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翻译的文本分析模式： 理论、方法及教学应用

(第二版)

TEXT ANALYSIS IN TRANSLATION

Theory, Methodology, and Didactic Application of
a Model for Translation-Oriented Text Analysis

Second Edition

(德) Christiane Nord 著



外语教学与研究出版社

FOREIGN LANGUAGE TEACHING AND RESEARCH PRESS

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翻译的文本分析模式

导 读

外研社翻译研究文库

一、本书作者

本书作者克里斯蒂安·诺德(Christiane Nord)是德国功能学派第二代的代表人物。她生于1943年,1967年毕业于海德堡大学,主修西班牙语和英语,1983年在海德堡大学获博士学位,1993年获维也纳大学颁发的应用翻译学与翻译教学资格证书。她曾先后在多所大学任教;曾获德国学术交流服务基金到印度、印尼、泰国、阿根廷、巴西、古巴和越南等国家做短期访问教授,到过西班牙、丹麦、芬兰、比利时和其他欧洲国家讲学;曾任或现任多种学术刊物的编委或顾问。

诺德集译者、教师、翻译研究者于一身,共发表了约八十篇/部有关翻译教学与研究的论文/专著。《翻译的文本分析模式:理论、方法及教学应用》(以下简称《模式》)和已在我国出版并广被阅读的《译有所为——功能翻译理论阐释》是她的代表作。她最新的论著 *Kommunikativ handeln auf Spanisch und Deutsch* (《德语和西班牙语之间如何有效地交际》,2003)是通过对西-德平行文本小型语料库中所收集的实际使用中的例子进行比较分析,以论证她本人设计的翻译文本分析模式。诺德认为,该模式可用于分析研究不同的语言和文化对(language and culture pairs)。

二、本书形成的背景

20世纪70年代中期,诺德在海德堡大学翻译学院英文系任教,系主任是她的老师卡塔琳娜·赖斯(Katharina Reiss)。诺德被安排在译员培训班教一门名为“文本分析与释义”的课程,这一安排促使了她对翻译的文本分析模式理论、方法及教学应用的探讨,并开始琢磨应该教什么和如何教的问题。她想到,译员出去做翻译时,首先应该对要翻译的文本及其交际功能有所了解。于是,她开始阅读相关的文献,也因此开始了这方面的研究。

70年代中期是篇章语言学初露锋芒的时期。诺德阅读了有关篇章语言学的很多论著,希望从中寻找灵感。此外,她的先生是位神学家,他那

时也开始借用篇章语言学的理论与方法研究《新约全书》。因此他们常常一起讨论问题,《模式》中的很多概念是在他们的讨论中形成的。

诺德将设计中的模式在课堂上反复实验,不断改进,约十年后,她用德文写成书并出版(1988),目标读者是德国学生。后来,很多同行朋友,尤其是南美的同行朋友们向她表示,希望能读到此书的英文版并在课堂上使用她设计的文本分析模式。于是,诺德及其朋友佩内洛普·斯帕罗(Penelope Sparrow)一起把书翻译成英文出版(1991)。诺德在该书英文版的“序言”中说,“我在海德堡大学任教二十多年,此书是我‘毕生’追求有系统地教翻译的结果——我希望这些方法不仅有助于学生在课堂上学习做翻译,而且有助于他们将来在社会上的翻译实践,我还希望这些方法可以促进人们对翻译教学作进一步的研究。”

该书英文版问世后得到世界各地翻译教师和学生的认可,成为很多大学翻译专业研究生的教材之一,诺德也因而收到来自世界各地读者的信件,其中不乏有建设性的观点。又经过大约十五年,作者感到有必要对书中某些地方进行修改或更新,于是便有了现在的修订版(2005)。

修订版主要在三方面作了改动:(1)修正某些翻译术语;(2)删略参考书目中的德语条目,加上近年出版的英文参考书目;(3)对带性别意义的词进行了再处理。作者在“修订版前言”中解释说,在她和好朋友斯帕罗翻译该书的时候,性别问题尚未进入大家的视线,因此她们没有特别注意性别问题。但现在性别研究成为一个热点,因而她在修订时特别对带有性别意义的词进行了细心处理。

