the culture of the host city Tokyo, or issues relating to the Olympic and

Paralympic Games. Recordings of the broadcasts were made available on the TMC website for TMC registered members of the press who were unable to watch the live broadcast.

For the interpreters, the TMC provided a different setting from the TV stations but was nonetheless a broadcast interpreting job. One notable feature was that interpreting was not provided simultaneously but consecutively. Moreover, whenever possible, the interpreting was recorded before the shows were broadcast. However, the unique characteristics of broadcast interpreting, namely the time constraints and the need to maintain synchronicity with the images on the screen, remained the same. Although scripts were provided in advance, usually very late on the night before each broadcast, the rule was that the interpreters needed to follow the speakers. Moreover, not all the scripts were prepared in advance as some speakers were given their material at the last minute.

The coping strategy remained the same as for other interpreting assignments in terms of gathering as much information as possible so as to provide interpretations that would be easy for the audience to comprehend. In this case, the interpreters were aware that the audience was a pool of journalists who did not necessarily have English as their mother tongue. The coping strategy of segmenting into short chunks so as to not omit information was also relevant in this case. Moreover, to obtain pertinent translations, the interpreters adhered to the Tokyo Metropolitan Government's request to maintain fixed translations for particular terms that were especially worthy of attention. Notably, the catch phrase used for the Tokyo 2020 Olympics and the Paralympics Games 多様性と調和 was to be translated as "Unity in Diversity" rather than the direct translation of "Unity and Harmony". Another example was to use the phrase "persons with impairments" rather than "people with disabilities" for 身体障害者.

In terms of the current environment, some Japanese companies have begun to use the new remote communication technology to aid their investor relations efforts, and now provide job assignments for simultaneous interpreters from Japanese to English. For example, when publishing its annual report, a company may record a message from the president using simultaneous interpreters and post the message on the company website. As was partially done in the case of the TMC, materials that organizations wish to provide can now be pre-recorded and consumed on demand. Although not the same as being "live on the scene" as the event unfolds, this indicates a further possibility for broadcast interpreters.

## 5. Concluding remarks

In our ever-changing and uncertain world, there are clearly various roles that broadcast interpreters can play. As described, simultaneous interpreters need to be employed to translate breaking news stories where there is no time to prepare a script. In this case, we are thrown into unscripted, uncharted territory, where the coping strategies of simultaneous interpreters are very much appreciated. On occasions, when working as a simultaneous interpreter for CNN,

this author has found herself likely being the first one to report a particular news item. For example, in 1998, when interpreting coverage of a major four-day bombing campaign in Iraq, this interpreter literally translated the codename as Operation Desert Fox. Yet another example is when, at the end of 1999, President Boris Yeltsin suddenly announced that he was resigning.

As the title of this article suggests, broadcast interpreters share “a passion for being there” and being on the spot when the news is unfolding. This is what motivates broadcast interpreters. In fact, in a way broadcast interpreters participate in the journalistic process. As the Italian linguist Francesco Straniero Sergio (2011) noted, there are similarities between journalism and interpreting. Indeed, in free narration or commentary, journalists combine the function of translating (language mediation) with that of explaining what is going on, up to the point that it is often difficult to distinguish between these two activities.

Finally, this author would like to offer aspiring broadcast interpreters the words of advice provided by my colleague Vincent Buck, an AIIC interpreter who worked for ARTE, a French–German TV Station based in Strasbourg, France. In a Skype interview with the author ten years ago, Buck stated:

Being extra quick on the ball helps tremendously. If you’re doing news interpreting, you must definitely be a news junkie. A good voice whatever happens is essential. Then, you must learn to adjust your delivery and style so that you can be in sync with the speaker, whatever happens. It’s much more important on television than in a regular conference setting.<sup>[5]</sup>

There is no doubt that all interpreters need a good voice and clear enunciation, but this is especially important for broadcast interpreters. And again, what motivates us to do all the necessary preparations, no matter how difficult, is the “passion for being there”.

## Notes

- [1] This article is based on the author’s keynote speech delivered at the Translation Studies in East Asia: Tradition, Transition and Transcendence (2021 EAST) conference on 11 June 2021, under the title of “Passion for Being There: Thoughts on News Interpreting”.
- [2] These episodes were mentioned by Takahashi Hiroyuki in a guest lecture at Tokyo Woman’s Christian University on 21 May 2020.
- [3] From an interview with Vincent Buck, an AIIC interpreter who works as a broadcast interpreter, conducted on 9 May 2011 using SKYPE by the author in English for research purposes on broadcast interpreting.
- [4] Remarks made by President Obama at the Hiroshima Peace memorial park, from the website; <https://obamawhitehouse.archives.gov/the-press-office/2016/05/27/remarks-president-obama-and-prime-minister-abe-japan-hiroshima-peace> (retrieved 6 September

2021).

- [5] From an interview with Vincent Buck, an AIIC interpreter who works as a broadcast interpreter, conducted on 9 May 2011 using SKYPE by the author in English for research purposes on broadcast interpreting.

# 譯者的“母語文化身份透過效應” –以《紅樓夢》楊譯本及霍譯本中顏色詞英譯比較為例

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## ***Abstract***

The Source Language Shines Through: A Comparative Study of the Translation of Color Words in the Two English Versions of *Hong Lou Meng* (by Guangjun Wu and Dan Wang)

*Color words have been widely studied and have become one of the frontier topics in contemporary research fields such as anthropology, ethnology, cognitive psychology, and linguistics. Focusing on the six color words: red, yellow, green, white, black and purple, this paper attempts to explore the differences of translation in Hawkes' and the Yangs' English versions of Hong Lou Meng. The findings are: (i) On the whole, the translations of six color words in the Yangs' translation stay much closer to the original Chinese culture than those in Hawkes' translation. (ii) To be specific, the frequencies of red and purple in the Yangs' translation are higher than those in Hawkes' translation, while the frequencies of green, white, and black in Hawkes' translation are higher than those in the Yangs' translation. As for yellow, the frequencies in both translations are the same. These findings partly support Teich's "Source language shines through" hypothesis. At the same time, it is found that the cultural identities of translators impact their translations. In other words, the "Source language shines through" effect exists in both forward and reverse translation.*

## 一、引言

Langacker (1987) 認為顏色域是語言中最基本的認知域之一。顏色詞是人類對色彩感知、範疇化並用自然語言進行編碼的結果，是用來描述事物顏色屬性的詞語，是人類語言中一個相對獨立且在動態發展的詞彙系統（薛亞紅 2013, 1）。在不同的語言中，顏色詞有著不同的文化內涵，兩種非親屬語言中的對應顏色詞的文化內涵差異程度通常大於兩種親屬語言中同類詞的差異程度，因此顏色詞是研究語義文化反差的較好語料（彭秋榮 2001, 30）。翻譯文本與原語文本間以及不同翻譯文本間的比較正是研究語義文化反差的恰當的途徑。因此，顏色詞的翻譯是翻譯研究中研究語義變化的重要課題。

王佐良指出，翻譯最大的困難在於兩種文化的不同，在一種文化裏頭有一些不言而喻的東西，在另一種文化裏卻要費很大力氣加以解釋（王佐良 1989, 34）。譚載喜指出，翻譯的難與易，好與劣，與其說與語言有關，毋寧說主要與文化有關（譚載喜 1991, 8）。由此可見，區分不同譯本的一個重要維度就是不同譯本對文化成分的翻譯。《紅樓夢》的翻譯也不例外。《紅樓夢》保加利亞文翻譯專家韓裴（2017, 295）指出，翻譯《紅樓夢》最主要的困難在於曹雪芹小說中蘊含著極其豐富的文化知識，猶如百科全書一般。《紅樓夢》是中國文學中里程碑式的經典著作，其中顏色詞使用頻率高，且文化內涵豐富，一部《紅樓夢》可以說是一部色彩巨著。但顏色詞的翻譯難度較大，特別是在文化內涵方面。對於顏色詞的文化內涵方面的中西差異，霍克思有深入的觀察。在其《紅樓夢》譯本的序言中，霍克思（2014, 55）指出：

小說的一種書名是以“紅”字開頭的。此外，紅色作為一種象徵——有時代代表春天，有時代代表青春，有時則代表好運或繁華——一而再，再而三地出現在小說中。遺憾的是，英語裏除了用於形容年輕人玫瑰花般的面頰和鮮豔的嘴唇外，並沒有中文裏的種種含義，而我發現中文裏的紅色與英語裏的金色或綠色倒是相近。

目前對《紅樓夢》中顏色詞的英譯研究還較少（胡寅 2004；劉澤權、苗海燕 2010；楊柳川 2014）。特別是，目前對於《紅樓夢》中顏色詞多顏色的系統的比較研究較少。本文擬就《紅樓夢》及其兩個英譯本——楊憲益譯本和霍克思譯本——中顏色詞的翻譯進行系統比較研究。在目前《紅樓夢》的英譯本中，楊譯本及霍譯本影響較大，相較其他英譯本，較為大眾所熟知，且兩者存在文化背景差異：楊譯為中國文化背景，霍譯為英語文化背景。因此，本文選取這兩個英譯本中的顏色詞的英譯進行對比研究。

## 二、英漢語中的顏色詞研究

20 世紀 60 年代，美國人類學家布倫特·柏林（Brent Berlin）和語言學家保羅·凱伊（Paul Kay）通過實際語言調查和文獻評述的方法，考察了世界上 98 種語言的基本顏色詞系統，並出版著作《基本顏色詞：其普遍性和演變》（*Basic Color Terms: Their Universality and Evolution*）。Berlin and Kay (1969) 把基本顏色詞的演變順序劃分為七

個階段，如下圖所示：

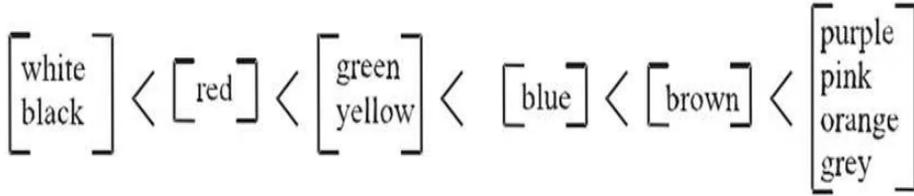


圖 1: Berlin and Kay (1969) 基本顏色演變階段

姚小平 (1988) 研究了漢語基本顏色詞的發展階段，得出自殷商至清末，漢語中基本顏色詞的發展規律，如表 1 所示：

表 1: 姚小平 (1988) 漢語基本顏色詞的發展階段

發展階段	時期	顏色詞
第一階段	殷商	幽〔黑〕，白〔白〕，赤〔紅〕，黃〔黃〕，青〔綠/藍〕
第二階段	周秦	玄、黑〔黑〕，白〔白〕，赤〔紅〕，黃〔黃〕，青〔綠/藍〕，綠〔綠〕，紫〔紫〕，紅〔粉紅〕
第三階段	漢晉南北朝	黑〔黑〕，白〔白〕，赤、紅〔紅〕，黃〔黃〕，青〔綠/藍〕，綠〔綠〕，紫〔紫〕，紅〔粉紅〕，灰〔灰〕
第四階段	唐宋至近代	黑〔黑〕，白〔白〕，紅〔紅〕，黃〔黃〕，青〔綠/藍〕，綠〔綠〕，藍〔藍〕，紫〔紫〕，灰〔灰〕，褐〔棕〕
第五階段	現代	黑〔黑〕，白〔白〕，紅〔紅〕，黃〔黃〕，綠〔綠〕，藍〔藍〕，紫〔紫〕，灰〔灰〕，棕、褐〔棕〕，橙〔橙〕

當然，顏色詞的含義也會不斷演進。例如，“紅”在周秦時代已產生，但表示“粉紅”之義。在漢代，“紅”獲得了泛指紅色的含義，到唐代基本失去了“粉紅”的含義。

Berlin and Kay (1969) 認為英語有 11 個顏色詞，包括 white, black, red, green, yellow, blue, brown, purple, pink, orange 和 gray。漢語也屬於顏色詞豐富的語言，上述英語中的 11 個基本顏色詞在漢語詞彙裏均能找到，其對應詞分別為：白、黑、紅、綠、黃、藍、褐、紫、粉、橙和灰色。

### 三、《紅樓夢》及其英譯本中顏色詞的選擇

Berlin and Kay (1969) 提出的英語的 11 個顏色詞，認可度高且接受範圍廣，因此，本文在選定顏色詞的過程中，首先探究白、黑、紅、綠、黃、藍、褐、紫、粉、橙和灰 11 個顏色詞在《紅樓夢》原著中的出現次數，以便確定本文顏色詞研究對象。《紅樓夢》原著中顏色詞的使用次數情況如下圖所示。

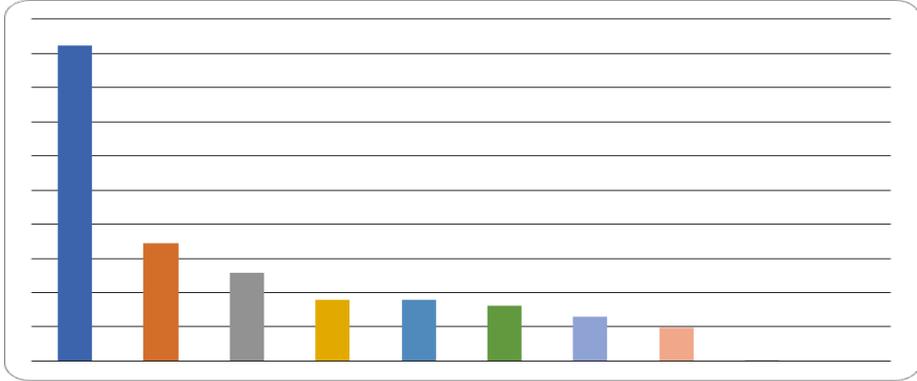


圖 2: 《紅樓夢》原著中顏色詞的使用次數

從上圖中可以明顯看出，11 個顏色詞中，紅（462 次）、白（172 次）、紫（49 次）、黃（129 次）、綠（90 次）、粉（90 次）、黑（81 次）、灰（65 次）這 8 種顏色詞出現次數較多。Berlin and Kay 在 *Basic Color Terms: Their Universality and Evolution* 中“定義基本顏色詞概念”一節提到，判斷基本顏色詞的四個標準，其中第二條為：基本顏色詞的意義不能包含在任何其他顏色詞中，“粉”是“紅”的一個顏色梯度，據此本文作者認為“粉”與“紅”有重合部分，所以本文僅探討“紅”的翻譯。同理，對於“黑”和“灰”兩種顏色詞，我們也僅探討“黑”的翻譯。這樣，剩下紅、白、黃、藍、綠、黑、紫 7 個顏色詞出現頻次較高。同時，Xing (2009, 88) 指出漢語顏色詞中：白、黑、紅、黃、綠、藍、紫 7 種在現代漢語中使用最多。在《紅樓夢》中，“藍”的出現頻率較低，只有 4 次，主要以“青”為主。因此，本文選定紅、黃、綠、白、黑、紫 6 個顏色詞為研究對象，進行系統探究。

### 四、《紅樓夢》中顏色詞的英譯差異對比分析

#### 4.1 “紅”在不同英譯本中的差異對比分析

例 1：

原文：那貼是大紅雙喜箋，便看上面寫道：（曹雪芹、高鶚 2014，608）

楊譯：Xifeng saw that this stationery was **red with double happy-life designs**.

On it was written.（Yang and Yang 2003, 2249）

霍譯：Xi-feng had learned to recognize quite a large number of characters and

was able to make out the whole of the crude missive, written on **pink Double Happiness notepaper**, that Zhou Rui's wife had just thrust into her hand. (Hawkes 2014, Vol. 3, 609)

例 1 出自第 74 回“惑奸讒抄檢大觀園 矢孤介杜絕寧國府”。楊譯本中把“大紅雙喜箋貼”譯為 red with double happy-life designs；霍譯本中將其翻譯為 pink Double Happiness notepaper。楊譯把“大紅”譯為 red，而霍譯為 pink。在西方，red 的文化聯想意義和社會聯想意義恰恰與中國相反，一般情況下，red 常帶貶義。比如，red hot political campaign 指激烈的政治運動，red activities 指左派激進活動。其次，在英語中，red 使人聯想到暴力與流血，Red Brigade 是指意大利的秘密恐怖組織，專門從事綁架，謀殺和破壞等一系列恐怖活動，the Red May 指 1968 年 5 月的巴黎學生動亂，the red rule of tooth and claw 是指殘殺和暴力的統治。另外，red 也有粗俗和虧損的意思，red-necked 指粗俗的鄉巴佬，a red month 暗指這個月入不敷出。通過對比尚忠華博士創建的現代漢語平衡語料庫“蘭卡斯特漢語語料庫”中的“紅”與蘭卡斯特大學建成的 LOB 英語本族語語料庫 (Lancaster Oslo Bergen Corpus) 中的“red”的隱喻意義，寧建花 (2012) 發現，紅色在漢語中被賦予吉祥、熱鬧、順利和成功等象徵意義，如：“紅運”“紅火”“走紅”“紅極一時”等，而英語中 red 除體現暴力、激進之外，還喻指放蕩，淫穢等消極意義，即漢語中的紅色隱喻多表達褒義，而英語中的紅色隱喻多表達貶義。作為中西文化研究的大家，同時又有英人戴乃迭的協助，楊憲益不可能不知道“red”在英語中的文化含義，但仍將此處的“大紅”譯為“red”，這只能說明楊譯在翻譯中堅守的是其漢語母語的文化身份。粉紅色是“紅色與白色混合的色彩，顏色本身非常明朗而亮麗”。(夏南強 1995, 108) 在英語中，pink 一般指狀況良好。如 The pink of the best condition or degree 表示最佳狀態；最佳程度，pink face 表示面色紅潤健康，特別用來指女子，in the pink 表示人身體健康等。因此，霍譯把紅色翻譯為 pink，符合其英語母語文化身份。

本文對《紅樓夢》原著中顏色詞“紅”的使用次數進行統計，發現原著 120 回中，共出現顏色詞“紅”783 次。其中，人名“紅玉”出現 74 次，“小紅”出現 41 次，“紅兒”出現 2 次，地名“怡紅院”出現 84 次。另外，由於數據統計時為電子文檔，每章前重複出現書名《紅樓夢》120 次，需減去。除去人名、地名、書名後，出現顏色詞“紅”的次數為 462。《紅樓夢》楊譯本 120 回中，red 出現 296 次。《紅樓夢》霍譯本 120 回中，red 出現 157 次。由此可見，楊譯使用 red 的頻率高於霍譯。

#### 4.2 “黃”在不同英譯本中的差異對比分析

例 2：

原文：襲人見他臉都氣黃了，眉眼都變了，從來沒氣得這樣，便拉著他的手，笑道。(曹雪芹、高鶚 2014, 90)

楊譯：Xiren had never before seen him **so livid** with rage, his whole face contorted.

“Because you have words with your cousin is no reason to smash this up,” she said

coaxingly, taking his hand. “Suppose you broke it, think how bad she’d feel.” ( Yang and Yang 2003, 829 )

霍譯：Aroma saw that his face **was white** with anger and his eyes wild and dangerous. Never had she seen him in so terrible a rage. She took him gently by the hand:

‘You shouldn’t smash the jade just because of a disagreement with your cousin,’ she said. “What do you think she would feel like and what sort of position would it put her in if you really were to break it?’ ( Hawkes 2014, Vol. 2, 91 )

例 2 出自第 29 回“享福人福深還禱福 癡情女情重愈慙情”，背景是寶玉和黛玉發生了別扭。對於顏色詞“黃”，楊譯為 *livid*，表示鉛色的，青灰色的，鐵青色的，符合中文表達習慣。在漢語中，一個人生氣時，對其臉色進行描寫，常用到“臉青”。在北大現代漢語語料庫 ([http://ccl.pku.edu.cn:8080/ccl\\_corpus/](http://ccl.pku.edu.cn:8080/ccl_corpus/)) 中檢索“臉青”，可檢索到類似的例句：

鴻漸氣得發顫道：“你再胡說，我就打上來。”柔嘉瞧他臉青耳紅，自知說話過火，閉口不響。

“我……”小娟見他氣得臉青面黑，自知自己的粗俗傷了趙大哥的心

“嚇，邢表叔！”氣得臉青面黑的瘦小的主任，一下子忍不住站起來了。

霍譯為 *white*，較符合英語的表達習慣。在英語中，有如下表達 *His face was white with anger*，譯為“他氣得臉色發青”。

本文對《紅樓夢》原著中顏色詞“黃”的使用次數進行統計，計算出原著 120 回中，共出現顏色詞“黃” 129 次。楊譯本 120 回中，*yellow* 出現 46 次；霍譯本 120 回中，*yellow* 出現 46 次，由此可見，在《紅樓夢》顏色詞“黃”的英譯中，楊譯、霍譯使用 *yellow* 的頻率相同。

### 4.3 “綠”在不同英譯本中的差異對比分析

例 3：

原文：寶玉便念道：寶鼎茶閑煙尚綠，幽窗棋罷指猶涼。（曹雪芹、高鶚 2014，378）

楊譯：Baoyu declaimed:

“Still **green** the smoke from tea brewed in a rare tripod;

Yet cold the fingers from chess played by quiet window.” ( Yang and Yang 2003, 443 )

霍譯：So Bao-yu recited the following couplet:

“From the empty cauldron **the steam still rises** after the brewing of tea.

By the darkening window the fingers are still cold after the game of Go.” ( Hawkes 2014, Vol. 1, 379 )

例 3 出自第十七回“大觀園試才題對額 榮國府歸省慶元宵”。“寶鼎茶閑煙尚綠；

幽窗棋罷指猶涼”，此句為曹雪芹撰，擬賈寶玉題瀟湘館聯。寶鼎，在這裏指煮茶用的炊具。茶閑，即茶罷。煙，在這裏指煮茶時所冒出的水汽。棋罷，就是說棋局結束。《紅樓夢》十七回中寫道：“忽抬頭看見前面一帶粉垣，裏面數楹修舍，有千百竿翠竹遮映。”道明了此處的翠竹。本句楊譯為 green，霍則沒有將其直接譯出。楊譯為 green，僅按照原著的字面意義進行翻譯，可能會給目標讀者造成誤解，認為“煙”確實是綠色的。楊憲益不可能不知道煮茶的水汽不可能是綠色，之所以這樣翻譯，堅守的是其漢語母語文化身份，即翻譯原文中“綠”所蘊含的聯想意義。霍譯為 the steam still rises，沒有譯出顏色詞，僅傳達出煙升起來了這層意義，實際上減少了讀者不必要的誤解，更適合西方讀者閱讀，堅守的是其英語母語文化身份。在原著、楊譯、霍譯中，“綠”或 green 的出現頻率依次為 90，182，312。可以看出，兩英譯本中 green 的出現頻率都高於原著中的“綠”，且兩英譯本相比，霍譯使用 green 的頻率遠高於楊譯。

#### 4.4 “白”在不同英譯本中的差異對比分析

例 4：

原文：東海缺少白玉床，龍王來請金陵王。（曹雪芹、高鶚 2014，86）

楊譯：

If the Dragon King wants

A *white jade bed*,

He applies to the Wangs.

