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Chief Editor's Note

The present (combined) issue is a significant landmark in two senses. First, the *Translation Quarterly* has now entered its sixteenth year of publication. With over 200 articles, reviews and essays published within the past fifteen years, it claims an unrivaled position as one of the longest running academic journals in Hong Kong (comparable to the likes of *The Journal of Oriental Studies*). Second, and more importantly, it has ventured into the Electronic Era by virtue of its being included in EBSCO Host, the highly prestigious research database, and its assumption of a digital format. Through the database, it will become accessible to international readers via major public, college and university libraries that subscribe to it. In effect, the electronic platform will not only enhance our journal's visibility but give it global exposure. Readers of the *Translation Quarterly* wishing to obtain personal hard copies in future can still send in their requests to the Secretary of the Hong Kong Translation Society, but that is no longer the sole option. Authors, on the other hand, will benefit enormously through the opportunity EBSCO provides of reaching scholars interested in translation from all corners of the globe.

To mark the special occasion, this issue features six articles on a diversity of topics. Wolfgang Lörscher, of the University of Leipzig, Germany, updates the theoretical debate on form-oriented vs. sense-oriented approaches to translation, making use of data

collected on natural translation ability as opposed to acquired translation competence. He cogently explains the differences in the teaching carried out in foreign language classrooms and in translation schools. In a similar fashion, Wu Zhijie and Wang Yuping, both Ph.D. graduates of Nanjing University, grapple with a central issue in Chinese translation theory, namely the competing demands of formal resemblance and spiritual resemblance. The prioritization of the latter by the mid-twentieth-century theorist Fu Lei is explicated in terms of a long history of traditional Chinese thinking on the "spirit" (*shen*), to which a new turn has been given by intellectuals both before and after him.

Both from the University of Manchester, United Kingdom, James St. André and Jeesoon Hong can be said to have struck out in two different directions in their articles featured in this commemorative volume. St. André paints a broad historical mural of the development of sinology in earlier centuries in the European context and the growth of area studies in the twentieth century, especially in the United States, assessing their impact on translation research. He poses intriguing questions concerning how translation studies in East Asia has been (and can be) transformed by post-colonial and cultural studies, as evidenced by the work of some of the leading translation theorists of our time, including Susan Bassnett, Haun Saussy and Lydia Liu. Instead of parading a historical perspective, Hong undertakes a close textual analysis of several translations by Ling Shuhua, a multilingual female writer

active in the 1920s and 1930s. In contrast to St. André, she focuses with microscopic precision on just one recurrent image—that of the little girl—in Ling's English as well as Chinese translations, detailing how it instantiates the transformations undergone by the psychological, aesthetic, social self.

The last two pieces are by our own Executive Editors, one who joined as recently as six months ago and the other a veteran member who has overseen the production of some 25 issues of the journal (since 2005, to be exact). Shao Lu, of the Polytechnic University of Hong Kong, conducts a quantitative as well as qualitative study of the translation of fuzzy language from English into Chinese, and she bases her discussion on examples lifted from the bestselling novel *The Da Vinci Code*. Although she can wax philosophical with her considerations of Wittgenstein and game theory, Shao also gives sound operational advice to the translation practitioner who is faced with fuzziness in everyday language use. Robert Neather, of the Baptist University of Hong Kong, draws on the insights offered by genre theory, especially as adumbrated by V. K. Bhatia, and enumerates at length the successes and failings of museum translators in the PRC. Some of his observations, especially the lack of engagement between the translation studies community and other discursive communities, should alert us to the need to rethink the uses of translation theories imported into China in the past few decades.

I would like to avail myself of this opportunity to thank Mr.

Tim Collins (President) and Mr. Matthew Schlosser (Key Account Manager, Content Licensing), both of EBSCO Publishing, Inc., for their kind invitation for the *Translation Quarterly* to join the ranks of several hundred esteemed journals in their database. Matthew was especially helpful in facilitating the entire process, by answering my unending queries over a nine-month period before the agreement was reached. I also look forward to further advice on the technological aspects of online journal production from Mr. Christin Ronolder, Serials and Check-in Supervisor at EBSCO. At the same time, it is with tremendous pleasure that I welcome our new Advisory Board member, James St. André, as well as our new Associate Executive Editor, Shao Lu. Finally, the alacrity with which all seven authors of the present issue responded to my requests is most genuinely appreciated.

<div align="right">Leo Chan</div>

June 2009

Form- and Sense-Oriented Approaches to Translation Revisited [1]

Wolfgang Lörscher

Abstract

After the introductory remarks three developmental models of translation competence are outlined and critically reviewed: Harris and Sherwood's natural translation, Toury's idea of translation-as-transfer and the author's own concept of a rudimentary ability to mediate. As empirical research has shown, an important approach to studying the stages of development of translation competence is process-oriented. It can be sign- or sense-oriented. The former typically occurs with foreign language learners and normally remains with non-professional translators whereas the latter is mostly to be found among professional translators. By way of conclusion, the implications for translation teaching resulting from the development of translation competence are outlined.

1. Introduction

The considerations which will be made in this paper can be located within the field of translation process analysis (cf. Gerloff 1988;

Jääskeläinen 1990; Krings 1986; Lörscher 1991; Séguinot 1989; Tirkkonen-Condit 1991). They are based on a research project which I have been carrying out since 1983. The aim of this project is to analyse psycho-linguistically translation **performance** as contained in a corpus of translations from German into English and vice versa. This is done in order to reconstruct translation **strategies**. These underlie translation performance, operate within the translation **process**, and are thus not open to direct inspection. In the first stage of the project translation processes of advanced foreign language learners were investigated. The results yielded are contained in Lörscher 1991. The second stage of the project, in which professional translators' mental processes were analysed, has been completed, and the third stage, in which bilinguals' translation processes are investigated, is in progress (Lörscher in preparation).

2. On the Development of Translation Competence

It is an obvious fact that translation competence, as possessed by professional translators, is the result of a developmental process that is never final. The process is based on a predisposition to translate which every individual is endowed with. This innate predisposition is not controversial in translation theory. What is most controversial, however, is the way translation competence develops from an individual's innate predisposition. At the moment two highly controversial developmental models exist: *natural translation* (Harris 1977, Harris/Sherwood 1978) and the concept of *translation as transfer* (Toury 1984, 1986a; 1986b).

2.1 Natural Translation

The concept of *natural translation* goes back to Harris 1977 and

Form- and Sense-Oriented Approaches to Translation Revisited

Harris/Sherwood 1978. It is defined as "the translation done by bilinguals in everyday circumstances and without special training for it" (Harris 1977: 99). According to Harris and Sherwood, bilinguals' translation competence develops, or rather unfolds itself, to the same degree and parallel to the extent to which the competence of a person in the two languages involved develops. Harris (1977: 99) points out that:

> … all translators have to be bilingual and … all bilinguals can translate. In addition to some competence in two languages L_i and L_j, they all possess a third competence, that of translating from L_i to L_j and vice versa. Bilingualism is therefore a triple, not a double, competence: and the third competence is bi-directional.

When they acquire bilingualism, children go through four stages in the development of translation competence:

Stage 1 is called **pre-translation**. During this most elementary stage a child names objects in two languages, e.g. French *œil* and English *eye*. According to Harris and Sherwood (1978: 167), the main function of pre-translations for a child is to build up and practice a co-ordinated bilingual lexicon instead of two autonomous monolingual ones.

Stage 2, **intrapersonal autotranslation**, is characterized by the child translating utterances which s/he has produced in one language into the other. So the addressee of an intrapersonal autotranslation is the translator him- or herself, not a communication partner. As to the reason or reasons why intrapersonal autotranslations are produced, Harris and Sherwood point out that their subjects found it amusing and enjoyed playing with two languages.

Stage 3 is called **interpersonal autotranslation**. Children translate utterances which they have produced themselves from one language into another. In contrast to intrapersonal autotranslations, interpersonal

ones are produced and directed towards a communication partner.

According to Harris and Sherwood stages 1 to 3 have to be gone through in order to reach stage 4. This is called **transduction**, i.e. translation in the narrow sense. It is defined by Harris and Sherwood as "communication in which the translator acts as an intermediary between two people" (1978: 165).

It should be emphasized again that Harris and Sherwood consider the development of translation competence as running parallel to the development of bilingualism, and that the degree of translation competence increases automatically to the extent to which the child's ability to use the two languages involved develops.

Translation competence in the sense of *natural translation* is thus considered to be an aspect of bilingual competence. It is a natural phenomenon of bilinguals and must not be confused with translation competence as possessed by professional translators. According to my data the assumption that *all bilinguals can translate* can definitely not be corroborated (cf. also Grosjean 2001). Several reasons seem to be responsible for that. The following three may be of special importance. First, even though bilinguals have competence in two languages, these competences are usually not of exactly the same kind. They may be more competent for a particular topic in language A than in language B. Second, bilinguals often lack the meta-lingual and meta-cultural awareness necessary for rendering a source-language text effectively into a target-language and culture. And third, bilinguals' competence in two languages does not necessarily include competence in transferring meanings and/or forms from one language into the other.

2.2 Translation as Transfer

The second developmental model of translation competence was proposed by Toury (1984, 1986a, 1986b). Toury agrees with Harris

and Sherwood about an innate human predisposition to translate. He considers it to be "co-extensive with bilingualism" (Toury 1986a: 85). The differences between the two concepts become evident when Toury characterizes the innate predisposition as follows: (a) the realization of this potential, which coincides with the onset of a translating career, should be taken as co-extensive with "interlingualism" (which is the ability to establish similarities and differences, at more than a single level, between items, structures and rules pertinent to those languages that a bilingual speaker has at his disposal) and with the presence of some mental mechanism which enables him to activate his ability to establish interlingual relationships, and (b) the development of translating as a skill is not reducible to a mere unfolding of the innate predisposition, but should be regarded as a function of the bilingual speaker's practice in actual translating, at least from the point where his translational behaviour can be characterized as communicative, that is, socially motivated and socially functional (1986a: 85).

According to Toury, translation competence does not develop quasi-automatically and parallel to the development of a child's bilingualism. Bilingualism is considered to be a *necessary*, but not a *sufficient* precondition for the development of translation competence. In addition to an individual's bilingual or quasi-bilingual competence, a transfer competence must be built up (Toury 1984: 189). Apart from other possible but hitherto unknown factors, it comprises the individual's ability to transfer texts equivalently on various levels according to a given purpose/aim and with regard to sense, communicative function(s), style, text type, and/or other factors; or to deliberately violate postulates of equivalence for a certain purpose (cf. Hönig/Kußmaul 1982; Reiß/Vermeer 1984; Krings 1987). Translation competence, according to Toury, is thus the sum of bilingual competence and interlingual transfer competence.

2.3   The Construct of a Rudimentary Ability to Mediate
2.3.1 Hypothetical Assumptions

My research into translation processes is founded on the hypothesis that every individual who has a command of two or more languages (even with various degrees of proficiency) also possesses a rudimentary ability to mediate between these languages. On the one hand, this hypothetical construct takes a medial position between Harris/Sherwood and Toury, on the other hand, it goes beyond Harris/Sherwood and Toury in three important aspects:

(i) The question as to whether translation competence is a *natural* phenomenon which comes into being and develops automatically and parallel to an individual's bilingualism can only be answered in terms of the concept of translation which one adopts. In translation theory, it is customary to define translation as a text-based activity which, with respect to the purpose of the translation and its addressees, aims at rendering a source-language (SL) text into a target-language (TL) text so that equivalence of sense and/or function and/or style and/or text type, etc. will be realized in an optimal way for the various levels of the text (cf. Reiß/Vermeer 1984; Hönig/Kußmaul 1982; Catford 1965). If one adopts such a concept of translation, Harris and Sherwood's hypothesis must obviously be questioned. The data which the authors discuss suggest that their subjects produced approximate mediations of sense rather than translations which correspond to the definitional criteria mentioned.

In his developmental model, Toury distinguishes between **bilingual** and **interlingual competence**, considering the former a necessary precondition for the latter (i.e. translation competence). Thus Toury also implicitly uses a notion of translation which goes beyond an approximative mediation of sense. In his 1984 paper, however, he points out:

> Since the ability to translate presupposes the ability to acquire bilingualism …, a speaker may be said to be able to make this crucial transition as soon as his bilingualism commences. Admittedly, at the beginning, translating, if indeed performed, is restricted in nature. But "restricted translating" is a form of "translating". (1984: 190)

Those elementary forms of mediation of sense which can be observed in bilingual children at a very early age are neither considered to be translations by translation theory nor are they given any attention by translation theorists. One reason for this may be that translation theory focuses on professional translators and their highly developed translation competence. Another reason may be that professional translators do not wish to see their complex work, for which an extensive training was necessary, placed on the same level and subsumed under the same heading as the very elementary mediations of bilingual children. With the aim of my research in mind, i.e. a psycholinguistic analysis of the translation process, I think it *is* sensible to subsume bilingual children's mediations under the heading of translation. It is only after a comparison of the products *and* the mental processes as they are to be found in or can be reconstructed from bilingual children's and professional translators' performance that it would be possible for a model of translation competence with either a wide or a narrow concept of translation to *rationally* be construed.

(ii) In both Toury's and Harris and Sherwood's developmental model, bilingualism is considered to be a crucial precondition for translating or is taken to comprise the ability to translate (i.e. in **natural translation**). Real bilingualism, in the sense of an absolutely equal degree of availability of two languages in any situation and for any information to be communicated, probably only exists in approximations (cf. Crystal 1976; Grosjean 2001 Hüllen 1980; Secord/Backman 1974). This is

equally true for professional translators. As a rule, their competence in one language is higher than in the other. Furthermore, there are considerable differences among professional translators with respect to their competence in the languages involved.

Since bilingualism and bilingual competence can only be achieved approximately, the logical consequence is to hypothesize as well a rudimentary ability to mediate information between languages for people who are in possession of a mother tongue and an **interlanguage**, and to consider their mediations as translations in a broad sense. This seems to be justified because the transition from an interlanguage to a fully developed second language—as far as this can be achieved by learners—is a continuum rather than a fixed boundary.

(iii) The elementary forms of mediation which have been outlined occur in *real* mediating situations, in which communication between a source-language text sender and a target-language text receiver is established via a mediator. The data for my research were not collected in *real* mediating situations.

There was no *real* addressee for whom the translations had been performed in order to enable or facilitate communication. Both the subjects and the test leader share the same languages involved in the translations. There was no language barrier which would have made translations necessary to establish communication. The purpose of the translations for the subjects was rather to externalize data on the translation process, and for the test leader to collect these data. [2] Thus communication in the translations of my corpus resembles didactic communication in the foreign language classroom which I have analyzed elsewhere (Lörscher 1983: 38ff.). In spite of the artificial element inherent in the translational communications and the situations in which they were produced, the modes of realization of the subjects' evident rudimentary ability to mediate will be categorized as translations. Since

the aim of my research was to analyze translation **processes**, this seems to be sensible because it is still unknown whether translation **processes** in real mediating situations are different—in detail or in principle—from translation **processes** in artificial mediating situations. A distinction between these phenomena would only be justified if a comparison of the data collected in these two kinds of mediating situations revealed significant differences.

As a result of the three arguments outlined, it can be pointed out that an individual's elementary ability to mediate leads to performance products which are to be classified as translations. As soon as an individual has an even partial command of two or more languages, elementary mediations between them become possible. The rudimentary ability to mediate and its modes of realization function irrespective of the genuine nature of the mediating situation and irrespective of the naturalness of its communication. Translation competence, according to Lörscher (1991), can thus be considered the sum of an (even partial) competence in the languages involved, an interlingual (rudimentary) ability to mediate, as well as training and experience in translating.

2.3.2 *Evidence*

The existence of an innate rudimentary ability to mediate and of its realization in elementary translations cannot be proved in the strict positivist sense. But it seems highly plausible in the light of the following two considerations:

(i) The rudimentary ability to mediate as realized in elementary translations can be considered a special case of at least two universal innate abilities of the human intellect: that of **categorizing** and that of **comparing**, of differentiating similarities and dissimilarities. Both these cognitive abilities, which also underlie any natural linguistic competence, make it possible for the individual to express sense and/or

connections of signs in different ways. The mediations of sense and/or signs can occur within the verbal sphere, between the verbal and the nonverbal spheres, and between different nonverbal spheres. As soon as an individual has at least partially acquired modes of verbal and/or nonverbal behaviour, rudimentary mediations between them are possible. As a matter of fact, it can be observed that a child who has partially acquired his or her mother tongue as well as the meaning and use of gestures, facial expressions, etc. is able to express information available in a verbal code by means of gestures or facial expressions, and vice versa. Admittedly, these mediations differ considerably from those made by experts (e.g. professional mimes) as regards range, quality, and possibly other criteria, but nonetheless they are considered to be mediations even though they are imperfect ones.

(ii) The training of students for translation and interpretation never starts from scratch but builds on the skills which the students already possess. These may have been acquired in the foreign language classroom, but they in turn build on even more basic mediating skills. The starting-point of an individual's rudimentary ability to mediate between two or more languages and its realization in elementary translations is probably marked by the beginning of the acquisition process of a second language. During this process—especially when it takes place in the classroom— a widespread phenomenon can be observed: learners often systematically relapse into their mother tongue. It functions like a filter through which the foreign language is received and produced. According to Ringbom (1985: 9; n.d.(1985): 4) it is a generally accepted principle that L2-learners constantly seek to facilitate their difficult task by making use of all those parts of their previous knowledge which they consider (potentially) relevant. Their previous linguistic knowledge consists of both what they already know about the target-language and of their knowledge of their L1 and possible other languages. The learners' recourse to their L1

knowledge and the learners' relating it to their relevant L2 knowledge in order to augment and develop the latter represents a case of a uni-directional mediation of information.

There is, furthermore, a phenomenon of importance which occurs primarily during the initial phase of foreign language learning at school and which resembles Harris and Sherwood's **intrapersonal autotranslation**: it is the learners' translation of target-language material which they have received, in order to be able to (better) decode it; or, in foreign language text production, it is the learners' production of an interim source-language text which they will then translate into the target-language. The latter is often done because directly producing a foreign language text is often considered more difficult than producing it via a translation. It is no wonder that the two kinds of mediation of information just mentioned and the products which they yield are *not* considered translations in translation theory. They are phenomena which do not occur in professional translating and therefore the models of translation theory either cannot cope with them at all or cannot cope with them satisfactorily. For the reasons mentioned, however, I think it *is* sensible to investigate them when one aims at analyzing translation processes or when one aims at finding out how translation competence develops.

3. Process-Oriented Approaches to Translation

As I pointed out earlier, the rudimentary ability to mediate is the basis of all translating and thus underlies the elementary mediations done by bilingual children as well as the translations performed by professionals and by foreign language learners. In addition to many

more differences between the translations of the three groups of mediators mentioned, the process-oriented approach to the translations is of special importance here because it is an essential characteristic feature of the various developmental stages of translation competence.

As the data I elicited show, subjects can approach translations in basically two different ways: **sign-/form-oriented** or **sense-oriented**.

3.1 Sign-Oriented Translating

In sign- or form-oriented translating, subjects transfer source-language text segments by focussing on their forms (= succession of signs) and by replacing them by target-language forms. This transfer of forms/signs is brought about without recourse to the sense of the two text segments involved (cf. Seleskovitch 1976: 92; Goddard 1972: 19). Substitutions of signs mainly occur in the lexical domain and result from vocabulary equations which the subjects have learned in foreign language lessons at school or at the university. Above all, de-contextualized and purely sign-oriented vocabulary learning, which even today is rather widespread, forms and provides a large number of purely surface-structure lexeme equations, such as German "Entwicklung" is English "development", or "country" in English means "Land" in German.

When a subject is faced with an SL text segment as part of a lexeme equation stored in memory, the TL text segment as the second part of the lexeme equation may become available to the subject through an automatic association process.

In my corpus of translations produced by foreign language learners, a large number of indicators of sign-oriented translating can be detected, five of which will now be discussed.

(a) When a TL text segment is produced immediately after the reception of an SL one, the subject has probably translated in a sign-oriented way. By means of an automatic association process, the

corresponding TL text segment becomes available within a very short period of time and can be verbalized. Sense-oriented translating is dependent on and controlled by mental processes which bring about a separation of SL forms/signs from their sense which is in turn combined with TL forms/signs. However, these processes of separation and combination require much longer periods of time than automatic association processes. Sign-oriented translating by means of automatic association processes can frequently be found in the data corpus. It occurs primarily in non-strategic parts of translations, in which the subjects are not faced with translation problems, but it is not confined to them, as will be shown in what follows.

(b) Sometimes, subjects verbalize TL text segments which represent a literal, if not a word-for-word, translation of SL text segments but which either make no sense or make a sense which differs from that of the respective SL text segments. This phenomenon can be observed with metaphorical and idiomatic utterances. On the one hand, lack of foreign language competence may be one reason for this. On the other, it is not only in the translations *from* but also in the translations *into* the subjects' mother tongue that text segments are verbalized, which being literal or word-for-word translations, break grammatical rules or violate norms of usage ofthe target-language. Such deficient utterances in the subjects' mother tongue are by no means rare (cf. Krings 1986: 470ff.; 503f.). They possibly result from the view held by many subjects that translation is basically an exchange of signs (words, syntagmas, clauses, and sentences) between two languages. [3] As a result of this view, the SL text is ascribed a dominant role. Being the "sacred original" (Hönig/ Kußmaul 1982: 17ff.), it is to be translated as literally as possible into the target-language. Its succession of signs creates a syntagmatic pressure during a translation which the subjects often cannot resist during the TL text production, even though it results in apparently senseless or

ungrammatical utterances. Often, the subjects are not aware of such deficient utterances because they are rarely checked for their sense, or the utterances are consciously accepted because they are not in opposition to the subjects' conception of translation, but rather considered legitimate because of it (cf. Krings 1986: 504; Hönig/Kußmaul 1982: 120ff.).

(c) A further indicator of sign-oriented translating are the negative solutions to translation problems. These are defined as text segments which can*not* function as solutions to translation problems although they suggest themselves as solutions. They often result from a literal translation of an SL text segment, such as English "cultivated" and German "kultiviert". But in contrast to the literal or word-for-word translations just described, the users of negative solutions realize the inadequacy of the TL text segment. The problem-solving activities which follow negative solutions are always sense-oriented, probably because the subjects realize the limits and the problematic nature of sign-oriented translating.

(d) Multiple verbalizations of translation problems can function as potential indicators of sign-oriented translating. These strategy elements can indicate both sign- and sense-oriented translating. When subjects verbalize lexical translation problems several times, they can thus place them into their focus of cognitive attention. By means of an association process, for example, they may succeed in making available an equation of lexemes which they have learned before, and which they had previously no access to.

(e) Paraphrasings of source-language text segments can also indicate sign-oriented translating. The paraphrasing itself is probably brought about in a sense-oriented way. The text segment being the result of the paraphrasing, however, can activate an equation of lexemes stored in memory and recall the second part of the equation, again by means of an association process, for example.

As pointed out before, sign-oriented translating is characterized

by a recall from memory and a verbalization of TL forms which correspond to the respective SL forms. Sign-oriented translations are brought about by automatic association processes, for example, and employ an inventory of stored surface-structure equations of lexemes. This is represented in the following diagram:
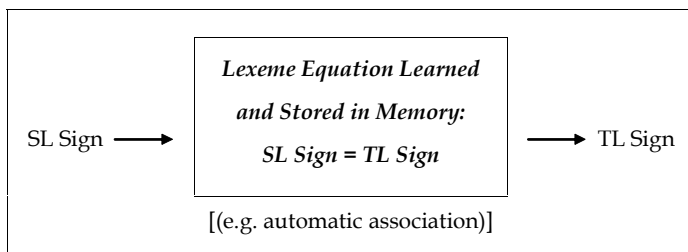
```
+--------------------------------------------------------------+
|                 +------------------------------+             |
|                 | Lexeme Equation Learned       |            |
|                 | and Stored in Memory:         |            |
| SL Sign  ---->  | SL Sign = TL Sign             |  ---->  TL Sign
|                 +------------------------------+             |
|                 [(e.g. automatic association)]              |
+--------------------------------------------------------------+
```

Diagram 1: Sign-Oriented Translating

3.2 Sense-Oriented Translating

A further possibility of finding target-language text segments which correspond to source-language ones is sense-oriented translating. The sense combined with an SL text segment is made explicit by the translator and thus "separated" from it. On the basis of the sense thus constituted, the translator searches for adequate TL signs. The process of sense-oriented translating can be diagrammatically represented as follows:

```
+--------------------------------------------------------------+
| SL Signs                                          TL Signs   |
|       \                                          /           |
|    "Separation"                          "Combination"       |
|           \        +---------+           /                   |
|            \------> | SENSE   | ------->/                    |
|                     +---------+                              |
|                 [represented conceptually]                   |
+--------------------------------------------------------------+
```
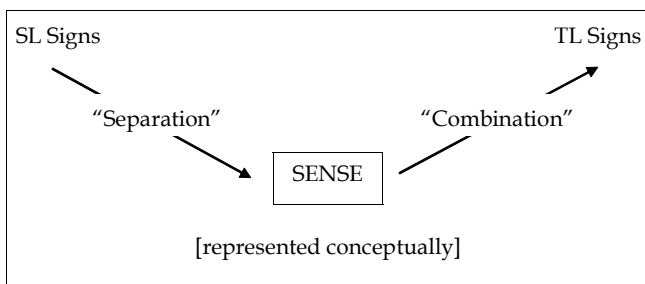
Diagram 2: Sense-Oriented Translating

The process of separating SL signs from their sense has been described by Seleskovitch (1976: 103; 1978: 336) in connection with the process of interpreting and is also assumed to be operating in the translation process.

As my data show, the separation of forms from their sense can be realized in two different ways: (a) As described in 3.1(d), subjects sometimes have recourse to antecedent, problematic SL text segments and repeat them several times. By means of this monitoring, which mostly occurs on the level of lexemes and syntagmas, the subjects can determine the sense combined with the SL signs, or, when reception problems occur, can successively approach it. In this way, the sense is separated from the SL signs and is placed into the subjects' foci of attention. (b) As described in 3.1(e), subjects sometimes have recourse to antecedent, problematic SL text segments and paraphrase them, i.e. try to find SL text segments which are different in form but have (approximately) the same sense (cf. Butterworth 1980: 172). On the one hand, such paraphrases require from the translator (partially unreflected) knowledge or expectations about elements which have (approximately) the same sense in SL, and which can therefore serve as paraphrases. On the other, it is mainly by developing paraphrases that subjects become aware of the sense of an SL text segment and of those components of sense in which two SL text segments may differ.

During or after the separation of SL forms from their sense, the subjects try to combine the sense, to the extent to which they have interpreted it, with (a sequence of) TL forms (cf. Butterworth 1980: 172). This requires a process of searching in which situational and contextual factors that determine the range of sense of an SL text segment are taken into account. This again depends on the translator's competence and experience in translating and in the two languages involved.

3.3 Patterns of Explanation

The two approaches to translation which have been outlined are like two extremes, between which the concrete translational activities of the subjects range. Neither exclusively sense-oriented nor exclusively sign-oriented translating can be found in the corpus and does not occur with professional translators either. [4] Nonetheless, the data clearly show that the foreign language learners tend to produce the translations primarily in a sign-oriented way. This does not at all exclude the sense-oriented translation of certain text segments. But on the whole, it must be assumed that non-professional translators take a mainly sign-oriented approach, and professional translators adopt a mainly sense-oriented approach to translation.

In order to obtain hints about whether and to what extent the foreign language learners had the sense of the SL text mentally available, thus meeting a basic requirement for performing sense-oriented translations, 18 subjects were asked to retell the SL text in the target-language in as precise and detailed a way as possible. In spite of the manifold problems connected with this experiment, the reproductions produced nonetheless showed that the subjects had mentally processed the texts for the translations to a high degree and that they largely had the sense of the texts conceptually represented and mentally available. Although individual differences can be detected, it is quite obvious that the foreign language learners have interpreted the SL texts and thus constituted their sense. But although they met this requirement, they nonetheless produced their translations in a basically sign-oriented way. The following reasons may be responsible for this:

(a) As already pointed out, it is a widespread view among laymen that a translation is mainly an exchange of signs (words, syntagmas, clauses, and sentences) between two languages. Thus a translation would have to focus on the sign inventory of the source-language text and

reproduce this, in as literal a way as possible, with the signs of the target-language. As a matter of fact, this view is strongly supported, if not conditioned, by translation as a form of training and/or testing foreign language competence, which even today is far too often practiced in foreign language classrooms.

(b) A further explanation of the apparent dominance of sign-oriented translation is provided by the psycholinguistic minimax strategy discussed by Krings (1986a: 507ff.). Both his and my data elicited from foreign language learners clearly suggest that the subjects try to keep the cognitive load as light as possible during their translations. This is in accordance with the principle of economy which applies to mental processes. The subjects generally do not proceed to a deeper level of cognitive processing, which is more abstract and implies a higher cognitive load, before the processing on the higher level has turned out to be unsuccessful or unsatisfactory. [5] But as sign-oriented translating probably goes along with information processing which is, in principle, less complex and/or laborious, it can be expected that the subjects do not proceed to sense-oriented translating before sign-oriented procedures have turned out to be unsuccessful or unsatisfactory. This assumption is supported by the results which the quantitative analysis of my data yielded. Normally, the subjects do not bring about separations of SL forms from their sense by means of paraphrases or multiple verbalizations of translation problems, and thus create the basis for sense-oriented translating, when translation problems can be solved by employing less complex and/or laborious sign-oriented procedures.

(c) The fact that one of the languages involved in the translations of the foreign language learners is "only" available to them as an **interlanguage** (Selinker 1972) must be seen in close connection with the preceding explanation. The foreign language reception and production problems represent such a high cognitive load to the subjects that a

checking on the sense of the speech they receive and produce is prevented. Thus an important monitor remains largely inactive.

(d) The above-mentioned artificiality of the mediating situation and the unnaturalness of the communication within it are not very likely to favour sense-oriented but rather form-oriented translating. The great majority of the foreign language learners had never been in a genuine mediating situation and made communication between a source-language sender and a target-language receiver possible or easier. They lack the experience of being responsible for an addressee's understanding the sense of an SL text, which certainly does not hinder sign-oriented translating.

4. Developmental Stages of Translation Competence

The considerations made so far lead to the following theses: The rudimentary mediating competence and its forms of realization in elementary translations, as can be observed with co-ordinate [6] bilingual children in the sense of a *natural translation*, are characterized by a sense-oriented approach to translation. The rudimentary ability to mediate is based on a bilingual competence and unfolds itself in real mediating situations for purposes of making communication possible or easier.

The mediations performed by children who possess a compound or subordinate bilingualism, by subjects who, in addition to their mother tongues, possess an interlanguage, and thus also by foreign language learners, are characterized by primarily form-/sign-oriented procedures. They are made possible by a mother tongue competence and a partial competence in a further/foreign language. As regards the foreign language learners their mediations normally take place in artificial mediating situations. They neither make communication possible nor

easier, but serve didactic purposes.

Professional translators take a primarily sense-oriented approach to translation. Their developed mediating competence is based on a quasi-bilingual competence and unfolds itself in real mediating situations in which genuine communication takes place.

