Text, Translation, Computational Processing

3

Editors
Annely Rothkegel
John Laffling

Mouton de Gruyter
Berlin · New York

Exploring Translation and Multilingual Text Production: Beyond Content

Edited by
Erich Steiner
Colin Yallop

Mouton de Gruyter
Berlin · New York 2001

Mouton de Gruyter (formerly Mouton, The Hague)
is a Division of Walter de Gruyter GmbH & Co. KG, Berlin.

♾ Printed on acid-free paper which falls within the guidelines
of the ANSI to ensure permanence and durability.

Library of Congress Cataloging-in-Publication Data

Exploring translation and multilingual text production : beyond content / edited by Erich Steiner, Colin Yallop.
p. cm. — (Text, translation, computational processing ; 3)
Includes bibliographical references and index.
ISBN 3 11 016792 1 (cloth : alk. paper)
1. Translating and interpreting. 2. Discourse analysis. I. Steiner, Erich. II. Yallop, Colin. III. Series.

P306.E93 2001
418'.02—dc21

2001030324

Die Deutsche Bibliothek — Cataloging-in-Publication Data

Exploring translation and multilingual text production: beyond content / ed. by Erich Steiner ; Colin Yallop. — Berlin ; New York : Mouton de Gruyter, 2001
(Text, translation, computational processing ; 3)
ISBN 3-11-016792-1

Printing: WB-Druck, Rieden/Allgäu. — Binding: Lüderitz & Bauer-GmbH, Berlin.
Printed in Germany.

Contents

How do we know when a translation is good?

Juliane House

1. Introduction

How do we know when a translation is good? This question is one of the most important questions to be asked in connection with translation, and it is crucial to attempt to answer this question on the basis of a theory of translation and translation criticism. In this chapter I will try just this: present a theory-guided approach to the linguistic analysis and evaluation of a translation. The structure of the chapter is as follows:

First I will give a brief review of how translations have been evaluated inside different traditions and schools of thought. Second, I will present a functional-pragmatic model for evaluating translations first proposed some twenty years ago, and revised in the late nineties. In the third part of the chapter the theoretical assumptions and distinctions made in the model are put to the test in a detailed analysis of a German translation of an English children's book. In the fourth and last part of the chapter I will briefly discuss the scope of translation criticism.

In trying to answer the title question 'How do we know when a translation is good', we must first address the crucial question any theory of translation faces, namely what translation actually is. This question can be split up and made more concrete by asking the following three sub-questions:

(1) How does a source text relate to its translation?

(2) How are features of the source text and features of the translation related to one another, and how are they perceived by human agents (author, translator, translation recipients)?

(3) In the light of (1) and (2) above, how can we tell when a translation is a translation, and when it is a text resulting from a different textual operation?

These three basic questions can be taken as yardsticks against which different approaches to evaluating a translation can be measured and compared. In the following section some of the most influential views on how to assess the quality of a translation will be described and critically discussed.

2. Translation evaluation in different schools of thought

2.1. Anecdotal, biographical and neo-hermeneutic views

Subjective and intuitive assessments of the quality of a translation have been undertaken since time immemorial by generations of translators, writers, philosophers, philologists and many others. Such informal assessments of translations tend to also appear in reviews of literary works in newspapers and magazines, more often than not consisting of global judgements such as "the translation does justice to the original" or "the humorous tone of the original is unfortunately not kept up in the translation" and so forth.

While such incidental and anecdotal evaluations of translations may have their legitimate place in journalism and other non-scientific genres, they should be viewed with reservation in the academic field of translation studies, if this field is to gain respectability as a scientific undertaking. Anecdotal evaluations of the quality of a translation, based largely or exclusively on the translator's or translation critic's own knowledge, intuition and experience are even today frequently offered in many philological traditions of writing about translation, especially literary translation. One such approach is the neo-hermeneutic approach. Its propagators look at translation as an individual creative act depending exclusively on subjective interpretation and transfer decisions (cf. e.g., Stolze 1992).

Instead of striving to set up criteria for evaluating translations that are empirically based, transparent and intersubjectively reliable, propagators of this approach think that the quality of a translation must most importantly be linked to "the human factor", i.e., the translator himself whose interpretation of the original and his moves towards an "optimal translation" are seen as rooted in his artistic-literary intuitions and interpretative skills and knowledge. Translation is understood to be an individual's creative act. Texts have no fixed meanings at all, rather their meanings change in any historic moment, depending on individual speakers' positions.

It is inappropriate in the context of this paper to expand on a critique of the hermeneutic position (the reader is however referred to the recent lucid discussion in Bühler 1998), suffice it to say that such an extremely relativising stance as propounded in much hermeneutic work, and especially the relativisation of "content" and "meaning" is particularly inappropriate for the evaluative business of deciding when, how and why a translation is good.

With respect to the three above questions, we can state that the hermeneutic approach only sheds light on what happens between the translator and features of the original text. The superordinate question of how one can tell when a translation is good cannot be answered in any satisfactory manner.

2.2. Response-based behavioural approaches

As opposed to the subjective-intuitive approach to evaluating a translation, supporters of the response-based view expressly aim at a more reliable, more "scientific" way of evaluating translations. They dismiss the translator's mental actions as belonging to some in principle unknowable "black box". This tradition, which is influenced by American structuralism and behaviourism, is most famously associated with Nida's (1964) and Nida and Taber's (1969) pioneering work in the sixties, as well as with the few attempts to put translation criticism on a more respectable empirical footing undertaken by psychologists and psycholinguists such as Carroll (1966).

Basically, adherents of this approach tried to look at translation recipients' reactions to a translation as their main yardstick for assessing a translation's quality, positing global behavioural criteria, such as e.g., intelligibility and informativeness and Nida's "equivalence of response" based on his principle of "dynamic equivalence of translation", i.e., that the manner in which receptors of a translation respond to the translation be "equivalent" to the manner in which the source text's receptors respond to the source text. Assuming that it is true that a "good" translation should elicit an equivalent response to its original, we must immediately ask whether it is at all possible to measure an "equivalent response", let alone "informativeness" or "intelligibility". If these phenomena cannot be measured, it is useless to postulate them as criteria for translation evaluation.

Despite the fact that a number of impressively imaginative tests were designed to test the responses a translation presumably evokes — using for instance reading aloud techniques, various cloze and rating procedures — all these methods, in which observable, verifiable responses to a translation were sought and taken as ultimate criteria of its quality, nevertheless failed because they were unable to capture the complex phenomenon of an "overall quality of a translation". Further, the source text is largely ignored in all these methods, which means that nothing can be said about the relationship between original and translation, nor about whether a translation is in fact a translation and not another secondary text derived via different textual operations.

2.3. Literature-oriented approaches: descriptive translation studies

This descriptive-historical approach is oriented squarely towards the translation text, the consequence being that a translation is evaluated predominantly in terms of its forms and functions inside the system of the target culture and literature (cf. Toury 1995). The source text is of subordinate

importance, the main focus — retrospective from translation to original — being "actual translations", and the textual phenomena that have come to be known in the target culture as translations. As a first step, for instance, a translation is on principle taken to be a translation if, in the context of the culture enveloping it, it is "assumed" to be a translation. Interestingly, Toury's empirical-descriptive appproach implies a "clear wish to retain the notion of equivalence, which various contemporary approaches ... have tried to do without" (1995: 61). His notion of equivalence, which might serve as a yardstick for measuring the quality of a translation, does not refer, however, to a single relationship (between translation and original) but to "any relation which is found to have characterized translation under a specified set of circumstances" (1995: 61) and its norms responsible for the way this equivalence is realised. According to Toury, translation equivalence in the descriptive translation studies' paradigm is thus never a relationship between original and translation, but a "functional-relational concept", i.e., that set of relationships which has been found to distinguish appropriate from non-appropriate modes of translation performance for the particular culture in which the translation operates.

The aim of scholars working in this paradigm is to not prescriptively prejudge features of a translation text in their relation to some other text, (e.g., the original), but rather to first of all "neutrally" describe the characteristics of that text as they are perceived on the basis of native culture members' knowledge of comparable texts in the same genre. This aim is certainly legitimate and commendable. However, if one aims at judging a particular text which is plainly not an "independent", "new" product of one culture only, then such a retrospective focus seems peculiarly inappropriate for making reasonable statements about why a translation qua translation is "good".

While the strength of this approach is its solid empirical-descriptive work and its emphasis on contextualization at the micro-level of the reception situation and the macro-level of the receiving culture at large, as well as the inclusion of both a "longitudinal" (temporal, diachronic) and a (synchronic) systemic perspective (considering the polysystemic relations into which the translation enters with other texts in the receiving cultural system), it nevertheless clearly fails to provide criteria for judging the merits and weaknesses of a particular "case". In other words, how are we to legitimately say that one text is a translation, and another one not? And what are the criteria for judging merits and weaknesses of a given "translation text"?

2.4. Functionalistic, "skopos"-related approaches

Adherents of this approach (cf., above all, Reiss and Vermeer 1984) claim that it is the "skopos" or purpose of a translation that is of overriding importance in judging a translation's quality. The way target culture norms are heeded or flouted in the process of translation is thus regarded as the crucial yardstick in evaluating a translation. According to Reiss and Vermeer, it is the translator or more frequently the translation brief he is given by the person(s) commissioning the translation, who decides on the function the translation is to fulfil in its target environment. The notion of function, critical in this theory, is, however, never made explicit let alone operationalized. The reader can only hypothesise that "function" in this paradigm is conceived as something very similar to the real-world effect of a text.