Of Jinling, it' s said. (Yang and Yang 2003, 101)

霍譯：

The King of the Ocean

Goes along,

When he' s short of *gold beds*,

To the Nanking Wang. (Hawkes 2014, Vol. 1, 87)

該例出自第四回“薄命女偏逢薄命郎 葫蘆僧亂判葫蘆案”。我國是一個玉石文化悠久的國家，是對玉最為推崇的國家，玉石文化是中國傳統文化的重要組成部分。在形容玉石價值時，人們常用“黃金有價玉無價”來形容玉石的珍貴。白玉，即軟玉，又稱“中國玉”，主要產於新疆和田，是玉石中的翹楚。在我國文化中，“白玉床”就表示最珍貴的床。因此，楊譯就譯為了：white jade bed。但在英語文化中，玉沒有這麼高的價值。在英語中，jade 還有“劣馬（an old or over-worked horse）”、“蕩婦（a woman adulterer）”的義項。所以，為了形容床的珍貴，霍譯將其改譯為了：gold beds，這樣更符合英語文化。

在原著、楊譯及霍譯本中，顏色詞“白”和 white 的出現頻率依次為 605，135，181，可以看出兩英譯本使用 white 的頻率都低於原著中的“白”，且霍譯使用 white 的頻率高於楊譯。

#### 4.5 “黑”在不同英譯本中的差異對比分析

例 5：

原文：總編一根大辮，黑亮如漆，從頂至梢，一串四顆大珠，用金八寶墜角。(曹雪芹、高鶚 2014, 72)

楊譯：His short hair in small plaits tied with red silk was drawn up on the crown of his head and braided into one thick queue as black and glossy as lacquer, sporting **four large pearls attached to golden pendants in the form of eight precious things**. (Yang and Yang 2003, 83)

霍譯：Join the long hair at the back in a single large queue of glistening jet black. (Hawkes 2014, Vol. 1, 73)

在此例中，楊譯根據原文將漢語文化中形容頭髮的“黑亮如漆”按字面完全翻譯了出來：as black and glossy as lacquer。但霍譯將“黑亮如漆”的明喻中的代表中國文化的“漆”換為了英語文化中形容頭髮烏黑所常用的形容詞：jet black。

原著、楊譯、霍譯本中，“黑”和 **black** 的出現頻率依次為 81, 82, 110。可以看出，兩英譯本使用 **black** 的頻率都高於原著中的“黑”，且霍譯使用 **black** 的頻率遠高於楊譯。

#### 4.6 顏色詞“紫”在不同英譯本中的差異對比分析

當然，在顏色詞的翻譯方面，楊譯和霍譯並非都是截然不同，兩個譯本也有處理基本一致的情況。在

顏色詞“紫”的翻譯方面，我們下面就看一個兩者處理基本一致的情況。

例 6：

原文：已進來了一位年輕的公子：頭上戴著束發嵌寶紫金冠，齊眉勒著二龍搶珠金抹額，穿一件二色金百蝶穿花大紅箭袖，束著五彩絲攢花結長穗宮條，外罩石青起花八團倭鍛排穗褂，登著青緞粉底小朝靴。(曹雪芹 1982, 16)

楊譯：He had on a golden coronet studded with jewels and golden chaplet in the form of two dragons fighting for a pearl. His red archer's jacket embroidered with golden butterflies and flowers, was tied with a coloured tasseled palace sash. Over this he wore a turquoise fringed coat of Japanese satin with a raised pattern of flowers in eight bunches. His court boots were of black satin with white soles. (Yang and Yang 2003, 83)

霍譯：The young gentleman who entered in answer to her unspoken question had a small jewel-encrusted gold coronet on the top of his head and a golden headband low down over his brow in the form of two dragons playing with a large pearl. He was wearing a narrow-sleeved, full-skirted robe of dark red material with a pattern of flowers and butterflies in two shades of gold. It was confined at the

waist with a court girdle of colored silks braided at regular intervals into elaborate clusters of knotwork and terminating in long tassels. (Hawkes 2014, Vol. 1, 73)

這一例描寫的是賈寶玉。《紅樓夢》中的賈寶玉、《三國演義》中的呂布、《西遊記》中的孫悟空，都曾戴過紫金冠。在古代，評價黃金有“九紫十赤”之說。也就是說，“紫金”是指純度很高的黃金，並不一定真的指紫色。此句譯文中，楊譯、霍譯把“紫金冠”中的“紫金”分別譯為了 golden、gold，兩者都只譯出了“金”，都沒有譯“紫”。

原著、楊譯以及霍譯本中“紫”和 purple 的出現頻率依次為 49，24，13。可以看出，兩英譯本使用 purple 的頻率都低於原著中的“紫”，且霍譯使用 purple 的頻率又低於楊譯。

下面對《紅樓夢》中紅、黃、綠、白、黑、紫六個顏色詞的英譯進行綜合對比分析。

表 2: 六個顏色詞在《紅樓夢》原著及其兩英譯本中的出現頻率

	紅/red	黃/yellow	綠/green	白/white	黑/black	紫/purple
原著	462	129	90	605	81	49
楊譯	296	46	182	135	82	24
霍譯	157	46	312	181	110	13

下面，我們進行兩個方面的整體比較：(1) 譯本與原著比較。整體而言，與霍譯本相比，楊譯本中顏色詞的頻率與原著較為接近（“白”色除外）。具體而言，四種顏色詞“紅”、“黃”、“白”、“紫”在兩個英譯本中的頻率都低於原著，而“綠”和“黑”兩種顏色詞在兩個英譯本中的頻率都高於原著；(2) 兩個英譯本比較。楊譯使用“紅”和“紫”兩種顏色詞的頻率高於霍譯，而霍譯使用“綠”、“白”和“黑”三種顏色詞的頻率高於楊譯，楊譯和霍譯使用顏色詞“黃”的頻率相同。

Teich (2003, 145) 指出，在把一種語言翻譯成另一種語言的時候，譯文有可能存在以源語為導向的趨勢，即源語透過效應 (the SL shines through)。根據這一翻譯共性假說，楊譯和霍譯《紅樓夢》中顏色詞的翻譯都應趨向源語。但通過對楊譯和霍譯《紅樓夢》中顏色詞翻譯的系統考察，我們發現楊譯中存在這種源語透過效應，但霍譯中這種源語透過效應較小，即源語透過效應這一假說只是部分得到證實。

馬士奎、倪秀華 (2017) 區分了一般翻譯和對外翻譯。一般翻譯指的是傳統的外語到母語的翻譯，對外翻譯則指的是由譯者所從事的將本文化作品譯入其他語言的翻譯活動，亦即從母語或慣用語言到外語或非慣用語言的翻譯，以異文化的讀者為主要對象 (馬士奎、倪秀華 2017, 2)。中國的對外翻譯指的是由中國本土譯者所從事的將本國作品譯成各種外語的翻譯活動，而且譯作也主要由國內相關機構對外出版發行 (馬士奎、倪秀華 2017, 13)。對外翻譯與一般翻譯的區別在於：(1) 方向相反；(2) 一般翻譯可以在本文化中塑造出異文化形象，對外翻譯則致力於在異文化中塑造出本文化的自我形象 (馬士奎、倪秀華 2017, 3)。因此，在此意義上而言，楊譯本應該歸於對外翻譯，而霍譯本應該歸於一般翻譯。由於“一般翻譯”這一命名容易引起歧義，

我們認為還是採用“正向翻譯”。因此，結合上面的發現，僅就《紅樓夢》楊譯和霍譯的顏色詞翻譯來說，可以說楊譯的對外翻譯中存在源語透過效應，但霍譯的正向翻譯中源語透過效應較小。

但我們發現，楊譯和霍譯也有其共同的特徵，即在語言之外，譯者的母語文化身份都對其譯文產生了重要影響。換言之，楊譯和霍譯顏色詞翻譯的差異主要是由其母語文化身份的差異造成的。就顏色詞而言，中國文化崇紅尚紫，這既是《紅樓夢》原文的文化身份特徵，也是楊憲益的文化身份特徵。楊譯使用“紅”和“紫”兩種顏色詞的頻率高於霍譯說明，譯者楊憲益的漢語母語文化身份在其譯文中繼續發揮效應。霍譯使用“綠”、“白”和“黑”三種顏色詞的頻率高於楊譯說明，譯者霍克思的英語母語文化身份在其譯文中繼續發揮效應。因此，整體而言，楊譯的顏色詞翻譯和霍譯的顏色詞翻譯是符合其各自母語文化身份特徵的。因此，可以說，譯者的母語文化身份不僅可以在其母語的創作中發揮效應，還可以在譯文中繼續發生效應。據此，我們嘗試性的提出，翻譯過程中存在一種高於語言的譯者的“母語文化身份透過效應”。

## 五、結語

顏色是人類認識事物的基本概念。英漢語中的顏色詞雖有共性，但也有較大的差異，特別是文化信息的差異。在英漢語翻譯中，我們要充分注意到顏色詞表層指代意義下面的隱喻認知意義的作用。

通過對《紅樓夢》中七個顏色詞在兩個英譯本中的翻譯比較，研究發現譯者的母語文化身份可以在譯文中繼續發生效應，我們稱之為翻譯中譯者的“母語文化身份透過效應”。不論是在由外語譯入母語的正向翻譯中，還是在由母語譯入外語的逆向翻譯中，這種效應都應存在。

顏色詞的翻譯還有很大的研究空間。特別是在中文顏色詞的翻譯方面，無論是理論還是實踐，我們都還要加大研究。此外，本文提出的譯者的“母語文化身份透過效應”假說也有待進一步驗證。

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# 張愛玲自譯《色，戒》的敘事操縱

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## ***Abstract***

Narrative Manipulations in Eileen Chang's Self-Translation of *The Spying* (by Qian Zhang)

*Eileen Chang's Chinese short story Se, Jie is the self-translation of her previous English work The Spying. Compared to the original, Se, Jie is more typical of Chang's narrative style, which is characterized by her exquisitely implicit way of storytelling and her ingeniously subtle revelation of the characters' complex mentality. Eileen Chang's self-translation of The Spying embodies a series of narrative manipulations, including adding the number of characters, stretching the chain of acts, expanding the story setting, and heavily resorting to the third person limited perspective to expose the heroine's inner world. These narrative manipulations have strengthened the sense of reality of the story, created a better foreshadowing effect for the heroine's change of mind at the critical moment of the assassination plot, and increased the credibility of the story, thus enhancing the narrative effects of Se, Jie in a holistic way. Behind Eileen Chang's narrative manipulations, it is her rewriting endeavor, bilingual background and acute awareness of the reader that are being active.*

## 一、引論

張愛玲的短篇小說《色，戒》原載於 1978 年 1 月的《皇冠》雜誌。這篇小說在被李安改編為電影並於 2007 年搬上大銀幕之後，重新又吸引了許多的關注（Lee 2012, 243）。與此同時，更多人也開始注意到，這篇中文作品的背後其實還存在一個創作更早的英文版本。事實上，《色，戒》的英文版在張愛玲生前一直沒有發表，用她自己的話說是投稿過程中“到處碰壁”。2008 年 4 月，借著《色，戒》電影上映的東風，香港月刊《瞄》（*Muse*）獨家刊出了由張愛玲遺產執行人宋以朗提供的《色，戒》英文原稿

*The Spying*。<sup>[1]</sup>宋以朗後來又將該文在他的官方博客“東南西北”(ESWN Culture Blog)上向大眾公開,至此,讀者才得以一睹這篇小說英文原作的全貌(Chang 2008)。高全之根據公開的英文稿件所署的收件人資訊,推測該稿大概完成於1952至1955年間(高全之2015,242)。因此說,《色,戒》其實是*The Spying*的自譯。

《色,戒》電影上映之後,一時間湧現了不少關於電影和小說的對比研究。李歐梵的評價是:“老實說,看這部影片較之讀這篇小說,更令我感動”(李歐梵2008,25)。他後來也把小說的英文版和《色,戒》做了對照,“結論是《色,戒》好多了”(李歐梵2019,132)。所以,按照李歐梵的評價排序,電影版的《色,戒》比張愛玲的小說《色,戒》更感人,而作為自譯的中文版《色,戒》又優於其英文原作*The Spying*。值得注意的是,關於《色,戒》和*The Spying*這兩篇小說詳細的對比分析,現有的研究仍非常之少。李歐梵雖然得出了《色,戒》比英文原作“好多了”的結論,卻沒有具體分析好在哪裡。馬靄媛(2008)曾大致對比過這兩篇作品,談及主要人物的姓名變動、《色,戒》的情節完善過程以及女主人公心理的“空隙”問題。高全之在〈挫敗與失望:張愛玲《色,戒》的生命回顧〉一文中也提到*The Spying*,但也僅限於再次確認兩文本的對應關係(高全之2015,242)。

針對這兩篇作品的對比研究,李歐梵認為,“如果她[張愛玲]文體有問題的話,那麼英文版和中文版的對照有什麼不同,這就非常有意思……”(李歐梵2019,132)。事實上,李歐梵這裡的表述,關係到這兩篇作品的寫作特色。也就是說,這兩篇作品在敘事層面的對照也會“非常有意思”。譬如,《色,戒》與*The Spying*的敘事技巧有何不同?敘事效果有何差異?張愛玲自譯敘事操縱的背後又體現了什麼?這些問題,將是本文關注的焦點。

## 二、對故事要素的操縱

張愛玲在《自己的文章》中寫道:“寫小說應當是個故事,讓故事自身去說明……”(張愛玲2002c,376)。從一般意義上講,*The Spying*與《色,戒》可以說講述的是同一個故事——女主人公用美人計誘殺漢奸,緊要關頭臨時變節,放走了刺殺對象。然而,根據查特曼(Seymour Chatman)的敘事學理論,“故事”有一個專門的定義,指的是“事件鏈條(chain of events)外加實存(existents,包括人物、背景等組件):(Chatman 1978,19)。也就是說,張愛玲所謂的“讓故事自身去說明”,也值得深入文本進行分析。故事如何說明自身,勢必涉及到作者對故事要素的操縱。如果嚴格從敘事學意義上討論《色,戒》與*The Spying*的故事有何不同,需針對兩篇作品的故事要素進行對比,即分析事件、人物、背景。而這些要素又是交織在一起的,因此我們可以通過梳理兩篇作品的主要事件,觀察其中背景和人物的變化,再進一步探討張愛玲自譯《色,戒》時對這些故事要素的操縱所實現的敘事效果。

在*The Spying*中,女主人公Shahlu Li(對應《色,戒》中的王佳芝)以商人太太的身份在香港悉心招待從上海來港避難的漢奸夫婦Mr. Tai(易先生)和Mrs. Tai(易太太)。Shahlu的真實目的是用美人計誘殺漢奸,但因時局變動,漢奸夫婦突然返回上

海，刺殺計劃擱淺。兩年後日軍佔領香港，Shahlu 以家中生意不好出來跑單幫為由來到上海。Mrs. Tai 為回報 Shahlu 在香港時的熱情招待，留她住在家裡。Shahlu 順利吸引 Mr. Tai 並成為他的情人。最終，Shahlu 成功將 Mr. Tai 引到刺殺地點珠寶行，但卻在對方為她購買鑽戒的一瞬間認為對方是真愛她的，於是臨時變節，放走了對方，最後反遭逮捕處決。

*The Spyring* 中這段以上海為背景的事件鏈條，與《色，戒》中的內容基本相同。張愛玲自譯《色，戒》時對事件要素的敘事操縱，主要在於借助女主人公王佳芝的回憶，插敘了一段兩年前以香港為背景的往事。當時日軍入侵，嶺南大學從廣州遷至香港。汪精衛政府的大漢奸易先生因時局緊張帶太太到香港避難，於是嶺大話劇社的六位愛國學生策劃用美人計對易實施刺殺。鄭裕民是領頭的學生，富家子黃磊負責籌款，話劇社當家花旦王佳芝跟同學歐陽靈文假扮商人夫婦麥氏，以麥太太的身份接近易太太，伺機吸引易。王佳芝為扮演已婚婦女犧牲童貞給了原本討厭的男同學梁閏生，但是漢奸夫婦卻因局勢好轉突然返回上海，這導致刺殺計劃擱淺。兩年後香港淪陷，話劇社其他五位同學轉到上海去念書。王佳芝因受不了失身於梁閏生之後社團同學看她“異樣的眼光”，於是選擇脫離他們獨自回到上海。在上海，其他幾位同學跟一名吳姓特工搭上線。他們找到王佳芝，希望繼續執行香港時的刺殺計劃。王佳芝同意再次加入……

可以看出，《色，戒》的故事不僅將背景延伸到了兩年前的香港時期，同時還增添了好幾位人物，且這些人物都有名有姓，各具功能（表 1）。如前所述，鄭裕民是香港時期刺殺計劃的領頭者（事實上，他更重要的人物功能是王佳芝的暗戀對象）。黃磊是富家子，負責為刺殺計劃籌款。歐陽靈文與王佳芝假扮商人夫婦，好讓王佳芝以麥太太的身份接近易太太。梁閏生是他們中唯一有性經驗的男生，負責教王佳芝男女之事。而賴秀金作為這個團體中唯一的另外一名女性，她的人物功能主要是讓這個團體的組合顯得更為真實。《色，戒》中還多了一個人物，老吳。他是職業特工，負責組織上海的刺殺行動。

表 1: *The Spyring* 和《色，戒》人物對照表

	<i>The Spyring</i>	《色，戒》	<i>The Spyring</i>	《色，戒》
人物	Shahlu Li	王佳芝	/	鄭裕民
	Mr. Tai	易先生	/	黃磊
	Mrs. Tai	易太太	/	歐陽靈文
	Mrs. Ma	馬太太	/	梁閏生
	Mrs. Sun	廖太太	/	賴秀金
			/	老吳

從這段以香港為背景的敘述中，我們知道《色，戒》的女主人公王佳芝不是職業特工，而是一名愛國學生，同時也是話劇社的當家花旦。愛國學生的身份讓她有了基本的刺殺動機，話劇社當家花旦的身份又確保了她的“顏值”和“演技”。*The Spyring*

由於沒有交待女主人公的身份背景，讀者只能想當然地認為她是職業特工。但是“一個抗日女間諜事到臨頭出賣自己人，一般讀者不會接受”（宋以朗 2015，253）。所以，這裡也引出了這兩篇作品都面臨的一個十分關鍵的問題，那就是張愛玲的敘事，能否讓女主人公最後關頭的臨時變節顯得合情合理，易於為讀者接受。這也幾乎成了決定這個故事講述成敗的核心因素。在這一點上，張愛玲自譯《色，戒》的敘事操縱起到了重要作用。

《色，戒》的女主人公王佳芝，除了身份設置變動以外，她參與刺殺的動機也比 *The Spying* 中的 Shahlu Li 更為複雜，為後來的變節埋下了伏筆。王佳芝參與刺殺的原因與《色，戒》的另外兩個人物鄺裕民和梁閏生有關，可以說這兩個人物對《色，戒》的故事情節發展起著隱性的推波助瀾作用。仔細分析會發現，王佳芝在香港時決定參與刺殺計劃，並不僅僅出於愛國，而是關係到她對鄺裕民的暗戀情愫。她在上海決定再次鋌而走險，又含有對平白失身給梁閏生的不甘心。王佳芝打電話給刺殺同伴傳遞消息時，聽到接電話的人是鄺裕民，她的內心獨白是：“還好，是鄺裕民的聲音。連這個時候她也還是有點怕梁閏生……”（張愛玲 2007，275）。在《色，戒》中，鄺裕民是第一位在王佳芝的回憶裡出場的人物。而且在這段插敘中提到最多的人就是鄺裕民。如需同時談到幾位同學，則是“鄺裕民他們”。故事發展到關鍵時刻，王佳芝回顧自己的感情心路時有這樣一句話，“有一陣子她以為她可能會喜歡鄺裕民，結果後來恨他，恨他跟那些別人一樣”（同上，275）。這句話透露了王佳芝對鄺裕民暗戀幻滅之後的感受，是一個由愛轉怨的歷程。反過來，如上面提到的那樣，如果王佳芝最初決定參與刺殺的動機無外乎是愛國，那麼像這樣一位甘願冒著生命危險去刺殺漢奸的“抗日女間諜”，又怎會如此容易變節？而這時，《色，戒》的讀者會注意到王佳芝的身份背景以及她性格中極其感性的一面。她或許更想幫助自己愛慕的人實現愛國抱負，甚至在某種程度上把對方的理想當成了自己的理想，所以才願意以身涉險。這樣一來，讀者相對會比較容易理解女主人公潛意識裡因愛生怨之後的衝動變節。而英文原作 *The Spying* 中並沒有這樣的一層人物關係，於是讀者只好認為女主人公是抱著單純的愛國動機去刺殺漢奸，那麼她最後的變節就會顯得突兀，沒有《色，戒》那麼令人信服。

此外，另一個人物梁閏生是王佳芝在上海決定再次參與刺殺行動的重要原因。在香港時，幾位同學為了讓扮演少婦的王佳芝做好一切準備，派他們中唯一有性經驗的梁閏生去跟她行房。王佳芝在為刺殺計劃犧牲了童貞之後，易先生卻突然返回上海，導致刺殺計劃夭折。這讓王佳芝陷入了十分難堪的境地。她開始覺得大家都“用好奇的異樣的眼光看她”，“有很久她都不確定有沒有染上什麼髒病”（同上，280）。在這樣一層心理陰影之下，她才會在上海同意再次加入刺殺行動，覺得“每次跟老易在一起都像洗了個熱水澡，把積鬱都沖掉了，因為一切都有了個目的”（同上，280）。關於這一點，張愛玲本人也曾有過描述：