三、本书的目的

《模式》一书主要目的在于为学习翻译的学生提供一个分析源语文本的模式,该模式可运用于所有的文本类型和翻译过程。诺德本人在“绪言”中指出,虽然她参阅了不少有关篇章语言学的论著,并跟她的神学家丈夫一起探讨过很多相关的问题,但是“对于语言学家和神学家合适的东西未必适合翻译者,因为不同的目的需要不同的方法。翻译导向的文本分析不但要求译者能透彻地理解源语文本,准确地阐释源语文本,或能解释语言和文本的结构及其与源语语言系统规范的关系,还应该考虑到翻译过程中影响译者决策的一切因素,以提供制定翻译策略的依据。因此,本书将把有关概念整合在一起,使之成为一个相对稳定的文本分析模式,以供译者参考”(P. 1)。这说明了本书的目的,也概述了本书的特点。

四、本书的结构、内容及理论基础

4.1 结构及主要内容

本书共分六部分：第一部分是绪言，指出翻译过程中文本分析的必要性；第二部分是本书的主要内容，从五个方面详细阐述了翻译导向的文本分析模式；第三部分是结语；第四部分是书中出现的翻译问题索引；第五部分是书中出现的例子索引；第六部分是参考书目。

作为本书主要内容的第二部分，从以下方面详细阐述了翻译导向的文本分析模式：(1) 理论原则：翻译的基本要素和篇章语言学的主要概念；(2) 源语文本分析的作用与功能：源语文本与译入语文本的关系、翻译的步骤及其模式；(3) 源语文本分析的基本要点：文外因素与文内因素；(4) 该模式在译员培训中的应用；(5) 案例分析。

4.2 模式的理论原则及源语文本分析的作用

篇章语言学是诺德《模式》一书的主要理论基础，其核心思想“语篇是一种交际活动，可以通过语言的和非语言的因素来实现”也成为该模式的核心思想。因此，在“理论原则”一章中，诺德首先指出翻译过程中的几个重要因素：顾客或发起人 (INI)，译者 (TRL)，目标文本 (TT)，目标文本接受者 (TT-R)，目标语 (TL)，源语文本 (ST)，源语 (SL)，源语文本作者 (ST-P)，源语文本发送者 (ST-S)，和源语文化 (SC)。这些语言的和非语言的因素使诺德的模式不同于一般的文本分析模式。

诺德《模式》的另一理论基础是赖斯的文本类型理论。文本类型理论起源于卡尔·布勒 (Karl Bühler) 1934 年提出的语言功能“工具模式”。布勒的语言工具模式有五个组成因素：符号、说话者、受话者、语境和话语功能。话语 (语言) 功能包括“表现、表情、感染”三种。诺德在以上三种功能的基础上，还参考了雅各布森 (R. Jakobson 1960) 提出的语言功能分类，将文本功能分为四种类型：指称功能 (referential function)、表情功能 (expressive function)、诉求功能 (appellative function) 和寒暄功能 (phatic function)。诺德认为，译者一旦了解到源语文本的功能，就能够“将其与委托人所要求的目标文本在目标语文化中的预定功能进行比较，辨认出或排除掉源语文本中那些没有用的成分” (P. 22)。她指出，源语文本与译入语文本之间的关系可用以下公式来形容：

忠实——自由——对等 (fidelity—liberty—equivalence)

人们通常希望翻译能够“忠实”地再现源语文本的特点，并希望译入语文本与源语文本是对等或等效的。诺德认为这种愿望很正常，但是并不完全

认同,因为在翻译研究中对等的概念是很含糊的,可以有多种解释。诺德本人更加倾向于认同目的论(Skopos theory)中的功能翻译观,即认为源语文本与译入语文本之间的“对等”不是一成不变的原则,而是由译文目的所决定。“译文目的”居翻译过程中一切决定因素之首,忠实的要求也因而服从于译文目的的规则。为了避免过分强调译文目的而背离源语文本,诺德在《模式》中首次提出了“功能加忠诚”(functionality plus loyalty)的概念(PP. 31-34)。

