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TRANSLATION: THEORY AND PRACTICE

(Dịch thuật: Lí luận và thực tiễn)

A TEXTBOOK FOR SENIOR STUDENTS OF ENGLISH

NHÀ XUẤT BẢN GIÁO DỤC

10-2006/CXB/173-2018/GD

Mã số : 7X420M6-DAI

Acknowledgements

This textbook has been growing steadily with pilot versions of parts of it emerging over a period of 1997 – 1999 as teaching materials and papers, but most of the whole was only brought together as a complete first draft by dint of 4 weeks of Tet Holiday of 1999 – 2000 and 6 others following it in my private home. The time and the place were significant. Home, sweet home, was, in many ways, an ideal place to write, quiet and in the 'Spring' of 2000, wet and cold. It was, as an English proverb might have said, 'an ill blow that winds nobody's heart'. The cold and wet spring was my gain, since the temptation to go out was not there to be resisted. After a number of years' trial, I am now happy to have the textbook officially published.

In completing this textbook, I owe a particular debt of gratitude to the Hanoi Open University Faculty of English. I thank them for providing support which allowed me to try some of the contents in this book in three successive academic years of 1997 – 1998, 1998 – 1999, and 1999 – 2000. And after this period, the first version of the textbook was published in-house to serve senior students of English and was then allowed to be tried for four more years under the teaching of myself and other colleagues at the Department of English and American Language & Cultures, Hanoi National University College of Foreign Languages, the Faculty of English, Hanoi University of Education and the Faculty of English, Hanoi Open University.

In particular, my thanks go to Assoc. Prof. Dr. Phan Van Que, Vice Rector of the Hanoi Open University and Dean of the Faculty of English, Mr. Dang Ngoc Huong, Vice Dean,

Dr. Nguyen Dang Suu, Vice Dean, Mr. Nguyen Van Co, Vice Dean, Mrs. Nguyen Van Dong, Mr. Ho Ngoc Trung and many others for encouraging me to write this textbook and providing constructive comments on its final version.

In addition, I would like to thank the 4th year students of the Faculty of English, Hanoi Open University, the 4th year students of the Department of English and American Language and Cultures, Hanoi Ndtional University College of Foreign Languages on whom I tried out much of this textbook over a period of seven or eight years.

Finally, I must acknowledge the support my wife and members of my family have given me during the preparation, the writing and the revision to make it the present textbook.

In spite of all the assistance which I have received, there still remain many faults in the textbook. For these I am, of course, solely responsible.

Hanoi October, 2005

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"Do we really know how we translate or what we translate? ... Are we to accept 'naked ideas' as the means of crossing from one language to another? ... Translators know they cross over but do not know by what sort of bridge. They often re-cross by a different bridge to check up again. Sometimes they fall over the parapet into limbo."

(J. R. Firth 1957: 197)

CHAPTER 1

CURRENT VIEWS ON TRANSLATION

1.1. General Introduction

Translation is an activity of enormous importance in our modern world. Nowadays, translation has become a profession. It consists of staff translators, freelancers, contract translators, terminologists, and pre- and post- editors in machine translation. The format of translation has partly moved away from books to reports, contracts, brochures, journals and magazines, instructions, and advertisements; its topics range from literature to every type of information with great emphasis to science and technology. According to Newmark (1988a), in 1984 alone about 150 million pages were translated, employing 175.000 translators. The EEC (European Economic Community) at Brussels employed 2500 translators and 500 interpreters. In 1957 the International Federation of Translators (FIT) was founded and now it has about 60 national members. Translation has been given greater prominence as a consequence of a number of international developments. These include the increase in the number of international organisations, the recognition of minority language groups in most countries in the world; world-wide trade and international trade.

Translation has been the subject of interest not only to linguists, professional and amateur translators, and language teachers but also to electronic engineers and mathematicians. A great number of books and articles have been written about this area of human knowledge. However, "What is translation?" is still a

question in need of research. The reason is that writers on translation seem to look at translation from different perspectives. The result is that translation appears to be a complex process.

The following quotes taken from different sources provide an overview of the range of diversity of opinions on the concept of translation:

1. Translation consists in reproducing in the receptor language the closest natural equivalent of the source language message, first in terms of meaning and secondly in terms of style. (Nida & Taber 1974: 12)
2. Translation is the replacement of textual material in one language (source language) by equivalent textual material in another language (target language). (Catford 1965: 20)
3. Translation is the replacement of a representation of a text in one language by a representation of another equivalent text in a second language. (Hartmann & Stock 1972: 713)
4. Translation is the expression in another language (or target language) of what has been expressed in another (source language), preserving semantic and stylistic equivalencies. (Dubois 1973, cited in Bell 1991: 5)
5. Translation is a procedure which leads from a written SL text to an optimally equivalent TL text, and which requires the syntactic, semantic, stylistic and text pragmatic comprehension by the translator of the original text. (Wilss 1982a: 112)
6. Translation, as the process of conveying messages across linguistic and cultural barriers, is an eminently communicative activity, one whose use could well be considered in a wider

range of teaching situations than may currently be the case. (Tudor, cited in Duff 1989: 5)

7. Translating is a communicative process which takes place within a social context. (Hatim & Mason 1990: 3)
8. Translating is the transformation of a text originally in one language into an equivalent text in a different language retaining, as far as possible, the content of the message, and the formal features and the roles of the original text. (Bell 1991: XIII).

From the above definitions, we can see how complex the concept of translation is. The complexity of the concept is compounded when we consider the following contradictory principles:

1. A translation must give the words of the original.
2. A translation must give the ideas of the original.
3. A translation should read like an original work.
4. A translation should read like a translation.
5. A translation should reflect the style of the original.
6. A translation should possess the style of the translator.
7. A translation should read as a contemporary of the original.
8. A translation should read as a contemporary of the translator.
9. A translation may add to or omit from the original.
10. A translation may never add to or omit from the original.
11. A translation of verse should be in prose.
12. A translation of verse should be in verse.

(Savory 1968: 50)

As can be seen, translation has been variously defined and ideas on translation are diversified and contradictory. To some people, the concept of translation is so complex that

> No simple theory or set of rules can ever suffice to provide meaningful answers to what has been described as 'probably the most complex type of event yet produced in the evolution of cosmos'.
>
> (Brislin 1976: 79)

Therefore, in this chapter we shall try to be selective, reviewing briefly the ideas on translation as put forward by some of the most prominent translation theorists. Among the various scholars who have studied translation, five are representative: Nida, Catford, Wilss, Hatim & Mason, and Bell.

1.2. Nida

Nida is not only a famous linguist but also a famous translation theorist and practitioner. His international reputation as a specialist in Bible translation rests on his series of articles and books which he applied insights gained from linguistics, anthropology, communication, and other related branches of modern knowledge. His major contribution to translation studies is represented in *Towards a Science of Translation* (1964), *The Theory and Practice of Translation* (1974), *Language Structure and Translation* (1975) which broaden his earlier approach to a more comprehensive view of translation with focus on the role of the receptor.

Underlying Nida's approach to translation is the conviction that anything that can be said in one language can be said in another with reasonable accuracy by establishing equivalent points of reference in the receptor's culture and matching his cognitive

framework by restructuring the constitutive elements of the message. In *The Theory and Practice of Translation* co-authored with Taber, Nida (in Nida & Taber 1974) discusses three main points: (i) new concept of translation, (ii) the nature of translating, and (iii) the translation procedures.

Discussing the first issue, Nida's fundamentally new concept of translation involves a shift of focus from form to meaning. For Nida, understanding is one of the key issues in translation. He states:

> When a high percentage of people misunderstand a rendering, it cannot be regarded as a legitimate translation.

Nida recommends that translation should not be so engrossed with stylistic details that the very act of translation becomes impossible. This is an important recommendation because when the cultural distance between the source language (SL) and the target language (TL) is extended, it would be difficult to preserve the style of the source language text (SLT).

Apart from the discussion of the shift of focus from form to meaning, Nida is concerned with the formal characteristics of language. He suggests that each language has its special features such as word-building capacities, unique patterns of phrase, techniques for linking clauses, makers of discourse etc. These are, he maintains, the features that make one language distinctive from the other which the translator should be aware of. What Nida really wishes to arrive at is that in translating one must respect these features of the SL and rather than replicating the patterns of the SL, one must exploit the potentialities of the TL so as to make changes which may be necessary to produce the message in the distinctive structural forms of the TL. Nida emphasises that in

translating the translator must attempt to reproduce the meaning of a passage as understood by the writer. This is crucial because it implies that in translating a text from one language into another, in order to achieve translation equivalence, the intention or the intended meaning of the writer should be an important factor to be taken into consideration.

Discussing the role of meaning as more important than form, Nida suggests that in order to preserve the meaning, the form must be changed if necessary. This is also a crucial point as it may happen in translation practice that a meaning which is expressed by a single word in one language may require a phrase or even a clause to be expressed in the Target Language.

Nida's discussion of the nature of translating and translation may be the most relevant points for our purposes. In the translating process, Nida lays emphasis on the role of grammatical analysis. He is critical of the approach where it is assumed that one can translate without knowing anything about linguistics, and where translation has been regarded only as a complicated form of talking or writing in which one decodes from one language and encodes into another. For Nida, this is a false assumption. He argues that a careful analysis of what exactly goes on in the process of translating has shown that instead of going directly from one set of surface structures to another, a competent translator actually goes through a three-stage process: Analysis, Transfer, and Restructuring. According to this process, the translator first analyses the message of the SLT into its simplest and structurally clearest forms, transfers the analysed material in his mind from the SL to the TL which is the most appropriate for the audience who s/he intends to reach. Nida's three-stage procedure of translation can be represented as follows:

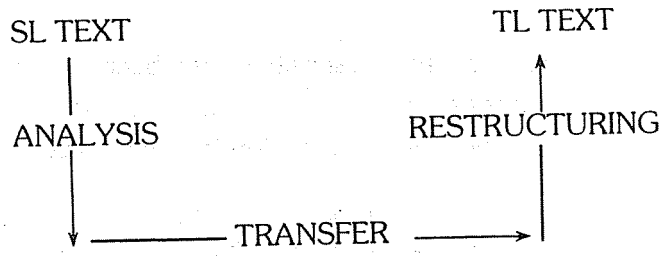

Figure 1. Nida's Process of Translating (from Nida 1975: 80)

Unfortunately, what exactly goes on in the transfer stage is not discussed in Nida's model. However, concerning the analysis stage Nida warns the translator that the processes are relatively complex. They involve different sets of features: (i) the grammatical relationship between constituent parts, (ii) the referential meanings of the semantic units, and (iii) the connotative values of the grammatical structures and semantic units.

1.3. Catford

A follower of Firth's and a contemporary of Halliday's, Catford (1965) published a 'lucid, succinct and penetrating little book' (Gregory 1980: 460) entitled *A Linguistic Theory of Translation*. Applying the framework of the Hallidayan systemic functional model of language to translation, Catford has fruitfully provided an analysis of what translation is. Apart from this he has also categorised a number of issues such as translation shifts between levels: word classes, units (rank-shifts) and system; formal correspondence, kinds of translation; translation equivalence and meaning and so on. One of the most interesting points in Catford's theory of translation is his distinction between context of situation (see Chapter 2 Section 2.2) and co-text of text (see Chapter 4). This distinction is useful not only for linguists but also for

translators because without the help of context and co-text it would be very difficult to understand the meaning(s) of a text.

Catford defines translation as

> the replacement of textual material of one language (source language) by equivalent textual material in another language (target language). (Catford 1965: 20)

Two crucial points need comments here: 'textual material' and 'equivalence'.

According to Catford, 'textual material' is used rather than 'text' to cater for the fact that normally it is not the linguistic entirety of a source language text which is translated: that is, replaced by target language equivalents. Simple replacement by target language material may be taking place at one or more levels of language. An example Catford provides for illustration is the translation of the English text *What time is it?* into French *Quell heure est-il?* He explains that in this translation there is replacement of source language graphology – but the target language graphological form is by no means a translation equivalence of the source language graphological form.

In discussing 'equivalence', Catford distinguishes between it as an empirical phenomenon and as a theoretical consideration. He suggests that empirically, equivalence is discovered by comparing source language and target language by way of informants and by way of commutation and observation; and theoretically we are interested in identifying the conditions or justification of translation equivalence (p. 28).

Meaning appears to be a very important issue in Catford's theory of translation. Following Firth (1957) and Firth in Palmer Ed. (1968) who sees the whole problem of translation as lying in

the realm of semantics and meaning as an essential property of language, Catford (1965: 35) defines meaning as

> the total network of relations entered into by any linguistic form.

Catford suggests that the relations can be formal and contextual, with the implication that the form can have formal or contextual meaning.

With regard to text, Catford defines it as

> any stretch of language, spoken or written which is under discussion. According to circumstances, a text may thus be a whole library of books, a single volume, a chapter, a paragraph, a sentence, a clause etc.

Another crucial point discussed in Catford's model is the distinction between different types of translation. These are: (i) full and partial translation, (ii) total and restricted translation, and (iii) unbounded and rank-bounded translation. For him, full translation refers to the translation of a whole text, while partial translation refers to the translation of only part of the text; total translation refers to the translation at all levels of language, while restricted translation refers to the translation in which only one linguistic level is translated; and unbounded translation means the translation which involves translation shifts of the source language and target language equivalences shunt up and down the rank scale, whereas rank-bounded translation consists of a deliberate selection of translation equivalents at corresponding levels.

This classification of translation types is useful because in translating a text from one language into another the translator will have to ask himself/herself a number of questions. Among them there may be: What kind of text is it? What is the text about? Who is the text producer? Who is the translation for? And more

importantly, What are the requirements of the orderer? and so on. On the basis of these questions, the translator will have to decide the kind of translation which s/he thinks may be appropriate for his/her purpose. (For more detail of kinds of translation, see Chapter 5).

1.4. Wilss

Wilss' area of interest in translation theory is rather wide, covering many issues including machine translation. From his books and articles, it seems that he has a particular interest in translating texts which belong to the realm of language for specific purposes (LSP). In the book entitled *The Science of Translation* (1982a) and the article entitled *Translation Equivalence* (1982b), Wilss discusses a number of issues such as the process of translation, translation equivalence, the links between text linguistics and translation and issues of translator training.

With regard to the process of translation, while still recognising a three-stage model postulated by Nida (1975), Wilss himself prefers a two-stage model. He states:

> Within a communicative framework of translation, we must start from the assumption that translation is a combination of two consecutive operations: a source text-analytical operation and a target language text-synthetical or text-reproductive operation. (Wilss 1982b: 4)

To Wilss, a two-stage model appears suitable because it is, as he assumes, concise and plausible. He grants that a three-stage model may be suitable for machine translation. His preferred model of translation may be represented in the following diagramme:

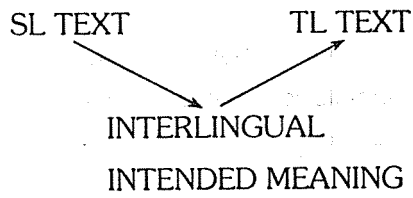

Figure 1.2. Wilss' Model of Translation

(From Wills 1982a: 81)

To accommodate the idea of both content and style, Wilss modifies his model in the following ways:

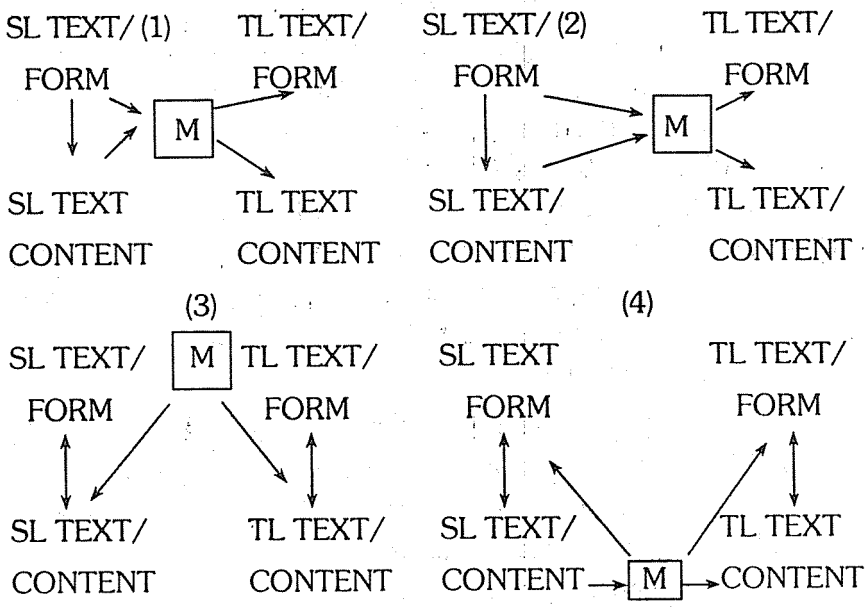

Figure 1.3. Wilss' Modified Models of Translation

(From Wilss 1982a: 82-3)

Note : M = Mind

In discussing the issue of translation equivalence, Wilss (1982b) admits that there is hardly other concept in translation theory which has produced as many contradictory statements and has set off as many attempts at an adequate definition as the concept of TE between the source language text and the target language text. To Wilss, translation equivalence cannot be integrated in a general translation theory. Rather, it must be seen as part of specific translation which is at best text-type related or even more restrictively single-text oriented. He explains that the relative indeterminacy of the concept of translation equivalence is due to three main sources: (i) translator-specific, (ii) text-specific, and (iii) receptor-specific. To solve this problem, he suggests, the science of translation should adopt a linguistic approach (e.g., Catford's), a communicative approach (e.g., Nida's), and a translational approach (e.g., Neubert's) (for a more detailed discussion of this point, see Wilss 1982a, 1982b).

The links between linguistics and translation can be seen in Wilss' text-based definition of translation. He argues that since translation is always text-oriented, the definition should be text-based. Thus

> Translation is a transfer process which aims at the transformation of a written source language text into an optimally equivalent target language text, and which requires the syntactic, the semantic and the pragmatic understanding and analytical processing of the source language text. (Wilss 1982b: 3)

Concerning the issue of translator training, Wilss suggests:

> An optimal source language/target language transfer of a text presupposes an exhaustive analysis of the text to be translated in its semantic, stylistic and pragmatic dimensions. The translation linguistic therefore, in order to help the translator student to fully

> exploit his/her text analytical capabilities, must develop procedures for a text linguistically sound factorisation of the source language text and thus objectify the translation from the source language to the target language. (Wilss 1982a: 118)

These suggestions are crucial because they not only underline the importance of text analysis in the translating process but also broaden the dimension of such analysis.

1.5. Hatim & Mason

Translation is not a black and white affair. There is no one translation of a text, and the translator's work or his/her art is an obstacle course of decisions to be taken. These ideas are reflected vividly in different guises throughout the book *Discourse and the Translator* by Hatim & Mason (1990). The aim of the book, which addresses translators, interpreters, teachers, students and others working in the field of languages in contact, is to relate an integrated account of discourse process to the practical concern of the translator. The book covers a great number of issues which have been raised in translation theory and practice such as translation and translating, free vs. literal translation, human and machine translation, register analysis, intertextuality, intentionality and so on (for detail, see Hatim & Mason 1990).

Underlying Hatim & Masons' approach to translation is the idea that translating is a process. They define translating as a 'communicative process which takes place within a social context' (p. 3) and see the role of the translator as a 'mediator between a SL text and its author and the target language reader' (p. 223).

It is interesting to see translation getting away from such questions as to whether translation is possible, and the question of what is the best target language translation of a given source

language word/expression/form. Unlike Nida and Wilss who do not discuss the unit of translation, Hatim & Mason clearly bring out the fact that translators do not translate words, phrases or even sentences, but they translate texts. According to Hatim & Mason, to achieve this goal the translator must go beyond words and their combinations to what lies behind them. What seems to be theoretically crucial is that translation theory is finally taking account of pragmatics.

Hatim & Mason fully recognise that context is the foundation upon which decisions must be based. For Hatim & Mason, context is 'the extra-textual environment which exerts a determining influence on language' (p. 240).

Discussing the importance of pragmatics to translation process, Hatim & Mason claim that translation choice must be based on maintaining the pragmatic linguistic effect of a text. They disclaim any intention of teaching translators how to translate. What they do is to describe the features of discourse analysis with emphasis on Halliday and Hasan (1976), Brown and Yule (1983), de Beaugrande & Dressler (1981), Grice's (1975) co-operative principle, and semiotics. They then apply these insights to the translating process, usually keeping English as the language of exemplification.

Concerning the issue of text interpretation, Hatim & Mason introduce three dimensions of context with each of their relevant components in relation to translation. These dimensions may be outlined as follows:

Communicative dimension (transaction)

- field
- tenor
- mode

Pragmatic dimension (interaction)

- intentionality
- speech act sequence
- implicature
- inference

Semiotic dimension

- intertextuality
- signs
- genre
- discourse
- texts

What seems to be relevant to the translation practice is that while these contextual factors are probably universally relevant in language use, ways of realising them may be not. For Hatim & Mason, cultural context is an important factor in determining structural arrangement. They suggest that where two languages do not share a structural pattern, the translator has to consider the relationship between context and structure. Following Hasan (1985), they submit that the 'use of any given structure is motivated by the way the text users react to context' (p. 169). A translator then, they maintain, pursues the rhetorical purpose for which the source language was written and is allowed to make necessary changes to achieve the same effect in the target language.

One of the most interesting points in Hatim & Masons' model of translation is that it brings out the importance of intertextual network any given text creates and to the necessity that a translator take this into account. The authors then provide a

framework for the analysis of textual reference in order to help the translator overcome intertextual problems.

