Relevance and Adjustability:

A Study of Translating Process in Cultural Image Renderings

关联与顺应：
翻译过程研究

李占喜　著

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序

我的博士生毕业、取得学位、走上新的工作岗位以后，在出版自己的博士论文前夕，总要我为他们各自经过多年努力而产出的成果作序。我是非常乐意答应他们的，因为无论对我的学生还是对我自己，那都是一件很有意义的事。李占喜毕业后在华南农业大学外国语学院任教，他的博士论文要出版了，也就找到我，请我为他的这部专著写序，对他的请求我一口应允下来。

占喜是我指导的第一位从事语用翻译跨学科研究的博士。为他的论文写序使我想起他攻读学位的情景：他潜心语用翻译的研究，阅读了大量的相关文献，并曾协助从事语用学及语言哲学的翻译实践。他对自己论文选题的执著虔诚、他那憨实严谨的治学态度、涉猎学术前沿的进取精神、挑灯苦读的韧劲与毅力、为人谦和的处世态度等，给我留下了深刻的印象。

占喜在我的门下专攻语用翻译理论和实践。他用心听课，研修由我开设的语言哲学和语言逻辑学课程，并专攻认知语用学，把与语用学有关的关联论和顺应论认真研读，写了几十万字的读书笔记并发表了学术论文。将自己的论文定位在研究翻译过程，把语言理解过程的关联性和语言产出选择的顺应性巧妙地结合起来，从"关联—顺应研究路向"的语用学视角对翻译过程提出自己的翻译理论体系。这样设计的论文难度颇大，极具挑战性，但很有新意，且具有实践指导意义，得到开题报告指导小组的专家们认可："选题思路新颖，具有前瞻性和开拓性"。

占喜的论文初稿写成后，寄了一份给他当年在河南大学求学时的华籍美裔老师吴雪莉 (Shirley Wood) 教授，请她为论文的语言加以改正和帮助润色。吴教授阅毕初稿，对占喜论文的英语表达能力大加赞许，并对他说，"我作为中国名著《在和平的日子里》(杜鹏程) 和《苦菜花》(冯德英) 的英译者，我的翻译经验从你论文所表达的观点中得到不少的印证。"在论文答辩时，由徐盛桓、罗选民、卢丹怀 (香港)、冯

之林、冉永平等知名学者组成的论文答辩委员会对占喜的论文所作的评价也很正面和肯定。我为我的学生取得的成功表示欣喜。

关于翻译过程的研究，特别是翻译过程中如何处理文化意象问题，一直是翻译实践中的难题。人们只会靠经验来捉摸译文在什么场合下要做到"形似"、而在什么场合下又要做到"神似"，但这只是一些运用翻译技巧的总结，还提不到理论的高度上来。翻译过程是一个动态过程，人们在实践中无法确定一些一成不变的规则。因此，人们很希望有一种能指导翻译过程的理论，以便处理类似文化意象的翻译问题。李占喜在理论演绎和语料分析的基础上指出，翻译过程，特别是文学翻译过程，具有五个特性，即相关性、不确定性、变异性、协商性和顺应性，据此，他提出一个跨文化的、以译者为中心的理论范式来指导如何处理翻译过程的文化缺省问题。在关联论和顺应论的启发下，作者认为，翻译的过程，一方面要求译者在原文认知语境中寻找关联，正确认知和处理与原文作者的交际意图相匹配的最佳关联；另一方面，又要求译者在最佳关联的引导下以确保译文读者认知和谐的方式对其作出动态顺应，从而确保译文读者在译文中正确把握原文作者的意图和满足其审美期待和接受能力，以达到跨文化交际的顺利实现。这就是李占喜提出有关翻译过程的"关联—顺应研究路向"的构想。

在这篇简短的序言里，我不打算介绍这篇博士论文的内容了，留待广大的翻译爱好者和从事翻译研究的青年学者自行阅读、讨论和相互借鉴吧。

衷心祝愿占喜今后在翻译研究和教学中取得更大的进步，为我国译学的发展做出更多的贡献。

何自然

2006 年 9 月于广州白云山

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The preparation and completion of this dissertation has taken four years of my brains-cudgeling effort. This Ph. D. programme has benefited a great deal from the valuable suggestions and insightful comments from a number of scholars. Thus, as the final draft of this dissertation makes its appearance, the author feels it necessary and fitting to acknowledge all those who have contributed during this endeavor.

