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鲁迅小说翻译的叙事批评

——以《风波》英译为例

王树槐

(华中科技大学 外国语学院, 湖北 武汉 430074)

摘要: 叙事学因其研究的广阔性、深入性和成熟性, 能为文学翻译批评拓展巨大的空间。借鉴叙事学理论, 从叙事空间、叙事时间、叙事视角、话语/思想呈现方式、讲述 vs 展示、隐含作者、不可靠叙述、叙事结构、叙事功能、叙事距离、易读性与可读性、元叙事 12 个方面, 对鲁迅小说《风波》的三个权威译文做了全面的叙事翻译批评, 并揭示杨氏、莱尔、蓝诗玲一般性的翻译叙事特征。

关键词: 《风波》; 叙事; 翻译批评

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A Narratological Criticism of the Three Translations of Lu Xun's *Fengbo*

WANG Shuhuai

(School of Foreign Languages, Huazhong University of Science and Technology, Wuhan 430074, China)

Abstract: Narratology, due to its breadth, depth, and maturity, can expand large space for literary translation criticism. This article draws on narratological theories to conduct a comprehensive narrative translation criticism of the three authoritative translations of Lu Xun's story *Fengbo*, examining the 12 aspects of narrative space, narrative time, point of view, speech/thought presentation, showing vs. telling, implied author, unreliable narration, narrative structure, narrative function, narrative distance, legibility vs. readability, and meta-narrative. The research reveals that the Yangs, William Lyell, and Julia Lovell exhibit different narrative inclinations.

Keywords: *Fengbo*; narrative; translation criticism

与翻译相比, 翻译批评的历史是短暂的, 其在发展过程中, 先后出现了如下几种模式: (1) 随机式、点评式、感悟式的批评; (2) 以翻译学理论, 即等值论、等效论、目的论为指导, 判断译文是否忠实于原文意义或满足客户需求的批评; (3) 以对比语言学为指导, 判断句式、语义是否

正确的批评; (4) 以功能语言学为指导, 判断译文三大元功能实现的批评; (5) 借用语料库语言学、计量语言学, 分析译文语言宏观特征的批评; (6) 借用认知语言学, 分析译者在认知、识解方面的正误, 或跨文化、跨心理改动的批评; (7) 运用批评话语分析考察译者和译文在意识形态倾

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作者简介: 王树槐, 男, 湖北鄂州人, 华中科技大学教授, 博士生导师, 研究方向为中国文学经典英译、翻译批评、翻译教学。

向方面的批评；（8）运用社会-文化理论，对译文在译语中的社会-文化功能进行考察的批评；（9）运用叙事学、文体学对文学作品的诗学特征进行考察的批评。前面三种批评模式属于传统的翻译批评；近年来，随着学界对相邻学科认识的不断加深，后面六种批评模式也逐渐得以发展。本文运用叙事学翻译批评理论，以《风波》的三个权威译文作为考察对象，对鲁迅小说英译做全方位的叙事批评。

一、文献综述

叙事学萌芽于俄国形式主义，形成于法国结构主义，而后在英美学术界得到巨大发展。法国叙事学家热奈特（Gerard Genette）从叙事顺序（顺序、倒叙、插叙等）、时距（等叙、概说、省略等）、频率（单一说、重复说等）、语式（直/间接引语、聚焦等）、语态（叙述者、叙述时间等）五个方面建构了叙事学体系^[1]。美国叙事学家布斯（Wayne Booth）从亚里士多德诗学出发，强调叙事过程中伦理的介入，并首次提出隐含作者、不可靠叙述、叙事距离等思想^[2]，对后世叙事学产生重大影响。以色列叙事学家里蒙-凯南（Shlomith Rimmon-Kenan）讨论了故事（包括事件和人物）、文本（包括时间、人物描写、聚焦）、叙述（包括层次、声音、话语呈现）、文本与读者的关系^[3]。荷兰叙事学家巴尔（Mieke Bal）将叙事分为文本、故事和素材三个层面：在文本方面，其讨论了叙述者、描写、叙述层次；在故事层面，其讨论了叙述顺序、节奏、频率、聚焦；在素材方面，其讨论了行为者、时间、场所^[4]。申丹阐述了故事/话语二分法、故事层的情节观、功能性与心理性互补的人物观、视角三分法、话语/思想呈现方式的功能^[5]。叙事学历经中外叙事学家的传承与发展，已经成为一个成熟的学科。

在叙事翻译批评中，申丹分析了《红楼梦》翻译中根据情境将直接思想变为间接思想的恰当性^{[5]297-298}。申丹还指出，隐性叙事进程与翻译批评的关系为：译者如果忽视隐性叙事，便会损伤隐性叙事动力、削弱人物的心理准确性^{[6]63-75}。王峰等分析了 *The House on Mango Street* 两个译文对不可靠叙述分别做保留和“去陌生化”处理，主张通过保留陌生化再现原作的叙事主题^[7]。宋悦

等分析认为，白亚仁的译文《在细雨中呼喊》，因改变叙事时间、叙事视角、叙事距离，导致了叙事效果的削弱^[8]。王树槐从叙事视角、话语呈现方式、讲述 vs 展示、叙事时间、不可靠叙述、叙事距离、叙事空间、隐含作者、元叙事、易读性与可读性、叙事结构、叙事功能 12 个方面，构建了翻译批评的叙事批评模式^[9]。

综上，叙事学能为小说翻译批评提供巨大的研究空间，将它跨学科移植，不仅能让翻译批评走出经验式的窠臼，还能发现在常规翻译批评中难以发现的问题。

二、理论基础

本文以王树槐翻译批评的叙事模式为理论基础，以鲁迅小说《风波》的翻译作为研究对象，采用“规定+辩证”的灵活方法进行批评，即如果某一叙事元素是核心元素，我们按照规定性思路进行翻译批评，考察译者是否遵从、复现，否则便出现叙事上的错误；如果某一叙事元素是非核心叙事元素，探讨译者更改处理后译文的效果和功能，以及译者改动的原因。