她首次提出“功能加忠诚”的原则主要是针对赫尔兹-曼塔里(Holz-Mänttari)的翻译行为理论。赫尔兹-曼塔里把文本视为实现交际功能的纯粹工具,认为其固有的价值完全从属于其目的,译者只需对目的环境负责,目标文本可以完全独立于源语文本。诺德则认为自由重写不属于翻译的范畴,并直截了当地提出了自己的看法,“没有源语文本,就没有翻译”(P. 32)。虽然“功能”是翻译过程中最重要的决定性因素,但并非唯一的因素。译者应同时对源语文本和译文环境负责,对源语文本发送者(或发起人)和目标语读者负责。诺德称这一责任为“忠诚”(loyalty)。

因此诺德的功能主义方法论建立于两大基石之上:功能与忠诚。功能指的是使译文在译语环境中按预定方式运作的因素;忠诚指的是译者、源语文本作者、译文接受者及翻译发起者之间的人际关系。忠诚原则限制了某一源语文本的译文功能范围,增加了译者与客户之间对翻译任务的商议。

五、文本分析的要点及在译员培训中的应用

诺德在书中描述了一个较为详尽的功能模式,并加入了文本分析的要素,使该模式能够用于分析文本中句子或句子层面以上的文本构成单位。诺德的文本分析模式涉及到对源语文本中一系列复杂且具有内在相关性的文外因素及文内因素进行分析。(PP. 43-143)

文外因素包括:

- 文本(信息)发送者及其意图,即文本的目标功能;
- 接受者及其期望;
- 文本媒介(口头或是书面形式);
- 文本交际的场所及时间;
- 动机(源语文本制作及文本翻译的原因)。

文内因素包括:

- 主题;

- 内容：包括其言外之意及内容的衔接；

- 前提：预想中参与者应了解的交际情景及现实世界因素；

- 构成：包括微观结构和宏观结构；

- 非语言因素：插图、斜体等；

- 词汇：包括方言、语域及专门术语；

- 句型结构；

- 超音段特征：包括重音、音节及“文体标点”。

功能翻译理论的研究与发展一直都着眼于译者培训，诺德在本书第二部分的第四章专门讲述了功能翻译理论在译者培训中的作用。她首先从分析文本功能入手，借鉴布勒的研究模式，将文本按功能分为四种类型：指称功能、表情功能、诉求功能和寒暄功能（此功能为诺德所加），并讨论了它们在文本中体现的方式以及它们如何有可能影响到具体的翻译问题。

诺德认为功能翻译理论中对译员培训最有应用价值的三个方面是：翻译纲要、源语文本分析及对翻译问题的分类。通过对翻译纲要、源语文本和翻译问题进行分析与比较，学员可以清楚地知道，源语文本中哪些信息或语言成分应该原封不动地保留，哪些应该根据翻译意图进行调整。

在分析文本功能时，诺德指出，具有不同功能的文本应使用不同的翻译策略。在实际翻译中，大致上有两种翻译类型，即文献型翻译（documentary translation）和工具型翻译（instrumental translation）（PP. 80-81）。

文献型翻译“是对源语文本作者和源语文本接受者之间文化交际活动的记录”（P. 80）。比如在文学翻译中目标语文本将源语文本的思想译介绍给目标语读者，且目标语读者也能清楚意识到他们所读的作品是译文。诺德对文献型翻译所举的其他例子包括逐字译、字面译、文献翻译和异化翻译。

工具型翻译“是目标语文化里新的交际活动过程中独立传递信息的工具，旨在实现交际目的，且目标语读者不会意识到他们所读到或听到的文本曾经以另一种形式在其他交际情景中被使用过”（P. 81）。也就是说，目标语读者所读到的译文就好像是用源语写成，而且源语文本和译入语文本应具有对等的功能，如一些机器的操作手册和商业信函等。