Hatim & Mason do not explicitly discuss the translating procedure. However, from the list of problems they provide, and which are thought to be commonly faced by the translator at work, one may recognise a three-stage model in the translation process:

1. Comprehension of source text

a. parsing the text (grammar and lexis)

b. access to specialised knowledge

c. access to intended meaning

2. Transfer of meaning

a. relaying lexical meaning

b. relaying grammatical meaning

c. relaying rhetorical meaning, including applied or inferable meaning, for potential readers

3. Assessment of target text

a. readability

b. conforming to generic and discoursal target langauge convention

c. judging adequacy of translation for specified purpose

Emphasising the contribution of linguistic theory to translation, Hatim & Mason maintain that this checklist can also serve as a guide to the point at which linguistic theory might be expected to be relevant to translation practice. They further state:

> Many areas of social life called for investigation from a linguistic standpoint: the teaching of modern language, the treatment of language disorders, the role of language planning policy in emergent nations, and, of course translation (Hatim & mason *Ibid.*: 22)

On the whole, Hatim & Masons' book is 'probably one of the most comprehensive treatments of the subject in the translation literature' (Adiono 1991: 37). The book offers translators linguistic and pragmatic bases to function by, and more importantly, it provides translators with guidelines as they make their way, decision after decision, through a text.

1.6. Bell

The essential argument of Bell's book *Translation and Translating: Theory and Practice* (1991), as the author claims, rests on three assumptions: (i) the misunderstanding by both translation theorists and linguists of what is involved in translation, (ii) the failure to build a theory of translation which is at all satisfactory from the point of view of a theory or an applied science, and (iii) the co-occurrence of the advances of cognitive science, artificial intelligence, text linguistics especially with the emergence of a genuinely socially and semantically based functional theory of linguistics – namely systemic functional linguistics.

In a paper on linguistics and machine translation written in 1960, Halliday (cited in Bell 1991: XIII) remarked:

> It might be of interest to set up a linguistic model of the translation process starting not from any preconceived notions from outside the field of language study, but on the basis of linguistic concepts such as are relevant to the description of languages as modes of activity in their own right.

It is precisely this idea that Bell has taken up as the goal of his book: to build a model of the process of translating, setting it particularly within a systemic functional model of language. Bell (1991: XIII) states:

> The goal of this book is to outline the kind of the knowledge and skills which we believe must underlie the practical abilities of the translator and to build this outline into a model of the translation process.

Like *Discourse and the Translator* by Hatim & Mason, Bell's book covers a great number of both theoretical and practical issues of translation such as translation, translator, translation theory, translator's knowledge and skills, word meaning, sentence meaning, discourse meaning and so on.

Bell addresses these issues in a systematic way, beginning with the perspective of one professionally concerned with translation, and focuses on three major points: a focus on model, a focus on meaning, and a focus on memory.

With regard to the first point, it is interesting to see that 'model' in Bell's sense is 'not simply a theoretical construct, a set of principles for the understanding of natural phenomena, a representation of explanation; it is also a model in the sense of an objective, a yardstick against which translators and their translation can be evaluated and assessed' (Candlin: General Editor's Preface in Bell 1991). The author asks a question 'What is translation and how may we best describe it?'. In answer, he, like Hatim & Mason, distinguishes translation as process from translation as product, and then proposes the building of a model of the process of translating, taking into account several issues such as the knowledge and skills of the translator, the actual task the translator often has to perform when s/he translates a text etc.

In the second part – a focus on meaning – Bell sets traditional word meaning, sentence meaning, semantic sense and communicative value within a systematic functional model of language and links them with text/discourse.

Emphasising the importance of semantic sense (logic and grammar) to translation, the Bell devotes one separate chapter to investigating the nature of (i) cognitive meaning and its expression through the system of TRANSITIVITY, (ii) interactional meaning and its expression through the systems of MOOD and MODALITY, and (iii) discoursal meaning and its expression through the systems of THEME. According to Bell (1991: XVI) semantic sense is extended to include the ideational, interpersonal and textual macrofunctions of language and the logical, grammatical and rhetorical systems which realise them. This inclusion, according to Candlin in Bell (1991), is vital since only those whose view of translation has been ineluctably reduced to the present capacities of the machine will see meaning in translation as being only a matter of ideas and facts.

Part three – a focus on memory – concentrates on two fundamental aspects of information, memory and knowledge which are of great importance to any understanding of the translation process. Bell analyses in some detail the knowledge and skills text processors possess which allow them to investigate meaning through texts and shows how communicators activate the knowledge and skills they have to analyse (read) and synthesise (write) texts. It seems from his discussion that the negotiation of the meaning of texts is not just a sociolinguistic matter, it is a psycholinguistic one as well. This is also an important point which not only linguists but also translation theorists and translators should take into account.

To sum up, *Translation and Translating: Theory and Practice* provides the translator with many new and systematic insights into the nature and the process of translation. The systemic functional model of translation as developed by Bell is of

both theoretical and practical significance for the translator because, as Candlin (1991) remarks, it is not only a model for analysing and synthesising texts but also a model for evaluating the translation process.

1.7. Summary

In this chapter, we have discussed a number of translation theories as developed by different translation scholars in Europe and North America. For convenience, we did not present the theories by issues but by authors, starting from Nida, an eminent translation scholar in Bible translation and finishing with Bell whose theory has drawn on various insights from modern linguistics, psychology, pragmatics, textlinguistics, and communication theory. Up to this point, it is necessary to bring all the theories together to establish a kind of starting point and a theoretical framework for the chapters that follow.

Given the diversity of ideas in the theories, the following issues are commonly shared by the theorists:

1. Context and co-text are important factors in determining not only the meaning of the source language text but also the structural arrangement of the target language text.
2. Meaning is the key issue in translation.
3. Depending on the type of text, the ultimate goal of translation can be communicative or idiomatic (semantic).
4. Grammatical analysis of the source language text is important.
5. The intention of the text writer is an important factor that should be taken into consideration in the translating process.
6. Equivalance is the key concept in translation.

7. Translation shifts (the term postulated by Catford) is possible in all kinds of translation.
8. Target readership should be an important factor for determining the legitimacy of a translated text.
9. Translation is both an art and a science. It is an art in the sense that it is performed by human beings and human beings are creative. It is a science in the sense that it is a process going through different stages: analysis, transfer and restructuring as suggested by Nida and Hatim & Mason, and Wilss.

Now that we have finished Chapter 1, we turn to Chapter 2 where we will explore the role of contextual analysis in translation.

CHAPTER 2

THE ROLE OF CONTEXTUAL ANALYSIS IN TRANSLATION

2.1. Introduction

In Chapter 1, we looked at the notion of translation. We pointed out that translation is a very complex process and should be conceptualised from different perspectives. We also agreed that translating is a process which consists of a number of steps, some of which seem to occur simultaneously and others seem to occur one after another in the mind of the translator. In this chapter, an attempt is made to look at the role of contextual analysis in the translating process. To understand the importance of contextual analysis in translation, let us consider the following examples.

Text 1

– *Excuse me!*

...

– *Excuse me!*

– *What?*

– *I feel sick.*

– *What did you say?*

– *I said I felt sick. I don't feel well.*

– *You'll be all right.*

– *I think I'm going to be sick. It must be the hot dog I had outside. It'll go off.*

– I feel awful. All hot and dizzy.

– You are going to faint, are you?

– I don't know what I'm going to do. I just feel awful.

Text 2

..., it wears its skeleton on the outside – a marvellous chemical compound called chitin which sheathes the whole of its body. This flexible armour is tremendously tough, light and shatterproof, and resistant to alkali and acid compounds which would eat the clothing, flesh and bones of man. To it are attached muscles so arranged around catapult-like hind legs as to enable it to hop, if so diminutive a term can describe so prodigious a leap as ten or twelve feet – about 150 times the length of the one-inch or so long insect. The equivalent feet for a man would be a casual jump, from a standing position, over the Washington Monument.

Before we could go further, the following questions should be raised for exploration:

1. By whom and for whom were these texts written?
2. What is each text about?
3. What type of text is each of them?
4. Are these texts of spoken or written style?
5. Is the language used in each text formal, informal, or neutral?
6. If translated into Vietnamese, who do you think will be the target reader of each text?

All the above questions are intended to show that in translating a text from one language into another, the first task the translator has to do is to analyse the context in which the text occurs.

Linguists have offered a number of models for contextual analysis, but in this chapter we shall select only four representative models which we think are relevant and useful to the translator at work: Malinowski's model, Firth's model, Hymes' model, and Halliday's model.

2.2. Malinowski: Context of Situation and Context of Culture

Malinowski was a great British anthropologist. To understand his contribution to linguistics in general and translation in particular, a recount of what he had researched in these fields is necessary.

Malinowski undertook many researches in a group of islands in the South Pacific known as the Trobriand Islands whose inhabitants lived mainly by fishing and gardening and their language is known as Kiriwinian. When doing researches there, Malinowski found himself difficult to communicate freely with the islanders in this language. He did all his field work among the island people using their own language. He then came to the problem of how to interpret his ideas on the culture to English-speaking readers. He collected many texts in Kiwirinian, but he had problems in rendering them into English in such a way as to make it intelligible. The culture that he was doing research was quite different from the culture of Westerners.

In interpreting these texts, Malinowski adopted a number of methods. He used a free translation. This method was intelligible, but conveyed nothing of the language or the culture. He used a literal translation. This method mimicked the structure of the original language, but was unintelligible to the English reader. He then had to provide a rather extended commentary. This commentary was not the same thing as the kind of commentary a

classical philologist engaged when he or she edited or translated some ancient written text. Rather, it was the kind of commentary that placed the text in its environment. Malinowski needed a term that could express the total environment, including the verbal environment and the situation in which the text occurred. So with some apologies, in an article published in 1923, he coined the term CONTEXT OF SITUATION. Context of situation, in Malinowski's sense, refers to the environment of the text.

As a great anthropologist and a gifted linguist, Malinowski studied the language used in fishing expedition when the islanders went in their canoes outside the lagoon into the open sea to fish; when they had caught a cargo of fish, they had problems of navigating a difficult course through the reefs and back to the lagoon. As they came in, they were constantly in communication with those on the shore. They shouted instructions to each other and their talks sounded like an aircraft which was coming in to land. Furthermore, there was an element of competition, a race between the different canoes. This kind of language is pragmatic language. It was language in action and it was impossible to understand the message unless you know what was going on, unless you had some sort of audio-video record of what was actually happening at the time. Malinowski provided this account in his book. He described the fishing expedition. He described the return of the canoes and the way in which the people in the boats and the people on the shore were interacting with each other.

Malinowski realised that in order to understand more about the meaning of a text, it was necessary to provide more than the immediate environment. He also saw that to have any adequate description, it was necessary to provide information not only about what was happening at the time but also the total cultural background. This is because, involved in any kind of linguistic

interaction were not only the immediate sights and sounds surrounding the event but the whole cultural history behind the participants, and behind the kind of practices that they were engaging in, determining their significance for the culture, whether practical or ritual. All these play a part in the interpretation of meaning. This kind of environment is bigger than CONTEXT OF SITUATION and is thought to embrace it, and Malinowski gave it the term CONTEXT OF CULTURE. Both of these terms CONTEXT OF SITUATION and CONTEXT OF CULTURE, he considered, were necessary for the adequate understanding of the text. They are the bases for other linguists to develop their models of context which will be presented in the sections that follow.

2.3. Firth's Model of Context

In discourse analysis as well as in translation studies we often hear people mention the term 'context' but 'what exactly does this term refer to?' is still a question in need of exploration. Perhaps the first man who viewed context as a schematic construct was the late professor of general linguistics at the University of London J.R. Firth. Unlike most linguists of his time, Firth saw linguistics as the study of meaning and to him all meaning was function in context (1935). Drawing on Malinowski's model, Firth designed his model for contextual analysis which may be represented as follows:

A. The relevant features of participants: persons, personalities. (i.e. the participants in the situation. This category corresponds more or less to what sociologists would regard as the statuses and roles of the participants)

(i) The verbal action of the participants

(ii) The non-verbal action of the participants (i.e. what they are doing)

B. The relevant objects. (i.e. the surrounding objects and events, in so far as they have some bearing on what is going on).

C. The effect of the verbal action. (i.e. what changes were brought about by what the participants in the situation had to say).

According to Firth, the context of situation as such is a convenient abstraction at the social level of analysis and forms the basis of the hierarchy of techniques for the statement of meaning. When we hear a piece of language like *I'm going to get one for Bert*, we can analyse the context in which it occurs by asking ourselves a number of questions such as *What is the minimum number of the participants? Three? Four? Where might it happen? Where is Bert, Outside? Or playing football? What are the relevant objects? What is the effect of the sentence?* etc.

2.4. Hymes' Model of Context

In his research on the ethnography of communication, Hymes (1964) proposed a set of ten concepts or parameters for describing the context of a discourse, which were in many ways similar to Firth. His model of context may be represented as follows:

i. addressor and addressee	vi code
ii. audience	vii. massage-form
iii. topic	viii. event
iv. setting	ix. key
v. channel	x. purpose

According to Hymes, **addressor** and **addressee** constitute what he later (1967) called the participants. Addressor refers to the speaker or writer, i.e., one who produces the utterance, and addressee refers to the hearer or reader, i.e., one who receives or

decodes the utterance. **Audience**, in his terms, are the overhearer or unintended addressees. **Topic** tells us about the range of language used. **Setting** refers to where (location or place) and when (time) the text or communicational interaction takes place. This includes also things like posture, gesture, and facial expression. **Channel** refers to how the contact between the participants is maintained: spoken or written, linguistic (i.e. by means of language) or non-linguistic (i.e. by means of signs or signals). **Code** refers to what language, or dialect or style of language being used. **Message-form** tells us about the forms intended; whether the piece of language is a sermon, a fairytale, a love story, a lecture etc. **Event** tells us about the nature of the communicative event within which a text may be embedded. **Key** involves your evaluation (in this case you stand as the observer and evaluator of the text) of the text; i.e. whether the text is a good speech, a good lecture, or an interesting seminar on language teaching. And **Purpose** refers to the outcome which the participants wish to happen.

Hymes' work led to a renewal of interest in the different ways in which language is used in different cultures – the value placed on speech, the various rhetorical modes that are recognised (see the work by Cazden *et al.* 1972 and Bauman & Sherzer 1974).

2.5. Halliday's Model of Context

It often happens in human communication that one speaker may predict what the other person is going to say next. The question is: "How do we make these predictions?". The first step toward the answer is: "We make them from the context of

situation." The situation in which the text or the linguistic interaction takes place gives the participants a great deal of information about the meanings that are being exchanged, and the meanings that are likely to be exchanged. And the kind of description or interpretation of the context of situation that is going to be the most adequate for the linguist is one that characterises it in those terms – in terms that enable him or her to make predictions about meanings of a kind that will help to explain how people interact.

Based on the assumptions above, Halliday in Halliday & Hasan (1989) develops a model for contextual analysis which consists of three components or parameters: field (of discourse), tenor (of discourse), and mode (of discourse). His model of context can be represented as follows:

1. Field of discourse refers to what is happening, to the nature of the social action that is taking place: what is it that the participants are engaged in, in which the language figures as some essential components?

2. Tenor of discourse refers to who is taking part, to the nature of the participants, their statuses and roles: what kind of role relationships of one kind or another, both the types of speech role that they are taking on in the dialogue and the whole cluster of socially significant relationships in which they are involved?

3. Mode of discourse refers to what part the language is playing, what it is that the participants are expecting the language to do for them in that situation: the symbolic organisation of the text, the status that it has, and its function in the context, including the channel (is it spoken or written or some combination of the two?) and also the rhetorical mode, what is being achieved by the

text in terms of such categories as persuasive, expository, didactic, and the like.

(Halliday in Halliday & Hasan 1989: 12)

Halliday in Halliday & Hasan (*Ibid.*) provides a sample of contextual analysis of a text as follows:

Text 2.1

Transfer of Whole (Freehold or leasehold)

Title number – SY 43271604

Property – 14 Twintree Avenue, Minford

In consideration of ten thousand five hundred pounds the receipt whereof is hereby acknowledged

I, Herbert William Timms, of (address)

as beneficial owner hereby transfer to:

Mathew John Seaton, of (address)

the land comprised in the title above mentioned. It is hereby certified that the transaction hereby effected does not form part of a larger transaction or series of transactions in respect of which the amount or value or aggregate amount or value of the consideration exceeds twelve thousand pounds.

Signed, sealed and delivered by the said Herbert Williams Timms in the presence of (witness).

Situational description

Field: Verbal regulation of social interaction through sanctions of the legal system: codification of exchange of property ('deed of transfer'), including certification that transactions defined by value of commodity exchanged.

Tenor: 'Member' (individual) addressing 'collective' (society) using formula prescribed by collective for purpose in hand.

Mode: Written to be filed (i.e. to form part of documentary records); text gives status (as social act) to non-verbal transaction; text is formulaic (i.e. general, with provision for relating to specific instances).

Performative (i.e. text constitutes, or 'realises' act in question).

As can be seen, the three headings of field, tenor, and mode enable us to give a characterisation of the nature of this kind of a text. We can use the same general headings for the description of a text of any kind. Let us consider Text 2.2 which is a little passage from a broadcast talk that was given in England some years ago by a distinguished churchman concerned with the status of Christianity in the modern world.

Text 2.2

The Christian should therefore take atheism seriously, not only that he may be able to answer it, but so that he himself may still be able to be a believer in the mid-twentieth century. With this in mind, I would ask you to expose yourself to the three thrusts of modern atheism. These are not so much three types of atheism – each is present in varying degree in any representative type – so much as three motives which have impelled men, particularly over the past hundred years, to question the God of their upbringing and ours. They may be represented by three summary statements:

God is intellectually superfluous;

God is emotionally dispensable;

God is morally intolerable.

Let us consider each of the contextual headings in turn.

Situational description

Field: Maintenance of institutionalised system of beliefs; religion (Christianity), and the members' attitudes towards it; semi-technical.

Tenor: Authority (in both senses, i.e. person holding authority, and specialist) to the audience; audience unseen and unknown (like readership), but relationship institutionalised) (pastor to flock).

Mode: Written to be read aloud; public act (mass media: radio); monologue; text is whole of relevant activity.

Lecture; persuasive, with rational argument.

To describe the situation of the text more specifically, the field is the maintenance of an institutionalised system of beliefs: the nature of the Christian religion, and the people's attitudes towards it, at a semi-technical level. The tenor is that of an authority to an audience. He is an authority in both senses: he holds the authority in the Church, as a bishop, and he is the authority on religion, a theologian. He cannot see the audience and he does not know them, but this relationship to them is institutionalised in the culture as that of pastor to flock. The mode is that of a text that was written in order to be read aloud, as a public act on the mass media; it was a monologue, in which the text itself was the whole of relevant activity – nothing else significant was happening. And it was a persuasive discussion, based on rational argument.

Now the question we may ask is, "How do field, tenor, and mode influence our use of language?" In answer, let us consider the following text:

Text 2.3

Doctor: Have you been vomiting?

Patient: Em, yeah. I vomited about ... I vomited twice ... two days ago at school an' I vomited about um eight or ten times last night.

Parent: Oh, er, just sort of altogether, you know, Dr. M. gave him anti-biotic capsules for him to take because he's also got ...

Doctor: A throat

Parent: A bit of infected tonsils yeah and he said that, you know for him to spit the capsule out ... I don't know whether it was trying to swallow it down or what but he did.

Doctor: Ah Look, I don't think you can go past an appendix there. Just, you know, number one, he's got no pain just there and is sore there and I think he's probably got something blocking in the appendix and it's giving him this constant pain and trouble. So seeing that you've had it for some time and been worse lately I think it certainly would be wise to think about having done.

The first thing we may observe is that although this is a dialogue between doctor (a professional) and a parent (a layman) (tenor of discourse). This can be seen in the technicality of the text in which we can find medical terms such as *appendix*, *anti-biotic capsule*, *tonsil*. If we examine the text more closely, we will see that the dialogue is about a child-patient (field of discourse). This influences the choice of lexical items: objects, persons, events, quality, quantity, time, place and so on, and grammatical patterns which due to your background knowledge at this stage we are not presenting here. We can also see in the above dialogue that there

is a great deal of reference to parts of the body: *throat, tonsils, appendix*, and to bodily actions: *vomited, got, spit, swallow* (mode of discourse).

2.6. Summary

Contextual analysis is perhaps an initial and a very important step in the process of translating a text. Realising that one cannot translate a text without analysing (either consciously or subconsciously) the context in which the text occurs, in this chapter we have attempted to instroduce four models for contextual analysis as developed by Malinowski, Firth, Hymes and Halliday. Among the four models of context explored in this chapter, Halliday's model seems to be the most comprehensive and the most powerful one as it helps us to relate each of the components of the model – field, tenor, and mode – to a corresponding component at the levels of semantics and grammar. When we can understand the context in which the text occurs, we can predict at least some of the meanings and, in turn, the dominant grammatical patterns and the lexical items contained in the text. It can be confirmed at this point that context is an important factor which the translator should take into account when s/he is translating a text from one language into another.

Activities

1. Read the following texts, analyse the context of the following texts (using either Firth's or Hymes' or Halliday's model), and then translate them into Vietnamese.

Text 1

Dear native regions, I foretell,
From what I feel at this farewell,

That, wheresoe'ver my steps may tend,
And whensoe'ver my course shall end,
If in that hour a single tie,
Survive the local sympathy, my soul
will cast the backward view,
The longing look alone on you.
Thus, while the Sun sinks down to rest,
Far in the regions of the west,
Through to the vale no parting beam,
Be given, no one memorial gleam,
A lingering light he fondly throws
On the dear hills where first he rose.

(William Wordsworth)

Text 2

As you will recall, Captain James Cook, at the age of forty, was commissioned by England to explore the Pacific Ocean.

On his third exploratory voyage, as captain in charge of two ships, the Revolution and the Discovery, he came upon a group of uncharted islands which he named the Sandwich Islands as a tribute to his good friend, the Earl of Sandwich. Today the islands are known as the Hawaiian Islands.

When Cook sailed into a protected bay of one of the larger islands, the natives greeted him with curiosity and respect. Some historians contend that the islanders welcomed him, believing that he was the god Launo, protector of peace and agriculture.

The islanders were short, strong people, with a very well-organised social system. The men fished and raised crops including taro, coconuts, sweet potatoes, and sugar cane. The women cared for the children and made clothing that consisted of loin cloths for the men and short skirts for the women.

Poi was the tapple food, made from taro root. It has been suggested that the seeds of taro and other crops had been brought from Polynesia centuries before.

