基于语篇类型的翻译对等研究

的

翻译对等研究

Exploring Texe-Type-Based
Translation Equivalence

赵东林 著

赵东林 著

基于语篇类型的翻译对等研究

Exploring Texen Type Based
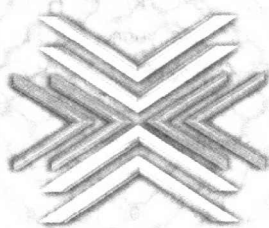Translation Equivalence

西安交通大学出版社
XI'AN JIAOTONG UNIVERSITY PRESS
·西安·

ACKNOWLEDGEMENTS

I would also express my gratitude to my former teachers, who are now my colleagues, at Air Force Engineering University in Xi'an: Professor Huang Zhen, Professor Fu Changming and Professor Kong Xianglan. Without the encouragement, support and care from them, my three-year campus life at SISU would not have been possible.

My heartfelt thanks also go to my fellow graduate students: Lu Weizhong, Yao Ximing, Jiang Yajun, Ju Yumei, Chai Gaiying, and Wu Xueying. I am grateful to them for all the wonderful discussions and arguments over the past three years. I would like to give my special thanks to Jiang Yajun, my roommate for two years, and Li Anxing, Ph. D. candidate at Fu Dan University. I have greatly benefited from Jang's wisdom in our night-time talks and discussions. Warm-hearted Li, for numerous times, kindly offered to collect and xerox reference materials in response to my urgent need. The friendship with them has made my life at SISU enjoyable and memorable.

Last but not least, I owe a debt of gratitude to my wife, Li Xin, and my son, Zhao Zihao. Without their understanding and support, this dissertation would not have been timely accomplished.

ABSTRACT

Translation is usually defined as a process of establishing equivalence between the source text and the target text while equivalence is often seen as one of the most problematic and controversial notions in translation studies. To a great extent, translation theory, the linguistic approach to translation in particular, has evolved around the notion of equivalence and various theories have been proposed and elaborated from different perspectives. Equivalence has been defined in terms of meaning, function, effect, and even form. On the basis of his semiotic approach to language, Roman Jakobson introduces "equivalence in difference". From a communicative point of view, Eugene A. Nida distinguishes between "formal equivalence" and "dynamic equivalence". Adopting a more linguistic approach and following the Hallidayan model of language, J. C. Catford makes a distinction between

"textual equivalence" and "formal correspondence". These types of equivalence are mainly constructed on the basis of formal linguistics, which is highly sentence-bound and views meaning within a rather limited scope. As a result, translation equivalence is generally discussed at word or sentence level before text-linguistics finds its application to translation studies. In the recent trends of translation research the views of translation as text and equivalence as a textual notion have become a general agreement among translators and translation scholars. More recent development in translation studies, especially the development as a result of the application of the Hallidayan model of discourse analysis, makes it possible to move beyond the view of translation as text to the view of translation as text type, which inevitably leads to the discussion of equivalence in relation to the notion of text type. This dissertation is aimed at contributing some efforts to the discussion of the relationship between translation equivalence and text type on the basis of the view of translation as text type and a translation-oriented text typology.

The present study is located within the framework of the linguistic approach to translation, which has been dominating the field ever since the beginning of the systematic translation research. Within this framework, various linguistic models have been proposed for the investigation of translation both as a process and as a product. In the 1990s, discourse analysis came to prominence in translation studies. Among the different approaches to discourse analysis, the Hallidayan model based on systemic-functional grammar has the greatest influence. This background serves as the point of departure for this dissertation,

in which a text-linguistic perspective of discourse analysis will be adopted.

Equivalence and text type are the central notions in translation studies and text linguistics respectively; and they are probably the most controversial and problematic notions in their respective research areas. In spite of the criticisms and even attacks against it, the notion of equivalence survives and evolves, and constitutes an essential topic in the latest works on translation studies. So, instead of being discarded, the concept of equivalence deserves further research effort so that it could catch up with the advancing pace of translation studies. Ever since Katharina Reiss's pioneering study in the early 1970s, considerable recent efforts have been devoted to the study of the relationship between translation and text typology, and it has been widely accepted that translation methods vary according to text types. Two major text typologies, which are based on different theories of language function, have been adopted in translation studies: the functional typology developed by Reiss, and the "comprehensive model of context" by Hatim and Mason. Since the Hatim-Mason text typology is considered as being able to better serve translation purposes and to accommodate the mutifunctionality of text, it is adopted in the dissertation. However, it seems that translators and translation scholars have taken translation-oriented text typology for granted since few of them have ever attempted to answer such questions as what a translation-oriented text typology should be like and why it should be so. As to the Hatim-Mason model, they do not explain why there should be the text types as identified by them. This dissertation sets out to

tackle the problem by tracing the origins of the five major text types and by drawing on some text typologies outside translation studies. The discussion reveals that among the non-translation-oriented text typologies, such text types as DESCRIPTION, NARRATION, EXPOSITION, ARGUMENTATION, and INSTRUCTION can often be identified. The first four text types date back at least to Alexander Bain's notion of "discourse modes", which are taken up by James Kinneavy and E. Werlich in formulating their text typologies.

