

◎ 李养龙 著

翻译过程中的主体间性研究 以罗译《三国演义》为例

On Intersubjectivity
in the Translation Process:
With Particular Reference to Roberts' *Three Kingdoms*

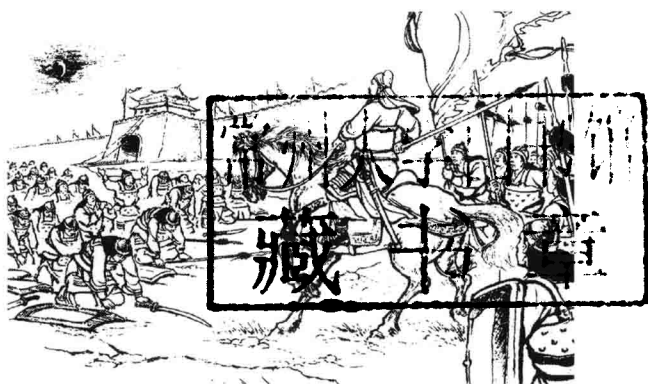


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前言

20 世纪 80 年代翻译研究领域的“文化转向”和“译者转向”使翻译研究开始由语言层面的研究，扩展到文化研究和翻译主体层面的研究。目前，对翻译主体性的研究大多集中于对翻译主体的界定、对译者主体意识和译者主体性向主体间性转向的理论探讨，而集原作及其社会背景、作者、译者、读者等不同主体于同一作品的主体间性实证研究却不多，将译本注释和后记纳入研究对象来探讨翻译主体性的研究则更少见。

译本注释和后记是译者翻译过程中心路历程的记载，是译者对作品内容理解和自身观点态度的直接反映。本书首先论述了解释学、交往行为理论和接受美学的基本观点及其与翻译过程研究的关系，力求客观地确定其对翻译主体间性研究的解释力。接着以理论探讨和实证研究相结合的方式，具体分析了英文译本、译本注释和后记间存在的对话关系，提出了翻译过程中不同主体间的对话是研究主体间性的重要切入点。根据翻译过程的不同阶段和实证研究文本对象的具体特点，设计出了三组不同翻译主体间的对话：译者与原作及其故事背景间的对话，译者与原作者和原作注释者间的对话，译者与目标读者间的对话，并探讨了在不同主体间的对话中，各对话的发问方式、内容和目的特点。

本书是作者在博士论文的基础上修改完成的。如果本书对翻译过程中的主体间性研究有一些实际意义或价值的话，与封宗信教授的悉心指导是难以分开的。导师渊博的学识、悉心的指导和严谨的治学态度使我受益匪浅，对导师的感激之情难以言表。同时感谢清华大学的刘世生教授、罗选民教授、崔刚教授、陈永国教授，北京大学的黄必康教授，北京师范大学的田贵森教授和北京外国语大学的韩宝成教授。他们的热情鼓励和诚恳的意见和建议对我的研究具有很大的启迪作用。

我的朋友在论文写作期间给予了我莫大的鼓励和真诚的建议，或通过邮件和电话的交谈，或小聚间的交流关心，使我在漫长艰辛的写作过程舒缓了许多。家人对我的支持和理解一直是我的精神支柱，他们对我

应承担的家庭责任的分担使我有更多的时间和精力致力于研究以及论文的写作。在此，对于朋友和家人的无私帮助表示衷心谢意。

是外研社对学术专著出版的热衷和编辑们的辛勤劳动才使本书得以面世，在此谨向他们表示最真挚的敬意和感谢。

在研究中，作者参考和引用的许多专家学者的研究成果已在参考文献中一一列出，在此特向他们表示谢意。由于本人学识有限，书中的不当之处敬请学界同仁和读者批评指正。

作 者

2013 年 1 月

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Chapter One

Introduction

The discipline of translation studies has been conceived of as a branch of linguistics primarily from the viewpoint of the language transference between source and target texts. In recent years, however, the traditional author-oriented or work-oriented approach has been challenged for the impossibility of achieving total faithfulness or pure originality (Venuti, 1995; Lefevere, 1992b; Bassnett and Lefevere, 2001; Nord, 2001; Toury, 2001; etc.). Translation has developed as an interdisciplinary study drawing on inspirations and theoretical support from other disciplines such as literary study, psychology, aesthetics, history etc. Furthermore some concepts and methods in relevant disciplines such as socio-semiotics, equivalence theory and hermeneutics have been frequently used by modern translation theorists in translation studies (Bassnett, 2000; Snell-Hornby, 1995; Lv Jun and Hou Xiangqun, 2001; Fang Mengzhi, 2002).

