认知心理视域下
汉英翻译过程中策略使用研究

刘艳梅　著

认知心理视域下
汉英翻译过程中策略使用研究

刘艳梅 著

总　序

　　《转型时代的中国财经战略论丛》（以下简称《论丛》）是山东财经大学"特色名校工程"建设的特色项目和重要成果，也是经济科学出版社与山东财经大学合作推出的系列学术专著出版计划的一部分，更是山东财经大学近年来致力于学术兴校战略一批青年学者在经济和管理研究方面的部分成果汇报。

　　山东财经大学是一所办学历史悠久、财经特色鲜明、综合实力突出，在国内外有一定影响的普通高等财经院校。学校于2011年由原山东经济学院和原山东财政学院合并组建而成。2012年成功实现财政部、教育部、山东省人民政府三方共建。2013年获得博士学位授予权，并入选山东省"省部共建人才培养特色名校立项建设单位"。山东财经大学还是中俄经济类大学联盟创始高校之一、中国财政发展2011协同创新中心和中国会计改革与发展2011协同创新理事单位。学校的发展为教师从事科学研究创造了良好环境和宽广平台。近年来，学校以建设全国一流财经特色名校为目标，深入实施"特色名校工程"，大力推进改革创新，学校发展平台拓宽，办学层次提高，综合实力增强，社会声誉提升，学校进入了内涵发展的新阶段。为推进"特色名校工程"建设，学校修订了科研成果认定和奖励制度，完善了科研评价与激励机制，同时实行"优秀青年人才特殊支持计划"和"青年教师境外研修计划"等，为青年教师脱颖而出和学术成长提供了政策保障。

　　随着经济全球化、区域一体化、文化多样化深入发展，新一轮科技革命和产业变革蓄势待发，我国经济发展进入新常态，但发展方式粗放、创新能力不强、资源环境约束加大等不平衡、不协调、不可持续问题依然突出，迫切需要更多依靠创新驱动谋求转型发展的出路。为了应

对当今世界的深刻变革，我国启动了"双一流"建设，对财经学科发展提出了严峻挑战，同时又面临难得的机遇。作为以经管学科为主的财经类大学，如何坚持科研服务社会、服务人才培养的方向，主动适应实施创新驱动战略的要求，自觉对接国家和区域重大战略需求，充分发挥在经济和管理研究领域的优势，为国家和区域经济社会发展提供更大智力支持、培养更多高质量人才，一直是财经类大学更好履行使命的重要职责。《论丛》的出版，从某种程度上应和了这种趋势和需求，同时，展现了山东财经大学"特色名校工程"的建设成效和进展，对激励学者潜心研究、促进学术繁荣发展、加强对外学术交流和扩大学校社会影响具有重要推动作用。

作为山东财经大学从事财经教育和人文社科研究的青年学者，都要积极应对和研究时代赋予的重大命题，以求是创新的精神风貌，遵循科研规律，坚持教研相长，长于独立思考，善于团结协作，耐得住寂寞，放得下功利，才能不断推进学术创新，勇攀科学高峰，孕育无愧于时代的精品力作，努力成为社会科学创新的新生力量。

《论丛》的出版凝结了山东财经大学青年学者的心血和汗水，尽管可能存在一些不足，但是正如哲人所言"良好的开端就成功了一半"。相信只要青年学者们持之以恒，不辍耕耘，必能结出更加丰硕的成果。伴随着中国经济发展、改革和转型步伐的加快，我们期待着有更多更好的学术成果问世！真诚欢迎专家、同行和广大读者批评指正。

山东财经大学校长

2016 年 5 月 17 日

Acknowledgements

It has taken five and a half years to design, prepare and finally complete the writing of this book. It would have been difficult to finish without many people's assistance.

In completion of this book, I would like firstly to express my sincerest gratitude to my supervisor, Professor Li Defeng whose forward-looking and global vision provided me with valued guidance, inspiration and support throughout the process of pursuing my Ph. D. degree at Shandong University. His modesty, amiability, rigorousness and extensive research field as well as penetrating insight benefited me not only in writing the book but also in my pursuit of scholarly research.

I am indebted to Professor Sun Yingchun, my master supervisor, who led me into translation research. His encouragement and affirmation to my effort in my study and research during the past years drove me forward. My heartfelt thanks also go to Professor Wang Junju, Professor Liu Zhenqian, Professor Shen Fuying, Professor Wang Xiangyun, Professor Sun Changkun from Shandong University, and Professor Li Dechao from The Hong Kong Polytechnic University. I benefited a lot about academic research from their lessons and lectures. Their valuable instruction and advice are of great help in the course of writing.

