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# 认知心理视阈下的 口译研究

A Study of Interpreting from the  
Perspective of Cognitive Psychology

康志峰 著



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黄忠廉 方梦之 李亚彬

2011年仲秋

要求较高,比较紧张,声音是唯一的工具,不如交传可有反问,可借助表情、手势等非语言手段。不论交传有无译稿,说者与译者交替进行,其准确性和完整性一般要高于同传。

虽说同传研究的“一些技巧,有点像禅机,似乎只能意会,不能言传。一旦点破,颇有不智之感”,<sup>①</sup>(张维为,1999:Ⅷ)但听觉特征、词汇量、听力模式、注意力、理解力、信息量、时间长短等因素在同传和交传中表现不一,以听的焦虑为例,同传肯定强过交传,更强于笔译,这才是最典型的翻译焦虑,理当受到较多的关注。

### 为什么是即席同传?

因为即席同传最能反映同传的无准备性,比有备同传更能“暴露”同传的真相。即席同传以其鲜活性和真实性而备受关注,往往成为衡量译者口译水平的试金石。有备同传有时就是同步读稿,而即席同传则因其临时性、突然性等因素既可考验译者的真功夫,又可外化口译的真过程,将译者的思维过程暴露无遗,仿佛在解剖译者的认知、心理和思维过程,打开大脑中翻译变化的“黑匣子”,这一直是译学界的梦想。只有明白了译的真相,才可获得译的真知。

即席同传将翻译的思维过程剥离得淋漓尽致,即席同传因准备无法充分、所译对象出乎意料等因素,会产生种种病句,如支离破碎不成句、逻辑混乱不像话、前言不搭后语等,这是多数即席同传的常态,将其与同一内容的交传、尤其是笔译两两比较,其中的千差万别是弥足珍贵的译学研究对象。王大伟(1999)曾经编著《现场汉英口译技巧与评析》<sup>②</sup>一书,所用的是“一流口译专家即席口译的录音磁带”,已是难能可贵了,但这仍是名家即席口译,而非一般译者的即席口译,更非一般译者的即席同传。将来若有人能将即席同传整理成书,于译于学功莫大焉。

在研究路径上,我们欢迎康志峰式将认知心理学应用于交传焦虑的演绎性研究,他通过实证法验证相应的学科理论,且发现了高焦虑和低焦虑与口译任务的完成呈明显的负相关,而中等焦虑与之呈正相关,这是其研究创新之所在。我们更呼吁从最具译学研究价值的对象出发,大力开展归纳性研究,进而发现任何单语言所不能发现的现象、规律和原理,这才是翻译学的原创性研究,才会催生翻译学自身的理论,才会为其他学科献上所有,使翻译学成为其母源学科之一。

① 张维为. 英汉同声传译[M]. 北京:中国对外出版公司,1999.

② 王大伟. 现场汉英口译技巧与评析[M]. 上海:上海世界图书出版公司,1999.

interpreting as well as auditory perception in interpretation, so as to render the students a good psychological mode to successfully accomplish their interpretation tasks.

The procedure of this study contained three stages. The first stage (the stage of basic theory study) was kind of period in which related literature on interpretation theory, anxiety theory, cognitive psychology and other theories had been reviewed and analyzed, the existing theories had been developed and the new ones had been conceived from February 2008 to August 2009. The second stage (the stage of theoretical and empirical studies) was such a phase in which before December 2009 the subject's basic theories had been put into students' interpreting practices using all kinds of experimental activities. The third stage (the stage of composing the dissertation) was the last one in which the higher quality dissertation had been composed in light of experimental data as well as related theories like interpretation theory, anxiety theory and cognitive theory etc from August 2009 to September 2010.

The research issues addressed in this dissertation include: (1) the constructions of the new integrated theory of AA Mode and IA Mode containing sources, the scale, the severity of students' AA and IA, and their impacts on interpretation; (2) the underlying psychological constructs of AA Mode and IA Mode, the effects of different levels of AA and IA, and the correlations between the two modes; (3) the coping strategies to solve the problems of HA and LA in the two modes.

