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翻译专业用书

西方译学理论辑要

Excerpts from Translation Studies in the West

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注释与出处

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序

《西方译学理论辑要》以较经济的方式介绍了西方从古至今具有较大影响力的译学家及其理论，不但介绍了他们的生平及重要理论、史料图片，而且还介绍了其史稿摘录。这部作品集传记、原汁原味的译论为一体，洋洋洒洒百余万字，是到目前为止笔者所见到的收录资料最全、论及人物（156人）和译论最多、编排形式和编排思路最具特色的著作。洋洋百余万字，凝聚着作者的辛勤汗水，同时，这也是对杨建华先生心仪的介绍，为外语专业的师生们提供一部集西方译论外文史稿为一体的案边参考资料。

总体来看，本书具有以下几个鲜明特色：

1. 独具特色的编排思路。本书不但将历史分期作为主线、流派作为暗线来处理，而且本书的编排在以历史发展线索为主的同时，也考虑到国别与地域译论特点，很好地体现了理论史的继承性和关联性。以历史分期逐人编写，有利于将某个理论家的重要译论全面系统地从其撷选的史稿中反映出来，也有利于读者较全面地了解某个时期某个译论家的重要译论；
2. 别具一格的章节编排形式。本书章节的编排主要由三部分构成，即译学理论家生平及其重要理论、史料图片和史稿摘录。这种编排，图文并茂，有利于激发读者的兴趣，有利于读者研习某译论家理论的核心部分，有利于读者掌握西方译论的内核，更有利于读者准确地运用西方译论；
3. 独具匠心的历史分期和翻译研究类型。中外学人对西方译论的历史分期的看法不尽相同，各有所长，而杨先生在此基础上进行了认真仔细的对比研究，根据“人们的思想总是受历史环境影响”的论断，并结合本书的内容特点，将西方译论的发展分为古典译论和现代译论两个时期。古典译论时期历经两千多年，为现代译论的发展奠定了坚实的基础；现代译论则以古典译论为基点，蓬勃发展。对西方译论流派的梳理和归纳，国内外学者也持不同观点，因为他们的观察角度和观察目的不同。由于西方林立的流派之间的相互关系并不是完全独立的或对立的，而是交叉互补的，因此杨先生根据本书的具体情况及其研究成果，开创性地将西方译论的研究归纳为文学类型的翻译研究、语言类型的翻译研究和人文类型的翻译研究，以有别于流派或学派的概念。将各流派归入上述三种类型的目的，是要揭示其关联性；
4. 学习的目的是为了借鉴、谋求发展。本书辑选的是西方译学理论史稿，目的在于方便国人学习西方译论。但是学习西方译论的目的仍在于振兴我们自己的译论研究。我们应在学习鉴借西方译论的同时，大力发展我们自己的译论，为世界译论的发展做出我们应有的贡献；
5. 预见译论的未来发展趋势。本书在选录西方译论的同时，还对未来的译论发展做出预见，认为未来的译论发展除在翻译本体的研究方面会有更大的突破外，机器翻译的研究也会迈出更大的步伐；
6. 本书还（宏观古今中外译论研究，提出“语境”新解，从而）开创性地提出“重新语境化”的译学理论，并提出将此作为中国译学理论与西方译学理论同步发展的共同理论平台的具有建设性的见解。

从翻译研究的角度来看，这一系统介绍西方译论史稿的著作，填补了国内翻译研究领域的一个空白。近些年来，国内在引进外国原版翻译著作和翻译外国翻译著作方面做了大量的工作，最典型的要首推上海外语教育出版社引进的“国外翻译研究丛书”了，它大大促进了我国的翻译教学和研究事业。但不得不承认的是，其引进的原版著作，无论是译论家和著作，仍不及国人所需要之十一。再说整本啃读这些著作也是很费劲的。有些人根本就没有吃透原著，就急于运用西方译论来写文章，赶时髦，常常导致一些外国翻译理论使用不当的情况时有发生（林克难：“外国翻译理论的实用性研究”。《中国翻译》2003年第4期，44-46）。况且西方译论很多是杂于各类论著之中的，这就更增加了学习的难度。因此，如将具有代表性或时代性的译论撷选出来就显得尤为重要，特别有意义。正如南开大学博士生导师王宏印教授所言：“如果读者能够和同类

书籍参照阅读，最好是能够参照原文仔细阅读，则收获会更大。”杨建华先生所从事的，正是这样一个具有重大意义的工作。

目前，我们已置身于一个全球化时代，翻译研究的发展更是日新月异。笔者喜欢翻译，也喜欢翻译研究，更喜欢对国内外最新出版的翻译著作评头论足，因此写书评已成为我为之奋斗的目标之一。约半个月前，国外一翻译研究刊物寄来去年出版的新书三部，约写书评。令人振奋的是，我在其中的一部里又发现了翻译研究的新动向。这部书名曰 *Less Translated Languages* (Albert Branchadell & Lovell Margaret West. John Benjamins Publishing. 2005)，而汉语也是其中的语言之一。Less translated languages，这是在 Mona Baker 主编的 *Encyclopedia of Translation Studies* (1998)、Mark Shuttleworth 和 Moira Cowie 编撰的 *Dictionary of Translation Studies* (1997) 以及方梦之主编的《译学辞典》(2004) 里根本无法找到的术语，指的是 “all those languages that are less often the source of translation in the international exchange of linguistic goods, regardless of the number of people using these languages”。该书里还提到翻译研究的一个新转向，即 “From the ‘cultural turn’ to the ‘power turn’”。看来，我们只有加倍努力，发奋图强，才能赶超世界译论先进水平。

许建忠

2006年3月9日于天津

鸣谢

本书在编写过程中，参阅或援引了谭载喜、许钧、杨自俭、刘宓庆、郭建中、廖七一、张南峰与陈德鸿、谢天振、蔡毅与段京华、申雨平、李文革、程工、李思孝、王焕生、王宏印、张柏然、申丹、刘润清、刘重德、马国新、张中载、伍蠡甫与翁义钦、袁筱一、杨周翰、吴达元与赵萝蕤、许宝强与袁伟等众多专家学者的著述文章，包括他们的研究成果及研究资料，在此公开致谢，并表笔者无掠美之意。还有些译论引自或参照了上海外语教育出版社（由 St. Jerome Publishing、Taylor and Francis Books Ltd、Pearson Education Limited、John Benjamins Publishing Company、Multilingual Matters Ltd、Gunter Narr Verlag、Koninklijke Brill NV、Oxford University Press、University of Exeter Press 等国外出版机构）引进的英文版《国外翻译研究丛书》和外语教学与研究出版社的英文版《当代国外语言学与应用语言学文库》，谨在此一并表示由衷的谢意和崇高的敬意。可以说，本书完全是因为站在了巨人的肩膀上才得以成书的。没有这些巨人及出版物的支撑，本书的完成是不可想象的。书中还有一些援引的资料（包括译论、图片等）由于种种原因尚未及与有关作者或来源取得联系，敬请见谅，本书编著者将继续进行有关未尽联系事宜。

本书在编写过程中，曾得到众多中外著名译学理论家的指点、帮助。他们在百忙之中审阅了本书的书稿及其前言等，使本书的成书得以避免很多贻笑大方之处。在这些众多的中外著名专家学者中，这里要特别提出感谢的是：中国英汉语比较研究会会长、中国海洋大学杨自俭教授，著名学者、以色列特拉维夫大学伊塔马·埃文·佐阿（Itamar Even-Zohar）教授，著名译学理论家、马萨诸塞州阿默斯特大学翻译中心主任埃德温·根茨勒（Edwin Gentzler）教授，著名译学理论家、美国费城坦普尔大学劳伦斯·韦努蒂 Lawrence Venuti 教授，著名译学理论家、美国普林斯顿大学凯瑟琳·戴维斯（Kathleen Davis）教授，著名译学理论家、德国马格德堡理工大学克里斯蒂安·诺德（Christiane Nord）教授等。他们有的多次提出非常有价值的原则性指导建议和具体的修改意见，有的多次提出非常中肯有益的告诫或提示，有的多次提供其非常珍贵难得的资料或资料来源，有的非常友好地推荐了更多的非常有造诣的著名专家学者及其资料。此外，还有很多人对于本书的编写给予了充分的肯定、鼓励和支持。对于这些众多的给予本书写作巨大帮助的著名专家学者，感谢之情和敬意自是言语所无法胜任的。

这里还要特别提出感谢的是，许建忠教授始终给予笔者可贵的鼓励与帮助并在百忙中欣然为本书作序，弥补了本书很大的不足。另外，当年蒙笔者所在大学外国语学院时任院长徐明博士、副院长李靖民教授的信任与委派为翻译专业硕士研究生讲授《西方翻译理论》课程，竟由此导致本书的问世。天津市哲学社会科学规划办公室及项目评审组的专家学者还将本书列为天津市哲学社科研究规划项目。笔者特在此一并致谢。

这里还要特别提及天津大学出版社的赵淑梅女士。笔者与天津大学出版社和赵淑梅女士有着多年的友好愉快的合作，其严谨的编辑工作令人钦佩。本书的编写同样离不开赵淑梅女士的积极鼓励与帮助。其实，本书的立意与出版计划完全是经与天津大学出版社及赵女士的多次商讨后共同确定的。赵女士在编写立意的提出、可行性调研甚至在书稿的编校及版式设计等各方面均做了大量的工作，功不可没。在此深表谢意。

前言

（一）

萌生拙书编写之意，缘起于近年受学院委派讲授西方翻译理论课程。一旦执鞭，方知此任之艰。原因有多种，难觅一本辑西方译论史稿之要于一书的案边资料不能不说是其中一个很重要的客观原因，终觉教师和学生手边缺少这样的一本书很是不便。况且，很多西方著名译论家往往同时又是著名哲学家、语言学家、翻译家、文学家、社会学家等等，著述繁多，其很多重要译论又往往杂于各类论著之中，如哲学著作、语言学著作或译作前言甚至诗歌或演讲词等。将其中具有代表性或时代性的重要译论辑选出来汇成一书，应该是件很有意义的工作。有聊胜于无。此其笔者不揣驾钝萌生编写本书的最早动因之一。

编写本书的另一动因是感怀于人类对翻译理论所进行的艰苦不懈的探究历程。本书曾拟名为《巴别思录》（*Ponders of Babel*），后经杨自俭老师指点改为《西方译学理论辑要》。在荒渺莫考的太古时代，自示拿的巴别城塔（通天塔）败毁之后，世界从此便进入“巴别后”时代，诺亚的子孙们也从此开始其悠悠无期的冥冥苦思与自省。德里达将巴别的矛盾说得很明白：对于语言的混乱，翻译是“一项必需而又无从实现的工作”，即是说，翻译将永远地处于“可译而又不可译”之中（见本书德里达一节）。然而，“五方之民，言语不达，嗜欲不同”（《礼记·王制》）的语言和思想的“混乱”，恰酿成宝贵的民族文化的多彩世界，人类对于巴别沉思的方向也准确地定位于“达其志，通其欲”（《礼记·王制》）的译事探究，历经数千年的岁月而不息。因此，诺亚的子孙既是明智的，也是坚韧的。繁星般的译学大家在翻译理论的殿堂寒宫中的孜孜求索，是对有志于译学理论研究的后人最好的感动和激励。本书所辑录的即是这些可歌可泣的“巴别后”的关于语言与翻译的思索。

王宏印教授曾对西方翻译理论研究如此感慨：“如果读者能够和同类书籍参照阅读，最好是能够参照原文仔细阅读，则收获会更大。”（见李文革《西方翻译理论流派研究》代序“昌明传统，融化新知”，2004：11）因此，提供一本以原文为主的具有史稿性质的西方译论辑要便成为本书的又一编写动因。从历史的实践来看，西方译学理论大大开拓了中国译学研究的视角，有很多内容直接融入中国的译学研究，大大繁荣了中国的译学研究。但如若引进西方译论长期以译介形式为主的话，人们不免会产生忧患。翻译本身即处于可译与不可译的争论之中，翻译理论本身的翻译更是一大挑战。由于语言之间的差异程度，西方语言之间的翻译求等易，而中西语言之间的翻译求似却也难。因此，仅仅依靠汉语翻译来推敲西方译论概念的内涵是远远不够的，也是不可靠的，尽管译者的翻译是高超的。因此，学习研究西方译学理论一定要读到外文原文。本书在辑选西方译论时便是出于此种考虑，在“译论史稿辑要”中尽量采用原文形式。如原文属非英文但有英文译文的，尽量采用英文，不得已时才偶用汉语。

（二）

本书的编写是以历史分期为线索的。

当然，本书的编写可选择不同的方式：可以依照流派研究的思路，但这样做“容易写得浮，‘只见林不见树’，在未发掘和占有详尽资料时容易‘以论带史’”（陈福康语，见陈福康《中国译学理论史稿》，1992：6）；也可以依照历史分期，这样做的优势在于史料性较强，且有利于对每个译论家进行较为全面系统

的述评。本书的编写采纳的是后者，即以“史”为出发点，以史及论。

在梳理西方译论的过程中不难发现，历史上的某一译学理论家往往不是可以简单地归于某一流派的，其理论贡献也往往不仅限于某一流派的理论。安德烈·勒菲弗尔的《翻译、历史与文化论集》一书便超越历史，依照思想意识、赞助人的影响、诗歌翻译、文化话语域、翻译及语言发展与教育、翻译技巧、中心语篇与中心文化等主题进行编辑，因此理论梳理清晰。但某一理论家的译论则有可能散见于不同的主题章节中。如欲将某一位理论家的重要译论及贡献简洁而全面系统地反映出来——这正是杨自俭老师为本书提出的“原则”性建议之一——，那么还是应以历史分期为线索、逐人编写为上。

没有按照“流派”（或“学派”）来写，不等于无视“流派”的存在。杨自俭老师为本书提出的“原则”性建议首先便是“理论史要有继承性，前后要密切关联”。强调史的“继承性”，流派则是重要线索。因此，即使依照历史分期来写，流派问题也是不容忽视和回避的，始终是理论史的联系纽带。

本书最后确定按照历史分期来编写，还出于对如何学习研究西方译学理论的反省。

如何学习研究西方译学理论，同样有两种方式可供选择：一是以某一流派、某一译论家为研究方向和突破口，此其“伤其十指不如断其一指”；二是将西方译学理论作为整体进行历史性的跟踪研究，这样有利于把握整个译学理论的历史发展脉络，以求进行全景式的较为全面系统的透视。两者皆不可废。但是，就学习研究西方译学理论而言，“断其一指”，更要“伤其十指”。特别是对于广大学习研究翻译理论的学生或研究人员来说，强调这一点更具有实际意义，因为西方译学理论发展的一个极为重要的特点是其开拓创新性 with 历史承继性共存。没有对西方译学理论发展的历史承继性全面系统的了解，是很难理解其理论的开拓创新性的。发展中国的译学理论研究最需要引起注意的便是盲目性。盲目性会导致译论研究走弯路，历史上是有教训的。从历史发展的角度观察和透视西方译学理论的发展，探索其发展的内在原因及经验教训，可以说仍是翻译理论教学的当务之急。因为这样才有可能更好地、理性地展现而不是封闭中国译论发展的非常有希望的巨大空间，从而避免或减少盲目性的发生。

本书尝试将历史分期作为明线、流派作为暗线来处理。

如何按照历史分期来梳理浩繁的西方译学理论对于本书来说始终是个课题。

乔治·斯坦纳将西方翻译理论的发展分为四个时期，即公元前1世纪至公元19世纪为第一个阶段，主要以翻译实践与实践经验总结为主；19世纪初至20世纪中为第二个阶段，属于初步理论探讨阶段；战后至20世纪70年代为现代时期，即第三个阶段，现代语言学的发展带动翻译理论快速发展；20世纪70年代后为第四个发展阶段，跨学科研究促进翻译研究的快速发展。

纽马克将西方翻译理论的发展大略分为两个时期，即公元前55年至20世纪初为语言学前时期，从20世纪后期开始为语言学时期。

我国的刘宓庆先生将西方译论的发展分为四个时期：古典译论至18世纪末的坎贝尔和泰特勒；18世纪末施莱尔玛赫至20世纪中瓦勒瑞；翻译理论的语言学派的兴起；20世纪70年代至今。

谭载喜先生将西方翻译理论的发展分为古代翻译译论、17世纪至19世纪翻译译论和20世纪翻译译论。

王宏印先生依据学科理论基础将西方翻译理论发展简洁地分为三个阶段：语文学阶段，即现代语言学诞生之前的漫长的译论发展阶段；结构主义阶段，以现代语言学（索绪尔的结构主义语言学）的建立为起点，以将语言学理论用于讨论翻译问题并作为翻译的理论基础为基本特征；解构主义阶段，以对结构主义的反叛为特征。

关于西方翻译理论流派的梳理，迄今中外学者已经做了大量的工作。从大的侧面，一般是将西方翻译理论体系分为两条线索，即文学线索（语文学派）和语言学线索（语言学学派）。这种分法基本得到了翻译界的公认。近现代以后各种流派纷呈。李文革将根茨勒、奈达及我国学者谭载喜、张南峰与陈德鸿等人关于西方翻译理论流派的划分进行了归纳，综合为七大流派，即翻译的文艺学派（包括20世纪前的文艺学派、20世纪的文艺学派、20世纪之前俄国的文艺学派和20世纪之后苏联的文艺学派等）、翻译的语言学派（包括布拉格学派、伦敦学派、美国结构学派、交际理论学派、德国功能学派、前苏联语言学派等）、翻译研究学派（包括早期翻译研究学派、多元系统学派、描写学派、文化学派、综合学派、后殖民主义翻译研究学派

等)、翻译的阐释学派、翻译的解构主义流派、美国翻译培训班学派、法国释意理论学派。

其实,西方这些林立的翻译流派之间的相互关系并非完全独立或对立的,而是互有交叉互有补充,其不同在于研究翻译理论的角度和出发点不同。而对这些流派的划分更是受到观察角度和观察目的的影响。

时至历史的今天,如若将西方翻译理论众流派作进一步的分析,我们可以将西方翻译理论的研究归纳为三种基本类型(以有别于传统的流派或学派概念),即文学类型的翻译理论研究、语言类型的翻译理论研究和人文类型的翻译理论研究。

文学类型的翻译理论研究将翻译视为文学艺术,从文学创作和再创作的角度以及美学视角对翻译行为进行研究,侧重于翻译标准及翻译方法的探讨;语言类型的翻译理论研究从语言结构及语言功能的角度对翻译进行研究,着重于原文与译文的对等或等值及语篇的语境等问题的探讨;人文类型(即社会文化类型)的翻译理论研究则从哲学、政治、思想、文化、社会、交际等背景的角度对翻译进行研究,聚焦于原作与译作、作者与译者的关系及地位以及对文本的解读等有关问题的探讨。如此,各种流派或学派便皆可归入上述三种类型的翻译理论研究,其关联关系亦昭然可见。

值得重视的是,翻译理论流派或类型的划分均应视为相对的,各种流派或类型均相互关联;更为重要的是,所有的流派或类型均以哲学、语言学、文学、心理学、人类学、社会学、民族学及符号学、信息学、认知学、美学、文化研究、计算科学等学科的相互接缘作为其理论基础。例如,语篇及语境理论既对语言类型的翻译理论研究具有指导作用,也对文学类型和人文类型的翻译理论研究具有指导作用。

综合上述各家关于历史分期见解之长及上述本书对翻译理论研究三种基本类型的分类,并结合本书的内容特点,本书拟将西方翻译理论的发展主要分为古典译学理论和现代译学理论两个时期。

古典时期的西方译学理论始于西塞罗、贺拉斯,大约止于18世纪末,主要是围绕早期的文学类型的翻译理论研究和早期的语言类型的翻译理论研究的展开。这两种翻译理论的研究都是历史悠久的研究类型,语言类型的翻译理论研究的发轫略迟,大约始于奥里利厄斯·奥古斯丁;文学类型的翻译理论研究的发轫则最早,从西塞罗和贺拉斯起便已拉开序幕。

人们的思想意识会受到历史环境的影响,翻译理论的研究亦是如此。因此,古典译学理论时期又分为古代早期西方译论、文艺复兴时期的西方译论和近代西方译论三个阶段。这一时期的译论特点是主要讨论应该主张直译的翻译方法还是意译的翻译方法、翻译的忠实问题及风格的传递等问题,翻译内容则主要以古希腊文化的翻译、宗教翻译及人文作品的翻译为主。这一时期的译论研究历经近两千年,为现代译论的发展奠定了坚实的基础。

现代时期的西方译学理论开始进入更深层次的研究阶段,大约始于19世纪初。其标志为:一是传统的文学类型和语言类型的翻译理论研究的纵深发展和领域的拓宽使得缓慢发展的西方译论终于有了突破性进展,流派纷呈,其理论更具系统性(相对于古典译论侧重实践性的特征而言,从本书所辑录的译论段落即可看出其端倪),跨学科性研究突飞猛进,即翻译理论的系统化、学科化和接缘化特征愈来愈明显;二是以翻译的“文化转向”为导向的人文类型的翻译理论研究的异军突起及迅猛发展(影响之大甚至导致了文化的“翻译转向”趋势——苏珊·巴斯奈特语,见本书巴斯奈特一节),以及“翻译研究”(Translation Studies)作为翻译学学科命题的正式提出。本书将19世纪的现代译论称为现代初期西方译论,而将进入20世纪之后的现代译论称为当代西方译论。西方译论在当代译论时期真正进入全面繁荣发展的阶段。

近年来,随着符号学、系统功能语言学、认知语言学、社会语言学、心理语言学、对比语言学、美学、结构主义、解构主义、多元系统论等研究的深入发展,语篇翻译、隐喻、体验哲学、句法迁移、语境层次、认知模式、关联理论等逐渐深入翻译理论领域之中,推动着翻译理论的发展。然而,如果据此便断言现在西方译论已经进入后现代阶段恐为期尚早。

西方翻译理论的发展总体来说处于不断加速的过程,而且加速的过程愈来愈快,这一点仅从本书的目录便可看出:时间跨度越来越短,而涌现的著名翻译家及译论流派则越来越多,译论的学科支撑基础愈显坚实雄厚。

翻译理论研究的未来发展问题也同样日益引起西方译论家的关注,成为现代西方译论一个非常重要的研究课题。本书在辑录西方译论时充分注意到这一点,也辑选了一些具有前瞻性的关于译论未来发展的见解,

特别是关于译学理论与翻译实践的关系问题，译学理论的现代化问题，译学学科的性质、建设与地位问题，专门译学理论人才的培养问题等。

可以肯定的是，未来翻译理论的发展除在翻译本体的研究方面会有更大的突破外，随着时代及现代科学技术的发展，在机器翻译方面也一定会迈出更大的步伐。目前的机器翻译研究可以说日新月异，但由于翻译理论及技术的制约，使其朝着完全实用可靠方向发展尚需相当的时日。在这方面，语料库的研究发展将发挥极其关键的作用。本书没有更多涉及机器翻译方面的内容，是因为仍期待着在翻译理论与机器翻译配合攻关方面能有新的实质性的突破。诚然，翻译是一门与语言、文化、美学、哲学等几乎所有学科紧密相关的艺术，机器是很难完全胜任这项工作的。但是，近年来计算机在写作、绘画等方面不是已经迈出了具有意义的第一步吗？相信随着翻译学与其他相关学科如计算机的进一步智能化及计算语言的发展，机器翻译实现重要的突破应该不会为期太远。

本书的编排在以历史发展线索为主的同时，也考虑到国别与地域的译论特点。国别与地域对于译论流派的形成有其内在原因（如低地国家和以色列），这一点毋庸赘言。因此在译论发展的某一历史阶段内，本书的编排则是以国别与地域为线索，以尽量“体现理论史的继承性和关联性”。

本书编写的一个特点是，在每一节中设有该节所要介绍述评的学者的“生平及重要译论”一栏，对其生平及重要译论做出简洁的系统介绍及评述，使读者对该学者身世、学术背景及译论有个大体清晰全面的了解。为便于读者阅读和查阅起见，特另辟“译论史稿辑要”一栏，将大部分所需介绍、评述的该学者的译论尽量集中于“译论史稿辑要”一栏。阅读时可在阅读“生平及重要译论”一栏的同时对照参阅“译论史稿辑要”一栏的内容。

由于上述编写特点，本书实际上相当于学习研究西方译学理论的一个导引，方便广大读者了解和借鉴西方众多的译学理论家及其译论。如果需要在某一方面深入探究，可继续参阅有关出版社出版的原著资料及有关的系统译介。

（三）

本书编写的目的之一在于方便国人学习研究西方译学理论，但最终目的则是通过借鉴西方译论，在全景式对西方重要译论史稿研究的基础上努力寻求中国译论与西方译论同步发展的共同理论平台，并在此基础上创立具有中国译学研究特征的翻译学派，以振兴中国的译学理论研究。

西方译学侧重微观研究，传统中国译学则侧重宏观研究，中西译论各有所长。引进西方最先进的各流派译学思想无疑是有益的借鉴，因为无论东方还是西方，翻译理论虽各有特点却都是相通的。这已为历史所证实。

东西方的译学研究既要各走各的路，也要相互借鉴。东西方各自的译学研究并非要争出孰高孰下。译学理论不应以高下相论，而只有发展的快慢之说。中国的译学理论研究要与西方共同发展，首先需要借鉴西方的研究成果。目前，这种借鉴研究已经初见成效。至于借鉴的目的，应该是东西方译学理论研究能够做到并驾齐驱，互相借鉴，互相弥补，共同繁荣，共同发展，这样有利于整个译学理论的健康快速发展。西方译学理论研究有其特点和优势，而中国由于在语言、文化等方面与西方的巨大差异性，在译学理论研究方面具有更大的潜在优势。中国译学理论研究离不开借鉴西方译学理论研究，中国译学理论发展的同时也是对西方乃至整个译学理论研究的贡献。很多西方著名译学理论家、语言学家都曾学习研究过汉语甚至曾亲自来华学习研讨翻译和语言理论并促进其理论的发展便是明证。

透视中国和西方的翻译发展史和译论发展史，中国译论与西方译论同步发展的共同理论平台可能已经显现在我们面前。也就是说，译学理论发展到历史的今天，已经又一次到达历史性跨越的新起点。

中国译论和西方译论曾长期走在相似的发展轨道上。不论是中国还是西方，都有着悠久的古典译论发展时期，译论的焦点都在于直译与意译、可译与不可译之争，绵延竟千年之久。

古罗马的西塞罗和贺拉斯相传是西方最早谈到翻译理论的，他们明确主张意译，坚决反对逐词死译。据考证，支谦和后秦僧人鸠摩罗什是中国古代最早谈到翻译理论的，他们同样明确主张意译，坚决反对逐词死译。西塞罗、贺拉斯与支谦、鸠摩罗什不谋而合，他们都是最早提出意译与直译（“文”与“质”）两种基

本翻译方法分野之说，而且都主张意译、反对逐词死译。

显然，不论中国还是西方，翻译理论的发端都是由反对逐词死译而主张按照意义来进行翻译开始的。东西方在译论发轫之初都要走在这样一条相似的轨道上，而且直译与意译、可译与不可译之争都延绵如此之久，这绝非偶然。古人在原始的翻译实践中逐渐意识到，所谓翻译，远非词语之间的转换这么简单，在语言的背后一定还存在一个更为神秘、更为复杂的背景性的东西。由于缺乏语言学、文化学、社会学、人类学、心理学、哲学等各种学科的理论支撑，古人只能感知到这个背景与意义有着直接的关系。

根据现代翻译理论，这个语言背后的神秘背景已经被揭示出来。它就是语境（context）。无可置疑的是，任何术语一旦进入包罗万象的翻译理论中，便不可避免地发生词义的“宽化”，即其内涵与外延均由原“窄式”定义向“宽式”定义发展。语境亦不例外。自人类学家马林诺夫斯基（B. Malinowski）正式提出语境概念并将语境概念分为情景语境和文化语境以来，弗斯（J. R. Firth）、韩礼德（M. A. K. Halliday）、莱昂斯（J. Lyons），海姆斯（D. Hymes），维索尔伦（J. Verschueren）及斯波伯和威尔逊（Sperber & Wilson）等或从情景语境的要素，或从语境的划分，或从语境内涵，或从语境变量，或从语用角度，或从语言使用的关联性角度出发对语境进行了不断的研究和论证。今日的译学理论已经赋予了“语境”更为深广的蕴涵。

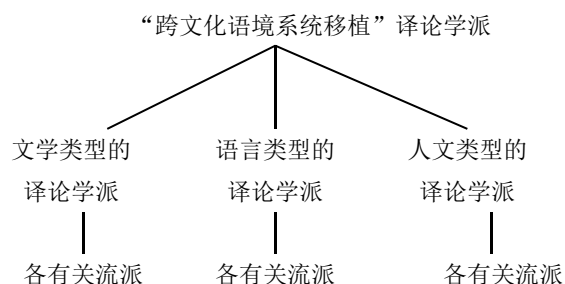
从跨文化角度来看，原作是个相当复杂的系统，包含有语汇与语法两个层次组成的结构性语篇文本系统和包含有语义与语境的语义—语境系统。因语义与语境的不可分性即语境对语义的依附性，在翻译中语义—语境系统可以简称为跨文化语境（context across cultures）系统。实际上，文本信息解读为跨文化语境的过程和跨文化语境系统解读为文本信息的过程属于转换过程，源语跨文化语境系统（第一语境系统）和译语跨文化语境系统（第二语境系统）之间的关系则属于移植（transplantation）关系。其实，古人可能早已意识到作为翻译实践的核心跨文化语境系统的存在及其移植对于翻译所具有的意义。中文“翻译”一词的更为正式的说法是“移译”，“翻”即“移”，即“译”是通过“移”来实现的，而英文 translate 一词的前缀 trans-的本意即为“转移、横跨”，可谓不谋而合。

纵观西方现代译论的种种流派，从语言学派、文艺学派、结构学派、解构主义学派、及至到交际理论学派、功能学派、阐述学派、释意理论学派、文化学派、描写学派、综合学派、多元系统学派等，其研究方向无一不指向跨文化语境系统，无不从微观的不同视角试图揭示出跨文化语境系统的真实面目。中国现代译论的种种学说，从“求真”说、“厥中”说、“神韵”说、“神味”说、“风韵”说、“丰姿”说及至“神似”说、“化境”说等，其研究方向也无一不指向跨文化语境系统，却是从宏观的视角试图揭示出跨文化语境系统的真实面目。一言以蔽之，中外不论是哪个学说或流派，他们在翻译理论上每前进一步，都是朝着揭开“跨文化语境移植”的神秘面纱迈进的一步。

移植是将某有机体移栽至另一异域环境中使之在新的异质环境中适应并生存下来，或使之融入异域环境以补足异质环境之不足。这恰是翻译目的之所在。首先，移植具有“适应并生存”的特征，即被移语义-语境系统经移植后需要适应移入语境的异域异质语言环境并运行于异域异质语言环境以发挥跨文化对话与交流的功能。其次，移植还具有“融入并补足”的特征，即移入语义-语境系统可以补足和丰富译语语言环境，这体现在语言环境的各个层次。这两个重要特征恰恰符合语言的两个特征相对应，即语言需要保持一定的规范性与纯洁性，同时语言也要与时俱进取得自身的不断发展。归化与异化、直译与意译等译学争论应该从语义-语境系统的移植学说得到根本的解释。因此，跨文化语境系统移植对翻译具有特殊意义。

迄今为止，语境的内涵始终未能得到真正的界定，而其外延却很大，有着广袤的领地，众多流派仍在不断开垦。但这些不同的流派是从不同的研究视角以不同的研究方法和研究手段对语境的概念作着不同的理解，导致其概念内涵的多变和不确定性。但众多流派对于语境外延的多视角研究也使得跨文化语境系统作为翻译的核心问题凸显出来。迄今，跨文化语境系统的构成（层次、要素等）以及跨文化语境系统的生成、转换、移植等机制都有待进一步深入考察和研究，有待未来新的跨文化语境系统移植学派的开拓与耕耘。

可以用下图来表示未来新的跨文化语境系统移植学派与各学派及流派的关系：（关于文学类型、语言类型和人文类型三种类型的翻译理论参阅上面前言第二部分的叙述）



跨文化语境系统移植具有强烈的文化特征与语言特征。具有中国译学研究特征的翻译学派也应该是以中西翻译理论共同平台为基础、以文化特征与语言特征的核心问题为研究重心的一个译学理论体系，因为中国译学研究特征是由中文语言环境特征所决定的，而中文语言环境决定了中国译学研究特征为以文化为主要背景，融文化学特别是美学与语言学为一体。

这里提出译学研究特征概念，说明不同国家不同民族的翻译理论研究可以有不同的特点。例如，德国可以说是功能学派的中心地带，以色列、低地国家可以说是多元系统论学派的中心地带。因此，一个区域的译论流派有着大体的共同特征，如俄国（前苏联）的文艺学派、美国的语言学派包括结构学派和交际理论学派等、美国的翻译培训班学派、法国的释意理论学派等。

跨文化语境系统移植学说符合中国译学研究特征，跨文化语境移植翻译学派的构建对于中国译学的发展具有特殊意义。实际上，跨文化语境移植学说在中国已经水到渠成，跨文化语境移植学派在中国的建立已经势在必行，而且应当非中国莫属。

中国有着博大精深的汉语语言文化传统和与西方同样源远流长的翻译史和译学理论发展史。愿中国自己的翻译学派早日出现在世界译学理论之林，中国的翻译学派和西方的翻译学派一定会建立起新型的互助互补关系，并对译学理论的发展做出中国应有的更大的贡献。

关于中国译学研究的走向正在引起人们越来越大的关注与探讨。可以说，现在是建立具有中国译学研究特征的翻译学派的时候了。当然，这个话题已经超出本书的范围，故不宜赘述。不过，还是愿以下面的话来结束本书的前言：相信随着中西方译论研究的共同发展，在“西学东渐”之风继续劲吹的同时，“中学西渐”之风亦会愈刮愈猛烈。而强劲的东渐“西学”之风与强劲的西渐“中学”之风交融之时，当是译学之大幸事，译学发展的繁荣辉煌将指日可待。

本书作为翻译专业用书，适合攻读翻译专业的研究生、外语专业本科生、外语教师及对翻译理论感兴趣的人士或专业从事翻译理论研究的人士参考。

本书所引译论中的斜体与黑体均系原文所加。

本书仅为解教学之眉急而抛出的一块铺路砖，不过聊尽心力而已。仓促之中，更由于资料和笔者学识所限，本书在编写、资料选辑整理等方面定很不尽人意，粗糙、疏漏、纰谬之处势所难免，尚祈专家学者批评、雅正。

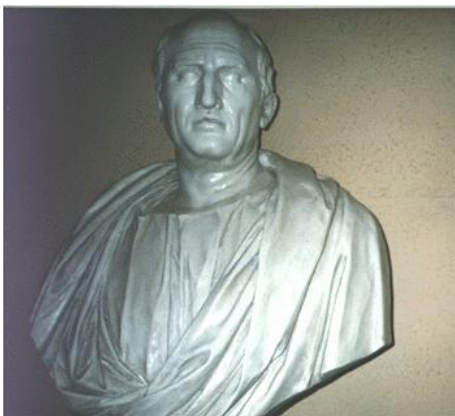
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上篇 古典西方译学理论

第一章 古代早期西方译论

1. （罗马）马尔库斯·图利乌斯·西塞罗 **Marcus Tullius Cicero**



Marcus Tullius Cicero, 106BC-43BC

生平及重要译论

马尔库斯·图利乌斯·西塞罗 Marcus Tullius Cicero, 106 BC-43 BC, 古罗马共和国末期政治家、哲学家、著名演说家、散文作家、律师和拉丁语言大师，西方翻译史上最早的翻译理论家之一。出生于古罗马东

南部的阿尔皮努姆（Arpinum）（今阿尔皮诺）一个骑士家庭，后其父将其送往罗马接受良好的教育，学习文学、哲学、法学等。于公元前 63 年出任罗马执政官。西塞罗在政治上主张贵族的“贤人政治”，后在“后三雄”与元老派之争中被安东尼杀害。

西塞罗在哲学上对古希腊的学院派、斯多噶派和伊壁鸠鲁派的伦理学持以折中思想并将这些思想同时引入古罗马。西塞罗的成就主要以散文为主，主要是演说辞和书信，历史上留传其书信达九百多封，其中《致阿提库斯书》十六卷和《致友人书》十六卷最为著名。其散文主要为演说辞，共留存有 58 篇，分为法庭演说和政治演说。其中最为著名的是其反对民主派喀提林的四篇演说和模仿狄摩西尼所作的反对安东尼的十四篇演说。他的演说讲究句法、词语和韵律，完全按照修辞程式进行组织，重在情感的打动，被称为“西塞罗式句法”，很为后人所推崇。著作主要有《论演说家》、《论共和国》、《论法律》、《布鲁图斯》、《演说家》、《图斯库卢姆谈话录》、《学园派哲学》、《论义务》等涉及演说、政治、修辞、哲学、伦理方面。

西塞罗曾翻译过许多古希腊政治、哲学、文学等方面的名著，如柏拉图（Plato, 427-347 B.C.）、色诺芬（Xenophon）、阿拉图斯（Aratus）等人的著作，以及荷马的《奥德赛》（*Odyssey*），为其在译学理论上开西方之先河积累了丰富的翻译实践经验，使其译论植根于坚实的翻译实践的基础之上。这也成为古代译论发展史的普遍特征。

历史上人们将西塞罗的翻译两分法译论称为西方译学理论的“源头”。

西塞罗的翻译理论无疑深受西方古典哲学的引发和影响，“取哲学之精华，又不囿于哲学权威的定论”¹。而西方翻译理论发展的一个特点便是与各历史时期的哲学及宗教、语言学、美学、自然科学有着不解之缘。

西塞罗的翻译理论体现了柏拉图的理念艺术观却又强调了理念的相对性。他说译者：

不应以僵化的理念（rigid reason）为原则来指导翻译中的模仿，及至损害原文的风貌。

西塞罗关于翻译的论述主要见于“论最优秀的演说家”（*De optimo genere oratorum*）和“论善与恶之定义”（*De finibus bonorum et malorum*）。前者实际上是西塞罗的一部译文集的序言。该译文集收录了埃斯西尼（Aiskhines）与狄摩西尼（Demosthenes）对于金冠事件所发表的针对对方的辩论演说，其中最为精彩的传世之论即下面的“译论史稿辑要”。该书是公元前 55 年写作完成的，其时西塞罗已 52 岁。书中所记载的辩论演说则应该是发生在公元前 91 年。

在这段译论中，西塞罗一语道出翻译中存在的两种基本方法：（参阅下面的“译论史稿辑要”）

埃斯西尼与狄摩西尼是两位最为雄辩的雅典人，我曾将他们针对对方所作的两次最为有名的演说译成拉丁文，我不是作为解释者，而是作为演说家进行翻译的；演说的精神不变，表达与修辞也未变；所有词语都符合我们语言的用法，但我并不认为有必要逐词翻译；我所保存的是语言的整体风格和感染力。因为，我认为没有必要像数钱币那样将原文词语逐个‘数’给读者，而是应当将原文的‘重量’‘称’给读者。²

两种基本方法即“解释者”式翻译和“演说家”式翻译，前者即词语对应、直译，后者即具有译者创作性质的意译或活译，而且西塞罗自称自己即为后者。当然，这里西塞罗只是使用一种比喻的说法，未及对直译与意译进行严格的定义。其所说“我不是作为解释者，而是作为演说家进行翻译的”、“我所保存的是语言的整体风格和感染力”已经成为后人论述翻译理论经常引用的代表性的名言。

西塞罗将翻译的基本方法分为两类，而且其本人极力反对逐词对译（render word for word）的死译方法而主张活译，即在忠实于源语的前提下译文应尽可能符合译入语的规范，其理论依据则是语言都是反映人的思想的，语言的修辞手段也是相通的。因此原文的“意义”可以在符合“普遍的风格特征”（genus）和符合“本国语的运用习惯”（*verbis ad nostram consuetudinem aptis*）的基础上来体现。西塞罗在其另一段精彩文字中更为直截了当地表述了这个观点：

雄辩力存在于词语与思想之中。因此，我们必须求得纯洁而准确的表达，即所用的拉丁语要好。”³

这里，西塞罗明确提出译作与原作的关系和译者应该如何使用译入语的问题。西塞罗认为，好的译文应该保持译文与原文的思想的统一，而为达此目的，做出适当的语言的加工是必要的。他批评李维乌斯·安德罗尼库斯翻译的《奥德赛》很幼稚、缺乏艺术性。

西塞罗是有据可考的在西方翻译历史上正式提出翻译的两种基本方法这一重大翻译理论问题以及译作与原作的关系问题的第一人，从此正式揭开西方译论史上关于直译与意译的两种基本翻译方法以及关于翻译标准的问题的绵延久远的历史之争的序幕。

译论史稿辑要：

(1) But as there was a great error as to the question, what kind of eloquence that was, I have thought that it became me to undertake a labour which should be useful to studious men, though superfluous as far as I myself was concerned. For I have translated the most illustrious orations of the two most eloquent of the Attic orators, spoken in opposition to one another: Aeschines and Demosthenes. And I have not translated them as a literal interpreter, but as an orator giving the same ideas in the same form and mould as it were, in words conformable to our manners; in doing which I did not consider it necessary to give word for word, but I have preserved the character and energy of the language throughout. For I did not consider that my duty was to render to the reader the precise number of words, but rather to give him all their weight. And this labour of mine will have this result, that by it our countrymen may understand what to require of those who wish to be accounted Attic speakers, and that they may recall them to, as it were, an acknowledged standard of eloquence. (本书注：本段落的一翻译版本见下面的“译论史稿辑要”之2)

[...]

For I do not think that anything can be imagined more divine than that orator. Now this labour of mine is found fault with by two kinds of critics. One set says, "But the Greek is better." And I ask them whether the authors themselves could have clothed their speeches in better Latin? The others say, "Why should I rather read the translation than the original?" Yet those same men read the Andria and the Synephebi; and are not less fond of Terence and Caecilius than of Menander. They must then discard the Andromache, and the Antiope, and the Epigoni in Latin. But yet, in fact, they read Ennius and Pacuvius and Attius more than Euripides and Sophocles. What then is the meaning of this contempt of theirs for orations translated from the Greek, when they have no objection to translated verses?

[...]

If then, as I trust, I have given such a copy of their speeches, using all their excellencies, that is to say, their sentiments, and their figures, and the order of their facts; adhering to their words only so far as they are not inconsistent with our customs, (and though they may not be all translated from the Greek, still I have taken pains that they should be of the same class,) then there will be a standard to which the orations of those men must be directed who wish to speak Attically. But I have said enough of myself--let us now hear Aeschines speaking in Latin.

---- Cicero, *Deoptimo genere oratorum*^[3]

(2)

But since there was a complete misapprehension as to the nature of their style of oratory, I thought it my duty to undertake a task which will be useful to students, though not necessary for myself. That is to say I translated the most famous orations of the two most eloquent Attic orators, Aeschines and Demosthenes, orations which they delivered against each other. And I did not translate them as an interpreter, but as an orator, keeping the same ideas and the

forms, or as one might say, the "figures" of thought, but in language which conforms to our usage. And in so doing, I did not hold it necessary to render word for word, but I preserved the general style and force of the language. For I did not think I ought to count them out to the reader like coins, but to pay them by weight, as it were. The result of my labour will be that our Romans will know what to demand from those who claim to be Atticists and to what rule of speech, as it were, they are to be held.

---- Cicero, *De optimo genere oratorum*⁴

(3)

I decided to take speeches written in Greek by great orators and to translate them freely, and I obtained the following results: by giving a Latin form to the text I had read I could not only make use of the best expressions in common usage with us, but I could also coin new expressions, analogous to those used in Greek, and they were no less well received by our people as long as they seemed appropriate.

---- Cicero, *De oratore* ("On the orator")⁵

(4)

Yet it will not be necessary to render the Greek term by means of a Latin word that is a calque of it, as is the custom of translators who do not know how to express themselves, when we already have a more common word that says the same thing. You could even do what I usually do: where the Greeks have one word I use more than one if I can't translate otherwise, but that does not mean that I should not have the right to use a Greek word whenever Latin is unable to offer an equivalent.

---- Cicero, *De finibus bonorum et malorum* ("On the Limits of Good and Evil")⁶

(5)

If I render word for word, the result will sound uncouth, and if compelled by necessity I alter anything in the order or wording, I shall seem to have departed from the function of a translator.

---- Cicero, *De optimo genere oratorum*⁷

(6)

I translate the ideas, their forms, or as one might say, their shapes; however, I translate them into a language that is in tune with our conventions of usage (*verbis ad nostram consuetudinem aptis*). Therefore, I did not have to make a word for word translation but rather a translation that reflects the general stylistic features (*genus*) and the meaning (*vis*) of the foreign words.

---- Cicero, *De optimo genere oratorum*⁸

2.



(罗马) 贺拉斯 Horace

Quintus Horatius Flaccus, 65BC-8BC
(Museum of Fine Arts Boston)

生平及重要译论

昆图斯·贺拉提乌斯·弗拉库斯 Quintus Horatius Flaccus，通称贺拉斯 Horace（又译霍勒斯），65-8 B.C. 古罗马奥古斯都时期著名政治家、抒情和讽刺诗人、文艺批评家、翻译家。父亲是获释的奴隶。贺拉斯幼年被父亲送往罗马和雅典求学，师从文法家奥尔比利乌斯等人，崇拜希腊文化。贺拉斯在内战时期参加过共和派军队曾任军团司令官，共和派失利后他“弃盾而逃”（《歌集》，2,7,9-10）。帝国后参加了奥古斯都亲信迈克纳斯组织的文学集团并得到迈克纳斯的庇护，死后也葬于迈克纳斯的墓旁。

贺拉斯是古希腊文化转向古罗马文化的关键人物。贺拉斯与维吉尔、奥维德并称为帝国初期的著名诗人。贺拉斯生前亲自整理发表了其作品，因此几乎没有佚失。贺拉斯早期文艺作品有《长短句》（*Epodes*）一卷共十七首和六步诗行诗集《闲谈集》（又名《讽刺诗集》*Sermones*）二卷共十八首。他的后期作品抒情诗集《歌集》（又名《颂歌集》*Carmina*）四卷百余首和《诗简》（*Epistulae*）二卷共二十三首以及《讽刺诗》达到艺术的巅峰。《诗简》内容丰富，主要为文艺评论，其中最为译界人士推崇的当是《书简》中的《诗艺》（*Ars Poetica*）。

《诗艺》（又名《致皮索兄弟书简》）也是贺拉斯的主要翻译论著。《诗艺》除了论述写诗问题即评论亚里士多德的《诗学》之外，还论述了有关翻译的问题。下面“译论史稿辑要”中的一段即是他在《诗艺》中关于翻译经验的精彩论述。

贺拉斯本人翻译过大量古希腊作品。贺拉斯比之西塞罗更加明确无误地表达其反对逐词对译和墨守陈规的观点：不要作逐词死译的译者和原文的模仿者，“逐词死译只能是作茧自缚而无法自拔”。贺拉斯坚决主张“意义对应意义（sense for sense）”，其名句

忠实原作的译者不会逐词死译⁹

更是成为人们乐于引用的名言。（参阅下面的“译论史稿辑要”）

例如，在译荷马史诗时，与其译成那些人们从未用过的无人能晓的东西，倒不如将伊利亚特诗篇搬上舞台使大众都能够接受。当然，搬上舞台是需要经过改编的过程的，同时必须保持原作的艺术功能。死译与活译，不仅仅是个翻译方法的问题，同时“他们两人（指西塞罗和贺拉斯：本书注）对翻译的讨论”也是在作为译者的“诗人两个主要功能的更大背景上展开的，即人类获取和传播智慧的共同责任的功能以及使诗歌能够成为诗的专门艺术的功能”。¹⁰

值得指出的是贺拉斯、西塞罗等古罗马翻译家之所以主张灵活的翻译方法，一则出自其实用目的：翻译为我所用，即拿来希腊文化并非要亦步亦趋地顶礼膜拜，而是为丰富和扩张罗马文化的影响服务；再则是由于当时翻译理论尚处于萌生的状态，而这些翻译理论家本身多来自译者甚至是著名文学家，他们将文学创作与翻译视为等同的艺术行为是很自然的，因而他们往往皆从文学创作的角度来认识和论述翻译，从而导致了“翻译中有创作、创作中有翻译”这样一种情况。¹¹其后的昆提利安更是将这种认识推向更高峰。

译论史稿辑要:

(1)

It is difficult to develop everyday themes in an original way, and you would do better to present the *Iliad* in dramatic form than if you were the first to produce unknown materials never used before on stage. Material in the public domain will never become your private property if you do not waste your time going around in worn-out circles, and do not be a literal translator, faithfully rendering word for word [*nec verbo verbum curabis reddere / fidus interpres*] from the Greek, and do not be merely an imitator thereby getting yourself into a hole from which either good conscience, or the laws of the work itself, will forbid you to climb out.

---- Horace, *Ars Poetica* ("Art of Poetry")¹²

(2)

Do not worry about rendering word for word, faithful translator, but render sense for sense.

---- Horace, *Epistula ad Pisones* ("Letter to the Pisones", also known as the *Ars Poetica*)¹³

(3)

A theme that is familiar can be made your own property so long as you do not waste your time on a hackneyed treatment; nor should you try to render your original word for word like a slavish translator, or in imitating another writer plunge yourself into difficulties from which shame, or the rules you have laid down for yourself, prevent you from extricating yourself.

---- Horace, *On the Art of Poetry*¹⁴

(4)

The iambic yields only the odd places to the spondee, the first, third, and fifth, but preserves the second, fourth, and sixth for itself. This mixture renders the verse more noble, and it may be still trimeter, the second foot being iambic. The comic poets, better to disguise their verse, and make it appear more like common conversation, inverted the tragic order, and put spondees in the even places.

...

If you offer to the stage any thing unattempted, and venture to form a new character; let it be preserved to the last such as it set out at the beginning, and be consistent with itself. It is difficult to write with propriety on subjects to which all writers have a common claim; and you with more prudence will reduce the *Iliad* into acts, than if you first introduce arguments unknown and never treated of before. A public story will become your own property, if you do not dwell upon the whole circle of events, which is paltry and open to every one; nor must you be so faithful a translator, as to take the pains of rendering [the original] word for word; nor by imitating throw yourself into straits, whence either shame or the rules of your work may forbid you to retreat. Nor must you make such an exordium, as the Cyclic writer of old: "I will sing the fate of Priam, and the noble war." What will this boaster produce worthy of all this gaping? The mountains are in labor, a ridiculous mouse will be brought forth. How much more to the purpose he, who attempts nothing improperly "Sing for me, my muse, the man who, after the time of the destruction of Troy, surveyed the manners and cities of many men." He meditates not [to produce] smoke from a flash, but out of smoke to elicit fire, that he may thence bring forth his instances of the marvelous with beauty, [such as] Antiphates, Scylla, the Cyclops, and Charybdis. Nor does he date Diomedes's return from Meleager's death, nor trace the rise of the Trojan war from [Leda's] eggs: he always hastens on to the event; and hurries away his reader in the midst of interesting circumstances, no otherwise than as if they were [already] known; and what he despairs of, as to receiving a polish from his touch, he omits; and in such a manner forms his fictions, so intermingles the false with the true, that the

middle is not inconsistent with the beginning, nor the end with the middle. Do you attend to what I, and the public in my opinion, expect from you [as a dramatic writer]. If you are desirous of an applauding spectator, who will wait for [the falling of] the curtain, and till the chorus calls out "your plaudits"; the manners of every age must be marked by you, and a proper decorum assigned to men's varying dispositions and years. The boy, who is just able to pronounce his words, and prints the ground with a firm tread, delights to play with his fellows, and contracts and lays aside anger without reason, and is subject to change every hour. The beardless youth, his guardian being at length discharged, joys in horses, and dogs, and the verdure of the sunny Campus Martius; pliable as wax to the bent of vice, rough to advisers, a slow provider of useful things, prodigal of his money, high-spirited, and amorous, and hasty in deserting the objects of his passion. [After this,] our inclinations being changed, the age and spirit of manhood seeks after wealth, and [high] connections, is subservient to points of honor; and is cautious of committing any action, which he would subsequently be industrious to correct. Many inconveniences encompass a man in years; either because he seeks [eagerly] for gain, and abstains from what he has gotten, and is afraid to make use of it; or because he transacts every thing in a timorous and dispassionate manner, dilatory, slow in hope, remiss, and greedy of futurity. Peevish, querulous, a panegyrist of former times when he was a boy, a chastiser and censurer of his juniors. Our advancing years bring many advantages along with them. Many our declining ones take away. That the parts [therefore] belonging to age may not be given to youth, and those of a man to a boy, we must dwell upon those qualities which are joined and adapted to each person's age.

--- Horace, *The Art of Poetry: To the Pisos*¹⁵

(5)

If a painter chose to set a human head on the neck and shoulders of a horse, to gather limbs from every animal and clothe them with feathers from every kind of bird, and make what at the top was a beautiful woman have ugly ending in a black fish's tail--when you were admitted to view his picture, should you refrain from laughing, my good friends? Believe me, Pisos, a book will be the very likeness of such a picture in which, like a sick man's dreams, the images shall be impossible, in the sense that no two parts correspond to any one whole.

"Poets and painters," you say, "have always had an equal license in dating invention."

We know it: this liberty we claim for ourselves and give again to others; but it does not go to the extent that savage should mate with tame, that serpents should couple with birds, or lambs with tigers.

Often on a work of grave purpose and high promises is tacked a purple patch or two to give an effect of color, when "Dian's grove and altar, "and the water "that round the fair fields lingers as it runs," or the fiver Rhine, or the rainbow is being described. But at the moment, to tell truth, there is no place for them. Just so you very possibly can draw a cypress: but what is that, if the subject which you are paid to paint be a man swimming for his life from a shipwreck? It was a wine jar that was to be molded: as the wheel runs round why does it come out a pitcher? In a word, let your work be what you will, provided only it be uniform and a whole.

Most of us poets, O father and sons worthy of your father, are led into wrong by a vision of right. It is when I am struggling to be brief that I become unintelligible. I am aiming at smoothness, and I fail of sinew and spirit. One promises the grand style, and is bombastic; another, oversafe and fearful of the storm, creeps along on the ground. So it is in seeking to give to a single subject a variety which is beyond nature that a man comes to paint a dolphin in a forest picture, a wild boar in a sea-piece. Effort to avoid a fault may lead astray, if it be not guided by art.

You will come across in the quarter of the Aemilian training school a worker in bronze of the lowest rank who will mold nails or imitate the soft curves of hair, but who is unhappy when his work is summed up, because he has no idea of representing a whole. I should no more take him for my model, if I were meaning to write a poem, than I should desire to be remarkable for black eyes and black hair while I had a crooked nose.

Choose a subject, ye who write, equal to your strength; and ponder long what your shoulders will refuse, what they

will be strong enough to bear. If a man's subject be chosen effectively, neither ready speech will fail him nor clearness of order.

Of order this will be the excellence and beauty, if I am not mistaken, that, in a poem for which the world is looking, one say at this moment what at this moment needs saying; put off the mass of things and let them be for the present; love this, despise that.

In the same way, if you are nice and careful in combining your words, you may gain the finest effects in language by the skillful setting which makes a well-known word new. If so be there are abstruse things which absolutely require new terms to make them clear, it will be in your power to frame words which never sounded in the ears of a cinctured Cethegus, and free pardon will be granted if the license be used modestly. New words and words of yesterday's framing will find acceptance if the source from which they flow be Greek, and if the stream be turned on sparingly. Think you that there is any license which Romans will grant to Caecilius and Plautus, and then refuse to Virgil and Varius? Why should you grudge even such a one as myself the right of adding, if I can, something to the store, when the tongue of Cato and of Ennius has been permitted to enrich our mother speech by giving to the world new names for things? Each generation has been allowed, and will be allowed still to issue words that bear the mint-mark of the day. As the forest changes its leaves with each year that runs swiftly by--those that came first drop off -- so with words, the elder race dies out; like a young generation, the new ones bloom and thrive. Death claims us and all that belongs to us. Whether Neptune's sea taken into the bosom of the dry land gives fleets a shelter from the north winds -- a work worthy of kings -- or swamp, long a waste where boats could paddle, feeds neighboring cities and feels the weight of the plow; or river has changed the course which damaged the corn lands and learnt a better path; all the work of man's hands must perish. Think not then that the words he says can keep place and power undecayed. Many a term which has fallen from use shall have a second birth, and those shall fall that are now in high honor, if so usage shall will it, in whose hands is the arbitrament, the right and rule of speech.

[...]

It is a hard task to treat what is common in a way of your own; and you are doing more rightly in breaking the tale of Troy into acts than in giving the world a new story of your own telling. You may acquire private rights in common ground, provided you will neither linger in the one hackneyed and easy round; nor trouble to render word for word with the faithfulness of a translator; nor by your mode of imitating take the "leap into the pit" out of which very shame, if not the law of your work, will forbid you to stir hand or foot to escape; nor so begin as the old cyclic writer: "Of Priam's fate and glorious war I'll sing." What will this high promise give us that will not put to shame such mouthing? Mountains will be in labor, the birth will be a single laughable little mouse. How much more wisely the poet who begins with no foolish effort: "Of him, my Muse, who, when Troy's ramparts fell,/Saw many cities and men's manners, tell." His thought is not to give flame first and then smoke, but from smoke to let light break out. He means by and by to bring from his store things striking and marvelous, Antiphates and Scylla, the Cyclops and Charybdis. He does not begin a "Return of Diomedes" from the death of Meleager, nor the war of Troy from the twin eggs. He ever hastens to the issue, and hurries his hearers into the midst of the story, just as if they knew it before; and what he thinks his touch will never turn to gold, that he lets alone; and while he gives his imagination free play, he so mingles false with true, that the middle never strikes a different note from the beginning, nor the end from the middle.

[...]

The aim of the poet is either to benefit, or to muse, or to make his words at once please and give lessons of life. When you wish to instruct, be brief; that men's minds may take in quickly what you say, learn its lesson, and retain it faithfully. Every word that is unnecessary only pours over the side of the brimming mind. Fictions intended to please must keep as near as may be to real life. The plot must not ask out credence for anything that it chooses: it must not draw a live boy from the belly of a Lamia who has just dined on him. The centuries of the elders hunt off the stage

what lacks profit. The proud Ramnes will have nothing to say to dry poems. He has gained every vote who has mingled profit with pleasure by delighting the reader at once and instructing him. This is the book that makes the fortune of the Sosii, that crosses the seas, and gives a long life of fame to its author.

Yet there are faults which we can gladly pardon. The string will not always sound the note which hand and will intend, but when you listen for a flat often gives to your ear a sharp; nor will the bow always hit what it threatens to hit. But where a poem has many shining beauties I am not the man to be offended by a few spots which carelessness has let fall on it or human weakness has failed to guard against. What is the truth? Just as a copying clerk if he always makes the same mistake, though he has been warned, is without excuse; as the harp-player is laughed at who always plays the same false note; so the poet who is always halting is to me a second Choerilus, in whom something good now and then causes a smile of surprise. But if Homer, usually good, nods for a moment, I think it shame; and yet it may well be that over a work of great length one should grow drowsy now and then.

As with the painter's work, so with the poet's: one piece will take you more if you stand close to it; another at a greater distance. This loves a dark corner, that will desire to be seen in a strong light, for it fears not the critic's keenest taste. This pleased but once; that will be asked for ten times and always please.

---- Horace, *Art of Poetry*¹⁶

3. (罗马) 马尔库斯·法比乌斯·昆提利安 Marcus Fabius Quintilian



Marcus Fabius Quintilianus, 35-96AD

生平及重要译论

马尔库斯·法比乌斯·昆提利安(又译昆体良、昆蒂良、金蒂连)， Marcus Fabius Quintilianus (又称 *Quintilian*)， 35-96 A.D.， 出生于西班牙， 父亲为罗马修辞学教师。昆提利安在罗马受过良好教育， 自己也开办过修辞学校， 还曾任多弥提安皇帝侄孙的教师， 被多弥提安皇帝授予执政官的荣誉称号。小普林尼和塔西陀都曾师从昆提利安。

昆提利安是古罗马早期著名修辞学家、文艺评论家、翻译家和译论家， 其最为重要的著作为《演说术原理》， 昆提利安将其赠与友人维克托里乌斯·马尔克卢斯。《演说术原理》发表于公元 93 年至 96 年间， 是应

朋友相邀而作，是一部关于演说家教育问题的百科全书式的著作，内容涉及演说教育的指导方针、演说的风格和流派、演说辞的结构、演说的技巧、修辞学理论和文艺理论等，是古罗马文艺理论方面的一部非常重要的著作，至今保存完好。全书十二卷，第一卷主要论述家庭教育和初等教育，第二卷论述修辞学教育，第三卷至第十一卷分别论述修辞学理论各方面，其中第三至第六卷论述选材（*inventio*）问题，第七卷论述安排（*dispositio*），第八至第十卷论述章法（*elocutio*），第十一卷论述记忆和演说（*memoria et pronuntiatio*），最后一卷则是关于理想的演说家的论述。从《演说术原理》一书可以看出，昆提利安极为推崇西塞罗，推崇古典主义，推崇演说教育。

昆提利安继承了西塞罗和贺拉斯的有关直译与意译基本翻译方法和译作与原作关系的翻译思想，并将其进一步发展。同古罗马其他译论家一样，昆提利安也不例外地从翻译实践家和文学作家的角度对翻译理论进行探讨，从而不可避免地要将翻译与文学创作结合起来进行探究。对此，昆提利安说过的一句名言是：（参阅下面的“译论史稿辑要”1和2）

我所说的翻译，并不仅仅是意译，而且还指在表达同一意思上与原作进行搏斗和竞争。¹⁷

昆提利安在这里无误地表明了翻译也是创作，这种创作不但必须与原作相媲美，甚至翻译创作还可以与原作者“竞争”甚至超过原作的创作，但不可“在实质上多少有损于意义”（*cause some meaning-loss in substance, from Quintilian: Institutio oratoria*）。

译论史稿辑要：

（1）

Neque ego paraphrasin esse interpretationem tantum volo, sed circa eosdem sensus certamen atque aemulationem.

---- Quintilian, *De institutione oratoria*¹⁸

（2）

I do not want a translation to be a paraphrase, but rather a struggle with and emulation of the original which renders the same sense.¹⁹

（3）

And the reason for this exercise is easy to find. The Greek authors are blessed with an abundance of ideas and they have put an infinity of art into their eloquence. When we translate we are allowed to avail ourselves of the best words, since all the words we use are our own. As for the figures of speech, those chief ornaments of discourse, we are also forced to imagine a great many of them and to vary them, since the way in which the Roman express themselves generally differs from that of the Greeks.

---- Quintilian, *Institutio oratoria* (“Guide to Rhetoric” or “The Orator's Education”)²⁰

（4）

[in] the metaphor...a noun or verb is transferred from the place to which it properly belongs to another where there is no literal term or the transferred is better than the literal.²¹

（5）

When we translate from Greek we should not follow that language in all things, especially not when they want to use their words to designate our things.²²

4. (罗马) 盖·普利尼·塞昆杜斯 Gaius Ceacilius Plinius Secundus



Renaissance statue of
Pliny the Younger (Como)

生平及重要译论：

盖·普利尼·塞昆杜斯 Gaius Ceacilius Plinius Secundus，通称小普利尼（也有称小普林尼）(Pliny the Younger)，62-115AD，出生于古希腊山北高卢的科摩姆一个贵族家庭，因其舅父无子，便自小过继给其舅父、著名自然史家老普利尼（Pliny the Elder）。公元 79 年老普利尼死于维苏威火山爆发，小普利尼便成为老普利尼的继承人。小普利尼受过良好教育，曾作过昆提利安的学生，学习过修辞学和哲学；仕途也非常顺利，作过裁判官（94-96A.D.）、执政官（100A.D.）和小亚细亚的比提尼亚总督（governor of Bithynia-Pontus，109-111A.D.）。

小普利尼流传于后世的主要著作是《颂辞》和《书简》。《颂辞》是其担任执政官时在元老院发表的演说辞，因为主要是对皇帝图拉真的谢恩致辞，所以又称为《图拉真颂》，成为后人模仿的典范。《书简》共十卷，前九卷为 247 封致友人的书信，第十卷为其担任比提尼亚总督时给图拉真皇帝的七十封信以及图拉真皇帝的五十一封回信。

小普利尼的每一封信谈论一个问题。这些书信涉猎很广，包括闲谈、旅行、文学、诉讼、政治等等，其中与文学有关的大约有四十余封，可以说是其书信的精华。在关于文学的书信中，小普利尼谈论并描述了古罗马始于共和制末期的诗人和作家公开朗诵自己作品的朗诵聚会，对于这种有益于文学批评和文学赏析的文学形式小普利尼大加推崇。关于演说风格问题，小普利尼认为“质朴”风格是最受人欢迎的，主张自然和简朴，主张“使演说辞的风格多变化”。²³有人批评他的诗歌“不雅”，对此他曾说过一句令人深思的话：

诗人允许疯狂（*poetis furere concessum est.*）。²⁴

小普利尼对翻译的作用给予了积极的评价和肯定，认为翻译可以丰富语言促进语言的发展。正如其在下面的“译论史稿辑要”中所述，翻译对于语言的发展不仅是在词汇方面，而且也在文体风格方面丰富了语言的表现力，在这一点上，译者的作用是一般读者所无法取代的。这里，小普利尼谈及的已经不仅仅限于翻译中的译者的角色或地位，即译者如何忠实于原作的问题，而是关于译者对于语言、文化及教育的贡献问题。这样明确地提出译者在语言发展方面的作用，确实是难能可贵的。

译论史稿辑要：

(1)

It is very beneficial to translate from Greek into Latin and from Latin into Greek, and people keep advising us to do so. This exercise provides you with a vocabulary both rich and apt, and with an abundance of stylistic figures and resources that can be used for further development. Moreover, the imitation of excellent models engenders an equally felicitous facility of invention. Again, beautiful features of the text that may have escaped the reader's attention will not be missed by the translator. In this way you will acquire both taste and critical sense.

---- Plinius, *Epistolae* ("Letters")²⁵

(2)

I began to plead in the Forum in my nineteenth year, and it is only just now that I begin to see darkly what an orator ought to be. What would happen if I were to take on a new task in addition to this one? Oratory and history have many things in common, but they also differ greatly in the points that seem common to both. There is narrative in both, but of a different type; the humblest, meanest and most common-place subjects suit the one; the other requires research, splendour, and dignity. In the one you may describe the bones, muscles, and nerves of the body, in the other brawny parts and flowing manes. In oratory one wants force, invective, sustained attack; in history the charm is obtained by copiousness and agreeableness, even by sweetness of style. Lastly, the words used, the forms of speech, and the construction of the sentences are different. For, as Thucydides remarks, it makes all the difference whether the composition is to be a possession for all time or a declamation for the moment; oratory has to do with the latter, history with the former.

Hence it is that I do not feel tempted to hopelessly jumble together two dissimilar styles which differ from one another just because of their great importance, and I am afraid I should become bewildered by such a terrible medley and write in the one style just where I ought to be employing the other. For the meantime, therefore, to use the language of the courts, I ask your gracious permission to go on with my pleading. However, do you be good enough even now to consider the period which it would be best for me to tackle? Shall it be a period of ancient history which others have dealt with before me? If so, the materials are all ready to hand, but the putting them together would be a heavy task. On the other hand, if I choose a modern period which has not been dealt with, I shall get but small thanks and am bound to give serious offence. For, besides the fact that the general standard of morality is so lax that there is much more to censure than to praise, you are sure to be called niggardly if you praise and too censorious if you censure, though you may have been lavish of appreciation and scrupulously guarded in reproach. However, these considerations do not stay me, for I have the courage of my convictions. I only beg of you to prepare the way for me in the direction you urge me to take, and choose a subject for me, so that, when I am at length ready to take pen in hand, no other overpowering reason may crop up to make me hesitate and delay my purpose. Farewell.

---- Plinius, *Letters of Pliny the Younger*²⁶

5. (罗马) 奥里利厄斯·奥古斯丁 Aurelius Augustinus



Aurelius Augustinus, 354-430AD

生平及重要译论：

奥里利厄斯·奥古斯丁 Aurelius Augustinus（即圣奥古斯丁 Saint Augustine），354.11.13-430 A.D. 古罗马帝国末期著名宗教作家、基督教神学家、哲学家、译论家和拉丁教义的主要代表。出生于北非塔加斯特（Tagaste, now Souk-Ahras, about 60 miles from Bona, ancient Hippo-Regius）一个罗马人宗教家庭，因此又称 Augustine of Hippo。奥古斯丁曾在迦太基、罗马、米兰受到过良好教育。公元 387 年皈依基督教并主要从事神学和哲学的研究，返回北非后从事神父工作，后成为希波主教，是中古世纪最博学和最具影响力的基督教神学家和哲学家，其时被称为圣人，“最后一名罗马人”，其著作也被视为等同于《圣经》。

奥古斯丁曾做过修辞学教师和诗歌评论家，对美和艺术有着深刻独到的见解，著有《论美与适合》（已失传）、《地之都》、自传体《忏悔录》（*Confessions*），还校订过拉丁文《圣经》译本。

奥古斯丁有关翻译的论述主要见于《论基督教教育》和对《旧约·诗篇》的诠释以及一些书信之中。

奥古斯丁对译论的贡献主要是在两个方面。一方面是其提出译作读者问题和翻译的风格问题。翻译风格无论朴素、典雅还是庄严均应取决于读者的需求，即启蒙作品的翻译需用朴素的风格，颂扬上帝的作品需用典雅的风格，而规劝和引导性作品则需用庄严的风格。

奥古斯丁还对《圣经》的翻译有过论述，认为《圣经》的翻译需要依靠“上帝的启示”和依靠“灵感”，将前人关于《圣经》的翻译理论又向前推进了一步。他说：

如果有些话在希伯来文本中有而在希腊文本中没有，那么，这就是因为圣灵有意只让先知们（即原作者）而不让译者说这些话。反之，当希腊文本中出现希伯来文本中所不曾有的东西时，则是因为上帝选择了那 72 名译者，而不选择原作者说的那些东西，以此表示他们同样是先知。²⁷

奥古斯丁对译论的另一突出贡献是在对古代语言符号学说尤其是亚里士多德的符号学说的研究方面。他认为，翻译应考虑“所指”、“指能”和“译者的“判断”三者的相互关系。他认为翻译的基本单位是词语，应从译文与原文间词义的对等来衡量翻译的对等。奥古斯丁对符号理论的研究具有历史的开拓性，如果说是西方翻译理论语言学派的渊源也并不为过，为后世哲学家语言学家如索绪尔等所借鉴。

古罗马是西方翻译理论的源头。从西塞罗到贺拉斯又到奥古斯丁，这些西方翻译理论的鼻祖和奠基人在始创了西方翻译理论的同时，开拓了西方译学理论发展的两条泾渭分明的线索，即文艺学派和语言学派。他们或倾向文艺学派，或倾向语言学派，或二者兼具，从此开始了西方翻译史上愈演愈烈的流派之争，也从此开始了关于直译与意译两种不同的翻译基本方法的争论，构成西方译论发展史的重要内容之一。

史料图片选辑：



Augustine of Hippo

译论史稿辑要：

(1)

When one of our brothers, a bishop, had introduced the use of your translation in the church of which he is the pastor, the congregation hit upon a passage in the prophet Jonah which you translated in a very different way from the way in which it had established itself in the mind and memory of all, and the way it has been sung for such a long time. Great unrest arose among the people, especially since the Greeks protested and began to shout about falsification in a vituperative manner. As a result the bishop -- it happened in the town of Onea -- saw himself forced to rely on the Jews who lived in the city to clear up the matter. But they replied, either out of ignorance or out of malice, that the Hebrew manuscripts contained exactly what was also to be found in the Greek and Latin manuscripts. And then what? To escape from great danger the man was forced to correct himself, as if he had made a mistake, since he did not want to lose all the people in his church.

---- Saint Augustine, *Letter to Sain Jerome*²⁸

(2)

Knowledge of foreign languages is necessary because translations of the same text tend to differ from each other, as I said before. The number of people who were able to translate the scriptures from Hebrew into Greek can easily be counted, but those who translated them from Greek into Latin are without number. When anybody stumbled on a Greek manuscript in the first days of the faith, he would begin to translate it even if he thought his command of both languages was limited.

The real sense, which many translators try to express according to their personal judgment and ability, is not firmly established when it is not established in the original language, since a translator very often misses the real sense when he is not very learned. That is why you should try to learn the languages from which the scriptures were translated into Latin, or you should at least stick to the work of such translators who have rendered their own original word for word. Such literal translations are insufficient, of course, but they can serve to show whether or not the translations of those who want to translate more according to the sense than according to the way the words are phrased are correct. For often not just individual words are translated, but also syntactical features that are simply not acceptable in Latin usage, if one wants to preserve the traditional style used by Latin writers up to now. Such a literal translation is often not exactly a hindrance to understanding, but it does irritate those readers who enjoy the content more when its verbal expression has managed to preserve a certain purity.

---- Saint Augustine, *De doctrina christiana* ("On the Christian Doctrine")²⁹

6. (罗马) 曼里乌·波依修斯 Manlius Beothius



Anicius Manlius Severinus Boethius,
480-524AD

生平及重要译论：

曼里乌·波依修斯（又译波伊提乌）Anicius Manlius Severinus Boethius, 480-524A.D. 古罗马帝国灭亡后中世纪初期最重要和最具影响的神学家、政治家、哲学家、语言学家、翻译家和译论家。出生于罗马一个基督教家庭，其父曾做过执政官。波依修斯曾在巴黎和雅典求学，自幼受到基督教优秀的教育，后被推崇古罗马文化的意大利统治者东哥特王狄奥多里克（454—526）任命为执政官和首席执政官（520 A.D.），从事柏拉图、亚里士多德等古希腊著作的翻译，后被狄奥多里克以叛国罪囚禁并处死。在狱中，波依修斯写下了他的最重要的著作《哲学的慰藉》（*De consolatione philosophae*）。他的另一部重要著作是《论音乐的和谐构成》（*De Institutione Music Libri V*）等。

波依修斯虽身为神学家，但他具有一定的唯物主义思想，曾否定基督教的一些基本教义而向古希腊哲学思想倾斜。他象卢克莱修（Titus Lucretius Carus, 99?B.C.-55?B.C., 全称提图斯·卢克莱提乌斯·喀鲁斯，通称卢克莱斯，古罗马著名唯物主义哲学家和著名诗人）一样，公然宣称“无不能生有”，认为一切存在皆有其因。

波依修斯精通希腊语，对语言学有很深的造诣。他第一次提出语言的普遍现象问题，可以认为是现代语言共性论最早的源头之一。他还重视词语在实际中的运用，这又可以认为是现代语用学的最早的源头之一。波依修斯的主张对于心理学和逻辑学的发展有很大的促进作用，因为深入研究词义就必须涉及心理学，而科学研究本身又离不开逻辑。

波依修斯曾将很多古希腊哲学经典著作译成拉丁语，包括亚里士多德《工具论》中的《范畴篇》和《解释篇》、波菲利（Porphyrius, 232? -303?）为亚里士多德《范畴论》所写的《导论》。此举对于保存继承古希腊文化意义重大，只因被狄奥多里克处死而未能实现将所有的古希腊哲学著作译成拉丁文的愿望。波依修斯对亚里士多德逻辑学说的翻译和引介引发了学术界对亚里士多德哲学思想探讨的空前热情，对于继承和传播古希腊哲学思想有着不可磨灭的贡献。

波依修斯在其翻译实践的基础上形成自己对于翻译理论的见解，从而成为西方译论史上的代表人物之

一。他的关于翻译的观点主要见于其翻译波菲利（Porphyry）作品的译文的序言中。波依修斯有代表性的译论主要有两条：

1) 内容与风格互为矛盾，二者不可同时兼顾：或者保证内容，或者讲求风格；

2) 翻译的对象为客观事物，所以译者应以客观事物为中心，而不应坚持自己的主观判断。在翻译实践中，译者追求的应该是内容的精确，而不是风格的优雅。

直言之，波斯修斯是主张逐词对译的，这样，波斯修斯使西方译论的主导思想又转向古代斐洛（主张翻译要有严格的形式对应）而背离了西塞罗、贺拉斯、圣哲罗姆、奥古斯丁所一脉传承的翻译思想。为实现其“内容精确”的目的，波依修斯模仿西塞罗的做法，致力于通过翻译建立起一套拉丁语的哲学术语与希腊原词语相对应，以便使用准确的哲学术语来准确地再现原文的内容。此外，波依修斯重视翻译实践，主张翻译实践依赖经验而不是理论。

此后，西方翻译实践与译论的发展便中止了圣哲罗姆、奥古斯丁等人的理论线索而顺应了波依修斯的翻译思想。人们重翻译实践轻翻译理论，实行严格的客观主义和实用主义。西方翻译史在进入中世纪后的长达五六百个世纪的期间内翻译理论的进展寥寥。

译论史稿辑要：

PORPHYRII

ISAGOGE

[00] INTRODUCTIO

Cum sit necessarium, Chrisaorie, et ad eam quae est apud Aristotelem praedicamentorum doctrinam nosse quid genus sit et quid differentia quidque species et quid proprium et quid accidens, et ad definitionum assignationem, et omnino ad ea quae in diuisione uel demonstratione sunt utilia, hac istarum rerum speculatione compendiosam tibi traditionem faciens temptabo breuiter uelut introductionis modo ea quae ab antiquis dicta sunt aggredi; altioribus quidem quaestionibus abstinens, simpliciores uero mediocriter coniectans.

Mox de generibus et speciebus illud quidem siue subsistunt siue in solis nudis purisque intellectibus posita sunt siue subsistentia corporalia sunt an incorporalia, et utrum separata an in sensibilibus et circa ea constantia, dicere recusabo. Altissimum enim est huiusmodi negotium et maioris egens inquisitionis.

Illud uero quemadmodum de his ac de propositis probabiliter antiqui tractauerint, et horum maxime Peripatetici, tibi nunc temptabo monstrare.

---- Boethius' Latin translation of *Isagoge*³⁰

7.（希腊）斐洛·犹达欧斯

Philo Judaeus



Philo Judaeus, 25BC-50AD

生平及重要译论

斐洛·犹达欧斯（又译尤迪厄斯） Philo Judaeus（Philo of Alexandria），25B.C.-50A.D.，出生于Alexandria。犹太神秘主义哲学家、思想家，基督教神学先驱，犹太哲学、阿拉伯哲学和基督教哲学的奠基人，也是西方最早的著名宗教翻译家和翻译理论家。他主张将宗教信仰与哲学理性相结合，认为逻各斯理念是上帝与人的中介。在《圣经》的翻译历史上，斐洛是最早的有影响的《圣经》翻译者，而其关于《圣经》翻译的理论更是在宗教界和翻译界有着很大的影响。他认为《圣经》的思想与古希腊的哲学思想是一致的，因此主张将《圣经》的思想与古希腊哲学思想融为一体，尤其是柏拉图和斯多葛派哲学思想。

斐洛关于翻译的理论主要见于对《圣经》前五卷进行诠释的众多著作中。他的主要译论观点也是关于《圣经》翻译的，即：《圣经》的翻译需要上帝的感召。

斐洛认为，既然《圣经》的翻译是神圣的，因此《圣经》的翻译就已经不是语言的问题，不能仅靠对于两种语言的精通；没有上帝的感召是不能从事《圣经》的翻译的。斐洛强调《圣经》译本的神圣性，而译本的神圣性则在于上帝的感召。由此，《圣经》的翻译必然只能由神学人员或虔诚的宗教徒进行，因为只有这些人才远离“尘世不纯”，才能得到上帝的感召。而得到了上帝的感召的译者，即使人数多达七十二人（指用希腊语将希伯来文《圣经》译成《七十二子希腊文本》的七十二个犹太译者）并且各自分散翻译，最后的翻译译文却是惊人地相同：

这样的译者就会象着了魔似的，在神的感召下，几个人译出的结果不是互有差别，而是一字一句都相同，好比听写一样。³¹

显然，能够实现译本的不约而同，根据斐洛所说必定是由于上帝的感召；但是另一方面，根据犹达欧斯所说，这种上帝的感召其实是使译者成为“听写”者，即译者的翻译只能是逐词对译。

自此，西方《圣经》翻译便以斐洛的“受上帝的感召”作为标准：1）必须由神学人员来翻译《圣经》；2）《圣经》的翻译只能直译和死译即严格的形式对应以杜绝曲解原意。

译论史稿辑要：

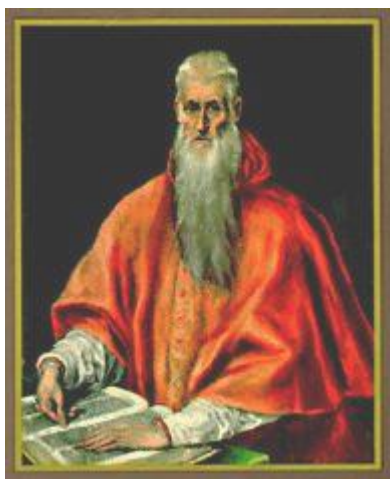
These things God announced to them, if they obeyed him and kept his commandments. But when they were found to be transgressing and disobedient to the divine law, he then contracted his promise from Dan to Beersheba. (on #Ex 23:31)

...

When he speaks of the seventy men he means those with Moses, and Aaron, and Nadab, and Abihu. And the statement that they did not differ, rather shows that they all equally saw the place where God had stood, than that nothing was left. (on #Ex 24:10)

---- Philo Judaeus, *the Parallels of John of Damascus: Fragments*³²

8. (南斯拉夫) 圣哲罗姆 Saint Jerome



Saint Jerome, 347-420AD

生平及重要译论

圣哲罗姆（又译杰罗姆、吉洛姆）Saint Jerome，即哈伊罗尼穆斯 Eusebius Sophronius Hieronymus，342-420 A.D.，基督教徒，古罗马帝国末期学识渊博的教父和著名宗教作家，与奥古斯丁一起被称为继西塞罗和贺拉斯之后西方古代译论又一鼎盛期的代表性译论家。出生于南斯拉夫卢布尔雅那附近（Strido, Dalmatia）一个基督教徒家庭。12岁到罗马学习文法及哲学，在世界各地旅行约20年后定居于伯利恒。圣哲罗姆精通《圣经》及西方古典著作，曾将希伯来文《旧约》和希腊文《新约》译成通俗拉丁文本。

圣哲罗姆的主要译论见于其论及翻译的信件和所翻译作品的序言之中。

圣哲罗姆针对西塞罗与贺拉斯之后数百年的死译迂腐之风，承继西塞罗和贺拉斯以及昆提利安的翻译思想，提出即使是《圣经》翻译也不能象《七十子希腊文本》（最早的宗教翻译，由公元前3至2世纪七十二名犹太学者共同合作由希伯来文译成）那种死译式文本那样，译文应该根据译入语特点“表达外语的风格特征”（*proprietas alterius linguae suis proprietatibus explicaret*），甚至提出译者具有“征服者”（*iure victoris*）的特权。在下面所辑选的译论中，他对于数世纪以来墨守陈规式的翻译提出严厉批评：他将卖弄学问的死译译者所谓的“精确”（*accuracy*）斥之为“迂腐”（*pedantry*）的“学究气的作法”，并断言此路是行不通的。他直截了当地提出自己的观点：译意而不是译词（*translating sense, not words*），并在其译著的序言中不断重申这一翻译思想（参阅下面的“译论史稿辑要”2和3）。

当然，他也深知当时这种翻译观点会引起的反应：

当人们拿起这个译本，发现里面的东西和过去的不一样时，不论他有无学问，有谁不立即大嚷大叫起来，骂我是读圣之徒，竟敢对古籍（指《七十子希腊文本》）进行增补、删改和修正呢？³³

圣哲罗姆主张意译并非其先前人们所主张的活译的不折不扣的翻版。圣哲罗姆的按照意义翻译是有一定限度的，即其那句历史性名言：

文学用意译,《圣经》用直译

他强调说:

For I myself not only admit but freely proclaim that in translating from the Greek I render sense for sense and not word for word, *except in the case of the Holy Scriptures, where even the order of the words is a mystery.*

— Jerome to Pammachius, *on the Best Method of Translatin.*

表明宗教翻译需有别于文学翻译。文学翻译译者需要使用译入语读者容易理解的风格来传递原文的风格,甚至可以混入译者的风格色彩,即译者对原文的翻译依赖的是征服(conquer)。但是,圣哲罗姆的直译是严格有别于死译的。因此他特别强调“不能逐词对译”。一句话,圣哲罗姆并不绝对倾向意译而否定直译,也不绝对倾向直译而否定意译,而是两者的统一与折衷。针对不同翻译对象而有所偏重,或偏于意译,或偏于直译,但坚决反对逐词死译。他认为翻译应该

有时意译,有时直译。³⁴

他进一步解释道:

在翻译中,很难保留外国语言中特殊而绝妙的措辞风格。每一个词语都有它自己的独特含义;我也许找不到适合的词语来翻译它.....如果逐词对译的话,译文就会佶屈聱牙、荒谬无稽;如果不得不做些改动或重新安排的话,则会显得有负于译者的职责。³⁵

圣哲罗姆的这种观点来自其不相信在词语的使用上存在“上帝的感召”,而是

句子要靠译者的博识与精通语言才能理解、翻译。³⁶

因此他主张:

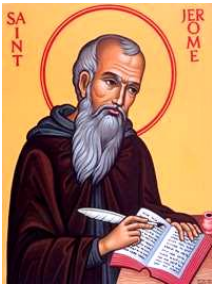
译者都应该作本国语文的主宰。

他还强调说:

有一点我很清楚,就是我只能翻译已经弄懂了的東西。³⁷

圣哲罗姆的这些翻译主张发展了其前人有关翻译理论的论述尤其是关于直译与意译的翻译的基本方法的讨论,使西方古代译论达到一个新的高度。

史料图片编辑:



译论史稿辑要：

(1)

Terence has translated Menander; Plautus and Caecilius have translated the old comic poets. But do they stick at the literal words? Don't they rather try to preserve the beauty and style of their originals? What men like you call accuracy in translation, learned men call pedantry. It was men of that sort who were my teachers twenty years ago, and even then I was the victim of the same sort of mistake which is now ascribed to me, though I certainly never thought the charge would come from *you*. When I translated Eusebius' *Chronicle* into Latin, I made among other points in my preface the following observations: "It is difficult when one is following lines laid down by other men not at times to diverge from them; and it is difficult to retain in translation the particular verbal felicities of a foreign language. Every single word has its own individual meaning; it may be that I have no word with which to render it, and if I skirt it with a circum-locution, I must make a lengthy detour. Add to these difficulties the problems of tortuous transpositions, case-differences, variations in metaphor and, finally, the peculiar and, as I call it, *indigenous* quality of the language. If I translate word for word, the result sounds clumsy and absurd; if I am forced to change anything or to rearrange, it will look as though I had failed my duty as a translator." Then, after a long discussion which it would be tiresome to follow here, I added, "If anyone supposes that translation does not drastically affect stylistic beauty, let him render Homer word for word into Latin. No, I will go further and ask him to turn Homer into Latin prose. And what will the result be? The syntax becomes ridiculous, and the most articulate poet who ever lived is turned into a stammerer."

My only purpose in quoting from my own writings is to establish that from my youth onwards, I have always aimed at translating sense, not words. But if my authority is insufficient, read and reflect on this brief preface from the biography of St. Antony:

A literal translation from one language to another obscures the sense; just as with grass, too lush a growth reduces the yield. So long as diction is subservient to cases and figures of speech, a literal translation must explain by tiresome circumlocution what a few words could otherwise make clear. This error I have tried to avoid in translating, at your request, the life of St. Antony; and though I am not always literal, I have been fully loyal to the sense. Let others clutch at syllables and words; for your part, look for the sense.

Time would fail me if I cited as witnesses all those who have translated according to the sense. For the present I need only mention the case of Hilary the Confessor, who translated a group of Homilies on Job and several Psalms from Greek into Latin. But he did not stick with the drowsiness of the letter, and chain himself with stale and vulgar literalism. Like a conqueror he led away captive into his own language the meaning of his originals.

---- Saint Jerome, *Letter L VII -- de optimo genere interpretandi*³⁸

(2)

I have explained my method once for all in the preface to my translation of the *Chronicle*, where I said that I might be called at once a translator and a composer of a new work ...

---- Saint Jerome, *On the Sites and Names of Hebrew Places*³⁹

(3)

Read, then, by *Samuel and Kings*; mine, I say, mine. For whatever by diligent translation and careful emendation we have mastered and made our own, is ours. And when you understand that of which you were ignorant before, either regard me as a translator, or, if you are ungrateful, a paraphraser, though I am not in the least aware of having diverged from the Hebrew original...

---- Saint Jerome, *Samuel and Kings*⁴⁰

(4)

I admit and confess most freely that I have not translated word for word in my translations of Greek texts, but sense for sense, except in the case of the scriptures in which even the order of the words is a mystery. Cicero has been my teacher in this.

Do Plautus and Terence, for example, stick to the word, or do they try to preserve the beauty and the elegance of the original in translation? Educated people have coined the phrase *kako zelia*, misplaced zeal for what you call a faithful translation. I have derived my principles from the writers I mentioned when I translated the chronicles of Eusebius into Latin twenty years ago. In your opinion I committed the same mistakes as they did but I never suspected that you would go on to blame me for them. In those days I wrote in my introduction, among other things:

It is hard not to slip when you are translating a foreign text word for word. It is difficult to preserve the elegance of felicitous expression as you find it in a foreign language when you translate. Something may find its most poignant expression through the proper nature of *one* word. I cannot find the one that achieves the same effect. If I want to do justice to the sense I have to make a long detour to get just a little bit ahead. Add to this the irritating anacoluths, or sentences that do not make sense, the difference in cases, the multiplicity of images and, finally, the spirit that dwells in every language, your own and that of others. If I translate word for word I produce nonsense, but if I have to change something in the order of the words or their sound I could be accused of failing in my duties as a translator.

After a few more sentences that are of no interest to us here, I added: "If people maintain that the beauty of a language does not suffer from translation let them simply translate Homer into Latin, word for word, or even better, let them simply render him in prose in his own language. The whole thing will turn into a ridiculous comedy and the greatest poet will be reduced to a mere stammerer."

I only wanted to prove that I have always been opposed to sticking to words, from the days when I was young, and that I have always translated the sense. But my judgment is probably not of great importance in this matter. I advise people to read the short preface to the book that describes the life of Saint Antony. It says there:

A literal translation from one language into another obscures the sense in the same way as the thriving weeds smother the seeds. Since language depends on cases and images you sometimes have to waste time and make a detour to express what could be said with few words, and often to express it with great imprecision at that. I have skirted this danger and at your request I have translated the life of Saint Antony in such a way that the whole sense is there, even if I have not always kept to the sound of the words. Let others stick to syllables, or even to letters, you should try to grasp the sense!

It would lead us too far to point out how much the translators of the *Septuagint* have added and how much they have left out. In the manuscripts we use in our churches these passages are marked with small obelisk and small asterisks. Yet the *Septuagint* has become the accepted translation in churches, and rightly so, not only because it

was the first translation and because it was already in use before the coming of Christ, but also because it was used by the apostles, though only in as far as it did not deviate from Hebrew.

---- Saint Jerome, *Letter to Pammachius*⁴²

(5)

If any metaphor is literally translated from one language into another, the seeds of the text and its sense will be suffocated by brambles, as it were.⁴³

(6)

It is difficult not to cut here and there when following lines written by another, and it is hard to preserve the elegance with which things have been expressed in the original when you are writing a translation. A given word may mean a very specific thing in one language and I may not have a word to render it with in another, and while I ponder how to fill in its sense, I may be confusing a narrow space with a long winding road. Add to this the digressions caused by rhetoric, the differences in declensions, the number of stylistic features and, finally, the feature which sets each individual language apart, its genius, as they say. If I translate word for word all this will sound ridiculous, but if I am forced to change something in the syntax, or in the text, I may give the impression that I am neglecting the task of the translator.⁴⁴

(7)

The translator considers thought content a prisoner (quasi captivos sensus) which he transplants into his own language with the prerogative of a conqueror (iure victoris).⁴⁵

9. (英) 阿尔弗雷德国王 King Alfred



King Alfred, 849-899AD

生平及重要译论

阿尔弗雷德国王 King Alfred 即 Alfred the Great, 849-899.10.26 A.D., 英国中世纪早期七国争雄时代七国之一的西撒克斯国 (Wessex) 的国王 (871-899), 又称西撒克斯阿尔弗雷德国王 King Alfred of Wessex。出

生于英国牛津郡（Oxfordshire）的 Wantage。英国盎格鲁撒克逊时代（Anglo-Saxon Times）末期丹麦人以及挪威等北欧海盗入侵英国，西撒克斯阿尔弗雷德国王领导人们抗击入侵并最终战胜丹麦入侵者，并迫使丹麦人接受了基督教教义。阿尔弗雷德国王也被誉为英国历史上第一位民族英雄。871A.D. 阿尔弗雷德国王继爱塞烈德一世（Ethelred I）成为第六位英国撒克逊君主，直至去世，史称 Alfred the Great。死后葬于温切斯特天主教堂（Winchester Cathedral）。

阿尔弗雷德国王还是著名翻译家和翻译组织者，主要从事宗教翻译，他一生译著颇丰，曾将拉丁语《英国教会史》、波依修斯的《哲学的慰藉》和《圣经·诗篇》译成英语。他建立起寺院组织教师学者将很多拉丁文著作译成英语。

阿尔弗雷德国王认为翻译的目的是要从丹麦人的入侵的阴影中“帮助英国人民振作起来”，因为翻译是挽救英民族自己的语言、确立英民族自己的民族意识和加强英民族团结的有力武器。

对于翻译，阿尔弗雷德国王是重视翻译理论的。他自己的翻译就是遵循着一定的翻译原则和翻译方法的。在翻译实践中，他主张采取为我所需的原则，赋予译者很大的灵活性，在翻译中要使用大众化的通俗语言，根据情况“有时逐词译，有时意译，力求译文清楚易懂”，以“使所有人都能看懂”。阿尔弗雷德国王甚至将此发挥至极致，即其所说的“随心所欲的活译”。他在翻译奥古斯丁的《自言自语》（*Soliloquies*）时就是采用这种“随心所欲”决定取舍的灵活翻译，正如他在该书译本的序言中所述：

我用各种工具为自己掇拾了许多棍棒、柱子、横梁和斧柄，用自己的劳动拾到了弓木、栓木等最好的树木，能搬多少就拾多少。我也不带很重的木料回家，因为即使搬得动，我也不喜欢把所有的木料统统搬回去。在每一棵树上，我只看中我家所需要的东西；因此，我告诉那些有能力、有许多运货马车的人，叫他们到我伐木的林中去，让他们多拣些木料，在自己的车上装满大梁，用以筑起漂亮的围墙，盖起极好的房屋，建起美丽的城市，哪怕严冬酷暑，都可住得愉快而又舒适。而我呢，却还未能做到这一点。⁴⁶

译论史稿辑要：

Without wisdom no faculty can be fully brought out, for whatsoever is done unwisely can never be accounted as skill. To be brief, I may say that it has ever been my desire to live honourably while I was alive, and after my death to leave them that should come after me my memory in good works.

---- Alfred's translation in the 890s of '*De Consolatione Philosophiae*' ("Consolations of Philosophy") by Manlius Boethius.

10. (英) 罗杰·培根

Rogger Bacon



Rogger Bacon, 1220-1292

生平及重要译论

罗杰·培根 Roger Bacon, 1220-1292（其出生年代也有说 1214），英国哲学家、博物家、数学家和发明家，牧师，牛津大学教授。培根知识渊博、思想尖锐深刻，被誉为超越了整整两个世纪的具有“文艺复兴”思想的大家（a “Renaissance man” about two centuries ahead of his time）。⁴⁷

培根对于当时出现的随意翻译的现象感到担忧，特别是对于亚里士多德著作的随意增删和随意歪曲更是进行了激烈的批评。他认为，正确的翻译需要正确的理解原文，而正确的理解原文必须认真研究语言与科学。罗杰·培根明确地提出翻译与语言的关系。他的这种翻译观在西方中世纪翻译史上有着很大的影响。

译论史稿辑要：

I now want to deal with the science that is, at first sight, the most important one of all. The Holy Scriptures have been translated from Greek and Hebrew and philosophy has been translated from Arabic as well as from those two languages. Yet it is impossible to preserve the distinctive features of one language in another since even idiomatic expressions in the same language tend to differ among its speakers, as is obvious in French. Parisians, Picardians, Normans, and Burgundians use idioms in different ways. What is considered correct among Picardians tends to fill the Burgundians with horror, and the Parisians too, because they are closer to them. If this happens inside one language imagine the extent to which it happens between different languages. Consequently, what is well said in one language cannot possibly be transferred into another in the same way.

For this reason Hieronymus states the following in his epistle on the best way to translate: "If anybody thinks a language does not change in translation, let him try to translate Homer literally into Latin. If he then goes on to translate that translation into his own language he will see that the syntax is ridiculous and that the most eloquent of poets is hardly able to speak at all." Whoever knows a discipline, such as logic or any other, well, and tries to translate it into his mother tongue will discover that mother tongue lacking in both substance and words. Therefore no reader of Latin will be able to understand the wisdom contained in philosophy and in the Holy Scriptures as well as he should, unless he also knows the languages they have been translated from.

---- Roger Bacon, *De linguarum cognitio* ("On the Knowledge of Languages")⁴⁸

11. (意大利) 但丁·阿里盖利 Dante Alighieri



Dante Alighieri, 1265-1321

生平及重要译论

但丁·阿里盖利 Dante Alighieri, 1265-1321, 意大利著名诗人, 被恩格斯称为“中世纪的最后一位诗人, 同时又是新时代的最初一位诗人。”出身于佛罗伦萨一个没落贵族家庭。参加过市民阶层的盖尔夫党(号称教皇党, 后分裂为“白党”和“黑党”)并支持“白党”, 于公元 1300 年被选为佛罗伦萨市行政官。他坚决反对教皇干涉佛罗伦萨政治。1301 年“白党”被“黑党”推翻, 但丁也于 1302 年被放逐, 20 年来辗转于意大利各地。1321 年因病在拉文纳逝世。

但丁少年聪慧, 好学深思。但丁早年的文学创作基本上属于“温柔的新体”诗派。这一时期最重要的作品是《新生》(1292?)。但丁的被流放对其政治思想上的影响非常大, 使他更为深刻地认识了现实社会。但丁在流放中完成了三部重要的著作。《飨宴》(*Convivio*) (1304—1307 年间用意大利文写成) 借诠释自己的诗歌向读者介绍各种知识, 并批判了封建的等级观念, 同时对俗语大加赞赏。《论俗语》(*De vulgari eloquentia*) (1304—1308 年间用拉丁文写成), 是但丁最为重要的关于意大利语和文体与诗的格律的文论著作, 仍然强调俗语的优越和形成标准意大利语的必要, 正式提出建立意大利民族文学语言以对抗当时的官方语言拉丁语, 还提出只有用民族的文学语言写作的人才能称为诗人, 为其用意大利语写作《神曲》(*La Divina Commedia*) (*The Divine Comedy*) (1307-1321) 奠定了理论依据。他是这样来解释俗语的:

就是小孩在刚开始分辨语辞时就从他们周围的人学到的习用语言, 或者更简短地说.....就是我们摹仿自己的保姆不用什么规则就学到的那种言语。

他还进一步给予俗语极高的评价:

这两种言语之中俗语是较高贵的, 因为这是人类最初使用的, ...也因为对我们是自然的, 而另一种是人为的.....⁴⁹

《神曲》是但丁最为重要的代表性作品。但丁写作《神曲》的动机就是要表达其忧国忧民的愿望。书中描述贝雅特丽齐嘱托罗马诗人维吉尔拯救危难中的但丁并引导其游历天国即《地狱篇》(*The Inferno*)、《炼狱篇》(*The Purgatorio*) 和《天国篇》(*The Paradiso*) 三部曲。整部《神曲》为三韵句写成的长诗, 共 14233 行,

而且整部《神曲》都是用意大利语（佛罗伦萨所在的托斯卡纳地区方言）写成的。

但丁很多作品使用意大利语撰写，对于促进形成意大利民族共同语起到很大的作用。因此，他被认为是意大利最伟大的诗人、意大利第一个民族诗人。

但丁对于意大利语的倡导也促进了用意大利本民族语言进行翻译，对于翻译实践是个巨大的贡献。

但丁在翻译理论方面也有着巨大建树。他在认真研究了《圣经·诗篇》原文和拉丁语译文后发现原文中很多诗篇的特征在译文中已经不复存在，即原文的美在翻译的过程中已经缺失了。他认为这是因为文学语言与文学形式是密不可分的。他因此指出：

要让大家懂得，任何富于音乐、和谐感的作品都不可能译成另一种语言而不破坏其全部优美和谐感。正因如此，荷马的史诗遂未译成拉丁语；同样，《圣经·诗篇》的韵文之所以没有优美的音乐和谐感，就是因为这些韵文先从希伯来语译成希腊语，再从希腊语译成拉丁语，而在最初的翻译中其优美感便完全消失了。⁵⁰

这就是但丁著名的关于文学作品不可译的翻译理论，从此正式开始了西方译学理论史上关于翻译的可译性与不可译性的延续至今的漫长争论。西方翻译史上凡批评在文学作品翻译中忽略形式和韵律的译者，都要引用但丁的有关论述，可见但丁的不可译论的影响之深远。

译论史稿辑要：

Having proved that a Latin commentary would not have been an understanding servant, I will tell why it would not have been obedient. He is obedient who has that good disposition which is called obedience. True obedience should have three things, without which it cannot exist: it should be sweet and not bitter, entirely under command and not self-willed, and within measure and not beyond measure. These three things a Latin commentary could not possibly have possessed, and therefore it would have been impossible for it to be obedient. That this would have been impossible for Latin, as has been said, is made clear by the following reasoning: everything that proceeds by inverse order is disagreeable, and consequently is bitter and not sweet, as, for example, sleeping during the day and lying awake at night, or going backwards and not forwards. For the subject to command the sovereign is to proceed by inverse order (for the right order is for the sovereign to command the servant); so it is bitter and not sweet. And since it is impossible to obey a bitter command with sweetness, it is impossible for the sovereign's obedience to be sweet when a subject commands. Therefore, if Latin is the sovereign of the vernacular, as has been shown above by many reasons, and the canzoni which play the role of commander are in the vernacular, it is impossible for its obedience to be sweet.

Moreover, obedience is entirely under command and in no way self-willed when the person who obeys would not have acted on his own initiative without a command, either entirely or in part. Therefore if I were commanded to wear two robes, and without being commanded should put on but one, I would say that my obedience is not entirely the result of a command but in part self-willed. Such would have been the obedience of the Latin commentary, and consequently it would not have been entirely the result of a command. That such would have been the case is clear from this: that without having been commanded by this master, Latin would have explained many aspects of his meaning--and it does explain them, as he who carefully examines writings written in Latin knows -- which the vernacular in no way does.

Moreover, obedience is within measure and not beyond measure when it goes to the limit of the command, and not beyond it, just as individual nature is obedient to universal nature when it gives a man thirty-two teeth, neither more

nor less, and when it gives the hand five fingers, neither more nor less; and man is obedient to justice when he makes a sinner pay his debt to society, neither more nor less than justice demands. Now Latin would not have done this, but would have sinned not only through deficiency, and not only through excess, but through both; and so its obedience would not have been within measure, but beyond measure, and consequently it would not have been obedient. That Latin would not have fulfilled the command of its master and that it would have exceeded it can easily be shown. This master, that is, these canzoni to which this commentary is constituted as servant, command and desire that their meaning be explained to all who can comprehend it, so that when their words are heard they will be understood. And no one doubts, were they to make their command heard, that this would be their command. Latin would not have explained them except to the learned, for no one else would have understood it. Therefore, since among those who desire to understand them the unlearned are far more numerous than the learned, it follows that Latin would not have fulfilled their command as well as the vernacular, which is understood by the learned and the unlearned alike.

Moreover, Latin would have explained them to people of other languages, such as the Germans and the English and others, and here it would have exceeded their command; for it would have been against their will (broadly speaking, I say) for their meaning to have been explained where they could not convey it together with their beauty. Therefore everyone should know that nothing harmonized according to the rules of poetry can be translated from its native tongue into another without destroying all its sweetness and harmony. This is the reason why Homer has not been translated from Greek into Latin as have been other writings we have of theirs. And this is the reason why the verses of the Psalter lack the sweetness of music and harmony; for they were translated from Hebrew into Greek and from Greek into Latin, and in the first translation all their sweetness was lost. Thus I have fully dealt with what was promised at the beginning of the chapter immediately preceding this one.

...

A full apology should be made for serving oaten and not wheaten bread at a banquet so noble in its meat and so distinguished in its guests, and the reason why a man departs from what has long been the practice of others, namely, the use of Latin in commentaries, should be evident. Therefore the reason needs to be made clear, for the end of new things is not certain, since that experience has not yet been had by means of which things long observed and long in use are measured both as to their progress and as to their end. This is why the Law was moved to command that a man should take great care in entering on a new path, saying that "in establishing new things, the reason that makes us depart from what has long been in use must be evident."

No one should be surprised, then, if the digression that I make in stating my apology proves lengthy, but since it is necessary let him bear its length patiently. In pursuing this further (since it has been shown how I was moved to employ the vernacular commentary and forsake Latin in order to avoid an inappropriate relationship and by reason of complete generosity), I say that the nature of my full apology requires me to show how I was moved to this act through natural love of my native tongue, which is the third and final reason that moved me to it. I say that natural love above all moves the lover to do three things: first, to magnify the loved object; second, to be jealous for it; next, to defend it, as everyone can observe happens continually. These three things made me adopt it, that is, our vernacular, which naturally and accidentally I love and have loved. I was moved in the first place to magnify it, and in what way I magnify it may be seen by the following argument.

Now things can be magnified, that is, made great, by many conditions of greatness, and nothing makes them so great as the greatness of their own goodness, which is the mother and preserver of all other kinds of greatness -- for man can have no greatness greater than that of virtuous action, which is his own proper excellence, by which the greatness of true dignity, true honor, true power, true riches, true friends, and true and glorious fame are both acquired and

preserved -- and this greatness I give to this friend, since what it possesses of potential and latent goodness I make it express actively and openly through its own proper activity, which is to make manifest the meaning conceived.

I was moved in the second place by jealousy for it. Jealousy for a friend makes a man solicitous to provide for the distant future. Thinking, therefore, that the desire to understand these canzoni would have induced some unlearned person to have the Latin commentary translated into the vernacular, and fearing that the vernacular might have been set down by someone who would have made it seem offensive, as did the one who translated the Ethics from Latin -- and that was Thaddeus the Hippocratist -- I arranged to set it down, trusting in myself more than in another. I was moved to defend it from its numerous accusers who disparage it and commend the other vernaculars, especially the language of *oc*, calling that one more beautiful and better than this one, thereby departing from the truth. For by means of this commentary the great goodness of the vernacular of *sì* will be seen, because its virtue will be made evident, namely how it expresses the loftiest and the most unusual conceptions almost as aptly, fully, and gracefully as Latin, something that could not be expressed perfectly in verse, because of the accidental adornments that are tied to it, that is, rhyme and meter, just as the beauty of a woman cannot be perfectly expressed when the adornment of her preparation and apparel do more to make her admired than she does herself. Therefore, if anyone wishes to judge a woman justly, let him look at her when her natural beauty alone attends her, unaccompanied by any accidental adornment; so it will be with this commentary, in which the smoothness of the flow of its syllables, the appropriateness of its constructions, and the sweet discourses that it makes will be seen, which anyone upon careful consideration will find full of the sweetest and most exquisite beauty. But since the most effective way of revealing the defects and the malice of an accuser is to examine his intentions, I will tell, in order to confound those who attack the Italian language, why they are moved to do this, and I will now write a special chapter on this subject so that their infamy may be rendered even more conspicuous.

...

Because of the Galaxy this heaven has a great resemblance to Metaphysics. Hence it should be known that concerning this Galaxy philosophers have held different opinions. For the Pythagoreans said that the Sun at one time strayed from its path, and, passing through other regions unsuited to its burning heat, set aflame the place through which it passed, leaving there traces of that conflagration. I believe they were influenced by the fable of Phaëton, which Ovid recounts at the beginning of the second book of the *Metamorphoses*. Others, as for example Anaxagoras and Democritus, said that it was the light of the Sun reflected in that region, and they refuted the other opinions by demonstrative reasoning. What Aristotle said on this matter cannot be known with certainty because his opinion is not the same in one translation as in another. I believe that this is due to an error on the part of the translators; for in the New Translation he seems to say that it is a collection of vapors beneath the stars in that region, which attracts them continuously; this does not seem to have any foundation in truth. In the Old Translation he says that the Galaxy is nothing but a multitude of fixed stars in that region, so small that we are unable to distinguish them from here below, though from them originates the appearance of that brightness which we call the Galaxy; this may be so, for the heaven in that region is denser, and therefore retains and throws back this light. Avicenna and Ptolemy seem to share this opinion with Aristotle. Consequently, since the Galaxy is an effect of those stars which we cannot see, except that we understand these things by their effects, and Metaphysics treats of the primal substances, which we likewise cannot understand except by their effects, it is clear that the Starry Heaven bears a great resemblance to Metaphysics.

---- Dante Alighieri: *The Convivio*⁵¹

第二章 文艺复兴时期的西方译论

12. (意大利) 勒欧纳多·布鲁尼 (阿雷蒂诺) Leonardo Bruni (Aretino)



Leonardo Bruni, 1374-1444

生平及重要译论

勒欧纳多·布鲁尼 Leonardo Bruni， 又称阿雷蒂诺 Aretino (Arezzo)， 1374 (1369?) -1444， 意大利人文主义者， 是柏拉图和亚里士多德著作的翻译者。出生于著名意大利人文主义者、诗人彼特拉克 (Petrarch, 1304-1374) 的故乡 Arazzo， 并由此得名 Aretino (阿雷蒂诺)。其家境贫寒。最初曾学习法律， 后改习古典作品。1405 年起在罗马担任教皇英诺森七世 (Pope Innocent VII, 1336-1406)、格列高利十二世 (Gregory XII, 1325-1417) 和亚历山大五世 (Alexander V, 1339? -1410) 以及约翰二十三世 (John XXIII) 的文书， 1415 年约翰二十三世被废黜后返回佛罗伦萨至终。

阿雷蒂诺著述颇多， 主要包括 *Historiarium Florentinarum Libri XII* (Strasburg, 1610)， *Commentarius Rerum Suo Tempore Gestarum*， *De Romae Origine*， *De Bello Italico adversus Gothos*， 及十卷本书信集 *Epistolae Familiares* 等等。

阿雷蒂诺是中世纪末期在意大利影响较大的翻译理论家。他的关于翻译的见解主要见于 1420 年所译亚里士多德译文的序言及《论正确的翻译方法》一文中， 主要有三点：

1) 亚里士多德不是抽象的教条， 他是一个活生生的人， 译者务必自己深入作品， 要“面对亚里士多德。” 换言之， 译者应当尽可能模仿原作风格， 象亚里士多德用希腊语写作那样， 用译语进行创作。他说：

每一位作者都有自己的风格：西塞罗的语言响亮豪放、多姿多彩；萨鲁斯特的语言干净利落、不事渲染；利维的语言粗犷而又富丽堂皇。因此， 大凡优秀的译者， 在翻译这些作者的作品时都必须在译文再现他们各自的风格。假如他翻译西塞罗， 因为西塞罗的语言丰富多采^采彩， 变化无穷， 所以他在译文里也必须使用冗长的、词汇丰富的、结构完整的句子， 时而堆积辞藻， 时而匆匆而过。假如他翻译萨鲁斯特， 他几乎每用一个词都必须注意用词是否贴切， 是否严谨， 因而必须时刻注意省略、节制。假如他

翻译利维的作品，他必须模仿利维的表达方式。译者应当被原作风格所吸引而忘掉自我，他如果不能融入原作的词序和句式之中，不能运用贴切的词汇和忠实于原作的风格，他就不能使原文的意思得到很好保留。¹

2) 任何语言都不乏被用以进行有效翻译的能力；

3) 那种认为语言差异在翻译中是个不可逾越的障碍的观点，实际是译者用来掩盖自己的低能而放出的烟幕。优秀的译者精通原语和译语，只要正视两种语言的差异，就不愁没有对付的办法。² 他说：

这样一来，如果译者需要逐词直译，就不会因为不懂拉丁文而对希腊原词采取回避、移借或不译的做法；他会懂得词语的性质与确切含义，不会把‘小’（small）说成‘中’（middling），把‘青春’（adolenscence）说成‘青少年’（adolescent），把‘力量’（strength）说成‘勇气’（courage），把‘战斗’（battle）说成‘战争’（war），把‘城邦’（city-state）说成‘城市’（city）。此外，他会区分‘喜欢’（to be fond of）与‘喜爱’（to love）、‘挑出’（to choose out）与‘找出’（to seek out）、‘渴望’（to desire）与‘希望’（to wish）、‘演说’（to perorate）与‘说服’（to persuade）、‘接受’（to accept）与‘答应’（to grant）、‘告诫’（to expostulate with）与‘诉说’（to complain of）以及许许多多类似的词语。他对优秀原作使用的成语和比喻耳熟能详，翻译时能予以模仿。……因此可以认为，如果有人并非饱学博识、精通文学而试图去从事翻译，那就犯了一个不可饶恕的错误。³

从上面后两条可以看出，阿雷蒂诺是翻译的“可译论”者，与但丁的“文学作品不可译”见解相对立，这种观点被二十世纪持语言共性论的译学理论家所继承和发展。更为重要的是，阿雷蒂诺将人文主义思想引入翻译理论中，以译者、译文语言为中心，因此被视为西方翻译史上人文主义者最早的代表之一。阿雷蒂诺是主张意译的，他在自己的翻译实践中力争使读者了解原作的整体内容，而不是逐词对译。

译论史稿辑要：

When I translated Aristotote's *Nicomachean Ethics* from Greek into Latin, I added an introduction in which I discussed many of the mistakes made by previous translators and how I had corrected them. I hear that many people thought that my corrections were too harsh. Their argument runs as follows: even if the translators made mistakes they wrote down what they understood in good faith and for that they deserve praise, not blame. It would therefore be more fitting for moderate critics, their argument runs on, not to point out obvious mistakes but to produce a better translation, rather than to cut up their predecessors with words. I confess I have been a little too radical with my reprimands, but that radicalism originated in heartfelt indignation. I was distressed indeed at the sight of those books that are full of sweetness, elegance, and inestimable value in Greek, and I myself was pained to see how these books had turned out so vile and degraded in Latin because the translations are riddled with impurities. If I had found great joy in a most decorative and pleasing painting by Protogenes, Apelles, or Aglaophon, I would be upset if somebody should vilify that painting and I would raise both my voice and my hand against him. And so, when I saw how those books by Aristotle, which are far more brilliant and finely crafted than any painting, were degraded, I felt as if my soul had been crucified and I was greatly moved. If some people think I may have gone too far they should know that I was moved by a cause, such a worthy cause indeed that I might deserve a pardon if I did go too far. Yet in my own opinion I did not go too far, not even a little. Rather, my anger has saved both good taste and mankind. Think of that for a moment. Did I say anything against other translators' morals? Or against the way they live? Did I call them traitors, drunks, or lechers? Certainly not. Then what did I attack in them? Only their lack of experience in writing. And is that such a heavy insult, by God Almighty? And can a man not be a good man and still be either completely

ignorant of all that pertains to writing, or not have the extensive experience I require of him? I do not call such a person a bad man, but merely a bad translator: I would say similar things about Plato if he wanted to steer a ship without knowing how. I would not detract from his philosophy in any way but I would simply say that he was inexperienced and inept as a captain.

I say that the full power of a translation resides in the fact that what is written in one language should be well translated into another. Nobody can do that well unless he has an experience of both languages that is both wide and deep. But that is not enough, since many people are eminently capable of understanding, though not of explaining, just as many people are able to judge a painting correctly even if they themselves do not paint, or just as many people are able to understand music without being able to sing.

A correct translation is therefore a great and difficult thing. First, of course, you need to know the language you are translating from, and that knowledge should not be limited or trivial, but great and supported by an experience that is deep and accurate, and steeped in the daily reading of philosophers, orators, poets, and all other writers. Unless you have read them all, grown with them, turned them over in your mind, and kept them here, you cannot understand the power and the meaning of the words, especially since Aristotle himself and also Plato were masters of literature, if I may say so, and made use of the most elegant modes in which the old poets, orators, and historians used to write, as well as of their more felicitous choice of words and turns of phrase. In their works, therefore, metaphors and figures of speech appear that mean one thing on the literal level and another on the level of traditional understanding.

The translator should therefore begin by ensuring that he knows the language he is going to translate from as well as is humanly possible, and he will never acquire that knowledge without a repeated, varied, and accurate reading of all kinds of writers. Furthermore, he should also know the language he translates into in such a way that he is able to dominate it and to hold it entirely in his power. If he has to render a word by another, therefore, he should not go begging for one, nor should he resort to loan-translation or leave the word in Greek because he does not know Latin. He should also be aware of the power and nature of words in all their subtle ramifications. Moreover, he should not be ignorant of figures of speech, nor of the way the best writers use the language. He should imitate them in his own writing and he should avoid novelty in word and figure of speech, especially if such a novelty is inept or barbaric.

All the elements mentioned above are necessary. In addition to them the translator should also have a good ear, so as not to weaken what has been said in an elegant or harmonious way, or to throw it off balance. Since all good writers, and most obviously Plato and Aristotle in their books, combine what they want to say about things with the art of writing itself, a translator worthy of that name must serve both masters. Translators are therefore likely to make the following mistakes: they will translate what has been aptly put and skillfully arranged by the author in such a way that it becomes inept, incoherent, and weak. Whoever is not so well educated in both style and substance that he is able to avoid all of these mistakes deserves to be censured and criticized when he takes up translating because he will either lead people into various mistakes by providing them with the wrong translation, or he will diminish his author's stature by making him seem ridiculous and absurd. And yet they will say that the man who publishes what he knows deserves praise, not blame, even if he is by no means well versed in those arts which require experience. A poet who writes bad lines does not deserve praise, even if he tried to write good ones. Rather we criticize him and reprimand him for trying to do what he knows not how. We also criticize a sculptor who makes a bad statue even if he did not do so on purpose, but just because he did not know any better. Those who learn to paint by trying to copy an existing painting ponder the problem of how to transfer the shape, the stance, the gait, and the contours of the body not as they would make them, but as somebody else did make them. The same process occurs in translation: the translator transforms himself into the original author with all his mind, will, and soul, and he also ponders the problem of how

to transform the shape, the stance, the gait, the style, and all the other features, and how to express them. The result will be a wonderful translation.

Individual writers have their very own figures of speech. Cicero excels in abundance and number of words, Sallust in brevity and slenderness of style, Livy in sometimes all too stringent grandeur. In translating specific writers the good translator will conform to them in such a way that he renders their own figures of speech. If he translates from Cicero he will have to guide that author's great, expressive, and sonorous periods to their fullest circumference with the same abundance and variety. Sometimes he will have to make them flow faster and sometimes he will have to pull them together. If he translates from Sallust, on the other hand, he will have to sit in judgment on each of that author's few words and he will have to follow propriety and decorum first and foremost. To do so he will sometimes have to tighten the language and make it even more concise. If he translates from Livy he will have no choice but to imitate that author's figures of speech, since the translator is forcibly drawn into the style of the author he translates, and he will not find it easy to serve the sense except if he insinuates himself and modifies his author's phrasing and display of writing with the proper words and rhetorical figures. For this is the highest rule of translation: that the shape of the original text should be kept as closely as possible, so that understanding does not lose the words any more than the words themselves lose brilliance and craftsmanship.

But even if all good translation is difficult because of the many and varied features it is required to possess, the most difficult task of all is to translate effectively what the original author wrote in a copious and ornate style. The translator should be fully aware that it is necessary to intervene with full stops, commas, and periods in a text written in a copious style, to render the style clear and make comprehension possible. The translator should display the greatest zeal in trying to preserve the original's ornate diction and other features. If the translator fails to accomplish all this he will weaken his author's stature and diminish it. But he cannot possibly achieve it without expending much labor and acquiring much experience in matters of writing. The translator has to understand the particular features of each text, so to speak, and to render them in a similar way in the language he translates into. If the original displays two kinds of ornaments, one concerned with the words, the other with the content, both will represent difficulties for the translator, but the words more so than the content, primarily because ornaments of this kind often submit to a certain scansion, so that like should be rendered by like, or opposite by opposite, or contraries by contraries, which the Greeks call antitheta. Yet it often happens that Latin words consist of more syllables than their Greek counterparts, and just as often they do not easily correspond with sounds the ear is able to pick up. Interjections, which the orator throws in from time to time, tend to have a greater impact if they scan right, since slack and mutilated or inept cadences do not pierce in as effective a manner. The translator must learn all these things as best he can and use them to shape the mold of his scansion. And what am I to say about the ornaments of content that decorate the text in many ways and make it admirable, especially in the case of those superior ornaments used by the best writers? Could a translator possibly ignore these, pass them by, or translate them without preserving their stature, and go uncensured?

---- Leonardo Bruni, *De interpretatione recta* ("The Right Way to translate")⁴

13. (荷兰) 德西德利乌斯·埃拉斯慕斯 Desiderius Erasmus



Desiderius Erasmus, 1466-1536

生平及重要译论

德西德利乌斯·埃拉斯慕斯（又译伊拉斯谟）Desiderius Erasmus, 1466-1536, 荷兰著名人文主义者、哲学家、社会学家、宗教学家和翻译家，剑桥大学教授。出生于荷兰鹿特丹（Rotterdam, Netherlands），出生时名为 Gerrit Gerritzoons (荷兰语意为 Gerhard Gerhardson)，出生后仅在故乡生活了四年。据记载是个私生子，父母于 1483 年死于黑死病瘟疫。父亲 Roger Gerard 是个牧师，母亲 Margaret 则是个医生的女儿。埃拉斯慕斯幼年曾在修道院学校受过良好教育，但寺院制度却成为他终身抨击教会罪恶的攻击目标。后就读于巴黎大学，一生保持一个独立学者的地位以保持其思想及学术的自由。

埃拉斯慕斯一生致力于《圣经》翻译。1516 年由 Froben of basel 出版了其拉丁文版《圣经·新约》（*New Testament*），成为研究宗教改革时代《圣经》的主要版本。同年还出版了希腊文本的《新约》最新版 *Instrumentum omne, diligenter ab Erasmo Rot. Recognitum et Emendatum*，增加了新发现的手稿内容。在其第二版使用了 *Testamentum* 一词取代了原先使用的 *Instrumentum*。埃拉斯慕斯还分别于 1522 年、1527 年和 1535 年出版了另外三个版本的《圣经》。他的著名著作有为纪念其友托马斯·莫尔而作的《荒唐的赞美》（*Praise of Folly*，拉丁名为 *Moriae Encomium*）和《传道书》（*Ecclesiastes*，又名 *Gospel Preacher*，Basel, 1535）。

关于翻译，他认为译者必须对两种语言非常通晓而且具有穿透力的眼光。尤其对于经典作品如《圣经》的翻译更要依靠译者的语言知识和对于语言的理解，必须尊重原作，以达到忠实原文的目的。他说：

应当尊重的是真理，而不是权威。⁵

他还说：

解释《圣经》含义的人往往不得不阐明单词的含义；同样，要阐明单词的含义有时便不得不阐明句子的全部内容。⁶

埃拉斯慕斯还特别强调翻译中的风格问题。他认为风格是翻译中的值得重视的重要内容，要以诗译诗，以词译词，以朴素译朴素，以高雅译高雅。同时，确定翻译的风格时要需要考虑读者的需求。他说：

但愿每一个妇女都能读到圣保罗的福音和使徒行传，但愿能把它们译成所有的语言。但愿农夫能在犁边吟诵《圣经》，织工能在织布机边用《圣经》驱散心头的烦闷，旅行者能用《圣经》消遣以解除旅

途的疲劳。⁷

译论史稿辑要:

(1)

To turn excellent Greek into excellent Latin you need an exceptional craftsman who has greatly enriched his knowledge of the two languages by accumulating an abundance of material. He must also possess a piercing eye that is always wakeful, and that is why for many centuries nobody in this field has been voted unanimously into this position.

I have scrupulously tried to produce a literal translation, forcing myself to keep the shape of the Greek poems, and also their style, as much as possible. My goal has been to transcribe verse for verse, almost word for word, and I have tried very hard to render the power and the weight of the phrase intelligible to Latin ears with the greatest fidelity, maybe because in translating the classics I do not completely approve of that freedom Cicero allows himself and others to excess I would say, or maybe because I prefer to sin through excessive scrupulousness rather than through excessive license since I am a novice in translation. I would rather be seen sinking into the sands of the shore than be shipwrecked in the middle of the waves. As I was going to make mistakes anyway I decided I would rather have men of letters deplore a lack of brilliance and ornamentation in my work than a lack of exactness. Finally, I did not wish to declare myself a paraphraser nor to prepare for myself all the refuges many others use to hide their ignorance, in which they avoid being caught by seeking protection behind their own darkness.

---- Desiderius Erasmus, "*Letter to William Warham*"⁸

(2)

I would desire that all women should reade the gospell and Paules epistoles and I wold to God they were translated in to the tonges of all men so that they might not only be read and knowne of the scotes and yrishmen But also of the Turkes and the Sarracenes[...]. I wold to God the plowman wold singe a texte of the scripture at his plow-beme. And that the wever at his Iowme with this wold drive away the tediousnes of tyme. I wold the wayfaringeman with this pastyme wold expelle the weriness of his iorney. And to be shorte I wold that all the communication of the christen shuld be of the scripture for in a manner such are we oure selves as our daylye tales are.

---- Desiderius Erasmus, *Novum Instrumentum*⁹

14. (德) 马丁·路德 Martin Luther



Martin Luther, 1483-1546

生平及重要译论

马丁·路德 Martin Luther, 1483-1546，德国神学家、辩论家、社会学家和翻译家，宗教改革运动的领袖。出生于图林根一个清贫的家庭，曾在一所修道院学习神学，后在萨克森维登堡大学攻读并获得神学博士学位，并曾作为神学教授任教于该校。罗马教皇利奥十世借口修缮罗马圣彼得大教堂而出售“赎罪券”准备大敛一笔，此事激怒了马丁·路德，于1517年公布了《关于赎罪券效能的辩论》即著名的95条论纲，宣布其宗教改革纲领。后又于1520年完成《致德意志民族基督徒贵族书》（*An den christlichen Adel deutscher Nation*）、《教会被囚于巴比伦》和《基督徒的自由》宗教改革三大论著。他呼吁德意志教会摆脱罗马教皇的控制，同时他还提出一系列反对天主教教义的思想，准备重新建立新教——抗议宗。他的改革目标就是要建立一个纯洁的（即整顿教律）、廉俭的（即返朴归真）和信仰自由的（即“因信称义”）的教会。1520年12月10日，马丁·路德在维登堡教堂前公开烧毁罗马教皇敕令，这一天往往被人们视为欧洲近代史的第一页。由于不肯改变其宗教改革的主张，他曾数次遭到查理五世的逮捕。后藏匿于瓦特堡从事《圣经》的翻译。他的宗教改革实践便是从《圣经》的翻译开始的。

马丁·路德首先将希腊语版《新约圣经》译成德语并于1522年出版，后又于1534年翻译出版了希伯来语版《旧约圣经》。在翻译过程中，马丁·路德的翻译原则是通俗、明了、能为大众所接受。他在翻译中所使用的语言是以图林根地区的正式用语为基础兼收中东和中南部地区方言的精华。因此，马丁·路德的翻译被誉为第一部大众的《圣经》，其翻译所用的语言也被誉为德语的典范，对宗教改革、对德语的统一和德国的文学、语言的发展，意义重大。

马丁·路德除翻译《圣经》外，还翻译过《伊索寓言》，并写过许多赞美诗、论争性散文及寓言，其中最为流行的赞美诗《我们的主是坚固的堡垒》被海涅称为“宗教改革的马赛曲”。恩格斯在《〈自然辩证法〉导言》中曾说道：“路德不但扫清了教会这个奥吉亚斯的牛圈，而且也扫清了德国语言这个奥吉亚斯的牛圈，创造了现代德国散文，并且撰写了成为十六世纪《马赛曲》的充满胜利信心的赞美诗的词和曲。”¹⁰

马丁·路德在翻译理论方面有着巨大的贡献，主要体现在：

1. 主张用大众的语言进行翻译，因为使用人民大众所使用的通俗语言才能使翻译大众化。他强调：

真正的翻译是把外国语变成译者的本族语言。

他还强调：

翻译中必须使用地道的德语，而不是拉丁化的德语。

按照拉丁字母讲话是讲不好德语的。

他又说：

只有傻瓜才会去搜寻拉丁字母以便弄清楚怎么讲德语。¹¹

有人攻击他的用大众德语翻译的《圣经》进行了“篡改”甚至“伪造”，而且断言会在“许多单纯的基督徒，甚至那些不懂希伯来文和希腊语的学者中造成恶劣影响”。马丁·路德针对这些攻击反驳说，他所反对的正是在上流社会流行的“希伯来腔”和“希腊腔”。他在《翻译艺术与圣者的祈祷》一书中这样解释他用大众德语进行翻译：

我说的是德语，既不是拉丁语也不是希腊语；于是我使用德语来翻译……并非如某些蠢驴们以为的那样是那些“神圣”的拉丁字母在教我们怎样说德语；人们应该去问家里的母亲、街上的孩子、市井里的普通人，看看这些人的嘴里是怎样说话，按照他们的方式来翻译；这样他们便会明白并感觉列，人们在和他们说德语。¹²

这里，马丁·路德明确说明了什么是（地道的）德语，即普通大众所说的德语。

2. 主张翻译应该使用意译的方法，要重视语法与意义的联系。他强调要注重原文，首先要注重原文的语言现象。即翻译不能仅凭“神的感召”来进行，而是必须通过对传递精神的语言文字进行详尽的研究。对于《圣经》的翻译更是如此。轻信教会神甫们的传统解释容易导致谬误，只有对《圣经》措词进行细致的研究才可能得到“光照启示”（illumination）。因此他说：

倘若与神甫们的话语相比，原文语言就好比阳光，而神甫的话便是黑暗。¹³

关于翻译的语言，在其1532年的《席间漫谈》一文中，他这样说过：

翻译时，我总是遵循不与语法背道而驰的原则；大凡正确认识到这一点的人都懂得如何翻译《圣经》的文字，虽然不能译出其精神。

文中他还说：

语法对于名词变格、动词变形和句子结构的理解是必要的，但在言语中必须着重考虑的应当是意思和话题，而不是语法，因为语法不可凌驾于意思之上。¹⁴

可见马丁·路德重视语言形式，但更重视真实意思的理解和表达。

3. 主张翻译的七原则。马丁·路德提出的翻译七原则是：1）可以改变原文的词序；2）可以合理运用语气助词；3）可以增补必要的连词；4）可以略去没有译文对等形式的原文词语；5）可以用词组翻译单个的词；6）可以把比喻用法译成非比喻用法，把非比喻用法译成比喻用法；7）注意文字上的变异形式和解释的准确性。

马丁·路德的翻译七原则叙述得比较详细和严谨，体现了其既重视语言形式又重视语言含义的主张意译的翻译观。由于路德的名望，他的翻译原则和方法对当时的“直译”与“意译”之争产生很大的影响，也对后人进行《圣经》翻译和翻译实践有着很大的影响。

4. 主张翻译应该集思广益，特别是对于《圣经》这种经典巨著的翻译，非一个人所能完成。他自己翻译《圣经》便是在合作者的帮助下进行的，翻译完成后又经合作者的进一步修改和润色。他说：

圣哲罗姆尽了一个人所能尽到的最大力量，比任何人都译得好。但要是他在翻译时有一两个助手，圣灵就会象《马太福音》中所说的那样体现在他身上。翻译之事不能独来独往，因为正确、恰当的译词不总是被一个人想到。¹⁵

译论史稿辑要：

(1)

There has been much talk about the translation of the New Testament and half of the Old. The enemies of truth pretend that the text has been changed or even falsified in many places. Therefore many simple Christians, including the learned who do not know Hebrew or Greek, are overcome by fear and terror.

We are aware of the scribbler in Dresden who stole my New Testament. He admitted that my German is good and sweet and he realized that he could not do better; and yet he wanted to discredit it. So he took my New Testament as I wrote it, almost word for word, and he took my preface, my glosses, and my name away and wrote his name, his preface, and his glosses in their place. He is now selling my New Testament under his name. Oh, dear children, how hurt I was when his prince, in a terrible preface, forbade the reading of Luther's New Testament but ordered the scribbler's New Testament read, which is exactly the same as the one Luther wrote.

I have not taken a penny for it, I have not looked for one and I have not earned one.

---- Martin Luther, *Sendbrief vom Dolmetschen* ("Circular Letter on Translation")¹⁶

(2)

For you and our people, however, I shall show why I used the [German equivalent of the] word *sola* -- even though in Romans 3 it was not [the equivalent of] *sola* I used but *solum* or *tantum*. That is how closely those donkeys have looked at my text! Nevertheless I have used *sola fides* elsewhere; I want to use both *solum* and *sola*. I have always tried to translate in a pure and clear German. It has often happened that for three or four weeks we have searched and inquired about a single word, and sometimes we have not found it even then. In translating the book of Job, Master Philip, Aurogallus and I have taken such pains that we have sometimes scarcely translated three lines in four days. Now that it has been translated into German and completed, all can read and criticize it. The reader can now run his eyes over three or four pages without stumbling once, never knowing what rocks and clods had once lain where he now travels as over a smoothly-planed board. We had to sweat and toil there before we got those boulders and clods out of the way, so that one could go along so nicely. The plowing goes well in a field that has been cleared. But nobody wants the task of digging out the rocks and stumps. There is no such thing as earning the world's thanks. Even God himself cannot earn thanks, not with the sun, nor with heaven and earth, nor even the death of his Son. The world simply is and remains as it is, in the devil's name, because it will not be anything else.

I know very well that in Romans 3 the word *solum* is not in the Greek or Latin text -- the papists did not have to teach me that. It is fact that the letters *s-o-l-a* are not there. And these blockheads stare at them like cows at a new gate, while at the same time they do not recognize that it conveys the sense of the text -- if the translation is to be clear and vigorous [*klar und gewaltiglich*], it belongs there. I wanted to speak German, not Latin or Greek, since it was German I had set about to speak in the translation. But it is the nature of our language that in speaking about two things, one which is affirmed, the other denied, we use the word *allein* [only] along with the word *nicht* [not] or *kein* [no]. For example, we say "the farmer brings *allein* grain and *kein* money"; or "No, I really have *nicht* money, but *allein* grain"; I have *allein* eaten and *nicht* yet drunk"; "Did you write it *allein* and *nicht* read it over?" There are countless cases like this in daily usage. In all these phrases, this is a German usage, even though it is not the Latin or

Greek usage. It is the nature of the German language to add *allein* in order that *nicht* or *kein* may be clearer and more complete. To be sure, I can also say, "The farmer brings grain and *kein* money," but the words "*kein* money" do not sound as full and clear as if I were to say, "the farmer brings *allein* grain and *kein* money." Here the word *allein* helps the word *kein* so much that it becomes a completely clear German expression. We do not have to ask the literal Latin how we are to speak German, as these donkeys do. Rather we must ask the mother in the home, the children on the street, the common man in the marketplace. We must be guided by their language, by the way they speak, and do our translating accordingly. Then they will understand it and recognize that we are speaking German to them.

For instance, Christ says: *Ex abundantia cordis os loquitur*. If I am to follow these donkeys, they will lay the original before me literally and translate it thus: "Aus dem uberfluss des hertzen redet der mund" [out of the excessiveness of the heart the mouth speaks]. Tell me, is that speaking German? What German could understand something like that? What is "the excessiveness of the heart"? No German can say that; unless, perhaps, he was trying to say that someone was altogether too generous, or too courageous, though even that would not yet be correct. "Excessiveness of the heart" is no more German than "excessiveness of the house, "excessiveness of the stove" or "excessiveness of the bench." But the mother in the home and the common man say this: "Wes das hertz vol ist, des gehet der mund über" [What fills the heart overflows the mouth]. That is speaking good German of the kind I have tried for, although unfortunately not always successfully. The literal Latin is a great obstacle to speaking good German.

For another example, the traitor Judas says in Matthew 26: *Ut quid perditio haec?* and in Mark 14, *Ut quid perditio iste unguenti facta est?* According to these literalist donkeys I would have to translate it, "Warumb ist dise verlierung der salben geschehen?" [Why has this loss of ointment occurred?] But what kind of German is this? What German says "loss of the ointment occurred"? And if he understands it at all, he would think that the ointment is lost and must be looked for and found again, though even that is obscure and uncertain enough. Now if that is good German why do they not come out and make us a fine, new German Testament and let Luther's Testament alone? I think that would really bring out their talents. But a German would say *Ut quid*, etc., this way: "Was sol doch solcher unrath?" [What is the reason for this waste?] or "Why this extravagance?" Perhaps even, "it is a shame about the ointment." That is good German, in which one can understand that Magdalene had wasted the ointment she poured out and had been wasteful. That was what Judas meant, because he thought he could have used it better.

...

On the other hand I have not just gone ahead and disregarded altogether the exact wording in the original. Rather, with my helpers I have been very careful to see that where everything depends upon a single passage, I have kept to the original quite literally and have not departed lightly from it. For instance, in John 6 Christ says: "Him has God the Father *versiegelt* [sealed]." It would have been better German to say "Him has God the Father *gezeichnet* [signified]" or even "He it is whom God the Father *meinet* [means]." But I preferred to do violence to the German language rather than to depart from the word. Ah, translating is not everyone's skill as some mad saints imagine. It requires a right, devout, honest, sincere, God-fearing, Christian, trained, educated, and experienced heart. So I hold that no false Christian or sectarian spirit can be a good translator. That is obvious in the version of the Prophets done at Worms. Although it is carefully done and resembles my own German quite closely, Jews had a hand in it, and they do not show much reverence for Christ. Aside from that it shows plenty of skill and craftsmanship.

---- Martin Luther, *Ein sendbrief D. M. Luthers. Von Dolmetzschen und Fürbit der heiligenn* (An Open Letter on Translating)¹⁷

15.（西班牙）胡安·卢斯·维韦斯 Juan Luis Vives



Juan Luis Vives, 1492-1540

生平及重要译论

胡安·卢斯·维韦斯 Juan Luis Vives (Johannes Ludovico), 1492-1540, 十六世纪西班牙著名人文主义者、哲学家、教育家和具有远见的思想家。1492年3月6日出生于西班牙港口城市巴伦西亚 (Valencia) 一个犹太人布商的家庭, 因其母亲中断了犹太教信仰使其家庭在 1491 年数次受到宗教裁判所的审判。维韦斯为躲避宗教裁判所迫害, 于 1509 年离开西班牙至死未回。维韦斯曾在巴伦西亚大学读过文科, 后又就读于巴黎大学, 1512 年在比利时城市布鲁日定居并于 1540 年 5 月 6 日在该市逝世。

维韦斯精通巴伦西亚语 (Valencian)、西班牙语、希腊语、法语、佛兰德语 (Flemish)、英语、意大利语和拉丁语, 并曾受亨利八世之邀到英国居住并担任威尔士公主玛丽 (Mary) 的指导教师。在英国曾受主教沃尔西 (Wolsey) 之邀到牛津大学执教哲学。

维韦斯著述繁多, 内容涉及宗教虔诚、教育学、社会学、政治经济学、心理学、伦理学、哲学, 在当时具有很大的影响, 有的著作甚至有着 50 个版本, 如 the "*Introductio ad sapientiam*" (1524) 一书, 而论述教学的著作 (the "*Exercitatio linguae latinae*" (1538) 竟然有 99 个版本。维韦斯与托马斯·莫尔 (Thomas More) 和埃拉斯慕斯 (Erasmus) 成为好友, 并曾在后者的建议下于 1522 年出版了对圣奥古斯丁 (St. Augustine) 的《天国》(*City of God*) 的诠释, 并为此而惹恼了神学者们。维韦斯的名著《基督徒妇女的教育: 十六世纪指南 (早期现代欧洲的另一种声音)》(*The Education of a Christian Woman : A Sixteenth-Century Manual (The Other Voice in Early Modern Europe)*) 于 1524 年出版后被公认为关于妇女普及教育的最为权威的声明; 大约 1529 年出版的《受洗礼妇女指导》(*The Instruction of a Christen Woman*) 则对妇女的行为举止、衣着、讲话、饮食、活动以及阅读材料等都做了系统的论述。

埃拉斯慕斯曾对维韦斯赞扬有加:

We have with us Juan Luis Vives, a Valencian, only 26 years of age but already well versed in all the

philosophical subjects, who has made such strides in belles-lettres, eloquence, oratory and writing that I hardly know of anyone to compare with him. (*Catholic Encyclopedia*)

关于翻译理论，维韦斯赞同昆提利安（Quintilian）的论述，主张意译。他认为译文是语言之间的转换，但要保留原文的含义。而要保留原文的含义，就必须注意原文的结构和修辞风格。如果没有过多地偏离译语语言习惯的话，适当引入外语的修辞风格或词汇将有利于译入语的发展，丰富译入语的表现力。他还认为译者应该根据文本的不同类型来选择不同的翻译方法。

译论史稿辑要：

A version is the transfer of words from one language into another in such a way that the sense is preserved. In some versions you can see only the sense, in others only the phrasing and the diction. If a man wanted to transfer the speeches of Demosthenes or Marcus Tullius [Cicero], or the poems of Homer and Virgil into other languages, he would have to pay attention first and foremost to the way the text is put together and to the figures of speech it contains. If he did that he would soon realize how great the differences between languages are, if he had not already done so before, since no one language is rich enough to match another in all stylistic traits and figures of speech, even the most primitive ones. "When we translate from Greek we should not follow that language in all things," says Marcus Fabius [Quintilianus], "especially not when they want to use their words to designate our things." There is a third kind of text in which both the substance and the words are important, in which words bring power and elegance to the senses, so to speak, whether taken singly, in conjunction with other words, or in the text as a whole. Texts written with only the sense in mind should be translated freely and the translator should be allowed to omit what does not add to the sense, or to add what improves it. It is impossible to express the figures of speech and patterns characteristic of one language in another, even less so when they are idiomatic, and I fail to see what purpose would be served in admitting solecisms and barbarisms with the sole aim of representing the sense with as many words as are used in the original, the way some translations of Aristotle or Holy Writ have been made. It should be acceptable to render two words by means of one, or one word by means of two, or more as usage dictates, and to add words or to leave them out.

Translations are not merely advantageous to all the arts and sciences but absolutely vital to them, both for a whole life and for specific moments in it, as long as they are faithful to the original. Translations tend to become unfaithful because translators do not know the language or the topic they are dealing with. Words are finite in number but things are infinite and therefore many people are taken in by the similarities between words, what is called synonymy, and they do not know what the text is about. Consequently, ignorant translators are deceived and deceive those who trust them, sometimes on the level of style and diction and sometimes on the level of content or that of the characteristic features an author uses. That is why you sometimes notice that those who translate Aristotle or Galen fail to do so successfully and fail to communicate the stature of the work because they do not know philosophy or medicine the way their author does. In these translations both word and thing, stylistic features and figures of speech need to be taken into account. Other ornaments in the text need to be preserved as far as possible according to the translator's ability. They need to be preserved with the same power and elegance in so far as those are compatible with the language of the translation. It is often possible only to render the power or the elegance, which constitute two different features in the original language.

Languages benefit greatly if skillful translators dare to give some foreign figure of speech or style to their nation, as long as it does not deviate too much from that nation's customs and general way of life. They can also imitate the language of the original, using it as a kind of matrix, and invent or construct new well-formed words to enrich the language they translate into.

Yet not everybody can allow himself to do that and it is wiser to be sparing and meticulous in these matters rather than foolhardy and overproductive. There are translations of the sense in which the words should also be considered very carefully so that they can be approximated, if possible, even in passages that are very difficult and hard to understand. Many of Aristotle's works belong to this category and their obscure passages should be left to the reader to judge. The same holds for books dealing with public or private matters of great importance and for the mysteries of the faith as contained in Holy Writ. In each of those cases the translator should never interpose his own judgment.

You must follow the original closely if you want to carry one of its characteristics across. That would be the way to translate Apuleius' *Golden Ass*; to highlight its remarkably comic style that is apt to make people laugh. If you cannot do that you will have to follow the inclination of your own nature which is likely to be your best guide, as long as you have been well educated. You should also struggle with your model if you are able to do so and make the work look better than it did when you received it by making it clearer in substance and easier to understand for those who read it. The original will look better when it is expressed in a more concise and advantageous manner, not when the translator is carried away by some sense of perverse vanity that encumbers correct, brilliant, and honest diction with rhetorical flourishes of all kinds, turning what is easy and rewarding into what is heavy and cumbersome. Why do translators debase the elegance and splendor of their original with words and figures of speech that are low, elaborate, and obscure? Out of a sense of overweening affectation that makes them display their eloquence without taking the nature and power of the text into account. They think they are about to produce a better style if they include words that are very rare, exotic, or old fashioned.

---- Juan Luis Vives, *Versionses seu Interpretationes* ("Versions or Translations")¹⁸

16. (法) 艾蒂安·多莱 Etienne Dolet



Etienne Dolet, 1509–1546

生平及重要译论

艾蒂安·多莱 Etienne Dolet[Atyən' dOlA'], 1509.8.3–1546.8.3, 法国人文主义者、诗人、印刷商、出版商、语言学家和翻译家, 也是古典思想研究家。出生于奥尔良 (Orléans), 1521 年到巴黎求学, 后旅居意大利, 1530 年回到法国, 积极参加人文主义运动。他撰写、翻译和出版过许多关于哲学、历史、语言的古典名著, 写过论述希腊语和拉丁语的专著, 宣传人文主义思想, 并因此受到教会和巴黎大学封建势力的迫害, 多次被监禁。后来以错译了柏拉图关于不朽问题的对话被控为顽固不化的无神论者, 受尽种种酷刑, 最后作为“异端”(heresy) 被处以绞刑和火刑, 时年仅 37 岁。十三部著作全部被焚。他的诗 *L'Enfer d'*

Etienne Dolet 描述自己在狱中的生活。

多莱 1540 年发表了论述翻译原则的著名短文《论佳译的方法》(*De la manière de bien traduire d'une langue en autre*), 从而奠定了法国在西方近代译学理论史上的地位, 也奠定了多莱本人在西方译学理论史上的地位, 被称为“法国译论之父”(爱德蒙·加里:《伟大的法国翻译家》)。

多莱在《论佳译的方法》中列出五条基本的翻译原则, 即:

1) 译者必须完全理解原作者的意思和原文内容 (The translator must fully understand the sense and meaning of the original author, although he is at liberty to clarify obscurities.);

2) 译者应该通晓原语和目的语两种语言 (The translator should have a perfect knowledge of both SL and TL.);

3) 译者应该避免逐词对译 (The translator should avoid word-for-word renderings.), 即不要受到原文词序的束缚, 译者应该从语句出发进行翻译, 这样使原作者的意图得到表现, 同时也能奇妙地保持原语与译语的特点;

4) 译者应该使用通俗的语言形式 (The translator should use forms of speech in common use.), 即译者应该遵守“约定俗成”的语言规则;

5) 译者应该选择恰当的词语和词序以使译文产生适当的风格效果 (The translator should choose and order words appropriately to produce the correct tone.), 即译者必须注意表达的和谐, 保证措辞的衔接与连贯, 同时还要保持语言的优美, 不仅要赏心, 而且要悦耳。

多莱提出的翻译五原则涉及到的翻译问题还是比较全面的, 涉及到对原文的理解和对译文的要求以及译者的素质, 对于翻译具有普遍的意义。

多莱所提出的翻译五原则具有划时代性的创见。在西方翻译史上, 多莱最早系统提出并总结翻译理论, 因此被称为西方近代翻译史上比较系统地提出翻译理论的第一人, 对后人影响很大。多莱提出的翻译五原则与 17 世纪德莱顿提出的翻译三分法原则和 18 世纪泰特勒提出的翻译三原则, 显然一脉相承, 有着异曲同工之妙。

译论史稿辑要:

First, the translator must understand to perfection the meaning and the subject matter of the author he translates. If he understands this he will never be obscure in his translation and if the author he translates is in no way obscene, he will be able to make him easily and perfectly intelligible.

The second point required in translation is that the translator should know the language of the author he translates to perfection and that he should have achieved the same excellence in the language he wants to translate into. In that way he will neither violate nor denigrate the splendor of one language or the other. You must understand that every language has its own characteristics, and therefore its diction, its patterns of speech, its subtleties, and its power must be translated accordingly. If the translator does not know this, he will hurt the author he translates and also the language he translates him into, for he will neither represent nor express the dignity and the riches of the two languages he has taken in hand.

The third point is that when you translate you should not enter into slavery to the point of rendering word for word. Whoever translates in this way does so because his mind is poor and deficient. If he possesses the qualities mentioned above (and a good translator must possess them) he will work with sentences and not care about the order of the words, and he will see to it that the author's intention is expressed while miraculously preserving the characteristics of both languages. It is therefore wrong to believe (should I call that belief stupidity or ignorance?) that you should start your translation at the beginning of a sentence. But if you express the intention of the author you translate you will be

above reproach, even if you distort the syntax. I shall not pass over in silence the folly of some translators who bow to servitude instead of acting freely. They are such fools that they try to render line by line, or verse by verse. When they make this mistake they often adulterate the meaning of the author they translate and convey neither the elegance nor the perfection of either language. You must guard against this vice with all your might, since all it demonstrates is the translator's ignorance.

The fourth rule I want to offer here must be observed with greater diligence in languages that have not yet become established in the field of art than in others. I would call the following languages not yet established in the field of art: French, Italian, Spanish, German, English, and other vulgar tongues. If you translate a Latin book into one of these languages (even into French), you should not usurp words which are too close to Latin or have been little used in the past. Be satisfied with common usage and do not foolishly introduce novelties spawned by curiosity which can only be called reprehensible. If you observe some translators doing so, do not imitate them, since their arrogance is not worth a thing and cannot be tolerated among the learned. But do not think I am telling you the translator should completely abstain from using words outside common usage, since it is well known that Greek or Latin are richer in diction than French. This often forces us to use rare words, but we should do so only in cases of dire need.

Let us now come to the fifth rule a good translator needs to observe. It is such an important rule that all compositions are heavy and unpleasant without it. What is it then? Merely that the translator should observe the figures of speech, namely that he should link and arrange words with such sweetness that the soul is satisfied and the ears are pleased. He should never object to harmony in language. And I would once again like to admonish the translator to observe the rules I have given. If he does not, he will not be able to write any remarkable composition whatsoever: his sentences will not sound serious and they will not achieve their legitimate weight, as required.

---- Etienne Dolet, *De la manière de bien traduire d'une langue en autre* ("On the Way of Translating Well from One Language into Another")¹⁹

17. (法) 若阿山·杜·贝莱 Joachim Du Bellay



Joachim Du Bellay, 1522-1560

生平及重要译论

若阿山·杜·贝莱 Joachim Du Bellay, 1522-1560, 法国浪漫主义诗人、文学理论家、翻译家, 七星诗社 (Pleiad, company of Seven) 的重要成员, 其著作《保卫和发扬法兰西语》(*L'Illustration de la langue Francaise*) 成为七星诗社的宣言, 被誉为七星诗社的“号手”。杜·贝莱出生于贵族家庭, 自幼成为孤儿。1549 年与龙沙 (Ronsard, 1524-)、巴依夫一起在多拉门的指导下攻读古希腊罗马经典著作。贝莱一生饱受精神与疾病的折磨, 1560 年猝死, 年仅 37 岁。

贝莱的第一部诗集为《橄榄集》(1549), 主题为歌颂柏拉图式恋爱。贝莱的代表作是诗集《罗马怀古》和《悔恨集》。《罗马怀古》以史诗般的风格描绘了古罗马的废墟美。《悔恨集》共有十四行诗 192 首, 是贝莱最重要的作品, 分为两类: 表现诗人悔恨悲愤心境的诗和讽刺堕落的罗马社会和宫廷的诗。他的诗歌优美, 韵律工整, 具有浓厚的民歌特点。

贝莱对于译者的翻译自由的局限性曾有过非常直截了当的陈述 (参阅下面的“译论史稿辑要”)。译者的翻译和出版实际上始终处于出版赞助人 (patronage) 的制约之下, 而出版商 (publisher) 实际上扮演的就是贝莱所说的 *princes and other great lords* 的角色, 他们对于译者及翻译的影响则是翻译理论研究中不可忽视的重要方面。

译论史稿辑要:

But what shall I say about those who really deserve to be called traitors, rather than translators, since they betray the authors they try to make known, robbing them of their glory and, at the same time, seducing ignorant readers by showing them black instead of white? To acquire the reputation of men of science they translate from languages they do not even know the first words of, such as Hebrew and Greek, and to increase that reputation they take on poets, the kind of writers I would never even get involved with if I could translate, or wanted to, because they possess the divine power of invention to a greater extent than other writers do. They have a grandeur of style, a magnificence of words, a weight to their sentences, an audacity and variety of figures of speech, and a thousand other highlights of poetry -- in short, that ineffable spirit that pervades their writings. The Romans used to call it genius.

What I say is not meant for those who, at the command of princes and other great lords, translate the most famous Greek and Latin writers, since the obedience one owes those persons admits of no excuse in these matters.

---- Joachim Du Bellay, *Défense et illustration de la langue française*²⁰

18. (法) 雅克·佩拉蒂埃·杜·曼斯

Jacques Pelletier du Mans

生平及重要译论:

雅克·佩拉蒂埃·杜·曼斯 Jacques Pelletier du Mans 1517- 1582, 法国诗人、文法家、数学家, 法国文艺复兴时期的人文主义者。曾就读于巴黎纳瓦拉学院 (College of Navarre), 学习过法律和医学。一生写了大量的诗歌包括诗集 *Art poétique français* (1555)、*L'Amour des amours* (1555) 和 *Louanges* (1581)。1541 年翻译出版了贺拉斯的《诗艺》(*Ars poetica*), 成为第一部该书的法文版。他还翻译过荷马《奥德赛》(*Odyssey*) 的前两章、维吉尔 (Virgil) 的《农事诗》(*Georgics*) 第一卷等, 收集在其第一部诗集 (*Œuvres poétiques*) 中。

雅克是主张意译的，认为意译才能丰富译入语，因此译者的翻译也是创造性的工作，对译入语的发展是有贡献的，特别是在文学方面。同时，他对译者的作用和地位给予了充分的肯定。他认为，译者不能完全模仿原文，相反应该自由地支配译文的语言。译者的翻译可以影响原作者，因为译者的翻译质量可以决定原作者的生命力。

译论史稿辑要

Translation is the truest kind of imitation. If you want to imitate you simply want to do as another does. The translator submits not only to the imagination of another but also to the way in which he orders his material and even to his elocution, as far as possible, and as far as the nature of the language he translates into allows, since a text very often owes its impact to a judicious choice of words and locutions. If that is lost the author loses all his elegance and the sense of what he says is betrayed. And yet translation means great labor more than great praise. If you render the original faithfully, to the best of your ability, you will only gain respect for having redrawn the original portrait, but fame remains with the original. If you render it badly all the blame falls on you. If your patron has not said things well you are considered a man of bad judgment for not having chosen a better model. In short a translator is never called an author. But do I want to discourage translators for all that? Certainly not, and still less do I want to deprive them of the praise that is their due since they are one of the reasons why France is, at least, able to begin to taste good things. They even derive a benefit from it all: if they translate well their author's name will make their own name live on. It is surely no small thing to have your own name written in good places. Those who write original works often run the risk of not living as long as translators, especially since a good translation is worth more than a bad original. What is more, well-made translations are able to greatly enrich a language. The translator can turn a beautiful Latin or Greek phrase into French and he can bring the weight of sentences, the majesty of clauses, and the elegance of the foreign language to his new country. These are two points that count in his favor since they come close to general concepts. The translator should be a little more wary when it comes to particulars, I think, just as he should be a little more wary with new words that are easy to spot and therefore suspect. A translator who has not presented any other work of his to the public, except translations, will not enjoy the favor of the readers when he coins new words, even though he is the one who must deal with new words all the time. That is the reason why the translator's task is not too highly thought of. Granted, when his author is excellent (and a prudent man will not translate any others) the translator will be allowed to use brand new words, as long as it is obvious that there are no other words available, and he will be praised for doing so. The continuous use of periphrasis, or circumlocutions, is too much of a drawback in translation. It also diminishes the merit of the author's ingenious work and, by the same token, the merit of translation as an art since these words belong to art and they might even be said to be so artificial that few people even know the laws that govern them. I can never stop wondering at those people who want to invoke Horace's authority to blame word for word translation.

Word for word translations do not find mercy in our eyes, not because they are against the law of translation but simply because two languages are never identical in their vocabulary. Ideas are common to the understanding of all men but words and manners of speech are particular to different nations. Do not enlist Cicero against me in this, because he does not praise the conscientious translator, and I will not praise him either. I mean the translator must keep the characteristics and the freshness of the language he translates into. I most decidedly maintain that he should not lose any part of the author's style or even choice of words when he deals with matters symbolized by two languages, for in that case the author's spirit and wit are often bound up with his style and choice of words. If anyone could translate the whole of Virgil into French verse, phrase for phrase and word for word, he would deserve the highest praise. For how could a translator better do his duty than by coming as close as possible to the author he is subject to? Furthermore, think of the grandeur involved in having a second language convey all the elegance of the

first while also keeping its own. But that is impossible, as I said before.

----- Jacques Pelletier du Mans, *Art Poétique* ("Poetics")²¹

19. (英) 约翰·特雷维萨

John de Trevisa

生平及重要译论:

约翰·特雷维萨 John de Trevisa [trɪvɛ'su] (或 John of Trevisa, John Trevisa), 1326-1402, 英国著名作家、翻译家。英国康沃尔郡人 (Cornishman), 出生于英格兰康瓦尔 (Cornwall) 地区的 Trevesa, 毕业于牛津大学, 后成为牛津大学 (Queen's College, Oxford) 著名学者, 1379 年因与牛津大学发生政见矛盾被开除, 此后专事从事教区牧师工作。

特雷维萨曾翻译过多部巨著, 包括 Bartholomaeus Anglicus 的自然科学百科全书 *De Proprietatibus Rerum* (*On the Properties of Things*) (1398), Aegidius Romanus 的 *De Regimine Principum* 及 Richard Fitz-Ralph 的 *Defensio Curatorum*。特雷维萨最著名的译作是 1378 年所译英国人伦道夫·希格登 (Ranulf Higden) 拉丁文体的《编年史》(*Polychronicon*)。特雷维萨翻译这部著作时使用的是散文体, 直译与意译相结合。用散文体翻译的优势是有利于紧扣原文, 易于找到对应, 也易于进行译释。

对此, 特雷维萨这样解释他的翻译理论:

在一些地方, 我用单词对单词, 主动式对主动式, 被动式对被动式, 词序也原封不动。但在另一些地方, 我必须改变词序, 并用主动式译被动式, 用被动式译主动式。有的地方, 我必须给某个词附加说明, 以解释词的含义。然而, 尽管作了这些变动, 意思却保持不变。²²

值得一提的是, 在下面的“译论史稿辑要”的对话中可以明白无误地看出, 特雷维萨有意安排出版赞助人 (patronage, 即下面的“译论史稿辑要”对话中的 The Lord) 指定译者的翻译要用散文体 (参阅下面的“译论史稿辑要”)。The Clerk (指译者) 需要征求 The Lord (指出版赞助人) 对翻译的要求, 而 The Lord 的回答则是相当明确的。特雷维萨从一个侧面反映了当时的出版赞助人对翻译的巨大影响力, 因为他们有权决定哪些翻译是他们认为可以接受的, 哪些是他们认为不可以接受的, 而只有他们认可的翻译他们才会支持出版。因此, 译者的翻译自由受到出版商的制约, 而出版商对于翻译本身的影响也是不容忽视的。正如安德烈·勒菲弗尔 (André Lefevere) 所说:

Translators tend to have relatively little freedom in their dealing with patrons, at least if they want to have their translations published.

John of Trevisa's " Lord " states quite unequivocally: " I would have a skilful translation, that might be known and understood, " thus effectively delimiting the parameters for the translator's work. The Lord's answer to the translator's question: " Whether it is you lieber have, a translation of these chronicles in rhyme or in prose? " is equally obvious.

...

Du Bellay provides perhaps the bluntest statement of the limitations of the translator's freedom: " the obedience one owes [to patrons] admits of no excuse. " Publishers have since taken the place of Du Bellay's " princes and great lords, " and they tend to operate in less draconian ways, but their influence on the shaping of translations should not be underestimated.²³

译论史稿辑要

(1) In some place I shall set word for word, and active for active, and passive for passive, a-row right as it standeth, without changing of the order of words. But in some place I must change the order of words, and set active for passive and again-ward. And in some place I must set a reason for a word and tell what it meaneth. But for all such changing the meaning shall stand and not be changed.

---- John de Trevisa 's preface to his English prose version of Higden's *Polychronicon* in *Epistle of Sir John Trevisa*, in Pollard, *Fifteenth Century Prose and Verse*^[23]

(2)

The Clerk: Ye can speak, read, and understand Latin; then it needeth not have an English translation.

The Lord: I deny this argument; for though I can speak, read, and understand Latin, there is such Latin in those books that I cannot understand, neither thou, without studying, avisement, and looking of other books. Also, though it were not needful for me, it is needful for other men that understandeth no Latin.

The Clerk: Men that understand no Latin may learn and understand.

The Lord: Not all; for some may not for other manner business, some for age, some for default of wit, some for default of chattel, others of friends to find them to school, and some for other divers faults and lets.

Clerk: Then they that understand no Latin may ask and be informed and ytaught of them that understand Latin.

The Lord: Thou speakest wonderly, for the lewd man wots not what he should ask, and namely of lore of deeds that come never in his mind; nor wots of whom commonly he should ask. Also, not all men that understand Latin have such books to inform lewd men; also some can not, and some may not, have while, and so it needeth to have an English translation.

The Clerk: The Latin is both good and fair, therefore it needeth not have an English translation.

The Lord: The reason is worthy to be plunged in a puddle and laid in a powder of lewdness and of shame. It might well be that thou makest only in mirth and in game.

The Clerk: The reason must stand but it be assoiled.

The Lord: Also holy writ in Latin is both good and fair, and yet for to make a sermon of holy writ all in Latin to men that can English and no Latin, it were a lewd deed, for they be never the. wiser for the Latin, but it be told them in English what the Latin is to mean without translation out of Latin into English. Then it needeth to have an English translation, and for to keep it in mind that it be not forgotten, it is better that such a translation be made and written than said and not written. And so this foresaid lewd reason should move no man that hath any wit to leave the making of English translation.

The clerk: If a translation were made that might be amended in any point, some men it would blame.

The Lord: If men blame that is not worthy to be blamed, then they be to blame. Clerks know well enough that no sinful man doth so well that it ne might do better ne make so good a translation that he ne be better. I desire not translation of these the best that might be, for that were an idle desire for any man that is now alive, but I would have a skilful translation, that might be known and understood.

The Clerk: Whether it is you liefer have, a translation of these chronicles in rhyme or in prose?

The Lord: In prose, for commonly prose is more clear than rhyme, more easy and more plain to know and understand.

---- John de Trevisa, the "Dialogue between a Lord and a Clerk upon Translation"²⁴

20. (英) 威廉·卡克斯顿 William Caxton



William Caxton, 1422-1491

生平及重要译论

威廉·卡克斯顿 William Caxton, 1422-1491, 英国第一位印刷商、多产翻译家, 出生于英格兰肯特郡 (Kent) 的威尔德 (Weald), 继 Johannes Gutenberg 1450 年首先在德国创建印刷业 20 年后, 卡克斯顿出版了英国的第一部书、他自己翻译的 Raoul Lefèvre 的《特洛伊历史故事集》(*The Recuyell of the Historyes of Troye*) (1475)。他自己从拉丁语、法语和荷兰语翻译了 20 余部著作, 包括《查理大帝》(*Charles the Great*)、《勃兰夏丁和伊格兰》(*Blanchardyn and Eglantine*)、《伊尼德斯》(*Eneydos*)、《用武的绝技》(*Fayttes of Arms*)、《世界明镜》(*Mirror of the World*) 以及 John Munro 编辑的 Raoul Le Fevre *The History Of Jason* 等作品。

谈到翻译, 他在《查理大帝》的序言中说, 他的译文

不用华丽的辞藻, 也不用精致、新颖而优雅的风格。²⁵

他称自己的翻译风格为“朴素粗犷”。

他在《勃兰夏丁和伊格兰》的序言中也说: 他不懂“修辞艺术, 也不懂现时流行的优美辞令”, 惟一的希望是让读者读懂他的译文。

关于原文与译文的语言, 在《特洛伊历史故事集》的序言中他说英语译文应该模仿法语原作的“优美语言”, 而在其它一些翻译中他说只推敲译文语言, 没有必要模仿原作的语言。对于使用“过于奇怪的词语”的指责, 他说:

依我之见, 常用词比古词、旧词易于理解。

因此, 他说:

我采取折衷的方法译过这本书, 既不粗俗又不怪诞, 而是使用能为人们正确理解的英文。

21. (英) 卡文·道格拉斯

Cavin Douglas

生平及重要译论：

卡文·道格拉斯 Cavin Douglas, 1475-1522, 苏格兰诗人、文学翻译家，被誉为苏格兰翻译之父。由于不满意威廉·卡克斯顿 (William Caxton) 对维吉尔 (普布留斯·维吉留斯·马罗，通称维吉尔 Publius Vergilius Maro, 70B.C.-19B.C., 罗马作家) 的史诗《伊尼德》(*Aeneis*) 的英译，于 1513 年在亨利·辛克莱的支持下对十二卷《伊尼德》进行了重译。

道格拉斯在《伊尼德》第一卷译文的序言中阐述他对于翻译的观点，特别是较深入地论述了译者的职责问题，并对中世纪过于自由的翻译方法进行了批评。

他批评卡克斯顿的翻译过于偏离了维吉尔的原作，随意删节和改变原书的情节结构，甚至“渲染爱情细节”，译文与原文的差异“就好比魔鬼和圣奥斯丁 (St. Austin) 之间的差异一样。”²⁶

他主张：

只要可能，就要忠实于原著。²⁷

绝对做到忠实是很困难的，但译者应该尽可能地忠实于原作，尽可能地做到相对忠实于原作。因此，道格拉斯自己的译文也往往比拉丁原文要长，他解释说：

有时一个拉丁词可能译成三个英语词，比如 *oppetere* 一词就是如此。

他还说：

英语如果不多用词就无法区别下面这类同义或近义词：animal 和 homo；genus, sexus 和 species；objectum 和 subjectum；arbor 和 lignum 等等。

22. (英) 威廉·廷代尔

William Tyndale



生平及重要译论：

威廉·廷代尔 William Tyndale, 1494?-1536, 著名人文主义者、宗教改革家、《圣经》翻译家，被尊为英国基督教改革之父（The father of the English reformation）和英国改革家（The Apostle of England）。出生于英国英格兰的格洛斯特郡（Gloucestershire），曾就读于牛津大学和剑桥大学，毕业后回到家乡从事私人教师工作。

廷代尔深感将《圣经》翻译成英语的重要并将此视为己任。于是，为传播新教思想，廷代尔于1523年将希腊语《新约》（New Testament）译成英语，并于次年为躲避伦敦主教的迫害逃往德国汉堡，后几经周折于1526年出版发行了该《新约》英译本。同年他悄悄将英译本《新约》传入英国以继续传播新教思想，结果遭到英教会势力的攻击，甚至同为著名人文主义者的托马斯·莫尔（Sir Thomas More）也对其进行了激烈的攻击。伦敦主教宣布在廷代尔的译本中发现有两千处错误，因此将所有廷代尔的英译本《新约》公开焚毁。但廷代尔仍无畏地继续按照自己的理解诠释《圣经》并于1530年出版英译本《旧约全书》首五卷（*Pentateuch*），于1531年译出《旧约·约拿书》（*Jonah*），于1534年在比利时安特卫普（Antwerp）出版了《新约》修订本。该《新约》修订本于1535年和1536年经修改后再次发行。1535年5月廷代尔在安特卫普被英国间谍 Henry Phillips 出卖，并以信奉异教的罪名于1536年10月在布鲁塞尔附近被处以绞刑并被焚尸。

廷代尔为传播新教思想，在翻译《圣经》时充分考虑到译本的学术性、文学性和简明性，成功地将三者融为一体，对翻译所用语言仔细斟酌甚至再三润色修改，重视使用“地道的”英语词汇和普通大众所惯用的生动具体的表达形式，使译文文字纯朴自然毫无雕饰，突出通俗易懂的特点并融入希伯来语的特色，从而开创耳目一新的《圣经》翻译风格：通俗易懂并兼顾学术性和文学性。从廷代尔《圣经》的英译本不难看出其翻译特点和其对于翻译的指导思想及原则。廷代尔殉教后，其译本的影响越来越大，为后代所有英译本所效仿，即使钦定本《圣经》亦以廷代尔的译本为主要参考，廷代尔也被誉为“我们的英语《圣经》之父”（The Father of Our English Bible）。

译论史稿辑要：

（1）

W.T. TO THE READER

When I had translated the new testament, I added an epistle unto the latter end, in which I desired them that were learned to amend if ought were found amiss. But our malicious and wily hypocrites which are so stubborn and hard hearted in their wicked abominations that it is not possible for them to amend any thing at all (as we see by daily experience, when both their livings and doings are rebuked with the truth) say, some of them that it is impossible to translated the scripture into English, some that it is not lawful for the lay people to have it in their mother tongue, some, that it would make them all heretics, as it would no doubt from many things which they of long time have falsely taught, and that is the whole cause wherefore they forbid it, though they other cloaks pretend. And some or rather every one, say that it would make them rise against the king, whom they themselves (unto their damnation) never yet obeyed. And lest the temporal rulers should see their falsehood, if the scripture came to light, causeth them so to lie.

And as for my translation in which they affirm unto the lay people (as I have heard say) to be I wot not how many thousand heresies, so that it cannot be mended or correct, they have yet taken so great pain to examine it, and to compare it unto that they would fain have it and to their own imaginations and juggling terms, and to have somewhat to rail at, and under that cloak to blaspheme the truth, that they might with as little labour (as I suppose) have translated the most part of the bible. For they which in times past were wont to look on no more scripture than they

found in their Duns or such like devilish doctrine, have yet now so narrowly looked on my translation, that there is not so much as one *i* therein if it lack a tittle over his head, but they have noted it, and number it unto the ignorant people for an heresy. Finally in this they be all agreed, to drive you from the knowledge of the scripture, and that ye shall not have the text thereof in the mother tongue, and to keep the world still in darkness, to the intent they might sit in the consciences of the people, through vain superstition and false doctrine, to satisfy their filthy lusts, their proud ambition, and unsatiable covetousness, and to exalt their own honour above king and emperor, yea and above God himself.

A thousand books had they lever to be put forth against their abominable doings and doctrine, than that the scripture should come to light. For as long as they may keep that down, they will so darken the right way with the mist of their sophistry, and so tangle them that either rebuke or despise their abominations with arguments of philosophy and with worldly similitudes and apparent reasons of natural wisdom. And with wresting the scripture unto their own purpose clean contrary unto the process, order and meaning of the text, and so delude them in descanting upon it with allegories, and amaze them expounding it in many senses before the unlearned lay people (when it hath but one simple literal sense whose light the owls cannot abide) that though thou feel in thine heart and art sure how that all is false that they say, yet couldst thou not solve their subtle riddles.

Which thing only moved me to translate the new testament. Because I had perceived by experience how that it was impossible to establish the lay people in any truth, except the scripture were plainly laid before their eyes in their mother tongue, that they might see the process, order, and meaning of the text: for else whatsoever truth is taught them, these enemies of all truth quench it again, partly with the smoke of their bottomless pit whereof thou readerst Apocalypse ix, that is, with apparent reasons of sophistry, and traditions of their own making, founded without ground of scripture, and partly in juggling with the text, expounding it in such a sense as is impossible to gather of the text, if thou see the process, order, and meaning thereof.

And even in the bishop of London's house I intended to have done it. For when I was so turmoiled in the country where I was that I could no longer there dwell (the process whereof were too long here to rehearse) I this wise thought in myself, this I suffer because the priests of the country be unlearned, as God it knoweth there are a full ignorant sort which have seen no more Latin than that they read in their portesses and missals which yet many of them can scarcely read, (except it be Albertus *de secretis mulierum* in which yet, though they be never so sorrily learned, they pore day and night, and make notes therein and all to teach the midwives as they say, and Linwode a book of constitutions to gather tithes, mortuaries, offerings, customs, and other pillage, which they call, not theirs, but God's part and the duty of holy church, to discharge their consciences withal: for they are bound that they shall not diminish, but increase all thing unto the uttermost of their powers) and therefore (because they are thus unlearned, thought I) when they come together to the ale house, which is their preaching place, they affirm that my sayings are heresy. And besides that they add to of their own heads which I never spake, as the manner is to prolong the tale to short the time withal, and accused me secretly to the chancellor and other the bishop's officers. And indeed, when I came before the chancellor, he threatened me grievously, and reviled me, and rated me as though I had been a dog, and laid to my charge whereof there could be none accuser brought forth, (as their manner is not to bring forth the causer) and yet all the priests of the country were the same day there. As I this thought the bishop of London came to my remembrance whom Erasmus (whose tongue maketh of little gnats great elephants and lifteth up above the stars whosoever giveth him a little exhibition) praiseth exceedingly among other in his annotations on the new testament for his great learning. Then thought I, if I might come to this man's service, I were happy. And so I gat me to London, and, through the acquaintance of my master came to sir Harry Gilford, the king's grace's controller, and brought him an oration of Isocrates which I had translated out of Greek into English, and desired him to speak unto my lord of London for me, which he also did as he shewed me, and willed me to write an epistle to my lord, and to go to him myself which I also did, and delivered my epistle to a servant of his own, one William Hebilthwayte, a man of mine

old acquaintance. But God which knoweth what is within hypocrites, saw that I was beguiled, and that that counsel was not the next way unto my purpose. And therefore he gat me no favour in my lord's sight.

Whereupon my lord answered me, his house was full, he had more than he could well find, and advised me to seek in London, where he said I could not lack a service. And so in London I abode almost an year, and marked the course of the world, and heard our praters — I would say "our preachers" — how they boasted themselves and their high authority, and beheld the pomp of our prelates and how busied they were, as they yet are, to set peace and unity in the world (though it be not possible for them that walk in darkness to continue long in peace, for they cannot but either stumble or dash themselves at one thing or another that shall clean unquiet all together), and saw things whereof I defer to speak at this time, and understood at the last not only that there was no room in my lord of London's palace to translate the New Testament, but also that there was no place to do it in all England, as experience doth now openly declare.

Under what manner therefore should I now submit this book to be corrected and amended of them, which can suffer nothing to be well? Or what protestation should I make in such a matter unto our prelates, those stubborn Nimrods which so mightily fight against God and resist his holy spirit, enforcing with all craft and subtlety to quench the light of the everlasting testament, promises, and appointment made between God and us? And heaping the fierce wrath of God upon all princes and rulers, mocking them with false feigned names of hypocrisy, and serving their lusts at all points, and dispensing with them even of the very laws of God, of which Christ himself testifieth (Matthew 5) that not so much as one tittle thereof may perish or be broken. And of which the prophet sayeth (Psalm 118): Thou hast commanded thy laws to be kept "meod", that is in Hebrew "exceedingly," with all diligence, might, and power, and have made them so mad with their juggling charms and crafty persuasions that they think it full satisfaction for all their wicked living, to torment such as tell them truth, and to burn the word of their soul's health, and slay whosoever believe thereon.

Notwithstanding, yet I submit this book and all other that I have other made or translated, or shall in time to come (if it be God's will that I shall further labor in his harvest) unto all them that submit themselves unto the word of God, to be corrected of them — yea, and moreover, to be disallowed and also burnt, if it seem worthy when they have examined it with the Hebrew, so that they first put forth of their own translating another that is more correct.

---- Tyndale's *Old Testament*²⁸

(2)

To the Reader

Give diligence, reader (I exhort thee) that thou come with a pure mind, and, as the Scripture saith, with a single eye, unto the words of health and of eternal life, by the which (if we repent and believe them) we are born anew, created afresh, and enjoy the fruits of the blood of Christ. Which blood crieth not for vengeance, as the blood of Abel, but hath purchased life, love, favor, grace, blessing, and whatsoever is promised in the Scriptures, to them that believe and obey God, and standeth between us and wrath, vengeance, curse, and whatsoever the Scripture threateneth against the unbelievers and disobedient, which resist, and consent not in their hearts to the law of God, that it is right, holy, just, and ought so to be.

Mark the plain and manifest places of the Scriptures, and in doubtful places see thou add no interpretation contrary to them; but (as Paul saith) let all be conformable and agreeing to the faith.

Note the difference of the Law and of the Gospel. The one asketh and requireth, the other pardoneth and forgiveth. The one threateneth, the other promiseth all good things to them that set their trust in Christ only. The *gospel* signifieth *glad tidings*, and is nothing but the promises of good things. All is not gospel that is written in the gospel book: for if the law were away, thou couldest not know what the gospel meant, even as thou couldest not see pardon, favor, and grace except the law rebuked thee, and declared unto thee thy sin, misdeed, and trespass.

Repent and believe the gospel, as saith Christ in the first of Mark. Apply alway the Law to thy deeds, whether thou find lust ¹ in the bottom of thine heart to the law-ward, and so shalt thou no doubt repent, and feel in thyself a certain sorrow, pain, and grief to thine heart, because thou canst not with full lust do the deeds of the law. Apply the gospel — that is to say the promises — unto the deserving of Christ, and to the mercy of God and his truth, and so shalt thou not despair, but shall feel God as a kind and a merciful father. And his spirit shall dwell in thee, and shall be strong in thee, and the promises shall be given thee at the last (though not by and by, lest thou shouldest forget thyself, and be negligent) and all threatenings shall be forgiven thee for Christ's blood's sake — to whom commit thyself altogether — without respect either of thy good deeds or of thy bad.

Them that are learned Christianly I beseech — forasmuch as I am sure, and my conscience beareth me record, that of a pure intent, singly and faithfully I have interpreted it, as far forth as God gave me the gift of knowledge and understanding — that the rudeness of the work now at the first time offend them not, but that they consider how that I had no man to counterfeit, neither was helped with English of any that had interpreted the same or such like things in the Scripture beforetime. Moreover, even very necessity and cumbrance (God is record) above strength — which I will not rehearse, lest we should seem to boast ourselves — caused that many things are lacking which necessarily are required. Count it as a thing not having his full shape, but as it were born before his time, even as a thing begun rather than finished. In time to come (if God have appointed us thereunto) we will give it his full shape, and put out if aught be added superfluously, and add to if aught be overseen through negligence, and will enforce to bring to compendiousness that which is now translated at the length, and to give light where it is required, and to seek in certain places more proper English, and with a table to expound the words which are not commonly used and show how the Scripture useth many words which are otherwise understood of the common people, and to help with a declaration where one tongue taketh not another; and will endeavor ourselves, as it were, to seeth ² it better, and to make it more apt for the weak stomachs; desiring them that are learned and able, to remember their duty, and to help thereunto, and to bestow unto the edifying of Christ's body (which is the congregation of them that believe) those gifts which they have received of God for the same purpose. The grace that cometh of Christ be with them that love him.

Pray for us.

Notes:

¹ "Lust" here is used in a good sense: eagerness to obey.

² "Seeth" means "boil, cook."

---- Tyndale's Prefaces to *NEW TESTAMENT*²⁹

(3)

W.T. UNTO THE READER

Here thou hast (most dear reader) the new testament or covenant made with us of God in Christ's blood. Which I have looked over again (now at the last) with all diligence, and compared it unto the Greek, and have weeded out of it many faults, which lack of help at the beginning, and oversight, did sow therein. If ought seem changed, or not altogether agreeing with the Greek, let the finder of the fault consider the Hebrew phrase or manner of speech left in the Greek words. Whose preterperfect tense and present tense is oft both one, and the future tense is the optative mode also, and the future tense is oft the imperative mode in the active voice, and in the passive ever. Likewise person for person, number for number, and an interrogation for a conditional, and such like is with the Hebrews a common usage.

I have also in many places set light in the margin to understand the text by. If any man find faults either with the

translation or ought beside (which is easier for many to do, than so well to have translated it themselves of their own pregnant wits, at the beginning without fore-example) to the same it shall be lawful to translate it themselves and to put what they lust thereto. If I shall perceive either by myself or by the information of other, that ought be excaped me, or might be more plainly translated, I will shortly after, cause it to be mended. Howbeit in many places, me thinketh it better to put a declaration in the margin, than to run too far from the text. And in many places, where the text seemeth at the first chop hard to be understood, yet the circumstances before and after, and often reading together, maketh it plain enough etc.

Moreover, because the kingdom of heaven, which is the scripture and word of God, may be so locked up, that he which readeth or heareth it, cannot understand it: as Christ testifieth how that the scribes and Pharisees had so shut it up (Matt.23) and had taken away the key of knowledge (Luke 11) that their Jews which thought themselves within, were yet so locked out, and are to this day that they can understand no sentence of the scripture unto their salvation, though they can rehearse the texts everywhere and dispute thereof as subtly as the popish doctors of dunce's dark learning, which with their sophistry, served us, as the Pharisees did the Jews. Therefore (that I might be found faithful to my father and Lord in distributing unto my brethren and fellows of one faith, their due and necessary food: so dressing it and seasoning it, that the weak stomachs may receive it also, and be the better for it) I thought it my duty (most dear reader) to warn thee before, and to shew thee the right way in, and to give thee the true key to open it withal, and to arm thee against false prophets and malicious hypocrites, whose perpetual study is to leaven the scripture with glosses, and there to lock it up where it should save thy soul, and to make us shoot at a wrong mark, to put our trust in those things that profit their bellies only and slay our souls.

The right way: yea and the only way to understand the scripture unto our salvation, is, that we earnestly and above all thing, search for the profession of our baptism or covenants made between God and us. As for an example: Christ saith (Matt.5) Happy are the merciful, for they shall obtain mercy. Lo, here God hath made a covenant with us, to be merciful unto us, if we will be merciful one to another: so that the man which sheweth mercy unto his neighbour, may be bold to trust in God for mercy at all needs. And contrary-wise, judgement without mercy, shall be to him that sheweth not mercy (Jas. 2). So now, if he that showeth no mercy, trust in God for mercy, his faith is carnal and worldly, and but vain presumption. For God hath promised mercy only to the merciful. And therefore the merciless have not God's word that they shall have mercy: but contrary-wise, that they shall have judgement without mercy. And (Matt. 6) If ye shall forgive men their faults, your heavenly father shall forgive you: but and if ye shall not forgive men their faults, no more shall your father forgive you your faults. Here also by the virtue and strength of this covenant wherewith God of his mercy hath bound himself to us unworthy, may he that forgiveth his neighbour, be bold when he returneth and amendeth to believe and trust in God for remission of whatsoever he hath done amiss. And contrary-wise, he that will not forgive, cannot but despair of forgivenell in the end, and fear judgement without mercy.

The general covenant wherein all other are comprehended and included, is this. If we meek ourselves to God, to keep all his laws, after the example of Christ: then God hath bound himself unto us to keep and make good all the mercies promised in Christ, throughout all the scripture.

---- Tyndale's *New Testament*³⁰

(4)

Let it not make thee despair, neither yet discourage thee, O reader, that it is forbidden thee in pain of life and goods, or that it is made breaking of the king's peace, or treason unto his highness, to read the Word of thy soul's health; ... for if God be on our side, what matter maketh it who be against us, be they bishops, cardinals, popes ...

Five Objections: Answered

1. They tell you that Scripture ought not to be in the mother tongue, but that is only because they fear the light, and desire to lead you blindfold and in captivity...

2. They say that Scripture needs a pure and quiet mind, and that laymen are too cumbered with worldly business to understand it. This weapon strikes themselves: for who is so tangled with worldly matters as the prelates?

3. They say that laymen would interpret it each after his own way. Why then do the curates not teach the people the right way? The Scripture would be a basis for such teaching and a test of it. At present their lives and their teaching are so contrary that the people do not believe them, even when they preach truth...

4. They say our tongue is too rude. It is not so. Greek and Hebrew go more easily into English than into Latin. Has not God made the English tongue as well as others? They suffer you to read in English of Robin Hood, Bevis of Hampton, Hercules, Troilus, and a thousand ribald or filthy tales. It is only the Scripture that is forbidden. It is therefore clearer than the sun that this forbiddal is not "for love of your souls, which they care for as the fox doth for the geese."

