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編者的話：

本期爲《翻譯季刊》第九十六期，共收錄六篇研究文章和一篇書評。邵毅的研究用文學及政治視角對魯迅著名小說《孔乙己》的英譯進行比較研究，選擇斯諾（Edgar Snow）、伊羅生（Harold R. Isaacs）、楊憲益及戴乃迭、美國漢學家萊爾（William A. Lyell）以及英國當代漢學家藍詩玲（Julia Lovell）共五個譯本做分析，研究表明政治小說譯文的文學性與其思想政治性未必同時得以呈現，作者亦對中國文學英譯與文化輸出給出適當建議及思考。吳邊對莎劇 *Measure for Measure*（《一報還一報》）核心情態謂詞 can, may, must, shall, will 在五個中譯本的翻譯情況做了系統梳理。通過對朱生豪、梁實秋、方平、英若誠、彭鏡禧等譯本做對比分析，作者發現此五個核心情態謂詞在漢語有多種對應形式，包括形式對應，如漢語情態謂詞；也有非形式對應，如漢語實詞、短語、句式等。黃麗莉與 Leong Ko 對澳大利亞昆士蘭大學翻譯碩士課程的中國大陸學生進行了爲期三年的問卷調查，研究發現雖然大多數學生在本科期間均修讀過“英語國家概況”課程，但對英語國家生活中的一些常用詞語和背景知識缺乏瞭解，一定程度上影響了他們在這些國家的學習、生活和工作。付莉萍與汪幼楓一文以華東師範大學翻譯碩士口譯項目爲例，通過問卷調查、小組訪談、課堂觀察法收集數據，對比情境教學和以教師爲中心的教學方法，並發掘情境學習的優勢。研究發現情境學習在應用過程中存在課前準備、材料建構、翻譯市場要求、反饋方面等問題，作者就這些問題提出了相應改進方案。原貞與李波的研究考察報刊出版形式與翻譯研究的結合，通過勾勒報刊研究領域的歷史背景，梳理新興數位化工具及軟件如何有效提高早期報刊史料的獲取，作者指出該領域仍存在未拓展的論題，並預測未來研究的新視角與分析方法。Christian Nordvall 一文考究先秦文學人物的謚號翻譯，作者發現這些謚號沒有按照一致的格式譯成英文，本文對譯名的混亂做了系統分析後提出改進的翻譯格式。本期亦收錄一書評，作者張宇傑對陳善偉教授編著的《漢英順逆序大辭典》做了系統述評，高度評價該詞典的編著有極大創新性，在漢英雙語詞典歷史上占有一席之地。

劉康龍

二〇二〇年六月

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文學性、政治性：
孰強孰弱——從《孔乙己》的英譯看政治小說翻譯

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Abstract

Literary Representation and Political Conveyance: Which is Transmitted More? – A Study of the English Versions of "Kong Yi-ji" (*by* Yi Shao)

The present paper discusses five English versions of one of the representative political novels "Kong Yi-ji" by Lu Xun. It analyses, from the perspectives of literary representation and political conveyance, whether the five versions are comparable to or different from the Chinese source text and then identifies the possible constraints affecting the translated versions. On the basis of the above analysis, the actual translation effect and different translation methods of political novels are addressed and reflected upon.

一、引言

魯迅先生具有重要文學價值的小說在中國歷史上起到過衆所周知的社會政治效用。王德威曾指出："近代小說的興起與政治社會的變動確是密不可分，魯迅的先導地位亦是有目共睹的事實"（2016，324），作爲政治小說，魯迅小說的英譯與原作的面貌一致還是不同，應有一個深入的探討和研究。本文研究魯迅先生代表性政治小說之一《孔乙己》的英譯。

與現有研究成果不同，本研究以文學的、政治的視角對魯迅先生的著名小說《孔乙己》的英譯進行探究，力現在一向對中國共産黨持敵視態度的國際環境中出版的英文譯作，在傳達原作的文學特徵和思想政治內容上的真實狀貌。同時，把這些譯作與在國內政治環境中翻譯出版的楊憲益、戴乃迭譯文進行對比研究，並對影響譯文的制

約因素進行探析，期望對魯迅先生作品的英譯做出新的研究成果，進而對政治小說的翻譯進行總結與反思。

魯迅小說的英譯版本較多，本文選擇影響較大或出版較早並有開創意義的譯本中的《孔乙己》英譯文進行研究，包括斯諾（Edgar Snow）譯本、伊羅生（Harold R. Isaacs）譯本、楊憲益（Yang Hsien-yi）、戴乃迭（Gladys Yang）譯本、美國漢學家萊爾（William A. Lyell）譯本以及近年在海內外反響熱烈的英國當代漢學家藍詩玲（Julia Lovell）譯本。這些譯本是在不同歷史時期、不同政治環境中出版的，斯諾譯本、伊羅生譯本均是埃德加 • 斯諾和伊羅生在和魯迅先生相識的基礎上翻譯的，最終均在美國出版，但前後相隔約三十八年之久；在伊羅生譯本出版後的十六年，萊爾譯本於二十世紀九十年代也在美國出版；藍詩玲譯本在五個譯本中最新，2009 年作爲企鵝經典在英國出版；楊憲益、戴乃迭譯本則是在中國國內的政治環境中翻譯出版的，早在二十世紀五十年代就已出版，後多次重印再版。這些譯本中的《孔乙己》譯文在文學性的再現、政治性的傳達上是否與原文一致，它們對原文文學特徵的重塑程度或自身的文學創造表現是否影響到其對原文思想政治內容的傳遞，制約因素爲何，都是本研究的核心內容。

二、譯作的選材與譯序：以文學性和政治性爲視角

譯者選擇什麼樣的作品進行翻譯通常具有一定的目的，此外，譯作前言中對原作的介紹與評論，通常會對目標語讀者產生顯著的導向作用。下面看看本文的研究對象中，譯者翻譯（主動選擇翻譯或受委托翻譯）魯迅作品是否有什麼目的，同時以文學性和政治性爲視角，考察各譯序的面貌如何，它們是傳達還是削弱了原作的文學性和政治性。

二十世紀上半葉，對中國持同情態度的美國記者埃德加 • 斯諾是美國漢學家中第一個對魯迅作品進行翻譯和研究的人。斯諾在 1932 年通過姚克認識了魯迅先生，魯迅先生同意其翻譯，還爲斯諾譯本特撰自序，並提供一幅自己的標準半身照。斯諾翻譯、編輯了《活躍的中國——現代中國短篇小說選》（Living China: Modern Chinese Short Stories），1936 年在倫敦甫出版，就受到西方文藝界的好評，第二年在紐約再版，其中收有魯迅六篇小說譯作，包括《孔乙己》的英譯文。

斯諾譯本的前言富於活力、飽含熱情、積極向上。斯諾說道：“世界上延續時間最長的文化正在中止，層層圍墻避護下的舊價值觀在瓦解，內外部的鬥爭都在力推新生事物來取代它們，數百年來一直被認爲是合乎道德、公正、規範的觀念、事物、制度正在被嚴厲地集中批判，隨之而來的是對整套觀念的擯弃、對時空評判新範圍的發現、到處可見的有益混亂，混亂之中正孕育著貫穿整個東亞的偉大有意義的經濟、政治、文化的變革的萌芽，這些就是衝突、對比、重新評價的廣闊舞臺，在這上面，人類生命的洪水猛烈地拍打著今日的中國。這一切促使改變產生，而這種改變使得這塊土地成爲迄今爲止盛產新觀念、激發新生命、孕育偉大藝術之地”（Snow 1937，11），並說他想知道“孔子、孟子、荀子、墨翟等曾經神聖的名字現已不再喚起中國人心中

的虔誠時，什麼才對中國人重要，他們生活的目的又是什麼”（Snow 1937，12）。斯諾對魯迅先生贊揚有加，稱其“仁慈博愛，富於同情心，對周圍事物感知敏銳”，讓自己印象深刻（Snow 1937，13），還認爲“魯迅先生在中國的社會角色和政治角色與俄國的高爾基非常相似”，魯迅的作品也“爲他贏得了‘中國的契呵夫’之稱”（Snow 1937，14）。在文末部分，斯諾總結說，他在此所呈現的是“心靈和思想的整體綜觀，或許也是一個活躍的中國的靈魂”（Snow 1937，18）。

從整個譯序可知，斯諾是自己主動翻譯這些中國作家的作品的，是爲了向西方世界介紹一個真實的中國、一個“活躍的中國”，他對譯作中所挑選的進步作家和作品持褒揚態度，這篇譯序給當時正在發生巨大變動的中國以及整部譯作定下了贊譽的基調，對魯迅先生領導性的社會作用和政治作用明確肯定，這樣留給美英讀者的應是對譯作中的作家和作品的閱讀期待。該譯序在幾個譯序中語氣也最爲活躍向上，令人不忘。

美國人伊羅生也與魯迅先生相識，他的譯作《草鞋脚》（Straw Sandals: Chinese Short Stories，1918-1933）收有魯迅和其他現代作家作品的英譯，是當年魯迅和茅盾應伊羅生請求爲在美國出版而遴選編輯的，展現的是三十年代的中國文學，所選作家作品爲中國進步作家的優秀作品。伊羅生譯本在 1930 年代就已完成，儘管伊羅生多方聯繫美國的出版社，却一直沒有出版機構願意出版，直到四十年後中美關係破冰之後譯作才最終在 1974 年得以在美國出版。但在該譯作前言中，伊羅生却把魯迅先生描述成反共人物，說魯迅先生曾與共産黨的評論家發生公開衝突，“在他最後一年的生活中充斥著對共産黨官員頑固而惱怒的抵抗”（Isaacs 1974，xii-xiii）。伊羅生這樣做的目的是迎合有反共情緒的出版商以方便出版該書，而且該版譯作所重新選編的作家作品與魯迅和茅盾原本編輯的《草鞋脚》出入很大（A• 熱洛霍夫采夫，1983，51）。伊羅生前後態度的變化是受贊助機制的制約，同時二十世紀七十年代的美國對中國的政治體制持明確的敵視態度，所以伊羅生迎合的也是美國的主流意識形態，這是目的語系統中的政治系統對翻譯産生影響的顯著表現。

美國漢學家威廉 • 萊爾的譯本是用地道美語譯成，1990 年由夏威夷大學出版社出版，是第一個用美語翻譯了全部魯迅小說的譯本（Lyell 1990，xlii），在學術界影響也較大。在美國國內，美國政界對中國共産黨執政一直持敵對態度，而且美國漢學界在魯迅先生生前一直對其作品進行冷落（A• 熱洛霍夫采夫，1983，50），但是萊爾在譯本前言中對魯迅先生持肯定態度，並論述說魯迅先生“在事業的早期，就已診斷出中國的病症，但無療法，後在上海時期，從蘇聯的例子中受到鼓勵，認識到共産主義最終會帶來治療方法：一個無階級的社會”（Lyell 1990，xxx）。

楊憲益、戴乃迭譯本是在中國國內的政治環境中翻譯出版的，二十世紀五十年代他們是外文出版社的翻譯專家，該譯本早在 1956 年就已出版，後多次重印再版。楊戴譯本一般會被認爲與中國國內對魯迅先生作品的主流解讀一致，所以他們的《孔乙己》譯文常會先入爲主地被視爲是傳達原作思想政治內容最充分的譯文。該譯本無譯者序，只有編者按，簡介了這套英文版四卷本的《魯迅選集》，然後介紹了該第一卷的主要內容，包括《吶喊》自序與 18 篇短篇小說、19 篇散文詩、9 篇回憶錄，並說明

了各部分內容的出處。

當代英國漢學家藍詩玲的《阿 Q 正傳與其他中國故事：魯迅小說全集英譯》（The Real Story of Ah-Q and Other Tales of China: The Complete Fiction of Lu Xun）自 2009 年作爲企鵝經典出版之後，在海內外廣受好評，該譯本文采斐然，語言地道、出色、靈活，令人不忘。藍詩玲的翻譯有主觀上的意願，也與企鵝出版社的提議有關，譯作屬企鵝經典系列（Wang 2014，1-2）。藍詩玲在譯本前言中詳述了魯迅的生活經歷、文學創作經歷等，評價他“在罕見的政治動蕩、社會動蕩、生活劇變中堅持閱讀、思考、寫作”，“配得上他的榮譽，仍有很多值得當代作家學習之處”（Lovell 2009，xxxvii），但是認爲中國的領導人强調魯迅後期的左傾轉向，利用魯迅爲革命服務，認爲中國的共産主義者將魯迅過度簡化爲人民的模範僕人（Lovell 2009，xxxiii），吹捧魯迅的做法抹去了魯迅作爲作家所具有的複雜性，而且曾經試圖丢掉魯迅的批判精神，還說中國的中學課本曾反復將魯迅的短篇小說解讀爲對封建社會罪惡的標準控訴（Lovell 2009，xxxiv，xxxv）等。總而言之，整篇譯序在論述到中國的領導人以及中國的共産主義時持貶抑、否定的態度。

幾個譯序的觀點差別顯著，明顯受到譯者意識形態的影響；同時，譯者的意識形態可能會受到贊助機制的制約，比如伊羅生譯本中譯序的觀點與其多年前的初衷不符，就是因爲要迎合出版商的意識形態。

三、《孔乙己》譯文對比評析：文學性的傳遞與政治性的傳達

下面選取《孔乙己》原文中表現小說思想政治內容最爲典型的其中幾例進行文本分析，考察各譯文文學性的再現如何，政治性的傳達怎樣。

3.1 對社會等級現象的批判

小說開頭描述了常到咸亨酒店喝酒的有兩類人：短衣幫和穿長衫的，這是原文一個突出的借代手法，也形成對比，因爲這兩類截然不同的人群代表著當時社會中的不同階層，短衣幫指代下層社會的體力勞動者，穿長衫的則是位居上層社會的讀書人，這是小說中表現封建禮教制度下的等級觀念最直接之處，對比鮮明，是魯迅先生對社會等級現象進行的有力批判。“短衣幫”和“穿長衫的”的五個譯文分別爲：

斯諾譯文：the short-coat class;long-gown men （Snow 1937，44）
（“穿長衫的”的譯文還有個當頁脚注：Long gowns were usually worn only by the gentry）
肯尼迪譯文[1]：the short-coated class;the long-gowned gentlemen （Kennedy 1974，25）
萊爾譯文：the short-jacket crowd;the longgown crowd, the gentry（Lyell 1990，42）

楊戴譯文：the short-coated class;those in long gowns （Yang and Yang 1956，22）
藍譯文：short-jacketed manual labourers;
those dressed in the long scholar's gowns that distinguished those who worked with their heads from those who worked with their hands （Lovell 2009，32）

各譯文均表意準確，值得注意的是，“短衣幫”的譯文中，藍譯文增加了“manual”（體力的）一詞，再加上“labourers”（體力勞動者）來具體表達“幫”的含義，這樣清楚傳達出了“短衣幫”是體力勞動者的概念。“穿長衫的”譯文中，藍譯文在行文中增加的解釋內容（包括“scholar”以及“that distinguished those who worked with their heads from those who worked with their hands”）最爲豐富、清楚明白，尤其突出，不僅表明長衫是讀書人“scholar”所穿，還指明長衫區別開了腦力勞動者和體力勞動者，其中“heads”和“hand”形成鮮明對比，令人不忘。因此，原文通過“短衣幫”和“穿長衫的”所表達的反封建主題思想在該譯文中傳達得最充分。此外，斯諾譯文在脚注中點明長衫是“gentry”（士紳，即有身份的人、有地位的人）所穿，肯尼迪譯文、萊爾譯文也均點明穿長衫的是“gentlemen”或“gentry”，因此這四個譯文均不同程度地傳達出了原文的蘊涵意義，即衣衫長度不同，穿衣者所屬的階層就不同。相較之下，楊戴譯文與原文字面意義對應，但對原文蘊涵意義的傳達似乎就有欠充分了。

3.2 對科舉制度的批判

《孔乙己》中政治性另一個重要的表現是對封建科舉制度的批判，比如：聽人家背地裏談論，孔乙己原來也讀過書，但終於沒有進學，……
（魯迅，2005，458；下劃綫爲筆者所加）

此外，咸亨酒店的看客還嘲笑過孔乙己：

“你怎的連半個秀才也撈不到呢？”（魯迅，2005，459；下劃綫爲筆者所加）

各譯文對“進學”和“秀才”的翻譯分別爲：

斯諾譯文：…to enter the academy; “…a hsiu-ts‘ai degree?”（Snow 1937，46，46）
肯尼迪譯文：…been to a proper school …;“…a degree…”（Kennedy 1974，27，28）
萊爾譯文：…to pass the civil service exams; “…a Budding Talent?” （Lyell 1990，44，45）
楊戴譯文：…passed the official examinations …; “…the lowest official examination?” （Yang and Yang 1956，24，25）
藍譯文：…the lowest grade of the imperial civil service examination; ‘…an exam?’（Lovell 2009，34，34）

“進學”指的是明清時代的科舉考試，包括若干級別，孔乙己努力攀爬却未能躋身其中，是魯迅先生在小說中批判的對象，藍譯文中的“imperial civil service examination”正是“科舉考試”之意，在五個譯文中意義應最爲準確。“秀才”是對中國封建社會科舉制度最低一級考試通過者的稱呼，斯諾譯文采用的是音譯，未加注，這樣對“秀才”的內涵意義傳達得應該是不够充分的。萊爾譯文加有脚注：“In ascending order the three civil service degrees were Budding Talent, Selectman, and Advanced Scholar”（Lyell 1990，45），把科舉制度中主要的三個等級 Budding Talent（秀才）、Selectman（舉人）、Advanced Scholar（進士）清楚解釋出來了，除了讓目標語讀者瞭解中國封建社會科舉及第的等級，還爲下文的丁舉人（Ding the Selectman）毒打孔乙己提供了背景知識，使他們看到通過科舉考試獲得身份的丁舉人，雖與孔乙己同爲讀書人，却可以毒打科舉不第的孔乙己，儘管孔乙己偷的也僅僅是書。肯尼迪譯文（“…a degree…”，意爲“學位”）、藍譯文（‘…an exam’ 意爲“考試”）傳達了原文的大意，楊戴譯文（“…the lowest official examination”）意爲“最低等級官方考試”，與原文意義基本一致，但這三個譯文把“秀才”所有關的中國科舉制度的文化內容也一筆勾銷了。相較之下，萊爾譯文通過脚注對小說原文中有關科舉制度的內容傳達得最爲充分，也就和原文對科舉制度的批判思想更爲接近。

3.3 對知識分子迂腐的批判

3.3.1 文言的使用

孔乙己執拗於滿口令普通大衆不解的文言，而且他時常用得並不正確也不合適，體現了孔乙己對自己讀書人身份的偏執，但他的學問著實迂腐，並無實際用途，反映出科舉制度對知識分子的毒害。這種通過使用文言而反對迂腐學問的思想應盡可能地在譯文中得以體現，當然這絕非易事。萊爾也指出，魯迅先生運用文言是要和白話文形成對比，降低文言所代表的傳統，但英語中沒有這樣現成的古文語域，從而在翻譯中難以表現這種對比（Lyell 1990，xl）。看小說原文中主要的幾處文言表述及其英譯：

（1）他對人說話，總是滿口之乎者也，教人半懂不懂的。
（魯迅，2005，458；下劃綫爲筆者所加）

“之乎者也”是文言中常用的虛詞，這裏代指使用文言。“總是滿口之乎者也”的各英譯文爲：

斯諾譯文：…with a mouthful of empty words like chih, hu, chêh, and yeh, which, being exclusively used as flourishes in classical writing, …（Snow 1937，45）
肯尼迪譯文：…heavily interlarded with classical particles …（Kennedy 1974，26）
萊爾譯文：…he always larded whatever he had to say with *lo, forsooth, verily*, nay and came out with a whole string of such phrases, …（Lyell 1990，43）
楊戴譯文：…so many archaisms in his speech…（Yang and Yang 1956，23）

藍譯文：…so dusty with classical constructions…（Lovell 2009，33）

斯諾譯文通過音譯和斜體形式，再加上解釋性語言“empty words”以及“being exclusively used as flourishes in classical writing”，儘量傳達出“之乎者也”所蘊涵之意，即“爲虛詞，只在文言寫作中用作修飾語”。萊爾譯文除了選用英文古語詞“lo, forsooth, verily, nay”來表達原文中的漢語文言詞“之乎者也”，還加有脚注，解釋說漢語古文本爲書面語，用於說話時並不易懂，但孔乙己把自己視爲通過帝制統治中國的學者士紳階層中的一員，因此在自己的日常用語中使用名著中的迂腐書面語（Lyell 1990，43）。肯尼迪譯文、藍譯文、楊戴譯文分別通過解釋性的語言“classical particles”、“dusty…classical constructions”、“many archaisms”簡潔傳達出了此處漢語文言文的性質，藍譯文中的“dusty”一詞還清楚點明孔乙己的文言表達枯燥無味，意義明晰。不過，如果從小說原文通過運用文言來表達反封建主題的角度看，相對而言，萊爾譯文通過脚注中的解釋，把原文中的批判思想傳達得更爲充分。

（2）“多乎哉，不多也！”

孔乙己雖貧窮，但心地善良，小說中有他給孩子們分發爲數不多的茴香豆的情景，其中他說了一句：“多乎哉，不多也！”。在孩童面前仍用文言，說明在日常生活中口出文言已成了孔乙己的習慣，可見科舉取士制度對他戕害之深。此句話的各譯文爲：

斯諾譯文：“Many *hu tsai*! Not many *yeh*!” thus dragging in his absurd flourishes again. （Snow 1937，48）

肯尼迪譯文：“ …Lo, are there indeed many? Nay, forsooth, there be not many!”（Kennedy 1974，29）

萊爾譯文：“*Few be my beans. Hath the gentleman many? Nay, he hath hardly any.*”（Lyell 1990，46）

楊戴譯文：“…Not much! Verily, not much, forsooth!”（Yang and Yang 1956，26）

藍譯文：“Are the beans multitudinous in abundance? Multitudinous in abundance they are not.”（Lovell 2009，35）

萊爾譯文中的兩個“Hath”和“Nay”均爲古語，傳達出原文爲古文的特點，此外還加有脚注，解釋說此句從《論語》9.6.3 部分而來，但孔子原本用這句話的情形和孔乙己並不相同，孔乙己的引用雖然异乎尋常但也算恰當，因爲他和聖人孔子一樣姓“孔”（Lyell 1990，46）。藍譯文通過使用意義重複的“multitudinous”和“in abundance”兩部分語言表達出孔乙己說話囉嗦，譯文表述可謂出色，但似乎未展現出該句爲古語的特點。斯諾譯文中音譯的“hu tsai”無實際意義，增譯的“thus dragging in his absurd flourishes again”點明孔乙己常生硬地使用荒謬的修飾語，肯尼迪譯文中的“Lo”、“Nay”、“forsooth”以及楊戴譯文中的“Verily”、“forsooth”均爲古語，能够傳達出孔乙己喜用古文的特點。五個譯文均達意到位，不過相較之下，萊爾譯文通過脚注生動刻畫出孔乙己深陷古籍的特點，更爲充分地傳達出了原文的蘊涵意義。

3.3.2 孔乙己學問的迂腐無用："茴"字的四種寫法

小說中有個情節：孔乙己想向咸亨酒店的小夥計示範"茴"字的四種寫法，奈何小夥計不理會，孔乙己頗爲失望。"茴"字的確有四種寫法，尤其是第四種更爲生僻，普通人並不知道，《康熙字典》倒有收錄（聶鑫森，2001，26），但這種學問並無什麼實際用處，這同樣顯示了孔乙己學問的迂腐無用。各英譯文對該情節描述到位，不過萊爾譯文還加有脚注：點明孔乙己迂腐，並指出"茴"字的第四種寫法極其罕見（Lyell 1990，46），這樣就展現出科舉制度使知識分子學到的知識並無用處，也就傳達出了原文所含的思想政治內容。

3.4 對孔乙己形象的刻畫

3.4.1 孔乙己姓名的由來

孔乙己姓孔，讓人聯想起聖人孔子，但這個名字又是從白描本得來的。人們給孔乙己取名的方式隨意，其實顯示了他們對待孔乙己的態度很隨意。原文此句爲：

> 因爲他姓孔，別人便從描紅紙上的"上大人孔乙己"這半懂不懂的話裏，替他取下一個綽號，叫作孔乙己。[2]（魯迅，2005，458）

斯諾譯文未譯此句（Snow 1937，45）[3]，肯尼迪譯文中的"meaningless"點明了孔乙己姓名來源的字句是無意義的，同時對句尾的"Shang ta jen k'ung i chi"加有脚注，指出孔乙己姓名的由來是因爲他和孔子同姓，其實這三個字並無意義，因爲所有的習字帖都以這三個字開頭，所以它們廣爲人知，即使不識字的人也知道（Isaacs 1974，26-27）。這個脚注比較詳細地說明孔乙己雖和聖人同姓，但其姓名並無意義，這樣讀者應會領悟孔乙己其人微不足道了。萊爾譯文除了清楚譯出原文字面意義，也加有脚注，點明習字帖中的字有些能形成短語，有些不能（Lyell 1990，43）。肯尼迪譯文和萊爾譯文都比較完整地傳達出了原文關於孔乙己姓名的蘊意，斯諾譯文未譯此句，那麼在此處表達人們對孔乙己的輕視態度就與原文不一致了。楊戴譯文意義與原文基本對應，不過似乎未譯"半懂不懂"一詞（Yang and Yang 1956，23），因而弱化了孔乙己姓名的無意義性。藍譯文很靈活，不拘泥於原文字面表述，在行文中解釋性地表達出孔乙己姓名的由來，文中未加脚注（Lovell 2009，33）。相較之下，肯尼迪譯文、萊爾譯文、藍譯文對此句的翻譯，更爲充分地傳達出原文的內涵意義，即孔乙己姓名的由來及無甚意義。