In order to explore these issues, the research methods employed in this dissertation are novel ones, such as psychological tests by psychologists, cerebral blood flowing tests by an associate professor of neurology and consulting experts via the internet and phone alongside traditional methods such as questionnaires, interviews, video-taping, on-the-spot recordings, statistical analyses and so on that

scholars frequently draw on.

There were altogether 291 subjects who accepted the survey, meantime there were 6 interpretation instructors, 3 psychologists and 1 neurology physician who were interviewed and consulted in order to gain good results from experiments. The main findings of this study are listed in the following.

1. AA Mode and IA Mode have been theoretically constructed; the sources, the scope, the severity and the impacts of AA and IA on interpretation have been proved.

1) AA Mode has been theoretically constructed. It mainly focuses on AA that derives its name from AP in interpretation due to a multitude of reasons like different auditory characteristics of sounds, being short of large vocabulary, passive listening, attention distraction, poor LC ability, heavy information, a very short time in interpretation and so on which make students induce anxiety when they listen to the speaker in the course of interpretation. Exactly to say, AA originally from the organ of AP is hence a kind of anxiety related to AP and caused by the abnormal AP when an interpreting student can not perceive the acoustic waveform well from SL. This kind of anxiety caused by the abnormal AP from an information process might as well be called AA and this kind of mode is called AA Mode. It is not only AA and the whole process of interpretation that has a close relationship, but also AA and listening in interpretation has a closer relationship because AA directly comes from listening in interpretation. Thus, AA has more direct impacts on listening as well as interpretation.

2) IA Mode has been theoretically constructed. It mainly focuses on IA that derives its name from interpreting due to the six illocutionary factors; (biological factors, knowledgeable factors, psychological factors, environmental factors, personality factors and cultural factors), and six locutionary factors; (differentiation be-

tween SL and TL, unnatural accent of different speakers, fast speaking rate, density of information, bilingual knowledge and skills) which make students incur anxiety when they do interpretation. IA and interpreting has a close relationship because IA is directly from interpreting and has impacts on interpreting. In IA Mode some new concepts like HA, MA and LA; the creative terms were also pointed out by this study and were proven by students' ITs.

3) The sources, the scope, the severity and the impacts of AA and IA have been proved. The sources of AA and IA were illustrated above. The scopes were differentiated by finishing AAS and IAS with 28 items based upon Cassady and Johnson's (2002) Test Anxiety Inventory. The severity of AA like hearing nothing temporarily and that of IA like "choking" was surprisingly found by the final interpretation examinations. And the impacts were mainly evidenced by the use of questionnaires. What has been emphasized is that the possible range of score was 28 to 112 by finishing 28 items in AAS with a Cronbach alpha of 0.91 through SPSS and in IAS with a Cronbach alpha of 0.93 which means a higher reliability. The higher score ( $\geq 72$  points) indicated more anxiety on the students' part. Thus, HA (72 and over 72 points), MA (from 62 to 71 points) and LA (61 and below 61 points) of IA can be classified in terms of the scores that the subjects gained by finishing the questionnaire.

2. The underlying psychological structures of AA Mode and IA Mode in interpretation have been analyzed, the effects of different levels of AA and IA have been proved by the evidence and their correlations have been confirmed by SPSS. From the perspective of cognitive psychology, this study has analyzed and proved the possible origins of the four psychological conditions that can hinder interpreting performance—fear of public interpreting, others' evaluation, lack of self-confidence and insecurity, feelings of threat (Jiménez & Pinazo, 2001) which induce some students' AA and IA. The result

of experimental studies shows that HA and LA in AA Mode and IA Mode have an obstacle to interpreting, whereas MA, as one mode in them, can promote their interpreting. The quantitative findings of statistical analyses by SPSS show that interpretation students' AA has the positive correlation to IA regardless of differences. That is to say AA Mode and IA Mode are two distinct but related psychological modes. Both of them have HA, MA and LA in which HA and LA had significant negative relationships with interpretation achievement, whereas MA has positive relationship with it, which is different from the past traditional studies.

