肖家燕 著

红楼梦

概念隐喻的英译研究

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序

　　对中国古典小说《红楼梦》的翻译研究已有一些，但从认知语言学隐喻方面来探讨译本的差额翻译的作品可能不多，而大多数认知语言学的翻译研究，也没有把隐喻作为一个重要视点，有关的隐喻翻译的论述还欠缺系统性且不够深入，因此肖家燕的这部博士论文就起到了补缺的作用。

　　本书从隐喻观出发，认为隐喻是《红楼梦》作品独特的创作思维表现，如果在《红楼梦》的英译研究中对隐喻的认识不足，就可能导致翻译过程中对作者的创作意图的误解。基于这一构想，本书从这部批判现实主义与浪漫主义相结合的作品中，归纳出诗歌隐喻、"红色"隐喻、人名隐喻、"冷笑"隐喻、"水"等触发的爱情隐喻、"上－下"空间隐喻，并对 Hawkes 译本为主的英译文实例进行定性与定量分析，有针对性地对 Hawkes 译本与杨戴译本两个英文全译本进行对比分析和描述，从而总结出了《红楼梦》隐喻英译的若干基本策略。本书从语言的认知观、体验性等角度来解释隐喻翻译策略的内在动因，甄别其中的语境要素，评析翻译结果的优劣，论证隐喻翻译的体验性和差额性特性，从而为隐喻的翻译与研究，提供一条较为适宜和可行的参考路径。

　　翻译一般被看成是把一种语言文字的意义用另一种语言文字表达出来的过程。由于语际存在概念结构的差异，这种定义

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比较模糊，对隐喻翻译来说有时更显得捉襟见肘。隐喻意义由语言和文化两方面构成，对其较为充分论述，应该包括语义、情感、言语行为、语境、文化等诸多方面，由此隐喻的意义是不确定的，译者对隐喻意义的判断，其实是一个主观的动态过程，译者的理解与作品现实之间存在一定的差距，读者与译者之间的心理距离、知识和经验的差异等等，都使得隐喻在语码转换的过程中造成信息损耗，且在所难免。

翻译的"功能对等"观也为隐喻的差额翻译提供了解释。"功能对等"是以"比较"为前提的，源语文本接收者理解和欣赏源文本的方式，与目的语文本的接收者理解和欣赏译文的方式相异。翻译活动中的语码转换，就是对心智的解读和再编码。

比如"红色"隐喻建立在汉语色彩的文化内涵基础上，具有特定的文化语境触动背景，它是作者借以实现一定文学意图的有效手段。这些内在的、深层次的因素，决定了"红色"的翻译策略。由于文化取向是直译或意译的主要依据，就"红色"隐喻的翻译而言，"红色"词语的替换，也应以特定的文学语境为权重。鉴于"红色"是《红楼梦》的灵魂，当它被转换为其他色彩时，就要做出相应的调整。本书认为，文化语境是导致"红色"隐喻翻译差额的主要因素之一。

从认知语义学的角度考虑，汉语的"红"和英语的"red"也存在光谱切分上的差异，根据 Rosch 的研究，英语中心色区被切分成十一个中心色单位，用十一个中心色词语表达，而汉语中心色分割取七分制，如果对红色的概念进行英汉对译，其实是在十一分之一和七分之一之间变换，"同一块蛋糕"的不同切分，当然使得等值翻译成为不可能。

本书的另一个阐述点是探讨上下文语境对"冷笑"隐喻翻译所造成的影响，认为 Hawkes 译文和杨戴译文在"冷笑"

隐喻的翻译中都分别采取了"上下文"补偿策略，这些补偿策略反映了文学作品中隐喻的翻译规律。当然，隐喻翻译的差额观以"信、达、雅"为操作前提，"信"是"达、雅"的基础。钱钟书在《管锥篇》中指出，译事之信，当包达、雅；达正以尽信，而雅非为饰达。考虑这三者之间的性价比，隐喻只是在一定程度上可以实现语码转换。文化与语言的差异，必然造成信息损耗。至于哪些信息流失以及为什么流失，涉及许多复杂的因素。比如从词汇学角度考虑，汉语是组构化语言，可通过各种修饰词与"笑"组合成复合词，形成概念网络上位于认知基本范畴"笑"或"中间范畴"（basic category）之下的下义范畴"冷笑"、"奸笑"、"傻笑"等。而英语是"词汇化"（lexicalize）语言，中间范畴 smile（无声）或 laugh（有声）的下义范畴，通过在拼写和发音上风马牛不相及的词汇形式来表达，这是否也会影响翻译等值呢？