The development of an individual's rudimentary ability to mediate towards translation competence, as professional translators possess it in its elaborated realizations and non-professional translators in its largely deficient forms, is schematically represented in diagram 3:

L1   IL/L2

**rudimentary
ability to
mediate**

**children with *coordinate*
bilingualism
("natural translation"):
primarily sense*-oriented***

**children with *compound* or
subordinate bilingualism or with
L1 and an *interlanguage*:
primarily sign*-oriented***

**Foreign Language
Classrooms**

**Foreign Language
Learners
*primarily sign-oriented***

**Schools of
Translation**

**Non-professional
Translators
*primarily sign-oriented***

**Professional
Translators
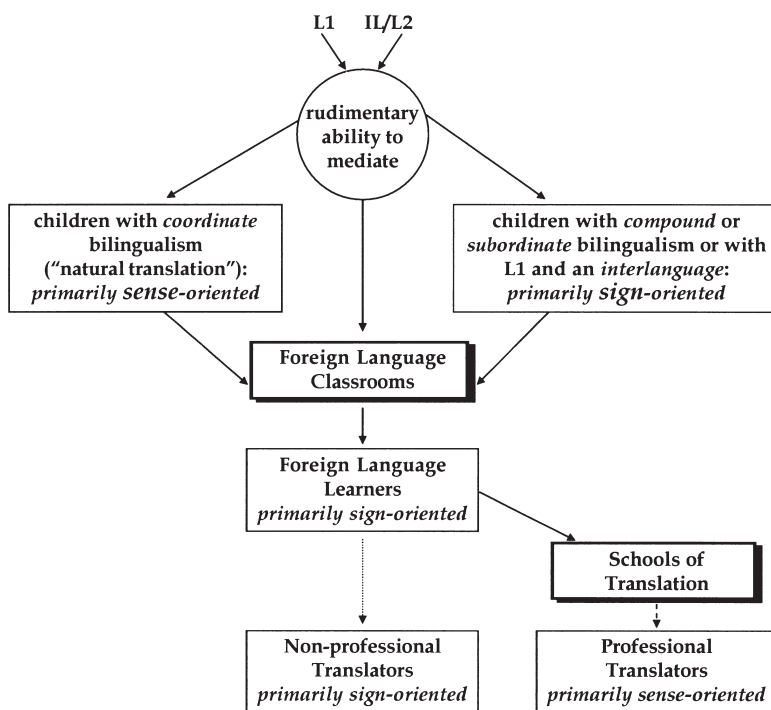*primarily sense-oriented***

Diagram 3: The Development of the Rudimentary Ability
to Mediate Towards *Translation Competence*

The rudimentary mediating competence in its largely sense-oriented forms manifests itself in co-ordinate bilingual children's *natural translation*. In the foreign language classroom, in which translation is taken out of its communicative dimension and functionalized for the training and testing of foreign language skills, this rudimentary ability to mediate undergoes a decisive deformation. It is largely reduced to the level of the signs. This is documented in the translations of the foreign language learners and generally remains with non-professional translators. It is the task of the schools of translation to reverse this deformation. The professionals whom they train approach translations in a primarily sense-oriented way and thus adopt procedures used by co-ordinate bilingual children.

With regard to their approach to translation, co-ordinate bilingual children and professional translators have thus more in common with each other than with foreign language learners. It is, therefore, an urgent task, especially for the schools, to search for possibilities of developing the rudimentary mediating competence towards an elaborated translation competence. By maintaining an apparently inadequate concept and view of translation, this development has far too often been seriously hindered.

5. Implications for Translation Teaching

The questions which obviously suggest themselves here are what steps can be taken to favour the development from a subject's rudimentary ability to mediate towards translation competence, and what process-oriented investigations can contribute to translation teaching. Although these two questions cannot yet be answered finally, I would

like to outline some of my thoughts on these problems.

As concerns the first question, I think it is essential to confront foreign language learners and especially teachers with the shortcomings of and the gross translation errors often caused by the use of purely sign-oriented procedures. As a first therapeutic measure, subjects should be sensitized to the deficits and inadequacies of those translations which are mainly produced by an exchange of signs. In the data elicited by me and by other scholars, numerous examples of such inadequacies can be found. Since the foreign language learners generally approach their translations in a sign-oriented way, the monitor that checks on the sense of their translations remains largely inactive. As a result, target-language texts are produced which are neither equivalent in sense to the respective source-language texts nor grammatically or stylistically acceptable texts by themselves. This is even true of texts translated into the subjects' mother tongue. They, too, often reveal the deficits just mentioned. Obviously, this is not caused by lack of competence. When the subjects were confronted with their own translations some time after the translation task, they could hardly believe that they had produced texts in their native language with such a high degree of grammatical and stylistic errors. The subjects would certainly not have made these errors if their task had only been to produce a text with a certain meaning in their mother tongue. The deficits in the target-language texts are mainly caused by the task of translating and the subjects' sign-oriented approach to translation which prevents any checking on the sense of the target-language text produced. Making the foreign language learners and teachers aware of these deficits and making them constantly check on the sense of the texts they produce in their translations may be a first step towards sense-oriented translating.

The second question, concerning what process-oriented investigations can contribute to translation teaching, can only be answered

in a very preliminary and tentative way. To my mind, the main, if admittedly modest, merit of these investigations is that they have helped to locate, describe, and explain deficits in non-professional translating and have thus contributed to making us aware of aspects of the structure and of the complexities of translation. To date, process-oriented research into translation has been purely *descriptive*, not *prescriptive*. Its principal aim has been to find out what actually goes on in the translator's head, i.e. how s/he translates, not how s/he *should* translate. The investigation of translation strategies has been carried out from the perspective of the subjects as hypothetically reconstructed by the analyst (Lörscher 1991). Thus, translation strategies are successful to the extent to which the subjects succeed in bringing about *what to them* are solutions to translation problems. It is evident that what the subjects consider to be successful and what the analyst does often do not coincide. It is just as evident—and it can be documented empirically—that subjects more often than not find target-language text segments which they consider to be solutions to problems but which apparently are translation errors. Nonetheless, such strategies are considered successful in view of the concept of success used in process-oriented investigations.

It would certainly be interesting and informative to compare what the subjects investigated consider to be success in their translation with what professional translators and/or bilingual informants would consider to be success. In this way, norms for evaluating translation strategies and ways of teaching successful strategies, in one way or other, could be developed. Although this is hardly more than a desideratum and goes beyond the scope of most of the process-oriented investigations, it is however, one, if not the most urgent, desideratum of research into translation processes at present.

Notes

[1]   This is a revised and updated version of my paper "Form- and Sense-Oriented Approaches to Translation" published in 1991 in: B. Lewandowska-Tomaszczyk and M. Thelen, *Translation and Meaning, Part 2: Theoretical Aspects of Translation and Meaning. Poceedings of the Łódz Session of the 1990 Maastricht-Łódz Duo Colloquium on "Translation and Meaning", Held in Łódz, Poland, 20-22 September 1990* (Maastricht: Rijkshogeschool Maastricht, Faculty of Translation and Interpreting) 403-414.

[2]   This artificial mediating situation was chosen because my epistemological interest focuses on the hypothetical reconstruction of translation strategies. The methods employed, especially that of **thinking-aloud**, could either not have been applied in *real* mediating situations or would have caused an even higher degree of artificiality.

[3]   This is also suggested by the fact that the subjects almost exclusively take a sentence-, clause-, or even word-oriented approach to translation and determine their units of translation accordingly.

[4]   Among others, Seleskovitch (1976: 94) and Goddard (1972: 19) have pointed out that translation always represents a mixture of sign- and sense-oriented procedures. Cf. also Krings (1986: 507ff).

[5]   This is largely in accordance with the levels-of-processing approach (cf. Craik/Lockhart 1972; Shiffrin/Schneider 1977; Schneider/Shiffrin 1977; Obliers 1985: 9ff.) according to which information is processed on levels of differing depth in a (potentially) successive way. The depth of the level on which an item is processed corresponds highly to the degree to which it is fixed in memory.

[6]   The types "co-ordinate", "compound" and "subordinate bilingualism" do not occur in reality in their pure forms. They are considered idealisations/prototypes with fluent boundaries which occur in reality only as approximations (cf. Grosjean 2001).

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以神馭形

——傅雷"神似論"之學理探微 [1]

吳志傑　　王育平

Abstract

On Fu Lei's Spiritual Resemblance Theory in Literary Translation (*by* Wu Zhijie *and* Wang Yuping)

The aesthetic value of a literary work lies in the unique combination of form and content, and its individualistic character is shen *(spirit). However,* shen *in the source text is only a potential aesthetic value which can only be realized in the reading process. In line with this observation, the authors of this paper recommend adopting a translation strategy to recreate* shen *in literary translation. It requires the translator to comprehend* shen *of the source text first and then to let* shen *dictate the translating process. The authors also argue that, in light of the above observation and strategy, we can better appreciate Fu Lei's idea that spiritual resemblance has priority over formal resemblance in literary translation.*

形神論的歷史淵源

形神論在中國傳統文化中孕育產生，在古代畫論中發展成

熟，後借用至文論，上個世紀初才由茅盾、傅雷等學者引入翻譯
理論，成為文學翻譯"風格"的代名詞。縱觀"神"進入文藝領
域並逐漸演變為"風格"的歷史，"神"的概念大致經歷了三個
演化階段。

　　"神"原先是一個哲學上的概念。甲骨文的"神"為 ξ，象
形字，乃大自然之閃電狀。"神"的本義大抵指閃電等超越古人
解釋能力的自然現象，引申為（古人所認為的）主宰這些自然現
象的人格力量"天神"，還兼指"天神"所具有的變化莫測的特
徵，後逐漸被借用來指人的精神活動（含思維、情感、意志
等），與人的形體相對。

　　"神"的第二個演化階段是由晉朝顧愷之把其引入畫論所完
成的。晉朝的繪畫以人物畫為主，因而畫論中的"神"最初也是
指與形體相對的人的精神、神情。畫論中的"神"一方面繼承了
哲學中人的精神寄寓於形體的屬性（以形寫神），一方面也遺傳
了"天神"所具有的變化莫測、難以把握的特徵（形似難以達到
神似），繪畫中的"形似派"與"神似派"（又稱"工似派"與
"工意派"）便是分別強調了"神"的一個方面發展而來。此
外，畫論中的"神"也有偏離哲學中的"神"的地方，那就是古
代哲學中的"神"通常指人的共性的精神特徵與能力，而畫論中
的"神"已逐步指代人的精神面貌的個性特徵。《芥舟學畫編》
在論及人的形神關係時便說："不曰形曰貌而曰神者，以天下之
人，形同者有之，貌類者有之，至於神則有不同者矣。作者若但
求之形似，則方圓肥瘦數十人中且有相似者矣，烏得謂之傳
神？""神"成為區別人與人的精神方面的個性特徵。

　　"神"演變的第三個階段就是進入探討與品評山水畫、風景

畫的理論話語並進而擴展到文論等其他文藝領域。這一階段的
"神"已經從表示人的精神狀態的(主體性的)"神"轉變為主
客和合的"神":"山水畫／詩"不再僅僅是客觀的物件,而是
融入了作者之情、之志、之意的山水之魂,山水梅竹之"性靈"
與作者的志意水乳交融,合為一體。自然景物之"神"大體包括
"生意"、"天趣"與"性情",被認為是一物區別於另一物之
根本原因。然而,僅有物之"神"還不足以構成美的意境,還不
足以成為藝術品,還需要作者融入自己的意,"以人之性情通山
水之性情,以人之精神合山水之精神"(朱庭珍《筱園詩
話》)。這時的繪畫／詩歌已經不再是簡單地描摹,也需要作者
心中有"意",成為張璪所說的"外師造化,中得心源"(《歷
代名畫記》)的過程。在這一過程中,"造化"之神與"心源"
之神通過"我化為物"、"物化為我"的雙向過程合而為一,達
到藝術創作中所謂的"全神"境界:"畫貴全神,而神有我神他
神。入他神者我化為物,入我神者物化為我,然合二為一則全
矣"(石魯《學畫錄‧造型章》)。藝術中的這種"主客和
合"、"物我相融"的"神"已經突破了人的精神之含義,它已
經成為作者之精神特徵與藝術物件之間互動而誕生的藝術品的靈
魂,成為該藝術品獨一無二的特徵與個性的代名詞,而這就是一
件藝術品的"風格"。

　　翻譯研究中的"形神論"正是從藝術品在整體上所表現出的
與眾不同的風格特徵來論述文學翻譯的形神問題的。

文學翻譯神似論的過程論與系統論闡釋

（一）翻譯理論中的形神之爭

據現有資料看，茅盾可能是國內最早討論文學翻譯形神觀的作者，而傅雷則是公認的最有影響力的文學翻譯"神似論"的提倡者。1921 年沈雁冰（即茅盾）在《小說月報》第十二期發表了題為〈譯文學書方法的討論〉的文章，首次借用繪畫理論探討了"神韻"與"形貌"不能兩全時怎樣取捨的問題（沈雁冰，1984: 93-98）。翌年 10 月 10 日，《時事新報》發表了他的另一篇文章〈譯詩的一些意見〉，認為"一首詩的神韻是詩中最重要的一部"，提出詩歌翻譯中最重要的就是"不失原詩的神韻"（茅盾，1984: 344-348）。此後，陳西瀅（1984: 400-408）的〈論翻譯〉（1929 年）以"塑像或畫像"作比，區分了翻譯中的"形似"與"神似"，而把"意似"作為這兩個端點之間的過渡區域。曾虛白（1984: 409-416）撰寫了〈翻譯中的神韻與達——西瀅先生〈論翻譯〉的補充〉（1929 年），對陳西瀅的"神韻"作了修正與補充。1944 年，朱生豪（1984: 365）在〈《莎士比亞戲劇全集》譯者自序〉中把"保持原作之神韻"作為自己最高的翻譯標準，把"忠實傳達原文的意趣"作為自己必須達到的翻譯要求，反對"逐字逐句對照式之硬譯"。對翻譯研究影響最大的還是傅雷（1984a: 558）於 1951 年在〈《高老頭》重譯本序〉中所作的宣言式的"神似論"表白："以效果而論，翻譯應當像臨畫一樣，所求的不在形似而在神似"。同年 9 月，王以鑄（1984: 567-571）也在《翻譯通報》上發表〈論神韻〉一文，較為詳細地敘述了他的翻譯形神觀。此外，論及翻譯中的形神問題的重要文

章還有劉靖之（1981: 1-14）的〈重神似不重形似——嚴復以來的
翻譯理論〉、葛校琴（1999: 15-17）的〈翻譯"神似"論的哲學
－美學基礎〉、江楓（2001: 21-26）的〈"新世紀的新譯論"點
評〉、許鈞（2003b: 57-66）的〈"形"與"神"辨〉等。[2]

　　與畫論、文論中的形神觀一樣，翻譯形神觀也可以分為形似
派與神似派，其中茅盾可以看作是形似派的代表，而傅雷則是神
似派的主帥。茅盾（沈雁冰，1984: 94）曾說："譯者如欲不失
原作的神韻，究竟也可從'單字'與'句調'上想法。如果'單
字'的翻譯完全不走原作的樣子，再加之'句調'能和原作相
近，得其精神，那麼，譯者譯時雖未嘗注意於'神韻'的一致，
或者'神韻'已自在其中了"。茅盾似乎認為，譯者從字、句的
層次入手也可能獲得"傳神"的效果，是典型的"以形寫神"
論。傅雷認為，"第一要精讀熟讀原文，把原文的意義、神韻全
部抓握住了"（1984c: 548），"將原作（連同思想、感情、氣
氛、情調等等）化為我有，方能談到迻譯"（1984b: 695）。傅
雷把對原作"神韻"的體悟與迻譯放在第一位，主張文學翻譯
"重神似不重形似"（1984b: 694）。此後，兩派之間還出現過
一些爭論，討論了形、神的定義及兩者的辯證關係等問題，剖析
並批評了雙方理論存在的一些弊病，推動了文學翻譯形神論的發
展。例如，有些學者逐漸認識到文學翻譯中的形、神並非絕然對
立，兩者實際上是相輔相成的關係，批評了過去部分學者把形、
神絕對化的錯誤做法，即：把形、神看成是"魚和熊掌"的選
擇，在論戰中假設對方只取一端而棄另一端於不顧，要麼離形，
要麼棄神，二者水火不容。實際上，縱觀歷史上的形神論，雖有
離形得神之說，卻無只要形似不要神似的論斷，"神似"、"形

似"實為杜撰的兩個對立概念。翻譯家江楓（2001: 21）對此有着深刻的認識：

> 所謂"形似與神似"的矛盾，也多半是"神似派"的虛構。其所以說是虛構，因為只有"神似派"主張"但求神似不求形似"，卻沒有任何一個譯者主張"但求形似不求神似"。文學是語言的藝術，沒有形式便沒有藝術，藝術總是藉形以傳神。

若以"神似"、"形似"區分派別，歷史上的形神論其實只有"神似"一派。只不過一部分人認為要通過"形似"來達到"神似"，另一部分人認為只做到"形似"還不足以"傳神"，"形似"不是達到"神似"的充分條件，前者屬於"以形寫神"派，後者屬於"離形得神"派。

從"形似"與"神似"的對立到"以形寫神"與"離形得神"的對峙，文學翻譯形神論向前邁進了一大步，學者們對形、神之間的辯證關係有了更加清晰的認識。然而，雖然傅雷的翻譯"神似論"在文學翻譯界影響巨大，總的趨勢卻是朝着"以形寫神"的方向發展，"形神兼備"似乎成為各派學者的一致選擇，翻譯神似派也呈現出妥協與折中的傾向。正如羅新璋（1984: 11）在《翻譯論集》的序中指出：

> 所謂"重神似而不重形似"，是指神似形似不可得兼的情況下，倚重倚輕，孰取孰棄的問題。這個提法，意在強調神似，不是說可以置形似於不顧，更不是主張不要形似。就在寫〈重譯本序〉前幾個月，傅雷在致林以亮函裏稱："我並不說原文的句法絕對可以不

　　管，在最大限度內我們是要保持原文句法的"。神似形似，渾然一

　　致，是為勝境；但不能兩全時，則不要拘泥字面，死於句下。為了

　　頗得神氣，可以略於形色。

　　一方面，"以形寫神"派承認"神"的重要性，把"形似"看成是"傳神"的充分與必要條件。另一方面，"離形得神"派也主動鈍化了自己的理論棱角，在強調"神"的重要性的同時認可了"形"的作用。然而，綜觀兩派之間的言論，這些對翻譯形神論的評述與拓展大多從辯證唯物主義的角度進行，焦點集中在物質與精神誰具有第一性的問題上。此類討論一般把評價天平的重心偏向"物質的第一性"，強調"以形寫神"，強調"形神兼備"。兩派之間顯示出的趨於"以形寫神"的傾向有着深刻的歷史文化原因。一方面，這種傾向是受國內政治氣候影響的結果，馬克思辯證唯物主義在思想界地位的確立無疑使形似派在理論上獲得了絕對的統治地位。另一方面，早期翻譯形神論的主要戰將們都是新文化運動的宣導者與實踐者，翻譯實踐是他們革新中國語言文化的主要手段之一。例如，茅盾（1984: 345）認為翻譯對於我國的新文學運動至關重要，"一切文學作品的譯本對於新的民族文學的蹶起，都是有間接的助力的"，外國詩歌的翻譯可以"感發本國詩的革新"。在翻譯方法上，茅盾提倡使用"直譯"法。這兩個方面（呼籲借翻譯之力革新本國文學與宣導使用"直譯"法）是貫穿茅盾的〈譯文學書方法的討論〉、〈"直譯"與"死譯"〉、〈譯詩的一些意見〉等系列譯論的兩條主線，其實質是試圖通過翻譯豐富我國語言表現法，把對外國文學表現法等"形"的借鑒與利用當作翻譯實踐的目標之一。連"神似派"的

傅雷（1984c: 548）也不例外，他認為需要通過在翻譯中"保持原文句法"來創造中國的語言："我並不是說原文的句法絕對可以不管，在最大限度內我們是要保持原文句法的，但無論如何要叫人覺得儘管句法新奇而仍不失為中文。……我以上的主張不光為傳達原作的神韻，而是為創造中國語言，加多句法變化等等，必要在這一方面去試驗"。上述的這些文化與政治因素在一定程度上使翻譯形神之辯偏向了"以形寫神"的一方。

（二）神似論的唯物辯證法

　　我們承認基於唯物主義的翻譯"以形寫神"論（即：形似派）在理論上有一定的道理，但"以神寫形"（即：神似派）才是中國傳統思想的精髓所在，兩派之差別猶如畫論中寫實派與寫意派之相去千里，雖形式不同卻各有價值。實際上，"以神寫形"派並不違背唯物辯證法，而是深得辯證唯物主義的精髓，在理論與實踐上都有其立足之充分根據。"重神似不重形似"並不否認"形具而神生"，也不否認"神"的表現依賴於"形"的存在。但"神似論"反對把"形"看成鐵板一塊，似乎只是一樣東西。相反，我們認為"形"也是有結構、分層次、講等級的。形的各個部分與層次在表現"神韻"中的作用是不同的，"重神似不重形似"實質上是對有助於表達"神韻"的"形"的強調而反對不加區分地全面複製"形"的行為。顧愷之注重人物畫中眼睛的刻畫，認為"傳神寫照，正在阿堵中"（按："阿堵"即指眼睛，見《世說新語・巧藝》），實質乃是強調繪畫中的點睛之筆。文章也有文眼，翻譯中如何點此之睛、如何讓其他部分服務於它自然是重中之重。

　　我們認為，"神韻"才是文學翻譯實踐的美學追求，是文學譯作的價值所在。藝術品之所以為藝術品，並不是簡單地因為重現了原物與原景之形貌特徵，不然原物與原景永遠都是不可逾越的美學顛峰。藝術之內涵在於藝術家之巧手以一種可感知的人為手段描摹了融入了藝術家審美理想的審美客體。翻譯亦然，譯作之美乃是譯者的審美能力作用於原文本之潛在美學特質進而以一種新的藝術手段表現出來的美學特徵。這種美是一種主客和合之美並且藉形而存在，自然不會完全棄"形"於不顧。然而，既然翻譯不是複製與克隆，原作的"形"與譯作的"形"必然是"似"的關係而非"同"的關係，"形"的改變是不可避免的。中西藝術的根本差別在於西方藝術在總體上走了"寫實"之路而中國的主流藝術卻選擇了"寫意"之路。"寫實"之路是極力縮小藝術品與實物／景之間形的差異，是不斷提高"形似"之程度的過程，其最高目標便是"同"。"寫意"之路與此相反，中國藝術家在認識了"形同"的不可實現與"似"的不可避免之後便把"神"放在第一位，把"形"置於次要位置，提出了"重神似不重形似"的美學思想。

（三）神似論的過程論與系統論理據

　　當然，僅僅從辯證唯物主義是很難說清"神似論"的價值，因為"唯物"的觀念已經從一開始就偏向了"形"。我們需要引入系統論、過程哲學與生命哲學的思想對"形、神"的關係進行更加深入的探討，這將有利於在"形神"之辯中增加時間的維度，把我們對"形神"的平面思維轉換為更加清晰、更加準確的立體圖畫。

　　首先，我們需要討論一下文學翻譯中的“神”到底指什麼，對作為風格的“神”作一基本的界定。薩特（1998: 84）說：“一旦人們知道想寫什麼了，剩下的事情是決定怎樣寫。往往這兩項選擇合而為一，但是在好的作者那裏，從來都是先選擇寫什麼，然後才考慮怎樣寫”。薩特一語中的，道破了寫作的兩大要素：“寫什麼”與“怎麼寫”。如果說“寫什麼”屬於內容，那麼“怎麼寫”便屬於形式，“神”介於兩者之間，略偏向於形式。實際上，“神”是形式與內容的獨特結合，是文本的美學價值的潛在形式，正如薩特（1998: 83）所說：“人們不是因為選擇說出某些事情，而是因為選擇用某種方式說出這些事情才成為作家的”。從美學的角度來看，文本的價值不僅僅在於內容，更在於以特定形式來表達內容。這種形式與內容的和合體便是“神”，便是文本的美學價值所在。因此，“神”與“意”是不同的，“意”是就文本的內容而言（更準確地講，“意”是閱讀文本所獲的“資訊”），而“神”更加偏重於以何種方式表述這一內容，關注的是其美學價值。毫無疑問，有些翻譯側重於“資訊”的傳遞，但具有美學價值的翻譯（主要是文學翻譯）自然不能忽視原作“神韻”的再現，某些以審美作為其核心價值的作品更是視“神韻”為生命，此類翻譯如何做到“神似”便是其最高的標準。

　　語言中，“意”與（“音”／）“形”相對，“神”則比二者高一個層次，與“意”、“形”不在同一個平面上。“神”作為比“意”（“音”）“形”更高層次的結構，又是如何存在的？我們說“神”是形式與內容的獨特結合，是文本的美學價值的潛在形式，但普通的文本（即：以傳遞“資訊”而不是以“審

美"為目的的文本)也具有形式與內容,兩者有何區別?在普通的文本中,語言只是一種載體,一種工具,它把讀者(/譯者)的眼光引向語言以外的事物或概念,引向語言所承載的"資訊"或曰"意義"。讀者(/譯者)在領悟了這些事物或概念之後便拋開了語言這個載體,正如法國釋意派的主要代表勒代雷在《今日翻譯──釋意模式》一書中所描述的翻譯過程:聽清語言符號→理解它們所表達的思想內容→擺脫語言外殼→表達思想內容(柯平,2005)。在這類翻譯中,語言形式便是譯者在獲得了"資訊"或"意義"之後需要拋棄的"外殼"。然而,文本一旦作為一個審美客體出現,情況就發生了根本的變化──語言不再僅僅是承載"資訊"或"意義"的工具,它本身也成為一個需要認識的物件。語言在普通的文本中是透明的,人們可以穿透它而獲取"資訊"與"意義",但在作為承載美學價值的文本中,語言變得厚重起來,不再那麼透明。當然,這種具有審美價值的文本並非沒有意義,而是把語言的"音"、"形"、"意"澆鑄在一起,文本本身成為了充盈着"意義"的審美客體,"神"由此誕生了。因此,"神"是"音"、"形"、"意"在更高層次上的有機結合。[3]

當然,原文的美學價值還只是潛在的,需要讀者(/譯者)的慧眼識珠。原作以潛在形式存在着的美學價值需要讀者(/譯者)的審美閱讀來啟動。怎樣啟動、在多大程度上啟動,這些都依賴讀者(/譯者)的審美能力。從這種意義上來說,作品的"神韻"只在與讀者(/譯者)具有的審美能力和付出的審美努力相應的程度上存在,因而具有一定的主觀性。曾虛白(1984:410-412)對神韻的主觀成分有着深刻的認識,他認為神韻是"作

品給予讀者的一種感應"，是"讀者心靈的共鳴作用所造成的一種感應"，"這種感應，因為讀者（當然指能透徹瞭解的讀者）的環境、心情等種種的不同而各異其深淺、色彩；因此不同，它就變成了'仁者見仁，智者見智'的一種毫無標準的神秘物"。他還援引法朗士在《樂園之花》（Jardin d'Epicure）中的一段話說：

> 書是什麼？主要的只是一連串小的印成的記號而已，這是要讀者自己添補形式色彩和感情下去，才好和這些記號適合。一本書是否呆板乏味，或是生趣盎然，感情是否熱如火，冷如冰，全靠讀者自己。或者換句話說，書中每一個字都是魔靈的手指，使我們的腦纖維震盪得像琴弦一樣，使我們靈魂中的音板激出音來。藝術家的手不論他多靈巧，多激發，那聲音還得要看我們內心的弦線的性質而定。

曾虛白認為，"讀者所添補的形式及色彩與書中的記號適合，他就得了'神韻'；魔靈的手指撥動了腦纖維的琴弦激出音來，這也就是'神韻'"。這種"神韻"由於"還得要看我們內心的弦線的性質而定"，所以具有顯著的主觀性，"他總化不掉自己內心的弦線所彈出來的聲音，永遠脫不了主觀的色采"。然而，曾虛白似乎過分強調了"神韻"的主觀性，把其看成"'仁者見仁，智者見智'的一種毫無標準的神秘物"，似乎忘了文本是"神韻"的源頭。"神韻"並非讀者（／譯者）憑空創造的產物，原作蘊涵的潛在的美學特質決定了"神韻"的客觀性，讀者（／譯者）在原作引導下的審美閱讀自然不會天馬行空、為所欲

為。筆者倒是更傾向於把原文比作一首樂曲。一首樂曲雖會因不同的樂器、不同的演奏者而產生不同的演繹，每次演繹的"神韻"比起作曲家譜曲時心中的"原生態的神韻"多多少少都會有些"過"或"不及"，但每個優秀演奏者的演繹都有其相似之處，都會讓人辨認出是《藍色的多瑙河》、是《春江花月夜》、或是其他的哪首旋律。這便是樂曲的客觀性的顯現，或者說是由樂曲潛在的客觀價值在不同的演繹者那裏所表現出來的家族相似性。翻譯亦然，原文本之潛在的美學神韻經過不同的審美閱讀雖然會產生漸變，但也會保留與原作的血緣關係。"神韻"在每一次審美閱讀中的閃現都是一次遺傳與變異的獨特結合，是一個新生命的誕生，是一次血緣的延續。因此，作品的"神韻"也是一個有機生命，是一個主觀與客觀的和合過程。正因為"神韻"因人的參與而具有了生命的靈性，曾樸把其稱為"詩人內心裏滲漏出來的香味"（轉引自陳西瀅，1984: 407），福樓拜把"風格"看作"生命"，稱其是"思想的血液"（轉引自許鈞，2003a: 310）。

　　譯者通過對原作的審美閱讀獲得了"神韻"還只是在翻譯中實現美學價值的再創造的前提條件，對譯者更大的考驗是如何在譯作中再現閱讀原作所體悟到的"神韻"。傅雷在〈論文學翻譯書〉中曾經感歎："年歲經驗愈增，對原作體會愈增，而傳神愈感不足。領悟為一事，用中文表達為又一事"（1984b: 694）。對於怎樣傳神的問題，學術界主要存在着"重形似（以達到神似）"與"重神似（而不重形似）"兩種意見。

　　"重形似"一派的主要觀點是譯者可以通過字句層次的翻譯保留原文的"神韻"，就像茅盾（沈雁冰，1984: 94）所說的"從

'單字'與'句調'上想法"，雖然譯者翻譯時"未嘗注意於'神韻'的一致，或者'神韻'已自在其中了"。但是，如果"神韻"不在其中呢？應該說，這種可能性還是比較大的，因為"神"不是單字單句的線性累加，而是"音"、"形"、"意"在更高層次上的立體組合，是形式與內容的獨特的有機結合。"既然說是語言的精細微妙的地方、語言的神韻、或是借王國維先生的話來說，語言的'境界'，那麼它就不會是表面上的東西，而是深藏在語言內部的東西；不是孤立的東西，而是和包括它的全體、和作者本身、甚至和作者的時代背景交織在一起的東西"（王以鑄，1984: 567）。這樣的"神韻"自然不是字句層次的翻譯所能傳達的，"形似"派面臨的最大問題便是"形合神離"。