她提出的这两个类型的翻译都是建立在功能概念的基础之上，使人们能够理解源语文本特有的功能并选择与翻译目的相适应的翻译策略。

六、本书的特点

《模式》的最大特点是其翻译的导向，即无论是对文外因素还是对文内因素的分析，都是围绕翻译功能及翻译策略来进行的。

特点二是标出重点，以方便读者。这主要体现在第二部分的第一章和第二章，文中的重要概念都用黑体字标出并括在线框内，显得清楚了。

特点三是提出问题，以引发师生思考。在本书的第二部分第三章“源语文本分析的基本要素”中，几乎每小节后都有一个问题表（Checklist），问题既促使学生回顾本章所论述之内容，又启发学生进行思考。

《模式》一书以功能概念为基础，目的是帮助读者理解源语文本特有的功能并选择与其翻译目的相适应的翻译策略（P. 1）。书中提出的文本功能、文本分类以及根据不同的译文目的采用不同的翻译策略等方面的理论，虽然与赖斯的文本类型理论、弗米尔（Vermeer）的目的论以及赫尔兹—曼塔里的翻译行为理论有很多相同的前提，但不同之处是，诺德更注重源语文本的特点。

诺德在“绪言”中说，她希望有一个翻译导向的文本分析模式可以帮助译者解决翻译过程中遇到的一些问题。这个模式应该有如下两个特点：（1）它是非常笼统的，不涉及任何具体的文本分析，因而可以应用于所有的文本分析；（2）它又是非常具体的，可用来分析各种各样的翻译问题。《模式》的确具有这两个特点，因而被认为可适用于一切翻译的文本分析。

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澳门大学社会及人文科学学院客座教授

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I. INTRODUCTION: The need for text analysis in translation

Most writers on translation theory agree that before embarking upon any translation the translator should analyse the text comprehensively, since this appears to be the only way of ensuring that the source text (ST) has been wholly and correctly understood. Various proposals have been put forward as to how such an analysis should be carried out and how particular translation problems might best be dealt with. These tend, however, to be based on models of text analysis which have been developed in other fields of study, such as that of literary studies, of text or discourse linguistics (e.g. de Beaugrande & Dressler 1981), or even in the field of theology.

But what is right for the literary scholar, the text linguist or the theologian is not necessarily right for the translator: different purposes require different approaches. Translation-oriented text analysis should not only ensure full comprehension and correct interpretation of the text or explain its linguistic and textual structures and their relationship with the system and norms of the source language (SL). It should also provide a reliable foundation for each and every decision which the translator has to make in a particular translation process. For this purpose, it must be integrated into an overall concept of translation that will serve as a permanent frame of reference for the translator.

What is needed is a model of source-text analysis which is applicable to all text types and text specimens, and which can be used in any translation task that may arise. Such a model should enable translators to understand the function of the elements or features observed in the content and structure of the source text. On the basis of this functional concept they can then choose the translation strategies suitable for the intended purpose of the particular translation they are working on.

In my view, it should be possible to produce a model of translation-oriented text analysis without reference to the specific characteristics of the source or target languages. It should not depend on the translator's level of competence (i.e. on whether he or she is a professional or a trainee) and should be valid for both directions, i.e. translating into as well as out of the translator's native language. The model thus produced can then serve as a general theoretical framework for translation studies, translator training, and translation practice. The translator who has been trained to work with the model using one particular language-and-culture pair as a basis should also be in a position

to apply it to other language-and-culture pairs, given the necessary linguistic and cultural proficiency.

The model should therefore be (a) general enough to be applicable to any text and (b) specific enough to take account of as many generalizable translation problems as possible. Specific intercultural or interlingual problems or difficulties, depending on the level of competence of the translator or the direction of the translation process, can then be introduced into the corresponding slots of the model. The model we are striving to produce, then, is largely concerned with the language-independent aspects of culture, communication and translation.

Such a model of translation-oriented text analysis could be of use not only to the students and teachers in translator training but also to the professional translator. It would be useful for trainee translators at Schools or Faculties for Translating and Interpreting or at similar institutions, since it would enable them to justify their translational decisions, to systematize translation problems, and to understand translational behaviour conventions more clearly. In translator training, teachers all too often have to rely on their intuition, on their own professional experience or academic research, on trial and error, imagination and luck. If they don't merely want to show their students "how it is done", then this model may provide them with a more objective frame of reference for their translational choices. For these teachers, the model can, among other things, provide some criteria for the classification of texts for translation classes and some guidelines for assessing the quality of a translation. Finally, it could be of interest to professional translators. For even if they are convinced that they have found the best and most efficient translation strategies for their particular (usually highly specialized) field of work, they may get some new ideas (e.g. how to defend their own translations or how to justify their judgement in translation quality control).