本书开了个好头，初步涉及了若干关键概念，其他许多相关问题还有待今后深入系统地进一步研究。

是为序。

熊学亮

2008 年 6 月 1 日于上海

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序

　　前些日子无意在网上看到一篇题为《读书三层次》的短文，觉得写得很好，言简意赅，后来在《外语与翻译》杂志（2008年第1期）看到该文被第三届"芙蓉杯青年翻译奖"选作汉译英的材料。但遗憾的是两个地方都没有注明短文的作者。该文说道，真正论及读书，一般要经历"乐—苦—乐"这样的"三级"层次。第一层次上的"乐"，通常都有自娱自乐的性质；比如读丑小鸭如何变成美丽的白天鹅，读人类文化的起源和生命科学史，都属于这一层次上的"乐"，它给予读者的是心灵的愉悦和充实。读书的第二层次，又读又用，上下求索，冥思苦想：要从人类丰富的文明积淀中悟出某些大道理或总结出规律性的东西，要想在学术和事业上有所提高、有所发现、有所开拓，就会常常觉得心余力绌、力不从心，就会感到"书到用时方恨少、事非经过不知难"。到了第三层次，第二层次之"苦"就会转化为更高境界的"乐"，乐在其中，进入一种常人得不到的极乐化境，体验难以言喻的快感。

　　这三级层次的读书，从"乐"开始，中间充满了很多艰辛、困惑和痛苦，又以"乐"告终；苦尽甘来，这就是读书人为什么会那么想读书、爱读书、好读书和会读书。对于这样的读书人来说，读书不但"有用"（因为"书中自有黄金屋"、"书中自有颜如玉"），而且"有味"（从"看热闹"到"看门道"）

和"有趣"（从"被书所读"、"读书是书"到"读书不是书"）。

正如《读书三层次》的作者所认为的，真正能进入读书第三层次的"化境"的学人并不是很多，而且充其量也就处在一点五级的读书境界。这就是说，他还徘徊于"自娱自乐"层次与"上下求索"层次之间。作者还说，像他这一代年龄在"知命"上下的人，大多数是"旧学"的根底远不如前辈深厚，"新学"知识又为后者立马可追，这样就会使人有忧患意识，没有安全感，甚至惴惴不安。因此，只好珍惜光阴、认真读书、刻苦钻研、甘于寂寞，洗刷和更新灵魂，在"苦"中寻求"乐"。作者的这番自白，我也有同感。

我与书本结伴多年，也是刚过"知命"的人，书是读了一些，但估计与"读书三层次"的作者一样，大概也是处在一点五级左右的读书境界。又因为自己是"教书匠"，所以既读大师的杰作，也读学生的习作。从大师的著作中获得灵感，也从学生的练笔中找到乐趣。正因为如此，我为自己当年稀里糊涂选择教书这个职业而庆幸。说了这些关于读书的感悟，是为我下面的话找个起点、切入点。

前些天接到肖家燕博士发来的电子邮件，问我能否为她由博士论文改编、修订的专著《〈红楼梦〉概念隐喻的英译研究》写个序。我认识肖家燕多年，她 2002—2003 年在中山大学做访问学者一年，我们在学术上有过多次的交流和切磋。后来我也知道她到浙江大学师从黄华新教授攻读博士学位。对于她的"《红楼梦》概念隐喻的英译研究"研究过程，我也是比较熟悉的。记得 2005 年底在海口召开的第二届中国英语研究专家论坛期间，肖家燕把她写的关于"《红楼梦》概念隐喻的英译研究"的论文的一部分给我看，2006 年 5 月底在杭州召开的中国话语研究研讨会期间，肖家燕把她新写的这方面的论

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文给我看。这两次都是因为时间紧促等原因，未能细看细读，更谈不上认真研究了，因此当然就不可能提出建设性的意见。2007 年 5 月，我作为肖家燕博士学位论文的评审人，有机会全面、认真地阅读她的题为《〈红楼梦〉概念隐喻的英译研究》的博士论文。其间，我一方面为肖家燕所做出的研究感到高兴，另一方面也从她的研究中学到很多东西。

该论文以名著《红楼梦》的英译文作为研究语料，从概念隐喻的角度进行深入、细致、全面的研究。论文从概念隐喻、概念隐喻视角下的隐喻翻译研究开始，分别重点研究"红色"隐喻的英译、人名隐喻的英译以及"冷笑"隐喻的英译、"水"、"月"、"窗"爱情隐喻的英译和"上－下"空间隐喻的英译，最后以诗歌隐喻的英译研究结束。尤其值得一提的是，论文对 David Hawkes & John Minford 的《红楼梦》英译本与杨宪益和戴乃迭的《红楼梦》英译本进行对比分析和描述，从词语、结构、语言表达等多方面探讨隐喻的英译方面的诸多问题，给读者以启发，把"乐"带给自己和别人。作者从不同的角度阐述《红楼梦》的英译文中隐喻与翻译问题，有条有理、深入浅出，读来颇有意味。

