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Editor's Note

Long-time readers of *Translation Quarterly* must have noticed that, beginning with Issue 43, the journal has assumed a new look. While the number of pages has not been reduced, the volume weighs less heavily on the hands. We have chosen more stylish covers, and the glossy white paper used will, it is hoped, be more pleasing to the eye. At the same time, the Editors will work hard to ensure that these improvements in aspects of material production will be matched by the high quality of the articles to be included in the journal.

The first article in this issue is a joint contribution by Zhang Meifang and Lin Zuoshuai. Having spent considerable time in Mainland China, Hong Kong and Macau, Zhang Meifang is perhaps in a better position than most to comment on regional stylistic differences in the translations produced by these communities. Drawing on the methodology of discourse analysts, she and her colleague present a wealth of examples which readers of this journal will find engaging as well as exciting, to demonstrate the special linguistic features of advertisement translation in Hong Kong and Macau. The attention that the authors give to the "user" of advertisements is a powerful corrective to much theoretical translation research that loses sight of the pragmatic aspects of the task.

"Pragmatics," indeed, is the keyword to Shao Lu's article on "constructivist translatology." Currently a doctoral student at the Department of English Language and Literature, Hong Kong Baptist University, Shao advocates a new research model which has advantages over, and will hopefully supersede, current linguistic and poststructuralist approaches to translation. Capitalizing on the "pragmatic turn" adumbrated by philosophers like Austin, Searle, Quine and Davidson, constructivist translatologists (Shao claims) aim to develop a paradigm of cross-cultural communication that can reinvigorate Translation Studies. Shao offers an insightful application of Jürgen Habermas's theories, and her article dazzles by its coverage of a wide range of philosophical standpoints.

Nigel Reeves, who was named Honorary Fellow of the Hong Kong Translation Society last winter, has shown his unflinching support for the journal by contributing an article on influence/ reception studies. His insightful analysis of the English and German translations of Bai Juyi's poems, written jointly with Liu Shusen and published in Issue 40, may still be fresh in our readers' memories. Now he has returned to a country he knows very well—Reeves is renowned for his English translations of Heinrich von Kleist—and taken as his subject Bertolt Brecht, whose images of China are already deeply etched in the German consciousness. Recently retired from Aston University, Reeves continues to be engaged in research on Chinese-German literary relationships. We should all look forward to finding out more of what he has to say about this under-researched area.

The short article by Huang Wen-fan is a thought-provoking contribution to the perennial discussion on how an English-Chinese dictionary can be compiled specifically for literary translators. It is the text of a speech Huang delivered on the occasion of his being awarded an Honorary Fellowship by the Hong Kong Translation Society in 2005.

Leo Chan

December 2007

港澳地區商業廣告翻譯的粵語特色

張美芳　林作帥

Abstract

Cantonese Features in Advertisement Translation in Hong Kong and Macao (*by* Zhang Meifang *and* Lin Zuoshuai)

Commercial advertisements are an important channel for enterprises to promote their images and products, while commercial advertisement translation is a necessary means to expand the scope of their publicity. Therefore, enterprises, as well as commercial advertisement translators, employ all their skills in creating/translating effective advertisements in order to attract the potential consumers' attention. Commercial advertisements in the Hong Kong and Macao Special Administrative Regions usually appear in two or three languages: Chinese-English; Chinese-English-Portuguese. But, embedded in the Chinese version of the advertisements used in Cantonese-speaking areas are Cantonese expressions or features. This paper is intended to explore the Cantonese features in commercial advertisement translation and discuss possible factors behind them. It will start from an overview of the components and textual characteristics of advertisements, followed by an analysis of advertisement headlines or slogans and their translations. Then a discussion will be conducted on the findings and their implications.

一、引　言

商業廣告是商家展現自己形象及推銷產品或服務的一個重要途徑，廣告翻譯則是商家力圖擴張宣傳範圍和效果的重要手段。因此，各行各業的商家們都絞盡腦汁、使出渾身解數，在廣告宣傳上巧做文章，以擴大自己產品的影響，從而激起更多的意向消費者的購買欲望。

本文主要是對港澳地區商業廣告翻譯中的粵語特色進行考察，並探討產生這些特點的成因。由於有過被西方殖民管治的歷史，香港、澳門兩個特別行政區的語言環境特別複雜：香港的法定官方語言為中文和英文，社會上則通行“兩文三語”（即“中文、英文；粵語、漢語、英語”）；澳門的情況更複雜，其法定官方語言為中文和葡文，但有些學校和商業機構的工作語言是英語和漢語，絕大多數老百姓平日講粵語，還有一小部分人講日語、韓語、泰語和菲律賓語。

香港和澳門都是國際性的城市，每年都有大量的旅客到此旅遊觀光、商務洽談和學術交流。據報導，2006 年訪港和訪澳的人數均超過兩千萬。因此，為了擴大商機，這兩個地區的廣告大都以雙語或三語的形式出現。另一方面，由於這兩個地區處珠江三角洲前沿，背依嶺南文化深厚的廣東省，區內居民以說粵語者居多。因此，我們常常看到帶有濃郁的粵語特色的廣告及其翻譯。本文擬從廣告語篇的特點及其製作手法入手，分析港澳地區商業廣告的標題和口號中譯本中的粵語特色，探討產生這些粵語特色的可能的成因，希望為同類的翻譯實踐與翻譯教學，以及為粵語方言研究提供一組參考資料。

二、廣告語篇及其語言

（一）廣告語篇的組成部分及其特點

什麼是廣告？《辭海》（1979: 844）對其做出如下定義：向公眾介紹商品、報導服務內容或文娛節目等的一種宣傳方式。一般通過報刊、電視臺、招貼、電影、幻燈、櫥窗佈置、商品陳列等形式來進行。圖表 1 展示的是一則廣告的構成成分（圖表參閱了戚雲芳，2003: 6，由筆者整理而成），其中的各種成分是選擇性的：

廣告	視覺部分	語言文字（標題、正文、識別標記（口號和商標））
		非語言文字（主要由插圖、商標、品牌、外緣和空白等部分構成）
	聽覺部分	廣告詞、音樂、音響

表 1. 廣告的構成成分

經濟學家范思東（O. J. Firestone）曾說過，廣告的主要功能是說服消費者去購買（見戚雲芳，2003: 6），由此可見，創造說服力變成了商家花錢做廣告的首要目的。在資訊爆炸的時代，商業舞臺上展開廣告宣傳大戰之時，如何才能合理利用資源、有效地產生說服力呢？這是擺在眾多商家和廣告策劃者面前的一個重要的問題。當然，產品或服務的品質是首要的，但是廣告的作用也不可輕視。產品和廣告的關係就如同麵包和黃油的關係一樣，適量的黃油會增加麵包的風味，但如果黃油過量，就會適得其反，使人膩煩。廣告大師大衛 • 奧吉維（David Ogilvy）一語道破

真諦：廣告最重要的就是要有“真正的感染力”（1983: 9）。

要研究廣告語篇，首先要瞭解什麼是語篇。“語篇”是系統功能語言學的一個重要概念。用韓禮德（M. A. K. Halliday）的話來說，“語篇是在某個語境中起作用的語言”（Halliday & Hasan 1989: 10）。語篇是一個語言使用單位，是一個語義（semantic）單位，而不是一個比句子大的語法單位。句子和語篇之間的關係不是高低大小的關係，而是體現和被體現的關係。因此，一篇文章、一段文字、一句話、甚至是一個詞，只要是意思完整而且可以在某個語境中獨立起作用的，都可以構成一個語篇。本文研究的廣告語言是使用中的語言。因此，廣告中意思完整的、可以獨立起作用的一個詞（例如“大拍賣”）、一個片語（例如“只溶在口，不溶在手”）、一個句子（例如“滴滴魯花，香飄萬家”）、一個段落或是一篇文章，都被視為一個完整的語篇。

為了使廣告具有真正的感染力，廣告語篇必須具備四個要素：獨特性、誘導性、針對性和可接受性。只有同時具備這四個要素，一個廣告語篇才能發揮預期的作用，為商家帶來豐厚的利潤。從圖表 1 可以看出，一個廣告包括很多可選擇成分。限於篇幅，本文將重點討論廣告的標題和口號的翻譯。

標題是廣告的主題，是其內容的高度概括。一般說來，廣告標題應是資訊清晰和富有感染力。根據奧吉維的經驗，讀標題的人數是讀正文人數的 5 倍（Ogilvy 1983: 139）。這一點，我們都深有體會，每天面對海量的廣告，只有那些寫得生動活潑的標題，才會引起我們興趣，才會促使我們繼續讀下去。總而言之，廣告標題的功能可歸納為以下兩點：點出廣告的主題，引起讀者的興趣。要達到預定的功能，成功的廣告標題一般都是簡潔清

晰，通俗可讀的。

廣告口號跟廣告標題在語言結構方面有相似之處，但其目的和功能又不大相同。換句話說，一個企業可能同時推出多個產品，每個產品廣告都有自己的標題，然而，同一個企業的所有產品都可能使用同一個口號。廣告口號的目的是維持廣告宣傳的連續性，加強企業在消費者心中的印象，使企業及其產品或服務在受眾群體中形成固定而良好的印象。由於廣告標題和口號一樣具有簡明可讀和富有感染力的特點，不少廣告標題經一段時間使用後成功地演變成為廣告口號，因此在一些廣告中標題和口號合二為一。基於這種情況在粵語廣告中也比較常見，本文將標題和口號放在一起討論。

（二）廣告語篇的參數

我們在前面提到，港澳地區帶有濃厚的粵語文化特色的廣告及其翻譯引起我們的研究興趣，促使我們對這一專題進行考察。那麼，究竟是什麼因素決定語言的使用及影響譯文的製作過程呢？哈提姆和梅森（B. Hatim & I. Mason）認為，我們可以從不同的角度來分析這樣的問題，例如可以“從語言使用的媒介（語音、圖表）、使用模式（辭彙語法的佈置），以及使用的情景（相關的超語言特點）等”（1990: 38-39）。

韓禮德等人（Halliday, McIntosh and Strevens 1964；Halliday 1994）則提議從兩個方面對語言的變數進行描述與分析，一是在特定的語言事件中的使用者（user），即講話者或作者；一是語言的使用（use）。對使用者的研究通常包括：方言特徵（dialect features），使用者所處的時間、地域和社會。對語言使用的研究

通常從語域分析開始，分析的參數包括：話語範圍（field of discourse）、話語基調（tenor of discourse）和話語方式（mode of discourse）。話語範圍指的是正在發生什麼事，所進行的社會活動的性質、特點、語言所談及或描述的是什麼。話語基調指的是誰是交際者，他們的基本情況、特點、地位、角色、關係等。話語方式指的是語言在交際中所起的作用，包括交際管道（書面的還是口頭的）和修飾方式（參見 Halliday 1994；Halliday & Hasan 1989；Hatim & Mason 1990: 38-39；Bell 1991: 8-9）。

限於篇幅，本文的第三節將主要從粵語特色這一角度來分析港澳地區商業廣告語篇的語言特點及其效果，然後在第四節中將引入韓禮德的語域分析理論，探討廣告語篇中使用方言的原因。

三、案例分析：商業廣告翻譯中的粵語特色

香港和澳門地區的廣告多以“英文－中文”或“中文－英文”的形式出現。本節將重點探討這兩個地區以英語為原文、以中文為譯文的廣告標題或口號的翻譯。港澳地區所有的中文版本都是使用漢字繁體字，這也是這兩個特區的中文使用的重要標誌之一。為了展現廣告文本的本來面目，我們保留了廣告中原有的漢字書寫形式。以下對五組廣告標題或口號進行分析。

（一）使用粵語口語虛詞，增強廣告口號的感染力

例 1：麥當勞速食店廣告標題

原文：McValue Happy Days, Get More out of your day.

譯文：麥超所值大日子　開心密密“吔”

例 2：嘉士伯啤酒廣告口號

原文：The Original Beer

譯文：原來“嘅”啤酒

例 3：生力清啤廣告口號

原文：San Miguel, Wild Day Out!

譯文：生力清啤，有啲“嘢喎”！

例 4：M&M’s 巧克力口號

原文：Only melts in mouth, not in hand …

譯文：只溶“喺”口，唔溶“喺”手……

分析：第一組譯文的共同特點，就是都含有只有粵語口語中才出現的一些虛詞。這些詞極具粵語特色，是粵語地區的人們創造出來的，通常是給已有的漢字加上一個“口”字偏旁而成。這些詞的發音跟原來的字旁的發音有些微的差別，在字典中查不到。其中，例 1 和例 3 中帶“口”字旁的詞為句末語氣助詞。“吔”表示興高采烈、手舞足蹈的意思；“嘢”意指“東西”，“嘢喎”表示對那件東西有驚喜的發現。例 2 的“嘅”是一結構助詞，功能相當於“的”；例 4 的“喺”是一方位助詞，功能相當於普通話的“在”或“於”。此外，例 1、3、4 還有自己獨特的隱含意義。例 1 原文中的 McValue 有隱含意義，指麥當勞

（McDonald）的價值（Value）。譯文中的“麥”是 Mc 的音譯，而“值”則是“Value”的意譯，其巧妙之處是，譯者仿擬了漢語成語“物超所值”，創造了一個仿詞“麥超所值”。更妙的是，“物”與“麥”在粵語中發音非常相似；因此，很容易引起粵語受眾的興趣。例 3 將代言人“San Miguel”的名字略去，代之讚美的是被代言的商品品牌，直截了當，省去了受眾解碼的麻煩，較符合現代生活的快節奏。例 4 的譯文不僅保留了原文的對比，還充分發揮譯文的優勢，將其譯成韻文。可見，譯者在這組廣告標題或口號的翻譯上很動了一番腦筋。

譯者採取如此譯法的目的，在於縮短和受眾之間的距離，達到交際雙方地位同等的效應，好像廣告中的講話者就是鄰家的大哥，從而產生良好的誘導性。哈德遜（R. A. Hudson）（1980/1996: 122）曾指出，交談（speech）反應了交際雙方的社會關係，尤其是權勢（power）或等同（solidarity）關係。“權勢”一詞可以自行解釋，“等同”關注的是人們之間的社交距離——他們共用多少經驗、共用多少社交特點，多大程度上願意與人保持親密，等等。誘導性也即廣告訴求，指的是外界事物促使人們從認知到行動的心理活動。廣告訴求是針對消費者的需要、需求，通過各種辦法（如媒介），由語言、符號、形象等所傳送的商品資訊或勞務資訊引起目標受眾的注意，使他們產生興趣和購買欲望，最後採取行動，從而使目標受眾獲得他們所期待的滿足。

（二）利用語碼轉換，增強廣告的效果

例 5：宜家家私廣告標題

原文：Let us Have Fun Together.

譯文：Fun 享笑聲是時候

例 6：速食店廣告口號

原文：Dipping Fun For Everyone

譯文：點點都 Fun

分析：在第二組中，例 5、6 譯文的共同點是利用了“語碼轉換”（code switching）的手段，即在一句話當中出現兩種語言。語碼轉換是兩種語體的混合，是“任何說雙語者根據場合的需要在兩種語言之間的轉換”（Hudson 1980/96: 51）。由於歷史的原因，港澳地區說兩種語言的人很多，為了表達的便捷，語碼轉換現象比較常見。如“開支票”通常會說成“開 check”、“付現金”通常會說成“比 cash”、“參加晚會”則說成“去 party”等。很多英文單詞漸漸演變為粵語中的新詞。粵語只是一種口頭上的方言，不是書面語言，其結構不是很嚴謹。但是也正因為這一點，粵語具有較強的吸收性和動感活力，比較容易接受外來的新事物，表達概念的辭彙也相對比較豐富。同時，對於非雙語者來說，粵語中夾雜英文可以滿足那些追求時髦、崇拜外國先進技術的人的心理需要，引起他們的購買欲望，從而達到商家廣告宣傳的目的（參見黃國文，2001: 291）。

例 5 的譯文保留了原文中的英文名詞 fun，以表示“高興的心情”。Fun 一字夾在漢字裏面，很搶眼，容易引起受眾的注意；接下來一讀的話，“Fun 享笑聲是時候”中的 fun 的發音跟粵語的“分”的發音相同，在音效上又形成了諧音，真可謂妙趣橫

生。例 6 的譯文亦是採用了表示“分享樂趣”的 fun 一詞，同樣具有搶眼的效果。原文的 Dipping Fun For Everyone 既表明這種食物是需要蘸着醬汁吃的，也強調“蘸”給每個人都帶來樂趣。譯文通過重複動作性名詞“點點”和保留英文名詞 fun（即分享歡樂），把這種強調效果巧妙地傳達了出來，因為“點”在粵語中可用來指“蘸”。兩例譯文的成功之處在於形象、生動、易記、朗朗上口。

（三）使用帶有勸諭特點的辭彙，表示對受眾的關懷

例 7：報紙廣告口號

原文：Better Quality Lower Price

譯文：優質更“抵買”

例 8：渡輪上的告示標題

原文：Not Valid For Tourist Groups

譯文：旅行團“不准”使用

例 9：雜誌廣告標題

原文：Easy Take Slimming Centre

譯文：“好得”減肚瘦身“專門店”

例 10：百佳超級市場的口號

原文：Everyday Saver

譯文：日日“慳”