The natives are especially eager to exchange food and supplies for iron nails and tools, and Captain Cook was easily able to restock his ship before he sailed.

Because of the severe storm in which the Revolution was damaged, it was necessary to return to Hawaii. Now sure that Cook and his crew were men and not gods, the natives welcomed them less hospitably. Besides, diseases brought by the English had reached epidemic proportions. When a small boat was stolen from the Discovery, Cook demanded that the king be taken as a hostage until the boat was returned.

In the fighting that followed, Cook and four other crewmen were killed. Within a week the ship had been repaired, and on February 22, 1779, both ships departed again.

Today we will begin a discussion of the kingdom of Hawaii in the nineteenth century and of its eventual annexation to the United States.

Text 3

Fossil fuels today provide 78% of our energy (oil provides 33 percent; coal, 27 percent, and natural gas, 18). But we have always known that the world must stop using them eventually since non-renewable resources are by definition limited and will

one day run out. Now the specter of the global warming requires us to phrase fossil fuels out during the early part of the twenty-first century, long before reserves are depleted. Not only do they contain carbon, but the extraction and use of fossil fuels contribute a significant share of the emissions of two other greenhouse gases – methane and nitrous oxide.

Although it is important that the transition away from fossil fuels begin in the near future, the process will extend over a period of decades. Many new technologies will have to be developed and, even then, installing replacement sources will take times.

CHAPTER 3

THE ROLE OF GRAMMATICAL ANALYSIS IN TRANSLATION

3.1. Introduction

In Chapter 1, we have attempted to answer the question "What are the current views on translation?", focusing mainly on the theories as put forward by five representative scholars. In Chapter 2, we presented four models of context as developed by Malinowski, Firth, Hymes, and Halliday. In this chapter, we shall be concerned with systemic functional grammar, a model of grammar which we think may be of great help to the translator in analysing the source text, restructuring and evaluating the target text. We will start by presenting briefly the inherent weaknesses of formal models of syntax; then we will look at the features that serve to distinguish systemic functional grammar from other types of grammar. This will be followed by the presentation of the three strands of meaning in language: ideational, interpersonal, and textual, and their realisations in the systems of transitivity, mood, and theme respectively.

3.2. Systemic Functional Grammar and Translation

Before addressing the question of what systemic functional grammar is, we shall attempt to point out some of the reason why earlier developments in linguistic theory, particularly structural linguistics failed to work as a theoretical framework for translation studies and were therefore of little interest to the translator. According to Hatim & Mason (1990), structural linguistics which

was in vogue for some time only sought to describe language as a system of interdependent elements and to characterise the behaviour of individual elements on the basis of their distributions – the complete range of linguistic contexts in which they could occur. In this linguistic model, the focus of analysis was mainly on morphology and syntax. Meaning, which plays a centrally important role in any linguistic theory, was largely excluded. 'It was either ignored or else dealt with purely in terms of lexical items' (Hatim & Mason 1990: 25), a view of meaning which Bell (1991: 79) calls 'the naive translator's view of meaning'. This drawback of structural linguistics can be seen in Bloomfield's (1933: 140) famous symptomatic statement:

> The statement of meaning is therefore the weak point in language-study, and will remain so until human knowledge advances very far beyond its present stage.

It is well-established now that meaning is 'the kingpin of translation studies' (Neubert 1984: 57) and 'the heart of the translator's work' (Hatim & Mason 1990: 25). Its centrality in translation studies can also explain why over half of Bell's (1991) *Translation and Translating: Theory and Practice* is devoted to examining the issues of meaning. Meaning is so important in translation that

> without understanding what the text to be translated means for the L2 users the translator would be hopelessly lost. This is why the translation scholar has to be a semanticist of the text, not just of words, structures and sentences. The key concept for the semantics of translation is textual meaning. (Neubert 1984: 57)

If one asks around what people think a translation should achieve, a very common answer would probably be that it should

convey closely and clearly the meaning of the original to the reader of the target language. If this view is accepted, it would follow that in translation we are not simply converting one form of the source language text into another form of the target language text, or to use Haas's (1968: 108) metaphor, we are not 'changing vehicles or clothing'. What we as translators do is to transform the meaning of the source language text into the target language text with an aim to establish what has often been referred to in translation literature as 'translation equivalence'. To achieve this aim, it has been suggested (Wilss 1982b, Newmark 1988a, 1988b, Hatim & Mason 1990, Bell 1991, and many others) that the translator will have to take into account many factors such as the context of the source text, the intention of the source text writer, the context where the target text will be placed, the text type, the functions of lexical units, the grammatical structures of both the source language and the target language, the functions of language and so on.

Viewed from this perspective, it is obvious that the formal theories of language, particularly formal syntax, could not work as a guideline for translation theory and practice, and due to their inherent drawbacks, 'they were bound to create a gap between linguistics and translation studies' (Hatim & Mason 1990: 25). The model of grammar which has been of great interest to the translator and which may help him/her to address the issues raised above is systemic functional grammar. It is this model of grammar that we now turn to.

3.3. Features of Systemic Functional Grammar

According to Halliday (1994), systemic functional grammar is different from formal models of grammar in a number of ways. It is based on a functional framework and is functional in three but

closely related senses: in its interpretation (i) of text, (ii) of system, and (iii) of the elements of linguistic structures.

In its interpretation of text, systemic functional grammar claims that the form of grammar relates naturally to the meanings that are being coded and therefore the meanings in a text can be explained largely through an account of how language is used. Thus systemic functional grammar is designed so that it enables us to describe how the wording manifests the meaning in a text.

In its interpretation of system, systemic functional grammar distinguishes three functional components of meaning in language which are thought to be necessary for an adequate description of language: the ideational metafunction, the interpersonal metafunction, and the textual metafunction. Each of the metafunctions is realisationally related to specific areas of the form of language: the ideational metafunction is realisationally related to the system of TRANSITIVITY, the interpersonal metafunction, to the systems of MOOD, MODALITY, and MODULATION; and the textual metafunction, to the system of, THEME and INFORMATION FOCUS. (Some of the issues will be discussed in some detail in Section 3.4 below).

In its interpretation of the elements of linguistic structures, systemic functional grammar explains each language element by referring it to the total linguistic system and, in this way construes all the units of a language – its clauses, phrases and so on – as organic configurations of functions.

3.4. Three Metafunctions of Language

3.4.1. The Ideational Metafunction and its Realisation through the Transitivity System (System of Process Types)

The ideational metafunction is the means of construing/representing reality in the linguistic system. It is a

function of language that expresses the 'reflective' as well as 'experiential' aspect of meaning through the system of TRANSITIVITY. In systemic functional grammar transitivity refers to the different types of process and their incumbent participants and circumstances. Basically then, there are three components in the process that provide the frame of reference of what goes on (Halliday 1985: 101). These are: the process itself, the participants and the circumstances. The TRANSITIVITY system is concerned with the choices that are made between different types of process. There are three main types of process: material, mental, and relational. In addition to these, there are three subtypes of process: behavioural, verbal, and existential.

(a) *Material process* is the process of doing: action and event such as *kicking, beating, running, walking*. Related to the process itself, there may be one, two or even three participants. When a process has one participant this role is referred to as **Actor** (one that does the deed) as in *He* (Actor) *was coming* (Process: material); when it has two participants, these roles are referred to respectively as Actor and Goal (one that is affected by the action) as in *The boy* (Actor) *hit* (Process: material) *the dog* (Goal); and when it has three participants, these roles are referred to respectively as **Actor**, **Goal** and **Receiver** (one that benefits from the process) as in *He* (Actor) *gave* (Process: material) *a book* (Goal) *to her* (Receiver). The representation of a material process can come in either the active form as in *I kicked the ball* or the passive form as in *The ball was kicked by me.*

(b) *Behavioural process* is the process of physiological and psychological behaviour such as *breathing, crying, drinking*. Typical of this type of process in English is that there is usually one participant referred to as **Behaver** (one who behaves) as in *She* (Behaver) *cried* (Process: Behavioural) *softly* (Circumstance) and

this participant is always a conscious being, not a lifeless thing; e.g. *He laughed* but not *The tree laughed*, *The dog barked* but not *The door barked* etc.

(c) *Mental process* is the process of sensing such as *thinking, loving, wanting, hoping*. It consists of four main subtypes: cognitive (*thinking, knowing, realising*), perceptive (*hearing, sensing, feeling*), affective (*loving, hating, adoring, pampering*), and desiderative (*wanting, desiring, wishing*). In a mental process there are usually two participants referred respectively as **Sensor** (one who senses, feels, thinks, and wants) and **Phenomenon** (one that is sensed, felt, thought of, and wanted) as in *The boy* (Sensor) *loved* (Process: mental) *the girl* (Phenomenon), and *I* (Sensor) *heard* (Process: mental) *a noise* (Phenomenon) *outside* (Circumstance). What is typical of a mental process is that the Sensor is always a human being.

(d) *Verbal process* is the process of saying such as *saying, telling, speaking, talking*. This type of process also covers any kind of symbolic exchange such as *showing, indicating*. Unlike behavioural and mental process, a verbal process does not require a conscious participant and it can contain one participant referred to as Sayer as in *He* (Sayer) *said* (Process: saying) *loudly* (Circumstance); two participants referred two respectively, depending on each particular subtype of verbal process, as Sayer and Target as in *They* (Sayer) *told* (Process: verbal) *me* (Target) *so* (Circumstance), and Sayer and Verbiage as in *He* (Sayer) *ordered* (Process: verbal) *two beers* (Verbiage); and even three participants referred to respectively as Sayer, Target and Recipient as in *She* (Sayer) *spoke* (Process: verbal) *French* (Target) *to me* (Recipient). Sayer is one that puts out a signal, Target is one that the verbalisation is directed to, Recipient is one that benefits from the verbal process, and Verbiage is the name of the verbalisation itself.

(e) *Relational process* is the processes of being, having, and being at. It comes under three subtypes: (i) the intensive as in *He's good* and *He's the teacher in charge*; (ii) the circumstantial as in *He is in the room*; and (iii) the possessive as in *He has a beautiful house*. Like other process types which have the middle and effective voice, relational process comes under two modes: attributive and identifying. When a relational process is in the attributive mode, it has one participant referred to as Carrier and the quality or the thing showing that the Carrier belongs to a class of things which is referred to as Attribute as in *The man* (Carrier) *is* (Process: relational) *good* (Attribute), *She* (Carrier) *is* (Process: relational) *a teacher* (Attribute). The Carrier is realised by a nominal group and the Attribute is realised by an adjective or an indefinite nominal group. When a relational clause is in the identifying mode, it has two equating participants, one identifying the other which are referred to respectively in two pairs of terms as Identified/Identifier and Token/Value; e.g. *He* (Identified/Token) *is* (Process: relational) *the best doctor* (Identifier/Value).

Intensive process is the process which expresses being in terms of "x is a' as in *He is the teacher* and 'x is an instance of a' as in *He is a teacher*. Circumstantial process is the process which expresses being in terms of circumstantial elements such as time, place, distance, reason. The relation between the participant and its circumstantial element is that of Carrier and Attribute. Possessive process expresses being in terms of ownership, the relation between the two terms can be characterised as Possessor and Possessed but for generalisation and convenience they are still analysed as Carrier and Attribute; e.g. *He* (Carrier/Possessor) *had* (Process: relational) *a big car* (Attribute/Possessed).

(f) *Existential process* is the process of existing, indicating that something or some natural force exists. In this type of process, there is generally a participant, the Existent and one or two circumstantial elements; e.g. *There is* (Process: existential) *a man* (Existent) *in the room* (Circumstance). The process types can be summarised in Table 2.1 below:

Process Type	**Category of Meaning**	**Participant**
material:	'doing'	Actor, Goal, Recipient
action	'doing'	
event	'happening'	
behavioural:	'behaving'	Behaver, (Phenomenon)
mental:	'sensing'	Sensor, Phenomenon
perception	'seeing'	
affection	'feeling'	
cognition	'thinking'	
verbal:	'saying'	Sayer, Target, Verbiage, Recipient
relational:	'being'	
attribution	'attributing'	Carrier, Attribute
identification	'identifying'	Identified, Identifier; Token, Value
existential:	'existing'	Existent

Table 3.1. Process types, their meanings and participants (Source: Halliday 1994: 143)

Below are some examples in English which are analysed in terms of TRANSITIVITY:

(3.1) This shift is neatly packed in the slogan: focus on meaning rather than focus on form.

(3.2) Let us do a little unwrapping.

(3.3) What I want to do, therefore, was not to wrap things up, but to take them apart.

(3.4) But there is a negative side to such phrasal learning.

(3.1)

This shift	*is*	*neatly*	*packed*	*in the slogan:... form*
Goal		**Circumstance**		**Circumstance**
	Process: material			

(3.2)

Let	*us*	*do*	*a little unwrapping*
	Actor		**Goal**
Process: material			

(3.3)

What I ..., therefore,	*was*	*not to wrap ... apart.*
Token	**Process: relational**	**Value**

(3.4)

But	*there*	*is*	*a negative side to such ... learning*
		Process: existential.	**Existent**

Activities

1. Discuss the different types of process. Point out the similarities and the differences between them.

2. Analyse the following texts in terms of the process types as described above and then translate them into Vietnamese.

Text 1

As the world's population grows, the part played by man in influencing plant life becomes increasingly greater. In old and densely populated countries, as in central Europe, man determines almost wholly what shall grow and what shall not grow. In such regions, the influence of man on plant life is in large measure a beneficial one. Laws, often centuries old, protect plants of economic value and preserve soil fertility. In newly settled countries the situation is unfortunately quite the reverse. The pioneer's life is too strenuous one for him to think of posterity.

Text 2

After lunch Sarah took Sam into the garden along with Buller so as to leave Castle alone with his mother for a little while. That was the monthly routine. Sarah meant well, but Castle had the impression that his mother was glad when the private interview was over. Invariably there was a long silence between them while Mrs Castle poured out two more unwanted coffees; then she would propose a subject for discussion which Castle knew had been prepared a long time before just to cover this awkward interval.

'That was a terrible crash last week,' Mrs Castle said, and she dropped the lump sugar, one for her, two for him.

'Yes. It certainly was. Terrible.' He tried to remember which company, where ... TWA? Calcutta?

'I couldn't help thinking what would have happened to Sam if you and Sarah had been on board.'

He remembered just in time. 'But it happened in Bangladesh, Mother. Why on earth should we ...?'

Text 3

Soon after I was born, my father, being old, retired from a seafaring life, purchased a small cottage in a fishing village on the west coast of England, and settled down to spend the evening of his life on the shores of the sea which had for so many years been his home. It was not long before I began to show the roving spirit that dwelt within me, until at last I had wandered far and near on the shore and in the wood around the humble dwelling, and did not rest content until my father bound me apprentice to a coasting vessel, and let me go to sea.

(From The Coral Island by R.M. Ballantyne)

3.4.2. The Interpersonal Meaning and its Realisation through the Mood Structure

When a speaker interacts with others to exchange information or to influence their behaviour and get things done, he adopts for himself a certain role such as 'questioner' and, in so doing, assigns a complementary role, such as 'informant', to his addressor. Unless the conversation is very one-sided, the roles of 'questioner' and 'informant' tend to alternate between the interlocutors engaged in a conversation. Halliday (1994) provides a table to characterise the primary speech roles which can be represented as follows:

commodity / exchange / role in exchange	(a) goods-&-services	(b) information
(i) giving	**offer** *Would you like this teapot?*	**statement** *He's giving her the teapot.*
(ii) demanding	**command** *Give me that teapot!*	**question** *Is she giving me the teapot?*

Table 3.2. Primary Speech Roles (Source: Halliday 1994: 69)

The table above reads as follows:

All the roles are traced back to a form of either giving or demanding. These roles are simultaneously related to the two general categories of commodity negotiated between people – goods -&-services, or information. When speech roles interact with types of commodity we have four general speech roles: giving goods-&-services = offer, giving information = statement, demanding goods-&-services = command, and demanding information = question. Giving goods-&-services can be realised either by a declarative clause as in *I'll give you a cup of tea if you like* or by an interrogative clause as in *Would you like a cup of tea?*; giving information is typically realised by a declarative clause as in e.g. *He's an engineer*; demanding goods-&-services is typically realised by an imperative clause as in *Give me that pen!*; and demanding information is typically realised by an interrogative clause as in *Are you a new student?*. So within the interpersonal meaning the speaker's choice of a particular speech role is significant. Further, expression of the speaker's evaluation,

attitude, and prediction is also an aspect of the interpersonal meaning. Here we have different types of modality such as possibility as *Can* in *Can I have a cigarette please?*, ability as *can* in *I can swim very well*, supposition as *must be* in *He must be an engineer*, permission as *May* in *May I smoke in here?*, etc. Below is a fragment of the Mood system in English.

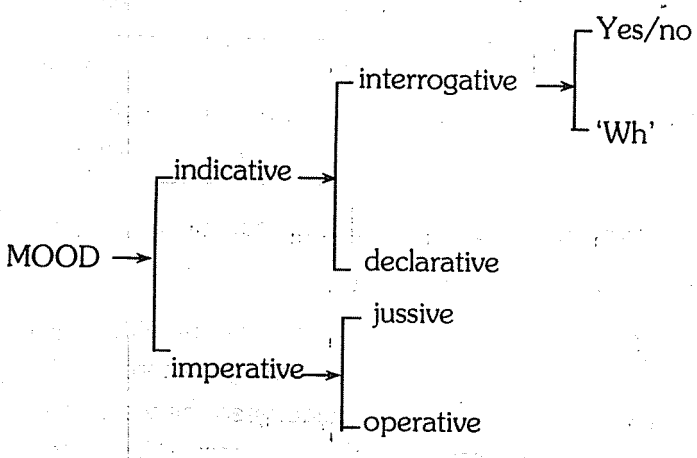

Figure 3.1. A fragment of the Mood system in English

Figure 3.1 shows that in the Mood system there are two choices: 'indicative' and 'imperative'. If 'indicative' is chosen, it will allow two more choices: 'interrogative' as in *Are you an engineer?* and 'declarative' as in *You are an engineer*; and if 'interrogative' is chosen it will open for two more delicate choices: 'Yes/No' as in *Are you an engineer?* and 'Wh' as in *What's your job?*; and so on.

As an exchange or interactive event, a clause can be seen as consisting of two components: the **Mood (M)** and the **Residue (Res)**. The Mood is the component whose function in the clause is to carry the syntactic burden of the exchange and to carry the argument forward. In English, the Mood consists of two functional

elements: the **Subject (Subj)** and the **Finite (Fin)**. The Subject is the nominal component of the Mood, it is the thing by reference to which a proposition can be affirmed. The Finite is the verbal element in the Mood which has the function of making the proposition finite; that is to say, it brings the proposition down to earth so that something can be argued about. The Residue is the remainder of the clause. It consists of three functional components: (i) the **Predicator (Pred)**, (ii) the **Complement (Compl)**, and (iii) the **Adjunct (Adjct)**. The Predicator is present in all non-elliptical major clauses. It is realised by a verbal group; the Complement is an element within the Residue which has the potential of being a Subject, and like the Subject it is typically realised by a nominal group. Below are four examples illustrating the analysis of the clause in terms of the interpersonal meaning:

(3.5). I suggested

(3.6). There had been a tendency in the past in our profession to pack things up too neatly.

(3.7). Meaning is not a function of form but a form of function.

(3.8). The superseded and discredited approach of yesteryear, what Parch called SOS approach (Structural-Oral-Situational) did focus on meaning.

(3.5)

I	*suggested*	
Subject	**Finite**	**Predicator**
Mood		**Residue**

(3.6)

there	*had*	*been*	*a ...*	*in ...*	*in ...*	*neatly*
Subj	**Finite**	**Pred**	**Compl**	**Adjct**	**Adjct**	**Adjct**
Mood		**Residue**				

(3.7)

Meaning	*is*		*not a function of form*
Subj	**Fin**	**Pred**	**Compliment**
Mood		**Residue**	

(3.8)

The superseded ... approach ...	*did*	*focus*	*on meaning*
Subject	**Fin**	**Predicator**	**Adjunct**
Mood		**Residue**	

Discussion and Activities

1. ***How are primary speech roles modelled?***
2. ***What do you understand by Mood and Residue from the point of view of the interpersonal metafunction?***
3. ***Analyse the following texts in terms of the Mood structure and then translate them into Vietnamese.***

Text 1

You paused for a moment and I heard you smoking on the other end of the line.

I picture your impression, one eye screwed shut against the smoke, as you waited for my reaction.

I was waiting for it myself, a list of my own news gone suddenly cold in my hand.

Supposing my wife found out, what would happen then?

Would I have to leave her and marry you now?

Perhaps it wouldn't be so bad, starting again with someone new, finding a new place, pretending the best was yet to come.

It might even be fun, playing the family man, walking around in the park full of righteous indignation.

But no, I couldn't go through all that again, not without my own wife being there, not without her getting cross about everything.

Perhaps she wouldn't mind about the baby, then we could buy the house in the country and all move in together.

That sounded like a better idea.

Now that I'd been caught at last, a wave of relief swept over me. I was just considering a shed in the garden with a radio and a day bed, when I remembered that I hadn't seen you for over a year.

'Congratulations,' I said. 'When's it due?'

(By Hugo William, from Observer June, 6th 1999)

Text 2

As I slowly recovered and heard the voice of Peterkin inquiring whether I felt better, I thought that I must have overslept myself, and should be sent to the massthead for being lazy; but before I could leap up in haste, the thought seemed to vanish suddenly away, and I fancied that I must have been ill.

Now I raised myself on my elbow, and putting my hand to my forehead, found that it had been cut pretty severely, and that I had lost a great deal of blood.

(From The Coral Island by R.M. Ballantyne)

Text 3

One piece of history was made, and another denied, when 29-year-old Michael Spinks became the new world heavyweight boxing champion in Las Vagas yesterday.

Spinks is the first light-heavyweight champion to win the heavyweight title. he ended the seven year-year-reign of Lary Holmes on a unanimous 15 rounds points decision.