3.4.2 對孔乙己付酒錢動作的生動描述

孔乙己有錢買酒時，是"排出九文大錢"，頗有陣仗，被打斷腿後最後一次來喝酒，情形悲慘，此時他是"摸出四文大錢"，兩個動詞"排出"、"摸出"對比鮮明，反映出孔乙己生活的落魄、命運的淒慘。看"排出"、"摸出"的各英譯文：

> 斯諾譯文：count out…in a row;fumbled（Snow 1937，45，49）
> 肯尼迪譯文：laid out; dug out（Kennedy 1974，27，31）
> 萊爾譯文：set out…all in a row; fished around …until ….（Lyell 1990，43，

48）
楊戴譯文：would produce; produced （Yang and Yang 1956，23，28）
藍譯文：lining …up on the bar; Drawing （Lovell 2009，33，36）

幾個譯文都表達出了原文含義，“排出”的譯文中，藍譯文中的“lining”一詞用來表達“排成行”的意義，頗爲簡潔形象。“摸出”的譯文中，斯諾譯文的“fumbled”、肯尼迪譯文的“dug out”、萊爾譯文的“fished around”均準確地傳達出了“摸”所表達的用手探取、尋找之意，與前文“排”的英譯形成對比，刻畫出了孔乙己因遭受科舉及第的丁舉人的毒打而悲慘落魄的狀況，但其實孔乙己偷的也只不過是書，從而反襯出封建社會等級制度對人民的迫害。

3.5 小說批判了當時社會

小說展現了當時社會裏下層人民生活的艱辛。例如小說故事場景的主要發生地名爲“咸亨酒店”，“咸亨”一詞取自《易經》中的“含弘光大、品物咸亨”，稱頌的是生育萬物的地母之力（丸尾常喜，1992，45），但從小說中的描述可見，當時的勞動人民生活不易，尤其是像孔乙己這樣生計無著落的苦人更爲艱難，這個名稱反襯出人們生活的苦楚，是反諷手法。“咸亨酒店”的英譯文分別爲：

斯諾譯文：“Luck for All”（Snow 1937，44）
肯尼迪譯文：the Prosperity Wine Shop （Kennedy 1974，25）
萊爾譯文：Prosperity for All （Lyell 1990，42）
楊戴譯文：Prosperity Tavern （Yang and Yang 1956，23）
藍譯文：Universal Prosperity （Lovell 2009，32）

五個譯文均意義正確，不過似乎藍譯文最爲簡潔有力，尤其是“universal”一詞準確譯出了“咸”字的“全、都”之義，整個譯文令人感覺意義完全對應、表達流暢，頗具文采。其次，小說對社會背景的介紹，也體現出舊社會勞苦民衆生活的艱難，例如：

> 到了年關，掌櫃取下粉板說，“孔乙己還欠十九個錢呢!”到第二年的端午，又說“孔乙己還欠十九個錢呢！”到中秋 可是沒有說，再到年關 也沒有看見他。（魯迅，2005，461；下劃綫爲筆者所加）

中國舊時的年關、端午、中秋都是富人向窮人催賬的時間，這就是爲什麼酒店掌櫃在這兩個時間提起孔乙己還欠十九個錢的原因，這五個譯文對該例首尾的兩個“年關”以及“端午”、“中秋”的翻譯都比較準確，不過萊爾譯文還加有當頁脚注，點明端午、中秋、農曆新年是傳統上結帳的時間（Lyell 1990，48），這樣就充分刻畫出掌櫃之所以記起孔乙己，只是因爲他要結帳的冷漠本性，由此展現出舊社會人民生活的艱難。

此外，小說還用看似矛盾的語氣表達出孔乙己悲慘命運的必然性。“大約孔乙己的確死了”這句話中，“大約”、“的確”似乎矛盾，其實點明這是孔乙己在那個時代的

必然命運，雖然小夥計並沒有再見過他，但從孔乙己最後一次出場時腿已被打斷、只能用手走路的慘狀，再加上前文對他沒有營生能力的描述，死亡的確應是孔乙己的必由之路。這句話的五個英譯文爲：

斯諾譯文：Perhaps he is really dead. （Snow 1937，50）
肯尼迪譯文：It is most probable that this time K’ung I-chi is really dead.（Kennedy 1974，32）
萊爾譯文：…guess he really did die. （Lyell 1990，48）
楊戴譯文：…probably Kung I-chi is really dead. （Yang and Yang 1956，28）
藍譯文：I suppose Kong Yiji really must have died. （Lovell 2009，36）

各譯文均與原文意義一致，不過藍譯文的語氣似乎更爲流暢自如，同時通過表肯定的推測性語言“must have”表達出孔乙己肯定已死的意義，傳達出死亡是孔乙己在那個凉薄社會的必然命運。

四、結論與啓示

從上文分析可見，政治小說譯文的文學性越强，其政治性未必就越突出。五個譯文中，藍譯文的文學性頗爲突出，文采斐然，但如果以政治性爲視角，應是萊爾譯文對原文思想政治內容的傳達最爲充分，可見譯文的文學性越强，對原文的政治性相對來說表達得未必就越充分。

同時，萊爾譯本的前言中沒有反對中國政治制度的語言，所以從譯文正文和譯作前言來看，它們對中國的國家形象起到的是正面、不貶抑的構建效果。不過，雖然萊爾譯文對原文的思想政治內容表現得最到位，但其中多數是通過加脚注實現的，屬學者型譯文，通常情况下普通讀者可能會覺得參考注釋會打擾閱讀，這樣可能會在一定程度上影響閱讀興趣。萊爾也指出：他給讀者提供了豐富的脚注，是因爲他認爲譯者應“保證讀者得到和譯者自己對原文大致相同的理解或誤解”；此外，“除了因熟悉中國歷史和文化而會閱讀魯迅小說的讀者”，譯者還應盡力擴大讀者群，所以自己的注釋“對某些讀者可能過多，但相信對其他讀者應有用處”（Lyell 1990，xlii）。

藍譯文對原文中思想政治內容的傳達較萊爾譯文略爲遜色，但與其他三個譯文相比，它在文內增加的解釋性內容較爲突出，對原文的思想政治內容傳達得也就較爲清楚到位，而且譯者選擇在行文中對原文裏的背景情况進行解釋說明，應比較利於目標語讀者理解接受，同時該譯文流暢通順，表述清楚，文采出衆，也比較有利於譯文中思想政治內容的傳達接受。

“企鵝經典”（Penguin Classics）是世界上負有盛名的出版叢書，選中魯迅先生的小說全譯，是魯迅先生作爲經典作家地位的體現，但是藍詩玲說過：很多中國作家和評論家時常並未意識到——中國文學在國外處於非常邊緣的地位，要在國外爲中國文學找到讀者，十分困難（Wang 2014，9），所以在她的譯文中，有多處采用在行文內解釋原文內容的增譯方法，充分解釋中國讀者認爲理所當然的內容，如上文所列的“穿

長衫的”、“短衣幫”的英譯就在行文中增加了充足的解釋性內容，以利於目標語讀者接受，這是由譯者的文學觀決定的，不過這同時達到了保證原文思想政治內容得以確切傳達的實際效果。

但是藍譯文前言中對中國的共產主義及領導人的觀點，對中國的社會制度、政治形象起到的是貶抑、否定的效果，明顯不利於中國國家形象在國際政治環境中得到提升。同時，這樣的譯序奠定了譯作的基調，在一定程度上也削弱了排在譯序之後的譯文對原文思想政治內容的傳達。魯迅先生的小說在中國社會進程中起到了批評舊制度、推動社會向前發展的政治功用，是有利於中國社會進程的，這與該英譯本前言對中國社會在國際上的地位所起的反面政治作用截然不同。這樣的譯序應是由譯者的意識形態所決定的。

其次，譯者的翻譯目的與實際翻譯效果之間未必一致。埃德加•斯諾是熱忱地要向西方世界介紹中國，主動選擇翻譯的，雖然他致力於傳達“活躍的中國”，對中國當時發生的巨大政治變化、社會變化贊譽有加，但是譯文面貌在傳達原文的思想政治內容上應該不是五個譯文中最爲突出的，因爲該譯文沒有作過多文中解釋或脚注。雖然斯諾有自己的翻譯準則，他是盡力“傳達原作的精神，是闡釋原作，而非像照相一樣進行複製”（Snow 1937，15），但是譯文正文的翻譯效果與譯者的翻譯目的相比，似乎比其他譯文要略遜色一點，可見譯者的翻譯目的未必都能在譯文中實現，也就是說，譯者的翻譯目的與譯文的實際翻譯效果並非總是一致。

伊羅生譯本的初衷是展現中國進步作家的作品，但當時在美國出版受挫，在二十世紀七十年代再次努力出版時，却把魯迅描述成反共產主義者，以利譯作出版。雖然該譯本中的《孔乙己》譯文由肯尼迪翻譯，譯文對原文批判封建禮教、科舉制度對知識分子的戕害表現還是比較到位的，但是譯本前言的否定性論述定下了整部譯作的基調，對中國的國家形象造成損害，這與伊羅生的翻譯初衷差別顯著。

楊戴譯文早在二十世紀五十年代就已在中國國內出版，應會采用中國大陸對魯迅先生作品的主流解讀，通常可能會被認爲是傳達原文思想政治內容最爲充分的譯文，但從上文對比分析來看，它的實際傳達效果應該不是最爲充分的。這同樣顯示譯者的翻譯目的未必能够完全反映在譯文的實際面貌中。

第三，政治小說的原作與譯作可能產生不同的政治效果。《孔乙己》在中國歷史上對社會發展起到過批判封建禮教、推動社會進程的政治功用，但在本文考察的《孔乙己》的英譯中，有的譯作通過譯序對中國國家形象的構建起到的却是貶抑、否定的負面作用，比如伊羅生譯本譯序、藍詩玲譯本譯序。因此，除了研究政治小說譯文的正文，還應注意譯作序言的實際面貌，因爲譯序有可能產生和原文不同甚至相反的政治作用。

第四，傳達原文政治性最爲充分的萊爾譯文用的是加脚注的方法，而文學性最强的藍譯文突出的特點是在行文中增加解釋性的內容，二者是否有可能統一起來，換而言之，是否有可能使譯文既能充分傳達出原文的政治性，又具有突出的文學性。綜上所述，對政治小說翻譯的研究應注重其文學性與政治性兩方面的傳達效果，探究譯文的實際政治功用與原文一致還是相左，何種翻譯方法可能最爲有效，以期爲政治小說

翻譯研究作出一定貢獻。

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注 釋

[1] 伊羅生譯本中的《*孔乙己*》譯文由肯尼迪（George A. Kennedy）翻譯。

[2] 因爲他姓孔，別人便從描紅紙上的“上大人孔乙己”這半懂不懂的話裏，替他取下一個綽號，叫作孔乙己。（魯迅，2005，458）

斯諾譯文：未譯（Snow1937，45）

肯尼迪譯文：Because his surname was K’ung, he had been given the nickname I-chi, from the meaningless line in the elementary copybooks: “Shang ta jen k’ung i chi.”（Kennedy 1974，26）

該譯文在 “Shang ta jen k’ung i chi” 後加有脚注：Literally this could mean “Above the great man—” followed by three meaningless syllables, k’ung-i-chi. K’ung was the surname of Confucius and since many Chinese names are trisyllabic, the people of the place gave these three syllables to the old man as his surname and given name. Actually all calligraphic copybooks began with these characters simply because they included all the basic strokes needed for learning how to write Chinese characters. Since many had begun to study but never gotten far, the words were widely known, even by the unlettered.（Kennedy 1974，26-27）

萊爾譯文：Because his family name was Kong, people nicknamed him Yiji. They got the idea from the first six words of a copy book that was used in teaching children how to write characters: ABOVE—GREAT —MAN—KONG—YI—JI, a string of words whose meaning you could half make out, and half couldn’t. （Lyell 1990，43）

該譯文在 couldn’t 後加有脚注：Copybooks were essentially lists of characters to be learned. Some of the words formed phrases, some didn’t. The characters were outlined in red, and students would fill them in with their brushes. （Lyell 1990，43）

楊戴譯文：As his surname was Kung, he was nicknamed “Kung I-chi”, the first three characters in a children’s copy-book. （Yang and Yang 1956，23）

藍譯文：Kong Yiji wasn’t even his real name: it was the first few characters –kong, yi, ji –in the old primer that children used for learning to write. Kong was his surname, all right, but someone somewhere must have once rattled humorously on with yi and ji and the nickname stuck. （Lovell 2009，33）

[3] 因譯文較長，該句的五個英譯文見文末注釋。

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從語言學視角看莎劇《一報還一報》中情態謂詞的漢譯

吳邊

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Abstract

A Study on Chinese Translation of Modal Verbs in Shakespeare's *Measure for Measure*: A Linguistic Perspective (*by* Bian Wu)

Modal verbs are a type of verbs which express meanings such as volition, ability, possibility, necessity, etc. In Shakespeare's plays, modal verbs are characterized by their large numbers and rich meanings, with some of their meanings different from their present-day English descendants. For instance, "can" has the meaning of "know how to", "may" can be used to mean "to be able to", "shall" can be used in a command. This paper focuses on the differences among the Chinese translations of can, may, must, shall, will in Measure for Measure, translated by Zhu Shenghao, Liang Shiqiu, Fang Ping, Ying Ruocheng, and Peng Jingxi respectively, its aim being to find out the above five modal verbs' exact meanings and appropriate ways to render them in Chinese. The result shows that "can, may, must, shall, will" in Measure for Measure appear 406 times with eleven meanings, which are "intend to", "be willing to", "be able to", "be enabled by", "know how to", "be obliged to", "be certain to", "be allowed to", "order to", "infer to", "be to". Liang Shiqiu and Peng Jingxi tended to adopt formal equivalence in their translations, and Zhu Shenghao, Fang Ping and Ying Ruocheng tended to adopt functional equivalence in their translations.

一、引言

英語史學家常常把英語的發展過程分為三個階段，即古代英語（Old English）、中代英語（Middle English）和現代英語（Modern English），而現代英語又可分為早期現代

英語（Early Modern English，1500-1700）、晚期現代英語（Late Modern English，1700-1900）和今日英語[1]。在語言研究和翻譯研究中，如果研究者不顧及語言的時代差別，就很有可能造成理解上的錯誤或偏差。以莎士比亞戲劇 *Measure for Measure*（《一報還一報》）中情態謂詞的漢譯為例，現有譯作大都存在著以下兩類問題，即誤譯和漏譯，造成這兩類問題的根源在於譯者沒有準確地理解情態謂詞在早期現代英語時期的意義和用法。本文嘗試著從語言學的視角出發，在廣泛閱讀文獻的基礎上歸納出情態謂詞 can, may, must, shall, will 在莎士比亞時代的意義，並基於翻譯對等理論，分析朱生豪、梁實秋、方平、英若誠、彭鏡禧對這些詞的漢譯。

二、早期現代英語中核心情態謂詞的語義研究

早期現代英語中情態謂詞語義研究最大的問題在於研究者對情態謂詞的義項個數說法不一，以 can 為例，有的研究者（如 Wallis 1972，341 等）認為它在早期現代英語中有 1 個義項; 有的（如 Schmidt 1972，166-167 等）認為它有 2 個義項，有的（如 Kakietek 1972，54-58 等）認為它有 3 個義項，還有的（如 Gotti et al. 2002）認為它有 4 個義項。為了解決這個問題，本研究決定參考牛津英語詞典（Oxford English Dictionary 1884-1928/1989）（以下簡稱 OED），選用該部詞典的原因在於 OED 是英語世界中最為權威的語言研究工具，它的詞彙義項都是按照歷史原則編排的，能夠為使用者展現出英語單詞從誕生之初一直到現今的語義變化情況，筆者將選定 can, may, must, shall, will 在 1500-1700 年間的義項和例句作為本研究確定情態謂詞義項個數的參考標準。

根據 OED，can 在早期現代英語時期共有 4 個義項，即：知道（know how to）、能力（be able to）、使能夠（be enabled to）、推測（be inferred to）；may 在早期現代英語時期共有 6 個義項，即：能力（be able to）、使能夠（be enabled to）、許可（be allowed to）、必要性（be obliged to）、推測（be inferred to）、儘管（although）；must 在早期現代英語時期共有 5 個義項，即：意圖（intend to）、偏執（insist that）、必要性（be obliged to）、必然性（be certain to）、推測（be inferred to）；shall 在早期現代英語時期共有 4 個義項，即：意圖（intend to）、必要性（be obliged to）、命令（order to）、將來（be to）；will 在早期現代英語時期共有 7 個義項，即：意圖（intend to）、意願（be willing to）、能力（be able to）、習慣（be accustomed to）、命令（order to）、推測（be inferred to）、將來（be to）。

三、研究設計

3.1 概念界定和分類

本文把早期現代英語中的情態謂詞界定為一種用來傳達言者語氣的宣意形位。就形式而言，它們有過去時和非過去時之分，沒有不定式和分詞形式。一般情況下，情

態謂詞在第二人稱單數後面有詞尾-(e)st 的變化（must, shall, will 除外，它們的形式分別是 must, shalt, wilt/wolt/wo’t/woo’t）；就功能而言，情態謂詞是謂語中的定式成分，它們可以與主語倒置構成疑問句，也可以與否定詞連用構成否定句；就語義而言，情態謂詞既能夠表達言者對能力、意願、預計、可能性、必要性、許可、義務等情態義的斷定。

本文參照 Palmer (1965/1987)，把情態意義分為三類，即能動情態（dynamic modality）、道義情態（deontic modality）和認知情態（epistemic modality）。分類依據在於與斷言語氣密切相關的客觀世界可以分為三大類，即物理世界（physical world）、社會世界（social world）、認知世界（mental world）（沈家煊, 2008；Sweetser 1990）。能動情態可以視為言者對命題主語的能力及意願在物理世界中的判斷，它含有能力、意願等含義；道義情態可以視為言者對命題事件在社會世界中的判斷，它含有責任、義務、承諾等含義；認知情態可以視為言者對命題真值在心理世界中的判斷，它含有可能性、必然性、蓋然性等含義。這三類情態之間存在著隱喻關係，隱喻基礎是言者的態度在三個世界中的投射（吳邊, 2017, 26）。

3.2 分析框架

本文根據形式和意義的關係，把翻譯對等為四類，即：“形式和意義都對應”；“形式不對應意義對應”；“形式對應意義不對應”；“形式和意義都不對應”。其中，“形式和意義都對應”是指譯者在譯文中採用了漢語情態謂詞的形式來翻譯，情態語義與原文相符，它與 Nida (1969, 159) 所說的“形式對等”（formal equivalence）一致。“形式不對應意義對應”是指譯者在譯文中採用了其它形式或策略來翻譯，如：實詞、短語、轉移、隱化[2]，情態語義與原文相符，它與 Nida 所說的“動態對等”（dynamic equivalence）一致。“形式對應意義不對應”是指譯者在譯文中採用了情態謂詞形式來翻譯，但情態語義與原文不相符。“形式和意義都不對應”是指譯者漏譯或誤譯了原文中的情態謂詞，譯文中的情態語義與原文不相符。

3.3 劇本、版本和譯本的選擇

本文選用的語料來自莎劇 *Measure for Measure*（《一報還一報》），原因主要有以下三點：第一，該劇吸引了較多譯者的關注，譯本數量豐富，而且譯者中不乏有文學家（如朱生豪、梁實秋、方平和邱存真等），戲劇家（如英若誠）和學者（如彭鏡禧、彭發勝等），這能夠為本文進行多譯本對比分析及譯者風格分析提供依據。第二，該劇涉及廣大社會階級，上到公爵貴族，下到老鴇皮條，從宮廷大臣到販夫走卒，各式人等，無所不有，人物地位懸殊，人際關係複雜，這能夠為本文進行情態謂詞人際功能的分析提供素材。第三，情態謂詞在莎劇中的分佈比較均勻，受劇本類型的影響較小。

本文選用的莎劇版本是皇家劇團版（the Royal Shakespeare Company）《莎士比亞全集》（*William Shakespeare*: *Complete Works*），選用該版本的原因也有以下三個：第一，它是在 1623 年出版的第一對開本基礎上進行編輯的莎劇版本，底本非常權威；第二，

它是用來演出的腳本，因此相較於其它莎劇版本而言，它更加貼近於莎士比亞時代的舞臺藝術及莎士比亞本人的語言藝術；第三，它的注釋精確，詳略適當，既適合讀者閱讀，也適合演員參考。

本文研究的 *Measure for Measure* 共有七個漢譯本，即：朱生豪《一報還一報》、英若誠《請君入甕》、方平《自作自受》、梁實秋《惡有惡報》、彭鏡禧《量·度》、邱存真《知法犯法》、彭發勝《一報還一報》。本文只選取了前五家譯文進行研究，原因在於它們在國內流傳較廣，影響較大，而且各具特色，其中不乏有詩體譯本，也有散體譯本，有適合舞臺演出的譯本，也有適合文學閱讀的譯本。

3.4 語料庫建設

如前所述，莎劇情態謂詞的數量比較龐大，研究者不太適合在紙質文本中直接進行語料分析和資料統計。為了方便語料檢索，本文把 *Measure for Measure* 及其 5 個漢語譯本做成了一個小型的英漢平行語料庫。具體操作步驟如下：第一，分別把中英文紙質文本掃描成 PDF 格式，然後使用 Adobe Reader XI 軟體把 PDF 轉化為 TXT 文本；第二，在 EmEditor 中校對原始語料，清除各種雜質，中英文語料分別以 *.ZH.txt 和 *.EN.txt 方式命名，並分開儲存；第三，使用 Super Align 軟體來對雙語語料進行句對齊處理，對齊文本以 TXT 格式保存；第四，使用 BFSU ParaConc 1.2.1 軟體來檢索語料。本研究並沒有對已加工好的電子化英文文本進行詞性賦碼處理，原因在於目前大多數英文賦碼軟體都是基於現代英語語法理論基礎之上研發出來的，對早期現代英語語料未必適合。本研究也沒有對已加工好的電子化漢語文本進行分詞處理及詞性賦碼處理，原因在於本研究不需要對漢語譯本進行詞類檢索或短語句式檢索。

3.5 研究方法

本文主要採用英漢對比和譯本對比的研究方法，在梳理總結前人關於情態及情態謂詞論述的基礎上，對莎劇 *Measure for Measure*（《一報還一報》）中的核心情態謂詞 can, may, must, shall, will 及其漢譯進行系統研究。通過英漢對比分析，嘗試在英漢兩種語言之間建立情態謂詞的基本對應關係，以便為翻譯實踐提供候選項。通過譯本對比分析，本文嘗試找出現有譯本的不足和問題，並提出本文的看法。質性研究的同時，本文也提供了相應的量化分析。通過數據統計，我們能看出不同譯者在上述五個情態謂詞翻譯策略和翻譯風格上的異同。

四、語料分析及統計

4.1 《一報還一報》中核心情態謂詞的義項

通過語料檢索，本研究發現在 *Measure for Measure*（《一報還一報》）中核心情態謂詞 can, may, must, shall, will 共出現 406 例，涵蓋“意圖”、“意願”、“能力”、“使能夠”、“知道”、“必要性”、“必然性”、“許可”、“命令”、“推測”、“將來” 11 個義項，

在這 11 個義項中，“意圖”、“意願”、“能力”、“使能夠”、“知道” 屬於能動情態；“必要性”、“必然性”、“許可”、“命令” 屬於道義情態；“推測”、“將來” 屬於認知情態。核心情態謂詞的各義項在原文中的分佈情況如表 1 所示。

表 2.1: *Measure for Measure* 中核心情態謂詞的語義分佈情況

情態範疇	義項	例句	例數		%
能動情態	1. 意圖	So you? must be the first that gives this sentence, And he, that suffers. [···] (MM 2.2.123-132)[3] We shall employ thee in a worthier place. (MM 5.1.550-553)Give me your hand, I'll privily away. [···] (MM 1.1.70-73)	90	194	47.8
	2. 意願	O Isabel, will you not lend a knee? (MM 5.1.454-461)?	33		
	3. 能力	And well she can persuade. (MM 3.1.197) I pray she may. (MM 1.3. 70) Will so your accusation overweigh [···]	21		
	4. 使能夠	If ever he return and I can speak to him (MM 3.1.194) Bring me to hear them speak, where I may be concealed. (MM 3.1.53)	48		
	5. 知道	He cannot, sir: he' s out at elbow. (MM 2.1.55-58)	2		
道義情態	6. 必要性	that the time? may? have all shadow and silence in it [···] (MM 3.1.227-234) You must walk by us on our other hand, And good supporters are you. (MM 5.1.9-19) What shall be done, sir, with the groaning Juliet? (MM 2.2.16-23)	44	83	20.4
	7. 必然性	my stay must be stolen out of other affairs, but I will attend you awhile. (MM 3.1.169-172)	15		
	8. 許可	Your brother cannot live. (MM 2.4.33) He shall know you better, if I may live to report you. (MM 3.1.367-368)	18		
	9. 命令	let her appear, And he shall? marry her.(MM 2.2.16-23) you will be gone. [···] (MM 3.1.184-187)	6		
認知情態	10. 推測	it can be no better. (MM 5.1.207) I'll know His pleasure, maybe he will relent. Alas. [···](MM 2.2.1-8) This needs must be a practice. (MM 5.1.137) maybe he will relent. [···] (MM 2.2.1-7)	27	129	31.8
	11. 將來	it shall be the better for you.(MM 2.1.178) sir, your good worship will be my bail. (MM 3.1.302-305)	102		
總計			406	406	100

據表 1，我們可以看出，在 *Measure for Measure*（《一報還一報》）中五個核心情態謂詞 can, may, must, shall, will 的能動情態義所占比例最大（47.8%）；其次是認知情態義（31.8%）；最後是道義情態義（20.4%）。

4.2 《一報還一報》中核心情態謂詞的漢譯

4.2.1 形式和意義都對應

例 1

DUKE. [⋯] there she lost a noble and renowned brother, in his love toward her ever most kind and natural: with him, the portion and sinew of her fortune, her marriage dowry: with both, her combinate husband, this well-seeming Angelo.