A distinction is made by Reiss and Vermeer (1984) between equivalence and adequacy in translation. Equivalence in Reiss and Vermeer's view refers to the relationship between an original and its translation whenever both fulfil the same communicative function, and adequacy is the relationship between an original and a translation where no functional match is obtained, and where the "skopos" of the translation has been consistently attended to.

Whether such a terminological distinction is necessary and useful for clarifying the complicated matter of determining the quality of a translation, is open to debate. Further, the authors do not specify how exactly one is to go about determining the (relative) equivalence and adequacy of a translation, let alone how exactly one is to go about determining the linguistic realization of the "skopos" of a translation. Most importantly, however, it naturally follows from the crucial role assigned to the "purpose" of a translation that the original is reduced to a simple "offer of information" ("Informationsangebot"), with the word "offer" making it immediately clear that this "information" can freely be accepted or rejected, changed or "improved upon" as the translator sees fit.

In sum, how the global "skopos" of a text is realized linguistically, and, even more critical, how the adequacy of a translation vis-à-vis this skopos is to be determined, is not clear. Functionalistic approaches are solely concerned with the relationships between features of texts and the human agents concerned with them. But translation is by its very nature characterised by a double-bind relationship, i.e., any translation is simultaneously bound to its source text and to the presuppositions and the conditions governing its reception in the new target linguistic and cultural environment. Skopos theory is not an adequate theory to handle the question of evaluating a translation in this fundamental sense.

2.5. Post-modernist and deconstructionist approaches

Scholars belonging to this approach (cf. e.g., Venuti 1995) try to critically examine translation practices from a socio-philosophical and political stance in an attempt to unmask unequal power relations, which may, for

instance, be reflected in a certain skewing in the translation. In a plea for making translations (and translators) "visible" revealing ideological and institutional manipulations, proponents of this approach believe they can make politically pertinent (and "correct") statements about the relationship between features of the original and the translation. They focus on the hidden forces shaping both the process of selecting what gets translated in the first place and how an original text is bent and twisted in the interests of powerful individuals and groups "pulling strings" when selecting texts to be translated and adopting particular strategies of re-textualisation. This is certainly a worthwhile undertaking, especially when it comes to explaining the influence translators can exert through their translation on the recipient national literatures and their canons. Further, the application of currently influential lines of thinking such as e.g., post-colonialism (Robinson 1997) to translation studies may certainly yield interesting results. However, one wonders if it is wise to busy oneself with matters that are extraneous to the translation process itself. In other words, criticising the lowly, clearly invisible status of the translator, and giving priority to the socio-cultural and ideological constraints and influences on the "cultural practice" of translation may be fascinating in itself but it also detracts from the many still unsolved problems in the centre of translation and translation evaluation. Surely, translation is first and foremost a linguistic procedure — however conditioned this process may be by "external forces". In other words, before adopting a critical stance of the translation process from a macro-perspective, one needs to consider the micro-perspective, the linguistic "nitty-gritty" of the text, or, and this seems to me the optimal strategy with regard to tackling the problem of evaluating a translation, one might fruitfully consider the interaction of context and text in a systematic way, as has been attempted in some linguistic approaches to translation (see below 3).

If comparative analyses of original and translation focus primarily on the shifts and skews through ideological constraints and unconscious manipulations, and if an agenda is given priority which "stresses" the theoretical, critical and textual means by which a translation can be studied as a "locus of difference" (Gentzler 1993: 93), one wonders how one can ever differentiate between a translation and a version, i.e., a text that results from a textual operation which can no longer claim to be in a translation relationship with an original text.

With respect to the three questions (relationship between source and target texts; between texts and persons involved in a translation; delimitation of a translation from other textual operations), we can state that critical post-modern approaches can give no answer to the crucial question of when a text is a translation and when a text belongs to a different textual procedure.

2.6. Linguistically-oriented approaches

Approaches in which the source text — its linguistic and textual structure as well as its meaning potential at various levels — is seen as an important factor in translation, can be found in many different linguistic schools. Linguistic-textual approaches take the relationships between source text and translation text seriously, but they differ in their capacity to provide detailed procedures and techniques for analysis and evaluation. Most promising for translation evaluation seem to be approaches which explicitly take account of the interconnectedness of context and text.

A pioneering linguistically-oriented approach to evaluating a translation is Reiss' (1971) attempt to develop a translation-relevant text typology. Reiss believed that the text type to which the original belongs is the most important invariant for a translation, determining all important subsequent translational decisions. Text types are to be derived from Bühler's three functions of language, yielding the three global textual categories of content-oriented, form-oriented and appellative (conative) texts. Reiss suggested that these textual types were to be upheld in translation, without however — and here the same criticism made above with respect to her later work also holds — giving specific indications as to how precisely one should go about establishing whether and how original and translation are in fact equivalent in terms of textual types (and otherwise).

Other pioneering linguistic work in translation evaluation includes the programmatic suggestions by Catford (1965) and Koller (1979), as well as by scholars in the so-called Leipzig school of translation. In this early work, however, no specific procedures for assessing the quality of a translation were offered.

In more recent times, several linguistically oriented works on translation such as e.g., by Hatim and Mason (1990), Bell (1991), Baker (1992), Doherty (1993), Fawcett (1997) and Gerzymisch-Arbogast and Mudersbach (1998) have made valuable contributions to evaluating a translation by the very fact that all these authors — although not directly concerned with translation quality assessment — widened the scope of translation studies to include recent linguistic concerns with speech act theory, pragmatics, sociolinguistics, stylistics and discourse analysis.

Linguistic approaches take the relationship between source and translation text seriously, but they differ in their capacity to provide detailed procedures for analysis and evaluation. Features of the texts and how they are perceived by language users are mostly well documented, but the consequences of these relationships determining whether a text is a translation or not, have not been a major concern in most of the above studies.

Whenever the "context of situation" is explicitly taken into consideration, features of the texts and how they are perceived by language users

are also necessarily accounted for. Attempts to explicitly link text and context, and at the same time take account of the human agents involved in text reception and production operating from a functional-systemic approach provide one of the most fruitful basis for analysing and evaluating source and target texts (see e.g., Steiner 1998 and this volume). Such an approach has been adopted by the present author, who designed a model for translation quality assessment in the mid-seventies (House 1977, 2d. ed. 1981). This model was recently revised (House 1997). It will be described in the next section.

3. A functional-pragmatic model of translation evaluation

3.1. Basic concepts

While the functional model for translation provided by House (1977, 1997) is mainly based on Hallidayan systemic-functional theory, it also draws eclectically on Prague school ideas (functional style and functional sentence perspective, foregrounding etc.), speech act theory, pragmatics, discourse analysis and corpus-based distinctions between spoken and written language. The original model also adapted Crystal and Davy's (1969) register based schema for contrastive stylistic analysis.

The revised model provides for the analysis and comparison of an original and its translation on three different levels: the levels of Language/Text, Register (Field, Mode and Tenor) and Genre. In what follows I give a brief sketch of the model's operation.

One of the basic concepts underpinning the model is "translation equivalence". This concept also underpins our everyday understanding of translation, i.e., "normal", non-linguistically trained persons think of translation as a text which is some sort of "reproduction" of a text originally produced in another language, with the "reproduction" being of comparable value. (This is the result of an infomal interview study conducted by the present author with 20 non-linguistically trained native speakers of German). Over and above its role as a concept constitutive of translation, "equivalence" is also a fundamental notion for translation criticism. Translations must be conceived as texts which are doubly bound: on the one hand to its source text and on the other hand to the (potential) recipient's communicative conditions. This double-linkage nature is the basis of the so-called "equivalence relation". One of the aims of a theory of translation criticism is then to specify and operationalize the equivalence relation by differentiating between a number of frameworks of equivalence, e.g., extra-linguistic circumstances, connotative and aesthetic values, audience design and last but not least textual and language norms of usage that have

emerged from empirical investigations of parallel texts, contrastive rhetoric and contrastive pragmatic and discourse analyses.

In a recent attempt to make "a case for linguistics in translation theory", Ivir (1996) expresses the inherent relativity of the equivalence relation very well: "equivalence is ... relative and not absolute, ... it emerges from the context of situation as defined by the interplay of (many different factors) and has no existence outside that context, and in particular ... it is not stipulated in advance by an algorithm for the conversion of linguistic units of L1 into linguistic units of L2" (1996: 155).

The notion of equivalence is the conceptual basis of translation and, to quote Catford, "the central problem of translation-practice is that of finding TL (target language) equivalents. A central task of translation theory is therefore that of defining the nature and conditions of translation equivalence" (1965: 21). But the concept of equivalence is also the basis of translation criticism, it is the fundamental criterion of translation quality.