In his 49th fight, the 35-year-old Holmes had been attempting to equal the unbeaten record of Rocky Marciano, but he has now decided to retire.

"I'm going to quit. I don't need no more boxing," he said. "It would probably been my last fight even if I had won because the symptoms were staring to show."

(From the Strait Times, 23 September, 1985)

3.4.3. The Textual Meaning and its Realisation through the Thematic Structure

The textual meaning is concerned with creating relevance between parts of what is being said and between the text and the context. In grammar, it is expressed through the systems of theme and information focus. Relevant to the realisation of the system of theme are two elements: the **Theme (Th)** and the **Rheme (Rh)**. The Theme serves as the departure of the message, which in English coincides with the initial element(s) of the clause; and the Rheme is the remainder of the message. By analysing the thematic

structure of the clauses in a text we can find out the text's mode of development. The theme may be realised by a nominal group, a prepositional phrase, an adverbial group, or even a clause in the case of predicated theme. Theme may be single or multiple, marked or unmarked. A theme is single when the thematic element itself is represented by just one constituent – a nominal group, an adverbial group, or a prepositional phrase. In contrast, a theme is multiple when it has a further internal structure of its own. Here we distinguish between topical theme, textual theme and interpersonal theme. A topical theme is one that is conflated with an experiential element of the clause: it can be Actor/Agent, Goal/Medium or Circumstance. A textual theme represents the meaning that is relevant to the context: both the preceding and the following text (co-text) and the context of situation. It may have any combination of three textual elements: (i) a continuative element; e.g., *yes, no, well*; (ii) a structural element, e.g., *and, but*; and (iii) a conjunctive element, e.g., *also, therefore.* And an interpersonal theme represents the interpersonal element with which the speaker or writer acts on the listener or reader. An interpersonal theme may contain (i) a modal theme which consists of a modal adjunct, the definite element in the case of *yes/no* interrogative clauses, and (iii) a vocative element.

An unmarked theme is one that is usual or typical, whereas a marked theme is one that is unusual. In the declarative clause, an unmarked theme is one that conflates with the subject, while a marked theme is a constituent functioning as some element of the Residue: Complement, Adjunct or even Predicator. Below are four examples illustrating the thematic structure of the clause:

(3.9) I suggested

(3.10) There had been a tendency in the past in our profession to wrap things up too neatly.

(3.11) The words are drawn from a variety of contemporary sources, both spoken and written.

(3.12) It is only with sentences that grammar becomes primary.

(3.9)

I	*suggested*
Theme	**Rheme**

(3.10)

There	*had been a tendency ... neatly*
Theme	**Rheme**

(3.11)

The words	*are drawn from a variety ... written*
Theme	**Rheme**

(3.12)

It	*is only with sentences*	*that grammar*	*becomes primary*
Theme	**Rheme**	**Theme**	**Rheme**
Theme		**Rheme**	

Discussion and Activities

1. ***Discuss the notion of theme in English.***
2. ***How are themes classified in English?***
3. ***Take a 5-clause passage in English, analyse them in terms of the thematic structure, translate them into Vietnamese and then provide***

comments on the use of themes in these clauses in the two languages.

4. ***Analyse the following extract in terms of thematic structure, then translate text 1 into Vietnamese and text 2 into English.***

Text 1

The old lady pulled her spectacles down and looked over them about the room; then she put them up and looked out under them. She seldom or never looked through them for so small things as a boy; they were her state pair, the pride of her heart, and were built for "style," not service – she could have seen through a pair of stove lids just as well. She looked perplexed for a moment, and then said, not fiercely, but still loud enough for the furniture to hear:

"Well, I lay if I get hold of you I'll–"

She did not finish, for by the time she was bending down and bunching under the bed with the broom, and so she needed breath to punctuate the punches with. She resurrected nothing but the cat.

(From The Adventure of *Tom Sawyer* by Mark Twain)

Text 2

Khoảng một giờ trôi qua, Hiệp lại gần chỗ tôi đứng, mời tôi hút thuốc lá và nói:

– Chiều nay liên chi đoàn sinh viên tổ chức đi biển, mời thầy đi với bọn em.

Hình như lúc ấy tôi đã cố gắng mỉm cười, nghĩ nhanh trước khi trả lời: "Cậu quên rằng mình hơn bốn chục tuổi, già, yếu, và

sáng nay đi coi thi với cái bụng chẳng có cái chất gì đáng kể ở trong đó?"

Dù sao, thì sau khi rít xong một hơi thuốc dài, tôi đã nói:

– Cảm ơn Hiệp đã mời mình. Rất có thể là mình sẽ đi với các bạn.

– Em nghĩ thầy đi với tụi em sẽ hợp hơn là đi với hội gia đình sắp tới. Hiệp năn nỉ.

Nếu tôi không nhầm thì lúc ấy Hiệp mời tôi với giọng, kiểu How do you do? của người Anh.

3.4.4. Information Structure

One more important aspect of discourse analysis at clausal level is what Halliday (1967, 1968, 1970, 1994) calls the Given and New Information. Let us consider the clause *The boy hit the dog*. From the point of view of traditional grammar, this clause has a standard word-order of Subject + Verb + Object (SVO). However, there are numerous other ways in which the semantic content of the clause can be realised. For example:

The dog was hit by the boy.

It was the boy that hit the dog.

It was the dog that the boy hit.

What the boy did was hit the dog.

Hit the dog, the boy did.

The boy, he hit the dog.

Which of these options is actually selected by the writer/speaker will depends on the context in which the utterance occurs and the status of information within the discourse. One

important consideration is whether the information has already been introduced into the discourse or is assumed to be known to the reader/listener. Such information is referred to as **Given** information **(G)**. In contrast with information which is given, there is what Halliday calls **New** information **(N)** – information which is introduced for the first time. It is important to bear in mind, when considering the issue of given and new information in discourse, that the speaker/writer who decides what information should be considered given or new. Characteristically, Halliday (1967, 1994) suggests that the speaker/writer will order given information before new information. This should be considered as a rule of thumb. Thus, in the clause *The boy hit the dog*, the assumed knowledge is that the boy hit something and the new information is that it was the dog that got hit.

We can see the close relationship between discourse considerations and grammatical structuring in relation to given and new information if we provide questions to which the above clauses might be appropriate responses:

Question: What did the boy do?

Response: He hit the dog.

Question: What happened to the dog?

Response: It was hit by the boy.

Question: Did the cat hit the dog?

Response: No, it was the boy that hit the dog.

Question: Did the boy hit the cat?

Response: No, it was the dog that was hit by the boy.

Notice that when occurring in context, given information is referred to by pronouns. In the first exchange above, the given information (that the boy did something) leads to the use of the pronoun *He* rather than the full nominal group *The boy* in the response.

3.4.5. Given + New and Theme + Rheme

There is a close semantic relationship between information structure and thematic structure. All things being equal, a speaker will choose the Theme from within what is Given and locate the New somewhere within the Rheme. This way of patterning is referred to as the unmarked (usual) case. For example:

(3.13)

The boy	*hit the dog*
Theme	**Rheme**
Given ——————→ **New**	

But although they are related Theme + Rheme and Given + New are not the same thing. The Theme is what I, the speaker/writer takes as the point of departure. The Given is what you, the listener/reader know about. Theme + Rheme is speaker-oriented while Given + New is listener-oriented. Thus we may experience cases in which Theme + Rheme and Given + new are not conflated. For example:

(3.14)

The dog,	*the boy hit*
Theme	**Rheme**
New ←—————**Given**	

But both are speaker-selected. It is the speaker who assigns both structures mapping one on to the other to give a composite texture to discourse and thereby relates it to its environment. Here is the analysis of a clause taken from Halliday (1994: 300):

(3.15)

Are you	*coming* ***back*** *into circulation?*
Theme	**Rheme**
Given ——————→ **New** ←—————— **Given**	

In the above example, the speaker initiates the utterance: (i) Theme *Are you* 'I want to know something about you; give an account of yourself – yes or no?'; (ii) *into circulation* treated as Given, 'that's the norm', with the New made up of contrastive *back* 'but you've been away' plus fresh *Are you coming back* 'so I need an explanation'.

Discussion and Activities

1. What is information structure and what are the differences between thematic structure and information structure? Provide examples to prove the differences.

2 Analyse the following texts in terms of transitivity, mood, theme and Given + New. Translate them into Vietnamese.

Text 1

Hold hard, Ned! Lift me down once more, and lay me in the shade.

Old man, you've had your work cut out to guide

Both horses, and to hold me in the saddle when I sway'd
All through the hot, slow, sleepy, silent ride.
The dawn at "Moorabinda" was a mist rack dull and dense,
The sunrise was a sullen, sluggish lamp;
I was dozing in the gateway at Arbuthnot's bound'ry fence,
I was dreaming on the lime stone cattle camp.

(By Adam Lindsay Gordon)

Text 2

My friend, Herbert, has always been fat, but things got so bad recently that he decided to go on a diet. He began his diet a week ago. First of all, he wrote out a long list of all the foods which were forbidden. The list included most of the things Herbert loves: butter, potatoes, rice, beer, milk, chocolate, and sweets. Yesterday I paid him a visit. I rang the bell and was not surprised to see that Herbert was still as fat as ever. He let me into his room and hurriedly hid a large parcel under the desk. It was obvious that he was very embarrassed. When I asked him what he was doing, he smiled guiltily and then put the parcel on the desk. He explained that his diet was so strict that he had to reward himself occasionally. Then he showed me the contents of the parcel. It contained five large bars of chocolate and three bags of sweet!

3.5. Summary

This chapter has been concerned with the role of grammatical analysis in translation. It is clear from our discussion that one cannot translate without analysing (consciously or subconsciously) the grammatical patterns of the source text. However, what kind of

grammar can help the translator to unfold more clearly the meanings of the text s/he is translating is still a matter of preference. In this chapter, we attempted to introduce a kind of grammar which we think is "user-friendly" and may be of great use to the translator: systemic functional grammar. In this model, linguistic resources of a language have been presented as being regulated by three distinct functions, each of which organises a particular type of meaning through the range of options or choices made available to the communicator. It is also this grammar that we could link not only grammar with semantics but also grammar and semantics with the social context or context of situation. We also looked at one important aspect of prosody which can be of some use to the translator/interpreter at work: the Given-New structure as it helps him/her to understand the text s/he is translating. Now that we have finished Chapter 3, we turn to Chapter 4 where we will explore the role of cohesion analysis in translation.

CHAPTER 4

THE ROLE OF COHESION ANALYSIS IN TRANSLATION

4.1. Introductory Remarks

Let us consider the following text taken from Halliday (1994: 309):

Little Boy Blue, come blow your horn!
The sheep's in the meadow, the cow's in the corn.
Where is the boy that looks after the sheep?
He's under the haycock, fast asleep.
Will you go wake him? No, not I!
For if I do, he'll be sure to cry.

If we examine the above text more closely, we will realise that it contains most of the instances of what has been referred to in discourse analysis as **cohesion**. (i) The use of *he . . . him . . . he* to refer back to 'the boy that looks after the sheep' is an instance of **reference**. (ii) The forms *No not I* and *if I do* exemplify **ellipsis**. They have to be interpreted as *no I (will) not (wake him)* and *if I (wake him)*. (iii) The form *for* expresses a conjunctive relationship (referred to as **conjunction**) between 'I will not' and 'if I do he will cry'. (iv) The word *sheep* in line three reiterates *sheep* in line two; *cow* relates to *sheep*, *corn* to *meadow*, and *wake* to *asleep*. These are subsumed under **lexical cohesion**. These types of cohesion will be explored in some detail in the sections that follow.

4.2. Reference

Reference expresses the relationship of identity which exists between units in discourse. Reference can be divided into anaphoric reference and cataphoric reference, personal reference, demonstrative reference, and comparative reference.

4.2.1. Anaphoric, Cataphoric and Exophoric Reference

Consider the following extracts:

Extract 1

Martin Scorsese is killing time, waiting for the sun to go behind a cloud so the next shot will match the last one. ***He*** *is near the end of the Cape Fear Shoot, in front of a grocer's stand just outside Ford Lauderdale. With* ***him*** *are Nick Nolte, Jessica Lange and Juliette Lewis, playing a married couple and their daughter fleeing from a psycho. Ascorese's hand rarely leaves the side pocket of* ***his*** *custom-made Jeans, where he works* ***his*** *watch chain like worry beads.* ***He*** *used to have jeans, but* ***he*** *felt guilty wearing them.* (Premiere magazine)

Extract 2

Within five minutes, or ten minutes, or more than that, three of the others had called ***her*** *on the telephone to ask* ***her*** *if she had heard that something had happened out there.*

*"****Jane****, this is Alice. Listen, I just got a call from Betty, and she said she heard something's happened out there. Have you heard anything?" That was the way they phrased it, call after call. She picked up the telephone and began relaying this same message to some of the others. (Wolfe 1979)*

Extract 3

The *rocket has just taken off. It is going to Mars. Scientists have been sending spacecraft there for several years now. About 100 years ago an astronomer looked at Mars through his telescope and said he could see canals there. Ever since he did that, people have been asking the same question: "Is there life on Mars?"*

If we examine carefully the above extracts, we can find that in Extract 1 the words *He, him, his, his, he,* and *he* all refer to a single individual, Martin Scorsese, whose identity is established at the beginning of the extract. The subsequent items can only be interpreted with reference to the initial phrase of the first clause. This type of cohesive device is referred to as **anaphoric reference** which can be defined as ***item(s) which points the reader or listener 'backward' to a previously mentioned entity, process or state of affairs.***

In contrast, in Extract 2, personals *her, her* refer cataphorically: they do not refer backward but simply refer forward to *Jane*. So we can define **cataphoric reference** as ***a cohesive device which points the reader or listener forward*** – it draws us further into the text in order to identify the elements to which the reference items refer.

In Extract 3, however, the article ***The*** at the beginning of clause 1 does not refer backward. Nor does it point the reader or listener forward. In order to know what it refers to, we need to have a picture of a rocket and this picture will serve as the extra-linguistic (context of) situation accompanying the utterance *The rocket has just taken off.* This type of reference is called **exophoric reference**. So we can define **exophoric reference** as ***a cohesive device which points the reader or listener to the extra-linguistic situation.***

4.2.2. Personal Reference

Personal reference is reference by means of function in speech situation and through the category of person. In Extract (4.21) 1, personal references are expressed by pronouns *he, his, he*, and determiner *the*. They serve to identify individuals and objects that are named at some other point in the text. Below is another example in which *they* is a personal pronoun referring to *Nam* and *Lan* in the previous text.

***Nam** and **Lan** didn't say a word. Perhaps **they** were angry.*

4.2.3. Demonstrative Reference

Demonstrative reference is a form of verbal pointing by the speaker who identifies the referent by locating it on the scale of proximity in terms of space and time. It is expressed through determiners: *this/that, these/those* and adverbs *here/there*. These items can represent a single word or phrase, or much longer chunks of text ranging across several paragraphs or even several pages. Examples:

1. – *He wanted to know how she could perform her work. But this did not happen.*
2. – *These are the houses that Jack built.*
3. – *"Suppose he never commits the crime," said Alice.*

   – "That would be all the better, wouldn't it?" the Queen said,...
4. – *Alice felt there was no denying **that**. "Of course it would be all the better," she said: "but it wouldn't be all the better his being punished."*

   – *"You're wrong there, at any rate," said the Queen.*

4.2.4. Comparative Reference

There is the third type of reference that contributes to textual cohesion: comparative reference. Whereas personals and demonstratives, when used anaphorically, set up a relation of co-reference, whereby the same entity is referred to over again, comparatives set up a relation of contrast. Comparative reference is expressed through adjectives and adverbs and serves to compare items within a text in terms of identity and similarity. Examples:

A: Would you like these ***eggs****?*

B: No, as a matter of fact, I'd like ***the other eggs.***

"At the end of two yards," she said, putting in a peg to mark the distance, "I shall give you your directions – have ***another*** *biscuit?"*

Activities

1. ***What is referential cohesion and how many subtypes of referential cohesion are there in English?***
2. ***How many instances of referential cohesion can you find in the following extract? Translate the extract into Vietnamese and make comments on your translation in terms of referential cohesion.***

I used to travel by air a great deal when I was a boy. My parents used to live in South Africa and I used to fly there from Europe in holidays. An air-hostess would take charge of me and I never had an unpleasant experience. I am used to travelling by air and only on one occasion have I ever felt frightened. After taking off, we were flying over the city and slowly gaining height, when the plane suddenly turned round and flew back to

the airport. While we were waiting to land, an air-hostess told us to keep calm and to get off the plane quietly as soon as it had touched down. Everybody on board was worried and we were curious to find out what had happened. Later we learned that there was a very important person on board. The police had been told that a bomb had been planted on the plane. After we had landed, the plane was searched thoroughly. Fortunately, nothing was found and five hours later we were able to take off again.

4.3. Substitution

Substitution is a relation between linguistic items, such as words and phrases. It refers to the process or result of replacing one item by another at a particular place in discourse. There are three types of substitution: nominal substitution, verbal substitution, and clausal substitution.

4.3.1. Nominal substitution

Nominal substitution is the use of a substitute word to replace the Head of a corresponding nominal group. The noun functioning as the Head is always countable. In English nominal substitution is realised by items such as *one, ones*, and *same*. Below are some examples:

1. *Cherry ripe, cherry ripe, ripe I cry,*

   Full and fair ***ones*** *- come and buy.*

2. *There are three books on the table. Which* ***one*** *do you like to borrow?*

3 – *I'll have two poached eggs on toast, please.*

– *I'll have* ***the same.***

4.3.2. Verbal Substitution

Verbal substitute in English is *do*. This operates as Head of a verbal group, in the place that is occupied by the lexical verb; and its position is always final in the group. Below are two examples:

1. *... the words did not come the same as they* ***do***.
2. *'I don't know the meaning of half of those long words, and, what's more, I don't believe you* ***do either***.

4.3.3. Clausal Substitution

There is one further type of substitution in which what is presupposed is not an element within the clause but an entire clause. This type of substitution is referred to as clausal substitution. The linguistic items used as substitutes in English are *so* and *not*. Here are some examples:

1. *– If that's the case, then the government is definitely failing to do its duty for us landowners.*

   – I don't think ***so***.
2. *... if you have seen them so often, of course you know what they are like'.*

   'I believe ***so***,' *Alice replied thoughtfully.*
3. *Has anyone gone home? I hope* ***so***.
4. *– Will he come tomorrow?*

   – I think ***not***.

4.4. Ellipsis

Another form of anaphoric cohesion in the text is achieved by ellipsis. Ellipsis is used in the sense that something is omitted in a structure but the missing part can always be recovered from

another structure within a sentence or beyond a sentence. The former is non-cohesive, and the latter cohesive. Elliptical cohesion always appears anaphoric. Like substitution, ellipses are of three types: nominal ellipsis, verbal ellipsis, and clausal ellipsis.

4.4.1. Nominal Ellipsis

At the experiential level, a nominal group is typically realised by the structure of Deictic + Numerative + Epithet + Classifier + Thing (e.g., *The three beautiful garden flowers*). When the Thing is omitted, one of the elements in the modifier must take the role of the Head, but the reader can recover the omitted thing from the presupposition. For example:

Sylvia: *I like the blue hat.*

Mary: *I prefer the green* ***(0)***.

In the above example, we notice that there is a nominal ellipsis *hat*, but it can be retrieved from the previous sentence. We also notice that *green* which functions as Epithet in the nominal group is now functioning as Head.

4.4.2. Verbal Ellipsis

Since the verbal group in English consists of Finite plus Predicator, it follows automatically that any clausal ellipsis in which the mood element is present but the Residue omitted will involve ellipsis within the verbal group. For example:

A: Have you been working hard?

B: Yes, I have ***(0)***.

4.4.3. Clausal Ellipsis

Clausal ellipsis takes the presupposing clause as a basic structure where ellipsis occurs in constituents like the Subject,

Complement, Predicator and Adjunct. Missing part can be recovered from the corresponding presupposed structure in another sentence. Undoubtedly the whole clause can be omitted. For example:

A: *Minh has gone to Ho Chi Minh City this morning.*

B: *Has he? He didn't tell me* ***(0)***.

Activities

1. ***What do you understand by the terms 'ellipsis' and 'substitution'?***
2. ***What are the different types of ellipsis and substitution?***
3. ***How many instances of ellipsis and substitution are there in the following extract? Translate the extract into Vietnamese and make comments on the original and the translated version in terms of substitution and ellipsis.***

Bob: Now, I'd just like to say that I think that ... er ... this government proposing to build more nuclear power station in this country is really being stupid ... um ... The point about nuclear power is that we haven't learnt to do ... er ... away with waste. We haven't learnt to cope with the waste of it yet.

Liz: Well, I sometimes think that, you know, they've got an impossible job. I mean ... I mean ... all the impression I get is that there is no alternative - that's the impression I get.

Bob: No, no, no I ... I ... I don't agree with that at ... at all. There's plenty of alternatives. There's the sun – solar power ... um ...

Richard: Um ... um ... excuse ...

Bob: ... that is the source that is always there, we always have it.

Richard: I don't ... I don't quite see what you are getting at, actually - 'solar power', what's that?

4.5. Conjunctive Cohesion

Conjunction differs from reference, substitution, and ellipsis in that it is not a device for reminding the reader or listener of previously mentioned entities, actions, and states of affairs. In other words, it is not what linguists call an anaphoric relation. However, it is a cohesive device because it signals relationships that can only be fully understood through reference to other parts of the discourse.

Conjunctive cohesion in discourse analysis can be studied either in a narrow way in terms of the logical relation between consecutive clauses, or in a broad way in terms of the logical relation between consecutive events irrespective of their being two sentences or two clauses in a clause complex. For example:

1. *He was very uncomfortable.* ***Nevertheless*** *he fell asleep.*
2. You need to cleanse the skin well, ***then*** to use a good cleaner.

Both the examples show that from what has been said in the first clause or event one can predict what is going to follow next. Such relation is achieved by the use of a conjunction or can be

checked by the possibility of its insertion. Four types of conjunction are recognised in English: adversative, additive, temporal, and causal.