ISABELLA. **Can** this be so? Did Angelo so leave her? (MM 3.1.210-217)

梁譯本：**會**是這樣的麼？(梁實秋, 2001, 107)

英譯本：**會**是這樣的嗎？(英若誠, 1999, 147)

彭譯本：竟**會**有這種事？(彭鏡禧, 2012, 108)

方譯本：難道**會**有這樣的事？(方平, 2000, 444)

朱譯本：**會**有這種事？(朱生豪, 2010, 332)

例 1 選自第 3 幕第 1 場，地點是監獄裡。喬裝的公爵把瑪麗安娜的悲慘遭遇告訴伊莎白，伊莎白覺得難以置信。在 Can this be so 中，can 表示“推測”，屬於認知情態。譯文中，譯者們都採用了“形式和意義都對應”的方法來翻譯，他們把 can 處理為漢語情態謂詞“會”。“會”表示“可能”（《現漢》, 581），形式和意義都與原文對應。

例 2

FRANCISCA. It is a man’s voice. Gentle Isabella, Turn you the key, and know his business of him; You **may**, I **may not**: you are yet unsworn. [⋯] (MM 1.5.9-15)

英譯本：你**可以**這樣做，我**不能**；你還沒有發願立誓。（英若誠, 1999, 37）

彭譯本：妳**可以**去，我**不行**；妳還沒宣誓。（彭鏡禧, 2012, 51）

方譯本：你**可以**去接見他。我卻**不能夠**了；你還沒宣過誓。（方平, 2000, 388）

梁譯本：你**可以**，我**不可以**；你還沒有發下誓願。（梁實秋, 2001, 35）

朱譯本：你**可以**去見他，我卻**不能**，因為你還沒有受戒。（朱生豪, 2010, 298）

例 2 選自第 1 幕第 5 場，地點是修道院。修女弗蘭西斯卡吩咐准修女伊莎白去接待在門口大聲呼喊的魯休。在 You may, I may not: you are yet unsworn 中，may 和 may not 分別表示“許可”和“不許可”，它們都屬於道義情態。譯文中，譯者們都採用了“形式和意義都對應”的方法來翻譯，他們把 may 處理為漢語情態謂詞“可以”，把 may not 處理為漢語情態謂詞“不能”、“不可以”、“不行”、“不能夠”。“可以”表示“許可”（《現漢》, 735），“不能”、“不可以”、“不行”、“不能夠”都表示“不許可”（《現漢》, 735），形式和意義都與原文對應。

例 3

CLAUDIO. [⋯] If I **must** die, I will encounter darkness as a bride, And hug it in

mine arms.
ISABELLA. There spake my brother: there my father’s grave Did utter forth a voice. [⋯] (MM 3.1.87-93)
英譯本：如果我**必須**死，我會像新婚少女那樣伸出雙臂去擁抱死亡！(英若誠, 1999, 133)
梁譯本：如果我**必須**死，我會投奔黑暗如迎新娘，把它擁抱在我的懷裡。(梁實秋, 2001, 99)
朱譯本：假如我**必須**死，我會把黑暗當作新娘，把它擁抱在我的懷裡。(朱生豪, 2010, 328)

例 3 出自第 3 幕第 1 場，地點是監獄。伊莎白勸弟弟克勞丟直面死亡，不要寄希望於犧牲她的貞操來獲得苟延殘喘的機會。克勞丟答覆說他已經做好了赴死的準備。在 If I must die,/ I will encounter darkness as a bride,/ And hug it in mine arms 中，must 表示“必要性”，屬於道義情態。英若誠、梁實秋、朱生豪採用了“形式和意義都對應”的方法來翻譯，他們把 must 處理為漢語情態謂詞“必須”，“必須”表示“事理上或情理上的必要性”（《現漢》, 70），形式和語義都與原文對應。

例 4
ELBOW. Come your ways, sir, come. POMPEY. You **will not** bail me, then, sir? (MM 3.1.307-308)
英譯本：老爺，這麼說您**不肯**保我了？（英若誠, 1999, 159）
彭譯本：這麼說，大爺，您是**不肯**保我了？（彭鏡禧, 2012, 114）
方譯本：這麼說，你**不肯**保我嗎，大爺？（方平, 2000, 450）
梁譯本：那麼你**不肯**保我，先生？（梁實秋, 2001, 115）
朱譯本：那麼您**不肯**保我嗎？（朱生豪, 2010, 336）

例 4 出自第 3 幕第 1 場，地點是街道。皮條客龐培在被押解去監獄的路上遇見了魯休，他希望魯休幫忙，把他保釋出監獄，但慘遭後者拒絕。在 You will not bail me, then, sir 中，will not 表示“不願意”，屬於能動情態。譯文中，譯者們都採用了“形式和意義都對應”的方法來翻譯，他們把 will not 處理為漢語情態謂詞“不肯”，不肯的意思是“不同意”或“不願意”（《現漢》, 738），形式和意義都與原文對應。

例 5
SECOND GENTLEMAN. Amen.
LUCIO. Thou concludest like the sanctimonious pirate, that went to sea with the Ten Commandments, but scraped one out of the table.
SECOND GENTLEMAN. ‘Thou **shalt not** steal’? (MM 1.2.4-7)
彭譯本：**不可**偷竊？（彭鏡禧, 2012, 37）
方譯本：是“**不可**偷盜”那一誡嗎？（方平, 2000, 376）
梁譯本：“你**不可**愉竊”？（梁實秋, 2001, 17）
朱譯本：是“**不可**偷盜”那一誡嗎？（朱生豪, 2010, 290）

例 5 出自第 1 幕第 2 場，地點是街道上。魯休評論一個紳士的談話就像一位帶著“十誡”出海的海盜。在 Thou shalt not steal 中，shalt not 表示“命令”，即“不可以”，屬於道義情態。彭鏡禧、方平、梁實秋、朱生豪都採用了“形式和意義都對應”的方法來翻譯，他們把 shalt not 處理為漢語情態謂詞“不可”，“不可”表示“不許可”（《現漢》, 734），形式和意義都與原文對應。

4.2.2 形式不對應意義對應

例 6

LUCIO. [⋯] Send after the duke and appeal to him.

CLAUDIO. [⋯] Beside, she hath prosperous art When she will play with reason and discourse, And well she **can** persuade. (MM 1.3.56-69)

彭譯本：何況辯才無礙，講起理來頭頭是道，很有說服**力**。（彭鏡禧, 2012, 45）

朱譯本：當她在據理力爭的時候，她美妙的辭令更有折服他人的**本領**。（朱生豪, 2010, 295）

方譯本：何況她一旦據理力爭，她能言善辯的**口才**使對方不由得被她說服了。（方平, 2000, 384）

例 6 出自第 1 幕第 3 場，地點是街道上。克勞丟希望朋友魯休去找姐姐伊莎白來為自己幫忙，他相信伊莎白的辯才，當她據理力爭的時候，一定能說服別人。在 When she will play with reason and discourse, /And well she can persuade 中，can 表示“能力”，屬於能動情態。譯文中，彭鏡禧、朱生豪、方平都採用了“形式不對應，意義對應”的方法來翻譯，他們把 can 處理為名詞“力”、“本領”、“口才”，這些詞都帶有“能力”的含義（《現漢》, 796, 61, 745），語義與原文相符。

例 7

CLAUDIO. [⋯] Beside, she hath prosperous art When she will play with reason and discourse And well she can persuade. LUCIO. I pray she **may**; [⋯] (MM 1.3.58-70)

方譯本：我但願她**有這個本領**。（方平, 2000, 384）

英譯本：但願**如此** 。（英若誠, 1999, 29）

彭譯本：但願**如此**。（彭鏡禧, 2012, 45）

例 7 出自第 1 幕第 3 場，地點是街道上。魯休希望伊莎白能夠成功說服攝政，從而挽救克勞丟的性命。在 I pray she may 中，may 表示“能力”，屬於能動情態。方平、英若誠和彭鏡禧採用了“形式不對應意義對應”的方法來翻譯。方平把 may 處理為謂詞短語“有這個本領”，“本領”表示“技能或能力”（《現漢》, 61），語義與原文相符。英若誠、彭鏡禧採用了隱化的形式來翻譯，他們把 I pray 後的賓語從句處理為指示代詞“如此”，“如此”指代上一句話中的 well she can persuade“很有說服力”，效果簡潔明瞭。

例 8

DUKE. [⋯] This **needs must** be a practice. Who knew of your intent and coming hither? (MM 5.1.138-141)

英譯本：這**一定**是個陰謀。你的目的，你到這裡來，有誰知情？（英若誠, 1999, 253）

彭譯本：這**一定**是陰謀。有誰知道妳的意圖，知道妳來這兒？（彭鏡禧, 2012, 160）

方譯本：內中**一定**有陰謀。你跟誰商量過，於是直闖到這兒來？（方平, 2000, 497）

梁譯本：這**一定**是一項陰謀。你來到此地胡鬧，有誰預先知情？（梁實秋, 2001, 177）

朱譯本：這**一定**是一種陰謀。是誰給你出的主意，叫你到這兒來的？（朱生豪, 2010, 367）

例 8 出自第 5 幕第 1 場，地點是城門口。公爵回城，伊莎白向其狀告安吉樂的劣行，公爵勃然大怒，堅定地認為伊莎白是在詆毀安吉樂，她的訴求不過是一場陰謀。在 This needs must be a practice 中，need must 表示“推測”，屬於認知情態。譯文中，譯者們都把它處理為漢語副詞“一定”，一定表示“確定”或“肯定”（《現漢》, 1523），語義與原文相符。

例 9

MESSENGER. My lord hath sent you this note, and by me this further charge, that you swerve not from the smallest article of it, neither in time, matter, or other circumstance. Good morrow, for, as I take it, it is almost day. PROVOST. I **shall** obey him. (MM 4.2.92-95)

英譯本：我**一定**遵命。（英若誠, 1999, 201）

彭譯本：我**一定**遵命。（彭鏡禧, 2012, 133）

方譯本：我**一定**服從他命令。（方平, 2000, 470）

梁譯本：我**一定**遵命。（梁實秋, 2001, 143）

朱譯本：我**一定**服從他的命令。（朱生豪, 2010, 350）

例 9 出自第 4 幕第 2 場，地點是監獄裡。信差給典獄長送信，安吉樂要求典獄長嚴格執行命令，處死克勞丟，典獄長不得不服從他的命令。在 I shall obey him 中，shall 表示“意圖”或“決心”，屬於能動情態。譯文中，譯者們都採用了“形式不對應，意義對應”的方式來翻譯，他們把 shall 都處理為漢語副詞“一定”，一定表示“堅決、確定或必定”（《現漢》, 1523），語義與原文相符。

例 10

ESCALUS. **I'll wait upon your honour**. (MM 1.1.81-89)

英譯本：**全聽大人安排**。（英若誠, 1999, 11）

彭譯本：**謹遵大人吩咐**。（彭鏡禧, 2012, 36）
方譯本：**我聽從大人的安排**。（方平, 2000, 376）
梁譯本：**我敬謹奉陪**。（梁實秋, 2001, 17）
朱譯本：敬遵台命。（朱生豪, 2010, 289）

例 10 出自第 1 幕第 1 場，地點是公爵府邸。公爵離城，安吉樂擔任攝政，老臣埃斯柯勒向他詢問自己的許可權範圍。在 I'll wait upon your honour 中，'ll 表示"意願"，屬於能動情態。譯文中，譯者們都採用了"形式不對應，意義對應"的方法來翻譯，他們把 will 的語義轉移到謂詞短語"全聽安排"，"謹遵吩咐"，"聽從安排"，"敬謹奉陪"，"敬遵台命"上，這些短語不僅都帶有意願的含義，而且符合漢語表達習慣。

4.2.3 形式對應意義不對應

例 11
DUKE. Well, you'll answer this one day. Fare ye well.
LUCIO. Nay, tarry, I'll go along with thee.
I can tell thee pretty tales of the duke. (MM 4.3.148-149)
朱譯本：我要告訴你關於公爵的一些有趣的故事。（朱生豪, 2010, 359）

例 11 選自第 4 幕第 3 場，地點是監獄。魯休無休止地詆毀公爵，說他是個獵豔專家。在 I can tell thee pretty tales of the duke 中，can 表示"使能夠"，屬於能動情態。譯文中，朱生豪把 can 處理為漢語情態謂詞"要"，"要"表示"做某件事的意志"（《現漢》, 1515），語義與原文有所偏離。

例 12
ISABELLA. Even so. Heaven keep your honour.
ANGELO. Yet **may** he live awhile, and it may be As long as you or I: yet he must die. (MM 2.4.33-35)
英譯本：但是他也**可能**多活幾天，說不定，活得像你我一樣長。（英若誠, 1999, 105）

例 12 出自第 2 幕第 4 場，地點是安吉樂府邸。安吉樂愛上了伊莎白，企圖以克勞丟的性命為要脅，逼迫伊莎白獻出少女貞操。在 Yet may he live awhile 中，may 表示是"許可"，屬於道義情態。英若誠把 may 翻譯為"可能"，可能表示"估計"或"不確定"（《現漢》, 734），屬於認知情態，語義與原文偏離。

4.2.4 形式和意義都不對應

ANGELO and ESCALUS. Happy return be to your royal grace! DUKE. [⋯] We have made inquiry of you, and we hear Such goodness of your justice that our soul **Cannot but** yield you forth to public thanks, Forerunning more requital. (MM 5.1.1-8)
彭譯本：特地請兩位前來，給予公開表揚；隨後還有更多賞賜。（彭鏡禧,

2012, 154）
朱譯本：讓我在沒有給你們其他的褒獎之前，先向你們表示我的慰勞的微意。（朱生豪, 2010, 363）
方譯本：先當眾表過了謝意，隨後還要好好地慰勞二位。（方平, 2000, 489）

例 13 出自第 5 幕第 1 場，地點是在城門口。公爵回城，大臣安吉樂和埃斯柯勒出城迎接。在 We have made inquiry of you, and we hear /Such goodness of your justice that our soul/ Cannot but yield you forth to public thanks 中，can 表示“使能夠”，屬於能動情態。cannot but 的意思是“必須”或“必要”。譯文中，彭鏡禧、朱生豪、方平均未譯出 cannot but 的含義，屬於漏譯。

例 14
LUCIO. Right.
DUKE. It **may** be right, but you are i'the wrong To speak before your time.—Proceed. (MM 5.1.97-100)
朱譯本：她**雖然不錯**，你不該說話而開了口，卻是大錯了。（朱生豪, 2010, 366）

例 14 出自第 5 幕第 1 場，地點是城門口。伊莎白向公爵狀告安吉樂，敘述案件始末，魯休不斷插話，惹惱公爵。在 It may be right 中，may 表示“推測”，屬於認知情態。譯文中，朱生豪沒有準確地譯出 may 的語義，屬於誤譯。

例 15
ISABELLA. [⋯] If ever he return and I can speak to him, I **will** open my lips in vain, or discover his government. (MM 3.1.194-198)
彭譯本: 哪一天他回來，而我能向他告狀，也許會白費唇舌，也許能揭發他的作為。（彭鏡禧, 2012, 107）
梁譯本：如果他回來，我能見到他，我說話可能毫不生效，也可能揭發他。（梁實秋, 2001, 107）

例 15 出自第 3 幕第 1 場，地點是監獄。伊莎白堅決不同意向安吉樂獻出童貞，她說我寧願自己的兄弟依法處死，也不願自己的兒子非法出生，她發誓要將安吉樂的罪行昭告天下。在 If ever he return and I can speak to him, I will open my lips in vain, or discover his government 中，will 表示“意圖”，屬於能動情態。譯文中，彭鏡禧、梁實秋都沒有將 will 的意思譯出，屬於漏譯。

經過統計和分析，5 個核心情態謂詞在 *Measure for Measure*（《一報還一報》）的 5 個漢譯本中的對應情況如表 2 所示。

據表 2，在 *Measure for Measure*（《一報還一報》）的 5 個漢譯本中，就“形式和意義都對應”而言，梁譯本所占比例最高（63.1%），彭譯本次之（60%）這說明梁譯本和彭譯本較好地保留了原文中情態謂詞的形式特徵；就“形式不對應，意義對應”而言，方譯本所占比例最高（54.9%），英譯本（42.9%）和朱譯本（40.1%）次之，這說明方

表 2.2: 譯文中五個核心情態謂詞的漢譯情況

對應類型		朱生豪	梁實秋	方 平	英若誠	彭鏡禧
形式和意義都對應	總數	223	256	169	224	243
	頻率	54.90%	63.10%	41.60%	55.20%	60%
形式不對應，意義對應	總數	163	143	223	174	158
	頻率	40.10%	35.20%	54.90%	42.90%	38.90%
形式對應，意義不對應	總數	3	2	1	1	2
	頻率	0.70%	0.50%	0.20%	0.20%	0.50%
形式和意義都不對應	總數	17	5	13	7	3
	頻率	4.20%	1.20%	3.20%	1.70%	0.70%

譯本、英譯本及朱譯本對原文中情態謂詞的形式特徵改變較大。就“形式對應，意義不對應”及“形式和意義都不對應”而言，朱譯本所占比例最高（4.9%），彭譯本所占比例最低（1.2%），這說明朱譯本在情態意義的傳達上與原文偏離程度最高，而彭譯本在情態意義的傳達上與原文最為接近。

導致上述翻譯風格差異的原因在於譯者的翻譯目的和翻譯標準各不相同。梁譯本和彭譯本是“形式對等”的典型代表。梁實秋翻譯莎劇的目的在於“引起讀者對原文的興趣”（梁實秋, 1966, 60）。他主張翻譯要“以句為單位”，認為“有一句原文，便要有一句譯文”。（梁實秋, 1963，轉引自柯飛, 1988, 48）。彭鏡禧是臺灣著名的莎學專家，他翻譯莎劇《量·度》的目的在於舞臺演出（彭鏡禧, 2012, 5），他主張翻譯要“求形存真”（彭鏡禧, 2004, xv）。

方譯本、英譯本、朱譯本是“動態對等”的典型代表。朱生豪翻譯莎劇的目的在於普及莎劇。他主張譯文要“在求最大可能之範圍內，保持原作之神韻，必不得已而求其次，亦必以明白曉暢之字句，忠實傳達原文之意趣”（朱生豪, 1947）。方平翻譯莎劇的目的不僅僅在於引起讀者對原文的興趣，他更希望譯文能夠像原文一樣，成為具有獨立文學價值的文本（李春江, 2010, 256）。英若誠翻譯莎劇的目的在於“儘量使觀眾能夠像閱讀或聆聽原作的人那樣得到同樣的印象”（英若誠, 1999, 9），在翻譯策略的運用上，英若誠主張“傳神達意，不拘形式”（張威, 2014, 69），他認為“中英兩國的語言，從詞彙、語法、習慣到結構，差別實在很大，很難逐字逐句地對上號，弄不好還會以訛傳訛”（英若誠, 1999, 9）。

五、結論

核心情態謂詞 can, may, must, shall, will 在早期現代英語時期一共有 14 個義項，這 14 個義項在莎劇 *Measure for Measure*（《一報還一報》）中只出現過 11 個。通過對朱生豪、梁實秋、方平、英若誠、彭鏡禧的譯本進行對比分析，本文發現核心情態謂詞在漢語中的對應形式多種多樣，既有形式對應，如漢語情態謂詞；也有非形式對應，

如漢語實詞、短語、句式等。此外，譯者在翻譯情態謂詞時所呈現出的風格也各不相同，彭譯本和梁譯本的“形式對等”比例較高，方譯本、英譯本和朱譯本的“動態對等”較高，導致這種現象的原因在於譯者的翻譯目的和翻譯標準各不相同。總體說來，梁實秋、彭鏡禧在情態謂詞的翻譯策略上傾向於“求形存真”；朱生豪、英若誠和方平在情態謂詞的翻譯策略上傾向於“舍形求神”。

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注 釋

[1] 今日英語（present-day English）是指現今活著的人使用的英語。此處參考陳國華《< 英語史：從古代英語到標準英語 > 導讀》（陳國華, 2000, 394）。

[2] “實詞”是指譯者採用漢語實詞形式來翻譯情態謂詞；“短語”是指譯者採用短語形式來翻譯情態謂詞；“轉移”是指譯者將原文中明確表述的情態語義轉移到別的語句成分上去，如：詞彙、短語或句式，並與它們的語義融為一體；“隱化”是譯者將原文中明確表述的情態語義轉換成譯文中必須依賴語境或情境來傳達的隱含資訊，隱化的原因有以下 4 個：原文中的主語在譯文中發生了調整；原文中的謂語在譯文中發生了調整；原文中的句式結構在譯文中發生調整；原文中的句法結構在譯文中發生調整。

[3] 本文例句所引用英語原文均出自外語教學與研究出版社 2007 年引進的皇家劇團版莎士比亞全集中的《一報還一報》。括弧中數字代表引文出處，如 2.2.123-132 指引文出自第二幕第二場第 123 到第 132 行。下同。下文僅標明引文出處資訊。各例中的英語情態謂詞及其漢語譯文用粗體標明。

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關於中國“英語國家概況”課程及教學：來自澳大利亞的反饋

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Abstract

Curricular design and teaching of “contextual studies of English-speaking countries” in China: Feedback from Australia (*by* Lili Huang and Leong Ko)

With the increased exchange between China and the rest of the world, a growing number of Chinese students are going abroad to pursue further studies. However, it has been found that although many of them have studied courses like “Introduction to English-Speaking Countries” during their undergraduate studies in China, their understanding of some terms and background concepts that are frequently used in English-speaking countries is very limited. As a result, this has affected their study, life and work in these countries. 134 students from China’s mainland enrolled in Master of Arts in Chinese Translation and Interpreting Programme at the University of Queensland were the subjects of this three-year study. The questionnaire results show that the respondents have a very limited understanding of those common terms used by local Australians (scoring only 25.6%). This indicates that it is likely that those “Introduction” courses focus mainly on the general knowledge of history, political systems, politics, economy, culture and education of these countries, but pay relatively little attention to the terms and concepts frequently encountered in daily life. It is hoped that the findings of this research can shed light on the curricular design and teaching of such courses in order to better meet the needs of Chinese students in their study, life and work overseas.