Equivalence is a relative concept, and has nothing to do with identity. "Absolute equivalence" would be a contradictio in adiecto. Equivalence is a relative concept in several aspects: it is determined by the socio-historical conditions in which the translation act is embedded, and by the range of often irreconcilable linguistic and contextual factors, among them at least the following: source and target languages with their specific structural constraints; the extra-linguistic world and the way it is "cut up" by the two languages resulting in different representation of reality; the original reflecting particular linguistic and stylistic source language norms; the linguistic norms of the translator and the target language and culture; structural features of the original; target language receptors' expectation norms; the translator's comprehension and interpretation of the original and his "creativity"; the translator's explicit and/or implicit theory of translation; translation traditions in the target culture; interpretation of the original by its author.

Given these different types of equivalence in translation, it is clear that — true to the nature of translation as a decision process (Levy 1967) — it is necessary for the translator to make choices, i.e., the translator must set up a hierarchy of demands on equivalence which he wants to follow. It is also clear that the many recent polemical attacks against using the concept of "equivalence" in translation theory, because of its imputed vicinity to "identity" and formal linguistic equivalence, are quite unfounded. Views of equivalence as simply based on formal, syntactic and lexical similarities alone have been criticised for a long time — not least because it has long been recognised that any two linguistic items in two different languages are multiply ambiguous. Further, purely formal definitions of equivalence have long been revealed as deficient in that they cannot explain appropriate use in communicative performance. This is why functional, pragmatic equivalence has been a concept accepted in contrastive linguistics for a long time,

and it is this type of equivalence which is most relevant for translation. It is consequently used in the functional-pragmatic model where it is related to the preservation of "meaning" across two different languages and cultures. Three aspects of that "meaning" are particularly important for translation: a semantic, a pragmatic and a textual aspect, and translation is viewed as the replacement of a text in the source language by a semantically and pragmatically equivalent text in the target language. An adequate translation is thus a pragmatically and semantically equivalent one. As a first requirement for this equivalence, it is posited that a translation text have a function equivalent to that of its original. This requirement will later be differentiated given the empirically derived distinction between overt and covert translation, concepts to be discussed below (3.2) in greater detail.

The use of the concept of "function" presupposes that there are elements in a text which, given appropriate tools, can reveal that text's function. The use of the concept of function is here not to be equated with "functions of language" — different language functions clearly always coexist inside any text, and a simple equation of language function with textual function/textual type (a procedure adopted e.g., by Reiss 1971 and also many others) is overly simplistic. Rather, a text's function — consisting of an ideational and an interpersonal functional component — is defined pragmatically as the application or use of the text in a particular context of situation, the basic idea being that "text" and "context of situation" are not viewed as separate entities, rather the context of situation in which the text unfolds "is encapsulated in the text ... through a systematic relationship between the social environment on the one hand and the functional organisation of language on the other" (Halliday 1989: 11). This means that the text must be referred to the particular situation enveloping it, and for this a way must be found for breaking down the broad notion of "context of situation" into manageable parts, i.e., particular features of the context of situation or "situational dimensions". Inside systemic-functionalist linguistics, many different systems have been suggested featuring situational dimensions as abstract components of the context of situation, as e.g., Crystal and Davy's (1969) scheme which was, in fact, the system adopted and adapted as the basis for the original eclectic model of translation quality assessment by House (1977, 1981).

3.2. The original functional-pragmatic model of translation evaluation

The original assessment model used three dimensions characterising the text's author according to her/his temporal, geographical and social provenance and five dimensions of language use elaborating, for instance, on

the text's topic and social activity and on the interaction of, and relationship between, author and recipients in terms of social role relationship, social attitude, degree of participant involvement and orality. The operation of the model involved initially an analysis of the original according to this set of situational dimensions, for which linguistic correlates are established. The linguistic correlates of the situational dimensions are the means with which the textual function is realized, i.e., the textual function is the result of a linguistic-pragmatic analysis along the dimensions with each dimension contributing to the two functional components, the ideational and the interpersonal, in characteristic fashion. Opening up the text with these dimensions yields a specific textual profile which characterises its function, which is then taken as the individual textual norm against which the translation is measured. The degree to which the textual profile and function of the translation (as derived from an analogous analysis) match the profile and function of the original is the degree to which the translation is adequate in quality. The set of situational dimensions is thus a kind of "tertium comparationis", with the model enabling a detailed linguistic-textual analysis by distinguishing for each individual dimension lexical, syntactic and textual means of realizing certain features of the context of situation. In evaluating the relative match between original and translation, a distinction is made between "dimensional mismatches" and "non-dimensional mismatches". Dimensional mismatches are pragmatic errors that have to do with language users and language use, non-dimensional mismatches are mismatches in the denotative meanings of original and translation elements and breaches of the target language system at various levels. The final qualitative judgement of the translation consists then of a listing of both types of errors and of a statement of the relative match of the two functional components.

3.3. The revised model of translation evaluation

In the revised model, the classic Hallidayan concepts of "Field", "Mode" and "Tenor" are used. The dimension of Field captures social activity and topic, with differentiations of degrees of generality, specificity or "granularity" in lexical items according to rubrics of specialised, general and popular. Tenor refers to the nature of the participants, the addresser and the addressees, and the relationship between them in terms of social power and social distance, as well as degree of emotional charge. Included here are the text producer's temporal, geographical and social provenance as well as his intellectual, emotional or affective stance (his "personal viewpoint") vis-à-vis the content he is portraying and the communicative task he is engaged in. Further, Tenor captures "social at-

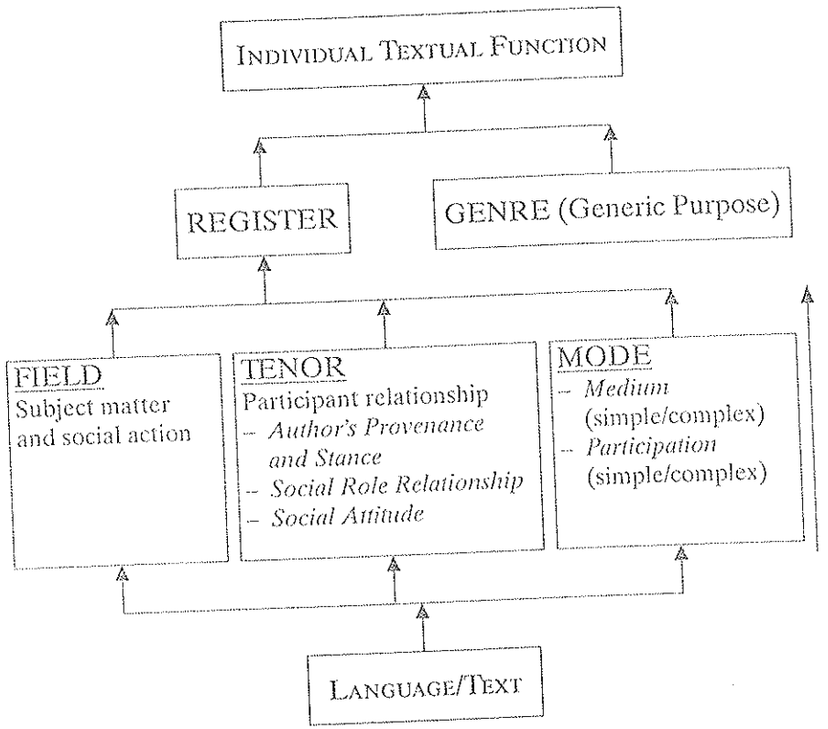
titude", i.e., different styles (formal, consultative and informal). Mode refers to both the channel — spoken or written (which can be "simple", i.e., "written to be read" or "complex", e.g., "written to be spoken as if not written"), and the degree to which potential or real participation is allowed for between writer and reader. Participation can be "simple", i.e., a monologue with no addressee participation built into the text, or "complex" with various addressee-involving linguistic mechanisms characterizing the text. In taking account of (linguistically documentable) differences in texts between the spoken and written medium, reference is also made to the empirically established corpus-based oral-literate dimensions hypothesised by Biber (1988). Biber suggests dimensions along which linguistic choices may reflect medium, i.e., involved vs. informational text production; explicit vs. situation-dependent reference; abstract vs. non-abstract presentation of information.

The type of linguistic-textual analysis in which linguistic features discovered in the original and the translation are correlated with the categories Field, Tenor, Mode does not, however directly lead to a statement of the individual textual function. Rather, the concept of "Genre" is newly incorporated into the analytic scheme, "in between", as it were, the register categories Field, Tenor, Mode, and the textual function. The category of Genre is an important addition to the analytic scheme for evaluating a translation in that it enables one to refer any single textual exemplar to the class of texts with which it shares a common purpose. Although the category "register" (Field, Tenor, Mode) captures the relationship between text and context, register descriptions are basically limited to capturing individual features on the linguistic surface. In order to characterise "deeper" textual structures and patterns, a different conceptualisation is needed. This is attempted via the use of "Genre". Genre is thus conceived of as a category superordinate to register. While register captures the connection between texts and their "microcontext", Genre connects texts with the "macrocontext" of the linguistic and cultural community in which texts are embedded. Register and Genre are both semiotic systems realized by language such that the relationship between genre, register and language/text is one between semiotic planes which relate to one another in a Hjelmslevian "content-expression" type, i.e., the genre is the content plane of register, and the register is the expression plane of genre. Register in turn is the content plane of language, with language being the expression plane of register (Martin 1993).