从文献上看，研究《红楼梦》的英译文的学位论文、专著和论文已经不少，但从认知语言学隐喻的角度研究译本的差额翻译还不多见。因此，我们要祝贺肖家燕选择了这样一个好的研究课题来做博士论文。这个选题不但理论指导有新意，而且所研究的语料也是人们百读不厌的名著，所以这样的研究注定是要成功的。

我想，肖家燕在做"《红楼梦》概念隐喻的英译研究"的论文期间，应该也经历了少数人读书所遇到的"乐—苦—乐"三级层次。第一层次上的"乐"是因为有了一个新的研究视角和耐读的语料，研究者可以从中获得读书的乐趣、心灵的愉

悦和做研究的冲动；同时，做研究当然要苦思冥想、绞尽脑汁、寻找研究的切入点，要从"山重水复"中寻求"柳暗花明"，要能够进入"采菊东篱下，悠然见南山"的境界，要从对语料的直接感受上升到理性思考，这就是做学问的"苦"。走过了"乐"和"苦"后，应该就是到了第三层次"乐"：把第二层次的"苦"又转化为更高境界的"乐"，自我欣赏、自我陶醉、无忧无虑、潇洒自然，进入一种极乐的画境。我想，肖家燕在攻读博士学位和撰写博士论文期间无论是读书还是做研究，应该是经历了"乐—苦—乐"这三级层次；如果是这样的话，那她就是个胸怀大志的人、幸福快活的人。

在写这个序之前，我再次拿起肖家燕博士的学位论文翻阅，寻找合适的话题，并试图能够从第二级层次上升到第三层次。之所以无法容易达到读书的第三层次，是因为自己对"隐喻"这个课题不够熟悉，因此在这个领域还不能够任意驰骋、自如翱翔。但是，我想如果我能够静下心来读书和思考，能够进入"孤舟蓑笠翁，独钓寒江雪"的境界，守住心灵的宁静，把别人喝咖啡的时间用来读书，那最终应该还是有可能达到更高层次的"乐"，进入极乐的世界。

肖家燕博士的《〈红楼梦〉概念隐喻的英译研究》有很多值得我们认真研读的地方，我虽然还没有时间和机会去一行一行地读、细细品味，但已经觉得开卷有益，收获良多。我希望肖家燕博士还会在这方面继续耕耘，写出更多、更好的作品来；也希望我们每个人无论是读书还是做研究，都能体验"乐—苦—乐"这三个层次。

是为序。

黄国文

2008 年 5 月 31 日于广州番禺

Abstract

Since the 1970s research on metaphor has been increasingly framed by the perspectives of cognitive linguistics rather than traditional rhetoric. This reflects a major shift in the emphasis on how metaphor can best be accounted for and understood. In consequence, the new discipline of Metaphorology has emerged, carrying with it significant implications for the translation studies of metaphors that are rooted in empirical approaches to their aetiology, use, function and meaning.

In the rhetorical tradition, metaphors has been seen first and foremost as linguistic expressions in translation studies. It is the specific linguistic characteristics that are the focus of discussion rather than the motivations behind a particular translation strategy; matters about the contextual restraints and affordances and their synergy with a particular translation strategy-equivalent translation or undertranslation-were left largely ignored.

With the cognitive turn in metaphor studies, the natural relationship between conceptual metaphor and metaphorical expressions can be approached from a cognitive linguistics perspective which is arguably a more illuminating approach and which suggests a new way of looking at the translation of metaphors. The linguistic shift in

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translating metaphors is actually involved deeply with the cultural communication between the source language and the target language, and the translation would result as a kind of compulsory production of certain contexts, the translator's own general knowledge, and cultural and emotional experiences concerned, as well as the motivation of metaphors in the literary works. We can thus make reasonable explanations to the basic questions in the translation of metaphors convincingly, and then evaluate the translation of metaphor reasonably.

With such a theoretical background, this thesis aims to apply the theory of Conceptual Metaphor to the exemplified research on the English translations of six important metaphorical systems (based on the former 80 chapters) in the novel HONG LOU MENG (i. e. , *A Dream of Red Mansions or The Story of the Stone*, in English translations). Its purpose is to explore the bases on which metaphors can be translated, and research questions include: (a) What are the constraints on the choice of strategies? (b) What are the basic contextual factors in the translation? (c) What is the reasonable evaluating criterion? The research methodology is both qualitative and quantitative analyses of two English translations (by D. Hawkes and Yang and Yang respectively) of the specific metaphorical expressions in the form of both words/phrases and sentences.