一、引言

隨著中國與國際社會交流的日益增加，越來越多中國學生到海外留學，其中絕大部分去英語為母語的國家。根據澳大利亞教育及培訓部 (Australian Government Department of Education and Training 2016) 報道，在 2015 年，共有 523,700 名中國留學生到海外學習；在美國，中國留學生占所有海外學生的 31%，在英國占 20%，在澳大利亞占 27%，其中攻讀碩士課程的學生佔據很大比例。在海外攻讀碩士學位的學生基本上都已經在國內修讀過本科課程。因此，本科階段的學習對他們在海外深造、生活及工作起到非常重要的作用，直接影響到他們能否順利進入課程學習並取得進步、融入國外生活或者進入國外的就業領域。澳大利亞是中國海外留學生的一個重要目的地國家。

澳大利亞是一個多元化的移民國家，長期以來十分重視翻譯服務、翻譯資格和翻譯培訓。2001 年，澳大利亞將翻譯資格列爲技術移民類別，更是吸引了大量中國留學生到澳大利亞學習翻譯。

昆士蘭大學是澳大利亞八所名校之一。該大學中文翻譯碩士課程（Master of Arts in Chinese Translation and Interpreting，簡稱 MACTI）因傑出的教學質量每年都吸引很多中國學生報讀。翻譯是跨學科的專業，所以課程接受來自不同本科專業的畢業生。只要具備學士學位並達到規定的英語水平便可獲得入學資格。因此，學生遍布中文為母語國家和地區，涵蓋各種專業，包括英語專業、翻譯專業和其他專業。在某種意義上，中文為母語國家和地區大學英語教育的學生是本課程的主要潛在對象。由於翻譯涉及各種領域，如政治、經濟、政府事務、社會保障、法律、教育、稅務等等，翻譯員需要瞭解相關知識才能學好做好翻譯。在教學過程中，我們發現海外學生對英語母語國家一些常見的詞語和含義瞭解甚少，並影響到他們的學習和生活。這一問題引發我們對另一問題的思考，即很多國內大學都有開設介紹國家概況的課程，如“英國概況”、“美國概況”以及下文提到的“英語國家概況”（以下統稱“概況”課）。這些課程的教學內容是否能够滿足學生今後在相關國家學習、生活和工作的需要？帶著這個問題，我們對在昆士蘭大學就讀翻譯碩士課程的中國大陸學生進行了爲期三年的問卷調查，涉及 134 名學生，以研究他們對英語國家熟語和常用語的理解。

需要特別指出的是，本研究的目的是在肯定目前概況課重要性的基礎上，發現課程內容可能存在的缺陷，提供一些有用的反饋信息，改進概況課的教學，使學生既能掌握英語國家的宏觀知識，亦能瞭解微觀的知識，更好地滿足學生在國外學習、生活和工作的需要。

二、中國“英語國家概況”課程內容及教材

“英語國家概況”課程，亦稱“英語國家社會與文化”課，一直是英語專業的必修課之一。根據高等學校外語專業教學指導委員會英語組（2000）編寫的《*高等學校英語專業教學大綱*》（簡稱《*大綱*》），概況課作爲社會文化課程之一，其教學目的是使學生瞭解英語國家的歷史、地理、政治、經濟、教育及其文化傳統，提高學生對文化差

異的敏感性、寬容性和處理文化差異的靈活性，培養學生跨文化溝通的能力。繼 2000 年版大綱之後，中華人民共和國教育部高等教育司於 2012 年推出《普通高等學校本科專業目錄和專業介紹（2012 年）》。這是中國英語專業建設的又一重要指導文件，規定了英語專業的培養目標，提出英語專業的培養要求，明確英語專業的核心課程等專業建設必須遵守的內容，成爲中國高校英語專業制定新培養方案的主要依據。兩份文件規定的英語專業知識課程數量雖有較大差異，前者爲 5 門，後者爲 11 門（常俊躍、趙永青、趙秀艷，2013，937），但“概況”課程均被列爲專業知識課程，區別為前者文件中課程名爲“英語國家概況”，後者爲“英語國家社會與文化”。由此可見，這種課程的設置是希望學生通過“概況”課的學習，能更全面地瞭解英語國家概況。

該課程知識涵蓋面廣，大多數院校對於該門課程的課時安排爲一個學期，大多在大二開設，共 32 課時，每周兩學時。以上海外國語大學（2016）爲例（參見*《2016 級本科專業指導性教學計劃》*），“英美概況”爲英語專業本科生專業方向課程，每周 2 課時，共 2 學分，教材爲上海外語教育出版社出版的由王恩銘（2013）主編的*《英語國家概況》*，該教材亦被列入新世紀高等院校英語專業本科生教材。開課時間因專業不同而略有區別，商務英語專業爲第三或第四學期，翻譯專業爲第二學期，英語教育方向爲第四學期。且提供“英國歷史”、“美國歷史”、“英國社會與文化”及“美國社會與文化”課程作爲選修。北京大學（2017）*《北京大學本科教學計劃（2016 版）文科卷》*英語專業的課程設置中並未將“概況”課程列爲必修，但提供了更多相關的選修課程，如“澳大利亞歷史與文化”、“美國政治體制”、“英國文學的歷史背景”等。蔣洪新（2014）針對英語專業教學指導委員會專家起草的《英語專業本科教學質量的國家標準》指出，應在專業選修課程設置文化課程，包含英美國家社會與文化、英美歷史、歐洲文化通論、中國文化通論（英文）等課程，但文章並未明確指出英美國家社會與文化課程具體應該教什麼。

對於翻譯本科學生的課程，仲偉合、趙軍峰（2015，293）認爲翻譯本科專業學生應具備“多元互補的百科知識結構”，掌握語言、文化和翻譯三大塊的知識，包括瞭解外語國家概況和社會文化知識。不少高校翻譯專業學生也開設了此類“概況”課程，以拓展學生的知識面，加深對英語國家文化及社會的理解。如對外經濟貿易大學（2016）*《2016 級英語學院翻譯專業培養方案》*的學科基礎必修課就有“歐美文化概論”，分爲（一）和（二）兩個部分，採用高等教育出版社出版由朱永濤（2011）主編的*《英語國家社會與文化入門》*，（一）爲英國部分，（二）爲美國部分。以（二）爲例，該課程爲 48 學時，主要從美國早期移民文化、西部開發文化、科技與大工業文化、資本主義經濟與商業文化、政治思想與政治制度、精神及信仰等方面介紹和討論美國文化的發源、發展及特點，使學生瞭解美國社會的多元性及複雜性，爲深入研究美國社會與現狀打下基礎。

文獻顯示，“概況”課程教材繁多，具有代表性的有高等教育出版社出版的由朱永濤（2011）主編的*《英語國家社會與文化入門》*和上海外語教育出版社出版由王恩銘（2013）主編的*《英語國家概況》*。這些教材信息量大，覆蓋面廣，體現了較高的編著水平。以前者爲例，其內容是按照*《高等學校英語專業教學大綱》*中關於英語國家概

況部分進行編寫，全書包括上下兩冊各 18 個單元，分別從地理，歷史，政治，經濟、社會生活和文化傳統、大衆媒介等方面介紹當代英國、澳大利亞、新西蘭、美國和加拿大等五國的社會、文化及其變化。其中一個顯著的特點是內容多、信息量大、專有名詞多、閱讀量大，尤其是歷史部分，佔據大量篇幅，但是對當前社會的概況，尤其是當地人民生活中經常遇到的東西涉及較少。

已有研究者就“概況”課程提出探討，如吳莉、石敏（2010，79）指出，如何處理大信息量的教材，如何在有限的課時內讓學生盡可能多並有效地掌握課程教學內容，是此類課程教師面臨的首要問題。孫有中、金利民（2010，304）指出，在《*大綱*》規定的由語言學、文學、文化三個類別組成的專業知識課程體系中，文化方向知識課程在目前的課程體系中最爲薄弱，只有四門課：英語國家概況、英國社會與文化、美國社會與文化和西方文化入門。這些課程均爲知識介紹性課程。束定芳（2011，142）指出，中國現有的課程體系有許多不合理之處，許多課程內容老化，嚴重脫離社會實際需要。應該利用好“國際化”這個契機，內容要反映國際上最新的發展趨勢，以符合社會和學生的需求。

以上文獻梳理顯示，概況課的內容比較廣泛，一般聚集在英語國家的社會與文化，涵蓋地理、歷史、政治、經濟和教育等方面。其教學目標爲開闊學生的視野，擴大知識面，增加學生對這些國家的一般性瞭解，爲大學階段的外語學習打下基礎。毫無疑問，這些內容對提高學生對英語國家的一般性認識非常重要，但是學生在國外學習、生活和工作中會面臨一些非常具體的問題，而這些問題在現有的概況課中沒有納入，這在知識傳授上是一個缺陷。

三、澳大利亞的翻譯市場和翻譯課程

澳大利亞是一個多元文化和多種語言的移民國家，根據澳大利亞統計局 2013 年的統計，“澳大利亞的人口來自 200 多個國家，家庭中使用的語言超過 300 多種，有 100 多個不同的宗教團體以及 1000 多個不同的職業”（Australian Bureau of Statistics 2013）。長期以來，多元文化一直是澳大利亞的一項國策。因此，澳大利亞的翻譯服務十分完善，對翻譯人才的需求一直很大。目前，澳大利亞是英語為母語國家中唯一由政府提供免費翻譯服務的國家。現在，這一服務被稱爲“全國筆譯及口譯服務”（Translating and Interpreting Service –TIS National），目的是使澳大利亞社會中來自不同文化背景的人能够公平地獲得政府服務。其服務方式包括一天 24 小時提供即時電話傳譯服務、爲不懂英語或英語能力有限的人士提供免費傳譯服務，爲符合條件的機構客戶提供免費的筆譯和口譯服務。翻譯以應用型的翻譯爲主，涉及各類領域，包括醫療衛生、法律、教育、移民、經濟貿易、地方政府、勞資關係、社區服務、教育、旅游等。

澳大利亞有一個全國翻譯資格認證機構，即澳大利亞國家筆譯及口譯認證局（National Accreditation Authority for Translators and Interpreters，簡稱 NAATI）。翻譯資格針對筆譯和口譯分不同級別，如準專業口譯（Certified Provisional Interpreter）、專業

筆譯和口譯（Certified Translator and Interpreter）、專家口譯（Certified Specialist Interpreter）、高級筆譯（Certified Advanced Translator）和會議傳譯（Certified Conference Interpreter）（NAATI 2020）。在澳大利亞許多從事翻譯工作的人都必須持有相關 NAATI 證書。

針對這一龐大的翻譯市場，澳大利亞的許多高校都開設翻譯碩士課程，如昆士蘭大學、西悉尼大學、麥考瑞大學、新南威爾士大學、蒙納士大學、墨爾本大學、皇家墨爾本理工大學、阿德萊德大學和西澳大學（NAATI 2017）。此外，有一些技術與進修學院（TAFE）和私立學校開設翻譯培訓課程。這些課程都獲得 NAATI 的認證，培養不同級別的翻譯人員。

昆士蘭大學是較早開始翻譯碩士課程的高等院校之一，每年分春秋兩季招生。入學要求是持有任何專業的學士學位，雅思成績至少 6.5。學生基本來自中國大陸、港澳和臺灣地區，有英語專業和非英語專業的應屆或非應屆畢業生，以及有一定翻譯經驗的從業人員。課程包括筆譯、口譯、翻譯理論、澳大利亞概況、英語語言强化、翻譯實習、同聲傳譯、科技翻譯、文學翻譯、研究方法和論文。筆譯和口譯課程涉及不同的領域，如醫療衛生、社會、移民、法律、經貿、國際關係、科技和旅遊等。口譯包括對話翻譯、演講翻譯、視譯和同聲傳譯。

四、調查項目數據分析

本研究基於問卷調查。調查對象爲就讀昆士蘭大學翻譯碩士課程的中國大陸學生。這些學生均在國內獲得學士學位。調查時間是在新生開學後的第一周。從 2015 年 7 月開始至 2017 年 7 月，共持續五個學期，收集有效答卷 134 份，其中英語專業（含翻譯專業）81 人，非英語專業 53 人。問卷分兩個部分：第一部分包括 27 個澳大利亞居民在日常生活中常見的詞語，涉及政治、經濟、法律、醫療、生活等方面；第二部分共五題，要求學生填寫個人專業，在中國是否修讀過“概況”課程及其內容，個人對“概況”課程的觀點。爲了確保第一部分的詞語屬常用常見，作者按以下步驟挑選和修改詞語：1）首先作者基於約 30 年在澳大利亞從事翻譯工作、翻譯教學和生活的經歷選出 22 個詞語；2）諮詢八位澳大利亞資深翻譯員的意見；3）諮詢五位英語爲母語人士的意見，包括雜志編輯、教師和一般工作人員，如秘書。他們對 22 個詞彙做了一些修改和補充，均認爲這些是日常生活中的常用詞語，在媒體上也常出現。本研究最後確定詞語 27 個。當然，常用詞語不止這些。由於調查範圍的局限，只能選一些較有代表性的詞語。對於需要語境信息的詞語，作者用括號給出提示，如 Speaker（in the parliament），group certificate (for taxation purposes)。答卷時不可以查詞典，答題方式可用中文翻譯、中文解釋或英文解釋。

調查結果顯示，總體而言，學生對這些常見常用詞語的正確理解程度較低，平均值爲 25.6%，總體正確率在 1/3 以內（33.9%，16.9%，19.1%，16.5%），僅有一學期基本達到 2/5（39.0%）。

從答題正確率來看，正確率不到 10% 的有六題（0 – 7.5%），占問題數的 22.2%。

表 3.1: 學生答題總體準確率

	問卷數	正確率 (%)
2015 年 7 月	27	33.90
2016 年 2 月	25	16.90
2016 年 7 月	26	19.10
2017 年 2 月	30	39.00
2017 年 7 月	26	16.50
總計	134	25.60

應該指出，以上很多詞語並不僅限於澳大利亞，在英語母語國家是通用的，如“industrial award”、“industrial relations”、“trade certificate”、“formal（in secondary school）”等。

以下我們對調查問卷的問題和學生的答題進行分析。由於篇幅有限，我們選出一些較典型的詞語作分析。

問題 1：“neighbourhood watch”。這是由當地警方和居民成立的聯合維護治安的項目。涉及內容包括組織小區居民，舉行由當地警察參加的會議，交流信息，總結經驗，提出建議，比如最常發生的案件、案件類型、何時發生，被盜被破壞的東西是什麼，如何保護自己的人身財產安全，案發時應該如何應對等。在澳大利亞社區和公園中經常見到此明顯標志，起到防止犯罪的作用。可以譯爲“警民聯防”或“鄰裏守望”。只有 19.4% 的學生回答正確。錯誤的答案包括“鄰國觀察”、“偷窺”、“鄰居幫忙看護”。

問題 3：“industrial award”，正確率最低，爲 0。“Industrial award”在廣義上是指某個行業的工作待遇，包括工資、勞保、福利、有薪假期等等，有時被用來指“最低工作待遇”或“最低工資”。在沒有上下文的情況下，應該說是“行業待遇”。但是有 51.5% 的學生“不知道”，48.5% 回答錯誤，如“工業獎”、“勤奮獎”、“產業回饋”、“行業貢獻獎”、“行業獎勵”、“企業榮譽”等。

問題 4：“holiday loading”。這是指員工在法定假期休假時，雇主除了照發工資外，額外支付給員工的假期補貼。中國也有假期補貼，學生可能會想到“leave subsidy”之類的表達，但對“holiday loading”這一詞條却不瞭解。正確率僅爲 6.7%。錯誤答案有“假期即將結束”、“假期壓力”、“假期人員流動”等。

問題 9：“Ombudsman”。這是澳大利亞的一個獨立機構，主要是調查老百

表 3.2: 問卷問題和準確率 (總調查人數：134)

題號	題目	準確率 (%)	題號	題目	準確率 (%)
1	Neighbourhood Watch	19.4	15	Group certificate (for taxation purposes)	23.1
2	Garage sale	47.8	16	Bulk billing	3
3	Industrial award	0	17	Formal (in secondary school)	6.7
4	Holiday loading	6.7	18	Affidavit	13.4
5	GST	42.5	19	Centrelink	27.6
6	Industrial relations	10.5	20	Medicare	83.6
7	GP	26.1	21	Hung parliament	7.5
8	JP	14.9	22	What are the three levels of Australian government?	19.4
9	Ombudsman	11.9	23	What are the Council Rates?	10.5
10	Certified copy	38.8	24	What is TAFE?	59.7
11	Statutory declaration	22.4	25	What is difference between “salary” and “wage”?	26.1
12	Trade certificate	10.5	26	Public sector	38.8
13	Magistrates court	18.7	27	Tradesmen	5.2
14	Speaker (in the Parliament)	57.5			

姓對有關政府部門、主管部門及地方政府提出的投訴，包括處理老百姓對這些機構投訴的處理。舉例而言，某人對某政府部門的服務提出投訴，該部門做出處理後當事人不滿意，則可將個案提交給 Ombudsman。受理的個案也包括雇員對雇主的投訴。在澳大利亞通常翻譯爲“申訴專員”或“冤情大使”。學生回答的正確率爲 11.9%。81.3% 的受試者們填寫“不知道”或空白，錯誤的答案包括“和奧巴馬相關”、“政府官員”。

問題 10：“certified copy”。這是英語母語國家常用的一種認證文件，即由一些有專門資格的人對原件的複印件進行認證，證明與原件一致。這些人包括“太平紳士”（Justice of the Peace）、“宣誓官員”（Commissioner of Declarations）、高級警官、律師、國會議員等等。這是老百姓在生活中經常要

用到的一種文件。“certified copy”不是公證件。中國沒有這種形式的文件，而只有公證件（notarized copy），由公證機構審核原件，在與其一致的複印件上蓋章，說明“與原件一致”。有 30.6% 的學生不知道，22.4% 答爲“公證件”，其餘的答案有“證書複印件”、“檢測版本”等。需要指出的是，澳大利亞也有公證件，用於更高要求的目的。

問題 14：“Speaker (in the Parliament)”。這是議會中的“議長”，坐在議會的上首，維持議會程序的秩序。有些學生不熟悉議會制度，而誤以為是“國會發言人”。

問題 15：“group certificate (for taxation purposes)”，答題準確率爲 23.1%。在澳大利亞，雇主在給雇員發工資的時候，通常必須代雇員扣所得稅，上繳給稅務局。在每個財政年度結束的時候，雇員自己（或通過會計師）根據實際收入和可扣稅開支向稅務局報稅。稅務局經過評估後，會退回多扣的稅，或要求雇員補交不足的部分。“group certificate”就是雇主在每個財政年度結束時給雇員開具的一個工資和扣稅表。雇員憑該表格向稅務局報稅。由於雇主通常聘用不止一個雇員，所以是一個團體（group）。一年一度的報稅，是澳大利亞納稅居民每年都要做的事情。澳大利亞的臨時居民，如果被允許合法工作且一年所得超過一定數額，便屬納稅居民，這些人包括一些國際學生、假期工作者（holiday worker）和有工作許可的人士。如果他們正規受雇於某雇主，他們每年就會收到 group certificate。這個詞目前尚無規範的中文翻譯，但根據其意思，譯爲“雇主報稅單”或“團體報稅單”較合適。很多學生不瞭解澳大利亞的稅務制度，誤解爲“捆綁銷售”、“組織認證”、“組內檢測”、“群體證書”等。

問題 16：“bulk billing”，正確率爲 3%。澳大利亞實行公費醫療制度，稱爲 Medicare（譯爲“國民保健”）。澳大利亞每個居民以及一些符合要求的臨時居民都有 Medicare 卡。居民看病有全額報銷和部分報銷兩種。如果在可全額報銷的診所看病，病人看完病結帳時只需出具國民保健卡，不需要付費。刷卡後，醫生會統一向政府收取費用。這就是 bulk billing 的意思。在非全額報銷的診所看病，病人也須刷卡，此外還要自付醫生收取的超過政府規定費用的差額。由於學生對澳大利亞醫療體系瞭解較少，單從字面上看，確實很難猜出該詞的意思。77.6% 的答案爲不知道。錯誤答案有“大筆訂單”、“銀行刷卡”、“裝箱費”等。

問題 17：“formal”，正確率爲 6.7%。在一些英語母語國家，尤其是英聯邦國家，當高中生畢業的時候，學校會爲他們安排一次非常正規的舞會，女生穿禮服，男生穿西裝，甚至燕尾服，並且要帶舞伴。這就是所謂的“for-

mal”，可譯爲“畢業舞會”。美國稱爲“prom(promenade 的縮寫)”。由於文化差異，中國學生沒有這樣的畢業儀式，78.4% 的學生答不知道，錯誤答案有“正式的”、“正規的”等。

問題 18：“affidavit”是一種宣誓書，是相關人士在宣誓狀態下自願提供的書面證詞。這些相關人士可以是任何人員，包括原告、被告、證人或翻譯員。書面證詞內容可涉及任何方面。對於翻譯從業人員而言，證詞的內容通常是指明譯員有能力有資格將相關文件準確真實翻譯成另一種語言。能够對宣誓書作證的人比上文提到的“certified copy”要少，通常由“太平紳士”或“宣誓官員”作證，但有時法庭會要求僅由太平紳士作證。值得一提的是問題 11“statutory declaration”，稱爲“法定宣誓書”。這也是需要有人證明的宣誓書。比如說某人有一個曾用名，就可使用法定宣誓書。但此宣誓書的法律效力不如“affidavit”，後者通常用在法庭中。學生答題正確率僅爲 13.4%。錯誤答案包括“確認書”和“市中心綫”等。

問題 21：“hung parliament”為“懸峙政府”，也稱爲“無多數議會”，是指在大選後，議會裏沒有一個政黨擁有半數以上的議員席位，導致無法組建政府。在英國現代歷史上，自 1900 年以來，出現了五次大選後出現“懸峙政府”的情況，例如 1976 年和 1996 年。在 2010 年，澳大利亞首次出現“懸峙議會”，大選中工黨和聯盟黨單獨得票率均未超過衆議院 150 個議席的半數，因此兩黨均沒有資格組建政府。本題正確率僅爲 7.5%，錯誤答案有“懸挂議會”、“聽證會休會”、“議會”等。

問題 23：“council rates”，意思是“市政管理費”，指地方政府每年向房産擁有者收取的基於土地價值的一種稅，用於社區服務及基礎設施建設，如收集垃圾、修路、改善社區娛樂場所等。僅 10.5％答案正確。有的學生答爲“土地稅”。“土地稅”（land tax）跟“市政管理費”是完全不同的兩個稅種。“土地稅”是單純的稅，不提供任何服務。通常有多個房産並超過一定價值的人才需要交土地稅。其稅率也比市政管理費低很多。錯誤的答案包括“理事會費率”、“燃氣和電費”等。

問題 27：“tradesmen”，正確率爲 5.2%。“Trade”除了“貿易”之外，還有“行業”的意思。所以，“tradesmen”是“技工”的意思。35.1% 的學生答“不知道”，30.5% 的人答爲“商人”，還有其他人答爲“貿易人員”、“生意人”等，都是把“trade”理解爲“貿易”。

就英語專業和非英語專業的學生而言，他們之間答題的準確率沒有明顯的差別，分別爲 25.3%（英語專業）和 25.4%（非英語專業）。僅在第四批學生中，英語專業的

學生明顯超過非英語專業，分別爲 48.6% 和 26.9%。由此可見，儘管英語專業學生大多學習過“概況”課程（81 位受試者中僅有 4 位未上過該課程），但相對非英語專業學生，在掌握這些澳大利亞人常用詞語上，他們並沒有明顯的優勢，見表 3。

表 3.3: 英語專業和非英語專業學生對比

	英專人數	正確率 (%)	非英專人數	正確率 (%)
2015 年 7 月	21	27.30	6	56.80
2016 年 2 月	18	16.90	7	16.90
2016 年 7 月	17	16.60	9	23.90
2017 年 2 月	15	48.60	15	26.90
2017 年 7 月	10	15.90	16	16.90
合計	81	25.30	53	25.40

本問卷在內容上大體上可以分爲五大塊，即經濟、醫療衛生、教育、政府和政治，以及治安和法律。正確答題的平均值均爲 30% 以下：經濟 25.3%，醫療衛生 29.4%，教育 25.6%、政府和政治 26.7%，治安和法律 22.6%。其中醫療衛生部分相對較高，治安和法律方面最低。

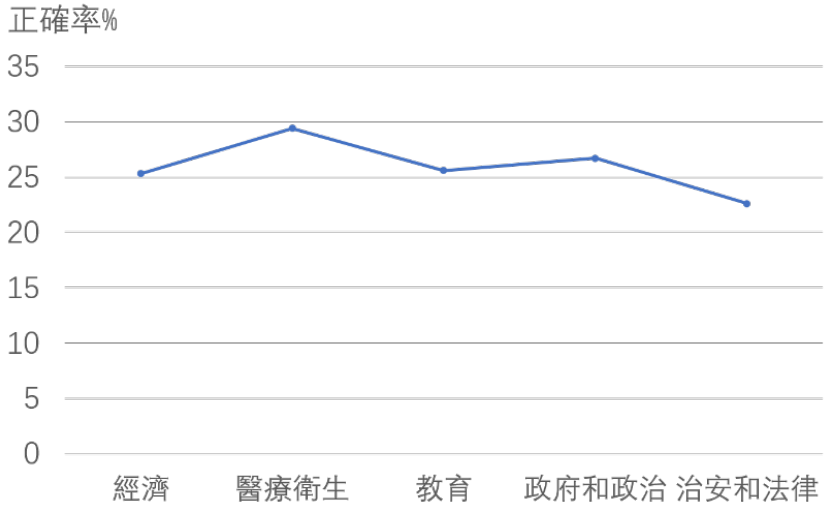

圖 3.1: 五大塊內容正確率情況

以上分析表明，中國學生對澳大利亞人民生活中這些常見常用詞語瞭解甚少。這可能會導致學生在英語母語國家學習、生活和工作的初期階段因不瞭解這些詞匯及其含義而感到困惑，並在相關方面造成理解和交流困難。同時，這也表明中國概況課並未涵蓋這些內容。不可否認，現有概況課在提高學生對英語國家的一般性認識上非常重要，但如調查所示，學生在國外學習和工作中面臨的具體問題在現有的概況課中並未涉及，因而形成知識傳授上的一個缺陷。