王佳芝的動搖，還有個遠因。第一次企圖行刺不成，賠了夫人又折兵，不過是為了喬裝已婚婦女，失身於同夥的一個同學。對於她失去童貞的事，這些同學的態度相當惡劣——至少予她的印象是這樣——連她比較有好感

的鄭裕民都不能免俗，讓她受了很大的刺激。他甚至於疑心她是上了當，有苦說不出，有點心理變態。不然也不至於在首飾店裡一時動心，鑄成大錯。（張愛玲 2002b, 409）

由此可見，張愛玲自譯《色，戒》時對各個故事要素的敘事操縱都有著非常明確的敘事目的。她從事件、背景和人物三方面，全方位增強了故事的立體感和可信度。相較英文原作，《色，戒》的事件鏈條更長，事件之間的邏輯關係更加密切。故事的背景在時空兩方面都有所延展，使得作品的歷史感和跨度感都得到了增強。人物數目的增多、人物身份的戲劇性設計以及人物關係的巧妙安排，不僅使故事更具真實感，也呈現了更為鮮明生動和有血有肉的人物形象。此外，張愛玲的作品一貫有“耐人尋味”、“含蓄表達”等敘事特點（參見李歐梵 2019, 128；張悅然 2020, 148），在《色，戒》的自譯中，她對人物之間微妙關係的設計和處理，也創造出了這樣一種含蓄內斂又密不透風的敘事效果。讀者在閱讀《色，戒》時需更加敏銳，才能從作者的“旁敲側擊”中獲取資訊，抓到隱含在表面敘事之下的敘事暗線，最終真正讀懂這個故事。

### 三、對敘述視角的操縱

熱奈特（Gerard Genette）認為，19 世紀末以來，關於敘述視角的討論是所有敘事技巧探討當中最頻繁的課題（Genette 1980, 196）。的確，敘述視角的功能非常強大，通過操縱敘述視角實現特定敘事效果的案例不勝枚舉。李歐梵指出，“張愛玲的小說之所以耐人尋味，不只是中國通俗小說一種優厚的傳統……也有一些很現代式的技巧，比如在敘事裡面的敘述者是隱藏在後面的”（李歐梵 2019, 131）。許子東在《張愛玲小說中的敘述角度混淆》一文中，探討了張愛玲小說對敘述視角的刻意混淆，認為這是“張愛玲小說的重要技術特點”（許子東 2018, 131）。張愛玲也曾談及自己喜歡使用的敘述視角，她這樣寫道：“我一向沿用舊小說的全知觀點屬用在場人物觀點。各個人的對話分段。這一段內有某人的對白或動作，如有感想也就是某人的，不必加‘他想’或‘她想’”（張愛玲 2002a, 444）。張愛玲這裡所說的“全知觀點屬用在場人物觀點”，正是許子東筆下全知視角混同人物限制視角的“技術特點”。而張愛玲在敘述時“不必加‘他想’或‘她想’”的做法，則正是敘事學和文體學所談論的自由直接引語或自由間接引語（Leech and Short 2007, 255-281）。所謂的自由直接引語和自由間接引語，都屬於人物話語的範疇，前者可以簡單理解為不帶引導詞和引號的直接引語，後者是沒有了轉述者和轉述詞的間接引語。這兩種引語的特徵是敘述者把自己的聲音和視角都讓渡給了人物。這種話語形式之所以“自由”，正是因為敘述者放棄了自己的聲音和視角，讓人物的聲音和視角得以“自由”呈現。這時的敘述者已經隱身，甚至可以說敘述者變成了人物，因此對人物心理的展示常常採取內心獨白的方式，能夠創造出一種真實可信又含蓄耐讀的敘事效果。

*The Spying* 和《色，戒》中最關鍵的一個場景是刺殺地點珠寶行。對女主人公到達珠寶行之後的心理活動描寫，是考驗敘事技巧的重要方面。讀者始終關心的是，女主人公內心究竟發生了怎樣的變化，才讓她在最後的緊要關頭改變主意，放走了刺殺

對象。我們知道，全知視角和人物限制視角都具有透視人物內心的功能，前者是由全知敘述者明確揭示人物的想法，後者則是透過人物的眼光展示其內心的感受。在 *The Spying* 中，張愛玲對 Shahlu 到了珠寶行之後的心理活動描寫是按照她慣用的“全知觀點屢用在場人物觀點”進行的，即全知視角結合人物限制視角。但是，對關鍵時刻人物情感立場的確認，靠的是全知視角。在表明 Shahlu 心跡的部分，張愛玲先是使用了人物限制視角，即 Shahlu 眼光裡看到的 Mr. Tai：他正低頭凝視她戴著鑽戒的手，臉上都是“溫柔憐惜的神氣”（He gazed down at her hand with what seemed to be a tender, half-pitying smile.）（Chang 2008, 13）。緊接著，Mr. Tai 拿出支票準備為她買下鑽戒，正是在這一瞬間，Shahlu 忽然意識到“這個人是真愛我的”（“This man really loves me,” the thought came to her in a flash. “這個男人是真愛我的，”這想法一瞬間閃現在莎露的腦海中。）（同上），於是做出了放走對方的舉動。在這句話中，作者使用了全知視角，是全知敘述者在向讀者明確轉述 Shahlu 的想法。但是讀者難免會覺得 Shahlu 這裏的情感確認來得有點突然。難道她只在這一瞬間才發現對方的“溫柔憐惜”？還是打動她的只是一枚鑽戒？不得不說，雖然張愛玲在 *The Spying* 中對 Shahlu 內心的情感狀態作了明示，但是人物的反應依然顯得牽強。

而在《色，戒》中，張愛玲對上述敘述視角的使用作了保留，除此之外，她還在適當的地方添加了一些王佳芝的內心獨白，主要通過人物限制視角來展示她的內心變化。“這哪像個珠寶店的氣派？”（張愛玲 2007, 283）。這是王佳芝剛進珠寶行時，內心覺得刺殺同伴找的地方不夠檔次，擔心這會有損她在易心目中的形象。這時讀者會想，一個刺殺者何必在乎刺殺目標對自己的看法，尤其是在這種關鍵時刻？後來易主動提出為她挑選鑽戒，店員拿出粉紅鑽石，王佳芝的內心獨白是：“不是說粉紅鑽也是有價無市？……看不出這片店，總算替她爭回了面子，不然把他帶到這麼個破地方來——敲竹槓又不在行，小廣東到大上海，成了‘大鄉里’”（同上，284）。這段人物限制視角的敘述進一步表明王佳芝非常在意易對自己的看法，而且完全是曖昧的小心思。再到“他這安逸的小鷹巢值得留戀”（同上，285），依然是人物限制視角。相比“王佳芝覺得他這安逸的小鷹巢值得留戀”這種全知視角的用法，人物限制視角的敘事效果顯得更加真實，是女主人公心思的自然流露，並且已經透露了她的動搖。後來王佳芝還想到“權勢是一種春藥”一類的諺語，開始自我反問，“那，難道她有點愛上了老易？”（同上，287）。這句話是典型的自由間接引語，直接表達人物的想法，沒有加“她想”這種全知敘述者的轉述標記。《色，戒》的敘述者正是這樣一步步退到幕後，讓王佳芝從自己的限制視角，逐漸展現其內心真實的情感變化和確認歷程。直到最後，當她看到對方臉上“溫柔憐惜的神氣”，一瞬間恍然動了真情，才做出了放走對方的舉動。

之所以要細緻分析珠寶行場景下女主人公的心理變化，是因為這部分內容密切關係到她最後一刻的變節舉動。事實上，除了上述例證之外，《色，戒》中還有多處其他橋段，也是藉由王佳芝的人物限制視角來展示其內心活動的。例如，故事開場那一大段關於打麻將的描寫。易先生來到女士們打麻將的房間，企圖跟王佳芝暗中確認晚上的幽會。“大家算胡了，易先生趁亂裡向佳芝把下頰朝門口略偏了偏”（同上，273）。

王佳芝的反應是，“她立即瞥了兩個黑斗篷一眼。還好，不像有人注意到”（同上）。此處的“還好，不像有人注意到”，來自第三人稱限制視角，使用的是自由直/間接引語（這兩種引語均有被認定的可能），帶有顯著的口語化色彩，是從王佳芝內心直接發出的聲音，生動地揭示了她擔心被周遭人發現她和易之間秘密的心理。而在 *The Spyring* 中，Shahlu 相應的心理活動則基本來自全知視角的描述：“Tai 顯然在等她對幽會給出某種確切回應，他這樣癡傻地逗留在附近頗有些危險”（Tai was obviously waiting for some definite confirmation of their date. It was dangerous to have him hang around when he was in this fatuous mood.）（Chang 2008, 5）。

兩相比較之下，我們可以看出張愛玲自譯《色，戒》時對敘述視角的操縱主要體現在大量運用人物限制視角上，而這種做法要比 *The Spyring* 只簡單依賴全知視角向讀者交待人物內心更具說服力，因為前者更利於創造出一種真實可信的敘事效果。與此同時，張愛玲一貫擅長的對人物內心細膩感受的捕捉和描寫，也由於第三人稱限制視角的使用而在《色，戒》中得到了更加淋漓盡致的呈現。

#### 四、敘事操縱的背後

如前所述，*The Spyring* 早在 1950 年代就創作完成了，但是一直沒有發表。中文版的《色，戒》於 1978 年面世，我們稱其為前者的自譯。單德興曾指出過，翻譯讓張愛玲有了提升語言技能的機會和途徑，自譯又讓她不斷修訂自己的文學創作……（單德興 2010, 5-6）。孫藝風也認為，“張愛玲的自譯作品雖然不總是成功，但是自譯磨煉了她的寫作技巧”（Sun 2013, 32）。雖然兩位學者此處談論的主要是張愛玲的中英自譯，但他們關於自譯是對原作修訂與打磨的觀點，也完全符合《色，戒》英中自譯的現實狀況。我們知道，張愛玲一貫有反復修訂自己作品的習慣，但需要注意的是，不同於其他作品，《色，戒》的修訂過程，其實是從自譯開始且基於自譯的。更準確地講，《色，戒》的修訂其實從一開始就是對 *The Spyring* 的一種跨語改寫。筆者認為，在這一過程中，張愛玲要處理的內容和細節，離不開她在自譯時注意到的 *The Spyring* 中的“敘事缺陷”。換言之，《色，戒》自譯的敘事操縱，體現的首先是張愛玲的改寫努力。而這種改寫努力，在很大程度上是為了改進英文原作的敘事不足。根據李歐梵的對比，張愛玲出版後的《色，戒》比她留下來的《色，戒》“原始手稿”還多出七百多字的篇幅，在其他細節字眼上也有少許更動（李歐梵 2008, 13）。雖然沒有人確切知道《色，戒》在發表之前張愛玲還修改了多少次，但可以想見的是，她最初的修改方向，一定離不開在自譯過程中曝露出的原作的敘事問題。

另外，許多人都知道，“張愛玲中英文都很拿手：‘可以先寫中文然後自譯成英文……也可以先寫英文然後自譯成中文’”（宋以朗 2015, 195）。的確，早在 1940 年代的上海時期，張愛玲就開始用英文進行創作，並將自己發表在《二十世紀》雜誌不同卷期的英語散文自譯為中文。而在 1950 年代離開上海之後，張愛玲更是將英文創作和小說自譯當成了她長期、反覆的文本實踐，其中包括中英自譯和英中自譯兩個方向的語言轉換。張愛玲的英語能力早已毋庸置疑。然而李歐梵卻認為，“張愛玲的英

語固然很好，但是不足以跟她靈巧複雜的中文寫作風格相媲美”（Lee 2012, 245）。拋開《色，戒》自譯（修訂）的歷時性不談，如果我們承認 *The Spying* 在敘事上略遜於《色，戒》的話，那麼這恐怕未必是一個偶然事件。張愛玲的另一篇英中自譯作品《五四遺事》的敘事效果，也要比其英文原作 “The Stale Mates” 更好，儘管《五四遺事》的自譯已經相當“忠實”於原作了（張倩 2018）。也就是說，張愛玲的英語水準固然很高，但當她需要在英文作品中用到較為複雜的敘事技巧時，未必能夠像駕馭中文一樣輕鬆稔熟，更遑論中英兩種語言本身就差異巨大，張愛玲在中文中慣用的敘事技巧，未必能在英文作品中全然實現。李歐梵在談論張愛玲的雙語小說時曾講過，在張愛玲的中文小說中，“她的語言各種靈活式地變換，使得她文本裡面充滿了各種味道。可是到英文版的時候，她受到了限制，這時候我們就發現，她的一貫的敘事者的聲音沒有了……”（李歐梵 2019, 131）。這是李歐梵對張愛玲雙語小說的整體認識，並不特指《色，戒》與 *The Spying*，但後者的情形其實完全符合這番描述。可以說張愛玲自譯《色，戒》的敘事操縱其實是她雙語能力差異背景下的某種必然。

除了認為張愛玲自譯《色，戒》的敘事操縱背後是她對原作敘事缺陷的修訂、或是她優越的中文敘事技巧的必然表現之外，對於《色，戒》與 *The Spying* 之間的敘事差異，筆者還有另一個觀察角度。沈雙曾針對張愛玲早期的散文自譯進行研究，指出張愛玲的自譯可以被看作某種形式的“扮演”（impersonation），目的在於創造一種陌生化的效果，以便更好地向讀者展示“中國”（China）或“中國性”（Chineseness）（Shen 2012, 91）。張愛玲早期英語散文的目標讀者是當時上海租界的外國人。在英文原作中，張愛玲“扮演”的是一個地道的中國人，向外國讀者介紹他們所不熟悉的中國。而當她把這些英語散文自譯為中文時，她很清楚自己的目標讀者這次是中國人，於是又在作品中“扮演”起一個“洋人”的角色，以陌生化的眼光去看待中國人原本熟悉的人和事，儘量製造出新鮮的敘事效果。事實上，張愛玲不僅在她的散文自譯中進行著這樣的扮演，小說自譯也同樣如此。這背後，其實是作者的讀者意識在發揮作用。李歐梵說，張愛玲會根據作品給誰看來調整敘事技巧（李歐梵 2019, 131）。的確，雖然我們之前分析了 *The Spying* 相較《色，戒》的某些“敘事缺陷”，但是誰也不能保證，這些“缺陷”不是張愛玲有意為之的。英文原作的敘事目的，也可能只是要簡單地向英文讀者講述一個發生在中國間諜故事。如果這篇作品的事件、背景和人物過於複雜，張愛玲或許並沒有信心，她的英文讀者會有耐心或者有能力讀懂這個故事。所以 *The Spying* 中對於人物內心的關鍵揭示，都是很直白地依靠全知視角來完成的。但在自譯《色，戒》時，張愛玲心目中的交流對象是中文讀者，《色，戒》也因此有了更為深刻和複雜的文本目的，顯然要與讀者進行更密切而隱晦的敘事交流。在《色，戒》的敘事中，張愛玲不再滿足於簡單的故事情節和淺顯的話語表達，而是開始調動她所擅長的複雜精細的敘事技巧來為讀者呈現一篇更加含蓄耐讀、回味無窮的小說作品。說到底，張愛玲還是更信賴她的中文讀者。用余斌的話說，“她想像中真正能與她心照的讀者還是她的同胞”（余斌 2012, 199）。或許正因如此，她才會在《色，戒》的敘事中將故事複雜化、話語含蓄化，同時放心地通過人物限制視角去與讀者進行交流。

## 五、結語

小說雖然是虛構性的，但是故事的可信度十分重要。只有故事可信了，讀者才會進入作品。《色，戒》是 *The Spyring* 的自譯，但這兩篇作品的敘事手法和敘事效果都差距頗大，最顯著地表現在《色，戒》的故事可信度更高。有評論曾直接指出，“*The Spyring* 很不張愛玲”（鄭依依 2008）。筆者同意這一觀點，認為 *The Spyring* 在表現張愛玲的敘事特色方面並不典型。而相比之下，《色，戒》的敘事手法就“很張愛玲”。*The Spyring* 和《色，戒》雖出自同一個故事藍本，兩篇小說在廣義上可以說是一個故事的兩種講法，但是透過敘事學的濾鏡，我們發現張愛玲在將 *The Spyring* 自譯為《色，戒》時，對事件、背景和人物的敘事操縱，大幅度地編輯了原作的故事要素。在這個意義上，故事本身也成為了可供調度的敘事技巧。此外，張愛玲又通過對敘述視角的調整，高度依賴人物的眼光，突顯了她一貫含蓄細膩的敘事風格。

自譯是介於翻譯與寫作之間的一種文本實踐，自譯者身兼譯者與作者的雙重角色（Fitch 1988; Pontiero 1997; etc.）。然而，在自譯者的“譯”與“作”之間，並非總有一個涇渭分明的界限。在不同的自譯案例中，自譯者有時可能更偏向譯者的身份，有時則可能更偏向作者的身份。即使在同一作品的自譯過程中，自譯者也會因處理的內容不同而在“譯”“作”之間有所側重。就《色，戒》自譯的案例而言，張愛玲顯然常常偏向於她的作家身份。所以，在《色，戒》自譯的敘事操縱背後，首先體現的其實是張愛玲的改寫努力；其次，張愛玲優越的中文水平和嫺熟的中文敘事技巧也是《色，戒》敘事效果更為成功的一項重要原因；最後，還有她作家身份所賦予的敏銳的讀者意識在發揮作用。

特別值得一提的是，由於自譯作品兼具譯作與原創的雙重特性，因此可以從翻譯學與文學的雙重視域來予以考察。在本研究的文本對比階段，採用的即是翻譯學取向；而到了剖析敘事操縱原因的部分，則在很大程度上關注的是兩部作品在寫作層面的特色。本文的這種探索性做法以及所總結出的《色，戒》自譯敘事操縱背後的原因，是否適用於張愛玲其他作品的自譯、與其他作家的自譯實踐有何異同以及對自譯研究又有何啟示，這些問題或許還有進一步探討的空間。

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## 注釋

[1] 英文小說的標題 *The Spyring* 也有的用作 *Spy Ring*，又名 CH'ING K'E! CH'ING K'E!（《請客！請客！》）。本文根據宋以朗公開的列印稿，統一採用 *The Spyring*，中文回譯為《諜戒》《間諜圈》或《間諜之戒指》。

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# An Empirical Study on the English Translations and Reception of *Wenxin diaolong*

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## ***Abstract***

*In the past half-century, the English translation and critical studies of Wenxin diaolong (The Literary Mind and the Carving of Dragons) have made substantial progress through the joint efforts of Western and Chinese scholars. However, the previous scholars neither articulated the history and development of its translation nor investigated the translations' reception worldwide. To gain a panoramic view, this article begins with broad parallel surveys to offer an overview of the English translation history of Wenxin diaolong worldwide. Then it conducts a case study by employing the quantitative analysis of the global collection data of the five typical English translations by means of the WorldCat. Based on the detailed comparisons and analyses, the article concludes that the successful reception of Zong-qi Cai's English version around the world demonstrates that it is more convincing and acceptable to conduct a theoretical reflection on the three critical perspectives, which are intracultural, cross-cultural, and transcultural perspective on Western and Chinese literary criticism and to present a thorough parallel comparison of some major themes illustrated by literature between the traditions of Western and Chinese poetics. This creative rewriting of traditional Chinese theories of literature by combining broad surveys with in-depth studies is not only a kind of respect for the voice of non-Western literature in the post-modern context but also a rational methodological attempt for the modern transformation and global transmission of Chinese theories of literature.*

## 1. Introduction: The English translations of *Wenxin diaolong*

It was the dark medieval era when Western culture was at a standstill at the end of the fifth century, while Chinese culture was in a period of vigorous development from the Han Dynasty to the Wei and Jin Dynasties. During this period, Liu Hsieh's *Wenxin diaolong*, which is the utmost important magnum opus of Chinese theories of literature was created with a highly polished structure, perfect refined language, and profound content, which is comparable to Aristotle's *Poetics*. Today, *Wenxin diaolong* is unanimously regarded to be the most important work of theory and criticism in Chinese literary history; it is widely quoted as an authentic voice in studies of literature of all periods and genres (Richter 2012). As such, *Wenxin diaolong* is deserving of a careful and comprehensive translation. How about the worldwide situation of translation and reception for such a classical ancient Chinese theory of literature?

There are three complete English versions and eight English section versions all over the world since the birth of Vincent Yu-Chung Shih's (施友忠) first English complete translation of *Wenxin diaolong* in 1959. Table 1 below provides an overview of the English translations of *Wenxin diaolong*.