5. They say we need doctors to interpret Scripture [because] it is so hard... There are errors even in Origen and Augustine; how can we test them save by the Scripture?... We do not wish to abolish teaching and to make every man his own master, but if the curates will not teach the gospel, the layman must have the Scripture, and read it for himself, taking God for his teacher.

---- William Tyndale's Introduction to *The Obedience of a Christian Man*³¹

附：托马斯·莫尔（Sir Thomas More）对廷代尔的指控

托马斯·莫尔（Sir Thomas More）简介：



托马斯·莫尔 Sir Thomas More, 1478—1535，英国早期最主要的人文主义者、作家、思想家和政治家，出身于伦敦市民上层，曾就读牛津大学，与埃拉斯慕斯（Desiderius Erasmus）交往较密切。曾任英国下议院议长和英国最高法官。由于同情人民和反对宗教改革而被处死。

托马斯·莫尔著述颇多，其最著名的代表作为两卷本的《乌托邦》（*Utopia*），书中描述了一个以“各尽所能、按需分配”（From everyone according to his capacities, to everyone according to his needs）为“乌托邦”原则的没有私有制、没有剥削、人与人关系和谐的空想的（乌托邦式的）“共产主义”社会制度。

托马斯·莫尔对英国当时的“圈地运动”和由于宗教改革给人民带来的痛苦表示极大的同情，因此他厌恶并极力反对宗教改革，并为此写下九本著作对于廷代尔利用翻译《圣经》宣传新教进行痛斥。他指控廷代尔企图利用译文来改变宗教信仰（Tyndale changed in his translation the common known words to the intent to make a change in the faith）（参阅下面的“译论史稿辑要”），而这是大逆不道的。因为他认为《圣经》体现的是基督教文化的核心价值，而“不可接受的”（unacceptable）翻译将会破坏这种宗教文化的根基，这是非常危险的，因为搞乱人们宗教信仰就会随意搞乱人们的行为规范。正如钦定本《圣经》序言中所言：

He that meddleth with men's religion in any part, meddleth with their custom, nay, with their freehold.

译论史稿辑要

For every man well knoweth that the intent and purpose of my dialogue was none other, but to make the people perceive that Tyndale changed in his translation the common known words to the intent to make a change in the faith. As for example that he changed the word church into this word congregation, because he would bring it in question which were the church and set forth Luther's heresy that the church which we should believe and obey, is not the common known body of all Christian realms remaining in the faith of Christ[...] but that the church which we should believe and obey, were some secret unknown sort of evil living and worse believing heretics. And that he changed priest into senior because he intended to set forth Luther's heresy teaching that priesthood is no sacrament but the office of a lay man or a lay woman appointed by the people to preach. And that he changed penance into repenting because he would set forth Luther's heresy teaching that penance is no sacrament.

And I made my book to good Christian people that know such heresies for heresies to give them warning that by scripture of his own false forging (for so is his false translation, and not the scripture of god) he should not beguile them, and make them ween the thing were otherwise than it is in deed. For as for such as are so mad all ready, to take those heresies for other than heresies, and are thereby them selves no faithful folk but heretics, if they list not to learn and leave off, but longer to lie still in their false belief: it were all in vain to give them warning thereof. For when their wills be bent thereto, and their hearts set thereon: there will no warning serve them. And therefore sith Tyndale hath here confessed in his defense that he made such changes for the setting forth of such things as I said: it is enough for good Christian men that know these things for heresies, to abhor and burn up his books.

And yet defending himself so fondly, and teaching open heresies so shamefully: he sayeth it appeareth that there was no cause to burn his translation, wherein such changes be found as ye see, and being changed for such causes as him self confesseth that is to wit for a foundation of such pestilent heresies as him self affirmeth and writeth in his abominable books: he might much better if he cut a man's throat in the open street, say there were no cause to hang him but bid men seek up his knife and see it him safe. This might he in good faith much better say then, than he may now say that there is no cause to burn his translation. With the falsehood whereof and his false heresies brought in there withal: he hath killed and destroyed diverse men, and may hereafter many, some in body, some in soul, and some in both twain.

23. (英) 威廉·富尔克 William Fulke



William Fulke, 1538-1589

by William Marshall (1630-1650)

after Unknown artist, Date: published 1633

生平及重要译论：

威廉·富尔克 William Fulke, 1538-1589，著名新教思辩家、清教神学家，具有人文主义思想，十六世纪最为重要的《圣经》研究者和《圣经》翻译理论研究者。出生于伦敦，毕业于剑桥大学，曾学习过六年法律，并曾在剑桥大学任教。

富尔克的主要翻译理论见于 1589 年出版的《为忠实英译〈圣经〉辩护——反驳格列高里·马丁的挑剔》（*A Defence of the Sincere and True Translations of the Holy Scriptures into the English Tongue: Against the Cavils of Gregory Martin*）（由 Charles H. Hartshorne 编辑）。马丁（Gregory Martin）曾经翻译过《圣经》，曾于 1582 年出版《当代异教徒对〈圣经〉的误译面面观》（*A Discovery of the Manifold Corruptions of the Holy Scriptures by the Heretics of Our Days*），攻击所有新教徒的《圣经》翻译。富尔克在《为忠实英译〈圣经〉辩护——反驳格列高里·马丁的挑剔》一书中对马丁保守、蒙昧主义的观点和对新教翻译《圣经》的攻击进行了全面的驳斥。

富尔克主要从两个方面对马丁进行反击，同时阐明自己对翻译理论的观点。

一是翻译与信仰的关系。马丁将《圣经》翻译置于神学权威之下，并提出严格的翻译公式。马丁的这种《圣经》翻译理论其实与斐洛·犹达欧斯（Philo Judaeus）“受上帝的感召”的思想是一脉相承的。富尔克对此进行了批驳。他认为译者应当精通多种语言，这样才能对《圣经》中的教导做出准确的判断而不会盲从。译者的翻译能力在于其是否具有坚实的语言能力，与信仰上帝没有直接关系。如此，他将《圣经》的翻译从凌驾其上的狭隘的神学传统中解放了出来，打开了《圣经》翻译的新的大门。他针对马丁的异教徒威胁反驳道：

即使是翻译的动机不良，但只要译文符合原作的语言 and 意思，就不能说译者是不忠实于原文的异教徒。³³

二是翻译与语言的关系，即翻译语言问题。这是富尔克与马丁互相攻击的焦点。马丁攻击有些《圣经》译者没有遵循基督教会对有关《圣经》词语的使用方法，而是使用“民族语作者的惯常做法”，用“词源含义”解释宗教用语，并参照荷马、普利尼、维吉尔等非宗教作家的用法来确定词义。对此，富尔克认为：

我们曾经指出过，词语不应一概按它们原来具有的一般意思，而应当按它们在使用中被实际采纳的意思来翻译。我们也同意，由于使用习惯而具备了基督教意义的词不应再还原成不含宗教意义的词。

但他认为更重要的是，不能将教会的权威解释绝对化。他说：

神甫怎样使用语言并不是《圣经》译者所必须遵循的法则，译者往往可以按人民的实际运用而不按古代使徒的方式来使用语言。

他还说：

我们不是支配人们说话方式的老爷，倘若是，我们就会教他们如何如何更恰当地使用语言；正因为我们不可能改变人们的说话方式，我们就只好遵照亚里士多德的训导，使用普通人所使用的语言。³⁴

富尔克很策略地搬出古代圣人来说明如何解决《圣经》翻译中出现的语言表达困难：在翻译中不论是对原文词语的理解困难还是对译文的措词困难，都应当参考非宗教作者和普通大众的语言习惯，前者可能更多参考的是古代的语言习惯，而后者可能更多参考当代的语言习惯。一句话，宗教用法与普通用法出现矛盾的时候，宗教用法应当让位于普通用法，翻译时以普通大众的说法为依据，目的则是为了使译文易于理解。

此外，对于翻译使用外来词问题，富尔克则表现了保守的观点，主张尽量发掘英语本身的表达潜力，尽量避免过多借用外来词。他举例来说明他的观点：如果译者

不用 *elders* 而用 *ancients*，不用 *wise men* 而用 *sages*，那就好比你在说法语，而不是象我们一样在说英语，正如翻译 *confide* 这个词，你按法语习惯译成‘*have a good heart*’，按英语习惯则会译成‘*be of good comfort*’。

倘若你使用 *evangelized* 这个词，那你就不是在翻译，而是在杜撰不为一般英国读者所理解的新词。

富尔克关于翻译理论的辩论是具有历史意义的。他的关于翻译的语言问题的精辟论说，可以说是为整个文艺复兴时期的西方译学理论的发展划上了一个圆满的句号；自此，民族语言终于正式进入翻译的殿堂，拉丁语一统天下的局面已经一去不再复返。而翻译实践和翻译理论的发展也终于走出漫长的中世纪，进入一个更为重要的发展新时期。

译论史稿辑要

Now to answer you, why *ecclesia* was first translated "congregation", and afterward "church"; the reason that moved the first translators, I think, was this : the word *church* of the common people at that time was used ambiguously, both for the assembly of the faithful, and for the place in which they assembled ; for the avoiding of which ambiguity they translated *ecclesia* the congregation; and

yet in their creed, and in the notes of their bibles, in preaching and writing, they used the word church for the same : the later translators, seeing the people better instructed and able to discern, when they read in the scriptures, the people from the place of their meeting, used the word church in their translations, as they did in their preaching. These are weighty matters that we must give account of them. Why we change not ordinances into traditions, and elders into priests, we will answer when we come to the proper places of them. In the mean season we think, there is as good cause for us in translating, sometime to avoid the terms of traditions and priest, as for you to avoid the names of elders, calling them ancients, and the wise men sages, as though you had rather speak French than English, as we do: like as you translate *confide*, " have a good heart," after the French phrase, rather than you would say as we do, "be of good comfort."

[...]

[...]It is well, that being convicted by all dictionaries, old and new, you will at length yield to the truth. But you demand, whether the dictionaries do tell me that I may commonly and ordinarily translate it so, as the common usual signification thereof. Sir, I meddle only with the translations of the scripture; and the dictionaries tell me that so it usually signifieth, and therefore so I may translate in the scripture, or any other ancient Greek writer, that useth the word according to the original propriety thereof. Peradventure some later Greek writers, restraining it only to wicked images, may so use the term, as the general signification thereof will not agree to the meaning in some odd place or other. But that is no matter to plead against our translation of the scripture, when in that time it was written the word was indifferent, to signify any image. Further than this, you ask of me, if the dictionaries do tell me, that image and idol are all one, and wheresoever I find the word *imago*, I may truly call it idol? No, forsooth, Sir, they teach me no such thing: neither do I say that the word image and idol may be confounded; but the clean contrary, if your mastership had not mistaken me, because it was not your pleasure to take me either according to my words, or according to my meaning. Why, Sir, " these are the points you should defend in your answer: for an example, do they teach you to translate in these places thus, 'God hath predestinated us to be made conformable to the idol of his Son'? and again, 'We have borne the idol of the earthly,' &c." I pray you, Sir, pardon me to defend that I never said nor thought: you yourself confess in the end, that I say, that no Christian man would say so: wherefore when you say that I affirm, this is a true translation according to the propriety of the word; can I say less? Then you lie like a popish hypocrite.

[...]

But now you will return to those words of mine, where I say, that though the original propriety of the words hath that signification, yet no Christian man would say, that God made man according to his idol, no more than a good subject would call his lawful prince a tyrant. These words, you say, do tell us, that we may not speak or translate according to the original propriety of the word, but according to the common, usual, and accustomed signification thereof. For speaking, I grant, as the words are used in our time: but for translating, I say you must regard how the words were used in time of the writer, whose works you translate.

[...]

[...]To this I answer, We are not lords of the common speech of men; for if we were, we would teach them to use their terms more properly: but seeing we cannot change the use of speech, we follow Aristotle's counsel, which is to speak and use words as the common people useth, but to understand and conceive of things according to the nature and true property of them. Although, for my part, I like well of the French translation, which for *iepeis*, or *sacerdotes*, always translateth *sacrificateurs*, "sacrificers; " and for *presbyteri*, where they signify the ministers of the word and sacraments, *prestres*, " priests." But this diversity being only of words, and not of matter or meaning, reasonable men will take an answer; fools and quarrellers will never acknowledge any satisfaction.

[...]

The other before is not a more lewd slander, than this is a foolish cavil. The Greek word signifieth not simply to "preach", [but "to preach] the gospel", or "good tidings," which both may, and ought to be expressed, where the phrase of our tongue will abide it. And therefore the Geneva translation is imperfect in this place, rather than the other. When you say " evangelized," you do not translate, but feign a new word, which is not understood of mere English ears; as you do in an hundred places beside, to make the scripture dark and unprofitable to the ignorant readers. And if the word signifieth no more but "to preach," "to tell," "to shew," as you would seem to prove by a number of quotations, why do you use that new word " evangelize ?" which, if it were understood and in use, is more than simply " to preach", " to tell," " to shew," But of all other your mad surmises, this is the most monstrous, that this is "added to make the reader think that there is no other word of God, but the written word. " Doth "gospel," I pray you, signify the writ-

ten word? The common hearer, you say, hearing this word "gospel," conceiveth nothing else. I am persuaded there is no such reader in England, except it be some of your viperous brood, that thinketh the gospel to be nothing but the story written by the four evangelists: whereas all true Christians know the gospel to be contained, not only in those stories, but also in other writings of the apostles; and that the gospel is preached, whensoever a good sermon teaching the way unto salvation is preached. Howsoever the Septuaginta used the word *evangelizo* in the Old Testament, we are not to learn the signification thereof out of their translation, but out of the scribes of the Holy Ghost in the New Testament.

[...]

--- William Fulke, *A defence of the sincere and true translations of the Holy Scriptures into the English tongue: against the cavils of Gregory Martin*^[34]

24. (英) 菲尔蒙·荷兰德 Philemon Holland

生平及重要译论

菲尔蒙·荷兰德 Philemon Holland, 1552-1637, 英国著名学者和十六世纪英国最为杰出的翻译家, 被誉为伊丽莎白时代的“总翻译”(Translator General in his age), 懂得“翻译的秘诀”。出生于英格兰的切姆斯福市(Chelmsford), 毕业于剑桥大学, 曾做过外科医生, 还在考文垂做过中学校长, “是一位博学的翻译家和学者, 精通希腊语和拉丁语, 精于古代文字和谚语, 又通修辞学。”³⁵ 他直接从希腊语和拉丁语原文进行翻译, 译著颇丰, 题材广泛: 1600 年翻译了古罗马历史学家李维(Livy, 59B.C.-17A.D.) 的《罗马史》(*Romane Historie*), 1601 年翻译了普利尼的《博物学》(*Natural Historie*), 1603 年翻译了绥通纽斯的《十二凯撒传》(*The Historie of the Twelve Caesars*), 以及色诺芬(Xenophon, 430? B.C.-335 B.C., 希腊历史作家) 的作品。

荷兰德的译论主要是在两个方面: 翻译的目的和翻译的风格。

关于翻译的目的, 荷兰德坚持翻译必须要有明确的目的, 即翻译必须要为现实服务。他说:

本人既无缘份又不希望做到尽善尽美, 创造出能消除读者痛苦的译文, 更谈不上给原作增添内容, 然而我与祖国、与我所生活的可爱的时代息息相关, 因此我要对本人在长久和平的、安全的时期里所度过的时光和 从事过的研究进行一番检验, 在这个和平安全的时期里, 文学得到了前所未有的自由而蓬勃的发展。我似乎应当象许多其他人一样, 给后世留下某种小小的纪念品, 以说明我们这个和平的时代究竟有什么成果。因此, 本人.....竭尽全力, 于工作及生活之余把时间用于满足同胞和未来时代的需要。³⁶

他还特别强调翻译的实用性和大众化。他说, 他翻译《博物学》是因为

不仅适合有学问的人, 而且也适合乡村尚未开化的农民, 适合城市辛勤的手工业者。³⁷

为了做到实用性和大众化, 他主张用新的术语来代替那些晦涩难懂的罗马词汇, 必要时还要增加解释。关于翻译的风格, 荷兰德主张译文语言要地道, 要用本国词语。他说:

我没采用矫揉造作的语言, 而采用通俗的风格。³⁸

他还重视区分不同作品的不同写作风格，认为原作的风格要在译文中得到体现，不同风格的作品要用不同的风格进行翻译。荷兰德自己的翻译就鲜明地再现了原作的风格特征，其翻译的《博物学》具有鲜明的科学作品的风格，而其翻译的《罗马史》则具有鲜明的传记作品的风格。例如，下面李维的拉丁文《罗马史》第五卷描述从高卢人（the Gauls）手中拯救古罗马朱庇特神庙（the Capitol）的著名段落简洁明快：

Anseres non fefellere, quibus sacris Junonis in summa inopia cibi tamen abstinebatur. Quae res saluti fuit; namque clangore eorum alarumque crepitu excitus M. Manlius, qui triennio ante consul fuerat, vir bello egregius, armis arreptis simul ad arma ceteros ciens vadit.

荷兰德的英文译文尽管贴近原文，却有着自己的色彩和风格：

But they could not so escape the geese which were consecrated unto *Juno*, and for all the scarcitie of victuals were spared and not killed up. And this it was that saved them all. For with their gagling and fluttering of their wings, *M. Manlius*, who three yeares before had been Consul, a right hardie and noble warriour, was awaked. Who taking weapon in hand, speedily went forth and raised the rest withall to take armes.

其中，gagling 一词用得极妙，紧紧地抓住了读者；而将 *vir bello egregius* 译成 a right hardie and noble warriour，更是具有散文的音乐感。³⁹

译论史稿辑要：

（1）

According to this purpose and intent of mine, I frame my pen, not to any affected phrase, but to a meane and popular stile. Wherein, if I have called againe into use some old words, let it be attributed to the love of my countrey language: if the sentence be not so concise, couched and knit together together as the original⁴⁰, loth I was to be obscure and darke: have I not Englished every word aptly? ech nation hath several maners, yea, and tearmes appropriate by themselves.⁴⁰

（2）

Like as Alcibiades said to one[*char*], *i.e. strike hardly (Euribiades) so you heare me speake*: even so I say; Find fault and spare not; but withal, read the original better before you give sentence.⁴¹

（3）

And yet some there be so gross to give out that these and such like books ought not to be published in the vulgar tongue. It is a shame (quoth one) that *Livy* speaketh English as he doth: Latinists only are to be acquainted with him: as who would say, the soldier were to have recourse unto the university for military skill and knowledge: or the scholar to put on arms and pitch a camp. What should *Pliny* (saith another) be read in English, and the mysteries couched in his books divulged: as if the husbandman, the mason, carpenter, goldsmith, painter, lapidary, and engraver, with other artificers, were bound to seek unto great clerks or linguists for instructions in their several arts. Certes, such *Momi*, or critics as these, besides their blind and erroneous opinion, think not so honourably of their native country and mother tongue as they ought: who if they were so well affected that way as they should be, would wish rather, and endeavour by all means to triumph now over the Romans in subduing their literature under the dent of the English pen, in requitall for the conquest sometime over this Island, achieved by the edge of their sword. As for our

speech, was not Latin as common and natural in Italy, as English here with us. And if *Pliny* faulted not but deserved well of the Roman name, in laying abroad the riches and hidden treasures of Nature in that Dialect or Idiom which was familiar to the basest clown; why should any man be blamed for enterprising the semblable, to the commodity of that country in which and for which he was born. Are we the only nation under heaven unworthy to taste of such knowledge? Or is our language so barbarous, that it will not admit in proper terms a foreign phrase?

I honour them in my heart who have of late days trodden the way before me in *Plutarch*, *Tacitus*, and others, have made good proof, that as the tongue in an Englishman's head is framed so flexible and obsequent, that it can pronounce naturally any other language; so a pen in his hand is able to sufficiently express Greek, Latin, and Hebrew. If myself, a man by profession otherwise carried away, for gifts far inferior to many, and wanting such helps as others be furnished with, have in some sort taught those to speak English who were supposed very untoward to be brought unto it; what may be expected at their hand, who for leisure may attend better; in wit are more pregnant; and being graced with the opinion of men and favour of the time, may attempt what they will, and effect whatsoever they attempt with greater felicity? A painful and tedious travail I confess it is; neither make I doubt but many do note me for much folly in spending time herein, and neglecting some compendious course of gathering good, and pursing up pence. But when I look back at the example of *Pliny*, I must of necessity condemn both mine own sloth, and also reprove the supine negligence of these days.

---- "The Preface to the Reader" prefacing Philemon Holland's translation of *The Historie of the World*⁴²

(4)

The Preface to the Reader

Appie were they in they in times past reputed (and not unworthily) who had that gracious and heavenly gift, aut facere scribenda, aut scribere legenda: that is to say, either to doe such things as deserved to be written, or to write that which was worth the reading. Those that could not attaine to these two braunches of felicitie, and yet utterly disliked idlenes, contented themselves in a third degree, namely, to take in hand the old works of their auncients, and by new labours to immortalize their memorie. Thus Nicophantes (a famous painter in his time) gave his mind wholly to antique pictures, partly to exemplifie and take out their patternes after that in long continuance of time they were decayed; and in part to repaire and reforme the same, if haply by some iniurious accident they were defaced. The ingenuous mind of this artizan thus devoted to antiquitie, as I doe highly commend; so I cannot chuse but embrace his pollicie, seeking hereby to avoid the envie and reproofe of others. In this number I must raunge those learned men in severall ages, who to illustrat the monuments left by former writers, have annexed unto them their Commentaries; to save them entire and uncorrupt, have set thereto iudiciall observations; and to publish them for a generall benefit of posteritie, have translated the same into their mother language. As for my selfe, since it is neither my hap nor hope to attaine to such perfection, as to bring foorth somewhat of mine owne which may quit the pains of a reader, and much lesse to performe any action that might minister matter to a writer, and yet so farre bound unto my native countrey and the blessed state wherein I have lived, as to render an account of my yeers passed & studies employed, during this long time of peace and tranquillitie, wherein (under the most gracious and happie government of a peerelesse Princesse, assisted with so prudent, politique, and learned Counsell) all good literature hath had free progresse and flourished, in no age so much: me thought I owed this dutie, to leave for my part also (after many others) some small memoriall, that might give testimonie another day what fruits generally this peaceable age of our hath produced. Endeavoured I have therefore to stand in this third ranke, and bestowed those hours which might be spared from the practice of my profession, and the necessarie cares of this life, to satisife my countreyemen now living, and to graitife the age ensuing, in this kind. Like as therefore I have travailed in Titus Livius a renowned Historiographer, so I have proceeded to deale with Plinius Secundus the elder, as famous a Philosopher. Now, albeit my intention and only scope was, to do a pleasure unto them that could not read these authours in the originall: yet needs I must confesse, that

even my selfe have not only gained thereby encrease of the Latine tongue (wherein these works were written) but also growne to farther knowledge of the matter and argument therein contained. For this benefit wee reape by studying the books of such auncient authours, That the oftener we read them over, the more still we find and learne in them, as beeing so iudiciously and pithily penned, that, as the Poet said verie well, decies repetita placent. Well may the newest songs and last devised plaies delight our ears at the first, and for the present ravish our senses; like as horarie and early Summer fruits content our tast and please the appetit: but surely it is antiquitie that hath given grace, vigor, & strength to writings; even as age commendeth the most generous and best wines. In which regard, and upon this experience of mine owne, I nothing doubt but they also whome I might justly feare as hard censours of these my labours, will not only pitie me for my pains, but also in some measure yeeld me thanks in the end, when either by the light of the English (if they bee young students) they shall be able more readily to goe away with the darke phrase and obscure construction of the Latine; or (being great schollers and taking themselves for deepe Criticks) by conferring the one with the other, haply to espie wherein I have tripped, they shall by that means peruse once againe, and consequently gather new profit out of that authour whom peradventure they had laid by for many yeers as sufficiently understood. When some benefit (I say) shall accrew unto them likewise by this occasion, I lesse dread their fearfull doome, to which so wilfully I have exposed my selfe. Well I wist, that among the Athenians, order was taken by law, That an enterlude newly acted should be heard with silence and applause: which custome, as it was respectiue and favourable to the first endeavors of the actours, so it implied an inevitable danger of hissing out and utter disgrace, if afterwards they chanced to misse and faile in their parts. Having shewed my selfe once before upon the stage, presuming upon this priuiledge and the curtesie of the theatre, I might have now sitten still and so rested: in mounting up thus soon againe, I may seeme either in the assured confidence of mine owne worthinesse, to proclaime a challenge to all mens censures; or els upon a deepe conceit of some generall connivencie make reckning of an extraordinaire and wonderfull favour. But as the choise that I have made to publish the monuments of other men, without fathering any thing of mine owne, doth excuse and acquit me for the one; so the froward disposition of carpers in these daies wherein wee live, will checke the other. Howbeit, considering such pains undergone by me one man, for the pleasure of so many; so much time spent of mine, for gaining time to others; and some opportunities of privat lucre overslipt and lost, to win profit unto all; I feare not but these regards may deserve a friendly acceptance, & counterweigh all defects and faults escaped, whatsoever. The persuasion hereof, but principally the privitie of my affection at love unto my country (which assured me of a safe-conduct to passe peaceably through their hands who are of the better sort and well affected) induced me to a resolution not onely to enter upon this new taske, but also to breake through all difficulties, untill I had brought the same, if not to a full and absolute perfection, yet to an end and finall conclusion. Besides this naturall inclination & hope which carried me this way, other motives there were that made saile and set me forward. I saw how divers men before me had dealt with this authour, whiles some laboured to reforme whatsoever by iniurie of time was growne out of frame: others did their best to translate him into their own tongue, and namely, the Italian and French: moreover, the Title prefixed therto so univesall as it is, to wit, *The Historie of the World, or Reports of Nature*, imported (no doubt) that he first penned it for the generall good of mankind. Over and besides, the Argument ensuing full of varietie, furnished with discourses of all matters, not appropriate to the learned only, but accommodat to the rude paisant of the countrey; fitted for the painefull artizan in town and citie; pertinent to the bodily health of man, woman, and child; and in one world, suiting with all sorts of people living in a societie and commonweale. To say nothing of the precedent given by the authour himselfe who endited the same, not with any affected phrase, but sorting well with the capacitie even of the meanest and most unlettered: who also translated a good part thereof out of the Greeke. What should I alledge the example of former times, wherein the like hath evermore been approved and practised? Why should any man therefore take offence hereat, and envie this good to his naturall countrey, which was first meant for the whole world? And yet some there be so grosse as to give out, That these and such like books ought not to be published in the vulgar tongue. It is a

shame (quoth one) that Livie speaketh English as hee doth: Latinists onely are to bee acquainted with him: As who would say, the souldiour were to have recourse unto the universitie for militarie skill and knowledge; or the schollar to put on arms and pitch a campe. What should Plinie (saith another) bee read in English, and the mysteries couched in his books divulged: as if the husbandman, the mason, carpenter, goldsmith, painter, lapidarie, and engraver, with other artificers, were bound to seeke unto great clearks or linguists for instructions in their severall arts. Certes, such Momi as these, besides their blind and erroneous opinion, thinke not so honourably of their native countrey and mother tongue as they ought: who if they were so well affected that way as they should be, would wish rather and endeavour by all means to triumph now over the Romans in subduing their literature under the dent of the English pen, in requitall of the conquest sometime over this Island, atchieved by the edge of their sword. As for our speech, was not Latine as common and naturall in Italie, as English here with us. And if Plinie faulted not but deserved well of the Romane name, in laying abroad the riches and hidden treasures of Nature, in that Dialect or Idiome which was familiar to the basest clowne: why should any man be blamed for enterprising the semblable, to the commoditie of that countrey in which and for which he was borne. Are we the onely nation under heaven unworthie to tast of such knowledge? or is our language so barbarous, that it will not admit in proper tearms a forrein phrase? I honour them in my heart, who having of late daies troden the way before me in Plutarch, Tacitus, and others, have made good proofe, that as the tongue in an English mans head is framed so flexible and obsequent, that it can pronounce naturally any other language; so a pen in his hand is able sufficiently to expresse Greeke, Latine, and Hebrew. And my hope is, that after mee there will arise some industrious Flavij who may at length cornicum oculos configere. For if my selfe, a man by profession otherwise carried away, for gifts farre inferiour to many, and wanting such helps as others be furnished with, have in some sort taught those to speake English who were supposed verie untoward to bee brought unto it; what may be expected at their hands, who for leisure may attend better; in wit are more pregnant; and beeing graced with the opinion of men and favour of the time, may attempt what they will, and effect whatsoever they attempt with greater felicity? A painfull and tedious travaile I confesse it is; neither make I doubt but many do note me for much follie in spending time herein, and neglecting some compendious course of gathering good and pursing up pence. But when I looke back to the example of Plinie, I must of necessitie condemne both mine own sloth, and also reprove the supine negligence of these daies. A courtiour he was, and a great favourit of the Vespasians both father and sonne: an oratour besides, and pleaded many causes at the barre: a martiall man withall, and served often times as a leader and commander in the field; within the cittie of Rome he managed civile affairs, and bare honourable offices of State. Who would not thinke but each one of these places would require a whole man? and yet amid these occasions wherwith he was possessed, he penned Chronicles, wrate Commentaries, compiled Grammatical treatises, and many other volumes which at this day are utterly lost. As for the Historie of Nature now in hand, which sheweth him to be an excellent Philosopher and a man accomplished in all kind of literature (the only monument of his that hath escaped all daungers, and as another Palladium been reserved entire unto out time) wherein hee hath discoursed of all things even from the starrie heaven to the centre of the earth; a man would marveile how hee could possily either write or doe any thing els. But considering the agilitie of mans spirit alwaies in motion; an ardent desire to benefit posteritie, which in these volumes hee hath so often protested; his indefatigable studie both day and night, even to the iniurie of nature, and the same continued in everie place, as well abroad as within-house; in his iourney upon the high way, where his manner was to read and to indite; in his ordinarie passage through the streets betweene court and home, where hee gave himselfe no rest, but either read, or els found his notarie worke to write; and for that purpose rode usually in an easie litter, with the said Notarie close by his side: lesse wonder it is, that he perfourmed his service to prince and state according to his calling: and withall delivered unto posteritie so many fruis of wit and learning. For what is not the head of man able to compasse? especially making saile with a fervent desire and resolution to see an end, and besides taking the vantage of all moments, and loosing no time, wherof he was unus omnium parcissimus. Touching his affection to search into the secrets of Nature, it was that

and nothing els which shortened his daies, and hastened his untimely death: for having lived not much above the middle age of man, desirous he was to know the reason, Why the hill Vesuvius burned so as it did? and approached so neare, that with the strong vapours and smoke issuing from thence, his breath was sodainly stopped, and himselfe found dead in the place: a man worthie to have lived for ever. What remaineth now, but onely to recommend unto my countrey men this work of his (which for mine owne part I wish to be immortall) were it not for one scruple to bee cleared, which at the first troubled my selfe a little, and might peradventure otherwise offend some readers. In attributing so much unto Nature, Plinie seemeth to derogat from the almightie God, to him agnwsoV; and therefore daungerous (saith one) to be divulged. Farre be it from me, that I should publish any thing to corrupt mens manners, and much lesse to preiudice Christian religion. After conference therefore with sundrie divines about this point, whom for their authoritie I reverence; whose learning I honor and embrace, and in whom for iudgement & synceritie of religion I rest, confirmed I was in my first purpose, and resolved to finish that which I had begun, namely, not to defraud the world of so rich a gem, for one small blemish appearing therein. And that it may appeare how I did not abound in mine owne sense, but had regard as well to satisfie the conscience of others as mine owne, I have thought good to annex immediatly hereunto, in manner of a Corollarie, the opinion of one grave and learned preacher concerning this doubt, as it was delivered unto me in writing; which for that it is grounded upon sufficient reasons, and accordeth with the judgement of the rest, the lesse I respect the rash projects of some fantasticall spirits: nothing doubting, but the same will settle the minds of the weake, and free my labours from the taint of irreligion.

---- Philemon Holland, English translation of *The Natural Historie*⁴³

25. (英) 乔治·查普曼 George Chapman



George Chapman, 1559-1634

生平及重要译论

乔治·查普曼 George Chapman, 1559-1634, 英国诗人、剧作家、翻译家, 出生于英格兰的哈福德郡 (Hertfordshire) 的西特金 (Hitchin) 附近。他的荷马史诗的译本两个多世纪以来一直被认为是标准的英译本。早年就读于牛津大学但未获取学位, 后从事诗歌创作和戏剧创作。1611 年翻译了《伊利亚特》(*Iliad*),

1616 年翻译了《奥德赛》(*Odyssey*), 成为当时的文学杰作之一, 为其在文坛的地位奠定了基础。

查普曼翻译荷马史诗的特点是不拘泥于原作的内容和风格并取得了成功。查普曼翻译荷马史诗使用了两种不同的诗体: 翻译《伊利亚特》使用十四行诗体, 而翻译《奥德赛》则使用英雄偶句诗体。翻译中查普曼大量使用神话词典, “改造了诗中的人物性格, 对智慧的价值观念以及对感情的抒发和克制也都增添了道德说教的成分”。⁴⁴ 查普曼的翻译成功主要是由于他本人即是一名诗人, 因此具有高超的诗歌创作才能和驾驭语言的能力。

查普曼非常重视多莱 (Etienne Dolet) 五条基本原则的翻译理论并进行了发展。他反对逐词死译, 反对译诗过于严格死板:

我鄙视译者陷入逐词对译的泥坑, 丧失本族语的活的灵魂, 用生硬的语言给原作者抹黑; 同时我也憎恨不求简练, 使用繁文缛语以表达原意。⁴⁵

他对逐词死译尤其反对:

翻译任何作品, 尤其是荷马的作品, 采用逐字死译是最不自然、最为荒唐的, 按照贺拉斯等翻译理论大师的观点, 凡有卓见而又持慎重态度的译者, 都不应仿效原作的词数和词序, 而应仿效其实质性成分和句子, 认真掂量句子, 用最适合译作语言的词法和表达风格、形式来表现和装点译文。⁴⁶

查普曼鼓励译者可以

用鸡代替鱼, 用鲸代替骆驼, 或新造形象, 或把译者的语言强加于作者。⁴⁷

“新造形象”是查普曼指导译诗的原则, 是其对翻译理论特别是对译诗原则的新发展和新贡献。不过, 查普曼也反对翻译的过于自由, 反对极端, 主张一种较为折衷的方法。他认为翻译中的困难是可以克服的, 诗歌也是可以翻译的。只要很好地理解原作, 就可以克服语言表达和风格的差异, 使译文在意思上和风格上与原文媲美。查普曼的翻译理论为很多十七、十八世纪的译者所继承。

译论史稿辑要

(1)

Custom hath made even th'ablest agents err

In these translations; all so much apply

Their poems and cunnings word for word to render

Their patient authors, when they may as well

Make fish with fowl, camels with whales, engender,

Or their tongues' speech in other mouths compell.

For, Even as different a production

Ask Greek and English, since they in sounds

And letters shun one form and unison;

So have their sense and elegancy bounds

In their distinguish'd natures, and require

Only a judgment to make both consent

In sense and elocution; and aspire,

As well to reach the spirit that was spent

(3)

The work of a skilfull and worthy translator is to observe the sentences, figures and formes of speech proposed in his author, his true sence and height, and to adorne them with figures and formes of oration fitted to the originall in the same tongue to which they are translated: and these things I would gladlie have made the questions of whatsoever my labours have deserved.⁵⁰

第三章 近代西方译论

26. (法) 巴歇·德·梅西里阿克 Bachet De Meziriac



Claude Gaspar Bachet de Méziriac, 1581-1638

生平及重要译论：

巴歇·德·梅西里阿克（又译梅齐利亚克）Claude Gaspar Bachet de Méziriac，1581-1638，数学家、诗人、翻译理论家。当整个十七世纪主张自由翻译的观点占据着主流地位的时候，梅西里阿克最早站出来提倡准确翻译。

他在法兰西学术院成立的第二年在该院发表的翻译论文 *De la traduction*（1635）中提出译者必须遵循的三原则：1）不得给原作塞进私货；2）不得对原作进行删减；3）不得做有损原意的改动。他对杰克·阿米奥（Jaques Amyot, 1513-1593）在翻译普鲁塔克（Ploutarchos, 46? -120?）的《希腊、罗马名人传》（*Bioi Paralleloi*, 1559）时任意修改原作感到愤怒，说他从阿米奥的翻译中竟然找出了两千个翻译错误。他指出：

要评价一部译作的好坏，单凭文字优美是不够的。谁都会承认，优秀译者的最大特点是忠实于原

作……意大利人说得好，偏离原作意思的翻译不是翻译，而是背叛。¹

他的这篇翻译论文由于从忠实原文的视角对翻译错误的性质与翻译过程进行科学分析而不是仅仅随意指出错误所在，从而被称为翻译研究的里程碑。

27. (法) 佩罗·德·阿伯兰库

Nicolas Perrot d'Ablancourt

生平及重要译论

尼古拉斯·佩罗·德·阿伯兰库（又译阿布朗古尔）Nicolas Perrot d'Ablancourt, 1606-1664, 法国著名翻译家，曾翻译塔西陀（Taxituo, Tacitus, 约 56-120 A.D.）的《编年史》等作品。

阿伯兰库生活的 17 世纪正是西方翻译理论史上承接文艺复兴大潮的又一重要发展时期的前期，特别是英国和法国更是首当其冲。这一时期在法国出现两种对立的文化思潮：古典主义的崇古派和自由翻译的厚今派。前者以翻译家和评论家达西埃夫人（Mme Dacier, 1654-1720）为首，主张直译，强调翻译的忠实与准确；后者则以阿伯兰库为总代表，主张活译，强调译文的文学性和可读性。²

阿伯兰库很崇拜古典作品，但他却认为古典作品在古代确实是佳作，然而时代已经前进了，因此古典的佳作却不能被今天的读者所欣赏，因而有必要对古典作品进行改进，以适应读者的需要。甚至有的厚今派评论家认为，由于厚今派对原作的修改，给原作增加了新的思想和内容，译作必然超过原作。

阿伯兰库的翻译在历史上被称为“美丽而不忠实”（elles infidèles）（beautiful but unfaithful），来自翻译评论家吉尔·梅纳日（Gilles Ménage, 1613-1692）。梅纳日在批评阿伯兰库的翻译时说：“当德·阿伯兰库翻译的吕西安的作品问世时，许多人都抱怨翻译不忠实。而我，我称它为‘不忠的美人’，那是我年轻时对我在图尔的一位情人的称呼，她很美丽，但不忠实。”梅纳日甚至还送给阿伯兰库一个绰号——“胆大包天的阿伯兰库”。后来，“不忠的美人”专指那些语言很美但不忠实于原作的翻译。

阿伯兰库的翻译原则就是实用性。只要能迎合读者，只要译文具有文学性和可读性，就可以自由地翻译，可以随意地增减原文的内容和词语。他在 1637 年翻译费利克斯（Minutius Felix）的著作所写的序言中对其翻译原则做过如此的解释：

一个翻译人员能领会词意就够了，因为要想把所有的字都译出来，那是不可能的。……两本都有说服力的著作之间的相似之处，远比一本有说服力而一本无说服力著作之间的相似之处要多。……对于一个作者的著述，从他本人的东西翻译成我们的东西，只能表达出原意的大半，彼此的优美与典雅之处大不相同，所以我们丝毫也不要怕把原著带上我国的色彩，……³

从下面的“译论史稿辑要”（1）可以看到，阿伯兰库对原文的增减程度有时是很大的，甚至是整个内容。他认为有些东西对于希腊人来说是司空见惯的，而对于法国人来说就是可怕的，因此他在翻译中将他认为是污秽丑恶的（filthy）东西一概删除。因此他也成为法国十七世纪激烈的直译与意译翻译原则与翻译方法之争的中心。

译论史稿辑要：

（1）

Anyway, you can learn many remarkable things here, and the work is like a bouquet of flowers that contains what is

most beautiful in the ancient writers. I only mention in passing that the stories have been told in such an ingenious way that they are hard to forget. This contributes greatly to the understanding of poets. You must therefore not think it strange that I have translated this work, following the example of many learned people who have produced Latin versions of this dialogue or that, and I am the less to blame in that I have left out what was too filthy and softened what was too free, at least in some places. This is how I justify my conduct, and the translation I attempted is justified by the many advantages that will come to the public from its reading of this author. I will only say that I have left him in the full vigor of his opinions, since I would not have produced a translation otherwise. But I comment on the strongest of these opinions in my introduction, or in the notes, so as to render them relatively harmless.

Since most of what is to be found here is said in jest and contains jokes that are different in all languages, a regular translation proved to be impossible to undertake. There are even passages in the book that have proved untranslatable because they depend completely on the intrinsic value of the Greek words and would not be understood beyond them. All comparisons dealing with love speak of the love of boys, a custom not strange among the Greeks, even though it seems horrible to us. The author keeps quoting lines from Homer. Doing so now would create the impression of pedantry. He also keeps quoting old hackneyed stories, proverbs, examples, and outworn comparisons sure to produce, in our time, an effect contrary to the author's intention, since we are dealing with jocularity here, not with erudition. I had to change all of this accordingly if I wanted to produce something that is pleasing. It would not be Lucian if it were not, but what is pleasing in his language would not be bearable in ours. When you look at a beautiful face you will always discover some feature in it which you wish were not there. Similarly, the best authors contain passages that need to be touched up or clarified, certainly when the text has been written with the sole aim to please, since in that case you are not allowed to make even the slightest mistake, and if you are just a trifle indelicate you will bore your readers instead of entertaining them.

Consequently, I do not always stick to the author's words, nor even to his thoughts. I keep the effect he wanted to produce in mind, and then I arrange the material after the fashion of our time. Different times do not just require different words, but also different thoughts, and ambassadors usually dress in the fashion of the country they are sent to, for fear of appearing ridiculous in the eyes of the people they try to please.

What I have produced is certainly not a translation, properly speaking. It is better than a translation and the writers of classical antiquity did not translate otherwise. Terence treated the comedies he took from Menander in the same way even though Aulus Gellius insists on calling the end product a translation. What does it matter what we call the thing, as long as it exists? Cicero took the same course of action in his *Offices*, which are almost a version of Panetius, and also in the versions he made of the oratory of both Aeschines and Demosthenes. Cicero says he did not write as an interpreter, but as an orator, and I say the same about Lucian's *Dialogues* even though I have not allowed myself the same freedom in all cases. In fact, there are many passages I have translated word for word, at least to the extent to which that is possible in an elegant translation. There are also passages in which I have considered what ought to be said, or what I could say, rather than what he actually said. In this I have followed the example set by Virgil in his borrowings from Homer and Theocritus, and I have pointed out what I was doing almost everywhere, without lapsing into particulars, since that is no longer done in our time. I am fully convinced, however, that not everybody will be satisfied with my way of doing things and that those who idolize every single word and every single thought produced by the writers of antiquity will be most displeased, as is invariably the case with people who think a work of literature cannot be good as long as its author is still alive.

---- preface to Nicolas Perrot d'Ablancourt's translation of *Lucian*⁴

(2)

Two things can be held against me in connection with this translation: one concerns the selection of the work, the other the way in which I have translated it. One group of people will say that I should not have translated this

particular author, another group that I should not have translated him in this way.⁵

(3)

la diversité qui se trouve dans les langues est si grande, tant pour la construction et la forme des périodes, que pour les figures et les autres ornemens, qu'il faut à tous coups changer d'air et de visage, si l'on ne veut faire un corps monstrueux, tel que celui des traductions ordinaires, qui sont ou mortes et languissantes, ou confuses, et embrouillées, sans aucun ordre ny agrément.

the diversity that one finds among languages is so great, in the arrangement and shape of the periods, as in the figures and other ornaments, that it is always necessary to change the air and appearance, unless one wishes to create a monstrous body, like those in ordinary translations, which are either dead or languishing, or obscure, and muddled, without any order or gracefulness.

[...]

sans choquer les délicatesses de nostre langue & la justesse du raisonnement. [...] Souvent on est contraint d'ajouter quel-que chose à sa pensée pour l'éclaircir; quelquefois il en faut retrancher une partie pour donner jour à tout le reste.

without offending the delicacy of our language and the correctness of reason. [...] Often one is forced to add something to the thought in order to clarify it; sometimes it is necessary to retrench one part so as to give birth to all the rest.

---- D'Ablancourt, (trans.) *Les Annales de Tacite. Première Partie. Contenant la vie de Tibère*⁶

28. (法) 加斯帕德·德·坦德

Gaspard de Tende

生平及重要译论:

加斯帕德·德·坦德 Gaspard de Tende, 1618-1697, 笔名西奥尔·德·埃斯坦 sieur de l'Estaing, 法国军人、翻译家。

坦德作为翻译家, 其翻译理论与翻译实践联系较为紧密。他结合自己大量的拉丁语译为法语的翻译实践, 从拉丁语和法语的对比出发, 比较系统地阐述了翻译的原则及翻译的方法和技巧并提出了拉丁语-法语翻译的九个规则, 内容涉及对原作思想的忠实、词语的运用、保持原作的风格等(参阅下面的“译论史稿辑要”)。他崇拜古典文学, 但却坚持不必刻意模仿原作。他说:

翻译塔西陀那类文字简洁的作家, 必须把几个过于简短的句子合成一句。..... 翻译家是摹拟模特儿的容貌, 只模仿但不创新; 一旦超出这一界限, 译者就不再是译者, 而变成了作者, 变成了从事创作的人。⁷

译论史稿辑要:

Moreover, I can say that this small book will be able to show how one must avoid both of the radical extremes most translators seem to succumb to. One is a certain liberty that degenerates into license and that leads the translator away from the goal he has set himself, namely to faithfully render all his author's thoughts. The other is a submission that

comes close to servitude and makes the translator stick too closely to the words and phrases he translates, without ever transcending himself. This goes to show that too vulgar a stricture ruins all the grace and all the beauty of words and that too high-minded a freedom changes all their sense. But it is time to give a few more rules of translation, more precise in nature, for there certainly are sure and safe rules, in this art as in any other, that will produce excellent translators.

The first rule is to know both languages well, but Latin especially, to penetrate deeply into the thoughts of the author to be translated and not to make too lowly a submission to the words, for it is enough to render the sense with the most meticulous care and with utter fidelity, without leaving out any of the beauty or the images contained in the Latin.

The second rule is not just to render the author's sentiments as faithfully and exactly as possible, but also to try to render his own words in so far as they are necessary and important.

The third rule is to keep the spirit and the genius of the author you translate, while weighing whether his style is vague or pompous, whether it is the style of narration or of public speech. It would not be appropriate to translate a book written in a low and simple style into a book written in a sublime and elevated style. This is especially true of the Holy Scriptures or the *Imitation of Jesus Christ* since simplicity itself is beauty where certain ways of devotion are concerned. Similarly, it would not be advisable to translate orations that need to be treated with some latitude into a precise style, very cut and dry, nor should you translate parables, which need to be short and precise, into a style that would allow them more latitude. Indeed, a translator who wanted to render the simple style of the Holy Scriptures into a pompous style would produce a copy that would turn out to be very different from the Holy Original. Just as an excellent painter must endow a copy with all the features of the original he sets out to copy, and with its complete likeness, so must an excellent translator make the wit and genius of the author he is translating visible in his translation. And just as a well-made copy should not look like a copy, but like a real original, so should an excellent translation not look like a translation, but rather like a natural work, a perfectly pure production of the mind.

The fourth rule is to make people in the text speak and act according to their nature and their customs, and to express the author's words and his sense by means of terms in actual use that correspond to the nature of what you are translating. You should therefore not make a barbarian or a villager speak as if he were polite and civilized, because to do so would not correspond to the nature or custom of either. If you want to make a good translation you must not only make everybody speak according to his habits and inclinations; you must also see to it that the way he expresses himself is rendered in simple and natural terms that have already passed into current usage. Translators should not use manners of speech that have only just come into being because there are manners of speech that are not always good to write down, even if they may become so over the years.

The fifth rule is to try to match beauty with beauty and stylistic figure with stylistic figure when the same elegance is lacking in the two languages -- which tends to happen rather often -- and when you are unable to render the same beauty and the same stylistic figures.

The sixth rule is not to be longwinded, if only to make the translation more elegant and the sense more intelligible. There are translators who are unable to express matters with few words and in terms both appropriate and significant. They therefore resort to longwindedness and take liberties that little pupils in their first year at school would not be allowed to take. When they string out the words they translate -- as they tend to do -- they very often make the Latin lose all its power and sometimes they even change the author's words and his sense. That is why the shortest and most useful expressions are the best and most beautiful, since the ideal would be to translate line for line and to make the translation as short as the original.

The seventh rule is to always try to achieve the utmost clarity in discourse. For this reason excellent translators have admitted the necessity to cut up and restructure long periods, since a discourse that is put together in the first way and strung out in that manner is much less intelligible than a discourse that is shorter and more precise. We must

therefore cut up Latin periods when they are too long, because our language is even more strung out and it would therefore keep the mind in suspense for too long, even if that mind always waits with great impatience for the end of what is being told.

The eighth rule is to run together periods that are too short when you translate an author whose style is clearcut and precise. Just as you sometimes have to cut up periods that are too long, so must you sometimes run together periods that are too short. It is best to keep an even temper in both cases and to use great discretion in trying to reach a reasonable solution in between two extremes.

The ninth and last rule is not only to look for the purity of words and phrases, as many people do, but also to try to make the translation even more beautiful by using felicitous expressions and stylistic figures that are often hidden and discovered only with great effort. It is just and reasonable not only to render the beauties of Latin into French, but also to take great pains to discover all those beauties wherever they may be hidden. If one Latin word, for example, finds itself in opposition to some other word in the same period, that opposition must be rendered by means of an opposition of two words in French as well. But since it is sometimes difficult to discover those felicitous expressions and those beautiful turns of phrase most beginning translators will limit themselves to the purity of words and phrases. They will not take too much trouble to keep the obvious beauty of the original, nor will they try to discover it where it is not immediately relevant.

These are certainly rules that will produce excellent translators. If you follow these rules you will be able to make use of a noble and high style in order to express a simple sense that would be too uninteresting and too low if it were rendered in all its simplicity. If you follow these rules you will learn to remain faithful to the sense of the words without distracting from their elegance, and you will be able to isolate their elegance without becoming unfaithful to their sense. If you follow these rules you will be able to produce a translation that is more beautiful, and so in a way to make the copy better than the original. Finally, if you follow these rules you will be able to enrich our language and to display its beauty so that even those who do not understand Latin may learn to speak and write better.

I would not be so attached to this little treatise if it were not as much the work of the most excellent translators and principal masters of our language as it is my own. I admit that my part has been limited to identifying the best ways of translating and the best figures of speech in their most excellent works. I can only hope that all those who read these rules will forgive the errors they find in them, since it is obviously impossible for a man who sketches the first outlines of any thing to do so with all the perfection time can bring to it. Such is the mercy I must expect from their generosity and the reward I ask of them for my attempt to alleviate the translator's burdens by proposing these rules of translation and by showing them how they will be able to embellish their translations.

--- Gaspard de Tende, *Règles de la traduction* ("Rules of Translation")⁸

29. (法) 达尼埃尔·于埃

Petrus Danielus Huetius



P. D. HUETIUS

Petrus Danielus Huetius, 1630-1721

生平及重要译论

达尼埃尔·于埃 Petrus Danielus Huetius，通称 Huet，1630-1721，法国阿弗兰歇的红衣主教（bishop），著名教育家、古董商，十七世纪最有影响的翻译评论家之一。于埃学识渊博，曾研习数学，在天文学、解剖学、哲学等方面也很有造诣，曾对法国哲学家笛卡儿（René Descartes，1596-1650）的“我思故我在”（“Cogito ergo sum”）（“I think, therefore I am”）的二元论哲学学说进行了尖锐的批驳。

于埃精通拉丁语、希伯来语、希腊语、叙利亚语等众多语种，著有《论翻译》（*De interpretatione*），后经补充修订改名为《论最优秀的翻译》（*De optimo genere interpretandi*）。

于埃推崇准确翻译，反对西塞罗、贺拉斯、圣哲罗姆等人主张的意译法和阿伯兰库所主张的“漂亮而不忠实”的自由译。于埃的翻译原则便是准确。他认为，翻译的惟一目的就是准确传递。译者必须在语言形式和结构上准确模仿原作，才能最大可能地准确传递原作者的意思、所用词语和个人风格。译者不能随意改动词汇或词序，即译文要保持原文的本来面目，要毫不遮掩地显露原作者，给读者展示一个真实的而不是译者修饰过的原作者。译者只能是原作者的映像。他说：

以西塞罗的和谐复合句式来翻译亚里士多德，岂不是一幅夸张讽刺的漫画；若您模仿侵巢之鸟，不满足于将自己的蛋下在人家的巢里，还要把别人那窝合法的蛋掀翻在地，那您就会随意增添文字。⁹

关于译者与原作者的关系，于埃说：

因此，我说，这才是最好的翻译方法：译者首先紧扣原作者的意思；其次，如有可能，也紧扼他的字眼；最后，尽可能再现他的性格；译者必须仔细研究原作者的性格，不删减削弱，不增添扩充，非常忠实地使之完整无缺，一如原作。¹⁰

关于诗歌翻译，于埃说道：

最为重要的规则是要保留形式和结构，这样便可以将诗人展示给新的读者，这诗人就象是一棵树，由于严冬树叶已经凋零，而树枝、树根和树干却依旧可见。（参阅下面的“译论史稿辑要”）

译论史稿辑要：

THUANUS: First of all, it is obvious what interpretation is and how it is generally understood: an interpretation is *any text which makes more understandable what is hardly understood*. This holds true not only for translation from one language into another, but also for commentary, explanations of words, notes, paraphrases, metaphrases (whether they move closer to the original or stay farther away from it), and the like. The term can also be stretched to include the clarification of recondite disciplines, the elucidation of dreams and oracles, the solution of implicit problems and, finally, the elucidation of all that is unknown. For our purposes the term will be used in a stricter sense and taken to mean *the translation of a text from one language into another*. Translations can be made for two reasons. One is to learn languages and to improve your style. This is what pupils do in school when they translate from their mother tongue into Latin or from Latin into Greek, to prove to those who know these languages that they have understood the text, at least in part. The other reason is to explain a text to those who do not understand it. This state of affairs gives rise to two kinds of translation. We shall not deal with the first kind at this time and it will therefore be left out of this text. We shall define the second kind as follows: *a text written in a well-known language which refers to, and represents a text in a language which is not as well known*.

We shall be using this definition for the kind of interpretation we shall be dealing with throughout our text. This kind of interpretation can also be said to consist of two types. In the first type the translator does not respect his author all that much, nor the meaning underlying the words the author uses. He therefore writes either to instruct or amuse the reader, or to indulge his own creativity. In the other kind of translation the translator uses all his zeal and all his skill to render his author's writings as accurately as possible. The texts the older Roman poets translated from Greek into Latin verse can be seen to belong to the first kind. We must also list the condensed version here, in which a translator compresses a wordy author into some narrower compass in another language. And this, too, is the place to include paraphrase. Its definition comes to us from Quintilian, where he says: "I do not want a translation to be a paraphrase, but rather a struggle with and emulation of the original which renders the same sense." Periphrases and metaphrases also belong here since they translate texts more or less as the occasion arises, adding certain features, taking away others, and putting the text together again in a different shape. I would define a periphrase as that which explains by means of a greater number of words what can be said in one word, or in a few words. Moreover, Quintilian's description should not just be applied to what is explained in the same language, but also to what is explained in another.

The authors of this kind of translation set out to follow or imitate the authors of their originals, not to translate them, and a debate on the merits and demerits of this kind of translation does not fall within the scope of this text. We shall be dealing with the second type of translation here, and we shall try to establish how an author should be translated with the greatest fidelity and diligence. My translations of Polybius belong to this type, as do your translations of Chrysostomus, my dear Fronto. The work we now see being done more generally by contemporary translators also tends to fit in with this type. I think we have already shown sufficiently what the different types of texts are. What we must do now is to select the best kind from the type we shall be dealing with from now on, and to formulate its general principles.

I call that translation the best in which the author stays the closest possible first to his author's meaning, then, if both languages allow it, to his author's words and, finally, to his author's personal style. The translator should also take care not to diminish his author by omitting something, or to add to him by supplementing the text. Rather, he should show him whole, and show the best possible likeness in every part. In that way the translator will be seen to be nothing else than the expression of the author's image and likeness. The best possible likeness is that which renders the lines of the mouth, the color, the eyes, the shape of the face, and the way in which the body moves in such a manner that the absent man who is portrayed can be thought of as present. But a bad likeness pictures a thing in a manner different from what it is, more beautiful and with a happier countenance. We do not like translations that eat

up the author's fat or put more fat on him, nor do we like translations that clear up obscure passages, correct mistakes, or sort out bad syntax. We would rather have a translation that shows us the whole author, closely copied in our native style, and one that makes it possible for us to either praise his virtues, should they be deserving of praise, or scoff at his vices. For who, except a young girl who loves herself too much and wants to please herself too much would praise a mirror that so disfigures the face that it reflects a rosy forehead, or a forehead full of vigor, or even a forehead tempered with decent splendor when shown a face of ghastly pallor, or a face that is shrivelled and emaciated, or even a face that shines with too much red color. Who would not mock a woman made up in such a way that she displays an unbecoming face, false teeth, false hair, and simulated height? Indeed, we might even wish her dead.

Nature has provided the minds of men with great diligence and a great love of truth. We are taken by truth and drawn to it; we think everything else should take second place to it and nobody is so stupid that he wants to be led into error willingly or through flattery. Who would allow himself to be deluded by deception or blinded by concealment? Who would not burn with anger when he feels that his face has been ill represented? Well then, I say that an adulterated translation is most like that kind of mirror, or like a woman's face plastered with cosmetics. Such a translation endows the author with the type of elegance that is not appropriate to his style: it fattens up what was thin, so to speak, it deflates what was bombastic, it raises up what was low, and brings low what was high. Let us suppose that somebody wants to translate Thucydides, an author who obviously knows how to deal with words, a man who writes in the grand style, concise and full of memorable phrases, swift, abrupt, and sometimes obscure -- at least that is what Cicero calls him. Let us further suppose that the translator is a man of many words by nature, but also impartial, sincere, and capable of sweet eloquence. Thucydides' vehemence will be weakened, his obscurities will be clarified, and his recondite phrases will be watered down in the text's abundant flow. The translator will add ornaments generously and liberally, and he will bind the halting syntax of the original together with a rhythm of his own. Let us finally suppose that a reader who knows no Greek, but is eager to read Thucydides and to penetrate his inner recesses, picks up a translation of this kind. He will not find Thucydides in Thucydides, or else he will say that Thucydides has been turned into a fool by the translator. He will also doubt the honesty and judgment of Cicero and Fabius who maintain that Thucydides is a hermetic writer, stringent, always urging himself on, and richer in memorable phrases than in mere words.

[...]

A translator must therefore become like Proteus: he must be able to transform himself into all manner of wondrous things, he must be able to absorb and combine all styles within himself and be more changeable than a chameleon. Suppose a well-read man, who has pleased the public with Cicero's wonderful wealth and abundance, begins to translate Aristotle, a writer who is sparse and dry, and begins to spin out in a Ciceronian manner what Aristotle wrote briefly and hermetically. We could not possibly hold the latter translation in high esteem. I have often asked myself from what source that license to corrupt older writers seems to spring, and it has occurred to me that the love for oneself which, as the Greeks have it, is innate in all men, linked with ignorance of the good, causes that kind of arrogance. As soon as this sort of illness insinuates itself into the minds of men, they will necessarily follow evil counsel, and that is where the temerity arises which this age has taken into itself, touching with its profane hands the works of the Ancients which should never be treated without respect, and hawking its own rubbish under their glorious names.

Let the translator be a severe judge for himself and let him not be too pleased to play the part of the judge too easily, even though he should arrive at a confident judgment of the author he sets out to translate. Translators often throw out what they do not understand, or even put in other things. If they retain what they do not grasp they often do so in such an ominous way that people who let the fetus of their own mind crawl into another's nest, where it often dislodges the rightful inhabitants, might still be called translators. To prevent such things from happening it is necessary to eradicate the opinion alive in people's minds that makes them claim to be better than they are.

Everybody needs to correct the excesses of their style and everybody should approach old and foreign writings with great care. Everybody also needs to learn, to the very best of his ability, what a translator should be, and once he has learned that he should practice what he has learned in his own writing, and not allow his mind to interfere. Whoever acts differently is a mere busybody, not a translator, and we may say of him that he interpolates, not that he translates. [...]

CASAUBON: [...] I would therefore like to state that one should always translate word for word, and that one should preserve the syntax of the original text in as far as the languages the translator uses allow it. Should it happen that Greek words are such that one word in Greek does not always correspond to one word in Latin, then you can indeed bring in another word, or even more than one, if that is possible. Similarly, if you are translating from Greek and you find that the Latin language cannot occupy the positions Greek words occupy in the sentence, you are of course allowed to change the order of the words. The difference between languages, their density and their incompatibility can also create problems, except where the translator gets closer to the traces his author has left and explains him more clearly. I want the translator to follow in the author's footsteps and to cling to him so closely that the roads he travels are open and visible to all. Should those roads appear to be narrow, or rough, so that the translator who travels with his author is wrenched away from his guide, let him then take the nearest way into the thick of things, even if it is hard and difficult to do, and let him rather enter into briars and penetrate into places covered with thorns than look for an easy escape. If I see that the author has been shorn by the translator, and punished, it may be that the sentence I am looking for may have been cut, or maybe only one little word was cut, but it was the one that happened to bear the whole momentum of the sentence. If the author writes a simple style to start with and if that style is heightened with ornament I shall be seizing a body and holding on to a shadow, and if I think I am imitating the author I shall be following the translator. It must therefore be generally made known that one word should be rendered by one word in translation and that the order of the words should not be wantonly disturbed. But if that is obvious to everyone and if you had been expecting something clearer from me, and more subtly argued, I shall try to satisfy your wishes as best I can.

First, the translator must pay attention to the subject matter treated by the author since the translation must be in accordance with the kind of subject matter treated in the original. Saint Jerome says that one word should be translated by one word in Holy Writ, *where even the order of the words is a mystery*, where a construction that has not been refined with great art often carries more than one sentence. Since the treater part of Holy Writ should not be studied for its elegance, however, Saint Jerome also admits that other texts should be translated in a different manner, nor does he always follow his own precepts....

[...]

ASAUBON: We are not all that strict, my dear Fronto, we are willing to accept excuses, but we do not allow the translator to get away with everything and we don't want to be subjected to the way some people translate. If they have to translate a joke into another language and if the joke is based on a pun, a play on words, or ambiguity, they desert their author and make up a new pun, a new play on words, or a new ambiguity in the other language. We want the jokes your author made, my dear translator, not yours. And how do we get them? Like this: the word itself must be rendered faithfully and the meaning contained in it must be briefly explained in a footnote. If you do that you will have shown that you can be faithful to both the author and the reader. You will also produce almost no translations, no matter how accurate or well made, without the aid of notes or explanations, simply because languages are different. If the translation is stuffed full of notes and explanations it becomes an example of the weaknesses and aporias besetting translation itself. Let me, at this point, pay homage to my friend Henricus Stephanus, who spoke with great erudition of the old Romans whose diligence and wit enriched the Latin language. When they were faced with a word that had multiple meanings in their translations from the Greek, they simply attributed all those meanings to the corresponding Latin word. What they dared in their own language we should do very sparingly in a foreign language in which we do

not feel at home, as well as in our own, unless usage prompts us to do so, *and the verdict should be left to taste and the power and norms of speech.*

But ambiguous words and other words of that ilk appear very rarely in the theoretical writings we are talking about. They occur much more often in the writings of historians and orators we shall be considering next, after we devote a few words to the grammarians. What has been said above should make the way in which grammarians should be translated abundantly clear. As we stated in our precepts the translator should reject all ornamentation. If he wants to translate the grammarians he should write in a clear and simple style, and that holds true also for other technical texts defining the rules of any given discipline.

Translators should also be careful not to resort to interpolations in books written by historians because they obscure the truth with alluring words, but it is the translator's duty to render the truth in its entirety. As I have said before, the characteristic features of all these authors need to be retained in such a way that they also shine through in the translation, as much as possible, except where they will be obliterated by the discrepancy in languages.

We are now left with the orators and the poets. Where the orators are concerned, I think the translator should be allowed to display a little license in one passage, and a little more in another, and you should not be offended by this show of great leniency on my part. The art of the orators consists not only of the splendor of their subject matter, but also of the skillful way in which they manage words, and there may be such masters of the word among them that their mosaic is beautified by art, even if the individual pieces are eaten by worms. The translator should first look at the subject matter, which is always the supreme rule. Next he should try to render the characteristic florid, sonorous, and artful style. He might succeed in the case of complete sentences, but not often, he might also succeed without adding any words of his own, but then he will be able to cut to the quick even less often. In most cases he will only succeed if he changes the order of the words somewhat. That order should be retained if it represents the same arrangement of words in both languages. If that is not the case, preserving the order of the words would reduce the original's artful composition to nothing. The orator has worked very hard to achieve a certain effect and if a slight change in the arrangement of the words is not made, the oration itself will become diffuse, lose its strength and turn into something fluid and shapeless -- such is the curse of the difference between languages. Word order is not of such overriding importance that we should dissolve the well-structured composition achieved by the skillful orator to save it, since it is precisely that composition which is largely responsible for the oration's perfection.

We can grant the same license to translators who translate poets, since poets are so close to orators. We are justified in doing so because poets are bound to stricter numbers and a pre-established model of syllables. Such a text can be rendered into another language either directly or indirectly. If it is translated indirectly it will be tied to another form, in which case none of what we said before will be applicable. In this case the difference between languages should not be taken as an excuse to translate line by line in order to preserve the laws of translation. On the contrary, the translator needs to be able to make longish excursions and to write in different genres and forms.

If poets are translated in the first way there is no reason why they should not be translated word for word as long as we remember that these precepts should be forgotten when we are dealing with lines. If poets are translated in the second way the most important rule is to preserve the meter and the syntax, so that the poet can be shown to his new audience like a tree whose leaves have been removed by the rigors of winter, while the branches, the roots, and the trunk can still be seen. The translator's audacity should not be feared overmuch in this since most of the Greek authors have been translated accurately enough in this way. When Humfredus criticizes this way of translating in his commentary on the various ways of translating, he himself should be criticized for failing to understand that the

translator who is supposed to translate in the manner he advocates, cannot possibly imitate the native charm that is to be found in Homer, or any other poet, if he is bound to the words. He would, in the end, have to render the original in a false manner, decked out with frigid and inelegant ornaments. Jerome does not distinguish with enough care between these two kinds of translation, strict and loose, and neither does Italus Catena who tried to defend our precepts of translation in his learned dissertation. They both used some older translations of poets as examples, but those translations have nothing to do with the matter in hand.

--- Huetius, *De optimo genere interpretandi* (“On the Best Way of Translating”)¹¹

(2)

The most important rule is to preserve the meter and the syntax, so that the poet can be shown to his new audience like a tree whose leaves have been removed by the rigors of winter, while the branches, the roots, and the trunk can still be seen.¹²

30. (法) 安托万·乌达尔·德·拉莫特 Antoine Houdar de la Motte



Antoine Houdar de la Motte

生平及重要译论：

安托万·乌达尔·德·拉莫特 Antoine Houdar de la Motte, 1672.1.17-1731.12.26, 法国厚今派作家、评论家、诗人和翻译家。出生于巴黎。

拉莫特极力反对忠实于原作的翻译原则，认为译者应该按照自己的理解来进行翻译。拉莫特自己就是根据这种翻译观点进行翻译的。他宣称他在翻译 24 卷的《伊利亚特》时译文竟然只有原文长度的一半，从而引起翻译界的争议。他的这种翻译观点和翻译实践和与其几乎同时代的崇古派代表人物达西埃夫人（Anne Dacier 即 Mme. Dacier, 1654-1720）的翻译观点针锋相对。达西埃夫人强调荷马语言的优美，强调翻译荷马必须要忠实荷马原作，要采用准确翻译，要逐词逐句地模仿原作的风格。拉莫特和达西埃夫人的翻译观点对当时法国的古典作品翻译产生很大的影响。

译论史稿辑要：

I have a double reply to my critics: I have followed those parts of the *Iliad* that seemed to me worth keeping and I have taken the liberty of changing whatever I thought disagreeable. I am a translator in many parts and an original author in many others. I consider myself a mere translator wherever I have only made slight changes. I have often had the temerity to go beyond this, however, I did cut out whole books, I did change the way matters were set forth, and I have even invented new material.

Length is one of the factors that have been detrimental to our French poets: our poets have been beset by the wrong idea of emulation, and they have thought they had to run a course as long as that of Homer and Virgil.

The other reason that should have led our epic poets to reduce the size of their poems is that our lines of verse tend to fall in too uniform a cadence, which is pleasing for a while, but tiresome in the end.

For these reasons I have reduced the twenty-four books of the *Iliad* to twelve, which are even shorter than Homer's. At first sight you might think that this could only be done at the expense of many important elements. But if you pause to reflect that repetitions make up more than one-sixth of the *Iliad*, and that the anatomical details of wounds and the warriors' long speeches make up a lot more, you will be right in thinking that it has been easy for me to shorten the poem without losing any important features of the plot. I flatter myself that I have done just that and I even think I have succeeded in bringing the essential parts of the action together in such a way that they form a better proportioned and more sensible whole than Homer's original.

I would not have had to correct anything in the *Iliad*, except for the fact that what is moving in the poem has been weakened by detailed preparations that rob the events of all their surprise value and lessen the impression they make, or if these moving passages had not been interrupted by long episodes centered around indifferent characters, so that the reader loses sight of the characters he wants to keep track of. I thought I had to remedy these two defects by suppressing the unnecessary preparations and by cutting down on the uninteresting episodes. Would a theater audience accept having characters come out during the intervals in a tragedy to tell us all that is going to happen next? Would it approve if the actions of the principal characters were interrupted by the business of the *confidants*? Certainly not.

I have, therefore, only corrected -- as far as possible -- those defects in the poem that have a shocking or boring effect, since those are unforgivable. I have left the gods their passions, but I have always tried to preserve their dignity. I have not deprived the heroes of their unjust pride, which often appears as "grandeur" to us, but I have deprived them of the avarice, the eagerness, and the greed with which they stoop to looting, since these faults would bring them down in our eyes.

I have tried to make the narrative move at a faster pace than Homer does: the descriptions are grander and less weighed down with trivia, the comparisons less frequent and more exact. I have taken out of the speeches whatever I thought might run counter to the passion they express, and I have tried to put into them that mixture of power and sense that guarantees the best possible effect. Finally, I have tried to ensure continuity of character since it is this point -- which has become so well established in our time -- to which the reader is most sensitive, and that also makes him the sternest judge.

---- preface to la Motte's translation of the *Iliad*¹³

31. (法) 安托万·普雷沃 Antoine Prévost



Abbé Prévost, 1697-1763
detail of a drawing by Georg Friedrich Schmidt,
1745; in the Musée des Beaux-Arts, Tours, Fr.;
photograph, R. Arsicaud et Fils

生平及重要译论:

安托万·普雷沃 Antoine Prévost, 史称普雷沃神甫 (Abbé Prévost), 1697.4.1-1763.12.23, 全称 Antoine François Prévost (Antoine François Prevost d'Exiles), 法国多产作家。出生于 Artois 的 Hesdin, 其父 Lievin Prevost 是一名律师。普雷沃一生颠沛, 曾就读于 the Jesuit school of Hesdin 和 the college of La Fleche, 作过教士、军人, 主编过期刊。普雷沃著述过百种, 曾翻译过英国作家理查逊 (Samuel Richardson, 1689-1761) 的被誉为英国第一部小说的书信体小说《帕梅勒》 (*Pamela*, 4 vols., 1742)。普雷沃流传下来的著名小说为《德·格里欧骑士和曼依·莱斯戈的故事》 (*Histoire du Chevalier des Grieux et de Manon Lescaut*; "Story of the Chevalier of Grioux and of Manon Lescaut", 1731), 简称《曼依·莱斯戈》 (*Manon Lescaut*), 在法国一度曾被列为禁书。

普雷沃强调翻译的可接受性。他不认为忠实原著就是毫无保留地将一切都翻译出来。在他所翻译的理查逊的《帕梅勒》的前言中 (参阅下面的“译论史稿辑要”), 他直言不讳地承认他对原作必须进行必要的去粗存精的加工, 对于一些不着边际的话语、过度的描述、罗嗦的对话等等, 甚至对于有可能影响译入语语言质量或读者口味的语言表达他都会进行必要的删改。删改之大, 用普雷沃自己的话说, 他可以将本来应该译成 14 卷的英文 7 卷原著压缩为仅仅 4 卷! 普雷沃的这种翻译观点实际上是罗斯康门 (Earl of Roscommon) 和阿伯兰库 (Nicolas Perrot d'Ablancourt) 翻译观点的综合, 因此具有积极的实践意义。

译论史稿辑要:

I have not changed anything pertaining to the author's intention, nor have I changed much in the manner in which he put that intention into words, and yet I have given his work a new face by ridding it of the flaccid excursions, the excessive descriptions, the useless conversations, and the misplaced musings. The main criticism addressed to Mr. Richardson is that he sometimes loses sight of the main points of his work and drowns in details. I have fought a continuous battle against this lack of proportion that undermines the reader's interest. Should some trace of it have survived I must admit that such is inevitable in a story that is told by means of an exchange of letters. I have

suppressed English customs where they may appear shocking to other nations, or made them conform to customs prevalent in the rest of Europe. It seemed to me that those remainders of the old and uncouth British ways, which only habit prevents the British themselves from noticing would dishonor a book in which manners should be noble and virtuous. To give the reader an accurate idea of my work; let me just say, in conclusion, that the seven volumes of the English edition, which would amount to fourteen volumes in my own, have been reduced to four.

---- preface to Antoine Prévost's translation of Richardson's *Pamela*¹⁴

32. (法) 伏尔泰

Voltaire (Francois-Marie Arouet)



Voltaire

生平及重要译论：

伏尔泰 Voltaire，原名弗朗索亚—马利·阿鲁埃 Francois-Marie Arouet，Voltaire 是其笔名，1694-1778，法国最具声望的启蒙作家、哲学家、戏剧家、历史学家、讽刺作家、翻译家，被誉为“思想之王”、“法兰西最优秀的诗人”。他第一个将莎士比亚戏剧介绍到法国。曾因反对专制两度被投入巴士底狱并流亡英国。死后几经周折终于葬在卢梭的墓旁，而其心脏则存放在巴黎国家图书馆内，盛盘上刻着伏尔泰的遗言：“这里是我的心脏，但到处是我的精神”。

伏尔泰是个多产作家，其全集包括哲学著作、历史著作、哲理小说、戏剧、诗歌等，其中诗歌包括史诗、抒情诗、讽刺诗、哲理诗等各种诗歌，戏剧则包括悲剧和喜剧五十余部。此外，他还留下万余书简。主要代表作有悲剧《俄狄浦斯》(*Oedipe*, 1718)、悲剧《布鲁图斯》(*Brutus*, 1730)、悲剧《札伊尔》(*Zajre*, 1732)、悲剧《穆罕默德》(*Mahomet*, 1742)、悲剧《中国孤儿》(*L'Orphelin de la Chine*, 1755)、哲理小说《查第格又名命运》(*Zadig ou la Destinée*, 1748)、哲理小说《老实人又名乐观主义》(*Candide ou l'Optimisme*, 1759)、《哲学辞典》(*Le Dictionnaire philosophique*, 1764)等。

伏尔泰强调翻译要忠实于原作，特别是要忠实于原作的思想和风格。他还难能可贵地提到译者与读者、译者与原作者以及译者与作品时代的关系。(参阅下面的“译论史稿辑要”)

译论史稿辑要：

(1)

The reader will easily be able to compare Shakespeare's thoughts, his style, and his judgment with what Corneille has written and thought. Readers of all nations shall then sit in judgment over both, even though a Frenchman and an Englishman may be suspected of some partiality in the matter. To make this a fair trial I have to produce an exact translation. I put into prose 'what is prose in Shakespeare's tragedy and I used blank verse where Shakespeare uses it. What is lowly and familiar has been translated in the same way. I have tried to soar with the author where he soars and I have taken great care not to add or take away anything where he is turgid and bombastic.

---- preface to Voltaire's translation of Shakespeare's *Julius Caesar*¹⁵

(2)

I am convinced that we have two or three poets in France who would be able to translate Homer very well; but I am equally convinced that nobody will read them unless they soften and embellish almost everything because, Madame, you have to write for your own time, not for the past.

---- Voltaire's letter to Anne Dacier¹⁶

33. (法) 夏尔·巴托

Charles Batteux

生平及重要译论：

夏尔·巴托 L'abbé Charles Batteux, 1713-1780, 法国艺术哲学奠基人、文艺理论家、美学作家, 法国十八世纪最重要的翻译理论家。出生于法国 Vouziers 附近的 Ardennes, 就读于 colleges of Lisieux and Navarre, 后在巴黎皇家学院 Collège de France (the Royal College) 担任文学修辞教授和古希腊罗马哲学教授, Académie des Inscriptions (1754) 和 the Académie Française (1761) 成员。

巴托曾编辑过翻译丛书, 并翻译过亚里士多德和贺拉斯等人的作品, 撰写过《纯文学教程》(*Cours de belles-lettres*) 等著作。他的关于翻译的论述主要见于《论文学原则》(*Principes de la littérature*) (1774) 一书第五卷。

巴托认为翻译非常不易, 只有有过翻译古典作品经历的人才会对此有深切的体会。翻译的难度要超过创作。而造成翻译如此困难, 巴托认为理解原作者的思想并大问题。问题在于要译出原作的所有内容: 语言、思想、用词、风格特征、语气、语调, 而且对原文必须“不增不改不减” (without adding anything, moving anything or taking anything away)。思想的翻译要保留原文的色彩、程度和微殊; 风格的翻译要保留原文的激情、风趣和生气; 词语的翻译要保留原文的自然、形象、具有说服力、丰富、亲切、优美。正是这种精确翻译观才使得译者的难度要超过作者。原作者是原作的真正主人 (absolute master), 只有原作者才有支配素材、构思和遣词造句的自由; 而译者却根本不是原作的主人, 而只是原作者的“仆人” (master of nothing), 处处只能追随原作者, 如实反映原作者的思想和写作风格。

巴托的翻译理论是带有明显的语言学的特点, 论述的重点内容往往与语言技巧有关, 重点之一便是语序的处理。巴托的精确翻译理论是建立在语言共性论的基础之上的。他认为语言中应该普遍存在着一种自然的语序, 而语言的普遍因素即应该是语序而不是语法。翻译中语序要重于语法。因此他的翻译原则首先便是译文要保留原作的语序。

巴托提出的十一条具体翻译原则是: 1) 永远不改变语序; 2) 不改变思想的顺序; 3) 不改变句子长度; 4) 不改变连词; 5) 不改变副词位置; 6) 保留对称句形式; 7) 保留思想的亮点; 8) 保留修辞

格； 9) 保留格言形式（以格言译格言）； 1 0) 避免解释性的意译，除非不解释无法使意思明白； 1 1) 只有必要时才可改变原文的风格。

巴托在他所翻译的亚里士多德的《诗学》(*Peri Poietikes*)中充分体现了他自己的翻译原则，他的译作即保留了原文的语序、思想的顺序、句子的长度等等，基本上做到了形式对等。当然，他必然要为这种完全形式对等付出损害思想内容的代价。

译论史稿辑要：

Only those who have never translated classical authors would doubt the difficulty of the enterprise. Those who have had the experience know that you often need more time, more effort, and more diligence to copy a beautiful painting than to create one.

When you translate the big problem is not to understand the author's thoughts. You can usually do so with the help of good editions and commentaries, and certainly if you examine the link between the thoughts. But the problem is to render things, thoughts, expressions, stylistic features, the general tone of the work and the particular tones of the particular styles of poets, orators, historians, and to render things as they are, without adding anything, moving anything, or taking anything away. The thoughts must be rendered with their colors, degrees, nuances. You must render the stylistic features that give fire, spirit, life to the discourse, as well as the expressions, natural or figurative, strong, rich, gracious, delicate. And you must do all this while trying to follow a model that commands without pity and wants to be obeyed with ease. It is obvious, therefore, that you need at least as much taste, if not as much genius, to translate well as you need to write well -- or maybe more.

The author, guided by his genius that is always free and by his subject matter that presents him with ideas he may accept or reject as he pleases, is the absolute master of his thoughts and expressions. He is allowed to dismiss what he cannot express. The translator is master of nothing, he must bend with infinite suppleness to all the variations he finds in his author. Just consider the variety of tones that can be found within the same subject matter and, *a fortiori* within the same genre. If the parts that make up the subject matter have been attuned and brought into proper harmony you can observe the rising and falling of the style and see how it grows softer and stronger, more or less constricted, without overreaching the unity of its fundamental character. Terence has a style that is suited to comedy all the way through. It is always simple and delicate, but it is so to different degrees whether spoken by Simon or Daves, by Sostrates, Mysis, or Pamphilus. The degrees vary with the actor's emotions, whether they are moved or not, or caught up in one passion or another.

Let us take matters even further: the epistolary style must be a simple one. It is said that you have to write a letter the way you speak (as long as you speak well, of course). Imagine a scale that runs from baker to king. There are so many social conditions differentiated by education, talent, birth, fortune, and there are so many simple styles that correspond to them. You must not use one where the other is appropriate. You cannot do so without offending taste and decorum. But the writer must also be true to himself, his personality, his age, his position, what he has been, what he has done, what he hopes, and what he fears. All these factors map out stylistic possibilities for him which he is able to implement if he has excellent taste. You cannot render all these possibilities in translation unless you have experienced them first and then you must master at your discretion the language you want to enrich with foreign loot. Strong languages break elegance when they try to transfer it. Weak languages dilute power. Try to imagine what a successful translation must be like!

The first requirement the translator has to meet is that he should master in depth the genius of the two languages he wants to deal with. He may have done so by means of some confused sentiment resulting from the habit with which you speak a language. But would it be useless to shed some light on the road of feeling and to give the translator a few hints to make sure he does not lose his way?

Sometimes you cannot find the words that correspond to the words you want to translate. This does by no means happen only to beginners or to those who do not know their languages well. When they are unable to find the simple words that are in existence they go looking for flaccid circumlocutions that cannot possibly take their place. We must tell them to study first and to learn their own language well. Once they have done so they will have problems only with syntactic constructions. They can then share those problems with people who have more experience because they have been using the language for a longer period of time. They will be able to solve those problems, at least in part, if they take to heart the concepts we are about to develop.

The first principle of translation is that you must use all stylistic features present in the original when both languages are amenable to this.

1. You must never tamper with the order of things, whether facts or arguments, since that order is the same in all languages and since it is tied to human nature, not the particular genius of different nations.
2. You must also preserve the order of ideas, or at least their parts. There must have been a reason, no matter how hard to detect, that made the author use one order rather than another. It may have been harmony, but sometimes it is also energy.
3. You must also preserve periods, no matter how long, because a period is nothing but a thought that consists of a number of other thoughts linked by an inner necessity, and those links are the life of those thoughts and they represent the speaker's main intention.

On the other hand, there are cases in which you can cut up periods that are too long. But then the parts you cut off are linked by an external logic and in an artificial manner. They are no longer parts of periods proper.

4. You must preserve all conjunctions. They are like joints that keep the parts together. Their position and their meaning should not be changed. They can be omitted only when the mind can easily supply them, that is when the mind propels itself from one part of a period to another and when the conjunction, if expressed, would merely hold it back and not help at all.
5. All adverbs must be placed next to the verb, in front of it or behind it according to the demands of harmony or energy. The Romans always gave them their place based on those two principles.
6. Symmetrical periods must be rendered symmetrically or in some equivalent manner. Their symmetry in the discourse lies in the relationship between a number of ideas or a number of expressions. The symmetry of expressions may be found in the sounds, the number of syllables, the length of the words or their endings, or the ways in which the parts of the period are arranged.
7. Brilliant thoughts should be rendered by approximately the same number of words to make sure their brilliance is preserved in the translation. Otherwise you will either brighten their splendor or darken it, and you are not allowed to do either.
8. You must preserve the figures of thought because they are the same in all minds. They can arrange themselves in the same order everywhere. This is the way to render interrogations, conjunctions, exhortations, etc. Figures of speech such as metaphors, repetitions, combinations of words and phrases can usually be replaced by equivalents

in the other language.

9. Proverbs, which are popular maxims, and which can almost be considered one word, must be rendered by means of other proverbs. Since they only deal with things that are common in a society all nations have many proverbs in common, at least as far as the sense goes, even though they may be expressed in different ways.
10. All circumlocutions are evil: they are commentary, not translation. Yet necessity may serve as the translator's excuse if there is no other way to make the sense known.
11. Finally, we must totally abandon the style of the text we translate when meaning demands that we do so for the sake of clarity, when feeling demands it for the sake of vividness, or when harmony demands it for the sake of pleasure. This becomes a second principle, which is the reverse of the first one.

Ideas may present themselves under different guises and yet remain the same and they may combine themselves or fall apart in the words we use to express them. They may appear as verbs, adjectives, adverbs, or nouns. The translator has four ways to choose from. Let him take his scales, let him weigh expressions on either side, let him bring them into equilibrium in various ways. He will be forgiven all metaphors as long as he makes sure the thought keeps the same body and the same life. He will do as the traveler who gives a gold coin in exchange for various pieces of silver, or vice versa, as he pleases.

These are a few very simple procedures. I venture to say they will always achieve the desired effect. They will show the translator in need a way out of his predicament -- the very way he has been trying to discover for a long time if he has allowed himself to be guided by instinct alone.

---- Batteux, *Principes de la littérature* ("Principles of Literature")¹⁷

34. (法) 让·勒·容·达朗贝尔 Jean le Rond d'Alembert



生平及重要译论

让·勒·容·达朗贝尔 Jean le Rond d'Alembert, 1717.11.17-1783.10.29, 法国著名哲学家、数学家、天体与地球物理学家、天文学家, 法国 18 世纪启蒙运动的领袖人物之一。出生于法国巴黎, 是一名军官 (Louis-Camus Destouches) 的私生子, 出生后被遗弃在教堂, 后被一玻璃工匠收养, 达朗贝尔为此用该教堂名 (church of St. Jean Baptiste de Rond) 作为自己的名字。曾就读一所优秀的私立教会学院 (Jansenist Collège des Quatre Nations), 并奠定了出色的数学基础。因其崇尚理性拒绝信仰宗教, 死后葬于巴黎市郊的无名墓地, 没有举行隆重葬礼。

达朗贝尔是一名功绩卓越的科学家, 尤其是在数学、力学等方面贡献巨大, 1754 年当选法国科学院 (French Academy) 院士, 1772 年任学院终身秘书。主要著述有 8 卷数学巨著《数学论丛》 (*Opuscules mathématiques*, 1761-1780)、力学专著《动力学》 (*Traité de dynamique*, 1743) 及 23 卷的《文集》, 曾与著名哲学家、文学家狄德罗 (Denis Diderot, 1713-1784) 共同编撰 28 卷法国《百科全书》 (*Dictionnaire raisonné des sciences, des arts et des métiers*, 1746), 他负责编写了数学和科学方面的大部分。

达朗贝尔对于文学翻译中的翻译艺术曾有过比较深入的论述。文学翻译是翻译理论研究最为重要的部分, 因为文学翻译涉及的不仅仅是词语, 更多的还要涉及社会、文化、思想等众多极为复杂的方面。达朗贝尔认为文学翻译既要译出原作的简洁又要译出原作的“生动” (vividness), 因此文学翻译的艺术就在于译出作者的独有的特色。而作者独有的特色存在于作者的思想或其写作风格中。要想翻译出作者独具的特色其难度是可想而知的。对此, 达朗贝尔提出很有意义的翻译指导原则。(参阅下面的“译论史稿辑要”)

译论史稿辑要:

Languages have their own genius; so do writers. The original's distinguishing features must therefore be transferred to the copy. This rule is both the most highly recommended and the least practiced, and readers themselves give proof of the greatest indulgence where it is concerned. How many translations represent the most disparate works of literature in the same way, like beautiful women with regular features but without a soul or physiognomy of their own? There, if I may say so, is the kind of absurdity that hurts translations most. Other mistakes pass and correct themselves but this one is continuous and without remedy. The blots you can make disappear by rubbing them out almost do not deserve that name. Mistakes do not kill a translation; the chill does. Translations are nearly always more defective on account of what is not there than on account of what the author did put in.

Representing the original in a translation is all the more difficult because the characteristics of that original are often easily misinterpreted, and it is often easy to see only one facet of it. A writer may have a double feature in his style, concision, and vividness, for one must not believe that these two qualities necessarily go together since brevity may also be grouped with coldness and dryness. Yet a translator will be satisfied with conciseness in trying to resemble the author we are talking about. If he is concise without being vivid he will have missed the most precious part of the likeness.

But how do you take on foreign characteristics if nature has not prepared you for them? Writers of genius should, therefore, be translated only by those who are like them and are content to be their imitators while they could be their rivals. It is said that a painter who is mediocre in his own work may excel in the copies he makes. To do so the painter only needs to follow the path of servile instruction; the translator, on the other hand, copies with his own colors.

A writer's characteristic features reside either in his thinking or in his style, or both. Writers whose characteristic features reside in their thinking suffer the smallest losses when they are transferred into another language. Corneille ought therefore to be easier to translate than Racine and (even though this may seem paradoxical) translating Tacitus should be easier than translating Sallust. Sallust says everything, but with few words, a positive feature not easily

kept in translation. Tacitus leaves much to be inferred and he makes his readers think, a positive feature the translator cannot afford to lose in translation.

Writers who combine elegance of ideas with elegance of style offer more resources to the translator than those who please through their style only. In the first case the translator may flatter himself with the thought that he succeeds in transferring the characteristic features of the author's thinking to the copy and, consequently, that he succeeds in transferring at least half of the author's spirit. In the second case he succeeds in rendering nothing if he fails to render diction.

In this last class of writers, who present the translator with a more thankless task than all the others, the least rebellious are those whose principal distinguishing feature is that they wield their language in an elegant manner, while the more intractable are those who have their own way of writing. It is possible that the English may have succeeded in translating a few of Racine's tragedies. I doubt that they would be able to translate La Fontaine's *Fables* with the same kind of success since this is probably the most original work the French language has ever produced. They would also be hard pressed to translate the *Aminta*, a pastoral work full of those gallant details and pleasant baubles Italian is so good at that they should be left in that language. Finally, they would not find it easy to translate the letters of Madame de Sévigné, so frivolous in their essence and so seductive in the very negligence with which their style is handled. Some foreigners have treated them with contempt because they did not know how to translate them. Indeed, nothing helps to dismiss problems faster than contempt does.

The question has been raised whether poets can be translated in verse, especially in our language, which does not admit of unrhymed verse, unlike English and Italian, and which allows no leeway to either the poet or the translator. Some of our writers have maintained that poets cannot be translated into prose, either because they like poetry or because they like problems. Prose translations, they add, would disfigure poets and deprive them of their principal charm, measure, and harmony. That still leaves the question of whether one is forced to imitate poets in verse, rather than translating them. The difference in harmony between the two languages alone represents an insurmountable difficulty for all verse translations. Can anyone seriously believe that our poetry with its rhymes, its half-lines that are always similar, the uniformity of its progression and its monotony -- if one may say so--might be able to represent the varied cadences of Greek and Latin poetry? Yet the difference in harmony is the least of our difficulties. Let us ask those of our great poets who have successfully transferred some beautiful passages of Homer or Virgil into our language how often they have been forced to substitute equally felicitous ideas taken from their own resources for ideas they were unable to render, to substitute lines relying on feeling for lines relying on imagery, to substitute vividness of phrasing for energy of expression, to substitute verse relying on intellect for the pomp of harmony.

To translate a poet into prose is to change a measured aria into a recitative; to translate him into verse is to change one aria into another, which may be just as good, but is not the same. The one is a weak copy that exhibits a certain resemblance; the other is a work on the same subject and not a copy at all. But what do we have to do to get to know the poets who have written in a foreign language? Learn that language, of course.

What conclusions can we draw from these reflections? If we were to measure merit merely according to problems solved, we would often encounter fewer problems in creating literature than in translating it. In men of genius ideas are born without effort, and the expression most apt to render those ideas is born together with them. It is almost uniquely the task of the art of translation to express ideas that are not ours in a way that is, and that art is all the greater in that it cannot allow itself to be detected. Yet no matter how well it is hidden we always know it is there, and that is the reason why we prefer original work to imitation. Nature never loses the rights it has on us: the products it has made by itself always move us most deeply. We therefore prefer fruit grown in its native soil-and nurtured with ordinary skill and mediocre care to fruit transplanted into that same soil with much toil and trouble. We will eat the latter on occasion, but we always go back to the former.

Yet while we award creative writers the first rank they deserve it would seem that an excellent translator should be ranked immediately below them, above writers who wrote as well as they could, but remained untouched by genius. But there is a certain fatalism among us that spreads to all the arts that rely on taking over foreign characteristics. There are those we have reviled with the most unjust prejudice; there are also those we do not give sufficient consideration, and the translator's work is among them.

It is not this injustice alone that makes the task so thankless and the number of translators so small. Even though they are faced with a number of bonds they cannot break when practicing their art, we have taken pleasure in tightening those bonds, as if we want to discourage them, even if we go against our own best interests in doing so.

The first yoke they allow to be put on them, or rather, put on themselves, is to limit themselves to being copiers rather than rivals of the writers they translate. They cling to their original with such superstitious dread that they would believe themselves guilty of sacrilege if they embellished it, even in its weak spots. They only allow themselves to be inferior to it and they succeed without any difficulty. It is more or less as if a skillful engraver, who copies the painting of a great master, would not allow himself a few light and graceful touches to enhance its beauty or mask its defects. Should the translator, so often forced to remain below his author, not place himself above him when he can? What about the objection that it is to be feared that such liberty will degenerate into license? If the original is well chosen there will not be much call for corrections or embellishments; if many of them are needed the original is not worth translating.

A second obstacle translators have put in their own paths is a shyness which holds them back when, with a little courage, they could lift themselves to the same level as their models. That courage consists of the willingness to coin new expressions to render certain vivid and energetic expressions found in the original. No doubt one should do this sparingly and only when necessary. And when is that? When the problem in translating is caused only by the genius of the languages? Each of them has its laws, and nobody is allowed to change them: to speak Latin in French would smack more of a bizarre enterprise than of a daring feat. But when you think the author has risked an expression of genius in his own language, you can start looking for analogous expressions. And what is an expression of genius? Not a new word, dictated by laziness or eccentricity, but rather the skillful and necessary joining of some known terms that allow for a new idea to be expressed in an energetic manner. This is almost the only type of innovation allowed in writing.

The most indispensable proviso accompanying those new expressions is that they should not suggest even the suspicion of constraint to the reader, even though that is precisely what caused their coinage. Sometimes you happen to meet very spirited foreigners who speak our language with great courage and great ease. When they converse with us they think in their own language and translate into ours, and we often regret that the energetic and singular terms they use are not sanctioned by common usage. As long as it is correct, the way these foreigners converse is the image of a good translation. The original must speak our own language in it, not with that superstitious shyness one feels for one's own language, but with that noble freedom that makes us borrow some features from one language to slightly embellish another. A translation will then possess all the qualities that make it worthy of esteem: the natural and easy look, the imprint of the genius of the original and, at the same time, that feel of the native soil any foreign tincture is bound to give it.

Well-made translations would therefore be the fastest and the surest way to enrich languages. This advantage would, it seems to me, be more real than the one ascribed to art by that famous satirist of the past century who was both a passionate admirer of the Ancients and a severe and sometimes unjust judge of the Moderns. "The French," he used to say, "have no taste. Only classical taste is capable of forming writers and critics among us, and good translations would impart that precious taste to those who would not be able to read the originals." If we are lacking in taste I do not know where it has fled to. At least we are not lacking in it for lack of models in our own language, which are by no means inferior to the Ancients. Let us limit the comparison to dead authors and ask who would dare

rank Sophocles higher than Corneille, Euripides higher than Racine, Theophrastus higher than La Bruyère, Phaedrus higher than La Fontaine? We should therefore not limit our classical library to translations, but we should not exclude them either. They are sure to multiply good models: they will help us to know the characteristic features of writers, peoples, and epochs; they will make us perceive the nuances that distinguish absolute and universal taste from what is merely national.

The third arbitrary law translators have been forced to obey is the ridiculous constraint of having to translate an author from A to Z. As a result the translator, weary and cold in the weak passages, languishes in the excellent ones. And why should he torture himself by rendering a false thought with elegance, or a common thought with wit? We do not transfer the classics into our language to familiarize ourselves with their defects but rather to enrich our literature with the best they have achieved. To translate them in extracts is not to mutilate them but rather to paint them in profile and to their advantage. What pleasure can one derive from the passage in which the Furies take away the Trojans' dinner in a translation of the *Aeneid*, from the cold and sometimes gross jokes disfiguring his speeches in a translation of Cicero, or from the passages in which some historian's narrative offers nothing of interest, either in substance or in style? Why, finally, transplant into a certain language what is graceful only in another, like the details of agriculture and pastoral life so pleasant in Virgil and so insipid in all prose translations? Or does Horace's eminently wise precept to abandon what you cannot do successfully not apply to translation as well as to other modes of writing?

Our men of letters would find it greatly to their advantage to translate extracts from certain works that contain enough beauty to bless many a writer with, and whose authors would erase those who now occupy first place if they had as much taste as they have wit. What pleasure could Seneca and Lucian not give if they had been tightened and thinned by a skillful translator? Seneca, so eminently quotable and so tiresome to read, who keeps spinning the same object around with dazzling speed, as opposed to Cicero who always advances toward his goal, but slowly. Lucian, the Seneca of poets, so full of male and true beauty, but too rhetorical, too monstrous, too full of maxims and empty of images. The only writers who would require a complete translation are those who give pleasure through their very negligence, as Plutarch does in his *Lives of Famous People*, in which he keeps dropping his subject matter only to pick it up again, and manages to pursue a conversation with his reader without tiring him out.

What I propose to do here, namely to translate the classics in the form of extracts, leads to another thought that is connected only indirectly with the matter in hand, to be sure, but which may turn out to be useful nonetheless. Our schools limit themselves to putting a small number of authors into the hands of our children and they usually show them only small portions taken from each author, to explicate and learn by heart. Their memory is indifferently filled with the good, the mediocre, and even the bad things these portions contain. Since most teachers tend to be somewhat deficient in taste, they hardly ever point out the really beautiful passages to their pupils; would it therefore not be infinitely more advantageous to select the very best passages from the different works of each author and to present to our children who read the classics only those portions deserving to be remembered? This way children would not assimilate everything the classics have thought, but they would assimilate the best. They would be familiar with the style and the genius of a greater number of writers. They would, at long last, have the opportunity of embellishing their mind while educating their taste. Such an anthology need not be immense if it is put together with discrimination, and the normal time allotted to study at school would be sufficient for students to become thoroughly familiar with it. We cannot exhort skillful men of letters enough to undertake this task, as long as they possess two qualities, the combination of which is rather rare, namely to be deeply versed in knowledge of the Ancients and, at the same time, to be free of any superstitious prejudice in their favor. They should not take after that ridiculous admirer of Homer who undertook to underline all the passages he thought admirable in that great poet and who, having read him for the third time, wound up underlining everything in his copy from A to Z. Could such a man flatter himself with the thought that he knew the real beauty of Homer and would Homer himself have been flattered with such an

admirer?

I would be a fool to think that all readers would appreciate the strategy I have tried to follow in this translation. In this matter, more than in any other, every reader has his own measure, so to speak, and his own prejudices, if you like, and he wants the translator to live up to those. Nothing, therefore, is probably more rare in literature than a translation that is generally approved of. Even if it were approved of in its entirety, how many details would there not be left to criticize? I would be very happy if my translation were to meet with the approval of that small group of men of letters who have a deep knowledge of the nature of both languages, the genius of Tacitus himself, and the real rules of the art of translation: they should be able to appreciate my work. There are others who only think they have that knowledge; I have nothing to expect from them, nor do I require anything of them.

The only mercy I would like to be shown by those I recognize as my real judges would be that they not limit themselves to pointing out my mistakes, but that they also allow me to correct them once they have been pointed out to me. Of all the injustices translators have a right to complain about, and I have already described a few of them, the most glaring is the way in which they are usually criticized. I am not referring to vague, inept, disloyal criticism that should simply be disregarded, but I am referring to the kind of criticism that appears to be well-motivated, and even ostensibly just, and I maintain that it will not be sufficient in the case of translation. It is possible to judge an original work by limiting oneself to a well-argued criticism of the defects one notices in it because the author was the master of his plan, of what he had to say and of the way to say it, but the translator is forced to act under constraints on each of these counts. He is continually forced to follow a narrow and slippery road, not of his choice, and sometimes he has to throw himself to one side to avoid falling into the abyss. If one wants to criticize him in an equitable manner, therefore, one should not just point out that he has made some mistake; he must also be convinced of the fact that he could have done better, or at least as well, without making that mistake. It is pointless to tell a translator that his translation is lacking in rigorous exactness if you are unable to show him, at the same time, that he could have been exact without becoming less pleasing. It is pointless to maintain that he has not rendered the author's sense completely if you cannot prove to him that he could have done so without making the copy weak and flaccid. It is pointless to tell him that his translation is too audacious if you are unable to substitute another one for it, which is more natural and just as vigorous. To correct an author's blemishes is counted in favor of ordinary critics; it is the duty of those who criticize translations. Small wonder, therefore, that good criticism is even more rare than good original work in this mode of writing as in all others. And why should it not be? Satire is so easy! And the average reader does not even insist on its being at least a trifle witty. In the realm of literature satire ensures that you will be read. Whether you will also gain your reader's respect is another matter.

---- d'Alembert, *Observations sur l'art de traduire* ("Remarks on the Art of Translating")¹⁸

35. (法) 皮埃尔·勒图尔纳 Pierre le Tourneur

生平及重要译论:

皮埃尔·勒图尔纳 Pierre le Tourneur, 1736-1788, 法国翻译家, 以翻译莎士比亚全集(1776-1782)及扬(Young)的作品著称。他最早强调莎士比亚独特的写作风格, 并较早强调译者的责任。勒图尔纳还强调翻译要忠实于原作, 但他同时也反对直译。他所强调的忠实是指忠实于原作的精神和风格, 因此他开创了翻译莎士比亚作品的新的风格, 为后人所模仿。

译论史稿辑要：

It has been my intention to distill from the English Young a French one to be read with pleasure and interest by French readers who would not have to ask themselves whether the book they were reading was a copy or an original. It seems, to me that authors who write in foreign languages should be translated in this way since they are not always models of taste, even if their superior literary merit is not in doubt. If we translated this way we would assimilate all that is good in our neighbors and reject the bad we have no need to read or know of.

---- preface to Tourneur's *Night Thoughts*¹⁹

36. (法) 雅克·德力尔 Jacques Delille



Jacques Delille

生平及重要译论：

雅克·德力尔 Jacques Delille, 1738.6.22-1813.5.1, 法国神父、文学家、(打油)诗人。出生于法国的 Aigueperse, 就读于巴黎 Lisieux 学院 (Collège de Lisieux), 毕业后任教于巴黎拉马什学院 (Collège de la Marche)。德力尔将维吉尔 (普布留斯·维吉留斯·马罗 Publius Vergilius Maro 即 Virgil, 70B.C.-19B.C.) 的四卷《农事诗》(Georgica, 37B.C.-30B.C.) 译成法语韵文 (*Les Géorgiques de Virgile, traduites en vers français*, Paris, 1769) 并获得巨大成功, 并因此而进入法国科学院 (French Academy), 并任巴黎学院 (Collège de France) 拉丁文诗歌教授。法国革命后他不得不于 1794 年流亡于瑞士、德国和英国。1802 年返回法国并重返法国科学院。

德力尔的其他作品有 *Les Jardins, en quatre chants* (1780)、*Dithyrambe sur l'immortalité de l'âme* (1793)、*L'Homme des champs, ou les Géorgiques françaises* (1802)、*Poésies fugitives* (1802)、*Le Paradis perdu* (3 vols., 1804)、*L'Imagination* (1806)、*Les Trois Règnes de la nature* (1806)、*Les trois règnes de la nature* (2 vols., 1808)、*La Conversation* (1812)、*Oeuvres* (16 vols., 1824) 等等。

德力尔结合自己的韵文翻译实践, 从辩证的角度论述了文学翻译的忠实问题: 极端的忠实只能导致极端的不忠实。对原文的忠实绝非是指词语的忠实。忠实要看整体效果。德力尔同时也强调正是语言之间的巨大差异和翻译的困难, 使得翻译成为丰富语言的一种途径。

译论史稿辑要：

I have always thought of translation as a way to enrich a language. If you write an original work in a particular language you are likely to exhaust that language's own resources, if I may say so. If you translate, you import the riches contained, in foreign languages into your own, by means of felicitous commerce.

I have chosen to translate in verse, since a translation of verse into prose is always an unfaithful one. There are those who maintain that even the best translation in verse disfigures the original and dilutes its beauty. I merely refer them to the translation the famous Mr. Pope made of Homer, or to the translation of Virgil made by Mr. Dryden, which allows us to get to know Virgil better than the best prose version does. At least we have a poet translating a poet.

I shall explain the system of translation I have followed, the liberties I have taken. I have always maintained that extreme faithfulness in translation results in extreme unfaithfulness. A word may be noble in Latin and its French equivalent may be base. If you insist on extreme faithfulness you will replace a noble style with a base one. Alternatively, a Latin expression may be strong and precise and you may need more than one word to render it into French. If you are faithful you will be long-winded. An expression that is bold in Latin may be trenchant in French and you will end up replacing boldness with insensitivity. A sequence of words may be harmonious in the original but the words that correspond to them in the translation may not be as melodious. Harmony will be replaced by discord. If an image was new in the Latin writer but has become worn out in French, you will find yourself replacing a new image with a trivial one. Finally, a geographical detail or an allusion to a custom may have been pleasing to the people your author wrote for. It may no longer be so to your reader. You will merely be strange where your author was interesting.

So what is the skillful translator to do? He studies the nature of both languages. He is faithful where they do not deviate and where they do he fills the gap with an equivalent that safeguards the rights of his own language while following the author's genius as closely as possible: Every writer has his own physiognomy and his own gait, so to speak. He can be more or less warm, more or less ingenious, more or less quick. The translator should therefore not resort to Ovid's brilliant, fecund, and diffuse style to render Virgil who is always simple and precise.

But the translator's most essential duty, the one that crowns all others, is to try to reproduce the effect the author produced, in every instance. He must be able to produce the same beautiful passages, as far as possible, or at least the same number of beautiful passages. Whoever wants to translate goes into debt. To repay it he must pay the same sum but not in the same currency. If he is unable to render the image he should replace it with a thought. If he cannot paint for the ear he should paint for the mind. If he is less energetic he should be more harmonious and he should be richer if he is less precise. Does he foresee that he will have to weaken his author in a certain passage? Let him strengthen that author in another. Let him give back below what he takes away above. Let him compensate everywhere while staying as close as possible to the nature of the original in all its parts. For this reason it is unjust to compare each one of the translator's lines with the corresponding line in the original. His merit must be determined on the basis of the totality of his work and the overall effect produced by every passage.

---- preface to Jacques Delille's translation of Virgil's *Georgics*²⁰

Abraham Cowley



Abraham Cowley, 1618-1667

生平及重要译论：

亚伯拉罕·考利 Abraham Cowley, 1618-1667，出生于伦敦，是一名富有的伦敦出版商的遗腹子，曾就读于西敏学校和剑桥大学神学院，1643 年取得硕士学位。考利 15 岁时（1633）便出版了他的首卷诗集《诗的花朵》（*Poetical Blossoms*），20 岁时（1638）写过田园剧和拉丁喜剧 *Naufregium Ioculare*。考利是重要的多产诗人、作家、评论家、翻译家，著有《情妇》（*Mistress*）、《杂记》（*Miscellanies*）、《智慧的颂歌》（*Ode: of Wit*）等，并以翻译品达（Pindaros, 522? B.C.-442B.C. 古希腊职业诗人）的合唱琴歌的译作《品达歌集》（*Pindaric Odes*）著称。死后葬于威斯特敏斯特大教堂（Westminster Abbey）乔叟（Chaucer）和斯宾塞（Spenser）的墓旁。

考利是译诗新流派的代表，主张译者译诗时不应直译，而应该享有较大的自由，因为使用直译法译诗是最荒唐的。他认为，翻译过程中必然会丢失诗的大部分美感，译者有责任为其翻译增加新的美感以作补偿。既然在翻译过程中那么多原作的优秀精华都丧失了，因此只要不背离原作主题的话，译者怎样整枝添叶也是不过分的，都不可能超过原作的丰美多姿。当然，考利认为这并不意味着译者被给予最大的自我表现的机会，而仅仅是为了保证译者在翻译中更好地再现原作的精神。要想做到这一点，译者就必须非常了解原作者。

对此，考利进行过详尽的论述：

逐字翻译品达就好比一个疯子翻译另一个疯子（的作品），如果不懂得希腊原文的人阅读直译成拉丁散文散文的译文，读到的简直是一派胡言……我们在翻译品达的作品时，必须考虑他所处时代和我们所处时代之间的巨大时间差，这种时间差象使图画褪色一样，肯定会改变原诗的色调；还必须考虑不同国度在宗教和习俗上的差异，以及地方、人物、举止方面的许许多多的特点，由于时间相距太远，这些差异和特点肯定会使我眼花缭乱。最后，……我们还必须参考到这一点：即 我们不习惯于鉴赏品达诗歌的韵律，而特别是在颂歌创作中优秀诗人所以优秀，有时几乎全部靠的是这种韵律……我很想知道，如果把我们最优美的英诗忠实地、逐字地译成法语或意大利语，法国人或意大利人会作出什么样的评价。

考利自己在翻译品达的颂歌时就是这样做的。他接着说，

我在翻译品达的这两篇颂歌时，便随意采摘，随意删削，还随意增补。我的目的与其说是让读者知道原作者讲的是是什么，不如说是让读者知道作者是怎么讲的……²¹

有趣的是，考利将自己所主张的这种借用原诗主题在语言风格上可以随意创作的方法称为“拟作”（imitation）即自由译法，而德莱顿却对考利和德南姆（约翰·德南姆 John Denham, 1615-1669, 考利的挚友，与考利的翻译观点很为一致）评论说：“然而我不敢说他们两人在翻译中实施了我的定义所说的自由译法（如考利先生自己所称），因为在《品达歌集》中，仍保留着古希腊人的风俗习惯。”²²

译论史稿辑要

Preface

IF a man should undertake to translate *Pindar* word for word, it would be thought that one *Mad man* had translated *another*; as may appear, when he that understands not the *Original*, reads the verbal Traduction of him into *Latin Prose*, than which nothing seems more *Raving*. And sure, *Rhyme*, without the addition of *Wit*, and the *Spirit of Poetry* (*quod nequeo monstrare & sentio tantum*) would but make it ten times more *Distracted* than it is in *Prose*. We must consider in *Pindar* the great difference of time betwixt his age and ours, which changes, as in *Pictures*, at least the *Colours of Poetry*, the no less difference betwixt the *Religions* and *Customs* of our Country, and a thousand particularities of places, persons, and manners, which do but confusedly appear to our Eyes at so great a distance. And lastly, (which were enough alone for my purpose) we must consider that our Ears are strangers to the Musick of his *Numbers*, which sometimes (especially in *Songs* and *Odes*) almost without any thing else, makes an excellent *Poet*; for though the *Grammarians* and *Criticks* have laboured to reduce his Verses into regular feet and measures (as they have also those of the *Greek* and *Latine Comedies*) yet in effect they are little better than *Prose* to our Ears. And I would gladly know what applause our best pieces of *English Poesie* could expect from a *Frenchman* or *Italian*, if converted faithfully, and word for word, into *French* or *Italian Prose*. And when we have considered all this, we must needs confess, that after all these losses sustained by *Pindar*, all we can adde to him by our wit or invention (not deserting still his subject) is not like to make him a *Richer man* than he was in his *own Country*. This is in some measure to be applied to all *Translations*; and the not observing of it, is the cause that all which ever I yet saw, are so much inferiour to their *Originals*. The like happens too in *Pictures*, from the same root of exact *Imitation*; which being a vile and unworthy kind of *Servitude*, is incapable of producing any thing good or noble. I have seen *Originals* both in *Painting* and *Poesie*, much more beautiful than their *natural Objects*; but I never saw a *Copy* better than the *Original*, which indeed cannot be otherwise; for men resolving in no case to shoot *beyond the Mark*, it is a thousand to one if they shoot not *short* of it. It does not at all trouble me that the *Grammarians* perhaps will not suffer this libertine way of rendering foreign Authors, to be called *Translation*; for I am not so much enamoured of the *Name Translator*, as not to wish rather to be *Something Better*, though it want yet a *Name*. I speak not so much all this, in defence of my manner of *Translating*, or *Imitating* (or what other Title they please) the two ensuing *Odes* of *Pindar*; for that would not deserve half these words, as by this occasion to rectifie the opinion of divers men upon this matter. The *Psalms* of *David*, (which I believe to have been in their *Original*, to the *Hebrews* of his time, though not to our *Hebrews* of *Buxtorfius's* making, the most exalted pieces of *Poesie*) are a great example of what I have said; all the *Translators* of which (even Mr. *Sands* himself; for in despite of popular error, I will be bold not to except him) for this very reason, that they have not sought to supply the lost Excellencies of another *Language* with new ones in their own; are so far from doing honour, or at least justice to that *Divine Poet*, that, methinks, they revile him worse than *Shimei*. And *Bucanan* himself (though much the best of them all, and indeed a great Person) comes in my opinion no less short of *David*, than his *Country* does of *Judaea*. Upon this ground, I have in these two *Odes* of *Pindar* taken, left out, and added what I please; nor make it so much my aim to let the Reader know precisely what he spoke, as what was his *way* and *manner* of speaking; which has not been yet (that I know of) introduced into *English*, though it be the noblest and highest kind of writing in Verse; and which might, perhaps, be put into the List of *Pancirollus*, among the *lost Inventions of Antiquity*. This *Essay* is but to try how it will look in an *English habit*: for which experiment, I have chosen one of his *Olympique*, and another of his *Nemeaeen Odes*; which are as followeth.

---- Abraham Cowley, *Poems: Miscellanies, The mistress, Pindarique Odes, Davideis, Verses written on several occasions*^[22]

38. (英) 罗斯康门伯爵 Earl of Roscommon



Wentworth Dillon, 4th Earl of Roscommon,
1633-1685

生平及重要译论

温特华斯·狄龙 Wentworth Dillon，通称罗斯康门伯爵，4th Earl of Roscommon[rɒskɒmˈən]，1633-1685，出生于爱尔兰，斯特拉福德的托马斯·温特华斯伯爵（Thomas Wentworth, earl of Strafford）的侄子，英国诗人、政治家、翻译家和翻译理论家。代表性译作为贺拉斯的《诗艺》（*Ars poetica*）（1680）。罗斯康门的主要贡献在于其 1684 年写作的诗体翻译论著《论译诗》（*Essay on Translated Verse*），对译诗进行了重要的论述，提出诗的翻译原则。

罗斯康门关于诗的翻译原则主要有三点：

1）诗的译者自己必须是诗人，而且译者必须具有原诗人作者的特殊天赋（talent），因为每一个诗人都有自己不同的天赋（Each Poet with a different Talent writes）：写作史实的不会去写抒情诗，写作抒情诗的也不会去写史诗；

2）诗的译者必须与原诗人作者建立一种“和谐的联系”（United by this sympathetic Bond），译者根据这种“和谐的联系”才能选择所要翻译的诗的题材。译者必须选择与自己的情趣和爱好相符的诗人作者和诗作：有的擅长于颂歌，有的擅长于教谕诗，有的则擅长于讽刺诗（one praises, one instructs, another bites）。译者与原诗人作者建立了和谐的联系，译者对原作者就能够更加熟悉、亲近和喜爱（familiar, intimate and fond），在思想、言语、风格和灵魂上与原诗人作者保持一致（Your Thoughts, your Words, your Styles, your Souls agree），翻译的时候就不再有解释的斧痕，而是象原诗人作者一样是在进行创作（No longer his interpreter, but he）。

3）译者必须忠实原作，要遵循“不改，不增，不减”的“三不”翻译原则：对原作的意思、语言和写作风格要准确理解、正确表达，不随意改变，也不随意增添删减。如果需要调整的话，宁可删减，也不随意增添（'tis much safer to leave out than add）。另外，罗斯康门强调，译者的翻译更不可以象雇佣文人那样为利所驱（I pity from my Soul unhappy Men/Compelled by Want to prostitute their Pen,/Who must, like Lawyers, either starve or plead,/And follow, right or wrong, where Guineas lead;）。当然，罗斯康门也认识到，由于语言的差异

做到精确翻译是不现实的（Words in one Language elegantly used/Will hardly in another be excused），因此翻译时也要字斟句酌，要从原诗的论域（universe of discourse）出发进行翻译。

参阅下面的“译论史稿辑要”。

译论史稿辑要：

When France had breath'd, after intestine Broils,
And Peace, and Conquest crown'd her forreign Toils,
There (cultivated by a Royal Hand)
Learning grew fast, and spread, and blest the Land;
The choicest Books, that Rome, or Greece have known,
Her excellent Translators made her own:
And Europe still considerably, that she gains,
Both by their good Example and their Pains.
From hence our gen'rous Emulation came,
We undertook, and we perform'd the same.
But now, We shew the world a nobler way,
And in Translated Verse, do more than They.
Serene, and clear, Harmonious Horace flows,
With sweetness not to be exprest in Prose.
Degrading Prose explains his meaning ill,
And shews the Stuff, but not the Workman's skill.
I (who have serv'd him more than twenty years)
Scarce know my Master as he there appears.
Vain are our Neighbours Hopes, and Vain their Cares,
The Fault is more their Languages, than theirs.
'Tis Courtly, florid, and abounds in words;
Of softer sound than our perhaps affords.
But who did ever in French Authors see
The Comprehensive, English Energy?
The weighty Bullion of One Sterling Line,
Drawn to French Wire, would thro' whole Pages shine.
I speak my private, but impartial sense,
With Freedom, and (I hope) without offence:
For I'll Recant, when France can shew me Wit,
As strong as Ours, and as succinctly Writ.

Tis true. Composing is the Nobler Part
But good Translation is no *easy* Art
For tho Materials have long since been found
Yet both your Fancy and your Hands are bound
And by Improving what was writ before,
Invention Labors less, but Judgment more.

The Soil intended for Pierian seeds;
Must be well purg'd from rank Pedantick Weeds.
Apollo starts, and all Parnassus shakes,
At the rude Rumbling Baralipton makes.
For none have been with Admiration, read,
But who (beside their Learning) were Well-bred.

The first great work (a Task perform'd by few)
Is that your self may to your self be True:
No Masque, no Tricks, no Favor, no Reserve;
Dissect your Mind, examine ev'ry Nerve.
Whoever vainly on his strength depends,
Begins like Virgil, but like Maevius ends:
That wretch, in spight of his forgotten Rhymes,
Condemn'd to Live to all succeeding Times.

With pompous Nonsense and a bellowing sound
Sung lofty Ilium, Tumbling to the Ground.
And (if my Muse can through past Ages see)
That Noisy, Nauseous, Gaping Fool was He;
Exploded, when with universal scorn,
The Mountains Labour'd and a Mouse was Born.

Learn, learn, Crotona's brawny Wrestler cries
Audacious Mortals, and be Timely Wise!
'Tis I that call, remember Milo's End,
Wedgd in that Timber which, he strove to Rend.

Each Poet with a different Talent writes,
One praises, one instructs, another bites;
Horace did ne'er aspire to Epic Bays,
Nor lofty Maro stoop to Lyric Lays.
Examine how your Humor is inclin'd,
And which the Ruling Passion of your Mind;
Then seek a Poet who your way does bend,
And choose an Author as you choose a Friend:
United by this sympathetic Bond,
You grow familiar, intimate and fond;
Your Thoughts, your Words, your Styles, your Souls agree
No longer his interpreter, but he.

With how much ease is a young Muse Betray'd,
How nice the Reputation of the Maid!
Your early, kind, paternal care appears,

By chaste Instruction of her Tender Years.
The first Impression in her Infant Breast
Will be the deepest, and should be the best
Let no Austerity breed servile Fear,
No wanton Sound offend her Virgin-Ear.
Secure from foolish Pride's affected state,
And specious Flattery's more pernicious Bait,
Habitual Innocence adorns her Thoughts
But your neglect must answer for her Faults

Immodest words admit of no defence,
For want of Decency is want of Sense.
What moderate Fop would rake the Park or Stews,
Who among Troops of faultless Nymphs may choose?
Variety of such is to be found;
Take then a Subject proper to expound:
But moral, great, and worth a Poet's Voice,
For Men of sense despise a trivial Choice:

And such applause it must expect to meet,
As would some painter, busy in a Street,
To copy Bulls and Bears and ev'ry Sign
That calls the staring Sots to nasty wine.
Yet 'tis not all to have a subject *good*;
It must delight us when 'tis understood.
He that brings fulsome Objects to my view,
(As many Old have done, and many New)
With nauseous Images my Fancy fills,
And all, goes down like Oxymel of Squils.

Instruct the list'ning world how Maro sings
Of useful subjects and of lofty Things:
These will such true, such bright Ideas raise,
As merit Gratitude as well as Praise;
But foul Descriptions are offensive still,
Either for being like or being ill.
For who, without a Qualm, has ever looked
On Holy Garbage, though by Homer cooked?

What I have instanc'd only in the best,
Is, in proportion true of All the rest.
Take pains the genuine Meaning to explore,
There sweat, there strain, tug the laborious Oar.
Search ev'ry Comment that your care can find,

Some here, some there may hit the Poet's Mind
Yet be not blindly guided by the Throng
The Multitude is always in the Wrong.
When things appear unnatural or hard,
Consult your Author, with Himself compar'd.

Truth still is One; Truth is divinely bright:
No cloudy Doubts obscure her native Light:
While in your Thoughts you find the least debat,
You may confound, but never can translate.
Your Style will this through all Disguises show,
For none explain more clearly than they know:
He only proves he understands a Text,
Whose Exposition leaves it unperplexed.

Words in One Language Elegantly us'd
Will hardly in another be excus'd,
And some that *Rome* admir'd in *Caesar's* Time
May neither suit *our* *Genius* nor our *Clime*.
The *genuine Sense*, *intelligibly* Told,
Shows a *Translator* both *Discreet* and *Bold*.
Excursions are inexpiably bad,
And 'tis much safer to leave out than add.
Abstruse and mystic thoughts you must express
With painful care but seeming easiness,
For truth shines brightest through the plainest dress.

I pity from my Soul unhappy Men
Compelled by Want to prostitute their Pen,
Who must, like Lawyers, either starve or plead,
And follow, right or wrong, where Guineas lead;
But you, Pompilian, wealthy, pampered Heirs,
Who to your Country owe your Swords and Cares
Let no vain Hope your easy Mind seduce,
For rich ill Poets are without Excuse.
'Tis very Dangerous Tampering with a Muse:
The Profit's small, and you have much to lose;

Of many Faults Rhyme is perhaps the Cause;
Too strict to Rhyme, we slight more useful Laws;
For That in Greece or Rome was never known,
Till, by Barbarian Deluges o'erflown,
Subdued, undone, they did at last obey
And change their own for their Invaders' way.

39. (英) 约翰·德莱顿 John Dryden



John Dryden, 1631-1700

生平及重要译论

约翰·德莱顿（又译德赖登）John Dryden, 1631-1700，天主教徒，英国复辟王朝桂冠诗人、剧作家、英国文艺评论之父，十七世纪最伟大的翻译家和翻译理论家，英国古典主义创始人。出生于乡绅家庭，曾就读于伦敦西敏寺学校和剑桥大学，这种古典式教育对其推崇和翻译古希腊罗马经典著作产生了深远的影响。

德莱顿作品包括政治诗、讽刺文、宗教自辩书、评论、剧本、译作等。著名作品有文学评论《论戏剧诗》（*An Essay of Dramatic poesie*），书中强调理性和规律，主张形式的完美。德莱顿最为重要的译作是1697年翻译的维吉尔（普布留斯·维吉留斯·马罗 Publius Vergilius Maro, 70B.C-19B.C）的《伊尼德》（*Aeneis*）。另外，他还翻译过希腊语作家普鲁塔克（Ploutarchos, 46? -120?）的《希腊、罗马名人传》（*Bioi Paralleloi*）（1683-1686），佩尔休斯和朱文纳尔（德奇姆斯·尤尼乌斯·尤文纳里斯 Decimus Junius Juvenalis）的讽刺诗（1693年），贺拉斯的《歌集》（*Carmina*）（部分），奥维德（普布留斯·奥维第乌斯·纳索 Publius Ovidius Naso）的《变形记》（*Metamorphoses*）和《庞图斯[黑海]诗简》（*Epistulae ex Ponto*），荷马的《伊利亚特》（*Iliados*），迪·弗雷斯诺伊（Du Fresnoy, 1611-1665）的《绘画艺术》（*De Arte Graphica*），以及塔西陀（Taxituo, Tacitus, 约56-120 A.D）、忒俄克里托斯（Theocritus, 310? B.C.-245? B.C. 古希腊诗人）、卢克莱修（Lucretius, 99? B.C.-55? B.C. 古罗马诗人）等人的作品，翻译结集的《今古寓言集》（*Fables, Ancient and Modern*）则取自杰弗里·乔叟（Geoffrey Chaucer, 1340? -1400）、奥维德、乔万尼·薄伽丘（Giovanni Boccaccio, 1313-1375）和荷马的作品。德莱顿译文流畅、地道、优美，尽显不同作家的写作风格。

德莱顿的翻译实践与翻译理论均达到十七世纪英国翻译史的顶峰。

德莱顿关于翻译的重要论述主要收在1900年出版的《德莱顿论文集》（*Essays of John Dryden*），关于翻译的三种基本类型的论述则见于其译作《奥维德诗简》（*Ovid's Epistles*）（1680）的序言中。

与前人和同时代其他人相比，德莱顿的翻译理论是很系统的。他的关于翻译原则的观点包含了很多方面，主要有以下四个方面：

1) 在英国翻译史上第一次提出翻译是艺术。这就要求在保留原作的特点和不失真的前提下尽可能使译作保持与原作同样的迷人,做到美的相似。这同时对译者提出了更高的要求:要有艺术(尤其是诗歌)天赋,要精通两种语言,要有艺术鉴赏力,要了解原作的艺术特征,译者本人也要具有与原作者相同或相似的艺术特征。换言之,译诗者自己也应该是诗人。他在谈到翻译奥维尔作品的体会时说:

这是不是老人对自己最小的孩子的偏爱,我说不上;但在我看来,这些译作是我所有的翻译作品中最出色的。也许,这位诗人比我尝试过的其他诗人更易于传译,另外也许他更符合我的特点。²⁴

译者如果不具备上述条件,不能了解并区分原作者的思想和表达特征,所译出的作品便不会有鲜明的个性。他曾对英国很多这样的翻译家批评道:

无论是在思想还是在风格、韵律方面,维吉尔和奥维德都是大不相同的,但我发现,甚至连我国最优秀的诗人在翻译维吉尔和奥维德的作品时,也混淆了他们各自的特征。由于只是一味追求原诗优美而和谐的韵律,在译作中他们两人却变得彼此酷似,倘若我不懂原著就根本不能从译本中看出哪一个是维吉尔,哪一个是奥维德。人们曾经反对某一已故高明画家,据说他画了许多幅雅致的人物画,但很少有画得象的。之所以如此,是因为他总是看自己看得多,看摆好姿势让他画的对象看得少。对这种类型的翻译,我能不费吹灰之力地看出是谁的译笔,但却看不出译的是谁的作品。²⁵

他还对本·琼生(Benjamin Jonson, 1572-1637)对贺拉斯的《诗艺》采用逐词译诗表示不满,而对乔治·桑狄斯(George Sandys)的译诗更是提出尖利的批评,认为拘泥于原作字面的忠实只能使诗的译作毫无诗意,他认为这种对诗的翻译方式是

他所处时代的判断错误而造成的。这个时代的人一不懂得什么是好诗,二不喜欢好诗。不错,他们是学者,但他们是迂腐的学者。尽管他们历尽千辛万苦,但他们的译作却须加以重译。²⁶

2) 翻译三分法。德莱顿在西方翻译史上第一次提出翻译的三种类型,即: 1) 逐词译(metaphrase, or turning an author word by word, and line by line from one language into another); 2) 意译(paraphrase, or translation with latitude, the Ciceronian 'sense-for-sense' view of translation); 3) 拟作(imitation, where the translator can abandon the text of the original as he sees fit)。

逐词译死抠原文文字、拘泥于原文的韵律,这样译者便会成为韵脚的奴隶。

德莱顿将逐词译形容为“戴着脚镣在绳索上跳舞”,他说:

翻译既要抠字眼又要译好是不可能的……就好比戴着脚镣在绳索上跳舞,跳舞的人可以小心翼翼避免摔下来,但不能指望我的动作优美。说得好一点,也不过是一种愚蠢的做法:没有哪个神智清醒的人,为了听到自己掉下来没有摔断脖子而博得的喝彩声,便把自己置于危险之中。²⁷

拟作过份地脱离了原作的思想内容,原作已经成为译者重新创作的模式:

拟作是指后世诗人象以前的诗人一样写诗,写同一主题的诗;就是说,不搬原诗人的词句,也不局限于他的意思,而只把他当作一个模式,好比原诗人生活在我们的时代和我们的国家,使用他可能会使用的方式作诗。²⁸

德莱顿生动地形容拟作:

假使某某人期望别人还债，结果收到的却是一件礼物，那他是不大会感到高兴的。公正地说，拟作是译者表现自己的最好方法，但他对九泉之下的作者的英灵和声誉，却是一种莫大的不公。²⁹

他认为拟作是逐词译的另一极端形式。拟作将新的内容放入译文，拟作已经不是翻译而是创作，译作也不再是原作者的作品了。

德莱顿显然是倾向于意译的，并将意译形容为“表达了原文的思想或意义而不被词所羁绊”。意译是逐词译与拟作的折衷，在意译中译者重意义而不重词语。选择词语是为更好翻译意义服务的。译者有选择词语的自由，却决不可以更改意思；即必要的时候译者可以改变原文的外表，但不可改变原文的实质。

关于词语，德莱顿认为必要时可以借用外来词语，尤其是在译诗的时候。他说：

如果我们没有土生土长的合适词语，从别国引进谁又能阻止呢？我没有把国家的财宝带出国，一带出国就回不来了；可是我从意大利带回的东西，我都花在英国，留在英国，用在英国，因为带回的如果是块好钱币，就会在人们当中流通。为了丰富我们的民族语言，我既和活人也和死人打交道。英国有着足够我们使用的必需品，但要想拥有富丽堂皇的东西，就得靠做生意去挣得。³⁰

德莱顿的翻译三分法原则是对历史上传统的两分法（即直译与意译）的突破和发展。

3）强调原作者是主人。德莱顿认为译者只是在别人庄园中劳动的奴隶，在葡萄园里劳作，酿出的酒却是主人的。主人便是原作者。原作者是原作思想和言语的主人。译者必须受到原作者意思的制约，没有改动的特权。译者只能将原作者的意思传达给读者。译者没有劳作好就要受罚，而成果累累也不会受到感谢。读者认为这不过是尽到责任而已。

4）强调译作的读者。德莱顿认为译作的语言要考虑到译作的读者。他自己在翻译忒俄克里托斯的作品时便没有生硬地使用原作中的多利安方言（Doric），他说：

因为忒俄克里托斯是向操那种方言的西西里人写作；而译作的读者却是我国的女士们，她们既不懂那种方言，也不会欣赏方言的乡土气息。³¹

而他在翻译维吉尔的作品时却仍然使用原作者的语言，他说：“我没有经常用航海、陆军兵役或其他职业的专门用语或行话”，这是因为

维吉尔并没有使用这类词，因为他不是专门向海员、士兵、天文学家、园丁、农夫等人写作，而是向所有的人写作。³²

史料图片选辑：



John Dryden

The Major Works

John Dryden:

译论史稿辑要：

(1)

We are bound to our author's sense, though with the latitudes already mentioned; for I think it not so sacred, as that one iota must not be added or diminished, on pain of an *Anathema*. But slaves we are, and labor in another man's plantation; we dress the vineyard, but the wine is the owner's; if the soil be sometimes barren, then we are sure of being scourged: if it be fruitful, and our care succeeds, we are not thanked; for the proud reader will only say, the poor drudge has done his duty. But this is nothing to what follows; for, being obliged to make his sense intelligible, we are forced to untune our own verses, that we may give his meaning to the reader. He, who invents, is master of his thoughts and words: he can turn and vary them as he pleases, till he renders them harmonious; but the wretched translator has no such privilege: for, being tied to the thoughts, he must make what music he can in the expression; and, for this reason, it cannot always be so sweet as that of the original.

---- "Dedication" to Dryden's translation of Publius Vergilius Maro's *Aeneid*³³

(2)

All translation, I suppose, may be reduced to these three heads.

First, that of metaphrase, or turning an author word by word, and line by line, from one language into another. Thus, or near this manner, was Horace his *Art of Poetry* translated by Ben Jonson. The second way is that of paraphrase, or translation with latitude, where the author is kept in view by the translator, so as never to be lost, but his words are not so strictly followed as his sense; and that too is admitted to be amplified, but not altered. Such is Mr. Waller's translation of Virgil's Fourth *Aeneid*. The third way is that of imitation, where the translator (if now he has not lost that name) assumes the liberty, not only to vary from the words and sense, but to forsake them both as he sees occasion; and taking only some general hints from the original, to run division on the roundwork, as he pleases. Such is Mr. Cowley's practice in turning two Odes of Pindar, and one of Horace, into English.

The verbal copier is encumbered with so many difficulties at once, that he can never disentangle himself from all. He is to consider, at the same time, the thought of his author, and his words, and to find out the counterpart to each in another language; and, besides this, he is to confine himself to the compass of numbers, and the slavery of rhyme. 'Tis much like dancing on ropes with fettered legs: a man may shun a fall by using caution; but gracefulness of motion is not to be expected: and when we have said the best of it, 'tis but a foolish task; for no sober man would put himself into a danger for the applause of escaping without breaking his neck. We see Ben Johnson could not avoid obscurity in his literal translation of Horace, attempted in the same compass of lines.

The consideration of these difficulties, in a servile, literal translation, not long since made two of our famous wits, Sir John Denham and Mr. Cowley, to contrive another way of turning authors into our tongue, called, by the latter of them, imitation. As they were friends, I suppose they communicated their thoughts on this subject to each other; and therefore their reasons for it are little different, though the practice of one is much more moderate. I take imitation of an author, in their sense, to be an endeavour of a later poet to write like one who has written before him, on the same subject; that is, not to translate his words, or to be confined to his sense, but only to set him as a pattern, and to write, as he supposes that author would have done, had he lived in our age, and in our country. Yet I dare not say, that either of them have carried this libertine way of rendering authors (as Mr. Cowley calls it) so far as my definition reaches; for in the *Pindaric Odes* the customs and ceremonies of ancient Greece are still preserved. But I know not what mischief may arise hereafter from the example of such an innovation, when writers of unequal parts to him shall imitate so bold an undertaking. To add and to diminish what we please, which is the way avowed by him, ought only to be granted to Mr. Cowley, and that too only in his translation of Pindar; because he alone was able to make him amends, by giving him better of his own, whenever he refused his author's thoughts. Pindar is generally known to be

a dark writer, to want connection (I mean as to our understanding), to soar out of sight, and leave his reader at a gaze. So wild and ungovernable a poet cannot be translated less literally; his genius is too strong to bear a chain, and Samson-like he shakes it off. A genius so elevated and unconfined as Mr. Cowley's, was but necessary to make Pindar speak English, and that was to be performed by no other way than imitation. But if Virgil, or Ovid, or any regular intelligible authors, be thus used, 'tis no longer to be called their work, when neither the thoughts nor words are drawn from the original; but instead of them there is something new produced, which is almost the creation of another hand. By this way, 'tis true, somewhat that is excellent may be invented, perhaps more excellent than the first design; though Virgil must be still excepted, when that *perhaps* takes place. Yet he who is inquisitive to know an author's thoughts will be disappointed in his expectation; and 'tis not always that a man will be content to have a present made him, when he expects the payment of a debt. To state it fairly: imitation of an author is the most advantageous way for a translator to show himself, but the greatest wrong which can be done to the memory and reputation of the dead. Sir John Denham (who advised more liberty than he took himself) gives his reason for his innovation, in his admirable Preface before the translation of the Second *Aeneid Poetry is of so subtile a spirit, that, in pouring out of one language into another, it will all evaporate and if a new spirit be not added in the transfusion, there will remain nothing but a caput mortuum*. I confess this argument holds good against a literal translation; but who defends it? Imitation and verbal version are, in my opinion, the two extremes which ought to be avoided; and therefore, when I have proposed the mean betwixt them, it will be seen how far his argument will reach.

No man is capable of translating poetry, who, besides a genius to that art, is not a master both of his author's language, and of his own; nor must we understand the language only of the poet, but his particular turn of thoughts and expression, which are the characters that distinguish, and as it were individuate him from all other writers. When we are come thus far, 'tis time to look into ourselves, to conform our genius to his, to give his thought either the same turn, if our tongue will bear it, or, if not, to vary but the dress, not to alter or destroy the substance. The like care must be taken of the more outward ornaments, the words. When they appear (which is seldom) literally graceful, it were an injury to the author that they should be changed. But since every language is so full of its own properties, that what is beautiful in one, is often barbarous, nay sometimes nonsense, in another, it would be unreasonable to limit a translator to the narrow compass of his author's words: 'tis enough if he choose out some expression which does not vitiate the sense. I suppose he may stretch his chain to such a latitude; but by innovation of thoughts, methinks he breaks it. By this means the spirit of an author may be transfused, and yet not lost: and thus 'tis plain that the reason alleged by Sir John Denham has no farther force than to expression; for thought, if it be translated truly, cannot be lost in another language; but the words that convey it to our apprehension (which are the image and ornament of that thought), may be so ill chosen, as to make it appear in an unhandsome dress, and rob it of its native lustre. There is, therefore, a liberty to be allowed for the expression; neither is it necessary that words and lines should be confined to the measure of their original. The sense of an author, generally speaking, is to be sacred and inviolable. If the fancy of Ovid be luxuriant, 'tis his character to be so; and if I retrench it, he is no longer Ovid. It will be replied, that he receives advantage by this lopping of his superfluous branches; but I rejoin, that a translator has no such right. When a painter copies from the life, I suppose he has no privilege to alter features and lineaments, under pretence that his picture will look better: perhaps the face which he has drawn would be more exact, if the eyes or nose were altered; but 'tis his business to make it resemble the original. In two cases only there may a seeming difficulty arise; that is, if the thought be notoriously trivial or dishonest; but the same answer will serve for both, that then they ought not to be translated.

---- preface to Dryden's translation of *Ovid's Epistles*³⁴

(3)

The true reason why we have so few versions which are tolerable [is that] there are so few who have all the talents

which are requisite for translation, and that there is so little praise and so small encouragement for so considerable a part of learning.³⁵

(4)

Such is the difference of the languages, or such is my want of skill in choosing words. Yet I may presume to say, and I hope with as much reason as the French translator, that, taking all the materials of this divine author, I have endeavoured to make Virgil speak such English as he would himself have spoken, if he had been born in England in this present age.³⁶

40. (英) 亚历山大·蒲伯 Alexander Pope



Alexander Pope, 1688-1744

生平及重要译论

亚历山大·蒲伯 Alexander Pope, 1688-1744, 英国十八世纪最重要的古典主义诗人、讽刺作家、评论家和最著名的荷马史诗翻译家。蒲伯 1688 年 5 月 21 日出生于伦敦一布商家庭, 父母均为天主教徒。由于正逢英国反天主教情感, 蒲伯一家在蒲伯幼年时便不得不离开伦敦, 迁至波克夏郡的宾费尔德。蒲伯十二岁便患有严重骨结核病, 严重驼背变形, 剧烈头痛、骨痛和关节痛及呼吸困难常使他无法写作。1744 年 5 月 21 日在特威肯汉姆去世。

蒲伯的早年教育是在天主教学校进行的(当时在英国这样的“非法”学校是不多的), 因此受到天主教教义很大影响。早年便开始写诗。1704 年, 在威彻利(William Wycherley)的引荐下蒲伯进入时尚的伦敦文学圈。1709 年《田园诗集》(*Pastorals*)的发表开始引起舆论注意, 《锁的打破》(*The Rape of the Lock*)则奠定了蒲伯作为十八世纪最重要诗人的地位。1711 年写出诗体《批评短论》三卷, 论述艺术与自然的关系。

蒲伯曾翻译过荷马的《伊利亚特》和《奥德赛》。他认为十六世纪查普曼翻译的荷马史诗译笔幼稚, 没有反映出荷马的深刻思想, 于是他在 1715-1720 重译了《伊利亚特》(六卷), 又于 1725-1726 重译了《奥德赛》(五卷)。其译本长期被读者称为标准英译本。

他对翻译理论的观点主要见于其荷马史诗译本的绪言中。对于翻译经典著作，他同意德莱顿的观点，主张意译。他一方面反对逐词对译，认为直译是行不通的；另一方面他也不同意那种草率的活译方法即拟作译法，认为这不能弥补直译的缺陷，也是非常错误的。他强调译者不能超越原作者，只能在最大程度上忠实于原作，译作风格要在最大程度上与原作保持一致。对此，他形象地论述道：

过去有不少人呆板地死抠原文字眼而误入歧途，现在同样有不少人异想天开、目空一切地希望改进原作而自欺欺人……懂得什么时候该平易质朴，什么时候该增进诗意和比喻，这是写作的一大奥秘，只要我们乐于谦恭地追随荷马，他就会把这个奥秘传给我们。如果原作大气磅礴，译作也应尽一切可能大气磅礴；如果原作平易质朴，译作也就不应怕遭评论家的贬责而不照样平易质朴。

他还说：

模仿原作风格上的各种变异和韵律上的变调；在激情奔放或专事描述的地方保持高昂热烈的气氛，在平静安静和叙述的地方保持平朴严肃的风格；译演说辞必须完整清晰，译句子必须简练准确，哪怕是词的微小特征或句子的用法都不要忽略，对古人的礼仪风俗既不删减也不混淆。³⁷

有趣的是，蒲伯的翻译实践却明显有悖于自己的翻译理论。他特别强调译文要严格忠实于原作，尤其在风格方面。但他自己在翻译荷马史诗时却未严格遵循自己的理论。他将翻译时的措词风格和诗体的选择视为译者的选择，从而摆脱了原作的约束。他没有使用荷马原诗的诗体，而是采用了英国读者熟悉的双韵体，他也没有使用原诗的古典词汇而是采用当时英诗创作惯用的词语。不过尽管如此，他的成功之处在于他通过巧妙的加工，还是用新的流行的诗体和词汇表现出了荷马史诗的古风和质朴，而且译文韵律更为整齐，文风更为隽永，文辞更为秀美，并因此受到很多读者的欢迎。有人就此批评说这已经不是荷马的作品，而是蒲伯自己的作品了，甚至本特利（Bentley）讽刺说“这诗确实优美，但决不能称为荷马的诗。”（It was a pretty poem, but must not be called Homer）（Matthew Arnold: *On Translating Homer*, 1861，见本书马修·阿诺德一节“译论史稿辑要”）。不过，从历史的角度来看，尝试从自由翻译的方法来翻译一些经典作品恐怕也是无可厚非的。

译论史稿辑要：

（1）

Having now spoken of the Beauties and Defects of the Original, it remains to treat of the Translation, with the same view to the chief Characteristic. As far as that is seen in the main Parts of the Poem, such as the *Fable*, *Manners*, and *Sentiments*, no Translator can prejudice it but by willful Omissions or Contractions. As it also breaks out in every particular *Image*, *Description*, and *Simile*; whoever lessens or too much softens those, takes off from this chief Character. It is the first grand Duty of an Interpreter to give his Author entire and unmain'd; and for the rest, the *Diction* and *Versification* only are his proper Province; since these must be his own, but the others he is to take as he finds them.

It should then be consider'd what Methods may afford some Equivalent in our Language for the Grace of these in the Greek. It is certain no literal Translation can be just to an excellent Original in a superior Language: but it is a great Mistake to imagine (as many have done) that a rash Paraphrase can make amends for this general Defect; which is no less in danger to lose the Spirit of an Ancient, by deviating into the modern Manners of Expression. If there be sometimes a *Darkness*, there is often a *Light* in Antiquity, which nothing better preserves than a Version almost literal. I know no Liberties one ought to take, but those which are necessary for transfusing the Spirit of the Original, and

Supporting the Poetical Style of the Translation: and I will venture to say, there have not been more Men misled in former times by a servile dull Adherence to the Letter, than have been deluded in ours by a chimerical insolent Hope of raising and improving their Author. It is not to be doubted that the *Fire* of the poem is what a Translator should principally regard, as it is most likely to expire in his managing: However it is his safest way to be content with preserving this to his utmost in the Whole, without endeavouring to be more than he finds his Author is, in any particular Place. 'Tis a great Secret in Writing to know when to be plain, and when poetical and figurative; and it is what *Homer* will teach us if we will but follow modestly in his Footsteps, where his Diction is bold and lofty, let us raise ours as high as we can; but where his is plain and humble, we ought not to be deterr'd from imitating him by the fear of incurring the Censure of a meer *English* Critick. Nothing that belongs to *Homer* seems to have been more commonly mistaken than the just Pitch of his Style: Some of his Translators having swell'd into Fustian in a proud Confidence of the *Sublime*; others sunk into Flatness, in a cold and timorous Notion of *Simplicity*. Methinks I see these different Followers of *Homer*, some seating and straining after him by violent Leaps and Bounds (the certain Signs of false Mettle), others slowly and servilely creeping in his Train, while the Poet himself is all the time proceeding with an unaffected and equal Majesty before them. However of the two Extrems one could sooner pardon Frenzy than Frigidity: No Author is to be envy'd for such Commendations as he may gain by that Character of Style which his Friends must agree together to call *Simplicity*, and the rest of the world will call *Dullness*. There is a *graceful* and *dignify'd* Simplicity, as well as a *bald* and *sordid* one, which differ as much from each other as the Air of a *plain* Man from that of a *Sloven*: 'Tis one thing to be tricked up and another not to be dress'd at all. Simplicity is the Mean between Ostentation and Rusticity.

That which in my Opinion ought to be the Endeavour of any one who translates *Homer*, is above all things to keep alive that Spirit and Fire which makes his chief Character. In particular Places, where the Sense can bear any Doubt, to follow the strongest and most Poetical, as most agreeing with that Character. To copy him in all the Variations of his Style, and the different Modulations of his Numbers. To preserve in the more active if descriptive Parts, a Warmth and Elevation; in the more sedate or narrative, a Plainness and Solemnity; in the Speeches a Fullness and Perspicuity; in the Sentences a Shortness and Gravity. Not to neglect even the little Figures and Turns on the Words, nor sometimes the very Cast of the Periods. Neither to omit or confound any Rites or Customs of Antiquity. Perhaps too he ought to include the whole in a shorter Compass, than has hitherto been done by any Translator who has tolerably preserved either the Sense or Poetry. What I should farther recommend to him, is to study his Author rather from his own Text than from any Commentaries, how learned soever, or whatever Figure they make in the Estimation of the world. To consider him attentively in Comparison with *Virgil* above all the Ancients, and with *Milton* above all the Moderns. Next these the Archbishop of *Cambray's Telemachus* may give him the truest Idea of the Spirit and Turn of our Author, and *Bossu's* admirable treatise of the Epic Poem the justest Notion of his Design and Conduct. But after all, with whatever Judgment and Study a Man may proceed, or with whatever Happiness he may perform such a Work; he must hope to please but a few, those only who have at once a Taste of Poetry, and competent Learning. For to satisfy such as want either, is not in the Nature of his Undertaking; since a meer Modern Wit can like nothing that is not *Modern*, and a Pedant nothing that is not *Greek*.

---- preface to Pope's translation of the *Iliad*³⁸

(2)

It only remains to speak of the *Versification*. *Homer* (as has been said) is perpetually applying the Sound to file Sense, and varying it on every new Subject. This is indeed one of the most exquisite Beauties of Poetry, and attainable by very few: I know only of *Homer* eminent for it in the *Greek*, and *Virgil* in *Latine*. I am sensible it is what may sometimes happen by Chance, when a Writer is warm, and fully possess of his Image: however it may be reasonably believed they design'd this, in whose Verse it so manifestly appears in a superior degree to all others. Few Readers

have the Ear to be Judges of it, but those who have will see I have endeavour'd at this Beauty.

---- Pope (ed. and trans.) *The Iliad of Homer*³⁹

41. (英) 乔治·阿伯丁·坎贝尔 George Campbell of Aberdeen



George Campbell of Aberdeen, 1719-1796

生平及重要译论：

乔治·阿伯丁·坎贝尔（又译康培尔）George Campbell of Aberdeen, 1719-1796，博士，出生于 1719 年的圣诞日，《圣经》翻译家和翻译理论家。苏格兰阿伯丁马利舍尔学院院长。坎贝尔对《圣经》所用语言希伯来语非常精通，认为希伯来语是很简洁的语言，因此他认为翻译《圣经》也应该采用结构简单的句子，以再现原作的风格。

坎贝尔于 1789 年出版了其《圣经》译作两卷本的《四福音书的翻译与评注》（*A Translation of the Four Gospels with Notes*），上卷即为《圣经》译本，下卷为为译本所写的导论，实际上是一部长达 500 页的翻译理论专著。在导论中，坎贝尔对《圣经》翻译进行了系统的论述。首先他便论及翻译的目的问题。他认为《圣经》的翻译应该为文学和宗教两种不同的目的服务。

另外，他还对词汇与语法的翻译对等进行了阐述。他认为希伯来语是简洁的语言：

它的动词不像希腊语和拉丁语，没有很多语气和时态变化，也不像现代语言（即欧洲各民族语言）有很多的助词和连词。因此，在叙述体中，希伯来语像口语体一样，爱用多个简单句表达大部分其他语言只用一个由三至四个成分组成的复杂句所表达的东西。⁴⁰

坎贝尔在翻译理论方面最重要的事件是他在西方翻译史上首次提出翻译三原则，却与泰特勒转年所发表的内容相近的翻译三原则发生了一场历史性的冲突。

坎贝尔的题目是“Translations of the Gospel; to which was prefixed a Preliminary Dissertation on the Principles of Taste”，所提出的翻译三原则是：1）准确再现原作的意思；2）在符合译作语言特征的前提下尽可能地移植原作者的思想与风格；3）要使译作象原作一样自然、流畅。坎贝尔提出的翻译三原则具有划时代的意义。

然而第二年即 1790 年使坎贝尔意想不到的，又有一本匿名的《论翻译的原则》（*Essay on the Principles of Translation*）在英国出版，书中提出的翻译三原则与坎贝尔的翻译三原则几乎同出一辙。经分析研究后坎贝尔终于公开指控匿名作者的剽窃行为。泰特勒立即写信给坎贝尔承认匿名书为其所写，并解释说说他从未读过坎贝尔的翻译三原则，因此他没有剽窃。他说：“我认为两个相当精通批评理论的人，着手研究翻译艺术的原则，得到了相同的原则，这是不足为奇的”。并称即使两人的理论相同也“完全是一种巧合”。最终，坎贝尔予以认可。

此事成为历史的悬案不了了之。但毕竟是坎贝尔在历史上首次提出翻译三原则，其在译学理论史上的功绩也应该得到历史的肯定。

译论史稿辑要：

（1）

A slavish attachment to the letter, in translating, is originally the offspring of the superstition, not of the Church, but of the synagogue, where it would have been more suitable in Christian interpreters, the ministers, not of the letter, but of the spirit, to have allowed it to remain.

[...]

The first thing, without doubt, which claims [the translator's] attention, is to give a just representation of the sense of the original. This, it must be acknowledged, is the most essential of all. The second thing is, to convey into his version, as much as possible, in a consistency with the genius of the language which he writes, the author's spirit and manner, and, if I may so express myself, the very character of his style. The third and last thing is, to take care, that the version have at least, so far the quality of an original performance, as to appear natural and easy, such as shall give no handle to the critic to charge the translator with applying words improperly, or in a meaning not warranted by use, or combining them in a way which renders the sense obscure, and the construction ungrammatical, or even harsh.

---- G. Campbell, (ed. and trans.) *The Four Gospels*⁴¹

（2）

To express the sense well, and to give it in proper words are in my apprehension, very nearly, if not entirely, coincident.⁴²

（3）

That the evidence arising from human testimony is not solely derived from experience; on the contrary, testimony hath a natural influence on belief, antecedent to experience. The early and unlimited assent given to testimony by children gradually contracts as they advance in life: it is, therefore, more consonant to truth, to say, that our *diffidence* in testimony is the result of experience, than that our faith in it has this foundation. Besides, the uniformity of experience, in favour of any fact, is not a proof against its being reversed in a particular instance. The evidence arising from the single testimony of a man of known veracity will go far to establish a belief in its being actually reversed: If his testimony be confirmed by a few others of the same character, we cannot withhold our assent to the truth of it. Now, though the operations of nature are governed by uniform laws, and though we have not the testimony of our senses in favour of any violation of them, still, if, in particular instances, we have the testimony of thousands of our fellow-creatures, and those, too, men of strict integrity, swayed by no motives of ambition or interest, and governed by the principles of common sense, that they were actual eye-witnesses of these violations, the constitution of our nature obliges us to believe them."⁴³

42. (英) 威廉·柯柏 William Cowper



William Cowper, 1731-1800

生平及重要译论

威廉·柯柏（又译柯珀、考珀），William Cowper（读为 [Cooper]），1731-1800，著名诗人和翻译家。出生于英格兰哈福德郡（Hertfordshire, England）的 Great Berkhamsted，患有严重抑郁症并三次企图自杀。

他象蒲伯一样，由于对前人的翻译荷马史诗持有异议，于是在 1791 年重译了《奥德赛》，又于 1802 年重译了《伊利亚特》。他的译本与先前的译本显然采用了不同的翻译原则和翻译方法，但他的译本在质量上和影响上均逊于蒲伯。他曾这样谈到翻译荷马的体会：

My chief boast is that I have adhered closely to the original. （我最值得夸口的是我紧扣了原文。）

然而正是这一夸口遭到塞弗里等人的批评。（参阅本书塞弗里一节的“译论史稿辑要”）

蒲伯之后，浪漫主义运动在英国开始兴起，人们对蒲伯的翻译理论及对荷马史诗的翻译提出越来越多的批评。柯柏就是这个新的流派的代表人物。他批评蒲伯用英语双韵体和随意措词方法翻译荷马的古典史诗会使译者走入歧途，不能忠实反映原作的精神。他也反对逐次对译的死译方法和拟作的方法，但他比起德莱顿和蒲伯则更强调以忠实原文为最高准则；同时，柯柏也不赞成译者完全拘泥于原作者的写作风格：

想把任何古典诗作译成好的格律诗是不可能的。没有哪一个独出心裁的人能使每一个对句押韵而又能完全表达出原作的意思。在这种情况下，译者的独创性本身实际上成了陷阱，译者愈想创新，采用权宜之法，就愈有可能被引入歧途而远离自定的原则。

他还说：

因为假如让六个同样合格的人遵循这一原则，按自己的方式翻译同一古代诗人，结果每个人所采用的风格都会不同于其他几个人的风格，而根据可能作出的推断，可以说谁也没有采用正确的风格。⁴⁴

例如，在《伊利亚特》第十三卷中有关于特洛伊一方的希腊英雄梅里奥尼斯（Meriones）被矛刺伤的描述：

aidoion te mesēgu kai omphalou, entha malista/gignet' Arēs alegeinos oizuroisi brotoisin (lines 568-9)
(between the genitals and the navel where cruel Ares becomes worst to unhappy mortals)。

对于人体这些部位，柯柏的翻译还是采取尽量忠实于原文的方法：

the shame between/And navel pierced him, where the stroke of Mars/Proves painful most to miserable man.

虽将 *genitals* 译成更为文雅的 *shame*，却是如实地将其译出。⁴⁵

翻译荷马史诗对于译者来说必须要处理好原作论域（*universe of discourse*）与译作论域的关系，对此柯柏有着较为清醒的认识，他在其所译《伊利亚特》的前言中这样生动地描绘：

It is difficult to kill a sheep with dignity in a modern language.⁴⁶

译论史稿辑要

(1) I will venture to assert that a just translation of any ancient poet in rhyme is impossible. No human ingenuity can be equal to the task of closing every couplet with sounds homotonous, expressing at the same time the full sense of his original. The translator's ingenuity, indeed, in this case becomes itself a snare, and the readier he is at invention and expedient, the more likely he is to be betrayed into the wildest departures from the guide whom he professes to follow.

[...]

[...]a direction which wants nothing but practicability to recommend it. For suppose six persons, equally qualified for the task, employed to translate the same Ancient into their own language, with this rule to guide them. In the event it would be found that each had fallen on a manner different from that of all the rest, and by probable inference it would follow that none had fallen on the right.

[...]

The passages which will be least noticed, and possibly not at all, except by those who shall wish to find me at a fault, are those which have cost me abundantly the most labor. It is difficult to kill a sheep with dignity in a modern language, to slay and prepare it for the table, detailing every circumstance in the process. Difficult also, without sinking below the level of poetry, to harness mules to a wagon, particularizing every article of their furniture, straps, rings, staples, and even the tying of the knots that kept all together. Homer, who writes always to the eye with all his sublimity and grandeur, has the minuteness of a Flemish painter.

---- William Cowper's Preface to first edition of *Iliad of Homer* translated by the late William Cowper^[44]

(2) There is no end of passages in Homer, which must creep unless they be lifted; yet in all such, all embellishment is out of the question. The hero puts on his clothes, or refreshes himself with food and wine, or he yokes his steeds, takes a journey, and in the evening preparation is made for his repose. To give relief to subjects prosaic as these without seeming unseasonably tumid is extremely difficult. Mr. Pope abridges some of them, and others omits; but neither of these liberties was compatible with the nature of my undertaking.

---- William Cowper's Preface to second edition of *Iliad of Homer* translated by the late William Cowper^[45]

(3) Alston and I read Homer through together. The result was a discovery that there is hardly a thing in the world of which Pope is so entirely destitute as a taste for Homer. ... I remembered how we had been disgusted; how often we had sought the simplicity and

majesty of Homer in his English representative, and had found instead of them puerile conceits, extravagant metaphors, and the tinsel of modern embellishment in every possible position.

---- William Cowper's Preface prepared for a Second Edition of *Iliad of Homer* in edition of 1802^[46]

史料图片选辑：



William Cowper



Cowper's Birthplace:

The Rectory at Great Berkhamsted

43. (英) 亚历山大·弗雷泽·泰特勒 Alexander Fraser Tytler



Alexander Fraser Tytler, 1747-1813

(Corson P. 4139)

生平及重要译论：

亚历山大·弗雷泽·泰特勒 Alexander Fraser Tytler, 1747-1813, 生于苏格兰爱丁堡, 是 William Tytler of Woodhouselee 家族的长子, 从小在家庭受教育直至十八岁才上中学, 学业优异。后就读于爱丁堡大学, 毕业后留校任历史学教授。1770 年开始从事律师工作。1790 年曾任苏格兰总军法官, 1801 年被封为贵族 (Lord Woodhouselee)。66 岁时上楼去书房时不幸在楼梯上摔倒身亡。

关于民主政治, 泰特勒有着一段著名的民主循环说:

A democracy cannot exist as a permanent form of government. It can only exist until the voters discover that they can vote themselves largesse from the public treasury. From that moment on, the majority always votes for the candidates promising the most benefits from the public treasury with the result that a democracy always collapses over lousy fiscal policy, always followed by a dictatorship. The average of the world's great civilizations before they decline has been 200 years. These nations have progressed in this sequence:

From bondage to spiritual faith;
from faith to great courage;
from courage to liberty;
from liberty to abundance;
from abundance to selfishness;
from selfishness to complacency;
from complacency to apathy;
from apathy to dependency;
from dependency back again to bondage.

--- from *The Decline and Fall of the Athenian Republic*, published in 1776

泰特勒一生研究文学与翻译，曾写过多部历史书籍，翻译过弗兰西斯科·彼特拉克（Francesco Petrarca, 1304-1374，意大利诗人）的作品。

泰特勒关于翻译理论的传世之作是 1790 年匿名出版的专著《论翻译的原则》（*Essay on the Principles of Translation*），即曾受到坎贝尔指责为剽窃的那本专著，是由泰特勒在爱丁堡皇家学会宣读过的论文汇集而成。该书共有 15 章，第一章为全书总论，第二至第四章论述翻译三原则的第一项原则，第五章至第八章论述第二项原则，第九章至第十五章论述第三项原则。书中最为出色的部分是泰特勒关于“优秀的翻译”的定义、翻译的三大原则、翻译的文学风格以及习语的翻译问题。

泰特勒给“优秀的翻译”所下的定义是：

原作的优点完全移植在译作语言之中，使译语使用者象原语使用者一样，对这种优点能清楚地领悟，并有着同样强烈的感受。

泰特勒根据“优秀的翻译”的定义提出的翻译三原则是：（参阅下面的“译论史稿辑要”）

- 1）译作应该完全再现原作的思想；
- 2）译作的写作风格和手法应该与原作具有相同的特征；
- 3）译作语言应该与原作语言同样流畅。

关于第一项原则，泰特勒认为译者必须精通原作与译作两种语言及原文题材，如原文意义不明及有歧义则译者需要有足够的判断力，不可一味模仿原文的暧昧。译者有适度增删的自由，但这种增删是有限制的，即“增补的内容必须与原作思想有必不可少的联系，并实际上能加强原作的思想”，而删减的内容必须是“明显多余而有损于原作思想的东西”即“句子中的次要成分”。

关于第二项原则，泰特勒认为译者必须能够辨认原作的写作风格和手法，准确判断风格属于严肃、高雅、活泼、顺畅、华丽、考究，还是朴实无华，并使译文的风格与手法与之相仿。

关于第三项原则，泰特勒认为译者好比画家，两者都从事模仿，但画家的临摹是使用与原作相同的色彩，忠实地模仿原作的笔法和形态，而译者却不能照搬原作的笔法，而是要用另外一种手法和语言来表达原作的神韵，即通过创造来达到“同样的感染力和效果”：

必须既用原作者的灵魂，又以他自己的发音器官来说话。⁴⁷

泰特勒还认为，如果要做到译文与原文具有同样的神韵和流畅，译者应该具有与原作者相似的天分。但泰特勒并不同意译者必须与原作者等同，原作者是大演说家，并不要求译者也是大演说家。但译者必须能够判断原作品的全部价值、领悟原作者的思维推理、品味原文的全部美感。

关于文学翻译，泰特勒赞成以诗译诗，不赞成将诗译成散文。将诗译成散文，就会丧失诗的优美音调，更不可能译出诗句中的奔放、丰富的想象、众多的比喻和快速的转变。当然，泰特勒也不赞成德莱顿所鼓吹的随意活译。

关于习语翻译，泰特勒认为习语是语言的特殊现象，在译语中往往找不出与原语相对应的习语，从而成为翻译的一大难题。由于习语无法直译，因此只能将习语译成朴素易懂的语言。泰特勒承认习语有时是不可译的。

泰特勒的翻译理论全面、系统，对其后西方翻译理论的发展产生了积极的影响，是西方译学理论史上的一座非常重要的里程碑，标志着西方译学理论研究从此进入了一个新的历史时期。

译论史稿辑要：

If it were possible, accurately to define, or, perhaps more properly, to describe what is meant by a *good Translation*, it is evident that a considerable progress would be made towards establishing the Rules of the *Art*, for these Rules would flow naturally from that definition or description. But there is no subject of criticism where there has been so much difference of opinion. If the genius and character of all languages were the same, it would be an easy task to translate from one into another; nor would anything more be requisite on the part of the translator, than fidelity and attention. But as the genius and character of languages is confessedly very different, it has hence become a common opinion, that it is the duty of a translator to attend only to the sense and spirit of his original, to make himself perfectly master of his author's ideas, and to communicate them in those expressions which he judges to be best suited to convey them. It has, on the other hand, been maintained, that, in order to constitute a perfect translation, it is not only requisite that the ideas and sentiments of the original author should be conveyed, but likewise his style and manner of writing, which, it is supposed, cannot be done without a strict attention to the arrangement of his sentences, and even to their order and construction. According to the former idea of translation, it is allowable to improve and to embellish; according to the latter, it is necessary to preserve even blemishes and defects; and to these must, likewise be superadded the harshness that must attend every copy in which the artist scrupulously studies to imitate the minutest lines or traces of his original.

As these two opinions from opposite extremes, it is not improbable that the point of perfection should be found between the two. I would therefore describe a good translation to be, *That, in which the merit of the original work is completely transfused into another language, as to be as distinctly apprehended, and as strongly felt, by a native of the country to which that language belongs, as it is by those who speak the language of the original work.*

Now, supposing this description to be a just one, which I think it is, let us examine what are the laws of translation which may be deduced from it.

It will follow,

- I. That the Translation should give a complete transcript of the ideas of the original work.
- II. That the style and manner of writing should be of the same character with that of the original.
- III. That the Translation should have all the ease of original composition.

Under each of these general laws of translation, are comprehended a variety of subordinate precepts, which I shall notice in their order, and which, as well as the general laws, I shall endeavour to prove, and to illustrate by examples.

In order that a translator may be enabled to give a complete transcript of the ideas of the original work, it is

indispensably necessary that he should have a perfect knowledge of the language of the original, and a competent acquaintance with the subject of which it treats.

Where the sense of an author is doubtful, and where more than one meaning can be given to the same passage or expression, (which, by the way, is always a defect in composition), the translator is called upon to exercise his judgement, and to select that meaning which is most consonant to the train of thought in the whole passage, or to the author's usual mode of thinking, and of expressing himself. To imitate the obscurity or ambiguity of the original, is a fault.

If it is necessary that the translator should give a complete transcript of the ideas of the original work, it becomes a question, whether it is allowable in any case to add to the ideas of the original what may appear to give greater force or illustration; or to take from them what may seem to weaken them from redundancy. To give a general answer to this question, I would say, that this liberty may be used, but with the greatest caution. It must be further observed, that the superadded idea shall have the most necessary connection with the original thought, and actually increase its force. And, on the other hand, that whenever an idea is cut off by the translator, it must only be such as is an accessory, and not a principal in the clause or sentence. It must likewise be confessedly redundant, so that its retrenchment shall not impair or weaken the original thought.

Analogous to this liberty of adding to or retrenching from the ideas of the original, is the liberty which a translator may take of correcting what appears to him a careless or inaccurate expression of the original, where that inaccuracy seems materially to affect the sense.

I conceive it to be the duty of a poetical translator, never to suffer his original to fall. He must maintain with him a perpetual contest of genius; he must attend him in his highest flights, and soar, if he can, beyond him: and when he perceives, at any time, a diminution of his powers, when he sees a drooping wing, he must raise him on his own pinions.

It is always a fault when the translator adds to the sentiment of the original author, what does not strictly accord with his characteristic mode of thinking, or expressing himself.

Next in importance to a faithful transfusion of the sense and meaning of an author, is an assimilation of the style and manner of writing in the translation to that of the original. This requisite of a good translation, though but secondary in importance, is more difficult to be attained than the former; for the qualities requisite for justly discerning and happily imitating the various characters of style and manner, are much more rare than the ability of simply understanding an author's sense. A good translator must be able to discover at once the true character of his author's style. He must ascertain with precision to what class it belongs; whether to that of the grave, the elevated, the easy, the lively, the florid and ornamented, or the simple and unaffected; and these characteristic qualities he must have the capacity of rendering equally conspicuous in the translation as in the original. If a translator fails in this discernment, and wants this capacity, let him be ever so thoroughly master of the sense of his author, he will present him through a distorting medium, or exhibit him often in a garb that is unsuitable to his character.

But a translator may discern the general character of his author's style, and yet fail remarkably in the imitation of it. Unless he is possessed of the most correct taste, he will be in continual danger of presenting an exaggerated picture or a caricature of his original. The distinction between good and bad writing is often of so very slender a nature, and the shadowing of difference so extremely delicate, that a very nice perception alone can at all times define its limit. Thus,

in the hands of some translators, who have the discernment to perceive the general character of their author's style, but want this correctness of taste, the grave style of the original becomes heavy and formal in the translation; the elevated swells into bombast, the lively froths up into the petulant, and the simple and *naïf* degenerates into the childish and insipid.

From all the preceding observations respecting the imitation of style, we may derive this precept, that a Translator ought always to figure to himself, in what manner the original author would have expressed himself, if he had written in the language of the translation.

This precept leads to the examination, and probably to the decision, of a question which has admitted of some dispute, Whether a poem can be well translated into prose?

There are certain species of poetry, of which the chief merit consists in the sweetness and melody of the versification. Of these it is evident, that the very essence must perish in translating them into prose.

But a great deal of the beauty of every regular poem consists in the melody of its numbers. Sensible of this truth, many of the prose translators of poetry have attempted to give a sort of measure to their prose, which removes it from the nature of ordinary language. If this measure is uniform, and its return regular, the composition is no longer prose, but blank verse. If it is not uniform, and does not regularly return upon the ear, the composition will be more unharmonious, than if the measure had been entirely neglected. Of this, Mr. Macpherson's translation of the *Iliad* is a strong example.

But it is not only by the measure that poetry is distinguishable from prose. It is by the character of its thoughts and sentiments, and by the nature of that language in which they are clothed. A boldness of figures, a luxuriance of imagery, a frequent use of metaphors, a quickness of transition, a liberty of digressing; all these are not only *allowable* in poetry, but to many species of it, essential. But they are quite unsuitable to the character of prose. When seen in a *prose translation*, they appear preposterous and out of place, because they are never found in an *original prose composition*.

The difficulty of translating poetry into prose, is different in its degree, according to the nature or species of the poem. Didactic poetry, of which the principal merit consists in the detail of a regular system, or in rational precepts which flow from each other in a connected train of thought, will evidently suffer least by being transfused into prose. But every didactic poet judiciously enriches his work with such ornaments as are not strictly attached to his subject. In a prose translation of such a poem, all that is strictly systematic or receptive may be transfused with propriety; all the rest, which belongs to embellishment, will be found impertinent and out of place.

But there are certain species of poetry, of the merits of which it will be found impossible to convey the smallest idea in a prose translation. Such is Lyric poetry, where a greater degree of irregularity of thought, and a more unrestrained exuberance of fancy, is allowable than in any other species of composition. To attempt, therefore, a translation of a lyric poem into prose, is the most absurd of all undertakings; for those very characters of the original which are essential to it, and which constitute its highest beauties, if transferred to a prose translation, become unpardonable blemishes. The excursive range of the sentiments, and the play of fancy, which we admire in the original, degenerate in the translation into mere raving and impertinence.

We may certainly, from the foregoing observations, conclude, that it is impossible to do complete justice to any species of poetical composition in a prose translation; in other words, that none but a poet can translate a poet.

It remains now that we consider the third general law of translation.

In order that the merit of the original work may be so completely transfused as to produce its full effect, it is necessary, not only that the translation should contain a perfect transcript of the sentiments of the original, and present likewise a resemblance of its style and manner; but, that the translation should have all the ease of original composition.

When we consider those restraints within which a translator finds himself necessarily confined, with regard to the sentiments and manner of his original, it will soon appear that this last requisite includes the most difficult part of his task. To one who walks in trammels, it is not easy to exhibit an air of grace and freedom. It is difficult, even for a capital painter, to preserve in a copy of a picture all the ease and spirit of the original; yet the painter employs precisely the same colours, and has no other care than faithfully to imitate the touch and manner of the picture that is before him. If the original is easy and graceful, the copy will have the same qualities, in proportion as the imitation is just and perfect. The translator's task is very different: he uses not the same colours with the original, but is required to give his picture the same force and effect. He is not allowed to copy the touches of the original, yet is required, by touches of his own, to produce a perfect resemblance. The more he studies a scrupulous imitation, the less his copy will reflect the ease and spirit of the original. How then shall a translator accomplish this difficult union of ease with fidelity? To use a bold expression, he must adopt the very soul of his author, which must speak through his own organs.

If the order in which I have classed the three general laws of translation is their just and natural arrangement, which I think will hardly be denied, it will follow, that in all cases where a sacrifice is necessary to be made of one of those laws to another, a due regard ought to be paid to their rank and comparative importance. The different genius of the languages of the original and translation, will often make it necessary to depart from the manner of the original, in order to convey a faithful picture of the sense; but it would be highly preposterous to depart, in any case, from the sense, for the sake of imitating the manner. Equally improper would it be, to sacrifice either the sense or manner of the original, if these can be preserved consistently with purity of expression, to a fancied ease or superior gracefulness of composition.

It may perhaps appear paradoxical to assert, that it is less difficult to give a poetical translation all the ease of original composition, than to give the same degree of ease to a prose translation. Yet the truth of this assertion will be readily admitted, if assent is given to that observation, which I before endeavoured to illustrate, viz. that a superior degree of liberty is allowed to a poetical translator in amplifying, retrenching from, and embellishing his original, than to a prose translator. For without some portion of this liberty, there can be no ease of composition; and where the greatest liberty is allowable, there that ease will be most apparent, as it is less difficult to attain to it.

For the same reason, among the different species of poetical composition, the lyric is that which allows of the greatest liberty in translation, as a freedom both of thought and expression is agreeable to its character. Yet even in this, which is the freest of all species of translation, we must guard against licentiousness; and perhaps the more so, that we are apt to persuade ourselves that the less caution is necessary. The difficulty indeed is, where so much freedom is allowed, to define what is to be accounted licentiousness in poetical translation. While a translator endeavours to give to his work all the ease of original composition, the chief difficulty he has to encounter will be found in the translation of idioms, or those turns of expression which do not belong to universal grammar, but of which every language has its own, that are exclusively proper to it.

If a translator is bound, in general, to adhere with fidelity to the manners of the age and country to which his original

belongs, there are some instances in which he will find it necessary to make a slight sacrifice to the manners of his modern readers. The ancients, in the expression of resentment or contempt, made use of many epithets and appellations which sound extremely shocking to our more polished ears, because we never hear them employed but by the meanest and most degraded of the populace. By similar reasoning we must conclude that those expressions conveyed no such mean or shocking ideas to the ancients, since we find them used by the most dignified and exalted characters.

I shall now touch upon several other characteristics of composition, which, in proportion as they are found in original works, serve greatly to enhance the difficulty of doing complete justice to them in translation.

1. The poets, in all languages, have a license peculiar to themselves, of employing a mode of expression very remote from the diction of prose, and still more from that of ordinary speech. Under this license, it is customary for them to use antiquated terms, to invent new ones, and to employ a glowing and rapturous phraseology.
2. There is nothing more difficult to imitate, successfully in a translation than that species of composition which conveys just, simple, and natural thoughts in plain, unaffected, and perfectly appropriate terms; and which rejects all that constitutes what is properly termed *florid writing*. It is much easier to imitate in a translation that kind of composition (provided it be at all intelligible), which is brilliant and rhetorical, which employs frequent antitheses, allusions, similes, metaphors, than it is to give a perfect copy of just, apposite, and natural sentiments, which are clothed in pure and simple language: for the former characters are strong and prominent, and therefore easily caught; whereas the latter have no striking attractions, their merit eludes altogether the general observation, and is discernible only to the most correct and chastened taste.
3. The union of just and delicate sentiments with simplicity of expression, is more rarely found in poetical composition than in prose; because the enthusiasm of poetry prompts rather to what is brilliant than what is just, and is always led to clothe its conceptions in that species of figurative language which is very opposite to simplicity. It is natural, therefore, to conclude, that in those few instances which are to be found of a chastened simplicity of thought and expression in poetry, the difficulty of transfusing the same character into a translation will be great, in proportion to the difficulty of attaining it in the original.
4. There is another species of composition, which, possessing the same union of natural sentiments with simplicity of expression, is essentially distinguished from the former by its always partaking, in a considerable degree, of comic humour.
5. No compositions will be found more difficult to be translated than those descriptions, in which a series of minute distinctions are marked by characteristic terms, each peculiarly appropriated to the thing to be designed, but many of them so nearly synonymous, or so approaching to each other, as to be clearly understood only by those who possess the most critical knowledge of the language of the original, and a very competent skill in the subject treated of.
6. There is no species of writing so difficult to be translated, as that where the character of the style is florid, and the express consequently vague, and of indefinite meaning.

---- Tytler, *Essay on the Principles of Translation*⁴⁸

44. (瑞士--德国) 约翰·雅各布·波特玛
Johann Jakob Bodmer



Johann Jakob Bodmer, 1698-1783

生平及重要译论：

约翰·雅各布·波特玛 Johann Jakob Bodmer, 1698.7.19-1783.1.2, 瑞士-德国作家、文学理论家、评论家、历史学家、翻译家。出生于瑞士苏黎世附近的格雷封赛（Greifensee, Switzerland），曾学习神学和商业。1725 年始任苏黎世大学古赫尔维西亚史教授（Helvetian History, University of Zürich）达半个世纪之久，对中世纪德国民间文学有着深入的研究，曾翻译过弥尔顿的《失乐园》（*Paradise Lost*）（1732）等。

波特玛曾在德国引起一场举国关于文学的大论争。争论一方为波特玛和约翰·雅各布·布莱丁格（Johann Jakob Breitinger, 1701-1776）代表的屈黎西派，另一方为来比锡大学诗歌与哲学教授约翰·克里斯托弗·高特舍特（Johann Christoph Gottsched, 1700-1766）代表的莱比锡派。高特舍特领导了一场未获成功的新古典主义运动，推崇文学的理性，认为“理性是正确的风格的基础和源泉”，从而崇尚法国新古典主义文学而轻视中世纪及近代英国文学；而波特玛和布莱丁格则特别强调文学的想象力，反对高特舍特用所谓的理性来束缚文学的创造性。

波特玛的翻译观点与其文学批评的观点是一致的。（参阅下面的“译论史稿辑要”）

译论史稿辑要：

One generally hears talk about the spirit of languages and the peculiar power of speech all nations are supposed to be able to use in different ways to express their thoughts. Both are supposed to represent the beauty of any given language, and a language is called richer in as far as it is able to exhibit more specific instances of this kind of beauty. We are at present living in a climate of general zeal to polish and enrich the newer languages. It would therefore be

good for those who know languages to concern themselves with giving to a language that lacks this or that powerful locution or particular expression whatever characteristic beauty another language possesses. If languages were decked out with these ornaments this unknown treasure would soon be common to all nations and every language would, therefore, be substantially enriched. It would also come close to achieving a degree of perfection never hoped for.

I know of course that analogy, syntax, and similar elements do not allow themselves to be transferred from one language into another. However, these elements are to languages what the shell is to the kernel because its value is never measured according to the size, color, etc. of that shell. Their contribution to the real treasure-house of language is therefore minimal. If one language differed significantly from another only because it had its own way of putting sentences together and using them in a particular manner, those who know languages would find themselves badly paid indeed with the profit they could derive from this. But there are specific instances of beauty in each language that deserve all our attention and they consist primarily of certain specific locutions that have been found suitable to express this thought or that. The differences between nations themselves, the countries they inhabit, their occupations, determine that these locutions should differ from one language to another.

Man, who has nothing but images about him wherever he looks, from childhood on, grows used to shaping an image of a thing as soon as he thinks of it. He even goes so far as to make himself an image of things he has never seen or heard described, simply on the basis of the images he is already familiar with, and he thereby claims to have some familiarity with the unknown. The difficulty we all encounter when we begin to study philosophy and to think in the abstract, without the support of substantial objects, shows sufficiently how deeply this inclination to think in images is ingrained in man's soul. Yet that thinking is very different according to the different occasions every man has for shaping his concepts. The peasant does not speak like the courtier, nor the soldier like the merchant. The peasant, whose house is designed for shelter only, whose food is destined to merely satisfy his hunger, whose furniture is limited to bare essentials, will produce little that is dainty or elegant in his speech. His locutions will be taken from simple things, from whatever is his everyday concern. The courtier, on the other hand, who spends all his days in splendid palaces, who sees nothing about him but art and treasures, whose food is prepared in the most special ways to whet his appetite and whose stomach, sick with looking on abundance, must be cured with foreign wines -- will this lascivious and repulsive existence not fill his head in such a way that everything he says will be rich and soft and that all his thoughts are likely to appear in artificial images?

Whole nations are also subject to what can be observed in single individuals or classes: a rough, warlike nation and a weak, effeminate one will betray their different life-styles in their languages. Everyone admires the virile, generous nature characteristic of the English nation and expressed in its language. It is easy to see why it has taken so many figurative expressions from blood, death, and so on. The English fashion easy-to-use images of things other nations abhor. From childhood on they observe the casual way with which suicide is treated, the general contempt for life, the many fights among men and animals. For this reason an English writer of tragedies is under the obligation, so to speak, of putting the tragic ending of his story (or at least the effects of it) on the stage, before the spectator's eyes, whereas the shocked eyes and weak hearts of the French would never allow this. Where else might figurative expressions about ships and their construction and about navigation in general have come from, if not from those nations that are most concerned with those occupations and who spend their lives on ships? They are the ones who have shaped most of these concepts.

Even though different life-styles and different occupations cause people to express their thoughts in different ways, this does not prevent these expressions, dissimilar though they may sound, from being powerful and easy to use. They are that way, presumably, because they have grown out of an accurate knowledge of the image that has been their model. This becomes all the more obvious if we take a little time to notice that all figurative expressions, which make up the greater part of all languages, are nothing but similes. The better I know an image, the easier it will be for me to

determine to what extent it is likely to give a clear shape and expression to my thoughts. The essence of a language is attained to the highest degree whenever an expression utterly exhausts the thought and when, moreover, the coloring and image a speaker uses to communicate what he is thinking to his neighbor are so powerful and so accurate that they convey the same ideas the speaker originally had of something and wanted to arouse in others. It is easy to see that the essential beauty of a language does not consist of empty sounds; rather it is rooted in the nature of things. The nature of things is the same in all countries, but both man's perception and his observation of it are different. Whoever fails to think of an appropriate word or even a decent image to express his thoughts may therefore be excused the first time, but if he happens to find the same thought powerfully expressed, be it literally or figuratively, in another language later on, and if he still refuses to speak in that way in the future he will render himself liable to the most severe punishment. Excuses to the effect that the expression is strange to him, or unheard of, should not be allowed to stand. Even if he has no concept of it he will at least stand to gain a small enrichment of his stock of words and images. If, on the other hand, he understands the expression, he will find that he has never yet fully grasped the thing in question, or at least not from the point of view from which he now finds it represented. He may therefore learn from it how endless representations and as many expressions may be shaped in speech on the basis of one well-known image. Whoever undertakes an intensive study of these peculiar expressions will soon find that the number of those for which we are completely without a concept is very limited and that most have come from those general concepts in which the nature of things instructs all men everywhere in the same way. Concepts such as fire, water, a king, are the same everywhere and everyone will soon understand in his own language what the flames of love are, the waters of sorrow, or the king of flowers. Even if the image is very strange the clear concept of the two words that have been combined cannot fail to determine the precise meaning of the whole. It is just that the qualities are adduced in a different way and that the manner in which they are represented, which is commonly called the power of speech, is not completely the same.

Those who love this true and inner ornament of language can find no better way to acquaint themselves with the general beauty of it and with particular instances than to take the trouble to translate into their mother tongue well-shaped passages of poetry and oratory that have been written in foreign languages. If they want to try to accurately preserve the author's thoughts with their particular power, they will soon find ample occasion to familiarize themselves with the riches and deficiencies of both languages. They will find many locutions in the foreign language they have no difficulty understanding, but they will stop short when they are required to translate these same locutions into their mother tongue. The way in which the words are connected may be very unusual; the power of the expression may strike them as strange; the thought may be represented by an absurd and disfigured image. In a word, they realize they have never heard this thought expressed in this way in their mother tongue. Yet they will often stumble on passages in which the locutions will seem watery and insipid to them when compared to those in which they usually see similar thoughts dressed. Yet it is easy to determine what needs to be done in that case. If the intention is simply to communicate the subject matter of the original in another language, the translator is under the obligation to translate everything as clearly and simply as possible, according to the spirit of his language. If an accurate translation is needed, however, which not only offers the thoughts contained in the original, but also retains all the ways and means the author uses to express his thoughts, this task must be undertaken with extreme precision and one should not be afraid of being accused of unheard idiosyncrasies or even downright mistakes.