三、《风波》翻译的叙事学批评

《风波》是鲁迅 1920 年创作的小说，描写了辛亥革命到张勋复辟这段时间，江南农村围绕鞭子是剪或留而闹出的一场风波。小说中的七斤、七斤嫂、九斤老太、八一嫂等村民，都是愚昧、保守、狭隘的人物；赵七爷则是不学无术、幻想复辟的旧派乡绅。本文选取杨宪益与戴乃迭译文（以下简称杨译）、威廉·莱尔（William Lyell）译文（以下简称莱译）、蓝诗玲（Julia Lovell）译文（以下简称蓝译）做叙事学批评分析。

（一）叙事空间（narrative space）

Zoran 将叙事空间划分为空间单元（spatial units）、空间复合体（spatial complex）、整体空间（total space）^[10]。他指出，空间有前景突出 vs 背景隐弱、静态 vs 动态的性质差异。此外，读者还可能对叙事空间加入自己的理解，构成空间不定点的“具体化”。翻译批评中考察：（1）译者对空间单元的切分是否合理？（2）译者对前景 vs 背景、静态 vs 动态的性质区分是否准确？（3）空间单元如果存在因果、先后等关系，译文是否

正确表现?

原文:(临河的土场上,太阳渐渐的收了他通黄的光线了。场边靠河的乌柏树叶,干巴巴的才喘过气来,几个花脚蚊子在下面哼着飞舞。)面河的农家的烟突里,逐渐减少了炊烟,女人孩子们都在自己门口的土场上泼些水,放下小桌子和矮凳;人知道,这已经是晚饭时候了。

杨译:…Less smoke was coming from the kitchen chimneys of the peasants' houses along the river, as women and children sprinkled water on the ground before their doors and brought out little tables and stools. You could tell it was time for the evening meal.

莱译:……The smoke that had been rising from the chimneys of the peasant homes facing the water gradually began to thin out. Women and children appeared in doorways and sprinkled water on the threshing ground just outside. Small tables and low stools were carried out and set down on the dampened earth. Supper time had arrived.

蓝译:……As the clouds of cooking smoke spiraling from chimneys along the river faded, women and children splashed water on to the ground beyond their own doors, and set out small tables and stools. It was time for dinner.

小说开篇包括四个叙事空间:土场高空(阳光),乌柏树(树叶与蚊子),烟突(炊烟),土场表面(女人孩子泼水、摆桌凳)。三个译文在后面两个空间单元的切分上有区别。莱尔译文将炊烟主题作为一个空间单元,将土场上女人孩子泼水作为一个单元,将摆桌凳作为另一个单元,他更多的是想再现“田园景象”,也是为了再现鲁迅果戈理式的语言风格, on the dampened earth 是译者填充的不定点。杨译和蓝译则都将炊烟主题和女人孩子主题合并为一个单元,但他们的重心有所不同:杨译的重心在 Less smoke was coming, 后面的 as women and children 至多只是一个陪伴或者对比的空间单元;蓝译 As …smoke … faded, women and children…清晰地表现了空间单元之间的因果关系和先后关系(炊烟少了一饭熟了一女人孩子泼水摆桌凳)。

顺便提一下,最后一句“人知道,这已经是晚饭时候了”,杨译对应原文译为 You could tell…,

而莱译和蓝译都省译“人知道”,用一个短句点明“晚饭时候”,让读者直接从感知到领悟,这更符合英语的叙事规范。

(二)叙事时间(narrative time)

热奈特从三个方面论述叙事时间:(1)时间倒错,包括预叙和倒叙;(2)时长,包括概说、停顿、省略、场景(话语与故事等长);(3)频率,包括单一叙述、重复叙述、概括叙述^{[1]83-160}。此外,申丹提出双重叙事,认为其在小说中通过时态切换的方式来表现,以此表达隐含作者对“过去”和“现在”的区分。

在鲁迅小说翻译中,三个译文都严格遵守原文的时间顺序和叙事频率,然而在叙事时长的表现方面,差异很大。

原文:伊的儿媳七斤嫂子正捧着饭篮走到桌边,便将饭篮在桌上一摔,愤愤的说,“你老人家又这么说了……”

杨译:Her granddaughter-in-law, Mrs. Sevenpounder, had just come up to the table with a basket of rice. Planking it down on the table, she said angrily, “There you go again!…”

莱译:Her granddaughter-in-law Sister Sevenpounder was just coming up to the table with a basket of rice as the old woman spoke. Obviously irritated, Sister Sevenpounder tossed the basket down on the table. “There you go again,……”

蓝译:Her granddaughter-in-law, wife to Seven-Pounds, slammed a basket of rice down on the table. ‘There you go again,’ she responded angrily.

七斤嫂对九斤老太从未停歇的“一代不如一代”抱怨,非常不满,在气恼中她一气做完四个动作:捧、走、摔、说。杨宪益译文保留所有动作,切分为两个句子,译文与原文等叙。莱尔译文同样将四个动作作用两个句子表达,由于第一句增加了 as the old woman spoke, 第二句增加了 Obviously irritated, 虽然突出了七斤嫂的气愤,但整体上叙事速度缓了一些。蓝诗玲译文省去“走”这一动作,让叙事速度加快,也很好表现了七斤嫂的愤愤不平。

另外,小说结尾一段的翻译,三个译者都从规范的未来时转变为标记的现在时,其叙事目的和功能是什么?又有什么细微的差别?

原文：现在的七斤，是七斤嫂和村人又都早给他相当的尊敬，相当的待遇了。到夏天，他们仍旧在自家门口的土场上吃饭；大家见了，都笑嘻嘻的招呼。九斤老太早已做过八十大寿，仍然不平而且健康。六斤的双丫角，已经变成一支大辫子了；伊虽然新近裹脚，却还能帮同七斤嫂做事，捧着十八个铜钉的饭碗，在土场上一瘸一拐的往来。

杨译：Today Sevenpounder is again respected and well treated by his wife and the villagers. In the summer his family still sit down to eat on the mud flat outside their door, and passers-by greet them with smiles. Old Mrs. Ninepounder celebrated her eightieth birthday some time ago, and is as hale and hearty as ever, and as full of complaints. Sixpounder's twin tufts of hair have changed into a thick braid. Although they started to bind her feet recently, she can still help Mrs. Sevenpounder with odd jobs, and limps about the mud flat carrying the rice bowl with its sixteen copper rivets.