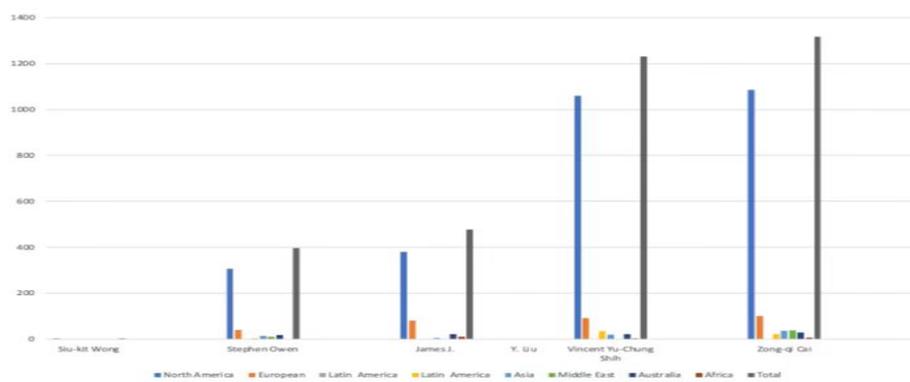


Figure 1: The bar chart of global library collection data distribution of five English translations in the past 50 years

As shown in Table 1, compared with the translation of other Chinese literary classics, the number of complete translations of *Wenxin diaolong* is still relatively small. Chinese Sinologists in the English-speaking world are the main force in the English translation of it. From the perspective of the overall translation situation, the degree of translation completion for translators is getting higher and higher. Initially, there were just single-section translations and then multi-chapter translations appeared. It can be seen that the translation of *Wenxin diaolong* and the audiences' attention to the English-speaking world has been strengthened. From the perspective of its publication and distribution, half of them are from American University Press, while Europe and Hong Kong University Press each account for only 10%, which shows the important position and communication power of the United States as the center of Sinology

Table 1: The overview on English translations of *Wenxin diaolong*

Translators and Their Nationalities	English Versions	Publishing Houses or Periodicals	Publication Time	Description of The Translation
Erwin Esiah Gordon (USA)	<i>Some early ideals in Chinese Literature Criticism</i>	University of California	1945	Abridged translation (Yüan-Tao) (原道)
E.R.Hughes (USA)	The Art of Letters	Pantheon Books Inc.	1951	Abridged translation (Yüan-Tao) (原道)
Vincent Yu-Chung Shih (Chinese American)	<i>The Literary Mind and The Carving of Dragons</i>	Columbia University Press	1959	Complete translation
Yang Hsien-yi and Gladys Yang (Chinese)	Carving a dragon at the Core of Literature	<i>Chinese Literature</i>	1962	Abridged translation (5 chapters) (co-translation)
Ferenc Tökei (Hungary)	<i>Genre Theory in China in the 3rd-6th Centuries: Liu Hsieh's Theory on Poetic Genres</i>	Budapest: Akadémiai Kiadó	1971	Abridged translation (2 chapters)
James J. Y. Liu (Chinese American)	<i>Chinese theories of literature</i>	The University of Chicago Press	1975	Excerpted translation
Wang Zuoliang (Chinese)	<i>Translation: Experiments and Reflections</i>	Foreign Language Teaching and Research Press	1989	Abridged translation (Mingy-shih and Ts'ai-lüeh) (明詩、才略)
Stephen Owen (USA)	<i>Readings in Chinese Literary Thought</i>	Harvard University Press	1992	Abridged translation (18 chapters)
Siu-kit Wong, Allan Chung-hang Lo & Kwong-tai Lam (Chinese American)	<i>The Book of Literary Design</i>	Hong Kong University Press	1999	Complete translation (co-translation)
Zong-qi Cai (Chinese American)	<i>Configurations of Comparative Poetics-Three perspectives on Western and Chinese Literary Criticism</i>	University of Hawai'i Press	2002	Excerpted translation (3 chapters)
Yang Guobin (Chinese American)	<i>Dragon-carving and the Literary Mind</i>	Foreign Language Teaching and Research Press	2003	Complete translation

today. Besides, it can be seen in the above table that the main publishing organizations of *Wenxin diaolong* in the English-speaking world are those well-known American university presses, such as Harvard University Press, Columbia University Press, University of Chicago Press, and so on. The readers are mainly the academic readership of universities in Europe and the United States. Thus, it can be seen that there is still great room for improvement in the field of its transmission and research, which entails expanding from the academic community to the general public.

The process of the translation of *Wenxin diaolong* can be divided into three main periods: The first period (1945-1960) as the beginning of translation, which is marked by the

birth of Vincent Yu-Chung Shih's English translation, including some previous translations, such as Erwin Esiah Gordon's and E.R. Hughes' version. Sinologists were only interested in philosophy at first, then poetry, and finally began to translate and study Chinese theories of literature. During this period, the translation and introduction of Chinese theories of literature were still in the exploratory period, and it was not until the emergence of Vincent Yu-Chung Shih's translation that Western scholars began to pay attention to Chinese theories of literature for the first time.

The second period (1961-1990) is the development period of translation, during which the United States, as the center of Sinology, held a self-critical attitude towards the West after the end of the Cold War. During this period, Chinese scholars account for a large proportion of translators of ancient Chinese theories of literature. The birth of the first complete translation version has expedited the desire of Chinese Sinologists to render and introduce Chinese classics, coupled with the heating up of Asian studies in the United States and the influx of Chinese Sinologists into North American universities. Sinology professors in the United States are not only willing to communicate and cooperate with native Chinese speakers, but also more willing to listen to the voices from China. With their proficiency in both Chinese and English culture, these Chinese Sinologists not only completed the English translation of *Wenxin diaolong*, but also explained its essence of it from comparative perspectives, which promoted the overall development of the translation and transmission of *Wenxin diaolong* worldwide. In 1962, Yang Hsien-yi and Gladys Yang (楊憲益、戴乃迭) began to translate five chapters of *Wenxin diaolong* and published them in the journal of *Chinese Literature*, from which many foreigners get to know Chinese literature. Yang Hsien-yi and Gladys Yang translated it into "Carving a Dragon at the Core of Literature". Besides, from the theory of creation to the appreciation of literature, they selected and translated five chapters. This abridged translation not only aroused the Western scholars' strong interest in the profound thoughts of ancient Chinese literature but also enlightened many Western scholars who do not know much about the Chinese language or those who held a biased attitude against Chinese theories of literature. They get to know and are inspired by the poetic wisdom of Chinese culture, which is different from their tradition (Yang Hsien-yi and Gladys Yang 1962). During this period, James J. Y. Liu's (劉若愚) abridged translation also plays a pivotal role in the development of the translation of *Wenxin diaolong* in the English-speaking world. James J. Y. Liu, who once taught Chinese literature and Chinese theories of literature in Ivy League universities in the United States, is the leader of traditional Chinese poetics in the English-speaking world. He made a valuable attempt to push Chinese theories of literature toward the world under the framework of Western theories of literature. He has not published any monograph on *Wenxin diaolong*, yet there are a large number of translations of it in his work *Chinese Theories of Literature*, which once attracted the general attention of Western scholars forasmuch its refreshing form of theories of literature through fusing aesthetic thought in Chinese and Western traditions. It

undoubtedly propelled the transmission of the essence and characteristics of Chinese theories of literature towards the world. Many scholars are inspired by his research methods and used them as a reference for future research, such as Wai-leung Wong (黃維樑), Wai-Lim Yip (葉維廉), and Pauline Yu (余寶琳).

The third period (1991-present) is the summit of the translation. China's economic growth and comprehensive national strength have sharply increased in the wake of the reform and opening up. This period is characterized by the joint translation of Chinese scholars and Western Sinologists with the emergence of two complete translation versions and abridged translations with the largest number of selected chapters. Among the contemporary Western Sinologists, Stephen Owen, the professor in the Department of East Asia and Comparative Literature at Harvard University, has made the greatest contribution to the translation and literary criticism of *Wenxin diaolong*. He selected 18 chapters of it to render and interpret, which covers more than one-third of his monograph *Readings in Chinese Theories of literature*. It has enjoyed a high reputation in Sinology circles of the English-speaking world for a long time, which not only sets up a communication bridge for worldwide readers to understand Chinese theories of literature but also finds a way for us to break through the traditional Western and Chinese theories of literature system and produce new thoughts and new approaches through two-way elucidation in the process of interaction and mutual illumination between Eastern and Western theories of literature. After entering the new century, the "Library of Chinese Classics" project, which introduced and transmitted Chinese traditional culture to the world, was officially launched. Yang Guobin (楊國斌), who was an assistant professor for the Department of Sociology at the University of Hawaii, translated *Wenxin diaolong*. Also, it has been introduced and excerpted translated in many Western anthologies of literary theories during this period, such as the *Indiana Companion to Traditional Chinese Literature*, the *Colombia History of Chinese Literature*, *Chinese Literature, Ancient Classical*, the *Handbook of Oriental Studies*, and the *Classical Chinese Literature—An Anthology of Translation*. Chinese theories of literature thereby have become a relatively independent research field in the Sinology of the English-speaking world and entered the vision of Western literary critics with a renewed development.

The translation history of *Wenxin diaolong* spans more than half a century. As Table 1 shows that the publication time of the three complete translation versions coincides with the time of the two summits of the translation, namely, the first period in the late 1950s and the third period in the late 1990s. The United States was eager to know about Chinese literature in the socialist camp in the wake of the Cold War in the 1950s. In just a few decades from 1959 to 1970, supported by the Rockefeller and New York Carnegie Foundation of the United States, many prestigious American universities, such as Harvard University, University of Michigan, Columbia University, Berkeley University, Washington University, Cornell University, and so on, have successively established a large number of departments of Chinese studies, such as

the Department of East Asian Language and Literature, and recruited a large number of scientific research talents from Europe and Asia. Moreover, many important academic groups such as the Far Eastern Association and Harvard-Yenching Institute have been established. With the influence of this trend, the number of English doctoral dissertations written by overseas students on Chinese classical literature sprung up. Some overseas students even transferred from other majors to Chinese classical literature majors, which was regarded as their hobby or even their future occupation. Whatever one point is certain: they have acted as a new force in the study of overseas Chinese classical literature and formed a Chinese academic group that has profoundly changed the pattern of Sinology research in the English-speaking world. Such as James J. Y. Liu (劉若愚), Vincent Yu-Chung Shih (施友忠), Xu Fu-guan (徐復觀), Chen Shih-hsiang (陳世驥), Yu-kung Kao (高友工), Kang-i Sun Chang (孫康宜), Shuen-fu Lin (林順夫), Wai-leung Wong (黃維樑), Wai-lim Yip (葉維廉), Wu-chi Liu (柳無忌), Ching-I Tu (涂經詒), and so on. They all went abroad for further study after obtaining a bachelor's degree in China and then taught or engaged in research related to Chinese classical literature in Britain or the United States after graduation. They created a lot of insights and new thoughts with global characteristics within the tension of cultural collision and blending between Eastern and Western traditions. Besides, the establishment of several academic groups and journals, such as the American Oriental Association, the Society of Asian Studies, the American Association for Chinese Studies, the *Journal of Asian Studies*, and the *Journal of the American Oriental Society*, has greatly increased the overall research strength of Sinology which is more conducive to the transmission of *Wenxin diaolong* in the English-speaking world. It is undisputed that the publication of Vincent Yu-Chung Shih's version as the first complete English translation has opened up a favorable new situation for the transmission of *Wenxin diaolong* in the English-speaking world. China's reform and opening up entered a new development stage in the 1990s, and a large number of Western poetics and literary works were translated and introduced to China. The Chinese theories of literature and Western poetics constantly exchanged and collided with each other, which aroused the consciousness of Chinese Sinologists to reflect on their tradition. There are a large number of English translations, literary criticisms, and academic research works of *Wenxin diaolong* that have been published one after another which witnesses the in-depth intercultural communication and constructive dialogue between East and West. To a certain extent, this has also promoted the deepening of research on *Wenxin diaolong* in the English-speaking world, which is also called *longxue* (龍學) or "Dragonology" (Cai 2001, 2).

## 2. An empirical study on the reception of English translations

In the present section, I will make an empirical study of the overseas reception of English translations in the light of five typical translators: Vincent Yu-Chung Shih, James J. Y. Liu,

Stephen Owen, Siu-kit Wong (黃兆傑), and Zong-qi Cai. To a certain extent, their different forms of translation have exerted great influence on propelling the development of “Dragonology”.

As the first complete translator of *Wenxin diaolong*, Vincent Yu-Chung Shih attached his two academic research papers, which are “Liu Hsieh’s Classicism” and “Liu’s Conception of Organic Unity”, to the preface part of his revised English translation published by the University of Hong Kong in 1983. What’s more, the preface of the revised edition is reorganized into three parts: “Development of Literary Criticism Before Liu Hsieh”, “Liu Hsieh and His Theories of literature” (this part is divided into “Liu Hsieh the Man”, “Liu Hsieh’s Classicism” and “Liu’s Conception of Organic Unity”) and “Evaluation of Wen-Hsin by Later Scholars”. It introduces Liu Hsieh’s creative background and literary view of classicism in detail. It is also considered that Liu Hsieh’s conception of organic unity is the underlying principle of his literary creation. Also, he added a list of keywords at the end of the rendition to facilitate readers’ inquiry and research. These previous academic research papers were published before the birth of his translation. It can be seen that he held *Wenxin diaolong* in high esteem and never forgot to conduct thorough research on it. As a scholar-type translator, he even integrated his research results into the notes of his translation. This is evident in the note of the Tsan (贊語). To popularize the stylistic knowledge about the Tsan among Western readers, he adopted the interpretation in the note of the Chapter “On Tao, the Source” 原道 (Yuandao) as follows: “The Tsan, as used in this work, is a form of rhymed poetry with four-word lines.” Just as Liu Hsieh asserts in the Chapter “Ode and Pronouncement” 頌贊 (Songzan):

But the Original idea of the *tsan* developed out of the desire to express praise or admiration. For this reason, its style has always been terse, allowing little room for expansion. Its lines are always in the four-word pattern, and its rhymes are limited. Its guiding principle is to employ brevity of language to portray adequately the feelings involved and to develop its literary expressions with emphasis on lucidity. (Shih 1959, 53)

然本其為義，事在獎嘆，所以古來篇體，促而不廣，必結言與四字之句，盤桓乎數韻之詞，約舉以盡情，昭灼以送文，此其體也。(Zhou 2013, 89)

As for the function of *tszu*, Liu Hsieh added that:

These gave summaries in terse language and adopted the style of the sung for pronouncing judgments. And the critical remarks at the end of *chi*, or chronicles of rulers, and *chuan*, or *biographies*, are also given the same name *tsan*. (Shih, 1959, 53)

約文以總錄，頌體以論辭；又紀傳後評，亦同其名。(Zhou 2013, 88)

Such translation integrated Vincent Yu-Chung Shih’s deep and thorough understanding of the original text, which is also evident in the first sentence of *tsan* in the Chapter “Evidence

from the Sage” 徵聖 (Zhengsheng):

The *Tsan*: Superbly divine, he [Confucius] was born with knowledge. (Shih 1959, 16)

贊曰：妙極生知，睿哲惟宰。(Zhou 2013, 23)

To explain the literary origin of the traditional term “生知” in the original text to the Western readers, Vincent Yu-Chung Shih added an item from Lun-yü yin-te (論語·季氏) in the note of this chapter:

Where Confucius speaks of three kinds of men, distinguished by three ways of possessing knowledge: the highest type is he who is born with knowledge; next comes he who obtains it through learning, and lowest is he whom slaves to get it. (Shih 1959, 16)

生而知之者，上也；學而知之者，次也；困而學之，又其次也；困而不學，民斯為下矣。(Yang 2017, 247)

There are so many similar examples in his translation. Vincent Yu-Chung Shih’s adoption of this translation approach of integrating literal translation with interpretative translation will undoubtedly illuminate the whole context and history of the esoteric work, as well as deepen the understanding of his translation by Western readers. To a certain extent, this not only improves the overseas understanding of the English translation of *Wenxin diaolong*, but also contributes to its rapid spread around the world.

James J. Y. Liu is the first Chinese American scholar who tries to introduce Chinese theories of literature to Western readers in English. Specializing in ancient Chinese poetry and theories of literature, he is a highly respected scholar in Anglo-American Sinology. He is well aware of the characteristics and needs of Western readers and adopts different strategies to broader readers. When writing the general introduction of his monograph *Chinese Theories of Literature*, he thought that the book was not written specifically for those scholars who study Chinese literature, thus he tried to avoid specialized discussions in the book. He explains Chinese theories of literature from the perspective of comparative poetics between East and West, repeatedly citing the theories of Liu Hsieh, and most of his translations and introduction are integrated into his research as a citation. For those scholars who specialized in Chinese literature, his book also covers specialized discussions and citations of reference books in the note. He believes that these notes, bibliographies, and lexical indexes as the clue could help western readers with their further research. His translation approach differs from Vincent Yu-Chung Shih’s in two main points: Firstly, he rarely uses notes but explains directly in the text with clear and understandable language. He once argued that his monograph *Chinese Theories of Literature* is not devoted to a study of *Wenxin diaolong*, therefore he shall add notes only when they seem needed for a full understanding of the text, or when his translation calls for an explanation. Secondly, He transliterates *wen* (文) and then indicates in brackets

the various concepts denoted or connoted by the word, which appears to be their order of importance in each case. That's because he noticed the polysemy of *wen*, which makes it almost impossible to translate the word by any single English word (Liu 1975, 21-22). Such a translation provides the reader with an open text, allowing enough room for understanding and interpretation. Although his attempt to integrate Western and Chinese theories of literature has not been successful, such a research paradigm undoubtedly has a far-reaching impact on East-West Studies.

The same can be said of Stephen Owen's *Readings in Chinese Literary Thought*, which is a perfect combination of translation and literary criticism. First of all, he comments on each selection and attaches a glossary of terms, which facilitates further study. Secondly, one of the ambitious goals of his book is to introduce Chinese literature to the West. He adopted a consistent form of commentary — a passage of the original text followed by a translation and an explanation (Owen 1992, 13). Reading his book is just like shuttling within interlaced space-time dimensions between ancient and modern, Western and Chinese. He formulated the two-way interpretation of Western and Chinese theories of literature with this translation strategy of integrating translation and commentary, which has exerted an extensive and profound influence on overseas Sinology circles.

Siu-kit Wong began to study *Wenxin diaolong* before his complete translation *The Book of Literary Design* was published. He not only translates the important chapters of *Wenxin diaolong*, but also interprets crucial thoughts in his monograph *Early Chinese Literary Criticism*. As a popular translator, he adopts the domestication approach and takes free translation as the primary approach and interpretation as the secondary one. The notes are resolved in the lines and explained in the way of free translation and interpretation, which simplifies the extra-textual notes. In the complete translation, his understanding and interpretation of the original text are integrated between the lines. After the complete translation version, three appendices such as the title, the name of the person, and notes are added to meet the needs of English-speaking world readers of Chinese learning. In a word, he provided an elegant and readable translation in the English-speaking world (Wong 1999).

Zong-qi Cai is one of the prolific scholars of "Dragonology" in the English-speaking world. He initiated and organized an international conference on "*Wenxin diaolong*" from contemporary perspectives at the University of Illinois in 1997 after the international conference on *Wenxin diaolong* held in Beijing in 1995. Although the number of people attending the meeting was not large, it gathered many famous Sinologists from North America, such as Andrew H. Plaks, Stephen Owen, Kang-I Sun Chang, Shuen-fu Lin, and Ronald Egan, etc. In 2001, Zong-qi Cai published the English symposium of the conference, i.e. *A Chinese Literary Mind: Culture, Creativity, and Rhetoric in Wenxin diaolong* (Cai 2001, 2). Then he published the monograph *Configurations of Comparative Poetics: Three Perspectives on Western and Chinese Literary Criticism*, in which he translated three chapters of *Wenxin diaolong* (Cai

2002, 1-5, 270). His translation is based on Fan Wenlan's (范文瀾) edition and drawn from the glosses, annotations, commentaries, and translations given in other editions, including Huang Kan (黃侃), Lu Kanru (陸侃如), Zhou Zhenfu (周振甫), Yang Mingzhao (楊明照) and Zhan Ying (詹瑛), etc. In the course of translating this and other passages from the *Literary Mind*, he consulted Vincent Yu-Chung Shih's and Stephen Owen's translations and benefited from their insights into the original work as well as their choices of words and expressions (Cai 2002, 270). It is not only a modern excerpted translation of *Wenxin diaolong*, but also a result of Cai's many years of study on comparative literature of Western and Chinese theories of literature. He compares the important themes of Western and Chinese poetics from three research perspectives, which are intracultural, cross-cultural, and transcultural perspectives on Western and Chinese literary criticism by means of integrating macrocosmic and microcosmic structures of Western and Chinese poetics. This book is mainly for academic exchange, but the detailed statement is also suitable for graduate students majoring in Chinese literature and comparative literature.

As there have been different opinions on the current situation of the transmission and reception of the above five translations in academia. Thus, this paper specially searched WorldCat, the most comprehensive online database of information about library collections in the world, which is currently searchable for libraries in 112 countries and includes bibliographic records from nearly 9,000 libraries, involving more than 1 billion bibliographic records. To some extent, WorldCat provides a more objective view of the current status of global transmission and reception of each English translation.

This paper selects the following five typical English translations, namely, Siu-kit Wong's complete translation version, Stephen Owen's abridged translation, James J. Y. Liu's excerpted translation, Vincent Yu-Chung Shih's complete translation version, and Zong-qi Cai's excerpted translation, and track statistics on their global volume capacity and distribution over 50 years from 1970 to 2021.

The results show that there are 1,359 libraries in the world with Cai's translations, only 3 libraries with Siu-kit Wong's translations, and 1,231 libraries with Vincent Yu-Chung Shih's translations. James J. Y. Liu's and Stephen Owen's translations have a global collection of 477 and 396 respectively. To make an in-depth analysis, this paper makes a quantitative analysis of the global collection data of the above five translations.

First of all, it is viewed from the region of distribution, as Table 2 shows, the common feature of the five translations is that they all have more than 75% of their collections in North America, namely, their respective collections in North America account for more than a quarter of the world's total. Thus, it can be seen that the total collection of North America ranks first among all continents, and Europe temporarily ranks second, while Latin America, Australia, the Middle East, and Africa, which are not centers of Sinology, have relatively small collections, some of which are even zero. North America has the largest collection of traditio-

Table 2: Global WorldCat data distribution statistics of five English translations in the past 50 years (data as of July 2021)

	North America	European	Latin America	Asia	Middle East	Australia	Africa	Total
Siu-kit Wong	3 (100%)	0	0	0	0	0	0	3
Stephen Owen	306 (77.27%)	41	3	15	11	18	2	396
James J. Y. Liu	380 (79.66%)	80	0	6	0	21	11	477
Vincent Yu-Chung Shih	1060 (86.11%)	92	34	20	0	22	3	1231
Zong-qi Cai	1086 (82.46%)	101	22	36	39	30	7	1317

nal Chinese literature in the world. Although North America does not have the geographical and cultural advantages of China's neighboring countries, such as Japan and Korea, its history of research is not as long as that of Japan and Korea. With its strong research team, unique research perspectives, and fruitful research results, however, it has become a global leader in Sinology research since the middle of the 20th century. Although the study of classical Chinese literature in the United States started two or three centuries later than in Britain, there have been more than 1,000 kinds of books and doctoral dissertations on Chinese classical literature since the last century. There are now nearly 10,000 professional Sinologists worldwide, while in the United States alone there are more than 6,000 of them, nearly 1,000 PhDs in Sinology are graduated each year, and hundreds of books on Sinology have been published overseas (黃鳴奮 1997, 31). Since the middle of last century, with the end of World War II and the beginning of the Cold War between the United States and the Soviet Union, the United States was eager to know about the emerging countries out of its political needs, so the United States began to actively fund academic interdisciplinary regional research in the second half of last century, which has promoted the process of Sinology research in North America directly or indirectly. In this context, the center of Western Sinology was transferred from Europe to the United States (熊文華 2015, 4). North American Sinology, which is dominated by the United States, has developed a school of its own, and great changes have taken place in its research content, approaches, and ideas. European traditional classical studies focus on the field of Chinese traditional humanities, while North American Sinology extends it to all aspects of social sciences, resulting in the emergence of "Sinology" (Chinese Study). Whether Sinology or Chinese Study, their research basis, paradigm, content, and approach often refer to each other and express each other. As the research center of Sinology, the United States has increasingly become a stronghold for the transmission and reception of Chinese traditional theories of literature in the English-speaking world.