例 11：百佳超級市場的口號

原文：We’re watching out for you

譯文：有我“睇實”至放心

例 12：屈臣氏廣告口號

原文：Your Personal Store

譯文：“更加”關心您

分析： 第三組譯文的共同特點就是使用了粵語口語中一些非正式的、很隨意的、極具人性關懷的辭彙。譯者正是通過這種策略，拉近了自己和受眾之間的距離，把受眾的資訊解碼過程簡化再簡化，從而產生一種潛移默化的效果，使受眾對商家的服務或商品產生一種親切感和信任感。憑字面意思，我們可能把例 7 譯成“質優價廉”。這樣的譯文雖然工整，但作為廣告口號讀起來感覺生硬。粵語譯文“優質更抵買”中的“抵買”一詞意為“值得購買”。“抵”字常常在粵語中出現，譬如“這件貨品好抵”，即“這件貨品很划算”；又如“他這份人真是十分抵死”，即指“他這個人真是很能開玩笑”之意。對於非粵語區的受眾，例 8 中“不准”的使用可能有些不太客氣，而在粵語中，“不准使用”語氣比較隨便，表示說話者不希望對方做某事；在書面及比較正式的場合，“不可使用／不能使用”比較恰當且得體。正是這種比較隨意的語氣，使受眾對發話者產生一種親切感和等同感。例 9 的譯文採用了“好得”和“專門店”等家常熟語，而沒採用“容易”和“中心”這樣比較正式的表達方式，原因亦是如此。例 10 中的“慳”是一個典型的粵語辭彙，實為“慳

儉”的簡稱，“節儉”的意思。簡化詞是粵語中很普遍的語言現象，例如“他這份人很豪”，“豪”即“很豪氣、大方、不吝惜”；又如“他這份人很削”，即“他的表現真是強差人意”。此外，例 10 的原文 Everyday Saver 一語雙關，既可理解為這是“每天幫您省錢的商家”，也可理解為“如每天來光顧該商店，那您就是個會省錢的顧客”。譯文“日日慳”雖然從原來的名詞片語變為動詞片語，但原意基本上不變。對於消費者、尤其是對於家庭主婦來說，“日日慳”是一樁美事，何樂而不為呢？例 11 中的“睇實”是“幫人照看”之意，例 12 中的“更加”在粵語地區是“更”的強調說法。綜合來看這一組例子可以發現，粵語中一些隨意的、非正式的、表示“關懷和體貼”之意的日常辭彙經常出現在廣告中，商家以此作為手段，拉近自己和受眾的距離，取得他們的好感，從而引起他們對自己商品或服務的興趣。

（四）妙用雙關語

例 13：餐廳廣告標題
原文：Good Noodles Café
譯文：好“麵膳”

例 14：宜家家私廣告口號
原文：Solutions for Better Living
譯文：“宜家”有妙法

分析：這一組譯文的妙處恐怕只有粵語受眾方能領會。例 13

中的“麵”對應的是 noodles，“膳”指“食”，對應詞是 café。粵語中本沒有“麵膳”這一名詞，但譯者將其組合起來產生了一種獨特的效果，因為這個詞的發音跟“面善”相同。受眾一讀到這裏，這是什麼東西？進去瞧瞧。這種諧音效果會引起受眾的興趣，並可能引起他們進一步瞭解的欲望。例 14 的譯文也同樣是諧音雙關。“宜家有妙法”照字面解釋就是“宜家家私有好的辦法幫你解決家居佈置問題”，這樣的口號看起來十分普通。然而，妙就妙在“宜家”二字。“宜家”是該家私公司的名稱，與“而家”諧音。在粵語中，“而家”解作“現在、立即”。如：“我現在去吃飯”會說成“我而家去食飯”。“宜家有妙法”就可引申為“您想美化您的家居嗎？宜家家私公司現在就給您良方妙法。”於是，商家為買家解決燃眉之急的熱情立即展現了出來，從而引起受眾對商家的好感。

（五）妙用外來詞匯，增強廣告的效果

例 15：速食店廣告口號

原文：Amazing Value

譯文：驚喜超值優惠

例 16：唱片鋪的減價廣告標題

原文：Big Sale

譯文：劈價

例 17：速食店宣傳廣告標題

原文：Refreshing
譯文：醒神飲品

例 18：巴士上的通告標題
原文：Macau Pass
譯文：澳門通

例 19：來源－廣告標題
原文：Nice Food Plaza
譯文：食通街

例 20：口香糖電視廣告標題
原文：Xylitol
譯文：曬駱駝

分析：這一組譯例的獨特之處是譯者根據粵語特點創造了一些新的辭彙，以增強廣告的效果。例 15 的原文為一名詞片語，字面意思為“令人驚奇的價值”，但譯文通過將三個沒有語法關係的詞簡單組合，把商家想表達的資訊傳遞給受眾，這個不講語法的粵語詞的組合收到不錯的效果。例 16 曾被很多人翻譯成“賤賣”、“大拍賣”、“出血價”、“跳樓價”，但這些詞語已是耳熟能詳，顧客已不再好奇了，因此，譯者按“big”的發音將其譯為“劈”。“劈價”一詞非常乾脆俐落，讓消費者一目了然，明白到這是不同尋常的大減價。例 17“Refreshing”譯為“醒神飲品”也很有粵語特色。Refreshing 是描述事物特徵的形容詞，意為

“提神”。粵語譯者可能覺得“提神”一詞還不足以表達產品的功能，於是使用了一個富有粵語特色的詞“醒神”（醒目＋提神），並運用了增譯法，在形容詞“醒神”後面增加“飲品”一詞，使宣傳的物件更加清晰。例 18 和例 19 的譯文都用了個“通”字，但其意義大不一樣。例 18 中的“澳門通”（Macau Pass）把乘坐公共汽車用的通用卡比作通行證，持此卡可走遍全澳門；例 19 的原文是“Nice Food Plaza”（美食廣場），而譯文卻是文法不通的“食通街”，意指整個美食廣場的食物色香味俱全，食客可以隨便到任何一家品嘗。例 20 可說是一個音譯，將 Xylitol 按粵語發音譯為“曬駱駝”。不過，常見的專有名詞音譯法通常是選擇沒有特別意義的同音或諧音詞，此例中“曬駱駝”卻帶有奇特的語義，這可能是譯者力圖感染消費者的匠心獨運吧。

四、討論：影響商業廣告翻譯語篇製作的因素

以上我們對港澳地區使用的五組商業廣告標題或口號進行了分析。分析從不同的側面進行：（1）粵語中的功能詞（即虛詞和語氣助詞）；（2）粵語中常見的語碼轉換現象；（3）粵語口語中一些非正式的、極具人性關懷的辭彙；（4）粵語中的雙關語；（5）粵語中按外來詞的概念或發音翻譯過來的辭彙。這些分析包括了哈提姆和梅森所建議的“從語言使用的媒介（語音），使用模式（辭彙語法的佈置），以及使用的情景（相關的超語言特點）等”幾個方面。那麼，為什麼譯者會使用帶有濃郁的粵語特色的辭彙？影響粵語地區商業廣告翻譯的主要因素是什麼呢？下

面從語言使用者及語言使用兩個方面進行探討。

（一）語言使用者

本文的第二節第二部分中提到，韓禮德及其他一些學者提議，對語言使用者的研究，通常應包括研究他們的方言特徵，所處的時間、地域和社會環境。上一節所做的分析讓我們看到了一些明顯的粵語方言特徵，例如中文繁體字的使用、粵語的功能詞（例如“吔”、“嗝”、“嘅”、“嗱”）和語碼轉換（例如“Fun 享笑聲是時候”、“點點都 Fun”）等。為什麼粵語地區使用的中文會有這樣的特徵呢？這個問題可能可以從語言使用的時間、地域和社會環境中得到答案。香港和澳門都經歷了西方殖民主義的統治，直至上個世紀末才回到祖國的懷抱。在西方殖民主義者管治期間，港澳地區的語言自然也就受到了西方語言的影響；另一方面，由於港澳兩地的居民平時大多講粵語。因此，他們所用的漢語帶有濃郁的粵語特色就不足為奇了。香港和澳門在上世紀末回歸祖國後，兩個特區跟大陸的接觸越來越多。隨着居民的普通話水準的提高，也許在若干年後，廣告中的粵語方言特徵可能會逐漸減少，甚至消失。

（二）語言使用

語言使用包括三個要素：語言使用的目的、使用者及其之間的關係、語言使用方式。對語言的研究通常包括這三個部分；它們也被稱為話語分析的參數，即話語範圍（field of discourse）、話語基調（tenor of discourse）和話語方式（mode of discourse）。本文所研究的是商業廣告語篇的翻譯及其語言特色，商業廣告的

最終目的就是吸引消費者去買其推銷的產品或服務。要吸引消費者，廣告的製作者／翻譯者就要千方百計地增強廣告的感染力和號召力。在這個過程中，語言的規範並非關注點，銷售產品或服務才是整個語篇製作過程的目的。

然而，要達到感染受眾、銷售產品或服務的目的，廣告必須吸引受眾的眼光並被他們所接受。這就涉及到語言使用者的態度及其話語基調問題。從上一節分析的例子中可以看到，廣告翻譯中使用了粵語口語中一些極具人性關懷的辭彙（例如“優質更抵買”、“日日慳”等），這些辭彙實際上是港澳居民的日常用語，因此也很容易拉近廣告和受眾之間的距離，把受眾的資訊解碼過程簡化再簡化，從而產生一種潛移默化的效果，使受眾對商家的服務或商品產生一種親切感和信任感。

此外，港澳地區居民生活在中西方文化交融的地方，他們對語言的期待及接受能力也跟中國其他地方的人們不一樣，其中比較突出的是語碼轉換現象。語碼轉換對於傳統的中國人來說，是對中國語言的污染，但對於港澳地區的人們而言，語碼轉換是一種正常的現象。尤其是對於年輕的消費群，粵語中夾雜英文可以滿足那些追求時髦、崇拜外國先進技術的人的心理需求，引起他們的購買欲望，從而達到商家廣告宣傳的目的。

五、結　語

本文對五組 20 則在港澳地區收集到的商業廣告標題或口號進行了考察。經研究發現，這些廣告標題或口號的中譯本有着濃郁

的粵語特色，其中包括：粵語中常用的功能詞、中英文語碼轉換、同音異義或諧音雙關詞語、粵語口語中常用的具有人性關懷或使役意義的詞語、以及根據外來語的概念或發音而造的新辭彙。研究者認為，中譯本的方言特徵跟香港澳門的歷史和現實的社會環境息息相關，而採用粵語方言特徵作為廣告語篇的製作手段主要決定於以下因素：（1）語篇的功能；（2）語言使用者的目的；（3）廣告製作者／翻譯者對廣告受眾的態度；（4）廣告受眾的語言文化背景及其接受能力。

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翻譯學的建構主義方法論

邵　璐

Abstract

Translation Studies: Towards a Constructivist Methodology (*by* Shao Lu)

Philosophy is applicable to all disciplines, including that of translation studies. Now with the turn of research focus from the theoretical to the practical, there is a need to review all previous approaches to translation and to develop new models of translation studies from this perspective. Amidst recent disciplinary developments, that of Constructive Translatology, which takes pragmatics as its basis, is one such new model. Constructive Translatology regards translation as the most important means of cross-cultural communication. Guided mainly by Jürgen Habermas's communication theory, it takes the philosophy of the practical as its theoretical foundation, and John Austin and John Searle's theory of speech acts as its linguistic foundation. It also pays attention to both the constitutional and regulative rules of languages. In this light, the study of translation will switch from a semantics-grammar model to a semantics-pragmatics model. Its truth theory and rationalist theory will also change — from the truth of correspondence to the truth of consensus, and from instrumental reason to communicative reason. With all these changes, *Constructive Translatology aims to explore and develop a paradigm of cross-cultural communication. Theoretically speaking, Habermas's theory of modernity – in a sense his critical theory in general – can be characterized first by its effort at mediation between, and synthesis of, different academic traditions and positions. This is, of course, not a simplistic mixture. On the basis of the analysis of the methodological features of Habermas's theory of modernity, this paper concludes with the following ways in which Habermas practices this mediation and synthesis – by complementing universalism with particularism, by combining the effort at categorical distinction with the effort at categorical mediation, and by unifying theoretical interest with practical interest.*

一、引　言

方法論體系能否在一個學科內建立起來是一個學科是否成熟的標誌之一。以往，翻譯的方法僅僅局限於一些操作的具體方法，這顯然是膚淺的，很不完全的。它必須包括哲學方法、橫向方法、學科方法與具體操作方法等幾個方面。我們之所以在翻譯研究中採用建構主義理論，一方面我們同樣認為，無論是寫作還是翻譯，都是人們用語言對生活世界的社會現實的一個重新建構過程，同樣是由社會、文化和個人的一種互動性的共同建構。而另一方面，建構主義理論的一些理論特點也很適合我們用來反思以往的翻譯研究範式和建立新的譯學知識體系。

近二十年來，建構主義思潮在西方得到蓬勃發展，除了人們逐漸認識到建構主義理論自身的合理性以外，還有兩個原因更直接地促進了它的發展。一個原因是由於“科學社會學”（sociology of science，亦稱知識社會學 sociology of knowledge）這一新的社會學理論異軍突起。另一個原因是在西方社會學研究中，“質的研究”（qualitative research）方法日益為人們重視，與原來“量的研究”（quantitative research）方法形成兩個主要的研究方法（呂俊，2005a: 35）。

建構的翻譯學是在對以往幾個譯學範式的反思中生成的。它保留了以往範式的有用部分，批判了它們的不足，在不斷修正中繼承和發展。但它又不是一個簡單的加減法的使用，而是用新的理論思想——建構主義思想對譯學知識體系的一種重新建構。建構主義雖然沒有解構主義那樣轟轟烈烈，那樣造勢，卻以更為理性和沉穩的步伐進入了哲學、社會與人文科學領域，成為一種主導型思潮。儘管這種思潮在不同領域中有着不同的表現形式，採用了不盡相同的理論和原則，但是，由於它們有着共同的理論淵源，所以又有許多共同之處。翻譯研究領域中的建構主義思潮也根據學科自身的特點以及學科範式演變的規律有着一些獨有的特點。

本文通過對尤根•哈貝馬斯（Jürgen Habermas）現代性理論在方法論上特徵的分析，總結出他用來實現這種溝通和綜合的三條途徑：普遍主義和特殊主義的互補、範疇的區分和仲介的結合、理論興趣與實踐興趣的統一。筆者希望透過這些分析和總結，使我們不僅對於理解哈貝馬斯的理論本身，而且對於發展建構主義的翻譯學都能有所啟發。

二、範式嬗替與建構的翻譯學

譯學研究的發展是懷疑、批判和超越傳統範式的過程。研究者對範式的選擇，一方面依賴於理論的精確性、一致性、廣泛性、簡單性、有效性等基本準則，另一方面在於科學共同遵循的理論傳統、研究方法和文化價值觀念。由於不同範式之間的“不可通約性”，由於不存在一套不同範式之間相互信服的客觀充分的元標準，因而範式的轉換是信念的轉換，無法通過邏輯方式得到證明（吳小英，2000: 19）。似是而非、矛盾衝突和多元互補永遠是翻譯研究的基礎。翻譯研究的範式也和翻譯本身一樣，是開放的，變動不拘的，並且具有自我修正的機制。

中國自 80 年代以來已歷經兩次大的範式嬗替，目前共有三種範式共存。首先是 80 年代初奈達等人的西方結構主義語言學範式的引入，打破了傳統翻譯研究的語文學範式。但 90 年代中期以來，在譯學領域，隨着解構主義思潮對結構主義思想的批評與質疑，解構主義多元範式又成為主流。但前兩種範式並沒有銷聲匿跡，而是依然活躍着。有人說 90 年代中後期譯學研究界活躍，也有人說這一時期混亂，其原因就在於這三種範式並存，但它們又不是和平共處而是彼此碰撞、交鋒、辯論、爭鳴，因此 20 世紀 90 年代對中國譯壇來說，是個積極而充滿活力的時期（呂俊，2005b: 11）。

建構的翻譯學是在對結構主義語言學範式與解構主義範式的批判與反思基礎上，提出的一種理性建構的翻譯研究新模式。它以實踐哲學和交往理性為基礎，以言語行為理論作為語言學基礎，具有開放性、實踐性、社會性等特點。它的研究模式“主幹

清晰多元豐富”，[1] 並帶有重建性質。

建構的翻譯學是一種理性的建構，這也是一切建構主義的共同點。它們都是以理性為基礎的。翻譯研究經歷了以直覺與靈感為主要特徵的非理性的語文學式研究，走向以工具理性為基礎的結構主義語言學範式研究的階段。但在20世紀的80至90年代，結構主義語言學的工具理性又受到了解構主義的批判，指出這種理性的缺陷以及不完整性。由於解構主義是一種非理性的思潮，又使得翻譯研究進入一種非理性的階段。在這一階段，一切中心、系統、規則與法規都受到了衝擊，從而使翻譯活動失去了規範，意義生成的任意性得到放縱，個體意志得到了張揚。根據呂俊先生的觀點（2004: 52-55），以實踐哲學為指導的翻譯研究將回歸理性，但這不再是以語言邏格斯為中心的工具理性，而是交往理性。交往理性是人類在交往過程中，為保證該活動的順利進行而必須遵循的規範與規則，所以它帶有一種倫理學性質。交往是一種主體間的社會性行為，所以交流符號的意義和交往行為都有互為規定的性質，不是個人能隨意改動的。因此，在主體間的交往中，人們不僅必須尊重語言的規律性，更要承認和服從社會上已約定俗成的那些交往行為中共同認可的規範與規則，即語用性規則。這樣，結構主義語言學範式中的“語義－句法”翻譯模式就成了建構的翻譯學的“語義－語用”翻譯模式了。

建構的翻譯學的語言學基礎是言語行為理論。這裏關注的言語問題，是指實際使用的語言，跟封閉、自足的結構主義語言學決然不同。在具體語境中，言語主體有其自身的言說目的、情感立場和價值判斷。因此，除了構成性規則外，語言的調節性規則也很重要。在具體的翻譯實踐活動中，我們強調兩套規則的運

用，即不僅要譯出正確的句子，更要譯出得體的句子。

建構的翻譯學主要是以共識性真理為真理觀基礎。這種真理觀以公眾範圍內相同的意見為判斷標準，是一種自為的客觀性。它會隨着人們觀念、審美情趣、價值觀念的變化而變化，所以，總是以歷史當下性作為衡量和評價標準。然而，我們並不否認以自在性客觀性為基礎的符合論真理觀，因為在科技翻譯和文學翻譯中涉及客觀道理或事實時，我們就得以這種真理觀為基礎，即必須使譯文符合知識的客觀性。

因此，建構的翻譯學既要求譯文應符合知識的客觀性，有理解的合理性與普遍可接受性，又要尊重原作的定向性功能和圖式框架。這樣既可避免結構主義語言學範式的封閉性，也可遏制解構主義研究範式帶來的個體主體意志的張揚與主體對話中意義生成的任意性，從而使翻譯活動成為更為合理的跨文化交際的手段和文化溝通的橋樑。

三、哲學轉向對翻譯學的建構性意義

20 世紀分析哲學和語言哲學的發展大體經歷了兩個階段，一是發生於 20 世紀前半期的“語言學轉向”，弗雷格（Gottlob Frege）、前期維特根斯坦（Ludwig Wittgenstin）、塔爾斯基（Alfred Tarski）、卡爾納普（Rudolf Carnap）等哲學家使用語言語義分析手段解決哲學問題，探討科學命題的證實和意義問題；二是發生於 20 世紀 70 年代的“語用學轉向”（pragmatic turn），奧斯丁（John L. Austin）、後期維特根斯坦、塞爾（John R.