Since translators have very different intentions, the world must of necessity be full of innumerable and wide-ranging translations. For some time now Germany has made it its special concern to familiarize its inhabitants with the writings of antiquity and many items of recent lore by means of translation. Most translators have been satisfied with merely communicating the subject matter contained in the original. I do not want to investigate with what felicitousness all this has been done. It is enough that everything has been said in pure and elegant German. Yet very few have gone so far as to try to make the German reader aware, in addition, of the manner in which the foreign

author presented his subject matter to the German reader's eyes. The stern rule that has been enforced so harshly by certain overlords in the realm of the German language has marked all such attempts with public ridicule as with a painful iron, if it has not simply smothered them. A general, stupid submission seemed to legitimize that tyranny.

---- Bodmer's "Ninety-Fourth Letter" in *Der Maler der Sitten* ("Painter of Morals")⁴⁹

45. (德) 约翰·克里斯托弗·高特舍特 Johann Christoph Gottsched



Johann Christoph Gottsched, 1700-1766

生平及重要译论

约翰·克里斯托弗·高特舍特（又译高特雪特）Johann Christoph Gottsched, 1700-1766, 德国作家、文学评论家，启蒙运动重要成员，新古典主义运动领导人，德国莱比锡大学（Univ. of Leipzig）诗歌与哲学教授。作为莱比锡派的首领，曾引起一场举国文学大争论而蜚声德国文坛。著有《批判诗学试论》（*Versuch einer kritischen Dichtkunst* [a critical approach to poetry], 1730），倡导文学的理性和“三一律”，反对诗歌的想象、传奇和矫揉造作（conceit），强调语言的纯洁和古典结构，对规范德国民族语言影响很大。他的理论受到波特玛（Johann Jakob Bodmer, 1698-1783）和约翰·雅各布·布莱丁格（Johann Jakob Breitinger, 1701-1776）为代表的屈黎西派的激烈驳斥。

高特舍特将翻译完全比作绘画艺术中的艺术模特儿的复制。绘画需要技能，翻译也同样需要。高特舍特的这种翻译观点与其文学理论的观点是相一致的。（参阅下面的“译论史稿辑要”）

译论史稿辑要：

Translation is precisely what the copying of a given model is to a beginner in the art of painting. We know that the works of great masters are copied with pleasure and diligence by mediocre artists or by beginners who would like to make their way. While they copy the design and the nuances and the full painting, they observe with great acumen every detail of the original artist's art and skill, the sum total of their example's beauty and perfection. They also make up a hundred little rules for themselves while they are working. They commit to memory a hundred technical tricks and advantages that are not immediately known to all and that they would have never discovered by themselves. Indeed, even their hand acquires a certain ability that guides the brush with more confidence. The same holds true for

the translator.

---- Gottsched, *Critische Dichtkunst* ("Critical Poetics")⁵⁰

46. (德) 约翰·高特夫利特·赫尔德 Johann Gottfried Herder



Johann Gottfried Herder, 1744-1803

生平及重要译论

约翰·高特夫利特·冯·赫尔德（又译海德）Johann Gottfried von Herder, 1744–1803，出生于东普鲁士的 Mohrungen，父亲是个教师，家境不佳。早年学医，后就读于哥尼斯堡大学（University of Königsberg）师从康德，学习神学和哲学，是声名卓著的德国作家、哲学家、翻译家，德国 18 世纪 70 年代“狂飙突进”文学运动的发起人和理论家。他的丰富深邃的思想和他所掀起的“狂飙运动”有着深远的历史影响，产生了号称世界文学史上的“奇葩”的德国古典美学和浪漫主义，歌德、席勒都参加了这个运动，赫尔德也被称为德国的浪漫主义之父。

赫尔德著有《论语言的起源》（*Abhandlung über den Ursprung der Sprache*, 1772）、《民歌中各民族人民的声音》（*Stimmen der Völker in Liedern*, 1778-1779，曾获普鲁士研究院奖金）、《人类历史哲学的观念》（*Ideen zur Philosophie der Geschichte der Menschheit*, 1784-1791）、《论德国的新文学》（*Über die neuere deutsche Literature*）、《世界历史论集》（*On World History: Anthology*, 1767）以及《论德国现代文学的断片》（1767-1768）、《中世纪英德文学的相似性》（1777）、《雕刻术》（1778）、《论美》（1800）等关于语言、哲学、诗歌、艺术、宗教、科学、民族等方面的著作。

赫尔德关于语言与翻译的重要论述主要见于《论语言的起源》和《论德国的新文学》两部书中。他强调语言的重要性，认为语言与思维不可分，语言与思维经历了相同的阶段，驳斥了语言起源于上帝的谬论。他指出，语言的产生既非神，也非理性，而是人通过大自然的天籁创造的。⁵¹他还指出，语言是思维的工具，知识的获得依赖于语言。此外，他还强调民族语言的个性，而且非常重视人民的语言。

赫尔德认为由于语言的巨大差异，翻译是一件极端困难的任务，但他并没有就此得出不可译的结论。

赫尔德认为翻译是触及作品最核心本质的工作。他对从事这种工作的译者的职责和任务做了精辟的论述。他认为，译者的任务就是“解释”（*Erklärung*）：使不懂外语的读者能够读懂外国书籍。而解释其实就

是教学，即使读者获取知识。理解原文是译者任务的第一步，以此为基础逐渐引导读者对原作语言有直观了解，从而了解与原作有关的民族及历史知识。他同时还强调在理解原作词语的使用的同时必须要考虑到原作者的心理状态（psychology）；而在原作者的心理状态方面，赫尔德指出预测（divination）是必要的。这些对施莱尔玛赫（Schleiermacher）的翻译理论有很大影响。

赫尔德主张“世俗”（secularism）的翻译原则，即翻译不可依赖宗教的思想，即使翻译神学方面的作品也是如此。他还主张“方法经验论”（methodological empiricism）的翻译原则，即翻译必须建立在对于语言的准确观察理解的基础之上。另外他还主张“整体”的翻译原则（holism），以防在阅读理解原文时没有读出原文的基本内容。

赫尔德还提到翻译中保持本族语的纯洁问题：

学习异族语言并不意味着忘本，周游列国也并不是想彻底改变自身的风俗习惯；.....否则肯定会得不偿失。每当我徜徉于异国园林，总想摘下几朵那里的鲜花来装点我亲爱的祖国语言，就仿佛浪子的心中永远惦念着他远方的未婚妻。

.....

当然不乏种种理由利用翻译来帮助语言的完善，却也应小心翼翼有所预防。未受翻译作品影响的本族语，犹如一名不曾与异性接触的少女，..... 她虽然幼稚、脆弱，却也是十分纯洁并表现出其极为宝贵的本色。⁵²

赫尔德在自己的翻译中实践着自己的翻译原则。在翻译莎士比亚的《暴风雨》（*The Tempest*）时为达到“解释”原作的目的，他既不采用意译或释义的方法，也不采用增补说明的方法，而是在译文中使用与原语表达方式最为接近的德语表达方式，甚至模仿原诗形式，采用与原文声音效果类似的德语词汇，以及采用语义对等的词语，如用德语的 Totenglock 译英语的 knell（丧钟），用德语动词 Wandeln（变化）和名词 Zaubерmeer（海）译英语的 sea-change（海的变化）。

史料图片选辑：



Johann Gottfried Herder

Johann Gottfried Herder:

On World History: An Anthology

译论史稿辑要：

The real translator should therefore adapt words, manners of speaking, and combinations from a more developed language to his mother tongue, preferably from Greek and Latin but also from younger languages. Like older nations and their works, all older languages have more characteristic features than the languages that are not as old. Our language should therefore be able to learn more from them than from languages with which it claims close kinship.

The book is made: for the translator it is his bread and butter; for the publisher an article to sell in the market place; for the buyer a book in his library. And for literature? Nothing! Or even a negative contribution. Zero or less than zero.

The French, who are much too proud of their own taste, adapt all things to it, rather than try to adapt themselves to the taste of another time. Homer must enter France a captive and dress according to their fashion, so as not to offend their eyes. He has let them take his venerable beard and his old simple clothes away from him. He has to conform to French customs, and where his peasant coarseness still shows he is treated as a barbarian. But we poor Germans, who are still almost an audience without a fatherland, who are still without tyrants to dictate our taste, want to see him the way he is.

And the best translation cannot achieve this for Homer without the help of notes and explanations written in the highest critical spirit.

---- Herder's *Fragmente* ("Fragments")⁵³

下篇 现代西方译学理论

第四章 现代初期西方译论

47. (德) 约翰·沃尔夫冈·歌德 Johann Wolfgang von Goethe



Johann Wolfgang von Goethe, 1749-1832

生平及重要译论：

约翰·沃尔夫冈·歌德 Johann Wolfgang von Goethe, 1749 - 1832, 德国诗人、美学家、剧作家、小说家和评论家。出生于德国美因河畔法兰克福，1765 年赴莱比锡大学攻读法律，并开始写罗珂珂风格的抒情诗。1770 年赴斯特拉斯堡大学学习，并成为狂飙突进运动的主要成员。此时其主要作品有《铁手骑士葛兹·冯·伯利欣根》(*Götz von Berlichingen*, 1773)、《少年维特之烦恼》(*Die Leiden des jungen Werthers*, 1774) 及优秀抒情诗如《普罗米修斯》(*Prometheus*)、《欢迎和别离》(*Willkommen und Abschied*)、《五月歌》(*Mailied*) 等。1775 年歌德受萨克森—魏玛公爵卡尔·奥古斯特之邀来到魏玛宫廷，担任过枢密顾问及军事、交通、财务等职，1788 年后专门从事文艺创作和科学研究，并担任魏玛宫廷剧院负责人 (1791-1817)。在旅居意大利三年之后，歌德的文艺思想逐渐从浪漫的狂飙突进运动转向古典主义。此时他的作品颇多，包括诗曲、剧本如《哀格蒙特》(*Egmont*, 1788)、《伊菲革涅亚在陶洛斯》(*Iphigenie auf Tauris*, 1787)、《托夸多·塔索》(*Torquato Tasso*, 1790) 以及《赫尔曼与窦绿苔》(*Hermann und Dorothea*, 1797)、长篇小说《威廉·麦斯特的学习时代》(*Wilhelm Meisters Lehrjahre*, 1795-1796)、自传《诗与真》四卷 (*Dichtung und Wahrheit*, 1811-1833)、《意大利游记》(1816-1817)、诗集《西东合集》(*West-Östlicher Divan*, 1819)，并在逝世前终于完成了《威廉·麦斯特的漫游时代》(*Wilhelm Meisters Wanderjahre*, 1821-1829) 和代表其创作顶峰的著名悲剧《浮士德》(*Faust*, 1773-1831)。

歌德的阅历之深、涉猎之广、成果之多、思想之敏，可以说是德国文学艺术的一座丰碑。他说过“聪明的人就是最好的百科全书”，其实他自己正是这句话的最好的注解；他说过莎士比亚是说不尽的，其实正是他自己才真正是说不尽的；他说过“能把自己的生命的终点和起点联结起来的人是最幸福的人”，其实这句

话只有用在他自己的身上才是当之无愧。他的一句名言为世人所传诵：“理论是灰色的，生活之树长青”。

歌德从其对于自然、人类、社会、文化、哲学、美学的思考，尤其是晚年提出“世界文学”的概念，越发感到文化交流对于翻译的迫切需求，因为他认为翻译在各民族文学的世界性交流中起着至关重要的作用。他对翻译的地位和重要作用给予了充分的肯定。歌德自己也很重视翻译实践。他精通多种语言和文字，曾翻译过意大利雕刻家切里尼（Benvenuto Cellini）、西班牙戏剧家卡尔德隆（Pedro Calderón de la Barca, 1600-1681）和法国哲学家狄德罗（Denis Diderot, 1713-1784）等人的作品，其上乘的翻译有口皆碑。

歌德将文学翻译称为

one of the most important and dignified enterprises in the general commerce of the world.¹

歌德关于翻译的见解散布于众多的作品中，其中较为重要的是《诗与真》、《西东合集》和《致卡莱尔书简》（*Letter to Carlyle*）。

歌德关于翻译的见解主要有三个方面。

首当其冲的是其关于翻译的三分法，即：

1）传播知识的翻译（*informative translation*），即通过翻译来进行知识的传播、了解外来文化。在翻译中，外来文化将融于译语之中，而且最为合适的方式便是用朴素的散文进行翻译：

朴素无饰的翻译总是最适当的翻译。

而且

诗歌译成散文比译成韵文更为有效。

路德的翻译便是这种翻译的典范。歌德曾对马丁·路德用大众德语翻译《圣经》非常赞赏地评述道：

那位智者（指路德）似乎毫不费力地就将这部风格最复杂、富有诗歌和历史说教意味的作品传译了过来，并详细地再现了原作的各种独到之处，真乃宗教界之幸事。这样一来，那些诸如“约伯纪事”、“诗篇”等《圣经》中诗歌形式的段落便不再令人费解了。对于大众而言，简单明了的翻译便是好翻译。那些欲与原作相一致、亦步亦趋的译作，只会使译者作茧自缚。

段中“那些欲与原作相一致、亦步亦趋的译作，只会使译者作茧自缚”一句也成为歌德关于翻译的名言，为后人所乐于引用。

2）改编式或模仿式翻译（*adaptation/parodistisch translation*），即根据原文的含义在译语中寻找对等，然后按照译语的习惯和风格进行翻译：

译者把外国作品的内容加以吸收，以使用其本族语并利用本国文化背景构成一件新的东西以代替原作。

3）隔行对照翻译（*interlinear translation*），及两种文字隔行对照地进行翻译，以尽可能地使译文语言完全接近原文：

力求做到译文和原文完全一致的翻译，也即要求译者放弃本民族的特点，产生一个新的第三者。

歌德认为第三种翻译是层次最高的翻译，他说：

要使译著与原著趋于一致，就必须切近原文字里行间的意义，使其易于理解，因而在某程度上，我们便不由自主地向原著靠拢，从而完成翻译的从陌生到熟悉、从已知到未知的循环过程。²

歌德主张以散文体来译散文或诗歌，但他也强调作品的内在本质、意义和气势，强调内容的翻译。

歌德还强调译作的创作性质，重视译作对于原作的反作用，即译作可以延长原作的艺术生命。他用诗一样的语言生动地描述道：

我从草地里刚刚采了一束鲜花，兴冲冲地捧回家去，手儿却将花儿弄蔫了，我把它小心地插入花瓶的凉水里，多么令人高兴啊！那一个个小脑袋又重新抬了起来，茎与叶如此地绿意盎然，仿佛依然是在母土里尽情绽放。每当听到我的诗在异邦传唱，那感觉就跟现在一样。³

译论史稿辑要：

(1)

If we are able to put ourselves directly into such a distant situation, with no knowledge of local color and no understanding of the language, if we can observe a foreign literature at our ease, without having to do historical research, if we can bring the taste of a certain time to mind, the meaning of a nation and its genius, we must thank the translator who has exercised his talents for our benefit with great diligence, his whole life long.

A truly general tolerance will most certainly be reached if we respect the particular characteristics of single individuals and nations. We should, however, keep in mind that what has real merit distinguishes itself in that it belongs to humanity as a whole, and translate accordingly. Germans have contributed to such mediation and mutual recognition. Those who understand and study German find themselves on the market place where all nations offer their wares. They act as interpreters by enriching themselves.

That is how we should look upon every translator: he is a man who tries to be a mediator in this general spiritual commerce and who has chosen it as his calling to advance the interchange. Whatever you may say about the deficiencies of translation, it is and remains one of the most important and dignified enterprises in the general commerce of the world. The Qur'an says: "God has given every nation a prophet in its own language." Every translator is a prophet among his own people. The impact of Luther's Bible translation has been enormous, even though critics still find fault with it and express their reservations about it to this very day.

---- Goethe, *Schriften zur Literatur* ("Writings on Literature")⁴

(2)

There are two maxims in translation: one requires that the author of a foreign nation be brought across to us in such a way that we can look on him as ours. The other requires that we ourselves should cross over into what is foreign and adapt ourselves to its conditions, its peculiarities, and its use of language. There are enough perfect examples of both kinds, and educated people are familiar with the advantages of both. Our friend [Wieland], who wanted to find the middle way in this matter also, tried to reconcile both. But since he was a man of feeling he preferred the first maxim when in doubt.

---- op. cit.⁵

(3)

Wieland's translation of Shakespeare appeared. It was devoured, passed around, and recommended to friends and acquaintances. We Germans had the advantage that many important words of foreign nations were first translated in a light and bantering vein. The translation of Shakespeare into prose, first Wieland's, then Eschenburg's, were able to

spread quickly as reading matter. They were generally intelligible and suited to the common reader. I respect both rhythm and rhyme because they are what makes poetry into poetry indeed. Yet what is left of a poet when he has been translated into prose is what is really deeply and thoroughly operative, what really shapes and improves. What remains is the pure, perfect essence. A blinding exterior often succeeds in deluding us into believing that such an essence is there when it is not, or in hiding it when it is. That is why I think translations into prose are more useful than translations into verse in the first stages of education. Boys, who turn everything into a joke, make fun of the sound of words and the fall of syllables, and destroy the deep essence of the noblest work out of a certain sense of parodistic devilry. I would therefore like you to consider whether we could not use a prose translation of Homer at this moment, provided it is worthy of the level German literature has reached by now. I leave this and my other remarks to the consideration of our worthy pedagogues who can rely on extensive experience in this matter. I simply want to remind you of Luther's Bible translation as an argument in favor of my proposal. Religion has benefited more from the fact that this excellent man translated a work written in the most different array of styles into a work all of one piece in our mother tongue, than it would have if he had aspired to recreate the original's idiosyncrasies down to the smallest detail. Luther also gave us the poetic, historical, imperative, and didactic tone we find in the Bible. And that, too, he gave us in one piece, so to speak. Later translators have tried in vain to make us enjoy the Book of Job, the Psalms, and other canticles in their poetic form. If you want to influence the masses a simple translation is always best. Critical translations vying with the original really are of use only for conversations the learned conduct among themselves.

---- Goethe's *Dichtung und Wahrheit* ("Poetry and Truth")⁶

(4)

There are three kinds of translation. The first acquaints us with foreign countries on our own terms. A simple prosaic translation is the best in this respect. Since prose totally cancels all peculiarities of any kind of poetic art and since prose itself pulls poetic enthusiasm down to a kind of common water-level, it performs the greatest service in the beginning by surprising us with foreign excellence in the midst of our national homeliness, our everyday existence. It offers us a higher mood and real edification, and all the while we do not realize what is happening to us. Luther's Bible translation is sure to produce this kind of effect at any time.

Much would have been gained if the *Nibelungen* had been put into decent prose at the outset, and if it had been stamped a popular romance. Its singular, dark, noble, awesome sense of chivalry would then have addressed itself to us with its full strength. Those who have applied themselves more thoroughly to these matters of great antiquity will be best able to judge whether such a course of action is still advisable, or even feasible at the present moment.

A second epoch follows in which the translator really only tries to appropriate foreign content and reproduce it in his own sense, even though he tries to transport himself into foreign situations. I would like to call this kind of epoch the parodistic one, in the fullest sense of the word. Men of wit feel called to this kind of trade in most cases. The French use this method in their translations of all kinds of poetic works. Hundreds of examples can be found in the translations produced by Delille. Just as the French adapt foreign words to their own pronunciation, so do they treat feelings, thoughts, and even objects. For every foreign fruit they demand a counterfeit grown in their own soil.

Wieland's translations belong to this category. He, too, had a singular sense of taste and understanding that brought him close to antiquity and foreign countries only as far as he could still feel at ease. This excellent man may be considered the representative of his time. He has had an extraordinary impact, precisely because what he found pleasing, how he appropriated it, and how he communicated it in his turn, seemed pleasing and enjoyable to his contemporaries as well.

Since it is impossible to linger too long in either perfection or imperfection, and since one change must of necessity follow another, we have lived through the third epoch, which could be called the highest and final one, namely the

one in which the aim is to make the original identical with the translation, so that one should be valued not instead of the other, but in the other's stead.

Originally this kind of translation had to overcome the greatest resistance, since the translator who attaches himself closely to his original more or less abandons the originality of his own nation, with the result that a third essence comes into existence, and the taste of the multitude must first be shaped to accept it.

Voss, who can never be praised enough, could not satisfy the public when he began to translate, but that same public slowly became receptive to his new manner and grew comfortable with it. Whoever is now able to see what happened, what versatility has come to the Germans, what rhetorical, rhythmical, metrical advantages are at the disposal of the talented and knowledgeable youngster, how Ariosto and Tasso, Shakespeare and Calderon are now presented to us twice and three times over as foreigners who have been made German, should hope that literary history will plainly state who was the first to take this road despite so many obstacles.

The works of von Hammer point for the most part to a similar treatment of Oriental masterpieces, in which approximation to the external form of the original is to be most recommended. The passages of a translation of Firdausi our friend has provided us with are unquestionably more useful when compared to those of an adaptor. In my opinion, adapting a poet is the saddest mistake a diligent translator, who is also well-suited to his task, could make. Yet since these three epochs are repeated and inverted in every literature, and since they can be in effect applied simultaneously, a translation into prose of the *Shah-nama* and the works of Nizami is still in order. It could be used for a quick reading that would serve to unlock the main sense. We would be pleased with the historical, the legendary, and the generally ethical, and we would move closer and closer to ways of thinking and feeling until we could totally fraternize with them at last.

Remember how we Germans awarded the most resolute recognition to such a translation of the *Sakuntala*. We can ascribe its great impact to the general prose in which the poem has been diluted. Yet the time has come for someone to offer it to us in a translation of the third type, which would do justice to the different dialects and to the rhythmical, metrical, and prosaic manners of speech in the original. Such a translation would allow us to enjoy the poem again with all its idiosyncrasies and would naturalize it for us.

---- Goethe's *West-östlicher Divan* ("Book of West and East")⁷

48. (德) 卡尔·威廉·冯·洪堡

Karl Wilhelm von Humboldt



Wilhelm von Humboldt, 1767-1835

生平及重要译论

卡尔·威廉·冯·洪堡（又译洪堡特）Karl Wilhelm von Humboldt, 1767-1835，德国著名语言学家、哲学家、政治家、教育改革家、社会学家、史学家、美学家和翻译家。他是著名的亚历山大·洪堡（Alexander von Humboldt）的兄长，出生于德国波茨坦（Potsdam），早年就读于耶拿大学并成为席勒（Johann Christoph Friedrich von Schiller, 1759-1805）的挚友，常与歌德书信往来，受康德（Kant Immanuel, 1724-1804）、赫尔德（Johann Gottfried von Herder, 1744 – 1803）及法国启蒙哲学家的影响很大。曾担任普鲁士枢密顾问（1809）及普鲁士教育大臣（1809），与费希特（1762-1814）、黑格尔（Georg Wilhelm Friedrich Hegel, 1770-1831）同为柏林科学院成员。洪堡对德国教育改革有着很大的贡献。此外在语言学、哲学、翻译理论等方面也有颇多建树。

洪堡著述非常之多，涉及语言学、哲学、教育学、史学等众多领域，而最著名的则是《人类语言结构的多样性》，以及《按语言发展的不同时期论语言的比较研究》（*Über das vergleichende Sprachenstudium in Beziehung auf die verschiedenen Epochen der Sprachentwicklung*）和《论人类语言结构的差异及其对于人类精神发展的影响》（*Über die Verschiedenheit des menschlichen Sprachbaues und ihren Einfluß auf die geistige Entwicklung des Menschengeschlechts*）（英译本为 *On Language : On the Diversity of Human Language Construction and its Influence on the Mental Development of the Human Species*, translation by Peter Heath）。

他以更为抽象的方式对人类语言现象进行了深入的语言内部因素以及语言与人及文化的关系的研究，成为普通语言学的奠基人和以跨语言为基础的（经典）语言类型学（language typology）的杰出先驱之一。他主要致力于爪哇岛古加维语及其他数十种语言包括汉语的研究。洪堡关注一切关于语言的实际存在和表现方式，并因此为现代社会语言学领域的研究奠定了坚实的基础。他认为语言对人的思维具有决定性的作用，语言决定着人的思想、世界观和文化，语言与思维相互依赖而不可分割：

一个民族的语言就是他们的精神，一个民族的精神就是他们的语言。

他还说：

语言可以说是各个民族的心灵的外壳；各个民族的语言是各个民族的心灵，他们的心灵也就是他们的语言，说这两者是等同的一点也不过分。⁸

他关于语言的观点在下面的论述中有着更为集中的体现：

我们因此有这样一个领域，除了普遍性的一致之外，还在其范围之内允许有完全没有定限的和无穷无尽的多样性。但是这种多样性又受到有力的控制，首先是语言性质的限制，因为语言是由特定数量的声音并且只允许这些声音以有限的数量结合的一种工具；其次它也受到人的性质的限制，他的器官的结构和他知觉、思维和感觉能力的可能的限度的限制；除此之外，它还受到普遍思想的不变的法则的限制。⁹

洪堡就是依据这种对于语言的本质特性的深刻理解，以一种辩证的观点对翻译问题进行阐述。他将语言视为两个方面的统一：既将语言视为一个系统，同时又将语言视为一个具体操作过程，即语言既有共性又有个性。根据这种带有语言唯我论特点的语言观，他提出了著名的语言的不可译性与可译性的二元理论。

首先是语言的不可译性。洪堡从主观唯心主义哲学思想出发将语言与世界观相联。正是由于不同民族所具有的形态各异的世界观，才造成各种语言之间的实质性差异，而这种语言的实质性差异又导致不同语言之间的不可译性，即人类语言之间是没有共性的，这是支配人类语言的法则。因此原作与译作之间自然不可能存在着可能进行翻译的融合关系。译者在进行翻译的时候，只能是或偏向原语，或偏向译语。译作与原作必定会有本质的区别。他在给奥古斯特·施莱格尔的信中明确地表明了他的这种不可译观点：

在我看来，所有翻译都只不过是试图完成一项无法完成的任务。任何译者都注定会被两块绊脚石中的任何一块所绊倒：他不是贴原作贴得太紧而牺牲本民族的风格和语言，就是贴本族特点贴得太紧而牺牲原作。介乎两者之间的中间路线不是难于找到而是根本不可能找到。¹⁰

另一方面，上述语言的不可译性是洪堡将语言系统视为交际的符号工具而得出的结论，因而是以一种相对的观点得出的结论。然而，洪堡也注意到具体言语中静止的和动态的因素的相互作用。语言相互之间既有个性也有共性，因此洪堡认为所有的语言又都是可译的。他认为语言的特性是：

话语与观念的交流，正如上面已经看到的，并非一个人表达的思想向另一个人的传达，无论在接受者还是在讲话者的脑中一切仅仅在于使其处于这种或那种状况的和谐的刺激。

哪怕最具体、最明确的话，都远远不能激起话语发出者认定能激起的思想、情感和记忆。¹¹

因此，他在其所翻译的埃斯库罗斯（Aeschylus, 525? B.C.-456B.C., 古希腊三大悲剧家之一）的名剧《阿伽门农》（*Agamemnon*）译本的序言中得出结论：

在任何语言中，甚至不十分为我们所了解的原始民族的语言中，任何东西，包括最高的、最低的、最强的、最弱的东西，都能加以表达，这么说并不过分。

先天具有的语言使用能力是一种普遍存在的能力，因此所有语言中必定都具有理解‘所有语言的秘诀’。¹²

译论史稿辑要：

（1）

This kind of work is untranslatable because of its peculiar nature, but untranslatable in a sense vastly different from

that of statements usually made about the untranslatability of works of great originality. It has often been said, and confirmed by both experience and research, that no word in one language is completely equivalent to a word in another language, exception being made for those expressions designating purely physical objects. In that respect different languages are little more than collections of synonyms. Each language expresses a concept in a slightly different manner, with such and such a denotation, and each language places it on a rung that is higher or lower on the ladder of feeling. A collection of the synonyms of the main languages, or even only of Greek, Latin, and German (the kind of undertaking sure to earn widespread gratitude) has never been attempted, even though fragmentary attempts are to be found in the works of many writers. It would become one of the most attractive tasks if it were undertaken in the right spirit. A word is not a mere sign for a concept since a concept cannot come into being, let alone be recorded, without the help of a word. The indeterminate activity of the power of thinking condenses into a word just as light clouds originate in a blue sky. It has now acquired a being of its own with a certain shape and certain character, with a power to influence the emotions and the ability to procreate. If you were to think of the origin of a word in human terms that origin would be analogous to the origin of an ideal shape in the artist's imagination. To think of it in these terms is plainly impossible, merely because the act of pronouncing a word also presupposes the certainty of being understood and because language itself can only be thought of as a product of simultaneous interaction in which one is not able to help the other, but everybody at the same time has to carry in himself both his own work and that of all others. The artist's imagination, too, cannot be drawn from what is real; it originates in a pure energy of the mind and in nothing, in the purest sense of that word. Yet as soon as it has originated it enters life and is now real and lasting. What man has not created shapes of fantasy for himself -- even outside the fields of artistic production or the production of genius -- often in early childhood, and what man has not often lived more intimately among them than among the shapes of the real? How, therefore, could a word whose meaning is not immediately given through the senses be totally identical with a word in another language? It must of necessity exhibit differences and if one makes a precise comparison of the best, the most careful, the most faithful translations one is amazed at the difference that is there, where the translator merely tried to preserve equivalence and identity. It could even be argued that the more a translator strives for fidelity, the more deviant the translation becomes since in that case it also tries to imitate fine peculiarities: it avoids mere generalities and can, in any case, do little more than match each peculiar trait with a different one. Yet this should not deter us from translating. On the contrary, translation, and especially the translation of poets, is one of the most necessary tasks to be performed in a literature, partly because it introduces forms of art and human life that would otherwise have remained totally unknown to those who do not know a language, and above all because it increases the significance and the expressiveness of one's own language. For it is a marvelous feature of languages that they all first reach into the usual habits of life, after which they can be improved on *ad infinitum* into something nobler and more complex by the spirit of the nation that shapes them. It is not too bold an assertion to say that everything, the highest and the deepest, the strongest and the most tender, can be expressed in every language, even in the dialects of very primitive peoples we do not know well enough at this moment. This should not be taken to mean, however, that one language is better than another or that some languages are forever out of reach. It is just that in some cases the tones slumber as in an instrument that is not played, until the nation knows how to draw them forth. All signs of a language are symbols; they are not the things themselves, nor signs agreed on, but sounds which, together with the things and concepts they represent, find themselves through the operations of the mind in which they originated and keep originating in a real and, so to speak, mystical connection which the objects of reality contain as it were dissolved in ideas. These symbols can be changed, defined, separated, and united in a manner for which no limit can be imagined. A higher, deeper, or more tender sense may be imputed to these symbols, but this happens only if one thinks, expresses, receives, and represents them in a certain way. And so language is heightened into a nobler sense, extended into a medium that shapes in more complex ways, without any really noticeable change. As understanding of language increases understanding of a nation widens.

What strides has the German language not made, to give but one example, since it began to imitate the meters of Greek, and what developments have not taken place in the nation, not just among the learned, but also among the masses, even down to women and children since the Greeks really did become the nation's reading matter in their true and unadulterated shape? Words fail to express how much the German nation owes Klopstock with his first successful treatment of antique meters, and how much more it owes Voss, who may be said to have introduced classical antiquity into the German language. A more powerful and beneficial influence on a national culture can hardly be imagined in an already highly sophisticated time, and that influence is his alone. For he invented the established form--even if there is still room for improvement--which alone makes possible the rendering of the ancients into our language, now and for as long as German is spoken. He was able to do so only because of his talent and the dogged perseverance that enabled him to keep working indefatigably at the same object. Whoever creates a true form may rest assured that his labor will last, whereas even a product of the highest genius remains without consequence for further progress along the same path if it remains an isolated phenomenon lacking in such a form. If translation is to incorporate into the language and the spirit of a nation what it does not possess, or possesses in a different manner, the first requirement is simple fidelity. This fidelity must be aimed at the real nature of the original, not its incidentals, just as every good translation originates in simple and unpretentious love for the original and the research that love implies, and to which the translation must return. A necessary corollary to this conception is that a translation should have a certain foreign coloring to it, but the line beyond which this undeniably becomes a mistake is easy to draw. Translation has reached its highest goals as long as what is felt is not strangeness as such but merely a touch of the foreign. Where strangeness appears as such, probably even obscuring the foreign, the translator betrays that he is not up to the original. In such a case the unprejudiced reader's feelings do not easily miss the dividing line. If a translator goes beyond this, in fearful awe of the unwonted, and tries to avoid the strange itself, he destroys all translation and whatever advantages translation may bring to a language and a nation. Never mind that we have heard it said that the translator should write the way the author of the original would have written in the language of the translator, since such a thought must have been formulated without reflection on the fact that no writer would have written the same thing in the same way in another language, except for scientific matters and descriptions of physical object. How else can it be explained that not the slightest shred of the spirit of antiquity has entered the French nation, indeed that not even the national understanding of antiquity (we cannot speak of single scholars here) has increased in the least, even though all the Greeks and Romans have been translated into French and some have even been translated very well in the French manner?

To come to my own work after these general observations, I have tried to approximate the simplicity and the fidelity described above. With every rewriting I have tried to remove more of what was not contained in the text in the same simple manner. The inability to reach the characteristic beauty of the original all too easily entices the translator to lend it a strange glitter from which, on the whole, a deviant coloring and a deviant tone will originate. I have tried to avoid obscurity and un-German turns of speech, but in the latter case no unjust demands should be made that might preclude higher advantages. A translation cannot and should not be a commentary. It should not contain obscurities originating in the vacillating use of language and in clumsy construction. Where the original only hints, without expressing clearly, where it allows itself metaphors whose meaning is hard to grasp, where it omits mediating ideas, the translator would go wrong if he were to introduce a clarity which disfigures the character of the text, and if he were to do so of his own accord. The obscurity you often find in the writings of the ancients, and especially in the *Agamemnon*, originates in the brevity and boldness with which thoughts, images, feelings, memories, suspicions are linked together as they originate in deeply-felt emotions, with no regard for mediating sentences to connect them. The more you enter into the poet's atmosphere, his time, the characters he puts on the stage, the more that obscurity vanishes and a greater clarity takes its place. You must allow the translation to proceed in a similar manner: you should not demand that what is noble, gigantic, and unusual in the original language should be easy and immediately

intelligible in the translation. Yet ease and clarity always remain advantages a translator gains with the utmost difficulty and never through labor and rewriting: he owes it for the most part to happy inspiration, and I know only too well to what extent my own translation is deficient in this respect.

I have followed this edition [Gottfried Hermann's *Agamemnon*] as closely as possible since I have always hated the eclectic manner in which translators often choose arbitrarily among the hundreds of variants in manuscripts and critical emendations, trusting to a feeling which, of necessity, often leads them astray. The edition of an ancient author is the reconstitution of a document, if not in its true and original form, at least as close as possible to the earliest source accessible. It must therefore be the product of one mind, the result of historical precision and conscientiousness, of the whole treasure of scholarship that underscores it, and preferably of a consistency that permeates it from beginning to end. On no account should what is called the esthetic sense be allowed to interfere (even though translators in particular may believe they have a calling for it) if one does not want to impose ideas on the text which give way to other ideas sooner or later -- the very worst fate that can befall those who adapt the ancients.

I have devoted the most meticulous care to the metrical part of my work, especially to the purity and exactness of meter, since that is the foundation of all other beauty, and I believe no translator could possibly exaggerate in this. Rhythm, as it rules among Greek poets, and especially among the dramatists, to whom no meter is strange, is a world of its own, so to speak, even when separated from thought and the music accompanied by melody. It represents the dark side of feeling and sentiment before it pours itself out in words, or when its sound has died away before it. The shape of all grace and nobility, the individuality of each character rests in it, evolves in free fullness, unites into ever new creations, is pure form, not weighed down by matter, and reveals itself in tones or, in other words, in what most deeply grips the soul because it is closest to the essence of inner conception. The Greeks are the only people we know who were in possession of such a rhythm, and it is this fact which, in my opinion, characterizes and defines them to the highest extent. What we find of it in other nations is imperfect: what we and even the Romans (exception made for a very few felicitous meters in their literature) possess is but an echo, both weak and uncouth. In judging languages and nations much too much attention has been paid to what I could call the dead elements, the outward diction: people always think everything is to be found on the spiritual level. This is not the place to go into detail, but it has always seemed to me that it is precisely the manner in which letters are united into syllables in a language, and syllables into words, and the way these words in turn relate to each other in rhythm and tone, which describes or determines the intellectual and, to no small extent, indeed the moral and political fate of nations. In this the Greeks were blessed with the happiest fate that can befall a nation that wishes to rule through word and spirit, not power and action. Among modern languages only German seems to possess the advantage of being able to imitate that rhythm, and whoever combines a feeling for the dignity of the language with a sense of that rhythm will attempt to endow the language with more and more of this advantage. For it can be increased: like an instrument, a language must be played to the hilt. The ear of many who have been misled by the arbitrary behavior of poets needs even more exercise, and the ear of those who do not read often must be especially trained in the less habitual meters. A translator, particularly of the ancient lyricists, can often win only by allowing himself certain liberties. Few will follow closely enough in the choric parts to examine whether he has used a syllable in the right way or not. Indeed, if two possibilities are equally right, many prefer a certain naturalness to the higher beauty of rhythm, as Voss so very aptly pointed out in his time. But here a translator must exercise self-discipline and abnegation, since only then shall he be cutting a path on which he may hope to have more fortunate successors. Translations are definitely works that should examine, define, and influence the state of a language at a given moment in time, as if measured against a timeless touchstone, and they must always be attempted again as if they were designed to last. Moreover, that part of the nation which is unable to read the ancients will learn to know them better through many translations than through one. Translations are as many images of the same spirit: each renders the spirit it has been able to grasp and represent,

while the true spirit rests in the original text alone.

---- preface to Humboldt's translation of Aeschylus' *Agamemnon*¹³

(2)

All translation seems to me to be simply an attempt to solve an impossible task. Every translator is doomed to be done in by one of two stumbling blocks: he will either stay too close to the original, at the cost of taste and the language of his nation, or he will adhere too closely to characteristics peculiar to his nation, at the cost of the original. The medium (i.e. a middle course; author's note) between the two is not only difficult, but downright impossible.

---- Humboldt's letter to A.W. Schlegel¹⁴

(3)

Translation and especially the poet is one of the most important functions in a literature, partly because these lead people who have no knowledge of other languages to those forms of humanity and the arts which constitute the peculiar significance of every nation, and which they would never experience otherwise, but also partly and even more significantly because they expand the value and expressiveness of their own language.

---- Humboldt's Introduction to the translation of *Agamemnon* by Aeschylus¹⁵

49. (德) 弗里德里希·施莱尔玛赫 Friedrich. E. D. Schleiermacher



Friedrich·E·D·Schleiermacher, 1768-1834

生平及重要译论:

弗里德里希·施莱尔玛赫(又译施莱尔马赫、施勒尔麦舍) Friedrich·E·D·Schleiermacher, 1768-1834, 德国著名基督教新教哲学家、神学家、古典语言学家、翻译家和译论家。1787 年就读于哈雷大学研究哲学并对亚里士多德和康德哲学思想发生兴趣, 1804-1806 在哈雷大学担任教授, 1810 年到柏林大学任神学教授。

施莱尔玛赫精通希腊语和拉丁语, 曾于 1796 年翻译过柏拉图的作品。

施莱尔玛赫是（《圣经》）诠释学派（hermeneutics）的代表人物，主张对《圣经》意义进行求本溯源的语义检验即释义，清除中世纪经院哲学“信仰而后理解”的宗教愚昧主义在《圣经》解释方面的影响。施莱尔玛赫的释义理论包括语法释义与心理释义两方面：前者强调文本的共时的共识，以及语境对于词语意义的意义；后者则强调与原作者的共识，通过文本准确理解原作者的思维轨迹和精神过程。这样，诠释学理论已经成为一种文本的方法论。根据这种释义理论，诠释学派便确定了其翻译观点，即译者不是消极地接受文本即原作，而是必须积极地创造：他必须根据原作者的精神过程和思维轨迹，把握超乎文本的一个“前结构”（Vorhabe）。¹⁶说得明白一些，就是翻译的关键在于译者，而译者对原作的理解则在于对于原文的创造性的重新诠释。

施莱尔玛赫关于翻译的最为重要的论述是《论翻译的方法》（*Über die verschiedenen Methoden des Übersetzens*），这是1813年6月24日他在柏林皇家科学院的学术讨论会上宣读的长达30多页的论文。该论文从理论方面对翻译的原则和方法以及翻译与理解之间的关系进行了颇有新意的论述，在德国翻译理论史上具有重大影响。总结起来，该论文体现了施莱尔玛赫的四大翻译观点：¹⁷

1）在西方翻译史上第一次将翻译明确区分为笔译和口译，并加以论述。口译主要发生于商业方面，而笔译则主要发生于科学与艺术方面。但施莱尔玛赫同时又认为对口头材料的书写记录是一种机械手段，而口译也是一种机械活动。显然，施莱尔玛赫对口译的认识仍有不足。

2）将翻译明确区分为真正的翻译和机械的翻译，并加以论述。前者是指自然科学及文艺作品，后者则是指实用性的翻译。上述所区分的笔译与口译则分别属于真正的翻译范畴和机械翻译的范畴。这样，对于不同类型的翻译就可以用不同的翻译标准来衡量。

此外，施莱尔玛赫还对有人使用过的释义法（paraphrase）和模仿法（imitation）进行了评述（参阅下面的“译论史稿辑要”），认为它们已经远离了严谨的翻译理念：

释义法尝试克服语言里非理性的成分；不过，是通过机械的方式来达致这个目标的。……释义者将两种语言当作数学符号一般处理，以为可以加加减减，达致等值；然而，籍着这样的一个程序，无论是转化了的文字还是原文的精神都无法彰显。而倘若释义希望通过加插分句，把心理层面上比较模糊、容易消失的意念联系表达出来，则特别是在处理深涩的作品的时候，它就变成了评注，更加远离翻译的理念了。

另一方面，模仿法则服膺于语言的非理性之下。它承认以一种语言来复制另一种语言的艺术作品，要使个别部分与原文个别部分全都互相对应，实在绝无仅有。……模仿者从来就无意要将原文作者与模仿作品的读者扯在一起，因为他们不相信能够在他们之间建立任何直接的关系；他仅仅希望能够将原作给读者的印象带给他的读者。¹⁸

3）提出翻译必须解决语言与思维的辩证关系问题，即语言自由与语言制约的关系，并将翻译与单纯的传译区分开来（参阅下面的“译论史稿辑要”）：

翻译与单纯的传译实有天渊之别。每当讲者在较独立地思索，并希望将自己的思想表达出来的时候，他与语言文字的关系就很模糊。在某一些字词仅用来表达外在的事物，而不受后者所局限的时候，同样也有这种关系。唯有在这个模糊的关系得到正确理解时，他要传达的意思才清晰无误。一方面，每个人都受他所说的语言所规范；他和他的一切思想意念都是这语言的产物。在语言界限以外的事物，他一概无法确定。他的思维方式、思维之间连结联系的方法与工具，都早已在他生来就学会的语言里勾画好了；思想知识和幻构虚想都离不开这语言的制约。然而，在另一方面，每一个能独立、自发地思考并运用知识的人都在建构着他使用的语言。因为若非通过这种作用，一个思想概念又怎样能够形成、怎样能从它初生的阶段孕育成长，从而在学术和艺术的领域里展现它完美的形态？¹⁹

这样施莱尔玛赫将翻译问题引至与翻译有直接关系的哲学和语言学的更大的范畴中，是其对洪堡关于语

言决定思维的理论的继承和发展。

4) 提出以译者为主导的两种不同途径的翻译的译学理论。在翻译过程中,译者处于原作者和读者之间的关键位置,这时译者的态度将导致不同的翻译原则和方法。施莱尔玛赫将译者的态度归为两种,并导致两种不同的翻译途径,即或尽量不惊动作者而让读者去适应作者,即以作者为中心,或尽量不惊动读者而让作者去适应读者,即以译文读者为中心,而译者只能采用一条途径(参阅下面的“译论史稿辑要”):

真正的翻译者,倘若真的希望把这两个完全分隔的人——原作者与读者——连系在一起,协助后者正确完全地理解和欣赏前者,而毋须被迫撇弃他熟谙的母语,他又有何选择呢?我认为,他只有两个选择。一是他尽量不打扰原作者而将读者移近作者,二是尽量不打扰读者而将作者移近读者。两个途径彼此迥然不同,读者必须步步为营,尽最大的努力紧紧的沿着其中一条途径前进,否则,如果将两者混而为一,即会出现无法预见的后果,作者与读者更极有可能永远无法走在一起。两者的分别和它们为什么落入这般微妙的关系,实在不言而喻。²⁰

施莱尔玛赫的观点可以概括如下:坚持译作顺从原作,所采用的翻译方法即为直译甚或死译;坚持原作顺从译作,所采用的翻译方法即为意译甚或活译、自由译。²¹

施莱尔玛赫的这个论述实际上也是回答了翻译的文艺学派关于“究竟是让信息适应人,还是让人适应信息。换句话说,必须决定究竟是调整信息的形式以适合读者的接受能力,还是督促读者求取足够的背景知识以充分领会原文的某些妙处”的问题。

译论史稿辑要:

We shall be able to distinguish two different fields [in translation] as well. They are not totally distinct, of course, since this is very rarely the case, but they are separated by boundaries that overlap and yet are clear enough to the observer who does not lose sight of the goal pursued in each field. The interpreter plies his trade in the field of commerce; the translator operates mainly in the fields of art and scholarship. Those who think of this definition as arbitrary, since interpreting is usually taken to mean what is spoken and translating what is written, will forgive me for using them, I am sure, since they are very conveniently tailored to fit the present need, the more so since the two definitions are by no means far removed from each other. Writing is appropriate to the fields of art and scholarship, because writing alone gives their works endurance, and to interpret scholarly or artistic products by word of mouth would be as useless as it seems impossible. For commerce, on the other hand, writing is but a mechanical tool. Oral bargaining is the original form here and all written interpreting should really be considered the notation of oral interpreting.

Two other fields are joined to this one, and very closely so as regards their nature and spirit, but they are already transitional because of the great multiplicity of objects belonging to them. One makes a transition to the field of art, the other to that of scholarship. If a transaction includes interpreting the development of that fact is perceived in two different languages. But the translation of writings of a purely narrative or descriptive nature, which also merely translates the development of a fact into another language, as already described, can still include much of the interpreter's trade. The less the author himself appears in the original, the more he has merely acted as the perceiving organ of an object, the more he has adhered to the order of space and time, the more the translation depends upon simple interpreting. The translator of newspaper articles and the common literature of travel remains in close proximity to the interpreter and risks becoming ridiculous when his work begins to make larger claims and he wants to be recognized as an artist. Alternatively, the more the author's particular way of seeing and shaping has been dominant in the representation, the more he has followed some freely chosen order, or an order defined by his impression, the more his work is part of the higher field of art. The translator must then bring other powers and

abilities to bear on his work and be familiar with his author and that author's language in another way than the interpreter is. Every transaction that involves interpreting is concerned with drawing up a specific case according to certain legal obligations. The translation is made only for participants who are sufficiently familiar with these obligations, and the way these obligations are expressed in the two languages is well defined, either by law or by custom and mutual explanation. But the situation is different in the case of transactions initiating new legal obligations, even though on the formal level it may be very similar to what we have just described. The less these can be subsumed as particular cases covered by a general rule which is sufficiently known, the more scholarly knowledge and circumspection are needed in formulating them and the more scholarly knowledge of both language and fact the translator will need for his trade. On this double scale the translator will, therefore, rise higher and higher above the interpreter until he reaches his proper field, namely those mental products of scholarship and art in which the free idiosyncratic powers of combination vested in the author and the spirit of the language that is the repository of a system of observations and shades of moods are everything. In this field the object no longer dominates in any way, but is dominated by thoughts and emotions. In this field, indeed, the object has become an object through speech only and in which it is present only in conjunction with speech.

What is the basis of this important distinction? Everyone perceives it even in borderline cases, but it strikes the eye most strongly at the outer poles. In the life of commerce one is for the most part faced with obvious objects, or at least with objects defined with the greatest possible precision. All transactions are arithmetical or mathematical in nature, so to speak, and number and measure help out everywhere. Moreover, an established usage of individual words will soon arise through law and custom even in the case of those objects which, as the ancients were wont to say, subsume what is more and what is less into themselves and are referred to by means of a gradation of words that sometimes carry more weight in common life and sometimes less, because their essence is not defined. It follows that if the speaker does not intentionally construct hidden indeterminacies or makes a mistake with intent to deceive or because he is not paying attention, he can be understood by everyone who knows both the language and the field, and at worst only insignificant differences will appear in linguistic usage. Even so there are rarely any doubts that cannot be immediately dispelled as to which expression in one language corresponds to an expression in another. Translating in this field is therefore almost a mechanical activity that can be performed by anyone with a fair to middling knowledge of both languages. It shows little distinction between better and worse as long as the translator manages to avoid obvious mistakes. But when the products of art and scholarship have to be translated from one language into another, two considerations surface that completely change the equation. If one word in one language corresponded exactly to a word in another, if it expressed the same concept to the same extent, if the declensions of both languages represented the same, relationships, and if the ways in which they connect sentences matched, so that the languages would indeed be different to the ear only, then all translation would belong in the field of commerce, in so far as it would communicate only the contents of a spoken or written text. Every translation could then be said to put the foreign reader in the same relationship to the author and his work as the native reader, except for effects produced by sound and melody. But this is definitely not the case with all languages that are not so closely related that they can almost be considered different dialects. The farther languages are apart in time and genealogical descent, the less a word in one language will correspond completely to a word in another, or a declension in one language encompass exactly the same multiplicity of relationships as in another. Since this irrationality, if I may call it that, tends to pervade all elements of two languages, it is obviously also bound to make an impact on the domain of social intercourse. Yet it clearly exerts much less pressure there, and its influence is minimal. All words denoting objects and actions that may be of importance have been verified, so to speak, and even if empty, overcautious inventiveness might still wish to guard against a possible unequal value of words, the subject matter itself immediately restores the balance. Matters are completely different in the realms of art and scholarship, and wherever thought--which is one with the word, not the thing of which the word is only a sign, possibly arbitrary but nonetheless fixed--dominates to a

greater extent. How endlessly difficult and complex the problem becomes here! It presupposes precise knowledge and mastery of both languages. How often the most expert and best versed in languages, starting from a shared conviction that an equivalent expression cannot be found, differ significantly when they want to show which expression is the closest approximation. This holds true both for the most vivid pictorial expressions in poetical works and for the most abstract terms denoting the innermost and most general components of highest scholarship.

The second consideration that changes true translation into an activity that is radically different from mere interpreting is the following: whenever the word is not completely bound by obvious objects or external facts it merely has to express, wherever the speaker is thinking more or less independently and therefore wants to express himself, he stands in a double relationship to language, and what he says will be understood correctly only in so far as that relationship is perceived correctly. On the one hand every man is in the power of the language he speaks and all thinking is a product thereof. He cannot think anything with great precision that would be outside the limits of language. The shape of the concepts he uses, the nature and limits of the way in which they can be connected are prescribed for him by the language in which he is born and educated. Both his intellect and his imagination are bound by it. On the other hand every free thinking, mentally self-employed human being shapes his own language. In what other way would it have developed and grown from its first raw state to its most perfect elaboration in art and scholarship, except for precisely these influences? In this sense, then, the living power of the individual creates new forms by means of the plastic material of language. At first he does so only for the immediate purpose of communicating a passing consciousness, but gradually more or less of it stays behind in the language, is taken up by others and reaches out, a shaping power. Any verbal text is bound to die soon if it can be reproduced by a thousand organs in a form that remains the same always. Only those texts can and may endure longer that constitute a new element in the life of a language itself. As a result each free and higher speech needs to be understood twice, once on the basis of the spirit of the language that contains its component elements, as a living representation bound and defined by that spirit and conceived out of it in the speaker, and once on the basis of the speaker's emotions, as his own action, produced and explicable only in terms of his own being. Indeed, any speech of this kind can only be understood, in the higher sense of the term, when these two relationships have been perceived together and in their true relationship to each other, so that we know which of the two dominates the whole, or individual sections. We understand the spoken word as an act of the speaker only when we feel at the same time where and how the power of language has taken hold of him, where the lightning of thought has uncoiled, snake-like in its current, where and how the roving imagination has been held firm in its forms. We only understand the spoken word as a product of language and an expression of its spirit when we feel that only a Greek, to take one example, could think and speak that way, that only this particular language could operate in a human mind in this way and when we feel at the same time that only this man could think and speak in the Greek manner in this way, that only he could seize the language and shape it in this manner, that only his living possession of the riches of the language reveals itself in this way, as an alert sense of measure and euphony that belongs to him alone, a power of thinking and shaping that is specifically his own. This type of understanding is difficult to achieve, even in the same language, since it presupposes a profound and precise penetration into both the author's own nature and the spirit of his language. Imagine, then, what a high art understanding must be when it has to deal with the products of a distant and foreign language! Whoever has mastered this art of understanding through the most diligent cultivation of a language, the most precise knowledge of the whole, historical life of a nation, and the living representation of single works and their authors, he and he alone may wish to unlock that same understanding of the masterpieces of art and scholarship for his own contemporaries and compatriots. But the risks increase when he prepares himself for his task, when he wishes to define his goals more accurately and surveys the means at his disposal. Should he decide to bring two people -- two people who are so fully separated from each other as the author himself and the man who speaks his own language but not the author's -- together into a relationship as immediate as that which exists between the author and his original reader? Or does he

merely want to unlock for his readers the same understanding and the same pleasure he himself enjoys, with the traces of hardship it carries and the feeling of strangeness that remains mixed into it? How can he achieve the second goal with the means at his disposal, let alone the first? If his readers are to understand they must be able to perceive the spirit of the language that was the author's and to see his own peculiar way of thinking and feeling. Yet to help them achieve both those aims the translator has nothing more to offer than his own language, which at no point fully corresponds to the other, and his own person, he who understands his author sometimes more clearly and sometimes less so, just as he admires and approves of him to a sometimes greater and sometimes lesser extent. Is translation not a fool's errand if we think about it in this way? That is why people who have fallen prey to despair before they reached this goal or, if you prefer, before they reached the stage at which all of this could be clearly formulated in thought, discover two other methods for becoming acquainted with works in foreign languages, not primarily to gather their real artistic or linguistic sense, but rather to fill a need and contemplate spiritual art. These methods forcibly remove some of the difficulties mentioned here while slyly circumventing others, but they completely abandon the concept of translation we are dealing with here.

These two methods are called paraphrase and imitation.

Paraphrase tries to overcome the irrationality of languages, but only in a mechanical way. It reasons as follows: even if I do not find a word in my language that corresponds to a word in the original language, I still want to try to penetrate its core by adding definitions, both restrictive and expansive. In this way it laboriously works itself through to an accumulation of empty particulars, caught between a troublesome too much and a painful too little. In doing so, paraphrase may possibly succeed in rendering the content with limited precision, but it totally abandons the impression made by the original, because the living speech has been killed irrevocably since everybody feels it cannot have originally proceeded from the feelings of a human being -- and yet it has. The paraphrast treats the elements of the two languages as if they were mathematical signs that may be reduced to the same value by means of addition and subtraction. The spirit of the original language is not allowed to reveal itself where this method is used, and neither is the spirit of the language that is being transformed. Paraphrase often tries to mark the traces of the conjunction of thoughts in a psychological manner. It does so by means of interjected sentences it inserts like so many landmarks, even though the conjunctions themselves are unclear and attempt to obliterate themselves whenever it tries to do so. A paraphrase tends to usurp the place of commentary where difficult compositions are concerned and can, therefore, not be reduced to the concept of translation any longer. Imitation, on the other hand, submits to the irrationality of languages: it grants that it is impossible to render a copy of a verbal artifact into another language, let alone a copy that would correspond precisely to the original in all its parts. Given the difference between languages, with which so many other differences are connected, there is no other option but to produce an imitation, a whole composed of parts obviously different from the parts of the original. Yet, as far as the effect of the text is concerned, that whole would come as close as possible to the original as the difference immaterial allows. Such an imitation no longer claims to be the work itself, and in no way should the spirit of the original language be represented in it and be active in it. On the contrary, many things are bartered for the foreignness that spirit has produced. A work of this kind should merely be the same thing for its readers as the original was for its own readers, as much as possible and as far as the difference in language, morals, and education allows. The identity of the original is abandoned in favor of analogy of impression. The imitator does not try to bring the two parties concerned, the writer and the reader of the imitation, together in any way because he does not think a direct relationship between them is possible. He merely wants to produce an impression on the reader that is similar to the impression the original must have made on its contemporaries who read it in their own language. Paraphrase is more current in the domain of scholarship, imitation in that of art. Just as everyone confesses that a work of art loses its tone, its brilliance, its whole artistic essence in paraphrase, so too no one has, as yet, undertaken the foolish task of producing an imitation of a scholarly masterpiece that would treat its contents freely. Both methods; however, fail to satisfy the person who, permeated by the value of a

foreign masterpiece, wishes to extend its operational radius to those who speak his language and keeps the stricter concept of translation in mind. Neither method will therefore be subjected to closer scrutiny here, since both deviate from this concept; They were discussed only because they mark the boundaries of the field that is our real concern.

What of the genuine translator, who wants to bring those two completely separated persons, his author and his reader, truly together, and who would like to bring the latter to as correct and complete an understanding of the original as possible without inviting him to leave the sphere of his mother tongue? What roads are open to him? In my opinion there are only two. Either the translator leaves the author in peace, as much as possible, and moves the reader toward him. Or he leaves the reader in peace, as much as possible, and moves the author toward him. The two roads are so completely separate that the translator must follow one or the other as assiduously as possible, and any mixture of the two would produce a highly undesirable result, so much so that the fear might arise that author and reader would not meet at all. The difference between the two methods must be immediately obvious, just as obvious as the relationship that exists between them. In the first place the translator, through his work, tries to replace for the reader the understanding of the original language that reader lacks. He tries to communicate to his readers the same image, the same impression his knowledge of the original language has allowed him to acquire of the work as it stands. In so doing he tries to move his readers toward his own point of view, which is essentially foreign to them. Yet if a translation wants to make its Roman author, say, speak the way he would have spoken to Germans if he had been a German, it does not merely move the author to where the translator stands, because the author does not speak German to the translator, but Latin. Rather it drags him directly into the world of the German readers and transforms him into their equal, and that is precisely the case under discussion. The first translation will be perfect in its kind when it can be said that if the author had learned German as well as the translator has learned Latin he would not have translated the work he originally wrote in Latin any differently than the translator has done. But the second translation, which does not show the author as he himself would have translated, but as he would have originally written in German if he had been a German, can have one measure of perfection only. It will be perfect if it could be certified that the original would have meant exactly the same thing as the translation now means to all German readers if those readers could be changed into experts who lived at the same time as the author. In other words, the translation will be perfect if it can be certified that the author has changed himself into a German. This opposition makes it immediately obvious that the procedure must be different in every detail and that everything would become unintelligible as well as unpalatable if the translator tried to switch methods in the course of one and the same project. I would merely like to add that there cannot be a third method with a precisely delimited goal over and above these two. The two parties who are separated must either meet at a certain point in the middle, and that will always be the translator, or else one must join up with the other completely. Only the first of these two possibilities belongs in the field of translation. The other one would be realized if, in our case, the German readers totally mastered Latin, or rather, if that language totally mastered them to the extent of actually transforming them. Much has been said about translations that follow the letter and translations that follow the sense, faithful translation and free translation and whatever other expressions may have become current. Yet these supposedly various methods must all be reduced to the two methods mentioned above, even though the faithful translation that follows the sense or the translation that is too free or too literal will not be the same according to one method as it is according to the other, if we want to talk about merits and mistakes. It is my intention, therefore, to put aside all problems related to this matter, which have been discussed by specialists, and to observe only the most general features of these two methods in order to reveal their particular advantages and disadvantages, the limits of their applicability and the ways in which they best reach the goal of translation. After such a general survey two things would remain to be done, and this essay can be no more than an introduction to them. Matters would be clarified even more if a set of rules could be designed for both methods, taking into consideration the different genres of speech. Furthermore, the best attempts produced according to either method could be judged and compared. But I must leave both of these tasks to others, or at least to another

occasion.

[...]

But we have dealt with what is strange at too great length and it must seem as if we have been talking about writing in foreign languages rather than translating from them. The case, then, is simply this: if it proves to be impossible to write something in a foreign language that is worthy of and in need of translation as an art, or if this is a rare and miraculous exception at least, we cannot set up as a rule for translation that it should imagine how the writer himself would have written precisely what he has written in the translator's language since there are few examples of bilingual authors for the translator to follow. On the contrary, the translator will have to rely almost totally on his own imagination for all works that do not resemble light entertainment or commercial transactions. Indeed, what objection could possibly arise if the translator were to tell the reader: here is the book just as the author would have written it if he had written in German, and if the reader were to reply: I am much obliged to you, just as I would have been if you had brought me a picture of the author just as he would have looked if his mother had conceived him by another father? If the writer's particular spirit is the mother of works of art and scholarship in a higher sense, his national language is the father. Artificial writings, on the other hand, lay claim to secret insights nobody possesses and can be enjoyed without inhibition only as a game.

---- Schleiermacher, *Über die verschiedenen Methoden des Übersetzens* ("On the Different Methods of Translating")²²

附：（另一种英译）

The interpreter performs his duties in the world of business, the translator proper primarily in the field of science and art. If you find my definitions arbitrary, since interpreting is generally understood to be more the oral and translation more the written form, they are to be excused in this case, not only because the terms conveniently meet present needs, but even more so because there is not all that great a difference between the two. The written word is suited to art and science, since it alone can enable their works to endure; to interpret what is produced by science or art from mouth to mouth would be as useless as it would seem to be impossible. For business, on the other hand, writing is only a *mechanical* means; the oral transaction is here the original, and any written interpretation is actually only a record of what has transpired orally.

[...] But where does the significant difference lie, the difference which becomes clear to all even in borderline cases but is the most glaring in extreme cases? Someone in the business world deals largely with visible things, or at least with things which are determined as precisely as possible; all transactions have to a certain extent an arithmetic or geometric character; numbers and measurements are a constant help. Even those concepts which, as the ancients used to say, encompass both more and less and are designated by a progression of words which fluctuate in terms of use and disuse in everyday life are subject to laws and habit and soon become fixed in use as individual words. Unless the speaker intentionally effects hidden ambiguities for the purpose of deceit or errs for lack of thinking, anyone who knows the subject and the language should have no problem understanding him. Only insignificant variations will occur in each case in use of the language. Similarly, there can seldom be any doubt as to what expression in one language will correspond to what expression in another language, any doubt, that is, which cannot be resolved in short order. To execute a transfer in this field is thus almost solely a mechanical business (*italics added by author*), which anyone having a moderate knowledge of two languages can perform and where there is little difference between bad and good, provided obvious mistakes are avoided. If the products of art and science are to be transplanted from one language to another, however, two forces come into play which change the relationship completely. If a word in one language corresponded exactly to a word in another language and expressed the same concept on the same scale, if their inflections represented the same relationships and their conjunctions were

indistinguishable, so that the languages actually differed only in the way they sounded, then all translation in the field of art and science would be as purely *mechanical* as that in the business world, insofar as imparting knowledge of the content of a speech or written work was concerned. Then one could say of any translation that, except for the effects produced by sound and intonation, it placed the foreign reader in exactly the same relationship to the author and his work as that enjoyed by the native.

The second reason that *translation proper* is quite a different undertaking than mere interpreting is the following: Whenever speech is not wholly bound by visually perceptible objects or external facts, and whenever expressing them is not the only thing speech has to do, when, that is to say, the speaker is thinking more or less independently and wants only to express himself, then the speaker will have a dual relationship with his language; his speech will only be understood correctly to the extent that this relationship is perceived correctly. Every person is, on the one hand, in the power of the language he speaks; he and everything he thinks are but a product of the same. Anything outside its boundaries cannot be thought by him with full determination; the shaping of his concepts, the way and the extent to which they may be linked to one another, are pre-programmed by the language in which he is born and raised; his intellect and imagination are bound by it. On the other hand, however, any free-thinking, intellectually independent person creates his language. How else would it have changed and grown from its primitive beginnings to its consummate development in science and art? [...] But the translator proper, who wants to truly bring together two completely separated persons, his writer and his reader, and who wants to help the latter understand and enjoy the former as correctly and completely as possible without making it necessary for him to step outside his native tongue, what course is he to follow? In my opinion, he can take one of two approaches. The translator can either leave the writer in peace as much as possible and bring the reader to him, or he can leave the reader in peace as much as possible and bring the writer to him. The two approaches are so totally different from one another that one or the other must be followed as strictly as possible; any mixing will necessarily produce a highly unreliable result, and the writer and reader might miss each other altogether. The difference between the two methods and their opposing natures are immediately apparent. In the first case, you see, the translator tries to let his own work substitute for the reader's lacking comprehension of the *original language*. He tries to impart to the reader the same image, the same impression he gained from his knowledge of the original language of the work, such as it is. He thus tries to transport him to its location, which, in all reality, is foreign to him. If, however, the translation is intended to make the Roman author, for example, speak as a German would have spoken and written to a German, the translation does not so much merely bring the author to meet the translation, since even to him he will speak Latin rather than German, but rather moves him directly into the world of the German readers and changes him into one of their own; this, precisely, is the second case.

---- Schleiermacher, *Über die verschiedenen Methoden des Übersetzens* ("On the Different Methods of Translating")²³

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(德) 奥古斯特·威廉·施莱格尔
August Wilhelm von Schlegel

August Wilhelm von Schlegel, 1767-1845

生平及重要译论：

奥古斯特·威廉·施莱格尔 August Wilhelm von Schlegel, 1767- 1845, 德国卓越的文学评论家、语言学家、多产翻译家和文学史学家。出生于德国汉诺威 (Hannover), 其父阿道夫·施莱格尔 (Johann Adolf Schlegel, b. 1721, d. 1793) 是当地路德宗牧师 (Lutheran pastor)。施莱格尔早年在格廷根大学 (University of Göttingen) 攻读神学和语言学, 后任波恩博物馆馆长、耶拿大学 (University of Jena) 教授和波恩大学印度语言学教授 (1818-1845), 一生致力于梵文和东方语言的研究, 造诣颇深, 自称: “如果我能为在德国建立梵语研究这个学科做些事情, 就算是幸运的了。”著有《关于文学和艺术的讲稿》等, 曾翻译多部莎士比亚剧本 (1797-1810), 至今在德国上演的莎士比亚戏剧仍使用施莱格尔的译本, 其译著被浪漫主义理论家诺瓦利斯誉为“可与《威廉·麦斯特》在小说史上的地位相比”、“新版莎士比亚的德译本甚至超过了英文原作”。此外, 他还译过西班牙的卡尔德隆 (Pedro Calderón de la Barca, 1600-1681) (1803-1809) 以及意大利一些作家的作品。施莱格尔与其弟弗里德里希·施莱格尔 (Karl Wilhelm Friedrich von Schlegel, 1772-1829, 德国著名文学理论家、作家、语言学家、德国浪漫主义文学运动主要奠基人) 在耶拿 (Jena) 共同创办了浪漫派刊物《雅典娜神殿》(Athenaeum), 成为浪漫派进行文学创作和翻译经典名著的重要基地, 并于 1798 年组织了德国第一个浪漫主义文学派别——耶拿学派, 推崇理论建树, 后为海德堡学派所取代。

施莱格尔的翻译不拘泥于对原文的形式与内容的模仿, 而是将普通的大众德语艺术化, 在翻译中尽量体现“诗”化的翻译, 用经过思维异化了的艺术语言深入发掘原作的特质和创新。他认为语言的一切均是可译的, 坚持“翻译一切”的信念。他主张“既忠实又有诗意”, 而他的翻译理论便是一部语言诗学的理论。他强调要百分之百地尊重原文, 而且还要严格还原原诗的格律和韵脚。他的翻译原则是翻译必须准确, 必须保持原作的风格。

史料图片选辑：



August Wilhelm von Schlegel

译论史稿辑要：

(1)

Yet what I have just praised as an advantage, namely diligence and skill in translating, is rejected by many as an erroneous habit. They say that it originates in mental sluggishness and servility, and that it leads to more of the same, to the point of rendering you incapable of personal creation and invention. As opposed to this, it is easy to demonstrate that objective poetic translation is true writing, a new creation. Or if it is maintained that you should not translate at all, you would have to reply that the human mind hardly does anything else, that the sum total of its activity consists of precisely that. But it would carry us too far to develop this point here. Suffice it to say that higher artistic recreation has a nobler aim than the common craftsmanship of translation which exists only to remedy literary indigence. Its aim is nothing less than to combine the merits of all different nations, to think with them and feel with them, and so to create a cosmopolitan center for mankind.

---- Schlegel, *Geschichte der romantischen Literatur* ("History of Romantic Literature")²⁴

(2)

Over thirty years ago a writer [Wieland], who seemed least destined to become a translator because of the fertility of his own mind but who later became a classic for us in this field as well, dared to undertake the Herculean labor of translating most of Shakespeare into German for the first time. That labor was all the more Herculean then, because there were fewer aids to learning the English language, and because not much had been done to explain this often difficult and occasionally quite unintelligible poet – not even in English.

[Wieland-] was not immediately given the credit he deserved, and that is not surprising, because our theaters were still generally dominated by inspired imitations from the French, and even our best dramatic works were written completely with French models in mind. Who would have dared to imagine then that such pagan, unruly, and barbaric plays ascribed by obscure rumor to an Englishman, a certain William Shakespeare, would ever have been allowed to be shown before our eyes? Lessing, that valiant enemy of prejudice, was the first to reveal French tragic wit in its nakedness, and to emphatically defend Shakespeare's merit. He also reminded the Germans that they possessed a translation of that great poet, and that they would be able to learn from it for a long time before they would need a new one, even if the translation they had was not perfect.

To be sure he could not have foreseen what happened a few years later. The style of his own dramatic works, especially *Ermilia Galotti*, helped to make his fellow citizens more receptive to Shakespeare. Together with a few other factors, the publication of *Goetz von Berlichingen* was to usher in a whole new epoch in our theaters, for better or for worse. Not long before that, only the Englishman had been praised with a glowing eloquence that would silence his opponents even if it failed to convince them, and the truth was impressed upon us all that the entire set of rules regulating fashionable refinement simply could not be used as a yardstick to measure his creations. Only nine years after the publication of Wieland's translation the need was felt, not for a reprint, but for a better Germanization of all of Shakespeare's works. Since Wieland himself could not undertake the task it fortunately fell to one of our most learned and most discerning men of letters [Johann Joachim Eschenburg], whose sound knowledge of the language, uncommon ingenuity in explication, and assiduous care gave the translation what it had been lacking until then: overall completeness and precision of detail.

Even though the knowledge of English has spread widely in Germany, it very rarely reaches the level required if one is not to be continuously interrupted in one's pleasure, or even scared away from reading the poet altogether. How few are there among those who can read him in his entirety (that is to say, those passages excepted where the English themselves need a commentary because the words have become obsolete, the allusions unknown, or the texts corrupt) without interruption -- how few are those who can feel and recognize all the more refined beauty, the tender nuances of expression on which the harmony of poetic representation rests, with a facility equal to the one they possess in their mother tongue? How few have mastered English pronunciation to the extent that they can read the poet aloud with the required euphony and emphasis? Yet all of this greatly increases his impact, since poetry is obviously not a

silent art. Readers of Shakespeare who have passed all the tests described above would, moreover, not be adverse to relaxing on their own turf now and then, for a change, in the shadow of his works, so to speak, provided those works could be transplanted without too great a loss of their beautiful foliage. Would it not be a good thing, therefore, if we had a translation? "But we have one already, and it is complete, faithful, and good." So it is! We had to have that much to be able to wish for more. The desire for luxury follows the satisfaction of basic needs. Now the best is no longer good enough for us. If Shakespeare could and should be translated only into prose we ought to remain satisfied with what has been achieved so far. But he is a poet, also in the very connection of his words to the use of meter. If it were possible to recreate his work faithfully and poetically at the same time, if it were possible to follow the letter of his meaning step by step and yet to capture some of the innumerable, indescribable marvels that do not reside in the letter, but float above it like a breath of spirit! It would be well worth the effort.

---- Schlegel, *Etwas über Wilhelm Shakespeare bei Gelegenheit Wilhelm Meisters* ("Something About William Shakespeare on the Occasion of Wilhelm Meister")²⁵

(3)

A language must completely take the place of another, so that those common elements that cannot be regulated by means of general prescriptions can be observed in addition to its rules. All poetic translation, which aims not just at meaning in general, but rather at the most intricate connotations, remains an imperfect approximation. No proof is needed that whatever license an original poet is allowed should also be allowed in full to a poet who translates, because he finds himself in a much less favorable situation. But it is just as certain that there are fixed limits for any language, whether caused by its original nature that endures for ever, or by evolution from time immemorial. You cannot go beyond those limits without incurring the justified reproach that you are not speaking a valid language that is recognized as such, but rather a jargon of your own invention. No necessity can be adduced as a justification for this.

The problem of the extent to which the individual has the right to contribute to the improvement of language has been much discussed of late. The history of languages proves that individual writers, especially poets, are able to exert an immeasurably large influence in this matter by means of their example. Much has, moreover, initially been condemned as corrupting a language, which later entered into that very language and proved itself to be rather an ennobling factor. Proposals to introduce into a language an element that is not yet available in it, should therefore not be rejected without thorough consideration. Like all human institutions, language, that marvelous charter of our higher destiny, also strives for the better, and the individual who becomes an organ of this general desire by engaging in certain endeavors, deserves well of language. There is only one indispensable condition; that he should not demolish while engaged in the act of construction. The innovation proposed should not be allowed to contradict what is already firmly established. If a language were merely something pieced together, made up of similar or dissimilar components, a formless mass, one would be allowed to change it or add to it at will, and every enrichment would be a gain, without exception. But language is an ordered whole, or at least it is meant to be gradually growing into one. All its elements attract or reject each other according to the laws of kinship and similarity. General forms pervade it, bring matter to life and bind it together with their power. The simpler its laws, the more encompassing and coherent, the more perfectly it will be organized. The more freedom establishes itself parallel to these laws, not in opposition to them, the more a language is adapted to poetic use. Excess of positive law-giving that leaves little or no maneuvering space for the development of original dispositions is a great evil, both in language and in the state. If what is being said about the much praised plasticity of our language holds true indeed, we do not suffer from this, at least not in comparison with other languages. We realize all the more easily that we are under the obligation no longer to impose anything on it that would be contrary to its nature, that could never melt into it until it became of the same nature. To be able to model oneself on a foreign nature, in the act of recreation, is true praise only when one has to assert one's

independence at the same time and when one does, in fact, assert it.

The language-shaping artist's real domain begins, therefore, where the grammarian's judicial functions cease. There are only a few cases in which the latter is allowed to interfere with the former's business, namely when he tries to censure a use of language that is obviously wrong and whimsical, one that obtains only in certain locutions and runs counter to the general analogy. He always does so at his own risk. Every positive law of language is a matter of general consensus anyway (as is language itself), if not in its origin, then at least in its developed form, and only that same power that laid down the law is able to revoke it. The fact that one often fails to observe an inner necessity in this does not in the least detract from the status of language use. If you were to operate only with the principles of philosophical grammar, without any help from the individual, or even the whimsical, you could invent a kind of logical code notation, but never a living language. What has been irrevocably decided by consensus will prevail, even if you are able to show that chance did play a large part in the decision. You must also be aware of confusing chance events with characteristic idiosyncrasies. A law you might be inclined to think of as one of the tyrannical tricks of much maligned common usage if you observe it in isolation, often acquires a high degree of appropriateness, and even a kind of individual necessity that can be felt, rather than represented, when considered within the context of the components and the general structure of the language that promulgates that law.

---- Schlegel, *Homers Werke von Johann Heinrich Voss* ("The Works of Homer by Johann Heinrich Voss")²⁶

(4)

In my opinion all annotations of individual passages should deal with objects, not words. Shakespeare is full of obscurities. Some of them are, if not intentional, at least original and in part characteristic; they arise from the compressed style, the bold liberties, the quick transitions from one metaphor to another. Other obscurities have come into being by chance, in the course of time. In these cases the translator may take a mild turn in the direction of clarity and become a kind of practical commentator, without weakening or paraphrasing the original.

What is the aim of poetic recreation? I think it should provide those who have no access to the original with as pure and uninterrupted an appreciation of it as possible. The translator should therefore not resuscitate in the notes the problems he has already solved in the text. What use does the natural friend of poetry have for the laboriousness of textual criticism, variants, conjectures, emendations? The few learned readers able to compare will see at once which edition the translator used.

So it would seem that we need explanations of objects only for the educated reader who is not a scholar, and we should put them either under the text, or with a reference at the end of the play. But who is going to check in Volume Three? A much more important need would be met by introductions of the kind I have attempted for *Romeo and Juliet*. In every one of Shakespeare's plays the reader is transported to a strange world, and he has to acclimatize to it first. Nothing can shed more light on the poet's profound wit and the creative power of his genius than a comparison between the new material of his works, be they true or apocryphal stories, novellas, fairy tales, legends, etc. and the end result achieved by the poetic alchemist himself.

In this case one should not try to save paper, in my opinion, but give whole passages from Holinshed in a literal translation, or in extracts, as an appendix to the historical plays. Sometimes the source is known, as in the Roman plays, but few readers will be so familiar with Plutarch that they would immediately think of the exact hints supplied by the biographer Shakespeare used and developed for his characterization. It would often be as interesting as it is instructive (in the case of *King Lear*, for instance) not to be satisfied with the nearest source but to go back to the most remote source available. And what is the most remote source of these apocryphal stories? Ask about and see if any readers will be able to answer that question. This type of research occupies a middle ground between textual criticism and the artistic evaluation of the work as a whole; it may, of course, be instrumental in preparing the way for the latter.

---- Schlegel, *Schreiben an Herrn Reimer* ("Letter to Herrn Reimer")²⁷

(5)

Frenchman: Languages would be classified according to their ability to translate. I must protest against this in the name of my own language. The criterion is narrowly national in nature because the Germans translate every literary Tom, Dick, and Harry. We either do not translate at all, or else we translate according to our own taste.

German: Which is to say, you paraphrase and you disguise. Frenchman: We look on a foreign author as a stranger in our midst. He has to dress according to our customs, and behave accordingly, if he aims to please.

German: How narrow-minded of you to be pleased only by what is native.

Frenchman: Such is our nature and education. Did the Greeks not Hellenize all things too?

German: In your case it goes back to a narrow-minded nature and a conventional education. In our case education is our nature.

---- Schlegel, *Wettstreit der Sprachen* ("Argument Between Languages")²⁸

(6)

Poetic translation is a very difficult art. One could write a lengthy essay on its principles, but not without devoting much attention to both grammatical and philological detail. Allow me to make just a few observations about it here, namely that this art was invented only a few years ago, if you leave a few exceptions out of consideration, and that its invention was reserved for German fidelity and perseverance. In the first period of their history, when they modelled their language after Greek forms, and not without violence, the Romans seem to have had relatively faithful translations of Greek poems, as far as we can judge from a few fragments, even though the translations were not altogether without rough and clumsy passages. In fact, everything started with translation in their case. Later, in what is called the Golden Age of their poetry, when it had evolved its own system of diction, it seems to have lost this ability more and more, and if people were not satisfied with free imitations, as is most often the case, the translations certainly lost character and became more mannered. Greek and Latin are, moreover, closely related; one could almost think of them as dialect and standard language, and in that case poetic recreation has been known to succeed to a very high degree, and without much of an effort, as in the case of Spanish and Italian, for instance. Other nations, however, have adopted a totally conventional phraseology in poetry and made it into an unbreakable rule, so that it is totally impossible to make a poetic translation of anything whatsoever into their language -- French is an example and so is contemporary English, albeit to a lesser extent.

It is as if they want every foreigner among them to dress and behave according to the customs of the nation, and that explains why they never really get to know a foreigner. If they torture themselves to achieve the highest possible fidelity, they do so in prose, which totally changes everything: they offer us the dead parts, the living breath has gone. Literalness is a long way from fidelity. Fidelity means that the same or similar impressions are produced, for these are the heart of the matter. That is why all translations of verse into prose should be proscribed, because meter should not just be an external ornament (just as it is not, in real poems); rather it ranks among the original and essential prerequisites of poetry. Furthermore, since all metrical forms have a definite meaning, and their necessary character in a given language may very well be demonstrated (for unity of form and essence is the goal of all art, and the more they interpenetrate and reflect each other, the higher the perfection achieved), one of the first principles of the art of translation is that a poem should be recreated in the same meter, as far as the nature of the language allows. Translators are very much inclined to deviate from this, partly because it is very difficult and partly because they have grown fond of the practice as it has been accepted up to now: two very good reasons to proclaim the greatest

stringency as a general law.

---- Schlegel, *Geschichte der klassischen Literatur* ("History of Classical Literature")²⁹

51. (德) 弗里德里希·荷尔德林 Friedrich Hölderlin



Friedrich Hölderlin, 1770-1843

生平及重要译论

弗里德里希·荷尔德林 Friedrich Hölderlin[frē'drikh hōl'durlin], 1770-1843, 著名诗人、德国耶拿浪漫主义文学主要代表人物之一。出生于德国符腾堡(Württemberg)的 Lauffen am Neckar。14 岁开始作诗, 1788 年至 1793 在图本根大学(University of Tübingen)求学, 并与同学黑格尔(Georg Wilhelm Friedrich Hegel, 1770-1831)和席勒(Friedrich von Schiller, 1759-1805)结为好友。曾在德国、瑞士和法国作过家庭私人教师, 后患有严重的精神分裂症, 由一木工家庭监管 36 年至终。

荷尔德林曾对古希腊、罗马和近代英国、法国文学及哲学做过深入研究, 翻译过荷马、品达、索福克勒斯(Sophokles, 496? B.C.-406B.C.)、欧里庇得斯(Euripides, 485? B.C.-406B.C.)、维吉尔(Publius Vergilius Maro, 70B.C.-19B.C.)、贺拉斯、奥维德(Publius Ovidius Naso, 43B.C.-18A.D.)和卢康(Lucan, 39-65)等人的作品。荷尔德林的翻译观点具有哲学和诗学的特征, 而其自己最杰出的译作、所翻译的索福克勒斯的悲剧《俄狄浦斯王》(*Ödipus der Tyrann*)和《安提戈涅》(*Antigone*)则基本上采用极端的逐词对译的直译方法, 因为只有这样才能在所译的古希腊语和现代德语之间开辟一个文化和言语上的中间地带, 而这个地带既不完全属于希腊语, 又不完全属于德语, 而是更贴近所有人类语言所共有的东西。³⁰ 荷尔德林的这种翻译观点来自他所提出的“纯语言”观, 即认为人类每一种语言都是同一基本语言即所谓“纯语言”(pure language)的体现。他还借用路德《圣经》中的词语, 说这是为了

在这些古老的、大众化的语汇里寻找到人类言语的根本动力。³¹

荷尔德林的“纯语言”观点后来成为结构主义翻译观的思想基础。这里, 他承认翻译的“普遍”性文化本质, 也承认德语的更新需要经历“异的考验”。因此他主张在翻译古典作品的时候, 译者就应该冲破语言和心理方面因古老和遥远而造成的障碍, 抓住古语的意思的核心从而看到创作灵感的普遍性。当然, 他也强

调在翻译的过程中译者有必要进行一些修正和改进，以便使原作能够适应时间的迁移和读者品味的不同。

52. (德) 乌尔里克·冯·威廉莫维茨-莫伦道夫 Ulrich von Willamowitz-Moellendorff



Ulrich von Willamowitz-Moellendorff

生平及重要译论：

乌尔里克·冯·威廉莫维茨-莫伦道夫 Ulrich von Willamowitz-Moellendorff, 1848.12.22-1931.9.25, 德国古典哲学家、翻译家。威廉莫维茨曾对弗里德里希·威廉·尼采（Friedrich Wilhelm Nietzsche, 1844-1900, 德国哲学家、诗人）的代表作《悲剧的诞生》（*Birth of Tragedy*）所宣扬的的反传统思想进行过激烈的批判。尼采认为希腊艺术的繁荣并非源自希腊人内心的和谐而是源自内心由于洞悉了人生的悲剧性质而产生的痛苦与冲突。威廉莫维茨反对尼采的“超人哲学”和关于艺术拯救人生的观点，反对唯意志论的思想。

威廉莫维茨曾翻译过欧里庇得斯（Euripides, 485B.C.-406B.C.）的悲剧《希波吕托斯》（*Hippolytus*）等古典希腊作品，还著有《翻译的艺术》（*Die Kunst des Übersetzens*, 1924）等翻译理论专著。威廉莫维茨强调诗歌翻译要译出原诗的灵魂和风格，但同时他也强调原诗灵魂不能改变，而风格并非原诗的翻版，要用另一语言中相对应的风格形式来体现。因此他很推崇“真正的翻译就是灵魂的转世”（True translation is metempsychosis）。他认为翻译就是歪曲（travesty），但改变的只能是身体，保留的却是灵魂（the soul remains but it changes bodies）。（参阅下面的“译论史稿辑要”）

译论史稿辑要：

(1)

Everyone should know by now that this whole direction [of metrical translation] is wrong, that it goes against the very nature of language, because the Germanic languages, or rather all contemporary European languages, do not have long and short, but stressed and unstressed syllables. Poets have, in fact, abandoned that direction by now, and only the hexameter and the distichon, with perhaps a couple of meters taken from the odes, are still put to use occasionally, though not a single one of them has become popular.

But how should we render the poetry of antiquity? One thing must be stated first: Homer is untranslatable because we do not have an epic meter, because we do not write stories in verse. Any meter that is even slightly stanzaic

disrupts the free movement of the Homeric story, and a pair of rhymes already amounts to a distichon. But the style, too, is inimitable because of its ornamental words and because it is formulaic in many respects. Homer is not popular poetry but definitely the poetry of high art. A Homer in prose must divest himself of his jewels, in other words lose all the color of life. The dialogue of Greek drama stands a better chance, because in this case we have our classical style and a verse form that can be modified to suit comedy as well, even if we still have to find a poet who can do this for Menander. As to the epigram, one could take Goethe's distichs (rarely, I believe), but they are of no use for the Greek elegy, nor for Propertius, for instance, because they are Ovidic. And no rules at all can be given for all the poetry that was sung, for all lyrical poetry, and for the Hellenistic and Roman poetry that belongs to high art. Whoever wants to try them should, in any case, look for a German form analogous to the original in mood and style. Let him decide to what extent he can adapt himself to the form of the original. His intention as a translator will be a decisive factor, as will be his understanding of the text.

We are faced with a totally different matter when a creative poet takes up an ancient work and transforms it recreatively in his own spirit. This is quite legitimate, even great, but it is not a translation. For translation only wants to let the ancient poet speak to us clearly and in a manner as immediately intelligible as he did in his own time. He must be given words, he must speak through our mouth. "True translation is metempsychosis." This implies that the ancient poet, whose own lines lead an immortal life, must time and again cast his spirit on a new translator, because translations are mortal, indeed even short-lived. And if an old philologist who has often tried his hand at this is to say how it should be done, he can suggest how it should not be done, but for the rest he will know better than to give recipes. Necessary though it is, learning is not sufficient, not even to understand the text, and when translation is also something like the writing of poetry the Muse's help is most definitely needed.

---- Willamowitz-Moellendorff, *Die Kunst des Übersetzens* ("The Art of Translation")³²

(2)

Only a philologist can translate a work of Greek literature. Well-intentioned amateurs try time and again, but if their knowledge of the language is defective the results they achieve are bound to be unsatisfactory. Yet translation does not belong to philology. It is above all the result of philological work, but a result neither planned nor foreseen. The philologist who dutifully strives to attain a complete understanding of a poem to the best of his ability is compelled against his will to express that understanding, and when he tries to say what the poet of antiquity said he tries to do so in his own language: he translates. Such has been my experience. Many of my colleagues share this experience, and not only where poets of original greatness are concerned, but also with regard to many texts we explain, as long as they exhibit a style that is fixed. We the philologists, dry as dust, who stick to the letter and analyze grammatical subtleties, also happen to be perverse enough to love the ideas we serve with all our heart. Servants we are indeed, but servants of immortal spirits to whom we lend our mortal mouths. Is it surprising, then, that our masters are stronger than we are? Of course the road that leads from such attempts to the completion of a translation worth its salt is a long one. Inspiration of the moment is not enough; it must be supplemented by long and thoughtful work of the mind if something useful is to be produced. That, then, is no longer philology; it is no longer our craft. We cannot do without our philology in this case, but it is not enough. Yet I do not think this should deter us. Translations of Greek literature can come into being only if they are produced by us, philologists. To offer such translations to the German people is only one of the means we need to check the moral and spiritual decline our nation is moving toward at increasing speed. It is probably only a weak instrument, but only we philologists are able to give the gift of it, and we must do our duty as Germans. People do not want to know too much about us. That is their business, and for many of us the feeling is mutual. But they also do not want to know anything about the ideals we have devoted our lives to because we believe in them. That cannot leave us indifferent. Not because of our ideals: they are divine and they have proved that earthly power does not prevail against them, let alone the wild shouting of the modern mob of educators.

But it is sad to observe how one's own country turns away from ideals, not just from the Greek ideal, but from any ideal at all. Gold, sensuality, honor, these are the gods they believe in; all the rest is words. The Greek ideal -- or rather, the soul of Greece that has not died with the bodies of its people, nor will it ever -- is perfectly capable of turning our people away from this, not just esthetically and intellectually, but morally too. That is why we need it. I do not know of much that could perform the same task as well. The real Goethe, and everything that implies, certainly can, and better for many people. But to understand him, not in the sense Goethe philologists understand him, but in such a way that we can accept his wisdom as a beacon for our thoughts and actions, we need the Greek ideal more than ever because it is presupposed by that wisdom. What represents the soul of Christianity is certainly also capable of performing that task and again, for many, in a better manner. But that soul can also co-exist with the Greek ideal since that ideal is one of the roots of Christianity itself. But as long as the churches give our children the stones of the catechism and the wood of devotional songs instead of the bread of the teachings of Christ, the result will all too often be the killing in man of the inborn striving after that ideal which tolerated every symbol, but not a single lie. Perhaps this situation will improve when scholars, both those who serve Christianity and those who observe the Greek ideal, will have understood that they belong together because both the objects and the method of their research are the same or, to put it more accurately, because they should serve the same master in the same manner. It will now be clearer what I mean when I say that the Greek ideal is indispensable to us and that it will remain so. If I believe that, how could I fail to recognize my duty to do what I can to open the way to that ideal? But how? Should I sing its praises, should I go sell it door to door, should I "popularize science" in the manner of natural scientists of the common variety? Far be it from me to do any such thing. Serious people in these equivalent fields of research obviously think and act the way everybody should who knows what scholarship is: a matter of work, a pursuit among men in which only those who take part in the work are able to participate. People must receive the ideal with their own hearts, they must believe in it and live accordingly, and to be able to do that they must see for themselves, they must make it their own. To hear something about the ideal, to satisfy a passing curiosity about it, to keep a few dead notes in one's memory: all that is of no use. Philology to the philologists, but the Greek ideal, its immortal part, should be available to everyone who wants to come, see, grasp. We must not give the audience a second infusion of our scholarly work to drink, we must not add to the sour hay of general knowledge in the cribs of its beloved magazines, we should not conspire with journalists to put people's thinking in chains by means of easy slogans and ready-made judgments, as they are wont to do. What we philologists should do, as I see it, is to make the ideal itself accessible to those who are looking for it, to put it before them and to show them how they should look at it, its importance, always. In so doing we give our nation the best we have, which is just good enough, and we give what only those possess who have really understood the Greek nation, its language, and its nature. That is what we have dedicated our lives to and it cannot be bought for less. But whoever has gathered such possessions should share them with everyone who wants to have them. *Noblesse oblige*. It is in this sense that I offer my translation to the public.

It is a translation, no more, but no less either. It is not free writing: we should not be allowed to do that, even if we could. But the poet's spirit should come over us and speak with our words. The new lines should have the same effect on their readers as the old ones had in their time on their nation, and as they still have now on those who have taken the trouble to do the necessary philological work. The requirements are that high. We know very well that we only meet them to a very small extent. But on this earth we only do what is possible even though the impossible is required and we have to know the goal to find the way.

The audience thinks differently, of course: translation must be child's play since children do it, don't they? To lower the standards of education still further, translation from the Greek has superseded translation into Greek in our school examinations. Those who have seen samples of these achievements and are able to judge the success of the measure

taken know that too much is required of students on paper, so that they can do too little with impunity. Many an experienced woman teacher and many an inexperienced girl who toil so hard in the honest struggle for bread that it would make a stone weep, are given a derisory sum by publishers who argue as follows: "Those are translations: everybody can do them." They are often "done" accordingly, of course, but the audience is satisfied with them. All you need is a grammar and a lexicon, and those who know the vocabulary or have been given a B in their exam on the language in question can manage even without a grammar.

And if we cannot render a particular expression (in fact we can almost never translate a single word because two words in two languages never cover each other completely where sense is concerned, with the exception of technical terms), we can still, even in German, express mild reproach that wounds more deeply for that very reason. We can express not just the thought of a speech, but its ethos as well. "Here, too, it is important to spurn the letter and follow the spirit, to translate not words or sentences, but to take in thoughts and feeling and to express them. The dress must become new; what is in it must be kept. All good translation is travesty. To put it in more cutting terms: the soul remains but it changes bodies -- true translation is metempsychosis.

There are excellent translations from Greek into German, so we are told. That is an untruth repeated with malice or without thinking. It is understandable for enemies of our culture to say so and to base what they say on the argument that there is no need to learn Greek. They achieve their aim that way: nothing is better capable of rendering the originals unattractive than translations are. But serious people ought to be ashamed to slap truth in the face like that.

Goethe cannot be absolved from the reproach that he is mainly responsible for the vainglory of German translation and its aberrations. Not through his practice, but through his theory. All he demanded of a translation was that it should help his linguistic knowledge along -- and that knowledge was very deficient in all languages -- to the extent that he would be able to understand the original in its own stylistic dimension. The more the translation was hybrid and the more it seemed to hold on to the foreign style on the surface, the better it would perform that task -- at least for him. He would be able to see the style of the original through the translator's lack of style, or at least he thought he would be able to. He wanted the foreign form mediated; he would mediate the foreign spirit himself. Moreover, Goethe was most inclined to acknowledge superior talent wherever he encountered it. He believed what Wilhelm von Humboldt and F. A. Wolf preached to him on the duties of the translator and he also believed in the translations made by his friends.

[...]

It is very remarkable that the Romance languages are almost free from the aberrations of translating in foreign forms. That is because they possess an old culture, as well as established styles for their poetry. When Klopstock took the fateful step of wanting to become Virgil and Horace the Germans had neither a culture nor a well-shaped language, nor even a style, shaped or not. The task at hand was to create them and imitation was the means necessary to perform that task. It has been done. A number of great men have created our language and our style. They themselves had their doubts as to whether the Germans deserved that gift. Nowadays they would deny it at once, I'm afraid. But deserved or not, the language and the style are there. To translate into German means to translate into the language of our great poets, and into their style.

This is how it is: whoever wants to translate a poem must understand it. Once that condition has been met he is faced with the task of recreating what is given in a certain language, with its attendant meter and style. Innovations can be made in the recreation only to the extent that the original offered something that was new to its language, in its time.

---- preface to Willamowitz-Moellendorff's translation of Euripides' *Hippolytus*, "Was ist Übersetzen?" ("What is

53. (俄) 瓦西里·茹科夫斯基
Василий Андреевич Жуковский



54. (俄) 亚历山大·普希金
Александр Сергеевич Пушкин



Александр Сергеевич Пушкин

生平及重要译论：

亚历山大·普希金 Александр Сергеевич Пушкин, 1799-1837, 俄国伟大的人民诗人, “俄罗斯文学之父”, 著名翻译家。出身贵族家庭, 因参加与十二月党人有联系的文学团体“绿灯社”遭到流放, 在一次决斗中不幸饮弹丧生。作品有历史剧《鲍里斯·戈东诺夫》、《别尔金小说集》、长诗《叶甫盖尼·奥涅金》、小说《上尉的女儿》等。普希金反对文学为专制统治服务, 强调文学要忠实地描写生活, 重视文艺批评。

普希金曾翻译过法国诗人伏尔泰、帕尔尼、安德烈·谢尼耶以及古罗马贺拉斯、古希腊诗人阿利奥斯托等的作品, 以及《可兰经》和《圣经》的片段。普希金基本上是主张意译的, 他在自己的翻译实践中很重视保留原作的风格特征、诗体形式以及地方和时代的特点, 尤其是民族和民歌的形式。这样, 经过翻译的作品

便具有了新的感染力，使原作的艺术性增加了。他在评述法国作家夏多布里昂的直译时表达了自己的这种翻译观点。（参阅下面的“译论史稿辑要”）

译论史稿辑要

夏多布里昂几乎是一个字一个字地把弥尔顿的作品译过来的，在法语句法允许的范围内简直是再不能比这更接近原文的了 毫无疑问，夏多布里昂虽然力求一字不差地译出弥尔顿的著作，但在译文中却没有能够准确地保留意思和习惯表达法。逐字逐句的死译永远不可能忠实于原文。每一种语言都有自己的措词，自己修辞上的固定辞藻，自己固有的表达法，而这些东西是不能用相符的词汇译成另一国语文的。³⁶

55.（俄）维萨利昂·别林斯基

Виссарион Григорьевич.Белинский



Виссарион Григорьевич.Белинский, 1811-1848

生平及重要译论

维萨利昂·别林斯基 Виссарион Григорьевич.Белинский, 1811. 30 мая -1848, 俄罗斯诗人、翻译家。出身于一个军医家庭。1829 年入莫斯科大学语言系，1832 年因写反农奴制剧本被开除。曾在《望远镜》、《莫斯科观察家》、《祖国纪事》、《现代人》等杂志搞编辑工作，曾写过上千篇关于文学艺术的具有开创性的理论文章如《文学的幻想》（1834）、《论俄国中篇小说和果戈理君的中篇小说》（1835）、《艺术的观念》（1841）、《关于批评的讲话》（1842）、《给果戈理的一封信》（1847）等，对文学的本质和特点、文学的民族性、文学的形象性、文学的社会性等的见解均有见地。

关于翻译理论，别林斯基认为译文要接近原文，但接近原文是要忠实地传达原文的精神，使译文的内在生命与原文的内在生命一致，而不在于拘泥原文的词句，目的则是最大可能地“表现”原诗人及其原作。他强调理想的译文应该：1）不任意增删修改原文；2）充分保持原著特点甚至是缺点；3）充分代替原作，使读者能通过译作完全真切地了解外国原作并作出正确的评论。

别林斯基还认为翻译艺术作品，译者自己也必须是艺术家，而且强调译者要象原作者用俄文写作那样将原著译成俄文，这一点是很有创见的。（参阅下面的“译论史稿辑要”）

译论史稿辑要：

如果只涉及语言，那是很正确的；但是在其他一切方面，那就不对了。谁能猜出歌德会怎样用俄语写作呢？要做到这一点，除非猜想者本人就是歌德自己。³⁷

56.（俄）阿法纳西·阿法纳西耶维奇·费特 Афанасий Афанасьевич Фет



Афанасий Афанасьевич Фет, 1820-1892

生平及重要译论：

阿法纳西·阿法纳西耶维奇·费特Афанасий Афанасьевич Фет (Afanasy Foeth/Afanasiy Fet), 1820.5.12-1892.3.12, 十九世纪中期“纯艺术”派诗人（与“自然派”文学观念相对，宣扬“为艺术而艺术”的文学观念）的重要代表人物、翻译家，译作颇丰。

费特主张逐词翻译，注重原作的形式美，他在一篇译作的序言中明确地表达了这种观点（参阅下面的“译论史稿辑要”）。费特在自己的译作中经常使用一些怪词以避免接触“粗俗”的现实，因此他的有些译作甚至遭到友人的批评。

译论史稿辑要：

整体上的形式的美妙与天才的作品是分不开的，所以一个译者即使得以部分地做到这种整体上的形式的美妙，那也是很幸运的 但这并不是主要的任务，主要的任务是尽可能地逐字翻译，不管这种翻译在外国语言基础上显得如何累赘和生硬，敏感的读者总会在这种译文里猜出原著的力量的.....³⁸

57. (俄) 尼古拉·加夫里洛维奇·车尔尼雪夫斯基 Николай Гаврилович Чернышевский



Николай Гаврилович Чернышевский

生平及重要译论：

尼古拉·加夫里洛维奇·车尔尼雪夫斯基Николай Гаврилович Чернышевский，1828-1889，杰出的美学理论家，提出“美是生活”的重大美学命题。出生于萨拉托夫一个牧师家庭，曾就读彼得堡大学语文历史系（1846-1850），其学位论文为《艺术与现实的审美关系》（1855）。主持过《现代人》杂志，写作了一系列的重要著作，内容涉及美学、哲学、政治经济学、文学评论等方面，如《艺术与现实的审美关系》（1855）、《哲学中的人本主义原理》（1860）、《资本与劳动》（1860）等，宣传唯物主义和革命民主主义思想。1862年七月被沙皇政府逮捕，1864年放逐至西伯利亚等地，流放期间写过《怎么办？》（1863）、《序幕》（1865-1868）等长篇小说。27年后的1889年获准回乡并于同年辞世。

车尔尼雪夫斯基对翻译文学在译入语民族文学中的地位给以高度评价：

翻译文学在我们这里有很重要的意义。在普希金以前翻译文学实在比创作还重要。直到今天要解决创作文学是否压倒了翻译文学还不是那么容易哩。³⁹

车尔尼雪夫斯基强调译文的语言应该“尽量用朴实、新鲜的标准语言”，强调

忠实的翻译决不是要求在俄语的诗行里保留只有拉丁语才有的特别短语。⁴⁰

他还进一步谈到译文的大众化问题。他说：

大众通常怎样写，你就怎样写，如果你的文体里有纯朴性与人民性的活力，那这种活力自然而然就会给你的文体带来纯朴性与人民性。⁴¹

58. (俄) 杜勃罗留波夫

Николай Александрович Добролюбов



Николай Александрович Добролюбов
1836-1861

生平及重要译论：

杜勃罗留波夫 Николай Александрович Добролюбов，1836- 1861，出生于牧师家庭。曾违反父亲要他上神学院的意愿而就读于彼得堡中央师范学院历史哲学系（1853-1857），深受赫尔岑、别林斯基和车尔尼雪夫斯基著作的影响，并结识了车尔尼雪夫斯基。大学毕业后参加了《现代人》杂志的编辑，进行文学评论工作。25 岁时死于肺病。

杜勃罗留波夫在其短暂的一生中写出数十篇关于美学和哲学的论文。

杜勃罗留波夫的译论主要集中在文学翻译方面。他在评论维吉尔作品的俄译本时指出：

译者不仅要熟悉原文的语言，还要熟悉自己的母语。

他认为：

作为一部古典名著的译者，应该同时还是一名熟谙古代风俗习惯的学者。⁴²

杜勃罗留波夫认为译者的任务应该是

使读者产生原著所传达的那种情绪。⁴³

59.（英）约翰·胡卡姆·弗里尔

John Hookham Frere



John Hookham Frere, 1769-1846

生平及重要译论

约翰·胡卡姆·弗里尔 John Hookham Frere, 1769.5.21-1846.1.7, 英国外交家、作家、翻译家, 出生于伦敦, 其父为萨克福 (Suffolk) 的绅士, 其母是很有文学才气的富商的女儿。曾就读于伊顿公学 (Eton College, 1785) 和剑桥大学 (Caius College, Cambridge), 1792 年获剑桥大学学士学位, 1795 年获剑桥大学硕士学位。1796 进入外交界, 曾任英国驻葡萄牙、西班牙等国特命全权公使。晚年主要生活在马尔他, 钻研马尔他语、希伯来语和古希腊文学。

弗里尔的文学成就主要是翻译古希腊诗人、喜剧作家 (喜剧之父) 阿里斯托芬 (Aristophanes, 448?-385? B.C.), 的作品, 包括《阿卡奈人》(*The Acharnians*, 425B.C.)、《鸟》(*The Birds*, 414B.C.)、《骑士》(*The Knights*)、《蛙》(*The Frogs*) 等, 且至今仍为阿里斯托芬作品的经典翻译。在其译作的序言中, 弗里尔对古典作品的翻译进行了较为深入的阐述, 对忠实翻译和精神翻译以及思想和语言的关系进行了比较详尽的描述。(参阅下面的“译论史稿辑要”) 弗里尔的阐述基本上代表了当时的翻译思潮。

译论史稿辑要:

But even if the style of our own old comedies were suited to represent the character of the ancient Aristophanic comedy; which from the essential differences subsisting between the two genera, we think, that it is *not*; -- and even supposing that ancient style to be perfectly imitated, we should still feel an objection, arising from the very perfection of the imitation; as it would have a constant tendency to destroy that illusion which it is the object of the translator to create: the translation might be admirable but the reader would be constantly reminded that he was reading an admirable translation -- he would never be allowed to lose himself in the thoughts and images, and forget for a moment the language in which they were conveyed to him.

The language of translation ought, we think, as far as possible, to be a pure, impalpable and invisible element, the medium of thought and feeling, and nothing more; it ought never to attract attention to itself; hence all phrases that are remarkable in themselves, either as old or new, all importations from foreign languages, and quotations, are as far as possible to be avoided.

We think that licenses of this kind have in themselves a character of petulance and flippancy [...] they belong more properly to that class of translators who are denominated *Spirited Translators*, whose spirit and ability consist in substituting a modern variety or peculiarity for an ancient one, to the utter confusion of all unity of time, place, and character; leaving the mind of the reader bewildered as in a masquerade, crowded and confused with ancient and modern costumes. Of this class of translators, and of their ancient and inveterate antagonists, the *Faithful Translators*, we should wish to say something, because we think that it may tend to illustrate the principle of translation generally. The proper domain of the Translator is, we conceive, to be found in that vast mass of feeling, passion, interest, action and habit which is common to mankind in all countries and in all ages; and which, in all languages, is invested with

its appropriate forms of expression, capable of representing it in all its infinite varieties, in all the permanent distinctions of age, profession, and temperament which have remained immutable, and of which the identity is to be traced almost in every page of the author before us.

Nothing can be more convincing or more deeply astonishing than the result which must remain upon the mind of every man who has read the remains of Aristophanes with the attention which they deserve. It is evident that every shade of the human character, and the very mode in which each is manifested, remain the same; not a genius or a species is become extinct; many even which might naturally have been considered as mere accidental varieties, are still preserved, or have been reproduced.

The original author who is addressing his contemporaries must of course make use of phrases according to their conventional import; he will likewise, for the sake of immediate effect, convey his general observations in the form of local or even personal allusion. It is the office, we presume, of the Translator to represent the forms of language according to the intention with which they are deployed; he will therefore in his translation make use of the phrases in his own language to which habit and custom have assigned a similar conventional import, taking care, however, to avoid those which, from their form or any other circumstances, are connected with associations exclusively belonging to modern manners; he will likewise, if he is capable of executing his task upon a philosophic principle, endeavour to resolve the personal and local allusions into the genera, of which the local or personal variety employed by the original author is merely the accidental type; and to reproduce them in one of those permanent forms which are connected with the universal and immutable habits of mankind. The Faithful Translator will not venture to take liberties of this kind; he *renders* into English all the conversational phrases according to their grammatical and logical form, without any reference to the current usage which has affixed to them an arbitrary sense, and appropriated them to a particular and definite purpose. He retains scrupulously all the local and personal peculiarities, and in the most rapid and transient allusions thinks it his duty to arrest the attention of the reader with a tedious explanatory note. The Spirited Translator, on the contrary, employs the corresponding modern phrases; but he is apt to imagine that a peculiar liveliness and vivacity may be imparted to his performance by the employment of such phrases as are particularly connected with modern manners; and if at any time he feels more than usually anxious to avoid the appearance of pedantry, he thinks he cannot escape from it in any way more effectually than by adopting the slang and jargon of the day. The peculiarities of ancient times he endeavours to represent by substituting in their place the peculiarities of his own time and nation.

---- preface to Frere's translations of *Aristophanes*⁴⁴

60. (英) 波西·比希·雪莱 Percy Bysshe Shelley



Percy Bysshe Shelley, 1792-1822

生平及重要译论：

波西·比希·雪莱 Percy Bysshe Shelley, 1792-1822, 英国浪漫主义诗人、思想家、翻译家。曾就读伊顿公学和牛津大学。雪莱反对私有制，反对剥削，反对专制统治，因写作《无神论的必然性》（1811）被牛津大学开除，后又因为写作体现其变革现实追求美好未来的长诗《麦布女王》（1813）而不得不永久定居意大利，并在意大利结识了拜伦。1822年7月8日在赛普西亚（Sestri）航海时不幸船翻落水溺死，年仅30岁。

雪莱的主要著作还有长诗《伊斯兰的起义》（*The Revolt of Islam*, 1818）、《朱利安和麦代洛》（*Julian and Maddalo*, 1818）、《解放了的普罗米修斯》（*Prometheus Unbound*, 1819）、《致英国人之歌》（*Song to the Men of England*, 1819）、《十四行诗：一八一九年的英国》（*England in 1819*, 1819）、《专制暴君的化装舞剧》（*The Mask of Anarchy*, 1819）、《西风颂》（*Ode to the West Wind*, 1819）、《致云雀》（*Ode to a Skylark*, 1820）、《希腊》（*Hellas*, 1822）等。

作为诗人，雪莱非常强调诗歌的思想内涵，也因此强调诗歌翻译的几乎不可克服的困难，因为诗歌翻译重在译出诗歌的韵味和诗人的创作，而这就像是没有种子就难以结果一样的困难。

译论史稿辑要：

Sounds as well as thoughts have relation both between each other and towards that which they represent, and a perception of the order of these relations has always been found connected with a perception of the order of the relations of thought. Hence the language of poets has ever affected a sort of uniform and harmonious recurrence of sound, without which it were not poetry, and which is scarcely less indispensable to the communication of its influence, than the words themselves without reference to that peculiar order. Hence the vanity of translation; it were as wise to cast a violet into a crucible that you might discover the formal principles of its colour and odour, as seek to transfuse from one language into another the creations of a poet. The plant must spring again from its seed or it will bear no flower -- and this is the burthen and the curse of Babel.

---- Shelley, *A Defence of Poetry*⁴⁵

61. (英) 托马斯·卡莱尔 Thomas Carlyle



Thomas Carlyle, 1795-1881

生平及重要译论：

托马斯·卡莱尔 Thomas Carlyle, 1795-1881, 英国著名作家、散文家、历史学家、翻译家，被称为“切尔西的圣哲”（切尔西为伦敦文人名士聚集地）。出生于苏格兰南部邓弗里斯郡的埃克费杉（Ecclefechan Dumfriesshire, Scotland），其父是石匠。毕业于爱丁堡大学（Edinburgh University）（1814），研习艺术、数学及法律，毕业后从事教学与写作。1834 移居英国伦敦，后任爱丁堡大学校长。死后遵其遗嘱不葬威斯敏斯特大教堂而是葬于其故乡的教堂墓地（Church Cemetery, Main Street, Ecclefechan, Scotland）其母墓旁。

卡莱尔曾翻译过德国歌德和席勒等人的作品并著有《席勒传》（*The Life of Schiller*）（1825）一书。卡莱尔著作颇多，其著作多关注社会现实并针砭时弊，著有三卷本《法国革命》（*The French Revolution*, 1837）、《论英雄、英雄崇拜和历史上的英雄业绩》（*On Heroes, Hero Worship and the Heroic in History*, 1841）、《过去与现在》（*Past and Present*, 1843）、六卷本《腓特烈大帝史》（*History of Frederick the Great*, 1858-65）、《回忆录》（*Reminiscences*, 1881）等三十余部著作。

卡莱尔以其文学风格蜚声世界文坛。英语中有 Carlylism（“卡莱尔的风格”）一词，即指卡莱尔善用对话方式和不规则长句，并在英语中使用新词和德语词，以及大量使用比喻和典故等。

卡莱尔深受德国哲学思想和语言的影响，在其翻译实践中他也将德语的表达方式用于加工改造英语，这有利于通过翻译丰富语言的表现力，促进语言的发展。他崇尚德国的翻译，认为德国的翻译在精神上忠实于原作而不拘泥于原作的形式，值得英语国家去模仿。

译论史稿辑要

Two centuries ago, translations from the German were comparatively frequent in England: Luther's *Table-Talk* is still a classic in our language; nay, Jacob Böhme has found a place among us, and this not as a dead letter, but as a living apostle to a still living sect of our religionists. In the next century, indeed, translation ceased; but then it was, in a great measure, because there was little worth translating.

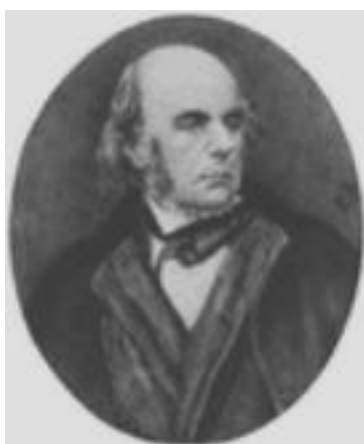
Translators are of the same faithless and stolid race that they have ever been: the particle of gold they bring us over is hidden from all but the most patient eye, among shiploads of yellow sand and sulphur. Gentle Dulness, too, in this as in all other things, still loves her yoke. The Germans, though much more attended to, are perhaps not less mistaken than before.

The Germans study foreign nations in a spirit which deserves to be oftener imitated. It is their honest endeavour to

understand each, with its own peculiarities, in its own special manner of existing; not that they may praise it, or censure it, or attempt to alter it, but simply that they may see its manner of existing as the nation itself sees it, and so participate in whatever worth or beauty it has brought into being. Of all literatures, therefore, the German has the best as well as the most translation.

---- Carlyle, "The State of German Literature"⁴⁶

62. (英) 爱德华·菲茨杰拉德 Edward Fitzgerald



Edward FitzGerald, 1809-1883

miniature portrait by Eva Rivett-Carnac

after a photograph of 1873

生平及重要译论

爱德华·菲茨杰拉德 Edward Fitzgerald, 1809-1883, 英国作家、翻译家, 一生的大部分时间在萨克福 (Suffolk) 附近隐居。曾就读剑桥大学三一学院 (Trinity College, Cambridge), 与萨克雷 (William Madepeace Thackeray, 1811-1863) 和丁尼生同窗并结下深厚友谊。

菲茨杰拉德曾翻译过古希腊悲剧大师埃斯库罗斯 (Aiskhylos, 525B.C.-456B.C.) 和索福克勒斯 (Sophokles, 496B.C.-406B.C.) 的众多作品及西班牙卡尔德隆 (Pedro Calderón de la Barca, 1600-1681) 的《卡尔德隆戏剧六部》*Six Dramas of Calderón* (1853), 而其最为著名的译作为译自波斯语的 12 世纪波斯著名作家莪默尔·伽亚谟 (Omar Khayyám, 1050-1123) 的诗集《鲁拜集》(*Rubáiyát*) (1859)。菲茨杰拉德曾对译本三次进行修订 (1868, 1872, 1879), 共译诗 101 首。他在翻译波斯诗歌时, 进行了去粗存精的改编加工, 根据自己的想象和适合英语读者的方式来传递原诗的情调和思想, 但又同时刻意模仿原诗的格律, 力求传神, 译语优雅, 并由此开创英语的五音步四行诗。由于其出色的翻译, 其翻译的《鲁拜集》成为英国最为优秀的译作之一, 被列为“世界文学名著”。

译论史稿辑要:

(1)

The original Rubaiyat (as, missing an Arabic Guttural, these *Tetrastichs* are more musically called) are independent stanzas, consisting of four lines of equal, though varied prosody, sometimes *all* rhyming, but oftener (as here attempted) the third line suspending the Cadence by which the last atunes with the former two. Something as in the Greek Alcaic, where the third line seems to lift and suspend the wave that falls over the last. As usual with such kind of Oriental Verse, the Rubaiyat follow one another according to Alphabetic Rhyme -- a strange Farrago of Grave and Gay. Those here selected are strung into something of an Eclogue, with perhaps a less than equal proportion of the "Drink and make merry," which (genuine or not) recurs over-frequently in the Original.

---- preface Fitzgerald's *Rubáiyát of Omar Khayyám*⁴⁷

(2)

It is an amusement for me to take what liberties I like with these Persians, who (as I think) are not Poets enough to frighten one from such excursions, and who really do want a little Art to shape them.

---- Fitzgerald's letter to E. B. Cowell⁴⁸

63. (英) 丹特·加布里埃尔·罗塞蒂 Dante Gabriel Rossetti



Dante Gabriel Rossetti, 1828-1882

生平及重要译论：

丹特·加布里埃尔·罗塞蒂 Dante Gabriel Rossetti, 1828.5.12-1882.4.9, 英国诗人、画家, “前拉斐尔派” (Pre-Raphaelites) 主要代表人物, “前拉斐尔派社” (Pre-Raphaelite Brotherhood) 主要创始人 (1848), 崇尚早期文艺复兴时期的意大利艺术, 追求“唯美主义”的“纯美”意境。十九岁时创作的诗歌《圣女》(*The Blessed Damozel*, 1847) 便展现出其出众的才华。其油画也曾被伦敦泰特美术馆 (Tate Gallery, London) 所收藏。他的作品受到很大争议, 使他的健康也受到很大影响, 晚年在疾病中过着隐居生活。

作为艺术家, 罗塞蒂特别强调诗歌的美, 强调诗歌翻译中美的体现。因此, 他坚决反对逐词翻译, 但又强调对原作的忠实。他认为直译决不能与忠实相提并论。此外, 他还注意到译者的地位和角色, 强调译者的“自我否定” (self-denial)。而其所描述的“自我否定”也成为人们论述翻译理论时经常引用的一个词语。(参阅下面的“译论史稿辑要”及塞弗里一节的“译论史稿辑要”)

译论史稿辑要：

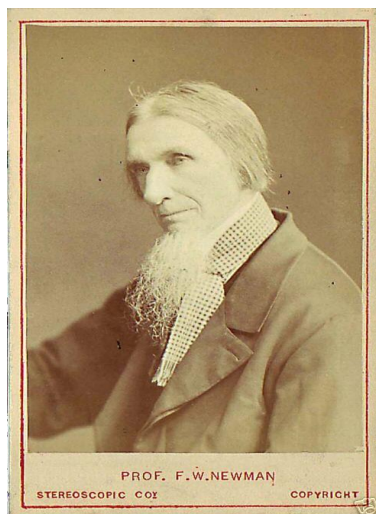
A translation (involving as it does the necessity of settling many points without discussion) remains perhaps the most direct form of commentary.

The life-blood of rhythmical translation is this commandment: that a good poem shall not be turned into a bad one. The only true motive for putting poetry into a fresh language must be to endow a fresh nation, as far as possible, with one more possession of beauty. Poetry not being an exact science, literalness of rendering is altogether secondary to this Chief law. I say *literalness*, -- not fidelity, which is by no means the same thing. When literalness can be combined with what is thus the primary condition of success, the translator is fortunate, and must strive his utmost to unite them; when such an object can only be attained by paraphrase, that is his only path.

The task of the translator (and with all humility be it spoken) is one of some self-denial. Often would he avail himself of any special grace of his own idiom and epoch, if only his will belonged to him; often would some cadence serve him but for his author's structure -- some structure but for his author's cadence: often the beautiful turn of a stanza must be weakened to adopt some rhyme which will tally, and he sees the poet revelling in abundance of language where himself is scantily supplied. Now he would slight the matter for the music, and now the music for the matter; but no, he must deal to each alike. Sometimes too a flaw in the work galls him, and he would fain remove it, doing for the poet that which his age denied him; but no, -- it is not in the bond. His path is like that of Aladdin through the enchanted vault: many are the precious fruits and flowers which he must pass by unheeded in search for the lamp alone; happy if at last, when brought to light, it does not prove that his old lamp has been exchanged for a new one, glittering indeed to the eye, but scarcely of the same virtue nor with the same genius as it summons.

---- Dante Gabriel Rossetti's *Dante and His Circle*⁴⁹

64. (英) 弗朗西斯·威廉·纽曼 Francis William Newman



生平及重要译论：

弗朗西斯·威廉·纽曼 Francis William Newman，1805.6.27-1897.10.7，出生于伦敦。伦敦大学（University College, London）拉丁语教授，荷马翻译家。其翻译的《伊利亚特》曾引发了一场与马修·阿诺德的论争。19世纪50年代，纽曼翻译出版了荷马的《伊利亚特》。不久，该译作便受到阿诺德的激烈批评。随后纽曼发表了《论翻译荷马作品的理论与实践：答马修·阿诺德先生》（*Homeric Translation in Theory and Practice: A Reply to Matthew Arnold Esq.*）（1861）予以反驳。

他认为阿诺德的翻译虽有佳译之处，但整体来看非常糟糕，必须重新翻译：

阿诺德先生说荷马的风格一点也不平淡无奇，可是他自己的译文却使我绝望……因为在我看来，他的译作恰恰是一部平淡无奇的选集。⁵⁰

他还说：

阿诺德似乎把古词视作不体面的词。像以往一样，我认为他从根本上错了。一般地说，较崇高的言词都是由古代风格产生的。⁵¹

纽曼在《论翻译荷马作品的理论与实践：答马修·阿诺德先生》一书中除逐条驳斥了阿诺德对自己的攻击之外，还针锋相对地明确了自己的翻译观点，主要有两点：

1）对于忠实于原作的问题，纽曼认为忠实于原文乃是要“保留原作的每一个特征”，译文要忠实于原文的意思和风格。荷马是古人，荷马史诗是古典作品，翻译荷马的作品就要体现出古人和古典作品的特征，要用古典的词语译古典的词语，风格也要保留复杂的古典风格，绝不能象阿诺德那样改用六韵步诗行（hexameters）。纽曼本人即是古典主义者，他认为比较崇高的词语都是由古典风格产生的。他强调说：

保留原作的所有特征乃是忠实于原文。⁵²

2）对于译作的评价问题，纽曼认为普通大众有权评判译作，评判译作的标准应该是普通大众对译作的感应，而不应该是纯粹的学术标准。特别是作品的品味，更应该由普通大众来做出判断，而不是学者，整个学者群体是不能判断的，单一学者就更不能了。他认为学者只能

评定作品的学识，而对于作品的意味则只有受过教育但无学识的公众才有权评价。⁵³

对此，纽曼强调：

评价某人是否渊博，学者是最好的裁判，但要评判翻译的品位，有一定文化的大众才是真正的裁判，他们也正是我翻译要满足的对象。作为群体的学者无法对此进行评判，更不用说某单个的学者了。

54

译论史稿辑要：

（1）

One of these is, that the reader ought, if possible, to forget that it is a translation at all, and be lulled into the illusion that he is reading an original work. Of course a necessary inference from such a dogma is, that whatever has a foreign

colour is undesirable and is even a grave defect. The translator, it seems, must carefully obliterate all that is characteristic of the original, unless it happens to be identical in spirit to something already familiar in English. From such a notion I cannot too strongly express my intense dissent. I am at precisely the opposite; -- to retain every peculiarity of the original, so far as I am able, *with the greater care, the more foreign it may happen to be*, -- whether it be a matter of taste, of intellect, or of morals. [...] the English translator should desire the reader always to remember that his work is an imitation, and moreover is in a different material; that the original is foreign, and in many respects extremely unlike our native compositions.

---- F.W. Newman, (ed. and trans.) *The Iliad of Homer*⁵⁵

(2)

IT is so difficult, amid the press of literature, for a mere versifier and translator to gain notice at all, that an assailant may even do one a service, if he so conduct his assault as to enable the reader to sit in intelligent judgment on the merits of the book assailed. But when the critic deals out to the readers only so much knowledge as may propagate his own contempt of the book, he has undoubtedly immense power to dissuade them from wishing to open it.

Mr. Arnold writes as openly aiming at this end. He begins by complimenting me, as “a man of great ability and genuine learning;” but on questions of learning, as well as of taste, he puts me down as bluntly, as if he had meant, “a man totally void both of learning and of sagacity.” He again and again takes for granted that he has “the scholar” on his side, “the living scholar,” the man who has learning and taste without pedantry. He bids me please “the scholars,” and go to “the scholars’ tribunal;” and does not know that I did this, to the extent of my opportunity, before committing myself to a laborious, expensive and perhaps thankless task. Of course he cannot guess, what is the fact, that scholars of fastidious refinement, but of a judgment which I think far more masculine than Mr. Arnold’s, have passed a most encouraging sentence on large specimens of my translation. I at this moment count eight such names, though of course I must not here adduce them: nor will I further allude to it, than to say, that I have no such sense either of pride or of despondency, as those are liable to, who are consciously isolated in their taste.

Scholars are the tribunal of Erudition, but of Taste the educated but unlearned public is the only rightful judge; and to it I wish to appeal. Even scholars collectively have no right, and much less have single scholars, to pronounce a final sentence on questions of taste in their court. Where I differ in Taste from Mr. Arnold, it is very difficult to find “the scholars’ tribunal,” even if I acknowledged its absolute jurisdiction: but as regards Erudition, this difficulty does not occur, and I shall fully reply to the numerous dogmatisms by which he settles the case against me. But I must first avow to the reader my own moderate pretensions. Mr. Arnold begins by instilling two errors which he does not commit himself to assert. He says that my work will *not* take rank as *the* standard translation of Homer, but *other translations will be made*: — as if I thought otherwise! If I have set the example of the right direction in which translators ought to aim, of course those who follow me will improve upon me and supersede me. A man would be rash indeed to withhold his version of a poem of fifteen thousand lines, until he had, to his best ability, imparted to them all their final perfection. He might spend the leisure of his life upon it. He would possibly be in his grave before it could see the light. If it then were published, and it was founded on any new principle, there would be no one to defend it from the attacks of ignorance and prejudice. In the nature of the case, his wisdom is to elaborate in the first instance all the high and noble parts *carefully*, and get through the inferior parts *somehow*; leaving of necessity very much to be done in successive editions, if possibly it please general taste sufficiently to reach them. A generous and intelligent critic will test such a work mainly or solely by the most noble parts, and as to the rest, will consider whether the metre and style adapts itself naturally to them also.

Next, Mr. Arnold asks, “Who is to assure Mr. Newman, that when he has tried to retain every peculiarity of his original, he has done that for which Mr. Newman enjoins this to be done,—adhered closely to Homer’s manner and

habit of thought? " Evidently the translator needs more "practical directions than these." The tendency of this is, to suggest to the reader that I am not aware of the difficulty of rightly applying good principles; whereas I have in this very connection said expressly, that even when a translator has got right principles, he is liable to go wrong in the detail of their application. This is as true of all the principles which Mr. Arnold can possibly give, as of those which I have given; nor do I for a moment assume, that in writing fifteen thousand lines of verse I have not made hundreds of blots.

At the same time Mr. Arnold has overlooked the point of my remark. Nearly every translator before me has *knowingly, purposely, habitually* shrunk from Homer's thoughts and Homer's manner. The reader will afterwards see whether Mr. Arnold does not justify them in their course. It is not for those who are purposely unfaithful to taunt me with the difficulty of being truly faithful.

I have alleged, and, against Mr. Arnold's flat denial, I deliberately repeat, that Homer rises and sinks with his subject, and is often homely or prosaic. I have professed as my principle, to follow my original in this matter. It is unfair to expect of me grandeur in trivial passages. If in any place where Homer is *confessedly* grand and noble, I have marred and ruined his greatness, let me be reproved. But I shall have occasion to protest, that Stateliness is not Grandeur, Picturesqueness is not Stately, Wild Beauty is not to be confounded with Elegance: a Forest has its swamps and brushwood, as well as its tall trees.

The duty of one who *publishes* his censures on me is, to select noble, greatly admired passages, and confront me both with a prose translation of the original (for the public cannot go to the Greek) and also with that which he judges to be a more successful version than mine. Translation being matter of compromise, and being certain to fall below the original, when this is of the highest type of grandeur; the question is not, What translator is perfect? but, Who is least imperfect? Hence the only fair test is by comparison, when comparison is possible. But Mr. Arnold has not put me to this test. He has quoted two very short passages, and various single lines, half lines and single words, from me; and chooses to *tell* his readers that I ruin Homer's nobleness, when (if his censure is just) he might make them *feel* it by quoting me upon the most admired pieces. Now with the warmest sincerity I say, — If any English reader, after perusing my version of four or five eminently noble passages of sufficient length, side by side with those of other translators, and (better still) with a prose version also, finds in them high qualities which I have destroyed; I am foremost to advise him to shut my book, or to consult it only (as Mr. Arnold suggests) as a schoolboy's "help to construe," if such it can be. My sole object is, to bring Homer before the unlearned public: I seek no self-glorification: the sooner I am superseded by a really better translation, the greater will be my pleasure.

...

I have elsewhere insisted, but I here repeat, that for a long poem a trochaic beginning of the verse is most unnatural and vexatious in English, because so large a number of our sentences begin with unaccented syllables, and the vigour of a trochaic line eminently depends on the purity of its initial trochee. Mr. Arnold's feeble trochees already quoted (from *Béttween* to *Tó a*) are all the fatal result of defying the tendencies of our language.

If by a happy combination any scholar could compose fifty *such* English hexameters, as would convey a living likeness of the Virgilian metre, I should applaud it as valuable for initiating schoolboys into that metre: but there its utility would end. The method could not be profitably used for translating Homer or Virgil, plainly because it is impossible to say for whose service such a translation would be executed. Those who can read the original will never care to read *through* any translation; and the unlearned look on all, even the best hexameters, whether from Southey, Lockhart or Longfellow, as odd and disagreeable prose. Mr. Arnold deprecates appeal to popular taste: well he may! Yet if the unlearned are to be our audience, we cannot defy them. I myself, before venturing to print, sought to ascertain how unlearned women and children would accept my verses. I could boast how children and half-educated women have extolled them; how greedily a working man has inquired for them, without knowing who was the translator; but I well know that this is quite insufficient to establish the merits of a translation. It is nevertheless *one*

point. "Homer is popular," is one of the very few matters of fact in this controversy on which Mr. Arnold and I are agreed. "English "hexameters are not popular," is a truth so obvious, that I do not yet believe he will deny it. Therefore, "Hexameters are not the metre for translating " Homer."

...

So much of metre. At length I come to the topic of Diction, where Mr. Arnold and I are at variance not only as to taste, but as to the main facts of Greek literature. I had called Homer's style quaint and garrulous; and said that he rises and falls with his subject, being prosaic when it is tame, and low when it is mean. I added no proof; for I did not dream that it was needed. Mr. Arnold not only absolutely denies all this, and denies it without proof; but adds, that these assertions prove my incompetence, and account for my total and conspicuous failure. His whole attack upon my diction is grounded on a passage which I must quote at length; for it is so confused in logic, that I may otherwise be thought to garble it, pp. 34, 35.

...

if the living Homer could sing his lines to us, they would at first move in us the same pleasing interest as an elegant and simple melody from an African of the Gold Coast; but that, after hearing twenty lines, we should complain of meagreness, sameness, and *loss of moral expression*; and should judge the style to be as inferior to our own oratorical metres, as the music of Pindar to our third-rate modern music.

[...]

I shall now speak of the peculiarities of my diction, under three heads: 1. old or antiquated words; 2. coarse words expressive of outward actions, but having no moral colour; 3. words of which the sense has degenerated in modern days.

---- F.W. Newman, *Homeric Translation in Theory and Practice: A Reply to Matthew Arnold Esq*⁵⁶

65. (英) 马修·阿诺德 Matthew Arnold



Matthew Arnold, 1822-1888

生平及重要译论

马修·阿诺德 Matthew Arnold, 1822-1888, 英国维多利亚时代的优秀诗人、文学评论家、教育家和翻译家, 牛津大学诗学教授, 曾任教育督学。出生于 Laleham。其著名诗作主要是四十岁之前所做, 以后便主要从事文学、文化评论及神学研究。著有抒情诗集《多佛滩》(*Dover Beach*, 1867)、叙事诗《邵莱布和罗斯托》(*Sohrab and Rustum*, 1853) 和《吉卜赛门徒》(*The Scholar Gipsy*, 1853), 及论著《文化与无政府状态》(*Culture and Anarchy*, 1869)、《文化与教条》(*Literature and Dogma*, 1873) 及《批评文集》(1865; 1885)《当代批评功能》、《诗的研究》、《凯尔特文学研究》等。关于翻译的论述则主要见于《论翻译荷马史诗》(*On Translating Homer*, 1861) 和《再论翻译荷马史诗: 答弗朗西斯·纽曼》(*Last Words on Translating Homer: A Reply to Francis W. Newman*, 1862) 等长篇论文中。

阿诺德与纽曼在历史上曾发生一场关于翻译理论的大论争, 这是发生在两个学者之间的激烈的大论争。论争主要是在翻译的原则、翻译的技巧和对于翻译的观察角度等方面展开的。时任伦敦大学教授的纽曼从为一般读者的翻译目的和保持原作古典风格的翻译原则出发翻译了荷马的《伊利亚特》。不久, 阿诺德便写出了《论翻译荷马史诗》(*On Translating Homer*, 1861), 对纽曼的译作及所写序言进行了言辞激烈的评论。评论涉及的不仅是荷马史诗的翻译问题, 还深入到很多翻译理论和语言知识。纽曼随后发表了《论翻译荷马作品的理论与实践: 答马修·阿诺德先生》(*Homeric Translation in Theory and Practice: A Reply to Matthew Arnold Esq.*, 1861) 予以激烈的反击。阿诺德遂又发表了《再论翻译荷马史诗: 答弗朗西斯·纽曼》, 坚持自己的观点。

实际上, 阿诺德不仅仅是为了批评纽曼, 而是为了阐述其有别于纽曼的翻译思想, 因此在他的文章中比较系统地论及翻译的众多方面包括诗的翻译艺术, 同时受到评论的还有查普曼、蒲伯、柯柏等。阿诺德的论述主要涉及六个方面的翻译问题:

1) 忠实于原作的问题。纽曼强调译者要不折不扣地忠实于原作, 要保留原作的每一特征 (*every peculiarity of the original*); 阿诺德则强调要重视发挥译语的特点, 不能拘泥于对于原文字面上和风格上的忠实, 不能拘泥于古典诗文中的那些陈旧的词汇。可以看出, 阿诺德是主张灵活的意译的。他认为译者

必须在必要时毫不犹豫地牺牲在字面上对原作的忠实, 不担直译的风险, 产生出怪诞和不自然的结果。⁵⁷

2) 译者的文学鉴赏力。阿诺德主张译诗一定要有诗人的气质和鉴赏力。译者自己具有诗的鉴赏力才能译好诗, 否则就会照搬原文, 损害原文的意境。阿诺德认为纽曼就存在着这种欠缺, 因此纽曼的译作应该重新翻译:

纽曼先生被他对荷马的语言学知识所困惑, 被他自己的学识所妨碍, 因而没有看到荷马的作品是诗。

因此纽曼的译本自然“不能当作荷马的标准译本”。⁵⁸

3) 以诗译诗。翻译史诗, 就要保留史诗的特征, 译文就必须也像诗。

4) 译作的感染力。译者的第一责任不应是机械地忠实于原文的每一特征, 而应该是再现原作的感染力, 使译作与原作具有相同的感染力, 从而使译文读者得到与原文读者相同的感受。

5) 正确理解原文的特点。阿诺德认为, 要正确理解原文的特点。翻译荷马, 就必须首先正确地了解荷马的特点, 这是正确翻译的前提。他认为, 纽曼对荷马特征的定义是不正确的。针对纽曼在其译本序言中所说: “荷马的风格是直率的、通俗的、有力的、怪异的、流畅的、饶舌的”、“荷马随其主题起落, 主题平淡他平淡, 主题低下他低下”。阿诺德评论说, 如果象纽曼在其译本的序言中所使用的 *quaint* (怪异的), *garrulous* (饶舌的), *prosaic* (平淡的) 和 *low* (低下的) 这样的词语来认识荷马, 显然是无法正确翻译荷马的。根据阿诺德, 要想正确地了解荷马, 不仅要了解荷马的笔触轻快 (*rapid in movement*)、风格简朴 (*simple in style*)、语言简练 (*plain in language*)、思想自然 (*natural in thought*), 更重要的, 是其高尚的情

操 (noble)。(参阅下面的“译论史稿辑要”)

6) 译文的检验。检验译文应该由专家学者进行还是由大众读者进行, 抑或由两者共同进行? 阿诺德认为, 只有学者既懂原文语言又有诗的鉴赏力, 只有学者才知道译作是否忠实于原作, 因此评判译文就应该以学者的感受为标准。阿诺德还特别强调, 判断译作成功与否的关键在于学者, 译者需要满足学者的要求, 因为只有学者才能对其译作做出真正的评判。

译论史稿辑要:

It is disputed what aim a translator should propose to himself in dealing with his original. Even this preliminary is not yet settled. On one side it is said that the translation ought to be such "that the reader should, if possible, forget that it is a translation at all, and be lulled into the illusion that he is reading an original work — something original" (if the translation be in English), "from an English hand." The real original is in this case, it is said, "taken as a basis on which to rear a poem that shall affect our countrymen as the original may be conceived to have affected its natural hearers." On the other hand, Mr Newman, who states the foregoing doctrine only to condemn it, declares that he "aims at precisely the opposite: to retain every peculiarity of the original, so far as he is able, *with the greater care the more foreign it may happen to be*; so that it may never be forgotten that he is imitating, and imitating in a different material." The translator's "first duty," says Mr Newman, "is a historical one, to be *faithful*." Probably both sides would agree that the translator's "first duty is to be faithful"; but the question at issue between them is, in what faithfulness consists.

My one object is to give practical advice to a translator; and I shall not the least concern myself with theories of translation as such. But I advise the translator not to try "to rear on the basis of the *Iliad*, a poem that shall affect our countrymen as the original may be conceived to have affected its natural hearers"; and for this simple reason that we cannot possibly tell *how* the *Iliad* "affected its natural hearers." It is probably meant merely that he should try to affect Englishmen powerfully, as Homer affected Greeks powerfully; but this direction is not enough, and can give no real guidance. For all great poets affect their hearers powerfully, but the effect of one poet is one thing, that of another poet another thing: it is our translator's business to reproduce the effect of Homer, and the most powerful emotion of the unlearned English reader can never assure him whether he has reproduced this, or whether he has produced something else. So, again, he may follow Mr Newman's directions, he may try to be "faithful," he may "retain every peculiarity of his original"; but who is to assure him, who is to assure Mr Newman himself, that, when he has done this, he has done that for which Mr Newman enjoins this to be done, "adhered closely to Homer's manner and habit of thought"? Evidently the translator needs some more practical directions than these. No one can tell him how Homer affected the Greeks; but there are those who can tell him how Homer affects *them*. These are scholars; who possess, at the same time with knowledge of Greek, adequate poetical taste and feeling. No translation will seem to them of much worth compared with the original; but they alone can say whether the translation produces more or less the same effect upon them as the original. They are the only competent tribunal in this matter: the Greeks are dead; the unlearned Englishman has not the data for judging; and no man can safely confide in his own single judgment of his own work. Let not the translator, then, trust to his notions of what the ancient Greeks would have thought of him; he will lose himself in the vague. Let him not trust to what the ordinary English reader thinks of him; he will be taking the blind for his guide. Let him not trust to his own judgment of his own work; he may be misled by individual caprices. Let him ask how his work affects those who both know Greek and can appreciate poetry; whether to read it gives the Provost of Eton, or Professor Thompson at Cambridge, or Professor Jowett here in Oxford, at all the same feeling which to read the original gives them. I consider that when Bentley said of Pope's translation, "It was a pretty poem, but must not be called Homer," the work, in spite of all its power and attractiveness, was judged.

[...]

These are negative counsels; I come to the positive. When I say, the translator of Homer should above all be penetrated by a sense of four qualities of his author; -- that he is eminently rapid; that he is eminently plain and direct, both in the evolution of his thought and in the expression of it, that is, both in his syntax and in his words; that he is eminently plain and direct in the substance of his thought; that is, in his matter and ideas; and, finally that he is eminently noble; -- I probably seem to be saying what is too general to be of much service to anybody. Yet it is strictly true that, for want of duly penetrating themselves with the first-named quality of Homer, his rapidity, Cowper and Mr Wright have failed in rendering him; that, for want of duly appreciating the second-named quality, his plainness and directness of style and diction, Pope and Mr Sotheby have failed in rendering him; that for want of appreciating the third, his plainness and directness of ideas, Chapman has failed in rendering him; while for want of appreciating the fourth, his nobleness, Mr Newman, who has clearly seen some of the faults of his predecessors, has yet failed more conspicuously than any of them.

[...]

I said that there were four things which eminently distinguished Homer, and with a sense of which Homer's translator should penetrate himself as fully as possible. One of these four things was, the plainness and directness of Homer's ideas. I have just been speaking of the plainness and directness of his style; but the plainness and directness of the contents of his style, of his ideas themselves, is not less remarkable. But as eminently as Homer is plain, so eminently is the Elizabethan literature in general, and Chapman: in particular, fanciful. Steeped in humours and fantasticality up to its very lips, the Elizabethan age, newly arrived at the free use of the human faculties after their long term of bondage, and delighting to exercise them freely, suffers from its own extravagance in this first exercise of them, can hardly bring itself to see an object quietly or to describe it temperately. Happily, in the translation of the Bible, the sacred character of their original inspired the translators with such respect that they did not dare to give the rein to their own fancies in dealing with it. But, in dealing with works of profane literatures, in dealing with poetical works above all, which highly stimulated them, one may say that the minds of the Elizabethan translators were *too* active; that they could not forbear importing so much of their own, and this of a most peculiar and Elizabethan character, into their original, that they effaced the character of the original itself.

[...]

I MUST repeat what I said in beginning, that the translator of Homer ought steadily to keep in mind where lies the real test of the success of his translation; what judges he is to try to satisfy. He is to try to satisfy *scholars*, because scholars alone have the means of really judging him. A scholar may be a pedant, it is true, and then his judgment will be worthless; but a scholar may also have poetical feeling, and then he can judge him truly; whereas all the poetical feeling in the world will not enable a man who is not a scholar to judge him truly. For the translator is to reproduce Homer, and the scholar alone has the means of knowing that Homer who is to be reproduced. He knows him but imperfectly, for he is separated from him by time, race, and language; but he alone knows him at all. Yet people speak as if there were two real tribunals in this matter, -- the scholar's tribunal, and that of the general public. They speak as if the scholar's judgment was one thing, and the general public's judgment another; both with their shortcomings, both with their liability to error; but both to be regarded by the translator. The translator who makes verbal literalness his chief care "will," says a writer in the *National Review* whom I have already quoted, "be appreciated by the scholar accustomed to test a translation rigidly by comparison with the original, to look perhaps with excessive care to finish in detail rather than boldness and general effect and find pardon even for a version that seems bare and bold, so it be scholastic and faithful." But, if the scholar in judging a translation looks to detail rather than to general effect, he judges it pedantically and, ill. The appeal, however, lies not from the pedantic scholar to the general public, which can only like or dislike Chapman's version, or Pope's, or Mr Newman's, but cannot *judge* them; it lies from the pedantic scholar to the scholar who is not pedantic, who knows that Homer is Homer by his general effect, and not by his single words, and who demands but one thing in a translation--that it shall, as nearly as possible, reproduce for

him the *general effect* of Homer. This, then, remains the one proper aim or, the translator: to reproduce on the intelligent scholar, as nearly as possible, the general effect of Homer. Except so far as he reproduces this, he loses his labour, even though he may make a spirited *Iliad* of his own, like Pope, or translate Homer's *Iliad* word for word, like Mr Newman. If his proper aim were to stimulate in any manner possible the general public, he might be right in following Pope's example; if his proper aim were to help schoolboys to construe Homer, he might be right in following Mr Newman's. But it is not: his proper aim is, I repeat it yet once more, to reproduce on the intelligent scholar, as nearly as he can, the general effect of Homer.

When, therefore, Cowper says, "My chief boast is that I have adhered closely to my original"; when Mr Newman says, "My aim is to retain every peculiarity of the original, to be *faithful*, exactly as is the case with the draughtsman of the Elgin marbles"; their real judge only replies: "It may be so: reproduce then upon us, reproduce the effect of Homer, as a good copy reproduces the effect of the Elgin marbles".

When, again, Mr Newman tells us that "by an exhaustive process of argument and experiment" he has found a metre which is at once the metre of "the modern Greek epic," and a metre "like in moral genius" to Homer's metre, his judge has still but the same answer for him: "It may be so: reproduce then on our ear something of the effect produced by the movement of Homer."

But what is the general effect which Homer produces on Mr Newman himself? Because, when we know this, we shall know whether he and his judges are agreed at the outset, whether we may expect him, if he can reproduce the effect he feels, if his hand does not betray him in the execution, to satisfy his judges and to succeed. If, however, Mr Newman's impression, from Homer is something quite different from that of his judges, then it can hardly be expected that any amount of labour or talent will enable him to reproduce for them *their* Homer.

Mr Newman does not leave us in doubt as to the general effect which Homer makes upon him. As I have told you what is the general effect which Homer makes upon me, -- that of a most rapidly moving poet, that of a poet most plain and direct in his style, that of a poet most plain and direct in his ideas, that of a poet eminently noble, -- so Mr Newman tells us his general impression of Homer. "Homer's style," he says, "is direct, popular, forcible, quaint, flowing, garrulous." Again: "Homer rises, and sinks with his subject, is prosaic when it is tame, is low when it is mean."

I lay my finger on four words in these two sentences of Mr Newman, and I say that the man who could apply those words to Homer can never render Homer truly. The four words are these: *quaint*, *garrulous*, *prosaic*, *low*. Search the English language for a word which does not apply to Homer, and you could not fix on a better than *quaint*, unless perhaps you fixed on one of the other three.

[...]

For Homer is not only rapid in movement, simple in style, plain in language, natural in thought; he is also, and above all, *noble*. I have advised the translator not to go into the vexed question of Homer's identity. Yet I will just remind him that the grand, argument — or rather, not argument, for the matter affords no data for arguing, but the grand source from which conviction, as we read the *Iliad*, keeps pressing in upon us, that there is one poet of the *Iliad*, one Homer -- is precisely this nobleness of the poet, this grand manner; we feel that the analogy drawn from other joint compositions does not hold good here, because those works do not bear, like the *Iliad*, the magic stamp of a master; and the moment you have *anything* less than a masterwork, the co-operation or consolidation of several poets becomes possible, for talent is not uncommon; the moment you have *much* less than a masterwork, they become easy, for mediocrity is everywhere. I can imagine fifty Bradies joined with as many Tates to make the New Version of the Psalms. I can imagine several poets having contributed to any one of the old English ballads in Percy's collection. I can imagine several poets, possessing, like Chapman, the Elizabethan vigour and the Elizabethan mannerism, united with Chapman to produce his version of the *Iliad*. I can imagine several poets, with the literary knack of the twelfth century, united to produce the *Nibelungen Lay* in the form in which we have it, -- a work which the Germans, in their

joy at discovering a national epic of their own, have rated vastly higher than it deserves. And lastly, though Mr Newman's translation of Homer bears the strong mark of his own idiosyncrasy, yet I can imagine Mr Newman and a school of adepts trained by him in his art of poetry, jointly producing that work, so that Aristarchus himself should have difficulty in pronouncing which line was the master's, and which a pupil's. But I cannot imagine several poets, or one poet, joined with Dante in the composition of his *Inferno*, though many poets have taken for their subject a descent into Hell. Many artists, again, have represented a Moses; but there is only one Moses of Michael Angelo. So the insurmountable obstacle to believing the *Iliad* a consolidated work of several poets is this: that the work of great masters is unique; and the *Iliad* has a great master's genuine stamp, and that stamp is *the grand style*.

[...]

Homer is rapid in his movement, Homer is plain in his words and style, Homer is simple in his ideas, Homer is noble in his manner. Cowper renders him ill because he is slow in his movement, and elaborate in his style; Pope renders him ill because he is artificial both in his style and in his words; Chapman renders him ill because he is fantastic in his ideas; Mr Newman renders him ill because he is odd in his words and ignoble in his manner. All four translators diverge from their original at other points besides those named; but it is at the points thus named that their divergence is greatest. For instance, Cowper's diction is not as Homer's diction, nor his nobleness as Homer's nobleness; but it is in movement and grammatical style that he is most unlike Homer. Pope's rapidity is not of the same sort as Homer's rapidity, nor are his plainness of ideas and his nobleness as Homer's plainness of ideas and nobleness: but it is in the artificial character of his style and diction that he is most unlike Homer. Chapman's movement, words, style, and manner, are often far enough from resembling Homer's movement, words, style, and manner; but it is the fantasticality of his ideas which puts him farthest from resembling Homer. Mr Newman's movement, grammatical style, and ideas, are a thousand times in strong contrast with Homer's; still it is by the oddness of his diction and the ignobleness of his manner that he contrasts with Homer the most violently.

Therefore the translator must not say to himself: "Cowper is noble, Pope is rapid, Chapman has a good diction, Mr Newman has a good cast of sentence; I will avoid Cowper's slowness, Pope's artificiality, Chapman's conceits, Mr Newman's oddity; I will take Cowper's dignified manner, Pope's impetuous movement, Chapman's vocabulary, Mr Newman's syntax, and so make a perfect translation of Homer. "Undoubtedly in certain points the versions of Chapman, Cowper, Pope, and Mr Newman, all of them have merit; some of them very high merit, others a lower merit; but even in these points they have none of them precisely the same kind of merit as Homer, and therefore the new translator, even if he can imitate' them in their good points, will still not satisfy his judge, - the scholar, who asks him for Homer and Homer's kind of merit, or, at least, for as much of them as it is possible to give.

So the translator really has no good model before him for any part of his work, and has to invent everything for himself. He is to be rapid in movement, plain in speech, simple in thought, and noble; and *how* he is to be either rapid, or plain, or simple, or noble, no one yet has shown him. I shall try today to establish some practical suggestions which may help the translator of Homer's poetry to comply with the four grand requirements which we make of him.

His version is to be rapid; and of course, to make a man's poetry rapid, as to make it noble, nothing can serve him so much as to have, in his own nature, rapidity and nobleness. *It is the spirit that quickeneth*; and no one will so well render Homer's swift-flowing movement as he who has himself something of the swift-moving spirit of Homer. Yet even this is not quite enough; Pope certainly had a quick and darting spirit, as he had, also, real nobleness; yet Pope does not render the movement of Homer. To render this the translator must have, besides his natural qualifications, an appropriate metre.

[...]

When I say this, I point to the metre which seems to me to give the translator the best chance of preserving the general effect of Homer, -- that third metre which I have not yet expressly named, the hexameter. I know all that is said against the use of hexameters in English poetry; but it comes only to this, that, among us, they have not yet been

used on any considerable scale, with success. *Solvitur ambulando*: this is an objection which can best be met by producing good English hexameters. And there is no reason in the nature of the English language why it should not adapt itself to hexameters as well as the German language does; nay, the English language, from its greater rapidity, is in itself better suited than the German for them. The hexameter, whether alone or with the pentameter, possesses a movement, an expression, which no metre hitherto in common use amongst us possesses, and which I am convinced English poetry, as our mental wants multiply, will not always be content to forego. Applied to Homer, this metre affords to the translator the immense support of keeping him more nearly than any other metre to Homer's movement; and, since a poet's movement makes so large a part of his general effect, and to reproduce this general effect is at once the translator's indispensable business and so difficult for him, it is a great thing to have this part of your model's general effect already given you in your metre, instead of having to get it entirely for yourself.

These are general considerations; but there are also one or two particular considerations which confirm me in the opinion that for translating Homer into English verse the hexameter should be used. The most successful attempt hitherto made at rendering Homer into English, the attempt in which Homer's general effect has been best retained, is an attempt made in the hexameter measure. It is a version of the famous lines in the third book of the *Iliad*, which end with that mention of Castor and Pollux from which Mr Ruskin extracts the sentimental consolation already noticed by me. The author is the accomplished Provost of Eton, Dr Hawtrey; and this performance of his must be my excuse for having taken the liberty to single him out for mention, as one of the natural judges of a translation of Homer, along with Professor Thompson and Professor Jowett, whose connection with Greek literature is official. The passage is short; and Dr Hawtrey's version of it is suffused with a pensive grace which is, perhaps, rather, more Virgilian, than Homeric; still it is the one version of any part of the *Iliad* which in some degree reproduces for me the original effect of Homer: it is the best, and it is in hexameters.

---- Matthew Arnold's *On Translating Homer*⁵⁹

66. (英) 约翰·P·波斯盖特

John P. Postgate:

生平及重要译论:

约翰·P·波斯盖特 John P. Postgate, 1853-1926, 古文学家、翻译家、文学评论家、翻译理论家, 曾任剑桥大学研究员、利物浦大学荣誉教授, 英国语文学会主席。精通古希腊语、拉丁语、法语、德语等语言。著有《拉丁散文写作指南》(*Sermo Latinus: A Short Guide to Latin Prose Composition*)、《死语与死语种种》(*Dead Language and Dead Languages*) 等。其译论代表作为《译论与译作》(*Translation and Translations*, 1922)。

波斯盖特在翻译理论方面的最大建树是将翻译分为两类, 即“前瞻式翻译”(retrospective translation)与“后瞻式翻译”(prospective translation), 常为人所引用。“前瞻式翻译”是指译者的重点在于译文与读者而不是原文与原作者, 在于译语的表达。翻译要从读者出发, 采用自由的方法和常见的表达方式, 这就要求译者要精通译文语言。“后瞻式翻译”则是指译者的重点在于原作者, 在于对于原文的理解与传递, 而不是“前瞻”译作的读者。相对于“前瞻式翻译”, “后瞻式翻译”显然使译者缺少翻译的自由与创新空间, 对译者的水平也要求更高。

波斯盖特还将翻译的忠实问题从两个方面进行观察, 即在后瞻式翻译中译文必须绝对忠实于原文, 而在前瞻式翻译中译文必须忠实于翻译的目的。

波斯盖特对于文学翻译的忠实问题颇为感叹: 忠实的原则为世人所公认, 却不为世人所遵循。(参阅本

书塞弗里一节“译论史稿辑要”)

波斯盖特将翻译看作是雕刻家的艺术，整个作品就是各个细小部分的总和，因此每一笔每一刀都不能马虎。

波斯盖特还提出译作的生命在于更新的问题。他认为，“终极的”定本是不存在的，因为译文的性质随着语言的发展而在蜕变，而且译作比起原作来更易于老化。只有不同时期有不同的翻译，才能解决译文的老化问题。

波斯盖特在评判译文的效果问题上则继承和发展了阿诺德的见解。他认为阿诺德的观点是正确的：

没有人能告诉译者，荷马究竟怎样感染了当时的希腊人；但却确有人能告诉译者，荷马是怎样感染他们的。这些人就是学者，是既懂希腊文又有诗人情趣的学者……只有他们，才能说得上译文在它们身上能否产生基本同于原作的感受。⁶⁰

译论史稿辑要

It is unfortunate that usage has not provided distinctive names for translation which primarily regards the Author and translation which primarily regards the Reader. *Retrospective* and *Prospective* would express the difference in their Aim; *Receptive* and *Adaptive* the difference in their Methods. The one translator with eyes ever turned on his original is satisfied to play a purely passive role, to be a mere 'receiver.' If in the new medium he has given as full and as exact an impression of the original as he can, he must be content; all the rest he may and must leave to the reader. The other with the Reader ever before him by a touch here, a turn there and a twist somewhere else makes it his care that this reader's prepossessions shall not be shocked nor his sense of probability disturbed.

The aim of the *Retrospective* or *Receptive* translation is Truth. But what is this truth? A widely accepted definition is 'the reproduction in the translation of the impression produced by the original.' This is not specific enough. It speaks of impressions produced and reproduced; but it does not say *upon whom*. The answer however is clear: Upon those to whom the languages used are native or have by habituation so become. For example, a translation from French into English should produce upon an Englishman an impression as far as possible similar to that which the French original produces upon a Frenchman.

[...]

The motives of the two species of Translation are different. The sole design of the one is to impart a knowledge of an original to those to whom it would otherwise be unknown or, in the case of exercises, to show the possession of that knowledge by the translator. It is therefore in its essence *Retrospective*. The other includes in its design the embodiment and exhibition in the translation of a knowledge of the language into which the translation is made. It is accordingly *Prospective* in exact proportion as its care is for the copy rather than the original.

For the present this distinction must serve. But it would be better if we could turn the difference in the Latin words which we have already noted on p.1 to further account and called renderings of the first kind 'translations' and those of the second kind 'versions,' and, taking yet another step forward, distinguished their makers as 'translators' and 'verters' and their work as 'translating' and 'verting.'

In perfect bilingualism, as already said, it is indifferent from which direction approach is made. The aspect of a straight line is the same from either side of it. Not so with the concave and convex aspects of a curve. In *Retrospective* translation ascertainment and comprehension come first, and expression follows in their train. But in *Prospective* translation comprehension is assumed to be already attained, and the whole mental effort may be concentrated on Expression.

Nor is this all. In *Retrospective* translation the translator's better knowledge of his native language gives him a wider field of choice and enables him to select with greater confidence the turn most appropriate to the occasion. In *Prospective* translation the 'composer' must often use an inadequate phrase, because it is a common one, or acquiesce in a looser rendering because his knowledge is not sure enough to attempt a closer. Hence the pithy saying attributed to a schoolboy: 'There are some things I may not write but Master may and some that neither of us may write but Horace and Vergil may.'

We can now understand why good 'translators' are not necessarily good 'composers' nor 'good composers' necessarily good translators, as indeed all teachers and examiners know. There is no paradox here. The idea that there is seems to spring from the fallacy that, if *A* is a good translation of *B*, therefore *B* is a good translation of *A*. [...]

[...]

(P24) Mr Naylor assumes that the processes employed in Retrospective and Prospective translation are identical. But we have seen that they are not. It is proper to tell the student who is turning, say, English into Latin, to put 'safety first' and to aim not at the nearest idiomatic translation but at the most idiomatic that he can find. For his object is to write Latin, not to render English, and to him the borderland of doubt and possible error is much larger in the use of Latin than in that of English expression. [...]

[...]

We may note here that Prospective translation will draw closer and closer to its originals as the translator's skill and knowledge increase. The work of young 'composers' is noticeably looser than their seniors'. The renderings of the later generation of Cambridge scholars as represented in 'Cambridge Compositions' while not inferior in literary workmanship to those in the earlier collection of the 'Arundines Cami' are at the same time truer to the originals.

[...]

I will conclude with a definition of 'accurate' retrospective translation from prose originals, which I take from Messrs Ritchie and Moore (p.13), and of which I venture to think Professor Naylor would not greatly disapprove:

'By a translation we mean such a version as shall before all things make it plain that the translator: (1) has grasped the sense of each individual word as used in the original, (2) has selected to render it the nearest equivalent which the genius of our language permits, and (3) has so arranged and welded together these equivalents that the whole becomes an exact English counterpart of the French passage, equally careful in diction, equally elegant in style.'

CHAPTER II

TRANSLATION IN PRACTICE

Accepting Fidelity then as the ultimate test of merit in translation, in Retrospective Translation absolutely and in Prospective Translation so far as is compatible with its different aim, we must next inquire how, and how far, it may be attained. We distinguish fidelity to the Substance and fidelity to the Form.

If form is neglected, as in Scientific and Technical writings, an absolute fidelity, that is a complete transference of the original, is possible. This does not mean that there is ever only one way of translating a given original. Even science cannot compass the exact coincidences, which an early legend ascribed to the Greek translators of the Hebrew Scriptures, the famous LXX, who, 'shut up in seventy separate cells, produced each of them independently translations literally identical from first to last,' as Irenaeus and other Fathers of the Church aver.

For the main notions or concepts in these treatises there will, it is true, be in both languages expressions that exactly correspond, and neither choice nor doubt will be possible. But in the expression of their relations and qualifications there will often be synonyms between which a translator's choice is free. Since however it matters not whether, for example, opposition is expressed by 'yet,' 'still,' or 'however,' or addition by 'also,' 'too,' or 'besides,' or whether verbal force is given directly by the active construction or indirectly by the passive, a translator will not be at pains to vary from the original when his translation neither loses nor gains thereby. All such works then are translatable, however different the two languages from which and into which they are translated.

The same is not true of Literary Originals, to which we now come. In these, substance and form are so intimately connected that the one cannot be detached from the other, nor indeed, without a strain, considered apart. For the purposes of exposition however we may separate thought from expression, and divide expression into two. On the intellectual side, Expression is regulated Speech; and it may be considered under the heads of Vocabulary, Idiom, Phrasing, Order and Syntax. On the physical or material side it is Sounds, and is concerned with their varieties, qualities, relations and successions.

In Expression it is Speech that as a rule must be regarded, and not Sound. The connexion between Sound and Sense is so subtle and elusive that a translation into another language can at most suggest the impressions thus excited by the original, and is often compelled to

ignore them. Even should the significant employment of sound in one language have analogies and similarities in another, this is often of little use to the translator. The words that render the sense are rarely such as will suggest the sound or communicate the impressions that the sound conveys. What translator's pains or skill can hope to reproduce the sound pictures of a Vergil when describing a storm, Georgics I 316sq., or a chariot race, Georgics III 103 sqq. With simple Assonance and Alliteration he has a somewhat better chance. The principle of Compensation (p.75) will allow him occasionally to give them in his translation, though not exactly where they occur in the original. When, therefore, assonance is a regular part of a writer's literary apparatus, as with Plautus, Ennius and Vergil, he should make an effort to preserve it; as e.g. in Plautus, Rudens, 733, flagiti flagrantia, 'you blazing blackguard.' Compare also no. 30, lines 2, 8.

[...]

Out of this two questions arise. One has already been touched upon: Should a translation ever suggest the Language of Origin? The Prospective Translator of course answers No. But should the Retrospective Translator spend pains on extirpating a flavour that is neither disagreeable nor incongruous and may even have an attraction for a reader. For most of us have met English-speaking foreigners in whose pure and idiomatic speech no flaw could be detected but whose precision of diction and pronunciation betrayed their foreign origin. Was this touch of strangeness disagreeable? On the contrary did it not give a pleasant piquancy to all that they said? Is a translation then necessarily the worse for a foreign tang?

Again since the structural peculiarities of one language can but rarely be reproduced in another, it may be asked if all imitation of foreign constructions and idioms should be excluded from translations. The answer is clear. An English translator has exactly the same rights as an English author. Each instance must be judged on its merits. No imitation is allowable if it puts a strain on the language. If this is avoided, should Latinisms that are not reprehensible in Milton be reprehended in translators of Vergil?

[...]

Furthermore no translator, whether Retrospective or Prospective, is under any obligation to follow his author where the author has not himself been free but has had his choice determined by such necessities as those of metre of rhyme or rhythm in the medium in which he wrote.[...]

---- J. P. Postgate, *Translation and Translations: Theory and Practice*^[60]

67. (英) J. S. 菲利莫尔 J. S. Phillimore

生平及重要译论:

J. S. 菲利莫尔 J. S. Phillimore, 英国著名翻译理论家, 英国英语学会 (English Association) 重要成员, 其代表作是《略论翻译和译者》(*Some Remarks on Translation and Translators*, 1919), 被认为是英国二十世纪 20 年代最优秀的英语翻译论著。书中主要论述了原文语言与译文语言及作者与译者的关系、译文词汇的选择及文学译作的欣赏性及文学性等问题。

菲利莫尔认为, 在进行翻译之前, 重要的是要对原语和译语的关系进行研究。他说翻译时需要使一种语言的表现形式在另一种语言形式中找到最切近的对等表现形式, 这需从两方面进行, 即:

正如说真话需要两人: 一人说得真切, 一人听得也真切。⁶¹

菲利莫尔还认为: 表达要得当, 必须具备丰富的词汇; 而有了丰富的词汇, 又必须根据原文意味加以得体的使用。只有在引进新的事物、新的思想时, 才可引进新的词语。表达上有缺陷, 就必须千方百计加以弥补。对于原来有缺陷的事物, 必须加以改变。改变是为了生存; 要想变得完善, 就必须经常发生变化。没有发生变化的意愿, 语言就会像一个“毫无自我意识、患有遗传性痴呆症”的大脑一样, 没有生气, 没有发展。正因如此, 古代才出了西塞罗翻译引进希腊哲学术语这个典范。没有西塞罗带来的变化, 拉丁哲学词汇

就达不到希腊哲学词汇的水平。⁶²

菲利莫尔还认为：单凭译者的才智不足以译出最优秀的作品。好的译作风格还要求译文具有纯属译文语言特征的格调。同时，判断一篇译作的优劣，最终的标准是看文学家是否既把译作当作欣赏品，又把它当作文学作品来读。⁶³

菲利莫尔的见解在当时是很有见地的。

译论史稿辑要

I

ILLITERATE men have been known to say, as an argument in their attack on classical studies, that all the Classics have been translated, and therefore there is no need to continue reading the originals. Sometimes they have the grace and intelligence to add a reservation, 'Except the poets'. So they do perceive a difference between the cases of Homer and Euclid. Euclid may be said to lose nothing in being decanted into another language; Aristotle (as we have him) very little; but ascend the scale to Plato, and-- what a difference! How falsified is Plato in Jowett's much-belauded version! How inadequate was Jowett to apprehend, much more to reproduce, even with Swinburne's prompting, the finesse, the slyness, the deftness of his author! But when you come to poetry, why is it any more reasonable to say that the translation supersedes the original, than to say that an engraving or a copy supersedes the original picture?

Since material progress exists and the capital of science rolls forward accumulating, much of the contents of ordinary prose may be passed on and the former vehicle become obsolete. Let us freely concede that, if some new Caliph were to collect and destroy the last copies of Euclid's Greek, civilization would not be substantially the poorer. But in Art progress either does not exist, or at least exists only in discontinuous series: poetry is much more wholly a work of art than healthy prose is; and my concern will be more largely with poetry. It was Samuel Johnson, who said that the poets are the best preservers of a language, because people must go to the original to relish them (April 11, 1776, quoted by Fitzgerald, ii.61).

II

Just as it takes two to speak the truth, one to hear straight as well as one to speak straight, a frank correspondence between question and answer-- so, I take it, perfect translation requires a sort of mutual art ion set up in both languages, both that from which and that into which it is to be performed. Exchange on the level must be possible if there is to be quite honest dealing. And that is to say each party must not only come furnished with an equal sum but equal resource in small change.

Or, to drop metaphor, the two languages must be equivalent in point of *expressiveness*. Excuse me if I somewhat labour this matter. The foible of criticism is that so much of it may be resolved into fancy. It lacks what the Anglo-German jargon calls 'Objectivity'. But by taking *expressiveness* we have quite a positive and real standard of comparison between any two languages as well as a measure of development within any one language, from time to time. Expressiveness no more needs (or, for that matter, comports) definition than health or maturity of body. Its absence is remarked; when present, it is taken for granted. To block out the notion roughly, let us say that it implies both a competent wealth of vocabulary, and that wealth economized by good taste, i.e. sense: new words brought in only to mean new things or new ideas.

If Brunetière taught us that the life of a language is pretty accurately measurable in the forms it invents, modifies, and finally exhausts and discards, he gave us also a real criterion for establishing relations between one literature and another. Mastery of any given form, or mastery in general, is a quite real and solid thing; and the classical standard, in the true sense of the word, is irreducible: the full expressive power, comporting finesse no less than force, subtlety in distinction no less than grandeur in comprehension; to record, with economy of means, fundamental truth and general experience. When a language attains to this it is mature. The summit is reached. The solstice has begun. And though that saying of Velleius is terribly true of the single forms, *Brevis in perfecto mora*, yet by the law of the development of kinds, a richness and flexibility of adjustment may allow the language as a whole witness Greek, *par excellence*-- to persist many centuries in full daylight. Probably as a rule maturity lasts longer in prose than in poetry. For prose is an institution. Latin

poetry, for instance, is at full power from Virgil to Lucan; Lucan is an inventor, enriching his verse out of the losses of prose oratory. But after Lucan nothing of prime greatness is produced in poetry until Prudentius-- whose case would take us altogether too long to analyse; but, at any rate, he represents not continuity but a violent adaptation of literary forces into a new form. In Latin prose, on the other hand, it is simply true to say that Jerome and Augustine could drive their ship under all the sail that ever Cicero carried. To call them a decadence is a foolish prejudice only possible to those who never read them. The inspiration is new, but no new expressive power is needed. They inherited that. Expressiveness in prose was maintained for nearly five centuries by the Latins: from Cicero to Augustine is a table-land on the high level.

It is interesting to observe the arrival of the moment in various literatures. One might have expected Latin to reach maturity of expressiveness earlier than it did. Neither oligarchy nor demagoguery is unfavourable to the florison of language, and of these two elements was Roman polity tempered. It is surprising when you recollect that more than a century passed between Terence's death and Cicero's. Terence was already so accomplished. The hall-mark of maturity-- a close approach between prose and verse, when educated people talk well and write easily, writers use no pretension or solemnity because readers meet them half-way, with unobsequious intelligence: literature need be no more than recorded talk, because talk is not slovenly and inarticulate-- is stamped on Terence as it is on Swift. So it was said of Vanbrugh by his biographer that 'his most entertaining scenes seem to be no more than his common conversation committed to paper'. Why then was Latin at a standstill for all that time? I believe the answer is : Civil War. Just when the moment was come for a step upstairs, in the decade of the Gracchi, began that horrible era of faction which devastated Rome and Italy for more than forty years. The Muses were silenced before they had finished their education-- of which Translation is the great means. Massacre and proscription destroy Literature as effectively as the crushing engine of State Socialism. Rome after the Antonines exemplifies this latter. The former is exemplified in the literary stagnation of Rome during the period 130-80 B.C. But we need not look so far afield. We can see it exemplified at home. The influence of the Humanist Renaissance, where it ran a normal course, worked on the European vernaculars through translations. You may say all the Classics were translated into Italian before 1500; and consequently Italian is fully matured in faculty and resource at the close of the *Quattrocento*. In England and France the Reformation broke in with disastrous effect: France has not attained maturity in prose until about 1570, England hardly before the advent of Dryden. Yet if things had followed their natural course, and the translators had been there to take up their allotted part in the development, English prose would not have marked time as it does from More till Bacon. The celebrated Tudor translations were long overdue. That stage should have been past by 1550, but it was suppressed in the general destruction of learning by Henry VIII and his hopeful son.

So far as a foreigner can judge, French and Italian seem to be adequate in expressiveness to Greek at its best, as fine-spun as Plato's thread, as rich in vocabulary, as sharp in precision and distinction; natural and unconstrained in the temperamental or gesticulatory part of language, as the equipment of particles and the disciplined economies of syntax make Attic Greek of the fourth century B.C. I do not think one could roundly deny a claim that modern English is the equal of Attic Greek in potential expressiveness; and yet-- an adequate Plato remains to be done. When you read some one who writes good modern English, do not you say, 'This is the kind of man who ought to translate Plato '? But, alas, one has to admit some impediment every time. Matthew Arnold was a prig ; Shaw and Wells are buffoons, and know no Greek ; Pater knew too much Greek, and perhaps wrote English too much like a foreign language. The requirements have never yet been found co-existing. Mr. Compton Mackenzie is my present favourite for the appointment.

Language, then, is measurable and comparable in terms of expressiveness. Now if two languages are *unequal* in expressiveness, several consequences may be expected. The translator, complaining as Lucretius complained, of the *patrii sermonis egestas*, 'the beggary of our national language,' enriches and improves it by this discipline of translation. Needs must when the devil drives. Such and such a term, or a phrase, has perfect neatness and unambiguity in Greek: where can I find it in English, or how can I get it made? The slowness of invention is stimulated. The junior tongue, confronted with the problem, or piqued by the challenge, of keeping pace with its elders and betters, must develop missing organs, borrow for its deficiencies, strain itself to unsuspected capacities and attainments. 'To change is to live, and to be perfect is to have changed often.' We change in response to a challenge. One might add : to improvise is to live at a very high rate of existence. To improvise without blundering is the great test of Quintilian's *firma facilitas*, the mark of mastery. By translation a language both learns what it is lacking in-- the beginnings of change are in the imagination: till it be awakened, a language like a mind may remain sunk in self-unconsciousness and quiet hereditary fatuity; and again, by translation it learns how to make good. Since Latin

improved itself, patiently and humbly, up to the model of Greek, by translations, the Greek map of life has been preserved in tradition; and, even where it had got blurred in detail, nevertheless this charter of civilization was easily recoverable at the Renaissance. And when next a shrinkage of human intellect takes place (as seems very probable before long) the Greek model is still there to limit and correct the shrinkage. Only a self-enclosed language is damned to decline. Translation is the very symbol of human tradition and continuity. The great translators are 'pivotal' people in the history of literature.

Sometimes it is a rich personality like Ennius, who knew that possessing three languages his mind was triply engaged; sometimes a great artist with just the impelling touch of mania added to raise the doggedness of ambition to the point of fury. You will recognize Lucretius: *docti furor arduus Lucreti*. One pictures him as a man digging, hewing, blasting through rugged natural obstacles, an inlet for the irrigating stream to be derived from an abundant reservoir that he has struck in the next valley. Greater than these is Cicero: perhaps the man who of all others has served in opening the main channel by which past and present communicate and European civilization maintains identity in development.

Cicero taught Philosophy to speak Latin; and through Latin she learned to express herself in the modern languages. He was moved by no fanatical enthusiasm for a creed; nor even by the venturesome curiosity of a facile artist trying his hand in a new medium. His philosophical works were the pastimes and distractions of an enforced abstention from politics. His industry and energy must find employment; he must speak or burst. And so he spoke, to no small purpose; for it is largely owing to him that our minds are articulate.

So much then for the regular case of translation serving as a food and discipline for the development of a young language. There would be materials for another chapter in studying the profitable effects on the translator himself. To instance Dryden: one might suppose that his exercises in translation helped him to the easy abundance and simplicity which are at his command both in prose and verse. I cannot imagine any one who has made a translation of any pretty large amount of a foreign author and not had for a reward of his labours at any rate an improved fluency of his pen.

III

And now that we have considered the normal phenomenon when a language of inferior power and accomplishment borrows by translation for its own improvement, shall we stop to inquire whether the opposite be also possible? At any rate few will be found to subscribe to Perrault's paradox that ancient authors can better be judged in translations than in the originals. And yet, like most paradoxes, it represents a minority truth which could hardly be safeguarded save under the form of paradox. Or shall we dismiss this as another unwritten chapter, with the heading *On Translators who have bettered their original*? I will only remark in passing that good scholars, Persian born, have declared that Fitzgerald is finer than Omar; whether thanks to old Fitz's talent or to the superiority of the instrument that was at his disposal. One has also heard it said that Gilbert Murray is better than Euripides; but this not so much by good judges of Greek as by inveterate Romanticists to whom both Rhetoric and Cynicism are unpermissible in verse, and who find just these disturbing Euripidean qualities painlessly eliminated in Murray.

---- J. S. Phillimore, *Some Remarks on Translation and Translators*^[63]

68. (英) 约翰·鲁珀特·弗斯

John Rupert Firth



John Rupert Firth, 1890-1960

生平及重要译论:

约翰·鲁珀特·弗斯 John Rupert Firth, 1890-1960, 出生于约克郡的 Keighley, 毕业于英国里兹大学历史系 (1911) 并获文学硕士学位 (1913), 曾在里兹师范学院教授历史, 后随军去过印度、非洲等地。第一次世界大战后转而研究语言学, 曾任巴基斯坦旁遮普省 (Punjab) 拉合尔 (Lahore) 的旁遮普大学 (the University of the Punjab) 英语教授 (1920-1928), 伦敦大学学院 (University College London) 高级讲师 (1928-1938), 伦敦大学亚洲和非洲研究分校普通语言学高级讲师、教授, 专门教授语音学和语言学 (1938-1956)。1944 年成为英国第一任语言学教授。他在英国卓越的语音学家亨利·斯威特 (Henry Sweet, 1845-1912) 的理论基础上创造了韵律分析 (prosodic analysis) 即韵律音位学 (prosodic phonology), 在波兰人类学家马林诺夫斯基 (Bronislaw Malinowski, 1884-1942) “情境意义” 概念的基础上创造了新的语义理论, 又在索绪尔的基础上提出 “结构” 和 “系统” 的概念。他培养了韩礼德 (M.A.K. Halliday)、麦金托什 (Angus McIntosh)、史蒂文斯 (Peter Stevens) 等一批著名的语言学家。他所创立的语言学派也被称为 “伦敦语言学派” (London school of linguistics), 更多关注言语使用的社会情境 (social context of situation), 在其逝世后又有 “新弗斯语言学派” (Neo-Firthian linguistics) 之称。主要理论著作有专著《语言学论文集》(Papers in Linguistics, 1957) 和与帕尔默 (F. Palmer) 编辑的《弗斯论文集》(Selected Papers of J. R. Firth, 1968)。

弗斯首先将伦敦学派的语言学理论特别是语境论应用于翻译研究中, 即关注原语与译语的言语使用环境, 认为 “言语环境对等”, 并认为语境的重要性要大于内省状态 (inner mental states)。他的翻译理论主要集中在《语言学与翻译》(Linguistics and Translation) 和《语言分析与翻译》(Linguistic Analysis and Translation) 两文中。弗斯关于翻译的论述比较抽象, 成为英国翻译学派的主要特征。弗斯实际上主要是提出翻译研究的新的思路, 主要体现在三个方面:

1) 翻译的基础是语言分析, 即在语法、词汇、词的搭配及言语的使用场合四个层次上对语言材料进行分析, 从而为翻译创造必要的先决条件;

2) 完全的翻译即在语音、语法、语义、话语结构及风格等层次上进行过全面分析的翻译并不等于完美的翻译。再好的译文也要根据不同时代进行修改甚至重新翻译。

3) 翻译的困难与语言间的文化和社会环境直接有关。文化越是接近, 社会环境越是相似, 原语与译语的差异就越小, 翻译的困难就越小。但将一种语言的有意义的表达完全译成对等的另一种语言则是不可能的。⁶⁴

译论史稿辑要:

(1)

If we regard language as “expressive” or “communicative”, we imply that it is an instrument of inner mental states. And as we know so little of inner mental states, even by the most careful introspection, the language problem becomes more mysterious the more we try to explain it by referring it to inner mental happenings which are not

observable. By regarding words as acts, events, habits, we limit our inquiry to what is objective in the group life of our fellows.

---- J.R.Firth: *The Tongues of Men and Speech*⁶⁵

(2)

The first principle of analysis is to distinguish between STRUCTURE and SYSTEM. Structure consists of elements in interior syntagmatic relation and these elements have their places in an order of mutual expectancy. [...] Systems of commutable terms or units are set up to state the paradigmatic values of the elements.

---- J.R.Firth: *Papers in Linguistics*⁶⁶

(3)

What I may call the total meaning of a text in situation is broken down and dispensed at a series of levels such as the phonological, the grammatical and the situational levels.⁶⁷

69. (意) 本尼德托·克罗齐 Benedetto Croce



Benedetto Croce, 1866-1952

生平及重要译论

本尼德托·克罗齐 Benedetto Croce, 1866-1952, 意大利评论家、哲学家、政治家、历史家, 出生于意大利那不勒斯 (Naples) 阿布鲁齐 (Abruzzi) 的佩斯卡赛罗里 (Pescasseroli) 一个富有的地产主家庭, 曾在天主教寄宿学校受教育。17 岁时 (1883) 在 Island of Ischia 地震中失去了父母姐妹后只得到罗马与叔父生活在一起。在罗马时曾在大学学习法律但中途辍学, 回到那不勒斯后作为学者开始写作。第二年到西班牙、德国、法国和英国旅游, 开始对历史其后又对哲学发生兴趣, 于 1907 年出版了著名的评述黑格尔的《黑格尔哲学中的生死观》(*What Is Living and What Is Dead in the Philosophy of Hegel*)。克罗齐的思想受到历史学家维柯、哲学家黑格尔、文艺批评家桑克蒂斯、马克思主义理论家拉布里奥拉很大的影响。他的关于美学的观

点成为黑格尔之后在西方流行最广的表现主义文艺思潮的先驱。

克罗齐关于翻译的论述主要见于他的美学名著《美学原理》(*Estetica*)一书。克罗齐关于翻译的理论是从美学的角度出发的,其主要观点是:

1) 从美学的角度来讲,言语行为具有不可重复性,因此翻译也就不可能完美地再现原作的面貌,因为原作的所有言语行为是不可能完全重复的,这实际上是但丁“文学不可译”翻译观的发展。他认为译者只是:

自以为能象把水从一种形状的水瓶倒到一种不同形状的水瓶一样,把一种表达改铸成另一种表达。

而这是做不到的。因此,翻译便不可能达到完美,因而也不应该

冒充可以改造某一表现品为另一表现品,如移瓶注酒那样。⁶⁸

2) 象艺术一样,翻译也是一种艺术的再创作,因为翻译是不可能完美再现原作的。这种再创作性质的翻译是指译者将原文放回思维的“熔炉”中使其与译者的思想性格融为一体,然后译者用新的表达形式再现出来,因此也就不可避免地具有了译者自己的风格;

3) 译者的责任只是使译作与原作相似,因此一方面文学性翻译不可过于自由,而专业性翻译也不可过于拘泥;而另一方面也使得译作具有了脱离原作的独立的艺术价值。⁶⁹

克罗齐的翻译观点对西方翻译理论的发展具有很大的引导作用。

史料图片选辑:



Benedetto Croce

Script of Benedetto Croce

译论史稿辑要:

(1)

Indeed every translation either diminishes or spoils, or it creates a new expression, by putting the former back in the crucible and mingling it with the personal impressions of the so-called translator.⁷⁰

(2)

Intuition and Expressin

INTUITIVE KNOWLEDGE

Knowledge takes two forms: it is either intuitive knowledge or logical knowledge; knowledge obtained by means of our power to create mental representations, or knowledge obtained by means of the intellect; knowledge of individuals, or knowledge of universals; of particular things, or of the relationships between them; it is, in short, either that which produces representations or that which produces concepts.

Appeal is constantly made in everyday life to intuitive knowledge. It is said that there are certain truths of which definitions cannot be given; that cannot be demonstrated by syllogistic reasoning; that must be grasped intuitively. The practicing politician censures the abstract theorist who lacks a lively intuition of how things actually are. The educational theorist stresses, first and foremost, the need to assist development by educating the faculty of intuition. The critic holds himself honour bound to set aside, when confronted by a work of art, all theories and abstractions and to judge it by intuiting it directly. The practical man, finally, professes to live more by intuitions than by reasoning.

But to this ample recognition that intuitive knowledge receives in ordinary life there does not correspond an equally adequate recognition in the fields of theory and of philosophy. Of intellectual knowledge there is an ancient science – Logic – the existence of which everyone admits without bothering to debate the matter; but a science of intuitive knowledge is barely and timidly admitted by only a few. Logical knowledge has taken the lion's share, and even when it does not actually kill and devour its companion outright, it concedes to it only the humble and lowly position of handmaiden or doorkeeper. – For what on earth could intuitive knowledge be without the light of the intellect? It would be a servant without a master; and if the master needs the servant, the former is even more necessary to the latter, if he is to get by in life. Intuition is blind: the intellect lends its eyes to it.

THAT INTUITIVE KNOWLEDGE EXISTS INDEPENDENTLY OF INTELLECTUAL KNOWLEDGE

Now the first point to fix firmly in one's mind is that intuitive knowledge has no need of masters; it has no need to lean on anyone; it does not have to ask for the loan of anyone else's eyes since it has perfectly adequate eyes in its own head. And although it is incontestable that in many intuitions one can find an admixture of concepts, in others there is no trace of any such admixture: which proves that such a thing is not essential. The impression of moonlight, depicted by a painter; the contours of a country, drawn by a cartographer; a tender or dynamic musical motif; the words of a plaintive lyric, or those with which we ask for things, give orders or make complaints in everyday life, can all perfectly well be intuitions, without any trace of reference to the intellectual. But, whatever one thinks of such examples, and even granted that one wishes to, and must, maintain the greater part of the intuitions of civilised man to be pervaded by concepts, there is, as well, something else more important and conclusive to be pointed out. The concepts that are to be found mixed and fused with intuitions, insofar as they really are thus mixed and fused, are no longer concepts, having lost any independence and autonomy. They *were*, indeed, once concepts, but have now become simply components of intuitions. Philosophical maxims, put into the mouth of a tragic or comic character, there hold the office not of concepts, but of characteristics of such persons; in the same way that the red in a painted figure does not function like the concept of the colour red as it is used by physicists, but as a characterising element in that figure. The whole determines the nature of the parts. A work of art can be full of philosophical concepts, it can have them in greater abundance, and they can be more profound than those found in a philosophical treatise, which, in this turn, may be rich to overflowing with descriptions and intuitions. But, notwithstanding all those concepts, the net result in the case of a work of art is an intuition; and notwithstanding all those intuitions, the net result in the case of a philosophical treatise is conceptual. *I promessi sposi* contains an abundance of ethical observations and distinction; but it does not for this reason, taken as a whole, lose the character of being simply a story, or an intuition. By the same token, the anecdotes and satirical outbursts that can be found in the books of a philosopher like Schopenhauer do not take from those works the character of intellectual treatises. It is in the overall result, in the distinctive effect which everyone admires and which determines and bends to its service all the individual parts, and *not* in these individual parts, detached, and abstractly considered in themselves, that the difference between a scientific work and a work of art, between an intellectual act and an intuitive act, resides.