This thesis is made up of seven chapters. Chapter One is the introduction to the thesis. Firstly, it offers a brief survey of the research achievements and problems in the field of English translation studies of the novel and a comprehensive summary of how the cognitive turn in metaphor studies came about and the extent to which it

has impacted on the translation study of metaphor. Secondly, the basic concepts (including the mapping structure and metaphorical systems concerned with conceptual metaphor) are introduced to explain the six metaphorical systems of the novel. And here an argument on the interrelationship between daily conceptual metaphors and metaphors in literary works is made. Thirdly, three main issues in the translation study of metaphors are presented (i. e. the embodiment base, the role of the contexts in the translation, and the notion of undertranslation). This is followed by an explanation of Embodiment in terms of culture and cognition, introduction to cultural context, literary context and contextual context, and general strategies (including literal/liberal translation, domesticating/foreignizing method, and transplanting). Finally, the notion of undertranslation of metaphors is illustrated, and a working evaluating model is then established.

Chapter Two proposes that cultural and cognitive divergences have predominantly influenced the translation of five RED metaphors, and that the cultural context has restricted the choice of Domesticating in the case of the translation by Hawkes, which has caused undertranslation of RED metaphors as a result. Chapter Three seeks to shed light on the general cultural context and the special literary context in the translation of NAME-metaphor by undertaking an empirical study of the translation of names by Hawkes, and to show how NAME metaphor are dependent on certain works in which it has been produced, and this helps to conclude that it is the literary context that is interfering with the comprehension and expression of NAME metaphor. The detailed analysis of the translation of the servants' names, partial tone names and the special names

(Meisi) of some main characters suggests that liberal translation is more effective in conveying the NAME metaphor. The Plot compensation procedure in dealing with the special names is rather successful in decreasing undertranslation, and at the same time the compensation by notes as to the translation of ZIJUAN and HUOQI is suggested to cope with the clash between cultural context and literary context. Chapter Four posits the differences in situational experiences between Hawkes and Yang and Yang, both of whom have placed obvious impacts on the transplanting of LENGXIAO metaphor. The contextual context which restricts the choice of liberal translation in the translation both by Hawkes and Yang and Yang is also illustrated. This chapter has also outlined a kind of Situational compensation procedure from the translation practices, and 12 kinds of extended meaning of LENGXIAO have been summarized. Chapter Five argues that the cultural and emotional experiences of the translators have crucially manipulated the transplanting of LOVE metaphor images, such as WATER, MOON and WINDOW; both the cultural context and the literary context have mediated the choice of strategies. In this chapter the detailed discussion shows that the transplanting of images of LOVE metaphors depends greatly on both cultural and literary context, and that the undertranslation of LOVE metaphor depends on the frequency of transference of the images. Chapter Six suggests that divergent cultural and cognitive experiences between Chinese SHANG – XIA and English UP – DOWN have interfered with the transplanting of SHANG – XIA spatial metaphor, and that the general correspondence between SHANG – XIA in Chinese and UP – DOWN in English has not led to the successful transplanting of SHANG – XIA to UP – DOWN;

rather the Preferential Conceptualization embedded in the national cultural models has interfered with the strategy-choice and restrained full translation. Chapter Seven argues that a major conceptual metaphor has construed poetry theme, that in consequence the translation of POETIC metaphor is actually a matter of transplanting of the major conceptual metaphor which is made up of IMAGE metaphor and metaphorical structure, since conceptual metaphor is culture-specific, the foreignizing method is superior in terms of transplanting images of the source text, and of conveying cultural and literary information by a comparative study of CELEBRATING THE CHRYSANTHMUMS, WRITING ABOUT CRABS and WON – DONE SONG.

In summary, the present study offers the following observations:

◆ The translation of metaphors is grounded in the embodiment of translators in terms of culture and cognition.

◆ The cultural context is overwhelmingly influential in translation practice, although the literary context (the literary elements, mainly the description of the characters and conveyance of the theme) and contextual context should not be overlooked. Together with Preferential Conception and the general correspondence of metaphorical concepts, these contextual factors mediate the choice of translating strategy and undertranslation.

◆ The translation of metaphor can only achieve undertransla-

tion; therefore it cannot be evaluated by Equivalence. A working evaluation model on the foundation of traditional Chinese evaluation criterion of SI, FUDU and Degree of Membership in fuzzy mathematics is proposed to make rough evaluation of individual cases.

◆ There are two effective compensation procedures: Plot compensation and Situation compensation, which are closely related to the translation of literary metaphors.

The research in this thesis has reinforced the idea that a cognitive linguistics approach to the study of translation of metaphor is more than necessary. The exemplified study has enriched the translation study of the great work, has proved the theory of conceptual metaphor to be applicable and efficient, and it will be promising to stimulate further studies in this field.

Keywords: *A Dream of Red Mansions*, *The Story of the Stone*, Conceptual Metaphor, Translation of Metaphor, Undertranslation, Embodiment, Context, Strategy.

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