Secondly, Vincent Yu-Chung Shih's translation accounts for the highest proportion in North America. There are 6 different editions of his English translations worldwide since 1970, which ranks first among the five translations. He initiated the translation of *Wenxin diaolong* and the communication effect of his English translation is better than that of others. What can be seen in figure 1 is the collection number of the five English translations, which in Europe is second only to that of North America in the number of translations of *Wenxin diaolong*, while the number of African collections, which are relatively backward in economy and education, is relatively small other than South Africa and neighboring Botswana. Most African national libraries even haven't collected any English translation of *Wenxin diaolong*, which shows that there is still a lot of room for transmission in Africa.

Generally speaking, among the abridged or excerpted translations, Stephen Owen's and Zong-qi Cai's English versions are relatively evenly distributed around the world, and libraries on all continents have their translations. It's worth pointing out that Zong-qi Cai's excerpted translation has been published both in the English version (2002) and the Chinese version (2012), and the total number of library collections is even higher than the complete translation versions. To a certain extent, this shows that in the era of globalization, it is important to discover universal features common to all traditions. In this regard, the translation version of Chinese Theories of literature contains in-depth comparisons and analyses with an affinity-based paradigm and is much easier to spread and accept by heterogeneous cultural readers. At the same time, it also shows that with the continuous deepening of the exchange of Western and Chinese theories of literature, the transmission of *Wenxin diaolong* in the English-speaking world has gone from the translation-oriented phase supplemented by literary criticism to the literary criticism-oriented phase supplemented by translation. A large number of English translations of *Wenxin diaolong* have been published in Western and Chinese academia which provided various avenues for dialogue and interaction between Western and Chinese poetics in the wake of Chinese literary criticism and academic research works have been published one after another in the world. Zong-qi Cai's rendition came into being under this background. He learned the lesson from James J. Y. Liu's failure to directly apply the framework of M. H. Abrams's *The Mirror and The Lamp*, which was only used as a frame of reference to make theoretical reflection from the intracultural, cross-cultural, and transcultural perspectives. These three perspectives help him "to explore the dynamic relationship of cultural specificity and commonality in Western and Chinese poetics". The success of his excerpted translation is a profound deconstruction of traditional Chinese theories of literature from the perspective of post-deconstruction and a powerful reversal of the traditional Western and Chinese poetics relationship that "evaluating Chinese poetics in terms of its conformity to the Western critical system theory". As he has pointed out that since Western poetics has long been in a powerful position, it is inevitable that Western scholars seldom feel that it is necessary to reflect upon the cultural specificity of Western poetics. Consequently, some scholars

are tempted to regard Western critical terms, concepts, and paradigms as universally valid and apply them to studies involving non-Western traditions. Nevertheless, when forced into the Western framework, Chinese critical terms, concepts, and modes do not exhibit the kind of internal coherence demanded of a Western critical system, which gives rise to a widely held belief that Chinese critical writings are mostly random, impressionistic, and woefully unsystematic. This alleged lack of systematic coherence has been perceived as a prominent, culture-specific feature of Chinese poetics (Cai 2002, 1-5). Besides, the constructive dialogue between Western and Chinese poetics can bring unlimited benefits of mutual enlightenment. Only when we treat Western and Chinese poetics in equal positions, can we appreciate their respective cultural characteristics and enrich the diversity of world theories of literature. Zong-qi Cai elaborates Western and Chinese literary criticism from the above three perspectives through the combination of macrocosmic and microcosmic structures, translation, and literary criticism. He succeeds in breaking through the boundary between translation and literary criticism and judiciously arranges the excerpted translation of *Wenxin diaolong* as an illustration of his viewpoint with a more acceptable approach to the Western public, such as in Chapter 6 his comparison of differences as well as similarities between Wordsworth's and Liu Hsieh's theories of literary creation. In this two-way interpretation and cross-cultural study of Western and Chinese theories of literature, the readers can not only trace the inner context of the respective development of Western and Chinese poetics but also transcend cultural biases of similarities and differences inherent in Western and Chinese comparative cultural studies and better appreciate our common humanity. Thirdly, both translation and literary criticism are derivative, deriving from a prior text. What both translation and literary criticism can be in certain circumstances is a distillation or expansion of the text. Without translation, literature could not be experienced outside their usual areas of language use. Without criticism, nearly as obviously, literature could not build up the traditions that help preserve and disseminate them. Translation and literary criticism have lots in common (Rose 1997, 12-13). First of all, the simultaneous intertwining of translation and literary criticism is a process of constantly promoting cultural accumulation and innovation, both of which are symptoms of the continuation of the original work, and are the process that is always closer to the original but never completed. Secondly, they are homogeneous, both of which contain the process of intra-textual investigation and hold the ultimate goal of seeking common ground with each other and preserving their differences. Besides, both of them have cross-cultural nature and the function of interpretation and communication. The translation itself is a kind of interpretation and communication, and the selection and interpretation of works also imply the aesthetic taste and value judgment of translators and communicators. Meanwhile, research or literary criticism also resorts to translation to reinterpret and re-evaluate the practical significance and theoretical value of the source text from the current context, because interpretation and evaluation are the main tasks of critics or researchers. Through literary criticism, the original work can be reinterpreted and renewed

within a new context. In this respect, it is important to bridge the fields of translation and literary criticism and to place Chinese theories of literature in the context of world poetics. It is my contention that conducts a dialogue between Western and Chinese theories of literature on the same theme and explores the way of expression and thinking with the modern value from the Chinese classic theories of literature from the standpoint of the integration of Western and Chinese literature. Chinese theories of literature will become an integral part of the ongoing global construction of cultural diversity in this way. The transmission of Chinese theories of literature in the English-speaking world has changed from the initial phase of the “translation-oriented” phase to the “literary criticism-oriented” phase. More pertinently, the transmission of Chinese theories of literature in the English-speaking world has changed from the stage of transmission of language and content to that of thoughts and ideas. Thus, it can be seen that this paradigm of comparative Western and Chinese poetics, which integrates macrocosmic and microcosmic structures, translation, and literary criticism, has promoted the transmission and reception of *Wenxin diaolong* in the English-speaking world, and has become a new trend and growth point in the study of traditional Chinese theories of literature.

To some extent, the global library collection data distribution reveals the reading situation of the English translations and the distribution of the audience, from which we can see the present situation and development trend of the transmission and reception of *Wenxin diaolong* in the English-speaking world. It is found that the collection institutions of its English translations are generally academic and research-oriented university libraries. Nonetheless, what is interesting is that the collection distribution of Zong-qi Cai's rendition is not only collected in research university libraries, but also in community libraries. This exemplifies the trend that the readership of *Wenxin diaolong* and even Chinese theories of literature have begun to shift from the elite to the masses, from traditional universities and research institutions to community counterparts. It is also a breakthrough in the transmission process of *Wenxin diaolong*. Just as Steven G. Yao pointed out that Cai's book will appeal primarily to specialists, yet its detail also makes it appropriate for advanced graduate classes in Chinese and comparative literary studies (Yao 2003). In another respect, Chinese theories of literature have taken their places in world literature through the joint efforts of Western Sinologists and Chinese scholars.

### 3. Conclusion

Chinese theories of literature, especially classical theories of literature of *Wenxin diaolong*, which are taken as the meta-language of Chinese literature, require to be explored carefully. It is a theoretical basis during the development of Chinese literature, which has a deep relationship with Chinese literature and illuminates the development of Chinese literature for more than 2,000 years. It can be said that the concept and connotation of Chinese literature are condensed in those expressions of theories of literature (汪洪章 2005 · 2). The translation

of Chinese theories of literature is an indispensable part for cross-cultural communication and dialogue between Western and Chinese theories of literature and considerable development of Chinese theories of literature. Therefore, it deserves particular concern.

There are at least two enlightenments from the above empirical research: Firstly, to a large extent, the success of Zong-qi Cai's rendition depends on the communication perspective of comparative poetics. He breaks through the boundary between literary translation and literary criticism, captures the Chinese theories of literature of universal significance between the West and China, as well as adopts the translation approaches of compiling, rewriting, and interpreting which is integrated into multi-dimension research of Western and Chinese comparative poetics. The interdisciplinary research trend of comparative poetics is mirrored in Zong-qi Cai's brand-new interdisciplinary approach to interpreting the traditional Chinese theories of literature. He reconstructs forms, restores meanings, replaces writings with the spirit of another language, and seeks the meeting point of Chinese and Western theories after exploring the differences and similarities between Chinese and Western poetics so that the theories can be accepted and absorbed gradually. It can be said that this creative rewriting has a positive significance of cross-cultural communication, just as Martin Heidegger once said "it will cast a new light on the essence of theories of literature", (Heidegger 1968, 10) which makes Chinese traditional theories of literature more valuable for cross-cultural communication. It is not only a kind of respect for the cultural other's voices of non-Western literature in the post-modern context, but also a creative rewriting of traditional Chinese theories of literature in the post-theoretical era. It is a laudable effort for the modern transformation and global transmission of traditional Chinese theories of literature.

Secondly, it is undoubtedly that the transmission and reception of the Chinese theories of literature towards the world depend on the study of their practical application. Therefore, we should try our best to put the theories of literature into the context of their interpretation so as to give them continuous life. Cai takes Chinese literary works as examples to make his assertion more convincing. In this sense, Chinese theories of literature and Chinese literature complement each other, promote each other, and seek common development.

In sum, only based on Chinese literary works, Chinese theories of literature can effectively carry out two-way interpretation with Western poetics. Besides, based on understanding the characteristics of Chinese theories of literature, we must elaborate more modern interpretations, which across the boundary of ancient or modern, home or abroad. Only through this way can we activate the new growth of high-quality genes of classic oeuvres and creates a new starting point for the future.

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# Translation of *Qing* (情) in Ancient Chinese Literary Thought: An Analysis Centering on Stephen Owen's Readings

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## ***Abstract***

*Ancient Chinese literary thought involves volumes of ancient texts that explore literature in relation to other social concerns. Qing, an essential literary concept, has scarce research on its translation that incorporates its evolvement in different periods. The present study examines the translation of Qing in this system with analyses that are outlined alongside Readings in Chinese Literary Thought by Stephen Owen. The study classifies Qing's usages into four periods according to those that have been proposed in literary studies and further generalizes them into two major trends: expansion (the first two periods, 1046 BC-AD 712) and focus (the third and fourth periods, 713-1912). The author discusses these trends, relates Qing's meaning with the social milieu of the respective periods, and analyses Owen's translation of different occurrences of the concept. Qing's use in literary texts falls within three general categories: situational (qingkuang 情況), emotional (ganqing 感情), and literary expressionistic (wenqing 文情), and the use peaks with Wenxin Diaolong (文心雕龍) by Liu Xie (劉勰) (c.465-532). Wenxin Diaolong, produced at the end of the first trend (expansion), functions as a further case study. Its varied usages of Qing and the availability of multiple translated versions provide a venue to both explore the subtleties within the general categories and identify shared translation strategies that pertain to a broader range of concepts. The conclusion reviews the evolvement of Qing over time and highlights the insights drawn from Owen's translation.*

## 1. Introduction

“Ancient Chinese literary thought” clearly encompasses a wide yet subtle range of texts, although its original phrase *zhongguo gudai wenlun* 中國古代文論 frequently appears as a ready-made term. A generalized statement by Stephen Owen (1992, 3) demonstrates a rough impression of “literary thought”: it is how a civilization interprets “the relation between its literature and its other concerns.” Shaoyu Guo’s selection of texts in the anthology of “ancient Chinese literary thought” reveals a more specific definition of this phrase: selected Chinese texts illustrate literary ideas and represent the development of literary theories (1979, 4). This system boasts a broad coverage, including philosophical ideas about art, remarks from literary theorists, and experience in writing (Li 2000, 1-4). The unique literary system provides a venue for this study, and its intricacy poses challenges to its introduction to the western readership.

This research purports to examine the translation of *Qing* in ancient Chinese literary thought in the context of the changing historical milieu. The selection of texts largely draws from Owen’s monograph, *Readings in Chinese Literary Thought* (hereinafter referred to as *Readings*), to outline the semantic changes of *Qing*.<sup>[1]</sup> His interpretation of Chinese discourse is a new paradigm of Chinese literary research as he integrates Chinese literary thought with hermeneutic discussion from western literature (Wang and Shi 2008, 56). As the focus of the research, *Qing* presents varied connotations in the literary texts of multiple historical periods. An investigation into such variation is significant. Firstly, it is a fresh attempt to embody *Qing*’s translation across historical periods. Moreover, such an incorporative perspective benefits the understanding of both the concept and the sophisticated literary system in the background. The study contributes to existing academia as it examines *Qing* through an extensive lens, summarizes its usages within corresponding historical backgrounds, and identifies translation strategies that pertain to a wider range of concepts.

Inspired by Zhongxiang Cai’s theoretical classification that outlines the development of Chinese literary thought, this study charts the connotational variations of *Qing* by classifying selected texts based on his proposed periods. As Cai suggests, ancient Chinese literary thought went through four stages, beginning with the Zhou, the Qin, and the Han Dynasties (1046 BC-AD 220); followed by the period from the Wei and Jin Dynasties to the early Tang Dynasty (220-712); then the phase from the height of the Tang Dynasty to the Yuan Dynasty (713-1368); and finally, the Ming and the Qing Dynasties (1368-1912) (Cai 1987, 31-33). The demarcation sheds light on a burgeoning-developing-deepening-concluding route that outlines the development of literary concepts. Texts in *Readings* are then discussed in these frameworks which offer possible explanations for the variance of *Qing*. Trends of expansion and focus thus emerge from an incorporative reading of the concept. The sections thereafter observe Owen’s translations of *Qing* as it aligns with these trends and evaluate their expressiveness in representing the subtle meanings. Meanwhile, analyses of Owen’s translation are complemented by his in-text exegesis and comments. They provide additional explanations, from Owen’s ac-

count, for his consideration of word choice and interpretation of the original texts. Between discussions of the two trends, *Wenxin Diaolong* is utilized as a further case study to analyze the subtleties of *Qing*. Produced at the end of the second period, it signals a literary system that came into shape (Cai 1987, 31), and in the interest of this study, it represents the threshold between the two trends. Its discussion involves two additional translations by Guobin Yang and Siu-Kit Wong for a more detailed evaluation and analysis of shared translation choices that contribute to future practices.

## 2. Scholarly discussions on translingual practices in ancient Chinese literary thought

The English renditions of ancient Chinese literary concepts encounter both challenges and prospects during language transfer. Chinese literary thought and its English counterpart have developed into distinctive systems: an elusive Chinese system and a more definite English version (Hu 2003, 11). Such divergence incurs difficulties in translation efforts to bring Chinese concepts to life. For instance, Wenjing Dai and Mingdong Gu (2019, 42) point out an oversimplified tendency in translating chapter titles of *Wenxin Diaolong* into mere writing techniques, which overlooks the subtleties in the original Chinese phrases. However, an effort to bridge the two cultures comes with insights for more accurate translations. Just as “literary openness” in English correlates with the traditional Chinese concept “aesthetic suggestiveness” (*hanxu* 含蓄) (Gu 2003, 118-119), existing English terminologies bring instant familiarity to reading Chinese thought. Oversimplification, the side effects of such attempts, shall be offset by explanations provided in translation.

Essential concepts in ancient Chinese literary texts go beyond mere characters to shed light on the literary system. The tradition of literary thought is, in many aspects, made up of concepts, which evolve over time and interconnect with other aspects of human endeavor (Owen 1992, 4). Despite the partial representation by their English translations, Chinese concepts such as *Qing and Jing* (景) facilitate the understanding of basic elements that contextualize Chinese poetry (Radtke 1981, 117). Likewise, Louise Sundararajan (2004, 201) observes that “savoring” (*pin* 品) is prominent in the thematic analysis of *The Twenty-Four Categories of Poetry* (二十四詩品) for its portrayal of an ideal poet’s traits. Yu Gao (2019, 153) examines how major concepts affected ancient literary criticism and established a system of classical Chinese literary thought. A closer look at the *Wenxin Diaolong*, the text that has been strongly analyzed by this research, also suggests the value of literary concepts. The ways of expression that emerge from *Wenxin Diaolong* and other texts function as a metalanguage that defines Chinese (Dai 2020, 69). Linbo Li (2018, 97) indicates that the character “*Wen*” in the text is more than terminology; it is a manifestation of the discourse and methodology in ancient Chi-

nese literary thought. Knowledge about basic concepts in *Wenxin Diaolong* functions as an entrance for translating Chinese literary thought to the overseas readership (Dai and Gu 2019, 37). However, there exists a deficit of accurate, systematic translations of basic concepts in ancient Chinese literary thought. An overview of the translation of Chinese concepts (Chen and Wang 2013, 59) suggests that despite the noticeable progress in the 21st century, the literary section sees frequent occurrences of disorder and lack of accuracy, which would stand in the way of cultural exchanges. Considering the distinctive features of these concepts, Yi Zeng and Danyang Fu (2019, 226) propose a focus on ancient Chinese literary terms that highlights foreignness in results.

Scholarly discussions on *Qing* by sinologists mostly stand on literary history (Dai 2021, 42). An early statement by Angus Charles Graham (1986, 59) proposes that *Qing* in pre-Han texts means “genuine” in different word forms and never “passion.” Later studies revise this claim by suggesting that *Qing* is input from reality (Hansen 1995, 196) and that the cosmological context of *Qing* shows mutual interpretations more associated with emotions than the proposed genuineness (Bruya 2001, 151). The term’s tenor evolved from the nature of things to the natural dispositions from which emotions arise (c. 440-221 BC) (Cai 2020, 403). *Huainanzi* 淮南子, written in the second century BC, manifested the result of such change: as Matthew Dupéron (2015, 88) identifies, *Qing*’s meaning in this text ranges from actual situation to the “subtle inner condition linked to an outer manifestation.” As Curie Virág suggests (2017, vii-viii), the emphasis on the “normative potential of human emotions” in the Han Dynasty (202 BC–AD 220) would receive recognition as a defining feature of traditional Chinese culture. *Qing* is frequently discussed with the aspect of emotion in the aforementioned studies, but it risks the generalization that overlooks its uniqueness. Despite the resemblance between the Chinese *Qing* and the western “emotion,” the two concepts are divergent, as *Qing* possesses a higher degree of linguistic homogeneity (Eifring 2004, 3).

While the studies in the previous paragraph share a focus on the Han Dynasty and pre-Han dynasties, Siu-kit Wong’s research on *Qing*’s use in literature criticism fills in many blanks as it covers the period from the pre-Tang period to the Qing Dynasty (5th-19th century). Wong’s analysis outlines *Qing*’s evolvment in the post-Han period, which goes on to pinpoint the features and problems in Chinese critical language (Wong 1969, 1-12). Another incorporative examination of *Qing* appears in the first chapter of Haiyan Lee’s monograph. From Confucian classics to full-length novels and drama scripts, Lee charts a “prehistory” of sentiment by placing *Qing* in various contexts, including its relations with ritual propriety, desire, familial emotions, and heterosexual romance (2006, 25-59). As suggested in the above-cited scholarly insights, the concept of *Qing* has complicated connections in literary and intellectual writings.

Still, although existing research outputs have amply analyzed *Qing* in early literary texts, there are far fewer discussions regarding post-Han dynasties. Moreover, most previous insights on *Qing* spare to cover various text types in ancient China, but ancient Chinese literary

thought deserves additional analysis as a unique literary form. As English research lays focuses on the concept's meanings, the translation of a certain meta-concept in ancient Chinese literary thought, where this study develops, is less frequently explored. Except for Wenjing Dai's (2021) detailed analysis of the translation of *Qing* in *Wenxin Diaolong* and its overseas reading, *Qing*'s English rendition in Chinese classics has yet to be discussed. This study contributes to the current scholarship by outlining *Qing*'s use in major trends, analyzing its translation in seminal texts of ancient literary thought, and summarizing insights conducive to the translation of meta-concepts.

### 3. Expanding usages of *Qing*: Texts from the early period to the early Tang Dynasty

This section addresses the trend of expansion in *Qing*'s use, which emerges from the texts in the first two periods of literary thought (1046 BC-AD 712), and analyzes the corresponding translation by Stephen Owen. Building upon connotations identified by Christoph Harbsmeier (2004, 71) and Siu-kit Wong (1969, 328-333), which complementarily collect *Qing*'s meanings across the history of ancient Chinese literary thought, *Qing* can be categorized into either "situational" (*qingkuang* 情況), "emotional" (*ganqing* 感情), and "literary expressionistic" (*wenqing* 文情) use. Specific usages proposed by the two scholars fit into this major categorization as: (i) "situation": nature of things, imagined truth, and basic factors; (ii) "emotion": passion, basic instincts, morally refined emotions, artistic sensibility, and deep convictions; (iii) "literary expression": substance/identity of poetry and non-visual literary elements. [2]

In the first period, the Zhou, the Qin, and the Han Dynasties (1046 BC-AD 220), Confucianism flourished in literary thought. Literature got promoted for its social functions, and its conformity with the nature of humanity was broadly discussed (Cai 1987, 31). In this context, although valued, *Qing* abided by the norms set by rite (*li* 禮) and reason (*li* 理). *Qing* would therefore be considered a means to optimize social morality and an entity led by rite and reason. In this formation period of *Qing* and other literary concepts, *Readings* includes four excerpted texts that include occurrences of *Qing*: *Book of Changes* 易經·繫辭傳, *The "Great Preface"* 詩大序, *Xunzi* 荀子 and *Record of Music* 樂記. Each example below presents a translation result of *Qing* from Owen's readings; others are not included because they provide overlapping results.

(1) 聖人立象以盡意，設卦以盡情偽。《易經·繫辭傳》

They set up the hexagrams to give the fullness of what is true and false in a situation (*qing*). (Owen 1992, 31)

(2) 情動於中而形於言，言之不足，故嗟歎之。《詩大序》

The affections (*qing*) are stirred within and take on form (*xing*) in words (*yan*).