My special thanks go to Professor Sun Sanjun from Beijing Foreign Studies University, who provided me some extremely valuable materials about TPR at the very beginning of my research. Moreover, he even kindly shared his reading notes and his paper to be published to answer my questions about

Abstract

From the perspective of cognitive psychology, a translation strategy refers to a potentially conscious procedure for the solution of a problem which an individual is faced with when translating a text segment from one language into another. The empirical research of translation strategy has always been one of the basic elements in translation process research (TPR), which has witnessed great achievements in western world since the 1980s by borrowing thinking-aloud from cognitive psychology. Due to the increasing interest attached to the process-oriented research, the research focus shifts gradually from macroscopic descriptions of translating process to microscopic explorations into variables as translation units, translation briefs, time pressures, revisions, and strategies. The research method has developed from think-aloud-based means to multi-technological means. Recently wide applications of keystroke logging and eye tracking label a great leap forward of process-oriented research in the western translation world. In China, however, the significance of technological-supported observation of translational behavior was not realized by most translation researchers until the end of 20th century. In the following 15 years or so, new-developed theories and research method with reference to western TPR were successively introduced to Chinese researchers and readers. Translation studies (TS) in China began to arouse strong curiosity toward this newly emerging research approach. However, compared with the development of TPR in Western countries, TPR in China is still in its infancy for being lack of research organization on a large scale and of advanced research techniques.

This study, aimed at investigating features of strategy use displayed by

translators at different levels during C – E translation process, endeavors to explore the answers to the following three questions: (1) What are the general features of strategy use when C – E translation is done by groups of translators with different translation proficiency? (2) Are there tendencies and differences of strategy use when C – E translation is done by groups of translators with different translation proficiency, and if so, in which aspects and why? (3) Are these tendencies and differences affected by text types, and if so, in what ways do text types affect strategy use between groups?

A triangulation technique was adopted combining multi-sourced data from concurrent TAPs, Translog files, Camtasia files, questionnaires, interviews and translated texts, of which TAPs combined with questionnaires and interviews served as the bases for descriptions of participants' perceptions and translation processes. In the meanwhile, transcribed TAPs were used as the main source for the analysis of general features, tendencies and discrepancies of strategy use, cross-referenced with other sources of data. In the process of checking the degree of cognitive effort, *pauses* (longer than five seconds) from Translog 2006 were used as the primary data sources, while interviews and concurrent TAPs provided supplementary information to cross check the results.

The participants in this study were divided into three groups (six participants in each group) according to their translation proficiency: the novices (male = 2; female = 4; mean age = 21; range = 20 – 22), the advanced learners (male = 2; female = 4; mean age = 25; range = 24 – 27) and the professional translators (male = 3; female = 3; mean age = 36; range = 31 – 43). The criteria of group classification were as follows: The professional translators must have at least five years of translating experience and over 1000000 words of translation, with more than 70% of their income coming from translation activities. All of them had passed Test for English Majors (TEM) Band 8, with the grade of "good" or better. Each of them had at least 15 hours of translation training per week. The average score of their translation performance in prior training was 83. The advanced learners were MTI students from Shandong University. All of them had passed TEM Band 8

test, with the grade of "pass". Their translation training time span lasted 2 to 5 hours per week for each participant in this group. The average score of their translation performance in prior training was 79.61. The novices were from Shandong University of Finance and Economics in their junior years with different majors but all minored in English. All the novices had passed College English Test (CET) Band 6 but they did not attend TEM Band 8. Their translation training time span was no more than two hours per week for each participant in this group. The average score of their translation performance in prior training was 70.22. All participants are native Chinese speakers.

Translation tasks consisted of an operating instruction (217 characters), a poem (45 characters) and an advertisement (119 characters), representing the informative text, the expressive text and the operative text respectively according to the categorization of text types by Reiss. Participants were required to translate three types of Chinese texts into English without time limit.

The results were analyzed both qualitatively and quantitatively. Firstly, thick descriptions were made in the following aspects in relation to three groups of translators: their backgrounds in translation, beliefs about the nature of translation, perceptions of problem-solving patterns, perceptions of text type awareness, perceptions of translation strategies and strategy use, as well as their translation processes of 18 participants. Secondly, in light of their TAPs and statistical data, cross-group comparisons with regard to translation strategies were represented as follows.

