

Daxue Yingyu  
Jiaoxue Yanjiu

# 大学英语 教学研究

王世庆 主编



天津科学技术出版社

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# 前言

本书作者均为大学英语专业教师,对大学的意义和大学教师肩负的职责有着清醒和深刻的认识。大学之所以区别于中小学,就在于大学负有更多的创造知识、推动社会发展的历史使命。身为一名大学教师,只是一个合格的“教书匠”是远远不够的,因为“教书匠”不会也不能为社会创造知识,而不能为社会创造知识,大学就失去了其存在的最本质的意义。

虽然本书作者均为英语专业教师,但他们的研究方向各有侧重,主要包括英语文学、翻译研究、文化研究、语言学及应用语言学(包括英语教学)、英语国际商务等。本书对这些方面都有涉及。也正是由于研究方向的差异,论文采用的研究方法各有不同,有实证研究法,也有文献法;有定性研究,也有定量研究。这一点提醒读者注意。

本书作者大多数为中青年教师,尽管他们的科研积极性很高,非常认真地对待选题,查阅文献,收集数据,分析论证,但由于经验欠缺,因此难免出现不尽人意之处。成书过程中,英语学院采用学院立项的方式,为每一名作者指定一名学术带头人,提供从选题到定稿全程指导,为保证本书质量提供了积极支持。

由于时间较为仓促,本书可能还存在一些纰漏,敬请广大读者批评指正。

编者

2008年12月

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# 关联与译者的主体作用

常子霞

**摘要** 本文拟从认知视角出发,以实例探讨说明关联理论与译者的关系,揭示该理论对翻译实践的指导作用。翻译是解码推理和编码选择两个动态过程组成的统一体,作为翻译主体的译者如何正确推理出原文的交际意图,产生与译文读者期待相吻合的译文,关键是译者要以关联为基础,充分考虑原文作者和译文读者的认知环境,根据交际需要改变自己的认知环境,扩大自己与二者的共有认知环境。

**关键词** 认知;关联理论;认知环境

## 一、引言

1986年,Sperber和Wilson提出了与交际和认知有关的关联理论,作为认知语用学理论基础,该理论为言语交际的研究提供了一个新的视角。翻译也是人类的一种交际形式,是跨语言、跨文化的言语交际(宋志平,2004:21~22)。它涉及三个交际主体:原作者、译者、译文读者。译者作为唯一在场的交际主体,能否进行恰当的解码推理和编码选择,对原文作者和译文读者的成功交际至关重要。本文将从认知的角度出发,用具体实例阐述关联理论对译者主体作用的影响,以期对今后的翻译实践起到一定的指导作用。

## 二、国内外认知语用翻译研究

### 1. 国外认知语用翻译研究

较早把关联理论用于翻译研究的西方学者有 Hatim、Mason 和

Gutt, Hatim 和 Mason 两位学者认为,译者永远不会了解说话人(作者)的思想,但是译者可以对自己与说话人(作者)之间的共有认知环境作出假设, Sperber 和 Wilson 的关联理论是作出这种假设的基础(2002:79~99)。而 Gutt 则认为翻译是一个推理过程,一个译者寻找最佳关联的认知过程。他认为译者肩负双重责任:正确体会原文作者的意图;向译文读者忠实地传达原文意图。译者要获得翻译交际的成功,就需要在自己的认知环境与原文作者和译文读者的认知环境之间寻找最佳关联(2000:8~25)。

## 2. 国内认知语用翻译研究

在我国,关联翻译理论最早见于林克难先生 1994 年的《关联翻译理论简介》一文。在随后的几年,关联翻译理论的研究没有得到应有的关注,直到 1999 年赵彦春博士最先尝试提出以关联理论为基础的两种翻译模式——一价译元推理模式和二价译元推理模式。赵博士的翻译模式强调三个层次——语义层、语用-语义层和语用层的对应(1999:286~287)。不同于赵博士,李寅和罗选民认为译者既要尽量保证层次的对应,也要考虑原文读者和译文读者在推理过程中达到的关联大小的对应(2004:40~42)。王斌和张春柏两位学者也肯定了关联理论对翻译的解释力。王斌指出关联理论对翻译的解释力体现在可译性、信度和效度以及重译几个方面(2000:13~15),而张春柏则认为关联理论关于直接引语和间接引语的论述与直接翻译和间接翻译相对应,该理论适用于包括文学翻译在内的所有跨文化语言交际(2003:15~17)。