In view of the complexity of Hatim and Mason's theory, as well as some confusions and problems involved in it, this dissertation tends to adopt a "simplified" model which focuses on the notion of text type together with the other two text classificatory notions, that is, genre and register.. As to the relationship between the three terms, there has been terminological confusion concerning their hierarchical status. On the basis of the Halliday's register theory and J. R. Martin's study of genre, the comparative analysis of the three terms results in a three-level hierarchy with genre staying at the top and register occupying the middle level serving as a link between genre and text type. This three-level hierarchy may be used to explain the process of text production. The lexical and syntactic features of a text can be seen as a result of the interaction between the three register variables in a given situation while this interaction obtains its conventional form from the overarching genre. This implies that in the process of text production, the text producer has to work his way through the constraints imposed respectively by genre and register to obtain the final realization of the text. More importantly, the

constraints at the level of genre and register operate according to the principle of intertextuality. This constrained process of text production is repeated by translators in translating. On the basis of this three-level hierarchy, this dissertation proposes a model for the discussion and analysis of text-type-based translation equivalency. According to this model, text-type-based translation equivalence should be seen as equivalence with respect to text-type conventions with generic, registerial and intertextual constraints as the key equivalence parameters.

Key Words: translation; equivalence; text typology; text type; genre; register

论文摘要

　　翻译的过程是在原文和译文语篇之间建立对等的过程,而对等是翻译理论中最具争议的概念之一。翻译研究,尤其是翻译的语言学研究,在很大程度上是围绕对等概念而发展的。翻译研究者从不同的角度提出了不同的对等概念,以意义、功能、效果、形式作为对等的标准。例如,Roman Jakobson 从符号学角度,认为对等是"差异中的对等";Eugene A. Nida 视翻译为一种交际活动,区分了"形式对等"和"动态对等";J. C. Catford 依据 Halliday 的系统语法,区分了"行文对等"和"形式对应"。这些对等概念多以形式语言学为基础,其讨论基本局限于词汇和句子层面,对意义的认识也不够全面。由于篇章语言学和话语分析在翻译研究中的运用,翻译是语篇的翻译,对等是语篇层面上的对等,已成为译者和翻译研究者的共识。在最近的研究趋势中,由于 Halliday 的话语分析模式在翻译理论中运用,人们对翻译和对等有了新的认识,翻译和对等的语篇类型研究成为可能。本文试图对对等和语篇类型的关系做出分析,认为翻译

中的对等应以语篇类型为基础,而这一认识的前提是,翻译应被视为特定的语篇类型的翻译,翻译的理论和实践应有适合自身目的的语篇分类模式。

翻译的语言学研究一直在翻译理论中占主导地位,本文处于这一研究框架之中。为了研究翻译的过程和结果,各主要语言学理论都运用于翻译研究。20世纪90年代以来,话语分析理论在翻译研究中被广泛运用,其中,以系统功能语法为基础的Halliday模式最具影响力。本文以此背景为出发点。

对等和语篇类型分别是翻译研究和篇章语言学中的核心概念,同时也是最具争议的概念。在各种批评和责难中,对等概念依然被广泛探讨,并有所发展。对等概念不应被舍弃,而应通过更深入的探讨,使其适应翻译研究的发展。翻译中的语篇类型研究始于Katharina Reiss在20世纪70年代的开创性研究,语篇类型影响翻译策略,这一观点已是共识。翻译研究中主要有两种语篇分类模式:Reiss的功能分类模式和Hatim-Mason的语境分类模式,这两种分类方法以不同的语言功能理论为基础。本文认为Hatim-Mason模式可以更好地服务于翻译目的和解释语篇的多功能性。然而,译者和研究者在一定程度上对翻译中的语篇分类采取了想当然的态度,他们认可翻译中语篇分类的必要性,却很少有人试图解释这种分类应包括哪些语篇类型及其原因。Hatim和Mason没有对他们所确认的语篇类型做出说明。本文试图通过追溯这些语篇类型的起源,以及参考翻译研究以外的语篇分类,来解答这个问题。翻译研究以外的语篇分类大多包括了"描述"、"叙述"、"说明"、"论辩"以及"指令"等五种语篇类型。前四种语篇类型的起源至少可以追溯到Alexander Bain的"话语模式"概念。这一概念被James Kinneavy和E. Werlich沿用,但侧重点由"模式"转向"目的"。

鉴于Hatim和Mason理论的复杂性,及其理论的问题和缺陷,本文提出了一种"简单"模式,集中讨论语篇分类的三个常用概

念,即,体裁、语域、语篇类型。根据 Halliday 的语域分析理论和 J.R. Martin 的体裁研究,本文澄清了上述三个概念的上下位关系,认为它们构成一个三级体系,即,体裁、语域、语篇类型分别位于上、中、下三个级别。该体系可用于解释语篇的产生过程。特定语篇的词汇、句法特征产生于特定情景中语域变量的交互作用,体裁赋予这种交互作用规约化形式。在语篇产生的过程中,语篇生产者在体裁和语域两个层级上受到制约,语篇的最终实现形式正是这种制约的结果。更为重要的是,这两种制约以互文性原则作为其工作机制。就翻译而言,翻译作为语篇的再生产,是对这一受制约的语篇产生过程的重复。根据这一认识,本文提出了以语篇类型为基础的翻译对等的分析模式,把体裁制约、语域制约、互文性制约作为翻译对等的重要参数。在翻译过程中考虑这些因素,有助于使译文符合译入语的语篇类型规范。

CONTENTS

Chapter 5   CONCLUSION

BIBLIOGRAPHY

Chapter 1
INTRODUCTION

This dissertation aims to explore the relationship between translation equivalence and text type. In the contemporary trends of translation research, the views of translation as text and equivalence as a textual notion have been widely accepted among translators and translation scholars. In the present study, I will move a step further to argue for the view of translation as text type, and the view of equivalence as a text-type-based notion. Views as such will be built on the basis of a translation-oriented text typology and a model of text-type-based translation equivalence.

The study of translation has a long history and tradition. However, influenced by the literary, historical and philosophical background of the period,