既然翻譯中"以形寫神"通常會遇到"貌合神離"的情況，那麼怎樣才能做到"傳神"呢？中國傳統文化帶給我們翻譯工作者的啟示是：先神後形、以神寫形。"以形寫神"實際上是一種靜態的平面思維，以為"形存則神附"。然而，翻譯中的"神"作為形式與內容的有機結合，卻是立體的。我們需要在"形神"之辯中引入時間的維度，反對平面化的"形具而神生"的觀點。譯作之"神"雖然需要形體作為自己的載體與依託，但作為一個有機生命，"神"最初卻是在另一個系統中孕育出來的，這便是譯者的審美閱讀行為。"神"在譯者的"娘胎"中發育成長，最終在譯作中誕生。"神"在整個過程中無時不在、無處不在，主宰着、制約着"形"的發展。如果相反，"神"從一開始就沒有出現，我們只是把一些不相干的四肢與軀幹拼湊起來，那麼我們所能得到的只是一副沒有靈魂的行屍走肉。翻譯活動亦是如此，

如果從一開始就沒有"神韻"的主宰而是在字句層次進行盲目的翻譯，那麼，最終所得的譯作必然會缺少"君形"之靈魂（注："君形"在古代畫論、文論中即指"神"），必然會導致"形似神散"。由此可見，翻譯中"先神後形"的觀點符合生命哲學與系統論的思想。事實上，原作的形與意也是分層次的。"意"至少可以分為高低兩個層次，即單字與單句之意，與整個文章之意脈，兩者之間還應該存在着一些過渡層次。"形"也是如此，底層是單字與單句之形，整體上便是文章的文體與結構。然而，整個文章的意脈並非是由單字或單句之意疊加所得，整體大於部分之和，具有部分所沒有的功能與品格。文章的文體與結構亦然，也具有單字或單句之形所不具有的品性與特徵。風格作為整體的意與整體的形的獨特結合，處於比形與意更高的層次與結構上，自然不是從字、句層次上的翻譯所能奏效的，甚至可以斷然地說字、句層次上的翻譯必然無法實現文章的"神韻"。

我們認為，譯者不僅需要在翻譯中做到"先神後形"，而且還需要"以神寫形"。前者（"先神後形"）還不是翻譯形似論與神似論的根本差異，形似派最主要的特徵是"以形寫神"，認為通過"形似"能夠達到"神似"，而是否首先對原作的"神韻"有所領悟則不是其區別性特徵。翻譯神似論反對"以形寫神"的做法，強調"以神寫形"。兩種方法最根本的差別是："以形寫神"所走的是從下至上的路徑（the bottom-up approach），"以神寫形"所遵循的卻是由上至下的途徑（the top-down approach）。從下至上的路徑易於操作，不需動太多的腦筋，缺點是常會迷失方向，容易糾纏於細枝末節。由上至下的途徑通常方向明確，對大局的把握比較好，更易於對整個進程進

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行調節與控制，但也容易忽視細節。但總體來說，由上至下的途
徑具有許多從下至上的路徑所不具備的優點，在人類的藝術創造
活動中尤為重要，甚至可以看作藝術與非藝術的天然分界線。馬
克思（1972: 202）在《資本論》中就曾說過："蜜蜂建築蜂房的
本領使人間的許多建築師感到慚愧。但是，最蹩腳的建築師從一
開始就比最靈巧的蜜蜂高明的地方，是他在用蜂蠟建築蜂房以
前，已經在自己的頭腦中把它建成了"。"神韻"作為"音"、
"形"、"意"在更高層次上的有機體，牽涉到的因素太多，若
從字句等低層次的單位着手進行翻譯，難免費心費力、顧此失
彼。文學翻譯中，譯者若想再現"神韻"，必然是重新創造的結
果，只有重新創造才能保證各個部分各得其所，才能保證譯者審
美閱讀中所體悟到的"神韻"得到整個兒的再現。因此，我們認
為，文學翻譯中應以由上至下的工作路徑為主，輔以從下至上的
路徑。具體翻譯方法上則要求譯者從大處着眼，從小處入手，其
實質便是要求我們在翻譯過程中心裏時刻裝着"神韻"，"以神
制形"，"以神寫形"。正如許鈞（2003a: 311）所說，"是採
取與原作相同、相似的語言表現手段，還是不同的甚至相反的語
言表現手段，並不是一個有着明顯界限的是非對錯的原則問題，
而是要視兩種語言、兩種文化語境以及各種因素所提供的可能性
而定。形可似，也可不似，但譯者都不能不投入自己的創造個
性，不然，形合神離，形似神散，都是不可避免的"。"先神後
形、以神寫形"的翻譯方法強調文學翻譯中的再創造行為，而不
是亦步亦趨的模仿行為。不難理解，這種翻譯方法必然體現出
"重神似不重形似"的特徵。

結　論

　　要真正理解傅雷先生"重神似不重形似"的美學主張，我們還得從過程論與系統論的角度來認識"神"的內涵、瞭解實現"神"的途徑。"神"作為"音"、"形"、"意"在更高層次上的有機結合，與風格、氣勢的涵義相近，具有整體性。"神"作為一個主觀與客觀的和合過程，需要通過讀者（／譯者）的審美閱讀來啟動，又具有過程性。正是從"神韻"的整體性與過程性出發，我們提出了"先神後形、以神寫形"的翻譯主張，以實現譯者審美閱讀中所體悟到的"神韻"。"重神似不重形似"不是方法論，而是"神"的內在屬性（整體性與過程性）的必然要求，是"先神後形、以神寫形"的方法在翻譯中的具體體現。只有結合"神"的整體性、過程性等特徵和"先神後形、以神寫形"的翻譯方法，我們才能更好地、更透徹地認識傅雷先生"重神似不重形似"的美學理念。

注　釋

[1]　謹以此文紀念我國著名文學翻譯家、文藝評論家傅雷先生誕辰 100 周年。

[2]　西方翻譯史上對於"風格"的理論探討也很早就出現了，但從整體的美學特徵的角度探討作品風格的並不是很多。西塞羅在〈論最優秀的演說家〉（約西元前 46 年）中曾說："我不是作為解釋員，而是作為演說家進行翻譯的……不是字當句對，而是保留語言的總的風格和力量"（轉引自譚載喜，1991: 23）。西塞羅的風格主要是從文章總體的美學特徵來講的，相當於我國傳統譯論中的"神"。然而，西方翻譯理論界把西塞羅視為"意譯"的鼻祖，認為他始開"直譯"與"意

譯"對峙的先河，"風格"這一本來屬於審美領域的問題便在後人綿延不絕的"直譯"、"意譯"之爭中轉化為語言形式的問題。（筆者認為，其中一個很重要的原因就是自西塞羅、賀拉斯、昆體良之後，西方翻譯界中文學翻譯的主導地位逐漸被宗教翻譯所替代並且持續了相當長的時間。宗教性質的翻譯自然首先考慮忠實的問題，內容與形式的矛盾便被推向了前臺：譯文如何在內容與形式上忠實於原文？如有矛盾，內容與形式哪個更優先？翻譯的審美問題退到了次要地位。）例如，哲羅姆（347?-420）把風格看成是原文的一個不可分割的重要組成部分，反對奧古斯丁等人輕視風格的做法，但他所指的風格是具體的語言風格，與原文的內容和精神相對（譚載喜，1991: 30-34）。西方翻譯領域的"直譯"與"意譯"之爭與西方哲學領域的形式與內容二分法相呼應，類似於中國傳統文論中的言意之辯，而與形神之分有着較大的不同之處。西方的翻譯研究中的形式與內容之爭還影響到中國翻譯界對形神問題的討論，有些學者明確提出"形"就是形式，"神"就是內容。

[3]　作為作品的整體美學特徵，"神"與西方哲學與心理學中的審美"格式塔"的概念有相似之處。

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Translating East Asia:
The State of the Field

James St. André

Abstract

In the past twenty years, translation studies has emerged as a major interdisciplinary field of study. Translation has also always been an important part of what academics in North Atlantic countries who study Asia do. Yet there is not much communication between these two disciplines. The purpose of this paper, then, is first to explore the history of the interaction between translation studies and Asian Studies with special reference to China, and then to discuss how the two fields might more fruitfully interact.

Sinology and Translation Theory:
Never the Twain Shall Meet

The eighteenth and nineteenth centuries saw a tremendous expansion of translation between European languages and various Asian languages. Translations between Chinese and European languages, which had been restricted mainly to the efforts of Catholic missionaries, expanded exponentially in the early nineteenth century with the growth of Sinology, spurred by trade and the entry of Protestant missionaries into the field (St. André 2002).

Translations into European languages tended to fall under the rubric of acquiring knowledge of the other for specific purposes. Thus George Staunton's translation of the Qing penal code in 1810 was spurred by a manslaughter case involving British nationals on Chinese soil; after Hong Kong became British territory, Staunton's translation was used when adjudicating cases involving Chinese in the territory. [1] Selections from the Chinese press (*di bao* 邸報) and edicts by local officials were also regularly translated to keep British abreast of the latest news that might affect trade. [2] Stanislas Julien, the great nineteenth-century French translator, translated several practical treatises on sericulture, porcelain manufacture, wax, and miscellaneous other crafts (Julien 1837, 1856, 1857, 1869). Chinese travel texts which described neighboring countries were translated in the hopes that they might prove useful to British colonial interests in India and other lands (St. André 2004). Chinese poetry, drama and fiction were translated, as one translator put it in his preface, to give the British a truer understanding of the Chinese:

> … many curious customs and peculiarities of a nation are better understood by example than by description: many of these cannot easily be known to foreigners at all. The whole system of the manners of a people can only be thoroughly known to themselves. … Therefore the intire [sic] manners of the Chinese can only be thoroughly described by themselves. (Percy 1761: xvii-xix)

Finally, translation and retranslation also could serve national interests by serving as argument with Sinologists from other countries (St. André 2004).

Conversely, translations into Chinese from European languages tended to support missionary work. Many of the first generation of

British translators in the early nineteenth century were Protestant missionaries, and their works included a great many religious tracts and, of course, the Bible itself. [3] In addition to missionary work, however, there was a secular equivalent of wanting to spread the ideals of humanism, science as a belief system, and the gospels of free trade and international law (Liu 1999a; Adas 1989: 199-209).

In the process of translating this large variety of works in both directions, there was often discussion of how best to translate certain individual terms. For example, how to translate the Chinese term *yi* (夷) was an extremely sensitive issue; early renderings as "foreign" gave way in the 1830s to "barbarian" and led to the British demand for its exclusion from all diplomatic texts when referring to Great Britain or the British (Liu 1999a: 132-34). [4] At the same time, there was a veritable "tract war" over the translation of certain key words in the Bible. [5] Yet despite these controversies over individual terms, there was remarkably little theorizing on translation principles, apart from Yan Fu's three principles of translation late in the nineteenth century (Yan 1975), which had little influence on Sinological translation practice.

Instead, prefaces and reviews of translations from Chinese or Japanese content themselves with telling the reader that a translation is faithful, accurate, or carefully done; such discussion is usually confined to the opening or concluding paragraph. After a total of forty-seven pages, mostly discussing the nature of the Chinese language, an overview of Chinese literature and the content of the Qing legal code, a review of Staunton's 1810 translation spends only the final paragraph discussing issues related to the translation process itself:

> [The translation] appears to us as literal as the difference in the nature, construction, and idiom of the two languages will allow … in every instance of [line-by-line] comparison we have found the version so

> close and accurate, and the style so uniform and consistent, that we do
> not hesitate (tyros as we are) to pronounce it a true and faithful transcript
> of the sense and meaning of the original. (Anonymous 1810a: 317) [6]

A discussion of difficulties faced by translators of Chinese on pages
273-278 of the same review are those of working on an unknown
language with few reference works or predecessors, but there is no
theorizing on why or how the nature of the Chinese language might
make translation difficult (or easy). Similarly, a review of Davis's
translation *Han Koong Tsew, Or the Sorrows of Han* (1829) opens with a
discourse on Chinese printing (Anonymous 1829: 85-86), gives a
summary of the plot (87-93), then a general discussion of Chinese
verse (94-113) and of novels (114-120). Although he states that
translations from Chinese into English are generally too literal (99), he
gives no theoretical justification for or further discussion of this issue.

Readers interested in what terms like "faithful" might mean must
turn to the discussion of translations from the Bible and classical Greek
and Roman authors into modern vernacular English, French, German,
and Italian. Prefaces and book reviews of translations into English from
other European languages often devote quite a bit of space to theoretical
issues. The translation of Homer into English, to take just one example,
gave rise to fierce debates and monograph-length studies. Matthew
Arnold's essay "On Translating Homer" (first published 1861) opens
with a survey of theoretical positions regarding translation (Arnold 1961:
97-98). Although he claims not to be interested in theories of translation,
he in fact maps out the major theoretical positions in nineteenth-century
translation studies, gives a detailed analysis of the problematic nature
of the word "faithful", and stakes out his own position in this field
before launching into a detailed description of what he felt to be the
best translation strategy for Homer's works (Arnold 1961: 98-101). F.

W. Newman, clergyman and Catholic apologist, wrote a sharp reply, and Arnold replied with a rebuttal the next year (Newman 1861; Arnold 1862). Throughout this debate, basic theoretical questions regarding translation were at stake, demonstrating that the theoretical underpinning of translation was being critically examined, unlike in the debates over translations to and from Chinese regarding individual words.

Up to the twentieth century, then, translation as a task is an important part of Sinology, but translation studies largely ignores Asian languages, and Sinology does not contribute significantly to debates on translation, which center around the classics and the Bible. For Sinologists, translation was an under-theorized activity; people "just did it".

Area Studies and Translation Theory:
Plus ça change, plus ça reste la même chose

With the rise to prominence of anthropology, and then with the United States government investing heavily in the social sciences and language pedagogy during and after World War Two, Area Studies emerged in the twentieth century as the new model for the interdisciplinary study of Asia. There was a flurry of publications in the 1940s and early 1950s commissioned by the Social Science Research Council and other government bodies on the need for Area Studies in the wake of lessons learned during the war; [7] such funding continues today in various forms, including FLAS grants for the study of foreign languages and Title VI grants to universities for a variety of activities. Thus, even though North Atlantic countries have been studying Asia for centuries, Area Studies in the United States as such is a development of the past sixty years, and it is linked to a shift away from the humanities and towards the social sciences. The distinction between Sinology as a

humanities-centered pursuit and Asian Studies as a social science-centered research nexus continues today in attenuated form in many universities; departmental structures still often mirror earlier concerns, with new interdisciplinary structures added to accommodate Area Studies. At the University of Chicago, for example, the Department of East Asian Languages and Civilizations centers on language, literature, archeology, art history, and history; the emphasis is on the past. The Center for East Asian Studies, by contrast, draws together faculty from all departments in the social sciences and humanities, including economics, political science, sociology, anthropology, law, and psychology; here the emphasis is on the study of contemporary Asian society, politics and culture. Several other research universities in the United States have similar structures, prompted by the availability of federal funding starting in the 1950s.

The rise of Area Studies, despite the shifts in emphasis which it entailed toward the social sciences and present-day concerns, has done nothing to change the neglect of translation as an area of research within Asian Studies. This is mainly because the social sciences in the 1950s-1970s were not interested in theoretical problems of translation. Like Sinology, the social sciences were intellectually and emotionally invested in the belief that they could know the Other better than the Other could know itself. If anything, the rise to prominence of the social sciences pushed questions of language and translation further into the background. Universal models of economic, social, and political behavior were not supposed to be language-bound, and therefore there was no need to adjust anything when applying these models to Asian societies. The universalist assumptions of Asian Studies in the 1950s-1970s were thus inimical to translation studies.

In the wake of Edward Said's *Orientalism* (1978) and the end of the Cold War, much has changed. But before I discuss in detail what

has happened in Asian Studies in recent years, let me first backtrack and discuss developments in translation studies, which can roughly be divided into two camps.

Translation Theory as Hebraic-Greco-Roman Enterprise

The philosophical tradition of translation theory is rooted in Biblical translation, the Greco-Roman literary tradition, and German Romanticism; Walter Benjamin's essay "The Task of the Translator" is perhaps the most famous example in the twentieth century (Benjamin 1996). This tradition is essentially Euro-centric; rarely do theorists discuss non-European languages (the exception that proves this rule are Biblical languages), the Greco-Roman tradition and the Bible affording most of their examples.

Linguistic theories of translation in the twentieth century emerged based on the work of Ferdinand de Saussure and the founding of modern linguistics. Eugene Nida's landmark essay in 1959, "On Translation, with Special Reference to Biblical Translation" is typical of early efforts to systematize linguistic insights in regard to translation, drawing especially on Chomsky's notion of deep structures common to all languages. Because Nida was principally interested in Biblical translation, his model is one which focuses on problems encountered when translating from the "cultural center" (Christianity) to the periphery (outside of Europe). So although many of his examples involve non Indo-European languages, the translation process is one-way from Indo-European to other, "remote" languages. Nida goes so far as to argue that the Bible is the most translatable text in the world because it originates at the crossroads of all civilizations, although he is conspicuously silent

on the question of whether the Qur'an would be equally translatable (Nida 1959: 19). Secular linguistic theorists also tend to adopt a center-periphery approach to translation studies, although instead of Palestine they locate the center somewhere in Europe or the mid-Atlantic. The vast majority of these books and essays which make major theoretical statements use only a handful of European languages to make their points.

More recent efforts in this field have involved machine translation and the development of huge corpora-based studies. In other words, many people pursuing linguistic theories see translation as a rule-bound, mechanical exercise inside of a system which can be accomplished by computers, equipped with ever-more-complex algorithms and gigantic databases.

The Cultural Turn in Translation Studies

Translation studies took a sharp "cultural turn", as Susan Bassnett and André Lefevere call it, in the mid-1980s and 1990s (Bassnett and Lefevere 1990: 1). These two decades witnessed the emergence of a host of theoretical models and musings on translation from all angles. Itamar Evan-Zohar and Gideon Toury developed polysystems theory to discuss the role of the translated text in the target culture (Even-Zohar 1979; Toury 1980). Jacques Derrida weighed in with an important essay starting from Benjamin to develop a deconstructionist translation theory (Derrida 1985), while several feminists have written influential articles and books on feminist translation (Various 1989; von Flotow 1997; Godard 2004). Post-colonial theory has contributed important studies on colonizer-colonized dynamics and what happens to translation

under these circumstances (Niranjana 1992; Simon and St-Pierre 2000), while the growth in popularity of cultural studies has also led to a flurry of publications talking about translation and culture (Schaffner and Kelly-Holmes 1995; Alvarez and Vidal 1996; see bibliography of Bassnett 1991).

In general, this cultural turn has led to more openness in translation studies to work on languages outside of Europe. The Canadian Association for Translation Studies was very welcoming to me when I gave a paper on globalization and localization in the Singapore translation market. After my paper I had a very stimulating discussion of parallels between Canada and Singapore with three delegates at lunch. I was told that translation studies journals in Europe and North America were "dying" to get papers that dealt with Asian languages, literatures, and cultures, and indeed, a paper which was turned down by an Asian Studies journal was eagerly accepted by a top journal of translation studies in the U. K. Probably no sociology journal could be described as similarly eager to get papers on Asian societies (McSweeney 1999). In August of 2005 a major international conference on translation studies was held in Seoul to launch the International Association of Translation and Intercultural Studies, with many academics from North America and Europe in attendance. Most recently, in 2008 the Canadian Association for Translation Studies took as their theme "Translation Theories and Practices: East Meets West".

Translation studies today is in principle open to a thorough integration of Asian Studies because, unlike the more traditional social sciences, translation specialists believe that culture matters, and that translation is a global phenomenon. Tymoczko (2007) has issued an impassioned plea for translation studies to go beyond Europe. Sceptics might point out that here again, as with the more traditional disciplines of sociology and political science, theoretical models are being developed

in the North Atlantic academy and exported or tested in other countries (McSweeney 1999). One important question which Asianists need to ask, however, is what major theoretical model(s) in the humanities and social sciences have emerged among Asianists. Grounded mainly in historical understanding, has there not been a resistance to theorizing about what we do, both by Sinologists and Area Studies specialists (Chow 2002: 109-112)? The major exception, postcolonial/subaltern studies and its contribution to translation theory (and other disciplines), indicates that it is at least possible for new theoretical models to be developed outside of Europe, although some might argue that subaltern studies was mainly developed by very "westernized" academics based in Europe or America just as frequently as in India or other countries.

Along with the "cultural turn" in translation studies, the term "translation" began to be more widely used to describe how people negotiate between different cultures in the humanities and social sciences generally. An early example is George Steiner's book *After Babel* (1975), which argued that all communication is interpretation and translation. More recently and sweepingly, J. Z. Smith claims that:

> It is the issue of translation, that "this" is never quite "that," and, therefore, that acts of interpretation are required which marks the Human Sciences. It is thought about translation, an affair of the in-between that is always relative and never fully adequate; it is thought about translation across languages, places, and times, between text and reader, speaker and hearer, that energizes the Human Sciences as disciplines and suggests the intellectual contributions they make. (Girardot 2002: 686)

Thus the role of Asian Studies specialists has expanded from interpreter/ translator of not just language and literature, but of the entire culture.

Interactions

In the climate of academic interdisciplinarity which has emerged in the last twenty years, what has been the influence of translation studies on Area Studies? To date it has been fairly minimal. To give just one example, in Norman Girardot's 800-page monograph on James Legge, arguably the most influential translator of Chinese in the nineteenth century, besides one reference in the introduction to the introductory-level book by Susan Bassnett, *Translation Studies* (1991) (with no page number cited), there are no references to any of the work by recent translation theorists such as Gideon Toury (whose work on the place of the translated text in the polysystem of the receptor culture would have been relevant). Nor does he use any specialized terminology or concepts from translation studies to help us assess Legge's work or help us think about what he was doing.

What is true of Girardot's study is true in general of Asian Studies. To the extent that issues relating to translation are found in Asian Studies, they are usually brought up by people whose training is in other fields like comparative literature or English. Haun Saussy's *Great Walls of Discourse and Other Adventures in Cultural China* (2001) and Lydia Liu's *Translingual Practice* (1995) are two examples (they were both trained in comparative literature). Another example is the translation project and conference organized at National Taiwan Normal University in 1998-2000 on translation and cultural exchange (Various 2000). All of the participants were from departments of foreign languages (English, French); no participant was from the Chinese department.

This is a pity, because translation studies could open up many avenues for Asian Studies. These include historical studies of translation between two cultures; the analysis of different translation styles and what they mean; more awareness of what Asian Studies aims to do;

more awareness for translators today of what they are doing (or plan to do) with Asian texts; more awareness for translators today of what they are doing with English texts going into Chinese (especially theory); and questions of why and how cultures are more or less receptive to outside influence. Rather than give examples in each of these areas, I would like to discuss briefly what the general lack of theorizing about translation in Asian Studies might mean. Basically, I believe that this lack was important for Sinology as it sought to establish its authority in the nineteenth century, and that the continued neglect of the topic helped Sinologists and Area Studies specialists maintain their authority in the twentieth century.

In the eighteenth century, translation from Chinese was widely viewed as impossible, and the publication of *A Pleasing History* (Percy 1761) was viewed by many as a fraud (Davis 1981: 41). In the wake of the Macartney embassy, however, the Chinese language became knowable, as clearly stated in an anonymous article in *The Quarterly Review* of 1827: "The embassy of Lord Macartney to China afforded the means of breaking down the barrier that denied access to [the Chinese Language]" (Anonymous 1827a: 496). The reviewer went on to demonstrate in a series of steps how the supposed insurmountable difficulties of the Chinese language (especially the number of characters) could be overcome (Anonymous 1827a: 496-498). This new-found transparency of the Chinese language to the British becomes the key to undergirding the new field of Sinology, a term that was first used in 1816 (Simpson and Weiner 1989: 15.538). Knowledge of the Chinese language becomes the basic prerequisite for knowing China (the Other) better than it knows itself. But any theoretical discussion of the issues involved with translation would threaten the security of such knowledge; if the language is not transparent, if translation is not unproblematic, then how can Sinologists be sure they understand China, and how can

the British public have confidence in these new professionals? One of the most basic and recurring issues in translation theory is the impossibility of exact equivalence and the necessity that something will be lost in translation. The 1827 review cited above moves the problem from the process of translation to the ability to comprehend Chinese, thus eliding the whole question of the translation process.

The suppression of theoretical issues involving translation, then, was a strategy, conscious or unconscious, which strengthened Sinologists' claims to knowledge. Furthermore, the type of translation they produced was all packaged in such a way as to say "we know what we're doing". The typical translation from Chinese into English included a long introduction and numerous footnotes, in which the Sinologist showed off his knowledge; and in the translation itself archaic language was used, which emphasized to the reader that the original text was abstruse to the layman. To return to James Legge, his style of translation for the *Book of Poetry* would have been completely unacceptable for a translation of Homer, or any other Greek poetry. In fact he was criticized for lack of poetic feel by at least two reviewers (Girardot 2002: 103, 586, note 89), but this did not prevent his translation from becoming the standard edition in English. As soon as we raise the issue of translation theory, then, interesting questions for and insights into Asian Studies arise.

Asian Studies has been important to translation studies at least for the introduction of post-colonial issues, especially that of the effect of unequal power relations on the translation process. However, much more could be done. Asian case studies could offer challenges and insights into theoretical models developed originally in the European context. For example, feminist writings on translation argue that translation is always gendered. To what extent, and in what ways, is this true with non-European languages? Bassnett argues that the difference between vertical and horizontal translation is governed by the relative relation

of the two cultures involved (1991: 52-3); does this hold outside of Europe, or is this in fact an exceptional case?

Second, studies of translation between Asian and European languages could and should lead to new theoretical models. Lydia Liu's *Translingual Practice* attempts just this, with the creation of a new conceptual category of "translingual practice". Unfortunately, to date this work has not been widely cited in translation studies, although it has achieved a certain cachet in Asian Studies. [8]

Finally, I would like to suggest that the two fields face similar problems. In putting all its eggs in the cultural basket, translation studies has turned its back on mechanical number-crunching studies. Attempts to quantify the translation process or provide a scientific explanation of what goes on inside a translator's brain have led nowhere and largely been abandoned. This makes it a natural ally of Asian Studies, at least the more culturally-aware side. It remains to be seen whether this potential for cross-fertilization between two already interdisciplinary fields will take place.

Notes

[1]   Staunton (1810) alludes to the manslaughter case in the preface on page xxxiii; it is discussed and translated in Appendix 11, pages 516-517 and 521-524. For the use of the code in Hong Kong, see Cranmer-Byng (1967: 251).

[2]   For example, Morrison and Davis (1815) contains several edicts from the Peking Gazette translated by Robert Morrison. Davis (1827) gives translations of edicts issued by local officials concerning trade, as does Slade (1830).

[3]   Based on a check of Harvard's library holdings of Chinese publications by missionaries, Robert Morrison (1782-1834) published numberous

religious works in Chinese, including parts of the Bible, religious tracts, a catechism, and the Daily Morning and Evening Prayers of the Church of England; William Milne (1785-1822) translated parts of the Bible, a catechism, and materials published by the British and Foreign Bible Society; Walter Henry Medhurst (1796-1857) published translations of sermons, the Ten Commandments, sacred hymns, and a partial translation of the Bible; and E. C. Bridgman (1801-1861) translated the entire Bible (published between 1855-1863).

[4] In an earlier article in the same collection (Liu 1999b: 35), Liu quotes an unpublished paper presented by Dilip Basu 1997 on the subject.

[5] The Anderson Harvard Theological Library has two collections of tracts concerning this question dated 1849-1853; one volume is entitled *Name of God in Chinese*; the other is untitled. See also Girardot (2002: 43-44), where he claims that the controversy continued to the end of the century.

[6] Another, 25-page long review in the *Edinburgh Review* has a short discussion of the translation as faithful (Anonymous 1810b: 477-78).

[7] Over a dozen such publications between 1945 and 1962 are listed in Harvard's catalogue (I have not examined all of them). See, *inter alia*, Fenton (1947) and Bennett (1951). For a recent and detailed critique of area studies, including the role of U. S. government funding, see Miyoshi and Harootunian (2002).

[8] Wang (1998), for example, takes her category of translingual practice as a given.

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Stereotyping and the Translation of Subjectivity: The Image of "the Little Girl" in Ling Shuhua's Chinese and English Translations

Jeesoon Hong

Abstract

This essay is a close reading of the Chinese and English translations by the well-known modern Chinese woman writer, Ling Shuhua, based on the author's examination of a wide selection of unpublished archival materials, such as letters and manuscripts related to Ling and Bloomsbury. It divides Ling's translation activities into three phases. In translation, it focuses on verbal images rather than meaning and explores the question of what kinds of transformation occur to images when they cross linguistic and cultural borders. It approaches an image as a material unit which internalizes political ideology and economic values; translation as part of a larger process of cross-cultural reproduction of images; and "stereotyping" as a regularizing rule of the cross-cultural transactions of images. Stereotyping is not only concerned with othering but also with the formation of the self. The little girl image in Ling's translations is deeply related to the construction of the self

or subjectification. Stereotyping also signifies dialectical changes of an image which encompass the killing and revival of images. The little girl image in the Chinese and English versions shows dialectical transformations of the psychological, aesthetic, and social self. The essay explores how subjectivity in the context of modern China was translated and presented to the global market.

Introduction

Ling Shuhua 淩叔華 (1900-1990) was one of the most widely known women writers in China in the 1920s and 1930s, when she published most of her short stories. During recent years, Ling Shuhua may have become more famous for her personal relationship with the British modernist group, Bloomsbury, than for her own literary works, in which she experimented with modernist styles and themes. In fact, she manifested serious interest in cross-cultural activities as she began her writing career in the 1920s. In a letter to Zhou Zuoren 周作人 (1885-1967), in a self-assertive tone, she characterizes herself as a multilingual female writer who bridges Chinese and other cultures. [1] Her involvement in translation thus began at the early stage of her career. In her twenties, she translated foreign stories into Chinese and later self-translated her own stories and essays into English. This study will approach Ling Shuhua's translation practices from the perspective of the broader context of her cross-cultural activities and the dynamic interplay between the two roles she played, author and translator. This study is based on my examination of a wide selection of unpublished archival materials, such as letters and manuscripts related to Ling and

Bloomsbury. [2]

In translation, I focus on the verbal image, rather than the meaning, as the unit of analysis. In Ling Shuhua's Chinese and English translations, I will focus on the question of how an image is translated—in other words, what kinds of transformation happen to images when they cross linguistic and cultural borders. In particular, as Ling's translations center on the image of a little girl, this paper will discuss primarily the image of the little girl and the other important image, that is, her father. I approach an image as a material unit which internalizes political ideology and economic values. In the modern semiotic conception of images, the essence of images has shifted from "pictorialness" and "likeness" to "distortion" and "deception." An image is now defined as "the sort of sign that presents a deceptive appearance of naturalness and transparence concealing an opaque, distorting, arbitrary mechanism of representation, a process of ideological mystification" (Mitchell 1986: 8). Analysis of an image, thus, involves illuminations of the process of ideological mystification and the structure of power penetration. An image is also (trans-culturally) circulated as a commodity as we see most representatively in the brand values of companies and the commercial values of celebrities' images. Drawing attention to the actuality and materiality of images and to the interchangeability between the real and the sign, I will bring to the fore the political economy of images and the cross-cultural transaction of images.

