国外翻译研究丛书之三十八

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Anna Trosborg

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近年来，国内翻译研究取得了很大进展，有关翻译研究的丛书也出了多套。不过，长期以来，国内引进的原版翻译著作匮乏，不少研究都是根据二手资料；另外，学习翻译专业的研究生人数越来越多，这种状况若继续存在，将十分不利于学科的发展和翻译人才的培养。鉴于此，上海外语教育出版社约请了多名国内翻译研究著名学者分别开列出最值得引进的国外翻译研究论著的书目，并对这些书目进行整理、排序，最终确定了准备引进的正式书单。该丛书涉及的论著时间跨度大，既有经典，也有新论；内容的覆盖面也相当广泛，既有翻译本体的研究，也有跨学科的研究。这套丛书的引进将会满足翻译专业研究生教学原版参考书和翻译理论研究的需要。

上海外语教育出版社谨以此丛书献给我国的翻译学界。

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借鉴和创造
（代序）

上海外语教育出版社从成立以来一直是我国外语教育最优秀的后勤部和侦调部。因为它不但为我国各个层次（尤其本科与研究生层次）的外语教育提供了多种高水平的教材、教参和工具书，而且还出版了多学科、多语种和多系列的中文版和外文版的学术著作，比如“现代语言学丛书”、“牛津应用语言学丛书”、“美国文学史论译丛”、“外国文学史丛书”、“剑桥文学指南丛书”、“当代英语语言学丛书”以及列入国家及教育部规划的人文社科重点项目的外国语言文学、文化等方面的图书等。为了适应我国现代化建设和教育改革的需要，还出版了一批国际金融、对外贸易、涉外保险、国际经济法、国际新闻和管理科学等方面的教材与专著。这些著作在外语的学科建设与学术研究以及复合型人才培养等方面都在发挥着强有力的侦察、调研和指导作用。这是外语界有口皆碑的。

随着中外文化交流的纵深发展以及我国现代化建设对人才的需求，对比语言学和翻译学近些年来在我国有了较快的发展，最突出的证据就是①外语类硕士博士点上研究对比与翻译方向的学生在逐年迅速增多，而且我们的高校已经有了翻译学院和翻译系（当然还太少）。②外语专业的学生考中文、法律等其他人文社科专业的硕士、博士以及反方向的走向已经起步。这种跨学科的人才已成为人才资源竞争的最主要对象，因此发展趋势定会看好。上海外语教育出版社为适应这种高层次人才培养和新学科建设的需要，不但积极出版国内关于对比研究和翻译研究的专著和论文集，最近又推出了原版“国外翻译研究丛书”，这套丛书时间跨度从古代到现代，所选书目皆为译学发展史上有里程碑作用的名家名著，堪称译学经典。他们计划分批出版，以满足读者的需求。

这套丛书的出版首先可以解决国内翻译教学原版参考书多年匮乏的困难，真可以说是我国翻译教学与理论研究的及时雨。我想学习和关心这个学科的师生和其他人士定会对这套书的引进为之欢呼，为之祝贺。

这套丛书的价值还在于能大大促进我国翻译学科建设的发展。译学学科的发展依赖于研究者在三个方面的深入研究和结合。一是对本国译学的继承性研究；二是对外国译学的借鉴性研究；三是对翻译实践和翻译教学中新问题的探索性研究。只有这三者研究深入并结合好了，才可能从经验与技巧逐步升华为具有科学性的译学理论。这三个方面的研究，改革开放以来，在我国已取得了很显著的成就，这是有目共睹的。翻译学在我国已于20世纪80年代末有了独立学科的初级形态，90年代又有了新的发展，对学科的独立性以及理论体系的结构与功能有了更多的探讨。依照学科建设的规律和研究现状，我们尚需在上述三个方面加大研究力度，而这套丛书就是借鉴性研究的主要资源。从这个角度讲，这套丛书的引进也是我国文化基本建设的重要工程之一。

在新的世纪，文化（包括各类科学技术）会多方面快速深入人类的日常生活，各国之间的交流会空前深广，因此翻译的功能会逐步扩大，实用性翻译人才的需求量定会空前增加。这就要求我们除了做好高层次研究型人才的培养以外，还应十分重视实用性人才的培养和应用译学的研究。我想出版社一定会关注和引导译学建设的理论研究与应用的发展趋势。

杨自俭
青岛海洋大学六三居室
2001年3月28日

Introduction

Within translation theory and practice, there has been a shift from an overall concern with equivalence between source and target texts to a recognition of the need for adaptation to the target situation and purpose (cf. the skopos theory). In most cases, equivalence can hardly be obtained in translation across cultures and languages, and it may not even be a desirable goal. Therefore, other criteria for successful translation are needed.