五、受試者的建議

問卷調查第二部分除了瞭解受試者背景之外，還瞭解他們在國內上概況課的具體情況。相關問題包括：

- 你的大學課程中有外國概況課嗎，如美國概況、英國概況、澳大利亞概況？
- 概況課教了什麼內容？請列舉。
- 你認爲概況課所學的內容對於你現在的留學生活有用嗎？如有用，在哪些方面？如沒用，爲什麼？
- 你覺得這些概況課還應該包括哪些內容？

受試的 81 位英語專業的學生中，僅有四位沒有上過“概況”課程，其他 77 位上過該課程，內容大致爲英美國家歷史、文化、地理、政治等。其中有 28 位學生認爲該課程無用，占受試人數的 28.6%。主要原因包括：1 過多介紹歷史，與現實脫節；2 內容太多，不够具體，考完就忘；3 所學內容和具體生活和學習關係不大。

學生認爲應增加部分主要有：1 風土人情、生活習慣和本土的日常用語；2 特殊文化、俚語、文化差異；3 交通、醫療。

當然，需要指出的是，在做本調查的時候，大部分學生在澳大利亞的時間很短，有的剛到幾周，甚至幾天，尚未深入融入當地的生活，也缺乏本地工作的經驗，所以對於在概況課中應該增加什麼內容並無清楚認知，此部分內容尚待深入探討。

六、結語

本研究的結果表明，中國學生對英語國家一些常見常用的詞語缺乏瞭解，而且在英語專業學生和非英語專業學生之間並無明顯區別。概況課作爲一門大學課程，應該儘量豐富學生的相關知識。因此，作者希望這個問題能引起授課教師或教學管理者的重視，建議在概況課中以合適形式介紹此類的詞語及其含義，如在授課中添加這些內容，或作爲閱讀材料提供給學生。根據作者的經驗，在授課中添加這些內容並不很費時間，而且由於這些內容大部分都非常具體，學生會有興趣學習。另外，本項目所調查的 27 個詞語只是常見詞語的一小部分，在課程中應該適當擴大，並徵求英語為母語人士的意見，以便更好地使課程與國際接軌，給學生提供有益的幫助，使他們更順利地走向國際。

最後，本研究具有一定的局限。一，調查的對象僅針對澳大利亞一所大學的翻譯專業學生；二，調查的範圍和問卷所提出的內容僅局限於澳大利亞一個國家，其代表性受到一定的限制；三，本研究采用問卷調查這一方法，具有一定的局限性，比如它只能獲得答卷者的書面信息，而不能瞭解到更具體的情況。因此，本研究的結果僅限於該研究所涵蓋的範圍。

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情境學習在口譯課堂訓練之應用
——以華東師範大學 MTI 口譯項目為例

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Abstract

Applying Situated Learning to Interpreting Classroom Training: A Survey of MTI Interpreting Program from East China Normal University (*by* Liping Fu and Youfeng Wang)

Situated learning is gaining wide acceptance among translation and interpreting (T&I) trainers and increasingly becoming the mainstream of T&I training because of its authenticity and students' active participation. Though situated learning has widely been adopted in classroom teaching in China, empirical studies in this field remain scant. While existing research often focuses on the strengths of situated learning, the problems of such an approach are rarely mentioned. In the present study, questionnaire surveys, group interviews, and classroom observations are used to collect data from a group of MTI students majoring in interpreting from East China Normal University. Based on Lave and Wenger's Legitimate Peripheral Participation model, this study aims at systematically investigating the application of situated learning in T&I teaching. Through comparing situated learning and teacher-centered approach, we have identified some application issues, including preparation before classroom teaching, choice of training materials, requirements of the translation market and feedback forms. Based on the findings, we propose some solutions to deal with these issues.

一、引言

翻譯培訓中的情境學習是指"在口筆譯人才培訓中依賴於情境的教學方法，即：學習者參與課堂內外真實的或者高度真實的工作環境和任務"（González-Davies &

Enríquez-Raído 2016, 1）。鑒於口譯活動實踐性強的特點，口譯教學過程中應盡可能讓學生參與，最大化還原真實工作場景。因此，情境學習逐漸受到口譯培訓者的重視。

自 2013 年招收第一屆 MTI 口譯方向碩士以來，華東師範大學的口譯碩士項目經歷了近 6 年，積累了 5 屆畢業生。口譯課堂訓練中，情境學習是重要組成部分。為了讓學生“合理的邊緣性參與”口譯活動，最大化還原口譯工作場景，教師讓學生全方面參與課堂教學活動。經過幾年探索和積累，利用現有的教學條件和設施，我們形成了一套具備自己特色的教學方式。本文旨在回顧情境教學涉及的各個環節，對比以教師為主導、運用視聽材料的口譯教學方法，發現並總結其應用過程中的優勢、局限，並提供改進方案，供廣大同行參考借鑒。

二、情境學習與翻譯教學

萊夫（Lave）和溫革（Wenger）（1991，29）認為學習是情境性活動，其核心特質是“合理的邊緣性參與”（legitimate peripheral participation）。換言之，學習者通過參與共同體的社會文化活動，學習並掌握知識和技能（Lave & Wenger 1991）。翻譯活動實踐性強，所以翻譯教學應該體現翻譯活動特徵，課程設置儘量為學習型。和教學型課程相比，學習型課程有情境化機會，是學習者日常實踐中的學習資源之一，並具有共同體特徵（Lave & Wenger 1991, 97）。共同體是“成員具有不同利益，對實踐活動做出不同貢獻，持多種觀點”（Lave & Wenger 1991，98）。實踐共同體成員需要多層次參與，共用他們對活動的理解。鑒於情境學習的這些特點，將其運用到翻譯教學過程中便引發了一場革新運動。

翻譯培訓者為了最大化還原翻譯活動場景，創造逼真訓練環境，嘗試借助科技力量。Surrey 大學和廣東外語外貿大學把虛擬實境（VR）技術運用於口譯培訓。Surrey 大學的口譯培訓系統可類比多種交際場合（Braun & Slater 2014）。運用 VR 技術為翻譯活動創造真實情境，使學習者參與翻譯實踐場景，具備學習型課程特點。根據情境學習理論，學習者需要多層次參與學習活動並分享他們對活動理解。VR 技術在這方面有局限性，翻譯尤其是口譯活動具有交互性特點。雖然 VR 可以讓學習者和機器進行互動，受制於技術，這種互動和真實情境有較大差別。因此培訓人員把翻譯課堂拓展到了真實翻譯工作場景，同時產生了一些具有指導意義的教學研究。

翻譯培訓者根據各自課程設置，因地制宜地讓學習者參與翻譯實踐。Nam（2016）聯繫 7 所韓國不同組織，提供機會讓本科高年級學生參與口筆譯工作。學生個案研究表明：情境學習使學生獲取一手經驗，彌補課堂學習欠缺環節；學生可以更好地融入實踐共同體並最終成為其中一員；重要的是學生可以通過情境學習加深譯員角色認識（Nam 2016, 53-54）。Chouc 和 Conde （2016）的思路和 Nam（2016）不謀而合，他們把學生安排到蘇格蘭議會進行口譯訓練。通過對學生的訪談和問卷調查發現，情境學習有助於學生譯前準備，減少口譯過程中的焦慮，增加學生成為職業譯員的動力。學生意識到課堂訓練和真實工作環境的差異，在課堂訓練中目標會更加清晰。

雖然讓學生譯員在真實工作場景操練有助於獲取現場經驗，但是將課堂教學放置

在真實工作環境絕非易事，受到諸多因素制約。例如：是否有足夠機會接觸到需要翻譯工作的機構或組織（Chouc & Conde 2016: 103）。基於這些制約因素，翻譯教師嘗試在課堂再現工作情景或者把翻譯項目搬到課堂教學，讓學生“合理的邊緣性參與”實踐活動。根據課程計劃，Marco（2016）讓選修《文學翻譯》的學生在校內參與出版社文學作品翻譯項目。學生全面參與項目，教師起輔助作用，如：提供翻譯項目資訊、修改學生譯文。當學生順利完成翻譯項目後，Marco 發現項目訓練除了具備“合理的邊緣性參與”的向心性、翻譯任務的真實性、參與者的合作性特徵外，還發現一些新問題。主要圍繞教師角色展開，Macro（2016, 41）指出教師不僅要促進學習活動；在學生犯錯時，要進行干預。

除了將真實翻譯項目融入翻譯課堂訓練外，教師還試圖在課堂讓學生通過角色扮演模擬翻譯項目或口譯實操情景。研究表明這些再現工作情景的方法有助於提高學生翻譯水準、增強互動意識和自信心（Pan 2016; Prieto-Velasco & Fuentes-Luque 2016）。

上述研究充分證明情境學習的優點。這些在世界各國和不同地區展開的研究為情境學習模式提供了豐富資料，供翻譯培訓參考借鑒。由於各個國家、地區翻譯教育狀況不同，課程設置、學生水準存在差異，情境學習在翻譯訓練應用過程中可能會產生不同問題。學生在學習期間參與真實工作情景固然有利於增強職業和角色認識，為未來工作做好準備（Chouc & Conde 2016; Nam 2016），但不是所有學校都可以得到這些機會。此外，對剛接觸翻譯的學生而言，一開始就進入真實工作環境，不一定促進學習。在真實工作場景中，教師很難像課堂訓練及時發現學生問題並給予指導。因此，將翻譯項目融入課堂教學或通過角色扮演讓學生在課堂再現工作情景對於初、中級學習階段的學生是較好的方法。上文回顧的研究中不少採取此方法，然而這些研究主要探討情境學習的優勢（如：Pan 2016; Prieto-Velasco & Fuentes-Luque 2016），應用過程中的問題及解決方案鮮有提及。Macro （2016）深刻思考了情境學習，但其重點在教師角色問題，其他方面尚未涉及。作為教學方法的情境學習，包含七準則：合作（collaboration）、建構（construction）、自行組織（self-organization）、運用於社會行為語境（application in a social action context）、共用工具使用（use of shared artefacts）、反饋（feedback）、反思（reflection）（Risku 2016: 18）。這些準則貫穿情境學習全過程，Macro 的研究主要涉及反饋，其餘方面探討得不多。

目前中國不少高校的翻譯課堂不同程度採用情境學習模式，但是國內在這方面的實證研究很少。本文以華東師範大學 MTI 口譯項目為例，通過對比以教師為主導的視、聽說材料的教學模式，探討情境學習在課堂教學應用過程中的優勢和問題，並針對問題提出改進方案。具體研究問題如下：

1. 學生對情境學習有何看法？

2. 相較教師主導的視聽說教學模式，情境學習的優點是什麼？

3. 情境學習在課堂教學應用中的問題是什麼？如何解決這些問題？

三、研究方法

研究對象為學制兩年的 MTI 口譯項目學生，研究時間為學年臨近結束。因為一年級學生在第二學期全面接觸情境學習，二年級畢業班學生在第四學期進行口譯實踐，他們可以結合實戰經驗反思情境學習。

研究方法包括問卷調查、課堂觀察、訪談。問卷是針對此次研究而設計，共有 11 個選項，涵蓋情境學習各環節，如：課前準備、課堂評估、課後反思，學生對自身任務、教師角色表達看法（表四）。問卷內容圍繞情境學習的 7 原則（Risku 2016），選項 1 是合作原則，選項 2 是建構原則，選項 5、6、7、8、9 和反饋有關，選項 10 關於反思。問卷採取李克特五分量表形式（1 非常不同意–5 非常同意）。問卷還統計了學生背景資訊以及自我口譯水準評定。問卷調查旨在全面瞭解學生對情境學習各環節的態度及行為表現。

華東師範大學 MTI 口譯項目 2015、2016 級學生參與問卷調查，各年級的年招生人數大致為 15 人。2016 級的 14 名口譯方向學生全部參與問卷調查。2015 級共有 15 名學生，其中 14 名學生參與調研，1 名學生因故未能參加，共回收 28 份有效問卷。參與調研的男生為 4 名，女生 24 名，年齡在 22-26 歲，平均年齡為 23.7 歲（表一）。

表 4.1: 問卷調查人數情況

	MTI1 年級	MTI2 年級	總計
男	1	3	4
女	13	11	24
總計	14	14	28

課堂觀察旨在瞭解學生課堂表現，衡量情境學習對學生課堂行為影響。本研究以《漢英交傳》課堂為例，平時課堂活動由兩部分組成，第一部分是以學生為主導、模擬實戰口譯的情境教學；第二部分是以視、聽材料為主，教師主導的口譯訓練。每部分的課堂時間約為 2 課時。在開學初的課程介紹中，教師告訴學生本學期的話題訓練內容，如：政務、經濟、教育、文化、環保，要求學生根據這些內容選擇感興趣的話題準備演講。每個學生一學期至少演講一次，學生自由選擇話題，準備材料，符合情境學習的建構、自行組織原則。

演講的學生需要課前把講稿發給教師，教師根據內容、組織形式給予修改建議。如果演講內容不合適，學生需更換材料。情境學習中，當學生出現錯誤時，教師需要適時予以干預（Macro 2016）。定稿以後，演講的學生把其準備的幻燈片、詞彙等相關材料發給同學，進行課前準備。表二是 2016-2017 學年第二學期，學生演講的部分話題。從這些題目不難看出，學生關注的問題和社會發展緊密相連，話題選擇很新穎。

課堂訓練中，參與演講的學生脫稿演講，並輔以幻燈片。演講中途停頓數次，讓學生口譯。每段口譯結束後，同學和教師針對學生的口譯表現進行點評。課堂練習全程錄影，供學生課後總結。

課堂觀察分別選擇在兩次口譯課，時間相隔 1 周，全程錄影。觀察群體為 MTI

表 4.2: 學生課堂演講話題（部分）

環境保護	候鳥之殤
	地球一小時
經濟	電子商務
	共享單車
	房價難降
文化	體育產業新藍海
	AI 時代
	瘋狂的“水軍”

一年級口譯班學生。觀察任務為情境學習和教師主導口譯訓練。兩次課堂觀察的口譯材料內容接近，題材是體育產業。情境學習中，由學生擔任演講者。第二次課堂練習材料是王健林在中國體育產業論壇上就“發展體育產業”的講話視頻。兩次課堂觀察中，分別有 6 名同學進行交替傳譯。由於實驗需要，參與口譯的 6 名同學為同一批人，口譯次序也一樣（參與口譯任務的學生分別為：學生 1、2、3、4、5、6）。每位同學口譯結束，有學生自評、同伴評價、教師評價環節，這些反饋和日常課堂訓練一樣。因為清晰、頻繁、及時的反饋有助於學生把學到的技能快速應用，以免時間過長而遺忘（Motta 2016，136）。研究採用評分表形式，以便收集資料分析，評分表由學生、同伴、教師三部分組成。評價內容包括忠實、表達、語言、時間控制四部分（楊承淑, 2005），評分表是教師評價學生考試表現所用，在課程開始前教師對學生講解過評價內容及打分規則，學生對此不陌生。

小組訪談旨在深入研究學生在情境學習中行為表現的動機及態度。訪談對象是一年級、二年級的兩組學生，訪談時間持續大致 50 分鐘。一年級組共有 4 名學生參加訪談，包括 1 名男生和 3 名女生，以 S1、S2、S3、S4 表示（表三）。二年級組有 3 名學生參加訪談，分別為 1 名男生和 2 名女生，以 M1、M2、M3 表示（表三）。二年級組的學生均參加過半年以上的校外口譯實踐。訪談參與者的年齡為 23-24 歲，平均年齡為 23.4 歲。訪談採取半結構化形式，問題圍繞情境學習模式展開（附錄一），這些問題深入研究並補充問卷調查未能涉及的話題，圍繞研究問題和情境學習原則展開。訪談問題 1、5、6 對比教師主導的視聽說教學模式，發掘情境學習優勢。問題 2 針對情境學習中的建構、自行組織原則；問題 3 著眼於合作、自行組織原則；問題 4 和反饋相關。

表 4.3: 訪談對象

	S1	S2	S3	S4	M1	M2	M3
MTI 1	男	女	女	女			
MTI 2					男	女	女

四、結果與討論

4.1 學生對情境學習所持態度

總體來看（表四），學生對情境學習持積極、肯定態度（選項 11）。除了課後反思（選項 10）不是很積極（平均值 =3.8）以外，從課前準備到課堂活動參與度都較高（平均值 = 4.1- 4.8）。

表 4.4: 問卷調查結果統計

選項	平均值	標準差
1. 課前，我認真準備同學發放的材料。	4.1	0.79
2. 輪到我做演講的時候，我認真準備。	4.8	0.44
3. 在模擬口譯實戰的環節，我願意擔任演講者的角色。	4.4	0.79
4. 在模擬口譯實戰的環節，我願意承擔口譯任務。	4.5	0.51
5. 我希望老師在課前對我的演講材料給予建議。	4.5	0.79
6. 我希望得到同學對我演講的評價。	4.7	0.55
7. 我希望得到老師對我演講的評價。	4.8	0.44
8. 在課堂上，我希望得到老師對我口譯表現的回饋。	4.9	0.31
9. 在課堂上，我希望得到同學對我口譯表現的回饋。	4.8	0.42
10. 課後，我認真總結自己的課堂表現。	3.8	0.81
11. 模擬口譯實戰的課堂形式對我的口譯學習有幫助。	4.5	0.69

表四顯示，學生課前準備自己的演講材料（選項 2）非常積極認真（平均值 = 4.8）。因為教師要求脫稿演講且內容受限，學生準備演講要花費一定時間和精力。通過訪談得知，大部分學生從確定演講題目到寫完一篇演講稿，需要花 1 周左右時間。儘管演講準備需要花費大量時間和精力，調查結果發現學生對演講（選項 3）持積極態度（平均值 = 4.4），他們對擔任演講者角色和譯員角色（選項 4）的積極性（平均值 = 4.5）相差無幾。通過訪談得知，學生認為演講有助於提升公共演講能力（S1），而這種能力可以遷移到口譯活動中（S4）。因此，學生樂於花費一定時間準備演講材料，也願意在同學演講時承擔口譯任務。

課前準備演講的學生需要提前把稿件發給教師，確定內容和難度後，才將準備的幻燈片和相關詞彙發給同學，這樣算完成課前工作。學生對老師在課前對他們準備講稿所給出的建議（選項 5）持肯定態度（平均值 = 4.5）。由於學生在準備演講時付出較大努力，他們非常希望老師和同學（選項 6、7）就演講進行評價（希望教師點評的平均值 = 4.8，希望同學點評的平均值 = 4.7）。

五、情境學習優點

表四顯示學生對情境學習的參與度非常高。此外，結果表示情境學習具有真實性強、互動頻繁特點，下面將探討這兩方面。

- 真實性

  較於視、音頻為主的口譯教學法，情境學習最大優點是真實性。真實性不僅在於還原口譯現場，學生還可以在翻譯過程中互相交流（S4），核實理解是否有誤。與此同時，情境學習帶來的口譯現場緊張感，被學生們所推崇（S2、S4）。大部分口譯方向的學生目標是成為專業譯員。查看近幾年的就業資料，項目大部分畢業生從事與口譯或英語相關工作。他們自我定位非常清晰，所以樂於接受壓力和挑戰。

  情境學習的真實性有助於學生“合理的邊緣性參與”口譯活動中，增強口譯實踐動力（S1）。此外，情境學習還可以豐富學生現場經驗，提升自信心（S2）。

  情境學習在翻譯教學中的重視程度不斷提升和真實性直接相關，參與研究的學生也不止一次提及情境學習創造的真實環境對他們的幫助，如：提升自信、增強實踐動力，這些都佐證了以往的研究發現（Chouc & Conde 2016; Pan 2016; Prieto-Velasco & Fuentes-Luque 2016）。

- 互動性

  口譯活動和筆譯相比，譯員需要直接面對聽眾，互動比較頻繁。和以教師為主，視、聽材料輔助的教學模式相比，情境學習更接近口譯實戰。根據課堂觀察，情境學習環境中學生有問題或需要切換幻燈片的時候，會主動和講者溝通，共計四次。而且學生在口譯過程中，會不時和台下觀眾進行眼神交流，而非只關注筆記。採用視、音頻材料的課堂教學過程中，學生互動明顯減少，只有一次。情境學習使參與者之間的互動更加積極、有效，這和 Prieto-Velasco 及 Fuentes-Luque（2016）的研究發現一致。

  課堂觀察還發現學生主動和觀眾交流。學生認為觀眾很重要，他們可以通過觀眾的表情判斷自己翻譯，及時調整翻譯策略；而採用視、音頻材料教學，學生譯員無法第一時間得到觀眾回饋，感到心裡沒底（S1）。

5.1 情境學習應用問題及改進方案

上文討論了學生對情境學習的積極態度以及情境學習的優點。將情境學習融入口譯課堂訓練時，筆者也發現了一些問題，主要集中在課前準備、材料建構、翻譯市場要求、反饋。下面將逐一討論：

- 課前準備

  表四顯示，相對於準備演講的同學而言，課堂參與口譯的同學在課前準備（選項1）不是那麼努力（平均值 = 4.1），通常是提前 1-2 天準備。訪談發現準備演講的

學生主要通過網絡獲取資源（S4、M1 、M3）。學生在譯前準備時容易搜集到演講稿的相關內容，無需花費大量時間和精力即可獲取有效資訊。相比準備演講的同學，參與口譯的學生就明顯輕鬆。當今的資訊社會，網絡可以讓人們快速、高效獲取各類資源。然而，如果參與課堂口譯練習的學生提前獲知大部分演講內容，課前準備充分的話，會大幅度降低口譯現場難度。在實戰中，譯員並非每次都可以提前獲悉內容。

儘管在情境學習中，教師應給予學生較大自由，使其從邊緣性參與到完全參與翻譯活動。但 Marco（2016: 41）明確指出：教師在學生出現明顯錯誤時給予干預，確保翻譯活動參與者能繼續合作。教師必須在課前對學生的演講內容嚴格把控，提出適當修改意見，有意保留一些難點以觀察學生的課堂表現，並確保學生準備的材料難度隨著其水準的提升而逐步增加。

- 材料建構

上面提到準備演講和課堂參與口譯的學生基本依靠網絡獲取資訊。主要任務是重組、加工資訊。這樣就可能缺乏對某一問題的深度探討（M3），導致譯前準備停留在詞彙和簡單的背景資訊層面。通過兩次課堂觀察，可以間接反映材料選擇問題。

研究的兩次課堂觀察中，翻譯內容均為體育經濟。儘管兩篇材料的題材類似，演講者語速、長度差不多。但材料內容的深度和廣度差異較大。一篇是學生用自己的視角解讀中國體育產業，另一篇是業內人士王健林指出體育產業的發展趨勢。參與口譯的 6 名學生的表現顯示材料差異的影響，除了 1 名學生（學生 3），教師給其餘 5 名學生在非情境學習的口譯表現評分都低於情境學習（附錄二），反映情境學習中學生建構的材料難度偏低。

訪談中學生建議請業內人士為他們做專題演講，進行口譯訓練（S1、S3、S4）。這樣既可以深入瞭解領域知識，又可以進行情境學習。學生的建議具有啟發性，只是受制於經費、時間、人員因素，這樣的操作不太可能運用於每次課堂教學。目前高校學術交流頻繁，在條件允許情況下，可以讓學生為各領域到訪專家口譯。這樣的情境學習幾乎和口譯實戰沒區別。中間涉及到學生表現反饋問題，教師可以錄影，口譯活動結束後再做評價。此外，Chouc 和 Conde （2016）還建議讓學生聽公開演講，熟悉譯員工作環境。

- 翻譯市場要求

上文提到情境學習的諸多優點，視、音頻材料在課堂的地位似乎逐漸減弱。在此研究中，筆者發現了一個有趣現象，學生不止一次提出視、音頻材料在教學中的必要性。因為翻譯市場需要證書作為敲門磚，而證書考試都採取音頻形式（S1、S2、S3、M1、M3）。

儘管教師一再強調 MTI 的教學目的不是為了讓學生獲取口譯資格證書，學生反映進入口譯市場的時候，用人單位以是否擁有口譯證書作為評判能力的重要標準。在市場驅動下，大部分學生參加資格證書考試為今後實習和就業打基礎。