Searle）、格賴斯（H. P. Grice）、奎因（W. V. O. Quine）、大衛森（Donald Davidson）等後分析哲學家借用語言語用學成果來建構哲學對話的新平臺，尋求語言在交流和使用中的意義。這種哲學發展方向改變的最大後果是形成了科學邏輯向科學語用學轉變的趨勢，構築了新的哲學發展生長點。因此，系統研究分析哲學從語義學到語用學轉變的內在動因、哲學實質，對於理解和把握後分析哲學的發展路徑，探究哲學方法論的演變和哲學思維的演進，均具有重要的認識論意義。

同時，由於哲學思想的更新又與翻譯研究的發展息息相關，認識語義學到語用學的轉變，對我們進行翻譯研究和建立我們的建構性翻譯學將大有裨益。

（一）哲學觀念與翻譯研究

哲學是一切科學活動澄明的思想和價值前提，它總是先行性的。任何科學研究都不可能擺脫哲學思維方式來從事研究和思考活動。哲學思想是一切科學研究的基礎。翻譯研究也不例外。事實上，各種翻譯研究的思潮與思想都有其哲學基礎，所以認清哲學發展與翻譯研究發展的關係，以及認識以往各種譯學範式的哲學基礎，對翻譯研究意義重大。

我國的翻譯研究走過了傳統的語文學、結構主義語言學、解構主義翻譯研究等範式，目前正進入建構的翻譯學研究階段。它們都各有其哲學基礎。[2]

語文學範式翻譯研究之所以重靈感，憑藉直覺，與古典知識論哲學和直覺主義哲學有密切關係。古典知識論哲學認為“人是萬物之靈”，是“衡量一切的尺度”，這是一種本體論哲學。但

它未把精神與物質分開，它們是混沌不清的。亞里斯多德把引起萬物發展變化的原因歸於“在感覺事物以外的一種永恆不變而且獨立的實體”，它是“萬物的第一動因”，是一切事物發生的先決條件，是一種“理性”或“純粹思想”。亞里斯多德之所以說這種思想是純粹的，是因為它不可能思想它自身以外的事物，它自身就是它的物件。這樣使得思想與思想對象成為現實的同一。這種不分主客，強調神思的思想逐漸形成一種世界觀。以這種哲學思想形成的古典知識論以及從中發展起來的傳統詩學和古典文論等都帶上了神秘色彩，它們都把詩歌和文學作品的成功歸於作者的稟賦和天資，視為靈感的體現。在這種思想影響下發展起來的我國傳統譯論也帶有神秘色彩，這種思想影響深遠，甚至直到上個世紀末我國進行的翻譯學大討論中，仍有人認為翻譯活動“全取決於譯者個人，取決於個人的素質與能力，包括其天才與靈感”，“翻譯是有賴於個人能力的藝術”（張經浩，2002: 217）。

自 20 世紀 80 年代以來，結構主義語言學範式在我國甚為流行，這種研究範式開始走上了不同於靈感與直覺的道路，轉而關注客體，注意用語言分析的方法分析文本，注意尋找語言轉換規律以及語義的對等模式。它迷信語言的共性，認為用一種語言所表達的東西完全可以用另一種語言表達出來。這種翻譯觀所依靠的是認識論主體哲學。這種哲學觀念的轉變是 17 世紀發生的第一次哲學轉向，其代表人物是笛卡兒（René Descartes）。他把哲學的任務由“世界是什麼”轉變為“人類是如何認識世界的”，即把人們對萬物本原的思考轉變為去思考人們何以能認識世界。笛卡兒把人的精神世界視為主體，把精神以外的均視為客體，從此

主客開始分野。在這種哲學思想影響下形成的結構主義語言學就是這樣，它把語言視為理性的代表，是人們藉以認識外部世界的理想工具，它甚至把語言的構成規律視為世界的構成規律。結構主義思想在語言學和文藝學等領域形成了一股強大的思潮，而且直接影響到翻譯界，並形成了結構主義語言學的翻譯觀。於是，翻譯研究獲得了長足的進展，人們開始把語言分析的方法運用於翻譯研究，從而產生了建立翻譯科學的構想。但是，認識論哲學的不足也是十分明顯的。它過分強調語言規律的作用，逐漸形成了語言邏格斯中心主義，從而壓抑了人的主觀創造性與能動作用，過分強調齊一性而忽略人的差異性，使得科學主義在人文領域中佔據了統治地位。在這種哲學思想影響下的語言學也只重視語言系統的研究而忽視對言語的研究。索緒爾（Saussure）就只重視內部語言學而排斥外部語言學，不注意有主體介入和情景參與的具體語言現象。在他的語言系統中，把言語主體的價值觀設為中立，也把語境設定為理想性語境。這種語言觀一旦進入翻譯活動，必然會導致對人的物化和把翻譯過程簡單化、程式化，使它變成任何人只要按語言轉換規律去操作，都能得到毫無二致的譯文的機械性活動。

這種靜止性與封閉性的翻譯研究範式被 90 年代中期興起的解構主義的多元翻譯研究模式所打破。蘇姍•巴斯奈特（Susan Bassnett）、勒菲弗爾（André Lefevere）、根茨勒（Edwin Gentzler）、圖瑞（Gideon Toury）、文努蒂（Lawrence Venuti）等人開始關注翻譯中語言結構之外的諸因素，從文化、歷史、意識形態、譯者目的等多元視角來研究翻譯問題。這一思潮也很快影響國內譯界。這種研究範式的哲學基礎是哲學解釋學。哲學解

釋學乃解構主義之哲學基礎，解構主義思潮是反理性的，它否定中心拆解結構，批判了結構主義語言學的語言觀，認為意義不是語言規律所設定，而是一種對話的生成物，語言不是外在於主體的工具而是人存在的方式。解構主義否定了結構主義語言學的翻譯觀，開始關注影響翻譯活動的外部因素。這種解構式的翻譯研究極大地拓展了傳統譯學研究的疆界，但是也帶來了許多困惑與混亂。其中最大的問題是使翻譯活動本身受到拆解，完全排除了對翻譯活動中不可或缺的語言問題的研究，而將翻譯研究變成文化、意識形態等研究的附庸。其原因是哲學解釋學的語言觀是一種元語言學的語言觀。以這種哲學作翻譯學的基礎是不可行的，其結果必然會帶來對語言的忽略而走向分散、相互抵牾的多元，即把翻譯的本體拆解，只關注在這一活動中的其他次要因素。但如果要想建立起翻譯學的知識體系，語言要素仍是最主要的要素，離開對它的研究將是不可思議的，因為任何翻譯活動都以語言作為主要媒介。

無論是結構主義語言學還是解構主義理論都沒有很好地解決翻譯學問題，其原因在於它們所依據的哲學都屬於理論哲學，而非實踐哲學。理論哲學缺乏實踐指向，而更偏重於理性思辨。要想建立起翻譯學，其哲學基礎必然應是實踐哲學，而非理論哲學。畢竟，翻譯活動是人類跨文化交際的實踐性活動。

（二）語義學的語用化轉向

20 世紀初的“語言學轉向”使語言變得不只是對哲學具有影響或者只是哲學主題的一部分。語言成為哲學的唯一來源，哲學的激情就在於創造一種理想語言，通過邏輯演算（通常是謂詞演

算）所確定的方法論原則構造語詞與物件之間的內在關聯，消除自然語言的模糊性和歧義性，以治療各種哲學病。弗雷格、羅素、前期維特根斯坦等的工作均致力於建立這種“語義神話”，並在卡爾納普那裏達到了頂峰，形成了語義學的卡爾納普模式。

以語義學為核心的卡爾納普模式和以語用學為核心的大衛森模式實際上分別代表了分析哲學和後分析哲學的典型思維方式，從卡爾納普模式到大衛森模式的轉變，本質上是一種“語義學的語用化轉向”（Peregrin 1999: 420），它進而“導致了對行為中言語和言語中行為之交流和社會研究繁增的‘語用學轉向’”（Nerlich & Clarke 1996: 6）。可以看到，後分析哲學視野中的這種“語用學轉向”既顯示了語言哲學自身發展的內在必然，又反映了哲學思維發展的某種關鍵性變革。具體地講，其哲學實質和意義體現在：

首先，“語用學轉向”重新定位了語言的三元劃分結構，將語用學推向了哲學的中心舞臺。卡爾納普認為語言由語形學、語義學和語用學組成。大衛森模式對卡爾納普模式的語形學、語義學和語用學間的界限提出了嚴重質疑，但他的目的不是要否定這種界限，而是認為卡爾納普劃分它們的方式不充分。大衛森模式的出發點不是把語言當作一種命名方法，而是當作一種工具箱的語言理論。一旦放棄語言作為一種命名的觀念，就沒有辦法將語義學從語用學中解脫出來。當我們解讀一種語言時所學習到的所有東西（以及因此為懂得這種語言而認識到的所有東西）是語言使用者如何使用語言。在這種有用性得到了充分發揮的新大衛森模式語言理論中，語形學被歸結為進入此種語言的運算式，語義學被歸結為運算式使用方式中“原則的”、“不變的”部分，語

用學則被歸結為運算式使用方式中剩餘的、“週邊的”方面。由此，對於日常語言交流而言，主體真正面對的是語用學，而不是語形學和語義學。事實上，“語用學不是對句法和語義的排斥，而是相容。返回到語用學也就返回到了具體”（盛曉明，2000: 6）。

其次，對語用學的洞察使語言分析工具從語形－語義學分析模式轉換到了語用學分析模式，使哲學對話建構在牢固的公共生活實踐之上。新的語用平臺所展示的作為人類對話要素結構的特性，內在地規定了對話的公共性、實踐性和歷史趨向性，使人類思想的各種信念、欲望、語句態度、物件都被“語用化”了，沒有超人類權威的“上帝之眼”來選擇真值，一切均取決於在當下情景狀態中所進行的平等對話。信念的每一次變動、真值的任一重新取捨，都只是語用語境的再造或公共實踐具體形式的變易，都是在公共實踐具體的、多樣化的關聯之網內進行的信念的重新編織。這就是說，人們是根據語用語境關聯的整體性、公共實踐的具體性、對話要素的結構性，而不是根據嚴格的邏輯推演來進行哲學對話的。

（三）語用學轉向對翻譯研究的建構性意義

從卡爾納普模式到大衛森模式的“語用學轉向”，作為後分析哲學發展演變的必然趨向，內在地顯示了“現今的哲學無不帶有語用”這一哲學的基本特徵，表明“在分析哲學的發展進程中，科學哲學的興趣重點逐漸從句法學轉移到語義學，進而轉移到語用學。這已經不是什麼秘密”（阿佩爾，1997: 108）。這種轉變不僅對社會研究有理論指導意義，對使用語言的一切活動也

有普遍意義，對翻譯的研究與翻譯學的建立來說更有直接的指導意義。

首先，“語用學轉向”對清除唯科學主義思想對翻譯活動的影響，凸顯其人文性與社會性有理論指導意義。這是因為大衛森模式雖然表現出對語言的關注，但不是把語言作為一種靜態的系統來看並對它進行邏輯分析和語法分析，而是對語言行為及其過程的關注，對言說者能力和背景的關注。這就是把原來靜態的語言研究變成動態研究，把原來能指與所指關係的固定性打破，增加主體因素與語境因素，使它變為一種動態的和變化的意義過程。這樣使語言活動不僅成為一種主體間的對話活動，而且有社會性準則與規範的制約，這就克服了傳統翻譯中讓語言規律主宰翻譯活動，使人們對翻譯的研究局限於語符轉換過程中對等規律控制主體因素，從而突出了翻譯活動的人文性與社會性。

其次，“語用學轉向”克服了解構主義給翻譯研究所帶來的混亂。如前所述，解構主義通過對主體自由意志的張揚，把意義的闡釋活動變成一種無限延宕、不斷播散的衍義行為，從而消解意義存在的基礎。大衛森模式用客觀世界的自在性客觀規律及社會世界的自為性客觀規律對主體間對話形成制約，使得交往活動合理地進行，這不僅合乎現實生活的實際情況，也為翻譯研究理清解構主義所帶來的混亂提供了有力的理據，為克服解構主義的非理性思想，讓我們回歸理性進而建立翻譯學提供了理論基礎。

最後，“語用學轉向”為翻譯學提供了合理的理論框架。翻譯活動是人類跨文化的交往活動，它從本質上仍與普遍的交往活動一樣。大衛森模式就是一個人際交往並使之合理的理論模式，正如阿佩爾所說：“正是語用學才分析整體作用；而在這個整體

作用的語境中，對語言系統或科學系統的句法－語義學分析才可能是有意義的。因此，惟有指號學語用學才能使當代語言分析的科學邏輯變得完整”（阿佩爾，1997: 111）。這一理論為我們提供了一個建立新的翻譯學研究的初步框架，即從科學共同體的意向、心理、行為等各個方面認識翻譯活動，在科學語用學基礎上建構解釋，抓住翻譯理論的本質。

總之，以語用模式作為建構的翻譯學基礎可以克服結構主義語言學留給翻譯研究的缺憾，即從“語義－句法”模式走向“語義－語用”模式的研究。這樣就增加了原來缺少的一個研究維度與評估系統，使內部語言學與外部語言學有機地結合起來。

在這樣一種模式中，我們可以把每個具體的語言表現都看作是言說主體通過在某些具體條件下對複雜的語言要素進行選擇的結果；對選擇要素系統進行全面考察，如符號要素系統、選擇條件要素系統、選擇規則要素系統等；充分考察言說主體的素質要素；對具體言說主體的意向性要素進行分析。這樣我們就擺脫了結構主義語言學的那種封閉與靜止的“語義－句法”的研究模式，走向以“語義－語用”為主要分析模式的開放式和實踐取向的研究。

四、現代性理論的方法論與建構的翻譯學

哈貝馬斯在《交往行動理論》和其他一些著作中提出了一個相當系統的現代性／現代化理論。從方法論的角度講，哈貝馬斯的現代性理論——也可以說哈貝馬斯的整個批判理論的最大特徵

就是對不同理論傳統的揚棄、溝通和綜合。經過哈貝馬斯的分析和整合，思想史和當代學術界的不同理論傳統、理論觀點往往都成為其理論的一個方面或環節，它們的理論價值和局限性都由此凸現。在強調局域性、否定“宏大敘事”的後現代主義甚囂塵上的當代學術界，這確實是一件“最令人吃驚、最使人印象深刻”[3]的事情。然而，哈貝馬斯並非只是把不同的東西簡單混合起來。

（一）溝通不同學術傳統的途徑

哈貝馬斯在現代性理論方法論上，主要從三個角度或途徑來溝通不同學術傳統。

第一，普遍主義和特殊主義的互補。不同學術傳統、乃至文化傳統具有一些普遍共有的東西，這是它們之間能夠實現溝通和對話的一個重要條件。但僅僅着眼於它們之間的共同性，往往並非溝通，而是還原，即把一方的東西還原給另一方。而在共同的基礎之上保持各理論傳統和立場自身的特色，則更為重要。為此，哈貝馬斯從可能與現實、形式（結構）與內容、邏輯學和動力學這幾對範疇出發來理解普遍和特殊之間的關係，把可能、形式和邏輯學方面的普遍主義，同現實、內容和動力學方面的特殊主義結合起來。