4.5.1. Adversative

The semantic meaning of adversative is 'contrary to expectation'. The expectation may be derived from the content of what is being said or from the communication process, the speaker-hearer situation. For example:

1. *I'm afraid I'll be home late tonight.* ***However,*** *I won't have to go in until late tomorrow.*
2. *All the figures were correct; they'd been checked.* ***Yet*** *the total came out wrong.*

Adversative sense is expressed by a number of words such as *however, yet, although, though, but, in spite of, in contrast, contrary to, adversely, nevertheless, despite.*

4.5.2. Additive

The term additive should be distinguished from the term coordinative, because coordination in sentence grammar implies the relation of a purely paratactic type, and the position of the two related items are interchangeable in most cases, such as *and* in *Winter has gone* ***and*** *spring has come.*

4.5.3. Causal

The causal relation is undoubtedly cohesive in a discoursal environment, as it must consist of two elements, cause and effect. Logically a cause precedes an effect, but in real speech situation, people sometimes start with the effect and then find its root in the cause. In any case, however, the logical relation remains the same;

that is to say, 'because a, then b' has the same value as 'b, because a'. Parallel to the causal relationship, there is a conditional relation. While the causal relation is concerned with the real fact(s), the conditional relation mainly deals with the formula 'if a, then b, or 'b, if a', where the condition 'a' functions as the cause implicitly, without which there will be no result. In English the simple form of causal relation is expressed by *so, thus, hence, therefore, nevertheless, however, consequently, accordingly*, and a number of expressions like as *a result (of that), in consequence (of that), because of that*. Below are two examples of causal relation.

(1) ... she felt that there was no time to be lost, as she was shrinking rapidly; ***so*** *she got to work at once to eat some of the other bit.*

(2) She wouldn't have heard it at all, if it hadn't come quite close to her ears. ***The consequence of*** *this was that it tickled her ears very much, and quite took off her thoughts from the unhappiness of the poor little creature.*

4.5.4. Temporal

Clauses in a discourse are also tied together by their temporal relation, because a discourse is not a collection of unrelated processes, such as a dictionary of quotations. A discourse must be a unified whole, reflecting the whole process of an episode. Being an episode the event or the story has to develop in accordance with the sequence of time.

There are three main types of temporal relation: simple temporal relation, complex temporal relation, and conclusive temporal relation. Simple temporal relation refers to the relation between two events, one of which may be an earlier event and the

other the later event (sequential relation). Of course, the two events can occur simultaneously (simultaneous relation), or the second event can refer to the previous event (preceding relation). Temporal markers in a discourse which express this sort of relation are regarded as simple temporal markers. In English simple temporal markers are (and) *then, next, afterwards, after that, subsequently; (just) then, at the same time, simultaneously; earlier, before, then/that, previously.* Below is an example of simple temporal relation which is realised by *Then*.

The alarm goes off at 4.30. I get up and go and wake Warren. ***Then*** *I go downstairs, make some tea, and take a cup up to Warren.*

With complex temporal relations, the meaning is more specific, often in conjunction with some addition elements. Temporal relations may be immediate, interrupted, repetitive, specific, durative, terminal, and punctiliar. These relations are realised by conjunctives such as *at once, on which, just before, soon, presently, later, after a time, next time, on another occasion, this time, on this occasion, next day, five minutes later, on previous occasion, meanwhile, all this time, by this time, until then, next moment, at this point/moment, the previous moment*, etc. Below is an example of complex temporal relation:

The weather cleared just as the party approached the summit. ***Until then*** *they had seen nothing of the panorama around them.*

Conclusive relation differs from those above in that it is one-directional; i.e., the event is subsequent to all events in a particular passage. In English this type of temporal relation is realised by

conjunctives such as *finally, at last, in the end, eventually, to conclude with, to sum up, in short, at length, briefly, to resume, to get back to the point*, etc. Below is an example of conclusive temporal relation.

David gazed in amazement at Jane for a while, then looked at the girl in front of him, then at Jane again. He seemed to be looking for someone to join him in a serious conversation. ***At length****, he went on with a sigh ...*

Activities

1. ***What is conjunctive cohesion?***
2. ***How many types of conjunctive cohesion are there in English?***
3. ***Find instances of conjunctions in the following text, translate it into Vietnamese and make comments on your translation in terms of conjunctive cohesion.***

Few countries admit officially that they employ spies. However, from time to time, a spy is caught and the public sometimes gets a glimpse of what is going on behind the political scenes. Spies are rarely shot these days. They are frequently tried and imprisoned. If a spy is important enough, he is sometimes handed back to the enemy country in exchange for an equally important spy whom the enemy have caught. Few people have the opportunity to witness such exchanges, for they are carried out in secret.

One cold winter morning in December last year, a small blue car stopped on the bridge in a provincial town in Northern Germany. Three men dressed in heavy black coats got out and

stood on the bridge. While they waited there, they kept on looking over the side. Fifteen minutes later, a motor-boat sailed past and drew up by the river-bank. Three men got out of the boat and looked up at the bridge. The men on the bridge silently walked down the stone steps leading to the river-bank. No words were spoken when they met the men from the boat. After a while, the motor-boat moved off and three men returned to the bridge. Now, only two of them were wearing black coats. The third was dressed in a light grey jacket. Anyone who had been watching the scene might not have realised that two master spies had been exchanged on that cold winter morning.

4.6. Lexical Cohesion

The concept of lexical cohesion was first advanced in terms of collocation by Firth (1957) and developed by Halliday (1961, 1966). Lexical cohesion occurs when two words in a discourse are semantically related in some way. Halliday and Hasan (1976) classify cohesion into two main categories: reiteration and collocation.

4.6.1. Reiteration

Under reiteration there are four subtypes, namely, repetition, synonymy, antonymy, superordinate and meronymy; and general word.

4.6.1.1. Repetition

Repetition refers to the same lexical item with the same meaning occurring more than one in the same discourse. Below are two good examples to show the repetition of the words 'newspaper' and 'bear'.

1. *What we lack in a* ***newspaper*** *is what we should get. In a word, a 'popular'* ***newspaper*** *may be the winning ticket.*

2. *Algy met a* ***bear****. The* ***bear*** *was bulgy.*

4.6.1.2. Synonymy

Synonymy refers to the relation between different words bearing the same meaning or nearly the same meaning for a particular person, object, process or quality. In the example that follows *sound* is synonymous with *noise*, and *cavalry* with *horse*.

He was just wondering which road to take when he was startled by a ***sound*** *from behind him. It was the* ***noise*** *of trotting* ***horses*** *... He dismounted and led his horse as quickly as he could along the right-hand road. The sound of the* ***cavalry*** *grew rapidly nearer...*

4.6.1.3. Antonymy

The function of antonymy is that a contrast between two word items can be expected. It can be further divided into four subtypes, namely, contrary, complementary, relational opposite and ordered series.

Contrary relation refers to those pairs of opposites that are gradable as *thick* and *thin* in *My book is* ***thick*** *and his book is* ***thin***.

Complementary relation consists of a set of only two opposites. Thus, the denial of the one implies the assertion of the other, and the assertion of one implies the denial of the other. The two expressions *win* and *lose* in the example below serves to illustrate the point.

Everybody knows that an army can be bribed to ***win****, but nobody seems to have thought of bribing it to* ***lose*** *a battle.*

Relational opposite refers to two opposite words which are mutually dependent and co-existent. Examples are *doctor - patient* in the first example and *boss- employee* in the second.

1. *He is a* ***doctor*** *and I am a* ***patient.***

2. *The woman was a* ***boss*** *and her husband was her* ***employee.***

Finally, antonymy can be expressed in terms of ordered series. Each item in the series is against the others, but there are more than two opposites and each item is arranged in rank or in order. As a result, they are non-gradable. Examples:

1. *There are four seasons in a year:* ***Spring, Summer, Autumn****, and* ***Winter.***

2. *It was* ***eight*** *o'clock, er, no,* ***nine*** *– that's it,* ***nine*** *o'clock, Madame when the shop in Piccadilly Arcade was in flames.*

4.6.1.4. Superordinate and Meronymy

It is commonly accepted that superordination is for class and subclass relation, and meronymy part/whole relation. Both constitute a set of choices under the taxonomic. The first relation is termed hyponymy and the second meronymy.

The main idea of hyponymy is 'inclusion'; that is, a lower term (hyponym) is included in a upper term (the superordinate). The relation between the two lower terms is that of co-hyponym. Instances for superordinate-hyponyms relation are:

– *music:* *drum, violin, guitar, trumpet*

– *vehicle:* *car, bus, coach, cab (taxi), motobike*

– *business circle:* *pawnshop, local bank, rice mill*

Meronymy presents a part/whole relationship. Consequently, the relation between two parts is one of co-meronym. They can be exemplified as followed:

– car:	*door, driving wheel*
– ship:	*cabin, stern, rudder*
– body:	*arm, face, chest, shoulder*

4.6.1.5. General Word

In the lexical system of English, there is a class of general nouns, which have generalised reference within the major noun classes, such as 'human noun': people, person, man, woman, child, boy, girl, 'object noun': thing, object, 'place noun': place. These items are often neglected in the descriptions of English, but they play a significant part in verbal interaction, and are also an important source of cohesion in the spoken language. The following examples illustrate their cohesive function:

1. Didn't everyone make it clear they expected the ***minister*** *to resign? - They did. But it seems to have made no impression on the* ***man.***

A: Did you try the ***steamed buns****?*

B: Yes, I didn't like the ***things*** *much.*

In the first example, *man* is the general noun for human participant. It includes *minister* anaphorically. In the same way, in the second example, *things* in the second move is an object noun, related anaphorically to *steamed buns* in the first move.

4.6.2. Collocation

Collocation refers to lexical cohesion that is achieved through the association of lexical items that regularly co-occur. Collocation

does not depend on taxonomic organisation of word items, because many word items belong to classes other than noun, such as verbs, adjectives and adverbs, which are difficult to organise taxonomically. Under collocation there are three types: resultative, modificational, and contextual.

4.6.2.1. Resultative

Resultative collocation refers to the relation of one item leading to the outcome of another item such as *kill - die, rain -wet, dark - night, praise - please, river - flow, wind - blow, chair - sit.*

4.6.2.2. Modificational

Modificational collocation refers to the relation holding between an item and one of its inherent qualities; e.g., *run-fast, bright-sun, dark-light, clear-voice, face-pale, rain-heavy, thunder-loud.*

4.6.2.3. Contextual

Contextual collocation differs from the resultative collocation in the sense that the word items do not represent a cause-effect relation, but expectation can be made between the process and the participant. The words concerned are merely nouns and verbs. Examples are *house-build, assets-go bankrupt, doctor-examine, teacher-teaching/explain, bishop-preaching,* etc.

Apart from this, the relation of things or objects that tend to occur together in the contextual situation can also be included under this heading. Examples: *car-driver, river-bank, ship-yard, study-books and newspapers, withdraw-deposit/interest.*

Collocation can cause major problems for discourse analysis because it includes all those items in a discourse that are

semantically related. In some cases this makes it difficult to decide for certain whether a cohesive relationship exists or not. The main problem is that collocation is expressed through open rather than closed class items. Furthermore, there is no limit to the items that can be used to express collocation. This means that it is difficult to establish sets of regularly co-occurring words and phrases. (For more detail of this point see Nunan 1993).

An additional problem is the fact that many lexical relationships are text-bound as well as context-bound. This means that words and phrases that are related in one text may not be related in another. Normally, the words *dog* and *friend* in 1 and *young man* and *guy* do not seem to be related at all. However, in the following examples they are synonyms:

1. *My wife bought a nice little* ***dog*** *last month. The* ***dog*** *is her best* ***friend****.*
2. *The* ***young man*** *you met last week is working at my company. That* ***guy*** *will come the customers' conference at City Hall.*

Given this text-bound nature of many lexical relationships, it is impossible to develop a finite list of relatable lexical items in English. However, despite its problematic nature, lexical cohesion is, in many ways, the most interesting of all the cohesive categories. The background knowledge of the reader plays a more obvious role in the perception of lexical relationships than in the perception of other types of cohesion. This is because collocation patterns will only be perceived by someone who knows something about the subject at hand. The text-bound nature of many lexical relations, and the role of the language user in perceiving these, creates a problem for the linguist concerned with providing a semantic account of lexical cohesion.

Activity

Find lexical cohesions in the following extract, translate it into Vietnamese and comment on it in terms of lexical cohesions.

Carl Jung was fond of saying that his most interesting conversations were not with his famous patients or with members of his circle of friends, but with strangers. One can only assume that anonymous conversations in Switzerland are very different from their British counterparts, where the vagaries of the weather take precedence over everything else.

The common assumption that the weather is the top topic of conversation between strangers was confirmed by a survey commissioned by Legal and General when it sponsored ITV's regional weather forecasts.

The weather forecast is the most frequently broadcast programme in Britain – the BBC alone transmits over 40 weather bulletins each day on TV and radio. It is also the most watched programme on television, with many people switching on specially at the end of the news. Since BARB (Broadcasters Audience Research Bureau) data does not measure programmes which have been watched for less than 15 minutes, this broadcasting phenomenon is denied its true place at the top of the ratings chart.

4.7. Concluding Remarks

In this chapter, we have been concerned with the role of cohesion analysis in translation. Like grammatical analysis, cohesion analysis is sometimes implicit, sometimes explicit in the mind of the translator. However, what can be confirmed at this

point is that in the process of translating a text, the translator does analyse the cohesive ties (both grammatical and lexical). Bearing this in mind, in this chapter we attempted to look at five main types of cohesion which we think are of interest to the translator: reference, substitution, ellipsis, conjunction, and lexical cohesion. Each type of cohesion has a number of subtypes: (i) reference can be anaphoric, cataphoric and exophoric; it can also be personal, demonstrative and comparative; (ii) substitution can be nominal, verbal, and clausal; (iii) ellipsis can also be nominal, verbal, clausal; (iv) conjunction can be adversative, causal and temporal; and (v) lexical cohesion consists of (a) reiteration which comprises repetition, synonymy, antonymy, superordinate and meronymy, and general words and (b) collocation which has three subtypes: resultative collocation, collocation collocation, and contextual collocation. Now that we have presented the analysis stage (contextual, grammatical, and discoursal), we turn to Chapter 5 where we will explore the kinds of translation which the translator at work often has to perform.

CHAPTER 5

KINDS OF TRANSLATION

5.1. Introduction

It is often thought that when given a text, the translator's task is to translate it from beginning to end. But it is not always the case. In fact, as we can see, what the translator often has to do is not always at his own will but on the order of the employer (person or institution who needs the text to be translated). This is concerned with what is referred to in English as kinds of translation.

In this chapter we shall attempt to explore in some detail a number of different kinds of translation as suggested by Catford, Larson, and Newmark.

5.2. Catford

As mentioned in passing in Chapter 1, in his book *A Linguistic Theory of Translation*, Catford (1965) discusses a number of kinds of translation: full v. partial, total v. restricted, phonological, graphological, transliteration, rank-bound, and bounded.

- **Full translation** is translation in which the entire text is submitted to the translation process; that is, every part of the source language text is replaced by target language text material.
- **Partial translation** is translation in which some part or parts of the source language text are left untranslated: they are simply transferred to and incorporated in the target language text.

- **Total translation** is translation in which all levels of source language text are replaced by target language material. Strictly speaking, 'total' translation is a misleading term, since, though total *replacement* is involved it is not replacement by *equivalents* at all levels.

- **Restricted translation** refers to the replacement of source language textual material by equivalent target language textual material, at only one level; that is, translation performed only at the phonological or at the graphological, or at only one of the two levels of grammar and lexis.

- **Phonological translation** is the replacement of the source language phonology by the target language phonology.

- **Graphological translation** is the replacement of the source language graphology by the target language graphology.

- **Transliteration** refers to a complex translating process which involves phonological translation with the addition of phonology-graphology correlation at both ends of the process, i.e., in source language and target language.

- **Rank-bound translation** is translation in which the selection of target language equivalents is deliberately confined to one rank (or a few ranks) in the hierarchy of grammatical units.

- **Unbounded translation,** in contrast, refers to normal total translation in which equivalences shift freely up and down the rank scale.

Activity

Translate the following into Vietnamese, using Catford's framework of kinds of translation, then comment on each version.

1. *Love me love my dog.*
2. *It's raining cats and dogs.*
3. *It is said that everyone lives by selling something. In the light of this statement, teachers live by selling knowledge, philosophers by selling wisdom and priests by selling spiritual comfort. Though it may be possible to measure the value of material goods in terms of money, it is extremely difficult to estimate the true value of the services which people perform for us. There are times when we would willingly give everything we possess to save our lives, yet we may grudge paying a surgeon a high fee for offering us precisely this service. The conditions of society are such that skills have to be paid in the same way that goods are paid for at a shop. Everyone has something to sell.*

   Tramps seem to be the only exception to the general rule. Beggars almost sell themselves as human beings to arouse the pity of passers-by. But real tramps are not beggars. They have nothing to sell and require nothing from others. In seeking independence, they do not sacrifice their human dignity. A tramp may ask you for money, but he will never ask you to feel sorry for him. He has deliberately chosen to lead the life he leads and is fully aware of the consequences. His few material possessions make it possible for him to move from place

to place with ease. By having to sleep in the open, he gets far closer to the world of nature than most of us ever do. He may hunt, beg, or steal occasionally to keep himself alive; he may even at times of real need do a little work; but he will never sacrifice his freedom. We often speak of tramps with contempt and put them in the same class as beggars, but how many of us can honestly say that we have not felt a little envious of their simple way of life and their freedom from care?

5.3. Newmark

Unlike Catford, Newmark (1988b) looks at kinds of translation from the point of view of the reader. He makes a distinction between **semantic** and **communicative** translation. He admits that all translation must be in some degree both communicative and semantic, social and individual. For Newmark, in communicative translation, the only part of the meaning of the original which is rendered is the part which corresponds to the target language reader's understanding of the identical message. In this kind of translation, the translator is allowed to modify, correct and improve the latest version of the copy of his translation without reference to the original.

Newmark (*Ibid.*) points out some problems of communicative translation. The first is that the translator will have to decide to what extent s/he should simplify and therefore emphasise the basic message. The second is that s/he has to decide on the highest common factor of intelligence, knowledge and sensitivity possessed by the total readership. The third is concerned with the difficulty in measuring the intuitive nature of communication; because its success can be measured only by investigating the reaction of the readers to whom it is addressed.

Semantic translation, in contrast, refers to the translator's respect to the context in which the text occurs and his loyalty to the author. If the semantic translator is asked whether his first duty to his author is not to communicate the meaning of the text to the reader, his answer is perhaps *Yes* and *No*. Certainly, if the text is not modern, the translation has to be put into modern language, which in itself moves it nearer to the reader. Further, if the language contains symbolism and expressive elements which are likely to be completely inaccessible to the reader, then it is the translator's duty to make their comprehension possible.

It should be noted here that semantic translation is not as rigid procedure: it is more objective than communicative translation, since the source language words as well as the sentences are operative in the form of control.

We can summarise the main differences between communicative and semantic translation as suggested by Newmark as follows: first, communicative translation is reader-oriented, semantic translation is author-oriented; secondly, a semantic translation is likely to be shorter than a communicative translation – it is devoid of redundancy, phatic language, stylistic aids and joins; and thirdly, a communicative translation is likely to be smoother, simpler, clearer, more direct, more conventional, conforming to a particular register of language, tending to undertranslate, i.e. to use more generic hold-all terms in difficult passages, whereas a semantic translation tends to be more complex, more awkward, more detailed, more concentrated, and pursues the thought-process rather than the intention of the transmitter.

Activities

Use two kinds of translation as suggested by Newmark to translate the following texts into Vietnamese.

Text 1

Original text	Modern English version
And French she spak ful faire and fatisly	*And she spoke French well and elegantly*
After the scole of Strafford atte Bowe,	*As she'd been taught it at Strafford-at-Bow,*
for French of Paris was to hir unlnowe.	*For French of Paris was to her unknown.*

Text 2

And they said go to, let us build us a city and a tower, whose top may reach unto heaven. And the Lord said, Behold, the people is one, and they all have one language; and this they begin to do. Go to, let us go down, and confound their language, that they may not understand one another's speech. Therefore is the name of it called Babel; because the Lord did there confound the language of all the earth.

5.4. Larson

Larson (1984) divides translation into two main kinds: literal and idiomatic. According to the author, literal translation is form-based while idiomatic translation is meaning-based. An interlinear translation is a completely literal translation. For some purposes, it is desirable to reproduce the linguistic features of the source text, as for example, in a linguistic study of that language. However,

although literal translation is useful for purposes related to the study of the source language, it is of little help to the speakers of the receptor language who are interested in the meaning of the source language text. Literal translation sounds like nonsense and has very little communicative value. For example:

- Vietnamese original : *Thuyền ơi có nhớ bến chăng?*
- Completely literal English translation: *Boat, yes remember wharf?*
- Partial or modified literal English translation: *Boat, do you remember wharf?*

These kinds of translation make little sense in English. The appropriate translation would be: *Oh my darling, do you miss me?*

If two languages are related, the literal translation can often be understood, since the general grammatical form may be similar. But if they are not related, the literal choice of grammatical form and lexical items makes the translation sound foreign. For example:

- English original: *What did you have for your breakfast?*
- Completely literal Vietnamese translation: Cái gì anh (quá khứ) có cho bữa sáng của anh?
- Modified literal Vietnamese translation: *Anh đã có cái gì cho bữa sáng?*
- Suggested appropriate Vietnamese translation: *Sáng nay anh ăn/dùng gì?*

In contrast to literal translation, idiomatic translation uses natural forms of receptor language, both in the grammatical constructions and in the choice of lexical items. A truly idiomatic

translation does not sound like a translation. It sounds as if it were written originally in the receptor language. Therefore, it is recommended that a good translator should try to translate idiomatically. This is his goal. However, translations are often a mixture of a literal transfer of the grammatical units along with some idiomatic translation of the meaning of the text. We can see different kinds of translation as lying on a cline, from very literal to very free in Figure 4.1. below.