(Owen 1992, 41)

(3) 吟詠性情，以風其上。《詩大序》

They sang their feelings (*xing-qing*) to criticize (*feng*) those above. (Owen 1992, 47)

(4) 樂由中出故情，禮自外作故文。《樂記》

Since music comes from within, it belongs to genuine affections (*qing*). (Owen 1992, 55)

The usages of *Qing* in this period can be grouped by their objects, whether describing situations (as shown in example 1) or feelings (as shown in examples 2-4). The first item discusses how sages elaborate on what is on their minds, and *Qing* refers to the conditions of the situation. Such judgment stems from the context: hexagram symbolizes everything in nature and its rules of change (*niwu lixiang* 擬物立象), and provides a thorough representation of the outside world. In this case, Owen is accurate in deciding its connotation. His attempt to attach the transcript highlights the position of an important concept and correlates “situation” with *Qing*’s usage. Examples (2) through (4) show a clear reference to the inner world. While “affections” and “feelings” are synonymous, Owen applies them in different contexts. Where *Qing* is generated from within (動於中/由中出), Owen employs “affections” to represent a process of emergence as the word shows a sense of depth. Noticeably, in example (4), Owen adds the adjective “genuine” to intensify such effects, as the passion arises from the bottom of one’s heart. In example (3), Owen observes that the sentence represents how the public reacts to the king’s governance and applies “feelings” to indicate the impression or experience of the public. *Qing* in this early stage is simple in its connotations, roughly summarized by the “nature of things” in situation and “passion” and “basic instincts” in emotion. Occurrences in the early stage are mostly rendered as “situation” and “affection.” As has been noted in past research on *Qing*, the concept in early texts evolved from the description of facts to feelings from the inner world. Since this period of emergence, the concept has been gradually enriched by historical contexts.

The second period spanned the Wei and Jin Dynasties (AD 220-420) and encompassed the early Tang Dynasty (618-712). It is regarded as a phase of literary consciousness (*wenxue zijue* 文學自覺) (Cai 1987, 31-32); political upheavals and the decay of Confucianism led to a literary opposition against the former period. During this stage, the inner world was highlighted as an object of literary composition, and internal links of literature formed an essential part of theoretical exploration. The progress in literal concepts granted literature more flexibility, and *Wenxin Diaolong* by Liu Xie signified a mature system in Chinese literary thought. *Qing* became more progressive in its dynamic with the rite, and those aspiring to reform literary trends contended that poetry should go by *Qing* (*yuanqing* 緣情) (Xiao 1996, 10). It is fair to note how, during this stage, *Qing* evolved with broader connotations creating a role that could shape literature; moreover, *Qing* received fewer restrictions from the rite. In *Readings*, texts

from the second period, *Wenfu* 文賦 and *Wenxin Diaolong*, provide evident enrichment regarding the meanings of *Qing*. *Wenxin Diaolong*, noticeably, has the most comprehensive usages and connotations among all texts analyzed in *Readings*. It will be discussed later as a further case study with reference to another two translations in order to reveal the subtleties in *Qing*'s use and provide insights for translation. Here, *Qing* in *Wenfu* is analyzed with its increasing usage and connections with literary creation. (Examples showing identical translation results are not included to streamline the presentation).

(1) 詩緣情而綺靡，賦體物而瀏亮。

The poem follows from the affections (*qing*) and is sensuously intricate. (Owen 1992, 130)

(2) 佇中區以玄覽，頤情志於典墳。

(He) Nourishes feeling (*qing*) and intent (*zhi*) in the ancient canons. (Owen 1992, 87)

(3) 每自屬文，尤見其情。

And whenever I myself compose a literary piece, I perceive full well their state of mind (or “the situation”, *qing*). (Owen 1992, 80)

(4) 練世情之常尤，識前修之所淑。

I have a fine sense of the constant transgressions in the disposition of this age. (Owen 1992, 170)

(5) 因宜適變，曲有微情。

The fine turns have the most subtle moods. (Owen 1992, 166)

Owen's comment on *Wenfu* (1992, 74) is a compelling answer to the increasing occurrences of *Qing* in this text; in this text, the mind wanders through the inner world while looking for the origins of a literary work. The text witnesses a major development of *Qing* as *Qing* becomes a characterizing quality of poetry (Wong 1969, 24). Such findings again correlate to the social background in which *Qing* is allowed to contradict rite (*renqing beili* 任情悖禮) (Xiao 1996, 10). The statement in example (1) is a distinct innovation, which repositions *Qing* in literary creation. It is no longer placed under the framework of the rite for social improvement but as a pathway to refined poetry. As Siu-kit Wong states, Lu Ji takes a decisive step in example (1)'s sentence by defining poetry in terms of *Qing* (1969, 25). Examples (1) and (2) are in the division of emotion, while Owen adopts consistent translation with the ones from the first period, their usages have been different because of their links with poetry and intent (*zhi* 志). The translation in example (3) seems difficult because the original information indicates certain qualities of literature. Neither the use of “emotion” nor “situation” alone would suffice for semantic development. Owen identifies the object of this *Qing* as literary texts and maintains the ambiguity suggested in example (3). He indicates both subjective (writers' thought) and objective (situation) elements in his translation with transliteration of the attached character to align with other occurrences. This paraphrase plus transliteration is typical

in his translation, indicative of his efforts to remind readers of the original concept and subtle divergence between results in the two language systems. “Disposition” in example (4) bears similar application with “situation,” directing to descriptions of the trend of the time. While Owen’s word choice in example (5) seems synonymous to those in (1) and (2), the result in (5) is inspiring as *Qing* embodies new connotations as a literary expression. This shows the rising interconnectivity between *Qing* and other concepts in literary systems. “Subtle moods” can refer to slight changes in writers’ feelings, but it is more likely to refer to elements in literary texts such as argument, tempo, and forces (Owen 1992, 167). With this insightful innovation, more usages categorized under literary expression emerge in later texts, especially in *Wenxin Diaolong*.

Overall, *Qing* in the first two periods showed both an increase in occurrences and an extension in explanations and applications. Under the influence of Confucianism in the early period, *Qing* played an auxiliary role in rites as it described a certain situation that was mostly used to shape a more harmonious society. *Qing* came into writers’ views when overall literary consciousness grew in the latter period. As they sought ways to deliver their feelings flexibly, *Qing* increased in its occurrences as emotions or feelings. As writers took a further step to extend its meaning, the concept started to indicate literary expression with a strengthened bond with literature. It is noticeable that earlier usages did not disappear but remained as a branch of the concept. Owen follows this track, and the semantic evolvement is mirrored in his translation results. He manages to draw a clear line on major categories of meaning, and readers can easily tell situations in earlier texts apart from later usages in emotion. Owen adopts a domesticating way to explain the concept. He tries to paraphrase the concept when it is difficult to find a word-for-word counterpart in English, and he identifies subtle differences under the same category and corresponds usages according to the context or object (such as feelings, affections, and moods). Meanwhile, his phonetic notation “*qing*” after most translations shows his efforts to provide a consistent impression of *Qing*, which is a foreignizing attempt to remind readers of the original concept.

#### **4. Case study: Connotations of *Qing* in *Wenxin Diaolong* and its English translation**

*Wenxin Diaolong* (finished in the early 6th century) is included in the second period, but it is selected as a further case study because it towers above other discussed texts in both occurrences and subtle usages of *Qing*. It also foregrounds manifestations of Owen’s understanding of Chinese literary thought. In view of Liu Xie’s various quotations from classics, his literal translation of most quotations and allusions introduces Chinese rhetoric to the western readership (Hu and Liu 2019, 137). In this section, discussions on *Qing* in *Wenxin Diaolong*

do not refer solely to the translation in *Readings*, but also draw from comparative versions by Guobin Yang and Siu-kit Wong. This will benefit the analysis of *Qing* in terms of the subtleties conveyed in *Wenxin Diaolong* and the multiple English versions in place. The case study begins with a categorization of *Qing*'s usages in *Wenxin Diaolong*, follows up with translation results by the three English versions, charts the variations of each version, and suggests shared strategies demonstrated in the translated versions.

#### 4.1 Categorizing usages

*Qing* has over 130 occurrences in *Wenxin Diaolong* and varied definitions of its connotations in annotated versions. For instance, in *Wenxin Diaolong Jinyi* 文心雕龍今譯, the character can mean emotion (*ganqing* 感情), content (*qingli* 情理) and interest (*qingqu* 情趣) (Zhou 1986, 533). Classifications in *Wenxin Diaolong Cidian* 文心雕龍辭典: a fusion of emotion and scenery (情景交融), a combination of emotion and content/emotion and intent (*qingli jiehe* 情理結合/*qingzhi jiehe* 情志結合), and the genuineness of emotion (*qing zhi zhenwei* 情之真偽) (Zhou 1996, 245-246). According to *Wenxin Diaolong Shiming* 文心雕龍釋名, items concerning *Qing* are expressive talent (*caiqing* 才情), emotion and intent (*qingzhi* 情志), content (*qingli* 情理), variations of content (*qingshu* 情數), changes in literary creation (*qingbian* 情變), and literary expression (*wenqing* 文情) (Chen 2007). The table below presents an incorporative result of classifications and examples on the basis of the annotated versions.

Table 1: *Qing*: Classifications and examples

Classification		Examples
Literary expression ( <i>wenqing</i> 文情)	content ( <i>qingli</i> 情理)	巨細或殊，情理同致。《明詩》 情理設位，文實行乎其中。《鎔裁》
	variations of content ( <i>qingshu</i> 情數)	若情數詭雜，體變遷貿。《神思》 篇統間關，情數稠迭。《附會》
	changes in literary creation ( <i>qingbian</i> 情變)	故鋪觀列代，而情變之數可監。《明詩》 洞曉情變，曲昭文體。《風骨》
	interest ( <i>qingqu</i> 情趣)	斯固情趣之指歸，文筆之同致也。《章句》
emotion ( <i>ganqing</i> 感情)	emotion inspired by things ( <i>wuqing</i> 物情)	情以物興，故義必明雅。《詮賦》 情以物遷，辭以情發。《物色》
	emotion stirred by intent ( <i>zhiqing</i> 志情)	夫情動而言形，理髮而文見。《體性》 夫綴文者情動而辭發，觀文者披文以入情。《知音》
	expressive talent ( <i>caiqing</i> 才情)	斯乃舊章之懿績，才情之嘉會也。《隱秀》
	(genuineness of emotion ( <i>zhenqing</i> 真情)	昔詩人什篇，為情而造文。《情采》 泛論君子，則雲：“情欲信，辭欲巧。”《征聖》
situation ( <i>qingkuang</i> 情況)	conditions of an object	以少總多，情貌無遺矣。《物色》 窺情風景之上，鑠貌草木之中。《物色》

According to the subject of *Qing*, the author divides meanings mentioned in annotated

versions into three major categories: (i) literary expression (*wenqing* 文情) with literary creation as its subject, (ii) emotion (*ganqing* 感情), with writers as its subject, and (iii) situation (*qingkuang* 情况), with the described object as its subject. The result of the major categories aligns with Harbsmeier's and Wong's findings, but subordinate to the first two categories are several varying sub-categories. It can be noted that discussions on *Qing* in *Wenxin Diaolong* center on literary creation and criticism, with broad analyses ranging from subtle content of literary texts to dynamics of literature. *Qing* in this piece proceeds to cover multiple meanings, from emotions stirred by the outside world, generated inside, to distinguish genuine feelings from fake ones. This brings further subtleties to translation, a thorny issue for translators.

## 4.2 Translation of *Qing* in selected translation versions

This section starts with an overview of translation results in each selected version, followed by analyses of the overall styles reflected in respective versions, translation of *Qing* as a single character and in compound words. Three English translation versions are adopted, namely *Wen-hsin tiao-lung* by Stephen Owen, *Dragon-Carving and the Literary Mind* by Guobin Yang (2003), and *The Book of Literary Design* by Siu-kit Wong (1999). Translation results of the examples listed in Table 1 are presented below.

Table 2: Translation results of classified examples

Classification		Translation by Stephen Owen	Translation by Guobin Yang	Translation by Siu-kit Wong
literary expression ( <i>wenqing</i> 文情)	content ( <i>qingli</i> 情理)	affections and basic principle	feeling and thought; feeling and ideas	general principles; arguments and sentiments
	variations of content ( <i>qingshu</i> 情數)	variety of states of mind ( <i>qing</i> ); numbers of the affections	human feelings; feeling and thought	substance of what we write; moods claiming attention
	changes in literary creation ( <i>qingbian</i> 情變)	mutations of the affections ( <i>qing-bian</i> )	changes in literary fashions; subtleties of human feeling	subtle workings of change; transformations in accordance with their substance
	interest ( <i>qingqu</i> 情趣)	impulse of the affections ( <i>qing-qu</i> )	human expression	compositions of quality
emotion ( <i>ganqing</i> 感情)	emotion inspired by things ( <i>wuqing</i> 物情)	affections	feelings	emotions
	emotion stirred by intent ( <i>zhiqing</i> 志情)	affections	emotion; emotionally stirred, feeling	emotions
	expressive talent ( <i>caiqing</i> 才情)	talent and the affections	talent and feeling	potentials of feeling and thought
	(genuineness of emotion ( <i>zhenqing</i> 真情)	how they felt ( <i>qing</i> )	genuine feeling; feelings	emotions
situation ( <i>qingkuang</i> 情况)	conditions of an object	circumstance ( <i>qing</i> ); circumstantial quality ( <i>qing</i> )	situations; elements	the inner truth; realities

The styles of the three translators become visible in the results of the translation of the concept. Owen adopts a distinct way of translation: he adds phonetic notations after part of the words, usually in italics between parentheses. This indicates his efforts to include foreignization in translation to remind readers that the English translation does not equal the connotation of the original Chinese word or character (Owen 1992, 16). It is also fair to say that Owen, himself a reader of ancient Chinese literary texts, has noted the ambiguity in and various meanings of the character as well as the connotational loss in language transfer. Therefore, he attempts to infuse Chinese literary concepts into the English system. In comparison, Yang and Wong go closer to target readers, and with a more domesticating inclination, they sacrifice some untranslatable connotations for the sake of coherence. It can be seen from their results that they chose not to attach phonetic transcripts after translation. This fuses the concept into the context but at the same time dilutes its presence and makes it less detectable to English readers.

Before discussing the examples listed in Table 1, it is conducive to note the differences between forms that dictate the classification of connotations. In one case, *Qing* forms an individual part of the sentence without attaching to another character, such as in “情動而言形” and “辭以情發”. In another, it appears in a compound word forming a noun phrase with another character, as in “情理同致” and “洞曉情變”. In most cases where *Qing* occurs as a single character, it is translated word-for-word as an independent character; in other ones, it is explained with phrases, such as “what we write,” “literary fashions,” and “subtle workings.” In literal translation of such a character, the translators choose their keyword for the character to present its major meaning, i.e., affections (Owen), feelings (Yang), and emotions (Wong).

Relevant definition of “affection” in the Collins English Dictionary: emotion, feeling, or sentiment.

Relative definitions of “feeling”: (1) an emotion, such as anger or happiness; (2) the things that you think and feel about it, or your attitude towards it; (3) a way of thinking and reacting to things which is emotional and not planned rather than logical and practical.

Relative definitions of “emotion”: (1) a feeling which can be caused by the situation that you are in or the people you are with; (2) a strong feeling; excitement.

These expressions are synonyms — similar in core meanings — and they seem to be explanations of one another but they differentiate the translations. “Affections” employed by Owen stands out in its directness, facilitating a coherent association of the concept; however, it may be deficient in showing the polysemy of the original character. For example, *Qing* relates to intent in *zhiqing* (志情), but this is different from the *Qing* in *qingbian* (情變) that indicates dynamics in literary creation; Owen uses “affections” in the translation of both words, which may be insufficient in the representation of literary aspects in the latter term. “Feeling,” as adopted by Yang, is the most diverse in connotations among the three versions: apart from “emotions,” it also suggests ways of thinking, attitude, and impulse. While it exceeds Owen’s

version in the translation of *qingli* (情理), due to its wide range of meanings (over ten other usages), readers need to choose among various meanings and may find it ambiguous. The word “emotion” used by Wong ranges between the two words above with a focus on the *ganqing* (感情) sub-classification. It is semantically more intense than “feeling” and useful in delivering the connotation of *zhiqing* (志情) and *zhenqing* (真情). Meanwhile, the emotion inspired by the situation in definition (1) coincides with *wuqing* (物情) which shows the external world as the source of the emotional impulse. In the *wenqing* (文情) classification related to literary creation, Wong adopts a more flexible way of translation as he paraphrased the words according to contexts. In several aspects, Wong’s representation of *wenqing* (文情) seems to be the most effective at helping the reader understand the original text among the three versions. It effectively distinguishes between ones referring to literary texts or creation and ones describing the experience of writers.

The translation results of *Qing* in compound words were analyzed case by case according to the classification presented above. The four words subordinate to *wenqing* (文情) can be found in the original text, thus explaining why their translation results correspond more directly with the categories. *Qingli* (情理) and *qingqu* (情趣) are both parallel phrases with two characters of same grammar functions; *qingshu* (情數) and *qingbian* (情變) illustrate possessive relations, as the former means the variety of content and the latter means changes in literary creation.

When translating *qingli* (情理), all versions maintain the structure of the original phrase. Owen and Wong both present the objectivity manifested within, and “general principle” by Wong lays stress on *li* (理) to fit into specific contexts. When translating *qingshu* (情數) and *qingbian* (情變), Owen distinguishes between the two characters by presenting the connotation of *shu* (數) and *bian* (變) with “variety” “numbers” and “mutations.” Yang’s result of *qingshu* (情數) is somewhat different in understanding: he considers the phrase the content of emotion rather than of texts. Yang’s application of singular “feeling” and “thought” does not match the sense of abundance in the original text. But in the translation of *qingbian* (情變), “changes in literary fashions” by Yang provides a wise paraphrase and stands out among three versions. Wong’s version of the two phrases is most clear in defining subjects, as he narrows down subjects to certain texts during translations of relative examples. The translators differ in their understandings of *qingqu* (情趣). While the original term refers to articles with fun or interest, Owen’s version intensifies the rhythm of the term and diverges from the original direction. The subject defined in Yang’s version sits between articles and writers, providing an abstract paraphrase for the word. Wong has a more pertinent presentation of the meaning as he fixes the phrase into the explanation of quality articles.

The naming of the subcategories under the *ganqing* (感情) column is subject to different scholars’ understanding, and therefore do not often find identical phrases in the original text. Connotations of *wuqing* (物情) and *zhiqing* (志情) are quite similar, although they differ in the

source of inspiration. All the translators have applied their chosen keywords and have clarified the meaning in a straightforward manner. Yang highlights that *zhiqing* (志情) is generated from inside by using “emotionally stirred” in one example. Owen and Wong both translate the concept character by character and resume its parallel structure. By translating *cai* (才) as “talent,” Owen emphasizes the gift of writing; “potential” used by Wong suggests acquired or future abilities. In *zhenqing* (真情), Owen illustrates the means of delivery of emotions, and “genuine” employed by Yang highlights the meaning of *xin* (信) and shows a higher awareness of distinguishing genuine emotions from false ones.

Occurrences of *Qing* in *qingkuang* (情況) are clear in their reference. Owen and Yang place the concept in a specific scene by adopting synonymous words: “circumstance” and “situation.” The depiction of the context shows an observation of the object, and semantically, the words are largely parallel regarding this usage. Like suggested in other cases, Wong employs a more flexible method of translation. “Truth” and “reality” display a focused range, showing the translator’s choice in meaning — to observe the actual qualities of the object. More clarity is seen in this usage *Qing*, and each version of the translation finds a reasonable representation in the target language.

### 4.3 Translation strategies shared by selected versions

Apart from the discussion of *Qing*’s variations in *Wenxin Diaolong*, the employment of multiple translations also intends to generalize insights that are applicable to translating keywords in ancient Chinese literary thought. Despite varied styles and results presented in the three different translations, there are shared strategies that are inspiring for evaluation. Drawing from the tables above, the three shared strategies are: (i) locating core connotations through keywords; (ii) adding words to show a stance; and (iii) paraphrasing a phrase to specify meanings.

All of the translators chose a keyword in the translation of *Qing*, showing an effort to keep consistent results. “Affection” adopted by Owen, “feeling” chosen by Yang, and “emotion” by Wong are considered by the translators as the best equivalence of *Qing*. As analyzed earlier, all choices have their strengths: “affection” for its directness, “feeling” for its polysemantic range, and “emotion” for its relative preciseness in delivering *Qing*’s use. The choice of the keyword indicates how the translators perceived *Qing*’s core meanings and sought its English counterpart.

During language transfer, the translators chose to add words to show their stance. The high-context feature of Chinese makes part of connotations implicit in phrases or sentences, and they are instead implied in their contexts. The three translators clarify such connotations according to their interpretations. “Variety of” added in “variety of states of mind” by Owen in *qingshu* (情數) shows that besides the number, the phrase also refers to varied forms in states of mind. In his translation of *Qing* in “art is used to express genuine feeling” (為情而

造文), Yang adds “genuine” prior to “feeling,” altering the neutral meaning of “feeling.” This shows his understanding of the context, also his efforts to reduce the ambiguity of the sentence. The original text distinguishes the tradition “為情而造文” from later tendency to “counterfeit feeling for art” (為文而造情) and criticizes the trend to fabricate emotions in the original text’s era. Therefore, the *Qing* in the former sentence refers to real emotions, distinct from the *Qing* in the latter one. Wong adds “subtle” in “subtle workings of change” when translating “故鋪觀列代，而情變之數可監”， and through this additional word, Wong suggests how changes through generations are gradually developed. By adding words to show their understanding of the original information, the translators manage to familiarize readers with the multiple meanings of the sophisticated concepts.

The third common solution is to paraphrase a character or phrase to specify meanings. While the translators sought to keep the consistency in the translation of central concepts, they adopted flexible measures to paraphrase contents that were difficult to find the English counterparts of. Connotations were thereby filtered by the expressions they chose and narrowed down to the ones presented in the translation results. When translating *Qing* under the *zhenqing* (真情) category, Owen applies “how they felt (*qing*)” to specify writers as the subject, which aligns with the indication of true feelings. In Yang’s translation of *Qing* in *qingbian* (情變), he uses “literary fashions” to explain the character, a boost to meaning clarification and delivery. Wong employs “potentials of feeling” to explain *caiqing* (才情) rather than use word-for-word translation like “talent and feelings.” Wong specifies the range as a prospective ability of writers, and such expression distinguishes *Qing* in this compound word from other examples. As analyzed above, paraphrases can be seen in all three versions, and they help narrow down the range of their connotations. Translation results are therefore more straightforward and explicit, indicative of an ambiguity avoidance tendency in English.