Irrespective of text types, general features of strategies used by translators at different levels involved the following three aspects. (1) Three groups had the same problem solving procedures during C – E translation. (2) Based on problem solving procedures, strategies were categorized into representing strategies, constructing strategies, avoidance strategies, executing strategies, monitoring strategies and evaluating strategies, of which constructing and executing strategies were dominating. (3) According to ways of translators' initial reactions to problems, strategies used by three groups were generalized into analysis pattern, instrumental pattern and intuitional pattern. Strategy

discrepancies used by translators at different levels were mainly manifested as follows. (1) In terms of strategy kinds and frequency, there appeared a general rising-descending tendency, from the least proficient novices to the most proficient professional translators. The novices used less variety of strategies and most of them were local-oriented. Compared with the novices, the professional translators used wider range of strategy kinds but approximate frequency. (2) Non-professional translators (inclusive of the novices and the advanced learners) relied too much on the strategy of dictionary lookup. (3) The consciousness of monitoring target version corresponded to translation proficiency: the higher the translation proficiency, the more monitoring strategies.

With consideration of text types, strategy tendencies and discrepancies employed by translators at different levels were generalized into the following three points. (1) All groups of translators realized the peculiarity of each text. Global strategies (the translator's general principles and preferred modes of action) excluding local strategies (specific activities in relation to the translator's problem-solving and decision-making) used by all the groups were influenced by text types. (2) The poem had the least influence on strategy discrepancies by translators at different levels, followed by the operating instruction. The advertisement had the greatest influence on translators' strategy discrepancies. (3) Checking the average pause duration and the average pause ratio found that the poem cost all groups the most efforts and the operating instruction, the least. It was presumed that the discrepancies of translators' strategy use were affected by text types. Over-challenging or under-challenging texts had less influence on strategy differences.

Based on the results regarding three groups' translation processes and features of strategy use in three types of texts, this study made attempts to interpret and discuss the main findings and compared them with those of previous studies by referring to problem space theory in cognitive psychology. The aspects involved the structures and stages of problem solving in translation processes, tendencies and discrepancies in strategy use, tendencies and discrepancies in translation strategy use due to text types, as well as

discrepancies of translators' cognitive effort due to text types.

This study concluded that these findings would provide pedagogical implications for translation training. Tentative suggestions for teachers covered constructing process-oriented translation teaching mode, cultivating students' global view of translating, training students for specialized text materials, and controlling students' overuse of dictionaries. Limitations of this study and recommendations for future studies were finally presented.

The main contributions of this study are stated as follows: (1) It has been found that the influences of translation proficiency on translators' mental processes and strategy use follow some patterns, which can be acquired through translation training; (2) The degree of aforementioned influences caused by translation proficiency varies with text types; (3) This is one of the empirical studies investigating tendencies and differences of C − E translation strategies, which enriches international TPR. Though far from perfect, this study provides reference and guidance for improving C − E translation training.

5

摘　要

在认知心理视域下，翻译策略一般是指译者在语言转换过程中对所遇到的问题潜意识解决过程。翻译过程研究借助认知心理学中的有声思维法，在20世纪80年代取得较大成果。翻译策略实证研究一直以来都是翻译过程研究的基本内容之一。近些年，基于过程的翻译研究越来越受到关注。研究重心逐渐从宏观的过程描述转到微观的具体变量，比如翻译单位、翻译述要、时间压力、修改及策略等，研究方法已经从有声思维法发展到多元技术法。最近击键记录法和眼动法的广泛应用标志着西方译界在翻译实证研究领域又向前迈进了一大步。但是，直到20世纪末中国翻译研究者才开始意识到依靠科技观察翻译行为研究的重要性。在接下来的大约15年间，西方翻译过程研究的相关理论与方法逐渐引介到国内，中国译界对这种新兴的研究模式表现出强烈的兴趣。但是，相比较而言，因为缺少成规模的研究组织，再加上研究技术滞后，中国的翻译过程研究刚刚起步。

本书主要研究在汉译英过程中不同水平译者所使用的策略特点，力图回答以下三个问题：（1）不同水平的译者在汉译英过程中所使用的策略具有哪些基本特征？（2）不同水平的译者在汉译英过程中所使用的策略是否具有共同倾向性及差异性？如果是，表现在哪些方面及其原因？（3）这些策略的倾向性与差异性是否因文本类型的不同而发生改变，如果是，文本类型在哪些方面改变了译者的策略使用？

本研究采用三元数据分析法，数据来源包括：即时有声思维、Translog文件、屏幕录像专家文件、问卷、访谈和译文等，其中对受试的观点及翻译过程的描述主要基于即时有声思维、问卷和访谈。同时，转录的有声思维作为主要数据来源，用于分析策略使用的基本特征、倾

向性和差异性，其他数据来源作为辅助性参考。在检验译者努力的程度时，采用由 Translog 2006 统计的"停顿"作为主要数据来源，访谈与即时有声思维数据作为补充，交互验证研究结果。