Sperber 和 Wilson 的关联理论使翻译研究的重点转向了说话者意义的动态分析,但是笔者注意到,以上研究均是对译文与原文的对应、翻译策略等问题的探讨,对于译者的主体作用如何受制于关联,在翻译过程中,译者如何使关联性为自己发挥主体作用服务,没有做出足够令人信服的解释。

笔者认为,作为一种跨语言、跨文化的交际活动,翻译涉及两个动态过程——解码推理和编码选择,三个交际主体——原文作



者、译者和译文读者。无论解码推理还是编码选择,都并非只是在语言层面上进行,更重要的是,作为原作者与译文读者交际媒介的译者必须充分考虑作者和读者的认知环境,根据交际的需要,改变和扩大自己的认知环境,使三者共有的认知环境达到最大化,以便更好地实现交际的目的。下面本文结合具体实例,探讨译者在翻译过程中如何在关联理论的指导下,正确进行解码推理和编码选择,恰当地发挥自己的主体作用。

### 三、关联与译者的主体作用

#### 1. 关联理论的重要概念:认知环境、关联性与语境

关联理论认为,每个话语都可以有多种理解,如何确定受话者对话语的理解是否与说话者所要表达的意图相吻合,取决于受话者选择的语境与认知环境之间的关联性。

认知环境是人们所知道的一系列事实或假设构成的集合,是由周围的物质环境和人的认知能力决定的(Sperber & Wilson, 2001:46~64)。

关联性是一种心理特性,是人们在话语理解过程中,在新信息和语境假设之间寻找关联时的认知和推理过程(Sperber & Wilson, 2001:125)。

语境是一种心理构架,是受话者对世界作出的一系列假设(Sperber & Wilson 2001:15)。关联理论的语境在语言交际中动态生成,并随着新信息的出现而变化扩大。

#### 2. 关联指导下的译者主体作用

翻译是跨语言、跨文化的交际活动,既然关联理论是一种语言交际理论,那么同样适用于翻译这样的交际活动。但是在翻译交际中,译者是唯一在场的交际主体,译者的解码推理和编码选择,直接影响原文作者和译文读者两个交际主体之间交际的成败。请看下面的例子:

...They tell us that we are weak, unable to cope with so

formidable an adversary. But when shall we be stronger? ... Sir, we are not weak, if we make a proper use of means which the God of nature hath placed in our power. Three million of people, armed in the holy cause of liberty, and in such a country as that which we possess, are invincible by any force which our enemy can send against us...

中文译文:

(1)……他们说我们太弱小了,无法抵御如此强大的敌人。但是我们何时才能强大起来?……先生们,只要我们能妥善地利用自然之神赋予我们的力量,我们就不弱小。一旦 300 万人民为了神圣的自由事业,在自己的国土上武装起来,那么任何敌人都无法战胜我们……

(2)……他们告诉我们,我们很弱小,无法对付如此强大的敌人,但是,我们什么时候才能强大一些呢?……先生们,假如我们适当地运用造物主赋予我们的力量,我们就不弱小。我们拥有 300 万为争取自由而武装起来的人民,我们拥有这样的国家,这是敌人可能派遣来的任何军队都无法战胜的……

上面的例子节选自 Patrick Henry 在美国独立战争爆发之前,在弗吉尼亚城镇自治议会上发表的演讲。

中文读者通过阅读可以感觉到,第一个译文语言更加流畅、自然,质量明显高于第二个。但是译文语言质量高低不是本论文探讨的主题,在这里,本文要指出的是把“such a country”译为“自己的国土”或“这样的国家”,可以说都只是译出了讲话人的字面信息,而没有译出他的交际信息。

关联理论认为交际是一个明示—推理过程。在这段讲话中,讲话人明示出“such a country we possess”的字面信息。由于词义具有不确定性,听者(读者)对“such a country”可以有不同的理解。“……理解的过程是一个意义的判断和选择的过程”(肖菲菲, 2003:76),因此不同的听者(读者)由于对“such a country”有不同