This book is intended to be a practical aid in teaching professional translation. It is for this reason that the analysis of literary texts and the specific problems of literary translation have not been given top priority. However, if a model for text analysis is meant to be applicable to all types of text, it does make sense to take the most complex text type as a starting point. All the factors involved in the "simpler" texts will also be found here. I have therefore included a considerable number of examples taken from the field of literature.

This study has a secondary purpose that may also prove to be relevant to translation teaching. It tries to establish where translation

studies can draw upon the theories and methods of related disciplines, such as linguistics and literary criticism, etc. In an area of academic studies that only recently discovered the importance of scientific research – translation studies are now part of the examination syllabus at almost all training institutions – it seems worthwhile examining the relationship between translation theory (or “*translatology*”) and philology (comprising linguistics and literary studies). Although it is impossible to present a definitive study, several examples will serve to clarify where, and to what extent, philological methods can contribute to providing solutions to translation problems.

Part 1 of the study presents the theoretical principles on which the model of translation-oriented text analysis is based, and surveys the various concepts of translation theory and text linguistics. Part 2 describes the role and scope of source-text analysis in the translation process and explains why the model is relevant to translation. Part 3 presents a detailed study of the extratextual and intratextual factors and their interaction in the text. Part 4 discusses the applications of the model in translator training. The book concludes with the practical analysis of a number of texts and their translations (Part 5), taking into account various text types and several languages.

SOME ABBREVIATIONS

ST	source text
TT	target text
SL	source language
TL	target language
SC	source culture
TC	target culture
TRL	translator, translation

II. A MODEL FOR TRANSLATION-ORIENTED TEXT ANALYSIS

1. Theoretical principles

In order to establish the theoretical framework for the translation-oriented model of text analysis I shall first discuss those principles of translation theory which determine my concept of translation. The term “translation” here covers oral translation, i.e. interpreting, as well as written translation. Secondly, I shall deal with the text-linguistic principles which provide the basis for the model.

1.1. Translatological foundations

After a short description of the general conditions and constituents of the setting in which translation takes place I shall proceed to a more detailed analysis of the roles of the “initiator” and the translator since they are the most important factors in the production of a translation.

1.1.1. Factors and constituents of the translation process

My concept of translation is basically functional¹, and it is this notion of function that is the overriding criterion for the model of the translation process² depicted below (see Fig. 1 and Fig. 3).

¹ The functional approach to translation was first suggested by Reiss ([1971]2000: 92ff.), when she included the “special function of a translation” as an additional category in her model of translation criticism – a category which was to replace the normal criteria of equivalence-based critique in those (special) cases where the target text was intended for a purpose different from that of the source text. This point of view is also expressed by Reiss 1976a. From 1978 onward, both Reiss and particularly Vermeer have frequently postulated that as a general rule it must be the intended purpose of the TT that determines translation methods and strategies, and not the function of the ST. In 1978, Vermeer formulated this postulate as the *skopos* rule ([1978]1983: 54), which later on was to become the main component of his general translation theory (*Skopostheorie*, cf. Reiss & Vermeer 1984). Holz-Mänttari, too, regards the target function as the core of “product specification”, as she calls the description of properties and features required of the target text (1984a: 114).

² In order to make a distinction between the setting of the translation process, i.e. the totality of factors and constituents connected with the making of a translation (*Translationsvorgang*, cf. Nord 1988a: 283), and the translation process in the narrower sense, i.e. the procedure that leads from ST analysis to TT production, I shall refer to the former as the “process of intercultural text transfer”. In either case, however, my concept of process must not be confused with the psycholinguistic notion of “what is going on in the translator’s mind”, which is studied empirically on the basis of think-aloud protocols (TAP, cf. Kußmaul 1995: 5ff., among others).