3. Coping strategies to solve the problems of psychologically negative factors like HA and LA in AA Mode and IA Mode have been conceived. It is imperative that interpretation instructors take a more proactive approach than waiting for anxious students to ask for their help. As the sources of HA and LA of students' AA and IA are being identified, interpretation instructors can adjust students' emotional states in interpretation examinations by adopting good coping strategies to their HA and LA like "AÄ + EÄ" Strategy, Medium Arousal Strategy, RL-Mode Strategy and Five Classroom Strategies to formatively adjust their teaching and examinations accordingly.

Thus the theoretical significance and the pragmatic value of this study lie in not only the theoretical creation of AA Mode and IA Mode, but also the definite referential value to China's interpretation teaching, and interpretation testing in particular. This study also makes up for the deficiency of multidisciplinary studies on interpreting and anxiety in China.



## Abbreviations

AA	Auditory Anxiety
AÄ	AA <sub>t</sub> + AA <sub>d</sub>
AA <sub>d</sub>	Anxiety Adjustment
AA <sub>t</sub>	Anxiety Attention
AP	Auditory Perception
AAS	Auditory Anxiety Scale
AERPs	Auditory Event—Related Potentials
APAS	Auditory Perception Anxiety Scale
AIIC	the Association Internationales des Interpretes de Conference
AM	Attentive Memory
AS	Anxiety Scale
CDE	College of Distance Education
CET	College English Teaching
CI	Consecutive Interpreting/Interpretation
CIC	Consecutive Interpretation Course
CIT <sub>g</sub>	Consecutive Interpretation Teaching
CIT <sub>t</sub>	Consecutive Interpretation Test
CL	Chinese Language
CRW	Closer Related Words
CRWER	Erroneous Rate of Closer Related Words
CTAS	Cognitive Test Anxiety Scale
DST	Direct Speech or Thought
EA	EA <sub>t</sub> + EA <sub>d</sub>
EAd	Exciting Adjustment

(续)

EAt	Exciting Attention
EL	English Language
ELK	Extra-Linguistic Knowledge
EM	Exciting Mode
ERPs	Event-Related Potentials
ERFs	Event-Related Magnetic Fields
FDU	Fudan University
FL	Foreign Language
FLA	Foreign Language Anxiety
FLE	Foreign Language Education
FLT	Foreign Language Teaching
FLL	Foreign Language Learning
FOA	Focus of Attention
GLC	General Listening Course
GSEE	Graduate School Entrance Examination
HA	Higher Anxiety
HAM	Higher Anxiety Mode
HEM	Higher Exciting Mode
HTA	Higher Test Anxiety
HS	Higher Stress
IAS	Interpreting Anxiety Scale
IA	Interpreting Anxiety
IC	Interpretation Course
ICL	Individual Capacity of Lexicon
IP	Information Process
IST	Indirect Speech or Thought
ITt	Interpretation Test
ITts	Interpretation Tests
KW	Key Words
KWER	Erroneous Rate of Key Words
LA	Lower Anxiety
LAM	Lower Anxiety Mode
LC	Listening Comprehension

(续)

LEM	Lower Exciting Mode
L1	First Language
L2	Second Language
LRWER	Erroneous Rate of Lesser Related Words
LTA	Lower Test Anxiety
LTM	Long Term Memory
MA	Medium Anxiety
MAM	Medium Anxiety Mode
MCE	Mood-Congruent Effect
MEM	Medium Exciting Mode
MTA	Medium Test Anxiety
NCEE	National College Entrance Examination
NE	Negative Evaluation
PI	Public Interpreting
PIAS	Public Interpreting Anxiety Scale
SAI	State Anxiety Inventory
SFC	Shanghai Financial College
SI	Simultaneous Interpreting/Interpretation
SIC	Simultaneous Interpreting /Interpretation Course
SITg	Simultaneous Interpreting/Interpretation Teaching
SITt	Simultaneous Interpreting/Interpretation Test
SL	Source Language
SLA	Second Language Acquisition
SNU	Shanghai Normal University
STM	Short Term Memory
TAI	Trait Anxiety Inventory
TL	Target Language
TPQ	Test Procrastination Questionnaire
WM	Working Memory
WMS	Working Memory System

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teaching materials. Interpretation as a science in China is much younger than in the west, for studies on interpretation started only at the beginning of 21 century and they mainly concentrated on its basic concepts, standards, characteristics and teaching activities.