INTUITION AND PERCEPTION

However, in order to have a correct and precise notion about intuition it is not enough to recognise that it is independent of the conceptual. Among those who recognise this, or who, at any rate, don't explicitly make intuition dependent on the operations of the intellect, another error appears which obscures and confuses its true nature. Intuition is frequently understood as perception, that is to say, as the knowledge of what has actually happened, the apprehension of something *as* a real thing.

To be sure, perception is intuition: my perception of the room in which I am writing, of the ink bottle and the paper in front of me, of the pen that I use, of the objects that I touch and employ as my instruments, the instruments of a person who, if he writes, therefore exists; -- these are all intuitions. But, as much an intuition is the picture that is now passing through my mind of a me that writes in a different room, in another city, with a different paper, pen and bottle of ink. Which means that a distinction between what is real and what is not is to be made only after intuition has occurred and is extrinsic to the true nature of intuition. If we suppose there to be a human spirit that is intuiting for the first time, it may seem that it could only intuit what is actually the case, and therefore only have intuitions of what is real. But, since an awareness that something is real is based on a distinction between representations of things that are real, and representations of things that are not, and since this distinction is not there to begin with, these primary intuitions will, in truth, be neither intuitions of what is real nor intuitions of what is not real. They will not be perceptions but pure intuitions. Where everything is real, nothing is real. A certain notion, a somewhat vague and distant approximation to this state of innocence, may be given to us by the young child, with its difficulty in distinguishing between truth and make-believe, between history and legend, which are all one to it. Intuition embraces, without distinction, both the perception of what is real, and the representation of what is simply possible. In intuition we do not situate ourselves, as empirically existing beings, before an already existing external world, rather, we just make mental objects out of our impressions, whatever these may be.

INTUITION AND THE CONCEPTS OF SPACE AND TIME

Those who think of intuition as sensation given form and order simply according to the categories of space and time, might, however, seem to come closer to the truth. Space and time (they say) are the forms of intuition: to intuit something is to give it location in space and in time. The activity of intuition would, thus, consist of this dual, simultaneous activity of spatialising and temporalising something. However, we must repeat, with respect to these two categories, what has been said about such intellectual distinctions as may be found to be fused into intuitions. We have intuitions that lack a location in space and time: a tinge of colour in the sky, and a nuance of feeling, a cry of pain, and a conscious effort of will, are intuitions that we have where nothing is given form in space and in time. And in some intuitions we can find the spatial and not the temporal, and vice versa; but even where one finds both, an awareness of them results from later reflection: they *can* be fused within intuition in the same way as all its other components: they will exist, that is to say, as the *material* and not as what *gives form to that material*, as ingredients and not as their organisation. Who, save by an act of reflection that would momentarily interrupt contemplation, notices space when standing before a portrait or a landscape? Who, save by a similarly distracting act of reflection, notices the temporal series when listening to a story or a piece of music? What one intuits in a work of art is not space and time, but its character or individual physiognomy. Moreover, some of the analyses that one sees offered in recent philosophy tend to conform to the view expounded here. Space and time, rather than being the simplest and most basic of forms, are revealing themselves as highly complicated intellectual constructions. And, on the other hand, even in some of those who do not entirely deny that space and time possess a formative power, or are categories or activities, one sees the attempt to unite them and to understand them in a different way from the ordinary concept of these categories. There are those who reduce intuition to the single category of that which locates something in space, maintaining that even time can only be intuited spatially. Others abandon, as philosophically unnecessary, the three dimensions of space, and think of the activity of locating something in space as itself empty of any spatial attributes.

And what on earth could this activity be, the simple activity of ordering that would even give an order to time? Isn't it, perhaps, the residue of various criticisms and denials, from which is extracted only the need to posit an activity that is generically intuitive? And isn't this latter correctly pinned down when one thinks of it as a single category or function – not the function of locating something in space, nor that of locating something in time, but that of giving a particular individual character to something: -- or, better, when one thinks of it as just that category or function that gives us knowledge of things in their individual physiognomy.

INTUITION AND SENSATION

Having thus freed intuitive knowledge from any intellectual taint and from anything extrinsic to it or added by later reflection, we must now clarify it and determine its boundaries from another side and against a different kind of invasion and unclarity. On the other side, below a lower limit, there is sensation, there is unformed material, which the spirit can never grasp in itself, insofar as it is merely material, and which it can possess only by giving form to it, and as formed, but which it postulates by using the concept of *just that* – a limit. This material, abstractly conceived, is mechanism, it is passivity, it is that which the spirit of man endures but does not produce. Without it no human knowledge or activity is possible; but the merely material gives us our animal nature, what in man is brute-like and impulsive, and not the spiritual realm in which being *human* consists. How often we struggle in the effort to intuit clearly what is at work in us! We glimpse something, but we do not have it before the spirit, objectified and given form. In these moments we best perceive the profound difference between matter and form: these are *not* two things that we do, one of which stands opposed to the other; rather, the former is something that comes from outside us, which assails us and carries us away, the latter is something that comes from inside us, which seeks to encompass that which comes from without and to possess it. Material, besieged and conquered by form, gives way to concrete form. It is the material, the content, that distinguishes our intuitions from each other: the form is constant, it is spiritual activity; the material is mutable, and without it spiritual activity would never issue forth from its abstractness in order to become actual and concrete activity, this or that spiritually ordered content, this or that determinate intuition.

It is curious and characteristic of our present state that precisely this form, precisely this activity of the spirit, precisely that which is what we *really* are, should be so easily ignored and denied. And there are those who confuse the activity of the human spirit with that mythical cativity which is metaphorically referred to as the activity of so-called nature, which is mere mechanism, and which is not like human activity, ...

---- Benedetto Croce's *The Aesthetic as the Science of Expression and of the Linguistic in General*¹

70. (法) 安妮·路易丝·杰曼·史达尔 Anne Louise Germaine de Staël



Anne Louise Germaine de Staël, 1766-1817

生平及重要译论：

安妮·路易丝·杰曼·史达尔 Anne Louise Germaine de Staël (Pronunciation Key: [zhermen' du stäl])，即史达尔夫人 Mme de Staël (全称为 Baronne Anne Louise Germaine Necker de Staël-Holstein.)，1766-1817，法国自由主义小说家、社会和文学评论家。出生于巴黎，其父奈克尔 (Jacques and Suzanne Necker) 为瑞士银行家、法国路易十六的财政大臣，丈夫巴伦 (Baron Staël-Holstein) 为瑞士外交家。史达尔早年受到启蒙思想的影响，后由于反对拿破仑而被流放。文学作品主要有《黛菲妮》(Delphini, 1802) 和《珂莉娜》(Corinne, 1807)，文学评论作品主要有《论文学》(De la Littérature) (On Literature) 和《论德意志》(De L'Allemagne, 1810) (On Germany)。她的大部分作品都被译成英语。

史达尔夫人的文学思想对浪漫主义文学有着很大的影响。她强调理解文学作品要用历史比较的方法，而不应该是古典主义文学法则。应该从不同时代的政治社会环境来理解不同时代的文学作品。翻译同文学作品一样，同样会有时代的特征，因此史达尔夫人也注意到不同时代的思想意识对于翻译所产生的影响并强调翻译中精神 (spirit) 的传递。

译论史稿辑要：

The most eminent service one can render to literature is to transport the masterpieces of the human spirit from one language into another.

The best way to do without translations, I admit, would be to know all the languages in which the works of the great poets have been written: Greek, Latin, Italian, French, English, Spanish, Portuguese, German. But to do that you would need a lot of time and a lot of help and then you could never flatter yourself with the thought that knowledge so hard to acquire would, in fact, be acquired by all.

If translations of poems enrich literature, translations of plays could exert an even greater influence, for the theater is truly literature's executive power.

---- Staël, *Mélanges* (Writings)⁷²

Victor Hugo



Victor Hugo, 1802-1885

生平及重要译论：

维克多·雨果 Victor Hugo, 1802-1885, 法国著名小说家、诗人、戏剧家和翻译家，法国浪漫主义运动的代表人物。出生于法国柏桑松省，其父为拿破仑部下军官。其剧本《克伦威尔》(*Cromwell*, 1827) 和《克伦威尔序言》(*La Preface de Cromwell*, 1827) 标志着其政治和文学思想从保皇到新兴浪漫主义的转变。该剧本虽未能公演，但《克伦威尔序言》全面阐述了浪漫主义的纲领，成为浪漫主义运动的重要宣言。1851 年雨果因参加反对拿破仑第三政变的起义而被流放 19 年。雨果的重要作品有剧本《欧那尼》(*Hernani*, 1830)、长篇历史小说《巴黎圣母院》(*Notre-Dame de Paris*, 1831)、诗集《秋叶集》(*Les Feuilles d'automne*, 1831)、长篇社会小说《悲惨世界》(*Les Misérables*, 1862)、长篇小说《九三年》(*Quatrevingt-treize*, 1874) 等名著。死后法国为其举行国葬，并葬于先贤祠。

维克多·雨果曾与其子弗朗索瓦-维克多·雨果 (François-Victor Hugo, 1828-1873) 合作翻译了莎士比亚全集并由其子出版 (1865)。由于雨果父子的译文完美地体现了原著的优美，因此在众多莎士比亚戏剧全集译本中受到特别推崇，被誉为法国莎士比亚戏剧翻译的第二座里程碑。在这部莎士比亚全集翻译序言中，雨果谈到翻译在语言、文学、文化方面等方面对译入语民族所带来的冲击和影响。

译论史稿辑要：

When you offer a translation to a nation, that nation will almost always look on the translation as an act of violence against itself. Bourgeois taste tends to resist the universal spirit.

To translate a foreign writer is to add to your own national poetry; such a widening of the horizon does not please those who profit from it, at least not in the beginning. The first reaction is one of rebellion. If a foreign idiom is transplanted into a language in this way, that language will do all it can to reject that foreign idiom. This kind of taste is repugnant to it. These unusual locutions, these unexpected turns of phrase, that savage corruption of well-known figures of speech, they all amount to an invasion. What, then, will become of one's own literature? Who could ever dare think of infusing the substance of another people into its own very life-blood? This kind of poetry is excessive. There is an abuse of images, a profusion of metaphors, a violation of frontiers, a forced introduction of the cosmopolitan into local taste.

---- preface of the Shakespeare translations written by Victor Hugo⁷³

72. (法) 保罗·瓦勒瑞 Paul Valéry



Paul Valéry, 1871-1945

生平及重要译论:

保罗·瓦勒瑞(又译瓦莱里) Paul Valéry, 1871.10.30-1945.7.20, 法国颇有影响的象征主义派(十九世纪末法国反现实主义文艺思潮主要流派之一)诗人、格言作家、散文作家和评论家, 曾翻译维吉尔的作品。出生于法国 Hérault 的港口城市 Cette(即现在的 Sète), 1892 年后定居巴黎。瓦勒瑞兴趣广泛, 曾在蒙彼利埃大学(the University of Montpellier)研习法律, 后又对数学、哲学、音乐和诗歌发生兴趣。

瓦勒瑞数百上千的睿智的格言吸引了无数的读者, 如 Everything changes but the avant-garde、The future, like everything else, is not what it used to be、History is the science of things which do not repeat themselves 等。

瓦勒瑞是从诗人的角度来看待翻译的, 他强调译者必须超越原文的形式特别是原文句法结构的约束, 要使译文与原文具有同样强烈的音乐感和文学感。著有《圣哲罗姆的祈求》(1946), 该书的出版标志着西方译学理论一个发展阶段的终止, 该阶段“始于十八世纪末的施莱尔玛赫”。⁷⁴

译论史稿辑要:

“A writer is ‘profound,’” Valéry claimed, “when what he says, *once translated from language into unambiguous thought*, compels us to think it over for a perceptible, and rewarding, period of time.”⁷⁵

73. (法) J. 马鲁佐 J. Marouzeau

生平及重要译论:

J. 马鲁佐 J. Marouzeau, 巴黎大学教授, 《语文学年鉴》(Année Philologique) 主编, 著有《论拉丁语翻译》(La traduction du Latin), 是重要的法语翻译理论文献。

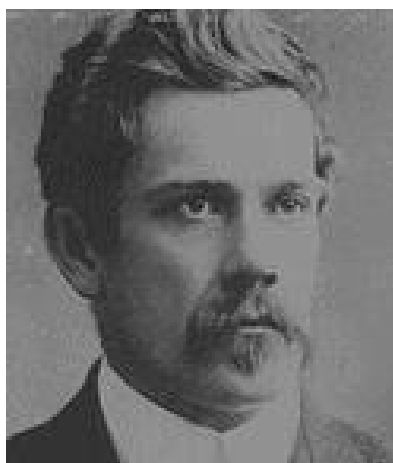
马鲁佐认为翻译是科学和艺术，但更重要的是它首先是一门技巧。译者的任务主要是向读者揭示原作的内容而不是语言外壳。

马鲁佐还首次提出使用词典的目的应该是为了理解原文，而不是为了翻译、为了寻找对等的词语，因为不同原文的词语必须有不同的解释，来自不同原文的同一词语含义是不同的，例如来自法律或《圣经》的词语的含义就有别于来自古典文学作品中的同一词语的含义。

马鲁佐还特别强调翻译要使用活的语言，即设想如果原作者仍然在世，他会以怎样的方式来表达呢？但马鲁佐同时也指出有些作品例如奥维德的作品还是需要保留原语的味道：

法译文中体现点古味是最适当的。⁷⁶

74. (爱尔兰) 约翰·米林顿·辛格 John Millington Synge



John Millington Synge, 1871-1909
(Ireland, 1871-1909)

生平及重要译论：

约翰·米林顿·辛格 John Millington Synge, 1871.4.16-1909.3.24, 爱尔兰著名诗人、剧作家、散文作家和翻译家，出生于都柏林附近的一个新教徒家庭，一岁时丧父。17岁在都柏林三一学院（Trinity College, Dublin）攻读语言和历史，还在爱尔兰皇家音乐学院（Royal Irish Academy of Music）学习音乐。后赴德国继续进修音乐，之后前往巴黎从事文学评论工作。在巴黎与爱尔兰诗人、剧作家威廉·勃特勒·叶芝（William Butler Yeats, 1865-1939）相遇，后听从叶芝建议去阿兰群岛研究民俗方言并创作了剧本《阿兰群岛》（*The Aran Islands*, 1907），描述阿兰群岛的风土人情。辛格其他重要剧本也与他在阿兰群岛的经历有关，包括独幕喜剧《幽谷的阴影》（*The Shadow of the Glen*, 1903）、独幕悲剧《骑马下海的人》（*Riders to the Sea*, 1904）、《圣泉》（*Well of the Saints*, 1905）、曾引起轰动的《西部好汉》（*Playboy of the Western World*, 1907）、《补锅匠的婚礼》（*The Tinker's Wedding*, 1909）、未完成的悲剧《悲伤的迪尔德丽》（*Deirdre of the Sorrows*, 1910）。1904年与叶芝、格雷戈里夫人（Lady Isabella Augusta Gregory, 爱尔兰剧作家，1852-1932）创建了著名的都柏林阿比剧院（Abbey Theatre）。他还曾将法国和意大利诗歌译成英语，并将自己的诗歌译成外语，在爱尔兰

兰的文学复兴中发挥了重要的作用。38 岁时因患当时不治的淋巴肉芽肿病（Hodgkins disease）不幸英年早逝。

辛格十分重视文本的互文性影响。他认为在翻译诗歌词汇时“如果不能再现诗歌的乐感”便不能称为真正的翻译。他认为译者的任务就是再现原诗的“激情与美”（excitement and beauty）并认为翻译对于民族文化来说是个“英雄的壮举”（a heroic enterprise）。⁷⁷

75.（爱尔兰）托马斯·麦克唐纳 Thomas MacDonagh



Thomas MacDonagh, 1878-1916

生平及重要译论：

托马斯·麦克唐纳 Thomas MacDonagh, 1878.2.1-1916.5.3，著名诗人、文学家。出生于爱尔兰 Tipperary 郡的 Cloughjordan，父母都是教师。由于担任 1916 年的复活节起义（Easter Rising）领导人并签署爱尔兰独立宣言而被监禁并最终被枪决。

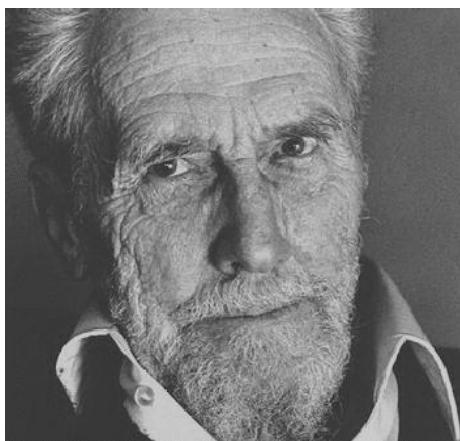
麦克唐纳关于翻译的观点主要见于《爱尔兰文学》一书。他认为，作品的生命力在于翻译。原作中存在着伟大的力量、高大的人物形象和深邃的哲学思想，这些在译语中不但不会褪色，甚至译作还有可能超过原作。有些意象在一种语言中可能已经消亡，但可能在新的语言环境中恢复。⁷⁸ 麦克唐纳的这个观点引起人们很大的兴趣和关注。

译论史稿辑要：

All my translations are very close to the originals. In my version of this poem I have changed nothing for the purpose of elucidation. I have even translated the name of Loch Mhic an Ein, a lake in the North-west of Ireland. Some of the references must be obscure to all but students of Irish literature; I think, however, that the poem does not suffer too much from the difficulty of these.⁷⁹

第五章 当代西方译论

76. (美) 埃兹拉·庞德 Ezra Pound



Ezra Pound, 1885-1972

Picture from Mindscape Student Reference Library

生平及重要译论

埃兹拉·庞德 Ezra Pound, 1885-1972, 著名诗人、翻译评论家、翻译家, 写过 70 多部书籍并译过日本和中国的作品。生于美国爱达荷州 (Idaho) 的海雷 (Hailey), 就读于宾西法尼亚大学 (University of Pennsylvania) 和哈密尔顿大学 (Hamilton College), 研读盎格鲁-撒克逊和罗曼语言文学, 获硕士学位 (1906), 1908 年开始出版诗集 (*Lume Spento*), 后成为伦敦现代派诗人领袖, 自称为意象派 (Imagism) 诗人, 并于 1914 年出版《意象派诗选》(*Des Imagistes*) (第一辑)。后来又参加漩涡派 (Vortism)。二次大战后由于支持墨索里尼的法西斯政权在华盛顿被控叛国罪, 后被送进精神病院, 十二年后于 1958 年获准回意大利威尼斯定居至终。

庞德的主要作品有《狂喜》、《人物》、《面具》(1909)、《罗曼斯精神》(1910)、《反击》(1912)、《献祭》(1916)、《休·西尔文·毛伯莱》(1920) 和《诗章》(*Cantos*) (1917-1959) 以及《孔子: 稳定的枢轴和伟大的纲要》(*Confucius: The Unwobbling Pivot and the Great Digest*, 1947)、《孔子的论语》(*Confucian Analects*, 1951)、《古典作品选集》(*The Classic Anthology*, 1954) 等。其影响最大的译作当属《华夏》(*Cathay*, 1915) 并一度引起轰动, 成为意象派诗歌的代表作。

作为翻译家, 庞德认为译诗应该凝炼、简洁、含蓄, 要突出意象美和节奏感。他认为, 理想的诗歌翻译家与理想的诗人是没有什么不同的。翻译诗歌必须深入到原诗作者的思想中并体会到原诗作者的意象和感情。翻译不重在词句而重在词句所要表达的事物和感情。庞德在自己的翻译实践中便是不重视具体词语的意义而是依靠诗歌的节奏和词语的语境。同时, 他还强调词语使用的历史氛围, 了解诗歌的历史时代, 并将这种氛围重现出来。此外, 他还强调词语的文化信息及其在决定词语的隐含意义及文字游戏方面的重要性。

庞德认为诗歌的音乐感是难以翻译的, 但“视觉感”却是可译的, 这个“视觉感”即“意象”。他说:

诗中能触动读者的眼睛而引起想象的部分，译成外语一点也不会遭到损失；而诉诸读者耳朵的部分，则只有阅读原作的人才能感受到的。¹

庞德关于翻译理论的文章主要收集在 *I Gather the Limbs of Osiris* 中，其中第一篇为《早期盎格鲁-萨克逊文章的翻译》，第二篇则为《论翻译技巧》。

庞德自己并不懂汉语，仅凭零星的意象（来自他人的注释）和个别细节，却成功地进行了半是翻译半是创作的《华夏》的翻译。他主张翻译要重本位重接受者，翻译的职责就是“让死者复活”，因此他坚决反对“外腔外调”的直译。庞德的这种翻译理论对于美国的翻译培训派产生了巨大的影响，也为当代的文学翻译理论产生了巨大的影响。

译论史稿辑要：

(1)

It is conceivable the poetry of far-off time or place requires a translation not only of word and of spirit, but of 'accompaniment', that is, that the modern audience must in some measure be made aware of the mental content of the older audience, and of what these others drew from certain fashions of thought and speech.²

(2)

Nancy where art thou?
Whither go all the vairs and the circulations
and the wave pattern runs in the stone
on the high parapet (Excideuil)
Mt Segur and the city of Dioce
Que tous les mois avons nouvelle lune
What the deuce has Herbiot (Christian)
done with his painting?

---- Ezra Pound: *Canto LXXX*³

(3)

Don't use such an expression as 'dim lands of *peace*'. It dulls the image. It mixes an abstraction with the concrete. It comes from the writer's not realizing that the natural object is always the *adequate* symbol.

---- Ezra Pound: *Poetry*⁴

(4)

The vortex is the point of maximum energy. [...] All experience rushes into this vortex. All the energized past, all the past that is living[...]. Impressionism, Futurism, which is only an accelerated sort of impressionism, DENY the vortex[...]. The vorticist relies not upon similarity or analogy, not upon likeness or mimicry[...]. An Image is that which presents an intellectual and emotional complex in an instant of time[...]. Picasso, Kandinski, father and mother, classicism and romanticism of the movement.

---- Ezra Pound, "Vortex"⁵

(5)

LOGOPOEIA, "the dance of the intellect among words", that is to say, it employs words not only for their direct

meaning, but it takes countin a special way of habits of usage, of the context we *expect* to find with the word, its usual concomitants, of its known acceptances, and of ironical play. It holds the aesthetic content which is peculiarly the domain of verbal manifestation, and cannot possibly be contained in plastic or in music. It is the latest come, and perhaps most tricky and undependable mode.

[...]

Logopoeia does not translate; though the attitude of mind it expresses may pass through a paraphrase. Or one might say, you can *not* translate it "locally", but having determined the original author's state of mind, you may or may not be able to find a derivative or an equivalent.

---- Ezra Pound, *Polite Essays*⁶

(6)

I resolved [...] that I would know the dynamic content from the shell[...] what part of poetry was "indestructible," what part could *not be lost* by translation, and -- scarcely less important -- what effects were obtainable in *one* language only and utterly incapable of being translated.

---- Ezra Pound, "How I Began"⁷

77. (美) 罗曼·雅各布森 Roman Jakobson



Roman Jakobson, 1896-1982

生平及重要译论：

罗曼·雅各布森（又译雅克布逊、雅科布松）Roman Jakobson, 1896-1982，出生于莫斯科（October 11, 1896）一个富有的犹太人家庭，著名思想家，通晓多种语言，精通多门学科领域包括音系学、斯拉夫文学、语言学、美学、比较神话、绘画、诗歌、社会人类学、民俗学、心理分析（失语症）、信息论等。雅各布森是莫斯科语言学界的泰斗。1918年毕业于莫斯科大学。1920年由于政治原因移民至捷克斯洛伐克的布拉格（Prague, Czechoslovakia）继续攻读博士，并与语言学理论的布拉格学派（Prague school）创始人之一特鲁

贝茨柯伊（Nikolai Trubetzkoi, 1890-1938, 也是俄国移民）一起工作。二次大战爆发后移居斯堪的纳维亚（Scandinavia），1941年为逃脱纳粹迫害移民美国，1942至1949在纽约高等研究自由学校（École Research）任教，后来先后在哥伦比亚大学（Columbia University）、麻省理工学院（M.I.T.）和哈佛大学（Harvard University）任教，1982年在波士顿逝世。

雅各布森和马泰修斯（Vilém Mathesius, 1882-1946）、特鲁贝茨柯伊以及布龙戴尔（V. Brøndal）、卡尔采夫斯基（Sergel Karcevski）等于1926年10月6日在布拉格语言学大会（The Linguistic Circle of Prague）上正式共同创立了布拉格学派。这个学派强调翻译要重视语言的功能（语言的交际功能与语言成分的区分功能）和语言的比较，并创立了音位学（phonology）。布拉格学派也称功能语法学派。雅各布森与穆卡洛夫斯基并称“捷克结构主义之父”。

雅各布森著述颇多，翻译理论方面最著名的著作是《论翻译的语言学问题》（*On Linguistic Aspects of Translation*, 1959）。该书从语言学的角度对翻译理论、翻译与语言的关系等进行了深入的研讨和精辟的分析，成为西方译学理论研究的一本经典名著，是关于翻译的语言学理论和翻译的符号学理论的重要代表作品。

雅各布森是位语言共性论者，他从信息论和交际学角度来研究语言和翻译，强调翻译中的语言学问题。他继承和发展了索绪尔的普通符号学理论。雅各布森对于翻译的符号学理论是具有开创性的。

首先，雅各布森在翻译理论研究中引入符号学尤其是皮尔士（Peirce）的符号与意义的理论。他认为对词义的理解取决于翻译，而不应该如罗素所说的经验决定对词义的理解。语言的意义附加于符号上，而不是符号所代表的物体本身，所以他说：

没有符号就没有意义。

关于语言的差异问题，他强调语言的强制性范畴：语言的语法范畴是强制的，而词汇选择则是非强制性的。他说：

语言之间的本质差异，不在于他们能表达什么，而在于他们必须表达什么。

在翻译的类型方面，雅各布森将翻译分为三类：1）语内翻译（Intralingual translation），即在同一语言内部一些语言符号解释另一些语言符号，也就是人们通常所指的“改变说法”（rewording）；2）语际翻译（Interlingual translation），即不同语言之间的翻译，是“用一种语言解释语言符号”，也就是人们通常所指的真正的翻译；3）符际翻译（Intersemiotic translation）也称跨类翻译（Transmutation），即用非语言符号系统解释语言符号，或反之用语言符号解释非语言符号。从雅各布森这种对翻译类型的高度概括，可以看出翻译的重要性：翻译无处不在。同时雅各布森也认为，严格意义的翻译应该是跨语言的翻译，因此只有语际翻译才可以称为“真正的翻译”。这里，他对语际翻译的定义使用了“解释”一词。对此，他说道：

如果我们把意大利俗语 traduttore, traditore 译成英语 The translator is a betrayer，我们就失去了这句意大利警句中双关语的谐韵的价值。因此，从认知的角度来说，我们不得不把这一格言变成清楚的陈述，并回答下面的问题：翻译的是什么信息？叛变的是什么价值？

他认为诗歌艺术是不可译的：

惟一的翻译形式是艺术转换：在语内转译中用同一种语言的其他诗歌形式替换特定的诗歌形式；在语际翻译中从一种语言转换到另一种语言；而在符际间翻译中则是从一种符号系统转换转换成另一种符号系统，如把言语艺术转换成音乐、舞蹈、电影或绘画等。⁸

雅各布森认为所有的语言具有同等的表达能力，在翻译中无法翻译的语法现象可以使用词汇的方法来表达，词汇缺乏则可以通过新造词、语义转移及婉转表达等方式来解决。

雅各布森认为翻译的准确性取决于信息的对等。同义词不可能做到信息的完全对等，因此翻译时就可能用多个词来构成对一个词的信息对等，而不是两个同义的词的对等。他说：

翻译所涉及的是两种不同语符中的对等信息。

雅各布森还强调了翻译中最为复杂的语法范畴问题。

雅各布森还创见性地研究了信息与语境问题，并提出与此有关的六个因素及其功能：说话者及表情功能；受话者及意动功能；语境及指称功能；接触及交际功能；代码及元语言功能；信息及美学功能。

雅各布森还颇具眼光地对两种基本的修辞手段即隐喻和转喻进行了深入研究。他从其提出的极性概念和等值概念对隐喻与转喻的二元对立关系进行重新审视，提出两者之间的等值关系及其与诗歌文学的关联关系，并将此观点运用于文学的艺术类型和风格的分析方面。

史料图片选辑：



Roman Jakobson

译论史稿辑要：

According to Bertrand Russell; "no one can understand the word 'cheese' unless he has a nonlinguistic acquaintance with cheese" If, however, we follow 'Russell's fundamental precept and place our "emphasis upon the linguistic aspects of traditional philosophical problems," then we are obliged to state that no one can understand the word "cheese" unless he has an acquaintance with the meaning assigned to this word in the lexical code of English. Any representative of a cheese-less culinary culture will understand the English word "cheese" if he is aware that in this language it means "food made of pressed curds" and if he has at least a linguistic acquaintance with "curds." We never consumed ambrosia or nectar and have only a linguistic acquaintance with the words "ambrosia," "nectar," and "gods" -- the name of their mythical users; nonetheless, we understand these words and know in what contexts each of them may be used.

The meaning of the words "cheese," "apple," "nectar" , "acquaintance," "but", "mere," and of any word or phrase whatsoever is definitely a linguistic -- or to be more precise and less narrow -- a semiotic fact. Against those who assign meaning (*signatum*) not to the sign, but to the thing itself, the simplest and truest argument would be that nobody has ever smelled or tasted the meaning of "cheese" or of "apple." There is no *signature* without *signum*. The meaning of the word "cheese" cannot be inferred from a nonlinguistic acquaintance with cheddar or with camembert without the assistance of the verbal code. An array of linguistic signs is needed to introduce an unfamiliar word. Mere pointing will not teach us whether "cheese" is the name of the given specimen, or of any box of camembert, or of camembert in general or of any cheese, any milk product, any food, any refreshment, or perhaps any box irrespective

of contents. Finally, does a word simply name the thing in question, or does it imply a meaning such as offering, sale prohibition, or malediction? (Pointing actually may mean malediction; in some cultures, particularly in Africa, it is an ominous gesture.)

For us, both as linguists and as ordinary word-users, the meaning of any linguistic sign is its translation into some further, alternative sign, especially a sign "in which it is more fully developed," as Peirce, the deepest inquirer into the essence of signs, insistently stated. The term "bachelor" may be converted into a more explicit designation, "unmarried man," whenever higher explicitness is required. We distinguish three ways of interpreting a verbal sign: it may be translated into other signs of the same language, into another language, or into another, nonverbal system of symbols. These three kinds of translation are to be differently labeled:

1) Intralingual translation or *rewording* is an interpretation of verbal signs by means of other signs of the same language.

2) Interlingual translation or *translation proper* is an interpretation of verbal signs by means of some other language.

3) Intersemiotic translation or *transmutation* is an interpretation of verbal signs by means of signs of nonverbal sign systems.

The intralingual translation of a word uses either another, more or less synonymous, word or resorts to a circumlocution. Yet synonymy, as a rule, is not complete equivalence: for example, "every celibate is a bachelor, but not every bachelor is a celibate." A word or an idiomatic phrase-word, briefly a code-unit of the highest level, may be fully interpreted only by means of an equivalent combination of code-units, i.e., a message referring to this code-unit: "every bachelor is an unmarried man, and every unmarried man is a bachelor," or "every celibate is bound not to marry, and everyone who is bound not to marry is a celibate."

Likewise, on the level of interlingual translation, there is ordinarily no full equivalence between code-units, while messages may serve as adequate interpretations of alien code-units or messages. The English word "cheese" cannot be completely identified with its standard Russian heteronym "сыр", because cottage cheese is a cheese but not a сыр. Russians say: *принеси сыру и творогу*, "bring cheese and [sic] cottage cheese." In standard Russian, the food made of pressed curds is called сыр only if ferment is used.

Most frequently, however, translation from one language into another substitutes messages in one language not for separate code-units but for entire messages in some other language. Such a translation is a reported speech; the translator recodes and transmits a message received from another source. Thus translation involves two equivalent messages in two different codes.

Equivalence in difference is the cardinal problem of language and the pivotal concern of linguistics. Like any receiver of verbal messages, the linguist acts as their interpreter. No linguistic specimen may be interpreted by the science of language without a translation of its signs into other signs of the same system or into signs of another system. Any comparison of two languages implies an examination of their mutual translatability; widespread practice of interlingual communication, particularly translating activities, must be kept under constant scrutiny by linguistic science. It is difficult to overestimate the urgent need for and the theoretical and practical significance of differential bilingual dictionaries with careful comparative definition of all the corresponding units in their intension and extension. Likewise differential bilingual grammars should define what unifies and what differentiates the two languages in their selection and delimitation of grammatical concepts.

Both the practice and the theory of translation abound with intricacies, and from time to time attempts are made to sever the Gordian knot by proclaiming the dogma of untranslatability. "Mr. Everyman, the natural logician," vividly imagined by B. L. Whorf, is supposed to have arrived at the following bit of reasoning: "Facts are unlike to speakers whose language background provides for unlike formulation of them." In the first years of the Russian revolution there were fanatic visionaries who argued in Soviet periodicals for a radical revision of traditional language and

particularly for the weeding out of such misleading expressions as "sunrise" or "sunset." Yet we still use this Ptolemaic imagery without implying a rejection of Copernican doctrine, and we can easily transform our customary talk about the rising and setting sun into a picture of the earth's rotation simply because any sign is translatable into a sign in which it appears to us more fully developed and precise.

A faculty of speaking a given language implies a faculty of talking about this language. Such a "metalinguistic" operation permits revision and redefinition of the vocabulary used. The complementarity of both levels -- object-language and metalanguage -- was brought out by Niels Bohr: all well-defined experimental evidence must be expressed in ordinary language, "in which the practical use of every word stands in complementary relation to attempts of its strict definition."

All cognitive experience and its classification is conveyable in any existing language. Whenever there is deficiency, terminology may be qualified and amplified by loanwords or loan-translations, neologisms or semantic shifts, and finally, by circumlocutions; Thus in the newborn literary language of the Northeast Siberian Chukchees, "screw" is rendered as "rotating nail," "steel" as "hard iron," "tin" as "thin iron," "chalk" as "writing soap," "watch" as "hammering heart." Even seemingly contradictory circumlocutions, like "electrical horsecar" (электрическая конка), the first Russian name of the horseless street car, or "flying steamship" (*jena paragot*), the Koryak term for the airplane, simply designate the electrical analogue of the horsecar and the flying analogue of the steamer and do not impede communication, just as there is no semantic "noise" and disturbance in the double oxymoron -- "cold beef-and-pork hot dog."

No lack of grammatical device in the language translated, into makes impossible a literal translation of the entire conceptual information contained in the original. The traditional conjunctions "and", "or" are now supplemented by a new connective -- "and/or" -- which was discussed a few years ago in the witty book *Federal Prose -- How to Write in and/or for Washington*. Of these three conjunctions, only the latter occurs in one of the Samoyed languages. Despite these differences in the inventory of conjunctions, all three varieties of messages observed in "federal prose" may be distinctly translated both into traditional English and into this Samoyed language. Federal prose: 1) John and Peter, 2) John or Peter, 3) John and/or Peter will come. Traditional English: 3) John and Peter or one of them will come. Samoyed: John and/or Peter both will come, 2) John and/or Peter, one of them will come.

If some grammatical category is absent in a given language, its meaning may be translated into this language by lexical means. Dual forms like Old Russian брата are translated with the help of the numeral: "two brothers." It is more difficult to remain, faithful to the original when we translate into a language provided with a certain grammatical category from a language devoid of such a category. When translating the English sentence "She has brothers" into a language which discriminates dual and plural, we are compelled either to make our own choice between two statements "She has two brothers" -- "She has more than two" or to leave the decision to the listener and say: "She has either two or more than two brothers." Again in translating from a language without grammatical number into English one is obliged to select one of the two possibilities -- "brother" or "brothers" or to confront the receiver of this message with a two-choice situation: "She has either one or more than one brother."

As Boas neatly observed, the grammatical pattern of a language (as opposed to its lexical stock) determines those aspects, of each experience that must be expressed in the given language: "We have to choose between these aspects, and one or the other must be chosen." In order to translate accurately the English sentence "I hired a worker," a Russian needs supplementary information, whether this action was completed or not and whether the worker was a man or a woman, because he must make his choice between a verb of complete or noncomplete aspect -- *нанял* or *нанимал* -- and between a masculine - and feminine noun -- *работника* or *работницу*. If I ask the utterer of the English sentence whether the worker was male or female, my question may be judged irrelevant or indiscreet, whereas in the Russian version of this sentence an answer to this question is obligatory. On the other hand, whatever the choice of Russian grammatical forms to translate the quoted English message, the translation will give no answer

to the question of whether I "hired" or "have hired" the worker, or whether he/she was an indefinite or definite worker ("a" or "the"). Because the information required by the English and Russian grammatical pattern is unlike, we face quite different sets of two-choice situations; therefore a chain of translations of one and the same isolated sentence from English into Russian and vice versa could entirely deprive such a message of its initial content. The Geneva linguist S. Karcevski used to compare such a gradual loss with a circular series of unfavorable currency transactions. But evidently the richer the context of a message, the smaller the loss of information.

Languages differ essentially in what they *must* convey and not in what they *may* convey. Each verb of a given language imperatively raises a set of specific yes-or-no questions, as for instance: is the narrated event conceived with or without reference to its completion? Is the narrated event presented as prior, to the speech event or not? Naturally the attention of native speakers, and listeners will be constantly focused on such items as are compulsory in their verbal code.

In its cognitive function, language is minimally dependent on the grammatical pattern because the definition of our experience stands in complementary relation to metalinguistic operations -- the cognitive level of language not only admits but directly requires recoding interpretation, i.e., translation. Any assumption of ineffable or untranslatable cognitive data would be a contradiction in terms. But in jest, in dreams, in magic, briefly, in what one would call everyday verbal mythology and in poetry above all, the grammatical categories carry a high semantic import. In these conditions, the question of translation becomes much more entangled and controversial.

Even such a category as grammatical gender, often cited as merely formal, plays a great role in the mythological attitudes of a speech community. In Russian the feminine cannot designate a male person, nor the masculine specify a female. Ways of personifying or metaphorically interpreting inanimate nouns are prompted by their gender. A test in the Moscow Psychological Institute (1915) showed that Russians, prone to personify the weekdays, consistently represented Monday, Tuesday, and Thursday as males and Wednesday, Friday, and Saturday as females, without realizing that this distribution was due to the masculine gender of the first three names (понедельник, вторник, четверг) as against the feminine gender of the others (среда, пятница, суббота). The fact that the word for Friday is masculine in some Slavic languages and feminine in others is reflected in the folk traditions of the corresponding peoples, which differ in their Friday ritual. The widespread Russian superstition that a fallen knife presages a male guest and a fallen fork a female one is determined by the masculine gender of нож "knife" and the feminine of вилка "fork" in Russian. In Slavic and other languages, where "day" is masculine and "night" feminine, day is represented by poets as the lover of night. The Russian painter Repin was baffled as to why Sin had been depicted as a woman by German artists: he did not realize that "sin" is feminine in German (*die Sünde*), but masculine in Russian (грех). Likewise a Russian child, while reading a translation of German tales, was astounded to find that Death, obviously a woman (Russian смерть, fem.), was pictured as an old man (German *der Tod*, masc.). *My Sister Life*, the title of a book of poems by Boris Pasternak, is quite natural in Russian, where "life" is feminine (жизнь), but was enough to reduce to despair the Czech poet Josef Hora in his attempt to translate these poems, since in Czech this noun is masculine (*život*).

What was the initial question which arose in Slavic literature at its very beginning? Curiously enough, the translator's difficulty in preserving the symbolism of genders, and the cognitive irrelevance of this difficulty, appears to be the main topic of the earliest Slavic original work, the preface to the first translation of the *Evangelium*, made in the early 860's by the founder of Slavic letters and liturgy, Constantine the Philosopher, and recently restored and interpreted by A. Vaillant. "Greek, when translated into another language, cannot always be reproduced identically, and that happens to each language being translated," the Slavic apostle states. "Masculine nouns as ποταμός 'river' and αστήρ 'star' in Greek, are feminine in another language as рѣка and звѣзда in Slavic." According to Vaillant's commentary, this divergence effaces the symbolic identification of the rivers with demons and of the stars with angels in the Slavic translation of two of Matthew's verses (7: 25 and 2: 9). But to this poetic obstacle, Saint Constantine

resolutely opposes the precept of Dionysius the Areopagite, who called for chief attention to the cognitive values (силь разуму) and not to the words themselves.

In poetry, verbal equations become a constructive principle of the text. Syntactic and morphological categories, roots, and affixes, phonemes and their components (distinctive features) -- in short, any constituents of the verbal code -- are confronted, juxtaposed, brought into contiguous relation according to the principle of similarity and contrast and carry their own autonomous signification. Phonemic similarity is sensed as semantic relationship. The pun, or to use a more erudite, and perhaps more precise term -- paronomasia, reigns over poetic art, and whether its role is absolute or limited, poetry by definition is untranslatable. Only creative transposition is possible: either intralingual transposition -- from one poetic shape into another, or interlingual transposition -- from one language into another, or finally intersesmiotic transposition -- from one system of signs into another, e.g., from verbal art into music, dance, cinema, or painting.

If we were to translate into English the traditional formula *Traduttore, traditore* as "the translator is a betrayer," we would deprive the Italian rhyming epigram of all its paronomastic value. Hence a cognitive attitude would compel us to change this aphorism into a more explicit statement and to answer the questions: translator of what messages? betrayer of what values?

---- Roman Jakobson's "*On Linguistic Aspects of Translation*"⁹

78. (美) 威拉德·奥曼·奎因 Willard Van Orman Quine



Willard Van Orman Quine, 1908-2000

生平及重要译论:

威拉德·奥曼·奎因(又译奎那) Willard Van Orman Quine, 1908.6.25-2000.12.25, 二十世纪很有影响的一位语言哲学家和逻辑学家。出生于美国俄亥俄州阿克伦城(Akron, Ohio), 曾在俄亥俄州奥博林学院学习哲学并获文学士学位, 后在哈佛大学与哲学家、数学家怀特黑德(Alfred North Whitehead, 1861-1947)研究数学逻辑, 1932年获哲学博士学位, 1936年任哈佛大学哲学教授。1942-1946曾任海军上尉军官。

奎因关于逻辑和哲学的著述颇多, 其中专著《语词和对象》(*Word & Object*, 1960)及论文“Meaning and Translation”(“意义与翻译”)对翻译的不确定性(the indeterminacy of translation)及意义理论进行了

开拓性的探讨，在西方哲学、语言学和翻译理论界引起很大反响。他是这样来认识语言和意义的：

语言是一种社会的技艺（a social art）。在习得语言时，关于说什么和何时说，我们必须完全依赖于主体间可资利用的参照物。因此，只有根据人们对社会可观察的刺激所作出的明显的反应的倾向，才能核实语言的意义，除此之外，其他确定语言意义的方法都是毫无道理的。

承认这一制约的结果，就是翻译活动涉及到某种经常会有不确定性。¹⁰

翻译的不确定性就是由这种社会性的而不是个人性的活动决定的。一个单一的句子往往具有不止一个意义。只有根据人们对社会可观察的刺激所作出的反应的倾向才能解释语言的意义；这种意义论的行为主义必然导致翻译的不确定性理论的产生。奎因特地举出 *gavagai* 一词为例（参阅下面的“译论史稿辑要”）。语言学家也许会将此词译成 *rabbit*，也许会译成 *Lo, a rabbit*，或 *rabbit-fly*（与 *rabbit* 结伴的一种昆虫），还可能译成 *food* 或 *Let's go hunting* 或 *There will be a storm tonight*（如果说话人迷信的话），甚至还可能译成 *momentary rabbit-stage*、*temporal cross-section of a four-dimensional space-time extension of a rabbit*、*mass of rabbithood* 或 *undetached rabbit-part* 等。

对于翻译的不确定性，奎因继续论述说：

可以用不同的方式编纂一些把一种语言译为另一种语言的翻译手册，所有这些手册都与言语倾向的总体相容，但它们彼此之间却不相容。在无数的场合下，它们以下述方式互有歧异：对于一种语言的一个句子，它们给出另一种语言的一些句子作为各自的译文，但后面这些句子彼此之间却不具有任何似乎合理的等值关系，无论这种关系是多么松散。当然，一个句子与非语言刺激的直接关联越固定，它在不同翻译手册中的译文彼此就越少严重的歧异。

奎因进一步阐述他的翻译的不确定性理论：

两个翻译家可以编纂两部相互独立的翻译手册，这两部手册都与所有的言语行为和所有的言语行为倾向相容，但其中一部手册会提供另一位翻译家将会拒绝的翻译。我的立场是：两部手册都能够是有用的，但至于哪一部是正确的，哪一部是错误的，不存在任何事实问题。

可以看出，奎因的翻译的不确定性理论已经涵盖了意义的不确定性和指称的不可测知性。

奎因还提出将翻译置于外语习得及运用的背景（奎因称之为“彻底翻译法”）中来考察翻译的合理性和可行性。

史料图片选辑：



W. V. Quine: Age 19



W. V. Quine

译论史稿辑要:

(1)

[...]But what, it may be asked, of the verification theory of meaning? This phrase has established itself so firmly as a catchword of empiricism that we should be very unscientific indeed not to look beneath it for a possible key to the problem of meaning and the associated problems[...] The verification theory of meaning, which has been conspicuous in the literature from Peirce onward, is that the meaning of a statement is the method of empirically confirming or infirming it. An analytic statement is that limiting case which is confirmed no matter what.

[...]

The totality of our so-called knowledge or beliefs, from the most casual matters of geography and history to the profoundest laws of atomic physics or even of pure mathematics and logic, is a man-made fabric which impinges on experience only along the edges. Or, to change the figure, total science is like a field of force whose boundary conditions are experience. A conflict with experience at the periphery occasions readjustments in the interior of the field. Truth values have to be redistributed over some of our statements. Re-evaluation of some statements entails re-evaluation of others, because of their logical interconnections -- the logical laws being in turn simply certain further statements of the system, certain further elements of the field. Having re-evaluated one statement we must re-evaluate some others, which may be statements logically connected with the first or may be the statement of logical connections themselves. But the total field is so underdetermined by its boundary conditions, experience, that there is much latitude of choice as to what statements to re-evaluate in the light of any single contrary experience. No particular experiences are linked with any particular statements in the interior of the field, except indirectly through considerations of equilibrium affecting the field as a whole.

---- Quine, *From A Logical Point of View*¹¹

(2)

The utterances first and most surely translated in such a case are ones keyed to present events that are conspicuous to the linguist and his informant. A rabbit scurries by, the native says "Gavagai", and the linguist notes down the sentence "Rabbit" (or "Lo, a rabbit") as tentative translation, subject to testing in further cases. The linguist will at first refrain from putting words into his informant's mouth, if only for lack of words to put. When he can, though, the linguist has to supply native sentences for his informant's approval, despite the risk of slanting the data by suggestion. Otherwise he can do little with native terms that have references in common. For, suppose the native language includes sentences S_1 , S_2 , and S_3 , really translatable respectively as "Animal", "White", and "Rabbit".

[...]

Stimulus situation always differ, whether relevantly or not; and, just because volunteered responses come singly, the classes of situations under which the native happens to have volunteered S_1 , S_2 , and S_3 , are of course mutually exclusive, despite the hidden actual meanings of the words. How then is the linguist to perceive that the native would have been willing to assent to S_1 in all the situations where he happened to volunteer S_3 , and in some but perhaps not all of the situations where he happened to volunteer S_2 ? Only by taking the initiative and querying combinations of native sentences and stimulus situations so as to narrow down his guesses to his eventual satisfaction.

...

The principle of indeterminacy of translation requires notice just because translation proceeds little by little and sentences are thought of as conveying meanings severally. That it requires notice is plainly illustrated by the almost universal belief that the objective references of terms in radically different languages can be objectively compared.

---- Quine, *Word and Object*¹²

(3)

Manuals for translating one language into another can be set up in divergent ways, all compatible with the totality of speech dispositions, yet incompatible with one another. In countless places they will diverge in giving, as their respective translations of a sentence of the one language, sentences of the other language which stand to each other in no plausible sort of equivalence however loose.

---- Quine, *Word and Object*¹³

79. (美) 劳伦斯·韦努蒂 Lawrence Venuti



Lawrence Venuti

生平及重要译论：

劳伦斯·韦努蒂（又译韦努狄、文努迪）Lawrence Venuti，美籍意大利学者，美国费城坦普尔大学（Temple University, Philadelphia, Pennsylvania）英语教授，1980年获哥伦比亚大学（Columbia University）英语博士（Ph.D. English）学位，从事文学翻译和早期现代文学、英美和外国诗歌传统和翻译理论的研究特别是自德莱顿以来的翻译史的研究。韦努蒂是美国解构主义翻译思想的积极倡导者和重要代表，对以往以目的语文化为归宿的主流研究倾向进行了批判，并提出自己的与“通顺”和“归化”传统翻译原则相抵抗的解构主义的翻译策略。

韦努蒂的解构主义翻译理论主要体现在三部专著中，即《对翻译的再思考》（*Rethinking Translation: Discourse, Subjectivity, Ideology*, 1992），《译者的隐身——一部翻译史》（*The Translator's Invisibility: A History of Translation*, 1995）和《不光彩的翻译》（*The Scandals of Translation: Towards an Ethics of Difference*, 1998）。这三部著作已经成为研究解构主义翻译理论的经典著作。2000年他还编辑了《翻译研究读者》*The Translation Studies Reader*（2nd ed. 2004）一书并翻译了威尔科克（Juan Rodolfo Wilcock）的《反偶像崇拜者的神殿》（*The Temple of Iconoclasts*）。

韦努蒂的翻译理论研究是从政治、历史和文化考察的角度进行的。韦努蒂认为在英美文化中，通顺翻译的策略实现的是翻译的透明（transparent），隐藏在透明理论后面的却是以英美文化的规范、价值观和美学观为标准来归化外国文本和外国文化，是处于强势地位的文化对于弱势文化的不平等，¹⁴是为英美文化的霸权主义、民族中心主义和文化上的殖民主义服务的。

韦努蒂认为各民族的文化是有着巨大的差异的。他针对奈达为代表的提倡通顺翻译的归化（domestication）翻译理论，并在德国译学理论家施莱尔玛赫（Schleiermacher）1813年所提出的以译文读者为中心的翻译理论的基础上，正式提出异化翻译的理论：

反对英美传统的归化，主张异化的翻译，其目的是要发展一种抵御以目的语文化价值观占主导地位的翻译理论和实践，以表现外国文本在语言和文化上的差异。

他将这种翻译称为“抵抗”（resistancy），抵抗的目标当然就是目的语文化的民族中心主义和文化帝国主义。而异化翻译则体现了对文化差异的容忍、接受和尊重以及对文化多样性的追求。

解构主义的异化翻译策略为以通顺翻译为主导的翻译理论研究提出了新的理论研究视角，它对传统、理性和权威的理论系统挑战并试图打破其封闭性，从而使理论研究走向多元性，成为受到更多关注的新的理论流派。

译论史稿辑要：

（1）

"Invisibility" is the term I will use to describe the translator's situation and activity in contemporary Anglo-American culture. It refers to two mutually determining phenomena: one is an illusionistic effect of discourse, of the translator's own manipulation of English; the other is the practice of reading and evaluating translations that has long prevailed in the United Kingdom and the United States, among other cultures, both English and foreign-language. A translated text, whether prose or poetry, fiction or nonfiction, is judged acceptable by most publishers, reviewers, and readers when it reads fluently, when the absence of any linguistic or stylistic peculiarities makes it seem transparent, giving the appearance that it reflects the foreign writer's personality or intention or the essential meaning of the foreign text – the appearance, in other words, that the translation is not in fact a translation, but the "original." The illusion of transparency is an effect of fluent discourse, of the translator's effort to insure easy readability by adhering to current usage, maintaining continuous syntax, fixing a precise meaning. What is so remarkable here is that this illusory effect conceals the numerous conditions under which the translation is made, starting with the translator's crucial intervention in the foreign text. The more fluent the translation, the more invisible the translator, and, presumably, the more visible the writer or meaning of the foreign text.

--- Lawrence Venuti, *The Translator's Invisibility: A History of Translation*¹⁵

（2）

A fluent translation is written in English that is current ("modern") instead of archaic, that is widely used instead of specialized ("jargonisation"), and that is standard instead of colloquial ("slangy"). Foreign words ("pidgin") are avoided, as are Britishisms in American translations and Americanisms in British translations. Fluency also depends on syntax that is not so "faithful" to the foreign text as to be "not quite idiomatic," that unfolds continuously and easily (not "doughy") to insure semantic "precision" with some rhythmic definition, a sense of closure (not a "dull thud"). A fluent translation is immediately recognizable and intelligible, "familiarised," domesticated, not "disconcerting[ly]" foreign, capable of giving the reader unobstructed "access to great thoughts," to what is "present in the original." Under the regime of fluent translating, the translator works to make his or her work "invisible,"

producing the illusory effect of transparency that simultaneously masks its status as an illusion: the translated text seems "natural," i.e., not translated.

---- Lawrence Venuti, *The Translator's Invisibility: A History of Translation*¹⁶

(3)

The ethnocentric violence of translation is inevitable: in the translating process, foreign languages, texts, and cultures will always undergo some degree and form of reduction, exclusion, inscription. Yet the domestic work on foreign cultures can be a foreignizing intervention, pitched to question existing canons at home. A translator can not only choose a foreign text that is marginal in the target-language culture, but translate it with a canonical discourse (e.g. transparency). Or a translator can choose a foreign text that is canonical in the target-language culture, but translate it with a marginal discourse (e.g. archaism). In this foreignizing practice of translation, the value of a foreign text or a discursive strategy is contingent on the cultural situation in which the translation is made. For the translator, this value is always cast in literary terms, as a practice of writing.

Foreignizing translation is beset with risks, especially for the English-language translator. Canons of accuracy are quite strict in contemporary Anglo-American culture, enforced by copyeditors and legally binding contracts. Standard contractual language requires that the translator adhere closely to the foreign text:

The translation should be a faithful rendition of the work into English; it shall neither omit anything from the original text nor add anything to it other than such verbal changes as are necessary in translating into English.

(*A Handbook for Literary Translators* 1991:16)

Because of the legal risk, the considerable freedom of Robert Graves or the editorial emendations of Pound are not likely to be adopted by many translators today -- at least not with foreign texts whose copyright hasn't yet entered the public domain. Since "faithful rendition" is defined partly by the illusion of transparency, by the discursive effect of originality, the polylingualism of the Zukofskys and Blackburn is equally limited in effectiveness, likely to encounter opposition from publishers and large segments of English-language readers who read for immediate intelligibility. Nevertheless, contemporary translators of literary texts can introduce discursive variations, experimenting with archaism, slang, literary allusion and convention to call attention to the secondary status of the translation and signal the linguistic and cultural differences of the foreign text. Contemporary translators need to develop a more sophisticated literary practice, wherein the "literary" encompasses the various traditions of British and American literature and the various dialects of English. Translators committed to changing their cultural marginality can do so only within the codes that are specific to the target-language culture. This means limiting discursive experiments to perceptible deviations that may risk but stop short of the parodic or the incomprehensible, that release the *dérive* of cultural discourses in the target language.

Translators must also force a revision of the codes -- cultural, economic, legal -- that marginalize and exploit them. They can work to revise the individualistic concept of authorship that has banished translation to the fringes of Anglo-American culture, not only by developing innovative translation practices in which their work becomes visible to readers, but also by presenting sophisticated rationales for these practices in prefaces, essays, lectures, interviews. Such self-presentations will indicate that the language but also that the translator is not its sole origin: a translator's originality lies in choosing a particular foreign text and a particular combination of dialects and discourses from the history of British and American literature in response to an existing cultural situation. Recognizing the translator as an author questions the individualism of current concepts of authorship by suggesting that no writing can be mere self-expression because it is derived from a cultural tradition at a specific historical moment.

This questioning must also be conducted in the language of contracts with publishers. Translators will do well to

insist on their authorial relation to the translated text during negotiations. They should demand contracts that define the translation as an "original work of authorship" instead of a "work-for-hire," that copyright the translation in the translator's name, and that offer standard financial terms for authors, namely an advance against royalties and a share of subsidiary rights sales. In the long run, it will be necessary to effect a more fundamental change, a revision of current copyright law that restricts the foreign author's control over the translation so as to acknowledge its relative autonomy from the foreign text. The foreign author's translation rights should be limited to a short period, after which the foreign text enters the public domain, *although only for the purposes of Translation*. Given the speed with which literature currently dates as a commodity on the international book market, the prospect that translation rights will be sold grows less likely as time passes, and the translation of a foreign text ultimately depends on the efforts of a translator to interest a publisher, especially in Anglo-American publishing, where so few editors read foreign languages. If, upon publication, a foreign text is not an instant critical and commercial success in the culture for which it was written, it probably won't be sought by target-language publishers. The project to translate it, therefore, should be controlled by the translator, who, in effect, must invent for target-language readers a foreign text that would otherwise be nonexistent to them.

---- Lawrence Venuti, *The Translator's Invisibility: A History of Translation*¹⁷

(4)

Even though no one seems likely to deny that communication is the primary aim and function of a translated text, today we are far from thinking that translating is a simple communicative act.

In contemporary translation theory informed by Continental philosophical traditions such as existential phenomenology and poststructuralism, language is constitutive of thought, and meaning a site of multiple determinations, so that translation is readily seen as investing the foreign-language text with a domestic significance. Translation never communicates in an untroubled fashion because the translator negotiates the linguistic and cultural differences of the foreign text by reducing them and supplying another set of differences, basically domestic, drawn from the receiving culture to enable the foreign to be received there. The foreign text, then, is not so much communicated as inscribed with domestic intelligibilities and interests.

The inscription begins with the very choice of a text for translation, always a very selective choice, and continues in the development of discursive strategies to translate it, always a choice of certain domestic discourses over others. Hence, the domesticating process is totalizing, even if never total, never seamless or final. It can be said to operate in every word of the translation long before the translated text is further processed by domestic readers, made to bear other domestic meanings and serve other domestic interests.

Seen as domestic inscription, never quite cross-cultural communication, translation has recently moved theorists towards an ethical reflection wherein remedies are formulated to restore or preserve the foreignness of the foreign text. Yet an ethics that counters the domesticating effects of the inscription can only be formulated and practiced primarily in domestic terms, in domestic dialects, registers, discourses and styles. And this means that the linguistic and cultural differences of the foreign text can only be signalled indirectly, by their displacement in the translation, through a domestic difference introduced into values and institutions at home. This ethical attitude is therefore simultaneous with a political agenda: the domestic terms of the inscription become the focus of rewriting in the translation, discursive strategies where the hierarchies that rank the values in the domestic culture are disarranged to set going processes of defamiliarization, canon reformation, ideological critique, and institutional change. A translator may find that the very concept of the domestic merits interrogation for its concealment of heterogeneity and hybridity which can complicate existing stereotypes, canons, and standards applied in translation.

When motivated by this ethical politics of difference, the translator seeks to build a community with foreign cultures, to share an understanding with and of them and to collaborate on projects founded on that understanding, going so far

as to allow it to revise and develop domestic values and institutions.

Yet translations never simply communicate foreign texts: they make possible only a domesticated understanding, however much defamiliarized, however much subversive or supportive of the domestic.

In the absence of cross-cultural communication unaffected by domestic intelligibilities and interests, what kinds of communities can translation possibly foster? What communities can be based on the domestic inscription of the foreign that limits and redirects the communicative aim of translation?

---- Venuti's Keynote Address: *Translation, Communication, Community*¹⁸

(5)

Translation patterns since the Second World War indicate the overwhelming domination of English-language cultures. English has become the most translated language worldwide, but despite the considerable size, technological sufficiency, and financial stability of the British and American publishing industries, it is one of the least translated into.

[...]

These grossly unequal translation patterns point to a significant trade imbalance between the British and American publishing industries and their foreign counterparts. Quite simply, a lot of money is made from translating English, but little is invested in translating into it[...].

For developing countries, the trade imbalance in translation publishing carries negative consequences, cultural as well as economic. Indigenous publishers invest in British and American bestsellers because they are much more profitable than domestic literary works, which lack wide recognition and so require more aggressive promotion and marketing to reach a large audience. As a result, domestic works go undersubsidized, and the development of domestic languages, literatures, and readerships is limited. Within multilingual countries, the unequal translation patterns reinforce existing hierarchies among linguistic and cultural constituencies. Foreign texts are rendered mostly into government-designated official languages or into the native language that dominates the publishing industry, and this practice deprives vernaculars of the linguistic and literary enrichment that translation can work on them. Inevitably, if the translation of English-language bestsellers attracts investment away from domestic literatures, it also preempts the translating between regional languages that can create a national forum of cultural and political debate.

[...]

If translation reveals the cultural and economic dependence of developing countries on their hegemonic others, its many ramifications also make clear that this dependence is in various ways mutual, even if unequal. African, Asian, and South American countries look to the west for translations and imports of scientific, technical, and literary texts, even for school books at every educational level. Writers in the anglophone cultures of Africa and India look to the United Kingdom and the United States for critical and commercial success, seeking the approval of metropolitan intellectuals and preferring to publish their books with the transnationals instead of indigenous presses struggling with financing. In some cases, the value of this writing is judged by indigenous critics according to whether it can be translated into the hegemonic languages and thereby gain international recognition for the subordinate culture.

At the same time, the practices of British and American publishers, their investment in English-language bestsellers and their cultivation of foreign rights and export markets, have made them increasingly dependent on income from developing countries. In the early 1970s, Longman obtained 80 percent of its turnover from overseas. A similar point can be made about the electronic media. Western news agencies and American film and television companies not only dominate the global flow of information and entertainment, whether in English or in translated and dubbed versions, but their profit margins can't be maintained without their continued domination. Between 1960 and 1980, according to UNESCO statistics, Walt Disney Productions ranked consistently within the top 5 "authors" most frequently translated in the world. Here, of course, the term "author" designates corporate publications drawn from

films. Transnationalism depends not only on foreign markets, but on the effectiveness of local translations to compete in those markets, a cultural dependence that enforces new forms of authorship (corporate) and of publishing (tie-ins) to strengthen the bottom line.

---- Lawrence Venuti, *The Scandals of Translation: Towards an Ethics of Difference*¹⁹

(6)

[...]

Much of this commentary shared the assumption that translation involves the communication of a fixed meaning located in the foreign-language text. As a result, notions of equivalence guided the research. Throughout the 1980s, this view was increasingly revised as American translation studies continued to draw on conceptual developments in several disciplines, including a variety of cultural and political discourses that are mostly European in origin: psychoanalysis, phenomenology, Frankfurt School Marxism, French feminism, post-structuralism. In these new lines of research, translation was considered less as communication between languages and cultures than as interpretation that provisionally fixes a meaning in the foreign-language text in accordance with an interpretive theory, cultural agenda, and political standpoint in the domestic situation. Less attention was given to notions of equivalence than to the inevitable linguistic and cultural differences negotiated by the translator. [...]

In the 1990s, as translation begins to emerge as a scholarly discipline in its own right, two rather different paradigms appear to be driving research. On the one hand is an approach that can generally be called text linguistics, in which notions of equivalence are grounded on the classification of text types and functions. On the other hand is an approach that can generally be called cultural studies, which is concerned with how values, ideologies, and institutions shape practices differently in different historical periods. [...]

[...]

---- Lawrence Venuti's "American tradition"²⁰

80. (美) 安德烈·勒菲弗尔 André Lefevere



photo of André Lefevere, 1946-1996

生平及重要译论：

安德烈·勒菲弗尔（又译列费维尔）André Alphonse Lefevere, 1946-1996，国际著名文论家、比较文学家和翻译理论家，翻译研究文化学派的代表性人物，是起源于欧洲的翻译研究派在美国的传播者和代表人物，也可以说是翻译操纵学派的领军人物。原为比利时学者，在英国艾塞克斯大学（the University of Essex）获哲学博士学位，其学位论文是《文学翻译基本原理绪论》（*Prolegomena to a Grammar of Literary Translation*）。其后在香港和比利时的安特卫普任教，最后移民美国任教于得克萨斯州大学奥斯汀分校（The University of Texas at Austin）日耳曼语系和比较文学系。在安特卫普大学任教时由于其关于翻译的论述特别是《诗歌翻译：七项策略及方案》的写作和发表，奠定了其在文学翻译领域主要理论家的地位。他认为：

Different ages need different adjustments and translations.

勒菲弗尔的主要著作包括《诗歌翻译：七项策略及方案》（*Translating Poetry: Seven Strategies and a Blueprint*, 1975）、《文学翻译的德国传统》（*Translating Literature: the German Tradition*, 1977）、《翻译、改写以及对文学名声的操纵》（*Translation, Rewriting, and the Manipulation of Literary Fame*, 1992）、《文学翻译：比较文学语境中的实践与理论》（*Translating Literature: Practice and Theory in a Comparative Literature Context*, 1992）、《翻译、历史与文化论集》*Translation/History/Culture: A Sourcebook*, 1992）等。1990 还与巴斯奈特合著很有影响的《翻译、历史与文化》（*Translation, History and Culture*）一书。

勒菲弗尔主张从比较文学的角度研究翻译理论，他说：

在传统上，翻译研究在称之为‘比较文学’的这个无明确界限的准学科领域中占了小小的一席之地。但是，随着翻译研究发展成一门独立的学科，并吸取语言文学的比较研究方法和文化史研究方法，我们现在应重新考虑比较文学和翻译研究的界限问题了。翻译一直是决定世界文化发展方向的一个主要的影响力量。不考虑翻译，也就没有比较文学的研究。我俩曾多次提出，我们经过慎重考虑后特意要颠倒现状，并要大家重视翻译。也许，我们应该重新考虑比较文学的概念，并把比较文学纳入翻译研究的范畴，而不是把翻译研究纳入比较文学的范畴。²¹

勒菲弗尔通过对文本的主题与文本、语境和互文三方面的变异（variations）及主题与变异间的关系的分析认为，文学翻译的本质是重译（Retranslation），没有翻译就没有文学。他通过总结庞德等人的译诗经验，列出七种翻译对策：音素翻译法（Phonemic translation）、直译法（Literal translation）、韵律（音步）翻译法（Metrical translation）、散文翻译法（Poetry into prose）、谐韵翻译法（Rhyme translation）、自由诗翻译法（Blank verse translation）和释意翻译法（Interpretation，包括改写 version 和拟作 imitation）。这些翻译对策至今仍具有积极的方法论的意义。

勒菲弗尔认真研究了翻译研究对文学、语言及文化发展的影响、原文依存于译文的关系、翻译对目的语语言及文学的规范的作用、翻译对文学阐释的作用、诗学和文学教学的作用，还研究了翻译的政治问题，权力、思想意识、赞助人、诗学与翻译的关系，以及折射理论、女性主义翻译理论等，使翻译研究不再拘泥于语言学和传统美学研究的范畴，从而完成了其翻译研究派的学说。勒菲弗尔认为翻译实质上是对原作在文化层面上进行改写，而这种体现译者翻译策略的改写是要受到诗学观（poetics）和意识形态（ideology）以及赞助人（patronage）三个因素的操控的。勒菲弗尔和翻译研究派开拓了翻译研究的新领域。1998 年出版的勒菲弗尔与巴斯奈特合著《建设文化——文学翻译论集》（*Constructing Culture: Essays on Literary Translation*）一书甚至宣称翻译研究已经实现了文化转向，现在是文化研究朝翻译研究转向的时候了。看来，翻译研究派与翻译的语言学派的关系对于翻译翻译理论的发展将会产生很大的影响，是很值得关注的。

翻译研究派的鼻祖荷兰学者霍姆斯（James Holmes）1972 年发表《翻译研究的名与实》（*The Name and Nature of Translation Studies*），首先探讨了翻译作为一门学科（discipline）的名称问题，但“翻译学”目前在

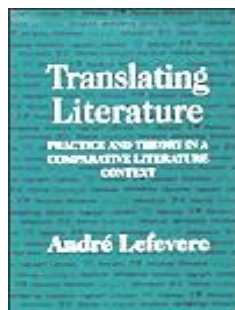
国际学术界通行的名称 Translation Studies 则是勒菲弗尔在 1976 年的一次国际翻译研讨会上第一次正式提出的，而且也用来指“翻译研究学派”。

勒菲弗尔 1996 年意外死于急性白血病，年仅 50 岁，国际翻译界因此痛失一位大师级的译学理论家。

史料图片选辑



photo of André Lefevere



Andre Lefevere:

*Translating Literature: Practice
and Theory in a Comparative
Literature Context*

译论史稿辑要

(1)

Translation is, of course, a rewriting of an original text. All rewritings, whatever their intention, reflect a certain ideology and a poetics and as such manipulate literature to function in a given society in a given way. Rewriting is manipulation, undertaken in the service of power, and in its positive aspect can help in the evolution of a literature and a society. Rewritings can introduce new concepts, new genres, new devices and the history of translation is the history also of literary innovation, of the shaping power of one culture upon another. But rewriting can also repress innovation, distort and contain, and in an age of ever increasing manipulation of all kinds, the study of the manipulation processes of literature as exemplified by translation can help us towards a greater awareness of the world in which we live.

...

What is usually referred to as "the intrinsic value" of a work of literature plays much less of a part in this than is usually assumed. As is well known, the poetry of John Donne remained relatively unknown and unread from a few decades after his death until his rediscovery by T.S. Eliot and other modernists. Yet it is safe to assume that the "intrinsic value" of his poems must have been the same all along.

Similarly, many "forgotten" feminist classics originally published in the twenties, thirties, and forties of our century have been republished in the late seventies and eighties. The actual content of the novels was, presumably, no less feminist then than it is now, since we are dealing with exactly the same texts. The reason why the republished feminist classics are not forgotten all over again lies not in the intrinsic value of the texts themselves, or even the (possible) lack thereof, but in the fact that they are now being published against the background of an impressive array of feminist criticism, which advertises, incorporates, and supports them.

Whoever identifies the goal of literary studies as such with the interpretation of texts will either have no explanation for these phenomena, or else have somewhat embarrassed recourse to vague notions such as fate. It is my contention that the process resulting in the acceptance or rejection, canonization or noncanonization of literary works is dominated not by vague, but by very concrete factors that are relatively easy to discern as soon as one decides to

look for them, that is as soon as one eschews interpretation as the core literary studies and begins to address issues such as power, ideology, institution, and manipulation. As soon as one does this, one also realizes that rewriting in all its forms occupies a dominant position among the concrete factors just referred to. This book is an attempt to emphasize both the importance of rewriting as the motor force behind literary evolution, and the necessity for further in-depth study of the phenomenon.

Rewriters have always been with us, from the Greek slave who put together anthologies of the Greek classics to teach the children of his Roman masters, to the Renaissance scholar who collated various manuscripts and scraps of manuscripts to publish a more or less reliable edition of a Greek or Roman classic; from the seventeenth-century compilers of the first histories of Greek and Latin literature not to be written in either Greek or Latin, to the nineteenth-century critic expounding the sweetness and the light contained in works of classical or modern literature to an increasingly uninterested audience; from the twentieth-century translator trying to "bring the original across" cultures, as so many generations of translators tried before, to the twentieth-century compiler of "Reader's Guides" that provide quick reference to the authors and books that should have been read as part of the education of the non-professional reader, but go increasingly unread.

[...]

In the past, as in the present, rewriters created images of a writer, a work, a period, a genre, sometimes even a whole literature. These images existed side by side with the realities they competed with, but the images always tended to reach more people than the corresponding realities did, and they most certainly do so now. Yet the creation of these images and the impact they made have not often been studied in the past, and are still not the object of detailed study. This is all the more strange since the power wielded by these images, and therefore by their makers, is enormous. It becomes much less strange, though, if we take a moment to reflect that rewritings are produced in the service, or under the constraints, of certain ideological and/or poetological currents, and that such currents do not deem it to their advantage to draw attention to themselves as merely "one current among others." Rather, it is much more to their advantage to identify themselves quite simply with something less partisan, more prestigious, and altogether irreversible like "the course of history."

[...]

When non-professional readers of literature (and it should be clear by now that the term does not imply any value judgment whatsoever: It merely refers to the majority of readers in contemporary societies) say they have "read" a book, what they mean is that they have a certain image, a certain construct of that book in their heads. That construct is often loosely based on some selected passages of the actual text of the book in question (the passages included in anthologies used in secondary or university education, for instance), supplemented by other texts that rewrite the actual text in one way or another, such as plot summaries in literary histories or reference works, reviews in newspapers, magazines, or journals, some critical articles, performances on stage or screen, and last but not least, translations.

Since non-professional readers of literature are, at present, exposed to literature more often by means of rewritings than by means of writings, and since rewritings can be shown to have had a not negligible impact on the evolution of literatures in the past, the study of rewritings should no longer be neglected. Those engaged in that study will have to ask themselves who rewrites, why, under what circumstances, for which audience. They owe what is probably one of the first statements of the "doctrine" of rewriting in Western literature to St Augustine. When faced with the fact that a fair number of pages in the Bible could, to put it mildly, not be said to correspond too closely to the kind of behavior the then still relatively young Christian Church expected from its members, he suggested that these passages should, quite simply, be interpreted, "rewritten," until they could be made to correspond to the teachings of the Church. If a scriptural passage, Augustine observed, "seems to commend either vice or crime or to condemn either utility or beneficence," that passage should be taken as "figurative" and "subjected to diligent scrutiny until an interpretation

contributing to the reign of charity is produced".

--- André Lefevere: *Translation, Rewriting and the Manipulation of Literary Fame*²²

(2)

And then the final question: where do we go from here? Where will Translation Studies, one of the fastest-growing interfields of the 1990s go in the new millennium? It will go in directions that we demand, as a result of our exploration of some of the as yet unresolved questions that remain to be answered.

We need to know more about the history of translation, and not just in the West, but also in other cultures. A great deal has been done, but the more we know, the more we shall be able to relativise the practices of the present, the more we shall be able to see them as constructed and contingent, not as given, eternal, and transparent.

It is no accident that so much exciting work in translation studies is coming from those cultures who are presently in a phase of post-colonial development. As the world reassesses its relationship to the European 'original', so concepts of translation are inevitably re-evaluated and canons of excellence based on Eurocentric models are revised.

We need to learn more about the acculturation process between cultures, or rather, about the symbiotic working together of different kinds of rewritings within that process, about the ways in which translation, together with criticism, anthologisation, historiography, and the production of reference works, constructs the image of writers and/or their works, and then watches those images become reality. We also need to know more about the ways in which one image dislodges another, the ways in which different images of the same writers and their works coexist with each other and contradict each other.

We need to learn more about the agenda behind the construction of these images: why did the Finns, for instance, suddenly decide they needed an epic? This leads us to the domain, another very promising interfield, of cultural policy, exemplified in translation and rewriting policy. Needless to say, the figure of the initiator looms large here, especially if that initiator is a (totalitarian)state, which tries to create a total image of itself with the help of the partial images it constructs. The other important factor in this respect is the relative prestige of cultures, that of Roman Antiquity versus English in Dryden's time, for instance, as compared to now, when English occupies the position of prestige language of the world.

We also need to learn more about the texts that constitute the cultural capital of other civilisations, and we need to learn about them in ways that try to overcome, or bypass the kiss of death bestowed by acculturation through analogy. Haikus are not epigrams, Chinese novels have their own rules, both the textual and conceptual grids of other civilisations should not be reduced to those of the West.

We need to find out how to translate the cultural capital of other civilisations in a way that preserves at least part of their own nature, without producing translations that are so low on the entertainment factor that they appeal only to those who read for professional reasons. Perhaps this is another area in which different forms of rewriting need to cooperate: we could imagine the translated text, translated in a way that also appeals to the non-professional reader, preceded by a long introduction which sets out to show how the original text works on its own terms, within its own grid, rather than to tell readers only what it is 'like' or even 'most like' in their own cultures. This kind of attempt is most likely to bring us up against the limits of translation, a necessary confrontation, for without such a challenge, how else are we ever to overcome such limits and move on?

--- André Lefevere and Susan Bassnett, *Where are we in Translation Studies?*²³

(3)

A translation, says Petrus Danielus Huetius in a text translated in this collection, is "a text written in a well-known language which refers to and represents a text in a language which is not as well known." This, to my mind, is the most productive definition of a translation made within: the tradition represented here, simply because it raises many,

if not all of the relevant questions at once.

First of all, why is it necessary to represent a foreign text in one's own culture? Does the very fact of doing that not amount to an admission of the inadequacy of that culture? Secondly, who makes the text in one's own culture "represent" the text in the foreign culture? In other words: who translates, why, and with what aim in mind? Who selects texts as candidates to "be represented?" Do translators? And are those translators alone? Are there other factors involved? Thirdly, how do members of the receptor culture know that the imported text is well represented? Can they trust the translator(s)? If not, who can they trust, and what can they do about the whole situation, short of not translating at all? If a translation is, indeed, a text that represents another, the translation will to all intents and purposes function as that text in the receptor culture, certainly for those members of that culture who do not know the language in which the text was originally written. Let us not forget that translations are made by people who do not need them for people who cannot read the originals. Fourthly, not all languages seem to have been created equal. Some languages enjoy a more prestigious status than others, just as some texts occupy a more central position in a given culture than others-- the Bible, for instance, or the Qur'an. Fifthly, why produce texts that "refer to" other texts? Why not simply produce originals in the first place?

So much for the questions. Now for some tentative answers, culled from the genealogy drawn up in this collection. If you produce a text that "refers to" another text, rather than producing your own, you are most likely to do so because you think the other text enjoys a prestige far greater than the prestige your own text might possibly aspire to. In other words, you invoke the authority of the text you represent. It may be a sobering thought that some of the masterpieces of world literature, such as Cervantes' *Don Quixote*, profess to be translations of lost originals, i.e. that they refer to non-existent texts in order to derive some kind of legitimacy which, it is felt, would otherwise not be present to the same extent.

Translation has to do with authority and legitimacy and, ultimately, with power, which is precisely why it has been and continues to be the subject of so many acrimonious debates. Translation is not just a "window opened on another world," or some such pious platitude. Rather, translation is a channel opened, often not without a certain reluctance, through which foreign influences can penetrate the native culture, challenge it, and even contribute to subverting it. "When you offer a translation to a nation," says Victor Hugo, "that nation will almost always look on the translation as an act of violence against itself."

No wonder nations have always felt they needed some person or persons they could trust enough to entrust him or her with the task of translating: the Horatian "fidus interpres," or "trustworthy interpreter." It is important to remember that the trust is invested in the producer of the translation, not necessarily in the product itself. "Trusted, translators, like the group of translators who produced the Septuagint, in fact produced what is generally acknowledged as a relatively "bad" translation, but one that continues to function to this day as the "official" translation used by the Greek Orthodox Church. Trust may be more important than quality. Translations which members of a culture have come to trust may mean more to them than translations that can claim to represent the original better.

[...]

Translation needs to be studied in connection with power and patronage, ideology and poetics, with emphasis on the various attempts to shore up or undermine an existing ideology or an existing poetics. It also needs to be studied in connection with text-type and register, and in connection with attempts to integrate different Universes of Discourse. Translation Studies has begun to focus on attempts to make texts accessible and to manipulate them in the service of a certain poetics and/or ideology. Seen in this way translation can be studied as one of the strategies cultures develop to deal with what lies outside their boundaries and to maintain their own character while doing so -- the kind of strategy that ultimately belongs in the realm of change and survival, not in dictionaries and grammars.

---- André Lefevere (ed), *Translation/History/Culture: A Sourcebook*²⁴

(4)

The goal of the discipline is to produce a comprehensive theory which can be used as a guideline for the production of translations. The theory would gain by being developed along lines of argument which are neither neopositivistic nor hermeneutic in inspiration. The theory would gain by being elaborated against a background of, and constantly tested by case-histories. The theory would then not be static; it would evolve according to the dynamic consensus of qualified scholars, who constitute a forum of competition [...]. It is not inconceivable that a theory elaborated in this way might be of help in the formulation of literary and linguistic theory; just as it is not inconceivable that translations made according to the guidelines tentatively laid down in the theory might influence the development of the receiving culture

---- André Lefevere, "Translation Studies: The Goal of the Discipline"²⁵

(5)

The translator's task is precisely to render the source text, the original author's interpretation of a given theme expressed in a number of variations, accessible to readers not familiar with these variations, by replacing the original author's variation with their equivalents in a different language, time, place and tradition. Particular emphasis must be given to the fact that the translator has to replace all the variations contained in the source text by their equivalents.

---- André Lefevere, *Translating Poetry: Seven Strategies and a Blueprint*²⁶

81. (美) 尤金·奈达 Eugene A. Nida



Eugene A. Nida, 1914-

生平及重要译论:

尤金·奈达 Eugene A. Nida, 1914- , 著名学者、翻译家、当代西方译论成就斐然的翻译理论权威。

出生于美国俄克拉马城（Oklahoma City），信仰基督教，毕业于洛杉矶加州大学（University of California at Los Angeles）（1936），在南加利福尼亚大学（University of Southern California）获希腊语《圣经·新约》研究的硕士学位（1939），在密执安大学（University of Michigan）布龙菲尔德（Bloomfield）和弗赖斯（Charles Fries）指导下获语言学博士学位（1943），攻读描写语言学、文化人类学及古英语等，博士论文题目为《英语句法概要》（*A Synopsis of English Syntax*）。奈达长期担任美国圣经协会（American Bible Society, <ABS>, Pennsylvania, USA）翻译部执行秘书，1968年起担任美国语言学会主席。二十世纪80年代初退休并定居比利时布鲁塞尔。

奈达著述等身，计发表著作40多部（关于语言与翻译理论方面著作20余部），论文250余篇。

奈达关于翻译与语言学的著作主要有《论词法：词的描写性剖析》（*Morphology: The Descriptive Analysis of Words*, 1946）、《圣经翻译的原则和过程》（*Bible Translating: An Analysis of Principles and Procedures*, 1947）、《圣经翻译》（*Bible Translating*, 1947）、《圣经信息和传教使命》（*Message and Mission: The Communication of the Christian Faith*, 1960）、《语义结构与翻译对等的几个问题》（*Some Problems of Semantic Structure and Translational Equivalence*, 1961）、《圣经翻译与语言科学》（*Bible Translating and the Science of Linguistics*, 1963）、《翻译科学探索》（*Toward a Science of Translating*, 1964）、《语言与语义结构》（*Linguistics and Semantic Structure*, 1964）、（与 Charles R. Taber）《翻译理论与实践》（*The Theory and Practice of translation*, 1969）、《翻译科学》（*Science of Translation*, 1969）、《语义的成分分析》（*Componential Analysis of meaning*, 1975）、《语义结构探索》（*Exploring Semantic Structure*, 1975）、《语言结构与翻译：奈达论文集》（*Language Structure and Translation: Essays by Eugene A. Nida*, 1975）、《论翻译的社会语言学理论》（*Translating Means Communicating: A Sociolinguistic Theory of Translation*, 1979）、《跨文化的语义》（*Meaning Across Cultures*, 1981）、《译意》（*Translating Meaning*, 1982）、《风格与话语》（*Style and Discourse*, 1983）、（与 Jan de Waard）《从一种语言到另一种语言》（*From One Language to Another*, 1986）、《跨语际交际的社会语言学》（*The Sociolinguistics of Interlingual Communication*, 1996）、《语言与文化——翻译中的语境》（*Language and Culture: Contexts in Translating*, 2001）等。

奈达关于翻译和语言学的理论研究经历了一个由结构主义和转换生成学派的基本观点，到以话语语言学和信息理论为依据的交际功能模式，最后到以现代符号学为依据来研究翻译理论的过程，目的在于扩展翻译研究的视野，以致最终将文化问题彻底包容在内。奈达的翻译理论特别强调读者，这样将原作者的意图和期望所产生的感受与原文读者及译文读者的感受也纳入翻译的视野。具体说来，奈达的翻译见解主要在于以下几个方面：

1) 关于理论原则。

奈达是语言的共性论者（universalist）。他说：

一种语言所能表达的事情，必然能用另一种语言来表达。²⁷

这是因为在人类经验和表达方式中存在着“共核”（common core），在翻译中可以找到大量同义语便是证明。当然，奈达也承认语言间还存在个性，但这主要是在表达形式方面，所以他紧接着说：

但如果表达的形式是所表达的意思的一个基本组成部分，情况就不同了。

2) 关于翻译的性质。

奈达提出了著名的“动态对等”（dynamic equivalence）概念，后改称“功能对等”（functional equivalence）。奈达给予动态对等的定义是：

所谓翻译，是在译语中用最切近而又最自然的对等语再现原语的信息，首先是意义，其次是文体（风格）。²⁸

为防止对这一概念的误解，奈达后来在《从一种语言到另一种语言：论圣经翻译中的功能对等》一书中正式提出“动态对等”的概念，强调信息包括思想内容，也包括语言形式：“不但是信息内容的对等，而且，尽可能地要求形式对等。”他进一步解释说：

一般说来，最好还是使用‘功能对等’一词来讨论译文的适切程度，因为从来就没有完全对等的译文。各种不同的译文其实只是代表着不同程度的对等。这就意味着，‘对等’不能理解为数学意义上的等同，而只能理解为近似，即接近于功能等同的不同程度的切近。²⁹

3) 关于翻译的功能。

奈达从社会语言学及语言交际功能的观点来研究翻译理论，即翻译不仅涉及语言的操作，还要考虑文化的多样性。两者是密切相关的，两者在翻译中是同样重要的因素。奈达特别强调他的翻译理论是一种社会符号学翻译理论（a sociosemiotic theory of translation）。考虑到翻译的复杂性，奈达还进一步提出“最高层次的对等”和“最低层次的对等”两个概念。“最高层次的对等”系指

译文达到高度的对等，使目的语听众或读者在理解和欣赏译文时所作出的反应，与原文听众或读者对原文的理解和欣赏所作出的反应基本上一致。

而“最低层次的对等”则指

译文能达到充分的对等，使目的语的听众或读者能理解和欣赏原文听众或读者对原文的理解和欣赏。

而在这两个层次的对等之间还应该存在各种不同的对等。

4) 关于对翻译学科的定位。

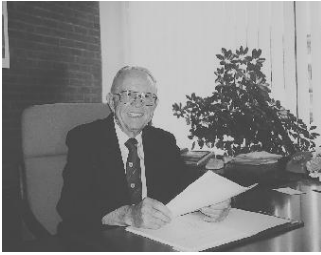
奈达从倾向于将翻译视为科学逐渐转向认为翻译更是一门艺术。将翻译看作是科学的观点是建立在其交际理论的基础之上的，即将翻译看作是比较语言学的一个分支，从而将翻译基本上纳入语言学的范畴。在其逐渐走向社会符号学和社会语言学翻译理论时，也逐渐将翻译向艺术领域引近。他因此得出结论：翻译是艺术，而“翻译研究是科学”。

奈达对翻译的最后定位则是技艺（technology）：

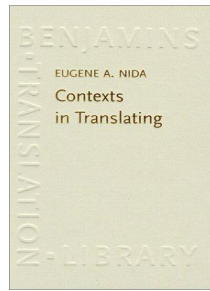
关于翻译是艺术，还是科学，或是技艺的传统的争论，基本上是没有意义的，因为，翻译既是艺术，也是科学，也是技艺。优秀的文学翻译工作者必须对语言的美学方面有美感性，同时要掌握最切近的自然对等的表达技艺。再说，这种技艺是可以通过实践和训练改进的，就像所有的技艺一样。同时，对翻译过程进行科学的描写也是可能的。但是，翻译实际上是一个产生译作的过程，因此，翻译基本上是一门技艺，因为，这需要多种学科才能产生令人满意的译作，包括语言学、文化人类学、心理学和交际理论。³⁰

此外，奈达还对翻译过程做了详尽的分析，他将翻译过程分为四个阶段，即分析（analysis）、转换（transfer）、重组（restructuring）和检验（test）。

史料图片编辑：



Eugene A. Nida



Eugene A. Nida:
Contexts in Translating

译论史稿辑要：

(1)

When the question of the superiority of one translation over another is raised, the answer should be looked for in the answer to another question, 'Best for whom?'. The relative adequacy of different translations of the same text can only be determined in terms of the extent to which each translation successfully fulfills the purpose for which it was intended. In other words, the relative validity of each translation is seen in the degree to which the receptors are able to respond to its message (in terms of both form and content) in comparison with (1) what the original author evidently intended would be the response of the original audience and (2) how that audience did, in fact, respond. The responses can, of course, never be identical, for interlingual communication always implies some differences in cultural setting, with accompanying diversities in value systems, conceptual presuppositions, and historical antecedents. (1976:64f)

---- Eugene A. Nida, *A Framework for the Analysis and Evaluation of Theories of Translation*³¹

(2)

THE OLD FOCUS AND THE NEW FOCUS

The older focus in translating was the form of the message, and translators took particular delight in being able to reproduce stylistic specialties, *e.g.*, rhythms, rhymes, plays on words, chiasmus, parallelism, and unusual grammatical structures. The new focus, however, has shifted from the form of the message to the response of the receptor to the translated message. This response must then be compared with the way in which the original receptors presumably reacted to the message when it was given in its original setting.

Even the old question: Is this a correct translation? must be answered in terms of another question, namely: For whom? Correctness must be determined by the extent to which the average reader for which a translation is intended will be likely to understand it correctly. Moreover, we are not concerned merely with the possibility his understanding correctly, but with the overwhelming likelihood it. In other words, we are not content merely to translate so that the average receptor is likely to understand the message; rather we aim to make certain that such a person is very unlikely to misunderstand it.

Posing the question of correctness in this manner naturally implies that there will be different translations which can be called "correct." In fact, for the scholar who is himself well acquainted with the original, even the most labored, literal translation will be "correct," for he will not misunderstand it. On the other hand, in most large linguistic communities, especially when they employ so-called international languages spoken by millions of people, there are a number of socioeducational levels of speech and comprehension. This means that several different levels of translation, in terms of vocabulary and grammatical structures, are required, if all people are to have essentially equal opportunities to understand the message.

...

To communicate effectively one must respect the genius of each language.

Rather than bemoan the lack of some feature in a language, one must respect the features of the receptor language and exploit the potentialities of the language to the greatest possible extent. Unfortunately, in some instances translators have actually tried to "remake" a language. For example, one missionary in Latin America insisted on trying to introduce the passive voice of the verb into a language which had no such form. Of course, this was not successful. One must simply accept the fact that there are many languages which do not have a passive voice. They merely choose to report actions only as active.

Rather than force the formal structure of one language upon another, the effective translator is quite prepared to make any and all formal changes necessary to reproduce the message in the distinctive structural forms of the receptor language.

Anything that can be said in one language can be said in another, unless the form is an essential element of the message.

For the average person the potential and actual equivalence of languages is perhaps the most debated point about translation. He does not see how people who have no snow can understand a passage in the Bible that speaks about "white as snow". If the people do not know snow, how can they have a word for it? And if they do not have a word for it, then how can the Bible be translated? The answer to this question is both complex and varied. In the first place, many people have a word for snow, even if they have not themselves experienced it, for they have heard about the phenomenon,. Second, in other instances, people do not know snow, but they do have "frost" and they speak about the two with the same term. Third, many languages have equivalent idioms, e. g., "white as egret feathers," or "white as fungus" (if there is an especially white form of fungus); or they may use a non-metaphor to express the concept "white as snow," such as "very, very white." The point is that snow as an object is not crucial to the message.

[...]

To preserve the content of the message the form must be changed.

If all languages differ in form (and this is the essence of their being different languages), then quite naturally the forms must be altered if one is to preserve the content. For example, in Mark 1:4, the Greek employs a nominal construction, "baptism of repentance," but translated literally into English the resulting phrase really does not convey the meaning of the original. The average person is simply unable to describe clearly what is the relationship between "baptism" and "repentance." Moreover, in a high percentage of languages, terms which express events (and both "baptism" and "repentance" are events, not objects) are expressed more naturally as verbs, rather than as nouns. Even this Greek noun expression is really only a nominalization (or adaptation) of what occurs in Acts 2:38 in verbal form, namely, "repent and be baptized." In languages which either require that such events be expressed as verbs or normally use verb rather than noun phrases, it is not only right, but essential, that the nominal form of this Greek phrase be changed into a corresponding verbal expression.

...

EQUIVALENCE RATHER THAN IDENTITY

The translator must strive for equivalence rather than identity. In a sense this is just another way of emphasizing the reproduction of the message rather than the conservation of the form of the utterance, but it reinforces the need for radical alteration of a phrase such as "it came to pass," which may be quite meaningless. In fact, it is often misunderstood. Since in Greek *egeneto*, "it happened," is often only a "transitional word" to mark the beginning of a new episode, it is sometimes best not reproduced. In other instances, one may use some more natural transitions, e.g. , "and then," "now," "later."

In Mark 2:1 the Greek has *en oikō*, literally, "in house," but the real meaning of this phrase is "at home," and it is so

rendered in many translations. This means a lack of verbal consistency, in not translating *oikos* as "house" always in the same manner, but one simply cannot translate in a completely concordant manner and at the same time accurately represent the meaning of the source-language text. In French, however, the Greek phrase *en oikō*, consisting of a preposition and a noun, is most idiomatically rendered as *chez lui*, a preposition and a pronoun, in which case *chez* carries the semantic components of both location and personal dwelling. Such a restructuring is fully justified, for it is the closest natural equivalent of the source-language text.

A NATURAL EQUIVALENT

The best translation does not sound like a translation. Quite naturally one cannot and should not make the Bible sound as if it happened in the next town ten years ago, for the historical context of the Scriptures is important, and one cannot remake the Pharisees and Sadducees into present-day religious parties, nor does one want to, for one respects too much the historical setting of the incarnation. In other words, a good translation of the Bible must not be a "cultural translation." Rather, it is a "linguistic translation." Nevertheless, this does not mean that it should exhibit in its grammatical and stylistic forms any trace of awkwardness or strangeness. That is to say, it should studiously avoid "translationese" -- formal fidelity, with resulting, unfaithfulness to the content and the impact of the message.

THE CLOSEST EQUIVALENT

A conscientious translator will want the closest natural equivalent. It has been argued, for example, that in present-day English a natural equivalent of "demon-possessed" would be "mentally distressed." This might be regarded by some as a natural equivalent, but it is certainly not the "closest equivalent." Moreover, "mentally distressed" is a cultural reinterpretation which does not take seriously the cultural outlook of the people of Biblical times. (More will be said later (p. 134) about the differences between a linguistic and a cultural translation.)

[...]

THE PRIORITY OF DYNAMIC EQUIVALENCE OVER FORMAL CORRESPONDENCE

If we look at translation in terms of the receptors, rather than in terms of their respective forms, then we introduce another point of view; the intelligibility of the translation. Such intelligibility is not, however, to be measured merely in terms of whether the words are understandable and the sentences grammatically constructed, but in terms of the total impact the message has on the one who receives it.

Traditionally the way in which translations were judged may be diagrammatically represented by Figure 3.

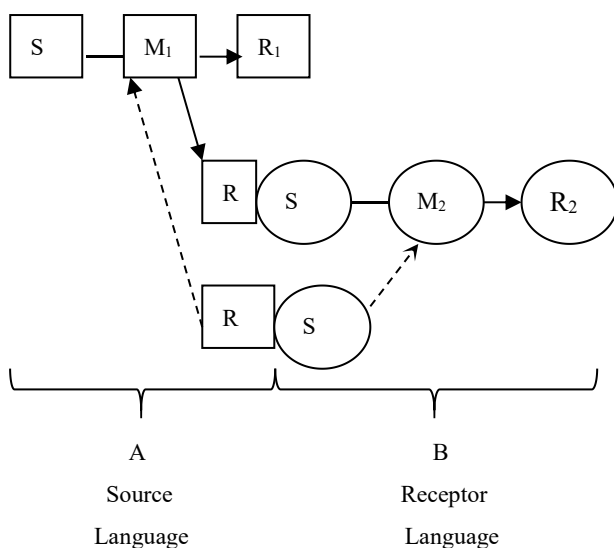


Figure 3

The first box represents the source (S), who communicates the message (M_1), which is received by an original receptor (R_1). The translator, who is both receptor and source, first receives M_1 as if he were an R_1 , and then produces in a totally different historical-cultural context a new message M_2 , which he hopes will be understood by the final receptor, R_2 . The differences between the two languages and the two cultural settings are represented by the different shapes. The squares represent the source-language factors and the circles represent the receptor-language factors. Both the translator and the scholarly judge of the translation combine both types of factors. In the past critical examination of a translation was usually carried out by someone who simply examined the two messages (M_1 and M_2) and compared their formal and meaningful structures, and on the basis of this decided whether the translation was "faithful."

This is, of course, one way to judge translations, but it does involve a built-in problem, for the scholarly person is often too familiar with the source (M_1), and he almost instinctively judges the forms of M_2 in terms of what he already knows about M_1 . If, however, we focus attention, not upon the formal correspondence as judged by the scholar but upon the manner in which the two receptors (R_1 and R_2) understand the corresponding messages, we oblige the critic to inquire from R_2 just how he understands M_2 , and on this basis he is in a much better position to evaluate the dynamic equivalence. The critic must compare the real or presumed comprehension of M_1 by R_1 with the comprehension of M_2 by the average receptor R_2 , as diagrammatically represented in Figure 4:

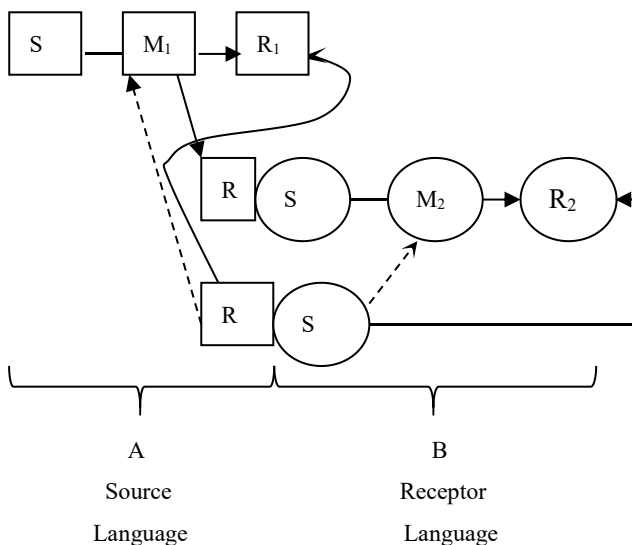


Figure 4

The first message (M_1) was designed not for the bilingual person (the translator-critic), but for the monolingual R_1 , and it is his comprehension which is to be compared with that of R_2 . Moreover, it is the comprehension of M_2 by R_2 , which must ultimately serve as the criterion of correctness and adequacy of M_2 .

Dynamic equivalence is therefore to be defined in terms of the degree to which the receptors of the message in the receptor language respond to it in substantially the same manner as the receptors in the source language. This response can never be identical, for the cultural and historical settings are too different, but there should be a high degree of equivalence of response, or the translation will have failed to accomplish its purpose.

It would be wrong to think, however, that the response of the receptors in the second language is merely in terms of

comprehension of the information, for communication is not merely informative. It must also be expressive and imperative if it is to serve the principal purposes of communication such as those found in the Bible. That is to say, a translation of the Bible must not only provide information which people can understand but must present the message in such a way that people can feel its relevance (the expressive element in communication) and can then respond to it in action (the imperative function).

---- Eugene A. Nida & Charles R. Taber, *The Theory and Practice of Translation*³²

(3)

In general it is best to speak of "functional equivalence" in terms of a range of adequacy, since no translation is ever completely equivalent. A number of different translations can in fact represent varying degrees of equivalence. This means that "equivalence" cannot be understood in its mathematical meaning of identity, but only in terms of proximity, i.e. on the basis of degrees of closeness to functional identity.

Such a view of functional equivalence implies different degrees of adequacy from minimal to maximal effectiveness on the basis of both cognitive and experiential factors. A minimal, realistic definition of functional equivalence could be stated as "The readers of a translated text should be able to comprehend it to the point that they can conceive of how the original readers of the text must have understood and appreciated it." Anything less than this degree of equivalence should be unacceptable.

A maximal, ideal definition could be stated as "The readers of a translated text should be able to understand and appreciate it in essentially the same manner as the original readers did." The maximal definition implies a high degree of language-culture correspondence between the source and target languages and an unusually effective translation so as to produce in receptors the capacity for a response very close to what the original readers experienced. This maximal level of equivalence is rarely, if ever, achieved, except for texts having little or no aesthetic value and involving only routine information.

There is always some loss and distortion in verbal communication since no two interlocutors ever have exactly the same designative and associative meanings for the same phonological, lexical, grammatical, and discourse features. Their grids for comprehension and evaluation are always somewhat different, but their experience in the use of language and their capacity for foreign-language empathy make it possible for them to communicate effectively. There are no neat formulas for measuring functional equivalence in either monolingual or bilingual contexts, since the number of factors involved are too many and there is no way in which the different parameters of verbal communication can be given mathematical values. Despite the lack of precision in communication, there is, however, a useful way to think and talk about functional equivalence, namely, by means of isomorphs.

[...]

Functional Equivalence and Dynamic Equivalence

The concept of functional adequacy in translating has been described in a number of books and articles as "dynamic equivalence." In *Toward a Science of Translating* (Nida 1964) dynamic equivalence has been treated in terms of the "closest natural equivalent," but the term "dynamic" has been misunderstood by some persons as referring only to something which has impact. Accordingly, many individuals have been led to think that if a translation has considerable impact then it must be a correct example of dynamic equivalence. Because of this misunderstanding and in order to emphasize the concept of function, it has seemed much more satisfactory to use the expression "functional equivalence" in describing the degrees of adequacy of a translation.

The terms "function" and "functional" seem to provide a much sounder basis for talking about translation as a form of communication, since the focus is on what a translation does or performs. A lack of functional equivalence can then be described in terms of a failure to provide isomorphic limits. Compensation for a lack of isomorphism may be introduced as a means of accurately representing the meaning of the source text. For example, because of the lack of

close correspondence in figurative expressions, it may be necessary to translate some figurative expressions in the source language by non-figurative phrases in the target language. If, however, too many such figurative expressions become non-figurative, much of the impact of a passage may be lost, something which is particularly critical in the case of poetry. In order to compensate for such loss, it may be important to translate some non-figurative expressions by means of figures in the target language. In this way some balance with the original text can be obtained.

Principles for Producing Functional Equivalence

A number of relevant principles govern the kinds and degrees of adjustment which may be necessary in order to produce a satisfactory functional equivalent of a source text. If a more or less literal correspondence is functionally equivalent in both designative and associative meaning, then obviously no adjustments in form are necessary. But if this is not the case, then the following principles may be helpful in deciding what should be done in order to produce the closest natural equivalence:

1. If a close, formal translation is likely to result in a misunderstanding of the designative meaning, (a) certain changes must be introduced into the text of the translation or (b) the literal translation may be retained and a footnote explaining the likely misunderstanding must be added.

In practically all circumstances the first alternative in this principle should be followed, but there are certain circumstances and types of documents, e.g. legal contracts, wills, political statements, and purposely esoteric or cabalistic religious texts, in which a literal rendering with an explanatory note may be warranted.

The types of changes which are justified in the case of possible misunderstanding of designative meaning are primarily lexical, but they may involve matters of syntax as well. Only rarely is it necessary to make radical adjustments in the discourse structure.

2. If a close, formal translation makes no sense, i.e. is totally obscure in designative meaning, certain changes may be introduced into the text unless the source text is purposely obscure, in which case the obscurity may be retained, and a footnote explaining the nature of the obscurity may be very useful and in most instances fully justified.

Obscurity of meaning may have several causes: the intent of the source (this is often the case in political statements and esoteric documents), orthographic corruption (especially common in ancient texts), and inadequate dictionary or encyclopedic information so as to reconstruct the context of the documents in question (also frequently in ancient texts or in those dealing with unusual customs and events). Translators are justified in trying to provide a possible meaning for the text, but any basic obscurity or ambiguity of meaning in the source text should be noted so that readers will not assume meanings which are not justified. It is particularly important to distinguish between (a) a lack of meaning, which is inherent in the text itself, and (b) a lack of understanding on the part of present scholars due to their ignorance of the sociolinguistic context of the source document.

3. If a close, formal translation is so semantically and syntactically difficult that the average person for whom the translation is being made is very likely to give up trying to understand it, certain changes are warranted, although it may be useful to indicate the nature of such changes in an introduction or in footnotes.

The translation of a highly technical article for people who are relatively unfamiliar with the contents, e.g. translating a graduate-level text for high school students, may require simplification of vocabulary or built-in explanations for technical terms. Long, involved sentences may also be broken up into more easily understood units.

In some instances the reason for a close, formal translation being difficult for readers is the intricate nature of the discourse structure or the fact that the original text presupposes considerably more knowledge about the contents than can be expected of the readers of the translation. This may require a type of "rewrite" so as to make the text of the translation acceptable to readers. This type of "adaptation" in translating should be much more common than it is, especially in the case of third-world countries which are trying to catch up with the rapid expansion of technological information.

4. If a close, formal translation is likely to result in serious misunderstanding of the associative meanings of the source text or in a significant loss in a proper appreciation for the stylistic values of the source text, it is important to make such adjustments as are necessary to reflect the associative values of the source text.

Translators of literary texts have generally been aware of the need to represent properly the associative meanings of the source text, but it is also true that some readers want a strictly literal translation so that they can know something about the formal features of the original text. Other readers may insist on literal translations because they mistakenly think that such a translation is automatically more "faithful" and that literalness prevents undue interpretation on the part of the translator. In fact, some people imagine that it is possible to translate a text without interpreting its meaning.

The extent of adjustments in order to match the stylistic or rhetorical values of the source text depends largely upon the kind of discourse which is involved. The fully adequate translation of a lyric poem normally requires almost a "new poem" on the same theme, especially if the source and target cultures are distinct. In fact, the translation of a poem into something which is not a poem is not a functionally equivalent translation. Even a translation of a letter which falsifies the emotive intent of the source cannot be regarded as a legitimate translation.

Too many translators assume that a correct reflection of designative meaning is all that is required in translating. In fact, however, the associative meanings are generally far more important in convincing readers of the relevance of the content.

5. The manner in which a translation is to be used has a significant influence upon the extent to which adjustments are to be made.

The translation of a drama to be read in the quiet of one's home is generally quite different from one which is designed to be acted on the stage. The former type of translation can afford to have relatively close, formal correspondences, since significant differences or problems in understanding can be explained in footnotes. But there is no time or place for footnotes in a stage performance. Similarly, the translation of a document to be broadcast on radio needs to represent carefully the distinctions between written and oral discourse. There is nothing quite so boring as having to listen to a discourse prepared in written style.

6. The fact that a source text must be translated in such a way as to occur with accompanying codes usually requires a number of adjustments on all levels: phonology, lexicon, syntax, and discourse.

The translation of songs almost always means considerable formal adjustments, e.g. the accented syllables must occur on the right notes; in the case of sustained notes or a series of notes on the same syllable the quality of the vowels must be "singable" (no singer can warble well on the vowel of *but*); the number of syllables normally needs to be the same as the number of notes, and a translator must avoid transitions with heavy consonantal sequences, e.g. the sequence *mpststr* in *glimpsed streams*.

The translation of operas involves even more serious difficulties, since the words must fit the music and also the action. The greatest number of adjustments in translating (and the greatest rewards for success in doing so) occur in preparing texts involving lip synchronization for the cinema and television performances. Not only must the length of utterances be adjusted, but the sounds of the translated text must correspond with the facial movements of the picture track, especially insofar as lip movements are concerned.

---- Eugene A. Nida, *Language and Culture: Contexts in Translating*³³

Herbert Cushing Tolman

生平及重要译论

赫伯特·库欣·托尔曼 Herbert Cushing Tolman, 博士, 美国著名翻译理论家, 美国范德比尔特大学 (Vanderbilt University) 希腊语教授。

托尔曼最负盛名的著作是《翻译艺术》(*The Art of Translating*, Boston, Mass., 1901) 一书, 不仅是因为这部书内容丰富, 从传统的语言学的视角较为系统地论及了翻译理论与实践的基本问题, 包括翻译的本质、翻译的过程、翻译的标准和译作的风格, 并对西方语文学翻译理论做出小结。更为重要的是, 这部书是美国最早的关于翻译研究的专著, 可以说, 这部书开创了美国翻译研究历史的先河。

托尔曼主要关注文学翻译。他主张翻译是一门艺术, 而翻译家就应该是艺术家, 就像雕塑家、画家和设计师一样。

托尔曼认为翻译的艺术主要体现在翻译的理解和表达两大过程中。托尔曼强调要在原文语言中理解原文, 以原作者的眼光理解原文, 要沉浸在原作的思想感情之中, 不可掺进译者个人的观点:

阅读原文, 并用原文进行思维——这就是关键所在。

.....

我们必须用原文思维。不并不是什么不可能达到的理想; 这正是学习语言的惟一的真正目的。³⁴

另一方面, 托尔曼强调要如实地表达和反映原文的思想和风格, 要译出原作的词、句, 更要译出原文的整个思想及其关键所在, 要再现原作的情感和高雅, 即译文的风格是建立在原文的风格之上:

如果原作扒地蠕动, 译作不可腾空翱翔。

翻译并不是把一种外语的单词译成母语 (英语), 而应该是原文中感情、生命、力度和精神的蜕变。

罗特富克 (Rothfuchs) 规定, 译者不应该把作者的缺点消除掉, 因为这样做, 译者破坏了原作者的特殊风格。³⁵

当然, 托尔曼也注意到这样做的难度:

译者对原文的精神领会越深, 就越感到自己责任之重大, 也越来越深刻地理解到传达原作结构的精神实质之困难。³⁶

托尔曼还注意到威廉莫维施 (Ulrich von Williamowitz-Moellendorff-Moellendorff, 1848-1931, 德国哲学家、翻译家) 关于读者的感受问题:

翻译要能在英国读者或听众中引起像原文读者或听众所感受的同样的感情。..... 译者的目的, 就是要构成这样的句子, 即今天的读者读到这个句子所产生的印象, 与原作者同时代的读者读原作时所获得的印象完全一样, 并尽可能唤起同样的思想和感情。³⁷

史料图片选辑:



Herbert Cushing Tolman:
The Art of Translating

译论史稿辑要

THE ART OF TRANSLATING

READING THE ORIGINAL

In reading a foreign tongue one must not think of translation: reading a language is one thing, translating it is another. At the very outset we must immerse ourselves in the current of the native thought and feeling. Vast the gulf between translation and its original.

[...]

And so we see that we are compelled to grasp the idea from the standpoint of the original, --a standpoint which may be, and often is, entirely different from or directly opposed to that of the English.[...]

[...]

Read the original, think in the original, that is the whole story. The advice of a famous German professor for the acquisition of a vocabulary applies here equally well : "*Lesen, viel lesen, seTir viel lesen, sehr viel viel lesen.*"

It is only by reading the foreign tongue that we really enter, as we must, its life and strength.[...]

[...]

The more one enters into the spirit of the language he is reading, the more he appreciates the responsibility of the translator, and realizes that many times it is impossible to bring over into English the heart of the original construction. Just as the eye of the artist, which by training enters more deeply into the soul of nature, realizes more than the inexperienced eye the difficulty of the task, and is more keenly aware of the powerlessness of the brush to portray all that is in the landscape, so the trained translator appreciates how exacting is his art.[...]

[...]

Here are four simple rules which, if observed, will lead, I believe, to a deeper appreciation of a foreign tongue: (1) *Read*, READ, **READ** the original without endeavoring to translate. (2) Cultivate independence of the lexicon. (3) Acquire vocabulary. (4) Cease to fear the foreign sentence as something strange or uncanny. The test is not what one has read, but the ability he has acquired from reading what he has, to read more just like it with greater ease.

In one word, we must *think* in the original. That is no impossible ideal ; it is the only true goal of language study. When this is acquired, Latin and Greek, French and German, will not be laid aside on leaving the college walls, for it is true that what is once learned can never be unlearned, what is once gotten can never be forgotten. Then the wish of Goethe respecting the classics will be fulfilled: "*Möge das Studium der griechischen und römischen Literatur immerfort die Basis der höheren Bildung bleiben.*"

THE WORK OF THE TRANSLATOR

Before the translator begins his task he must have read thoroughly the sentence in the original and grasped its meaning. Should he attempt translation before this, he is like the builder who essays to build a house before knowing its plan. No architect allows a single block of stone to be put in place without having before him the design of the completed structure. So if one plunges immediately into translating the words in the order in which they come without knowing the idea of the finished sentence, he is like one who is simply building blocks, but not erecting an edifice after some great pattern.

Remember that translation is not rendering the words of a foreign language into English, but it is the metamorphosis of the feeling, the life, the power, the spirit of the original. In other words, --and I put them in italics for their emphasis, --*translation is arousing in the English reader or hearer the identical emotions and sentiments that were aroused in him who read or heard the sentence as his native tongue*. Translation is nothing more than this, and it certainly is nothing less. As Wilamowitz puts it: "The translator's object must be to construct a sentence which will make upon readers of to-day exactly the same impression that was made by the original upon people who were contemporaries of the author, awakening as nearly as possible the same thoughts and sentiments."

Let us illustrate again by the art most nearly like the art of translating, that is, painting. The subject of the painting may be the war-steed. The trained hand portrays him with flashing eye, arched neck, expanded nostrils; the artist feels the martial spirit and reproduces it in his work. The unskilful hand and the untrained eye give us only legs and head and body. Perhaps we cannot deny that the object is a horse, but one thing surely is not there, that is, the spirit of the original. In the same way one translator reproduces the idea of a sentence with all the feeling, grandeur, beauty, and delicacy that it contains; the other gives us in shabby garments the idea which had been clothed by the writer in majestic robes. The strong line of Ennius, which, as Tyrrell says, has been compared to the voice of an oracle,

Moribus antiquis stat Res Romana virisque,

one may render, "The Roman State stands on its ancient customs and men"; another, --

Broad-based upon her men and principles

Standeth the state of Rome. (*Tyrrell*.)

Perhaps we can't deny that both translations contain the same idea; but where the spirit in the former? It is just as much the duty of the translator to transfuse the force of the original into his translation as it is the duty of the artist to reproduce the grandeur of nature in his picture. Anything short of this is failure. Anything short of this does not constitute translation. But how difficult the task! Note the confessions of some of the greatest translators. "All translation," writes Wilhelm von Humboldt to Wilhelm von Schlegel, the German translator of Shakespeare, "seems to me but an attempt to accomplish what is impossible. Every translator must run shipwreck on one of two rocks : either at the cost of the style and idiom of his own nation, he will hold too closely to the original, or at the cost of the original, he will hold too closely to the peculiarity of his nation. The middle ground between these is not only hard, but absolutely impossible." [...]

Don't make the translation more elegant than the original, for if the original creeps, the translation should not soar. That is Frazer's mistake, if you can call it such, in his monumental work on Pausanias. The style of Pausanias is broken and slovenly, but Frazer has rendered the Greek in a stately English. This is like an artist giving to a picture a higher coloring than that of the scene before him, or converting into a grand edifice on his copy what is but a rude building in the landscape.

[...]

TRANSLATION NOT EXPLANATION

One thing I wish to emphasize strongly, --*translation is not interpretation*. The work of the translator is one, the work of the exegete is another. Very true are the words of Wilhelm von Humboldt: "*Erne Uebersetzung kann und soll kein Kommentar sein*." If the original be ambiguous, a faithful translation should be just as ambiguous as the original.[...]

[...]

If it be true that ideas in a foreign word and in an English word overlap, how much more true is it in the case of the finished sentence. The effort of the translator is to bring the original and the English sentences into such coincidence as his skill will allow. I

doubt if absolute coincidence --except in sentences of simple meaning --is possible, for the work of the translator, like that of the painter, is toward an infinite goal. No painter, however skilful, can reproduce a landscape *perfectly* true to nature. The best painter is not the one who paints the scene with exactness in color and detail; but the best painter is he who, overmastered by the greatness of the vision and realizing the limitations of his art, paints the scene *most true* to nature. So the best translator is not he who exactly reproduces the original in English, --for that is impossible, --but he who *most nearly* reproduces it. In saying this I do not depreciate the work of translating; on the other hand, I emphasize the infinite possibilities of the art.[...]

---- Herbert Cushing Tolman, *The art of translating*^[37]

83. (美) 丁达 · L · 戈雷 Dinda L. Gorfée



Dinda L. Gorfée

生平及重要译论：

丁达 · L · 戈雷（又译戈尔莱）Dinda L. Gorfée，国际符号研究协会执行委员会成员，发表了大量有关翻译研究和符号学的论著。其最具代表性的著作是《符号学与翻译问题——关于 C. S. 皮尔士的符号学》（*Semiotics and the Problem of Translation: With Special Reference to the Semiotics of Charles S. Peirce*）和《论翻译符号：文本探索与符号翻译》（*On Translating Signs: Exploring Text and Semio-Translation*）。这是当代西方译学理论的纯理论研究的代表著作。

《符号学与翻译问题——关于 C · S · 皮尔士的符号学》一书的最大特点是将查尔斯 · S · 皮尔斯的符号哲学运用于翻译理论研究中。该书结合有关的语言符号理论对翻译理论从“符号翻译”的新视角进行具有跨学科性质的研究，从而开辟了一个将翻译视为有助原文不断发展进化的过程的翻译研究新领域。

该书对一些沟通符号学与翻译理论的理论包括维特根斯坦的语言哲学、沃尔特 · 本雅明的语言理论和罗曼 · 雅克布森对翻译的三种符号学分类理论进行了探讨。该书试图证实一个主题，即翻译实质上是符号的阐释过程（translation is semiosis）。这个过程（semiosis）涉及符号、该符号的所指物和该符号的阐释符号（interpretant）三个因素。戈雷进行的正是语言符号理论与翻译理论研究的跨学科研究的尝试。根据戈雷所述，由于符号阐释过程所具有的开放性和无限性，可以将翻译视为一个永远变化的进化过程。这一“符号阐释过程”有两个重点：或为所指物，或为阐释符号。

当重点为所指物时，翻译的目的就是符号和所指物的对等，即翻译过程的终点。戈雷将这种翻译对等分

为三种，即指称对等（referential equivalence）、意义对等（significational equivalence）和质量对等（qualitative equivalence）。

值得重视的是，当这一“符号阐释过程”的重点为阐释符号时，注意力就从翻译对等转到了如何帮助符号（原文）发展这一问题上，因为作为阐释符号的译文将主要帮助原文不断生长。戈雷便根据这一符号发展的理论，提出译者“应该能够而且乐意破坏他们的‘传统’职责，偏离常规”，即“通过增加来背叛[原文]”或“通过减少或者歪曲来背叛[原文]”。她警告说：

不然的话，他们所生产的只会是呆板的直译，没有生命的复制品。假如翻译仅仅只是制造原文的影像，那么它就只会使符号阐释过程走向衰竭，因为它编织出来的是千篇一律，缺乏差异，甚至完全雷同的图案。³⁸

戈雷的这两种“符号阐释过程”对译者提出了两难的要求，即译者既要以等值为重，又要以发展为重，就是说译者破坏他们的‘传统’职责，背叛原文，实际上译者是很难做到两全的。这是一种纯理论性的要求，在实践上是有很难度的。

史料图片选辑：



Dinda L. Gorlée:

On Translating Signs:

Exploring Text and Semio-Translation

译论史稿辑要：

The etymological and cultural history of the word text flows from the ancient Greek term, *technè*. Following Scholes' description (1992:143 ff.), *technè* signifies the production or craft of art; authorship was connected with the crafts of carpentry, metal work, and shipbuilding for males. For women, the “equivalent” art was weaving, knitting, and, more generally, the practical guidelines of textual fabrication:

We can see also that the extension from material handicraft to verbal construction is reinstated and extended, taking on specific references to verbal composition or style (as opposed to weaving). In Latin we find *texo*, *texere* (weave; to join or fit together anything; to plaid, braid, interweave, interlace, intertwine; to construct, make, fabricate, build; to compose” and *textum* “that which is woven, a web; that which is plaited, braided, fitted together, a plait, texture, fabric”; figurative: “of literary composition, tissue, texture, style” (Lewis and Short[1980]). The meanings related to weaving and woven fabrics were to remain with these words and with many of their descendants (*texture*, *textile*, etc.), but the verbal extension of meaning toward literary style and composition became more and more important in the history of the *textum* itself. (Scholes 1992: 143)

The term text is applied to the New Testament as the “Text: *textus* ‘text, wording, contents of speech or writing;

charter, Gospel-book” and acquired “a verbal emphasis through its association with Christian doctrine” (Scholes 1992: 143-144, see further there).

Today we read World Wide Web pages and the word *semiotic web* is used to indicated signs of the textile friendship, a network of relations uniting the sign, the object represented in the sign, and the product, the interpreting and translated sign into a seamless whole. This is “a favorite metaphor” (Deely 1990: 14). The metaphor comes from the father of zoosemiotics, Thomas A. Sebeok (1975). Sebeok chose this apothegm as the title of his International Yearbook, *The Semiotic Web*, whereas the source of the designation “semiotic web” itself is Jakob von Uexküll (1864-1944), the forefather of this biosemiotic view which casts new light on the plans and goals of nature. Originally in German, Uexküll’s statement may be translated into English as follows: “As the spider turns its threads, every subject spins his relations to certain characters of the things around him, and weaves then into a firm web which carries his existence” (1934:14, quoted from Deely 1990: 14 n., see von Uexküll 1982). The semiotic web is itself a semiotic text comprised of different kinds of textures stranded together to make the web of life (see also Capra’s ecological title, *The Web of Life* [1996]). Consider, for example, Uexküll’s source German text and a variety of edited, revised, and translated target texts in English, as well as primary and secondary texts in other languages (unmentioned here). Consider the many “borrowings” of the designation “semiotic web”: Merrell used it as follows, in the chapter “The Semiotic Web: Our Chronic Prejudices” in *Semiotic Foundations* (1982) on a theory of written signs integrated in our (limited) life-view:

Observe a spider as it spins its web. It is constructing the materialization, the somewhat abstract externalization, of an inner bounded space. Assume that the spider is not conscious of the purpose of its actions. (perhaps much like the purposeless goal of the “Zen of archery.”) It does it because it is innately programmed to do it. It follows a set of invariant rules (the code) and employs certain strategies depending upon the geographical terrain upon which it constructs its web. (Merrell 1982: 107ff.)

Merrell’s paragraph on semiotic web and text has grown into the topic of this study: text and translation are written, translated, sent, exchanged, edited, refected, arranged, etc. in different times and from different places. The semiotic web is today more than the public exposure to conventional media. The information highway gives access to electronic data of all kinds. The sensation of the World Wide Web has transmogrified source viewers into target browsers searching, cross-referencing and retrieving www. What are the relevant norm and standards applied in such textual manipulation?

The definition of text or, to put it vaguely, a textual entity is, following Algirdas Julien Greimas’s (1917-1992) structuralist encyclopaedia *Semiotics and Language: An Analytical Dictionary* (itself a translation from French into American-English languages), a metalinguistic paraphrase and/or description, which “plays on the elasticity of discourse as a result of the relation expansion/condensation” (Greimas and Courtés 1982:70f.). Yet despite the confusion of the term text, it is constantly used and probably understood, so that it may be assumed that we somehow intuit, whenever a practical case arises, whether the object in front of us qualifies as a text or not. This is a spontaneous understanding which ostensibly requires apparently no formalistic definition in order to “work” for all human inquirers/receivers of texts.

How problematic it is to give a concise and yet comprehensive definition of “text” is also reflected in how little agreement there is among theoreticians about what it is. Just to cite one, if vague, example: Allén observes that a text, written or spoken, can among other things be looked upon as a basically undefined variety of things:

... a message in a communicative situation, an act, a way of organizing some intended content, a model of a possible world, a means of suppressing information, an experimental field for grammatical and lexical analysis, an application of a generative model, a flow of linguistic data, a reflection of an author's temperament, a genre piece, a prognosis of certain reactions in the receiver(s). (Allén 1982: 15-16)

What these undefined descriptions have in common is that they may refer to a meaningful, observable and intelligible object, but unfortunately no more than that. It should already be clear, even from this far from exhaustive list, that "text" is widely interpretable, and hence translatable for human minds. Furthermore, "text," even when conceived as an exclusively verbal entity, cannot be studied adequately by linguistic (or metalinguistic) methods alone.

Text-theoretical research is highly interdisciplinary or, better, transdisciplinary (see Gunn 1992). Roughly speaking, it includes, besides language-related disciplines, such as poetics (or poeticalness), rhetorics, stylistics, (general and applied) linguistics, semantics, (pragma)linguistics, speech-act theory, theory of signs, and other humanistic disciplines like philosophy (in its various specializations and ramifications), psychology, sociology, such as translation theory, artificial-intelligence research, information theory, and so on. Given the transdisciplinary nature of textual studies, the phenomena of text and textual activities would be best served by a holistic or organic approach, preferably in the theoretical framework of a general semiotics in its American tradition, embodied by Peirce and his followers. The overall aim of the present inquiry is to argue this methodological choice and to develop a (partial, always partial) text theory based on the semiotic ideas of Peirce, will be, to formulate it globally, the aim of this inquiry.

If the concept of text is notoriously difficult to define "hardly" (using a Peircean concept), numerous attempts have nonetheless been made. Indeed, text has been defined and re-defined many times, by many different scholars, and from many different angles. To answer the question of "what a text is" requires at least the two following considerations: on the one hand, one should make crystal clear the ontological status assigned to the entity "text" – abstract and/vs concrete, general and/vs individual, code, producer, receiver. On the other hand, the "essential" properties of texts should be established (Lieb 1981) instead of the accidental phenomena we address spontaneously and intuitively. From a strictly linguistic point of view, these problems can be addressed only partially; whereas from a wider, general-semiotic perspective, a text must be considered as a complex linguistic sign couched in articulated language and functioning as a genuine communicative agency.

The concept of sign, as defined and re-defined by the sign-theoretician Peirce, does not identify "sign" with "linguistic sign," but considers a sign to be any perceptible phenomenon – visual, auditory, olfactory, or otherwise – that interests, excites, or even puzzles those who receive it. (We return to this subject later.) It is by virtue of these intriguing qualities that a semiotic sign functions; that is, it conveys a message to an interpreting mind (a key word in this study). In this broader conception of the sign, the exchange of messages in verbal language, as embodied in actual texts, is one accepted form of communication. We restrict ourselves to human verbal communication, which takes place at a highly sophisticated level as compared to non-verbal communicative events that occur between all living creatures, human and non-human alike. At first blush, the Peircean sign might appear too vague or too broad or ambiguous. Still, we venture to suggest here and demonstrate throughout this book that Peirce's notion(s) of sign can be fruitfully operationalized in all their scope when applied to the definition and investigation of the kaleidoscopic varieties in Peirce's textual phenomena.

Before contemplating a semiotic conception of text, I first give some definitions which draw upon different linguistic and linguistically-related theories. Given the aim of these introductory remarks, the overview here must be selective, and the discussion must remain global and informal. A primary reason for problems in distinguishing between a linguistic and semiotic conception of text, is that a Saussure-based theory of semiotics comes and takes language and linguistic operations as its primary model and paradigm. In contradistinction to Saussure's "semiology," Peirce-based semiotics deals with movements in and between verbal and nonverbal signs alike, and with the same terminology. This fact may be illustrated by Brinker's definition of text as "a coherent sequence of verbal signs or sign complexes which are not embedded in another more comprehensive unit" (Brinker 1979:3; my translation). This rather static definition emphasizes syntactics — i.e., sign structures and their hierarchical relations (paradigmatic or associate relation as well as combinatorial ones). On this view, meaning and use incorporated in semantic and pragmatic aspects are de-emphasized or even ignored. This situation echoes not Peirce's model, but rather Charles Morris's (1901-1979) triadic model which focuses on channel of relations among interconnected sign vehicles in a text (1971:311 ff. *passim*). Syntactics is traditionally called "grammar," which includes the "rules" and norms of morphological, lexical and syntactical structures. Semantics and pragmatics are for the most part ignored here.

British linguists, by and large, tend to define "text" as follows: "The word TEXT is used in linguistics to refer to any passage, spoken or written, of whatever length, that does form a unified whole" (Halliday and Hasan 1976:1). Subsequently, this definition, which would encompass all verbal utterances, is nuanced and fine-tuned as follows:

We know, as a general rule, whether any specimen of our language constitutes a TEXT or not. This does not mean there can never be any certainty. The distinction between a text and a collection of unrelated sentences is in the last resort a matter of degree... A text may be spoken or written, prose or verse, dialogue or monologue. It may be anything from a single proverb to a whole play, from a momentary cry for help to an all-day discussion on a committee. A text is a unit of language in use. It is not a grammatical unit, like a clause or a sentence. The text is not something that is like a sentence, only bigger; it is something that differs from a sentence in kind. A text is best regarded as a SEMANTIC unit: a unit not of form but of meaning. (Halliday and Hasan 1976:1-2)

This means that there must be, beyond the intuitive level, a linguistic distinction (at least in principle) between a text and a non-text, and that this distinction is based upon meaning. A text makes sense, whereas a non-text may be nonsensical; the difference lies in the presence (or absence) of what is called "texture". As argued lengthily in Halliday and Hasan (1976), texture is what defines the text, as opposed to the verbal object without texture, the so-called non-text, a virtual semiotic object. Texture is the property of connectedness which results from lexicogrammatical relations that join parts of the text together in a whole. The text derives its texture from the fact that it functions as a meaningful unity with respect to its everyday situational, usually denominated context or sociocultural environment.

--- Dinda L. Gorlée, *On Translating Signs: Exploring Text and Semio-Translation*³⁹

84. (美) 埃德温·根茨勒 Edwin Gentzler



Edwin Gentzler

生平及重要译论：

埃德温·根茨勒 Edwin Gentzler，美籍德国移民后代，马萨诸塞州阿默斯特大学比较文学副教授（University of Massachusetts, Amherst, USA），翻译研究中心（Translation Center）主任。1973 年获凯尼恩学院（Kenyon College）文学士学位，1990 年在范德比尔特（Vanderbilt）获哲学博士学位。

根茨勒论著颇丰，与玛丽亚·铁木志科合编过《翻译与权力》（*Translation and Power*）一书，与苏珊·巴斯奈特合编过有关多语种翻译的系列丛书如《翻译专题论丛》（*Topics in Translation Series*）。

《当代翻译理论》（*Contemporary Translation Theories*, 1993）是根茨勒的经典代表作。该书对于翻译的最大的贡献在于作者对于当代西方翻译理论流派及其发展进行了科学系统的梳理和总结。根据根茨勒，当代西方翻译理论分为五大派别，即北美翻译培训派（The North American Translation Workshop）、翻译“科学”派（The “Science” of Translation）、早期翻译研究派（Early Translation Studies）、多元系统派（Polysystem Translation）和解构主义派（Deconstruction），并进行了较为详尽的介绍和深入的分析。

他还独到匠心地对这些当代西方翻译理论流派的内在联系和发展进行了客观深刻的评述。在此基础上，他在《翻译、后结构主义和权力》（*Translation, Poststructuralism, and Power*, 2002）一文中提出了自己对于翻译本质的后结构主义（解构主义）见解。他认为新的翻译解释模式应该从传统的定义即“从一种单一语言到另一种单一语言的转换”提升为一种多文化形态环境和另一种同样多文化形态环境之间的转换。他解释说：

在后结构主义的翻译中，新生意义的混合场景会得以开创，新的界限会出现然后被跨越，并常常带来异乎寻常的创造性结果。在这种情境下，翻译因充满了双关词、新创词、古雅词、玩笑词以及滑稽模仿词而变成了一种乐趣。⁴⁰

更为难得的是，他对今后翻译理论研究的方向进行了有益的预测，呼吁文学、语言学、人种学、人类学和社会科学等各相关学科进行更为密切的跨学科合作。根茨勒对新的翻译理论研究领域进行了较为深入的描述：解构主义翻译理论、跨文化交际翻译理论、诗学翻译理论等。这有助于摆脱旧式源语文本决定论的束缚，进行翻译理论的跨学科接缘性研究。

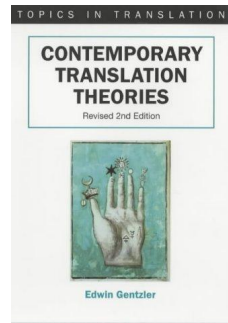
根茨勒呼吁超翻译研究要超越封闭的研究体系、加强合作以形成多元互补和融合的发展趋势：

未来的译论家们应加强合作，消除对立观点之间的误解，进一步为新的选择性的理论方法敞开大门……使我们更加开放地接受其他观点……欢迎真正的文化内部与不同文化之间的交流。⁴¹

史料图片选辑：



Edwin Gentzler



Edwin Gentzler:

Contemporary Translation Theories

译论史稿辑要：

(1)

"Translation Theory" is and is not a new field; though it has existed only since 1983 as a separate entry in the *Modern Language Association International Bibliography*, it is as old as the tower of Babel. Some literary scholars claim never to have heard of it as a subject in and of itself; others, who may themselves translate, claim to know all that they need to know. Anyone working "monolingually" may purport no need for translation theory; yet translation inheres in every language by its relationships to other signifying systems both past and present. Although considered a marginal discipline in academia, translation theory is central to anyone interpreting literature; in an historical period characterized by the proliferation of literary theories, translation theory is becoming increasingly relevant to them all.

What is "contemporary translation theory"? Roman Jakobson breaks the field down into three areas: *intralingual* translation, a rewording of signs in one language with signs from the same language; *interlingual* translation, or the interpretation of signs in one language with signs from another language (translation "proper"); and *intersemiotic* translation, or the transfer ("transmutation") of the signs in one language to non-verbal sign systems (from language into art or music). All of Jakobson's fields mutually reinforce each other, and, accepting this definition, one can easily see how translation theory can quickly enmesh the student in the entire intersemiotic network of language and culture, one touching on all disciplines and discourses. I will be concerned mostly with the second aspect of Jakobson's definition -- *interlingual* translation -- but I hope to demonstrate as well that such isolation is impossible, and that even translation "proper" entails multiple linguistic, literary, and cultural aspects.

In recent years, translation theory has exploded with new developments. George Steiner characterized the history of translation theory until Jakobson as a continual rehashing of the same formal (consistent with the form of the original) versus free (using innovative forms to simulate the original's intent) theoretical distinction. "Modern" translation theory, like current literary theory, begins with structuralism and reflects the proliferation of the age. The following chapters focus on just five different approaches to translation that began in the mid-sixties and continue to be influential today: (1) the North American translation workshop; (2) the "science" of translation; (3) early translation studies; (4) polysystem theory; and (5) deconstruction.

Given the marginal status of translation theory within literary studies, I have assumed that the reader has had little previous exposure to the theories presented here. The investigations themselves differ greatly, a fact reflected in the terminology specific to each field as well as in the ideas themselves. Literary translators, for example, distance themselves from the "jargon" of linguistic approaches; deconstructionists subvert the very "scientific" terminology demanded by semioticians; and the aggressive rhetoric of the deconstructionists alienates scholars from many of the other fields. Of necessity, each of the following chapters conforms in a gradual way to the preferred terminology within the branch of study, for certain ideas are dependent upon the terms used to describe them.

In addition to terminological differences, however, other barriers have impeded the exchange of ideas among scholars of various approaches. Despite the fact that proponents of "new" approaches such as translation studies have been developing their ideas and publishing their data for over two decades, their ideas remain foreign to more traditionally based approaches. Euro-American translators, for example, generally resist the suggestion that institutional manipulation influences translation. Translation studies scholars do not relish the idea that their meticulously collected data may be interpreted by deconstructionists to reveal multiple gaps and literary repression rather than systematic literary evolution. Interdisciplinary translation conferences have been held, but many incompatibilities remain; one of the purposes of this study is to show how such problems in communication and exchange are grounded in the differing theoretical assumptions of each approach.

An attempt has also been made to read symptomatically, to look at the "discourse" of the given text, and to point out what can and cannot be said given the philosophical premises of the scholar. For example, after reviewing Eugene Nida's religious presuppositions and missionary goals, I find that his adoption of a deep structure/surface structure model derived from "modern" linguistics as a base upon which to found his "science" highly suspect. What he means by "deep" structure -- something vague and related to the Word of God -- and what Noam Chomsky intended -- again, something vague, but related to innate structures of the human brain -- are two different concepts. Often the theoretical assumptions are less overt than those of Nida, but still can be discerned by the terminology, rhetoric, and style chosen by a particular scholar. Thus when early translation studies scholars adopt concepts such as "literariness," "estrangement," "primary," and "secondary," I find the terms themselves reveal assumptions about the hierarchical nature of a culture. While such terms may help the translation scholar articulate the way translations function in a society, they may also serve to inhibit the nature of the investigation.

Given this methodology, original sources have proven more valuable than the secondary literature; most of which comes from "outside" a translation-oriented or even a comparative discipline, or, in other words, from within the particular discipline -- be it literary theory, linguistics, or philosophy. Instead, by returning to the "original" source, I can analyze not just what the text explicitly says, but also what it does not say or says only by implication. For example, when Jonas Zdanys, Translation Workshop Director at Yale, says that he avoids "predetermined aesthetic theories" and then later talks about his commitment to "creative solitude," or, even more revealingly, talks about his hoping to convert a linguistics student to his beliefs, I suggest that he has his own predetermined yet unspoken agenda. Or when I. A. Richards first argues in *Practical Criticism* that he is looking for a new theory allowing individuals to discover themselves and to discover new methods, and then turns around, dismisses the varied responses of his students as errors, and argues that the goal also is to achieve "perfect understanding" and a unified and correct response, I suggest his argument is less than consistent.

Some of the "precursors'" work may or may not have been intended for translation. Richards, for example, was clearly teaching students techniques for learning the English canon, yet translation workshops in the United States use New Critical methods to interpret and evaluate translations. Richards's approach -- whether consciously or unconsciously remains at the heart of classroom. Chomsky did not intend his model to be used for translation, but Nida and Wolfram Wilss -- director of a translation institute in Saarbrücken -- incorporated, correctly or incorrectly, aspects of Chomsky's model in their work, and thus the translation scholar must ask those hard questions regarding the suitability of a particular model for translation theory. Others have spoken directly to issues of translation. Late Russian Formalists such as Jurij Tynjanov and Roman Jakobson allowed for translation as well as other cultural phenomena in their theory of art, but infrequently expanded upon specifics. Questions regarding the nature of translation are always underlying the movement of the thought driving Heidegger's and Derrida's work, and thus color a subsequent generation of "scholars." Yet in many ways some of Derrida's terminology seems dated in light of recent translation theory -- such as his reference to the "impossibility" of translation -- and the translation studies scholar must point out the progress which has been made.

In general, I am greatly encouraged by developments in the field of "modern" translation theory. The focus in translation investigation is shifting from the abstract to the specific, from the deep underlying hypothetical forms to the surface of texts with all their gaps, errors, ambiguities, multiple referents, and "foreign" disorder. These are being analyzed -- and not by standards of equivalent/inequivalent, right/wrong, good/bad, and correct/incorrect. Such standards imply notions of substantialism that limit other possibilities of translation practice, marginalize unorthodox translation, and impinge upon real intercultural exchange. As is true in literary theory in general, a revaluation of our standards is well underway, and within the field of translation theory substantialist notions are already beginning to dissipate (though no doubt they will die slowly). For literary history, translation case studies are already proving a valuable resource showing how cultural ideology directly influences specific literary decisions. For literary theory, this may very well be an exciting time of renewed study of actual texts from a new discipline, which can only help us gain increased insight into not only the nature of translation, but the nature of language and (international) communication as well. Yet, my optimism is tempered by the feeling that all the translation theories discussed in this text reflect certain values and aesthetic assumptions about literature as understood by Western critics. As the translation theories outlined in this book become more and more complex, they seem to gain more and more support from academia, which, in turn, also enhances their power to exclude.

---- Edwin Gentzler, *Contemporary Translation Theories*⁴²

(2)

The Future of Translation Studies

If, as Ted Hughes argued, the sixties were a period that experienced a boom in literary translation, the nineties might be characterized as a period that experienced a boom in translation theory. This book has traced five approaches -- North American translation workshop, translation science, early translation studies, polysystem theory, and deconstruction -- that might be considered pioneering for the field. Today an argument can be made that a variety of academic and socio-political events occurring internationally have made conditions ripe for a "translation turn" in several fields simultaneously, including linguistics, anthropology, psychology, women's studies, cultural studies, and postcolonial studies. Additionally, translation of recent has enjoyed a renaissance in many parts of the world not included in the above chapters, such as Spain, Italy, Canada, Brazil, China, and especially in those nations in which borders have been opened including countries in central and eastern Europe. In this age of globalization, "lesser known languages" are particularly threatened, and translation and the study of translation become of increasing importance. New studies on translation in smaller countries and new nations continue to inform theory; I suggest that we are just scratching the surface and that in the coming years more studies from a variety of perspectives, cultures, and languages will emerge.

[...]

Whether one proceeds inductively, like Lambert, or deductively, like Lefevere and Bassnett, to identify the causes of "shifts" or "mistakes," or comes to translation via cultural studies and critical theory, like Venuti or Niranjana, the results are much the same. What becomes apparent when analyzing the evolution of one text in history are not the eternal verities of the original, but the mechanisms of history that mask any sense of an original at all. By recognizing the limits imposed by the receiving culture, by problematizing those discursive constraints, critics not only open up the discourse of translation theory for its own possible transformation, but help open the receiving culture for possible social change (through the practice of translation). Translation studies scholars no doubt can learn much from scholars of ethnic minorities, women, minor literatures, and popular literatures. Most exciting work in the field today is being produced by scholars from "smaller countries" and cultures in transition -- Belgium, the Netherlands, Finland, Israel, Czech Republic, Slovakia, Northern Africa, the Philippines, China, Brazil, and Quebec.

The aim of this book has been to break down misconceptions about competing viewpoints and to open further the

door for new, alternative approaches for translation. I feel as if the first edition of this book helped provide openings for some of the work that has emerged in the field in the last decade. The deconstruction of the authorities governing translation, literary criticism, and culture in general, was merely a first step. Much work still needs to be done. Although contemporary translation theory has evolved a long way since its beginnings, it now stands on the threshold of a very exciting new phase, one which can begin to unpack the relations in which meaning is constituted, and thus better inform our postmodern conception of language, literary discourse, and identity. I began this book by asking what is contemporary translation theory and by turning to Roman Jakobson's definitions of intralingual, interlingual, and intersemiotic translation for a model. I hope I have shown how the student of contemporary translation is enmeshed in the entire network of multiple languages, discourses, sign systems, and cultures, all of which are found in both the source and translated texts and which mutually interact in the process of translation. The number of borders being crossed in one translation are always multiple. Thus I argue in favor of the implementation of multiple theories of translation from a variety of disciplines and discourses to better analyze the variety meanings and functions produced; hence the title of the book. Given how the boundaries of the field have expanded from linguistic and textual analysis to that entire network of complex signs that constitute culture, no one scholar from one discipline can possibly hope to provide all the answers. We are at the verge of an exciting new phase of research for the field, one that is forcing scholars to combine theories and resources from a variety of disciplines and which is leading to multiple new insights. I hope this revised second edition will contribute in some small way to expedite that process.

---- Edwin Gentzler, *Contemporary Translation Theories*⁴³

85. (美) 玛丽亚·铁木志科

Maria Tymoczko

生平及重要译论

玛丽亚·铁木志科（又译铁木钦科、提莫志克、提莫茨科、廷莫科）Maria Tymoczko，毕业于哈佛大学凯尔特语言文学系，1965年获文学士学位，1968年获硕士学位，1973年获哲学博士学位。英语沃里克大学（University of Warwick, England）比较文学系教授、英语系副教授、英语及比较文学研究中心名誉教授，美国马萨诸塞大学阿默斯特分校（University of Massachusetts Amherst）比较文学教授，专门研究中世纪爱尔兰文学的专家，著有《爱尔兰的“尤里西斯”》（*The Irish "Ulysses"*）等。

铁木志科对语言学、文学特别是中世纪威尔士文学和后殖民主义文学以及系统理论等都有极深的造诣，是翻译研究描写学派的重要代表人物之一。

铁木志科的《后殖民语境中的翻译——爱尔兰早期文学之英译》（*Translation in a Postcolonial Context: Early Irish Literature in English Translation*, 1999）是关于文学翻译研究的一部力作。

铁木志科对历史上的“规约性”（prescriptive）翻译理论提出质疑：

作为一种语言艺术，翻译常常被人用一些超越时间的语言规则（timeless linguistic rules）来加以考察（这种做法造成了理论研究中的规约倾向）。⁴⁴

在对传统的规约性翻译理论进行批判的同时，铁木志科提出了自己对描写翻译理论的阐述（参阅下面的“译论史稿辑要”）：

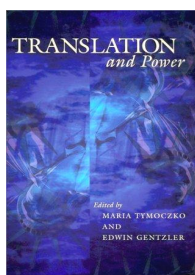
描写性翻译研究在研究翻译的过程、产物、以及功能的时候，把翻译放在时代之中去研究。广而言

之，是把翻译放到政治、意识形态、经济、文化之中去研究。⁴⁵

相对于规约性翻译理论，描写翻译理论强调翻译的宽容。铁木志科认为，在原文与译文两种语言系统之间有着互不相容的特征，两种语言之间存在着文化的差异，原语读者和译语读者的信息承载情况不同，这些便造成完全忠实于原文是根本不可能的。

铁木志科对曾作为英国殖民地的爱尔兰的文化轨迹所作的开创性论述是其对后殖民研究的重要贡献。铁木志科关于“翻译的文化”的论述同时还为翻译研究学派关于原文与译文的关系的见解提供了有力的支持，即不是译文完全依赖于原文，而是原文依赖译文在另一文化环境中获得再生。

史料图片选辑：



Translation and Power

Ed. Maria Tymoczko and Edwin Gentzler

译论史稿辑要：

(1)

Increasingly it has been recognized that as it facilitates the growth of cultural contact and a movement to one world, translation is paradoxically the means by which difference is perceived, preserved, projected, and proscribed. Translation stands as one of the most significant means by which one culture represents another. If nations are "imagined communities", inevitably representations of nations will shift as they are constructed through translation by different groups with their own senses of identity, groups both internal and external to a nation. In turn identities themselves depend on a perception of difference for their articulation, difference often established by translations. Thus, the process of translation is powerful and it is not innocent. Along with such narrative genres as history, fiction, and travel literature, and such scholarly productions as editions, anthologies, and literary criticism, translations form images of whole cultures and peoples, as well as of individual authors or texts, images that in turn come to function as reality. When such representations are done for a people themselves, they constitute a means of inventing tradition, inventing the nation, and inventing the self. Although cultural difference can be effaced, erased, or obliterated in translation, various translation strategies have emerged to call attention to, underscore, and insist upon differences in values, in literature, in culture, and in language. For these several reasons the investigation of translations is an essential aspect of the investigation of culture, revealing through comparison with the source texts valuable information about both the source culture and the receiving culture, while a longitudinal study of a tradition of translations becomes a means of charting the shifting relations between two cultures. Not surprisingly, then, translation studies is a fundamental aspect of cultural studies, and it is particularly instructive for an understanding of the relations between colonial powers and their colonies, such as those between England and Ireland. As Richard Jacquemond (1992:148) illustrates with respect to French and Arabic cultures, there is a continuous interaction between colonial representations of a culture and the linguistic, cultural, and political economy of translation from that culture into the colonizer's language.

...

Descriptive translation studies -- when they attend to process, product, and function (Toury 1991) -- set translation practices in *time* and, thus, by extension, in politics, ideology, economics, culture. This movement in translation studies, therefore, has some kinship to the new historicism of literary studies. Pierre Bourdieu emphasizes the importance of time in studies of art: "To treat a work of plastic art as a discourse intended to be interpreted, decoded, by reference to a transcendent code analogous to the Saussurian '*langue*' is to forget that artistic production is always *also* -- to different degrees depending on, the art and on the historically variable styles of practising it -- the product of an 'art', 'pure practice without theory', as Durkheim says [...] "(1977:1-2). As a language art, translation has often been considered from the viewpoint of timeless linguistic rules (which has led to a normative tendency in the theory) or from the viewpoint of transcendental inspiration (which has tended toward an erosion of theory altogether). Approaches to translation that stress the *practical* nature of translations, their grounding in space and time, take translation theory in a new direction. They place translations within their synchronic contexts, but also reveal diachronic processes and patterns as well (cf. Bourdieu 1977:9). Such approaches within translation theory naturally entail the revisionism shaping all fields, domains of inquiry, and discourses that pertain to cultural interface, including ethnography and anthropology.

---- Maria Tymoczko, *Translation in a Postcolonial Context: Early Irish Literature in English Translation*⁴⁶

(2)

But culture is also central to "the legitimacy of the claims of a nation" (Fanon [1961] 1966:168). Translations of culture are, therefore, never innocent, never simply a matter of "adjustment", whether they involve bringing a dominant culture to a minority culture or, least of all, whether they mediate between the language and culture of a colonized group and the language and culture of the colonizers, as between the Irish and the English. Thus far in this volume the focus has been on the ways that the political context informed the translation of early Irish literary texts into English, in terms of both content and form, highlighting the translation of elements such as plot, character types, and genre. The translation of early Irish literature into English, however, was not only a matter of translating specifically literary elements of the texts within a charged ideological context: there was also the matter of identifying and conveying the cultural beliefs, values, ideas, and ideals that make for distinct Irish views of the world embodied in the texts. The implications of Quine's indeterminacy thesis of translation, discussed in the last chapter, for this issue of cultural definition and representation is obvious.

Beliefs and values, ideas and ideals, are perhaps the most difficult aspects of culture to represent and to translate. While a colonizing group will soon learn the conditions of climate that shape culture in a specific area of the world and will readily take up convenient material aspects from another culture, often borrowing the words themselves to designate the particulars involved (as the words *monsoon* and *whiskey* in their separate domains illustrate), the ideas, beliefs, and values that structure the culture of a colonized people are much more difficult to perceive and much more vulnerable to distortion, misrepresentation, and suppression. In part this is the case because the major dispositions of a culture are operative in fundamental practices that are difficult for external observers to interpret and yet at the same time are encoded so deeply in the bodies and psyches of members of the culture that they are forms of "history turned into nature", history "denied as such" (Bourdieu 1977:78) and, hence, difficult for members of that culture to identify and articulate. Moreover, such aspects of culture are subject to linguistic misrepresentations that serve the agenda of imperialism, and distortions are particularly apt to arise when the ideas, values, or beliefs of a culture run counter to dominant discourses in general and to post Renaissance Western rationalism in particular.

...

In theoretical terms the issues about cultural representation to be considered in this chapter can be formulated as follows. It can be said that the source culture has distinct cultural practices, concepts, beliefs, values, and so forth,

which do not exist or for which there are no close counterparts in the receptor culture. Some of these elements of the source culture are not only important, they are central, emblematic of the culture's independent and autonomous views of the world, particularly views of the world promoted by the cultural framework in the precolonial period, in the case of a country like Ireland which has been colonized. Strictly speaking, of course, there is no single world view in any culture, but a family of related views that can be correlated with such factors as class, religion, gender, generation, and life experience; this is particularly the case in a nation that has a long history involving heterogeneous populations with linguistic diversity and an agonistic military and political heritage, as is the case in Ireland. In such a situation there is a family of world views characterized by multiplicity rather than homogeneity, within which certain values, beliefs, and understandings achieve dominance and others remain contested.

Concepts, beliefs, and practices of the sort discussed here are central to the very idea of culture, underlying individual experience and cultural structures; they may be expressed in language, but are also constituted and structured by language. Such features in turn are produced by and also reproduce what Pierre Bourdieu has called the *habitus*, "understood as a system of lasting, transposable dispositions which, integrating past experiences, functions at every moment as a *matrix of perceptions, appreciations, and actions* and makes possible the achievement of infinitely diversified tasks" (1977:82-83). A culture's family of world views is related at once to the ostensible structures of the culture and to the dispositions that constitute the *habitus*. World views are dynamic and changing, rather than static; through the workings of the *habitus*, cultural dispositions are reproduced, but they also evolve to meet changing conditions. Although it is tempting to view the dispositions or concepts of culture in an abstract manner, Bourdieu has shown that the *habitus* is expressed in and reproduced through particularized and even minute objects, actions, and practices (1977:87-95).

In the following discussion cultural elements that are key to both social organization and the dispositions constituting the *habitus* will be called the *signature concepts* of a culture. Such signature concepts are central to the universe of discourse in a culture (and its literary texts, cf. Lefevere 1992b:87ff.), as well as to the horizon of expectation shared by its members; signature concepts are intimately involved in the discourses of a culture as well as its practices. Thus, the signature concepts of a culture present obvious imperatives for the translator, particularly if the translator is intent on conveying cultural difference in translation or, in the case of a colonized culture, communicating an indigenous perspective on a cultural complex, rather than simply the views of the colonizing culture or other global standards. The signature concepts of a culture are related to whole sets of cultural assumptions; they reflect economic and social structures, as well as material features of the culture, in addition to being repositories of value, meaning, and significance related to the ways the culture is thought about and organized. Language is partially productive of these concepts, and words denoting signature concepts are, accordingly, dense with cultural associations and connotations. Obviously signature concepts of a culture also figure in and even drive many of the metaphors a culture lives by, thus entering into the linguistic matrix of a culture in other fundamental ways. At the same time, however, a literal translation of many signature concepts of a source culture will often be either meaningless or even ridiculous to a receiving culture because of fundamental conflicts with how *culture* itself is defined in the target system.

---- Maria Tymoczko, *Translation in a Postcolonial Context: Early Irish Literature in English Translation*⁴⁷

(3)

In the case of the Irish nationalist constructions of a national culture through translation, the examples at hand reveal some wonderful ironies. In the process of constituting and representing the culture of Ireland's past, they were also establishing images that created an ideal representation of the culture of their present and their future. Representation of an "other" often has such a dual motion, particularly when the "other" is the self. Moreover, in these versions of Ireland's past culture, what seems to be nationalist, isn't national, and what is national isn't

necessarily nationalist. Kinsella's representations of the signature concepts of Irish culture traced here are obviously "more accurate" by any standard of determinacy one chooses than those of either O'Grady or Gregory. Yet his representation of Irish culture, however accurate it might be, also challenges the tenets, values, and goals of Irish cultural nationalism in many respects. Kinsella's representations of the concepts *ríastrad* and *táin*, for example, might be seen as dangerously close to nineteenth-century stereotypes of the Irish -- as might Kinsella's representations of the humour, absurdity, inconsistency, sexuality, and scatology of the texts, discussed elsewhere in this volume. The representations of O'Grady and Gregory, however muted and inaccurate they might be, are more in conformity with the nationalist discourse about the nature of Irish culture. In the case of Ireland, as in the case of many other nations, what is nationalist is not necessarily accurate: what makes for the "legitimacy of the claims of a nation" is not necessarily an "authentic" rendition of national culture (cf. Lloyd 1993:111 ff.). Kinsella might with some justice be analyzed as anti-nationalist in terms of the most doctrinaire definitions of Irish nationalism, for his representations work against the prudish, straitlaced, dour, sanctimonious, self-satisfied nationalist ethos in Ireland that emerged from, among other things, post-Famine attitudes toward sexuality and pietism, the traumas and tragedies associated with the 1916 Rising, the Black and Tans, and the Civil War, as well as decades of life under the strictures of the de Valera constitution and post-independence isolationism. In Kinsella's case, what is national is not nationalist, as the term might be conceived in the narrowest of Irish ideological circles. These are paradoxes faced by other writers and translators in post-colonial nations attempting to reclaim a culture of their own.

---- Maria Tymoczko, *Translation in a Postcolonial Context: Early Irish Literature in English Translation*⁴⁸

(4)

It follows from these various considerations that in a postcolonial environment, fluency is not necessarily valorized in translation and is not necessarily the dominant norm of translation. Indeed we have seen that the literalism of the scholarly Irish translations was important as a way of signalling the existence of "authentic" source texts. Non-standard literal representation also became a way to refer to the Irish language, and marginalized dialects of English became a means of valorizing hibernicisms and Irish ways of speaking English, even as they implicitly contested the derogatory image of the stage Irishman. All these ostensive strategies and more in the hands of Irish nationalists have been used to foreground native culture and disengage Irish culture from colonial dominance. Still later ostensive strategies were used to move Ireland from a narrow-gauge nationalism toward decolonization. Conversely, when fluency is found in postcolonial translation, it is not always a sign of cultural oppression, repression, and exploitation. As these essays suggest and Mukherjee confirms in his studies of translation in India, fluency may be a translation tactic within a larger movement of cultural resistance.

[...]

Within such an altered theoretical paradigm, translation is not just a matter of referential communication -- the communication of business, government, science, or even literature -- in which the substitution of the words of one language for those of another is a matter of convenience. Translation is central to the interface of cultures in the world, part of ideological negotiations and cultural struggles, a form of intellectual construction and creation, a metonym in the exercise of cultural strength: it is a matter of power.

---- Maria Tymoczko, *Translation in a Postcolonial Context: Early Irish Literature in English Translation*⁴⁹

(5)

What are the next steps in the development of corpus translation studies? As we have seen, there are many leading edges in this field, just as there are in the field of Translation Studies as a whole. Nonetheless, looking at the most exciting new work in Translation Studies, one notes certain common themes and common commitments. Thus, for example, there is an growing commitment to integrate linguistic approaches and cultural-studies approaches to

translation, to explore their reciprocal relationship, thus turning away from the invidious competition and isolation that plagued these two branches of the discipline for some time (cf. Baker 1996). Second, the leading work in Translation Studies shows an ever more sophisticated awareness of the role of ideology as it affects text, context, and translation, and as it affects the theory, practice, and pedagogy of translation as well. And, finally, as in other disciplines, the pioneering work in *COMPUTERIZED CORPORA AND THE FUTURE OF TRANSLATION STUDIES*. Translation Studies involves adapting modern technologies to the discipline's needs and purposes. The essays at hand illustrate that corpus translation studies is dead center on all of these developments, once again suggesting the leading role it will play in the discipline of Translation Studies in the coming decades.

In building for the future, CTS must take care not to diminish itself, falling into the fetishistic search for quantification that plagues many "scientific studies" and makes them ridiculous, empty exercises. Researchers using CTS tools and methods must avoid the temptation to remain safe, exploiting corpora and powerful electronic capabilities merely to prove the obvious or give confirming quantification where none is really needed, in short, to engage in the type of exercise that after much expense of time and money ascertains what common sense knew anyway. As the dour Vermonter might put it, "Do bears sleep in the woods?" Researchers must take care to ask "the right questions": to pose questions and construct research programs that have as their goal substantive investigations that are worthy of the powerful means deployed by CTS.

In building for the future, CTS must also recognize the imperatives and honour the claims of historicism. Within Translation Studies there have now been many case studies related to historical poetics, for example, amassing considerable data on the wide variation of the role of translation in culture and the range of the norms of translation practice. The gains of such work must be incorporated into the design and construction of corpora. Researchers must of course avoid the obvious trap already discussed of being locked into the translation norms of the present, and of presupposing such norms in the construction of corpora. But beyond that obvious weakness, ontological and epistemological commitments in the design of corpora must include dedication to the past and to other cultures as well.

The development of corpora and CTS methods represents a long-term investment for the field of Translation Studies. As we now set the foundation of a legacy that will come to fruition in the future, it is important to begin to envision the widest possible range of corpora that can be established, the uses to which corpora can be put, of questions that can be asked solely of corpora, and of methods that can be utilized with corpora for both theoretical and practical results. From envisioning these things we must proceed to encourage their development and realization.

Finally, CTS is once again an opportunity to reengage the theoretical and pragmatic branches of Translation Studies, branches which over and over again tend to disassociate, developing slippage and even gulfs. One of the most encouraging aspects of the pioneering studies of CTS is the way that seemingly technical and theoretical interrogations come to have practical potential and immediate applicability, not only for the teaching of translation but for the work of the practising translator as well.

---- Maria Tymoczko, *Computerized Corpora and the Future of Translation Studies*⁵⁰

86. (美) 保罗·德曼 Paul de Man

生平及重要译论:

保罗·德曼 Paul de Man, 1919.12.6-1983.12.21, 美国著名文学评论理论家, 解构主义耶鲁学派 (Yale

School) 重要成员。出生于比利时安特卫普 (Antwerp), 获哈佛大学博士学位, 任教于康奈尔大学 (Cornell University, 1960-66)、约翰斯·霍普金斯大学 (Johns Hopkins University, 1967-70)、苏黎世大学 (University of Zurich) 和耶鲁大学 (Yale, 1970-83), 与德里达 (Jacques Derrida) 相交颇深。

德曼的一系列学术论文奠定了其所创新的评论理论体系。主要作品有《对理论的抵抗》(*Resistance to Theory*, 1983)、《寓言的阅读——卢梭、尼采、里尔克、普鲁斯特的比喻语言》(*Allegories of Reading: Figural Language in Rousseau, Nietzsche, Rilke, and Proust*. New Haven: Yale University Press, 1979) 等。

他特别对阅读过程有着深入的研究。他从文学的纯语言角度来考察语言问题, 他说:

The advent of theory . . . occurs with the introduction of linguistic terminology in the metalanguage about literature.⁵¹

他认为阅读的关键并不在于选择解释的方法, 因为这些理解方式只能使读者陷入困境。他认为阅读修辞性作品需要注意修辞之间的不一致, 需要注意文本中的形象与语法及文本的陈述与过程之间的密切关系。依德曼的说法, 即需要注意 a non-convergence of 'meaning' with the devices that produce 'meaning'。⁵²

德曼 1983 年因患癌症在康涅狄格州的纽黑文 (New Haven, Connecticut) 去世。

译论史稿辑要:

(1)

The reading is not “our” reading, since it uses only the linguistic elements provided by the text itself; the distinction between the author and the reader is one of the false distinctions that the reading makes evident. The **deconstruction** is not something we have added to the text but it constituted it in the first place. A literary text simultaneously asserts and denies the authority of its own rhetorical mode, and by reading the text as we did we were only trying to come closer to being as rigorous a reader as the author had to be in order to write the sentence in the first place.

---- Paul de Man's “*Semiology and Rhetoric*”⁵³

(2)

All these activities -- critical philosophy, literary theory, history -- resemble each other in the fact that they do not resemble that from which they derive. But they are all intralinguistic: they relate to what in the original belongs to language, and not to meaning as an extralinguistic correlate susceptible of paraphrase and imitation. They disarticulate, they undo the original, they reveal that the original was already disarticulated. They reveal that their failure, which seems to be due to the fact that they are secondary in relation to the original, reveals an essential failure, an essential disarticulation which was already there in the original. They kill the original, by discovering that the original was already dead. (Man, 1986: 84)

[...]

To mean 'bread', when I need to name bread, I have the word *Brot*, so that the way in which I mean is by using the word *Brot*. The translation will reveal a fundamental discrepancy between the intent to name *Brot* and the word *Brot* itself in its materiality, as a device of meaning. If you hear *Brot* in this context of Hölderlin, who is so often mentioned in this text, I hear *Brot und Wein* necessarily, which is the great Hölderlin text that is very much present in this -- which in French becomes *Pain et vin*. 'Pain et vin' is what you get for free in a restaurant, in a cheap restaurant where it is still still included, so *pain et vin* has very different connotations from *Brot und Wein*. It brings to mind the *pain français*, *baguette*, *ficellell*, *bâtard*, all those things -- I now hear in *Brot* 'bastard'. This upsets the stability of the quotidian.

---- Paul de Man, "Conclusions": Walter Benjamin's 'The Task of the Translator'.⁵⁴

87. (美) 凯瑟琳·戴维斯

Kathleen Davis

生平及重要译论:

凯瑟琳·戴维斯 Kathleen Davis, 就读于维兰诺威大学 (Villanova University) 获英语学士和硕士学位, 后获新不伦瑞克的拉特格斯大学 (Rutgers University, New Brunswick) 英语及中世纪研究博士学位。现任教于美国普林斯顿大学 (Princeton University, Princeton, NJ) 英语系。戴维斯著述范围较广, 涉及中古英语文献的翻译策略、中世纪与后殖民性的关系及翻译理论等。

戴维斯关于翻译理论的最为重要的著作是其专著《解构主义与翻译》(*Deconstruction and Translation*, 2001), 该书为皮姆编辑的《翻译理论解说》系列丛书 (*Translation Theories Explained*) 的一部分。该书根据德里达的理论研究, 对解构主义与翻译的关系及翻译中的理论与实践问题进行了深入的探讨, 比较系统地论述了解构主义的翻译观。戴维斯的论述是从两个方面进行的: 即从解构主义的视角重新审视翻译的不可译性问题和翻译理论的意义。戴维斯认为, 如果没有本源和超验的意义并因此没有稳定的源语文本, 翻译就不可能仍然被视为意义的传递或是对原文被动的再现, 而应考察译者在翻译中做出的决定和承担的责任。在这种对翻译的重新审视中, 戴维斯修正了对限制、单一性、普遍性、文本的定义、写作、可重复性、意义和意图等语言学概念的理解。戴维斯还通过对于“关联与责任” (relevance and obligation) 的考察探讨了翻译与伦理学的相关关系, 其分析颇具独到性。

译论史稿辑要:

(1)

Derrida's most famous (or infamous) phrase is perhaps *il n'y a pas de hors-texte*, which is usually translated as "there is nothing outside the text" or "there is no outside-text" (1967a/1974:158). He has since further explained it as "there is nothing outside context" (1988: 136). The relation of text and context will be discussed at length in chapter two, but for now we can say that at its simplest, this statement makes the point that meaning -- not only the meaning of what we speak, read and write, but any meaning at all -- is a contextual event; meaning cannot be extracted from, and cannot exist before or outside of a specific context. The format of Derrida's own texts acknowledges this necessity. Just as deconstruction does not theorize by claiming to stand aside from phenomena it has defined, so Derrida's writings do not pretend to stand outside of and pronounce upon language, literature, or philosophy. Rather, they proceed by minutely analyzing the structure, implications, and limits of complex writings by well-known thinkers such as Plato, de Saussure, Freud, Rousseau, Hegel, Nietzsche and Heidegger. This dense contextualization is one reason why Derrida is so notoriously difficult to read. The following three chapters on 'Translatability and Untranslatability' aim for maximum readability, but they will not attempt to explain deconstruction by extracting the main points of Derrida's work and delivering them as generalities. Instead, they will -- to a degree, at least -- guide the reader through some of the texts most pertinent to translation. I have chosen one essay, Derrida's 'Des Tours de Babel' (1985), as the main text, or context, for this process.

'Des Tours de Babel' was written for a conference on translation held in Binghamton, New York, in 1980. It was published, with an English translation by Joseph F. Graham, in *Difference in Translation*, an edited collection of papers from the conference. I have chosen this essay as the primary text for these chapters for several reasons. First, its sustained discussion of translation raises nearly all the issues that I wish to touch upon here, and so by following

its various threads I can weave my own discussion. Second, the two texts that Derrida's essay takes as its context -- the biblical story of Babel and Walter Benjamin's 'The Task of the Translator' (1955/1969) -- are likely to be familiar to readers involved in translation studies. Third, this essay has, unfortunately, already been misunderstood in the field of translation studies, and therefore calls for further discussion. The reader should not suppose, however, that 'Des Tours de Babel' is in any way a privileged text, or that it provides the key to Derrida's thinking about translation. All of Derrida's texts concern translation in various ways, and I have chosen this essay for specific reasons related to the context of this book, one in a series on translation theories.

---- Kathleen Davis, *Deconstruction and Translation*⁵⁵

(2)

The proper name delineates precisely what it is about language that, on the one hand, makes perfect translation impossible, and on the other hand, makes translation not only possible but necessary. In order to make proper reference to a person, place, or thing without confusion, a proper name would need to stand outside and above language, clear of the muddle of common nouns. Derrida sometimes plays on the French sense of *propre* as 'clean' in this context -- we could approximate in English by saying that the proper name attempts a 'clean-cut' reference. Of course such reference, cut clean away from language, cannot happen: Pierre cannot be disassociated from 'rock', nor Babel from 'confusion'. Meaning, then, cannot precede *différance*, and the proper name possesses value only when inscribed within a language's system of differences. But, as a proper name enters a language, its set of relations in that language becomes unique. When God imposes his/its name, Babel, upon the city, 'Babel' becomes confused with *balal*, 'confusion', only in the language of Genesis -- a conjunction that can never be perfectly translatable. This relation of a proper name to language not only illustrates the impossibility of reference outside or before the differential structure of language, but also stands as a paradigm of untranslatable linguistic uniqueness. Derrida therefore remarks that in imposing his name, God "at the same time imposes and forbids translation" (1985: 170). The *différance* that forbids translation, however, is also the opening that makes translation possible at all.

I will address the issue of translatability in several stages below, but I first want to return to the important relation between Derrida's approach to translation and his questioning of traditional philosophical assumptions and concepts. Derrida has often been misunderstood as claiming absolute untranslatability, which, as I will demonstrate, is far from the case. However, even though he insists that translation is not an all-or-nothing proposition, and even though a major part of his work entails the demonstration that oppositions such as translatable/untranslatable cannot withstand scrutiny, Derrida continues to work with the terms *translatability* and *untranslatability* in their traditional sense. As I have noted elsewhere (Davis 1997: 35), Derrida observes that the language we speak is already structured by the conceptual field of oppositions manifested in Western metaphysics. Because meaning is not prior to language but is an effect of language, 'Derrida' cannot -- as though he were some transcendent proper name -- theorize *upon* oppositions from a position *outside* their system of operation (as the story of Babel shows, even the God of Genesis is tangled in language!). Rather, he "uses the strengths of the field to turn its own stratagems against it, producing a force of dislocation that spreads itself throughout the entire system, fissuring it in every direction and thoroughly *delimiting* it" (Derrida 1967b/1978: 20; see also translator's note). So, Derrida -- positioned in language and context as we all must be -- proceeds by demonstrating the productive, non-dichotomous interrelation of 'oppositions' in language through close readings of exemplary texts.

With that in mind, it would be useful to consider the 'classical' sense of translation that Derrida discusses, as he has described it:

What does philosophy say? Let's imagine that it's possible to ask such a question: What does philosophy say? What does the philosopher say when he is being a philosopher? He says: What matters is truth or meaning, and since meaning is before or beyond

language, it follows that it is translatable. Meaning has the commanding role, and consequently one must be able to fix its univocality or, in any case, to master its plurivocality. If this plurivocality can be mastered, then translation, understood as the transport of a semantic content into another signifying form, is possible. There is no philosophy unless translation in this latter sense is possible. Therefore the thesis of philosophy is translatability in this common sense, that is, as the transfer of a meaning or a truth from one language to another without any essential harm being done [...] The origin of philosophy is translation or the thesis of translatability, so that wherever translation in this sense has failed, it is nothing less than philosophy that finds itself defeated. (1982/1985:120)

By the 'classical sense' of translation, then, Derrida refers to the concept of "the transfer of meaning or a truth from one language to another without any essential harm being done" (ibid: 120). This concept of transferability, which has historically dominated discussions of translation theory, also undergirds the metaphysics of presence. There are exceptions, of course, particularly in the translation theories of the Middle Ages (for a discussion of such difference in Old English translation theory, and in that of St. Augustine, see Davis 2000; for the Middle Ages generally and St. Augustine particularly, see Vance 1986; Copeland 1991). Nonetheless, such medieval theory, which accepted the arbitrary nature of 'fallen' human language, also rested upon the notion of an ultimate, divine truth, existent even if not fully knowable. Like the philosophy of Plato, it subscribed to a metaphysics of presence. Unlike these traditional conceptions, deconstruction, like many translation theories today, rejects the idea that meaning is before or beyond language, and can thus be safely, or cleanly ('properly') transferred from one linguistic system to another.

Deconstruction emphasizes that the failure of translation in this traditional sense demonstrates the failure of the philosophical thesis of meaning and the purity of its oppositions. It also demonstrates that this issue is not, and never was, merely a question of philosophy in the narrow, disciplinary sense. A metaphysical system produces the assumptions and hierarchies that structure not only 'philosophy', but also those things we call language, society, politics, economics, culture[...] In discussing the unfortunate implications of the word 'translation', Theo Hermans writes, "If the etymology of the word 'translation' had suggested, say, the image of responding to an existing utterance instead of transference, the whole idea of a transfer postulate would probably never have arisen" (Hermans 1999: 52). Undoubtedly so. But the development of that different etymological suggestion could only have taken place in a system very different from the metaphysics of presence that is our legacy. The institutionalized position of deconstruction in the historically constructed, institutionalized discipline 'philosophy' does not limit it to that discipline. Indeed, deconstruction is always undermining just such constructed borders.

Derrida does not turn from observing the failure of the theory of meaning transfer to providing a new set of recommendations on how to translate. Rather, he asks: just how *do* we produce meaning, and what is it about this process that *at the same time* imposes the limit and the possibility of translation? I will approach this question in the next two chapters.

--- Kathleen Davis, *Deconstruction and Translation*⁵⁶

(3)

At this point we can go back to Derrida's title and ask once again: 'What is a 'relevant' translation?'. A 'relevant' translation, in Derrida's sense, would perform translation in the way that 'mercy seasons justice', lifting it beyond human calculation, beyond already established possibilities. Such a relevant translation would not set out simply to flaunt existing conventions, such as linguistic norms, established translation strategies, and rhetorical patterns. These conventions form the general system through which texts make meaning, and they constitute the history of the languages and cultures in question; any valid reading must begin with painstaking attention to this system and this history. Thus Derrida calls such laws, rules, and conventions the 'guardrails of responsibility'. A translation that *only* proceeded on the basis of history, convention, and even the fine subtleties of linguistic usage would, however, be

programmatic. In its best sense such translation may be the goal of the software industry, but it can never achieve relevance or responsibility as I have been using those terms here. A relevant translation would respond to that which is irreducibly singular in the translation event: to that which exceeds the limit of calculation and thus requires decision.

Obviously, deconstruction cannot offer a method for achieving such relevant translation, since following a prescribed method or code would foreclose the very possibility of relevance. This relevance is not as mysterious as it may seem, however. Once again we can look to the example of James Hoimes's discussion of his translation of Nijhoff's 'De grot' (see chapter 4, above). After stating that translation cannot proceed by calculation, and after recognizing his reliance upon his own grasp of the two languages and cultures involved, Holmes explains that he decided to alter Nijhoff's metrical scheme and to "produce a poem that might be effective in a quite different manner" (Holmes 1988: 57). We can glean from his language that Holmes's sense of applying his 'grasp' of the two languages and cultures does not merely superimpose received assumptions upon the translation. He is everywhere unsure, always experimenting: the poem *might* be effective; Nijhoff, writing during the war, would have been 'taken aback' by the translation's post-war free-verse techniques; *perhaps* another translator could better render the poem and its formal structure. Holmes' uncertainty indicates the degree to which he takes chances, goes beyond the safe space of the predictable. His uncertainty is inevitable, since his decisions are not based upon anything he views as logical certainties or to which he can appeal for validation. These decisions have not proceeded through an already established route, but have passed through the non-passage of an aporia. They therefore must remain uncertain, and Holmes, unlike Portia, does not attempt to reappropriate the passage of translation -- the im/possible traversal of aporia -- as anyone's 'right'. Indeed, his own adherence to the concept of a pure original leads him to judge translation as inadequate to its source. Nonetheless, by 'lifting' translation beyond the calculus of solving for a restricted economy, Holmes produces a relevant translation. The inadequacy he senses springs from the absence of any undivided original, and from the impossibility of responding to all of its competing requests and his obligations to it.

The nature of obligation is perhaps the most important and the most im/possible aspect of relevance and responsibility in translation. This obligation does not exist simply before or outside the translator and the translating situation -- in the sense that a translator might identify, for instance, the unfair treatment of a culture or the neglect of a great work, and then feel obliged to rectify the situation. These things are important, certainly, but the obligation most pertinent to relevant translation is the tie between the translator-subject and the 'wholly other', both of which emerge with the initiating gesture of translation. When a translator, or translating culture, reaches to translate a 'foreign' text, both the translator and the foreign become co-defined; they do not, as such, pre-exist this gesture. Each initiating gesture, specific of course to its historical moment, designates identities (i.e., the text, the translator, language, culture, etc.) that emerge through exclusions. That which is excluded in order for these identities to emerge is the 'wholly other'. The irreducibly foreign, then, does not lie waiting in the source text, but *becomes* with the conception of the translation. Only relevant translation in the deconstructive sense that I have discussed above can respond -- be responsible to -- this 'other', which by definition lies outside the translator's system of logic. The more translation reaches toward its obligation to the 'other', the more it resists totalizing forces that aspire to the annihilation of difference. It is in this sense that deconstruction and translation share the same stakes.

---- Kathleen Davis, *Deconstruction and Translation*⁵⁷

Douglas Robinson

生平及重要译论：

道格拉斯·鲁宾逊 Douglas Robinson，1954-，译学理论家，美国密西西比大学（University of Mississippi, USA）英语教授。就读于芬兰基瓦斯基拉（Jyväskylä）大学并获学士（1975）、硕士（1977）和博士（1980）学位，同时还在美国华盛顿大学申请到英语硕士和博士学位。

鲁宾逊著述颇丰，著有译学专著九部及关于翻译、语言学、文学、文化、教学法等内容论文 60 余篇（1985-2003）。主要译学著作有《轮到了译者》（*The Translator's Turn*, 1991）、《翻译与禁忌》（*Translation and Taboo*, 1996）、《西方翻译理论：从希罗多德到尼采》（*Western Translation Theory from Herodotus to Nietzsche*, 1997）、《翻译与帝国：后殖民理论诠释》（*Translation and Empire: Postcolonial Theories Explained*, 1997）、《何谓翻译——离经叛道的理论·品头论足的调停》（*What is Translation: Centrifugal Theories, Critical Interventions*, 1997）、《谁在翻译——超越理性的译者主观性》（*Who Translates: Translator Subjectivities Beyond Reason*, 2001）、《司事语言学——说话与翻译即用词语司事》（*Performative Linguistics: Speaking and Translating as Doing Things with Words*, 2003）等。

鲁宾逊独树一帜地提出翻译要以译者为中心，即翻译要从译者的感受出发：

在原作者与目标文本读者的对话链上，译者发挥着举足轻重的中心作用。而在与原作者和目标读者之间的双向对话中，译者作为中心，其注意力应从作者向目标读者倾斜，他应从各个方面去影响目标读者。

他还说到：

文本对等往往是文本诠释上的一种虚幻目标（interpretive fiction），一般也只适用于没有太大趣味的文本类型，如科技和学术文本。对于大多数更具挑战性的源文本，则须译者更富创造性的理解。因此企图用标准化的规则来规范译者的选词是极为有害的，因为这阻碍了译者对源文本直觉体验的最佳发挥。译者永远不是、也不应该被迫成为中立的不带个人色彩的转换机器；在目标文本的构建过程中，译者的个人经历，包括情感的、动机样的、态度的、社会关系上的经历，不仅是许可的，而且是不可避免的。

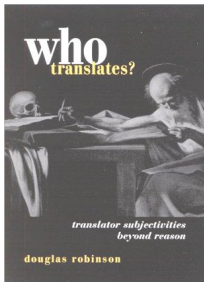
58

鲁宾逊还认为，翻译理论的构建应该是一个开放的过程，应当不断寻求用创新的视角来审视翻译和理解翻译。他说：

在现实世界里，语言是那么丰富，那么飘浮不定，那么具有人性，让它静止不动，等待桥梁建成完工是不可能的，甚至几个世纪的时间都是不够的。⁵⁹

鲁宾逊还曾应蒙娜·贝克尔（Mona Baker）之邀为《翻译研究百科全书》（*Routledge Encyclopedia of Translation Studies*）一书编写过包括 Free translation, Hermeneutic motion, Imitation, Intertemporal translation, Literal approaches, Metaphrase, Normative model, Paraphrase, Pseudotranslation 及 Babel, tower of 等很多条目，其内容颇具深度和开拓性。（参阅下面的“译论史稿辑要”2）

史料图片选辑



Douglas Robinson:

Who Translates: Translator

Subjectivities Beyond Reason

译论史稿辑要

(1)

Internal and external knowledge

Translation is different things for different groups of people. For people who are not translators, it is primarily a text; for people who are, it is primarily an activity. Or, as Anthony Pym (1993: 131, 149-50) puts it, translation is a text from the perspective of "external knowledge," but an activity (aiming at the production of a text) from the perspective of "internal knowledge."

From the translator's internal perspective, the activity is most important: the process of becoming a translator, receiving and handling requests to do specific translations, doing research, networking, translating words, phrases, and registers, editing the translation, delivering the finished text to the employer or client, billing the client for work completed, getting paid. The text is an important part of that process, of course -- even, perhaps, the most important part -- but it is never the whole thing.

From the non-translator's external perspective, the text as product or commodity is most important. And while this book is primarily concerned with (and certainly written from and for) the translator's internal knowledge, and thus with the activity of translating -- it is, after all, a textbook for student translators -- it will be useful to project an external perspective briefly here in Chapter 1, if only to distinguish it clearly from the more translator-oriented approach of the rest of the book. A great deal of thinking and teaching about translation in the past has been controlled by what is essentially external knowledge, text-oriented approaches that one might have thought of greater interest to non-translators than translators -- so much, in fact, that these external perspectives have in many ways come to dominate the field.

Ironically enough, traditional approaches to translation bases on non-translating user's need for a certain kind of text have only tended to focus on one of the user's needs: reliability (often called "equivalence" or "fidelity"). A fully user-oriented approach to translation would recognize that *timeliness* and *cost* are equally important factors. Let us consider these three aspects of translation as perceived from the outside -- translation users' desire to have a text translated *reliably*, *rapidly*, and *cheaply* -- in turn.

[...]

Textual reliability

A text's reliability consists in the trust a user can place in it, or encourage others to place in it, as a representation or reproduction of the original. To put that differently, a text's reliability consists in the user's willingness to base future actions on an assumed relation between the original and the translation.

For example, if the translation is of a tender, the user is most likely the company to which the tender has been made. "Reliability" in this case would mean that the translation accurately represents the exact nature of the tender; what the

company needs from the translation is a reliable basis for action, i.e., a rendition that meticulously details every aspect of the tender that is relevant to deciding whether to accept it. If the translation is done in-house, or if the client gives an agency or freelancer specific instructions, the translator may be in a position to summarize certain paragraphs of lesser importance, while doing painstakingly close readings of certain other paragraphs of key importance.

Or again, if the translation is of a literary classic, the user may be a teacher or student in a class that is reading and discussing the text. If the class is taught in a mother-tongue or comparative literature department, "reliability" may mean that the users agree to act as if the translation really were the original text. For this purpose a translation that reads as if it had originally been written in the target language will probably suffice. If the class is an upper-division or graduate course taught in a modern-language or classics department, "reliability" may mean that the translation follows the exact syntactic contours of the original, and thus helps students to read a difficult text in a foreign language. For this purpose, various "cribs" or "interlinears" are best -- like those New Testament translations published for the benefit of seminary students of Greek who want to follow the original Greek text word for word, with the translation of each word printed directly under the word it renders.

Or if the translation is of advertising copy, the user may be the marketing department in the mother company or a local dealer, both of whom will presumably expect the translation "reliably" to sell products or services without making impossible or implausible or illegal claims; or it may be prospective customers, who may expect the translation to represent the product or service advertised reliably, in the sense that, if they should purchase one, they would not feel that the translation had misrepresented the actual service or product obtained.

As we saw above, this discussion of a text's reliability is venturing into the territory traditionally called "accuracy" or "equivalence" or "fidelity." These terms are in fact shorthand for a wide variety of reliabilities that govern the user's external perspectives on translation. There are many different types of textual reliability; there is no single formula for abstract semantic (let alone syntactic) "equivalence" that can be applied easily and unproblematically in every case. All that matters to the non-translating user is that the translation be reliable in more or less the way s/he expects (sometimes unconsciously): accurate or effective or some combination of the two; painfully literal or easily readable in the target language or somewhere in the middle; reliable for her or his specific purposes.

A text that meets those demands will be called a "good" or "successful" translation, period, even if another user, with different expectations, might consider it bad or unsuccessful; a text considered a failure by some users, because it doesn't meet their reliability needs, might well be hailed as brilliant, innovative, sensitive, or highly accurate by others.

It is perhaps unfortunate, but probably inevitable, that the norms and standards appropriate for one group of users or use situations should be generalized to apply to all. Because some users demand literal translations, for example, the idea spreads that a translation that is not literal is no translation at all; and because some users demand semantic (sense-for-sense) equivalence, the idea spreads that a translation that charts its own semantic path is no translation at all.