I owe the largest debt of gratitude to my supervisor, Prof. He Ziran, for his great patience in spending his precious time reading and correcting my thesis. I wonder whether the most beautiful words in this world can express my sincere gratitude to him for his persistent encouragement, earnest exhortations, constructive criticisms, and thought-provoking suggestions. His open-mindedness, generosity, and gentle considerateness have given me a powerful impetus to engage myself in academic researches. His lectures on Relevance Theory in Henan University in 1998 sparkled off the inspirations in designing my MA thesis on translation studies. From then on, Professor He's intelligent and farsighted viewpoints have been shining like a lighthouse on my long zigzag path ahead to pragmatics-based translation studies. The courses he has offered (including General Pragmatics, Cognitive Pragmatics, Logic in Linguistics and the Philosophy of Language) and the academic experiences he has imparted will benefit me for the rest of my life. I would also like to thank his whole family, especially Mrs. He, for their kindness and hospitality, which make these four years of my university life enjoyable and relaxing.

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Finally, my sincere thanks go to my family members. My dissertation would never have been completed without the unfailing understanding and support from my parents. Wang Honglu, my wife, is always there, supporting me to pursue my career. She manages on her own to provide for the whole family through her surprising hard work. Li Yinan, my lovely daughter, has been tolerating my long enduring absence from home. Her sweet and tender voice has been echoing around my ears, "Daddy, will you please stay with me? Do you know how much I miss you?!..." Her excellent performance at school has always been an encouragement and a challenge to me. Many of their other sacrifices are worth more than merely an academic degree.

LI Zhanxi

Abstract

The present research is a pragmatic exploration of the translating process in cultural image renderings from the perspective of Relevance-Adjustability Theoretic Approach (RATA in short). This approach is tentatively cultivated by the author on the basis of Sperber's and Wilson's Relevance Theory and Verschueren's Adaptation Theory to investigate the workings of the translator's mind. It intends to give an account of how the information-processing faculties of the translator's mind enable him to carry on cross-cultural communication with the original author and his target audience. The domain of this research is the translator's mental faculties and it is the aim of this study to explore the possibilities in terms of the translator's communicative competence assumed to be part of human minds. The primary purpose of this study is to use my tentative RATA to account for aspects of the translating process.

RATA is a new cross-cultural and translator-centered theoretical paradigm. In this paradigm, translating is both a relevance-seeking, ostensive-inferential process and a dynamically-adjusting process. The translator searches for relevance in the source cognitive environment and makes dynamic adjustment in the target cognitive environment. In the translating process, the translator stands at the center of cross-cultural communication between the original author and the target audience. He communicates with the audience by ensuring their cognitive consonance after processing correctly the author's communicative intention. He mobilizes his cognitive resources available and develops his subjectivity to search for the optimal relevance in the source cognitive environment and to make linguistic choices in the target cognitive environment in a variable,

mediating and adjustable way. The translator's mental operation is in an indeterminate state before he finds the optimal relevance to the author's communicative intention and makes appropriate linguistic choices to convey the latter's intentions. His cognitive resources will be optimally allocated when he finds the optimal relevance and his linguistic choices successfully satisfy the audience's aesthetic expectations and acceptability level.

For the convenience of expression, I intend to divide the whole translating process into Discourse-Interpreting Communicative Process (DICP) and Discourse-Producing Communicative Process (DPCP). But it needs to be pointed out that in the actual course of translation the two sub-processes are constantly intersecting; in other words, the translator's interpreting and producing seem to go hand in hand constantly.

In DICP, a cross-cultural mental dialogue between the translator and the original author or utterances is a relevance-seeking, ostensive-inferential process. This process is carried on according to the source lexical information, logical information, and encyclopedic information as well as the translator's aesthetic qualities. Working his way through the source utterances to search for relevance, the translator constructs their contextual assumptions in his mind and understands what contextual effects are intended in the context, thus forming a comprehensive hypothesis of the author's intended intentions. In this process, he makes every effort to process correctly the optimal relevance to the author's communicative intention.