的理解而对词义的选择当然也就不一样。

在场的听众由于与讲话人所处的物质环境相同，也清楚讲话人是在怎样的情况下发表的此番讲话，他们与讲话人之间有着足够的共有认知环境，使他们能够在认知环境与“such a country we possess”之间建立起最佳关联，从而推导出讲话人想表达的交际信息。然而对一个译者来说，假如他的认知环境中缺少有关当时英国与北美殖民地的关系以及殖民地的概况等知识，那么要确定 Patrick Henry 想通过字面信息“such a country”传递怎样的交际信息，就首先需要译者尽量扩大自己与讲话人的共有认知环境，直至在自己的认知环境与讲话人的字面信息“such a country”之间建立起最佳关联，推导出交际信息。从译文我们可以看出，译者没有根据交际需要，扩大与讲话人的共有认知环境，进而做出正确的推导，选择恰当的词义，而是把“such a country we possess”简单地处理为“自己的国土”和“这样的国家”，造成讲话人与译文读者之间交际不足，译文读者没有办法知道讲话人所要传达的交际信息。

修改过的译文：

……他们说我们太弱小了，无法抵御如此强大的敌人。但是我们何时才能强大起来？……先生们，只要我们能妥善地利用自然之神赋予我们的力量，我们就不弱小。我们的国家地大物博，一旦300万人民为了神圣的自由事业而武装起来，那么任何敌人都无法战胜我们……

同样，在译文产出过程中，译者要充分考虑译文读者的存在。“……翻译有两类反馈，其中的一类是期待性反馈。也就是说源语作者对受者的反应做出期待，由此对译文进行调整，而受者则认为源语作者已经进行了调整，他只需要做出源语作者所期待的反应”（Nida, 2004: 121）。也就是说译者在编码选择的过程中，必须充分考虑译文读者的期待，把自己放置在与译文读者相同的认知环境中进行编码，否则就会造成交际的不足，甚至是交际的失败。请看下面的例句：

世有伯乐,然后有千里马,千里马常有,而伯乐不常有。

英文译文:

Only when the world has Bole, can there be fine steeds. There are always fine steeds that can cover a thousand li a day but the world does not frequently produce a Bole.

伯乐与千里马的故事,大多数的中文读者都不陌生,但是对不了解中国历史文化的英文读者就不同了,他们的认知环境中根本没有“伯乐”的知识。译文的译者把“伯乐”直译过去,后面没有加注,其结果很可能是,译文读者对原文的理解停留在字面信息上,他们不可能推导出原文作者真正的交际信息:“伯乐”与“千里马”的关系。

修改后的译文:

Only when the world has Bole, who knows horses, can there be fine steeds. There are always fine steeds that can cover a thousand li a day but the world does not frequently produce a Bole. (Lv 231)

#### 四、结论

翻译的目的,是用目标语准确地传达出原文作者的交际信息,使译文取得与原文最接近的语用效果。要达到这样的目的,译者首先要在关联理论的指导下,根据交际的需要,改变或扩大与原文作者之间的共有认知环境,对原文的交际信息作出正确的阐释;进入译文产出阶段,译者也需要了解译文读者的认知环境,在进行编码选择时充分考虑到译文读者的认知环境,才能向译文读者传达出原文作者的交际信息。但是翻译是一项非常复杂的言语交际活动,在翻译过程中译者可能遇到的问题具有不可预见性,本文只在关联理论与翻译方面作了一些粗浅的探讨,偏颇或疏漏之处诚盼指正。

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# *Othello*—Tragedy of Humanity and Social Development

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**Abstract** The thesis is an endeavor to probe the cause of Othello's tragedy and to reveal its realistic significance. The tragedy is caused by three important factors: the defects in Othello's personality, the conflict between devil and angel in humanity, and the struggle between new and old culture. In fact, the tragic fate of Othello and Desdemona is the necessary result of the struggle between the new culture and the old culture, and is the necessary, miserable and serious expense that mankind should pay during the process of social development. The sympathy and horror left by this tragedy in our mind warns modern people to keep alert at any moment. We should do our utmost to overcome the weaknesses in ourselves, never allowing the evil part to get the upper hand over the angel part of humanity. Furthermore, we should fight against any evil or reactionary force around us, so that humanity can sublime and civilization can advance.