莱译：Today's Sevenpounder has once again become that Sevenpounder who is respected and treated well by wife and villagers. When summer comes, smiling and waving to each other, the villagers eat on the threshing ground in front of their own doors as they always have. Old Lady Ninepounder has long since celebrated the grand occasion of her eighth decade of longevity. She is still as dissatisfied and healthy as ever. Sixpounder's forkhorns have been transformed into a single large braid. Although her feet have recently been bound, she is still able to help her mother do some of the work and can be seen hobbling back and forth on the threshing ground, a ricebowl repaired with sixteen rivets in her hands.

蓝译：And so Seven-Pounds again enjoys the deferential regard of his wife and fellow villagers. Every summer, they dine out on the mudflat outside their door, graciously acknowledging their neighbours' smiles and greetings. Now well past her eightieth birthday, old Mrs Nine-Pounds enjoys the same healthy ill-temper as always, while Six-Pounds's two wiry little braids have merged into a larger, single plait. And even though her

feet have now been bound, she still helps Mrs Seven-Pounds with the chores, hobbling back and forth across the mudbank, carrying her rice bowl with its sixteen copper nails.

小说最后一段实际上是双重叙事。显性叙事进程是，在辫子风波过后村子又恢复了往日的景象：七斤继续受到村人的尊敬，村子也继续着它的“田园诗意”。隐性叙事进程是，中国农村的愚昧、保守、自封，已经到了顽固至极的程度，无法改变，隐含作者对此近乎绝望。从时间上讲，描写的仍然是过去的事情，似乎应以过去时态翻译才正确，但是三个译文都不约而同选用现在时态来翻译。

从叙事学上讲，时态的切换往往意味着主题的重大变化^[11]。过去时态与现在时态的区别在于，过去时态是非标记时态，而现在时态则是标记时态^{[12]5}；过去时态是动态时态，功能在于“叙述”“行动”，而现在时态是静态时态，功能在“描写”“看见”^{[12]35}，用现在时态讲述故事，能增加故事的“永恒性”（timelessness）寓意^{[12]105}。三个译文的译者都洞悉隐含作者的寓意，将时态切换为现在时，暗示了隐含作者冷眼旁观中国农村接近“永恒的”愚昧、保守、自封，心情沉痛失望。

不过，这一段中杨译的时态又有一些不同。为体现时间上的先后，杨氏将“九斤老太早已做过八十大寿”“伊虽然新近裹脚”两处用了过去时：Ninepounder celebrated her eightieth birthday some time ago, and is as hale and hearty as ever, and as full of complaints. 和 Although they started to bind her feet recently. 对于这两句，两位汉学家的处理非常巧妙：或者用现在完成时态，或者用介词短语绕过。莱译分别是 Old Lady Ninepounder has long since celebrated the grand occasion of her eighth decade of longevity. 和 Although her feet have recently been bound, 且第一句的大词 grand occasion, longevity 增加了反讽和幽默。蓝译分别是 Now well past her eightieth birthday, old Mrs Nine-Pounds enjoys the same healthy ill-temper as always 和 even though her feet have now been bound, 且第一句的 healthy ill-temper 是转移修辞法和矛盾修辞法，充满反讽和幽默。相比之下，杨译两处过去时态在一定程度上损伤了隐含作者的意图；中规中矩的用词（hale and hearty, full of complaints）虽然准确传达了信息，

但在营造幽默效果方面与其他两个译文相比还有一定距离。再者,三个译文在突显“永恒的”保守自封这一主题时,处理上也存在差异。原文的“到夏天”,杨译是 *In the summer*, 莱译是 *When summer comes*, 蓝译是 *Every summer*。显然,蓝译对此理解最深,莱译次之,杨译最弱。

(三) 叙事视角(聚焦)(point of view/focalization)

叙事视角(聚焦)指的是谁在看或想,即从谁的眼光来讲故事。热奈特将视角分为零聚焦(全知视角)、内聚焦(故事中某个人物所看、所想)、外聚焦(从外部客观观察行为,不进入人物内心)^{[1]189-194}。其他学者的划分大同小异。翻译批评中考察:(1)当小说出现视角转换,即从全知叙事者的叙述、评论转向人物内视角的观察和认知,译者是否注意到这一隐蔽转换?(2)人物的内视角往往表现了其认知、心理状态,译者是否注意到人物的认知水平与情感状态?(3)译者呈现人物内视角的感知顺序是否合理?(4)视角也有表达意识形态的功能^{[3]83-84},体现了隐含作者对人物的隐蔽评价,译者能否很好地传达?

原文:(七斤嫂)看见又矮又胖的赵七爷正从独木桥上走来……

杨译:Mr. Zhao's short plump figure could be seen approaching from the one-plank bridge.

莱译:she had caught sight of chubby little Seventh Master Zhao, walking up from the single-plank bridge.

蓝译:she spotted the squat form of Mr Zhao, ... picking his way across a single-log bridge

七斤嫂正在吃饭,突然瞥见又矮又胖的赵七爷走过来。三个译文选取的都是她的内视角,然而因所有格差异,呈现的内视角形象又有细微区别,因而导致了译文的准确性不同。Hamawand曾比较所有格不同而导致的认知差异:(1)The winner's edge is all in the attitude, not aptitude. (2)The edge of the winner is all in the attitude, not aptitude^[13]。这两个句子在心理突出上是不一样的:句(1)突出的是winner,句(2)突出的则是edge,句(1)的认知文体学效果更好。根据七斤嫂的认知,她首先瞥见的应该是一个又矮又胖的身影,定睛观察,才确定是赵七爷。杨译首先感知的是Mr. Zhao,接着是short plump figure;莱译

chubby little Seventh Master Zhao的叙事效果介于中间;蓝译首先感知的是squat form,之后是Mr Zhao,叙事效果最佳。

我们再看视角传达的意识形态(隐蔽评价)。

原文:到夏天,他们仍旧在自家门口的土场上吃饭;大家见了,都笑嘻嘻的招呼。

杨译:In the summer his family still sit down to eat on the mud flat outside their door, and passers-by greet them with smiles.