The resultant scheme for textual analysis, comparison and assessment is shown inTable 1 (see next page).

Taken together, the analysis provided in this model yields a textual profile characterising the individual textual function. But as mentioned above, whether and how this textual function can be kept depends on the type of

Table 1. A Scheme for Analysing and Comparing Original and Translation Texts



translation sought for the original. In the following section two fundamentally different types of translation and versions will be discussed.

3.4. Two types of translation

The distinction between two different types of translation: overt and covert translation goes back at least to Friedrich Schleiermacher's famous distinction between "verfremdende" and "einbürgernde Übersetzungen", which has had many imitators using different terms. What sets the overt-covert distinction apart from other similar distinctions and concepts is the fact that it is integrated into a coherent theory of translation criticism, inside which the origin and function of the two types of translation are consistently described and explained. The basic distinction is as follows: In an overt translation the receptors of the translation are quite

"overtly" not being addressed, an overt translation is thus one which must overtly be a translation, not a "second original". The source text is tied in a specific manner to the source language community and its culture. The original is specifically directed at source culture addressees, but at the same time points beyond the source culture community because it is also of general human interest. Source texts that call for an overt translation have an established worth in the source language community, they are either tied to a specific occasion in which a precisely specified source language audience is/was being addressed or they may be timeless source texts, i.e., those transcending as works of art and aesthetic creations a distinct historical meaning.

A covert translation is a translation which enjoys the status of an original source text in the target culture. The translation is covert because it is not marked pragmatically as a translation text of a source text but may, conceivably, have been created in its own right. A covert translation is thus a translation whose source is not specifically addressed to a particular source culture audience, i.e., it is not firmly tied to the source language and culture. A source text and its covert translation are pragmatically of equal concern for source and target language addressees, both are, as it were, equally directly addressed. A source text and its covert translation have equivalent purposes, they are based on contemporary equivalent needs of a comparable audience in the source and target language communities. In the case of covert translation texts, it is thus both possible and desirable to keep the function of the source text equivalent in the translation text. This can be done by inserting a "cultural filter" (see below for details) between original and translation with which to account for cultural differences between the two linguistic communities.

Translation involves text transfer across time and space, and whenever texts move, they also shift frames and discourse worlds. "Frame" is a psychological concept and it is thus, in a sense, the psychological pendant to the more "socially" conceived concept of context, delimiting, like context, a class of messages or meaningful actions. A frame often operates unconsciously as an explanatory principle, i.e., any message that defines a frame gives the receiver instructions in his interpretation of the message included in the frame. Similarly, the notion of a "discourse world" refers to a superordinate structure for interpreting meaning in a certain way, e.g., as in Edmondson's (1981) discourse model, a locutionary act acquires an illocutionary value by reference to an operant discourse world.

Applying the concepts of frame and discourse world to overt and covert translation, we can state the following: In overt translation, the translation text is embedded in a new speech event, which gives it also a new frame. An overt translation is a case of "language mention" (as opposed

to "language use" in the case of covert translation), it is similar to a quotation. Relating the concept of "overt translation" to the four-tiered analytical model (Function — Genre — Register — Language/Text), we can state that an original and its overt translation are to be equivalent at the level of Language/Text and Register as well as Genre. At the level of the individual textual function, functional equivalence, while still possible, is of a different nature: it can be described as enabling access to the function the original has in its discourse world or frame. As this access is to be realized in a different language and takes place in the target linguistic and cultural community, a switch in discourse world and frame becomes necessary, i.e., the translation is differently framed, it operates in its own frame and its own discourse world, and can thus reach at best second-level functional equivalence. As this type of equivalence is, however, achieved through equivalence at the levels of Language/Text, Register and Genre, the original's frame and discourse world are co-activated, such that members of the target culture may "eavesdrop", as it were, i.e., be enabled to appreciate the original textual function, albeit at a distance.

In overt translation, the work of the translator is important and visible. Since it is the translator's task to give target culture members access to the original text and its cultural impact on source culture members, the translator puts target culture members in a position to observe and/or judge this text "from outside".

In covert translation, on the other hand, the translator must attempt to re-create an equivalent speech event. Consequently, the function of a covert translation is to reproduce in the target text the function the original has in its frame and discourse world. A covert translation operates therefore quite "overtly" in the frame and discourse world provided by the target culture, with no attempt being made to co-activate the discourse world in which the original unfolded. Covert translation is thus at the same time psycholinguistically less complex and more deceptive than overt translation. It is the translator's express task to betray the original and to hide behind the transformation of the original, he is clearly less visible, if not totally absent. Since true functional equivalence is aimed at, the original may be legitimately manipulated at the levels of Language/Text and Register via the use of a cultural filter. The result may be a very real distance from the original. While the original and its covert translation need thus not be equivalent at the levels of Language/Text and Register, they have to be equivalent at the levels of Genre and the Individual Textual Function.

In evaluating a translation, it is thus essential that the fundamental differences between overt and covert translation be taken into account. These two types of translation clearly make different demands on translation criticism. The difficulty of evaluating an overt translation is gener-

ally reduced in that considerations of cultural filtering can be omitted. Overt translations are "more straightforward", as the originals can be taken over "unfiltered". The major difficulty in translating overtly is, of course, finding linguistic-cultural "equivalents" particularly along the dimension of Tenor and its characterisations of the author's temporal, social and geographical provenance. However, here we deal with overt manifestations of cultural phenomena, which are to be transferred only because they happen to be manifest linguistically in the original. Judging whether a "translation" of e.g., a dialect is adequate in overt translation can ultimately not objectively be given, i.e., the degree of correspondence in terms of social prestige and status cannot be measured in the absence of complete contrastive ethnographic studies — if, indeed, there will ever be such studies. In other words, such an evaluation must necessarily remain subjective to a certain degree. However, as opposed to the difficulty of evaluating differences in cultural presuppositions, and communicative preferences between text production in the source and target cultures, which characterises the evaluation of covert translation, explicit overt transference in overt translation is still easier to judge.

In connection with evaluating covert translations, the translation assessor has to consider the application of a "cultural filter" in order to be able to differentiate between a covert translation and a covert version. In the following section, the concept and function of the cultural filter will be discussed in more detail.

3.5. The concept and function of a "cultural filter"

The concept of a "cultural filter" is a means of capturing socio-cultural differences in expectation norms and stylistic conventions between source and target linguistic-cultural communities. These differences should be based on empirical cross-cultural research. Whether or not there is an empirical basis for changes made along any of the pragmatic parameters is reflected in the assessment of the translation. Given the goal of achieving functional equivalence in a covert translation, assumptions of cultural difference should be carefully examined before any change in the source text is undertaken. The unmarked assumption is one of cultural compatibility, unless there is evidence to the contrary. In the case of the German and Anglophone linguistic and cultural communities evidence of differences in communicative norms seems now available, i.e., the concept of cultural filter has been given some substance and validity through a number of empirical contrastive-pragmatic analyses, in which Anglophone and German communicative differences and priorities along a set of hypothesized dimensions were hypothesized. Converging evidence from a number of

cross-cultural German-English studies conducted with different data, subjects and methodologies suggests that there are German communicative preferences which differ from Anglophone ones along a set of dimensions, among them directness, content-focus, explicitness and routine-reliance. (For a summary of this research see House 1996.)

For the comparative analysis of source and target texts and the evaluation of covert translations, it is essential to take into account whatever knowledge there is about cultural differences between target and source communities. It must be stressed at this point that there exists far too little empirical research in the area of language-pair specific contrastive pragmatic analysis — in fact, empirical research in this area seems to be one of the major research desiderata in translation studies for the coming millennium.

3.6. Distinguishing between different types of translations and versions

Over and above distinguishing between covert and overt translation in translation criticism, it is necessary to make another important distinction: between translations and versions.

Overt versions are produced whenever a special function is overtly added to a translation text. There are two different cases of overt version production: 1. when a "translation" is produced which is to reach a particular audience. Examples are special editions for a youthful audience with the resultant omissions, additions, simplifications or different accentuations of certain features of the source text etc., or popularisations of specialist works (newly) designed for the lay public, and 2. when the "translation" is given an added special purpose. Examples are interlingual versions or "linguistic translations", resumés and abstracts, where it is the express purpose of the version producer to pass on only the most essential fact of the original.

A covert version, on the other hand, results whenever the translator — in order to preserve the function of the source text — has applied a cultural filter non-objectively and consequently undertook changes on the situational dimensions, i.e., the original has been manipulated with this manipulation not being substantiated by research.

In discussing different types of translations the distinction between a translation and a version, we implicitly assume that a particular text may be adequately translated in only one particular way. The assumption that a particular text necessitates either a covert or an overt translation does, however, not hold in any simple way. Thus any text may, for a specific purpose, require an overt translation, i.e., it may be viewed as a document

which "has an independent value" existing in its own right, e.g., when its author has become, in the course of time, a distinguished figure, and then the translation should be evaluated as an overt translation.

There may also well be source texts for which the choice overt-covert translation is a subjective one, e.g., fairy tales may be viewed as products of a particular culture which would predispose the translator to opt for an overt translation, or as non-culture specific texts, anonymously produced, with the general function of entertaining and educating the young, which would suggest a covert translation. Or consider the case of the Bible, which may be treated as either a collection of historical literary documents, in which case an overt translation would seem to be called for, or as a collection of human truths directly relevant to all human beings, in which case a covert translation might seem appropriate.