第二，範疇的區分和仲介的結合。在哈貝馬斯看來，理論上範疇區分的依據是作為研究物件“世界”和作為研究背景的“生活世界”中的各種範疇區別。這裏我們可以認為哈貝馬斯明顯受到了 20 世紀分析哲學的影響。致力於區別種種不同的範疇，是 20 世紀分析哲學對整個哲學事業的重大貢獻。哲學的主要任務是對人類所面臨的一系列基本關係展開討論；這些基本關係因此也可

以叫做“哲學基本問題”。從這個角度來說，哲學基本問題既可以說是多個而非單一，也可以歸根結底說只是一個：哲學問題就是那些涉及在個體精神發展和人類文化發展中分化開來的各個方面之間關係的問題。思維和存在、主體和客體、世界和語言、自然和文化、事實和價值，以及原因和理由、規律和規則、經驗性和先驗性、分析命題和綜合命題、研究的邏輯和心理學等等——分析哲學最重要的價值，就在於對於這些分化的重視，對於種種“範疇錯誤”的敏感，以及為討論種種基本關係問題提供的出發點，雖然這些討論最終以對分析哲學家所提出的二分法的否定結束。哈貝馬斯的理論中包含了大量此類範疇區分。哈貝馬斯的思路通常是這樣的：首先，在兩個方面（或兩個層次）之間作一個概念區分，對有些基本的範疇區分還會從語用學、心理學和社會學等經驗科學的角度進行論證，並且批評在概念上混淆這兩個方面的種種謬誤；然後，他設法論證在概念上不同的這兩個方面在歷史或經驗上卻是以某種方式並存或混合着；當確認這種事實之後，他常常作一個規範性的建議：在兩者之間尋找一個仲介物，以便克服它們之間的衝突，或讓其中一方接管或吞併另一方。“世界”和“生活世界”中不同範疇之間的區別，在理論上常常表現為各理論傳統和立場之間的差異。因此，要想區分各個不同理論，就得先確定核心，然後把它們作為一個整體的不同方面進行有機組合，相互補充融合。

第三，理論興趣與實踐興趣的統一。作為馬克思主義的傳人，哈貝馬斯將“解釋世界”的工作和“改造世界”的工作結合起來。作為法蘭克福社會批判理論的直接繼承者，哈貝馬斯把“批判世界”當作“解釋世界”和“改造世界”之間的仲介。哈

貝馬斯理論中的三個向度——否定的（或批判的）向度、肯定的（或實證的）向度和烏托邦的向度，就是由此而來。

（二）現代性理論的方法論觀照下的翻譯學研究

從方法論的角度講，哈貝馬斯的現代性理論以其全方位性和獨特性實現了對主體交往行為特殊規律或語言邏輯結構的跨學科研究，為我們進一步探討和研究主體交往行動理論提供了前所未有的新方法，也為現代人文社會科學的方法論重建提供了一種全新的參照系和新的理論資質，對於促成中國人文社會科學的“語言轉向”具有重要意義。而對於翻譯研究，它改變了其研究範式，無論從宏觀上還是從微觀上，都對翻譯活動以及翻譯研究產生了巨大影響。

首先，現代性理論為翻譯研究的語用學轉向提供了全新的研究視角和資質。當代荷蘭哲學家皮爾森（C. A. Van Pearsen）在《文化戰略》一書中把人類文化發展史概括為三個階段：（1）以對“那個”（that）存在本身的敬畏為特徵的神話時代；（2）以追求某物是什麼（what）為特徵的形而上學時代；（3）以分析人同世界“如何”（how）相互作用的方式為特徵的功能主義時代。其實，許多偉大思想家都宣佈了人類文化從形而上學階段向功能主義時代的轉變。青年時代的馬克思就認為，問題並不在於把世界解釋成是“什麼”，而在於“如何”改造世界。維特根斯坦晚年聲稱：根本不存在“……是什麼”的哲學語義學問題，只存在“……如何使用”的實際語用學問題。而哈氏強調新的社會進化理論必須首先通過對社會批判方法進行普遍語用學的改造，他試圖從原則上消除並超越那種單一而又線性的因果解釋或形式分析

的社會研究模式，主張把歷史－釋義學的維度和批判的維度合為一體，建立以歷史為指向並具有實踐意圖的社會理論。因此，他的普遍語用學嘗試透過對人類語言運用或對語言本質的分析，來建立一個普遍而又客觀的規範標準，來分析和批判現代社會結構。同樣，哈氏也認為，內在於哲學的觀念不可能由思想自身來解決，而只能是回到生活的世界中去，在情境性的言語交往的“實踐理性”世界中，在主體間的往返對話中，展示理性超越自身主體性格局的開放性，同時又保持其批判性和統一性的雙向功能。而承擔並具有這些功能的就是現代性理論，正是由它來考察人類超出自然並滲透在日常生活中的語言，使社會、文化、個人、政治、道德和理性以及一切重要的社會問題都可以借助於它對日常生活中的解釋，也就是以語言符號互動的溝通模式來作為理解和把握社會進化的基礎和普遍條件，從而實現對現實與實踐、社會與進化、理解與解釋的合理性重建。由此可見，他嘗試性地把普遍語用學的溝通行為條件作為現代社會體制化的理論基礎。

事實上，從早期法蘭克福學派的學者到後設分析架構的提倡者韋伯（Max Weber），都沒有跳出笛卡兒藉以分析社會現象的單向理解模式。哈氏現代性理論的新超越在於，它獨創了人文社會科學的新“邏輯”：即它擺脫了基於笛卡兒二分法的單向理解模式，改用了雙向理解的溝通理性，用“交往行動理論”，即另一套分析架構去理解西方理性化的發展和社會行為。它首先着眼於“要理解別人的角度”或“要理解別人如何使用理性的角度”，通過理解對方所使用的理性的方式，而真正領悟到與自己特有的理性觀，注重人與人在話語交流中所形成的主體間的思想觀念、

語言符號、道德價值等方面相互關係的分析與把握，突顯出主體間的精神溝通、視覺融合、道德同情等交往關係，以及在相互確認語言有效性前提下的話語交流形式的獨特性的洞見和睿智。“更為重要的是使我們意識到，探討、研究主體交往行動體系理論的現實的必要性和緊迫性”（王振林，1999）。這對於翻譯活動是深有啟發的，它打破了結構主義語言學範式的翻譯研究只關注語言構成規律的片面性與封閉性，也否定了解構主義否認一切規律的極端性，從而提出了不同於以往的在翻譯中語言研究的新途徑，即語用學轉向。

其次，對現代性理論方法論的創造性運用，有助於我們探討如何使中西文化在對話、理解和詮釋的雙向互動中，實現中國翻譯學的重建與再生。毋庸諱言，中西翻譯思想和理論的發展，都深深地打上了各自社會文化的烙印。由於中西翻譯家和翻譯理論家所處理的語言材料不同，所屬的思想文化背景不同，因此他們看問題的方式和所提出的思想理論之間，也就存在着不同程度的差異性。然而，世界各國的翻譯理論發展到新世紀伊始的今天，已經進入了彼此更加融合、而非彼此更加分離的時代。儘管不同譯論傳統之間過去存在、將來可能還會繼續存在這樣那樣的不同，但隨着科學技術的發展、跨語言文化交流的加強，不同譯論體系之間在未來發展中會出現更多的共同點。我們都知道，翻譯是人類社會一項共同的活動，不論它作用於哪兩種語言，其目的都是要把一種語言中業已表達出來的某種資訊、某個思想或某種意思，通過一定的程式轉移到另一種語言當中。因此，任何兩種語言間的翻譯與任何其他語言間的翻譯之間，一定存在着許多共同的東西，而這些共同的東西，又往往是跨民族、跨語言文化

的。譬如，翻譯的原則、標準、性質、策略等方面的問題，都是不同譯論傳統所共同關心、並彼此存在有共識的問題。我們可以利用現代性理論的方法論，對不同譯論傳統進行系統的比較研究，強化共識，使不同的譯論體系能彼此獲益，從相互比較中得到啟發，從而推動現代譯學的向前發展。這就是中西翻譯比較以及整個比較譯學的根本任務所在，也是我們開展翻譯學研究的根本任務所在。

最後，對現代性理論方法論的理解與闡揚，有助於我們建立翻譯倫理觀的合理性基礎。現代性理論所要嘗試的就是要透過人類運用語言的方式以及語言本質的分析，強調通過一種平等、開放和合理性的談辯或論辯，來解決人類的衝突，協調人類的社會行為。該理論正是建立在理性基礎之上，它的理性是個人與個人、主體與主體間通過談辯共同訴諸理性，以達成共識。在哈貝馬斯看來，社會的組織原則本來就應當建立在人與人之間相互理解的基礎上，旨在建立理想社會關係而進行的調整應當通過對話來進行。因此，現代道德規範價值的確立、認同及其推廣的合理性和有效性，只能來自大家在公共生活中“理想的話語情境”中的反複對話與談辯中，這才可能具有合法性與有效性。而倫理和道德規範正是現代政治、法律、制度的理性基礎，致力於現代性理論及其效用的研究，也極有可能為我們的翻譯研究提供最富成效的理性基礎與對話程式。“商談性政治應被理解為依賴於公平地調節的討價還價過程的網路以及包括實用的、倫理的和道德商談的各種不同形式的論證網路的集合，其中每一種都依賴於不同的交往預設和程式”（Habermas 1994）。在哈氏看來，交往與談辯將比存在主義自律式的道德、模型和資質更為豐富，因為交往

和談辯的世界是每一個人都可以參與的世界，是一個無比開放的世界。用推論方式兑現規則的有效性要求的程式，即是交往和談辯本身就可能提供的普遍性標準。哈氏正是以普遍語用學建立起自己的“交往倫理學”和“商談倫理學”。所謂交往的倫理學是建立在理性基礎上的，它的理性是個人與個人、主體與主體之間通過平等、真誠的交談、談辯，共同訴諸於理性（的辯識）以達成道德共識。因而，現代倫理不再是不可把握的、內心的修煉，而是基於對話、實踐、社會交往理性之中的言事行為，對話的關鍵是從實質倫理到責任倫理、再從責任倫理到言語倫理學的發展與轉向。哈氏的這種探討，顯然有助於形成合理性的現代道德規範機制，並完全有可能把它轉化為我們反省現存社會道德的合理性、進行現代道德的重建所需要建立的一套全新的分析方法。因此，在現下引入哈氏的現代性理論並將它與實踐結合起來，不僅對於轉型時期的公共倫理、公共意識、道德意識、公民公德的理念、公共理性的建構與培育有着重要的理論意義與現實性價值；而且它還會在元倫理學、現代道德的合理性論證上，為我們提供更為有效的分析與重建的方法論和全新的視角。這一條原則對目前的翻譯研究有着特殊的意義，因為無論殖民主義時期還是後殖民主義時期，西方一直在通過翻譯活動與政治的共謀，不斷製造不平等的文化間交流。翻譯領域仍存在嚴重的不平等現象，這不在於強勢文化與強勢文化之間在翻譯數量上不成比例，而在於一些強勢文化不尊重弱勢文化，企圖實現一種新的、後殖民時期的文化殖民主義，即用強勢文化改造、改變弱勢文化，提倡文化的、甚至語言的全球化，從而用他們的文化觀、價值觀、道德觀、意識形態取代其他文化，形成一種文化霸權。譬如，他們依

仗科學技術的優勢所造就的政治與經濟、軍事的強勢對非西方國家的文化、歷史、法律等進行刪篡和隨意的改寫，並極力通過翻譯活動樹立自己的文化主體的身分，即在對非西方文化進行邊緣化的同時樹立自己世界主人和文化中心的文化殖民主義。後殖民主義理論與文化批判學派所展開的研究，其實也正是旨在揭示這種本質。但他們只停留在揭示上，而沒有設想改變這種不合理狀態。解構主義的翻譯研究也只關注了一種解構性批評，並沒有提出有效的策略來解決所揭露的問題。建構的翻譯學範式旨在尋找一種正確的途徑來解決這種不平等文化間的交往與交流問題。建構的翻譯學認為建立以哈貝馬斯的商談論理學思想為指導的得到國際認可的，並通過一定國際公約形式固定下來的翻譯倫理規範，有助於真正促進國際之間平等交流，終結不對稱的文化交流局面。

五、結　語

方法是解開問題的鑰匙。研究視角的轉換必然有方法的轉換與之相應。哈貝馬斯現代性理論的方法論對翻譯學的構建有着十分重要的指導意義，可以作為我們構建翻譯學的方法論基礎。在理性的重建中，如果缺乏一定的依據和準則，不論是翻譯活動本身或理論批評都將無法進行，而哈氏的理論恰恰為我們提供了探索和建立建構的翻譯學的方法，從而為我們確立和保證翻譯規範的有效性（如正當性、公平性和普適性等）提供前所未有的思想資質。

注　釋

[1] 主幹是指語言學，以語言學為重點的動態模式。多元豐富是與主幹相關的，或者說與翻譯活動相關的諸因素與翻譯關係的規律性研究。這既是對結構主義語言學範式和解構主義翻譯學模式的超越，又是按新的理性思路上的一種發展。

[2] 參閱南京師範大學呂俊教授 2003 年 11 月在四川外語學院系列講座之講義。

[3] 在 1985 年出版的《哈貝馬斯和現代性》的論文集中，該書主編、著名美國哲學家伯恩斯坦（Richard Bernstein）指出："哈貝馬斯對於人文研究之範圍和複雜性的態度的最令人吃驚、最使人印象深刻的特徵，是他設法把他所分析的任何東西都編匯成一個融貫的整體。"

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Bertolt Brecht and the Chinese Literary Tradition:
From Translation to Inspiration

Nigel Reeves

Abstract

This paper examines the importance of the Chinese literary tradition in the works of the German playwright and poet Bertolt Brecht. An examination of a variety of genres – prose, poetry, drama – reveals influences in Brecht's work from Chinese writers as diverse as the Tang poet Bai Juyi, the Yuan dramatist Li Xingdao, and the early philosopher Mozi. The paper analyses the development of such influence in Brecht's work as moving from a focus on translation and adaptation to a stage in which Chinese ethical values become more fully incorporated into the writer's moral outlook, providing inspiration for complex dramatic explorations of human goodness.

Bertolt Brecht, born in 1898, was one of a long line of European writers for whom the role of literature was to go beyond the portrayal of society to seeking to change it. He had already begun to write as a schoolboy but a decisive influence on his creative career was when, at the very beginning of his university studies, initially of literature, then of medicine, he was drafted into a military hospital in Augsburg. His father was a factory director, and he grew up, therefore, in a solid middle-class environment. But from the outset young Brecht became fascinated by life at the fringes of society and no doubt the hospital experience—it was in the closing months of the First World War and he served in the ward for soldiers with sexual diseases—gave him early insight both into the horrors of war and into life outside the confines of respectable society. His first play, *Baal* (1918), a sequence of wild, semi-lyrical scenes featuring the excesses and fall of an uncontrollable hedonist, already heralded a life-time interest in the individual who stands outside society, rebels against it, or is excluded from it—Kragler, the soldier returned from the Front in *Drums in the Night*, his second play (1919/1922), the Underworld Community in *The Threepenny Opera* (1928), almost the whole population of the get-rich-quick city in *The Rise and Fall of the City of Mahagonny* (1928-30), Grusche, the lone mother who fights to keep her adopted child, in *The Caucasian Chalk Circle* (1938-48), Mutter Courage, the travelling vendor for the military in the Thirty Years War in the play that bears her name (1939-41), Shen Te, the good-hearted prostitute in *The Good Woman of Sezuan* (1938-43), and Galileo Galilei in the play that also bears his name (1938-47), the pioneering astronomer, who is driven to denying his own discovery that the world rotates around the sun when he is threatened with torture by the Inquisition of the Roman Catholic Church, which insists that the Earth is the fixed centre of the Universe. In all these plays the main figures are or become outsiders and it is their plight which reveals the rottenness of society, the hypocrisy, the corruption, the violence, both personal and political.

Even before Brecht began his thorough study of Karl Marx's *Das Kapital* around 1926, we can identify a fundamental theme in his work: that even the most socially despised characters, the deserter, the gangster, the prostitute, can have more humanity than the conventional and apparently law-abiding citizens who scorn and condemn them. Indeed, as Brecht's theatrical practice develops in the 1920s and 1930s and becomes crystallised in his theories of stagecraft, especially his renowned concept of the Alienation Effect, "der Verfremdungseffekt" ("V-Effekt"), he focuses on using the stage—and his poetry—to give his audiences insight into the mechanics of evil in society. To achieve this he had to distance his audiences from their familiar world, and show them that what was familiar was not necessarily good.

It was his search for material and views from outside conventional European life that probably engendered his early and lasting fascination with East Asia. The use of foreign settings—or "exotic" settings, as they were often considered—in order to illuminate social distortions in the home country, ("exotikos", the Greek, literally meaning from outside the homeland), was a technique practised as early as two centuries before by the French philosopher and social historian, Montesquieu. He had invented a set of quasi-Persian characters in his *Lettres Persanes* (actually bearing Turkish names!) to criticise the corruption and misdemeanours of the court of Louis XIV without incurring the wrath of the authorities. However, unlike Montesquieu, and this is a key difference, Brecht also embraced some of the values of his new setting—of Chinese traditional ethics as he understood them, those of Confucius, of Laozi and of Buddha.