The 1980s witnessed the “cultural turn” in translation studies, leading to the shift of the focus of translation studies from the language transference to the target language culture, viewing translation as “rewriting” or “manipulation”. From the perspective of “rewriting”, “manipulation” and “interpretation”, “translation is never transparent” and “translation tells us more of the translator instead of the translated work” (Hermans, 1995: 12-13). Translation is no longer regarded as pure information transference from one language to another. With the shifting trend in contemporary translation studies, the process-oriented study has become a focus, which aims to examine the process of translation within a more comprehensive and dynamic context rather than the mere language

transference with various factors involved in the process taken into consideration. As the most dynamic element in the translating process, the translator's role is much highlighted and re-defined as Lefevere (2006: 6-7) described:

Translators are the artisans of compromise. Paradoxically, this position gives them the kind of power that is wielded most effectively by the ostensibly weak. Since they are at home in two cultures and two literatures, they also have the power to construct the image of one literature for consumption by the readers of another. They share this power with literary historians, anthologizers, and critics. The production of the translation is an activity *sui generis*; the study of translations should be subsumed under the more encompassing heading of rewriting. Translators, critics, historians, and anthologizers all rewrite texts under similar constraints at the same moment. They are image makers, exerting the power of subversion under the guise of objectivity.

Some scholars of translation studies in China have also consecutively published articles voicing their opinions on “the translator’s subjectivity”, such as Yuan Li (1996, 2002), Gao Ning (1997), Fu Jingmin (1997), Shu Qizhi & Yang Hua (1999) and Song Zhiping (2000), just to name a few, focusing on the active role translators play in the translating process, especially their “creativity” in literary translation. Yuan Li claims that the translation studies in recent years have experienced a shift from language to culture then to the humans (Zhang Boran & Xu Jun, 2002: 397-409). In the study of the translator’s subjectivity, some concepts from hermeneutics and reception theory have been frequently adopted and applied by translation theorists.

1.1 Significance of the Research

Early research on the subject in the translation process was confined to research on the translator, which includes the translating products and the

translating experience of the translator. Since the 1980s, with the cultural turn in the field of translation studies, there has been much theoretical discussion on the subjectivity in the translation process, especially on the cultural status of the translator and the subject awareness. The research in these areas has been more and more systematically theoreticalized.

Yang Wuneng (1987), the first researcher in China who defines the subject in translating, points out that the subject in literary translating consists of the writer, the translator and the reader. Obviously, he believes there are three subjects in translating, and expands the scope of research on the subject of translating by adding the writer and the reader to the domain of subjects. Nevertheless, he doesn't explain why the writer and the reader can be defined as part of subjects in translating. In her paper entitled "Thoughts on Studies about the Subjects in Translation", Yuan Li (2002) argues that the translator is the only element which embodies the subjectivity in translation studies. The year 2003 saw a number of researchers making great efforts to further explore this topic from the published articles as "Creative Treason and the Establishment of Translational Subjectivity" by Xu Jun (2003), "'Discovery' and Research of Translation Subjects" by Mu Lei & Shi Yi (2003), "On the Subjectivity of the Translator" by Zha Mingjian & Tian Yu (2003), "Revisiting the Subject of Literary Translation" by Yang Wuneng (2003) and "The Translator's Subjectivity: A Hermeneutic Exposition" by Tu Guoyuan & Zhu Xianlong (2003) and so on. Some key words in these articles such as the establishment of subjectivity and the identification of the subjects in translating signify that systematic research in this area is just starting to thrive. Up to this period, the divergence on the definition of subjects in translating has emerged in the academic field. Xu Jun (2003) puts forward the question clearly about who is the subject of translation and states his own viewpoint, which signifies that there has been distinct development. *Chinese Translators Journal* set up a forum in 2003 on "Studies on the Subjectivity in Translating" and published a series of articles on this topic, which has made "subjectivity" stand out among other fields or topics of translation studies. Most of the above mentioned articles are

included in the series. These articles have triggered systematic and profound theoretical discussions on such topics including who the subject is in the translation process and what embodiment and connotation of subjectivity are, among others.