莱译:When summer comes, smiling and waving to each other, the villagers eat on the threshing ground in front of their own doors as they always have.

蓝译:Every summer, they dine out on the mudflat outside their door, graciously acknowledging their neighbours' smiles and greetings.

小说写到最后,大家明白皇帝不坐龙庭了,七斤因早剪了辫子,又得到“七斤嫂和村人相当的尊敬”。原文用的是全知视角,杨译和莱译也用全知视角,然而蓝译graciously acknowledging their neighbours' smiles and greetings则将叙事视角偷偷切换为七斤、七斤嫂的内视角。其通过转换视角,对七斤一家人给予重点描写,使得人物内心洋洋得意的情感外溢出来。(graciously意为“友好地”“大度地”,也辅助了表达)

(四) 话语/思想呈现方式(speech/thought presentation)

Leech等将话语/思想呈现方式分为五种:直接引语/思想,间接引语/思想,自由直接引语/思想,自由间接引语/思想,言语行为叙述^{[14]255-278}。通常说来,重要人物的话语用直接引语,次要人物的话语用间接引语;间接引语加快叙事速度,直接引语强调话语的声响效果,自由间接引语能加入叙述者隐蔽的同情、反讽等情感^{[5]290-307}。翻译批评中考察:(1)译者对直接引语和间接引语的使用,是否符合人物的身份,以及场景详描与概说的特征?(2)译者是否甄别出自由间接引语中的隐蔽情感,并加以表现?

原文:六斤也趁势溜出,坐在他身边,叫他爹爹。七斤没有应。

杨译:Sixpounder seized this chance to slip out and sit down beside him. She spoke to him, but he made no answer.

莱译：Taking advantage of the diversion afforded by her father's arrival, Sixpounder appeared out of nowhere and sat by his side. "Daddy!" she cried in welcome, but Sevenpounder did not respond.

蓝译：'Daddy,' Six-Pounds called out, slipping out from her hiding place to sit next to him. No reply.

这一句写的是六斤遭九斤老太责骂后躲了起来；看到父亲七斤回来，孩子的天性即刻显现出来：迫不及待跑到父亲身边，并喊爹爹。原文是言语行为的概述，杨译与原文保持一致（然而 spoke to him 可能还会有其他的意思，比如讲述今天的事情经过），孩子的天真形象丧失；莱译和蓝译都改为了直接引语，叙事效果更好：让读者听见“爹爹”的声音，能让孩子与父亲亲近的感情自然流出，更符合人物身份和场景特征。

另外，我们发现，莱尔在翻译“思想呈现”的时候，创新性地运用了任何叙事学理论都没有谈到的方法。

原文：他心里但觉得事情似乎十分危急，也想些方法，想些计画，但总是非常模糊，贯穿不得：“辫子呢辫子？丈八蛇矛。一代不如一代！皇帝坐龙庭。破的碗须得上城去钉好。谁能抵挡他？书上一条一条写着。入娘的！……”

杨译：Matters seemed to have reached a very dangerous state, and he tried to think of a way out or some plan of action. But his thoughts were in a whirl, and he could not straighten them out. "Queues, eh, queues? A huge eighteen-foot lance. Each generation is worse than the last! The emperor's ascended his throne. The broken bowl will have to be taken to town to be riveted. Who's a match for him? It's written in a book. Damn!..."

莱译：In his heart he simply felt that what he was facing had all the earmarks of a fullblown crisis. He tried to think of ways to avert it, to come up with a plan or two, but his thoughts were so vague and disconnected that he was unable to string them together into any coherent program of action. *Where's your queue, where's your queue?... A spear eighteen feet long ... One generation's worse than the last! ... The Emperor's ascended the Dragon Throne. "I'll have to take the broken bowl to town and have it riveted."*

Can you stand up to him? ... Written down in a book, as plain as can be. "Motherfuckers!"

蓝译：Though he could sense the situation was critical, every attempt to find a solution fizzled out: 'Where's your queue? Eighteen-foot lance – the youth of today! The emperor's back. Get it mended in town. No one! All the books. Damn it all to hell...'

此刻的七斤面临一系列的烦心事：赵七爷恐吓，七斤嫂咒骂，祖母唠叨，女儿六斤摔破碗。他思绪麻乱，又急又气。原文用的直接思想呈现，杨译和蓝译遵从原文的形态，也达到了叙事功效。相比而言，莱译创新的叙事形式让叙事效果更进一步：译者将其中暂时还无法处理的事情（辫子）用自由直接引语以及斜体（功能是强调）加上省略号（暗示的是人物思绪不连贯或混乱）来表现，读者可以直接进入其内心；将其中能够且需要赶急处理的事情（补碗），用直接引语表达，暗示七斤提醒自己明天不能忘记此事；用直接引语表达咒骂，表现的是七斤想着想着，愤怒到了顶点，忍无可忍而发出愤怒的吼声，将“思想”切换到“声音”。这样创造性的改写，极其生动地表达了人物的混乱思绪以及愤怒情绪，可以说，这是一种叙事手段的实验和创新。

（五）展示 vs 讲述（showing vs. telling）

小说中的展示是让人物自导自演，叙述者只是生动记载，并不介入；讲述则是叙述者转述，或者做伦理、认知或情感的介入。对于展示 vs 讲述，叙事学家有两种态度：传统叙事学家认为展示是比讲述更好的叙事手法^{[15][30]}；布斯则认为讲述中能加入伦理、道德因素，因此非常重要^{[2]8-16}。翻译批评中需要酌情评论。在没有伦理因素介入时，译者能否用展示的手法，让译文更加生动可读？在有隐蔽的伦理评论的时候，译者是遵从原文的评论还是做些调整？其中的理由是什么？

我们先来看展示 vs 讲述而导致的译文生动性差异。

原文：他两手同时捏起空拳，仿佛握着无形的蛇矛模样，向八一嫂抢进几步道，“你能抵挡他么！”

杨译：Raising his empty hands, as if grasping a huge invisible lance, he took a few paces towards Widow Pa Yi, saying, "Are you a match for him?"

莱译: He raised his two hands and held them apart, slightly cupped and parallel, as if they grasped an invisible eighteen-foot spear. He lunged toward Sister Bayi and demanded, "Can you stand up to him?"