Translators have long been aware of the need for categorization in translation. Since Catford (1965: 83), the desire to have a framework of categories for the classification of varieties or "sub-languages" within a language has been acknowledged. Genre analysis has been concerned with establishing characteristics of particular types of text, but whereas the concepts of genre have a long tradition in literary studies, interest in the analysis of non-literary genres is of more recent date (e.g. Swales 1990, Bhatia 1993). It is only throughout the last decade or so that genre analysis has become popular in a variety of fields, e.g. rhetoric, discourse analysis, cognitive science, computational linguistics, business communication, a.o.

Apart from literary studies, research on genres has been slow to penetrate the field of translation studies, and only little work has been done in this area. An urgent need for dictionaries in a universe with an intensively growing intercultural communication and a subsequent need for translation may have kept research at the level of register analysis with the main focus on the writing of dictionaries.

However, recent developments in applied genre theory and its applications to Language for Special Purposes (LSP) (Swales 1990, Bhatia 1993) seem to have interesting implications for the theory and practice of translation and interpretation of professional discourse. Being prototypical rhetors, LSP specialists such as salesmen, lawyers, politicians, and even editorialists are far more constrained by situational factors than are poets, novelists, dramatists, and the like. Constraints and conventions of specific types of text deserve further attention, just as the value for translation studies needs to be investigated.

The essays in this book explore the possibilities and the problems of generic scholarship with special reference to the translation of a wide range of professional discourse. The book attempts to demonstrate the value of text typology for translation purposes, emphasizing the importance of genre analysis, analysis of communicative functions and text types in a broad sense as a means of studying spoken and written discourse. Sonnets, sagas, fairy tales, novels and feature films, sermons, political speeches, international treaties, instruction leaflets, business letters, academic lectures, academic articles, medical research articles, technical brochures and legal documents are but some of the texts treated in this volume. It is argued that text typology involving genre analysis can help the translator develop strategies that facilitate his/her work and provide awareness of various options as well as constraints. In this book, *text type* is used in a broad sense to refer to any distinct type of text and the notion includes genre.

The central question of the book is: In what ways are translations affected by text types? The two main areas of investigation are: (A.) What are the advantages of focusing on text types when trying to understand the process of translation? How do translators tackle different text types in their daily practice? Is the translator specialization not only conditioned by subject matter, but also by text type? (B.) To what extent and in what areas are text types identical across languages? What similarities and dissimilarities can be observed in text types of original and translated texts? As the essays to follow clearly show, this is a wide-ranging task with many aspects to be explored.

Texts may be classified in multiple ways. As put forward by Simons and Aghazarian (1986: 11), one might profitably view Martin Luther King's letter from Birmingham Jail as "black rhetoric, as southern rhetoric, as protest rhetoric, as ministerial, religious rhetoric, as a species of public letter-writing, and as an apologia of sorts". Likewise, there is no one way of grouping the essays in this volume, and I am aware that any single classification is bound to deflect attention from some of the distinctive characteristics of a particular text type.

The essays in Part I of the book highlight methodological possibilities. For all the interest in genre analysis, there is still some bewilderment as to the extension of the term, just as the criteria to be used for classification and for identification of genre membership are still controversial issues which are the object of much ongoing discussion. For some systemicists, genre is sometimes used in a broad sense to refer to register variation, such as journalistic language, legal language, scientific discourse, etc. Other scholars mix genres with rhetorical types, naming expositions and argumentative texts as genres. How does the classification of genres work? How do genres relate to register and text types? How is the interrelation between the purpose of the communication and the rhetorical strategies determining the text type(s) employed to achieve the intended communicative goal? The essay by Trosborg sets out to explore these issues and presents a differentiated picture of the notions in question.