But Brecht would have been unable to gain access to the writings that inspired him without reading them in translation, while he himself built on translations to create fresh works. The first evidence of this interest in East Asian literature and thought is the didactic play from 1930, *Der Jasager* (*The Yes-Sayer*). This short drama is based on the Japanese Nô-play, *Taniko*, by Zenchiku (1405-1468). [1] It had appeared in 1921 in a collection of Nô-plays translated into English by Arthur Waley and then further translated into German for Brecht by his collaborator, Elisabeth Hauptmann. [2] Brecht's *Taniko* (or "Cast into the Abyss") tells the story of a lost expeditionary group close to death by starvation. A boy allows himself to be thrown to his death from a precipice to enable the remaining food to suffice for the survival of the other members. This uncompromising piece already takes up one of the core themes that Brecht had found in his understanding of Chinese and other early East Asian ethical philosophies: the value of selflessness even to the ultimate point of self-sacrifice. A belief in innate human goodness becomes one of Brecht's central, motivating convictions. When he had to flee from Germany in the early 1930s to avoid arrest and probable execution by the Nazi regime, living for some years in Denmark, he took with him a little Buddha-like figurine symbolising the god of contentment, contentment that derives from both self-sufficiency and from helpfulness.

Brecht is known world-wide as a dramatist and certainly in German-speaking countries as a poet, but he also wrote short stories, anecdotes and aphorisms. They enabled him over the years to articulate and assemble reflections and insights into ethical questions. One such collection began to be published soon after his didactic play, *Der Jasager*, and was a sequence of short comic episodes entitled *Die Geschichten des Herrn Keuner* (*The Herr Keuner Stories*) (1930-56). [3] The name "Keuner" is a play on the German for "no-one" (Keiner) and the stories illustrate the value of modesty, unpretentiousness and even poverty. In their presentation as a dialogue they reflect Brecht's reading at the time of the Chinese philosopher Zhuangzi. [4]

This strand of Brecht's work continued through the mid 1930s with a further book of short prose pieces, the *Buch der Wendungen* (*The Book of Sayings*) in which another Chinese philosopher's influence is central, that of "Mê Ti"—i.e. Mo Di or Mozi. [5] We know that Brecht had read the complete translated works of Mo Di and his disciples, published in 1922 by Alfred Forke, a Berlin University professor. [6] Mo Di lived a generation after Confucius and was highly critical that Confucian precepts guiding personal life had solidified into what amounted to a state religion. Brecht's title, *Buch der Wendungen*, echoes the title of one of the canonical Five Classics, *Yi Jing* or *I Ching*, which had become known in Germany through its publication in 1924 under the title *Das Buch der Wandlungen* (*The Book of Transformations*). [7] It was also in this period that Brecht began to write a fragmentary narrative (1933-35) which became known later as the *Tui-Roman* (*Tui-Novel*), another loose collection of anecdotes and short stories of a comic, satirical and didactic nature set in China—or rather Chima as it is called. [8] Certainly the philosophical inspiration of this work was more closely related to China than Montesquieu's *Lettres Persanes* had been related to the intellectual legacy of Persia, but China was a source of ideas and materials with which Brecht felt affinity through his reading, rather than serving as areas for his further scholarly investigation. These short pieces showed, nevertheless, some insight into what was actually happening in China in the later 1930s, for the *Buch der Wendungen* reveals a strong Marxian flavour: the anecdotes often praise social equality, attack a mode of production that benefits only the few and use general Marxian terms such as "Ausbeutung" ("exploitation"), "Ungleichheit" ("inequality") and "Unterdrückung" ("oppression"). They discuss class warfare, division of labour, and changes in methods of production. [9] Brecht had devoted himself to an intensive study of Marx in the mid to late 1920s, reading his pre-eminent work, *Das Kapital.* Marx understood capitalism as a stage in a long-term economic development from agrarian economies, through feudalism and the emergence of the nation state into indiscriminate industrialisation based on imperialist sourcing of raw materials, on urbanisation and on factory production, a process that led to and required the emergence of an uprooted and exploited class of workers comprising former farm labourers and de-skilled craftsmen that would become explosive in its discontent. Marx's historical analysis exercised a profound influence on Brecht. But the *Keuner* stories and the *Buch der Wendungen* in their distanced reflective nature, point to a development in Brecht's thinking away from a fascination with violence towards a desire for an alternative, meditative way of life. He moves beyond the explosive anger and the desire to shock his bourgeois audience that are obvious in the early play, *Baal*, and then in the satires of grotesque capitalist expansion in *The Rise and Fall of the City of Mahagonny*, where the search for gold, whisky and sex are the dominating but self-destructive social forces. [10] For while *The Threepenny Opera* had displayed the excesses of the first major international city of the capitalist era, London, its depiction of the Underworld and its inhabitants is benign. [11]

The use of music and song, the compositions of his collaborator, Kurt Weill, have made both *The Threepenny Opera* (based on John Gay's 18th century work, *The Beggar's Opera*) and *Mahagonny* world-wide hits. Indeed Brecht became arguably the greatest modern exponent of the ancient Roman precept, formulated by Horace, that art should both delight but also instruct, that it should entertain but in entertaining it should instil ethical awareness, a view that I believe—though Nô experts may contest this—also informs the Japanese Nô-play. Does an audience of these works of Brecht see the affinity between the profit motive of capitalism and the no-holds-barred behaviour of the unscrupulous in a period of rapidly developing wealth? Brecht's thinly disguised picture of the United States in the 1920s, *Mahagonny*, touched on matters of extreme importance and urgency. Could legislation tame the desire for wealth so that the vulnerable were protected, wealth creation could still prosper and a maximum number benefit? Students of American history of the 1920s and 1930s will recognise the challenge and the bitter tensions and how they were resolved in the New Deal. In Europe the situation was still more complex. The First World War concluded with the demoralising defeat of Germany. Despite reparations there was a brief interlude when the German economy began to recover—only to collapse in the late 1920s, causing massive unemployment. Totalitarianism emerged in the form of Nazism in Germany and Brecht had to flee for his life—first to Denmark and then, as a Second World War seemed imminent, to the United States.

Yet in the midst of this turmoil Brecht intensified his interest in Chinese ethical philosophy as an alternative approach to violence. When he was interviewed by a Copenhagen journalist in March 1934 about his future literary plans he said it was to develop what he called the story-telling kind of drama that had been practised in Chinese theatre for thousands of years. [12] Certainly this concept may be associated with the idea that literature can entertain but also have a message, the "moral of the story".

In 1935 Brecht visited Moscow. There a key event occurred. In March of that year he attended a performance of traditional Chinese theatre performed and directed by the renowned actor Mei Lanfang. Intensive discussion with Mei Lanfang followed and in 1936 Brecht published a seminal theoretical work, *Verfremdungseffekte in der chinesischen Schauspielkunst* (*Alienation Effects in the Art of Chinese Acting*). [13] What Brecht had witnessed appeared to exemplify the innovative approach that he was already exploring. Brecht states that Chinese theatre re-enacts on the stage well-known stories demonstrating fundamental ethical points. He claims that unlike in the European tradition founded on Aristotle's theory of tragedy, there is no intention in Chinese theatre to draw the audience into a sense of identification with the central characters so that they experience the same feelings and through this empathetic process undergo a "catharsis" or cleansing of their own personal emotions. Rather, Chinese theatre is a demonstration of human behaviour presented as a story on stage—hence the role of the Speaker in Peking Opera, who informs the audience of the events and their sequence. To avoid audience identification, Brecht states, the stage is revealed as just a stage, not some other world that starts behind the proscenium arch. The actors are just actors, not the characters. They put on their make-up and don masks and other symbols while actually on the stage, in order—so Brecht argues—to break down any illusion that this is the real world. This key essay and interpretation of Chinese theatre—specifically of Peking Opera—was to shape Brecht's own theatrical practice.

Surviving the Second World War in the United States, Brecht returned in 1948 to Germany, not however to the Western Federal Republic. He had already been threatened by the US Commission on Anti-American Activities for his Marxian and allegedly Marxist beliefs. Brecht went instead to the German Democratic Republic. In 1954 the East Berlin theatre with which he had been associated in the 1930s, Das Theater am Schiffbauerdamm, was made available to him and to his wife and principal actress, Helene Weigel, as their own theatrical headquarters. Brecht was also provided with the financial means to establish his own troupe of actors. Between this time and his early death in 1956, Brecht directed the great plays of his career, which had previously had to be performed outside Germany. He was able to realise his own ideas on acting and on stagecraft, which centred on the principle of the Alienation Effect. So important to him were his innovative techniques that he compiled an illustrated handbook on his productions under the title *Theaterarbeit* (*Theatre Work*). One might argue that Mei Lanfang, actor and director, had been a model for the teamwork approach adapted in the Theater am Schiffbauerdamm, and which he recorded in the handbook in text and photographs. [14]

But before we look at some of the masterpieces performed on the Schiffbauerdamm, and at the inspiration derived for them from Asian and Chinese models, we must consider an earlier milestone in the influence of Chinese literature on his work. In 1938 Brecht had been given a copy of Arthur Waley's major translation, *One Hundred and Seventy Chinese Poems*. First published in England in 1918 it had been a huge success and had been re-printed many times. [15] A significant part of this collection was devoted to translations or rather versions of poems by the 9th century poet, Bai Juyi (or Po Chü-I as Waley called him). Bai Juyi had been a daring critic of Imperial China, castigating militarism and indicating the appalling loss of human life and livelihood caused by war. Waley recognised in Bai Juyi's moral commitment the teachings of Confucius. But Waley was not impressed by the obviously didactic poems, or at least claimed not to be, and argued that many had no moral at all.

Interestingly this does not emerge from a reading of Waley's translations and it may be that in making this statement in the Preface to the anthology he sought to protect himself from criticism. 1918 was a sensitive time: there had been a loss of life on an unimaginable scale in the War and many, if not most people, in Britain clung to the idea of heroism—the bravery and selfless sacrifice of countless soldiers in the name of patriotism.

If Waley, the translator, was a covert critic of war, Brecht was an open critic who had to leave his country in order to speak out. And Brecht shared with Bai Juyi profound sympathy for the poorest sections of society, the migrant workers in the cities and the deprived farm labourers. I have made a detailed comparison of some of Bai Juyi's poems and mapped their transformation through Waley to the more sharply polemical versions written by Brecht in another article that has recently appeared in *Translation Quarterly*. [16] To illustrate the kind of transformation taking place in Brecht's versions of Waley's translations, I shall here take one particularly striking example. Waley called the poem "The Big Rug" and it consists of a mere four lines:

> That so many of the poor should suffer from cold what can we do

to prevent?
To bring warmth to a single body is not much use.
I wish I had a big rug ten thousand feet long.
Which at one time could cover up every inch of the City. [17]

Almost an epigram in its brevity, the poem makes a stark point: the poor of the City who cannot afford to buy warm clothes or heat their homes are suffering in the winter cold. No-one seems to be able to do anything about it. The idea of some huge rug or blanket to cover an entire city is preposterous, a desperate suggestion. Bai Juyi's longer original is also stark. The poet compares his own contentment, sitting in the winter sunshine wrapped in a warm new coat and sleeping warmly at night beneath it, with the cries for help that he imagines he can hear uttered by the farming poor. The following is the original Chinese text, with an accompanying word-for-word English transcription:

新制綾襖成，感而有詠
水波文襖造新成，綾軟綿勻溫復輕。
晨興好擁向陽坐，晚出宜披踏雪行。
鶴氅毳疏無實事，木棉花冷得虛名。
宴安往往歡侵夜，臥穩昏昏睡到明。
百姓多寒無可救，一身獨暖亦何情。
心中為念農桑苦，耳裏如聞饑凍聲。
爭得大裘長萬丈，與君都蓋洛陽城。

Newly/make/silk/jacket/completed/affected/so/had/intone
Water/wave/pattern/jacket/made/newly/completed,
Silk/soft/floss/even/warm/also/light.
Morning/rise/enjoy/wrap/facing/sun/sit,
Evening/out/should/wrap/round/tread/snow/walk.

Crane/cloak/feather/scanty/not/real/help,
Kapok/flower/cold/gain/hollow/reputation.
Feel/happily contented/often/joy/approach/night,
Lie/properly/drowsily/sleep/till/dawn.
Common people/majority/cold/nothing/accessible/rescue,
Single/body/alone/warm/mean/what/feeling.
Heart/central/for/think/farmers/sericulturists/hardship,
Ear/inside/seem/hear/hungry/frozen/cries.
Wish/gain/enormous/fur cloak/long/ten thousand/feet,
With/you/all/cover/Luoyang/city. [18]

In its brevity Waley's version arguably lacks the contrast and the drama of the original. Brecht, however, knew only Waley's four lines. It is as if he sensed how Waley had truncated the poem and he provides a dramatic setting for the epigrammatic statement, the sardonic response of a ruler who knows the plight of the poor in winter and does not care, so ludicrously callous is his reply to the poet's question:

Der Gouverneur, von mir befragt, was nötig wäre
Den Frierenden in unsrer Stadt zu helfen
Antwortete: Eine Decke, zehntausend Fuß lang,
Die die ganzen Vorstädte einfach zudeckt. [19]

The Governor, questioned by me, about what was needed
To help those in our city who were freezing,
Replied: A blanket, ten thousand feet long,
Simply covering the whole of the outer districts. [Translation mine]

The implication that the plight of the poor could not be changed and that the rulers are only interested in keeping the status quo is overt.

Brecht's version—we can hardly call it a translation—was published in Moscow while Brecht himself went into exile through an initial refuge in Denmark on to the safety of the United States. Physical emigration was the only salvation.

Brecht now seems to have entered a phase where he found his major source of comfort in Chinese wisdom. Leaving danger does not mean resignation. His poem of 1939 "Die Legende von der Entstehung des Buches Taoteking auf dem Weg des Laotse in die Emigration" ("The Legend of how Laozi wrote his book Daodejing on his way into emigration") takes up this issue. [20] At the age of seventy Laozi is forced to leave his home country as evil forces begin to overwhelm forces for the Good. When he reaches the border the customs officer asks what valuables he has to declare. The disciple accompanying him replies "Keine … er hat gelehrt" — "none … he was a teacher". The customs officer becomes interested and asks what he taught. The disciple replies that water will gradually wear down the hardest stone. The customs officer's interest turns to fascination and he asks Laozi to write "wer wen besiegt?" — "who conquers whom?". They stay in the customs officer's little home and write for seven full days. At the end of the week the disciple gives the customs officer eighty-one sayings, "for courtesy's sake". And he thanks the customs officer for asking, "Denn man muß den Weisen seine Weisheit erst entreißen" — "You see you have to drag wisdom out of a wise man". Poetry is, then, the transmitter of ideas in a powerful and memorable way and can reach the humblest of men.

In the same year of 1939 Brecht had been working on one of his greatest dramas, *Der gute Mensch von Sezuan*, [21] *The Good Woman of Sichuan*. The Chinese setting is obvious from the title. And as the title also indicates, human goodness is part of the central theme.

The story is this. The heavens have decreed that unless a single good person can be found on earth the world should come to an end.

Three gods come down in the guise of human beings in search of at least one such person. Their first encounter is with Wang, a water-seller, who initially seems helpful and decent until they discover that his cup has a false bottom and only gives part measure. They ask Wang to find them a room for the night. None of the people Wang asks is willing—nor do they believe that the three are gods. Only one person is prepared to help and that is a prostitute, Shen Te, who allows them to stay in her room. When they thank her for having proved their belief in human goodness she tells them that she is penniless and confesses the trade she plies to try and survive. It is impossible for her to live without breaking at least some of the commandments, she admits. After some deliberation the gods agree that it would be reasonable for them to have paid for their overnight stay. To her amazement she finds that she receives a thousand dollars in silver. Shen Te then decides to begin a respectable profession and buys herself a tobacco shop. She rapidly discovers that the shop has very few customers and the woman who sold it to her is the first of a succession of swindlers and spongers who come to beg money from her, some seeking accommodation, others cigarettes. The previous owner's creditors arrive demanding that they be paid the money owed them. Shen Te is moved by all of them, touched by their plight. A whole family without work descends upon her and even starts smoking the remaining stock. Shen Te then vanishes and in her place appears her male cousin, Shui Ta. Shui Ta is a businessman. He rejects all the preposterous demands for support and for payment imposed on Shen Te because she is soft-hearted. Shui Ta gets the squatter family to work for him in lieu of rent. And when asked by one of those who had taken advantage of Shen Te's goodness, he quotes a four-line verse, claiming it to be a thousand years old. Those lines are a variation on the four lines that make up the separately published epigrammatic poem "The Big Rug" and in Shui Ta's mouth the harsh cynicism demanded of those surviving the capitalist system comes to summarise the contrast between goodness that will condemn its exponent to ruin and the hard bargains driven by the successful businessman, the survivor. [22]

But Shui Ta has a decisive human weakness. He is in fact Shen Te in disguise and Shen Te discovers that she is pregnant by her selfish consort, Sun, whose only concern is to get hold of enough money from Shen Te to leave her and start a career as a pilot. Her double existence cannot continue. And to add to the crisis Shui Ta is accused of murdering Shen Te, who has, of course, disappeared. The water-seller, Wang, implores the gods to step in. Yet they simply conclude that they should abandon the world to its wickedness, to the destruction of nature by industry and to self-destruction in war. Expectations of morality are futile, they say—human life is just a struggle "um das nackte Leben zu retten", "to save naked existence". [23] The only lingering hope lies in Shen Te, "the good woman". They appear on the stage as judges, appointed to try Shui Ta for the abduction and alleged murder of his cousin and the theft of her tobacco business. A trial is held. One by one the neighbours and employees of the tobacco factory, believing that they know what statement would be of personal advantage to themselves, declare that Shui Ta is honest and a man of principle. On the other hand the spongers, whom Shui Ta had driven out, complain that he was an exploiter whereas Shen Te had helped them. Shui Ta is gradually forced into a corner as more of them give witness to Shen Te's goodness, while she, of course, does not and cannot appear at the trial.