這些資格考試採用的材料都是音訊。如果課堂練習全部採用情境學習的話，不利於他們考試發揮。除去這一個較為現實因素，一位二年級同學結合其親生經歷提到視、音訊材料的必要性：

> M1：我當時在寧波那邊是參與面試的，面試我的都覺得我交傳做得挺好。後來他們還要招人，然後面試了一個 A 校和 B 校。A 校那個同學翻譯做得很一般，也是翻譯碩士，筆譯的。然後 B 校那個同學，交傳做得很好。我們用的材料都是政府領導發言的材料。聽他們說 B 校比較重視這種視頻呀，這種官方的演講、話題，所以你能夠聽出來他是很有技術的。各種套話、各種用詞什麼的，就是很正式。所以我覺得這樣的材料是有必要加進來的。…有助於面試，而且以後說不定就會遇到這樣的材料，比如說：晚宴呀、領導發言呀，什麼的。

M1 不僅從事口譯實踐，而且因為優異的能力為用人單位承擔面試任務。經過一段時間的實戰，他對口譯課堂訓練模式的認識相比其他學生更深刻。像政治類題材，尤其是國家領導人講話，在課堂訓練中不容易被模擬，這時有必要使用視、音頻材料。除了資格考試，口譯比賽也是採取音頻（M1）。所以課堂組織形式可以根據需要採取不同模式，而非拘泥於某種特定形式。在情境學習模式下，儘管教師提前設置話題，但學生的選擇仍有一定傾向性，某些話題可能會涉及不到（S2）。大部分 MTI 學生是由本科直接考入碩士，沒有工作經驗，也沒有真正接觸社會，閱歷局限讓他們傾向選擇貼近生活場景的材料，而忽略某些題材，如：政治、財經。而這些被忽略的內容或者說遠離學生生活的材料在口譯實踐中經常遇到。

M1 同學在工作中遇到政治類話題，而 M2 同學提到她參與諾基亞公司的建築項目口譯實踐。她回憶一年級時課堂使用的譚盾演講視頻，認為這個材料呈現的內容非常真實。

M1 還提到實踐中遇到的口音問題。儘管訓練過程中讓學生瞭解各種英語口音，但是中文口音涉及較少。M1 在實踐中就遇到這個問題，他認為這方面也需要納入學習內容。Surrey 大學的 3D 虛擬口譯現場技術中採用音頻輔助。在技術條件允許情況下，可以將視、音頻結合 VR 技術，既最大化利用優秀的視、音頻材料，又保留口譯活動真實感。學生還可以利用此技術，課後訓練。目前不是所有高校都具備將 VR 應用於口譯課堂教學的條件，所以各高校還是要根據實際情況組織課堂教學。

有學生指出實踐過程遇到多人參加的會議討論，不知道如何處理（M2）。口譯形式本來就多樣，口譯活動存在諸多不確定因素，需要譯員靈活處理各種問題。情境學習旨在讓學生“邊緣性”參與口譯活動，課堂訓練難以窮盡所有情況。這時教師可以根據自身經驗把可能出現的問題告訴學生，提供相應策略，或者邀請從事過口譯實戰的學生交流經驗和教訓，彌補情境學習中的缺失環節。

- 反饋

  情境學習的一個重要環節是反饋學生口譯表現。沒有反饋的操練對學生成長意義不大。問卷調查結果顯示，教師和同學的評價都被認為非常有用。從訪談看，一年級的學生希望得到教師的反饋多一些（S1、S4）。他們認為老師具有權威性，可以直接指出學生存在的關鍵問題。其中 S4 提到因為學生水準有限，教師在語言方面的點評更有效果。然而，二年級學生指出教師和同學的評價同等重要（M1），二者綜合可全面瞭解自己口譯表現。二年級學生還表現出對師生點評中傾向性內容（M3），同學互相指出語言問題，教師從客戶角度出發提出反饋意見。

  經過一年學習進入准譯員階段的二年級學生基本上可以發現並解決語言層面問題，他們對口譯質量集中在市場客戶需求方面。這個階段的學生更希望瞭解譯員在實踐中所具備的素質，希望教師可以從經驗出發給予指導，而非停留在語言層面。學生希望得到教師、同學雙方評價，但隨著口譯技能提升，他們對評價內容的要求也隨之改變。

  鑒於學生水準差異，可能有人質疑學生評價的作用。在課堂觀察時，每位學生獲得一份口譯表現評分表。學生對同學的表現打分，參與口譯的學生自評。在兩次課堂觀察中，參與課堂口譯練習的六名學生有自評、互評成績，教師也會根據他們的表現評分（附錄二）。附錄二展現了非常有意思的現象：儘管學生互評和自評的分值差距很大，基本上都是 8 個標準差。除了學生 1（非情境口譯學習）、學生 4（非情境口譯學習）的兩個分數外，其他 10 個分數（即：學生互評、自評的平均分和教師給的分數）差距都在 5 分之內，有的甚至一樣。課堂表現打分結果顯示：即使處於學習初級階段的一年級學生，經過一段時間的培訓，他們對口譯質量的評判和教師的評判差距也在縮小。雖然學生內部對口譯質量評估存在較大分歧，但綜合意見可以給出相對客觀的評價。

  反饋關鍵在於教師指導，畢竟不同學生對口譯質量的評價分歧很大。過於寬鬆或嚴厲的評價都無法客觀反應口譯質量，所以在學生互評和自評的時候，教師適時干預、給予客觀評價非常必要。教師在反饋階段的適時介入也再次印證 Macro（2016）的觀點，教師必須在學生出現明顯錯誤時候予以指出。

六、結論

情境學習具有真實性強、互動頻繁等特點，受到口譯學生的歡迎和翻譯教師的應用，該模式正逐漸成為口譯訓練的主流方法。在情境學習中，學生的積極性和參與度都非常高。儘管情境學習優點顯著，由於學生水準、課程設置、地區發展等因素影響，情境學習在應用過程中也面臨一些問題，如：課前準備、材料建構、翻譯市場要求、反饋環節。

鑒於應用中的問題，教師需要在學生準備演講材料階段給予合理建議，以確保材

料的難度和有效性，並且在翻譯過程中保留部分難點，考察學生臨場表現。情境學習受到推崇，並不意味著視、音頻材料在口譯訓練中失去作用。因為翻譯市場多元化，並非所有場景和問題都可以“情境”化，教師可以根據實際情況在課堂訓練中使用多種教學方法。此外，反饋在情境學習中扮演重要角色。經過一段時期訓練，學生之間的反饋意見可以較為客觀表現其水準。但是學生內部之間反饋意見差距較大，教師需要在適當時機介入，將反饋導向合理化。

本研究的課堂觀察和學生口譯活動均來源於兩次課堂練習。由於課堂時間有限，參加口譯訓練的學生僅有六名。樣本量比較小，研究發現的普適性受到限制。不同地區、高校 MTI 專業學生的課堂表現存在一定差異。未來研究中，研究人員可以根據實際情況適當擴大樣本量進行相關研究。

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The Study of Translation in Periodicals: Past, Present and Future

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Abstract

The practice of periodical publication is attracting increasing attention in the field of translation studies, but, serialised translation as a topic still lacks sufficient research attention. This study outlines the historical background of periodical studies, the role of new digital tools in making early source material accessible, and the range of perspectives and analytical methods that can be applied to future studies in this subfield. Through its overview of the historical backgrounds of periodical and translation studies, this study brings out the urgent need for inquiries into translation in periodicals, covering such topics as their specific features, cultural implications, the way in which periodicals help with the presentation of translation products, and the different patterns of translation products presented in periodicals which lead to new research potentials in terms of the identification of different kinds of translation. The potential to enrich the multiplicity of research methodologies and perspectives in the still-emergent field are demonstrated in a review of the literature, which reveal the neglected facets and little-used methods. The greater research value attached to early historical materials by the exploitation of digital archives is unveiled alongside the potential of current research instruments to enhance the academic study of translation in periodicals.

1. Introduction

The interdisciplinary space where periodical and translation studies overlap is a burgeoning area of research. Nonetheless, in comparison with books, periodical print-form data has

lacked appropriate research tools and retrieval technology, which presents a major challenge for studies of periodicals up to the mid-twentieth century (Latham and Scholes 2006; Collier 2015). Publications in newspapers and magazines, are generally explored alongside book publications in the fields of media history, cultural history and literary history (Brake 2001, 24; Li 2019, 306; Latham and Scholes 2006, 517). However, studied as a single publishing genre, each can illuminate the specific histories of translation in many regions upon being explored separately from book-form publications. The periodical genre and the emergence of periodical studies have therefore attracted the attention of translation studies scholars since the beginning of the twenty-first century. Given that most previous academic attention to translation in periodicals involved has been limited to inquiries into the human agents and sociological networks implicated in translation production (Guzmán 2019, 170), serialised translation and the specialty of periodical as a publishing genre remain marginal research topics. The current era of digital archives and the emergence of the digital humanities enlarge the potential for early periodicals to be pressed into service in the field of translation studies.

After providing some background information, this study identifies the gaps in the field of periodical translation studies, and outlines the continuing enrichment of this research domain through technological advances, such as the textual decoding software that is making periodical materials more accessible and the software emerging from the digital humanities, such as Gephi, that is improving the visualisation and exploitation of textual data from newspapers and other sources. After a review of the current research landscape, describing the application of different methods and novel perspectives, this study highlights some emerging trends in the field that are the result of the rich application of the models proposed in some paradigmatic studies. Studies of periodical translation do pay some attention to non-literary translation such as scientific translation and to translation published in non-serial forms such as poetry translation, but serial-form translation, typically of fiction, is a main focus of studies of periodical translation which merits more academic attention among translation scholars. Clear definitions of the key terms of "serialisation" and "periodicals" are necessary to proceed. "Serialised translation" refers here to a translated text presented and published in a newspaper or magazine in consecutive instalments at regular intervals, based on the concept of "serial fiction" in Okker (2012) and Stein and Wiele (2019). [1] "Periodicals" refers to a publishing genre inclusive of both newspapers and magazines and is the equivalent of baokan 報刊 (newspapers and magazines) in Chinese contexts (Collier 2015; Latham and Scholes 2006; Li 2019, 307; 阚文文, 2008; 付登舟, 2015, 181; 李穀城, 2005; 戈公振, 2015, 4; Wang 2012).

2. Literature Review

Some of the most notable studies of the translation practices of non-Chinese periodicals have been published recently, especially in a 2019 special issue of *Translation and Interpret-*

ing Studies entitled "Translation in/and Periodical Publications". Gürçağlar's case study of a Turkish literary and cultural magazine over the period from 1933 to 1946 analyses what Ardis (2008, 38-40) calls the "internal dialogics" and "external dialogics" of the periodical (Gürçağlar 2019, 180). An early study of Gürçağlar investigates the translations of literary and philosophical works appearing in selected Turkish magazines between 1940 and 1966, focusing on their role in conveying ideas by "importing" the foreign texts (Gürçağlar 2002). Looking at nineteenth-century Irish periodicals, O'Connor unveils the intersections of religion, print and popular culture and highlights the functions of print culture in a heterogeneous religious context (O'Connor 2019a). Lovett observes how translations mediate between the politically-incorrect ideologies that they introduce and the tastes of periodical readers (Lovett 2019). Bollaert explores Russian monthlies published during the Thaw era and looks at the ramifications of translations appearing in these journals on the reception of an ideologically unsound writer in the native book market, investigating the roles of the periodicals as mediators in promoting the reception of literary compositions and as position-takers in the literary "field" (Bourdieu 1993, 29, 67; Bollaert 2019, 201-202). Meanwhile, O'Connor uses a case study of a nineteenth-century British periodical to highlight the censoring power of periodicals in selecting the source language for translation and restricting the public's "access to the texts" (O' Connor 2019b, 243).

Jimenez et al. examine translations in the Spanish-language newspapers circulated in the border regions of the United States between 1808 and 1930, stressing their role in enhancing the status of Spanish and spreading Spanish cultural values with the use of Spanish vernaculars (Jimenez et al. 2019). Çelik explores the role played by the translations appearing in a single magazine in promoting the formation and legitimisation of a unified Kurdish language by introducing "a Romanized alphabet" into Kurdish dialects, focusing on translation practices both from and into Kurdish and the respective strategies of cultural planning (Çelik 2019, 284-285). Serrano (2019) reviews three works on translation in periodicals that approach the issue from three different angles: a feminist perspective, Bourdieu's framework of "field" and the polysystemic approach (Serrano 2019, 329).

There is also a forthcoming edited book (Fólica et al 2020) on literary translation in periodicals, which adopts a salient transnational approach. Generally speaking, the articles in this volume attempt to renovate aspects of the field's methodologies and perspectives. Most of the studies try to zoom in the broad transnational tie that periodicals are involved in with their translation productions, with networks of patronage and organisations of both artistic communities and individual patrons. There is also a special focus on the multiplicity and polyphony of the language of the translations and on the wider adoption of digital tools, such as digitised library archives and meta-catalogues.

In addition to this international literature, a few studies probe into the practice of periodical-form translation in the Chinese context, from different perspectives and adopting a variety of

frameworks. Zhu Jing 朱靜 studies female translators in the Chinese literary milieu, focusing on two groups: Chinese native female translators and Western missionary female translators working with a specialised feminist periodical (朱靜, 2007). Wu Fanxuan 吴梵瑄 elaborates on the prevalence of feminine values attached to the translations of romantic fiction in periodicals using the Shanghai magazine Xin Qingnian 新青年 (New Youth) as a case and the social value of free love as the critical matter, which manifests the role of the early magazines in spreading these social values and rebalancing the status of the female translators and their male counterparts (吴梵瑄, 2020). Wang and Luesink focus on the strategies of translation texts in spreading information on Chinese medicine in the twenty-first-century periodical *China Reader's Journal* and in helping with the introduction of modern concepts and knowledge (Wang and Luesink 2015, 69). Liu Yongwen 劉永文 examines the translations in selected missionary-sponsored periodicals and observes their nourishing influence on the thought of Chinese reformists for nationalist campaigns (劉永文, 2004, 31-32). Tu Binglan 塗兵蘭 probes into the impact of readers on the operation of several Shanghai novel magazines, particularly on the selection of originals and the translating strategies of foreign elements at the linguistic and social level (塗兵蘭, 2013, 112).

In general, the above-mentioned studies revolving around the topic of periodical translation do not venture into the specific topic of serialised translation. There are, however, some scholars who take a particular interest in serialised literary translation in periodicals (Li 2019; 李波, 2014; Li 2013; 阚文文, 2008; Kasparek 1986; Crawford 2000). On the materiality and physical features of serialised translation, Li explores the temporal and spatial restrictions on the serialised translated detective fiction in one Hong Kong Chinese newspaper from 1904 to 1908 (Li 2019). Li Bo 李波 tracks down the sources of the various translated versions of *The Count of Monte Cristo* and considers the physical features and translation strategies of each published version, including the newspaper serialised versions (李波, 2014). Kan Wenwen 闞文文 probes into the materiality of serialised literary translations in the eight major Shanghai periodicals during late Qing (闞文文, 2008). On the vernacular strategy of periodical translation, Li Bo 李波 pinpoints the use of Cantonese in the serialised literary translations of early twentieth-century Chinese-language newspapers, with a comparative study of two newspapers in Shanghai and Hong Kong (李波, 2019). Li Dechao investigates translation practices of Zhou Shoujuan 周瘦鵑 used in translation of Western detective fiction, most of which were publications in serial form in magazines (Li, 2006). Kasparek examines the features of the serialised translation of Pru's *Pharaoh* in the periodical *Warsaw Illustrated Weeks*, such as the use of a "transliterated and distorted version" of the private name of the author in lieu of his/her original pennames, the cropping and curtailing of the original text and the alteration in language style (Kasparek 1986, 113, 134-135). Crawford makes a detailed compilation of serialised translation of Bernard Shaw's plays in various languages in the international market, including their major features and translation approaches, such as slight abridgement (Craw-

ford 2000).

With their divergent research foci, these articles collectively create a cross-fertilised academic debate on the way in which the specificities of periodicals affect the patterns of translations. Although very few focus on serialised translation in particular, these works of scholarship serve as exemplars for the study of serialised translation and translation in periodicals, and their novel and pioneering arguments provide a basis for future studies.

3. Significance

The study of serialised translation is significant for two major reasons, one concerning the field of translation studies and the other the larger academic environment of the humanities. First, it is still a rare practice in translation studies to take translation in periodicals as separate objects of inquiry independent from book publications. However, translation activities and products for periodicals can serve as great resources for the discipline. The fact that the well-known Holmes stories were translated into Chinese and Japanese first by newspapers and magazines and circulated in serialised versions shows the significance of periodical serialization and its value for academic examination.[2] For example, the first story of the fiction series *The Adventures of Sherlock Holmes* was translated into Chinese and serialised in the newspaper Shiwu Bao 時務報 (Chinese Progress) (孟麗, 2007, 128). However, because these materials are mostly dated, little attention has been paid to them.

Second, the digital turn in the field of translation history and other humanities disciplines reflects the passing of the trend of monomodal research and the embrace of the era of "digital tools and publishing" (Dougherty and Nawrotzki 2013, 1). In their work, Dougherty and Nawrotzki raise several questions, such as the uniqueness of different media in terms of materiality and the emergence of digital era to the publishing practice particularly for scholars of historical studies (ibid). Jockers, meanwhile, delineates the emergence and development of several critical concepts in the field of digital humanities, interpreting this term as a more scientific-oriented derivative of "humanities computing" (Jockers 2013, 3). For literary scholars, the coming of the digital era brings changes to the way that they handle research materials (ibid). Beyond the introduction of new digital tools, such as those for audio and video, and new methods like Key Word in Context that reform the way that researchers discover new meanings in texts, the operation of digital libraries, "large electronic text collections", and other material-storing institutions and bibliographical compilations all contribute to the transition to a digital era (ibid, 4).

Set against this background, studies of translation in periodicals benefit as much as any from digitalisation in the humanities. Translation scholars are aware of the anthropocentric tendencies pointed out by Littau (2016, 84) and efforts have already been made to address the insufficient attention paid to the materiality of publishing media. For example, many public

library archives provide wider and more accurate access to old newspaper materials, wherein digital tools are used to preserve the full picture of the periodicals rather than merely the bound volume. The benefit of these tools is especially reflected in the representation of advertisements, those pertinent cultural artefacts surrounding the texts (Latham and Scholes 2006, 520). Although some digitalised periodicals differ from book versions and other reprints, they thereby offer something closer to the old original (ibid, 528). Considering this, the digital era brings both larger collections of print materials and a mechanism for more accurately archiving the printed material. The libraries that provide access to digital archives offer improved search tools and engines that provide more inclusive search results for the same unitary words and index the necessary notes, links and other biographical information around the contributors of some graphical images (ibid, 525), which will benefit future studies of periodicals and of serialised translation in periodicals.

Studies like those of Guzmán (2019) and Latham and Scholes (2006) explain the meaning of the digital turn to research in the humanities and in periodical studies in particular. The term "periodical studies" is used to signify a new paradigm of enquiry that offers multi-directional studies through the application of new digital tools; it encompasses novel critical and historical approaches to examining periodicals and promoting the inspiration that periodical studies affords to other areas, such as translation studies, studies of modern print culture and history studies (Latham and Scholes 2006; Guzmán 2019; Nawrotzki and Dougherty 2013). Technological advance and the machines that help arrange the formats and patterns of serialised translation are taken as valuable determinants of research value in media history and cultural history (Littau 2016, 84). Littau focuses on the concepts of "mediality" and "immateriality" in emphasising the meaning-making role of media to translation texts and the value of the formal matters of media texts to be taken as an object of academic enquiry (ibid, 83). The discursivisation of culture and the materiality of technology can be carefully considered in academic studies of periodical publishing practice. As Dougherty and Nawrotzki observe, "Digital media both extend and fundamentally change the way we read and understand information, by rendering it manipulable and interactive and allowing us to access it in non-linear form" (Dougherty and Nawrotzki 2013, 5). The past and present are linked together through the novel perspectives and methods of observing and reading materials such media have provided us that invest new meanings onto old materials.

Studies of translation in periodicals are in a similar situation. Some of the big and general claims proposed in past studies can be reconsidered and revisited in light of the newly-revealed distinctiveness and uniqueness of periodicals in translation studies and the further specification of the identities of the stored serialised translation. For example, electronic versions of newspapers and magazines provide easy access for the down-to-earth and detailed inspection of the physical features and formal traits of periodicals, which illuminates multiple potential objects of inquiry in the field, such as the cultural meanings associated with the variegated

types of translations and the interplay of translations with other multifarious materials in the print medium. Studies show that book-form publications were often linked to serial-form publications in the past, with serial publications capable of benefiting book publications, the rare importance attached to the latent favorable qualities of serial publications in the traditional market making them a valuable object of inquiry (Brake 2001).

With technological advances helping scholars to effectively tackle some of the underlying challenges and problems in the study of translation in periodicals, and the great benefits that such studies could bring to the innovation and sustenance of the discipline of translation studies, the urgency of enlarging the subfield and probing into as many clearly-delineated research objects as possible at a micro level cannot be overemphasised. With translation studies currently paying insufficient attention to serialised translation in periodicals, there is an opportunity for future studies to fill important gaps in the translation literature. Studies in the Chinese context can draw on a range of digital archives, with many libraries now equipped with wide-ranging digital services for the retrieval of early historical literature. For example, a specialized digital collection of old Hong Kong newspapers can be accessed through the Hong Kong Public Libraries Website. [3] The Run Run Shaw Library of City University of Hong Kong provides digital archives of early Hong Kong Chinese newspapers as part of their "digital special collections", including the 1911-1949 Minguo Publications collection. Databases of Chinese periodicals from regions other than Hong Kong, such as the Chinese Periodical Full-text Database, are also available. It is hoped that the following discussion of methodological instruments will provide some useful tips for future forays into this underexplored area.

4. Methodological Issues

Methodologically, there are four main models that can be applied to translation and interpreting studies, textual-descriptive models, cognitive models, sociological models and culturalist models (Marco 2009, 14-15). Some pioneering and representative perspectives that have hitherto not been explored sufficiently could be adopted in the examination of serialised translation in future studies driven by new digital tools and these major research models of translation studies.

First, textual-descriptive approaches focus on the close reading of texts. For this model, the concepts of "techniques", "constraint" and "norm" designate the axial concerns to be addressed (Marco 2009, 15). In studies adopting this model, cases usually revolve around a specific translation text or translator. For example, Li Bo 李波 (2014) takes the translation practice of one French fiction as a case and examines the multiple translated versions and different editions, focusing on such issues as their preface information and their different reception among readers of various language backgrounds (李波, 2014). Future studies in this

vein could pursue such "detective work" of "translation archaeology" among the different editions of translations and originals (Pym 1998, 5), attending to the materiality of serialised translation, which helps us acquire the disclosed information about the travels of a text across different regions and its reception in different publishing contexts.

Second, the cognitive model is not frequently applied in this field. This model fits into the process-oriented rather than product-oriented branch of translation studies (Holmes 1972), dealing with such questions as what problems arise in translation processes and what are the possible strategies for overcoming these problems (Marco 2009, 23). With this model, some studies apply the corpus-based research method into their inquiry into translation texts (Kenny 2006; Ji and Oakes 2012). For instance, Kenny illustrates the use of corpus-based methods in descriptive translation studies, and considers the revolutionary meaning they have to the research dimensions, theoretical instruments and typical ways of thinking in this field (Kenny 2006).

Third, among studies adopting the sociological model, Bourdieu's (1993) "field" and "habitus" are the most frequently applied frameworks for the examination of translation products. "Field" and "system" are regarded as two highly similar concepts, given that both refer to the mental and socio-cultural space where events and relationships take place (Marco 2009, 31). Gürçağlar's work is a study from the sociological perspective in which the translation in periodicals are positioned within the larger social background, rather than the analysis being limited to the textual-descriptive level (Gürçağlar 2019). Her study analyses the editing role of the periodical in the transmission of translation with an application of the concepts of "habitus" and "field" (ibid) which showcases that these two terms are equally applicable theoretical instruments for the explication of matters surrounding the practice of serialised translation and those surrounding the formation of a translation product bearing the "habitus" of both the translator and the periodical. Most studies dealing with Chinese-language periodicals under this model include no translation product among the materials under consideration (沈愛君, 2006; 路丹妮、陳正賢, 2015); therefore, more future studies using this model for the study of serialised translation could be undertaken in the Chinese context.