Further, the specific purpose for which a "translation" is produced, i.e., the particular brief given to the translator, will, of course, determine whether a translation or an overt version should be aimed at. In other words, just as the decision as to whether an overt or a covert translation is appropriate for a particular source text may depend on factors such as the changeable status of the text author, so clearly the initial choice between translating or version-producing, cannot be made on the basis of features of the text, but may depend on the arbitrarily determined purpose for which the translation or version is required.

Returning to the three basic issues with reference to translation criticism — relationship between original and translation, between texts and human agents, distinction between translation and other secondary textual operations — addressed initially in order to assess the differences in theoretical and empirical potential between different approaches to translation criticism, the assessment model presented above is firmly based on a view of translation as a double-linkage operation. As opposed to views that show a one-sided concern with the translation, its receptors and the translation's reception in the target culture, the model attempts to take account of both source and target texts by positing a cline along which it can be shown which tie of the double-linkage has priority in any particular translation case — the two endpoints of the cline being marked by the concepts overt translation (source text focussed) and covert translation (target text focussed). The relationship between features of the text(s) and the human agents involved (as author, translator, reader) is explicitly accounted for through the provision of an elaborate system of pragmatic-functional analysis of original and translation, with the overt-covert cline on which a translation is to be placed determining the type of reception sought and likely to be achieved. Finally, explicit means are provided for distinguishing a translation from other types of textual operation by specifying the conditions holding for a translation to turn into a version.

Integrating cultural filters that are empirically verified into the evaluation process might be taken to mean that there is greater certainty as to when a translation is no longer judged to be a translation but rather a covert version. True, in the past twenty years the field of contrastive pragmatics has begun to make an important contribution to assessing covert translations in a non-arbitrary way. However, given the dynamic nature of socio-cultural and communicative norms and the way research necessarily lags behind, translation critics will have to struggle to remain abreast of new developments if they want to be able to fairly judge the appropriateness of changes through the application of a cultural filter in a translation between any given language pair.

4. Testing the model: Analysing the translation of a children's book

The analysis of the original text and its translation is based eclectically on Neo-Firthian grammar, rhetorical-stylistic concepts, and concepts and notions adapted from the Prague school of linguistics, as well as from speech act theory, pragmatic and discourse analysis. On each of the dimensions FIELD, TENOR, MODE, I differentiate lexical (choice and patterns of lexical items, collocations, co-occurrence etc.), syntactic (parataxis, hypotaxis, nature of the verb phrase, mood, tenses, etc.), and textual means (cohesion and coherence, theme dynamics, clausal and iconic linkage) although it might not always be the case that all categories are found to be operative on a particular dimension. The terminology will be as in Table 1 above, with sub-categories of FIELD, TENOR and MODE printed in italics.

In order to be able to make grounded statements about why and how a translation is "good", both source and translation text will be analysed at the same level of delicacy, and the translation text will then be compared with the source text's textual profile.

In the following I will try out the above model with an analysis and comparison of an English children's book: *Peace at Last* by Jill Murphy and its German translation *Keine Ruh für Vater Bär* (see appendix for the two texts; numbers refer to lines in the texts).

4.1. Analysis of original

FIELD

The original is a short picture book for 2 to 6 year olds. It presents a harmless, peaceful family idyll in the form of a story about a bear family: *Mr.*

Bear, Mrs. Bear and *Baby Bear*. The plot is simple, an everyday experience is described: Mr. Bear can't sleep, wanders about the house, and finally drops off to sleep back in his own bed only to be woken up by the alarm clock. He is comforted, however, by Mrs. Bear and a nice cup of tea — a simple story full of warmth and gentle humour, just right for a bedtime story for young children. The title of the book "Peace at last" is well in line with this characterisation.

Lexical Means:
Preponderance of lexical items that are likely to be part of the nascent verbal competence of young children developed in interactions in the immediate hic-et-nunc environment, i.e., their home and neighbourhood surroundings: *tired, go to bed, fall asleep, sleep, snore, Baby Bear's room, living-room* etc.

Syntactic Means:
Short clauses with simple structures throughout the text.

Textual Means:
Strong textual cohesion which makes the text easily comprehensible and digestible for young children. Textual cohesion is achieved through a number of different procedures, most prominently through iconic linkage and theme dynamics.

Iconic Linkage:
There is iconic linkage between many clauses in the text highlighting (for the children's benefit) a reassuring similarity, and thus recognizability of states and actions, and also heightening the dramatic effects, as for instance in:
2, 3: *Mr. Bear was tired. Mrs. Bear was tired; Baby Bear was tired.*
6, 10, 13, 16, 21, 27: *Oh NO! I can't stand THIS.*
6, 11, 14, 17, 22, 28: *So he got up and went to sleep in Baby Bear's room (the living room, the kitchen, in the garden, in the car). So he got up and went back into the house.*

Theme Dynamics:
Thematic movement frequently arranged in sequences of theme-rheme movements to ensure given-new ordering, e.g., 28–29; foregrounded rhematic fronting in all clauses with onomatopoetic items: 9, 12, 15, etc. for dramatic effect.

TENOR
Author's Temporal, Geographical and Social Provenance
Unmarked, contemporary, standard middle-class British English.

Author's Personal (Emotional and Intellectual) Stance
The author views the characters she creates with a warm sense of humour, empathy and involvement, without becoming sentimental. The characters keep their dignity and are not infantilized.

Lexical Means:
Characters keep their names including titles: *Mr.* and *Mrs. Bear*, which results in a neutral, detached manner of description that also adds a humorous note, considering that the characters are "teddy bears".

Syntactic Means:
Monotonous repetition of phrases for humorous effect, e.g.: 34, 35: *Did you sleep well — Not VERY well.*

Social Role Relationship
Author-reader: symmetric, intimate relationship between both types of addressees, i.e., adults (parents and other caretakers) and children, no "talking down", no evidence of educational, pedagogic motivation, no hidden, ideologically induced lecturing.

Author-characters in the story: respect for individuality of characters through leaving titles and generic terms (*Mrs. Bear*), sympathy, empathy.

Characters amongst themselves: tolerance, sympathy, irony and good humour.

Lexical Means:
Title and names (*Mr., Mrs. Bear*) throughout the text for humorous effect.
34, 35: Use of address form "dear" to create intimacy.

Syntactic Means:
18: Direct address of readers creates involvement and intimacy.

Textual Means:
34–35: Presence of ritualized move "How-are-you" and ritualized second-pair part (*Not very well*) as well as ensuing uptake (*never mind*) to provide stark contrast to the preceding story of Mr. Bear's misery and thus has humorous effect.

37: Short-clipped final phrase to seal the preceding promising move: also closing and "sealing" the relationships in comfort, intimacy and reassurance.

Social Attitude
Informal style level: conversational, intimate style characterising the type of talk occurring in a family.

Syntactic Means:
Simplicity of clauses, co-ordination rather than subordination, simplicity of noun phrases, lack of pre- and post-modification.

Lexical Means:
Use of lexical items marked as informal through their use in familiarity inducing settings; onomatopoetic elements e.g., DRIP, MIAAOW, followed by informal "*go*" in the past tense ("*went*"); informal conjunction "*So*".

MODE
Medium: Complex
"Written to be read aloud as if not written", creating for the young listener the illusion that the person doing the reading aloud is inventing it simultaneously with the reading, i.e., real-life spontaneous oral language is being simulated. Along Biber's three (oral-written) dimensions: involved vs. informational, explicit vs. situation dependent, abstract vs. non-abstract, this picture book can be located at the involved, situation-dependent, and non-abstract end of the cline.

Syntactic Means:
Frequency of short co-ordinated clauses linked with *and*; use of conjunction *so* characterising spoken language.

Phonological Means:
Presence of emphatic stress frequent in oral encounters, and marked in writing through capitalisation (e.g., *BRRRRR went the alarm clock*).

Textual Means:
Ample use of repetition for redundancy throughout the text in order to make comprehension easier for young readers/listeners.

Participation
Complex: monologue with built-in (fictional) dialogic parts.

Lexical Means:
Use of *well*, a token typically used at the beginning of a response in a dialogue (18).

Syntactic Means:
Presence of rhetorical, addressee-directed utterance (18).

Textual Means:
Heavy use of direct speech designed to increase listeners'/readers' involvement in the story. This direct speech includes a deliberate "animation" of the animals and the objects such as the tap and the living-room clock that are depicted as emitting (intentionally?) noises in a way suggesting interaction with Mr. Bear.

GENRE
Picture book for young children designed to be read aloud by adults, often as a bed time story. The "communicative purpose" of such a book is to entertain children, comfort and reassure them, and (maybe) also "elevate" i.e., educate them. In the English tradition, children's books often use humour to gently socialise the young into family life and the world beyond. The text is supported by pictures. I have omitted them here as they do not add anything that the words themselves do not make explicit. In fact the pictures are the same in the original and the German translation.