Shui Ta asks the divine judges to allow him to speak to them in private. He removes his mask, pulls off his suit, reveals "himself" to be Shen Te and confesses.

> Euer einstiger Befehl
> Gut zu sein und doch zu leben

Zerriß mich wie ein Blitz in zwei Hälften – Ich
Weiß nicht, wie es kam: gut sein zu andern
Und zu mir konnte ich nicht zugleich.
Andern und mir zu helfen, war mir zu schwer.
Ach, eure Welt ist schwierig! Zu viel Not, zu viel Verzweiflung!
Die Hand, die dem Elenden gereicht wird,
Reißt er einem gleich aus!
……………………………… Zu schenken
War mir eine Wollust. Ein glückliches Gesicht
Und ich ging wie auf Wolken.
Verdammt mich: alles, was ich verbrach,
Tat ich, meinen Nachbarn zu helfen,
Meinen Geliebten zu lieben und
Meinen kleinen Sohn vor dem Mangel zu retten.
Für eure großen Pläne, ihr Götter,
War ich armer Mensch, zu klein.

"Your commandment to be good and yet to survive
Tore me apart as if I had been struck by a thunderbolt.
I do not know how it came to it but I could not be good
To others and good to myself. To help others and to help myself
Was too difficult. Your world is hard! Too much misery, too much
Despair! Those who hold out a hand to the suffering get it torn off …
Giving was a delight. A happy face
And I was walking on clouds.
Condemn me: I committed all my crimes to help my neighbours,
To love my betrothed and to rescue my little son from starvation.
For your great plan, O gods, I, poor wretch, was too small." [24]
[Translation mine]

The wretched Shen Te's cry "Etwas muß falsch sein an eurer Welt" — "there must be something wrong with your world" is ignored. [25] Blissfully closing their ears to the force of what she says the first god declares that she is the "Good Person" they were seeking, "the bearer of a little lamp in the cold and gloom". [26] She is abandoned. An old couple who appealed for help are left with no livelihood, the water-carrier Wang is left with his paralysed hand, and she, Shen Te, is torn between the faithless Sun whom she loves and a barber who desires her hand in marriage, with a son about to be born and no remaining money.

As the gods vanish into a rosy sky Shen Te cries out that she still needs her cousin and they reply, "well, then, not too often, not more than once a month!". [27] The gods are happy they've found their one good person on earth and vanish in triumphant song, leaving Shen Te—and the world—to its fate. It will be the world of the Shui Ta's, of the ruthless.

An epilogue spoken by one of the actors tells the audience to reflect on what they have seen, that all questions remain but that there must be a solution. Does it lie in a different human race, or in a different world? Surely the audience can find a solution, a happy ending. There must be one— "muß, muß, muß" — "must, must, must". [28]

As the audience is challenged to reflect upon the dramatic events we are reminded of the purpose behind the Alienation Effect: to distance the audience emotionally from the characters and to consider the processes they have observed. Is this effective? In performances I have seen the effect is closer to that of a tragedy—human beings trapped in a cruel world of their own making, the heroine displaying both culpable weakness and nobility and suffering from the fate in which she has enmeshed herself. Shen Te's tragedy is that she is too good. Considering the outcome from the perspective of this paper, Brecht has transposed his understanding of an ancient Chinese ethical ideal into the European tradition of tragedy.

Or should we understand the play from a Marxian point of view? Drama in the service of social change? Certainly the brilliant theatrical effect of splitting Shen Te into the Good Woman and yet also the harsh capitalist, Shui Ta, embodies on the stage the Alienation of the human individual from itself in a capitalist society—using the Marxian term, "die Entfremdung" that Brecht saw in society and attributed to the raw greed engendered by the nature of capitalism. Shen Te has to separate herself from her good heart, from her true self as a kind-hearted woman and mother, and adopt the ruthlessness of Shui Ta to survive, yet it is an experiment that fails. The gods have abandoned the world. It is here that we observe the intimate link between Brecht's adoption of the Chinese concept of goodness as an intrinsic human quality and his Marxian persuasion. This is a world without a God. Hope has to lie within human beings themselves beyond or outside the distortions caused by the social order. But is this hope doomed?

Here, we have moved beyond Bertolt Brecht's encounter with the ethical teachings of the great Chinese Teachers through translated texts, beyond Brecht's own re-creations of ancient Chinese poetry exemplified in his *Six Chinese Poems* based upon texts by Bai Juyi and transmitted through Arthur Waley's translations into English. *Der gute Mensch von Sezuan* is not just set in a quasi-Chinese locality, chosen simply in order to distance the audience from more immediate emotional involvement with the characters and especially with the heroine. The selflessness displayed by Shen Te was inspired by Brecht's reading of Chinese ethical philosophy. The stage techniques, the use of Wang, the water-carrier, as a narrator and commentator as well as a participant, remind us of Brecht's crucial experience of Mei Lanfang's Peking Opera. The mask that Shen Te puts on in order to disguise herself as the harsh capitalist, Shui Ta, is Brecht's variant on another stagecraft feature of Peking Opera. Yet it is also a feature of European drama, most obviously in the Commedia del Arte tradition, or frequently in Shakespeare, where one need only think of Bottom the Weaver performing the part of the ass in the play within the play of a *Midsummer Night's Dream*. In Schiller's tragedy *Die Verschwörung des Fiesco zu Genoa* (*Fiesco's Conspiracy in Genoa*) (1783), assuming a false personality, initially for the sake of achieving political liberty in a tyrannical city state, but then losing oneself behind a metaphorical mask, becomes the central theme. [29] We need, then, to speak of an artistic process in Brecht that could be called symbiosis, the fruitful growing together of original creative ideas and aspirations with stimulating external sources. And indeed some of Brecht's later plays, arguably the majority performed in his East Berlin Theatre on the Schiffbauerdamm, were adaptations of existing works for a new purpose, Gorky's *Die Mutter* (*The Mother*) (1933 and 1938) [30] and Jakob Michael Lenz's *Der Hofmeister* (*The Tutor*) to name just two. [31]

The palpable division of self and the conflict between greedy self-interest and selflessness is the central theme of another of Brecht's major late plays, *Der Kaukasische Kreidekreis*, [32] (*The Caucasian Chalk Circle*) (1949, 1954). First performed in 1948 Brecht had been inspired by a play written by Klabund entitled *Der Kreidekreis* and produced for the stage in Frankfurt in 1925 by Max Reinhardt. Klabund's play is sub-titled "from the Chinese" and is based on the play by the Yuan dynasty writer Li Xingdao (also written Li Hsing-Tao). It had been translated into French by St Julien in 1832 and then into German by Wollheim Da Fonseca in 1876. [33] This was the version used by Klabund but Alfred Forke had published a more accurate translation in 1926. [34]

As a rebellion breaks out in the Caucasian country of Grusinien, the wife of the governor who had been executed by the mob, is ordering her servants to load up a carriage with several trunks of her best clothes. More intent on rescuing these possessions than looking after her baby son, Michel, she escapes leaving her child behind in the arms of the maid, Grusche. Though penniless, Grusche flees the burning city with little Michel, the Governor's heir. The rebels are determined to find the child and kill him but Grusche manages to keep him safe, even when refused shelter by the local peasants, and by dressing him in shabby clothes and claiming he is her own child, she brings him unharmed to her brother's house. There she is forced into marriage with a stranger by her relatives for the sake of respectability. But with the rebellion quelled, Grusche meets her betrothed, returned from the war. When he discovers she has a child he abandons her. She is then accused by the Governor's wife and by the victorious military, who have put down the rebellion, of having abducted the child. The matter is brought to trial before the eccentric, wine-swilling judge, Azdak, who has only received the robe of office by chance in the confusion of war. But beneath the unconventional exterior, the apparent corruption and the extraordinary methods he employs in his investigations, Azdak has profound humanity. He rapidly perceives the true nature of the situation and decrees that the dispute over the child, whether it is truly Grusche's or that of the wealthy Governor's wife, should be decided thus: a chalk circle is drawn. The child is placed in the middle, each of the two women in dispute is to take one of the child's hands. Whoever pulls the child out of the circle will be permitted to keep him. Fearful that little Michel will be injured or even lose his arm, Grusche is unable to hold fast. She lets him go. Azdak then declares to the amazed onlookers and to the Governor's wife, who swoons, that Grusche has shown herself to be the true mother, while the inheritance will go to the city so that a children's playground can be built. And seemingly by chance, instead of granting a divorce to two quarrelsome old people who had brought their case to his court at the same time, Azdak overlooks them and grants a divorce to Grusche from the peasant she had been compelled to marry when seeking refuge. [35]

It is an outcome very different from that of *Der Gute Mensch von*

Sezuan, which, as I have suggested, bears the hallmark of a tragedy. In both dramas the value of humanity, of good-heartedness are paramount. In *The Caucasian Chalk Circle*, goodness wins. Perhaps the two plays could be seen as twin works, *The Caucasian Chalk Circle*, the happy counterpart. What of the Alienation Effect? Brecht inserts a Singer as narrator to introduce the situation and to comment on the events as they unfold. The drama is presented as the enactment of a narrative. Thus it is "Episches Drama", Epic Theatre. And as a play more in the tradition of serious comedy, as far as dramatic theory is concerned, the concept of catharsis does not apply. Indeed if we were to seek a forerunner to *The Caucasian Chalk Circle* it would be Heinrich von Kleist's comedy *Der Zerbrochene Krug* (1808) —*The Broken Jug*, which also features a semi-comic trial to establish who broke a plaintiff's valuable jug, with the proceedings overseen by a shrewd village judge, Adam, who appears to tolerate no humbug. Yet, he too is corrupt, and as the trial unfolds it emerges that it is not only a question of a broken jug, but of the lost virginity of the daughter of the house, Eve. I need hardly add, given their names, that it emerges within the trial overseen by Adam, that he is himself the culprit, having knocked over the jug when leaving Eve's room deep in the night. [36]

In his years of exile Brecht had to travel light. But he took with him a rolled Chinese painting, which he would hang on his wall wherever he was. [37] It depicted the man who questioned all, Der Zweifler (The Doubter). He also treasured a little Chinese lion carved from the root of a tea-bush. The picture reminded him that all apparent truth had to be examined, not taken at face value. The lion reminded him of his own poetry, indeed we might say of his entire work:

> "Auf einen Chinesischen Teewurzellöwen"
> "Die Schlechten fürchten deine Klaue,
> Die Guten freuen sich deiner Grazie."

Derlei
Hörte ich gern
Von meinem Vers. [38]

"On a Chinese Tea-bush Root"
"Evil men fear your claws
Good men delight in your grace."
That is what
I would love to hear said
Of my verse. [Translation mine]

Like his rolled picture, Chinese literature accompanied Brecht throughout his years of exile and before. Translation opened to him a source of inspiration that would otherwise have evaded him. One of his central techniques as dramatist and poet was to build on existing works and reshape them. In his *Six Chinese Poems* we see subtle transformations, changes of emphasis within what is still ostensibly a translation. In his dramas he both develops his own version of the Japanese Nô tradition in the early didactic plays such as *Der Jasager* and then decisively evolves his own theory and practice of "The Alienation Effect", inspired by the theatrical work of Mei Lanfang. He uses material of Chinese origin for two of his greatest plays, *Der Gute Mensch von Sezuan*, and *Der Kaukasische Kreidekreis*, the first set in a fictive Sichuan. He has gone beyond translation to works inspired by his acquaintance with Chinese thought. At the heart of those works, both the originals and his own, is a core concept that he embraced in dark times, "in finsteren Zeiten" as he himself called them. That concept he found in the great Chinese philosophers, in Confucius, in Laozi, in Mo Di. It was that of selflessness, of goodness. He hoped and believed that in the face of all adversity, goodness would conquer. Or in the words of his poem on Laozi in emigration,

> "Daß das weiche Wasser in Bewegung
> Mit der Zeit den mächtigen Stein besiegt.
> Du verstehst, das Harte unterliegt." [39]
>
> "That gentle water in motion
> In time will conquer mighty stone.
> You understand: what is hard is defeated."

Notes

[1] Bertolt Brecht, *Grosse Kommentierte Berliner und Frankfurter Ausgabe*, ed. Werner Hecht et al., Berlin, Weimar, Frankfurt am Main, (hereafter GKBFA) Vol. 3, *Stücke 3*, 58-65.

[2] See commentary, ibid., 420-421.

[3] GKBFA, Vol. 18, *Prosa 3*, 13-43, 436-451, commentary 457-485.

[4] GKBFA, Vol. 18, 462 f.

[5] GKBFA, Vol. 18, 47-193.

[6] GKBFA, Vol. 18, 491-492. Forke's book was entitled *Mê Ti des Sozialethikers und seiner Schüler philosophische Werke*, Berlin, 1922.

[7] See commentary GKBFA, Vol. 18, 493.

[8] GKBFA, Vol. 17, *Prosa 2*, 11-161.

[9] GKBFA, Vol. 17, 48, 53, 86, 58, 65, 109, 112, 113, 126, 137, 138, 139-40, 146f., 153, 160, 161, 170, 171, 172.

[10] GKBFA, Vol. 2, *Stücke 2*, 334-392.

[11] GKBFA, Vol. 2, *Stücke 2*, 230-322.

[12] Quoted in John Willett, *The Theatre of Bertolt Brecht. A Study from Eight Aspects*, London, 1959, 1967, 1977, p. 68.

[13] GKBFA, Vol. 22, 200-210.

[14] *Theaterarbeit. Sechs Aufführungen des Berliner Ensembles*, ed. R. Berlau, B. Brecht, C. Hubalek, P. Palitasch, K. Rülicke, Dresden, 1952. Also Düsseldorf,

1955.

[15] *One Hundred and Seventy Chinese Poems*, translated by Arthur Waley, London, 1918, reprinted ten times 1919-1947, second edition 1962, 1977, third edition 1986, 1992, 1996. For Waley's understanding of Bai Juyi, see his Preface.

[16] Nigel Reeves and Liu Shusen, "Translation as Revival and Transformation: The poems of Bai Juyi in Arthur Waley's and Bertolt Brecht's Translations", *Translation Quarterly* 36 (2006).

[17] Waley, op.cit., p. 122.

[18] I am extremely grateful to Professor Liu Shusen, Professor of English at Peking University, for providing me with the original Chinese and for assisting me with the transcription.

[19] GKBFA, Vol. 11, *Gedichte 1*, 261.

[20] GKBFA, Vol. 12, *Gedichte 2*, 32-34.

[21] GKBFA, Vol. 6, *Stücke 6*, 175-279.

[22] See GKBFA, ibid, 196.

[23] GKBFA, ibid, 268-9.

[24] German text GKBFA, ibid, 275-276.

[25] GKBFA, ibid, p. 275.

[26] GKBFA, ibid, p. 277.

[27] GKBFA, ibid, p. 277.

[28] GKBFA, ibid, p. 279.

[29] See *Schillers Werke. Nationalausgabe*, Weimar, Vol. 4 (1983), ed. Edith Nahler, Horst Nahler, 7-121 (original version of 1783).

[30] GKBFA, Vol. 3, *Stücke 3*, 262-324; 325-398.

[31] GKBFA, Vol. 8, *Stücke 8*, 319-371.

[32] GKBFA, ibid, 7-92; 93-185.

[33] GKBFA, ibid, 455.

[34] *Hui-lan ki, Der Kreidekreis. Schauspiel in vier Aufzügen und einem Vorspiel von Li Hsing-tao*, translated by Alfred Forke, Leipzig, 1926. See GKBFA, Vol. 8,

Stücke 8, 455-456.

[35] GKBFA, ibid, 90-91; 183-184.

[36] *Heinrich von Kleist, dtv Gesamtausgabe*, Munich, *Dramen Zweiter Teil*, ed. Helmut Sembolner, Munich, 1964, 6-69. The dénouement: scene 12, 67f.

[37] See Werner Hecht, *Brecht Chronik 1898-1956*, Suhrkamp, Frankfurt am Main, 1997, p. 530, cp. Marianne Kesting, *Bertolt Brecht in Selbstzeugnissen und Dokumenten*, Hamburg, 1959, p. 87 and Reinhold Grimm, *Bertolt Brecht*, Stuttgart, 1971, p. 45.

[38] GKBFA, Vol. 15, *Gedichte 5*, 255.

[39] GKBFA, Vol. 12, *Gedichte 2*, 34.

About the Author

Nigel Reeves studied German and French at Oxford University where he also obtained his doctorate on the German poet, Heinrich Heine, in 1970. He was a lecturer in German at Reading University from 1968 and became Professor of German at Surrey University in 1975. He moved to Aston University in 1990, where he was Head of Modern Languages until 1996 when he became Pro-Vice-Chancellor. He received the UK OBE in 1987 and was awarded the Officer's Cross of the Order of Merit of the Federal German Government in 1999. He has published several monographs and over one hundred articles, and is co-author of the Penguin Classics translation of Heinrich von Kleist's short stories.