In this context, I view translation as part of a larger process of cross-cultural reproduction of images. In particular, toward the final section of this paper, I analyze the reproduction of the little girl image in Ling's translations in terms of "stereotyping." I suggest viewing "stereotyping" as a regularizing rule of the cross-cultural reproduction of images. In this paper, "stereotyping" functions not as a pejorative term that merely means "generalization" and "simplification" but as a

seminal concept that uncovers the way political power and the global market penetrate into cross-cultural transactions of images. [3]

I draw stereotyping near to its original use in mass-printing technology in late eighteenth century Europe. [4] The concept was used to describe "a mass printing process designed to duplicate pages of type set in fixed casts" (Chow 2002: 52). In the US, too, stereotypes were used to meet the initial need of mass production and greatly contributed to its acceleration in the newspaper industry (Schudson 1980: 67). The current common usage of the concept has become understood as a "generalization" of another group. Yet, as the sociologist Maurice Richter points out, the empirical process of generalization is impossible (Richter 1956: 569). That one stereotypes does not mean that one surveys various sources of information and generalizes them; rather, it connotes the uncritical and automatic "repetition" of others' perceptions and cognitions.

In my conception, stereotyping is the practice of (re)producing mass-consumable images through various forms of transformation such as fixation, repetition, and visualization. Stereotyping is a mass-market-oriented change, and a stereotype is a hegemonic cognitive template of an image which reflects and engages in the historically constructed power dominance.

Stereotyping is not only concerned with distancing the other but also with the formation of the self. As we will see, the little girl image in Ling's translations is deeply related to the construction of the self, or subjectification. Stereotyping also signifies dialectical changes of an image which encompass the killing and reviving of images. The little girl image in the Chinese and English versions shows dialectical transformations of the psychological, aesthetic, and social self. One of the main questions this paper explores will be how subjectivity in the context of modern Chinese literary ideas was translated and presented to the global market.

Ling's Translation Phases and the Little Girl's Arrival

I divide Ling Shuhua's major translation activities into three phases. First, the 1920s, when she translated Katherine Mansfield's (1888-1923) short story, "The Little Girl" (1912) and Anton Chekhov's (1860-1904) "An Incident" (1886) into Chinese. [5] Second, the 1930s, when she translated three short stories of her own in Chinese, "Fengle de shiren" 瘋了的詩人 (1928), "Xie xin" 寫信 (1935) and "Wuliao" 無聊 (1934) into English as, respectively, "A Poet Goes Mad," "Writing a Letter" and "What's the Point of It?" The second phase was Ling's first attempt to publish her own stories in a foreign country. The third period saw the publication of her autobiography, *Ancient Melodies*, in English, in 1953. Some of her short stories depicting childhood were translated into English in order to be included in the book. The book project began in the late 1930s and the production of the book was helped greatly by the Bloomsbury Group. Between March 1938 and the end of 1939, Ling sent the manuscripts of her autobiography to Virginia Woolf (1882-1941), and Woolf read them. During the period, Ling exchanged several letters and books with Woolf.

Ling failed to place abroad the three stories she translated in the second phase. In the three stories, all the protagonists are mature women while all the texts translated in the first and third periods have a little girl protagonist—a little girl and a boy in the case of Chekhov's "An Incident." In this sense, we may say that what actually crossed the cultural border were the stories about the little girl.

The little girl figure appears for the first time in Ling's Chinese translation of Katherine Mansfield's short story "The Little Girl," in the *Contemporary Review*, in 1926. I find that the translations of Mansfield's "The Little Girl" and Chekhov's "An Incident" (1928)

brought about a few significant changes to Ling's works. She began to seriously develop the literary technique of irony around the time of these translations. This aesthetic turn also marks the end of the explicit feminism which characterizes her early works, including her essays. Before 1926, her stories portrayed either a nubile or a newly married young woman and these writings presented a somewhat angry and defiant feminist voice that directly challenged the rigid gender hierarchy of the society. Ling's early stories like "Nüer shenshi tai qiliang" 女兒身世太淒涼 (The Desolation of Ladies' Lives, 1924), "Jiu hou" and "Xiuzhen" have female characters who were confronted with the issue of marriage. In these early stories, male characters are represented as being unequivocally oppressive or are simply marginalized. These stories depict the invisible social oppression and restraints imposed on women—in particular, gentlewomen. Yet just after her translation of "The Little Girl," Ling Shuhua published the story "Didi" 弟弟 (The Brothers, January 1927) in *Contemporary Review*, which marks the beginning of her series of childhood stories such as "Fenghuang" 鳳凰 (Phoenix, 1930), "Ban jia" 搬家 (Moving Home, 1929) and "Xiao Liu" 小劉 (The Little Liu, 1929).

Here, the relationship between Ling's translation of Chekhov's stories and her literary creation merits a brief discussion, although I do not want to revisit the antiquated study of so-called "influence." Ling Shuhua has been called "the Chinese Katherine Mansfied" among her critics for long, but the connections between Chekhov's and Ling's stories seem more remarkable and direct. No doubt, Mansfield herself was referred to as "an English Chekhov" (Zohrab 1988: 137) and she was also engaged in the translation of Chekhov's literature into English. As the Germany-based scholar Meihua Goatkoei Lang-Tan points out, in the story "Hua zhi si" 花之寺 (The Flower Temple, 1925), Ling Shuhua almost directly imported the motif and plot of Chekhov's "At a Summer

Villa" (1886) (Lang-Tan 2004: 104-125). [6] In other stories by Ling, I find additional examples of striking resemblance in motifs, plots and aesthetics. For instance, Ling's "Xiao ger lia" resembles "An Incident," which she translated into Chinese as mentioned above, and her story "Writing a Letter" reads like a loose adaptation of Chekhov's "At Christmas Time." Like other gendered epithets of Ling Shuhua, such as "gentlewoman writer" 閨秀派作家 and "the Oriental beauty" 東方美人, the "Chinese Katherine Mansfield" was an illusory image which reflected its consumers' own collective desire and fantasy.

The First Phase:
The Psychological Self and Visuality

Mansfield's story "The Little Girl" portrays a little girl whose name is Kezia—Qisha 棋沙 in Ling Shuhua's Chinese translation. Kezia lives with her parents, grandmother and servants in an upper-middle class family in New Zealand. The plot focuses on Kezia's relationship with her father, a gigantic figure in her eyes because of his imposing physique, loud voice, and patriarchal authority. A nervous and timorous girl, Kezia always stutters in front of him. Her emotional distance from her father grows even greater when a well-intended deed leads to an unexpected punishment from her father. For his birthday surprise, she makes a pincushion but without knowing it, she uses his manuscript for an important speech to stuff the pincushion. Losing his manuscript, the father becomes furious and whips her. One day, her mother becomes ill and goes to a hospital in the city accompanied by her grandmother, the only friendly figure in the story who gives Kezia soft and warm cuddles. During the night, when Kezia has a nightmare, her father carries her to his bed, where she suddenly realizes how tied he is and feels sympathy towards

him.

Ling Shuhua's translation of the story, "Xiao guniang," in general, closely follows Mansfield's English version. However, there are a few minor yet significant changes which merit attention, and I argue that fundamental changes were made to the images.

The first paragraph of Mansfield's text anticipates the unsettled image of the father in the story. It reads:

> To the little girl he was a figure to be feared and avoided. Every morning before going to business he came into the nursery and gave her a perfunctory kiss, to which she responded with "Goodbye, father." And oh, the glad sense of relief when she heard the noise of the buggy growing fainter and fainter down the long road! (Mansfield 1988: 478)

Up to Kezia's "Good-bye, father" in the third line, the father is addressed as "he." Through this interpellation tactic, which Ling Shuhua followed, Mansfield maintains the possibility of displacing the father-daughter relationship with that between a man and a woman. This beginning tallies with the ambiguous ending, which I will examine later.

Mansfield's "The Little Girl" begins with a definitive statement: "To the little girl he was a figure to be feared and avoided." This sentence is translated as "The little girl felt he was a fearful man and/so would hide at seeing him coming" 小姑娘覺得他是一個可怕的人而且見了他來了要躲開的 ("Guniang," 11). On the one hand, the symmetry between the two passive adjectives, "feared" and "avoided," has to be dismissed in Chinese, in which the passive expression of "to be avoided" would sound strange. The narrative power issuing from the succinct sentence in the English version is diffused in the explanatory Chinese sentence. On the other hand, the displacement of the copula "was" in

English by the verbs "juede" 覺得 (feel), "jian" 見 (see) and "duokai" 躲開 (avoid) enhances the visual aspects of action. The Chinese translation has three verbs of concrete action: to "jian" (見 see), "lai" (來 come), and "duokai" (躲開 hide). In the English sentence, the relationship between father and daughter is abstract and non-visual, whereas in the Chinese sentence, the relationship between father and daughter is configured in a series of concrete visual images in which the father has come, the little daughter has seen it, and wants to hide.

This seems to substantiate Ernest Fenollosa and Ezra Pound's view that upholds the Chinese written language as the ideal medium for exploring poetic visual images. Pound and Fenollosa, who were greatly influenced by Kainan Mori's lectures at Tokyo University, praised the Chinese ideogram saying that it closely captures the operation of nature in carrying a verbal idea of action. In particular, they view transitive verbs as internalizing the principal operation of nature. "The beauty of Chinese verbs is that they are all transitive or intransitive at pleasure. There is no such thing as a naturally intransitive verb" (Fenollosa 1936: 14). In this context, a copular does not reflect the natural law. "There is in reality no such verb as a pure copula, no such original conception; our very word *exist* means 'to stand forth,' to show oneself by a definite act. 'Is' comes from the Aryan root *as*, to breathe. 'Be' is from *bhu*, to grow" (Fenollosa 1936: 15). Many scholars of Chinese Studies have criticized such "stereotypical" views, which see the Chinese language mainly as a visual reflection of the natural process. [7] They point out the significance of the phonetic aspects and the fact that more than 80 percent of Chinese characters were created by the "xingsheng" 形聲 principle (with composite phonograms harmonizing the form and the sound), so there is no mere ideography (Qian 2003: 145).

My focus, here, is on the subtle differences in the images of the little girl and the father, as rendered in the English and Chinese sentences.

Visual aspects of natural action do not necessarily guarantee the liberation of images for open, diverse interpretation. In the excerpt referred to above, the more visualized "Qisha" 棋沙 image is more childish than "Kezia." In the first sentence of the English version, the relationship between father and daughter is introduced through the interior psychology of the daughter, whereas in the Chinese counterpart it is externalized and visualized.

Interestingly, the two versions of the final scene demonstrate the opposite case. The English version ends with a strong visualization of the father-daughter relationship but the Chinese version shows a significant withdrawal from the visualization. If Ling's translation of the first sentence shows the linguistic boundaries between English and Chinese, her translation of the ending scene reveals the cultural threshold. The English version of the final paragraph reads:

> Poor father! Not so big, after all—and with no one to look after him … He was harder than the grandmother, but it was a nice hardness. (Mansfield 1998: 582)

And Ling's translation reads:

> 可憐的爹爹，原來不算很大個子──又沒人看顧他……他比奶奶脾氣硬些，可是，那是一種很好的硬氣。("Xiao Guniang", 14)

> Poor father. Not such a big man, after all—and with no one to look after him … His *temperament* (piqi) was a bit harder than grandma's, but it was a nice kind of hardness. (My translation, emphasis added)

In the English version the hardness of the father indicates primarily the feeling of his body, including the disturbing sexual insinuation—a man's

big-boned body, compared with the soft feeling of the grandmother's body. Yet Ling Shuhua circumscribes the semantic boundary of hardness by adding the word "piqi" (脾氣 temperament). Mansfield's stories are well known for their complex subtext and this story also has psychological twists and troubling implications beneath the simple, jolly plot and the seemingly happy ending. By adding the word, "piqi" Ling forecloses the entry to the subtext.

For instance, the pin-cushion represents the relationship between father and daughter. Kezia tears off the manuscript, which is an unmistakable symbol of the father's social power, to fill the pin-cushion, which will be pinned. The language of timidity and fear also hides a violent sexual fantasy. Pamela Dunbar, a scholar of Katherine Mansfield, presents an interesting psychological interpretation of the story and associates Kezia's nightmare, which involves a butcher with a knife and a rope, with meat and sex and further with the little girl's figuring of her father (Dunbar 1997: 132-135). In particular, Dunbar reads a subtext under the surface of the story through echoes with the "Little Red Riding Hood" fairytale: the father in place of the grandmother in bed and Kezia's concluding comment "What a big heart you've got, father dear" (in comparison to "What big teeth you've got, grandmamma!" in the fairy tale) (1997: 131-132).

Through Ling's translation, readers are on the safe terrain of the innocent little girl's mental growth without being aware of the dangerous imaginative associations with sexuality and destruction. The image of the father fused with the Electra complex in the English text is simplified and trimmed into a one-dimensional image in the Chinese text. It is adjusted to the host culture's norms, duplicating the existing image of the father in modern China. However, I also think that Ling's translation frees Qisha from any psychological attachment to her father; the subjectivity of the little girl in the Chinese version evinces less reliance

on the father than in the English version. The main terrain of subjectivity was not psychological inner reality, for Ling Shuhua. To some extent, this leads Ling Shuhua to explore the little girl as the aesthetic subject that confronts nature as the object. After the translation of the story, Ling, in her own stories written in Chinese, created numerous little girl protagonists who resemble Qisha, such as Feng'er (in "Fenghuang") and Zhier (in "Banjia"). [8] The child character in the stories is the aesthetic subject exploring nature.

The Second Phase:
The Aesthetic Self and the Female
Painter of Chinese Landscape

The three stories "A Poet Goes Mad," "Writing a Letter" and "What's the Point of It?" were translated by Ling Shuhua with the help of Julian Bell (Vanessa Bell's son and Virginia Woolf's nephew), and in 1936, they were submitted to the British journal, *London Mercury*, a cultural-literary magazine that occasionally published articles on Chinese art and culture. [9] They were rejected by the magazine, but "The Poet Goes Mad" and "What Is the Point of It?" were published in the English journal of Beijing, *T'ien Hsia*. [10] There must have been several reasons why they were not accepted by the British magazine. For instance, "Writing a Letter" strongly recalls Chekhov's story, "At Christmas Time" (1900) as I mentioned. The magazine, which led to the cultural enthusiasm for Chinese antiques and curios, must also have preferred writings on old Chinese art to a short story of Chinese modernism. The second phase of Ling's translation, though, represents the peak of her modernist aestheticism, which fuses the artistic vision of Chinese painting with the short story and which explores the aesthetic self.

The female protagonist, Rubi 如璧 in "What's the Point of It?" might be the fictional self closest to the author, Ling Shuhua, especially at the time of its creation. Just like Ling Shuhua in the mid 1930s, Rubi, who lives in Wuhan, leads an extremely boring life and is a translator. The English title with the question "What's the Point of It?" most probably invites more interest from the reader than any literal translation of the Chinese title "Wuliao" (boredom or ennui). The English title highlights the classical connotation of "wuliao", that is, "wuchang" 無常 (impermanence). The middle class educated woman, Rubi, finds herself superfluous in the uninspiring, colorless city of Wuhan (武漢). The image of a bored Chinese woman is certainly a far cry from what an English reader anticipates in a story about a Chinese woman. Yet boredom is located at the center of Ling's aestheticism.

In the English translation of "Fengle de shiren" (The Poet Goes Mad), the erasure of a whole paragraph in the Chinese version is noticeable. It is about the tiled roof of the house of Lao Wang, the servant. Lao Wang's grandmother had never lived in a house with a tiled roof, so his father collected broken tiles for fifteen years and the year the roof was completed his grandmother died. This episode about the Confucian value of fidelity did not cross the cultural border.

"Fengle de shiren" is filled with poetic and visual images of Chinese literati paintings and consciously written in the format of a horizontal hand scroll following the poet painter Juesheng's 覺生 descent from the Tiantai 天泰 mountain (Cuadrado 1982: 53). The first paragraph of the story imitates the lyrical language of a poem and ably reflects Ling's efforts to verbalize a female painter's perception of Chinese landscape:

> 在初春的一個早晨，銀絲似的細雨，乘着料峭的斜風，飛快的拋着梭，織出一層銀灰的薄綃，罩着天泰山的紆曲小路。

In this Chinese sentence, the temporal and spatial images are intermingled to create a montage-like landscape. [11] This sentence is noteworthy because it greatly feminizes and vernacularizes the artistic vision of Chinese painting and the poetic language of traditional China. Ling's verbal art re-textualizes the legendary Song painter Mi Fu 米黻 (1052-1107), styling the misty landscape in an imaginary language of embroidery, replacing black ink and brush with silver gray silk threads and weaving shuttle. In the English versions of the unpublished manuscript and in the version in *T'ien Hsia*, "liaoqiao de xiefeng" 料峭 的斜風 is translated as "the gusts of cold wind", which hardly provides the appropriate image for the willowy movement of the fine silk spun from a weaving shuttle. Interestingly, the manuscript reveals the translator's—probably Julian Bell's—agony regarding the translation. The word "puffs" was crossed out and replaced by "gusts" in the manuscript (Ling, "Poet", manuscript 1). The gentler "puffs of cold wind" would have created a less blustery landscape.

Ling Shuhua creates vernacular images of the Chinese landscape by fusing two seemingly hybrid aesthetic facets: the lofty aestheticism of Chinese literati painting and domestic triviality. In accordance with her exploration of the responses to everyday trivia, Ling's short stories delve into the emotion of boredom rather than the traditionally sanctioned thematic ground of emotions in literature such as love, hate, jealousy and zeal (Holoch 1985: 379-393). In her stories, boredom has an internal tie to women, and women's boredom provides the problematically advantageous ground for aesthetic exploration. The female protagonist of "The Poet Goes Mad," for instance, attains the highest level attempted by Chinese painters, that of "yiqi" 逸氣 (untrammeled spirit).

"Yiqi" epitomizes the aesthetic ideas that characterize not only the three stories but also many other stories by Ling Shuhua. The fact

that she practiced classical Chinese painting generally earns her such flattery as "typical beauty of the Orient" (Dongfang dianxing meiren). Framing her literature in femininity contexts, many critics of Ling Shuhua highlight the "delicacy" and "sensitivity" in her short stories. However, it is important to realize that Ling consciously associated her literature with the artistic vision of the Zen Buddhist paintings of Liang Kai 梁楷 and Ni Zan 倪贊 (1301-74), rather than with the literary tradition of women.

Ling's short stories were created under two principles of Zen Buddhist paintings—"jianbi" (the abbreviated brush style) and "baimiao" (standard monochrome). In addition to their minimalism and simplicity, her short stories are marked by a "dry" narration, in other words, an impersonal and unsentimental narration, resembling Ni Zan's dry brushwork, as compared with Mi Fu's moist ink. Along these lines, she launched a literary world of ordinariness and boredom, as well as an aesthetics of silence. Ling Shuhua distanced her literature from middle class sentimentalism and also from the socially circulated image of the feminine self.

Shen Congwen is a modern Chinese writers who also applied the visual grammar of Chinese painting to the genre of the short story. In particular, Shen Congwen and Ling Shuhua valorized "silence" and "empty landscape" as the vibrant aesthetic terrain of Chinese modernism. In the 1930s, when silent films were still popular, silence may have also been socially accepted as a powerful and expressive language. Silence and emptiness are related both to the modernist politics of disinterest and to the difficulty writers then had of registering their liberal ideas in the political landscape of modern China.

In Ling Shuhua's works, the muted political subject expresses the ideological dilemma, the noninterventionist politics in collective projects such as nation-building and feminism, and also her marginalized position

in the institution of modernism. In particular, it is noteworthy that when writing women, who emerged as a social collective in modern China, initiated the speaking subject, Ling Shuhua chose instead the voiceless subject.

While Shen Congwen's short stories center on the expressivity and lyricism of the poetic subject, Ling Shuhua's short stories explore an incommunicability aspiring to silence. The aesthetics of silence for Ling Shuhua might also have been a useful shield to conceal her lack of writing experience, and a strategic enactment of the gentlewoman's social code of reticence in a mass print market which showed a fascination with women writers' lives. Having retired to the domestic sphere, Ling's aesthetic subject radically cuts off its links to society and constructs its subjectivity in relation to nature.

The Third Phase: Stereotyping and the Embedded Self in the Global Market

The "little girl" image of Qisha reappears, in the third phase of Ling's translation, as the little Ling Shuhua. Ling's autobiography *Ancient Melodies* contains only Ling's childhood memoirs. The stories, "Ban jia" (Moving Home), "Fenghuang" (Phoenix), "Si" 死 (Death), and "Yi jian xishi" 一件喜事 (A Happy Event) had already been printed in Chinese before being included in *Ancient Melodies*, and the Chinese versions never purported to be autobiographical stories. [12] In the translation process, fiction was transformed into autobiography and the fictional characters became extra-textual real people. In this translation process, the third person narrator in the Chinese versions had to be changed into the first person narrator, which Ling's Chinese stories scarcely employ. In fact,

there are parts in which the first person narrator in the English version reads more naturally than the third person narrator in the Chinese version. A sentence in the Chinese version of "Ban jia" is a good example: "四婆還帶枝兒去過幾個地方幫忙，那是更有趣，不過那是夏天的事，記不清了" (The Fourth Aunt took Zhi'er to several places to help work and it was even more fun, but it happened in summer, so *she* cannot remember) ("Ban jia," 256). Here the subject who cannot remember must be Zhi'er, not the omniscient third-person narrator, but the memories of the summer still cannot be narrated. With the first person narrator in the English version, this part reads more smoothly: "There were several more interesting places to which Aunt Shih had taken me. But this had been during the previous summer and I could not remember very well, although it came back to me from time to time" (*Ancient Melodies*, 44).

It is unknown whether the stories were originally fiction or autobiography; but what is at stake here is that Ling Shuhua chose the little girl character as her self *vis-à-vis* the foreign reader. [13] Retrospectively examined against Lacan's formulation, Ling's translation of Mansfield's "The Little Girl" in her early phase may be called the mirror stage of her cross-cultural self, when Ling formed an image of her self *vis-à-vis* other cultures. This is an *imaginary* process where an image is constructed based on another image. This cross-cultural self of Ling Shuhua greatly departs from her image as a "modern or modernist woman writer" within China. The formation of the cross-cultural self in Ling's translation practices can be explained by the concept of stereotyping.

Stereotyping engages in the construction of the self as well as the other. Homi Bhabha sees stereotyping as the primary point of subjectification for both colonized and colonizer, by incorporating the Foucauldian formulation of subjectification and the Lacanian schema of the Imaginary. Bhabha argues that in addition to the ideological

aspects of fixity and repeatability, stereotype is an ambiguous binding of power and pleasure, fear and desire, aggressiveness and narcissism (Bhabha 2004: 96). I will analyze the image of the little Ling Shuhua in *Ancient Melodies* in the light of subjectification, where coercive power and narcissistic desire are intertwined.

The autobiography is the stereotyped genre for a third-world woman to reach the global print market. With its claims to being realistic and truthful, the autobiography promises the delivery of the actual image. In particular, a third-world woman's autobiography seems to guarantee an unmediated, thus uncontaminated, image and knowledge of the other. Yet, as we have seen, the pure little girl's image was to a great extent mediated and influenced by Ling's earlier translation of Mansfield's "The Little Girl."

Stereotyping centers on the fantasy of the true image. It operates on the imaginary division between true and false images. In her letter to Virginia Woolf, Ling Shuhua claims that the primary aim in publishing *Ancient Melodies* is to present the "real Chinese mind" to the Western reader and expounds on the "real" in brackets, by "one who has not been changed by Western influence." [14] This negative definition of the "real" demonstrates the illusive and gyratory nature of the distinction between authentic Chinese and Western, and anticipates the book's narrative inclination toward self-exoticism. The book is based on the existing stereotype of old China and actively engages in the process of stereotyping China.

However, it is also true that Ling was very careful not to revisit the stereotypical image of a Chinese woman as a victimized third-world woman that has been widely consumed in the Western print and film market. When, coincidentally, another autobiography of a Chinese woman, *Daughter of Confucius*, portraying a suffering Chinese woman and her large Chinese family, was published in the same year (1953) in

England and America, Ling made a clear distinction between it and her own work, in a letter to Leonard Woolf:

> I've read a new book named "Daughter of Confucius." It is about a large Chinese family. It is written by someone with a name very like mine: Su-Ling Wong, and her American teacher, cooperated with her. After I read it, I felt a relief. It is quite a different thing. It is only a story in a report-style. There had been published hundreds of books like that before. I'm afraid very few people want to read this kind of book. The style and the way of telling it is very ordinary and plain. [15]

An upper class woman's pride in high culture and literary style makes Ling's autobiography different: it does not offer the stereotype of a suffering third world woman. Shu-mei Shih offers an insightful reading of Ling's correspondence with Virginia Woolf but seems to have missed this aspect (Shih 2001: 221-228). In the cross-cultural transaction of images, stereotypes function like a standard currency in the international exchanges of currencies. In general, the closer an image is to a stereotype, the easier and quicker are the production and consumption. The higher value of an image is often a result of its distance from the stereotype. Ling Shuhua's little girl image in her book reflects such a strategy. Yet complexities also issue from the fact that more than one stereotype converge in an image. As we have observed, although Ling avoided the stereotypical image of the suffering Chinese woman, the book is heavily infused with stereotypical echoes of the country and is presented in the stereotypical narrative of autobiography for mass consumption in the Western print market.

The stereotyping of an image is also marked by reification. The production process in the modern Chinese literary field was concealed in the final product. The fact that the autobiographer, Ling, was an

acknowledged writer in China, was hardly made known to the English reader. For example, in the preface to the book, Vita Sackville-West introduced Ling Shuhua only as "one of the many daughters of an ex-Mayor of Peking." Instead, Virginia Woolf's involvement loomed large in the reception of the book and contributed to its success. Ling's dubious posture as an amateur writer seems to have helped her get a better reception.

The English versions contain many descriptions of Ling's father, and the enigmatic father character occupies a significant role in representing old China. Janet Ng even calls it the "father's land" (Ng 1993: 235-250). In the transcultural consumption of *Ancient Melodies*, the image of the father is associated not only with old China but also with the West. The father and daughter in *Ancient Melodies* can be characterized as authoritative and charming, cultured and gifted. One is easily drawn to extend this patriarchal relationship to the international hierarchy, to the West and China. Unlike Patricia Laurence's reading of correspondences, one that romanticizes international modernism (Laurence 2003), my interpretation is evidenced by the letters between Ling Shuhua and the members of Bloomsbury, including Virginia Woolf. Ling Shuhua presents a cross-cultural self-image, which fuses the Orientalist myth of old China and the narcissistic fantasy of the pure little girl, which had already formed in the period of her translation of Mansfield's "The Little Girl."

Compared with the other translations of Ling Shuhua, the stories included in *Ancient Melodies* show the most dramatic changes. An excerpt from "Yi jian xishi" (A Happy Event) highlights these changes:

"怎麼不去畫畫去？"
"媽媽叫我等着給你磕頭，" 鳳兒答。("Xishi", 416)

> "Why haven't you gone to practice painting?" "Mother told me to wait to kow-tow to you," Feng-er answered. (My translation)

Ling rewrote this in the English version, which includes sentences from the other paragraphs in the Chinese version. It reads:

> "Why are you alone here?" I suddenly saw Father standing by the porch. He spoke *kindly* to me.
> I smiled and answered *timidly*: "I don't know the game. They don't want me."
> "Little ones should learn first, but it is just the same if you are amusing yourself with something else." Father often said something, which his children never would bother to understand, because it could be explained in many ways. I looked at him with a smile for an answer. (*Ancient Melodies*, 55; emphasis added)

While the role of the third person narrator in the Chinese version is minimal, the first person narrator in the English version is actively involved in the characterisation of father and daughter, using the adverbs directly describing personality, like "kindly" and "timidly." The embedded dialogues and talkative "I" narrator in the English text present the little girl's subjectivity, which can be explored mainly through her relationship with her father.

Yet I argue that the changes in the translation signify more than this. It is a shift in discursive mantle. The celebrated Yan Fu's (1854-1921) translation of Thomas Huxley's *Evolution and Ethics* is relevant to my argument. A radical transformation of the English text by Yan Fu signifies his intense engagement with Huxley's text and his firm command of it; his translation is not "loose" from the perspective of "fidelity." As is well known, Yan Fu took several months of effort to coin neologisms;

in creating neologisms, he did not often use "ren" (human) in comparison with "tian" (cosmic). In "Tianyan lun," which shows complex textuality and inconsistencies, Yan Fu, I think, tried to turn Darwinian sociology into political philosophy, often under the moral concepts of Confucianism. The discursive dimension moves from the social into the cosmic. This is related to Yan Fu's effort to embrace the cosmos as monistic rather than displaying a separation between natural and human processes, adhering closely to Herbert Spencer's view than to Huxley's. I suggest that the transition is also related to the translation between English and Chinese. Many modern Chinese intellectuals, not having experienced a revolutionary humanist epoch such as the Renaissance, maintained the Buddhist conception of the subject. For example, Zhang Taiyan's 章太炎 (1868-1936) idea of the subject, "geti" 個體, which had a great impact on modern Chinese intellectuals, particularly Lu Xun, conceived the subject within Nature, not particularizing it as the human subject within society (Wang 2000: 231-259). Thus, Yan Fu's translation of English into Chinese translates the language of society into the language of the cosmos.

The changes that occur in Ling's translations of the Chinese texts in *Ancient Melodies* can be understood in this light. It is a journey in the opposite direction. In the Chinese texts, the little girl is mainly the aesthetic subject situated within Nature, rather than in human society. The enlarged image of the father in the English version does not merely signify the centrality of the father in the construction of the little girl's subjectivity, but a shift in the existential mantle for the subject. In the English text, the little girl is the social subject who is tightly embedded in the familial, social net, and above all, in the global relationships of politics and economy.

Conclusion

In the cross-cultural production of her autobiography, which is her major cross-cultural activity, Ling Shuhua stereotyped the self, both voluntarily and involuntarily. In my political and economic conception, the question of "who stereotypes whom" is rephrased as "who owns the means of stereotyping" in the global market of images. In the global literary market, Ling Shuhua did not own the material capital of a publisher or the symbolic capital of literary fame. As we have seen, the little girl stereotype internalizes the international power relationship represented by the enhanced role of the father in the English version. Yet, subjectification in stereotyping cannot be explained thoroughly in terms of power and subjugation; it involves negotiation and narcissistic fantasy. The pure image of little Ling Shuhua in the book explores the aesthetics of pettiness, distance and harmony as represented in the title, "Ancient Melodies." The little girl image is the outcome of Ling's efforts to negotiate between the female subjectivity in her Chinese texts and that in the global print market: she seems to have tried to avoid full-fledged sexuality, fully developed psychological complexes, avant-garde aestheticism, physical intimidation, social contradictions of gender, and class and intercultural tension. I will expound further what I have discussed with regard to Ling's translations through the dialectic of stereotyping. W. J. T. Mitchell views a stereotype as a kind of "living death" on the borderline between the animate and the inanimate. He says, "The life of the stereotype resides in the death of its model." In the process of translating Mansfield's "The Little Girl," by suppressing the reading of the subtext of physicality and psychology, Ling took only the surface of the image and emptied the imaginary space of the little girl. The result is as much a killing of the image as it is a giving of new life to the image. In the course of translation, Ling created a symbolic

space of subjectivity in emptiness and silence, exploring incommunicability in society and communication with Nature rather than in the psychological territory of inner reality. Subjectivity, in Ling's Chinese texts, vacillates between the Zen Buddhist ideal of transcendence and the ideological void. When translated into English, the stereotype of "old real China" dominated. The ontological realm of the subject moved from Nature to human society when it was located within global relations. However, I also argue that stereotyping was not merely a simplification but also a revelation and clarification of the material basis of the image. The little Ling Shuhua in *Ancient Melodies* can expose the political backdrop of her aestheticism. There is depth to the superficiality of a stereotype.