Nevertheless, the research at this stage is mostly preliminary and there has been no conclusion so far on many issues of subjectivity, especially intersubjectivity. Moverover, the study on the subjectivity in the translation process both at home and abroad has focused on theoretical discussions of the definition, the awareness of the translation subjects, and the shift from subjectivity to intersubjectivity. Also, the researches concerning the translation subjects study have merely centered on the subjectivity of the translator, leaving other elements untouched, such as the subjectivity of the original author and the intended reader. Moreover, very few empirical studies have been carried out on the intersubjectivity of the source text and its historical background, the author, the translator, and the intended reader in one single text. And no such research has ever been conducted on the afterword and the notes written by the translator. Therefore, there is still a research gap on how the relationships between each pair of translation subjects are reflected in the translation process, the intersubjectivity in the translation process. This empirical study on the intersubjectivity in the translation process and the way the intersubjectivity is manifested in the translated text, by means of case studies, would further the academic research concerned in the field.

1.2 Purpose of the Research

The present study is intended to probe into the existing relationship between the subjects involved in the translation process, with the stress on the interaction among the translator and the original text, the social background, the author, and the target reader. Such different relationships are demonstrated in the way of “dialogues” in Gadamer’s (1975) term. In the study, three corresponding dialogues are brought to the fore, i.e. the dialogue between the

translator and the original text and its social context; the dialogue between the translator and the author/editors; and the dialogue between the translator and his target reader.

All of these dialogue relationships are analyzed in order to answer the research questions as follows: (1) In such supposed “dialogues” between the subject pairs existing in the translation process, what are the roles the translator plays in different dialogues? And how and for what purpose is each dialogue conducted? (2) Can the currently borrowed theories, such as communicative theory, hermeneutic theory and reception theory, be used to explain the phenomena of the different dialogues between translation subjects in the translation process? (3) Is it an effective way to study the subjectivity or intersubjectivity in translation studies by examining the afterword or notes of a literary work? The author of this book hopes that the study of the dialogues between translation subjects by means of examining the afterword and notes in this research will offer a reference for future research on the translation subjectivity or intersubjectivity as such or the related research through the translated text itself.

1.3 Object of the Research

In the history of China, the Three Kingdoms (the Kingdom of Wei, the Kingdom of Shu and the Kingdom of Wu) refers to the period from the end of the Eastern Han Dynasty (A.D. 25-A.D. 220) to the beginning of the Western Jin Dynasty (A.D. 265-A.D. 316), which lasts about 50 years. In fact, since Dong Zhuo drove his army into Luoyang in A.D. 189, the emperor of the Eastern Han Dynasty had been threatened and controlled by warlords, thus, the political unity and stability collapsed. The conflicts within the ruling coalition intensified, the separatist forces expanded, and the peasant uprising sprang up (Ma Zhijie, 2006: 1-12). Many regional warlords, such as Yuan Shao, Cao Cao and Sun Quan, took punitive actions against Dong Zhuo’s autocracy in the imperial court. Despite this, these warlords could not make concerted efforts and their conflict of interests was inevitable (*ibid.*). In the end, Cao Cao

defeated Yuan Shao in the Battle of Guandu and occupied the northern area of China in A.D. 200. In the same year Sun Quan, following Sun Ce and Sun Jian, occupied the Eastern Wu, putting Zhang Zhao and Zhou Yu in important positions to go on a punitive expedition to Jiang Xia, which consolidated his rule in the eastern area of the Yangtze River. Liu Bei, with the help of Guan Yunchang, Zhang Fei and Kongming, occupied Yizhou and Hanzhong after winning the Battle of Red Cliffs, and controlled Chengdu.

Hence, the three-kingdom tripartite confrontation was formed, i.e. Wei (by Cao Pi in Luoyang), Shu (by Liu Bei in Chengdu) and Wu (Sun Quan in Jianye) being founded respectively in A.D. 220, A.D. 221 and A.D. 222. Although the period of the Three Kingdoms did not last long in the history of China, the characters and stories have exerted a profound influence upon the novel *Three Kingdoms*.

Some twelve hundred years after the historical events, the novel *Three Kingdoms* was written. The complete printed edition of the novel, authored by Luo Guanzhong, was published in 1522. The novel, covering one hundred and thirteen years from A.D. 168 to A.D. 280, tells of one epoch-marking dynastic cycle: the fall of the Han dynasty, the subsequent division of its empire into three kingdoms—Wei, Wu, and Shu—in A.D. 220, and the reunification of the realm in A.D. 280 under a new ruling house, the Jin. It is regarded that the novel bears the feature of “seven parts fact and three parts fiction”.