DPCP is a dynamically-adjusting process from the translator to his intended receptor audience. His use of target language to convey the author's intentions is a continuous choice-making process characterized by variableness, mediation and adjustability. Guided by this optimal relevance, the translator consciously makes linguistic choices at the different levels of the target utterance-building in-

gredients to convey the author's intentions or to manipulate the latter's informative intention by ensuring the cognitive consonance of the receptor audience. Meanwhile, the translator adjusts his choices to the audience, motivated by his different psychological aspects. In other words, he has to take into consideration the social-cultural context, the linguistic context, his intentions as well as the aesthetic expectations and acceptability level of his audience.

My tentative proposal of the Target Audience-Centered Principle of Cognitive Consonance is made by borrowing social psychological theories such as Heider's Cognitive Consistency Approach, Festinger's Cognitive Dissonance Theory, and Kelly's Motivational Approach. This principle intends to explore the translator's psychological motivations hidden behind his linguistic choices. In the translating process, the translator's attitudes should be that conveying as far as possible the author's intentions as well as his manipulation of the latter's informative intention must be predicated on the ensuring of the cognitive consonance of the receptor audience. That is, his target utterances are expected to produce cognitive consistency in the audience when they process and appreciate the author's informative intention and communicative intention as active receivers of those utterances. The translator's linguistic choices and pragmatic translation strategies must focus on conveying the author's intentions without putting the audience to unnecessary processing efforts in achieving the contextual effects in the interpretation intended by the author. The choices and strategies should also achieve the similar contextual effects in the interpretation of the author's informative intention manipulatively reconstructed by the translator to cater to the aesthetic expectations and acceptability level of the audience. Put simply, the translator's linguistic choices should not make the audience feel pressed psychologically or mentally uncomfortable when they interpret and appreciate the author's intentions

during their communication with the translator by reading his target utterances.

Within the framework of RATA, Bell's and Gutt's viewpoints on the dynamics of the translating process are enriched and tentatively complemented in four aspects. First, they failed to state specific procedures in the translating process. Second, they did not go deep into the psychological motivations behind the translator's linguistic choices. Third, they did not examine how the translator deals with cultural defaults, let alone how he manipulates the original utterances to cater to the political, ideological, and aesthetic aspects prevalent in the target cognitive environment. Fourth, Gutt did not point out the relationship between the two principles of relevance and primary or secondary communication situation in translation.

Based on our theoretical deduction and data analysis, the main features of the literary translating process: relevancy, indeterminateness, variableness, mediation and adjustability are tentatively generalized and the interrelationship between them is expounded in detail.

Key Words: translating process; relevance-adjustability; cognitive consonance; ostensive-inferential process; dynamically-adjusting process; discourse-interpreting communicative process ; discourse-producing communicative process; cultural image renderings

摘　要

　　本文以文化意象的翻译为个案，从"关联—顺应研究路向"的语用学视角对翻译过程进行了研究。该研究视角是，本文作者在Sperber和Wilson的关联理论以及Verschueren的顺应论的基础上尝试性构建出的一个理论体系，其旨在研究翻译过程中译者大脑思维运作的动态过程。本文描述了译者的大脑信息处理机制如何促使他与原文作者和译文读者进行跨文化交际。本研究的范围涉及译者的思维能力，研究的目标在于揭示译者交际能力的潜在可能性。其主要目的是用我们构建的理论体系来阐释翻译过程。

　　"关联—顺应研究路向"是一个跨文化的、以译者为中心的理论范式。在该理论框架中，我们认为，翻译既是一个寻找关联的明示推理过程，又是一个动态的顺应过程。即，译者在原文认知语境中寻找关联，在译文认知语境中作出动态顺应。在翻译过程中，译者站在原文作者和译文读者之间与其进行跨文化交际。在正确认知处理原文作者的交际意图之后，译者是以确保译文读者认知和谐的方式与他们进行交际的。译者调动其现有的认知资源并发挥其主体意识在原文认知语境中寻找最佳关联，以及在译语认知语境中以变异、协商、顺应的方式进行语言选择。在找到与原文作者交际意图相匹配的最佳关联之前，以及在作出合适的语言选择传达其信息意图和交际意图之前，译者的思维运作处于不确定的状态。译者找到最佳关联，以及他的语言选择满足了译文读者的审美期待和接受能力，这时译者的认知资源才会得到最佳配置。