Basically, interpretation can be divided into consecutive interpretation (CI) and simultaneous interpretation (SI). The first traces of CI date from over 2000 BC in the area of Elephantine in the Egyptian Old Kingdom and it has been in service in China for centuries. CI is a mode of interpretation or oral translation where the interpreter only starts to interpret when the speaker pauses after finishing a section of the speech (Kang, 2007). It involves interpretation between chunks of the original speech or rather, immediately after the original speaker has completed a few connected sentences or, in most cases, a fairly long paragraph, as is often seen on TV during a press conference. In short CI, the interpreter relies on memory, each message segment being brief enough to memorize. In long CI, the interpreter takes notes of the message to aid rendering long passages. These informal divisions are established with the client before the interpretation is effected, depending upon the subject, its complexity, and the purpose of the interpretation. In SI, the interpreter renders the message in the target-language as quickly as he or she can formulate it from SL, while the SL speaker continuously speaks; a spoken language SI interpreter, sitting in a sound-proof booth, speaks into a microphone, while clearly seeing and hearing the SL speaker via earphones. SI is rendered to the TL listeners via their earphones. Even though there are two main forms of interpretation CI and SI, this study mainly concerns CI in doing experiments with the students that the author has previously taught.

In interpretation whatever it is CI or SI, memory plays a significant role because it is involved in such active processes such as information perception, encoding, storage and retrieval. Interpreters first identify and retain the incoming information when listening to SL speech, then analyze, encode, and store the information, and finally recognize and recall the retained information by active retrieval and encode the message into TL. There have been some researches on memory in interpretation but most of them haven't explored it thoroughly. This dissertation, based upon short-term memory (STM), addresses the debate about the construct of working memory (WM) used as a theoretical framework to investigate the task of interpreting by empirical studies on students' interpreting under the influence of anxiety. Furthermore, it examines the constructs of auditory anxiety (AA) Mode and interpreting anxiety (IA) Mode in the process of interpretation among Chinese university students learning interpretation from English into Chinese basis. IA has been identified as one of the major affective factors that influence the process of interpretation; nevertheless, AA is actually the most important factor that affects not only the process of interpretation, but particularly affects listening in the process of interpretation. Early studies in language anxiety had an obvious focus on the language skill of speaking because speaking was considered as the most anxiety-provoking skill among all the four language skills: speaking, listening, reading and writing (Aida, 1994; cited by Phillips, 1992; cited by Zhao, 2009). Students were later found to have different anxiety levels related to different language skills and therefore anxiety studies related to language skills other than speaking began to emerge in 1990s (Cheng, Horwitz & Schallert, 1999; cited by Vogely, 1998). Different anxie-



Anxiety, Worry about Failing Public Interpreting, and Low Self-Confidence), and three factors comprise the APAS (Being Afraid of Not Understanding the Speaker, Negative Evaluation, and Cognitive Processing Anxiety).

AA Mode and IA Mode are two distinct but related psychological modes. In addition, different anxiety levels of AA Mode and IA Mode have different relationships with interpretation achievements.

The qualitative analysis of the interview data yielded five major sources and four main effects of IA. The five major sources included speaker variables, audience variables, self variables, task variables, and test procedures variables. The four main consequences of IA included physiological effects, life routine effects, cognitive effects, and beyond-classroom effects.

The study of the constructs of AA Mode and IA Mode in the process of interpretation among Chinese university students shows that the effort that students need to put into the study of less commonly taught interpretation and the constant frustration they have experienced from learning and practicing interpretation might make anxiety a salient factor. Learners' anxiety to interpreting, and especially their anxiety to listening, i. e. the process of auditory perception of interpretation, is the focus of the study, which has rarely been studied in the field to the best of the researchers' knowledge.

## **1.1 Statement of the Problem**

Interpretation, either consecutive or simultaneous, is a highly anxiety-provoking activity not only because the interpreter has to perform *“a series of complex cognitive and psychomotor operations in public or at least for the public”* (Jimenez & Pinazo, 2001: 105),