STATEMENT OF FUNCTION
The function of the original text consisting of an ideational and an interpersonal functional component may be summed up as follows: Although the ideational functional component is not marked on any of the dimensions, it is nevertheless implicitly present, in that the text informs the readers about certain social activities and events involving the protagonists depicted in the text, in other words, it tells a story! However, the ideational component is clearly less important than the interpersonal one, which is marked on all the dimensions used for the analysis of the text.

The particular GENRE, picture books written for young children, determines that the interpersonal function is primary, its purpose being to provide reassurance and comfort, a sense of belonging, and increased understanding of how the world around the child functions.

On FIELD, too, the interpersonal component is strongly marked: The description of a typical piece of family life, where a member of the family experiences a sleepless night, is presented in a light-hearted, good-natured, long-suffering and humorous way, making the story amusing, entertaining and easily comprehensible. On TENOR, the author's personal stance as well as the particular social role relationship and social attitude evident in the text strongly mark the interpersonal functional component: The relationship between both author and reader, and between the (fictional) characters are characterised by good humour. The informal style level also clearly feeds into the interpersonal functional component by

enhancing the text's intimate humorously human quality. On MODE, the medium characterised as "written to be read as if not written" marked as involved, situation-dependent and non-abstract, as well as the many stretches of simulated speech (monologue and dialogue) clearly also strengthen the interpersonal function because of the emotive effect of spontaneous immediacy and directness.

4.2. Comparison of original and translation and statement of quality

As opposed to the original, the translation is far from presenting a peaceful family idyll, already the translation's title: *Keine Ruh für Vater Bär* points to a rather different story, i.e., the translation transforms the original's positive soothing atmosphere into a "negative" one, falsely ironic and "funny" in the sense of the German *Schadenfreude*, i.e., enjoying another person's misery. In the translation one recognises a motive found in many post-68 German children's books (see House forthcoming): a deliberate attempt to reach what is (presumably) perceived as a pedagogically desirable goal, namely to encourage children to "emancipate themselves", i.e., to stand up to their parents. This ideological stance is expressed in a forcedly ironic and "funny" storyline which (barely) cloaks a clear didactic mandate. The original's harmless, peaceful story is changed into a series of minor disasters. This impression is substantiated by the following individual mismatches along Field, Tenor, Mode, and Genre.

FIELD

Textual Mismatches:

Loss of Cohesion: the onomatopoetic lexical items are not consistently rendered: (28/29): *Und die Sonne schien immer heller* vs. (26) *SHINE, SHINE went the sun*, presumably in an attempt to "correct" the original in that the sun does not make noises and should therefore (presumably) not be presented in the same vein as the other noise making objects in the story. This mismatch results in a loss of humour, precisely because the imaginative agency of the sun is omitted.

The consistent use of an equivalent of the conjunction *so* throughout the text is not kept up in the translation: apart from some repetitions of the phrase *dort wollte er schlafen* at the beginning of the text (7, 11, 15, 18) different structures are used. Thus, for example (22): *So he went off to sleep* is rendered as (23): *Er stand auf und ging in den Garten* or (28): *So he got up and went back into the house* is turned into (30): *Er stieg aus und ging ins Haus.*

Syntactic Mismatches:

The use of onomatopoeia in English is based on "normal", i.e., lexicalized verbs (e.g., *snore, drip, snuffle*), the German "equivalents" often resemble infantilized comic-strip-like interjections (*sch-sch-sch, schnüff-schnüff*).

TENOR

Author's Personal (Emotional and Intellectual) Stance

Loss of humour, sentimentalization and infantilization of characters in the story.

Lexical Mismatches:

The characters *Mr. Bear, Mrs. Bear*, and *Baby Bear* are changed into the sentimentalized and infantilized German collocations *Vater Bär, Mutter Bär, Baby Bär*. This change also means a loss of humour, created in English precisely through the clash between the titles *Mr., Mrs.* and the fact that we are here dealing with teddy bears functioning also as children's toys.

Syntactic Mismatches:

Clause structures are even simpler than in the English original, i.e., two simple short clauses are made out of one longer co-ordinated one: (6/7): *So he got up and went to sleep in Baby Bear's room* vs. *Er stand auf und ging ins Kinderzimmer. Dort wollte er schlafen.*

Social Role Relationship

Between author and readers, between author and the protagonists, and between the protagonists: These three role-relationships are clearly interdependent such that the relationship between the protagonists is a reflection of the author's assessment of her readers and her view of her characters. The relationships are changed quite radically in the German translation, witness the following mismatches.

Textual Mismatches:

The German translation transforms the book's positive atmosphere into a negative one. To start with, the original's title *Peace at last* is turned into *Keine Ruh für Vater Bär*, a total contradiction of the original's title. And in keeping with the German title's ominous prediction (which flies in the face of the original's hopeful promise) a consistently negative storyline is continued until the end of the story, which is also the very opposite of "peaceful". Compare here lines 34 to 37 in the original with the German text's lines 28–34. The entire sequence starting with *Und die Post* is invented, and added by the translator (presumably on the basis of the final picture in the book, in which an official-looking envelope can be detected).

At the end of the original story, the mother is nice, warm, friendly (*never mind, ... a nice cup of tea*), and her final words *and she did* indicate that she brings the tea as a "sealing" comfort. In the German translation, however, the clause *Warte, ich bring dir das Frühstück ans Bett* merely hints that this act is part of her sober daily routine.

Lexical Mismatches:
Framed by the major manipulations of title and ending, the body of the German text contains a pattern of negativisation and problematisation, and it is not only the relationship between father and son that is presented in a negative and problematic way but also the relationship between mother and father. Implicitly authoritarian role-relationships are therefore built into the translator's version of the story. The very first sentence: *The hour was late* is translated in such a way as to evoke a different role-relationship between parents and child: *Es war Schlafenszeit*, this clause implies a parental regime (when it's late and dark, children must be in bed asleep), where the English original remains a neutral statement. As noted above, the "neutral" Mrs. and Mr. Bear become Mutter and Vater Bär, which typecasts them exclusively as parents. Similarly, Baby Bear's room becomes *das Kinderzimmer,* a generic term, i.e., the room is then not an individual's room but belongs to someone in the role of a child, the role relationship between child and parent then being marked as fixed and normative.

Further, the use of the German expressions *mein Lieber* und *meine Liebe* (29/30) helps to disrupt the harmony of the happy family idyll portrayed in the English original. Despite the deceptive formal equivalence between *my dear* and *mein(e) Liebe(r)*, these phrases are certainly not pragmatically equivalent. *Mein Lieber* has a distinctively ironic (not humorous!) overtone.

30: The uncaring and dismissive phrase *Macht nichts* is also clearly not equivalent with *never mind*. In fact, *macht nichts* is much more direct, and less concerned and polite. The use of *macht nichts* and *warte* by the German Mutter Bär in particular give her a superficial and indifferent air: whereas in English *never mind* relates to alter (*never you mind*) and is thus comforting, the German *macht nich*ts refers to self, (*das macht mir nichts aus*) a crucial difference not only in terms of perspective but also in terms of illocutionary force.

8: *(Baby Bär) lag im Bett und spielte Flugzeug* is different from *Baby Bear was lying in bed pretending to be an aeroplane* in that the German expression implies a division between the world of adults and the world of children, the latter "playing at things". In the English original, Baby Bear is taken more seriously, treated more as an equal. The German translation infantilizes and sentimentalizes the character. Similarly, (24) *He was just falling asleep* is rendered with a metaphorical expression typically used in German child-talk (25) *die Augen fielen ihm zu.*

The "bourgeois" family is presented in the German translation as a unit which allows for no peace, and Mr Bear, who in English (30) *got into bed and closed his eyes, schlüpfte unter die Decke und seufzte tief* in German (32/33), and he is not content to *yawn* as he is allowed to do in the English original, rather he must grumble: (36) *brummte Vater Bär.*

At the very end of the story (40) the compound noun *Parksünder* (followed and intensified by the collocation *Parksünder Daddy* (40) epitomizes the "Schadenfreude" and the forcedly funny one-up-manship of the child over his father.

MODE
Participation
In one instance ((18) in the original, (19) in the translation), the attempt, via a rhetorical question, to directly involve participants is not kept up in the translation. Instead, the German translation presents an impersonal, rather laid back statement with an initial informal, regional starter *tja.*

GENRE
In as much as the translation is still a children's picture book to be read to young children, there has been no change in the GENRE of the translation. However, the "framing" is very different in the text: both title and ending set a very different tone: a humorous, innocent book to be read with pleasure, amusement and joy is turned into an ideologically laden, pedagogically motivated book embued with a certain forced wit, and a trend to infantilize the protagonists in the story through lexical and textual means.

As the analysis of a larger corpus (n= 62) of German-English and English-German translations of children's books has revealed (House forthcoming), there seem to be patterned differences between texts in this Genre in the two linguistic and cultural communities. In German children's books there seems to be a tendency to depict a type of role relationship between children and adults in much the same way as was outlined above, i.e., there is more sentimentalization, more infantilization as well as less (and different) humour, greater explicitness and a greater need to impose edifying pedagogic ideas and ideologies on the stories told in German children's books.

STATEMENT OF QUALITY
The analysis of original and translation has revealed mismatches along the dimensions of FIELD, MODE and in particular TENOR, with a consequent substantial change of the interpersonal functional component of the text's function. On FIELD, loss of cohesion was established in several

cases detracting from the aesthetic and emotive pleasure a well-knit text will elicit.