Notes

[1]   Letter from Ling Shuhua to Zhou Zuoren (6 September 1923) cited in Zhou Zuoren (1963: 606-607).

[2]   These manuscripts are located in the Modern Archives of King's College, University of Cambridge (hereafter MAKC), Special Collections of Sussex University Library (SCSUL) and New York Public Library (NYPL). Patricia Laurence's *Lily Briscoe's Chinese Eyes* (2003) has also dealt with the manuscripts. In this essay, I will avoid revisiting the facts and issues she has already discussed.

[3]   For stereotyping, see Pickering (2001), Jameson (1995) and Chow (2002). Arguments on the inevitability of stereotyping open up the possibility of employing stereotypes as a seminal and theoretical concept.

[4]   Adorno and Horkheimer, in their *Dialectic of Enlightenment*, repeatedly use a "stereotype" to criticize the modern form of mechanical reproduction in the culture industry (1997: 127, 136, 143-44, 148, 156).

[5]   In 1932, Ling also attempted to translate Jane Austen's *Pride and Prejudice*

but never finished the task (Chen 2001: 134).

[6] In both stories, the protagonists receive a love letter from an anonymous woman but in the end it turns out to have come from their own wives. In both stories the little episode of the married couple with a middle-class background is approached in a lightweight, delightful manner. One may call "Hua zhi si" a Chinese adaptation of "At a Summer Villa." In fact, Chekhov's impact on Mansfield has also been viewed as problematic. For instance, Mansfield's early story "The Child-Was-Tired" is seen as a "free rendering into English" of Chekhov's story "Spat'Khochetsia" (Zohrab 1988: 137-138).

[7] Examples include Ira B. Nadel, "Constructing the Orient: Pound's American Vision" (Qian 2003); Beongcheon Yu (1983); Zhaoming Qian, "Pound, Fenollosa, and *The Chinese Written Character*" (Qian 2003: 141-154); and Rey Chow, "Brushes with the Other-as-Face: Stereotyping and Cross-Ethnic Representation" (Chow 2002: 50-94).

[8] Ling also wrote a short story with a similar name, "Qixia" 綺霞 (1927) but the story depicts a married woman's agony in choosing between marriage and her career as a pianist.

[9] The magazine, whose chief editor was R. A. Scott-James, for instance, published Basil Gray's "Chinese paintings at Burlington House" (121-123) and Leigh Ashton's "Ancient Bronzes of China" (127-129) in vol. 33 (December 1935). The editor, David Garnett, returned the manuscripts to Vanessa Bell.

[10] "Wuliao" was published in *Wenyi: Dagongbao fukan* (Literature and art: supplement to *Dagongbao*) on 23 June 1934; "Fengle de shiren" was published in *Xinyue* 2, no. 1 (10 April 1928), and in English as "A Poet Goes Mad". "Xie xin" was included in her book *Xiaoger lia* (Shanghai: Shanghai liangyou tushu, 1935). The English version of "Wuliao", "What Is the Point of It?", also appeared in *T'ien Hsia Monthly* 3.

[11] Wai-lim Yip compares the multiple relationships shown in the syntax

of classical Chinese poems with filmic aesthetics (like montage or a mobile point of view). See Wai-lim Yip (1993).

[12]   Fu Guangming (傅光明) translated *Ancient Melodies* into Chinese in 1994. (See *Guyun* 古韻, Beijing: Zhongguo huajiao chubanshe, 1994.)

[13]   Ling Shuhua's daughter, Chen Xiaomei, suggests not to read it as a truthful autobiography. According to an interview with Chen Xiaomei, London, December 2000.

[14]   See Letter from Ling Shuhua to Virginia Woolf (24 July 1938, NYPL).

[15]   See Letter from Ling Shuhua to Leonard Woolf (10 September 1953, SCSUL). Interestingly, in portraying a large family, the story begins with a chapter called "Girl Number Seven" which might strike the reader as having a link with Ling Shuhua as the ninth daughter in *Ancient Melodies*; see Wong (1953).

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信息熵視角下文學作品模糊語言之結構分析與迻譯 *

邵　　璐

Abstract

Fuzzy Language in Literature and Translation: The Role of Information Entropy (*by* Shao Lu)

Precision in language is relative and conditional, while fuzziness an absolute and universal predicate. The present paper contends that on both the operational level of translation practice and the abstract level of translation theory, there is this feature of "fuzziness": On the one hand, the translator is faced with the need to handle the fuzzy language; on the other, there is the problem of a theoretical fuzziness when the translator tries to decide what approaches to take. To support this argument, the paper uses The Da Vinci Code *and its two Chinese translations as a case study. After proposing an information entropy-based method of assessing the fuzziness of language and the extent of equivalence in fuzziness between a TT and its ST, the paper applies insights from fuzzy linguistics and fuzzy logic to a discussion of how such language is handled in its translation into Chinese. It is argued that a dialectical relationship exists between what is "fuzzy" and what is "precise" in literary language, and that this dialectics applies to the process of*

translation as well. Alongside this argument, it is suggested that the best approach to the translation of fuzzy utterances is that by which "fuzziness" is matched with "fuzziness".

一、引　言

文學作品的精妙常常體現於它的模糊性上，正所謂"文外之旨"、"不求盡意"、"不盡為妙"，文學作品動人魅力在很大程度源自"象外之旨"、"弦外之音"、"韻外之致"。文中眾多的"空白"和"未定點"造成了文學的"模糊"現象，即那些"只可意會，難以言傳"的現象，這恰是作品的"神韻"，是欣賞者須填補的"空白"，須把握的本質。那麼，這些"空白"和"未定點"是可以測量的嗎？在文學作品中，模糊語言的表現形式如何？文學作品及其翻譯中的模糊語言如何分析處理？

在翻譯學的方法論上，本文認同蒂莫奇科（Tymoczko 2007: 13-186）倡導的"包容性研究途徑"（inclusionary approaches），即以開放的態度來開展翻譯研究。蒂莫奇科在她的著作中特別提到翻譯研究的"科學方法"（scientific method; Tymoczko 2007: 141）。克羅寧也指出，自然科學與社會科學之間的壁壘已被打破，從屬於社會科學下的翻譯研究將游走於自然科學與社會科學之間（Cronin 2006: 20-21）。切斯特曼同樣認為：就假設和假設的形成而言，軟件科學與硬件科學之間在原則上沒有區別，甚至實證方法與解釋學方法之間也無分別"（Chesterman 2000: 21）。由此，本文將採用兼容並舉的方法，即兼容實證研究（案例分

析）與理論分析，把信息科學的量度方法融入翻譯學中的模糊話語研究，為話語模糊度的測定提供一種科學依據，同時又結合傳統的文本分析法進行案例分析，從而達到理論與實踐、信息科學與人文科學相結合的研究目的。

二、模糊語言定義與分類

　　英文裏有若干表示模糊概念的詞，領域不同，用詞也往往不同。在模糊邏輯學、模糊美學、模糊集合論，所用之詞通常為"fuzziness"；在模糊語言學中常用"vagueness"；在分析哲學，常用"indeterminacy"；在模糊修辭學，常用"ambiguity"；在原型論則常用"opaqueness"。當然，這些詞項彼此間是有細微區別的。用中文來表示，"fuzziness"指"模糊"，"vagueness"指"含糊"，"indeterminacy"指"不確定"，"ambiguity"指"歧義"，"opaqueness"指"不透明"。但它們的核心意思卻是一致的，即指"不清晰"、"模糊"。在中文裏，"模糊"這個詞則用得最廣，語義涵蓋面也最寬泛。因此，本研究者認為，用該詞來統指相關的概念是一個合適做法。本文所說的"模糊"，也就是這個寬泛意義上的模糊。

　　更具體地說，本研究者認為，翻譯學中的模糊語言是指源文本和目標文本中具有不確定外延的話語，其特點體現在所指對象界限的不確定性。在模糊集合論中，模糊語言被界定為"基於模糊邏輯和近似推理之上的形式語言"（Zimmermann 2001: 160）。用模糊集合論的術語來解釋，就是指：這些模糊話語具

有非此非彼性，特定的讀者群對於同一模糊話語可能產生不同的理解。讀者群對於模糊話語的某一種理解的隸屬度介於開區間（0, 1）之間。我們可以通過隸屬度，計算出特定讀者群對於同一模糊話語可能產生不同的理解的概率分佈，再利用香農（Shannon）公式從概率分佈計算出模糊話語對應的熵（Shannon entropy; information entropy）。熵的值介於（0, ∞），熵的大小與其對應的模糊話語的模糊性成正比，其中，熵若為 0 就表示不模糊。這樣我們可以分別計算出源文本以及目標文本中對應模糊話語的熵，從而分析源文本和目標文本在翻譯過程中模糊性的變化。

含糊、籠統、歧義、不確定、不透明的語言皆屬於模糊語言範疇。即是說，"模糊"是上義詞，"含糊"、"籠統"、"歧義"、"不確定"、"不透明"都是它的下義詞。"含糊"用來指有多種語義解釋的詞語或句子，以多義詞為代表。例如，"描"在以下用法中有不同的解釋：描（紅）、描（繪畫）、描（寫）等。而《現代漢語詞典》所給詞條的意義為：在原來顏色淡或需要改正的地方重複地塗抹。這是因為這些詞義是有關聯的，並且都是從一個中心意義引申而來的，這個中心意義可概括為"把事物的形象臨摹出來"。

所謂"籠統"，是指意義不具體。"籠統"是與"具體"相對的，相對籠統的詞與相對具體的詞的關係一般是上下義關係，如英文"uncle"是中文"伯父"、"叔父"、"舅父"等的上義詞，"伯父"等則是"uncle"的下義詞。又如，"杯子"這個詞的意義也屬籠統之詞，因為它沒有具體說明杯子的類屬（是茶杯、酒杯，還是咖啡杯）。

　　"歧義"指詞語或句子有多種意義，而且這多種意義彼此之間又不存在重要的語義關聯。例如，"新生"有兩個互不相干的意義，包括"新學生"和"新的開端"。"米"可指測量單位，也可指糧食的一種。"Flying planes can be dangerous"有兩種意思："飛行的飛機是不安全的"、"駕駛飛機是不安全的"。所謂"不確定"，主要是強調在時間、空間、地理位置、人物、事件不恒定的情況下，瞬間即變的不穩定造成的遷移或改變，即奎恩提出的不確定論題。

　　"不透明"概念常在原型論中出現，如查德在對傳統原型論提出補充和修訂時，曾明確指出："原型概念是一個不透明概念"（Zadeh 1982: 293; 1996: 589），並對"不透明"的涵蓋內容在腳注中作出說明，認為不透明概念常包括：總結、戲仿、導言、漫畫、好笑、有趣、美麗、關聯、美味等概念。

　　把含糊、籠統、歧義、不確定、不透明等概念都歸入模糊語言範疇的好處在於：1、能夠有效地吸納模糊集合論、模糊語言學、模糊哲學等學科的好處，來處理翻譯中的模糊語言問題。如肯普森（Kempson 1977）關於"含糊"定義的第一義即"指稱模糊"、第二義即"意義不確定"、第三義即"意義缺乏確指"，可以把它們歸為後面第四節所指模糊話語在語言、文化、修辭層面的語義模糊；至於肯普森所指的第四義"意義解讀不同"，則可以歸為第四節所指模糊話語在語言、文化、修辭層面的語用模糊。2、拓寬了模糊一詞的解釋範圍，據此我們既可用模糊集合論的隸屬度來衡量目標文本與源文本的相似度，又可用模糊哲學的真值度來衡量翻譯的等值問題。這樣便突顯了翻譯研究的跨學科性。而本研究中對模糊語言的這一解釋，既適用於文學作品，

也適用於非文學作品。

三、模糊特性與模糊語言的量度

以上我們對模糊語言進行了解釋，下面擬嘗試將"科學的"量度手段施用於文學作品中模糊語言的量度。具體說來，即是要以客觀測評為主，主觀分析為輔，定量為主，定性為輔的方法，從普通文學文本《達•芬奇密碼》的英文源文本及其兩個中譯本選例，借用香農的熵分別計算和分析源文本和兩個目標文本話語的模糊度，來對目標文本與源文本模糊性的相似度作出比較、評價，以期對譯文評量提供一種"有章可循"的、較為"科學"的參考標準。

信息論是運用概率論與數理統計的方法研究信息、信息熵、通信系統、數據傳輸、密碼學、數據壓縮等問題的應用數學學科。人們通常將"信息論之父"香農的文章（Shannon 1948: 379-423）作為現代信息論研究的開端。熵是信息論中的重要概念，最先在 1864 年首先由克勞斯爾斯（Clausius）提出，並應用在熱力學中，後來由香農首次引入到信息論中來。信息熵與信息量的關係為：在一個系統中，熵是它的無組織程度的度量，而信息則是它的組織化程度的度量，信息量增大，熵就相應減少，這就是"信息的負熵原理"，或信息與負熵等價。簡言之，熵表示系統的無序程度。越無序，熵越大。

筆者根據信息論中香農信息熵的工作原理，認為它適合於作為考察文學話語模糊性的一個科學手段。就是說，我們可以把它

用來分析特定讀者群對於文本（包括源文本和目標文本）理解的不確定性，即模糊性。信息熵跟文本的模糊度成正比，即熵越大，文本中話語的模糊度就越大；反之，熵越小，話語的模糊度越小。在香農的信息理論中，熵被用來度量一個由多個事件構成的系統的信息量，它反應了該系統的複雜度，信息量越大說明這個系統越複雜。讀者對於模糊話語的理解同樣可以被視為一個由多個事件構成的系統。讀者對模糊話語產生的特定理解構成這個系統中的一個事件。通過對熵的計算，我們可以分析出讀者對於模糊話語的理解複雜度。讀者對於模糊話語的理解越複雜，說明該模糊話語對於讀者越模糊。

在香農的信息論中，如果字符表 $X = \{x_1, x_2, \cdots, x_n\}$ 中每一個字符對應的出現概率為 $P = \{p_1, p_2, \cdots, p_n\}$，則集合 $(X, P) \equiv \{(x_1, p_1), (x_2, p_2), \cdots, (x_n, p_n)\}$ 的信息熵 $H(X) \equiv H_n(p)$ 可以用 $H(X) \equiv H_n(p) = H_n(p_1, p_2, \cdots, p_n) = -c \sum_{i=1}^{n} p_i \log p_i$ 表示。其中 c 是一個任意的正常數，對數以 2 為底，單位是比特（bits）。出現 $\{X = x_i\}$ 所含的信息量的定義為 $h(p_i) = -\log p_i$。應當注意的是，熵 $H_n(P) = \sum_{i=1}^{n} p_i h(p_i)$ 是個信息的平均值（Karmeshu & Pal 2003: 3-4；筆者自譯）。

以下運用香農信息論中的熵，來對特定讀者群對於文本（包括源文本和目標文本）理解的不確定性進行度量。本研究將這一不確定性定義為文本對該讀者群在語言理解上表現出的"模糊性"。度量過程可分為四個步驟：1、對文本進行分析，找出其中包含的模糊話語。2、統計並分析特定讀者群對單個模糊話語可能產生的不同理解，以及產生該理解的概率。3、計算單個模糊話語對於該讀者群的模糊性。4、計算整段文字對於該讀者群

的模糊性。

　　為了計算簡便，在對整段文本的模糊性進行分析時，我們假設該段文本所含的模糊話語之間相互獨立。當分段足夠精細的時候，便可以計算出一個比較精確的近似值。

　　接下來從《達•芬奇密碼》的英文源文本及其兩個中譯本挑選兩個例子，利用信息熵的概念來對特定文本讀者群在語言理解上的"模糊性"進行量度，以此作為示範，說明對於語言的模糊性，可以通過較為科學的新的方法來測評。

　　例一／源文本：

　　　　According to lore, the brotherhood had created a map of stone—a *clef de voûte* … or *keystone*—an engraved tablet that revealed the final resting place of the brotherhood's greatest secret … information so powerful that its protection was the reason for the brotherhood's very existence. (p. 28)

　　目標文本一：

　　　　據傳，郇山隱修會製作了一個石頭地圖，即拱頂石，或曰塞縫石。這是一塊銘文石板，上面揭示着郇山隱修會最大的秘密被隱藏的地方。這秘密太重要了，郇山隱修會就是為了保護它而存在。（頁 10）

　　目標文本二：

　　　　根據傳說，這個兄弟會製作了一個石頭地圖——法文稱為 clef de voûte，英文是 keystone，亦即拱心石——這塊雕刻過的石板，

> 上面有該兄弟會最大秘密的最後棲身之地……這個訊息的力量之大，以至於該修會存在的目的，就是為了要保護這個秘密。（頁20）

可以看出，此例英文源文本和兩個目標文本中包含了三個對應的模糊話語："keystone"、"塞縫石"、"英文是 keystone，亦即拱心石"。對於模糊話語"keystone"至少有三種理解：（A）拱頂石；（B）塞縫石；（C）（計劃、論據等的）基礎，主旨。根據上下文，"keystone"的另一種意義——啟斯東笑劇（式）的（啟斯東笑劇指 1914-1920 年初由美國啟斯東影片公司拍成默片的笑劇，劇中經常出現一對愚蠢而無能的警察）——明顯可以排除在外，所以以下的計算會將之排除。目標文本一中的模糊話語"塞縫石"，即（B），沒有一種以上的歧義，通常只有一種意思，即指砌體建築中，任意相鄰砌塊之間所填充的小墊塊。對於目標文本二中"英文是 keystone，亦即拱心石"的理解，至少有以下四種可能性：（D）不懂英文的中文單語讀者，既不懂"英文是 keystone"的意思（因為其中包含英文），也不懂建築專有術語"拱心石"的意思（儘管它是中文）；（E）不懂英文的中文單語讀者，雖然不懂"英文是keystone"的意思，但知道"拱心石"在建築學中是何意；（F）中國讀者懂英文，所以知道"英文是 keystone"的意思，但不懂建築專有術語"拱心石"的意思；（G）懂英文的中國讀者，知道"英文是 keystone"的意思，但認為"拱心石"是"圓的或心形的石頭"；等等。由此，對於此案例英、中文本出現的三個對應的模糊話語，一共至少有上述七種理解。

　　表 1 列出了特定讀者群 R 對於文中模糊話語產生不同理解的概率分佈，其中 C 指代理解的分類（categorization），F 表示模糊話語（fuzzy utterance）。（A）到（G）項下面對應的不同模糊話語產生該項理解的概率。例如，"keystone" 在（A）項下對應的值為 0.6，表示讀者對 "keystone" 產生（A）項所對應之理解的概率為 0.6。最後一項為模糊話語的熵。其取值範圍為 0 到無窮。值越大表示所對應的話語越模糊。當取值為 "0" 表示其對應的話語不模糊或者完全沒有歧義。以 "keystone" 為例，對應以英語為母語的讀者，他們將不會產生（C）到（F）項所對應的理解。同樣的道理也適用於目標文本一中的 "塞縫石" 以及目標文本二中的 "英文是 keystone，亦即拱心石"，餘不贅述。

C F	A	B	C	D	E	F	G	熵
keystone	0.6	0.2	0.2	0	0	0	0	0.412697252
塞縫石	1	0	0	0	0	0	0	0
英文是 keystone，亦 即拱心石	0	0	0	0.2	0.3	0.25	0.25	0.59768762

<div align="center">表 1：讀者群對例一中模糊話語所產生的不同理解的概率分佈</div>

　　假設特定讀者群 R 對模糊話語 "keystone" 產生不同理解的概率被描述為 "keystone" $= \{< A, 0.6 >, < B, 0.2 >, < C, 0.2 >, < Others, 0 >\}$。根據香農公式，其熵——該模糊話語的模糊度為：

$$H_R(\text{"keystone"}) = -\sum_{j=1}^{m_i} \mu_{i,j} \log \mu_{i,j} = -(0.6 \times \log 0.6 + 0.2 \times \log 0.2 + 0.2 \times \log 0.2)$$

$$= 0.412697252$$

同理，對於讀者群 R "塞縫石" $= \{< A, 1 >, < Others, 0 >\}$ ，則

$$H_R(\text{"塞縫石"}) = -\sum_{j=1}^{m_i} \mu_{i,j} \log \mu_{i,j} = -(1 \times \log 1) = 0$$

對於讀者群 R "英文是 keystone，亦即拱心石"

$= \{< C, 0.2 >, < D, 0.3 >, \ < E, 0.25 >, < F, 0.25 >, < Others, 0 >\}$ ，則

$H_R(\text{"英文是}keystone\text{,亦即拱心石"}) = -\sum_{j=1}^{m_i} \mu_{i,j} \log \mu_{i,j} = -(0.2 \times \log 0.2 + 0.3 \times \log 0.3$

$+ 0.25 \times \log 0.25 + 0.25 \times \log 0.25) = 0.59768762$

$H_R(\text{"英文是}kestone\text{，亦即拱心石"}) > H_R(\text{"}keystone\text{"}) > H_R(\text{"塞縫石"})$

$| H_R(\text{"}keystone\text{"}) - H_R(\text{"塞縫石"}) | = 0.412697252$

$| H_R(\text{"}keystone\text{"}) - H_R(\text{"英文是}kestone\text{，亦即拱心石"}) | = 0.184990368$

　　計算的結果顯示，源文本的模糊度與目標文本一模糊度之間的差，要大於源文本的模糊度與目標文本二的模糊度之間的差，因此，目標文本二中"英文是 keystone，亦即拱心石"在模糊度上跟源文本中的"keystone"更相似。由此可見，就模糊性而言，目標文本二與源文本更接近。

　　　　例二／源文本：

　　　　… Seeing it, Langdon thought of <u>Vittoria</u>, recalling their playful promise a year ago that every six months they would meet again at a different romantic spot on the globe. The Eiffel Tower, Langdon suspected, would have made their list. Sadly, he last kissed Vittoria in a noisy airport in Rome more than a year ago.

"Did you mount her?" the agent asked, looking over.

Langdon glanced up, certain he had misunderstood. "I beg your pardon?"

"She is lovely, no?" The agent motioned through the windshield toward the Eiffel Tower. "<u>Have you mounted her</u>?"

Langdon rolled his eyes. "No, I haven't climbed the tower."

"She is the symbol of France. I think she is perfect."

Langdon nodded absently. Symbologists often remarked that France—a country renowned for machismo, womanizing, and <u>diminutive insecure leaders</u> like Napoleon and Pepin the Short—could not have chosen a more apt national emblem than a thousand-foot phallus. (pp. 32-33)

目標文本一：

……看到鐵塔，蘭登想起了<u>維多利亞</u>，想起了他一年前玩笑般的承諾。他說他們每六個月都要在全球範圍內換一個浪漫的地方約會。蘭登想，當時艾菲爾鐵塔一定是上了他們的名單的。遺憾的是，他一年多前在羅馬一個喧鬧的機場和維多利亞吻別。

"你上過她嗎？"偵探看着遠方向。

蘭登抬頭看了他一眼，確信自己錯解了意思。"對不起，你說什麼？"

"她很美，不是嗎？"偵探透過擋風玻璃指向艾菲爾鐵塔。"<u>你上過她嗎？</u>"

蘭登的眼珠轉了轉。"沒有，我還沒爬過那座鐵塔。"

"她是法國的象徵。我認為她完美無瑕。"

　　　　蘭登心不在焉地點了點頭。符號學家常說，法國是一個以男子氣概、愛好女色，以及擁有像拿破崙和矮子<u>不平</u>這樣<u>矮個子又缺乏安全感的領袖</u>而聞名的國度。它選擇一個一千英尺高的男性生殖器作為國家的象徵再合適不過了。（頁 13）

目標文本二：

　　……看着艾菲爾鐵塔，蘭登想起了<u>薇多利雅</u>，憶起一年前他們曾開玩笑地承諾，說每隔六個月就要在全世界各個不同的浪漫地方重逢一次。而蘭登猜想，艾菲爾鐵塔也將成為他們名單上的地點之一。令人哀傷的是，他最後一次吻薇多利雅，是在嘈雜的羅馬機場，那是一年多前了。

　　"你上過她嗎？"那個探員問着，望向遠方。

　　蘭登抬頭，確定自己聽錯了。"你說什麼？"

　　"她好美，不是嗎？"那個探員指着擋風玻璃外頭的艾菲爾鐵塔。"<u>你爬上去過嗎？</u>"

　　蘭登翻了白眼。"沒有，我沒上去過那個塔。"

　　"她是法國的象徵。我覺得她真是完美。"

　　蘭登心不在焉地點點頭。符號學家們常評論說，法國——這個素以其男性氣概、沉溺女色、以及拿破崙和"矮子"貝班這類<u>矮小無安全感的領袖</u>而著稱的國家——再也找不出比一千尺陽物更適合的國家象徵了。（頁 24）

　　表 2 所列是源文本以及兩個目標文本在第二段中出現的模糊話語：

第二段中的模糊話語			
	源文本中的模糊話語	目標文本一中的模糊話語	目標文本二中的模糊話語
模糊話語組合一	Vittoria	維多利亞	薇多利雅
模糊話語組合二	Have you mounted her?	你上過她嗎？	你爬上去過嗎？
模糊話語組合三	diminutive insecure leaders	矮個子又缺乏安全感的領袖	矮小無安全感的領袖

表 2

表 3 列出了讀者群對與這些模糊話語可能產生的不同理解：

讀者對模糊話語組合一所產生的不同理解
A. 丹·布朗在《達·芬奇密碼》的姊妹篇《天使與魔鬼》（2000）中女主角，在《天使與魔鬼》結尾時，跟兩書的同一男主角羅伯特成為情侶；（此理解同時適用於源文本、目標文本一、目標文本二）
B. 對於沒看過《天使與魔鬼》的讀者，猜想她或許是羅伯特的任一前女友，在這些讀者的心目中，這個女人的形象不會跟《天使與魔鬼》中女主角有任何關聯；（此理解同時適用於源文本、目標文本一、目標文本二）
C. 羅伯特猛然想到的或時常想起的某一女人。（此理解同時適用於源文本、目標文本一、目標文本二）

表 3

讀者對模糊話語組合二所產生的所有不同理解
D. 你攀登過艾菲爾鐵塔嗎？（此理解適用於源文本和目標文本二）
E. 你爬過這座山（或這幢樓）嗎？（此理解適用於源文本和目標文本二）
F. 你跟她有過親密關係嗎？（此理解適用於源文本和目標文本一）
G. 你跟維多利亞有過親密關係嗎？（此理解適用於源文本和目標文本一）

表 4

讀者對模糊話語組合三所產生的所有不同理解
H. 矮個子又缺乏自信的領袖；（此理解適用於目標文本一和目標文本二）
I. 讓其所領導人民缺乏安全感的矮個字的領袖；（此理解適用於源文本、目標文本一和目標文本二）
J. 又矮又胖的，且缺乏自信的領袖；（此理解適用於目標文本一）
K. 又矮又胖的，讓其所領導人民缺乏安全感的領袖；（此理解適用於源文本和目標文本一）
L. 又矮又瘦且缺乏自信的領袖；（此理解適用於目標文本一和目標文本二）
M. 又矮又瘦的，且讓其所領導人民缺乏安全感的領袖。（此理解適用於源文本、目標文本一和目標文本二）

表 5

通過考察讀者群 R 對特定模糊話語的評分，我們可以計算出 R 對相應模糊話語產生不同理解的概率。下表列出了相應的計算結果，同樣，C 代表理解的分類（categorization），F 表示模糊話語（fuzzy utterance）。

C〖F	A	B	C	熵
Vittoria	0.4	0.2	0.4	2.109840336
維多利亞	0.35	0.35	0.3	2.192134657
薇多利雅	0.1	0.5	0.4	1.886696785

表 6：讀者群對例二中模糊話語組合一所產生的不同理解的概率分佈

C F	D	E	F	G	熵
Have you mounted her	0.35	0.1	0.1	0.45	2.374566451
你上過她嗎	0	0	0.3	0.7	1.221728604
你爬上去過嗎	0.9	0.1	0	0	0.650165947

表 7：讀者群對例二中模糊話語組合二所產生的不同理解的概率分佈

C F	H	I	J	K	L	M	熵
diminutive insecure leaders	0	0.5	0	0.3	0	0.2	2.059306028
矮個子又缺乏安全感的領袖	0.1	0.3	0.1	0.2	0.1	0.2	3.391485068
矮小無安全感的領袖	0.15	0.45	0	0	0.2	0.2	2.575343252

表 8：讀者群對例二中模糊話語組合三所產生的不同理解的概率分佈

圖1 讀者群所產生的不同理解的概率分佈													
	1	2	3	4	5	6	7	8	9	10	11	12	13
■源文本	0.4	0.2	0.4	0.35	0.1	0.1	0.45	0	0.5	0	0.3	0	0.2
□目標文本一	0.35	0.35	0.3	0	0	0.3	0.7	0.1	0.3	0.1	0.2	0.1	0.2
▨目標文本二	0.1	0.5	0.4	0.9	0.1	0	0	0.15	0.45	0	0	0.2	0.2
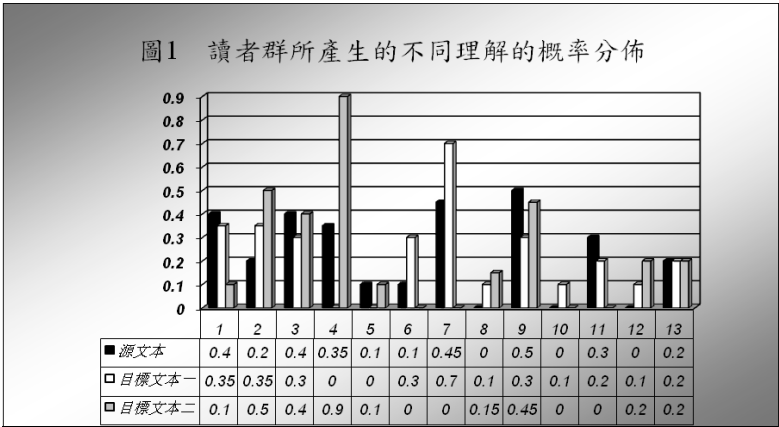
圖 1