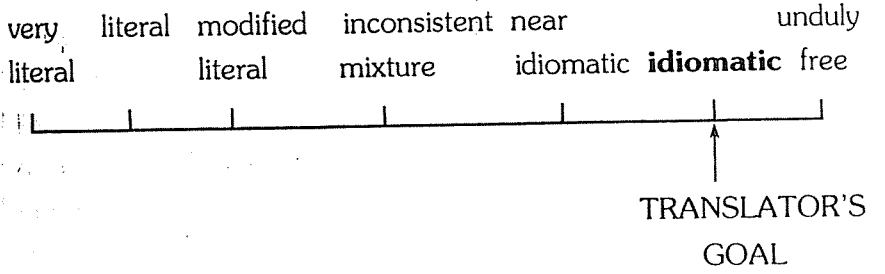

Figure 4.1. Kinds of Translation (Source: Larson 1984: 17)

The above display shows that idiomatic translation is the centre of all kinds of translation. Each language has its own idiomatic way of expressing meaning through lexical items (words, phrases, etc.). Languages abound in idioms, what Larson (*Ibid.*) calls 'secondary meaning' or metaphor (see Chapter V), and other figurative meanings. Notice the ways in which a fever in English is referred to (literal translations are given to show the source language form):

- Greek: *The fever left him.*
- Aguaruna: *He cooled.*
- Ilocano: *The fever is no more in him.*

The appropriate translation of all three would be *His fever went down* (Cơn sốt của anh ta đã hạ), or *His temperature returned to normal* (Nhiệt độ của anh ta trở lại bình thường).

All languages have idioms. These are realised in a string of words whose meaning is different from the meaning conveyed by the individual words. In English, when we want to say that someone is stubborn, we may say *He is bullheaded*. In the same way, in Vietnamese, when we want to say that some boy who is loved by many girls we can say *Anh ta số đào hoa*. Languages abound in such idioms. The following are few English idioms using *into* and *in*: *run into debt, rush into print, step into a practice, fly into a passion, spring into a notice, jump into a fight, dive into a book, wade into adversity, break into society, stumble into acquaintance, glide into intimacy, fall in love*. In spite of all these combinations, one cannot say the following: *break into debt, fall into print, wade into practice*. The combinations are fixed as to form and their meaning comes from the combination. A word-for-translation of these idioms into another language will not make sense.

Translators who want to make a good idiomatic translation often find idioms challenging. In translating this kind of language, in order to preserve the meaning, the form must be sacrificed. The literal translation of *blind as a bat* might sound very strange in a language where the comparison between a *blind person* and a *bat* has never been used as metaphor.

Names of animals are used metaphorically in most languages. But the comparison is often different and so the figure is often misunderstood unless some adjustment is made. For example, when someone is called a *pig* in English, it usually means s/he is a dirty or a greedy eater, but when s/he is called *Đồ con lợn* in Vietnamese, it usually means s/he is stupid.

5.5. Summary

Translation is an extremely complex process. However, a translator who is concerned with transferring the meaning of the original text will find that the receptor language has a way in which the desired meaning can be expressed, even though it may be very different from the source language form. In the early days, scholars like Cicero and Horace insisted that one must translate the general sense and force of the language. Literal translations were laughed out of court. Horace stated that a faithful translator will not translate word-for-word. Jorome said that two things are necessary for a good translation – an adequate understanding of the original language (the source language) and an adequate command of the language into which one is translating (the receptor language).

Now the question is, *How can the translator hope to produce an adequate translation?* Literalisms can only be avoided by careful analysis of the source language, by, first of all, understand clearly the message to be communicated. A translator who takes the time to study carefully the source language text, to write a grammatical and semantic analysis of it, and then look for the equivalent way in which the same message is expressed naturally in the receptor language, will be able to provide an adequate and sometimes brilliant translation. His goal must be to avoid literalisms and to strive for a truly idiomatic receptor language text. He is successful if the receptor language readers do not recognise his work as a translation, but simply as a text in the receptor language for their information and enjoyment. Bearing the above ideas in mind, in this chapter we have presented different kinds of translation as suggested by Catford, Newmark, and Larson. For Catford, translation can be full, partial, total, restricted, phonological, graphological, transliterational, rank-bound and

unbounded. For Newmark, only two kinds of translation are recognised: semantic and communicative. And for Larson, translation may range from very literal to very free among which idiomatic translation is the target which the translator has to reach at. Now that we have finished Chapter 5, we turn to Chapter 6 where we will explore some problems related to the translation of scientific texts.

Activities

1. ***How many kinds of translation are there in Catford's classification? How is each of them defined by Catford?***
2. ***How many kinds of translation are there in Newmark's classification? How does he make a distinction between them?***
3. ***How many kinds of translation are there in Larson's classification? Why does she say that idiomatic translation is the target that the translator should reach at?***
4. ***Translate the following into Vietnamese, using idiomatic translation:***

a. *Despite the difficulties, he saw the job through to the end.*

b. *Few of us can afford to pay for professional decorators to do up a house or flat.*

c. *Go through the text and find five examples of each.*

d. *You are bright and breezy for a dismal Monday morning.*

e. *She is under the weather at the moment.*

f. *The whole affair is a storm at the teacup.*

g. *I know it's not a huge corporation to work for – but it's better to be a big fish in a small pond.*

h. *Janice felt at ease at the party because she didn't known anyone there; they were all complete strangers to her.*

5. Translate the following extracts into Vietnamese.

(a) Demography, the size of the population, the speed at which it changes and its age structure, is an important factor in determining how a country's economy will perform and what economic policies a government should pursue.

(b) The dependency ratio is not a completely accurate measure of how many non-working people need to be supported by those with jobs. After all not everyone between 16 and 65 and every woman between 16 and 60 has paid employment. In many societies it is frowned upon for married women – particularly those with young children – to have jobs.

(c) One way of using an expression is to use it as 'a name for a thing'. But before an expression and a thing can be so used, both must have found their places among others. This they cannot do by way of mere 'naming'. Only when it is clear that an expression can be used in many and various ways, and a thing be spoken of in many and various ways, are the two sufficiently be established for the one to be used as 'name' for the other.

CHAPTER 6

PROBLEMS RELATED TO THE TRANSLATION OF SCIENTIFIC AND TECHNICAL DISCOURSE

6.1. Introduction

We have already seen in Chapter 1 that translating is a very complex process. It is complex because it involves many problem-solving and decision-making tasks which seem to strike the translator's mind simultaneously during the translating process. Furthermore, what seems to be more problematic for the translator is that when translating a text, s/he will have to create in the target language an equivalent context which is foreign to the target language itself. To put it more specifically, the problem lies in the seemingly contradictory view that in translating a text from English into Vietnamese, we are creating in Vietnamese a context that is foreign to Vietnamese with an aim that the Vietnamese reader will understand the meaning that is similar to the meaning in the writer's original text. With regard to the translation of the translation of scientific text, what seems to be one of the most difficult problems for the translator is that scientific discourse is a kind of language for the expert not for the lay people. It is for the expert in the sense that it is not always easy to read and thus often causes problems for the translator. To illustrate this point, let us consider the following extract:

If the Humours of the Eye by old Age decay, so as by shrinking to make the Cornea and Coat of the Crystalline Humour grow flatter than before, the light will not be refracted enough, and for want of a sufficient Refraction will not

converge to the bottom, of the Eye but to some place beyond it, and by consequence paint in the bottom of the Eye a confused Picture, and according to the indistinctness of this Picture the Object will appear confused. This is the reason of decay of sight in old Men, and shews why their Sight is mended by Spectacles. For those Convex glasses supply the defect of Plumpness in the Eye, and by increasing the refraction make the Rays converge sooner, so as to convene distinctly at the bottom of the Eye if the glass have a due degree of convexity. And the contrary happens in short-sighted Men whose Eyes are too plump. (Newton 1704, pp. 15-16)

(Nếu như thuỷ tinh thể trong mắt bị thoái hoá do tuổi cao, thể hiện bằng hiện tượng co thắt làm cho giáp mạc và lớp màng của thuỷ tinh thể phát triển mỏng đi so với trước, thì ánh sáng sẽ không được khúc xạ đầy đủ, và muốn khúc xạ đầy đủ thì nó sẽ không hội tụ ở võng mạc mà ở một nơi nào đó ở bên ngoài. Kết quả là nó phủ lên võng mạc một hình ảnh lẫn lộn và do sự mờ ảo này của hình ảnh mà sự vật trở nên rất lẫn lộn. Đây là lí do thoái hoá thị lực ở những người cao tuổi, nó giải thích tại sao thị lực của họ lại phải nhờ vào sự trợ giúp của kính. Vì những thấu kính mắt lồi ấy bổ sung cho sự thiếu độ dày của thuỷ tinh thể và thông qua việc tăng độ khúc xạ chúng làm cho các tia sáng hội tụ nhanh hơn để hội tụ một cách rõ ràng (hình ảnh) ở võng mạc nếu thấu kính có độ lồi phù hợp. Và sự trái ngược xảy ra ở những người cận thị, những người mà mắt của họ quá lồi.)

What can we say about this extract? The first thing that may attract our attention is that it is not easy to read. This is due to a number of problems:

- **Technical terms:** *Humours, cornea, coat, convexity, Crystalline Humour, sight*

- **Special expressions:** *Humours of the Eye by old Age decay, for want of a sufficient Refraction, the reason of the decay of sight in old Men, short-sighted men.*
- **Syntactic ambiguity:** *the Humours of the Eye by old Age decay, for want of a sufficient Refraction, the reason of the decay of sight in old men.*
- **Grammatical metaphor:** *refracted – refraction; plump – plumpness, convex – convexity, confused picture – the indistinctness of this picture,* [grow] *fatter* – [the defect of] *Plumpness.*

These problems will be discussed in some detail in the subsections that follow:

a. Technical terms. The central difficulty in technical and scientific translation is usually the new terminology. Some technical terms appear only once in the source language and the context in which they appear are usually not quite clear to the translator. Furthermore, what makes it difficult to translate is that technical terms are distilled knowledge and very often translators are not specialists in the field they are translating. That is why, when coming across a new term, they may find it a problem to render it into the target language.

b. Special Expressions. Some expressions used in scientific and technical language have a special grammar of their own, for example, *solving the open sentence over D.* Here it is the expression as a whole that gets to be defined, rather than any particular word in it.

> If D is the domain of a variable in an open sentence, the process of finding the truth set is called solving the open sentence over D. (Nếu D là miền xác định của một câu mở, thì quá trình tìm tập hợp thực được gọi là giải câu mở qua D.)

This kind of special expression is referred to as 'technical grammar'. It is not particularly problematic once it has been explained. This kind of grammar is more common in mathematics than in science. Mathematicians often have to stretch the grammar a little in order to say what they want. In Isaac Newton's writings we find some very long nominal constructions, like the following in the *Treatise on Optics*:

> The Excesses of the Sines of Refraction of several sorts of Rays above their common Sine of Incidence when the Refractions are made out of divers denser ediums immediately into one and the same rarer Medium, suppose of Air, ...

– all of which is merely Subject of the clause. The language of science has brought its own innovations, stretching grammar in ways which are at first sight less obvious but which tend to cause greater difficulties of comprehension. Below is another example in English which may cause difficulties for the translator:

> Your completed **table** should tell you what happens to the **risk** of getting lung cancer as **smoking increases.**
>
> (Bảng (thống kê) hoàn chỉnh của bạn phải chỉ được cho bạn biết điều gì xảy ra với sự rủi ro của việc mắc bệnh ung thư khi hút thuốc lá tăng lên.)

Here the ***table*** is, of course, a table of figure. But, how does a table tell you something? – tables do not talk, even tables of figures. And what kind of object is a ***risk*** such that we can ask what happens to it? And what does ***smoking increases*** mean: that more smoke is put out by some combustion process? What kind of relationship is being expressed by *as*: does it mean 'while' (time), 'because' (cause), or in the same way that' (manner)?

What is being illustrated here is not, in fact, a single phenomenon. It is a set of interphenomena or features which tend to go together in modern scientific writing in English, forming a kind of syndrome by which we recognise that something is written in the language of science. But although these features commonly go together, in order to understand the problems they pose to the translator, we need to separate them out.

c. *Syntactic Ambiguity.* Consider the following example:

Increase responsiveness may be reflected in feeding behaviour.

The structure of this clause is simple: a nominal group, functioning as Subject, followed by a verbal group, followed by another nominal group with a preposition introducing it. If we focus attention on the verbal expression *may be reflected* (in), we find that it is ambiguous in two respects. In the first place, we cannot tell whether it indicates a relationship of cause or of evidence. Is one thing being said to be the effect of another, or is it merely the outward sign of it? Does the feeding behaviour demonstrate that responsiveness has increased, or does it change as a result of the increase? In the second place, suppose that we can identify a relationship of cause we still cannot tell which causes which. Is increased responsiveness brought about by feeding behaviour, or does it cause the feeding behaviour? It may seem obvious to the writer who is a scientist, but it may be far from obvious to the translator who has little or no knowledge about the field.

d. *Grammatical Metaphor.* The high lexical density and the ambiguity discussed in the two previous sections are the by-product of what Halliday (1994) refers to as 'grammatical metaphor'. This

is like metaphor in the usual sense except that, instead of being a substitution of one word for another, it is a substitution of one grammatical class, or one grammatical structure, by another; for example, instead of using the whole clause (a) *she* (Subject) *spoke* (Predicator) *recently* (Adjunct 1) *concerning poverty* (Adjunct 2), speakers, particularly, scientists, often say (b) *her* (Deitcic) *recent* (Epithet) *speech* (Thing) *concerned poverty* (Qualifier), turning the clause into a nominal group. In this way they package information which often makes it difficult for the reader/translator to understand. If we examine (a) and (b) closely, we may find that there is a complex metaphorical process: *she* in (a), which functions as Subject of the clause has been turned into *her*, functioning as Deictic of the nominal group in (b); *spoke*, which functions as Predicator, has been turned into *speech* functioning as Thing; *recently*, which functions as Circumstance, has been turned into *recent* functioning as Epithet; *concerning poverty*, which functions Adjunct, has been turned to *concerned poverty* functioning as Qualifier. This process of grammatical metaphor constitutes a sort of syndrome in scientific and technical discourse often causes problems to the translator.

6.2. Some Specific Problems of Scientific Translation: A Case Study

In this section, we will look at some specific problems experienced by the tranlator at work. The source text is an extract from a report made by the late Rector of the College of Foreign Languages – VNU, Hanoi (previously the Hanoi Foreign Languages Teachers' Training Colleges), professor Truong Dong San.

Tổng kết về lý luận và thực tiễn ba năm thực hiện chương trình và giáo trình cải tiến Đại học Sư phạm Ngoại ngữ 5 năm

(1) Hôm nay Trường Đại học Sư phạm Ngoại ngữ chúng ta tiến hành hội nghị khoa học thường kỳ hàng năm. (2) Mục đích của hội nghị năm nay là tổng kết về lý luận và thực tiễn ba năm thực hiện chương trình và giáo trình cải tiến hệ năm năm Đại học Sư phạm Ngoại ngữ (3) để đánh giá những ưu điểm và những mặt cần sửa đổi cho phù hợp với mục tiêu đào tạo và yêu cầu của thực tiễn dạy học, (4) nhằm nâng cao hơn nữa chất lượng đào tạo phục vụ thiết thực và có hiệu quả sự nghiệp cải cách giáo dục.

(5) Từ năm học 1981 – 1982 đến nay cán bộ trường ta, dưới sự chỉ đạo trực tiếp của Hội đồng bộ môn ngoại ngữ Bộ Giáo dục đã nghiên cứu, biên soạn, và hoàn thành:

Xây dựng mục tiêu đào tạo toàn diện hệ Đại học Sư phạm Ngoại ngữ 5 năm

- *Xây dựng các môn học phù hợp mục tiêu đó;*
- *Phân bố quỹ thời gian 5 năm học cho tất cả các hoạt động đào tạo và xây dựng kế hoạch dạy học 12 môn trên lớp cho cả ba khoa.*

This is a scientific text in the field of education management. Given this text and asked to translate it into English, the translator will experience at least three problem: (i) the problem of word choice, (ii) the problems of ordering elements and interpreting syntactic ambiguity in the nominal group, and (iii) the problem of rendering time reference from Vietnamese into English. These problems will be discussed in the subsections that follow.

6.2.1. The Problem of Word Choice

Wilss (1982b) introduces the concept of 'translator-specific aspect of translation equivalence' to account in part for the fact that different translators produce different target language versions of one and the same source language text. According to Wilss (*Ibid.*), every translator, like every human being, stands in a specific relation to reality. S/He possesses a specific linguistic and extra-linguistic volume of experience and a range of translational interests. S/He belongs to a specific language community, and within this language community s/he belongs to a specific social group which determines his/her value system, which in turn controls his/her translational production. Against this social and cultural background, translation of a text is always subject to interference from the subjectivity of the translator. In discussing translation, we must admit that translators are not abstract entities, but human beings, and as such leave their fingerprints on their finished translation products. Since in practice no two fingerprints are exactly alike, there are 'no completely identical target language versions of a source language text which has been translated by various translators, even if the translators possess a comparable degree of translation competence and even if the outward conditions for the translation of the particular text are identical' (Wilss 1982b: 9). With regard to the translation of scientific texts, like the translation of any other texts, the translator's subjectivity can be seen most clearly in the choice of words in the target language text. This constitutes the centrality of our discussion in this section.

Right at the beginning of the title, the translator comes across the noun *Tổng kết*. This word may correspond either to *summary* or *summing-up* in English. But these words, when back-translated,

may also correspond to *sơ kết* and *tóm tắt* in Vietnamese. How to make the most appropriate choice in this situation? If the translator chooses either *Summary* or *Summing-up* for *Tổng kết*, the choice is still made at the word-for-word or literal level and neither of them can capture the meaning of *Tổng kết* in this context. Experience has shown that the title can be appropriately rendered only after the translator has gone through the text. This is a report addressed by the university rector to the academic staff at the college's annual conference. The text not only summarises but also evaluates all the theoretical and practical aspects of foreign language teaching at the college. Therefore, *Evaluative Report* would probably be the phrase that may correspond to *Tổng kết* in this context.

The second problem concerns the choice of the English word which may correspond to the word *chương trình* in the title and in clause 2. The problem here is that even in education and language teaching context, such English words as *programme, curriculum, agenda*, and *syllabus* can be all rendered into Vietnamese as *chương trình*. We, Vietnamese translators, often translate *chương trình hành động* into English as *action plan* or *plan of action*; *chương trình của Bộ Giáo dục* as *curriculum of the Ministry of Education*, *chương trình nghe-nói* as *syllabus for speaking-listening skills* and so forth. Therefore, it might be suggested that the appropriate choice of the English word for *chương trình* is the combination of two factors: the translator's understanding of the context and his/her knowledge in the field of education management and language teaching.

There are many other words in the extract which the translator has to consider carefully before making his/her final choice. These are:

tiến hành (clause 1) = carry out? organise? hold?

thực hiện (title) = implement? exercise?

về (title, clause 2) = on? about?

sửa đổi (clause 3) = modify? amend? adjust? repair?

cán bộ (clause 3) = cadre, staff, academic staff?

khoa (clause 5) = faculty? department?

nhằm (clause 4) = in order to? so as to? in attempt to?

xây dựng (clause 5) = formulate? build? design? make? set up?

6.2.2. The Problems of Ordering Elements and Interpreting Syntactic Ambiguity in the Nominal Group

Unlike English, most modifying elements in the Vietnamese nominal group (except non-specific deictics such as *tất cả, vài, vài, một, hai*) are ordered after the head noun. In this text, the translator may realise that the translation of the nominal group is one of the most difficult problems. There are many long nominal groups, some of them need to be analysed carefully before translating into English. Take the title as an example. This nominal group consists of 17 words:

Tổng kết: head noun

về lý luận và thực tiễn: qualifier or post-modifier (realised by prepositional phrase)

3 năm thực hiện chương trình và giáo trình cải tiến: post-modifier (nominal group)

Đại học Sư phạm Ngoại ngữ 5 năm: post-modifier (sub-nominal group)

Sư phạm Ngoại ngữ: post-modifier (sub-nominal group)

5 năm: post-modifier (sub-nominal group)

Suppose that all problems within these sub-nominal groups and phrases have been solved and that the translator has decided to retain the order of the Vietnamese nominal group and translated all of them into English, the translated version now reads as follows:

Evaluative Report on 'the Theory and Practice (1) 3 Years' Implementing the Reformed Curriculum and Textbooks (2) University for Teachers of Foreign Languages (3) 5 Years.

At this point, there are at least three problems that need to be solved. (1) and (2) concern what Halliday (1989) calls 'syntactic ambiguity' in strings of nouns, leaving inexplicit the semantic relations among them, and (3) has to do with the question of ordering elements in the nominal group. If one observes (3) carefully, one may ask: 'Is the sub-nominal group *5 Years* poorly ordered?' Probably it is. This is because the same nominal group can be seen in clause 2 in which *5 năm* occurs before *Sư phạm Ngoại ngữ* with the noun *hệ* functioning as head of this nominal group, and the translator can see that *hệ năm năm* modifies the sub-nominal group *chương trình và giáo trình cải tiến*. Now, the problem is how to order *hệ năm năm* in the English translated version. Should *5 year* be ordered before or after *reformed*? Should the whole sub-nominal group read as *the 5 year course reformed curriculum and textbooks* or should it read as *the reformed 5-year course curriculum and textbooks*? At this point, it is quite up to the translator to make the choice.

Turning to (1) and (2), we may realise that they are concerned with the problem of syntactic ambiguity. This problem, as discussed in Section 6.1, causes problems for the translator because something that would be expressed as a clause is expressed instead as a group of words catering on a noun. Between ... *practice* and

3 years and ... *textbooks* and *university*, we see no explicit markers indicating the relation between these sub-nominal groups. This syntactic ambiguity may result in a number of different semantic interpretations and most of them may be possible. In (1), there are at least three possible interpretations and when translated into English they would read as:

... *the theory and practice* ***of*** *3 years*' ...

... *the theory and practice* ***in*** *3 years*' ...