## **5. Focused usages of *Qing*: Texts from the height of the Tang Dynasty to the Qing Dynasty**

This section discusses the latter two periods of *Qing*’s evolvement (713-1912) and the focused trend of its use. The third stage of Chinese literary thought spanned from the height of the Tang Dynasty (713-755) to the Yuan Dynasty (1271-1368) (Cai 1987, 31-33). During this stage, Chinese literary thought diverged and developed in respective branches. Literary fashions drifted away from earlier traditions that underlined sensorial experience in exquisite forms and instead took a more abstract and insightful stance in favor of the essence of poetry. The revival of Confucianism in the Tang Dynasty and the rise of Neo-Confucianism (理學) in the Song Dynasty (960-1279) led to a shared criticism of the grandiloquent manner in literary creation (Xiao 1996, 10-11). Neo-Confucianism argued that natural rules needed to be abided

by and desire should be eliminated (存天理滅人欲) which curbed the public's desire-related emotions. As the role of *Qing* in this period declined compared with the ones before the Tang Dynasty, its connotations regarding literary texts appeared less varied. *Qing*, at conflict with rites (*li* 禮) and then reason (*li* 理) during this stage, would have a more focused usage as emotions or feelings. In *Readings*, texts within this range include *The Twenty-Four Categories of Poetry* 二十四詩品, *Liu-yi shih-hua* 六一詩話, *Ts'ang-Lang's Remarks on Poetry* 滄浪詩話, *Poetry in Three Forms* 三體詩 and *Poetic Rules of the Masters* 詩法家數. Compared with the earlier period, *Qing* showed less presence in this stage as it has 0-4 occurrences in each text listed above (see Appendix for details). Each translation of *Qing* is listed below, and cases with identical results are omitted.

(1) 薄言情語，悠悠天鈞。《二十四詩品·自然》

As it may, his heart will be enlightened.

The Potter's Wheel of Heaven goes on and on forever. (Owen 1992, 324)

(2) 詩者，吟詠情性也。《滄浪詩話》

Poetry is “to sing what is in the heart”. (Owen 1992, 410)

(3) 謂前聯情而虛，後聯景而實。《三體詩》

This means that the second couplet concerns the affections (*qing*) and thus is empty. (Owen 1992, 431)

Owen adopts free translation for (1) and (2), referring to *Qing* as its carrier — heart. In (1), *Qing* is considered a stimulation to literary ideas, as “the Potter's Wheel” refers to “the continuous generative processes of creation” (Owen 1992, 325). It maintains its link to literary ideas, although it does not point to the quality of literature as it did in the previous period. The second example quotes *The Great Preface* which extends the previous aim to “criticize the above” to the major function of poetry. Here it values passion and basic instincts in the usage of emotion and Owen renders the original phrase as “what is in the heart.” The provided translation pinpoints the essence of *qingxing* (情性) in terms of the heartfelt emotions generated within and in need of linguistic expressions. In (3), a typical version of Owen's translation appears again, i.e., a keyword (rough equivalence in the target language) ahead of the transliteration. This method can be found in the rest of occurrences of *Qing* in these texts, including “間以情思” (mixing in thoughts and affections (*qing*)) in 二十四詩品, and “推人心之至情” (investigates the ultimate affections (*qing*) of the human mind) in 詩法家數. As exemplified in the translation results, *Qing* in this period shows a focused usage that centers most occurrences on the feeling generated in the heart.

The fourth stage, the Ming and the Qing Dynasties (1368-1912), was a conclusive period of the traditional literary system. With the burgeoning capitalism, new literary trends emerged, tossing serious criticism towards the orthodox way of thinking (Cai 1987, 32). Moreover, in the Ming Dynasty, the philosophy of the mind (心學) emerged with an emphasis on the experience of the heart. During this time, the social function of *Qing*, which was highlighted

by Confucianism, would decline in its importance. The role of *Qing* again rose in opposition of the rigid way of thinking choosing instead to pay attention to the experience of the heart. [3] The concept acquired a more specific meaning than before and approached the modern concept of “emotion” (Wong 1969, 139). The literary enthusiasm to express oneself would also narrow down *Qing* to the consistent usage as emotion (*ganqing* 感情). Selected texts in Owen’s monograph include *Discussions to While Away the Days at Evening Hall* 夕堂永日緒論, *Interpretations of Poetry* 詩繹, and *The Origins of Poetry* 原詩. It is noticeable that *Qing* in this conclusive period had much higher occurrences in literary texts (see Appendix), often discussed in conjunction with other concepts.

(1) 情景名為二，而實不可離。《夕堂永日緒論》

Affection (*qing*) and scene (*jing*) have two distinct names, but in substance they cannot be separated. (Owen 1992, 472)

(2) 因景因情，自然靈妙，何勞擬議哉？《夕堂永日緒論》

Since it will follow from scene and follow from state of mind (*qing*), ... (Owen 1992, 462)

(3) “影靜千官裡”，自然是喜達行在之情。《夕堂永日緒論》

This is naturally (*ziran*) the sentiment (*qing*) of lodging alone and recalling someone far away. (Owen 1992, 473)

(4) 長言永歎，以寫纏綿排側之情，詩本教也。《夕堂永日緒論》

The essential lesson of poetry is to make words last long and extend sighs in order to describe brooding feelings (*qing*) all wound up inside a person. (Owen 1992, 480)

(5) 故法者當乎理，確乎事，酌乎情。《原詩》

The Way is indefinitely varied, but I can cover it in three words: “natural principle” (*li*), “event” (*shi*), and “circumstance” (*qing*, the affections, a “state of mind”). (Owen 1992, 497)

In Wang Fuzhi’s 王夫之 (1619-1692) remarks on poetry, a prominent feature is the integration of *Qing* and *Jing* (景). When *Qing* and *Jing* appear together as a compound word (as in example 1), Owen shows his efforts to make a consistent impression on readers by translating them as a fixed combination. *Qing*, in this case, can be classified as *wuqing* (物情) as proposed in discussions of *Wenxin Diaolong*, and Owen translates it either by paraphrasing it or as “affections,” a description of emotions inspired by things (herein referring to scenes). Moreover, Owen distinguishes among different connotations of *Qing* in 夕堂永日緒論. While Owen chooses “affection” for usages as an ensemble to keep a sense of consistency, he also notices the subtleties in other contexts. For *Qing* as an immediate, intuitive experience, as in (2), (3) and (4), Owen chooses expressions that indicate temporary impressions: “state of mind,” “sentiment,” and “feeling.” These phrases, more impromptu than “affections,” are synonymous to one another. The varied results are in line with the historical background, which values the

experience of the heart, and at the same time, they belong to one consistent category: *ganqing* (感情).

*Qing* in 原詩 appears frequently yet is highly consistent in terms of meaning. Ye Xie 葉燮 (1627-1703), the author of 原詩, raised a group of key concepts that could cover all forms or ways of literary work: *Li* (理), *Shi* (事), and *Qing* (情). They form a set of rules for quality writing and compose a part of Chinese poetics to be introduced to the western readership. Unlike the heartfelt experience presented in Wang Fuzhi's texts, 原詩 employs 理-事-情 as a way to investigate things (格物) (Wang 2016, 110). The usage has relevant translation results like "situation" and "disposition," but here, Owen comes up with a different choice: "circumstance." In this case, Owen considers that *Qing* is the form in which the world manifests itself before us, a quality or manner of a certain moment, and it embodies a mood (Owen 1992, 506-507). It is not difficult to notice Owen's realization that "circumstance" only delivers part of its meanings, and he attaches both transliteration and familiar translation solutions in example (5) (the affections, a "state of mind"), to supplement his translation results. Furthermore, as he keeps his attempts to present a consistent image of Chinese concepts in English by adding "the affections" after "circumstance" in this first occurrence of *Qing*, Owen intends to remind his readers that behind different versions of translation there is the same concept (情).

Generally speaking, the usages of *Qing* in the third and fourth periods mainly narrow down to *ganqing* (感情) and *qingkuang* (情況), the former more so than the latter. This does not mean the concept falls back to the first period. Instead, it is a choice rather than a reduction in the application of the concept or term. The significance of *Qing* diminished in the third period when natural principles dominated and desire tended to be contained. Against such a backdrop, conflicts between *Qing* and *Li* (理, principle) arose, and *Qing* occurred in literary texts mainly as the experience of the heart. Like other periods, the fourth started to criticize the social trend of the earlier periods which it deviated from. During this stage, the experience of the heart was highlighted, but the two ends of the previous *Qing-Li* dynamic remained, and *Qing* had a major usage as *ganqing* (感情) in this conclusive period. In 原詩, the concept mainly showed up as *qingkuang* (情況), a usage emerging at the earliest place in this monograph as the ultimate standard for writing besides *Li* (理) and *Shi* (事). Most translations, including "affections" and its synonyms (moods, feeling, emotion), and some paraphrased expressions have been adopted in the translation of texts from earlier periods. "Circumstance" is a new version in Owen's translation, although it has appeared in a similar expression: "situation." For texts in the third and fourth periods, the translator selects expressions from the pool accumulated from before, and the translation of *Qing* within a single text is less varied than in the second period.

## 6. Concluding remarks

This section provides a recap of *Qing*'s use and draws insights for translating ancient Chinese literary concepts from strategies adopted by Stephen Owen and two other translators. Overall, the varieties of *Qing* in usage show an olivary shape, peaking before ultimately receding. In the first two periods of its use, *Qing* showed an enriching or expanding tendency in its use, and it then showed a focusing or contracting track in the latter two.

The first period, the Zhou, Qin, and Han Dynasties (1046 BC-AD 220), was a stage of formation. *Qing* started as an assistant for the promotion of virtues and social rules (rites). In this stage, *Qing* occurred in literary texts with comparatively low occurrences as *qingkuang* (情況) and *ganqing* (感情), and the corresponding translations provided by Owen were “situation,” “affection” and “feeling.” The second period, from the Wei Dynasty to the early Tang Dynasty (220-712), was a flourishing stage of the concept. *Wenqing* (文情) emerged, which functioned as descriptions of literary works and rose in status among literati. *Wenxin Diaolong* had multiple subclassifications of usages under *wenqing* (文情) and *ganqing* (感情). Owen employs expressions such as “moods,” “state of mind,” and “disposition” to represent the subtleties of the concept. The three translations of *Wenxin Diaolong* covered in this study provide shared strategies to translate ancient Chinese literary concepts: (i) locating core connotations through keywords; (ii) adding words to show a stance; (iii) paraphrasing a phrase to specify meanings.

From the height of the Tang Dynasty to the Yuan Dynasty (713-1368), *Qing* came across its third period, a stage of further development. It mainly occurred as *ganqing* (感情), and although its meanings seemed to shrink, it was an active choice in the literary trend rather than a simple reduction from earlier usages. Translation results in the monograph also appeared more focused: mainly “affections,” and in some occurrences, “state of mind.” The fourth period, the Ming and the Qing Dynasties (1368-1912), saw a rebound in the meaning of the concept. In this conclusive period, *ganqing* (感情) remained a major application, and *qingkuang* (情況) reemerged in *li-shi-qing* (理-事-情) in *The Origins of Poetry* 原詩, which refers to the actual manner of things at a certain moment. Noticeably, in the third and fourth periods, *Qing* again started to show consistent translation results, especially in compounds such as *qingjing* (情景) and *li-shi-qing* (理-事-情). In this case, *Qing* may have become a fixed concept in some literary contexts, applied to illustrate other basic concepts. “Circumstance” was adopted in most occurrences in 原詩, and “affections” was in some cases as supplementation to “circumstances.”

As discussed in separate parts of this study, every turn in *Qing*'s development had close ties with the social backgrounds of different periods. Compared with the influential Confucian presence in literary thoughts and how literature adhered to rites and reason in the first period, *Qing* acquired more flexibility and literature-related meanings in the second phase when the internal world was highlighted and explored during political upheavals and the reduced impact of Confucianism. Although *Qing*'s enrichment in the first two periods drove along a smooth

track, its shift after the second period towards a trend of focus was again the result of social contexts. The rise of Neo-Confucianism led to an austere atmosphere, and the ties between literature and the inner world were no longer a focus. When the “superfluous” style from the former dynasty was abandoned, *Qing*’s use was reduced in variety. Another reason for this turn to the trend of focus may have come from the low influence of literary criticism. As Siu-kit Wong suggests, texts after *Wenxin Diaolong* (produced in the second period) do not see a linear development from Liu Xie’s criticism and *Qing* lacks the breadth in the previous stage as its occurrences are largely in the pre-Six Dynasties (before 222) sense (1969, 49-51). In the fourth period, the philosophy of the mind put emphasis on the experience of the heart, and this trend specified the *Qing*’s meaning as an expression of emotions. Every semantic turn of *Qing* was accelerated, or even engendered, by the social and literary trends continually looming in the background.

*Readings* offers a pathway to Owen’s understanding of Chinese literary texts (Yi 2014; Zhou 2011), as well as insights applicable to the English translation of ancient Chinese concepts. As a frequent reminder of the subtlety brought along by the original concept, Owen provides a consistent translation for various occurrences, mostly through the “keyword plus transliteration” pattern. In *Qing*’s case, Owen chooses affections (*qing*) for the majority of its use. This brings a foreignizing effect, as readers are reminded that “the Chinese word translated does not really mean the same thing as its English translation” (Owen 1992, 16). The transliteration also functions as an identifier when the concept occurs so that a reader would gain a more concrete image while encountering the concept in different contexts. Moreover, Owen balances this device with domesticating efforts, such as omitting transliteration in the presence of explicit meaning and presenting translation ahead of transliteration so that readers can comprehend the meaning before thinking about the original concept.

Furthermore, in Owen’s commentary after each group of original and translated texts, he walks readers through some abstruse sentences. One practice is his full exegeses or annotation in 文賦 and 二十四詩品 where he attaches remarks after every one or two lines. After translating “曲有微情” as “the fine turns have the most subtle moods,” Owen explains in the corresponding exegesis that although the shift might be driven by subtle changes in the moods of writers, it is more likely to occur in every aspect of work (Owen 1992, 167). Readers can thereby tell from the annotation that *Qing* has also become one aspect of literature. Another way Owen walks readers through difficult sentences is through his remarks on selected concepts in his discussion. For instance, Owen employs a new expression (“circumstance”) for *Qing* in 理-事-情. He explains that, here, *Qing* is the “quality of manner of something at a given moment” (Owen 1992, 507). Where an “odd” result occurs, readers are likely to find his justification in the following remarks.

To tackle the language gap and inadequacy of delivery, Owen compiles a glossary of basic terms at the end of his monograph. As readers come across scattered translations and inline

discussions, the glossary offers a chance to see how such concepts position in the literary system. Fifty-two terms are included in the glossary in alphabetical order. When they occur in texts or commentaries, they are attached with romanization and an asterisk (e.g., affections [*qing*\*]). This encourages readers to look up the concept in the glossary for more background information. In *Qing*'s case, Owen first lists major translation versions to explain its meaning. He compares *Qing* with its English counterparts (affections, passions) to suggest the broadness of the notion that cannot be covered by these expressions. *Qing* is then explained in different contexts, each generating a usage that may occur in texts. As an exceedingly broad notion, it is often compounded with another character to provide a restrictive meaning (Owen 1992, 585-586). This is exemplified by the *Wenxin Diaolong* case study in which many classifications of *Qing* are presented as compound words. Owen takes an incorporative perspective regarding the concept, and it is an inspiring attempt to remedy connotation loss during the language transfer of ancient Chinese literary concepts. *Readings* introduces *Qing* in seminal works and is brimming with Owen's deliberation on various concepts. The temporal evolvement of literary concepts is worth scholarly attention to better introduce those concepts to the English readership.

## Notes

- [1] In Owen's translation, the translator applies romanization in transliteration (e.g., affections (*ch'ing*). In this research, transliteration is presented with the Chinese phonetic alphabet (e.g., affections (*qing*).
- [2] As Harbsmeier and Wong deal with a wider range of texts than ancient Chinese literary thought, only usages that this author considered applicable to this literary type were selected.
- [3] Haiyan Lee cautions the tendency to characterize the fervor of *Qing* in Ming-Qing writings as a "countercultural movement led by disaffected literati who rejected the rigid morality of Confucian ritualism" because it largely draws from a modern dualism of reason and emotion (2006, 25). For studies that focus on *Qing*'s mutation, researchers will benefit from further investigation into the complicities of this historical turn to provide a more solid background.

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Appendix: Summary of *Qing*'s usages in Readings

Period	Text(s)	Total Occurrences	Meaning(s)
Period 1	Texts from the Early Period 早期文本	1	<i>qingkuang</i> 情況: 1
	<i>Shi Daxu</i> 詩大序	5	<i>ganqing</i> 感情: 5
Period 2	<i>The Poetic Exposition on Literature</i> 文賦	10	<i>ganqing</i> 感情: 6 <i>wenqing</i> 文情: 2 <i>qingkuang</i> 情況: 2
	<i>Wenxin Diaolong</i> 文心雕龍	67	<i>ganqing</i> 感情: 52 <i>wenqing</i> 文情: 13 <i>qingkuang</i> 情況: 2
Period 3	<i>The Twenty-Four Categories of Poetry</i> 二十四詩品	2	<i>ganqing</i> 感情: 2
	<i>Ts'ang-Lang's Remarks on Poetry</i> 滄浪詩話	1	<i>ganqing</i> 感情: 1
	<i>Poetry in Three Forms</i> 三體詩	4	<i>ganqing</i> 感情: 4
Period 4	<i>Discussions to While Away the Days at Evening Hall</i> 夕堂永日緒論	29	<i>ganqing</i> 感情: 29
	<i>Interpretations of Poetry</i> 詩繹	9	<i>ganqing</i> 感情: 9
	<i>The Origins of Poetry</i> 原詩	50	<i>qingkuang</i> 情況: 6 <i>ganqing</i> 感情: 19 <i>both</i> : 25

# Review of Eco-Translatology: Towards an Eco-Paradigm of Translation Studies

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Eco-translatology, an emerging paradigm of Translation Studies (TS) came into being in the wake of the “ecological turn” in humanities and social sciences in a global context (Glottfelty and Fromm 1996; Fill and Mühlhäusler 2001; Cronin 2003, etc.). Enjoying growing popularity among TS scholars and students, it has aroused heated discussions over the past two decades, as evidenced by the recent upsurge of conferences, seminars, monographs and journal publications across the globe in general and in China in particular (Cronin 2017; Dollerup 2011; Hu 2001, 2006, 2013, 2015; Tao et al. 2016). As the bulk of those publications are in Chinese, hence not easily accessible, the recent appearance of Hu Gengshen’s *Eco-Translatology: Towards an Eco-Paradigm of Translation Studies* is certainly a welcome addition to the existing scholarship.

The volume under review, carefully planned and well-researched, provides readers with the most comprehensive introduction to Eco-translatology, covering the background, theoretical framework, main studies at the macro-, meso-, and micro-levels respectively, and implications for further development. Each chapter in this book opens with a general introduction and ends with some thought-provoking questions. Arguably, it will stimulate more in-depth studies in this field in the years to come.

The opening chapter, as the introduction part of this volume, makes it clear to readers that the aim of the book is to “restructure the ambit of the scholarly view of translation studies, shifting from the age-old linguistics point of view to the current ecological reference point” (8). The author first specifies the juncture where ecology and translation studies meet and gives a clear definition of Eco-translatology, and then moves on to expound the terminology

borrowed from ecology and the content of nine “three-in-one” expressions. The characteristics and originality of the Eco-paradigm are also laid bare in this part, by making a comparison between different approaches to TS.

Chapter 2 delineates the background of and the theoretical foundation for the exploration and the continuous development of Eco-translatology. Stemming from The 3rd Asian Translators’ Forum held in Hong Kong in 2001, Eco-translatology originates and evolves as a response to “the present economic and social transformations and cognitional transitions in modern ideology and philosophy” (22), against the background of “post-cultural turn” when people are expecting the “next turn” in TS in the new century. Major strides are made in 2006-2009, both conceptually and methodologically, thanks to Hu’s creative endeavors to “strike out a new line” (47) and his coinage of the new term Eco-translatology. Apart from that, three prerequisites fundamental to the research and development of Eco-translatology are enunciated explicitly here, that is, the Sequence Chain, Translation as Adaptation and Selection (TAS) and the isomorphism between translation ecology and natural ecology.

Chapter 3 comprises nine subsections, with a focus on the overall theoretical framework of Eco-translatology, such as the theoretical basis, research objects and methods, ecological rationality and ethical principles. Hu first gives his definition of the scientific research paradigm before moving on to the Eco-translatological paradigm which is receiving increasing attention and approval, as evidenced by over two thousand journal articles and graduation theses as of 2018 (51). The next subsection discusses three theoretical bases of Eco-translatology respectively, “Eco-holism, Eastern eco-wisdom, and Translation as Adaptation and Selection”, though mentioned already in the previous chapter. As for the methodology and objects, Hu probes, through conceptual borrowings and holistic integration, into the translational eco-environments, textual ecologies, and “translator community” ecologies as well as their interrelationships and interplay grounded in the metaphorical analogies between the translational ecosystem and the natural ecosystem. In the following subsections, six ecological principles and four ethical principles of Eco-translatology are displayed neatly. In a meticulously framed way, the author further explains the core elements of Eco-translatology, though some parts could have been more succinct.

Chapters 4 to 6 as a whole are dedicated to the technical route of “three-level” studies, ranging from the macro-translational ecosystems and meso-ontological theories to micro-textual Eco-translation operations. Without these “three-level” studies, according to Hu, the construction of an Eco-translatological framework remains a castle in the air (42). Chapter 4 presents readers with the multidimensional and multilayered internal constituents of the Eco-translational system, accompanied with the writer’s critical evaluation of the subsystem of the Eco-translatology. Chapter 5 elaborates on “ontological translation theories”, that is, the research on translation itself, such as “the nature, process, principles, methods, and criteria of translation” (121). It aims to provide new answers from an Eco-translatological perspective

to questions like “What is translation?” “Who translates?” “How to translate?” and “Why to translate?”. The last contribution, not so much concerned with pure theoretical issues, centers on the actual practices for the explanation that how Eco-translation strategies and methods are adopted.