圖 1 顯示了讀者群對源文本和兩個目標文本的模糊話語產生不同理解的概率分佈。模糊話語組合一共有三種不同理解，模糊話語組合二有四種不同理解，模糊話語組合三有六種不同理解。因此橫軸共列出了 13 種不同理解。縱軸為概率軸，概率值越大表明讀者群越有可能產生該理解。如果概率值為 0 則表示讀者群不可能產生該理解，如果為 1 則表示讀者群一定會產生該理解。黑色、白色、灰色立方體之間高低差異越小，讀者群對他們產生的理解越相似。反之則越不同。例如，橫軸上第 6 項對應的理解為"你跟她有過親密關係嗎？"，目標文本二對應的概率為"0"，這表明讀者在讀目標文本二的時候不會產生這種理解。同理，橫軸上第 4 項對應的理解為"你攀登過艾菲爾鐵塔嗎？"，目標文本二對應的概率為 0.9，這表明讀者群有 90% 的可能產生該理解。
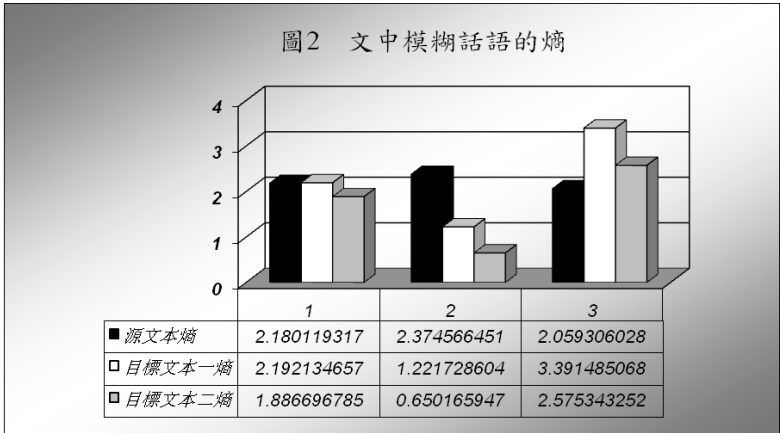

圖2　文中模糊話語的熵

	1	2	3
■ 源文本熵	2.180119317	2.374566451	2.059306028
□ 目標文本一熵	2.192134657	1.221728604	3.391485068
▨ 目標文本二熵	1.886696785	0.650165947	2.575343252

圖 2

　　圖 2 列出的是三個文本中模糊話語的熵。其中橫軸羅列了三個出現在段中的模糊話語。黑色、白色、灰色立方體分別代表了源文本、目標文本一以及目標文本二的概率分佈。縱軸為熵軸，縱坐標反映了模糊話語對讀者群的模糊性。熵越大該話語向讀者傳遞的意思就越模糊。例如橫軸上第二項源文本的熵大於目標文本一和目標文本二的熵。由此圖可以看出，"Have you mounted her?"比"你上過她嗎？"或"你爬上去過嗎？"都更模糊。

圖3　源文本、目標文本一、目標文本二的熵

	1
■ 源文本熵	6.613991796
□ 目標文本一熵	6.805348329
□ 目標文本二熵	5.112205983
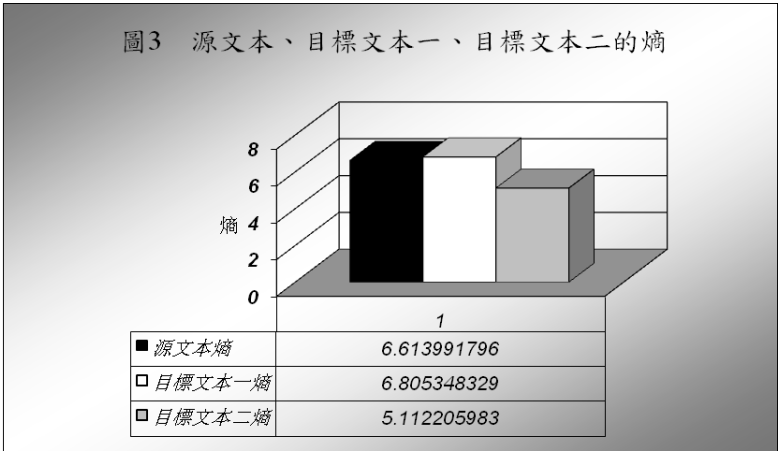
圖 3

　　圖 3 顯示了源文本、目標文本一以及目標文本二的熵，即它們各自的總模糊度。黑色、白色、灰色立方體分別代表了源文本、目標文本一以及目標文本二中各自所帶三個模糊話語的模糊度總和。可以看出目標文本一最模糊，源文本其次，目標文本二最清晰。
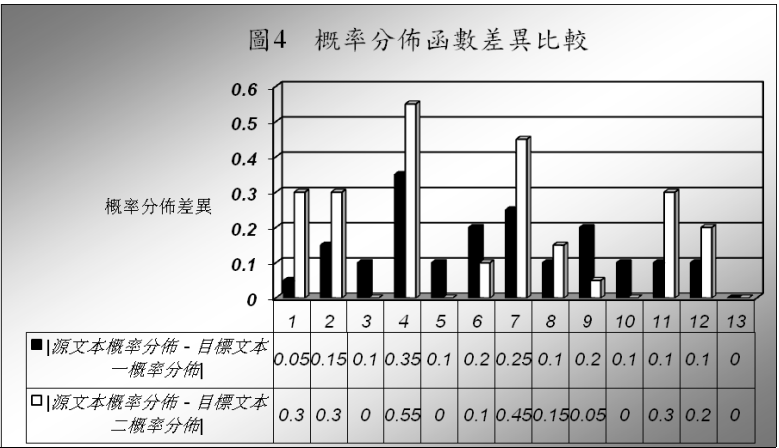
　　源文本與目標文本的差異性比較：

圖4　概率分佈函數差異比較

	1	2	3	4	5	6	7	8	9	10	11	12	13
■ |源文本概率分佈 - 目標文本一概率分佈|	0.05	0.15	0.1	0.35	0.1	0.2	0.25	0.1	0.2	0.1	0.1	0.1	0
□ |源文本概率分佈 - 目標文本二概率分佈|	0.3	0.3	0	0.55	0	0.1	0.45	0.15	0.05	0	0.3	0.2	0

圖 4

　　圖 4 反映了源文本與兩個目標文本在不同理解上的概率分佈
函數的差異。其中源文本與目標文本一的差異由黑色立方體表
示，源文本與目標文本二的差異由白色立方體表示。差異越小說
明讀者對目標文本的理解越接近源文本。以橫軸第 13 項所對應
的 "又矮又瘦的，且讓其所領導人民缺乏安全感的領袖" 為例，
源文本與兩個目標文本產生該理解的概率是一樣的。

　　圖 5 中黑色立方體顯示了源文本與目標文本一產生不同理解
的概率分佈函數的差異總和，白色立方體顯示了源文本與目標文
本二產生不同理解的概率分佈函數的差異總和。從計算的結果可
以看出，在產生不同理解的概率分佈上源文本與目標文本一的差
異總和比源文本與目標文本二的差異總和更小。這表明目標文本
一在意思上與源文本更接近。
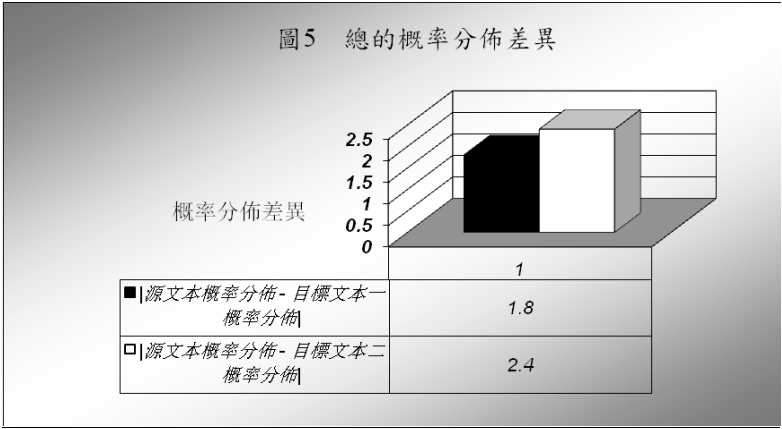
圖 5

　　圖 6 給出了目標文本一以及目標文本二與源文本在模糊性上的差異。黑色立方體顯示了源文本與目標文本一模糊度（模糊話語的熵）的差異。白色立方體顯示了源文本與目標文本二模糊度（模糊話語的熵）的差異。差異越小說明對於讀者來說目標文本的模糊程度越接近源文本模糊程度。橫軸第一項代表"源文本（Vittoria）、目標文本一（維多利亞）、目標文本二（薇多利雅）"，橫軸第二項代表"源文本（Have you mounted her?）、目標文本一（你上過她嗎？）、目標文本二（你爬上去過嗎？）"，橫軸第三項代表"源文本（diminutive insecure leaders）、目標文本一（矮個子又缺乏安全感的領袖）、目標文本二（矮小無安全感的領袖）"。就第一、二組模糊話語的模糊度而言，目標文本一更接近源文本。然而，在第三組模糊話語的模糊度上目標文本二更接近源文本。
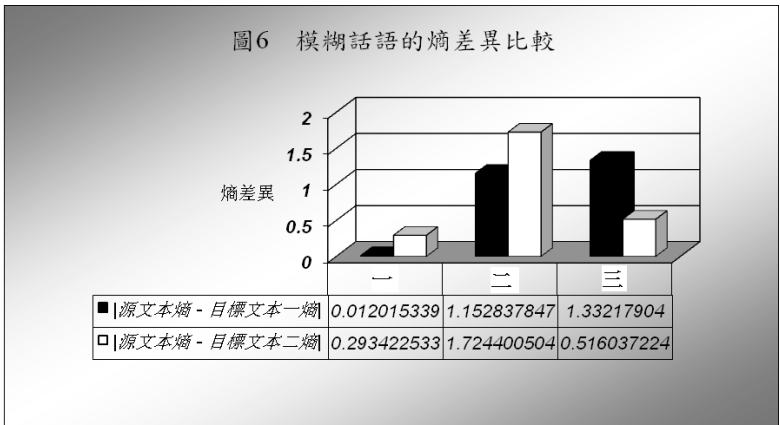
圖6　模糊話語的熵差異比較

	一	二	三
■|源文本熵 - 目標文本一熵|	0.012015339	1.152837847	1.33217904
□|源文本熵 - 目標文本二熵|	0.293422533	1.724400504	0.516037224

圖 6

　　圖 7 給出了源文本與兩個目標文本分別在模糊度上的總差異。總差異越小表示目標文本與源文本越接近。可以看出從總的模糊性來說目標文本一比目標文本二更忠於源文本。

圖7　總的熵差異

	1
■|源文本熵 - 目標文本一熵|	2.497032227
□|源文本熵 - 目標文本二熵|	2.533860261
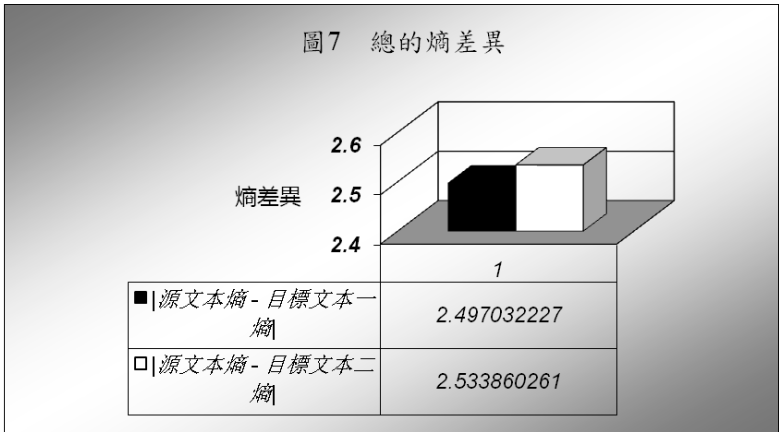
圖 7

　　需要說明的是，本研究採用的以模糊度測定為基礎的評量標準並非惟一標準，它主要代表的是一種傾向性：目標文本在模糊度上跟源文本比較接近，並不代表在其他參考標準上跟它也比較接近，因為以其他因素為參考標準（如譯文讀者的接受度、形式、字數、風格以及譯者個人喜好等）得出的結論，跟以模糊度為參考標準得出的結論有可能不同，甚至完全相反。總之，本研究以量度模糊度為譯文評核標準，在某種程度上是一種另類的嘗試。因此，研究者期望它對於語言模糊性以至模糊語言的翻譯研究有所參考作用和價值。

四、模糊特性思維框架下的個案研究

（一）個案研究的選題

　　本研究選擇《達・芬奇密碼》源文本及其中文譯本為研究對象的首要原因是：用普通文本來說明本研究者所持"模糊特性"基本理念的適當性（見本節第（四）部分）。另一原因是：因為該書在全球熱銷，是當今讀者喜聞樂見的具有指標性意義的當代重要作品之一。《達・芬奇密碼》由美國作家丹・布朗（Dan Brown）所作，它以 750 萬本的發行成績打破美國小說銷售記錄，目前全球累積銷售量更已突破 6000 萬冊，《紐約時報》暢銷書排行榜第 1 名達 76 周，譯成 42 種語言，成為有史以來最賣座的小說，銷售上甚至可與廣受歡迎的《哈利・波特》叢書相匹敵。這本書集偵探、驚悚和陰謀論等多種風格於一體，同時激起了大眾對某些宗教理論的普遍興趣。

迄今為止，該書共有兩個中譯本，一為中國內地版，另一為臺灣版。內地版由朱振武、吳晟、周元曉合譯，名為《達•芬奇密碼》，上海人民出版社 2004 年出版；臺灣版也於 2004 年出版，由尤傳莉譯，名為《達文西密碼》，出版商為臺北的時報文化出版公司。兩個版本都十分暢銷。截止到 2007 年 4 月，內地版本現已重印 47 次，印數逾 500 萬冊；臺灣版本於 2004 年 8 月正式上市，截至 2004 年 12 月底止，印行量已達 30 萬冊。對於該小說英中翻譯的研究，無論硬件數據，如圖書館藏印刷數據，還是軟件數據，包括在國際數據庫中的數據，均無成果可供參考。目前所能讀到的，僅有一篇研究丹•布朗小說翻譯的文章，作者是內地版本的主譯朱振武，他以翻譯布朗小說的經驗來看美學理念與翻譯思維的互動關係（朱振武，2006: 27-32）。因此，本研究以如此暢銷和重要的當代小說及其中譯文本為研究對象，以此為案例來考察語言的模糊性與翻譯，在某種程度上亦有填補空白之作用。

（二）模糊話語的數據採集

本文的模糊話語採集基於：1、英文源文本《達•芬奇密碼》和 2、它的兩個中文目標文本。本人會先從源文本中找出模糊話語，考察分析其特點和特徵，再分別從它的兩個中譯本來看譯者對這些模糊話語所採取的各種處理手法。

筆者認為，小說源文本存在三種模糊，一是小說文本外的模糊，此種模糊由宗教和神秘傳說引起，與文本內人物關係、情境、對白等沒有關係，亦稱外部模糊；二是小說文本內的模糊，由小說內容、故事情節、人物、對白、字面引起的模糊，即內部

模糊；三是介於兩者之間的模糊，它既來自文本內，又來自文本外，亦稱綜合模糊。

　　在《達‧芬奇密碼》中，外部模糊主要涉及宗教問題，有 44 類，包括：1、抹大拉的馬利亞是誰？2、耶穌結過婚嗎？3、獨身就說明耶穌不是猶太人嗎？4、所謂的諾斯替教義有助於我們理解耶穌嗎？等等。

　　內部模糊包括：

　　1、由小說中人物引起的模糊，如上節例二中對 Vittoria 的理解，如果讀者沒有讀過《達‧芬奇密碼》的姊妹篇《天使與魔鬼》，或許就不知道《達‧芬奇密碼》中的 Vittoria 是羅伯特在《天使與魔鬼》中的女主角和羅伯特的情人，從而誤以為是羅伯特心目中的任意一女子。

　　2、由故事情節引起的模糊，如關於金字塔的詛咒：在《達‧芬奇密碼》的結尾部分，小說作者丹‧布朗把所有的線索都集中同一條"聖線"上：即稱為"玫瑰線"的巴黎子午線，並通過一連串的隱喻轉換，直接將巴黎子午線與耶穌的婚姻和聖杯等掛鈎。丹‧布朗解釋說，在羅斯林禮拜堂出現的劍鋒的倒 V 和聖杯的 V，也出現在兩個金字塔上，構成了索羅門之印、大衛之星。這引發了宗教界、學術界的激烈爭論。

　　3、由小說內容引起的模糊，如《達‧芬奇密碼》涉及的地點所蘊含的秘密：i、涉及巴黎的重要場所：盧浮宮、聖敘爾皮斯教堂、阿克索街、威利特堡；ii、蘇格蘭高地：羅斯林教堂；iii、倫敦：聖殿教堂、威斯敏斯特教堂、艾撒克‧牛頓勳爵的墓地、牧師會禮堂、遊廊、聖費斯教堂、聖體存放室。紐曼（Newman 2005）更從《達‧芬奇密碼》中分別以人物（21 位）、神祇（3

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位）、組織（8 個）、事件（11 起）、地點（11 處）、物件（16
個）為對象分別追本溯源，發表了他的看法。

4、由字面遊戲引起的模糊，如《達・芬奇密碼》談及的其
他主題：密碼學和埃特巴什碼；密碼筒；鮑芙默神；斐波那契數
列與黃金分割率；秘密團體；塔羅牌的起源；梵地岡天文臺與岡
道爾夫堡的歷史；諾斯替學派福音書等等。

綜合模糊有 7 類，包括：

1、小說中盧浮宮博物館館長索尼埃（Jacques Saunière）名字
引起的模糊。索尼埃是《達・芬奇密碼》的關鍵人物，但現實生
活中盧浮宮博物館館長中從沒有一位姓索尼埃。歷史上，1885 年
6 月 1 日，一位名叫索尼埃的鄉村神父走進法國南部雷恩城堡的
教堂。據傳神父獲得了一筆神秘的財富，還有一批秘密文獻。神
父的財富到底來自何方？這條線索與墨洛溫王族和耶路撒冷聖殿
的寶藏有關嗎？神秘文獻到底隱藏着什麼？

2、傑拉爾・德・賽德對雷恩城堡的財富神話的傳播起到了關
鍵作用。順着這條線索，我們可以看到許多出現在《達・芬奇密
碼》的關鍵說法，如失落的國王、耶穌與抹大拉的馬利亞的婚
姻、墨洛溫王族、聖殿騎士團的秘密使命等。

3、加密的繪畫作品引起的模糊。《蒙娜麗莎》表現的是一
位喜歡穿女裝的同性戀者還是一位女性精英？《岩間聖母》真的
隱藏着基督教的重大秘密？《最後的晚餐》中描繪了坐在桌前的
抹大拉的馬利亞，有一把匕首沖着她？畫中的字母"V"和
"M"是怎麼回事？

當然，這三種劃分，按照模糊特性的解釋，也不能截然分
開。三類模糊彼此之間相互關聯：某種模糊的產生，或主要來自

於文本內，或來自於文本外，或相互交織在一起。

（三）模糊話語的分析與討論

　　研究者展開對源文本及兩個目標文本的研究，結果發現無論源文本或是目標文本在語言表述上都有許多模糊之處，並從其中舉出 8 處作為本研究的例子，加以重點分析與討論。根據這些例子各自的特點和屬性，本研究將它們分別劃歸為三個大的類別，亦稱三個不同的層面，即：語言時空層面、文化時空層面、修辭時空層面。當然，這三個層面的劃分並非截然分離。本研究者的着眼點在於：探索文本中模糊語言在何種情況下表現出何種形式或呈現出何種顯著特點。初步研究表明，[文學]語言的模糊性可以通過系統結構來分析。上述三個不同類別或層面屬於這個系統結構較為上層的範圍，在它們下面又有各自的具體範圍。在以下的分析與討論中，目標文本一取自前文所述之內地版本，目標文本二取自臺灣版本。

　　先談語言時空層面。如上所述，在這一層面，模糊語言在源文本中的表現形式主要為：語義模糊和語用模糊。

A、語義模糊與翻譯

　　語義模糊包括詞項意義缺乏確指、指稱模糊、語義解讀不同。

　　語義模糊中的詞項意義缺乏確指，即一個詞的外延不能從其詞義或一般用法中明確斷定。蘭登在睡夢中被電話鈴聲驚醒，醒來發現自己在一間文藝復興風格的豪華臥室裏，房間裏擺放着路易十六風格的傢具，裝飾有手工濕壁面的牆面，和一張寬大的四

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柱紅木床（Brown 21）。原文作者布朗用模糊詞語 "mahogany" 來形容木床，此處該詞為形容詞，此案例屬於詞項意義缺乏確指。作形容詞時，"mahogany" 在《英漢大詞典》中有如下解釋：1. 紅木做的、桃花心木做的；2. 桃花心木的；3.【植】桃花心木科的；4. 赤褐色的、紅褐色的。此處該詞既可理解為一種木材，也可理解為上義詞紅色的一個下義詞 "赤褐色" 或 "紅褐色"。目標文本一將之譯為 "紅木"，對於目標文本一的讀者而言，又出現了新的模糊性，因為 "紅木床" 給讀者的印象可分為 "淡紅色木"、"桃紅色木"、"赤紅色木" 等等。同時，原料可為：紅檀、紫檀、黑檀、黑紫檀、綠檀、黃檀、酸枝、花梨等。在目標文本二中，"桃花心木" 仍然存在模糊，同一種木材之間心、邊材區別明顯，有的木材邊材為白有的為淡黃色，而心材有的呈淡紅褐色，有的則呈淡紅色，紋理有的帶波浪形，有的則帶狀花紋。目標文本一、二均通過使用模糊語言成功得再現了那種看不清、摸不透、測不準的閱讀體驗，可就模糊程度而言，兩者又各不相同，目標文本一過甚，目標文本二比較接近源文本。

　　女主持人向聽眾介紹蘭登的地點是在巴黎美國大學的 "Pavilion Dauphine" 裏（Brown 23）。源文本 "Pavilion Dauphine" 屬於語義模糊中的指稱模糊，這種模糊指辭彙本身意義清楚，但難以確定它用於哪些客體。此案例中，"Dauphine" 很容易被當作多義詞或同形同音異義詞來理解，各個義項的語義是不模糊的，是可以確指的，但它的指稱是法國王妃（1349 年至 1830 年間）呢，還是法語詞 "海豚" 呢？目標文本一採用音譯的翻譯技巧和交際翻譯的策略，降低了源文本的模糊度。目標文本

二的"海豚館"則是將"Dauphine"當作同音同形異義詞來翻譯了，並且所取之義是"Dauphin"在法文中可能具有的另一個義項。"Dauphin"在法語中有"海豚"一義，按照構詞法，後加一個"e"容易讓人以為是陰性詞，表示"母海豚"的意思。假若如此，按目標文本二譯者理解的正確譯法也應當為"母海豚館"。

　　語義模糊中的所謂語義解讀不同是指，對於同一個對象（如文本中的話語），不同的人有不同的理解，即所謂"一千個讀者，一千個哈姆雷特"。在《達•芬奇密碼》中，Bezu Fache 這個名字是法國中央司法警察局探長的名字，他性格強悍、精明、堅定，是盧浮宮館長 Jacques Saunière 兇殺案調查的負責人，為小說主要人物之一。其名"Bezu"與其姓"Fache"皆屬語義解讀不同。"Bezu"不是一般的法國人名，而是地名，由"Bezu"很容易讓人聯想起法國南部的雷恩城堡（Rennes-le-Château）附近一座城堡的名字"Le Bezu"。貝朗熱•索尼埃（Bérenger Saunière）是雷恩城堡教堂的神父。丹•布朗在撰寫《達•芬奇密碼》時的重要參考書之一《聖血和聖杯》（*Holy Blood, Holy Grail*）主要探討的便是索尼埃神父之謎。另外，"Ｂｅｚｕ"是一個字謎（anagram），也是法語詞"zébu"（一種公牛）的首音互換詞（ｓｐｏｏｎｅｒｉｓｍ）。"Fâché"在法語中是"憤怒"的意思，"Fache"是普通法國人的姓。"Fâché"和"Fache"在發音上略有不同。"Fache"又跟法語詞"vache"非常相似，"vache"則含母牛之意。"Fache"在法語裏還有十字架的意思。由此，對於這位法國中央司法警察局長的名"Ｂｅｚｕ"就有至少四種理解：1、原作者丹•布朗有意取的隱含索尼埃神父之謎的名；2、法語

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詞 "zébu"（一種公牛）的首音互換詞；3、身為美國人的丹•布朗隨意取的法國人名，致使該法國人名不像普通法國人的名字；4、聖殿騎士在法國南部的堡壘。而姓 "Fache" 又有至少以下三種意思：1、一普通法國人的姓；2、憤怒；3、十字架。在小說中，Bezu 給人的第一印象是一頭蠻牛，由始至終，他都在偷偷追蹤蘭登（Robert Langdon），因為他相信，放過蘭登就意味着他職業生涯結束。目標文本一譯為 "貝祖•法希"，目標文本二譯為 "伯居•法舍"，兩種版本皆只取原作者可能只是單純取名的含義，將原名作音譯處理，未能把 "Bezu" 所蘊含的其他可能性表現出來，失去了該人名從名到姓的模糊意象。

B、語用模糊與翻譯

語用模糊指說話人在特定語境或上下文中使用不確定的、模糊的或間接的話語向聽話人同時表達數種言外之意。在文學作品中，語用模糊是常用的手法之一，其目的是為了給讀者留下想像空間，從而啟動讀者的審美想像。模糊的表達有時可起到意猶未盡的效果。讓讀者產生無限遐想，這便是文學語用模糊的難能可貴之處。

蘭登看到偵探給他的照片時，"his horror now laced with fear"（Brown 26），因為一年多前他也看到過一具屍體的照片，也遇到了類似的求助，二十四小時後，他險些喪命。讀到這裏，讀者不禁會覺得疑惑：一年前發生什麼事兒了？會讓蘭登產生如此似曾相識的不詳的感覺。讀完全書，讀者都找不到答案，因為答案在《達•芬奇密碼》的姊妹篇《天使與魔鬼》中。目標文本一、二把蘭登這種不安的、似曾相識的恐懼感都模糊地表現了出

來，沒有為譯文增加注釋為譯文讀者提供說明。

其次，從文化時空層面看，源文本的模糊語言的表現形式主要為：文化意義（包括由文化所指產生的意義）或文化背景（即特定言語在特定文化環境中的使用）上的模糊。

C、文化意義模糊與翻譯

這裏所要討論的文化意義模糊與翻譯問題，主要包括由文化所指產生的意義上的模糊。以下是案例分析。

"*Castigo corpus meum*"（Brown 30）屬文化意義上的模糊，它指的是天主事工會成員嚴格遵守肉體苦行的一種修行戒律，通過極度痛苦而獲得淨化效果。源文本是拉丁文，讀者如果不瞭解《聖經‧新約》中《哥林多前書》的內容，便很難理解其意。目標文本一雖採用了直譯加源文本中拉丁文字作為夾注的方法，看起來"忠實"了原著，但目標文本一的讀者仍然不知到底什麼是"改克己身"？目標文本二把原著中的拉丁文作為譯文正式內容，而把中文譯文當作拉丁文譯文內容的說明，放在括號中，作為第一重夾注，然後再對原文出處作出說明。這樣一來，源文本在文化意義上的模糊被較清晰的譯文和譯文說明所代替，從而淡化了它的模糊度。此處的模糊度只是淡化而未徹底消除，是因為譯者並未道明英文源文本中為什麼插入一個拉丁句子（在本人看來，原作者是想表達此處為宗教儀式慣用語之意）。這種譯法可以稱為本節後面所說的"以較少的模糊譯較多的模糊"。

D、文化背景模糊與翻譯

本節探討文化背景模糊與翻譯的問題，即特定言語在特定文

化環境中的使用上的模糊。請看以下案例分析。

　　"Hieros Gamos"（Brown 173-174）含有文化背景（即特定言語在特定文化環境中的使用）上的模糊。該詞在小說中出現 9次。"Hieros Gamos"是索菲•納芙與祖父中斷聯繫的原因，因為在一次學校放假時她本來想給祖父來個驚喜的突然造訪，卻目睹了祖父正在諾曼底家中參與這樣一個異教的性儀式。中文讀者看到該詞，通常會跟索菲一樣感到噁心、厭惡，認為那是"羞恥之舉"。其實，這是在舊約時代，小亞細亞及地中海沿岸地區流行的對女性神祇的崇拜儀式，跟"莊嚴隆重的婚禮、宗教節日狂歡或者聖人之性結合……（一樣）是很流行的（馬克•希勒費爾德，2005: 31-35），本身並不涉及"羞恥"、"淫亂"之類的價值評判。目標文本一、二均譯為"聖婚"，含褒義，其後又都在譯作正文中加以稍帶貶意的說明，如目標文本一的"羞恥之舉"，目標文本二的"可恥的行動"。兩個目標文本對源文本"Hieros Gamos"文化內涵的使用均缺乏確切認識，且"聖婚"和"羞恥之舉"、"可恥的行動"在語義上前後矛盾，因此使譯文讀者很難把握原作之中立筆調和文風。

E、修辭意義模糊與翻譯

　　最後，從修辭學時空層面看，模糊語言的表現形式主要為：[文學]修辭意義（包括由諸如雙關語[pun]、字謎[anagram]、暗喻等文字遊戲[verbal games and gymnastics]所產生的意義）或修辭手段運用層面（包括文字遊戲[如雙關語和字謎]、借代等手段在不同語言中的運用）上的模糊。

　　源文本中的三則暗喻為："virgin"、"you've robbed her of

the climax!"、"first time"（Brown 309），是案例中由三則暗喻引起的修辭意義上的模糊。"Virgin"是聖杯的狂熱追隨者對從未聽過聖杯故事的人的稱呼，提彬不露痕跡地把索菲比作"聖杯處女"，把蘭登對索菲關於聖杯的述說比喻成"讓她達到高潮"，並把索菲首次聽說聖杯傳說喻作她的"第一次"。具體而言，這三則暗喻都屬於原創隱喻（original metaphor; Newmark 2001: 112-113），這是由作者創造或引用的隱喻。根據紐馬克的觀點（Newmark 2001: 112），原則上，在權威及表達性文本裏，譯者應該照字面將這些隱喻直譯出來，不管它們是具有普遍意義的，還是特定文化獨有的、個人獨創的、語義不明的。這是對原創隱喻的翻譯原則，因為：1、帶有原作者要傳達的重點，不管是他的信息、他的個性、他對生命的看法或他的觀念；這些都或多或少帶有文化的因素，但還是要完整精確的直譯；2、可豐富目標語。另外，馮慶華未將暗喻的種類細分，籠統地認為"暗喻在翻譯中一般也可採取直譯"（馮慶華，1997: 163）。雖然《達·芬奇密碼》是具呼喚功能的通俗文學，然而，它具有跟一般通俗的源文本（如普通的國外通俗小說）不同的特點：它在世界範圍內掀起了廣泛的閱讀狂潮，目標語讀者如中國普通讀者希望獲得源語言讀者一樣的信息，獲得一樣的"新鮮感"；同時，中國學者，包括文學批評者和翻譯批評者，希望從文化、語言、美感等方面考察文本。因此，紐馬克倡導的對表達性文本的直譯，也適用於《達·芬奇密碼》這一"特殊"的通俗文學文本。目標文本一和目標文本二都不約而同地遵循了直譯的方法來翻譯這三則暗喻。