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What happens to a text when it is translated? And how about translation specific text types, are there text types which exist only as a product of translation? Traditional translation theory speaks of equivalence at the level of the content of the source and target text only. Sager's essay widens the concept of equivalence in translation by examining new translation strategies which change the content of a message, its intention and/or both. Viewed within the diverse communicative environments in which texts occur in practice, we are dealing with messages addressing primary readers, i.e. readers directly addressed by the originator, and messages addressing secondary readers, i.e. readers not addressed directly. Many translations are of the latter kind. However, in order to be communicatively effective, translations have to be modified at the level of the content or the intention so that the recipients of translated messages can be addressed as primary readers wherever appropriate. A new typology of translations, including the existence of translation-specific text types, is established based on these criteria.

Communicative functions relate to the purpose of discourse, an issue which most authors in this volume are concerned with one way or another. These functions are the particular focus of attention for Nord in her framework classifying texts for translation purposes. After explaining her functionality-plus-loyalty model of translation, which combines the criterion of target-text functionality with that of the translator's loyalty towards her/his partners in the translational interaction (source-text sender, client, target-text receivers), the author presents a functional typology of translations, which then serves as a basis for an application of the model to a sample text. She argues that the translator's basic option for either a documentary or an instrumental translation may serve as a guideline for all subsequent decisions as to whether pragmatic aspects, norms and conventions, etc. have to be reproduced from the source text or adapted to target-culture standards in the translation process. In translator training, the translation typology can be complemented by a typology of pragmatic, intercultural, interlingual and text-specific translation problems. Whereas Sager is concerned mainly with a typology of translations as product, Nord's classification focuses on the translation as process.

Kussmaul begins by clarifying some basic concepts of text typology, namely convention, culture and text type. When people produce specific text genres, such as business letters, they can be expected to conform to specific regularities and rules. If they do not, communication may turn out to be difficult or even to break down. A further problem lies in the fact that conventions may differ not only between genres but also between 'identical' genres in different cultures. He observes two overriding aspects: Text-type conventions are interrelated with speech-act rules and with situational dimensions. A change of dimension may result in a change of text type. Kussmaul goes on to discuss macrostructures, mainly for the text type academic writing and looks at the situational dimensions they reflect. Then there is a discussion of various microstructures such as metacommunicative utterances, hedging and directives, again mainly with reference to academic writing but also to some other text types such as instruction leaflets, business letters and regulations. Here again the overall aspect is: Can situational dimensions and specific rules for speech acts be detected? Finally, there is a detailed discussion of the translation of macrostructures and microstructures from a functional point of view. Being concerned with aspects of text type, culture and convention in general, though with reference to specific genres for exemplification, Kussmaul's essay is a forerunner of a number of essays in Part II concerned with the translation problems in relation to particular genres in a cross-cultural perspective.

Although genre has a prominent position in literary studies, the traditions of the old genres of the classics: ballads, odes, sonnets, tragedies, and comedies have been replaced by literary practice in the twentieth century, which seems to throw away convention. Authors break new ground. Howewer, a new genre is always the transformation of one or several old genres: by inversion, by replacement, by combination. A work that rebels against genre equally relies on the reader's recognition of the conventions being rejected. An appreciation of genre is therefore a necessary though not a sufficient condition for an appreciation of literature. But what happens to literary genres in translation? Why is it that some types of text resist translation while others come to enjoy immense popularity in the target culture?

Susan Bassnett is concerned with text type and power. What is the reason that some genres enter a literary system through translation and become accepted, while others are rejected? Susan Bassnett examines the problem of the status of literary texts in the source and target systems. She argues that regardless of the genre, the needs and conventions of the target system will condition what ultimately happens both in the actual process of translation itself and in the fate of the translated texts. Using two examples, the Petrarchan sonnet and the Norse saga, which were received quite differently into the English literary system at different moments in time, she points out the difficulty of generalizing about patterns of literary translation. Both these text types may be seen as potentially innovative for English literature, but only the sonnet made the transition and was accepted into the English system, ultimately to become a canonical form. Although there are obviously many factors to be considered in an analysis of how and why a new text type enters a literary system, it does seem clear that the determining factors reside in the target system, and not in the source system, regardless of the importance of the text, author or text type in that system. The needs and constraints imposed by the receiving literature are paramount.