... *the theory and practice* ***after*** *3 years*' ...

Similarly, in (2) there are also three possible interpretations and we may find it difficult to decide which is more appropriate:

... *textbooks* ***of*** *the university*

... *textbooks* ***at*** *the university*

... *textbooks* ***in*** *the university*

These problems of interpreting syntactic ambiguity between elements in a string of nouns suggest that in order to achieve equivalence in translation the translator not only has to analyse the source text carefully but also has to restructure the target text appropriately so that it may sound 'natural' to the reader.

6.2.3. The Problem of Rendering Time Reference from Vietnamese into English

Unlike verbs in English, verbs in Vietnamese do not change in form. They do not express time reference and aspect either. When we look at a verb in the Vietnamese clause, we cannot know whether the action performed by the verb belongs to the present or the past or or the future. Neither can we tell whether the action is completed or in progress. For these reasons, Vietnamese

linguists (e.g., N. T. Can 1975, N. K. Than 1977, M. N. Chu, V. D. Nghieu, & H. T. Phien 1992) claim that there are no tenses in Vietnamese. The fact that Vietnamese has no tenses and that time reference is expressed by ways which are different from those in English, has caused problems for the translator. Although it is claimed that Vietnamese uses markers such as *đã, đang,* and *sẽ* to express time (past, present, and future respectively) and aspect, the frequency of occurrence of these markers in Vietnamese texts is very low: 17% - 20 % in scientific and informative texts. We may observe the same situation in the extract above. Among the five clauses, only one (clause 5) contains *đã* and four other contain no markers of this kind. For this reason, when looking at clauses 1 and 2 *Hôm nay trường Đại học Sư phạm Ngoại ngữ chúng ta tiến hành hội nghị khoa học thường kì hàng năm* and *Mục đích của hội nghị năm nay là tổng kết về lí luận và thực tiễn 3 năm thực hiện chương trình và giáo trình cải tiến hệ 5 năm ĐHSPNN*, we may find it difficult to translate the two verbs *tiến hành* and *là* into English because they do not tell us the time and the aspect of the action or state of being. It might be argued that with the occurrence of *Hôm nay* in clause 1, it is possible to say that the time in which an action (*tiến hành*) and a state (*là*) occur is in the present. This does not sound quite convincing because even in this context one can still say *Hôm nay chúng ta đã tiến hành* (today we held ...). Therefore, the co-text in which the clause occur does not help the translator much in deciding the time reference of these verbs, and the problem still remains.

Suppose that *tiến hành* and *là* express present time, another problem may occur: among the present tenses in English which will be the most appropriate that may correspond to the two Vietnamese verbs? Will *tiến hành* correspond to *is holding?* or *holds?* or *has held?* Similarly will *là* correspond to *is?* or *has been?*

The structure of the verb phrases in clause 5 looks rather easy for the translator because of the occurrence of the marker *đã* to indicate that *nghiên cứu, biên soạn* and *hoàn thành* express the past time. But will *nghiên cứu, biên soạn* and *hoàn thành* correspond to:

+ *have studied, compiled, and completed?* Or
+ *studied, compiled, and completed?* Or
+ *had studied, compiled, and completed?* Or
+ *were studying, compiling, and completing?*

As translators, we are sure that every translator can make their choice which they think is the most appropriate. And the choice here is based on, among other things, the co-text of text and the context of situation in which the text occurs.

Apart from the problems discussed above, there are still many others which, due to lack of space, are not mentioned in our discussion. In fact, problems of translation can be felt in all ranks of the grammar: phonological, lexical, syntactic, and semantic. At this point it needs to be reconfirmed that translation is a process which is full of problem-solving and problem-making tasks. The purpose of these tasks is to bridge correspondences between the source language and the target language. If it is really the case, we would suggest that total correspondence can never be achieved without considering the context in which the source text occurs, the context in which the target text is placed, the text type (text genre), the functions of lexical units, the intention of the speaker/writer and above all, the functions of language.

6.3. Summary

This chapter has been concerned with some of the main problems related to the translation of scientific and technical texts.

We attempted to show that scientific and technical texts represent a kind of knowledge which are for the specialist but not for the layman. That is why, ordinary readers, particularly translators who are not specialists, may find it very difficult to read. The problems suggested are **technical terms or terminology, special expressions, syntactic ambiguity in long and complex nominal groups**, and **grammatical metaphors**. In the final section, we undertook a case study, attempting to translate a Vietnamese text of the educational text type into English. Our case study has suggested that in translating a text from one language into another, depending on the level of competence, the translator may experience a lot of problems and these problems can be found at all ranks of the grammar and that translation is possible but it is impossible to achieve total equivalence between the source language and the target language. Now that we have finished Chapter 6, we turn to Chapter 7 where we will present some problems in literary translation.

Discussion and Activities

1. ***Why is it difficult to translate a scientific/technical text from one language into another?***
2. ***Point out the syndrome which makes it difficult for the translator to translate a scientific/technical text from one language into another.***
3. ***Translate the following extracts into Vietnamese and make comments on each version of translation against the source text.***

Extract 1

Unlike many other species of turtle, the red-eared terrapin (Chrysemys scripta elegans) is not rare. In fact, four to five million hatchlings are exported annually from America farms about 20000 thousand have been sold in the United Kingdom.

It is estimated that as many as 90 per cent of the young terrapins die in their first year because of the poor conditions in which they are kept. These which survive may live for twenty years and reach the size of a dinner plate. At this stage they require a large tank with heat and specialised lighting.

Extract 2

We can alter the characteristics of steel in various ways. In the first place, steel which contains very little carbon will be milder than steel which contains a higher percentage of carbon, up to the limit of about 1.2 %. Secondly, we can heat the steel above a certain critical temperature, and then allow it to cool at different rates. At this critical temperature, changes begin to take place in the molecular structure of the metal. In the process known as annealing, we heat the steel above the critical temperature and permit it to cool very slowly. This causes the metal to become softer than before, and much easier to machine. Annealing has a second advantage. It helps to relieve any internal stresses which exist in the metal. These stresses are liable to occur through hammering or working the metal. Metal which we cause to cool rapidly contracts more rapidly on the outside than on the inside. This produces unequal contractions, which may give rise to distortion or cracking. Metal which cools

slowly is less liable to have these internal stresses than metal which cools quickly.

Extract 3

Preamble

Whereas recognition of the inherent dignity and of the equal and inalienable rights of all members of the human family is the foundation of freedom, justice and peace in the world,

Whereas disregard and contempt for human rights have resulted in barbarous acts which have outraged the conscience of mankind, and the advent of a world in which human beings shall enjoy freedom of speech and belief and freedom from fear and want has been proclaimed as the highest aspiration of the common people,

Whereas it is essential, if man is not to be compelled to have recourse, as a last resort, to rebellion against tyranny and oppression, that human rights should be protected by the rule of law,

Whereas it is essential to promote the development of friendly relations between nations,

Whereas the peoples of the United Nations have in the Charter reaffirmed their faith in fundamental human rights, in the dignity and worth of the human person and in the equal rights of men and women and have determined to promote social progress and better standards of life in larger freedom,

Whereas member States have pledged themselves to achieve, in co-operation with the United Nations, the promotion of universal respect for and observance of human rights and fundamental freedoms,

Whereas a common understanding of these rights and freedoms is of the greasiest importance of the full realisation of the pledge,

Now, therefore,

The General Assembly,

Proclaimed this Universal Declaration of Human Rights as a common standard of achievement for all peoples and all nations, to the end that every individual and every organ of society, keeping this Declaration constantly in mind, shall strive by teaching and education to promote respect for these rights and freedoms and by progressive measures, national and international, to secure their universal and effective recognition and observance, both among the peoples of member States themselves and among the peoples under their jurisdiction.

Extract 4

When we shift our attention to an open economy we encounter a number of features that are of particular interest to the study of macroeconomic policy. Now complications arise. These include the behaviour of the terms of trade and their influence on net exports and national income, the nature and extent of foreign borrowing, and changes in foreign interest or inflation rates. The response of the economy to various policies is altered. For example, as we saw in Chapter 39, the size of the simple multiplier is smaller than that in a closed economy. Also, as we shall see in this chapter, since Canadian interest rates are closely tied to those prevailing in foreign markets, the mechanism by which macroeconomic policies influence the economy can differ sharply from the close-economy mechanisms studied so far in this book.

Extract 5

The Parnes Creative Problem Solving Model provides a structured method for approaching problems in an imaginative way. It is different from the usual problem-solving methods in its emphasis on generating a variety of alternatives before selecting or implementing a solution. In each of the steps of the process, the problem-solver defers judgement during ideation or generation of alternatives to avoid inhibiting even the wildest possibilities, which may turn out to be the best ideas. Judgement then is exercised at a more appropriate speed.

CHAPTER 7

SOME SPECIFIC PROBLEMS OF POETRY AND PROSE TRANSLATION

7.1. Introduction

The translator who makes no attempts to understand the how behind the translation process is like the driver of the Rolls who has no idea what makes the car moves. Likewise the mechanic who spends a lifetime taking engines apart but never goes out for a drive in the country is a fitting image for the dry academician who examines the how at the expense of what it is. In this chapter, we propose, therefore, to approach the question of translation of literary works through close analysis of examples, not so much to evaluate the products but rather to show how specific problems of translation can emerge from the individual translators' selection of criteria. We shall be concerned with two main translation issues: (i) poetry translation and (ii) prose translation.

7.2. Poetry Translation

Within the field of literary translation, more time has been devoted to investigating the problems of translating poetry than any other literary mode. Many of the studies purporting to investigate these problems are either evaluations of a single work or personal statements by individual translators of how they have set about solving problems. Rarely do studies of poetry and translation try to discuss methodological problems from a non-empirical position, and yet it is precisely that type of study that is most valuable and most needed.

It is, however, suggested that in poetry all common and general concrete words have connotations. Therefore, we have some of the force of metaphor without its image or vehicle. Sooner or later, they themselves are used as images or vehicles, and become metaphors. When these words are translated, they lose their connotation or metaphorical sense, unless there is a cultural overlap between source and target language. Thus a tree which may symbolise or faintly suggest development or life or strength in one language may, being rarer in another, have few connotations and the translator may have to attempt to replace the object with another with corresponding connotations in the target language. Similarly, *thuyền* and *biển* which stand for a girl and a boy (the two lovers) in one of Xuan Quynh's poems are cultural metaphors which the translator may find it difficult to render them into English.

One more point that should be mentioned in poetry translation concerns the fact that in poetry there is what Newmark (1988b) refers to as aesthetic value, or of poetic truth in semantic translation. Regarding this point, we take Keat's dictum as axiomatic:

'Beauty is truth, truth beauty – this is all
Ye know on earth, and all ye need to know.'
(Ode on a grecian Urn.)

According to Newmark (*Ibid.*), poetic truth has no intrinsic or independent meaning, but it is correlative with the various types of meaning in a text. If the translator destroys poetic truth, he impairs or distorts meaning. Thus, delicacy or gentleness conveyed in word-order and sound, as well as in cognitive sense, would be ruined, if the translator introduced crude alliterations or a contrived

word-order. Newmark (*Ibid.*) suggests that Aesthetic value is dependent on the following factors:

(a) *structure* – for the translation, the plan of the text as a whole and the shape and the balance of the individual sentences;

(b) *metaphor* – the visual images which may also evoke sound, touch (including temperature and climate), smell and taste;

(c) *sound* – including alliteration, assonance, rhythm, onomatopoeia, and in poetry, metre and rhyme.

The translator cannot ignore any of the three factors in prose or poetry, although s/he may, for each text or in principle, order these factors, giving priority to cognitive meaning.

In his book on various methods employed by English translators of Catullus' Poem 64, Lefevere proposes seven different strategies for poetry translation:

(1) *Phonemic translation*, which attempts to reproduce the source language sound in the target language while at the same time producing an acceptable paraphrase of the sense. Lefevere comes to the conclusion that although this works moderately well in the translation of onomatopoeia, the overall result is clumsy and often devoid of sense altogether.

(2) *Literal translation*, where the emphasis on word-for-word translation distorts the sense and the syntax of the original.

(3) *Metrical translation*, where the dominant criterion is the reproduction of the source language metre. Lefevere concludes that, like literal translation, this method concentrates on one aspect of the source language text at the expense of the text as a whole.

(4) *Poetry into prose*. Here Lefevere concludes that distortion of the sense, communicative value and syntax of the source

language text results from this method, although not to the same extent as with the literal or metrical types of translation.

(5) *Rhymed translation*, where the translator 'enters into a double bondage', of metre and rhyme. Lefevere's conclusions here are particularly harsh, since he feels that the end product is merely a 'caricature' of Catullus.

(6) *Blank verse translation*. Again the restrictions imposed on the translator by the choice of structure are emphasised, although the greater accuracy and higher degree of literalness obtained are also noted.

(7) *Interpretation*. Under this heading, Lefevere discusses what he calls *versions* where the substance of the source language text is retained but the form is changed, and *imitations* where the translator produces a poem of his own which has 'only title and point of departure, if those, in common with the source text'.

What emerges from Lefevere's study is revindication of the point made by Anne Cluysenaar, for the deficiencies of the methods he examines are due to an overemphasis of one or more elements of the poem at the expense of the whole. In other words, in establishing a set of methodological criteria to follow, the translator has focused on some elements at the expense of others and from this failure to consider the poem as an organic structure comes a translation that is demonstrably unbalanced. However, Lefevere's use of the term *verion* is rather misleading, for it would seem to imply a distinction between this and *translation*, taking as the basis for the argument a split between form and substance. Yet, as Popovic (1970) points out, 'the translator has the right to differ organically, to be independent', provided that independence is pursued for the sake of the original in order to reproduce it as a living work.

Activities

1. What, do you think, are the main problems in translating a poem from one language into another?

2. Translate the following poem into English.

Từ vào thu tới nay
Gió thu heo hắt
Sương thu lạnh
Trăng thu bạch
Khói thu xây thành
Lá thu rơi rụng đầu ghềnh
Sông thu đa lá bao ngành biệt ly
Nhạn về én lại bay đi
Đêm thì vượn hót ngày thì ve ngâm
Lá sen tàn tạ trong dầm
Nặng mang giọt lệ âm thầm khóc hoa
Sắc đâu nhuộm ố quan hà
Cỏ vàng cây đỏ bóng tà tà dương
Nào người cố lý tha hương
Cảm thu ai có tư lường hỡi ai.

(Tản Đà)

3. Translate the following extract into Vietnamese.

Drink to me with thine eyes,
And I will pledge with mine.
Or leave a kiss within the cup,
And I'll not ask for wine.

(Bens Johnson)

4. *Translate the following poem into Vietnamese.*

Dear native regions, I foretell,
From what I feel at this farewell,
That, wheresoe'er my steps may tend,
And whensoe'er my course shall end,
If in that hour a single tie,
Survive of local sympathy,
My soul will cast the backward view,
The longing look alone on you.

Thus, while the Sun sinks down to rest,
Far in the regions of the west,
Though to the vale no parting beam
Be given, not one memorial gleam,
A lingering light he fondly throws
On the dear hills where first he rose.

7.3. The Translation of Prose

Anne Cluysenaar, in her book on literary stylistics, makes some important points about translation. The translator, she believes, should not work with general precepts when determining what to preserve or parallel from the source language text, but should work with an eye 'on each individual structure, whether it be prose or verse', since 'each structure will lay stress on certain linguistic features or levels and not on others'.

Cluysenaar's assertive statements about literary translation derive plainly from the structuralist approach to literary texts that

conceives of texts as a set of related systems, operating within a set of other systems. Robert Schole is right when he writes:

> Every literary unit from the individual sentence to the whole order of words can be seen in relation to the concept of system. In particular, we can look at individual works, literary genres, and the whole of literature as related systems, and at literature as a system within the larger system of human culture. (1974: 10)

According to Schole (*Ibid.*), the failure of many translators to understand that a literary text is made up of a complex set of systems existing in a dialectical relationship with other sets outside its boundaries has often led them to focus on particular aspects of a text at the expense of others. Lotman (1970) suggests four positions of the addressee/reader:

(1) Where the reader focuses on the content as matter, i.e. picks out the prose argument or poetic paraphrase.

(2) Where the reader grasps the complexity of the structure of a work and the way in which the various levels interact.

(3) Where the reader deliberately extrapolates one level of the work for a specific purpose.

(4) Where the reader discovers elements not basic to the genesis of the text for his own purposes.

Clearly, for the purposes of translation, position (1) would be completely inadequate (although many translators of novels in particular have focused on content at the expense of the formal structuring of the text); position (2) would seem an ideal starting point, whilst positions (3) and (4) might be tenable in certain circumstances. It is, therefore, recommended that the translator be a reader and a writer and in the process of reading s/he must take a position.

The fourth position, in which the reader discovers elements in the text that have evolved since its genesis, is almost unavoidable when the text belongs to a cultural system distanced in time and space.

Much time and ink has been wasted attempting to differentiate between *translations*, *versions*, *adaptations* and the establishment of hierarchy of 'correctness' between these categories. Yet the differentiation between them derives from a concept of the reader as the passive receiver of the text in which truth is enshrined. In other words, if the text is perceived as an object that should only produce a single invariant reading, any 'deviation' on the part of the reader/translator will be judged as a transgression. Such a judgement might be made regarding scientific documents, where facts are set out and presented in unqualifiedly objective terms for the reader of the source language text and target language text alike, but with literary texts position is different. One of the greatest advances in the twentieth-century literary study has been the re-evaluation of the reader. Some translation theorists see the place of the literary work as that of making the reader not so much a consumer as a producer of the text, while others see the reader as realising the expansion of the work's process of semiosis. The translator, then, translates or decodes the text according to a different set of systems and the idea of the one 'correct' reading is dissolved. At the same time the notion of intertextuality postulated by text linguists has been a useful to the translator. According to this notion, all texts are linked to all other texts because no text can ever be completely free from those texts that precede or surround it, is also profoundly significant for the translator. As Paz (1971) suggests all texts are translations of translations of translations and the lines cannot be drawn to separate Reader from Translator.

Maria Corti (1978: 145) sums up the role of the reader in terms that could equally be seen as advice to the translator:

> Every era produces its own type in signedness, which is made to manifest in social and literary models. As soon as these models are consumed and reality seems to vanish, new signs become needed to recapture reality, and this allows us to assign to information-value to the dynamic structures of literature. So seen, literature is both the condition and the place of artistic communication between senders and addressees, or public. The messages travel along this paths, in time, slowly or rapidly; some of the messages venture into encounters that undo an entire line of communication; but after great effort a new line will be born. This last fact is the most significant; it requires apprenticeship and dedication on the part of those who would understand it, because the hypersign function of great literary works transforms the grammar of our view of the world.

The translator, then, first reads/translates in the source language and then, through a further process of decoding, translates the text into the target language. In this he is not doing less than the reader of the source language text alone, he is actually doing more, for the source language text being approached through more than one set of systems. It is, therefore, quite foolish to argue that the task of the translator is to translate but not to interpret, as if the two were separate exercises. The interlingual translation is bound to reflect the translator's own creative interpretation of the source language text. Moreover, the degree to which the translator reproduces the form, metre, rhythm, tone, register, etc. of the source language text, will be as much determined by the target language system as by the source language system and will also depend on the function of the

translation. If the translation is intended as a line by line crib on the facing page to the source language text, then this factor will be a major criterion. If, on the other hand, the source language text is being reproduced for readers with no knowledge either of the language or the socio-literary conventions of the source language system, then the translation will be constructed in terms other than those employed in the bilingual version. It has been suggested that criteria governing modes of translation have varied considerably throughout the ages and there is certainly no single proscriptive model for the translator to follow.

Although there is a large body of work discussing the issues that surround the translation of poetry, far less time has been spent studying the specific problems of translating literary prose. One explanation for this could be the higher status that poetry holds, but it is more probably due to the widespread erroneous notion that a novel is somehow a simpler structure than a poem and is consequently easier to translate. Moreover, whilst we have a number of detailed statements by poet-translators regarding their methodology, we have fewer statements from prose translators. Yet there is a lot to be learned from determining the criteria for undertaking a translation. Hilaire Belloc (1931) laid down six general rules for the translator of prose texts and these may still be useful for the translator:

(1) The translator should not 'plod on' word by word or sentence by sentence, but should 'always "block out" his work'. By 'block out', Belloc means that the translator should consider the work as an integral unit and translate in sections, asking himself 'before each what the whole sense is he has to render'.

(2) The translator should render *idiom by idiom* 'and idioms of their nature demand translation into another form from that of the original'.

(3) The translator must render 'intention by intention', bearing in mind the 'intention of a phrase in one language may be less emphatic than the form of the phrase, or it may be more emphatic'.

(4) Belloc warns against *les faux amis*, those words or structures that may appear to correspond in both source language and target language but actually do not, e.g., *demander - to ask*, translated wrongly as *to demand*.

(5) The translator is advised to 'transmute boldly' and Belloc suggests that the essence of translating is 'the resurrection of an alien thing in a native body'.

(6) The translator should never embellish.

Belloc's six rules cover both points of techniques and points of principles. He stresses the need for the translator to consider the prose text as a structured whole whilst bearing in mind the stylistic and syntactical exigencies of the target language. He accepts that there is a moral responsibility to the original, but feels that the translator has the right to significantly alter the text in the translation process in order to provide the target language reader with a text that conforms to target language stylistic and idiomatic norms.

Belloc's first point, in which he discusses the need for the translator to 'block out' his work, raises what is perhaps the central problem for the prose translator: the difficulty in determining *translation units*. It has been commonly suggested (see Hatim & Mason 1990, Bell 1991) that the text, understood to be in a

dialectical relationship with other texts (intertextuality) and located within a specific historical context, is the prime unit. But whereas the poetry translator can more easily break the prime text down into translatable units, e.g., lines, verses, stanzas, the prose translator has a more complex task. Certainly many novels are broken down into chapters or sections, but as many translation theorists have shown the structuring of a prose text is by no means a linear as the chapter division might indicate. Yet, if the translator takes each sentence or paragraph as a minimum unit and translates it without relating it to the overall work, he runs the risk of ending up with a target language text where the paraphrasable content of the passages has been translated at the cost of everything else.