蓝译: He bore down on Mrs Ba Yi, clenching his fists in the air, as if wielding an invisible spear: 'No one!'

赵七爷恐吓八一嫂张勋大帅是张飞后代,之后模仿张飞手持丈八蛇矛的样子,并咄咄逼人问是否可以抵挡。对于捏拳、握矛、抢进三个动作,杨译分别译为 raise, grasp, take a few steps, 意义准确但落于平庸,偏于讲述;莱译用 raise, grasp, hold, lunge, 并根据情景增添了 slightly cupped and parallel (两只手握成空杯状,前后一条线),人物形象饱满;蓝译用的 bear down on (猛冲), clench, wield 则极其生动、富于张力,是典型的展示。另外从叙事时间上看,杨译与原文等叙,莱译是慢叙(拉长),蓝译是快叙。对于这样一个戏剧性场面,蓝译因其选词和速度,叙事效果最佳。

我们再看对于原文评论性的讲述,译者不同的处理。

原文:赵七爷是邻村茂源酒店的主人,又是这三十里方圆以内的唯一的出色人物兼学问家;因为有学问,所以又有些遗老的臭味。

杨译: Mr. Zhao was the owner of Abundance Tavern in a neighbouring village, and the only notable within a radius of ten miles who was also something of a scholar. His learning gave him a little of the musty air of a departed age.

莱译: Seventh Master Zhao was proprietor of the Bountiful Brook, a wineshop in a neighboring village. He was the only person of renown for more than ten miles around—and something of a "scholarshipologist" to boot.¹¹ Since he was a man of learning, he always had about him something of the nostalgic air of a minister of state left over from a previous dynasty.

脚注 11: A satirical barb directed at the popular fashion of making everyone an "ologist" of some sort.

蓝译: Proprietor of the Splendid, the tavern in the neighbouring village, Mr Zhao was the only man

of any distinction or education within ten miles. A celebrated fogley...

原文中“出色人物兼学问家”“遗老”,都是叙述者(也是隐含作者)的评论,性质上属于讲述。对此,杨译为 musty air of a departed age (他的学识赋予了他一点陈旧时代的发霉气息),莱译为 nostalgic air of a minister of state left over from a previous dynasty (他身上总带有一种怀旧的气息,仿佛是前清遗留的大臣),蓝译为 celebrated fogley (著名的守旧人物)。我们可以感受到,对于赵七爷的评论,莱译用自创的 scholarshipologist 和“前清遗留的大臣”,其贬挞、嘲讽的程度超过杨译与蓝译,也超过原文。

按照莱尔的看法,赵七爷身上有着旧式士人-官员的传统,浑身弥漫着一个已垮王朝的遗风^{[16]213-214}。他可以归入莱尔划分的“传统型知识分子”,属于“压迫者”阵营^{[16]141}。在整个译文中,莱尔对赵七爷加重的负面评价是一贯的。比如上一例中对其手握无形蛇矛的夸大描写;又如“跨上独木桥,扬长去了”一句,杨译是 strode on to the one-plank bridge, 莱译是 haughtily strode away, 蓝译是 striding out。究其原因,莱尔提倡兼爱,反对偏见和民族仇恨^[17],这也流露于他对赵七爷加重的贬斥中。

(六) 隐含作者/隐含译者 (implied author/ implied translator)

隐含作者的思想由布斯提出,其意指小说的叙述者不一定代表真正作者的规范和意图,在叙述者背后有一个隐含作者,他有目的地给予或藏收信息,展示特定人物视角,加入讲述和评论,进而操控读者的伦理站位,影响读者的价值观。隐含作者的思想需要读者去推测。翻译批评中考察:对于隐含作者的意图,译者理解是否到位?如果译者做了改动,又隐含了怎样的隐蔽价值观(即所谓的“隐含译者”)?

原文:七斤虽然住在农村,却早有些飞黄腾达的意思。

杨译: Although Sevenpounder lived in the village, he had always wanted to better himself.

莱译: Although Sevenpounder lived in a country village, his family had early on showed promise of scaling the ladder of prestige.

蓝译：Although Seven-Pounds still lived in the old family village, he was a man going places.

七斤已经“三代不捏锄头柄”，是村里的“出场人物”。他“志向远大”，希望日后能“飞黄腾达”。事实上，隐含作者这里是满含嘲讽的，所谓“飞黄腾达”，不过是受村人崇拜、至多做点小官之类。杨译的 better himself，意为让自己修养更好，这违背了隐含作者的叙事意图；莱译 showed promise of scaling the ladder of prestige（显出不断爬升社会地位的希望），符合隐含作者的意图；蓝译 a man going places（见多识广的人），与隐含作者的意图偏离。这里很可能是蓝诗玲的隐蔽价值观流露：她对农民这样的弱势群体持有极大的同情心，不想将过多的负面形象加在他们身上。

（七）不可靠叙述（unreliable narration）

不可靠叙述的思想由布斯提出。通常认为小说语言必须都是真实、可靠的，然而人物的叙述、观察、话语，甚至叙述者的叙述，未必都是真实、可信的。这便是“不可靠叙述”^{[2]211}。究其原因，人物所持的规范会与隐含作者的规范不一致，会对事件作出错误的认识和评价；隐含作者故意让叙述者给出错误信息，让读者去分析、判断、回味，从而参与叙事过程。此外，表达幽默的不可靠叙述常常以反讽、戏拟的形式出现；非幽默的不可靠叙述则表达人物的有限知识与错误认识^{[15]623}。翻译批评中考察：（1）译者是否能够识别不可靠叙述，且不混淆于可靠叙述？（2）译者是否能够通过不可靠叙述表现出人物的错误认识或者虚假心理？（3）译者是否能够体会并再现不可靠叙述表达的幽默和反讽？

原文：“好香的干菜，——听到了风声了么？”赵七爷站在七斤的后面七斤嫂的对面说。

杨译：“Those dried vegetables smell good—have you heard the news?” Mr. Zhao was standing behind Sevenpounder, opposite Mrs. Sevenpounder.