Literary texts generally defy genre classification according to communicative purpose. Translations of literary texts must inevitably focus on form. The essay by Viggo Hjørnager discusses the relation between the description and criticism of translation, using the author's work on English translations of Hans Christian Andersen for purposes of illustration. The methods described include a discussion of translations as target language literature, a rank-bound linguistic comparison of an original and its translation(s), a study of abbreviated translations, and a contrastive study of vocabulary, phraseology, and idioms. A change of genre (into children's literature) is discussed within the manipulation approach to translation. The article concludes that, while any decent criticism must be based on a description of the translated text, such a description is only interesting for the scholar if it is followed by criticism.

Cross-cultural aspects of text typology are of particular importance in the present context. While cross-cultural variation of spoken language has become a well-established area of discourse study (e.g. Wierzbicka 1985, 1991, Blum-Kulka et al. 1989), very little has been published in the case of written genres. Cultural taboos in the use of numbers, colours and shapes are well-known, high-context cultures and low-context cultures may differ in their approach, etc. It is also well-known that a message can be totally distorted if the implicit culture-specific information or a culture-specific word or an allusion is not grasped by the translator, but to what extent and in what ways are text types affected by culture? Cultural variation and local socio-cultural constraints seem to play a significant role in a number of genres representing specialized texts, as for example business letters, job applications, and some legal genres, while other genres are of the conformative type, in the sense that they are universally conventionalized and rarely show any variation in cross-cultural realization patterns. To gain more knowledge in this area is crucial to the translator. The essays in Part II constitute our probe of problems and possibilities of generic approaches to translation of professional genres in a practical perspective.

The emphasis is on a combination of essential linguistic insights and socio-cognitive and cultural explanations with a concern for the ways in which genre is embedded in sociologically determined communicative activities. The focus of attention is the specific linguistic realisations of genre conventions, which may be culture-specific rather than universal; the aim is a grounded description of language in use bringing in useful explanations of why a particular type of conventional realization of meaning is considered appropriate to a particular institutionalized socio-cultural setting. Of particular interest is: What are the *characteristics of particular text types? To what extent and in what areas are* text types identical/different across languages?

The essays in Part II are grouped according to field. This choice has been made for the convenience of organizing the material, in the knowledge that this is by no means a sufficient criterion for the classification of texts and that a given classification, as a metatextual construction, will always be one among many possible classifications of the text(s) in question. In addition to work on political texts, there is an essay on medical texts highlighting, in particular, features of the medical research, an essay on technical brochures, and one on legal documents.

Schäffner offers a delimitation of political discourse into specific genres. With the growing internationalization of politics, translation too, becomes more and more important. Political genres fulfil different political functions, and each of them displays characteristic contextual, text-typological, pragmatic, etc. features. Therefore, they call for different translation strategies. Using multilingual treaties and documents, speeches and statements by politicians as examples, some translation problems encountered in these texts (German and English) and the strategies employed for their solution in authentic translations (target texts) are discussed. These translation problems concern formal constraints, text-typological conventions, terminological and syntactic conformity in a sequence of intertextually related documents, as well as ideological aspects of political concepts and culture-specific knowledge.

The development of international standardized genres discussed by Schäffner points to hybridisation as the product of a compromise to achieve an internationally accepted standard. This aspect is further developed by Trosborg, who examines documents of the European Union (EU) within a sociocognitive approach to genre. In contrast to political speeches and statements by politicians, which reflect culture-specific conditions of their production, EU documents are a product of a multicultural discourse community; they come into existence as translation-specific hybrid text types, which are characterized by specific features (syntactical, lexical and textual) labelled "Eurojargon". There are no proper source texts and the translations are documents addressing primary readers. As these texts are no doubt marked as products of translation, the status of both the ST and the SL community would have to be reconsidered.

In a world where the dissemination of knowledge and exchange of information is gaining ever greater pace and research has become truly international, medical translation is emerging as a rapidly growing field of specialized translation that presents a host of theoretical as well as practical challenges. The essay by Pilegaard presents a selective review of recent contrastive studies of the translation of medical research articles, and it suggests a number of translation strategies of particular relevance for the medical article, for example adaptation to readership and attention to text focus, cultural presuppositions, and conversational rules at work in the TL, arguing that the principles and rules for the production of medical texts are highly genre-specific. For example, where the case report is mainly descriptive and expository, it is the nature of the research article to be more "experimental" and rhetorical: it raises questions and verifies hypotheses, gives answers and explains cause-effect relationships. In translation, pragmatic modifications must be guided by genre and culture-specific conventions, and a balance between the conventions of the international research paper and the idiosyncrasies of the ST author must be struck in close collaboration between the translator and the author.