Thus a free retelling of a children's classic may be classified as an "adaptation" rather than a translation; and an advertising translation that deviates strikingly from the original in order to have the desired impact on target readers or viewers (i.e., selling products or services) may be thought of as a "new text" rather than as an advertising translation.

Each translation user, limited to the perspective of her or his own situational needs, may quite casually fall into the belief that those needs aren't situational at all, indeed aren't her or his needs at all, but simply the nature of translation itself. *All* translation is thus-and-such-because *this* translation needs to be, and how different can different translations be? The fact that they can be very different indeed is often lost on users who believe their own expectations to be the same as everyone else's.

This mistaken belief is almost certainly the source of the quite widespread notion that "fidelity," in the sense of an exact one-to-one correspondence between original and translation, is the only goal of translation. The notion arises when translation is thought of exclusively as product or commodity (rather than as an activity or process), and when the reliability of that product is thought of narrowly in terms of exact correspondence between texts (rather than as a whole spectrum of possible exchanges).

--- Douglas Robinson, *Becoming a Translator: An Accelerated Course*, Routledge⁶⁰

(2)

Exit the LORD, or that group of gods that the Old Testament calls the *Elohim* ('let us go down' -- not a royal or a divine 'we', but a group), exit also the people dwelling in the land of Shinar -- and enter the translator, the only person capable of remedying, even slightly, the scattering of tongues at Babel. Hence the title of FIT's journal, *Babel*; hence the title of George Steiner's book on translation, *After Babel* (1975); hence the title of Jacques Derrida's deconstruction of Walter Benjamin, 'Des Tours de Babel' (1980) -- and the list goes on and on.

But the story raises more questions than it answers, which is undoubtedly one of its attractions. What are we to do with the myth of one language? Some writers, notably the German Romantics from Herder and the Schlegel brothers through Humboldt and Goethe and various post-Romantics from Benjamin to Heidegger and George Steiner, have wanted to believe in a primordial language that was lost in the scattering of tongues at Babel, and that might be regained through perfect (or even, for Benjamin, imperfect) mystical translation. The translator thus, in this vision, becomes the World Saviour, restorer of the original linguistic unity that the gods smashed on the plains of Shinar.

A related myth, developed 'scientifically' in the mid-nineteenth century by August Schleicher (1821-68) under the inspiration of the German Romantics, is that of an original Indo-European people, who spoke a single pure primordial language or *Ursprache* called Proto-Indo-European. As Schleicher and all of his philological followers since recognize, there is no evidence that such a language ever existed, and the idea is rather far-fetched: that all of the modern languages from Europe to India developed from a single language; that things were once simple, pure, unified, but now are complex, mixed, diverse. Still, having admitted that the whole notion of an Indo-European people and language is pure speculation, most historical linguists continue to find it fruitful to speculate on where these hypothetical people lived, what kind of economy they had, what gods they believed in, and so on. Etymologists still trace words back to hypothesized Indo-European roots. And, of course, in the 1930s the Nazis speculated that the Indo-Europeans or Aryans were blond Scandinavians, tall, fair, long-headed creatures who were the pure and original race of Europe, later contaminated by dark blood from elsewhere. The problem is that the myth of a pure original *Ursprache*, whether set on the plains of Shinar or somewhere in Europe or the Indian subcontinent, is inherently nostalgic and eschatological -- implicitly biased toward a conception of language as having degenerated from a primeval purity and thus in need of restoration to that purity. The parallels among the Indian and European languages are objective facts, which might be explained any number of ways; the hypothesis of an original Indo-European language that was scattered across two continents is an explanatory myth, and only one such myth, and one with disturbing implications.

The story of the tower of Babel is also far from a divine mandate for translators. The gods do not say, 'Let us confuse their language, that there may be translation.' They say 'Let us . . . confuse their language, that they may not understand one another's speech', which is quite a different matter -- one that seems almost to ban translation, along with any other means of communicating across linguistic barriers (including, one supposes, foreign language learning) and thus of once again threatening the security of the gods on high. The story conceives linguistic unity, and thus human beings' ability to communicate with each other everywhere in the world, as a potential threat to divine hegemony, and thus something to be smashed. In an ironic twist, this deep-seated biblical ideology also feeds the attack on linguistic diversity launched in the United States by the English Only Movement: the attempt to define

English as the official language of the United States and thus to prevent bilingual education in the schools, the need for interpreters in the courts, and so on. There is a fear among many Anglophone Americans that Hispanics are taking over the country (demographically if in no other way), and that they are plotting that takeover in *Spanish*, a language which the Anglophone powers that be cannot understand. Hence the drive to 'scatter' or 'confuse' their Spanish citizens by forcing them to learn English.

But the irony in this is only superficial, for ultimately the tower of Babel myth is itself an attack on linguistic diversity. In it linguistic unity is explicitly portrayed as the danger, but only from the gods' point of view, and the story tacitly encourages readers to identify with the people dwelling in the land of Shinar, the builders at Babel whose unitary language was scattered and confused. Everyone once spoke a single language, is the story's subtext, and everyone should speak a single language again -- say, Esperanto, or English, or whatever the next lingua franca may be. Compared with this nostalgic longing, all translation efforts will seem pathetically inadequate: *traduttore traditore*, the translator is a traducer, because s/he fails to restore us to a pristine state before translation was necessary.⁶¹

89. (美) 欧阳桢

Eugene Chen Eoyang



Eugene Chen Eoyang

生平及重要译论：

欧阳桢 Eugene Chen Eoyang，美国印第安纳大学（Indiana University）文化教授和香港岭南大学（Lingnan University）英语教授及比较文学与东亚语言教授，曾任美国比较文学学会会长（1996-97），哈佛学院毕业获文学士学位，哥伦比亚大学（Columbia University）获英语文学硕士学位，印第安纳大学获比较文学博士学位，因此他自喻为“中西文化的桥梁”（a bridge between Chinese and Western cultures）。

欧阳桢著述颇丰，主要包括专著《透明的眼睛——关于翻译、中国文学和比较诗学的思考》（*The Transparent Eye: Reflections on Translation, Chinese Literature, and Comparative Poetics*, Hawaii, 1993）、《多彩的外衣——关于一个少数民族多样性的思考》（*Reflections on Diversity by a Minority of One*, Beacon, 1995）、（与 Lin Yaofu 合编）《中国文学翻译》（*Translating Chinese Literature*, Indiana, 1995）及众多译作等。

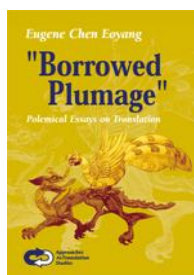
欧阳桢以《圣经》翻译为例，旨在说明翻译一直受到轻视的根本原因是人们对原作和模仿的偏见。其实，原作不一定如想象的那样纯正，同一性是不存在的。翻译必须正视两种真实性，即忠于原作和忠于读

者。但翻译往往在两个方面受到责难，即与原著相比翻译永远是第二位的，而由于语言的变化译作又会不断地被更新。同时欧阳桢坚持认为，语言在交际中不可能绝对对等。翻译的行为是在另一种文化背景中保留原著，尽管这种保留并不完美，却能使原著在新的语境中存活。在此，欧阳桢充分注意到译作的潜力。

欧阳桢不赞成“只有诗人才能译诗”的观点，也不赞成把原作看作是个固定不变的整体。原作将随读者和时代而变化，因此所谓完美的翻译是不存在的。⁶²

欧阳桢还试图从本体论、认识论和现象学构建翻译的理论框架。他认为，正确的理解只能在原语文化中出现，译者的工作仅仅是把原文代码转换为译文代码，因此翻译是个单向的过程。欧阳桢关于翻译的理解可用其一句名言来代表：“翻译本是‘神来之笔’”。

史料图片选辑：



CHEN EOYANG, Eugene:

"Borrowed Plumage":

Polemical Essays on Translation

译论史稿辑要：

在众多最历久不衰的翻译理论神话中，其中一个可以形容为「翻译是神的启示」。这见解是从信仰多于论性的推断而来的。该理论在圣经翻译中最广为人接受，但对后世的理论家也有其影响。按照这个理论，文就是一部「圣典」。它的文字就如神的话语一样，是神圣的、不可篡改的。对原来意思自由发挥，即被视为对原文的大大不敬，把本来应是显示真理的特许语篇降格为淫辞乱语。一六一一年出版、基督教的圣经钦定英译本（Authorized Version，以下简称钦定本）的前言中就反映了这种态度。它说：该版本「显示了一种对原文的尊敬；结果是译者变成了一个传声筒，而英语也只是表达神的发言的媒介而已」（Amos 1920: 61）。

这个「理论」的问题是，我们缺乏一个客观的标准去衡量谁人有没有领受过神的启示。当然，这方面还有社会机构的认可，不至无迹可寻。例如，天主教会的出版许可令人知道哪一个译本受到认可；天主教会的官方许可也表示教会如果不是完全认可有关译本，就是并不反对它的出版。不过，撇开机构内的政治策略不谈，我们还是没有可靠的方法去评估谁比谁接受得更多或更少神的启示。依靠个人宣称自己独得神的眷顾有一个难题。这就是任何人、每个人，只要他们都具有真正深切的信仰与热诚，都会相信自己的宣称是真实的。每位译者都可以这样声言，正如林肯（Abraham Lincoln）在某个适当的场合中的声言一样：「我希望这样说并不多余。如果神要向其他人启示他的意旨，而这个意旨又跟我的任务那么关系密切，你们大可设想，神会就此事而直接启示于我。」不幸的是，虔诚并不是翻译能否准确的保证，信仰也不是翻译能否忠于原文的担保。

上述理论中的神秘主义并不局限於对圣经的诠释。在一些极端的理想主义者和现象学家的言论中，这种神秘主义仍然存在。正如柯利敏锐的观察所得：「在翻译史上一个极大的难题是，海德格（Heidegger）、本雅明和他们的同侪中找到神秘主义、美学、哲学混和在在一起的论说。难题之一，是某些神的特性，包括不可知的特性，已成为语言的一部分。」一个自十九世纪以来就流行的看法，即艺术是座神殿，而艺术家则是神殿

的大祭师，也不外是上述理论的反映。神的奥秘所具有的不可言喻性却成为了讨论的对象。困难之处不在于展现或解释含糊不清的意义，而在于认识这种含糊的意义深远的重要性。有关看法发挥得最好时可以防止虚假的清晰，不容冒牌的解释阻碍货真价实的了解。但若发挥得不好，最差可能导致一些毫无必要而又装模作样的含糊意义出现，使原本清楚明白的也弄得含糊不清。上述哲学家的言论不能验证，只能相信。它是信仰的考验，目的在于迷惑多于启迪。

自浪漫时期以来，另一理论神话是「只有诗人才能译诗」(参 Amos 1973: 165)。这神话一般是在某位公认的诗人的作品之后被人提出的。不过，虽然在某些个别例子中这主张可能毋庸置疑；作为一般性规则来看，我们不难看出这主张是骗人的，甚至毫无用处。我们既可以说它多余，也可以视它为一个错误的推论。这神话误导了很多自封的诗人，使他们以为只有自己这种人才配当真正的传译员，把诗歌译为另一种语言。这主张包含了一个对原文与译文关系的见解。即是说，既然原文是诗，译文也必须是诗。因此，既然原文出自诗人的手笔，译文也必须由诗人亲手操刀。

这个建议或许很富吸引力，其实却谬误连篇。第一，诗人这个身分并不是何时何地都可以验证的。很多蹩脚诗人也能够滥竽充数。(在这方面，诗人与其他比较明确的而又可以验明正身的专业人士如律师或医生就很不同。)即使在诗人中间，自封的也好，公认的也好，对于谁是真正的诗人，今天比以往争议更多。这些诗人要求的自然比一般市民大众较为苛刻。对于市民大众来说，只要有人够胆自称诗人，他们便会赞同。

另一方面，即使是公认的诗人的手笔，也不能无时无刻都写出优美的诗篇。荷马(Homer)或会偶有失手；莎士比亚(Shakespeare)或会矫揉造作；济慈(Keats)或会感情用事。即使是人所公认的诗人的手笔，自己写诗时也不能字字珠玑，指望他们译诗时能够做到诗意盎然就更加困难。如果真的如此，「只有诗人才能译诗」这句话是无意义的，而且很多出自「诗人」手笔但却毫无诗意的译诗也证明了这个说法跟事实不符。

然而，这句话亦在另一方面不对。如果我们细看所有极有诗意的译诗，就不得不承认这些佳译并不全是出自公认的诗人的手笔。引用一个最明显的例子。人们普遍认为，一六一一年出版的基督教圣经钦定本是圣经英译本中最富诗意的版本。但它却是由一组人翻译出来的。其中五十四位成员是指派的。其中又有七人从未参与过任何翻译工作(参 Bates 1943: 113)。他们之中并没有一名是当时的大诗人。

.....

即使翻译对文化发展至为重要，但在东西方同时出现各方面(包括哲学、文学、历史)都忽视翻译的传统，实在令人费解。从单一语言的角度看，这可能是因为翻译只是个小问题。然而，从一个全面的角度看，即使说世界历史可见于世界翻译史上，也并不算夸张。诚然，我们甚至可以说，没有了翻译就没有世界史。想想以下文明的兴起：罗马帝国、意大利、法国、英国、德国、俄罗斯；再考虑一下翻译工作者对这些文化的发展所作的贡献。看看基督教的传播；试想如果没有翻译基督教的历史会变成怎样：世界上的基督徒很可能只剩下一些说希伯来语的人和懂阿拉姆语的古典学家。

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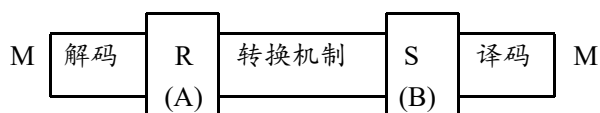
相对于传统上对翻译的忽视，现代人对翻译的兴趣可以追溯至十九世纪德国的理想主义哲学家中。这些哲学家视语言为难以捉摸而且极为复杂的东西。他们也开始意识到一种语言并不是另一种语言讲述同一事物的对等方式。我们或者可以把传统上对翻译的忽视归咎于观点与角度的问题。因为如果原文的主要部分是用一种享有特权的语言写出来，它的翻译就只有靠边站的余地。只有在原文的文字比其校订版本或译文享有更崇高的地位时，翻译才会被视作次要的产品。最后，如果语际转换的过程被视为是既失真而又不合适、既不可靠又妨碍理解的，翻译也就自然地遭到轻视。

诚然，在轻视翻译的背后有一个既自然而又无可避免的假设，就是要正确地理解一个语篇，只能在原文的语言文化中发生。毕竟，一个非本土人怎能比本土人更了解自己的文化呢？日常的经验使我们相信这并没

有可能；传统习惯使这个老套的观念更具有说服力。但无论如何，这个观念是错误的。这错误的观念暗藏另一个神话，一个关于理解的神话。这神话把对事物的熟悉等同于经过分析而得到的知识。这个关于理解的错误观念可以用下面的对比来表示：人人都知道怎样呼吸，但生理学家却知道呼吸的过程。

.....

另一个理论神话从传意理论而来。它把要译的文章看成是固定的实体，而且可以透过一个随意的标记准确地表示出来。有关标记一般是一个方格，格内写上「原文」两字。翻译就是把这个方格的内容转换成另一个实体。这实体也是一个方格，格内写着「译文」两字。这个图解可以逐步改变成更复杂的模式，包括加上标志着「静态」或「杂音」的「场合」。「原文」和「译文」之间又可以加插一些元素，如一般放在「原文」右边的「译码员」和一般放在「译文」左边附近的「解码员」。在翻译的过程中，译者选取一个以语言 A 表达的信息 (M)，为信息进行解码，然后从中找出内藏的所指意义 (R)。这过程再经历一个转换机制的处理，把语言 A 转换成语言 B。首先产生的是一些由语言 B 元素组成的符号 (S)。这些符号可以再透过译码而变成以语言 B 表达的信息 (M)。以上的描述有助于澄清整个困难的过程中的各个步骤，而且视觉上也很吸引。以下便是奈达 (Eugene A. Nida) 设计的图解 (Nida 1964: 146)



.....

这类图解的说明能力是随着信息的复杂程度而改变的。当信息只含一层意义时，这些图解就胜任有余。但当信息中出现多层的话语，而且充满了微妙的意义、各种姿态、风格元素等，那么上述的图解便变得虚假而有误导成分。即使看起来十分合适，例如应用在电脑协助的科技翻译上，这些图解所提供的说明也是虚有其表的。它们弄得清楚的地方，却不足以反映翻译过程的复杂性。机器翻译经常出错，不能只责怪科技的不足，而应怪责我们对传意以及一般为了方便而称为「信息」的话语了解不够。

.....

翻译理论充斥着各种神话，对翻译实践的误解亦为数不少。上述的误解有些因为根深蒂固而成为正统的观念，反过来影响了理论观念的形成。在英译里，最历久不衰的神话就是基督教圣经钦定本神圣不可侵犯的地位。当一九六四年安加版圣经出版时，有人惯常地大叫大嚷，认为冒犯了钦定本的神圣地位。毕竟，钦定本是英国文学史上的一个里程碑。十多年前，标准译本的新订版面世。它同样遇到类似的攻击，说它是不必要地背离了钦定本。人们相信，钦定本是翻译上顶尖的成就，在它面前所有其他的译本都立刻黯然失色。

.....

提出这些有关完美翻译的神话，目的不在于以学究的角度谴责不正统的翻译，而在于显示翻译整体的复杂性。这些神话使人看到，一些长期以来对成功翻译所作的假设，是不能未经验证就全盘接受的。如果要正确地了解翻译，就必须建立一个更复杂的模式。

—— 欧阳桢，《透明的眼睛——关于翻译、中国文学和比较诗学的思考》⁶³

90. (英) 艾弗·阿姆斯特朗·理查兹 Ivor Armstrong Richards



I. A. Richards: 1893-1979

生平及重要译论：

艾弗·阿姆斯特朗·理查兹 Ivor Armstrong Richards (Lichazi)，1893-1979，著名诗人、著名英语文学评论家、应用语言学家、英语教学专家。出生于英国英格兰柴郡（Cheshire）的桑德巴赫（Sandbach），曾就读于英国剑桥大学玛格德琳学院（Magdalene College, Cambridge）研习心理学，并长期在剑桥大学讲授英语文学和心理学。1939 年赴美，1944 年任哈佛大学大学教授（University Professor at Harvard）并定居美国，但每年仍回英国剑桥大学讲学。理查兹曾多次来华在清华大学等地讲学。1963 年退休，继续进行语言教学与研究。1979 年在华讲学时患病并在英国剑桥逝世。

理查兹是现代文学批评创始人之一、美国“普通语义学”哲学流派创始人，强调文学研究对语篇和心理方面的微殊与不明语义的理解，力图使文学理论科学化和规范化。（与 Charles Kay Ogden 合作）著有《意义之意义》（*The Meaning of Meaning*, 1923）、《文学批评原理》（*Principles of Literary Criticism*, 1924）、《科学与诗歌》（*Science and Poetry*, 1926）、《实用批评》（*Practical Criticism*, 1929）、《修辞哲学》（*Philosophy of Rhetoric*, 1936）、《基础英语及其应用》（*Basic English and Its Uses*, 1943）、《内心谈话---诗歌与剧本》（*Internal Colloquies: Poems and Plays*, 1973）、《超越》（*Beyond*, 1974）等。

理查兹的最大贡献是其语言分析尤其是文学语言的分析方法，即“准确阅读”（close reading）或“语境主义”（contextualism）。他系统深入地用微观逻辑的方法阐述了语言结构，将语言结构分解为越来越小的单位，这样有利于对其相互关系及话语语境的分析研究。他和奥格登（C.K.Ogden）将实用主义（pragmatism）和语言学理论结合起来用于分析语言的功能以确定语言意义和定义词语与事物。理查兹的语言分析研究对于翻译理论具有很大的启迪。他认为翻译活动“极有可能是宇宙间最为复杂的活动”（may very well be the most sophisticated event in the evolution of the whole cosmos）。

史料图片选辑：



IAR and DER, 1960s

Photo by Shelbourne Studios, New York



I. A. Richards

This drawing originally appeared

译论史稿辑要:

(1)

The whole apparatus of critical rules and principles is a means to the attainment of finer, more precise, more discriminating communication [...] When we have solved, completely, the communication problem, when we have got, perfectly, the experience, the mental condition relevant to the poem, we still have to judge it, still to decide upon its worth.

---- I.A. Richards, *Practical Criticism*⁶⁴

(2)

A perfect understanding would involve not only an accurate direction of thought, a correct evocation of feeling, an exact apprehension of tone and a precise recognition of intention, but further it would get these contributory meanings in their right order.

---- I.A. Richards, *Practical Criticism*⁶⁵

(3)

How can one compare a sentence in English poetry with one (however like it) in English prose? Or indeed any two sentences, or the same sentence, in different settings? What is synonymy? * A proliferous literature of critical and interpretive theory witnesses to the difficulty. It seems to have been felt more and more in recent decades.

*See, e.g., Willard V.O. Quine, "Two Dogmas of Empiricism," *Philosophical Review*, 60 (1951)

[...]

In the concrete, in the minute particulars of practice, these comparison-fields are familiar enough [...] All we have to do is to arrange, in a schema as parsimonious as adequacy will allow, a body of experience so common that if the purposing of our arrangement could be agreed on, there might be little we would then differ about.

[...]

We are guardians, IV [valuers], and subject therefore to the paradox of government: that we must derive our powers, in one way or another, from the very forces which we have to do our best to control. Translation theory has not only to work for better mutual comprehension between users of diverse tongues; more complete viewing of itself and of the comprehending which it should serve.

---- I.A. Richards, "Toward a Theory of Translating"⁶⁶

91. (英) 西奥多·贺拉斯·塞弗里

Theodore Horace Savory

生平及重要译论:

西奥多·贺拉斯·塞弗里(又译萨瓦里、萨沃里) Theodore Horace Savory, 1896- , 曾就读于剑桥大学并获自然科学学士及硕士学位, 著名动物学家、蜘蛛专家, 英国伦敦动物学会会员, 著名语言学家和翻译理论家。50年代著有专著《科学的语言》(*The Language of Science*), 书中对科技翻译与文学翻译进行比较。后来一发不可收拾, 终于写出著名的《翻译的艺术》(*The Art of Translation*, 1957)一书, 对翻译的历史、

翻译的分类、翻译的性质、翻译的原则和方法、古希腊罗马作品和《圣经》的翻译、科技翻译等问题都进行了深刻的论述。

关于翻译的性质，塞弗里很明确地说明翻译是一门艺术。他认为，在翻译过程中词汇等的选择会遇到很大的难题，主要是：1）“假相等值”（*illusory correspondence*），即翻译的圈套，如将 *Luride flores* 译成 *Lurid flowers*（应译为 *yellow flowers*）；2）“语言鸿沟”（*gaps in languages*），即语言之间的不对等；3）成语和典故，如 *Mit Wölfen muss man heulen* 一句的翻译可能使译者处于为难的地位（*Among wolves one must howl./When in Rome do as the Romans do.*）。因此翻译是选择的艺术，实质则是美学选择因此塞弗里建议选择时应该记住三件事，即作者说了什么，作者意指什么和作者如何说的。塞弗里又进一步将文学翻译比作绘画，将科技翻译比作摄影，而将译者也归为三类：优秀的译者、蹩脚的译者和不入流的译者。此外，塞弗里也将读者分为四类：不懂原文的读者，正在学习原文的读者，曾经学过原文的读者和精通原文的读者。

关于翻译的类别，塞弗里将翻译分为四类：1）完美翻译（*perfect translation*）；2）等值翻译（*adequate translation*）、3）综合翻译（*composite translation*）；4）科技翻译（*translation of learned, scientific, technical and practical matter*）。如此，塞弗里实际上承认了完美翻译的存在，而且强调了读者的地位。

关于翻译的原则，塞弗里提出翻译的十二原则：1）译文必须体现出原文的词语；2）译文必须体现原文的思想；3）译文应该读起来像原文；4）译文应该读起来像译文；5）译文应该反映原文的风格；6）译文应该具有译者的风格；7）译文应该读起来像原文同时代的作品；8）译文应该读起来像译者同时代的作品；9）译文可以对原文进行增删；10）译文不可对原文进行增删；11）诗歌应该译成散文；12）诗歌应该译成韵文。

塞弗里的翻译理论对西方现代翻译理论的发展影响非常大。

译论史稿辑要：

The artist, practise what he may, is never without his mentors, who are anxious to tell him what he ought to do, or his critics, who are as ready to tell him how he has done it. If, therefore, the proposition that translation is an art may be assumed in our opening chapters to have been established, translators must expect themselves to be subject to instruction, advice, correction and comment from all the three classes of persons who delight in offering these things, the informed, the uninformed and the misinformed. Yet none of these three types of person, not even the last and most dangerous, can continue to raise their voices without the sustained confidence that characterizes them all unless they hold certain illuminating principles, in the light of which they speak. These principles invite our attention; can they, from the welter of words they have provoked, be disinterred, recognizably enunciated and justified?

The answer to this question is that a statement of the principles of translation in succinct form is impossible, and that a statement in any form is much more difficult than might be imagined; and, further, that this difficulty has arisen from the writings of the translators themselves. It would almost be true to say that there are no universally accepted principles of translation, because the only people qualified to formulate them have never agreed among themselves, but have so often and for so long contradicted each other that they have bequeathed to us a welter of confused thought which must be hard to parallel in other fields of literature.

To make plain the nature of the instructions which would-be translators have received, it is convenient to state them shortly in contrasting pairs, as follows:

1. A translation must give the words of the original.
2. A translation must give the ideas of the original.
3. A translation should read like an original work.
4. A translation should read like a translation.
5. A translation should reflect the style of the original.
6. A translation should possess the style of the translator.

7. A translation should read as a contemporary of the original.
8. A translation should read as a contemporary of the translator.
9. A translation may add to or omit from the original.
10. A translation may never add to or omit from the original.
11. A translation of verse should be in prose.
12. A translation of verse should be in verse.

While some of these are clearly modifications or subdivisions of others, there is nevertheless a sufficient richness of choice to give the would-be translator a cause for embarrassment and bewilderment. The last two pairs of alternatives will be reserved for study in Chapter VII, after an attempt has been made to understand the existence of the rest. The very fact of their existence is in itself a real phenomenon for which an explanation must besought: if it can be found it is likely to shed much light on the business of translation in general.

The pair of alternatives at the head of the list given above can be easily recognized as giving one form of expression to the distinction between the literal or faithful translation and the idiomatic or free translation. There has always been support for the translation which is as literal as it can well be made, support based on the conception that it is the duty of a translator to be faithful to his original. A translator, no less than any other writer, would not wish to incur the charge of being unfaithful; but, before he can be certain of escaping this, he must have clearly in mind what faithfulness implies and in what faithfulness consists. It does not mean a literal, a word-for-word translation, for this is the most primitive type of translating, fit only for the most mundane and prosaic of matters; and even if faithfulness could be taken to mean this, there would remain the unavoidable fact that any one word in any language cannot invariably be translated by the same word in any other language. Most of us have read at least something of a man who was always described as *pious Aeneas*, and while we were quite sure that the adjective could not be translated by 'pious', we were equally sure that no one English word could properly be offered as its equivalent in every context.

The reason for the advocacy of faithfulness is that the translator has never allowed himself to forget that he is a translator. He is not, he recognizes, the original author, and the work in hand was never his own; he is an interpreter, one whose duty it is to act as a bridge or channel between the mind of the author and the minds of his readers. He must efface himself and allow Rome or Berlin to speak directly to London or Paris. If he feels that he has done this, he may well be proud of his achievement. 'My chief boast', said William Cowper, in writing of his *Homer*, 'is that I have adhered closely to the original.'

But the translator who accepts this principle soon runs into difficulties, which have never been better described than in the words of Rossetti, 'The work of the translator (and with all humility be it spoken) is one of some self-denial. Often would he avail himself of any special grace of his own idiom and epoch, if only his will belonged to him; often would some cadence serve him but for his author's structure -- some structure but, for his author's cadence[...]. Now he would slight the matter for the music, and now the music for the matter, but no, he must deal with each alike. Sometimes too a flaw in the work galls him, and he would fain remove it, doing for the poet that which his age denied him; but no, it is not in the bond.'

A reading of this paragraph would leave most of us in no doubt that a literal translation is too difficult a task to be performed efficiently, and would make us decide to turn at once into the ways of freedom. This is why Postgate was moved to say that the principle of faithfulness was set up as a merit of true translation 'by general consent, though not by universal practice'. Much that has been written in support of freedom in translation gives just this impression -- the translator has shirked the labour of a close approach to the original, and lacks the discipline of self-denial described by Rossetti, whereupon he seeks to discover or to invent a 'principle' to which he can appeal, justifying his own actions and salving his own conscience.

In consequence we are told, often enough, that it is entirely legitimate to include in a translation any idiomatic expression that the original may seem to suggest, or that the first requisite of an English translation is that it shall be

English, or that a translation ought to be able to pass itself off as an original and show all the features of an original composition. These instructions all add up to a general implication that a translation must be such as may be read with ease and pleasure, with the suggestion that if it is not easy and pleasant it will never be read and might as well never have been made.

The risks lie in the extent of the latitude which the translator permits himself. The limit is found, perhaps in the casual words of our linguistic friends when we appeal to them for help with an almost illegible postcard just received from a foreign correspondent. Amused, they scan the document with an air of superior wisdom, and say: 'I can't make it out, exactly, but roughly speaking what it means is[...]' We have all, surely, had this experience and know that the only thing to do is to examine the card with a magnifying glass and decipher it word for word with a dictionary. Our friend's free translation is too often quite valueless.

A more careful discussion of the characteristics of a translation which is both free and acceptable will bring to light three important points. First, the too brief and dogmatic statement that a translation must read like an original may be supported by a show of reason. The original reads like an original: hence it is only right that a translation of it should do so too. Common sense suggests that this is so; and the logical development of the notion is that from the translation alone it should not be possible for the reader to determine whether it had been translated from French or Greek, from Arabic or Russian. Whether this is important or not seems to depend solely on the reader and on his reasons for using the translation. To this point we shall return.

Secondly, while it may be admitted that there is a distinction between original author and translator, and that the latter must constantly remember his debt to the former, it is equally true that a translation is the result of original work and thought by the translator. The original author has equally a debt to the translator, who is in a recognizable degree the proprietor of the translation as such. This proprietorship may be assumed to permit, without further question, the introduction of departures from the phrasing of the original, and the only doubt left is the extent of the departure. This doubt is resolved not by the wishes of the translator, but by the nature of his language: the latitude may be sufficient to make of the translation an example of the translator's language correct in idiom, expression and structure, but it should not be more than this.

Thirdly, there is the fact that, unlike the author, a translator is often one of a number, perhaps a large number, of writers who have preceded him at his task, and a translator of. Goethe or Maupassant works in the knowledge that he is the latest of a series of writers who in the past have tried to find solutions to the problems he is now meeting. This raises a question of some delicacy. If he has conceived a phrase which, he believes, exactly expresses his author's meaning, and if he then finds that one or more of his predecessors have used it already, what should he do? Authority has spoken, not for the first time, with divided opinion. There have been those who have said that a translation, once made, must not be improved by a comparison with its forerunners and those who have gone further and asserted that such a comparison must be made for the purpose of removing any 'fortuitous coincidences'. This, if strictly applied, is nonsense. Virgil wrote, at the beginning of the Second *Aeneid*, *Conticuere omnes*, which one has translated as 'All were hushed' and another as 'All were silent'. What can a new translator suggest? 'They all held their tongues'?

A more acceptable point of view, put forward by Postgate, gives a diametrically opposite opinion. If a translator who has done his best finds that some phrases of his have been used before by others, he should in no way feel obliged to alter them. On the contrary, he has 'one more reason for their retention'.

A translation may include any of the idiomatic expressions which are peculiar to its language and which the translator sees fit to adopt; but it need not, because of this, possess the style which the reader may expect. Style is the essential characteristic of every piece of writing, the outcome of the writer's personality and his emotions at the moment, and no single paragraph can be put together without revealing in some degree the nature of its author. But what is true of the author is true also of the translator. The author's style, natural or adopted, determines his choice of

a word, and, as has been seen, the translator is often compelled to make a choice between alternatives. The choice he makes cannot be uninfluenced by his own personality, cannot but reflect, though dimly, his own style. What does the reader expect; what does the critic demand?

One of the reasons for a preference for a literal translation is that it is likely to come nearer to the style of the original. It ought to be more accurate; and any copy, whether of a picture or a poem, is likely to be judged by its accuracy. Yet it is a fact that in making the attempt to reproduce the effect of the original, too literal a rendering is a mistake, and it may be necessary to alter even the construction of the author's sentences in order to transfer their effects to another tongue. As Dr. E. V. Rieu says, in introducing his translation of the *Odyssey*, 'In Homer, as in all great writers, matter and manner are inseparably blended[...]and if we put Homer straight into English words neither meaning nor manner survives.'

This is the unescapable fact, which advocates of precise, accurate and literal translation cannot gainsay. The ideal that the translator may set before himself has been so admirably described by Ritchie and Moore that their words must be quoted: 'Suppose that we have succeeded in writing a faithful translation of a characteristic page of Ruskin, and that we submit it for criticism to two well-educated French friends, one of whom has but little acquaintance with English, while the other has an intimate knowledge of our language: If the first were to say "A fine description! Who is the author?" and the second "Surely that is Ruskin, though I do not remember the passage," then we might be confident that in respect of style our translation did not fall too far short of our ideal. We should have written French that was French, while it still kept the flavour of the original.'

Here is a striking paragraph. One may feel that the situation envisaged is likely to occur but seldom, and yet as a touchstone of success it is invaluable.

Style is influenced both by the personality of the writer and also by the period of history in which he lives; and translation includes the bridging of time as well as the bridging of space. Chaucer is usually said to have written English, yet many a reader finds the *Canterbury Tales* to be incomprehensible, and is glad to read them in 'translation' or a version in contemporary English. Later than Chaucer, Archbishop Cranmer wrote in the Book of Common Prayer some of the loveliest English in existence, and yet there are clergymen today who think it desirable to change his words, and to read to their congregations such improvements as 'truly and impartially administer justice' -- lest our magistrates be thought to be administering an 'indifferent' system of law.

With regard to translation in general, the problem may be put thus. Cervantes published *Don Quixote* in 1605; should that story be translated into contemporary English, such as he would have used at that time had he been an Englishman, or into the English of today? There can, as a rule, be very little doubt as to the answer, and in most cases the reader is justified in expecting the kind of language that he himself is accustomed to use. If a function of translation is to produce in the minds of its readers the same emotions as those produced by the original in the minds of its readers, the answer is dear. Yet there is need to notice in passing the possibility of an exception when the original author is read more for his manner than his matter. We may read the speeches of Cicero chiefly that we may have the opportunity to appreciate his eloquence. Today the most eloquent speaker of English is Sir Winston Churchill, yet Churchill's style is not Cicero's style. Should a speech by Cicero be so translated as to sound as if it had been delivered by Churchill? No.

We leave aside our last two pairs of antitheses for consideration in Chapter VII, where they more precisely belong, and attempt to summarize our discussions so far. As has been said, the existence of so wide a divergence of opinion is in itself a phenomenon which calls for explanation.

Part of the explanation is no doubt to be found in the normal variability of the human mind, and this alone is enough to account for a preference by some readers for a literal translation and a preference by others for a free one; for a preference by some for continual reminders that they are reading a translation, and a preference by others for no

such thing. But this is not enough to account for the whole of the diversity.

The most probable reason is neglect by the critic of the reader's point of view. Readers of translations do not differ only in their personal preferences, they differ also -- and most significantly -- in the reasons for which they are reading a translation at all. The primitive function of translation, let it be repeated, is the utilitarian one of overcoming ignorance of the language of the original; but many translations are read by those who know the original language quite as well as does the translator, and who, when they see fit to criticize, cannot rid their minds of this fact. They forget that to the reader who is completely ignorant of the original language, and likely to remain so, their criticisms may seem to be quite pointless, and that such a reader may have found the translation to be pleasing and satisfying. He may even be led to study the original language.

For whom, then, are translations intended? At least four groups can be distinguished.

The first is the reader who knows nothing at all of the original language; who reads either from curiosity or from a genuine interest in a literature of which he will never be able to read one sentence in its original form. The second is the student who is learning the language of the original, and does so in part by reading its literature with the help of a translation. The third is the reader who knew the language in the past but who, because of other duties and occupations, has now forgotten almost the whole of his early knowledge. The fourth is the scholar who knows it still.

These four types of readers are obviously using translation, for recognizably different purposes, and it must follow from this that, since different purposes are usually achieved by different methods and with the help of different tools, the same translation cannot be equally suited to them all. In other words, the concept of reader-analysis will show that each form of translation has its own function, which it adequately fulfils when used by the type of reader for which it was intended.

Let this be amplified. One can so easily imagine the words which form themselves on the lips of each of the four as they pick up a new volume in translation. The first says to himself: 'What is this book about; why do I hear other people mention it so often; what of interest has the writer got to say?' The second says: 'This will help me more quickly to understand what the writer had to say about his subject; by quicker reading I shall get a better grasp of his ideas as a whole.' The third says: 'Only to think that once, and not so long ago, I was able to read this book properly for myself; how the translation brings it all back; those were the days.' And the fourth says: 'Let me see what sort of mess poor old so-and-so has made of this; I love it myself, and I hope he has not ruined its beauty.'

To these four kinds of readers our alternative kinds of translations fit themselves naturally and completely.

The ignoramus is happy with the free translation; it satisfies his curiosity and he reads it easily, without the pains of thought. The student is best helped by the most literal translation that can be made in accurate English; it helps him to grasp the implications of the different constructions of the language that he is studying and points out the correct usage of its less familiar words. The third prefers the translation that sounds like a translation; it brings back more keenly the memories of his early scholarship and gives him a subconscious impression that almost he is reading the original language. And the fourth, who knows both the matter and style of the original, may perhaps find pleasure in occasional touches of scholarship, though it must be admitted that his comments are more likely to be caustic or critical.

Readers of all these kinds abound. Anyone who, like the present writer, has served on a Public Library Committee for nearly twenty years, knows that the 'average borrower' is a fictitious personage who is not to be found among the ratepayers of his district; and that of any work of great reputation every translation that is put on the Library shelves will have its own share of admirers. Further than this, many a reader will consult more than one translation. Two translations are four times as good as one, and in the broad span of literary adventure there is a welcome place for them all.

---- Theodore Horace Savory, *The Art of Translation*⁶⁷

92. (英) 约翰·坎尼森·卡特福德

John. C. Catford

生平及重要译论:

约翰·坎尼森·卡特福德 John. C. Catford, 1917- , 英国著名语言学家、翻译理论家。出生于苏格兰的爱丁堡, 就读于爱丁堡大学 (1935-1939, 攻读法国语言与文学)、巴黎大学 (1937-1938, 研究语音学) 和伦敦大学 (研究俄语及东方语言和非洲语言)。曾任密执安大学英语语言学校校长, 语言与语言行为者研究中心代理主任, 语言学系主任等。曾发表《苏格兰方言的元音系统》(1957)、《语音学的基本问题》(1977)、《语用语音学入门》(1988)、《翻译的语言学理论》(*A Linguistic Theory of Translation: An Essay in Applied Linguistics*, 1965) 等著名专著。其《翻译的语言学理论》在翻译理论史上尤其是在应用翻译实践方面是一部划时代的经典著作, 是翻译理论语言学派的代表性著作。

卡特福德认为:

任何翻译理论都必须采用某种关于语言的理论, 即普通语言学的理论。⁶⁸

卡特福德探索用语言学的理论成果来研究翻译, 特别是对于翻译的性质、可译性描述和等值转换问题的论述对西方译学理论产生很大影响。他将自己的翻译理论称为“描写性”翻译理论, 即运用描写语言学理论来描写翻译。

关于翻译的性质, 卡特福德将翻译定义为: (参阅下面的“译论史稿辑要”)

用一种等值的语言 (译入语) 的文本材料替换另一种语言 (原语) 的文本材料。

而翻译过程即是:

翻译是一项对语言进行操作的工作, 即用一种语言文本来替代另一种语言文本的过程。

关于翻译的等值问题, 卡特福德认为原语和译入语的语境意义共同特征越多翻译等值关系的条件也就越充分, 因此:

翻译决不是、或者说几乎不可能是原语文本全部被译语文本中的等值成分所替换。

而翻译的目的正是

选择语境范围有最大的重叠可能性的译入语等值成分。⁶⁹

翻译的等值取决于两种语言的对比。卡特福德区别了两个有关的概念, 即文本等值 (textual equivalence), 指特定语境中译文与原文的等值, 和形式对应 (formal correspondence), 指译文和原文的语法范畴具有对应性。

关于翻译的类别, 卡特福德根据范围、层次和等级将翻译进行三种分类: 1) 根据范围 (extent), 翻译分为全文翻译 (full translation) 和部分翻译 (partial translation); 2) 根据层次 (levels), 翻译分为完全翻译 (total translation) 和有限翻译 (restricted translation); 3) 根据级阶 (rank), 翻译分为逐词翻译 (word-for-

word translation)、直译(literal translation)和意译(free translation)。意译为语言结构的上层层次,翻译时不受级的限制可自由选择对等词语,为“级无限翻译”;逐词翻译则相反,被限制在语言结构的底层的词或词素层次,因此为“级受限翻译”;直译则介于两者之间。

卡特福德还对翻译的转换,即层次转换,指“处于一种语言层次上的原语单位具有处于不同语言层次上的译语翻译等值成分”⁷⁰,和范畴转换,指“翻译过程中形式对应的背离”(departures from formal correspondence)⁷¹,以及翻译的限度问题,包括语言不可译(linguistic untranslatability)和文化不可译(cultural untranslatability)问题也进行了深入的阐述。

译论史稿辑要:

(1)

In translation, there is substitution of TL meanings for SL meanings: not transference of TL meanings into the SL. In transference there is an implantation of SL meanings into the TL text. These two processes must be clearly differentiated in any theory of translation.

---- John. C. Catford, *A Linguistic Theory of Translation: An Essay in Applied Linguistics*⁷²

(2)

2. Translation: Definition and General Types

[...]

2.1 *Translation* may be defined as follows:

the replacement of textual material in one language (SL) by equivalent textual material in another language (TL).

This definition is intentionally wide -- not vague, though it may appear so at first sight. Two lexical items in it call for comment. These are 'textual material' (where 'text' might have been expected) and 'equivalent'.

The use of the term 'textual material' underlines the fact that in normal conditions it is not the entirety of a SL text which is translated, that is, replaced by TL *equivalents*. At one or more levels of language there may be simple replacement, by nonequivalent TL material: for example, if we translate the English text *What time is it?* into French as *Quelle heure est-il?* There is replacement of SL(English) grammar and lexis by *equivalent* TL(French) grammar and lexis. There is also *replacement* of SL graphology by TL graphology -- but the TL graphological form is by no means a translation *equivalent* of the SL graphological form.

Moreover, at one or more levels there may be no replacement at all, but simple transference of SL material into the TL text. On this, see Chapter 6 below.

The term 'equivalent' is clearly a key term, and as such is discussed at length below. The central problem of translation-practice is that of finding TL translation equivalents. A central task of translation theory is that of defining the nature and conditions of translation equivalence.

Before going on to discuss the nature of translation equivalence it will be useful to define some broad types or categories of translation in terms of the *extent* (2.2), *levels* (2.3), and *ranks* (2.4) of translation.

2.2 *Full vs. Partial translation.* This distinction relates to the *extent* (in a syntagmatic sense) of SL text which is submitted to the translation process. By *text* we mean any stretch of language, spoken or written, which is under discussion. According to circumstances a text may thus be a whole library of books, a single volume, a chapter, a paragraph, a sentence, a clause. [...]etc. It may also be a fragment not co-extensive with any formal literary of linguistic unit.

2.21 In a *full* translation the entire text is submitted to the translation process: that is, every part of the SL text is replaced by TL text material.

2.22 In a *partial* translation, some part or parts of the SL text are left untranslated: they are simply transferred to and incorporated in the TL text. In literary translation it is not uncommon for some SL lexical items to be treated in this way, either because they are regarded as 'untranslatable' or for the deliberate purpose of introducing 'local colour' into the TL text. This process of transferring SL lexical items into a TL text is more complex than appears at first sight, and it is only approximately true to say that they remain 'untranslated': on this, see 6.31.

2.23 The distinction between full and partial translation is hardly a (linguistically) technical one. It is dealt with here, however, since it is important to use the distinct term *partial* in this semi-technical, syntagmatic, sense, reserving the term *restricted* for use in the linguistically technical sense given in 2.3.

2.3 *Total vs. Restricted* translation. This distinction relates to the *levels* of language involved in translation.

2.31 By *total* translation we mean what is most usually meant by 'translation'; that is, translation in which all levels of the SL text are replaced by TL material. Strictly speaking, 'total' translation is a misleading term, since, though *total replacement* is involved it is not replacement by *equivalents* at all levels (cf. 2.1 above).

In 'total' translation SL grammar and lexis are replaced by equivalent TL grammar and lexis. This replacement entails the replacement of SL phonology/graphology by TL phonology/graphology, but this is not normally replacement by TL *equivalents*, hence there is no translation, in our sense, at that level. For use as a technical term, *Total Translation* may best be defined as:

replacement of SL grammar and lexis by equivalent TL grammar and lexis with consequential replacement of SL phonology/graphology by (non-equivalent) TL phonology/graphology.

2.32 By *restricted translation* we mean:

replacement of SL textual material by equivalent TL textual material, at only one level,

that is translation performed only at the phonological or at the graphological level or at only one of the two levels of grammar and lexis.

It should be noted that, though phonological or graphological translation is possible, there can be no analogous 'contextual translation' -- that is translation restricted to the inter-level of context but not entailing translation at the grammatical or lexical levels. In other words there is no way in which we can replace SL 'contextual units' by equivalent TL 'contextual units' without *simultaneously* replacing SL grammatical/lexical units by equivalent TL grammatical/lexical units, since it is only by virtue of their encapsulation, so to say, in formal linguistic units that 'contextual units' exist. Context is, in fact, the organization of situation-substance into units which are co-extensive with and operationally inseparable from the formal units of grammar and lexis. With the medium levels the situation is different. Phonology, for instance, is the organization of phonic substance into units which, in combination, function as exponents of the units of grammar and lexis; phonological units, as such, are not, bound to grammatical or lexical units in the way in which contextual units are bound to such units. Hence the separability of phonology/graphology for translation purposes; and, on the other hand, the non-separability of context.

...

3. Translation equivalence

We have to distinguish between, on the one hand, translation equivalence as an empirical phenomenon, discovered by comparing SL and TL text; and, on the other hand, the underlying conditions, or justification, of translation equivalence. The conditions of translation equivalence are discussed in Chapter 7. Here we are concerned only with translation equivalence as an empirical phenomenon.

3.1 A further distinction must be made between *textual equivalence* and *formal correspondence*. A textual equivalent is any TL text or which is observed on a particular occasion, by methods described below, to be the equivalence of a given SL text or portion of text. A formal correspondent, on the other hand, is any TL category (unit, class, structure, element of structure, etc.) which can be said to occupy as nearly as possible, the 'same' place in the 'economy' of the TL as the given SL category occupies in the SL. Since every language is ultimately *sui generis* -- its categories being defined in terms of relations holding within the language itself -- it is clear that formal correspondence is nearly always approximate.

3.2 A *textual translation equivalent*, then, is any TL form (text or portion of text) which is observed to be the equivalent of a given SL form (text or portion of text).

3.21 The discovery of textual equivalents is based on the authority of a competent bilingual informant or translator. Thus, to find the French textual equivalent of the English text *My son is six*, we ask a competent translator to put this into the TL, French. He supplies *Mon fils a six ans*. This, then, is the textual equivalent of *My son is six*. We may repeat this process for any portion of the full text -- asking, for instance, for the French equivalent of *My son* in this text. The translator supplies the equivalent *Mon fils*.

3.22 In place of *asking* for equivalents we may adopt a more formal procedure, namely, *commutation* and observation of concomitant variation. In other words we may systematically introduce changes into the SL text and observe what changes if any occur in the TL text as a consequence. A textual translation equivalent is thus: *that portion of a TL text which is changed when and only when a given portion of the SL text is changed*. In our present example, having had *My son is six* translated into French we might ask for the translation of *Your daughter is six*. The TL text this time is *Votre fille a six ans*. The changed portion of the TL text (*Mon fils/Votre fille*) is then taken to be the equivalent of the changed portion of the SL text (*My son/Your daughter*).

3.221 In simple cases like the above, one generally relies on one's own knowledge of the languages involved. This is the only thing one can do with a recorded (spoken or written) text when the original translator is not present. In such a case, the investigator acts as his own informant and discovers textual equivalents 'intuitively' -- i. e. by drawing on his own experience, without necessarily going through an overt procedure of commutation. Nevertheless, commutation is the ultimate test for textual equivalence, and it is useful in cases where equivalence is not of the simple equal-rank and unit-to-unit type illustrated above.

[...]

3.223 In some cases there is *no* TL equivalent of a given SL item, and commutation may again be used to demonstrate this. It is useful to say in such cases that the TL equivalent is *nil*, reserving the term *zero* for use, if at all, when zero is a term operating in a TL system. Thus, to take another example, comparing the following English SL text and TL texts in French and Russian, we see a possible use for the distinction between *zero* and *nil*.

SL Eng.	My father was a doctor.
TL Fr.	Mon père était docteur.
TL Rus.	Otets u men'a byl doktor.

One might describe the system of *articles* in both French and English as containing a term *zero*. In the present example, then, we could say that the translation equivalent of the English indefinite article, *a*, is the French article *zero*. Russian, however, has no system of articles. In the Russian text, therefore, there is no translation equivalent of the English indefinite article. We say, then, that the Russian equivalent of *a* in this text is *nil*. Equivalence, in this example, can be established only at a higher rank, namely the *group*. The English nominal group *a doctor* has as its equivalent the Russian nominal group *doktor*. In general, *nil* equivalence at one rank implies that equivalence can only be established at a higher rank.

3.3 In a text of any length, some specific SL items are almost certain to occur several times. At each occurrence there will be a specific TL textual equivalent. Having observed each *particular* textual equivalent, we can then make a *general* statement of textual equivalences for each SL item, covering all its occurrences in the text as a whole. At each occurrence, the particular SL item may always have the same TL equivalent. The statement of general textual equivalence in this case is qualitatively the same as that of particular textual equivalence; but there is a difference, namely that it can be *quantified*. We may express it in the actual figures, e. g. 'SL item X occurs 79 times in this text, and its TL equivalent is x in every case'; or as a percentage, 'SLX = TL x, 100%'; or, finally, as a *probability*, in terms of the probability scale in which 1 means 'absolute certainty' and 0 means 'absolute impossibility', 'SL X = TX x, 1', i.e. 'SL X has, as its textual equivalent, TL x, with the probability 1'. This means that if you choose any occurrence of X in the SL text at random, it is certain that its TL equivalent will be x. 3.31 Frequently occurring SL items commonly have more than one TL equivalent in the course of a long text. Each particular equivalent occurs a specific number of times: by dividing the number of occurrences of each particular equivalent by the total number of occurrences of the SL item we obtain the equivalence-probability of each particular equivalence. [...]

3.32 The probability values given so far are based on the assumption that, at each occurrence, the probability of a particular equivalence is the same as it is at every other occurrence; that is to say, they are *unconditioned probabilities*. But the equivalence-probabilities are, in fact, constantly affected by contextual and *co-textual* factors. We must, then, take these factors into account, and consider not merely the unconditioned probabilities, but also the *conditioned probabilities* of the various equivalences. Thus, though the unconditioned probability of the equivalence *dans* = *into* is only .19, the conditioned probability of this equivalence is very much higher when *dans* is preceded by certain verbs, e. g. *aller*, and must be 1 (certainty), or very nearly so, when such a 'verb of motion' precedes, and a 'noun referring to a place' follows.

Provided the sample is big enough, translation-equivalence-probabilities may be generalized to form 'translation rules' applicable to other texts, and perhaps to the 'language as a whole' -- or, more strictly, to all texts within the same *variety* of the language (the same dialect, register, etc. -- see Chapter 13).

3.4 A *translation rule* is thus an extrapolation of the probability values of textual translation equivalences. Such a rule is a statement of highest unconditioned probability equivalence, supplemented by highest conditioned probability equivalences, with an indication of the conditioning factors. For human translators the rules can make appeal to *contextual meaning* (e. g. '*dans* -- translate as *in* unless a verb of motion precedes and a place-noun follows' or the like). For the purpose of Machine Translation, translation rules may be operational instructions for *co-textual search* for items marked in the machine glossary by particular diacritics, with instructions to print out the particular conditioned equivalent in each case. Such operational instructions, which if followed, can be guaranteed with a high degree of probability to produce a 'correct' result, are known as *algorithms*. The looser, more contextually based, instructions for human translators are 'translation rules'; the more rigid, co-textually based, instructions for MT are, strictly speaking, 'translation algorithms'. In general, to be effective, translation algorithms must be based on equivalences with probabilities approaching 1.

4. Formal Correspondence

[...]

4.1 It is clear that formal correspondence can be only approximate, and that it can be most easily established at relatively high levels of abstraction. Thus, if we find that two languages operate each with grammatical units at five ranks (an example might be English and French, both of which appear to have five ranks: sentence, clause, group, word, morpheme) we can reasonably say that there is formal correspondence between the two hierarchies of units; each has the same number of ranks, and as (taxonomic) hierarchies each has the same kind of relationship between units of the different ranks. Having established such a highly abstract correspondence, we may use this as a frame of

reference for stating approximate correspondence at lower abstractional levels; e.g. we may talk of formal correspondence between SL and TL elements of structure operating at 'corresponding' ranks.

4.2 It may be, however, that formal correspondence can only be established ultimately on the basis of textual equivalence at some point. Thus we may state that an item or class of one language is the formal equivalent of an item or class in another, because the category in question operates in approximately the same way in the structure of higher rank units in both languages; but this in turn, implies that we have established a correspondence between these higher rank units, and this may have to be done on the basis of highest probability textual equivalence.

4.21 For example, we might say that there is formal correspondence between the word-classes *preposition* in English and French. This statement is based on the fact that in both languages the word-class labelled 'preposition' functions along with nominal groups in the structure of adverbial phrases, which in turn function in both languages as (i) *qualifiers* in nominal group structure (e. g. the door *of the house* -- la porte *de la maison*) or (ii) as *adjuncts* in clause structure. But this clearly pushes the problem of justifying our statement of formal correspondence further up the rank scale; we still have to justify the correspondence of nominal groups, adjuncts, etc., and this might have to be done on the basis of textual equivalence.

4.3 In spite of its approximate nature, and the theoretical difficulty of its justification, the concept of 'formal correspondence' is a useful one; indeed, it is an essential basis for the discussion of problems which are important to translation theory and necessary for its application (see Chapter 12).

4.31 Formal correspondence is of interest from another point of view as well; namely that the degree of divergence between textual equivalence and formal correspondence may perhaps be used as a measure of typological difference between languages. This can be exemplified by considering formal correspondence and textual equivalence between English prepositions and certain formal classes in French and Kabardian (a N.W. Caucasian language).

4. 311 In the French text referred to above there are 1220 occurrences of prepositions. In the English TL text 910 of these have a preposition as textual translation equivalent: for this text, the unconditioned equivalence -- probability of the equivalence *Fr. preposition* = *Eng. preposition* is .75. We are justified in saying that for English and French prepositions there is a fairly high degree of convergence between formal correspondence and textual equivalence; and this may be taken as a symptom of typological similarity.

4.312 The establishment of formal correspondences between English and Kabardian is more difficult; for one thing, it is probable that Kabardian has only four ranks of grammatical units as compared with the five of English. We may, however, roughly equate units of the lowest rank in both languages, labelling both *morphemes*. In Kabardian there is a class of bound morphemes which, may be called 'relational preverbs'. These are prefixed to verbal morphemes, forming together with them (and certain other morphemes) verbal units which function as predicators in clause structure. Formally, it is reasonable to say that these relational preverbs correspond most closely to English bound morphemes such as *in-* *ex-* etc., which occur prefixed to verbs; in other words, Kabardian relational preverbs are *formal correspondents* of English verbal prefixes. No actual figures for textual equivalence are available, but it is almost certain that the highest-probability English *textual* equivalents of Kabardian relational preverbs are prepositions. There is thus considerable divergence between formal correspondence and textual equivalence as between English prepositions and Kabardian relational preverbs. This is what one might expect in the case of a pair of languages which are both typologically and genetically very different; more precisely, the divergence shown here may be taken to be a symptom of typological difference, which parallels genetic unrelatedness.

...

14. The Limits of Translatability

14.1 In 7.6 above we were able to state certain absolute limits of translatability, namely: translation between media is impossible, and translation between the medium-levels and the levels of grammar/lexis is likewise impossible. These

absolute limitations derive directly from our theory of translation equivalence. For translation equivalence to occur, SL and TL items must be relatable to (at least some of) the same features of substance, and it is easy to see that there is an absolute absence of similarity between phonic and graphic substance, and between either of these and situation substance.

14.11 The limits of translatability in total translation are, however, much more difficult to state. Indeed, translatability here appears, intuitively, to be a *cline* rather than a clear-cut dichotomy. SL texts and items are *more or less* translatable rather than absolutely *translatable* or *untranslatable*. In total translation, translation equivalence depends on the interchangeability of the SL and TL texts in the same situation -- ultimately, that is, on relationship of SL and TL texts to (at least some of) the same relevant features of situation-substance.

---- John. C. Catford, *A Linguistic Theory of Translation: An Essay in Applied Linguistics*⁷³

(2)

We can distinguish, then, between situational features which are *linguistically relevant*, and those which are *functionally relevant* in that they are relevant to the communicative function of the text in that situation. For translation equivalence to occur, then, both SL and TL. text must be relatable to the *functionally* relevant features of the situation. A decision, in any particular case, as to what is functionally relevant in this sense must in our present state of knowledge remain to some extent a matter of opinion.

---- John. C. Catford, *A Linguistic Theory of Translation: An Essay in Applied Linguistics*⁷⁴

93. (英) 彼得·纽马克 Peter Newmark



Peter Newmark, 1916-

生平及重要译论

彼得·纽马克 Peter Newmark, 1916- , 英国著名翻译理论家和翻译教育家。出生于捷克, 幼年移民英国。毕业于剑桥大学, 获香港浸会大学 (Baptist University, Hong Kong) 博士学位。英国语言学家研究会会

长，英国萨里大学（University of Surrey）现代语言学教授，英国中伦敦理工学院（现为威斯特敏斯特大学）语言学院院长、终身教授，从事英德和英法互译教学，曾翻译过瑞士画家克勒、德国画家丢勒的书籍。

纽马克关于翻译理论的著述颇多，主要代表作有《翻译探索》（又译《翻译问题探讨》）（*Approaches to translation*, 1981）（该书还被译为阿拉伯语 Arabic 和意大利语 Italian）、《论翻译》（*About Translation*, 1983）、《翻译短评》（*Paragraphs on Translation*, 1985）、《翻译教程》（*A Textbook of Translation*, 1988）（该书还被译为加利西亚语 Galician、斯洛文尼亚语 Slovene、希腊语 Greek 和西班牙语 Spanish）和《翻译短评续》（*More Paragraphs on Translation*, 1993）。

纽马克是一位典型的实践型翻译理论家，其理论研究是直接为其教学实践服务的。

纽马克“对普通翻译理论的主要贡献”（纽马克：*Approaches to translation*, 1981）是其提出的语义翻译（semantic translation）和交际翻译（communicative translation）新概念。语义翻译强调贴近原文，而交际翻译则强调对读者的效果。奈达对此评述说：“语义翻译重在传达原文的语义内容，交际翻译则注重读者的理解和反应。纽马克照顾到了文本的广泛差异性，这使以上两种不同的翻译法显得特别重要。”⁷⁵

至于翻译时对这两种翻译概念的权衡，纽马克认为需要考虑文本的类型。他根据内容与文体将文本分为表达功能（expressive function）、信息功能（informative function）和呼唤功能（vocative function）三个类型。⁷⁶

纽马克还提出“关联翻译法”（correlative approach to translation）⁷⁷的翻译新概念作为上述两种翻译概念的进一步阐述：原作或译文文本的语言愈重要，翻译便愈要紧贴原文。准确翻译（close translation）的程度则从词汇、语法和文本三个角度来概括。

此外，纽马克还对语言意义和翻译性质进行了深入的论述。

纽马克认为：

在几乎所有的翻译中都涉及到三种主要的意义：认知意义（cognitive meaning）、交际意义（communicative meaning）和联想意义（associative meaning）⁷⁸

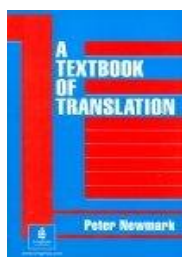
纽马克将语言功能分为六种：表达功能（expressive function）、信息功能（informative function）、祈使功能（vocative function）、人际功能（phatic function）、审美功能（aesthetic function）和元语言功能（metalingual function）。

关于翻译的性质，纽马克认为：

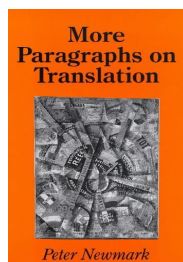
Translation is a skill and an art as well as a science. （“翻译既是科学，又是艺术和技巧”）⁷⁹

纽马克还对翻译批评、翻译教学、翻译理论的发展、地位及其与其他学科的关系等众多翻译理论问题进行了全面深入的论述。

史料图片选辑：



Peter Newmark:
A Textbook of Translation



Peter Newmark:
More Paragraphs on Translation

译论史稿辑要:

(1)

The central problem of translating has always been whether to translate literally or freely. The argument has been going on since at least the first century BC. Up to the beginning of the nineteenth century, many writers favoured some kind of 'free' translation: the spirit, not the letter; the sense not the words; the message rather than the form; the matter not the manner. This was the often revolutionary slogan of writers who wanted the truth to be read and understood -- Tyndale and Dolet were burned at the stake, Wycliff's works were banned. Then at the turn of the nineteenth century, when the study of cultural anthropology suggested that the linguistic barriers were insuperable and that language was entirely the product of culture, the view that translation was impossible gained some currency, and with it that, if attempted at all, it must be as literal as possible. This view culminated in the statements of the extreme 'literalists' Walter Benjamin and Vladimir Nabokov.

The argument was theoretical: the purpose of the translation, the nature of the readership, the type of text, was not discussed. Too often, writer, translator and reader were implicitly identified with each other. Now the context has changed, but the basic problem remains.

I put it in the form of a flattened V diagram:

SL emphasis

Word-for-word translation

Literal translation

Faithful translation

Semantic translation

TL emphasis

Adaptation

Free translation

Idiomatic translation

Communicative translation

[...]

Commenting on these methods, I should first say that only semantic and communicative translation fulfil the two main aims of translation, which are first, accuracy, and second, economy. (A semantic translation is more likely to be economical than a communicative translation, unless, for the latter, the text is poorly written.) In general, a semantic translation is written at the author's linguistic level, a communicative at the readership's. Semantic translation is used for 'expressive' texts, communicative for 'informative' and 'vocative' texts.

Semantic and communicative translation treat the following items similarly: stock and dead metaphors, normal collocations, technical terms, slang, colloquialisms, standard notices, phaticisms, ordinary, language. The expressive components of 'expressive' texts (unusual syntactic structures, collocations, metaphors, words peculiarly used, neologisms) are rendered closely, if not literally, but where they appear in informative and vocative texts, they are normalised or toned down (except in striking advertisements). Cultural components tend to be transferred intact in expressive texts; transferred and explained with culturally neutral terms in informative texts; replaced by cultural equivalents in vocative texts. Badly and/or inaccurately written passages must remain so in translation if they are 'expressive', although the translator should comment on any mistakes of factual or moral truth, if appropriate. Badly and/or inaccurately written passages should be 'corrected' in communicative translation. I refer to 'expressive' as 'sacred' texts; 'informative' and 'vocative', following Jean Delisle, as 'anonymous', since the status of their authors is not important. (There are grey or fuzzy areas in this distinction, as in every aspect of translation.)

So much for the detail, but semantic and communicative translation must also be seen as wholes. Semantic translation is personal and individual, follows the thought processes of the author, tends to over-translate, pursues

nuances of meaning, yet aims at concision in order to reproduce pragmatic impact. Communicative translation is social, concentrates on the message and the main force of the text, tends to under-translate, to be simple, clear and brief, and is always written in a natural and resourceful style. A semantic translation is normally inferior to its original, as there is both cognitive and pragmatic loss (Baudelaire's translation of Poe is said to be an exception); a communicative translation is often better than its original. At a pinch, a semantic translation has to interpret, a communicative translation to explain.

Theoretically, communicative translation allows the translator no more freedom than semantic translation. In fact, it does, since the translator is serving a putative large and not well defined readership, whilst in semantic translation, he is following a single well defined authority, i.e. the author of the SL text.

---- Peter Newmark, *A Textbook of Translation*⁸⁰

(2)

Lastly, the translation theorist is concerned with certain particular problems: metaphor, synonyms; proper names; institutional and cultural terms, grammatical, lexical and referential ambiguity, cliché, quotations; cultural focus, overlap and distance, idiolect; neologisms; poetry; jargon, the four categories of key terms.

Of these problems, metaphor is the most important. I have suggested elsewhere that there are four types of metaphor: fossilized, stock, recently created and original; that one has to consider the metaphor, the object it relates to, the image (vehicle) and the sense (tenor, ground) before one translates; that there are five methods of translating metaphor: transferring the image, finding an equivalent image, converting the metaphor to a simile or sense plus the simile; finally, most frequently, converting the image to sense, which may involve analysis into several components, including figurative and concrete elements. Further, the translator has to consider cultural, universal and personal elements in the metaphor, and whether communicative or semantic translation is to be used. C. Brooke-Rose's distinction (1958) between metaphor and symbol combined with literal meaning has to be respected in the sense that the latter, if seriously conceived, may have to be culturally adapted. Again, since all colloquial language is metaphorical, recent and usually ephemeral, it often requires consistent recreation, particularly in typical specialized topics such as sport, finance, pop music, etc. Lastly, the translator has to consider when, if ever, he is justified in translating flat 'literal' (i.e. fossilized metaphor) language by stock metaphor, either as a compensation procedure or to enliven flat language in an 'information' text.

---- Peter Newmark, *Approaches to Translation*⁸¹

(3)

Communicative translation attempts to produce on its readers an effect as close as possible to that obtained on the readers of the original. Semantic translation attempts to render, as closely as the semantic and syntactic structures of the second language allow, the exact contextual meaning of the original.

In theory, there are wide differences between the two methods. Communicative translation addresses itself solely to the second reader, who does not anticipate difficulties or obscurities, and would expect a generous transfer of foreign elements into his own culture as well as his language where necessary. But even here the translator still has to respect and work on the form of the source language text as the only material basis for his work. Semantic translation remains within the original culture and assists the reader only in its connotations if they constitute the essential human (non-ethnic) message of the text. One basic difference between the two methods is that where there is a conflict, the communicative must emphasize the 'force' rather than the content of the message. Thus for *Bissiger Hund* or *Chien méchant*, the communicative translation *Beware of the dog!* is mandatory; the semantic translations ('dog that bites', 'savage dog') would be more informative but less effective. Generally, a communicative translation is

likely to be smoother, simpler, clearer, more direct, more conventional, conforming to a particular register of language, tending to undertranslate, i.e. to use more generic, hold-all terms in difficult passages. A semantic translation tends to be more complex, more awkward, more detailed, more concentrated, and pursues the thought-processes rather than the intention of the transmitter. It tends to overtranslate, to be more specific than the original, to include more meanings in its search for one nuance of meaning.

However, in communicative as in semantic translation, provided that equivalent-effect is secured, the literal word-for-word translation is not only the best, it is the only valid method of translation. There is no excuse for unnecessary 'synonyms', let alone paraphrases, in any type of translation.

Conversely, both semantic and communicative translation comply with the usually accepted syntactic equivalents (Vinay and Darbelnet's 'transpositions') for the two languages in question. Thus, by both methods, a sentence such as *'Il traversa la Manche en nageant'* would normally be translated as 'He swam across the Channel'. In semantic but not communicative translation, any deviation from SL stylistic norms would be reflected in an equally wide deviation from the TL norms, but where such norms clash, the deviations are not easy to formulate, and the translator has to show a certain tension between the writer's manner and the compulsions of the target language. Thus when the writer uses long complex sentences in a language where the sentence in a 'literary' (carefully worked) style is usually complex and longer than in the TL, the translator may reduce the sentences somewhat, compromising between the norms of the two languages and the writer. If in doubt, however, he should trust the writer, not the 'language', which is a sum of abstractions. A semantic translation is concrete.

[...]

I am assuming that whilst a semantic translation is always inferior to its original, since it involves loss of meaning, a communicative translation may be better, since it may translation the translator is trying in his own language to write a little better than the original, unless he is reproducing the well-established formulae of notices or correspondence. I assume that in communicative translation one has the right to correct or improve the logic; to replace clumsy with elegant, or at least functional, syntactic structures; to remove obscurities; to eliminate repetition and tautology; to exclude the less likely interpretations of an ambiguity; to modify and clarify jargon (i.e. reduce loose generic terms to rather more concrete components), and to normalize bizarreries of idiolect, i.e. wayward uses of language. Further, one has the right to correct mistakes of fact and slips, normally stating what one has done in a footnote. (All such corrections and improvements are usually inadmissible in semantic translation.)

In theory a communicative translation is *ipso facto* a subjective procedure, since it is intended primarily to achieve a certain effect on its readers' minds, which effect could only be verified by a survey of their mental and/or physical reactions. In fact, it is initially as constrained by the form, the structures and words of the original as a semantic translation (the pre-translation process) until the version is gradually skewed to the reader's point of view. Then the translator starts to ask himself whether his version is 'happy', i.e. a successful 'act', rather than whether it is true, i.e. an exact statement (cf. Austin, 1962). He begins to extend the unit of translation, having secured the referential basis, i.e. the truth of the information; he views words and phrases in expanding waves in their linguistic context, restructuring or rearranging clauses, reinforcing emphases. Nevertheless, each lexical and grammatical unit has to remain accounted for--that is his Antaeus link with the text.

In one sense, communicative translation, by adapting and making the thought and cultural content of the original more accessible to the reader, gives semantic translation another dimension. The Leipzig School, notably Neubert and Kade, have referred to this as the 'pragmatic' element, but I think this is a little misleading. To begin with, Peirce and notably Morris defined 'pragmatics' as the branch of semiotics that deals with the relation between signs or linguistic

expressions and their users (transmitters and receptors). Communicative translation, however, is concerned mainly with the receptors, usually in the context of a language and cultural variety, whilst semantic translation is concerned with the transmitter usually as an individual, and often in contradistinction both to his culture and to the norms of his language. Moreover 'pragmatic' is a confusing term, since even in the context of translation (let alone its abundant senses in philosophy) it is also used in the sense of 'nonliterary', 'technical' and 'practical'. Neubert and Kade have maintained that the pragmatic (in the semiotic sense) is the variant, difficult and often 'untranslatable' element in translation, whilst the cognitive (the material basis and environment) is invariant, relatively easy and always translatable. Whilst this view obviously has some truth (the objective, physical and concrete being on the whole easier to translate than the subjective, mental and figurative), it ignores the indisputable proportion of truth in the Humboldt thesis (the weak thesis) that each language has its own distinctive structure, reflecting and conditioning the ways of thought and expression of the people using it, but for which translation would be an easy business. Further, this view hardly comes to terms with the fact that most material objects derive their names from the result of mental analogies and comparisons, that is. from metaphor, not from any scientific made-to-measure neologisms, and that all languages are wilful and different in their naming of some of the commonest physical objects. Lyons (1976) and Weightman (1967) have independently shown how inadequate or overloaded would be any translation into French of the apparently simple, observational, objective, non-'pragmatic' sentence 'The cat sat on the mat'. Both the French version (possibly, 'Le chat était accroupi sur le païfiasson') and the rather better German version ('Die Katze hockte auf der Fußdecke') are overtranslations, illustrating French and German's lack of words of sufficient generality and consequently of equivalent frequency. On the other hand, there are many cases where the 'pragmatic' element can be translated without difficulty, provided the viewpoint represented in the SL culture is well understood by the reader of the translation: thus words like 'revisionist', 'terrorist', 'patriotic', 'proletarian', 'formalistic', etc., can be 'agreed' according to the national culture in the educated writing of many world-languages. A GDR term such as *Abgrenzen* (refusal to compromise with non-socialist policies), though it is a pragmatic 'hot potato', can usually be safely translated without any of the three points of view (the transmitter's, the receptor's, the translator's) obtruding on the message. For Jäger (1975), the 'pragmatic element' is what transforms a 'semantic' (i.e. cognitive) into a 'functional' (i.e. communicative) translation--like most of the linguistic theorists, he only accepts the validity of communicative (his 'functional') translation and implicitly downgrades semantic translation.

[...]

One would normally expect to translate serious literature (high art) semantically, but one has to bear in mind that all art is to a greater or lesser extent allegorical, figurative, metaphorical and a parable, and therefore has a communicative purpose. Figurative language only becomes meaningful, if it is recreated in the metaphors of the target language and its culture, or, if this is not possible, reduced to its sense. In the case of minor literature that is closely bound to its period and its culture (short stories in particular), semantic translation will attempt to preserve its local flavour -- dialect, slang and cultural terms (*mots-témoins*) will present their own problems. In the case of works with universal themes (e.g. love lyrics) and a background that is similar for SL and TL (say, in ecology and living conditions), there is no reason why a basically semantic translation should not also be strongly communicative. Bible translation should be both semantic and communicative, although the 'modern' preference (Schwarz, 1970) for 'philological' as opposed to 'inspirational' translation has for long moved away from studies which regarded the text as inspired and untouchable. Nida has shown in his many books that the TL reader can only accept the geographical and historical remoteness of the cultural background being presented to him, if that behaviour itself and all imagery connected with it is recast in his own (modern) culture. In fact, as the myths recede and less knowledge can lie communicative, with the omission of technical terms, dialect and slang, and directed at increasing numbers of less-well-read people. Again, the immediate communicative importance of drama is usually greater than that of poetry or of serious fiction, and for this reason adaptations (where characters and milieu are transferred) are sometimes made,

whilst they are almost unknown in the novel. However, in the most concentrated drama (Shakespeare, Chekhov) the essence of which is that words are packed or charged with meaning, semantic takes precedence over communicative equivalence, since the translator assumes that the dramatist has made use of his inventive resources to give his language communicative potential; it is now the translator's task to extract the utmost semantic equivalence from the original. Again, where the medium (i.e. the form) is as important as the message, and the peoples of the two language cultures can normally say the same things using different words, the two elements fuse.

It is not always possible to state which is the better method to use for a particular text. In a mainly informative text, the section containing recommendations, instructions, value-judgements, etc. may be translated more communicatively than the descriptive passages. Where language is used to accompany action or as its symbol (speech-acts), it is treated communicatively, whilst definitions, explanations, etc. are semantic. 'Standardized language' must always be translated communicatively, whether a standardized equivalent exists or not, even if it appears in a novel or a quotation, unless the term is used descriptively rather than operatively in the original text.

Normally in communicative translation it is assumed that the readers of the translation identify with those of the original. However, this is unlikely when elements of the source language culture or of the source language itself are discussed in the text. Nevertheless, 'communication' is as important here as in a text where the subject-matter is of general interest. Where, say, an institution of the SL community is being described, a special meaning of a SL word is used or the double meaning of a homophone or homonym is being exploited, the translator, if he thinks the point sufficiently important, has to render the author's message communicatively and also address himself independently to the TL reader; in short, he has to 'make' the pun as well as explain it. He has to assess (a) the extent of his reader's knowledge of and interest in the relevant aspect of the source language or culture, (b) the text's level of specialism, if he is writing for the general reader, he may be able to achieve his purpose by transcribing the appropriate new SL terms unlikely to be familiar to his reader and adding their approximate cultural equivalents (e.g. *Fachhochschule* or 'polytechnic'). If the terms are not likely to recur, he may decide not to transcribe them. If the text is specialized, the translator may wish to give his reader all possible information including the transcription, the cultural equivalent, the encyclopaedic definition within the source culture and the literal translation of any new term on the first occasion of its use. He may even propose a 'translation label', i.e. a word used in a new sense, provided he states that he is doing so, and he believes the object or concept is likely to recur in the TL usage. (Thus *Volksrat*, second chamber, regional assembly in GDR, cf. *Bundesrat* in FRG, People's Council, National Council.) Or again, if 'Flying planes can be dangerous' is to be translated, the double meaning has to be explained in the TL with SL illustrations. All that is lost is vividness. Finally, whilst ambiguity, polysemy, word-play, etc. in literary works have to be reproduced as best they can in the TL only (in poetry and plays it is a 'hit or miss' procedure---in prose fiction there is room for brief expansion), such facts of language when discussed in non-literary works (e.g. on language, criticism, psychology) must be fully reproduced in the SL and explained in the TL. This has been superbly done by James Strachey in his translation of Freud's *Jokes and their Relation to the Unconscious* (1975) (his introduction contains valuable comments). The book had been previously translated by A. A. Brill as *Wit and Its Relation to the Unconscious* and many examples of word-play replaced by analogous English 'equivalents', a spurious procedure, since the translator gave no evidence of any patient ever having made such word-slips or puns in English.

[...]

Legal documents also require a special type of translation, basically because the translator is more restricted than in any other form. Every word has to be rendered, differences in terminology and function noted, and as much attention paid to the content as to the intention and all possible interpretations and misinterpretations of the text -- all legal texts are definitions, Adorno noted -- thus the semantic aspect; nevertheless, the standard format, syntax, archaisms,

as well as the formal register of the TL, must be respected in dealing with documents that are to be concurrently valid in the TL community (EEC law, contracts, international agreements, patents) -- hence the communicative aspect. Legal documents translated for information purposes only (foreign laws, wills, conveyancing) have to be semantically translated.

A semantic translation attempts to recreate the precise flavour and tone of the original: the words are 'sacred', not because they are more important than the content, but because form and content are one. The thought-processes in the words are as significant as the intention behind the words in a communicative translation. Thus a semantic translation is out of time and local space (but has to be done again every generation, if still 'valid'), where a communicative translation is ephemeral and rooted in its context. A semantic translation attempts to preserve its author's idiolect, his peculiar form of expression, in preference to the 'spirit' of the source or the target language. It relates to Bühler's 'expressive' function of language, where communicative translation responds to the representational (*Darstellung*) and vocative (*Appell*) functions. In semantic translation, every word translated represents some loss of meaning (e.g. the loss of sound and rhythm in the word-for-word translation of the De Gaulle speech previously quoted), where in communicative translation the same words similarly translated lose no meaning at all. The syntax in semantic translation which gives the text its stresses and rhythm -- the 'foregrounding' as the Prague School calls it -- is as sacred as the words, being basically subject only to the standard transpositions (Vinay and Darbelnet) or shifts (Catford) from one language to another. There is a constant temptation, which should be resisted, to transcribe the terms for key-concepts or theme words.

The closer the cultural overlap between the two languages -- this overlap being more important than the structural affinity or the geographical propinquity of the two languages, but the translator's empathy being the most important factor of all -- the closer, therefore better, the translation is likely to be. This applies particularly to legal and administrative texts, where the names of institutions peculiar to one national community are frequently not translated, unless they are also important in the TL's culture or are transparently translatable, whilst the names of institutions with easily identifiable TL cultural equivalents form part of each language's readily 'convertible' 'translation stock' (Rabin, 1966). In communicative translation, however, the 'message' is all important, and the essential thing is to make the reader think, feel and/or act. There should be no loss of meaning, and the aim, which is often realized, is to make the translation more effective as well as more elegant than the original. A communicative translation works on a narrow basis. It is 'tailor-made' for one category of readership, does one job, fulfils a particular function. A semantic translation is wide and universal. In attempting to respond to the author, living or dead, it addresses itself to all readers, all who have ears to hear, or just to Stendhal's 'happy few'.

[...]

There is a certain parallel between, on the one hand, communicative and semantic translation, and on the other the universalist and the relativist these of language and the various gradations between them.

Taken to their extremes, the universalist thesis is that since men have common thoughts and feelings, they should have no difficulty in communicating with each other, whatever language they use. The relativist thesis is that men's thoughts and feelings are predetermined by the various languages hence cultures they are born into, and therefore communication is not possible.

Communicative translation assumes that exact translation may be possible and may be perfect. It always reads like an original and it must, as Nida stresses, sound 'natural'. If the original is a complex technical or institutional text, it may be as difficult as an 'expressive' text, but the difficulty will reside either in the obscurity (usually the bad writing) of the text or the lack of equivalent technical institutional terms in the target language. With all this, the translator has a *message* to convey, and a message always can be conveyed. Basically this is a 'universalist' position.

On the other hand, complete meaning or significance whether of word, sentence or text, can hardly ever be transferred. In approaching an 'expressive' text, the translator's position is relativist. I do not think it is 'ultra-Whorfian', as Steiner(1978) misleadingly suggests, since we are entering the separate individual 'language-world' of *one* person, not of a whole ethnic group. (Steiner confuses the two.) Nevertheless, here the form of the text is important, and presents its own difficulty. (Some writers have said that where the form of a text is part of the message, translation is 'impossible'.) This has the same rather banal and meaningless truth as the 'opposite' pronouncement that one should translate as the original writer would if he had all the means of the contemporary TL at his disposal -- which, however, is a valid argument for playing Mozart's piano concertos with a piano rather than a fortepiano! Since the form of the text is important, semantic translation may well not read like an original TL text, but given the 'bands' of semantic translation, this is far from being a prescription. In any event, semantic translation will read like original writing -- whether in the source or target language is largely irrelevant.

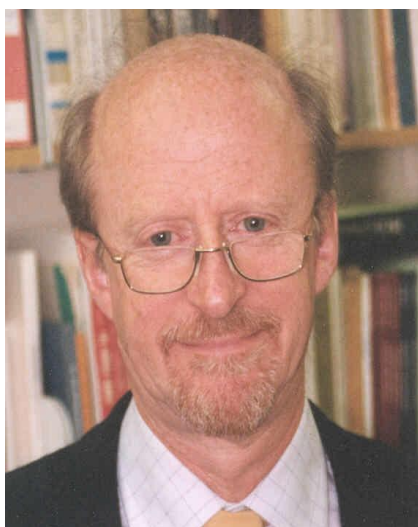
---- Peter Newmark, *Approaches to Translation*⁸²

94. (英) 巴兹尔·哈蒂姆

Basil Hatim

和伊恩·梅森

Ian Mason:



Professor Ian Mason

生平及重要译论:

巴兹尔·哈蒂姆(又译巴斯姆、哈特姆、哈廷姆) Basil Hatim 和伊恩·梅森 Ian Mason, 英国当代著名翻译理论家, 英国爱丁堡赫里奥特—瓦特大学(Heriot-Watt University, Edinburgh, UK) 苏格兰翻译研究中心(Centre for Translation and Interpreting Studies in Scotland, CTISS) 语言学教授, 哈蒂姆则是该大学阿拉伯语研究中心主任, 著名的篇章语言学领域的理论家和学术带头人, 也是翻译的交际理论派代表人物之一。他们的主要研究方向是政治性论文、语篇及相关的跨文化方向的问题。

哈蒂姆和梅森的代表作是《语篇与译者》(*Discourse and the Translator*, 1990)。他们还合著过《作为交

际者的译者》(The Translator as Communicator, 1997)。此外,哈蒂姆还著有《跨文化交际——对比语篇语言学与翻译理论》(Intercultural Communications: Contrastive Text Linguistics and Translation Theory, 1996)、《跨文化交际——翻译理论与对比语篇语言学》(Communication Across Cultures---Translation Theory and Contrastive Text Linguistics, 1997)和《实用翻译语篇语言学指南》(Practical Text Linguistic Guide to Translation, 1996),梅森还著有《对话口译》(Dialogue Interpreting, 1999)及大量关于翻译理论的论文。

哈蒂姆和梅森在其《语篇与译者》中详尽地论述了译者进行语篇选择的各种因素。他们认为,一切文本都可以视为在特定背景下进行的交际活动,所以翻译活动也应被视为是“在某种社会语境中进行的交际过程”。(哈蒂姆和梅森,1990: 3)在这一交际活动中,译者需要具有双语能力和双文化的视野,扮演着跨文化交际的协调人(mediator)。这一翻译定义导致了对语境研究的重视。哈蒂姆和梅森将语境分为三个层面:1)交际层面(communicative dimension),研究的是语言变体产生的条件;2)语用层面(pragmatic dimension),研究的是言语行为、意图等;3)符号层面(semiotic dimension),研究的是整个符号系统中的交际实体及其语用含义。(参阅下面的“译论史稿辑要”)

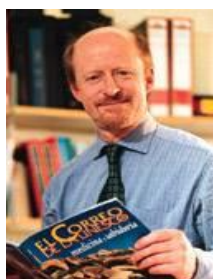
哈蒂姆和梅森还对连贯与翻译的关系做了专题论述,从语篇结构(text structure)与翻译、指称性(reference)与翻译和主位推进模式(thematic progression)与翻译三个方面对翻译的动态交际过程及译者在原作者与译文读者之间的协调者(mediator)的作用进行了分析。他的语篇分析理论不再将翻译视为单纯的语际转换,从而进一步推进了奈达和卡特福德的语言学翻译理论。

哈蒂姆和梅森对于译者的翻译作品对于社会可能产生的含义曾这样说道:

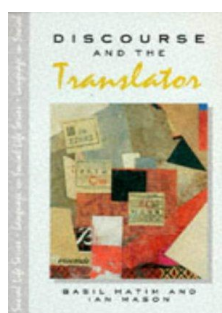
用苏格兰口音来表现俄罗斯农民的语言.....会使人感到苏格兰语音与某种低下的社会地位相关.....译者必须和导演与作者一样,时刻警觉自己的选择可能带来的社会含义。⁸³

在《跨文化交际——翻译理论与对比语篇语言学》一书中,哈蒂姆还对“规约性交际”(Institutional Communicative Transaction)、“语用行为”(Pragmatic Action)和“符号互动”(Semiotic Interaction)三种语境成分对于语篇类型、语篇结构和语篇组织的作用作了较为系统的阐述。哈蒂姆将语篇类型分为说明文和论证文两类。就语篇结构而言,对语篇结构从段落划分、嵌入主文本中的次文本的作用等方面进行探讨,对于语篇组织则从文本的主谓递进、句间衔接手段、直接引语与间接引语等角度进行探讨。

史料图片选辑:



Professor Ian Mason



Basil Hatim and Ian Mason

Discourse and the Translator

译论史稿辑要:

(1)

Meanwhile, interesting developments are taking place in the world of theoretical studies. The gap between theory and practice in translation studies has existed for too long. Now, thanks to work being done in several different but

related areas, there is an opportunity to narrow that gap. Recent trends in sociolinguistics, discourse studies, pragmatics and semiotics, together with insights from the fields of artificial intelligence and conversation analysis, have advanced our understanding of the way communication works. The relevance to translation studies of all of this is obvious as soon as translation is regarded not as a sterile linguistic exercise but as an act of communication. This, then, is our aim: to relate an integrated account of discourse processes to the practical concerns of the translator. In so doing, we hope also to be able to provide pointers to areas for further research. For there is much that remains to be done. Studies in cross-cultural communication and in contrastive discourse linguistics are, relatively speaking, still in their infancy. But it is this very fact which provides a note of optimism for the future. The way is now open for fruitful analysis of translation processes. It is our hope that, in some small measure, we have been able to make a contribution to this important area of applied linguistics research.

---- Basil Hatim and Ian Mason, *Discourse and the Translator*⁸⁴

(2)

Aids to translators are improving all the time, but the basic problems faced by translators in their work remain the same. In broad and general terms, these can be listed as follows:

1. Comprehension of source text:
 - (a) parsing of text (grammar and lexis)
 - (b) access to specialised knowledge
 - (c) access to intended meaning.
2. Transfer of meaning:
 - (a) relaying lexical meaning
 - (b) relaying grammatical meaning
 - (c) relaying rhetorical meaning, including implied or inferrable meaning, for potential readers.
3. Assessment of target text:
 - (a) readability
 - (b) conforming to generic and discoursal TL conventions
 - (c) judging adequacy of translation for specified purpose.

As a specification of the cognitive and linguistic tasks carried out by the translator, this list is simplified and incomplete. The full range of processing activities deployed in translating will, we hope, become clear as our study proceeds in later chapters. But for the moment, our checklist will serve as a guide to the points on which linguistic theory might be expected to be of relevance to translation practice.

The emergence of linguistics as a new discipline in the twentieth century brought a spirit of optimism to the pursuit of language study, a feeling that the groundwork was at last being laid for a systematic and scientific approach to the description of language. Insights into the way language functions as a system might be expected to shed light on -- and perhaps provide solutions to -- the kinds of language problems experienced in social life. Many areas of social life called for investigation from a linguistic standpoint: the teaching of modern languages, the treatment of language disorders, the role of language in education, the status and treatment of minority languages, language planning policy in emergent nations and, of course, translation.

---- Basil Hatim and Ian Mason, *Discourse and the Translator*⁸⁵

(3)

THE THREE DIMENSIONS OF CONTEXT

The problem with register analysis, then, is that the insights which it affords into the **communicative** dimension of

context, valuable as they are, are not in themselves sufficient. As we have seen, a further dimension of context can be distinguished. It is the **pragmatic** dimension which builds into the analysis values relating to the ability to 'do things with words'. There is, however, a third dimension which we shall call **semiotic**-treating a communicative item, including its pragmatic value, as a sign within a system of signs.

(4)

Seeing the meaning of texts as something which is negotiated between producer and receiver and not as a static entity, independent of human processing activity once it has been encoded, is, we believe, the key to an understanding of translating, teaching translating and judging translations.

---- Basil Hatim and Ian Mason, *Discourse and the Translator*⁸⁶

(5)

Pragmatics and translation

[...]

Speech acts

Speech acts are the acts we perform when, for example, we make a complaint or a request, apologize or pay someone a compliment. The pragmatic analysis of speech acts sees all utterances in terms of the dual function of 'stating' and 'doing things', of having a meaning and a force. An utterance, in this view, has:

- (a) a **sense** or reference to specific events, persons or objects
- (b) a **force** which may override literal sense and thus relay added effects such as those associated with, say, a request or admonition
- (c) an overall **effect** or consequence which may or may not be of the kind conventionally associated with the linguistic expression or the functional force involved.

For example, *shut the door* is in a sense an imperative that could conceivably carry the force of a request, which in turn could be used simply to annoy the hearer. To these three aspects of message construction, Austin (1962) assigned the labels **locution**, **illocution** and **perlocution**, respectively.

In translation and interpreting, these distinctions have proved extremely important, particularly when force departs from conventional sense, or when the ultimate effect defies the expectations based on either facet. In pragmatics-oriented models of the translation process, the assumption generally entertained has been that the act of translation itself can be viewed as an attempt at the successful performance of speech acts. In their quest to achieve 'sameness of meaning', it has been argued, translators constantly attempt to re-perform locutionary and illocutionary acts in the hope that the end-product will have the same perlocutionary force in the target language (Blum-Kulka 1981). Actual examples of pragmatics at work in the general domain of translation can be found in Baker (1992).

As far as interpreting is concerned, cases of communication breakdown due to misinterpretation of speech acts have also featured prominently in the literature. To take one practical example, in response to the question *What were the contents of the letter you handed to King Fahad?*, a Tunisian minister is reported to have replied rather curtly what should have been interpreted as 'This is a matter solely for the Saudis to consider.' Not aware of the pragmatic meaning involved, the interpreter rendered the original Arabic sentence literally as *This matter concerns the Saudis*. The statement was obviously intended to carry the pragmatic gloss 'Do not pursue this line of questioning any further', a meaning which the English journalist would have no doubt appreciated. However, lured by the kind of inviting answer he received through the interpreter, the journalist did pursue the initial line of questioning, only to be rebuked the second time round (Hatim 1986; Hatim and Mason 1997).

In assessing the potential of speech act analysis, translation theorists shared some of the misgivings expressed by critics of speech act theory. The theory was primarily more concerned with combating alternative philosophical views

than with attending to the practical aspects of dealing with language use in natural situations. Naturalness is a key term for the practising translator or interpreter, and actual use of language can and does throw up different kinds of problems from those that speech act theory would wish us to focus on. For example, there is a huge difference between acts such as 'promising' or 'threatening', on the one hand, and more diffuse acts such as 'stating' or 'describing' on the other. Yet, both lists are merged under the single heading of 'illocutionary force' (cf. Searle 1969; see critique in de Beaugrande's 1978 study of poetic translating).

Appropriateness conditions beyond the single speech act

In attempting to apply speech act theory to translation and interpreting, mainstream translation theorists soon became aware of the fact that a text is not a one-dimensional, linear succession of elements glued one to the other evenly; rather it is a complexly constructed edifice with some elements enjoying a higher communicative status, some a less prominent one, within an emerging, evolving hierarchical organization (de Beaugrande 1978). It is this insight into the way texts are perceived which underpins an influential body of work on the extension of speech act analysis. Both theoretically and in various domains of applied pragmatics, it has been demonstrated that the interpretation of speech acts depends crucially on their position and status within sequences. The variation in status which underlies the interrelationship of speech acts within sequences leads to the notion of the **illocutionary structure** of a text, determining its progression and defining its coherence (Ferrara 1980).

In translation studies, it is now accepted that what needs to be relayed in the normal course of events is this overall picture and not a series of unstructured sequences whose equivalence in the target language is determined piecemeal (i.e. speech act for speech act). This sequence-oriented, global view of the force of action has been made possible by the emergence in pragmatics of the notion of the text act. Here, the force of a given speech act is assessed not only in terms of its contribution to the local sequence in which it is embedded, but also in terms of the contribution it makes via the local sequence to a more global sequence enveloping the entire text (Homer 1975).

In an attempt to extend the analysis beyond the individual speech act, there has been a considerable shift of focus in the analysis of the translation process and entire text formats began to be considered from the view point of pragmatics. For example, argumentative texts have been found to display a global problem-solving structure, with the problem section being typically 'assertive' in its illocutionary value, and the solution section typically 'directive'. Such global characterizations are informed by both functional and hierarchical criteria governing the various speech acts involved, and ought to be heeded in their globality by the translator (Tirkkonen-Condit 1986).

In text type-oriented translation studies, a major issue addressed has been that of the indeterminacy which a particular speech act can exhibit and which can only be resolved by reference to the global organization of the text. For example, describing a given peace plan as *slightly* better than the previous ones could pragmatically mean 'only slightly and therefore negligibly better' or 'appreciably better', depending on whether the overall stance is pro- or anti-plan. The initial sequence is indeterminate and is settled only when we subsequently read *there are reasons for hope*. There are languages, such as Arabic, which have to mark such distinctions, and where a number of alternative lexico-grammatical structures are available to cater for the alternative readings involved (Hatim and Mason 1990, 1997).

Implied meaning and the Cooperative Principle

One of the basic assumptions of pragmatic analysis is that, in communication, being sincere is a social obligation (Austin 1962; Searle 1969). However, language users can evoke and interpret implied meanings by leaving certain things unsaid (as speakers) or interpreting what is said against the background of what could have been said (as hearers). Given this potential for generating and retrieving meanings other than those that are stated explicitly, Grice (1975) attempted to account for where, how and why the smooth ongoingness of interaction is intentionally thwarted, leading to various kinds of **implicature**. He stipulated a **Cooperative Principle** which guides human interaction on

the basis of a number of Maxims to which language users conventionally adhere, unless there is a good reason for them not to do so. These Maxims are **Quantity** (Make your contribution as informative as is required), **Quality** (Do not say that for which you lack adequate evidence), **Relevance** (Be relevant), and **Manner** (Be communicatively orderly). The Maxims, Grice argued, may be obeyed or disturbed, and disturbance can take the form of flouting or disobeying the rules in a motivated, deliberate manner.

The notion of implicatures raising from the deliberate flouting of the cooperative Maxims has proven particularly helpful to practising translators and interpreters. In purely receptive terms, appreciation of implied meaning facilitates comprehension which would otherwise be blurred. In terms of re-producing the message in the target language, on the other hand, the meanings which are implied and not stated could be the last court of appeal in assessing adequate equivalence. This last point is particularly relevant in working with languages which are both culturally and linguistically remote from each other, where different pragmatic means may have to be opted for to achieve a given ultimate effect.

Within this cross-cultural domain of pragmatic analysis as applied to translation, a plausible assumption entertained for some time now has been that, by examining the various rules that govern successful performance in any given language, it might be possible to make predictions regarding the possibility or otherwise of reconstructing the same indirection in another language (Blum-Kulka 1981). A case that springs to mind here is that, through failure to assess the effectiveness of target renderings in preserving implied meanings in the source text, Edward Said's *Orientalism* (1978) has certainly lost much of its irony in the published translation into Arabic (Hatim, 1997). For example, in the source text element *if these facts are facts*, at least one maxim has been flouted, that of Quality, with the resultant implicature in the relevant context of 'who is Balfour kidding, it is a pack of lies'. In the Arabic translation, a literal rendering is opted for and a similar maxim is ostensibly flouted in the hope that an equivalent implicature would result. Regrettably, this has not been the case, and the pragmatic procedure adopted simply misfired. In such a context, flouting Quality could only produce the opposite effect in Arabic, i.e. achieving emphasis and leading to a statement of conviction. To ensure that sarcasm, irony, etc. are optimally preserved, the translator could have more felicitously flouted the maxim of Quality (by being unnecessarily verbose).

Politeness and implicature

Motivated disobedience of any Maxim within the Cooperative Principle, then, gives rise to implicatures. Obeying the maxims, however, does not necessarily guarantee that implied meanings will not be generated. 'Implying' as opposed to 'explicitly stating' is possible even when a given maxim is adhered to, provided such adherence is opted for in contexts where non-adherence would be the expected norm. One such context may be illustrated by the following example from Act I of Bernard Shaw's *You Never Can Tell* (1898), analysed in Leech (1992: 262-3).

DENTIST: .. Why didn't you let me give you gas?

YOUNG LADY: Because you said it would be five shillings extra.

DENTIST: [shocked] Oh, don't say that. It makes me feel as if I had hurt you for the sake of five shillings.

YOUNG LADY: [with cool insolence] Well, so you have.

Typical of Dolly's bluntness of character, the Maxim of Quality is meticulously adhered to and truth is valued no matter what. It is speaking the truth when a white lie would do, however, that in its own way constitutes a flouting of some principle or other giving rise to an implicature all the same. What is being flouted here are norms of politeness, which sanction flouting Quality as a norm and deem not doing so a deviation from acceptable social behaviour (Leech 1992).

This and similar examples raise important questions for a translation theory that seeks to confront cross-cultural

pragmatics and account for the problems thrown up by this particular area of language use. In translating a play like Shaw's into Arabic or Japanese, for example, the hypothesis widely accepted in pragmatically-oriented theories of translation is that the more language-bound the roles governing the performance of any indirect speech act, the lower the degree of translatability (Blum-Kulka 1981).

Relevance in translation

Gutt (1991) tries to describe translation in terms of a general theory of human communication. This builds on the basic premise that the ability of human beings to infer what is meant may be accounted for in terms of observing the principle of **relevance**, defined as achieving maximum benefit at minimum processing cost. Two basic kinds of language use are distinguished: **descriptive** use, involving reference only to entities in the real world, and **interpretive** use, involving reference to entities as well as to thoughts and expressions of thought. Gutt suggests that translation is an instance of interpretive use and that translations seek to resemble their originals interpretively. Translation is constrained by the principle of relevance in the sense that

If we ask in what respects the intended interpretation of the translation should resemble the original, the answer is: in respects that make it adequately relevant to the audience -- that is, that offer adequate contextual effects; if we ask how the translation should be expressed, the answer is: it should be expressed in such a manner that it yields the intended interpretation without putting the audience to unnecessary processing effort.

(Gutt 1991: 101-2)

Serious reservations about the value of relevance theory in translation have been expressed by a number of scholars (e.g. Tirkkonen-Condit 1992, Malmkjær 1992, Thomas 1994) on a number of grounds, including the vexed question of how and by whom the various 'rankings of relevance' are to be determined in particular contexts of translation. But, perhaps a more relevant objection to Gutt's proposals relates to the contribution of *SKOPOS* THEORY, which Gutt seems to undervalue. According to this theory, translations have sets of hierarchically-ordered purposes (*skopoi*). It is these purposes, one variant of which may be the instructions attached to a request for translation, that determine the translation procedures and ultimately the process itself (Reiss and Vermeer 1984). Tirkkonen-Condit (1992) questions Gutt's reliance on a general principle of relevance and asks: by what criteria, other than hierarchization of purposes, can a translator decide what must be retained and what can be legitimately sacrificed? *Skopoi*, together with culture-specific conventions recognized by a given language community, are now seen as an important framework within which what readers expect of a translation is to be determined, making it incumbent on the translator to be loyal to the target audience by telling them why and how their expectations are defied when they are (Nord 1991b).

--- Basil Hatim, "Pragmatics and translation"⁸⁷

(6)

Communicative/functional approaches

The terms **communicative** and **functional** group together a variety of approaches to translation. Sometimes loosely used and not always defined, they broadly represent a view which refuses to divorce the act of translating from its context, insisting upon the real-world situational factors which are prime determinants of meaning and interpretation of meaning.

We may distinguish three main strands of thinking which have influenced this perspective on translation:

(a) the functionalist views of the British tradition in linguistics, stemming from J.R. Firth and continuing in the work

of J. Cafford, Michael Gregory, Michael Halliday and others

- (b) the notion of communicative competence developed originally by Dell Hymes in response to the Chomskyan view of language competence
- (c) within translation studies, a tradition stemming from Karl Bühler, which sees judgements about the communicative purpose/*skopos* (Reiss and Vermeer) or set of functions (Nord) of the act of translating as lying at the root of translators' decisions (see *SKOPOS THEORY*).

[...]

Language function, text function, translation function

There have been many attempts to classify the functions of language. Among the most influential formulations are those of Bühler (1934), Jakobson (1960) and Halliday (1973). Bühler's *Darstellungsfunktion*, *Ausdrucksfunktion* and *Appellfunktion* refer, respectively, to the representation of objects and phenomena, the attitude of the text producer towards such phenomena, and the appeal to the text receiver. These three functions correspond broadly to Jakobson's Referential, Expressive and Conative functions, although the latter additionally distinguishes Phatic (the use of language to create and maintain social contact), Metalingual and Poetic functions. Halliday distinguishes three macrofunctions: the ideational (representation of experience), the interpersonal (the speaker's intervention in the use of language and the expression of attitude) and the textual (the speaker's potential for constructing coherent text). There is, then, a degree of consensus among these alternative formulations. It is on the basis of Bühler's typology that Reiss (e.g. 1976) distinguishes between the informative text, the expressive text and the operative text, each calling for particular sets of skills and strategies on the part of the translator. There can be no doubt that language functions impinge significantly on the translator's task of relaying values from source text to target text. As Roberts (1992) points out, however, it is important to distinguish between language function and text function. No actual text will exhibit only one language function. In fact, all texts are multifunctional, even if one overall rhetorical purpose will generally tend to predominate and function as the ultimate determinant of text structure (Hatim and Mason 1990).

It is further necessary to consider the function not just of language and (source) text but also of the translated text; the reasons for commissioning or otherwise initiating a translation are independent of the reasons for the creation of any particular source text. It is in this sense that the *SKOPOS THEORY* of Reiss and Vermeer (1984) is to be understood. The function of the translated text, including the institutional factors surrounding the initiation of the translation, is a crucial determinant of translators' decisions. In this functional view of translation, any notion of equivalence between a source text and a target text is subordinate to the *skopos*, or purpose which the target text is intended to fulfil. Adequacy with regard to *skopos* then replaces EQUIVALENCE as the standard for judging translations. In a similar vein, Holz-Mänttari (1984) views translation as intercultural ACTION in which the goals of the action are both the recipient of the translation and the specific function the translation is to fulfil. Nord (1993: 9) introduces the further distinction that it is not the text in itself which has a function; rather, a text acquires its function in the situation in which it is received.

---- Ian Mason, "Communicative/functional approaches"⁸⁸

95. (英) 苏珊·巴斯奈特
Susan Bassnett



Susan Bassnett

生平及重要译论

苏珊·巴斯奈特（又译苏珊·巴斯尼特）Susan Bassnett，当代英国最有影响的文化翻译论者，著名诗人、文化学家、翻译家和翻译理论家，英国沃里克大学（University of Warwick）英国文化和比较文化研究中心教授，沃里克大学校长，英国国家委员会英国研究顾问委员会主席。出生于英国，曾在丹麦、葡萄牙和意大利留学，获意大利语和英语文学学士、法语哲学博士，精通英语、意大利语、法语、西班牙语，也熟悉德语、葡萄牙语及拉丁语、丹麦语、捷克语等，曾在包括中国在内的二十多个国家的著名大学任教。

巴斯奈特的研究范围包括比较文学、戏剧、妇女文学、女权主义批评、后殖民主义理论等。她将翻译纳入文化研究的范畴，以此提出关于翻译的性质、功能、译者的地位、翻译与文化及亚文化的关系的新观点。她与勒菲弗尔是翻译的“文化学派”的代表人物，在两人合著的《翻译，历史与文化》一书中共同提出著名的“翻译的文化转向”口号，将“翻译研究派”的研究推到了一个新的发展阶段，取得突破性成就。

巴斯奈特著述甚丰（40 余部专著与编著，非英语译本及二十余部译作未包括在内），其代表作为享誉世界的专著《翻译研究》（*Translation Studies*, 1980; 2nd edition: 1991; 3rd edition: 2002）。此外影响较大的著作还有与勒菲弗尔合著的《翻译，历史与文化》（*Translation, History and Culture*, 1990）、与根茨勒主编的《翻译研究丛书》（*Translation Studies*）和《翻译主题丛书》（*Topics in Translation*），以及《比较文学浅论》（*Comparative Literature: A Critical Introduction*, 1993）、《建构文化》（*Cultures: An Introduction*, 1997）、《后殖民主义翻译》（*Postcolonial Translation*, 1999）、《英国文化研究——入门》（*Studying British Cultures: An Introduction*, 2nd edition, 2003）等。

《翻译研究丛书》是巴斯奈特翻译观的总结。巴斯奈特全面回顾了自 80 年代以来的翻译研究的历史，对翻译研究的成因、现状及前景作出分析和阐述，对翻译的基本问题如语义的分析、不可译性及等值论等进行了深入的探析，试图为翻译研究作为一门独立的学科规划出研究的基本范畴。

巴斯奈特对翻译与文学的关系及翻译的地位重新进行了思考：

在传统上，翻译研究在称之为‘比较文学’的这个无明确界限的准学科领域中占了小小的一席之地。但是，随着翻译研究发展成一门独立学科、并吸取语言文学的比较研究方法和文化史研究方法，我们现在应重新考虑比较文学和翻译研究的界限问题了。翻译一直是决定世界文化发展方向的一个主要的影响力。不考虑翻译，也就没有比较文学的研究。我俩曾多次提出，我们经过慎重考虑后特意要颠倒现状，并要大家重视翻译。也许，我们应该重新考虑比较文学的概念，并把比较文学纳入翻译研究的范畴，而不是把翻译研究纳入比较文学的范畴。⁸⁹

她进一步论证了翻译的学科性质并大胆地宣称翻译应该成为一门学科：

目前翻译学的蓬勃发展，证明了这门一向备受冷落的“边缘”学科的强大生命力。由于它利用了多种研究方法，已成为一门跨学科的学问，因此，改用“跨文化研究”（Intercultural Studies）之类的名称，也许更加贴切。此外，现在已很难再把翻译学视为比较文学的一个分支了，因为“比较文学”这个名词现在已没有多少意义（其实从一开始就没有多少意义），而且，翻译学是一门朝气蓬勃的学问，而依赖结构主义的比较文学则正江河日下。⁹⁰

她继续说道：

比较文学还在争论自己是不是一门学科，翻译学则已勇敢地宣布自己是一门学科，而世界各地的翻译学已形成了强大的队伍，取得了丰硕的成果，看来已证实它的确是一门学科。因此现在应该重新研究比较文学与翻译学的关系，迎接新的开始了。⁹¹

她甚至还认为翻译学不是一般的学科：

从现在起，我们应该把翻译学视为一门主要学科，并把比较文学视为其中的一个由价值的研究范围。⁹²

巴斯奈特将翻译研究分为四类：1）翻译史的研究；2）翻译与译语文化关系的研究；3）翻译与语言学的研究；4）翻译与诗学的研究。

巴斯奈特认为翻译有四类功能：1）促进文学发展，因此翻译史也是文学发展史的组成部分；2）影响译入文化对外来文化规范的吸收；3）促进两种语言的比较研究；4）从理论上和实践上促进整个文学翻译的形成。

巴斯奈特非常强调译者的主导地位。她认为不应该将原文视为主导从而将译文和译者置于从属的地位。她主张只要能做到译文与原文的功能对等，译者便可以予以必要的增删，从而为译文和译者确立了主导地位，由此将翻译理论又向前推进了一步。受加拿大女权主义翻译思想的影响，巴斯奈特在《翻译，历史与文化》一书的前言中这样描绘翻译与译者：

虽然从理想的角度来说，翻译可看成是两种不同的文字或文字背景之间的美满婚姻，使得两者和谐相处，同甘共苦，但是实际上翻译的进行是呈垂直轴线而非水平轴线的。换句话说，翻译者要么把译品提升至原文与原作者的水平，要么把目的语的文化看得更高，于是就完全让原作去适应它。这后一种情形在今天是经常发生的，特别是当译者所处理的篇章与现在有相当大的时空距离时，情形更是如此。

巴斯奈特与勒菲弗尔的文化翻译观为翻译研究开辟了一个新的领域，随之兴起了翻译的文化研究热，同时也对文化研究提出了挑战。巴斯奈特认为，迄今为止，翻译研究已经实现了文化转向，现在应该是文化研究朝着翻译研究转向的时候了。同时，文化研究和翻译研究则倾向于朝着合作方法的方向发展。⁹³

史料图片编辑：



Susan Bassnett:

Translation Studies

译论史稿辑要:

(1)

The development of Translation Studies in the 1990s can best be seen as the establishment of a series of new alliances that brought together research into the history, practice and philosophy of translation with other intellectual trends. The links between Translation Studies and post-colonial theory represent one such alliance, as do the links between Translation Studies and corpus linguistics. Another significant alliance is that between Translation Studies and gender studies. For language, as Sherry Simon points out, does not simply mirror reality, but intervenes in the shaping of meaning. Translators are directly involved in that shaping process, whether the text they are dealing with is an instruction manual, a legal document, a novel or a classical drama. Just as Gender Studies have challenged the notion of a single unified concept of culture by asking awkward questions about the ways in which canonical traditions are formed, so Translation Studies, through its many alliances, asks questions about what happens when a text is transferred from source to target culture.

The common threads that link the many diverse ways in which translation has been studied over the past two decades are an emphasis on diversity, a rejection of the old terminology of translation as faithlessness and betrayal of an original, the foregrounding of the manipulative powers of the translator and a view of translation as bridge-building across the space between source and target. This celebration of in-betweenness, which scholars from outside the field of translation have also stressed, reflects the changing nature of the world we live in. Once upon a time, it was deemed to be unsafe and undesirable to occupy a space that was neither one thing nor the other, a noman's-land with no precise identity. Today, in the twenty-first century, political, geographical and cultural boundaries are perceived as more fluid and less constraining than at any time in recent history and the movement of peoples across those boundaries is increasing. In such a world, the role of the translator takes on a greater significance. This is the reason why translation is so avidly discussed and in such demand. We have barely begun to imagine the potential for translation with the expansion of the World Wide Web. As electronic translation becomes more sophisticated, so Translation Studies will need to develop. It seems set to do so for the foreseeable future.

---- Susan Bassnett, *Translation Studies*⁹⁴

(2)

Since the early 1960s significant changes have taken place in the field of Translation Studies, with the growing acceptance of the study of linguistics and stylistics within literary criticism that has led to developments in critical methodology and also with the rediscovery of the work of the Russian Formalist Circle. The most important advances in Translation Studies in the twentieth century derive from the groundwork done by groups in Russia in the 1920s and subsequently by the Prague Linguistic Circle and its disciples. Vološinov's work on Marxism and philosophy,

Mukařovský's on the semiotics of art, Jakobson, Prochazka and Levý on translation (see Section 3) have all established new criteria for the founding of a theory of translation and have showed that, far from being a dilettante pursuit accessible to anyone with a minimal knowledge of another language, translation is, as Randolph Quirk puts it, 'one of the most difficult tasks that a writer can take upon himself.' That translation involves far more than a working acquaintance with two languages is aptly summed up by Levý, when he declares that

A translation is not a monistic composition, but an interpenetration and conglomerate of two structures. On the one hand there are the semantic content and the formal contour of the original, on the other hand the entire system of aesthetic features bound up with the language of the translation.

The stress on linguistics and the early experiments with machine translation in the 1950s led to the rapid development of Translation Studies in Eastern Europe, but the discipline was slower to emerge in the English-speaking world. J.C. Catford's short study in 1965 tackled the problem of linguistic untranslatability (see pp. 32-7) and suggested that

In *translation*, there is substitution of TL meanings for SL meanings: not transference of TL meanings into the SL. In *transference* there is an implantation of SL meanings into the TL text. These two processes must be clearly differentiated in any theory of translation.

He thus opened a new stage of the debate on translation in English. But although his theory is important for the linguist, it is nevertheless restricted in that it implies a narrow theory of meaning. Discussion of the key concepts of equivalence and cultural untranslatability (see Section 1) has moved on a long way since his book first appeared. Since 1965, great progress has been made in Translation Studies. The work of scholars in the Netherlands, Israel, Czechoslovakia, the Soviet Union, the German Democratic Republic and the United States seems to indicate the emergence of clearly defined schools of Translation Studies, which place their emphasis on different aspects of the whole vast field. Moreover, translation specialists have benefited a great deal from work in marginally related areas. The work of Italian and Soviet semioticians, developments in grammatology and narratology, advances in the study of bilingualism and multilingualism and child language-learning can all be utilized within Translation Studies.

Translation Studies, therefore, is exploring new ground, bridging as it does the gap between the vast area of stylistics, literary history, linguistics, semiotics and aesthetics. But at the same time it must not be forgotten that this is a discipline firmly rooted in practical application. When André Lefevere tried to define the goal of Translation Studies he suggested that its purpose was to 'produce a comprehensive theory which can also be used as a guideline for the production of translations', and whilst some may question the specificity of this statement, his clear intention to link theory with practice is indisputable. The need for systematic study of translation arises directly from the problems encountered during the actual translation process and it is as essential for those working in the field to bring their practical experience to theoretical discussion, as it is for increased theoretical perceptiveness to be put to use in the translation of texts. To divorce the theory from the practice, to set the scholar against the practitioner as has happened in other disciplines, would be tragic indeed.

Although Translation Studies covers such a wide field, it can be roughly divided into four general areas of interest, each with a degree of overlap. Two are *product-oriented*, in that the emphasis is on the functional aspects of the TL text in relation to the SL text, and two of them are *process-oriented*, in that the emphasis is on analysing what actually takes place during translation.

The first category involves the *History of Translation* and is a component part of literary history. The type of work involved in this area includes investigation of the theories of translation at different times, the critical response to

translations, the practical processes of commissioning and publishing translations, the role and function of translations in a given period, the methodological development of translation and, by far the most common type of study, analysis of the work of individual translators.

The second category, *Translation in the TL culture*, extends the work on single texts or authors and includes work on the influence of a text, author or genre, on the absorption of the norms of the translated text into the TL system and on the principles of selection operating within that system.

The third category *Translation and Linguistics* includes studies which place their emphasis on the comparative arrangement of linguistic elements between the SL and the TL text with regard to phonemic, morphemic, lexical, syntagmatic and syntactic levels. Into this category come studies of the problems of linguistic equivalence, of language-bound meaning, of linguistic untranslatability, of machine translation, etc. and also studies of the translation problems of non-literary texts.

The fourth category, loosely called *Translation and Poetics*, includes the whole area of literary translation, in theory and practice. Studies may be general or genre-specific, including investigation of the particular problems of translating poetry, theatre texts or libretti and the affiliated problem of translation for the cinema, whether dubbing or sub-titling. Under this category also come studies of the poetics of individual translators and comparisons between them, studies of the problems of formulating a poetics, and studies of the interrelationship between SL and TL texts and author-translator-reader. Above all in this section come studies attempting to formulate a theory of literary translation.

It would be fair to say that work in categories 1 and 3 is more widespread than work in categories 2 and 4, although there is little systematic study of translation history and some of the work on translation and linguistics is rather isolated from the mainstream of translation study. It is important for the student of translation to be mindful of the four general categories, even while investigating one specific area of interest, in order to avoid fragmentation.

There is, of course, one final great stumbling block waiting for the person with an interest in Translation Studies: the question of *evaluation*. For if a translator perceives his or her role as partly that of 'improving' either the SL text or existing translations, and that is indeed often the reason why we undertake translations, an implicit value judgement underlies this position. All too often, in discussing their work, translators avoid analysis of their own methods and concentrate on exposing the frailties of other translators. Critics, on the other hand, frequently evaluate a translation from one or other of two limited standpoints: from the narrow view of the closeness of the translation to the SL text (an evaluation that can only be made if the critic has access to both languages) or from the treatment of the TL text as a work in their own language. And whilst this latter position clearly has some validity - it is, after all, important that a play should be playable and a poem should be readable - the arrogant way in which critics will define a translation as good or bad from a purely monolingual position again indicates the peculiar position occupied by translation *vis-à-vis* another type of *metatext* (a work derived from, or containing another existing text), literary criticism itself.

...

The problem of evaluation in translation is intimately connected with the previously discussed problem of the low status of translation, which enables critics to make pronouncements about translated texts from a position of assumed superiority. The growth of Translation Studies as a discipline, however, should go some way towards raising the level of discussion about translations, and if there are criteria to be established for the evaluation of a translation, those criteria will be established from within the discipline and not from without.

---- Susan Bassnett, *Translation Studies*⁹⁵

(3)

SCIENCE OF 'SECONDARY ACTIVITY'?

The purpose of translation theory, then, is to reach an understanding of the processes undertaken in the act of translation and, not, as is so commonly misunderstood, to provide a set of norms for effecting the perfect translation. In the same way, literary criticism does not seek to provide a set of instructions for producing the ultimate poem or novel, but rather to understand the internal and external structures operating within and around a work of art. The pragmatic dimension of translation cannot be categorized, any more than the 'inspiration' of a text can be defined and prescribed. Once this point is accepted, two issues that continue to bedevil Translation Studies can be satisfactorily resolved; the problem of whether there can be 'a science of translation' and whether translating is a 'secondary activity'.

From the above discussion, it would seem quite clear that any debate about the existence of a science of translation is out of date: there already exists, with Translation Studies, a serious discipline investigating the process of translation, attempting to clarify the question of *equivalence* and to examine what constitutes *meaning* within that process. But nowhere is there a theory that pretends to be normative, and although Lefevere's statement about the goal of the discipline suggests that a comprehensive theory might also be used as a *guideline* for producing translations, this is a long way from suggesting that the purpose of translation theory is to be proscriptive.

The myth of translation as a secondary activity with all the associations of lower status implied in that assessment, can be dispelled once the extent of the pragmatic element of translation is accepted, and once the relationship between author/translator/reader is outlined. A diagram of the communicative relationship in the process of translation shows that the translator is both receiver and emitter, the end and the beginning of two separate but linked chains of communication:

Author – Text – Receiver = Translator – Text – Receiver

Translation Studies, then, has moved beyond the old distinctions that sought to devalue the study and practice of translation by the use of such terminological distinctions as 'scientific v. creative'. Theory and practice are indissolubly linked, and are not in conflict. Understanding of the processes can only help in the production and, since the product is the result of a complex system of decoding and encoding on the semantic, syntactic and pragmatic levels, it should not be evaluated according to an outdated hierarchical interpretation of what constitutes 'creativity'.

---- Susan Bassnett, *Translation Studies*⁹⁶

(4)

[...] One great benefit to be derived from a more accessible terminology would be that we could move away from the old vague conflict between free and literal translation, with the attendant value judgements. We could also move away from the dubious distinction between author-directed and audience-directed translation.

We need to know much more about the history of Translation Studies. More documentation, more information about changing concepts of translation has become a priority and the establishment of an international collaborative venture on translation history, of the kind envisioned by James Holmes of Amsterdam, seems a logical way to proceed. By understanding more about the changing face of Translation Studies and the changing status of the translated text, we are better equipped to tackle the problems as they arise within our own contexts.

Within literary translation the work to be done is also glaringly obvious. There is a need for a comprehensive study of theatre translation with a view to establishing a theory, and there is a need for much more serious attention to be given to the specific problems of prose translation. André Lefevere's work on the methodological problems of translating poetry should be continued and extended, and the discussion of all types of literary translation will also be greatly advanced by a consideration of the problems of translating texts from outside Europe and the Americas.

But in listing some projects that need to be pursued further, it is important not to forget two key points: the

enormous progress made so rapidly within the discipline itself and the interrelationship between scholarship and practice that still prevails. Roman Jakobson, discussing the complexities of translation, noted ironically that

Both the practice and the theory of translation abound with intricacies, from time to time attempts are made to sever the Gordian knot by proclaiming the dogma of untranslatability.

Indeed, that 'dogma' has often been used to argue for the impossibility not only of translation but also of Translation Study, on the grounds that it is not possible to discuss anything so tenuous as the transfer of the 'creative spirit' from language to language. Yet in spite of such a dogma, translators continue to translate, and the extended discussion that has begun with such promise can now be joined by anyone who, having encountered problems while translating, wants to move from a pragmatic, empirical position towards a more scientific, collaborative discourse.

---- Susan Bassnett, *Translation Studies*⁹⁷

96. (英) 西奥·赫曼斯 Theo Hermans



Theo Hermans, 1945 - 1998

生平及重要译论:

西奥·赫曼斯(又译特奥·赫尔曼斯、泰奥·埃尔曼) Theo Hermans, 1945.12.2-1998.7.4, 伦敦大学(University College London, UK)艺术与人文学院德语与比较文学(Dutch and Comparative Literature)教授,英国当代著名翻译理论家和现代及文艺复兴时期的德国文学理论家。出生于比利时 Assent 地区。

赫曼斯著述颇丰,主要代表作有:《现代主义诗歌结构》(*The Structure of Modernist Poetry*, 1982)、《文学的操纵——文学翻译研究》(*The Manipulation of Literature: Studies in Literary Translation*, ed., 1985)、《尼德兰语分布研究》(*Studies over Nederlandse vertalingen*, ed., 1991)、《佛兰芒语运动》(*The Flemish Movement*, ed., 1992)、《学科目标——翻译研究领域的变迁》(*Disciplinary Objectives: the Shifting Grounds of Translation Studies*, 1995)、《规范与翻译限定》(*Norms and the Determination of Translation*,

1996）、《翻译的另类》（*Translation's Other*, 1996）、《系统中的翻译》（*Translation in Systems: Descriptive and System-oriented Approaches Explained*, 1999）、《翻译与规范性》（*Translation and Normativity*, 1999）、《荷兰语与佛兰芒语小说英译指南》（*The Babel Guide to Dutch and Flemish Fiction in English Translation*, 2001）等。其中《文学的操纵》更是翻译研究派译学理论的经典，被根茨勒称为译学理论的“宝贵记录”。⁹⁸

赫曼斯是翻译研究派的重要代表人物，而翻译研究派的其他杰出代表人物也几乎全部来自低地国家和以色列如霍姆斯、巴斯奈特、勒弗维尔、佐阿、图里等。赫曼斯注意到翻译研究作为一门独立学科的重要性。他在总结早期翻译研究派翻译思想时说：

文学是一个复杂的动态系统……理论模式与实际个案研究将持续不断地相互作用；文学翻译的研究应以目的文本为中心，具有描述性、功能性和系统性；并对制约翻译产生和接受的社会标准与限制给予关注。⁹⁹

赫曼斯极力主张翻译的多元体系，将翻译特别是文学视为社会多元体系中的一个子系统。他对翻译研究的目的论述道：

翻译研究并不是为完美或理想的翻译提供指导原则或对现存的译文进行评判，而是就译文论译文，尽量去确定能说明特定译文性质的种种因素，尽可能从功能的角度出发，分析文本策略……从更广泛的意义上说明译文在接受文学中发挥作用的方式。在第一种情况下，注意力主要集中在影响翻译方法和译文的种种翻译规范、限制和假设上；在第二种情况下解释翻译对新环境产生的影响，即目的系统对特定翻译（或某些翻译）的接受和排斥。¹⁰⁰

赫曼斯反对规约性的翻译研究，他认为翻译研究方法

应当是描述性和系统性的；应该重目的和功能；应当研究影响译文产生和接受的规范和限制，研究翻译与其他文本处理的关系，研究翻译在某一特定文学中的地位与作用，研究在不同文学之间的相互影响中翻译的地位和作用。¹⁰¹

但赫曼斯的“操纵派”翻译理论却从语言学派的一端走向另一端：

从目的语文学的观点看来，所有翻译为了某种目的都包含着对原语文本某种程度上的操纵。¹⁰²

赫曼斯对于翻译研究要重译者、重目的文本而非原文文本、重功能的操纵翻译理论对于翻译学科建设、推动翻译普遍性的研究具有很大的意义。

史料图片选辑：



Theo Hermans

译论史稿辑要:

(1)

Specific questions that could be asked about this case include the following:

- What about the publisher Alfred Knopf's right to pick a translator of his own choosing, against the author's wishes if necessary? How did such legal arrangements come into being? How do they affect the selection of translators in other cases? What were the relations between publishers, authors and translators at the time, or at other times?
- Assuming we can differentiate between plain grammatical errors and interpretive choices (can we?), what do we make of Helen Lowe-Porter's more deliberate omissions, additions and alterations? How much room for manoeuvre did she in fact have, and who determined this? Should we not, before passing judgement on the translator, compare her position and her performance with that of some of her contemporaries? Why is it that she apparently worked so slowly -- are there personal, social, economic reasons for it? Is it at all relevant that despite Mann's misgivings about a woman translator's ability to cope with *The Magic Mountain* she saw herself, in her own words, as "a confirmed and express proponent of what in those long-ago days was called 'woman's rights'" (Thirlwall 1966:11)?
- Considering that the Lowe-Porter translations were generally well received by the critics and proved commercially successful, could it be that the translator was correctly anticipating reader expectations? Can we perhaps account for the nature of the translations in these terms? How common or idiosyncratic were Helen Lowe-Porter's views on translation at the time? How does her output compare with that of other translators working for the same publisher, with other literary translators working from German, with other translators generally?
- Is it at all possible to gauge the effect of translations on actual readers, in this case for example by comparing German readers' impressions of Thomas Mann in German with the responses of Anglophone readers of Lowe-Porter's versions? Are there other ways of measuring the real impact of her translations? What if, as Lawrence Venuti suggests but fails to substantiate, there are differences between what was permissible in translations in the 1920s and '30s and what we want to see in a translation today? How can we find out about these things?
- Should we also try to assess the assessors? Timothy Buck tells us unambiguously what he associates with 'faithful translation': the translator should neither add to nor subtract from the content of the original, respect the author's intentions and refrain from offering 'wild interpretations' (1996:904, 911,914). Could it be that his criticism of Helen Lowe-Porter's practice reveals little more than the clash between diverging conceptions of what translation is or should be? Is translation possible without adding or subtracting or interpreting, wildly or not, and who is to judge? What if we set this case against translations from other times and places in which the original content was added to or subtracted from, authorial intentions were violated and wild interpretations were rife -- and the texts in question were still called 'translations'?

The list is obviously not exhaustive, but it gives an indication. In all these cases, the questions are geared not so much to gauging the quality of individual translations, upholding particular principles as to what constitutes a good translation, or guaranteeing the quality of new translations to be made. Rather, the aim is to delve into translation as a cultural and historical phenomenon, to explore its context and its conditioning factors, to search for grounds that can explain why there is what there is.

If we set out on a course of this kind, other more general questions readily follow. Questions such as:

- If there are conflicting views on whether a given text is a translation or not, how do we resolve the matter? Can we distinguish between what is translation and what is not? On what basis? How do we know a translation when we see one?
- If we want to analyse a given translation and characterize its relation with the original text, how do we go about it? Are there set procedures, methodologies, rules of thumb that we can apply?
- Can we measure or otherwise assess the impact of translations? Are there models for doing this? How do we handle the values and connotations, the tell-tale signs of interpretive moves, the ideological slant entering translation, any translation, whether it is labelled 'good' or 'bad', praised or damned?
- What about ideas about translation - where do we find them, what determines their nature, how do they change and develop? How do we read, interpret and account for them -- and where do we then place our own ideas, my own ideas about translation? What is their relevance for the practice of translation anyway? And to what extent do ideas about translation and translatability have cultural significance?
- What about the interrelations between these various questions? For example, can we study individual translations without taking into account ideas about what constituted (good) translation at the time? Can we study translations one by one, or should we look at larger wholes, other translations (which ones?), the broader context? How much context do we need? Are there ways of determining the historical significance of translation at a given time, for a given community?

---- Theo Hermans, *Translation in Systems: Descriptive and System-oriented Approaches Explained*¹⁰³

(2)

Where is the descriptive and Systemic paradigm likely to go? A number of directions suggest themselves.

The history of translation is bound to remain a key area of research. It will need an eye for theoretical aspects of historiography, for the long-term impact of translations, for the relations between discourses about and practices of translation, for the simultaneously overdetermined and formative role of translation in the context of prevailing power hierarchies, for both the autonomy and heteronomy of translation as a cultural practice, and for the translator's actual working environment. Historical research will need to be not only more concrete, alive to the intricacies of specific circumstances and the material and symbolic stakes of the situation, but also more circumspect, aware of the interpretive and evaluative determinants of its conduct.

Appropriate tools need to be devised to study translation in our contemporary social and technological world, tools which can cope with the mobility and interpenetration of communities, with multiple identities and mixed languages, and with the multilevel processing of visual and verbal, spoken and written texts in the mass media. But the methodologies required to study text-based translation and various forms of interpreting also merit further attention, especially as translating and interpreting in the non-Western world are becoming better known in the West.

If there is an obvious lack in translation studies generally today, it is located at the level of theory. The discipline generally, but the descriptive school in particular, urgently needs to take account of developments in some of the more vigorous intellectual and social movements of our time, including gender studies, poststructuralism, postcolonial and cultural studies, and the new interdisciplinarity invading the human sciences. This renewed theoretical reflection should not necessarily serve only to back up case studies. It should linger on the modes and conditions of knowledge with which the study of translation itself operates. It needs to be a self-reflexive, provisional theorizing which is prepared to be awkward and experimental, and is more alert than translation studies have traditionally been to the wealth of ideas in neighbouring disciplines.

The structuralist-inspired model of empirical-descriptive translation studies as it was elaborated in the 1970s and '80s, new and exciting as it once was, is now a thing of the past. The relative absence of innovation within the

paradigm itself, and the rise of other, more committed approaches, point in that direction. Just as a designation like 'the Manipulation group' is tied to a particular historical moment and bound to disappear, so the distinctive identity of the paradigm that formed the subject of this book is unravelling. Several of the paradigm's key achievements have become absorbed into the discipline of translation studies itself. However, that does not mean descriptive and systemic studies no longer have a role to play.

[...]

This is where descriptive and systemic approaches to translation, with their contextualizing historical and sociological reflexes, can find their place. They can challenge and replenish both theoretical speculation and text-based research. They can be the critical conscience of translation studies, urging historical awareness as well as theoretical reflection, attention to words as well as to the conditioning of our ways of making sense of them.

---- Theo Hermans, *Translation in Systems: Descriptive and System-oriented Approaches Explained*¹⁰⁴

(3)

The social system of translation consists of communications about translation, i.e. actual translations perceived as translations, and statements about translation, whether in the form of paratexts or as embedded in translations.

As a system, translation has its autonomy, in the form of operational closure, autopoiesis and self-reference, and its heteronomy, in that it caters for other systems and adapts to their topics and discursive forms as its other-reference. Its function is meta-representational, the production of representations, and typically verbal re-enactments of pre-existing discourses. In that sense it contributes to society's construction of reality.

---- Theo Hermans 's Plenary Speech at Translating and Interpreting as a Social Practice¹⁰⁵

(4)

All these examples point to tight controls on translators and interpreters to guarantee their trustworthiness, to ensure that they speak exclusively with their masters' voice, to try and close the gap that continually threatens to open up in translation. To the extent that translation is, in Plato's terms, 'mimetic' speech, the translator never wholly disappears behind the speech being mimicked. From the point of view of those who depend on translation to obtain information, that margin of visibility constitutes a risk. The gap that can open between original and translation may be stylistic, or religious, or political, or ideological, or a mixture of these. It is partly structural, the consequence of linguistic, cultural and historical difference. It may be the manifestation of barely conscious idiolectal preferences. But it also creates an opportunity for translators and interpreters to insert or at least to insinuate their own agenda into the texts they are producing. To that extent the gap is a matter of voice, of the discursive presence and the subject-position that inevitably enters translation, as it enters every form of speaking, from the moment text production begins.

We know this gap is there. Already Plato recognized that mimetic speaking, as representation, can approximate but remains necessarily different from that which it re-presents. Today too we acknowledge the translator as text producer. Without the active intervention of translators we would not have translations in the first place. And yet, in most conventional thinking about translation we require translators to be, as Frances Yates had it in her comment about Florio, 'self-effacing', to stand not at the original author's side but 'behind him', hidden, out of view, transparent, incorporeal, disembodied and disenfranchised. We need translators as purveyors of otherwise inaccessible data, but we don't want their intervention to leave any traces of their own, and therefore we persist in trying to constrain, control, regulate and ultimately to negate the translator's labour. The 'true interpreter' norm, as Brian Harris (1990) once phrased it, requires interpreters and translators to re-state the original exactly, without omission, addition or interference.

It seems to me that in this anxiety, this repressed knowledge, lies one of the enduring and intriguing paradoxes of

translation. We would like to be able to take translation for granted, to see right through it, make it transparent, possess and dominate it. We know we cannot. Despite this knowledge we keep trying to annul the tendency of translation to leave traces of the translator's intervention and textual presence behind, so we may rest secure in the belief that the 'pure' translation's close fit between itself and its original leaves no room for the translator's separate agenda.

The translator's textual presence cannot be neutral, located nowhere in particular. The way a translation overwrites its original may be deliberate and calculated on the translator's part but as often as not it is unconscious, or barely conscious, dictated by values, preferences, presuppositions and perceptions built into the individual and social beings that we are.

It follows, I think, that just as the idea of a 'pure' translation, a translation that reproduces the original, the whole original and nothing but the original, is metaphysical and not of this world, the question of the 'faithful' translation is ultimately irrelevant. Faithfulness, fidelity, as we saw, is as much a matter of political loyalty and trustworthiness as of relations between texts. Much more relevant and interesting is what translation tells us about the way translators and their clients perceive and handle their material, and whose interests are being served, directly or indirectly. To my mind, the significance of translation as a cultural and historical phenomenon lies precisely in the slant, the presuppositions, the selectivity and the value judgements it reveals. Translation is of interest not despite but because of the way it prises open the ever-present interstices between originals and translations, between donor and receptor texts.

---- Theo Hermans, *'Shall I Apologize Translation?'*¹⁰⁶

(5)

Taking the supremacy of the original for granted from the start, the study of translation then serves merely to demonstrate that original's outstanding qualities by highlighting the errors and inadequacies of any number of translations of it. The outcome, needless to say, is an invariably source-oriented exercise, which, by constantly holding the original up as an absolute standard and touchstone, becomes repetitive, predictable and prescriptive -- the implicit norm being a transcendental and utopian conception of translation as reproducing the original, the whole original and nothing but the original (1985: 8f).

---- Theo Hermans: *Translation Studies and a New Paradigm*¹⁰⁷

(6)

Theoretical models

Theoretical, or conceptual, models are hypothetical constructs which are derived from an established field of knowledge and then tentatively projected onto a new, wholly or partly unknown domain. Because the model is first mapped on one field and then applied to another, it employs language appropriate to the first field to speak about the second. This is what enables a conceptual model to function heuristically: the researcher may derive cognitive gain from deploying the model as an actively probing instrument, a prism or searchlight which allows him or her to see new firings, or to see things in a new light. At the same time, theoretical models inevitably construct the object in their own image: they apply their own terms, categories and distinctions to the new domain, illuminating certain aspects while obscuring others.

[...]

It would be futile to attempt a clearly defined listing of theoretical models of translation. The models are complementary and often overlap and conflict. In mapping the domain of translation in their own terms they also delimit it in different ways, or highlight precisely the problematical nature of such delimitation. Within their own parameters they are likely to prioritize certain kinds or aspects or areas of translation, and concentrate their efforts

accordingly.

Analogue models

Analogue models are used to represent those characteristics of a prototype which are considered relevant in a given context. They serve an intellectual and pedagogic purpose in visually foregrounding pertinent features while ignoring others. In the study of translation, flow charts and other diagrammatic representations are most commonly used to represent certain processes and relations.

The communicative process involving translation is often represented as an extension of the scheme 'sender message receiver', with the translator first acting as a receiver and then as the sender of a new (translated) message to a new receiver, hence: 'sender 1 --> message 1 --> receiver 1 = translator = sender 2 --> message 2 --> receiver 2'. Elaborations of this basic scheme typically bring into view a number of contextual features and relations, as well as the actual transition from one signifying system to another brought about by the translator. This latter activity, the translation process itself, is a mental operation not open to direct observation. It has nevertheless been hypothetically reconstructed, especially by psycholinguists, and represented by means of diverse diagrammatic forms, most commonly flow charts. While the input (the source utterance and its reception) and the output (the generation of the target utterance) tend to remain stable in these representations, considerable differences exist elsewhere among the diagrams and reflect different assumptions about the way in which the human mind processes the source text, brings about a conversion of one kind or another and constructs a new utterance in the other medium.

Diagrams are also frequently used to map a variety of textual filiations, textual and contextual relations between source and target utterances and the communicative relations within and between the two systems involved. While flow charts purporting to represent the translation process serve a cognitive purpose, diagrams of (con)textual and communicative relations are mostly pedagogical, as they highlight relations regarded as legitimate objects of research.

Translating as modelling

Translating can be seen as a modelling activity in that the result of the operation, i.e. the translated text, commonly claims, explicitly or implicitly, to represent an anterior discourse in a way comparable to the representational function of models. This makes a translation, under its aspect as representation, a vicarious object, a substitute or at least a metatext. Also, like a model, a translation is a derived, second-order product, so that the relation between the translation and its prototype is neither symmetrical nor reversible. Moreover, a translation can stand as a representative or substitute of a source text only if a (collective) subject will recognize it as such. In other words, a translation that goes unrecognized as a translation is, functionally speaking, not a translation at all because its modelling aspect remains inoperative. Inversely, a translation which does purport to represent a source text and is accepted as such is, functionally speaking, a translation, even if no prototype can be identified; this is the case with so-called PSEUDOTRANSLATIONS.

In contrast to models, translations may replace and even displace their prototypes, but this is mainly because translation typically involves one or more semiotic transformations, as a result of which the source text is left at the other side of at least one of these semiotic barriers (e.g. a natural language) and may thus become inaccessible to those on this side of the barrier. The modelling relation itself however is not affected by this. Another objection might be that translations, as opposed to models, constitute objects of the same order as their prototypes. However, many cultures maintain the ontological distinction by assigning different places in value and classification systems to translated in contrast to non-translated texts. The two kinds of text are likely to be ranged in the same class only in cultural situations where all texts are perceived essentially as transformations of other texts. In those cases, the notions of translation and of related forms of textual processing and modelling tend to encompass virtually all text production.

While under their representational and representative aspects translations can be seen as approximations of their prototypes, all translations also exhibit contingent features: a material surplus not reducible to the modelling function.

---- Theo Hermans, "Models of translation"¹⁰⁸

97. (英) 蒙娜·贝克尔 Mona Baker



Mona Baker

生平及重要译论:

蒙娜·贝克尔（又译莫娜贝克）Mona Baker，世界著名语料库翻译研究专家，英国曼彻斯特大学理工学院（University of Manchester, Institute of Science and Technology, UMIST, UK）语言工程系翻译与跨文化研究中心（Centre for Translation and Intercultural Studies, Department of Language Engineering）主任，与该学院著名翻译理论家胡安·塞杰尔（Juan C. Sager）共事。贝克尔还是世界著名翻译杂志《译者——跨文化交际研究》（*Translator: Studies in Intercultural Communication*）主编。主要著作有《换言之——翻译教程》（*In Other Words: A Coursebook on Translation*, 1992）、《文本与技术》（*Text and Technology*, 1993）、《劳特里奇翻译研究百科全书》（*Routledge Encyclopedia of Translation Studies*, 1998）等，在翻译理论界影响广泛，被称为“世界译坛上真正值得庆贺的一件盛事”。¹¹⁰

关于翻译的归化与异化问题（domesticating / foreignizing translation），贝克尔认为：

看一个翻译是归化翻译还是异化翻译，完全取决于文化形态的重构，翻译在这一形态中得到生产和销售；什么是归化或异化只有在考虑到改变译入语文化的价值关系时才能得到界定。¹¹¹

贝克尔于1995年主持创建的可比语料库——翻译英语语料库（Translational English Corpus, TEC）是世界上第一个专门研究翻译的语料库，现规模已超过600万，目标为5,000万，收集内容包括德语、法语、西班牙语、意大利语、葡萄牙语、希伯来语、威尔士语、阿拉伯语、泰国语和波兰语等的英译文本，分为小说、传记、报纸和杂志四个子库。

贝克尔认为，语料库建设将会在翻译研究领域发挥越来越大的作用，因为目前的翻译研究存在一定的局

限性，使其很难发展成为一门独立的学科。这些局限性主要是：1）翻译研究在很大程度上限于规约性（prescriptivism）分析，即所探讨的是翻译应该怎样进行而不是进行客观的描述；2）译者是否应该具有自己的风格始终未有一个结论；3）翻译作为特殊的语言交际行为应该具有怎样的规范或系统规律（systematicism）尚有待解决。而通过翻译英语语料库，便可以探索翻译的规律，分析译者的风格，验证众多翻译理论家所提出的假设，从而了解翻译的普遍性。贝克尔就此总结说：

如果我们发现翻译英语语料库的整体词汇密度大大低于相应的英语原文语料库语，我们就会认为译者有意无意地运用这一特征来控制信息负载（information load），使译文文本更容易被新的读者接受。¹¹²

贝克尔对于自己所从事的语料库研究曾这样自述道：

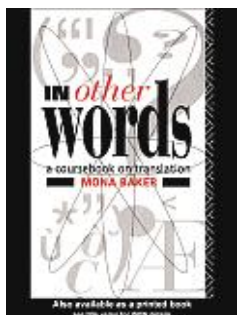
My second area of research interest is the use of corpora as a resource for studying various features of translation, including the distinctive nature of translated text and the distinctive styles of individual translators (see Baker 1993, 1995, 1996, 1998, 1999, 2000; in press; Olohan and Baker 2000).

The nature and pressures of the translation process are bound to leave traces in the language that translators (and interpreters) produce. Some of this patterning has been explained in terms of notions such as simplification (a tendency on the part of translators to simplify the language or message or both) and explication (the tendency to spell things out in translation, including -- in its simplest form -- the practice of adding background information). The kind of methodology available from corpus linguistics offers one of the most effective ways of capturing such distinctive features of translation, because it allows us to study a massive amount of text and identify global patterning that is difficult or impossible to capture through manual analyses.

A corpus of translated text can also be used to study variation in the output of individual translators (as in Baker 2000, in press), the impact of specific source languages on the patterning of the target language, the impact of text type on translation strategies, and various other issues which are of interest to both the translation scholar and the corpus linguist.¹⁰⁹

贝克尔还在其主编的《劳特里奇翻译研究百科全书》中对阿拉伯的翻译历史与传统作了有价值的介绍和评述。（参阅下面的“译论史稿辑要”4）

史料图片选辑：



Mona Baker,

In Other Words:

A Coursebook on Translation

译论史稿辑要：

(1)

Understanding the difference in the structure of semantic fields in the source and target languages allows a translator **to assess the value of a given item in a lexical set**. If you know what other items are available in a lexical set and how they contrast with the item chosen by a writer or speaker, you can appreciate the significance of the writer's or speaker's choice. You can understand not only what something is, but also what it is not.

---- Mona Baker, *In Other Words: A Coursebook on Translation*¹¹³

(2)

Norms

The notion of norms

Toury (1978; 1980a) proposed a tripartite model in which 'norms' represent an intermediate level between 'competence' and 'performance'. **Competence** is the level of description which allows the theorist to list the inventory of options that are available to translators in a given context. **Performance** concerns the subset of options that translators actually select in real life. And norms is a further subset of such options: they are the options that translators in a given socio-historical context select on a regular basis. What Toury has done then is to take the dualism common in mainstream linguistics at the time (competence and performance in Noam Chomsky's terms, or *langue* and *parole* in Ferdinand de Saussure's terms) and introduce an interlevel which allows him to investigate what is typical rather than simply what is or what can be. This interlevel of norms enables the analyst to make sense of both the raw data of performance and the idealized potential of competence.

The notion of norms assumes that the translator is essentially engaged in a DECISION MAKING process. Toury (1995) further suggests that being a translator involves playing a social role, rather than simply transferring phrases and sentences across a linguistic boundary. The translator fulfils a function specified by the community and has to do so in a way that is considered appropriate in that community. Acquiring a set of norms for determining what is appropriate translational behaviour in a given community is a prerequisite for becoming a translator within that community. However, Toury has always stressed that norms are a category of descriptive analysis and not, as the term might imply, a prescriptive set of options which are thought by the analyst or scholar to be desirable. One identifies norms of translational behaviour by studying a corpus of authentic translations and identifying regular patterns of translation, including types of strategies that are typically opted for by the translators represented in that corpus.

Toury (1978/1980a: 53-7; 1995: 56-61) discusses three types of translational norms: initial norms, preliminary norms and operational norms.

The **initial norm** in translation involves a basic choice between adhering to the norms realized in the source text (which reflect the norms of the source language and culture) and adhering to the norms prevalent in the target culture and language. Adherence to source norms determines a translation's **adequacy** with respect to the source text; adherence to norms originating in the target culture determines its **acceptability** within that culture. (Cf. the more politicized notions of foreignizing and domesticating strategies; STRATEGIES OF TRANSLATION).

Preliminary norms concern the existence and nature of a translation policy (in terms of the choice of source text types, individual source texts, authors, source languages, etc.) and the directness of translation, i.e. a particular society's tolerance or intolerance towards a translation based on a text in an intermediate language rather than on the source language text.

And finally, **operational norms** concern decisions made during, rather than prior to, the actual act of translation. Toury discusses two types of operational norms: (a) **matricial** norms, which have to do with the way textual material is distributed, how much of the text is translated, and any changes in segmentation, for example as a result of large scale omissions, and (b) **textual-linguistic** norms, which concern the selection of specific textual material to formulate the target text or replace particular segments of the source text.

Translational norms can be investigated using two main sources: textual sources, namely the translated texts themselves, and extratextual sources, i.e. the theoretical and critical statements made about translation in general or about specific translations.

[...]

The concept of norms ultimately gives priority to the target text, rather than the source text, and has therefore effectively replaced EQUIVALENCE as the operative term in translation studies (Hermans 1995: 217). More importantly, the concept of norms 'assumes that the primary object of analysis in translation studies is not an individual translation but a coherent corpus of translated texts' (Baker 1993: 240). This position has had far-reaching consequences in terms of providing an explicit definition of the object of study in the discipline and providing the basis for a relevant research programme. It has also been instrumental in preparing the ground for corpus-based work, a promising development which holds much hope for investigating UNIVERSALS OF TRANSLATION in particular (see CORPORA IN TRANSLATION STUDIES).

---- Mona Baker, "Norms"¹¹⁴

(3)

Translation studies and other disciplines

In the early 1950s and throughout the 1960s, translation studies was largely treated as a branch of applied linguistics, and indeed linguistics in general was seen as the main discipline which is capable of informing the study of translation. In the 1970s, and particularly during the 1980s, translation scholars began to draw more heavily on theoretical frameworks and methodologies borrowed from other disciplines, including psychology, communication theory, literary theory, anthropology, philosophy and, more recently, cultural studies.

There are now a number of distinct theoretical perspectives from which translation can be studied (see for instance COMMUNICATIVE/FUNCTIONAL APPROACHES, LINGUISTIC APPROACHES, POLYSYSTEM THEORY and PSYCHOLINGUISTIC/COGNITIVE APPROACHES). The study of translation has gone far beyond the confines of any one discipline and it has become clear that research requirements in this area cannot be catered for by any existing field of study. Although some scholars see translation studies as interdisciplinary by nature (Snell-Hornby 1988), this does not mean that the discipline is not developing or cannot develop a coherent research methodology of its own. Indeed, the various methodologies and theoretical frameworks borrowed from different disciplines are increasingly being adapted and reassessed to meet the specific needs of translation scholars (see, for instance, CORPORA IN TRANSLATION STUDIES).

In the course of attempting to find its place among other academic disciplines and to synthesize the insights it has gained from other fields of knowledge, translation studies has occasionally experienced periods of fragmentation: of approaches, schools, methodologies, and even sub-fields within the discipline. At a conference held in Dublin in May 1995 for instance, some delegates called for establishing an independent discipline of interpreting studies, because theoretical models in translation studies by and large ignore interpreting and are therefore irrelevant to those interested in this field. This is true to a large extent, just as it is true that within interpreting studies itself far more attention has traditionally been paid to simultaneous CONFERENCE INTERPRETING than to other areas such as COMMUNITY INTERPRETING and liaison interpreting. However, the answer in both cases cannot lie in splitting the discipline into smaller factions, since fragmentation can only weaken the position of both translation and interpreting in the academy. The answer must surely lie in working towards greater unity and a more balanced representation of all areas of the discipline in research activities and in theoretical discussions.

Similarly, the threat of fragmentation sometimes looms high in the kind of literature which deliberately sets different theoretical approaches or research programmes in opposition. This is particularly evident in the case of approaches informed by cultural studies and those informed by the well-established but by no means flawless models

derived from linguistics (see Baker 1996). In recent years, a number of scholars began to talk about 'the cultural turn in translation studies' (Bassnett and Lefevere 1990) and to argue that an approach derived from cultural studies and stressing the role of ideology must *replace* the traditional linguistically derived models. Such discussions often misrepresent and caricature the paradigms they attack in a way that is not necessarily in the interest of the discipline as a whole:

linguists have moved from word to text as a unit, but not beyond[...].The overall position of the linguist in translation studies would be rather analogous to that of an intrepid explorer who refuses to take any notice of the trees in the new region he has discovered until he has made sure he has painstakingly arrived at a description of all the plants that grow there.

(Bassnett and Lefevere 1990: 4)

Translation scholars must recognize that no approach, however sophisticated, can provide the answer to all the questions raised in the discipline nor the tools and methodology required for conducting research in all areas of translation studies. There can be no benefit in setting various approaches in opposition to each other nor in resisting the integration of insights achieved through the application of various tools of research, whatever their origin. Fortunately, more and more scholars are beginning to celebrate rather than resist the plurality of perspectives that characterizes the discipline. While critical of certain aspects of specific approaches, such scholars are still able to see the various frameworks available as essentially complementary rather than mutually exclusive (Baker 1996a; Venuti 1996).

Translation studies can and will hopefully continue to draw on a variety of discourses and disciplines and to encourage pluralism and heterogeneity. Fragmentation and the compartmentalization of approaches can only weaken the position of the discipline in the academy and obscure opportunities for further progress in the field.

---- Mona Baker, "Translation studies"¹¹⁵

(4)

Arabic tradition

[...]

The twentieth century

France, Britain and Italy had had their designs on various parts of the Arab World since the early nineteenth century, and the Ottoman Empire was growing too weak to defend its territories. By the early part of the twentieth century most of the Arab World was under occupation, with the British in Egypt, Palestine, Sudan and Iraq, the French in North Africa and Syria, and the Italians in Libya. For the first time in many centuries, the Arab World lacked a common political leadership. This and the subsequent rise of individual nation states meant that cultural development in the area, and with it translation activity, began to diverge considerably. The territory is simply too large and too diverse to be covered in a short exposition.

In this century there have been efforts to develop a coherent pan-Arab programme of translation. One such attempt took place in Tunis in 1979, under the aegis of the Arab Organization for Education, Culture and Science (*Fi al-Adab wa-l-ta'lif wa-l. tarjama* 1993: 171ff.). The recommendations of this committee included developing common criteria for selecting texts for translation, reassessing the status of translators in the Arab World, establishing a coherent policy for language learning and translator training, setting up regional and Arab unions to represent translators, and encouraging theoretical research in translation. This ambitious programme does not seem to have been followed up so far.

Translation training programmes exist in various parts of the Arab World, either in the form of independent

institutions (as in the case of the King Fahd School of Translation in Tangier) or university departments or centres within departments (for example in Yarmuk University, Jordan, and Alexandria University). Iraq had a thriving school of translation (al-Mustansiriyya) and a professional organization for translators prior to the Gulf War, but up-to-date information on these institutions is currently difficult to obtain.

The King Fahd School of Translation in Tangier publishes a bi-annual scholarly journal of translation under the title of *Turjumān* (Translator); this contains articles in Arabic, English, French and Spanish.

---- Mona Baker, "Arabic tradition"¹¹⁶

98. (英) 罗杰·贝尔

Roger T. Bell

生平及重要译论:

罗杰·贝尔 Roger T. Bell, 英国中央伦敦理工学院 (Polytechnic of Central London, UK) (现兰卡斯特大学 University of Lancaster, UK) 语言学教授, 纽马克退休后继任系主任。

贝尔的主要翻译理论著作是《翻译与翻译过程——理论与实践》(*Translation and Translating: Theory and Practice*, 1991), 近年来在国际翻译领域影响很大。贝尔和纽马克虽然都属于翻译理论的语言学派即翻译的科学学派 (而且都从系统功能的角度对翻译进行研究), 但纽马克更强调语义翻译和交际翻译, 而贝尔则从更为彻底的语言学角度对翻译理论进行实证性的、图示性的、心理性的和信息性的论述。他从译者的角度出发重新认识翻译过程, 其观点与纽马克有很大分歧:

有些译者遇到 (话语中) 貌似混乱的变数和无法准确地预测变数的翻译理论, 就否定建立一种有效的普通翻译理论的可能性, 从而强调翻译活动的“主观性”和“艺术性”。.....他们全凭个人经验和一些趣闻轶事制订出“通用的原则”, 列出一连串翻译技巧和规则。¹¹⁷

贝尔试图将翻译与语言学及心理语言学、人工智能、文本语言学及系统语法有机地结合起来, 创建一种“科学的”、在“智力上令人满意”、在“实践上又能应用的翻译理论”。¹¹⁸他说:

显然, 翻译理论须是综合的和实用的, 它应尽力描述和解释翻译的过程和结果。而目前的情况是, 大部分翻译理论集中于翻译结果的探讨, 将翻译过程排斥在外, 只是通过描述和评价翻译结果进行逆向推理得出对翻译过程的规范性评判.....

如果承认我们有责任描述和解释翻译过程, 而且赞同翻译过程在本质上是精神的而非躯体的, 那么我们就应担负起心理学领域的研究, 具体说是知觉、信息加工和记忆的心理学研究以及认知科学研究。

同样, 既然翻译过程主要是语言活动, 我们就应吸取语言学研究成果, 准确地说, 是汲取研究有关语言使用的心理和社会方面的语言学分支, 即心理语言学和社会语言学的研究成果。心理语言学考察译者大脑中的翻译过程, 社会语言学将原语语篇。。。和译语语篇。。。放进彼此的文化背景中进行考察。¹¹⁹

贝尔用一个系统的语言模式来描述翻译过程, 这一模式被置于人类交际行为的更大的领域。因此, 他特别强调“模式”、“意义”和“记忆”, 并围绕这三个方面进行研究和论述。

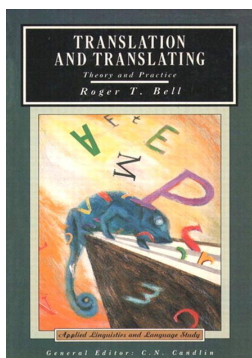
关于“模式”, 贝尔认为通过构建翻译过程模式可以将翻译置于应用语言学的研究领域。以此为出发点, 贝尔进一步阐述了翻译的概念问题 (包括翻译的性质、翻译的等值、翻译的原则、译者等问题)、翻译行为 (翻译过程的模式) 问题等。贝尔认为翻译过程分为分析和合成两个阶段, 每个阶段又包括句法、语

义、语用三个方面。

关于“意义”，贝克首先论述了词汇意义和句子意义以及逻辑、语法和修辞，在此基础上提出一个语言模型，对认知意义、相互作用意义和话语意义进行区分，最后在文本和话语中继续探讨意义问题。

关于“记忆”，贝克认为充分描述翻译过程就要研究阅读的分析过程模式和写作的合成过程模式以及人类的记忆和信息处理模式。贝克对文本处理（text processing）（包括文本类型、文本处理的知识和技巧及分析阅读）、信息、知识和记忆系统问题进行了较为详尽的论述。

史料图片选辑：



Roger Bell:

Translation and Translating: Theory and Practice

译论史稿辑要：

(1)

The translation theorists, almost without exception, have made little systematic use of the techniques and insights of contemporary linguistics (the linguistics of the last twenty years or so) and the linguists, for their part, have been at best neutral and at worst actually hostile to the notion of a theory of translation.

This state of affairs seems particularly paradoxical when one recognizes the stated goal of translation: the transformation of a text originally in one language into an equivalent text in a different language retaining, as far as is possible, the content of the message and the formal features and functional roles of the original text (an informal definition which will be much modified as we go along). It does seem strange that such a process should, apparently, be of no interest to linguistics, since the explanation of the phenomenon would present an enormous challenge to linguistic theories and provide an ideal testing ground for them.

Equally, it is difficult to see how translation theorists can move beyond the subjective and normative evaluation of texts without drawing heavily on linguistics. The need for access to and familiarity with the accumulated knowledge about the nature and function of language and the methodology of linguistic enquiry must become more and more pressing and less and less deniable if translation theory is to shake off individualist anecdotalism and the tendency to issue arbitrary lists of 'rules' for the creation of 'correct' translations and set about providing systematic and objective descriptions of the process of translation.

The essential argument of this book rests assumptions:

- (a) that the paradox we have been describing has arisen as a result of a fundamental misunderstanding, by both translation theorists and linguists, of what is involved in translation;
- (b) that this misunderstanding has led, inevitably, to the failure to build a theory of translation which is at all satisfactory in a theoretical or an applied sense;
- (c) that the co-occurrence of exciting advances in cognitive science, artificial intelligence and text-linguistics with

the emergence of a genuinely socially and semantically based functional theory of linguistics -- Systemic linguistics -- makes this an ideal moment to attempt to resolve the paradox and develop an adequate theory of translation.

...

The organization of the book reflects an underlying belief; that the major need -- from both the theoretical and the practical points of view -- is for descriptions and explanations of the process of translating. Such a model will be located within the more general domain of human communication and will, necessarily, draw heavily on both psychology and linguistics.

This will entail developing familiarity with and competence in the use of psychological and psycholinguistic models of memory and information processing on the one hand and linguistic models of meaning (in the broadest sense), including meaning 'beyond the sentence' on the other.

...

We take it as axiomatic that language is a *code* which possesses *features* - phonological (and, in the case of written languages, graphological), syntactic, lexical and semantic -- and that language use is made possible by making selections from among these sets of code features in order to create texts which act as adequate vehicles for the communication of meaning.

We would further expect to find, in any stretch of language, *choices* which function as *indicators* of the temporal, physical and social provenance of the *user* and these we would term *dialect* features. Equally expected would be *markers* of the *use* to which the language was being put and these we would term register features.

For the translator, both dialect and register features are important but, of the two, it is the parameters of register which are probably the more significant. We shall therefore concentrate on them.

The task which faces the analyst attempting to describe register variation is easier to state than to resolve. What has to be discovered in the text are the *markers* of the relationship between sender and receiver(s) (addressee relationship), the channel(s) selected for the transmission of the message (medium) and the function of the discourse (domain).

In essence, as we see, the problem is to relate (a) sociological variables present in (i) the participants (their role relationships), (ii) the purposes they bring to the event (the 'symbolic or rhetorical channelaz) and (iii) the setting of the event (the 'ongoing social activity with (b) the linguistic features which combine to create the text which is realized in and as interaction (discourse).

It is precisely in order to act as a link between the sociological and the linguistic that the notion of discourse is required (as shown in Figure 1.1).

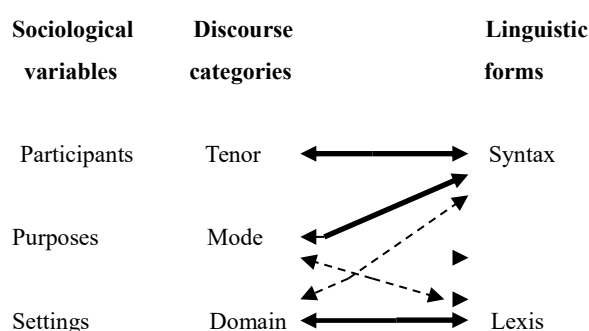


FIGURE 1.1 Discourse parameters

The arrows between the discourse categories and the linguistic forms are intended to be suggestive of the extent to which discourse categories draw on particular parts of the linguistic code; the solid arrow indicates 'more commonly',

the dotted arrow 'less commonly'.

...

The model, presented in Figure 1.3 derives ultimately from work in information theory, and contains nine steps which take us from encoding the message through its transmission and reception to the decoding of the message by the receiver. It provides us with a starting point for the explanation of the process of communication, albeit limited to the monolingual and, by implication, to dyadic interaction; one sender and one receiver.

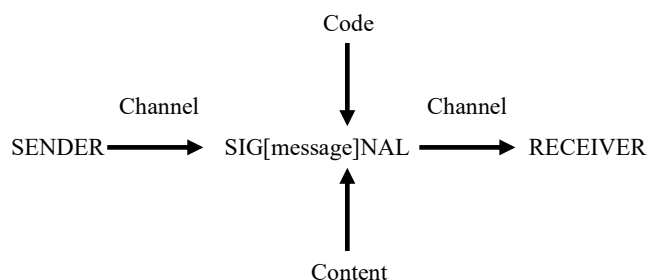


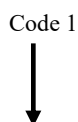
FIGURE 1.3 Monolingual communication

Even with these limitations, however, it contains within it the elements and processes which need to be explained and raises a large number of questions which require an answer if we are to succeed at all in our attempt to make sense of the phenomenon of translation. We could describe this process in terms of nine steps:

- (1) the sender selects message and code
- (2) encodes message
- (3) selects channel
- (4) transmits signal containing message
- (5) receiver receives signal containing message
- (6) recognizes code
- (7) decodes signal
- (8) retrieves message and
- (9) comprehends message.

We ought not, however, to assume that this is a simple, unidirectional and linear process nor that each step must be completed before the next can be started. Processing is by its very nature both cyclic (the sender sends more messages or the receiver takes over the sender's role) and cooperative (the sender may well begin again at step I while the receiver is no further advanced than step 5 or 6).

A second model (Figure 1.4) is now needed to provide a clear contrast between the processes of monolingual communication and translation. It can be read as a continuation of the model above by equating step 5 in the monolingual process presented above with step 1 in the bilingual process given below, i.e. 'receiver receives signal containing message' is equated with 'translator receives signal 1 containing message'. This model is, it must be admitted, rather crude and vague at this stage but none the less serves to focus our attention on the points of similarity and difference between translation and 'normal' communication.



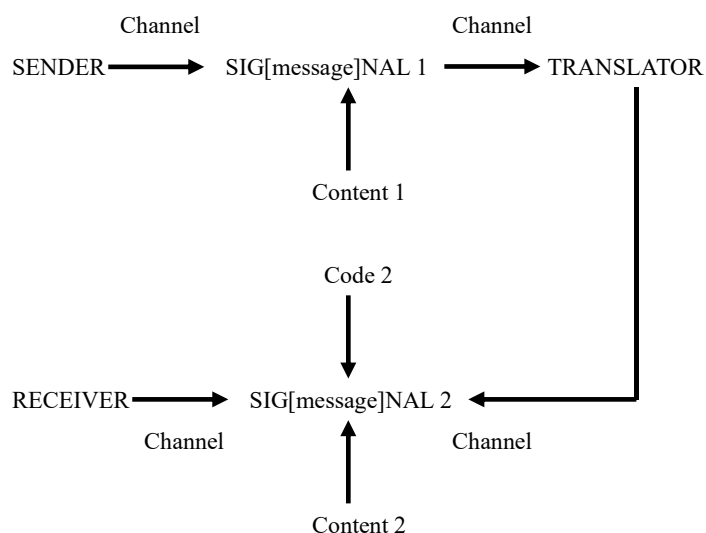


FIGURE 1.4 Translating

- (1) translator receives signal 1 containing message
- (2) recognizes code 1
- (3) encodes signal 1
- (4) retrieves message
- (5) comprehends message
- (6) translator selects code 2
- (7) encodes message by means of code 2
- (8) selects channel
- (9) transmits signal 2 containing message.

---- Roger T. Bell, *Translation and Translating: Theory and Practice*¹²⁰

(2)

In short, we have outlined the structure in terms of (1) logic, (2) grammar and (3) rhetoric and may now be forgiven for the somewhat enigmatic title of this chapter. It was chosen intentionally to reflect the realization that the answers to the three questions we have just asked suggest a tripartite division of language study which ties us back to older, long-established practices, since it closely parallels that of the medieval **Trivium** (the undergraduate foundation course in the Middle Ages): logic, grammar and rhetoric.

In terms of the model of the process (Chapter 2), we are now about to extend our specification of the components of the semantic stage, provide one for the syntactic stage and rough out part of the specification for the pragmatic. In other words, we intend to integrate and expand the notions of proposition, sentence and utterance with which we closed the last chapter by relating them to the kinds of meaning they organize: cognitive, speech functional and discoursal respectively.

The linguistic model we shall be following rests on a number of assumptions:

- (1) that the grammar of a language is a **system of options** which are available to the user for the expression of meaning;
 - (2) that any stretch of language must, if it is to be communicative, contain **all three** of the types of meaning just listed;
- and

- (3) that each of these is organized by its own **macrofunction**; a series of networks of systems which contain the options.

Indeed, it is precisely because language is designed in the way it is that the macrofunctions exist. The purpose of language is to create **communicative texts** which convey the three types of meaning we have listed and, thereby, provide satisfactory answers to the three questions -- what? why? and how? -- we posed about text at the beginning of this chapter.

This chapter is, therefore, concerned with the presentation of these options and with their organization and, although each of the three sections of the chapter is dedicated to a different macrofunction (**ideational**, **interpersonal** and **textual**), we shall focus mainly on the first; the ideational ('logic' in the medieval sense), which organizes cognitive meaning as propositions.

We have a number of reasons for this. Firstly, the role of the proposition is, as we have seen, central to the processing of texts, since it is the proposition which underlies the diversity of sentences which can express a meaning in a particular language or in language in general and propositions which are the major constituent of the universal 'semantic representations' into which texts can be decomposed and from which texts can be created; the process which is, by definition, central to any understanding of translation.

There is, if there needs to be one, a second justification for giving less space here to the interpersonal and textual macrofunctions ('grammar' and 'rhetoric'). The first is extremely well documented already and the second forms the basis of the next two chapters (Chapters 5 and 6), where it will be dealt with in detail.

Let us begin by listing the macrofunctions, the meanings they organize, the systems they use for this and the forms which their options take. The three macrofunctions are:

- (1) The **ideational**, which expresses **cognitive** meaning; the fundamental 'idea-conveying' function of language. This draws on the systems and networks of TRANSITIVITY to create propositions which convey the user's experience of the external world of the senses and the inner world of the mind (this is dealt with in more detail in Section 4.1).
- (2) The **interpersonal**, which expresses **speech functional** meaning by drawing on the systems and networks of MOOD to create **sentences** which carry the cognitive and logical content of propositions and display the speaker's relationship with others to whom the messages are being addressed; speaker as questioner, respondent, etc. (this is taken up below in Section 4.2 and in Chapter 5).
- (3) The **textual**, which expresses **discoursal** meaning by drawing on the systems and networks of THEME to create and realize **utterances** (or **texts**) in actual communicative events and to organize these utterances in ways which are not only able to carry propositional content but are also ordered *cohesively* -- the utterances connect with each other to constitute a linguistically linked text -- and *coherently*; the communicative acts themselves are rationally linked and appropriate to the context of their use (this is taken up again in Section 4.3 and also in Chapter 5).

--- Roger T. Bell, *Translation and Translating: Theory and Practice*¹²¹

99. (英) 厄恩斯特·奥古斯特·格特 Ernst-August Gutt



Ernst-August Gutt

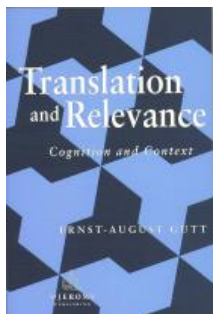
生平及重要译论：

厄恩斯特·奥古斯特·格特 Ernst-August Gutt，1989 年获英国伦敦大学（University of London）博士学位，博士论文题目为《翻译与关联》（*Translation and Relevance*, University College London: PhD thesis., 1989）。任教于埃塞俄比亚的斯亚贝巴大学（Addis Ababa University, Ethiopia），多年从事翻译理论研究和埃塞-闪语翻译及翻译培训工作，曾在西班牙、波兰、芬兰、丹麦、德国、英国、津巴布韦、美国等国讲学。主要翻译著作有专著《关联理论》（*Relevance Theory: A Guide to Successful Communication in Translation*, 1992）、《翻译与关联——认知与语境》（*Translation and Relevance: Cognition and Context*, 1991; 2nd expanded edition, 2000）等。

从 20 世纪 50 年代起西方便出现了一批学者，他们将翻译问题纳入语言学的研究领域，提出许多相对严谨而新颖的翻译理论和方法，这些理论和方法无不体现着关联理论的思想。格特率先将语用学中的关联概念和关联理论应用于翻译研究中，率先提出关联翻译理论，在翻译界影响颇大。

格特认为，翻译是一种言语交际行为和涉及大脑机制的语际间“明示—推理”的认知过程行为，即一种动态的推理过程。重要的是，这种动态的推理是根据动态的语境进行的，其基础是关联性。因此说，翻译的本质即是交际，而交际的本质即是关联。翻译的概念（不论是广义的还是狭义的）无非是关联理论体系中自然衍生的产物。将关联理论引入翻译研究拓展了研究的视野，也有助于对各种翻译现象的深入剖析和理解，因为作为交际的翻译，在对原语的理解和翻译的过程中对语码的选择的基础正是关联性。

史料图片选辑：



Translation and Relevance:

Cognition and Context

by Ernst-August Gutt

译论史稿辑要:

Making intentions and expectations meet

In relevance theory the need for the audience to recognize the degree of resemblance intended in interpretive use is part of the general requirement for successful communication -- which is "to have the communicator's informative intention recognised by the audience" (Sperber and Wilson 1986a: 161). How can the audience recognize the communicator's informative intention?

As will be recalled from chapter 2, (p. 34), ostensive communication is an asymmetrical process -- it is the communicator's responsibility to ensure that the audience can recognize his informative intention. Since the translator is an ostensive communicator, too, this means that the responsibility for avoiding misunderstandings and other communication breakdowns in translation lies with him. What does this responsibility entail?

Crucially, the translator's responsibility begins with the formation of his informative intention. As we argued in chapter 4, (p. 103), the translator needs to clarify for himself whether his informative intention is, in fact, communicable, that is, whether he can reasonably expect the audience to derive this interpretation in consistency with the principle of relevance. Thus, the translator is confronted not only with the question of *how* he should communicate, but *what* he can reasonably expect to convey by means of his translation.

The answer to this question will be determined by his view of the cognitive environment of the target audience, and it will affect some basic decisions. It will, for example, have a bearing on whether he should engage in interpretive use at all whether descriptive use would be more appropriate. As we saw in chapter 3, there are instances where the fact that the information given in the receptor language text interpretively resembles an original in another language is quite irrelevant -- in which case the 'translator' would simply engage in descriptive use. This, in turn, may have consequences for many decisions he will have to make later in the production of the receptor language text.

In other cases the translator may judge it relevant to the audience to recognize that the receptor language text is presented in virtue of its resemblance with an original in another language. In such situations he will have to consider further what degree of resemblance he could aim for, being aware that communicability requires that the receptor language text resemble the original "closely enough in relevant respects" (Wilson and Sperber 1988a:137). To determine what is close enough resemblance in relevant respects, the translator needs to look at both the likely benefits, that is, the contextual effects, and also at the processing effort involved for the audience. Thus he will have to choose between indirect and direct translation, and also to decide whether resemblance in linguistic properties should be included as well.

[...]

Most importantly, in order for the communication to succeed, the assumptions about the nature of the communication act -- for example, whether it is meant to be understood descriptively or interpretively, and, in interpretive use, what the intended degree of resemblance is -- must be shared by the translator and his audience. Furthermore, because of the asymmetrical distribution of responsibilities in ostensive communication, the burden will be on the translator: he has to ensure that it is clear to his audience what his intentions in this respect are, and also that his intentions meet the audience's expectations.

In some cases these assumptions may be clear from the audience's request for the translator's assistance. Thus Hönig and Kußmaul consider cases where the translator is told, for example, to 'translate' a business letter but telling only "under what conditions our offer will be accepted" (1984:27), or where the translation of a paper is to omit the embellishments of the original and to concentrate on reporting what the paper said about a new production process.

In other cases these assumptions may be clear from the 'label' with which the receptor text is presented. Thus the fact that the receptor language text is labelled 'translation' may suffice to make clear what degree of resemblance is

intended. However, such labelling can be relied on only under the condition that the assumptions conveyed by this label are, in fact, the same for both translator and audience. Given the divergence of ideas among both experts and laymen about what translation should be like, reliance on this label alone for this important part of the communication process seems risky indeed.

Therefore, in many cases and especially when addressing a wide or varied audience, the translator will do well to make his intentions explicit. Thus the practice of translators to explain their 'translation principles' in a foreword makes good sense in our relevance-theoretic framework and could probably be used more widely to make translations successful.

The importance of ensuring that the intended resemblance be known to both parties, and the danger of relying on tacit assumptions in this matter, can hardly be overemphasized. I believe that insufficient awareness in this area has contributed greatly to the misunderstandings, unjustified criticism, confusion and frustration that tend to accompany translation. Mismatches in these expectations do matter, sometimes only a little, but sometimes very much so. [...]

[...]

Looked at from the perspective of relevance theory, it seems that there was a discrepancy between the resemblance assumed by the translator's earlier version and the resemblance expected by the Guaraní audience. Whereas the translator assumed that a kind of indirect translation would be appropriate, that is, a translation that would communicate implicatures with ease to Guaranís with little knowledge of the original background, the Guaranís themselves seemed to have looked for a translation more along the lines of direct translation, possibly accompanied by resemblance in linguistic properties as well. This mismatch in expectations led to a breakdown in communication in that "the use of the Guaraní translation was falling behind the use of the Portuguese" (1989:54) -- that is, there was a tendency to discontinue the use of the Guaraní translation.

This example is interesting not only because of the extremity of the situation -- requiring a re-translation rather than a revision--but also because it brings out again the need to consider both processing effort and benefits *together*: the earlier, 'idiomatic' version would no doubt have involved much less processing effort for the audience; however, it failed because it was not felt to resemble the 'original' -- in this case the Portuguese translation -- closely enough in those respects that the receptors judged to be relevant.

[...]

Now all this may seem very clear in principle: for communicative success, the translator has to ensure that his intentions and the expectations of the audience will be in line; so he chooses a suitable approach and makes sure that the audience is aware of and in agreement with his choice. But what if it turns out to be impossible to follow the approach selected consistently throughout the translated text? In fact, given the 'messy' reality of languages, is it not unrealistic to expect that any particular approach will work consistently for even one text? Will not grammatical differences and lexical mismatches frustrate any such attempt sooner or later, even between closely related languages?

These concerns are particularly strong in the case of direct translation with its objective of achieving complete interpretive resemblance -- which brings us back to its second defining characteristic: when, if ever, can translations consistently achieve complete interpretive resemblance with the original? There is no a priori reason why from a purely linguistic point of view it should be possible to compose a receptor language utterance or text that will be able to consistently direct the receptors to the originally intended interpretation without distortion or loss. But if this is so - - is not our account of direct translation open to the charge of relying on an ideal and saying little about the realities of interlingual communication?

Here several points need to be made. The first is that the defining characteristic of direct translation is not that it *achieves* complete interpretive resemblance but rather that it *purports to achieve it*, that is, that it creates a *presumption* of complete interpretive resemblance. This difference is not just a fine point of philological interest, but rather basic in relevance theory, paralleling, in fact, the difference between achieving and presuming optimal

relevance. The presumption of complete interpretive resemblance in direct translation gives the receptors important information about the informative intention of the communicator. It entitles them to consider all the explicatures and implicatures which they can recover with respect to the original context as having been part of the intended interpretation of the original. Thus this presumption is important for coordinating the audience's expectations with the communicator's intentions.

Secondly, this presumption is of value not only where complete resemblance is, in fact, achieved, but also where the translator knows that it is not achieved -- for example, because linguistic differences between the two languages make this impossible. Being aware that there his translation will not meet the expectations of the audience and hence mislead them, the translator can consider strategies for preventing communicative failure, for example by alerting the audience to the problem and correcting the difference by some appropriate means, such as footnotes, comments on the text or the like.

Thirdly, there is no a priori reason why a translation should aim at complete interpretive resemblance throughout. There can, of course, be cases where this is required, but this would be a matter of circumstance rather than of principle or theoretical necessity -- the only principle to be kept in mind throughout is the principle of relevance. Thus consistency throughout a translated work may make the coordination between the translator's intentions and the audience's expectations easier, but again the translator may be able to achieve this coordination by other means, such as supplementary notes and the like.

However, may the use of such supplementary means not lead to a translation abounding with footnotes, many of which bore the audience because they are concerned with insignificant detail? This can, of course, happen but alertness to consistency with the principle of relevance can again help the translator avoid this problem; he should consider in each case whether the correction will be adequately relevant to his audience, whether its benefits will outweigh the processing effort it requires.

These same points apply to translation in general. By monitoring the agreement or disagreement between the audience's expectations and what his translation is likely to achieve, the translator can anticipate mismatches; he can then consider further whether these mismatches are relevant enough to require explicit treatment and if so, how they will be best treated. In all cases he will measure the success of his translation by whether it enables the receptors to recognize his informative intention.

Before leaving this topic of successful communication by translation, it may be worthwhile briefly to address a phenomenon found in translation that on the face of it seems to be at odds with our definition of successful communication. This is the fact that translations can be, and often are, read with enjoyment on the audience's part *without* them realizing that they are, in fact, reading a translation rather than an original? In terms of our definition of successful communication, such instances cannot be considered fully successful in that one of the intentions of the translator, that is, that his work is to achieve relevance in virtue of its resemblance with an original, has not been recognized by the audience. On the other hand, from the audience's point of view, they might well be satisfied with the result of this act of communication.

This apparent ambivalence of the notion of 'successful communication' can be accounted for readily in the relevance-theoretic framework. It follows straightforwardly from its basic claim that the only way in which an audience can identify the intended interpretation of a stimulus is by the criterion of consistency with the principle of relevance -- it has no other, more direct means of knowing what the speaker meant. This allows for the possibility that, due to mismatches in context, the audience may arrive at an interpretation which it finds consistent with the principle of relevance, and hence assumes to be the speaker-intended one, but which, in fact, differs from the speaker's informative intention. What this means is that the criterion of consistency with the principle of relevance does not necessarily reveal all instances of miscommunication. This seems true to our experience: misunderstandings can go unrecognized for quite some time, not only in translation, but in communication in general -- which is just another

illustration of the fact that the principle of relevance does not guarantee communicative success.

Conclusion

[...]

In all instances we were able to account for the phenomena in question without reliance on descriptive-classificatory theory, and indeed without reliance on any translation principles or rules. In fact, I tried to show that the principles, rules and guidelines of translation are applications of the principle of relevance; thus the proposal is that all the aspects of translation surveyed, including matters of evaluation, are explicable in terms of the interaction of context, stimulus and interpretation through the principle of relevance, a universal principle believed to represent a psychological characteristic of our human nature. Thus the main contribution of this book is a reductionist one on the theoretical level - issues of translation are shown to be at heart issues of communication.

What I have *not* attempted to do is to show how all possible translation problems should be analysed or solved. Such an undertaking seems neither possible nor necessary. It seems impossible because translation problems are as varied as the languages, informative intentions and contexts that give rise to them. It is unnecessary because the analyses follow from our understanding of communication in general; the better our insight into human communication becomes, the better we shall understand translation problems. As far as solutions are concerned, they are determined by context-specific considerations of relevance.

On the assumption that the findings of this exploratory study are indeed valid for translation in general, the following important points can be drawn out.

Firstly, the translator must be seen and must see himself clearly as a communicator addressing the receptor language audience: whatever his view of translation, even if it is that of a 'phonemic translation' after the fashion of Zukofsky and Zukofsky (1969), he always has an informative intention which the translated text is to convey to the receptor language audience. This recognition should help to raise the often bemoaned, low status of translators as copyists, and prevent misunderstandings that arise from the pretense that there is a direct act of communication between the original source and the receptor language audience?

Secondly, another crucial point that every translator should grasp is that whatever he does in his translation matters primarily not because it agrees with or violates some principle or theory of translation, but because of the causal interdependence of cognitive environment, stimulus and interpretation. Furthermore, assumptions about what translation is or should be can influence the success of a given translation -- not in virtue of any special translation-theoretic status, but simply as contextual assumptions used in the interpretation process.

Thirdly, since the phenomena of translation can be accounted for by this general theory of ostensive-inferential communication, there is no need to develop a separate theory of translation. The success or failure of translations, like that of other instances of ostensive-inferential communication, depends causally on consistency with the principle of relevance? Indeed, if the relevance-theoretic account of communication is right, then it will be impossible to give an adequate account of translation *without* reference to the principle of relevance.

It may be worth pointing out that on the psychological level this proposal entails the claim that translation requires no special mental equipment not used in inferential communication generally. Utterances are translated from one language to another via the comparison of their interpretations, and the comparison of interpretations is a process inherently involved in all inferential communication. The fact that the interpretations compared are derived from utterances in different natural languages is incidental to the overall communication process; it obviously presupposes competence in more than one natural language, but this faculty for multilingualism needs to be accounted for in terms of linguistic competence in general; it is not peculiar to translation.

Fourthly, the choice of a particular approach to translation, such as direct or indirect translation, is not theoretically significant; both kinds of translations are processed by the same principles of communication, the distinction between

the two approaches is purely theory-internal. This implies that there is no *theoretical* necessity for a translator to follow either of the two approaches consistently. What he has to remember, though, is that unexpected deviations from a given approach can lead to mismatches in the cognitive environment and are therefore likely to put communicative success at risk.

Fifthly and more generally, the account of translation given here is neither descriptive nor prescriptive in its thrust, but explanatory. Its aim is not to give a systematic account of what people do in translation nor to tell them what they ought to do. It rather tries to understand what causal inter-dependencies are at work in translation, and hence to bring out what its conditions for success are. For example, this relevance-theoretic account may be seen to throw new light on the century-old debate of literal versus free translation: it is possible that the notions of direct and indirect translation spell out the intuitions underlying these two traditional notions. However, as I see it, the main contribution of this study is not to arbitrate in the debate by coming down on one side or the other, but to make explicit the communication-theoretic roots of this controversy and to help people understand the natural strengths and limitations of each approach.

The account given here is also explanatory in that it explains why translation occurs at all; it occurs where consistency with the principle of relevance requires that the utterance representing another utterance be expressed in a language different from that of the original.

Finally, due to its exploratory nature this study has tried to deal with a fairly wide range of phenomena - which means that many of them have only been touched on. I trust that this will stimulate others to research in greater depth the numerous facets of this fascinating faculty of our nature -- the ability to open our world of thought to one another, even when we do not speak the same language.