On TENOR, the author's stance is changed such that the translation loses the original's subtle and warm humour superimposing instead a new note of infantilization and sentimentalization onto the text through syntactic simplification and changes of protagonists' names and titles. Most incisive however are the changes in the social role relationship portrayed in the original and the translation: the original's positive reassuring atmosphere is transformed into a negative one. "Schadenfreude" is substituted for comfort and friendliness. Children are depicted as generically different from adults and a more authoritarian relationship and, consequently, a general "negativisation" and "problematisation" of the role relationship between all the story's characters is implied, such that "no peace" can be found — a situation which may have been designed as "funny", but is, if pitted against the original, clearly the very opposite.

If we interpret the above results in the light of the analyses of a larger corpus of German and English children's books (House forthcoming), they reflect a culturally conditioned, ideologically tinted difference in the realization of GENRE between English and German children books. This difference is most clearly visible in the different framing in the German translation: the title and the end of the German story guide the reader/listeners along a different path than is suggested in the original.

These differences may be interpreted as reflecting differences in German and English communicative preferences and norms established in cross-cultural research (see e.g., House (1996)). For a full understanding of these culture-conditioned differences, however, one would need much more data, and a comprehensive comparative analysis of the various strands of intellectual, artistic, economic, legal and socio-political forces in the two cultures in question and their influence on text production and reception. Such a broad ethnographic approach coupled with a detailed linguistic analysis may be less utopian than it may seem. It certainly is the most promising and fruitful way of relating context to text, and text to context.

The German translation analysed above can be described as a covert translation, in which a cultural filter has been applied. One wonders, however, why the translator or the publisher had not opted for an overt translation. It is a sad truth that translators of children's books seem to feel particularly licensed to produce covert translations making changes whenever they think these are appropriate thus barring children from access to the original's voice. Children are often totally underrated in their imaginative and learning capacities. Their natural curiosity and their desire to be exposed to strange, foreign and different worlds and norms is simply overrun.

One reason for this tendency to adapt original texts to the receiving cultures' dominant GENRE may be the current one-sided, often dogmatic reception-oriented, hermeneutic climate, which needs, in the opinion of this author, to be counteracted by solid text- and context-based linguistic analyses.

5. Possibilities and impossibilities of translation criticism

In translation criticism it is important to be maximally aware of the difference between (linguistic) analysis and (social) judgment, i.e., there is a difference between comparing, describing and explaining differences established in linguistic analysis and judging "how good a translation" is.

Instead of taking the complex psychological categories of translation receptors' intuitions, feelings, reactions or beliefs as a cornerstone for translation criticism, the above model's functional-pragmatic approach focusses on texts, i.e., products of human decision processes. Such an approach, however, cannot ultimately enable the evaluator to pass judgments on what is a "good" or a "bad" translation. In the last analysis, any evaluation depends on a large variety of factors that necessarily enter into a social evaluative judgement. An evaluative judgment emanates from the analytic, comparative process of translation criticism, i.e., the linguistic analysis provides grounds for arguing an evaluative judgment. As intimated above, the choice of an overt or a covert translation depends not on the translator alone or on the text to be translated, or on her subjective interpretation of the text, but also on the reasons for the translation, the implied readers, on publishing and marketing policies, i.e., factors which have nothing to do with translation as a *linguistic* procedure. Such factors are social factors, which concern human agents as well as socio-cultural, political or ideological constraints and which are often more influential than linguistic considerations or the translator herself. However, despite all these "external" influences, translation is at its core a linguistic-textual phenomenon, and it can be legitimately described, analysed and evaluated as such. More forcefully argued, the primary concern for translation critics remains linguistic-textual analysis and comparison. A consideration of social factors is, if it is divorced from textual analysis, of secondary relevance. Linguistic description and explanation must not be confused with evaluative assertions made on the basis of social, political, ethical or individual grounds. It seems imperative to emphasize this distinction given the current climate in which the criteria of scientific validity and reliability are often usurped by criteria such as social acceptability, political correctness, vague emotional commitment or fleeting zeitgeist tastes. Translation as a phenomenon in its own right, as a linguistic-textual

operation should not be confused with issues such as what the translation is for, what it should, might, or must be for. One of the drawbacks of an overriding concern with covert translation is that the borders between a translation and other multilingual textual operations become blurred. In view of this confusion some conceptual clarity can be reached by theoretically distinguishing between translations and versions and by positing functional equivalence as a sine qua non in translation.

The core concept of translation criticism is translation quality. This is a problematical concept if it is taken to involve — as it mostly, and informally, is — individual value judgments alone. It is of course extremely difficult to pass any "final judgment" of the quality of a translation that fulfils the demands of scientific objectivity. This should not, however, be taken to mean that translation criticism as a field of inquiry is worthless. But one should be aware that in translation criticism one will always be forced to move from a macro-analytical focus to a micro-analytical one, from considerations of ideology, function, genre, register to the communicative value of individual linguistic items. In taking this dual, complementary perspective, the translation critic will be enabled to approximate the reconstruction of the translator's choices and to throw some light on his decision processes in as objective a manner as possible. That this is a complex undertaking which, in the end, yields but probabilistic outcomes, should not detract from its usefulness. In translation criticism, one should try to reveal, in any individual case, exactly where and with which consequences and (possibly) for which reasons (parts of) translated texts are what they are in relation to their "primary texts". Such a modest goal might guard the translation evaluator against making prescriptive, apodictic and global judgments (of the "good" vs. "bad" type), which are not intersubjectively verifiable.

The difference between linguistic analysis and value judgement is often ignored when one talks about the quality of a translation. Both components, the linguistic and the judgemental are, of course, implicit in translation evaluation, but they should not be mixed up, nor should the evaluative component be used in isolation from the linguistic component.

In summary and to conclude, translation criticism, like language itself, has two basic functional components, an ideational and an interpersonal one, which lead to two separable steps: the first and primary one referring to linguistic analysis, description and explanation based on knowledge and research, the second and secondary one referring to value judgments, social, interpersonal and ethical questions of relevance and personal taste. Without the first, the second is useless, in other words, to judge is easy, to explain and understand less so. In other words, we know when a translation is good, when we are able to make explicit the grounds for our judgement on the basis of a theoretically sound and argued set of procedures.

Appendix:

Source Text:
Jill Murphy 1980 *Peace at Last*. London: Macmillan.

1 The hour was late.
2 Mr. Bear was tired, Mrs. Bear was tired and
3 Baby Bear was tired, so they all went to bed.
4 Mrs. Bear fell asleep. Mr. Bear didn't. Mrs. Bear began to snore. "SNORE,"
5 went Mrs. Bear, "SNORE, SNORE, SNORE."
6 "Oh NO!" said Mr. Bear, "I can't stand THIS." So he got up and went to sleep
7 in Baby Bear's room.
8 Baby Bear was not asleep either. He was lying in bed pretending
9 to be an aeroplane. "NYAAOW!" went Baby Bear, "NYAAOW! NYAAOW!"
10 "Oh NO!" said Mr. Bear, "I can't stand THIS."
11 So he got up and went to sleep in the living-room.
12 TICK-TOCK ...went the living-room clock ...TICK-TOCK, TICK-TOCK.
13 CUCKOO! CUCKOO! "Oh NO!" said Mr. Bear,
14 "I can't stand THIS." So he went off to sleep in the kitchen.
15 DRIP, DRIP ...went the leaky kitchen tap.
16 HMMMMMMMMMMM ...went the refrigerator. "Oh NO," said Mr. Bear,
17 "I can't stand THIS." So he got up and went to sleep in the garden.
18 Well you would not believe what noises there are in the garden at night.
19 "TOO-WHIT-TOO-WHOO!" went the owl.
20 "SNUFFLE, SNUFFLE," went the hedgehog.
21 "MIAAOW!" sang the cats on the wall. "Oh, NO!" said Mr. Bear, "I can't stand
22 THIS." So he went off to sleep in the car.
23 It was cold in the car and uncomfortable, but Mr. Bear was so tired that
24 he didn't notice. He was just falling asleep when all the birds started
25 to sing and the sun peeped in at the window. "TWEET TWEET!" went the birds.
26 SHINE, SHINE ...went the sun.
27 "Oh NO!" said Mr. Bear, "I can't stand THIS."
28 So he got up and went back into the house.
29 In the house, Baby Bear was fast asleep, and Mrs. Bear had
30 turned over and wasn't snoring anymore. Mr. Bear got into bed and closed
31 his eyes. "Peace at last," he said to himself.
32 BRRRRRRRRRRRRRR! went the alarm-clock, BRRRRRR!
33 Mrs. Bear sat up and rubbed her eyes.
34 "Good morning, dear," she said. "Did you sleep well?"
35 "Not VERY well, dear," yawned Mr. Bear.
36 "Never mind," said Mrs. Bear. "I'll bring you a nice cup of tea."
37 And she did.

Translation Text:
Jill Murphy 1981 *Keine Ruh für Vater Bär.* Translation by Ingrid Weixelbaumer. Wien/ München: Annette Betz Verlag.