F、修辭手段運用中的模糊與翻譯

　　索尼埃臨死前用隱寫筆寫在地上的信息"P.S. Find Robert Langdon"（Brown 101）。這是貝祖・法希懷疑蘭登是兇手的原因。此案例的源文本涉及字謎模糊，屬於修辭手法在使用層面上的模糊。法希在蘭登到達之前擦掉了此行，以使蘭登不知道警察懷疑他。出於偶然，警察把信息傳真到索菲・納芙的辦公室時，索菲看到了信息的完整內容。她立刻意識到這個信息其實是寫給她的，因為在她小時候她祖父叫她"索菲公主"（Princesse Sophie，字頭縮寫就是"P.S."），由此她也明白了蘭登是清白的。在和蘭登同在盧浮宮時，她讓蘭登打電話給她的私人語音信箱並聽她在裏面給蘭登的留言，從而暗中把這點告訴了蘭登。

"P.S."的寫法，對一般人來說，是用於書信中很常見的"附言"（Post Script）一詞的縮寫；然而對索菲・納芙來說，這卻是祖父索尼埃對她的愛稱"索菲公主"（Princesse Sophie）的縮寫，這也是因為索尼埃清楚索菲是法國墨洛溫王朝（the Merovingian Dynasty of France）的後裔，所以稱她為公主。貝祖・法希完全沒有意識到這個縮寫在索尼埃神父的信息中的真實含義，而索菲・納芙卻清楚地明白了"去找羅伯特・蘭登"那行字是祖父寫給自己的遺言。此外，索尼埃保存的保險箱鑰匙上雕有郇山隱修會（Priory of Sion）的縮寫，也是 P.S.。目標文本一翻譯為"附言"，目標文本二翻譯為"附記"均只抓住了"P.S."作為"附言"的意思，而沒有注意到源文本作者是在玩文字遊戲。

　　從以上各個案例分析與討論可以看出，我們的目的都是試圖用明確的語言來描述本質上並不明確的表達形式。在模糊特性的

作用下，翻譯中對於模糊語言的處理方式就像一座臺燈的無級開關。燈光的調節從最暗到最亮，不是數量很少、邊界分明的幾個檔級（如"微弱、中等、強光"或"1、2、3"等），而是沒有檔級控制、邊界模糊的無限多級。這就是說，在翻譯模糊語言時，從"模糊"到"精確"，並不存在邊界分明、意義絕對清楚的幾個檔級。從"模糊"到"精確"，或從"精確"到"模糊"，往往是一種"無級式"的"連續"滑動，雖然在任何兩個固定"光點"之間，各自的核心"光度"相對清楚，即兩個相關"詞項"或"義項"的所謂"模糊度"和"精確度"相對清楚，但二者邊緣或接壤地區的"光度"或"模糊度"、"精確度"卻是不清楚的，不確定的。

　　本研究者認為，翻譯中對於模糊語言的處理，最合適的手法即：以模糊譯模糊，再從這一基本手法衍生出"以模糊譯部分模糊"、或"以輕度模糊譯強度模糊"等無限多的方法和策略。

（四）從個案研究到哲性思考

　　由於長期受二值邏輯影響，人們在翻譯過程中常常片面追求精確性，而有意無意地忽略了事物的模糊性之基本特性。這或許源於一種錯誤認識：如果強調翻譯的模糊性，那麼譯者將無所作為。但由於語言翻譯如同語言本身一樣，具有複雜性、動態性和整體性的特質，任何抽象的規定都是不科學、不客觀的。翻譯中，精確性總是相對的，有條件的；而模糊性才是絕對的，普遍存在的。本研究關於翻譯問題的"模糊特性"之說，正是根據這一普遍存在的"模糊性"而提出的，其核心意義是：無論在具體的翻譯操作，還是抽象的翻譯理論中，"模糊性"是一種絕對存

在的屬性；一方面，譯者在翻譯操作上需要處理文本中的模糊語言問題，另一方面，在確定和討論用什麼方式處理文本或語言模糊的問題時，譯者又面臨另一類型的"模糊"問題，即涉及到理論層面的"模糊"問題。

模糊特性的邏輯基礎是多值邏輯。而多值邏輯則由拋棄二值原則而創立，它允許命題取真、假之外的其他值，如"不定"等，甚至允許命題在 [0，1] 區間內任取有窮多值甚至無窮多值（Rescher 1968: 54-125；1969: 215；陳波，2005: 10-11）。同樣，在跨語言文化交際過程中，由於以下各種情形，包括：人類思維固有的模糊性，源文本的模糊性（包括詞語內涵和外延的模糊）言語在語篇中的模糊、翻譯的目的功能（牽涉意識形態、贊助人），本族大文化中地域性、小（亞）文化（如中華民族這個大文化與蜀文化、嶺南文化這些小文化之間既有同也有異，彼此互相影響、滲透），原作者、譯者和譯文讀者的個人差異引起的模糊（包括語言理解、感悟能力、受教育程度不同、精神健康狀況、邏輯思考能力、生活和成長背景、原作者和譯者的語言表達能力等），目標文本的語言、言語、語篇、目的功能（牽涉意識形態、贊助人）引起的模糊等等因素，因此，邏輯的多元論和溫和工具論在翻譯中也是適用的。

根據邏輯哲學的溫和工具論，通過翻譯實務經驗得來的翻譯方法和翻譯策略，不能一勞永逸，這些方法和策略也許在這一次的翻譯實踐中能達到很好的效果，然而下一次翻譯目的變了，同樣的方法和策略或許就行不通。即是在同一語篇中，多種不同的翻譯方法和翻譯策略也可以交互使用，這就勢必使翻譯更呈現多元化的特點，也為經典名著的重譯提供了必要的理論基礎和哲學

依據。

　　陳波認為，就各種邏輯系統而言，至少存在四種不同的關係（2005: 25）：1、等價；2、擴充；3、競爭；4、無法比較。這四種關係為翻譯方法中已經提出的一些概念提供了哲學上的依據，以下就這四點在翻譯實踐層面方法論上的映射逐一進行探討。

　　首先，就第一點而言，在翻譯方法中，在包括翻譯學在內的人文領域談論"equivalent／對等[語／項]"，是一種模糊用法。例如，所謂"文本對等"、"功能對等"或"對等談判"、"對等職位"等等，往往都只可能是某種程度、某個語境範圍裏的"對等"或"基本對等"。這就是奈達希望翻譯所要達到的"對等而非同一"（equivalence rather than identity; Nida & Taber 1969: 12）。錢內爾（Channell 2000)認為含有精確數字的命題（比如，"他二十歲"）包含了內含模糊數字的命題（比如，"他大約二十歲"）。即是說，即使是含精確數字的詞語也可能表示模糊語義。比如："我今天下午兩點去你家"。句中的"兩點"就可能是一個模糊詞語，即"兩點左右"。它不一定必須是兩點整，一分不差。沙特爾沃思和考伊把 equivalence 定義為：用來描述源語和目標語文本或更小語言單位之間關係性質和範圍的術語（Shuttleworth & Cowie 2004: 49-51；譚載喜[主譯]，2005: 66-68）。就這個意義而言，equivalence 在某種程度上是指語內同義詞在不同語言之間的對應形式。

　　第二，邏輯哲學中的擴充邏輯系統，它反映在翻譯方法上，可以表現為增量翻譯（thick translation；張佩瑤[Cheung 2007: 22-36；張佩瑤，2007] 對此"譯得豐實厚重"的方法亦有探討）、

明示（explicitation gloss translation）、超額信息
（hyperinformation）、間接翻譯（indirect translation；又名中介翻
譯 [intermediate translation]、中繼翻譯 [mediated translaiton]、重譯
[retranslaiton]、二手翻譯 [second-hand translaiton]）。由於擴充邏
輯系統在上述各種翻譯方法上的映射基本相同，所以能以其中一
種即增量翻譯的方法為例，來進行重點的闡釋。阿皮爾將增量翻
譯界定為"試圖以注解和附屬詞表形式把文本置於豐富的文化及
語言環境中的"翻譯（Appiah 1993: 817）。雖然阿皮爾具體談論
的是翻譯非洲諺語的問題，很顯然，不管是以腳注、詞表還是以
長篇序的形式出現，任何包含大量此類解釋性材料的目標文本都
適用於這個術語。大量提供這類背景知識的目的，是要使目標文
本讀者更加尊敬源語文化，以及更加欣賞其他文化背景下的人們
是如何思維和表達自己的。

　　第三，邏輯哲學的競爭邏輯系統映射在翻譯上，主要是博弈
論（theory of games）。博弈論建立在對翻譯過程與遊戲活動進
行的類比之上。首次作此類比的是維特根斯坦，他把"從一種語
言翻譯成另一種語言"包括在一系列語言遊戲的例子之中
（Wittgenstein 1953: 23）。然而，是列維（Levý 1967）第一次把
這個概念用於翻譯專題討論。在他分析翻譯即抉擇（translation as
decision-making）的過程中，列維借用了盧斯與雷法（Luce &
Raiffa 1957）首創的博弈理論中的一些概念，並將這些概念應用
於翻譯過程，以此來突出翻譯文學文本時，譯者通常必須做出抉
擇的性質。在早期研究的基礎上，列維區分了分別以象棋與撲克
牌為代表的兩類遊戲，並指出，在象棋遊戲中，由於"接下來的
每一步都受對前面所做抉擇認識的影響並受這些抉擇導致的結果

的影響"（Levý 1967: 1172），所以，翻譯更似下象棋。亦即說，在翻譯的過程中，譯者每做一個抉擇，便為一些隨後的抉擇創造了語境。翻譯過程與這類遊戲（又稱"完整信息遊戲"）之間的另一個更重要的類似之處在於：儘管這些抉擇不是隨意的，但它們仍然受主觀傾向的影響（Gorlée 1986: 99）。列維指出，分析特定目標文本中翻譯抉擇的等級將有助於更清楚瞭解"文學作品中各種因素的重要程度"（Levý 1967: 1172）。戈爾里將翻譯過程描述為"一個需要創造性心理技能的、萬花筒般的、永無止境的遊戲"（Gorlée 1986: 103）；然而，與列維不同的是，戈爾里認為，與下象棋相比，翻譯更像組裝拼板玩具（只是翻譯與拼板遊戲之間存在着一個顯著差異，即翻譯中不存在一種有待發現的預先存在的解決方法）。

第四，邏輯哲學的無法比較邏輯系統可以解釋回譯（back-translation）作品與初始翻譯之間的不同。回譯是將已譯成特定語言的文本譯回源語的過程。回譯程序的用途有各種各樣。例如，至少自 1970 年代中期以來，回譯這個術語已出現於有關《聖經》翻譯的文獻當中，用來說明源語和目標語之間在結構和概念上存在的差別，有時這些差別很大。但它有時也僅僅用來指《聖經》源文本的釋詞翻譯（gloss translation; Gutt 1991）。此類回譯必然是嚴格字面上的翻譯，而字面翻譯的程度如何，則取決於需要加以特別說明的特徵是什麼。同樣，回譯有時用於對比語言學，作為對兩種或多種語言句法、構詞法或詞彙具體特徵進行比較的技巧。回譯在此種語境中的早期用法，可在斯帕拉丁（Spalatin 1967）的著作中找到，而艾弗（Ivir）將回譯界定為"對語義內容的檢測"（Ivir 1981: 59），具有用來顯現形式對應

的功能。卡塞格蘭德提出一種類似的方法來斷定"轉碼過程中的
難點"（Casagrande 1954: 339）。但圖里對回譯是否可以使人獲
得如此明顯的認識表示懷疑，他認為翻譯的不可逆特質致使所有
這種普遍性結論都不可成立（Toury 1980: 23-24）。另一方面，
霍姆斯（Holmes 2007a）用回譯作為例證，認為在詩歌與詩歌翻
譯文本之間不可能存在任何"真正"的對等（equivalence）。按
照他的推理，如果進行一項實驗，讓五位獨立譯者翻譯同一首
詩，然後將這五篇必然不同的譯文全部回譯，產生出 25 個版本，
這些版本彼此之間以及與源文本之間互不相同，那麼這一實驗就
會證明，任何有關對等的說法都是"荒謬的"（Holmes 2007a:
53）。有人曾建議進行類似的實驗，並實際也進行了這類實驗，
以對翻譯行為的某些方面進行調查。例如，列維推定，對一個文
本的多個平行回譯文本進行研究，至少可以認識到兩個翻譯普遍
特徵（universals of translation; Levý 1965: 78-79），他同時認為，
"如果同一文本經歷幾次由語言甲譯到語言乙，再回譯至語言甲
的過程，那麼，也許能清楚地觀察到抉擇過程中的操作傾向"
（Levý 1967: 1176）。

五、結　語

　　本文探討的主要內容體現在以下幾個方面：其一，從翻譯學
的角度，將文學作品中的模糊語言闡釋為：源文本和目標文本中
具有不確定外延的話語，其特點體現在所指對象界限的不確定
性。在跨語言文化交際過程中，源文本中的模糊話語在經歷文本

旅行後，改變是在所難免的，同時源文本中模糊話語的模糊度也會隨之變更，但是程度會有所不同。對於這樣的模糊話語，所能採用的翻譯策略主要是以"模糊"譯"模糊"。這兩個模糊並不一定相同，程度可以不一樣，即可以較多模糊譯較少模糊或以較少模糊譯較多模糊。這就是模糊語言（包括文學作品中模糊語言）翻譯的辯證思維。

其二，對於何為模糊語言的問題，可以採用多種方法來量度和分析。首先，我們可以通過科學量度法（信息論的方法）對模糊話語的模糊度進行量度。具體做法是：先統計出特定讀者群對於源文本、目標文本中對應模糊話語產生不同理解的概率分佈，通過得到的統計數據分別計算出源文本、目標文本的模糊度。然後用所算出的每個目標文本的模糊度同源文本的模糊度分別進行比較，以此來考察目標文本在模糊特性上跟源文本的接近程度。其次，我們也可以用（文學）分析討論法對文本進行考察，小說文本（包括源文本與目標文本）存在外部模糊、內部模糊、綜合模糊。對於文學作品中的模糊語言，可以通過系統結構來分析，這個結構包括：語言時空層面、文化時空層面和修辭時空層面。在語言時空層面，模糊語言的表現形式可以是語義模糊和語用模糊；在文化時空層面，模糊語言的表現形式，可以來自於文化意義或文化背景上的模糊；在修辭時空層面，模糊語言的表現形式通常在於修辭意義或修辭手段運用層面上的模糊，如此等等。

其三，對於翻譯研究的理論意義，體現在宏觀的翻譯原則和微觀的翻譯方法這兩個方面：一是，由於存在模糊特性，因此翻譯"對等"、"等值"、"等效"與"非對等"、"非等值"、"非等效"的界定就不是很分明，其間存在很多的過渡狀態。對

於翻譯原則，我們不能下絕對定義，需要容忍一定的模糊性，允許偏差的存在。二是，在不同的情況下，翻譯方法可作具體調整，從而使翻譯的操作過程成為一個"無級開關"的使用過程。

這就是本文以《達‧芬奇密碼》為研究案例，來探討跨文化交際過程中模糊話語之所得：語言（尤其是文學語言）表述上的所謂精確是相對的，模糊是絕對的，而這種模糊的絕對性和精確的相對性，也同樣體現在翻譯操作中，體現在翻譯的目標文本中。此處需要着重指出兩點：第一，本文探討之"模糊"並非"不好"的代名詞，即：它並非價值判斷，而只是對客觀語言現象的描述用詞；第二，所謂"情在詞外"、"意在言外"的種種模糊話語，其功用並非刻意製造思想或意境上的混沌，而往往在於：通過這種"模糊"或"非精確"話語形式的運用，來創造或增強相關作品的語言之美，進而達到劉勰所倡"義生文外，秘響旁通，伏采潛發"之終極藝術效果。

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《外國語言文學》、《外語教學》等。多篇譯作先後正式發表於《作家月刊》（香港）、《星洲日報》（馬來西亞）等報刊雜誌，以及國際作家工作坊主編出版的《伊斯蘭平和的健筆》（2006）。主要研究方向：模糊語言與翻譯，翻譯理論，中西語言文化對比。

Translation in a "Non-Translation" Community:
Practices, Ideologies and Conceptualizations of Translation in the PRC Museum Discourse Community

Robert Neather

Abstract

This paper examines the practice and discourse of translation in a "non-translation" community, i.e. a professional discourse community in which translation is practised but is not a defining aspect of that community's discursive expertise. The museum discourse community in the People's Republic of China (PRC) is taken as a key example. The paper adopts an explicitly "text-external" focus to examine several key issues. These include the discursive procedures by which members of the museum community collaborate to produce translations, ideologies of translation, and the recourse to traditional paradigms by members of the museum community when conceptualizing translation. The paper also highlights issues of expert versus non-expert discursive practice and possible points of comparison with discourses in the translation studies community.

This paper examines aspects of translation in what we shall term "non-translation communities", that is, professional discourse communities in which translation is practised but is not a defining characteristic of the community's discursive expertise. An important example is the museum discourse community in the PRC, where translation is employed extensively but where it occupies a relatively peripheral position in the community's discursive practices and consciousness. Such an enquiry can be enlightening in a number of respects. Firstly, in seeking to explore translation practice beyond the parameters of professional translation communities (however loosely one defines that term) of trained language specialists, it shifts the focus to professional contexts where translation is frequently carried out by non-expert practitioners, in this case often museum curators themselves. Secondly, it provides insights into the place of translation within the broader ensemble of discursive and textual practices of a given discourse community. And in addition, it provides a chance to consider possible areas of interaction between such "non-translation" communities and those more explicitly engaged in translation—for instance, the extent to which conceptualizations of translation among the translation studies community in China have or have not influenced approaches to translation in the Chinese museum community.

The paper draws on the discourse of genre theory as a theoretical basis. Bhatia (2004), for example, has argued that the production of text genres can only be properly understood if "text-external indicators", including the various discursive practices of the given discourse community in which particular genres are produced, are considered in addition to the more obvious "text-internal indicators" such as lexicogrammatical features. The same rationale may be applied to translated texts in this kind of professional context. For if texts are the instantiations of staged social processes, or genres, of a given community,

then translations of those texts may be conceived of as kinds of "meta-genre", whose production follows a parallel and closely interlinked set of "meta-discursive" practices. The present paper is thus an attempt to move beyond the text-internal focus of earlier studies (Neather 2005a; 2005b; 2008), to present a more holistic account of translation in the Chinese museum sector that may serve as the first portion of what Swales (cited in Bhatia 2004: 180) has called a "textography" of a community. As such, its observations form a more "documentary" account of factors that will subsequently be explored further through complementary ethnographic research. After an initial consideration of discourse communities, the paper provides an account of discussions on textual production and discursive priorities in museum translation in the PRC, before moving on to look at ideologies of practice, and finally at how writers in the museum community have discussed and conceptualized translation.

The Museum Discourse Community: Some Theoretical Considerations

Above, we have suggested that the museum community be approached as a type of "discourse community", a designation that deserves clarification before we proceed further. Discourse communities have been defined as essentially "sociorhetorical" in nature (Swales 1990: 24) (as opposed to sociolinguistic groupings such as "speech community"). According to Swales, they exhibit a series of six distinguishing features, that include "common public goals", "mechanisms of intercommunication", use of "participatory mechanisms primarily to provide information and feedback", use of specific genres, "specific lexis", and "content and discoursal expertise" (1990: 24-27). Alongside

the term "discourse community", one also finds the related notion of the "community of practice" (see, e.g., Lave and Wenger 1991). Bhatia elaborates the distinction as follows:

> In *discourse communities*, the focus is on lexico-grammar, texts and genres that enable members throughout the world to maintain their goals, regulate their membership and communicate efficiently with each other. In *communities of practice*, on the other hand, the emphasis is on the *practices* and *values* that hold the communities together … (2004: 149, original emphasis)

However as Bhatia notes, the two categories are by no means mutually exclusive and indeed can be integrated "without sacrificing any of the strengths of these concepts" (ibid.). The professional museum community could thus clearly be conceived of in terms of either category, depending on the aspects of professional expertise we wish to explore. Since we are here concerned with aspects of textual and metatextual production, for the present analysis we use the term "discourse community". Moreover, in the museum field, the notion of discourse community is useful since it allows us to consider a discursively unified group that includes both those directly engaged in the practice of producing texts and translations in the museum itself as well as those situated more at the museological research end of the spectrum.

Whilst the museum discourse community could be said to fulfill Swales's six criteria, it would seem to represent something of a special case, for much of its text-production and use of genre is designed not for the "internal" purposes of its members, but rather specifically for public consumption. Such a distinction is well illustrated by Mainardi (2002) (and indirectly in several other contributions to Haxthausen 2002), who in her discussion of the different constructions of art history in

the museum and university communities notes:

> The audience for the university is, alas, the university; we write for each other, we review each other's books, and our teaching is based on each other's work. While we hope that our ideas will reach the general public, we rarely bring them there directly. That same public, however, is the direct audience for the museum. … [T]he nature of the medium within which museums work is public … (Mainardi 2002: 81)

Thus, a significant part of text and discourse production within the museum discourse community involves expert-to-non-expert address, rather than simply communication within an expert community. Equally, texts oriented to non-expert audiences must also maintain credibility within the expert community. The difficulty of negotiating these tensions, and the sometimes ineffective nature of the resultant texts (from the point of view of the non-expert audience), have been increasingly highlighted since the 1990s (e.g. in Blais 1995; Serrell 1996; McManus 2000), with museum professionals frequently being accused of simply "writing for each other", to recall Mainardi's phrase.

Such a situation demands consideration of differing forms of expertise. Firstly, an expert community is obviously rich in "domain-specific expertise", [1] or what Bhatia (2004: 148) calls "disciplinary knowledge". We must also assume that as a *discourse* community, it also possesses "discursive competence" (Bhatia 2004: 142ff; see further below) in producing texts and genres appropriate to its needs. In the case of a duality such as that described above, however, in which the public has not always been adequately addressed, it may be the case that whilst discursive competence is advanced in regard to intra-community communication, it is sometimes still at a less advanced, "non-expert" level when it comes to addressing effectively an audience outside the

community. Such a situation may in part relate to Bhatia's claim that those who produce genres within a given community "[often] pay little attention to a conscious understanding of the linguistic resources that characterize these genres" (Bhatia 2004: 127). Whilst Bhatia refers to the expert use of genres here, the lack of consciousness or self-reflection that he describes might account for the sometimes ineffective or inexpert means by which non-members of the discourse community are sometimes addressed. In this regard, it is perhaps telling that whilst as noted above, there has been an increasing interest in developing ways of engagement with non-specialists that are more "target-user" driven and that seek to deconstruct the traditional hegemony of the omnipotent curator, the most incisive and critically challenging inquiry into museum text construction (namely Ravelli 2006) has come not from the museum (or museological) community but from the field of linguistics.

The way that such communities produce and make use of particular genres can be analyzed, as highlighted in our Introduction, in terms of both "text-internal" and "text-external" factors. Bhatia (2004: 128-132) has outlined in detail three key types of text-external factor. The first of these, "discursive practices", involves issues such as the choice of particular genres to achieve particular purposes. The second, "discursive procedures", relates chiefly to the ways in which differing members of a discourse community are involved in genre production, and the "participatory mechanisms" by which means members interact. The third factor, "disciplinary culture", involves issues such as the "goals and objectives of the professional community" and "professional and organizational identity" (Bhatia 2004: 124). An attempt to provide a detailed account of each of these various aspects would require extensive ethnographic analysis, involving, for instance, "detached observational accounts of expert behaviour" (Bhatia 2004: 165), and thus we shall not seek to tease out all these factors in detail here. Nevertheless, they

provide us with a useful conceptual framework to which we shall refer frequently in the following discussion.

The Museum Discourse Community in the PRC: Reflections on the Production of Texts and Translations

With these considerations in mind, let us turn to examine more specifically the case of the museum discourse community in the PRC. As with the more general situation highlighted above, here too one finds a marked lack of self-reflective inquiry into discursive practice and text production. For instance, a recent introduction to Chinese museology (Wang 2001) devotes just two of its nearly six hundred pages to texts and their production. Likewise, an extensive search through past issues of the leading museological trade newspaper, *China Cultural Relics News* (*Zhongguo wenwu bao* 中國文物報), reveals a striking dearth of commentary on aspects of texts and their production, or indeed of communication in general, with broader policy and strategic issues (such as the 2008 government directive that museum entrance be made free) taking precedence. Indeed it is telling that one of the few direct contributions on textual practice (Lu 2005a) is presented as a plea for greater acknowledgement of the centrality of text in the interpretive structure of the museum. For Lu, inattention to text production underpins much of what is wrong with current Chinese museum presentation as a whole, and he provides an extensive list of outmoded exhibitionary practices in support of his assertion that "apart from a minority of museums, the overall standard of Chinese museum exhibition has seen no great improvement" (2005a: 78, translation mine).

Whilst such a conclusion is perhaps overly sweeping (Denton 2005, for instance, gives convincing evidence of changes in modes of representation in Chinese museums), it would nonetheless appear that the kind of de-prioritizing of text suggested by the literature is played out in practice in the museum itself: a display such as the exhibition of local history at Wuhan Museum (to which we will return below), for example, is award-winning chiefly for its innovative design structure and use of space, rather than for its texts (cf. Li 2004: 120-139 for an extensive account of this exhibition's design). [2] Again, in a detailed account of managerial practices in the Shaanxi History Museum in Xi'an, Zan (2007: 164-5) describes a situation in which Chinese display panels are accompanied by "few, often meaningless, English words".

Given this lack of self-reflection, the discursive practices and procedures—in particular, the participatory mechanisms—by which texts are produced within the museum community remain little documented. In one of the accounts available, Sang (2005) gives an insight into text production in the Huaihai Campaign Memorial Hall (at Xuzhou, Jiangsu Province), whose exhibition texts—dating from the Hall's establishment in the 1960s—were finally rewritten in 2003. Sang's discussion is the more illuminating in that it gives an account of an actual process, rather than describing ideal situations (as in Lu 2005b and 2005c). What is revealed is a complex interaction of participants from both within and without the immediate museum discourse community. Thus, Sang explains, whilst the decision was made to confine the central editorial group to members of the museum's staff, rather than professional historians or exhibition text designers, these latter groups were nevertheless incorporated into the production process further along the way. These same disparate groups were brought together again in the final stages of revision. What Sang's account demonstrates, then, is text production as a constant process of interaction, group discussion, re-evaluation

and reworking that is not confined purely to the museum, but which actively seeks the involvement of other participants.

Published accounts of discursive practices and procedures in the production of translated texts are likewise scarce. However, initial ethnographic enquiry carried out by the author at several museums in China—most recently Wuhan Museum, as well as museums in Guangzhou and Beijing—would suggest that translation practices do not always mirror the kind of broader textual practices outlined by Sang, above. Rather than a system involving multiple text-producers, or a primary producer subsequently aided by multiple participants external to the museum, it seems that the "meta-discursive practice" of translation production frequently involves not a conjunction of participants but rather a disjunction, in which some form of isolation informs the translation process. In Wuhan Museum, for example, the translation work is currently undertaken by a single, relatively junior, member of staff, whose professional responsibilities reach well beyond translation and other language-related duties. The work is reviewed by a more senior member of staff. However, it is clear that the kind of group discussion found in Sang's account of monolingual text production is lacking. In other museum contexts, translation work may alternatively be outsourced, a move which seeks to enlist the involvement of other communities (in particular, the professional translation community) in the translation process. However, it may be argued that even here, a sense of disjunction persists: the translator will often have no opportunity to view the objects to which the texts refer, and will often have little idea of how texts, objects and space are expected to interact. [3] Moreover, disjunction is also sometimes apparent here in the failure to create synergies between different areas of expertise, since translation professionals external to the museum community will often lack the necessary domain-specific knowledge in museology, and will not have

chance to develop collaborative relationships with the expert members of the museum community who have commissioned the translation. Perhaps for this reason, as Liu (2002: 12) discusses, a trend is gradually emerging in which translators are being trained from *within* the museum discourse community itself.

Such "disjunctive" or non-collaborative meta-textual practice might be attributed to various factors. One is the fact that, whilst vast amounts of translation are undertaken in Chinese museums, the status of translation tends to be low: greater priority is given to monolingual texts (though it should be added that the extent to which translation is prioritized may vary according to the administrative level of the museum), [4] and thus few resources may be allocated to translation, limiting the possibility of involving more than a single translator in the process of target text production. This low status, and the corresponding lack of respect afforded to translation in the museum community (and indeed, elsewhere), also poses problems for the development of translation expertise among museum personnel: as Ou (2006: 86) starkly observes, for most museum professionals, writing a single original article is of more use—in career development terms—than translating an entire work of several hundred thousand words.

Among other factors accounting for the lack of museum translators, perceived audience may also be important, with museums that are less obviously attractive to foreign visitors deliberately opting for a less elaborate process of translated text production that involves fewer participants. And still another factor is what Bhatia (2004: 142-143) refers to as "discursive competence", a notion that comprises three interlocking secondary-level competences: "textual", "generic" and "social". Whilst in the monolingual setting, there is clearly no shortage of participants with the necessary textual and generic competence, in the translational setting—where the requirement shifts to what we might

call "meta-textual" or "meta-generic" competence—the possible pool of competent participants may be drastically reduced. [5] Thus the translator may be unable to rely on the participation of others in their own, museum discourse community.

The sense of isolation and disjunction is also present in another sense. For, we have been talking above of "*the* museum discourse community". However, the separation across languages—a factor not addressed by scholars such as Swales—creates a series of museum discourse communities divided by language and cultural issues. Where discursive (or more specifically, textual) competence breaks down, then the ability to access the resources of other, non-Chinese, museum communities also breaks down. This issue of communication between different, linguistically detached museological discourse communities is addressed in two discussions by leading Mainland museologists, Cao Bingwu and the veteran Su Donghai, which are worth examining in some detail, since they remind us that "museum translation" might be viewed not only as a tool by which to communicate with a general public through the use of translated texts within the exhibition space, but also as a means to enrich what might be called the "discursive space" (cf. Culler 1981/2002: 114) of the specialist museum discourse community itself through the translation and importation of academic museological works. In an interview conducted by Cao (Su and Cao 2007), Su argues that the museum is an essentially Western import whose position within Chinese culture continues to pose challenges. These challenges can only be addressed through a greater emphasis on museological theory. Whilst China must develop its own tradition of theoretical research, Su's discussion suggests a key impetus can be provided by translation. The potential of translation, however, has yet to be fully realized:

> Our understanding of the Western museum is insufficiently thorough.
> In recent years, things have begun to be introduced through translation,
> but these have all too often focused on aspects such as museum
> management, marketing and exhibition design. I once recommended
> that *The Museum Experience* be translated, but my recommendation
> wasn't taken up, and the book ended up being translated and published
> in Taiwan instead. Again, the eminent Austrian museologist Friedrich
> Weidacher's two-volume *Handbuch der algemeinen Museologie* is popular
> in the German-speaking world; that too was rush-translated [*qiang yi*
> 搶譯], published and distributed in Taiwan. (Su and Cao 2007: 6,
> translation mine)

Implicit in Su's argument is the idea that Western theory will not only
provide a theoretical boost to the Chinese museological community,
but that it will also help in furthering Chinese museum development by
allowing a better understanding of the theoretical perspectives that
underpin what is originally a Western cultural institution. Also of note is
the implication that the Mainland Chinese museological community has
been more reluctant in embracing translation (or at least, less effective
in getting translations published) than its Taiwan counterpart.