英漢文學翻譯詞典芻議

黃文範

Abstract

A Proposal on the Compilation of an English-Chinese Dictionary of Literary Translation (*by* Huang Wen-fan)

The following essay is based on a lecture delivered by the author in 2005 when he was named an Honorary Fellow by the Hong Kong Translation Society. Making reference to existing dictionaries and lexicographical aids, he advances his personal views on the difficulties in compiling an English-Chinese dictionary of literary translation, as well as ways of overcoming them. Actual examples of how specific entries can be prepared, culled from a wide range of texts, are included for illustrative purposes.

> 人的重要，不在於他的成就，毋寧是他想成就些甚麼。——紀伯倫（Kahil Gibran）

一

從事翻譯工作的人，具備了找資料的訓練，一旦在工作中遇

到了疑難，便知道如何因應，如何解決。

最方便的資料來源，當然是良師益友，相互切磋琢磨，以廣識見，獲致答案；但是文學翻譯畢竟是一種藝術，具有個人的獨創性，文義的詮譯，用字行文的推敲，展現執筆人的詞藻、見識與才華，依人不行，靠人不得。可靠的資料來源之一，便是詞典了。詞典是一種知識的典藏，它以有系統的方式，將語文的來源、變遷、發音、釋義與拼字搜羅齊備，供使用人作抉擇。

翻譯，是兩種文字締緣後的結晶。將英文譯為中文，涉及兩種文字，尤其是文學翻譯，譯人面對的很可能是作者本身的大千世界，對我們完全陌生，必須深入體會，仔細揣摩，方能心領神會，得心應手從事轉達。所以必須多備詞典，勤查類書，才能對一部語言、地域、文化完全不同環境的著作，以恰當的文字敘述表達，使讀者得以了解、體會、欣賞。[1]

一如任何技與藝，翻譯易學而難工；至於文學翻譯，更是翻譯的上乘境界，只可惜很多有志於斯的朋友，淺嚐輒止，不肯把一生的時間、精力用在兩種文字的精鍊與轉換上，以致人人都能翻譯。很多人都有譯作，但卻只有少數人肯捨身飼虎，拋開一切來一輩子做這個工作。因為惟有專心致志在翻譯上，才能使譯識、譯力磨鍊得漸臻化境，足以追隨原創作者的才華，方始有質量均佳的文學翻譯出現。

英漢字典為翻譯工作者必不可缺的重要工具書，但大多都由英英字典“翻譯”而成，譯譯相沿，以致文學翻譯的西化程度日益加深。為了協助文學翻譯工作者的使用，海峽兩岸三地的學者宜合作先編一部適合文學翻譯的英漢詞典；它的規模宜大，內容要新，使我們能在廿一世紀時，有一部以中國文化為基礎的《英

漢文學翻譯詞典》出現，為今後文學翻譯的開拓，提供適當的助力。誠如林語堂在〈論翻譯〉一文中所說：

> 字典之用處，就是使學者對於一字本不甚明瞭不甚精確的解說，能變為明瞭精當的解說。最好的字典，且應以用法為主體，專以客觀方法，做搜集各字用法實例的功夫，將一字所有的用法及其所組織的成語，集合列入該字之下，然後依其用法，分出其字義在使用上發生之變化，務使學者開卷便得了然一字所有之用法，而非專做定義界說的工夫。有這種的字典，也就可以用不着借助他人，或問津師長。[2]

二

英英詞典與英漢詞典的詞彙量相差無幾。《節本牛津詞典》的詞彙為三十萬條，而《英漢大學詞典》收詞也達到二十七萬條，可說旗鼓相當。[3] 但是，中文的特性卻是“以單字立基，以複詞廣用”，這二十七萬條詞彙，並沒有統計過，它的單字量究竟是多少，但我們可以推定一定少於《漢英詞典》的單字量。

林語堂的《當代漢英詞典》所收中文的單字量為最高，也只有 8,289 個字；《通用漢英辭典》有 4,800 個字，才及它的 57.9%。[4] 依據台北市《聯合報》與《中國時報》兩報的電腦排版常用字彙表，分別為 2,358 字與 2,578 字來說，一般英漢字典中的中文單字量，可能比這一個數字更少，而在〈國民學校常用字彙表〉的 2,738 字範圍內。

固然，我們只需應用這些少數單字量組成複詞編成英漢詞典，即可應付新聞與日常生活的必要；但在文學翻譯中，則顯得字量過少，翻譯捉襟見肘，不足以充份表達字彙數以萬計的世界文學名著。英漢字典使用的中文字數越多，它的字彙就可能越大，也就是它的“字集字數”就可能越多，翻譯工作者在文字的運用上，有更多的揮灑空間。

理想中的《英漢文學翻譯詞典》，在初期的用字字量，應不少於《當代漢英詞典》。特色則為定義精確，列出字源，再劃分這個詞在使用時的意義，最重要的，一如《牛津字典》，宜引用歷代文學作品中的詞句作展示，字學、文學、與史學的品味高。要編這一部合乎文學翻譯工作者使用的英漢詞典，在中文內便必須：（一）增加單字量；（二）納入文言與俗俚的引例。

三

有些英漢字典雖稱以白話為主，而摒棄了文言，但卻又省略去白話中的俚俗語（colloquial speech）。五十年前，傅雷對這種情形便慨乎言之：“白話文跟外國語文，在豐富、變化上面差得太遠。文言在這一點上比白話就佔便宜”。周作人說過：“倘用駢散錯雜的文言譯出，成績可比較有把握：譯文既順眼，原文距離亦不距離過遠”，這是極有見地的說法。文言有它的規律，有它的體制，任何人不能胡來，詞彙也豐富。白話文卻是剛剛從民間搬來的，一無規則，二無體制，各人摸索各人的，結果就要亂攪。同時我們不能拿任何一種方言作為白話文的骨幹。我們現在

所用的，即是一種非南非北，亦南亦北的雜種語言。“凡是南北語言中的特點統統要拿掉，所剩的僅僅是些輪廓，只能達意，不能傳情。故生動、靈秀、雋永等等，一概談不上。……於是文章就變成‘普通話’，而這普通話其實是一種人工的，artificial 之極的話。換言之，普通話者，乃是以北方話做底子，而把它 colloquial 的成份全部去掉的（一種）話。你想這種語言有什麼文藝價值？”[5]

舉例來說：一九九七年八月卅一日，英國的黛安娜王妃在巴黎車禍逝世，我曾探討 Diana is Dead 這一則“雙聲”新聞標題的翻譯，[6] 提到：翻開一部英漢字典，動詞的 die、形容詞的 dead、名詞的 death 與 decease 項下，並沒有“掛了”、“翹了”、“走了”、“老了”、“嗚呼哀哉”這些俚俗白話；也沒有了文言中的“薨”、“崩”、“殤”、“萎”、“終”、“喪”、“逝”、“夭”、“去”、“盡”、“卒”、“歿”、“消”、“斃”、“殞”、“故”、“亡”、“往生”、“羽化”、“泥洹”、“涅槃”、“滅度”、“圓寂”、“跨箕”、“殯天”、“歸西”、“魂歸”等。中文內的豐富語彙完全消聲，只譯為“死”、“死的”與“死亡”。

再以極普遍的人稱而言，口頭語中，有一個“人家”，最為小兒女間所喜用，它既可代表自己的第一人稱，也可作第三人稱：

你成天拿人家開玩笑 You are making fun of me all the time.
人家的事你甭管 Don’t meddle with somebody else’s business.

這種用語極為鮮活，也極為普通，可是在一些英漢字典的第一人稱與第三人稱釋義中，並不列入“人家”。

又以文言中的人稱來說，《紅樓夢》第二十七回〈滴翠亭楊妃戲彩蝶　埋春塚飛燕泣殘紅〉中，林黛玉的〈葬花吟〉長詩內，用了六個“儂”，經林語堂與霍克思分別譯為英文：

（八）

怪儂底事倍傷神　半為憐春半惱春
憐春忽至惱忽去　至又無言去不聞

(1) Oh, ask not why and wherefore she is grieved,
For loving spring, her heart is torn
That it should have arrived without a warning,
And just as noiselessly is gone. [7]

(2) I know not why my heart's so strangely sad,
Half grieving for the spring and yet half glad;
Glad that it came, grieved it so soon was spent.
So soft it came, so silently it went! [8]

（十）

願儂脅下生雙翼　隨花飛到天盡頭　天盡頭　何處有香坵
未若錦囊收艷骨　一抔淨土掩風流

(1) Oh, that I might take winged flight to heaven,
With these beauties in my trust!
T'were better I buried you undefiled,
Than let them trample you to dust.

(2) And then I wished that I had wings to fly
After the drifting flowers across the sky:
Across the sky to the world's farthest end,
The flowers' last fragrant resting-place to find.

（十一）

爾今死去儂收葬　未卜儂身何日喪
儂今葬花人笑癡　他日葬儂知是誰

(1) Now I take the shovel and bury your scented breath,
wondering when my turn shall be.
Let me be silly and weep atop your grave,
For next year who will bury me?

(2) Can I, that these flowers' obsequies attend,
Divine how soon or late my life will end?
Let others laugh flower-burial to see:
Another year who will be burying me?

"儂"在吳語系中為第二人稱，從林、霍譯詩中，則可見"儂"又兼具第一人稱及第三人稱，但一些英漢字典也沒有納入"儂"這個字。

因此，我們可以推論，一般英漢字典斬斷了中文內文言的根，又芟除了俚俗用字的枝，完全以普通話作釋義、例句，誠如傅雷所指出，只是一種《英普字典》。這種雙根植基於英文沃土與中文瘠壤份量不對稱的字典，使文學翻譯工作者使用時，並不能得心應手，意到便成。

四

擬議的《英漢文學翻譯詞典》，“引例”宜多，《論語》論學人：“君子不重則不威，學則不固。”（If the scholar be not grave, he will not call forth any veneration, and his learning will not be solid. [9]）這句話似乎也可以應用在這本詞典的“引例”上，引述的例句一定要夠份量，才能在使用者心目中建立權威。

各種字典中，“引例”最詳盡豐富的，漢漢字典首推《康熙字典》，至於《辭海》與《辭源》，“雖然以詞為單位，內容卻偏於百科全書性質”。[10] 它們卻都缺乏了中文的白俗語彙；英英字典中當然非《牛津字典》莫屬了。英英字典中，林語堂一生獨鍾《簡明牛津字典》，自稱不論家居遠遊，不可一日無此君，他以這本字典為讀物，甚至認為是“平日消閒最好的讀物”，原因之一即在於《牛津字典》的“引例”：

> 以求解作文兩用為主旨，多列成語，引證用法，得社會歡迎，獨步一時，乃理所當然。字典有定義而無舉例，猶如畫像有輪廓而無眉目，空空洞洞，令人疑神疑鬼，某字在某句果此義也，果彼義也，捉摸莫定。一有例句，則前之所謂輪廓者，骨肉豐盈眉目畢現矣。此《簡明牛津字典》序文所謂“define, and your reader gets a silhouette; illustrate, and he has it ‘in the round”也。倘若真如《簡明牛津字典》編來，直可以謂“血足榮膚，膚足飾肉，肉足冒骨”，可以令人顛倒，豈但得簾中模糊倩影而已？《牛津字典》魔力實全在此。[11]

詞典中的引例，宜出自名家，《聖經》與《莎劇》的名句，為《牛津字典》的首選；我們盼望的《英漢文學翻譯詞典》也應採用，只是譯文宜兼用二家之言，《聖經》須採新教與天主教兩種譯本；《莎劇》必須梁實秋、朱生豪二譯並列，以示不偏不倚。至於中國文學名著，如《紅樓》、《水滸》、《三國》、《西遊》，乃至近代名家的作品，都宜一一列明，並附章回數字或出處。

三十七年前，余光中嗟嘆“翻譯體傳來中文裏的無妄之災”，[12] 他以 if 為例，認為這個字在不同的場合，“可以譯成‘假使’、‘倘若’、‘要是’、‘果真’、‘萬一’等等。但是在公式化的翻譯體中，它永遠是‘如果’”。後出的英漢字典中，早期如一九七五年梁實秋主編的《英漢大辭典》，[13] 在這一項下，已增加了“假使、假設、倘若、縱令、即使、何時、是否”等項。到七年半後東華版的《英漢大辭典》，[14] 釋義上更增為“假使、如果、要是、即令、縱令、雖然、無論何時、當、是否”等項，而且附有例句，對翻譯工作者來說，多了選項，跳出了早期字典釋義只有一項“如果”的桎梏，自是有無窮受用。

然而，期望的《英漢文學翻譯詞典》中，每一個字釋義都宜附“引例”（illustrative quotation）——不是編者率爾操觚、即興自撰的例句，而要引經據典，列出屬於文學的句子。試以 if 為例：

> He sent forth a dove from him, to see if the waters were abated. (*Gen.* xiii: 8)
>
> 他又放出一隻鴿子去，**要**看看水從地上退了沒有。（創世記 8:

8）
又放出一隻鴿子，看看水**是否**已由地面退盡。（創世紀 8: 8）

Declare if thou knowest it all. (*Job* xxxviii: 18)
你**若**全知道，只管說罷。（約伯記 38: 18）
你**若**知道，請你說罷！（約伯傳 38: 18）

If thou be the sonne of God, command that these stones be made bread. (*Matt.* IV: 3)
你**若**是神的兒子，可以吩咐這些石頭變成食物。（馬太福音 4: 3）
你**若**是天主子，就命這些石頭變成餅罷！（瑪 4: 3）

No, Bolingbroke, If ever I were Traitor, My name be blotted from the booke of Life. (*Richard II* I.III: 201)
不，波林布魯克，我**要是**曾犯叛逆之罪，願我的名字被從那冊生命之書中抹去。[15]
不，布靈布洛克，**如果**我曾是叛徒，我情願在永生的名冊當中，把我的名字塗去。[16]

公子**若**返晉國，則何以報不穀？（《左傳》〈僖廿三年〉）

王**若**隱其無罪而就死地，則牛羊何擇焉？（《孟子》〈梁惠王〉）

朔之婦有遺腹，**若**幸而男，吾舉之；即女也，吾徐死耳。（《史記》〈趙世家〉）

但使龍城飛將在，不教胡馬度陰山。（王昌齡〈出塞〉）

扶衰**倘**未死，更破十年功。（陸游〈讀書〉）

衰蘭送客咸陽道，天**若**有晴天亦老，攜盤獨出月荒涼，渭城已遠波聲小。（李賀〈金銅仙人辭漢歌〉）

倘若在別人家，那豈不教人家惱嗎？（《紅樓夢》8）

倘若鬧點事情出來，或者辦錯了公事。（《官場現形記》13）

設若我作出件事來，簇簇新的冤冤相報，大家未必不疑心到我。（《兒女英雄傳》8）

倘若有半句兒差錯，我這口刀，定是教你身上添三四百個透明的窟窿！（《水滸傳》26）

若像這曹州府的百姓呢，近幾年的年歲，也就很不好。（《老殘遊記》6）

陛下，那叫做奈何橋，**若**到陽間，切須傳記。（《西遊記》11）

倘或意惡心毒，喝令多人，割了你肉，做甚麼香袋啊，我等豈有善報？（《西遊記》54）

伙計，你問問住店的眾位客人去，丟東西沒有，**要**丟了東西，跟他們兩個人要。（《濟公傳》78）

你在世時，為人軟弱，今日死後，不見分明，你看**若是**負屈啣冤，被人害了，托夢與我兄弟，替你報冤雪恨。（《金瓶梅》9）

昨晚那麼晚，你把人家一個人扔在樹林裏，**要是**碰見壞人可怎麼辦？（王朔《玩的就是心跳》）

如果你破了相，一文不名，我就毫不猶豫地拋棄你。（王朔《千萬別把我當人》）

如果話不投機，就各奔前程。（莫言《蒼蠅•門牙》〈飢餓和孤獨是我創作的財富〉）

你**要是**贏了這次的冠軍，無疑是真正的冠軍。（阿城《棋王》）

若是茅草稻草，船都不必停，邊行邊扔了過來。（張拓蕪《墾拓荒蕪的大兵傳奇》〈故宮那塊紅燒肉〉）

將來他登陸印度，必將成為佛教徒；**如**進古波斯，則變為拜火教徒。（無名氏《一根鉛絲火鍋》）

> **如果**不是這雙殘腳，你上天，我也上天，你下地，我也下地。
> （墨人《白雪青山》）

五

區區一生以翻譯為職志，受惠於各種字典至深且厚，在一生生涯漸進無限好的夕陽時期，不禁也和金恩博士卅八年前那篇名垂青史的演說主題一致，I have a dream today，夢境雖飄渺虛無，但卻是下意識中的“日有所思，夜有所夢”；黎巴嫩詩人紀伯倫更讚“最好的知識便是夢！”[17] 我的夢想便是會有一部更上層樓的英漢詞典，溥益後人。

隨着時代、文化、社會及生活的更易，字典的改進與增修了無已時，迄無休止。一九九六年，專門研究英文俚俗語的格林（Jonathan Green），發表一本專門討論大字典及創作人的書，書名便是《夸父逐日》（*Chasing the Sun: Dictionary Makers and the Dictionaries They Made*），他引用英儒約翰生（Samual Johnson）一七七五年（清乾隆二十年），在完成的《英語字典》（*The Dictionary of The English Lauguage*）上所作的序：

> But these were the dreams of a poet doomed at last to wake a lexicographer … and that thus to pursue perfection was, like the first inhabitants of Arcadia, to chase the sun, which, when they had reached the hill where he seemed to rest, was still beheld at the same distance from them. [18]