莱译：At the same time he carefully scrutinized their food and commented, “Smells really good. Heard the news?” Now he stood directly behind Sevenpounder, facing Sister Sevenpounder.

蓝译：‘Delicious, delicious, I’m sure.’ Mr Zhao took up position behind Seven-Pounds and opposite his wife. ‘Heard the rumours?’

富贵的赵七爷巡视贫穷人家吃晚饭，口是心非赞扬乌黑的蒸干菜“好香”。赵七爷的本意并不在赞美干菜的美味，而是意欲首先拉近与村人的关系，然后恐吓他们皇帝又坐龙庭了，辫子攸关性命。杨译 Those dried vegetables smell good 表现的是赵七爷诚心诚意的赞美；莱译 Smells really good 也是诚心诚意的赞美；蓝译 Delicious, delicious, I’m sure. 则将赵七爷赞美的虚伪性表现得活灵活现，再现了原文的不可靠叙述。

（八）叙事结构（narrative structure）

故事由一系列的序列（series）构成。序列是因连带关系（solidarity）而捆绑在一起的核心（nuclei），它可大可小，功能完成，序列便闭合^{[18]101-102}。汉语喜用流水句，中间会有很多主题杂合在一起。翻译批评中考察：（1）翻译家是否根据语义功能，将其正确地划分为译者能分辨主题意义的序列？（2）译者怎样利用序列的空间布排表现特殊的情感意义？

原文：村人们呆呆站着，心里计算，都觉得自己确乎抵不住张翼德，因此也决定七斤便要没有性命。

杨译：The villagers stood there blankly, turning things over in their minds. They realized they really were no match for Zhang Fei; hence Sevenpounder’s life was as good as lost.

莱译：The villagers stood there speechless. They turned his question over in their own minds, and they all arrived at the same conclusion: they were indeed no match for Zhang Fei, and thus they also concluded that Sevenpounder was dead meat for sure.

蓝译：The villagers stood there, in stunned realization that none of them—and least of all the miserable Seven-Pounds—would stand a chance against Zhang Fei.

赵七爷做手握长矛状，恐吓村人，村人也被唬得呆住。原文是流水句，但是根据主题可以分为两个序列：一是村人呆站；二是内心思忖。杨译在序列切分上出现错误：第一，他将 The villagers stood there blankly 和 turning things over in their mind 两个义素放在一个序列里面，逻辑上出现矛盾，既然前面是 blankly，后面又怎样可能是 turning things over in their mind？第二，turning

things over 和后面思想的内容在性质上更接近,将它们放在一起更好。莱译将其切分为两个序列,逻辑正确。蓝译用一个序列,并运用插入语、前后破折号,将“心里计算”用表示伴随状态的名词结构 in stunned realization (转移修辞法)表达,将“决定七斤便要没有性命”转化为前后破折号里面的 and least of all the miserable Seven-Pounds (最不可能与张飞一战的便是可怜的七斤),加快了叙事速度,也增加了幽默感。

我们再看蓝诗玲为突出主题而对序列做的创造性空间布排。

原文: 河里驶过文人的酒船, 文豪见了, 大发诗兴, 说, “无思无虑, 这真是田家乐呵!”

但文豪的话有些不合事实, 就因为他们没有听到九斤老太的话。这时候, 九斤老太正在大怒……

杨译: Some scholars, who were passing in a pleasure boat, waxed quite lyrical at the sight. “So free from care!” they exclaimed. “Here’s real idyllic happiness.”

The scholars were rather wide of the mark, however. That was because they had not heard what Old Mrs. Ninepounder was saying. Old Mrs. Ninepounder, who was in a towering temper. . .

莱译: Catching sight of the idyllic scene while sipping their wine, these lions of literature lyrically proclaimed, “Not a care in the world, a true example of the pleasures of peasant life!”

The words of these literary lions, however, did not entirely tally with reality, but that was only because they had not heard what old Mrs. Ninepounder was saying. In high dudgeon. . .

蓝译: ‘What a pastoral idyll!’ gushed a pleasure-boatful of amateur poets and professional drinkers as it sailed past. ‘Not a care in the world!’

If only they could have heard Mrs Nine-Pounds. ‘Seventy-eight years I’ve lived. . .

原文中, 酒船上的文豪大发诗兴是第一个序列; 叙述者马上澄清这不合事实, 因为他们没有听到九斤老太的话, 这是第二个序列; 接着便叙述九斤老太的抱怨, 这是第三个序列。杨译和莱译都遵从了原文的叙事结构以及空间布排, 叙事

效果正常表达; 然而蓝译将“但文豪的话有些不合事实, 就因为他们没有听到九斤老太的话”这个 28 个汉字(含标点)的序列, 简化为只有 8 个单词的 If only they could have heard Mrs Nine-Pounds., 并与前后两个段落隔开, 单独成为一个段落。这样的序列布排, 其叙事功效不仅超过了另外两个译文, 也超过了原文。第一, 原文的意义在蓝译中用虚拟语态表达, 信息毫无丢失; 第二, 当这一个极短序列单独作为一个段落时, 形式上形成“认知突显”(prominence), 功能上达到“心理突出”(foregrounding)^{[14]39}, 并暗示其与读者的初始预期不一样^{[14]128}; 第三, 与另外两个译文使用因果复合句不同, 蓝译 8 个单词的短句加以句号结尾, 除了达到信息自治, 句号还有着最大的切分力量, 能形成巨大的心理撞击^{[14]174}。这样切分的极短叙事序列, 给读者造成的惊愕是很大的: 每一个单词都承载着极大的心理震撼。此外, 根据象似性(iconicity)原理, 段落结束后留下的空间, 能留给读者充分的时间去疑惑: 为什么文豪的诗兴会被叙述者否定?

(九) 叙事功能(narrative function)

巴特将叙事功能分为两种: 功能型和标示型。功能型包括核心功能(cardinal function)和催化(catalyzing)功能; 标示型包括标示(indices)和信息项(informant)。标示指向的是蕴含意义, 让读者解码人物、心境、氛围、哲学意义, 信息项只是辅助说明时间和空间信息^{[18]93-96}。翻译批评中考察: (1) 译者是否突出了核心功能, 保证主题的完整接受? (2) 译者能否意识到标示因素的象征意义并给予再现?