Communicative functions in a cross-cultural perspective are the focus of attention in Hare Hansen's article on technical brochures. Questioning the relevance of equivalence, he pays specific attention to culture specific problems in adjusting to the German market. His findings show that a semantic translation from German to Danish is too formal and too rigid and most often ineffective in achieving the intended sales purpose of technical brochures. Instead, the focus should be on pragmatic aspects. A shift from representative to directive/ persuasive function is required when translating from German into Danish. Furthermore, cultural information irrelevant to target culture addressees must be left out. In order to make the desired transformation, the translator must have in depth knowledge of text-type conventions in a cross-cultural perspective as well as marketing qualifications. The purpose is to further the sale of the products and the translation is to be adjusted accordingly.

Bhatia stresses the importance of preserving text-type integrity in translation. Although, in the construction, interpretation and use of professional genres, it is often possible to take a rather liberal attitude towards lexicogrammatical innovations, he argues that it is crucial to maintain generic integrity of the intended genre. Taking examples from legislative contexts, his essay takes the position that in the teaching and learning of translation and interpretation, one needs to understand the rationale for the target genre as a prerequisite. This kind of understanding will go a long way in producing a pragmatically more sucessful translation of the original. Adaptation to readership in terms of "easification" is proposed.

Part III is divided into two sections. The first set of issues to be addressed concerns terminology and lexicon, the second set is devoted to the influence of medium. The first two essays discuss tools assisting the translator in his/her tasks. Works on terminology and lexicon are crucial to the translator. The broadening perspective of language use described in the methodology section and elaborated on in essays devoted to particular genres in Part II is extended to terminological use.

Translators deal with language in use. Yet, as Rogers points out, synonymy and equivalence - relations which are crucial to the translator's task - are represented in dictionaries as lexemes, i.e. at the level of system. In her essay, some implications of the use/system dichotomy are investigated in relation to terminology, the specialized vocabulary of an LSP, from a grammatical and a semantic perspective, focusing in particular on the grammatical category of number and the semantic relationship of collocability. Using an English and German bilingual corpus of texts from genetic engineering, it is shown that the relations of synonymy and equivalence, if seen as relations between word forms rather than as relations between lexemes, are more complex than either semasiological or onomasiological models generally predict. The discussion focuses on four synonyms in each language and their role in the formation of single-word and multiword compounds; potential equivalents are then considered. It is concluded that the probabilistic tendencies identified on the basis of the text corpus are not amenable to standardization, often seen as a goal of terminology work.

Picchi and Peters present machine-readable corpora and specialized lexicons as the translator's indispensable workstation. The essay is divided into two parts. The first discusses some of the latest trends in the fields of computational lexicography and corpus linguistics that are of direct relevance to the translation of particular genres and studies of the translation process. The second part of the article concentrates on describing the two main components of a prototypical Translator's Workstation designed by the authors: the bilingual lexical database system and the bilingual text management system. Examples of how these systems can be queried and the type of results that can be obtained are given; their potential for all kinds of cross-language applications, e.g. bilingual lexicography, translating and language learning activities, is described.

The constraints of *mode* and *medium* is the subject in the last three essays in Part III. A type of text may be principally characterized by its use of a particular medium or means of communication. Memos, telegrams, e-mail, etc. are not classified primarily by their communicative goals or rhetorical designs, rather, they stand out by their medium of communication, and dubbing and subtitling are translation methods resulting in translation specific text types.

The audio-medial text type is characterized by its complex mode of expression. Translation problems in connection with mediation between the written and the spoken medium are discussed by Snell-Hornby. Her essay revives the term *audio-medial* introduced by Katharina Reiss in 1971, but it uses it in a strictly limited sense to refer to a text - such as a political speech, an academic lecture or a TV manuscript reporting the news - which has been written to be spoken aloud, and hence perceived audio-medially by its recipient. Rhetoric and speakability play an important part - examples analyzed are part of a

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