Last, with the remarkable growth in the mobility of global knowledge and cultural capital, translation in periodicals are increasingly viewed as an effective means of cross-cultural exchanges, which welcomes greater application of the culturalist model. Both the textual-descriptive method and an interpretative approach from the ideological perspective are involved in this model, indicating more weight being put on the ideological motivators for language strategies in translations than in the microscopic sketch on a single text or textual segment (Marco 2009, 27). In studies of serial-form translation under the culturalist model, the matter of central concern is usually the shaping influence of the cultural milieu on the patterns of translation productions (Green 2009; 夏晓虹, 2004). For example, with a case study of the Chinese translated text Picha Nvshi Zhuan 批茶女士傳 (The Biography of Henry Ward

Beecher) in one Chinese feminist periodical Nvxue Bao 女學報 (Chinese Girl's Progress), Xia Xiaohong 夏曉虹 (2004) constructively evaluates the dissemination of the idea of women's rights and emancipation by periodical publications, focusing on the ramifications of the circulation of this translation on the abolition of slavery in China, this being one item on the agenda of the Chinese feminist movement. Future studies could apply this model to the investigation of the role of periodicals in presenting models and images of women through translation and creative writing. The ways in which the periodicals juxtapose foreign and native women models in these two kinds of publications demonstrate the heterogeneous nature of the periodical materials and the possible dialogues between the prominent cultural values in these two poles. The Chinese-language periodicals of early twentieth-century Hong Kong may also reflect inconsistency and hence greater complexity of the identification of social values about women at a time of transition.

Apart from the four above-mentioned models, the following perspectives and matters for inquiry could be adopted in this academic sphere. First, some studies have delved into the early serialised translation of literary works and the subsequent book productions from these serial instalments (Brake 2001; Wald 2019; Li 2019). Brake (2001) delineates such a commercial mode in nineteenth-century British publishing industry and highlights the advantages of newspaper-form publication over the book offprint and the value of publishing in serial form rather than book form. In his research, the praxis of relay translation unearthed among the periodical publications manifests a larger picture of transnational and cross-geopolitical communications anchored at the publishing sphere of Hong Kong, with traces of this having appeared in a few previous studies (Thornber 2009).

Given that book-form publications once collaborating with and being benefited from serial-form publications, the salient difference between publications in serial form and those in book-form needs further exploration. Rajack (2016) examines the publishing genre of periodicals from the perspective of print materiality. Beyond this, some theoretical concepts could be more widely applied in future studies of serialized translation in the Chinese contexts. For example, the "internal dialogics" described by Ardis could be useful for researchers of early Hong Kong periodicals to attend more closely to the interplay between translations and non-translations in Hong Kong Chinese literary journals. For translation in serial form, taking one issue out of the serialised instalments could also help to unveil the details of the internal interplay of the periodical.

Second, another perspective for the exploration of serialised translation is the use of anonymity and pseudonyms in early periodical publications in the Chinese context, and the materials of pseudo-translation. Previous studies indicate the potential and value of this perspective on literary publication in periodicals. Brake (2001, 16) reveals the popularity of such a practice in the British publishing industry and the salience of the phenomenon in such literary genres as fiction. Regarding translation in particular, future studies of Chinese periodical

translation could pay more attention to the text type of pseudo-translation, with the inquiry framed by the sociological model to showcase the relationship between the physical patterns of the works, and the influences of the social climate with the availability of technological tools. The textual-descriptive model could also be adopted in such inquiries to study the influence of the textual modality on readers' perceptions of these translations and how periodicals as a medium shape the translation products of a certain period, with the effects of extending the evaluation of the concept of translation as the central matter of this field.

Third, considering that the medium of the periodical represents a change of readership from the elites to the general public (Blair 2010, 2), the new popular audience could be viewed as one more perspective, from which the relationship between serialised translation publications and their readers can be analysed. The applicability of the perspective of the readership for inquiries into the features of translation in periodicals is supported by Li's (2013) assertion that the imbalanced ratio between male and female readers of periodicals is of value to these kinds of studies.

5. Concluding Remarks

This article outlines the significance of the burgeoning interest in and development of studies of periodical translation, the principal methodologies applied in the field and possible new directions for future work, following on from a review of nascent research into early periodical publications, materials from which have only very recently become accessible. The application of current analytical frameworks to these newly unearthed and digitized source materials could bring light to the great potential the interdisciplinary area of translation and periodical studies and help to generate a holistic approach to this interesting and important research area. Through the exploration of periodical archives, researchers can generalise the developing trends in this field, including the methods, tools, perspectives, and databases, covered in this paper. Brake (2001) and Latham and Scholes (2006) pinpoint the transitions in the humanities since the mid-twentieth century driven by the arrival of the digital age and how this led to the rise of periodical studies at the turn of the twenty-first century. With the above discussion, this paper uncovers the devices brought to bear on the periodical genre by researchers but not yet widely applied to the study of periodical translation and shows their potential application to new topics across this interdisciplinary spectrum.

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Notes

[1] In Okker (2012, 2), "serial fiction" refers to fiction published in separate installments in newspapers. Stein and Wiele's (2019, 1) study of the "serial modes of storytelling" during the mid-nineteenth century ranges from French feuilleton fiction to American newspaper serial fiction.

[2] The first Holmes story translated into Japanese was the story "*The Man with the Twisted Lip*", which was circulated in serialised form in the periodical *Nipponjin* in 1894 (Tsukasa and Akane 1983, 306).

[3] In the descriptive words on the website, one sentence goes like this: "The collection provides digitized images of old Hong Kong newspapers from the library, which are accessible through the Multimedia Information System of Hong Kong Public Libraries." (Website of Hong Kong Public Libraries, 2020). These newspaper issues are collected in the form of digital archives, with multiple functions to facilitate the reading of the materials.

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The Inconsistent Translation of Posthumous Epithets

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Abstract

A very large number of people in the pre-Qin literature are known by their posthumous epithets, shi 諡. Yet these are not translated into English according to a consistent format. Epithets ending in the titles -wang 王 or -gong 公 are rendered in the format "[title] [adjective] of [realm]" (e.g. "King Wen of Zhou" for 周文王), while those ending in all other titles are translated in the format "[realm] [adjective][title]" (e.g. "Kong Wenzi" for 孔文子). This paper argues that the disparity stems from three misconceptions: (1) that posthumous epithets are "names", (2) that the word zi 子 is an honorific and not a noble title, and (3) that the Zhou dynasty had a clear distinction between place names and family names. After addressing each of these points the paper will propose an improved translation format.

1. Introduction

Most pre-Qin nobles are known to history by their posthumous epithet, shi 諡. Yet translators into English do not render these appellations in a consistent format, which gives the false impression that the number of nobles was vastly smaller than it really was, and also obscures potentially important information about whether the person was alive or dead at the time of the text's composition.

Posthumous epithets, often misleadingly called posthumous "names", are such constructions as *Zhou Wen Wang* 周文王, *Lu Ai Gong* 魯哀公, and *Ji Kang Zi* 季康子. These were assigned to departed luminaries to circumvent a taboo on uttering the name of one's ruler or ancestor, as given names were used only by superiors speaking to inferiors. While the current

ruler could conveniently be referred to simply as "the Duke" or "the King", deceased ones had to be differentiated in some other fashion without using their actual names (Dubs 1945, 28). This was accomplished by giving them an epithet consisting of three components: the name of the departed's territory or clan, an adjective summarizing their legacy, and a title. The title is most often gong 公 ("duke") or *zi* 子 ("viscount"), but occasionally *wang* 王 ("king"), *hou* 侯 ("marquis"), or one of the five birth-order ranking characters *bo* 伯, *meng* 孟, *zhong* 仲, *shu*, 叔 and *ji* 季. Women who were bestowed posthumous epithets would take the name of their tribe (e.g. *Ji* 姬 or *Jiang* 姜) as their "title".

Despite the identical syntax of epithets like *Zhou Wen Wang* 周文王 and *Kong Wen Zi* 孔文子, the convention in English has become to translate the former as "King Wen of Zhou" and the latter as "Kong Wenzi", rather than to consistently use either the format "King Wen of Zhou/Viscount Wen of Kong" or the format "Zhou Wenwang/Kong Wenzi". It seems that epithets that end in a title equal to or higher than *gong* 公 are translated in the "King Wen of Zhou" format, whereas titles lower than *gong* are translated in the "Kong Wenzi" format. Furthermore, the adjective component is not translated at all.

I believe that this inconsistency stems from three main misunderstandings about posthumous epithets: (1) that they are "names" rather than "epithets", (2) that *zi* 子 is not a noble title like *wang* 王 or *gong* 公, and (3) that there is a clear boundary between a state name and a clan name. That is, translators think that 周文王 is a king named *Wen* who rules over a kingdom named *Zhou*, whereas 季康子 is merely a man with the family name *Ji* 季, the personal name *Kang* 康, and a honorific *zi* 子 meaning something like "mister".

Below, I will demonstrate that the adjective components are not "names", that the character *zi* 子 as well as the fraternal ranking characters *bo* 伯 etc. and women's surnames are syntactically "titles" just the same as *wang* and *gong*, and that there is not a hard distinction between a person's surname and the name of their state.

2. Evidence that the posthumous epithets are descriptive adjectives and not "names"

My first objection to the current translation format is that a phrase like 周文王 is translated "King Wen of Zhou" as if the king's given name was "Wen". This interpretation is not borne out by a close reading of the *Zuozhuan* 左傳 and other pre-Qin texts.

The bestowal of a posthumous epithet is first recorded in the *Zuozhuan* under the third year of "Duke Yin" 隱公:

Example 1 【隱公三年秋】八月，庚辰，宋公和 卒。
【……】癸未，葬宋穆公。
"On the gengchen day of the eighth month, Duke He of Song died.

On the dengwei day, we buried the Shaded Duke of Song."

We see that the duke's name when alive had been "He 和", but that upon death it became "the Shaded" (Mu 穆). [1]

The same pattern occurs whenever a ruler of any importance dies, though sometimes split across two entries if the death and funeral occurred in different years.

Example 2

【桓公十一年】夏，五月，癸未，鄭伯寤生 卒。

【……】秋，七月，葬鄭莊公。

[Huan 11] Summer: on the dengwei day of the fifth month, Earl Wusheng of Zheng died.

[Same year] Autumn: in the seventh month, we buried the Strong Duke of Zheng.

Example 3

【僖公十七年】冬，十有二月，乙亥，齊侯小白 卒。

【僖公十八年】秋，八月，丁亥，葬齊桓公。

[Xi 17] Winter: on the yihai day of the twelfth month, Marquis Xiaobai of Qi died.

[Xi 18] Autumn, on the dinghai day of the eighth month, we buried the Grand Duke of Qi.

Example 4

【僖公三十二年】冬，十有二月，己卯，晉侯重耳 卒。

【僖公三十三年夏四月】癸巳，葬晉文公。

[Xi 32] Winter: on the jimao day of the twelfth month, Marquis Chong'er of Jin died.

[Xi 33, Summer:] on the dengsi day [of the fourth month], we buried The Wise Duke of Jin.

Many translators appear to be under the impression that the deceased was simply given a *different* name than they had in life, but this is not the case.

First of all, the actual names (*ming* 名) of Zhou dynasty people, to the extent they are known, show as much variety as modern Chinese names, such as here Wusheng 寤生 (possibly "difficult birth"[2]), Xiaobai 小白 (little pale), or Cong'er (long-ears). They can in principle belong to any word class (c.f. Goldin 2000).

Posthumous epithets, on the other hand, are exclusively adjectives, such as here *zhuang* 莊 (strong), *huan* 桓 (grand) and *wen* 文 (wise). They are also highly stereotyped; only about a hundred were used in pre-Qin times (Wang 1995). These are listed in the *Yi Zhoushu* 逸周書, with descriptions of what kind of person should be bestowed with each one, suggesting that mourners were supposed to select the epithet from a fixed list rather than make one up for themselves. A reader going through the *Shiji* 史記 will encounter dozens of rulers with the epithets like *wu* 武 (conquering), *cheng* 成 (accomplished) and *xiao* 孝 (filial).

Secondly, in pre-Qin texts these adjectives are virtually always followed by a title such as *gong* 公. Translators have generally supposed that this is the same as modern Chinese titles placed after the names they refer to, like *Mao Zedong zhuxi* 毛澤東主席 (Chairman Mao Zedong) and *Deng Xiaoping tongzhi* 鄧小平同志 (Comrade Deng Xiaoping), but actually one is hard pressed to find a pre-Qin case where the name of a definitively living person is followed by their title. Most often the titles of living people precede the name, as in the above *Zheng bo Wusheng* 鄭伯寤生 (the earl of Zheng, Wusheng), *Qi hou Xiaobai* 齊侯小白 (the marquis of Qi, Xiaobai) and *Jin hou Chong'er* 晉侯重耳 (the marquis of Jin, Chong'er). One could expect to see *Tai shigong Sima Qian* 太史公司馬遷, but not *Sima Qian tai shigong* 司馬遷太史公 (Dubs 1945, 28).

For these reasons, I believe the relationship between the "name" (adjective) and the title to be much closer than has previously been supposed. Rather than the title being something that can be optionally tacked on to the name, I believe that the adjective is in fact *describing* the title. Dubs has noted that this can be elegantly expressed in English by translating in the definite article: 宋穆公 does not mean "Duke Shade of Song" but rather "the Shaded Duke of Song" (Dubs 1945, 30-31). A Western analogy for this way of referring to the dead would be that if an Englishman was forbidden from uttering the name "William", he could indicate which king he was referring to by speaking of him as "The Conqueror". A Greek who was likewise forbidden from speaking the name "Alexander" could likewise use the code-word "The Great".

As the word order in the Chinese phrases 宋公和 and 宋穆公 is clearly different, a translator into English should not render them both as "Duke He of Song" and "Duke Mu of Song" (or "Duke Shade of Song"). This would completely obscure the fact, obvious in the Chinese, that one is a posthumous epithet and the other is not. Instead these consistently different Chinese construction types should be rendered as different English construction types, such was the former being kept as "Duke He of Song" but the other changed to "The Shaded Duke of Song".

Sometimes, a Chinese source will give both the epithet and the name. In such cases the format is "宋穆公和", which ought to be translated "The Shaded Duke of Song, He". I prefer this translation to "He, the Shaded Duke of Song", as the inclusion of the name seems to be only for the reader's reference, as we might write "the president of China, Xi Jinping" upon first mention, and then call him merely "the Chinese president" on subsequent mentions.

The pool of adjectives used was always very small. The earliest list, in the Yi Zhoushu 逸周書, contains around one hundred, and the scholar *Wang Shoukuan* 汪受寬 has counted that by the end of the Qing dynasty (1636-1912) (about 2000 years later) the number had grown to only some four hundred (Wang 1995, 278). It follows that even if the earliest epithets may have been accurate reflections of the person's character, such as *The Wise King of Zhou* 周文王 really being "wise" and *The Conquering King of Zhou* 周武王 really being "conquering",

they became highly stereotyped and void of meaning over time. For example, the First Emperor of Qin's predecessor was canonized as "*The Strong King of Qin*" 秦莊王 despite being (presumably) an old man who lived for only three years after assuming the throne. It appears that the same adjective was never bestowed twice within the same state/dynasty, meaning that once all the "good" adjectives had been used up, later generations had to scramble for the "leftovers" regardless of how ill-fitting they might be.

It can therefore be argued that we should treat the posthumous "names" the same way we treat the equally stereotyped names used by Christians and Muslims. We generally do not translate "Peter" as "Rock" or "Abdallah" as "Servant of God", because even the people who are themselves called by these names rarely think about their literal meaning. But now and then it becomes evident that the ancient Chinese actually cared about the literal meaning of epithets. For example, in the following episode in the Analects:

Example 5

子貢問曰：「孔文子何以謂之文也？」子曰：「敏而好學，不恥下問，是以謂之文也。」(Analects 5:15)

Translated by James Legge as follows:

"Zigong asked, saying, 'On what ground did Kong Wen get that title of Wen?' The Master said, 'He was of an active nature and yet fond of learning, and he was not ashamed to ask and learn of his inferiors! On these grounds he has been styled Wen." (Legge 1893, 178) [Romanization updated to Pinyin]

The passage makes no sense to the reader unless the meaning of Wen is explained in a footnote. I would have improved it thus:

"Zigong asked, saying, 'On what ground did The Wise Viscount of Kong get that title of The Wise?' The Master said, 'He was of an active nature and yet fond of learning, and he was not ashamed to ask and learn of his inferiors! On these grounds he has been styled The Wise."

I would therefore argue that it is best to translate the adjectives, if for nothing else so to draw attention to the fact that they are not personal names. Trying to come up with neat one-word Western-language equivalents for all 100 adjectives would no doubt be a challenge, but I am sure it can be done.

3. Evidence that *zi* 子, the fraternal rankers, and women's surnames belong to the same word class as *wang* 王 and 公.

3.1 *Zi* 子

My second objection is that translators consider the word *zi* 子 to be of a different word class from *gong* 公.

This misunderstanding likely originates from a footnote in the influential translation by James Legge (1815-1897). Appended to the first sentence in the *Lunyu* 論語, following the first 子曰 ("The Master said…"), we read:

> *"子, 'a son' is also a common designation for males, - especially of virtuous men. We find it, in conversations, used in the same way as our 'Sir.' When it* follows *the surname, it is the equivalent of our 'Mr.,' or may be rendered 'the philosopher,' 'the scholar,' 'the officer' &c. Often, however, it is better to leave it untranslated. When it* precedes *the surname, it indicates that the person spoken of was the master of the writer, as 子沈子, 'my master, the philosopher 沈." Standing singly and alone, as in the text [of the Analects], it denotes Confucius,* the philosopher*, or rather* the master*." (Legge 1893, 1)*

Consequently, Legge and nearly every translator after him thinks that (1) a phrase like *Kongzi* 孔子 is equivalent to a modern *Kong jiaoshou* 孔教授 (Professor Kong), and that (2) a phrase like *Kong Wenzi* 孔文子 is also substantially the same as the former – "Professor Kong Wen".

However, the Han dynasty writer *Cai Yong* 蔡邕 provides evidence that *zi* is -if anything- equivalent to the title "viscount":

> 按古之以子配謚者，魯之季文子、孟懿子，衛之孫文子、公叔文子，皆諸侯之臣也。至于王室之卿大夫，其尊與諸侯竝，故以公配。《春秋》曰：「劉卷卒。葬劉文公。」《公羊傳》曰：「劉卷者何？天子大夫也。」《經》又曰：「王子虎卒。」《左傳》曰：「王叔文公卒，而如同盟，禮也。」此皆天子大夫得稱，其禮與同盟諸侯敵體故也。（蔡邕，1959，19-21）

> *"Those ancients who have zi attached to their epithets, such as Ji Wen Zi and Meng Yi Zi in Lu, or Sun Wen Zi and Gongshu Wen Zi in Wei, were all officials of feudal lords. Whereas when it comes to the ministers and councillors of the King, these were honoured on par with feudal lords, and therefore have gong attached.* The Spring & Autumn *says: 'Liu Juan died. We buried Liu Wen Gong ' – to which Gongyang comments 'Who is this Liu Juan? – A councillor to the Son of Heaven.' The text further says 'Prince Hu died' – to which Zuo comments: 'Wangshu [King's*

> *Uncle] Wen Gong died. He was honoured as an ally, in accordance with the Rites.' That is to say, when the King's officials died they were honoured with the same pomp as if they had been allied feudal lords." (My translation)*

The instinctive unwillingness of translators to accept that 季文子 is the same type of appellation as 魯文公 probably comes in part from the notion that the former is an "official" (*chen* 臣) whereas the latter is a "ruler" (*jun* 君). However, in the context of the Spring & Autumn period such a rigid division is not appropriate.

It is true that in the "bureaucratic" post-Qin system, officials were appointed and dismissed by the ruler at will, received a "cash" (or equivalent) salary from the state treasury, did not own the lands they governed, and did not independently command the armed forces stationed there (Lowe & Shaughnessy 1999, 606-608).

But in the "feudal" Spring & Autumn period, the state was a Russian doll of nested fiefs. Just as the King would grant fiefdoms to his relatives and worthy subjects to rule as *de facto* autonomous states, so these rulers in turn would give out portions of their territory to junior branches of the ruling house for their upkeep (Lowe & Shaughnessy 1999, 566).

The Hereditary Houses 世家 section of the *Shiji* talks only about the top-level fiefs directly subordinate to the king, so it is understandable if the casual reader might have missed the existence of "subliminal" fiefs existing inside of these. The damaged condition of the *Shi Ben* 世本 geneaology also means there is no convenient census of which second-tier fiefs existed inside which first-tier fiefs.

But consider the example of the three realms *Zhao* 趙, *Wei* 魏, and *Han* 韓. These began as sub-fiefs within the state of *Jin* 晉, with their leaders having the titles *Zhao Zi* 趙子, *Wei Zi* 魏子, and *Han Zi* 韓子. They subsequently gained independence as marquisates, with the titles *Zhao hou* 趙侯, *Wei hou* 魏侯, and *Han hou* 韓侯. If it was possible for Jin to contain "viscouties" in this way, we should not discount the possibility that the same is true elsewhere. *Kong* 孔 might have been a viscounty within the state of Song 宋 (from which Confucius' ancestors hailed), and *Yan* 晏 might have been a viscouty within *Qi* 齊.

Furthermore, it is not certain that *gong* 公 even means "duke" in the first place. Many readers of the *Zuozhuan* will have noticed that regardless of which title a ruler had in life, they are always known as *gong* 公 in death. The assumption among translators seems to be that this is because all rulers were posthumously "promoted" to dukes, the highest noble title. However, C.N. Tay has argued that the narrow reading of *gong* as "duke" might be misguided, and that the root meaning of the word is something like "elder", from which "duke" is but one of several derived meanings (Tay 1973).

By extension, rather than fret over when *zi* 子 means "master" and when it means "viscount", we should consider that the noble title "viscount" might itself derive from "master". That is, 季子 might be better translated "The Master of *Ji*" rather than "The Viscount of *Ji*". Consistency between the honorific and noble use can then be achieved by simply changing the

translation of phrases like *Kongzi* 孔子 from "Master Kong" [3] to "The Master of Kong".

3.2 *Bo* 伯, *Meng* 孟, *Zhong* 仲, *Shu* 叔, and *Ji* 季

Some posthumous epithets end in a fraternal ranking character where we would normally expect *zi* 子, e.g. *Yan Ping Zhong* 晏平仲, not *Yan Ping Zi* 晏平子. *Jia Gongyan's* 賈公彥 sub-commentary to the *Yili* 儀禮 explains that if a person died before the age of 50, they were given the fraternal ranking character as their title rather than *zi* 子 (阮元，2010，958).

I would personally speculate that it might also have been the case that only the head of the clan would receive the title *zi* 子, whereas his younger brothers and any sons who predeceased him would be known by their ranking word. In that case, the fact that the son of "Viscount Yi of Meng" (*Meng Yi Zi* 孟懿子) is known to history only as "The Eldest-Son *Wu of Meng*" (*Meng Wu Bo* 孟武伯) might be a subtle indication that he died before his father than therefore never had a chance to inherit the title "viscount".

These should be translated in a way that shows they are standing in for titles. As English would need to use awkward hyphenations like "eldest-son", "second-son" etc., I would suggest using the neater Latin terms "primus", "secundus" etc. With for example *Yan Ping Zhong* 晏平仲 translated "The Tranquil Secundus of Yan".

3.3 Women's family names

Women in the pre-Qin period were seldom or never referred to by their personal names (xing 姓) . Instead they appear with only their tribal name. To distinguish between women of the same tribe, a descriptive character could be added.

For unmarried women this was usually a fraternal character indicating seniority among her sisters (e.g. *Bo Ji* 伯姬, "the Eldest Ji"), for married women the name of their husband's or father's state (e.g. *Qi Jiang* 齊姜, "The Jiang of Qi"), and for dead women a posthumous epithet (e.g. *Ai Jiang* 哀姜 "The Mourned Jiang"). Although there might be some confusion between the last two since *Qi* 齊, *Wei* 魏, and *Shang* 商 are both names of countries/dynasties and possible epithets listed in the *Shi Fa Jie* (阮元，2010，1928).

Here too it is helpful to think in the definite article. Women seem to have been understood less as individuals and more as objects representing their fathers' tribes, so one talks about "The Ji", "The Jiang", "The Zi" and so on.

It therefore gives the wrong impression to translate for example 南子 as "Duchess *Nanzi*". The correct rendering would be "The *Zi* of the South". (It has been suggested to me that in the original seal script, 南 could be a misprint for 宋, the lady's home state. In that case she ought to be called "The *Zi* of *Song*").

3.4 Evidence that family names and state names were overlapping

The pre-Qin Chinese had two types of "family names", *xing* 姓 and *shi* 氏. By analogy with Semitic societies I will translate them respectively "tribe" and "clan".

Tribal names such as *Si* 姒, *Zi* 子, *Ji* 姬, and *Jiang* 姜 were of extremely ancient origin, and the presence of the woman 女 radical in most of them have led some to date them to an ancient matriarchal society in which tribal affiliation was passed down matrilineally (Diao 2015). Be that as it may, it appears that by the time historical records start the tribes did not occupy contiguous geographic zones: the clans within a tribe could simultaneously hold the thrones of several different non-adjacent territories, such as the *Jin* 晋 and *Wu* 吴 clans of the *Ji* 姬 tribe, in respectively modern Shanxi and Jiangsu, being separated by the *Qi* 齐 clan of the *Jiang* 姜 tribe in modern Shandong. For this and possibly other reasons, the tribal names are never used to refer to geographic units.