**Key words** Othello; Defects in Personality; Humanity; Social Development

## 一、Introduction: The Background of the Tragedy

Othello, one of the four famous tragedies by William Shakespeare, was written in 1604 when the English Renaissance flourished. At that time, England was experiencing a transitional period from old culture to new culture, i.e., from medieval time to modern time. With the relative tolerant policy adopted by the monarch headed by Queen Elizabeth and the enclosure movement, a new class called bourgeoisie came into being and enjoyed its initial development, repre-

senting the progressive force in social development. However, the conflict between the newly born class and the feudal class was inherent and unavoidable, so it was doomed that the old class would fight fiercely to destroy the new class and there must be sacrifice with blood for the new force to grow. Meanwhile, this period also witnessed the rising of humanism, which is the essence and ideal of Renaissance. People began to take great interest in the welfare of human beings instead of praising God, because they thought it was against human nature to sacrifice the happiness of this life for an after life. In their mind, man should be given full freedom to enrich their intellectual and emotional life.

As an outstanding humanist, Shakespeare expressed the humane ideas of his age in his plays. His humanism underwent changes in his whole life. In the early stage, he held an optimistic view toward human nature, so he glorified man and praised the nobility of human nature and the power of love. But as time went by, Shakespeare's thoughts and artistic skills became mature and profound. He began to feel depressed at the ugliness and evils of human nature, and he saw the insurmountable gap between his ideal and the reality, so he entered the third period of his writing career, "a period of gloom and depression" (Luo 89), during which he produced a group of splendid tragic works including *Othello*. In his tragedies, he explored the conflict between man and society, between man and man, between the inner world and the exterior world of man. Fortunately, he regained his belief in human nature at the end of his career.

## **二、The Cause of the Tragedy**

Since its birth, *Othello* has attracted universal attention, and many scholars have tried to discover the magical power of this

tragedy. Critics, both western and domestic, have expressed their unique viewpoints about it, affirmative represented by Gilden or negative headed by Ryme, around such aspects as the characters, plot, theme, achievements and so on. (Wells) But in order to reveal the real value of the tragedy to the modern people, experts have focused on the study of the tragic significance by disclosing the cause of the tragedy. Still, different scholars take different standings. For instance, Sun Jiaxiu consents to the theory of hatred and cruelty because of envy (156); while Bian Zhilin agrees to the theory of crime for crime, that is, Iago's evil lacks motive and his basic motive is only his radical feeling that he cannot endure Othello and Desdemona and their development of relationship (179). In general, for the cause of the tragedy, most people accept the ideas of jealousy, credulousness, simplicity and sense of honor. However, the author of this thesis thinks the cause of the tragedy does not only come from the defects in the personality of the hero, but also from the conflict between the evil and angel part of humanity, from the conflict between old and new culture.

### **1.The Defects in the Personality of the Hero**

As the hero of the tragedy, Othello is brave, honest, frank and passionate. Although he is a Moor of different race, he has won respect, social status and most important love from a lady of the upper class in a white world due to his great contributions to the country. But the hero is also a common person, so he has his shortcomings in personality, which lead to the tragic ending to some extent.

Jealousy is the first obvious defect in Othello's personality. When Iago suggested him the possible intimate relationship between his wife and Cassio, he became to envy his assistant General. It was this envy that spoiled Othello's deep trust in his wife gradually; and



it was this envy that made him believe in whatever Iago said and brought him to see, including the handkerchief incident. In fact, the jealousy between male and female has a universal existence, and like average human beings, the hero suffered from it. According to Mark W. Scott, jealousy in Othello's personality mainly accounts for the tragedy of the couple (365).

Othello is credulous and simple-minded. He fell into complete belief in Iago after his only test of Iago's loyalty to him at his marriage. Then, he always tended to take Iago's words as truth without much proof. This credulousness and simplicity may originate from his self-confidence. In front of so many victories and successes, he fully enjoyed respect and self-trust as a man, but this self-confidence developed too much to become arrogance (Liu Zhongyang, 51). He only believed his own eyes, and never listened to others' allegation. Even when poor Desdemona wanted to plead for herself before death, he did not give her any chance. On the contrary, he completely accepted Iago's opinions without doubt, because Iago often pleased him. He did not try his best to investigate and analyze the truth just due to his excessive self-confidence. Just imagine, if Othello kept clear-headed and made full investigation, would this tragedy happen?

Othello cares too much about the sense of honor, which reflects the hypocrisy of the bourgeoisie. By going through a lot of hardships, Othello became a hero of the Venetian society, and his sense of honor was invoked, so he would do everything to protect his honor and dignity. When he made sure his wife had betrayed him, he killed his beloved Desdemona on their marriage bed to defend his honor and "safeguard his social identity as a black hero in a white world" (Shangguan, 181).

That the defects in Othello's personality contribute to the tragic