---- Ernst-August Gutt, *Translation and Relevance: Cognition and Context*¹²²

100. (英) 利奥·希基

Leo Hickey

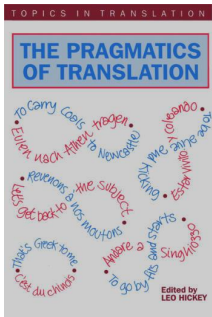
生平及重要译论：

利奥·希基 Leo Hickey，英国索尔福德大学（University of Salford）研究员、教授，主要研究领域为文体学、语用学、文体语用学以及翻译理论，曾出版多部学术专著及上百篇论文。

希基汇编的论文集《语用学与翻译》（*The Pragmatics of Translation*, 2001）为巴斯奈特和根茨勒主编的“翻译专题研究丛书”之一。该书从语用学这一全新的视角对翻译理论的研究进行了新的探索。该书所收13篇论文从不同角度论述了语用因素对翻译的影响，如：语言的行为功能、礼貌原则、相关原则以及合作原则、新信息与旧信息、前提与明示、时间与空间、指称与语篇连贯、会话中回避正面回答以及如何使译文读者获得与原文读者等同效果等因素。

希基从语用的概念重新理解译文与原文的关系。在翻译的过程中，译者的实际操作不同程度地受到诸多语用因素的制约和影响。希基认为翻译就是要获得译文与原文之间的“语用对等”（pragmatic equivalence），从而最大限度地使译文读者获得与原文读者同等的理解和感受。

史料图片选辑：



Leo Hickey:

The Pragmatics of Translation

译论史稿辑要:

(1)

In general, pragmatic approaches attempt to explain translation procedure, process and product -- from the point of view of what is (potentially) done by the original author in or by the text, what is (potentially) done in the translation as a response to the original, how and why it is done in that way in that context. If we return to the question of whether there is something in an original text which is carried over in its translation, a pragmaticist might suggest that something does indeed survive the process, namely (at the very least) what is potentially done by or in the original text, since the translation has the same capability. We say 'at the very least' because, of course, if an original text, for example, informs, entertains, demands payment of a debt or apologises for some mistake, the translation will (be expected to) not only perform these actions but do so in a manner similar to the original: it will have to convey the same, and not different, information, the entertainment will have to be of the same kind in both texts (a shaggy dog story will not be translated by a one-line aphorism), the demand for payment must be for the same debt and the apology must be for the same mistake as in the original.

The last two examples well illustrate our insistence on the 'potential' for doing things. No text by itself does anything: the act performed always depends on certain conditions, sometimes called 'felicity' or 'happiness' conditions (see Austin 1962: *passim*). Here, for example, the demand for payment will be made only of the person to whom it is intentionally addressed (who may be the reader of the original, of the translation or of both), and not of everyone who happens to pick it up and scan it; the apology will be made only to whoever has been affected by the mistake (who may read the original, the translation or both). This factor places readers of the original and of the translation on the same footing, since the fact of being a reader of the one or of the other is irrelevant to being the goal of the act: sometimes the goal will be the reader of the original, sometimes it will be the reader of the translation, sometimes these will be the same person(s).

---- Leo Hickey, *The Pragmatics of Translation*¹²³

(2)

In studying perlocution in translation, let us keep in mind that a translator is not concerned with real effects (if any) produced on real readers (if any) of the TT, but only with the potential effects. Let us also be aware that the writer's subjective intentions are irrelevant and can be ignored, except in so far as they are objectively manifested in the ST (see Austin, 1962: 106)

$$[\dots]$$

In accepting the broad thrust, though not the extreme details in all cases, of Gu's arguments, I will regard the speaker's locution and illocution as a trigger and I will deal here, not with perlocutionary acts or even causes, but with

perlocutionary effects potentially brought about in or on the hearer. To be practical, a translator must treat all such responses, however 'infinite and indefinite', as being analogous to one another on the ground that they have at least their trigger or cause in common, even if the readers and their contexts may be different. Although such perlocutionary effects may fall outside the study of pragmatics and linguistic communication, as some argue (see Gu, 1993: 428, Leech, 1983: 203), in dealing as she thinks best with the locution (what the ST says) and the illocution (what the ST does), a translator (see Gutt, note 1: this volume) must examine all potential perlocutions (the effects and responses reasonably predictable -- on the basis of the common trigger or cause -- in or on the mind, imagination, feelings or actions of a reader of the TT) as a check to ensure that perlocutionary equivalence -- 'perlocutionary analogy' might be a more accurate term -- has been achieved.

My contention then is that, just as the ST is capable of producing or likely to produce or stimulate one or more analogically related perlocutionary effects on its original readers, so also any TT must, in turn, be capable of producing 'analogous' perlocutionary effects on its readers. The use of the adjective 'analogous' rather than 'similar', allows for the fact that, just as not all ST readers or their contexts are the same, so also the TT readers may be quite different, and situated in different contexts, from any of the ST readers.

[...] With this divergence in mind, I wish to suggest that understanding or knowledge of what has been said -- if such a reaction or effect is ever possible on its own in real life or if, to parody Austin, there is such an animal --- comes under my (broadened) category of perlocution, on the grounds that it is something that takes place within the domain of the hearer's response allowing him to react further as he thinks best after the speaker has performed her part in the event.

Therefore by perlocutionary effect I mean, for the purposes of this study, any effect, result or response, which may range from (mere) understanding to being alarmed or frightened and even to shooting someone (Austin's example), produced in or on the hearer by a locution/illocution either alone or in combination with some relevant features of the context and the reader. It therefore extends to any change in the hearer's state of mind, emotion, actions etc.

Perhaps I have arrived, by a circuitous route, at a position quite close to Nida's 'dynamic' or 'functional' equivalence (see de Waard and Nida, 1986: 36--40), or to Newmark's 'equivalent effect' (see Newmark, 1988: 48), which the latter sees as a desirable result rather than as the aim of any translation. Yet my contention is that the concept of perlocution outlined here means that the translator must aim to provide a text capable of offering its readers the opportunity of experiencing an analogous effect to that which the ST offered its own readers, that it must do this always and not just in certain cases, as Newmark seems to suggest, nor just allowing them to 'comprehend the translated text to such an extent that they can understand how the original receptors must have understood the original text', as Nida requires (see de Waard and Nida, 1986: 36).

Let us take a fairly realistic example. Suppose a commercial letter ends as follows: 'Thanking you for the prompt settlement of your account', any translation of this phrase, however locutionarily (or literally) accurate or illocutionarily similar to the ST with regard to the linguistic level or the act of thanking the addressee, which gives the latter either a feeling of satisfaction at having paid the bill (if he has not) or convinces him that he must pay it (if he has already done so) will be inadequate from the perlocutionary point of view; the translator must produce a version that will be as perlocutionarily ambiguous as the original, which is locutionarily and illocutionarily clear (unless we wish to distinguish the speech act of 'thanking in advance' from that of 'thanking in arrears') but leaves the 'prompt settlement of your account' perlocutionarily unclear as to whether the reader should feel satisfaction at having already paid or be convinced that he must now pay the bill.

I now wish to look at three factors that are closely involved with perlocution.

Marking

Whatever energies from the pen of the translator, it seems certain that it will be, or have some connection with,

reported speech. After all, a translator is *de facto* a mediator, a third person, intervening between the writer of the ST and the reader of the TT. Whether this mediation is quite 'visible' (as in a word-processed document headed 'Translation' and signed by the translator) or virtually 'invisible' (as when a brief text on mathematics, consisting mainly of formulae, is translated from one language to another on an otherwise blank sheet of paper), the translator has accomplished a task that yields an output, the TT, which is one step away -- in some real or metaphorical sense -- from the original. The TT reader, consequently, will read something which is necessarily different from what the ST author wrote.

I suggest, therefore, that a TT is somehow 'marked' in the sense that it may carry a kind of notice or signal, however notional, along the lines: 'Read the following text as a translation', 'The original text refers not to Britain but to Spain' or 'An original text says, does and may cause you to[...]'. The result is that, at some level, the reader should or is bound to read the TT in a way that differs from the way in which the original text is read: for example, by imagining that he is in a 'world' or society which he would not immediately imagine, by mentally adapting references, allusions or terms that he does not automatically recognise, or by simply making adjustments of the type 'When the text says "I" or "my", it doesn't mean the writer of what I am reading but rather some third person'.

I am not referring necessarily to such overt marks as the translator's name on the title page of a work of literature, blatantly foreign names and addresses on word-processed sheets or even explicit references to foreign terms, currency, place-names or customs. I am referring, rather, to the reality interposed between the ST and the final reader, a textual operator which ensures that the reader is told what the original text says, does and may stimulate, rather than being obliged or permitted to experience the original for himself at first hand.

This is not to say that some translated texts may not themselves function as original texts: for example, multilingual public notices, Acts of Parliament passed in all relevant languages or other texts which are signed or validated by whatever person or process is competent to validate them, such as the President of the Republic, the Company Secretary or the author of a bilingual text in a multilingual or diglossic situation.

Exegesis

The view that translations are *ipso facto* mediated and marked to that effect leads easily to the question of exegesis or explanation of the ST. The difficulties readers may experience in understanding a TT may be due to the fact that it is not 'about', does not 'refer to' or 'use' the culture, including the language or other realities, that would be accessible or known to them. A legal text is likely to be 'about' certain concepts and realities (constituting, amending or discussing them), a literary text may 'refer to' certain realities in order to stimulate a particular type of (aesthetic) experience, and humorous texts at most 'make use of' certain realities which may be quite peripheral to what is being aimed at (usually to amuse the reader).

[...]

Since the TT will be marked as referring to Spain, the perlocutionary effect which it is capable of producing will be a function of the level of any exegesis provided. Perlocution derives from locutionary/illocutionary acts + context + reader, and TT context = ST context + exegesis + marking; therefore the perlocution will depend -- among other factors -- on the levels of marking and exegesis which operate to adjust the TT reader's context and his 'suitability' as a reader, in order to make him a more 'suitable' reader and situate him in a more 'suitably fitted' context to the TT. The more strongly or visibly the text is marked as a translation of a text from a given source culture, the less exegesis will be appropriate: this is clear in the case of legal texts; the more weakly, invisibly or notionally the marking, the more exegesis may be required to make the text suitable to be read by a TT reader.

Recontextualisation

In discussing marking and exegesis I have posited a situation in which a translator may strongly mark a TT as

deriving from an ST of a certain culture, leaving the cultural linguistic and other references more or less intact or, alternatively, may give a strong exegesis or explanation of the ST background, thus requiring weaker marking. I now posit the possibility that an original context (including features of the language) may play such an essential part in the perlocution that no degree of exegesis or marking combined will achieve the desired effects. For example, humour frequently depends for its effect on some characteristic of the original language, which it may not share with the target language.

By recontextualisation I refer to a radical approach to the translation of a particular text, which consists of totally or partially abandoning the literal, propositional or locutionary level while maintaining the illocutionary act (usually 'telling') as far as possible and focusing strongly on the perlocutionary effect, directly or accurately reproducing it.

...

It will be obvious that I have applied only to three types of translation the suggestion that a TT's effectiveness in bringing about perlocutionary effects analogous to those of the ST may depend directly on its strength of marking, degree of exegesis and use of decontextualisation. The validity or usefulness of the suggestion itself, not to mention its applicability to other types of translation, remains to be tested.

(本书注：根据 Hickey, ST 指 source text; TT 指 target text; three types of translation 指 legal translation, literary translation 和 translation of humour)

---- Leo Hickey, *The Pragmatics of Translation*¹²⁴

101. (英) 斯图尔特·贝茨

E. Stuart Bates

生平及重要译论：

斯图尔特·贝茨 E. Stuart Bates，英国卓有成就的古文学家、古典作品翻译家、翻译理论家，其代表作是专著《现代翻译》(*Modern Translation*, 1936)。

贝茨认为很难发现真正的双语者，因为“懂得”(know)一门语言就意味着必须具备彼此不可共存的性格和生活方式，而这是极难做到的，因此需要消除对语言知识的片面看法。他说，一个人

只能对一种语言掌握到家。

而对其他语言无论怎样熟悉也只能是“好象住在旅馆，却到不了家”。因此译者只能将母语作为译文语言。

贝茨认为应该正确认识翻译的忠实问题，忠实重在精神实质。他将翻译比作婚事：翻译就和婚事一样，对于好的结合，怎么忠实也不算过分，而对于坏的结合，忠实则是多余。但他同时也反对类似放大照片式的忠实，这样做只能是表面忠实实质却是不忠实。¹²⁵

贝茨还认为译作完全可能像原作一样经久不衰。如果译者能够以原作者的手段再现原作的思想，而且还能像原作者一样善于驾驭自己的语言，译作甚至完全可以超过原作。

贝茨还对翻译古典作品提出自己的建议。他认为对于古典作品要译出其古味但又要避免译文象天书，方法是尽量选用那些词源古老但现在仍为人所用的词语。

102. (澳大利亚) 迈克尔·亚历山大·柯克伍德·韩礼德

Michael Alexander Kirkwood Halliday

生平及重要译论:

迈克尔·亚历山大·柯克伍德·韩礼德 Michael Alexander Kirkwood Halliday, 1925.4.13- , 澳大利亚当代著名语言学家。出生于英国约克郡利兹 (Leeds, Yorkshire), 曾就读伦敦大学获中国语言文学学士学位, 在北京大学及岭南大学曾师从罗常培教授和王力教授攻读汉语 (1947-1950), 1955 年在剑桥大学师从弗斯 (J. R. Firth) 完成关于中国《元朝秘史》的语言学分析论文并获剑桥大学哲学博士学位。此后, 还曾获得澳大利亚、加拿大、中国、法国、希腊、印度等国荣誉学位。曾任教于英国剑桥大学 (Cambridge)、爱丁堡大学 (Edinburgh University)、伦敦大学 (University of London)、美国伊利诺斯大学 (Illinois University)、埃塞克斯大学 (Essex University)、布朗大学 (Brown University) 和肯尼亚内罗毕大学 (Nairobi University, Kenya) 等诸多大学, 教授中文和语言学。1976 年移居澳大利亚, 筹建了悉尼大学 (University of Sydney) 语言学系并担任系主任。1987 年 12 月成为荣誉退休教授。

韩礼德的代表著作主要有《语言功能探索》(1973)、《语言的系统和功能》(1976)、《英语中的衔接》(*Cohesion in English*, 1976)、《作为社会符号的语言》(*Language as Social Semiotic: the Social Interpretation of Language and Meaning*, 1978)、《功能语法导论》(*An Introduction to Functional Grammar*, 1985)、《口语与书面语》(*Spoken and Written Language*, 1989) 等。

韩礼德深受弗思和马林诺夫斯基学术思想的影响。他继承和发展了伦敦学派奠基人弗斯的学术理论, 成为伦敦学派的主要代表人物及新弗斯学派的领袖和系统功能语法的创始人。

韩礼德是从系统和功能的角度来分析认识语言的, 反对乔姆斯基的纯形式主义的转换生成语言理论。他认为语法与人类的实践经验有着天然的联系。他将语言看作是社会符号, 特别强调语言的符号性, 即系统功能语言学强调“机体之间”(inter-organism)的关系(而转换生成语言学则强调研究“机体内部”即 intra-organism 的关系)。他强调语境因素与语义表达的关系, 注重语言的意义和功能。他强调语言学应当将语篇作为分析的主要对象, 而不应当是语言本体即句子及其结构关系。

他还特别提出层面、级阶及范畴语法的概念以说明语言的表达和内容方面各自存在的实体与形式, 即语音与音位和语义和语法。他进一步说明同一层面的级阶为构成关系, 其性质不变, 而层面与层面之间则为实现关系。

在此基础上, 他又提出语言的三大元功能或称纯理功能学说, 即达意(概念)功能功能(ideational function)、人际功能(interpersonal function)和语篇功能(textual function), 系从语言的宏观功能(macrofunction)包括理性功能(mathetic function)和实用功能(pragmatic function)发展而来。他将儿童语言所具有的功能则称为微观功能(microfunction), 包括工具功能(instrumental function)、限制功能(regulatory function)、交际功能(interactional function)、个人功能(personal function)、启发功能(heuristic function)、想象功能(imaginative function)和告知功能(informative function)。

近年来韩礼德还致力于与机器翻译有着密切关系的计算机自然语言模糊智能计算问题。针对模糊计算带头人东京理工大学(Tokyo Institute of Technology)菅野教授(Professor Michio Sugeno)的“用词计算”, 他提出“意义计算”和“计算意义”的主张:(参阅下面的“译论史稿辑要”2)

但是, 我觉得“用词计算”容易引起误解, 体现在两个方面: 其一, 如果在词汇语法层上用语言进行计算, 那么只会用小句和句子进行计算, 而不会用词计算; 其二, 不管怎样, 用语言交互总是用语义交互, 而不是用词汇语法交互。如果智能计算是基于自然语言的计算, 那么这种计算就是用意义的计算, 而不是用词的计算。但是, 与此同时, 必须说明清楚, 意义之于语言现象正如词之于语言现象。¹²⁶

作为系统功能语言学派的大师, 韩礼德的系统功能语法为翻译的语言学派提供了坚实的理论根据, 将西

方译学理论向前推进了一大步。

韩礼德和利奇（Geoffrey N. Leech）还将布拉格学派的莫卡罗夫斯基（Mukarovský）的前景化（foregrounding）（也称 prominence 即“突出”）理论引入其语言学体系中。利奇将其称为“有动因的艺术性偏离（deviation）”，韩礼德则将其解释为“有动因的突出”。“前景化”意为在常规语言形式下对于语言符号的突出。韩礼德认为，某语言的形式是否被前景化需要考虑三个方面的因素，即：

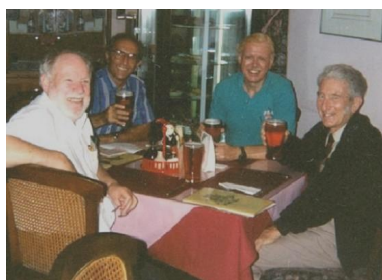
- 1) 该语言中哪些属于常规的语言形式；
- 2) 该语言中哪些是因偏离常规而被突出的语言形式；
- 3) 该语言中的突出是否与语言的整体意义相关，是否与解释作者的意图相关。

根据韩礼德，只有与作品整体意义相关或与解释作品相关的突出才能凸现出作者的动机。

韩礼德早在 1961 年还曾提出要利用语言学模式建立起翻译过程及机器翻译的语言学模式：（参阅下面的“译论史稿辑要” 1）

用语言学模式来描写翻译过程也许是很有意义的，而且不是从语言研究领域外部的先人之见来进行描写，而是根据语言活动自身的模式来进行描写。

史料图片选辑：



with Robert de Beaugrande, John
Sinclair and Mohsen Ghadessy
Hong Kong, June 1996

译论史稿辑要：

（1）

It might be of interest to set up a linguistic model of the translation process, starting not from any preconceived notions from outside the field of language study, but on the basis of linguistic concepts such as are relevant to the description of languages as modes of activity in their own right.¹²⁷

（2）

But I felt that "computing with words" was liable to be misinterpreted, and on two counts: that if you were computing with language at the lexicogrammatical level it would be with clauses and sentences rather than with words; but that in any case the relevant interfacing with language would be with the semantics rather than the lexicogrammar. If intelligent computing was computing based on natural language, it would be computing with meanings, not computing with wordings. But, at the same time, it had to be made clear that meanings are just as much phenomena of language as wordings are.

[...]

There are in fact two noticeable disjunctions needing to be overcome, in the move into the intelligent computing phase. One is this one between language and knowledge, or rather between meaning and knowing, or meaning and

thinking. Natural language processing systems typically operate with one kind of representation for language, a "grammar", and another, very different kind of representation for knowledge -- a separate "knowledge base"; and the two different representations have then to be made to interact [Figure 1]. If we reconceptualize the knowledge base as a **meaning base** -- as another level in the representation of language -- the problem becomes more easily manageable: instead of two systems, one inside language and one outside (the grammatical and the conceptual), there is only one system, language, with two levels of representation, the grammatical (lexicogrammatical) and the semantic [figure 2] (cf. Halliday & Matthiessen 1999)

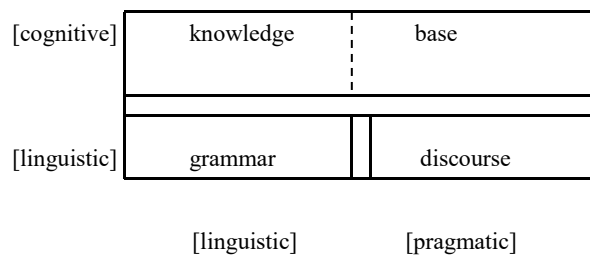


Figure 1: The cognitive model

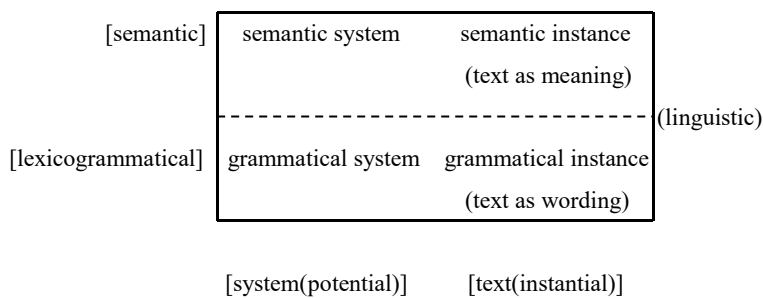


Figure 2: The semantic model

The second disjunction I have in mind is that between the **instance** and the **system** of which it is an instance. The grammar of a natural language is represented **systematically**: conventionally as a set of structures, or, in a systemic grammar, as a network of options -- language as semiotic potential. On the other hand, reasoning and inferencing are operations performed on (representations of) **instances**. Now, any instance is meaningful only by virtue of its place in, and its derivation from, the total systemic potential. But in computational reasoning and inferencing, the instances are typically presented as unrelated to the overall system of the language. They are handled as "discourse", with the implication that discourse is process, without any system behind it. If we reconceptualize discourse as "text" -- as the instantiation of an underlying system -- the problem of reasoning and inferencing may also become more easily manageable [Figures 1 & 2].

Each of these disjunctions corresponds to a major duality in western thinking, enshrined in contemporary philosophy and philosophical linguistics. The first is the duality between language and mind, which is institutionalized in today's dichotomy between linguistics and cognitive science; the second is the duality of langue and parole, which in turn is institutionalized in today's dichotomy between linguistics and pragmatics (See Ellis 1993, esp. chapter 5, and Matthiessen 1993, for relevant discussions.). These dualities are taken over into our intellectual pursuits -- such as computational linguistics -- without being problematized or even brought to conscious attention. But there are alternative strategies available, as I have remarked. Instead of two systems, one inside language (the

grammatical) and one outside language (the conceptual, or cognitive), it is possible to operate with one system, language, having two related levels of representation, the (lexico)grammatical and the semantic; and instead of two classes of phenomena, one of language (grammar) and one of parole (discourse), it is possible to operate with one phenomenon, language, having two degrees or phases of instantiation, that of system and that of text. The "knowledge base" becomes a "meaning base", which can then be described in a framework that is homologous to the grammar; and each instance of wording or meaning can be described by reference to the overall potential of the system.

In this way the boundaries are redrawn as boundaries within language itself. The frontier between language and cognition becomes a **stratal** boundary between grammar and semantics, or wordings and meanings; while the frontier between langue and parole becomes an instantial boundary between the system (of grammar or semantics) and the instance (of wording or meaning). I shall suggest below that the two dimensions of **stratification** and **instantiation** can be used to define a matrix for locating computational linguistic representations (See Figure 7). Meanwhile, a consequence of redrawing these frontiers as boundaries internal to language is that both of them become indeterminate, or "fuzzy". Since they are theoretical constructs for explaining, and managing, what is now being conceived of as a single unified semiotic system, namely language, this is not really surprising. But they are fuzzy in different ways.

Instantiation is a cline, modelling the shift in the standpoint of the observer: what we call the "system" is language seen from a distance, as semiotic potential, while what we call "text" is language seen from close up, as instances derived from that potential. In other words, there is only one phenomenon here, not two; langue and parole are simply different observational positions. But we can also position ourselves at an intermediate point along this cline, moving in from one end or from the other. I think that the critical intermediate concept, for our purposes, is that of **register**, which enables us to model contextual variation in language. Seen from the instantial end of the cline, a register appears as a cluster of similar texts, a **text type**; whereas seen from the systemic end, a register appears as a **sub-system**. Computationally it is possible to exploit these two complementary perspectives [Figure 3].

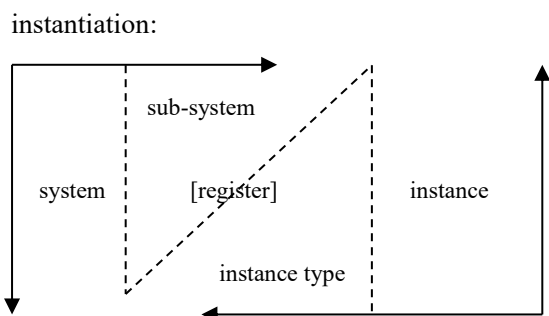


Figure 3: Instantiation

Stratification is a relationship of a different kind. The boundary between semantics and grammar is a true boundary; these are two distinct levels, or, **strata**, within the content plane of natural language, and they have different realms of **agnation** -- that is, the organisation of grammatical space differs from the organisation of semantic space. But we can draw this boundary at different places, shifting it "up or down" according to the task in hand. Furthermore, having defined the relationship between semantics and grammar in this way, we are then able to extend the same concept (known as realisation) so as to model the relationship of language to the context of situation, interpreting the context also as a semiotic system [Figure 4]. Thus by deconstructing the two dualities and overcoming the disjunctions they set up, we gain additional freedom of movement on both the dimensions involved.

stratification:

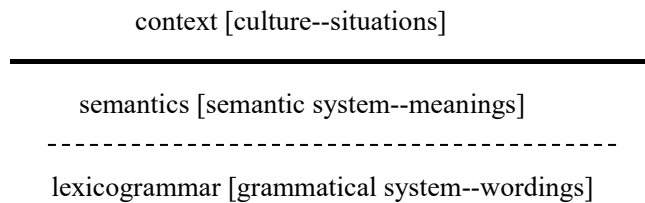


Figure 4: Stratification

How is this relevant to the issue of "intelligent computing"? This concept, as defined by Sugeno and by Zadeh, involves using natural language as the language of the computer; natural language as the computational metalanguage. But this inevitably raises questions of representation. It is sometimes forgotten that the orthographic system of every (written) language already involves a large number of highly complex decisions about meaning -- what meanings are to be distinguished, how they are to be interrelated, and so on; to take a very clear example, in the English writing system, if a semantic contrast is realized by the order of elements it will be registered in writing (*you can go / can you go*), whereas if it is realized by intonation or rhythm it is not (thus *you can go* represents a wide range of different kinds and degrees of emphasis, different modalities and so on). Since these decisions were taken a long time ago, without conscious reflection, we tend simply to forget about them; but the differences in meaning that are obscured in this way could be critical to the computational process. Even if we have a speech recognition system which can accept spoken input, however, this does not eliminate the problem. Using natural language as metalanguage does not mean plucking isolated instances out of the air, as can be done with simple command control or question-answering systems. It means locating each instance within a defined realm of meaning potential, from which it derives its value in the given computational context -- in other words, relating the instance to the system, or to some specified register or sub-system; and this requires engaging with the language in theoretical terms. We cannot just take language for granted as something we know all about in terms of common sense (which usually means, in practice, in terms of how our teachers used to talk about language in primary school). Intelligent computing will make stringent demands on the full range of complexity of natural languages; otherwise they would be of little use for the purpose. Therefore, it will require theoretical tools for describing and managing that complexity.

In other words, it will require what I have been calling a **grammatics**: a model of language which uses grammar as its underlying logic. Let me recall here Zadeh's reference to the "flaw in the foundations of science and engineering", and ask what Zadeh meant by this remark. The flaw, as Zadeh saw it, was that mathematics ruled, and that events were "quantized rather than granular": features that were characteristic of what he called "hard computing". We were now moving into an era of "soft computing", in imitation of human thinking which is "granular", a granule being defined as "a group of points with a fuzzy boundary". In other terms, "computational intelligence" (the analysis and design of intelligent systems, human-like in that they are based on approximate reasoning) takes over from "artificial intelligence" (which Zadeh characterised as analysis and design of physical systems); just as, in the industrial revolution, machine power augmented and transformed human muscular strength, so in the information revolution machine intelligence augments and transforms the power of the human brain (Zadeh, 1995). Terano observed, in the same context (1995), that there is no mathematical model for macroscopic information processing; it is too "ill-structured". What then replaces mathematics in this new context? -- the answer has to be, I think, **grammar**. When language comes to function not just as the **object** of computing but as its **instrument**, the intellectual foundation may have to shift, from mathematical logic to grammatical logic. Mathematics and grammar are both semiotic systems;

but they constitute different, and in a sense complementary, kinds of logic: the logic of numbers and the logic of wordings and meanings -- linguistic logic, in Sugeno's formulation.

As mathematics enables us to manage the complexity of numbers, so the grammatics enables us to manage the complexity of language. (And also, perhaps, to celebrate it! -- we are often reminded of the aesthetic appeal of mathematics, but the aesthetic appeal of grammar has scarcely begun to be recognized, though it is certainly no less than that of numbers.) This means theorizing about language with an orientation towards working systems, in data fusion, contextual simulation and other such operations; not only mapping out the complexity but finding ways of ordering and operationalizing it. If I was seeking a research grant, I might dream up a "total language complexity management system".

In fact, of course, it will not be total; there are aspects of the complexity of language which we must be able to ignore, as irrelevant to the tasks in hand. So what are the aspects of linguistic complexity that do need to be taken into account, in practice, if one is computing with natural language? Here is a first guess, very tentative, in summary form. The first five points have been discussed already; the sixth and seventh remain to be explained.

- (1) **words** function by being organised into wordings (lexicogrammatical patterns);
- (2) **wordings**, in turn, construct semantic patterns, or meanings;
- (3) **meanings** relate systematically to features of the context;
- (4) particular **instances** of wording/meaning derive their value from their place in the system (relationships within the system network, or **agnation**);
- (5) the **system** accommodates **sub-systemic variation** (variation in register);
- (6) the **system** is organised **metafunctionally** (into zones of semantic space, which determine both the form of the grammar and its relationship to the context);
- (7) **meaning** involves three dimensions of history: **evolution** of the system, **unfolding** of the individual text, **development** of the human infant into adulthood (phylogenesis, logogenesis, ontogenesis).

I shall first discuss point no. (6); then, on the basis of (1) - (6), suggest a possible architecture for a linguistic module that might be used in intelligent computing. Finally I shall return to point no. (7), adding one further dimension to the total picture.

Let me return briefly to the notion of lexicogrammar (which we usually refer to simply as "grammar", for short). A grammar is a purely abstract semiotic construct that evolves as a distinct level, or **stratum**, in between the content and the expression; by "purely abstract" I mean that it has no direct interface with material phenomena (whereas the "lower" stratum, that of spoken or written expression, interfaces with the human body, and the "higher" stratum of the content, that of semantics, interfaces with human experience and human social processes). A stratified system of this kind -- one with a grammar in it -- has the special property that it can **constitute**; unlike simple sign systems, which reflect meanings that are already given, a stratified system creates meaning. It **creates** meaning, of course, in contexts of **function**; and because the meanings are then non- randomly related to features of these contexts, it can also create the contexts themselves.

The functional contexts of language fall into two major types; and the semiotic function that language is performing differs as between the two [Figure 5]. On the one hand, language constitutes human experience; and in this aspect, its function is to **construe**: language **imposes order on** the world that lies around us, and that is located within ourselves. On the other hand, language constitutes human relationships; and in this aspect, its function is not to construe but to **enact**: language **brings about** our ongoing social interaction. The grammar integrates these two modes of meaning in such a way that every **instance** -- everything we say or write, listen to or read -- "means" in these two ways at once. These major functional types are referred to in systemic theory as **metafunctions**.

metafunction	gloss
ideational:	construing experience (the "knowledge base")
experiential:	construing categories
logical:	construing relations among categories
interpersonal:	enacting personal & social relationships (the "action base")
textual:	creating flow of meaning (the "text, or discourse, base")

Figure 5: The metafunctional components of meaning

This interdependence of the two metafunctions, the **experiential** (or **ideational**, to give it its more inclusive name) and the **interpersonal**, has been central to the evolution of language, and to its persistence as a metastable system, constantly changing in interaction with its environment. The ideational mode of meaning comes closest to "meaning" in the everyday sense of the term ('content', especially 'referential content'). It is language as the **categorizing** and logical **construing** of human experience: that is, language taking over the material processes and conditions of human existence and transforming them into meanings. We usually become aware of this semiotic transformation only when we consider designed scientific or technical knowledge, where we have a clear sense of the semiotic energy involved (for example in writing a theoretical paper such as the present one!). But all knowledge is like this. To "know" anything is to have transformed it into meaning; and what we call "understanding" is the process of that semiotic transformation.

The integration, by the grammar, of ideational and interpersonal meanings calls into being a third functional component, the **textual** metafunction, which creates a flow of meanings, a semiotic current by which the other components are activated in conjunction. We refer to this process, or more often to its output, by the name of "discourse". In commonsense terms, what makes it possible for humans to develop and use language, in the contexts of daily life, is that every linguistic act (every **act of meaning**) involves both talking about the world and acting upon those who are in it; and that this conjunction is achieved by creating a semiotic flow of events that parallels, and in some respects mimics, the material flow which constitutes its environment.

By a "linguistic module" for intelligent computing, I mean an operational map of the terrain, such that any step in the process of computing meanings can be located and defined within an overall theoretical framework. Such a module could be initially constructed as a simple matrix intersecting stratification and instantiation. For the purpose of illustration, I shall ignore the expression plane, and consider just the strata of lexicogrammar, semantics and context. On the instantiation cline, I shall include just the one intermediate category of "sub-system/type". This gives a framework consisting of nine cells, but with those of the centre column represented in two aspects [Figure 6].

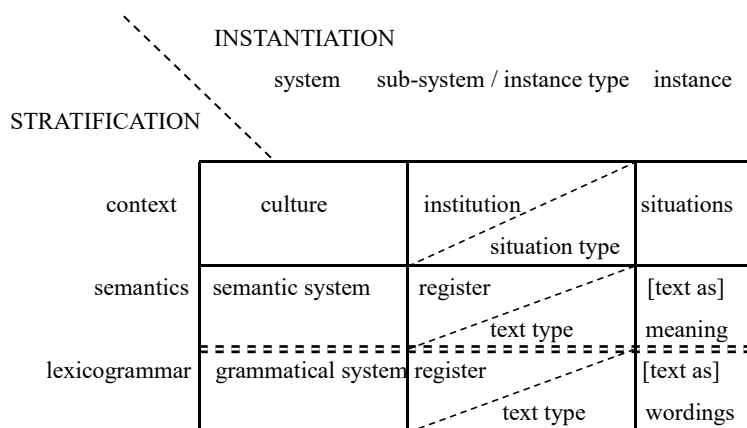


Figure 6: Instantiation / Stratification matrix

Each of the nine cells defined in this way is in turn occupied by a structure of an analogous kind. If we take as prototypical the bottom lefthand cell (column "system", row "lexicogrammar", i.e. the lexicogrammatical system), this structure takes the form of another matrix, this time with the vectors of metafunction and rank. The metafunctions are common to semantics and grammar; shown here in their grammatical "order" (logical; experiential, interpersonal, textual). The ranks are the structural units of the grammar (clause, phrase, group word; each with its associated complex -- clause complex, &c.).

The form of entry, in each cell of this inner matrix, is that of a system network. What this means is that the grammatical system of the given language is represented **paradigmatically**, in the form of a network of options, or alternative possibilities: either positive or negative, either past or present or future, either indicative or imperative, and so on; each set of options accompanied by its realisations. The grammar is thus presented synoptically, as a resource. Operationally, the activity of meaning consists in tracing paths through this network; either "left to right", in the case of production (speaking or writing), or "right to left" in the case of understanding (listening or reading). The network is open-ended: the more we know, or find out, about the grammar, the further we can extend it in delicacy, or depth of detail. Current systemic grammars of English in computational form have about a thousand sets of options (**systems**, in the technical sense).

---- M.A.K.Halliday, *Computing Meanings: Some Reflections on Past Experience and Present Prospects*¹²⁸

103. (荷兰) 詹姆斯·霍姆斯 James Holmes

生平及重要译论:

詹姆斯·霍姆斯 James Stratton Holmes (Jim), 1924.5.2-1986.11.6, 美籍学者, 诗人、翻译家、文学家、翻译理论家。荷兰阿姆斯特丹大学 (docent Universiteit van Amsterdam) 普通文学系讲师 (因不愿改变个人生活方式而放弃晋职)。出生于美国衣阿华州的柯林斯 (Collins, Iowa)。

霍姆斯是早期翻译研究学派的创始人, 矢志于将翻译学建成一个学科, 现在国际通行的翻译学学科名称 (Translation Studies) 即出自该学派。1972 霍姆斯在哥本哈根第三届国际应用语言学大会上发表了划时代的论文《翻译研究的名与实》(*The Name and Nature of Translation Studies*, 1972), 该文被认为是翻译研究学派的宣言和纲领性文件。1988 年该文经修改收入其个人论文集《译好了!》(*Translated! Papers on Literary Translation and Translation Studies*) 中。霍姆斯在该文中正式提出应该将翻译学视为一门独立的学科, 并具体地将该学科分为纯翻译学 (pure translation studies) 和应用翻译学 (applied translation studies)。霍姆斯还对翻译学科的结构框架包括名称、性质、范围等进行了阐述。但当时并未引起足够的重视。

霍姆斯确定了翻译研究的两大目标: 1) 描写经验世界中表现为翻译行为和翻译过程的种种现象; 2) 建立可以赖以解释和预测这些现象的普遍的原则, 并由此又将纯翻译学分为理论翻译学 (theoretical translation studies) 和描述翻译学 (descriptive translation studies) 两大分支。

理论翻译研究主要包括普遍理论研究和局部理论研究。局部理论研究则包括: 1) 翻译手段; 2) 翻译范围; 3) 翻译等级; 4) 文本类型; 5) 不同时期的翻译; 6) 特殊问题。

描写翻译研究则包括三类: 产品导向 (product-oriented) 研究、过程导向 (process-oriented) 研究、功能导向 (function-oriented) 研究。产品导向研究有可能导致大型翻译通史的产生, 过程导向研究有可能导致心理翻译研究 (psycho-translation studies) 的产生, 功能导向研究则可能导致社会翻译学 (socio-translation

studies) 的产生。¹²⁹

至于应用翻译研究, 霍姆斯认为应当包括四个部分: 1) 译员培训; 2) 翻译辅助手段; 3) 翻译政策; 4) 翻译批评。

继霍姆斯之后, 以色列的吉蒂昂·图里 (Gideon Toury) 继续完善和系统地阐述了描写翻译研究。

译论史稿辑要:

(1)

A fair share of the 'professional literature' on translation, wrote the late Jiří Levý in his *Umění překladau* (The Art of Translation), consists of 'chatty essays', and in the past most studies on literary translation 'have not advanced beyond the range of empirical comments or essayistic aphorisms'. Levý's remarks date from 1963, but they would seem to be almost as true today. Even so, recent years have seen an increasing amount of serious study regarding the problems of literary translation, particularly in Eastern Europe.

---- J.S. Holmes (ed.), *The Nature of Translation*¹³⁰

(2)

All translation is an act of critical interpretation, but there are some translations of poetry which differ from all other interpretive forms in that they also have the aim of being acts of poetry[...] it might be helpful if for this specific literary form, with its double purpose as meta-literature and as primary literature, we introduced the designation "metapoem."

---- J.S. Holmes, *Forms of Verse Translation and the Translation of Verse Form*¹³¹

(3)

Put five translators onto rendering even a syntactically straight-forward, metrically unbound, imagically simple poem like Carl Sandberg's "Fog" into, say Dutch. The chances that any two of the five translations will be identical are very slight indeed. Then set twenty-five other translators into turning the five Dutch versions back into English, five translators to a version. Again, the result will almost certainly be as many renderings as there are translators. To call this equivalence is perverse.

[...]

Two Languages can chance to "interlock" at specific points, quite accidentally, in such a fashion that the translation appears to come through more or less all of a piece. This happens all too rarely, but when it does, the translation seems almost to write itself.

---- J.S. Holmes, *On Matching and Making Maps: From a Translator's Notebook*¹³²

(4)

The task of the scholar who wishes to describe the relationship between the translated text and its original would seem to be obvious. He must attempt to determine the features of the translator's two maps and to discover his system of rules, those of deviation, projection, and above all, correspondence - in other words, the translator's poetic.

[...]

The task of working out such a repertory would be enormous. But if scholars were to arrive at a consensus regarding it, in the way, for instance, that botanists since Linnaeus have arrived at a consensus regarding systematic methods for the description of plants, it would then become possible, for the first time, to provide descriptions of original and translated texts, of their respective maps, and of correspondence networks, rules, and hierarchies that would be mutually comparable. And only on the basis of mutually comparable descriptions can we go on to produce well-

founded studies of a larger scope: comparative studies of the translations of one author or one translator, or -- a greater leap -- period, genre, one-language (or one-culture), or general translation histories.

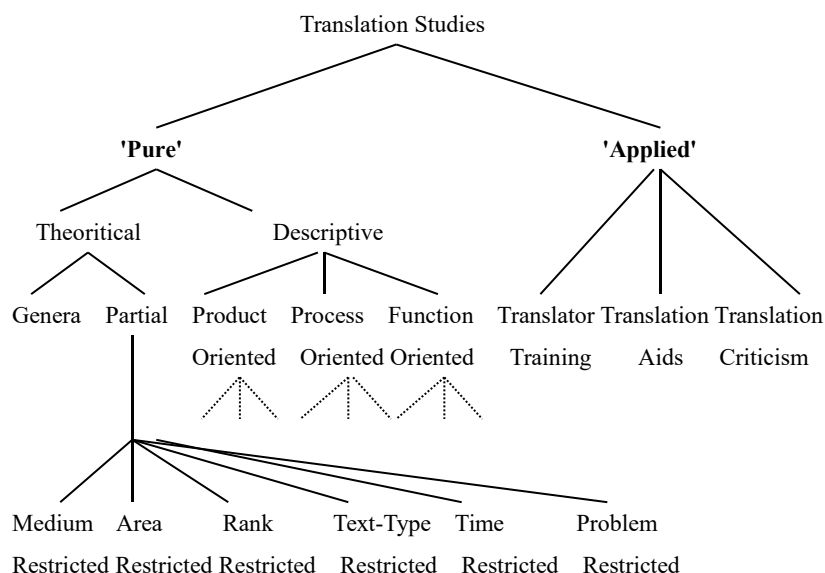
---- J.S. Holmes, *Describing Literary Translation: Models and Methods*¹³³

(5)

That is, until I discovered some time later (I had worked on the translation from a typed-over text of the original) that the fifth line in the Dutch does not read 'Handen- en voetenval' (as my typescript had had it) [and which he had translated 'Footfall and hand-fall'] but 'handen- en voeten~~tal~~'. I still see no way of fitting that *-tal* (number) into a formally counterparted translation. But I like the translation as it is, a rendering with a flaw, like the grain of sand in a cultured pearl, but for all that not a bad English poem (to my taste, at any rate). (Holmes 1988: 60)

---- James Holmes, *Translated! Papers on Literary Translation and Translation Studies*¹³⁴

(6)



(Holmes' basic 'map' of translation Studies, from Toury 1995:10)

(7)

按照这种提法*, 我想没有人会否认翻译学是一门实验学科。我们不时听说, 实验学科有两大目标, 这两大目标亨普尔 (Carl G. Hempel) 说是「描写我们身处的世界上的特定现象, 并且定立普遍原则以解释和预测这些现象」(Hempel 1967: 1)。作为一个纯研究领域——那就是说, 为研究而研究而跟任何在其本身领域之外的直接实际应用毫不相干, 翻译学有两个目标: (1) 描述我们身处的世界上出现的翻译过程和翻译成果这类现象; (2) 定立普遍原则以解释和预测上述现象。纯翻译学与这两大目标有关的分支可以称为描述翻译学或翻译描述, 以及理论翻译学或翻译理论。

上述两者之中, 我们也许可以首先考虑描述翻译学, 这一分支与它所研究的实际现象永远保持最密切的联系。描述翻译学研究看来可以分为面向译本、面向功能和面向过程三大类。

面向译本的描述翻译学，即对已有译作进行描述的翻译研究领域，一向是翻译学术研究的重要内容。作这种研究首先要对个别译本进行描述，或称进行以语篇为焦点的翻译描述。接着就是比较翻译描述的阶段，对同一语篇的不同译本进行比较分析，而这些译本可以是同一译语译出，也可以是用不同的译语译出。这种对一个或几个译本的描述，可以为针对更大规模的译本库而进行的调查提供素材，例如以特定时期、特定语言、特定种类的译本库为对象而进行的调查。在实践上，译本库通常在三个方面都有所局限，例如十七世纪的法语文学翻译，或中世纪的圣经英译。不过，这种描述性调查的规模也可能相当大，既可以是历时性的，也可以是（大致上）共时性的，而且面向译本的描述性研究的终极目标可以是谱写一部翻译通史——尽管这在今天看来也许野心过大。

面向功能的描述翻译学，兴趣不在于译文本身，而在于译本在译语的社会文化环境之中发挥的功能。这方面的研究想寻求例如某时某地有些什么译本（还有同等重要的没有什么译本）以及译本发挥了什么影响等等问题的答案。虽说翻译史或文学翻译史常把这方面的研究作为一种专题或副题加以介绍，它仍不如译本研究那样受到重视。如果得到较充分的重视，这种研究能发展成翻译社会学的一个领域（也许叫做社会翻译学来得更恰当和准确，因为它不单是社会学的，而且也是翻译学的一个实实在在的领域）。

面向过程的描述翻译学以翻译过程或行为为研究对象。译者以译语创作一个与原语语篇在某种程度上对应的语篇时，在译者的大脑这个「小小的黑盒子」里面到底会发生甚么变化呢？翻译理论工作者对此曾经有相当多的猜测。可是，迄今很少有人实验室条件下设法对这种过程进行过系统的调查研究。必须承认，这个过程是异常复杂的。假如理查兹（I. A. Richards）说得对的话，翻译过程就「很可能是在宇宙进化过程中所发生的最为复杂的事情」。尽管如此，心理学家已经设计出或者正在设计先进的方法，用以分析和描述其他各种复杂的思维过程，因此可以预期，将来这个问题也能得到更详细的研究，从而产生可以称为翻译心理学或者心理翻译学的新学科。

纯翻译学的另一个分支是理论翻译学，或者叫做翻译理论。名不离实，理论翻译学对于已有译本、翻译功能或经实验确认的翻译过程的描述并无兴趣，它的兴趣在于利用描述翻译学的研究成果，加上相关学科及专业提供的资料，总结出一些原则、理论和模式，以解释和预测翻译的过程和成果。

广义的翻译理论工作者的终极目标无疑是要构建一种全面周延，包容广泛的理论，足以解释和预测一切在翻译的范畴之内的现象，而不理会任何在此范畴之外的现象。不消说，假如真正的普遍翻译理论有可能创建的话，它必定仍会以高度形式化的姿态出现；而且，它依然会非常复杂。

.....

迄今所见的其它一些理论有很多也冠以「普遍」翻译理论的名堂（经常有学者在后面谨慎地加上防御性的「探索」之类的字眼），但是这些实际上并非普遍理论，因为它们只涵盖了某些局部的或特定的内容，没有像真正的普遍理论那样探讨翻译理论整个领域的每个方面。近年来正是在局部理论研究方面取得了重大的进展。也许还需要就这些理论进一步开展大量的研究，才能谈得上建立上述那种真正的普遍理论。局部翻译理论可用多种方法来界定和命名，但我想可以分成六大类。

首先，有一些翻译理论我叫做特定媒介理论，指专门讨论利用某种媒介来进行翻译的理论，这里我不大正统地延伸了这个术语的意义。特定媒介理论可以进一步分为不同的理论，即分为由人进行的（人工翻译），由机器进行的（机器翻译），以及由人和机器共同进行的（人机翻译，或称机器辅助翻译）翻译的理论。人工翻译又可再分成口头翻译或传译（包括交替传译和同声传译）以及书面翻译（相应的特定理论或者「理论」也已面世）。就机器翻译和机器辅助翻译而开展的十分有价值的研究相当多，大家无疑都已经十分熟悉；也许同样熟悉的还有好几项有关人工传译的研究。有关书面翻译的特定媒介理论的例子不那么容易想得起来，这大概是因为这种理论的作者往往把它们装扮成非专门理论或者普遍理论。

其次，一些翻译理论有本身特别适用的区域。特定区域理论可以分成彼此关系密切的两个类别，即特定语言理论和特定文化理论；两者通常并不一样，有时还截然不同。不论是以语言还是以文化区分，语言或文化的约束程度都可以有所变化。举例来说，研究法德语对译的理论（特定语言对理论），研究斯拉夫语族内部成员之间对译的理论（特定语族理论），或者研究由罗曼语翻译成日耳曼语的理论（特定语族对理论）都有开展的空间。同样地，至少在理论上来看，我们能创建瑞士文化范围内适用的翻译理论（特定文化理论），瑞士与比利时文化适用的翻译理论（特定文化对理论），西欧语言互译适用的翻译理论（特定文化族群理论），或者适用于反映技术落后的文化的语言与属于当代西方文化的语言之间翻译的理论（特定文化族群对理论）。特定语言理论与比较语言学与风格学有密切的关系（请谨记，成对语言翻译语法与为语言习得服务的对比语法可是两码事）。有关文化翻译理论的详尽研究为数甚少；有时候由于混淆了文化和语言的区别，结果特定文化理论被纳入了特定语言理论，其实在介绍以语言为适用区域的理论时谈起文化理论是不恰当的，除非原语和译语所涉及的语言界限刚好与文化界限重叠，不过那样的情况少之又少。此外，有些理论号称普遍理论，实际上只讨论到西方文化区域，这种情况确实是有。

再次，还有一种特定层次理论，以整个的书面或口头语篇为研究对象，但只探讨较语篇为低的等级或层次上的翻译问题。传统上，非常多的翻译学文献差不多只集中讨论词语这个层次的问题，而即使在今天，面向术语学的科技翻译研究也仍在词语和词组层次上进行。另一方面，大部分属于语言学性质的研究直至最近也仍然是以句子作为其层次上限，大致上都不把整个语篇宏观结构方面的问题看作翻译学的课题。目前已经十分明显地出现了由句子语言学迈向语篇语言学的趋势。我们期望，这种趋势将鼓励面向语言学的理论工作者突破以句子为单位的翻译理论的束缚，而开展更为复杂的语篇层次（或称「无特定层次的」）理论。

第四，还有特定篇类（包括书面或口头语篇的分类）理论，探讨特定的语篇或体裁的翻译问题。作家和文学学者早就关心翻译文学作品或某些体裁的文学作品的内在问题；同样地，神学家也用了不少心思去研究圣经和其他经典的翻译问题。近年来，更有人致力于建立特别适用于科技翻译的理论。可惜，所有这些理论都没有成功，因为至今我们仍然缺乏正式的信息理论、书面语篇理论或口头语篇理论这样的东西。由比勒（Bühler）提出而由布拉格结构主义者所发展的传意功能分类，以及语言学界——尤其是英国学派——所提出的语言变体的划分，都替划分语篇的标准制订提供了素材，这种标准会比现有的那些前后不一而又互相矛盾的定义或传统的体裁理论更适合于翻译研究。但话说回来，我们也不能忽视传统理论，因为读者对于译文有何期待标准，将继续深受传统理论的影响。同样值得探讨的还有翻译中语篇种类的不对应或者移位这个重要问题。

第五，还有特定时代理论，这种理论又分成当代语篇的翻译理论，以及某个历史时期的语篇的翻译理论两类。同样地，似乎也有把当代语篇翻译理论打扮成普遍理论的倾向。另外的那一类理论（也许称为跨时代翻译理论至为合宜），则引起了相当多的争议，面向文学的理论工作者之间的分歧尤其厉害，迄今仍没有多少普遍有效的结论可言。

最后，还有特定问题理论。这些理论专门讨论普遍翻译理论中的一种或多种问题；从翻译中变和不变的限度和翻译对等（我叫它做翻译对应）这样带根本性的大问题，到有如隐喻的翻译和专名的翻译等更为专门的论题，都属于这一类理论。

.....

在翻译学方面，正如在很多其他学科一样，一想起超越本学科范围的实际应用时，就会想起本学科的教学来。实际上，翻译教学有两种，必须把它们小心地分别开来。一方面，几百年来翻译一直是外语教学所运用的技巧之一，并且用来作为外语水平的测验手段。下文还会再谈这种翻译教学。另一方面，很多学校和课程近年来也通过翻译教学来训练专业翻译工作者。这个方面的翻译教学已经出现了若干迫切的问题：主要是

有关教学方法、测验技巧和课程规划的问题。为这些问题寻找确切可靠的答案，显然是应用翻译学的一大课题（而且至少在目前来说是最主要的课题）。

与这个方面有密切关系的另一个问题涉及翻译辅助工具，包括适用于译员培训和实际翻译工作的辅助工具。译员培训和翻译工作所需要的辅助工具多种多样，大致可以分为：（1）词典学和术语学工具，以及（2）语法工具。这两类辅助工具一向由其他有关学科的学者所提供，而我们恐怕没有理由要把这种工作统统归入应用翻译研究的范围。不过，现有的词典通常远远不能满足翻译的需要，而为语言习得服务而设的对比语法也不足以取代各种语言变体的翻译对应语法。看来还需要由应用翻译学者来阐明和确定，上述辅助工具必须达至什么样的特别要求才能满足在职和未来的翻译工作者的需要；这些学者也应该和词汇学者、对比语言学者合作设计辅助工具。

应用翻译研究的第三个方面是翻译政策。这个方面的翻译学者的任务是就翻译工作者，翻译工作和翻译作品在整个社会中的地位和角色提供有根有据的意见；例如，在某种社会文化环境下什么作品需要翻译，翻译工作者目前享有和应该享有什么样的社会和经济地位，以及（现在我回到上边 3.1 节暂时放下的话题）翻译在外语教学中应该扮演什么样的角色等。就最后这个政策问题而言，由于翻译学不应提倡在会令翻译失去实际功能的环境下使用翻译，因此我认为，应该优先开展广泛而严谨的研究，评估翻译作为语言教学和语言测验方法的效用。未来的研究很可能会发现翻译在这方面无法发挥效用，因此，在这一点上似乎必须先进行政策研究，然后才进行课程研究。

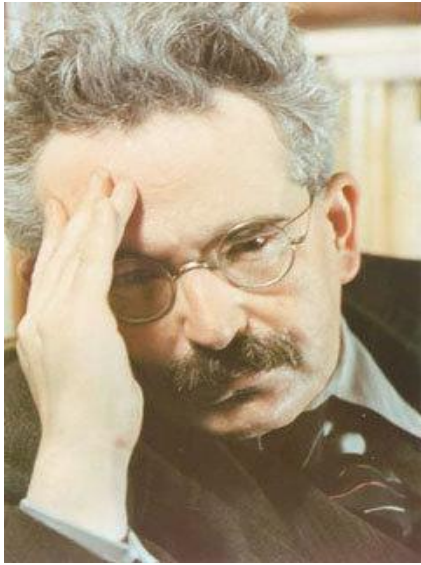
第四个方面涉及应用翻译研究的另一领域，一个很不相同的领域，这就是翻译批评。目前翻译批评的水平一般说来仍然很低，而且翻译研究的新成果在很多国家里都仍然不能对翻译批评产生一点影响。对译作的诠释和评价无疑在相当的程度上来说永远无法做到完全客观，永远只能反映评论者的直觉、观感和立场。但是，如果翻译学者和翻译评论者之间有更密切的联系，就能把评论者的直觉的介入程度降到一个较容易接收的水平。

★本书注：“这种提法”是指科勒（Werner Koller）对翻译学的描述：

翻译学是一个包容广泛的综合性学科的名称，指的是一切以翻译现象（包括过程和成果）为基础或焦点的研究。（科勒，1971）

—— 霍姆斯，“翻译学的名称和性质”¹³⁵

104.（德）沃尔特·本亚明 Walter Benjamin



Walter Benjamin, in 1938

生平及重要译论：

沃尔特·本亚明（又译瓦尔特、本杰明）Walter Benjamin，1892-1940，散文作家、文学批评家、语言哲学家、翻译家，“西方马克思主义”中“法兰克福学派”的主要代表人物之一，解构主义翻译思想最早的倡导者。一生追求“社会批判理论”和“政治化的艺术”，力主“寓言批评”和“技术决定论”，著述建树颇多。1940年自杀身亡。

本亚明的翻译理论主要见于其翻译波德莱尔（Boudelaire）的《巴黎塑像》（*Tableau Parisiens*）的序言，题为《译者的任务》（*Die Aufgabe des Übersetzens*）（*The Task of the Translator*, 1923）。该文被认为抽象难懂，充满神秘主义。主要翻译论点包括：

1）翻译与“纯语言”（pure language）。

本亚明的翻译观是建立在其唯心的语言观基础之上的。他对纯语言的解释是：

各种语言之间有一种超历史的亲缘关系（a suprahistorical kinship）；这种亲缘关系存在于每一种语言整体的意指之中——任何一种语言都无法单独体现这种意指，只有每一种语言互为补充的意指的集合才能体现这种意指：这就是纯语言。¹³⁶

本亚明将“纯语言”概念引入翻译理论，是要说明语言之间的差异，而语言的本质只有在具体语言之间的差异中和通过具体语言之间的差异才能被把握：

2）根据“纯语言”概念阐述翻译的可译性。

本亚明认为原语符号本身即说明其可译性，而可译性决定了原文和译文的本质，即原文的可译与否是由原文本身是否具有值得翻译的实质性内容所决定。好的译文可以显现原文之异，译出的不是意思而是形式，通过译文可以使读者感到“纯语言”的存在，而“纯语言”也会使原文增加光彩；

3）译作是原作生命的延续。

本亚明认为，不应当将译作理解为原作的派生，而应当从译文角度来理解原作，即原作已死，译作不再属于原作，而是属于原文永恒的来世，翻译则使原文生命得以延续。这种观点是对传统原文中心论的突破，其中已经含有结构主义的翻译理论，是从一个新的角度来重新认识翻译。下面本亚明关于原作生命延续的论述曾为德里达所引用并以括号的形式特别强调“原作的来世”问题：（参阅下面的“译论史稿辑要”5）

Just as the manifestations of life are intimately connected with the living, without signifying anything for it, a

translation proceeds from the original. Indeed not so much as from its life as from its survival [*Überleben*]. For a translation comes after the original and, for the important works that never find their predestined translator at the time of their birth, it characterizes the stage of their survival [*Fortleben*, this time survival as continuation of life rather than life as post-mortem]. (本书注：后面括号内容为德里达所加)¹³⁷

本亚明还更形象地说：

原作的生命之花在其译作中得到了最新的也是最繁盛的开放，这种不断的更新使原作青春永驻。¹³⁸

4) 译文与原文平等互补。

本亚明认为：

翻译不可能与原作相等，因为原作通过翻译已经起了变化；况且如果没有蜕变，‘来世’也不可能产生。¹³⁹

他主张译者的任务并非复制意义，而是要利用语言之间的差异颠覆原语秩序，从而将潜藏于原语中而原语无法表达的意思表达出来。

5) 隔行对照翻译法是最理想的翻译方法。

本亚明认为，要再现原作形式只能死抠原作字眼。逐词翻译在神圣作品的翻译中具有最高的真实性，从而伟大的文本才能得以完美地再现于译文语言中。在两种语言表层下，译者可以窥测出其共同的东西即“纯语言”。

本亚明的翻译观点引起后人特别是哲学家们的极大兴趣，引发了更多的评述和阐发。

史料图片选辑：



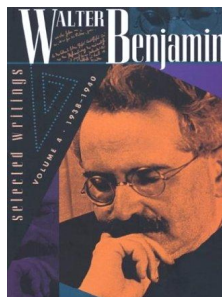
Walter Benjamin



Walter Benjamin



Walter Benjamin



Walter Benjamin

译论史稿辑要：

(1)

For the transformation of the forms and instruments of production in the way desired by a progressive intelligentsia that is, one interested in freeing the means of production and serving the class struggle brecht coined the term *Umfunktionierung* [functional transformation].

---- Walter Benjamin, "Conversations with Brecht"¹⁴⁰

(2)

I have only seldom made the attempt[...] to express the whole contradictory grounds from which those convictions arise[...]. a credo is the last thing my communism resorts to[...]. it represents the obvious, reasoned attempt on the part of a man who is completely or almost completely deprived of any means of production to proclaim his right to them, both in his thinking and in his life.

---- Walter Benjamin, *The Correspondence*¹⁴¹

(3)

The traditional concepts in any discussion of translations are fidelity and license--the freedom of faithful reproduction and, in its service, fidelity to the word. These ideas seem to be no longer serviceable to a theory' that looks for other things in a translation than reproduction of meaning. To be sure, traditional usage makes these terms appear as if in constant conflict with each other. What can fidelity really do for the rendering of meaning? Fidelity in the translation of individual words can almost never fully reproduce the meaning they have in the original. For sense in its poetic significance is not limited to meaning, but derives from the connotations conveyed by the word chosen to express it. We say of words that they have emotional connotations. A literal rendering of the syntax completely demolishes the theory of reproduction of meaning and is a direct threat to comprehensibility. The nineteenth century considered Holderlin's translations of Sophocles as monstrous examples of such literalness. Finally, it is self-evident how greatly fidelity in reproducing the form impedes the rendering of the sense. Thus no case for literalness can be based on a desire to retain the meaning. Meaning is served far better — and literature and language far worse — by the unrestrained license of bad translators. (!)

...

On the other hand, as regards the meaning, the language of a translation can -- in fact, must -- let itself go, so that it gives voice to the *intentio* of the original not as reproduction but as harmony, as a supplement to the language in which it expresses itself, as its own kind of *intentio*. Therefore it is not the highest praise of a translation, particularly in the age of its origin, to say that it reads as if it had originally been written in that language. Rather, the significance of fidelity as ensured by literalness is that the work reflects the great longing for linguistic complementation. A real translation is transparent; it does not cover the original, does not block its light, but allows the pure language, as though reinforced by its own medium, to shine upon the original all the more fully.

---- Walter Benjamin, *The Task of the Translator*¹⁴²

(4)

For, just as the fragments of the amphora, if one is able to reconstitute the whole, must be contiguous in the smallest details, but not identical to each other, so instead of rendering itself similar to the meaning of the original, the translation should rather, in a movement of love and in full detail, pass into its own language the mode of intention of the original: thus, just as the debris become recognizable as fragments of the same amphora, original and translations become recognizable as fragments of a larger language.

(5)

那么译作是为不懂原作的人准备的么？如果是的话，这倒足以说明在艺术领域里不谙原作的读者有多么广大了。再说，这似乎也是把「同样的话」再说一遍的唯一可以想见的理由。可是一部文学作品到底「说」了什么？它在同我们交流什么呢？对那些领会了作品的人，它几乎什么也没「告诉」他们。文学作品的基本特性并不是陈述事实或发布信息。然而任何执行传播功能的翻译所传播的只能是信息，也就是说，它传播的只是非本质的东西。这是拙劣译文特征。但是人们普遍认为文学作品的实质是信息之外的东西。就连拙劣的译者也承认，文学作品的精髓是某种深不可测的、神秘的、「诗意的」东西；翻译家如要再现这种东西，自己必须也是一个诗人。事实上，这带来了劣质翻译的另一特点，我们不妨称之为不准确地翻译非本质内容。只要译作迎合读者，这种情况就会发生。其实要是原作是为读者而写的话，它也会陷入同样的境地。可是，如果原作并不为读者而存在，我们又怎样来理解不为读者而存在的译作呢？

.....

可译性是特定作品的一个基本特征，但这并不是说这些作品就一定要被翻译；不如说，原作的某些内在的特殊意蕴通过译作而显露出来。可以说，译作无论多么完善，也无法取代原作的重要性，但原作却可以通过可译性而同译作紧密地联系在一起。事实上，正因为译作对原作是无足轻重的，它才更为紧密地同原作联系起来。我们不妨把这种联系视为天然的，或者更进一步，把它视为译作同原作间的生命。正如生活的表象虽与生活的现象密切相关却对之不构成任何重要性，译作也以原作为依据。不过它依据的不是原作的生命，而是原作的来世。翻译总是晚于原作，世界文学的重要作品也从未在问世之际就有选定的译者，因而它们的译本标志着它们生命的延续。对于艺术作品的现世与来世的观念，我们应从一个全然客观而非隐喻的角度去看。即便在狭隘的思想偏见充斥于世的时代，人们也隐约地感到生命并不限于肉体存在。不过我们既不能像费希纳（Fechner）那样将生命的领域置于灵魂的孱弱权威之下，也不能反其道而行之，以感官刺激这类更不确定的动物性因素来界定生命，因为这些因素只是偶尔地触及到生命的本质。只有当我们把生命赋予一切拥有自己的历史，而不仅仅构成历史场景的事物，我们才算是生命的概念有了一个交待。在我们最终的分析中，生命的范围不是由自然来决定，更不是由感官刺激或灵魂这类贫乏空洞的因素来决定，而是必须由历史来决定。哲学家的任务在于通过更为丰富多彩的历史生活去理解自然生命。无疑，艺术作品生命的延续比动物物种的生命延续易于辨认。伟大艺术作品的历史告诉我们，这些作品的渊源，它们在艺术家的生活时代里的实现，以及它们在后世里的潜在的永生。这种潜在永生的具体表现叫做名声。如果一部译作不仅仅是传递题材内容，那么它的面世标志着一部作品进入了它生命延续的享誉阶段。与拙劣译者的看法相反，这样的翻译不是服务于原作，而是其整个存在都来自原作。而原作的生命之花在其译作中得到了最新的也是最繁盛的开放，这种不断的更新使原作青春常驻。

.....

把握原作与译作之间的真实关联需要这样一种研讨，它类似于认知批判论证影像理论的不可能性。我们知道在认知过程中根本没有客观性可言，甚至连声称客观性的可能都没有，因为我们在此面对的是现实的影像。同样，我们也可以表明，如果译作的终极本质仅仅是挣扎着向原作看齐，那么就根本不可能有什么译作。原作在它的来世里必须经历其生命的改变和更新，否则就不成其来世。即便意义明确的字句也会经历一个成熟的过程。随着时间的流逝，某个作者文学风格中的明显倾向会逐渐凋萎，而其文学创作的内在倾向则会逐渐抬头。此时听上去令人耳目一新的辞藻彼时或许会变成老生常谈，曾经风靡一时的文章日后或许会显得陈腐不堪。可是如果我们不在语言及其作品的生命本身之中，而是在其后世繁衍的主观性中寻找这种变化的本质，我们就不仅陷入幼稚的心理主义，而且混淆了事物的起因和事物本质。更重要的是，这意味着以思想的无能去否定一个最有力、最富于成果的历史过程。即便我们试图用作者自己的文字为其作品作盖棺之论，也同样无法挽救那种了无生机的翻译理论。因为不仅伟大的文学作品要在数世纪的过程中经历全盘转化，译者的母语也处在不断的转化过程中。诗人的语句在他们各自的语言中获得持久的生命，然而与此同时，就连最伟大的译作也注定要成为其语言发展的一部分，并被吸收进语言的自我更新之中。译作绝非两种僵死语言之

间的干巴巴的等式。相反，在所有文学形式中，它承担着一一种特别使命。这一使命就是在自身诞生的阵痛中照看原作语言的成熟过程。

.....

翻译同艺术作品不同，它无法宣称其作品的永恒性。但翻译的目标却是所有语言创造活动的一个定了形的、最终的、决定性的阶段，这一点是不容置疑的。不妨说，在译作中，原作达到了一个更高、更纯净的语言境界。自然，译作既不能永远停留在这个境界里，也无法占有这个境界的全部。但它的确以一种独特的、令人刮目相看的方式指示出走向这一境界的路径。在这个先验的、不可企及的境界里，语言获得了自身的和解，从而完成了自己。这种转移从来不是整体性的，但译作中达到这一领域的成分便是超越了传递题材内容的成分。这一内核由不可译的成分组成，而这也也许正是它的最佳定义。

即便所有的表面内容都被捕获和传递，一个真正的译作者最关心的东西仍然是难于把握的。这种东西与原作的字句不同，它是不可译的，因为内容和语言之间的关系在原作和译作里颇为不同。在原作中，内容和语言像果实和果皮一样结合成一体，但翻译语言却像一件皇袍一样包裹着原作，上面满是皱褶。译作指向一种比它自身更具权威性的语言，因而它在高高在上的、异己的内容面前显得无所适从。这种脱节现象既阻碍了翻译，又使翻译变得多余。就作品内容的特定方面来讲，一旦一部作品在其特殊的语言史中被翻译成另一种语言，它也就等于被带入了所有的语言。因而具有讽刺意味的是，译作倒是把原作移植进一个更确定的语言领域，因为在此它不能第二次被搬动。原作只能在另一时间被重新抬出。

.....

译者的工作是在译作的语言里创造出原作的回声，为此，译者必找到作用于这种语言的意图效果，即意向性。翻译的这一基本特征不同于诗人的作品，因为诗人的努力方向从不是语言自身或语言的总体，而仅是直接地面向语言的具体语境。与文学作品不同的是，译作并不将自己置于语言密林的中心，而是从外面眺望林木响应的山川。译作呼唤原作但却不进入原作，它寻找的是一个独一无二的点，在这个点上，它能听见一个回声以自己的语言回荡在陌生的语言里。译作的目标迥异于文学作品的目标，它指向语言的整体，而另一种语言里的个别作品不过是出发点。不仅如此，译作更是一种不同的劳作。诗人的意图是自发、原生、栩栩如生的；而译者的意图则是派生、终极性、观念化的。译作的伟大主题是将形形色色的口音熔于一种真正的语言。在这种语言里，个别句子、文学作品，或批评的判断彼此无法沟通，因为它们都依赖于译作；然而在译作里，不同的语言本身却在各自的意指方式中相互补充、相互妥协，而最终臻于和谐。如果真理的语言真的存在，如果终极的真理能和谐甚至是静静地落座（所有的思想都在为此奋斗），那么这种语言就是真正的语言。它的预言和描写是哲学家所能希望的唯一的完美形式，但这种形式只隐藏在译作的专注而密集样式中。哲学没有自己的缪斯，译作也没有。但尽管矫情的艺术家这样一口咬定，哲学和译作却不是机械的、功利的东西。曾有一位哲学天才，他的特征就是渴望一种在译作中表达自己的语言。

.....

直译的理由是一目了然的，但直译的合法性基础却不明朗，因此，我们有必要在一个更有意义的语境里来会对直译的要求。如果我们要把一只瓶子的碎片重新黏和成一只瓶子，这些碎片的形状虽不用一样，但却必须能彼此吻合。同样，译作虽不用与原作的意义相仿，但却必需带着爱将原作的表意模式细致入微地吸收进来，从而使译作和原作都成为一个更伟大的语言的可以辨认的碎片，好像它们本是同一个瓶子的碎片。为了这个目的，译作必须大力克制那种要传达信息、递送意义的愿望。原作之所以重要，正因为它业已免去了译作和译者组织和表达内容的工作。「太初有道」这句话同样适用于翻译领域。另一方面，翻译的语言能够——事实上是必须——使自己从意义里摆脱出来，从而再现原作的意图（intentio）。这一切不是复制，而是译作自身的意图。它和谐地补足了原作的语言。因而如果说一部译作读起来就好像原作是用这种语言写成的，这并不是对该译作的最高赞誉，在译作问世的时代就尤其如此。相反，由直译所保证的忠实性之所以重要，是因为这样的译作反映出对语言互补性的伟大向往。一部真正的译作是透明的，它不会遮蔽原作，不会挡住原作的光芒，而是通过自身的媒介加强了原作，使纯语言更充分地在原作中体现出来。我们或许可以通过对句式的直译做到这一点。在这种直译中，对于译者来说基本的因素是词语，而不是句子。如果句子是矗立在原作语言面前的墙，那么逐字直译就是拱廊。

.....

在一切语言的创造性作品中都有一种无法交流的东西，它与可以言传的东西并存。它或是象征什么，或是什么所象征，视其语境而定。前者存在于有限的语言作品里，后者则存在于诸语言自身的演进之中。而那寻求表现、寻求在诸语言的演化中将自己不断创造出来的东西，正是纯语言的内核。虽然这一内核藏而不露，支离破碎，它却是生活中的积极因素，因为它被象征性地表现出来的事物本身，它只是以象征的形式栖身在语言作品之中。在不同的语言中，纯语言这种终极本质与种种语言学的要素和变化联系在一起，而在语言的创造性作品中，它却还负担着沉重的、异己的意义。译作重大的、唯一的功能就是使纯语言摆脱这一负担，从而把象征的工具变成象征的所指，从而在语言的长流中重获纯语言。这种纯语言不再意谓什么，也不再表达什么，它是托付在一切语言中的不具表现性的、创造性的言词。在这种纯语言中，所有的信息，所有的意味，所有的意图都面临被终止的命运。这个纯语言的层面为自由的翻译提供了新的、更高的理由；这个理由并不来自于内容的意味，因为从这种意味中解放出来正是忠实翻译的任务。不如说，为了纯语言的缘故，一部自由的译作在自己语言的基础上接受这个考验。译者的任务就是在自己的语言中把纯语言从另一种语言的魔咒中释放出来，是通过自己的再创造把囚禁在作品中的语言解放出来。为了纯语言的缘故，译者打破了他自己语言中的种种的腐朽的障碍。路德、弗斯、荷尔德林和格奥尔格都拓展了德语的疆域。

.....

当一个文本与真理和信条等同，当它毋须意义的中介面在自己的字面上为「真正的语言」，这个文本就具备了无条件的可译性。在这种情况下，人们只是因为语言的多样性而要翻译。在太初，语言和启示是一体的，两者间不存在紧张，因而译作和原作必然是以逐行对照的形式排列在一起的，直译和翻译的自由是结合在一起的。一切伟大的文本都在字里行间包含着它的潜在的译文；这在神圣的作品中具有最高的真实性。圣经不同文字的逐行对照本是所有译作的原型和理想。

---- 本亚明，“译者的任务”¹⁴⁴

105. (德) 马丁·海德格尔 Martin Heidegger



Martin Heidegger, 1889-1976

生平及重要译论：

马丁·海德格尔 Martin Heidegger, 1889.9.26-1976.5.26, 德国著名哲学家，西方现代阐释学代表人物。出生于德国西南部施瓦茨沃德（Schwarzwald）Messkirch 的一个天主教家庭。曾在弗莱伯格大学（Freiburg University）学习神学，由于健康原因于 1911 年离开神学院而与神父职业无缘，后改学哲学、数学和自然科学，并于 1913 年完成《心理评价学说》的博士论文。曾作过无薪教师，1923 年到马尔堡大学（Marburg University）任教。由于其划时代的关于“存在主义现象学”的未竟作品《存在与时间》（*Sein und Zeit*）（*Being and Time*）一文，1928 年在弗莱伯格大学任哲学教授并于 1933 年被选为弗莱伯格大学校长。

海德格尔以其渊博的哲学知识和进取精神对关于存在和理解的最基本的概念重新进行深刻的思考。他历史性地将“理解”提升为人的理性存在，即“我在，故我思”（I am, therefore I think），理解是“此在”（Dasein）的构成因素和标志。他以存在主义来论证人与世界的关系：人的存在才使得世界具有意义，意义和理解均以人的“此在”为前提。

海德格尔是从哲学和阐释学的视角来探讨翻译问题的。其对翻译的见解主要见于其《阿那克西曼德之箴言》（*Der Spruch des Anaximandero*）和《什么召唤思想》（*Was heibt Denken*）两书中。他论述了翻译理论与语言理论的关系，并区分了“翻译”和“转渡”，以此强调“意义的转渡”和“字面的翻译”的区别；因为“转渡”是可分动词，有从一岸到另一岸之意，而“翻译”则是不可分动词。海德格尔主张用“意义转渡”来代替“字面翻译”。

海德格尔将翻译与解释视为等同，他有一句关于翻译的著名论断：

每种翻译都是解释，而所有的解释都是翻译。

他主张翻译要以本意为主，追溯词语的本源，重现隐藏其后的思想。

在《阿那克西曼德之箴言》中，海德格尔评论尼采和第尔斯《阿那克西曼德之箴言》译文：

第尔斯的译文有几处在字面上更严格些。但只要一个译文仅仅只是按字面直译的，那末它就未必是忠实的。只有当译文的词语是话语，是从事情本身的语言而来说话的，译文才是忠实的。¹⁴⁵

海德格尔认为准确的翻译难在除受限于对原文的理解和阐释外，还受到母语的前结构的束缚。他说：

我们如何通过箴言之此说，以使我们的翻译免去任意之虞？我们束缚于箴言的语言。我们束缚于我们自己的母语。就此两者而言，我们根本上乃是束缚于语言和对语言之本质的经验。只消我们没有经验到这种约束力，那么，任何一种对箴言的翻译却必然表现为纯粹的任意独断。¹⁴⁶

进而，他又从语言的固有本质来认识母语的束缚和翻译：

人们以为，翻译是一种语言进入另一种语言、外语进入母语或相反的转换（übertragung）。凡是我們没看到，我们也不断地把我们的语言、母语译入它本身的词语。说和道自身是一种翻译，其本质无论如何不可能在译语和被译语属于不同的语言这种情况中化解。在每种交谈和自我交谈中存有一种原始的翻译。¹⁴⁷

海德格尔反对逐词对译、对号入座的译法，反对将翻译看作是打开词典找出对应词：

因为一本词典既不能把握也不能保持使诸多词语达乎词语而表达出来的那个词语。

从希腊名称向拉丁语的翻译绝不是一件毫无后果的事情.....在似乎是字面上的、因而具有保存作用

的翻译背后，隐藏着希腊经验向另一种思维方式的转渡。罗马思想接受了希腊的词语，却没有继承希腊人的话。

西方思想的无根基状态即始于这种转渡。¹⁴⁸

海德格尔将西方的无根基状态归因于翻译，从而将翻译在文化史上的地位提高到空前的程度。

史料图片选辑：



Martin Heidegger



Martin Heidegger:
Being and Time

译论史稿辑要：

(1)

Thinking's saying would be stilled in its being only by becoming unable to say that which must remain unspoken.

Such inability would bring thinking face to face with its matter.

What is spoken is never, and in no language, what is said.¹⁴⁹

(2)

The interpretation of something as something is essentially grounded in fore-having, fore-sight, and fore-conception. Interpretation is never a presuppositionless grasping of something previously given. When the particular concretion of the interpretation in the sense of exact text interpretation likes to appeal to what "is there," what is initially "there" is nothing else than the self-evident, undisputed prejudice of the interpreter, which is necessarily there in each point of departure of the interpretation as what is already "posited" with interpretation as such, that is, pre-given with fore-having, fore-sight, fore-conception.

---- Martin Heidegger, *Being and Time*¹⁵⁰

(3)

The *Temporality of Understanding*. With the term *understanding* we mean a fundamental existential; neither a definite *kind of cognition*, as distinct from explaining and conceiving, nor a cognition in general in the sense of

grasping something thematically. Understanding constitutes the being of the There in such a way that, on the basis of such understanding, a Dasein in existing can develop the various possibilities of sight, of looking around, and of just looking. As the understanding discovery of what unintelligible, all explanation is rooted in the primary understanding of Dasein.

---- Martin Heidegger, *Being and Time*¹⁵¹

106. (德) 汉斯·伽达默尔 H.G.Gadamer



Hans-Georg Gadamer, 1900-2002

生平及重要译论:

汉斯·伽达默尔 Hans-Georg Gadamer, 1900.2.11-2002.3.13, 在世 102 岁。德国著名哲学家，哲学阐释学（Philosophical Hermeneutics）的真正创始人和最重要的代表人物，西方现代阐释学代表人物之一。出生于德国马尔堡（Marburg），生长在布雷斯劳（Breslau，即现在波兰西南部城市弗罗茨瓦夫 Wroclaw），父亲是马尔堡大学校长、医学教授。伽达默尔 1918 年就读于布雷斯劳大学（University of Breslau），1922 年完成柏拉图思想研究的博士论文并获得博士学位。曾作过海德格尔（Martin Heidegger）的助手，在哲学研究方面深受其影响。在基尔大学（University of Kiel）、莱比锡大学（University of Leipzig）、（美因河畔）法兰克福（Frankfurt-am-Main）大学及海德堡大学（University of Heidelberg）任教，1939 年获得教授资格。曾主编著名的《哲学杂志》，并曾担任国际黑格尔协会主席。

伽达默尔著述颇丰，最为著名的有《真理与方法》（*Truth and Method*, 1960，曾获德国最高学术荣誉奖 Knight of the 'Order of Merit', 1971）和《哲学阐释学》（*Philosophical Hermeneutics*, 1967），以及《对话与辩证法》（*Dialogue and Dialectic*, 1980）、《科学时代的理性》（*Reason in the Age of Science*, 1982）、《美的关联论文集》（*The relevance of the beautiful and other essays*, 1986）、《柏拉图的理性伦理学》（*Plato's dialectical ethics: phenomenological interpretations relating to the Philebus*, 1991）、《对话中的文学与哲学：德国文学理论论文集》（*Literature and philosophy in dialogue: essays in German literary theory*, 1994）和《健康之谜---科学时代的康复艺术》（*The enigma of health: the art of healing in a scientific age*, 1996）等。

伽达默尔关于翻译的理论是与其哲学阐释学思想紧密相关的。伽达默尔的哲学阐释学以理解为核心，并确立了三项基本原则：

1) 理解的历史性。理解的历史性必然导致理解的偏见，而这种“合法的偏见”却是创造力的表现，即

在理解过程中具有选择甚至定向的功能。翻译一定会成为新事物，便是翻译创造性的具体表现；

2) “视界融合” (Horizontverschmelzung)。在理解过程中，将原作的视界 (horizon) 与理解者的视界交融在一起便可超越原视界，可以达到新的视界。文学翻译中文化过滤现象在这一原则中得到论证；

3) “效果历史” (Wirkungsgeschichte)。理解者与理解对象均为历史性存在，文本的意义与理解者也一起处于不断形成的过程之中，其核心即在于在效果历史中理解作品。

这三项阐释学基本原则对于跨文化翻译研究具有很大的意义。对于诸多翻译理论问题如翻译过程中对于文本的理解的多元化、对于文学翻译的实质的认识和对于重译的重新认识，都具有积极的借鉴作用。他说：

[...] the foreignness of a language is simply an extreme example of a hermeneutical difficulty, i.e., of foreignness and its resolution.¹⁵²

对于施莱尔玛赫“两种不同途径的翻译”，伽达默尔认为：

重要的是使用解释学的现象去辨识我们把什么东西带进了陌生的世界。这样就可以发现我们自己不加怀疑的先已形成的判断来获得关于我们自己的知识，并且通过扩展我们的视域直至它与陌生世界的视域相会合，以获得那个世界的知识，从而使两个视域融合。¹⁵³

伽达默尔的这一观点有助于对于翻译尤其是文学翻译的实质性的认识，但仍有根本否认作者本意及文本本意的存在之嫌。

史料图片选辑：



Hans-Georg Gadamer



Hans-Georg Gadamer

译论史稿辑要：

(1)

The dialogical character of language[...] leaves behind it any starting point in the subjectivity of the subject, and especially in the meaning-directed intentions of the speaker. What we find happening in speaking is not a mere reification of intended meaning, but an endeavor that continually modifies itself, or better: a continually recurring temptation to engage oneself in something or to become involved with someone. But that means to expose oneself and to risk oneself. Genuinely speaking one's mind has little to do with a mere explication and assertion of our prejudices; rather, it risks our prejudices -- it exposes oneself to one's own doubt as well as to the rejoinder of the other. Who has not had the experience -- especially before the other whom we want to persuade -- of how the reasons that one had for one's own view, and even the reasons of the other before whom we stand helps us to break up our own bias and narrowness, even before he opens his mouth to make a reply. That which becomes a dialogical

experience for us here is not limited to the sphere of arguments and counterarguments the exchange and unification of which may be the end meaning of every confrontation. Rather, as the experiences that have been described indicate, there is something else in this experience, namely, a potentiality for being other . . . that lies beyond every coming to agreement about what is common. This is the limit that Hegel did not transgress. To be sure, he did recognize the speculative principle that holds sway in 'Logos' and he even introduced proofs of this principle in dramatically concrete ways: he unfolded the structure of self-consciousness and of "self-knowing in the Being of the other" as the dialectic of recognition and sharpened this into a life and death struggle. In a similar fashion, Nietzsche's penetrating psychological insights brought into view the "Will to Power" as the substrate even in all devotion and self sacrifice: 'there is the will to power even in the slave.' However, for me, Heidegger remains definitive when he finds the logocentrism of Greek ontology in the self-centeredness of this tension between self-abandonment and self-insistence to be continued in the sphere of arguments and counter-arguments, and in the actual confrontation wherein it is embedded.

A limitation of the Greek models of thought can be detected here, one that was persuasively pointed out by the Old Testament, Saint Paul, Luther, and their modern reinterpreters. It is a dimension of dialogue that still does not come into conceptual consciousness even with the celebrated discovery of Socratic dialogue as the basic form of thought. This fits in quite well with the fact that writer with the poetic imagination and linguistic powers of Plato knew to portray the charismatic figures of a Socrates so that the erotic tension that vibrates about the person is really brought into view. But because Plato's presentation of Socrates shows that when leading the conversation Socrates always insisted upon demanding an account from the other and upon leading others back to themselves by convicting them of their pretended wisdom, it is presupposed that the Logos is common to all and does not belong to Socrates alone. Yet as we already indicated, the true depth of the dialogical principle first enters philosophical consciousness in the twilight of metaphysics, in the epoch of German romanticism, and then is rehabilitated in our century in opposition to the subjective bias that characterized idealism. This is the point from which I proceeded in asking two further questions: First, How do the communality of meaning . . . , which is built up in conversation, and the impenetrability of the otherness of the other mediate each other? Second, What, in the final analysis, is linguisticity? Is it a bridge or a barrier? Is it a bridge built of things that are the same for each self over which one communicates with the other over the flowing stream of otherness? Or is it a barrier that limits our self-abandonment and that cuts us off from the possibility of ever completely expressing ourselves and communicating with others?

---- Hans-Georg Gadamer, "Text and Interpretation"¹⁵⁴

(2)

Admittedly, it is primarily persons that have authority; but the authority of persons is ultimately based on the subjection [*Unterwerfung*] and abdication for reason, but on an act of acknowledgement and recognition [*Anerkennung und der Erkenntnis*], the recognition, namely, that the other is superior to oneself in judgment and insight and that for this reason his judgment takes precedence – i.e., it has priority over one's own. This is connected with the fact that authority cannot actually be bestowed but is earned, and must be earned if someone is to lay claim to it. It rests on acknowledgement and hence on an act of reason itself which, aware of its own limitations, trusts to the better insight of others. Authority in this sense, properly understood, has nothing to do with blind obedience to commands. Indeed, authority has to do not with obedience but rather with recognition.¹⁵⁵

107. (德) 沃尔弗拉姆·威尔斯
Wolfram Wilss



Wolfram Wilss

生平及重要译论：

沃尔弗拉姆·威尔斯（又译沃夫来姆·威尔斯、沃尔夫兰·威尔斯）Wolfram Wilss, 1925-，德国萨尔州大学（Universität des Saarlandes, Saarbrücken）应用语言学、笔译和口译系教授，从事语言学和翻译教学。

威尔斯是当代德语翻译理论界重要人物，曾是德国语言学派代表人物，后与“翻译研究派”进行合作。其代表作为专著《翻译学——问题与方法》（*Übersetzungswissenschaft. Probleme und Methoden*, 1977），修订与增补后与他人合作译成英文版（*The Science of Translation: Problems and Methods*, 1982）。此外又陆续出版了《认知与翻译》（1988）、《翻译行为多面概念探索》（1989）、《何为技艺性翻译？》、《翻译：过程与方法》（1994）、《译者行为中的知识与技能》（*Knowledge and Skills in Translator Behavior*, 1996）等翻译理论著作，在翻译理论界产生深远影响。

威尔斯坚持翻译是一门科学，即“认知（cognitive）、解释性（hermeneutic）和联想性（associative）的科学”。他分析说：

翻译学既不是理论部分封闭也不是普遍规律研究方面封闭的科学，而是一门认识性、解释性和联想性科学，它以灵活的方式处理言语问题，试图回答原文可译还是不可译以及原文、译文效果是否等同的问题。问题在方法上，它没有控制系统的那种稳定性和绝对性。它只能在有限的程度上做到现代科学理论按照自然科学模式所要求的那种客观，并在程序方法上不受价值观念的影响。

因此翻译研究的成果

只能部分地加以形式化、数学公式化，也只能部分地运用于实践。¹⁵⁶

翻译学又被分为三个类型：1）普通翻译学：研究翻译过程中的普通规律；2）描写翻译学：描写原文语言和译文语言；3）应用翻译学：用于教学和学习。

此后威尔斯又进一步论证了翻译学的综合性问题，并对综合性学科（Interdisciplinarity）与多学科

(Multidisciplinarity) 及跨学科 (Transdisciplinarity) 予以区分。他认为翻译学的综合性体现于它位于一个六边形的中心, 环绕其六边的分别是语言学、社会学、文化学、脑科学、认知心理学和计算机科学。¹⁵⁷

威尔斯认为翻译学既有前瞻性即涉及过程又有后顾性即涉及成品:

翻译学好像古罗马神话中长着两副面孔的守门神雅努斯。一方面涉及到翻译过程, 并研究其内在的转换技巧, 是一门前瞻式学科。另一方面又研究其推出的成品, 是一门后顾式学科; 从译语出发对比译作与原作的质量, 通过对比两者以找出译语话语形成的过程, 并确定如何恰当地达到预期的目的。¹⁵⁸

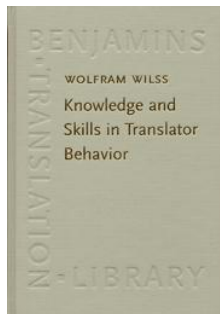
关于翻译的等值问题, 威尔斯认为目前翻译理论界已提出三种翻译等值方案, 即 1) 以雅各布森和卡特福德为代表的语言学派; 2) 以奈达和卡德为代表的交际学派; 3) 以诺伊贝特为代表的翻译学派。他认为不应“放弃继续探讨翻译等值的客观标准”。就翻译的可译与不可译问题, 威尔斯说:

不可译性可以说只存在于情景方面, 由于外延意义和内涵意义缺乏等值关系, 因此原文的语言成分和译文的语言成分之间缺乏意义和表达所望达到的线形和功能功能可替换性 (Popovic, 1971)。在所有其他情况下, 由于人类在语言外经验和从经验上可证明的认知衡量性之间缺乏相对的可比性, 因此在原则上, 文本的内容和文体上的翻译等值相对要高一些, 可以实现语际间的交流。¹⁵⁹

关于翻译方法, 威尔斯利用心理语言学分类体系将其分为三种类型: 1) 习惯化翻译程序: 以联想原则为基础; 2) 部分习惯化程序: 使翻译半内部化; 3) 非习惯化翻译程序: 译者在认知心理学基础上提出译法。

此外, 威尔斯还主张翻译单位应该是话语性的。

史料图片选辑:



Wolfram Wilss:

Knowledge and Skills in Translator Behavior

译论史稿辑要:

(1)

The nature of the science of translation as interlingual performance linguistics gives rise to the following methodological considerations: The science of translation is neither a nomologically nor a nomothetically sealed science but rather a cognitive/hermeneutic/associative one which captures linguistic utterances in a dynamic way, it seeks answers to the question of the possibilities and limits of the transferability of texts and of the similarity of the effect produced by the source language text (SLT) and that produced by the target language text (TLT). It does not possess the stability of a cybernetic system with its claims to absoluteness in methodology. It can only satisfy to a limited degree the demands for objectivity and value-free procedural methods made by the modern theory of science

following the pattern of its model, the natural sciences.

Its results, accordingly, can be only partially formalized, mathematized, and operationalized. Owing to its nature, it is more difficult for the science of translation than for the more strongly system-oriented linguistic disciplines to acquire an epistemological foundation and arrive at a description of translation which adequately deals with the problems involved. This is because the translation process involves a decision-making process in a great variety of texts that are of practical importance to translation. This leads to methodological entanglements which could be eliminated in the long run only if the science of translation were able to resolve itself into a reductionist process taking the form of an abstraction from the sphere of linguistic reality. This, however, would have the serious disadvantage of forcing the science of translation to ignore many of its own aspects, especially those of a communicative nature.

The science of translation thus finds itself in a crossroads situation which poses problems for methodology. If it insists on exhaustively dealing with the problematic nature of translation as a whole, it faces the problem of having to describe an object which is literally unfathomable; if it decides in favor of a theoretical approach, it runs too great a risk of becoming methodologically sterile and producing findings which have only limited relevance to a practically-oriented science of translation (Jäger 1975).

In spite of the danger of simplifying its methodological approach, the modern science of translation first devoted its attention to the development of a valid theory for analysing the process of translation regardless of the two respective languages involved; its overriding consideration was the need to begin by ideally defining its field of study in the context of discussion of methodological bases and thus to overcome a development phase in which it behaved, as Vinay put it somewhat exaggeratedly "*comme des lions aveugles cherchant de l'eau dans le désert*" (1975b, 35). It thus developed a series of models to describe the process of translation; these were oriented partly toward linguistics and partly toward the science of communication. This theorization process should be viewed as an attempt to factor the act of translating and determine the relationships between the individual constants of the translation process as explicitly as possible. It would appear, however, that this phase of the heuristic modeling of the translation process has temporarily come to a halt, because at the present time there are no methodological means at hand for speeding the formulation of a theory of the translation process by more finely differentiating the way in which the interlingual transfer can generally function and exist. Aside from that, it is questionable whether deducing general hypotheses about the translation process in itself which go beyond what is presently known will actually lead to any considerable increase in our ability to solve concrete problems of the science of translation.

[...]

The charge could be made that a practically-oriented science of translation is a science which, in the last analysis, is devoid of theory, that its program amounts to a practicistic accumulation of a mass of details which almost defies systematic description, and that the results achieved have, at best, statistical information value. This charge can be largely refuted or at least relativized by the following three arguments:

1. Every communication process which aims at an understanding of extralinguistic phenomena calls for a minimum of stability in linguistic behavior and is for that reason carried out according to patterns determined by the language and the situation. These patterns, which in their entirety amount to what is nowadays called "communicative competence", perform a regulatory function in the communicative behavior of the members of a speech community. They make possible linguistic communication governed to a large extent by a quasi-cybernetic automatic control system (this is the generative component in Noam Chomsky's linguistic theory which, despite all assertions of creativity, is ultimately mechanistic, not mentalistic). From this it follows that

interlingual communication, too, is governed extensively by rules. Every translation, accordingly, is an attempt to synchronize the syntactic, lexical, and stylistic systems governing performance in two different languages, a source language (SL) and a target language (TL); these attempts meet with varying degrees of success. Translation proves to be a type of linguistic activity which takes shape as an interplay of forces between translation competence and translation performance, influenced to varying degrees by the standards of the languages.

2. Any empirical-inductive approach claiming to have a minimum of scientific substance and relevance is founded on basic theoretical assumptions about its fields of study, assumptions which are more or less explicit or, at any rate, can be explained. The reverse is also true: No theory which claims to be open to verification or falsification can dispense with an empirical, data-oriented basis. Theory and empirics thus have a correlative relationship. "La théorie n'est [...] que la forme la plus élevée de la pratique" (Truffaut 1980, 430).
3. The scientific findings which can be produced by a corpus-oriented method are indeed of a statistical nature; they do not claim to completely cover the reality of translation from all of the perspectives of linguistics, psychology, and the science of communication, something which would be beyond the reach of an empirical science anyway. The more successful they are, however, in demonstrating statistical regularities even in phenomena which occur less frequently, and thus in conducting an optimal investigation of its field of study, the greater will be its practical and theoretical information value.

---- Wolfram Wilss, *The Science of Translation: Problems and Methods*¹⁶⁰

(2)

Linguistic communication always appears in textual form. Hence, modern linguistics, if it regards itself as *linguistique de la parole* and not as *linguistique de la langue*, is agreed upon the fact that texts are the primary form of linguistic manifestations. Texts show different conditions of origin, different structures, functions and they are designed for different recipients or target groups. Texts are partly of monological, partly of dialogical nature. They are produced for a large spectre of communicative purposes (Wilss 1977). What has been said just now is also true of translation. The translator, as stated before, does not translate words or individual sentences (unless an isolated sentence has text status; Dressier 1972), but texts. Translation, therefore is a text-oriented event. It follows from this that the most pertinent definition of translation is text-oriented: Translation is a procedure which leads from a written SLT to an optimally equivalent TLT and requires the syntactic, semantic, stylistic and text-pragmatic comprehension by the translator of the original text.

Every text is, as will be discussed in detail later on, characterized by one or several basic communicative functions. Texts with a comparable basic communicative function can be combined into a text type. Hence, different text types require in translation not only different transfer methods, but also different TE criteria.

---- op. cit.¹⁶¹

(3)

What distinguishes the modern science of translation from previous considerations of translation theory is its interest in knowledge of methodology and its keener awareness of the problems involved. Its [modern science of translation, E-AG] efforts to establish a clear idea of its field of study [...] have meant that in addition to linguistic points of view, aspects associated with the science of communication, with psycholinguistics, sociolinguistics, textlinguistics, speech act theory, philosophy of action (Handlungstheorie), the study of literature, and -- last but not least -- with teaching, have taken on relevance for the science of translation.

[...]

The ensuing problems of objectification can be explained primarily by pointing out that translation cannot be termed

a purely 'linguistic operation' [...], but rather must be thought of as a psycholinguistic, sociolinguistic and pragmatolinguistic process [...] which lends itself to an exhaustive scientific depiction only with the greatest difficulty.

---- Wolfram Wilss, *Übersetzungswissenschaft. Probleme und Methoden (The Science Of Translation Problems and Methods)*¹⁶²

(4)

Translation research must develop a frame of reference which views a text as a communicatively-oriented configuration with a thematic, a functional, a text-pragmatic dimension; these three text dimensions can be derived from the respective text surface structure.

[...]

TE [translation equivalence] cannot possibly be integrated in a general translation theory (...), but must be looked upon as part of specific translation theories which are at best text-type-related or, even more restrictedly, single-text-oriented.

[...]

The importance of the TL [target language] recipient comes out quite clearly in a translation example by Neubert concerning the German translation of a passage in John Braine's novel *Room at the Top* (1968:32f.):

(12) I came to Warley on a wet September morning with the sky the grey of Guiseley sandstone. I was alone in the compartment [...]

(13) Es war an einem regnerischen Septembermorgen mit einem Himmel wie aus grauem Sandstein/Guiseley-Sandstein, als ich in Warley ankam. Im Zug hatte ich das Abteil für mich gehabt [...]

Neubert argues that the decision on the rendering of 'Guiseley sand-stone' by 'Sandstein' or 'Guiseley-Sandstein' is determined by the interest of the recipient. If this interest is exclusively focussed on literary aspects of the original, the translator can confine himself to the reproduction of 'Guiseley sandstone' by 'Sandstein', without offending against important TE [translation equivalence] postulates and without shortchanging the SLT [source language text]. If, on the other hand, the translator must reckon with additional interests of the reader in area studies, he must react accordingly, because in a case like this only a translation containing an explicit reference 'Guiseley sand-stone' would meet TE expectations and thus could be regarded as adequate.

---- Wolfram Wilss, *Übersetzungswissenschaft. Probleme und Methoden (The Science Of Translation Problems and Methods)*¹⁶³

(5)

Translation leads from a source-language text to a target-language text which is as close an equivalent as possible and presupposes an understanding of the content and style of the original.

---- op. cit.¹⁶⁴

(6)

The translatability of a text is thus guaranteed by the existence of universal categories in syntax, semantics, and the (natural) logic of experience. Should a translation nevertheless fail to measure up to the original in terms of quality, the reason will (normally) be not an insufficiency of syntactic and lexical inventories in that particular TL, but rather the limited ability of the translator in regard to text analysis, as well as sublimation and the development of the means of expression available to the speech community. This, as Govaert rightly observed, can lead one to say that untranslatability exists even in cases where at least partial, if not complete translatability, is possible: "L'expérience de la traduction montre que bien souvent l'intraduisible est ce qui n'a pas encore été traduit correctement" (1971a, 40). We

can speak of untranslatability whenever all resources in the TL have been exhausted and functional equivalence between SL and TL remains beyond reach. The reasons for this, as noted by Catford (1965), can be of either a linguistic or a cultural nature. Linguistic untranslatability occurs when the linguistic form has a function beyond that of conveying factual relationships and is therefore a constituent part of the functional equivalence to be achieved. This, for example, is true of plays on words, which can usually be adequately translated semantically but not stylistically.

...

Cultural untranslatability occurs when sociocultural factors cover a different range of experience in the SL and the TL and must be made to coincide in regard to the intended meaning in each instance. This happens relatively often in the field of biblical translation. On the other hand, translation procedures generally present possibilities for compensation, since translation is in principle possible whenever the transfer is preceded by an understanding of the content of the original text. This being the case, Catford is correct in saying: "[...] cultural untranslatability... is usually less 'absolute' than linguistic untranslatability" (1965, 99). The translator is better able to cope with the sociocultural difficulties of translating, since each problem in translation is linked to a certain situational context which, as a rule, is valid for more than one language and can for that reason be realized in other languages on the basis of functional equivalence.

...

The theoretical argument over translatability and untranslatability is thus reduced to a statistical problem: untranslatability, according to Popovič, can be said to exist only in situations where, due to the lack of denotative and connotative equivalence relationships, the desired linear and functional interchangeability of meaning and expression between the linguistic elements of the original and those of the translation is lacking (1971). In all other cases, thanks to the relative comparability of the extralinguistic experience of mankind and the empirically proven cognitive commensurability of languages, it is possible, in principle, to achieve interlingual communication on the level of the text with a relatively high degree of TE of content and style.

---- op. cit.¹⁶⁵

108. (德) 凯瑟林娜·赖斯

Katharina Reiss

生平及重要译论:

凯瑟林娜·赖斯(又译卡塔琳娜·赖斯、雷斯) Katharina Reiss, 德国著名学者、翻译理论家。曾在海德堡大学(University of Heidelberg)、维尔茨堡大学(University of Wuerzburg)、美茵茨大学(University of Mainz)大学任教,精通德语和西班牙语。著作颇丰,发表90多篇论文,很多被译成多种语言。

赖斯是德国功能派(skopostheory, 又称目的学派)翻译理论的第一代杰出代表人物,她在1971年正式提出关于功能派的理论学说的构思。她提出译文应该在概念性内容、语言形式和交际功能方面与原文对等,坚持以原作为中心的等值理论。这就是她所称的综合性交际翻译(integral communicative performance)。同时,她也提出应该有具体的翻译要求(translation brief),即有时根据特殊情况译文可以与原文具有不同的功能。如此,译者便应该考虑译文的功能特征而并非对等的原则。

功能派将翻译原则分为两类:适用于所有翻译过程的普遍原则和适用于特殊翻译情形的特殊原则。赖斯主张从语篇类型学(text-typology)的角度来研究翻译。她根据功能派对语篇类型的划分要求,将语篇的交际功能即指代功能(referential function)、表达功能(expressive function)、移情功能(appellative function)

和交感功能（*phatic function*）等四种语篇的交际功能作为语篇划分的标准。这种不同交际功能的理论可以使译者更好地运用各种特殊翻译情形的特殊原则。

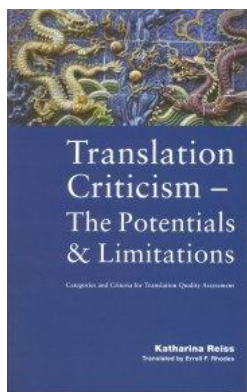
《翻译批评——潜力与制约》（*Translation Criticism: The Potentials & Limitations*）是赖斯翻译研究的一部经典著作，出版 30 年后由埃罗尔·F·罗得斯（Erroll F. Rhodes）译成英语。赖斯在该书中主要探讨了关于制订对译文进行系统评估的标准问题。为此，赖斯对语篇进行了系统的分类和语用性的分析，并从语言的功能角度来解释翻译的过程。她将原语语篇分为四种：以内容为重的语篇（*content-focused text*）、以形式为重的语篇（*form-focused text*）、以诉请为重的语篇（*appeal-focused text*）和以声音为媒介的语篇（*audio-media text*）。在此基础上，赖斯对翻译批评的潜力和客观与主观性制约条件进行了详尽的论述。

赖斯对翻译单位的探求历史也曾做过描述：

人们逐渐意识到，翻译并不仅仅是单个词之间的松散串联。人们逐渐探索新的翻译单位，形成翻译的科学方法：起初翻译单位被重新确定为词与句子级的短语或成语，后来人们认为，翻译之间进行比较的惟一基础是整个篇章……翻译等值就成为篇章的等值以及篇章级上其他翻译单位的等值。¹⁶⁶

赖斯与威尔斯、莱比锡学派的卡特（Otto Kade）和纽伯特（Albrecht Neubert）等同被称为翻译的“科学论”者。

史料图片编辑：



Katharina Reiss:

Translation Criticism: The Potentials & Limitations

译论史稿辑要：

（1）

It goes without saying that all the types of translation mentioned may be justified in particular circumstances. An interlinear version can be extremely useful in comparative linguistic research. Grammar translation is a good aid to foreign language learning. Learned translation is appropriate if one wishes to focus on the different means whereby given meanings are verbally expressed in different languages. And the changing of a text's function, as a verbal component within a total communicative' process, may also be a justified solution. However, when the translation is an end in itself, in the sense of simply seeking to extend an originally monolingual communicative process to include receivers in another language, then it must be conceived as an integral communicative performance, which without any extratextual additions (notes, explanations etc.) provides an insight into the cognitive meaning, linguistic form and communicative function of the SL text. [1977]

---- Katharina Reiss, *Texttypen, Übersetzungstypen und die Beurteilung von Übersetzungen*¹⁶⁷

(2)

It is essential to develop a general framework that will accommodate the range of standards relevant to specific individual translations. This leads to the recognition that different kinds of texts call for different kinds of standards. A typology of texts to be translated is the first step toward determining the literary, linguistic and pragmatic categories which provide the points of reference by which a particular translation is to be evaluated.

Once these basic questions have been clarified, the limitations of translation criticism should be defined and categories developed that will consistently ensure the objectivity of judgments or expose their subjectivity.

...

There is, of course, the question whether judging a translation lies within the competence of a literary critic. Is a critic's knowledge of the literature or degree of specialization in a given field an adequate qualification for the task? Does he have a sound appreciation of the boulders and clods (to use Luther's phrase) that the translator first had to clear away? Can he distinguish something other than the final product of the translation process, which then is treated as an original?

In the light of these considerations we may conclude that translation criticism is possible only by persons who are familiar with both the target and source languages, and is accordingly in a position to compare the translation directly with its original. In brief, translation criticism requires a comparison of the target and source texts.

...

B. The Potential of Translation Criticism

[...] No critique without a comparison with the original! This process of comparison is indispensable for a balanced judgment; any alternative would only invite charges of subjectivity and caprice.

1. Criticism and the target language text

And yet the widespread traditional practice of limiting criticism to translated texts may have a degree of justification, at least for literary texts. This kind of criticism, based solely on the translation in the target language with no consideration for the original, can be useful only if its inherent limitations are acknowledged. What lies within the range of these limitations?

The judgment of a translation should never be made *one-sidedly* and *exclusively* on the basis of its form in the target language. If the work is a novel, the translation critic may well assume it to be an example of light fiction, while in actual fact the translator has simply been incapable of integrating the text's elements of content, structure and style. A definitive judgment is possible only if its inadequacies can also be observed and demonstrated in the source of the translation. It should be evident that the analysis and evaluation of a translated text can serve as the first stage, but it must be followed by the second and indispensable stage of comparison with the source text.

In some instances, of course, the reverse process is also possible, as when comparing several translations from a single original. Horst von Tschärner (1963) gives an example of such an approach. Tschärner first gives an analysis of a poem in its original form, and then proceeds to exhibit several translations together with his comments for and against their solutions.

But usually the first step begins with the translated text. How, then, should the critic begin?

[...]

When translating from German to Spanish or English, on the other hand, it is necessary to consider carefully whether these particles carry full weight in the sentence, or only serve it with an element of nuance. The decision then has to be made whether to translate them with equivalent expressions, or to ignore them (representing them by a null equivalent).

This suggests another criterion for judging a translation solely on the basis of its target language: a mastery of stylistic and grammatical standards must be supported by a familiarity with idiomatic usage.

And there is yet another way of evaluating a translated text: internal inconsistencies. H. Kellner (1964, p. 87) writes: "Absurdities may be conspicuous even without a comparison of the two texts, for which most critics do not take the time." These "absurdities" might be simple translation errors due to an inadequate knowledge of the vocabulary or grammar of the source language, or even a failure to appreciate non-verbal factors operative in the target language, though this requires a comparison with the source language for confirmation. Errors of this kind generally occur on the semantic level of translation, bringing to the lexical, grammatical and stylistic criteria a fourth and last criterion which can be relevant to judging the target language version of a text.

As we have noted, a critique based on the target language version of a text can be quite productive. But our discussion has indicated that on the whole its role in the evaluation of a translation is distinctly limited. It is limited by a lack of reference to the original, and if it is to avoid such vague generalities as "fluent translation," "reads like an original," "uneven translation," etc., it needs to be supplemented by a close comparison with the original. Besides, an evaluation on the basis of the translation alone has a largely negative cast. Conformity to grammatical and stylistic standards as well as lexical and semantic norms of the target language are only to be expected, or at least should be, and should warrant no particular conclusions. It can only call attention to any deviations from standard usage.

Our first principle, that translation criticism should be constructive, would rule out judging a translation solely on the basis of its faults. Hans Erich Nossack (1965, p. 11), who is no mean critic, was quite representative in saying: "I frankly confess that as a reader I would rather put up with a few insignificant errors in a translation, which I probably wouldn't notice anyway, than with a betrayal of the whole spirit of a book which could not be ignored and which would make it a lifeless and tedious piece of work."

However much we may welcome this generosity of the critic toward translation errors (provided they are few), the parallel emphasis on the positive quality of a translation, or its consistency with "the overall spirit of the book," should not be determined on the basis of a subjective impression ("a lifeless piece of work"). For this a comparison with its original is essential, and judgments must be based on strict and objective criteria.

Furthermore, as we noted at the beginning, it goes without saying that constructive translation criticism must also offer satisfactory alternative translations, substantiated with convincing evidence. Since success in dealing with translation problems can be determined only by a comparison with the text in the original language, reference to the original text provides the only effective means for establishing a detailed evaluation of a translation.

2. Criticism and the source language text

The discussion thus far has made it clear that the evaluation of a translation solely on the basis of the target language can be valuable for strictly limited purposes. But a conclusive evaluation cannot be made without comparing the translation with the original. One of the most important principles for translators is complete fidelity to the intent of the original author. Only by a comparison with the source language can it be discovered whether this fidelity has been achieved, how well the intent of the author has been understood, how it has been interpreted, and how successfully it has been expressed in the target language. Evaluation on the basis of the source language represents criticism which takes this fact into account.

Before an *overall* evaluation of a translation can be made, it must be examined from a variety of perspectives. In other words, criticism should begin with observing the type of text represented, which has significant implications for a valid translation, and then consider both the linguistic and non-linguistic factors which are of essential significance for the translation process. It is necessary for an objective and relevant evaluation to consider the characteristics of each *type of text*, its *linguistic elements* and the *non-linguistic factors* affecting the linguistic form of the original.

(3)

5. Objective and subjective limits of translation criticism

The categories of translation criticism discussed above are based upon factors that govern the translation process under normal circumstances. Neglecting any one of these factors under any circumstances would affect the full equivalence of the source and target texts.

There can be norms only when there can be deviations from a norm. We stated that normally for an adequate translation it is critical to consider carefully a text's type, linguistic elements and non-linguistic determinants. But it should not be ignored that in practice variations from this normal procedure occur when taking a source text into a target language. One very important cause of objective differences from the source text is a disregard for its text type. This always occurs when the translation is intended for a special function. If the special function has to do with the subject matter, the purpose of the translation may be something other than that of the original; if it has to do with persons, the translation may be addressed to a different readership than the original.

In such instances the translator may be as independent of the principles of the text type, the observance of linguistic elements and the consideration of non-linguistic determinants as the purpose or the intended readership of the translation may require. The critic must then accommodate the intended function of the translation among the criteria for its evaluation. The literary, linguistic and pragmatic categories of translation criticism will be replaced by a *functional* category.

It remains a question, of course, as to whether this functional category should be recognized as useful in translation criticism. It can hardly be regarded as reducing the possibility of objective criticism in general -- at most it indicates a limitation of *translation* criticism. But this is enough to qualify the functional category for inclusion in a chapter on the limits of translation criticism.

The real debate can only be on whether versions in a target language should or should not be considered translations if they serve a particular purpose, especially a purpose *not* addressed by the original. Whenever the translation does not serve the purpose intended in the original it strays from the ideal of a translation in the strict sense, whether the motivation be artistic (e.g., a change of form, as in dramatic presentations of epic poems, prose versions of dramatic works, etc.), pedagogical (student editions, interlinear versions), or commercial (rough drafts, adaptations). In other words, just how broadly or how narrowly should the concept of translation be construed? But this is an old debate that has been decided variously through the centuries (Kloepfer, 1967, chs. 1 and 3; Wuthenow, 1969, chs. 1 and 2).

By the term *translation* we mean here the version of a source text in a target language where the primary effort has been to reproduce in the target language a text corresponding to the original as to its textual type, its linguistic elements, and the non-linguistic determinants affecting it. On the surface this definition excludes any consideration of translations which do not share the purpose of the original or have a purpose other than that of the original author, and are directed to the interests of a special clientele. Such products are better characterized as adaptations, paraphrases, more or less free revisions, abstracts, summaries, and the like.

As we have emphasized elsewhere, there is no question of the basic legitimacy or usefulness of making adaptations of original texts, but it would be better to call them "adaptations" -- or more or less free adaptations -- and not translations. This slight change of terminology would clearly imply substantive changes in a target language version without implying any evaluative judgment.

The criticism of "*adaptations*" cannot be held to a consistent observation of the criteria and categories appropriate to translation criticism. The critic must instead determine whether the transformation has achieved the special purpose for which it was intended. The judgment becomes one of a functional category.

A second factor which is subjective rather than objective in nature can give rise to considerable differences between an original work and a target language version. It has to do with the individuality of the translator, which inevitably leaves its imprint on the translation. There can hardly be any two translations of the same text, whatever kind of text it may be, that are similar in all their details, and consequently identical. Wilhelm von Humboldt (1963, p. 97) refers explicitly to these subjective differences and their peculiar characteristics when he states that "the part of the nation that cannot read the ancient classics for themselves can become better acquainted with them through several translations than through just one. They are just so many different views of the same spirit, each translator reflecting his own understanding as he was able to express it -- while the reality is found only in the original." Such subjective differences can, of course, be of pedagogical value, provided several versions of the same text are available.

On closer inspection this subjective factor shows two components. First there is the interpretive skill of the translator, where the translator's grasp of a topic is affected by the subjective limitations of the hermeneutical process. This applies to all varieties of text types. The second component involves the individual personality of the translator, where translating may be viewed as a personal problem. This also applies to all text types, but it affects most seriously the translation of literary texts, especially poetry, because only too often the quality of a translator's artistic temperament can lead to radical alterations of the original work. Translations of literary works would better be called free renderings than translations, especially when the personality of the translator and the force of his own artistic temperament result in a target language version that stands on its own, indebted to the original as a model and a source of inspiration.

Differences from the original due to this second factor -- the interpretive skill and personality of the translator -- take translation criticism to its absolute *limits*, because the critic is also subject to the same conditions. At this point a judgment can no longer be objectively expressed in terms such as "correct" or "false," "good" or "bad." E. A. Nida (1964, p. 164) has stated the situation quite prudently: "One cannot, therefore, state that a particular translation is good or bad without taking in consideration a myriad of factors, which in turn must be weighted in a number of different ways, with appreciably different answers. Hence there will always be a variety of valid answers to the question, 'Is this a good translation?'"

If the translator's work is obviously not directly based on a given text or document, the question "Is this a good translation?" is no longer in order. At the most the translator's interpretation can be compared and weighed with that of the critic; in the case of free rendering the esthetic principles of each can be compared and the way in which artistic views have been worked out in the source and target languages can be reviewed.

But whether differences from the original text are due to objective or subjective conditions, there is one thing that the critic must consider: the criteria and categories of normal translation criticism are no longer adequate. The motives which prompted the translator to change either the form or the content of the original must also be discovered, as well as their implications for the version in the target language. If the translator has not discussed his own motives in a preface or an epilogue, the critic must try and detect them; only then can his criticism claim to achieve the highest degree of objectivity.

---- Katharina Reiss, *Translation Criticism: The Potentials & Limitations*¹⁶⁹

(4)

The foregoing discussions have addressed the potentials and limitations of a proper and objective translation criticism. The following thesis statements summarize the results of this discussion.

1. Translation criticism is proper if a *translation* (in the strict sense of the term) demanding a *text-oriented* translation method (accommodated to its text type) is examined by standards which are proper to its text type, i.e., when these criteria derive from the categories of the text type, the linguistic elements of the text, and the

non-linguistic determinants that affect the text.

2. Translation criticism is proper if a *translation* (in the broader sense) demanding a *goal-oriented* translation method (directed to a special function or readership) is examined by criteria which are also derived from the functional category of translation criticism, adjusted to the standards of the special function or readership which the translation is intended to serve.
3. Both text-oriented and goal-oriented kinds of translation are affected by subjective influences: the subjective conditions of the hermeneutical process and of the translator's personality. Because the critic is also inevitably susceptible to the same influences, a personal category of translation criticism becomes an overruling component.
4. A proper translation criticism (whether text-oriented or goal-oriented) is accordingly objective only to the extent that it takes these subjective conditions into consideration.

---- Katharina Reiss, *Translation Criticism: The Potentials & Limitations*¹⁷⁰

(5)

(a literary translation) orients itself towards the particular character of the work of art, taking as its guiding principle the author's creative will. Lexis, syntax, style and structure are manipulated in such a way that they bring about in the target language an aesthetic effect which is analogous to the expressive individual character of the source text.

---- Katharina Reiss, *Texttyp und Übersetzungsmethode. Der operative Text*¹⁷¹

(6)

As the highest rule of a theory of translation we propose the 'rule of skopos': An action is determined by its purpose (is a function of its purpose). (1984:101, translation my own)

---- Katharina Reiss and Hans J. Vermeer, *Grundlegung einer allgemeinen Übersetzungstheorie*¹⁷²

109. (德) 克里斯蒂安·诺德 Christiane Nord



Christiane Nord

生平及重要译论：

克里斯蒂安·诺德（又译克里斯蒂安妮·诺德）Christiane Nord，1967年毕业于德国海德堡大学（Heidelberg University）并获博士学位。德国马格德堡理工大学（Polytechnic of Magdeburg）应用语言学和翻译学教授，德国功能派翻译理论（Skopos tradition in translation studies）的主要倡导者之一，国际翻译培训专家。她在德国功能派学者中首次用英语全面系统地讲述了功能派的学术理论。曾出版《翻译的语篇分析》（*Text Analysis in Translation*, 1991）、《目的性行为——析功能翻译理论》（*Translating As a Purposeful Activity: Functionalist Approaches Explained*, 1997）及关于翻译工作者培训理论与方法的著作数部。

德国功能派提出翻译是一种行为和目的性行为，这种理论为德国翻译理论研究提供了强大的动力。诺德继承了德国功能派代表性人物赖斯（Katharina Reiss）、弗米尔（Hans Vermeer）和曼塔利（Justa Holz Mänttari）的功能派翻译学说，论述了功能派的形成过程、基本思想，并结合功能派翻译理论提出翻译的忠诚（loyalty）原则。忠诚原则是对目的论的必要补充，弥补了目的论在翻译实践中的缺陷。

诺德在对德国功能派翻译理论进行论述时强调目的论，她指出：

功能派（functionalism）着重研究功能或文本和翻译的功能。

.....

功能派是以这种方式讨论翻译的各种各样翻译理论的一个泛指词语，尽管我们通常所称的‘目的论’（skopostheorie）在这种趋势的发展中发挥了主导作用。¹⁷³

诺德在梳理了翻译和翻译行为两个不同的概念之后，对翻译做出新的定义：

翻译是创作使其发挥某种功能的译语文本（functional target text）。它与其原语文本保持的联系将根据译文预期或所要求的功能得以具体化。翻译使得由于客观存在的语言文化障碍无法进行的交际行为得以顺利进行。¹⁷⁴

诺德对翻译的新的定义强调译文的功能性，强调译文与原文的联系及目的性，强调翻译的跨文化性，概括了功能派对翻译实质的认识，体现了功能派对翻译性质的诠释，即目的性、交际性、跨文化性、行为性、加工性和人际性。¹⁷⁵她还根据功能理论将翻译分为文献型翻译（documentary translation）和工具型翻译（instrumental translation）两种。

译论史稿辑要：

（1）

Our title emphasizes that translating is an activity. This means that a theory of translation can be embedded in a theory of human action or activity. The parameters of action theory may help to explain some aspects of translation.

Human actions or activities are carried out by 'agents', individuals playing roles. When playing the role of senders in communication, people have communicative purposes that they try to put into practice by means of texts. Communicative purposes are aimed at other people who are playing the role of receivers. Communication takes place through a medium and in situations that are limited in time and place. Each specific situation determines what and how people communicate, and it is changed by people communicating. Situations are not universal but are embedded in a cultural habitat, which in turn conditions the situation. Language is thus to be regarded as part of culture. And communication is conditioned by the constraints of the situation-in-culture.

...

Although functionalist approaches draw on practical experience of the translation profession, they are not just

descriptive; they do not merely describe what can be observed in the process of translation or the results of this process. As we will see later on, functionalism makes use of descriptive methods (for example, parallel text analysis) to locate and compare the communicative norms and conventions valid in various culture communities. Since functionalist approaches have been developed mainly within university translator-training institutions, they are normative or evaluative to the extent that they include the evaluation of translations with regard to their functionality in a given situation-in-culture; future professional translators must be trained not only to produce 'good' (that is, functional) translations satisfying their customers' needs, but also to find good arguments to defend their products against unjustified criticism from clients and users. For example, your Indonesian friend might be reproached for not having told you exactly what the policeman said, since you have seen the policeman pointing in some direction and using many more words than would have been necessary just to say 'I don't know!'. What concepts should your Indonesian translator use to defend her decision?

—— Christiane Nord, *Translating As a Purposeful Activity: Functionalist Approaches Explained*¹⁷⁶

(2)

In order to avoid this conceptual confusion, I have proposed a basic distinction between *intention* and *function* (Nord [1988] 1991:47f). 'Intention' is defined from the viewpoint of the sender, who wants to achieve a certain purpose with the text. Yet the best of intentions do not guarantee a perfect result, particularly in cases where the situations of the sender and the receiver differ considerably. In accordance with the model of text-bound interaction, the receivers use the text with a certain function, depending on their own expectations, needs, previous knowledge and situational conditions. In an ideal situation the sender's intention will find its aim, in which case intention and function would be analogous or even identical.

This distinction is particularly useful in translation, where the sender and receiver by definition belong to different cultural and situational settings. Because of this separation of sender and receiver, intention and function may have to be analyzed from two different angles.

...

This rule is intended to solve the eternal dilemmas of free vs faithful translation, dynamic vs formal equivalence, good interpreters vs slavish translators, and so on. It means that the *Skopos* of a particular translation task may require a 'free' or a 'faithful' translation, or anything between these two extremes, depending on the purpose for which the translation is needed. What it does *not* mean is that a good translation should *ipso facto* conform or adapt to target-culture behaviour or expectations, although the concept is often misunderstood in this way.

—— Christiane Nord, *Translating As a Purposeful Activity: Functionalist Approaches Explained*¹⁷⁷

(3)

8. Function plus Loyalty

When I was trained as a translator at the School of Translation and Interpreting at Heidelberg University in the 1960s, translation theory as we know it today had not been invented. Training mainly involved looking over the shoulders of experienced translators and trying to find out, through a perilous process of trial and error, what distinguished a 'good' translation from a 'bad' one. As can be seen from the first publications on translation methodology which appeared in those years (such as Reiss 1971), equivalence was tacitly presupposed to be the guiding principle of the translation process, even though certain teachers, or certain occasions, seemed to demand different yardsticks. In any case, it was usually the source text or some of its features (text typologies had not been invented) that were declared to be responsible for the change in strategy. It was the source text that required faithfulness, even with regard to punctuation in some literary or legal translations, and it was the source text, too, that demanded adaptation of some examples or culture-bound concepts to target-culture conventions or expectations in other translations such as

newspaper texts.

In this situation *Skopostheorie* fell on fertile ground. Not only did it account for different strategies in different translation situations, in which source texts are not the only factor involved, but it also coincided with a change of paradigm in quite a few disciplines, among them linguistics, which had developed a stronger focus on communication as a social, culture-bound occurrence, on the individuals involved, on the spatiotemporal conditions of communication, and on communicative intentions and functions. *Skopostheorie* seemed to be exactly the translational model that was needed. It was

- *pragmatic*, accounting for the situational conditions of communicative interaction and, accordingly, for the needs and expectations of the addressees or prospective receivers of the target text and even making the target receiver the most important yardstick of translational decisions;
- *culture-oriented*, giving consideration to the culture-specific forms of verbal and nonverbal behaviour involved in translation;
- *consistent*, able to establish a coherent theoretical and methodological framework that could serve as a guideline for an intersubjective justification of the translator's decisions in any type or form of translation task, permitting any translation procedures that would lead to a functional target text;
- *practical*, accounting for all the forms of transcultural communication needed in professional translation practice;
- *normative*, in the sense of giving the translator a guideline as to the best or safest ways to attain a particular translation purpose;
- *comprehensive*, because target function was considered to be the main standard for any translation process, one possible function being the presentation of a target text whose communicative effects were equivalent to those of the source text; and
- *expert*, in the sense that it attributed to the translator the prestige of being an expert in their field, competent to make purpose-adequate decisions with full responsibility with regard to their partners.

In short, this model seemed just too good to be true. So where was the flaw?

My personal point of view has partly been shaped through the influence of my teachers, among them Katharina Reiss. Yet I see two interdependent limitations to the *Skopos* model as it has been presented here. One concerns the culture-specificity of translational models; the other has to do with the relationship between the translator and the source-text author.

Like the concept of equivalence, *Skopostheorie* claims to be a general or universal model of translation (see the title of Reiss and Vermeer 1984). Although Vermeer allows for a relationship of 'intertextual coherence' or fidelity to hold between the source and target texts, the demand for fidelity is subordinate to the *Skopos* rule. As we have seen, the main idea of *Skopostheorie* could be paraphrased as 'the translation purpose justifies the translation procedures'. Now, this seems acceptable whenever the translation purpose is in line with the communicative intentions of the original author. But what happens if the translation brief requires a translation whose communicative aims are contrary to or incompatible with the author's opinion or intention? In this case, the *Skopos* role could easily be interpreted as 'the end justifies the means', and there would be no restriction to the range of possible ends.

In a general theory, this might be acceptable enough, since one could always argue that general theories do not have to be directly applicable. Yet translator training, like translation itself, does not take place in general or 'deculturalized' surroundings. Students are trained to be translators within one particular culture community (or perhaps two culture communities) at a given point in history. Any application of the general theory to translator training must thus take these particular settings into consideration.

Looking at the history of translation and translations, we find that at different times and in different parts of the

world people have had different concepts of what a good translation is or should be. These notions sometimes vary according to the text type in question or depend on the self-esteem of the receiving culture with regard to the source culture (cf. Bassnet-McGuire 1991:39ff). According to the prevailing concept of translation, readers might expect, for example, that the target text gives exactly the author's opinion; other cultures might want it to be a faithful reproduction of the formal source-text features; still others could praise archaizing translations or ones that are not at all faithful reproductions but a comprehensible readable texts. Translators must take these expectations into account. This does not mean that translators are always obliged to do exactly what the readers expect.

Yet there is a moral responsibility not to deceive them (cf. Nord 1991:94f). Of course, it may be difficult to know exactly what readers expect of a translation, since this is a field where extensive empirical research remains to be done. For the time being, though, translators must rely on conjectures and on the scarce feedback they get from their clients and readers.

Let me call 'loyalty' this responsibility translators have toward their partners in translational interaction. Loyalty commits the translator bilaterally to the source and the target sides. It must not be mixed up with fidelity or faithfulness, concepts that usually refer to a relationship holding between the source and the target *texts*. Loyalty is an interpersonal category referring to a social relationship between *people*.

In the general model, loyalty would be an empty slot that, in a particular translation task, is filled by the demands of the specific translation concepts of the cultures in question. For example, if the target culture expects a translation to be a literal reproduction of the original, translators cannot simply translate in a non-literal way without telling the target audience what they have done and why. It is the translator's task to mediate between the two cultures, and mediation cannot mean imposing one's culture-specific concept on members of another culture community.

In introducing the loyalty principle into the functionalist model, I would also hope to solve the second problem I see in radical functionalism. This concerns the relationship between the source-text author and the translator. Normally, since authors are rarely experts in translation, they are likely to insist on a faithful rendering of the source text's surface structures. Only if they trust the translator's loyalty will they consent to any changes or adaptations needed to make the translation work in the target culture. And this confidence would again strengthen the translator's social prestige as a responsible and trustworthy partner.

In this context, loyalty means that the target-text purpose should be compatible with the original author's intentions. This may not be a problem where the sender's intentions are evident from the communicative situation in which the source text is or was used, as with operating instructions or commercial advertisements. In these cases we may speak of 'conventional' intentions linked with certain text types. In other cases, the analysis of extratextual factors such as author, time, place, or medium may shed some light on what may have been the sender's intentions (cf. Nord [1988] 1991:47ff). However, it can be difficult to elicit the sender's intentions in cases where we don't have enough information about the original situation (as is the case with ancient texts) or where the source-text situation is so different from the target-text situation that there is no way of establishing a direct link between the source-text author and the target-text readers. In these cases, a documentary translation may be the only way to solve the dilemma. Sometimes a thorough analysis of intratextual function markers helps the translator to find out about the communicative intentions that may have guided the author.

The loyalty principle thus adds two important qualities to the functional approach. Since it obliges the translator to take account of the difference between culture-specific concepts of translation prevailing in the two cultures involved in the translation process, it turns *Skopos*theorie into an *anti-universalist* model, and since it induces the translator to respect the sender's individual communicative intentions, as far as they can be elicited, it reduces the prescriptiveness of 'radical' functionalism.

My personal version of the functionalist approach thus stands on two pillars: function *plus* loyalty (see Nord [1988] 1991:28ff and 1993:17ff). It is precisely the combination of the two principles that matters, even though there may be

cases where they seem to contradict each other. Function refers to the factors that make a target text work in the intended way in the target situation. Loyalty refers to the interpersonal relationship between the translator, the source-text sender, the target-text addressees and the initiator. Loyalty limits the range of justifiable target-text functions for one particular source text and raises the need for a negotiation of the translation assignment between translators and their clients.

...

The function-plus-loyalty model is also an answer to those critics who argue that the functional approach leaves translators free to do whatever they like with any source text, or worse, what their clients like. The loyalty principle takes account of the legitimate interests of the three parties involved: initiators (who want a particular type of translation), target receivers (who expect a particular relationship between original and target texts) and original authors (who have a right to demand respect for their individual intentions and expect a particular kind of relationship between their text and its translation). If there is any conflict between the interests of the three partners of the translator, it is the translator who has to mediate and, where necessary, seek the understanding of all sides.

—— Christiane Nord, *Translating As a Purposeful Activity: Functionalist Approaches Explained*¹⁷⁸

(4)

一向以来，不少翻译理论家都借用其他学科，如文学、话语语言学、甚至宗教学的语篇研究作为分析原文的理论基础。但现代翻译学必须创立一套以翻译为本，放诸四海而皆准的语篇分析模式。这个模式必须具有普遍性，适用于任何语篇，不囿于时空、语言、文化、文体或个人特色；同时兼具特殊性，涵盖因不同情景、译者水平或翻译方向等引致的个别语际、跨文化转换问题，对专业译员、翻译教员和学员起指导作用。这样，无论面对什么翻译任务，译者均可应用这个模式，循一套客观的参照系，清晰地掌握原文各元素和特征的功能，系统地归纳翻译问题，透彻地理解翻译规则，有效地制定翻译对策，以达到该次任务的目的。此外，译者更可制订评估译作的指引，提高译作的品质。

.....

译文要适合某个目的，便必须符合由「翻译指令」列出的要求。指令应说明预期的译文情景，即译文目的。策动者本身并非翻译专家，通常不懂写出翻译指令，但他心里肯定有一套指令，因为他知道自己需要译文达到什么目的。在这情况下，作为译语文化专家的译者便应根据策动者提供的有关译文情景的资料，为译文制定能够实现的目的。

这个功能论的主要论点是：操控翻译过程的不是等值翻译理论所规定的原文，或原文对原文受者的效果，或作者希望原文能够发挥的功能，而是由策动者的需要决定的译文预期功能或目的。这种观点与弗美尔的「目的论」一致（参 Reiss and Vermeer 1984: 95ff）。

.....

在跨文化传意过程的图表中，译者占中央位置。作为原文受者兼译文制作者，译者既参与原文情景，也参与译文情景。但译者并不屈于原文发送者心目中的受者。译者念原文可以说没有个人「需要」，他代替策动者或译文受者看原文（译语文化可能与原语文化相差颇远），然后藉译作向他们传达某些来自或有关原文的资料。

译者对原文的接受方式由策动者或译文受者的传意需要决定。

.....

既然语篇特征不只是语句的结构性质，而基本上是传意使用上的特征，那么翻译为本语篇分析模式赖以建基的语篇概念必须兼顾结构和语用情景两方面，彼此相辅相成。以下是语篇特征和语篇的定义：

- (1) 语篇特征是传意参与者彼此间的社会传意（也就是语言）行为的结构特征；

(2) 语篇是语篇结构特征透过特定传意媒体的具体展现。

根据这定义，语篇是社会传意功能中一组组的语言符号，即包孕于传意行为体系中的功能语篇，因而普遍由语言和社会标准界定（Schmidt 1976：145）。

.....

对译者而言，功能语篇的语义和结构特征之所以重要，并不在于可用于证明某语句为语篇，而在于可以分析其所指意义和内涵意义。

.....

我们须从另一角度分析语篇的接受。译者是熟悉原语文化的原文受者，而且是有分析能力的受者，目标是尽量对原文作客观、尽责、可验证的理解。他以几种身分接受原文：（1）在译者情景中充当熟悉原语文化的受者；（2）投入原文受者情景中的分析者；（3）投入译文受者的世界并「透过其眼光」阅读原文的译语文化受者。正如豪斯（J. House）所言，译者必须「在原文与译文之间放置一个文化隔滤器，透过译语文化成员的眼镜看原文」（House 1981：196）。

.....

语篇作为作者意图的产物，在受者接受原文前只属临时性质，受者的接受使传意情景得以完成，语篇功能得以界定：语篇作为传意行为须由受者「完成」。

由此看来，语篇可具有多种功能，就如它可有多个受者一样。一个人可在不同时空以迥异的方法「阅读」同一语篇，如这个人是译者，则他肯定会根据同一语篇制作不同的译文。弗美尔指出：「某受者在某时间凭藉个人及其社会的接受经验接受某信息。受者个人及其社会的环境是接受效果的一部分。」（Vermeer 1979：70）

基于上述概念，企图为一个原文物色唯一的译文，甚至提出理想译文的标准，恐怕毫无意义。接受作用既绝对依赖个别情景，根本就没有可能找到能顾及每一个接受过程的评判标准。

要解决这问题，首先必须透过一个全面涵盖一切语篇特征或成分的分析模式，控制原文的接受；然后是透过严格界定译文（预期）功能的「翻译指令」，控制译文制作过程。将译文功能谨记于心，译者便可找到否定或选用某种翻译策略的理据，在功能标准的基础上缩小可行译法的范围；如此才有充分理由比较同一原文并为同一情景而翻译的不同译本，并为译员培训而进行有效的译文比较评估。

---- 诺德：《翻译的语篇分析》¹⁷⁹

110.（德）汉斯·J·弗米尔

Hans J. Vermeer

生平及重要译论：

汉斯·J·弗米尔（又译威密尔、弗美尔）Hans J. Vermeer，德国著名学者、翻译理论家。

作为德国功能派发展的第二个阶段的代表人物和赖斯的学生，弗米尔继承和发展了赖斯提出的功能派理论的思想。他打破了以原语为中心的等值论的框框，创立了功能派的奠基性理论，即翻译的目的论（Skopostheory），这是功能派的重要理论。弗米尔提出翻译是一种人类的行为活动，而且是一种有目的的行为活动，仅靠语言学是无法解决翻译问题的。翻译活动要考虑客户的委托和要求，而他还特别强调翻译不是一对一的语言转换活动，因为行为发生的环境是在文化的背景中。目的论提出的三个法则是：目的法则、连贯性法则和忠实性法则。

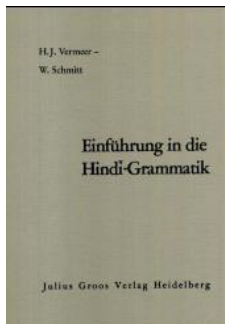
弗米尔认为翻译是一个文化交流的行为：

总之，翻译是一种跨文化的转换。译者应精通两种或多种文化，由于语言是文化内部不可分割的部分，译者也就相应地精通两种或多种语言。其次，翻译从本质上说是一种行为。换句话说，它是一种‘跨文化的行为’。这种行为不但适用于文化相邻的语言（如德语和英语），也适用于文化并不相近的语言（如芬兰语和汉语）。不同语言之间的文化翻译不是类的差异，而是度的区别。¹⁸⁰

弗米尔强调原文文本的功能包括未变功能（原文文本的功能）和已变功能（满足译语文化需要的译语文本功能，强调从功能的动态性对等来理解翻译：

翻译不是一种语言的词句到另一种语言的解码——译码，而是一种非常复杂的行为方式：译者将原语文本的信息在新的、改变了功能、文化、语言的条件下复制，同时尽可能地保留原语的形式。¹⁸¹

史料图片选辑：



Hans J. Vermeer & Walter Schmitt:

Einführung in die Hindi-Grammatik

译论史稿辑要：

(1)

(a culture is) the entire setting of norms and conventions an individual as a member of his society must know in order to be 'like everybody' -- or to be able to be different from everybody.

[...]

Linguistics alone won't help us. First, because translation is not merely and not even primarily a linguistic process. Secondly, because linguistics has not yet formulated the right questions to tackle our problems. So let's look somewhere else.

Suppose we were to observe an Indian getting up in the morning. We see him get out of bed, take a shower, brush his teeth and cleanse his mouth, put on clean clothes, pray, take a cup of tea and so on. If we asked him to describe his behaviour he would mention his shower (which he'd call a 'bath', if he speaks English) and perhaps forget about the tea. Suppose now, we would also observe a German during his morning ritual. We would see much the same procedure, although with certain differences in the way he would take his shower and put on his clothes; he, too, would have his breakfast (and perhaps brush his teeth afterwards). Asked about his behaviour he would certainly not forget to mention his 'battered bread and coffee' and just as certainly would forget about his brushing his teeth. The descriptions of the two individuals from two different cultures would differ to a greater or lesser extent, but they would be culturally equivalent, both being considered natural behavioural acts with the same 'function' in their respective culture specific settings.

---- Hans J. Vermeer, *What does it mean to translate?*¹⁸²

(2)

Any form of translational action, including therefore translation itself, may be conceived as an action, as the name implies. Any action has an aim, a purpose. [...] The word *skopos*, then, is a technical term for the aim or purpose of a translation. [...] Further: an action leads to a result, a new situation or event, and possibly to a 'new' object.

[...]

For an act of behaviour to be called an action the person performing it must (potentially) be able to explain *why* he acts as he does although he could have acted otherwise.

[...]

It might be said that the postulate of 'fidelity' to the source text requires that e.g. a news item should be translated 'as it was in the original'. But this too is a goal in itself. Indeed, it is by definition probably the goal that most literary translators traditionally set themselves.

[...]

What the *Skopos* states is that one must translate, consciously and consistently, in accordance with some principle respecting the target text. The theory does not state what the principle is: this must be decided separately in each specific case.

[...]

unless otherwise indicated, it will be assumed in our culture that for instance a technical article about some astronomical discovery is to be translated as a technical article for astronomers [...] or if a company wants a business letter translated, the natural assumption is that the letter will be used by the company in question (and in most cases the translator will already be sufficiently familiar with the company's own in-house style, etc.).

---- Hans J. Vermeer, *Skopos and commission in translational action*¹⁸³

(3)

Each text is produced for a given purpose and should serve this purpose. The *Skopos* rule thus reads as follows: translate/interpret/speak/write in a way that enables your text/translation to function in the situation in which it is used and with the people who want to use it and precisely in the way they want it to function.

---- Hans J. Vermeer, *Skopos und Translationsauftrag - Aufsätze*¹⁸⁴

(4)

Collaborating in the communicative act in such a way as to enable the achievement of the *Skopos* is the main and foremost task of translators. We may well call it their social task, for they are the experts who know how to socially bring about transcultural communication and lead it to its intended aim.

---- Hans J. Vermeer, *Quality in Translation - a social task*¹⁸⁵

(5)

一、提要

目的论 (*skopos theory*) 是翻译行动论 (*theory of translational action*) 的组成部分 (参 Holz-Mänttari 1984; Vermeer 1986: 269-304, 197-246; Wilss 1988: 28)。这个理论把翻译视为翻译行动的一个类型, 其特别之处是有一个原文 (*source text*) 作为行动的基础 (参 Holz-Mänttari 1984: 42ff; Nord 1988: 31)。(其他类型的翻译行动包括例如由顾问提供的一个地区的经济或政治资料等。)

顾名思义, 任何形式的翻译行动, 包括翻译本身, 都可以视为一种行动。任何行动都必定有目的 (参

Vermeer 1986)。(没有目的就不能称为行动了。)此外,行动会得出结果,会带来新的情况或者事件,还可能产生「新」的事物。翻译行动带来的是「译语语篇」(target text)(不一定是文字形式的);翻译则带来译文(translatum),是译语语篇的一个类型。

任何翻译行动的目的和方式都要与行动的委托人协商制订。明确订出目的和实行方式,对译者来说是必不可少的。狭义的翻译当然也一样:只有全面地制订出目的和实行方式,语篇翻译的任务才能圆满完成。

只有译者才是翻译行动的专家,他要对所承担的任务的执行以及译文的定稿负责。从译者的角度来看,要订明目的,当然要有个原文,所以原文是任务的组成部分。最终决定译文面貌的因素还有很多,其分量轻重不一,但均以原文为基础。(翻译是有特定情景的复杂行动,而语篇是其组成部分(参 Holz-Mänttari 1984; Vermeer 1986)。

目的论的一个实际意义,是就原文在翻译中的地位问题提出新的看法,并呼吁译者和大众增加对这个问题的认识。

译者的地位又如何呢?在某些情形下,我们需要专家,便把我们认为是专家的人请来。我们通常有理由相信,这些人「懂得其中奥妙」,因此请教他们,倾听他们的意见。他们既是某个领域的专家,我们自然相信他们懂得的比外行人多。有时候,有人可能会与他们争论怎样行事才最好,直至取得共识,偶尔还会请教别的专家,或者考虑还有没有别的方法能达到既定的目的。专家必须有能力提供专业意见;这就意味着他必须有专业知识,而且有责任运用这种知识。因此,他的意见应受到尊重,应有「发言权」。译者就是这样的专家。原文在翻译行动中应起甚么作用,以及诸如此类的问题,应由他来决定。而关键的因素是,在这个情景下沟通的目的是什么(参 Nord 1988: 9)

二、目的与翻译

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原文通常原本是为原语文化中的一个情景而制作的,因此处在「原文」的地位,而译者的作用是进行跨文化的沟通。就算原文本身是为跨文化沟通而制作的,译者的作用依然如此,因为在多数情况下,原作者不懂译语文化及其语篇传统。如果作者具有这些知识,他就会按照译语文化的条件创作了,而且会使用译语!因为语言是文化的组成部分。

因此,仅仅把原文「换码」,把它「转换」成另一种语言,根本不可能得到适用的译本。(此一点在最近的神经生理学研究中也得到了证实(参 Bergström 1989)。)顾名思义,原文面向原语文化,而且总会受到原语文化的制约。译文则面向译语文化,而且最终应从译语文化的角度衡量它的适用性。因此,原文与译文不仅在表达方式和内容编排上,而且在各自所订立的目标上都可能出现相当大的差异。其实,内容的安排正是由其目标所决定的。(表达方式的改变自然会有其他原因,例如在笑话里,译语文化会以不同的方式表达同一现象。下文再谈这一点(参 Broerman 1984)。)

当然,译文也可能和原文有相同的功能(目的)。但即使如此,翻译过程也不仅是换码(除非故意采用这种译法),因为前后一致的翻译理论会认为,这类译文主要也是面向译语文化的情景的。换码这种程序却是面向原文而非译语文化的,因此与翻译行动论截然相反。(不过,这观点并不否定,换码也可能是面向译语文化的合理的翻译目的。目的总是决定性的标准。)

如果译者认为原文的形式和功能基本上已达到在译语文化中的预期目的,则译文与原文之间可以说存在一定程度的「语篇一致性」。这个概念是从目的方面去谈译文与原文的关系。举例来说,一个合理的目的可能是准确模仿原文句法,也许旨在让译语文化的读者认识这种句法。又或者,在文学翻译中,准确模仿原文结构,在译语文化中创造出一个文学作品来。为什么不行呢?问题在于要明确知道自己在做什么,以及行动所产生的结果,例如:以这种方法制作的语篇在译语文化中会产生什么效果,这种效果与原文在原语文化中的效果有多大差异(参 Morgenthaller 1980: 138—140; Gerzymisch-Arbogast 1987)。

翻译就是做事情:「写出一篇译文」、「把一个德语语篇译成英语」等,都是一种行动。参照多位理论家的观点,弗美尔于一九八六年把行动描述为一种特别的行为:行为要能称得上行动,做出行为的人必须有潜在的能力解释为什么要那样做,尽管他可以做出别的行为。此外,行动的真正理由总可阐述为目的或目标。

(如赫勒斯 (G. Harras) 所说:「有充分理由」的行动。(这正说明了卡斯帕 (R. Kaspar) 在讨论另一个问题时提到的论点 (参 Kaspar 1983: 139): [在这意义上, 目的这个概念首先是原因的相反意思。] 西塞罗 (M. T. Cicero) 也为行动下了一个定义, 他提到会出现这样的情况:「为获得更多的利或避免更大的弊而忽略一些利弊因素。」)

.....

四、翻译任务

接受翻译任务若不是有意的选择, 就是职责所在。任务可能是自己主动提出或是别人提出: 在任何一种情况下, 译者都是根据「任务」行事的。

让我们把任务界定为自己或别人给予的进行一项行动 (这里指翻译) 的指示。(本文提到的翻译包括传译。)

迄今, 实际交待任务时, 总会明确用到「请翻译附上文章」等等字句, 但很少会提到文章的目的。在现实生活中, 任务的具体目的、对象等往往已十分明显。譬如一篇有关天文发现的技术性文章, 译文对象就是天文学家, 除非另有说明。出版的具体地点并不重要。又如一家公司要翻译一份商业函件, 使用者显然就是这家公司。(在多数情况下, 译者对该公司的函件格式等已很熟悉。) 如果这些假设成立, 就可认为任何翻译都有目的。即使指示不明确、不具体, 我们仍可认为有不言明 (或暗示) 的目的。然而, 应强调一点, 很多译者和委托人最好能改变以往的做法, 尽可能详细说明目的。

除不可抗力外, 上述定义及有关的论点可以说明, 每篇翻译都是基于一项任务的。圣经翻译中的所谓神灵感应便是不可抗力的一个例子, 但根据「任务」这个概念也许还是应包括在内。

任务应包括下面两点, 而且订得愈详尽愈好: (1) 目标, 即任务的具体目的 (参 Nord 1988: 170)。(2) 达到既定目标的条件 (当然包括期限和报酬等具体问题)。目标和条件应由委托人和译者共同商定, 因为语篇在译语文化中会如何被接受, 委托人可能有不确切甚至错误的想法。译者可通过说理提出建议, 只有条件明确, 任务才 (应该) 有约束力, 才算最后决定, 并为译者所接受。) 这要求似乎有点一厢情愿, 但应尽力争取 (参 Holz-Mänttari 1984: 91ff, 113; Nord 1988: 9, 284)。

译者是翻译行动的专家 (参 Holz-Mänttari 1984, 1985)。作为专家, 应由他决定翻译何时、如何、是否可完成 (参 Lasswell 1964: 37; Vermeer 1986: 197)。

任务能否完成, 取决于译语文化而不是原语文化。原文从属于原语文化, 而任务只是间接从属于原语文化, 因为从定义上看, 翻译必须牵涉到原文。有人会说, 任务能否完成取决于译语文化与原文的关系, 不过, 这只是特殊情况, 因为任务基本上与原文无甚关系。然而, 如果两者差异太大, 翻译是不可能实现的, 最多只能改写等等。本文不打算讨论这个问题。但应当指出, 译语文化一般来说有很大的潜在适应能力, 例如可借助其他文化的现象作自我延伸。这方面的可能性有多大, 取决于译语文化 (参 Toury 1980)。我的论点是: 每篇翻译都可以而且必须赋予目的, 这个论点现在可与任务的概念联系起来: 目的正是由任务赋予的。(译者也可以给自己下达任务。)

—— 弗米尔:《翻译行动的目的与任务》¹⁸⁶

(6)

The functional approach and the didactics of translation

From the point of view of translation teaching, the consequences of the development of the functional approach seem obvious. First, viewed as an act of intercultural communication rather than a skill in transferring minimal linguistic units across language boundaries, translation could no longer be taught/learnt on the basis of linguistic exercises. No one denies that linguistic skills are necessary as a starting point (Wilss 1992), but functionalists argue that these skills are part of a more basic cultural competence in handling source and target communicative contexts (Witte 1987a).

Second, the functional approach to translation and its teaching is not perceived as being bound to specific language pairs, otherwise the didactics of translation would become quite complex within this framework. It is introduced and exemplified by starting from general procedures of text reception and production in a primary culture and its

language; such procedures tend to be applied in a subliminal manner and have to be brought to consciousness in order for their functions to be realized (Witte 1989). Cultural competence comprises the whole range of everyday interaction as well as types of specific professional behaviour with which a translator has to become familiar. Cultural competence acquired as part of translator training may even lead to a new profession, the 'intercultural management assistant' or 'consultant' for instance. Such competence is taught/learnt on the basis of a theoretical model supported by generalizable examples. Cultural and linguistic competence in a secondary language are introduced after a certain time lag. Other cultures and languages may be introduced at a later stage still. Once the theoretical model and the functional skills associated with it have been acquired, they can easily be extended to other cultures and languages (a common experience for a translator). This is followed by a comparison of the situational and textual features of the primary and secondary cultures and languages; this type of comparison goes far beyond the methods of contrastive linguistics, for it is always embedded in situational contexts and accompanied by functional specifications (see Holz-Mänttari 1993 on 'text design').

Once textual competence has been acquired for a number of text types such as business letters, introducing a guest, writing reports, and so on (Witte 1987b; Nord 1987a, 1990, 1991) and source and target texts have been compared, comprehension and production exercises 'from one culture to another' may follow. This may be done, for example, by specifying a task in one culture and producing a corresponding text in another. The aim of such exercises is to enable students to acquire a translational competence that would allow them to reproduce a text meaning (French *sens*: Seleskovitch and Lederer 1989; see INTERPRETIVE APPROACH), first orally and then in writing, and later improve the product by means of repeated attempts at 'correcting' it. At this point, the very term 'translation' begins to pose a psychological barrier (Toury 1980) and may be substituted by less restrictive designations such as 'technical writing'. The sequence thus goes from text design to interpreting (*Dolmetschen*) to translation. It is important to note that, notwithstanding the growing influence of the functional approach, most courses at present still proceed in the opposite direction. It is quite common for a translation course to start with exercises in written translation, transforming the surface structure of a written source text as closely as possible into a written target language. This is then followed by oral interpreting or *Dolmetschen*. The danger of this method is that the translator is immediately caught up in the usual frantic search for the right word instead of trying to get the gist of the text in order to convey its meaning or realize its function for a different target readership.

In the functional model of teaching, the various components of a course are usually offered as modules, allowing each student to choose his/her ideal sequence and pace. A course in a specialized subject such as economics, business management or law is usually offered at the same time and provides the student with the necessary background information in at least one specialized field of knowledge. In addition to subject expertise as such, the student is introduced to the specific language used in the relevant field. The idea is that while an engineer has to know how to build a bridge, the translator has to know how engineers talk about building a bridge. The primary aim of the overall translation course is to teach functional problem solving in text reception and production. The teacher suggests strategies, discusses results with the students, and oversees both individual research and team-work. And given that no course can cover all areas of knowledge or all types of text, teaching is generally based on carefully chosen examples from typical professional contexts, generalized to cover the students' chosen fields among others.

The ultimate aim of a translation as taught within this framework is to fulfil a functional task. The task is provided by a commissioner (*Auftraggeber*). The translator is assumed to be an expert in intercultural communication: s/he analyses the commissioner's aims, expectations and working conditions (Nord 1991) and acts as a cultural consultant. This type of interaction is simulated in the classroom environment.

Training literary translators

[...] Translation criticism, which is particularly important in the context of literary translation, proceeds in this

model from a willingness to respect the target production as a text in its own right (Holz-Mänttari). Students of literary translation are therefore trained to state the aims of their individual translations so that a critic or a target recipient can judge the work by reference to its declared aims. The model of translation criticism adopted in this context consists of three steps:

- (a) analysis of the target text in terms of whether or not it fulfils the aims declared by the translator
- (b) analysis of the intention or aims of the source text, as far as these are recoverable
- (c) evaluative comparison of the two texts by reference to their (possibly different) aims (Ammann 1990; see also REVIEWING AND CRITICISM).

Further issues in translation teaching

[...] Other issues which are often the subject of debate in the context of training translators and interpreters include: the balance between theory and practical work in designing a translation course, the difference between translator and interpreter training, the level of specialization that should be aimed for (that is whether specialized fields should be taught as an end in themselves or as a means of teaching students how to acquire subject expertise in general), and whether those who teach translation should themselves be professional translators. These issues are given different emphases by different scholars. However, it is fair to say, for instance, that the majority would argue for a generalist rather than a specialist approach to training. Given that professional translators and interpreters are expected to deal with a variety of text types and subjects, and that many of these cannot be anticipated before graduation, a translation course can only provide the student with a general education and the skill to acquire new subject expertise as it is needed. It is also reasonable to argue that skills of this type are best taught by those who have a sufficient level of professional experience as translators or interpreters.

---- Hans J. Vermeer, "Didactics of translation"¹⁸⁷

111. (芬兰) 贾斯塔·霍尔兹·曼塔利 Justa Holz-Mänttari

生平及重要译论:

贾斯塔·霍尔兹·曼塔利(又译尤斯塔·霍尔茨-门泰里、贾斯塔·赫兹·曼塔利) Justa Holz-Mänttari, 德国功能派第三个发展阶段的代表人物。出生于德国, 芬兰籍德语翻译家和翻译理论家。

曼塔利进一步发展了功能派的翻译理论。她在弗米尔“目的论”学说的基础上, 进一步提出“翻译行为”(translational action)的概念, 主张严格意义的翻译只是翻译行为的一种。她用信息传递(message transmitters)来指文本、图片、声音、肢体语言等各种各样的跨文化转换, 强调翻译过程的行为、参与者的角色和翻译过程发生的环境三个方面, 将翻译视为实现特定目的的复杂活动。她对翻译行为的定义为:

为实现信息跨文化、跨语言转换而设计的复杂行为。¹⁸⁸

这样, 翻译便不再被看作是一个简单的语言之间的转换, 而是译入语社会中的一种独特的政治行为、文化行为、文学行为, 而译本则是译者在译入语社会中的诸多因素作用下的结果, 在译入语社会的政治生活、文化生活、乃至日常生活中发挥着作用。因此, 曼塔利避免将翻译简单地称为“翻译”(translation), 而是使用“翻译行为”(translatorial action)一词, 以强调翻译的跨文化性。

译论史稿辑要：

(1)

Typification does show up the typical but has the serious disadvantage of always ignoring just that which is decisive for the case in hand. But this is the very problem which the translator has to be able to solve and for which he must be given higher-order rules based on a theory. (trans. Ernst-August Gutt. 2004: 20)

[...]

Translational action is the process of producing a message transmitter of a certain kind, designed to be employed in superordinate action systems in order to coordinate actional and communicative cooperation. (trans. Christiane Nord)

---- Justa Holz-Mänttari, *Translatorisches Handeln. Theorie und Methode*¹⁸⁹

(2)

The methods, models and schemata presented are intended to make visible these [functional] dynamics. They are not meant to overregulate, to choke intuition or to automatize processes[...]. According to each case and need they can be used either meticulously or with generous selectiveness. For it is the expert that decides about the use of his instruments.

---- Justa Holz-Mänttari, *Translatorisches Handeln. Theorie und Methode*¹⁹⁰

112. (奥地利) 玛丽·斯奈尔·霍恩比

Mary Snell Hornby

生平及重要译论：

玛丽·斯奈尔·霍恩比（又译斯内尔、杭贝）Mary Snell Hornby，德国翻译家、著名翻译理论家，奥地利维也纳大学（University of Vienna）翻译传译学系教授，长期从事英语、德语翻译，欧洲翻译协会创始人之一。

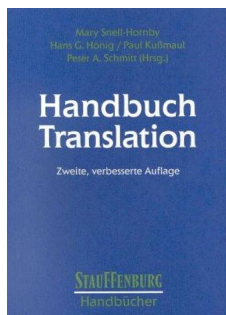
霍恩比是翻译综合学派的代表人物，其最具代表性的著作为《翻译研究——综合法》（*Translation Studies: An Integrated Approach*, 1988）。其他有关“综合论”的著作包括论文集《翻译学——一门综合学科》（1992）和《作为跨文化交际的翻译》（1995）。这些著作使其翻译研究综合论观点成为完整的理论体系

霍恩比倾向于翻译研究学派的翻译主张，但其翻译综合法学说又自成体系。她对传统的翻译语言学派和翻译研究学派进行了批评。在此基础上，她主张翻译应该成为独立的“综合性”的属于跨学科（interdiscipline）范畴的翻译学学科，主张对语言学派和文学派翻译理论兼收并蓄，以格式塔整体理论（Gestaltism）（及原型学说）和“场景——框架”语义学理论为基础，采用综合（integrated）方法对翻译进行研究。综合方法主张从整体（holistic）上研究翻译，而不是从某种特定形式来研究翻译。

霍恩比认为，应该将文化作为翻译的背景以填补语言学与文学翻译之间的空隙，翻译不是语际转换（interlingual transfer）而应是跨文化转换（cross-cultural transfer），翻译研究学者应抛弃“唯科学主义”而将文化而不是文本作为翻译的单位；文本分析不应孤立地对待词语而应该是一个从宏观的语篇到微观的词语的过程；文化作品应当不断地被重译，因为翻译是个动态的过程，永远没有完美的翻译。她还认为，翻译需要吸收心理学、人类学、哲学等学科内容，而不属于这些学科中的任何一种的派生或分支。她反对先前的过于严格的学究式的二元对立的范畴化模式分界，主张将僵化的过于规范化的类型学（typology）（指赖斯的文本类型学 text-typology）改为原型（prototypes）（即原始类型学），将二元对立改为层化模式。因此她的结论

是：翻译必然是个综合性的跨文化的学科。

史料图片选辑：



von Mary Snell-Hornby, Hans G. Hönig, Paul Kußmaul, Peter A. Schmitt:

Handbuch Translation: Zweite, verbesserte Auflage

译论史稿辑要：

(1)

The ideas discussed so far will now be presented in concrete form as a basis for an integrated concept of translation studies. In the diagram on the following page a system of relationships is established between basic text-types -- as prototypes -- and the crucial aspects of translation. On the horizontal plane the diagram represents a spectrum or cline, where sharp divisions have been replaced by the notion of gradual transition, hence no demarcation lines have been drawn in. At the same time, on the vertical plane, the diagram represents a *stratificational model* which, in accordance with the gestalt-principle, proceeds from the most general level (A) at the top, downwards to the most particular level (F) at the bottom -- or, in other words, from the macro- to the micro-level.

Level A presents the conventional areas of translation which up to now have been kept all too separate: on the left literary translation, traditionally the province of poets and scholars and once the only area thought worthy of the theorist, and on the right special language translation, traditionally inferior and the main concern of the translation schools. "General language translation" is still a vague concept which up to now has only been negatively defined as "not literary" and "not technical," but which is nonetheless implicitly the concern of the linguistically oriented *Übersetzungswissenschaft*. In this concept the historical dichotomy has been replaced by a fluid spectrum, whereby, for example, prototypically literary devices such as word-play and alliteration can be accommodated both in "general" newspaper texts (cf. 2.4.1 below) and in the language of advertising, and conversely prototypically technical terms from the language of science or culture-bound items from the "general" area of politics or everyday living can be explained and interpreted as literary devices (cf. 4.2 below).

Level B presents a prototypology of the basic text-types, from the Bible to the language of modern technology, which are the main concern of the translator. While traditional theory concentrated on the items situated at the extreme left of the spectrum, the Bible, the monuments of Classical Antiquity and the great works of the European tradition, particularly Shakespeare's plays, only a few of these areas have been given detailed attention in modern theory, and even then the focus has been limited to specific aspects (for Bible translation see Nida and Taber 1969, for lyric poetry Levy 1969 and Beaugrande 1978). The special problems of children's literature and stage-translation until recently only received scant attention (cf. Verch 1976, Reiss 1982 on children's literature and Snell-Hornby 1984, Bassnett-McGuire 1985 and Schultze 1986 on the translation of drama). At the other end of the scale are the special language text-types, the main fare of the modern professional translator; in the training institutes the major areas are law, economics, medicine, science and technology, and these are now being dealt with intensively in academic studies (cf. Schmitt 1986; Stellbrink 1984a and 1985; Gerzymisch-Arbogast 1986 and 1987). On the diagram limited space

permitted only a narrow selection of basic text-types; there are of course many others, along with numerous blend forms (cf. 4.1 below).

Level C shows the non-linguistic disciplines -- or areas of so-called "extralinguistic reality" -- which are inseparably bound up with translation. The terms are placed at the point of the cline where they are thought to apply most, but again, we are concerned here with the dynamic concept of focus and not with grid-like compartments involving rigid classification; the arrows indicate the range of application or, where they overlap, interaction. Essential for special language translation, for example, is specialized factual knowledge of the subject concerned, while literary translation presupposes a background in literary studies and cultural history. A necessary precondition for all translation is knowledge of the sociocultural background (see 2.1 below), both of the source culture and the target culture concerned.

Level D names important aspects and criteria governing the translation process itself, an extremely complex area which at this point is dealt with only briefly, as most of them form the main topic of chapters to follow. D(i) focusses on the source text: crucial here is the *understanding* of the text (see 2.1 and 4.1 below), which does not simply involve familiarity with words and structures, but presupposes the ability to penetrate the *sense* of the text, both as a complex multidimensional whole and at the same time in its relationship to the cultural background (see 3.3 below). With certain special language texts involving standardized concepts (particularly in science and technology) the scope of interpretation is narrowed down considerably. D(ii) names focal criteria for the envisaged translation: the notion of invariance can only apply in cases of conceptual identity (standardized terminology), while the concept of equivalence is here still considered to be of some relevance for certain types of special language translation where the focus is on isolatable lexical items (see 3.5.1 below). Basically however, our conception of translation supports the more dynamic approach pioneered by Hönig and Kussmaul (1982), whose dominant criterion is the *communicative function* of the target text (the stage indicated in D(iii)), which governs what they call the "notwendigen Grad der Differenzierung" (the necessary degree of precision) (see Hönig and Kussmaul 1982:58ff. and 2.2 below). With texts involving the *creative extension* of the language norm (2.3 below) -- this applies mainly but not exclusively to literary texts -- translation involves *recreating language dimensions* and results in a shift of *perspective* in the target text (2.4 below).

Level E names those areas of linguistics which are relevant for translation. Of basic importance is text-linguistics in all its aspects, from the analysis of the macrostructure (see 3.2 below), thematic progression and sentence perspective (cf. Gerzymisch-Arbogast 1986) to coherence and cohesion. Older literature requires knowledge of Historical Linguistics, while special language translation presupposes familiarity with work in terminology and access to data-banks. Contrastive Linguistics, both in syntax and lexicology, has great potential for translation theory, although up to now its results in this respect have been meagre (cf. 3.5 below). Other disciplines of relevance for translation as an act of communication within a specific situational context would be sociolinguistics (as the study of language varieties), pragmalinguistics (in particular the speech act theory, cf. 3.4 below), and psycholinguistics (as regards the interdependence of language, experience and thought, cf. 2.1 below). And finally, the lowest level F names phonological aspects of specific relevance for certain areas of translation, as for example, speakability in stage translation, alliteration and rhythm in advertising language.

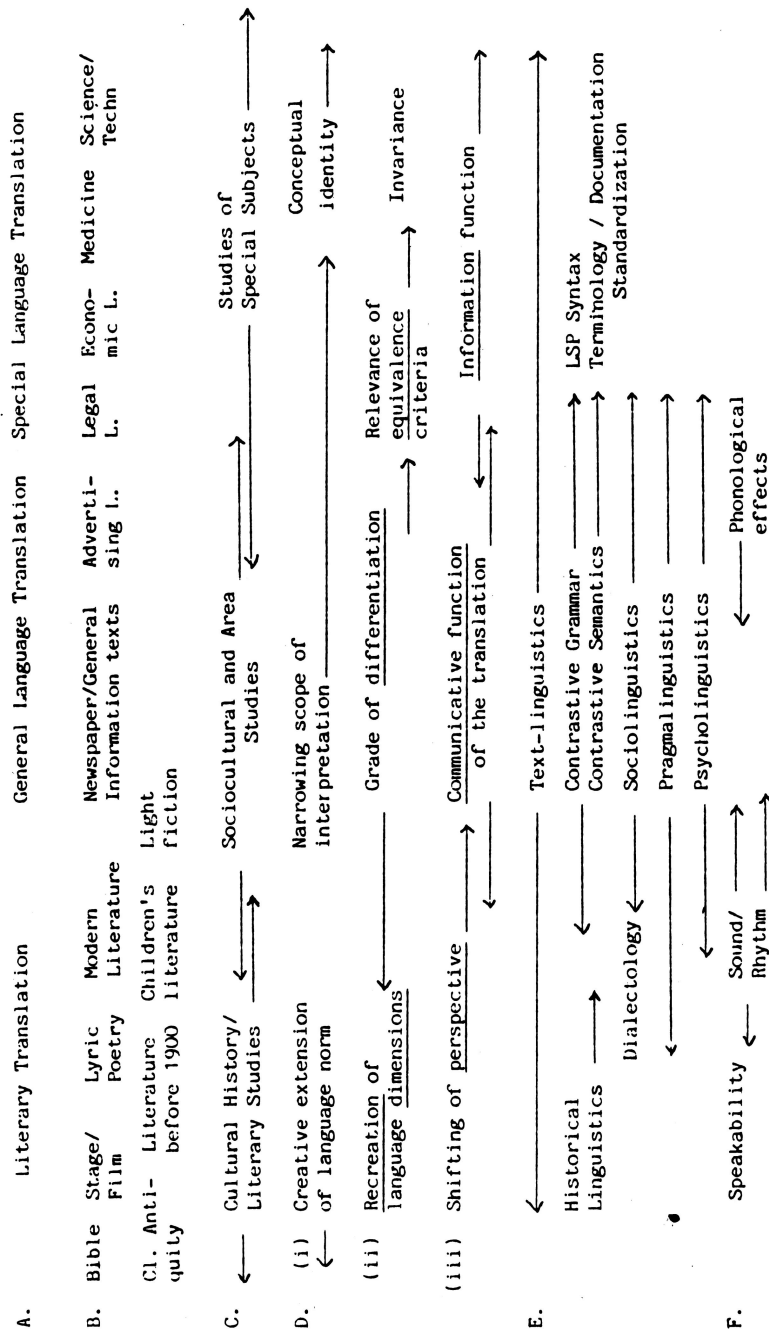
With this prototypical framework the foundations have been laid for our conception of translation studies as an integrated and independent discipline that covers all kind of translation, from literary to technical. In this view, translation draws on many disciplines, but is not equal to the sum total of their overlapping areas and is not dependent on any one of them. As a discipline in its own right, translation studies needs to develop its own methods based, not on outside models and conventions from other disciplines, but on the complexities of translation. The present study is intended as a step in that direction.

At this stage I should like to summarize, in four briefly worded hypotheses, the results of what has been

established so far:

- (1) Translation studies should not be considered a mere offshoot of another discipline or sub-discipline (whether Applied Linguistics or Comparative Literature): both the translator and the translation theorist are rather concerned with a world between disciplines, languages and cultures.
- (2) Whereas linguistics has gradually widened its field of interest from the micro- to the macro-level, translation studies, which is concerned essentially with texts against their situational and cultural background, should adopt the reverse perspective: as maintained by the gestalt psychologists, an analysis of parts cannot provide an understanding of the whole, which must be analyzed from "the top down."
- (3) Translation studies has been hampered by classical modes of categorization, which operate with rigid dividing-lines, binary opposites, antitheses and dichotomies. Frequently these are mere academic constructs which paralyze the finer differentiation required in all aspects of translation studies. In our approach the typology is replaced by the prototypology, admitting blends and blurred edges, and the dichotomy gives way to the concept of a spectrum or cline against which phenomena are situated and focussed.
- (4) While the classic approach to the study of language and translation has been to isolate phenomena (mainly words) and study them in depth, translation studies is essentially concerned with a web of relationships, the importance of individual items being decided by their relevance in the larger context of text, situation and culture.

---- Snell-Hornby, *Translation Studies: An Integratyed Approach*¹⁹¹



Text-type and relevant criteria for translation

(2)

5. Translation studies -- future perspectives

5.1 1987 (First Edition)

[...]

"It is easy to plough when the field has been cleared". This study has been an attempt to clear the ground, in the specific, metaphorical sense in which Luther applies it in the above quotation to the problems of translation. The "stones and lumps" we had -- in the Lutheran sense -- to clear out of the way, were unsuitable concepts (dichotomi

and box-like categories), prejudices ("translation is a matter of words") and fixed ideas (such as the fixation on equivalence and dictionary equivalents). To fill the cleared space, we presented our integrated approach encompassing all text-types from literary to technical translation and including relevant aspects from related disciplines, especially linguistics. On the basis of this approach, the study will close with a tentative prognosis for the future.

Firstly, I think there is no doubt that translation studies is a discipline of the future: in a world that is rapidly growing smaller, international communication across cultures and even between the remotest corners of the earth is gradually being taken for granted, and that includes overcoming language barriers and cultural differences. Without translation the world of today with its rapid exchange of information would be unthinkable. This is one reason why translation studies has grown so rapidly over the last thirty years. What still has to be overcome is the traditional prejudice that besets it from outside: even distinguished scholars from traditional disciplines are sometimes astonished to hear that translation is not merely a matter of words, but of texts in situations. It is the most immediate task of translation studies to break down these barriers of prejudice and establish itself as a recognized independent discipline.

This firstly requires a solid theoretical basis that can throw more light on the translation process, which for too long was dismissed as either mechanical, and hence not worthy of scholarly attention, or mysterious, and hence beyond scientific analysis. An attempt to disprove both attitudes has been made here. Secondly, translation, like any other kind of specialized activity, will have to be left to the specialists and not just any native speaker or dictionary owner who happens to be available (cf. Holz-Mänttari 1986:371; Snell-Hornby 1986a: 9ff.). The idea that anyone is qualified to translate is all the more absurd when one considers that in theory a translator is expected to be bilingual and bicultural. These lofty standards, which in practice only a select few -- even among the professional translators -- can satisfy, are not merely a whim of modern theorists, but (as we saw in 1.2.2 above) have been a commonplace for centuries. [...]

Perhaps the most imposing list of criteria for the future translator is that put together by Louis Paulovsky in 1949 for future students at the training institute in Vienna: Paulovsky's catalogue (1983:143f.) makes such lofty demands concerning both talent and character of the future translator that one wonders if he found any candidates at all who were worthy of such a profession.

The reality of today is of course sadly different from Paulovsky's ideal: the translation institutes are notoriously overcrowded, entrance restrictions are not possible and new students are usually unaware of the demands to be made on them. Literary translators, at least in the West, are given no training at all. Such factors are bound to have a negative influence on the quality of professional translation. If they are to be overcome -- and this is my second major prognosis -- the newly established discipline of translation studies must decide on optimally effective study programmes for the future members of the profession -- an issue which at present, especially in Western Europe, is being hotly debated (cf. Kussmaul 1986 and Stellbrink 1984 and 1985).

Thirdly, given such a solid professional basis, the standard of translation critique, which is widely considered to be arbitrary and haphazard (see Reiss 1971; also Hönig and Kussmaul 1982:120ff.), should be considerably improved. That translators and publishers do react to well-founded criticism has been demonstrated by the Diogenes Verlag in Zürich. Following the publication of a critique by Klaus-Jürgen Popp on Elisabeth Schnack's German translation of Carson McCullers' novella *The Ballad of the Sad Café* (Popp 1976), which pointed out basic errors and mistranslations, stylistic weaknesses, misleading expressions and a general distortion of the author's basic message, the improvements and corrections suggested by Popp were indeed carried out. Professionally trained translation scholars and professionally trained translators could in future do much to raise and maintain standards.

Translation is still the step-child of scholarship. And yet it is growing ever more vital for the world of today, to further communication and to improve cultural contacts. Like many other generalizations on translation, these

remarks are nothing new: the most famous statement of the kind was made by a German translator of the early 19th century called Johann Wolfgang von Goethe in a letter to Thomas Carlyle (20.07.1827): "Denn, was man auch von der Unzulänglichkeiten des Übersetzens sagen mag, so ist und bleibt es doch eins der wichtigsten und würdigsten Geschäfte in dem allgemeinen Weltwesen."

5.2 1995 (Revised Edition)

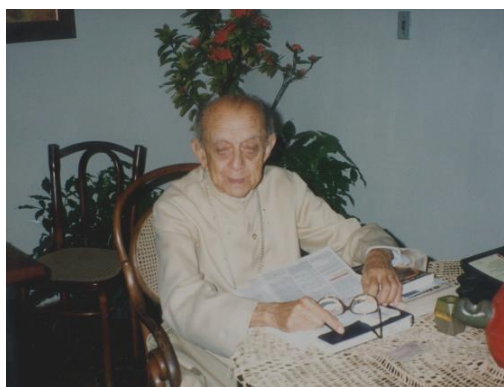
The above "future perspectives" on Translation Studies were first written nine years ago, and I should like to close the Revised Edition with a comment on how far my prognosis has been confirmed.

[...]

These developments are also reflected in the unprecedented boom we are now witnessing all over the world in new schools, departments and even faculties for Translation Studies and the training of translators and interpreters. Within the older schools however, at least in the German-speaking area, the problems I mentioned nine years ago remain unchanged, and the attempts made to produce new study programmes (cf. Snell-Hornby 1992) are all too often hampered by the constraints of bureaucracy and prejudice. The institutes still have problems in emancipating themselves and their curricula from the influence of the traditional language departments, and massive doubts are expressed by graduates and employers as to whether students are being properly trained for their future profession. With the present international and economic developments and the breathtaking pace of technological progress, the job profile of the translator is undergoing rapid changes, demanding not only language competence but also a wide range of cultural and encyclopaedic knowledge and, above all, a high degree of subject area expertise. With the steadily increasing need for instant information across the language barriers, international understanding and global communication, the discipline of Translation Studies and the profession of the translator and interpreter will continue to play a crucial role, and it will depend on the ability of scholars, practitioners and teachers to do justice to this role whether Translation Studies will develop into a success story of the 21st century.

---- Snell-Hornby, *Translation Studies: An Integrated Approach*¹⁹²

113. (奥地利) 罗伯特·布格兰德 Robert de Beaugrande



Dom Helder Câmara, Recife in 1996

生平及重要译论

罗伯特·布格兰德 Robert-Alain de Beaugrande, 语言学家、翻译家和翻译理论家, 出生于奥地利, 柏林自由大学 (Free University of Berlin) 德语与英语及文学硕士 (1971), 加利福尼亚大学 (University of California) 比较文学与语言学博士, 曾在美国佛罗里达大学 (University of Florida, 1978-1991)、维也纳大学 (University of Vienna, 1991-97)、阿拉伯联合酋长国大学 (United Arab Emirates University, 1999-2001) 及巴西的 Universidade Federal de Paraiba em João Pessoa (2001-) 任教。

布格兰德从事文学语言的修辞和语法结构的研究, 曾翻译过德文诗歌。发表过 40 余篇关于语言学和翻译研究的文章, 翻译专著主要有《诗歌翻译理论要素》(*Factors in a Theory of Poetic Translating*, 1978)、《文本、语篇和过程——文本科学的多学科性探索》(*Text, Discourse, and Process: Toward a Multidisciplinary Science of Texts*, 1980) 等。

布格兰德主张用语篇语言学以及社会学、心理学等多学科理论来解决以往描写语言学和转换生成语法在翻译理论方面的局限性。

从语篇理论和读者感受的理论出发, 他认为: 1) 翻译单位应该是整个篇章而并非词或句; 2) 翻译作者、译者和读者之间的互动过程而并非语言的对比; 3) 翻译需要研究反映文章特点的语言的使用的技巧而并非文章特点本身; 4) 需要根据上下文评价这些技巧; 5) 具体翻译有三个步骤, 即分析语言的差异、选择特定的风格与文体和依据上下文选择词语。

他还强调正确的阅读理解对于译者是十分重要的:

翻译的基点不是原文本身, 而是最终在译者大脑中生成的原文的再版。¹⁹³

史料图片选辑:



Robert de Beaugrande's Homepage



Beaugrande's Marriage with Lilinalva,
Joao Pessoa, September 2003

译论史稿辑要

(1)

For a very long time, the theory and practice of translation have been encumbered by a spurious dichotomy between

‘literal’ versus ‘free’, each one imposing diametrically opposite priorities from the other (cf. Beaugrande 1978, 2000). The conception of the literal translation mistakenly implies that single words or even pieces of words have determinate meanings by themselves. The source text is thus conceived to present a series of self-sufficient parts, each to be translated into the corresponding part in the target language; the result will necessarily be accurate. The translator is bound by a moral imperative to be ‘dutiful’ and ‘faithful’ in doing just that, and only that; and the target text is judged by its ‘fidelity’.

By contrast, the conception of the free translation mistakenly implies that single words are relatively insignificant and can be set aside as soon as one has grasped the ‘meaning’. The source text is thus conceived to present a seamless array of ‘meaning’ which is extracted and temporarily stored in a pure language-free medium within the translator’s mind until a corresponding array has been created in the target language. The translator is effectively free from moral imperatives, since the target text is assessed by its own criteria, such as ‘style’ or ‘eloquence’, much as an original text would be.

The concept of the sensitive translation is not implicated in either of these mistakes. The source text is conceived to present and represent a communicative event, during which meanings are created and adjusted in mutual cooperation among the participants, such as writer and reader (Beaugrande et al. 1993; Beaugrande 1997). Here, the priority of the translator is to invest a well-developed bilingual sensitivity and bicultural sensitivity in weighing the complex or competing factors of the translation process, such as the multiplex relations between word-meanings and text-meanings in light of cultural differences. The target text is judged by the balance achieved among these factors, but also by its own criteria.

Obviously, text types will differ in the degrees of sensitivity they demand from a translator; and translators will differ in the degrees of sensitivity they bring to their work. Yet to my knowledge, sensitivity has not been a clearly recognised domain, either in the training of translators by institutes and universities or in the selection of translators by editors and publishers. The unfortunate result has been a general tolerance or acceptance of insensitive texts, even in such venerable international institutions as UNESCO (Mason 1994).

---- Robert-Alain de Beaugrande: *On the Concept of Sensitive Translation*¹⁹⁴

(2)

A. Translation versus the ‘science of language’

Translation has long held the uneasy status of a conspicuous and widespread practice with no explicit consensual theory (cf. Vermeer 1994). The same activity seems at once utterly commonplace and utterly inscrutable. People have been translating since the earliest contacts among cultures, but, aside from a few aphoristic or programmatic statements, the nature and methods of translating have received little attention until modern times. Doubtless, the pervasive presence of translation has helped to render it inconspicuous; and the recognition of its full importance could raise uncomfortable questions about the general theories and proceedings in the study and instruction of language.

Still, the practice of translation was surely a seminal experience that originally motivated people to study language. As long as you remain within the bounds of your native language, you are unlikely to see anything curious or noteworthy about it. Its organisation seems ‘natural’ and obvious, as if language could be no other way, and the relation between the ‘message’ or ‘meaning’ and the language resources for ‘expressing’ it seems transparent. But when you have to move between your own language and another one, this relation becomes problematic, and has challenged language scholars to grasp and define it since ancient times.

It might be thus expected that studies of language would centre on translation, but, for various reasons, this has seldom been the case. Since its inception in this century, much of modern linguistics has counselled scholars to envision the individual language as a separate, abstract system of forms organised in its own terms, with each form standing in an 'arbitrary' relation to its meaning. The active confrontation of two or more languages is not congenial to this vision, which might well imply that translating is a doubly 'arbitrary' activity: taking a set of forms, going to their meanings, and then fitting the latter to an apparently quite disparate set of forms.

Moreover, modern linguistics vowed to study 'language in and for itself' (Saussure's 'langue') apart from language use ('parole'). In retrospect, this decision is increasingly regarded today as premature, and its implications have certainly been problematic. One implication was that this abstract language system was most essentially and distinctly embodied in its **forms** (what units there are and how they are shaped and arranged in structures) rather than in its **functions** (what people do with language and its units or structures). Since translating is a way of doing things, it tended to be envisioned on the margins of linguistic theories conceived mainly along formal lines.

Conversely, translation could be envisioned at the very centre of linguistic theory: in the problematic relation between language and meaning, or, as is often said, between **form** and **content**. In this vision, translation could be seen to occur not merely when a person 'transposes' a 'source language text' into a 'target language text', but in the far broader sense of when a person *transposes any content either into any form, or from one form into another form*. Here, the familiar term 'translating' for an ordinary discourse practice would be appropriated to label a complex of relational processes, but the gain in genuine insight is uncertain. The entire interface between cognition and communication would be a process of 'translation' between a 'cognitive code' and a 'linguistic code', and further 'translation' would occur whenever one way of 'saying something' is adopted to replace any other. We do encounter this broadened sense episodically in modern linguistics, e.g. in Sapir's (1921: 138) 'conceptual classification of languages' by 'the translation of concepts into linguistic symbols'; or in J.R. Firth's (1968: 77f, 198) comment that people perform 'translation within the same language whenever we enter into the speech of someone else or our own past speech'; or in Jakobson's (1971: 261) conjecture that 'the meaning of any sign is its translation into a further alternative sign'.

Evidently, the admission of 'translation' as a domain for study can bring up thorny questions about scope and method. If we limit the term to its everyday sense, we may see it as a specialised and sporadic activity, a marginal or parasitic phenomenon in comparison to the total timeless, abstract system of the single language; and studying it seems a trifle narrow. If we broaden the term to include all mediation between alternative formal systems or structures via sharable 'meanings', we may see it as omnipresent in the design both of a single language and of several languages; and studying it seems dauntingly broad.

It is thus not unduly surprising that a 'science of translation' long remained on the borders of modern linguistics, the 'science of language'. Dramatic advances have had to wait until the dichotomy was relaxed between abstract language ('langue') versus language use ('parole'), and until functionalism could consolidate its position vis-a-vis formalism and become a dominant trend, witness for instance new journals like *Functions of Language* at Benjamins Press (cf. Beaugrande, 1994). A host of unproductive theses have needed to be cleared away, e.g., that all study should be confined to 'purely linguistic' phenomena; that the 'levels' of language should be described in strict separation; that formal or 'distributional' studies should make no appeals to meaning; that a firm distinction should be maintained between 'linguistic' versus 'extra-linguistic meaning'; and so forth (cf. survey in Beaugrande 1991).

Today, the term 'translation science' no longer sounds quixotic or paradoxical. Its academic ambience is not confined to linguistics, but encompasses neighbouring disciplines, such as psychology, sociology, anthropology, ethnography, and computer science (cf. Snell-Hornby et al. [eds.] 1994). Even so, our 'science' is perhaps still a bit too language-centred to navigate some of the wider aspects of translation as a human activity. I shall accordingly suggest an alternative outlook based on a more general model of cognition and communication (fully developed in

Beaugrande, in preparation).

[...]

D. The geopolitics of discourse and translation

[...]

The 'new geopolitics' would thus be an integrative perspective that does not take 'reality' as a neutral given, nor language as an abstract system, but seeks to gauge the functions and interfaces of discourse in constituting and negotiating 'real' or possible worlds, extending all the way from wide social contexts, such as the emergent global rhetoric of 'ethnic autonomy', over to minute discursive choices, e.g. the use of Active or Passive in a clause.