本研究的被试根据其翻译水平分为三组（每组6人）：翻译新手（2名男性4名女性；平均年龄21岁；年龄范围在20~22岁之间），高级学习者（2名男性4名女性；平均年龄25岁；年龄范围在24~27岁）和职业译者（3名男性3名女性；平均年龄36岁；年龄范围在31~43岁之间）。三组的分类标准如下：职业译者须至少有五年的翻译经验；累计翻译100万汉字以上；生活收入的70%以上来自于专职翻译活动；均通过英语专业八级考试，成绩良好及以上。该组译者平均每周的翻译训练时间均在15小时以上，在前期培训中翻译平均成绩为83分。高级学习者来自山东大学翻译硕士研究生；均通过英语专业八级考试，成绩合格。该组译者平均每周的翻译训练时间在2~5个小时之间，在前期培训中翻译平均成绩为79.61分。翻译初学者来自山东财经大学非英语专业本科三年级学生，英语专业辅修生，均通过大学英语六级考试，但未参加英语专业八级考试。该组译者平均每周的翻译训练时间不超过2小时，在前期培训中翻译平均成绩为70.22分。所有被试母语均为汉语。

翻译材料包括一份操作说明书（217个字）、一首短诗（44个字）和一则广告（119个字）。根据 Reiss 的文本类型分类标准，三份翻译材料分别属于信息型文本、表情型文本和感染型文本。翻译（汉译英）无时间限制。

研究结果采用定性描述与定量分析相结合的方式。首先，本研究对三组不同水平译者在如下方面分别进行详细描写：受试者的背景信息；关于翻译本质、问题解决模式、文本类型意识、翻译策略及其使用的观点；每个受试者的翻译过程。其次，根据有声思维和定量统计数据，三组译者之间策略使用的情况描述如下：

不考虑文本类型的因素，不同水平译者总体策略特征包括：（1）在汉译英过程中，三组译者解决翻译问题的程序相同。（2）依据问题解决的程序，翻译策略被分为六类：表征策略、建构策略、回避策略、执行策略、监控策略和评价策略。三组译者的策略使用主要集中在建构与执行两种策略类型上。（3）根据译者对问题的直接反应方式，三组译者的策略被概括为分析模式、工具模式和直觉模式。不同水平译者策

使用的差异性包括：（1）在策略种类与频率的使用上，三组不同水平译者依次呈现出先升后降的趋势。高级学习者使用的种类与频率最多，初学者使用的策略种类最少，且多具有微观性，职业译者策略种类丰富，但总体频率与初学者接近。（2）非职业译者（包括初学者和高级学习者）过度依赖查询词典策略。（3）对译语文本的监控意识与翻译水平有关，译者水平越高，监控策略使用的频率越多。

考虑文本类型的因素，不同水平译者的策略倾向性与差异性包括：（1）所有译者均意识到了各个文本的独特性，文本类型对宏观策略（翻译的总体原则与倾向的行为模式）的使用有所影响，但对微观策略（译者在问题解决与决策过程中的具体行为）影响不明显。（2）诗歌对不同水平译者策略使用的差异性影响最小，其次为操作说明书，广告影响最大。（3）通过检验每个文本的平均停顿时长和平均停顿率，发现诗歌翻译给译者带来的认知负荷最大，操作说明书翻译给译者带来的认知负荷最小。据此推测，文本的难度会影响译者策略使用的差异，文本过难或过易，均不会对策略差异造成太大影响。

本研究结合认知心理学中的问题空间理论，及翻译过程研究中的相关文献对上述研究结果进行阐释和讨论，讨论内容包括三组译者在翻译过程中问题解决的结构与阶段，策略使用的倾向性与差异性，文本类型对策略使用及译者认知努力的影响等。

本研究进一步探讨了以上发现对翻译培训的教学启示，并提出尝试性建议：建构基于过程的翻译教学模式；培养学生在翻译过程中的宏观视野；培训学生翻译专业文本材料；控制学生适当使用词典。本书最后指出本研究的不足之处并对后续研究提出了建议。

本研究的主要贡献有：（1）研究发现，译者翻译水平对其思维过程与策略使用的影响有规律可循，这种规律通过翻译培训是可以习得的；（2）上述因翻译水平造成的影响程度会因文本类型的不同而发生变化；（3）将汉英翻译作为调查对象的实证研究尚不多见，本研究探讨了汉英翻译过程中策略使用情况，丰富了国际实证翻译过程研究。尽管本研究不尽完善，但可以为改善汉英翻译教学提供依据和指导。

Contents

転型时代的中国财经战略论丛