The way round this dilemma must once again be sought through considering the *function* both of the text and of the devices within the text itself.

Discussion and Activities

1. What, do you think, are the main problems related to the translation of a literary work?

2. Translate the following extracts into English.

Extract 1

In the late summer of that year we lived in a house in a village that looked across the river and the plain to the mountains. In the bed of the river there were pebbles and boulders, dry and white in the sun, and the water was clear and swiftly moving and blue in the channels. Troops went by the house and down the road and the dust they raised powdered the leaves of the trees. The trunks of the trees too were dusty and the leaves fell early that year and we saw the troop

marching along the road and the dust rising and leaves, stirred by the breeze, falling and the soldiers marching and afterwards the road bare and white except for the leaves.

The plain was rich with crops; there were many orchards of fruit trees and beyond the plain the mountains were brown and bare. There was fighting in the mountains and at night we could see flashes from the artillery. In the dark it was like summer lightning, but the night were cool and there was not the feeling of a storm coming.

Sometimes in the dark we heard the troops marching under the window and guns going past pulled by motor-tractors. There was much traffic at night and many mules on the road with boxes of ammunition on each side of their pack-saddles and grey-motor tracks that carried men, and other trucks with loads covered with canvas that moved slower in the traffic. There were big guns too that passed in the day dawn by tractors, the long barrels of the guns covered with green branches and green leafy branches and vines laid over the tractors. To the north we could look across a valley and see a forest of chestnut trees and behind it another mountain too, but it was not successful, and in the fall when the rains came the leaves all fell from the chestnut trees and the branches were bare and the trunks black with rain. The vineyards were thin and bare-branched too and all the country wet and brown and dead with the autumn. There were mists over the river and clouds on the mountain and the trucks splashed mud on the roads and the troops were muddy and wet in their capes; their rifles were wet and under their capes the two leather cartridge-boxes on the front of the belts, grey leather boxes heavy with the packs of clips of thin, long 6.5 mm, passing on the road, marched as though they

were six months gone with a child. (From Ernest Hemingway: A FTA)

Extract 2

"APRIL is the cruellest month," Persse McGarrigle quoted silently, gazing through grimy windowpanes at the unseasonable snow crusting the lawns and flowerbeds of the Rummidge campus. He had recently completed a Master's dissertation on the poetry of T.S. Eliot, but the opening words of the Waste Land might, with equal probability, have been passing through the heads of any one of the fifty-odd men and women, of varying ages, who sat or slumped in the raked rows of seats in the same lecture-room. For they were all well acquainted with that poem, being University Teacher of English Language and Literature, gathered together here, in the English Midlands, for their annual conference, and few of them were enjoying themselves.

Dismay had already plainly written on many faces when they assembled the previous evening for the tradition sherry reception. The conferees had, by that time, acquainted themselves with accommodation provided in one of the University's halls of residence, a building hastily erected in 1969, at the height of the boom in higher education, and now, only ten years later, looking much the worse for wear. They had glumly unpacked their suitcases in study-bedrooms whose cracked and pitted walls retained, in a patter of rectangular fade marks, the traces of posters hurriedly removed (sometimes with portions of plaster adhering to them) by their youthful owners at the commencement of the Easter vocation. They had appraised the stained and broken furniture, explored the dusty interiors of cupboards in vain for coat-hangers, and tested the

narrow beds, whose springs sagged dejectedly in the middle, deprived of all resilience by the battering of a decade's horseplay and copulation. Each room had a washbasin, though not every washbasin had a plug, or every plug a chain. Some taps could not be turned on, and some could not be turned off. For more elaborate ablutions, or to answer a call of nature, it was necessary to venture out the draughty and labyrinthine corridors in search of one of the communal washrooms, where baths, showers and toilets were to be found – but little privacy, and unreliable supplies of hot water. (From D. Lodge: Small World)

Extract 3

Harry Markham and his crew arrived on the job at exactly seven o'clock that Friday morning, Harry and his foreman Jim Irvine sitting inside the pick-up cabin and Harry's three men, in the open back of the truck, perched whenever they could find a level space for their behinds. The house they were renovating lay in Sydney's North Shore in the suburb of Artarmon, just behind the spreading desolation of the brick pits. It was not a big job, even for a small-time builder like Harry; merely covering the red brick bungalow with stucco and adding a sleep-out in the back veranda, the kind of job Harry welcomed from time to time because it filled in the gaps between larger contracts.

The weekend promised heat and endless sun, if Friday morning was any indication; the men piled out of the pick-up grumbling among themselves, plunged into the gloomy tree-shielded aisle of the side passage and shed their clothes without a twinge of self-consciousness or shame.

Changed into their work-shorts, they came round the back corner of the house just as the Old Girl was shuffling down the

backyard in her faded pink chenille bathrobe, circa 1950, carefully carrying a gaudily flowered china chamber pot in both hands, her heads a twinkling mass of tin butterfly hair wavers, also circa 1950. No new-fanged rollers for Mrs Emily Parker, thank you very much. The yard slipped gradually into the maw of the gravelly clay canyon which had once been the source of a considerable number of Sydney's bricks; now it serves as a convenient place for the Old Girl to empty her chamber pot every morning, for the clung doggedly to the habits of her rural origins and insisted on her potty at night.

As the contents of the pot flew in the solid-looking arc of pale amber towards the bottom of the brick pit, she turned her head and eyed the nearly naked men sourly. (From McCullough: Tim)

Extract 4

Tôi kém anh Đạt mười tám tuổi đời, mười tám năm tuổi lính, kém anh một cuộc kháng chiến chống Pháp, nhưng giữa chúng tôi đã có một tình thâm giao hơn hai mươi năm trời. Tôi là lính của anh, là em kết nghĩa và lâu nay anh vẫn nói với vài người bằng giọng tự hào: "Thằng Thụ là bạn vong niên của tôi".

Khi tôi là thằng lính mới tò te, anh Đạt là Tiểu đoàn trưởng Tiểu đoàn Hai, trung đoàn pháo binh Bến Hải. Sau chiến dịch Khe Sanh, trung đoàn chỉ còn vẻn vẹn hai mươi bốn người rút ra bờ bắc giới tuyến lập một bộ khung mới để nhận vũ khí, nhận thêm tân binh. Anh Đạt phát hiện ra tôi ở nhà bếp tiểu đoàn:

– Này, thằng vo gạo dưới suối ơi, mày tên là Thụ phải không?

– Dạ đúng.

– Mày là học sinh chuyên Toán?

– Vâng.

Mặt anh Đạt hớn hở hẳn lên, anh chìa tay ra bắt tay tôi.

Mày lên đây. Mẹ ... cái thằng quân lực gà mờ. Thằng giỏi toán phân đi làm đầu bếp, thằng thủ kho phân đạm hợp tác xã phân lên làm kế toán. Mai mốt đánh nhau tính không ra phần tử có mà đánh cái cục cứt. Chiều nay mày lên Trung đội chỉ huy nhận nhiệm vụ mới nghe chưa? (From Nguyễn Đức Thọ: Những Truyện Ngắn Hay 1993)

Extract 5

Hoàng hôn thứ hai

– Này, bảo thật, anh bắt đầu quý em rồi đấy!

– Thật không?

– Thật.

– Chắc không?

– Chắc. Còn em?

– Quý chứ. Người như anh ai mà chẳng quý. "Lại hớ hênh rồi em gái ơi. Em nhẹ dạ quá đấy. Đời nó sẽ lừa em vỡ mặt ra." Anh thầm nghĩ. "Đừng nghĩ em là đứa nông cạn". Em nheo mắt nhìn, cái nhìn có vẻ đo đếm. Giọng gia đình như một mụ nạ dòng: "Anh là thằng đa cảm", em nói thế. Anh máy móc hỏi: "Biết xem tướng đấy hả?" Em cười buồn:" Anh lên gân bỏ mẹ. Cái bề mặt lạnh lùng, tàn nhẫn của anh ... trông đểu lắm". Anh muốn diễu em một câu thật ác: "Biết đếch gì mà hót như bà già". Nhưng anh không nói thế, anh bảo: "Cái bộ mặt thỏ non, với giọng nói ríu rít oanh vàng của em chắc là lừa được ối thằng. Quần áo, giày dép, nước hoa ... chắc cũng bọn ấy cung

phụng cả chứ?" (From Nguyễn Thị Ấm: Những Truyện Ngắn Hay 1994)

Extract 6

Nàng là người sau cùng bước lên xe và ngồi ở hàng cuối. Nàng giản dị trong bộ đồ đen, trái với những người đàn bà và cô gái khác trong đoàn. Đôi mắt buồn. Nàng không còn trẻ nhưng vì thế lại mượt mà hơn. Ít người chú ý đến nàng. Họ mải chuyện về khu di tích và vùng suối sắp tham quan, vả chăng cùng cơ quan, hàng ngày nhìn nhau quen mắt.

Nàng tựa cửa xe, lông mày hơi nhíu lại, đôi mắt xa xăm. Nhưng nếu không có nét xa xăm, nàng sẽ bớt đẹp. Nàng đẹp một cách lơ đãng như thể chẳng cần tới sắc đẹp ấy nữa. Nàng đẹp khuê các, dịu thầm. Phan tưởng như đang gặp một người đàn bà đẹp thời Hà Nội ba mươi sáu phố phường, mang máng như ai đó đã vẽ nàng hoặc ít ra cũng đã có người đàn bà trong một chân dung nào đó giống nàng. Nàng vừa mơ hồ trừu tượng như bức tranh "Người đàn bà xa lạ" vừa mộc mạc như phác thảo ban đầu. Càng nhìn nàng càng xa lạ, càng sâu lắng đến bồn chồn. (From Nguyễn Ban: Những Truyện Ngắn Hay 1995)

CHAPTER 8

EVALUATING A TRANSLATION

8.1. Introduction

Is translation possible from one language to another? The obvious answer to this question is, of course, the empirical evidence: men always translate, and society has always made use of the translator's efforts. However, those who claim that translation is an impossible task often adduce such serious 'proofs' as the great differences that separate different languages, differences in world view, in time and space, the lack of perfect communicability between two speakers of the same language, even experts in the same field. Each speaker has his own relatively private code, idiolect. It is, however, possible to use either of the relativist and universal points of view to support or oppose idea of translatability in translation. Sapir-Whorf hypothesis can be central to such a controversy: languages are nomads, therefore no two languages can see the same reality in the same way.

But the fact that man can acquire other languages, and has always done so, may indicate that the differences often evoked do not, in fact constitute unsurmountable obstacles to interlinguistic, and cross-cultural, activities of the type that involves code-switching, actively and passively. The fact that communication is hardly ever complete even within one language shows that interlingual communication would also reflect this reality. One cannot therefore insist on perfect communicability only in a language foreign language to the source language. This fact helps explain that translation across languages and cultures is largely

possible. In this chapter, we will attempt to present some main approaches to evaluating a translated work. As a way of start, we will present Nida & Tabers' approach. Then we will look briefly at G. Steiner's approach, Wilss' approach and E. Steiner's approach.

8.2. Approaches to Evaluating a Translation

8.2.1. Nida & Tabers' Approach

It should be emphasized here that the notion of translatability is a relative one, and that translation is neither fully an art nor solely a science. Proceeding from this statement, Nida (1964) and Nida and Taber (1974) talk about evaluating a translated work by examining the fundamental question of "what is good translation?" They assume that a good translation is one which is faithful to its original. The notion of fidelity has consequently been at the centre of their discussion of translation quality. After centuries of the triadic division, 'word-for-word' or 'literal', 'free' translation and the median zone between the two extreme, it is now generally agreed that such a compartmentalisation of the processes that lead to quality in translation is hardly tenable. There is more to what makes for equivalence between source and target than these broad generalisations can account for. In other words, translation equivalence is an aggregate of various considerations that determine the message of the original, i.e., 'the totality of meanings of the text, deriving essentially from an extra-linguistic reality' (Vinay & Darbelnet 1958: 159).

Fidelity or quality in translation is achieved once it is agreed that a text in language B is equivalent to that in language A. The whole focus, then, is that of aiming at equivalence by translating as

much as possible the exact relationship between the form and content of the original. Nida's term, 'dynamic equivalence' best describes what should be looked for in translation: 'the closest natural equivalent'. The principle of the dynamic equivalence is that it is directed primarily toward equivalence of response rather than equivalence of form. A natural rendering must then fit: (1) the receptor language and culture as a whole, (2) the context of the particular message, and (3) the receptor language audience (Nida 1964).

In *The Theory and Practice of Translation*, Nida & Taber (1974) do not use the term translation evaluation. They prefer to use the term 'testing of the translation'. In their opinion, the testing of translation should cover the entire range of possible problems: accuracy of rendering, intelligibility, stylistic equivalence, etc. To do this, according to them, one must focus attention not upon the extent of verbal correspondence but upon the amount of dynamic equivalence. This means that the evaluation of a translated product does not consist in merely comparing texts to see the extent of verbal consistency or conformity (translators can be consistently wrong as well as consistently right), but in determining how the potential receptors of a translation react to it. In modern economic sense, it is something like market research, in which the response of the public to the product was tested. Nida and Tabler (*Ibid.*) claim that regardless of how theoretically good a product might be or how seemingly well it is displayed, if people do not respond favourably to it, then it is not going to be accepted. The task of the translator, they assume, is to produce the closest natural equivalent, not to edit or to re-write.

The dynamic equivalence is then seen as another way of affirming Darbelnet's (1977: 7) definition of translation:

> the operation which consists in transferring from one language to another all the elements of meanings of a passage, and only these elements, while ensuring that they retain in the target language their relative importance, as well as their tonality, and also taking into account the relative differences presented by the culture to which the source language and the target language correspond respectively.

8.2.2. G. Steiner's Approach

G. Steiner's (1975) approach to evaluating a translation differs from Nida's, Nida & Tabers' and Darbelnet's. In stead of attempting to define what is a quality translated product, he offers his image of the bad translator which can be seen in the quote below:

> A bad translation is one which is inadequate to its source-text for reasons which can be legion and obvious. The translator has misconstrued the original through ignorance, haste, or personal limitation. He lacks the mastery of his own language required for adequate representation. He has made a stylistic or psycholinguistic blunder in choosing his text: his own sensibility and that of the author whom he is translating are discordant. Where there is difficulty the bad translator elides or paraphrases. Where there is elevation he inflates. Where his author offends he smoothes.

With the above definition, we can know what a good translation should aim at and what a bad one looks like. It is the fact that most translation criticisms get too involved in one level of the work done, to the detriment of the others. The level that often attracts the average translation critic is the negative one. Simpson (1975) has pointed out three main reasons for this. The first reason is that those who undertake it are neither capable of, nor interested in, taking good account of all the various layers –

negative, positive, linguistic, extralinguistic, literary and non-literary – of a translated work. The second reason is due to the lack of a systematic approach that would lead to objective criticism. And the third reason has to do with the fact that many critics pay too much attention to the person of the translator.

8.2.3. Wilss' Approach

In contrast to Nida's and G. Steiner's approaches to evaluating a translation, Wilss (1982a) thinks that any comprehensive evaluation of a translation should cover five aspects: (i) a brief analysis of the source language text stressing its intention and its functional aspects; (ii) an interpretation of the source language text's purpose, the translator's method and the translation's likely readership; (iii) a selective but representative detailed comparison of the translation with the original; (iv) an evaluation of the translation – (a) in the translator's terms and (b) in the critic's terms; and (v) where appropriate, an assessment of the likely place of the translation in the target language culture or discipline.

8.2.4. E. Steiner's Approach

E. Steiner's (1998) approach to evaluating a translation is based on the register theory as developed by Halliday *et. al.* (1964) and Halliday (1978). Steiner assumes that in order to have a comprehensive evaluation of a text, one should consider not only the metafunctional equivalences (which encompass not only experiential, logical, interpersonal, and textual meanings but also those pragmatic meanings as understood by non-systemic functional linguists) but also the register, the situational environment in which the text is embedded. According to E. Steiner, when evaluating a translation one should look at or

compare the target text with the source text in terms of the three register components: **field, tenor,** and **mode**. Under **field**, one has to look at subject matter, goal orientation, social activities (i.e. production, exchange, communication, reproduction, consumption etc.). Under **tenor**, one has to examine agentive roles, social role, social distance (determing degrees of formality and degrees of politeness), and affect. And under **mode**, one has to explore language role (constitutive vs. ancillary), channel of discourse and medium of discourse.

8.3. Concluding Remarks

It is obvious that for translation to be objective, it cannot be confined to only two pages, or a few pages. Translation evaluation cannot be treated like book-reviewing in which the critic can in fact summarise in a short sentence what a novelist took a hundred pages to develop. We cannot dismiss in a few sentences all the processes that take place in a hundred pages when what is involved in language contact, with each unit of translation, each equivalent pair, which badly rendered pair and the pair constituted by the original and translated works, revealing its own character. It should be emphasized that translation evaluation is a comprehensive, not a partial act that can and should be based on such objective criteria and an understanding of the nature of translation as discussed in this textbook. Realising that evaluating a translated work is often hard work, in this chapter we have attempted to present in passing four approaches: Nida & Tabers' approach, G. Steiner's approach, Wilss' approach and E. Steiner's approach. It is clear from our brief presentation that much has to be done in order to have a comprehensive set of criteria for evaluating a translated work.

Discussions and Activities

1. *Discuss the appoaches to evaluating a translated work as presented in Section 8.2.*
2. *Work in groups. What, do you think, are the main criteria for evaluating a translation?*
3. *Choose a text (either English or Vietnamese) and ask two of your friends to translate it into a target language for you and make comments on each version.*

TERMINOLOGY USED IN THIS BOOK

Actor	Hành thể
Adjunct	Phụ ngữ
anaphoric reference	hồi chỉ
Attribute	Thuộc tính
Behaver	Ứng thể (Kẻ ứng xử)
behavioural process	quá trình hành vi
Carrier	Đương thể/Kẻ mang đặc tính
cataphoric reference	khứ chỉ
Circumstance	Chu cảnh
co-operative principle	nguyên tắc cộng tác
co-text	đồng văn cảnh
coherence	mạch lạc
cohesion	liên kết
cohesive device	phương tiện liên kết
collocation	đồng vị từ
command	mệnh lệnh
communicative translation	dịch giao tiếp
Complement	Bổ ngữ
conjunction	phép hợp/kết từ
connative language	ngôn ngữ tương hợp
context	ngôn cảnh/văn cảnh
continuative Theme	Đề ngữ kế tiếp
discourse	ngôn bản

discourse analysis	phân tích ngôn bản/diễn ngôn
dynamic equivalent	tương đương động
ellipsis	tỉnh lược
emotive function	chức năng biểu cảm
equivalence	tương đương
existential process	quá trình hiện hữu/ quá trình tồn tại
exophoric reference:	tham chiếu ngoại tại
experiential	kinh nghiệm
expressive language	ngôn ngữ diễn đạt/bày tỏ
field	trường (của ngôn bản)
Finte	Hữu định
free translation	dịch phóng/dịch tự do
function	chức năng
Goal	Đích thể
grammatical metaphor	ẩn dụ ngữ pháp
grammatical unit	đơn vị ngữ pháp
hyponypmy: specific-general:	hạ tự (từ mà nghĩa của nó được chứa đựng)
ideational	ý niệm/tư tưởng
Identified	Bị xác định thể
Identifier	Xác định thể
idiomatic translation	dịch đặc ngữ
illocutionary act	hành động ngôn trung
imperative	cầu khiến, mệnh lệnh
indicative	chỉ định

indirect speech act	hành động lời nói gián tiếp
inference	suy diễn/suy luận
informativity	tính có thông tin
intentionality	tính có chủ định
interpersonal	liên nhân
interperrsonal meaning	ý nghĩa liên nhân
intertextuality	tính liên văn bản
lexical cohesion	liên kết từ vựng
literal translation	dịch nghĩa đen
locutionary act	hành động tại lời
logical relation	quan hệ lôgic
marked	đánh dấu/không bình thường
material process	quá trình vật chất
mental process	quá trình tinh thần
meronymy: part-whole	quan hệ bộ phận-chỉnh thể
metaphor	ẩn dụ
mode	phương thức (của ngôn bản)
Mood	Thức
Mood structure	cấu trúc Thức
multiple Theme	Đề ngữ phức
offer	lời mời
participant	tham thể
perlocutionary act	hành động sau lời/ngôn tác
Phenomenon	Hiện tượng
pragmatics	ngữ dụng học
Predicator	Vị ngữ/Vị thể

presupposition	tiền giả định
process	quá trình
question	câu hỏi
rankshift	chuyển cấp độ (trong dịch)
readership	độc giả
Receiver	Tiếp thể/Kẻ tiếp nhận
receptor language	ngữ nhận
Recipient	Tiếp thể lời nói
reference	quy chiếu/ám chỉ
referential function	chức năng ám chỉ
relational process	quá trình quan hệ
relevance	tính phù hợp/tính quan yếu
representational function	chức năng thể hiện
Rheme	Thuyết ngữ
Sayer	Phát ngôn thể
semantic translation	dịch ngữ nghĩa
semantic unit	đơn vị ngữ nghĩa
Senser	Cảm thể
simple Theme	Đề ngữ đơn
social semiotic	tín hiệu xã hội
source language	ngữ nguồn
speech act	hành động lời nói
statement	nhận định
Subject	Chủ ngữ
substitution	thay thế/phép thế
super-ordinate	thượng danh

Target	Đích ngôn thể
target language	ngữ đích
tenor	không khí (của ngôn bản)
textual material	chất liệu ngôn bản
textual Theme	Đề ngữ ngôn bản
Theme	Đề ngữ
topic	chủ đề
topic change	thay đổi chủ đề
topic coherence	sự mạch lạc của chủ đề
topical Theme	Đề ngữ chủ đề
transitivity	chuyển tác
transliteration	dịch chuyển tự
turn-taking	thực hiện lượt thoại
unmarked	không đánh dấu
verbal process	quá trình phát ngôn
vocative Theme	Đề ngữ xưng hô
word-for-word translation	dịch từng từ một

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