This vision of 'geopolitics' implies a central, indeed daunting role for translation, which has hitherto been restricted in both theory and practice by rigid realism or sparse formalism. We must set aside the 'realistic' notion that the source-language text is a 'literal' and 'true' statement reflecting 'reality' and embodying the essence of phonetics, grammar, and vocabulary. This notion has set implausible standards for the act of translation, which was unjustly suspected of 'liberties', 'biases', and 'distortions'. The translator would be regarded as an agent who takes something authentic and gives back something inauthentic, a 'reality' that has been somehow transformed.

In the framework I propose, the theory and practice of translation call for a crucial distinction among *orders of control*. We need to work against views of translation that project the translator in the uneasy role of an assiduous expropriator of control who is constitutionally prone to 'go too far'. The fact that the translator is necessarily implicated in the antecedent control of both languages and must attempt to mediate between them is not adequately recognised as the essential precondition of translation rather than an unfortunate breeding-ground of vagaries and arrogations. Thus, the lack of formal correspondence required by this mediation is wrongly blamed on some self-centred or perverse manipulations by the translator.

The situation is especially precarious when the modalities of antecedent control vary quite widely between source and target language, so that the translator must make extensive compensations in the design of the message. One language may foresee elaborate resources for indicating attitudes in its grammar, e.g., a range of honorifics and forms of address for the second person, or a wealth of diminutives and augmentatives. A translator moving from English into such a language needs to estimate the speaker's attitude from non-grammatical cues and adopt the commensurate grammatical resources of the target language; moving back into English, the translator needs to notice the speaker's attitudes and convey them with diffuse lexical resources, some of which may sound 'stilted' to the monolingual speaker of English (e.g., when I was repeatedly addressed in a letter from Iraq as 'your goodself').

Whereas the hypothesis of 'linguistic universals' raised the prospect of ultimate commonalities and commensurabilities uniting all languages, the 'Sapir-Whorf hypothesis' undercut that prospect by suggesting that each language creates its own 'reality' for the community of speakers. Paradoxically, these two polemically opposed hypotheses converge in overestimating the role of antecedent control at the expense of consequent control. Both hypotheses portray the speaker of language under the power of predecided systems that largely determine what can be said or even what can be meant. Surely it would be more constructive and more conducive to human freedom to acknowledge that each language represents a selection of relevant aspects of reality and recommends them to the attention of speakers; but speakers are free, whether or not they realise it, to actively participate in the construction and negotiation of reality through their own voluntary control. And in contrast to many scholars, I submit that language science and linguistics have the urgent task of helping to explore how this freedom may be exercised and enhanced.

The 'world-view' a language projects is often more built on *complementarities* than on genuine *biases*. What is discounted at one point in the system is taken into account somewhere else. For example, the languages of Western cultures offer elaborate vocabulary options for expressing or projecting the viewpoint of the individual personality, whereas those of Eastern cultures project more from the viewpoint of the family and community. In return, Western

cultures have also taken the lead in developing ‘sub-languages’ of bureaucracy and administration which level the individual into a faceless vehicle of specific rights and obligations, whereas Eastern cultures excel in developing registers and strategies of address to indicate exquisite distinctions in status and respect.

Insofar as translation studies have not been concerned with the notion of control, they tend to fall back classifying translations into types. The best known of these, namely ‘free’ versus ‘literal’ translation, can readily be grasped as a disparity in orders of control. The extreme of ‘literal translation’ is a strong emphasis on strictly relaying the antecedent control of the source language onto the formulation of the target-language text. The extreme of the ‘free translation’ is a strong emphasis on the consequent control exerted by the translator. Like many classifications in translation theory, this one exaggerates, as a forced yes-or-no choice or dichotomy, a parameter ranging between aspects or approaches which the skilled translator balances and reconciles in practice.

The same reservation applies to some more recent classifications, which vary in their terms but share the idea of dividing translation or translating up along much the same lines that linguistics has used to carve up its descriptions of language. The ‘segmental’ approach foreseeing separate ‘levels’ such as ‘phoneme’ (minimal sound), ‘morpheme’ (minimal form), and so on, was transposed by John Catford (1965) into a highly impractical scheme of ‘level-based’ translating, which by far exceeds even the ‘literal’ method in overstressing the pressure of the antecedent control from the source language. Or, the tripartite scheme of aspects popularised by Charles Morris was rendered by Henry Widdowson (1979) in a scheme of three types of ‘equivalence’, wherein ‘structural’ (like ‘syntactic’) would stress antecedent control, ‘pragmatic’ would stress consequent control, and ‘semantic’ would land somewhere in between with the mysterious entity he too called ‘deep structure’ — a construct from the formalist theorising about language depicted in section C. Trying to estimate the semantic and the pragmatic independently of each other is a rather artificial problem and works best when translations are not very successful, i.e. when the ‘meaning’ is conveyed but the purpose is distorted (cf. Ayad 1982; el Menoufy 1982).

Such schemes are typically unhelpful not merely because they dismantle the translation process and leave it in pieces but because, as I noted above, linguistics has been so heavily preoccupied with the antecedent control built into phonology, grammar, and vocabulary. Even pragmatics has often remained fairly abstract, notably when (as Widdowson proposed) it was centred on ‘speech act theory’, which likes to argue from invented brief examples rather than from real extended conversations and thus misses some significant empirical regularities (Schegloff 1992). I would favour instead a model of the theory and practice of translation in terms of the ‘geopolitics’ of balances among the orders of control (Fig. 5). The channel of communication from original speaker to final addressee (shown by arrows) first combines the antecedent control of the source language with the original speaker’s exercise of consequent control. The translator intervenes and tries to reconcile the channel with the antecedent control of the target language through his or her own exertion of consequent control, and here is where disputes tend to arise, especially when the translator is not respected as a fully authorised participant in the transaction. If the communication does not function flawlessly, the original speaker and the final addressee can both blame the translator for going too far or not far enough in the act of control. Unsatisfactory formulations at one end or fuzzy understandings at the other can be freely laid at the translator’s door, who can only adduce only his or her own personal estimation. The translator will do well to be overly attentive and try to head off potential problems caused by others. Technical faithfulness may well be less desirable than discreet improvements of the message.

The geopolitics of discourse and translation must reflect upon the interactional framework that applies the intersubjective and interobjective controls needed for consensus (cf. section B; Al-Sheikh 1981). Setting standards for translation cannot stop with sparse, inflexible notions of ‘equivalence’ but should consider the cultural and ideological scope of geopolitical discourse as a global mode of control. During the relentless expansion and internationalisation of English today (Phillipson 1992), the chief result has not been an increase in free access to knowledge for overseas populations, but the distillation of new indigenous elites of English speakers who can

contrive to be educated abroad and may find that, like Ismail in the poignant short story *Qandiil Umm Haashim* (*The Saint's Lamp*) by Yahya Haqqii, when they return filled with 'English' knowledge and science they no longer understand their home, family, and culture. Even his native language seems estranged:

When Ismail came to the square he found it as usual crowded with people [...] what were these animal noises they made? [...] if only he could, Ismail would have stopped every man and rudely shaken his arm, saying: 'Wake up! Wake up from your sleep and open your eyes. What is all this pointless and useless arguing, this gibberish and chattering about trivial matters?' (Haqqii 1973: 27ff)

We feel the bitter truth in the words Mahatma Ghandi once spoke to the nation of India: you will not find fulfilment by importing the unhappiness of the West.

The lesson for us would surely be that international communication and translation must not provide further occasions to develop subtler means of foreign control under the guise of imported scientific and pedagogical methods geared to English. From the standpoint of the present paper, that recourse can only alienate the Arabic language from itself by encouraging it to see itself in terms of English or simply to borrow or mimic English terms and patterns. Instead, we should seek occasions to tap and cultivate the rich native resources of Arabic so as to provide the widest freedom of access to the expanding knowledge of civilisation and technology throughout the Arab world.

---- Robert-Alain de Beaugrande, *Cognition, Communication, Translation, Instruction: The Geopolitics of Discourse*¹⁹⁵

114. (加拿大) 让·保罗·维奈
Jean-Paul Vinay
和让·达贝内尔
J. L. Darbelnet



Jean-Paul Vinay, 1910-1999

生平及重要译论

让·保罗·维奈（又译维纳）Jean-Paul Vinay, 1910-1999, 和让·达贝内尔（又译达贝内、达尔贝勒纳）J. L. Darbelnet, 著名语言学家, 加拿大蒙特利尔大学（Université de Montréal）语言学系教授。维奈出生

于法国，毕业于巴黎大学文理学院（Sorbonne）和伦敦大学（University of London），曾在二次大战中服役。1946 年移居加拿大任蒙特利尔大学（Université de Montréal）语言学系主任，曾在 CBC 电视台教授法语。

维奈和达贝内尔最早提出翻译单位的概念，对译学理论有较大影响。他们认为，翻译单位是翻译中无需进一步分割的话语片段。

维奈与达贝内尔属于翻译的语言学派，他们在其合著《法英语言风格比较----翻译的方法》（*Stylistique comparée du français et de l'anglais. Méthode de traduction*, 1958）一书中明确提出：

翻译是一个真正的学科，具有自身特殊的技巧和问题。

因此应该使用“目前备受重视的语言学的分析手段”对翻译进行系统研究。（许钧，2001：23-24）

他们同时还提出解决翻译困难的七种翻译方法，即借词译法（*emprunt*）、仿造译法（*calque*）、对等译法（*mot-à-mot*）、换位译法（*transposition*）、调整译法（*modulation*）、等值译法（*équivalence*）、变通译法（*adaptation*）。前三种方案是解决译入语词语困难的，处于“翻译最底层”，而后几种方案则是解决由于文化差异而造成的“不可译”问题的。

维奈在 1975 年发表的《翻译理论是神话还是现实？》一文中还提出应该从语法结构、词汇结构、译文效果、译文意义、译文风格及类型、原文作者的个性等六个实践方面来论述翻译理论问题：

The problem of translation theory could thus be depicted schematically by a series of levels like the following:

1. Grammatical structures
2. possessing lexical structures
3. creating a certain effect
4. leading to a certain sense
5. within the framework of a given style and genre
6. reflecting the personality of the author.¹⁹⁶

译论史稿辑要：

（1）

La méthode que nous proposons ne s'applique d'ailleurs pas uniquement aux travaux de professionnels, mais aux différents domaines de la traduction. On peut en distinguer au moins trois: [...] La traduction scolaire peut être soit un procédé d'acquisition[...] soit un procédé de vérification[...] En dehors de l'école, la traduction a pour but de faire connaître à d'autres ce qui a été dit ou écrit dans la langue étrangère. Celui qui traduit ne traduit pas alors pour comprendre mais pour faire comprendre[...] On peut considérer un troisième rôle de la traduction. La comparaison de deux langues, si elle est pratiquée avec réflexion, permet de mieux faire ressortir les caractères et le comportement de chacune.

----- J. P. Vinay/J. Darbelnet, *Stylistique comparée du français et de l'anglais. Méthode de traduction*¹⁹⁷

（2）

Rappelons que la modulation est le terme que nous proposons [...] pour désigner un certain nombre de variations qui deviennent nécessaires quand le passage de LD à LA [langue de départ, langue d'arrivée] ne peut se faire directement. Nous avons montré que ces variations tiennent à un changement de point de vue. Tandis que la transposition opère sur les espèces grammaticales, la modulation s'exerce sur les catégories de la pensée.

----- J. P. Vinay/J. Darbelnet, *Stylistique comparée du français et de l'anglais. Méthode de traduction*¹⁹⁸

(3)

La modulation se situe sur le plan de la pensée, la transposition sur le plan de la langue. Pour effectuer une modulation 'libre', non suggérée par le dictionnaire, il faut vraiment se mettre à la place de l'auteur du texte LD et s'interroger sur sa vision du monde.

----- J. P. Vinay, *La traduction humaine*¹⁹⁹

(4)

La traduction littérale n'est, en effet, qu'un des sept passages proposés pour passer d'une langue à l'autre, [...] il faut montrer que.. la traduction littérale expose à des contresens, sans compter les déformations qu'elle fait subir à la langue d'arrivée [...] la traduction littérale, souvent peu idiomatique, constitue parfois un contresens. En d'autres termes, il est possible de trahir la pensée en calquant la structure[...] Ainsi d'ailleurs, la traduction littérale est trop rigide pour tenir compte de ce qui se cache derrière les mots. Mais son principal défaut est d'aller souvent à l'encontre de ce qu'on appelle parfois le génie de la langue.

----- J. L. Darbelnet, *Traduction littérale ou traduction libre*²⁰⁰

115. (加) 路易斯·G·凯利

Louis G. Kelly

生平及重要译论:

路易斯·G·凯利(又译柯利) Louis G. Kelly, 加拿大渥太华大学语言学教授, 讲授社会语言学、双语制(bilingualism)、翻译理论等课程, 并从事语言学史(包括语言教学史及翻译史)的研究, 剑桥大学达尔文学院(Darwin College, Cambridge)教授。著有《二十五个世纪以来的语言教学史》(*25 Centuries of Language Teaching*)

凯利经过长期的研究和整理完成了《真正的译者----西方翻译理论和翻译实践史》(*The True Interpreter: A History of Translation Theory and Practice in the West*, 1979)一书。该书是一本关于西方两千多年的翻译理论和翻译实践发展史的较为全面客观的著作, 对翻译与语言理论的历史关系、历史上不同时期的翻译理论的发展情况、翻译在语言文字及人类社会中的作用、翻译的各种具体问题、“忠实原文”问题以及从西塞罗、坎贝尔到卡特福德、奈达的翻译理论进行了回顾、分析、对比和归纳。

凯利曾应蒙娜·贝克尔之邀撰文介绍了拉丁语翻译的历史和传统。

译论史稿辑要:

(1)

A translator moulds his image of translation by the function he assigns to language; from function, one extrapolates to nature. Thus those who translate merely for objective information have defined translation differently from those for whom the source text has a life of its own.

---- Louis G. Kelly, *The True Interpreter: A History of Translation Theory and Practice in the West*²⁰¹

(2)

The Romantics began reversing the priorities of traditional sign theory; where traditionally the word had existed

solely as an index to a concept, in the thoughts of[...] von Humboldt[...] it shaped concepts and cultures.

---- Louis G. Kelly, *The True Interpreter: A History of Translation Theory and Practice in the West*²⁰²

(3)

2. Models and Definitions

To each stream of language theory, there corresponds a theory of translation. Linguists' models assume that translation is essentially transmission of data, while hermeneutic theorists take it to be an interpretative recreation of text. It is hardly surprising then, that each group, sure that it has the whole truth, lives in isolation from the other. This is a problem peculiar to the nineteenth and twentieth centuries, and few hold the pre-Romantic view that there is an essential complementarity between these views. For if, as Govaert (1971, 436) writes, a translator is a person who knows how to read and who teaches others, no matter his theory, his practice must have the essential elements of both views of language.

[...]

It is only by balancing the means of translation against its end that one can arrive at a comprehensive theory of translation. Such balancing goes on in the mind of every translator who sits down in front of his 'text' and reaches for his dictionary. Few have had the time or patience to construct a theory; but all have tried to avoid betraying 'values'. It is the values they seek to preserve, the values they see in the texts before them, the balance between means and end, the degree to which they have judged themselves true and faithful that are the stuff of a theory of translation. And it is, inevitable that theory and practice will change according to needs and ideology.

---- Louis G. Kelly, *The True Interpreter: A History of Translation Theory and Practice in the West*²⁰³

(4)

This, then, completes discussion of Steiner's first period. Though it is not a unit, empiricism is the characteristic found from the very beginning. It falls into five parts. The pre-Classical period, with the unbridled freedom, of the Romans and the formal equivalence of the Jews, is echoed by the double manner of both medieval period and the seventeenth and eighteenth centuries. Resemblance are not merely technical, they are also attitudinal. Terence and Caecilius share with Jacques d'Amiens and the Augustans, regard for their originals, tempered by doubts of their ability to please the public unless thoroughly acclimatized. The early Bible translators prefigure both Boethius and Daniel Huet in their conviction that the translator is at the mercy of his text. But, whereas attempts to found theory fail during the Middle Ages, and the Classical and Renaissance periods neglect the details of operations, the eighteenth century finishes with a relatively coherent body of theory, whose analysis of purpose and operations was true to the sober practice of prose translators from about 1750 on. Not unexpectedly, its rationalistic character and empiricism was its downfall in the Romantic climate.

Steiner's second stage, 'one of theory and hermeneutic enquiry', begins with Schleiermacher's *Über die verschiedenen Methoden des Übersetzens* (1813). This critical document, however, owes its main themes to Herder's *Fragments* (1777), thereby ignoring the pragmatic legacy of the eighteenth century. Definite ideologies of translation date from this time. Romantic goals and distinctions were still to have a powerful influence on moderns such as Ezra Pound and Georg von der Vring, and still to be felt by the more empirically minded like Ronald Knox. Coherent and exciting though these Romantic theories of national and artistic purpose are, they actually mark a regression when measured even against Rollin, fifty years before. For their assessment of translation technique is not only inadequate, but completely out of step with what they were actually doing. At the root of the practice of the *Interlinearversion* is the task of keeping the order of, sememes, the actual grammatical structure being reinterpreted and sacrificed if necessary. Granted facets of style were often imported from the target language but none suffer from grammatical

calque, none are really strange, except for the solemn lunacies of Wardour Street English. In order to keep word order, the incidence of dynamic equivalence is high, too high for this manner to be considered first cousin to literality. At the root of the Romantic analysis of technique, such as it was, is the error refuted half a century before by Batteux: that similarity of word order demanded similarity of syntax. In essence there is nothing new about the *Interlinearversion*: it is fully developed in Houbigant (1753) and Smollett (1750). Nor is it peculiar to creative translation: it is found from Salusbury (1661) to Hermbstädt (1803). And its purpose and method had already been discussed by Batteux and Campbell.

For all that, however, the Romantics mark a decisive summation of the late-eighteenth-century revolt against the excesses of such as Pope and Desfontaines, a revolt affecting both literature and linguistics. In literature, they drew attention away from the translators' rights as a virtuoso to his duties as a skilled intermediary between literatures. Virtuosity was to be tempered by taste. To the technical aspect of theory, nineteenth-century historical linguistics contributed nothing. Despite the importance of his theories on: word order, Weil too contributed nothing; and nineteenth-century descriptive linguistics has no effect until the publication of Bally's *Précis de stylistique* in 1909. Through Bally, the *Völkerpsychologie* was to pass on to the translation theory of both Geneva and Prague the strong Humboldtian influence under which it developed. Not only was this current isolated from literature; it also had little effect on rival linguistic theories. Both the American Structuralists and the London School of J. R. Firth were prevented by their anti-mentalist postulates from taking advantage of this work. Those translation theories developed in response to specific situations: the Americans developed translation theory in the context of anthropological research and Christian missionary activity; the English to fit the needs of colonial administration.

Isolation of theorist from theorist continues into Steiner's third period which begins after the Second World War. For individual schools of linguistics, it is one of consolidation, each school, beginning with Vinay and Darbelnet (1958), producing an extended account of its theory of translation techniques. Translation, following the literary discussions of Croce, Pound and Gide, gradually becomes a philosophical and epistemological problem. There is, as yet, little understanding of one group of theorists or translators by another, although dialogue does commence in Brower's *On Translation* (1966a) and Arrowsmith and Shattuck's *The Craft and Context of Translation* (1964).

We are still at the beginning of Steiner's fourth stage, whose essential mark is consolidation of theory. Beginning with Mounin (1963), the descriptions of process so far typical of the Prague and Geneva approaches to translation are related to underlying functions of language; and, as an extension of American and English work, sociolinguistics begins to take an interest in translation. It was natural, after the work of Cassirer, Buber and Heidegger, that interest would quicken in the Romantic theories of translation, and that important symbolist documents, like Benjamin (1923), would come out of obscurity. On this count alone, one would expect that the wall between man of letters and linguist, between aims and method, would begin to weaken.

And, indeed, exploration of what other theorists have to offer one's own discipline is the essential characteristic of the last ten years. Holmes (1970; the report of the Bratislava Conference on Translation as an Art, 1968) reads uncannily like the late-eighteenth-century critics in its insistence on the reciprocal relationship between linguistics and other language disciplines in translation theory. And the importance of hermeneutics to the work of Jakobson and Wandruszka is equally clear.

It is not difficult to see in the Romantic period a series of parallels to the goals, and often the manner, of Classical Rome and Renaissance Europe, or in the somewhat self-opinionated twentieth century, a mirror of the seventeenth and eighteenth centuries. For, while technical translators keep strictly to positional attitudes, to their task, the latitude allowed themselves by their personal-attitude confreres varies from a sincere but illusory semblance of subjection to the original in Goethe, to Steinberger's obvious assumption of authority over Moore. We have thus come full circle: the modern Latinist, like the ancient, remakes his original, while the Septuagint translator's care for the very breath of the Hebrew reappears in Buber's and Meschonnic's translations of the Hebrew Bible.

Clearly, the repertoire of translation techniques has not evolved: there is little to choose between Cicero and Pound in range of dynamic techniques; Nabokov's formal equivalences would not seem strange to the translators of the *Vetus latina*. There is no satisfactory attempt at analysis before Batteux (1747--8), and the sophisticated modern analyses have not affected the practice of translation at all deeply. In this area there does seem to be the alteration R. H. Robins discerns in the history of linguistics itself between data-orientation and theory-orientation: the data-oriented eighteenth century is followed by the theory-oriented nineteenth. Bally's early-twentieth-century work is data-oriented, while theory-orientation becomes important once Vinay and Darbelnet (1958) and Catford (1965) have made their mark.

It is only by recognizing a typology of function that a theory of translation will do justice to both Bible and bilingual cereal packet. It is obvious that the Dionysiac language theories of Heidegger are as inadequate as the empirical communication models of Nida. These both ignore the multifarious purposes of language: language can frustrate communication, act purely as a medium of information, or create new worlds for its users. As language lives through multiplicity of function, so does translation.

There is no more than apparent contradiction between the main thrusts of language theory: sacrament and instrument are both sign functions. In the context of language, let alone translation, exclusive attention to either of these aspects of sign function prevents theory from reflecting the reality of its object. Moreover, the central contribution of grammatical or linguistic theory is analysis of the manner in which are attained the goals sought by philosopher, critic or sociologist. That translation is an art, its theory a contribution to epistemology, is hardly grounds for denying the relevance of applied linguistics.

It is not merely to modern practice that theory applies. If a comprehensive theory be possible, it must seek the essential harmony between the practice of all ages and genres, and give a satisfactory analysis of differences. Such an ideal theory would grow from the hermeneutics of Buber and Ebeling. Both recognize a typology of language act, from deep communion to the automatic rituals of courtesy, from manipulation to communication. This aspect of hermeneutic theory, sensing of intent, is an important bridge between language philosophy and the pragmatic sociolinguistic theories of Bernstein, Halliday and Labov. For translation is as social an act as language, and as individual. Ebeling is doubly important, for almost alone among modern hermeneutic theorists, he has a clear vision of the interaction between linguistic philosophy and linguistics in language theory.

Just as features of an utterance reveal purpose and expressive needs, so do those of a translated text. The essential variable is what the translator sees in the original, and what he wishes to pass on. Each age and culture translates anew; by their contemporaries translators are judged according to criteria peculiar to time, place and genre. If the translator must be a man of other cultures besides his own, is it too much to ask that his critic be likewise a man who crosses frontiers of space and time? Such largeness of vision is rare. Yet it is indispensable to those who would presume to sit in judgement on colleagues of the past. For unless our modern attitudes are tempered by understanding of past criteria, have we any right to expect fair judgement from the future?

---- Louis G. Kelly, *The True Interpreter: A History of Translation Theory and Practice in the West*²⁰⁴

(5)

Latin tradition

[...]

1750 to the present

Paradoxically, as Latin ceased to be an international language and became a learned recreation, classicists came to know more about Roman composition techniques. Thus, as in classical times, translation into Latin was governed more by ancient rhetorical practice than by contemporary translation theory.

Because Latin remains a working language for the Roman Catholic Church, translation is a fact of administration,

particularly in the day-to-day running of diplomacy, and the Church at large. There is also some translation done for liturgical purposes, particularly in the compilation and revision of the Roman Breviary, as well as some translation of the Bible into Latin, most of it unofficial. A short-lived version of the Psalter (1945) was even used in the Breviary for about 25 years.

Literature

Bradner (1940) gives a fairly complete list of anthologies of Latin poetry from English sources, without systematically noting which anthologies-published by the English Public Schools (particularly Eton and Westminster), Oxford and Cambridge admit translations. Translations gradually displace original work in the *Musae Etonienses* (1755, 1795) and the *Lusus Westmonasterienses* (1863-67). From the universities, the *Anthologia oxoniensis* (1846), contained a very large proportion of translations, the last nineteenth-century edition (1899) was almost entirely translations. Its Cambridge counterpart, *Arundines Cami* (1841) consisting entirely of translations, went through six editions in 25 years. The prefaces of these anthologies are important statements of principle. Most classicists of any importance can be found among the translators published. Perhaps the greatest of nineteenth-century English translators into Latin was George Lyttelton, Fourth Baron of Frankley (1817-76), known for translations covering most English poets of the seventeenth and eighteenth centuries. The French Latinists' fascination with Boileau lasted until well into the nineteenth century, with versions of the *Art poétique* being published in 1820 by J. A. Chambonnet and in 1822 by J. J. Laval, and versions of *Le Lutrin* in 1846 by Dalidou and in 1824 by Laval.

In the twentieth century, translation into Latin has become more and more of a learned game, typified by the *Liber quintus Odarum O. Horati Flacci* (Horace, Odes V), translated by A. E. Godley, Ronald Knox, Rudyard Kipling and others in 1920. This is a collection of Latin versions of poems by Kipling, with a preface satirizing the classical profession. Other noteworthy translations of this type are Alexander Lenard's *Winnie ille Pu* (from the English original by A. A. Milne, translated 1961), Carruthers' *Alicia in Terra Mirabili* (translated 1967) and *Domus in Angulo Pui* (from the English original by Lewis Carroll), and L. G. Kelly's *Prorsus Taliter* (from the English original by Kipling, translated 1985). On the continent, Auguste Haury's excellent Latin version of St Exupéry's *Le Petit Prince* appeared in 1961. But in Germany, as in Britain, the preference is for verse translation, usually short lyrics. These follow the great philological tradition of German universities, filtered through the Romantic movement of the late eighteenth and early nineteenth centuries. One important development in the early twentieth century is the rise of composition clubs, where a passage is proposed for a meeting, and the members gather to discuss their versions.

The retrenchment of classical studies after World War Two occasioned various measures. The most important was the founding of periodicals such as *Latinitas* in Rome, *Vita Latina* in Avignon, and *Hermes Americanus* in Danbury, the United States, all of which contain translations. Antonio Bacci, one of the best Latinists in the Vatican, worked on coining Latin words for twentieth-century innovations; his dictionary came out in 1963. For the moment, translation into Latin remains the property of the enthusiastic Latinist, but anthologies which contain Latin translations continue to be published.

---- Louis G. Kelly, "Latin tradition"²⁰⁵

116. (加) 谢莉·西蒙

Sherry Simon

生平及重要译论:

谢莉·西蒙 Sherry Simon，加拿大研究女性主义翻译的著名学者，流行于加拿大的女权主义翻译理论的主要代表人物之一。任教于加拿大蒙特利尔（Montréal）肯考迪娅大学（Concordia University）的Département d'études françaises，语言文学博士生导师，LTAC executive 前副主席，*Culture in Transit and Mapping Literature* 编者，文化评论杂志 *Spirale* 编辑部成员。

西蒙关于女性主义翻译的代表作为《翻译中的性别——文化等同与传递政治》（*Gender in Translation: Cultural Identity and the Politics of Transmission*, 1996）。此外，她还（与 David Homel 合作）主编《文学扫描——翻译的艺术与政治》（*Mapping Literature: The Art and Politics of Translation*, 1988），与他人合作完成 *Fictions de l'identitaire au Québec* (XYZ éditeurs)，独立完成 *Le trafic des langues: traduction et pluralisme culturel dans la littérature québécoise* 等作品。

西蒙在其《翻译中的性别——文化等同与传递政治》一书中详细审视和论述了性别与翻译相互作用的不同特定领域，证实在传统的翻译理论中，译者及其译作由于其弱势地位而与女人联系起来，而翻译界所流传的“不忠的美人”（*Les Belles Infidèles*）的说法则是典型的属于性别歧视的比喻。西蒙认为，女权主义翻译理论有必要识别和批判这种将女性和翻译贬入社会和文学底层的概念。因此，西蒙认为应该重新解读“忠实”（*fidelity*）。忠实不应该是针对某人的，而应该是针对写作方案（*Writing Project*）的，而这种方案是作者与译者都参与其中的。忠实非二元对立，对于翻译过程中涉及的两极不应绝对化地理解，而应将二元的排比置于一个连续体之中，而其中任一元都应视为是相对的。

西蒙认为关于女权主义的翻译理论是翻译研究的“文化转向”与女性主义思想所擦出的火花，因此，“文化转向”是翻译研究中最重要、最为进步的进展，对于深刻认识翻译具有重大深远的意义。

译论史稿辑要：

Because they are necessarily "defective," all translations are "reputed females." In this neat equation, John Florio (1603) summarizes a heritage of double inferiority. Translators and women have historically been the weaker figures in their respective hierarchies: translators are handmaidens to authors, women inferior to men. This forced partnership finds contemporary resonance in Nicole Ward Jouve's statement that the translator occupies a "(culturally speaking) female position" (Jouve 1991: 47). And Susanne de Lotbinière-Harwood's echoing self-definition: "I am a translation because I am a woman" (de Lotbinière-Harwood 1991: 95).

Whether affirmed or denounced, the femininity of translation is a persistent historical trope. "Woman" and "translator" have been relegated to the same position of discursive inferiority. The hierarchical authority of the original over the reproduction is linked with imagery of masculine and feminine; the original is considered the strong generative male, the translation the weaker and derivative female. We are not surprised to learn that the language used to describe translating dips liberally into the vocabulary of sexism, drawing on images of dominance and inferiority, fidelity and libertinage. The most persistent of these expressions, "les belles infidèles," has for centuries encouraged an attitude of suspicion toward the seemingly but wayward translation.

Feminist translation theory aims to identify and critique the tangle of concepts which relegates both women and translation to the bottom of the social and literary ladder. To do so, it must investigate the processes through which translation has come to be "feminized," and attempt to trouble the structures of authority which have maintained this association.

What indeed are the processes through which translation maintains and activates gender constructs? To begin to answer this question, I have chosen to move along a number of planes. First, conceptual: how have the sites of translation theory been implicitly gendered and how can this theory be transformed? This is the task of the introductory chapter, which brings together the work of theorists who seek to disturb the clichéd language used to describe translation, and to replace it with terms which convey the active play of identities within translation practice. They do so through their understanding of the performative, and not simply representational, nature of language.

Feminist translation thus reframes the question of “fidelity,” which has played like a stultifying refrain through the history of translation. For feminist translation, fidelity is to be directed toward neither the author nor the reader, but toward the writing project – a project in which both writer and translator participate.

Gender difference has been played out not only in the metaphors describing translation, but in actual practices of translation, in the specific social and historical forms through which women have understood and enacted their writing activities. How has this relationship between social and writing roles been articulated (Chapter Two)? On the one hand, translation was the means through which women, beginning in the European Middle Ages, particularly, were able to gain access to the world of letters. Long excluded from the privileges of authorship, women turned to translation as a permissible form of public expression. Translation continued to serve as a kind of writer’s apprenticeship for women into the nineteenth and twentieth centuries. (George Eliot was first known as the “translatress of Strauss,” before she was known as a novelist.) In addition, translation was an important part of the social movements in which women participated, such as the fight against slavery. First-wave feminism was closely associated with this movement. Women have translated in order to build communication networks in the service of progressive political agendas and in the creative renewal of literary traditions. The great works of nineteenth – and twentieth – century French, Russian and German modernism were translated in part by women who made translation an expression of their political convictions. They believed, as Madame de Staël had so clearly stated, that movements of literary exchange are vital to the democratic life of any nation.

There is an intrinsic interest in unearthing the neglected intellectual and literary work of women: in bringing to light the strong figure of the ‘translatress’ Aphra Behn, in making heard Madame de Staël’s ringing appeal to translation as a cure for the ills of sclerotic literatures, in remembering the remarkable creative accomplishments of Constance Garnett and Jean Starr Untermeyer. The goal of this initial survey, however, is not so much to construct an archive as to suggest the kinds of interrelations upon which such genealogies might be built. Rather than provide a simple listing of women translators, this overview seeks to highlight a number of moments when translation became a strong mode of expression for women. These moments show to what extent the role of the translator meshes with social values, and how positions in the social hierarchy are reflected in the literary field.

[...] One particularly striking example of such literary and social imbrication is the way translation offered itself as a means of expression for women during the English Renaissance, when the world of letters was otherwise closed to them. Women were encouraged to translate religious texts when they were forbidden from undertaking any other kind of public writing activity. Women were able to use this very limited point of entry for significant ends (Krontiris 1992). This example highlights the way in which the social values of writing roles are intensely contextual, expressing the very specific lines of tension which traverse gendered positions at a given moment.

In what ways have women interpreted their role as translators? Feelings of aggressive rivalry or affectionate fusion have often been evoked to describe the closeness which translators feel for the texts they are working on – and, by extension, their authors. These feelings can be exacerbated when differences of gender are also involved, and when the translation work involves contact between the two writers. While some feminist translators have suggested that they might best deal with the discomforts of a negative legacy by ensuring that women’s texts are translated only by women translators, men’s by men, this solution could not be a long-term one. [...]

The creative discomforts of working relationships have been described with considerable wit by major translators of the twentieth century, Jean Starr Untermeyer, Willa Muir, Helen Lowe-Porter and Suzanne Levine. Beyond their anecdotal interest, and their value as chronicles of the translation process, these accounts show in what ways gender difference has been present -- in sometimes productive, sometimes insidious, ways -- in the activity of language transfer.

Two especially important areas involving feminist theory and translation are reserved for special examination in this book. The first is the transatlantic displacement of the writings of the French feminists, Luce Irigaray, Julia

Kristeva and Hélène Cixous, into the Anglo-American intellectual world (Chapter Three). This exchange brings into light the network of tensions which are so characteristic of our current intellectual context: the conflictual pulls between internationalist feminist solidarity and national affiliations, the deconstructive drive toward attenuation of authorship and the continuing structures of textual authority, the fading of disciplinary borders and their continual reappearance. The "taming" of French feminist theory in the Anglo-American context came about through the gradual interpenetration of philosophical systems, on the one hand the speculative Continental tradition and on the other the more empirical Anglo-American tradition; this process of accommodation was facilitated by various levels and procedures of mediation: commentary, interpretation and translation.

The transatlantic passage of French feminist thought brought about effects of distortion and appropriation. These effects inevitably accompany any important movement of ideas; they result from the diversity of interests and desires which commands the exchange, and from the reformulation and renewals demanded of the target language. The distortion facts of the exchange are perhaps best witnessed in the reception given to the work of Hélène Cixous, which was until recently interpreted on the basis of a very narrow sampling.

The second case study examines contemporary feminist biblical translation (Chapter Four). What is particularly striking about the feminist intervention in this area is that it does not consider itself, nor is it often considered to be, an aberration in a seamless tradition. Rather, feminism appears as yet another social and ideological stance from which Bible translation can be undertaken -- a new face in a long line of competing figures going back to the Septuagint. The debates over feminist and inclusive-language interpretations of the Bible enhance our understanding of translation as a substantial interpretative move, at the same time as they draw attention to the conflictual implications of gendered language. While there are strong and powerful voices calling for inclusive-language versions of the Bible (resulting in the 1995 publication by Oxford University Press of an inclusive-language version of the New Testament and Psalms), there are equally insistent voices -- among feminists -- calling for more historically anchored versions. As is often the case with the Bible, the interaction between dogma and meaning becomes particularly intense. The long history of the Bible magnifies the importance of translation issues, showing them to be ideologically saturated. In contrast to most other areas of cultural transmission, where translation is so often treated as a mechanical act, biblical scholarship has always recognized that translation carries with it both the dangers and the promises of interpretation.

In both the transportation of French feminism and new projects of bible translation there is a particularly revealing conjunction of gender and language issue. Consciously feminist principles are invoked in the choice and manner of the texts translated. These connections allow us to see how translation frames and directs ongoing processes of intellectual transmission. The links of mediation are not automatic; they are not imposed or organized by some dispassionate cultural authority. Rather, translators are involved in the materials through which they work; they are fully invested in the process of transfer.

--- Sherry Simon, *Gender in Translation: Cultural Identity and the Politics of Transmission*²⁰⁶

117. (加) 路易丝·冯·费拉德

Luisse von Flotow

生平及重要译论:

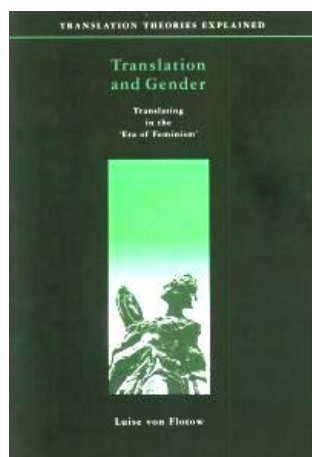
路易丝·冯·费拉德 Luisse von Flotow, 加拿大文学翻译家、自由撰稿人, 任教于渥太华大学翻译学院 (School of Translation and Interpretation, University of Ottawa)。曾在北美、英国、法国和德国等国家学习、

工作，持德国和加拿大双重国籍。

费拉德翻译理论专著《翻译与性别——女性主义时代的翻译》（*Translation and Gender: Translating in the 'Era of Feminism'*）对文化之间的性别角色的差异、这些差异在语言中的体现和表达以及这些表达通过翻译植入不同的文化背景等各种错综复杂的问题进行了较为详尽的论述。书中探讨了性别与翻译行为的关系，探讨了女权思想和女权作品对当代翻译实践的深刻影响。

费拉德认为，处在女权时代的译者一般都表现出对文本政治取向的高度敏感。她还认为，译者如果受到原作者女权思想的影响，则必然会在翻译中突显“自我”的存在，并在译文中心安理得地融入个人的主观创作。费拉德还提出了许多需要继续探索的问题，如：“不同的社会团体与文化之间，女权主义作品的可译性如何？”“这些女权作品对于翻译文化究竟意义有多大，如果意义不大，又怎样在翻译中使之产生较大的意义？”以及“译者怎样才能让西方国家聆听第三世界女性的呼声，而译者的角色又该如何定位？”等等。

史料图片编辑：



Luise von Flotow:

Translation and Gender: Translating in the 'Era of Feminism'

(Translation Theories Explored: Volume 2)

译论史稿辑要

(1)

Gender studies and translation studies are both interdisciplinary academic fields. When they are brought into relationship with one another, a number of issues intersect: cultural gender differences, the revelation and formulation of these differences in language, their transfer by means of translation into other cultural spaces where different gender conditions obtain. Questions arise about the importance of gender politics in institutions, and the gender affiliations of the translator and the critic become an issue. Language is, of course, highly pertinent to both areas of investigation; discussions of 'patriarchal language' have played an important role in feminist research on gender, and language transfer is the basic element under discussion in translation studies. Given the political weight that both feminist thinkers and the 'political correctness' reaction have assigned to language, it is clear that gender must become an issue in translation.

It is important to note that although gender studies and translation studies may be contemporaneous fields of scholarship, their development has not been parallel. Translation studies has seen rapid development in Europe over the past decade, a development doubtless fostered by a political and economic climate encouraging cultural and economic exchange between different language groups. This has also been the case in Canada, where official bilingualism has been an important catalyst triggering translation as well as academic work on translation. In the

USA, translation studies still plays a somewhat minor role, though the visibility of the field has recently increased dramatically through the efforts of a number of active individuals. Gender studies has developed differently, achieving the greatest influence in North America; the 'era of feminism' that began in the late 1960s and affected academic and public life as well as 'high' and popular culture has been instrumental in shaping the historical and scholarly context of its generation. Feminist work has entered and had an impact upon almost every academic discipline. In many parts of Europe, on the other hand, there has been less academic interest in gender studies. While much academic work on gender is imported from North America (and translated), gender studies, women's studies programmes or the like -- which might encourage research into specifically European situations -- are rare.

My purpose is to bring these two disciplines together, making disparate information available to students of translation on both sides of the Atlantic. By describing some of the links and inter-connections between gender issues and translation studies, I hope to inform, stimulate discussion and encourage further research into the intersections of these two fields. This objective reflects a feminist activist agenda on my part, as I demonstrate to what extent gender awareness affects international discussion, research and communication. But it also reflects an academic interest in cultural studies -- in the differences between cultures and the individuals within them - and the way translation both promotes and hampers understanding and interaction.

----- L. v. Flotow, *Translation and Gender: Translating in the 'Era of Feminism'*²⁰⁷

(2)

Broad Historical Perspectives

In translation studies it has been more customary to formulate prescriptive theoretical models than to study existing translations. The study of translations, especially translations of lengthy prose fiction, involves the juxtaposition of source and target texts, their comparison and the painstaking analysis of findings presented in the context of the changing relations between the cultures involved. [...]

In regard to historical perspectives on gender and translation, the following questions might be considered:

- *What roles have women played as translators?* Contemporary critics tend to posit gender as an important fact in a person's life and work. How has gender affected the work of translators in the past? Have they resisted or undermined the dominant norms and orthodoxies of the societies they lived in, and if so, how did they do this? Does their work provide any non-canonical views of the cultural 'truths' and assumptions propagated by dominant cultural systems? How and why has their work survived over time, and what has been its influence?

[...]

- *How have women fared in translation?* Have works by women writers been accorded different treatment from those of men? Can any difference be posited as a general maxim, or must it remain restricted to individual writers? Has translated literature by women had a different history than similar work by men? Were there moments when women's writing in translation made significant breakthroughs (the nineteenth-century novel, perhaps)? In which cultures did this occur, why and what were the effects? A delicate question, so far motivated by anecdotal information, might address the alleged improvement that translations of prize-winning women authors undergo. Toni Morrison's work in French and German translation is said to have undergone substantial change after she was awarded the Nobel Prize. Has this in fact been the case? And what are the characteristics of a 'better' translation? How do such changes affect the reception of the writer's work?

Contemporary Perspectives

Contemporary perspectives on gender and women's writing have raised issues about the effect of feminist activism on the creation and reception of texts.

- *The feminist politicization of translators and translation:* Have translators in general become more gender-conscious and how does this affect their work? To what extent have different cultural contexts limited or promoted gender-awareness in translation? How do politicized translators deal with parts of texts they find problematic or offensive? How does gender-conscious translation affect the selection of texts to be translated and the reception of translated texts? How does the situation differ from culture to culture? And how are individual cultures involved differently? [...]
- *The technical aspects of feminist writing and translating:* Since much experimental feminist writing pursues similar goals such as the subversion of patriarchal language and the creation of a utopian new literature, there are many technical challenges in the translation of this work. What strategies are employed to translate experimental discourses? How are neologisms, wordplay, deconstructed metaphors and proverbs translated? Are there global strategies that may be applied to several different language pairs? To what extent are paratexts useful, necessary, or superfluous 'noise'?
- *Reception and market research:* How are feminist textual politics transferred to other cultures that are reluctant to accept change or are hostile to such cultural politics? Are differences made according to genre? Is children's literature handled differently from adult literature? Does the treatment of popular writing in translation differ from that of 'high' literature? How do gender issues affect other translated media such as film, television series, news reporting, interviews with political and other personalities? A broader research topic might also approach the question of marketing: To what extent has public and scholarly interest in gender issues created a market? Public language policies for translations, and for what kinds of texts? Given a certain number of canonical writers in Western feminisms, which culture translates which texts, and why? [...]
- *Cultural difference:* As the work by Gayatri Spivak and Robyn Gillam has shown, all translation is faced with negotiating cultural difference. And since feminism means something different in every culture, the issue is heightened in texts where gender is foregrounded. In the wake of international women's conferences where women from every part of the world struggle to reach consensus on issues rendered sensitive precisely because of cultural, ethnic and religious differences, it is clear that translation is an important factor both in facilitating and in hindering understanding. The study of translations can help untangle cultural differences between women, locating them below the surfaces of texts, analyzing and understanding the political and social contexts that produce such differences.

Public language policies

Public language planning is a factor in numerous countries. Whether through advisory systems or through outright regulation, numerous countries have taken the lobbying of feminist pressure groups into account and established policies regarding gender and language. Since all public language policy also affects translation, the following questions might lead to avenues of research:

- To what extent do government language policies and language programmes take gender issues into consideration? How does this affect translation in bilingual or multilingual countries?

- How far do government surveys, opinion polls, census documents reflect gender awareness, especially in bilingual or multilingual societies? Are such documents prepared in a dominant language and then translated, and if so, how are gender issues dealt with? Further questions along these lines might address private sector language policies as business ventures become increasingly international and multinational and need to address women and men equally. How do translated handbooks -- medical, technical, travel, popular science materials -- reflect, or deflect, gender bias? To what extent do gender issues enter into the translation of pragmatic texts?

Interpreting

Interpreters are often aware that gender affects their work, especially in cases where a woman interpreter works in an area of discourse dominated by men -- military matters, international politics, high finance. Yet few researchers have explored the field. When questions on gender and interpretation are raised, they often take the form of anecdotes that circulate around issues of the following type:

- Do male and female voices have a different aural authority? To what extent and under which conditions does this authority affect an interpreter's credibility?
- Does gender difference affect the ability to switch codes? Does women's 'oral culture' -- their supposedly innate bilingualism -- aid in acquiring and honing interpreting skills?
- To what extent are gender issues involved when interpreting moves out of the field of the international conference into the community and areas such as refugee hearings, law courts, hospitals?
- What kind of political resistance can/do interpreters offer when having to deal with political issues such as gender, environment, medical research or political asylum? Has gender politics changed women interpreters' views of their roles, perhaps rendering them into more politicized language transfer professionals?

[...]

7. Concluding Remarks

The intersection of feminist work on gender and translation studies comes at a time when the field of cultural studies is the focus of much academic interest. Yet work in cultural studies tends to reserve the concept of translation for metaphorical use to describe the increasingly global aspects of cultural production and the situation of those who are exiled, displaced or otherwise caught between different worlds and different languages. As Sherry Simon points out, it is not uncommon to talk about women "'translat[ing] themselves' into the language of patriarchy, migrants striv[ing] to 'translate' their past into the present" (Simon 1996:134) Yet the material realities of translation are occluded in such metaphorical use. This is all the more true when scholarship is conducted primarily in English or on texts translated into English and the 'translation effect' of those texts is not recognized as a feature of their meaning. The erasure of translation that occurs when women are viewed as 'translating themselves into language' rather than *translating* recalls certain theoretical discourses in the realm of translation. Theories that concern themselves with overarching abstractions about 'translatability', 'equivalence in difference' or 'dynamic equivalence' and view translation as a primarily linguistic operation carried out between two languages eschew the concrete issues of cultural difference, of context and of the discursive possibilities and options available at a specific historical moment. When, however, the

focus is directed toward the cultural and historical specificities of translation - as it is when gender is brought into play - attention is drawn toward the way meaning can be and is constructed in translation. The recognition of the *gendered construction of meaning* in any textual practice makes possible a more differentiated understanding of translation processes. Not that gender is the only element in cultural difference that translators, readers, researchers, theorists, or people interested in *Kulturpolitik* need to be aware of; there are numerous others. However, the demonstration of the importance of gender coupled with the demonstration of the 'translation effect' in feminist translation draw attention to the subtle shading of cultural difference

By its presence alone, feminist work in translation practice, theory and criticism undermines the temptation to formulate generally applicable theoretical models. It asserts and explores difference, not only in terms of gender attributes and limitations, but also in the ways such differences function and are expressed in language. Further, by revealing how the practical work of translation must come to terms with the enormous differences *between* women, feminist translation studies makes it difficult to emphasize sameness, or assert some essential qualities in women or in translation. When, for example, the contemporary translators of eighteenth-century abolitionist texts admit having to 'tamper' with these texts on various different levels in order to make them conform to today's requirements, they are demonstrating the kind of influence that every form of rewriting-translation, criticism, anthologizing, reviewing, editing, film adaptation-exerts on a text. 'Meaning' is a feature of a specific time, constructed for a specific purpose, by a specific individual working within a specific context. Because feminist translation practice and criticism clearly demonstrates this, it encourages us to ask the following questions in other, less overt translation situations "who rewrites, why, under what circumstances, for which audience?" (Lefevere 1992:7).

[...]

This responsible positioning is vital since it avoids gross generalizations on the one hand, and the dissemination of culturally and politically questionable material about women, or feminisms, on the other. Instead, it allows the negotiation of difficult ideological and cultural rifts between women. In translation studies, it makes possible a more differentiated negotiation of similar rifts between texts, cultures, and other human affiliations. Three factors make up this attitude: 'identity politics', 'positionality' and 'the historical dimension' (Alcoff 1994), all of which are demonstrated in contemporary juxtapositions of gender and translation, and all of which I deem important for translation.

Identity politics in translation and translation criticism involve acknowledging the translator's personal interests and needs, and viewing this individual as someone with specific cultural and political characteristics that will determine their insights, opinions and work on the text. These characteristics may affect the choice of text, the response to the text, the translator's view of her or his function in the communicative situation. [...]

'Positionality' further relativizes this personal aspect of the translator's work by making identity

relative to a constantly shifting context, to a situation that includes a network of elements involving others, the objective conditions, cultural and political institutions and ideologies, and so on. (Alcoff 1994:116)

This concept allows translators and critics to acknowledge and account for constantly shifting personal and intellectual settings and the effects of such shifts on scholarly 'knowledge' and on textual production. In translation, it is clear that the 'era of feminism' has made many more projects possible than in earlier generations. It has helped create a number of institutional conditions that complement the feminist identity politics of individual translators (and perhaps hinder those not so identified). The prevalence of women's publishing houses and the interest of general publishers in women's writing has allowed translators such as de Lotbinière-Harwood to choose to work only on texts by women. In contrast, the effects of the 'political correctness' reaction or 'backlash' as well as changing economic conditions will doubtless have a somewhat more deleterious effect on feminist productivity. Finally, the concept of

'positionality' can also shed light on the Anglo-American bias in work on gender and translation; conversely, it can aid in understanding why it may be difficult to produce such work outside the English-speaking community.

The third aspect, the historical dimension, articulates a concept of gendered (or other) subjectivity "without pinning it down one way or the other for all time" (Aecoff 1994:114), construing it instead "in relation to concrete habits, practices and discourses, while at the same time recognizing the fluidity of these" (ibid: 115). This factor makes it possible to accommodate numerous different, even oppositional and highly critical approaches within the feminist purview; these differences are due to 'historical dimensions', examined and worked through in response to other discourses. The debate over 'elitist' translation and the earlier discussions about the elitist nature of experimental writing exemplify this dimension, demonstrating the effects of generational and cultural differences within one and the same project. Similarly, the recuperation of Tudor women translators into the fold of Anglo-American 'subversion' reflects this historical dimension, showing how textual 'meaning' and 'meaningfulness' are constantly being re-evaluated.

The issue of constant re-evaluation raises the last point I wish to make in these concluding remarks: the conjuncture of feminist gender studies and translation reveals the extent to which translation gives clues about the 'hotspots' of cultural exchange. Or to put it in Christina Zwarg's terms: "translation has increasingly become the vehicle through which history, meaning and language come to crisis" (1990:463). Through the critical and informed analysis of translations, through the critique of translations along the lines of the work done by Yopie Prins on English Sappho translations (in press), or by Antoine Berman on the French translations of John Donne (1995), our awareness of the many types of cultural difference becomes acute. Moreover, we realize to what extent the gaps between cultures differ at different historical moments. The conventional view of translation as a grandiose humanist bridging of differences can thus be reviewed to acknowledge the fact that translation is about difference. And it often accentuates difference. The work of 'women-identified' or feminist scholars and translators amply demonstrates this reality.

----- L. v. Flotow, *Translation and Gender: Translating in the 'Era of Feminism'*²⁰⁸

118. (比利时) 荷西·兰姆伯特 José Lambert



José Lambert

生平及重要译论：

荷西·兰姆伯特（又译若泽·朗贝尔）José Lambert，比利时勒芬天主教大学（Katolieke Universiteit Leuven, Belgium）普通文学系（Departement Literatuurwetenschap）教授，著名翻译理论家，长期从事描述性翻译研究，翻译文化学派主要代表人物之一。

兰姆伯特是从文化的角度对翻译进行研究的。他不再拘泥于传统的翻译研究领域，主张对翻译应该进行系统的研究。他认为，翻译是两种文化之间的交流，是文化的转换，而不仅仅是两种语言之间的转换。他提出译学的“历史——描写研究法”，主张对社会的经典文学、非经典文学和非文学文本进行收集整理，主张通过讨论法国、德国和意大利文学从而重新定义我们的文学研究模式，²⁰⁹并以此拓宽翻译研究的领域并更加深入地探究翻译现象。对于类范畴（generic categories）的性质、文本定义尤其是对于翻译的定义等兰姆伯特都提出了不同于传统的独特见解。

兰姆伯特对翻译的微观实证研究也颇有新意，其译学理论被视为“目标本体实证科学”与“符号迁移实践”的结合。²¹⁰他坚持不应孤立地看待任何意义上的翻译，而应将其看作是各种符号处理程序发生作用以生成离散活动的结果与起点，因此他非常重视对于翻译个案的研究，并利用系统的方法考察译语的规范对于翻译行为的制约。文本和单词包含着“业已翻译”的各种元素，而“业已翻译”的文本中又包含着许多离散元素有待翻译。因此，在译学描写中“待译元素”范畴将愈发重要。

史料图片选辑



José Lambert



Con Eugene Nida e María
Elena Fernandez Miranda
a New York, Bible House.

译论史稿辑要

（1）

The growing internationalization of communication inevitably requires a revision of maps of the world's languages. [...] Very few societies can still call themselves 'monolingual' [...], even where speakers, newspapers and magazines

appear to be using the same language: the origin of much that is said and published is often wholly or partly foreign, even though, to function as an honest 'text', public discourse must be adapted to the monolingual model, covering over the traces of its origins. For the moment, 'autochthonous' languages seem able to hold their own, albeit at the price of making concessions to the imported discourse. Even in so-called bilingual societies, a message that looks like a translation may be regarded as immediately suspect, as indeed happens in Flanders when an imported discourse bears traces of a French-Belgian origin. The multiplication of translations thus has an ambiguous function; it may be a protectionist measure, just as it may be an international instrument for the destabilization of monolingual traditions. This is in fact the ambiguity of all acts of importation. In imposing the principle of translation on all its member countries, the [then] European Economic Community does just as much to question its 'autochthonous' linguistic traditions as it does to protect them. The new language map of the member countries shows both a fragmentation and a uniformization of the politico-linguistic units: all the official languages of the member states are recognized, and the only official documents are the ones available in the various languages. Beyond the [institutions] of the EEC, the same states have no trouble accepting the traditional hierarchies of languages, since it is in German that Germany receives its partners, and Margaret Thatcher is not likely to give up English when she visits Italy[...]

Multilingualism has always poses the danger of the heterogeneity-not only linguistic-of territory. This explains why power-holders, and thus our traditional views, tend to support linguistic homogeneity and the ignore multilingualism. Many ostensibly bilingual situations thus turn out to be monolingual. Similarly, the monolingual images presented by most of our institutions are an enormous reduction of individual and collective practices. [...]

Translation is and has never been the only solution to the problem of multilingualism. It seems impossible to grasp the function of translations if that function is isolated from the many other possible solutions, notably from non-translation. [...] Here are some of the historical ways in which multilingualism has been solved:

- the most radical solution: genocide, or the destruction of a linguistic community, if not of the community as a whole;
 - the adoption of one of the languages of a community as a common language;
 - the adoption of a neutral languages as a common language (Esperanto, etc.);
 - the recognition of two (or more) common languages;
 - the distinction between the passive use (in 'reception') and the active use (in 'sending') of a language, thus allowing for the 'alternating' co-existence of two (or more) languages;
 - the 'democratization' of languages through the use of complete translation of all messages into all languages.
- [...]

There is nothing that allows us to assert that one of these solutions is by definition any better than the others (according to what norms?).

---- José Lambert, *La traduction, les langues et la communication de masse*²¹¹

(2)

翻译学科的名称和性质

无论在一九七二年，还是一九九〇年，翻译界对「翻译学」这术语的运用，以至「翻译学」所指的学科，都未能达到共识。难道这只是词汇、用字、语言的问题？一名之争的背后没有深层的意义吗？

霍姆斯当年有意为这门新兴的学科找寻一个正确的名称。他在奈达（Eugene A. Nida）所提出的「翻译的科学」、哈里斯（Harris）的 *Traductology* 和其他学者的 *Science de la traduction*、*Traductologie*、

Übersetzungswissenschaft 等名称之外，选择了「翻译学」一词，是因为这学科还在草创的阶段。他反对当时的一些看法——以为翻译是大家熟知的现象，以为翻译的科学化研究只需称为「理论」，以为「翻译理论」是早经确立的研究范围，目的只是为理论服务。他从翻译学科之内引进其他范畴，借以反抗理论和实践的二元论和单向论——这种观点认为，理论的价值，以其能否有效地指导实践为衡量标准。在他提纲挈领的概论中，学术既不能约简为实践（「如何产生翻译佳作？」），也不能约简为理论。他意想翻译「学」比「科学」、「理论」等词更能为学术提供具试验性和开放的活动范围，所以把研究和理论分开，借此替各种理论作进一步的区分。除此之外，霍姆斯的论文又参照其他学术科目的结构，重新尝试把整个翻译学科的内部和外部组织作为一套完整的学术活动来考虑。霍姆斯这个尝试，可算是一项创举。

.....

尽管各种理论各有重点，也有相同之处，它们显然并不代表同一学科，也不代表单纯一致的学科。这也许可以用「文学」翻译研究的地位来阐明。六十年代，好几位理论家索性把文学翻译拒于「翻译的科学」门墙之外，至少把研究文学翻译的人摒诸学术研究范围之外，部分理由是翻译文学缺乏「学术」性的研究模式。理论家都尝试为翻译学科描绘一幅单纯一致的图画，但矛盾的是，每幅图画又各自相异。所以关键问题也许正在于理论的地位。理论背后的原则和目的是什么？关于翻译的理论假设地位如何——翻译理论像大部分「科学」的理论那样有实证作基础吗？科学的理论模式可以只是「规范性」的吗？霍姆斯在〈翻译学的名称和性质〉一文中，对各种理论辨析分明，多少由于理论如属学术性质，必须依赖学术「研究」。因此之故，他强调翻译学各个范畴之间必须发挥复杂的相互作用：不仅在翻译理论和对各时代、文化的翻译现象所作的系统观察之间，而且在理论、描述和实践之间，都存在相互作用。

似乎很少翻译理论和有关理论的探讨是以上述要求为基础的。在一九九〇年，很少理论家把整个与翻译发生联系的学术研究范围界定为「翻译理论」；更少理论家坚持[为理论]进行描述性翻译研究的需要。描述语言学是经常而且有系统地给强调的（参 Wilss 1982），而语言学常被采用作翻译的学术研究模式。虽然如此，尽管「描述语言学」已成为确立的专门学科，「描述性」的翻译研究却不大见于重要著作的索引：描述性分析（或历史、文化、实例研究）以及它与理论之间的联系似是当今翻译研究的一个关键问题。不管大家对「语言学」和[翻译的科学]之间的联系发表了什么意见，任何理论欠缺了描述成分都会被认为是大异于语言学模式的。问题于是变成：究竟要采用哪一种科学模式？为什么要采用？

「评论」相对于「描述性研究」

在很多理论著作里，描述性研究似以另一个名称出现，并且负担着另一种任务。「描述」常常欠奉，「评论」倒被认作翻译学科的一个重要范畴。译评常跟「文本比较」相提并论，作为翻译实践而不是翻译学术研究的基础。大家总认为译者需要比较文本，研究者只需要理论而不需要描述分析的工具。那么「翻译评论」和「描述性研究」能发挥同等功能吗？霍姆斯和图里把两者清楚分开，只把学术功能赋予历史——描述性研究。特别是在赖斯的著作出版之后，译评被认为是专门范畴。显而易见，评论既不能避免评价，就不容易纳入把「规范」和「描述」分开的理论架构；这情况见于霍姆斯一九七二年的论文，到七十年代中期以后愈益明显（参 Koller 1972, 1979; Wilss 1977; van den Broeck and Lefevere 1979; Toury 1980; Hermans 1985; Vermeer 1986, 1989; Kittel 1988; Frank 1989）。对于提倡翻译现象描述性研究的学者来说，译评只是受文化规限的一种有关翻译的活动，因此也跟译文一样，是研究的对象。译评尽管精微透剔，也不可能跟翻译现象的学术探讨有相同的目的和规则。译评只聚焦于「文本」和「文本关系」之上，不能解释翻译通讯的来龙去脉。描述性研究者又认为，翻译描述性研究与实例「研究」的目的有着联系；因此描述性翻译研究所依赖的理论模式必须排斥译评的评价目的。

除了「译评」和「历史—描述性研究」的问题之外，攸关紧要的是在翻译学科之内「理论」扮演什么角色的问题。理论和研究之间是单向关系，还是如霍姆斯所说，二者必然发挥相互作用？一九八一年一位法国理论家勒米劳（René Ladmiraal）说：翻译的历史研究对翻译理论毫无用处（参 Ladmiraal 1981）。在这样的一

个理论架构之中，文化——和一切现存的译作——与理论分离，我们只能与尚未面世的译作打交道。事实上，愈来愈多现代理论尝试把历史纳入研究范围，但理论的历史地位却从未加以界定。理论可以在历史之外存在并发挥作用吗？在我们对不同时代、不同文化的翻译所知极少的时候，可以毫无疑问地认定某些概念是放诸四海而皆准的吗？学术可以在文化之外起作用吗？由于翻译承受文化差异的影响，一些翻译理论证实适合某些情况而不适合其他情况。

十五年前，我强调大部分语言学的翻译理论在历时研究上的弱点，并且指出翻译文学的历史——描述性研究对一般翻译研究的贡献。虽然近年兴起了一股从功能和文化角度解释翻译现象的潮流（参 Vermeer 1986, 1989; Holz-Mänttari 1984; Nord 1988），一般人还不大意识到文化的复杂性和系统地研究翻译在古今各个不同文化架构中的情况的重要性（除了在「描述性研究」这个范畴之内）。因此，大部分理论难免仍是面向实践的，或是「应用」的，也就是规范性的。

描述性研究还是文学研究？

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六十年代，有关翻译研究取向的某些冲突，确曾把语言学研究方法与文学研究方法对立起来，也把语言学家和作家/评论家对立起来。这固然由于很多讨论文学翻译的著作是由作家/译者执笔的，也由于文学和文学翻译常常被认作艺术的范畴。在西欧国家，主要在利维（Jiří Levý）的著作出版之后，翻译文学研究才真正起了变化（参 Levý 1969）（虽然变化是缓慢的，而且并不遍及各地。）自此以后，文学和翻译研究，愈来愈多由学者负责；这些学者不单凭直觉或艺术天才，认识到有接纳理论模式的需要，并且常常从事集体研究，也就是说他们对研究的目的、对象和方法都达致某一程度的共识。他们的基本共通点就是相信翻译学科之内除了理论和实践之外，还有其他的東西，而理论和实践都黏附著文化。他们虽然主要从事文学范围以内的研究（始终着眼于历史焦点），却从没把一切约简为文学研究。

由于这种新的研究浪潮已经在国际上改变了文学和文化研究中的翻译问题，正好趁这个时候有系统地重新考虑文学和翻译的整体问题。

八十年代翻译研究的界说和范围，不再以「语言学」相对于「文学研究」为争端。畛域的转移，显示着学术景观的重大变化。可是，虽然主张视翻译学为「跨学科研究」的声音一直在加强（因为翻译不单纯是语言之间的事情），有些人反而把霍姆斯等学者跟「文学」翻译研究挂上了钩。这证明了翻译学科内部的整合运动是多么反复无常。不管霍姆斯作为学者和文学翻译者的形象如何，他的论文的确探讨了翻译学科的全部范围。在一九七五年之前，几乎没有著作从基本上探讨「普遍理论」与「局部理论」、历史、应用翻译学等课题。

—— 兰姆伯特：《翻译学中的转移、对立和目标：概念谱系探索》²¹²

(3)

Literary translation: research models

[...]

Translation is a type of communication which points, often explicitly, to a previous communication in another language, or to parts of it. This relationship with a previous communication assumes some form of equivalence (Toury 1980: 54) which is nevertheless thought to be unattainable in practice. The concretization of the elusive notion of EQUIVALENCE is essential for a description of the position of translated literature because it can explain how and even why value and power relationships between the traditions involved determine the very concept of translation. Numerous types of equivalence may be postulated in a given culture, and even within the same text, but the NORMS of equivalence are to a certain extent predictable: for example, proper names in novels are often adapted to fit into the target tradition in France but hardly ever in the Netherlands. The norms, models and strategies employed in a given translation cannot be understood in isolation from the dominant and/or peripheral literary and cultural

environment in which the translation has to function. This environment is complex and is generally defined in terms of the target culture rather than the source culture. And yet, contemporary mass culture has gradually redefined, even partly erased, the borderlines between source and target worlds while placing (literary) translation within a multilateral rather than a bilateral frame of reference (Lambert 1989). Nevertheless, given that literary translation and literary imports in general are goal-oriented activities designed to fulfil a need in the target literary tradition, an analysis of these needs and the strategies employed to address them may help us explain the dynamics of literary relationships and traditions, and hence of literary translation.

Within this functional research paradigm, then, it is assumed that all translation activity (whether it involves producing, using or commenting on translations) is guided and shaped by such things as the norms, value scales and models which are prevalent in a given society at a given moment in time. The study of literary translation therefore consists of the study of translation norms, models and traditions. Any translation activity, and any utterance about translation, is part of the data that can be used to elaborate a profile of a given translation environment and to establish the position that literary translation occupies on the cultural maps of the world (Lambert 1993), and indeed whether it plays a significant role in shaping the dynamics of such maps. In this respect, statements by translators and their critics or readers are interesting not so much in themselves but as objects of research. Most cultures have only a limited tradition of translation criticism and theory, but there is generally an obvious systematicity in their implicit discourse on translation. The entire network of relationships between translated texts, translators, their critics and readers becomes more intelligible when considered as a complex tradition or system.

Descriptive studies of literary translation

According to Even-Zohar, it is possible to predict the conditions under which translations might occupy a central or peripheral position and might be innovative or conservative in the strategies they employ. Descriptive studies are required to test the validity of this hypothesis and to provide a basis for elaborating general principles that can help us predict such conditions, if they are indeed possible to predict. Some descriptive studies have been undertaken in recent years, and the tradition of translation has been studied more or less systematically in certain cultures, in particular the European ones. The European Renaissance period and its contribution to the birth of the very concept of literary translation (Hermans 1986), French classicism with its strong and enduring tradition of *les belles infidèles* (Zuber 1968; Stackelberg 1984; D'hulst 1987), and the remarkably rich German translation culture (Frank et al. 1987-) have been covered by such studies. Some research has also been done on the reception (rather than the translation) of Greek and Roman classics (Delcourt 1925; Mund-Dopchie 1984) and of SHAKESPEARE in Europe (Dclabastita and D'hulst 1993), where indirect translation has played a significant role.

There is still a need to investigate the beginnings of various European literary traditions, focusing on literary translation as one type of literary and cultural import (Lambert 1986). Most national literatures seem to have based their canons on the Greek and Latin models, often with the mediation of the French canon, and to have kept these canons alive with the help of translation as the supreme rhetorical exercise (Renner 1989). The differentiation of literary traditions during the Romantic Age illustrates a double movement in the position of translated literature: on the one hand, the Shakespearean and other new models helped the various national traditions to establish their new rhetorics and genre systems, gradually substituting theatre and the epic with prose works; on the other hand, the classical tradition has been pushed further and further into the periphery of literary life and now survives mainly in didactic traditions rather than in literature, though it is fair to say that attempts have occasionally been made to reintroduce the classics into modern literature. In terms of theoretical models of translation, the German tradition has been by far the most influential. Lessing, Voss, Herder, Goethe, SCHLEIERMACHER (see GERMAN TRADITION) and the German Romanticists, among others, have all used translation explicitly as a key instrument in developing German culture on the basis of a systematic interaction between the (more or less French) classical tradition and the

new world (see especially Frank et al. 1987-).

[...]

---- José Lambert, "Literary translation, research issues"²¹³

119. (西班牙) 安东尼·皮姆 Anthony Pym



Anthony Pym

生平及重要译论:

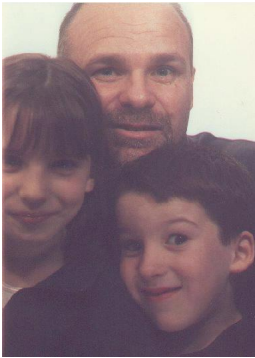
安东尼·皮姆 Anthony Pym, 西班牙巴塞罗那大学教授, 现任西班牙塔拉戈纳大学 (Universitat Rovira i Virgili, Tarragona, Spain) 英语语言学教授, 曾获巴黎École des Hautes Études en Sciences Sociales 社会学博士学位。曾应蒙娜·贝克尔 (Mona Baker) 之邀为其主编的《劳特里奇翻译学百科全书》(*Routledge Encyclopedia of Translation Studies*, 1998) 撰写西班牙翻译史从而引发对于翻译史研究的兴趣并一发不可收拾。其撰写的《翻译史研究方法》(*Method in Translation History*, 1998) 是一本译史研究的名著; 更难能可贵的是, 该书是少有的论述译史研究方法的著作, 书中对译史的历史、重要性、相关名册、研究范围界定 (Working definitions)、频率 (frequencies)、网络 (networks)、规范与体系 (norms and systems)、系统 (regimes)、目标 (causes)、译者 (translators)、跨文化 (interculture) 及交叉学科 (Interdisciplinarity) 等问题均进行了较为深入的探讨。

皮姆的主要著作还包括《翻译与文本转换》(*Translation and Text Transfer*, 1992)、《翻译及其翻译教学的认识论问题》(*Epistemological Problems in Translation and its Teaching*, 1993)、《翻译员培训机构名册》(*List of Translator-Training Institutions*, 1995)、《跨越边界: 西班牙语历史中的译者与跨文化》(*Negotiating the Frontier: Translators and Intercultures in Hispanic History*, 2000) 等。

皮姆认为翻译史是个被翻译界严重忽略了的研究课题, 如霍姆斯 (James Holmes)、图里 (Gideon Toury) 等的翻译研究内容中都欠缺对翻译史的描述和研究。皮姆认为翻译史的研究应遵循三项原则, 即: 1) 翻译史应对翻译的社会因由即对特定社会时代与地点出现特定译作的现象做出分析和解释; 2) 翻译史应以作为译者的人为研究的中心而不应是文本、语境或语言, 因为只有从译者出发才能实现上述第一项原则; 3) 翻译史应对译者的社会背景即文化背景进行深入研究, 尤其是译者所具有的跨文化 (而不仅仅是译入语

文化)性,即译者的双语与双文化特征。皮姆的见解是很有见地的。它提醒我们在梳理译学理论时,在注重对各种译论学派或流派的分析归纳的同时还要重视翻译发展史及翻译理论发展史方向的考察与研究。这对于译学理论研究的深入发展意义重大。

史料图片选辑:



Anthony Pym and his children



Anthony Pym and his children



Anthony Pym:

Translation and Text Transfer

译论史稿辑要:

(1)

Why Translators?

Although frequently sidelined as a technical problem of interest only to linguists, the activity of translators should be a privileged field for the problem of how cultures interrelate. The simple fact of translation presupposes contact

between at least two cultures, and does so in relation to language, the social activity that perhaps most effectively and insidiously weaves complex relations of cultural identity. To look at translation is immediately to be engaged in issues of how cultures interrelate. Yet idealized translation, minimally understood as a mapping problem involving two texts, is an inadequate and even deceptive object of study. Its blinding-spot lies in the way, in presupposing relations between at least two cultures, it surreptitiously excludes the space where the contacts are made and manipulated. Paradoxically, translation eclipses or at best misrepresents the place of the translator, and thereby all mediation.

This exclusion is discursively operative in utterances such as 'I am translating,' where the first person cannot possibly belong to a translating translator. Even when taken as an ideal relation between texts and thus perhaps between cultures, translation actively covers over the subjective conditions of its own production. Of course, this is by no means true of all actual translations, nor of all ways of reading translations. Yet a narrow focus on idealized translation nevertheless incurs the constant risk of simplifying the space in which our ethics and history might be elaborated. The conceptual task of our research, in this regard, must thus be to go from translation to something slightly more human, something a little more active. We must seek the place of translators and their kind.

Although the conceptual shift from translation to translators may seem rather trivial, it changes almost everything. If we force ourselves to think, from the outset, that relations are not directly between one culture and another, and that translators, as intermediaries, also have a space to live in and an active role to play, we are obliged to ask questions that reconfigure the terms of reference.

First, where are these intermediaries? Since no abstract argument can happily situate them in one culture or the other, we must admit the working hypothesis that translators operate from the intersections or overlaps of cultures, in what we shall call 'intercultural' space. This space is to be distinguished from relations or transfers that go from one monoculture to another, which are better labeled 'cross-cultural.'

Second, we might ask across what translators actually translate. The answer is deceptively simple: translators work across the boundaries between languages or between cultures (the difference is not yet germane to our concerns). If there were no such boundaries, there would be no translators. Yet history complicates the matter. For one thing, we have just hypothesized the existence of intercultural space, which must somehow be sitting on or inside the borders. What conceptual geometry can comfortably configure that space or populate it with intermediaries? For another, the borders, lines of reference, are in constant movement themselves. For instance, the exact limits of 'Spain' or the adjective 'Spanish' depend very much on the period in question and the inclinations of the historian. The lines move, and many of those movements are partly due to whatever happens in intercultural space, where the cultural status of borders may be both created and displaced. In fact, since close inspection shows gradations blending the frontier regions of almost all languages and cultures, it may well be that there are no lines of cultural demarcation except as defined in intercultural space. If there were no translations, would there be definable boundaries between languages?

Our third question is also deceptively simple: How do translators live, beyond the fact of having their names associated with translations? Here even the most superficial historical scratching shows that translators frequently do far more than translate. They are also people, with multiple aims, loyalties, and activities that may include anything from gazing at the stars to investing in the international wool trade (we will be meeting cases of both). When one considers the range of those related activities, often associated with specific professional networks or ethnic groups, it becomes reasonable to ask to what extent the associated social relations weave a sense of intercultural identity, be it

real or imagined. That is, in each historical context there is conceivably a range of professions associated with the role of the mediating person; there are networks not only connecting culture with culture but also interlinking the various intermediaries themselves. Translators need not be central figures in such groups; the problematic of translators may still allow us to investigate the general features of all intermediaries. We might thus find specific groups or communities where most members are aware of being cultural intermediaries and interrelate on the basis of that understanding. Such groups might be very small, as was the case of the translators, technical writers, and astronomers working for Alfonso X in the thirteenth century. The groups could be diffusely extensive, as might be presumed for the intellectual and mercantile sectors of Hispanic Jewish communities, both before and after expulsion. Whatever the dimensions, the identities of such groups may provide ballast for recognizable patterns of activity, for something like a small highly professionalized 'culture' in itself, or better, for something that might even become a culture were it not necessarily based on cross-cultural transfers. The things that such intermediaries have in common would then make up what we shall call an 'interculture,' about which there is more to be said.

---- Anthony Pym, *Negotiating the Frontier. Translators and Intercultures in Hispanic History*²¹⁴

(2)

Solutions without Equivalence

[...]

If we now look at the critiques of equivalence, one feature seems surprisingly common to the various groups concerned. In contradistinction to the four authors just cited, none of the theorists that oppose equivalence appears to have advanced a restrictive definition of translation. There are certainly many descriptions; they all say what a translation should look like and should do. Try, for example, Snell-Hornby's description beginning "Translation is a complex act of communication in which[...]" (1988: 81). Nowhere in the page or so of text that follows is there anything about what translation is not. There are no definitions of non-translation. Everything can be fitted in; everything is potentially translatable; so translation studies might as well encompass cultural studies, literary studies, the entire humanities, and more, if it would make anyone happier or more powerful. The rejection of equivalence quickly leads to a peculiarly uncentered conceptual expansion, the nature of which is still far from clear.

Equivalence, on the other hand, no matter what definition it figured in during the bad old days, always implied the possibility of non-equivalence, of non-translation or a text that was in some way not fully translational. This in turn configured translation studies as a quite specific neck of the academic woods. The 1980s thus saw a shift from restrictive to non-restrictive definitions, from translation studies as a focused and unified discipline to translation studies as an area potentially open to all comers.

The shift was not without friction. Not everyone agrees that a translation can be a bibliographic reference (as in Gouadec 1989) or any text explaining foreign information (as in Holz-Mänttari 1984) or indeed any text at all (as in theories of radical intertextuality). The change has nevertheless been institutionally successful. It has inspired several good propositions for new disciplinary frames, including "transfer studies" (after Even-Zohar 1990), action theory (Holz-Mänttari 1984; Vermeer 1986, 1989), and "rewriting" (Lefevere 1985, 1992). Strangely enough, most of the authors producing restrictive definitions of translation, the ones who place equivalence (or its surrogates) in the space of production and reception, also work within wider conceptual frames, be it relevance theory (Gutt), semiotics (Stecconi), or negotiation theory (Pym). This is a general trend; the conceptual expansion now exists whether or not one refers to equivalence. In training institutes, the new perspectives have supported numerous degree and diploma programmes combining translation with cultural studies, literary studies, documentation, terminology, international

relations, commerce, computer science, and so on (again, see Caminade in this volume). Everyone seems to agree on the need for a wider frame. To produce equivalence is nowadays not the end of the story, neither for the theorist nor for the pedagog. There is thus little subjective interest in restrictive definitions of translation. They exist, they stubbornly refer to equivalence, but they are not about to upset anyone. Once again, why not?

Legitimation Achieved?

If we now go back to Koller's "legitimation crisis" of 1979, we find that a kind of legitimation for translation studies has in fact been found. Koller thought the answer was to define translation studies as a science and to regulate its relations with neighboring disciplines. But on the ground, the historical solution has been to deregulate relations, allowing translation to be studied in any number of disciplinary locations, in terms of any number of non-restrictive definitions. Instead of a wholly independent translation studies, we now have a fairly unruly grouping of approaches and interests that cover far more than any equivalence-bound definition of translation. Gideon Toury's description of translation studies as an "interdiscipline" is currently as accurate as it is widely accepted (a very large congress held in Vienna in 1992 was actually called "Translation Studies, An Interdiscipline"). There is also a level of civil organization -- the European Society for Translation Studies is only one of several associations -- that should prove greater than any formal theory. As Althusser was wont to say, the solution to theoretical problems already exists on the level of practice, if you know where to look. Non-restrictive deregulation has been the practical solution, although not necessarily the best one.

[...]

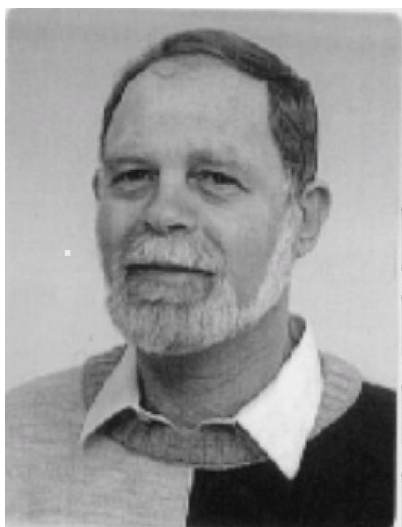
A Summary

Since debates over equivalence are not always easy to follow, here is a brief summary of the way I have called the shots:

- Structuralist linguistics of language systems (Saussure et al.) overlooked the social existence of translation.
- The concept of translational equivalence (Koller et al.) affirmed the social existence of translation and sought to make it a part of applied linguistics.
- Historico-descriptive studies (Toury et al.) rejected the prescriptive import of such linguistics and affirmed that equivalence was a fact of all translations, no matter what their quality.
- Theories of target-side functionalism (Vermeer et al.) similarly rejected such prescriptivism, limiting equivalence to cases where the translation purpose was narrowly bound by source-text elements.
- Thanks to these two movements, the notion of equivalence lost its status as a scientific concept (most radically in the work of Snell-Hornby).
- Translation studies has thus expanded well beyond the academic space once centered on equivalence.
- A few isolated voices, including the present author, have nevertheless recuperated the notion of equivalence as an affirmation of the social existence of translation, without associating the term with any prescriptive linguistics. They thus reveal the inability of expansive translation studies to offer a restrictive definition of translation.

---- Anthony Pym, *European Translation Studies, une science qui dérange, and Why Equivalence Needn't Be a Dirty Word*²¹⁵

120. (以色列) 吉蒂昂·图里 Gidion Toury



Gidion Toury

生平及重要译论:

吉蒂昂·图里(又译吉蒂恩·图里) Gidion Toury, 以色列特拉维夫大学(Tel-Aviv University) 翻译理论教授, 著名翻译家, 以色列特拉维夫操纵学派重要代表人物。主要著作有《翻译理论探索》(*In Search of a Theory of Translation*, 1980)、《描述翻译学及其他》(*Descriptive Translation Studies and Beyond*, 1995)。1977年还出版过一本希伯来语版《翻译规范及文学的希伯来语翻译》(*Translational Norms and Literary Translation into Hebrew*, 1977. [Hebrew])。

图里对翻译的定义是从文化—符号的视角出发的, 也是值得争议的:

翻译是跨越系统边界的行为..... 是一系列程序; 翻译把作为某一种(亚)文化系统组成的符号实体转换成另一种(亚)文化系统的、潜在的构成成分的符号实体, 条件是在转换过程中保留信息核心, 并以此为基础, 在结果实体(resultant entity)和初始实体间确定对等关系。²¹⁶

图里继承发展了霍姆斯的翻译研究学派的译学构思特别是描写翻译理论, 此外还继承发展了特拉维夫学派佐阿的多元系统理论。图里主张在翻译学范围内建立基于方法论的、系统的描述翻译学分支学科, 这一思想集中体现在《描述翻译学及其他》一书中。

图里非常重视描述翻译学在翻译研究中的地位。他不仅从理论上而且也从实践方面强调了这一点:

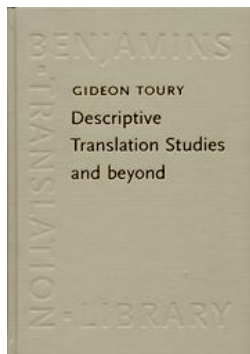
经验学科的产生是为了对世界的某些现实进行系统的限定的描述。因此, 任何经验学科如果没有描写分支的存在, 就不能称之为完整的相对独立的学科。²¹⁷

图里在佐阿的多元系统理论基础上提出“以译入语为中心的研究途径”(Target-oriented approach), 注重译语文化和译语文化特征。他强调描述性翻译研究(descriptive translation studies)的目的之一便是发现翻译过程中译者基于译语文化的需要所进行的实际选择, 并进而得出某一多元系统中主导控制翻译的系统规则。

图里还对翻译规范问题进行了深入探究。他将翻译规范分为“首要规范”(initial norms)、“预设规

范”（preliminary norms）和“操作规范”（operational norms）三种。“首要规范”是决定翻译的整体导向的，即以原文为常规还是以译语及译语文学多元系统为常规进行翻译；“预设规范”系指翻译之前对翻译文本的选择等；“操作规范”系指实际翻译过程中的准则。

史料图片选辑：



Gideon Toury: *Descriptive Translation Studies and beyond*

译论史稿辑要：

（1）

2. The internal organization of DTS

The first set of relations to be superimposed on Holmes' basic 'map' applies to DTS itself as a distinct branch of Translation Studies.

Thus, it is certainly true that three approaches -- function-, process- and product-oriented -- are not just possible, but justified too, and that each one of them delimits a legitimate field of study of its own. To regard the three fields as autonomous, however, is a sure recipe for reducing individual studies to superficial descriptions -whether of translation's position in the culture in which it is, or will be embedded; of the process through which a translated text is derived from an original; or of the textual-linguistic make-up of a translation (or aspects of/phenomena within it), along with the relationships which tie it to its source text and/or the 'shifts' which are manifested by the one with respect to the other. Once *explanations* are also sought -- and no serious study can afford to do without them -- the picture is bound to change considerably, for no explanatory hypothesis which is even remotely satisfactory can be formulated unless all three aspects are brought to bear on each other.

In fact, to the extent that OTS aspires to offer a framework for individual studies of *all* kinds, at *all* levels, one cannot but proceed from the assumption that functions, processes and products are not just 'related', in some obscure way, but rather, form one complex whole whose constitutive parts are hardly separable from one another for purposes other than methodical. Consequently, whether an *individual* study is process-, product-, or function-oriented (and all three types will no doubt always be performed), when it comes to the *institutional* level, that of the discipline as a whole, the program must aspire to lay bare the *interdependencies* of all three aspects if we are ever to gain true insight into the intricacies of translational phenomena, and to do so within one unified (inter)discipline. Seen as such, individual studies of whatever denomination emerge as a twofold enterprise: each one is a local activity, pertinent to a certain corpus, problem, historical period, or the like, as well as part of an overall endeavour, an attempt to account for ways in which function, process and product can and do determine each other.

Recent attempts to apply *experimental* methods to the study of translation have certainly shed new light on the need to account for the interdependencies of function, process and product, for no significant conclusion can be

drawn from an experiment unless all parameters which are deemed relevant, along with their relationships, have been established. In fact, control over as many parameters as possible is a precondition for the appropriate execution of an experiment, not to mention its (relative) replicability, which renders the need to account for the variables and their interrelations all the more pressing. [...]

Thus, the [prospective] position (or function) of a translation within a recipient culture (or a particular section thereof) should be regarded as a strong governing factor of the very make-up of the product, in terms of underlying models, linguistic representation, or both. After all, translations always come into being within a certain cultural environment and are designed to meet certain needs of, and/or occupy certain 'slots' in it. Consequently, translators may be said to operate first and foremost in the interest of the culture into which they are translating, however they conceive of that interest. In fact, the extent to which features of a source text are retained in its translation (or even regarded as requiring retention, in the first place), which, at first sight, seems to suggest an operation in the interest of the source culture, or even of the source text as such, is also determined on the target side, and according to its own concerns: features are retained, and reconstructed in target-language material, not because they are 'important' in any *inherent* sense, but because they are *assigned* importance, from the recipient vantage point. The establishment of a set of required (or preferred) translation relationships may also form part of the deal, but only in as much as the retention of one or another aspect of a source text invariant under transformation is indeed considered a necessary condition for a translation to fulfill the function allotted to it; in the *target* system, to be sure.

The prospective function of the translation, via its required textual-linguistic make-up and/or the relationships which would tie it to its original, inevitably also govern the strategies which are resorted to during the production of the text in question, and hence the translation process as such. This logic, summarized in Figure 2, has important implications for any descriptive work within Translation Studies. Thus, there is no real point in a product-oriented study without taking into account questions pertaining to the determining force of its intended function and to the strategies governed by the norms of establishing a 'proper' product. Similarly, there is little point in a process-oriented study of whatever type, unless the cultural-semiotic conditions under which it occurs are incorporated into it.

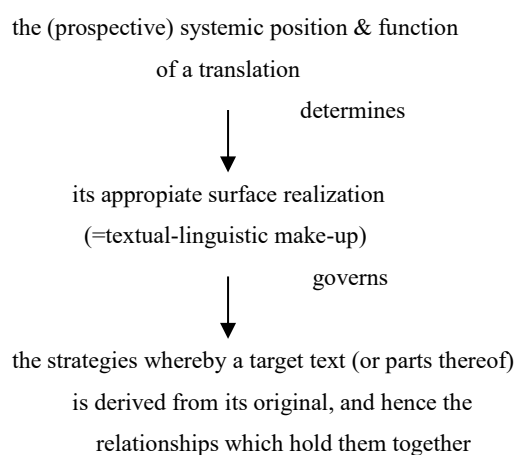


Figure 2. *The relations between function, product and process in translation*

Finally, it is not translations alone (as products, that is) whose position in the hosting culture varies. Translating itself, as a type of text-generating activity, may well vary in its position too, in terms of, e.g., centrality vs. peripherality, prevalence vs. rarity, or high vs. low prestige. This variability and its possible ramifications, e.g./in terms of texts pertaining to different types, or translation activities performed in different cultural groups, is again

intimately connected with the strategies adopted by translators, and hence with the make-up of translated texts and their relationships to their sources.

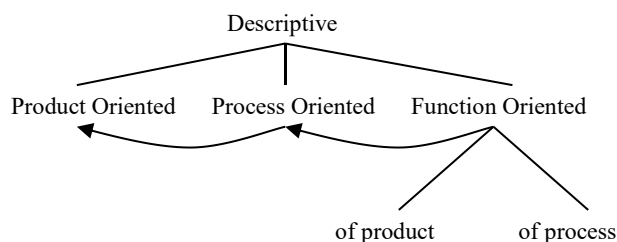


Figure 3. *The main relations within DTS*

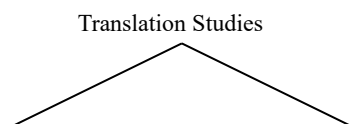
The array of relations represented by Figures 2 and 3 may seem to work the other way around too, in the sense that the strategies a translator resorts to, and the resulting textual-linguistic make-up and translation/source relationships, may be said to affect the position of the end product in the recipient system. However, under the semiotic perspective we have adopted throughout, functions should be regarded as having at least *logical* priority over their surface realizations (also called 'carriers', or 'functors'). This idea has been a cornerstone of Dynamic Functionalism (Even-Zohar 1990; Sheffy 1992) ever since the late 1920s and early 1930s, when it was formulated by scholars such as Jurij Tynjanov, Roman Jakobson and Pëtr Bogatyrëv. Once such a perspective has been opted for, the reversal of roles is no longer viable: Since translating is a *teleological* activity by its very nature, its systemic position, and that of its future products, should be taken as forming constraints of the highest order.

To be sure, this principle does not lose any of its validity when the position occupied by a translation in the target culture, or its ensuing functions, happen to differ from the ones it was initially 'designed' to have; e.g., when the translation of a literary work, intended to serve as a literary text too and translated in a way which should have suited that purpose, is nevertheless rejected by the target literary system, or relegated to a position which it was not designed to occupy. In fact, one task of descriptive studies in translation may well be to confront the position which is *actually* assumed by a translation with the one it was *intended* to have, and draw the necessary conclusions.

3. Between DTS and Translation Theory

This program, I should like to point out in no uncertain terms, pertains to Translation Studies as a *discipline* rather than to the immediate concerns of any of its practitioners as *individuals*, let alone every single study of translation. A research program such as this certainly cuts across Holmes' distinctions: Not only can it not be located within any of DTS'S sub-branches but it is in no way confined to DTS at all, given that one of the aims of Translation Studies should definitely be to bring the results of descriptive-explanatory studies executed within DTS to bear on the *theoretical* branch.

This is not to say that every study into a corpus or problem is, or even should be carried out with a view to revising the theory, in terms of which it was executed. Still, it is a fact that the findings of well-performed studies *always* bear on their underlying theories. Whether theory-relevant implications are drawn by the researchers themselves or by some other agent, most notably empirically minded theorists, they contribute to the verification or refutation of general hypotheses, and to their modification in particular. The bi-directional relations obtaining between DTS and Translation Theory are represented by Figure 4.



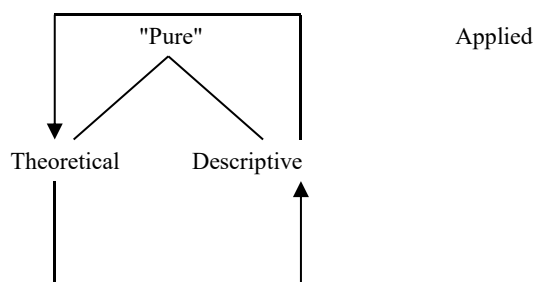


Figure 4. The relations between DTS and Translation Theory

To be sure, the principle of interdependency, as well as the priority of functions over their carriers, were already pronouncements of a *theoretical* nature. However, as soon as concrete relations between function, process and product are exposed by individual studies and brought into the game, the entire course taken by the discipline is bound to be affected. The reason seems simple enough: Translation Studies is called for to tackle fully and systematically three types of issues which differ in scope and level:

- (1) all that translation CAN, in principle, involve;
- (2) what it DOES involve, under various sets of circumstances, along with the REASONS for that involvement, and
- (3) what it is LIKELY to involve, under one or another array of specified conditions.

Even though the first level yields a truly theoretical framework, it is a most elementary one, in terms of a theory of *translation* -- a mere System of co-ordinates which makes it possible to account for anything connected with translating and translation. The second level is, of course, tantamount to DTS'S program as sketched above. Yet, the significance of studies of this kind lies not only in the possibility of supplying exhaustive descriptions and explanations of actual behaviour. No less important are their implications for the discipline as such. Thus, only when the initial potentials subsumed under (1) have been modified by diversified factual knowledge accumulated in actual studies (2) will ample grounds have been furnished for making certain *predictions*, and in a justifiable way too, as becomes the empirical status so appropriate to Translation Studies. In this vein, (3) would pertain to the theoretical branch again, only in a far more elaborate form.

To put it differently: the cumulative findings of descriptive studies should make it possible to formulate a series of coherent *laws* which would state the inherent relations between all the variables found to be relevant to translation. Lying as it does beyond descriptive studies as such, the formulation of these laws may be taken to constitute the ultimate goal of the discipline in its theoretical facet. It be sure, the envisaged laws are everything but absolute, designed as they are to state the *likelihood* that a kind of behaviour, or surface realization, would occur under one set of specifiable conditions or another. Needless to say, not even one law of the conditioned type can be formulated unless the conditioning factors have been specified. This is why the formulation of laws of this type requires the establishment of *regularities of behaviour*, along with a maximal control of the parameters of function, process and product.

Seen from a different angle, such an evolutionary process would entail a gradual transition from partial theories, which have large areas of overlap anyway, to a general theory of translation. This generalization would be achieved by introducing the principles on which the restriction of specific theories is based (e.g., medium, rank, text-type, time, problem [Holmes 1988: 74-77], and many more) into the theory itself; namely, as parameters governing the probability of the occurrence of one or another kind of behaviour, phenomenon, translation relationship, etc. Among

other things, a theory thus refined will make possible the performance of yet more elaborate studies, which will, in turn, bear back on the theory, making it even more intricate.

Within such a recursive pattern, descriptive studies emerge as occupying a pivotal position: While one is always free to speculate and/or indulge in introspection, it is only through studies into actual behaviour that hypotheses can be put to a real test. In fact, even if a study does *not* have (and it most certainly does not have to have) such testing as one of its explicit goals, this will inevitably wind up being an important concomitant; the more so if constant heed is paid to the theoretical assumptions underlying the study and to the ways its methods derive from those assumptions and are answerable to them.

---- Gideon Toury, *Descriptive Translation Studies and Beyond*²¹⁸

(2)

Thus, the transformed concept of adequacy finds its main use in the methodology of TT-ST comparison. In the methodological framework it is conceived of as a hypothetical entity constructable on the basis of a systemic (textemic) analysis of ST, and it is used as *the invariant of the comparison* (i.e., as a *tertium comparationis*).

[...]

I would claim that the occurrence of interlanguage forms in translation follows from the very definition of this type of activity/product, thus being a formal "translation universal." [For the difference between the substantive and formal types of universals, cf. Chomsky (*Aspects of the Theory of Syntax*), 1965: 28-29.] Moreover, there are situations where interlanguage as a whole, or at least certain types/degrees of it, is not simply *present* in translation as living evidence of the universal, but even *preferred* to "pure" TL forms.

---- Gideon Toury, *In Search of a Theory of Translation*²¹⁹

121. (以色列) 伊塔马·埃文·佐阿 Itamar Even-Zohar



Itamar Even-Zohar, 1939-

(Picture taken 1993 in Santiago de Compostela)

生平及重要译论

伊塔马·埃文·佐阿（又译伊塔玛尔·埃文·祖海尔、佐哈尔）Itamar Even-Zohar, 1939-，出生于以色列特拉维夫，就读于特拉维夫大学（Tel Aviv University）并获文学士学位和博士学位，在耶路撒冷大学（Jerusalem University）获得文学硕士学位。他还曾在奥斯陆（Oslo）、哥本哈根（Copenhagen）、斯德哥尔摩（Stockholm）等地学习，并曾多年在欧洲和美洲各地众多大学担任客座教授。通晓希伯来语（Hebrew）、阿拉伯语、英语、法语、瑞典语、西班牙语、挪威语、丹麦语、意大利语、俄语、德语、冰岛语等多种语言。现任特拉维夫大学（Tel Aviv University）教授，教授文化研究和符号学与文学理论。

佐阿依据其对于翻译对社会的影响的观察而提出的“多元系统”（Polysystem, PS）理论在翻译研究领域中具有举足轻重的地位。佐阿认为，文化、语言文学、社会并不是由互不相干的元素所组成的混合体，而是由相关的元素组成的系统，而且这些系统本身也并非单一性的系统，而是由多个相交甚至相叠的系统所组成。

“多元系统”论是指社会中各种相关的系统——文学以及文学以外（extraliterary）所有相关系统的集成。该系统为多层次：“高级的”、“中央的”、“经典的”（canonical）的文学形式如诗歌；“低的”、“边缘的”、“非经典的”（non-canonical）如儿童文学和通俗文学；“首位”重要（创新的）和“次要”重要（仅为强化现存的形式）等。多元系统旨在解释在某种特定的文化中各种系统的功能。

在多元系统中，各系统的地位是不平等的。有些系统处于多元系统的中心位置，有些则处于边缘位置。同时，多元系统亦非静态的。有时社会文化因素会导致某些系统由边缘移向中心，或由中心移向边缘。²²⁰

佐阿发现翻译总是被视为一种次要的系统。对于英语、法语这些文化底蕴深厚的语言或许如此，但这种观点不会适用于所有的国家如以色列和低地国家，因为在这些国家翻译发挥着相当重要的作用，对文学的发展亦有着重大影响。因此，多元系统必须包含文学这个系统。

佐阿深入地探讨了作为多元系统之一的翻译文学在文学系统中的地位。佐阿认为，翻译文学在文学多元系统中也许占据主要或中心位置，也许占据次要或边缘位置，由当时该文化中其他文学系统的状态而定。翻译文学的地位也成为影响译者采取何种翻译原则或翻译方法的重要因素。当翻译文学处于主要地位时，翻译活动的主要作用是参与创造新的、主要的模式，因此译文在充分性（adequacy）方面将会倾向于接近原著，从而将原作中多数新元素引入译入语文化系统中；反之，翻译文学处于次要地位，译文将倾向于在译入语文化系统中寻求已有的模式，从而放弃原文的内容或形式。

译论史稿辑要

（1）

THE POSITION OF TRANSLATED LITERATURE WITHIN THE LITERARY POLYSYSTEM

[...]

I

In spite of the broad recognition among historians of culture of the major role translation has played in the crystallization of national cultures, relatively little research has been carried out so far in this area.

As a rule, histories of literatures mention translations when there is no way to avoid them, when dealing with the Middle Ages or the Renaissance, for instance. One might of course find sporadic references to individual literary translations in various other periods, but they are seldom incorporated into the historical account in any coherent way. As a consequence, one hardly gets any idea whatsoever of the function of translated literature for a literature as a whole or of its position within that literature. Moreover, there is no awareness of the possible existence of translated literature as a particular literary system. The prevailing concept is rather that of "translation" or just "translated works" treated on an individual basis. Is there any basis for a different assumption, that is for considering translated

literature as a system? Is there the same sort of cultural and verbal network of relations within what seems to be an arbitrary group of translated texts as the one we willingly hypothesize for original literature? What kind of relations might there be among translated works, which are presented as completed facts, imported from other literatures, detached from their home contexts and consequently neutralized from the point of view of center-and-periphery struggles?

My argument is that translated works do correlate in at least two ways: (a) in the way their source texts are selected by the target literature, the principles of selection never being uncorrelatable with the home co-systems of the target literature (to put it in the most cautious way); and (b) in the way they adopt specific norms, behaviors, and policies -- in short, in their use of the literary repertoire -- which results from their relations with the other home co-systems. These are not confined to the linguistic level only, but are manifest on any selection level as well. Thus, translated literature may possess a repertoire of its own, which to a certain extent could even be exclusive to it. (See Toury 1985 and 1985a.)

It seems that these points make it not only justifiable to talk about translated literature, but rather imperative to do so. I cannot see how any scholarly effort to describe and explain the behavior of the literary polysystem in synchrony and diachrony can advance in an adequate way if that is not recognized. In other words, I conceive of translated literature not only as an integral system within any literary polysystem, but as a most active system within it. But what is its position within the polysystem, and how is this position connected with the nature of its overall repertoire? One would be tempted to deduce from the peripheral position of translated literature in the study of literature that it also permanently occupies a peripheral position in the literary polysystem, but this is by no means the case. Whether translated literature becomes central or peripheral, and whether this position is connected with innovatory ("primary") or conservatory ("secondary") repertoires, depends on the specific constellation of the polysystem under study.

II

To say that translated literature maintains a central position in the literary polysystem means that it participates actively in shaping the center of the polysystem. In such a situation it is by and large an integral part of innovatory forces, and as such likely to be identified with major events in literary history while these are taking place. This implies that in this situation no clear-cut distinction is maintained between "original" and "translated" writings, and that often it is the leading writers (or members of the avant-garde who are about to become leading writers) who produce the most conspicuous or appreciated translations. Moreover, in such a state when new literary models are emerging, translation is likely to become one of the means of elaborating the new repertoire. Through the foreign works, features (both principles and elements) are introduced into the home literature which did not exist there before. These include possibly not only new models of reality to replace the old and established ones that are no longer effective, but a whole range of other features as well, such as a new (poetic) language, or compositional patterns and techniques. It is clear that the very principles of selecting the works to be translated are determined by the situation governing the (home) poly-system: the texts are chosen according to their compatibility with the new approaches and the supposedly innovatory role they may assume within the target literature.

What then are the conditions which give rise to a situation of this kind? It seems to me that three major cases can be discerned, which are basically various manifestations of the same law: (a) when a polysystem has not yet been crystallized, that is to say, when a literature is "young," in the process of being established; (b) when a literature is either "peripheral" (within a large group of correlated literatures) or "weak,"¹ or both; and (c) when there are turning points, crises, or literary vacuums in a literature.

In the first case translated literature simply fulfills the need of a younger literature to put into use its newly founded (or renovated) tongue for as many literary types as possible in order to make it serviceable as a literary language and useful for its emerging public. Since a young literature cannot immediately create texts in all types known to its producers, it benefits from the experience of other literatures, and translated literature becomes in this way one of its most important systems. The same holds true for the second instance, that of relatively established literatures whose resources are limited and whose position within a larger literary hierarchy is generally peripheral. As a consequence of this situation, such literatures often do not develop the same full range of literary activities (organized in a variety of systems) observable in adjacent larger literatures (which in consequence may create a feeling that they are indispensable). They may also "lack" a repertoire which is felt to be badly needed vis-à-vis, and in terms of the presence of, that adjacent literature. This lack may then be filled, wholly or partly, by translated literature. For instance, all sorts of peripheral literature may in such cases consist of translated literature. But far more important is the consequence that the ability of such "weak" literatures to initiate innovations is often less than that of the larger and central literatures, with the result that a relation of dependency may be established not only in peripheral systems, but in the very center of these "weak" literatures. (To avoid misunderstanding, I would like to point out that these literatures may rise to a central position in a way analogous to the way this is carried out by peripheral systems within a certain polysystem, but this cannot be discussed here.)

Since peripheral literatures in the Western Hemisphere tend more often than not to be identical with the literatures of smaller nations, as unpalatable as this idea may seem to us, we have no choice but to admit that within a group of relatable national literatures, such as the literatures of Europe, hierarchical relations have been established since the very beginnings of these literatures. Within this (macro-) polysystem some literatures have taken peripheral positions, which is only to say that they were often modelled to a large extent upon an exterior literature. For such literatures, translated literature is not only a major channel through which fashionable repertoire is brought home, but also a source of reshuffling and supplying alternatives. Thus, whereas richer or stronger literatures may have the option to adopt novelties from some periphery within their indigenous borders, "weak" literatures in such situations often depend on import alone.

The dynamics within the polysystem creates turning points, that is to say, historical moments where established models are no longer tenable for a younger generation. At such moments, even in central literatures, translated literature may assume a central position. This is all the more true when at a turning point no item in the indigenous stock is taken to be acceptable, as a result of which a literary "vacuum" occurs. In such a vacuum, it is easy for foreign models to infiltrate, and translated literature may consequently assume a central position. Of course, in the case of "weak" literatures or literatures which are in a constant state of impoverishment (lack of literary items existing in a neighbor or accessible foreign literature), this situation is even more overwhelming.

III

Contending that translated literature may maintain a peripheral position means that it constitutes a peripheral system within the polysystem, generally employing secondary models. In such a situation it has no influence on major processes and is modelled according to norms already conventionally established by an already dominant type in the target literature. Translated literature in this case becomes a major factor of conservatism. While the contemporary original literature might go on developing new norms and models, translated literature adheres to norms which have been rejected either recently or long before by the (newly) established center. It no longer maintains positive correlations with original writing.

A highly interesting paradox manifests itself here: translation, by which new ideas, items, characteristics can be introduced into a literature, becomes a means to preserve traditional taste. This discrepancy between the original central literature and the translated literature may have evolved in a variety of ways, for instance, when translated literature, after having assumed a central position and inserted new items, soon lost contact with the original home literature which went on changing, and thereby became a factor of preservation of unchanged repertoire. Thus, a literature that might have emerged as a revolutionary type may go on existing as an ossified *système d'antan*, often fanatically guarded by the agents of secondary models against even minor changes.

The conditions which enable this second state are of course diametrically opposite to those which give rise to translated literature as a central system: either there are no major changes in the polysystem or these changes are not effected through the intervention of interliterary relations materialized in the form of translations.

IV

The hypothesis that translated literature may be either a central or peripheral system does not imply that it is always wholly one or the other. As a system, translated literature is itself stratified, and from the point of view of polysystemic analysis it is often from the vantage point of the central stratum that all relations within the system are observed. This means that while one section of translated literature may assume a central position, another may remain quite peripheral. In the foregoing analysis I pointed out the close relationship between literary contacts and the status of translated literature. This seems to me the major clue to this issue. When there is intense interference, it is the portion of translated literature deriving from a major source literature which is likely to assume a central position. For instance, in the Hebrew literary polysystem between the two world wars literature translated from the Russian assumed an unmistakably central position, while works translated from English, German, Polish, and other languages assumed an obviously peripheral one. Moreover, since the major and most innovative translational norms were produced by translations from the Russian, other translated literature adhered to the models and norms elaborated by those translations.

The historical material analyzed so far in terms of polysystemic operations is too limited to provide any far-reaching conclusions about the chances of translated literature to assume a particular position. But work carried out in this field by various other scholars, as well as my own research, indicates that the "normal" position assumed by translated literature tends to be the peripheral one. This should in principle be compatible with theoretical speculation. It may be assumed that in the long run no system can remain in a constant state of weakness, "turning point," or crisis, although the possibility should not be excluded that some polysystems may maintain such states for quite a long time. Moreover, not all polysystems are structured in the same way, and cultures do differ significantly. For instance, it is clear that the French cultural system, French literature naturally included, is much more rigid than most other systems. This, combined with the long traditional central position of French literature within the European context (or within the European macro-polysystem), has caused French translated literature to assume an extremely peripheral position. The state of Anglo-American literature is comparable, while Russian, German, or Scandinavian would seem to show different patterns of behavior in this respect.

V

What consequences may the position taken by translated literature have on translational norms, behaviors, and policies? As I stated above, the distinction between a translated work and an original work in terms of literary behavior is a function of the position assumed by the translated literature at a given time. When it takes a central

position, the borderlines are *diffuse*, so that the very category of "translated works" must be extended to semi- and quasi-translations as well. From the point of view of translation theory I think this is a more adequate way of dealing with such phenomena than to reject them on the basis of a static and a historical conception of translation. Since translational activity participates, when it assumes a central position, in the process of creating new, primary models, the translator's main concern here is not just to look for ready-made models in his home repertoire into which the source texts would be transferable. Instead, he is prepared in such cases to violate the home conventions. Under such conditions the chances that the translation will be close to the original in terms of adequacy (in other words, a reproduction of the dominant textual relations of the original) are greater than otherwise. Of course, from the point of view of the target literature the adopted translational norms might for a while be too foreign and revolutionary, and if the new trend is defeated in the literary struggle, the translation made according to its conceptions and tastes will never really gain ground. But if the new trend is victorious, the repertoire (code) of translated literature may be enriched and become more flexible. Periods of great change in the home system are in fact the only ones when a translator is prepared to go far beyond the options offered to him by his established home repertoire and is willing to attempt a different treatment of text making. Let us remember that under stable conditions items lacking in a target literature may remain untransferable if the state of the polysystem does not allow innovations. But the process of opening the system gradually brings certain literatures closer and in the longer run enables a situation where the postulates of (translational) adequacy and the realities of equivalence may overlap to a relatively high degree. This is the case of the European literatures, though in some of them the mechanism of rejection has been so strong that the changes I am talking about have occurred on a rather limited scale.

Naturally, when translated literature occupies a peripheral position, it behaves totally differently. Here, the translator's main effort is to concentrate upon finding the best ready-made secondary models for the foreign text, and the result often turns out to be a non-adequate translation or (as I would prefer to put it) a greater discrepancy between the equivalence achieved and the adequacy postulated.

In other words, not only is the socio-literary status of translation dependent upon its position within the polysystem, but the very practice of translation is also strongly subordinated to that position. And even the question of what is a translated work cannot be answered *a priori* in terms of an a-historical out-of-context idealized state: it must be determined on the grounds of the operations governing the polysystem. Seen from this point of view, translation is no longer a phenomenon whose nature and borders are given once and for all, but an activity dependent on the relations within a certain cultural system.

1. On the concept of "weak" see "Interference in Dependent Literary Polysystems" below.

---- Even-Zohar, *Polysystem Studies*²²¹

(2)

TRANSLATION AND TRANSFER

Our accumulated knowledge about translation indicates more and more that translational procedures between two systems (languages/ literatures) are in principle analogous, even homologous, with transfers within the borders of the system. The hypothesis of analogy/homology has been formulated before, notably by Jakobson (1959), but no consequences have ever been drawn for translation theory. Shall we go on ignoring this hypothesis or would it not be wiser to acknowledge the implicit practice whereby translation is discussed in terms of transfer and vice versa? In

other words, would it not be profitable to think and work explicitly rather than implicitly in terms of a *transfer* theory? If so, where will inter-systemic translation be located, and with what consequences?

Sooner or later, I believe, it will turn out to be uneconomical to deal with transfer and translation separately. When, for instance, we maintain in translation theory that under certain circumstances secondary models are more likely to be operating because translated literature occupies a peripheral position (in the literary polysystem) and more often than not peripheries use secondary models, we have already transcended all question of "translation" proper to deal with potentialities of inter-systemic transfer. If we are fond of terminological games, we could then easily say that secundarization is obviously involved with *translational* procedures while, on the other hand, translation often involves secundarization. Rhetorical niceties aside, such a formulation, however illuminating, is not very satisfactory. This is not because it does not point at any valid hypotheses but because a complex process, whereby certain features (or procedures) occur interdependently and *simultaneously*, is thus presented as two discrete phenomena belonging, as it were, to two different spheres.

The lack of an explicitly formulated transfer theory thus creates the following results: (a) One body of phenomena homologous with another is dealt with as an object of study while the other is not recognized as such and therefore is taken casually, as if belonging to an altogether different semiotic set; (b) general procedures, valid in various systems, are conceived of as particular, that is, pertaining only to an officially recognized body. This not only implies exaggerated perspectives but hinders the discovery of what -- once general procedures have been illuminated -- the *particular* procedures really are.

On the other hand, there is always the danger that by making generalizations too gross, and if a transfer theory is to fully replace translation theory, the relatively solid body of questions already in existence will be lost. Maybe it would be better then to stick to our reduced theory, knowing it is not adequate; the alternative might be worse. Yet I am convinced that at our present stage in translation theory, we simply do not have much choice. If, that is, we wish to proceed with what has already been accepted as "new directions" in translation studies, where questions of transfer are dealt with in practice as inseparable from questions of translation.¹

Some people would take this as a proposal to liquidate translation studies. I think the implication is quite the opposite: through a larger context, it will become even clearer that "translation" is not a marginal procedure of cultural systems. Secondly, the larger context will help us identify the really particular in translation. Thirdly, it will change our conception of the translated text in such a way that we may perhaps be liberated from certain postulated criteria. And fourthly, it may help us isolate what "translational procedures" consist of.

Let me now discuss in some detail the third and the fourth points. Our practice with products of translation has been rather selective, and, ultimately, inconsistent from a theoretical point of view. For the sake of a neat theory, we accepted, on the one hand, the fact that translation involves reformulation of a source utterance by means of a target utterance. Thus, the process of decomposition and re-composition was admitted to be of translational nature. On the other hand, however, when the result of this relationship did not conform with prepostulated norms formulated by the culture concerned (and accepted on an abstract level by translation theory as a criterion of selection), the product of this relationship was considered not translation but something else -- "adaptation," "imitation" -- and pushed outside the realm of translation theory. As a result, there accumulated such a heap of "non-translations" that if we had bothered to make some raw statistics, we would have discovered that most products of inter-lingual transfer are considered out of bounds for translation theory. Although this had been, admittedly, a way to elaborate some solid

fundamental concepts for discussing translation, such a position can no longer be held. This is because it isolates translated texts from too many other kinds of texts, rather than putting the former in the context of the latter.

If then we recognize all products of inter-lingual transfer as relevant to translation, two inferences follow:

(1) The problem of translatability must be reformulated. It is of no great value to "discover" that it is always of a lower probability that a translated utterance be identical with its original. A more adequate question seems rather to be *under what circumstances*, and in what particular way, a target utterance/text *b* relates (or is relatable) to a source utterance/text *a*.

(2) Since translational procedures produce certain products in a Target system, and since these are hypothesized to be involved with transfer processes (and procedures) in general, there is no reason to confine translational relations only to actualized texts. Competenced texts, that is *models*, are clearly a major factor in translation as they are in the system at large. By failing to realize this, translation theories (like most theories of literature in general) have been prevented from observing -- just to take one instance -- the intricate process whereby a particular text is translated in accordance with those target system models domesticated by model appropriation, and carried out by procedures of translational nature. So far, only actual text translations have been admitted as a legitimate source for theoretical induction, while the whole intricate problem of system interference, through which items of repertoire (including, naturally, models) are transplanted from one system to another, has been ignored. From the point of view of polysystem theory, or the general transfer theory called for, it does not make sense to regard penetration of a system *A* into a system *B* as "influence," while regarding the reformulation of texts belonging to the same system *A* by system *B* as "translation."

Let us now go back to the fourth point, i.e., to the question "What do translational procedures mean?"

As odd as it may seem, the notion of translationality is none too clear in translation theory. Much effort has been taken to describe the respective possibilities and preferences in inter-lingual translation. But even the most minute analysis of these could never explain the actual behavior of translation under various circumstances. For instance, when a certain function in system *A* happens to be lacking in system *B*, one can explain why it does not show in the language- *B* text when it is a target text. But when, in spite of its existence in the target system, it does not show in the target text, or, in spite of *its non-existence*, it *does* show (as a *result* of interference), one then has no explanation to offer. No doubt, a contrastive analysis *per se*, especially if it is carried out on the level of language only, does not explain more than what options there might be in translation on the level of ready-made lingual operation (choices and decisions). But if one wants to discover what *constraints* might have produced a certain behavior/product, it is necessary to discover the hierarchical relations between the various factors, as well as to recognize that under certain circumstances constraints may operate not only in selecting from among established options, but in producing options which did *not* exist before. It is only when systems are conceived of as homogeneous, static, and closed that such an understanding is not achieved.

What do we know then of constraints hierarchy, and which factors may function as such? Do we agree at all on the concept of constraint to begin with? For instance, is language structure to be taken as a constraint, or would it be more economical from the point of view of theory to consider only those factors which operate when various options are available?

Whatever the answer to these questions may be, one thing seems clear, namely that it has not been proved that the so-called "lower levels" of a target system are stronger constraints than "upper levels." Thus, standardized word order, a lingual model, is not necessarily stronger than, say, a model of repique in a novel, if certain features neutralize the "standard" word order and impose different rules. In the literary text (but not only there) literary functions may neutralize standardized lingual functions and replace them with nonstandardized ones, if there is no rejection mechanism to prevent it. Such phenomena can no longer be dismissed as "abuse" of language or "misbehavior": they are there, and they may even constitute the central processing principle of a certain type of texts. As a result, "language" may have changed under pressure of such phenomena, rather than vice versa. When one observes the multitude of cases where no explanation is available on the basis of either "low" or "local" decision factors, one must admit that global models, whether explicitly formulated or implicitly built-in, are probably stronger constraints on translational behavior, and hence more adequate explanations for the target text features.

How then can translational procedures be conceived of? Is "translational" to be understood just as the principle of transfer, the behavior and the result of which are determined by the *relations* between source and target, that is not "by itself"? If so, does it mean that with the exception of this principle, all the rest of translation theory is merely patched together from interference theory, contrastive linguistics, or semiotics, etc.?

I can think of two answers to these questions.

First, the fact that most of the hypotheses of translation theory are borrowed from other branches, such as interference theory, or contrastive poetics (if there is such a discipline), does not mean that we accept what we have long rejected, that is, that there is no autonomous discipline of translation studies. The eclectic character of many of the particular translation theories resulted not from that fact, but from the fact that the various hypotheses were not subjugated to any hypothesis about the principle of translation. Hence, one could not make any conjectures about any of the functions involved. But once translation is conceived of as a specific systemic principle, that is, a parameter of systemic manipulation -- or processing -- the conglomerate of disciplines becomes a separate discipline.

Secondly, translationality is not only a principle of processing, the results of which are determined by the semiotic constraints operating on the systemic/inter-systemic level. It is also a general process, the results of which are produced by its own nature. In a previous work (Even-Zohar 1971) I maintained that we can observe in translation patterns which are inexplicable in terms of any of the repertoires involved. It is the very activity of *translating* which directs any individual to make certain decisions. This activity must therefore be recognized as a fundamental constraint of systemic nature, an integral factor of transfer. In transfer theory, this principle will then be taken as the basic procedure which (due to the decomposition/re-composition unavoidably involved with it) processes the utterances/texts so that they behave differently from the source. Of course, this procedure is needed to explain the most basic processing principle for a target. The specifics of that processing are hypothesized to be determined by the hierarchy of the semiotic constraints, the strongest being those portions of repertoire promoted by the governing relations within the target polysystem.

In view of what has been suggested above, a tentative comprehensive law of translation can be proposed:

In a target system B, either within the same polysystem or in a different polysystem -- depending on whether it is stable or in crisis, and whether it is strong or weak, vis-à-vis a source system A -- a target text b will be produced according to transfer procedures plus the constraints imposed upon them by the intra-target-polysystem relations,

both governing and governed by the target-polysystem repertoire of existing and non-existing functions.²

1. These "new directions" (expressed and described, i.a., in Holmes et al. 1978; Even-Zohar and Toury 1981; Hermans 1985) involve accepting polysystemic stratification as relevant to translational behavior, its implications for the relations between general and translational repertoires, the priority of the Target Literature's state-of-system as constraint on translational behavior to the Source Literature's state-of-system. In short, major hypotheses that have won some support among a relatively large group of students of translation.

2. For a discussion of the opposition weak-strong see "Laws of Literary Interference" and "Interference in Dependent Literary Polysystems." An example of the possible law governing the relations between the weak-strong opposition and the existence vs. non-existence of repertoire may be the following: if a target polysystem is weak vis-à-vis a source polysystem, then non-existent functions may be domesticated, thus making a higher relatability (between Target and Source) possible on condition that the position of the translated system within the target polysystem is central.

---- Even Zohar, *Polysystem Studies*²²²

(3)

An adequate translation is a translation which realizes in the target language the textual relationships of a source text with no breach of its own [basic] linguistic system..

----- Even-Zohar, *Decisions in Translating Poetry*²²³

(4)

The importance for literary history of the correlations between central and peripheral literature as well as between "high" and "low" types was raised by Russian Formalists as soon as they abandoned their partially ahistorical attitude, early in their history. The nature of these correlations became one of their major hypotheses in explaining the mechanisms of change in literary history.

[...]

It is necessary to include *translated literature* in the polysystem. This is rarely done, but no observer of the history of any literature can avoid recognizing as an important fact the impact of translations and their role in the synchrony and diachrony of a certain literature.

[...]

According to what is presumed about the nature of systems in general and the nature of literary phenomena in particular, there can obviously be no equality between the various literary systems and types. These systems maintain *hierarchical* relations, which means some maintain a more central position than others, or that some are *primary* while others are *secondary*.

[...]

While canonized literature tries to create new models of reality and attempts to illuminate the information it bears in a way which at least brings about deautomatization, as the Prague Structuralists put it, non-canonized literature has to keep within the conventionalized models which are highly automatized. Hence the impression of stereo-type one gets from the non-canonized works.

[...]

One only need assume the center-and-periphery relation in order to be able to reconcile heterogeneity with functionality. Thus the notion of hierarchy, of strata, is not only unavoidable but useful as well. To augment this with the notion of a system of systems, a multiple system, i.e., a system whose intersections are more complex, is but a logical step necessitated by the need to elaborate a model "closer" to "the real world."

----- Even-Zohar, *Papers in Historical Poetics*²²⁴

(5)

Having once adopted a functional(istic) approach, whereby the object is theory dependent, modern translation theory cannot escape transcending "borders." Just as the linguistic "borders" have been transcended, so must the literary ones be transcended. For there are occurrences of a translational nature which call for a semiotics of culture. (Even-Zohar & Toury, 1981: x)

----- Even-Zohar, "Translation Theory Today: A Call for a Transfer Theory"²²⁵

122. (以色列) 雷克费特·希拉-谢菲 Rakefet Sela-Sheffy



生平及重要译论:

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希拉-谢菲是从文化的角度来思考和阐述其关于翻译理论的。由于对于文化的深厚的研究底蕴, 其对翻译理论的观点具有综合性文化导向的特点, 见解比较深刻, 颇有启发性。(参阅下面的“译论史稿辑要”)

译论史稿辑要

The Suspended Potential of Culture Research in TS

[...]

In their attempt at "Shared Ground in Translation Studies" Andrew Chesterman and Rosemary Arrojo (*Target* 12:1, 2000, 151-160.) cover a large range of themes, problems and tasks, trying to do justice not only to the current work in the field, but also to its history. In today's spirit of postmodernism they endeavor to keep a relativist and pluralistic view, which is in line with the general trend (at least as an aspiration) to move gradually towards culture-oriented approach in Translation Studies. Nevertheless, one wonders to what extent all this goes beyond a conglomeration of hints at elegant ideas, to create a coherent and productive advanced agenda. Let me say from the outset that, coming from the field of culture research, I look at translation as basically a manifestation of cultural processes, and therefore expect TS to be productive in this way. But even considering my biased perspective, I still think that the document at hand is rather evasive about what it sees as the center of gravity of Translation Studies and the outlook of the field. Although it offers many leads to important discussions, these leads just do not seem to add up to a useful conceptual and methodological framework. For one thing, it seems to be going in circles, reflecting too seriously on some elementary postulates which appear no longer immediately relevant to the development of TS. At the same time, it tends to avoid consequential distinctions and seeks to reconcile irreconcilable approaches. Between the lines, however, one still detects a rather commonplace approach to translation, with a very strong imprint of literary thinking. Whether this is a faithful reflection of the state of the art in the field or the authors' hesitation to draw further conclusions and come up with constructive proposals, the bottom line is that their document still seems to perpetuate the restricted text-centered perspective which prevails in the field at large, without taking any further steps towards a comprehensive culture-centered approach to translation, as seems to be called for by various fruitful hypotheses suggested in the document itself.

1

The problem seems to begin right at the outset, with the proposed point of departure, namely, the debate between essentialism and non-essentialism, and the question of "how far these two approaches to translation studies can be reconciled" [0]. Raising these issues today seems to be somewhat anachronistic and futile. It is anachronistic in the sense that relativity, multiplicity and dependency of 'meaning' seem to have long become a common creed in the humanities. In light of current knowledge in pragmatics, cognitive science and sociolinguistics, which necessarily have strong bearings on the study of everything connected with meaning-producing human behavior, and with the impact of culture studies on every branch of the humanities in the last decades, no field of human science can seriously ignore, let alone reject, these premises. In this respect, both the deconstructionist approach argued by RA and the empirical one defended by AC are non-essentialist, in that they both proceed from the assumption - either explicitly or implicitly - that what a text 'means' depends on various factors other than the text itself. Therefore, discussing 'essentialism' here is futile, as is the worn-out question of 'definitions'. Since theoretical pluralism is a widely accepted stand, it seems trivial to restate that the status of definitions is nothing more than a working hypothesis which serves in each particular case as a point of departure for research. In light of this, the 'essentialist' bent in the study of translation to which the authors refer seems to be less a matter of actual theoretical consideration than a relic of the once dominant ideology in the field of literary criticism. It is the ideology which has established the cult of the Text as a unique, semi-divine, complex-meaning entity that is usually beyond the comprehension of the average, non professional reader. This is certainly not acceptable as a solid basis for TS, although evoking this Text-ideology here gives away a reluctance - however covert - to get away once and for all from the outworn constraints of literary criticism. Indeed, this notion of the Text is deeply implanted in modern 'cultured' consciousness of literary professionals and laymen alike, so that the main concern, whenever 'translation' is considered, is often still that of the 'damage' it may inflict on the Text, or the 'loss' of its 'original meaning'. This is very clearly observed in popular responses to translation by members of the intelligentsia. Such an attitude and use of vocabulary has been recently attested, for instance, by replies to a questionnaire dealing with translation as product, activity, and profession, which I distributed in two university classes (and which will be discussed in Sela-Sheffy forthcoming).

To a certain extent this cult of the Text is still there even in seemingly more sophisticated up-to-date approaches to text analysis, such as are echoed intensively in the document at hand, which believe that meanings are "inherently non-stable" [#0] and proffer multiple and dynamic text-interpretations. Eventually they, too, promote Text interpretation as an end in itself, which is a central procedure in the cult of the Text, and hence they keep imposing a rather restricted agenda on TS. By and large, the interpretative approach seems to be so overwhelming in this document that it overshadows even the progress made in the empirical study of translation, such as research into the process of translation. In this respect the outline offered here is not only insufficient, it even takes TS a step backwards.

2

Nevertheless, as narrow as it may be, an interpretative approach at least allows for theoretical consideration of the conditions of text understanding, whereas the 'autonomy of the text' ideology imposes a priori restrictions on any prospects of theoretical research into socio-historical factors of translation, and leaves TS entirely within the limits of normative literary criticism. Therefore, if this methodological debate is to serve as a point of departure at all, I suggest that it should not rehash the obsolete problem of essentialism but should instead bring more clearly to the fore the distinction between two major relevant alternatives: the interpretative, text-oriented approach, and the one directed toward explaining translation as a social activity. The latter approach differs from the former not just in "the meaning of the concept of translation" [#0], but mainly in introducing into TS methods of research other than text analysis, drawing mainly on sociology and anthropology. Consequently, it expands the focus of interest of TS from the products (the translated texts) as such, to the interdependencies and exchange relations between products, persons (producers and consumers), institutions, and the translation market. It is high time, in my view, that the focus of TS be reversed. Instead of viewing information about translators and translation institutions as marginal facts subjugated to explaining phenomena in translated texts, indications of translatorial decisions in end-products should be used as data for exploring cultural processes. The study of translation can serve, from this perspective, as a perfect laboratory for the study of cultural dynamics (and not just linguistic behavior) in general. This was suggested as long as twenty years ago by Even-Zohar and Toury in their introduction to *Theory of Translation and Intercultural Relations* (1981a). The important work already done which uses translated texts as raw material for studying cultural contacts (e.g. Yahalom 1981; Lambert 1978; Drory 1991) has long established TS as the framework par excellence for research into the formation, transfer and change of cultural (and not just textual or linguistic) repertoires.

Although most of the cases studied by the scholars mentioned above were centered in literature, their import goes much farther. They show that even when translation is dealt with as a set of textual-transformation procedures proper, it is still highly revealing with regard to the sources, availability, status and durability of cultural models. Beyond this, however, as put forward especially by Even-Zohar (1997), the study of translation and transfer, as indispensable generative processes of the cultural repertoire, may apply to any kind of cultural production whatsoever, material and abstract alike. The application of this kind of study to material culture makes it even likelier to deal with broader issues involving cultural importation in general. One such important issue, for instance, concerns the relations between the import of products (be they texts, appliances, or food products) and of models, and how the two engender or transform one another (ibid.)

But the study of translation is instructive not only from inter-cultural, but also from intra-cultural perspective. As is convincingly stressed by the target-oriented approach to studying translation norms (Toury 1981, 1999), factors in the receiving cultural arena are the critical ones in determining the nature, status and tempo of the work of translation. Being basically a practice of importing, manipulating and transforming cultural goods and models, the business of translation constitutes in itself an extremely interesting field of cultural production. It is therefore time to take on the new directions recently proposed for TS (Toury 1995; Simeoni 1998; Vénuti 1995; Hermans 1999) and give a better chance to the study of the peculiarities of this domain as a vital field of production in a certain socio-cultural space.

This includes the way the field is organized, the profile of its agents, the distribution and availability of its repertoire, its sources of authorization, its relations with other fields of production, and more.

3

The distinction between these approaches can also rescue the argument from the tedious debate of defining 'the concept of translation' (e.g., "there is no such thing as a totally objective definition of 'translation'" [#2], etc.) This is a recurrent and well-known pitfall all over the humanities. In the case in point, this debate seems to be reduced to an attempt at a comparative lexical definition (e.g., "The English word 'translation' might not necessarily denote exactly the same thing as some other word that approximately means 'translation' in another language[...] . A valid research goal is to examine the extent to which these various conceptions of translation overlap", etc. [#5; my emphasis]). Obviously, AC & RA aspire for more than this. Some points in their document (#4, #8, #9, #10) disclose that their proposal is not necessarily restricted to philosophical speculations on 'meanings' and 'concepts', at least potentially. For instance, suggesting to trace the logic according to which certain "kinds of texts [...] have been labelled 'translation' as compared with texts that are not called translations" [#4], is not merely about classifying corpora or types of translations (as also emerges in points #12 and #13). Far beyond labels and definitions, the question of what counts at a certain historical point as translation is actually about what kind of activity takes place, how it operates, and what its functions are.

Taken from such a broader perspective, a study of this kind could shed light on the role of translation activities in culture building (Even-Zohar 1997; Shavit and Shavit 1977; Toury 1999a; in press) and of cultural receptivity or resistance (Even-Zohar 1997; Drory 1991). AC & RA, however, fail to touch upon any of this; these issues are only briefly implied, as no more than incidental lip service, without being fully integrated into the leading argument: "This aim includes the study of who labels the texts, and for what reason, and whether such attributions change over time" [#4]. Alternatively, its formulation is too general and vague: "TS is interested in exploring the various enabling conditions/reasons/influences/causes of translatorial behavior" [#15] (see also [#17]).

As shown for different case studies in different cultures and periods of time, neither the nature of this activity, nor its scope and accessibility, nor even its existence as a cultural fact, its prosperity or its decline, is self-evident or can be taken for granted. In certain cases, translation may be disguised and used, together with adaptations and writings of original texts, as an amplifying tool for initiating a new corpus in a so-called revived language (Toury 1999). In such cases, the act of translation is not acknowledged, and the products are not distinguished from other sorts of texts. In other cases, translation may be openly promoted as a central authorized means of cultural importation in the service of projects aimed at culture building and at constructing an educated readership (Even-Zohar 1988; Shavit and Shavit 1977), or at establishing a canon (Helgason 1999). Or it may be regarded as a valued source for legitimizing innovations (to the extent that translated texts from respected cultures may gain greater prestige than original writings, Toury 1995a). Sometimes the prosperity of translation can also be due to its serving as main solution for the livelihood of growing circles of intellectuals involved in such projects (Shavit and Shavit 1977). At the same time, it can often be (even in one and the same cultural milieu) both supported as a desired influence on, and rejected as an unjustified competition for, the production of a 'native' literature and culture. In yet other cases, attempts at translation can be rather overlooked and may lose their impact since the source culture is no longer fashionable in the eyes of contemporary taste setters (Drory 1991).

4

Evidently, AC & RA are not totally unaware of this perspective for TS, but they somehow consistently fail to register its full potential. Instead, they tend to elaborate, often at disproportionate length, on relatively secondary topics, leaving some important sporadic insights in the void. One such instance of missing the point seems to be the

discussion of expressing people's "concept of translation as metaphor" [#9]. Beside the fact that the question of metaphor is over-discussed (#9, #10, #11), the trouble is that, again, we see here nothing but yet another way of 'interpreting' the word 'translation'. But what could be gained by it? If all theoretical terms should be considered as metaphorical language (Le., "translation is transfer" [#10], "translation is performance" [#11]), then, the most one can hope to unveil are some latent intents of a theory. Even this is often overstating the case, however. The example of the term 'transfer' best illustrates the pointlessness of this argument, since the question of whether and how "something is indeed transferred" [#10] is after all not just unintentionally 'implied' by this metaphorical term, as suggested, but is rather exactly what the theory of repertoire and culture contact deliberately seeks to deal with, assuming that these 'something(s)' are models, or elements thereof (and the question of how these are traced ad hoc and analyzed is the subject of the theory of repertoire; Even-Zohar 1997a; Sela-Sheffy 1997). On the other hand, exploring metaphors of translation in the less consciously codified, popular everyday language of non-experts, would probably be much more revealing when it comes to the status and function of translation activities in given cultural spaces. Far more compelling than the denotations of metaphors as such is information about their users and their contexts of action.

Put this way, an examination of current uses of metaphors of translation would have fit in better with the project suggested in [#8], namely, "to study the discourse on translation in a particular culture at a particular time". Such a study can evolve into a comprehensive overview of the image(s) of the profession of translation (see, e.g., Jänis 1996), and of the presence and impact of translation activities in a given culture. This kind of research should, of course, deal not only with the choice of vocabulary, but with a whole range of features of people's talk, from the choice of topics, stances and judgments to rhetorical modes and the variety of tactics of position-taking and self-presentation (Sela-Sheffy forthcoming). Indeed, listening to "what people say" about something [#8] could serve as an excellent - although by no means exclusive - tool for tracing those hidden models that serve for classifying and evaluating certain cultural goods, be they products or actions. (Works in cognitive anthropology could serve as a source of inspiration; see, e.g., Holland and Quinn 1987; see also Hofstede 1991.) In this connection, AC & RA make a good point in suggesting that image(s) of translation (i.e., "the question 'what is translation'" in their words [#14]) are necessarily normative (i.e., are "closely linked to the question 'what is a good translation'"; *ibid.*) Unfortunately, however, this observation, like many others, does not lead anywhere. Although what people say does not necessarily coincide with what they do, their expressed classifications can still serve as an important resource for analyzing the organization of a given cultural space and people's strategies of positioning themselves in it. For instance, as the questionnaires mentioned above also disclose, people can often declare that the quality of translation is a crucial factor in their reading enjoyment to the point of controlling their selection of reading (Sela-Sheffy forthcoming). This does not necessarily prevent them from reading what they judge to be "badly translated" texts. Nor does it always make them take an active interest in the work of different translators (most of the respondents to the questionnaires could hardly mention any translators into Hebrew, whether contemporary or past, by name, let alone manifest any knowledge of their translatorial policy). Nevertheless, their replies do reveal that judgment of translation is apparently ranked among the valued intellectual sensitivities, and that claiming to share this qualification is required for presenting oneself as a critical, tasteful educated person.

5

Indeed, point #8, somewhat exceptionally in this document, hints at the fact that the business of translation is an entire field of activities of various kinds made by different agencies ("by the translators themselves, by clients, by society at large, and by translation scholars"), and not just the act of writing translation by people who are assigned the job of translating alone. However, even this leaves much to be desired. The proposed schematic translator-client relations, along with the fashionable outsider eye of the scholar, on the one hand, and the empty category of "society

at large" (whatever this means), on the other, is after all too simplistic, quasi-sociological an explanatory model. It is hardly adequate for dealing with the richness and complexity of forces which keep the dynamics of translation (and of every other cultural activity) going. To begin with, a large variety of institutions and agencies are overlooked here: editors, publishing houses or commercial companies, and their policy of encouraging or discouraging translation; translation criticism, prizes and grants; translators' associations and clubs; as well as literary translators' interactions with authors (including cases where translators are authors) and their aspirations and moves in the intellectual field; and so on. But what is badly missing here - beyond anything specific - is the understanding that all this is a dynamic stratified complex. Even if we choose to confine our discussion to translation products as such, or to the action of individual translators, we have to assume that they are performing as agents in a heterogeneous, hierarchically ordered field, where interactions and competitions are the order of the day. This means that there is always a choice of actions in every domain (e.g., how to write translations, what texts to translate, how to present oneself, etc.), and that adjustments of strategies of action are constantly possible, depending on the players' positions in a given field (Simeoni 1998), on the position of the translated/imported material (Weissbrod 1992), on the status of the source culture, etc.

6

Finally, a word is in order about the conclusion, or the lack thereof, of this document. First, the circularity of its argumentation is especially striking in points #20 and #21. Do we really need to go through all the points in the documents only to come to the conclusion that there are regularities in human behavior and thought, and that these regularities may be systematically studied? As mentioned above with reference to the discussion of 'essentialism', here, too, this premise seems to be a commonplace underlying all branches of human science (but not literary criticism). No less disappointing, however, is the concluding section (points #22-#30), which seems to capture the problems of this document in a nutshell. Under the title "What Consequences Do Translations Have", it simply poses a handful of sporadic, partly recycled ideas, without really attempting to outline an applied research, as might have been expected from the title. Apparently, for lack of a more satisfactory organizing conceptual thread, the same old preoccupation with 'the reader' - again, an echo of literary discourse - comes forth, innocent of any insight regarding questions of cultural consumption and its interdependency with the field of production.

---- Rakefet Sela-Sheffy, "The Suspended Potential of Culture Research in TS"²²⁶

123. (捷克) 维莱姆·马泰修斯 Vilém Mathesius

生平及重要译论:

维莱姆·马泰修斯(又译马西修斯、马泰休斯)Vilém Mathesius, 1882.8.3-1945.4.12, 捷克著名语言学家和文学史家, 1912 年任查理大学(Charles University)第一任英语语言与文学教授, 后任布拉格卡罗林大学英语语言与文学教授。主要从事英语和捷克语的语法学、音系学和语体学以及普通语言学、语言文化等研究, 其关于词序与句法结构的著作是具有开创性的。

马泰修斯是布拉格学派的创始人。在 1926 年 10 月 6 日布拉格语言学会(the Linguistic Circle of Prague)成立的第一次会议上当选该学会第一任主席。布拉格学派是继索绪尔之后最具影响的学派。马泰修斯认为新语法学派对于共时语言的研究重视不够, 而且忽视了对于语言系统整体的观察研究, 更忽视了对于语言声学, 同时也未能从话语主体的角度来对语言进行研究。对于布拉格学派的标准语言(standard language)的语体划分问题, 马泰修斯提出这反映了语言的“灵活的稳定性”(elastic stability), 既反映了语

言的动态性又反映了语言的系统性，从而将索绪尔的辩证语言观又向前推进了一步。在法国古典学者亨利·维尔（Henri Weil）思维顺序理论的基础上，马泰修斯从信息论角度出发将传统的“主语”和“谓语”概念改为“主位”（theme）和“述位”（rheme）概念，这样便将语句传递的信息分为已知信息和新信息，并导致马泰修斯“句子功能前景化”（functional sentence perspective）又称“实际切分”（aktuální členění větné）这一重大理论即从功能角度分析句子理论的诞生，并导致主位（theme）、过渡（transition）和述位（rheme）概念的产生。“句子功能前景化”理论在语言学和翻译理论研究中具有重大和深远的影响。

马泰修斯是从等效翻译的角度来论述翻译理论的。（参阅下面的“译论史稿辑要”）

译论史稿辑要：

哪怕运用不同于原作中的艺术手段，也要让诗歌翻译对读者产生原作同样的作用……相似的或接近相似的手段其效果往往未必相似。因此，追求相同的艺术效果比追求相同的艺术手段更为重要，在翻译诗时尤其如此。²²⁷

124.（捷克）安东·波波维奇 Anton Popovič

生平及重要译论：

安东·波波维奇 Anton Popovič，蜚声国际译坛的捷克翻译理论家，形成于 20 世纪 60 年代的“翻译研究学派”的重要参与者，不幸英年早逝。

波波维奇对于翻译理论的最为引人注目的贡献是其编撰的《文学翻译分析辞典》（*Dictionary for the Analysis of Literary Translation*, 1976），这是翻译理论界第一部文学翻译辞典，收入与文学翻译直接有关的词条一百余条及数十条与翻译及文学交际理论有关的词条。所收词条虽数量有限，但所选的词目却显示了作者对文学翻译研究的深刻创新的思想。如在 shift（转换）条目中，波波维奇将翻译的转换类型分为五种：

- 1）基本转换（*Constitutive shift* (in translation), described as an inevitable shift that takes place as a result of differences between two languages, two poetics and two styles)；
- 2）一般转换（*Generic shift*, where the constitutive features of the text as a literary genre may change)；
- 3）个性转换（*Individual shift*, where the translator's own style and idiolect may introduce a system of individual deviations)；
- 4）负性转换（*Negative shift*, where information is incorrectly translated, due to unfamiliarity with the language or structure of the original)；
- 5）话题转换（*Topical shift*, where topical facts of the original are altered in the translation）。

又如，在 translation（翻译）条目中，波波维奇将翻译分为语际翻译（Interlingual Translation）、语内翻译（Intralingual Translation）、符际翻译（Intersemiotic Translation）、转换翻译、作者（认可的）翻译（Authorized Translation）、编译（Compilative Translation）、隐性翻译（Concealed Translation）、虚拟翻译（Fictitious Translation）等类型。

波波维奇将不可译划分为两类：

1）原语的语言要素无法用译语的结构、线性表达、功能或者语义进行替换，这是由于缺乏相关的字面和所指意义造成的；

2）原语的意义表达关系（即表达对象与表达语言之间的关系）在译语中无法找到相对应的语言表达，这已经超越了纯语言学的范畴。

波波维奇认为理论与实践之间存在一个渐进的运用过程。理论认识是渐进的，理论学科不可能对所有的

实际问题立即作出答复。对翻译中的实践问题，也不能要求立即获得理论上的理解与支持。

译论史稿辑要：

(1)

- (1) *Linguistic equivalence*, where there is homogeneity on the linguistic level of both SL and TL texts, i.e. word for word translation.
- (2) *Paradigmatic equivalence*, where there is equivalence of ‘the elements of a paradigmatic expressive axis’, i.e. elements of grammar, which Popovič sees as being a higher category than lexical equivalence.
- (3) *Stylistic (translational) equivalence*, where there is ‘functional equivalence of elements in both original and translation aiming at an expressive identity with an invariant of identical meaning’.
- (4) *Textual (syntagmatic) equivalence*, where there is equivalence of the syntagmatic structuring of a text, i.e. equivalence of form and shape.

---- Anton Popovič, *Dictionary for the Analysis of Literary Translation*²²⁸

(2)

A situation in which the linguistic elements of the original cannot be replaced adequately in structural, linear, functional or semantic terms in consequence of a lack of denotation or connotation.

...

A situation where the relation of expressing the meaning, i.e. the relation between the creative subject and its linguistic expression in the original does not find an adequate linguistic expression in the translation.

---- op.cit.

(3)

(The translator) is endeavouring to convey the semantic substance of the original in spite of the differences separating the system of the original from that of the translation, in spite of the differences between the two languages and between the two methods of presenting the subject matter.

---- op.cit.²²⁹

(4)

Each individual method of translation is determined by the presence or absence of shifts in the various layers of the translation. All that appears as new with respect to the original, or fails to appear where it might have been expected, may be interpreted as a shift.

[...]

It is not the translator's only business to "identify" himself with the original: that would merely result in a transparent translation. The translator also has the right to differ organically, to be independent[...] Between the basic semantic substance of the original and its shift in another linguistic structure a kind of dialectic tension develops along the axis of faithfulness-freedom.

[...]

Every conception of translation of any real significance and consistency finds its principal manifestation in the shifts of expression, the choice of aesthetic means, and the semantic aspects of the work. Thus in a translation we can as a rule expect certain changes because the question of identity and difference in relation to the original can never be solved without some residue. Identity cannot be the only feature characterizing the relation. This conclusion is inevitable if we consider the force of historical factors and the impossibility of repeating the act of translation as a

creative process.

---- Anton Popovič, *The Concept 'Shift of Expression' in Translation Analysis*²³⁰

125. (捷) 吉里·列维

Jiří Levý



Jiří Levý

生平及重要译论：

吉里·列维（又译莱维），Jiří Levý (8. srpna 1926 – 17. ledna 1967)，蜚声国际译坛的捷克翻译理论家，不幸英年早逝。

列维是布拉格学派有代表性人物之一，是捷克现代翻译研究的先驱。主要翻译理论代表作品有专著《翻译的艺术》（*Umění Překlady*, 1963）、《文学翻译理论与实践》（*Die literarische Übersetzung: Theorie einer Kunstgattung*, 1969）及论文《翻译理论对翻译工作者有用吗？》（*Will Translation Theory Be of Use to Translators?*, 1965）、《翻译即是做决定的过程》（*Translation as a Decision Making Process. To Honor Roman Jakobson*, 1967）等。

列维运用语言学理论来讨论文学翻译的标准和技巧等问题。他的翻译理论集中体现在三个方面：

1) “文学翻译重在再创作”。

列维认为文学翻译就是要尽量保持译作的艺术性和与原作相同的艺术感染力，使读者能从中获得智慧、知识和美感；

2) “翻译应当使读者产生幻觉”。

列维认为译者应该隐身于原作之后而以原作者的面目出现，使读者感到宛如直接在读原作而不是译作；

3) “翻译即是做决定的过程”。

翻译即是要译者在一系列的选择中作出选择，前面已作的选择将为后面的选择确定一定的语境，即每一个选择要受到前面选择的制约。这种选择将贯穿于整个翻译过程。

列维这样看待翻译：

翻译不是单向的行为，而是两种语言结构的相互交融。译者一方面必须考虑原文的语义内容和形式结构，另一方面还必须考虑译文本身美学特征的整个系统。²³¹

翻译既然要求译者进行选择，（参阅下面的“译论史稿辑要”）因此列维提出关于翻译的“游戏”理论：

a game with complete information[...] a game in which every succeeding move is influenced by the knowledge of previous decisions.²³²

列维还强调从多方面研究译者的个性问题，他说：

可以把译作看作是译者个性的表现，从而分析在已经完成的译作中译者个人风格的成分和译者所作的创造性阐述。考虑到译者也是自己时代和自己民族的作家，也可以从两个民族文学发展的差异、从两个时代诗学的差异的角度去分析译者的诗学。最后，还可以把译者的翻译方法视作特定翻译标准、特定翻译时代的反映，透过译作对这些问题进行研究。²³³

译论史稿辑要：

（1）

The illusionistic translator hides behind the original, which he presents to the reader without an intermediary, as it were, in order to create in him a translator's illusion, namely, the illusion that he is reading the original. In all cases, it is an illusion founded on an understanding with the reader or spectator: the theater-goer knows that what he sees on the stage is not reality, but he demands that it look like reality; the reader of a novel knows that the story he is reading is fictional, but he insists that the novel observe the rules of probability. In a similar way, the reader of a translation knows he is not reading the original, but he demands that the translation preserve the quality of the original [...] Our book thus tries to develop an 'illusionistic theory of translation.

[...]

Because of the incongruence in linguistic material, perfect agreement of meaning between expressions in the translation and those in the original is not possible [...] and [...] therefore interpretation [is] necessary.

---- Jiří Levý, *Die literarische Übersetzung. Theorie einer Kunstgattung*²³⁴

（2）

In general, one can say that with words that have several expressive functions, the function in the semantic complex of the higher order is the more important one, be it the context (the sentence, the paragraph etc.), be it the character of a person, the fable or the philosophical objective of a work. The highest complex of expression, sometimes referred to as the idea of the work, its world view, dominates the solution of problems in some lower unit, e.g. when choosing the stylistic level, and this in turn determines the solution of problems of detail. (1969:104f., translation my own)

---- Jiří Levý, *Die literarische Übersetzung. Theorie einer Kunstgattung*²³⁵

（3）

A translation is not a monistic composition, but an interpenetration and conglomerate of two structures. On the one hand there are the semantic content and the formal contour of the original, on the other hand the entire system of aesthetic features bound up with the language of the translation.

---- Jiří Levý, *Umeni prekladu (The Art of Translation)*²³⁶

(4)

As in all semiotic processes, translation has its *Pragmatic dimension* as well. Translation theory tends to be normative, to instruct translators on the OPTIMAL solution; actual translation work, however, is pragmatic; the translator resolves for that one of the possible solutions which promises a maximum of effect with a minimum of effort. That is to say, he intuitively resolves for the so-called MINIMAX STRATEGY?

---- Jiří Levý, *Die literarische Übersetzung. Theorie einer Kunstgattung*²³⁷

(5)

What degree of utility is ascribed to various stylistic devices and to their preservation in different types of literature...? What is the relative importance of linguistic standards and of style in different types of literature...? What must have been the assumed quantitative composition of the audiences to whom translators of different times and of different types of texts addressed their translations?

---- Jiří Levý, "Translation as a Decision Making Process"²³⁸

(6)

When choosing from among several equivalents or quasi-equivalents for a foreign term, a translator inevitably tends to choose a general term, whose meaning is broader than that of the original one, and in consequence is devoid of some of its specific semantic traits[...] The second most striking phenomenon[...] was the fact that in constructing his sentences a translator tends to explain the logical relations between ideas even where they are not expressed in the original text, to explain away any breaks in thought or changes in perspective, to 'normalize' the expression.

---- Jiří Levý, *Will Translation Theory Be of Use to Translators?*²³⁹

(7)

[...] rational analysis -- as opposed to subjective impressions -- dealing with the problems [of translation] not only by means of linguistics and of aesthetics, as we have been used to doing, but by a compound analytical methodology including psycholinguistics, structural anthropology, semantics, and all the disciplines (and 'interdisciplines') which today are used in the research into communication processes.

---- Jiří Levý, *Will Translation Theory Be of Use to Translators?*²⁴⁰

(8)

From the teleological point of view translation is a process of communication[...]. From the point of view of the translator at any moment in his work, it is a decision process: a series of a certain number of consecutive situations[...] imposing on the translator the necessity of choosing among a certain (and often exactly definable) number of alternatives.²⁴¹

(9)

Only a part of the literature on the problem of translation moves on the theoretical plane. Until today most studies and book publications, especially on literary translation, have not gone beyond the limits of empirical deliberations or essayistic aphorisms.

[...]

[...] the literary translator is concerned with equivalents that have as many common denominators with the original as possible.

---- Jiří Levý, *Die literarische Übersetzung: Theorie einer Kunstgattung*²⁴²

(10)

Translation is possible when the onomatopoeic sound sequence obtains conceptual values or word character, as is the case with the 'language' of domestic animals and the most common sounds of nature. However, it is not possible to translate or substitute sound-imitating sequences that constitute a unique imitation of a sound of nature created ad hoc. Here phonetic transcription alone is possible.

[...]

In *Waste Land* Pierre Legris replaces the onomatopoeic allusion 'Jug. jug, jug, jug, jug, jug' to a nightingale by the French equivalent 'Tio, Tio, Tio, Tio, Tio, Tio'.

[...]

Foreign currencies cannot be converted because a currency is always specific to a certain country and the use of Mark would localise the translation in Germany.

---- Jiří Levý, *Die literarische Übersetzung: Theorie einer Kunstgattung*²⁴³

(11)

A weakening of syntactic relations in verse follows simply from the fact that these are not the only organising factors. The continuity of the sentence in verse is broken by verse boundaries (...), and conversely individual parts that do not cohere syntactically are linked by rhyme and other formal parallelisms. All this contributes to the independence of smaller segments and a weakening of connectives and syntactic functions. (1969:174, translation my own)

---- Jiří Levý, *Die literarische Übersetzung: Theorie einer Kunstgattung*²⁴⁴

126. (法) 乔治·穆南

Georges Mounin

生平及重要译论

乔治·穆南 Georges Mounin, 1910-1993, 法国著名语言学家、翻译理论家, 法国普鲁旺斯大学语言学与符号学教授。法国翻译的语言学理论创始人和主要代表。著述颇丰, 主要有《不忠的美人》(*Les Belles Infidèles*, 1955)、《翻译的理论问题》(*Les Problèmes Théoriques de la traduction*, 1963)、《机器翻译》(*La Machine à traduire. Histoire des problèmes linguistiques*, 1964)、《语言学史——自其起源至二十世纪》(1967)、《语言学与翻译》(*Linguistique et traduction*, 1976)、《符号的实践》(*Semiotic Praxis*, 1985)等。

《翻译的理论问题》是穆南著名的国家博士论文的题目, 于 1963 年 6 月通过答辩, 被西方译学界誉为划时代的翻译理论著作。该论文明确提出系统性翻译理论研究的必要性并从多角度对翻译进行探讨, 为翻译理论的发展研究奠定了坚实的理论基础。

首先, 穆南对翻译研究与语言学的关系进行了探讨。他认为翻译基本上应该属于语言学的范畴:

Translation is primarily and universally a linguistic operation.

但同时他又承认翻译不应该仅仅限于语言学的范畴:

[...] it is never solely and exclusively a linguistic operation.²⁴⁵

他认为虽然翻译象医术一样可以说是一种艺术，但翻译却属于一种特殊的语言活动，是一种建立在科学基础之上的艺术，因此翻译应该被纳入语言理论的研究范围：

翻译和医术一样，可以说是一种艺术，但是一种建立于一门科学基础之上的艺术。翻译的许多问题，诸如翻译活动的正当性、可行性等基本问题，都可以从语言科学的研究成果中得到启示。²⁴⁶

而事实却又令穆南感到异常不安：

关于翻译活动的科学研究，更为令人奇怪的是：任何一部完整的哲学论著都得将语言理论包括在内，但是语言理论却从不把翻译作为语言活动加以研究列入自己的范围。翻译是一种特殊的、但也是普遍的语言活动，也许对语言和思维的研究都有一定启示。最近问世的有关语言学综合研究的重要著作对这一点也只字不提。翻译作为语言现象和独特的语言问题至今无人过问。在费尔迪南·德·索绪尔、叶斯伯森、萨丕尔、布龙菲尔德的论著中，难以寻找到四五处提及翻译的只言片语。被提及时，翻译事实上也往往只起个旁注的作用，用于论证与翻译毫不相关的某个观点，几乎从未就翻译而论及翻译。²⁴⁷

关于翻译与意义的问题，穆南经对索绪尔、布龙菲尔德、叶姆斯列夫、哈里斯等现代语言学分析研究后认为，语言学关于意义及语言形式的研究有助于对于翻译可译性的理解，而人们对意义的传统认识是不科学的。他认为，“意义的捕捉——不再出于文学和文体学的原因，而是出于语言学本身的甚至符号学的原因——是，或者是十分困难的，不够确切的、偶然的……虽然根据不同的情况和环境指出了一些迄今为止未被人们认识到的限度，但既未损害翻译活动理论上的正当性，也未损害翻译活动实践上的可行性。”²⁴⁸

关于翻译与“世界映象”理论，穆南对新洪堡主义等学派的语言哲学观分析研究后认为，人们也需要对语言结构重新进行认识。他认为，人们对翻译的错误认识即来源于对语言的简单化认识（即语言的结构多多少少直接源于宇宙的结构和人类思维的普遍结构，因而翻译才具有可译性）：

如此看来，翻译的困难源自于一些偶然性的情况，如译者没有抓住出发语某一表达法的全部内容实体，致使传译不完整；或如译者对目的语中丰富的内容形式和表达形式了解不充分，运用有误。在这两种情况中，翻译的错误都是译者造成的错误。若避免了这两类错误，那翻译的其他困难都仅仅来自于审美的差异，而不属于语言学的问题，如果原作很美，而译者与之相比无法令人满意，那是因为译者没有才气。²⁴⁹

对于新洪堡学派关于意义如果没有普遍性保证便无法捕捉的观点，穆南提出质疑：

难道我们真的只是在一个我们的语言已经定下模式的宇宙里思维吗？难道我们真的仅仅通过一门特殊语言的变形镜看待世界，以至于我们从每一门特殊语言中得到的（同一现实）不同的图景永远无法准确地重叠吗？难道真的当我们用两种不同的语言表述世界时，我们所表述的永远都不是一个完全同一的世界，致使不仅仅从一门语言到另一门语言的翻译不合理，而且科学意义上的任何翻译在实际上都是不可能的吗？²⁵⁰

当然，穆南也并不同意完全回避或否认新洪堡学派关于语言与“世界映象”关系的观点：

我们必须接受——而不是回避、否认，甚至视而不见——这些看似摧毁了翻译的可行性的事实，只有在这一基础上，翻译的理论问题才有可能被理解，甚或得到解决。²⁵¹

关于翻译与语言交流，穆南非常同意西方一些哲学家、心理学家、文学家及语言学家所提出的假设：

假设人际的交流是不可能的，人们在任何时候都无法交流任何东西。因此，翻译也就不可能，因为语言本身无法保证人们相互之间的交流，甚至连同一语言之间的交流都无法保障。²⁵²

因此他认为了解人类交流的情况对翻译的研究是至关重要的。

关于翻译的可译性及其限度问题，穆南认为翻译研究的重点应该是：

要探讨翻译者的‘实践’活动相对而言为何又怎样是可行的，尤其要弄清翻译活动的程度和限度。²⁵³

穆南进一步从“语言共相”角度论述语言交流和翻译的可行性：

对一种处在创始阶段的翻译和交际理论来说，只要承认存在这种共相现象，也就足够了，不管在语言学家看来，这些共相现象是些多么‘基础’的现象。翻译者可以说，只要你给我两门不同语言中的某一特定主题的某一共同参照点，我就可以掀起整个世界。只要给我一个‘现在时’的共同参照系的共同点，我们就可以重新确定一个适用于两种语言各种时间概念的交际体系。²⁵⁴

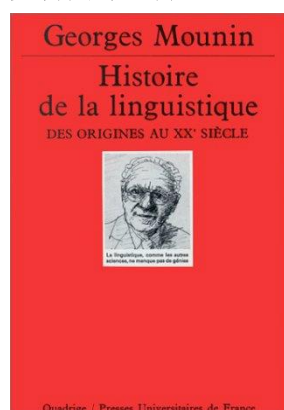
穆南重视当代语言学理论的研究成果，客观分析各学派思想观点，拓展了翻译理论研究的领域。特别值得一提的是，他对翻译活动及可译性等问题以发展、辩证的观点来审视，他说：

翻译活动的成就是相对的，它所能达到的交流思想的水平是变化发展的。²⁵⁵

他还说：

在开始翻译的时候，译者对于情境、信息以及基本的规则都有清醒的认识，但由于翻译的过程本身涉及到语言的完整性、语言的主观信息、上下文情境的比较以及其他各种关系的研究，因此，通过翻译进行交流绝不是成功的、完全的。但这同时也证明，通过翻译进行交流绝不是不可能的。²⁵⁶

史料图片编辑：



Georges Mounin, 1910-1993

and his *Histoire de la linguistique*

译论史稿辑要

(1)

Translation may always start with the clearest situations, the most concrete messages, the most elementary universals. But as it involves the consideration of a language in its entirety, together with its most subjective messages, through an examination of common situations and a multiplication of contacts that need clarifying, then there is no doubt that communication through translation can never be completely finished, which also demonstrates that it is never wholly impossible either.

---- Georges Mounin, *Les problèmes théoriques de la traduction* (Theoretical Problems of Translation)²⁵⁷

(2)

Toute opération de traduction[...] comporte à la base, une série d'analyses et opérations qui relèvent spécifiquement de la linguistique[...] la traduction reste un art--mais un art fondé sur une science.

---- Georges Mounin, *Les problèmes théoriques de la traduction*²⁵⁸

(3)

Tel est le vaste ensemble de raisons pour lesquelles on peut parler d'universaux de langage: cosmologie, biologie, physiologie, psychologie, sociologie, anthropologie culturelle et linguistique elle-même contribuent à dresser ce vaste inventaire de traits communs, grâce auxquels le nombre des références et des dénnotations communes permet le passage de toute langue en toute langue, pour de très vastes secteurs de l'expérience humaine, qui vont s'élargissant[...] il faut conclure aussi que la traduction de toute langue en toute langue est au moins possible dans le domaine des universaux.

---- Georges Mounin, *Les problèmes théoriques de la traduction*²⁵⁹

(4)

Quand on dit que la traduction est impossible, neuf fois sur dix, on pense à ces connotations qui mettent en cause non seulement la possibilité de transfert de civilisation, de 'vision du monde' à 'vision du monde', de langue à langue, mais finalement, d'individu à individu même à l'intérieur d'une civilisation, d'une 'vision du monde', d'une langue qui leur sont communes. En fin de compte, la notion de connotation pose à la théorie de la traduction le problème, soit de la possibilité, soit des limites de la communication interpersonnelle intersubjective.

---- Georges Mounin, *Les problèmes théoriques de la traduction*²⁶⁰

(5)

Prior to faithfulness to the wording, to grammar, to syntax and even to the style of each individual sentence in the text must be faithfulness to that which made this piece a success in its original country. One has to translate its effectiveness on stage first before giving consideration to the reproduction of its literary or poetic qualities, and if in this conflicts should arise, then priority must be given to the effectiveness on stage.

---- G. Mounin, *Die Übersetzung: Geschichte, Theorie, Anwendung*²⁶¹

127. (法) 乔治·斯坦纳 George Steiner



George Steiner, 1929-

生平及重要译论：

乔治·斯坦纳 George Steiner, 1929.1.23-，美国学者、翻译理论家。出生于巴黎，长期居住在英国，对英、德、法三种语言十分精通。其家庭于 1940 年移居美国。其本人曾就读于巴黎大学、芝加哥大学、哈佛大学、牛津 Balliol 学院等，曾在普林斯顿大学（1959）、纽约大学、耶鲁大学、剑桥大学（1961）、日内瓦大学（University of Geneva, 1974-1994）等多所著名大学任教，主要讲授英语、比较文学、语言学和翻译理论，造诣深厚，知识渊博，被认为是英国文学阐释学派最有影响的翻译理论家。曾获美国、英国、法国等各国颁发的各种荣誉。

斯坦纳著述繁多，最具代表性的翻译专著则是英语版的《通天塔之后——语言与翻译面面观》（*After Babel: Aspects of Language and Translation*, 1975），出版后一版再版，并曾被制作作为电视纪录片，片中该书称为《人类的语言》（*The Tongues of Men*, 1977），可见其在语言学和翻译理论领域的先驱地位，该书也成为西方现代翻译研究的重要文献。该书书名本身即显示出作者“研究翻译就是研究语言”的思想观点。

斯坦纳对语言与翻译的论述是从哲学、语言学、诗学、文学批评、文化史学、阐释学（hermeneutics）等各方面全方位多角度进行的，对“理解即翻译”（第一章：Understanding as Translation）、语言的本质与拓扑结构（第二章：Language and Gnosis）、语言与物的关系（第三章：Word Against Object）；历史上的译学理论（第四章：The Claims of Theory）、翻译的步骤（第五章：The Hermeneutic Motion）、语符的传译（第六章：Topologies of Culture）等语言与翻译的根本问题进行独到的论述。

斯坦纳并不盲目追随任一学派，而是独树一帜地站在自己的阐释学理论学派（hermeneutic theorist）的立场上分析语言与翻译。他一反将重心放在语言的表达手段上的传统，而是采用阐释学的方法，将语言的相互作用作为分析的中心，强调对语言交流具有重大意义的语言认识意义和感情意义的理解。并由此推断语言交流存在困难，但只要这种交流存在着翻译便是可能的：

语际层次的翻译会引出堆积在一起的、显然难以解决的问题，但在语内交流这个更加隐蔽的或历来被人们忽视的层次上，这些问题同样大量地存在……不管是语内还是语际，人类的交流都等同于翻译。

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斯坦纳将历时（diachronic）和共时（synchronic）概念引入语言研究中，这样翻译便始终贯穿于历时和共时的语言现象中，而语言交流正是通过翻译来实现的。斯坦纳由此得出重要结论，即语言的产生和理解过程即为翻译的过程，“理解即翻译”，翻译即是语言的基本因素，而翻译的基础则是作为整体存在的语言。

关于语言和翻译的本质，斯坦纳根据其阐释学派理论提出翻译的四个步骤，即：1）信赖（trust）；2）侵入（aggression）；3）吸收（incorporation）；4）补偿（restitution）。译者在翻译之前必然要经历“信赖”即相信原作的价值，而译者对原作的理解过程便是“侵入”过程，不可避免掺入译者的个人主观因素；侵入的

目的是为了“吸收”，而“补偿”吸入过程中出现的失衡也是必须的，唯如此才能最终达到理想的翻译。（参阅下面的“译论史稿辑要”3）

斯坦纳还对“文化的拓扑结构”进行了深入的研究和论述。

史料图片选辑：



George Steiner

译论史稿辑要：

（1）

'Interpretation' as that which gives language life beyond the moment and place of immediate utterance or transcription, is what I am concerned with. The French word *interprète* concentrates all the relevant values. An actor is *interprète* of Racine; a pianist gives une *interprétation* of a Beethoven sonata. Through engagement of his own identity, a critic becomes *un interprète* -- a life-giving performer -- of Montaigne or Mallarmé. As it does not include the world of the actor, and includes that of the musician only by analogy., the English term interpreter is less strong. But it is congruent with French when reaching out in another crucial direction. *Interprète/interpreter* are commonly used to mean translator.

This, I believe, is the vital starting point.

When we read or hear any language-statement from the past, be it Leviticus or last year's best-seller, we translate. Reader, actor, editor are translators of language out of time. The schematic model of translation is one in which a message from a source-language passes into a receptor-language via a transformational process. The barrier is the obvious fact that one language differs from the other, that an interpretative transfer, sometimes, albeit misleadingly, described as encoding and decoding, must occur so that the message 'gets through'. Exactly the same model -- and this is what is rarely stressed -- is operative within a single language. But here the barrier or distance between source and receptor is time. As we have seen, the tools employed in both operations are correlate: both the 'external' and 'internal' translator/*interprète* have recourse to lexica, historical grammars, glossaries of particular periods, professions, or social milieux, dictionaries of argot, manuals of technical terminology. In either case the means of penetration are a complex aggregate of knowledge, familiarity., and re-creative intuition. In either case also, as we shall see, there are characteristic penumbras and margins of failure. Certain elements will elude complete comprehension or revival. The time-barrier may be more intractable than that of linguistic difference. Any bilingual translator is acquainted with the phenomenon of 'false friends'--homonyms such as French *habit* and English *habit* which on occasion might, but almost never do, have the same meaning, or mutually untranslatable cognates such as English *home* and German *Heim*. The 'translator within' has to cope with subtler treasons. Words rarely show any outward mark of altered meaning, they body forth their history only in a fully established context. Where a passage ix

historically remote, say in Chaucer, the business of internal translation tends towards being a bilingual process: eye and ear are kept alert to the necessity, of decipherment. The more seemingly standardized the language -- the outward cast of the modern comes in with great speed after Dryden -- the more covert are indices of semantic dating. We read as if time has had a stop. Thus a good deal of our theatre and the mass of our current literacy are founded on lazy translation. The received message is thinned and distorted. But so it is, more often than not, in a transfer between languages.

[...]

This metaphysics of the instant, this slamming of the door on the long galleries of historical consciousness, is understandable. It has a fierce innocence. It embodies yet another surge towards Eden, towards that pastoral before time (there could be no autumn before the apple was off the branch, no fall before the Fall) which the eighteenth century sought in the allegedly static cultures of the south Pacific. But it is an innocence as destructive of civilization as it is, by concomitant logic, destructive of literate speech. Without the true fiction of history, without the unbroken animation of a chosen past, we become flat shadows. Literature, whose genius stems from what Éluard called *le dur désir de durer*, has no chance of life outside constant translation within its own language. Art dies when we lose or ignore the conventions by which it can be read, by which its semantic statement can be carried over into our own idiom -- those who have taught us how to reread the Baroque, for example, have extended the backward reach of our senses. In the absence of interpretation, in the manifold but generically unified meaning of the term, there could be no culture, only an inchoate silence at our backs. In short, the existence of art and literature, the reality of felt history in a community, depend on a never-ending, though very often unconscious, act of internal translation. It is no overstatement to say that we possess civilization because we have learnt to translate out of time.

--- George Steiner, *After Babel: Aspects of Language and Translation*²⁶³

(2)

[...]

I have been putting forward a truism, but one whose great importance and consequences usually go unexamined.

Any model of communication is at the same time a model of translation, of a vertical or horizontal transfer of significance. No two historical epochs, no two social classes, no two localities use words and syntax to signify exactly the same things, to send identical signals of valuation and inference. Neither do two human beings. Each living person draws, deliberately or in immediate habit, on two sources of linguistic supply: the current vulgate corresponding to his level of literacy, and a private thesaurus. The latter is inextricably a part of his subconscious, of his memories so far as they may be verbalized, and of the singular, irreducibly specific ensemble of his somatic and psychological identity. Part of the answer to the notorious logical conundrum as to whether or not there can be 'private language' is that aspects of every language-act are unique and individual. They form what linguists call an 'idiolect'. Each communicatory gesture has a private residue. The 'personal lexicon' in every one of us inevitably qualifies the definitions, connotations, semantic moves current in public discourse. The concept of a normal or standard idiom is a statistically-based fiction (though it may, as we shall see, have real existence in machine-translation). The language of a community, however uniform its social contour, is an inexhaustibly multiple aggregate of speech-atoms, of finally irreducible personal meanings.

The element of privacy in language makes possible a crucial, though little understood, linguistic function. Its importance relates a study of translation to a theory of language as such. Obviously, we speak to communicate. But also to conceal, to leave unspoken. The ability of human beings to misinform modulates through every wavelength from outright lying to silence. This ability is based on the dual structure of discourse: our outward speech has 'behind it' a concurrent flow of articulate consciousness. 'Al conversar vivimos en sociedad,' wrote Ortega y Gasset, 'al pensar nos quedamos solos.' In the majority of conventional, social exchanges, the relation between these two speech

currents is only partially congruent. There is duplicity. The 'aside' as it is used in drama is a naive representation of scission: the speaker communicates to himself (thus to his audience) all that his overt statement to another character leaves unsaid. As we grow intimate with other men or women, we often 'hear' in the slightly altered cadence, speed, or intonation of whatever they are saying to us the true movement of articulate but unvoiced intent. Shakespeare's awareness of this twofold motion is unfailing. Desdemona asks of Othello, in the very first, scarcely realized instant of shaken trust, 'Why is your speech so faint?'

Thus a human being performs an act of translation, in the full sense of the word, when receiving a speech-message from any other human being. Time, distance, disparities in outlook or assumed reference, make this act more or less difficult. Where the difficulty is great enough, the process passes from reflex to conscious technique. Intimacy, on the other hand, be it of hatred or of love, can be defined as confident, quasi-immediate translation. Having kept the same word-signals bounding and rebounding between them like jugglers' weights, year after year, from horizon to horizon, Beckett's vagrants and knit couples understand one another almost osmotically. With intimacy, the external vulgate and the private mass of language grow more and more concordant. Soon the private dimension penetrates and takes over the customary forms of public exchange. The stuffed-animal and baby-speech of adult lovers reflects this take-over. In old age the impulse towards translation wanes and the pointers of reference turn inward. The old listen less or principally to themselves. Their dictionary is, increasingly, one of private remembrance.

I have been trying to state a rudimentary but decisive point: interlingual translation is the main concern of this book, but it is also a way in, an access to an inquiry into language itself. 'Translation', properly understood, is a special case of the arc of communication which every successful speech-act closes within a given language. On the inter-lingual level, translation will pose concentrated, visibly intractable problems; but these same problems abound, at a more covert or conventionally neglected level, intralingually. The model 'sender to receiver' which represents any semiological and semantic process is ontologically equivalent to the model 'source-language to receptor-language' used in the theory of translation. In both schemes there is 'in the middle' an operation of interpretative decipherment, an encoding-decoding function or synapse. Where two or more languages are in articulate interconnection, the barriers in the middle will obviously be more salient, and the enterprise of intelligibility more conscious. But the 'motions of spirit', to use Dante's phrase, are rigorously analogous. So, as we shall see, are the most frequent causes of misunderstanding or, what is the same, of failure to translate correctly. In short: *inside or between languages, human communication equals translation*. A study of translation is a study of language.

The fact that tens of thousands of different, mutually incomprehensible languages have been or are being spoken on our small planet is a graphic expression of the deeper-lying enigma of human individuality, of the bio-genetic and bio-social evidence that no two human beings are totally identical. The affair at Babel confirmed and externalized the never-ending task of the translator - it did not initiate it. Logically considered, there was no guarantee that human beings would understand one another, that idiolects would fuse into the partial consensus of shared speech-forms. In terms of survival and social coherence such fusion may have proved to be an early and dramatic adaptive advantage. But, as William James observed, 'natural selection for efficient communication' may have been achieved at a considerable cost. This would have included not only the ideal of a totally personal voice, of a unique 'fit' between an individual's expressive means and his world-image, pursued by the poets. It meant also that the 'bright buzz' of non-verbal articulate codes, the sensory modes of smell, gesture, and pure tone developed by animals, and perhaps extrasensory forms of communication (these are specifically adduced by James) all but vanished from the human repertoire. Speech would be an immensely profitable but also reductive, partially narrowing evolutionary selection from a wider spectrum of semiotic possibilities. Once it was 'chosen' translation became inevitable.

[...]

---- George Steiner, *After Babel: Aspects of Language and Translation*²⁶⁴

(3)

THE hermeneutic motion, the act of elicitation and appropriative transfer of meaning, is fourfold. There is initiative trust, an investment of belief, underwritten by previous experience but epistemologically exposed and psychologically hazardous, in the meaningfulness, in the 'seriousness' of the facing or, strictly speaking, adverse text. We venture a leap: we grant *ab initio* that there is 'something there' to be understood, that the transfer will not be void. All understanding, and the demonstrative statement of understanding which is translation, starts with an act of trust. This confiding will, ordinarily, be instantaneous and unexamined, but it has a complex base. It is an operative convention which derives from a sequence of phenomenological assumptions about the coherence of the world, about the presence of meaning in very different, perhaps formally antithetical semantic systems, about the validity of analogy and parallel. The radical generosity of the translator ('I grant beforehand that there must be something there'), his trust in the 'other', as yet untried, unmapped alternity of statement, concentrates to a philosophically dramatic degree the human bias towards seeing the world as symbolic, as constituted of relations in which 'this' can stand for 'that', and must in fact be able to do so if there are to be meanings and structures.

But the trust can never be final. It is betrayed, trivially, by nonsense, by the discovery that 'there is nothing there' to elicit and translate. Nonsense rhymes, *poésie concrète*, glossolalia are untranslatable because they are lexically non-communicative or deliberately insignificant. The commitment of trust will, however, be tested, more or less severely, also in the common run and process of language acquisition and translation (the two being intimately connected). 'This means nothing' asserts the exasperated child in front of his Latin reader or the beginner at Berlitz. The sensation comes very close to being tactile, as of a blank, sloping surface which gives no purchase. Social incentive, the officious evidence of precedent -- 'others have managed to translate this bit before you' -- keeps one at the task. But the donation of trust remains ontologically spontaneous and anticipates proof, often by a long, arduous gap (there are texts, says Walter Benjamin, which will be translated only 'after us'); As he sets out, the translator must gamble on the coherence, on the symbolic plenitude of the world. Concomitantly he leaves himself vulnerable, though only in extremity and at the theoretical edge, to two dialectically related, mutually determined metaphysical risks. He may find that 'anything' or 'almost anything' can mean 'everything'. This is the vertigo of self-sustaining metaphoric or analogic enchainment experienced by medieval exegetists. Or he may find that there is 'nothing there' which can be divorced from its formal autonomy, that every meaning worth expressing is monadic and will not enter into any alternative mould. There is Kabbalistic speculation, to which I will return, about a day on which words will shake off 'the burden of having to mean' and will be only themselves, blank and replete as stone.

After trust comes aggression. The second move of the translator is incursive and extractive. The relevant analysis is that of Heidegger when he focuses our attention on understanding as an act, on the access, inherently appropriative and therefore violent, of *Erkenntnis* to *Dasein*. *Da-sein*, the 'thing there', 'the thing that is because it is there', only comes into authentic being when it is comprehended, i.e. translated. The postulate that all cognition is aggressive, that every proposition is an inroad on the world, is, of course, Hegelian. It is Heidegger's contribution to have shown that understanding, recognition, interpretation are a compacted, unavoidable mode of attack. We can modulate Heidegger's insistence that understanding is not a matter of method but of primary being, that 'being consists in the understanding of other being' into the more naive, limited axiom that each act of comprehension must appropriate another entity (we translate *into*). Comprehension, as its etymology shows, 'comprehends' not only cognitively but by encirclement and ingestion. In the event of interlingual translation this manoeuvre of comprehension is explicitly invasive and exhaustive. Saint Jerome uses his famous image of meaning brought home captive by the translator. We 'break' a code: decipherment is dissective, leaving the shell smashed and the vital layers stripped. Every schoolchild, but also the eminent translator, will note the shift in substantive presence which follows on a protracted or difficult exercise in translation: the text in the other language has become almost materially thinner, the light seems to pass unhindered through its loosened fibres. For a spell the density of hostile or seductive 'otherness' is dissipated. Ortegay

Gasset speaks of the sadness of the translator after failure. There is also a sadness after success, the Augustinian *tristitia* which follows on the cognate acts of erotic and of intellectual possession.

The translator invades, extracts, and brings home. The simile is that of the open-cast mine left an empty scar in the landscape. As we shall see, this despoliation is illusory or is a mark of false translation. But again, as in the case of the translator's trust, there are genuine borderline cases. Certain texts or genres have been exhausted by translation. Far more interestingly, others have been negated by transfiguration, by an act of appropriative penetration and transfer in excess of the original, more ordered, more aesthetically pleasing. There are originals we no longer turn to because the translation is of a higher magnitude (the sonnets of Louise Labé after Rilke's *Umdichtung*). I will come back to this paradox of betrayal by augment.

The third movement is incorporative, in the strong sense of the word. The import, of meaning and of form, the embodiment, is not made in or into a vacuum. The native semantic field is already extant and crowded. There are innumerable shadings of assimilation and placement of the newly-acquired, ranging from a complete domestication, an at-homeness at the core of the kind which cultural history ascribes to, say, Luther's Bible or North's Plutarch, all the way to the permanent strangeness and marginality of an artifact such as Nabokov's 'English-language' *Onegin*. But whatever the degree of 'naturalization', the act of importation can potentially dislocate or relocate the whole of the native structure. The Heideggerian 'we are what we understand to be' entails that our own being is modified by each occurrence of comprehensive appropriation. No language, no traditional symbolic set or cultural ensemble imports without risk of being transformed. Here two families of metaphor, probably related, offer themselves, that of sacramental intake or incarnation and that of infection. The incremental values of communion pivot on the moral, spiritual state of the recipient. Though all decipherment is aggressive and, at one level, destructive, there are differences in the motive of appropriation and in the context of 'the bringing back'. Where the native matrix is disoriented or immature, the importation will not enrich, it will not find a proper locale. It will generate not an integral response but a wash of mimicry (French neo-classicism in its north-European, German, and Russian versions). There can be contagions of facility triggered by the antique or foreign import. After a time, the native organism will react, endeavouring to neutralize or expel the foreign body. Much of European romanticism can be seen as a riposte to this sort of infection, as an attempt to put an embargo on a plethora of foreign, mainly French eighteenth-century goods. In every pidgin we see an attempt to preserve a zone of native speech and a failure of that attempt in the face of politically and economically enforced linguistic invasion. The dialectic of embodiment entails the possibility that we may be consumed.

This dialectic can be seen at the level of individual sensibility. Acts of translation add to our means; we come to incarnate alternative energies and resources of feeling. But we may be mastered and made lame by what we have imported. There are translators in whom the vein of personal, original creation goes dry. MacKenna speaks of Plotinus literally submerging his own being. Writers have ceased from translation, sometimes too late, because the inhaled voice of the foreign text had come to choke their own. Societies with ancient but eroded epistemologies of ritual and symbol can be knocked off balance and made to lose belief in their own identity under the voracious impact of premature or indigestible assimilation. The cargo-cults of New Guinea, in which the natives worship what airplanes bring in, provide an uncannily exact, ramified image of the risks of translation.

This is only another way of saying that the hermeneutic motion is dangerously incomplete, that it is dangerous because it is incomplete, if it lacks its fourth stage, the piston-stroke, as it were, which completes the cycle. The a-prioristic movement of trust puts us off balance. We 'lean towards' the confronting text (every translator has experienced this palpable bending towards and launching at his target). We encircle and invade cognitively. We come home laden, thus again off-balance, having caused dis-equilibrium throughout the system by taking away from 'the other' and by adding, though possibly with ambiguous consequence, to our own. The system is now off-tilt. The hermeneutic act must compensate. If it is to be authentic, it must mediate into exchange and restored parity.

The enactment of reciprocity in order to restore balance is the crux of the *métier* and morals of translation. But it is very difficult to put abstractly. The appropriative 'rapture' of the translator--the word has in it, of course, the root and meaning of violent transport -- leaves the original with a dialectically enigmatic residue. Unquestionably there is a dimension of loss, of breakage -- hence, as we have seen, the fear of translation, the taboos on revelatory export which hedge sacred texts, ritual nominations, and formulas in many cultures. But the residue is also, and decisively, positive. The work translated is enhanced. This is so at a number of fairly obvious levels. Being methodical, penetrative, analytic, enumerative, the process of translation, like all modes of focused understanding, will detail, illumine, and generally body forth its object. The over-determination of the interpretative act is inherently inflationary: it proclaims that 'there is more here than meets the eye', that 'the accord between content and executive form is closer, more delicate than had been observed hitherto'. To class a source-text as worth translating is to dignify it immediately and to involve it in a dynamic of magnification (subject, naturally, to later review and even, perhaps, dismissal). The motion of transfer and paraphrase enlarges the stature of the original. Historically, in terms of cultural context, of the public it can reach, the latter is left more prestigious. But this increase has a more important, existential perspective. The relations of a text to its translations, imitations, thematic variants, even parodies, are too diverse to allow of any single theoretic, definitional scheme. They categorize the entire question of the meaning of meaning in time, of the existence and effects of the linguistic fact outside its specific, initial form. But there can be no doubt that echo enriches, that it is more than shadow and inert simulacrum. We are back at the problem of the mirror which not only reflects but also generates light. The original text gains from the orders of diverse relationship and distance established between itself and the translations. The reciprocity is dialectic: new 'formats' of significance are initiated by distance and by contiguity. Some translations edge us away from the canvas, others bring us up close.

This is so even where, perhaps especially where, the translation is only partly adequate. The failings of the translator (I will give common examples) localize, they project as on to a screen, the resistant vitalities, the opaque centres of specific genius in the original. Hegel and Heidegger posit that being must engage other being in order to achieve self-definition. This is true only in part of language which, at the phonetic and grammatical levels, can function inside its own limits of diacritical differentiation. But it is pragmatically true of all but the most rudimentary acts of form and expression. Existence in history, the claim to recognizable identity (style), are based on relations to other articulate constructs. Of such relations, translation is the most graphic.

Nevertheless, there is unbalance. The translator has taken too much -- he has padded, embroidered, 'read into' -- or too little -- he has skimmed, elided, cut out awkward corners. There has been an outflow of energy from the source and an inflow into the receptor altering both and altering the harmonics of the whole system. Péguy puts the matter of inevitable damage definitively in his critique of Leconte de Lisle's translations of Sophocles: 'ce que la réalité nous enseigne impitoyablement et sans aucune exception, c'est que toute opération de cet ordre, toute opération de déplacement, sans aucune exception, entraîne impitoyablement et irrévocablement une déperdition, une altération, et que cette déperdition, cette altération est toujours considérable.' Genuine translation will, therefore, seek to equalize, though the mediating steps may be lengthy and oblique. Where it falls short of the original, the authentic translation makes the autonomous virtues of the original more precisely visible (Voss is weak at characteristic focal points in his Homer, but the lucid honesty of his momentary lack brings out the appropriate strengths of the Greek). Where it surpasses the original, the real translation infers that the source-text possesses potentialities, elemental reserves as yet unrealized by itself. This is Schleiermacher's notion of a hermeneutic which 'knows better than the author did' (Paul Celan translating Apollinaire's *Salomé*). The ideal, never accomplished, is one of total counterpart or re-petition -- an asking again -- which is not, however, a tautology. No such perfect 'double' exists. But the ideal makes explicit the demand for equity in the hermeneutic process.