> 但一名詩人的這些夢想，注定終將使辭典編輯家醒悟：這種追求辭典的盡善盡美，就像阿卡迪亞（Arcadia）桃花源中最先的住民逐日一般，他們已經接近看上去是太陽休止的山頭，卻依然見到它同樣遠離他們。

約翰生並不是說“逐日”徒勞無功，而是鼓舞後世來者，要力求字典精益求精，“完美，永無止境”。

一九九三年十月，作者應社科院外文研究所之邀，到北京訪問，首度提出“編印英漢文學翻譯詞典”的夢想。十三年後，依然還在做這個夢，期待、盼望、希望在今後，能有這麼一部舞文弄墨，文白兼俱、引例繁富的《英漢文學翻譯詞典》問世。這本詞典中，增加文言及俚俗用語的引例，並非泥古或趨俗，而要使浩瀚汪洋的文學資源，供翻譯工作者汲取文學的養料，使這本詞典不只是解疑釋難的老師、切磋琢磨的良友、和摧困破難的工具，更是一本可以隨興翻閱的寶典，使翻譯工作者隨時隨地都能領略中英兩種偉大文字與文學宮室之美、庋藏之富，朝夕浸淫，無往而不自得，久而久之，對兩種文字的移轉變易，可以信手拈來，便成佳構，以更豐富的字彙及更優美的詞藻，臻致文學翻譯的化境。

一九九〇年元月十七日編印《利氏漢法大字典》的台北利氏學社主任魏明德，為他們那部歷經四十五年才完成的大字典寫了一篇感言〈大辭典像棵樹，同探中法文沃土〉，形容編輯雙語大辭典的工程：

> 這部雙語大辭典就像一棵樹。它像兩股巨形的根，一邊深入法語

> 的沃土，另一邊則是中文的沃土，同吸取雙方的養分。這份沃土，是語言、源流的沃土，是中文字義的多樣性，隨着幾世紀光陰的沈澱，同時也是法文的敏銳度的展現，得以精準抓住中文用語的微妙之處。因着如此，大辭典立於高峰之巔。所謂高峰，是人類的思潮，在語言境界的拓展，藉由字彙與用法的獨特性，顯示人性的普遍性。在大辭典的枝枒，垂着的是文化智慧結成的美味果實，有待讀者採收與品味。[19]

拙夢所寄的《英漢文學翻譯詞典》，深盼既能溥益文學翻譯，也有助於有志中英文學的讀者。然而，這只是個人夢想的開端，最大最大的夢想，則是希望不讓《利氏漢法大字典》專美於前，在二十一世紀中，華文世界能有一部震驚世界，融《康熙字典》與《牛津字典》為一體的《英漢鉅典》問世！

既然《漢法大辭典》做到了，我所夢想的《英漢鉅典》，在英文已是國際語文，而中文正奮然崛起的當代，未來一定也可以做得到。

注　釋

[1] 黃文範〈編印文學翻譯詞典〉，載《翻譯小語》，台北：書林出版公司，1997，頁 309。

[2] 林語堂〈論翻譯〉，載《語堂文集下冊》，台北：台灣開明書局，1978，頁 638。

[3] 劉靖之《翻譯工作者手冊》，香港：商務印書館，1991，頁 255-257。

[4] 劉靖之《翻譯工作者手冊》，香港：商務印書館，1991，頁 258。

[5] 傅雷〈致林以亮論翻譯書〉，載劉靖之主編《翻譯論集》，香港：三聯書店，1981，頁 72。

[6] 黃文範〈黛妃薨〉，載《效顰五十年》，台北：三民書局，2003，頁 68。

[7] 林語堂《無所不談集》，台北：台灣開明書店，1974，頁 352-354。

[8] David Hawks, *The Story of the Stone*, Vol. 2 (New York: Penguin Books, 1977), pp. 38-39.

[9] James Legge, *The Chinese Classics*, Vol. 1 & 2 (Oxford: Oxford University Press, 1935), p. 141.

[10] 林語堂〈當代漢英詞典緣起〉，載《無所不談集》，台北：台灣開明書店，1974，頁 196。

[11] 林語堂《兩部英文字典》，載《語堂文集》，台北：台灣開明書店，1974，頁 665。

[12] 余光中〈翻譯和創作〉，載劉靖之主編《翻譯論集》，香港：三聯書店，1981，頁 129-130。

[13] 梁實秋主編《遠東英漢大辭典》，台北：遠東圖書公司，1976。

[14] 陸谷孫主編《英漢大辭典》，台北：台灣東華書局公司，1992。

[15] 梁實秋譯〈利查二世〉，載《莎士比亞全集》第 5 冊，台北：遠東書局，1976，頁 44。

[16] 虞爾昌譯〈理查二世〉，載《莎士比亞全集》4，台北：世界書局，1969，頁 19。

[17] 紀伯倫〈科學與知識〉，載黃文範譯《行列》，台南：大行出版社，1973，頁 35。原詩如下：

最好的知識便是夢，
得到的人緊緊把握住，毫不被
嘲笑所畏懼，在稠人廣眾中行動，
被人蔑視、安詳、和謙卑。

這種人是先知，他來臨，
被未來思想的披風所遮蔽，

以古老的裝束隱跡人群，
沒有人能見到他所具的才能。

他是這種生活的生客，
讚揚和譴責的人對他也陌生，
因為他高舉“真理的火把”
雖則他已被火焰活剝生吞。

[18] Jonathon Green, *Chasing the Sun: Dictionary Makers and the Dictionaries They Made* (New York: Henry Holt & Co., 1996), p. ix.

[19] 魏明德〈大辭典像棵樹，同探中法文沃土〉，載台北《聯合報》，1990年1月17日14版。

作者簡介

黃文範，1925年8月26日生，在空軍防空學校任教職時，因執教需要，翻譯大量教材及教範，因而奠定一生治譯專業的根基。黃文範所譯多為文學、歷史、傳記類現代名作家傑構，諸如：托爾斯泰《戰爭與和平》、索忍尼辛（索爾仁尼琴）《古拉格群島第一、二、三部》、雷馬克《西線無戰事》、奧科特《小婦人》、法瑞哥《巴頓將軍傳》、曼徹斯特《麥克亞瑟傳》、杜立特《杜立特將軍自傳》、雷恩《奪橋遺恨》、布朗《魂斷傷膝澗》等等。此外，黃文範基於本身體驗的翻譯見解及自構的原則，著有《翻譯新語》、《翻譯偶語》及《翻譯小語》三書。五十五年以來，黃文範所譯諸書，字數已達兩千四百萬字；2005年獲香港翻譯學會榮譽會士銜。

BOOK REVIEW

Les Belles Infidèles: Adaptation and/as Translation in Late Nineteenth-Century Japan

Leo Tak-hung Chan

J. Scott Miller. *Adaptations of Western Literature in Meiji Japan.* New York: Palgrave, 2001. pp. x + 180. ISBN: 0-312-23995-5.

Western scholars of translation, mindful of the pitfalls of Eurocentrism, have often pointed out the lack of understanding of, as well as the dearth of available information on, non-Western translation traditions. In this light, J. Scott Miller's *Adaptations of Western Literature in Meiji Japan* must be seen to have filled an important niche. Its focus is on the mid-Meiji translation scene, and specific attention is paid to three *hon'anmono* (adaptive) texts: *Gurando-shi den Yamato busho* (Grant's Life, in Japanese) by Kanagaki Robun; San'yutei Encho's *Eikoku koshi* (Dutiful English Son), an adaptation of the Victorian writer Charles Reade's novel *Hard Cash*; and the rewriting of the American melodramatic novel *The False Friend* as *Futagokoro* (Two Hearts) by the renowned Japanese translator of Shakespeare, Tsubouchi Shoyo. All three works, published between 1879 and 1897, appeared during a time that saw many Japanese translations of Western literature cast in an adaptive, or transformational, mode.

The first of these is a biography of General Ulysses S. Grant, the ex-President of the United States who paid a visit to Japan and had an audience with the Emperor in 1879. (Strictly speaking, Robun's text is not a translation *per se*, and Miller resorts to calling it a "translation of Grant's life.") After a brief comparison with another contemporary account of Grant's life by John Russell Young, Miller details the adaptive features of Robun's biography, noting its generic resemblance to traditional Japanese comic *gesaku* fiction. In the narrative itself, manipulation with the facts makes it clear that Robun intended to downplay Grant's Otherness and turn what would be culturally strange into what was familiar to Japanese readers. The description of Grant's travels is reminiscent of other travelogues at the time. The meteoric rise of Grant is comparable to those of Meiji heroes. Other parallels, like those between the American Civil War and the Japanese Civil War, are discernible in the story as a means of bridging the knowledge gap for Japanese readers, making possible what Miller calls a "reconciliation" of American life and Japanese text.

By contrast, San'yutei Encho's *Eikoku koshi* is characterized by Miller as an "experiment in adaptation." It is experimental in that it is based on an oral source (a mediating translation, in fact) rather than the original novel by Reade, and even in printed form it contains the modalities of a Meiji storyteller's discourse. While Encho uses what we would today call "localization" strategies, turning English proper names into Japanese ones, the foreignness nevertheless still remains. This belies the commonly held but mistaken conception that adaptations must of necessity be domesticated translations. The appropriation of Western cultural elements in the story is selective rather than exhaustive. Among the most striking additions made by Encho to the text are the act of *seppuku* (ritual suicide) committed by the villain and references to the hero's filial piety, which is supposed to earn him Heaven's reward. The most significant deletion is the theme of madness (linked to Reade's concern for reform in the asylums) and its replacement by a murder plot (signifying social violence). Overall, Victorian concerns are overshadowed by Meiji ones.

The third adaptation, *Futagokoro* by Tsubouchi Shoyo, is of special interest by virtue of its textual hybridity and the way it reveals Shoyo's translation poetics. It is hybrid not only because it exhibits a mixture of the genres of fiction and drama, but also because Shoyo does not aim at the thorough accommodation of foreign elements. Most notably, the novel's protagonist, a soldier fighting for the Southern troops who gets wounded in the American Civil War, is given the Japanese name of Kogure Rishiro—in the source text, *The False Friend*, he is Lucian Gleyre. In cataloging the correspondences and differences between the source and target texts, Miller pinpoints the difficulties of the adaptive writer who "seeks to preserve the spirit of the original while recognizing the constraints of literal translation" (139). In effect, he has to negotiate between Japanese culture and an American text. The resultant hybrid is evident not only in the text, but also in the book cover and an internal illustration, which Miller discusses cogently at some length.

Miller's book provides an excellent opportunity for translation scholars to reconsider some of the seminal issues related to the understanding of adaptations/translations. The reader notices that Miller does not make a distinction between adaptations and adaptive translations, as the two terms are used as rough synonyms in the book. While that is generally acceptable practice, there are times when finer distinctions still need to be made. For instance, Robun's *Gurando-shi den Yamato busho* is more an adaptation than an adaptive translation, based as it was on a body of written biographical material on General Grant. Shoyo's *Futagoroko* is closest to an adaptive translation, since its manifold correspondences to the source text by Edgar Fawcett can be clearly demonstrated. More problematic is Encho's *Eikoku koshi*, which bears a tenuous relationship to the oral summary of Reade's novel provided by an intermediary, most possibly Fukuchi Ochi. Even Encho states in his Preface that his work is "not a translation but rather an adaptation" (94). In short, the three texts Miller studies are related in rather divergent ways to their putative sources.

Throughout the book Miller contrasts adaptation with literal translation. Their differences are encapsulated in a series of paired terms in translations studies: license vs. literalism; naturalization vs. estrangement; and so on. In the Japanese tradition the antithesis is expressed in the terms *hon'an* and *hon'yaku*—counterparts of slightly different formulations in different cultural traditions like the Chinese, the English and the French, to name just a few. *Hon'an* is similar to what we term "adaptation" or rewriting of source texts, that is, the intentional alteration of literary texts. On the other hand, *hon'yaku*, a method used mostly with scientific and medical texts, is analogous to what we would call "literal translation." The former connotes transmutation whereas the latter, correspondence. Since an attempt is often made in adaptations to minimize the cultural shock and make the translated text conform to the expectations of readers, they often turn out to be "domesticating translations." By contrast, literal translations are "foreignizing" in nature. With all these translation scholars are familiar, linked as they are to a heated debate begun centuries ago and still carried on in modified modern parlance.

As one reads the opening paragraph in Chapter One when Miller (quoting Edward Young) speaks of how the contrast between originality and imitation is mirrored in that between adaptive and literal translation, one notices that there is an implicit disparagement of imitation, which is somehow equated with mimicry. Should adaptive translations be considered as creative and literal translations viewed as imitative? And are imitations necessarily of an inferior order? Even if originality is to be taken as the sole criterion of artistic worth, we can still assert that imitations can exhibit remarkable inventiveness. This calls to mind the eminently successful parodies of Spike Milligan (of *Lady Chatterley's Lover*, the Bible, etc.) which play with the styles of noted past writers in the same language, and, in the context of "translation" across languages, the widely acclaimed imitations of Western fictional genres (like stream-of-consciousness and detective novels) by Chinese writers throughout the twentieth century. The view that adaptations are better than imitations, as well as the privileging of translation over adaptation, needs to be debunked.

Miller attacks the common assumption that, historically, adaptations appeared first, followed by more literal translations. Many translation historians might subscribe to this assumption out of a belief that, in earlier times, the lack of linguistic competence, or even an incomplete concept of translation, could have given rise to a preference for adaptive translations. Miller demonstrates with his portrayal of the late mid-nineteenth-century translation scene in Japan that this simply cannot be substantiated. The fact is that both styles of translation did occur simultaneously in the period covered by the book. Even readers of today can marshal evidence proving the co-existence of the two equally vibrant forms. However, Miller seeks to advance explanations as to why early twentieth-century Chinese translators opted for one rather than the other in this way: "reformists … sought to retain (adapt) traditional culture in light of the West, and revolutionaries … championed a more sweeping (literal) transformation along the lines of Western ideals" (16). One cannot help but note that his argument is untenable and does not take into consideration the complexities of the cultural situation in China at the time.

Perhaps the most interesting part of Miller's discussion of the adaptive mode of translation is his delineation of dichotomous views from the German and the French sides. For him, to a certain extent, the insistence on literalism is a product of the Romantic Movement in Germany, and the literal method is eulogized most notably by Walter Benjamin, who is best-known for his stated preference for interlinear translation, the extreme form of literalism. On the other hand, the adaptive method has been prevalent during crucial periods in world translation history; in particular, it was the preferred method of translators during the French enlightenment. For Miller, the era of unfaithful translations in France was only concluded with "the French turn towards literal translation following the example of the German Romanticists" (141). But the question of why these changes in taste occurred is still unanswered (though it is probably beyond the scope of this book). And how do we understand them against similar changes in East Asian countries like Japan and China? Why, for instance, did literalism rear its head in China in the early years of the twentieth century?

What translation studies needs at this juncture is a much expanded concept of translation which incorporates the possibilities of its performing other functions—those of transmutation and appropriation—in addition to the oft-acknowledged ones of communication and transmitting information. Miller promotes greater awareness of the meaning and significance of the infidelities in a translated text: their existence allows us to confront, and question, the apparently uncontestable view of translation as mimesis. In the expanded conception, the translator also plays many other roles than those traditionally ascribed to him: he becomes an adapter as well as a mediator (and that was how Robun perceived himself in relation to his biography of Grant) who intervenes and arbitrates between cultures. On the question of whether adaptations and redactions fall within the ambit of translation, Miller's book issues a resounding Yes, though many of our colleagues think otherwise. Notwithstanding the caveats mentioned above in this article, Miller has, as he said he intended, successfully mediated some of the differences between translation and adaptation; he has demonstrated "the value of seeing adaptation as a rich component of translation studies" by adding "a new, vibrant dimension to translation studies that have focused on new writings, or literal translation, alone" (103-4).

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Milligan, Spike (1994). *Lady Chatterley's Lover According to Spike Milligan*. London: Penguin Books.

_____ (1993). *The Bible: The Old Testament According to Spike Milligan*. London: Michael Joseph.

About the Author

Leo Tak-hung Chan is Professor of Translation at Lingnan University. His articles have appeared in *Harvard Journal of Asiatic Studies, TTR, Babel, Across Languages and Cultures, The Translator, Comparative Literature Studies, META, Journal of Oriental Studies* and *Asian Folklore Studies*. His recent books include *The Discourse on Foxes and Ghosts* (University of Hawaii Press, 1998), *Masterpieces in Western Translation Theory* (co-edited, City University of HK Press, 2000), *One into Many: Translation and the Dissemination of Classical Chinese Literature* (Rodopi, 2003) and *Twentieth-Century Chinese Translation Theory: Modes, Issues and Debates* (John Benjamins, 2004).

稿約凡例

《翻譯季刊》為香港翻譯學會之學報，歡迎中、英文來稿及翻譯作品（請附原文及作者簡介）。有關翻譯作品及版權問題，請譯者自行處理。

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3. 來稿均交學者審評，作者應盡量避免在正文、注釋、頁眉等處提及個人身份，鳴謝等資料亦宜於刊登時方附上。
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2. “ ”號用作一般引號；‘ ’號用作引號內之引號。

三、子　目

各段落之大小標題，請依各級子目標明，次序如下：

一、／ A.／ 1.／ a.／(1)／(a)

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