1 Es war Schlafenszeit.
2 Vater Bär war müde. Mutter Bär war müde und Baby Bär war müde … also gingen
3 sie alle ins Bett. Mutter Bär schlief sofort ein. Vater Bär nicht.
4 Mutter Bär begann zu schnarchen. "SCH-CH-HHH", machte Mutter Bär.
5 "SCH-CHCH-HHH, SCH-CHCHCH-HHH" "Oh, NEIN!" sagte Vater Bär.
6 "DAS halte ich nicht aus." Er stand auf und ging ins Kinderzimmer.
7 Dort wollte er schlafen.
8 Baby Bär schlief auch noch nicht. Er lag im Bett und spielte Flugzeug.
9 "WIEEE-AUUU, WIEEE-AUUU-UMM!" "Oh, NEIN" sagte Vater Bär.
10 "DAS halte ich nicht aus." Er stand auf und ging ins Wohnzimmer.
11 Dort wollte er schlafen.
12 TICK-TACK … machte die Kuckucksuhr im Wohnzimmer…TICK-TACK,
13 TICK-TACK, KUCKUCK! KUCKUCK! "Oh, NEIN!" sagte Vater Bär.
14 "Das halte ich nicht aus." Er stand auf und ging in die Küche.
15 Dort wollte er schlafen.
16 TROPF, TROPF … machte der undichte Wasserhahn. HMMMMMMMMMMMM… machte der Kühlschrank.
17 "Oh, NEIN!" sagte Vater Bär. "DAS halte ich nicht aus."
18 Er stand auf und ging in den Garten. Dort wollte er schlafen.
19 Tja, nicht zu glauben, was es da an Geräuschen gibt, nachts im Garten.
20 HUH-WITT-HUHUHUHHH!" machte die Eule. "SCHNÜFF, SCHNÜFF" machte der Igel.
21 "MIAAU!" sangen die Katzen auf der Mauer. "Oh, NEIN!" sagte Vater Bär.
23 "DAS halte ich nicht aus." Er stand auf und ging zu seinem Auto.
24 Es war kalt und ungemütlich im Auto. Aber Vater Bär war so müde,
25 daß er es gar nicht merkte. Die Augen fielen ihm zu. Er war schon fast
26 eingeschlafen, da finden die Vögel zu singen an, und die Sonne blinzelte
27 zum Fenster herein.
28 "ZIWITT ZIWITT!" zwitscherten die Vögel, und die Sonne schien
29 immer heller. "Oh, NEIN!" sagte Vater Bär. "DAS halte ich nicht aus."
30 Er stieg aus und ging ins Haus zurück.
31 Alles war still und friedlich. Baby Bär schlief fest, und Mutter Bär
32 hatte sich umgedreht und schnarchte nicht mehr. Vater Bär schlüpfte unter
33 die Decke und seufzte tief. "Endlich Ruh' im Haus!" sagte er zu sich.
34 BRRRRRRRRRRR! machte der Wecker. BRRRRR! Mutter Bär rieb sich die Augen
35 und gähnte. "Guten Morgen, mein Lieber" sagte sie. "Hast du gut geschlafen?"
36 "Nicht SEHR, meine Liebe", brummte Vater Bär. "Macht nichts", sagte Mutter Bär.
37 "Warte, ich bring dir das Frühstück ans Bett."
38 "Und die Post!" rief Baby Bär.
39 "Oh, NEIN!" sagte Vater Bär, als er den Polizeistempel sah.
40 "PARKSÜNDER!" rief Baby Bär. "Parksünder-Daddy!".

References

Baker, Mona
1992 *In Other Words. A coursebook on translation.* London: Routledge.

Biber, Douglas
1988 *Variation Across Speech and Writing.* Cambridge: Cambridge University Press.

Bell, Roger
1991 *Translation and Translating.* London: Longman.

Bühler, Axel
1998 Vier Vorurteile über Hermeneutik — Eine Polemik. In: Bernulf Kanitschneider and Franz Josef Wetz (eds.), *Hermeneutik und Naturalismus*, 83–97. Tübingen: Mohr Siebeck.

Carroll, John
1966 An Experiment in Evaluating the Quality of Translations. *Mechanical Translation* 9: 55–66.

Catford, John
1965 *A Linguistic Theory of Translation.* Oxford: Oxford University Press.

Crystal, David and Derek Davy
1969 *Investigating English Style.* London: Longman.

Doherty, Monika
1993 Parametrisierte Perspektive. *Zeitschrift für Sprachwissenschaft* 12: 3–38.

Edmondson, Willis
1981 *Spoken Discourse. A Model for Analysis.* London: Longman.

Fawcett, Peter
1997 *Translation and Language. LinguisticTheories Explained.* Manchester: St. Jerome Press.

Gentzler, Edwin
1993 *Contemporary Translation Theories.* London: Routledge.

Gerzymisch-Arbogast, Heidrun and Klaus Mudersbach
1998 *Methoden des wissenschaftlichen Übersetzens.* Tübingen: Francke.

Halliday, Michael A.K.
1989 *Spoken and Written Language.* Oxford: Oxford University Press.

Hatim, Basil and Ian Mason
1990 *Discourse and the Translator.* London: Longman.

House, Juliane
1977 *A Model for Translation Quality Assessment.* 2d. ed. 1981. Tübingen: Narr.

House, Juliane
1996 Contrastive Discourse Analysis and Misunderstanding. The Case of German and English. In: Marlis Hellinger and Ulrich Ammon (eds.), *Contrastive Sociolinguistics*, 345–361. Berlin: de Gruyter.

House, Juliane
1997 *Translation Quality Assessment: A Model Revisited.* Tübingen: Narr.

House, Juliane
forthcoming *Cross-Cultural Pragmatics and Translation.* Oxford: Oxford University Press.

Ivir, Vladimir
1996 A Case for Linguistics in Translation Theory. *Target* 8: 149–157.

Levy, Jiri
1967 Translation as a Decision Process. In: *To Honor Roman Jakobson on the Occasion of his Seventieth Birthday.* vol. 2, 1171–1182. The Hague: Mouton.

Koller, Werner
1992 *Einführung in die Übersetzungswissenschaft.* 4th ed. (1st ed. 1979). Heidelberg: Quelle und Meyer.

Koller, Werner
1995 The Concept of Equivalence and the Object of Translation Studies. *Target* 7: 191–222.

Martin, James R.
1993 A Contextual Theory of Language. In: Bill Cope and Mary Kalantzis (eds.), *The Powers of Literacy: A Genre Approach to Teaching Writing,* 116–136. London: Falmer.

Nida, Eugene
1964 *Toward a Science of Translation.* Leiden: Brill.

Nida, Eugene and Charles Taber
1969 *The Theory and Practice of Translation.* Leiden: Brill.

Reiss, Katharina
1971 *Möglichkeiten und Grenzen der Übersetzungskritik.* München: Hueber.

Reiss, Katharina and Hans Vermeer
1984 *Grundlegung einer allgemeinen Übersetzungstheorie.* Tübingen: Niemeyer.

Robinson, Douglas
1997 *Translation and Empire. Postcolonial Theories Ex-plained.* Manchester: St. Jerome Press.

Steiner, Erich
1998 A Register-Based Translation Evaluation: An Advertisement as a Case in Point. *Target* 10: 291–318.

Stolze, Radegundis
1992 *Hermeneutisches Übersetzen.* Tübingen: Narr.

Toury, Gideon
1995 *Descriptive Translation Studies and Beyond.* Amsterdam: Benjamins.

Venuti, Lawrence
1995 *The Translator's Invisibility. A History of Translation.* London: Routledge.

Intralingual and interlingual versions of a text — how specific is the notion of *translation*?

Erich Steiner

> *We started the last division on a paradoxical quest: how to translate untranslatable phrases and words. Our argument, which incidentally enabled us to solve the riddle of the paradox landed us in another apparent antinomy: words are the elements of speech, but words do not exist. Having once recognised that words have no independent existence in the actual reality of speech, and having thus been drawn towards the concept of context, our next step is clear: we must devote our attention to the intermediate link between word and context, I mean to the linguistic text.* (Malinowski 1935: 23)

1. Introduction[1]

In this paper, an attempt will be made to relate the notion of "versions" of a text to the notions of *textual variation* and *translation* as relationships between texts. Section 1, after introducing the notion of *register*, illustrates intralingual versions of a text, discussing a small set of English texts and a small set of German texts in turn. Within each set, the texts can informally be said to be versions of each other. We shall then argue that this informal notion of version can be more technically analysed as a relationship of register variation within these intralingual sets. Section 2, by contrast, will focus on interlingual versions, especially translations, arguing that here, again, we find register-variation, this time across texts realized in different lexicogrammatical systems (languages). In particular, it will be seen that translated texts are registerial variants of each other, but so are other, e.g. co-generated, texts in different languages. We thus want to draw attention to the relationship between translation and multilingual generation. Chapter 3 will then pose the central question of this paper: Can translation be comprehensively modelled by conceptualising it as (restricted) register variation plus realization in different language systems of some invariant *ideational*, i.e. propositional, content, or is translation as a relationship between texts characterised by specific and different properties? We shall start with an inspection of passages from an original English advertising text and from its original German translation. This will be followed by some observations on these two texts which will show that the translated text has properties beyond those of a registerial