Clan names, on the other hand, often show a strong overlap with state names. Many of the most common modern Chinese surnames [4] are derived from those of ancient states, such as *Zheng* 鄭, *Wu* 吳, and *Chen* 陳. Conversely, what appears to have been originally a clan name could become the name of the clan's territory, like the aforementioned Jin successor states *Zhao* 趙, *Wei* 魏, and *Han* 韓. We can recall that in 2020 "Liechtenstein" is the name of both a country and its ruling family.

Rather than try to force a hard border between the notions of "clan" and "territory", I think translators can easily avoid the issue altogether by using an ambiguous format like "the viscount (or master) of *Zhao*" (赵子). There is no need to spell out whether the reference is to a state of Zhao or a house of Zhao. This form of expression is also well-established in English, with for example the abdicated Edward VII (r. 1936) receiving the title "duke of Windsor" – with ambiguity on whether this refers to him being a member of the ruling House of Windsor or master of the lands around Windsor Castle.

4. Conclusion and recommendation for a better translation format

We have seen above that all Chinese posthumous epithets consist of the same three components: (1) the name of the domain the person rules or originates from, (2) a descriptive adjective selected from a limited list, and (3) a noun which is described by the adjective, which for men is their title or rank among their brothers, and for women their tribe's name. Translating posthumous epithets according to two different formats therefore has no basis in the original Chinese. There is no syntactic difference between an epithet like *Chu Ping Wang* 楚平王 and *Yan Ping Zhong* 晏平仲.

Therefore, we should either translate both according to the format "The Tranquil King of

Chu"/"The Tranquil Secundus of Yan" or translate both according to the format "Chu Ping-wang"/"Yan Pingzhong".

My proposal is to translate all epithets according to the "wang/gong" format. That is to say:

周文王 = The King Wen of Zhou (unchanged)
魯哀公 = The Duke Ai of Lu (unchanged)
季康子 = The Viscount Kang of Ji
晏平仲 = The Secundus Ping of Yan
魯文姜 = The Jiang Wen of Lu

It would have been ideal to translate the adjective components literally, with *wen* as "wise" etc. However, I am afraid that an abrupt switch to this practice might cause confusion when using older sources. Most English-speakers are accustomed to seeing 周武王 translated as "King Wu of Zhou" and might not immediately understand who "the Conquering King of Zhou" is. The names of such famous figures should therefore probably be left untouched.

Luckily, figures such as "Ji Kangzi" are mentioned in the secondary literature much more rarely than celebrities like "Duke Ai of Lu", so standardizing their names into the format "Viscount Kang of Ji" should not cause much discomfort to most readers.

Notes

[1] This refers to the placement of the spirit tablet on the sunny (zhao 昭) or shaded (mu 穆) side of the ancestral temple. These alternated mechanically, so being placed on the shaded side is not necessarily a negative.

[2] The backstory on how the earl got this name is told at the very start of the Zuozhuan. The commentators differ on what it refers to.

[3] For the sense "Master Kong", we would expect the word order *Zi Kong* 子孔 rather than *Kong Zi* 孔子.

[4] Despite the modern word for "family name" being *xing* 姓, surely an abbreviation of the compound *xing-shi* 姓氏 ("tribe-clan"), Chinese people since the turn of the Han dynasty have in fact primarily gone by their clan name rather than their tribal name. For example the then-ruling House of *Liu* 刘 was originally a clan within the Tribe of *Ji* 姬 (descended from *King Kang of Zhou* 周康王), but the Book of Han 汉书 hardly ever calls any attention to this fact. It is possible that over time the distance to a tribe's common ancestor became so great that the clans lost any sense of tribal solidarity and decided to all go their separate ways after the First Emperor of Qin uprooted what was left of the Zhou system of hereditary fiefs.

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Review of A New Comprehensive Chinese-English Dictionary

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Following an onomasiological approach, Professor Chan Sin-wai's *A New Comprehensive Chinese-English Dictionary* (hereinafter 'NCCED'), which marks 'the birth of the first Chinese-English dictionary compiled by Robert Morrison [two centuries ago] in 1815' (Chan 2015, 9; Chan 2016, iv), represents a milestone in the long line of Chinese-English (hereinafter 'C-E') dictionaries.

There are several major kinds of onomasiological arrangements in the history of C-E dictionaries, namely, Romanisation-based, radicals-based, and strokes-based, with the first being the most popular (e.g. Giles 1892; Editorial Committee of the Beijing Foreign Languages Institute 1978; Hui 2003; Liang and Zheng 1999/2003; Wu 2009) [1]. They all share a characteristic: under each lemma – 'head-character' as far as the Chinese language is concerned – are only words or phrases starting with it. To provide users with the most efficient consultation experience, Chan the lexicographer has also included under each headword the semantically-related lexical items derived from it. Intended for language learners (Chan 2016, i), language professionals and translators (iv), NCCED is, in a sense, an activator!

In three volumes, the whole dictionary consists of three main parts. The first is 'Introduction', which is followed by the body – the dictionary proper. A 30-page 'Stroke Index' makes the final part. The introduction is bilingual: prior to the 35-page English introduction is a three-page counterpart in Chinese, which seems to be a *précis* of the English version, in which the lexicographer elucidates his 'new concept' (Chan 2016, v) and 'new format' (xiii) of C-E dictionaries for 'a new trend' (xxiii) – one 'in the compilation of printed Chinese-dictionaries that are both *phonetics-based* and *semantics-based*' (Chan 2015, 19, italics added). In addition, the lexicographer has taken the opportunity of the introduction to outline the three types of C-E dictionaries – small-scale ones under 1,000 pages, medium scale ones between 1,000-1,500 pages, and large-scale ones over 1,500 pages – and the three phases of development

of C-E dictionaries: 1815-1965 in the first period; the next two decades (1966-1986) in the second, and 1987-2015 in the third.

The main text (dictionary entries) spans three volumes, where the headwords are arranged in an abecedarian order in accordance with the *Pinyin* Romanisation. Much as it is correct to state that such sequencing is the commonest in the C-E lexicographical history, Chan's Hong Kong-published reference tool breaks the local onomasiological tradition where the overall list of entries are usually arranged according to the number of strokes of radicals and characters, a long-standing practice since second-century China (the Eastern Han dynasty). The first volume starts with 'A' (*a* 阿) and ends at 'H' (*huo* 鑊), the second with 'J' (*ji* 几) and at 'S' (*suo* 鏁), and the final with 'T' (*ta* 他) and at 'Z' (*zuo* 酢).

The 'Stroke-Index' provides an alternative consultative method for users – not least Cantonese speakers in Hong Kong – who may not be familiar with the Mandarin pronunciation of the characters concerned. The number of strokes of characters is based on the Traditional Chinese script.

There are various major features of this dictionary. First of all is its wide coverage. There are over '60,000 single-character headword entries and multiple-character sub-entries and over 420,000 English equivalents (Chan 2016, iv), which are from seven sources: a) the corpus Chan established when he worked on A *Biliterate and Trilingual Dictionary* (iv); b) the glossaries he consulted when he 'worked on the terms of a number of academic disciplines' (iv); c) the data collected when revising and updating a well-known C-E dictionary (iv); d) 'the expressions and terms' the compiler gathered together from his own translation experience in a wide array of genres and topics (iv-v); e) equivalents obtained by the lexicographer when he rendered 'works by or on high-ranking officials in China' (v); f) the translations he collected when revising and editing dictionaries in both directions, i.e. English-Chinese and Chinese-English alike (v); and g) 'the materials of the headword reverse-order entries include normal order entries of this dictionary as well as entries in other reverse-order dictionaries' (v).

A glance at the dictionary reveals that the lemmata are not only from a wide array of topics but also from the full spectrum of the register of the Chinese language. While there are entries from the higher end of the register such as '*shuori* 朔日' (Chan 2016, 2175), '*shuoda* 碩大' (2175), and '*liji liren* 立己立人' (1865), more colloquial linguistic items are also entered such as '*zhengru wo suo shuo* 正如我所說', '*ni dao haoyisi shuo* 你倒好意思說' (2175), to name but two. Entries display a great diversity of linguistic levels, too – from single-character interjections to phrases and sentences, like the aforementioned examples.

The second feature, which is a breakthrough, is that entries are arranged according to keywords. In other words, lexical items demonstrating 'semantic interrelatedness' cluster under a particular lemma with a view to making the dictionary a 'holistic' one (Chan 2016, xiv). A brief example will throw light on the working of this dictionary.

The entry of *zuo* 怍 is reproduced thus for illustration (3304):

zuo
[怍] (1) ashamed; shame; (2) blush; change colour
[怍色] blush; colour; feel ashamed;
[怍意] be ashamed; feel ashamed;
愧怍 ashamed;

After the English translations of the entry character, the equivalents of the words starting with the head-character follow. Words in reverse order of the lemma constitute the final part. The immediate advantage of this approach is that users can have the whole picture of the English equivalents of all the semantically relevant words and phrases. Its merit is even conspicuous in the head-character '*zhi* 指' (Chan 2016, 3144). In the entries in its reverse order, the user may have an instant grasp of the English equivalents of different fingers '*zhi* 指' at a glance. Certainly, the reverse order of entries under a lemma in C-E dictionaries is not first seen in NCCED; Yu (1986) is one of Chan's predecessors. Nevertheless, as the lexicographer rightly argues in a conference paper, NCCED 'is probably the first dictionary to use the reverse order at multiple linguistic levels to allow the incorporation of pre-/post-modifies, collocates, and measure words' (Chan 2015, 15).

This novel arrangement of entries provides the lexicographer with a convenient solution when they come to lexical items which allow variations – partly as a consequence of the flexibility in the Chinese lexicon (see Lee 1993, 7-14; Lee and Tse 1994, 16-18). – in idioms and in the positions of the key words in common expressions (Chan 2015:11-12). It also makes it possible to treat entries with infixes, sentence patterns and 'set expressions with a certain pattern' in a systematic manner (ibid: 12). More importantly, this approach allows the possibility of a bird's-eye view of all words and phrases to be presented under the same head-character, strengthening the role of the reference tool under review as an active dictionary.

Furthermore, unlike many large-scale dictionaries which are densely crowded with words in small print, the font size and line spacing are carefully calibrated so that users may conveniently locate the entries required. The well-ordered layout further provides readers with great clarity and convenience. The head-character is placed in lenticular brackets and all entries beginning with it are in square brackets. Lemmata in reverse order are not only in a smaller font size, but also indented so that users can make a distinction between the entries in the normal sequence and those otherwise.

Much as NCCED is absolutely a trendsetter, there are various aspects where fine-tuning and expansion might be considered for its second edition. First of all, while NCCED is a large-scale dictionary coming after Wu (2004) and Cao (2002), according to Chan (2016, xxiii), one is likely to wonder about the exclusion of entries which are available in a great many fellow dictionaries (Liang & Zheng 1999/2013; Wu 2009; Du 2016), if not all. One of them is '*xingzai lehuo* 幸災樂禍', although no dictionaries seem to be able to provide its *mot juste*

– 'schadenfreude', a loan word from German. One might also be curious, for instance, as to why '*buren buyi* 不仁不義' is not entered along with '*buren* 不仁' (Chan 2016, 206) or '*buyi* 不義' (213), for to express the idea of *buren buyi* in English, as an expression of anger, is apparently not the sheer sum of the formula of putting the English equivalents of *buren* and *buyi* together.

Moreover, as a dictionary published in Hong Kong by a Hong Kong lexicographer in the Traditional Chinese script, one would expect to see entries from Hong Kong society. Indeed, '*Chifenzhe* 持份者' – the Chinese neologism by the Hong Kong Government to serve as a translation of 'stakeholder' – is one of the examples (326). Nevertheless, users might be surprised by the absence of '*dalüshi* 大律師' under '*lüshi* 律師' (1428), one of the two professional qualifications of lawyers according to the local legal system inherited from that in England and Wales, much less the omission of '*zishen dalüshi* 資深大律師' (senior counsel).

Furthermore, providing the historical development of twentieth century China, there are lexical variations in Hong Kong, Mainland China, and Taiwan. Sometimes, a word may have a certain sense in Hong Kong but another in the other two regions. Nonetheless, due attention has neither been paid to this linguistic phenomenon. '*Renliu* 人流' is a case in point (1868). While the meaning of the word is usually 'pedestrian movement' or 'visitor flow' (such as in shopping malls) in Hong Kong, it – being an abbreviation of *rengong liuchan* 人工流產– refers to artificial abortion in the Mainland. Nevertheless, only the English equivalents of the former sense are found; the sub-entry of *rengong liuchan* is not even included under '*rengong* 人工' (1864). Some indication of the variety of Chinese to which a polysemous word belongs, if applicable, would have provided, without any doubt, immense help to the users. Another example is the Chinese equivalent of 'quality'. While it is '*zhisu* 質素' in Hong Kong, it is '*suzhi* 素質' in the Mainland. Nevertheless, only the latter (2204; 3171) has been entered.

To the disappointment of its users, perhaps, the dictionary hardly contains any examples, despite its voluminous English equivalents it boasts. According to Atkins and Rundell, examples may help 'illustrate usage, and are often a helpful complement to the definition. A well-chosen example can also clarify sense distinctions in a polysemous word' (2008, 454). In addition, 'examples have an important role in illustrating the word's contextual range. This is especially important in dictionaries aimed at learners' (454). Without examples, users of the present work who are presumably and primarily non-native speakers of English may need to take the extra bother to look up the equivalent(s) provided in an English-English dictionary to ensure naturalness in the English text. Although 'the scope and intent of the dictionary and the planned size of the book have a role to play in the amount of verbal illustrations' (Kipfer 1984, 75), space does not seem to be the first priority in a 3000-page large-scale dictionary.

Moreover, information on the register and variety of English is not given. Take 貨車 under '*che* 車' for instance (Chan 2016, 293). Several equivalents corresponding to three senses of the Chinese original are provided:

(1) freight train; goods train; (2) goods van; (3) lorry; truck (ibid)

The English suggestions are by and large based on the predecessors of NCCED such as Hui (2003) and Chinese-English Dictionary Editorial Committee of the Beijing Foreign Languages Institute (1978). While 'lorry' is generally used in British English and 'truck' in American English, such information is not provided, risking the possibility of misleading the users, not least language learners, into believing that they are fully interchangeable. Other examples include 'bonnet vs. hood' for '*yinqinggai* 引擎蓋' (Chan 2016, 2889) and 'boot vs. trunk' as a translation of '*xinglixiang* 行李箱' (2644). Sometimes a translation in only one variety of English is provided in cases where it is generally accepted that there are two ways of spelling in British and American English. '*Chetai* 車胎' under '*che* 車' and '*huise* 灰色' under '*hui* 灰' are the quintessence of this problem. Whilst the British spelling 'tyre' is provided, its American counterpart is not mentioned (292). Nevertheless, as an equivalent of '*huise* 灰色', only the American spelling – 'gray' – is given (979). A consistent spelling policy may be instrumental in preventing the users from the danger of stylistic mishmash.

Unlike many large-scale dictionaries such as Wu (2009) which are in one single thick volume [2], NCCED is in three volumes with approximately 1,000 pages in each. The reduction in weight in each volume contributes a pull factor for consultation. Nevertheless, that it does not have a searchable electronic text along with the printed version could be a push factor for buyers, not least its comparatively high price is taken into consideration. When compared with its E-C counterparts such as *Oxford Advanced Learner's English-Chinese Dictionary* 牛津高階英漢雙解詞典, *Longman Dictionary of Contemporary English (English-Chinese)* 朗文當代高級英漢雙解詞典, and *Macmillan English-Chinese Dictionary for Advanced Learners*, to name but a handful, C-E dictionaries seem in general less developed in this regard, for all these dictionaries in the opposite direction have provided an electronic version along with the printed work at least a decade ago. With the rapid development of technology in translation in recent years, there is a higher expectation of translation speed (see Cheung 2020), which may further render this dictionary uncompetitive and unattractive.

There are also some minor inconsistencies, which are likely to be the consequence of the mixed sources of entries and English equivalents from Chan's own translation and editing experience. There are three examples. The first is a sub-entry '*paozuo* 砲座' under '*zuo* 座' and the equivalent provided is 'gun platform'. Right beneath 砲座 is '*paozuo* 礮座' and 'barbette; gun platform' are the English translations (Chan 2016, 3305). Semantically speaking, 礮 and 砲 are identical. Their difference is an orthographical one. The former is a more ancient character commonly seen in classical works while the latter is a simplified variant which emerged in later centuries. In order to be 'comprehensive', as the title suggests, and to be 'holistic' as what the lexicographer champions, it is understandable that the two forms of *pao* are included, although the third variant 礮, which is also frequently seen in dynastic texts, should also be placed along 砲 and 礮 in that sense. At any rate, since there is no difference in the referential

meaning between 礮 and 砲, it begs the question why 'barbette' is only given as a translation of 礮座 but not 砲座. 寶 and 寶 are another example of orthographical inconsistency. While the former is adopted in '*baopingzuo* 寶瓶座', the latter is in '*baonüzuo* 寶女座' and '*baozuo* 寶座' (3304). As a matter of fact, both characters are identical in every way, except the latter is sometimes found in handwritten dynastic texts. Providing that the former has become the standard form in Hong Kong, readers might expect that the former is used in a consistent way throughout. The final example is 'railway platform'. While it is known as 月台 in Hong Kong and Taiwan and 站台 in Mainland China, 臺 is adopted in the entry '*yuetai* 月臺' (3007) but 台, the variant with fewer strokes, is entered in '*zhantai* 站台' (3058). Lack of consistency is also seen in the choice of entries. An example is the head-character '*sha* 殺', under which are both '*zisha* 自殺' and '*tasha* 他殺' (p. 1952). While '*zisha* 自殺' appears under both '*zi* 自' (pp. 3264-5) and '*sha* 殺', *tasha* is found only under '*sha* 殺' but not '*ta* 他'.

Moreover, I have reservations about the English translations of individual entries. The English translations given for '*zhixiao* 至孝' is 'extremely filial' (3158). Nevertheless, in no way does 'filial' seem to have any semantic connection with '*xiao* 孝'. In fact, what this core virtue of Confucianism means is 'behaving in the right way as a son/daughter' (*shan shi fumu zhe* 善事父母者, see Xu 1963, 173), according to Xu Shen's *Shuowen jiezi*. There are two major senses of 'filial' in the *Oxford English Dictionary*, under which there are three sub-senses respectively, which are reproduced in full:

1. Of or pertaining to a son or daughter. a. Of sentiments, duty, etc.: Due from a child to a parent.
   b. That is the due of a son or daughter. *Obsolete*.
   c. Of a relation, designation, etc.: Characteristic of a son or daughter.
2. a.'Bearing the character or relation of a son or daughter' (Johnson) Now only *transferred* and *figurative* of a thing: That is the offspring of something else. ***Filial generation*** *Biology*, the offspring of a cross, **the *first filial (or F_1) generation*** being the immediate offspring of the organisms selected for crossing, **the *second filial (or F_2) generation*** being produced usually by self-fertilisation or intercrossing of F1 individuals, and so on.
   b. Entertaining the sentiments of a son or daughter. *Obsolete. Rare*.
   c. *absol*. (quasi noun). An off-shoot. *Obsolete*.

Amongst the various senses of 'filial', it seems that senses 1a and 1b are the closest to the concept of *xiao* in Chinese. Nonetheless, it is already an obsolete word as far as 1b is concerned. Moreover, this sense has already been removed in the latest edition of the *Shorter Oxford English Dictionary* (2007) and *Concise Oxford English Dictionary* (2011), the two 'abridged' versions of the *OED*. One may wonder why an English equivalent in its obsolete sense is provided as a translation. Although sense 1a is somewhat similar to *xiao*, 'filial'

actually, more often than not, precedes a noun as a modifier. Therefore, while 'filial' in a sense may be a legitimate translation of *xiao*, some other ways of translation should also be given in order to meet the contemporary demand.

Another example is '*renxin renshu* 仁心仁術'. The English translation that Chan gives is 'with both a benevolent heart and healing art' (Chan 2016, 1885). A comparison with the translations in other C-E dictionaries shows that Chan's version is original (e.g. Mathews 1943; Lin 1972; Wu 1994). Nevertheless, '*shu* 術', instead of a 'healing art', in fact means 'road in a state (*yi zhong dao ye* 邑中道也)' (See Xu 1963, 44). From it is derived the senses 'method' and 'skills'. Nevertheless, what *shu* means in this idiom is highly likely to be the former – 'method' – if the mode of thinking in Chinese is brought into play. In pursuit of stability, the Chinese language has a strong preference for a sense of balance (see Cheung 2019). While *xin*, the character meaning 'heart' – how one thinks – represents abstraction, *shu* meaning 'the way' makes the concrete component of this lexical construction. Therefore, the core idea of '*renshu* 仁術' is that the method adopted is in the best interests of the patient, not how effective the doctor is in treating him/her. Therefore, 'professionalism', for example, may as well serve as a translation of this phrase, depending on the context.

A further example I hope to give is '*nanzun nübei* 男尊女卑' (Chan 2016, 3294). The translation provided by Chan is 'male superiority and female inferiority'(3294). As mentioned, there is a strong preference for a sense of balance in Chinese. Therefore, male superiority and female inferiority are mentioned simultaneously in the Chinese original. Nevertheless, the most natural equivalent in English is simply male dominance.

There is a more fundamental problem, which is not a unique one in Chan's work – it is prevalent in the better part of C-E dictionaries. It seems that the users are assumed to have a firm grasp of the meaning of the Chinese entries. In fact, this is far from truth, for users may be interfered by the reflected meaning (the one springing to mind at first glance)[3], resulting in misinterpretation. Moreover, unlike the English language where there is a rather clear-cut lexical boundary between contemporary English and older periods of English, say, Middle English, a massive number of words originating in Classical Chinese are still prevalent in modern vernacular written Chinese. Below is a quote from an essay by Frederick Tsai (1918-2004), a local Chinese essayist and translator:

> 我看友人某兄的文集，他教我看到錯告訴他，我看到一些，不過没有指出。
> 不是對他<u>不忠</u>，是怕我看得不可靠。(思果〈煩惱〉Tsai 1994, 50)

The translations provided in NCCED for '*zhong*' 忠 are '(1) devoted; honest; (2) constant; faithful; loyal; patriotic; sincere' (Chan 2016, 3178) and those for '*buzhong* 不忠' are 'be unfaithful to; infidelity; two-time' (3179). Chan's English equivalents are all correct because according to the traditional glosses in the classical texts, the essential meaning of *zhong* is 'doing one's best' (*jin ji zhi wei zhong* 盡己之謂忠), from which is derived the meaning of loyalty. Nevertheless, none of which is the most precise translation of *zhong* in Tsai's quote.

Much as 'devoted' may serve as a translation of the fundamental meaning of *zhong*, it does not do justice to the favour the essayist was asked: highlighting any mistakes he came across while reading – obviously this was not a formal proofreading task as the verb '*kan* 看'suggests.

Perhaps the following entry may throw further light on this fundamental problem of C-E dictionaries. Chan provides four English equivalents for the idiom '*wei fu buren* 為富不仁': 'rich but cruel; rich but immoral; wealthy but unkind; well off but uncharitable' (Chan 2016, 206). Semantically speaking, all the four options may be accurate translations, but certainly, they are not interchangeable. Providing that the target users of NCCED are not only language professionals and professional translators, but also language learners, one may wonder – considering the current translation programmes worldwide – whether the grasp of Chinese of the language learners is solid enough to make a learned choice. A solution is to provide explanations of the more complicated Chinese characters where necessary. This is a desideratum to be further explored in depth in lexicography.

In the foregoing pages, while several aspects causing concern have been highlighted, in addition to an introduction of the major features of NCCED, in no way do they impugn the great value and academic breakthrough of this extraordinary work. As Dr Johnson argues, lexicography is an arduous task that [bears] 'burdens with dull patience, and [which beats] the track of the alphabet with sluggish resolution' (Johnson 1747). Therefore, notwithstanding some aspects where recasting is hoped to be seen, Chan's effort is admirable; and this dictionary definitely deserves a place in the bilingual lexicographical history. My criticisms in some way represent some of the *terrae incognitae* in lexicographical research on the development of C-E dictionaries, but Chan's onomasiological innovation, undoubtedly, speaks volumes about a great stride in dictionary-making!

Notes

[1] *Lin Yutang's Chinese-English Dictionary of Modern Usage* compiled by Lin Yutang (1895-1976) is quite an exception. Lin developed an 'Instant Index System (*shangxiaxing jianzifa* 上下形檢字法). See Lin (1972). This newly invented system is inherited and improved in *The New Lin Yutang Chinese-English Dictionary* (see Lai and Lin eds. 1987), a revised edition of Lin (1972).

[2] Its previous edition is actually in two volumes. See Wu (1993).

[3] Leech (1981) argues that there are seven types of meaning (9).

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