There are two different texts of the novel: the 1522 version and the mid-1660s version. The 1522 version fell into oblivion and remained undiscovered until the early twentieth century; a popular edition of it was published in 1975 and again in 1980 by the Classical Texts Publishing House (*Guji chubanshe*) in Shanghai. The mid-1660s version, with Mao Zonggang's commentary, eclipses the earlier version and is exclusively circulated in China for three centuries.

Although there are about thirty English translation extracts of the novel, *Sanguo Yanyi*, but only two complete English translation versions, *Romance of the Three Kingdoms* by C. H. Brewitt-Tayler published by Kelly & Walsh Ltd. in Shanghai in 1925, and *Three Kingdoms: A Historical Novel* (shortened as *Three*

Kingdoms hereafter) by Moss Roberts published by Foreign Languages Press in Beijing and the University of California Press in Berkeley in 1994 (Guo Yu, 2009).

The research object selected is the Afterword and Notes in the English version of *Three Kingdoms* by Moss Roberts, published by Foreign Languages Press and the University of California Press in 1994. The reason for the decision is that Roberts' translation of *Three Kingdoms* has received highly positive comments from the western scholars and the editors because of the rich and detailed items attached to the text proper, including maps, preface, acknowledgements (17 pages), principal characters list (115 characters), titles, terms and offices (75 items), chronology of 52 main events, abbreviations (12 entries), Afterword (79 pages) and Notes (1183 entries, 246 pages in total). Apart from the good reputation of the translated work and the translator's qualifications, the research object is also selected because very few researchers have based their research on the intersubjectivity in the translation process through textual analysis. Furthermore, thanks to the rich and detailed information provided in the form of the afterword and notes, which total 325 pages, the target "text" is finally pinpointed because the Afterword in the English version of *Three Kingdoms* gives an account of how the story came into being, the novel's historical and cultural context, as well as the translator's interpretation and reproduction process. The study of the Afterword and Notes will reveal the interaction between Roberts (the reader/translator) and the original text, Roberts and Luo Guanzhong (the author), as well as Roberts and his target readers, which reflects the existence of a dialogical relationship between the translator as the major subject and other subjects in the translation process, such as the original text, the author, the intended readers, and some other social factors concerned.

1.4 Organization of the Book

This book consists of seven chapters. The first chapter introduces the framework of the study, including the significance, purposes, research object,

the theoretical framework, and the methodology of the research. The second chapter briefly reviews relevant literature to provide a theoretical background for my arguments, i.e. the communicative action theory, hermeneutics theory, reception theory, and the subjectivity system in the translation process, and highlight my own research focus in view of the current work along my line of discussion. The third chapter provides my own analytical framework for description and analysis. Chapters four through six focus on the analyses of the intersubjectivity in the translation process reflected in the Afterword and the Notes written by Roberts. The analysis contains three types of dialogues, namely, the translator's dialogues with the original text and its social context, the translator's dialogues with the author and the editor, and the translator's dialogues with the intended reader. Chapter Seven is the conclusion.

Chapter Two

Literature Review

This chapter introduces three theories and their applications in translation studies, and reviews current researches on the translation subjectivity for the establishment of a theoretical framework for the present study.

2.1 The Communicative Action Theory and the Present Study

Communicative action theory is a concept associated with the German philosopher-sociologist Jürgen Habermas in 1979. Habermas uses this concept to describe cooperative action undertaken by individuals based upon mutual deliberation and argumentation. The communicative action theory put forward by Habermas includes the theory of communication rationality, the theory of the truth consensus, and the theory of the intersubjectivity.

After the communication action theory was introduced to China, Chinese scholars from different fields (Xue Hua, 1988; Xie Tianzhen, 2000; Lv Jun, 2001; Sun Ningning, 2003; Ren Ping, 2003) probed further into the theory. They argued that translation is an action related to the objective, the social and subjective worlds (Lv Jun, 2001: 256) and made researches on the development trends from the perspective of the communicative action theory (Sun Ningning, 2003). It is believed that although translation is undertaken in the world of texts, translators in their translation actions and dialogues are all related to the objective world. Also, translation is not a private action but a social action