Only in this way, I think, can we assign substantive meaning to the key notion of 'fidelity'. Fidelity is not literalism or any technical device for rendering 'spirit'. The whole formulation, as we have found it over and over again in

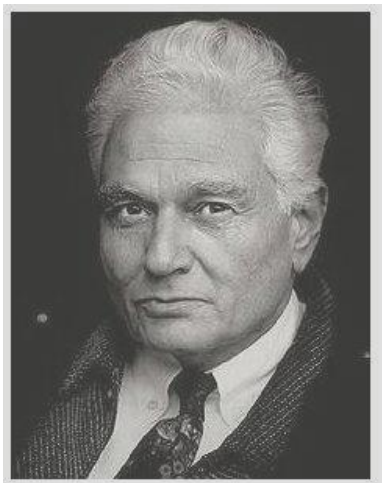
discussions of translation, is hopelessly vague. The translator, the exegetist, the reader is *faithful* to his text, makes his response responsible, only when he endeavours to restore the balance of forces, of integral presence, which his appropriative comprehension has disrupted. Fidelity is ethical, but also, in the full sense, economic. By virtue of tact, and tact intensified is moral vision, the translator-interpreter creates a condition of significant exchange. The arrows of meaning, of cultural, psychological benefaction, move both ways. There is, ideally, exchange without loss. In this respect, translation can be pictured as a negation of entropy; order is preserved at both ends of the cycle, source and receptor. The general model here is that of Lévi-Strauss's *Anthropologie structurale* which regards social structures as attempts at dynamic equilibrium achieved through an exchange of words, women, and material goods. All capture calls for subsequent compensation; utterance solicits response, exogamy and endogamy are mechanisms of equalizing transfer. Within the class of semantic exchanges, translation is again the most graphic, the most radically equitable. A translator is accountable to the diachronic and synchronic mobility and conservation of the energies of meaning. A translation is, more than figuratively, an act of double-entry; both formally and morally the books must balance.

This view of translation as a hermeneutic of trust (*élancement*), of penetration, of embodiment, and of restitution, will allow us to overcome the sterile triadic model which has dominated the history and theory of the subject. The perennial distinction between literalism, paraphrase and free imitation, turns out to be wholly contingent. It has no precision or philosophic basis. It overlooks the key fact that a fourfold *hermeneia*, Aristotle's term for discourse which signifies because it interprets, is conceptually and practically inherent in even the rudiments of translation.

[...]

---- George Steiner, *After Babel: Aspects of Language and Translation*²⁶⁵

128. (法) 雅克·德里达 Jacques Derrida



Jacques Derrida

生平及重要译论

雅克·德里达 Jacques Derrida, 1930.7.15–2004.10.8, 法国著名哲学家和文学评论家, 出生于阿尔及利亚 El-Biar 的一个犹太人家庭, 并为此被迫两度中断学业。1949 年赴法国求学, 1956 年曾在美国哈佛大学进

修，被剑桥大学、哥伦比亚大学（Columbia University）、埃塞克斯大学（University of Essex）等多所大学授以名誉博士称号。长期任教于巴黎高等师范学院（École Normale Supérieure, 1964-1984）并担任哲学系主任，并曾在索邦大学（巴黎大学）（Sorbonne）教授哲学（1960-1964）。1986年后任美国加州大学（University of California）文学教授。一部关于德里达并由其本人出演的影片在2002年进行了公演。2003年德里达被确诊为胰腺癌并于2004年10月8日晚死于巴黎的一所医院。

德里达作品数量巨大，有专著60余部，论文、演讲等数百种。德里达的第一部作品为《胡塞尔〈几何学的起源〉：翻译与引论》（*Edmund Husserl, l'Origine de la géométrie, traduction et introduction*, Paris, PUF, 1962），而其博士论文《胡塞尔哲学的起源问题》（*Le Problème de la genèse dans la philosophie de Husserl*, 1962）1990年才在巴黎正式发表，其时德里达已年届60。

德里达主要作品包括：《论文字学》（*De la grammatologie*, Paris, Minuit, 1967）、《声音与现象：胡塞尔现象学中的符号问题导论》（*A voix et la phénomène. Introduction au problème du signe dans la phénoménologie de Husserl*, Paris, PUF, 1967）、《书写与差异》（*L'Écriture et la différence*, Paris, Seuil, 1967）、《播撒》（*La Dissémination*, Paris, Seuil, 1972）、《哲学的边缘》（*Marges- de la philosophie*, Paris, Minuit, 1972）、《丧钟》（*Glas*, Paris, Galilée, 1974）、《绘画中的真理》（*La Vérité en peinture*, Paris, Flammarion, 1978）、《自传：尼采哲学的教学和关于专有名词的政治》（*Otobiographies. L'enseignement de Nietzsche et la politique du nom propre*, Paris, Galilée, 1984）、《多义的记忆：为保罗·德曼而作》（*Mémoires- for Paul de Man*, New York, Columbia University Press, 1986）、《论精神：海德格尔及其问题》（*De l'esprit. Heidegger et la question*, Paris, Galilée, 1987）、《心灵——他者的发明》（*Psyché. Inventions de l'autre*, Paris, Galilée, 1987）、《论哲学的权利》（*Du droit à la philosophie*, Paris, Galilée, 1990）、《另一个海角》（*L'Autre Cap*, Paris, Galilée, 1991）、《悬搁点》（*Points de suspension*, Paris, Galilée, 1992）、《马克思的幽灵们》（*Spectres de Marx*, Paris, Galilée, 1993）、《友爱的政治学》（*Politiques de l'amitié*, Paris, Galilée, 1994）、《史料与档案，弗洛伊德的烙印》（*Mal d'archive, Une impression freudienne*, Paris, Galilée, 1995）、《信仰与知识》（*Foi et savoir*, 1996）、《永别了，勒维纳斯》（*ADIEU à Emmanuel Lévinas*, Paris, Galilée, 1996）、《谎言的历史》（*Geschichte der Lüge*, 1997，以德文为题首次发表）、《延迟》（*Demeure. Maurice Blanchot*, Paris, Galilée, 1998）、《触感》（*Le Toucher. Jean-Luc Nancy*, Paris, Galilée, 2000）等等。其作品几乎无一不是表现其对政治、宗教、伦理和对欧洲以及人类前途的关注。

德里达是解构主义的先驱，他首次提出弥赛亚精神（messianicity）、公正（justice）、宽恕（forgiveness）、新国际（New International）等具有纲领性质的哲学命题。由德里达所倡导的解构主义理论在哲学、文学研究等领域曾引起轩然大波。1966年在美国霍普金斯大学（Johns Hopkins University）举办的讨论美国结构主义时代到来的国际学术会议上，德里达的论文《人文科学话语中的结构、符号和游戏》（“Structure, Sign and Play in the Discourse of the Human Sciences”）却宣布了结构主义的终结（即结构主义的不可能性），认为从柏拉图到结构主义都存在着二元对立的错误概念，提出应该对统一性和确定性进行思想解构以突出差异性和不确定性。德里达于1967年发表的《论文字学》、《声音与现象：胡塞尔现象学中的符号问题导论》、《书写与差异》三部著作宣告解构主义的确定，并与耶鲁大学的四人邦保罗·德曼、希利斯·米勒、哈罗德·布鲁姆、杰弗里·哈特曼组成继新批评之后在美反响巨大的“耶鲁学派”（该学派每位成员各撰一篇论文集成《解构与批评》一书成为解构主义的一部宣言，德里达由此被称为“后现代主义大师”），同时以德里达与罗兰·巴特、福柯、德曼等人为中心形成彻底反传统的解构主义理论思潮。根据德里达，解构主义就是要颠覆消解西方主张一个本原、一个中心、一种绝对真理的“在场的形而上学”（Metaphysics of Presence）的哲学系统，并为此提出瓦解“在场”（presence）（指二元对立中占主导地位的概念的在场，若本质不在则事物不可能存在）的解构主义策略：延异（différance）、播撒（dessemination）、迹痕（trace）、替补（substitution）、逃逸（escape）等。

德里达用“延异”（“迟延”〈defer〉和“分隔”〈differ〉的组合，即词义在时间的延搁中经词与词的迭会有新的意义产生）和“替补”的思想“延异”了海德格尔提出的空间的“之间”思想。但值得注意的是，德里达解构主义的“颠覆”思想不同于胡塞尔（Edmund Husserl）和海德格尔的主张。胡塞尔在《经验

与判断》中提出“拆毁”（亦“摧毁”或“拆除”）（Destruction）一词，而海德格尔也使用此词来批判传统的形而上学。德里达的“颠覆”则直接源于海德格尔的“摧毁”。德里达多次解释说，他主张的“颠覆”不是彻底的“摧毁”和瓦解，而是要解开传统思想的“扭结”，展示出传统概念在历史中形成的意义并排除其中心意义，德里达称之为“清淤”（ladesedimentation）。用德里达自己的话说，解构“是对不可能的肯定”（affirmation of the impossible）即“进行不可能的‘可能之事’”。他说：“它开始拆毁所有源于逻各斯的意义，但不是毁坏，而是清淤和解构”，即对传统、理性、观念提出意义。德里达在北京大学作“宽恕”（Pardon）的演讲时对此专门作了特别的强调。

德里达同雅克·拉康（Jacques Lacan，最有争议的法国精神分析学家，1901-1981）等法国哲学家一样特别关注拓扑学（Topology）理论特别是扭结理论（knot theory，即“三界结”理论）（这些哲学家的理论也由此被认为“神秘”），通过对文字和语言的比较研究，揭示出文字与书写的内在性与外在性的拓扑学性质，并由此对西方传统的语言文字理论，特别是对亚里士多德的“言语是心境的符号，文字是言语的符号”和索绪尔的“能指和所指”（Signifier/signified）的传统语言学概念进行“颠覆”，以“解构”其形而上学的二元对立的语音中心主义，以张扬差异与多样性。德里达的“文字独立于语言”的理念对中国的文字学研究产生巨大的影响，直接导致“字本位”等思潮的兴起。

德里达的“解构”思想涵盖了几乎所有理论领域，包括哲学、政治、思想、语言、翻译等。他说：“我们所作的和我们现在所谈论的，以及你我这样的人应当去研究的就是这样的工作：分析文本、文化、记忆等。但是这种可以说是理论上的分析是由今天世界上真实发生的那些事情引起的，即正是在这个现实中这些‘翻译’发生了。”他进一步说：“我不想笼统地谈西方，因为它有太多的差异：每个欧洲文化内部的差别就像这些文化间的差异一样渊深万丈。但是在所谓的欧洲，无论是《圣经》的还是希腊的，与自身也是多样性和异质性的远东之间，在这种完全意义上的繁多性之间，肯定存在着一些相似性和可能的通道，它们使得翻译操作成为可能。当我说翻译时，不只是语言上的，也是整个文化环境的移植。”

德里达认为，哲学的中心问题是翻译的概念问题。哲学的起源是翻译，或是意义传译的可译性这一基本命题。根据德里达的“延异”概念，延异是对“在场”的否定，意义永远处于空间的“异”和时间的“延”之中，无确证的可能，文本自然不是“在场”所定的结构，而是通向解构的世界。读者永远不可能到达本真世界，感受到的只是“延异”的必然结果“寻踪”，由此文本将永远是不完整的。而延异是无限的，寻踪当然也是无限的。因此对原文的理解和翻译是不可能穷尽其可能的意义的。可以看出，德里达是持有彻底的翻译不可译的观点的。对此他提出应该重新定义翻译，即翻译不仅仅是为掌握某种内容的跨越活动，更重要的是为“播撒”和“逃逸”等跨越实践场所提供“论坛”（forum）：翻译是一种语言对另一种语言、一种文本对另一种文本的受控转换（regulated transformation）。这时，翻译不存在固定的同一意义，而是提供游戏的空间，延伸边界，为差异提供新的道路，即翻译的目的不是“求同”，而应该是“求异”。传统的翻译的概念也被“受控转换”所取代，原文与译文也不再是“模式—复制”的关系，而变成“共生”和“再生”（renewal）即平等互补的关系。原文与译文、语言与意义的区分也不再具有意义，译文不过是“无限回归的意义链”。

德里达关于文本和语境的最为著名的名言是：

il n'y a pas de hors-texte

通常翻译为 There is nothing outside the text. 或 There is no outside-text（即“文本之外别无他物”），后进一步扩大意义为 There is nothing outside context（即“语境之外别无他物”）。（参阅本书 Kathleen Davis 一节）

德里达的解构主义翻译理论提高了译者和译文的地位，强调了翻译的重要性，同时也可能具有消极影响，有可能导致翻译的虚无主义、翻译标准的混乱和抹杀原文和译文的区别从而否定原文和作者的权威。²⁶⁶

史料图片选辑：



Jacques Derrida



Jacques Derrida

译论史稿辑要：

(1)

What does philosophy say? Let's imagine that it's possible to ask such a question: What does philosophy say? What does the philosopher say when he is being a philosopher? He says: What matters is truth or meaning, and since meaning is before or beyond language, it follows that it is translatable. Meaning has the commanding role, and consequently one must be able to fix its univocality or, in any case, to master its plurivocality. If this plurivocality can be mastered, then translation, understood as the transport of a semantic content into another signifying form, is possible. There is no philosophy unless translation in this latter sense is possible. Therefore the thesis of philosophy is translatability in this common sense, that is, as the transfer of a meaning or a truth from one language to another without any essential harm being done [...] The origin of philosophy is translation or the thesis of translatability, so that wherever translation in this sense has failed, it is nothing less than philosophy that finds itself defeated.

[...]

If there is any literature, it is sacred; it entails sacralization. This is surely the relation we have to literature, in spite of all our denegations in this regard. The process of sacralization is underway whenever one says to oneself in dealing with a text: Basically, I can't transpose this text such as it is into another language; there is an idiom here; it is a work; all the efforts at translation that I might make, that it itself calls forth and demands, will remain, in a certain way and at a given moment, vain or limited. This text, then, is a sacred text.

---- Jacques Derrida, *L'oreille de l'autre*²⁶⁷

(2)

The line that I seek to recognize within translatability, between two translations, one governed by the classical model of transportable univocality or of formalizable polysemia, and the other, which goes over into dissemination -- this line also passes between the critical and the deconstructive.

[...]

A text lives only if it lives *on* [*sur-vit*], and it lives *on* only if it is *at once* translatable *and* untranslatable [...] Totally translatable, it disappears as a text, as writing, as a body of language [*langue*]. Totally untranslatable, even within what is believed to be one language, it dies immediately.

---- Jacques Derrida, 'Living On'/Borderlines²⁶⁸

(3)

we hope to display in the most striking' manner the regular, ordered polysemy that has, through skewing, indeterminateness, or overdetermination, but without mistranslation, permitted the rendering of the same word by 'remedy,' 'recipe,' 'poison,' 'drug,' 'philter,' etc. It will also be seen to what extent the malleable unity of this concept, or rather its rules and the strange logic that links it with its signifier, has been dispersed, masked, obliterated, and rendered almost unreadable not only by the imprudence or empiricism of the translators, but first and foremost by the redoubtable, irreducible difficulty of translation. It is a difficulty inherent in its very principle, situated less in the passage from one language to another, from one philosophical language to another, than already, as we shall see, in the tradition between Greek and Greek; a violent difficulty in the transference of a nonphilosopheme into a philosopheme. With this problem of translation we will thus be dealing with nothing less than the problem of the very passage into philosophy.

[...]

All translations into languages that are the heirs and depositories of Western metaphysics thus produce on the *pharmakon* an *effect of analysis* that violently destroys it, reduces it to one of its simple elements by interpreting it, paradoxically enough, in light of the ulterior developments it itself has made possible. Such an interpretative translation is thus as violent as it is impotent: it destroys the *pharmakon* but at the same time forbids itself access to it, leaving it untouched in its reserve.

---- Jacques Derrida, *La dissémination*²⁶⁹

(4)

The substitution of reading for a dialogue which has not occurred is so manifest that when we happen to encounter an author and to speak to him (about his book, for example), we experience a profound disruption of the peculiar relation that we have with the author in and through his work. Sometimes I like to say that to read a book is to consider *its author as already dead and the book as posthumous. For it is when the author is dead that the relation to the book becomes complete and, as it were, intact.* The author can no longer respond; it only remains to read his work.

The difference between the act of reading and the act of dialogue confirms our hypothesis that writing is a realisation comparable and parallel to speech, a realisation which takes the place of it and, as it were, intercepts it. *Hence we could say that what comes to writing is discourse as intention-to-say and that writing is a direct inscription of this intention,* even if, historically and psychologically, writing began with the graphic transcription of the signs of speech. *This emancipation of writing, which places the latter at the site of speech, is the birth of the text.*

(5)

We still do not know what *yes* means and how this small word, if it is one, operates in language and in what we calmly refer to as speech acts. We do not know whether this word shares anything at all with any other word in any language, even with the word *no*, which is most certainly not symmetrical to it. We do not know if a grammatical, semantic, linguistic, rhetorical, or philosophical concept exists capable of this event marked *yes*[...]

Yes on the telephone can be crossed in one and the same occurrence, by a variety of intonations whose differentiating qualities are potentialized on stereophonic long waves. They may appear only to go as far as

interjection, as far as the mechanical quasi signal that indicates either the mere presence of interlocutory Dasein at the other end of the line (Hello, yes?) or the passive docility of a secretary or a subordinate who, like some archiving machine, is ready to record or a subordinate who, to record orders (yes sir) or who is satisfied with purely informative answers (*yes, sir; no, sir*). This is just one example among many.

---- Derrida, *Ulysses Gramophone*²⁷⁰

(6)

Thus, in living speech, the *ideal* sense of what is said turns towards the *real* reference, towards that "about which" we speak. At the limit, this real reference tends to merge with an ostensive designation where speech rejoins the gesture of pointing. Sense fades into reference and the latter into the act of showing.

This is no longer the case when the text takes the place of speech. The movement of reference towards the act of showing is intercepted, at the same time as dialogue is interrupted by the text. I say intercepted and not suppressed, it is in this respect that I shall distance myself from what may be called henceforth the ideology of the absolute text. On the basis of the sound remarks which we have just made, this ideology proceeds, by an unwarranted hypostasis, through a course that is ultimately surreptitious. As we shall see, the text is not without reference, the task of reading, qua interpretation, will be precisely to fulfill the reference. The suspense which defers the reference merely leaves the text, as it, "in the air," outside or without a world. In virtue of this obliteration of the relation to the world, each text is free to enter into relation with all the other texts which come to take the place of the circumstantial reality referred to by living speech. This relation of text to text, within the effacement of the world about which we speak, engenders the quasi-world of texts of literature.

---- Derrida, *Positions*²⁷¹

(7)

Difference is never pure, no more so is translation, and for the notion of translation we would have to substitute a notion of *transformation*: a regulated transformation of one language by another, of one text by another. We will never have, and in fact have never had, to do with some "transport" of pure signifieds from one language to another, or within one and the same language, that the signifying instrument would leave virgin and untouched.

---- Derrida, *De la grammatologie*²⁷²

(8)

.....

今日，我们已经视巴别为专有名词。这个论点当然没错。但是，这个专有名词指的是何人何物呢？有时指讲述一个故事（可以是神话故事、象征故事，寓言故事；故事属哪一类，在此不太重要）的一段记叙。在这个故事中，巴别这个专有名词不再是事件的题目，而是一座塔或一座城的名字；而这座塔、这座城又由某一独特的事件得名。在该事件中，耶和华「宣布了自己的名字」。巴别这个专有名词，至少提到三种概念，而且提了三次。同时（这是整个论点的中心），这个专有名词组合还具备一个普通名词的功用。上述的故事有多个主题，其中包括：语言最初何以会产生混乱；各种族的语言有不可简化的多样性；翻译是一项必需而又不能完成的工作；无从完成就是一种必需。可是，一般说来，我们对下面的事实却鲜有注意：上述的故事，大都在翻译裏读到。而在讲述这个故事的译文里，巴别这个专有名词有一种异常的特性，因为在翻译中，它不以专有名词的形式出现。于是，这样的一个专有名词，就变成永不可译了。鉴于这一事实，有人会提出这样的结论：严格说来，无论在原语还是译语里，这个专有名词都不是语言或语言系统的一部分，情形就像其他词语一样。尽管如此，「巴别」既然是一个独特语言中的一个事件，出现在该语言里，是为了成为「语篇」的一部分，因此，它也有一个普通意义，即观念上的一种共相。总而言之，在某一语言中，「巴别」有混乱」的意思；至于这意思究竟来自语言的双关还是混乱的联想，则无关宏旨。自此以後，混乱变成了专有

名词和普通名词，彼此成了对方的同形同音异义词，也成了对方的同义词，但不是对方的对应词，因为我们不可能把二者的含义混淆。这情形就像巴别：既是专有名词，也是普通名词。对于译者而言，这个词语没有完满的译法。利用同位结构和大一号的字体(「耶和华对着中辍的工程宣布自己的名字：巴别，混乱」)并不能把甲语言译成乙语言(这种做法只是评论、解释、释义，却不是翻译)。这种做法，充其量只算是接近原义的一种重复，重复时还把一个双关语分成了两个词来表达。在原文里，混乱却道然——自给自足地道然——凝聚于一种可以称为内在翻译的过程中。这内在的翻译，在所谓的原语里以「巴别」这个名词为翻译对象，因为原故事的语言本身，已经有一个翻译过程，有某一程度的转化。经过这一转化，专有名词(由于某种错乱)在语义上立刻有了本身的对应词；而这个语义上的对应词，专有名词本身以纯粹专有名词的形态出现时，是不会有。实际上，这种语内翻译是直接进行的，连狭义的操作也称不上。尽管如此，说《创世纪》原语的人，可以把精神贯注于「巴别」这个专有名词所产生的效果上，而把专有名词在概念上的对应词置之不理(就像 Pierre 中的 pierre：两个词语有绝对不同的涵义和功能)。由于这个缘故，我们会禁不住提出以下的论点：首先，一个专有名词，就「专有」的真正意义而言，并不算真正地属于该语言。虽然这个专有名词一经呼唤，才产生该语言(一种语言，如果没有以专有名词为称呼的可能，还会是语言吗?)，但专有名词本身并不属于该语言的范畴。同时，正因为这个专有名词一经呼唤，才产生该语言，专有名词本身，就更不属于该语言的范畴了。结果，严格说来，只有在某一语言中经过语义对应词的翻译(也就是诠释)，专有名词才能成为该语言的一部分。从这一刻开始，我们再不能把它当做专有名词来理解。pierre 这个名词是法语的一部分；在理论上，这个名词一旦译成外语，其意义就应该随着转送。可是，Pierre 的情形却不再如此：这个词在法语里的隶属关系并不确定；它即使隶属法语，其隶属关系也与上述的一类有别。就这种意义而言，Peter 并不是 Pierre 的英译，一如 Londres 并非 London 的法译等等。第二，一个人所谓的母语，如果是《创世纪》的语言，则这个人的确可以把「巴别」解作「混乱」。这样一来，他就可以用一个普通的对应词错乱地译出「巴别」这个专有名词，而不再需要别的字，仿佛该语言中有两个词(两个同形同音异义词)：一个具有专有名词的涵义，另一个具有普通名词的涵义；两者之间有一种翻译过程，可以用完全不同的角度加以衡量。这种翻译，属于雅科布森(Roman Jakobson)所谓的语内翻译或措词转换(rewording)吗？我相信不属于：措词转换所牵涉的，是普通名词和一般词组之间的转换关系。雅科布森的《论翻译》(On Translation)一文，列出了三种翻译。语内翻译(intralingual translation)，是在同一语言中用甲种语言符号诠释乙种语言符号。无论如何，从事这种翻译的人，首先要知道如何极准确地判断有关语言的特性和统一性，也就是该语言的准确局限。其次，就是雅科布森所谓的「正式」翻译(这说法极妙)，也就是语际翻译(interlingual translation)。在这种翻译里，译者以甲种语言的符号诠释乙种语言的符号；所需的先决条件和语内翻译相同。最后，是符号之间的翻译或转译(intersemiotic translation or transmutation)。在这种翻译里，译者以非语言符号的系统诠释语言符号。为了描述上面两种非「正式」的翻译，雅科布森提出了一个定义对应词和另一个词语。他对第一种翻译的描述，可以称为翻译——用另一个词语去翻译：语内翻译或措词转换。描述第三种翻译时，他也用这种方法：符号之间的翻译，或可称为转化。就这两个情形而言，翻译「翻译」，是定义上的一种诠释。可是，「正式」的翻译，即一般所谓的翻译，也就是巴别塔后语言之间的翻译，雅科布森并没有翻译；他只是重复同一个词语：「语际翻译或正式翻译」。他认为，这种翻译毋须翻译，因为人人都知道这种翻译指的是什么，人人都有过这种翻译的经验，人人都应该知道语言是什么，知道甲种语言和乙种语言的关系，尤其知道语言的 actual 特性和差别。如果我们尚有未遭巴别破坏的明晰经验和观念，则这些经验和观念，肯定是下面两种：对语言多样性的体会和「翻译」一词的「真正」意义。就「翻译」一词而言，我们提到「正式」翻译的时候，「翻译」一词的其他意义，就会指那些属于语内而又不充分的翻译。而各种隐喻(总而言之，是正式翻译的各种殊态和异态)，就属于这类。这样一来，我们就有了真正意义上的翻译和比喻意义上的翻译。要把二者彼此翻译，不管是译入同一语言还是另一语言，也不管在比喻意义上翻译还是在真正意义上翻译，我们所循的途径都会立刻显示，雅科布森的三分法看来虽然可靠，却有可能引起问题——而且问题瞬即出现：就在我们说出「巴别」的刹那，我们已经察觉到，我们无从确定，这个名词是否真真正正而又纯粹地仅属于一种语言。在语言系统中，有语源、语支之分。在这种相互的关系里，语源无从确定的现象，在争夺上述专有名词的过程中至为重要。在设法「扬名」，设法在同一时间建立一种天下通用

的语言和一个独特世系的行动中，闪族人有意使世界翕然循理；而这种理，可以同时表示殖民暴力（因为这样一来，他们就会使本族的语言普及天下）和人类社会中和平的明澈。从另一方面来说，上帝以自己的名字加诸闪族·对抗闪族时，无疑打破了理性的明澈，但同时也打断了殖民暴力或语言的帝国主义。他注定闪族人要依赖翻译，要他们服从一种翻译的规律。这种翻译，既是必需，却又无从完成。由于这一行动，上帝以自己可译而又不可译的专有名词提供了一个普遍公理（这一公理，不会再受个别民族的势力统辖）；不过这样一来，上帝也恰巧在同一时间内限制了公理的普遍性：语言的明澈遭取缔，单义境界无从实现。结果翻译变成了律令、职责、债务；可是，该项债务，我们已无力清偿。这种无力清偿债务的现象，即使在「巴别」这个名字里也有标示：这个名字在同一时间内既在自译，又不在自译；在毋须隶属间已经隶属于一个语言；并且令本身欠本身一笔本身无力清偿的债务——对于本身，犹如对其他语言。这，就是巴别式的语言表现。

这个独特的例子，兼具基型和寓言味道，可以成为讨论所谓翻译理论问题的起点。不过，不管是什么理论，只要该理论在语言中产生，就不可能克服巴别式语言表现所造成的困难。

---- 德里达，《巴别通天塔》²⁷³

129. (法) 达尼卡·塞莱丝柯维奇

Danica Séleskovitch



In memoriam, Danica Seleskovitch

生平及重要译论：

达尼卡·塞莱丝科维奇（又译达尼卡·塞莱丝柯维奇）Danica Séleskovitch, 1921.12.6-2001，著名口译专家、20 世纪 60 年代诞生的释意理论学派（le théorie de l'interprétation / the interpretive theory）创始人、翻译理论家。出生于法国，其父是南斯拉夫人，母亲是法国人。在德国就读中学（1931-1939）后回到南斯拉夫。二次大战后在巴黎上大学，获德语和英语教学学士学位及巴黎高等商业学校会议翻译文凭。1973 在巴黎第四大学通过博士论文，1982 年创立巴黎高等翻译学校（后成为巴黎第三大学高等口笔译学院 ESIT）并担任校长，1990 年退休。

塞莱丝科维奇自 1950 年起便从事翻译工作，1950-1953 在美国从事口译工作。曾为法国驻美大使馆及上

百个国际组织服务，并担任美国国务院口译员。1956 年从卢森堡移居法国继续从事口译工作。1958-1963 担任国际口译工作者协会司库和执行书记。

丰富的翻译实践使其奠定了坚实的言语科学研究的基础。她的《国际会议译员——言语与交际问题》（*L'interprète dans les conférences internationales: problèmes de langage et de communication*, 1968）一书为释意理论奠定了理论基础，巴黎高等翻译学校遂成为该学派理论研究中心。塞莱丝科维奇的《言语、语言和记忆——即席翻译中的笔记研究》（*Langage, langues et mémoire: étude de prise de notes en interprétation consécutive*, 1975）、（与勒代雷合著）《释意翻译》（*Interpréter pour traduire*, 1984）、（与勒代雷合著）《口译推理教学法》（*Pélagogie raisonnée de l'interprétation*, 1989）等著作使释意理论成为包括口译、笔译、文学翻译、科技翻译、翻译教学、一般翻译理论等各领域的完整的理论体系。特别是《释意翻译》一书是塞莱丝科维奇阐述释意理论的经典著作。

塞莱丝科维奇及其释意理论的核心在于确立翻译思维模式，强调意义和信息。她指出，翻译的对象绝对不是语言，而是借助语言所表达的意义，翻译的任务则是转达交际意义，以使使用不同语言的群体可以相互理解和交换思想并进行可能的合作。她认为译者和译员不是摄影师而是画家，而绘画是

借助画家的看法从要表现的现实中提炼与现实一致的意义和信息。²⁷⁴

她认为，在理解和表达之间还应该有一个脱离语言外壳的程序。这一思想对研究翻译教学法意义重大。她说，语言对译或称代码转译只能用于数字、专有名词或术语等涵义单一的词语，但不能用于语篇翻译。翻译中听辨理解的应该是语义，利用语言和语言外知识分析理解的则是交际意义，即从显性信息到隐性信息，而隐性信息的载体不一定是语言或内部言语。需要传播的意义不仅有语言意义的总和，还有具体语境中确切的言语意义，这就需要更加关注语境因素、文化背景因素、语言暗含因素、超语言知识因素等。²⁷⁵

塞莱丝科维奇认为意义即人的意识行为，而非属语言的：

意义是非语言的，先于讲话人的语言表达，受话人理解篇章的结果。……这一意义的输出需要非语言形式的思想同符号迹象结合（话语或手势，这无关紧要，总之是可感知的东西！），接受意义要求受话人的有意识行为。在这种情况下，词语排列对陈述者来说只是表述信号，对受话者来讲是要辨识这些信号，对陈述者来讲，它们只是其思想的标识，对受话者来讲，是意义构成的途径。²⁷⁶

塞莱丝科维奇对意义的定义是：

句子意义是作者着意表述的内容，而不是他讲话的理由，也不是他所说内容的原因和结果。意义不能与动机和意图混淆。译者作诠释，译员作解释都将违反其工作规范。²⁷⁷

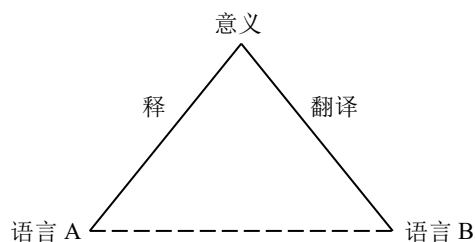
关于翻译的语篇交际意义，塞莱丝科维奇说：

如果单独抽出一个词，它的含义是潜在的；脱离上下文的句子，其意义也是潜在的。……意义是在阅读文章的过程中逐步明朗的，也就是说，只有阅读完文章之后才能理解作者想说的什么。

塞莱丝科维奇也强调口译对发言人的发言内容的忠实：

解释本身只来自发言的实际语义内容，这意味着译员不能用不同的意思来取代发言者的意思。²⁷⁸

塞莱丝科维奇用三角形模式来描述口译过程：



该三角形模式清楚地显示了理解、脱离语言外壳和表达的翻译程序。图中存在两个传译过程，即由原语语言 A 到三角形顶部的语言产生交际意义的过程和由交际意义到语言 B 的语言符号转换为思想的过程（此时原语语言形式已失去约束力），然后思想转换为译入语语言。底部虚线则表示直接将原文转换为译文而不考虑语境。

塞莱丝科维奇对同声传译和释意理论阐述道：

同声传译是所有翻译类型中最纯粹最透明的。所有构成交流现场的因素在同声传译中都有所出现：说话人、听话人、当场讨论、地点……

在各类主要的翻译形式中，翻译的程序始终相同，因为翻译总是用一种语言的手段去重新表达另一种语言中业已成形的东西。……

如果要在说话人与其听众之间建立真正的交际关系，我们所要翻译的不是那些单个的词汇，不是单纯的语言……

要用明晰的语言形式重造出原话中所包含的信息。²⁷⁹

译论史稿辑要：

第三节 翻 译 学

——介于注释和语言学之间的一门学科

介乎于某一确指语言的描述（比如对法文、德文或中文的表述）相对表现为言语的某种个人意愿的分析（比如 x 先生说这番话的理由何在？Y 女士讲这番话的动机是什么？）之间还有一块空间有待去占领。这块空间，也正是翻译学正在要求得到的地方。翻译学依靠本体论进行研究，因为本体论既不想深入到某位作家头脑中去进行文学方面的研究，或像哲学家那样对宙典哲学作出解释，也不想剖析翻译学作为研究手段的语言，——研究语言是语言学的任务。

翻译学既不能建立在前者基础上，也无法建立在后者基础上。因为语言学不想超越个人之间交流以外可以抓到的物质材料；而精神分析和哲学注释又只限于研究交流中的特殊现象。翻译学则期望揭示每个听者在听到别人讲话之后，或每个读者在读到某份文献之后所出现的情况。这个情况，即由译员作为工作目标的言曰言语或文献的意思，既不是语言，也不是讲话人或文献作者的意图，而是说者或作者的所欲之言。

当前的各大语言学派坚持进行研究的都是语境之外的语言结构语言学在通过音位学找到了客观道路之后，从心理主义中解脱出来，并且又拒绝重新深入回去。普通语言学探求某些一般心理结构，但却期望从句法在语言深层结构中的作用来得到解决。至于心理语言学则从语言的人种方面着手寻求语言自身的各个心理方面，况且即便是在其最新研究成果中——即在话语分析，特别是在文献语言学方面，语言学仍未能超越对语言在文献中的作用的研究范围。

至于实验心理学，在绝大多数情况下则只关心获取语言反射和理解非语境字词和单句等问题，但却忽略了语言的交际作用，以期在字面活动中只观察语言的运用。只有病理心理学除外，特别是弗洛伊德以来，已把语言的运用作为深入研究潜意识的手段。

翻译理论家试图既能作为译员，又能保持客观立场；翻译理论家在记忆中留下的不仅是他所接收到的字词的翻版，因为翻译理论家知道理解一篇文献不仅需要语言知识，而且还需要其它方面的东西。因此翻译理论家试图在描述翻译技巧的同时描述理解体系。翻译理论家只有在观察译员进行翻译的基础上才能实现这一目标。

我在此简略介绍的是我们的翻译观念。这种翻译观念导致我们不是去建立在信息的语言构成基础上的翻译，而是在对文献内容解释基础上的翻译，也就是说，是建立在对意思的领会和再现的基础上的翻译。这样一来，就使我们与翻译的语言学理论产生分歧，因为后者只注重分析两种语言交流中提出的问题。我认为，应从认识论的角度消除词典学、语法学和风格学为一方，对文献的评论和解释为另一方的对翻译理论的争论，将翻译构想为由一种语言到另一种语言的意思传递过程。

我所指的意思，是有其确定范围的：一方面，与其所超越的语言的被表示成份有关；另一方面，又与其所包含的内容有关，因此，意思也就超越出了其自身的范围。

我们知道：“所有基础知识都从不是一些事物对人类感觉器官发生作用所产生的简单结果，而是对这些事物的积极吸收的结果。”（皮亚热语）。我们还可以毫不费力地看到，在感知我们周围的世界与理解身边的文献之间有些相似之处。我们根据多次感受到的经验，很容易区分花园中已凋谢的红花和浇花时用的水管顶端的红色水笼头。或许在花园中猛一见到远处的红点不知是何物，但仔细想想前几天花开时的高度和水笼头贴地面的情景，也就知道远处红点是什么了。当然，其它感知标志棚和记忆标志也会起到同样的作用。

领会一篇文献也有类似的情况。只单纯地将作为语言具体表现形式的字母与语言赋予字母概念结合起来，是无法表达出意思的；只把语言的校具体表示成份变为声音链条也是无法理解一篇讲话的。为解释翻译人员的这些经验之谈，就必须承认人们在感知语言陈述内容和在理解周围情况时的相似性。人与其它动物的区别就在于使用语言，若把人类心理功能的语言现象与这些功能的一般发展分割开来，将会是很荒唐可笑的。因此就不得不根据在人们语言和心理功能的一般发展的各个方面起作用的认识结构来解释感知的内容。

具体地说，当我们读到一篇文献时，也会像在花园里看到草丛中的一个红点一样。并不将自己局限在词义层次，而是即刻联想到有关的各种感知标志和记忆标志，比如首先会利用眼前视野看完正在阅读的文献的完整段落，然后再调动头脑中已非字面化的记忆，并将这些记忆与眼前的字词相结合形成概念。

下面我举例说明，这是我在 197 年 7 月 31 日《巴黎晨报》上刚刚读到的一篇文章，题目是：L'Egypte décline l'invitation de Washington(埃及谢绝华盛顿的邀请)

为使本书读者也能处于 1979 年 7 月 31 日《巴黎晨报》读者的具体环境之中，我有必要在此介绍一下当时的国际局势：在此一年前，萨达特对以色列进行了戏剧性的访问，为中东和平进行了多种交易，埃及、以色列和美国在裁维营签署协议时的情景还记忆犹新，各家报纸都在报导联合国驻西奈干预部队的任期即将结束。美国建议召开一次会议以期在西奈避免在干预部队撤离后出现各种冲突。

这就是《巴黎晨报》读者构成的回忆，当你问到他们时，他们甚至可以对标题中的每个字都具体明确地作出解释：l'Egypte 即指纯正地理意义的“埃及”，但在这里也可作为“埃及总统萨达特”或“埃及政府”等；décline 是拒绝。这里很难得出“拒绝对我们的建议”等语言层次的含混词义，invitation 在这里是指“邀请出席有关西奈问题的三方会议”；Washington 在这里的意思与 l'Egypte 的意思相仿。

但是 L'Egypte décline l'invitation de Washington 在读者眼里又不完全是像用砖瓦盖房子那样的语义因素的堆砌，而是同时感知到的贴切标志也在同时起作用，变成为意思的取得意识，因此也就不可能将每个字词如同前段讲过的那样分别作出武断的解释。

通过言语我们常常看到人的思想为语言的陈述内容带来了多么大的补充。这是由于人的思想为语言陈述内容增加了语言之外的记忆和认识的结果。毫无疑问，人们无法脱离人类来分析语言。人们可以分析某种语言在使用过程中的诸多用法，但在研究这些用法时却勿容忽视人类心理结构的影响。在这篇文章标题中，即便人们有能力确知构成这个标题的每个字词的意思，仍会通过视觉感知的跨度在心里思索此种语境中整个标题的完整意思。这与在前面分析过的花园中的红点的含义是一样的。

建立在人类运用语言基础上的翻译，其解释性理论提出了理解群这一概念，勒箔雷尔称之为语义群。勒

德雷尔认为，理解并非是通过死不变的字面词义获得的，而是通过在听一篇讲话或阅读一篇文献时在听力跨度或视力跨度范围内进行不断的概括综合而获得的。将陈述内容的语义性质和陈述内容之外的某些知识加以概括，便会产生符合字面交流意思的意识状态。

因此，翻译群既不是孤立取出的字词，也不是如主谓语之类的语法所确定的单句。翻译群即是语义群，换言之，即是话语的切分成分。它可使听者或读者预先了解其语言程式所确指的所欲之言。

通过研究同声传译可以看出，意思形成于非明言使人能够理解到明言之时。由非明言至明言，就好似开锁作用一样，但却又不是有锁自开，也不会有字词链条就能豁然明了。而是需要听者或读者的知识作为开锁之钥匙，而且字词等语言符号的多少与听者或读者知识渊博的程度成正比关系。因此当中东问题专家的秘书从新闻部门发来的电传上看到 l'Egypte décline...(埃及拒绝...)也就明白全局了。对经常关注中东局势的读者看至 l'Egypte décline(l'invitation...(埃及拒绝邀请；·)，也能理解全貌了。一般法国人当然要看至整个标题才能理解，而多少年过后的今天有些读者再看到这个标题时，或许除了字面义之外就什么也理解不到了。

若想听懂一篇讲话或看懂一篇文献，不仅要凭借其语言能力，而且还必须凭借其知识渊博程度，即凭借其所听到或所看到的语言表达而唤起的自身的知识内容。口译一篇讲话或阅读一篇文献，也必须从语言学方面和非语言学方面进行正常的人类交流活动。

通过对如此平凡的人类交流活动的分析可以看出，语言使用功能表现为所掌握的语言和输入记忆中的非字面化的知识之间的不停顿的往返运动。如果说对这一往返运动的研究长期遭到忽略，或许主要是因为这一研究不符合某些科研人员的意愿。这些科研人员试图将人排除出其作为研究的观察范围。而一旦语言学家将语言研究客观化，专注于转达意思的语言运用，那么他们的科学研究，也就无科学而言了。脱离上下文，脱离语言环境，脱离交流，语言也就失去了对个人的依据；反之，单纯研究语言为交流功能服务，语言服从于让人理解或理解别人的愿望，也是不可取的，这同根据汽缸的运转研究摩托车的行驶同样地不可取。

然而，这些研究人员却是如此这般极力建起了语言学翻译理论，从而忽略了译员的心理结构，语言学翻译理论只看到文献中的语言运用和各种语言互译中的语言区别。布龙菲尔德以来的语言学派的变化缩略观点对翻译理论的形成也有某种不良作用。翻译只有当其认准语言表达与语言表达以外的记忆内容之间相互作用，只有承认单纯分析语言符号本身无法找到解开意思之谜的钥匙时，才能在科学领域站稳自己的脚。前面讲到的花园中的红点和报纸上有关埃及与华盛顿的报导都证实了这一结论。语言只有与非语言形式的记忆和知识相互作用才能产生意思。

意思的客观性

意思的客观性和语言符号相联系的被表示成分很难完全吻合。意思也很难包含有人们试图让其容纳的全部内容。一个单句的意思只是这个单句的作者有意表达的内容。但并非是为了表达内容他才说话。因此应该区分说者的说话原因与结果。不应将讲话的意思与讲话的动机或意图混为一谈。因此，笔译员作注释或口译员作解释时都必须防止超越其翻译作用的限度。

对于产生意思的语言符号的解释，要注意哪些问题？要注意在已知话语情况下符号所表示的取得意识。但意思与取得意识并非长期地联系在一起。因为取得意识尚达不到超越本体论进入自我注释或解释的程度。我曾经给学员举出下述例子，在一次东西方国际会议上，有人使用了 Ostblockstaaten 即法文的 Etats du bloc de l'Est(东欧集团国家)，这是西德经常使用的称呼，系指东欧社会主义国家。匈牙利代表立即举手要求发言。我知道这个词深深激怒了东欧国家代表，预感到匈牙利代表将要提出批评意见，而有些入却以为举手只是要求发言的表示。这个例子充分说明了尽管语言符号相同，但所产生的意思却并不相同。

人们理解语言信息就如同我理解举手这个手势一样。因为人们有可能分析举手的原因，也有可能猜测举手的结果，但却未能事先领会到举手的意思。只有当头脑中早已存在的知识与当即陈述内容突然相遇时，才会大体明确到意思。这种感知与记忆的合并，贯穿着领会意思的全过程。理解一个意思是人类心理活动的正常表现。如果做不到这一点，如果无力将语言的被表示成份和声音链条与谈话的具体环境相结合，就很可能是智力迟钝或相神失常的表现。我有一位朋友是馆神病科医生。他经常问病人：“你怎么样睡觉？”病人回答

说：“像别人一样，身子躺下，两眼闭上...”

现在再回过头来看 L'Egypte décline l'invitation de Washington 这个句子。我们已经知道意思与语言的被表示成分是有区别的。我可将上述句子分别意译为：Le gouvernement égyptien refuse de participer à la réunion tripartite sur le Sinai proposée par Carter(埃及政府拒绝参加卡特建议的有关西奈的三方会议)；Pas de discussion sur le Sinai pour le moment, répond l'Égypte aux Américains(埃及回答美国人，目前不能讨论西奈问题)；或者引用这篇文章开头的一句话作为解释：“L'Égypte a annoncé qu'elle ne pouvait pas répondre positivement à l'invitation américaine de tenir une réunion tripartite”(埃及已经宣布不能就美国邀请参加三方会议问题作出同意的回答)。

上面这几种解释都包含陈述内容的意思。但如若在解释的同时再去探讨埃及采取上述立场的原因，或许即可看出：联合国部队撤出西奈有利于埃及。因此埃及希望利用由此而造成的真空，故不急于讨论西奈形势；或许还可以认为：在有关巴勒斯坦独立问题的谈判开幕之前华盛顿不断施加压力，埃及通过拒绝邀请，对此压力表示愤懑。作出这几种解释都是允许的，但在解释同一标题时，其多种见解却已超出了原标题的意思。译员经常要依据暗含弄清意思，而译文却又只能反映出已弄清的意思。

这里有个简洁明了的新闻标题，使我有可能是再现出由语言信息转化成思想内容的正常过程。译员专注于文献翻译时所经历的正是这一过程；译员要理解陈述内容，并顶住政治经济等内容的强大压力，毫不曲解地正确再现出符合译入语特征的表达方式，下面请看玛格丽特·撒切尔夫人在谢菲尔德大学讲话中的某些词组和由我的学生法译的对应词组。撒切尔夫人讲话内容是：

“The future of the country, of course, involves your future. The next twenty -- five years are the crucial years for you -- the years in which you will go out into the world, establish yourselves in your chosen careers, marry and set up new homes, take decisions about your children's education, and become figures of some importance and influence in your local communities”.

对照词组为：

crucial years: années décisives

go out into the world: entrer dans la vie

establish yourselves: vous aurez commencé

in your chosen careers: à faire carrière

set up new homes: fonder un foyer

decisions about your: l'orientation scolaire

become figures of some: vous compterez parmi

importance and: les notables

influence

我并非是说这份对照堪称译文范本，而是说，这份对照相当明确地证实了不能单纯用语言转换来表达意思。当我们在说话或写文章时，所表达的并非是字词或单句，而是通过字词或单句作媒介表达思想。当我们翻译时，当然也不是在翻译语言，而是用另一种语言表达原有语言信息中的思想内容。

意思是翻译的基础，有其特殊意义。表达意思才能称其为翻译。翻译不过是将意思由一种语言外衣转入另一种语言外衣。意思是概念化的思想，比陈述内容所阐述的部分更为丰富。

经玛丽姬娜·勒德雷尔所发展的提喻法概念对翻译十分重要。据此，意思将不再为较小的明示所包含，而是为较少的明示所确定。因此，这个意思就可由另一种语言中表明同样思想的另一侧面加以重新表达。由此可见，原文与译文的明示部分并不相符，但总的思想内容却是相同的。翻译只要摆脱原文的束缚，就会找到其多种表达方式。这就是让·德利尔所证实的；意思和语言词义相比是如此之重要，以至语言词义经常与声音链条相脱节，甚至在话语中经常为人所忽视，这又是卡尔拉·德让·勒费阿尔所证实的。

基于翻译实践而形成的翻译学正在证实，意思与个人话语的灵敏表现自然本能地结合，并与接受这些话语的所有对象以同样方式结合。意思是非物质化的，但又是客观存在的；意思为个人所独有，却又符合认识的基础科学，因为世人皆以同样方法进行着意思的解释活动。

130. (法) 玛丽亚娜·勒代雷 Marianne Lederer

生平及重要译论:

玛丽亚娜·勒代雷 Marianne Lederer, 法国巴黎新索邦大学(即巴黎第三大学)教授, 曾任巴黎高等翻译学校校长、巴黎第十二大学外语应用系主任, 长期从事国际会议翻译。勒代雷是法国释意理论派的重要代表人物, 著作主要有《同声传译——经验与理论》、(与达尼卡·塞莱丝科维奇合作)《释意翻译》(*Interpréter pour traduire*, 1984)、(与达尼卡·塞莱丝科维奇合作)《口译推理教学法》(*Pélagogie raisonnée de l'interprétation*, 1989)、《现代翻译——释意法》(*La traduction aujourd'hui--le modèle interprétatif*, 1994)(2001年译成汉语出版时书名为《释意学派口笔译理论》)等。

《释意翻译》一书用语言学、逻辑学、心理学最新理论来阐释翻译的理解与表达过程, 对比了口笔译的异同, 总结了即席翻译与同声传译的基本规律。

《口译推理教学法》一书对于培养即席翻译与同声传译人才的原则和方法作了详尽的论述, 对口译对言语科学的贡献进行了分析, 区分了语言、话语和语篇, 并强调职业翻译的对象是交际意义而非语言。

《现代翻译——释意法》一书是勒代雷对翻译理论探讨和实践经验的综合性总结, 分析更为全面严谨。该书“主要从译者的翻译过程出发研究翻译”, 而贯穿全书的基本论点是:

释意无处不在, 翻译亦不例外。但是长时间以来翻译常常被认为仅是语言行为, 认为将某一语言的词或句转变为另一语言的词或句就是翻译。然而, 成功翻译的背后是对篇章的阐释和语言外知识的参与。²⁸¹

勒代雷在《现代翻译——释意法》书中对释意派翻译理论的翻译程序(理解原文、脱离原语语言外壳<déverbalisation>、用另一语言表达理解了的内容和情感)、翻译的双重性质(意义等同与词汇对应)、确立与语言学和语言相关的翻译的地位(言语与翻译)进行了全面深入的论述, 并对译者在翻译实践中遇到的问题及其实质(文意分离问题、翻译单位、忠实、文化转移)、语言教学中的翻译问题(比较语言学与翻译教学、翻译的不利环境、母语与外语互译、翻译教学法等)、外语翻译(局限性、可接受性、读者面)和机译(机器理解语言、人类翻译与机器翻译比较、机助人译等)进行了详尽的说明。

译论史稿辑要:

(1)

The bifurcation of the linguistic sign into an explicit (or synecdochical) and an implicit component, which are then arbitrarily paired together to produce meaning, makes it virtually impossible for texts in different languages to be formulated with the same explicit wording and implicit parts. This phenomenon ultimately explains why a literal translation of the explicit wording cannot hope to capture the sense of the source text. In order to convey the source text's notional and/or emotional message, the explicitly worded ideas in one language, which also carry implicit parts making up the whole of sense, have to be expressed differently in the target language. Some of the implications of the original text may have to be explicated, while some of the explicit wording may become superfluous in the target

language. Translators who feel it their duty to render the same sense in different forms are therefore vindicated.

[...]

In this paper, I shall present three basic principles of the Interpretive Theory of Translation taught at ESIT (Ecole Supérieure d'Interprètes et de Traducteurs de l'Université Paris III-Sorbonne Nouvelle):

- 1) Words and set phrases we find on paper are only the explicit part of the whole they refer to.
- 2) The explicit part of discourse refers to speakers' ideas in ways that are dissimilar in different languages.
- 3) To make sense, the explicit part of discourse relies on readers' cognitive and emotive inputs.

[...]

4. Synecdoche and translation

We all too often tend to think that languages only differ from a phonetic, morphological, syntactic and semantic viewpoint, forgetting that in discourse the linguistic features which refer us to ideas also differ considerably from one language to another.

The existence of discourse synecdoches is a matter which should be looked further into through researches in translation. To our mind, it is the basic fact which explains why good translators liberate themselves from the original synecdoches when translating.

Synecdoches referring to the same facts, events, arguments have different semantic components in different languages. This means that when transferring these ideas and notions into their own language, translators have to create new synecdoches, i.e., new expressions which may have explicit meanings quite different from those of the original text yet which refer nevertheless to the same whole sense. When translating texts, translators create synecdoches which are equivalent, though dissimilar in form, to those in the original.

[...]

5. Correspondences and equivalences

The Interpretive Theory of Translation draws a distinction between the translation of words and set phrases, the result of which we call "correspondences" (*corkscrew* is *tire-bouchon* in French, *slippery when wet* is *chaussée glissante*), and the translation of speakers' utterances. Translating words and set phrases calls for ready-made solutions, translating discourse supplies a semantically different text but points to the original ideas. We call this latter type "translation by 'equivalences'".

Correspondences are easily acknowledged as correct translations but few people note that the process involved in equivalences is synecdochic, that in each discourse the designation of ideas, events, etc. refers to broader contents. Translating texts as one would translate words or context-free sentences, i.e., by correspondences, rarely results in quality translation. The reason is that instead of focusing on the "whole" referred to by text synecdoches, it is words and decontextualised sentences that are taken to be the object of translation. Discourse synecdoches are unpredictable; we each of us create our own synecdoches. They are not the repository of centuries of repeated use in languages, as words are. However the process in both cases is the same: the explicit part designates partly implicit wholes.

Individual words are synecdoches as they always refer to something beyond their semantic meaning. However, since such synecdoches have their counterparts listed in bilingual dictionaries which refer to the same things in two languages, they do not call on translators' creativity and skill; they call on their knowledge of languages and on their finding the correct term in the dictionary. Correspondences are useful for figures, set phrases, dead metaphors, technical terms, but do not render the full sense if used to translate discourse.

Quality translation relies in part on correct correspondences but mostly on the setting up of equivalences ("free translation"), that is re-expressing the fullness of sense in a wording best suited for reception by the readers of the translation.

Equivalences are the very heart of translation. In their own language, translators, through different explicit wordings, point to the same sense as is pointed to in the original. According to the characteristics of grammar and

stylistics, cultural context, situation, readers' knowledge etc., explicit meanings and implied elements will differ in the original and the translation. Tailored to the knowledge of the readers of the translation, the explicit part not only bears the stamp of the target language but also depends on the creative skills of the translator.

6. Cognitive and emotive inputs

The Interpretive Theory of Translation defines *cognitive inputs* as the knowledge that is called up in the minds of listeners, readers or translators alike as they hear or read the explicit part of an utterance in discourse. Cognitive inputs are the relevant part of the world knowledge which our memory has retained of what we have been taught at school, what we have read in books or seen in TV programs and whatever life experience we have had. They are also the knowledge gathered from the co-text as the discourse unfolds. Emotive inputs derive from the emotions we experienced and remember. These relevant elements of our world knowledge are kindled by the explicit part of discourse and they lead to the inference of its underlying implicit part.

World knowledge and contextual knowledge, drawn from the dynamic flow of information and emotions as discourse unfolds, are always used by translators for comprehension and re-expression.

To illustrate this point, I shall give an example from Chapter XIV of Steinbeck's *Cannery Row: They walked holding hands* and its translation into French.

Before starting her translation, the French translator, Magdeleine Paz, read as a matter of course the whole of Chapter XIV. She therefore acquired a detailed contextual knowledge. It enabled her to write in French: *soldats et filles se tenaient par la main* (literally: soldiers and girls were holding hands). The anaphoric *they* is made more explicit in French (*soldats et filles*). *Soldats et filles* which is not stated in English comes from the knowledge of the story preceding the sentence being translated: in the previous paragraph, Steinbeck wrote: *two soldiers and two girls strolled easily along the street*. Reading the sentence *they walked holding hands*, the translator, like any reader, knows that those young people were strolling. In English, the idea of motion is repeated: *they strolled, they walked*. In French, though the same idea is implied, it is omitted (*Soldats et filles [...] se tenaient par la main*). Whether we read the original text or its translation we get the same picture. The English and the French sentences use very different synecdoches to describe exactly the same action.

We have seen that the phenomenon of an explicit part supplemented by an implicit part applies not just to words and set phrases: Discourse at large is also synecdochic. Signifying more than is actually stated, discourse reveals the way native speakers refer to facts, events, arguments, ideas, etc., not through a full description but through a synecdoche that leaves unsaid much that is nevertheless implicitly communicated. Though the surface structure of texts -- their explicit appearance -- is undoubtedly in part of the author's own choice, it is also to a large extent determined by his language system. It is easy to note that different language systems dictate different semantic features to speakers or writers. Translating texts cannot be limited to translating synecdoches as such. A French synecdoche translated into English would not call up the whole of the idea implied nor would a Chinese synecdoche when translated as such into French bring the whole of the idea to mind. Sense has to be re-expressed with the combination of linguistic features specific to the target language.

It is not easy to detect the existence of synecdoches when reading a text or listening to an utterance. The fact that we read or hear merely a part of the whole we understand is not obvious. Comparing utterances that convey the same sense in two different languages shows however how important a phenomenon the explicit/implicit combination of sense is. The implications for translation are pivotal: the detection of the phenomenon upsets the general view that language systems, as such or in discourse, are the object of translation; also it shows clearly that in order to convey the whole of an explicit/implicit combination, translators must use synecdoches that are relevant to the target language and therefore natural as a way of expression. Last but not least, it vindicates translators who find it necessary to add or to suppress various words in the original in order to achieve an equivalent "whole" (i.e. sense) in

the target language.

--- Marianne Lederer, "How the Explicit/Implicit Bifurcation of Meaning Impacts on Translation"²⁸²

(2)

简单讲，翻译行为旨在“理解”（comprendre）—“话语篇章”（discours），然后用另一语言“重新表达”（exprimer）这一“话语篇章”。这两个词所指的活动具有复杂的内涵，需要逐一加以研究。“理解”需要启动语言和语言外知识。而“重新表达”的质量有赖于译者的目的语水平和执笔的才能，同时也取决于他的主题知识（connaissance thématique）。然而，在分析其他定义之前，应首先研究“话语篇章”这一术语。先对此下一定义十分重要，因为理解和重新表达活动与“话语篇章”的内容紧密相关。

在大学的语言教学中，经常把话语篇章与组成话语篇章的语言相混淆，翻译教学被语言教学代替，而语言学理论也占据了翻译理论的位置。

对翻译工作者来讲，话语篇章从根本上说是语言知识同语言外知识结合的产物。话语篇章即是翻译的对象，也是翻译存在的理由，这里讲的即是该词的原意，也是我要讲的意义。从一开始就必须区分语言、句子和话语篇章。因为，倘若这几个层次的“翻译”都可进行，词汇、句子和篇章的翻译活动却相异有别。

.....

话语篇章层次则不同，话语语义得到译者的基础知识和篇章知识（见术语：认知知识或百科知识）的补充。译者借用这种知识翻译某作家，而不只是翻译其语言。

.....

概括地讲，我将字译和句译称为语言翻译，将话语篇章翻译称为释意翻译。这一区别对国际会议翻译研究十分重要。显然，翻译讲话需要语言符号外更广泛的知识，译员必须有释意过程（processus d'interpréter）。

.....

在口译中，呈现的自然篇章意义，尤其在即席翻译中，意义不仅是译员理解和翻译的内容，而且是唯一能在话语消失后留存在记忆中的内容。言语的重要特征是，意义随语言符号和语链的消失产生，这一特征出现在所有讲话者身上，说它在口译中尤为明显，并不是说只有口译才有这种特征。

我们将会看到，无论信息输出和接收的环境多么不同，意义是翻译的核心问题。

.....

即席翻译译员之所以能够记住意义的各种细微差别，并自如完整地将其用母语表达出来，是因为他启用了一项基本能力，即在词语消失时记住理解了的内容。他摆脱了原语言形式。

译员可以通过培训提高这种能力，使其明朗化，这种能力人皆有之，每个讲话人都不例外。虽然摆脱语言在笔译中不如口译明显，但在优秀笔译者身上它无时不在，他的“理解”同口译译员一样是非语言的。

摆脱语言外壳是我们大家都了解的认知程序：感官数据在消失的时候变为非感性形式知识。我们将其称之为认知记忆；这种记忆有时无论多么短暂，都属于知识获得。不能把它同计算机的认知相混淆，因计算机必须程序化；但也不能将其与语言记忆相混淆，因为语言记忆可以帮助背诵诗歌或哼曲子。

译员在克服话语转瞬即逝方面的成功使人错误地认为他们有惊人的记忆。但反过来也可帮助我们进一步研究言语行为的一个重要现象：摆脱了语言外壳的意义从一交际者到另一交际者，意义产生于词语，但又不会同词语相混淆。

.....

意义单位只存在于话语篇章层次；它们与字词、音义段排列成固定词组不相吻合。它以精神状态出现，属于心理范畴的短暂意识状态。

.....

释意一词在此不含任何贬义，释意同其他人类活动一样是主观的，没有偏见。篇章的产生和理解之所以是主观的，是因为写作的人和阅读的人都借助于各自对世界的看法、感受、经历等，简单讲就是根据个人的思想从事写作或进行阅读。个人的思想和知识是主观的，属于个人所有，其表达形式也是主观的。字词和句

子的编排,甚至字词的选择都是主观的,意义本身也是主观的。然而,如果意义对于作者来讲是主观的,对译者却变为客观的。翻译研究,首先是会议即席翻译和同声传译显示,篇章的表达虽是主观的,但对篇章的释意却是客观的:同样一篇文章或讲话由两个译者翻译永远不可能产生完全相同的译文。简单的思想和翻译间的根本区别是,前者无论在思想上还是表达上都是主观的,而翻译在思想上是客观的,只有表达形式是主观的。

翻译理论工作者考虑到使用交际工具的人局限于语言,将研究中心放在翻译的人和篇章的相互作用上。他分析广义的阐释现象、篇章的理解(文学的和非文学的)、接收者在篇章线性反映释意和意义出现中的作用。接收者,尤其是译者,是释意者。

现在,认为翻译只是先前存在的语义对应词的简单同位转换这一观念早已过时。人们逐渐认识到翻译是释意。文章,诗歌或小说,科技或实用文演讲不可能压缩到构成句子的文字符号的总和之中。

无论是文学的还是科普的,无论是文字还是口语表达,宏观符号与篇章的主要区别是,篇章有其作者、主题、对象,所有篇章都有时间,简而言之,译者有意识也罢,无意识也罢,都会利用篇章的这些整体参数。

前面引用了皮亚杰、埃科、勒维、儒埃和考斯奥利,目的是想指出符号阐释的普遍特点。释译也不例外,与阐释不可分离,且起着决定作用。释意原理源于会议翻译,它帮助我们发现了其遵循的三角程序:从讲话的有声符号出发,经过语义和认知知识融合的非语言过程,构成篇章的片段意义从而开始重新表达。笔译遵循相同的程序,但觉察没那么快。与原文比较,译文是意义对等;译文再现的不是语言形式,而是内容和情感。

为说明翻译中释意的普遍特点,我前面借助了英-法和德-法语言和文学、科技不同体裁的文章。鉴于优秀的译文不能完全解释清楚翻译问题,我又分析了翻译方法论者赞同的语言学理论,指出他们遇到的问题主要是局限于语言。

译者不能满足于翻译语言;如果他的阐释是为了翻译,释意本身是一种自然反应。人拥有将解释和观察到的事实与符号结合的根本需求。从古时起,他就阐释自然现象,创造神话,对上帝和精神加以解释。不与认知结合的感知是不存在的。语言符号也不会逃脱这一规则。任何一个读者,译者也一样,都不会满足于只将语言知识融入文字符号;他总是自发地阐述篇章。人们常常害怕译者的释意,有意将释意一词说成带有贬义的背叛。我举的例子说明好的译者完全是释意,即这个词的真正意义。因此,可以说“翻译即背叛”的讲法是荒谬的。

.....

教学翻译和翻译教学中间有一道鸿沟。两种情况下都使用“翻译”一词造成对翻译活动本质——语言到语言还是篇章到篇章——的某些模糊认识。但两种情况下均使用该词似乎又无可非议,因为翻译后呈现在眼前的都是一不同的语言和文章。但由于使用的方法不同使它们变得大相径庭。教学翻译是教授语言的工具;教学翻译建立字词对应,以此教授给学生。相反,翻译教学以学生掌握语言为前提,旨在向他们传授寻找篇章意义并建立意义对等的方法,培养职业翻译人员。各自目标不同,都很重要,但绝不能将其混淆。

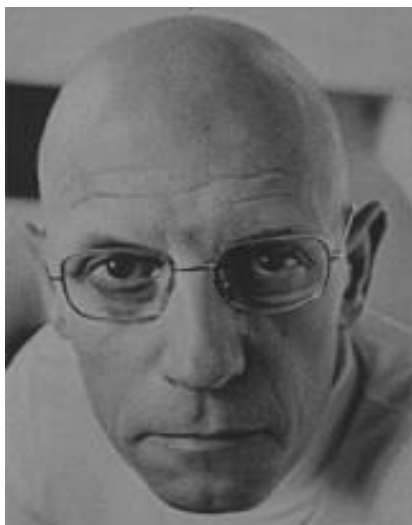
从理论上讲,应该区别两种活动:翻译语言建立在语言对比基础上;翻译篇章则应分析优秀译者翻译活动的现实。

真正的翻译理论以对成对语言的观察为基础,但又不能将其混同于语言。在众多成对语言中使用的相同方法,有助于提炼可广为运用的原则,其使用范围几乎是无穷尽的。

翻译并不总需要学习才能达到正确甚至出色。

——勒代雷:《释意学派口笔译理论》²⁸³

131. (法) 米歇尔·福柯 Michel Foucault



Michel Foucault, 1926-1984

生平及重要译论：

米歇尔·福柯 Michel Foucault, 1926-1984，法国著名哲学家、解构主义学派代表人物。出生于法国普瓦第沃斯（Poitiers）。曾在巴黎高等师范学院（elite École Normale Supérieure）学习哲学和心理学，任 Clermont-Ferrand 大学和 Vincennes 大学哲学系主任，并在世界各地讲学，有着很高的国际声誉，被法国 Collège de France 授予 Professor of the History of Systems of Thought 的荣誉头衔。福柯关于社会哲学方面的研究对德国卡尔·马克思和奥地利心理分析学家弗洛伊德提出挑战。

福柯翻译理论的代表著作是《语言、反记忆、实践》（*Language Counter-memory, Practice*, trans. Donald F. Bouchard and Sherry Simon., 1977）。他认为文本存在着历史性，即在不同时代阅读和翻译原文会带有不同的历史痕迹，对前人作品的理解必定受到所处历史时期的制约。他引用 Jorge Luis Borges 的话说：

事实上，每位作家都是创造自己的先驱者。其作品改写了我们过去的概念，也改写了将来的概念。

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根据福柯，纯粹意义的原文是不存在的，原文的地位不应高于译文。作家的作品不过是体现当时的时代而已，是文本在说明作者而不是作者在说明文本。一句话，作者与文本同属于历史。²⁸⁵

对于翻译中的 *patronage* 问题，福柯从权力的角度进行了自己的阐述。福柯的“作者死亡”理论又称为“权力话语”理论，因为他的出发点是权力。权力无所不在，而权力系统中不存在个人和主体。写作的主体自然也要消失，只剩下“作者功能”，作者仅仅是一种功能。福柯将作者的主体虚无化即为了否定作者，从而揭示出隐藏其后进行操纵控制个体说话的内在力量即权力。这样原文的概念便得到解构从而使译者和译文的地位得以提高。译者成为创造的主体，译本成为创造的新生语言，原文只能依赖译文生存。

史料图片选辑



Michel Foucault

译论史稿辑要

(1)

Further elaboration would, of course, disclose other characteristics of the “author-function”, but I have limited myself to the four that seemed the most obvious and important. They can be summarized in the following manner: the “author-function” is tied to the legal and institutional systems that circumscribe, determine, and articulate the realm of discourses; it does not operate in a uniform manner in all discourses, at all times, and in any given culture; it is not defined by the spontaneous attribution of a text to its creator, but through a series of precise and complex procedures; it does not refer, purely and simply, to actual individual insofar as it simultaneously gives rise to a variety of egos and to a series of subjective positions that individuals of any class may come to occupy.

---- Michel Foucault, *What Is an Author?*²⁸⁶

(2)

It is a form of power which makes individuals subject. There are two meanings of the word subject: subject to someone else by control and dependence, and tied to his own identity by a conscience or self-knowledge. Both meanings suggest a form of power which subjugates and makes subject to.

---- H.L.Dreyfus and P.Rabinow, Michel Foucault: *Beyond Structuralism and Hermeneutics*²⁸⁷

(3)

The question is no longer: How can experience of nature give rise to necessary judgments? But rather: How can man think what he does not think, inhabit as though by a mute occupation something that eludes him, animate with a kind of frozen movement that figure of himself that takes the form of a stubborn exteriority? How can man be that life whose web, pulsations, and buried energy constantly exceed the experience that he is immediately given of them?

---- Michel Foucault, *The Order of Things*²⁸⁸

(4)

What makes power hold good, what makes it accepted, is simply the fact that it doesn't only weigh on us as a force that says no, but that it traverses and produces things, it induces pleasure, forms knowledge, produces discourse.

---- Michel Foucault, *Power/Knowledge*²⁸⁹

132. (法) 罗兰·巴特 Roland Barthes



Roland Barthes
(Francia, 1915-1980)

生平及重要译论

罗兰·巴特（又译罗朗·巴特）Roland Barthes, 1915.11.12-1980.3.25，法国现代文论家。出生于法国瑟堡（Cherbourg, Manche.）。父亲 1916 死于海战后随母亲迁至 Bayonne 后又到了巴黎，获得巴黎大学古典文学（1939）和文法与哲学（1943）学位。曾在罗马尼亚布加勒斯特法语学院（French Institute in Bucharest, Romania, 1948-49）、埃及亚历山大大学（University of Alexandria, Egypt, 1949-50）、美国巴尔的摩约翰斯·霍普金斯大学（Johns Hopkins University in Baltimore, 1967-68）等地大学任教。

巴特学识渊博、著述颇丰，主要有《洛弗的叙说》（*A Lover's Discourse*, 1977），《零度写作》（*Writing Degree Zero*, 1953），《神话》（*Mythologies*, 1957），《批评与真理》（*Criticism and Truth*, 1966），《S 与 Z》（*S/Z*, 1972），《文本的乐趣》（*The Pleasure of the Text*, 1973），《语言之声》（*The Rustle of Language*, 1984）。

在翻译理论方面，巴特的《符号学概论》（*Elements of Semiology*）对于指号与意义之间的简约而明晰的关系的分析是指号学中最有价值最有意义的研究。他在“论意指”（*signification*）一节中对能指（符号）与所指的四种相互关系（*significant correlation*）进行了深入的分析。除索绪尔的“对应”式（*Sr:Sd*）（本书注：*Sr*<名>能指，*Sd*<实>所指）、杰姆斯列夫（*Louis Hjelmslev*, 1899-1965）的“线性”关系模式（*ERC*）（本书注：*relation between the plane of expression and the plane of content*）、拉康（*Jacques Lacan*, 1901-1980）的“浮动”关系（*S:s*）（本书注：*S* 能指: the signifier; *s* 所指: the signified）外，巴特又补充了重要的第四种关系即“替代”式（*Sr=Sd*）（本书注：*Sr*<名>能指；*Sd*<实>所指； $\equiv$ equivalence, 相对于 identity=），属于语义替代或引申。

巴特明确宣称“作者死了”，因此一旦文本完成作者亦不复存在，开始发挥功能的是语言符号：读者依靠解读语言符号来解读文本意义。文本的存在取决于读者。而文本没有中心系统，也没有终极意义。读者可以对文本进行多种解释，而作者对此却无能为力：作者的作用不复存在，只有语言符号和读者在起作用。

史料图片选辑



Roland Barthes au Maroc, 1978.

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译论史稿辑要

(1)

Duplex Structures: If we agree to identify *language/speech* and *code/message*, we must here mention a second appended concept which Jakobson has elaborated under the name of *duplex structures*; we shall do so only briefly, for his exposition of it has been reprinted. IT We shall merely point out that under the name '*duplex structures*' Jakobson studies certain special cases of the general relation *code/message*: two cases of circularity and two cases of overlapping. i) reported speech, or messages within a message (M/M): this is the general case of indirect styles. ii) proper names: the name signifies any person to whom this name is attributed and the circularity of the code is evident (C/C): *John* means a person named *John*; iii) cases of autonymy ('Rat is a syllable'): the word is here used as its own designation, the message overlaps the code (M/C) - this structure is important, for it covers the 'elucidating interpretations', namely, circumlocutions, synonyms and translations from one language into another; iv) *the shifters* are probably the most interesting double structure: the most ready example is that of the personal pronoun (*I, thou*) an indicial symbol which unites within itself the conventional and the existential bonds: for it is only by virtue of a conventional rule that I represents its object (so that I becomes ego in Latin, *ich* in German, etc.), but on the other hand, since it designates the person who utters it, it can only refer existentially to the utterance (C/M). Jakobson reminds us that personal pronouns have long been thought to be the most primitive layer of language (Humboldt), but that in his view, they point rather to a complex and adult relationship between the code and the message: the personal pronouns are the last elements to be acquired in the child's speech and the first to be lost in aphasia; they are terms of transference which are difficult to handle. The *shifter* theory seems as yet to have been little exploited; yet it is, *a priori*, very fruitful to observe the code struggling with the message, so to speak (the converse being much more commonplace); perhaps (this is only a working hypothesis) it is on this side, that of the *shifters*, which are, as we saw, indicial symbols according to Peirce's terminology, that we should seek the semiological definition of the messages which stand on the frontiers of language, notably certain forms of literary discourse.

---- Roland Barthes, *Elements of Semiology*²⁹⁰

(2)

The writer's language is not expected to represent reality, but to signify it. This should impose on critics the duty of using two rigorously distinct methods: one must deal with the writer's realism either as an ideological substance (Marxist themes in Brecht's work, for instance) or as a semiological value (the props, the actors, the music, the colours in Brechtian dramaturgy). The ideal of-course would be to combine these two types of criticism; the mistake which is constantly made is to confuse them: ideology has its methods, and so has semiology.

---- Roland Barthes, *Mythologies*²⁹¹

(3)

The *signification* can be conceived as a process; it is the act which binds the signifier and the signified, an act whose product is the sign. This distinction has, of course, only a classifying (and not phenomenological) value: firstly, because the union of signifier and signified, as we shall see, does not exhaust the semantic act, for the sign derives its value also from its surroundings; secondly, because, probably, the mind does not proceed, in the semantic process, by conjunction but by carving out. And indeed the signification (*semiosis*) does not unite unilateral entities, it does not conjoin two terms, for the very good reason that signifier and signified are both at once term and relation. This ambiguity makes any graphic representation of the signification somewhat clumsy, yet this operation is necessary for any semiological discourses.

[...]

4) $Sr \equiv Sd$: Finally, in non-isologic systems (that is, those in which the signifieds are materialized through another system), it is of course legitimate to extend the relation in the form of an equivalence ($\equiv$) but not of an identity ($=$).

--- Roland Barthes, *Elements of semiology*²⁹²

133. (法) 让·雷内·拉德米拉尔

Jean Rene Ladmiral

生平及重要译论

让·雷内·拉德米拉尔 Jean Rene Ladmiral, 哲学家、翻译家, 当代法国研究“翻译学”(traductologie)的主要人物, 法国翻译理论文艺学派的重要代表。

根据拉德米拉尔自己的划分, 其译论研究分为三个阶段, 即 1) 以类似于人种志学研究的描述手段对翻译问题进行分类、梳理和总结, 资料性是其突出特征, 可称为“翻译种志学”(traductographie)阶段; 2) 从其十几年的法德传译经验中“演绎”出的理论阐述, 标志其研究进入理性轨道, 可称为“翻译学”(traductologie)阶段; 3) 以其近年的哲学著作的翻译为出发点研究翻译中的哲学问题, 可称为“翻译哲学”(traductosophie)阶段。²⁹³

拉德米拉尔著有《翻译的理论要素》(*Traduire: théorèmes pour la traduction*, 1979; ouvrage reproduit, 1994), 该书是其翻译研究第二阶段的代表作, 也是法国译论界的重要成果之一。

拉德米拉尔认为翻译学的主要人物之一是要澄清由翻译实践引起的概念性的模糊, 因为迄今翻译理论仍处于对翻译实践旁观的地位, 翻译理论只是“翻译的理论”(une théorie sur la traduction)而不含有质的、惟一的性质。²⁹⁴

拉德米拉尔重点对四个翻译的基本问题进行探讨: 1) 何为翻译? 2) 翻译是否可为? 3) 翻译与外语教学关系何在? 4) 内涵概念在翻译中作用如何?

在探讨何为翻译的问题中, 拉德米拉尔并未陷入翻译定义的陷阱, 因为对翻译的定义并不影响翻译在社会中的重要作用:

没有一个民族落后与孤立到这样的地步, 能够在他们的生活中略去翻译的作用。

拉德米拉尔对直译与意译论争的实质提出两个涉及的层面, 即哲学层面关于“同”、“似”、“另一”(même, ressemblance, autre)的矛盾统一, 和语言学层面的翻译单位的划分问题。

拉德米拉尔对翻译与外语教学的关系和翻译的重重矛盾做了探索性的论述, 他说:

巴比塔在古代神话最终化为翻译在实践上的各种形形色色异质的进程——每一种实践方式都应对着不同的塔层。那么，作为翻译理论来说，一种所谓的理论融为‘各种问题’的集合也就不足为奇了。²⁹⁵

拉德米拉尔对于“先决否定”的论争提出二元对立性不可能有正面的解决途径的现实。针对“论战性依据”对于译本质量的指责，拉德米拉尔认为：

我们必须承认不是所有译本都如此尽如人意，尤其牵扯到精神分析、哲学或其他人文科学的疑难文本。一个深刻难解的大哲学家，如黑格尔或海德格尔，对他的译者提出的几乎都是难以解决的问题，这就是为什么这类著作往往有好几个不同的译本……说实话，这里所涉及的，并不是错译的问题，应该说只是观点的不同，或者说是在诠释上有所分歧。²⁹⁶

拉德米拉尔很重视语言学上的“内涵”概念，特别是语言内涵的形成以及与个体行为和语言共同体的关系，以此包容翻译的理论“要素”。对此，拉德米拉尔探究道：

如果说内涵被定义为主观意义，问题则在于它究竟是经验性的还是先验性的？也就是说——我们在这里正是用索绪尔语言学从康德哲学那里借来的名词——内涵究竟是一种个人的现象，是话语性的，还是一种集体的现象，即语言性的？²⁹⁷

对此拉德米拉尔选择的是符号学的理论，用“内涵载体”与外延语言单位的不同构性作为翻译研究的理论依据。拉德米拉尔认为这是翻译实践中经常运用的补偿原理，而对译者“不忠”的指责便会不复存在。他说：

一旦原文的内涵意义为译者正确识别，那么译者则有权力自由选择目的语的内涵载体而不必顾及出发语内涵载体形式。因为出发语内涵载体本身与外延语言单位是不同构的。关键在于要再现出发语内涵意义于目的语中。²⁹⁸

拉德米拉尔一反翻译理论的既定标准的传统，强调多元理论要素存在的必要，目的在于说明建立新的翻译理论体系的必要。他总结说：

鉴于我们在上文所指出的理论与实践之间的鸿沟，我们从翻译理论（或者说翻译学）中吸取的惟好处，便在于澄清翻译的诸多困难，将之分类、界定其概念，以便能总结出一种具有决定意义的逻辑。目的在于‘启发’译者，为其在翻译中需要作出有所自动选择的决定时提供帮助，让他能够意识到这些概念工具的存在。翻译学的概念只是一些‘窗户’，可以照亮翻译的实践过程。这是作为一种‘文化知识’或基本培训而存在的……²⁹⁹

134.（法）安托瓦纳·贝尔曼

Antoine Berman

生平及重要译论

安托瓦纳·贝尔曼 Antoine Berman，法国当代著名语言学家、德语文学和拉美文学翻译家。其最负盛名的翻译专著是法国人文科学领域最具权威的伽利玛出版社（Gallimard）出版的《异的考验》（*L'épreuve de l'*

étranger; culture et traduction dans l'Allemagne romantique, 1984) 和《翻译批评论——约翰·唐》(*Pour une critique des traductions: John Donne*, 1995)。

《异的考验》对十九世纪浪漫主义时期最为活跃的德国译坛的翻译及翻译理论发展情况、主要流派及研究方向进行了精要的梳理和探究，从马丁·路德直到荷尔德林，从对翻译本质的认知到对人类语言普遍规律的探索。正如贝尔曼自己所说：

可以说，正是浪漫主义时期德国的翻译理论构成了现代西方翻译主要流派的基础。³⁰⁰

考察翻译及翻译理论的发展，人们会感到翻译理应是人类历史及文化的重要构成部分。贝尔曼介绍十九世纪德国对于翻译的探索：

浪漫派及其他学者大量的翻译作品被视作德意志民族永久的文化遗产，如 A. W. 施莱格尔 (A. W. Schlegel) 和蒂克 (Ludwig Tieck) 翻译的莎士比亚、塞万提斯、卡尔德隆 (Pedro Calderón de la Barca, 1600-1681) 等的经典文学名著；施莱尔玛赫 (Schleiermacher) 翻译了柏拉图的哲学作品；歌德、洪堡 (Humboldt) 和荷尔德林也各自从不同的角度选择了高层次的著作进行译介。。。。。。

大量的翻译实践活动也伴随着种种相关的思考，有直观的经验谈和方法论；有对文化因素和社会因素的探讨；有纯粹思辨意义上的推导；也有对翻译行为本身、语言运用和宗教历史意义的考察.....³⁰¹

关于翻译批评，作为现代翻译的译者、译文阅读者、译文分析者、翻译史家，贝尔曼明确宣称：

正如亨利·梅肖尼克的诗学要求助于洪堡、索绪尔、本维尼斯特，布里塞 (Brisset) 求助于符号学、社会学以及结构主义的诸多的观点 (格雷马斯、福柯、杜维诺、雅各布森等)，我则将自己的理论建立在现代阐释学上。这是我的选择。现代阐释学，尤其是利科与姚斯所发展的有节制的现代阐释学，有助于我澄清自己作为一个译者、译文阅读者、译文分析者乃至翻译史家的经验。³⁰²

贝尔曼认为科学的翻译批评应当是

一种与其他类型的分析有所区别的特殊的推理结构..... 一种自省的，能以其自身特点为批评主体的，产生自身的方法论的评论方式；它不仅仅要产生出自身的方法论，而且还试图将该方法论建立在明晰的，有关语言、文本及翻译的理论基础之上。³⁰³

这里，贝尔曼欲在亨利·梅肖尼克的诗学理论的创作论的“介入批评”和特拉维夫学派的翻译文学的“实用主义”的翻译批评两极间寻求以翻译主体为本的科学的可操作的翻译批评方案。贝尔曼认为翻译批评应赋予翻译主体一种个人化 (翻译因翻译者不同而不同)、一种自省性 (在一个自治的领域内产生逻辑联系)、一种自由度 (每个译者对自己的活动以及活动结果负责)，以主体来包容译者所处的目的语文学、社会历史、思想观念条件，以主体的“负责”或“尊重”的态度来面对原作。³⁰⁴

贝尔曼提出翻译批评应将译者置于翻译立场、翻译方案、翻译视界三个方面进行考察。译者的翻译立场在译序、译后记等有所陈述，而翻译方案与翻译立场有着密切关系。他说：

在成功的翻译中，自主性与非自主性的结合就会促进我们所谓‘翻译方案’的形成，该方案无需理论化.....而译者却可能据此决定自主的程度或其在翻译过程中不得不为之的非自主因素，这一切都是‘前分析’的基础。³⁰⁵

关于翻译视界，贝尔曼所给出的译者视界的范围是

所有‘决定’译者所感、所为、所思的语言、文学、文化以及历史的因素。³⁰⁶

135. (法) 亨利·梅肖尼克 Henri Meschonnic



Henri Meschonnic

生平及重要译论

亨利·梅肖尼克 Henri Meschonnic，法国当代著名文论家、翻译理论及批评家。

梅肖尼克在现代语言学、符号学和诗学的基础上建立了自己的翻译理论与翻译“创作”理论。由于其翻译批评理论是“不仅依据自己的主张评价别的译本，还对与其观点不符的译本进行抨击”，因此被贝尔曼称为“介入批评”。³⁰⁷

梅肖尼克最具代表性的著作是《诗学——创作认识论与翻译诗学》(*Poétique de traduire*, 1973)。

梅肖尼克提出作为翻译理论实践过程的“系统性原则”的关于诗学翻译的 36 条原则。他认为诗学要比语言学更深刻、更全面。他说：

一种语言的理论包含着一种文学的理论，而一种文学的理论亦包含着一种语言的理论在里面。但一种语言的理论包含有文学理论，并非将其视作极限和特例，而是相较于语言其他社会应用的一种特殊的实践。³⁰⁸

根据梅肖尼克，作为有待于理论化的社会实践活动的翻译便有了理论的指导，而这个指导便是翻译诗学。特别是文学翻译，更是离不开诗学理论的指导。

梅肖尼克认为奈达的翻译理论并非建立在真正的科学意义之上，只不过是机械地运用了语言学的生成转换原理和结构主义语言学手段。因此他提出文学作品的翻译所应采用的诗学观点。（参阅下面的“译论史稿辑要”）

梅肖尼克从文艺学派的观点来论述翻译理论，准确地讲，是诗学中的翻译理论，并融入美学的内容，同时对“实用语言学”进行了尖锐系统的批判。不过，梅肖尼克的诗学并未能够彻底取代语言学的地位和影

响，也未能将两者彻底融合。

译论史稿辑要：

语言--文学，或语言--文化，或形式--内涵：并没有两样可分的、异质的东西。当作品存在之时，即有一个整体存在，是作为整体可译的。.....

每件作品都有其独特的音调、色彩、生动性及氛围。每一段文字除却其字面及具体的含义外，如同每一段音乐一般，还有其不能言表的蕴义，这也正是诗人意欲给我们审美感受之惟一所在。而也正是这层蕴义，才是译者当致力反映的.....为了道出文学作品的这种文学蕴义，首先要抓住它，光抓住它也还不够，还要重建它。.....

通常的翻译是与阅读、与一种唯名论的运用和教育相对应的实践。.....

最好的译家都是些作家，他们将翻译融入创造之中。.....

每种语言都有其特有的形式，现时的及可能的，诗人已经发现并运用的和尚待发现的。.....

翻译，我们知道，正具有揭示这种潜藏的可能性的能力。.....

翻译诗学实现了源于俄国形式主义和结构主义的诗学理论与现代写作实践的结合。翻译诗学不将理论与实践截然分离。它正是建立在它们的相互作用上。它将翻译与创作置于同一水平。一部作品的翻译被规定为一个言语系统。.....一个言语系统，有其内在的节奏与协调，并非一种诗化、造作的语言。³⁰⁹

136. (法) 安帕罗·于塔多·阿尔比

Amparo Hurtado Albir

生平及重要译论：

安帕罗·于塔多·阿尔比 Amparo Hurtado Albir，法国翻译理论家，主要翻译著作为专著《翻译的忠实概念》(*La notion de fidélité en traduction*, 1990)。从该书书名即可看出，阿尔比是围绕“翻译的忠实”概念展开其翻译理论的探讨与论述的。

阿尔比首先确认了翻译的可译性，他说：

“从任何语言到任何其他语言翻译都是可能的，而且对于任何类型的文本翻译都是可能的。”

(Translation is possible from any language to any other language and is possible for any kind of text.

---- in *La notion de Fidélité en Traduction*)

阿尔比强调翻译研究要重在研究翻译过程的本身：

翻译的现代研究常常求助于其他学科，但是人们似乎忘记了应该从翻译实践的自身去审视它，忘记了译者自身：如果没有译者，翻译活动就不可能进行。³¹⁰

在上述论述的基础上并结合对译论史的回顾，阿尔比对“应该忠实于什么”的重大历史悬案做出自己的论断。他提出，翻译行为的中心在于翻译主体，因此忠实的目标自然应该是翻译主体的意义(sens)。阿尔比对于意义(体现在语言之外)作如此描述：

对一个词或一句话的理解就必须求助于一系列的因素：对于上下文环境的了解，对于语言环境的了解，以及在整个认知与社会历史知识方面的掌握。.....

我们很快就能忘记发话者所用的词，但是我们能够借助各种语言或非语言知识将我们所理解的内容保存在记忆之中。这个保留下来的‘结果’很难确定，因为它不是以语言的形式出现的。.....

神经病理学的发展告诉我们口头理解仅仅是在左半脑颞皮层的一个相对有限的区域里进行的，以印迹的形式出现，每一个特殊神经存储体都保存有一个获取到的意义。³¹¹

因此，阿尔比认为翻译的理解过程是个解释、提喻和提取意义（该意义是动态的、不确定的）的过程。同时，阿尔比对与意义有关的诸概念也进行了阐释，包括 1）涵义（*signification*）、现实化含义（*signification actualisée*）与意义；2）信息（*information*）与意义；3）效果（*effect*）与意义；4）意图（*intention*）与意义；5）风格（*style*）与意义；6）内涵（*connotation*）与意义；7）不言之意（*implicite*）与意义。这样，阿尔比的意义概念就更清楚一些了：

意义单元是诸如风格、内涵、信息等因素共同作用之下的一种综合。.....（根据）所译文本类型的不同，某些因素所起的作用亦有可能不同，比如说在诗歌中风格与内涵的因素会占上风，而在科技文章中则是信息因素起重要作用。³¹²

在此基础上，阿尔比进一步提出忠实于意义的三大参照要素，即原作者的“欲言”、目的语及译者的读者。三大要素构成稳固的联系，忠实于意义也就有了更深刻的含义：

翻译中不变的因素是意义，它与原作之间建立了一种非语言的关系，并体现为上述的这种三维结构。因此，要译意义即要背叛词。如若译者要真正翻译他所理解的意义（等同于原作者的‘欲言’），他就必须忠实于意义而不用来表达意义的词；在用目的语重新表达的过程中，译者当然会使用远离原作语形式的表达手段，因为他是为着不同的读者，用一种完全不同的语言去重新表达的。³¹³

进一步，阿尔比还提出与三大参照因素相对应的衡量忠实的三大方面，即译者的主体性（*subjectivité*）、历史性（*historicité*）和译文的功能性（*fonctionnalité*）。

关于译者的主体性，阿尔比评论说：

认为翻译主体的介入只是造成了在不同的表达上的差异，或者说只是因为译者的外语及母语能力有所差异而导致了不同翻译的存在，这是一个极大的错误，因为这无疑又是把翻译归结为一个单纯的语言现象。.....

有些译者解释了句与句之间的关系，明确表达了其中所隐含的信息，甚至改变了句法；而另一些译者却局限于原作的字面涵义和句式结构；在这些不同的结果后面掩盖着不同的翻译方法与不同的‘重视’。后者只关注原文的词汇和结构，忠实于语言，采用读字字直译的方法；而前者关注的则是对整个文本的理解，忠实于意义，采用的是释意的方法，而自由的译法则远离了对意义的重新表达。.....

字字直译会引起非常明显的错误，译者便不得不利用自己的创造性，采用释意方法，而这也往往是不同译者间差别最大的时候。.....

在重新表达中的确存在着一定的自由度，但是要想忠实于意义，译者也必须服从重新表达这一层面所必须服从的某些限制，因为它只能使用那些可以清楚正确地为目的语读者表达相同意义的手段。³¹⁴

关于历史性，阿尔比还强调了翻译的时空因素：

译者不仅要受到他所属的那个时代的语言的限制，更是为一系列的非语言理念、政治观点、审美趣

味等因素所制约，使他趋向于采用这样或那样的翻译方法。³¹⁵

关于译文的功能性，阿尔比强调功能性的两个层面，即翻译的起点——原文本的类型和翻译的终点——翻译的目的语译文的读者。

尽管阿尔比关于忠实于意义的论述存在一定的矛盾，但毕竟为探求翻译的一些根本问题提供了有益的借鉴。

137. (前苏联) 科米萨罗夫

Комиссаров В.Н.

生平及重要译论

科米萨罗夫 Комиссаров В.Н. (Vilen N. Komissarov)，前苏联著名语言学派翻译理论家，著有《论翻译》(Слово о переводе, 1973)、(主编)《国外语言学中的翻译理论问题》(Вопросы теории перевода в зарубежной лингвистике, 1978)、《翻译语言学》(Лингвистика перевода, 1980)、《翻译理论(语言学方面)》(Теория перевода (лингвистические аспекты), 1990)等。

科米萨罗夫在《论翻译》一书中提出了其独特的“等值层次”的理论。他认为，译文与原文的等值关系应该是建立在不同的层次上的，因为话语结构是个包括语言符号层次、话语层次、通报结构层次、情景描述层次和交际目的层次等五个层次构成的复杂的综合体。

科米萨罗夫还将翻译的等值分为两类：传递原文功能语境内容的翻译等值和传递语言单位语义的翻译等值。

科米萨罗夫特别强调翻译的语言学性质，甚至提出“翻译语言学”的构想。

关于翻译标准问题，科米萨罗夫提出应该考虑五个方面的内容：1) 对等性；2) 文体风格；3) 语言的地道使用；4) 使用功能；5) 惯例。

科米萨罗夫还区分了翻译与释译。

科米萨罗夫曾应蒙娜·贝克尔 (Mona Baker) 之邀为其主编的《翻译研究百科全书》(Routledge Encyclopedia of Translation Studies) 撰写了“俄罗斯(翻译)传统”(Russian tradition) 部分，论述简明扼要，评价中肯，融入其精湛的分析与见解，成为研究俄罗斯翻译发展及译学理论的发展历史与传统的重要文献资料，而俄罗斯的翻译理论研究在西方译学界具有举足轻重的重要地位。

译论史稿辑要：

[...]

Translation in Kievan Rus

[...]

In this early period the translator's name was not mentioned as a rule, and it was often impossible to say whether a translation was made within the country or beyond its borders.

During the tragic years of the Mongol invasion (1228-1480) translations continued to play a major role in shaping the cultural character of the country. More parts of the Bible were translated and some of the previous translations were revised or replaced with new ones. Alongside religious translations, translated versions of non-religious material gradually began to appear, including *Istoriya Indiysskogo Korolevstva* (A Tale of the Indian Kingdom) and *Troyanskaya Voina* (The Trojan War). Most translations were made from Greek, some presumably used Latin and Old

Hebrew sources.

This period also witnessed the gradual formation of the Russian language as a result of mutual influence between Old Church Slavonic and the people's vernacular. However, religious texts continued to be translated into Old Church Slavonic, which nobody spoke outside church services. At the same time, contact with other countries required the translation of political and business documentation, and here the new Russian language began to gain ground. Apart from translations, original texts during this period were themselves also written in a mixture of Slavonic and Russian.

Translation in the sixteenth and seventeenth centuries

[...]

In the seventeenth century, a greater number of translations of predominantly non-religious material began to appear. Scholarly translations included topics in astronomy and astrology, arithmetic and geometry, anatomy and medicine, as well as descriptions of various animals. Some translations could be described as works of literature in their own right. Also during this century, bilingual dictionaries were compiled for the first time to help translators in their work: Latin-Greek-Slavonic, Polish-Slavonic, Russian-Latin-Swedish and other combinations.

Translators of this period fell into four groups. First, there were staff translators in various administrative departments. These were mostly foreigners (Poles, Germans, Dutchmen) or natives from the southern or western parts of the country. As often as not, they had a good command of classical languages or of Polish but their knowledge of Russian and Old Slavonic was very scant. They were probably assisted by scribes, who wrote down and corrected their translations. The second group was small and consisted of a few monks who had a scholarly background and translated only religious and didactic books from Latin and Greek. The best known among them were Epiphanius, Slavinezky, Arsenius the Greek and Dionysius the Greek. The third group was the largest and its members could be described as part-time translators who occasionally made one or two translations in their spare time. Finally, there were translators who worked on their own initiative and chose the source texts they wanted to translate. Among them were some attendants of the tsar, for example Andrei Matveev, Bogdanov and Prince Kropotkin.

Translation in the eighteenth century

[...]

A new stage in translation activity began to develop in three directions. First, translation began to be institutionalized, with new structures emerging to organize and supervise the work. A group of translators were assembled in Tsar Peter's Foreign Collegium, and in 1735 the St Petersburg Academy of Science established the Russian Assembly, which was the first professional organization of translators. Lomonosov, Trediakovsky and a few other members of the Academy were active in the Assembly, which had a body of staff translators. The Assembly selected books for translation, laid down some rules and principles and produced critical reviews of the work performed. It was also involved in training future translators. The Academy set up a language school whose graduates often became official translators. The general requirement at the time was that a translator had to be able to translate from at least three languages: Latin, German and French. Some students were sent by the Academy to study 'languages and sciences' abroad. Examinations were held to assess the professional performance of translators. The Academy also tried to stimulate public interest in translation. In 1748 its President announced an order from the Tsarina Elisabeth to step up the translation of non-religious (secular) books. Later, the Academy Chancery published an appeal to the 'gentlefolk and people of other ranks' to produce translations. It was during this period that translators began to receive regular remuneration for their work.

In 1768, the Society for the Translation of Foreign Books was established with 114 members; among them were such eminent personalities as Trediakovsky, Sumarokov and Radishchev. The Society existed for 14 years and produced many literary translations; it also stimulated discussions on the theoretical problems of translation.

The second dimension of this new stage of translation activity involved a change in terms of the selection of books to be translated. At the turn of the century, translations of classical authors began to be supplemented by a great number of books of a pragmatic nature; these were needed to support the age of reform. The process was accompanied by a change in the source languages: Polish texts now lost their popularity and the emphasis gradually shifted to modern European languages -- mainly French, German and English.

Technical translations later lost their predominant position and literary translations came to occupy their place. Social reforms stimulated cultural life, and local literature was not yet at a stage when it could fulfil the cultural needs of Russian society. Literary translations were expected to fill the gap and to meet important social and cultural needs. Translators regarded their work as a service to their country, and they expressed this belief in forewords and prefaces to their translations. They believed that their mission was to enlighten and instruct their compatriots, to set moral standards and to create a new Russian literature. From that time on literary translations always enjoyed a high status in Russian culture.

This new awareness of the social importance of translation and translators constituted the third characteristic feature of the period. Translation was now considered a kind of creative writing, no less worthy of respect than original literature. The translator was regarded as a rival of the source-text author, with the translated text being expected to aspire to higher standards and even to surpass the source text in terms of artistic quality.

The eighteenth century also witnessed the emergence of poetry translation in Russia, which later developed into a highly esteemed activity. TREDIAKOVSKY, for instance, made his reputation from his translation of P. Talmán's *Voyage à l'île d'amour*, which included many verses that were successfully rendered in Russian rhyme. Less known but no less remarkable was A. Kantemir's translation of Horace's *Epistles* and other pieces of poetry from Latin and French. Especially numerous and varied were LOMONOSOV'S translations from Latin, German, French and Greek, in which he showed remarkable skill both in rhymed and free verse. He paid much attention to reproducing the rhyming scheme of the source text, using various forms of choriamb and iambus to render the alexandrine of French epics and the hexameter of Greek tragedies. As Russian poetry of the time was not highly developed and was still based on the distribution of syllables, Lomonosov's innovations helped to enrich it and to establish new forms and traditions in the genres and metres of Russian verse.

The nineteenth and early twentieth centuries

The nineteenth century can be described as the golden age of Russian translation. If the previous age had made translation a professional activity, the nineteenth century raised this activity to the level of high art.

[...]

Pushkin referred to ZHUKOVSKY as 'the genius of translation'. Zhukovsky was a talented Russian poet but translations accounted for a considerable part of his output. He translated from English, French, Old Russian, Latin and German. Thanks to him, Russian readers gained access to many works of Schiller, Goethe, Byron, Walter Scott and other giants of world literature. The range of his creative translation activity was staggering, covering, among other things, translations of fairy tales by Charles Perrault and the Grimm brothers, a complete translation of Homer's *Odyssey* and a translation of the famous Old Russian epic *Slovo o polku Igoreve* (The Tale of Igor's Host). Zhukovsky is one of the leading names in the history of translation in Russia.

Like Karamzin, Zhukovsky advocated free translation, which sometimes resulted in a paraphrase or even a new story on the subject of the source text. He would occasionally transfer the setting to Russia, give the source text characters Russian names, and so on. His outstanding talent, however, enabled him to reproduce the style, rhythm and tone of the original poetry, and his best translations were remarkably faithful to their sources. The Russian school of translation owes much to Zhukovsky's legacy.

The practice of taking liberties with the source text was also characteristic of prose translations of the period.

Irinarkh Vvedensky, a talented and very popular translator of many novels by Charles Dickens and William Makepeace Thackeray, would typically add several pages which had nothing to do with the source text. In his translation of Dickens's *David Copperfield*, for example, he introduced his own texts at the end of the second chapter, at the beginning of the sixth chapter and in some other parts of the novel. And he justified such contributions by the desire to please the reader, claiming that the translator had the right to freely recreate the spirit of the source text, to give a new life to the ideas of the author in a new situation -- 'under another sky', as he put it.

Alexander Pushkin and Mikhail Lermontov, the two great Russian poets, also played a major role in the history of translation in Russia. Although translations occupied a relatively modest place in their poetry, they made a significant contribution to the improvement of literary translation in Russia. In their poetic paraphrases and imitations they managed to reproduce the most important features of foreign poetry and, above all, their renderings were remarkable works of art in their own right, in no way inferior to their original masterpieces. These free translations served as a model for other translators and established an important principle, namely that a good literary translation should be part and parcel of the national literature in the target language. The role played by Pushkin in the development of the Russian school of translation deserves special emphasis. He always showed great interest in the problems of translation, and his critical analyses of translations were exemplary and thought-provoking. He emphasized the importance of the initial selection of the literary works to be translated. His insistence on loyalty to the source text, coupled with the high quality and expressiveness of the translator's literary style, was a positive influence on the best Russian translators of the nineteenth and twentieth centuries.

Although the majority of translators during this period advocated and practised free translation, a few insisted on complete faithfulness to the source text, on literalism even to the detriment of sense and clarity. Among them were such prominent men of letters as P. A. Vyazemsky, N. I. Gnedich and A. A. Fet, all of whom translated from a number of different languages. However, they did not always practice what they preached. Sometimes the translator's artistic intuition and talent broke through the barrier of literalism. Vyazemsky's translations of works by Benjamin Constant and Adam Mickiewicz, for instance, were not devoid of literary value, and Gnedich's translations, especially of Homer's *Iliad*, were highly appreciated by Pushkin. Fet's extreme literalism adversely affected the quality of most of his translations, but he did come up with successful solutions sometimes.

Free translation was sometimes practised as a means of promoting democratic ideas, which would not have escaped official censorship in original works. Translators such as V. Kurochkin, D. Minaev and M. Mikhailov, among others, achieved this by choosing suitable source texts and/or by introducing in their translations subtle changes which triggered associations with the Russian context. It was during this period then that using translation as a vehicle of dissent became part of the Russian tradition.

The Soviet period

The years following the 1917 Revolution saw a new upsurge in translation activity. On Maxim Gorky's initiative, a new publishing house was set up with an ambitious goal of publishing the new or revised translations of all major literary achievements both in the West and in the East. In spite of enormous practical and administrative difficulties, this organization managed to publish in the following two decades or so translations of the works of such great authors as Balzac, Anatole France, Stendhal, Heine, Schiller, Byron, Dickens, Bernard Shaw, Mark Twain and many others.

[...]

The fact that the Soviet Union was a multinational state contributed to the growing demand for translation. The scale of translation among national literatures was particularly impressive. Russian readers became familiar with the great epics from Georgia, Armenia, Uzbekistan, Kazakhstan, Azerbaijan and elsewhere. Much was done in this field by such prominent Russian poets and writers as Lev Ginzburg, Boris Pasternak and Nikolai Tikhonov.

The information explosion of the second half of the twentieth century gave a tremendous impetus to non-literary translation. The majority of translations were now of social, political, scientific and technical material. There was a growing demand for professional translators, but non-literary texts were still frequently being translated by non-professionals as part of their work in other spheres.

This unparalleled boom in translation activity brought many new people into the profession and resulted in structural and organizational changes. A network of translation services, agencies and departments was established in government offices and industrial and commercial enterprises. Many translators and interpreters became staff personnel; others worked part time or freelance. Even the scale and the overall high quality of translations, both literary and technical, the country was justly regarded as a great translation power during this period.

The increased demand for professional translators was met by numerous training establishments. A number of foreign language institutes set up translation departments, and translators were also trained in universities and technical colleges. Many educational establishments offered their students courses in translation alongside their main professional specialization.

[...]

This rich and varied translation activity attracted much attention and recognition. Many periodicals regularly published translations from various languages as well as critical assessments of the strengths and weaknesses of specific translations.

Translation in the post-Soviet period (the 1990s)

The years of *perestroika* radically changed the nature of translation practice in general and the market for translations in particular. The abolition of censorship has made it possible to translate many books which had been regarded as inadmissible on ideological or moral grounds. Publishing houses are no longer financed by the state, and many have since gone bankrupt or have had to reduce their output drastically. The market has been swamped by private commercial enterprises, with the result that book prices have risen sharply and standards have generally dropped. Emphasis has now shifted to translating popular fiction and pornographic material.

The new situation has had both positive and negative effects on the business side of translation. Most translations are now from English and translators receive better remuneration. Higher fees encouraged many non-professionals to try their hand at translation, and this has naturally produced a great number of poorly translated books. The new publishers set very tight deadlines in order to market the translations ahead of their competitors; they are no longer interested in supporting the kind of long and arduous effort that can result in a masterpiece.

There has also been a greater demand for English and German interpreters, and many of them earn good money working for national or foreign firms, or joint ventures. By contrast, translators from other languages often find it difficult to make a living. Especially hard hit have been the languages of limited diffusion and staff translators who had previously enjoyed a regular income in the state publishing houses.

[...]

Translation theory in Russia

As an important aspect of the nation's culture, translation has been the object of scholarly discussion in Russia throughout its long history. It was not, however, until the second half of the twentieth century that the thought-provoking but often subjective ideas of critics, authors and members of the profession were supplemented by attempts to develop a coherent theory of translation. Since then, the level of growth in translation activity has been matched by numerous publications on theoretical aspects of translation.

Translation research in Russia stems from different schools of thought, reflects different areas of interest and

expresses opposing views. Nevertheless, some common features can be singled out to identify what can be described as the Russian school of translation theory.

Russian translation theories are largely based on the assumption that translation is a phenomenon that can be studied and described in an objective and consistent way, using various methods of observation and analysis. The translator's decision-making process may seem subjective and intuitive, but it is ultimately governed by correlated linguistic and cognitive patterns in the source and target languages. Translation theory is expected to be descriptive in the first place, and its main task is to study observable facts, to discover the regular features of the translating process common to most individual acts of translation. It is only after discovering what translation actually is that conclusions can be drawn concerning what it should be. Theoretical generalization must therefore be based on facts rather than on subjective speculation. The main method of research used by Russian translation theorists is the comparative analysis of the source and target texts, as well as various experimental studies of the actual act of translation.

Theoretical investigations of translation in Russia are largely carried out within a linguistic framework. Most researchers regard the linguistic theory of translation as an important branch of the linguistic sciences, alongside general linguistics, comparative linguistics, psycholinguistics, sociolinguistics, text linguistics and other areas of linguistic research. This broad concept of macrolinguistics makes it possible to make extensive use of linguistic methods to describe the formal, semantic and cognitive aspects of translation. Most translation theorists in Russia are professional linguists as well as practising translators. This helps to maintain a close link between theory and practice.

Scholars of translation in Russia carry out a wide range of investigations which embrace all aspects of the translating process and all the factors which are thought to influence it. They attempt to deal with general aspects of interlingual communication -- its linguistic, cognitive and psychological dimensions -- as well as problems associated with translation from one particular language into another. Much attention is paid to the concept of equivalence in translation, to the pragmatic and stylistic aspects of translation, to various models of the translating process and the meaningful text components which are replaced by equivalent elements in the target text. Translation problems are investigated through the analysis of translations from and between English, German, French, Spanish, Italian, Russian and other languages. The idea is that such complex studies of translation activity will eventually enable scholars to generalize from their findings and to develop a viable framework that can accommodate a general theory of translation.

Of no small importance is the fact that translation studies in Russia embraces all types of translation. Much attention is paid to the description of various aspects of non-literary translation, both written and oral, with an emphasis on political, technical, commercial and similar types of translation. Research in the field of literary translation considers both its linguistic and artistic feature. In terms of oral translation, the object of interest is mainly conference interpreting, especially simultaneous interpreting. The investigation of such a wide range of translational activities has made it possible to describe both common features of all translations and the peculiarities of each particular type of translation.

Translation studies in Russia has always maintained close links with the practical training of future translators and interpreters. Specific types of research have often been prompted by the need to develop effective training syllabuses and curriculae. Training establishments use theoretical research results to select appropriate teaching techniques and include courses in translation theory and practice in their syllabuses.

---- Vilen N. Komissarov, "Russian tradition"³¹⁶

138. (前苏联) 加切奇拉泽

Гиви Р. Гачечиладзе

生平及重要译论:

加切奇拉泽 Гиви Р. Гачечиладзе, 1914-1974, 前苏联著名文学翻译家、翻译理论家, 第比利斯大学英语教授。加切奇拉泽是前苏联第一批翻译学博士和“对比诗学”创始人之一, 其主要翻译理论著作有《文艺翻译理论问题》(Вопросы теории художественного перевода, 格鲁吉亚文版, 1959; 俄文版, 1964)、《文艺翻译理论概论》(Введение в теорию художественного перевода, 格鲁吉亚文版, 1966; 俄文版, 1970)、《文艺翻译与文学交流》(Художественный перевод и литература взаимосвязи, 俄文版, 1972)。曾将莎士比亚、拜伦、雪莱、歌德、雨果、普希金、莱蒙托夫、谢普琴柯、马雅可夫斯基等人的作品译成格鲁吉亚语。

加切奇拉泽对前苏联翻译的文艺学派的“现实主义翻译”理论进行了全面、深入和开拓性的阐述, 进一步发展了该学派的理论观点。

加切奇拉泽强调要用现实主义翻译理论来指导翻译实践。对于“现实主义翻译”, 他论述道:

我们应当把卡什金的号召(即号召译者冲入原作者对生活现实的感受——引者)理解为在翻译的范围内进行创作。这也就是反映原文的艺术现实, 即第二性的特定的现实, 它虽因艺术程式有别于第一性的生活现实, 但仍然是译者反映的惟一对象。译者如果局限于原文, 不在自己的想象中重视作者当时所看到的东西, 他就不是一个有创造性的人。译者正是要从作者的意象出发, 原文中的文词是供深入现实用的, 译者应当在艺术现实的背后看到原作所反映的活生生的生活(译者是通过作者的感受反映它, 并不是创作自己的作品)。这也就是对现实主义方法的解释: 现实主义者, 遵循现实主义艺术规律(反映原作的形式和内容中一切特殊的和典型的东西, 再现原作形式和内容的统一), 反映原作的艺术真实, 而与原作在文字上一致, 更确切地说, 在修辞上一致仅有助于达到忠实, 但不应让这一点来左右自己的意志。忠于原作的艺术真实, 这才是现实主义译者的目标。³¹⁷

加切奇拉泽认为, 翻译是原著艺术现实的反映过程, 因此翻译应该再现原著的形式与内容的统一。这也反映了文艺翻译的辩证关系。根据现实主义翻译方法, 译者需要辩证地对待形式与内容两个方面: 既不能拘泥于原文形式, 也不能随意改变原文内容, 而要尽力忠实于原文的艺术现实, 忠实地译出原文形式与内容的统一的整体。

加切奇拉泽还认为, 文艺翻译有其特殊性。既然文艺翻译需要尽力忠实原文的艺术现实, 就必须重视翻译的创造性, 因为文艺翻译也是一种创作。通过文艺翻译对原文的再创作, 再现原文形式与内容统一体的完整艺术效果。

加切奇拉泽坚持认为文艺翻译理论有别于语言学研究, 应该具有独立性, 应该独立于语言学范畴。他说:

找出语言上的对应物是语言学家的任务, 但这不是艺术创作分析的对象, 而分析文艺翻译则是文艺创作的另一种形式……形象地说, 文艺翻译领域的起点, 就是语言对比领域的终点……应当把文艺翻译看成是语言艺术的另一种形式, 也就是说应该从文艺学的角度, 而不是从语言学的角度来进行研究。³¹⁸

139. (前苏联) 科尔涅伊·楚科夫斯基

Корней И. Чуковский



Kornei Chukovskii: 1882-1969

生平及重要译论：

科尔涅伊·楚科夫斯基（又译丘科夫斯基）Корней И. Чуковский (Kornei Ivanovich Chukovskii), 1882-1969, 出生于彼得堡 (Peterburg), 前苏联著名作家、翻译家、翻译理论家。曾翻译过狄更斯、吉卜林、王尔德、马克·吐温、惠特曼等人的作品。

楚科夫斯基是前苏联文艺学派翻译理论主要创始人，著有《论散文的翻译》(Переводы прозаические, 1919)、《翻译的艺术》(Искусство перевода, 1930) (The Art of Translation)、《崇高的艺术》(Высокое искусство, 1941) 等。

楚科夫斯基 1919 年针对当时翻译界流行的逐词翻译的做法，提出：

逐词准确地翻译，有时会导致对整个原文思想的歪曲。³¹⁹

楚科夫斯基将翻译比作表演艺术，并因而赋予翻译创造性的本质。他还特别强调译者与原作者具有相同的个性，而小说的译者则更应该是艺术家和语言大师。

楚科夫斯基认为理解原文必须从原文的角度进行，以便对原文的思想和风格作出客观的分析，客观地再现原作者的真相。

楚科夫斯基还反对译者的外国腔调，主张译文应摆脱外语语法的影响。他将大量的话语特征认为是“令人难以理解的言语语调” (elusive tonalities of speech)。

楚科夫斯基还曾谈到翻译中“Imprecise precision” (不准确的准确) 的两难现象。(参阅下面的“译论史稿辑要”)

译论史稿辑要：

Lexical discrepancies are very easily caught. If the original says 'lion' and the translation has 'dog', it is obvious the translator made a mistake. But if the translator misconstrues not individual words and phrases, but the basic colouration of an entire piece, if he offers safe and hackneyed verses instead of explosive, innovatively bold verses, sugary phrases in place of ardent ones, halting instead of flowing syntax -- we are almost powerless to convince the ordinary reader a fraud had been foisted on him.

But there is nothing more difficult than exposing this kind of slander, because it is stated not in words or phrases but in elusive tonalities of speech for which no methods of definition have yet been worked out.

[...]

A precise, literal copy of a poetic work is the most imprecise and false of all translations. The same can be said of translations of artistic prose.

[...]

[...] (the translators) did not catch the author's intonations and thus robbed his words of the dynamism stemming from the rhythm.

---- Kornei Chukovskii, *The Art of Translation*, Knoxville³²⁰

140. (前苏联) 日尔蒙斯金

В.М.Жирмунс-кий

生平及重要译论:

日尔蒙斯金В.М.Жирмунс-кий, 俄国著名文学家, 主要著作包括《论形式主义方法问题》(1923)、《作为程序的艺术》和《俄罗斯文学中的歌德》(1937)等。

日尔蒙斯金是俄国形式主义学派的重要代表人物。他坚决反对内容与形式的二元论观点, 认为艺术作品的内容与形式是密不可分的, 没有脱离形式的内容, 也没有不表现内容的纯粹形式, 形式与内容之间互为因果, 互相生发, 共同成就了艺术作品的审美表达。他说:

艺术中任何一种新内容都不可避免地表现为形式, 因为, 在艺术中不存在没有得到形式体现即没有给自己找到表达方式的内容。同理, 任何形式上的变化都已是新内容的发掘, 因为, 既然根据内容来理解, 形式是一定内容的表达程序, 那么空洞的形式就是不可思议的。³²¹

俄国形式主义学派对俄国比较文学影响深远, 强调形式是艺术特征的主要载体。作为这个学派的重要代表人物, 日尔蒙斯金也是苏联比较文学的重要奠基人。

日尔蒙斯金是世界上最早将翻译文学作为一个专门的文学术语提出并加以界定的学者之一。³²² 日尔蒙斯金对翻译理论特别是文学翻译的见解主要见于其巨著《俄罗斯文学中的歌德》(1937)一书中。他特别强调译者的“创造性”作用, 而不同时代的译者又反映了不同特定时代的不同的“艺术趣味”, 因此一个原作必定会有数量众多的译作, 这是世界文学发展的必然。(参阅下面的“译论史稿辑要”)

译论史稿辑要:

文学作品的翻译, 尤其是语言大师、作家, 而不是职业翻译家翻译的作品, 总是为了迎合某一文学--社会集团在特定历史阶段的意识形态的需要而译的。其实, 对打算翻译的作家或作品的选择的本身就是一个很有意义的事实了, 反映了特定的历史阶段的艺术趣味, 反映了特定的文学流派的存在。就像对文学楷模的比较松散、比较自由的模仿作一样, 任何翻译都跟建立在译者本人风格基础上的创造性思考、跟译者本人的再创造有关, 至少它提出了、强化了、提示了原作中为译者所感悟、所接受的一面。这样的创造性译作已经有机地融入了译者所属的文学之中, 融入了该文学不断发展的进程之中, 并且在其中占据了与它在其本国文学中所占地位不尽一致的地位。.....数量众多的译作正是世界文学发展的一个实质性的标志。

---- 日尔蒙斯金,《俄罗斯文学中的歌德》³²³

141. (前苏联) 安德烈·费奥多罗夫

Андрей В. Фёдоров

生平及重要译论

安德烈·费奥多罗夫(又译费道罗夫) Андрей В. Фёдоров (A. V. Fedorov), 1906- , 语言学家、翻译理论家, 列宁格勒大学教授, 主要著作有《论文艺翻译》(*О художественном переводе*, 1941)、《翻译理论概要》(*Введение в теорию переклоссетео перевода*, 1953)、《十八至二十世纪俄国作家论翻译》(*Русские писатели о переводе XVIII-XX BB*) 等。

《翻译理论概要》从语言学的角度对翻译理论进行首创性的系统研究, 是一部划时代的翻译理论专著。该书的发表曾在历史上引起一场关于文学翻译的大争论, 并导致前苏联翻译理论的文艺学派和语言学派两大流派的形成, 费奥多罗夫也成为后者的奠基人。

由于前苏联的历史现实, 《翻译理论概要》成为西方翻译理论界难以见到的以马克思列宁主义理论为指导进行翻译理论研究的著作。费奥多罗夫在该著作中主要论述了四个方面的内容:

1) 翻译理论与语言学的关系

费奥多罗夫认为翻译理论属于语言学的范畴, 因此应该从语言学角度来进行研究。不过, 费奥多罗夫也补充说, 语言学也并不是研究翻译理论的惟一的方面, 也需要和文艺学、心理学和哲学(尤指辩证唯物主义)等相结合。1966年在其《争取翻译理论中各种意见的统一》(*За синтез мнений в теории перевода*)一文中他对此又作了进一步的更正和澄清:

现在仍然坚持在文艺翻译的理论中只有走文艺学的路子或只有走语言学的路子才是恰当的, 这种提法已经过时了, 落后了。当代是各门科学空前协作的时代.....³²⁴

2) 翻译与语言的关系

费奥多罗夫认为翻译就是用一种语言手段忠实全面地表达另一种语言手段所表达的内容。翻译过程是不能脱离语言的表达形式的, 翻译过程的任何阶段都具有语言的性质, 是由语言来体现的。费奥多罗夫还特别强调“高度发达的语言”在传递原语表达的形式与内容时的强力功能。不过, 这种说法难免偏颇之嫌。

3) 关于翻译学

费奥多罗夫认为翻译理论由三部分组成, 即翻译史部分、翻译总论部分和翻译分论部分。

4) 关于可译性

费奥多罗夫坚持认为可译性是语言的本质, 这是从语言是思想交流的工具这一语言观得出的必然结论。任何民族的语言都有表达思想的能力。这样, 译文与原文从语言方面应该可以建立“确切对等”的关系。这里, “确切对等”不应狭义地理解为完全的语言形式的对等, 而应该是意思上的对等即功能性对等。

费道罗夫还特别强调和重视对于翻译史的研究。(参阅下面的“译论史稿辑要”)

译论史稿辑要

世上存在的任何一门科学, 都不可能不重视、汲取历史的经验, 不吸收以往的学者们对同一问题已有过的探索所取得的成果, 首先必须使用翻译历史的资料和历史上海译家的思考, 总结、梳理有关翻译问题的各种看法和观点。这就意味着, 翻译理论必须包含对翻译问题的历史思考。³²⁵

142. (前苏联) 巴尔胡达罗夫

Л.С.Бархударов

生平及重要译论:

巴尔胡达罗夫Л.С.Бархударов, 语言学家、翻译理论家, 语言学博士, 莫斯科多列式外国语师范学院等高校教授, 从事翻译教学和翻译理论研究, 曾主编《翻译工作者札记》丛刊。其最著名的专著是《语言与翻译》(Язык и перевод, 1975), 基本上代表了七十年代前苏联翻译研究语言学派的观点。

巴尔胡达罗夫关于翻译理论的观点主要有:

1) 关于翻译理论学科本身

巴尔胡达罗夫认为翻译理论是一门语言学学科, 此即他的翻译理论核心所在。他认为翻译活动在实质上属于语言学的范畴, 只有翻译的语言学才会对翻译的一切都感兴趣, 而将有关翻译的一切均纳入自己的研究视野, 而其他学科如文艺学、心理学等只能侧重于翻译的某些方面。巴尔胡达罗夫还进一步指出, 现代语言学分为宏观语言学和微观语言学, 翻译理论也应当随之分属宏观语言学和应用语言学的研究范畴。如此, 翻译理论研究对象便超出言语本身, 三个超语言因素(话语内容、交际环境和话语活动参加者的实践经验)也将纳入翻译理论研究范畴。

2) 关于翻译理论研究的任务及实质

巴尔胡达罗夫认为:

翻译理论主要是一门描写性学科, ...它的主要任务是描写实际的翻译过程, 即揭示从原语到译语这一转换的客观存在的规律, 通过对已有译文的分析来发现这些规律.....并通过一些术语将翻译过程模式化。³²⁶

巴尔胡达罗夫认为翻译的语言学理论既是描写性也是规约性的学科, 以描写性为主。

3) 关于语义问题

巴尔胡达罗夫认为必须从三方面研究语义及其传递, 即根据现代符号学的符号意义的三大类型: 所指意义、语言意义和内部意义。三种意义既相互关联又具有相对的独立性, 因此应该单独进行研究。巴尔胡达罗夫并以此对翻译的定义进行说明:

第一, 译者的任务是尽可能充分地传达各种类型的语义, 包括所指意义、语用意义和语言内部意义。第二, 翻译时, 语义不可避免地会有走失, 也就是说, 原文中表达的意义在译文中保留得不完全, 只能传达一部分。³²⁷

4) 关于等值翻译

巴尔胡达罗夫对于翻译的定义是:

把一种语言的连贯性话语在保持其内容即意义的情况下, 改变为另一种语言的连贯性话语的过程。

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巴尔胡达罗夫认为应该在六个层次上建立等值翻译及翻译单位, 即音位(字位)层、词素层、词层、词组层、句子层和话语层。在相应的层次上可以准确选定翻译单位, 而必要和足够层次的翻译是等值翻译, 层次偏低导致逐词译, 层次偏高则导致自由译(意译)。巴尔胡达罗夫对翻译单位的定义是“译文中具有对应物的原文最小单位”, 即“原作中存在而在译作中能找到对应物的单位, 而且组成部分分开来看在译作中并没有对应物。换言之, 翻译单位乃是译出语言作品中存在, 而在译入语中有对应物的最小单位, 这个单位可

能具有复杂结构，就是说，可能由更小的单位组成”。

巴尔胡达罗夫还对无等值物词汇的翻译和可译性问题进行了重要的论述。他提出对于无等值物词汇可以采用形译、音译、仿造法、描述性翻译、近似翻译等翻译方法。关于可译性，他认为应该适用于一切语言，不应有任何（费奥多罗夫所宣称的）语言限制，应该具有普遍性。

当然，巴尔胡达罗夫对于等值翻译有着相当清醒的头脑：

完全的等值翻译与其说是现实，不如说是理想。

5) 关于文艺翻译

巴尔胡达罗夫认为文艺学翻译理论与语言学翻译理论有着根本的区别：

找出语言上的对应物是语言学家的任务，但这不是艺术创作分析的对象，而分析文艺翻译则是文艺创作的另一种形式……形象地说，文艺翻译领域的起点，就是语言对比领域的终点……应当把文艺翻译看成是语言艺术的另一种形式，也就是说应该从文艺学的角度，而不是从语言学的角度来进行研究。³²⁹

143. (波兰) 泽农·克列曼塞维奇

Zenon Klemensiewicz

生平及重要译论：

泽农·克列曼塞维奇 Zenon Klemensiewicz，著名波兰翻译理论家，曾著有《波兰语言史》(*Historia Języka Polskiego*) (*History of the Polish Language*)、《翻译的语言学问题》等。

关于文学翻译，克列曼塞维奇曾作过比较透彻的论述，他说：

应该把原作理解为一个系统，而不是部件的堆积，理解为一个有机的整体，而不是机械的组合。翻译的任务不在于再现、更不在于反映原作的部件和结构，而在于理解它们的功能，把它们引入到自己的结构中去，使它们尽可能地成为与原作中的部件和结构同样合适、具有同样功效的对应体。³³⁰

144. (保加利亚) 安娜·利洛娃

Anna Lilova

生平及重要译论：

安娜·利洛娃 Anna Lilova，保加利亚著名翻译理论家，索菲亚大学 (Sofia University) 教授，曾任国际译联 (Federation Internationale des Traducteurs/International Federation of Translators, FIT) 主席，著有《翻译理论概要》等。

利洛娃对于翻译理论有着自己深刻的见解，特别是在翻译的历史观、民族观方面，以及译者的个性与创造性、翻译的内容与形式等关系方面，均进行过非常中肯的论述。

利洛娃认为文学翻译中有两种创造性，即语言层面的创造性和艺术形象思维方面的创造性，前者与翻译的体裁有关，而后者则与文艺翻译有关。

利洛娃认为译者的个性及其创作个性是个不争的客观事实，因此有关翻译的问题皆与此有关。

利洛娃还进一步提出艺术现实的“双重反映”概念，认为艺术现实首先要反映原作中所表现的现实，其次还要反映原作本身的现实。利洛娃因此说到：

译文是原文的相似物，而理想的译文是理想的原文的相似物。

利洛娃曾应蒙娜·贝克尔之邀为《翻译研究百科全书》撰写了“保加利亚（翻译）传统”条目，对保加利亚的翻译发展历史与译学理论发展历史进行了简洁而非常有价值的叙述，成为研究翻译历史和及翻译理论的重要文献，而保加利亚的翻译理论研究在西方译学界具有非常重要的地位。

史料图片选辑：



Les présidents – *The presidents of IFT*

María Le Bret Sanchez (SFT), Jean-François Joly,

Anna Lilova, Adolfo Gentile,

Betty Cohen, Florence Herbulot

En arrière plan : Alain Caillé

Behind: Alain Caillé

译论史稿辑要

Old Bulgarian translations prior to the eighteenth century: overview

[...]

It is perhaps worth summarizing the main features of translation activity prior to the eighteenth century at this point, and before proceeding to discuss translation during the Bulgarian renaissance.

First, translation was a rather broad concept. Translations were integral parts of the national literature. Since there was little respect for authorship in the Middle Ages, even original texts incorporated translated elements and borrowed ideas, imagery and plots. Old Bulgarian translators were also writers and translation was considered an act of co-authorship and co-editing. It is therefore impossible to draw a rigid distinction between original and translated literature during this period. There was no strict boundary and this allowed intermingling of the two types of creative work. Nevertheless, literary translation existed as an independent structural element in the system of Old Bulgarian literature.

Second, translated literature served not only Bulgarian readers but also spread among the other southern and eastern Slavs, especially Russians, Ukrainians, Serbs and, later on, Romanians. Having emerged a century earlier, Old Bulgarian literature provided the foundation for the literature which all southern and eastern Slavs were to share in due course. It was the mediating literature, in a mediating language, between the Byzantine culture and the Slavs, an exponent of the Medieval civilization whose missionary basis was supported by translation; hence its all-Slavonic and

inter- national importance.

Finally, prior to the Renaissance, no other European people came as close to the ancient Greek philosophers as the Bulgarian translators. Neighbouring Byzantium gave Old Bulgarian literature its overall artistic identity, its own type of creative perception, genres and poetic vision and provided contact with Oriental literatures. Links with the Catholic West, on the other hand, were very weak during the Middle Ages.

[...]

The Bulgarian renaissance: eighteenth and nineteenth centuries

[...]

Between the end of the eighteenth and the middle of the nineteenth century, translation was marked by a general tendency for 'Bulgarianization' (free interpretation and literary revision of the original to suit Bulgarian national, historical and psychological specificities). This was a natural result of the cultural and ideological overburdening of translation: due to the slow development of the Bulgarian intellectual élite, original works did not begin to appear until the late stages of the Bulgarian renaissance. It was translators who laid the foundations of modern Bulgarian literature: recurrent themes, images, plots, genres, vocabulary, stylistic diversity, etc. Bulgarian culture needed to learn from new models and transform them into national ones. As part of the tendency to adapt the original to the reader's taste, translators also became semi-authors, developing the content of the original and adding to their own text.

French, German and Russian sentimental literature was frequently 'Bulgarianized', especially since it provided a suitable context for using the clichés which Bulgarian readers had learned from sermons, hagiography and the Damascenes.

Translations into Bulgarian were often based on intermediate versions in other languages. This can be explained in terms of a lack of appreciation of 'copyright' as we know it today and the urgent need to make contact with several European literatures at the same time.

The selection of translations depended on what was considered useful to the target reader rather than on the importance of the original text in its own national context. Translations essentially provided the Bulgarian renaissance culture with its basic literary models, more specifically with works meant to teach human virtues or to present historical events.

Around the middle of the nineteenth century, translators were people who had acquired a high level of education and knowledge of the cultures of various European countries. They were therefore in a position to develop an individual approach to the originals they worked from and to strive towards achieving a balance between the need to preserve the artistic features of the original and, at the same time, produce readable translations. In the context of the Enlightenment, the practice of 'Bulgarianization' inevitably continued, but it gradually gave way to other methods of translation. The gradual development of the national language also played a part in this process. Of particular importance were the translations by the greatest writers of the Bulgarian renaissance, whose talents enabled them to use the full potential of the language (P. R. Slaveikov, L. Karavelov, C. Botev, N. Bonchev and others).

Diverse tendencies developed in the choice of certain foreign literatures. On the one hand, a much wider range of foreign literary texts became known in Bulgaria: French, Russian, German, Italian, English, American, Serbian, Greek, etc. On the other hand, translators had more opportunities to choose original texts, depending on the needs of the national liberation process. Writers of the French Enlightenment, for instance, were translated on a massive scale (but this did not stop the flow of translations of French sentimentalists); the same applied to Russian literature, which gradually assumed the function of mediator between the Bulgarian and European cultures. The most important translator from Russian, P. R. SLAVEIKOV (1827--95), was one of the leading figures of the Bulgarian renaissance.

Translated and original poetry began to appear simultaneously during this period. The Bulgarian poetic tradition

developed out of the tension between folkloric forms and those of iambic poetry. A great deal of diversity existed, and stylistic and metric interpretations varied according to the translator's outlook and objectives. The 'revised translations' which were undertaken at the time were indicative of the literary aesthetics of the period.

Scientific and political translation influenced the development of national awareness and revolutionary ideology. It developed in response to a growing interest in the issues of governance, law, economics and in medical and natural sciences. The first Bulgarian schoolbook, *The Fish Primer*, which was written by Peter BERON (1800-71) and published in 1824, contained translations of 18 fables of Aesop and works by ancient Greek authors.

Unlike literary translations, scientific and political translations were always based on the original text. The usual practice was to translate excerpts rather than complete books. A tendency towards greater accuracy was evident, but different translations also frequently betrayed the ideological preferences of the intellectuals who undertook them.

Political articles were translated anonymously, as part of the struggle for independence. Some translations set out to give an accurate rendering of information (following the original without any substantial deviations); others took the form of free interpretation, adding comments, explanations and even appeals when the purpose was to achieve a particular patriotic goal.

Given the cultural and political vacuum which resulted from five centuries of Ottoman rule, the Bulgarian Renaissance was fundamentally different from developments in the rest of Europe. In Bulgaria, the various development stages of European civilization had to be collapsed and absorbed in a very short time. Of utmost importance during this period was the need to defend the Bulgarian identity and to search for and identify the roots of national culture. This situation resulted in a functional overburdening of translation, which had to serve the urgent need to acquire basic literary and artistic models on a large scale; hence the co-existence of the three forms of translation during this period, namely Bulgarianization, ADAPTATION and translation with commentary.

[...]

Translation in the post-liberation period (1878 to the present)

The new perception of the functions and place of translations in the national culture, which was radically different from earlier perceptions, was most convincingly presented in the article 'Classical European writers in the Bulgarian language and the benefit of studying their works' (1873) by the literary critic Nesho BONCHEV. Bonchev rejected the idea of translating in response to national needs and called for reorienting translation towards learning about and assimilating the finest examples of modern world literature. This marked a turning point from utilitarianism to the pursuit of artistic values. Bulgarianization naturally became obsolete as a translation method in this context.

At the beginning of the twentieth century, a group of writers associated with the journal *Misul* (1892-1907) suggested a new aesthetic programme for national literature, one in which the theory and criticism of translations occupied an important place. A new stage in the development of post-liberation translation activity began. This stage was characterized by continued orientation towards Western Europe, mainly German literary and philosophical classics; at the same time, Russian influence remained strong and there was a growing interest in modern thinkers such as Nietzsche and Schopenhauer. In addition to Western European literature, interest also grew in other geographical regions, themes and genres, for example Slavonic, Scandinavian and American poetry, prose and drama. With its ability to follow and draw inspiration from many European cultures, translated literature was able to keep up with world literature. The balance that was maintained among different influences was unprecedented and is the most distinctive feature of this period.

The quest for Europeunization provided the initiative for a nature of outstanding translations of Francophone, German and English poetry by the poet Geo MILEV. Building on the poetic language developed under the influence of Symbolists, translators reached new standards of creativity and a new school of Bulgarian poetic translation was born, with well-developed artistic principles, high aesthetic criteria and modern literary orientation. At the same time,

interest in the ancient classics remained strong and was particularly evident in the translations of Alexander BALABANOV.

In the years between the two world wars, translators played an important role in introducing to the left-wing press the ideas of humanist and anti-fascist world writers, journalists and scientists.

After Geo Milev, the intense pace of translation slowed down. The change could be observed in such things as the choice of genres and themes and in the increasing specialization of publishers in areas such as classical literature on the one hand and mass entertainment literature on the other.

The implementation of socialist cultural policy shortly after World War Two was followed by the nationalization of private publishing houses in 1947-8. There followed a decade of national insularity, which clearly influenced the selection of books to be translated. However, the 1960s saw the beginning of quantitative and qualitative changes in terms of the orientation and quality of translations. These changes are still in evidence today. Translation began to win public recognition as a creative activity, and a national policy was implemented to fill existing gaps in the translation of foreign classics. New versions of older translations started to appear, and continue to appear to this day. Translated literature widened its scope to include authors of literary, scientific, journalistic and other texts from all corners of the globe, as well as a variety of publications, from complete works to ANTHOLOGIES, series, bilingual editions, etc.

Among the most important achievements during this period have been the translation of the complete works of Shakespeare between 1970 and 1981 by the prominent Bulgarian poet Valeri Petrov and the translation of the scientific works of Kant between 1957 and 1987 by Tseko TORBOV.

This period has also seen the translation of political literature in series and other forms, as well as the works of outstanding scientists and scholars in various disciplines.

A new generation of translators has now joined the profession, having acquired substantial linguistic skills at various language schools. A special course for translators and interpreters was also established at Sofia University in 1974.

The Association of Bulgarian Literary Translators was established in 1963 as a branch of the Union of Bulgarian Writers. Shortly afterwards, the independent Union of Translators and Interpreters in Bulgaria was formed; it has five sections covering the main areas of the profession: literary translation, scientific and technical translation, social and political translation, interpreting, and theory, history and criticism of translation. The Young Translators' and Interpreters' Club at the Union provides support for young people in the profession. The Union publishes the Newsletter *Panorama*, which covers translated literature and criticism of translation. *Fakel*, a journal of translated Russian literature which ceased publication in 1990 was also published by the Union. A large project which involves writing the first history of translation in Bulgaria is already under way.

[...]

--- Anna Lilova, "Bulgarian tradition"³³¹

145. (保加利亚) 西杰尔·弗洛林

生平及重要译论:

西杰尔·弗洛林, 保加利亚著名学者, 长期从事文学翻译, 有着丰富的翻译实践经验, 曾 (与谢尔盖) 著有《翻译中的不可译因素——表示特有事物词汇》(1980) 和专著《翻译甘甜漫谈》(1983)。

关于翻译中的不可译因素, 弗洛林 (与谢尔盖) 有着自己的独特的见解。他 (们) 认为:

只有不可译的个别部分（或因素），没有不可译的复合整体、全文；不可译因素在全文翻译中是可以传译的。³³²

146. （瑞士）沃纳·科勒 Werner Koller



Werner Koller, 1942-

生平及重要译论

沃纳·科勒 Werner Koller, 1942-，当代语言学家及翻译理论家。出生于瑞士苏黎世（Zürich），就读于苏黎世和斯德格尔摩大学（Universitäten Zürich und Stockholm），1968年毕业于瑞士苏黎世大学，1972获瑞典斯德格尔摩大学博士学位。1969至1974任教于苏黎世和斯德格尔摩大学，1974至1978任德国海德堡大学（Universität Heidelberg）应用语言学（Angewandte Sprachwissenschaft）教授，1978年起任挪威卑尔根大学（Universität Bergen）日耳曼语学院（Germanistisches Institut）德语（deutsche Sprache）教授。

科勒主张翻译等值论（translational equivalence），认为在原文文本与译文文本之间存在着等值的关系，因此翻译的不可译是根本不存在的。他还主张建立一个以语言学为中心的以各有关学科为理论基础的广义翻译学：

翻译学是一个包容广泛的综合性学科的名称，指的是一切以翻译现象（包括过程和成果）为基础或焦点的研究。³³³

史料图片选辑



Werner Koller:
*Einführung in die
Übersetzungswissenschaft*

译论史稿辑要

(1)

[...] as the sum total of and the collective term for all research efforts proceeding from or aiming at the phenomenon of translating and translation. It cannot be sub-classified under a certain branch of science, but rather has a share in the most diverse scientific disciplines. Its research methods and its goals depend on what particular aspects of the phenomenon of translating or translation are to be studied. Translation theory is to be regarded as a branch within the science of translation which deals with the basic problems of translating and translation by abstracting from concrete language pairs and texts, never losing sight of the fact that all translating and every translation are text- and language-pair-bound. These basic problems have already been formulated in the traditional discussion of translation and were and are regarded and analyzed in various ways, according to the scientific point of departure (linguistics, the science of communication, the study of literature, computational linguistics, hermeneutics).

---- W. Koller, *Grundprobleme der Übersetzungstheorie*³³⁴

(2)

The concept of equivalence postulates a *relationship* between source-language text [...] and target-language text [...]. The concept of equivalence does not yet say anything about the *nature of the relationship*: this must be defined in addition. The mere demand that a translation be equivalent to a certain original is void of content. (trans. Ernst-August Gutt, *Translation and Relevance: Cognition and Context*, 2004: 10)

[...]

[...] there exists equivalence between a given source text and a given target text if the target text fulfils certain requirements with respect to these frame conditions. The relevant conditions are those having to do with such aspects as content, style and function. The *requirement* of equivalence thus has the following form: *quality (or qualities) X in the SL text must be preserved*. This means that the source-language content, form, style, function, etc. must be preserved, or at least that the translation must seek to preserve them as far as possible. (Trans. Christiane Nord, *Translating as a Purposeful Activity: Functionalist Approaches Explained*, 2001: 7)

---- Werner Koller, *Einführung in die Übersetzungswissenschaft*³³⁵

(3)

Ad-hoc cases of adaptation have to be regarded as text-producing elements in the translation process; they may be appropriate, or even inevitable, in order to make the translation reach its audience, i.e. from the point of view of pragmatic equivalence.

---- Werner Koller, *Einführung in die Übersetzungswissenschaft*³³⁶

(4)

[...] translation can be understood as the result of a text-reprocessing activity, by means of which a source-language

text is transposed into a target-language text. Between the resulting text in L2 (the target-language text) and the source text in L1 (the source-language text) there exists a relationship which can be designated as a translational, or equivalence relation.

---- Werner Koller, *The Concept of Equivalence and the Object of Translation Studies*³³⁷

(5)

Do these sentences refer to a given set of translations, say in German, i.e. are they based on empirical investigations which justify results of the type: The analysis of 1000 translations from English into German reveals that in 95% of cases the important factor for the translation/interpretation was the respective translator's decision as to what and how to translate/interpret? Or is the idea that: For a translator/interpreter to translate well, s/he must decide what and how to translate?

---- Werner Koller, *The Concept of Equivalence and the Object of Translation Studies*³³⁸

(6)

This science [Wissenschaft] has perhaps been more or less established as an independent discipline in some universities. But the relations and understandings between it and other fields of scientific inquiry is in no way unequivocal, settled, or unproblematic. We have not (yet) overcome the legitimization crisis concerning the relation between translation science and translation practice, nor that between translation science and other scientific disciplines such as contrastive linguistics and stylistics, comparative literature, and computational linguistics.

---- Werner Koller, *Einführung in die Übersetzungswissenschaft*³³⁹

147. (意大利) 大卫·卡坦

David Katan

生平及重要译论:

大卫·卡坦(又译柯坦) David Katan, 意大利特里雅斯特大学(*Università degli studi di Trieste, Ital*) (University of Trieste, Trieste, Italy) 语言科学系(Department of the Science of Language) 翻译学副教授, 在其所在大学的现代语言翻译高级学院讲授跨文化交流和翻译课程。其著述涉及翻译、语言、文化等众多领域, 曾与人合编过《柯林斯意英双语词典》, 并有丰富的翻译实践经验。

卡坦重视翻译与文化之间的纽带关系, 并对文化进行了跨学科性的研究, 同时借鉴了人类学、元模式理论、社会语言学、言语行为理论、关联理论、功能语法理论等。卡坦认为文化语境是个框架, 我们在其中感知并理解外在的文化意象或现实, 卡坦据此提出“文化中介”的概念, 而译者的角色则应定位为“文化中介者”。其专著《文化翻译——笔译、口译及中介入门》(*Translating Cultures: An Introduction for Translators, Interpreters and Mediators*) 是解读文化的一本重要著作, 为口、笔翻译实践与文化构建起彼此的联系。书中对文化框架(framing culture)的构建、框架的转换(shifting frames)和框架序列(the array of frames)进行了深入的探讨和论述, 从而为译者提供了一个学习文化翻译技巧的基准体系。

译论史稿辑要:

(1)

[...]

The term cultural mediator was first introduced in Stephen Bochner's (1981) *The Mediating Person and Cultural Identity*. The idea of a translator as a mediating agent, however, is not new. George Steiner (1975:45) pointed out that: "The translator is a bilingual mediating agent between monolingual communication participants in two different language communities."

However, the emphasis is linguistic mediation. The concept of cultural mediator, as expressed in Bochner's book is that cultural mediation is much more than translation or interpretation. The role touches that of a mediator in any other field, from arbitrator to therapist. R. Taft (1981 :53), in his contribution to the volume, defines the role as follows:

A cultural mediator is a person who facilitates communication, understanding, and action between persons or groups who differ with respect to language and culture. The role of the mediator is performed by interpreting the expressions, intentions, perceptions, and expectations of each cultural group to the other, that is, by establishing and balancing the communication between them. In order to serve as a link in this sense, the mediator must be able to participate to some extent in both cultures. Thus a mediator must be to a certain extent bicultural.

According to Taft (1981:73), a mediator must possess the following competencies in both cultures:

- **Knowledge about society:** history, folklore, traditions, customs; values, prohibitions; the natural environment and its importance; neighbouring people, important people in the society, etc.
- **Communication Skills:** written, spoken, non-verbal.
- **Technical Skills:** those required by the mediator's status, e.g. computer literacy, appropriate dress, etc.
- **Social skills:** knowledge of rules that govern social relations in society and emotional competence, e.t.. the appropriate level of self-control.

The mediator needs not only "two skills in one skull" (Taft 1981:53) but "in order to play the role of mediator, an individual has to be flexible in switching his cultural orientation". Hence, a cultural mediator will have developed a high degree of intercultural sensitivity, and will have reached the level of 'contextual evaluation'. We will return to these issues when discussing belief systems in Chapter 4, but now we should look more closely at the translator and interpreter as cultural mediator.

[...]

● *The Interpreter*

The interpreter's role has long been thought of as a discreet, if not invisible, black-box and as a walking generalist translator of words. As a cultural mediator, he or she will need to be a specialist in negotiating understanding between cultures.

A move in this direction has already been made. The endless debate between literal and communicative translation in the world of interpreting seems to be moving towards consensus. Masami Kondo (1990:62) has written a great deal on both interpreting and cross-cultural communication. He concludes (emphasis in the original): "*essentially speaking*, the debate is closed. The word-for-word correspondence between the source and the target has *virtually* no place in our work".

This is a first move towards the more extreme communicative role of a cultural mediator who "may never be called upon to engage in the exact translation of words, rather he will communicate the ideas in terms that are meaningful to the members of the target audience" (Taft 1981:58).

[...]

● *The Translator*

Taft (1981:58) asks whether a mediator is a translator. His own answer, as we have already seen, is that translating is one of the skills, but that a mediator is more than a translator. Basil Hatim and Ian Mason (1990:128, 223-224) also use the term mediation, suggesting that: "The notion of mediation is a useful way of looking at translators' decisions regarding the transfer of intertextual reference".

[...]

The authors conclude with two specific ways in which a translator is a mediator:

● **bicultural vision**

The translator is uniquely placed to identify and resolve the disparity between sign and value across cultures.

● **Critical reader**

The translator is a 'privileged reader' of the SL text. S/he will have the opportunity to read the text carefully before translating, and therefore is in a position to help the target reader by procuring as clear a text as the context would warrant.

[...]

Cultural mediators should therefore be extremely aware of their own cultural identity; and for this reason will need to understand how their own culture influences perception.

● *The Future*

Both translators and interpreters will have to be fluent in cross-cultural communication. However, as Kondo (1990) points out, an interpreter will have to tread very carefully when it comes to active participation in the communication process.

The same is still true for the translator, where any idea of deliberately making changes to the form of the text, and manipulating the words to aid further understanding across cultures, is still viewed with suspicion. As we have stressed, the Western community at large still sees the translator and interpreter as a walking dictionary, and not as a cultural mediator.

In many other countries, both interpreters and translators are already carrying out some of the mediating functions. Fons Trompenaars (1993:57), who is an international consultant and writer on cross-cultural management at the Centre for International Business Studies in the Netherlands, notes: "The translator in more collectivist cultures will usually serve the national group, engaging them in lengthy asides and attempting to mediate misunderstandings arising from the culture as well as the language".

What is still needed in the West is a second development working in tandem with the wider role of the mediator: that of raising general awareness for the importance of the cultural factor. There are signs that this is beginning to happen, particularly in the very pragmatic business community. First, there are a number of business publications focusing on the cultural factor, many of which will be quoted in these chapters. Secondly, there is a steady increase in the number of business training courses on culture, both in Britain and abroad.

[...]

3.1 Frames

We have already discussed the fact that culture exists on a number of levels. Here we discuss the nature of levels themselves and how they function in communication. The example "Hello Sherman" from the previous chapter illustrates how even the most simple of messages comes with another message. The English anthropologist Gregory Bateson (1972; 1988:122-37) pointed out that all animals communicate about their communication, and this 'communication about' he called 'metacommunication' (1988:124, after Whorf). More specifically, it is this metamessage which carries the force of the message and provides a clue to its interpretation.

[...]

The relationship between the 'context' and 'frame', as understood by Bateson (1972), is that 'frame' is an internal psychological state and makes up part of our map of the world, whereas context is an external representation of reality. A frame is not 'real' in the same way as our map of the world is not the actual territory it represents. It is more an indication of the "sort of thinking in interpreting" (Bateson 1972:187). Ervin Goffman (1974:10) follows suit by defining frames as "principles of organization which govern events".

Following Bateson, a frame can be thought of as a picture frame, though he also warns that "the analogy [...] is excessively concrete". What is within the picture, and hence the frame, is to be understood in terms of the title of the picture. What is outside the picture and its frame is to be understood from a wider frame. This wider frame will, however, affect our interpretation of the picture. Each frame will in turn be subject to a yet wider frame. These frames can be added to, each affecting the interpretation of what is framed below. [...]

[...]

We have already mentioned, as a basic presupposition, that the map is not the territory. Likening the mental representation of reality to a map and reality to territory is a particularly useful metaphor when talking about culture and translation. A map is designed to cover a specific area. It tells us what to expect and also orients us in the area. A map also has very definite borders, in the same way as our understanding of an event has a culture-bound frame.

Tannen (1993a:9) is clear that frames are culturally determined, as is Goffman (1974:18). She follows Bateson in understanding a frame as an interpretative device, though she would probably prefer the metaphor of a moving film rather than a static picture or a map. Tannen and Cynthia Wallat (1993:73) define frames and schema in the following terms:

[A frame] refers to participants' sense of what is being done.

[Schema:] patterns of experience and assumptions about the world, its inhabitants and objects.

[...]

To summarize, every message contains another message: the metamessage. The metamessage is located at a higher level and frames the message. The frame itself is an internal mental representation which can also contain an idealized example or prototype of what we should expect. Many of these frames together make up our map of the world.

---- David Katan, *Translating Cultures: An Introduction for Translators, Interpreters and Mediators*³⁴⁰

(2)

● *Decoding / Encoding or Cognitive Creation*

A number of models describing the translation process have been suggested over the past thirty years. The model proposed by Eugene Nida (Nida and Taber 1969:484) has been particularly influential. This model (and the many other models 'that followed) depend on the idea of decoding the source text language, analyzing it, and then reformulating the same message in other words.

The diagram below gives a general idea of the concept, which breaks a text down into smaller meaning units before building them up again. The emphasis can either be on the surface level or, as Nida proposes, on the fuller representative, deep level:

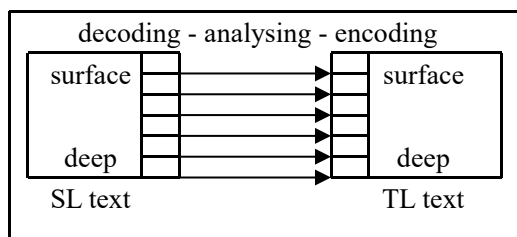


Figure 22. The Decoding-Encoding Translation Model

[...]

[...] In fact, an essential difference between a traditional translator and a mediator is the mediator's ability to understand and create frames. The mediator will be able to understand the frames of interpretation in the source culture and will be able to produce a text which would create a similar set of interpretation frames to be accessed in the target reader's mind.

• The Translation Process and Culture

We noted earlier that a text can be understood at three levels of culture, and that translation theorists are beginning to see the translator as a mediator between cultures. At the same time, the process of translation is now being understood as an exercise, not only in understanding text, but in understanding cultural frames.

[...]

This holistic or global approach to translation does not mean that a cultural mediator can disregard 'the text' itself. A successful mediator must be consciously aware of the importance of both text and context, which means both the words and the implied frames.

The next sections divide the discussion on text, context and translation into the three principle aspects of Universal Modelling: generalization, deletion and distortion.

The Meta-Model and Translation

The idea that one needs to understand the underlying intention of a writer to translate effectively has been a cornerstone of translation theory. Walter Benjamin (1968:77) in his 1923 treaty on translation said (emphasis in the original): "The task of the translator consists in finding that intended effect [*intention*] upon the language into which he is translating which produces in it the echo of the original".

This aim has, though, been criticized for a number of reasons, including the fact that many writers are not entirely conscious of their intentions; and most of the time can not even be asked. However, intention, whether conscious or not, can be extracted from the text, as discussed in Chapter 6.3. To do this, a translator must be able to create a full linguistic representation of the text, which is where the Meta-Model can become a useful instrument. As Dilts (1983, V: 6) says, "The Meta-Model can provide substantial insight into the structure of thought and speech when applied to any personal, philosophical or political enquiry".

[...]

Our aim here does not, in fact, clash with this criticism because we are not looking for any linguistic correspondence between languages. What we are interested in is a speaker or writer and their message as meant within their particular construction of reality. Once we have understood the full extent of the message within its own reality we have the beginnings of a virtual translation. [...]

[...]

This point is of great importance for the cultural mediator. Nida (1976:72) goes into more detail making two points

in favour of investigating deeper structures with regard to the underlying message, both of which are particularly relevant today for those working cross-culturally. First, Nida continues, one can more readily identify the semantic structures when investigating subsurface levels. This means that a translator will be in a position to determine more accurately the extent of equivalence and the need for supplementation or redistribution of semantic components. Second, on the deeper levels of structure, one can more easily determine the symbolic relations and their hermeneutic implications.

[...]

---- David Katan, *Translating Cultures: An Introduction for Translators, Interpreters and Mediators*³⁴¹

148. (爱尔兰) 道格拉斯·海德 Douglas Hyde



Douglas Hyde

President of Ireland

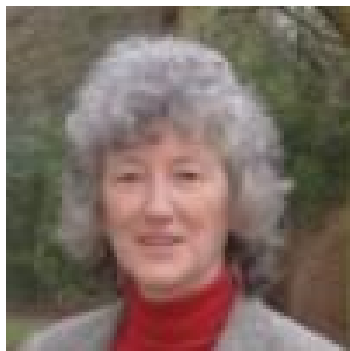
生平及重要译论：

道格拉斯·海德 Douglas Hyde (*Dubhghlas de hÍde* in Irish), 1860.1.17-1949.7.12, 爱尔兰著名学者和政治家，长期教授现代爱尔兰语 (1909-32)，对拯救爱尔兰语和振兴爱尔兰文学功不可没。著有《康诺特爱情歌曲》(*Love Songs of Connacht*, 1894)、《爱尔兰文学史》(*Literary History of Ireland*, 1899)。1938.6.25 至 1945.6.24 任爱尔兰第一任总统。出生于爱尔兰罗斯康门 (Roscommon) 的法兰奇帕克 (Frenchpark)，自幼便产生对爱尔兰语的热爱之情。后考入都柏林三一学院 (Trinity College, Dublin)，能流利地说法语、拉丁语、德语、希腊语和希伯来语。

海德翻译过大量爱尔兰爱情歌曲并出版了其翻译的散文集。对于翻译，海德持有民族与大众性的观点，并认为翻译是美学和政治的工具。他这样总结他的翻译观点：

我唯一的目标是直译……尽力再现原著的爱尔兰成语。³⁴²

149. (爱尔兰) 詹妮·威廉姆斯
Jenny Williams 和
(芬兰) 安德鲁·切斯特曼
Andrew Chesterman



Jenny Williams

生平及重要译论：

詹妮·威廉姆斯 Jenny Williams，爱尔兰都柏林城市大学（Dublin City University, Ireland）副教授，从事翻译理论与实践的教学与研究工作。安德鲁·切斯特曼 Andrew Chesterman，芬兰赫尔辛基大学（University of Helsinki, Finland）教授，翻译界知名学者，著有专著《翻译理论思想元素传承》（*Memes of Translation*）、专著《对比功能分析》（*Contrastive Functional Analysis*）、（与爱玛·瓦格纳 Emma Wagner 合著）《理论对译者有用吗？》（*Can Theory Help Translators?*）等。

詹妮·威廉姆斯和安德鲁·切斯特曼合著的《路线图——翻译研究方法入门》（*The Map: A Beginner's Guide to Doing Research in Translation Studies*）是关于翻译研究的基本原则和方法的一本著作，书中对翻译学的研究领域、翻译研究的基本概念与方法及适合翻译研究的各种理论模式、研究类型、假说、作为研究对象的“变项”（variables）及其相互关系等做了较为详尽和清晰的介绍，对于翻译理论研究具有较强的实践性和指导意义。

译论史稿辑要：

3. Theoretical Models of Translation

[...]

A model is a construction that *represents* some aspect of reality. Think of a miniature scale model of a car, representing a full-size car: it looks like a copy of it, but it is many times smaller. Or think of the way we can nowadays represent our planetary system by drawing a picture showing the sun in the middle, and the different planets at various distances from it. In earlier times, people would have drawn a different picture, with the Earth in the centre. These pictures are simple models. They represent their particular bit of reality by virtue of *analogy*: the round circle in the middle of our picture is analogous to the sun in the middle of our solar system, just as the shape of the model car is analogous to the shape of the full-size version. Note that this use of the term 'model' does *not* mean 'ideal'.

Not all models represent something in such a straightforward way as suggested by the examples above. *Theoretical models* represent their objects in more abstract ways; they are often based on assumptions about how something is

structured, or how it might be related to other phenomena. These models are attempts to construct images of the object of study, images that hopefully make it easier to visualize, understand and analyze. Theoretical models are representations that are highly idealized and simplified; they are nevertheless useful conceptual tools. A theoretical model is like a map showing what are thought to be the most important features of the object. Different maps of the same terrain might highlight different features, just as you can have maps showing national borders or different vegetation areas, or economic maps showing different areas of wealth and poverty.

In your own research project, you might take a ready model of translation and simply use its framework and concepts unchanged, or you might adapt a given model to your own purposes. One of the things you might need to do, as you survey what others have written on your topic, is to compare the different versions of the models they used, critically evaluate their conceptual systems, and perhaps gradually develop your own version. You might even propose a brand new model.

So what kinds of models of translation do we have? Translation Studies has traditionally used three basic types of models: comparative, process and causal models. Each of these has several associated theories and variants. (For further discussion of these models, see Chesterman 2000b.)

3.1 Comparative Models

The earliest theoretical model of translation was a simple *comparative* one. It was static and product-oriented, centred on some kind of relation of equivalence. At its simplest, the comparative model looks like this:

$$\text{Source text (ST)} = \text{Target text (TT)}$$

or, if you prefer to start with the translation itself:

$$\text{TT} = \text{ST}$$

The equals sign, signifying 'is equivalent to', is a bit misleading, since we cannot talk about perfect identity in translation, of course. So the relation has been interpreted in many ways, in terms of some kind of relevant similarity. We can denote this by the sign meaning 'approximately equal':

$$\text{ST} \approx \text{TT} \text{ or } \text{TT} \approx \text{ST}$$

This model simply lines up the translation side by side with the source text.

This way of looking at translation underlies the contrastive approaches taken by scholars such as Catford (1965, especially pages 29-31) and Vinay and Darbelnet (1958/1995). The model sees translation as an alignment problem: the task is to select the element of the target language which will align most closely (under contextual constraints) with a given element of the source language. This is an approach that obviously has close links with contrastive linguistics, but there the model puts language systems rather than texts (instances of language use) on either side of the relation:

$$\begin{array}{ccc} \text{Language A/} & & \text{Language B/} \\ \text{Source language (SL)} & \approx & \text{Target language (TL)} \end{array}$$

We can make a useful distinction here between correspondence and equivalence. *Correspondence* is a relation of

(approximate) formal and/or functional equality between elements of two language systems (grammars). We might say, for instance, that the English adverb ending *-ly* (e.g. in *slowly*) corresponds to the French adverb ending *-ment* (as in *lentement*): the two morphemes have similar functions in the grammars of the two languages, making adverbs out of many adjectives. *Equivalence*, on the other hand, is a relation between two instances of language use, for instance two actual utterances or texts, such as a source text and a target text. In Frenchspeaking Canada, for instance, you might see a roadsign saying LENTEMENT, but in Canadian English the equivalent text is SLOW, not *slowly*.

[...]

A more recent variant of the comparative model is used in corpus studies which compare translations with non-translated texts of the same kind in the target language. Here too we have the same basic picture, centred on a relation between two entities, two sets of texts:

Translated texts $\approx$ Non-translated texts

The research task here is to discover the nature of the similarity relation, with respect to given linguistic features. In what respects do translations tend to differ from non-translated texts? If there is a difference (for instance in the distribution or frequency of a given feature), is this difference indeed significant? Is the average sentence length of the translations shorter or longer than that of the original texts? Is the distribution of different sentence lengths about the same in the two groups of texts? (For a pioneering example of research of this kind, see Laviosa 1998.)

The goal of all research based on a comparative model is thus to discover *correlations* between the two sides of the relation.

3.2 Process Models

The second kind of model represents translation as a process, not a product. It introduces the dimension of time and is thus a dynamic model. Some variants are based on the familiar communication model:

Sender (S) $\rightarrow$ Message (M) $\rightarrow$ Receiver (R)

We can apply this to the translation situation as follows, where R1/S2 represents the translator, at the centre of a double act of communication:

S1 $\rightarrow$ M1 $\rightarrow$ R1/S2 $\rightarrow$ M2 $\rightarrow$ R2

The Sender can be split further into original Writer and Client, and the receivers into Client, Publisher, and various kinds of Readers.

Juan Sager (1993) uses a process model to represent the main phases of a translation task, starting with the client's instructions (the specification), like this:

Specification $\rightarrow$ Preparation $\rightarrow$ Translation $\rightarrow$ Evaluation

Psycholinguistic researchers into translation make implicit use of a model looking like this:

Input $\rightarrow$ Black box $\rightarrow$ Output

Here, the black box (into which we cannot see) represents the mind of the translator, which it is difficult to observe directly. True, we can observe aspects of the neural functioning of the translator's brain; but we can only make inferences about the mind, on the basis of what seems to go in and what comes out.

[...]

3.3 Causal Models

[...]

At its simplest, a causal model of translation can be represented like this, where we use the symbol '>>' to mean 'causes' or 'produces':

Causes >> Translation(s) >> Effects

This illustrates that translations themselves are both effects (of various causes) and causes (of various effects).

Causality itself is a complex phenomenon, and can be understood in many ways. There are many kinds of causes. Some causes are deterministic and can be quantified (gravity causes things to fall, at a given speed); others are more difficult to identify and quantify, and we often refer to these as influences rather than causes proper (e.g. social pressures, literary influences). (See further Chesterman 1998, 2000b; Pym 1998: 83f.) In an attempt to reflect this range of causality we can refer more loosely to *causal conditions*.

There are obviously many levels or dimensions of causation that are relevant to translation. Here we will distinguish between three levels. The proximate (most immediate) one is that of the *translator's cognition*: the translation is as it is because the translator has so decided. Toury (1995: 249) refers to this level as the translation act, which takes place inside the translator's head. Here, relevant factors are the translator's state of knowledge, his/her emotional state, attitude towards the task, and his/her self-image as a translator, maybe even the translator's personality and life experience as a whole.

The second level is that of the external conditions of the *translation task*; Toury calls this the translation event. Relevant here are the source text, the client's instructions, the translator's computer programs and dictionaries, the deadline, etc.: everything that affects the concrete translation process from the client's initial phone call to the final delivery of the translation and payment of the bill.

The third level is the *socio-cultural* one. Here, influential factors have to do with norms, translation traditions, history, ideology, general economic goals, the status of the languages involved. Factors here may affect the choice of particular texts to be translated, or the choice by the client or a particular translator, or the decision by the translator to translate in a particular way.

Factors on all three levels have an influence on the final form of the translation, the translation's linguistic profile. But a translation also has effects, it, too, is a cause, an influence.

First of all, a translation has an immediate effect on its readers: something (presumably) changes in their cognitive or emotional state.

It may also, as a secondary effect, influence readers' behaviour. A critic or teacher, for instance, may read a translation, react emotionally by not liking it, and then write a review of the translation or give some negative feedback to the translator. Or a reader, on seeing a translated advert for a brand of chocolate, might go and buy some of that chocolate. These reactions are behavioural effects that can be observed.

Finally, a translation can also have effects at the socio-cultural level: if a great many readers go and buy that brand of chocolate, a whole economic sector might change. Translations can affect the way the target language develops. They can influence the way whole societies evolve, how religions spread. They can affect the way people think about translations and translators, and what they say or write about them: this is studied as the *discourse of translation*. Translations and people's reactions to them thus affect the status of translators in a given society. Translations can

have a huge influence on how one culture perceives another, and hence on intercultural relations in general.

Causes and effects at each of these levels obviously interact and affect each other in extremely complex ways. Translators' attitudes, for instance, are influenced by existing norms, but they also simultaneously affect these norms, either strengthening or weakening them, and so help to shape their future development.

These different levels or dimensions of causality have led to different variants of the basic causal model of translation. Each variant highlights particular features of the overall picture. Some focus on translation causes, others on translation effects; some focus on the cognitive level, others on the level of the communicative task or the socio-cultural level. Below are some examples of concepts and approaches based on an implicit or explicit causal model.

- Nida's dynamic equivalence (e.g. Nida 1964) includes the idea of achieving a similar effect.
- Skopos theory (*skopos* is Greek for 'purpose') foregrounds one kind of cause, i.e. the final cause (intention), and *skopos* itself could be defined in terms of the intended effect of a translation. (For skopos theory, see e.g. Vermeer 1996; Nord 1997.)
- The polysystem approach and scholars of the 'cultural turn' use causal concepts such as norms, in both source and target cultures, to explain translation causes and effects; they also build in other causal constraints such as patronage and ideology. (For a survey, see Hermans 1999.)
- Gutt's application of relevance theory to translation makes explicit appeal to cognitive effects; he argues that optimum relevance (in the technical sense of the term) is the explanatory factor that accounts for communicative choices in general (Gutt 2000).
- Toury's (1995) proposed laws of interference and standardization seek to take us beyond description into explanation.
- Some protocol studies look for the proximate (cognitive etc.) causes of a translator's decisions (see e.g. Tirkkonen-Condit and Jääskeläinen 2000).

---- Jenny Williams & Andrew Chesterman, *The Map: A Beginner's Guide to Doing Research in Translation Studies*³⁴³

150. (巴西) 德坎波斯兄弟

Haroldo & Augusto De Campos



Augusto De Campos



Haroldo De Campos em Nova York
nos anos oitenta - *Foto: Regina Vater*

生平及重要译论：

德坎波斯兄弟 Haroldo & Augusto De Campos，兄哈罗尔多 Haroldo de Campos，1929-2003，弟奥古斯托 Augusto De Campos，1931-，巴西圣保罗（São Paulo）著名文学家、诗人、翻译家和翻译理论家。哈罗尔多在圣保罗一所大学教授文学理论，出版过多卷关于翻译理论及巴西和国际文学的书籍。他还是多产翻译家，将很多外国诗歌翻译引进巴西。他曾翻译过庞德等人的作品，还翻译了荷马的《伊利亚特》。

德坎波斯兄弟根据德里达的理论构建起自己的翻译理论并将之应用于文学翻译。他们的翻译理论不同于传统的西方翻译理论模式，更与欧洲中心论相对立。他们的翻译理论站在了反对西方话语霸权的立场上，巴斯奈特为此声称西方文化霸权已经出现裂隙。德坎波斯兄弟否认预先注定不变的原文（preordained original）的存在，认为翻译是超越原文的一种形式。为此，他们引入“同类相食性”（cannibalism）概念，并宣称：

翻译是同类相食的一种形式。（Translation is a form of cannibalism）³⁴⁴

这里，“同类相食”是指翻译独立于原文并消化、汲取原文文化的精华以获取新的动力。

151.（印度）泰贾斯维尼·尼兰贾娜 Tejaswini Niranjana



Tejaswini Niranjana:

Exploring feminist and translation theories

生平及重要译论

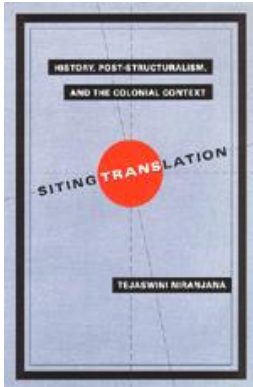
泰贾斯维尼·尼南贾纳（又译尼兰贾娜、尼兰詹娜）Tejaswini Niranjana，印度卡纳塔克邦班加罗尔大学（Bangalore University）毕业并获文学士学位，印度孟买大学（University of Bombay）获硕士学位，美国洛杉矶加州大学（University of California, Los Angeles）获博士学位。任教于印度海得拉巴大学（University of Hyderabad）英语系和美国芝加哥大学（University of Chicago）。

尼南贾纳是后殖民主义翻译流派的最为重要的代表人物之一。主要著作有《为翻译定位——历史、后结构主义与殖民主义语境》（*Siting Translation: History, Post-Structuralism and the Colonial Context*, 1992）、（与 P.Sudhir and Vivek Dhareshwar 合编）《质疑现代——印度文化与殖民主义》（*Interrogating Modernity: Culture and Colonialism in India*, 1993）。《为翻译定位——历史、后结构主义与殖民主义语境》成为后殖民主义翻译流派的最重要的代表作。

尼南贾纳将翻译视为一种政治行为（political action）。翻译长期以来被利用来维系各民族、种族和语言间的不平等权力关系，有助于维系殖民状态下不对称的权力关系，即翻译强化了霸权性的（hegemonic）描述，因此她坚决主张后殖民主义民族对翻译应该重新定位。她运用解构主义理论对西方翻译史重新进行审视。她认为她的观点将涉及殖民主义情景下与翻译有关的各个方面，包括哲学、政治学和语言学。

尼南贾纳强调研究后殖民主义情景下的翻译就是通过解构翻译来对翻译进行反思，以便质疑和揭示后殖民话语与殖民和新殖民统治之间的“共谋”，揭示后殖民主义时期在文化方面包括教育、宗教、哲学、历史学、文学翻译等殖民主体所建构的“象征控制”，揭示翻译符号流通期间的“组织体系”。她呼吁后殖民主义各民族应当将翻译视作为“抗争与变革的阵地”（a site for resistance and transformation）。

史料图片选辑



Tejaswini Niranjana:

Siting Translation:

History, Post-Structuralism, and the Colonial Context, 1992

译论史稿辑要

SITUATING TRANSLATION

In a post-colonial context the problematic of *translation* becomes a significant site for raising questions of representation, power, and historicity. The context is one of contesting and contested stories attempting to account for, to recount, the asymmetry and inequality of relations between peoples, races, languages. Since the practices of subjection/subjectification implicit in the colonial enterprise operate not merely through the coercive machinery of the imperial state but also through the discourses of philosophy, history, anthropology, philology, linguistics, and literary interpretation, the colonial "subject" -- constructed through technologies or practices of power/knowledge -- is brought into being within multiple discourses and on multiple sites. One such site is translation. Translation as a practice shapes, and takes shape within, the asymmetrical relations of power that operate under colonialism. What is at stake here is the representation of the colonized, who need to be produced in such a manner as to justify colonial domination, and to beg for the english book by themselves. In the colonial context, a certain conceptual economy is created by the set of related question that is the problematic of translation. Conventioally, translation depends on the Western philosophical notions of reality, representation, and knowledge. Reality is seen as something unproblematic, "out there"; knowledge involves a representation of this reality; and representation provides direct, unmediated access to a transparent reality. Classical philosophical discourse, however, does not simply engender a practice of translation that is then employed for the purposes of colonial domination; I contend that, simultaneously, translation in the colonial context produces and supports a conceptual economy that works into the discourse of Western philosophy to function as a philosopheme (a basic unit of philosophical conceptuality). As Jacques Derrida suggests, the concepts of metaphysics are not bound by or produced solely within the "field" of philosophy. Rather, they come out of and circulate through various discourses in several registers, providing a "conceptual network in which philosophy *itself* has been constituted." In forming a certain kind of subject, in presenting particular versions of the colonized, translation brings into being overarching concepts of reality and representation. These concepts, and what they allow us to assume, completely occlude the violence that accompanies the construction of the colonial subject.

Translation thus produces strategies of containment. By employing certain modes of representing the other -- which it thereby also brings into being -- translation reinforces hegemonic versions of the colonized, helping them acquire the status of what Edward Said calls representations, or objedcts without history. These become *facts* exerting a force on events in the colony: witness Thomas Babington Macaulay's 1835 dismissal of indigenous Indian learning as outdated and irrelevant, which prepared the way for the introduction of English education.

In creating coherent and transparent texts and subjects, translation participates -- across a range of discourses -- in the *fixing* of colonized cultures, making them seem static and unchanging rather than historically constructed. Translation functions as a transparent presentation of something that already exists, although the "original" is actually brought into being through translation. Paradoxically, translation also provides a place in "history" for the colonized. The Hegelian conception of history that translation helps bring into being endorses a teleological, hierarchical model of civilizations based on the "coming to consciousness" of "Spirit," an event for which the non-Western cultures are unsuited or unprepared. Translation is thus deployed in different kinds of discourses -- philosophy, historiography, education, missionary writings, travel-writing -- to renew and perpetuate colonial domination.

My concern here is to explore the place of translation in contemporary Euro-American literary theory (using the name of this "discipline" in a broad sense) through a set of interrelated readings. I argue that the deployment of "translation" in the colonial and post-colonial contexts shows us a way of questioning some of the theoretical emphases of post-structuralism.

[...] Reading the texts of different kinds of colonial translators, I show how they bring into being hegemonic versions of the non-Western other. Because they are underpinned by the powerful metaphysics of translation, these versions are seen even in the post-colonial context as faithful pictures of the decadence or depravity of "us natives." Through English education, which still legitimizes ruling-class power in formerly colonized countries, the dominant representations put into circulation by translation come to be seen as "natural" and "real." In order to challenge these representations, one must also examine the historicist henets that endorse them. I will, therefore, discuss the pertinence of the critique of historicism to a world undergoing decolonization. Given the enduring nature of Hegelian presentations of the non-West and the model of teleological history that authorizes them, a questioning of the model could underwrite a new practice of translation.

[...] Discussing the last two, which are somewhat marginal to literary theory, may nevertheless help us sharpen our critique of translation. Caught in an idiom of fidelity and betrayal that assumes an unproblematic notion of representation, translation studies fail to ask questions about the historicity of translation; ethnography, one other hand, has recently begun to question both the innocence of representation and the long-standing asymmetries of translation.

[...] My argument is that Walter Benjamin's early writings on translation are troped in significant ways into his later essays on the writing of history, a troping that goes unrecognized by both de Man and Derrida. (I use *trope* to indicate a metaphorizing that includes a displacement as well as a re-figuring.) The refusal of these major proponents of deconstruction to address the question of history in Benjamin suggests a critical drawback in their theory and perhaps indicates why deconstruction has never addressed the problem of colonialism.

[...]

This work belongs to the larger context of the "crisis" in "English" that is a consequence of the impact of stucturalism and post-structuralism on literary studies in a rapidly deco.onizing world. The liberal humanist ideology that endorsed and was perpetuated by the civilizing mission of colonialism is still propagated by discourses of "literature" and "criticism" in the tradition of Arnold, Leavis, and Eliot. These disciplines repress what Derrida, in the words of Heidegger, calls the logocentric or ontotheological metaphysics by which they are constituted, which involves all the traditional conceptions of representation, translation, reality, unity, and knowledge.

There have been few systematic attempts to question "English," or literature, or criticism from a post-colonial perspective, let alone such a perspective that also incorprateds insights from contemporary theory. In order to help challenge the complicity of these discourses with colonial and neocolonial domination, I propose to make a modest beginning by examining the "uses" of translation. The rethinking of translation becomes an important task in a context where it has been used since the European Enlightenment to underwrite practices of subjectification, especially for colonized peoples. Such a rethinking -- a task of great urgency for a postcolonial theory attempting to

make sense of "subjects" already living "in translation," imaged and re-imaged by colonial ways of seeing -- seeks to reclaim the notion of translation by deconstructing it and reinscribing its potential as a strategy of resistance.

Given the dispersed nature of its existence, we shall have to approach an understanding of the "post-colonial" through a variety of nodes: the intersection of the present with a history of domination, the formation of colonial "subjects," the workings of hegemony in civil society, and the task, already under way, of affirmative deconstruction.

[...]

---- Tejaswini Niranjana, *Siting Translation: History, Post-Structuralism and the Colonial Context*³⁴⁵

152. (印度) 伽亚特里·斯皮瓦克 Gayatri Chakravorty Spivak



Gayatri Chakravorty Spivak, 1942-

生平及重要译论：

伽亚特里·斯皮瓦克 Gayatri Chakravorty Spivak, 1942.2.24-，著名后殖民主义文学评论家和理论家，与巴勒斯坦的赛义德（Edward Said）和印度的巴巴（Homi Bhabha）并称为后殖民理论的“三巨子”。出生于印度西孟加拉的加尔各答（Calcutta, West Bengal）一个殷实的城市中产阶层家庭，以优异成绩毕业于加尔各答大学（University of Calcutta, 1959），后赴美国康奈尔（Cornell）大学深造并获英语硕士学位，并在美国哥伦比亚大学（Columbia University）和衣阿华大学（University of Iowa）任教，在此期间完成了她的博士论文 *Myself Must I Remake: The Life and Poetry of W. B. Yeats*（1974），成为印度独立后第一代知识分子。

斯皮瓦克曾翻译过德里达的著作《论文字学》（*Of Grammatology*, 1976），并开始对女性主义、西方马克思主义和后殖民主义发生兴趣。其主要作品是论文《殖民地民族也能讲话吗？》（*Can the Subaltern Speak?* in Cary Nelson and Larry Grossberg, eds. *Marxism and the interpretation of Culture*, 1988），成为后殖民主义的纲领性文件。著作主要有《在另一个世界——文化政治论文集》（*In Other Worlds: Essays in Cultural Politics*, 1987）、（与 Ranajit Guha 合编）《殖民地民族研究选集》（*Selected Subaltern Studies*, 1988）、《后殖民批判——会面、策略、对话》（*The Post-Colonial Critic: Interviews, Strategies, Dialogues*. Ed. Sarah Harasym, 1990）、《教学机器内外》（*Outside In the Teaching Machine*, 1993）、《后殖民理由批判——走向尽头的现在的历史》（*A Critique of Post-Colonial Reason: Toward a History of the Vanishing Present*, 1999）、《一门学科的消亡》（*Death of a Discipline*, 2003）等。

从斯皮瓦克的作品名称便可透视其观点和思想。她在《教学机器内外》一书中引用巴雷（Mich Le Barrett）的话表明她的研究观点：

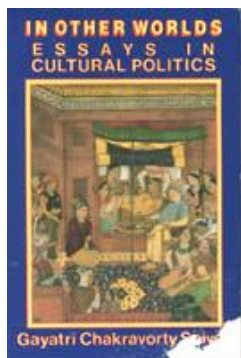
英国社会学家米谢勒·巴雷认为：若把语言看作建构意义的过程，那么翻译的政治本身便是一个重要的课题了。³⁴⁶

斯皮瓦克认为结构主义翻译仅仅从语言的句法、同义词及地方色彩等语言层面考虑，而解构主义则认为在此之上还应有三个层面，即逻辑、修辞和静默。斯皮瓦克则认为，修辞与逻辑之间获得认知的条件的效应之间的不协调关系，就是为能动者构建其世界的关系，如此能动者才可有伦理的行为、政治的行为、日常生活的行为；如此能动者才可在世上以人的方式生存。不为另一种语言建构这样的一个模式就不可能有真正的翻译。后殖民主义理论则进一步认为处理这种模式的方式在殖民者语言（如英语）和前殖民地语言（如孟加拉语）中是不同的，从英语到第三世界语言和从第三世界语言到英语的翻译是两种不同的政治活动，在前者的活动中往往会不自觉地接受殖民者的态度，而在后者的活动中民主法则往往会变为强权法则。³⁴⁷

史料图片编辑：



Gayatri Chakravorty Spivak



Gayatri Spivak:

In Other Worlds: Essays in Cultural Politics

译论史稿辑要：

（1）

If the “origin” of Area Studies was the aftermath of the Cold War, the “origin” of U.S. Comparative Literature had something of a relationship with the events that secured it: the flights of European intellectuals...from “totalitarian” regimes in Europe. One might say that U.S. Comparative Literature was founded on inter-European hospitality, even as Area Studies had been spawned by interregional vigilance.

[...]

We cannot not try to open up, from the inside, the colonialism of European national language-based Comparative Literature and the Cold War format of Area Studies, and infect history and anthropology with the “other” as producer of knowledge. From the inside, acknowledging complicity. No accusations. No excuses. Rather, learning the protocol of those disciplines, turning them around, laboriously, not only by building institutional bridges but also by persistent curricular interventions. The most difficult thing here is to resist mere appropriation by the dominant.

---- Gayatri Chakravorty Spivak, *Death of A Discipline*³⁴⁸

(2)

To think of learning this from precapitalist formations and yet to help insert them into lines of mobility, we cannot simply be bad-faith emissaries of globalization that assigns itself the status to train women of “other places” to be women. To be encountered by them as women, we must work to make these other pasts come: “they would come if we worked for them.” Not only is this not gender training, it is not even “learning *about* cultures.” This is imagining yourself, really letting yourself be imagined (experience that impossibility) without guarantees, by and in another culture, perhaps.

---- Gayatri Chakravorty Spivak, *Death of A Discipline*³⁴⁹

(3)

The globe is on our computers. No one lives there. It allows us to think that we can aim to control it. The planet is in the species of alterity, belonging to another system; and yet we inhabit it, on loan. It is not really amenable to a neat contrast with the globe....When I invoke the planet, I think of the effort required to figure the (im)possibility of this underived intuition.

To be human is to be intended toward the other... If we imagine ourselves as planetary subjects rather than global agents, planetary creatures rather than global entities, alterity remains underived from us; it is not our dialectical negation, it contains us as much as it flings us away.

---- Gayatri Chakravorty Spivak, *Death of A Discipline*³⁵⁰

(4)

“It is with this ensemble that the divided and diversified story of Asian America, old and new immigrants, must be imaginatively cobbled to make for a robust Comparative Literature” .

---- Gayatri Chakravorty Spivak, *Death of A Discipline*³⁵¹

(5)

The country here is not simply the prenatal as opposed to the national. It is also the hyle or mass of the national, to which the blood rushes first and that becomes continuous with the exchange with the Earth. The Earth is a paranational image that can substitute for international and can perhaps provide, today, a displaced site for the imagination of planetarity.

---- Gayatri Chakravorty Spivak, *Death of A Discipline*³⁵²

(6)

Deconstruction does not say there is no subject, there is no truth, there is no history. It simply questions the privileging of identity so that someone is believed to have the truth. It is not the exposure of error. It is constantly and persistently looking into how truths are produced. That's why deconstruction doesn't say logocentrism is a pathology,

or metaphysical enclosures are something you can escape. Deconstruction, if one wants a formula, is among other things, a persistent critique of what one cannot not want.

---- Gayatri Chakravorty Spivak, 'Bonding in Difference'³⁵³

(7)

If there are no unique words, if, as soon as a privileged concept-word emerges, it must be given over to the chain of substitutions and to the 'common language', why should that act of substitution that is translation be suspect? If the proper name or sovereign status of the author is as much a barrier as a right of way, why should the translator's position be secondary? It must now be evident that, desiring to conserve the 'original' (*De la grammatologie*) and seduced by the freedom of the absence of a sovereign text (not only is there no *Of Grammatology* before mine, but there have been as many translations of the text as readings, the text is infinitely translatable), translation itself is in a double bind.

[...]

Derrida's text certainly offers its share of 'untranslatable' words. I have had my battles with 'exergue' and 'propre'. My special worry is 'entamer'. As we have seen, it is an important word in Derrida's vocabulary. It means both to break into and to begin. I have made do with 'broach' or 'breach', with the somewhat fanciful confidence that the shadow-word 'breach' or 'broach' will declare itself through it. With 'entamer' as well as with other words and expressions, I have included the original in parenthesis whenever the wording and syntax of the French seemed to carry a special charge. To an extent, this particular problem informs the entire text. Denying the uniqueness of words, their substantiality, their transferability, their repeatability, *Of Grammatology* denies the possibility of translation. Not so paradoxically perhaps, each twist of phrase becomes at the same time 'significant' and playful when language is manipulated for the purpose of putting signification into question, for deconstructing the binary opposition 'signifier-signified'. That playfulness I fear I have not been able remotely to capture.

[...]

And all said and done, that is the sort of reader I would hope for. A reader who would fasten upon my mistranslations, and with that leverage deconstruct Derrida's text beyond what Derrida as controlling subject has directed in it.

---- Gayatri Chakravorty Spivak, 'Translator's Preface'³⁵⁴

注释与出处

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