　　为了叙述上的便利，本文作者把整个翻译过程分为语篇释意的交际过程和语篇产出的交际过程两部分。不过，需要指出的是，在实际的翻译过程中，这两个交际过程往往是相互交错进行的。换言之，译者的释意过程和产出过程常常难以清晰地予以界定。

　　在语篇释意的交际过程中，译者与原文作者或原文话语进行的跨文化对话是一个寻找关、联明示推理的交际过程。该过程是根据原文

中的词汇信息、逻辑信息，以及百科信息和译者的审美素质来完成的。译者在原文话语中寻找关联，在大脑中构建语境假设并体味出相应的语境效果，从而充分理解原文作者试图传达的信息意图和交际意图。在这一释意的过程中，译者会努力正确认知处理与原文作者交际意图相匹配的最佳关联。

语篇产出的交际过程是一个译者动态顺应译文读者的交际过程。译者使用译文语言传达原文作者的意图是一个不断进行语言选择的过程。该选择过程具有变异性、协商性和顺应性的特点。译者在语篇释意交际过程中得到的最佳关联的引导下，有意识地从译文话语构建成分的不同层面进行语言选择，在确保译文读者认知和谐的前提下，来传达原文作者的信息意图和交际意图、或者对其信息意图进行操纵。同时，译者会从不同的心理角度顺应译文读者，换言之，在顺应的过程中，他会考虑译文认知语境中的社会、文化语境，语言语境；他的心理动机；以及译文读者的审美期待和接受能力等等。

在本研究中，本文作者借鉴社会心理学理论，诸如，Heider 的认知一致性理论，Festinger 的认知不和谐理论，Kelly 的动机理论等，尝试性地提出"译文读者为中心的认知和谐原则"。其旨在揭示译者语言选择背后的心理动机。我们认为，翻译过程中译者的态度应该是，尽可能传达原文作者的信息意图和交际意图，以及对作者信息意图的操纵都必须以确保译文读者的认知和谐为前提。也就是说，当译文读者作为译文话语的能动接受者在理解和欣赏原文作者的意图时，这些话语能够在其大脑中产生认知上的一致性。因而，译者的译文选择和语用翻译策略必须聚焦于传达原文作者的意图，以及对原文作者信息意图进行操纵，而不会让译文读者付出不必要的推导努力来获得：1)原文作者试图传达的语境效果；2)译者为了迎合译文读者的审美期待和接受能力而对原文作者信息意图进行操纵性重构而传达的语境效果。简言之，译者的译文选择不应该让译文读者在阅读译文话语与译者进行交际时，在理解和欣赏原文作者的意图方面在心理上产生压力。

在"关联—顺应研究路向"的理论框架内，Bell 和 Gutt 的有关翻译过程动态性的观点，在四个方面得到丰富和补充。其一，他们没有明确翻译过程中的具体步骤。其二，他们没有深入研究译者语言选

择背后的心理动机。其三，他们没有研究翻译过程中的文化缺损现象，更不用说研究译者如何对原文话语中的政治因素、意识形态、审美观念等方面进行操纵，以便迎合译文认知语境的相关方面。其四，Gutt没有指出最大关联原则和最佳关联原则与翻译中的主要交际情景以及次要交际情景之间的关系。

　　在理论演绎和语料分析的基础上，本文尝试性地概括出文学翻译过程的五个主要特点：相关性、不确定性、变异性、协商性以及顺应性，并详细阐述了它们之间的相互关系。

关键词:　翻译过程；　关联—顺应；认知和谐；明示推理过程；动态顺应过程；　语篇释意交际过程；语篇产出交际过程；文化意象处理

Transcription Conventions

Symbols Used in the Thesis

AT: Adaptation Theory

RT: Relevance Theory

DICP: Discourse-Interpreting Communicative Process

DPCP: Discourse-Producing Communicative Process

RATA: Relevance-Adjustability Theoretic Approach

Exp: Example

The target audience ⎫

The receptor audience ⎬ the readers of the target utterances

The target readers ⎭

Contents