With major theoretical notions already covered in previous chapters, Chapter 7 is reserved for applied studies. The author not only gives a comprehensive review of previous studies using Eco-translatology as their theoretical framework in sub-fields of TS, such as translation teaching, interpreting, translation criticism, etc., but also interprets several translation phenomena from an ecological perspective, i.e., translatability, retranslation, translation strategy, translation styles, and “turns” of translation studies, showcasing the vigor and validity of the new paradigm.

As the concluding part of this volume, the last chapter provides some implications for further development. After reviewing the developmental framework, Hu discusses the new trends and expresses a positive outlook on the future of Eco-translatology, which can be seen as the “Chinese Voice” in the development of translation theories. He also highlights that “although Eco-translatology has an invigorating vitality and promising prospects, there is no reason for blind optimism” (288).

All in all, this volume can be considered as a significant milestone in the development of Eco-translatology in the second decade of the 21st century. The biggest strength of the book lies in its two main features. First, logically structured and easy to read, it offers a clear introduction to Eco-translatology by explicating its theoretical basis, research objects and methodology, and most important theoretical propositions. It will surely promote cross-cultural, interdisciplinary dialogue and international circulation of knowledge on translation and interpreting. Secondly, it sheds light on the application of the Eco-paradigm of TS by demonstrating its explanatory power in solving dire problems facing the practitioners and engaging with a consortium of scholars, as reflected in the reference list in each chapter. This shows the author’s sophisticated and refined skills in striking a good balance between theory and examples.

Compared with other translation theories, such as the Descriptive Translation Studies (DTS) and the Skopos theory, the Eco-translatology has its edge because it is descriptive, explanative and prescriptive at the same time. It tells people not only how to “see” translation but also how to “do” it. This is exactly the reason why it is widely adopted as the theoretical framework in many translation reports done by MTI students in mainland China. Moreover, it puts translation in a larger context of the eco-system, taking into consideration more agents or factors of translation activities, rather than over-emphasizing the preference of end-users or the purpose of translation which may give rise to the belief that “the end justifies the means”.

However, it also has some limitations. First, some core concepts Hu holds dear to his theory have invited criticism, such as “translator-centeredness” for its association with human-centralism (Chen 2014), “pre-event precaution” and “post-event penalty” for their self - contra-

dictory statements (Wang 2011). Although those questions and doubts are addressed to some extent in this volume, more clarifications are needed as these concepts remain controversial in the existing scholarship. Second, certain sections of the book may look a little bit lengthy, especially when it comes to the introduction of theoretical bases and development process. The author may intend to emphasize the importance of those parts. Nevertheless, a less repetitive style of writing will be appreciated by the readers. Furthermore, there are a few typos (117), although they do not hinder understanding. Hopefully those minor problems will be solved in later editions. On the whole, the book is an interesting and illuminating read to both students and scholars alike in the field of TS and beyond.

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# 譯才詩才並具，形似神似兼備——《芬芳之韻：經典美國詩選》評述

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## 一、引言

中山大學外國語學院教授、資深翻譯家苟錫泉的新作《芬芳之韻：經典美國詩選》(下簡稱《芬芳之韻》)於2021年由商務印書館出版。該書以英漢對照的方式收錄51位詩人近250首詩作，並一一介紹了詩人的生平、詩歌創作及其貢獻，為欣賞和研究美國詩歌提供了一個全面系統的版本。

譯界泰斗許淵沖先生親筆為詩集題詞：“芬芳之息中國的密爾頓”，對譯者讚譽有加。密爾頓是英國著名詩人，他雙目失明後寫出的《失樂園》等三部長詩，成為了英國文學史上的重要詩篇；《芬芳之韻》譯者苟錫泉也曾兩度雙目幾近失明，所幸當代先進的醫療技術讓他得以保住一絲光明。巧合的是，包括《芬芳之韻》在內，譯者共編譯了三部詩集，另外兩部分別是《美國主要詩人作品選介》(下簡稱《選介》)(1990)和《英詩欣賞》(2000)。從三部詩集的出版間距來看，譯者是名副其實地“十年磨一劍”，尤其這第三部詩集，是他在退休後耗費十數年光陰才反復打磨完成。

譯者既是學者，又是詩人，時常“寫寫詩填填詞”(苟錫泉2021, iii)，先後在不同期刊發表約200餘首中文詩詞。蕭安溥教授(2018, 58)在讀到《芬芳之韻》詩稿後曾做兩首七言詩加以評論，贊其“譯才詩才雙展露，詩人譯詩詩有神”。正如此詩所言，譯者不僅有豐富的文學翻譯實踐經驗，譯著包括《亨利六世·上》(1997)、《虹》(1992)、《勞倫斯短篇小說集》(1999)和《幕府將軍》(1986)等，同時還研究翻譯，發表過多篇翻譯學術論文，“譯才”不可謂不深；在詩歌翻譯與創作方面同樣不乏造詣，“詩才”不可謂不厚。《芬芳之韻》融學者的嚴謹性與詩人的創造性於一體，以詩敘事評

詩，譯詩多姿多彩，側重通過複現原詩的典型形式特徵以達到神似。限於篇幅，本文著重從序詩、譯詩的形似與神似、詩歌重譯和漢詩回譯四個方面加以評述，寄望於窺斑而知豹，展示詩集特色。

## 二、“序詩”：以詩評詩的創新之作

譯詩之前的“序詩：致讀者”（下簡稱“序詩”），是譯者“譯才”兼“詩才”的充分展現，無論是出於賞析還是為了加深理解，都頗值細讀。這 80 句七言長詩，不僅為讀者勾勒出美國詩歌誕生和發展的社會背景與歷史脈絡，而且對流派紛呈、求新求變的美國詩歌作出精闢貼切的評述。序詩開篇從殖民地歷史寫到獨立戰爭和南北戰爭，詩歌隨之發展興盛：

社會風雲興文學，詩人輩出春筍般。  
北美風情新氣象，欲脫正統詩羈絆。  
詩壇泰斗惠特曼，首開先河新詩篇；  
生氣勃勃草葉茂，放情謳歌美利堅。  
深閨才女狄金森，宛若清泉水涓涓；  
素材均是尋常物，筆下流出詩連綿。（苟錫泉 2021，vi）

序詩以七言詩句，精準概括了惠特曼、狄金森、弗羅斯特、史蒂文斯、肯明斯等詩壇名家的詩歌特色，介紹了超驗派、意象派和現代派的代表作，並以花叢、宴席、音樂晚會等設喻，揭示了美國詩歌在選材上的不拘一格及其滋心怡情的美學特徵。序詩言簡意賅，韻律和諧，情感真摯，富有洞見，既具有藝術感染力，也不乏學術創造力，在眾多翻譯詩集中可謂獨樹一幟，令人耳目一新。

## 三、從形似到神似

形似與神似，是傅雷借用繪畫術語提出的一對翻譯策略，在中國翻譯界影響深遠。羅新璋（2009，20）曾指出，“案本一求信一神似一化境”是我國翻譯理論體系的重要組成部分。在傅雷（2009，623）看來，形似與神似往往顧此失彼，難以兼顧，二者不可兼得時，“所求的不在形似而在神似”。但是，形似和神似雖然看似難以調和，卻又密不可分，尤其對於詩歌這種形式即為意義的文學體裁而言，形似是神似的前提與保障，神似則是形似的目標與昇華。在《芬芳之韻》中，譯者面對風格不一、形式多樣的美國詩歌，充分施展“譯才”和“詩才”，通過形似實現神似，使得詩集多姿多彩，異彩紛呈。

詩集開篇是佈雷茲特利特（A. Bradstreet）的兩首詩歌，其譯文就很有代表性。這兩首詩，前者題曰《作者致她自己寫的書》，後者題為《致我親愛的深情丈夫》。同樣是抒寫愛，前者將書比作孩子，表達的是母親對有缺陷孩子的憐愛；後者則奔湧著妻子對丈夫的炙熱深情；因此，前者羞愧躲閃，書成了“你這畸形兒，我淺智的產

物”，“你費勁地去到出版社，衣衫襤褸”，“可你跑起路來仍一跛一顛”（芍錫泉 2021，3）表達了作者在新書面世後忐忑惶恐的心情。而《致我親愛的深情丈夫》譯文飽含激情，鋪排渲染：

整座的金礦在我眼裡都不如  
你的愛——它勝過東方所有的財富。  
我的愛傾江河之水也減不掉，  
惟有你的愛才能將其回報。（同上，5）

兩首譯詩風格的明顯差異源於譯者對原文情感的精準把握和意象的準確複製。

克拉蒲賽（A. Crapsey）的詩歌翻譯同樣如此。她自創了一種新詩體，每首五行，分別有 2、4、6、8、2 個音節。為了複現原詩的這一形式特徵，譯者將每行對應譯為 2、4、6、8、2 個漢字，但不同作品的旨趣卻各不相同。例如，根據天主教《聖經》故事創作的《蘇珊娜和長老》：

“為何  
你會對她  
起壞主意？”“因為  
她那麼美麗又優雅，  
所以。”（同上，295）

詩歌以對話的口吻，僅用寥寥 22 字，把事件的前因後果交代得一清二楚，人物形象刻畫得鮮明生動，尤其是結尾的“所以”，戛然而止，回味無窮。另一首《十一月之夜》則是寫景：

傾聽……  
沙沙輕響，  
像過路鬼走過，  
葉被霜卷起，從樹上  
脫落。（同上，293）

詩歌以動寫靜，描繪了冬夜樹葉悄然飄落的景象，富有詩情畫意。

無論佈雷茲特利特還是克拉蒲賽，譯者既關注他們在不同詩歌中發出的不同聲音，又關注他們相互之間聲音的迥異，從而在譯詩中奏出了各有韻味的多彩樂章。在《芬芳之韻》中，這一翻譯策略不是特例，而是常規。詩集所收美國詩歌，韻律大多不規範，譯者相應譯為現代自由詩，但是，如果原詩韻律整齊，譯詩也會對以工整。比如美國詩人洛威爾（J. R. Lowell）的《噴泉》，每節四行，一三行各五個音節，二四行四個音節且押韻，譯文則奇數行五個字，偶數行四個字且押韻，追求高度的形似。如最後一節：

Glorious fountain  
Let my heart be

武敏

Fresh, changeful, constant,  
Upward, like thee! (同上, 100)

《芬芳之韻》中譯文是：

壯麗之飛泉，  
但願吾心  
似爾常向上，  
不改清新！（同上，101）

其中，“不改清新”四字最見功力，它採用轉換譯法，將肯定轉為否定，綜合表達了原文 Fresh, changeful, constant 三詞之意，又與第二行押韻，音、意、形之美三者兼顧。同時，對於原詩中的舊體代詞 thee，譯文選用文言詞“爾”，以求文體對應。對比另一名家譯文：

燦哉噴泉，  
我心榜樣，  
新穎多變，  
恒走向上！（郭沫若 1981，139）

相對而言，前譯選詞貼切，行文自然，錯落有致，更富詩韻詩趣，由形似而達神似。

譯者對形式的敏感使他總能敏銳地捕捉到每首詩歌的獨特特徵並加以保留。布萊恩特 (W. C. Bryant) 的《致一隻水鳥》(荀錫泉 2021, 24-27)，通過每節詩行的排列模擬出飛鳥的形象：一四行退格，似鳥翼；二三行齊頭，伸出的部分似鳥頭，餘者是鳥身，詩形與詩意有機融合。譯文同樣處理為一四行退格，二三行齊頭，並控制每節詩行的長度，讓這只水鳥在漢語的語境中同樣展翅翱翔，不失為形神一體的譯詩佳作。

綜觀詩集，譯者通過譯詩的形似，不僅彰顯了原詩的千姿百態，而且成功透譯了原詩之“神”，使得譯詩形神兼備，為英詩漢譯提供了範例。

#### 四、重譯與詩歌生命延續

詩歌常譯常新，經典詩歌尤其如此。詩歌的重譯，或旨在修正錯誤，或提出不同理解，或嘗試不同文體，或深挖譯入語表達潛力，或側重詩意效果。一首首詩歌就在這重譯的過程中，綻放出經久不衰的生命力，滋養了一代又一代的讀者。

《芬芳之韻》中也有不少詩歌屬於重譯，有些甚至是譯者所編《選介》詩歌的重譯。這些詩歌，有的原本是譯者所譯，多數則是他人翻譯；本人譯詩的重譯多加以調整潤色，他人翻譯的則改動較大。前者如弗羅斯特 (R. Frost) 的 “Nothing Gold Can Stay”，《選介》譯為“美好的東西難保留”（荀錫泉 1990，465），《芬芳之韻》改為：“美好的東西難持久”（荀錫泉 2021，263），內涵更加準確，搭配更加自然；整詩重譯後，每個詩行字數相同，與原詩的節奏更加吻合，體現了譯者精益求精的職業精神。

後者如羅特克 (T. Roethke) 的 “Open House”，原譯為《家庭招待會》，詩中有一句：My heart keeps open house, / My doors are widely swung ( 芍錫泉 1990, 295 )，原譯為：“我的心一直是家庭招待會，/ 我的門全都敞開著” ( 吳鈞陶譯，見 芍錫泉 1990, 531 )，把心比作“家庭招待會”，著實令人費解。《芬芳之韻》則以《待人真誠坦率》為題，以上兩個詩行譯為：“我的心待人真誠坦率，/ 所有的門扉全都敞開。” ( 芍錫泉 2021, 547 ) 相較原譯，重譯表意思明晰，押韻和節奏也得以提升。

有些重譯則是為了強化表達的詩意效果。以弗瑞諾 (P. Freneau) 《野忍冬花》第四節為例：

From morning suns and evening dews  
At first thy little being came;  
If nothing once, you nothing lose,  
For when you die you are the same;  
The space between, is but an hour,  
The frail duration of a flower. ( 芍錫泉 1990, 24-25 )

《選介》譯成：

朝陽和晚霞當初曾把你養育，  
讓你這小小的生命來到世上；  
原先若是烏有，你去時無所失，  
因為你的死讓你同原來一樣；  
這來去之間不過是一個鐘點——  
這就是脆弱的花延續的時間。( 黃杲忻譯，見 芍錫泉 1990, 338 )

這首詩歌富有哲理，原譯譯出了詩歌的意思和音律特徵。而《芬芳之韻》的重譯則優化為：

受朝陽光照又得晚霞滋養，  
你的小生命才來到這世間；  
既來自無，逝去也無所失喪，  
因為你死後就同原本一般。  
這一來一去間不過一小時，  
那便是花朵兒的一生一世。( 芍錫泉 2021, 15 )

兩相對照，重譯選詞考究，詩意濃厚，發人深省。尤其是後兩行“一來一去”與“一生一世”之間的對照與呼應，彰顯了對瞬間與永恆的哲學思考。

《芬芳之韻》重譯的詩歌並非僅限於《選介》。以愛默生 (R. W. Emerson) 的 “A Nation’s Strength” 為例，譯名通常是《一個國家的力量》( sungang1980111, 2012 ) 或《民族的力量》( 羅若冰 2004, 125 )。這首詩第一節提出問題：什麼使得一個民族強盛？二三四節先“抑”，分別對黃金、利劍、榮耀三個答案予以否定；五六節後“揚”，亮出答案——人，並讚頌勇敢的人民高豎起民族的柱石。從詩歌的主旨來看，它謳歌的

是人民的決定性力量，國家機器則是詩歌否定的物件。第五詩節的一二行點題：“Not gold but only men can make/ A people great and strong”，說明標題中 nation 指的是 a people（一個民族），strength 則是 strong 的名詞形式，意指“強大”。《芬芳之韻》所取《民族的強盛》的譯名，不僅符合詩的內涵，而且具有情感的張力。

審慎的詩歌重譯，不僅有助於深化對詩歌的理解與認識，也是一個不斷豐富漢語表達力的過程。現代漢語是伴隨著翻譯而不斷成熟與完善的，現代漢語自由詩是伴隨著外語詩歌翻譯而產生和成長的，而詩歌素來被認為是語言的精華，因此，詩歌重譯也是推動語言和詩歌創新發展的重要力量。

## 五、漢詩回譯

《芬芳之韻》之志，不僅在於全面展示美國詩歌之風貌，在深化中英詩歌交流、豐富漢語詩歌方面也有所訴求，這一點突出地表現在英譯漢詩的回譯上。

漢語詩歌，尤其是唐詩宋詞，曾被大量譯入外語，豐富了外語詩歌的創作，推動了其創新與改革，其中唐詩對美國意象派的影響已成譯壇佳話。

與其他美國詩選不同，《芬芳之韻》不僅大量收入美國詩人原創詩歌，而且“點綴華夏詩若干”（苟錫泉 2021, viii），收入賓納（W. Bynner）《月下獨自飲酒》（譯自李白《月下獨酌》）、威廉斯（W. C. Williams）《一封信》（譯自李白《寄遠其十一》）等翻譯作品。從書中的注釋來看，《芬芳之韻》譯者已經查找到漢詩原作，但還是頗費周章地譯回漢語。這其中的苦心，可以理解為引領讀者窺視譯詩的變形，品味不同語言呈現的不同詩趣，對於研究者而言，這也是對比中英詩學、探討詩歌文化交流之旅的上佳素材。

以《一封信》為例，由標題可見，譯者把原詩改寫成了一封信，儘管詩中的意象和內容大多保留，但書信形式的啟用，將原詩的第三人稱視角變為第一人稱，更易引發讀者的共鳴。回譯保留書信的形式和第一人稱的視角，在漢語的互文語境中，帶給讀者熟悉而又陌生的感悟。原作與回譯對比如下：

### 寄遠

其十一

美人在時花滿堂，美人去後余空床。

床中繡被卷不寢，至今三載聞餘香。

香亦竟不滅，人亦竟不來。

相思黃葉落，白露濕青苔。（李白，見查屏球 2010，50）

### 一封信

親愛的，

你在之時

花開滿廳堂。

你離去後留下

一張空床。  
錦繡被下  
我輾轉反側。  
時過三載  
你餘香不絕。  
芬芳永不泯，  
不見人歸來。  
我想你，黃葉落盡，  
白露濕青苔。( 苟錫泉 2021, 375)

兩詩對照，回譯以別致的形式複現了英詩的書信體例，以富有詩意的白話語言，寫出了離別相思之苦。回譯詩歌為白話語境下的漢語詩歌經典再造提供了啟發。

## 六、結語

《芬芳之韻》全書 600 多頁，包含近 250 首題材不一、樣式各異的英漢對照詩作，譯者集其譯才詩才，耗十數載之功反復推敲打磨，奉獻了一首首譯詩精品。誠如譯者在“序詩”所言：

此處尋芳花叢裡，賞心悅目群英妍；  
引來蜂蝶花間舞，碧草如茵樹下眠。  
又似一席百味宴，豐儉由人自助餐；  
山珍海味一應有，佳餚美點惹垂涎。  
音樂晚會有交響，也有獨奏弄管弦；  
時而竊竊如私語，時而餘音繞梁間。  
漂洋彼岸何其便，此書好比萬里船；  
可覽北美山川景，閱歷人間事萬千。( 苟錫泉 2021, vii)

詩集群英薈萃，眾聲和諧，為中文讀者帶來百味視聽盛宴。詩歌能滋養心靈，陶冶情操，增長見識，開闊眼界，《芬芳之韻》正是這樣一部譯詩佳作，無論是詩歌愛好者、翻譯者、創作者和研究者，均能從詩集汲取不同的養分。芬芳之韻，餘韻悠長。

### 銘謝

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\*Manuscripts should be consistent in their use of language, spelling and format. Once your paper is accepted for publication, it is essential that the final submission be formatted to

the specifications given in these guidelines to avoid publication delay. This journal uses the “Author-Date” style as described in the latest edition of *The Chicago Manual of Style*.

### Overview

1. Manuscripts should be typed in **12** point-font, in Times New Roman for English and PMingLiU for Chinese traditional font. **Allow double-spacing throughout.**
2. Use **10** point-font for figures and tables, which should be numbered consecutively in Arabic numerals and provided with appropriate captions, e.g., Table 1: Interview subjects.
3. Subheadings within the main text should be aligned expressly according to the following order: 1. / 1.1 / 1.1.1
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6. Notes, to be provided in the form of endnotes, should be kept to a minimum. Endnotes should be numbered consecutively using Arabic numerals within square brackets in superscript, e.g., [1]. Note indicators in the main text should appear after punctuation marks.
7. Proper nouns and personal names, in English or otherwise, should appear in their full original form where they first appear in the main text. Chinese names and book titles in the text should be romanised according to the Hanyu Pinyin, “modified”Wade-Giles or other pertinent systems, and then, where they first appear, followed immediately by the Chinese characters and translations **in parentheses. Translations of Chinese terms obvious to the readers (like wenzue), however, are not necessary.**
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9. Double quotes (“”) are used for quotations and special terms; single quotes (‘ ’) are only used for quotations within quotations.
10. Ellipses come in three dots, with a space between the dots, e.g., “Jack and Jill went up the hill . . . and “Jack and Jill went up the hill . . . And Jill came tumbling after.”
11. Please use **American** spellings and punctuation, including spellings like -ze, -or, etc.
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### References in the text

In-text citations in English and other languages should be as precise as possible, giving the author-date and, where applicable, page references. Here are some examples: (Bassnett 2014, 28-32); as in Chesterman et al. (2003, 198); (see Kurland and Lerner 1987, chap. 10, doc. 19); (Toury 1995/2012, 10).

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All in-text citations in English and other languages should be matched by items in the references section, instead of listed in note form. All and only references cited in the text must be listed. References should be listed first alphabetically and then chronologically. For Chinese names and titles, please start a separate list or use Hanyu Pinyin, Wade-Giles transcription, the translated title as published or the title in literal translation where appropriate. Below are some examples:

#### Book

Bassnett, Susan. 2014. *Translation Studies*. 4th ed. London & New York: Routledge.

Chan, Tak-hung Leo, ed. 2003. *One into many: Translation and the dissemination of classical Chinese literature*. Amsterdam and New York: Rodopi.

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#### Article (in book)

Fawcett, Peter, and Jeremy Munday. 2013. "Ideology." In *Routledge Encyclopedia of Translation Studies*, edited by Mona Baker, and Gabriela Saldanha, 137–141. London: Routledge.

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