原文: 伊透过乌柏叶, 看见又矮又胖的赵七爷正从独木桥上走来, 而且穿着宝蓝色竹布的长衫。

杨译: Through the tallow leaves, Mr. Zhao’s short plump figure could be seen approaching from the one-plank bridge. And he was wearing his long sapphire-blue cotton gown.

莱译: through the allow leaves she had caught sight of chubby little Seventh Master Zhao walking up from the single-plank bridge. What was more, he was wearing his long blue cotton gown.

蓝译: Through a screen of tallow leaves, she spotted the squat form of Mr Zhao, draped in a long gown of

sapphire-blue glazed cotton, picking his way across a single-log bridge and towards them.

七斤嫂看见穿着宝蓝色竹布长衫的赵七爷，“心坎里便禁不住突突地发跳”，非常惊恐。赵七爷穿宝蓝色竹布长衫是有象征意义的：前面两次都是他的仇人有殃；这次因为七斤剪了辫子，又因为他在酒醉的时候骂过赵七爷“贱胎”，七斤嫂联想到七斤可能有殃了。故此赵七爷穿着的象征意义需要特别交代。在杨译和莱译中，这个信息都作为独立的单句，得到高光突出，莱译还加上 *What was more* 故意强调；蓝译将这一信息放在句子中间作为插入语，叙事功能作为背景隐去，虽然叙事速度更快、语言更流畅，但是叙事功能却出现了一定损失。

(十) 叙事距离 (narrative distance)

叙事距离的思想由布斯提出。它指隐含作者、叙述者、人物、读者之间存在的物理距离、时间距离、认识 (intellectual) 距离、道德距离、情感距离等等^{[2]155-159}。翻译批评中考察：(1) 译者能否识别多种角色之间的距离？(2) 如果叙事距离是重要的主题因素，译者是否忠实传达？(3) 译者如果对非重要的叙事距离做了更改，其隐蔽的价值观又是什么？

原文：伊的儿媳七斤嫂子正捧着饭篮走到桌边，便将饭篮在桌上一摔，愤愤的说，“你老人家又这么说了。六斤生下来的时候，不是六斤五么？你家的秤又是私秤，加重称，十八两秤；用了准十六，我们的六斤该有七斤多哩……”

杨译：Mrs. Sevenpounder,……said angrily: “There you go again! Sixpounder weighed six pounds five ounces when she was born, didn’t she? Your family uses private scales which weigh light, eighteen ounces to the pound. With proper sixteenounce scales, Sixpounder ought to have been over seven pounds.”

莱译：Obviously irritated, Sister Sevenpounder tossed the basket down on the table. “There you go again, old woman. Now when Sixpounder was born, didn’t she really weigh six pounds plus five ounces? Besides your family’s scales are crooked to begin with. They weigh light. It would take eighteen ounces to make a pound on your scales! If you used honest sixteenounce scales, our Sixpounder would have

weighed in at over six pounds.

蓝译：Her granddaughter-in-law, wife to Seven-Pounds, slammed a basket of rice down on the table. ‘There you go again,’ she responded angrily. ‘Six-Pounds actually weighed in at six pounds five ounces – remember? And your scales always weighed eighteen ounces to a pound. If we’d put her on proper scales, sixteen to the pound, she’d have been well over seven.

九斤老太数落“一代不如一代”，首先从三辈人出生体重逐次降低开始。七斤嫂对此愤愤不平，提出反驳。在中国古代，标准秤是十六两，十八两秤是奸商用的私秤，加重秤。三个译文中，杨译和蓝译对于七斤嫂和九斤老太人物距离的处理与原文保持一致：虽然不满，但还不敢公开忤逆犯上。在莱译中，这一距离发生了变化：将称呼“你老人家”译为 *old woman*，表达的是七斤嫂对九斤老太公然的蔑视；*your family’s scales are crooked, honest sixteenounce scales* 是明明白白的谴责。因此莱译的七斤嫂形象更为反叛，其对旧制度的人伦秩序更具挑战性，这也可能与莱尔是爱尔兰族裔、在美国受到歧视有关。

(十一) 易读性与可读性 (legibility vs. readability)

易读性是指阅读时花费的精力多少：付出的努力越少，易读性越高；而可读性则是指小说不但能够被解析，而且生动有趣、令人愉悦^{[19]132-142}。翻译批评中考察：(1) 译者对原文的易读性是提高了还是降低了？(2) 译者对易读性的改动是出于怎样的原因，是否合理？(3) 译者改动易读性之后，可读性又怎样？

原文：(老人男人坐在矮凳上，摇着大芭蕉扇闲谈)孩子飞也似的跑，或者蹲在乌柏树下赌玩石子。女人端出乌黑的蒸干菜和松花黄的米饭，热蓬蓬冒烟。(河里驶过文人的酒船，文豪见了……)

杨译：The children raced about or squatted under the tallow trees playing games with pebbles. The women brought out steaming hot, black, dried vegetables and yellow rice.

莱译：Children darted lickety-split from place to place or squatted under the tallow trees playing tossc-

atch¹. Women carried out raven-black dried vegetables along with rice of a rich pinecone brown. All around the threshing ground steam rose from the piping-hot food.

脚注 1: Requiring nothing but pebbles, the game could be played by the poorest of children. Using only one hand, a player would toss five pebbles into the air, catching one before it hit the ground. Then he would toss that one up again, pick one up from the four remaining on the ground and catch the tossed one again before it fell to the ground. Then he would toss up the two he now held in his hand, pick up a third, and catch the two in the air before they reached the ground, and so on. A successful player would finish by tossing up all five, catching them on the back of his hand, tossing them up again, and making the final catch in his palm.

蓝译: ...while the children skittered about or squatted beneath the tallow trees, tossing pebbles. The women brought out dishes of tar-black, steamed dried vegetables and bright yellow rice, the heat billowing out of them. 'What a pastoral idyll!' gushed a pleasure-boatful of amateur poets and professional drinkers as it sailed past...