In Cao (2005), such issues are addressed much more explicitly
and in considerably more detail. Cao focuses on translation in one
important area of museology—archaeology. In Cao's analysis,
archaeological translation is seen as developing in three stages. The first
two of these comprise an initial, rather random stage, in which translation
was confined to collections of sporadically selected Western articles,
and a second, more systematic stage, epitomized by the translation of
Colin Renfrew and Paul Bahn's classic textbook, *Archaeology: Theories,
Methods and Practice*. Yet what is needed now, Cao argues, is a third, less
"one-sided" (*dan fangmian de* 單方面的) phase that aims for "a deeper,

more specific or dialogic translation" (*yige shendu, zhuanti huozhe duihua de fanyi jieduan* 一個深度、專題或者對話的翻譯階段). The juxtaposition of these terms, and the use of the term "dialogic translation" (also referred to in the discussion as *duihuashi de fanyi* 對話式的翻譯) deserve comment. In Cao's view, China's potential as a world-class archaeological nation can only be realized if the Chinese archaeological community is genuinely able to take part in an equal dialogue with the international archaeological community. To do so, it must develop more theoretically mature positions (cf. Su's insistence on theory, discussed above) and more in-depth comparative approaches, presenting its findings in a more globally informed framework. Such a goal can only be achieved through a greater understanding of research in the world as a whole: in short, China must seek to move away from an excessively inward-looking position. Here then, the term "dialogue" clearly implies an engagement with non-Chinese archaeological discourse communities through the medium of translation (from English) as a means to enrich Chinese archaeology. However, Cao's subsequent discussion would suggest that the notion of "dialogic translation" might also be interpreted at a much broader, more fluidly defined level, to include other forms of bilingual exchange and direct intercultural contact, or again forms of interaction in which "the results of translation can be directly applied, skipping the publication process", and even "skipping the text [altogether] and entering the topic [directly]" (*tiaoguo wenben, jinru zhengti* 跳過文本進入正題). And at a still further level, dialogic translation may also denote a kind of "two-way translation" (*shuangxiang fanyi* 雙向翻譯), in which, as in polysystem theory, the strengthened receiving culture is able to make its own return contribution, such that Chinese archeological paradigms can "enter the discourse system and knowledge system of mainstream world archaeology".

Ideologies of Translation Practice in the PRC Museum Discourse Community

So far, we have been examining aspects of text and translation in the museum from the perspective of "text-external" practices, including the priorities of the discourse community in question, and the discursive procedures and mechanisms by which texts and translations are produced. In the following, we turn to consider what the products of these procedures reveal about underlying "ideologies of translation" in the museum community. Hatim has formulated the relationship between translation and ideology in terms of a binary opposition comprising "translation of ideology" on the one hand and "ideology of translation" on the other. The primary distinction between these different perspectives is explained in terms of "societal" versus "translational" constraints. Thus the translation of ideology is said to be concerned with "how 'ideology' is handled in the text to be translated and how best to convey this in translation. […] The constraints tend to be *societal*, including value systems shared collectively by a given social group […]" (Hatim 2000: 127, original emphasis). By contrast, with the ideology of translation, "the constraints […] tend to be *translational* […] For example, 'fluency' is a doctrine subscribed to by certain translation traditions" (ibid.). It is worth noting, however, that the distinction is sometimes blurred, as when Hatim and Munday define the term "ideology of translation" as "the basic orientation chosen by the translator operating within a *societal* and cultural context" (2004:102-3, emphasis mine).

One key example of such an ideology—perhaps the dominant ideology—in the museum community in the PRC is that of literalism, an aspect that has sometimes been noted both by scholars in the translation studies community (e.g. Liu 2005) and by members of the museum discourse community (e.g. Zuo 2003). Such literalism is seen

in various forms. Neather (2005a), for instance, details the case of a text-panel in the Confucian Temple in Beijing, in which a three-paragraph Source Text (ST) is rendered by a literal translation of the first paragraph in combination with complete omission of the remaining material. [6] Alternatively, as in the case of translated panels in the Lama Temple in Beijing (Neather 2005b), literal translation of certain lines may be interspersed with omission of others, rather than simply truncating part of the passage. Not all instances of literalism, however, show such extreme handling as these examples. For instance, in Wuhan Museum, we find the following text panel in one of the rooms that form part of the award-winning exhibition referred to above:

<div align="center">水陸雙城</div>

唐代文豪李白"萬舸此中流,連帆過揚州",詠的是長江中首尾相銜穿梭魚貫的船隊;宋代詩人胡寅"平時十萬戶,駕瓦百賈區",歎的是龜蛇旁吞吐集散車水馬龍的港市;而范成大"燭天燈火三更市,搖月旌旗萬里舟"的詩句,則激情難抑地給當時武昌與漢陽的商貿盛況以全景式的描繪。隋唐宋元時期,武漢有一個較長的和平發展階段,政治地位提高,經濟迅速發展,無可爭議地成為荊楚地區最重要的商業都會與手工業城市。	Li Bai, a great poet in the Tang Dynasty, wrote out "Numerous ships navigate through here to Yangzhou sail by sail", to describe the fleet navigated with head and tail linked together in Changjiang River. Hu Yin, a poet in Song Dynasty, wrote out "There are hundred thousand permanent households and hundreds of merchants in the area with many gorgeous houses" which described the busy harbor city full of carriages and people gathering and distributing materials by Tortoise and Snakes Hills. Fan Chengda, with great passion, made a panorama of flourishing business and trade transactions in Hanyang and Wuchang in one of his poem: "There are myriad of twinkling lights in night, great number of flag set off the moon, and lots of ships throughout the river". In the period of the Sui, Tang, Song and Yuan Dynasty, Wuhan enjoyed a long peaceful developing opportunity, whereby Wuhan increase her political status and rapidly developed her economy and became, of course, the most important commercial metropolis and handcraft industry city in Jing-Chun Area.

Here, every effort has been made to replicate carefully the information content, information flow, and broader generic structure of the Source

Text in translation, with excisions kept to a minimum. Clearly, we would not claim that the result is a particularly effective Target Text. Indeed the attempt to replicate the information structure of the Source Text leads to a text that in English is somewhat cumbersome: we instinctively feel that the concluding remarks at the end of the text passage would be better placed *before* the succession of poetic quotes. A more subtle understanding of such intuitive observations must await a comparative study of generic structuring in Chinese and English museum texts. For present purposes, what is of note is the strikingly literal mapping between Source and Target texts.

The reasons for such an ideology of literalism are complex. Alongside more obvious linguistic reasons, such as the widespread lack of what we have referred to above as "meta-generic competence" (where literalism may be seen as a "safe" strategy by those lacking in linguistic and translational expertise), other contributing factors include the closely intertwined issues of museological precision, authenticity, and the role of the state in sanctioning particular ideological and exhibitionary approaches. The museum in Mainland China has traditionally been a state-funded institution that has consequently been heavily subject to the influence of Party ideology. It is undoubtedly true that tangible changes have taken place in Chinese museums over recent years, such as the move towards private art galleries as alternative exhibitionary spaces (Wu 2001), and the downplaying of traditional ideological values such as class struggle in favour of representations more in tune with China's move to towards a market economy (Denton 2005). [7] Nevertheless, as Denton astutely points out, these developments in exhibitionary practice are directly linked to changes in the state ideology: "[M]useums in China, it seems, continue to be used by the state for legitimizing purposes or are at least closely aligned with state interests. […] [T]heir propaganda role continues to be strong in the era of the

market economy" (Denton 2005: 569). In such a context, "the design and content of exhibitions in Chinese museums […] is always a process of negotiation between curators and Party officials" (ibid: 575), though the pressure to conform will be felt more keenly in larger institutions than in smaller museums and galleries with less direct governmental affiliations (Wu 2001: 22). Such ideological pressures call for the presentation of a state-sanctioned discourse that legitimizes the "scientific" (*kexue* 科學, a word frequently found in official documents on museum policy) and a notion of authenticity in which objects are made to function as manifestations of a single "grand narrative" of ideological legitimacy.

In respect of translation, such an ideological context would seem to contribute to the literalist approach discussed above. A translated text which strays towards the recreative end of the translation spectrum, for instance, may be seen as refracting the central message to excess, providing less a closely parallel than an alternative, perhaps even competing, reading of the objects in question, thus potentially undermining scientific "precision" and the illusion of a single "authentic" reading, at least for those with access to the English target texts. Translation here thus becomes a delicate problem, for an overly refracted rendering of the Source represents an uncontrolled or even dangerous challenge to legitimated authority. A highly literal translation approach, on the contrary, can be argued to be a more "precise" and "accurate" reflection of the original message, a rationale which recalls Lu Xun's argument (1930) that Marxist "truth" could only be reflected through extreme literalism (Chan 2004: 19). Moreover, in such an environment, it may simply be "safer" to translate as literally as possible. This is particularly true given the text-external situation we have discussed earlier, in which whilst text-production is a process for which a group shares responsibility, translated text production is frequently an isolated activity

for which the individual takes maximum responsibility.

Such context-specific factors of production are brought into powerful focus when one compares the Mainland Chinese museological community with other, alternative Chinese communities. A comparison of Hong Kong approaches to translation in the museum with Mainland approaches reveals a range of translation practice that frequently veers away from literalism in favour of sometimes considerable restructuring. The Hong Kong Museum of Teaware, for instance, contains numerous examples in which radical restructuring and shifts of focus are seen. In a passage describing Gongfu Tea, a variety of cutting and expansion is seen, together with significant restructuring that attempts to shift the information focus of the whole text away from the Source Text emphasis on the utensils and their history, to a treatment of Gongfu tea as *process*: aspects of the tea-making process are emphasized as a framework within which to describe artifacts, in particular the miniature teapots in which the tea is traditionally made. (For a detailed discussion of these techniques in other texts in this museum, see Neather 2008.) Comparison of such texts with those in a similarly themed museum in Mainland China, the Chinese Tea Museum in Hangzhou, shows strikingly how strongly related material in the mainland context tends to be given a more literal treatment. [8] It should be added that this contrast is also seen in other areas of Hong Kong/Mainland translation practice, a notable example being the film industry. Hong Kong film titles are translated adopting an often wholly recreative approach, whereas Mainland translations of the same titles tend to espouse a largely source-oriented approach, a situation intricately bound up with the different politics and imperatives of the Hong Kong and Mainland film markets (Chen 2005).

Above, we have stressed the literal approach as the dominant ideology of translation in the Mainland museum discourse community. However, it would be wrong to suggest that this is the sole ideology in

operation. In some cases, more recreative translations are seen. In the same Wuhan museum exhibition, for example, one finds certain labels in which substantial restructuring has been made in order to avoid the production of overly source-influenced translations in favour of renderings that seek to address the semiotic complexities of the museum environment and the needs of foreign text-users. For instance, in a display dealing with the nineteenth-century heroic figure, Lin Zexu, the label accompanying a painting of Lin is substantially rewritten, in order to avoid the foreignizing influence of the Source Text's classical Chinese biography format. Likewise, the way in which the intertextual relations between this and other texts in the same Lin Zexu "text-cluster" are handled suggests a greater sense of translational sophistication on the part of the translator.

As with the case of participatory mechanisms, discussed in our first section above, these particular ideologies of translation have received relatively little comment from within the Chinese museum community. Zuo (2003) has called for a greater consideration of end-user needs in museum text translation, providing illustrations of how literal translations, as well as blind acceptance of established or legitimized—and often unsatisfactory—terminology, can lead to a misrepresentation of the artifacts in question. However, nowhere does Zuo employ the discourse of translation studies: his remarks are clearly based on personal experience of practice within the museum community. Ou Yan, Deputy Director of Education at Guangdong Provincial Museum, a major museum in Guangzhou, is one of the few figures from the museum discourse community who has sought to appropriate a more expert translation discourse to discuss issues of literalism and target-reader awareness. For Ou (2006), as for other writers on the subject more generally, the overriding preoccupation is with translation quality. Like Zuo, Ou argues for a greater awareness of target-user needs, and seeks

to show that both literalism, or *zhiyi* 直譯, and free translation, *yiyi* 意
譯, are approaches that have a part to play in a target-oriented approach,
if used appropriately. What she cautions against is the rigid adherence
to either one approach or the other, and the extreme application of
these approaches, in which direct translation becomes *siyi* 死譯 ("dead
translation") and free translation becomes *suibian yi* 隨便譯, a kind of
"anything goes" translation in which little regard is shown for the detail
of the Source Text. In a post-*skopos* translation world, such an insight
might seem obvious enough, yet the pains which Ou takes to argue her
point (for instance, her repeated injunctions against extreme literalism)
suggest that in the museum discourse community, such understandings
of translation are by no means to be taken for granted.

Paradigms of Translation: the Recourse to Tradition

Ou Yan's discussion is also interesting for the way in which her
argument explicitly draws on the terminology of traditional Chinese
translation discourse: the terms *zhiyi* and *yiyi*, the reference to Yan Fu's
doctrine of *xin*, *da*, *ya*, the invocation of literary "giants" such as Lu
Xun as sources of authority, and the assertion that "in the translation
realm [*fanyi jie* 翻譯界] the universally accepted criteria for translation
may be summed up in these terms: 'faithful' [*zhongshi* 忠實] and 'fluent'
[*tongshun* 通順]", all suggest a recourse to traditional "impressionistic"
paradigms of translation, presented in rather unquestioning terms—
note, for instance, the mention of "universally accepted criteria" in the
preceding quotation. (Yan Fu's three terms are likewise invoked in Cao
Bingwu's discussion of trends in archaeological translation, discussed
above [Cao 2005].) This recourse to impressionistic approaches is seen

further in the language by which texts and translations are described in the museum discourse community. Thus Han Jing discusses the Chinese-English bilingual panels in an exhibition which she designed as "manifesting a style that is precise without being severe, accessible without being vulgar, and elegant without being impulsive" (*tixianle yanjin er bu yansu, tongsu er bu yongsu, youmei er bu fucao de wenfeng* 體現了嚴謹而不嚴肅，通俗而不庸俗，優美而不浮躁的文風) (Han 2005: 142). Han does not make clear whether she is referring here specifically to the Chinese or English texts, or to the textual ensemble in general, but in either case, the language used—with its impressionistic adjectives and antithetical parallel structures—would not seem out of place in a traditional piece of Chinese literary criticism.

It would, of course, be wrong to suggest that all writers in the museum community have framed their discussions in such a way, for occasional evidence is found which suggests that more updated notions of translation may slowly be making their way into museological discourse on translation. One such example is Ding Ning (another museologist at Guangzhou Provincial Museum), whose work (Ding 2009) is significant for the fact that it seeks to assess museum translation from the perspective of domestication and foreignization, explicitly invoking Venuti and other relevant sources from the discourse of translation studies. Nevertheless, such cases still represent the minority. By contrast, traditional formulations such as that of Yan Fu continue to find their way even into official discourse on museum translation. A recent bulletin relating to the training of foreign language museum docents, posted by the Hebei Provincial Government, for example, expressed the hope that with the right training, "in translating the history and culture of heritage sites", these docents should "basically be able to achieve *xin, da, ya*" (State Administration of Cultural Heritage 2008). This language is of course that of a press report, and we would not expect to find it in

genres such as official regulations. For example, the clause detailing the required language abilities of docents that is found in the Government's *Notice on the Issuing of the "Methods for the Evaluation of Museums Nationwide (Pilot)", "Provisional Standards for Evaluation of Museums" and "Application Form for Evaluation of Museums"* (關於印發《全國博物館評估辦法（試行）》、《博物館評估暫行標準》和《博物館評估申請書》的通知), Paragraph 7.1.3.2(d), uses less traditional terminology. Yet even in this more legal context, it is possible to detect an almost palimpsestic echo of Yan Fu's formulation, as when the clause states: *"Jiangjie kexue, zhunque, shengdong, you wencai"* 講解科學、準確、生動、有文采 ("The [bilingual] explanations should be scientific, accurate, lively and elegant in style").

Examples of the recourse to traditional terminology may in part be indicative of problems relating to "discursive competence" (Bhatia 2004: 142ff), in this case where a "non-translation community" lacks the necessary discursive resources to address other members of that community on an issue that is outside its traditional area of discursive expertise. As Ou Yan's discussion makes clear, a key problem facing the museum community in providing adequate translations is an almost total lack of translation training, coupled with a sometimes surprising ignorance as to the intricacies of the translation process. To such an audience, even the most simplistic discussion of translation is, so to speak, "new information". Moreover, in the light of Ou's remarks on the difficulty of stimulating interest in translation and training up personnel, it may be that an overly "alien" discourse might be less preferable than couching one's argument in more straightforward, easily digestible, and perhaps more familiar terms.

The recourse to traditional paradigms may also be said to reflect a comparative lack of cross-disciplinary engagement between the translation studies community and other discourse communities. Thus,

just as the "literal versus free" dichotomy continues to dominate popular discussion of translation in Western non-translation communities, despite its general rejection by the Western translation studies community as moribund, so *xin, da, ya* and other such notions continue to enjoy currency in non-translation communities in China, notwithstanding advances within the Chinese translation studies community. Nevertheless, it is worth noting that the Chinese translation studies community itself not infrequently continues to invoke doctrines such as those of Yan Fu, even as it acknowledges their obsolescence. Many such instances could be cited, at least at what might be called the "lower-level" end of the discipline. One example from the field of museum translation is Liu (2005), which having begun with an almost apologetic disclaimer that "… *xin, da, ya* can in no way convincingly explain new phenomena in the field of translation", proceeds with an analysis that uses precisely that framework, even citing the assertion of no less an authority than Luo Xinzhang (in a 1984 article) that an "informative text" (to which group museum texts are said to belong) "should stress the principle of *da*" (*"yao zhong da"* 要重達).

The above observations suggest a number of interesting parallels between the various discourse communities in question. Firstly, the impressionistic tendencies of Chinese museological writing on translation and indeed texts in general, though expressed in a different terminological idiom, would appear to show a certain similarity with traditional Western discourses on museum texts, which have only recently been challenged—for instance by Ravelli (2006). Her work is groundbreaking precisely because it offers one of the first more systematic and linguistically informed approaches to the field, presenting a systemic functional linguistic framework for museum text analysis, but to a museological audience (whilst the author is a linguist, her work is published in Routledge's "Museum Meanings" series), and thus without resorting to

the extremes of jargon for which SFL has sometimes been criticized (e.g. van Dijk 2008). Secondly, the impressionistic approach in Chinese museological discourse on texts and translation, and the focus in a number of the works discussed above on more micro level problems of translation (e.g. Zuo 2003) also reflect parallel discursive positions in the Chinese translation studies community. For as Chan (2004: 3) points out, Chinese translation discourse has frequently been characterized by an "impressionistic bent" that incorporates an emphasis on traditional literary theory (an emphasis which continues to find expression in treatments such as the later works of Liu Miqing). It would seem, then, that the Chinese museological community's treatment of translation is at least in part shaped by a broader "discursive space" in which impressionistic discourse, though less valorized than previously, continues to exert a powerful influence. The same is true of the tendency to focus on micro level issues in museum texts. Again, Chan (2004: 55) speaks of the Chinese tradition as being characterized by "the privileging of practice over theory, and the virtual non-existence of a tradition of philosophical reflection on the processes and products of translation", such that theory becomes "indistinguishable from principles" (ibid.) and from translation criticism. In this regard, it is perhaps telling to recall Su Donghai's and Cao Bingwu's calls for a more theoretically informed approach—in effect, a "theoretical turn"—in Chinese museology, which has likewise tended to privilege "practice over theory".

Conclusion

In the above, we have focused on translation activity in a discourse community that is fundamentally removed from traditional or established sites of translation practice and discourse. Such activity, we have

suggested, is frequently carried out at a "non-expert" level (a term which represents more a continuum than a fixed category). Whilst the particular participatory mechanisms for text production in general would seem to be more well-developed in PRC museums, there is evidence to suggest that the production of translated texts often takes places in more isolated or "disjunctive" circumstances that are brought about by a variety of factors including the low status of translation, reluctance to participate in translation work, lack of resources, lack of linguistic ability, and limited or non-existant access to translation training.

Considered in terms of notions of expertise, we may argue that such factors inhibit the various routes by which expertise in translation may be acquired. "Novice" participants in the museum discourse community have the opportunity to acquire both domain-specific and broader discursive expertise through such mechanisms as training in museology and professional museum practice, interaction with expert members of the community, and what Lave and Wenger (1991) refer to as "legitimate peripheral participation" in genre production. By contrast, for those entrusted with translation work, few such channels are available. Expertise acquisition must instead rely heavily on the accumulation of personal experience, rather than interaction with others.

We have also considered evidence of ideologies and conceptualizations of translation within the PRC museum discourse community, and have suggested that there is a discernible tendency towards an ideology of literalism, a finding that might be explained by various factors such as state control or lack of "meta-generic competence" (i.e. the ability to produce successful translations of given Source Text genres). Discourse on translation issues tends to show a recourse to traditional conceptualizations that would seem to bear out the situation of "disjunction" described above in regard to discursive procedures for text production: there has been relatively little importing

of ideas from translation-centred communities such as Translation Studies, a situation which perhaps stems from the difficulty of transplanting aspects of expert discourse from one discourse community to another. These and other issues raised in this study must await further corroboration by observational and interview-based ethnographic research.

Notes

[1]   This term is adopted from the research literature on expertise, where it is found frequently. For one discussion dealing with issues of domain-specific versus general expertise, see Weisberg (2006).

[2]   Denton (2005: 575) also comments on the downplaying of text in PRC museums in recent years, though he suggests that this may be part of a deliberate attempt to explore a less traditional exhibitionary aesthetic, by "[drawing] attention to the displays as aesthetic objects and [relying] less on textual explanations to bring meaning to them".

[3]   I should like to express my thanks to the staff of Wuhan Museum for their illuminating insights into these and other aspects. Thanks are also due to Ms. Chen Shujie at the National Museum of Chinese History, Beijing.

[4]   In the city of Wuhan, for instance, translation provision is given noticeably more priority in the provincial-level Hubei Provincial Museum than in the municipal-level Wuhan Museum, a point also acknowledged by staff there. (Zhu Li, Deputy Curator, Wuhan Museum, personal communication.)

[5]   As one curator at a museum in Guangzhou commented in conversation to the author, plenty of resources (such as specialist dictionaries) are available to help staff cope with individual lexical items. The problem is rather one of being able to construct a suitable Target Text: there were, he

remarked, no textbooks to turn to for advice on museum text translation.

[6] It might be objected that use of omission is incompatible with an ideology of literalism. However, the museum represents a special case. In any piece of museum translation from Chinese to English, there will almost inevitably be some omission, since spatial restrictions (for instance in object labels or wall panels) rarely allow for a full rendering of the Chinese source text. What is important is how this is handled: in the case of the Confucian temple wall panels, omission is not used selectively as an integral part of a broader strategy of rewriting; rather, what is translated is done so literally, with "omission" meaning the wholesale truncation of all subsequent portions of Source Text, which would not fit the space if translated.

[7] For various accounts of changing and innovative exhibitionary practices, particularly as they relate to science museums, see several of the contributions to Kang and Meng (2007).

[8] Notwithstanding its relatively staid approach to textual translation, it should be noted that in other respects, the Chinese Tea Museum in Hangzhou is attempting to move in a more consciously visitor-oriented direction, in which the visitor "experience" is emphasized. See Guo, Wang and Wu (2007: 198), in which the museum's curators explain this approach in relation to foreign visitors. See also Denton (2005: 575-7), who documents the increasing move in Chinese museums in recent years towards "expressive" rather than more starkly "representational" modes of exhibition.

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BOOK REVIEW

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Tudor Translators as Systematic Practitioners:
A Review of *Tudor Translation in Theory and Practice* by Massimiliano Morini

Isaac Yue

Translation as a form of literary practice is undoubtedly conceived very differently in the time of Elizabeth Tudor than it is today. Until recently, historians have long held the belief that the art of translation in England during the sixteenth century was often for the translator a medium for self-expression, and unwarranted alterations, omissions and additions could occur as frequently as a translator desired. Respect for the author's voice was oftentimes minimal, if not nonexistent. Such perception, however, is slowly being challenged as more and more evidence is being unearthed suggesting there to be in fact a significant rationale behind these Tudor translators' disposition to "mistranslate".

For example, in a recent study by Alastair J. L. Blanshard and Tracey A. Sowerby, the authors are able to demonstrate the appearance of Thomas Wilson's translation of *Olynthiacs* and *Philippics*, just prior to the sailing of the Spanish Armada, to be no coincidence and the alteration of meaning during the translation process to be deliberate. Evidences are pointed out by the authors indicating that the translator had intentionally manipulated various areas of the source text in order to

present the final translated text as a critique of the Elizabethan foreign policy. "By controlling the typography of the translation and adding polemical marginalia and other peripheral material, Wilson masterfully directed his readers' interpretation of the text" (2005: 46). More famous translations from the same era in which this statement seem equally applicable include John Harington's allegorical translation of Ariosto's *Orlando Furioso* and William Tyndale's heavily politicized New Testament.

As a collective summary of such recent development, in *Tudor Translation in Theory and Practice* (2006), Massimiliano Morini conceives the Early Modern era as a period of transition in the practice of translation, and addresses the issue from a theoretical point of view. He argues that although irreconcilable differences that exist between Tudor translations and their source texts do suggest a lack of respect on the part of the translators towards the authors, instead of being unmethodical and randomized manipulators of the source text, Tudor translators were actually exceedingly determined to approach their practice in a systematic manner, even if their "system" sometimes led to excessive re-writings in their translations. In fact, numerous mistranslations in these texts that have previously been evaluated to be erroneous, argues Morini, are actually steered by specific goals which the translators had set for themselves in the first place. The repetitive patterns in these "errors" also demonstrate remarkable consistency in the translators' endeavours to achieve their aim. Such a systematic approach to translation, which anticipates Dryden by nearly a century, effectively challenges our conventional perception of the inapplicability of modern translation theory prior to the seventeenth century.

In order to prove his point, Morini begins his study by examining a number of Tudor translations alongside their accompanying prefaces and dedications, from which attempts are made to extrapolate a picture of the psychological and social dispositions of the translators, as well as

their effects on the final text. What Morini discovers is "an intricate history of overlapping and intertwining tendencies, a complex situation in which old and new habits survive side by side" (2006: 7). Moreover, when these seemingly random collection of thoughts jotted down by the Tudor translators are contrasted with translation theories of the twentieth century, such as Lawrence Venuti's theory of "domestication" and Eugene Nida's principle of "dynamic equivalence", remarkable similarities are unearthed suggesting that not only did these Tudor translators take their profession seriously, but their approach to their art is much more serious and systematic than previously presumed. Morini concludes with the statement:

> What emerges from a survey of figures contained in sixteenth-century prefaces, dedications, and laudatory poems, seems to point towards a fluid state of affairs, which is a reflection of the transition from a medieval to a humanistic theory of translation. (2006: 35)

Backed by a meticulously researched catalogue of prefaces to Tudor translations and an innovative method of contrasting them with modern translation theories, Morini's presentation of the Tudor translator as an evolutionary practitioner who was instrumental in propelling the art of translation into its more systematic form, as it is generally recognized today, is both convincing and stimulating. However, to leave it at that would be imprudent, because, as can be expected, what is committed to paper by these translators cannot always be taken at their face value, and a translation's value must ultimately be evaluated according to the actual merits of the translated texts, not what the translator readily professes to effect. Therefore, to validate his point, Morini devotes the second half of his book to the scrutiny of a number of prose and poetic translations from the Tudor period, in an attempt to conduct in-

depth analyses of the translation methods applied. He discovers that while most of these translators were prone to deviate from their intention from time to time, for the most part, a surprisingly large majority were able to stay true to their words on a consistent basis. Morini is further able to demonstrate how a number of these texts, some of which having been derided previously, were actually "mistranslated" deliberately in order to achieve certain ends set out by the translators. For example, John Harington's translation of *Orlando Furioso*, which is pronounced by D. H. Craig in the *Dictionary of Literary Biography* (1978) to contain "a great deal of the apparatus [that] is specifically designed for Harington's English readers", remains commonly cited today as exemplary of a "bad" translation. Jane E. Everson, for example, in spite of noting the translator's "creative interaction with and intervention in the text of the original", nevertheless points out how the text ultimately remains a "significantly abbreviated [version] of the *Orlando furioso*" (2005: 645). Although the numerous occasions in which Harington invented and deleted scenes, substituted Italian locations for English ones and attributed dialogues of one character to another are hard to overlook, Morini is able to take a different approach to the text and develops a high level of appreciation for Harington's *Orlando*. He derives his conclusion from his reading of the translator's preface, in particular the line:

> [W]hatsoeuer is praiseworthy in *Virgill* is plentifully to be found in *Ariosto*, and some things that *Virgill* could not haue, for the ignorance of the age he liued in, you finde, in my author sprinckled ouer all his worke. (Harington Preface, qtd in Morini 107)

which, according to Morini, reveals Harington's interpretation of Ariosto, by which his translation is primarily steered, to be its Virgilian structure,

in which "Ariosto himself tried to join the epic and the chivalric tradition by his frequent Virgilian allusions and imitations" (107). Unfortunately, Ariosto's imitation of Virgil is a poor one, with its "sprawling narrative, too many asides, an obtrusive narrator, a un-Virgilian tendency to exploit the fantastic element for comical purposes, and way too much irony" (107) all being cited by Morini as constituents of its failure. Harington, however, remains obsessed with re-creating Ariosto's intention, to the point of altering the original in order to "rectify" what he sees as unrealized potentials in the original *Orlando Furioso*. In spite of its inarguably considerable excessiveness, Lin Yiliang's perception of the "spiritual agreement" (心靈上的契合) reached by Hsia Tsi-an's (Xia Jian) translation of N. Hawthorne's "cows" into "crows" is probably just as applicable here.

In Morini's view, any fair judgement of a piece of translation must responsibly take into account the translator's intention, in order to discover the translator's system of approach to the piece on which the value of the work rests. In his review of other translated works such as Tasso's *Gerusalemme Liberata* and Castiglione's *Libro del Cortegiano*, this same approach applies and in most cases Morini is able to demonstrate convincingly a relationship between the translator's predilection and the resulting text. If there is one limitation with *Tudor Translation*, it is the author's decision to leave out the abundant religious translations made by Tudor translators. In spite of Morini's sound reasoning that "religious translation has already been treated by many, and from various vantage points" (2006: ix), the fact remains that the study of religion remains compellingly one of the biggest motivations to translate during the Tudor era, and the number of Tudor religious translation far outstrips secular ones. For a text that aims to macroscopically assess the situation of Tudor translation, to leave out the religious aspect of the practice in its entirety, regardless of reason, must be considered a flaw in an otherwise

informative work.

Although Morini's study does not break any new grounds in translation scholarship, it does appropriately and effectively offer a timely review of our developing understanding of translation in its earlier period. The data and theories expounded in this text should appeal to most informed readers at the graduate level.

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