小说开篇描绘了一个表面平静安宁、貌似田园风光的景色。其中孩子们“赌玩石子”，杨译为 playing games with pebbles，蓝译为 tossing pebbles，简单流畅。莱译 play tosscatch，该词将 toss+catch 强行拼接，是译者自创，而且加上了 126 个单词的脚注。这一句译文的易读性和可读性都偏低，原因有二：（1）读者在读完脚注之后，也未必能够完全理解玩石子游戏；（2）这是一个末枝信息，用如此长篇幅介绍，会影响读者阅读的流畅性、完整性。此外，蓝译将酒船上的文豪译为 amateur poets and professional drinkers，一则增加了幽默感，与鲁迅的黑色幽默风格相应，二则增加了可读性。

（十二）元叙事（metanarrative）

Prince 认为，当一段话语的主题是叙事本身时，它便是元叙事^{[19][115]}。元叙事具有组织功能、解释功能、审美功能、评价功能。叙述者用它或是埋下草蛇灰线，或是引导读者做伦理判断，或是借

机抒发自己的情感。翻译批评中考察：（1）译者能否识别元叙事的功能？（2）译者对元叙事是遵从还是改动？如果有改动，那么是由于诗学传统的差异，还是译者与作者有着不同的伦理、价值观差异？（3）译者如果加上自己的元叙事，又表达了怎样的认知、情感与伦理导向？

《风波》原文并没有元叙事。但是我们发现，莱尔通过多处脚注加上自己对人物、典故、隐含作者意图的阐释和评论，引导“隐含读者”接受；杨译完全忠实于原文，未做更多的阐释；蓝译只是在前言中做详细的导读，在正文中未加入自己的评论作为元叙事。这是三个译文一贯的特征。

比如小说中九斤老太第一次感叹“一代不如一代”，莱尔在译文下面做了 260 多字的脚注。

Regarding this passage, Lu Xun's younger brother Zhou Zuoren has commented:

"The lions of literature passing by in a pleasure boat on the river ... actually see things exactly the same way as Old Lady Ninepounder. The only difference is that, rather than looking to the past, they seek the ideal life in a faroff realm totally separated from themselves. The countryside provides excellent material for such a quest. In any case, however, it's just talk, for they'd never really consider moving there.

"Chinese poets are generally identified with a distinctive tradition: while carrying on their work as officials, their minds may be occupied by ambition, their sole concern being to climb ever higher in the bureaucracy. But in their poems, their hearts are always off in the mountains or woods and they heartily recommend the hermit's life. For instance, in his 'Memorial to the Prime Minister' the poet Han Yu (768—824) waxes enthusiastic over his role as official, but in his poem "Mountain Stones" (a familiar work contained in *The Three Hundred Tang Poems*) we find him saying, 'Since human life consists of such simple things, one can always be happy in oneself; what need then to go through the world forever tense and subject to the whip of other people's desires?' All such literary lions belong to the same club as Old Lady Ninepounder. The difference between them is similar to the difference

between poetry and prose: a poet may sing the glories of mountain and forest in verse while complaining in prose that ‘things ain’t what they used to be’.”

回译过来是：

“酒船上的文豪与九斤老太，看待这个世界的方式在本质上是一样的。唯一区别在于，文豪不是回望过去，而是寻求一个将自己与现实完全隔绝的理想世界。乡村为这种追求提供了极好的处所。不过，他们只是说说而已，从未真正考虑搬去那里生活。

“中国诗人有一个独特传统：他们在为官的时候雄心勃勃，全心关心的是官场上的晋升。但在诗中，他们的心却飞向山林，热情讴歌隐居生活。例如，韩愈（768—824）在《唐故相权公墓碑》中对自己作为官员的角色表现出极大的热情；但在《山石》一诗（收录于《三百首唐诗》）中，他却写道：‘人生如此自可乐，岂必局束为人羶？’文豪们和九斤老太在根本上属于同一类人。他们之间的区别就像诗歌和散文：诗人可能在诗中歌颂美好的山林，而在散文中却会抱怨‘世事不古’。”

通过这样一个行使元叙事功能的注释，莱尔引导读者认识到，文豪和九斤老太守旧自封的本质是相同的。九斤老太固执地迷恋过去的一切；文豪们则一方面想在官场获得晋升，另一方面又向往田园的宁静，其作派与古代的文人一脉相承。莱尔借此表达，晚清民国社会的各个阶层都陷入僵滞，思想保守，故步自封。

本文借用叙事学理论，从12个方面对《风波》三个权威译文进行翻译批评。就叙事空间而言，因为杨译追求简洁，在空间切分上有时会将距离较远的空间放在一起，抑或混淆空间的性质与单元之间的关系，而莱译和蓝译则会根据空间的认知属性进行准确切分。就叙事时间而言，杨译因为强调“忠实于原文”^[20]，其速度总是与原文等叙，而莱译因为故意使用膨胀夸大的风格（inflated style）再现鲁迅果戈理式的语言风格^[21]，译文常常表现出慢叙特征；蓝译因为追求轻快简洁，译文常常表现出快叙特征。就叙事视角而言，杨译有时候会忽视视角转化，即当原文由全知视角转换到人物内部视角时，其译文还是使用全知视角，因而使得人物认知、性格、思想的即时特征出现

一定的错误，而两位汉学家对此有清晰的认识并准确再现。就隐含作者和不可靠叙述而言，整体上莱译对此认识最为深刻，其译文也刻意显化隐含作者的意图以及不可靠叙述的荒谬性。就叙事功能而言，莱译对鲁迅小说中的标示功能和象征因素所做的显化努力，超过其他两个译本。就易读性和可读性而言，蓝译因其语言的张力、生动，能提供给读者极大的阅读愉悦而有极高的易读性和可读性；莱译因其语言再现果戈理式风格，易读性偏低，但是其对鲁迅小说的时代背景、隐喻主题、人物事件评价做了较多的旁征博引，有利于引导读者了解鲁迅的思想，因而具有较高的可读性；杨译在这两点上都稍逊一些。就元叙事而言，对于原文内部的元叙事（如《阿Q正传》的前序），三个译文都忠实地再现了其组织、阐释、评价功能；在其他场合中，莱译则通过脚注增加了很多元叙事，引导读者理解故事主题，以及中国的历史、政治、文化、诗学，企图用自加的元叙事来操控读者的接受。

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